

A Short Workshop Guide to Positioning Data for Development (D4D) Initiatives for Scaling

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Maria Hattya | James Owen | Andrew Thornley



Glossary

Application Programming Interface (API)

Set of routines, protocols, and tools for building software applications that allows two or more software programs to share data.

Commercialization

A method of replication where scaling efforts are based on the adoption of the model by the private sector or a social enterprise and operated as financially viable ventures.

Data for Development (D4D)

An initiative that promotes more effective use of high-quality data to inform meaningful policymaking, efficient resource allocation, effective public services, and other key development objectives.

Diffusion and Spillover

A method of replication that includes informal and deliberate dissemination efforts.

Dimensions

The scope and nature of the intended scaling-up effort.

Field Building

A scaling method that combines replication and collaboration methods with emphasis on 'building the ecosystem' or 'the field'.

Functional scale

Scaling up by increasing the scope of activity.

Grafting

A method of replication where a model or one component of a model is incorporated into another organization's array of services or methods of service delivery.

Interoperability

The degree to which two products, programs, etc. can be used together, or the quality of being able to be used together.

Model

A system or a prototype used as an example. Refer to 'what' is being scaled up/piloted.

Optimal Scale

The ideal (most preferable) scale to which a D4D initiative should be taken.

Policy Adoption

A method of replication where pilot models that are run by an NGO, university, community group, research lab or private company, scale into a program or practice mandated and often run by the public sector.

Policy Reform

The effort to develop proactive laws, regulations and other policies—for example, to adopt a technology/data solution or empower key state institutions to adopt these solutions.

Quantitative scale

A scaling up dimension—when an initiative increases its geographical spread to more people and communities within the same sector or functional area.

Scale/Scaling Up

The process of expanding, adapting, and sustaining successful policies, programs, or projects over time.

I. Introduction to This Guide

Why we developed this guide

There is an emerging body of literature and tools that explore the strategies that have worked to scale development impact. Communities of practice have emerged that look to employ more systematic and scientific approaches to scaling, falling under umbrella terms of ‘scaling science’ and ‘scaling impact’. This is a growing field of research and practice, and there is an appetite among D4D practitioners to test existing approaches, try new initiatives, and share their findings.

Researchers and practitioners have developed frameworks and toolkits in an attempt to provide more structured guidance on how to scale the impact of projects and programs. Most are typically general and require some modification to fit a sectoral focus. Those tools that are sector-specific primarily focus on disaster management and health.

Frameworks that address D4D scaling tend to focus on data tools and technology, paying less attention to broader measures of development impact, such as policy impact. Almost all of the tools are not ‘workshop ready’ in the sense that a program team and partners can take the tool and use it along with a facilitation guide for discussions and workshops.

With this in mind, The Asia Foundation approached Saraswati to partner in *applying a structured questioning process — to be used through an interactive online facilitated workshop — to help teams position D4D initiatives for scaling.*

Specifically, this collaboration was focused on supporting The Asia Foundation’s Urban Safety Project and Policy Reform teams in Myanmar to develop scaling plans.

This guide outlines the results of our collaborative process to explore scaling beyond simply defining the breadth of coverage, numbers of people

reached and financial resources. We created this guide as a practical resource to support teams in promoting a more contextualized approach to scaling D4D initiatives through a detailed, systematic and yet flexible process.

The challenge in scaling D4D initiatives

The Asia Foundation in Myanmar has been supporting local authorities to undertake reforms to the way that they raise revenues, make decisions, and engage with the public. A core component of these reforms has been the introduction of digital processes to save time, encourage interdepartmental coordination, and give decision-makers access to the data that can help them make more evidence informed decisions. More fundamentally, these tools have been an entry point into deeper policy conversations on the role of local government authorities and the way that they operate, and the role that data can play in this.

None of the projects started with an explicit plan for scaling beyond pilot project locations or beyond the project funding cycle. Over time, however, strategies were developed, and scaling processes initiated. While these have been partial and fragmented, they had, in one case, enabled success

in moving beyond pilots. The interventions had scaled, resulting in further changes in the operating context that presented new opportunities and challenges. In the other case the pilots had generated great interest in the tool across different partners – each offering their own bold visions for scale. The options were overwhelming. A deeper and broader re-think was in order, but we were not sure how best to go about it.

Around the world, development partners are working on similar projects to these that look to employ digital tools to improve data collection, aggregation, sharing, and analysis as means to address development problems. A common challenge amongst these projects is that the majority of them struggle to reach a sufficient scale to justify the initial investments. Even where there is clear demand they struggle to develop a viable operating model that can sustain them beyond the initial project pilot. In other cases, the allure (and pressures) of big budgets encourage organizations to push initiatives to a scale that is not optimal.

While donors and development partners typically expect projects to scale, going to scale is a major challenge. The most comprehensive research undertaken to date suggests that approximately one out of every twenty projects goes to scale

(McLean and Gargani, 2019). Going to scale requires a different way of thinking about interventions, program and partners. Scaling thinking needs to be built and shared among stakeholders at various levels of maturity. Scaling is a dynamic process that needs constant questioning and visioning.

This prompted us to question: *how could we help to position our D4D initiatives for scaling?*

How we developed this guide

The Asia Foundation and Saraswati started with an ambitious two-month objective: determine key questions to ask of teams at any stage of the D4D scaling process (based on a rapid literature review), develop online workshop tools (using Miro) based around these questions, and conduct a workshop with each of the two teams to help them re-evaluate their scaling strategies and test the extent that these tools and this approach are fit-for-purpose. The tools were then modified based on participant feedback.

An explicit hypothesis tested through this exercise was that there are important guiding questions that are worth asking at different stages in a project's development – that as a project evolves, partners can come back to these questions and revisit and revise their answers to them. Some scaling tools have been designed to enable this, and the



Photo Source: Inside Look: Tech-Driven Tax Reform in Taunggyi, Myanmar

approach is consistent with The Asia Foundation's practice of periodically revising Theories of Change as the context changes, under formatting a process known as [Strategy Testing](#).

The two facilitated workshops, conducted in October 2020, included an introductory overview of what is meant by scale, and were designed to help teams apply a more informed understanding of scale to respond to our guiding questions, using the Miro tools we developed. Much of the information in the overview and in support of the guiding questions is the result of liberal poaching from some valuable resources and references, which are cited at the end of this guide.

We concluded the workshops by using a Scaling Lean Canvas, which we developed to help teams capture key inputs and insights from the workshop discussion. In this way, the workshops concluded with a summary snapshot of the key issues for scaling planning at that point in time. (We should note that Saraswati, as workshop facilitators, met with the Myanmar teams before and after the workshop for planning and evaluation purposes.)

This exercise also generated valuable lessons for both the implementers and the recipients. In order to share these with relevant communities of practice, The Asia Foundation and Saraswati, along with collaborating partners, produced and published three blogs. These blogs summarize much of our thinking behind this process and the key learning that resulted.

And so this guide represents the compilation of key inputs and learning from our collaboration to position teams for scaling D4D initiatives, including:

- An overview on scaling D4D
- Guiding questions on scaling D4D
- Miro workshop tools
- Our learning from the experience

Who this guide is for

This guide is for teams considering or already engaged in designing and implementing a D4D initiative. You will find this guide more useful if you are open to challenging existing assumptions about your planned or current D4D projects and your institution's roles in these initiatives.

How to use this guide

- Whether you have just started conceiving a D4D design or just completed a project pilot, this guide will provide you with questions and tools that will help you think about scaling.
- Read our Brief Introduction to Scaling and adapt this as you see fit.
- Explore the modular step-by-step approach to exploring scaling, along with introductions and facilitator guidelines for each of the ten modules.
- Tailor these modules based on your needs, conditions and resources. You can access the Miro tools here bit.ly/D4DMiroboard. As with any guide, the information and tools we provide are not definitive and are there to be adapted as you need.
- Invite a third party—an individual or organization not vested or involved in your D4D initiative—to help facilitate your team through the scaling process we present in this guide.
- Learn from our experiences and plan accordingly.

Let us know what worked

- If you use this guide, please let us and others know what worked better and not so well. For us this is a work in progress and so we would love to hear your feedback on this guide and about your own workshop experiences. You can reach us at myanmar.general@asiafoundation.org and info@saraswati.global.

[Saraswati](#) is an Indonesian company that promotes development innovation. Our work ranges from human-centered design to online platform development, data training and analysis, knowledge management, strategic planning, evaluations, and even matchmaking in support of cross-sector collaboration. Our interest in the importance as well as challenges of scaling D4D initiatives was piqued during our evaluations of UN Pulse Lab Jakarta's excellent in-house initiatives and innovation grants in Indonesia. We are grateful to UN Pulse Lab Jakarta and Instellar for their collaboration in supporting the design and facilitation of these scaling D4D workshops.

