

MAINSTREAMING SCALING INITIATIVE

The Mainstreaming Tracker

A tool for assessing and managing the adoption of systematic approaches to scale by development funders

Richard Kohl and Larry Cooley

March 2025



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Paper commissioned by and prepared for
the Scaling Community of Practice

www.scalingcommunityofpractice.com



Preface

In January 2023, the **Scaling Community of Practice** (SCoP) launched a three-year action research initiative on mainstreaming scaling in funder organizations. This initiative has three purposes: to inform the SCoP 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 SCoP 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 SCoP. The study team is co-led by Larry Cooley (Co-Chair of the SCoP), Richard Kohl (Lead Consultant) and Johannes Linn (Co-Chair of the SCoP), and supported by Charlotte Coogan (Consultant and Program Manager of the SCoP) 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.



Acknowledgements

The authors received substantial, detailed input, comments and feedback from Johannes Linn which were greatly appreciated and substantially improved the quality of the product. Additional comments and feedback were received from Karla Petersen, Julien Colomer, John Floretta, Abe Grindle, Benjamin Kumpf, Bethany Park, Marc Schut, and Simon Winter. Their input is gratefully acknowledged. Nonetheless the findings, interpretations and conclusions expressed in this publication remain those of the author alone and do not necessarily reflect the views or opinions of these individuals, the organizations with which they are affiliated, nor the Scaling Community of Practice.



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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 systematic approaches to supporting sustainable outcomes at scale – a “Mainstreaming Initiative.” In the course of this effort, it became clear that organizations interested in mainstreaming scaling could benefit from tools to support those efforts. In that context, the SCoP decided to commission a Mainstreaming Tracking Tool (MTT). The background paper presenting summarizing that effort and the rationale for the proposed Tool can be found [here](#).

The MTT proposed in this paper is made up of an assessment matrix incorporating key elements of mainstreaming, each with five stages of progress from No Mainstreaming to Full Mainstreaming. The matrix is composed of six framing and enabling elements and seven operational and implementation elements. The five stages for each element contain criteria for assessing where an organization is in the progression towards Full Mainstreaming. The elements and criteria were derived principally from three sources: the SCoP’s work on scaling principles and practices, factors identified as important to mainstreaming by the mainstreaming case studies and synthesis paper, and similar tools found in the international development literature, particularly institutionalization trackers for scaling itself.

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. It can be applied either as an internal self-assessment exercise or by external evaluators. In the former case, we recommend that this be done in a workshop setting with professional facilitation and broad internal participation.

To the best of our knowledge, the MTT is the first tool designed to track and assess progress in mainstreaming scaling. By comparison, institutionalization trackers for scaling are used to assess progress in integrating specific innovations or intervention into permanent institutions at large scale.



Acronyms and Abbreviations

KPIs	Key Performance Indicators
M&E	Monitoring and Evaluation
MEAL	Monitoring, Evaluation, Adaptation, and Learning
MOPAN	Multilateral Organization Performance Assessment Network
MSI	Management Systems International
MTT	Mainstreaming Tracking Tool
OCA	Organizational Capacity Assessment
OECD	Organization for Economic Cooperation and Development
OD	Organizational Development
QA	Quality Assurance
QI	Quality Improvement
SCoP	Scaling Community of Practice
SDGs	Sustainable Development Goals
USAID	US Agency for International Development



Introduction

In 2023, the Scaling Community of Practice (SCoP) launched an action research initiative to study how international development funders have mainstreamed 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, there is not enough funding available to achieve many of the Sustainable Development Goals (SDGs) by 2030 unless organizations adopt a transformational approach to scaling (see definition of transformational scaling in Box 2). Second, despite substantial investments in innovations and in investment projects for development over the past fifteen years, disappointingly few have realized their potential for sustainable impact at scale. Third, despite the growing buzz around scaling over the last decade, and some notable examples of successful scaling, principal development actors – governments, private investors, civil society, and development funders – are not doing enough to pursue scaling systematically.

In that context, the objectives of the Mainstreaming Initiative were to: (i) assess progress to date in mainstreaming scaling into funder organizations; (ii) develop lessons learned, highlight good practices, and identify common obstacles and strategies to anticipate and address them; and (iii) disseminate those lessons to encourage and inform further mainstreaming by organizations within the development community.

