

Integrating Scaling Up Into Evaluations

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Course Overview

1. What is Evaluation?
2. Outcomes, Impact, and Indicators
3. Why Randomize?
4. How to Randomize?
5. Sampling and Sample Size
6. Threats and Analysis
7. Cost-Effectiveness Analysis
- 8. Scaling Up**
9. Project from Start to Finish

To Keep in Mind

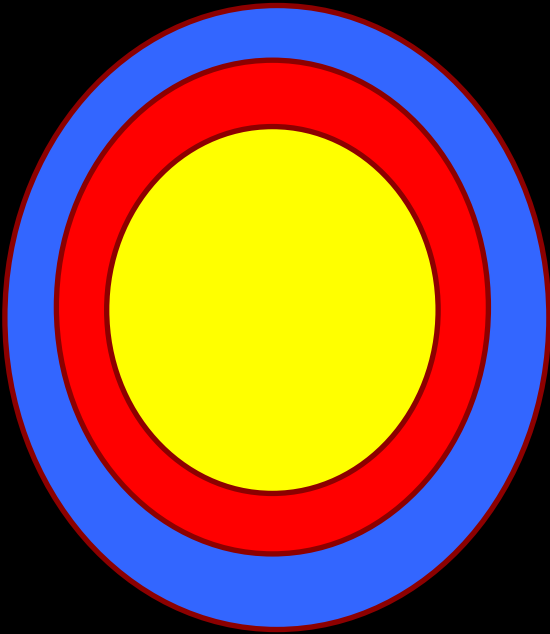
- ❑ No such thing as a scalable model in the abstract (99%)
- ❑ Scaling up strategy is almost always dependent on the:
 - Characteristics of the innovation itself e.g. technical vs. process
 - The scale to be achieved and the implied context
 - The institutional environment -- potential choices of organizations to fund, implement, manage and fill other roles at large scale; enabling environment
- ❑ There is no one right or correct strategy for scaling up
- ❑ Scaling up strategy includes: Where (goals), What (model), Who (funds, implements, etc. at scale), and How (scaling up method). Change one and you change the rest → interdependent
- ❑ Scaling strategy almost always requires compromises or tradeoffs between scale, impact, fidelity, adaptation, cost, etc.
- ❑ Scaling up process is equally about politics (small p) and governance/implementation capacity, as it is about the intervention

TWO KEY CONCEPTS



- **Capacity (Reach or Scale)** – ability of an organization to deliver and implement the program at the targeted or desired scale
- **Capability**: ability of an organization to deliver and implement the program according to the way it was designed (fidelity), with quality achieving the expected impact
- **Delivery or Implementing Organizations** have to have both **Capacity** and **Capability** to **successfully scale up**.

And Three More



- **Innovation** – the product or service being provided, or new design, contents, approach to an existing product or service
- **Model**: the innovation plus “**H**ow” product or service is being produced and/or delivered. Sometimes the **H**OW is the innovation – process or delivery innovations.
- **Business Model**: the “Model” plus financing, marketing, supply, human resources and organizational structure to deliver the model.

Our Working Definition

Scaling Up or Going to Scale- the process of sustainably increasing the reach (and/or scope, impact) of a promising or proven innovation with fidelity and quality, thereby retaining some or all of its demonstrated positive impact.

Types of Scaling Up

1. Increasing the **Reach** of a particular innovation intervention:
Raw Numbers, Geographic, Demographic, % Coverage
2. Increasing **Scope** of the Innovation: Adding Components
3. **Impact** beyond Product or Service Delivery –
Campaigns/Movements, Coalitions,
4. **Enabling Environment**: Legal, Regulatory, Policy or
Programmatic Change
5. **Value Chain**: Filling in Upstream or Downstream Gaps

Integrate Scaling Up into Design of Pilot Projects

1. Design pilot and M&E to produce evidence of effectiveness and for scalability
 - tacit knowledge, process, and invisibles
 - social context and institutional generalizability
2. Experimental (RCT) design only establishes effectiveness, for scaling we need to get inside the Black Box
3. Anticipate ultimate scale versus pilot scale: identify key social and institutional characteristics potentially relevant to model
4. Identify who will adopt, fund and implement at scale design pilot model to be compatible with those institutions
5. Build advocacy into evidence generation/M&E and start advocacy early

Design pilot and M&E to produce evidence for scalability

The Innovation, Model or Business Model

- ❑ Combine with qualitative methods (process documentation) to understand what works and why
- ❑ Identify ALL of the model's components
 - Process, tacit elements and invisibles
 - Document what has to be reproduced for fidelity and impact
- ❑ Key elements often missed are, partial list includes:
 - Sanctioning, approval and buy-in
 - Human interaction, especially where high-touch is important
 - Motivation and incentives, especially non-financial and role of supervision— why do various stakeholders do what they do
- ❑ Identify cost, cost/beneficiary, cost/benefit, and cost-effectiveness of the model and by component -- allows for bundling/unbundling
- ❑ Supplement model/no model with variance on components

