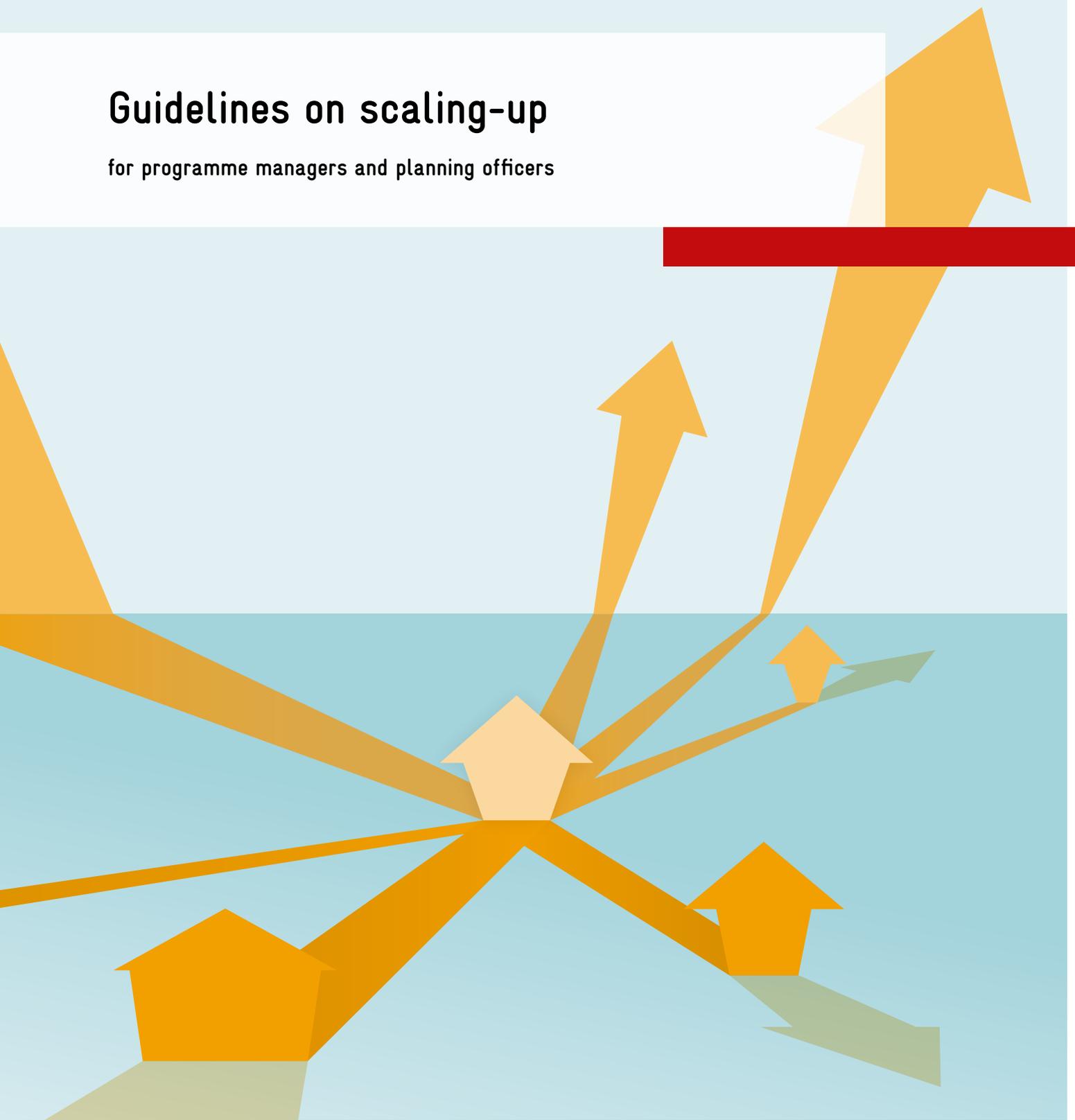


Guidelines on scaling-up

for programme managers and planning officers



Foreword

for the Guidelines on Scaling-Up by
Dr Sabine Müller and Dr Christoph Beier



Dear colleagues,

It is crucially important that our work generates broad development impact. The ambitious targets of the 2030 Agenda can only be achieved through approaches that deliver this impact. Commissioning parties and partners demand visible and significant results. The path to broad impact involves scaling-up successful approaches. Yet scaling-up does not occur automatically. We need to think about it and include it when planning our programmes. Scaling-up only succeeds when our partners assume ownership of the process.



The corporate strategy evaluation on broad impact and scaling-up conducted in 2013 drew attention to some important points. Our partners and commissioning parties appreciate us for the relevance of our work in partner countries, because we work on the key challenges faced by partner systems. Regarding the sustainable mainstreaming and scaling-up of the results we achieve, though, we have potential for further improvement. Our objectives and monitoring systems also need to reflect changes at target group level more clearly. Moreover, we should define even more precisely our joint understanding of scaling-up.

Bearing this in mind, the Methodological Approaches Division of the Sectoral Department has updated the existing guidelines on scaling-up. The present guidelines explain how you can use scaling-up to achieve broad impact. They present various forms of scaling-up, as well as key success factors for managing the needed change processes. The guidelines plug into the company's standard processes, so that you can apply them in practice right away. The standard tools from Capacity WORKS and the methodological approach for appraisals and project evaluations are explained from the scaling-up perspective.

Our commissioning parties attach growing importance to measurable results at target group level, and at the same time to the sustainable strengthening of partner systems. We need to respond even more firmly to this wish, and must therefore seek dialogue with our commissioning parties. Use your experience and knowledge of the situation on the ground to agree on realistic objectives and focus on results that will remain sustainable beyond the period of the commission.

Let us intensify our dialogue on scaling-up in the company and take our joint learning process further. We hope that these guidelines will be of valuable service to you and provide helpful guidance for appraising and implementing projects. We wish you every success.

Content

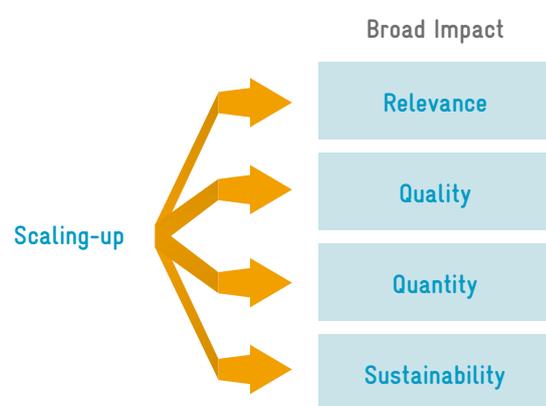
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1. Introduction

Scaling-up is a managed process designed to mainstream an innovation through a project and generate broad impact. In the development cooperation context, the term ‘innovation’ does not refer to the invention of new technologies or products in the traditional sense. Instead, it involves changes within organisations and cooperation systems and in the way they deliver their services. The term ‘innovations’ might refer to strategies, approaches, methods or lessons learned that are new in a specific context. Significant changes need to be made to established routines within an area of social concern if these innovations are to be mainstreamed.

‘Scaling-up’ is the term given to the process used to achieve the desired goal of broad impact.

The figure below depicts the different dimensions of broad impact.



- › **Relevance:** Do the improvements achieved meet the needs of beneficiaries?
- › **Quality:** Have the improvements achieved boosted quality for beneficiaries?
- › **Quantity:** Has a significantly large group of beneficiaries been reached?
- › **Sustainability:** Will the improvements achieved continue beyond the project term?

