



Scaling Up

From Vision to
Large-Scale Change

Tools for Practitioners

Second Edition, 2021

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A Toolkit for Practitioners

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Acronyms in Scaling Up Toolkit

- JHU** Johns Hopkins University
- M&E** Monitoring and Evaluation
- MEL** Monitoring, Evaluation and Learning
- MSI** Management Systems International
- NGO** Non-governmental Organization
- PMP** Performance Monitoring Plan
- RTSL** Real-time Scaling Lab
- USAID** United States Agency for International Development



Foreword

In response to increasing interest in field-tested models for scaling up and approaches for addressing widespread and persistent problems, Management Systems International (MSI), with support from the John D. and Catherine T. MacArthur Foundation, first published *Scaling Up – From Vision to Large-scale Change, A Management Framework for Practitioners* (the FRAMEWORK) in March 2006.¹ The impetus was to address the gap between the numerous successful projects and innovations to be found in the field, and those precious few that were successfully taken to scale. The MSI FRAMEWORK has been revised twice—in 2012 and in 2016—to reflect growing experience and a widening array of lessons about successful scaling.

The first edition of this Toolkit was published in 2012 as a companion document to the FRAMEWORK. It included 15 tools intended to support selected scaling tasks outlined in the FRAMEWORK—tools that had been developed, refined and applied over a nine-year period in 22 projects in India, Mexico and Nigeria.

The current document, the second edition of the Toolkit, is a substantial revision based on more than 200 applications in 40 developed and developing countries and in a wide variety of sectors. It includes a total of 13 tools. Like the first edition, the refreshed and updated Toolkit is designed as a practical resource for field practitioners, funders and researchers.

Acknowledgments

This work has many antecedents. These include repurposed versions of MSI products such as the Institutional Development Framework, the Implementing Policy Change model, CAP-Scan and the Logical Framework, as well as specific MSI scaling tools such as the Scaling Up Management Framework, Scaling Plan Template and Scalability Assessment Checklist. It also draws on numerous valuable products from other members of the Global Community of Practice on Scaling Development Outcomes,² the scaling up community of practice including ExpandNet, the Brookings Institution, Johns Hopkins University and VVOB; and it has been informed and enriched by the contributions of many other generous colleagues from the Global Community of Practice on Scaling Development Outcomes and its nine specialized working groups. Special thanks go to the MacArthur Foundation for its generous sponsorship of much of the early fieldwork on which this product is based.

The principal author of this document is Larry Cooley, with significant contributions from Tim Reilly, Nitika Tolani, Jess Ngo and Gwynne Zodrow.

¹ This FRAMEWORK, revised in December of 2012 and again in 2016, is available online at “Scaling Development Outcomes,” Management Systems International, <https://msiworldwide.com/our-impact/scaling-development-outcomes>.

² See Global Community of Practice on Scaling Development Outcomes, www.scalingcommunityofpractice.com.

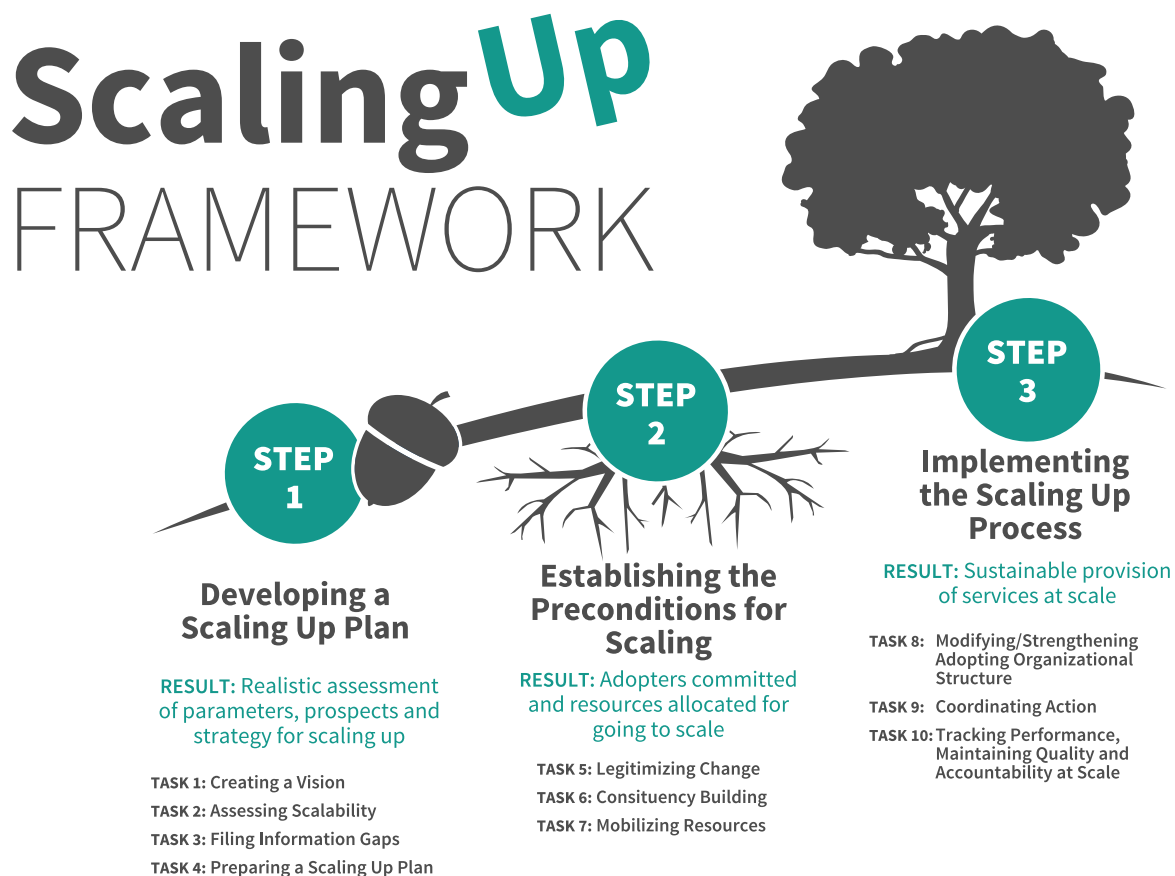


Introduction

This Toolkit is intended as a companion to MSI’s three-step, 10-task Scaling Up Management FRAMEWORK. The PURPOSE of this companion volume is to provide a set of practical, easy-to-use tools, guidelines and techniques developed and refined through field experience to assist organizations implementing the FRAMEWORK’s steps and tasks.

The steps and tasks of the FRAMEWORK, represented in Figure 1, include four tasks related to planning with scale in mind (Step 1), three tasks for establishing the preconditions for scale (Step 2) and three tasks for managing the scaling process (Step 3). This document organizes and presents the tools in terms of the FRAMEWORK’s three steps.

Figure 1: Scaling Up Management Framework



The Toolkit aims to answer the Critical Questions in Figure 2 and is intended for use by:

- **Planners and field managers** working in government, NGO and private sector implementing agencies;
- **Staff and managers at funding agencies** (governments, international donors and private foundations) interested in scaling up their programs or integrating scaling up into the design of new programs;
- **Academics in professional fields** like public health, education, agriculture, public policy, social welfare, international affairs and international development;
- **Monitoring and evaluation (M&E) practitioners** interested in integrating scaling up into the design and implementation of their M&E work or in managing the quality of the scaling up process.

Figure 2: Critical Questions to Ask in Scaling Up

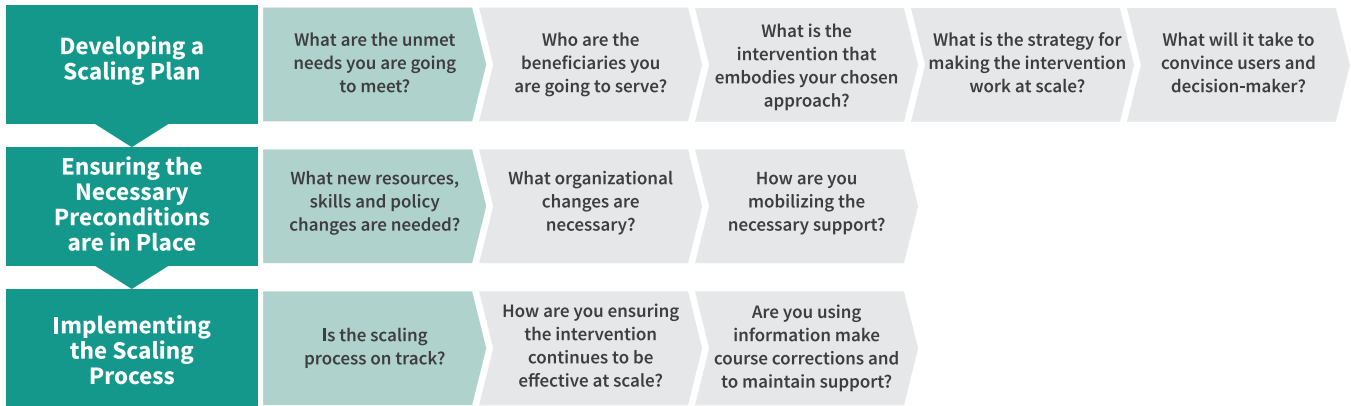


Table 1 below lays out the tools presented in this volume. By design, each of these tools is intended to be usable by practitioners on their own or with minimal external

facilitation. The tools can be used individually or as a package and, like the FRAMEWORK tasks they support, need not be applied in a strict linear sequence.

Table 1: Tools and Guides

Scaling Up Steps	Tasks	Associated Tools
Crafting an Overall Scaling Strategy		Tool 1: Scaling Task Model Tool 2: Scaling Plan Template Tool 3: Real-time Scaling Lab
Step 1: Developing a Scaling Up Plan	Create a Vision Assess Scalability Fill Information Gaps Prepare a Scaling Plan	Tool 4: Second Theory of Change Tool 5: Intervention Profile Tool 6: Scalability Assessment Checklist
Step 2: Establishing the Preconditions for Scaling	Legitimize Change Build a Constituency Realign and Mobilize Resources	Tool 7: Drivers of Change Analysis Tool 8: Stakeholder Analysis Tool 9: Advocacy Strategy Profile Tool 10: Scale Costing Protocol
Step 3: Managing the Scaling Process	Modify Organizational Structures Coordinate Action Adapt Strategy and Maintain Momentum	Tool 11: Guidelines of Evidence Generation and Use Tool 12: Adaptive Management Protocol Tool 13: Institutionalization Tracker

To eliminate an inadvertent source of confusion, this edition uses the term “intervention” in place of the terms “model,” “innovation” and “initiative,” which were used interchangeably with the term “intervention” in the first edition of the Toolkit. As we use it in this document, the

term “intervention” refers to a program, activity, approach, practice, model or policy newly created or introduced in a new setting, for a different target group and/or on a significantly expanded basis.

Tools for Crafting an Overall Scaling Strategy

Introduction

Too often, scale is an afterthought. But experience suggests it is essential to focus on scale as early as possible—even before establishing the efficacy of a potentially scalable intervention. It also has become widely acknowledged that, with few exceptions, the only platforms able to deliver goods, services, and outcomes sustainably at scale are governments and markets, or some combination of the two. That means that a realistic scaling strategy includes careful thought and substantial groundwork to lay a foundation for changes to be adopted or integrated into one or both of these platforms.

In our view, this planning and change management process is easier when approached as a series of manageable tasks and when potential stakeholders are engaged as early and as deeply as possible in planning for and helping to guide the scaling process.

This chapter introduces three tools intended to help shape and guide this overall process. We present them first because, in our view, they offer actionable ways to integrate the rest of the tools presented in this Toolkit. These three tools are:

- **Tool 1: Scaling Task Model:** A three-step, 10-task framework for planning and managing a pathway to scale.
- **Tool 2: Scaling Plan Template:** A suggested structure and format and for a substantive scaling plan.
- **Tool 3: Real-time Scaling Lab:** A methodology for assembling and engaging a diverse set of stakeholders in planning and guiding the scaling process.

The following sections describe each of these tools and how to use them effectively.





Tool 1: Scaling Task Model³

Purpose

The FRAMEWORK divides the process of scaling into three steps and 10 manageable tasks (see Figure 1 above).⁴ The first four tasks relate to developing a plan for taking an intervention to scale (the “Planning Step”). The next three tasks concern the actions needed to create the necessary preconditions for scaling (the “Political Step”). And the final three tasks are those needed for managing the actual scaling process (the “Operational Step”). Table 2 presents a Scaling Task Model guide, a set of questions intended to clarify actions in support of these 10 tasks.

How to Use the Guidance Questions

The questions below relate to each of the FRAMEWORK’S 10 tasks. There is no need to answer each of the guiding questions in a formal or linear way. Rather, the questions

are intended to encourage discussion about scaling plans and strategies and to provide insight into each of the 10 tasks. The questions are also intended to generate most of the information needed to produce a formal scaling plan (Tool 2).

Because these questions—and the plan to which they contribute—are somewhat subjective, they are designed to be pursued in a participatory, multi-stakeholder workshop setting with a trained facilitator. Alternatively, it is possible to delegate the responsibility to an individual or team to amass the information based on a series of key informant interviews; if teams use this latter approach, the report should present the range of views expressed on key questions, and a variety of stakeholders should review the report.

Table 2: Guidance Questions

<p>STEP 1: Develop a Scaling Up Plan</p>	<p>Task 1: Create a Vision</p>	<ul style="list-style-type: none"> » What organizational, process and technical factors were critical to success on a pilot scale? » Can the intervention be simplified without undermining its effectiveness? Is it absolutely necessary to replicate all elements of the intervention on a large scale? » Does the organization that developed the intervention or 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 intervention on a scaled- up basis or to serve as partners in implementing the intervention? » 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 is 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? » Along what dimension(s) should scaling up take place? » What would scaling up look like if it were successful?
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³ For a printable version of this tool reference, see “[Scaling Development Outcomes.](#)”

⁴ For more information about the steps and tasks, see “[Scaling Development Outcomes.](#)”

STEP 1: Develop a Scaling Up Plan (cont'd)	Task 2: Assess Scalability	<ul style="list-style-type: none"> » Do relevant stakeholders, potential partners and intended beneficiaries perceive a need for this kind of intervention? » Has the intervention been documented, including the process component, and has its cost-effectiveness been objectively assessed? Does the evidence indicate that the intervention is more cost-effective than other approaches? » Are there obvious economies or diseconomies of scale? » How easily can institutional characteristics that were key to the outcomes achieved be replicated or enlarged? » Is there anything special or unique about the social or political context, or general circumstances of the intervention or pilot project (e.g., cultural, ethnic or religious values/characteristics; distribution of power; homogeneity; economic conditions) that would need to be present for the intervention 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 to replicate the intervention 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 intervention successfully?
	Task 3: Fill Information Gaps	<ul style="list-style-type: none"> » What additional information or documentation is needed as a basis for planning and to address stakeholder concerns?
	Task 4: Prepare a Scaling Up Plan	<ul style="list-style-type: none"> » Does the plan summarize the need, vision and evidence for scaling up the intervention? » Does the plan include a clear description of proposed actions, timetables, roles, responsibilities and resources?
	STEP 2: Establish the Preconditions for Scaling Up	Task 5: Legitimize Change
Task 6: Build a Constituency		<ul style="list-style-type: none"> » Which organizations, organizational units or individuals are responsible for key decisions regarding the funding and implementation of scaling up? Who has the authority to make decisions within these organizations? » What arguments, appeals or advocacy strategies are likely to 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?