The Asia Foundation is a nonprofit international development organization committed to improving lives across a dynamic and developing Asia. Informed by six decades of experience and deep local expertise, our programs address critical issues affecting Asia in the 21st century – governance and law, economic development, women's empowerment, environment, and international cooperation. Headquartered in San Francisco, The Asia Foundation works through a network of offices in 18 Asian countries and in Washington, DC.



Photo Source: Inside Look: Tech-Driven Tax Reform in Taunggyi, Myanmar

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II. The Workshop Toolkit

Workshop Pre-reading: Brief Introduction to Scaling

We recommend that background information on scaling be provided to participants either before a scaling D4D workshop (as part of a briefing package), or as the first session. The information provided below draws extensively from a variety of excellent resources, which are cited both in this section and at the end of this Guide.

What do we mean by scale?

Scaling up is the ‘process of expanding, adapting, and sustaining successful policies, programs, or projects over time;’ (Hartmann and Linn, 2008).

Organizations should think of scaling up as a multidimensional process of change and adaptation that can include a quantitative, functional, political, and organizational transformation. Such changes are expected to bring about some pain and will require significant adjustment (Hartmann and Linn, 2008).

What do we mean by scaling D4D?

D4D promotes the more effective use of high-quality data to inform meaningful policymaking, efficient resource allocation, effective public services, and other key development objectives.

Scaling in this context can be referred to as a deliberate effort to increase the impact of a D4D initiative—that has undergone a certain pilot, prototype, or experimental phase—to benefit more people and/or to promote beneficial policy change.

As such, scaling does not just have to be about scaling a tech tool, such as an online platform. It can be about scaling the capabilities of government officials to access and use data to improve public

service delivery, or changing attitudes and ideas towards data and its uses.

Why does scale matter (and for D4D)?

The term scaling is borrowed from industrial expansion, reflecting a mindset in which scaling ‘the organization’ was more desirable than ‘impact’. This followed the notion that ‘bigger is better’ and centers purpose around commercial success. While this may influence social innovators who want to scale up impact, such paradigms are insufficient for contemporary social innovation that aims to achieve *social impact* (Cooley, et al., 2006).

The **magnitude** of social problems that can benefit from D4D, such as poverty, climate impact, gender injustice and inaccessible health care, require solutions at scale. By their nature, these issues are cross-border or not focused solely on one location or one dimension (Price-Kelly, van Haeren and McLean, 2020).

Reflecting on these social problems, **designing for scale** means thinking beyond the pilot and making choices that will enable widespread adoption later, as well as determining what will be affordable and usable by larger populations, rather than by a few pilot communities. Building programs that are designed for scalability accordingly enhances the potential for impact and is especially relevant for

D4D. There is increasing recognition of the need to avoid ‘pilotitis’ – the proliferation of D4D prototypes that are not scalable or even sustainable.

As a relatively new approach in development, D4D offers innovative approaches that need to constantly be questioned, refined, and thought through to ensure the benefits to society. This principle is known as the ‘science of scaling’, and has helped to frame the approach used in this guide (Price-Kelly, van Haeren and McLean, 2020).

Additionally, scale can deliver one central objective of financial sustainability (Price-Kelly, van Haeren and McLean, 2020), to create an economy of scale that yields a higher return on investment.

However, more is not necessarily better. As noted in ‘Scaling Up’ by Hartmann and Linn (2008), scale should only take place after the pilot conducted on a limited scale has been evaluated and found to be effective and efficient, as well as after adapting, and, where appropriate, simplifying, the model/

approach to focus on what is critical. Simply because a solution works at a local level does not mean that implementing it nation-wide or beyond will multiply the benefits (and vice versa).

Determining optimal scale (the ideal scale to which an initiative should be taken) requires ongoing considerations of the trade-offs between magnitude (how much impact), sustainability (how long impact lasts and what affects this), equity (weighing the benefits and harms to different subgroups), the variety of impacts, and financial sustainability (Price-Kelly, van Haeren and McLean, 2020).



Photo Source: Scaling Up Workshop with Thibi and The Asia Foundation's Urban Safety Project Team, 22 October 2020

How to scale?

Generally speaking, there are two main types of scaling: horizontal scaling and vertical scaling. Horizontal scaling means expanding the initiative by increasing the size, by reaching a larger population, or increasing the geographical base. Vertical scaling refers to expanding the initiative through the process of institutionalization or policy reform (Morinière, et al., 2018).

Best practices suggest a combination of horizontal and vertical scaling, with vertical being most desirable for sustainability.

Scaling up also requires numerous transformations that may occur in different ways. These transformations can be classified into different **methods** and **dimensions**. Often, the transformation is not a linear process, or a choice between one method/dimension or another, but it can be more appropriate to adapt and make various choices along the scaling journey ([Cooley, et al., 2006](#)).

Methods of scaling include:

■ Expansion:

- Growth: branching out into new locations or target groups.
- Restructuring or decentralization: a method of expansion that places special demands on the originating organization.
- Franchising: the originating organization authorizes other organizations to operate as agents or clones of the originating organization.
- Spin-off: parts of the originating organization to operate independently.

■ Replication:

- Policy adoption (vertical): where pilot models that are run by NGOs, universities, community groups, research labs, or private companies scale into a program or practice mandated and often run by the public sector.
- Grafting: an initiative or one component of an initiative is incorporated into another organization's array of services or methods of service delivery.

- Diffusion and spillover: methods of application that include informal and deliberate dissemination efforts.
- Commercialization: scaling efforts based on the adoption of the model/initiative by the private sector or a social enterprise and operated as a financially viable venture.

■ Collaboration: a method of scaling up that organizes a collaborative approach that includes some division of responsibility among related organizations. These include:

- Formal partnership
- Joint ventures and strategic alliance
- Networks and coalitions

The **dimensions** of scaling explore where and for whom scaling up occurs. The following vectors can help determine these dimensions:

- Quantitative: spread to more people and communities within the same sector or functional area.
 - Geographic coverage: extending to a new location
 - The breadth of coverage: extending to more people in currently served categories and localities
 - Client type: extending to new categories of clients
- Functional: increasing the scope of activity.
 - Depth of services: extending additional services to current clients

- Problem definition: extending current methods to new problems
- Institutionalization / organizational : expansion through institutional changes, such as building internal capacities with a set of skills, talents, and experiences, partnership with other existing institutions, or the creation of a new institution. Political: expanding through the effort to influence the political process and work with

other stakeholder groups, with state agencies, parliamentarians, political parties, and other institutions.

- Policy reform: developing proactive laws, regulations and other policies, for example, to adopt a technology/data solution or empower key state institutions to adopt these solutions.

Internal and external factors can have a strong influence on the success of effective scaling up (Morinière, et al., 2018).

- **Internal factors:** Directly stem from the initiative's design, scaling entity(ies) and/or scaling up strategy.
- **External factors:** Conditions and institutions external to the scaling entity(ies), including politics and policies, norms and cultural factors, government actors, other relevant institutions (for example, enablers and competitors), socio-economic conditions and timing.

Dynamic evaluation can help to guide, improve, and optimize scaling efforts and support initiatives to advertise their accomplishments. Dynamic evaluation encourages learning in three primary ways: (1) evaluate scaling by assessing the elements of optimal scale: magnitude, variety, equity, and sustainability of change; (2) learn continuously from initiators, enablers, competitors, and those impacted; (3) be flexible because scaling shifts things and so it must include an evaluative focus on these shifts (McLean and Gargani, 2019).

Key challenges (for example, in Sotsky and Kartt, and Saldinger) in scaling D4D initiatives include:

- A lack of success stories from civic tech start-ups and other D4D initiatives
- Variations in revenue models for scaling
- Different growth paths
- Defining what is to be scaled: for example, are

you scaling a tech tool/approach and/or the understanding to promote effective use of that tool/approach?

- Lack of government buy-in
- Inadequate understanding of the need as well as insufficient ground-truthing (keeping users at the center of design processes) for the proposed solution
- Lack of rigorous and consistent impact measurement and evaluation (including lack of data to prove the impact of an intervention)
- Philanthropic/development funding typically targets specific projects and not core capacities
- Structural barriers: accessible internet, literacy, digital literacy
- Mindsets need to be changed to develop strategies where people automatically think big
- *Founders syndrome*: when visionary founders do not allow new leadership with the required skill sets for scaling
- Lack of formal systems for human resources and financial management
- Operating at scale means failing at scale. There is the need to learn quickly from mistakes, something that many organizations struggle with.

From scaling tools to scaling impact

Scaling impact is a coordinated effort to achieve a collection of impacts at optimal scale that occurs if it is both morally justified and warranted by the dynamic evaluation of evidence.

Scaling Impact – Innovation for the Public Good (2019).

