

Scaling Up – A Conceptual and Operational Framework

A Preliminary Report to the MacArthur Foundation’s Program on Population and Reproductive Health

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I. Introduction

The concept of “scaling up,” i.e., using successful small-scale projects as a basis for effecting large-scale changes, has become increasingly popular in both international development work and in the delivery of social services in OECD countries. The persistence of poverty in low-income countries, even after 30 years of development efforts, has made it evident to donors and foundations that while small scale projects are necessary, they are not sufficient to achieve the larger changes required. In the U.S. and in other OECD countries, delivering social services has been an on-going challenge (e.g., the decades-old “crisis” in education), and providers are eager to understand and spread the lessons of best practices. In both cases, the need to improve social outcomes faces increased pressures to operate with limited resources and to demonstrate cost effectiveness. Accordingly, there is a need to be able to identify projects that can be dependably expanded or replicated, and the means and methods to do so.

Recognizing this issue, in October 2003, the MacArthur Foundation awarded a grant to Management Systems International (MSI) to study the scaling up of small pilot and demonstration projects and to field test models for enhancing the scaling up process. The activity has five parts:

- To develop a framework that synthesizes the existing state of knowledge on scaling up;
- To conduct field trials using this framework as a general guideline;
- To assess the experience of the field trials;
- To revise the framework based on the experience of the field trials; and
- To disseminate these findings to the international development community, with particular emphasis on the fields of population and reproductive health.

This framework paper corresponds to the first of these tasks. It draws heavily from the existing literature on scaling up, strategic planning, and organizational development. It also incorporates lessons learned from 11 years of applied research carried out by MSI under the Implementing Policy Change Program with funding from USAID. This framework is currently being used in field tests with MacArthur reproductive health grantees in Nigeria and Mexico.

The remainder of this paper is divided into three parts. Part II discusses the concept of scaling up and offers several typologies and guiding questions for understanding and assessing alternative scaling up strategies. Part III provides a framework for developing and implementing a detailed scaling up strategy and implementation plan. Part IV presents a preliminary and selected list of hypotheses and lessons learned regarding successful scaling up.

II. Scaling Up: Definitions and Overall Strategy

The literature on scaling up is growing rapidly but continues to be characterized by relatively little agreement on definitions or models, and relatively few well documented case studies.¹ Further complicating matters is the fact that the term “scaling up” is applied to include several distinct strategies including: the dissemination of a new technique, prototype product, or process innovation;² “growing” an organization to a new level; and translating a small scale initiative into a government policy. In an effort to contribute to the creation of what Blackburn, Chambers and Gaventa refer to as a “strategic consensus”³ and to avoid confusion, the discussion that follows presents a typology that can be applied to create or characterize any scaling up strategy in terms of four distinct choices or aspects:

- the model, innovation or project to be scaled up – what is being scaled up;
- the methods of going to scale – the how of scaling up;
- the organizational roles involved in scaling up – the who of scaling up;
- the dimension(s) along which scaling up occurs – loosely speaking, the “where” of scaling up

In this section, we define more clearly what we mean by model, method, organizational role, and dimension, and discuss how each of these elements relates to the process of scaling up. It is important to keep in mind that successful scaling up is also influenced by multiple factors in the surrounding social and political environment; these factors are also touched on briefly.

THE MODEL: WHAT IS BEING SCALED UP?

The first step in scaling up is to clarify exactly what is to be scaled up. In the discussion that follows, we refer to this as the “model”. We also begin with the notion that a

¹ For example:

- Expand Net Scaling Up Health Interventions <http://www.expandnet.net/>;
- Simmons, Ruth and Jeremy Schiffman. *Scaling-up Reproductive Health Service Innovations: A Conceptual Framework*. Paper prepared for the Bellagio Conference: From Pilot Projects to Policies and Programs, March 21-April 5, 2003; November 15, 2002.
- Simmons, Ruth, Joseph Brown and Margarita Diaz. “Facilitating Large-Scale Transitions to Quality of Care: An Idea Whose Time Has Come.” *Studies in Family Planning*. Vol. 33, 1: 61-75. March 2002.; and
- World Bank. “Scaling-up the Impact of Good Practices in Rural Development: A Working Paper to Support Implementation of the World Bank’s Rural Development Strategy.” Report Number 26031. Agriculture and Rural Development Department. June 2003.
[http://lnweb18.worldbank.org/ESSD/ardext.nsf/11ByDocName/ScalingUptheImpactofGoodPracticesinRuralDevelopment/\\$FILE/Scale-up-final_formatted.pdf](http://lnweb18.worldbank.org/ESSD/ardext.nsf/11ByDocName/ScalingUptheImpactofGoodPracticesinRuralDevelopment/$FILE/Scale-up-final_formatted.pdf) 85 pages. Retrieved on 06/03/2004.

² The nascent scaling-up literature borrows heavily from the social science literature on the diffusion and adoption of technological innovations. While in some sections of this paper we find the “innovation” model a useful framework, we shy away from the use of the term innovation itself since many small-scale pilot projects discussed in the literature do not contain an obvious technical or process innovation. We therefore generally use the term “model” rather than innovation to refer to what is being scaled up.

³ Reference to Blackburn, et al.

“model” is normally embedded, at least initially, in a project.⁴ The model can include technical, process, and organizational components, which may or may not be explicit in the minds of those actually implementing the project. If models or individual components of models are new, i.e. untested, we refer to them as innovations.

1. TYPES OF PROJECTS

In analyzing possible strategies for scaling up any model, it is helpful to begin with an understanding of the purpose of project in which the model is initially embedded and the linkages between project goals and potential scaling up strategies. For this purpose, we distinguish four different types of projects funded by foundations and other donor organizations⁵ – pilot (or R&D) projects, demonstration projects, capacity building (or infrastructure) projects, and campaigns.

Pilot projects have as their primary purpose finding and testing new solutions to a particular problem. They include, by definition, one or more technical, process or organizational innovations. Examples of each would be, respectively: a new medical or agricultural technology (technical innovation); using a novel participatory, grass roots process for service design and delivery (process innovation); or applying a public/private/NGO partnership in an innovative way (organizational innovation). A pilot project may also take a proven model that has worked in one context or been successfully applied to a different problem, and see if it is equally successful with respect to a new context or problem.⁶

In **demonstration projects**, the purpose of the small-scale effort is raising awareness or creating legitimacy for the model. The intention is to make existing solutions better known to key stakeholders, decision makers and users. For pilot and demonstration projects to be successful in reaching their ultimate goals, it is normally necessary to generate credible evidence or testimonial regarding the superiority and effectiveness of the services and methods used in the project.

Capacity-building projects are short term interventions intended to create the institutions, skills, physical infrastructure or systems needed to make permanent changes in the level or quality of service delivery. These projects implicitly assume that the other elements necessary for going to scale already exist or are being provided elsewhere. Like demonstration projects, capacity-building projects may or may not include obvious innovations.

Campaigns attempt to “projectize” large-scale service delivery on the assumption that the benefits or services provided will be sustained and/or that the campaign will be repeated at some future date. National immunization or awareness campaigns are obvious cases in point. Once again, these projects may or may not contain obvious innovations.

⁴ Relevant case examples of the deliberate incorporation of scaling up models in pilot/demonstration projects include Haaga and Maaru (1996, Bangladesh); Goff (1990, Colombia); and Fujimoto and Villanueva (1984, Peru), among others. Full citations listed in Works Cited section.

⁵ Taken from Cooley, Larry. *Uses and Limitations of Projects as Instruments of Change*. unpublished: Management Systems International, 1992.

⁶ The case studies cited above include numerous examples of each of these types of innovation.

Each of these four types of projects – pilot, demonstration, capacity building and campaign – has an internal logic with respect to scaling up. Pilot projects approach scaling up in two stages – the initial project is intended to find a new and better solution to a problem on the assumption that, if successful, these innovative and novel features can and will be adopted by others. Demonstration projects, capacity building projects and campaigns are already implicitly taking a first step in scaling up by seeking to accomplish one or more of the tasks necessary to operating on a larger scale: creating legitimacy and awareness, increasing capacity, and mobilizing resources, respectively.

