

MAINSTREAMING SCALING INITIATIVE

Mainstreaming Tracking Tool

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A Tool for Assessing Organizational Progress in Mainstreaming
Scaling: The Mainstreaming Tracking Tool

WORKING PAPER

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Preface

In January 2023, the [Scaling Community of Practice](#) (CoP) launched a three-year action research initiative on mainstreaming scaling in funder organizations. This initiative has three purposes: to inform the CoP members and the wider development community of the current state of support for and operationalization of scaling in a broad range of development funding agencies; to draw lessons for future efforts to mainstream the scaling agenda in the development funding community; and to promote more effective funder support for scaling by stakeholders in developing countries. (For further details about the Mainstreaming Initiative, see the [Concept Note](#) on the COP website).

For the purpose of this initiative, scale is defined as sustainable impact at a significant share of the need, demand, or problem. Scaling is the process of reaching scale. Mainstreaming of scaling is defined as the systematic consideration by the funder of the scaling process in the appraisal of a project, in the decision to fund it, and in the monitoring and evaluation of the project's implementation.

The Mainstreaming Initiative is jointly supported by Agence Française de Développement (AFD) and the Scaling Community of Practice (CoP). The study team is co-led by Larry Cooley (Co-Chair of the Scaling CoP), Richard Kohl (Lead Consultant) and Johannes Linn (Co-Chair of the Scaling CoP), and supported by Charlotte Coogan (Consultant and Program Manager of the Scaling CoP) and Ezgi Yilmaz (Junior Consultant). MSI staff provide administrative and communications support, in particular Gaby Montalvo and Leah Sly.

The principal component of this research is a set of case studies of the efforts to mainstream scaling by selected funder organizations. These studies explore the extent and manner in which scaling has been mainstreamed, and the major drivers and obstacles. The case studies also aim to derive lessons to be learned from each donor's experience, and, where they exist, their plans and/or recommendations for further strengthening the scaling focus. Preliminary findings of an initial set of 13 case studies are summarized in the [Interim Synthesis Report](#) and [Policy Brief](#) (both June 2024).

This paper develops and presents a tool designed to help funder organizations track the progress they are making with mainstreaming scaling in their organizations. The paper was prepared by Richard Kohl (Strategy and Scale LLC). The paper is based on a review of the literature in international development in several areas: assessing organizational development and change, the institutionalization phase of scaling; and the case studies and synthesis documents of mainstreaming scaling that have been produced by the SCoP Mainstreaming Initiative.

Comments on this working paper are welcome and should be addressed to Richard Kohl at richardkohl@strategyandscale.com by 28 February 2025.

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Table of Contents

Preface.....	2
Table of Contents.....	3
Executive Summary.....	4
Acronyms and Abbreviations.....	6
I. Introduction.....	7
Box 1. Definition of Mainstreaming.....	7
Box 2. Transformational and Transactional Scaling.....	8
II. Methodology, Source and Proposed Categories.....	9
Methodology and Sources.....	9
Box 3. Good Scaling Principles.....	10
Box 4. Categories of Mainstreaming found in Case Study Templates.....	10
Table 1. Summary of Organizational Capacity, Change and Development Tools.....	12
Table 2. Potential Mainstreaming Elements from Two Sources Mapped onto Organizational Development Categories.....	13
III. Proposed Elements and Criteria for a Mainstreaming Tracking tool.....	14
A. Scaling Elements, Definitions and Criteria.....	16
B. The Proposed Mainstreaming Tracking Tool (MTT).....	19
IV. Applications of the Mainstreaming Tracking Tool.....	27
Annex I. Good Scaling Practices.....	29
Annex II. Mainstreaming Case Study Guiding Questions Template.....	33
A. Brief description of the organization (1-2 pages at most).....	33
B. Principal drivers of Mainstreaming.....	33
C. Vision, Goals and Definitions for Mainstreaming Scaling.....	34
D. Roles in Mainstreaming.....	35
E. Concrete Goals and Scope of Mainstreaming Scaling.....	35
F. What have been the results of efforts to Mainstreaming Scaling to date.....	37
G. What does the organization perceive as the future on its scaling journey?.....	37
H. Lesson Learned on Mainstreaming Scaling for.....	37



Executive Summary

In Fall 2023 the Scaling Community of Practice (SCoP) launched a three year action research initiative to study how organizations working in international development, principally funders, mainstream international development – a “Mainstreaming Initiative”. In the course of this effort, it became clear that organizations interested in mainstreaming scaling could benefit from a number of tools to support those efforts. In that context, the SCoP decided to commission a Mainstreaming Tracking Tool (MTT). This tool has several potential uses: (i) assess the current state of mainstreaming within the organization; (ii) set organizational goals for future mainstreaming; (iii) monitor progress in mainstreaming; (iv) inform the substance of a mainstreaming strategy; and (v) help promote a shared understanding and vision of mainstreaming process and goals among internal actors and external stakeholders.

The MTT proposed in this paper is made up of two assessment matrices incorporating key elements of mainstreaming plus five stages of progress from No to Full Mainstreaming. The first matrix is of five framing and enabling elements and the second matrix is of seven operational and implementation elements. The five cells for each element contain criteria for assessing where an organization is in that progression. The elements and criteria were derived principally from three sources: the SCoP’s work on scaling principles and practices – good scaling practice; factors identified as important to mainstreaming by the aforementioned case studies and synthesis paper; and similar tools found in the international development literature, particularly institutionalization trackers for scaling itself. Despite the fact that two of the sources focus on scaling, this tool applies to mainstreaming and not scaling.

The MTT is designed and intended to be used by funding organizations – official donors, foundations, vertical funds and impact investors -- working in international development regardless of the countries and sectors in which they work. (Other international development organizations may find it of interest as well). As such, it is set at a high level of generality. It can be applied either as an internal self-assessment exercise or by external evaluators. In the former case, it is recommended that this be done via a multi-day workshop with professional facilitation and broad internal participation.

In actual application organizations that wish to apply the MTT should adapt it for their intended use and purposes. This includes adding, eliminating or modifying specific elements and their associated criteria, modifying the contents of specific cells, or changing the number of stages/phases included. In using the MTT, its elements, cell contents and wording should all be reviewed, adapted and agreed upon by potential users before the tool is actually employed. Where it is applied through an internal self-assessment process with broad staff involvement, the adaptation of the tool should itself be participatory.

To the best of our knowledge, the MTT is the first tool designed specifically to track and assess progress in mainstreaming scaling. By comparison, institutionalization trackers for scaling are used to assess progress in the last stage of scaling, where organizations are adopting and integrating an innovation or intervention at large scale. Mainstreaming is integrating scaling into



funder organizations, often multilateral or bilateral donors or foundations. Institutionalization is about integrating an intervention into one or more implementing organizations that are usually domestic actors, public or private.

It is hoped that this tool will stimulate the creation of similar and alternative tools that will lead others to improve on this effort, provide viable alternatives or both. It is expected that if and ideally when the MTT is widely applied by multiple and diverse organizations working towards mainstreaming, that experience can be used to revise the MTT to make it better and more useful. In that spirit, as this paper is over thirty pages and provides extensive background as to how the tool was developed, the SCoP expects to produce a much shorter version of this paper that only presents the tool and guidance on how to use it.



Acronyms and Abbreviations

EM	Emerging Mainstreaming	OCA	Organizational Capacity Assessment
FM	Fully Mainstreamed	OD	Organizational Development
KPIs	Key Performance Indicators	QA	Quality Assurance
LM	Low Mainstreaming	QI	Quality Improvement
M&E	Monitoring and Evaluation	Reqt.s.	Requirements
MEAL	Monitoring, Evaluation, Adaptation and Learning	SCoP	Scaling Community of Practice
Mgmt.	Management	SDGs	Sustainable Development Goals
MSI	Management Systems International	SM	Significant Mainstreaming
MTT	Mainstreaming Tracking Tool	SVP	Senior Vice-President
NM	No Mainstreaming	USAID	US Agency for International Development



I. Introduction

In 2023 the Scaling Community of Practice (SCoP) launched an action research initiative to study how international development funders have mainstream scaling into their work and operations – a “Mainstreaming Initiative” (see the definition of mainstreaming in Box 1 below). The motivation for this study was three-fold. First, the observation that there is not going to be enough funding available to achieve many of the Sustainable Development Goals (SDGs) by 2030. Second, despite substantial investments in innovations and in investment projects for development over the past fifteen years, a disappointingly few have realized their potential for sustainable impact at scale or addressing developing challenges at the need scale. Third, despite the growing buzz around scaling over the last decade, and some notable examples of successful scaling, in general not enough is being done by the principal development actors– governments, private investors, civil society, and development funders – to pursue scaling systematically.

In that context the objectives of this initiative were to: (i) assess progress to date in mainstreaming scaling into organizations; (ii) develop lessons learned, i.e., ‘good practices,’ as well as identify obstacles and how to anticipate and address them; and (iii) disseminate those lessons to encourage and inform further mainstreaming by interested organizations within the development community writ large. It is important to keep in mind that this entire initiative and all its outputs focus on how to mainstream scaling rather than how to do scaling itself.

Box 1. Definition of Mainstreaming

Mainstreaming scaling means systematically integrating scaling into organizational objectives, strategies, business models, operations, resource allocation, managerial and staff mindsets and incentives with a focus on impact and results, not disbursements and short-term outcomes achieved (or transformational scaling, see Box 2). Organizations that have substantially advanced on mainstreaming have put scaling at the center of the organization or even made it intrinsic to the organization. Mainstreaming scaling is different from scaling itself; it creates within an organization the capacities, capabilities and resources to engage in, fund, and implement scaling, or some combination of the three depending on how the organization sees itself in the relevant scaling ecosystem(s).

