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# GUIDANCE NOTE

## Scaling Up Development Programmes

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United Nations Development Programme

POVERTY REDUCTION

### Executive Summary

Many development organizations, national and local governments and civil society organizations are faced with the issue of scaling up development interventions—the main questions raised time and again are: a) what should be scaled up, and how it can be scaled up; b) is there a strong reason for a particular initiative to be scaled up; and c) what should be the value-added of the scaling up efforts, and how can practitioners ensure that technological and other innovations are being integrated for improved development effectiveness? Answers to these questions depend on a host of complex realities—the relative strengths and weaknesses in national and local systems, political and economic situations, including vulnerability of country systems to shocks, commitments from development partners, power dynamics between various groups and stakeholders in a given country, regional and global environments. For the United Nations Country Teams (UNCT) and UNDP offices, another factor to consider is how to maximize our respective comparative advantages.

This guidance note summarizes the main conceptual thinking available from development institutions and academia, and presents a simplified conceptual framework and roadmap for scaling up processes. It also provides UNDP programme staff and UNCTs with practical actions and checklists to consider when designing and implementing programmes that support national scaling up initiatives, and proposes actions that can be undertaken at the regional and global levels. Although intended for internal audiences, the scaling up concept and recommendations can also be used by the public and private sector, civil society and social entrepreneurs.

This note benefited from a wide consultative process held in 2011, including practical recommendations and proposals from colleagues at country offices and regional/global centres. Their insights have been instrumental in the distillation of main recommendations presented in this note, and the individuals who provided substantive contributions are gratefully noted in the Acknowledgements section.

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## List of Abbreviations

<b>AESTF</b>	Agriculture Extension Special Task Force (in China)	<b>MDG</b>	Millennium Development Goal
<b>ARR</b>	Assistant Resident Representative	<b>MFI</b>	Microfinance Institution
<b>BDP</b>	Bureau for Development Policy	<b>MIC</b>	Middle-Income Country
<b>CBR</b>	Community-based Rehabilitation	<b>MVP</b>	Millennium Villages Project
<b>CCA</b>	Common Country Analysis	<b>NGO</b>	Non-Governmental Organization
<b>CD</b>	Country Director	<b>NPBR</b>	National Park and Biological Reserve
<b>CGIAR</b>	Consultative Group on International Agricultural Research	<b>OSG</b>	Operations Support Group
<b>CIAT</b>	International Center for Tropical Agriculture	<b>PMU</b>	Project Management Unit
<b>CP</b>	Communities Programme (in Tajikistan)	<b>PPP</b>	Public-Private Partnership
<b>CPAP</b>	Country Programme Action Plan	<b>PSC</b>	Programme for South-South Cooperation (in Costa Rica)
<b>DCD</b>	Deputy Country Director	<b>RBEC</b>	Regional Bureau for Europe and the Commonwealth of Independent States
<b>FAO</b>	Food and Agriculture Organization	<b>RC</b>	Resident Coordinator
<b>GSSLCI</b>	Government Subsidized Student Loan Credit Insurance (in China)	<b>RDS</b>	Rural Development Scheme
<b>GTZ</b>	German Organization for Technical Cooperation	<b>REDP</b>	Rural Energy Development Programme (in Nepal)
<b>HQ</b>	Headquarters	<b>ROAR</b>	Results-Oriented Annual Reporting
<b>IBBL</b>	Islami Bank Bangladesh Limited	<b>RR</b>	Resident Representative
<b>IFAD</b>	International Fund for Agricultural Development	<b>RSC</b>	Regional Service Centre
<b>IFPRI</b>	International Food Policy Research Institute	<b>UN</b>	United Nations
<b>ILO</b>	International Labour Organization	<b>UNCDF</b>	United Nations Capital Development Fund
<b>IOM</b>	International Organization for Migration	<b>UNCT</b>	United Nations Country Team
<b>JOBS</b>	Job Opportunities through Business Support (in Bulgaria)	<b>UNDAF</b>	United Nations Development Assistance Framework
<b>LDC</b>	Least Developed Country	<b>UNDP</b>	United Nations Development Programme
<b>LIC</b>	Low-Income Country	<b>UNFPA</b>	United Nations Population Fund
<b>M&amp;E</b>	Monitoring and Evaluation	<b>UNICEF</b>	United Nations Children Fund
<b>MAF</b>	MDG (Millennium Development Goal) Acceleration Framework	<b>USAID</b>	United States Agency for International Development
		<b>WFP</b>	World Food Programme
		<b>WRI</b>	World Resources Institute

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# 1. Relevance to UNDP Mandate and Functions

Evidence across the board shows that MDG strategies and nationally defined development goals are much more likely to succeed when national governments work closely with local governments, civil society and the private sector. The following analysis of the scaling up challenges and opportunities looks at one of the most common development initiatives — local development programmes and projects — which often do not move beyond pilots to deliver lasting impacts on the ground. It should be noted that a similar analysis can be conducted for all development interventions. Other examples of scaling up efforts are provided based on best practices to date, such as the MDG Acceleration Framework (MAF) and the 'Delivering as One' Agenda.