2. SIMPLIFYING AND DOCUMENTING THE MODEL

Scaling up a model begins by refining and simplifying the model to emphasize those elements essential to its success. This is a process that often takes many years. For example, in reviewing a number of cases in the field of rural development, the World Bank recently observed that successful cases “generally started with 10- to 15-year lead-up times, during which locally effective and appropriate technologies and processes were refined, often with subsidized donor support.”⁷ This same evidence suggests that many social entrepreneurs are reluctant to consider simplifications to their initial models or prototypes. This is despite the fact that evidence from a variety of sources suggests that the factors relevant to the success of scaling-up efforts include determined efforts at simplification.⁸

Experience also demonstrates that the easiest pilot efforts to scale up are those that involve a clear and replicable technology and that self-generate the financial resources needed for expansion. That is why many of the most common examples of scaling up are economic products or production processes such as the internal combustion engine; in the area of human development, it has likewise generally been easier to scale up technical innovations such as new seeds than models where process and organizational context are critical. For the latter, the challenges of clearly identifying and documenting the model, demonstrating its effectiveness, and ultimately going to scale are greater.⁹ One area often overlooked because it is particularly difficult to identify is the values that the model embodies, and that may be essential for its success.

While the majority of models proposed for scaling up are described by their proponents as “best practices”, few would meet this standard. To this end, the World Bank publication cited above introduces a useful set of categories originally developed by the U.S. Center for Drug Abuse Prevention and drawn from scientific discourse when it distinguishes between “an *innovation* (minimal objective evidence), a *promising practice* (anecdotal reports and testimonials); a *model*

⁷ World Bank, *op. cit.*, pg. 24.

⁸ World Bank, *op. cit.*, pg. xiv.

⁹ The World Bank paper cited above (*op. cit.*, pg. 9) uses the terms “universalist” and “contextualist” to distinguish these two broad approaches and provides the following definitions of each:

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

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

(positive evidence in a few cases); a *good practice* (clear evidence from several settings/evaluations); *best practices* (evidence of impact from multiple settings, meta-analyses, expert reviews); or a *policy principle* (proven in multiple settings; considered widely applicable ‘truism’ essential for success).”¹⁰ It is also noteworthy that many of models described as pilot projects in the literature seem to lack a clear product, process or organizational innovation, suggesting that many of these projects are actually demonstration projects or stand-alone efforts to deliver services to needy groups.

To consolidate information on this aspect of a scaling up strategy, it is useful to prepare a one or two page description of the model to be scaled up that answers the following questions:

- What is the goal of the pilot project?
- What elements – organizational, process, technical, values – were critical to success on a pilot scale? Is it absolutely necessary to replicate all of these elements on a large scale in order for the scaled up effort to be successful?
- Has the model been documented, including the process component, and has its effectiveness been objectively assessed?

3. IDENTIFYING THE ORGANIZATIONAL AND SOCIAL CONTEXT

In reproductive health activities, the factors responsible for success on a pilot scale are frequently organizational. It is thus particularly important to identify the organizational features that need to be retained, recreated or substituted for if the model is to be successfully scaled up. In identifying potentially unique or distinguishing features of the organization that implemented the pilot project – what we call elsewhere in this paper the “originating organization” – the categories and methodology used in the widely applied Institutional Development Framework (IDF)¹¹ are a useful guide. These are:

- Organizational Culture and Values/Principles
- Staffing Skills and Requirements
- Management and Leadership Style
- Financial System and Resources
- External Partnerships
- Monitoring and Evaluation

Among the specific questions that can be used to assess the relationship of the scaling up effort to the organization in which the model is embedded is the following:

- How easily can the institutional characteristics that were key to the outcomes achieved be replicated or enlarged upon?

¹⁰ World Bank; June, 2003; pg. xi.

¹¹ Renzi, Mark. “An Integrated TOOLKIT for Institutional Development.” *Public Administration and Development*. Vol. 16, pp. 469-483. 1996.

Projects and organizations are located within a broader social and political context that can exercise substantial impact on the scaling up process. For this reason, it is important to assess the external environment in which the pilot project has been operating to identify contextual factors that may have been essential to the success of the model. Here again, the goal of the analysis is to identify features that need to be recreated or substituted for if the model is to be successfully scaled up. This analysis of the social context can be particularly important, as these factors are often invisible to those who -- like fish unaware that they swim in the ocean -- have no point of comparison. The key question for this assessment of the social and political context is:

- Is there anything special or unique about the social context, political context or general circumstances of the pilot project that has affected the project's success (e.g., cultural, ethnic, or religious values/characteristics; distribution of power; homogeneity; economic conditions) and that would need to be present in any environment for the model to be replicated successfully?

4. DETERMINING THE VIABILITY OF THE MODEL FOR SCALING UP

Having identified the key components of the model and its context, the next step is to assess the viability of taking this model to scale. While this step is analytically distinct, in practice it can be part of the assessment discussed in the previous section.

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

Innovations [Models] must be: (1) based on sound evidence or espoused by respected persons or institutions ... to be credible; (2) observable to ensure that potential users can see the results in practice; (3) relevant for addressing persistent or sharply felt problems; (4) having a relative advantage over existing practices [positive cost-benefit, including implementation costs]; (5) easy to ... [transfer and adopt]; (6) compatible with the existing users' established values, norms, and facilities; and (7) able to be tested or tried without committing the potential user to complete adoption when results have not yet been seen.¹²

The issue of comparative cost-effectiveness is particularly difficult to assess for most reproductive health pilot activities. Small projects are often undertaken with little or no analysis of their costs or benefits, especially where the need is great, attribution is uncertain, and results are qualitative and difficult to measure. Yet insufficient attention to the costs and cost-benefit of a model can sabotage a scaling up effort or make operating at scale unsustainable. The relevant questions here are:

- What resources did the pilot activity require?
- Is there any evidence that the model is more cost-effective than other approaches?

¹² Simmons et al. (2002), p.63. Emphasis added.

- Are there obvious economies or diseconomies of scale?

Considerations Depending Upon Where You Start

Frequently, an existing or completed model has already been pre-selected for scaling up because it serves an important need and funders and project management are heavily invested, financially and psychologically, in the model. These projects are often assumed to be successful and ready for scaling up based on anecdotal evidence without a thorough, evidence-based evaluation of the extent and reasons for a model's success; an assessment of the model's strengths, weaknesses, and cost-effectiveness; and a comparison with alternative models or mechanisms for achieving the same goals. Taking the time to do an evaluation, assessment and comparison with alternatives in these cases is important and should ideally be done by someone who is detached and independent. These third-party assessments often provide elements essential to the scaling up process, including documentation or credible verification of impact that can be used to publicize and market the model.¹³

In other cases, there are multiple candidates that may be appropriate for scaling up to fill a larger need, and a selection must be made. The IDF and the Simmons criteria discussed above can be particularly useful in selecting models and activities with the best chance of successfully scaling up.

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

THE METHODS: HOW IS SCALING UP GOING TO BE DONE?