As of year-end 2024, the Mainstreaming Initiative has conducted thirteen organizational case studies and counting,¹ published in June 2024 an Interim Synthesis Report and Policy Brief on initial lessons learned based on those studies,² and two other studies. These latter two are (a) how recipients view the challenges of obtaining for scaling funding³ and (b) a review of what extent, and if so how, indicators relevant to scaling have been integrated Monitoring and Evaluation frameworks commonly used in international development.⁴ For 2025, the Mainstreaming Initiative is targeting the preparation of another ten or more case studies, especially focusing on

¹ Those studies can be found at <https://scalingcommunityofpractice.com/resources/case-studies/>

² See <https://scalingcommunityofpractice.com/resources/summary-reports/>

³ See <https://scalingcommunityofpractice.com/how-funder-practices-affect-funding-recipients/>

⁴ This study can be found at <https://scalingcommunityofpractice.com/resources/evaluation/>



foundations, with the anticipation of creating a final report in by Fall 2025. The last third of 2025 will be devoted to dissemination to spread lessons learned and advocacy work to encourage greater adoption and mainstreaming of scaling practices.

In the course of this work, it has become apparent that organizations interested in mainstreaming scaling would benefit from a framework, tools and guidance on what and how to mainstream.⁵ As a first step towards creating a mainstreaming toolkit, this paper offers a framework and set of indicators for tracking progress on mainstreaming, or a Mainstreaming Tracking Tool (MTT). This tool is intended to be used for four purposes: (i) conducting a moment-in-time assessment or stocktaking as to where an organization is on mainstreaming scaling; (ii) setting goals as part of creating a mainstreaming strategy; (iii) and tracking progress in implementing those goals; and (iv) communicating its work and progress on mainstreaming to internal and external stakeholders. While the framework, indicators and criteria proposed here are meant to be generally applicable, it should be noted that any potential user will need to adapt and customize them for their particular situation and purposes.

As discussed in more detail in the rest of this paper, the MTT draws primarily on the lessons learned from the mainstreaming case studies and on good scaling practices and principles identified by the SCoP in its paper on Scaling Principles and Practices (see Box 3 several paragraphs below.⁶) Particularly important is that all this work uses as a definition of scaling Transformational as opposed to Transactional Scaling, as described in Box 2 below.

Box 2. Transformational and Transactional Scaling⁷

Transformational scaling can be understood in contrast to transactional scaling. Transactional scaling is usually about doing “MORE,” having bigger projects, additional money or greater resources that cover more locations or people, and usually both. Transactional scaling builds on a projectized view of development that focuses on disbursements, intermediate outputs, and effect within limited project lifetime, which may or may not sustainable.⁸ Impact is measured by a

⁵ This might include a strategic framework to guide and inform mainstreaming strategies, similar to those now available for scaling itself, scaling criteria that could be included into all the phases of the project/grantmaking cycle, and tools to support particular aspects of mainstreaming, such as a proposed set of monitoring, evaluation, adaptation and learning (MEAL) indicators that could be used to track progress on scaling (and supplement or be added to existing MEAL frameworks).

⁶ See Richard Kohl and Johannes Linn (2021) Scaling Principles. Scaling Community of Practice. <https://scalingcommunityofpractice.com/scaling-principles/>

⁷ The text in this box is taken from Annex I in Richard Kohl (2025 forthcoming) Mainstreaming Scaling at the African Development Bank: Accomplishments and the Way Forward, Scaling Community of Practice. It relies heavily on Box 5 in Richard Kohl, Johannes Lin and Larry Cooley, (2024) Mainstreaming Scaling in Funder Organizations. An Interim Synthesis Report. Scaling Community of Practice. June. <https://scalingcommunityofpractice.com/mainstreaming-scaling-in-funder-organizations-an-interim-synthesis-report/> and

⁸ In fact, in many cases projects target maximal impact for a given population based on best practices whose unit costs are so high, compared to domestic resources or ability of end users to pay, that they are neither scalable nor sustainable using domestic resources.



project hitting its internal targets, e.g., numbers of beneficiaries affected, i.e., the numerator rather than the denominator of the problem. As such, scaling often takes the form of replication; first building 100 km of roads, then adding another 100 km or building 100 km in other districts or regions. Transactional scaling usually implies no economies of scale or scope. Transactional scaling is problematic not only in that it focuses on outputs rather than outcomes, and that it does not address sustainability of impact. Given the major motivation for scaling is to solve problems at scale without a commensurate increase in current financial resources, transactional scaling alone is incompatible with reaching many if not most of the SDGs.⁹

Transformational Scaling targets the size of the problem; impact is measured in relation to the long-term target. Given this ambition, change is understood to commonly require 10-15 years, often involving a sequence of projects or a programmatic approach where systems change, and greater scale proceed in a synergistic and iterative fashion. In this view, the initial focus is on creating the contextual or environmental foundations for scaling and viable scaling pathways, rather than intermediate outputs. Once the foundations are in place, or concurrently, projects mobilize, enroll, and strengthen viable Doers with the necessary capacity and capabilities to implement at large scale, and Payers who can implement/fund the intervention once external funders exit. Because the capacity and capabilities of the Doer, necessary infrastructure or value chain institutions, or the public enabling environment, may be weak or have gaps, transformational scaling is almost always accompanied by a significant, coherent effort at sustainable systems change (i.e., the supply-side) to address those issues. When the funding model is a private sector one, transformational scaling requires that all actors in the value chain face attractive business models (profitable given risk) and that there is sufficient demand (not just need) from the ultimate payers or end users.

II. Methodology, Source and Proposed Categories

Methodology and Sources

The methodology used to create the MTT draws on four sources. The first source is the SCoP's own work on good scaling practices, as summarized in the following list of thirteen principles in Box 3 and explained in greater detail in Annex I. While these principles were designed for scaling itself, it is important that in the process of mainstreaming scaling organizations integrate these practices and principles.

⁹ Transactional scaling is particularly inappropriate when scaling needs to be combined with systems change to have serious impact and reach scaling. Transactional scaling works when the intervention is "Giving someone fish" or "Teaching someone to fish." It does not work so well when the goal is helping multiple households to start fishing business (requiring not only fishing skills but business skills) and those business need to be embedded in a viable upstream and downstream value chain, necessary infrastructure, and enabling environment to support a viable fishing industry.



Box 3. Good Scaling Principles¹⁰

1. Begin with the end in mind (or building scaling into projects and programmes from the beginning).
2. Adopt a time horizon commensurate with achieving impact at scale (often 10-15 years).
3. Make explicit trade-offs between impact, scale, sustainability and equity, i.e., target optimal scale
4. Integrate systems change and scaling.
5. Align cost at scale with sustainable domestic financial resources.
6. Align internal incentives and stakeholders' interests (political economy) to support scaling.
7. Function as an intermediary or fund organizations/platforms to play that role.
8. Integrate scaling into monitoring, evaluation, accountability and learning (meal) indicators and frameworks.
9. Apply adaptive and flexible management to project implementation (and appropriately adaptable financial instruments).
10. Apply scalability criteria and assessments throughout the project cycle.
11. Create and leverage transformational partnerships that are cost-effective.
12. Modify approaches to risk and definitions of success to support scaling.
13. Identify and enroll leaders and champions to direct and support scaling.

The second source were the templates used to guide the case studies of mainstreaming (an example of which is presented in Annex II), and lessons learned from the aforementioned case studies on mainstreaming scaling. A summary of the questions and topics contained in those templates is presented in Box 4 below.

Box 4. Categories of Mainstreaming found in Case Study Templates

1. What were the drivers of mainstreaming for this organization?
2. To what extent has the organization integrated scaling into its organizational vision, goals and strategy?
3. To what extent does the organization have vision, goals and strategy for mainstreaming itself?
4. To what extent has the organization defined scaling and related terms? Are those definitions and lexicon commonly used and understood within the organization?
5. Where do the organization's definitions, lexicon and approach to scaling, implicit or explicit, fall on the continuum from transactional to transformational scale?
6. Does it include Optimal Scale, i.e., considerations of equity, inclusion and other competing objectives with maximizing scale? Make explicit tradeoffs between multiple objectives?
7. To what extent does the organization see its role or niche within the entire scaling pathway?

¹⁰ This Box is derived from Kohl and Linn (2021), *op cit*.



8. If the organization itself does not see itself as driving or funding scaling (playing the intermediary role), is there an explicit strategy to hand off to others to continue advancing along the pathway to scale? Funding and supporting other organizations as intermediaries?
9. To what extent has the organization developed frameworks, tools and other knowledge products to support scaling internally?
10. To what extent have scaling criteria and guidance been integrated into the project/grant making cycle? Into design, review, quality improvement and approval?
11. To what extent has the organization integrated scaling into its Monitoring, Evaluation, Adaptation and Learning (MEAL) frameworks and indicators? Are scaling indicators actually used in monitoring efforts, evaluations and the creation of learning and knowledge products?
12. To what extent has the organization specifically dedicated funding and other resources to support scaling?
13. Is there some mechanism to provide support and training in scaling guidance, tools and operations to management and staff? A unit that offers technical support for scaling?
14. How is scaling integrated into partnerships with other funding and/or implementing organizations? Especially to hand off to others to continue advancing along the pathway to scale
15. How has the organization worked to change organizational culture and internal incentives to support scaling?

The third source is the literature on organizational change such as organizational development (OD) assessment frameworks. There are a number of OD frameworks in the literature that have been articulated. USAID has published a paper summarizing the literature on this,¹¹ and also has its own Organizational Capacity Assessment (OCA) tool.¹² Table 1 below summarizes the categories or topics that three such tools cover; USAID's OCA, the EDCMA Capacity, Change and Performance,¹³ and the MSI Institutional Development Framework¹⁴ (also developed for USAID). More specifically relevant to scaling are the Institutionalization Trackers found in both the Management Systems International (MSI) toolkit¹⁵ and the Brookings work on scaling

¹¹ The document is Organizational Capacity Development Measurement. There is no date, author or attribution to a particular unit or bureau. It can be found at https://www.usaid.gov/sites/default/files/2022-05/Capacity_Development_Measurement_Recommendations_Final_Draft_5.11.2017_1.pdf

¹² This tool with facilitator and participant guides can be found at <https://usaidlearninglab.org/resources/organizational-capacity-assessment>.