When seeking to address these dimensions of broad impact¹, as well as many other challenges, persons responsible for planning and implementing projects often may not use the term ‘scaling-up’² even though this is what they are actually doing.

Indeed, you may be familiar with some of the following considerations from your own work:

- › **Long-term effectiveness** – that is always our ultimate objective. But how are we supposed to achieve this if our partners do not always pull in the same direction? (Sustainability)
- › Over time, our partners seem to become somewhat *weary of pilot measures*. They want more. What can we do to tackle this? (Quantity)
- › **Combined financing** is indeed desirable. But how can I obtain or achieve it? And once I manage to do that, how can I use the money effectively? (Quantity/quality/relevance)
- › Projects are *no longer structured into phases*. They now usually run for three years, but still aim to achieve the same ambitious results. How can that work? (Quantity/quality/relevance/sustainability)
- › Our contacts at the different levels involved are constantly passing the baton to someone else. How on earth can we initiate long-term change processes with such high *staff turnover*? (Quality, sustainability)

¹ 'Broad impact is regarded as having been achieved when improvements of an appropriate quality have been introduced based on the needs of a significantly large group of beneficiaries and these improvements continue beyond the project term.' (from Rambøll (2013): synthesis report.

² 'The term 'scaling-up' refers to a consciously selected and targeted approach used during or in the follow-up to a project in order to achieve or further boost broad impact. The objective is to transfer strategies, approaches, methods or lessons learned vertically, horizontally or functionally.' (ibid.)

Scaling-up is by no means a 'golden ticket' to overcoming the challenges outlined above. What it essentially boils down to is finding a way to enlarge relevant results quantitatively, i.e. across a wider area, and enhance their quality in terms of sustainability and partner-orientation.

Scaling-up processes are designed to help base project planning on broad and inclusive participation by the relevant actors in order to ensure the best-possible 'fit' with the social realities of the partner system.

These processes are not only about testing and piloting solutions. They also focus on developing strategies to disseminate tried-and-tested approaches and to assist partners in implementing them, as partners will usually need support. Scaling-up strategies for tried-and-tested innovations appeal to commissioning parties too, and provide convincing arguments for acquiring and implementing combined financing.

They also help provide a realistic idea of what objectives and results are achievable in a particular time frame. A robust, well-documented analysis and clear expectations on the partner's side supply persuasive arguments and increase the likelihood of us agreeing on realistic goals with our commissioning parties.

Ensuring that the strategy process is as inclusive as possible will foster broad support for the changes in the partner system, thus helping bridge any gaps created by staff turnover in the area of social concern.

1.1 Scaling-up at GIZ

Scaling-up, i.e. the mainstreaming of innovations in the partner system, is one of GIZ's core business areas and is a quality feature of our work.

The corporate strategy evaluation on scaling-up and broad impact conducted in 2013 shows, however, that we still have some way to go in this regard because:

- › there is still no consensus on what key strategies we should be using to achieve scaling-up and broad impact;
- › there is little incentive to implement scaling-up;
- › lessons learned are not being systematically shared;
- › the scaling-up expertise held by existing structures and contacts, particularly in the Sectoral Department, is not yet being used comprehensively at GIZ.

The time has come to focus more on this topic and support the successful implementation of scaling-up processes so that our work generates greater impact.

In response to the 2013 corporate strategy evaluation, GIZ management adopted measures to address the weaknesses outlined above and to help mainstream the issue within GIZ. In addition to various incentives to raise awareness, encourage dialogue, step up knowledge management and mainstream scaling-up in standard processes, the internal guidelines on the subject, which are presented in this document, were updated and adopted.

These guidelines outline the role that the eight key success factors for scaling-up at GIZ play in commission management. These key factors were identified in 2010 within the scope of an analysis of more than 25 GIZ projects. The 2013 corporate strategy evaluation confirmed their relevance and in some cases developed them further.

Using a successful scaling-up process as a starting point, the next section explains the key terms involved taking a case study as an example. In the

third section, we look at the links between the eight key success factors for scaling-up and the relevant Capacity WORKS tools for planning and implementing projects.

These guidelines are designed to assist persons responsible for the commission and planning in taking a closer look at how scaling-up can be used during planning and implementation to boost the quality and broad impact of our work. Substantiating our results in this respect is vital from both a corporate and a business policy perspective.

Continued work on scaling-up and broad impact, and achievement of this goal, are part of our commitment to quality vis-à-vis our commissioning parties and can therefore become a key component of GIZ's strategy for growth.

1.2 Scaling-up in the international debate

Scaling-up is also an important topic in the international debate on development cooperation. Here, the term 'scaling-up' is used on the one hand to mean 'scaling-up aid' (i.e. increasing funding for development cooperation) and on the other 'scaling-up impact' (i.e. boosting the broad impact of reforms and innovations generated by projects and programmes).

The debate on increasing official development assistance (ODA) dates back to the 2002 UN International Conference on Financing for Development in Monterrey and to 2015 in Addis Abeba, the 2005 G8 Summit in Gleneagles, the UN Sustainable Development Summit in 2015 in New York and the EU's step-by-step plan to boost ODA funding. Increasing the amount of public and private-sector funds for development cooperation is based on an undertaking by the EU member states to gradually raise public funding for development cooperation to 0.7% of GNP by 2015. Financing is also flowing from new donors such as India and China, large private foundations such as the Bill & Melinda Gates Foundation, and new funds that are being set up to address global problems such as climate change.

Increased funding should of course also lead to bigger and better results, which brings us back once again to the issue of broad impact. More funding is not the only factor that will generate better results, however. First and foremost, programmes need to be geared to creating broad impact, to mainstreaming and scaling-up innovations within a partner system's structures and to replicating successful solutions in different contexts. This calls for a greater focus on development measures and for more capacity development and poverty reduction activities. Since the Fourth High Level Forum on Aid Effectiveness in Busan in 2011 in particular, the issue of generating broader impact has also been on the agenda of the World Bank, the International Fund for Agricultural Development (IFAD), the Japan International Cooperation Agency (JICA) and the Australian Agency for International Development (AusAid).

2. A success story – Key terms

So, how is it that the concept of water kiosks has been such a success in Kenya and that 1.8 million people now have better access to safe drinking water?

What role did the eight key success factors for scaling-up play?

Let's start with a brief overview of the **initial situation**:

Before 2002, the inhabitants of unplanned settlements in Kenya not only had very little income, they also had to travel an average of between three and five kilometres for water. They paid the exorbitant price of EUR 2 for 20 litres of water that was not even safe to use. Sometimes supplies had run out by the time they had waited their turn. As a result, water-borne diseases and a lack of affordable drinking water for households were the norm. Children were unable to attend school and young girls were often exposed to the risk of sexual assault on their way to water points. At the time, the Kenyan Government's declared objective for the water sector was to ensure that all households had a water connection. These, however, cost EUR 1,150 each, well beyond the reach of low-income households.

