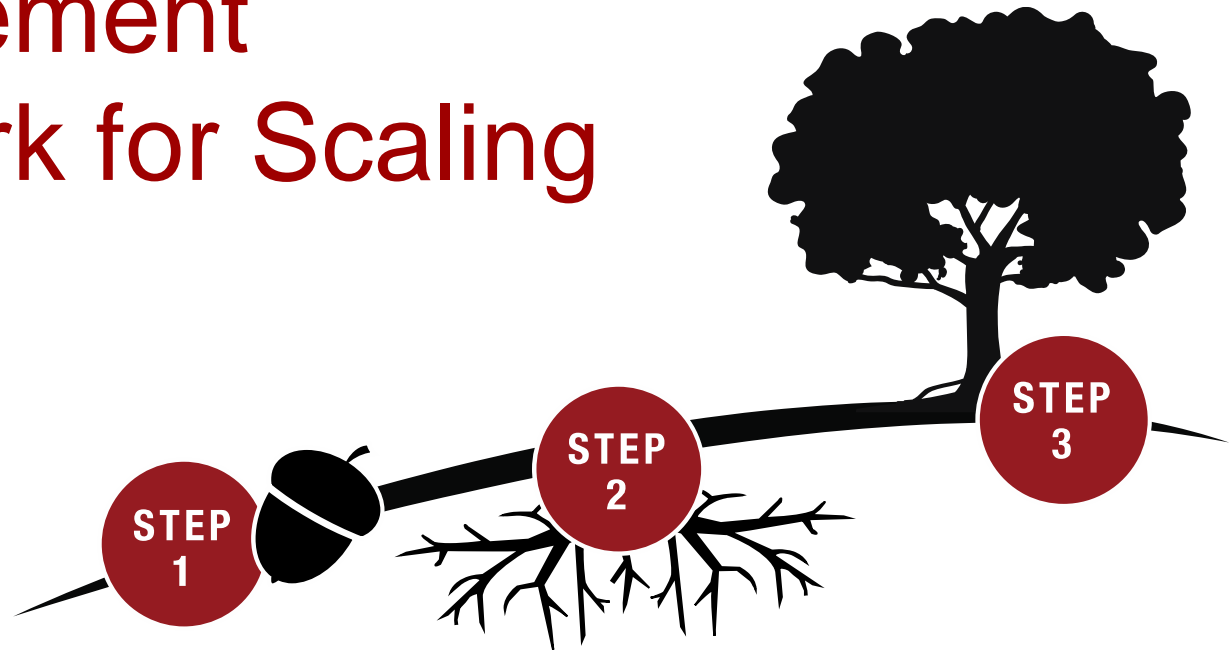


# Beyond Good Ideas and Good Intentions: A Management Framework for Scaling



Beirut, Lebanon  
December 2017

# Big Problems Usually Require Big Solutions



... but interventions are, on average, getting smaller, shorter and more numerous

The growth in the number of funders and projects, the reduction in average project size and duration, and the current focus of governments and foundations on innovation, have resulted in a proliferation of “prototypes” and “pilot projects”



...and

- 
- Unlike fully commercial innovations, most innovations that incorporate social objectives don't scale spontaneously;
  - Relatively few prototypes or pilot projects are analyzed for scalability when they are initially reviewed for funding; and
  - Even fewer are managed to maximize the likelihood of successful scaling up.

