Taking Innovations to Scale:

Methods, Applications and Lessons

Larry Cooley and Johannes F. Linn

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Introduction

The international development community increasingly recognizes the need to go beyond   fragmented, one-off projects.   In response, there is now much talk and some action on scaling up successful innovations and pilot projects with an explicit goal of achieving sustainable impact at scale. However, many questions remain about the practical implications of pursuing a systematic scaling up approach and about how the approaches being pursued by different institutions and practitioners relate to each other.

This paper considers two of the most widely used approaches to scaling up, developed in parallel during the mid-2000s. The first approach was devised by Management Systems International (MSI), a management consulting firm focused on designing and applying policy and management solutions to common development problems, mostly in developing countries. True to its mandate, MSI focused on designing a management framework for practitioners. MSI published the first version of a handbook in March 2006 under the title "Scaling Up – From Vision to Large-Scale Change: A Management Framework for Practitioners," authored by Larry Cooley and Richard Kohl. Based on extensive experience applying this framework in different country and sectoral contexts, MSI issued a second, and substantially revised, edition of the handbook in 2012, under the same title and under the principal authorship of Larry Cooley and Rajani R. Ved. The second edition was accompanied by a scaling up toolkit publication, which provides details and examples of application for fifteen specific management tools referred to in the handbook.[1] This approach is here referred to as the "MSI framework."

The second approach was initially developed in the Wolfensohn Center for Development at Brookings and published in 2008 in a Brookings working paper under the title "Scaling Up: A Framework and Lessons for Development Effectiveness from Literature and Practice," by Arntraud Hartmann and Johannes Linn.[2] This approach was then applied and further developed in the context of an institutional scaling up review of – and in collaboration with – the International Fund for Agricultural Development (IFAD), and in advisory and research undertakings with various aid agencies. In keeping with the objective of developing an institutional-level framework for IFAD, the approach aimed to provide high-level policy and operational guidance on the scaling up challenge. This approach is here referred to as the "IFAD framework."[3]

This note provides an overview of the two approaches, followed by an assessment and synthesis. It concludes that the two approaches, while different in terms of background, purpose and application, share a common orientation and many common elements. In terms of their application, they are complementary. The MSI framework is best suited for managing the design and implementation of specific scaling up pathways. The IFAD framework is best suited for developing a broad understanding of the scaling up agenda and the main factors involved, for a retrospective analysis of country and sectoral case experience, and for the broad design of scaling up approaches in the context of development programs. After presenting the two frameworks and their respective applications – starting with the more general IFAD analytical framework, followed by the more specific MSI planning approach --, the paper presents guidance on the integrated use of the two approaches and practical lessons that emerge from their application in numerous country and sectoral contexts.

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[1]Cooley and Ved (2012); Cooley, Ved and Fehlenberg (2012)

[2]Hartmann and Linn (2008). Their approach was critically shaped by a close reading of Santiago Levy's comprehensive account of the scaling up of the Mexican conditional cash transfer program "Progresa-Oportunidades." (Levy 2006)

[3]Linn et al. (2010); Hartmann et al. (2013)

The IFAD Scaling Up Framework

The basic components of the conceptual framework

Hartmann and Linn (2008) provide a high-level framework that helps to establish the broad parameters of a scaling up approach and an understanding of what is required from all the participants in the process. It argues that the following seven elements are critical:

1. Definition of scaling up

Scaling up is defined as "expanding, replicating, adapting and sustaining successful policies, programs or projects in geographic space and over time to reach a greater number of people."

2. The innovation-learning-scaling up process

Scaling up is presented as part of a broader process of innovation, learning and scaling up (Figure 1). A new idea, model or approach is typically embodied in a pilot project with limited impact. By learning from this experience

with monitoring and evaluation, organization-internal knowledge is created and organization-external knowledge is disseminated. Internal and external knowledge in turn can be used to scale up the model through expansion, replication and adaptation with multiple impacts. The experience from scaling up feeds back into new ideas and learning. Outside knowledge can also feed scaling-up efforts, if an organization picks up on the pilot experience and learning of another organization.

3. Pathways for scaling up

A "pathway" is the sequence of steps that needs to be taken in the innovation-learning-scaling up cycle. The pathway starts with an innovation, pilot, or practice and requires a vision of the ultimate scale judged to be appropriate if the intervention is successful. The pathway also requires a strategy for reaching that scale through intermediate steps, which may or may not involve individual "projects," and help ensure progress towards the ultimate scale goal. Normally, there are many possible pathways for scaling up a successful intervention. The challenge is to find the pathway that is most effective in a given country and sectoral context.

Figure 1: The links of innovation, learning and scaling up
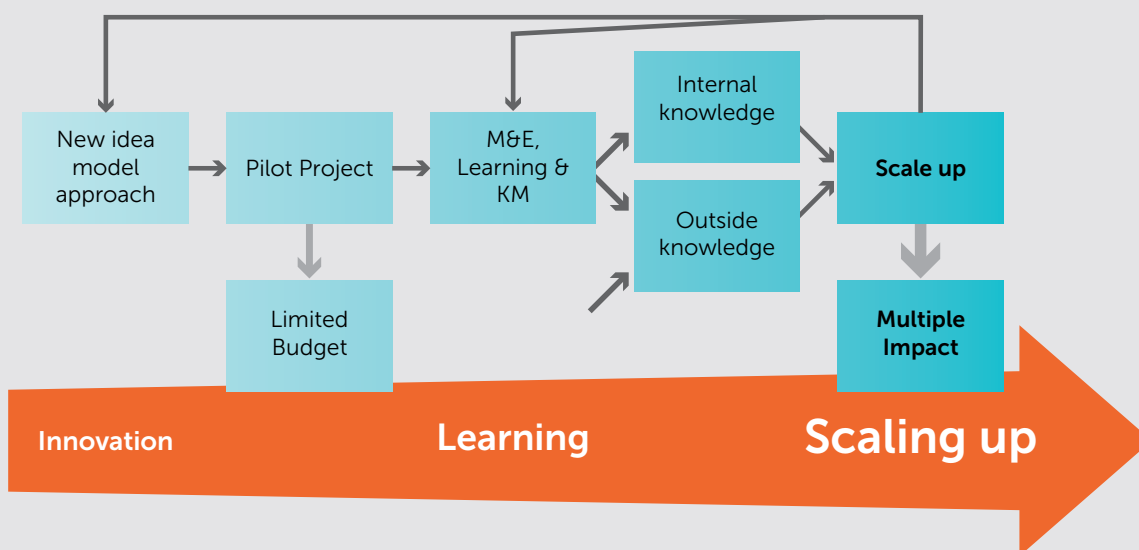
Source: Linn

4. Drivers

Forces, or "drivers," are needed to push the scaling up process forward along a pathway. The IFAD framework distinguishes four common drivers:

- **Ideas and models:** There has to be an idea or model that works at a small scale. These may emerge from research or practice. The attraction of the idea or model may drive diffusion. Spontaneous diffusion happens, but more often other drivers are needed to assure scaling up.