Design pilot and M&E to produce evidence for scalability

Organizational and External Factors

- ❑ What Works Where and Why, Implemented by Whom
- ❑ What are the external social and institutional factors for the logic model to hold
- ❑ Need to identify logic model first: Inputs>Outputs>Outcomes
- ❑ What are the organizational characteristics and capabilities needed to implement the model with fidelity and reproduce those results?
- ❑ What are the external factors that need to exist (assumptions) for the logical/causal chain to hold:
 - Gender • Transportation/Access • Caste/Tribe • Demand/Supply
- ❑ Supplement variance on model/no model with variance on external factors and organizations

Design pilot model to fit within capacity constraints of those institutions

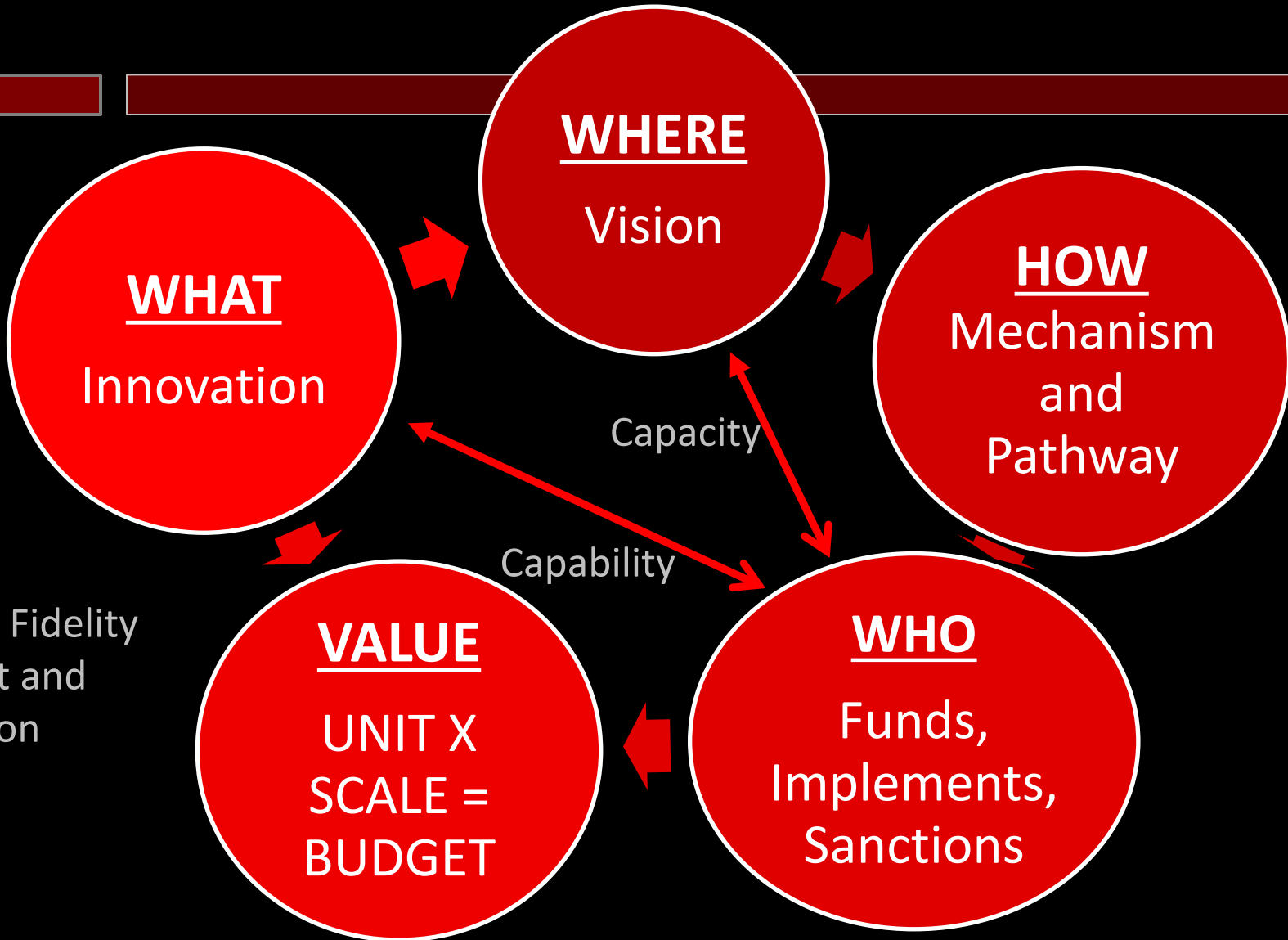
- Identify who will adopt, fund and implement at scale design pilot model to be compatible with those institutions
- Ensure that the capabilities needed to implement the pilot model are compatible with those of the large scale implementing organization OR
- Be conscious of anticipated capacity and capability building; difficult increases exponentially with size of gap
- Test the model under similar organizational contexts to verify compatibility or 2nd stage pilot
- Refine/simplify the model wherever possible

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 (strategy or method)?
- ❖ Who is playing the various roles in Going to Scale and Implementing at Scale?
- ❖ Value: what is the value proposition and where are the resources coming from?