# The Typical Equation

“Successful” Project  
+ HOPE =  
**Large-Scale Change**



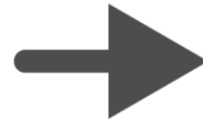
# THREE MISCONCEPTIONS

# Common Misconception #1: Overestimating the Role of Projects

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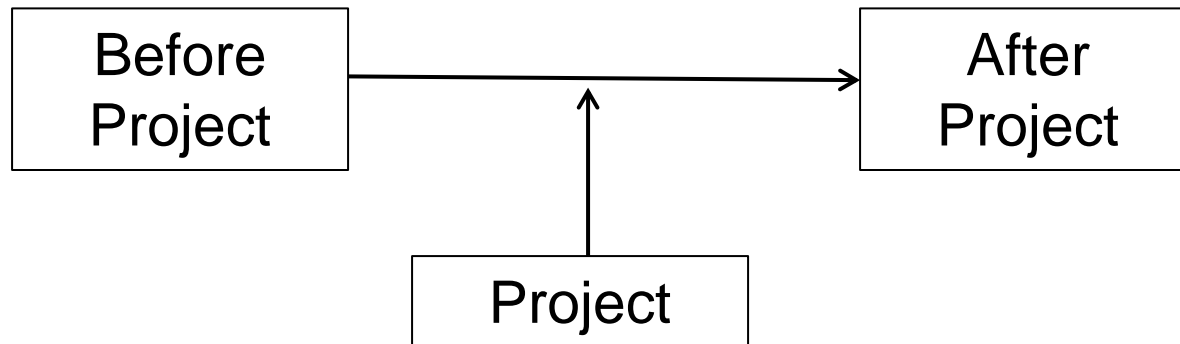


**PROJECT**

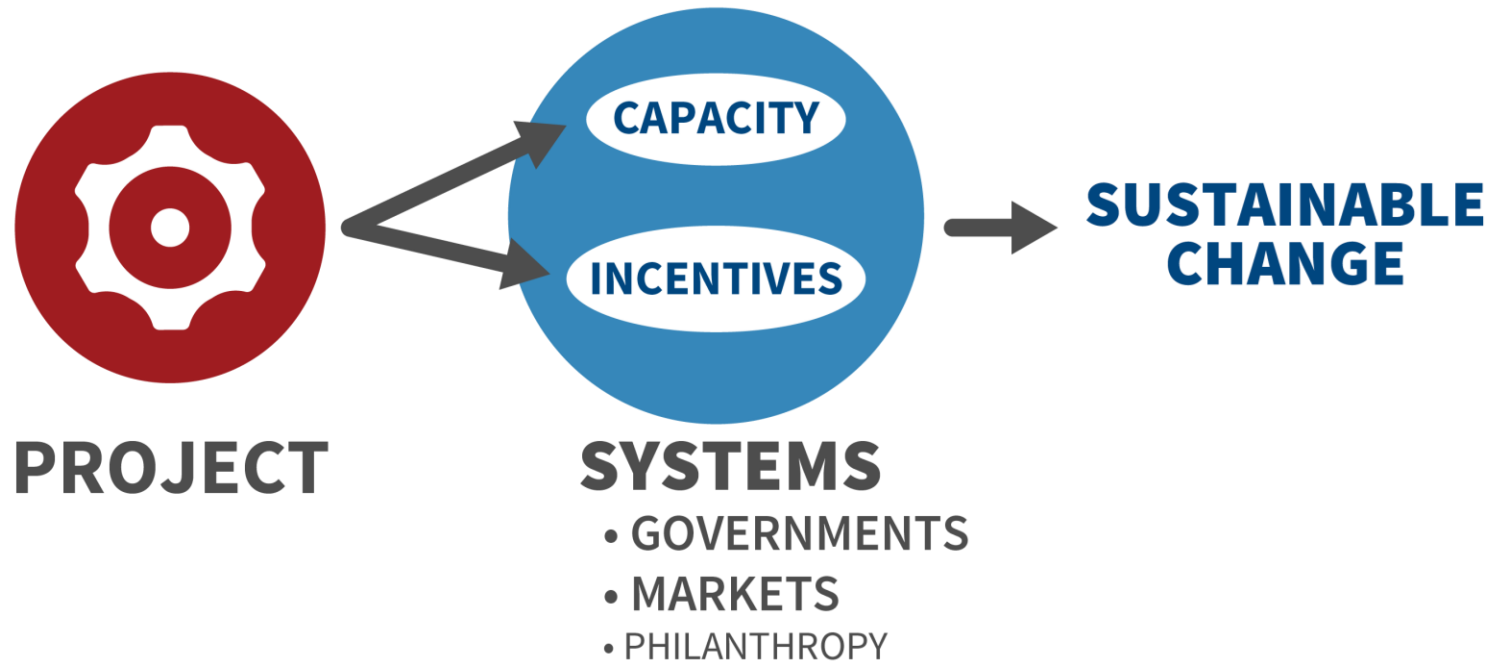


**PROJECT**

Development Project= A short term intervention designed to alter long-term processes and outcomes







“A bad system will trump  
a good program —  
every time, all the time.”