Technology and data tools can be a powerful means to achieve greater impact. But scaling technology and data tools in and of themselves may not scale impact, and an overt focus on the tools can result in many missed opportunities, or worse. What really matters when scaling is the positive impact the innovation creates. This could involve scaling the magnitude of impacts (which need not take the

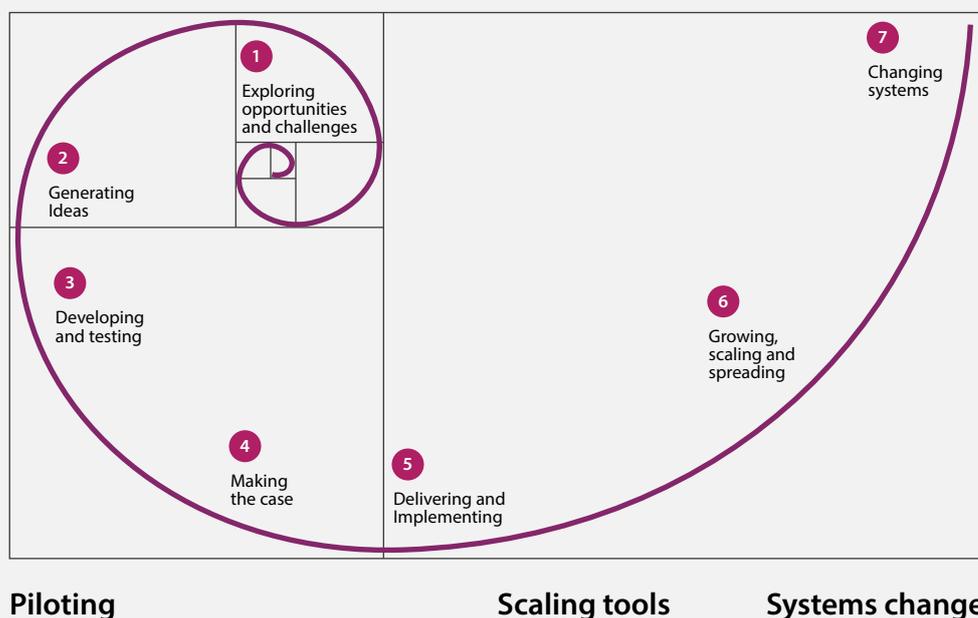
form of more users), the variety of impacts, the sustainability of impact, and the equity of impacts. A focus on scaling impacts over tools helps teams to consider how impacts are expected to change as the tools scale. It can also help teams open up to alternative ways to increase impact such as through influencing policy, ideas, and the incentives and capabilities of other actors within the system.

Case Study

Scaling the impact of digital tax systems in Myanmar

Decades of deliberate neglect of Myanmar's tax-administration system have left the country with one of the lowest tax takes in the world, [undermining service provision and the social contract](#). To help address this The Asia Foundation

has been working with municipalities to implement digital tax (and fee) management systems that streamline collection processes and generate data to inform policymaking. Initial pilots caught the attention of partners and four



years on over 70 municipalities are implementing digital collection systems, with the central government about to set digital municipal tax collection as a national priority under the responsibility of a newly appointed ministry.

As is typically the case, this was not a linear path to scale. There were many setbacks and each failure (and success) provided information that helped guide an evolution in scaling methods and techniques. To help simplify things for this Guide, however, we borrow from the social innovation spiral and break the scaling journey into three phases: piloting, scaling tools, and systems change. The reality was much messier and there was an element of each of these at play throughout the project, with continual efforts to change systems and regular piloting of approaches. It is more a story of emphasis.



Traditional paper collection systems do not lend themselves to easy data analysis, hiding simple but important features of the system.

In 2016, following research and consultation with municipalities, The Asia Foundation established partnerships with local tech start up Koe Koe Tech and Myanmar policy institute the Renaissance Institute. Koe Koe Tech developed, prototyped and piloted Myankhon (a tablet and browser-based revenue management system) and provided ongoing training and coaching to municipal tax and fee collectors. The Renaissance Institute supported more senior municipal

officials with data analysis and policy reform, drawing on Myankhon data to enhance its impact and provide proofs of concept on this less appreciated value of digital systems.



The Myankhon collection system in use by a tax collector.

Phase 1 – piloting

It was a bumpy start. Four pilot municipalities became two, rising to four, and falling to three. Two years after the first prototype was developed, the list of implementation problems only seemed to be growing. We had underestimated how much continued support municipal officials would need to become comfortable with the technology. With slow uptake, government partners were resistant to transition to a subscription-based payment model that was integral to the financial sustainability of the platform that includes Koe Koe Tech's ongoing support and product development. Discussions were had on whether to accept this as a failure and close the project. The Asia Foundation's partners insisted that the team needed to adjust their expectations and give it more time. They were right.

Phase 2 – scaling tools

Things started to improve once one of the early adopters, a well-known municipal reformer respected by colleagues, presented at a national workshop on how the tool had produced time



Photo Source: Inside Look: Tech-Driven Tax Reform in Taunggyi, Myanmar

savings and improved public trust collection process (the latter an unexpected impact). Two of the three pilot municipalities agreed to pay ongoing subscription fees for continued technical and capacity support. At the same time, work was proceeding on an important use case, using the data generated to provide evidence to inform policy changes in the city of Taunggyi, Myanmar's fourth largest city. (This would, two years later, result in a doubling of the city's annual property tax collections). By year three a further seven municipalities had signed up and The Asia Foundation found itself in the novel position of advising one regional director against his plans to expand it to all 26 of his townships out of concerns the current delivery model was not cost-effective for small towns.

Noticing this increased demand, new development partners entered the fray, offering funds and support for further expansion. These changes cumulatively presented compelling evidence that sufficient scale could be achieved to provide a sustainable business model. The Asia Foundation and Koe Koe Tech worked together to prepare for new funding partners and implementation at greater scale by redesigning

the delivery model to bring down average costs, accelerate uptake, and overcome anticipated bottlenecks related to government approval processes and township-level data analysis. This involved revamping the training curriculum and tech support services, increasing the size of Koe Koe Tech's sales and government relations team, and developing data analysis dashboards.

In the scaling lingo the *dimensions* of scale at this stage were *quantitative: geographic* (more townships using the tool); *functional* (increasing the number and quality of tool features used by township officials); and *political* (generating broader-based support for adopting these tools, making the case for tax reform, and demonstrating change was possible in Myanmar). The partners had very different views on which to prioritize. The methods to get there were a combination of *replication through diffusion* (organic growth in demand following recommendations from government peers, spread through a municipal network), *collaboration* (with a gradually increasing set of partners providing technical and financial support) and *commercialization* (with a reduction in The Asia Foundation's subsidization of

Myankhon subscription fees). And the tech tool itself was built off ideas that had worked in other countries, and much open source software bundled together to serve a new Myanmar - specific purpose (*replication – grafting*).

Phase 3 – systems change

Perhaps the most important pathway to scale has been the diffusion of ideas through networks. From 2016 The Asia Foundation began facilitating annual Horizontal Learning Workshops that brought together municipalities from all 14 of Myanmar’s states and regions to share good practice on service delivery and revenue collection. These have been instrumental in providing a space for ideas to be debated, to give a platform and recognition to reformers, and to reduce the perceived risks of reform by allowing municipalities from across the country to see what reforms are possible. Interviews with participants suggest the workshops had spurred a growing appreciation of the value of digital tax collection systems and catalyzed the entry and expansion of new models: one produced by another local ICT developer and one by a regional municipal authority in partnership with a local university. The relative merits of these tools have

been debated at these workshops, leaving municipalities with an informed choice of which tool best meets their needs. By the start of 2020 over 70 municipalities were in the process of implementing digital collection systems.

Alongside these developments The Asia Foundation and the Renaissance Institute had been working with union government policymakers to create a [supportive enabling policy environment](#) for the property tax and digitization reforms. Property tax made it onto the agenda of State Counsellor, Daw Aung San Suu Kyi with explicit references made to the team's policy messaging. Years of dialogue culminated in the inclusion of digitization of property tax collections into the government’s national reform framework with the Union Ministry of Planning, Finance and Industry (MoPFI) which has been assigned the new responsibility of overseeing property tax reforms.