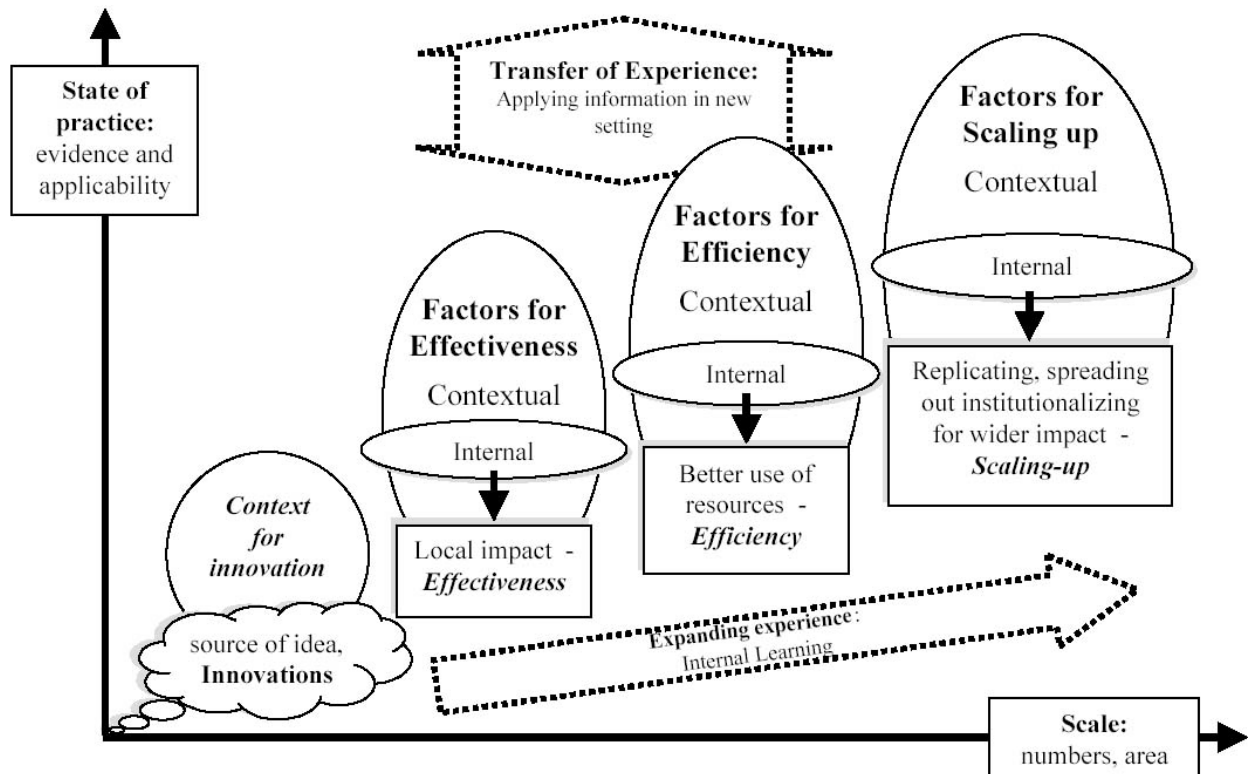
One of the most useful discussions of scaling in the literature continues to be David Korten's classic depiction of the process in terms of three stages – effectiveness (developing a solution that works), efficiency (finding a way to deliver the solution at an affordable cost), and expansion (developing a way to provide the solution on a larger scale).¹⁴ The graphic below illustrates the dynamics of Korten's model for the process of scaling up.¹⁵

¹³ Ashman, Darcy. "Closing the Gap between Promise and Practice: A Framework for Planning, Monitoring and Evaluating Social Development Networks". Unpublished, Mimeo.

¹⁴ Korten, F.F. and R.Y. Siy, Jr. (eds.). "Sharing Experiences – Examples of Participatory Approaches in Philippines Communal Irrigation Projects." In *Transforming Bureaucracy: the Experience of the Philippine National Irrigation Administration*. West Hartford, CT: Kumerian Press, 1988.
<http://www.worldbank.org/wbi/sourcebook/sb0215.htm>

¹⁵ World Bank, op. cit., pg.14.

Figure 1: SUMMARY OVERVIEW OF ISSUES FOR ANALYZING SCALING-UP



Source: Jim Hancock, World Bank Consultant

Scaling up focuses principally on Korten’s third stage – “expansion”. Both the literature and experience suggest that it is useful to disaggregate that term to distinguish several distinct types and methods of scaling-up (see Table 1 below).¹⁶ We use a typology of three types of scaling up: Expansion, Replication, and Collaboration. What distinguishes these three types of scaling up from one another is the degree to which the originating organization (i.e., the organization that managed the initial project) continues to control implementation as the model goes to scale.¹⁷

As used here, the term **expansion** refers to taking a model to scale by increasing the scale of operations of the organization that originally developed and piloted the model. Often expansion occurs in cases of pilot or demonstration projects where a project is filling a vacuum in terms of delivering products or services, and where the model and the organization in which it is embedded are either inextricably linked or the organization is not willing to relinquish control.

¹⁶ The following discussion parallels and integrates the distinctions outlined in a recent World Bank publication between “expansion of experience” and “transfer of experience” each of which can be pursued through either organizational growth (“horizontal”) or institutional and policy change (“vertical”) approaches, and each of which can engage the organization doing the scaling up on a “direct” or “indirect” basis. (World Bank, *op. cit.*, pg. x)

¹⁷ Among other useful frameworks for distinguishing alternative methods of scaling up is the following taxonomy: developing public policies, fostering communities of practice, influencing market forces, changing power relationships, and promoting social learning. For a full discussion of this framework, see Ford Foundation. *Asset Building for Social Change: Pathways to Large-Scale Impact*, 2004.

Expansion most often occurs by branching out into new locations and is often accompanied by decentralization or restructuring.

Replication is primarily oriented towards increasing the use of a particular process, technology or model of service delivery by getting other organizations, including the public sector, to take up and implement the model. In these cases, the relationship between what we call the originating and adopting organizations, defined below, is at arms-length. Replication can occur between organizations of the same type (e.g., NGO to NGO) or between organizations of different types. One of the most common types of replication is policy adoption, when a model is scaled up from a pilot run by an NGO to a program or practice mandated and often run by the public sector. Another common form of replication is grafting, where a model -- or one component of a model -- is incorporated into another organization's array of services or methods of service delivery. Policy adoption and grafting can occur together, as when a public sector agency incorporates a technique innovated by NGOs into its services, such as a participatory, community-development approach to HIV education. Diffusion, or spillover, is yet another method of replication. It tends to be spontaneous in nature and occurs when a model spreads by informal networking with new or existing organizations.

Finally, scaling up can take place through **collaboration**, a method falling somewhere in between the expansion and replication approaches. Mechanisms for collaboration run the gamut from formal partnerships to informal networks, and include a number of innovative structures and governance arrangements. Formal networks and coalitions are increasingly common methods for organizing collaborative efforts, as are alliances based on memoranda of understanding, and public-private partnerships. Typically, these arrangements include some division of responsibility among the collaborating organizations. Some of these arrangements include the public sector as a key partner; many others are agreements among civil society groups and/or partnerships with private firms, such as an NGO involved in education and awareness that partners with media organizations to co-create new methods of delivering products and services to an expanded audience. Recognition by private firms of commercial opportunities among the poor¹⁸ and a growing emphasis on corporate social responsibility have greatly expanded the opportunities for these types of partnership.

¹⁸ See, for example, the recent book:
Prahalad, C.K. *The Fortune at the Bottom of the Pyramid*. Philadelphia: Wharton School of Publishing, 2004.

TABLE 1. TYPES AND METHODS OF SCALING UP

Type	How
Expansion	<ul style="list-style-type: none"> ● Branching ● Decentralization ● Restructuring
Replication:	<ul style="list-style-type: none"> ● Policy Adoption ● Grafting ● Diffusion ● Spillover
Collaboration	<ul style="list-style-type: none"> ● Formal Partnerships and Strategic Alliances ● Networks and Coalitions

Weighing the Alternatives

Choosing among alternative scaling up methods involves balancing a number of considerations. Take, for example, the case of replication through policy adoption – the transfer of a model from an NGO to public sector institutions. The clear advantages of policy adoption are mandatory compliance and access to resources since state and national governments have greater financial resources than most NGOs. Moreover, governments generally have greater public legitimacy, especially if they are democratic; and donors and foundations frequently view operating at scale on a sustainable basis as a more appropriate role for government than for NGOs. However, achieving sustained government funding poses its own challenges and requires substantial monitoring and advocacy efforts to ensure continued fiscal support.

Policy adoption also has the advantage that it can occur fairly rapidly in a system where decision-making is highly centralized and can cover a large area quickly. On the other hand, organizational “congruence” – i.e., the match between the skills, procedures and values of the NGO and those of the government – can be a serious problem. For this reason, policy adoption is typically more effective when a model is primarily technical than when process, participation and quality of service are key factors in its success.¹⁹

The pros and cons of using expansion as a scaling up method are largely the mirror image of those associated with policy adoption. Major challenges for expansion are the ability of existing management to undertake and implement the necessary internal changes to go to scale, obtaining and sustaining sufficient financial resources to go to and operate at scale.