– **Patrick McCarthy, CEO of the  
Annie E. Casey Foundation**

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## Re-Thinking Pilot Projects

- Begin with an eye on scale and a strategy for achieving it:
  - Ensuring pilot design, monitoring and evaluation provide evidence for advocacy, simplification, and tailoring
  - Identifying and involving the intended large-scale implementer
  - Focusing early on unit cost and implications for current service providers
  - Identifying who will do the scaling up (advocacy, capability and capacity building) and with what resources

# Common Misconception #2: Misunderstanding the Dynamics of the “S Curve”

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# Common Misconception #3: Separating Scale and Sustainability

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# A Three Step, 10 Task, Process

# Scaling Up



**STEP  
1**

## Developing a Scaling Up Plan

**Result:** Realistic assessment of parameters, prospects, and strategy for scaling up

- **Task 1:** Creating a Vision
- **Task 2:** Assessing Scalability
- **Task 3:** Filling Information Gaps
- **Task 4:** Preparing a Scaling Up Plan

**STEP  
2**

## Establishing the Preconditions for Scaling

**Result:** Adopters committed and resources allocated for going to scale

- **Task 5:** Legitimizing Change
- **Task 6:** Constituency Building
- **Task 7:** Mobilizing Resources

**STEP  
3**

## Implementing the Scaling Up Process

**Result:** Sustainable provision of services at scale

- **Task 8:** Modifying/ Strengthening Adopting Organizational Structures
- **Task 9:** Coordinating Action
- **Task 10:** Track Performance, Maintaining Quality and Accountability at Scale

# What is Being Scaled Up and What Constitutes Scale?

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- Articulation of the model's **essential** features
  - Technical
  - Financial
  - Process
  - Values
- Bundling and unbundling components





# Planning the Move from Pilot/Prototype to Scale

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- Clarify level of ambition;
- Articulate a vision of delivery at scale and a strategy for achieving systemic and sustainable change;
- Test whether key success factors are replicable

■ *Social*    ■ *Organizational*    ■ *Political*    *Financial*

... and whether the model can be refined or simplified without losing effectiveness.

# How is it to be Scaled Up?

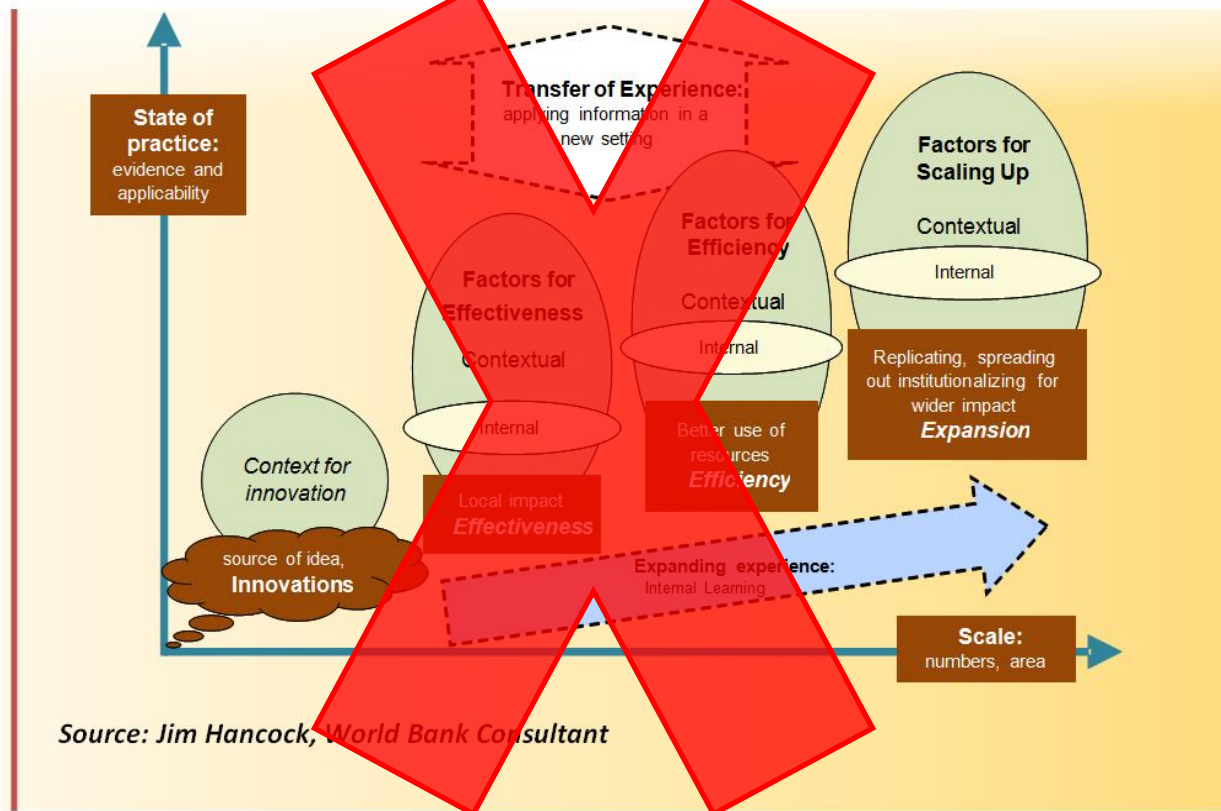
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- Making explicit the theory of change for scaling
  - Methods distinguished by the degree to which the organization that developed and managed the initial pilot/prototype – the **Originating Organization** – continues to control implementation as the model goes to scale:
    - **Expansion:** the Originating Organization retains control of implementation
    - **Replication:** the Originating Organization transfers control of implementation to another organization(s)
    - **Collaboration:** the Originating Organization shares control with one or more other organization(s)