<p>STEP 2: Establish the Preconditions for Scaling Up (cont'd)</p>	<p>Task 7: Realign and Mobilize Resources</p>	<ul style="list-style-type: none"> » 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 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 these resources are available? » What new partnerships will need to be established, if any?
<p>STEP 3: Managing the Scaling Process</p>	<p>Task 8: Modify Organizational Structures</p>	<ul style="list-style-type: none"> » What needs to be done to encourage and assist the Originating Organization to relinquish control and make the changes necessary for the successful transfer and scaling up of the intervention by the Adopting Organization? » What changes need to be made in the organization expected to implement the intervention at scale? » Which organizations are responsible for the transfer process, and what changes do they need in their own capacity--structure, staffing or operations--to do this successfully?
	<p>Task 9: Coordinate Action</p>	<ul style="list-style-type: none"> » 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 to coordinate the scaling up effort? » How will mutual accountability be established, and conflicts resolved?
	<p>Task 10: Adapt Strategy and Maintain Momentum</p>	<ul style="list-style-type: none"> » Are there adequate procedures for documenting the progress, lessons learned and impact of the scaling up effort? » What mechanisms will most effectively ensure that this information is fed back to key stakeholders and the broader public and used to make necessary course correction?



Tool 2: Scaling Plan Template⁵

Purpose

The Scaling Plan Template⁶ is intended to support organizations in understanding and negotiating scaling goals and in outlining the requirements, potential and risks for an intervention going to scale. It describes in some detail the strategy for reaching and sustaining scale, including the plans for monitoring progress and context and for making iterative modifications to the intervention and/or the scaling strategy. It is intended to be a dynamic tool periodically revisited and revised based on new insights, data and evolving landscapes. A scaling plan and the process of drafting it should also guide efforts in Step 3: Managing the Scaling Process, including laying the groundwork for developing a monitoring, evaluation and adaptive management plan (see Tool 11, Guidelines for Evidence Generation and Use, and Tool 12, Adaptive Management Protocol).

The scaling plan should be revised and elaborated once the Scalability Assessment Checklist (Tool 6) has been completed.

How to Use This Tool

A typical scaling plan is 10–15 pages in length.⁷ Beginning with a vision of delivery at scale and an intended scaling pathway, it summarizes key scaling drivers and obstacles, organizational considerations, financing arrangements and milestones.

The template divides the plan into 10 sections (see Table 3). Suggested word counts are based on best practice to indicate the recommended depth of analysis.

Table 3: Scaling Plan Template

Scaling Plan Template	
Vision (150 words)	Summarize the problem, need, intended audience and expected result of delivering the proposed solution at scale.
Summary of Scaling Plan (500 words)	Ensuring that interventions can be delivered and sustained at scale requires a realistic assessment of the prospects and parameters for scaling, the changes needed to implement the intervention at scale, and the challenges that stand in the way. The scaling plan should represent a consensus among actors around: (a) what is being scaled (e.g., the core components of the intervention); (b) the scope of intended scale-up (e.g., geographies, breadth/depth of services, and client type) and expected benefits; (c) who will have responsibility for taking the intervention to scale, delivering it at scale (e.g., government, NGOs, private sector or a combination of these); (d) the phases and timelines for scaling; and (e) who will have responsibility for funding the transition to scale and for financing ongoing service delivery.
Credibility of the Proposed Solution (250 words)	To assess the feasibility of delivering a proposed solution sustainably at scale, it is important to assess the evidence that the solution represents a feasible and effective approach to solving the targeted problem. This evidence may take the form of evaluations, studies and other research demonstrating the impact of the solution; its applicability in a variety of relevant contexts; and/or its acceptance by practitioners, academics and/or beneficiaries. Describe the extent to which the solution you propose is currently supported by evidence and/or your strategy for establishing that evidence.

⁵ For a printable version of this tool reference, see “[Scaling Development Outcomes](#).”

⁶ This tool is based the MSI 10-task framework for scaling and Scalability Assessment Checklist (Tool 6), further informed through collaboration with the Center for Universal Education at the Brookings Institution.

⁷ In addition to the narrative scaling strategy/plan, a shorter, visual presentation of the strategy can be helpful when discussing and validating with a broader group of stakeholders.

Scaling Plan Template

<p>Recognition of the Problem and Support for the Change (250 words)</p>	<p>Where beneficiaries and practitioners recognize a problem as significant and persistent, and where policymakers and beneficiaries perceive the resolution of the problem as an urgent need, there are greater opportunities to marshal support for and legitimize the proposed solution. Present evidence that the problem you propose to address is recognized as an urgent problem among beneficiaries and policymakers. Describe how your proposed solution will take advantage of existing or potential coalitions to foster change and/or mitigate the impact of opposition to change.</p>
<p>Drivers, Enabling Conditions and Partnerships (250 words)</p>	<p>Scaling up interventions requires certain “drivers” to push the scaling process (i.e., champions, incentives, market and/or community demand) and certain “enabling conditions” (fiscal, institutional and political). In addition, partnerships are often required. Note the areas in which the presence or absence of these drivers, enabling conditions and partnerships are likely to be significant assets or challenges.</p>
<p>Advantage of the Proposed Solution to Alternative Solutions and to the Status Quo (250 words)</p>	<p>Support for new solutions is influenced by the degree to which policymakers, practitioners and beneficiaries perceive the proposed solution as preferable to the status quo or to alternative approaches. Present evidence demonstrating that the solution you are proposing is more effective and/or efficient than alternative approaches or to maintaining the status quo. Also present any evidence indicating that the proposed solution is perceived by policymakers, practitioners and beneficiaries to be more effective and/or efficient than alternative approaches.</p>
<p>Ease of Transferring and Applying the Solution at Scale (500 words)</p>	<p>Implementing a solution at scale requires considering how the solution will have to be adapted to meet the needs of different or expanded populations and/or the requirements of the larger policy environment. Describe what you consider to be the most challenging adaptations required to implement your solution at scale and your organization’s approach to addressing these challenges.</p>
<p>Organizational Capacity to Implement the Solution at Scale (250 words)</p>	<p>Describe how your organization and other proposed implementers currently possess or will develop the organizational capacity to implement the proposed solution at scale, drawing where appropriate on your previous experience. If additional human and institutional resources will be needed to support the process of “going to scale,” or delivering at scale, describe how you will ensure that these resources are available.</p>
<p>Financial Sustainability of the Proposed Solution (250 words)</p>	<p>In most cases, initial funding is insufficient to solve the problem for all beneficiaries or to solve the problem in perpetuity. Describe how any additional needed resources will be mobilized to establish a sustainable funding base for the proposed solution at scale. If you feel that the proposed solution does not require recurring financial support, describe why this is the case. Tool 10, Scale Costing Protocol, can be used to inform this stage of the plan.</p>
<p>Actions, Milestones and Timetable (as appropriate)</p>	<p>Present in tabular form the key targets/benchmarks (including coverage, outputs, and intermediate outcomes) and intended timetable for scaling of the proposed intervention over its full journey to scale. These targets/benchmarks can be quantitative or qualitative in nature (e.g., establishment of a steering committee; an approved policy or budget). In a separate table, list any incremental actions and resources needed to support monitoring and reflection regarding scaling progress, assumptions, and plans. Indicate who should be responsible for these monitoring and reflection activities and propose a timetable for these actions which includes, as a minimum, semiannual stop-and-reflect sessions.</p>



Tool 3: Real-time Scaling Lab

Purpose

A Real-time Scaling Lab (RTSL) is a participatory, action research approach to support scaling developed by the Center for Universal Education at Brookings in collaboration with local institutions around the world for use in the education sector, but suitable for use in other sectors.⁸ This guidance is intended for practitioners, policymakers and funders engaged in scaling development interventions.

While not a “tool” in the traditional sense, the RTSL approach is a process to document collaboratively, learn from and support ongoing efforts to scale and sustain the impact of an intervention in real time. The RTSL combines ongoing documentation and analysis of the scaling journey with a series of in-person and virtual convenings and workshops that bring together a diverse group of key stakeholders to plan collectively for sustainable scale, discuss and reflect on challenges and opportunities faced as they arise, and develop and test adaptations and course corrections to scaling strategies through an iterative learning process. The lab offers concrete opportunities for peer-to-peer learning and exchange, while also generating more knowledge on the “how” of scaling impact. Many of the other tools detailed in this Toolkit can be used in conjunction with the RTSL process.

How to Use This Tool

The RTSL is intended for situations where the scaling process for an intervention involves multiple stakeholders from diverse sectors, each of whom may have different scaling-related goals, incentives and/or perspectives. It can be used in these situations in multiple ways and at various points in time, including:

- When beginning to plan for scale, launching a scaling process or entering a new phase of a scaling process.

- When looking to expand and deepen the impact of an effective intervention and create sustainable change within a system, rather than implement a multi-year project and then move on.
- When looking to learn more about the scaling process, build capacity for scaling and systems change, and document the “how” of the scaling process, not just the end results.

An RTSL process can be initiated and led by a variety of different institutions, ranging from the Originating Organization (an NGO, government agency, social enterprise, private business, etc.), the Adopting Organization, an institution funding the intervention or the scaling process, or a neutral third-party Intermediary, such as an institution with scaling expertise. The RTSL approach was created to be flexible and adaptable, and to be tailored to suit the local context and intervention being scaled. The duration of the lab process depends on the individual case and can be tailored to the specific circumstances; however, experience suggests it should last a minimum of three years to allow sufficient time to lay the foundations for the work of the lab, build ownership among multiple stakeholders in the process, develop and refine scaling strategies, and have opportunities for multiple iterations of reflection and adaptation based on new data and insights.

Table 4 presents a general outline of steps in a typical lab process.

⁸ More details on the Real-time Scaling Lab methods and approach can be found in Jenny Perlman Robinson and Molly Curtiss Wyss, *Millions Learning Real-time Scaling Labs: Designing an Adaptive Learning Process to Support Large-Scale Change in Education* (Brookings Institution, 2018), <https://www.brookings.edu/research/millions-learning-real-time-scaling-labs/>. See also the project website, “Millions Learning,” Brookings Institution, www.brookings.edu/product/millions-learning/.



Table 4: Real-time Scaling Lab

Step	Details
Lay the groundwork for the launch of the RTSL	
<p>Identify key personnel</p>	<p>Institution(s) leading the RTSL process identifies an individual or set of individuals to serve as the RTSL Manager.</p> <p>The Manager should be a senior-level individual in the sector of focus who has the network and authority to convene the essential stakeholders, facilitate lab convenings and scaling discussions, manage outreach and follow up with key stakeholders, including within government. This might be a person within the leading institution or within government, or the role might be split among several individuals with complementary skills, knowledge or relationships.</p> <p>Institution(s) leading the RTSL process identifies an individual or set of individuals to serve as RTSL Documenter.</p> <p>The Documenter is responsible for capturing details of the scaling process, including challenges and opportunities, adaptations or course corrections tested, and the results of those tests, and may also collate and synthesize existing data and conduct primary data collection as needed. The Documenter also supports the Manager in organizing and leading lab events, including setting agendas, taking notes and conducting outreach to lab members. This might be an individual within the leading institution or the government, or it might be an external actor, and the role can be split among multiple individuals if need be.</p>
<p>Conduct relevant background research</p>	<p>Leading institution(s), along with the Documenter, conducts background research on the local context, including Stakeholder Analysis and Drivers of Change Analysis (Tools 7 and 8). Even for those with deep experience in the local system, this research can provide important insights on whom to engage in the scaling process and what factors to consider in scaling strategies.</p>
<p>Identify and engage lab members</p>	<p>Leading institution(s) identifies and invites key stakeholders already involved—or who will need to be involved—in scaling the intervention, representing a diversity of sectors and perspectives (including representatives from government, civil society, the private sector, etc.) to participate in the lab process. The exact number of lab members varies based on the intervention and context, but the size should be limited enough to enable meaningful group discussion. Participants should be of sufficient seniority that they have the decision-making power to act on the learning generated through the RTSL. Ideally, the same individuals participate in the entire process. Stakeholder Analysis (Tool 8) can be a useful resource when determining the right group of lab members.</p> <p>Prior to the lab launch, it is important for the RTSL Manager and Documenter to meet with the lab members individually to socialize the RTSL approach, including to explain the purpose of the RTSL in greater detail, answer questions, establish expectations and benefits of participation, and build buy-in and engagement for the process.</p>
<p>Determine lab structure</p>	<p>Leading institution(s), drawing on local context knowledge and background research, determines whether the RTSL should be a stand-alone group or embedded into an existing structure (such as a working group, community of practice, government institution or department). The intention of the RTSL is not to duplicate existing groups or processes or to work in parallel to current systems, but to implement a new way of working and approach to scaling in the system.</p>
Launch of multi-year RTSL process and development of scaling goal, theory of change and strategy	
<p>Hold initial lab convening</p>	<p>The lab process is officially launched with a convening of all lab members to establish a common language and understanding around what is meant by scaling, discuss why scaling is a challenging and long-term proposition, and ensure alignment around the purpose of the RTSL. If appropriate, the group identifies a Chair. In the absence of a Chair, the Manager functions in that capacity. The convening then focuses on identifying a key problem the intervention seeks to address and its underlying causes, and it considers how the proposed intervention might serve as a potential solution (using Tool 4, Second Theory of Change, or a similar process). If not all lab members are deeply familiar with the intervention (as is often the case with such a diverse group), it is useful in this first gathering to include a presentation on the details on the intervention and its scaling progress to date. The Scalability Assessment Checklist (Tool 6) can be a useful tool at this stage to explore issues around the scalability of the intervention.</p>

Step	Details
Develop and/or refine a scaling goal and theory of change	<p>Lab members, facilitated by the RTSL Manager, collectively articulate a shared Intervention Profile (Tool 5), scaling goal and scaling theory of change for the intervention. This discussion might take place during the initial lab convening or at subsequent meetings, and the constitution of the group working may include all lab members or a specific subset, depending on the context and intervention. The scaling goal should be concrete, measurable and time bound. The Scaling Task Model (Tool 1) and the Second Theory of Change (Tool 4) are useful resources and points of departure.</p>
Develop and/or refine a scaling strategy	<p>Lab members develop or refine a scaling strategy based on their shared vision and theory of change (see Tool 2, Scaling Plan Template). The scaling strategy should result from the lab members' collective strategic thinking and serve as a "North Star" guiding the lab group's efforts moving forward. The strategy should remain a living document, continuously revisited during periodic lab meetings and updated based on new insights, data and learning, as well as changes in the enabling environment. If a scaling plan for the intervention already exists, it can be used as a starting point and revised as needed.</p> <p>It is sometimes useful for a small team, led by the RTSL Manager, to create a first draft of the scaling plan, drawing on RTSL discussions and existing data, including from the stakeholder map and political economy analysis. The Documenter may undertake additional background research to help fill gaps and triangulate information.</p> <p>Once a plan is agreed upon, lab members should identify concrete next steps to take to advance the scaling strategy and address challenges and opportunities in the coming months, as well as any measures that might be used to track whether these actions are leading to improvement (see Tool 12, Adaptive Management Protocol). Additionally, it is useful to conduct a baseline assessment to determine the extent to which the intervention, or something similar, is currently integrated into existing national structures. The Institutionalization Tracker (Tool 13) can be useful for undertaking this baseline assessment and for ongoing assessments of progress toward full institutionalization.</p>
RTSL iterative learning cycle	
Put scaling strategy into practice	<p>After drafting the scaling strategies, lab members and other key implementers put them into practice. Throughout the process, the RTSL Documenter (supported by others) collects, collates, and synthesizes data and key learnings on the scaling process, progress toward scaling targets, and strategies tested for addressing key challenges and opportunities. Where needed, the RTSL Documenter, supported by the leading institution(s), may also conduct supporting research on key issues and questions arising.</p>
Reflect on emerging insights and changing landscape during periodic, all-lab reflection convenings	<p>Lab members reconvene periodically (typically, every three to six months) to reflect on the scaling process, as well as changes in the broader ecosystem; identify opportunities and obstacles confronted or anticipated in making progress toward sustainable scale; and propose adjustments to the scaling plan or potential actions to address these obstacles. Lab members also collaboratively analyze the lessons learned thus far and evaluate progress along the scaling pathway toward the end goal. The Adaptive Management Protocol (Tool 12) provides a useful format for structuring and documenting these deliberations.</p>
Explore key issues and unresolved questions through smaller meetings and working groups	<p>Between the periodic all-lab convenings, the RTSL Manager may convene smaller meetings and subgroups of lab members to focus on particular issues or themes. These meetings or groups can take a variety of forms, depending on the needs of the RTSL. The Manager and/or Chair might create formal subgroups to continue work on specific scaling issues and take advantage of specific expertise. The Manager and/or Chair also might plan smaller meetings as needed or identify a core group of lab members to function as an executive committee between all-lab meetings. While the exact structure will differ depending on the intervention, the system, and the stakeholders, it is essential to explore the impact on scaling strategies based on new data and ongoing changes to the broader environment.</p>

Tools for FRAMEWORK Step 1: Developing a Scaling Plan

Introduction

Developing a scaling plan begins with a vision of an end state—what will be delivered to whom, by whom and to what effect? How will this happen, and who will pay for it? And who needs to do what to make this all happen?

