Types of Scaling Up

1. Scaling an intervention to greater **reach** (scale)
2. The method of Scaling up (expansion, replication, collaboration)
3. Scaling up the **organization** (also a method)
4. Scaling up the **intervention** itself (model): Breadth and Depth
5. Same or different **issue** e.g. task shifting
6. Political **advocacy** for an issue (activity)
Key Phases of Scaling Up

1. An **Intervention** (or policy or program) that is:
   - Effective & Efficient
   - Compatible with large systems
   - Robust across social and cultural conditions

2. **Advocacy**: convincing institutions to adopt, fund and implement the intervention at large scale

3. **Modifying and Strengthening Organizations**: creating the capacity and capabilities to implement at scale

4. **Implementation at Scale**: actual rollout of the model

5. **Sustainability**: ensuring large scale implementation continues politically, financially and institutionally
(a few of the many) Challenges to Scaling Up

1. Lack of evidence of success
2. Lack of evidence of unit cost, cost effectiveness
3. Insufficient advocacy:
   - Dissemination rather than advocacy
   - Policy champions and quick wins
   - Policy adoption at the highest levels, ignores implementation
4. No effort to secure long-term, sustainable financing and ensure the intervention is affordable domestically
5. Model is incompatible with institution(s) who could implement it at large scale.
   - complicated
   - culture
   - systems
   - infrastructure
   - governance

Capacity building is one-off, confined to training

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Initial Scalability Assessment: Go/No Go/More Development

- **Credible and Observable**: quantitative and qualitative evidence of efficacy, effectiveness, robustness and generalizability
- **Relevant**: objective issues, policy priority, beneficiaries
- **Relative Advantage**: over existing practices or other alternatives
- **Easily Implementable** and compatible with potential large scale organizations
- **Affordable**: Cost-effective, cost savings, internal funding source, economies of scale
A Three Step, Ten Task Process

Step 1: Preparing the Model, Setting Goals and Planning
  Task 1: Identifying the Model
  Task 2: Setting Goals
  Task 3: Assessing Scalability & Filling In Gaps
  Task 4: Creating a Scaling Up Strategy

Step 2: Legitimation, Advocacy & Mobilizing Resources
  Task 5: Legitimizing Change (if Necessary)
  Task 6: Advocacy for Adoption
  Task 7: Realigning and Mobilizing Resources

Step 3: Implementing the Model at Scale
  Task 8: Modifying and Strengthening Organizations
  Task 9: Coordinating Action and Rollout
  Task 10: Tracking Performance & Maintaining Momentum

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Key Questions for Scaling Up

- **What** is being scaled up?
- **Where** is the scaling up to occur (What are the *goals* of scaling up)?
- **How** is scaling up to occur (method)?
- **Who** is doing each of the three steps and ten tasks of scaling up?
Identifying the Model

What is Being Scaled-Up?

- Identify the model’s key components, especially process and organizational and INVISIBLES

- Identify the organizational capabilities and culture necessary to implement the model

- Identify the external characteristics and factors – social, cultural, economic, infrastructure – that made the model work effectively at small scale
Where -- Defining The Goals for Successful Scaling Up

- Reach. the scale to be attained
- Impact. impact on key outcomes measured by indicators
- Efficiency or Cost. cost per beneficiary and total cost (so that scale is affordable)
- Sustainability. political, financial and institutional
- Coverage and Targeting. reaching the hardest to reach: the underserved, unserved, indigenous peoples, women, minorities, rural areas, the poor
Who: Roles in Scaling Up

Small Scale Implementation
- Systems
- Culture/Incentives
- Capabilities
- Resources

Adopting
Implementing
Managing
Resources

Going to Scale
- Evaluation
- Documentation
- Legitimation
- Advocacy
- Transfer
- Capacity Building
- Monitoring

Social Context

Large Scale Implementation
- Systems, Scale
- Culture/Incentives
- Capabilities
- Resources

Adopting
Implementing
Managing
Resources

Social Context

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Who: Criteria for the Roles

- **Implementing Organization**
  - **Capability:** implement the intervention with desired impact in the given social context and institutional environment
  - **Capacity:** deliver at the desired scale or reach

- **Resources:** Have or can provide funding and in-kind resources (can be internal to the model too)

- **Adopting:** Carry Legitimacy to allow for acceptance by beneficiaries, partners, funders, front-line implementers

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How – What Method of Scaling Up?

Methods distinguished by the degree to which the organization that managed the initial pilot – the *Originating Organization* – continues to control adoption as the model goes to scale.