¹³ Heather Baser and Peter Morgan with Joe Bolger, Derick Brinkerhoff, Anthony Land, Suzanne Taschereau, David Watson and Julia Zinke (2008) Capacity, Change and Performance. Study Report. European Centre for Development Policy Management. Discussion Paper No 59B April
[/https://ecdpm.org/application/files/2516/5547/2658/DP-59B-Capacity-Change-Performance-Study-Report-2008.pdf](https://ecdpm.org/application/files/2516/5547/2658/DP-59B-Capacity-Change-Performance-Study-Report-2008.pdf)

¹⁴ See Renzi, Mark. (2011). Performance Monitoring and Evaluation, Measuring Institutional Capacity, USAID TIPS Number 15.

¹⁵ See "Tool 13: Institutionalization Tracker"
https://www.msiworldwide.com/wp-content/uploads/2023/10/ScalingUp_toolkit_printabletools_tool13.pdf



education.¹⁶ These tools are designed to track progress in institutionalizing interventions at scale into implementing organizations, particularly public sector organizations like a national public education system. While mainstreaming is different as organizations are institutionalizing scaling, not an intervention, nonetheless they share a common basis of organizational institutionalization and therefore provide an important source for the MTT.

Table 1. Summary of Organizational Capacity, Change and Development Tools

ECDPM’s Capacity, Change and Performance	MSI Institutional Development Framework	USAID Organizational Capacity Assessment
Human and organizational development	Oversight/Vision	Governance and Legal Structure
Incentives, rewards and sanctions	Management (includes Leadership, Planning and M&E)	Financial Management & Controls
Awareness, understanding and learning	Human Resources (includes skills, training, motivation)	Administration and Procurement
Values, meaning and moral purpose	Financial resources	Human Resources & Systems
Formal structure and systems	External Resources (includes advocacy, ability to collaborate with partners)	Program Management
Assets, resources and financial flows		Organizational Management & Sustainability
Ownership, commitment and motivation		
Leadership, management and entrepreneurship		

From this list, the author derived a common minimum set of categories that an MTT should meet. These categories should include:

1. Vision and Strategy
2. Leadership and Management
3. Organizational Management
4. Financial Management, Instruments and Resources
5. External Resources (Partnerships)
6. Awareness, Understanding, Learning and Human Development
7. Project and Program Design, Approval, Management and Supervision
8. Structures and Systems
9. Incentives, Rewards and Sanctions

¹⁶ See the Brookings Center for Universal Education, Brookings Institution, “Institutionalization Tracker: Assessing the Integration of an education initiative into a system,” https://www.brookings.edu/wp-content/uploads/2021/07/Institutionalization_Assessment_ENG_FINAL.pdf



Based on those categories, the authors of this paper identified potential elements from the sources listed above. Potential elements from these sources are summarized in Table 2 below.

Table 2. Potential Mainstreaming Elements from Two Sources Mapped onto Organizational Development Categories¹⁷

Potential Elements Categories from OD Frameworks	Mainstreaming Case Studies Template	Good Scaling Practices
<i>Vision and strategy</i>	Organizational definitions of scale and scaling; to what extent commonly understood	Adopt a transformational definition of scaling (including systems change)
	Integrated scaling into vision, goals and strategy	Modify definitions of organizational success to include impact at scale
	Aim for optimal, not maximum scale	Make explicit trade-offs between scale and other organizational goals (optimal scale)
	Role or niche in scaling; plays intermediary role; an explicit strategy on hand off to others	Identify and empower one or more intermediaries
	Goals and strategy for mainstreaming scaling	
<i>Leadership and management</i>	Drivers for mainstreaming, especially senior organizational leadership	Find and convince leaders and champions to drive and support scaling
	Allocate dedicated internal financial and other resources to support scaling	Mobilize resources and institutional capacity for scaling and for sustained implementation at scale
<i>Financial Management, Instruments and Resources</i>	Financial, grant and funding instruments suitable to scaling	
	Integrated into partnerships with other funding and/or implementing organizations	Create and leverage transformational partnerships
<i>Awareness, understanding, learning and human development</i>	Developed frameworks and tools for scaling;	
	Provide technical support and/or training for management and staff; build staff capacity	
<i>Project and program management design, approval, management and supervision (Project Cycle); Structures and Systems; Organizational Management</i>	Integrated into the project/grant making cycle? Into design, review, quality improvement and approval? (based on evidence)	Integrate scaling into intervention designs and project/grant making cycle (from the beginning, including systems change, clear strategic and sustainable pathway)
	Integrated scaling into its monitoring, evaluation, adaptation and learning (meal); are they being used	Focus on sustainability: align intervention costs, and required capacity with domestic resources

¹⁷ Note that because some of the elements correspond to multiple categories, rather than repeat them, for simplicity sake the paper combines *Project and program management design, approval, management and supervision* with *Structures and Systems* and *Organizational Management*



		and stakeholder interests and incentives
		Integrate scaling into operations and instruments: e.g., longer time horizon, iterative, flexible, adaptive management
<i>Monitoring, evaluation, accountability and learning (MEAL)</i>	Integrate scaling into MEAL	Integrate scaling into MEAL
<i>Incentives, rewards and sanctions</i>	Align organizational culture and internal incentives for management and staff (e.g., KPIs) to support scaling	Align internal incentives for management and staff with scaling

III. Proposed Elements and Criteria for a Mainstreaming Tracking tool

This section builds on the review in the previous section to arrive at a Mainstreaming Tracking Tool. First, it proposes two lists of scaling elements that should be tracked to monitor, learn from and adapt in mainstreaming scaling. The first list covers key elements for creating an overall enabling environment for mainstreaming scaling. The second list contains elements needed to operationalize and implement scaling. Both of these lists include criteria, almost all qualitative, that are relevant to how to assess progress in each of these elements.

The section proposes two maturity matrices that each contain five stages or phases of mainstreaming. For each cell in the two matrices, it describes what the state of progress is expected to be for that element at that stage. Thus, embedded in this tool is an implicit model that organizational development proceeds on some sort of continuum of development, that progress on different elements or aspects of mainstreaming proceed at different speeds. The five stages are:¹⁸

1. No Mainstreaming - outside of the organization
2. Low Mainstreaming - on the periphery of the organization
3. Emerging Mainstreaming - somewhere in the organization
4. Significant Mainstreaming - at center of the organization
5. Fully Mainstreamed - intrinsic to the organization

¹⁸ Outside the organization means nothing has been done on this element. Periphery means that a small or minimal effort has been made but remains marginal; it is neither not fully developed nor widely used. Somewhere in the organization is an intermediate stage, between small/minimal and central to the organization. For example, an organizational change may have been introduced but it is either not fully developed or not widely used. Center of the organization means that it is a recognized and important part of that element and makes a significant contribution to this organization’s ability to support or do scaling. It is close to being or actually fully developed and used by the majority of the organization. Intrinsic means that the organization has fully developed, adopted and integrated this throughout the organization, and sees scaling, and this element of scaling, as part of or in relationship to its core vision or mission.



These stages and column headings were selected so as to align with those used in the SCoP's mainstreaming synthesis report and institutionalization tools used for scaling itself. However, the names or titles themselves are not essential except to the extent they are informative, useful for creating a common understanding within an organization, and effective in communication of the results. Most importantly, while it is the view of the authors that greater integration or mainstreaming of scaling is better than less, each organization should decide for itself what its goals and targets for mainstreaming scaling are, both overall (i.e., Emerging, Significant or Full) as well as on an element-by-element basis.



A. Scaling Elements, Definitions and Criteria

Tables 3a and 3b below present the two lists of elements for mainstreaming scaling, accompanied by the criteria or indicators that are relevant to assessing progress on that element. Table 3a presents six Enabling Elements and Table 3b presents seven Operational Elements. Note that the criteria are defined in terms of what full implementation and best practice are, i.e., the endpoint, with the understanding that actual assessment will assume that there is a continuum from no progress to this endpoint as one moves from left to right in the actual assessment matrices found below (4a and 4b).

Table 3a. Mainstreaming Scaling Enabling Elements and Criteria

Framing and Enabling Elements	Criteria	Corresponding Category
<p>1. Leadership (senior management, such as ED/CEO)</p>	<ul style="list-style-type: none"> ● Strength, continuity of support for scaling from senior leadership ● Ensures and pushes for full operationalization and implementation (of whatever target for mainstreaming has been established) ● Willingness to spend political capital ● Buy-in and ownership with Board (or other governance bodies), middle mgmt., staff and funders if relevant 	<p>Leadership and Management</p>
<p>2. Definition of and Common Language for Scaling</p>	<ul style="list-style-type: none"> ● Has a definition of scale and scaling ● Definition aligns with transformational scaling ● Explicitly includes systems change, even if implemented by others 	<p>Vision and Strategy</p>
<p>3. Optimal Scale; Equity and Inclusion</p>	<ul style="list-style-type: none"> ● Approach and definitions of scale recognize the importance of balancing and making tradeoffs between maximum numbers or reach and other considerations – equity, inclusion, unintended outcomes ● Application is widespread internally with ownership and buy in 	<p>Vision and Strategy</p>
<p>4. Organizational Vision, Goals and Strategy (overall)</p>	<ul style="list-style-type: none"> ● Organizational vision includes sustainable impact at large scale; success defined in terms of development outcomes and size of the problem (overlaps with definition of scaling) ● Has set qualitative or quantitative goals ● Scaling is frequently mentioned, has a chapter devoted to it, or fully integrated into organizational multi-year strategies ● Has an explicit strategy for organizational change/development for mainstreaming; project management, roles & responsibilities, milestones 	<p>Vision and Strategy</p>

<p>5. Analytic Framework, Tools, and Knowledge</p>	<ul style="list-style-type: none"> • Has created scaling frameworks (types, pathways, approaches) • Has created tools (e.g., scalability criteria, assessments, guidance) for project/grant cycle and other knowledge products 	<p><i>Awareness, understanding, learning and human development</i></p>
<p>6. Mechanisms exist for tracking mainstreaming goals and strategy</p>	<ul style="list-style-type: none"> • A MEAL framework and indicators exist for tracking progress on mainstreaming • Monitoring of progress, and evaluations, are conducted regularly • Tracking feeds into an accountability process and adaptive management 	<p><i>Project Cycle; Structures and Systems; Organizational Management</i></p>

Table 3b. Scaling Operational Elements and Criteria

<p>Elements</p>	<p>Criteria</p>	
<p>1. Operational Instruments, Policies, and Processes</p>	<ul style="list-style-type: none"> • Criteria and integration into the project/grant making cycle of design, review, QA/QI,¹⁹ and approval (scaling built in from the beginning and throughout project/grant cycle) • Explicitly integrates systems change and capacity building to create enabling conditions for sustainable impact and continued scaling post project completion • Post-project sustainability and continued scaling are included and addressed • Flexibility in implementation using adaptive learning and management • Funding instruments appropriately differentiated according to scaling pathway stage; uses programmatic²⁰ or other financial instruments that are aligned with the needs of scaling 	<p><i>Project Cycle; Structures and Systems; Organizational Management</i></p>

¹⁹ Quality Assurance and Quality Improvement, respectively. Many development organizations include in their project/grant making cycle a review stage in which a one or more relevant experts, often external, review a project or grant proposal to enhance the quality of their projects or grants and operations. Their feedback is then integrated into a revised version of the original proposal before it advances to the next stage of the cycle, often submission to senior management for approval.