# 10 Scaling Up Methods

Type	Method
Expansion	<ul style="list-style-type: none"><li>• Growth</li><li>• Restructuring</li><li>• Franchising</li><li>• Spin-off</li></ul>
Replication	<ul style="list-style-type: none"><li>• Policy Adoption</li><li>• Grafting</li><li>• Commercialization</li><li>• Spontaneous Replication</li></ul>
Collaboration	<ul style="list-style-type: none"><li>• Formal Partnerships and Strategic Alliances</li><li>• Networks and Coalitions</li></ul>

# THREE DESIGN GUIDELINES

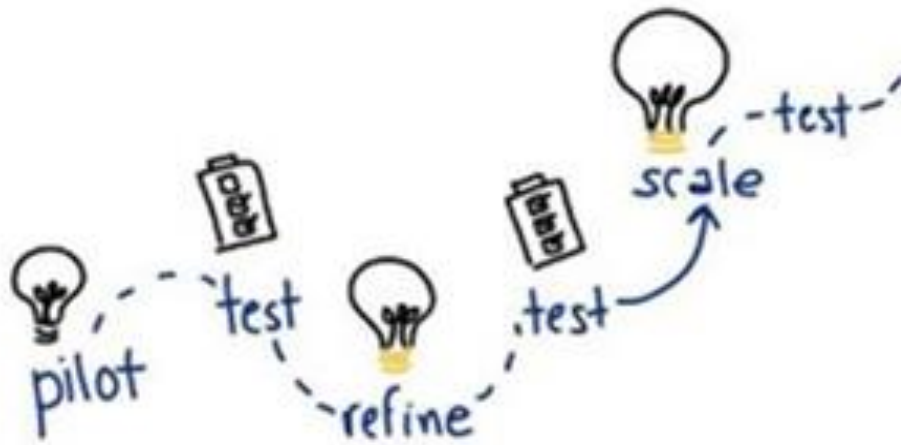
## Think Scale Early



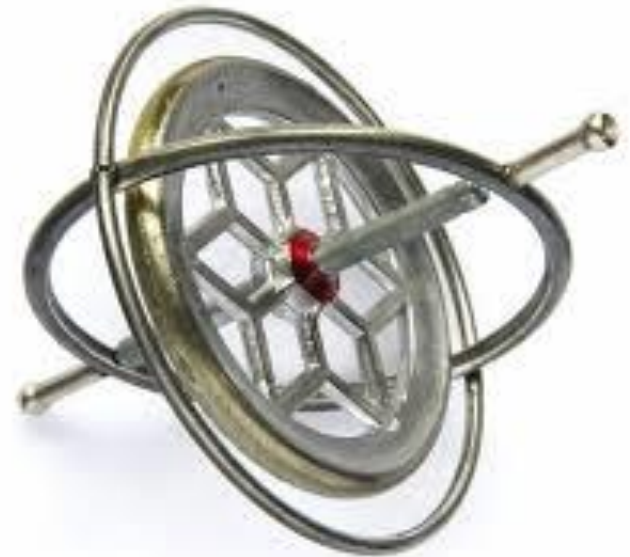
## Think Subtraction, not Addition



## Balance Adaptation and Standardization and Get Beyond the Prototype/Evidence/Rollout Paradigm



USAID, Development Innovation Ventures



- **Tier 1: Proof of Concept** – model articulation; evaluability assessment; pilot testing; impact evaluation of “prototype”  
**USUALLY GOOD**
- **Tier 2: Refinement, Streamlining, and Scalability Assessment** -- 2<sup>nd</sup> stage pilots; assessment of robustness, cost-efficiency and alternatives **TYPICALLY, MEDIOCRE TO POOR**
- **Tier 3: Change Management** – monitoring implementation and fidelity of scale-up; validation of efficacy at scale; continuous improvement **PREDICABLY BAD**



# 5 Lessons About Designing for Scale



# Lesson #1: Plan Backwards

Begin with an eye on scale and a strategy for achieving it.

## Lesson #2: Focus on Systems and Incentives

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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. Give special attention to value chains, business plans and “weakest links”.

# Lesson #3: Begin Advocacy and Transfer of Ownership Early

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Nobody likes scaling somebody else's idea, but the chances of taking an innovation to scale are substantially increased by early engagement of key decision makers and future implementers.