The German-Kenyan Water Sector Reform Programme supports the water sector in Kenya, where it has adopted a pro-poor focus since 2003. It set out to make a meaningful contribution to achieving the Sustainable Development Goals (SDGs) and to supply the population with more high-quality drinking water and sanitation facilities. According to a study conducted in 2011, 25% of the approximately 45 million people living in Kenya reside in urban areas. It was estimated that about 8 million people on low incomes live in 2,000 districts in 276 towns and cities and that this figure is increasing by 500,000 per annum, given a population growth rate of 6%. The rapid surge in the population highlighted

the urgent need to achieve the SDGs and was instrumental in bringing about a paradigm shift in the partner system from 'Water connections for all' to more cost-efficient technologies. However, the political will to achieve these objectives was not enough on its own. Local water utilities not only lacked the capacities to provide services to the unplanned, low-income settlements, they also had no incentive to do so. Furthermore, there was a lack of accountability among the responsible authorities as well as insufficient awareness of the fact that public water utilities could actually find ways of making more cost-efficient solutions financially viable.

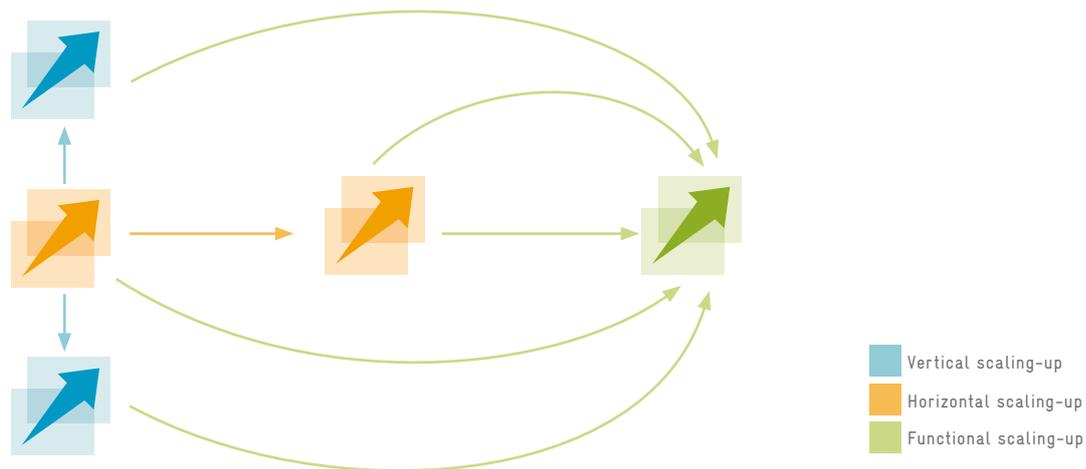
The public funding mechanisms in place at the time focused on the water utilities themselves laying water mains. In the unplanned settlements, the rate of connections to the water supply not only lagged behind population growth, the relevant legal requirements for hooking up households were often also lacking.

As a result, inhabitants of these settlements still had to travel to rivers and wells for water or were reliant on informal suppliers with small-scale water networks, tankers or water kiosks, which in many cases was not only twenty times more expensive than the public water supply but also failed to meet WHO's quality standards. Many informal water suppliers were linked to criminal gangs, and the whole idea of water kiosks often had negative connotations, so that key figures at the water ministry and in the regulatory authority saw no future for them in Kenya. So how did it come to pass that this solution was a success after all?

2.1 Key terms

The following table provides an overview of different scaling-up strategies and illustrates these with reference to a case study:

Scaling-up-Ansätze



Example

Functional scaling-up

Zambia and Burkina Faso both had positive experience of using water kiosks to supply water. Representatives from the Kenyan water sector were selected to travel to both of these countries to get an overview of the strategy they used. How were structures anchored in the water supply system? What financing mechanisms were in place to supply water over the ‘last mile’ to the end user? Based on this visit, the director of Kenya’s water ministry, managers from interested water utilities and representatives of the regulatory authority decided that the strategy used in Zambia and Burkina Faso should be tailored to the conditions in their home country and a pilot project should be run to test whether the approach was viable.

During the visit, the Kenyan representatives also recognised the key role played by the trust fund that the water utilities had set up to support the establishment and operation of the water kiosks and of water supply to low-income areas. They therefore also decided to introduce an appropriately modified version of the trust fund model in Kenya too.

Trust fund tendering and application procedures were gradually improved and, after seven years, extended to sanitation facilities too.

Definition

Transfer of successful approaches to another context or service:

Strategies or processes that proved successful under specific conditions or for certain services are adapted to:

- › conditions in another country;
- › conditions in another sector (e.g. the type of service delivery in citizens’ offices is transferred to service delivery in health services)
- › requirements of another service within the same sector (e.g. water supply service delivery is transferred to sanitation)

Example

Definition

CONTINUED

Property owners and households can apply to the trust fund for financing for their toilets. They install the toilet and the fund reimburses the costs on completion. The local water utilities can apply to the trust fund to finance autonomous sewage treatment plants and public toilets.

- › Functional scaling-up of the approaches 'water kiosks' and 'trust funds' for a different context in another country
- › Functional scaling-up through transfer to 'sanitation services'

Horizontal scaling-up

The innovative feature that made the water kiosk strategy attractive for Kenya was the fact that it was operated by public water utilities, which enabled a standardised construction method and service model in terms of water quality, opening times and cost per m³. The trust fund specified the infrastructure for the water kiosk, and also financed, supported and monitored implementation of the strategy. The strategy was particularly attractive for small and medium-sized water utilities, which drove replication in isolated areas too.

The strategy used called for involvement of the different actors in the water sector, and this helped spread the word about water kiosks

- › Horizontal scaling-up through a uniform approach that incorporates monitoring and successful awareness-raising in the sector

Comprehensive, step-by-step horizontal scaling-up of an approach through standardisation and a measurable process.

Vertical scaling-up

The water kiosks – run by public water utilities – were introduced as the standard supplier of the unplanned settlements and poor areas. The obligation of the water utilities to supply socially weak areas was incorporated into water legislation, as was the trust fund financing mechanism. The sole purpose of the trust fund is the cost-effective establishment of infrastructure for the 'last mile' to the end user in poor settlements. The water utilities established pro-poor units

Replication of an approach through institutionalisation at different levels.

Strategies that have already been tried-and-tested at the micro level are implemented systematically and on a broad scale. Institutionalisation usually

Example

CONTINUED

to handle invitations to tender, construction, operation and monitoring of the kiosks. Standards for constructing a water kiosk and its operator model were reviewed and laid down in the trust fund.

- › Vertical scaling-up through standardisation; anchoring in legislation; adapting structures, rules and processes used by water utilities; and establishing a targeted financing mechanism

Definition

FORTSETZUNG

occurs at the macro level through setting standards, introducing laws, policies and national development plans or programmes that can be implemented to disseminate innovative approaches nationwide.

Combination of scaling-up approaches

Functional scaling-up was used as a basis in Kenya: transferring experiences from Zambia and Burkina Faso to the Kenyan context.

By setting up a trust fund, tailoring water legislation to include the obligation to cover the ‘last mile’ to the end user and standardising processes and methods, vertical scaling-up measures were implemented to institutionalise innovative water kiosks.

Horizontal scaling-up was supported particularly through incentive mechanisms (financing by the trust fund) and ongoing stakeholder dialogue.

- › Combination of functional, horizontal and vertical scaling-up

The scaling-up approaches outlined above are often used together.

If no standards or legislation are in place yet to support the scaling-up of innovations, it may make sense to combine the vertical and horizontal approaches.

The same applies to functional scaling-up. If conditions are not conducive to functional scaling-up when transferring the lessons learned to a new context or another service, it makes sense to combine different elements of horizontal and vertical scaling-up.