²⁰ We define a programmatic instrument as a funding mechanism or approach used by donor agencies to support a long-term, strategic development program that aims to achieve broader, systemic change in a specific sector or area, rather than just funding isolated, individual projects. Programmatic approaches often involving flexible funding structures, multiple phases of implementation and/or funding e.g. tranches, and a focus on results and goals rather than outputs, learning and adaptation over time

<p>2. Targeted Share of Portfolio and/or Dedicated Financial Resources to fund scaling</p>	<ul style="list-style-type: none"> Specifically allocated funds to finance the organizations activity in the relevant niche(s) in scaling that this organization occupies; such as transition to scale, scaling, institutionalization. Procurement and financial instruments support scaling, e.g., programmatic, multi-tranche, longer-term duration Funding for scaling creates incentives for management and staff to integrate scaling into grants Scaling is effectively considered as an outcome of projects/grants (may use a stage gating process to funnel selectively innovations/interventions through various phases of innovation to scale pathway) Portfolio tracking in place to monitor where various investments are on advancing to scale; monitoring influences future funding decisions and reinvestment 	<p><i>Financial Management, Instruments and Resources</i></p>
<p>3. Technical and Budget Resources for Internal, Organizational Costs of Scaling</p>	<ul style="list-style-type: none"> Technical support unit/staff who provide support, coaching and mentoring; Or embedded scaling advisors Staff training in scaling and frameworks, guidance and tools Sufficient staff and staff time, financial resources, to integrate and apply scaling in project/grant cycle and implementation 	<p><i>Financial Management, Instruments and Resources</i></p>
<p>4. Decentralization and Localization</p>	<ul style="list-style-type: none"> Organization is decentralized or has strong local, ongoing, on-the-ground presence or other mechanisms to ensure localization and integration of local knowledge Explicit involvement of local partners and stakeholders in: <ul style="list-style-type: none"> program/project/grant design, implementation and adaptive management accountability 	<p><i>Project Cycle; Structures and Systems; Organizational Management</i></p>
<p>5. Partnerships and Intermediary Function</p>	<ul style="list-style-type: none"> Works through partnerships as needed to achieve sustainable impact at scale Willing and does work as an intermediary, or funds intermediary work and has an explicit handoffs strategy (whether it hands-off interventions to others to scale, receives such hand-offs, or both) Partnerships have the explicit goal of transformational, sustainable scaling; Considers time, effort, and resources to create, manage and maintain partnerships in deciding which partnerships to pursue Supports, funds and makes use of country platforms²¹ 	<p><i>Project Cycle; Structures and Systems; Organizational Management</i></p>
<p>6. Integrated into MEAL</p>	<ul style="list-style-type: none"> MEAL frameworks, guidance and indicators reflect transformational approach to scaling MEAL frameworks, guidance and indicators support scaling itself: 	<p><i>Project Cycle; Structures and</i></p>

²¹ A "country platform" refers to a government-led coordination mechanism where different development partners, including multilateral organizations, NGOs, and bilateral donors, collaborate with a developing country to align their support around shared priorities and development goals. This ensures better coordination and maximizing the impact of assistance, all while maintaining strong national ownership by the receiving country. Country platforms, when funded and implemented properly, can act as a central hub for managing development efforts within a specific sector for a given country or region.

	<ul style="list-style-type: none"> - Track progress in scaling - Provide information to support scaling decisions, as in a stage gate process - Provide information to support adaptive management - Conduct mid-term and final evaluations of sustainable impact at scale (optimally able to follow up post project/grant) <ul style="list-style-type: none"> • MEAL framework, guidance and indicators include learning and support adaptive management • MEAL framework, guidance and indicators integrate issues of Optimal Scale 	<i>Systems; Organizational Management</i>
7. Change in Organizational Culture, Incentives and Measures of Success	<ul style="list-style-type: none"> • Human resource policies (promotion, salary) incentivize scaling • Staff, unit, and division KPIs (Key Performance Indicators) incentivize scaling • Culture oriented towards impact at scale, risk taking, adaptive mgmt. • Scaling core to organizational, division and staff understandings of success and status 	<i>Incentives, rewards and sanctions</i>

B. The Proposed Mainstreaming Tracking Tool (MTT)

This section presents the two Mainstreaming Assessment matrices, one for the Enabling Elements (4a) and one for Operational Elements (4b). For each element progress is measured either by adding additional criteria, drawn from the previous two tables (3a and 3b), as one moves from left to right, or by increasing the extent to which a particular indicator has been applied in terms of depth and breadth. Depth is measured on a spectrum from none to various degrees of partially to completely. For example, one criterion for definition of scaling might include targeting outcomes and impact, not outputs, but not include sustainability, impact measured relative to the problem, or addressing systemic constraints. Breadth is the extent to which it has been applied, adopted or rolled out throughout the entire organization. For example, an organization may have adopted a definition and approach to scaling that includes all aspects of transformational scaling, but that has not become widely, consistently, and uniformly used throughout the organization. A survey of staff within that organization might still reveal there are multiple definitions and approaches to scaling still being used.

It is important to note two additional assumptions in the two matrices that follow below:

1. For all elements, one of the criteria is that ‘Application, utilization, uptake, or implementation (as is most relevant to the particular element) is widespread internally with ownership and buy in.’ To avoid repetition and save space, while it is not stated explicitly in each cell, application, utilization, etc., are expected to continue steadily, if not necessarily linearly, as one moves from Low to Emerging, Significant and Fully Mainstreamed. By the stage of Fully Mainstreamed uptake and implementation, should be largely, if not completely achieved, both in terms of quantity (throughout the organization) and quality.

2. The criteria in one cell for the same element, i.e., the same row, build on each other and are cumulative. In other words, each cell includes the criteria found in the cell to its left, unless explicitly stated and improved upon. Thus, for Leadership, the criteria for Emerging Mainstreamed would include (and presumably add or increase) the criteria found in Low Mainstreaming, Significant would include, add and increase the criteria found in Emerging.

Table 4a. Assessment Matrix: Enabling Elements

Stages Elements	No Mainstreaming (outside of the organization)	Low Mainstreaming (LM) (on the periphery of the organization)	Emerging Mainstreaming (EM) (somewhere in the organization)	Significant Mainstreaming (SM) (at center of the organization)	Fully Mainstreamed (FM) (intrinsic to the organization)
1. Leadership	<ul style="list-style-type: none"> Scaling not explicitly mentioned or articulated by senior leadership 	<ul style="list-style-type: none"> There is at least one champion or focal person who supports mainstreaming Discussions are underway, but leadership has not pushed for integration into strategy, operations or resource allocation 	<ul style="list-style-type: none"> Leadership (CEO/ED/DG) speaks publicly about mainstreaming both internally and externally May have gaps in continuity or duration One of many priorities; Not central to mission. Has pushed for integration into strategy, but not allocated resources 	<ul style="list-style-type: none"> Strong, explicit support over multiple years for the importance of scaling; Leadership has Pushed for integration into strategy and operationalization Has assigned middle management responsible for integration Spent significant political capital 	<ul style="list-style-type: none"> Leadership has stated that it is a central priority; “mission critical” Leadership has pushed for allocation of resources needed to support operationalization Worked to engage middle management and staff Continuity of leadership focus assured even with change in leadership
2. Common Language for Scaling	<ul style="list-style-type: none"> No approved definitions of scale and scaling 	<ul style="list-style-type: none"> Organizational definitions of scale and scaling under development Tend towards more transactional definition of scaling 	<ul style="list-style-type: none"> Organizational definitions of scale and scaling developed and approved Common lexicon emerging among growing number of staff Contains some or all elements of transformational scaling 	<ul style="list-style-type: none"> Common definitions and lexicon used and understood by majority of middle management and staff Contains most elements of transformational scaling 	<ul style="list-style-type: none"> Definition and lexicon universally used and understood Contains all elements of transformational scaling, including systems change
3. Optimal Scale; Equity and Inclusion	<ul style="list-style-type: none"> Implicit approach, if any, to scaling maximizes 	<ul style="list-style-type: none"> Growing if informal recognition that there are trade-offs 	<ul style="list-style-type: none"> Widespread recognition that there are tradeoffs with other goals; access, 	<ul style="list-style-type: none"> Guidance and tools exist on how to approach tradeoffs 	<ul style="list-style-type: none"> Political support from senior management for middle management