Box 1. Definition of Mainstreaming

Mainstreaming scaling means systematically integrating the pursuit of sustainable outcomes at scale into organizational objectives, strategies, business models, operations, resource allocation, managerial and staff mindsets, and incentives. 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 scaling ecosystem(s).

By the end of 2024, the Mainstreaming Initiative had completed and published thirteen organizational case studies¹ and published an Interim Synthesis Report and Policy Brief on initial lessons learned from those studies.² The SCoP team completed separate studies on (i) how recipients view the challenges of obtaining funding for scaling³ and (ii) the extent to which scaling considerations have been integrated into monitoring and evaluation (M&E) frameworks commonly used in international development.⁴ In 2025, the Mainstreaming Initiative plans to publish twelve additional case studies with a focus on private foundations, and anticipates publishing a final report by fall 2025. The last third of 2025 will be devoted to

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 See <https://scalingcommunityofpractice.com/resources/evaluation>



disseminating 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 funder 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 **Mainstreaming Tracking Tool (MTT)**: a framework and set of indicators for tracking progress on mainstreaming. This tool is intended to be used for five purposes: (i) conducting a moment-in-time assessment or stocktaking as to where an organization is on mainstreaming scaling; (ii) creating a mainstreaming strategy; (iii) tracking progress in mainstreaming; (iv) communicating its work and progress on mainstreaming to internal and external stakeholders; and (v) promoting a shared understanding and vision of mainstreaming process and goals among internal actors and external stakeholders.

While the framework, indicators, and criteria proposed here are meant to be generally applicable, users may choose to adapt and customize them for their 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*⁶ (see Box 3).

It is important to note that for the mainstreaming initiative and the MTT, we use “scaling” as shorthand to refer to transformational scaling, as opposed to transactional scaling. The distinction between the two types of scaling is described in Box 2 on the next page.

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.



Box 2. Transformational and Transactional Scaling⁷

Transformational scaling and transactional scaling are fundamentally different ways of thinking about scaling. **Transactional scaling** is usually about doing MORE: having bigger projects, additional money, or greater resources that cover more locations or people. Transactional scaling builds on a projectized view of development that focuses on disbursements, intermediate outputs, and effects within a limited project lifetime.⁸ Impact is measured by a project hitting its internal targets, often focusing on the number 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.

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 or need. 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 proceeds 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. These foundations include mobilizing, enrolling, and strengthening 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 critical elements such as the capacity and capabilities of the Doer, necessary infrastructure or value chain institutions, and 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 and that there is sufficient demand (not just need) from the ultimate payers or end users.

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.

⁸ For example, many 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.

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 businesses need to be embedded in a viable upstream and downstream value chain, necessary infrastructure, and enabling environment to support a viable fishing industry.



Methodology, Source and Proposed Categories

Methodology and Sources

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

Box 3. Good Scaling Principles¹⁰

1. Begin with the end in mind: build scaling into projects and programs 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, adaptation, and learning 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 we used to develop the MTT was the templates used to guide the mainstreaming case studies (see Annex II for an example) and lessons learned from the case studies. A summary of the questions and topics contained in those templates is in Box 4 on the next page.

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



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?
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, including design, review, quality improvement, and approval?
11. To what extent has the organization integrated scaling into its MEAL frameworks and indicators? Are scaling indicators 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 a mechanism to provide support and training in scaling guidance, tools, and operations to management and staff? Is there 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 literature on organizational change. Table 1, on the next page, summarizes the categories or topics that three such tools cover: USAID's Organizational Capacity Assessment (OCA)¹¹; European Centre for Development Policy Management's Capacity, Change and Performance tool;¹² and Management Systems International's (MSI's) Institutional Development Framework.¹³ More relevant to scaling are the Institutionalization Tracker found

¹¹ This tool with facilitator and participant guides can be found [here](#).

¹² 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

¹³ See Renzi, Mark. (2011). [Performance Monitoring and Evaluation, Measuring Institutional Capacity](#), USAID TIPS Number 15.



in both the MSI toolkit¹⁴ and the Brookings work on scaling education.¹⁵ 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. Mainstreaming is different in that organizations are institutionalizing scaling, not an intervention, but both processes involve organizational institutionalization.