It was within this context that The Asia Foundation approached Saraswati to help develop a structured questioning process to help The Asia Foundation – Renaissance Institute team develop a more comprehensive strategy for scaling impact that would take account of all the



Photo Source: Myankhon – enabling tech-supported municipal governance in Myanmar

changes and new opportunities. The Asia Foundation and the Renaissance Institute started the scaling D4D workshop with different visions of scale, but by the end of the workshop and post-workshop debrief sessions they had aligned around a new shared vision and strategy for scale that accounted for the unfolding changes in the context. These included :

- Clarity that the goal was to scale the impact of the ecosystem of digital tools that had emerged. This included an acknowledgement that other partners had a comparative advantage in scaling specific tools and that ours was on building the collective evidence base about what works, sharing good practice, and fostering a supportive policy and political environment.
- A renewed commitment to continue to monitor how the tools were being implemented and how data was being used for policy. The Renaissance Institute would lead in documenting these lessons and sharing them with partners. Where there were important evidence gaps (e.g. what does cost-effective digitization look like in small towns) the team agreed to support government partners to conduct strategic pilots to test what worked. In particular, the team agreed to work with government partners to help them make sense of their data and use it to inform changes in policy and practice, with each new example of this providing additional proofs of concept that could be leveraged.
- Agreement to work with the MoPFI as it assumes its new policymaking role to share the lessons from the team's experience supporting reform, and to establish a policy framework that incentivizes digitization and policy reform while preserving space for continued experimentation around how best to do this. This would include monitoring

regional tender processes and outcomes to determine if the market for these systems is fair. And supporting consultation and coordination with government and development partners to inform policy design and implementation.

- Commitment to continue to support the strengthening of the network of municipalities, using national workshops and online discussion groups as platforms for sharing evidence of what works, fostering relationships and providing peer recognition for reformers.
- Acknowledgement that scaling impact did not require a major expansion of the team so as to cover more geographic areas, and that instead the team would work differently and with different partners. This included agreement to do less of some things (e.g. reduced township-level direct implementation support) and to hire a few new staff members to fill some skills gaps and support new partner relationships.

While there had been elements of systems change in the earlier phases, the workshop led the team members to increase their emphasis on this aspect, so as to take the most advantage of their experiences, capabilities, and relationships within the larger system of actors.

As municipalities across Myanmar move forward to digitize their tax collection systems they are putting in place the foundations for improved public trust in the collection system and evidence based progressive tax reform. While it is still early days municipalities access to a trove of their own administrative data has guided reforms that have made tax collection fairer and generated more revenue to meet the public's growing demands for public goods like better roads and drainage.

Workshop Modules

Purpose of this toolkit

These tools are part of an ambitious workshop covering many of the important issues and enabling conditions relevant to scaling D4D initiatives. These tools and the proposed workshop alone will not resolve critical challenges or ensure you answer all the important questions relating to scale. Instead, **this workshop is designed as one component to support scaling considerations**. It can help you identify your strengths and key challenges – considering that effective scaling is a journey over many years.

How to use these tools

These tools include a series of short modules in a workshop that is informal, dynamic, and participant-driven. **The objective is to derive as much honest input as possible** from individuals most responsible for managing and scaling related initiatives, and to promote consensus where possible. Participants are facilitated to answer a series of guiding questions to define key challenges and solutions. The process is intensive, with a series of short modules, each designed to progress group thinking. There is discussion at the end of every module, but this need not be definitive.

We recommend that you determine your own specific timing for each module. Following the introduction to each module, participants write answers on post-its based on related questions and drag these to the relevant box. General comments can be added to the 'Discussion' box at the bottom of each module. Facilitators (and we recommend at least two facilitators) determine timing for open discussion and guide understanding on areas of consensus.

A note for facilitators

Before the workshop

We recommend conducting a semi-structured discussion with workshop participants prior to the workshop itself. Scaling is highly contextual, and this initial brief will allow you to hear about the purpose, status, and results of the D4D initiative in question as well as any prior discussions or actions

taken in support of scaling. You can also help to set expectations both about the nature and outcomes of this workshop.

During and after the workshop

Some suggestions on points of observation during the workshop that can help to frame discussion between implementers and participants following the workshop (see Section III: Learning and Reflections):

- Does the proposed adopting organization(s) have the right leaders who can drive the scaling process with the necessary vision and resources?
- To what extent is the initiative credible for scaling considering the proposed evidence (i.e. extent that this is based on sound evidence)?
- How are various staff involved in the process of (and decisions for) scaling up?
- What are the key supporting factors for scaling identified during the workshop?
- What are the key gaps in the initial scaling plan?
- What are the key recommendations for the partner(s) in each case to build off of this process?
- What are their key challenges?

Module I - Defining Scale

We start with one of the most fundamental questions: what exactly is it that you plan to scale? In this module you will explore and define what it is that you hope to scale and what you want this initiative to be in the future. It is an important step to help you narrow down your 'scaling' thinking. To access all modules, please visit bit.ly/D4DMiroboard.

Module I: Defining Scale

STEP 1

What is being scaled?

STEP 2

What would scaling look like if it were successful (what is the vision for scale?)

STEP 3

What is the definition of scale for this initiative? (Drag the Method and Dimension boxes from the left!)

STEP 4

Discussion

DIMENSION (where & for whom)

| QUANTITATIVE | FUNCTIONAL | INSTITUTIONAL/ ORGANISATIONAL | POLITICAL | POLICY REFORM |
|---|--|---|--|--|
| Geographic coverage: expanding to a new location | Depth of services: offering additional services to current clients | Expansion through replicated models, such as franchising, license, and investment, partnerships and other models, including the creation of a new institution | Expanding through the effort to influence the political process and work with other stakeholder groups, with local agencies, policymakers, political parties, and other partners | Developing proactive laws, regulations and other policies, for example, to adopt a legislative measure or require any other regulations to meet future needs |
| The breadth of coverage: extending to new people in newly served categories and locations | Problem definition: extending current methods to new problems | | | |
| Client type: extending to new subgroups of clients | | | | |

METHOD (how)

| EXPANSION | REPLICATION | COLLABORATION | FIELD BUILDING | SPONTANEOUS |
|--|--|---------------------------------------|--|---|
| Growth: branching out into new locations or target groups. | Policy aspxen (vertical): when private entities that are run by NGOs, universities, community groups, research lead to public companies scale into a program's practice standard and often run by the public sector. | Formal Partnership | Coalition replication and collaboration: numerous with emphasis on "building the movement" of the field. The method includes peer-education, community groups, NGOs, advocacy groups, service delivery groups, think tanks, funders, providers, and beneficiaries. | Can be replication or expansion of an initiative of its "own accord" and without deliberate guidance (i.e. not an intentional process / not planned). |
| Restructuring or decentralization: a method of expansion that places special demands on the originating organization. | Drafting an initiative or new component of an initiative to be incorporated into another organization's array of services or methods of service delivery. | Joint ventures and strategic alliance | | |
| Franchising: the originating organization authorizes other organizations to operate as agents or clones of the originating organization. | Diffusion and spillover: methods of application that include informal and deliberate dissemination efforts. | Networks and coalitions | | |
| Spin-off: parts of the originating organization to operate independently. | Commercialization: scaling efforts based on the success of the initiative in the private sector or a social enterprise and operated as a financially viable venture. | | | |

How to use

Put your answer(s) on a post-it and drag your answer to the most suitable questions. In order to do so, follow the facilitators' guidance.

Below Step 2 are summary definitions of the dimensions and methods of scale. Refer to these boxes to answer your definition of scaling in Step 3.

Guiding questions:

- What is being scaled?
- What would scaling look like if it were successful (what is the vision for scale?)
- What is the definition of scale for this initiative? Along what dimension(s) should scaling up take place (pathway to scale)?
- To what extent has planning for scale been considered/adopted in your current practice?

Module II - Impact

In this module we focus on identifying impact that is relevant—as an important ‘enabling condition’—to supporting your desire to scale. It is a place to bring your evidence sources together with your team and get to consensus on what these are. For this, you can refer to prior evaluations, independent assessments, stakeholder feedback, or other evidence you have collected.