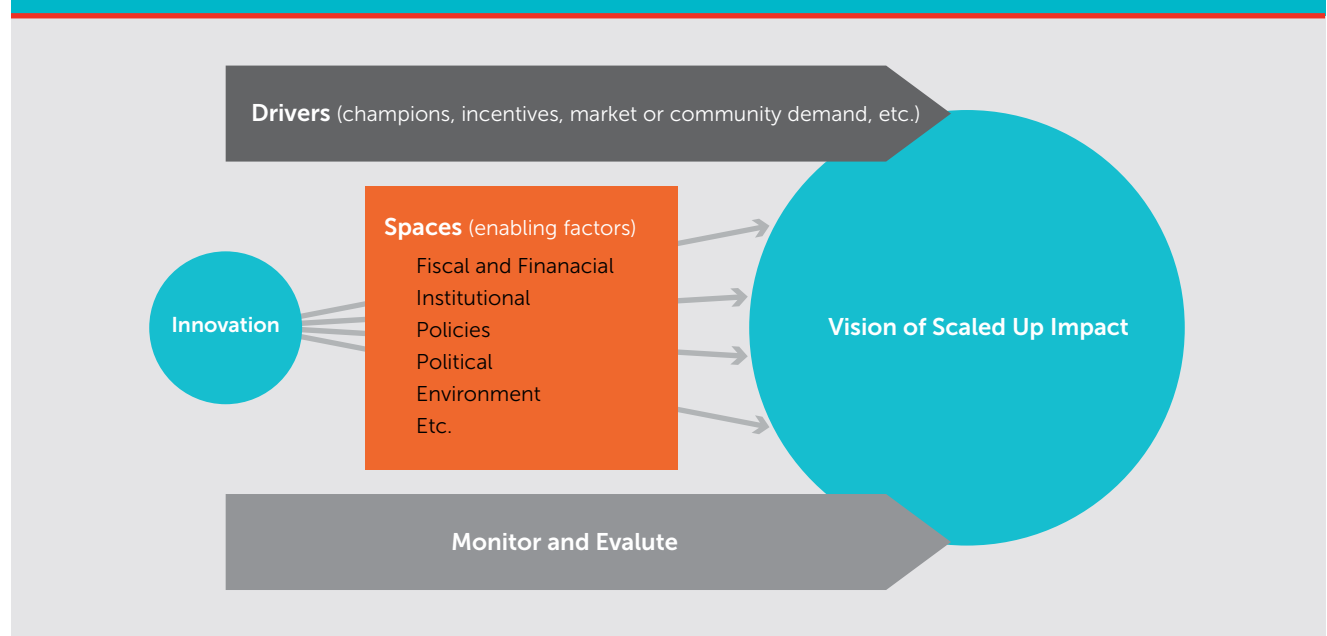- **Vision and leadership:** A vision is needed to recognize that scaling up of an idea is necessary, desirable, and feasible. Visionary leaders or champions often drive the scaling up process forward.

- **External catalysts:** Political and economic crises or pressure from outside actors (donors, NGOs, market or community demand, etc.) may drive the scaling up process forward.

- **Incentives and accountability:** Incentives are key to driving the behavior of actors and institutions in order for sustained scaling up to be possible. These incentives include rewards, competition, and pressure through the political process, peer reviews, and evaluations. Monitoring and evaluation against goals, benchmarks and performance metrics are essential ingredients to establish incentives and accountability.

5. Spaces

For successful scaling up, potential obstacles need to be removed and enabling conditions, otherwise known as "spaces," have to be created for interventions to grow. Hartmann and Linn identify eight spaces that most commonly have to open up when pursuing a scaling up pathway:

- **Fiscal/financial space:** Fiscal and financial resources need to be mobilized to support the scaled up intervention, and/or the costs of the intervention need to be adapted to fit into the available fiscal/financial space.

- **Natural resource/environmental space:** The impact of the intervention on natural resources and the environment must be considered. Harmful effects of scaling up on natural resources and the environment must be mitigated, and the benefits of scaling up for natural resources and the environment should be promoted.

- **Policy space:** The policy (and legal) framework has to allow for, or be adapted to support, scaling up.

- **Institutional/organizational/staff capacity space:** The capacity for institutional and organizational resources has to be created in order to carry the scaling-up process forward.

- **Political space:** Important stakeholders, both those in support and those against the intervention, need to be attended to through outreach and suitable safeguards to ensure political support for a scaled up intervention.

Figure 2: Key components of a systematic scaling up pathway

Drivers (champions, incentives, market or community demand, etc.)

Innovation

Spaces (enabling factors)
Fiscal and Finanacial
Institutional
Policies
Political
Environment
Etc.

Vision of Scaled Up Impact

Monitor and Evalute

Source: Linn

Figure 3: Scaling up with successive projects
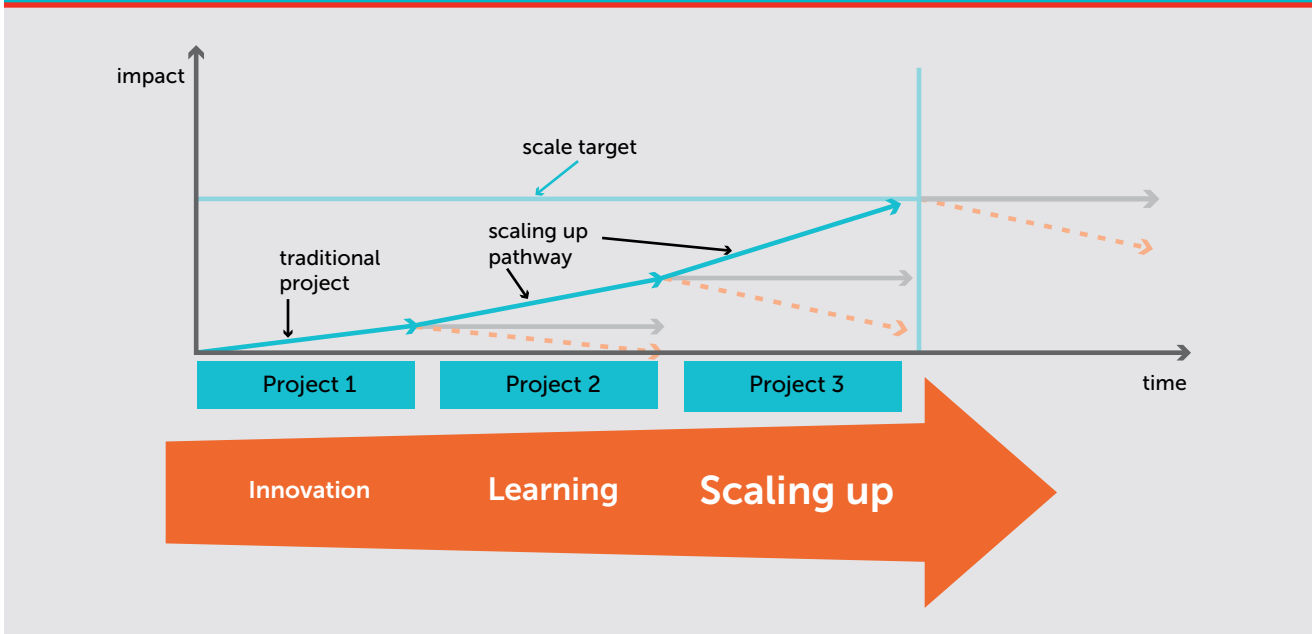
Source: Linn

- Cultural space: Possible cultural obstacles or support mechanisms need to be identified, and the intervention needs to be suitably adapted in order to permit scaling up in a culturally diverse environment.

- Partnership space: Partners need to be mobilized to join in the effort of scaling up.

6. Learning through monitoring and evaluation, knowledge sharing and training

Knowledge about what does and does not work in scaling up needs to be harnessed through monitoring and evaluation (M&E), knowledge sharing, and training. M&E should focus not only on the impact of an intervention, but should also assess the various factors that contribute to determining possible scaling up pathways (drivers and spaces). Effective M&E is a critical component of an effective scaling up pathway.

7. Putting it all together: A systematic approach to sustainable scaling up

Figure 2 summarizes graphically the key elements of a scaling up pathway: the innovation, the vision of scale, drivers, spaces and M&E.