	only numbers, places, or reach	between size/reach and other objectives	equity, inclusion, sustainability, impact <ul style="list-style-type: none"> No leadership, guidance or tools on making such tradeoffs; still unfunded mandates 	<ul style="list-style-type: none"> Middle management and staff expected to make explicit such tradeoffs Small but growing evidence of tradeoffs being made in project cycle, country or sector strategies Still unfunded mandates 	and staff to make hard choices <ul style="list-style-type: none"> Widespread implementation of tradeoffs
4. Organizational Vision, Goals and Strategy (overall)	<ul style="list-style-type: none"> Scaling not mentioned in vision or mission statements or organizational strategy No scaling goals 	<ul style="list-style-type: none"> Scaling is mentioned explicitly and multiple times in at least one of vision or mission statements or organizational strategy Explicit scaling goals are under development 	<ul style="list-style-type: none"> Organizational vision includes sustainable impact at large scale; success defined in terms of development outcomes and size of the problem An explicit organizational change strategy for mainstreaming is under development 	<ul style="list-style-type: none"> Frequently mentioned, chapter or fully integrated into organizational multi-year strategies Has set qualitative or quantitative goals Implementation of OD strategy has made some progress (early adopters) 	<ul style="list-style-type: none"> Evaluation/Accountability mechanisms exist for tracking mainstreaming goals and strategy Organizational change strategy has been implemented widely internally with ownership and buy from middle management and staff
5. Analytic Framework, Tools, and Knowledge Products for Scaling	<ul style="list-style-type: none"> No scaling framework, tools or knowledge products 	<ul style="list-style-type: none"> Analytic framework exists or is under development Not wide awareness, understanding or use of the analytic framework 	<ul style="list-style-type: none"> Analytic framework exists with broad awareness and understanding Tools and guidance for scaling under development 	<ul style="list-style-type: none"> Analytic framework and tools exist and reflect good scaling practices Broad awareness and understanding of framework and tools Utilization among early adopters 	<ul style="list-style-type: none"> Knowledge products such as case studies and cross-case studies of actual scaling are being produced regularly
6. Mechanisms exist for tracking mainstreaming	<ul style="list-style-type: none"> No MEAL indicators or tracking of mainstreaming is done or in place 	<ul style="list-style-type: none"> Progress on mainstreaming is reported on qualitatively in annual reports and multi-year strategies 	<ul style="list-style-type: none"> MEAL framework and indicators for mainstreaming are under development 	<ul style="list-style-type: none"> A MEAL framework and indicators are in place M&E of mainstreaming is being rolled out, 	<ul style="list-style-type: none"> M&E of mainstreaming conducted regularly Tracking feeds into an accountability

<i>goals and strategy</i>				covers some of the organization	
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Table 4b. Assessment Matrix: Operational Elements

Stages Elements	No Mainstreaming (NM) (outside of the organization)	Low Mainstreaming (LM) (on the periphery of the organization)	Emerging Mainstreaming (EM) (somewhere in the organization)	Significant Mainstreaming (SM) (at center of the organization)	Fully Mainstreamed (FM) (intrinsic to the organization)
1. Operational Instruments, Policies, and Processes	<ul style="list-style-type: none"> Scaling criteria are not present in any phases of project/grantmaking cycle or selection criteria Financial instruments not designed to support scaling Project/grant design and implementation are transactional Systems strengthening and addressing enabling conditions not included in projects Neither post-project sustainability nor creating enabling conditions for ongoing scaling are included in project design or implementation 	<ul style="list-style-type: none"> Scaling is built into some project or grant designs and selection criteria, OR Selected projects are scaled based on success and windows of opportunity, but not systematically 	<ul style="list-style-type: none"> Scaling criteria have been introduced in some phases of project/grantmaking cycle; e.g., design, QA/QI Some scaling is now built-in from the beginning, but most is still follow-up projects Programmatic or other instruments consistent with the time frame and adaptive nature of scaling may exist, or under development, but are not yet used or widely used for scaling 	<ul style="list-style-type: none"> Scaling criteria have been introduced in all phases of project/grantmaking cycle; e.g., design, QA/QI Scaling is systematically built in from the beginning Appropriate programmatic approaches and financial instruments are increasingly used to support scaling Post-project sustainability increasingly integrated into design and implementation; incl. systems changes and capacity building 	<ul style="list-style-type: none"> Explicitly integrates systems change and addressing enabling conditions integrated into project design and integration Flexibility allowed in implementation using adaptive management Appropriate programmatic, multi-phase approaches and multi-tranche financial instruments are widely and properly used
2. Dedicated Share of Portfolio,	<ul style="list-style-type: none"> There is no dedicated funding to support scaling 	<ul style="list-style-type: none"> There is a small amount of funding 	<ul style="list-style-type: none"> Scaling has been successfully mainstreamed in 	<ul style="list-style-type: none"> There are significant financial resources dedicated explicitly 	<ul style="list-style-type: none"> Sufficient funding is available for all

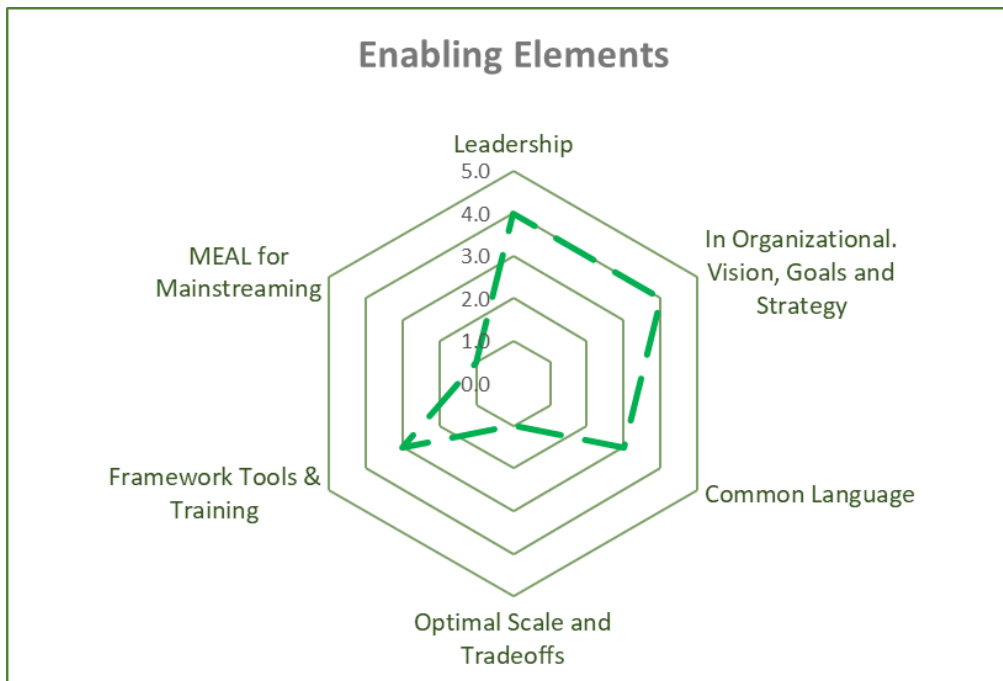
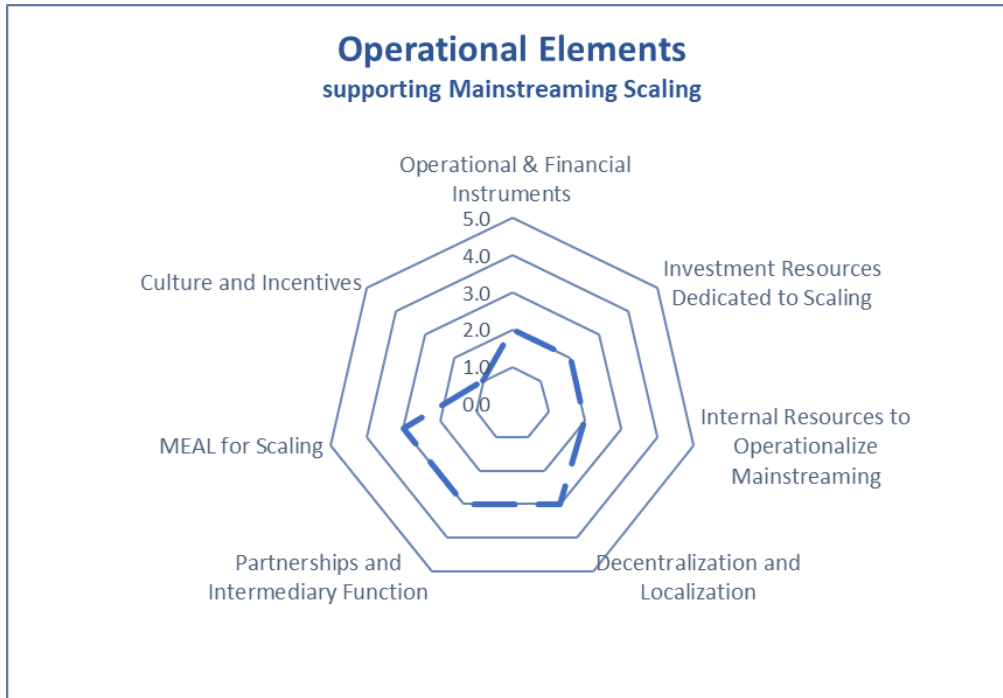
<p><i>Financial Resources to fund scaling</i></p>	<ul style="list-style-type: none"> ● There are no targets for share of the portfolio intended to achieve impact at scale 	<p>for scaling available on a pilot basis</p> <ul style="list-style-type: none"> ● Mainstreaming is being adopted by a few divisions, sectors or countries 	<p>some of the organization</p> <ul style="list-style-type: none"> ● Strategy exists to grow scaling funding over the medium-term ● Portfolio tracking system exists for investment progress 	<p>for purposes of scaling</p> <ul style="list-style-type: none"> ● Resources are available throughout the entire organization ● Resources sufficient to incentivize scaling ● Portfolio tracking covers a large share of total investments 	<p>projects/grants with scaling potential</p> <ul style="list-style-type: none"> ● Portfolio tracking covers most or all investments ● Impact at scale is expected from the majority of projects/grants ● Progress in moving towards scale used as input into investment decisions
<p>3. <i>Technical and Budget Resources for Internal, Organizational Costs of Scaling</i></p>	<ul style="list-style-type: none"> ● No unit or staff who provide technical support for scaling to operational divisions ● No funding to support mainstreaming scaling ● No training for staff in scaling frameworks or tools if they exist 	<ul style="list-style-type: none"> ● A unit or individual(s) who provide(s) support for scaling; limited demand ● Scaling competes with other cross-cutting objectives for staff time and attention, staff are overloaded ● No funding or training to support mainstreaming 	<ul style="list-style-type: none"> ● Training is available for small number of staff interested in scaling ● Small but growing number of staff use training/support ● Funding is available for pilot efforts in mainstreaming for specific countries or divisions 	<ul style="list-style-type: none"> ● A unit/staff providing technical support and/or a diverse cadre of scaling advisors embedded in most operational units ● Some budget to support mainstreaming, full funding being rolled out in medium term ● Widely available training in scaling for staff 	<ul style="list-style-type: none"> ● Technical support or embedded advisors throughout ● Sufficient time, effort and funding available for all operational units to integrate scaling into their work
<p>4. <i>Decentralization and Localization</i></p>	<ul style="list-style-type: none"> ● All phases of project cycle and implementation do not integrate local views and voice ● Local consultations, if they exist, are pro forma 	<ul style="list-style-type: none"> ● Project cycle does not integrate local views and voice ● Local partners involved in implementation, but no input into adaptive management 	<ul style="list-style-type: none"> ● Local partners have some input into setting project/grant goals, design and review ● Local partners play significant role in implementation, have input into adaptive management 	<ul style="list-style-type: none"> ● Project goals, design, review and approval co-created with local partners ● Ongoing local presence in majority of countries or regions with significant decision making autonomy 	<ul style="list-style-type: none"> ● Project/grant cycle led by local actors ● MEAL largely to local actors