Table 1. Summary of Focal Topics in Three Key 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 (including leadership, planning and M&E)	Financial management and controls
Awareness, understanding, and learning	Human resources (includes skills, training, and motivation)	Administration and procurement
Values, meaning, and moral purpose	Financial resources	Human resources and systems
Formal structure and systems	External resources (includes advocacy and ability to collaborate with partners)	Program management
Assets, resources, and financial flows		Organizational management and sustainability
Ownership, commitment, and motivation		
Leadership, management, and entrepreneurship		

From this list, we derived a common minimum set of categories that an MTT should address, including:

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

¹⁴ See “[Tool 13: Institutionalization Tracker](#)”

¹⁵ See the Brookings Center for Universal Education, Brookings Institution, “[Institutionalization Tracker: Assessing the Integration of an education initiative into a system](#)”



7. Project and Program Design, Approval, Management, and Supervision
8. Structures and Systems
9. Incentives, Rewards, and Sanctions

Under each category, we identified key scaling indicators from the three sources listed above, which Table 2 summarizes below.

Table 2. Potential Mainstreaming Elements from Two Sources Mapped onto Organizational Development (OD) Categories¹⁶

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 are they 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 handoff 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
<i>Financial Management, Instruments and Resources</i>	Allocate dedicated internal financial and other resources to support scaling	Mobilize resources and institutional capacity for scaling and for sustained implementation at scale
	Financial, grant, and funding instruments suitable to scaling	
<i>External Resources (Partnerships)</i>	Integrated into partnerships with other funding and/or implementing organizations	Create and leverage transformational partnerships

¹⁶ Because some of the elements correspond to multiple categories, for simplicity's sake the paper combines *Project and program management design, approval, management, and supervision* with *Structures and Systems* and *Organizational Management*.



<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: 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 MEAL; are they being used?	Focus on sustainability: aligning intervention costs, and required capacity with domestic resources and stakeholder interests and incentives
		Integrate scaling into operations and instruments: e.g., longer time horizon, iterative, flexible, adaptive management
<i>Monitoring, evaluation, adaptation, and learning</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

Proposed Elements and Criteria for a Mainstreaming Tracking tool

This section builds on the review in the previous section to frame a Mainstreaming Tracking Tool. First, we propose a total of thirteen elements that can be tracked to monitor, learn from, and adapt efforts to mainstream scaling. Items one through six address an organization’s enabling environment for mainstreaming scaling. The remaining seven items are needed to operationalize and implement scaling. All thirteen elements include criteria, mostly qualitative, to assess progress.

The tool is structured as a maturity matrix with five stages of mainstreaming, and provides descriptions of the state of mainstreaming for each element at each stage. The five stages are:

- 1. No Mainstreaming** - Outside of the organization. Nothing has been done on this element.



2. **Low Mainstreaming** - On the periphery of the organization. A small or minimal effort has been made but remains marginal; it is not fully developed nor is it widely used.
3. **Emerging Mainstreaming** - Somewhere in the organization. This 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 it is not widely used.
4. **Significant Mainstreaming** - At the center of the organization. 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 or fully developed and used by most of the organization.
5. **Fully Mainstreamed** - Intrinsic to the organization. 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.



A. Scaling Elements and Criteria

Table 3 below presents the 13 elements for mainstreaming scaling, accompanied by criteria to assess progress on that element. Criteria are defined in terms of what full implementation and best practice are, i.e., the endpoint, with a continuum from no progress to full implementation from left to right in the assessment matrix (tables 4).

Table 3. 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 management, 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 • Has clarity on its niche or comparative advantage in supporting sustainable scaling 	<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 of 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>
<p>7. 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,¹⁷ 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 after project completion Post-project sustainability and continued scaling are included and addressed Flexibility in grant design and implementation using adaptive learning and management Reporting requirements prioritize progress towards sustainable scaling 	<p><i>Project Cycle; Structures and Systems; Organizational Management</i></p>

¹⁷ Quality Assurance and Quality Improvement, respectively. Many development organizations include in their project/grant making cycle a review stage in which 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.