Module II: Impact

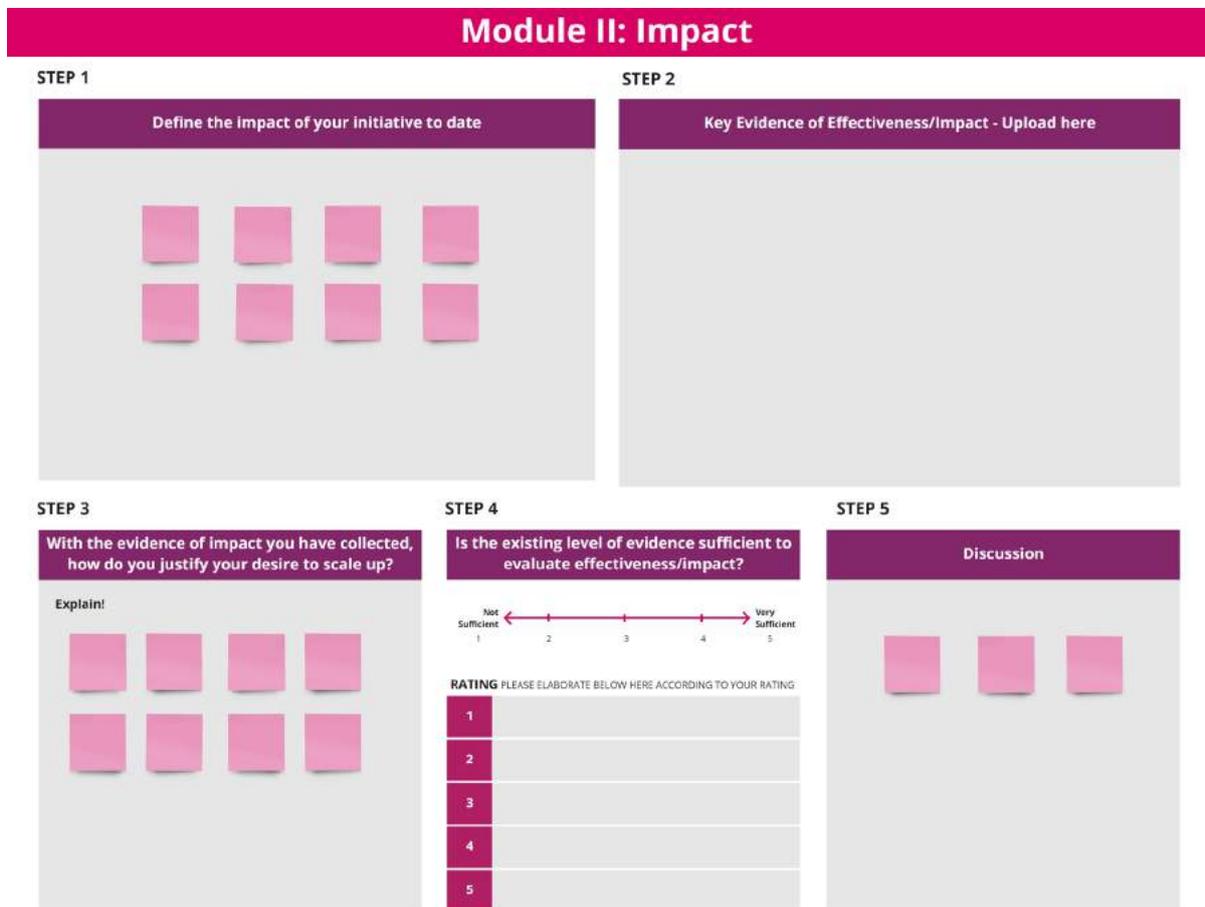
STEP 1
Define the impact of your initiative to date

STEP 2
Key Evidence of Effectiveness/Impact - Upload here

STEP 3
With the evidence of impact you have collected, how do you justify your desire to scale up?
Explain!

STEP 4
Is the existing level of evidence sufficient to evaluate effectiveness/impact?

STEP 5
Discussion



How to use

Define your impact in the post-it notes below and upload any documentation as you see most fit. Uploading documentation will allow you to have a reference for discussion during and after the workshop.

There are two main sources of evidence that we recommend be uploaded prior to or during the workshop:

- Evidence that demonstrates your impact/effectiveness, such as **records of testimony from partners, beneficiaries, counterparts; pictures or other images; and/or minutes of meeting from impact/effectiveness-related**

Guiding questions:

- What is the problem to be solved?
- Why does the problem exist? What is the root of the issue?
- Is there a strong case for action, such as an urgent need?
- How does the initiative tackle the problem?
- To what extent is the initiative effective?
 - ⦿ What type of evidence exists regarding the effectiveness/impact of the initiative?
 - ⦿ Is the existing level of evidence sufficient to evaluate effectiveness/impact?
- Can users (for example, government, the public, civil society) see the results?

- Evidence that shows documentation on technical and process approaches (the 5Ws – Who, What, Where, When and Why of the initiative), such as **project reports and summaries**.

Following impact identification, rate your evidence of impact on a scale of 1 to 5. Put your post-it in the 'please elaborate' section. Any other points raised can be captured on a post-it and placed in the Discussion box.

- To what extent are you confident that the D4D initiative is compatible with existing users' established values, behaviors and abilities?
- What evidence is there of negative impacts or unintended consequences?

Module III-Identifying Cost Drivers

In the previous module, you have defined your impacts and assessed their evidence bases. This module will conclude modules I and II by bringing costs into the picture. Cost-effectiveness is a key measure of value for money and will influence the feasibility of moving to scale.

This section will help you identify your current cost drivers (factors that cause a change in your costs, such as personnel and equipment) and explore what elements of your initiative should be replicated or eliminated as you scale.

Module III: Identifying Cost Drivers

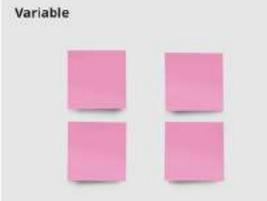
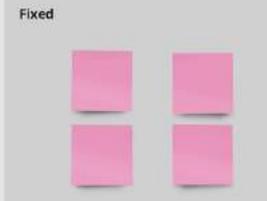
STEP 1

Identify your biggest cost drivers



STEP 2

From your identified 'biggest cost drivers', which of these are variable and which are fixed?

| Variable | Fixed |
|--|---|
|  |  |

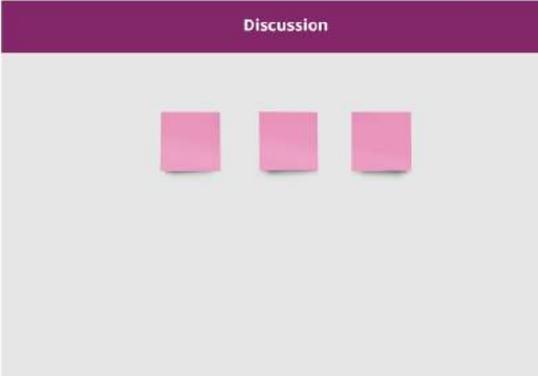
STEP 3

What elements of your initiative should be replicated and what can be cut down to improve cost-effectiveness at greater scale?

| Elements to replicate... | Elements to eliminate... |
|---|---|
|  |  |

STEP 4

Discussion



How to use

Write each of your comments on a post-it (one post-it for each comment) and drag these into the box, based on facilitators' guidance.

Any additional points raised (that do not fit neatly within one of the available boxes) can be written on a post-it and dragged into the Discussion box.

Guiding questions:

- Has the initiative been evaluated?
 - Is there any documentation (on technical and process approaches)?
 - Have you collected evidence that indicates this approach to be cost-effective compared to other approaches?
 - IF YES, elaborate.
 - IF NOT, can you identify what hinders/prevents cost-effectiveness?
- Is it necessary to replicate all elements of the initiative on a large scale? Can the approach be simplified without undermining its effectiveness?
- Would scaling change the nature of the initiative? (e.g., if the initiative aims to promote data-based policymaking through policy reform, and therefore scaling means doing less tech development but more data analytics and policy engagement). If so, how? What possible trade-offs might be involved with such changes?
- Are there obvious economies (or diseconomies) of scale?
- Is the initiative easy to transfer and/or adopt?
- Is the initiative able to be tested or tried without committing the potential user to complete adoption when results have not yet been seen? (Assuming there has not been any evaluation.)

Module IV-Optimal Scale

In the previous modules you reviewed your evidence of impact and considered how to improve the cost-effectiveness of your intervention to make going to scale more feasible. But just how big should you go?

This module encourages you to explore the trade-offs that going to scale brings, looking at what mix of impacts are most desirable. This should include a consideration of the current strength of evidence underpinning these impacts. More is not necessarily better.

How to use

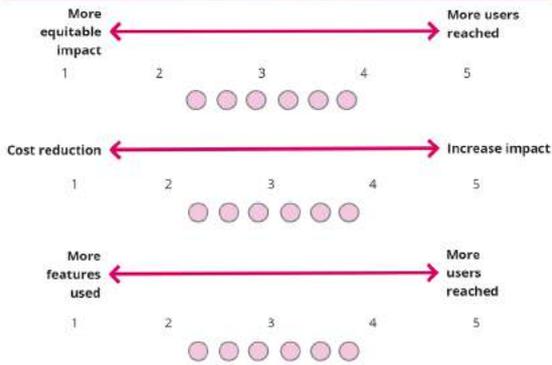
Put your answer(s) on a post-it and drag your answer to the most suitable questions. In order to do so, follow the facilitators' guidance.

Below Step 2 are summary definitions of the dimensions and methods of scale. Refer to these boxes to answer your definition of scaling in Step 3.

Module IV: Optimal Scale

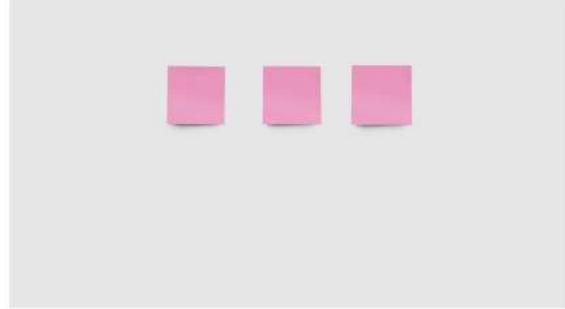
STEP 1

Which of these intended impacts matters more at this point in your scaling journey?