		<ul style="list-style-type: none"> ● May have a local presence and consultations, but temporary for project purposes only 	<ul style="list-style-type: none"> ● Ongoing local presence in some countries or regional hubs; decision making still rests largely in HQ ● MEAL mostly oriented to external actors 	<ul style="list-style-type: none"> ● Local partners lead implementation; external actors mostly provide STTA²² ● Joint local/external MEAL 	
<p>5. <i>Partnerships and Intermediary Function</i></p>	<ul style="list-style-type: none"> ● Most investments are solo efforts ● Partners play minor roles in implementation ● Organization does not play intermediary role ● No strategy for handoffs 	<ul style="list-style-type: none"> ● Almost all partnerships are transactional ● Actively pursues co-funding opportunities for some investments ● Partners play important but subsidiary role in implementation ● Handoffs occur but not systematically; pilot efforts at intermediary/handoffs underway 	<ul style="list-style-type: none"> ● Partnerships seen as central to achieving organizational goals; integrated into strategy ● Partnership strategy being rolled out ● Partnerships mixed between transactional and transformational ● Partners lead implementation ● Beginning to play or fund intermediary role ● Handoff strategy under development, being piloted 	<ul style="list-style-type: none"> ● Partnerships majority and growing share of total transactions ● Majority of partnerships are transformational ● Works as an intermediary, or funds intermediary work for small but growing share of activities ● Has an explicit handoff strategy for most activities ● Funds, Supports and/or uses country platforms 	<ul style="list-style-type: none"> ● Intermediary and handoff strategies funded and in place for all scalable activities ● Nearly all partnerships are transformational; seen as long-term, enduring even if phased in practice ● Assesses time, effort and resource reqts. for partnership commitments; used as input into decision making
<p>6. <i>Integrated into MEAL</i></p>	<ul style="list-style-type: none"> ● No MEAL frameworks or indicators relevant to transformational scaling 	<ul style="list-style-type: none"> ● MEAL frameworks, indicators and guidance for scaling being developed and piloted ● Existing or new MEAL approaches 	<ul style="list-style-type: none"> ● MEAL frameworks and indicators for transformational scaling under development, being piloted 	<ul style="list-style-type: none"> ● MEAL frameworks, guidance and indicators for transformational scaling widely used for all aspects of scaling, including 	<ul style="list-style-type: none"> ● Learning a major goal of MEAL ● MEAL integrates optimal scaling decisions

²² Short-term Technical Assistance

	<ul style="list-style-type: none"> ● May measure size of impact at project end, focuses on outputs 	<p>remain focused on outputs, short-term, reach and only direct beneficiaries (transactional)</p> <ul style="list-style-type: none"> ● Primarily focuses on accountability and evaluation 	<ul style="list-style-type: none"> ● Coverage expands beyond evaluation and accountability to tracking progress in scaling, support scaling decisions 	<p>adaptive management</p>	<ul style="list-style-type: none"> ● Localization integrated into MEAL approaches and implementation ● MEAL for and of mainstreaming in place and widely used
<p>7. <i>Change in Organizational Culture, Incentives and Measures of Success</i></p>	<ul style="list-style-type: none"> ● Organizational culture and incentives focus on number of project approvals, timely disbursements, and outputs achieved ● Success defined and measured in number of projects/grants completed on time with at least “moderate success” 	<ul style="list-style-type: none"> ● Organizational culture and incentives support transactional scaling; MORE resources, projects and scale of impact ● Success measures adapted accordingly 	<ul style="list-style-type: none"> ● Definitions of success shifting to transformational scaling ● Organizational culture and informal incentives beginning to embody scaling as central to the organization; individuals see scaling as the future ● Culture interacts with development of scaling definitions, tools, etc. 	<ul style="list-style-type: none"> ● Transformational scaling increasingly integrated into individual, unit and division KPIs AND organizational definitions of success ● Alignment of scaling KPIs with scaling into MEAL, project cycle underway 	<ul style="list-style-type: none"> ● Human resource policies (promotion, salary) incentivize transformational scaling ● Transformational Scaling fully reflected in organizational, division and staff understandings of success ● Informal status based on success in achieving transformational scaling

A sample of scoring in the form of two spider diagrams is presented below:



It is important to note that the criteria for each element and the cell contents of that element in each matrix are meant to be general and relevant to most funder organizations working in international development. Of necessity, a tool at this level of generality does not reflect the specific uses, considerations or context relevant to a specific organization. As such, it is expected that organizations that wish to use the MTT will alter, modify, adjust or change it to better align with how they intend to use it and their own purposes generally. This could include adding, eliminating or modifying specific elements and their associated criteria. It could also include modifying the contents of specific cells or the number of stages/phases included. In application of the MTT its elements, rows, cell contents and wording should all be reviewed, adapted agreed upon before the tool is actually applied. The frequency with which an organization may choose to apply the MTT can vary from quarterly to once every few years, and everything in between. In other words, adaptation is core to the expected application of the MTT by individual organizations.

IV. Applications of the Mainstreaming Tracking Tool

The MTT developed and described in the previous section can be used for a number of purposes and in a variety of ways. First, it can be used to assess the current status of mainstreaming. Secondly, it can be used to set organizational goals for future mainstreaming as part of a mainstreaming strategy, and to track progress towards those targets. In both cases, it can be used as an operational as well as learning tool for those designing and leading mainstreaming efforts. Third, it can help define or feed into considerations of what may make mainstreaming successful, decisions about priorities, sequencing and resource requirements and allocations, and roles and responsibilities. Finally, it can be used for accountability and reporting to senior management, external governance bodies, e.g., Boards of Directors, or potential funders and other external stakeholders about progress and/or status of mainstreaming. In this regard, the MTT can allow an organization to communicate with such actors in terms of where they are, where they are going, and what specify concrete organizational changes for which they need support in terms of leadership, resources or collaboration. More generally, it can provide a significant complement to a process of internal organizational change and reform, and especially when applied in conjunction with more traditional organizational development or change assessment frameworks and processes.

In all of these uses, the MTT can be used and applied by individuals or a group working on mainstreaming strategy and implementation. It can also be used by actors tasked with monitoring and evaluating mainstreaming. In both cases, this can be either subjective or objective. The former implies that it will be implemented by internal staff and management, i.e., a self-assessment exercise, the latter by external actors or experts, e.g., external consultants or evaluators. For internal purposes, it is highly recommended that it be implemented as a participatory, group, and internal self-assessment exercise.

When applied internally through self-assessment, whether in its initial application or subsequent updates, it is recommended that it be applied by organizing a multi-day workshop with facilitators leading the workshop. Ultimately, the MTT is designed to be facilitated by internal



actors.²³ Participation should be as broad and inclusive as possible, while recognizing that there are trade-offs between the number of participants and the time and efficiency of the process in reaching consensus on scoring. In general, the broader the participation the better; including external stakeholders can provide a valuable alternative perspective and counterpoint to groupthink. At the same time, it is important to have realistic expectations about who can contribute what, given their role, position and perspective in the organization. For example, operational staff largely see things from the perspective of getting the work done on a daily and granular basis and can lack a more high-level or strategic view. The converse is equally true; while management can see the big picture, they are often ignorant of operational challenges that can be equally important and informative.

It is critical in any internal process that participants feel free and “safe” in expressing their options without fear of consequences or repercussions. Otherwise, participants will not share their honest opinions and assessments, especially junior management and staff. This can particularly be a challenge in countries and organizational cultures where junior staff tend to not speak in front of their “seniors” or will not offer an opinion or perspective once the most senior person present has spoken. In some cases, it can be helpful to divide participants into relevant groups of peers. There are trade-offs between having a group that represents diverse levels and perspectives versus a more homogenous group; each organization will need to decide that for itself.²⁴

Perhaps most importantly in using the MTT, the focus should not be solely or even primarily on the “scoring” overall performance, i.e., whether on this element an organization is rated or rates itself as LM, EM or SM. It is much more important is to create a shared understanding of where the organization is on mainstreaming in each of the dimensions or elements of the tracker matrixes - why a particular score was agreed upon or selected – and what is needed to improve on those dimensions were performance lags behind and/or which is regarded as most important for overall achievement of the organizational mission and strategy. This is critical for both understanding where an organization is in respect to mainstreaming at a moment in time, as well as setting objectives as to where it wants to go.

²³ Nonetheless in an initial application it can be useful to bring external consultants with expertise in its application; in such a case this can and should be used to train internal actors in its use and give them actual experience in facilitation.