	<ul style="list-style-type: none"> Funding instruments appropriately differentiated according to scaling pathway stage; uses programmatic¹⁸ or other financial instruments that are aligned with the needs of scaling 	
<p>8. Explicit, Dedicated Financial Resources to fund scaling</p>	<ul style="list-style-type: none"> Specifically allocated funds to finance the organization’s activity in the niche(s) in scaling that this organization occupies, such as transition to scale, scaling, and institutionalization Procurement and financial instruments support scaling, e.g., programmatic, multi-tranche, longer-term duration 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 advancing to scale; monitoring influences future funding decisions and reinvestment 	<p><i>Financial Management, Instruments and Resources</i></p>
<p>9. Internal Resources for Organizational Costs of Operationalizing 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>10. 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>

¹⁸ 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.



B. The Mainstreaming Tracking Tool

This section presents the Mainstreaming Assessment matrix. For each element, progress is measured either by adding additional criteria, drawn from Table 3, 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 completely. Breadth is the extent to which a change has been applied, adopted, or rolled out throughout the entire organization.

Table 4. Assessment Matrix

Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (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 at the senior level 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 has not allocated resources 	<ul style="list-style-type: none"> Strong, explicit support over multiple years for the importance of scaling from 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 allocated resources to support operationalization Middle management is fully engaged Continuity of leadership focus assured in the event of change in leadership



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
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 a 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



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
3. Optimal Scale; Equity and Inclusion	<ul style="list-style-type: none"> • Implicit approach, if any, to scaling maximizes only numbers, places, or reach 	<ul style="list-style-type: none"> • Growing, if informal, recognition that there are trade-offs between size/reach and other objectives 	<ul style="list-style-type: none"> • Widespread recognition that there are tradeoffs with other goals: access, equity, inclusion, sustainability, impact • No leadership, guidance, or tools on making such tradeoffs • Scaling remains an unfunded mandate 	<ul style="list-style-type: none"> • Guidance and tools exist on how to approach tradeoffs • Middle management and staff expected to make such tradeoffs explicit • Small but growing evidence of tradeoffs being made in project cycle, country or sector strategies 	<ul style="list-style-type: none"> • Political support from senior management for middle management and staff to make hard choices • Widespread implementation of guidance and tools on how to approach tradeoffs



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
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 organizational development 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 with ownership and buy in from middle management and staff



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
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 scaling are being produced regularly
6. Mechanisms for Tracking Mainstreaming Goals and Strategy	<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 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"> MEAL framework and indicators are in place MEAL of mainstreaming is being rolled out, covers some of the organization 	<ul style="list-style-type: none"> MEAL of mainstreaming conducted regularly Tracking feeds into an accountability process



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
7. 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, including post-project financial and implementation sustainability Financial instruments are not designed to support scaling Systems strengthening and addressing enabling conditions either are not included in projects or are not linked to scaling 	<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 are 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; including 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 and grant design using adaptive management Appropriate programmatic, multi-phase approaches and multi-tranche financial instruments are widely and properly used



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
8. Dedicated Share of Portfolio, Financial Resources to Fund Scaling	<ul style="list-style-type: none"> • There is no dedicated funding to support scaling • There are no targets for the share of the portfolio intended to achieve impact at scale 	<ul style="list-style-type: none"> • There is a small amount of funding for scaling available on a pilot basis 	<ul style="list-style-type: none"> • Strategy exists to grow scaling funding over the medium-term • Portfolio tracking system exists for investment progress 	<ul style="list-style-type: none"> • There are significant financial resources dedicated explicitly for purposes of scaling • Resources are available throughout the entire organization • Resources are sufficient to incentivize scaling • Portfolio tracking covers a large share of total investments 	<ul style="list-style-type: none"> • Sufficient funding is available for all projects/grants with scaling potential • 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



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
9. Technical and Budget Resources for Internal, Organizational Costs of Scaling	<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, but there is 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 a 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 are available for all operational units to integrate scaling into their work