Sometimes planning begins with a seemingly successful pilot or prototype effort. If so, it requires careful dissection of the intervention to determine its essential elements, as well as the obstacles and opportunities likely to affect prospects for sustainable and impactful delivery at scale.

Sometimes planning begins with an array of possibilities or an unmet need and requires assessing the scaling prospects and potential benefits of a variety of alternative interventions.

In all cases, planning with scale in mind requires careful attention to characteristics of the underlying system and context, as well as to opportunities for simplification and minimizing cost, particularly additional cost.

The three tools to support Step 1 include:

- **Tool 4: Second Theory of Change:** identification and rationale for proposed pathway to scale
- **Tool 5: Intervention Profile:** relevant characteristics of intervention, Originating and Adopting Organizations
- **Tool 6: Scalability Assessment Checklist:** 32-item checklist of considerations affecting scalability

The tools for Step 1 can be used by staff members of the organization that developed the intervention (the Originating Organization) and/or by external actors with intimate knowledge of the organization (e.g., researchers, external consultants involved in the original intervention, members of advisory or steering committees, donors, etc.). The facilitation of this process is best carried out by a third party. As soon as preliminary decisions are taken about who is expected to implement the intervention at scale, representatives from that organization should be engaged to the extent possible.





Tool 4: Second Theory of Change

The concept of “Theory of Change” refers to the logic by which an intervention produces an outcome. MSI defines the “Second Theory of Change” as the logic of how that intervention continues to achieve those outcomes sustainably at scale. In other words, it is not a theory about how the intervention works; it builds on that theory and describes the theory of how the intervention expands to match the scale of the need—i.e., how it becomes a permanent part of the “system.”

There is an old but relevant maxim: “It’s important to fall in love with the problem before you embrace a solution.” With this in mind, planning for scale should begin with a deep look at the underlying problems, even when a seemingly successful intervention already exists. There are

many tools one can use for this purpose. A simple but a powerful one is the Problem Tree.

Regardless of the starting point, the end result should be a clearly articulated Second Theory of Change understood and agreed upon across all parties.

We recommend a sequence of four actions, applied in the following order, to support the development and use of a Second Theory of Change:

1. Problem/Objective Tree
2. Results Framework
3. Second Theory of Change
4. Reverse LogFrame

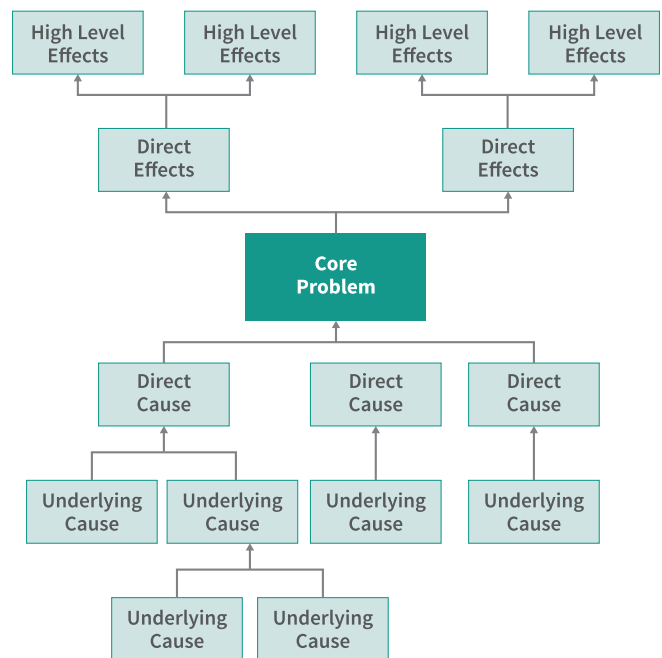
Action 1: Problem/Objective Tree

Purpose

While a variety of more complex, multidimensional systems analyses exist, conducting a Problem Tree Analysis provides a simple way to garner insights on a problem and its root causes and effects. The analysis also facilitates a participatory process among implementing partners and other key stakeholders (including beneficiaries) to ensure that the problem, and the populations it impacts most, are understood similarly across all parties.

Once completed, the Problem Tree Analysis serves as the basis for developing an Objective Tree, Results Framework, and Second Theory of Change. While it is tempting to skip steps in this process when scaling existing interventions, the discipline of beginning with problem analysis helps to validate the relevance and design of the intervention prior to embarking on an effort to take that intervention to scale.

Figure 3: Problem Tree⁹



⁹ Adapted from <https://www.pmdprostarter.org/problem-tree/>

How to Use the Tool

A Problem Tree Analysis is a participatory planning tool ideally suited for engaging a range of stakeholders in a workshop setting.

We recommend that a third-party facilitator with some knowledge of the problem and context facilitate the discussion. The Problem Tree can be drawn on a large flipchart or whiteboard; if facilitating the analysis online, consider tools such as Google Jamboard. Depending on the number of participants, each step outlined below can be done first in pairs or small groups, and then shared and discussed with the larger collective group.

To construct a Problem Tree:

1. Identify a central problem and write it at the center of the flipchart or whiteboard.
2. Identify the main causes (i.e., what is contributing to the core problem) that form the roots, as well as what causes give rise to each of those roots
3. Identify the effects and/or consequences of the core problem.
4. Identify the effect(s) of each of those effects.
5. Incorporate as many levels (i.e., causes of the causes, effects of the effects) as seems useful.

Once the Problem Tree is completed, begin by inverting each problem statement into its opposite—an objective or desirable situation/result. This mechanical inversion sometimes results in awkward statements, but these can usually be easily modified to conform more closely to a meaningful objective.

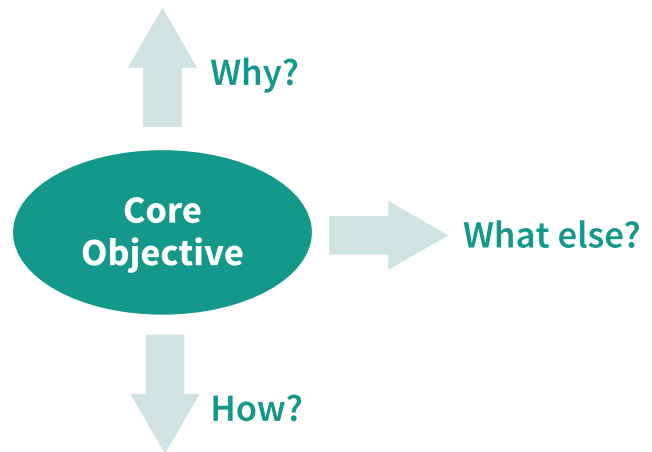
Action 2: Results Framework

Purpose

A Results Framework is a planning, communication and management tool that helps to outline the if-then logic (e.g., cause-effect relationship) and pathway for achieving a specific goal at scale. It is similar to an Objective Tree but

Once the preliminary Objective Tree has been created, ask the group to review it and make whatever modifications it thinks are necessary to ensure the analysis is comprehensive and credible. One way to do that is to begin with the core objective (the inverse of the core problem) and broaden the analysis up, down and laterally by asking why the objective matters (to augment the array of objectives at higher levels), how the objective will be accomplished (to augment the array of objectives at lower levels) and what else is needed at each level to accomplish a higher objective (to generate additional objectives that need to be achieved to establish the necessary and sufficient conditions to move from one level to the next).

Figure 4: Objective Tree



Objectives that contribute to the same desired outcome can be clustered and used as a basis to stimulate discussion about drivers, entry points and indispensable elements. In general, lower parts of the tree will focus on factors essential to implementing a successful intervention, and higher parts of the tree will focus on changes needed to take those interventions to scale. It is important to note that the analysis usually uncovers actions and objectives near the roots of the tree that need to be undertaken early if scaling is to be successful later in the process.

at scale. If the intervention already includes a well-articulated Results Framework and/or theory of change, this action should focus on ensuring that these analyses truly incorporate the necessary and sufficient conditions for scaling

A Results Framework is usually focused on intended achievements within a specific timeframe (e.g., five or 10 years). It is a useful tool for negotiating agreements among stakeholders and creating a framework for monitoring and evaluating progress during implementation.

How to Use This Tool

The process of building a Results Framework forces you to articulate the causal pathways and relationships among the intervention's activities, outputs, outcomes, and goal. Like Objective Trees, Results Frameworks use the logic, "If we do X and Y, then we can achieve result Z." The Results Framework and logic should be based on evidence wherever possible and rooted in analysis (e.g., Problem/Objective Tree) about what the core problem is and how to solve it.

A Results Framework can be built from the Objective Tree by selecting a core objective (usually the intended Outcome of the intervention), an intervention point, one or more cluster(s) of Outputs or subordinate Outcomes, and a clear articulation of one or more higher objectives (Goal, Super-Goal, etc.). Juxtaposition with the Objective Tree can be used as a cross-check to make sure the proposed strategy does not inadvertently omit key elements of a prospective solution to the core problem or alternative solutions to that problem.

Action 3: Second Theory of Change

Purpose

The Second Theory of Change is a clear narrative description of the pathway by which a successful solution to a problem achieves and sustains scale. In articulating this strategy, it is useful to keep in mind the alternative pathways by which interventions can proceed to scale (see Table 5 below). It is also useful to recall that, with few exceptions, sustainability at scale can only be provided by governments, businesses, or a combination of the two.

Developing a Results Framework is an iterative process that should be updated as needed during implementation based on learning and need for adaptation. As with the Problem/Objective Tree, it is useful to involve a trained facilitator and a variety of stakeholders (especially partners, intended beneficiaries and those who would be responsible for funding and implementation at scale) in developing the Results Framework.

KEY DEFINITIONS

Goal: The highest-level outcome or impact the intervention is working to achieve or affect within a specific timeframe.

Outcome: The medium-term result(s) or change(s) attributed to a successful intervention.

Outputs: The direct or immediate results or products from the intervention's activities.

Once complete, review and test the if-then logic of the Results Framework to determine that the logic is feasible, plausible, and clear. Ask the following guiding questions about your draft Results Framework:

- Does it include all the necessary elements/results?
- Does it thoroughly explain HOW and WHY change will happen?
- Does the proposed pathway to the Goal make sense and seem plausible?
- Is the graphic easy to understand and explain?

The FRAMEWORK groups scaling strategies into three approaches--expansion, replication and collaboration--distinguished from one another by the degree to which the organization that developed the intervention--the Originating Organization--maintains control over implementation as the intervention goes to scale.

Expansion refers to a group of strategies for taking an intervention to scale by increasing the scope of operations of the organization that originally developed and piloted it. This means the intervention remains with the original



implementers, and administrative and management processes may not need to be reconfigured.

Replication differs from expansion in that the intervention is taken on by new adopters. This almost always involves significant modifications to the original intervention to suit the various organizational cultures and capacities of the new adopters. In these cases, an arms-length relationship between the Originating and Adopting Organizations usually exists after the transfer, and more attention is needed to the salient components of the original intervention to ensure its effectiveness is maintained.

Collaboration 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 or broad-based social movements. Typically, these arrangements include some division of responsibility among the collaborating organizations and individuals.

How to Use This Tool

Table 5 presents the three main approaches to scaling—Expansion, Replication and Collaboration—and details for each approach a series of direct scaling “pathways” that Originating Organizations can pursue. In addition to these direct pathways, there are also “indirect pathways,” sometimes referred to as field building, where the focus is on advancing shared objectives rather than specific interventions, making use of Replication and Collaboration pathways.

Experience is growing on the circumstances under which these various approaches and pathways are most applicable.

Table 5: Scaling Approaches and Pathways

Direct Approaches			Indirect Approaches	
Type	Method		Field Building	
EXPANSION	<ul style="list-style-type: none"> • Growth • Franchising • Spin-off 	}		
REPLICATION	<ul style="list-style-type: none"> • Policy Adoption • Grafting • Diffusion • Commercialization 			
COLLABORATION	<ul style="list-style-type: none"> • Formal Partnerships and Strategic Alliances • Networks and Coalitions • Movements 			
			6. Shared Identity	
			7. Standards of Practice	
			8. Knowledge Base	
			9. Leadership and Grassroots Support	
			10. Funding and Supporting Policy	

Each of these pathways has pros, cons, and implications, as summarized in Table 6.

Table 6: Pathways to Scale				
	Core Idea	Pros	Cons	Primary Activities
Direct Pathways				
Expansion	Focuses on increasing organizational size, operational scope or geographic spread	Provide a high degree of comfort to originators and funders because they embody conventional standards of organizational success and offer the ability to retain operational and cultural control over the intervention.	In the social sector, there are few cases of successful scaling to population-level impact using expansion strategies	
Replication	Persuade other organizations, including public sector institutions, to take up or mandate an innovation, process, concept or model. In most cases, methods under this approach involve an arms-length relationship between the Originating and Adopting Organizations.	<ul style="list-style-type: none"> • Potential to transfer implementation to larger or more sustainable platforms • In the case of transfer of responsibility to the public sector, can ensure mandatory compliance, provide access to greater financial resources and cover a large geographic area 	Requires the Originating Organization giving up control and the Adopting Organization agreeing to implement someone else's idea. This is particularly difficult in interventions where culture, ideology or other tacit elements are key to the operating model's effectiveness.	To be effective, requires an intensified focus on evidence, learning and standards to replicate the theory of change in diverse structures, institutions and environments. Also requires a nuanced understanding of the incentives of potential implementers, and the capacity of those entities to deliver consistent results under a different organizational umbrella.
Collaboration	These strategies include various forms of division of labor through formal partnerships, strategic alliances and coalitions. They include a growing array of innovative structures and governance arrangements reflecting the need to leverage the strengths and motives of various types of organizations.	<ul style="list-style-type: none"> • Reduced competition • Opportunity for specialization and leverage of each organization's distinctive capabilities 	<ul style="list-style-type: none"> • Requires a degree of release of intellectual property or brand • Need to respect and accommodate the objectives and business models of each institutional partner 	Typical functions for the Originating Organization within coalitions often include quality control, advisory support, learning and dissemination of best practices. The same organization(s) often also provides intermediation functions on behalf of a variety of service providers.