2.2 Definition of key success factors

The following table defines the eight key success factors for scaling-up and explains the role they played in the Kenyan case study outlined above.

Case study	Definition
<p>Incorporate scaling-up into programme planning</p> <p>The actors championing reform in the sector were involved from the very start. These included representatives of the ministry, the regulatory authority and the local water utilities, who gained a deeper insight of how water kiosks work during their study trips to Zambia and Burkina Faso.</p> <p>This ensured that different stakeholders participated from the outset. Standards were then developed in close cooperation between representatives of the trust fund and local water utilities, the two actors that played a key role in scaling-up. The fact that the trust fund's mandate revolved around providing pro-poor, cost-effective financing for supplying water over the 'last mile' to the end user encouraged a number of donors to begin contributing.</p> <ul style="list-style-type: none"> › Key actors already involved in the exploratory phase › Clear objective (‘last mile’, public water utility operator model) › Functional financing model 	<p>Take scaling-up into account from the outset: Set goals, identify actors, assess capacities and risks and explore financing concepts.</p>
<p>Ownership by the key actors</p> <p>Participation by the key actors in the delegation to Burkina Faso and Zambia played a crucial role in the discussion and acceptance of water kiosks and of the financing mechanism in Kenya. It meant that efforts to transfer the approach to the Kenyan context were in the right hands from the word go. The trust fund and the local water utility jointly developed standards for the water kiosk and for the operator model, with the result that realistic and practice-oriented solutions were developed and financed. High-quality service delivery was underpinned by additional trust fund financing for cost-effective supply solutions.</p> <p>‘Strategic dialogue’ within the sector, where policy and progress to date were discussed with the stakeholders, took place every two</p>	<p>Key actors undertake to achieve broad impact and secure political backing.</p>

Case study

Definition

CONTINUED

months at the behest of the water ministry, and also played a key role in developing and maintaining ownership of the scaling-up process.

- › Key actors actively involved
- › Political backing ensured

Multi-level approach

The scaling-up of water kiosks in Kenya started out in a pilot project that was successfully implemented by a local water utility. Political attention at the national level was based not least on shared experience; the study trips had already brought together the relevant actors at the different levels, which encouraged interaction and shared learning. At the local level, lessons were learned and discussed with the representatives of the national level. Among other things, this debate contributed to successful implementation and helped ensure that the standardised toolkit was of a high standard. The monitoring of implementation was used as a basis for the provision of further financing. Putting certain conditions in place, such as stipulating obligations for water utilities to supply unplanned settlements and providing the required financing, sent out clear signals at the local level that the water kiosk approach was to be taken seriously.

- › Piloting and implementation at the local level
- › Amending legislation and safeguarding political backing at the national level
- › Cooperation between the national and local level on developing standards (trust fund – water utilities)
- › Linking up the different levels through strategic dialogue

Link up policy advice with implementation models in selected local or regional application contexts.

Verification of results

In 2011, GIZ and its Kenyan partners conducted a baseline study which found that eight million inhabitants live in more than 2,000 low-income urban areas in Kenya. Based on this information, an IT monitoring system was developed that enables the ministry, the regulator, the trust fund and the water utility to track the status

Substantiate the effectiveness of innovative approaches within the framework of monitoring.

Case study

Definition

CONTINUED

of water and sanitation service provision. The population is also kept up-to-date on progress. In 2014, 1.8 million people had improved access to water and 120,000 had better access to sanitation services. The investment costs for cost-effective supply by water kiosks amount to EUR 12 per user. With this IT database, the Kenyan Government was able to keep the population informed and to stimulate interest in the concept through the 'strategic dialogue'. It was also a useful tool for encouraging the donor community to participate in the trust fund.

Monitoring also played a key role in horizontal scaling-up, with water kiosks initially being set up with selected utilities. These sub-contracted local bricklayers routinely checked the construction and operation of the kiosk. A survey was carried out following commissioning.

It showed that originally, eight out of every ten people used surface water (rivers, wells or springs) for drinking water. 88% of them had switched over to water kiosks because of improved water quality, shorter waiting times, better hygiene at home and a significant reduction in the cost of drinking water. The result of the survey was discussed with numerous water utilities, the trust fund and government representatives so as to raise awareness of the opportunities offered by the approach and to bring additional stakeholders on board. The trust fund's invitations to tender were assessed for efficiency and implementation, and operations were reviewed. Suppliers operating poorly-run kiosks are blacklisted and funding stopped.

- › Verification of results to ensure accountability vis-à-vis the population and donors
- › Data collection to verify and assure quality and to persuade people to come on board

Standards and manuals

Following on from the initial success, the trust fund set about defining standard processes. A toolkit for urban water supply was developed in order to safeguard the quality of water supply and the cost-effective operation of water kiosks.

Describe the necessary process steps and tools in manuals and standards.

Case study

Definition

CONTINUED

During site visits, trust fund representatives agreed on regulations with the local water utilities. These regulations were set down in technical drawings for planning and construction and in guidelines on operating and monitoring water kiosks. The resulting standard processes have been further developed and improved over the years.

- › Standards for construction and for a model for operating water kiosks are documented in a toolkit

Replication structures and incentive mechanisms

Once standard processes were developed, the trust fund's first invitation to tender for public water utilities was issued. The fear that not enough water utilities would participate proved unfounded, with 20 local suppliers submitting proposals. Most of the participants were small and medium-sized utilities, as they rarely had access to donor funding. The trust fund selected ten good proposals for the first stage.

Following implementation, 62 water kiosks had been set up in different parts of Kenya, providing water to an additional 160,000 people. Demand for more water kiosks gradually increased as a result. Since 2009, nine more tenders have been issued. 70 utilities have participated in all, successfully implementing 250 investment measures, including the construction of water kiosks and toilets.

The pro-poor focus of the trust fund was the key factor in some donors deciding to contribute to funding. Initially, there was some doubt as to whether water kiosks would deliver the absorptive capacity that donors expected.

- › Low-threshold, cost-effective approach with well-documented standards
- › Water utilities specialised in supplying unplanned settlements via a trust fund
- › Financing mechanism clearly focused on poor areas in order to persuade the donor community to fund the 'last mile'

Institutions must be able to shape change processes (training and organisational development).

Develop incentive and replication mechanisms that extend above and beyond regulatory approaches.

Case study

Definition

Communication and networking

At the start, there was no information available on the rate of water connections or on the public's opinion of the quality of water supply and sanitation services. It was therefore only possible to set a policy agenda and to make decisions based on sound data once a monitoring system had been set up and data collection had started. Furthermore, the water ministry entered into a strategic dialogue with public-sector stakeholders and this underpinned assessment of the pilot project, replication of activities and their mainstreaming in the water sector in Kenya. NGOs that had been using informal water utilities for some time were also involved in this context. A strong level of acceptance, the public's willingness to pay for water and the high usage of kiosks won them over.

Successful implementation, improved services and the sustainability factor eventually convinced other water utilities to follow suit.

Kenyan experts now act as a point of contact for enquiries from neighbouring countries interested in pursuing the water kiosk approach. Interest in the Kenyan experience has bolstered support for scaling-up and broad impact, and for its practitioners.

This in turn encourages practitioners to identify the results achieved and to continually reflect on the lessons learned.

- › Using monitoring data to underpin the selection of policy priorities
- › Involving all stakeholders in strategic communication in the sector
- › Attracting attention at the regional level and sharing lessons learned with other countries

Incorporate key actors and population groups through information, communication and networking.