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
10. Decentralization and Localization	<ul style="list-style-type: none"> No phases of project cycle or implementation integrate local views or 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 are involved in implementation, but have no input into adaptive management May have a local presence and consultations, but it is temporary and for project purposes only Mainstreaming is being adopted by a few divisions, sectors or countries 	<ul style="list-style-type: none"> Local partners have some input into setting project/grant goals, design, and review Local partners play a significant role in implementation, have input into adaptive management Scaling has been successfully mainstreamed in some of the organization Ongoing local presence in some countries or regional hubs; decision making still rests largely in headquarters MEAL is mostly oriented to external actors 	<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 Local partners lead implementation; external actors mostly provide short-term technical assistance Joint local/external MEAL 	<ul style="list-style-type: none"> Local actors lead project/grant cycle Local actors largely implement MEAL



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
11. Partnerships and Intermediary Function	<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 an 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 is being rolled out • Partnerships mixed between transactional and transformational • Partners lead implementation • Beginning to play or fund intermediary role • Handoff strategy is under development, or 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 requirements for partnership commitments; used as input into decision making



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
12. Integrated into MEAL	<ul style="list-style-type: none"> No MEAL frameworks or indicators relevant to transformational scaling May measure size of impact at project end, focuses on outputs 	<ul style="list-style-type: none"> MEAL frameworks, indicators and guidance for scaling are being developed and piloted Existing or new MEAL approaches remain focused on outputs, short-term, reach, and only direct beneficiaries (transactional) Primarily focuses on accountability and evaluation 	<ul style="list-style-type: none"> MEAL frameworks and indicators for transformational scaling are under development, or are being piloted Coverage expands beyond evaluation and accountability to tracking progress in scaling and support scaling decisions 	<ul style="list-style-type: none"> MEAL frameworks, guidance, and indicators for transformational scaling are widely used for all aspects of scaling, including adaptive management 	<ul style="list-style-type: none"> Learning is a major goal of MEAL MEAL integrates optimal scaling decisions Localization is integrated into MEAL approaches and implementation MEAL for and of mainstreaming is in place and widely used



Elements	Stages				
	No Mainstreaming (outside of the organization)	Low Mainstreaming (on the periphery of the organization)	Emerging Mainstreaming (somewhere in the organization)	Significant Mainstreaming (at center of the organization)	Fully Mainstreamed (intrinsic to the organization)
13. Organizational Culture, Incentives, and Measures of Success	<ul style="list-style-type: none"> Organizational culture and incentives focus on the number of project approvals, timely disbursements, and outputs achieved Success is 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 the scale of impact Measures of success have been adapted accordingly 	<ul style="list-style-type: none"> Definitions of success are shifting to transformational scaling Organizational culture and informal incentives are beginning to embody scaling as central to the organization; individuals see scaling as the future Culture interacts with the development of scaling definitions, tools, etc. 	<ul style="list-style-type: none"> Transformational scaling is increasingly integrated into individual, unit, and division KPIs, and organizational definitions of success The alignment of scaling KPIs with scaling into MEAL, project cycle is underway 	<ul style="list-style-type: none"> Human resource policies (promotion, salary) incentivize transformational scaling Transformational scaling is fully reflected in organizational, division, and staff understandings of success Positive status based on success in achieving transformational scaling



C. Visualizing and Interpreting Results

Effective and sustainable mainstreaming requires reaching at least level 4 in all of the MTT's 13 elements but progress is always uneven and necessarily incremental. Given the number and range of elements, it is useful for assessing and guiding progress to see the results of the MTT in a graphic form. So-called radar or spider diagrams are particularly useful in providing easily understood snapshots and focusing stakeholder attention on remaining challenges.

As a practical matter, we have found that having more than seven indicators in the same figure is overwhelming and difficult to understand. Therefore, we suggest splitting the thirteen mainstreaming elements into two groups, the first six focusing on Enabling Elements, and the second seven focusing on Operational Elements (see Figure 1 and Figure 2 for a hypothetical example).