	Core Idea	Pros	Cons	Primary Activities
Indirect Pathways				
Field Building	Field building uses Replication and Collaboration strategies but emphasizes building “the field” by focusing on the “ecosystem.” Key players in such ecosystems typically include policymakers, community groups, NGOs, advocacy groups, service-delivery groups, think tanks, funders, investors and beneficiaries.	<ul style="list-style-type: none"> • Same as for Replication and Collaboration above, but more extreme • Potential for exponential growth in outcomes without corresponding growth in the Originating Organization 	<p>Same as for Replication and Collaboration above, but more extreme</p> <p>More attenuated relationship with direct beneficiaries, sometimes resulting in initial challenges with staff members and board members more accustomed to the “high touch” world of client contact</p>	<ul style="list-style-type: none"> • Growing the field by raising awareness of an issue to generate support and funding • Improving the performance of existing players already in the field • Creating a shared identity, standards of practice, knowledge base and leadership to support improved policy and funding • Political strategies focused on advocacy and lobbying

A simple Methods Screen such as that shown in Table 7 aids in the selection of the most appropriate scaling approach. It compares the characteristics of the intervention with the characteristics of each scaling approach.

Table 7: Scaling and Methods Screen	
Factors Affecting the Choice of Scaling Method	
Type of Model	
Technology Intensive →	Any Method
Process Intensive →	Expansion or Collaboration
Comprehensiveness of Model	
Specific Practice →	Any Method
Complete Model →	Expansion
Capacity of Originating Organization	
Strong →	Expansion, Collaboration
Weak →	Replication
Source of Financing	
Internal →	Any Method
External →	Replication, Collaboration
Availability of Formal Evaluation and Documentation of the Model	
Yes →	Any Method
No →	Expansion

Factors Affecting the Choice of Scaling Method

Observability of Results

High → Any Method

Low → Expansion

Ease of Transfer to Other Organizations

High → Replication, Collaboration

Low → Expansion

Quality of Governance

High → Replication

Low → Expansion or Collaboration

Presence of NGO Networks

Strong → Replication

Weak → Expansion, Collaboration

Social Homogeneity

High → Any Method

Low → Replication, Collaboration

Action 4: Reverse LogFrame¹⁰

Purpose

The Reverse LogFrame translates the Second Theory of Change into an operational plan. Like a Results Framework, the Reverse LogFrame uses if-then logic to describe a specific intervention or time-bounded change effort. But it adds five elements not usually included in Results Frameworks—Assumptions, Activities, Indicators, Targets and a Budget. It is a 4x4 matrix that presents Activities, Outputs, a Purpose and a Goal as the hierarchy of objectives and, at each level, identifies the performance indicators, targets and assumptions needed to achieve the results at that level.

How to Use This Tool

Unlike traditional LogFrames, the Reverse LogFrame works backwards from the Second Theory of Change. It reflects the logic that time-bounded change efforts are

most likely to advance scaling when they substitute as the intervention's Goal *Sustainable Outcomes at Scale* rather than *Impact on Project Beneficiaries*.

The treatment of Assumptions bears special mention. There are several different types of assumptions—for example, assumptions about external conditions, assumptions about willingness and ability to fund an intervention at scale, and assumptions about how stakeholders will respond to or interact with an intervention. For purposes of scaling, the most important assumptions are those that intervene between the top two levels of the LogFrame (i.e., between the Outcome(s) and Goal), namely, those that intervene between an impactful intervention and the ability to deliver that intervention sustainably at scale.

Identifying the most critical assumptions that intervene between activities and outputs, between outputs and

¹⁰ For a full treatment of the Logical Framework and its use, see Lawrence Cooley, "The Logical Framework," *The Entrepreneurial Economy Review*, Vol. 8 (July/August 1989): 8-15.



outcomes, and between outcomes and the overall goal is essential for moving from broad strategies to realistic plans. Moreover, testing these assumptions is an essential first step in validating an intervention's applicability to new contexts. Critical assumptions can be monitored and managed against during implementation to mitigate risk and are therefore important to understand when developing a strategy and monitoring, evaluation, and learning (MEL) systems (see Tool 11, Guidelines for Evidence Generation and Use).

When brainstorming critical assumptions, it is useful to ask the following guiding questions:

- What potential challenges or problems could affect the achievement of the goal or outcomes?
- What “shocks” or external factors might derail the intervention's progress? (What could go wrong?)
- Who (outside of the intervention) are you relying on to do certain things for the intervention to succeed?

As with Results Frameworks, it is essential (and all too infrequent) for LogFrames to be incorporated into an iterative process and updated as needed during implementation based on changing conditions and insights gained through testing and experience.



Tool 5: Intervention Profile

Purpose

Scaling strategies can be crafted only with a clear understanding of the characteristics of the intervention and the organizational requirements for implementing it. For this purpose, the term “intervention” refers to a program, activity, approach, practice, model, or policy newly created or introduced in a new setting, for a different target group and/or on a significantly expanded basis.

The Intervention Profile facilitates the dissection of the intervention into its technical, process, organizational and contextual elements. It further disaggregates the relevant characteristics of the organization that developed and successfully applied the intervention at a modest scale and the organization(s) that will be responsible for implementing it at scale. The information provides a point of departure for the streamlining and adaptation needed to make the intervention feasible for implementation at scale by the organization(s) expected to implement it.

For this purpose, the MSI FRAMEWORK distinguishes the following three categories of organizations relevant for scaling:

- **Originating Organization:** the organization that developed and piloted the intervention
- **Intermediary Organization:** an organization that supports the technical, political, financial, or organizational changes needed for successful scaling
- **Adopting Organization:** the organization(s) that implements the intervention sustainably at scale

The Organizational Profile forms part of the larger Intervention Profile and is designed to be applied separately to the Originating and Adopting Organizations.

How to Use This Tool

Participants in the Originating Organization should be able to provide the necessary information on the intervention and on their organization’s vision, mission, values, staffing, funding, human resources, and core competencies. The objective is a description sufficiently detailed so that decision-makers fully understand the multiple components of the intervention when making planning and scaling up decisions.

In describing the intervention as implemented by the Originating Organization, it is useful to summarize the information using the following categories:

- **Technical Elements:** This includes technology, human resources (including volunteers), supplies, training modules, incentives, etc.
- **Process Elements:** These include elements such as stakeholder engagement, community sensitization, leadership, supervision, monitoring, delegation, etc.
- **Organizational Profile:** These elements include the Originating Organization’s vision and missions, values and culture, management and decision-making style, and governance structure (see detailed questionnaire in Table 8).
- **Context:** This information relates to the physical, economic, cultural, and political environment in which the original intervention took place. Primary types of contextual information are:
 - » **Target Population:** Information in this category would include standard demographic data, which is most often available from secondary sources, and any special characteristics, such as refugee status, religious affiliation, or other salient differentiators, such as intrinsic motivation.
 - » **Environment:** This refers to both human and physical elements that may have significant influence on the intervention, such as: rural versus urban environments, employment rates, ethnic diversity, family size, etc.; organizations and leadership; major economic activities; conflict versus stable environments; financial resources; and status of infrastructure, such as transport and communications systems, etc.

Table 8 provides a form that can be used to describe the Originating Organization (the one that implemented the original intervention), and, separately, to describe the Adopting Organization(s) that will implement the intervention at scale. Comparisons between the two descriptions highlight differences to take into account. Note that, for the Adopting Organization, the questions should be reworded slightly to focus on what is **intended or believed** to be case if that organization were to implement the intervention at scale.

It normally takes several rounds of interviews with key informants (technical and administrative staff, as well as leadership) to collect this information. Technical staff can usually answer questions 1–7 with basic monitoring data, sometimes through remote interviews, while questions 8–13 are more qualitative in nature and require more in-depth discussions with all types of staff, but particularly with the leadership. We recommend sending questions 8–13 to key informants in advance of the interview to allow them time to prepare. A trained interviewer—versed

in scaling up concepts and competent in skilled probing—should conduct the in-depth interviews.

In eliciting and interpreting this information, special attention should be focused on incentives. For sustainable change to occur, it is essential to understand and replicate incentives from the original intervention or to create an alternative incentive system to reinforce needed actions and desired results. Changes in rules, regulations and procedures are often necessary and require detailed knowledge of both the Originating and Adopting Organizations.

Table 8: Organizational Profile

1. Type of agency/organization (check one box)

<i>Government</i>				<i>Private Sector</i>			
National Ministry		State Agency		Not for Profit		For Profit	

2. Number of years intervention has been in operation (check one box)

Less than 3		3-5		6-10		More than 10	
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3. Budget used to implement the intervention

Year 1 budget of model (\$USD)		Percent of total agency budget, Year 1	
Latest full annual budget (if different from Year 1)		Percent of total agency budget, last year	

4. Location of activities of intervention (check one box)

All in one district		In multiple districts, but in same/single state/province		In multiple states/ provinces, but not all		Nation-wide (all states/ provinces)	
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5. Which of the following best describes the sources of funding the organization used to finance the introduction and use of the intervention? (Check all that apply):

a. Financed internally from general revenues or budget allocation of the organization	
b. Self-financed on a fee for service basis	
c. Special resources provided to the organization from national or local government sources for this purpose	
d. Foreign assistance donor resources provided by one or more foreign government, foundation, or corporation for this purpose	
e. National donor resources provided by one or more local foundation(s) or corporation(s) for this purpose	

Provide any important additional information on the method used to finance the intervention below:

6. Number of people directly affected by or receiving service(s) from the intervention during the last 12 months (total number from ALL service sites combined)

# Men		# Women		Children under 12		Total	
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6a. Average number of people served or affected per service site/area (only for interventions implemented in multiple sites)

# Men		# Women		Children under 12		Average of all people served	
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7a. Staff hours per day required to implement intervention at original site (for multiple delivery sites, use an average)

Total number of staff members implementing intervention in all locations		Average number of hours worked on the intervention at each location by staff members	
--	--	--	--

7b. Supervisory staff (technical) hours required to implement intervention (for multiple delivery sites, use an average)

Total number of supervisors implementing intervention in all locations		Average number of hours worked on the intervention at each location by supervisors	
--	--	--	--

7c. Administrative staff hours required to implement intervention (for multiple delivery sites, use an average)

Total number of admin staff implementing intervention in all locations		Average number of hours worked on the intervention at each location by admin staff person	
--	--	---	--

If there are more types of staff required to implement the intervention (e.g., volunteers), add additional lines and repeat the exercise.

8. Which of the following best describes the Originating Organization’s monitoring and evaluation of its intervention?

<i>Options</i>	<i>Check all that Apply</i>
a. The organization did not monitor or evaluate implementation of the intervention in any structured way.	
b. The organization monitored the introduction of the intervention against a timeline and set of progress/ results benchmarks it established before implementation began.	
c. The organization formally evaluated the introduction of the intervention for the purpose of determining whether it was as effective as or more effective than previous practices.	
d. The organization formally evaluated the introduction of the intervention for the purpose of determining whether it was as cost-effective as or more cost-effective than previous practices.	

Provide any additional comments on the monitoring and evaluation of the introduction of the intervention in the space below.

9. In the view of the Organization’s leadership, in what ways is the intervention a significant improvement over past practice?

9a. In the view of the Organization’s leadership, what aspects of their vision, values, or culture, if any, contributed to the successful development and implementation of the intervention?

10a. In the view of the Organization’s technical/supervisory staff, in what ways is the intervention a significant improvement over past practices?

10b. In the view of the Organization’s technical/supervisory staff, what aspects of the organization’s vision, values, or culture, if any, contributed to the successful development and implementation of the intervention?

11a. In the view of the Organization’s front-line service/delivery staff, in what ways is the intervention a significant improvement over past practices?



11b. In the view of the Organization’s front-line service/delivery staff, what aspects of the organization’s vision, values, or culture, if any, contributed to the successful development and implementation of the intervention?

12. Which of the following best describes the interest/commitment of the Organization’s leadership to scaling up the intervention? (Check only one response)

- | | |
|---|--|
| a. Views scaling up positively, but is not committed to playing an active role | |
| b. Committed to scaling up, but does not perceive itself as capable of leading that process | |
| c. Committed to scaling up and leading the effort to do so | |

Provide any important additional comments below.

13. Which of the following best describes the Organization’s view of its capacity for scaling up the intervention? (Check only response per column)

a. Capacity to scale up intervention themselves	Select one	b. Capacity to advise/supervise others in how to scale up the intervention	Select one
Very limited capacity		Very limited capacity	
Some capacity		Some capacity	
Strong capacity		Strong capacity	

Provide any important additional comments in the space below.

Briefly describe the decision-making process (i.e., on whose authority) that would enable the scale up of the intervention or would allow others to scale it up (e.g., the CEO, board of directors, management team, donor, etc.). Include any conditions the Originating Organization may place on allowing others to scale up the intervention.





Tool 6: Scalability Assessment Checklist¹¹

Purpose

The Scalability Assessment Checklist facilitates the identification and examination of factors affecting the scalability of an intervention. It includes characteristics of the intervention, the Originating and Adopting Organizations, the enabling environment, and the broader context. The tool has multiple purposes, including:

Helping to decide whether scaling up is a **viable** option;

- Assessing how relatively **hard or easy** that process will be; and
- Identifying ways to **improve the intervention’s scalability**.

The primary purpose of the assessment is not to give a yes or no regarding scalability, but to provide a basis for anticipating or remediating the most likely challenges that will be faced. It is also important to note that the Checklist looks only at the ease of scaling a particular intervention, not at the desirability or appropriateness of scaling. It is important, therefore, to discuss the desirability and appropriateness of scaling before using the Checklist.

MSI originally developed the Checklist based on a review of the literature and field experience in Mexico, Nigeria, and India. We have since modified it multiple times based on accumulating experience. The current version, version #14, is based on more than 200 direct applications in 40 developed and developing countries across a wide array of sectors. MSI and other organizations also have developed tailored versions of the Checklist for several sectors including agriculture,¹² education¹³ and child protection. VVOB also produced User Guide to support use of the Checklist in the education sector that includes many tips that are useful across sectors.

How to Use This Tool

The Checklist (Table 9 below) consists of 32 items divided into the following seven sections:

1. **Strategy:** The clarity and plausibility of the scaling strategy. The relevance of the intervention and scaling strategy for the full range of targeted beneficiaries.

2. **Credibility:** The extent to which the intervention is credible in the eyes of potential adopters, funders, implementers, and other stakeholders, including beneficiaries or end users. Sources of credibility can take many forms, from qualitative, quantitative, and anecdotal evidence, to the recommendations of experts or endorsements by prominent people.

3. **Support:** The extent to which the intervention is actively supported by potential adopters, champions, funders, implementers, beneficiaries, and other stakeholders. The extent to which the results (impact or effectiveness) of the intervention are observable. Existence of a leadership coalition committed to change. The nature and extent of opposition.