Scaling Up Strategy Diagram

Impact and Fidelity vs. Context and Adaptation



Impact and Fidelity vs. Unit Cost and Simplification

Advocacy and Ownership

- ❑ Generate evidence to address the concerns of decision makers, stakeholders, opponents beyond effectiveness
- ❑ Anticipate ultimate scale and who could/will sanction, fund, implement, deliver, monitor at scale <> agree to be participants
- ❑ Identify what evidence actors and other stakeholders need to see to agree to play their role beyond evidence of effectiveness
 - Costs and cost per beneficiary, or cost effectiveness
 - Job creation (opportunities for patronage)
 - Bureaucratic incentives: control over increased resources
 - Who benefits, who loses?
- ❑ There are almost always losers in scaling up (vested interests threatened by disruptive innovation or model), failure to identify, and pro-actively anticipate their objections a major reason why scaling fails

Advocacy and Ownership (2)

- Start advocacy as early as possible in the process
 - Create a multi-stakeholder team if possible
 - Create an advisory board or some sort of mechanism to develop buy-in from key decision makers/adopters
 - Create partnerships or collaborative mechanisms with potential alternative, competing models
- Address ownership of the scaling-up process
 - Whose model is it – funder, manager, implementer, adopter, intermediary?
 - Who will make decisions on whether and how to scale up? What and where?

Who will do the Going to Scale: Dropping the Baton?

1. Developing a Promising Innovation
2. Generating Evidence of Efficacy (Internal Validity)
3. Generating Evidence of Effectiveness and Generalizability (External Validity)
4. Dissemination
5. Buy-In by Internal Stakeholders, Potential Adopters, or Potential Partners (Advocacy and/or Marketing)
6. Creating the Pre-Conditions for Implementation:
 - Training and Capability Building
 - Modifying or Retaining Incentives and Org. Culture
 - Changing policies, regulations, procedures (troubleshooting)
 - Coordination Across multiple partners, stakeholders
7. Monitoring for Quality, Fidelity, and Adaptation

Going to Scale and the Intermediary

- ❑ Build-in resources for Going to Scale
- ❑ Identify who will fill the intermediary role
 - Create an entity with the skills, resources & motivation to scale up successful pilot efforts
 - Build capacity in the originating organization
- ❑ Educate donors and funders on the process and resources required
 - Going to Scale takes time, money, resources, and capacity/skills that are often as large than the pilot!
 - A long-term process that can last 5-15 years depending on the required scale

Application to a Case: Contract Teachers

- ❑ What is the Intervention? (additional/supplemental process evaluation and documentation?)
 - What are the key inputs/activities? Prep, Setup, Implement, Follow
 - Examples: Sanction by key stakeholders? Hired? Criteria? Teacher characteristics? Acceptance by stakeholders? Supervised? LT issues?
- ❑ Would you want to add to or simplify the intervention? Why?
- ❑ What works where and why and with whom/by whom? – what would you want to know?
- ❑ What are the external social and institutional factors?
 - Examples: Supply of contract teachers, tribal relationships, distance

Application to a Case: Contract Teachers

- Where does it make the most sense to scale this up?
 - Geographically – all of Kenya or ??
 - Demographically – first grades only, or ??? All first grades? All kids?
- How and Who would take this to scale and implement at scale? Capabilities and Capacities Needed?
 - Expansion – ICS would expand its activities to that scale?
 - Collaboration – ICS would lead a network of NGOs?
 - Replication – ICS would teach/transfer the model to other organizations? Ministry of Education? Counties? Other?
- Beyond implementation, who would Sanction and Fund?
- Would you want to simplify or complicate the model? Why?

Application to a Case: Contract Teachers

- Given your choice of What, Where, Who and Who – Who would be the key stakeholders and decision makers that would be need to be convinced to Sanction, Adopt, Implement, Support and Participate?
- What information would they need to see to agree to their role?
- What information would you need to have to make these decisions?
 - About the intervention or model
 - About the environment and context, local and national
 - About potential funders, sanctioners, implementers?

Integrating Scaling Into Your Presentation

- **WHAT** is the model:
 - How would you identify: Prep, Setup, Implement, Follow?
 - Identify what works where and why and to whom/by whom?
 - Identify external social and institutional factors?
 - Identify Capabilities, Culture and Resources needed to implement?
- **WHERE** would you want to scale this?
- **HOW** and **WHO** would scale this up?
 - Expansion, Replication, Collaboration, Virtual?
 - Sanction and fund?
- Who would be the stakeholders and decision makers?
- What evidence would be needed to convince them?

Summary

1. Identify model's key components that affect impact & delivery
2. Fully document the model, beyond technical to include process, context and capabilities needed
3. Measure and identify factors for external validity: institutions and social context – that will have to be addressed
4. Define clear scaling up goals –where, who, what impact?
5. Create a clear strategy for large scale – Expansion, Replication, Collaboration, or ?? Who adopts, funds and implements, etc.?
6. Identify concerns and interests of key decision makers, beneficiaries and other stakeholders involved with scaling up, and ensure that evaluation generates evidence relevant to their needs and advocacy efforts
7. Clearly identify who will DO and RESOURCE the Going to Scale – make sure there is someone to pass the baton to