# Lesson #4: Overinvest in Information

Effective scaling requires monitoring and evaluation at three distinct stages:

- Proof of Concept
- Refinement, Streamlining and Scalability Assessment
- Change Management

# Lesson #5: Educate Funders and Policy Makers on Scaling Realities

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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.

# ASSESSING SCALABILITY

# Assessing Scalability

Is the model ready  
for scaling-up?

Is it feasible to  
scale up the  
model?

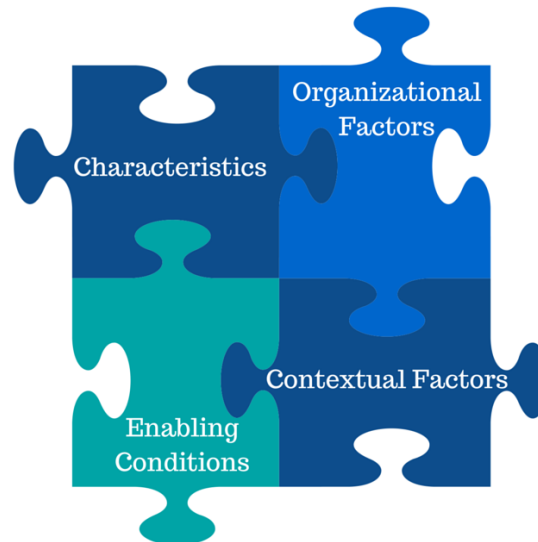


# Readiness: Standards of Evidence

- Avoiding “Type 2 errors” (“entrapment”)
- What standard of evidence has been applied?
  - 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)
- The trade-off between adaptation and fidelity

# Feasibility: The 4 Components of Scalability

- 32-item checklist of factors facilitating/complicating scaling
- Incorporate 4 dimensions: characteristics of the intervention; characteristics of the originating, intermediating and adopting organizations; characteristics of the context; and characteristics of the enabling environment



# Scalability Assessment

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- Planning for scale: robustness of scaling strategy; homogeneity of intended beneficiaries
  - Credibility: hard evidence, credible supporters
  - Support: intensity of perceived need, policy priority
  - Comparative Advantage: demonstrable improvement over existing practices and alternatives
  - Ease of Adoption: simplicity, transferability
  - Organizational Capacity: human and financial resources; systems and incentives
  - Financial Sustainability: sustainable funding source