Often, scaling up pathways stretch over many years and involve a sequence of multi-year projects or interventions. Figure 3 reflects this situation. Where this is the case, a key aspect of a successful pathway is that each successive intervention (or project) project builds systematically on the preceding project to create a cumulative impact that eventually reaches the long-term scale goal envisioned. One prerequisite for contributing to a scaling up strategy is that each project creates sustainable results (shown by the green arrows). Without sustainability, each project's impact will be short-lived (shown by the red broken arrows) and cumulative impact will ultimately return to zero.

The heavy blue line representing the progressive impact of the scaling up pathway in Figure 3 will rarely be continuous and linear. It could be a step-shaped line, reflecting step-wise expansion of capacity and people reached by public or private sector agencies. Progressive learning, improved institutional capacity, and growth resulting from economies of scale all have potential to help bring the scaling up pathway from a flatter beginning to a steeper upward slope with each project's implementation, as shown in Figure 3. Or it could follow a common S-shaped curve, which is described in the literature on diffusion of technological innovation, with slow initial impact followed by rapid expansion, which slows again as a near-saturation point is reached.[4]

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[4]See, e.g., Rogers (1962).

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Applying the scaling up framework

For each scaling up initiative, a government agency, aid organization, operating NGO, private business or other development actor needs to explore potential pathways and take proactive steps to plan and prepare for scaling up – in terms of dimensions, desired ultimate scale, drivers and spaces, the agency's operational modalities, intermediate results, and monitoring and evaluation. In practical terms, this means: 1) developing a strategic approach to the intervention by developing a country, 2) defining sector or subsector strategy in which the scaling up pathway, and 3) identifying the role of the project or intervention in helping the country move along the pathway. As a starting point, a simple questionnaire, embodying the following seven elements, can help in assuring that the main aspects of a scaling up pathway are addressed.[5]

1. **Selecting the "dimensions":** Scaling up pathways can simply expand services to more clients in a given geographical space. Alternatively, they can also involve "horizontal" replication of services from one geographic area to another "functional" expansion of services by adding additional areas of engagement, and "vertical" up-scaling, which involves moving from local or provincial engagement to nation-wide engagement, often involving policy dialogue and technical assistance to help achieve the policy and institutional conditions needed for successful scaling up at a national level.

2. **Defining the desired scale:** It is important to define up-front the ultimate scale to which an intervention should or could be taken, given the needs of the target population and the nature of the intervention. It is also important to consider realistically the time horizon over which the scaling process needs to extend in order to achieve the desired ultimate scale. Hartmann and Linn found that successful scaling up of programs to national scale can take ten to fifteen years, or longer.

3. **Defining intermediate results:** Along the scaling up pathway, it is important that the program delivers intermediate results. This is necessary to allow for the testing and, where needed, adaptation of the approach. Intermediate results also help ensure the buy-in of community, government and other stakeholders.

4. **Exploring the drivers and spaces of the envisaged pathway:** Early on in the design and throughout the implementation of the innovation-learning-scaling up process, it is important to identify and actively explore the key potential drivers and enabling conditions (spaces) that will allow the initiative to grow beyond the experimental or pilot stage.

Figure 4: The continuum of partnerships between public, private and civil society organizations
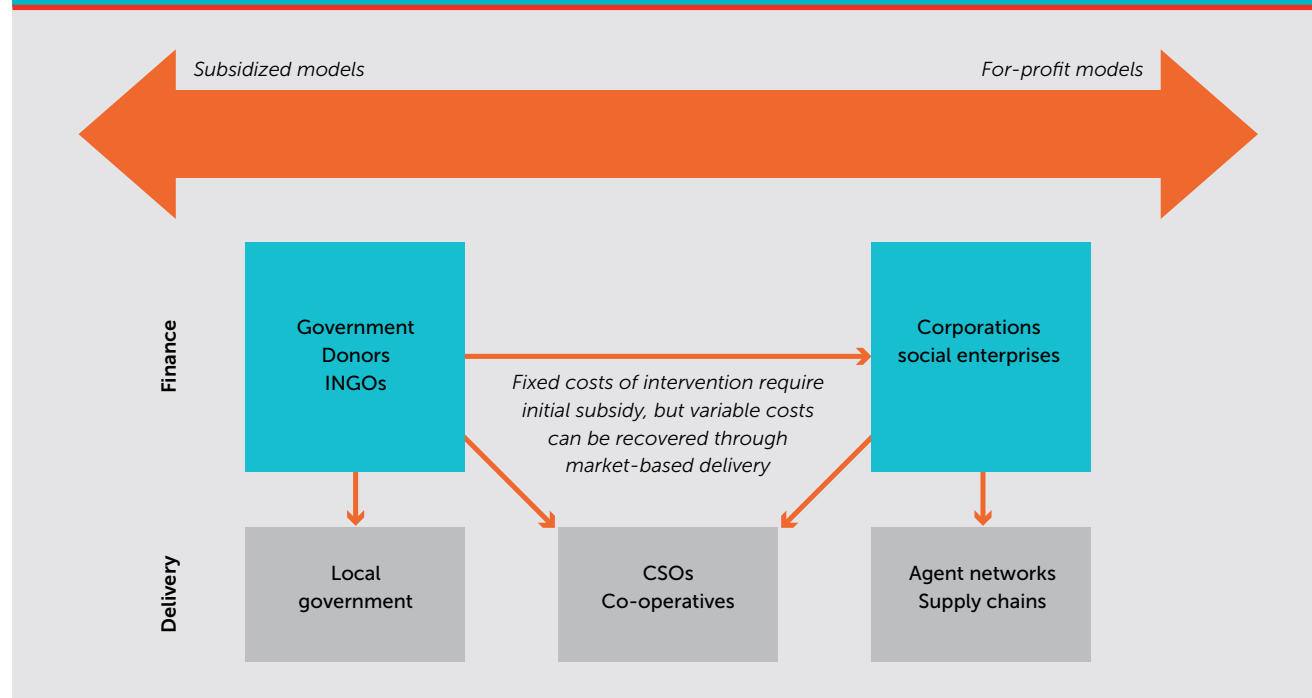
Source: Chandy et al. (2013)

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[5]IFAD reflected these key elements in its Guiding Questions designed to assist its staff to develop effective scaling up approaches for its country programs (See Annex 1).

5. Selecting operational modalities for scaling up:
   Governments, development agencies, foundations, and others interested in large-scale change have various options for applying their operational modalities to support scaling up pathways:

   - They can use their own resources for scaling up, work in partnership with other agencies, or hand-off resources to other donors, the government, NGOs, or the private sector.

   - They can finance investments, provide technical assistance, or engage in policy dialogue.

   - They can support scale up of an intervention within a country or across countries.

6. **Mobilizing the right partners:** Successful scaling up generally requires the development of multi-stakeholder partnerships. Chandy et al. (2013) have focused attention especially on the continuum of potential partnerships between private, public, and civil society organizations and how different financing models can help make them work. (Figure 4) The benefit of private partners is that they bring the discipline of the market to the table; public agencies can provide capital financing and assure a level regulatory playing field and supportive policy environment; civil society organizations can assure community engagement and make sure the perspective of "bottom of the pyramid" consumers and beneficiaries is reflected.

7. **Putting in place monitoring and evaluation (M&E):**
   M&E is the key component of a successful scaling up strategy in several important ways: First, during the implementation of the pilot or experimental stage, stakeholders need to assess the efficacy and cost-effectiveness of the intervention in a variety of settings, test possible efficiencies, and learn which drivers and spaces (opportunities and constraints) may affect an eventual scaling up process. Second, during the scaling up process, monitoring provides important feedback on any unforeseen aspects of the scaling up pathway and permits the adaptation of the pathway as needed. Intermittent evaluation of the impact of the scaled up program during implementation and after completion is needed to ensure that the expected results actually materialize.