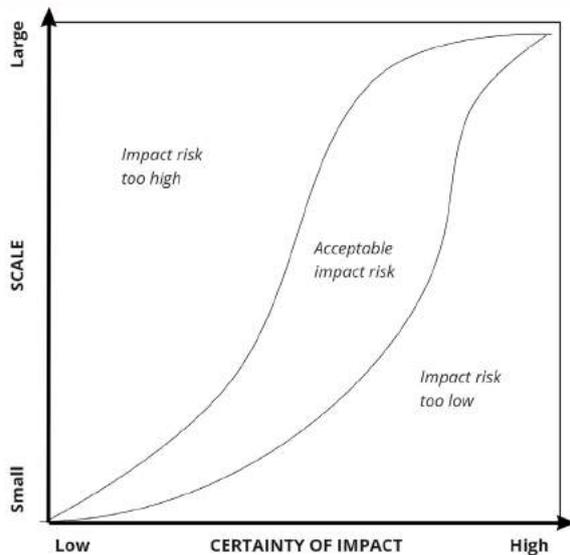
STEP 3

How could going to scale change the nature of the initiative? E.g. reaching more beneficiaries might lower average costs. Consider undesirable impacts as well as desirable ones



STEP 2

Thinking back to the evidence supporting these impacts, what level of ambition is optimal at this point in your scaling journey? Scaling when evidence is weak may impose too much impact risk; scaling when it is high may impose too little



Impacts to consider:



STEP 4

Thinking back to the evidence supporting these impacts, what level of ambition is optimal at this point in your scaling journey? Scaling when evidence is weak may impose too much impact risk; scaling when it is high may impose too little



STEP 5

Discussion



Guiding questions:

- What evidence is needed to determine optimal scale (identifying what data will be needed to support this and selecting the best method to collect, analyze/synthesize, and interpret the data)? Consider the following:
 - Magnitude (how much impact)
 - Sustainability (how long impact lasts and what affects this)
 - Equity (the benefits/harms to different subgroups)
 - Variety (the range of impact, considering environment if necessary)
 - Financial sustainability
- With the list of evidence gathered, is there any strategic measure for the level of impact desirable to support determining the 'optimal scale'?

Module V - Organizational Factors

By this point, we have discussed what you want to scale, your desired impact and your justification for scaling up.

In this module, we are focusing on who will be the scaling entity – in other words which organization or organizations will take scale forward? This can be your organization, an existing partnership, or a different institution or partnership. The exercise can be repeated for each organization.

As part of this discussion, you will explore complex and challenging questions related to organizational challenges, as well as the resources needed, to support scale.

Module V: Organizational Factors

STEP 1

What organisational characteristics have been critical to the success of your pilot project or initiative so far?



STEP 2

Does your organisation have the desire to expand your operations to scale this initiative?

IF YES, What are the organisational challenges?



IF NO, Which organisation(s) is/are best suited and motivated to implement the model on a scaled-up basis or to serve as partners in implementing the model?



STEP 3

What resources do you need to develop or what capacities do you need to build to support scaling up?



STEP 4

Discussion



How to use

Write each of your comments on a post-it (one post-it for each comment) and drag these into the box, based on facilitators' guidance.

Any additional points raised (that do not fit neatly within one of the available boxes) can be written on a post-it and dragged into the Discussion box.

Guiding questions:

- What organizational factors/characteristics have been critical to success in the pilot?
- Does the organization(s) that carried out the pilot project have the desire to expand its/their operations and deliver services on a substantially larger scale? (organizational strengths and weaknesses)
 - IF YES: How easily can institutional characteristics that were key to the outcomes achieved be enlarged? What other resources are required? (i.e., staff, field presence in some key locations, partnerships)
 - IF NO: Which organization(s) is/are best suited and motivated to implement the model on a scaled-up basis or to serve as partners in implementing the model?
- Does the adopting organization (in the case of vertical scale, government) have the appropriate organizational and implementation capacity, or the means to develop that capacity?
- How effective has program management been at the proposed adopting organization? Are there any incentives for the staff to continue driving scale?
- Are the central mission, organizational culture, and values of the proposed organization sufficiently compatible with those necessary to adopt and implement the model successfully?
- To what extent are structures/staff in the adopting organization ready to monitor scaling and derive timely learning?
- Do the adopting organizations have the capability and capacity to implement the evaluation tools that would be required for dynamic evaluation along the scaling process?
- Is there a need for one or more intermediary organizations to support the scaling-up process? If so, what help/role is needed and which organizations are best suited to perform these roles (i.e. communications and marketing; business planning)?
- What (internal) organizational changes will be required to achieve scaling successfully?

Module VI - Financial Resources

We are now going to talk about money! This will, at best, highlight key opportunities, challenges, and gaps in your financial planning (since financial planning is a long-term process). It is important to discuss the financial feasibility of your scaling plan. While secure funding is crucial, finding new revenue generating options are also critical for scale.

How to use

Measure your funding security on a scale of 1 (low) to 5 (high). Then, elaborate why you have selected your score on one or more post-its and drag these explanations into the box, based on facilitators' guidance.

Add explanations on post-its under 'Please Elaborate' matching the scale number to the left, not the scale of 1 to 5 above that, which is just for reference.

Module VI: Financial Resources

STEP 1

To what extent has necessary funding been secured for the initial scale-up, at least?

Not Secure ←————→ Very Secure

1 2 3 4 5

No budget for scaling

Have allocated budget to execute scalability plan (for at least 2 years)

RATING PLEASE ELABORATE BELOW HERE ACCORDING TO YOUR RATING

| | |
|---|--|
| 1 | |
| 2 | |
| 3 | |
| 4 | |
| 5 | |

STEP 2

Feasible Revenue Generation

Services (paid by customer)

Grants (name of the granters)

Variable

STEP 3

Discussion

Guiding questions:

- To what extent has necessary funding, at least, been secured for the initial scale up?
- What other feasible revenue-generation options are there? Have you explored value-added-services, partnerships with private firms or direct private investment?
- Has planning (including for different scenarios) been conducted to estimate scaling costs and revenues?
- Is there a substantially lower (unit/implementation) cost than existing or alternate solutions?

Module VII - External Assessment: Stakeholder Mapping and Policy

Moving on from internal reflections and assessments, we are now going to explore some of the critical external factors enabling scale. First, we explore the political economy by analyzing your stakeholders and competitors, and mapping out risks for scaling that, collectively, you agree to be most critical.

Your stakeholders include all partners, such as: implementing partners, donors, and beneficiaries. The matrix will help you identify your higher priority and lower priority stakeholders, based on their interest in and influence over your scaling objective.

Module VII: External Assessment : Stakeholder Mapping & Policy

STEP 1

| Stakeholders | Function (i.e., donor, implementing partner, beneficiaries) | Strengths | Weaknesses | Opportunities | Threats |
|--------------|---|-----------|------------|---------------|---------|
| | | | | | |

STEP 2

Which stakeholders have requested scaling?

STEP 3

Who are the relevant stakeholders, especially beneficiaries for this initiative? Which stakeholders matter most for scaling?

STEP 4

Competitors

STEP 5

Current Competitors | Potential Competitors

STEP 6

Risks (Policy and Social Context)

STEP 7

What are the top 3 risks (policy and social context) and how to mitigate them

-
-
-

STEP 8

Discussion



How to use

List your stakeholders (one per post-it note) and move these into the correct column ("Stakeholders") in the matrix below. Once stakeholders have been agreed, start adding your comments on post-its in any of the other columns to support a Strengths,

Weaknesses, Opportunities and Threats (SWOT) analysis.

Please follow facilitators' guidance. You can make any additional comments by writing these on post-its and dragging them into the Discussion box.

Guiding questions:

Stakeholder Analysis

- What strengths, weaknesses, opportunities, and threats for collaboration/partnership (and with whom) exist?
- Where is the demand for scaling this initiative coming from? Have there been explicit requests to scale from critical stakeholders—and what is it that these stakeholders say that they need?
- Do relevant stakeholders, potential partners, and intended beneficiaries perceive a need for this kind of initiative?
- Who are the relevant stakeholders, including beneficiaries, for this initiative? Which stakeholders matter most for scaling?
- To what extent is there buy-in for scale? (for example, from government partner(s) or other politically relevant entities, private sector, civil society, donor institutions, etc.)
- What could be done to institute and promote appropriate partnerships/collaborations?

Competitor Mapping

- What sets your initiative apart? Is this initiative more appropriate and innovative than other similar initiatives in addressing this issue?
 - Are there any competitors? If so, who are they? Are they strictly competitors, or could they become partners in scaling impact?