# Scalability Checklist (2 pages)

Model Categories	A	← Scaling up is easier	B	Scaling up is harder →	C
A. How convincing is the scaling strategy?	1	Presence of a clear and compelling strategy for reaching scale		No articulated scaling strategy	
	2	Homogeneous problem, target group and setting – geography, language, economy, politics		Multiple, diverse contexts	
B. Is the intervention credible?	3	Based on sound evidence		Little or no solid evidence	
	4	Independent external evaluation		No independent external evaluation	
	5	Substantial evidence that the model works in diverse contexts		There is no evidence that the model works in diverse contexts	
	6	Supported by eminent individuals and institutions		Supported by few or no eminent individuals and institutions	
	7	Impact very visible to decision-makers and users and easily associated with the intervention		Impact relatively invisible to decision-makers and users and/or not easily attributable to the intervention	
C. How strong is the support for change?	8	Strong sense of urgency regarding the problem or need		Relative complacency	
	9	Strong leadership coalition committed to change		Weak, divided or deeply conservative leadership	
	10	Addresses an objectively significant, persistent problem		Addresses a problem that affects few people or has limited impact	
	11	Addresses an issue that is currently high on the policy agenda		Addresses an issue that is low on the policy agenda	
	12	Addresses a need that is sharply felt by potential beneficiaries		Addresses a need that is not sharply felt by potential beneficiaries	
	13	Faces limited opposition		Faces strong opposition	
D. Does the model have relative advantage over existing practices?	14	Current solutions considered inadequate		Current solutions considered adequate	
	15	Superior effectiveness to current solutions and other alternatives clearly established		Little or no objective evidence of superiority to current solutions and other alternatives	

E. How easy is the model to transfer and adopt?	16	Implementable with existing systems, infrastructure, and human resources	Requires significant new or additional systems, infrastructure, or human resources
	17	Small departure from current practices of target population	Large departure from current practices of target population
	18	Fully consistent with government policy	Requires substantial change in government policies
	19	Few decision makers involved in agreeing to adoption of the model	Many decision makers involved in agreeing to adoption
	20	Highly technological with clear deliverables	Process and/or values are critical
	21	Low complexity; few components; easily added onto existing systems	High complexity with many components; integrated package
	22	Intervention is self-regulating	Intervention requires substantial supervision and monitoring to maintain quality
	23	Able to be tested by users on a limited scale	Unable to be tested without adoption at a large-scale
F. How good is the fit between the intervention and the adopting organization?	24	Adopting organization has the operational capacity and financial resources to implement at scale	No organization with the systems, delivery agents, and resources to implement at scale
	25	Adopting and intermediary organizations with experience scaling similar interventions	Adopting and intermediary organizations lack experience scaling similar interventions
	26	Adopting organization has physical presence or strong network and credibility in relevant contexts	Adopting organization lacks footprint and credibility in relevant contexts
	27	Adopting organization has leadership team, norms and incentives consistent with the intervention	Major changes needed in leadership, organizational norms and incentives
	28	Demonstrable support for the change among staff of adopting organization	Active resistance by staff of adopting organization
	29	Organizational history and culture of iterative learning and evidence-based decision-making	No history of iterative learning and evidence-based decision-making
G. Is there a sustainable source of funding?	30	Substantially lower unit cost than existing or alternative solutions	Higher unit cost than existing or alternative solutions
	31	Requires small commitment of funds to begin	Requires large commitment of funds to begin
	32	Financed by internal funding (e.g., user fees), endowment or sustainable subsidy	No sustainable funding source
Total number of checks			

# MANAGING THE TRANSITION TO SCALE

# STEP 2: Establishing the Preconditions for an Effective Scaling Up Process

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**Result:** Decisions taken and resources allocated for going to scale

**Task 5: Legitimizing Change**

**Task 6: Constituency Building**

**Task 7: Realigning and Mobilizing Resources**

# Task 5: Legitimizing Change (getting the issue on the agenda)

- Raise consciousness
- Disturb the “status-quo”
- Find prominent spokespersons



# Task 6: Constituency Building (building bridges)

- Mobilize coalitions of “strange bedfellows”
- Foster the aggregation and articulation of interests by under-organized groups
- Deal with the realities of opposition--branding, bargaining and negotiating

# Task 7: Realigning and Mobilizing Resources (matching the will and the way)

- Identify sources of bridge financing
- Secure allocation in regular budget
- Address the “fear factor” and other sources of resistance from legacy systems

# STEP 3: Implementing the Scaling Up Process

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**Result:** Sustainable provision of services at scale

**Task 8:        Modifying and Strengthening Organizations**

**Task 9:        Coordinating Action**

**Task 10:      Tracking Performance, Maintaining Quality and Accountability**

# Task 8: Modifying Organizational Structures (fitting the form to the function)

- Fit new missions to old organizations or create new organizations
- Enhance organizational “capacity”
- Establish boundary spanning institutions, mechanisms, and partnerships