Collaboration has greatest potential where various organizations have different and complementary skills or resources, have shared or overlapping objectives, and have a high level of mutual trust. The pros and cons of collaboration depend on the nature of the organizations, governance structures and partnership model that is used. For example, networks between

¹⁹ This corresponds to the distinction between the “hardware” (the technical components) and “software” (participation, quality of service, and other less tangible components) aspects of change.

similar institutions, such as between NGOs or between public sector agencies, can be a powerful form of scaling up. Because they tend to be demand driven, buy-in, adoption and adaptation are relatively easy. However, because networks are voluntary and frequently lack external resources, the rate of adoption and coverage of the program may be slower and less widespread, respectively, than with other strategies.

In reviewing and deciding among various methods and types of scaling up, particular attention should be given to the following questions:

- Does the originating organization have the desire and organizational capacity to expand its operations and deliver services on a substantially larger scale?
- If not, is it most feasible to transfer the model to other (public or private sector) organizations, or to scale up through collaboration with those organizations?
- Should the scaling up effort include policy change by the government or rely exclusively on voluntary adoption by private and non-governmental organizations?

ORGANIZATIONAL ROLES: WHO PERFORMS THE KEY FUNCTIONS?

Drawing on a typology developed by Simmons and Schiffman (2003)²⁰, there are at least two different organizational roles in scaling up: the **originating organization** that develops and pilots the model and the **adopting organization** that takes up the model. Adopting organizations may be newly created for the purpose, or pre-existing. In the case of collaborative strategies, the role of the adopting organization is sometimes shared between the originating organization and one or more partners. In the case of where scaling up takes place through expansion, there are no originating or adopting organizations since these organizations are one and the same. Nevertheless, the conceptual distinction is useful since significant expansion will almost certainly require the originating organization to undergo major change.

Simmons *et al.* have noted the importance of “homophily” between resource and user systems, i.e., the compatibility of a model with the new values, norms and systems of potential users or adopting organizations.²¹ This means that when considering potential adopting organizations, it is important to look at how similar the organizational contexts and capacities are, how much adaptation and capacity building will be needed, and what resources that will require. For example, community-based projects frequently owe their success to participation by program participants and stakeholders, including local ownership, volunteer labor, use of local resources, and focus on priorities as determined by local community needs. Large public sector bureaucracies embody, almost by definition, exactly the opposite characteristics. Supply-driven and less responsive to local needs, they are unlikely to make use of local resources and engender a sense of local ownership. While public bureaucracies have compensating virtues – legitimacy, resources, infrastructure – these differences in the “software” (processes) of the organization may make transfer difficult and ultimately jeopardize the viability of scaling up in cases where

²⁰ Simmons, Ruth and Jeremy Schiffman. *Scaling-up Reproductive Health Service Innovations: A Conceptual Framework*. Paper prepared for the Bellagio Conference: From Pilot Projects to Policies and Programs, March 21-April 5, 2003. November 15, 2002.

²¹ Simmons, Ruth and Jeremy Schiffman. *Op. cit.*

these components are fundamental to the success of the model. These considerations apply equally to the social environment in which the originating and adopting organizations are embedded.

Given these considerations, if the vision of scaling up will bring the model in contact with a new population or location, it is necessary to do at least a preliminary assessment of the context where scaling up will occur. The point of this assessment is to ensure that the strategy takes into account opportunities and threats in the new environment and adjusts to social conditions present in the new context where scaling up is anticipated. This should include an assessment of the existing nature of the supply and demand of the services that are to be provided and whether there are any “competitors” present who are already addressing these concerns and may be threatened by the scaling up effort.

An assessment of potential adopting organizations should include the following questions:

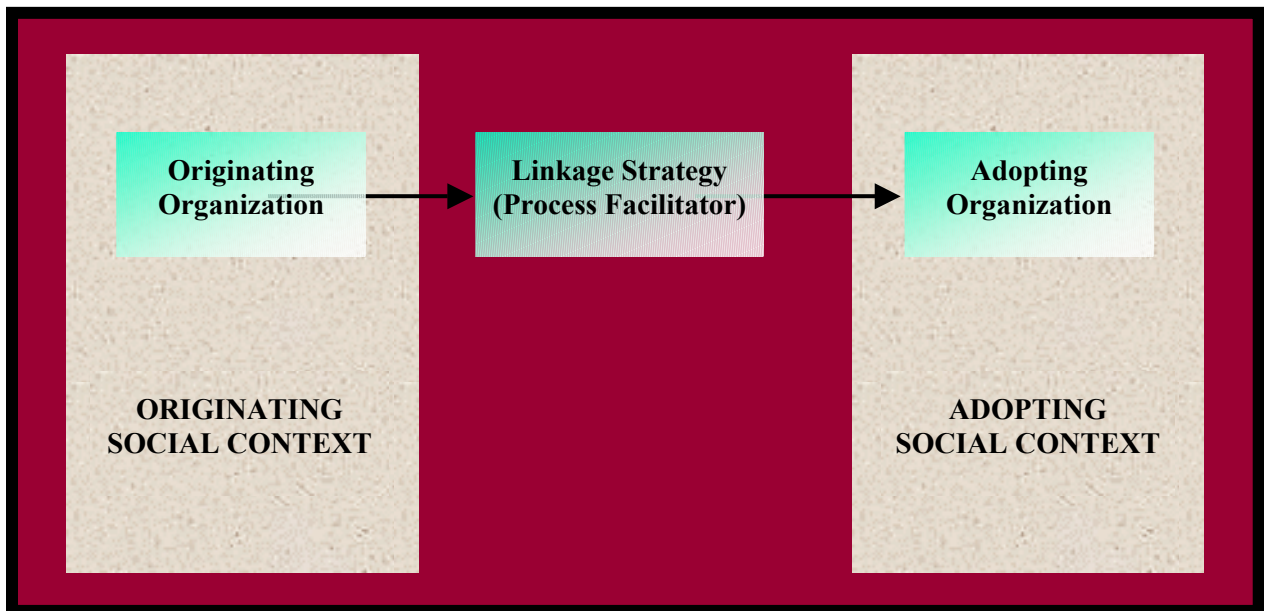
- Do potential partners perceive a need for this kind of model?
- Is the model congruent with the central mission and vision of the proposed adopting organization?
- Does the proposed adopting organization have the necessary implementation capacity?
- Are the organizational culture and values of the proposed adopting organization sufficiently compatible with those necessary to successfully adopt and implement the model?

Most discussions of scaling up implicitly assume that the originating organization is also the organization that does the work needed to transfer the model or take the model to scale. Experience and theory both suggest, however, that many of the tasks involved in successfully transferring or expanding a model can be done by, or with the assistance of, the adopting organization or a neutral third party – tasks such as mobilizing resources; getting other organizations to agree to adoption or partnerships; transferring knowledge and know-how; and monitoring and evaluation. In this paper, we refer to such tasks as aspects of the **linkage strategy** for transferring the model to the adopting organization or helping to ensure its expanded application.

Linkage strategies sometimes involve a separate role for organizations or individuals who serve as process facilitators or boundary spanners charged specifically with assisting the transfer or scaling up process. More specifically, in the case of collaborative strategies for scaling up, a boundary spanner can be essential in designing and forming innovative partnerships. In strategies that depend on expansion or replication, process facilitators can be key to helping assess the internal capacity needs required in originating (and adopting) organizations, creating the capacity or organizational modifications necessary, managing the change process, and helping adopting organizations adapt the model to their circumstances and organization.

Figure 2 below summarizes the organizational roles involved in scaling up. The roles of originating organization, adopting organizations and process facilitator can each be performed by public sector agencies, non-governmental organizations (NGOs), private voluntary organizations (PVOs), and community-based organizations (CBOs). Increasingly, private sector businesses are becoming involved in scaling up the provision of public services, either directly or through the use of public/private partnerships.

Figure 2: ORGANIZATIONAL ROLES IN SCALING UP



The most fundamental questions to be addressed when considering organizational roles are:

- What organization(s) are best suited to implement the model on a scaled up basis or to serve as partners in implementing the model?
- Is there need for one or more other organizations to help implement the linking strategy? If so, what help is needed and which organizations are best suited to performing these roles?