Figure 1. Enabling Elements

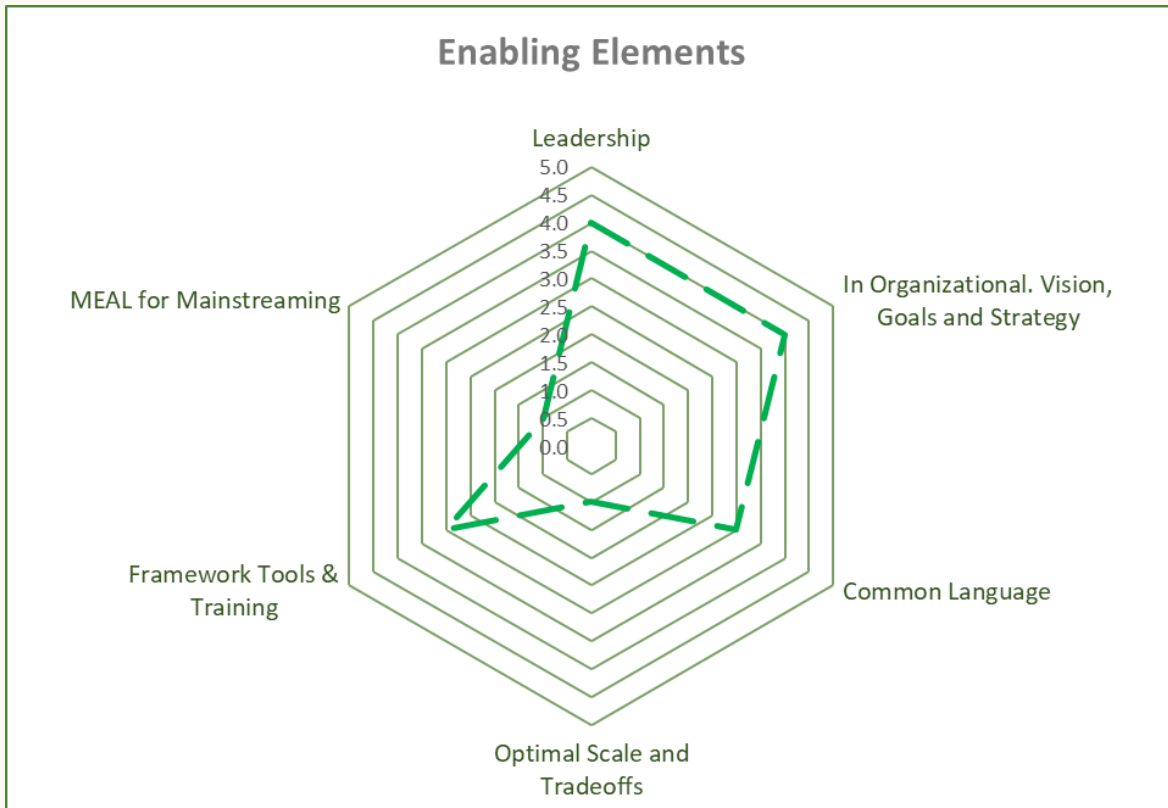
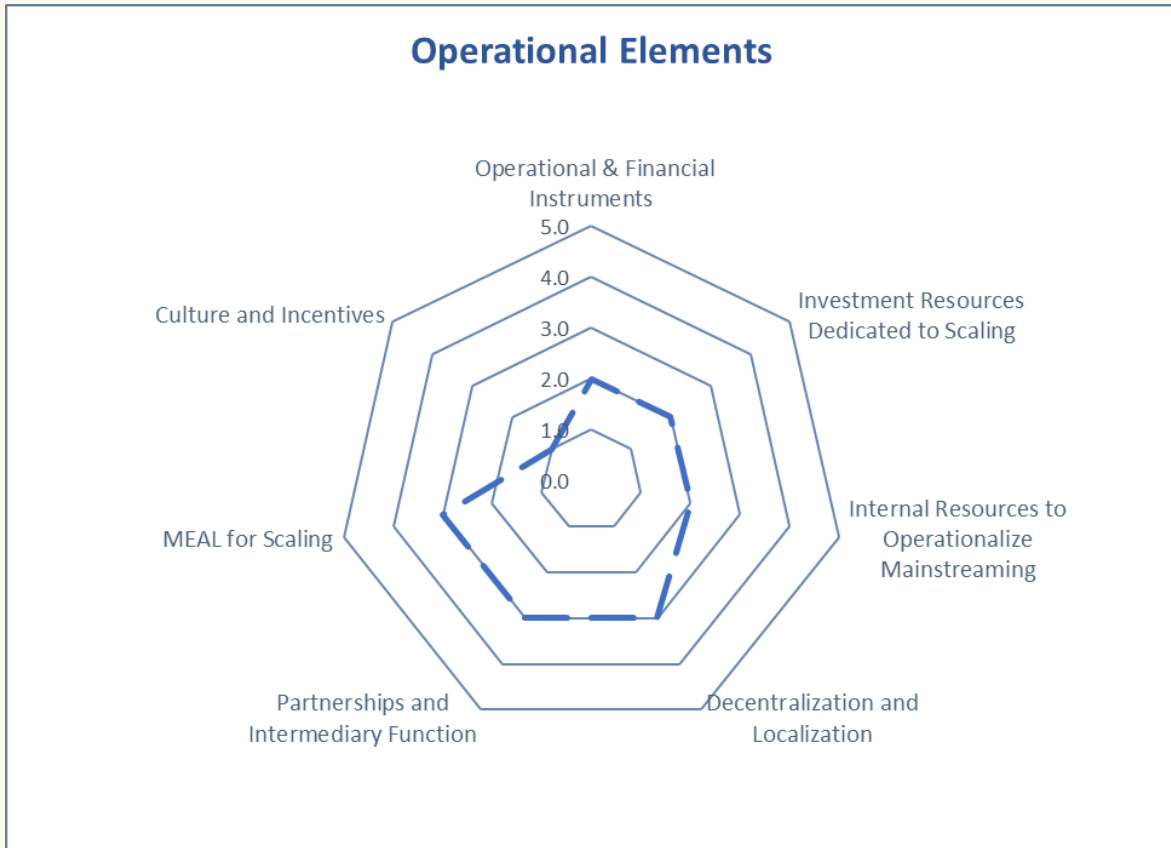