4. **Relative Advantage:** Agreement that current situation is unacceptable or unsustainable. The extent to which the intervention has relative advantages over existing practices and over the status quo.

5. **Transferability/Adoptability:** Ease of adoption of the intervention by other organizations and its transfer to other contexts. Consistency with existing procedures and norms. Breadth and depth of necessary changes and decisions.

6. **Organizational Fit:** Similarity between Originating and Adopting Organizations. Prior relationship between Originating and Adopting Organizations. Capacity and willingness of potential Adopting Organization to implement the intervention. Availability of relevant Intermediary Organizations to support scaling.

7. **Financing:** Extent to which the intervention is more cost-effective than existing and competing interventions. Extent to which the total cost at scale fits realistically within the resources or financial envelope of possible adopters and funders.

Participants are asked to consider each of the 32 items, based on available information and their best judgement, using a three-point A-B-C scale. Each item represents a factor that past research and/or extensive field experience has shown to play an important role in successful scaling. For each item, there are two matched statements. The statement in Column A describes a situation which, if true, significantly simplifies the process and enhances the

¹¹ For a printable version of this tool reference, see “[Scaling Development Outcomes](#).”

¹² Richard Kohl and Colm Foy, *Guide to the Agricultural Scalability Assessment Tool* (USAID, 2018), https://pdf.usaid.gov/pdf_docs/PA00T6KX.pdf.

¹³ Maximising the Impact of Innovations with the Education Scalability Checklist,” VVOB, <http://bit.ly/ESC-resources>.



prospects for scaling. The statement in Column C is the inverse of the statement in Column A and describes a situation which, if true, significantly complicates the process and reduces the prospects for scaling. Column B is to be used when the current reality is judged to lie somewhere between the statements described in Columns A and C.

Because different individuals and different stakeholders have different perspectives, arriving at a full consensus about all the item scores is unlikely. It also is not necessary. The principal value of the checklist is in provoking discussion among participants and suggesting actions that can be taken to enhance scalability. Scoring in multiple rounds helps to elicit that discussion and to enhance the quality of the assessment.

One way of doing this is:

- **Round 1:** Individual voting. Workshop organizers can use free online survey systems such as Google Forms to collect individual scores quickly and anonymously. This can be helpful in situations where a show of hands might mean that some participants adjust their vote to accommodate others. An added advantage is that Round 1 can be organized prior to the assessment and action planning workshop, which frees up time for dialogue during the workshop.
- **Project scores** on the screen without attribution.
- **Round 2:** Group discussion and/or discussion in subgroups where participants are invited to explain votes. Participants then have the opportunity to change their original scores. Scores are re-entered and re-tabulated.
- **Action Planning:** Group agrees on a few priority areas for action. It identifies concrete and feasible actions that address complicating factors or take fuller advantage of opportunities for improving the scalability of the intervention.

Table 9: Scalability Assessment Checklist

Assessment Categories	☺ A	← Scaling up is easier	☹ B	Scaling up is harder →	☹ C
A. How convincing is the scaling strategy?	1	Presence of a clear and compelling strategy for reaching scale		No articulated scaling strategy	
	2	Homogeneous problem, target group and setting—geography, language, economy, politics		Multiple, diverse contexts	
B. Is the intervention credible?	3	Robust evidence that the intervention works in diverse settings and for diverse target groups		Little or no robust evidence that the intervention works in diverse settings and for diverse target groups	
	4	Independent external evaluation		No independent external evaluation	
C. How strong is the support for change?	5	Supported by eminent individuals and institutions		Supported by few or no eminent individuals or institutions	
	6	Impact very visible to decision-makers and users, and easily associated with the intervention		Impact relatively invisible to decision-makers and users and/or not easily attributable to the intervention	
	7	Strong sense of urgency regarding the problem or need		Relative complacency	
	8	Strong and stable leadership coalition committed to change		Weak, divided, unstable or deeply conservative leadership coalition	
	9	Addresses an issue that is high on the national policy agenda		Addresses an issue that is absent from or low on the national policy agenda	
	10	Addresses a need that is sharply felt by the potential target group(s)		Addresses a need that is not sharply felt by the potential target group(s)	
	11	Faces limited opposition		Faces strong opposition	

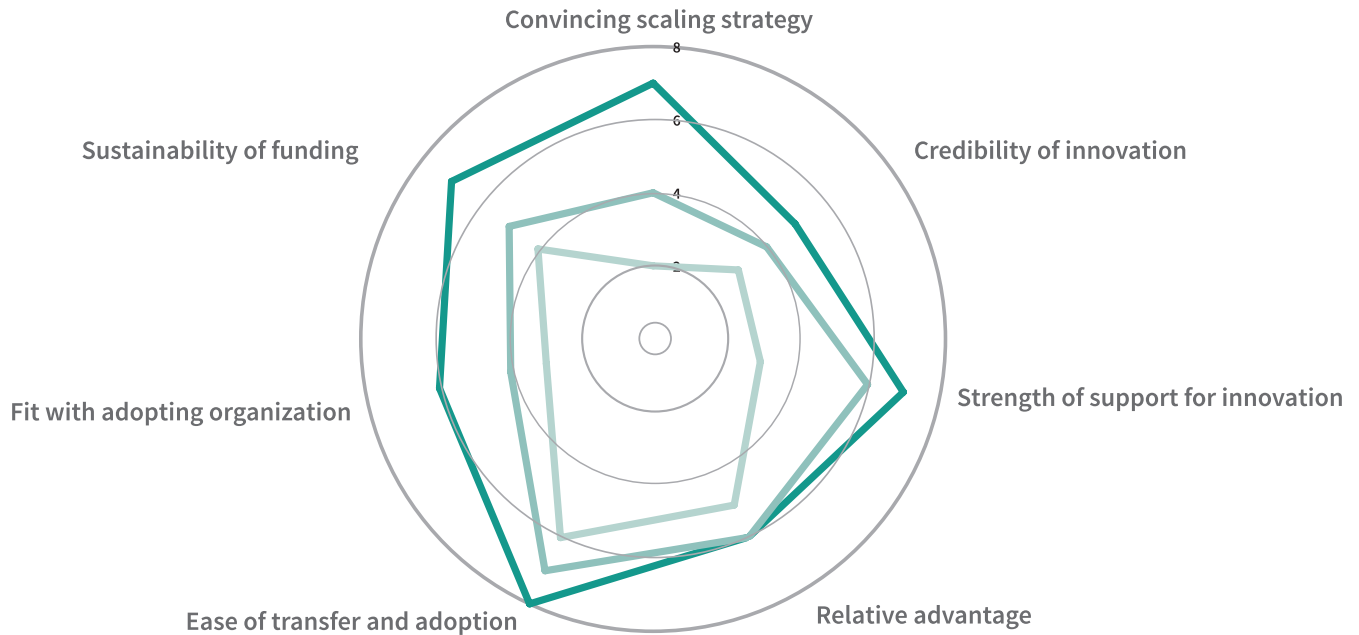
Assessment Categories	☺ A	← Scaling up is easier	☹ B	Scaling up is harder →	☹ C
D. Does the intervention have relative advantage over existing practices?	12	Current situation widely considered inadequate		Current situation widely considered adequate	
	13	Superior effectiveness to other alternatives clearly established		Little or no objective evidence of superiority to other alternatives	
	14	Substantially lower cost than existing or alternative solutions		Higher cost than existing or alternative solutions	
	15	Implementable with existing systems, infrastructure and human resources		Requires significant new or additional systems, infrastructure or human resources	
E. How easy is the intervention to transfer and adopt?	16	Small departure from current practices		Large departure from current practices	
	17	Fully consistent with government policy		Requires substantial change in one or more government policies	
	18	Few decision-makers involved in authorizing or approving adoption		Many decision-makers involved in authorizing or approving adoption	
	19	Proposed changes are highly structured or highly technological		Heavily reliant on process, values and/or flexibility	
	20	Low complexity or easily implemented component-by-component		High complexity and need for implementation as an integrated “package”	
	21	Compliance and quality of implementation easy to monitor		Compliance and quality of implementation difficult to monitor	
	22	Able to be tested on a limited scale		Unable to test without adoption on a large scale	
	F. How good is the fit between the intervention and the Adopting Organization?	23	Strong prior collaboration between Originating and Adopting Organizations		No prior collaboration between Originating and Adopting Organizations
24		Adopting Organization has operational capacity and financial resources to implement at scale		Adopting Organization lacks systems, delivery agents and/or resources to implement at scale	
25		Adopting and Intermediary Organizations have experience scaling similar interventions		Adopting and Intermediary Organizations lack experience scaling similar interventions	
26		Adopting Organization has physical presence and strong network and credibility in relevant contexts		Adopting Organization lacks footprint and credibility in relevant contexts	
27		Intervention fully consistent with norms, incentives and leadership style of Adopting Organization		Intervention conflicts with the norms, incentives and/or leadership style of Adopting Organization	
28		Demonstrable support for the intervention among staff of Adopting Organization		Active resistance by staff of the Adopting Organization	
G. Is there a sustainable source of financing?	29	Budget implications clear, predictable and justifiable to those expected to bear the costs		Budget implications unclear, unpredictable and/or difficult to justify to those expected to bear the costs	
	30	Requires small commitment of funds to begin transition to scale		Requires large commitment of funds to begin transition to scale	
	31	External sponsors with long-term commitment to supporting the intervention		No external sponsors with long-term commitment to supporting the intervention	
	32	Full cost of implementation at scale able to be absorbed within government budget or covered from other sustainable sources		No realistic prospect for funding full cost of implementation at scale within government budget or from other sustainable sources	



The Scalability Assessment Checklist also can be used to track changes over time. For this purpose, it is easiest to summarize the scores for each of the Checklist’s seven categories. Each category score is the average of the scores given to all the items in that category, where each item scored “C” is counted as 0, each item scored “B” is counted

as 5, and each item scored “A” is counted as 10. The result is a score for each category between 0 (i.e., all items were scored “C” by all participants) and 10 (i.e., all items were scored “A” by all participants). Based on the assessment category scores, a radar chart can be generated to visualize changes in model category scores over time (Figure 5).

Figure 5: Sample Radar Chart Purpose



Tools for FRAMEWORK Step 2:

Establishing the Preconditions for Scaling

Introduction

The tools in this section involve the most neglected yet critical part of the scaling up process: securing the support needed to **go** to scale and to **stay** at scale. This set of tools is most useful in supporting Step 2 of the FRAMEWORK, with the intended result of securing commitments and allocating resources (financial and human) for scaling up an intervention.

The tasks of **legitimizing change** and **building a constituency** require an understanding of the policy milieu and the key stakeholders involved in the (potential) scaling up process. Legitimation involves placing the need for change high on the agenda of decision-makers. It requires the emergence of policy “champions” with credibility and influence, and with the willingness to use that political capital in support of the intervention. Constituency building is the identification, assembly and mobilization of coalitions necessary to ensure the adoption and implementation of needed changes.

All of this requires analyses of potential supporters and opponents and their interests, resources, and willingness to be involved. The following tools facilitate conducting such analysis:

- **Tool 7: Drivers of Change Analysis:** a structured process for assessing the external environment
- **Tool 8: Stakeholder Analysis:** a listing and analysis of relevant stakeholders and an understanding of

their positions and resources regarding scaling the intervention

- **Tool 9: Advocacy Strategy Profile:** to assess how best to engage government agencies and other key decision-makers in support of the scaling up effort

These tools can be used individually or in conjunction with one another to provide a fuller picture of scaling up prospects and strategies.

Translating these decisions into budgets is also of central importance. The task of **realigning and mobilizing resources** requires a nuanced understanding of the one-time costs associated with the scaling up process, the unit costs and incremental costs of operating the intervention at scale, and the dynamics of budget allocation. These costs need to be disaggregated by source (i.e., who is expected to incur what costs) and linked where appropriate to offsetting revenues. The intervention’s costs also need to be compared with competing alternatives, including the status quo. In addition, the one-time start-up costs of transferring the intervention to a new organization need to be estimated. The following tool provides guidance on the identification, analysis and presentation of this cost information:

- **Tool 10: Scale Costing Protocol:** a sequence of actions needed to fund scaling and to move from project resources to sustainable sources





Tool 7: Drivers of Change Analysis

Purpose

Scaling up a pilot intervention generally involves bringing the intervention to new populations and new contexts. These new dynamics will create both opportunities and challenges. To increase the likelihood of reaching scale, implementers need to account for these dynamics in their scaling plans. This makes it vitally important to understand:

- The factors that are essential to the success of the pilot intervention in its current context; and
- The contextual factors present in the new environment in which the intervention will be scaled that will either promote or inhibit scaling.

Drivers of Change Analysis describes a category of analysis designed to help implementers better understand how some critical elements of the contextual environment—specifically the interplay among structural, cultural, and political factors—are likely to impact their scaling efforts.

The analysis is generally undertaken at the level of political jurisdictions (nation-states, regions, municipalities, communities, etc.), but the same principles can be employed to understand change factors within specific institutions, such as national ministries.

How to Use This Tool

Drivers of Change Analysis is not a single, structured methodology. It instead consists of a set of themes to be interrogated through standard research methods and can incorporate other analytical methodologies, such as Stakeholder Analysis (Tool 8). There is thus considerable variation in the scope of the research and the resources and time allocated for its completion.

The most common themes used in Drivers of Change Analysis are Structural, Institutional, Cultural/Social and Individual Agents (often described as the Political). In addition to these analytical themes, some commentators have included the concept of Partnerships as a critical analogue

to the Drivers of Change Analysis, reflecting the critical role that strategic partnerships often have in exploiting opportunities or mitigating challenges associated with the four core themes. We have adopted this view and included a short description of the potential role of Partnerships below.

Analytical Framework

The four themes described below represent a typology of the types of contextual factors that are most likely to influence scaling efforts but should not be thought of as conceptually distinct. In fact, they are often closely related, and it is often the interplay of these factors that drives decision-makers in the external environment.

Structural factors are generally fixed, at least over the short term. These factors include the strength and nature of the ruling coalition, the economic system, the availability of natural and human resources, and demographic considerations. Structural factors answer such questions as:

- What characteristics of the environment writ large (often at the national or sector level) affect the potential for scale?
- Is the state unified and does it have authority over its population and territory?
- Is the government considered legitimate and does that influence the issue?

Institutional factors are the informal and formal rules and incentives that determine the realm of possible behavior by policymakers and implementing agents. These include the legal and regulatory framework, but also include informal institutions such as patron-client networks.

- What is the constitutional, legal, and regulatory framework related to the problem, or the change desired?
- Are there any important gaps not covered by legislation?
- Are there formal and informal institutional rules and practices that will facilitate or hinder institutions from changing and adapting?

A Word on Partnerships

The purpose of the analysis of the external environment is twofold. First, a careful assessment of the context will guide implementers as they assess which avenues and environments present the most feasible opportunities to scale their interventions. Second, external environments are not fixed, but merely present a current state of affairs against which implementers can plan and adapt. Among the many resources available to implementers working to fertilize a barren environment for scale are information, evidence, advocacy and—importantly—partnerships.

Strategic partnerships can be critical to scaling efforts. Partners can provide practical and in-depth understanding

of the new environment, its constraints and opportunities to developers' innovation or implementers of a pilot intervention. The right partners will have established relationships with key stakeholders. They will be able to implement advocacy campaigns to mobilize interest groups and build the constituencies, coalitions, and strategies to advance change.