Scheduling and budgeting

As they were involved early on, the key Kenyan actors soon became active players in the scaling-up process. They took the time they needed to engage in dialogue and develop new ideas, and GIZ provided advice and support. The trust fund provided a cost-effective financing mechanism for water and sanitation services that was pro-poor and tailored to the conditions in Kenya.

- › Own speed, geared to the reality in the sector
- › Appropriate, lean financing mechanism

Provide adequate financing and allow sufficient time.

As we can see, all of the key success factors played a role in implementing the scaling-up process in Kenya. The role the different success factors have in scaling-up processes varies. A particular success factor may not come into play at all in some cases. A certain amount of adaptation is involved,

against the backdrop of the realities in a given cooperation system.

The next section outlines the links between the key success factors and GIZ's standards for preparing and implementing projects.

3. Scaling-up in commission management

3.1 Incorporating scaling-up into the preparation of TC measures

In order to be successfully scaled up, projects must incorporate the idea of scaling-up to achieve broad impact from start to finish. In other words, scaling-up starts at the design stage (when the project objective is defined) and should therefore be discussed with partners from the outset. Above all, it is important to take a critical look at scaling-up potential in a particular area of social concern early on when a new project is being appraised or when a project evaluation is conducted together with an appraisal of a follow-on measure.

In 2014, GIZ updated its guidelines on the methodological procedures to be applied in project evaluations and appraisals. The strategy loop used in GIZ's Capacity WORKS management model can be used for guidance on the steps that need to be carried out in a strategy process to ensure that a future project is the right 'fit' for the reality of the partner system.

The question of scaling-up can be addressed at different points in the process, and this ensures that the key success factors can be included in the project strategy at the planning stage.

The strategy loop

The following figure provides a quick overview of the system and tools that can be used to develop a strategy. The first step involves analysing the current situation (1). Looking at societal patterns and trends, relevant actors and their incentive systems and describing the existing processes provide different perspectives on the reality of the partner system. An analysis of the strengths, weaknesses, opportunities and threats (SWOT) is then carried out to summarise and assess the findings.

On this basis, options are devised, outlining how the future project could proceed (2).

These options are then systematically assessed and the most appropriate strategic approach is selected (3).

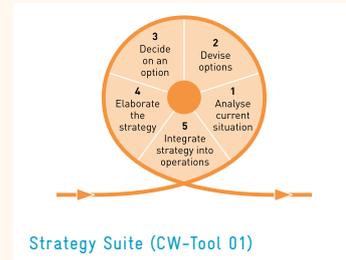
This option is visualised in a results model and a capacity development strategy is elaborated (4). The results matrix, results-based monitoring, the plan of operations and the steering structure are then all devised on this basis (5). The entire process is carried out in close collaboration with current and potential partners on site together with local experts.

Key success factor

Tools

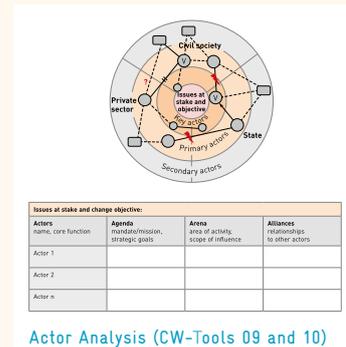
Incorporate scaling-up into planning

During the entire appraisal/evaluation process, the focus of strategy development is on the potential for scaling-up. This relates to the project’s objectives, the relevant actors and their capacities, to risks and the identification of suitable funding strategies. A broad and inclusive strategy process should be put in place to sustainably mainstream scaling-up and ensure that any staff turnover – either in the partner system or locally at GIZ – can be bridged through broad support. For example, the use of ‘patrons’ from academia, politics and society to champion reform has proven particularly worthwhile when implementing the scaling-up process. Their standing and legitimacy can be used during the scaling-up process.

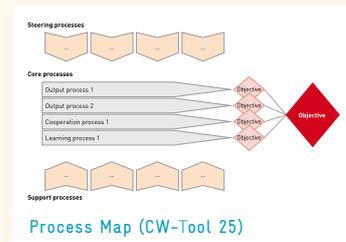


Ownership by the key actors

In order for scaling-up processes to be successful, all stakeholders need to be involved in an appropriate manner from the start, even if they only play a key role at a later stage. **Actor Analysis** takes explicit account of this factor. Key questions in this context include: What incentive systems are there that could promote or hamper scaling-up? What relationships already exist between the partners that could be relevant to the scaling-up process? What relationships need to be developed in this regard? Which partners need to be closely involved during the planning phase in order to foster a sense of ownership of future roles? Here, it is important to examine carefully whether partners have been assigned suitable mandates.



The **Process Map** visualises processes in the relevant area of social concern. Analysing processes from a scaling-up perspective draws attention to the processes that need to be replicated or created from scratch if broad impact is to be achieved. Are all of the steering processes required for scaling-up already in place?



What core processes would scaling-up affect? Are different/new support processes needed? Using **Societal Patterns and Trends** often reveals factors that impede ownership for cultural, political or religious reasons. Are there specific rules (in terms of policy) that impede/promote scaling-up? Are there any beliefs that pose a risk to scalable innovations? Have any scaling-up initiatives already been conducted? What factors contributed to their success/failure?

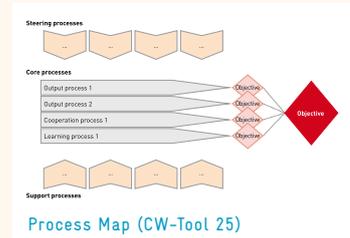


Key success factor

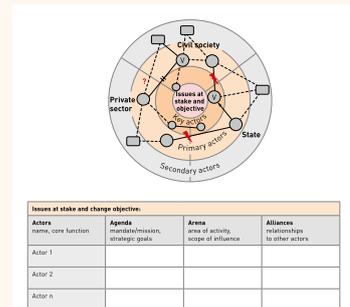
Tools

Multi-level approach

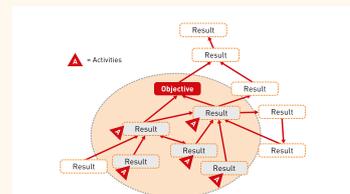
Combining activities at the micro, meso and macro levels has proven particularly useful in scaling-up: Good experiences at the micro level are picked up at the macro level and are mainstreamed through the introduction of standards and policies. The key question here is therefore whether all of the levels that are relevant for scaling-up have been taken into consideration? The **Process Map**, **Actor Analysis**, Results Model and **Capacity Development Strategy** are the main tools that take the relevant levels into account. It may be helpful to work on the tools for each individual level separately so as to get a good picture of what action is most appropriate. GIZ's toolbox also allows users to use individual tools at different levels on a coordinated basis in order to unleash their particular strengths and leverage the true scaling-up potential.



Process Map (CW-Tool 25)



Actor Analysis (CW-Tools 09 and 10)



Results Model (CW-Tool 07)

Phase from xxx to xxx	CB matrix			
	Individuals	Organizations	Society	
Strengths, weaknesses, opportunities, threats (SWOT) in the area of social concern	Competence development	Organizational development	Development of cooperation systems	Development of enabling frameworks
Intended capabilities				
Activities and hypotheses				
Interaction with the other levels				
Complementary activities by other project/actors in the same line of action				

Capacity Development Strategy (CW-Tool 08)

Verification of results

GIZ's results-based monitoring system (RBM) assists in identifying and substantiating successful innovations in projects, in making robust selection decisions and in meeting accountability obligations to a satisfactory degree. Corresponding measures to set up and run an RBM system therefore need to be incorporated into the **Capacity Development Strategy**.