DIMENSIONS OF SCALING UP: “WHERE” DOES THE SCALING UP OCCUR?

So far, we have reviewed three of the four the key elements of scaling up: the model, the types and methods of scaling up, and organizational roles. The fourth and final element of scaling up is “dimension”, i.e., choosing the vector along which the model or project is to be extended. There are five main dimensions along which scaling up can occur: geographic coverage, breadth of services, depth of services, problem definition, and client type. To clarify these distinctions, consider a pilot project whose goal is to eradicate smallpox among infants by providing smallpox vaccine to infants in a particular village. When scaling up is discussed, frequently only the geographic dimension is considered – expanding the project to reach more villages or a larger region, such as a district or an entire country. However, a number of other dimensions might also be considered, such as: widening the target population to include adults (client type); adding other vaccines (depth of services) to lower infant mortality; increasing coverage within the original village (breadth of services); and examining how the skills and capacity developed to address the smallpox issue can be used to address other issues (problem definition).

To address these issues, strategies should answer the question:

- Along what dimension(s) should scaling up take place?

III. Developing and Implementing a Scaling Up Plan

The published literature includes relatively few examples where the authors describe the steps and considerations involved in developing and implementing a detailed scaling up plan and there are thus few empirically validated best practices on which to base step-by-step guidelines.²² The discussion in this section therefore augments the published literature on scaling up with insights drawn from the literature and practice on three closely related topics -- strategic planning, organizational development, and managing policy change. It is organized in terms of a series of three steps.

STEP 1: CREATING A VISION AND BROAD STRATEGY

The first step in taking a pilot activity to scale is creating a vision of what scaling up will look like if successfully completed and the broad outlines of a strategy for bringing this about. This step corresponds to the strategic considerations outlined in Section II of this document and results in an articulated vision of the scaling up effort itself and its intended outcomes. It includes answers to the questions enumerated in Section II with regard to the what, who, how and where of the proposed scaling up effort as well as plausible projections regarding its benefits -- e.g., the extent of intended increase in the use of family planning clinics; the level of reduction in the number of unwanted pregnancies, abortions, maternal mortality and morbidity; etc. It also includes explicit consideration of ways in which the original model can be simplified and packaged for transfer without losing those elements central to its success on a pilot scale. This vision should be informed by a general sense of the capacity and receptivity of potential partners; the presence of potential competitors; the possibilities for finding necessary financial resources; and the external environment generally, especially the social congruence of the model to the area or population where it is to be scaled up to. Each of these issues is explored more deeply as the strategy is further developed and implemented during Steps 2 and 3.

STEP 2: ESTABLISHING THE PRECONDITIONS FOR AN EFFECTIVE SCALING UP PROCESS

Scaling up is a form of systemic change. Like any systemic change, it involves action by many people – legislators, national leaders, activists, service providers, and donors, to name but a few.

²² Notable exceptions include:

- Expand Net Scaling Up Health Interventions <http://www.expandnet.net/>;
- Simmons, Ruth and Jeremy Schiffman. *Scaling-up Reproductive Health Service Innovations: A Conceptual Framework*. Paper prepared for the Bellagio Conference: From Pilot Projects to Policies and Programs, March 21-April 5, 2003. November 15, 2002.;
- Simmons, Ruth, Joseph Brown and Margarita Diaz. “Facilitating Large-Scale Transitions to Quality of Care: An Idea Whose Time Has Come.” *Studies in Family Planning*. Vol. 33, 1: 61-75. March 2002; and
- World Bank. “Scaling-up the Impact of Good Practices in Rural Development: A Working Paper to Support Implementation of the World Bank’s Rural Development Strategy.” Report Number 26031. Agriculture and Rural Development Department. June 2003. [http://lnweb18.worldbank.org/ESSD/ardext.nsf/11ByDocName/ScalingUptheImpactofGoodPracticesinRuralDevelopment/\\$FILE/Scale-up-final_formatted.pdf](http://lnweb18.worldbank.org/ESSD/ardext.nsf/11ByDocName/ScalingUptheImpactofGoodPracticesinRuralDevelopment/$FILE/Scale-up-final_formatted.pdf) 85 pages. Retrieved on 06/03/2004.

It involves reaching agreements and turning those agreements into action. To attack a challenge of this size, it helps to break it down into manageable pieces or tasks. For this purpose, we draw on a framework originally developed for managing policy change and adapt this framework to include all of the scaling up methods described in Section II.²³

The proposed Scaling Up Management (SUM) Framework divides the overall process of scaling up systemic into six distinct tasks, each of which can be managed systematically and strategically. These tasks integrate the political, behavioral, organizational and technical aspects of the scaling up effort to provide a roadmap for managing the process and a common vocabulary for discussing priorities and tactics. This step, **establishing the preconditions** for successful scaling up, includes the first three of these tasks: legitimation, constituency building, and realigning and mobilizing resources. The next step, **implementing** scaling up, is comprised of the latter three tasks.

Task 1: Legitimation

Before scaling up can begin, the changes implied by scaling up must be viewed as legitimate and imperative. For this to be the case, the issues or problems addressed by the model must be seen as important and urgent, existing responses must be acknowledged as inadequate, and the newly piloted or demonstrated model must be credible and regarded as the best available solution.

Inertia and the status quo are formidable obstacles to change. To acquire legitimacy, influential people and opinion leaders must thus come to believe – and must assert publicly – that change is necessary. Because change often represents a significant break from tradition and requires shifts in attitudes and actions, it is important that the "legitimizers" or "champions" enjoy widespread credibility. These individuals can come from either the public, non-profit or private sectors; however, if policy adoption is the chosen method of scaling up, it is essential to attract high-level government involvement and support at the earliest feasible date.

This task has been termed by some “going slow to go fast”. Nevertheless, experience suggests, and the literature on scaling up confirms, that there is a systematic tendency to underestimate the importance of this Task. This is in part because donors are often impatient or uncomfortable with political or consciousness raising activities and prefer to focus on capacity building and/or service delivery. Numerous case examples clearly indicate, however, that inattention to legitimation often results in either failed efforts or in a need to return to this Task later in the process.²⁴

²³ Brinkerhoff, D. & Crosby, B. *Managing policy reform: Concepts and tools for decision-makers in developing and transitioning countries*. Bloomfield, CT.: Kumarian Press, Inc., 2002.

Management Systems International. *Implementing Policy Change Series*. Washington, DC: USAID.

http://www.usaid.gov/our_work/democracy_and_governance/publications/ipcindex.html

²⁴ Brinkerhoff, D. & Crosby, B. *Managing policy reform: Concepts and tools for decision-makers in developing and transitioning countries*. Bloomfield, CT.: Kumarian Press, Inc., 2002. and

Management Systems International. “Case Studies.” *Implementing Policy Change Series*, Washington, DC: USAID. http://www.usaid.gov/our_work/democracy_and_governance/publications/ipcindex.html

The task of legitimation is critical for getting agreement by adopting organizations. In the case of policy change, this legitimation is essential for getting policies approved, budgetary priorities adopted, and developing the broader and deeper base of support needed for implementation by bureaucratic institutions and others. More generally, it is key for attracting potential adopting organizations, for persuading funders to provide support, and for ensuring a warm reception of the model among new locations, client populations, and potentially competing organizations.

Establishing or increasing legitimacy can be accomplished through a variety of methods such as enlisting prominent spokespersons as advocates, creating “blue ribbon” commissions, creating public education and public relations campaigns, conducting policy debates, and establishing advisory boards. It is also vital to demonstrate that the proposed innovation or model is successful, cost-effective and feasible. This is normally done through documentation and evaluation of the model.

Questions and issues to be addressed during Task 1 include:

- Is there sufficient agreement among relevant decision makers, funders and opinion leaders that new solutions are necessary and desirable?
- Is there sufficient agreement among relevant decision makers, funders and opinion leaders that the proposed model is successful, cost-effective, and feasible?
- If not, what are the best ways to promote this legitimation, and what spokespersons and conveners are most likely to be effective in doing this?

If existing legitimation is not deemed sufficient, this Task includes formulation and implementation of a legitimation strategy.