Figure 2. Operational Elements



Superimposing assessments from two or more separate points in time provides a practical and accessible way of summarizing progress and suggesting areas that have proven resistant to change and that demand new strategies.



Applications of the Mainstreaming Tracking Tool

As noted at the start of this paper, the MTT can be used to: (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.

In all these uses, the MTT can be used and applied by individuals or a group working on mainstreaming strategy and implementation. For internal purposes, we highly recommend that it be implemented as a participatory, group, self-assessment exercise.

A tool at this level of generality does not reflect the specific uses, considerations or context of a specific organization. Organizations that wish to use the MTT should alter, modify, adjust, or change it to align with how they intend to use it. 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.

Perhaps most importantly in using the MTT, the focus should not be solely or even primarily on “scoring” overall performance. It is much more important to create a shared understanding of where the organization is on mainstreaming each of the dimensions or elements on the tracker matrix – why a particular score was agreed upon or selected – and what is needed to improve on those dimensions where performance lags or is particularly important for overall achievement of the organizational mission and strategy.



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”.¹⁹ 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 Programs 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 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

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



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 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 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 public-private partnership. 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 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 need 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 must 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.²⁰
- 8. Integrate Scaling into 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 purpose 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 need to be assessed.
- 10. Apply Scalability Criteria and Assessments throughout the Project Cycle.** The international literature on scaling has identified many 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

²⁰ 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. Additional information can be found in the 2nd and 3rd edition of the framework.



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.

- 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 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 Template²¹

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 measures 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

²¹ 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.



- Pressure or initiatives from staff
 - Results of internal evaluations
 - Recognition that business as usual was not achieving organizational mission
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 on page 39):
 - 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

1. Who have been the leaders or champions of scaling within the organization? What has been the motivation for those leaders and champions?
2. 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?
3. 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?
4. 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?



2. 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
3. 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)
4. 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?



5. 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?
6. How has the international literature on scale, such as the COP's Scaling Principles document,²² affected your organization's approach to scaling, both in terms of Vision and Goals (Section C on page 40) 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 on page 42)
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

²² See Richard Kohl and Johannes Linn (2021). **Scaling Up Principles. Paper prepared for the Scaling Up Community of Practice.** 13 December