Phase from xxx to xxx	CB matrix			
	Individuals	Organizations	Society	
Strengths, weaknesses, opportunities, threats (SWOT) in the area of social concern	Competence development	Organizational development	Development of cooperation systems	Development of enabling frameworks
Intended capabilities				
Activities and hypotheses				
Interaction with the other levels				
Complementary activities by other project/actors in the same line of action				

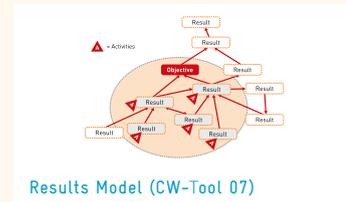
Capacity Development Strategy (CW-Tool 08)

Key success factor

Tools

Standards and manuals

Developing and mainstreaming standards and manuals is a vital element of preparing a scaling-up process in order to ensure that innovations can be replicated. These should be explicitly reflected in the **Results Model** and in the **Capacity Development Strategy**.



Results Model (CW-Tool 07)

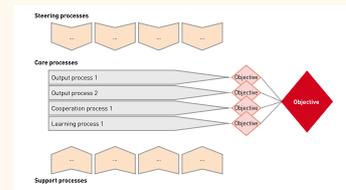
Phase from xxx to xxx	Individuals	Organisations	Society
	Competence development	Organisational development	Development of cooperation systems
Strengths, weaknesses, opportunities, threats (SWOT) in the area of social concern			
Intended capacities			
Activities and hypotheses			
Interaction with the other levels			
Complementary activities by other protagonists in the same line of action			

Capacity Development Strategy (CW-Tool 08)

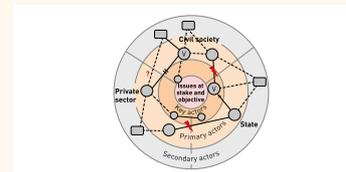
Replication structures and incentive mechanisms

The **Process Map** assists in identifying replication structures within an area of social concern. What processes are already in place to scale up an innovation? What processes need to be introduced? Which do not?

The **Actor Analysis** provides a targeted overview of the incentive systems for relevant actors in the scaling-up process. The **Capacity Development Strategy** takes a look at the need for change at the levels of individuals, organisations, cooperation arrangements and the policy framework in order to achieve broad impact. The changes required are incorporated into the **Results Model**.



Process Map (CW-Tool 25)

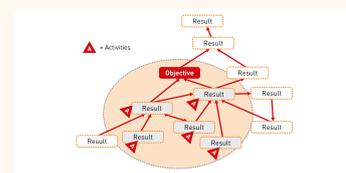


Actors	Agents	Arms	Alliances
name, core function	mission/vision, strategic goals	area of activity, scope of influence	relationships to other actors
Actor 1			
Actor 2			
Actor n			

Actor Analysis (CW-Tools 09 and 10)

Phase from xxx to xxx	Individuals	Organisations	Society
	Competence development	Organisational development	Development of cooperation systems
Strengths, weaknesses, opportunities, threats (SWOT) in the area of social concern			
Intended capacities			
Activities and hypotheses			
Interaction with the other levels			
Complementary activities by other protagonists in the same line of action			

Capacity Development Strategy (CW-Tool 08)



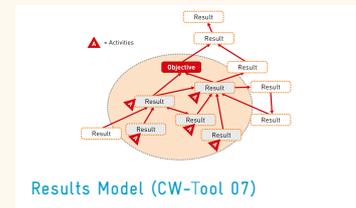
Results Model (CW-Tool 07)

Key success factor

Tools

Communication and networking

For scaling-up to succeed, broad and inclusive support is required from key actors and sectors of the population. Are the changes that affect communication and networking mapped out in the **Results Model** and in the **Capacity Development Strategy**?



Results Model (CW-Tool 07)

Phase from xxx to xxx	Individuals	Organizations	Society
Strengths, weaknesses, opportunities, threats (SWOT) in the area of social careers			
Intended outcomes			
Activities and hypotheses			
Interaction with the other levels			
Complementary activities by other project/actors in the same line of action			

Capacity Development Strategy (CW-Tool 08)

Scheduling and budgeting

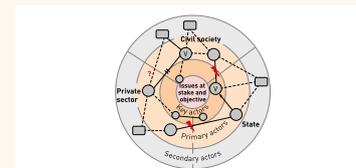
Project timelines are often too ambitious and out of step with the pace of reform in partner countries. It is therefore crucially important to develop a joint strategy in order to obtain a shared and realistic overview of what is feasible in the available time frame. Specific windows of opportunity should also be identified and leveraged.

For example, the launch of sector reforms or of new political initiatives can be a good juncture at which to identify scaling-up processes.

The **Actor Analysis** focuses on the following questions: What financial resources are needed by which actors in order to fulfil the role allocated to them in the scaling-up process?

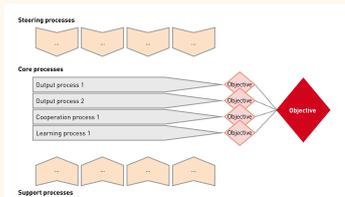
What other sources of funding could be tapped into (e.g. donors, foundations)?

Steering processes are just one of the elements included in the **Process Map** and include the provision of funding (e.g. from the government budget). Key questions here include: Is a budget line already in place for financing scaling-up of the relevant service? Is this funding sufficient? Are there funding mechanisms to safeguard the availability of finance for other stakeholders? Are there any viable alternatives?



Actors (name, core function)	Areas (responsibility, strategic goals)	Areas (area of activity, scope of influence)	Alliances (relationships to other actors)
Actor 1			
Actor 2			
Actor n			

Actor Analysis (CW-Tools 09 and 10)



Process Map (CW-Tool 25)

Establishing a link between strategy development and the key success factors ensures that

- › ownership by the key actors
- › a multi-level approach
- › replication and incentive mechanisms and
- › scheduling and budgeting

are already taken into account in step 1 of the strategy loop ('Analyse the current situation').



3.2 Incorporating scaling-up into the implementation of TC measures

Combining the key success factors with the binding minimum standards for project implementation will help ensure that the scaling-up strategy is implemented successfully. Six Capacity WORKS tools were introduced in August 2013 on the basis of the cross-departmental Management Board initiative 'Systematising quality assurance in line management'. They are:

The key success factors

- › verifying results
- › developing standards and manuals
- › engaging in communication and networking

are taken into account above all in step 4 of the strategy loop ('Elaborate the strategy') – in both the results model and in the capacity development strategy – by formulating results and measures.

In terms of implementing the strategy process at a practical level, it is useful to have an overview of the specific questions that are relevant for scaling-up, tool-by-tool. The chapter 5.1 of these guidelines contains a planning checklist that outlines these questions.

Actor Analysis (CW-Tools 09+10)

- › Results Model (CW-Tool 07)
- › Capacity Development Strategy (CW-Tool 08)
- › Plan of Operations (CW-Tool 24)
- › Results-Based Monitoring (CW-Tool 22)
- › Steering Structure (CW-Tool 20)

The first three tools are incorporated into the strategy loop for planning projects; the other three are only relevant for implementation.

CW-Tool 30 (Scaling-Up) provides a useful overview of the different factors involved. It will help you decide whether a scaling-up process is a viable option in an ongoing project.