²⁴ One partial solution is to use anonymous voting on flip charts with the MTT tool matrices represented. This can be both used to decide which elements, criteria and stages are relevant for that organization, as well as actual scoring once the appropriately adapted matrices are agreed upon. This does not address the issue of getting a shared understanding of why a particular scoring has emerged as a consensus about the state of the organization.



Annex I. Good Scaling Practices

1. Apply Adaptive and Flexible Management to Project Implementation (and appropriately adaptable financial instruments). Scaling is dynamic, non-linear, complex, iterative, and adaptive. This is because it involves aligning many moving parts: (i) an intervention with impact, potentially in multiple different contexts; (ii) identifying, mobilizing and getting agreement from viable Doers and Payers; (iii) identifying and affecting needed capacity building and other forms of systems change; and (iv) aligning the political economy interests of Doers, Payers, end-users, and other diverse stakeholders, to name but the most important. A transformational scaling strategy is a quintessential example of the military saying: “No plan survives contact with the enemy”.²⁵ The traditional technocratic project approach of designing a workplan *ex ante* and then implementing the workplan with at most minor changes for the entire project duration is antithetical to successful scaling. Since scaling requires adaptive management, it needs to be used with financial or investment instruments that allow for significant changes in workplans, tactics, strategies, and intermediate outputs, and sometimes even the underlying Theory of Change.
2. Begin with the End in Mind (or Building Scaling into Projects and Programmes from the Beginning). Scaling should be built into projects from the beginning i.e., the design, quality assurance, review, and approval process, based on scaling up criteria, even if scaling will not occur until a follow-on project. Most important is to articulate a clear vision of what scale is to be achieved, the pathways for getting there, and to identify who will be the partners for going to scale and the domestic actors and resources (Doers and Payers) that will ensure long-term sustainability at scale. Waiting until project end to incorporate carries many potential risks and costs, including: (i) the need to substantially modify the key components to fit within implementation and financial constraints that exist at scale; (ii) long delays while a second round of funding, partnerships and approvals are put in place, often 1-2 years; (iii) delays that risk the disbanding of the in-country implementation team who go on to other position; and (iv) missing transient policy or political economy ‘windows’ that may only be open for a few years.
3. Adopt a Longer Time Horizon to Achieve Impact. Transformational scaling is a long-term process and is rarely achieved in a 3–5-year project lifecycle. Ten to fifteen years is much more common; scaling requires a commitment to a longer-term programmatic approach that allows for a sequence or phases of projects that build upon each other.
4. Make Explicit Trade-offs between Impact, Scale, Sustainability and Equity i.e., Target Optimal Scale. Transformational scaling targets solving the problem at its maximal size and impact. However, good international development practice must also take into consideration goals such as equity and inclusion, gender, climate change, and youth, among others. Expecting that all objectives can be accomplished at scale is not only magical thinking but can actually make scaling less likely to be successful. Projects that target multiple objectives are almost always more complex, comprehensive and expensive in terms of unit costs. This makes them more difficult to implement and requires collaboration between a greater number of partners, which makes scaling more challenging. It particularly makes sustainability more difficult, especially in environments where there are few existing institutional mechanisms for cross-ministry or multi-stakeholder collaboration. Similarly, higher unit costs decrease the

²⁵ Attributed to Helmuth von Moltke, a German field marshal and war strategist from the 19th century.



likelihood of finding sufficient ongoing fiscal support to continue implementation at large scale.

Any scaling effort needs to acknowledge that there are often tradeoffs between impact, maximum scale, equity and addressing other issues that lead to greater complexity, costs, and coordination. Good scaling practice requires making decisions about such tradeoffs explicitly; the belief that all of these priorities and scale can be accomplished leads to magical thinking. Doing everything overwhelms staff with internal administrative requirements or ‘check-the-box’ incorporation of multiple objectives without substance. Adding scaling becomes yet another unfunded mandate and administrative burden. This is not to say that equity and other issues should not be included in scaling efforts, quite the contrary. This consideration simply requires acknowledging and making explicit tradeoffs between various objectives, scale, and impact when they conflict; this is called optimal scale.

5. Align Cost at Scale with Sustainable Domestic Financial Resources. Financial sustainability at scale cannot occur without a viable business model or funding source, either public, private or PPP. Unless there are sustainable domestic resources available and economic governance structures in place that can be used for scaling of a particular intervention – a Payer – impact at scale will not be sustainable. The design of investments needs to include unit cost, cost-effectiveness and cost-benefit considerations and align the financial implications of the results with the resources available at scale. These include considerations of affordability and willingness to pay by end users or fiscal constraints in light of competing policy priorities and political economy considerations.

6. Align Internal Incentives and Stakeholders’ Interests (Political Economy) to Support Scaling. Scaling requires aligning incentives for relevant stakeholders, both internal and external, so that they at least support or approve of scaling. Externally, a viable coalition of public, private and civil society must support scaling in order for it to succeed; they must see scaling as aligned with their interest. In the cases of Doers and Payers, they must be persuaded to agree to play their expected roles and especially Payers who must provide the needed financial and other resources.

Opposition and resistance, whether from other ministries competing for resources or control over resources, vested interests or simply end users and others uncomfortable with change needs to be anticipated and addressed pro-actively through advocacy, education, and outreach. The project designers, planners and implementers should conduct stakeholder analyses to identify such sources of opposition and proactively develop advocacy and other strategies to address them so that scaling is not blocked or otherwise impeded. The current localization agenda is critical to and very much aligned with the needs of scaling.

Internally, mainstreaming of scaling cannot simply be imposed from above; their needs to be real buy-in from middle management and staff, which means that their KPIs and the criteria by which individuals, units, divisions, and departments have to be consistent with scaling. Similarly, middle managers and staff need to have the necessary financial and human resources, training, and technical support to affect scaling.

7. Function as an Intermediary or Fund Domestic Organizations/Platforms to Play that Role. An organization needs to lead, manage, and drive the process of going to scale or scaling. For example, a major task is to identify, mobilize, and enroll Doers, Payers, and the external environment, and strengthen them all if necessary. This is called the intermediary function. A good intermediary has many skills and abilities, including advocacy and marketing; assessing



and capacity building of potential Doers and Payers; change and process management; convening and coordinating diverse stakeholders; strategic planning; creating partnerships; evaluation and documentation; investment packaging and placement; organizational development and systems strengthening.²⁶

8. Integrate Scaling into Monitoring, Evaluation, Accountability and Learning (MEAL) Indicators and Frameworks. MEAL is essential in multiple ways for scaling from assessing scalability to monitoring and learning during going to scale to evaluating the sustainability of impact. This includes information: (i) about the intervention itself to be able to apply scalability criteria and improve scalability (see above); (ii) for decisions about whether, what and where to scale; (iii) to monitor project and the scaling strategy implementation, especially progress on systems change and creating the foundations for scaling; and (iv) progress towards affecting all the individual part of sustainable impact at large scale.
9. Create and Leverage Transformational Partnerships that are Cost-Effective. Partnerships are almost always necessary, but often come with substantial costs in organizing, managing and implementing them that need to be considered. It is rare than one organization has the resources, networks, convening power, and expertise to fill all the roles as either an Intermediary, Doer or Payer scaling or sustainable implementation at scale. Transactional partnerships come together for the purposes of ensuring a successful project outcome and increasing the scale of that project, often in the form of co-financing. Transformational partnerships take a programmatic approach and usually exist beyond a single project to achieve sustainable impact at large scale, i.e., trying to solve or address the problem. They look to create long-term commitments to implementation and funding. Whether transactional or transformational, a major and often neglected challenge of scaling is that partnerships are seen as a panacea - the solution to all problems. However, they come with multiple and substantial challenges such as aligning diverse institutional priorities, administrative systems, and reporting requirements. They require extensive and continuing time, effort, and resources to organize, manage and sustain. The cost-benefits of a scaling partnership itself need to be assessed.
10. Apply Scalability Criteria and Assessments throughout the Project Cycle. The international literature on scaling has identified a large number of criteria that in most cases facilitate scaling and, when present, can increase the chances of a successful outcome. These criteria can and should be used at various stages of scaling – design and preparation, QA, and other reviews, and especially during implementation to assess the project, improve its scalability, and to make strategic and tactical decisions and course corrections. Key scalability criteria include: the existence of effective demand (willingness to pay) and not just need; the size of unit costs and inputs needs compared with alternative solutions; ease of implementation relative to domestic capacity; the extent of change for Doers/Implementers and end users compared to current practice; sensitivity to context; potential for economies of scale and scope; and total costs relative to budget constraints.

²⁶ For a more extended discussion of the intermediary function, see Richard Kohl and Larry Cooley (2006) *Scaling Up – From Vision to Large Scale Change. A Management Framework for Participants*. March. Management Systems International.

https://equin.icap.columbia.edu/wp-content/uploads/2018/07/MSI_scalingup-framework_2006.pdf. Additional information can be found in the 2nd and 3rd edition of the framework, see https://www.msiworldwide.com/wp-content/uploads/2023/10/ScalingUp_3rd-2021_v3_0.pdf for the 3rd edition.



11. Modify Approaches to Risk and Definitions of Success to Support Scaling. Scaling is almost always riskier for donors because of its greater ambition. Larger investments, longer durations and a sequence of several projects that look to solve problems at scale are inherently less likely to succeed than projects that target short-term outputs as goals. Donors will likely face increased programmatic, contextual, institutional and fiduciary risks (see Annex 2). Donors often find they need to shift their definition of success from one where most individual projects are successful to one based on the aggregate development impact of the entire portfolio, where major wins more than offset disappointing or merely satisfactory results. Many risks are specific to different scaling stages and hence need to be assessed and anticipated as far as possible for each stage. Addressing risks also means derisking other investors, particularly the private sector. For the private sector, provision of public and quasi-public goods like ensuring that there will be adequate demand and utilization, and addressing weakness in value chains and market systems can be key.
12. Integrate Systems Change and Scaling. Scaling of a targeted sectoral intervention almost always faces systemic challenges and constraints at large scale. These can include obstacles or missing policies, laws and regulations, weak public sector governance or institutions (limited capacity or capability), gaps in market systems and value chains, lack of awareness by end-users, or conflict with existing social and cultural norms and beliefs. While projects and interventions can scale without addressing those constraints, doing so can seriously and adversely affect impact, sustainability, and maximum possible scale. Good scaling practice identifies systemic constraints and, considering the time, effort and resources needed to address them, includes system changes and strengthening those that have the greatest cost benefit.
13. Identify and Enroll Leaders and Champions to Direct and Support Scaling. Scaling does not happen by itself. In addition to or within intermediaries, it requires leadership and champions who take responsibility for driving and championing scaling within their organizations as well as with partners and the wider community.