- **Expansion**: the Originating Org. retains control of adoption (and usually implementation)

- **Replication**: the Originating Organization transfers control of adoption to another organization(s)

- **Collaboration**: the Originating Organization shares adoption/implementation with other organizations or roles are split across several organizations

- **Virtual or Spontaneous**
Pros and Cons of Expansion

- Minimal advocacy or marketing required, so less documentation and evaluation
- Easiest to transfer, compatibility between small and large scale implementers relatively assured
- Organizational growth may require changes:
  - May not be consistent with existing organizational vision
  - New management style and culture; systematizing,
  - Devoting management and human resources to growth
- Funding often biggest challenge, unless self-funded
- Good for process/value intensive, complex, comprehensive models where tacit knowledge is key
Pros and Cons of Replication

- Replication can be to multiple types of orgs.
  - If govt. large scale and funding issues solved (in principle)
  - Challenges of compatibility & capacity building and advocacy
  - Related issue of ensuring quality and not dropping components
  - Funding may be a challenge if non-government

- Funding in principal the easiest where large scale systems have financial resources

- Takes substantial advocacy as compared to expansion
Pros and Cons of Replication 2

- Compatibility with small-scale model not assured, often capability building & implementation issues
  - Informal, flat, charismatic leadership, versus larger, hierarchical bureaucratic systems
  - High-quality, supervision-intensive approaches vs. poor quality, no accountability
  - Incentives can be very different

- Potentially difficult to transfer, can require organizational change that is time and resource intensive
Replication Favors models characterized by

- Simple, few components, not sophisticated
- Innovation is the Content, not Process components, therefore easily grafted onto existing delivery systems
- Low levels of participation, cooperation, outreach
- Compatible with traditional incentives
Pros of Collaboration

- Diverse partners capacities, capabilities or both can be leveraged to achieve scale and impact
  - Can achieve scale by aggregating capacities or capabilities
  - Allows for adaptation to multiple sites with local knowledge
  - Tension between adaptation and standardization for fidelity, can be resolved by replacing components with principles and outputs

- Similar to replication, greater involvement of small scale implementer at large scale

- More successful with selection of partners with similar cultures, orientations
Pros and Cons of Collaboration 2

- Coordination & decision making across multiple partner organizations
- Convincing others to adopt: “Not Invented Here”
- Local adaptation may dilute model or affect quality
- Can be hard to do extensive capability building
- Requires extensive management, is small-scale organization (you?) up to it? Have desire/resources?
- Reaching significant scale can require large network
- Funding is often a problem
<table>
<thead>
<tr>
<th>Project</th>
<th>Scaling Up</th>
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</thead>
<tbody>
<tr>
<td>Linear</td>
<td>Non-linear &amp; Iterative</td>
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<tr>
<td>Beneficiaries and Non-Beneficiaries</td>
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<td>Project Manager</td>
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<tr>
<td>Dedicated Resources</td>
<td>Usually Not Resourced</td>
</tr>
<tr>
<td>Capacity exists</td>
<td>System Strengthening</td>
</tr>
</tbody>
</table>
Skills required by the intermediary or resource organization

- Evaluation, Assessment and Costing: (technical, M & E)
- Ability to fill in the gaps: documentation
- Environmental knowledge/Scanning
  - Key stakeholders & decision makers
  - Current policies, political concerns and forces
  - What other models are being considered/developed
Skills required by the intermediary or resource organization

- Design and implement legitimation & advocacy strategies
  - Convening power, legitimacy, credibility, neutral
  - Entrepreneurial networking and boundary spanning
  - Communications, Media/PR, Social Networking

- Implementation:
  - Project and Change Management
  - Capacity Building and Training
  - Systems Design and Implementation
  - Organizational Development

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Scalability Assessment

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Reconciling the Goals, Model and Method and Capability Building

- Are the goal, model and method aligned?
  - Simplify the model?
  - More modest goals?
  - Alternative methods be pursued? Can other organizations fill roles at large scale?
- Capacity Building

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STEP 2

Legitimization, Advocacy and Mobilizing Resources
Step 2: Key Challenges and Issues

- **Task 5:** Legitimizing Change: Advocacy for the Issue
  - Hard to sell a solution when there is no problem
  - Often overlooked, affects political sustainability
  - Can be a long-term process, can take years

- **Task 6:** Formal Adoption of the Innovation: Advocacy for the Model
  - Policy Champions are essential but not sufficient for sustainability
  - Anticipate the opposition
  - Even if a model was piloted with govt. approval, participation or in the govt. system doesn’t mean it is automatically accepted

- **Task 7:** Realigning and Mobilizing Resources
  - Advocacy needs to be with funders and not just adopters, especially when they are different organizations (Min of Education vs. Finance)
STEP 3

Implementing the Model at the Scale
Step 3: Implementing the Model at Scale

Result: Sustainable provision of services at scale

Task 8: Modifying and Strengthening Organizations

Task 9: Coordinating Action and Rollout

Task 10: Tracking Performance and Maintaining Momentum
Task 8. Modifying and Strengthening Organizations

- Policies/Regulations
- Resources
- Skills
- Systems & Infrastr.
- Incentives (Internal Politics)
- Org. Culture

Capacity to Build Capacity
Tasks 9 and 10. Coordinating Action and Monitoring Performance

- In interdisciplinary fields, coordination across multiple stakeholders is key and challenging
- Monitoring of large scale implementation is key
  - Avoids dropping components or decline in quality
  - Allows for adaptation to local circumstances
Scaling up in Sum

- Intervention that is effective, affordable & credible
- Robust across social and cultural conditions
- Have in mind in advance whether scaling up will be through expansion, replication or collaboration, and if the latter two, that model is aligned with the capabilities and culture of large scale systems
- Who will do the Going to Scale
- Needs systematic planning from the beginning and identifying who will do the going to scale with what resources