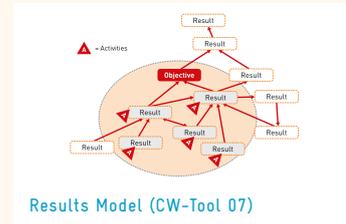
The following table shows how the Capacity WORKS tools help take into account the key success factors for scaling-up when implementing projects:

Key success factors

Tools

Multi-level approach

The decision on the project engagement levels is usually made during the appraisal of a new/follow-on project and is laid down in the **results model** or **capacity development strategy**. Does the strategic orientation need to be further developed in order to accommodate a multi-level approach? Has the strategy description been modified?



Results Model (CW-Tool 07)

Phase from xxx to xxx	Individuals	Organisations	Society
Competence development			
Organisational development			
Development of cooperation systems			
Development of enabling frameworks			

Capacity Development Strategy (CW-Tool 08)

Verification of results

Results-based monitoring is a key steering task in a project during a scaling-up process. As part of results-based monitoring, are the relevant data collected

- on the degree of impact achieved?
- to identify best practices?
- to make sound steering decisions?
- to encourage dialogue with the actors involved?
- to safeguard accountability (e.g. timeline and budget)?
- to verify the effectiveness of our communication and networking?

Process steps	Explanations what leads to the result?
1	Define the results model according to the scope and content of the project, the results, the time frame, the impact, the resources, the objectives and the activities.
2	Verify the responsibility to be used by the RRF actors.
3	Main results, milestones, and key activities.
4	Define the monitoring system for the RRF that the donor or host-organism and other stakeholders can use.
5	Collect and analyse data.
6	Use RRF results for steering, improvement and adaptation.

Results-Based Monitoring (CW-Tool 22)

Plan of operations - Planning period	Start of measures						
Activity	Indicator	Schedule	Region	Personnel	Cost of materials	Other costs	Comments

Knowledge Management (CW-Tool 24)

The resources available and the individuals responsible for monitoring are laid down in the **Plan of Operations**.

In addition to the dimension of achieving broad impact, the system GIZ uses to monitor effectiveness should also incorporate scaling-up indicators (horizontal, vertical and functional). In some cases, additional (context-specific) indicators can be developed for fields of observation that are particularly relevant yet outside GIZ's sphere of influence, and these indicators should be systematically reviewed. If measured values are not available at the impact level, then plausible estimates should be used. The main objective here is to outline the contribution that GIZ has made to achieving results.

Key success factors

Tools

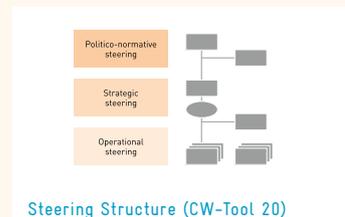
Standards and manuals

The clear and easy-to-read documentation and illustration of pilot projects in manuals provides a key basis for developing standards and safeguarding quality when scaling-up innovations. Is this labour-intensive and time-consuming task taken into account in the **plan of operations**? **CW-Tool 24 Knowledge Management in Projects** helps identify relevant, experiential knowledge and to analyse it in an appropriate manner.

Plan of Operations (CW-Tool 24)

Replication structures and incentive mechanisms

The **steering structure** needs to include representatives of all of the stakeholder groups involved in the different levels of scaling-up in order to ensure that everyone's needs are taken into account and that all of the structures used to replicate innovations (e.g. at the micro, meso and macro level) are mapped. What forms of participation were chosen to incorporate the stakeholders? Are they appropriate?



Does the **results-based monitoring** system ensure that information on the progress made in terms of impact is collected and assessed at routine intervals and that incentive mechanisms and their effectiveness are also reviewed?

Results-Based Monitoring (CW-Tool 22)

Communication and networking

Targeted investment in awareness-raising programmes and communication strategies plays a key role in successful scaling-up. Building networks that revolve around the scaling-up processes also opens up replication channels and can create new potential contacts for achieving broad impact. **CW-Tool 14 Networks: Strengthening Relationship Potentials** supports this task. It is important not to underestimate the lead time required for communication and networking or for the financial resources involved.

Plan of Operations (CW-Tool 24)

The following elements therefore need to be examined: Are the corresponding responsibilities allocated in the **plan of operations** and have appropriate financial and human resources been allocated? Does the **results-based monitoring system** capture the results generated by the measures during the process?

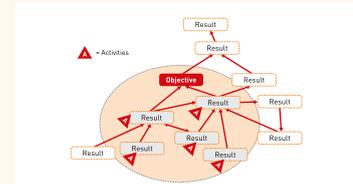
Results-Based Monitoring (CW-Tool 22)

Key success factors

Tools

Scheduling and budgeting

A decision on the timeline and funding available is usually made when a new project or follow-on measure is being appraised. The schedule and budget are reflected in the **results model** or **capacity development strategy**. Are any necessary changes to the timeline or funding made and are they documented accordingly?



Results Model (CW-Tool 07)

CD matrix Focus (Overall project, line of action, etc.)				
Phase from xxx to xxx	Individuals	Organisations	Society	
	Competence development	Organisational development	Development of cooperation systems	Development of enabling frameworks
Strategic, weak-nesses, oppor-tunities, trends (SWOT) in the area of social concern				
Identified capacities				
Activities and businesses				
Interaction with the other levels				
Complementary activities by other project/actors in the same line of action				

Capacity Development Strategy (CW-Tool 08)

The targeted process of the key success factors with the tools outlined in the binding minimum standards ensures that scaling-up is integrated into implementation and into the project's strategy.

Having the questions for scaling-up close to hand when using the tools described above will

prove useful. We have therefore included them in a checklist attached in the chapter 5.2 in these guidelines.

Good luck. And don't forget to celebrate your success!

4. Links

Capacity WORKS on the [intranet](#)

Guidelines for [appraisals](#) and [project evaluations](#)

5. Checklists

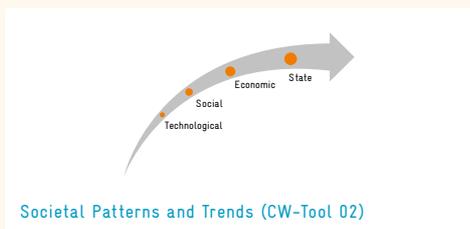
The following checklists can be extracted and used as an inspiration for the planning (pages 31 and 32) and implementation (pages 33 and 34) of technical and international cooperation projects.

5.1 Checklist for the planning of TC measures

Capacity WORKS-tools

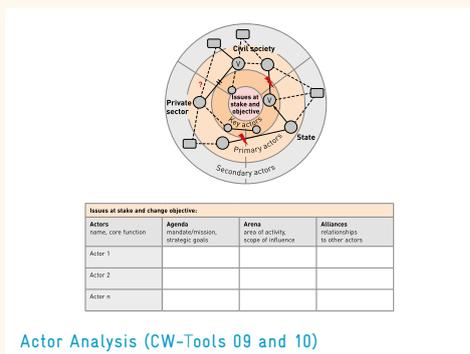
Scaling-up perspective

02 Societal Patterns and Trends



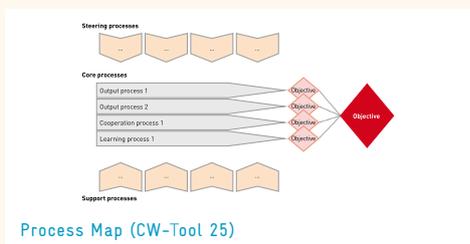
Are there specific rules (in terms of policy) that impede/promote scaling-up? Are there any beliefs that pose a risk to scalable innovations? Have any scaling-up initiatives already been conducted? What contributed to their success/failure?