In a new context, it is often useful to identify an Intermediary Organization that can help find potential partners and facilitate strategic partnerships for scaling.





Tool 8: Stakeholder Analysis

Purpose

The purpose of a Stakeholder Analysis is to inform the process of constituency building by identifying and examining potential sources of support and opposition to the scaling of a particular intervention. It is a tabular presentation of key stakeholders and their interests, positions, and resources relevant to scaling the intervention.

The definition of stakeholder is an individual, group or organization:

- Whose interests are affected by the intervention.
- Who has an ability to impact scaling of the intervention.
- Who will “win” or “lose” when the status quo changes.

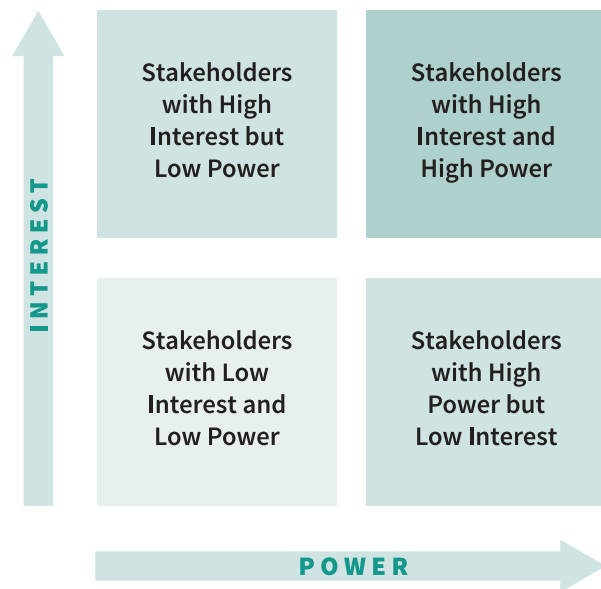
The key uses of the Stakeholder Analysis are to:

- Enable an assessment of the sources of influence, positive or negative, these groups can or will have on the scaling process.
- Identify critical issues around which conflict and compromise are possible.
- Help develop strategies for legitimation and advocacy for scaling up.
- Identify resources for advocacy and for implementing at scale. This involves strategies for activating constituencies located in Cell 1 in Figure 7 below; strategies for enhancing the influence of constituencies in Cell 2; and strategies for appealing to stakeholders in Cell 3.

Stakeholder Analysis is useful during the formulation of the scaling up strategy and when the intervention is being

implemented at scale. At the formulation stage, it helps to ensure that activities are shaped in ways that support the adoption and scaling of the intervention. During the implementation stage, the tool helps to build an appreciation for the roles various stakeholders can play during the transition to scale and thereafter, allowing for early engagement and wider ownership of the intervention, and enhancing its chances of success and sustainability at scale.

Figure 7: Power/Interest Matrix



How to Use the Tool

The Stakeholder Analysis is presented in a tabular format with five columns and as many rows as there are relevant stakeholders.

Table 10: Stakeholder Analysis

STAKEHOLDER	INTEREST IN ISSUE	RESOURCES AVAILABLE	RESOURCE MOBILIZATION CAPACITY	POSITION ON ISSUE
Name of group or individual	Nature and level of interest in the issue (e.g., high to low)	Resources available to support or oppose scaling (economic, information, legitimacy, etc.)	How easily the group can mobilize resources in pursuit of objectives (high or low)	Position on the issue (e.g., pro or con), ranked on a scale of -3 to +3

Column 1 (Stakeholder) presents a list of relevant stakeholders. Although a full listing of stakeholders would include any person or group affected by or able to affect the scaling up of the intervention, for purposes of this analysis, stakeholders are considered relevant if and only if the group or actor has significant mobilizable resources that can be applied for or against the scaling of the intervention. The best way to develop a first draft of this list is usually in a brainstorming session with six to 10 knowledgeable individuals. It is not unusual for such brainstorming sessions to identify 20 or 30 significant stakeholders. This preliminary list should be edited and used as a point of departure for the analysis.

Column 2 (Interest in Issue) lists those interests that will be affected by the scaling of the intervention and how important these interests are to the stakeholder. These questions are best answered either by engaging these groups in a dialogue or by putting yourself in their shoes.

Column 3 (Resources Available) identifies resources that the group possesses that could be brought to bear in decision-making about the intervention or the scaling of the intervention. Can the group offer some special knowledge or information? Would the group's status or presence on one side of the issue heavily influence the implementation or blockage of the intervention?

Types of resources can be classified as follows:

- Economic: financial or in-kind resources.
- Information: expertise, knowledge, communication of relevant data and analyses.
- Legitimacy/Power: the ability to elicit, influence or compel support from others.

Column 4 (Resource Mobilization Capacity) describes the ease and speed with which the group can mobilize and deploy its resources. If the group cannot mobilize or make effective use of its resources, then it is not meaningful for this purpose. Rating mobilization capacity as high, medium or low is a good place to start.

Column 5 (Position on Issue) characterizes the group's position regarding the issue. It should give an indication of the strength of the group's opposition or support. Rating the group's position on a scale from -3 to +3 is a good place to start.

Once completed, the Stakeholder Analysis is a powerful tool for brainstorming alternative strategies for amassing the support needed to take an intervention to scale. The most common strategies include:

- Begin with stakeholders possessing the strongest support (+3), then move to engage the next concentric circle of supporters.
- Modify the intervention to facilitate engagement by a core coalition of stakeholders with high interest, significant resources, and high mobilization potential.
- Identify people who are able to form bridges with other groups through professional and/or personal/collateral relationships.
- Reach out to additional stakeholders with significant resources and mobilization ability but limited current interest and use current supporters with access to these stakeholders to explore ways to make the scaling of the intervention more consistent with their interests.
- Identify stakeholders with significant resources and mobilization potential who currently oppose scaling the intervention and work to understand the reason for their opposition. Identify modifications that would reduce their opposition or generate their support.



Tool 9: Advocacy Strategy Profile¹⁵

Purpose

A major element of taking any intervention to scale is advocacy. A wide range of stakeholders need to be persuaded that the intervention proposed for scaling up is a sufficient improvement over the status quo and other available alternatives to justify the time, cost and effort needed to make the change.

If new resources are required, those in charge of funding decisions need to be persuaded to mobilize the necessary resources and perhaps to redirect them from another use. If organizations need to repurpose, take on new responsibilities or discontinue old ones, the leaders of those organizations need to be convinced that these difficult and taxing changes will be worthwhile.

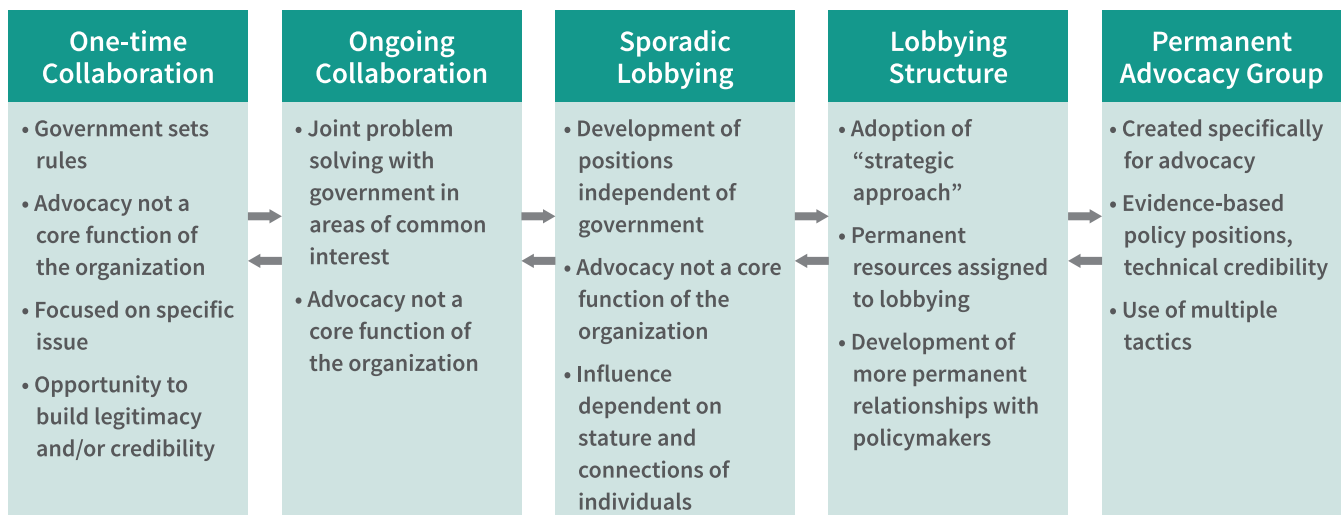
Who performs these advocacy functions and what guidelines can we offer them? In some countries and sectors, there are numerous organizations whose explicit purpose is advocacy. Often, however, these advocacy functions are performed by organizations that play other roles as well—service delivery organizations, professional associations, foundations, civic organizations, think tanks, private companies and government policy units.

In addition to these third-party institutions, advocacy functions are often performed by the Originating Organization (the organization that developed the intervention), the Adopting Organization (an organization that hopes to apply it at scale) or an Intermediary Organization (an organization helping to facilitate the scaling up process). The Advocacy Strategy Profile is intended for people within any of these organizations charged with advocating for the scaling up of innovative interventions. It is intended as a decision-support tool that helps advocates choose the best approach for constructively engaging with the government and other key decision-makers based on the realities of the political and administrative environment, the group’s organizational structure and the resources available to them.

How to Use This Tool

The profile distinguishes five different advocacy approaches that make up a continuum (see Figure 8 below). At one end of the continuum are approaches based on full collaboration with the government and limited to a specific intervention. At the other end of the continuum are permanent advocacy groups dedicated entirely to lobbying government on multiple issues on behalf of members’ or constituents’ concerns and interests.

Figure 8: Advocacy Strategy Continuum



¹⁵ For a printable version of this tool reference, see “Scaling Development Outcomes.”

To determine the advocacy approach most appropriate in a given situation, the leadership of the (potential) advocacy group can begin by completing the Advocacy Strategy Profile: Part I (see Table 11 below), characterizing the prevailing situation with regard to each of the 11 factors on the grid and placing an “X” in the appropriate box on the grid. The numbers 1 and 5 are defined by the

narrative statements at either side of the grid. Numbers 2, 3 and 4 reflect a range of intermediate positions. If those preparing the profile differ in their views regarding the proper rating of a given factor, they should discuss the issue until they reach agreement or, if that fails, combine their ratings into an average.

Table 11: Advocacy Strategy Profile, Part I

		1	2	3	4	5	
Political Environment	Highly centralized decision-making						Decentralized decision-making
	Undifferentiated decision-making						Alternative decision-makers
	Little public accountability						Effective public accountability
	Hostile to reform initiatives						Receptive to reform initiatives
	Little tradition of participation						Tradition of participation
Resources Available to Group	Limited human resources						Extensive human resources
	Limited technical resources						Extensive technical resources
	Limited/unsustainable financial resources						Extensive/sustainable financial resources
Group's Organization Structure	Exclusively non-governmental						Mixed public, NGO and private sector participation
	Temporary organization						Permanent organization
	Policy influence as only activity						Many activities in addition to policy influence

After scores have been agreed upon for each factor, a line is drawn connecting the “X’s.” In general, the placement of the line from left to right corresponds with the five advocacy approaches indicated in Figure 8 above. For example, if the line is on the far left, the appropriate approach is likely to be single-issue collaboration. Often, however, the line connecting the “X’s” is not a straight one. Under these conditions, the profile should be used as the basis for an active discussion within the organization about the opportunities and risks associated with different advocacy models and whether it is possible to affect some factors in ways that move the reality from the left to the right on the profile.

to assess the level and quality of the organization’s current performance of each of these activities. Participants score each activity from 1 (no action yet taken) to 4 (fully effective). Intermediate ratings necessarily involve subjectivity on the part of those determining the ratings. Items scoring 2 or under are candidates for attention as the organization seeks to deepen the effectiveness of its lobbying and advocacy efforts. The group should debate which—if any—of these activities should become priorities going forward.

Regardless of structure and approach, effective advocacy organizations need to perform certain functions. Part II of the Advocacy Strategy Profile (Table 12) helps members of those organizations and third parties to determine where specific organizations are most in need of strengthening. The table lists a total of 18 actions sometimes taken by advocacy organizations. It should be used by participants

Table 12: Advocacy Strategy Profile, Part II

Action Level				Advocacy Activities	Priority? Y/N
1	2	3	4		
Advocacy group becomes more informed about policy issues and their impact on its interests and constituents:					
				Group collects information on policy issue from relevant sources.	
				Group analyzes policy and related issues and examines impact of policy elements on group interests. Impacts should be quantified where appropriate.	
1	2	3	4		
				Group analyzes positions and interests of other stakeholders on the issue.	
				Group analyzes and understands decision-making process for this particular issue.	
				Group analyzes and understands the political environment for the policy issue; it understands the nature of support and opposition for the issue.	
Advocacy group formulates a position and strategy for advocacy on the issue:					
				Group formulates position on the issue in a participatory manner.	
				Group develops a written statement of its position on the issue (clearly stating policy interests and action required for implementation of the policy).	
				Group develops presentation materials using attractive, attention-getting techniques (short, punchy and to the point).	
				Group develops a strategy for lobbying and advocacy on the issue (strategy should outline where resources for the lobbying effort will come from and indicate who will do what, when and how).	
Advocacy group develops strategic alliances or develops/participates in coalition supporting policy change:					
				Group examines needs for participation in coalition or alliance on policy issue, and clearly understands costs and benefits.	
				Coalition or allies hold joint meetings to examine mutual interests; negotiate terms of joint actions and responsibilities of each partner; and examine needs for acquiring other resources (e.g., collaboration of think tanks, international organizations).	
				Organizations form coalition, alliance or network with clear understanding of each partner’s role. They develop position statements and supporting presentation materials. They also develop a strategy for coalition activity and identify resources for carrying out actions.	
				The coalition, alliance or network plans and executes joint action, including the development of public forums, lobbying, media campaigns, etc.	
Advocacy group implements strategy for issue advocacy:					
				Group issues press releases, holds public forums, participates in local talk shows, etc.	
				Group disseminates policy papers.	
				Members initiate direct action to become “opinion leaders” on issue.	
				Group initiates and sustains lobbying campaign.	
				Group develops scorecard on actions taken and results achieved.	





Tool 10: Scale Costing Protocol¹⁶

Purpose

Many systemic changes originate in projects or practices funded by donors or by special-purpose funds and implemented on a limited and relatively controlled basis by innovation cells within government, universities, research labs, consulting firms or NGOs. By contrast, the infrastructure and incentives needed for sustainable funding and for delivery at scale exist only in governments, market-based providers and (in very limited cases) philanthropy—or through combinations of these. The need to move from project-based financing to long-term funding at scale thus requires a significant transition in which cost analysis plays a central role. The Scale Costing Protocol is intended to guide and structure this conversation among

scale proponents, government officials and other potential funding sources.

How to Use This Tool

The following steps (Table 13) each require data collection, analysis and visualization conducted in the suggested sequence with the aid of a knowledgeable professional. This professional support could be provided by an appropriately trained staff member from the Originating or Adopting Organization, by a suitable Intermediary Organization, by a private consultant or (under some conditions) by a graduate student from a local university. The end result should be in the standard budget language of the Adopting Organization.