Task 2: Constituency Building

Scaling up often requires formal policy decisions: by the government or other adopting organizations to support the model (or by the originating organization to expand); and by funders to provide financial resources. Even after formal policy decisions are made, there is often a lack of support for ongoing implementation. It is thus important that constituencies for change be developed and mobilized among key decision makers and stakeholders, within the implementing organizations, and often among the broader public. Likely constituencies include those who can hope to be better off as a result of scaling up, other organizations working in the field, and/or organizations and individual who support the policy change philosophically. Constituency building complements and amplifies the legitimation process by going beyond passive acceptance of the need for change and mobilizing action in favor of specific changes.

Putting together a constituency is an inherently difficult task because of the power to block change by those with vested interests in maintaining the status quo. To the extent that existing organizations are involved in adopting and/or implementing the model, they are often reluctant to change. Because change normally affects budget allocations and funding priorities, additional opposition frequently comes from those whose budgets would need to be reduced in order to free

up the necessary resources. The task of constituency building aims to overcome these sources of resistance.

Identifying and mobilizing support for scaling up a new model or innovation are inherently political tasks. For many social issues, there is a tendency to rely on one-on-one lobbying with the person perceived to be “in charge”. Experience strongly suggests, however, that in order for change to be realized and sustained, it is important to mobilize a wider range of stakeholders and the broader community, including outreach to legislative bodies in the case of policy adoption, and the creation of coalitions and campaigns to foster representation by underserved groups. Another important component is dealing with the realities of opposition. As noted above, if the originating organization is an NGO, other NGOs may feel threatened, both in terms of competition for funding or more generally in terms of recognition, reputation and visibility. An often-ignored component in the case of policy adoption is achieving buy-in from bureaucratic interests which may be threatened by the proposed changes or who will be responsible for implementing the scaled up innovation. Potential tactics for building the needed constituencies include organizing multi-stakeholder dialogues; working through political parties, legislative committees, business, religious, labor, or other civil society coalitions; and adapting models or initiatives to meet opposition concerns through bargaining and negotiation.

Critical questions and issues during Task 2 include:

- Which organizations, organizational units or individuals are responsible for key decisions regarding the various tasks of scaling up: adoption/expansion, funding, and implementation? Who has authority to make the 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 internal groups be achieved?
- If the partnership method is chosen for scaling up, what outreach work, marketing, and organizing are necessary to get potential partners to collaborate or participate in a network, coalition or alliance?

Task 2 normally includes stakeholder analysis, a determined effort to mobilize new constituencies, and implementation of a systematic advocacy strategy. It often includes efforts to secure formal adoption of new policies and funding by the government or by potential adopting organizations.

Task 3: Realigning and Mobilizing Resources

Implementing any new program or approach requires human, technical, and financial resources. These resources are rarely in place at the outset, and old priorities do not disappear simply because new priorities arise. Managing a period of transition is a particular concern given the

inability to redistribute human and financial resources to new priorities on short notice and the associated risk of program or project shutdowns once donor resources are exhausted. Moreover, the resource problem is not simply financial. Often, no individual, team or agency is charged with managing the transition and coordinating the introduction of the new programs, policies or approaches necessary to implement it, and the organizations slated for change lack the needed organizational skills and systems. Like the first two tasks – legitimation and constituency building – those managing the task of realigning and mobilizing resources must thus often reach beyond the boundaries of individual organizations to find the needed capabilities. Donors can often be particularly useful in supporting internal advocates during this part of the change effort.

While it is well understood that the organizations that run small pilot projects often have neither the resources nor capacity to operate at scale, what is less understood is that they don't have the resources to take a model to scale, even if "all" that is involved is transferring it to a larger organization. For example, the advocacy work to get new organizations, particularly the government, to agree to adopt the necessary policies is challenging and time consuming, and the same can be said for the institutional strengthening of both originating and adopting organizations (see below). A weak point for many scaling up projects has been the burden on staff of the originating organization, who are expected to provide training, mentoring, and other support for the adopting organization, while continuing to run their own programs. On the other end, the adaptation required to make the model work in its new setting can be a multi-year effort. All of this takes resources.

Partnerships between institutions with complementary resources and strengths can be a synergistic way to provide the resources needed for the scaling up process. For example, the public sector frequently has political legitimacy, but lacks technical expertise, financial resources, or the ability to operate flexibly at the local level. The private for-profit sector often has financial resources and technical expertise, but lacks political legitimacy. The non-profit sector (NGOs, and PVOs) has technical expertise and the capacity for flexible local implementation, but they usually lack political legitimacy and large-scale organizational capacity. Local communities and CBOs are often overlooked as a potential source for in-kind resources, and they can also help create political legitimacy. Partnerships that bring together the best of each partner can be a powerful and efficient way to mobilize the resources needed for the scaling up process. Moreover, they are increasingly in fashion in development circles, so that partnership-based approaches to scaling up have greater chances of securing successful funding. Organizational leadership may have to reexamine its needs for maintaining total control if it desires to access sufficient resources for going to scale.

Critical questions and issues during Task 3 include:

- What human, institutional and financial resources will be needed to support the process of "going to scale", and what needs to be done to ensure that these resources are available?
- What human, institutional and financial resources will be needed for "operating at scale", and what needs to be done to ensure that these resources are available?

- What, if any new partnerships will be needed to provide the resources for going to scale and/or operating at scale?
- What new technologies, dissemination mechanisms or materials need to be developed?

Task 3 includes securing the commitment of the needed human and financial resources for both the scaling up effort and for operating at scale.

STEP 3: IMPLEMENTING THE SCALING UP PROCESS

Tasks 4, 5 and 6 are devoted to implementing the scaling up effort. First and foremost, these tasks involve modifying organizational structures, especially creating organizational capacity to transfer and receive the model, or, in the case of expansion, growing the organization. Once this capacity is created, Task 5 involves the actual transfer, adoption and adaptation of the model, and clearly assigning roles and responsibilities for each action and overall co-ordination. Task 6 covers monitoring and evaluating progress, and feeding that information back into public oversight and modification of the model.

Task 4: Modifying Organizational Structures

Implementing meaningful and large-scale change almost always calls for the creation of new organizational structures or for major changes to existing ones. These changes can affect organizations in two ways. First, some organizations are affected internally regarding what they do and how they do it. And second, since successful actions by one organization may depend on the implementation of complementary actions by others, there is greater need for sharing information and resources, and for more concerted coordination, particularly during the transition period.

In scaling up successful pilot programs, the need for change is most apparent in the organization expected to implement the model on a scaled up basis. But changes are needed in other organizations as well. This includes changes in attitudes and behavior within the organization that originated the model and now faces the prospect of either expanding itself or handing off responsibility to others. If this organization is responsible for the scaling up effort, it must also figure out what actions this requires and how to integrate these actions with its ongoing programmatic responsibilities.

Transfer of knowledge and know how²⁵ is one of the most neglected aspects of scaling up. This often requires a substantial simplification of the model since the resources necessary for intensive mentoring and capacity building are often not available. In expansion, since the originating organization and the adopting organization are the same, the modifications are more internal, although lack of resources and resistance to change can still occur. Developing a

²⁵ Regarding technical transfer and change, “knowledge” is used to describe information, processes and procedures, which are easily formalized and written down. “Know how” describes the informal, tacit knowledge to make formal knowledge work in actual application.

transfer methodology is essentially similar when increasing delivery capacity within the organization, and this is especially true when expansion occurs by creating new branches.

In replication, transferring the model's technology, process and know-how usually means modification of the adopting organization, or creation of a new organization altogether. This can be particularly difficult if the originating and adopting have differing organizational cultures, values and norms, internal structures and incentives. In cases where the values and norms of the adopting and originating organizations are dissimilar, part of the scaling up effort needs to be a process to transform the model or align these values so that transfer can occur. This is especially the case when the originating organization is an NGO and the adopting organization is a government agency. NGOs are seldom equipped to modify bureaucratic structures and culture or increase government capacity. In addition, government agencies are frequently resistant to learning from NGOs, and therefore to benefiting from the experience and expertise the NGO could bring to government operations. In many recently democratizing countries, this is further reinforced by a history of NGO-led criticism and opposition to authoritarian governments and their policies.