These six steps can be applied retrospectively in assessing scaling up experiences, by asking whether scaling up happened, why and why not; whether there was a vision of scale, a set of intermediate targets, consideration of key factors (drivers, spaces), systematic M&E/learning, adaptation, etc.; and whether institutional strategies, policies, or processes impeded or supported scaling up. Similarly, looking forward, these six steps can be applied to assess planned programs by asking whether there is a vision of scale, intermediate targets, consideration of key factors (drivers, spaces), systematic learning, adaptation, etc.; and how to put in place the proper institutional strategies, policies, and processes to support scaling up.

The MSI Approach to Managing the Scaling Up Process

MSI's approach to scaling up is intended as practical guidance on the selection, design and implementation of pilot programs and on the scaling up of effective prototypes. As such, it deepens the analysis provided by certain elements of the IFAD framework in order to provide practitioners with the level of detail needed to design specific pilot projects with scale in mind, assess the scalability of specific innovations and models, and help specific interventions reach outcomes at scale.

The MSI framework is summarized in two documents: a management framework for scaling up and a toolkit linked directly to that framework.[6]

The essence of the MSI framework is embodied in a 3-Step, 10-Task approach.(Figure 5)

In constructing this framework, the use of the word "task" is deliberate. Each element is conceived and presented as a task to be managed, not simply a category to be analyzed.

Figure 5: A Management Framework for Scaling Up

Step 1: Develop a Scaling Up Plan
- Task 1: Create a Vision
- Task 2: Assess Scalability
- Task 3: Fill Information Gaps
- Task 4: Prepare a Scaling Up Plan

Step 2: Establish the Pre-Conditions for Scaling Up
- Task 5: Legitimize Change
- Task 6: Build a Constituency
- Task 7; Realign and Mobilize the Needed Resources

Step 3: Implement the Scaling Up Process
- Task 8: Modify Organizational Structures
- Task 9: Coordinate Action
- Task 10: Track Performance and Maintain Momentum

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[6]Cooley and Ved (2012); Cooley, Ved and Fehlenberg (2012)

Field applications of the framework and toolkit have taken place in 14 countries and include maternal and child health, rural health, family planning, early childhood education, early grade reading, bilingual education, community policing, natural resource management, food security, and rural livelihoods.

The remainder of this section summarizes the steps and tasks of the MSI framework.

Step 1: Developing a Scaling Up Plan

While much of the focus of current scaling up efforts rightly centers on the power of distinctive and disruptive technologies, these technological elements are rarely sufficient to explain why some things reach scale and others don't. Successful delivery of new technologies at scale – especially in the development arena – also incorporates a series of organizational, social, financial, and normative elements.

The MSI framework begins by sharpening the description of the product, service, approach, or intervention to be scaled up and the scope of the ambition in terms of numbers and geographical spread of intended beneficiaries. The framework refers to these elements collectively is as the "model" that is to be scaled. Guidance and tools associated with Task 1 of the MSI framework are intended to help planners screen candidate items for scaling and to assist proponents of specific models to identify and describe the features they believe are essential to the success of their programs or technologies.

Scaling up plans also include an articulated theory of change, and Task 1 of the MSI framework details 10 alternative methods or strategies (what IFAD refers to as "pathways") by which interventions reach scale (see Figure 6 below). These methods are grouped into three categories – Expansion, Replication, and Collaboration. These three categories are distinguished by the role the organization that managed the initial pilot or develop the original prototype plays at scale. MSI call this organization the "originating organization."

Figure 6: Scaling Up Approaches and Methods of Scaling Up

Type	Method
Expansion	• Growth • Restructuring • Franchising • Spin-off
Replication	• Policy Adoption • Grafting • Diffusion • Commercialization
Collaboration	• Formal Partnerships and Strategic Alliances • Networks and Coalitions

Figure 7: Key Intermediation Functions

- Strategic Planning
- Impact Evaluation and Operations Research
- Fundraising
- Investment Packaging and Placement
- Advocacy and Marketing
- Convening and Coordinating Stakeholders
- Change Management
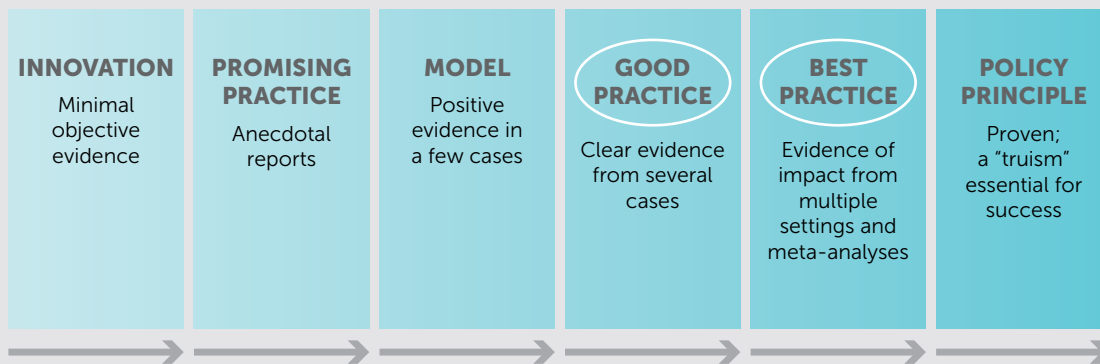- Organizational Development and Process Consulting
- Systems Strengthening

In addition to helping planners identity and contrast the incentives facing originating and adopting organizations, the framework focuses on the critical functions performed by intermediary organizations in preparing and assisting the scaling up process. Among the most critical of these functions are those listed in Figure 7.

The MSI framework places special emphasis on identification of intermediary organizations and supporting them in performing these functions.

Task 2 of the MSI framework is designed to help funding agencies and practitioners assess whether specific models are ready and feasible to be scaled. In suggesting a standard for assessing the readiness of models for scaling, the framework applies a modified version of a continuum developed by the National Science Foundation that arrays innovations along a continuum based on the standard of evidence supporting them. MSI's guidelines caution readers to defer scaling interventions until they have at least reached the standard of good or best practice (Figure 8):

One of the most widely disseminated elements of the MSI toolkit is a 28-item checklist for assessing the inherent difficulty associated with scaling specific models and technologies (see Annex 2). The MSI toolkit includes guidelines for the application of the checklist and a set of questions to assess the comparability of the organizational and social context of the pilot project with that of the larger environment.[7]

Figure 8: Evidence Continuum

INNOVATION — Minimal objective evidence

PROMISING PRACTICE — Anecdotal reports

MODEL — Positive evidence in a few cases

GOOD PRACTICE — Clear evidence from several cases

BEST PRACTICE — Evidence of impact from multiple settings and meta-analyses

POLICY PRINCIPLE — Proven; a "truism" essential for success
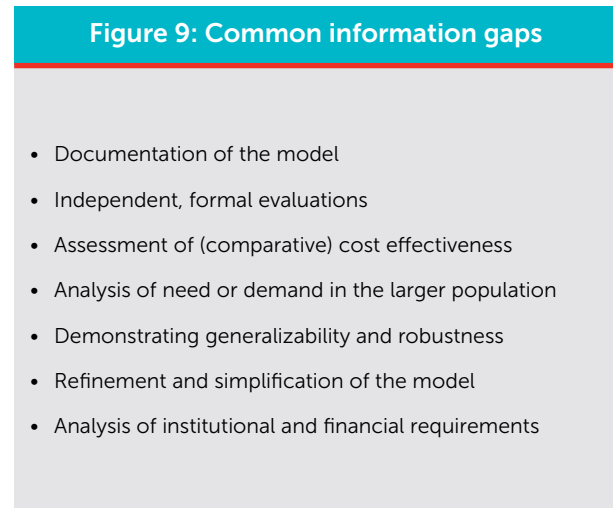
Source: MSI

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[7] The "external scan" used by MSI as a complement to the scaling up checklist to assess the compatibility of the proposed model with the political, economic, social and institutional aspects of the county or sector environment is analogous to the assessment of spaces and drivers in the IFAD framework.