Policy and Social Context

- What are the critical risks in scaling, and what strategies are in place to mitigate these?
- Is there anything special or unique about the social or political context, or general

circumstances of the pilot project (for example, cultural, ethnic, or religious values/characteristics; distribution of power; homogeneity; economic conditions) that would need to present for the model to be replicated successfully?

- To what extent are there supportive policies, regulations and standards for scaling (for example, related to IT and government administration)?
- Does the scaling up effort require policy change by the government or rely exclusively on voluntary adoption by private and non-governmental organizations?
- What strategies should be in place to respond to the political economy analysis?
- How integrated/considered is a Do No Harm approach to the political and social context and potential risks/implications of engagement?

Module VIII-Technology

Optional module for tech-based initiatives

There are numerous questions and concerns about technology when it comes to scaling D4D, such as cyber security, data privacy and intellectual property. This module is designed to have you explore several of these components that will be important factors as you scale.

In the pink boxes, we have highlighted cyber security and intellectual property as example issues to focus on. You should tailor these boxes to focus on the most important tech-related issue or issues facing your scaling objectives.

Module VIII: Technology

STEP 1

To what extent will scaling build on existing technologies, systems and platforms, as opposed to needing to develop something new?

Using Current Technology



Using New Technology



STEP 2

What issues of ownership & protection of intellectual property need to be considered for scaling?



STEP 3

What are the major data or cyber security concerns in scaling?



STEP 4

Discussion



How to use

Write each of your comments on a post-it (one post-it for each comment) and drag these into the boxes based on facilitators' guidance.

Any additional points raised (that do not fit neatly within one of the available boxes) can be written on a post-it and dragged into the Discussion box.

Guiding questions:

- To what extent will scaling build on existing technologies, systems and platforms, as opposed to needing to develop something new? (Digital Principles, 'Design for Scale', 2020).
- What issues of ownership and protection of intellectual property need to be considered for scaling?
- To what extent does scaling pose concerns about interoperability (the ability to access and process machine-readable data from multiple sources, sometimes automatically, without that data losing meaning or integrity; by implementing APIs and connectors that allow data from various sources to be accessed and integrated)?
- Can technical service providers continue to provide support at scale? (Issue of service-level agreements).
- To what extent is there a cybersecurity strategy that adheres to data protection best practices and rights to privacy?
- Have you reviewed software, hardware and content licensing terms to determine any possible issues/complications with scaling up? How to ensure that users remain at the center of scaling design processes?

Module IX - Timing for Scaling

One critical aspect of scaling is determining what should be done and when. This includes consideration of sequencing (ie step-by-step actions for scaling) and planning according to overall timeframes. This module closely relates to previous modules, since you should consider timing of, for example, collection of relevant evidence of impact, important institutional changes, fundraising strategies, and key stakeholder engagement.

Timing is a function that can help you find the right balance to capitalize on trends and opportunities – to balance your supply and demand.

Module IX: Timing for Scaling

STEP 1

Are there any pressures to scale?
If so, from whom?

Explain!



STEP 2

Are these pressures to scale acceptable to you (and why)?

YES

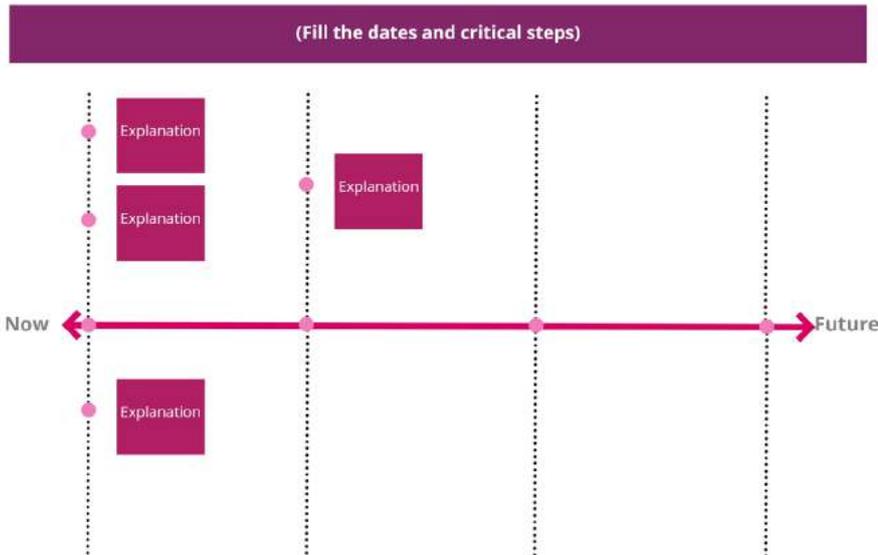
NO



STEP 3

What will be the critical determinants of timing?



STEP 4**STEP 5**

How to use

Write your comments on post-its and drag these into the boxes based on facilitators' guidance.

The timeline in Step 4 starts, on the far left ('Now'), at the timing of your workshop. The dotted vertical lines to the right represent intervals (for example, years) that you can define.

You can raise any additional points by putting these on a post-it and dragging them into the Discussion box.

Guiding questions:

- What will be the critical determinants of timing? Are there pressures to scale quickly – if so, from what source(s), and are these acceptable?
- Over what period is the scaling up plan?
- What is the sequence of critical steps for scaling?
- What speed is optimal for scaling?
- If it could take years to scale up, is this acceptable to the adopting organization and any existing funders?

Module X - Scaling Lean Canvas

We now arrive at the concluding session of the workshop. We have prepared a checklist to help you assess your position for scaling and help you manage your scaling plan. This checklist, to be filled out individually by each participant, can also help to reflect where there is or is not consensus opinion on key issues.

Answers can be discussed following the workshop (as one more tool to help keep this conversation going within teams).

| Checklist* | | | | | | |
|----------------------------|--|---|---|---|----|---|
| Module I Defining Scale | Questions | Yes | | | No | |
| | | Is scaling part of the original design? | | | | |
| Module II Impact | Questions: To What Extent... | Scale 1 (not at all) to 5 (very much) | | | | |
| | | 1 | 2 | 3 | 4 | 5 |
| | Are you confident about the effectiveness of the initiative? | | | | | |
| | Is there strong evidence that this initiative is credible (cost effective, addresses important needs, contextual)? | | | | | |
| | Has it been comprehensively and independently evaluated? | | | | | |
| | Do you have data and other evidence to support the argument that this initiative is relevant to target individuals/groups? | | | | | |
| | Does the model have a comparative advantage over other similar initiatives? | | | | | |

| | | | | | | |
|---|---|--|--|--|--|--|
| Module III Identifying Cost Drivers | Would scaling change the nature of the initiative? | | | | | |
| | Are there obvious economies of scale? | | | | | |
| | Can the initiative be easily transferred/adopted by other organizations? | | | | | |
| Module V Optimal Scale | Have you determined the adopting organization(s) that will carry this to scale? | | | | | |
| | Are monitoring, evaluation, and learning procedures and staff in place in the adopting organization to support effective scaling? | | | | | |
| Module VI Financial Resources | Does the initiative have a sustainable source of funding? | | | | | |
| Module VII External Assessment: Stakeholder Mapping & Policy | Do key stakeholders support scaling? | | | | | |
| | Is there already political buy in for scale by relevant government departments? | | | | | |
| | Are there incentives for key stakeholders to support scale? | | | | | |
| | Are there supportive policies, regulations, and standards for scaling? | | | | | |
| Module VIII Technology** | Do technology considerations (including infrastructure, internet access, policies) pose for scale? | | | | | |

| | | | | | | |
|---|---|--|--|--|--|--|
| Module IX Timing for Scaling | Does the initiative allow for gradual or phased scaling up? | | | | | |
| | Will the COVID-19 pandemic affect the timing for scaling? | | | | | |

**add or eliminate items on your checklist based on your needs*
***applicable to technology-based initiatives*

Accompanying the checklist is a scaling canvas that can serve as a blueprint for your scaling plan. We hope this canvas can be an important reference for you going forward as a snapshot summary of where you are now in your scaling thinking.

All the sections in this canvas refer to modules that you have completed during the workshop. In filling in the canvas, you can refer to these based on module number.

How to use

This canvas aims to help you to map your scaling. Copy any relevant information from previous modules in this Miro board that you have already worked on into this scaling canvas and add more, based on further discussion.

If you are a big group, we recommend splitting into two smaller groups to discuss this canvas. For a smaller group (six or less participants), we suggest you discuss this as one team.