Critical questions and issues during Task 4 include:

- Is the originating organization prepared to relinquish control and make the other changes necessary for successful transfer and scaling up of the model?
- What changes need to be made in the “adopting organization”?
- What actions are needed for transferring the needed knowledge, skills, systems, attitudes and values to the adopting organization?
- Which organizations are responsible for this transfer process and what changes do they need to make to their own capacity -- structure, staffing or operations – to effect this successfully?

Task 4 includes the development and implementation of institutional capacity building and organizational development plans for all of the organizations with major roles to play in either the scaling up process or in subsequent efforts to operate at scale.

Task 5: Coordinating Action

Moving from planning and preparation to implementation – from theory to practice – begins with concrete and detailed agreements about how, when, where, and by whom resources are to be utilized. Programs and projects need to be designed or redesigned, action plans need to be negotiated, people need to be deployed, and so on. Frequently, this requires managing across organizational boundaries, and ongoing efforts are often needed to overcome internal and external resistance including new incentives to induce the implementing organizations to adopt new modes and practices. Task 5 focuses on instituting the multi-organization management processes, coordination mechanisms and accountability procedures needed to ensure that policy decisions are translated into concrete action.

The development management literature provides a wide range of useful guidance on the subject of multi-party programming and inter-organizational coordination. George Honadle's deconstruction of the term "coordination" is particularly relevant to the situation faced by many scaling up efforts. He distinguishes between four aspects or approaches to coordination -- sharing information, sharing resources, joint planning and joint action -- and argues that (1) coordination is by its nature very time consuming, and (2) each of the four approaches is successively more difficult.²⁶ The operational implications for those implementing scaling up programs are to limit, where possible, the extent of coordination that is necessary; favor less complex forms of coordination; and ensure that responsibilities and resources for coordination are clearly established.

Central to this task is the establishment of transparent and efficient governance structures for networks and coalitions, and here too there is a growing body of published literature and experience. The emerging field of public-private alliances has, for example, developed a wide range of options for managing pooled and parallel resources in ways that are directly applicable to scaling up.²⁷

In scaling up pilot activities, Task 5 includes those implementation actions necessary to successfully transfer the model to others as well as those needed for ongoing operations at a scaled up level.

Critical questions and issues during Task 5 include:

- Are action plans and budgets in place for implementing the scaling up effort and, if not, what more needs to be done?

²⁶ Honadle, George and Lauren Cooper. "Beyond Coordination and Control: An Interorganizational Approach to Structural Adjustment, Service Delivery and Natural Resource Management." *World Development*. 1989: No. 10. Pages 1531-1541.

²⁷ USAID Global Development Alliance. *Tools for Alliance Builders*. Available at: http://www.usaid.gov/our_work/global_partnerships/gda/tab.html

- Have responsibilities been clearly allocated and efficient mechanisms established for coordinating the scaling up effort?
- If more than one organization is involved, who will be responsible for monitoring these efforts and for resolving any conflicts?

Task 5 includes the instituting of action plans, coordinating mechanisms and governance procedures for the scaling up activity. This Task continues until the model has been successfully taken to scale.

Task 6: Performance Monitoring

It is important to track the effects of changes and to make adjustments if they are not producing the intended results. Such monitoring and evaluation ideally begins early in the process, and should be done in a credible, public and transparent manner. Also of critical importance is creating avenues for feeding this information back to the public and to decision makers. The press, academia, and non-partisan monitoring organizations can play important roles in this process.

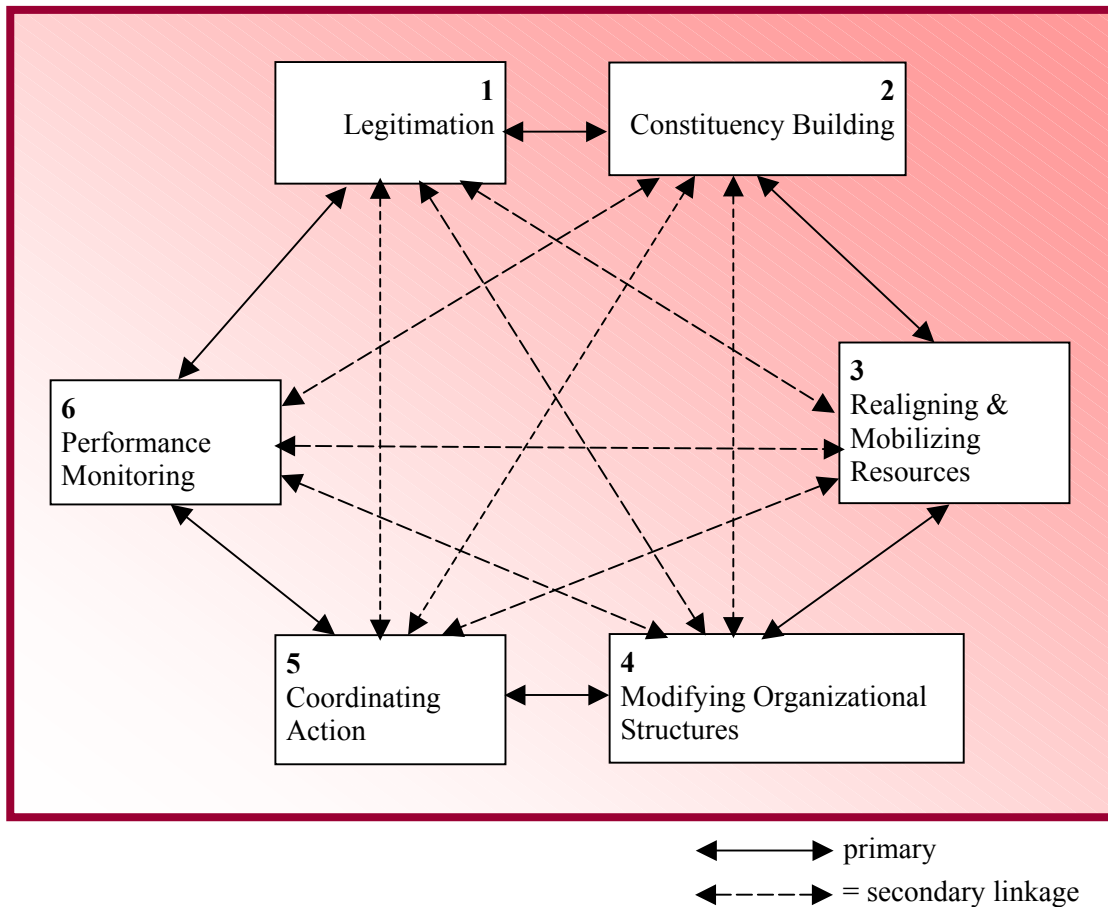
Critical questions and issues during Task 6 include:

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

Task 6 includes the establishment and operation of feedback and documentation procedures, and incorporates a process for ensuring that these results are widely disseminated and discussed.

The six tasks involved in Steps 2 and 3 of scaling up, and the links between these tasks, are displayed in the graphic above which illustrates that, even though the six Tasks are described as a linear sequence, each Task affects and is affected by each of the others.

Figure 3: MANAGING LARGE SYSTEM CHANGE



The steps, tasks and questions associated with each element of the scaling up process are summarized in Annex 1. A selected set of simple, practical tools that can be used to support various aspects of this process is presented as Annex 2.