Task 3 of the MSI framework focuses on techniques for identifying and filling information gaps needed to drive or inform scaling decisions. Figure 9 summarizes the most common gaps:
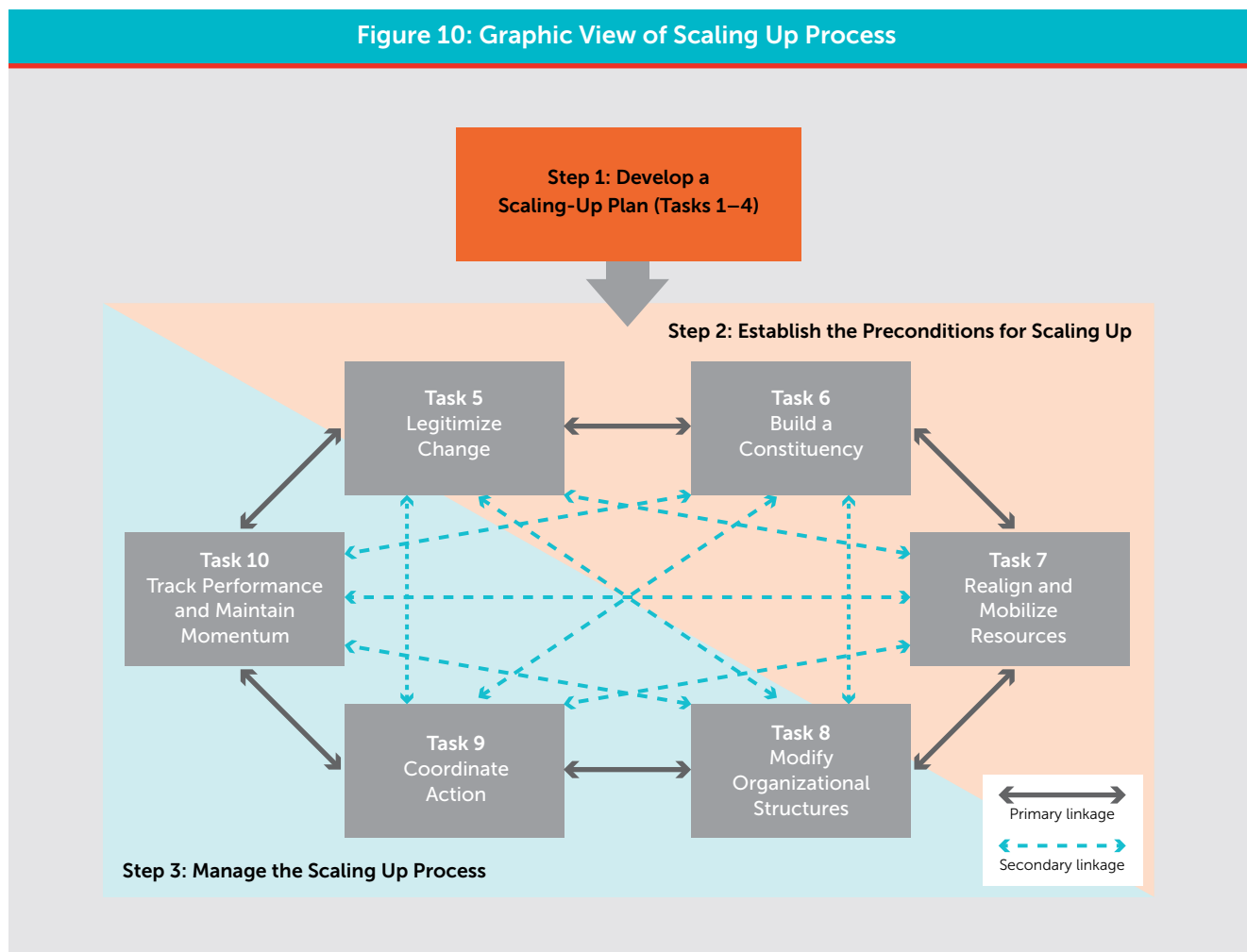
Figure 9: Common information gaps

- Documentation of the model
- Independent, formal evaluations
- Assessment of (comparative) cost effectiveness
- Analysis of need or demand in the larger population
- Demonstrating generalizability and robustness
- Refinement and simplification of the model
- Analysis of institutional and financial requirements

Task 4 of the MSI framework includes a standardized template for a scaling up plan.

Steps 2 and 3: Establishing the Preconditions for Scale and Managing the Scaling Up Process

Steps 2 and 3 of the MSI framework focus on translating aspirations into reality and emphasize the actions needed to reach agreement and to turn agreements on them into tangible results. This usually involves action by many people, including legislators, national leaders, activists, entrepreneurs, service providers, and donors, among others. The six tasks involved in Steps 2 and 3, and the links between them, are displayed in Figure 10. The dotted lines in the graphic are intended to illustrate that although the six tasks have a logical sequence, each task affects and is affected by each of the others.

Step 2 of the MSI framework sets the preconditions for scaling up and is a practical application of the spaces and drivers analysis featured in the IFAD framework. Its intended result is that the decisions and resources needed for scaling up are approved and in place. This requires

Figure 10: Graphic View of Scaling Up Process

Step 1: Develop a Scaling-Up Plan (Tasks 1—4)

Step 2: Establish the Preconditions for Scaling Up

Task 5
Legitimize Change

Task 6
Build a Constituency

Task 10
Track Performance and Maintain Momentum

Task 7
Realign and Mobilize Resources

Task 9
Coordinate Action

Task 8
Modify Organizational Structures

Primary linkage

Secondary linkage

Step 3: Manage the Scaling Up Process

getting the attention of key decision makers, aligning constituencies to support needed changes, and securing required resources. For all of these things to happen, decision makers must see the problem as critical and the affected constituency as a priority; they must also believe that existing approaches are inadequate and that better solutions are available. Step 2 of the framework includes tools and approaches for galvanizing these decisions.

The culmination of Step 2 (Tasks 5, 6, and 7), if successful, is a clear decision to scale up the model; the commitment to provide resources needed for the scaling up effort and for operating at scale; and a foundation of legitimacy and support that can help sustain the scaling up effort through the difficult implementation stage that lies ahead.

Step 3 (Tasks 8, 9, and 10) of the MSI framework is devoted to implementing the scaling up effort. First and foremost, these tasks involve creating the necessary organizational capacity to transfer and apply the model at scale.

Task 8 includes developing and executing institutional capacity-building and organizational development plans for all organizations with major roles to play in either the scaling up process or subsequent efforts to operate at scale. Central to that task are the roles and motivations of personnel, particularly front-line implementers. Many small-scale interventions are successful because they offer competitive salaries; hire highly motivated, mission driven staff; or provide other non-financial means of reward

or recognition. They also often hire staff whose efforts are wholly focused on the project at hand. For scaling up to be successful, these same conditions need to be replicated at scale, or other ways of dealing with issues of motivation and workload need to be addressed.

Task 9 involves the actual transfer and adaptation of the model, including mechanisms for accountability and overall coordination.

Task 10 of the MSI framework, building on the guidance in the IFAD framework, focuses on techniques for monitoring and evaluating progress and performance, and the use of that information to inform public oversight and modification of the model. Often, innovations lose their impact as they go to scale. This can result from diluting the fidelity of the original model or from unforeseen problems in applying it more broadly. For these reasons, it is important to track changes in outcomes associated with introducing the new model, and to make adjustments if the results differ from what was intended. In addition, there is a need to monitor the implementation of the scaling up process. Besides the usual requirements for sound project management, information flows need to anticipate the questions and concerns of the broader audience involved in approving, funding, and implementing the scaling up process. This puts a particular premium on conducting monitoring and evaluation in a credible, public, and transparent manner, and Task 10 of the MSI framework provides guidance and tools for doing this.