Annex II. Mainstreaming Case Study Guiding Questions Template²⁷

We suggest that the paper be written as a chronological history or narrative of mainstreaming scaling in the organization under study, preferably focusing on experience over the last 10-15 years. (If historical background is necessary, that is fine). The first section below, A, gives a summary of a brief background of the organization. The remaining sections describe the topics that we wish to see addressed in the course of the chronological narrative.

A. Brief description of the organization (1-2 pages at most)

1. (If not well-known) When was this organization, bureau or division created and why: problem designed to address, value designed to create?
2. What sectors, populations and countries does it work in?
3. What is the size of the organization in terms of staff, budget, number of projects or other measure of activity and impact (e.g., number of people reached)?
4. Is the organization primarily a funder, implementer, research organization, or other activities, or some combination thereof? Public sector, private sector, foundation, international agency, parastatal, non-profit/NGO/civil society?
5. What are its primary activities? What are 1-2 BRIEF examples of representative or noteworthy projects, innovations, activities? Successes and failures?
6. In terms of various roles in the pathway from project or research and innovation to sustainable impact at large scale, prior to mainstreaming what were the primary roles the organization plays? (feel free to use either of the following sequences or one of your own)
 - a. Innovation Pathway: Basic R&D > Product Development & Testing > Pilot/Proof of Concept > Preparing for Scaling > Going to Scale > Supporting Initial Implementation and Funding at Scale > Ongoing Funding and Implementation at Scale
 - b. Project Pathway: Project Design > Project Funding > Project Implementation > Project Evaluation/Proof of Concept > Preparing for Scaling/Designing Follow-Up Projects if necessary > Going to Scale > Supporting Initial Implementation and Funding at Scale > Ongoing Funding and Implementation at Scale

B. Principal drivers of Mainstreaming

1. What have been internal factors driving the mainstreaming effort, such as:
 - Organization's core mandate and founding documents
 - Development of an annual or multi-year workplan or strategy document
 - Pressure or initiatives from staff
 - Results of internal evaluations
 - Recognition that business as usual was not achieving organizational mission

²⁷ The template went through numerous changes and iterations in 2023 and 2024. This rather detailed version is from August 2023 and deliberately chosen to give potential users of the MTT additional material and issues to consider in adapting the MTT for their own purposes.



2. What has been the role of external factors, such as:
 - Pressure from funders, Board of Directors, other governance functions
 - Results of external evaluations
 - Peer group organizations
 - Feedback or requests from partners (e.g., governments), implementing partners, civil society organizations and other stakeholders
 - Responses to opportunities and/or challenges e.g., SDGs, Climate Change, Food crises

C. Vision, Goals and Definitions for Mainstreaming Scaling

1. Has mainstreaming been an explicit effort or initiative with clear goals and objectives, largely inchoate, and *ad hoc*, or something in between?
2. To the extent there have been explicit goals or objectives, what were or are they? Have they evolved over time? If so, how and why?
3. Does the mainstreaming effort have clear definitions of what scale, scaling and successful impact at scale are? Have they evolved over time? If so, how and why?
 - What is the definition of scale or optimal scale? Is sustainability part of the definition of scale? How is sustainability defined and measured? Other components of the definition?
 - Is that definition widely or universally agreed upon and understood within the organization?
 - Translated from theory or definitions into practice? How are scale, scaling and success measured?
 - Do the definitions of scale, scaling and sustainability focus largely on mobilizing more resources to do “more with more” such as by finding partners or co-funders or mobilizing additional funding or doing things differently so as to achieve greater impact at scale with more or less existing resources? Please explain.
4. What does your organization’s definition imply for operations? A partial list might include:
 - Achieving economies of scale or scope
 - Ensuring projects, innovations or other efforts fit within the funding, resource, and implementation capacity constraints in-country that exist at large scale i.e., have viable business and implementation models, Doers and Payers
 - Building capacity in innovators, social entrepreneurs, or Doers and Payers in host countries so that they can effectively resource and implement at scale
 - Engaging in or supporting systems change or systems strengthening
 - Being catalytic by being a scaling intermediary, such as brokering partnerships, mobilizing resources for scaling in actual practice
 - Making sure that scaling can and will continue after an organization’s own effort ends -such as taking scaling to a critical mass or tipping point?
5. In the context of the mainstreaming effort, when does scaling get taken into consideration? In principle, and, if different, in practice? Examples are with initial designs, after pilots or proof-of-concept, near the end of projects.



6. Is scaling seen as a sequence of projects, grants or activities or a one-off? over what duration? How does the understanding of the duration of scaling compare with the normal duration of your grants, funding or projects?
7. Using the IDIA schema of the six phases of scaling (see the footnote above):
 - For which of those phases or stages does the organization see itself undertaking and responsible?
 - If the organization's scaling efforts do not include all six of the IDIA phases, does the organization have an explicit strategy to partner or link with other organizations that see themselves as actively working on the other phases? What is that strategy? How is that resourced and operationalized?

D. Roles in Mainstreaming

14. Who has been the leaders or champions of scaling within the organization? What has been the motivation for those leaders and champions?
15. Who have been opponents or sources of resistance within the organization, if any? What has been the motivation for those opponents or resistance? How has resistance been addressed?
16. Has a special or specific unit been tasked with implementing mainstreaming scaling?
 - If so, who and what were their roles and responsibilities?
 - What skills and resources did they have to play that role?
 - What power or influence did they have to affect change within the organization? Status, legitimacy, ability to control resources or affect incentives?
17. What has been the role and/or reaction of other internal actors or external stakeholders?
 - Internal actors, e.g., middle management, staff, country teams
 - Local stakeholders
 - Partners or Funders
 - Implementing Partners
 - Grantees, if appropriate

E. Concrete Goals and Scope of Mainstreaming Scaling

1. Has mainstreaming been an organization-wide effort, confined to a specific sector, location/country/region or functional unit, or in some other way narrower in scope than the whole organization?
8. In the following areas, what changes were targeted? Actually achieved? Not achieved despite efforts to do so? Integrating scaling into:
 - Organizational mission, vision or overall strategy
 - Setting overall measurable goals or objectives for impact at scale for individual initiatives (projects, grants), the overall portfolio, or both
 - Development or adoption of a scaling framework, guidelines or tools
 - Widespread utilization of framework, guidelines or tools. Is it mandatory?
 - Annual operational plans, resource allocation (e.g., staffing or staff skills), and budgets
 - Formal operational policies and processes (including procurement)



- If relevant, changes in project model, especially design, duration or sequencing (if the organization funds or implements projects)
 - If relevant, changes in grantmaking or investment criteria
 - Overall funding decisions and resource allocation
 - Changes in organizational culture, mindsets and behavior
 - Integrated into logical or results management frameworks
 - Other operational modalities or instruments, such as financing, capacity building, partnerships, advocacy
 - Integration into monitoring, evaluation, accountability and learning frameworks and indicators
 - Management or staff motivation, rewards, sanctions, recognition, and incentives, including ensuring compliance with any of the above
9. What were potential or actual tradeoffs faced in mainstreaming scaling versus other organizational objectives, and how were they addressed? (Examples of tradeoffs might include targeting quantity/scale versus quality or impact; equity considerations like No One left behind, Last Mile, other cross-cutting issues like gender equity, youth, climate change)
10. Has the organization pursued mainstreaming scaling into its activities only in terms of future activities, i.e., moving forward, pre-existing or legacy activities, or both?
- How has the organization applied mainstreaming to “legacy” projects, innovations and other pre-existing activities?
 - What surprises and challenges were experienced in efforts to mainstream scaling to legacy efforts?
 - How were the challenges to mainstreaming scaling into legacy efforts addressed and overcome?
 - How has the organization applied mainstreaming to new projects, innovations and funding decisions moving forward? How did that differ from legacy efforts?
 - What surprises and challenges were experienced in efforts to mainstream scaling to new efforts and initiatives?
 - How were these addressed and overcome?
11. How have mainstreaming strategies and activities evolved, been modified or adapted, over time?
- What have been the events, feedback, learning, opportunities or challenges that led to this evolution?
 - Have there been opponents or sources of resistance to mainstreaming from external actors and stakeholders? What has been the motivation for those opponents or resistance? How has resistance been addressed?
12. How has the international literature on scale, such as the COP’s Scaling Principles document,²⁸ affected your organization’s approach to scaling, both in terms of Vision and

²⁸ See Richard Kohl and Johannes Linn (2021). *Scaling Up Principles*. Paper prepared for the Scaling Up Community of Practice.
<https://www.scalingcommunityofpractice.com/wp-content/uploads/bp-attachments/8991/Scaling-Principles-Paper-final-13-Dec-21.pdf> 13 December



Goals (Section C above) and operationally (this section E)? To what extent do you feel your effort aligns with or departs from those principles or the international literature?

F. What have been the results of efforts to Mainstreaming Scaling to date

1. Operational Changes (See the list of bullet points under E2 above)
2. Impact on the Organization's Outputs, Outcomes and Goals, such as:
 - Integration of scaling into more project designs, funding decisions, allocation of resources
 - Integration of scaling into project, funding or innovation implementation
 - Impact at scale on the ground, i.e., actual sustainable impact at scale being achieved, in terms of both individual efforts and the organization's portfolio as a whole

G. What does the organization perceive as the future on its scaling journey?

1. Current Challenges and Opportunities
2. Next Steps
3. Unanswered questions and Future Action Research that would be helpful

H. Lesson Learned on Mainstreaming Scaling for

1. the Organization itself
2. similar organizations
3. the Sector(s) the Organization works in
4. International Development as a whole