IV. Lessons Learned and Working Hypotheses

Review of the literature on scaling up, and initial experience testing the framework presented in this paper in Nigeria and Mexico, suggest a series of tentative lessons learned and hypotheses about successful scaling up. These include the following:

- The task of scaling up is particularly difficult in cases where models lack clear and credible documentation; do not include a technological innovation; are value-laden and/or process-intensive; and do not involve a significant fee-for-service component. Most of these complications are present in many of the reproductive health pilot projects being proposed for scaling up.
- Very few of the models proposed for scaling up have the information necessary to demonstrate to skeptics or agnostics that they constitute best practices or promising practices. In some cases, but not all, this is a significant obstacle to garnering the support needed for scaling up.
- Persuading government officials to adopt new models or innovations is influenced by hard data on effectiveness. The more technical the intervention, the more this is necessary, and the more feasible it is. It is less clear what is needed and what is possible in the case of process-based innovations.
- The tasks involved in going to scale are distinct from those involved in operating a successful pilot and from those involved in operating at scale. Specific resources and organizational roles are needed to perform these scaling up functions.
- In many cases, there is no entity with the skills, resources, and motivation to scale up successful pilot efforts, especially in an area such as reproductive health.
- Policy adoption has limited scope as a scaling up strategy where governments lack resources or governance processes that foster expanded service delivery. Further complicating government's role is the fact that NGOs in many countries are disposed to compete with or oppose governments, rather than to cooperate with them.
- Grassroots organizations are normally location-specific in their mission and in their constituents and thus often lack the motivation and contacts needed to scale up their efforts to other localities.
- Resources for large-scale increase in non-commercial reproductive health services almost always require support or partnership from outside the reproductive health community.
- There is some evidence to suggest that the more process-intensive or context-specific a model is, the more participatory the scaling up process needs to be.
- The more one can simplify a model without losing the basis for its effectiveness, the more feasible it is to scale it up. However, there appears to be a strong reluctance on the

part of most originating organizations to simplify, repackage, or relinquish control over their models for purposes of scaling them up.

- Management and leadership are major factors limiting the scaling up of successful pilot activities. The leadership and management skills needed to design and operate a successful pilot program are notably different from those needed to take a model to scale or those needed to operate on a large scale.
- Early planning for scaling up can significantly affect the design and implementation of pilot activities, and can materially increase the prospects for subsequent scaling up. Design of effective procedures for documenting and disseminating processes and results, early involvement of key decision makers, and anticipation of potential adopting organization(s) are particularly important elements in this planning.

In addition to testing the applicability and utility of the framework outlined in this paper, one goal of the ongoing fieldwork – scheduled to end in mid-2005 – is to gain additional evidence and insight regarding these lessons.

ANNEX 1

STEPS, TASKS AND QUESTIONS FOR DEVELOPING AND IMPLEMENTING A DETAILED SCALING-UP PLAN

Step 1: Creating a Vision and Broad Strategy	
Clarifying the Model	<ul style="list-style-type: none"> ● What is the goal of the pilot project? ● What elements – organizational, process, technical, values – were critical to success on a pilot scale? Is it absolutely necessary to replicate all of these elements on a large scale in order for the scaled up effort to be successful? ● Has the model been documented, including the process component, and has its effectiveness been objectively assessed? ● How easily can the institutional characteristics that were key to the outcomes achieved be replicated or enlarged upon? ● Is there anything special or unique about the social context, political context or general circumstances of the pilot project that has affected the project’s success (e.g., cultural, ethnic, or religious values/characteristics; distribution of power; homogeneity; economic conditions) and that would need to be present in any environment for the model to be replicated successfully? ● What resources did the pilot activity require? ● Is there any evidence that the model is more cost-effective than other approaches? ● Are there obvious economies or diseconomies of scale?
Choosing the Method and Type of Scaling-up	<ul style="list-style-type: none"> ● Does the originating organization have the desire and organizational capacity to expand its operations and deliver services on a substantially larger scale? ● If not, is it most feasible to transfer the model to other (public or private sector) organizations, or to scale up through collaboration with those organizations? ● Should the scaling-up effort include policy change by the government or rely exclusively on voluntary adoption by private and non-governmental organizations?
Determining Organizational	<ul style="list-style-type: none"> ● What organization(s) are best suited to implement the model on a scaled up basis or to serve as partners in implementing the model?

Roles	<ul style="list-style-type: none"> ● Do potential partners perceive a need for this kind of model? ● Is the model congruent with the central mission and vision of the proposed adopting organization? ● Does the adopting organization have the appropriate organizational and implementation capacity? ● Are the organizational culture and values of the proposed adopting organization sufficiently compatible with those necessary to successfully adopt and implement the model? ● Is there need for one or more other organizations to help implement the linking strategy? If so, what help is needed and which organizations are best suited to performing these roles?
Establishing Dimension(s)	<ul style="list-style-type: none"> ● Along what dimension(s) should scaling-up take place?
Step 2: Establishing the Preconditions for an Effective Scaling-up Process	
Legitimation	<ul style="list-style-type: none"> ● Is there sufficient agreement among relevant decision makers, funders and opinion leaders that new solutions are necessary and desirable? ● Is there sufficient agreement among relevant decision makers, funders and opinion leaders that the proposed model is successful, cost-effective, and feasible? ● If not, what are the best ways to promote this legitimation, and what spokespersons and conveners are most likely to be effective in doing this?
Constituency Building	<ul style="list-style-type: none"> ● Which organizations, organizational units or individuals are responsible for key decisions regarding the various tasks of scaling-up: adoption/expansion, funding, and implementation? Who has authority to make the 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 internal groups be achieved? ● If the partnership method is chosen for scaling-up, what outreach work, marketing, and organizing are necessary to get potential partners to collaborate or participate in a network, coalition or alliance?

<p>Realigning and Mobilizing Resources</p>	<ul style="list-style-type: none"> ● What human, institutional and financial resources will be needed to support the process of “<u>going to scale</u>”, and what needs to be done to ensure that these resources are available? ● What human, institutional and financial resources will be needed for “<u>operating at scale</u>”, and what needs to be done to ensure that these resources are available? ● What, if any new partnerships will be needed to provide the resources for going to scale and/or operating at scale? ● What new technologies, dissemination mechanisms or materials need to be developed?
<p>Step 3: Implementing the Scaling-up Process</p>	
<p>Modifying Organizational Structures</p>	<ul style="list-style-type: none"> ● Is the originating organization prepared to relinquish control and make the other changes necessary for successful transfer and scaling-up of the model? ● What changes need to be made in the “adopting organization”? ● What actions are needed for transferring the needed knowledge, skills, systems, attitudes and values to the adopting organization? ● Which organizations are responsible for this transfer process and what changes do they need to make to their own capacity – structure, staffing or operations – to effect this successfully?
<p>Coordinating 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 for coordinating the scaling-up effort? ● If more than one organization is involved, who will be responsible for monitoring these efforts and for resolving any conflicts?
<p>Performance Monitoring</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 are the most effective mechanisms for ensuring that this information is fed back to key stakeholders and to the broader public, and that the information is used to make necessary course corrections?

ANNEX 2

USEFUL TOOLS FOR PLANNING AND IMPLEMENTING A SCALING-UP STRATEGY

Step 1: Creating a Vision and Broad Strategy	Future Search²⁸ Force-Field Analysis²⁹
Step 2: Establishing the Preconditions for an Effective Scaling Up Process	Political and Policy Mapping³⁰ Stakeholder Analysis³¹
Step 3: Implementing the Scaling Up Process	Institutional Development Framework³² Organizational Responsibility Charting³³ Logical Framework³⁴

²⁸ Weisbord, Marvin R. and Sandra Janoff. *Future Search: An Action Guide to Finding Common Ground in Organizations and Communities*. San Francisco: Berrett-Koehler, 1995.

²⁹ Hall, C.S. and Lindzey, G., 1978. *Theories of Personality*, 3rd Ed. New York: John Wiley & Sons.

³⁰ Brinkerhoff, Derick W. "Policy Characteristics Analysis." *Implementing Policy Change Technical Note 6*. Washington DC: Management Systems International and USAID, June 1994.

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³¹ Crosby, Benjamin L. "Stakeholder Analysis: A Vital Tool for Strategic Managers." *Implementing Policy Change Technical Note 2*. Washington DC: Management Systems International and USAID, March 1991.

http://www.usaid.gov/our_work/democracy_and_governance/publications/ipcindex.html

³² Renzi, Mark. "An Integrated TOOLKIT for Institutional Development." *Public Administration and Development*. Vol. 16, pp. 469-483. 1996.

³³ Management Systems International. "Organizational Responsibility Charts." *MSI Technical Note. Prems*. Unpublished, 1990.

³⁴ Cooley, Larry. "The Logical Framework: Program Design for Program Results." *The Entrepreneurial Economy*. July/August 1989. Pages 8-15.

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