Synthesis and Application

Turning now to a comparison and synthesis of the two approaches to scaling up reviewed in this paper, we first identify the common underlying principles of the two approaches. We then look at a few differences between the two frameworks and explore the notion that they are complementary in application. Finally, we show how the two approaches have been applied in different settings and for different purposes.

In terms of general underlying principles and considerations, the two approaches have much in common:

- They call for a deliberate and systematic approach to ensure the innovation-learning-scaling up process is effectively designed and implemented.

- They consider projects as building blocks or as steps along the scaling up pathway and call for scaling up "pathways" or "road-maps" that generally require a longer time horizon and go beyond the traditional focus of individual development projects and programs.

- They broadly agree on the factors and conditions ("drivers" and "spaces" in the IFAD terminology) that need to be considered in planning for and implementing scaling up.

- They emphasize the importance of intermediary organizations and the differences in motivation, skills, and incentives that distinguish organizations that generate innovation from organizations that implement at scale.

- They insist that learning and scaling up have to be built into the design of projects and programs from the beginning.

- They agree that monitoring and evaluation must not be restricted to assessing the impact of interventions, but must also monitor, evaluate and advance the pathway and pre-conditions required for successful scaling up.

- Both flag the importance of specific actions to keep the scaling up process on track and moving forward: In the case of IFAD, this is reflected in the stress on "drivers" and interim milestones to push action on the scaling up pathway; MSI stresses mechanisms for building enduring constituencies and maintaining momentum.

- Both frameworks are anchored in what might be called the "public policy space." While both emphasize the efficiencies and other benefits associated with commercial markets, financial incentives, and social

enterprise, neither is rooted exclusively in those mechanisms.[8]

Differences between the two frameworks principally reflect a difference in focus, The IFAD framework is intended primarily for policy and institutional analysis, while the MSI framework is intended to serve as guidance for design and implementation of specific scaling up strategies and pathways. This explains MSI's detailed attention to three specific tasks that are not specifically explored in IFAD: assessing scalability; filling information gaps; and developing a scaling up plan (Tasks 2-4).

While some of the terminology used by the two approaches differs, a close comparison of the IFAD concepts of pathways, drivers and spaces with the MSI methodology indicates that all elements of the IFAD framework, including the specific drivers and spaces listed in section 2 above, can readily be identified in particular steps and tasks of the MSI framework, and especially in Step 2 ("setting the preconditions").

With the difference in focus of the two frameworks comes complementarity, each valuable in different contexts The IFAD framework provides a broad conceptual approach and a checklist of questions (as used by IFAD, see Annex 1) for supporting development agencies in developing systematic institutional approaches to scaling up, and for practitioners developing the broad contours of a scaling up strategy in particular business lines. The MSI framework and toolkit are most helpful for the design and implementation of detailed scaling up plans in the context of specific projects, programs or technologies.

Examples of application of the two frameworks demonstrate their use in different contexts and for different purposes.

The IFAD model has been used in the following retrospective assessments, reviews, and evaluations of scaling up experience in different institutional and country contexts and for different sectoral program areas:

- An analysis of whether and how the country assistance strategies of the United Nations Development Program (UNDP) and of the African Development Bank (AfDB) reflected a scaling up approach and of how such strategies might be formulated to systematically reflect scaling up pathways.[9]

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[8]For an exploration of the interface between public and private actors in the process of scaling up, see Chandy et al. (2013).

[9]Linn (2012a) for UNDP's country assistance program in Tajikistan. Unpublished internal documents of the UNDP's Regional Bureau for Asia and Pacific of AfDB's Office of Evaluation.

A team of Brookings experts reviewed IFAD's experience with country programs from a scaling up perspective, IFAD operational strategy, policies, processes, budgeting and staff incentives, as well as IFAD's evaluation practices. The principal findings were that IFAD had some excellent examples of scaling up (e.g., in Peru, India, Ethiopia and Ghana), but that there were no systematic approach and hence many missed opportunities for scaling up. IFAD's response was to declare scaling up as "mission critical" and to incorporate scaling systematically into its operational processes, by developing sectoral/thematic approaches, guidelines and training, and anchor the scaling up approach firmly in its overall institutional vision and strategy

Source: Sourang (2013)

- An analysis of whether and how UNDP and IFAD projects reflected scaling up pathways.[10] (Box 1)

- An assessment of scaling up in World Bank projects supporting agricultural research and extension.[11]

- An assessment of agricultural value chain experience from a scaling up perspective.[12]

- A review of the scaling up experience in an educational program in West Africa supported by JICA.[13]

- An assessment of key success factors in selected scaling up experiences in agricultural, rural development and nutrition programs (see Box 2).[14]

- An evaluation of scaling up experience in technical assistance programs financed by the German aid agency GIZ.[15]

- Two reviews of scaling up experience in fragile states: an overview of international experience for AusAID and a review of the AfDB experience.[16]

In each of these cases the IFAD framework was applied to explore to what extent key factors for scaling up were systematically considered and what lessons can be drawn for future programs and interventions in terms of how to pursue and structure a scaling up approach. In addition, IFAD has applied the approach in the design of its country assistance programs and projects prospectively, using a standard set of guiding questions (Annex 1), in order to ensure that scaling up pathways and their key success factors are systematically incorporated.

The MSI approach has been applied in a wide variety of settings for planning, assessing and implementing scaling up in more than 100 specific programs, including:

- Portfolio scalability reviews for the MacArthur Foundation's health and family planning grants, followed by technical assistance in national scale-up of innovative, foundation-supported pilot projects in Mexico, Nigeria and India.

- A portfolio scalability review and scalability case studies for the Packard Foundation in India.

- For USAID, a two-year program of technical assistance to integrate scalability assessment and a systematic approach to scaling up into the operations of USAID's new Global Development Lab and its Bureau of Economic Growth, Education, and Environment.

- Scaling up plans for numerous programs and technologies including a global program to conserve and maximize livelihoods from near shore fisheries (Fish Forever, see Box 3), an anti-shock garment to combat maternal mortality, bilingual (French/Vernacular) education, and home-based neo-natal care.

- A scalability review of USAID regional activities in Latin America and the Caribbean and technical assistance for enhancing the scale prospects of these activities.

- Implementation at scale of innovative programs for reforming rule of law in Mexico and community policing in Jamaica.

- Training in scalability assessment and designing for scale for officials from USAID, the World Bank, the Planning Commission of India, and numerous NGOS and foundations.

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[10]Linn (2012a), Hartmann et al. (2013)

[11]Jonasova and Cooke (2012)

[12]Hartmann et al. (2013)

[13]Honda and Kato (2013)

[14]Linn (2012b)

[15]Unpublished internal GIZ evaluation document.

[16]Chandy and Linn (2011); ODI (2014)

Box 2. Assessment of 14 cases of successfully scaled up agricultural, rural development and nutrition initiatives

In 2013, the International Food Policy Research Institute (IFPRI) published a collection of policy briefs on scaling up in agriculture, rural development and nutrition. It included 14 case studies of successfully scaled up initiatives. The following paragraphs are excerpts from the overview brief, which summarizes the implications of these scaling up studies, with special reference to the scaling up "spaces" considered under the IFAD approach.