Table 13: Scale Costing Protocol¹⁷

1. Baseline Documentation Analysis	One-Time Costs: Document any one-time costs (e.g., vehicles, computers, development of new materials) needed to launch the intervention. In some cases, these costs are <i>unit costs</i> , and in some cases they are fixed regardless of the scale of operation. Where these costs are for a <i>depreciable</i> asset, they should also be <i>amortized</i> as recurring costs to make provision for replacing these assets when that becomes necessary.
	Recurring Costs: As the intervention is rolled out, document in a careful and disaggregated way the full <i>recurrent costs</i> of service delivery, including the costs of supervision, reporting and quality control, as well as the allowance for depreciation and renewal of assets. ¹⁸ Estimates should also be included for the imputed value of <i>in-kind contributions</i> provided by government, volunteers and implementing partners (i.e., how much would they cost if one had to pay for them). There are a number of tools useful for organizing and guiding this part of the process. Organizations such as J-PAL have materials such as costing guidance, templates and methods papers to get you started. ¹⁹
	Cost Drivers: Describe in as much detail as possible any special or outsized costs currently incurred to meet donor requirements.
	Cost-Benefit Analysis: If the decision has not yet been taken to proceed, carry out as appropriate a <i>cost-benefit</i> or <i>cost-effectiveness analysis</i> . ²⁰

¹⁶ For a printable version of this tool reference, see “[Scaling Development Outcomes](#).”

¹⁷ See the glossary at the end of this section for definitions of the *italicized terms*.

¹⁸ Where possible, base these estimates on one or more geographies where the intervention is delivered under conditions similar to how it would be delivered sustainably at scale.

¹⁹ Radhika Bhula, Meghan Mahoney, and Kyle Murphy, *Conducting Cost-Effectiveness Analysis (CEA)* (J-PAL, 2020), <https://www.povertyactionlab.org/resource/conducting-cost-effectiveness-analysis-cea>.

²⁰ Ibid.

2. Use of Funds

Scenario Development: Develop one to four scenarios²¹ of how the intervention would be delivered at scale—by whom, to whom, in what way, phased in over what time period, etc. This analysis is often used as a basis for discussion and negotiation with those responsible for authorizing, delivering and funding implementation at scale. Scenarios can differ with regard to complexity, “dosage,” coverage, timetable, funding model or mode of delivery.

Unit Cost Estimation: For each scenario, estimate the unit costs of delivery at scale, including *direct costs*, *indirect costs* of implementing organizations, and in-kind contributions. Draw on the baseline data and make allowances for changes to the cost structure resulting from: (1) provision of the service by the organization(s) that will be responsible for delivery at scale; (2) any expected benefits resulting from economies of scale; and (3) potential savings from attenuating or eliminating certain elements of the intervention considered unsustainable or no longer required following proof of concept. If delivery at scale involves grafting activities onto the responsibilities of existing staff and programs, the “unit cost” estimate should be of any incremental costs involved. Incorporate a “sensitivity analysis” to establish how costs might differ across different target groups, contexts and scales of operation.

Timetable: Propose a timetable for transition to provision at scale.

One-Time Costs: Identify any one-time costs associated with transfer of responsibilities to the at-scale provider(s) and at-scale funder(s), and any one-time costs associated with rollout of the intervention to new geographies and population groups. Suggest a year-by-year breakdown of these costs linked to one or more proposed scenarios for transition to scale.

Budget Estimates: Develop disaggregated annualized budgets showing net budget impact, including recurrent and one-time costs by year. Cover the period from the beginning of the transition through the first year of delivery at scale.

3. Source of Funds

Sources of Funds: List all potential sources of fund including, but not limited to:

- National, state and local government taxes/budgets
- Special taxes and fees
- Bonds
- Fee-for-service revenue
- Donor projects
- Philanthropy (one-time or evergreen)
- Other

For each item on the disaggregated annual budgets noted above, identify one or more potential funding source(s).

Summary Funding Proposal: Develop a summary funding proposal or alternative scenarios, disaggregated by funding source and by year, and cross-referenced to the budget structure of the Adopting Organization, interim funder and/or at-scale funder.

Briefing Note: Prepare one or more high-level briefing note(s) based on relevant portions of the above, including data visualization.

Budget Negotiation: Hold joint or individual discussions with policymakers and potential funding sources. Modify proposals as necessary.

21 On rare occasions, more than four scenarios might be called for.



Glossary

amortized: the running down or payment of a loan by installments (example: mortgage payment on a house)

cost-benefit analysis: a method of reaching economic decisions by comparing the costs of doing something with its benefits

cost-effectiveness analysis: a form of analysis that compares different outcomes based on relative costs of each course of action

depreciable asset: the fall in value of an asset

direct cost: expenses can be directly tied to the production of a specific good or service (i.e., manufacturing materials)

economies of scale: the cost advantages that industries attain when production becomes efficient (As output increases, the average cost of each unit produced falls.)

incremental costs: the extra costs incurred due to an additional unit being produced

indirect costs: expenses that are related to the production process but not traceable to a specific product or service (i.e., rent, utilities)

recurring costs: costs that occur in regular intervals and are anticipated

sensitivity analysis: measures how the impact of uncertainties of one or more input variables can lead to uncertainties on the output variables

unit costs: the costs to build or create one unit of product



Tools for FRAMEWORK Step 3: Managing the Scaling Process

Introduction

This set of tools and guidance notes is most useful in supporting Step 3 of the FRAMEWORK. The desired result of Step 3—the “Operational Step”—is the successful and sustainable use of the new intervention, and its outcomes, at scale. The three tasks of Step 3 are:

- Modifying and Strengthening Organizations
- Coordinating Action
- Tracking Performance and Maintaining Momentum

The section presents the following tools to assist with these tasks:

Tool 11: Guidelines for Evidence Generation and Use: a three-tier framework using M&E to support scaling

Tool 12: Adaptive Management Protocol: a tool and feedback process for testing and tracking changes and adaptations to a scaling strategy

Tool 13: Institutionalization Tracker: a set of indicators, maturity model and tracking process for planning and assessing institutionalization





Tool 11: Guidelines for Evidence Generation and Use

Purpose

The use of evidence—monitoring, evaluation, and reporting—should be part of an ongoing strategy for learning and adapting through the scaling process. It also is important for maintaining political and popular support and funding during the scaling process, which is frequently lengthy. It is particularly important to focus on opportunities to enhance the scalability or efficacy of the intervention; to incorporate changes that enhance impact, lower cost or improve scaling prospects; and to address the key concerns of stakeholders at the outset and during the process. Tool 11 is intended to support this broadening of the MEL systems lens.

How to Use This Tool

Traditional MEL systems use tools such as work plans, Gantt charts, trackers (e.g., in Microsoft Excel), databases and dashboards to track and report progress against indicators, schedules, milestones and products associated with each scaling and implementation task. They are intended to monitor both implementation indicators and key learning and performance indicators to track progress toward established results/outcomes.

The development of the M&E system ideally begins early in the planning stage and usually builds on the intervention’s theory of change. Monitoring provides the regular comparable data over time and tracks progress and key results/outcomes through concrete performance indicators and targets. Dashboards can be a helpful way to visualize indicator data in graphs and other graphics, allowing for quick and timely decision-making. Evaluations and assessments explore key learning questions and build an evidence case for the intervention. This information together feeds into a regular established feedback cycle that brings together stakeholders to examine data and determine where adaptations are needed.

MEL systems intended to support the evidence needs of scaling need to do this and more. To understand the additional needs associated with scaling, it is useful to begin with the following five lessons from experience:

- Relatively few new interventions generate the critical information needed to go beyond proof of concept and provide a basis for assessing scalability, streamlining delivery, informing advocacy, and guiding adaptation during the scaling process.
- Rather than treating effectiveness, efficiency and expansion as successive waves of information, experience suggests the need to incorporate efficiency and expansion considerations at the earliest possible time. To do otherwise runs serious risk of adding to the graveyard of “proven” but unscalable technologies.
- Evidence of efficacy under controlled conditions needs to be complemented by careful analysis of scaling under real-life conditions and constraints. Metrics such as “repeated use,” “willingness to pay,” “willingness to recommend to a friend or relative” and “competition among suppliers and aggregators” take on particular importance in this context.
- As interventions scale, one good practice is to institutionalize periodic “pause and reflect” sessions (see Tool 3, Real-time Scaling Lab guidance). Beyond that, the most effective scaling strategies use information technology to drive a variety of real-time monitoring efforts intended to shorten feedback cycles and support more frequent changes. Recent developments in information technology, particularly smartphones and remote sensing, hold particular promise for making real-time or quick-loop learning a practical reality, even in low-resource settings.
- By definition, scaling places a premium on effects and impact beyond a project’s direct reach and duration. Therefore, the focus of M&E necessarily includes—and should prioritize—indirect rather than direct beneficiaries and contribution (or “plausible association”) rather than strict attribution.

The following four elements help to conceptualize and manage a scaling-focused MEL system:

1. Three-Tier Approach
2. Context Monitoring
3. Pause and Reflect Sessions
4. Performance Monitoring Plan (PMP)

Element 1: Three-Tier Approach²²

Increasingly, scaling experience demonstrates that the following three types or tiers of information are needed (Figure 9). The Three-Tier Approach can be used to think

through the different types of information necessary to inform scaling. Often, teams collect all three types of information simultaneously.

Figure 9: Three-Tier Approach to Evidence for Scaling

Tier 1: Proof of Concept	Tier 2: Scalability Assessment	Tier 3: Change Management
<ul style="list-style-type: none">• Document key elements of intervention and scaling strategy• Validate assumptions• Evaluate efficacy	<ul style="list-style-type: none">• Test robustness• Assess scalability of intervention and scaling strategy• Identify and test refinements to intervention and scaling strategy	<ul style="list-style-type: none">• Monitor scaling process• Track context variables• Inform necessary adaptations• Assess fidelity and efficacy at scale

Tier 1: Proof of Concept – This information is generated to test the efficacy of interventions. It provides key evidence and builds a “proof of concept” of intervention and the scaling strategy. Identification of Tier 1 information needs begins by developing a theory of change to articulate the essential features of the intervention and a “Second Theory of Change” (Tool 4) to lay out the strategy for taking the intervention to scale. This information can be collected through evaluability assessments, tracking of project performance indicators, evaluations, special studies, and targeted research.

Tier 2: Scalability Assessment – This information is used to refine, simplify, and adapt interventions to real-life policy, financial and operational considerations. The information both informs the delivery of the intervention and enhances its scalability. To collect this information, teams can use a Scalability Assessment Checklist (Tool 6), “Tier 2 pilots” that evaluate the intervention in various contexts, at different “dosages” or levels of resource intensity, and under different implementation arrangements. Drivers of Change Analysis (Tool 7) and Stakeholder Analysis (Tool 8) can also be useful means of generating Tier 2 evidence.

Tier 3: Change Management – This information is generated during the scaling process to monitor fidelity and inform needed adjustments to intervention design and scaling strategy. The information also informs decision-making and continuous improvement. Teams can use this information during the “pause and reflect” sessions discussed below. Teams can collect this information

through work planning and examination of intervention and performance indicator data used to track outcomes and the scaling process. The Adaptive Management Protocol (Tool 12) can support this process as well.

Element 2: Context Monitoring

In addition to tracking the rollout of the intervention and anticipated outcomes, it is important to track key contextual factors that could have a direct effect on the success of scaling. Performance indicators should be complemented with contextual indicators or qualitative analysis focusing on tracking external context and conditions, especially those related to the scaling assumptions and risks (see Tool 4). Context monitoring should feed into the “pause and reflect” sessions and be used to track risk and trigger any needed mitigation efforts.

In addition to external context monitoring, it is important during the scaling up period to monitor institutionalization and the continuity of commitment of those who fund and implement interventions at scale; this may also be thought of as “sustainability” or an “end game.” Monitoring of this type is often closely linked to advocacy activities and is meant to take place in the public eye. Although the Institutionalization Tracker (Tool 13) can be a helpful element in this process, for this type of monitoring, specific tools are less important than consistency of attention and willingness of the monitor(s) to sound an alarm when progress stalls or the attention of implementers begins to drift.

²² For more information, see Larry Cooley and Julie Howard, *Scale Up Sourcebook* (Purdue University, 2019), <https://docs.lib.purdue.edu/cgi/viewcontent.cgi?article=1040&context=scaleup>.

Element 3: Pause and Reflect Sessions

In addition to ad hoc data reviews and formal program evaluations, institutionalizing feedback cycles or “pause and reflect” sessions at least twice a year deliberately to review and interpret Tier 1, Tier 2 and Tier 3 data promotes effective use of M&E data and supports learning and adaptation. Sessions should include key internal and external stakeholders and should be professionally facilitated to maximize their potential. Sessions should cover general overview data and progress but also explore key challenges, successes, or risks (see Tool 3, Real-time Scaling Lab).

It is also important to create avenues for feeding this information back to the public and to decision-makers. The press and nonpartisan monitoring organizations can play important roles in this process. Among other things, this monitoring is a catalyst for maintaining momentum, accountability and lessons learned. A few suggested mechanisms for this include citizen oversight panels, public hearings with parliamentary committees, sustained media

coverage, comparative scorecards, listservs, and other web-based, open-access dissemination. If the Adopting Organization is part of the government or is cooperating with the government, monitoring data should be captured by, or delivered to, a management information system that is congruent with existing national systems.

Element 4: Performance Monitoring Plan (PMP)

A Performance Monitoring Plan (PMP) is a management tool to help operationalize performance indicators (e.g., data collection, analysis, and use). It provides a practical way of integrating information needs from Tiers 1, 2 and 3 into a single format and promotes clarity about MEL-related activities and responsibilities. A PMP provides key definitions and details about how and when indicator data and evaluative evidence will be collected to help ensure consist and quality data collection and reporting over time. There are a variety of similar formats for PMPs and considerable guidance on how to use them effectively.²³

23 See USAID, *Performance Monitoring & Evaluation TIPS - Preparing a Performance Management Plan* (USAID, 2012), https://pdf.usaid.gov/pdf_docs/pnadw107.pdf; USAID, JSI, and FHI 360, *Advancing Partners & Communities: Subawardee Guidance for the Performance Monitoring Plan* (JSI, no date), https://www.advancingpartners.org/sites/default/files/apc_subawardee_guidance_perf_monitor.pdf.





Tool 12: Adaptive Management Protocol^{24,25}

Purpose

The Adaptive Management Protocol complements the discussion of Real-time Scaling Labs (Tool 3). It is presented as a separate tool since it is possible to make use of Adaptive Management without undertaking the full Lab process.

The purpose of this tool is to support the process of scaling an intervention by helping implementers to identify, learn from and document adaptations to the intervention and/or scaling approach, using an iterative loop of learning, adaptation, and reflection.

This tool is based on the Plan-Do-Study-Act templates employed in improvement science,²⁶ adapted by the Center for Universal Education at the Brookings Institution. The tool also draws from the Implementation Mapping Tool developed by ExpandNet,²⁷ and was further informed by several other related tools. The tool is not meant to replace broader M&E of the scaling process and does not track other important aspects of scaling, such as impact and quality, and so ideally would be complemented by other scaling metrics.