This canvas should help you identify where you are strong in scaling planning and where you still have room for improvement, as well as your key pain points (key challenges). Do not be concerned about filling all the sections; rather, treat these as a work in progress that you can continue to refine and refer to after the workshop.

| Module X: Scaling Lean Canvas | | | | | | | |
|---|---|--|--|--|--|---|---|
| Group A | Group B | Summary of Need for What You Plan to Scale Module X | Vision for Scale Modules I & VIII | Key Stakeholders Module VI | Benefit to These Stakeholders Module VI | Key Risks (In Our Control) Module VI | Key Risks (Out of Our Control) Module VI |
| Summary of Need (Module X) | Demand (Module VI) | | | | | | |
| Vision (Module I) | Key Stakeholders (Module VI) | | | | | | |
| What is being Scaled? (Module I) | Benefit to The Stakeholders (Module VI) | | | | | | |
| Key Evidence of Impact on Effectiveness (Module II) | Key Risks (Module VI) | | | | | | |
| Impact, Refer to Level of Evidence Sufficiency (Module III) | Risk in Our Control (Module VI) | | | | | | |
| Methods and Dimensions (Module I) | Risk Outside of Our Control (Module VI) | | | | | | |
| Scaling Entities (Module IV) | Risk Mitigation Strategies (Module VI) | | | | | | |
| Core Activities/Services, Products (Module VII) | Acquired Resources (Module IV) | | | | | | |
| Cost Effectiveness (Module III) | Required Resources (Module IV) | | | | | | |
| Appropriateness (Module II) | Financial Resources (Module V) | | | | | | |
| Beneficiaries (Module VI) | Timetable (Module IX) | | | | | | |
| | Key actions (Module X) | | | | | | |
| | | What is being Scaled? Modules I & VIII | | Level and Sources of Demand for Scale Module VI | | Risk Mitigation Strategies Module VI | |
| | | | | Key Beneficiaries Module VI | | | |
| | | Define Your Impact Modules II & VIII | | Key Evidence of: Impact Module II | | Definition of Optimal Scale Module VIII | |
| | | | | Appropriateness (What Sets Your Initiative Apart?) Module II | | Financial Resources Module V | |
| | | | | | | Already Acquired Module V | |
| | | | | | | Required Module V | |
| | | Methods & Dimensions of Scale Module I | | Cost-effectiveness Module III | | Organisational Requirements for Scaling Entity | |
| | | | | | | Already Acquired Module IV | |
| | | | | | | Required Module IV | |
| | | Proposed Scaling Entities Module IV | | Core Activities / Services / Products Module VII | | Key Immediate Actions Module X | |
| | | | | | | Scaling Timetable Module IX | |

III. Learning and Reflections

Our learning

Excerpt from Saraswati & The Asia Foundation blog: What We Learned from Positioning Teams for Scaling D4D Initiatives

Build initial understanding among everyone involved about the theoretical and strategic elements of scale. In development, scale, with its focus on social impact, has a different nuance than in the private sector, which prizes revenue and profit. And scale can refer to an idea or process as much as to something concrete, like an online platform. Once you start scratching, scaling science reveals its own lexicon that needs to be interpreted related to such things as dimensions, methods, tools, and vectors of scale. And these are relevant. During our process, participants developed less of an appetite for expanding partners and geographically and more for improving existing processes.

Critical questions, such as what is the problem to be solved and what exactly is being scaled, may be simple to ask but are hard to answer:

What you work on now might not be on the problem or the approach you'll use for scaling. As we found with one partner, use of a data tool in support of one issue may scale towards using that tool as part of a broader process of policy engagement on other issues.

Set expectations from the beginning:

■ **Scaling is a long-term process.** Project teams should be incentivized to support the scaling process, since they are often hired shorter-term for project purposes and evaluated on project results. This process will most likely outlast all of them.

■ **Scaling is multi-faceted.** In a quick exercise like ours, opinions diverged within initial module discussions but started to gel over time as other critical components were addressed. A modular approach may serve to structure discussion, but this does not need to define consensus and should be flexible. We experienced overlap in discussions between modules, and in some cases this simply served to promote a more free-ranging discussion, allowing us to revisit key issues (what to scale?) along the way. Specific modules allow teams to cherry-pick issues of greater relevance, given time constraints.

■ **Scaling is disruption.** As such, it can be viewed as posing threats. Not everyone in development is a risk-taker or wears the 'fail fast, learn fast' T-shirt.



Photo Source: Myankhon – enabling tech-supported municipal governance in Myanmar

Scaling is not painting by numbers. You choose your paint and numbers.

Key [challenges in scaling](#) include variations in revenue models and different growth paths. Human resources and funding are key enabling conditions of scale that presented a chicken-and-egg conundrum in our discussions. Does your performance drive funding, or funding drive performance? Development partners tend to be risk averse and operate within the security of established funding. Furthermore, these are often dependent relationships. And so local partners tend to view securing future funding based on proposals for scale as the default means to enable institutional changes for scale. But equally important should be consideration of how proactive institutional change within the scaling entity—such as investment in hiring personnel with specific and relevant skills—could drive impact (and improve the all-important evidence

basis for scale), thereby attracting relevant sources of funding or financing.

Yes, it is useful to address scale at any stage in the life of a D4D or innovation initiative.

As an example, this question was raised at the outset of this exercise: must we wait for strong independent evidence of impact on a pilot before broaching scale? From our experience, even for early stage initiatives, this broad discussion helped to raise questions of what evidence would be useful, for whom, presented in what way, and in support of what scaling objectives.

To be fair, our discussions occasionally stalled on scaling planning and reverted to a default setting of strengthening the specific program in question – within its established timeframe, staffing and funding parameters. But short-term strategy is an important step on a longer-term scaling journey.

Some final reflections

The toolkit is designed for teams, not individuals. The range and complexity of topics covered means there is great value in bringing together diverse perspectives. But just who comprises a team is not always obvious, given scaling typically requires working with other organizations. Bringing more groups into the room can be more inclusive but it needs to be balanced against the additional challenges of facilitating large groups and an understanding of the different organization incentives and visions of scale. For us, each workshop team consisted of members from The Asia Foundation and our closest working partner on that project. But we reached out to other partners beforehand (including government officials) to better

understand their plans for scale and to let them know what we were doing.

After the workshop, we encourage you to **set up a time with your team to debrief**. The time between the workshop and this post-workshop debrief will allow you to rethink and weigh up the most appropriate strategies, as well as conduct further discussion among your team on your scaling plan. The debrief session should, at the minimum, help to confirm **actionable items with a plan for follow up**. We also recommend that facilitators use this opportunity to support discussion—to include implementers and participants—on the workshop process and tools.

We suggest that teams revisit the Scaling Lean Canvas periodically. Scaling is a complex process that requires adaptation as teams learn more about what works and as their context changes. Given this complexity and dynamism, we believe there is value in setting aside time for structured reflection, in the spirit of approaches such as Strategy Testing, but with a focus on questions of scale. Each team will have to determine an appropriate frequency, given their context, though we would advise committing to a date to revisit the canvas during the workshop debrief. We tested the workshop on two projects at very different points in their scaling journey, and each extracted their own value from it, and each recognized the value in returning to it at a later date.

If this guide makes you nervous, that is probably a good thing. Our experience has

been that teams start off underestimating what it takes to go to scale and the array of issues you have to grapple with along the way. Scaling D4D is hard. The breadth of workshop content, and intensity of the process, is a powerful reminder of that. We hope it can help you arrive at a more feasible and targeted scaling strategy—and give you greater confidence in it—as it did for our teams.



Photo Source: Myankhon – enabling tech-supported municipal governance in Myanmar

IV. Resources and Acknowledgements

The Asia Foundation and Saraswati are indebted to the authors of the following excellent resources:

[As development looks to increase scale, here are some of the key issues](#); Adva Saldinger, Devex, 2019.

[Design for Scale](#); Digital Principles, 2020.

[Dial Beyond Scale](#); The Digital Impact Alliance, 2017.

[The Frontiers of Data Interoperability for Sustainable Development](#); Liz Steele, Tom Orrell, and Bill Anderson, November 2017.

[Scaling Civic Tech](#): Paths to a Sustainable Future; Jon Sotsky and Jonathan Kartt, 2017.

[Scaling Science](#), Article, Robert McLean and John Gargani, 2017.

[Scaling Impact](#): Innovation for the Public Good, Robert McLean and John Gargani, 2019.

[The Scaling Playbook](#): A Practical Guide for Researchers, 2020.

[Scaling Up](#): A Framework and Lessons for Development Effectiveness from Literature and Practice; Arntraud Hartmann, Johannes F. Linn, 2008.

[Scaling Up—From Vision to Large-Scale Change](#); Larry Cooley, Richard Kohl, Rajani R. Ved; 2016.

[Toolkit: Scalability Assessment and Planning](#); Dr. Lezlie C. Morinière, Marilise Turnbull, Isabelle Bremaud, Dr. Hannah Vaughan-Lee, Vani Xaxa, Syeda Abida Farheen, April 2018.