Institutional space. A pervasive theme of the briefs in this series is the need for effective development and deployment of institutions that can carry forward the scaling-up process. The institutions that have promoted the original innovation or pilot may not have the capability to scale up or manage the initiative at scale. Special institutional capacity may have to be found or created. Institutional rivalries may prevent effective leadership of the process, and decentralization of governmental responsibility, now frequently promoted in developing countries, may interfere with effective leadership by national ministries.

Policy space. For farmers, ownership rules and their enforcement provide incentives or disincentives for adoption of innovations. The roles that rural communities are allowed to play and the support communities receive from local, provincial, and national governments are essential factors for empowerment and capacity. The general business environment and specific regulatory interventions can hinder or support effective development and scaling up of value chains. Rules governing rural credit, deposit, and insurance schemes can limit or support expansion of the rural economy.

Fiscal and financial space. National governments must make credible commitments to provide sustained budget funding where appropriate, or initiatives have to keep cost down to minimize dependence on outside funding. In the case of commercial ventures, innovations must be able to compete with other traditional products.

Political space. Small initiatives tend to fly under the radar of major political actors, but when scaling up is the goal, it is important to create the space needed to avoid political obstacles by advocacy and outreach to key constituencies and actors. In countries subject to electoral cycles, building constituencies of support across the spectrum of political parties is important.

Partnership space. In more advanced developing economies, successful scaling up includes national and local partners in the countries themselves; for less-developed countries, it also often also includes partnering with external donors. But in all cases, seeking local counterparts that can drive and sustain the scaling-up process is critical.

Learning space. An evidence-based approach starts with a good situation analysis complemented by intensive institutional learning from experience. Traditional modalities of M&E, which have focused exclusively on the achievement of project-specific input and output goals, need to expand to include the dimensions critical for scaling up. They must go beyond narrow project confines to measure whether and how the project supports the overall scaling-up process, in which the project is only one step along the pathway.

Source: Linn (2012b)

Box 3. An example of planning and testing for scalability

Fish Forever (FF) is an ambitious effort launched by Rare, an environmental NGO, with the Environmental Defense Fund and University of California Santa Barbara to restore near-shore fisheries in the developing tropics. FF offers a promising technical solution: pairing no-take zones (or reserves, where fishing is not permitted) with rights-based management of local fishing grounds (called territorial user rights in fisheries, or TURFs), creating TURF-reserves (TRs). FF aims for TRs to reach widespread adoption on a national and global scale within a decade.

FF is being tested in five pilot countries (Belize, Brazil, Indonesia, Mozambique, Philippines) to achieve three outcomes: sustainable fisheries, improved livelihoods for fishers, and enhanced biodiversity.

MSI helped Rare design FF with "scale in mind" and determine how to increase the demand for TURF-reserves and reduce the cost and complexity of creating and managing them. This included producing a Scale Testing Plan to inform an evidence-based Scaling Up Strategy adopted by the consortium that includes explicit testable variances, exemplary case studies, and a learning agenda/framework to gauge and improve scale potential. The plan also incorporates a range of actions and strategies to promote national policy change, and measures to enhance the use of value chains and other market incentives.

Lessons from Scaling up Experience

Finally, we will review key lessons learned from the application of the IFAD framework and the MSI approach.

Linking Innovation and Scale

- **Innovation, learning, and scaling up should be treated as separate, linked processes.** Each of the three concepts refers to an important, separate stage in the development of an intervention at scale. Additionally, each requires its own process, skills, resources, and attention. Innovation and scaling up are often complementary, but there are also times when they compete in terms of resources, managerial attention, and/or political pay-off.

- **Development actors need to focus not only on innovation, but also on learning and scaling up.** The focus on innovation is endemic in the aid industry and the development business, usually to the detriment of an adequate focus on learning and especially on scaling up.

- **The innovation-learning-scaling up process is not linear, but an iterative and interactive cycle.** As indicated in Figure 1 above, there are many feedback loops from learning and scaling up back to innovation. Indeed, monitoring and evaluation often generate new ideas for better design and implementation, and the scaling up process will often require adaptation and innovation in the way the original model or idea is brought to scale. Nonetheless, it is useful to think of the three main components of the process as distinct and separable phases, each of which has its own important role to play.

- **Not every innovation can or should be scaled up.** Not every scaling up needs to involve an innovation. Many innovations may not be suitable for scaling up. It is precisely the experimental nature of the innovation process that needs to be recognized as important it its own right and the risk of pilots not succeeding must be accepted as an integral part of the innovation and learning process. Failed pilots may offer as many and perhaps more lessons than successful ones.

- **Scaling up involves two types of possible errors: "type 1 error" – no or too little scaling up; and "type 2 error" – wrong scaling up.** Much attention in the scaling up literature is on the prevailing lack of attention to scaling up – a "type 1 error." This is most typical with smaller aid organizations that cannot hope to scale up interventions with their own limited resources. But there are also cases where aid organizations support scaling up prematurely or in a wrong way – a "type 2 error." The latter type of error is found more frequently in large development banks, such as the World Bank, which can and often do aim to go to scale in their country strategies and programs.

- **It is important to educate policy makers on scaling up realities.** The average time for scaling up to broad application is 15 years. Securing and maintaining the needed commitment and resources over this period calls for tangible milestones, strategic communications, and an explicit strategy for maintaining momentum.

Roles and Responsibilities

- **Multi-stakeholder alliances are a critical element of scaling up**. Examples of successful scaling up usually involve a multiplicity of stakeholders at different levels (local, provincial, national, international) and from different sectors (governmental, non-governmental, business, etc.). Finding ways to ensure such multi-stakeholder alliances form and persist is a major challenge.

- **Prioritize intermediation.** Top priority should go to expanding the provision of services, functions and financing needed to scale successful models and technologies. In many cases, "innovation" is currently being over-funded relative to the investment in helping to scale up successful innovations.

- **Governance matters.** Transferring responsibility to and from government, or between levels of government, is very dependent on the micro-details of governance in particular localities, states, and countries.

- **Use markets where possible.** Commercial markets, where applicable, are the world's most cost-efficient scaling mechanism.

Pathways

- **Horizontal and vertical scaling up usually go hand in hand.** Replicating and expanding programs to serve more clients or reach more people in wider geographic areas typically requires that institutional and policy conditions beyond the local level be addressed through appropriate institutional and policy analysis, dialogue, and action.

- **Scaling up pathways vary across types of activities, business lines, and country conditions, but some common features stand out.** Successful scaling up takes time, even decades; long-term engagement with a vision of scale is essential; systematic planning, management, learning, and readiness to grasp opportunities are key success factors; among the drivers, leadership and incentives are critical; and among the enabling spaces, failure to address institutional and fiscal/financial constraints are the most common factors seriously endangering the scaling up process.

- **Inadequate attention to scaling up pathways is a major risk.** A number of problems can result from not paying due attention to scaling up pathways, including the following:

  - Not paying attention to costs may create "boutique" approaches that only work on a small scale.

  - Setting up special purpose entities (e.g., project implementation units) rather than working through ministries may limit institutional options later.

  - Working with limited financing mechanisms, not identifying policy constraints, and working with small implementing partners (such as NGOs) may limit the potential for scaling up later.

Designing and Managing for Scale

- **Keep it simple.** The more one can simplify an intervention, the more feasible it is to scale it up. Bureaucratic incentives generally point towards greater complexity in model design and scaling up processes. This should be resisted, since increased complexity will make the scaling up process more difficult and increase the institutional resistance to change.

- **Avoid common pitfalls and difficulties,** including models that:

  - lack credible documentation of impact

  - are value-laden or process-intensive models

  - replace existing services rather than innovate on delivery

  - are not easily grafted on existing approaches

  - are without dedicated funding or cost recovery

- **Plan backwards and focus on scaling up from the beginning.** Begin with an eye on scale and a strategy for achieving it. Focus early on unit costs, financial sustainability, budget timetables, and implications for current service providers.