09 Map of Actors + 10 Actor Profiling (4 A's Matrix) (= actor analysis)



What actors already play a role in scaling-up or will do so in future? What levels (micro, meso, macro) are relevant for scaling-up? What incentive systems are there that could promote or hamper scaling-up? What relationships already exist between the partners that could be relevant to the scaling-up process? What relationships need to be developed in this regard? Which partners need to be closely involved during the planning phase in order to foster a sense of ownership of future roles? What resources are needed by which actors in order to fulfil the role allocated to them in the scaling-up process? What other sources of funding could be tapped into (e.g. donors, foundations)?

25 Process Map

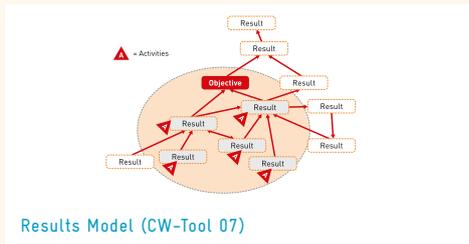


What processes are already in place to scale up an innovation? What issues are outside our remit? Are all of the steering processes required for scaling-up already in place? What core processes would be affected by scaling-up (i.e. output/cooperation and learning processes)? Are different/new support processes needed? Who would need to be involved? Is a budget line already in place for financing scaling-up of the relevant service? Is this funding sufficient? Are there funding mechanisms to safeguard the availability of finance for other stakeholders? Are there any viable alternatives?

Capacity WORKS-tools

Scaling-up perspective

07 Results Model



Results Model (CW-Tool 07)

What changes (at the level of individuals, organisations, cooperation arrangements and the policy framework) are required in order to achieve broad impact?

08 Capacity Development Strategy

CD matrix Focus: Overall project, line of action, etc./				
Phase from xxx to xxx	Individuals Competence development	Organisations Organisational development	Society Development of cooperation systems Development of enabling frameworks	
Strengths, weaknesses, opportunities, threats, SWOT in the area of social concern				
Intended capacities				
Activities and hypotheses				
Interaction with the other levels				
Complementary activities by other professionals in the same line of action				

Capacity Development Strategy (CW-Tool 08)

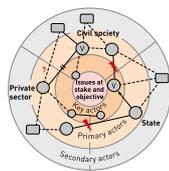
In addition to the measures already planned in the project, this documents the measures needed to foster the key success factors for scaling-up.

5.2 Checklist for the implementation of TC measures

Capacity WORKS-tools

Scaling-up perspective

09 Map of Actors + 10 Actor Profiling (4 A's Matrix) (= actor analysis)

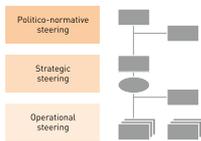


Issues at stake and change objective:			
Actors	Agenda	Area	Alliances
name, core function	mandate/mission, strategic goals	area of activity, scope of influence	relationships to other actors
Actor 1			
Actor 2			
Actor n			

Actor Analysis (CW-Tools 09 and 10)

What actors already play a role in scaling-up or will do so in future? What levels (micro, meso, macro) are relevant for scaling-up? What incentive systems are there that could promote or hamper scaling-up? What relationships already exist between the partners that could be relevant to the scaling-up process? What relationships need to be developed in this regard? What resources are needed by which actors in order to fulfil the role allocated to them in the scaling-up process? What other sources of funding could be tapped into (e.g. donors, foundations)?

20 Steering Structure



Steering Structure (CW-Tool 20)

How actively involved are the relevant actors? To what degree are the decisions and agreements documented in the capacity development strategy and in the plan of operations adhered to? To what extent are accountability obligations complied with – both in terms of the requirement to provide information and of requesting information as part of results-based monitoring?

22 Results-Based Monitoring System

Process steps	Explanations (What needs to be done?)
1 Lesson learnt for each actor	<ul style="list-style-type: none"> Identify the results most important to them from set of results based on own Identify the results most important to them from set of results based on own Identify the results most important to them from set of results based on own Identify the results most important to them from set of results based on own
2 Link the requirements to be met by the RRM system	<ul style="list-style-type: none"> Identify and assess stakeholders in strategy and steering decisions Identify and assess stakeholders in strategy and steering decisions Identify and assess stakeholders in strategy and steering decisions Identify and assess stakeholders in strategy and steering decisions
3 Identify results measures	<ul style="list-style-type: none"> Identify results measures Identify results measures Identify results measures Identify results measures
4 Detailed monitoring planning and steering RRM tool	<ul style="list-style-type: none"> Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool
5 Collect and analyze data	<ul style="list-style-type: none"> Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool
6 Use RRM results	<ul style="list-style-type: none"> Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool Identify the results measures for all indicators and for steering in the RRM tool

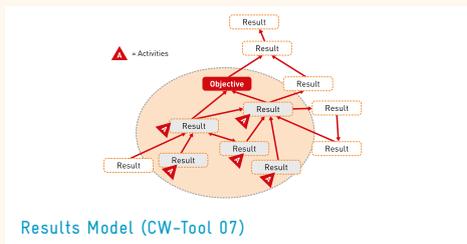
Results-Based Monitoring (CW-Tool 22)

As part of results-based monitoring, are the relevant data collected to... identify best practices? make sound steering decisions? encourage dialogue with the actors involved? safeguard accountability (e.g. timeline and budget)? verify the effectiveness of our communication and networking?

Capacity WORKS-tools

Scaling-up perspective

07 Results Model



Results Model (CW-Tool 07)

What changes (at the level of individuals, organisations, cooperation arrangements and the policy framework) are required in order to achieve broad impact? Steps of change located outside the cooperation system’s area of responsibility are less susceptible to influence, but are in the interests of the projects. Risks and assumptions, hypotheses and results depicted as being ‘outside’ the area of responsibility are usually not assigned indicators. Instead, they are continuously monitored as ‘fields of observation’. If a field of observation is deemed particularly relevant, additional (contextual) indicators can be developed that are systematically reviewed as part of results-based monitoring (see above).

08 Capacity Development Strategy

CD matrix Phase: Overall project, line of action, etc./				
Phase from xxx to xxx	Individuals	Organisations	Society	
	Competence development	Organisational development	Development of cooperation systems	Development of enabling frameworks
Strengths, weaknesses, opportunities, threats, SWOT in the area of social concern				
Intended capacities				
Activities and hypotheses				
Interactions with the other levels				
Complementary activities by other project/factors in the same line of action				

Capacity Development Strategy (CW-Tool 08)

In addition to the measures already planned in the project, this documents the measures needed to foster the key success factors for scaling-up.

24 Plan of Operations

Plan of operations - Planning period																	
Results/line of action/level package											Use of resources						
Activity	Indicator/ target/ results	Schedule											Personnel (other personnel - other personnel)	Cost of material	Other costs	Comments	
		J	F	M	A	M	J	J	A	S	O	N	D	Personnel (other personnel)	Cost of material	Other costs	Comments

Plan of Operations (CW-Tool 24)

Is the allocation of responsibilities/the time inputs/personnel resources required agreed in terms of... work required at the different levels within the framework of a multi-level approach? ...results-based monitoring? ...developing standards and manuals? ...engaging in communication and networking?

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