How to Use This Tool

Ideally, this tool should be used in conjunction with the development of a broader scaling strategy, drawing from and feeding into the documents that support Tools 2, 4 and 6. It also is well suited for use as part of the Real-time Scaling Lab (Tool 3) or similar processes.

A small group of individuals engaged in a process of scaling can use this tool (1) to identify key challenges or opportunities arising in the scaling process and develop a plan to test adaptations in response to those challenges; (2) to implement those adaptations and collect data about them; and (3) to reflect on the results of those tests and make decisions accordingly. The tool should therefore be

used at various stages of the planning/implementation process.

Those applying the tool should specify the overall scaling goal for the intervention and select two to three priority scaling uncertainties or alternatives likely to have greatest influence on the achievement of the scaling goal. If using the tool in conjunction with a broader scaling strategy or theory of change, this information can normally be extracted from those documents (see Tool 2, Scaling Plan Template, and Tool 4, Second Theory of Change).

After identifying and prioritizing specific uncertainties or alternatives, the group should complete the “PLAN” section of the tool, specifying the challenge or opportunity related to the selected uncertainty or alternative, a proposed adaptation, the plan to test the adaptation (who, what, when, how, etc.), how to measure whether the changes lead to improvement, and predicted results.

Next, the group identifies a way to integrate a test of the planned adaptation into the scaling plan, documenting the process, including problems arising and early results, in the “TEST” section.

Finally, the group comes back together to analyze the data and reflect on the adaptation tested, completing the “REFLECT” section of the tool. Stakeholders collectively consider what happened, how the results differed from their predictions, and whether they should continue with the adaptation, tweak it further and test again, or abandon the adaptation in favor of something else. The group then makes a plan for the next cycle of testing and begins the process again.

24 This tool draws heavily on related work by the Brookings Institution Center for Universal Education and ExpandNet.

25 For a printable version of this tool reference, see “[Scaling Development Outcomes](#).”

26 See Anthony S. Bryk et al., *Learning to Improve: How America’s Schools Can Get Better at Getting Better* (Cambridge, MA: Harvard Education Press, 2015); Institute for Healthcare Improvement, “Plan-Do-Study-Act (PDSA) Worksheet,” <http://www.ihl.org/resources/Pages/Tools/PlanDoStudyActWorksheet.aspx>.

27 See the forthcoming [Adaptation Tracking Tool/Institutionalization Assessment Tool] from the Center for Universal Education at Brookings, available in mid-2021 at <https://www.brookings.edu/product/millions-learning/>. See also ExpandNet, *The Implementation Mapping Tool: A tool to support adaptive management and documentation of scale up* (ExpandNet, 2020), <https://expandnet.net/PDFs/ExpandNet-IMT-Updated-Oct-2020.pdf>.



Table 14: Adaptive Management Protocol

Scaling Goal: What is the specific scaling goal (intervention being scaled, size and scope of proposed scaling, intended beneficiaries, timeline and intended impacts)? This can be extracted from the scaling strategy and theory of change if those already exist.

I. PLAN	
What is the key problem, opportunity or situation that will be the focus for adaptation during this cycle? Why do you believe it is important to address this issue?	
What proposed adaptation(s) do you want to test to address this challenge or opportunity and why?	
What is the plan to test this change or adaptation (include who needs to implement the change or alternative, what they will do, when, where and how they will do it)?	
How will you assess whether this change or adaptation leads to improvement? Detail what data will be collected and how, by whom, how often, and how these data will be used for decision-making.	
Predicted results: What do you expect to happen as a result of this change?	
<i>Form completed by:</i>	
Date:	Individual(s) and affiliation(s):
II. TEST	
As the adaptation is being tested, are there any observations, unexpected circumstances or unplanned changes to document?	
<i>Form completed by:</i>	
Date:	Individual(s) and affiliation(s):
III. REFLECT	
What are the results of testing the change or adaptation? How were these results identified?	
Did the change lead to improvement? Why or why not? Analyze the results by comparing the prediction to what actually happened.	
What lessons were learned from testing this change or adaptation?	
Based on this learning and reflection, what will you do next? Will you maintain or expand the change, will you tweak or adapt the change, or will you abandon the change to try something else? Begin a new “plan” section of the form to flesh out the proposed next steps.	
<i>Form completed by:</i>	
Date:	Individual(s) and affiliation(s):





Tool 13: Institutionalization Tracker

Purpose

The Institutionalization Tracker can be used to measure the progress of efforts to institutionalize an intervention—or the components of one. It is meant to be used as a dynamic planning tool to identify areas that require additional attention and inform plans to address gaps. The tool can be used by a variety of state and non-state actors engaged in a process of scaling.

This tool has benefited from several precursors and iterations. We began with two well-established MSI “maturity models”—the Institutional Development Framework (for NGOs) and CAP-Scan²⁸ (for government agencies)—both of which are used for planning and tracking organizational and inter-organizational change. The International Fund for Agricultural Development then revised the CAP-Scan Tool for use in the agriculture sector. Subsequently, Johns Hopkins University’s (JHU) Maternal and Child Survival Program, MSI and ExpandNet developed an Institutionalization Assessment Guide for the health

sector, field tested by JHU in five cases and published by JHU and MSI in their Basic Toolkit for Systematic Scale-Up.²⁹ The Brookings Institution’s Center for Universal Education further adapted the tool for application in the education sector. The generic version of the tool presented here draws from all of these sources.

How to Use This Tool

The tool (Table 15) is organized into five dimensions of institutionalization, each of which has distinct elements (a total of 11 elements). For each element, there are four specified stages of institutionalization ranging from 1 for “little or no institutionalization” to 4 for “full institutionalization.” There is also a column to record the rationale for the rating and any evidence to support it. Specific elements might have greater or lesser importance depending on the intervention being institutionalized and the characteristics of the existing system; in rare cases, a particular element may not be relevant at all.

Table 15: Institutional Tracker

System Building Block	Element	Question	Low Institutionalization	Emerging Institutionalization	Significant Institutionalization	Full Institutionalization	Explanation of Score Selected
			Score = 1	Score = 2	Score = 3	Score = 4	
Governance	Leadership		No prominent champions at senior levels within the government	One or more prominent champion(s) at senior levels within the government, but champion(s) are not yet engaged in active advocacy	Prominent champions at both political and technical levels in the government who are advocating actively for the intervention	Expressed interest by government in institutionalizing the intervention and personnel assigned to oversee it	
	Policy		Intervention not mandated or implied in any major policy document	Intervention mandated in one or more major policy documents, but without implementation guidelines, regulations, standards or consequences for noncompliance	Intervention mandated in one or more major policy documents and implementation/regulatory requirements	Intervention mandated and implementation required	

28 Mark Renzi and Larry Cooley, *MfDR CAP-Scan Manual* (MSI, 2006), https://msiworldwide.com/sites/default/files/2021-02/CAP-SCAN_MFDR_Manual.pdf.

29 *Toolkit for Systematic Scale-up and Coordinator’s Guide for Supporting Country-Led Efforts to Systematically Scale-up and Sustain Reproductive, Maternal, Newborn, Child and Adolescent Health Interventions* (Johns Hopkins University and MSI, 2020), <https://www.mcsprogram.org/resource/basic-toolkit-for-systematic-scale-up/>.

Governance (cont'd)	Coordination	No temporary or permanent structure, person or process assigned responsibility to coordinate rollout and compliance	Temporary or permanent structure, person or process assigned responsibility to coordinate rollout and compliance, but with minimal authority, limited resources and no integrated information system	Temporary or permanent structure, person or process with authority, resources and information to coordinate rollout and compliance	Effective system for coordination firmly established or no longer required
	Planning	Intervention not included in national or subnational plans	Intervention included in national and/or subnational plans, but without clear metrics, milestones or timetables	Intervention included in national and subnational plans and metrics	Intervention fully integrated into government programming and no longer viewed as a stand-alone intervention
Planning, Budgeting and Finance	Budgeting and Finance	Funding exclusively from Originating Organization and/or donors	Credible estimates for costs of implementing the intervention on a pilot basis, but no credible estimates of the investment and recurrent costs to implement the intervention at scale	Credible estimates of investment and recurrent costs to implement the intervention at scale and some of the relevant costs included in budget of the Adopting Organization	Full funding for (phased) implementation and sustained operation of the intervention provided in approved budgets or have other reliable income sources
	Staffing	No credible estimates of the additional staffing and skills required to deliver and manage the intervention at scale	Credible estimates of the additional staffing and skills required to deliver the intervention at scale, but no allocation or retraining of permanent staff	Deployment of staff from Adopting Organization on a time-limited or partial basis	Plan for full staffing with permanent employees completed or under active implementation
Human Resources	Training and Supervision	No plan for sustainable in-service or pre-service training of personnel needed to implement the intervention	Plan in place for sustainable in-service and/or pre-service training of the needed personnel and for their supervision	Staff benefit from regular supervision by either the Originating or Adopting Organization	Permanent arrangements under active implementation for training and supervising at scale and over time
	Physical Infrastructure	Key infrastructure unavailable, borrowed or donor funded	Credible estimates for the additional infrastructure needed to implement the intervention at scale	Approved plan for providing and maintaining the needed infrastructure	Needed infrastructure available and operational
Infrastructure and Materials	Procurement and Distribution	Originating Organization fully responsible for development, purchasing and distribution of materials and supplies needed to support the intervention	Credible plans for development, procurement and distribution of materials and supplies needed to implement the intervention at scale	Procurement systems and budgets of Adopting Organization include provision of some of the materials and supplies needed to implement the intervention	Responsibility for development, funding, procurement and distribution of materials and supplies fully mainstreamed within Adopting Organization

Accountability and Learning	Standards	No officially approved standards	Approved standards exist, but with no positive or negative performance incentives	M&E and human resources systems incorporate approved standards as rating criteria	Standardized quality control and quality improvement systems in place and operational
	Monitoring, Evaluation and Learning (MEL)	Originating Organization maintains responsibility for monitoring, evaluation and data management related to the intervention	Adopting Organization conducts or participates in MEL activities related to the intervention	Adopting Organization takes concrete action to integrate monitoring, evaluation and data management of the intervention into established systems	MEL activities fully integrated into established systems of Adopting Organization

While the Institutionalization Tracker can be completed and compiled by an individual or small group based on key informant interviews, it is preferable that the process incorporate a facilitated workshop among key stakeholders to debate ratings and their implications. This group should be reconvened at regular intervals (usually semi-annually) to assess progress and determine next steps to strengthen and advance institutionalization efforts. (See Tool 3, Real-time Scaling Lab, for an example of how this process can be organized.)

At the discretion of the facilitator, participants may be allowed to award a rating halfway between one level of maturity and another (e.g., 1.5, 2.5, etc.).

Before filling out this tool, those leading the exercise should discuss and document their views about the stages and assumptions for successful institutionalization and should modify the descriptions in the cells of the matrix to reflect this context-informed analysis.

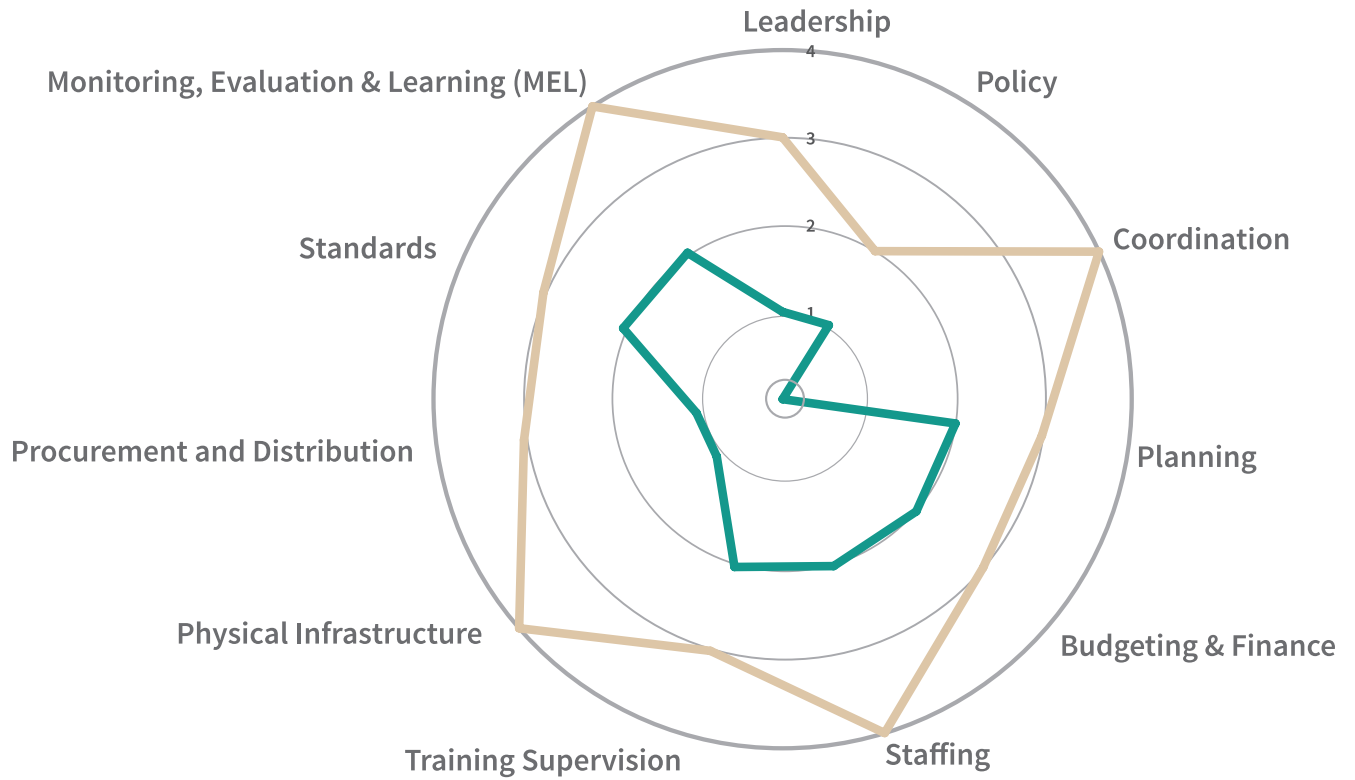
Based on the scoring by the stakeholder group for the 11 elements, average scores should be calculated for each

of the five dimensions of institutionalization and incorporated into a spreadsheet (e.g., using Microsoft Excel) that automatically and immediately generates a radar (or spider) diagram (see Figure 10 below). The group can project the diagram onto a screen and use it to generate discussion about institutionalization prospects, strategies and next steps. Scores from future assessments can be incorporated into the same graphic to focus stakeholders on areas of progress and remaining challenges.

The tool is designed to track progress toward national-level institutionalization, but in a decentralized system it can and should be used to track institutionalization for the appropriate subnational authority(ies). Note that this tool does not track other important aspects of scaling, such as impact and quality, and so ideally would be complemented by other scaling metrics.

Like many tools presented in this volume, the scores that emerge are less important than the discussions, decisions and actions they provoke about priorities.

Figure 10: Illustrative Radar Diagram



Conclusion

This Toolkit is intended as a living document. As experience grows, we plan to update it in real time and to re-issue revised versions periodically. If you make yourselves known to us, we will make sure this information finds its way to you. We also invite you to join the vibrant and growing Global Community of Practice on Scaling and to contribute your experience, research and reactions to this document, by contacting us at scalingCOP@msi-inc.com or through the community of practice website at www.scalingcommunityofpractice.com.



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Scaling Up

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