- **Begin advocacy and ownership early:** The chances of taking an innovation to scale are substantially increased by establishing an advisory board or some other mechanism to develop engagement by key decision makers and future implementers.

- **Focus on systems and incentives:** Emphasize business plans. For sustainable change to occur, it's essential to replicate the incentives of the original intervention or make sure that an alternative incentive system reinforces needed actions.

KENEYA | **Write-shop on Scaling Up Frameworks** | Nairobi, 19–21 February 2013

Framing Questions

Ideas

1. What is the intervention that is to be scaled up? Is it a new idea (innovation or an idea adopted and adapted from prior practice elsewhere?
2. Whose idea is it?
3. Has it been tested/piloted/evaluated?

Vision

4. What is the appropriate ultimate scale of the intervention which the IFAD project or program supports in country X? i.e., how many people, households, districts, etc. could and should ultimately be reached, not merely by IFAD's own program and also by others (government, IFIs, etc.)?

Drivers

5. What or who are the drivers that are pushing, or are expected to push, the scaling up process ahead? Including local leaders or champions, external catalysts and incentives? (see Box 1)

Spaces

6. Space has to exist or be created so the intervention can grow to achieve the desired scale. What are the government and IFAD doing to ascertain or help create this space in its multiple dimensions? (see Box 2)

Pathways

7. What are the pathways that define the way interventions in country X are (to be) scaled up with IFAD support, moving from idea/innovation to learning to scaling up? (see Box 3)
8. What is the time horizon over which the pathways are expected to extend?
9. How do the drivers and spaces define these pathways?
10. What are the most serious likely obstacles and risks, and what can be done to mitigate them?

IFAD's Role

11. What is IFAD's specific role in promoting the scaling up process?
12. How do IFAD's policies, procedures and resources support the implementation of the scaling up process?

BOX 1 — Drivers of scaling up

A few key factors drive forward the process of scaling up:

Ideas, Vision, Leadership: Need to recognize that scaling up of a (new) idea is necessary, desirable, feasible. Successful scaling up is usually driven by champions.

External Catalysts: Political or economic crisis, pressure from outside actors (donors, EU, etc.)

Incentives: These include rewards for actors and institutions, competitions, accountability through the political process, peer and other evaluations, etc. Incentives are key to drive behavior of actors and institutions towards scaling-up; requires accountability.

Source: Adapted from Hartmann and Linn, 2008

BOX 2 — Spaces for scaling up

If scaling up is to succeed, space has to be created for the initiative to grow. The most important spaces are:

Fiscal/financial space: Fiscal and financial resources need to be mobilized to support the scaled up intervention, and/or the costs of the intervention need to be adapted to fit into the available fiscal/financial space.

Natural resource/environmental space: The impact of the intervention on natural resources and the environment must be considered, harmful effects mitigated or beneficial impacts promoted.

Policy space: The policy (and legal) framework has to allow or needs to be adapted to support scaling up.

Institutional/organizational/staff capacity space: The institutional and organizational capacity has to be created to carry the scaling-up process forward.

Political space: Important stakeholders, both those in support and those against the intervention need to attended to through outreach and suitable safeguards to ensure the intervention.

Cultural space: Possible cultural obstacles or support mechanisms need to be identified and the intervention suitably adapted to permit scaling up in a culturally diverse environment.

Partnership space: Partners need to be mobilized to join in the effort of scaling up.

Learning space: Knowledge about what works and doesn't work in scaling up needs to harnessed through monitoring and evaluation, knowledge sharing and training.

Source: Adapted from Hartmann and Linn, 2008

BOX 3 — Innovation, learning and scaling up linkages
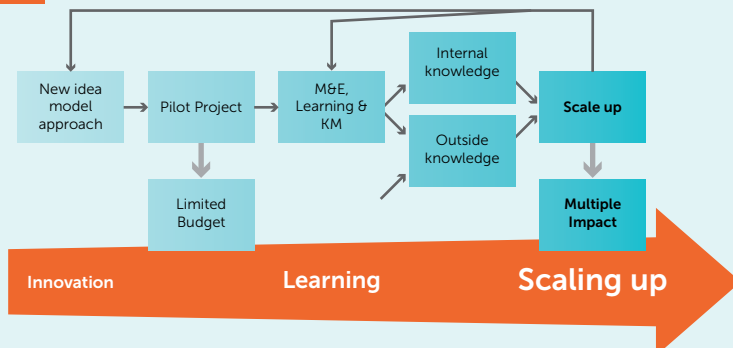
Annex 2: MSI Scalability Assessment Tool

Model Categories		A ☺✓	← Scaling up is easier	B ☺✓	Scaling up is harder →	C ☹
A. Is the model credible?	1		Based on sound evidence		Little or no solid evidence	
	2		Independent external evaluation		No independent external evaluation	
	3		There is evidence that the model works in diverse social contexts		There is no evidence that the model works in diverse social contexts	
	4		The model is supported by eminent individuals and institutions		The model is supported by few or no eminent individuals and institutions	
B. How observable are the model's results?	5		The impact is very visible to casual observation tangible		The impact is not very visible, not easily communicated to public	
	6		Clearly associated with the intervention		Not clearly associated with the intervention	
	7		Evidence and documentation exists with clear emotional appeal		Currently little or no evidence with clear emotional appeal	
C. How relevant is the model?	8		Addresses an objectively significant, persistent problem		Addresses a problem which affects few people or has limited impact	
	9		Addresses an issue which is currently high on the policy agenda		Addresses an issue which is low or invisible on the policy agenda	
	10		Addresses a need which is sharply felt by potential beneficiaries		Addresses a need which is not sharply felt by potential beneficiaries	
D. Does the model have relative advantage over existing practices?	11		Current solutions for this issue are considered inadequate		Current solutions are considered adequate	
	12		Superior effectiveness to other innovative models established		Little or no objective evidence of superiority to current solutions	
	13		Superior effectiveness to other innovative models established		Superior effectiveness to other innovative models not established	
E. Is the model credible?	14		Implementable within existing systems, infrastructure		Requires new or additional systems, infrastructure, or human resources	
	15		Contains a few components easily added onto existing systems		In a complete or comprehensive package of multiple components	
	16		Small departure from current practices and behaviors of *target population*		Large departure from current practices and behaviors *for target population*	
	17		Small departure from current practices and cultures of *adopting organization(s)*		Large departure from current practices and cultures of *adopting organization(s)*	
	18		Few decision makers are involved in agreeing to adoption of the model		Many decision makers are involved in agreeing to adoption	
	19		Demonstrated effectiveness in **diverse** organization settings		Demonstrated effectiveness **in only one** organization setting	
	20		The model in not particularly value or process intensive		Process and/or values are an important component of the model	
	21		Low technical sophistication of the components and activities of the model		High technical sophistication of the components and activities of the model	
	22		Key innovation is clear and easily replicated *technology*, e.g. vaccine		Focus of the model is not a *technology* or one which is not easily replicated	
	23		Low complexity; simple with few components and easily added on to existing systems		High complexity with many components; integrated package	
	24		Includes little supervision and monitoring		Includes substantial supervision and monitoring for implementation	
F. How testable is the model?	25		Able to be tested by users on a limited scale		Unable to be tested without complete adoption at a large scale	
G. Is there a sustainable source of funding?	26		Superior *cost-effectiveness* to existing or other solutions clearly established		Little evidence of superiority in terms of *cost-effectiveness*	
	27		Requires a large commitment of funds at scale		Requires a small absolute commitment of funds at scale	
	28		The model itself has its own internal funding (e.g., user fees) or endowment		No internal funding; the model is dependent on external funding source	
Total number of checks						

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