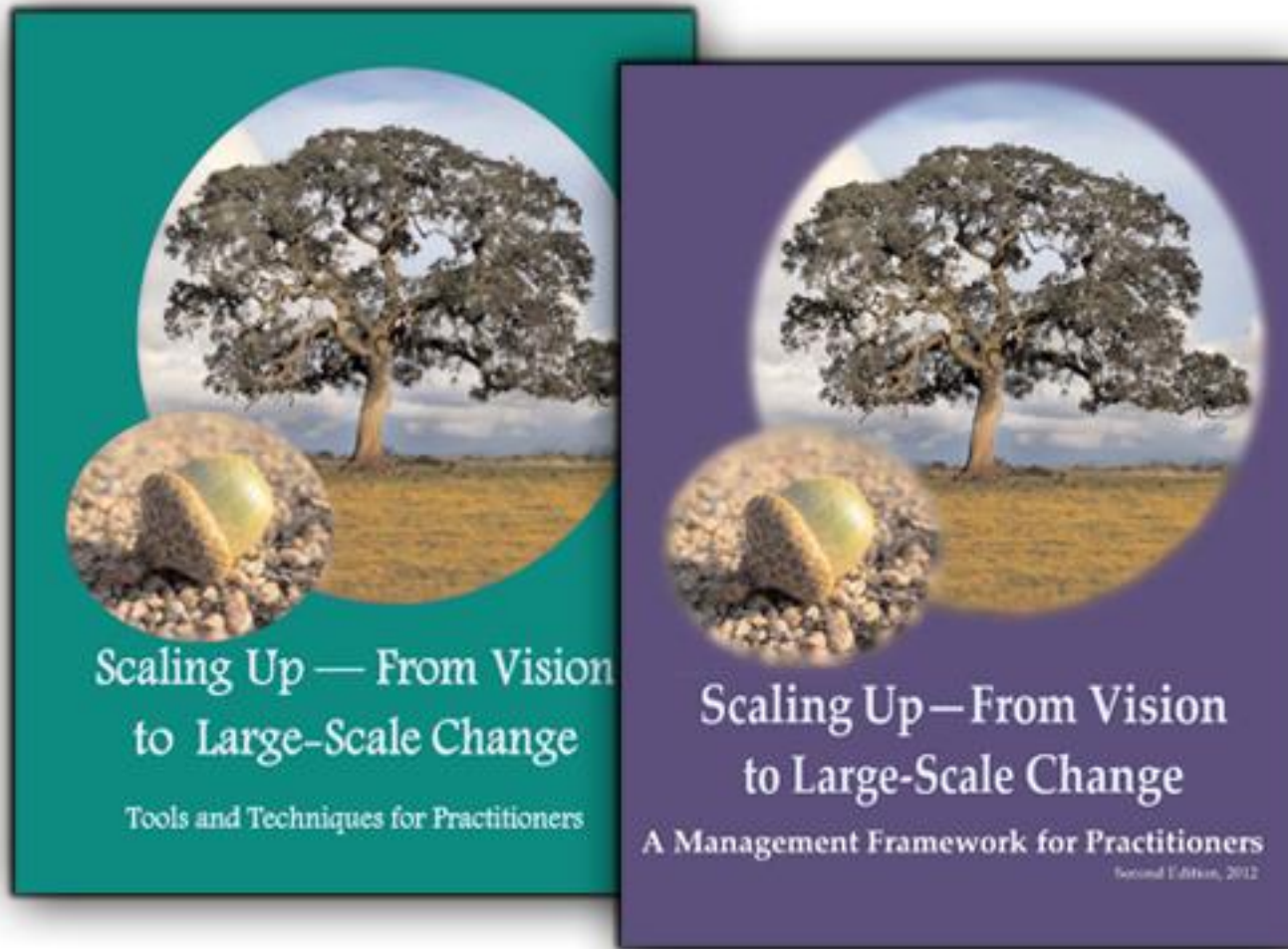
## Task 9: Coordinating Action (turning declarations into deeds)

- Negotiate performance expectations and accountability mechanisms
- Strengthen rewards and sanctions
- Facilitate collective action

# Task 10: Tracking Performance, Maintaining Quality and Accountability

(shining a bright light on performance)

- Establish meaningful benchmarks and performance milestones
- Train journalists to report on policy reform
- Incentivize learning by program operators



Thank You