Strengthening local development is central to human development, and thus a critical element of UNDP and UNCDF work in poverty reduction and governance. UNDP has worked closely with national governments in supporting local governance and decentralization processes for more than 30 years, and with greater intensity since 2000. The 2008-2013 UNDP Strategic Plan underscores the need to prioritize local governance and local development, drawing on the local governments' 'capacity and resources to deliver effective economic and social policies that promote human development and manage the public services that citizens expect.' UNCDF's programmes provide a unique combination of investment capital, capacity development and technical advisory services to promote microfinance and local development in least developed countries (UNDP 2010a).

Most UNDP country programmes have incorporated local development interventions in their poverty and governance portfolios. UNDP interventions range from supporting local governance for improved service delivery and local employment generation, to enhanced democratic representation and genuine community participation and local natural resources management. In low-income countries (LICs) and least developed countries (LDCs), local development initiatives focus on delivering integrated service packages to accelerate poverty reduction and employment creation. In Bhutan, UNDP has been supporting the Rural Economy Advancement Programme (REAP), which identifies sections of the population who have not benefited from the broad based poverty reduction interventions aimed at enhancing agricultural productivity and creating employment and income generation opportunities. In Zambia, UNDP has been supporting the Economic Empowerment for People

Living with HIV/AIDS in poor districts, and promoting local economic development and income generation among households affected by the HIV epidemic. In the context of post-conflict states, UNDP has supported the engagement of civil society and non-state actors in local development initiatives. In Somalia, UNDP implemented the Employment Generation for Early Recovery (EGER) project in partnership with local NGOs and community-based organizations to create employment opportunities and income for vulnerable populations, particularly women, marginalized groups and youth through infrastructure rehabilitations, vocational trainings, start-up grants and micro-credits. UNDP in collaboration with international NGOs are currently supporting the Reconstruction and Employment Programme (IREP) in Iraq which provides temporary emergency employment for the most vulnerable unemployed Iraqis through labour-intensive infrastructure rehabilitation, land clearing and irrigation schemes. In middle-income countries (MICs), UNDP is currently supporting local development and MDG localization initiatives in 'pockets of poverty.' For example, UNDP is implementing an integrated local rural development initiative in Turkey, which aims to create sustainable employment opportunities among rural women and other vulnerable groups, in districts that have not benefitted as much from the economic growth. In the Former Yugoslav Republic of Macedonia, UNDP has been supporting employment schemes targeting marginalized groups (Roma) and female headed households. Thus, regardless of a country's level of development, these programmes demonstrate that continued support for MDG progress at the local level is vital for sustainable and resilient development.

UNDP-supported local development and local governance programmes succeeded in spurring lasting policy and institutional reforms. The 2010 evaluation of UNDP's work in local governance and local development revealed that 'UNDP support for local governance reforms has been highly relevant,' and provided effective support to national reform processes (UNDP 2010b). In Bulgaria, UNDP introduced the Job Opportunities through Business Support (JOBS) Project which has become a widely replicated practice in the country. The JOBS Project created a countrywide network of business support organizations, providing non-financial and financial services in rural regions. It also promoted sustainable business development in economically depressed rural areas by helping Bulgarian micro and small businesses grow and create long-term jobs. JOBS currently operates in 60 communities and

in 2004, at the policy level, the JOBS project was embedded in the Government's National Employment Strategy, and has been part of the country's National Employment Action Plan ever since. In Albania, UNDP implemented a project to improve mine victims' access to, and quality of, medical and rehabilitative services, and supported their social and economic re-integration through the establishment of the community-based rehabilitation (CBR) network in 39 mine affected villages. In 2005 the success of this initiative led the Government of Albania to adopt a National Strategy on People with Disabilities. Furthermore, UNDP's Communities Programme (CP) in Tajikistan implemented the principles of area-based development in providing support to capacity development, enhancing economic development mechanisms and facilitating access of poor people to public services. CP has alleviated poverty in 40 of Tajikistan's 66 districts and 120 sub-districts. CP managed to upstream its influence from district to the regional and national level by supporting regional government authorities in the introduction of participatory planning and the improvement of information systems.

Scaling up innovative and cost-effective efforts for greater impact and sustainability is a priority that has been highlighted by development practitioners. The MAF, for example, seeks to scale up priority solutions to key bottlenecks in off-track MDGs by calling for the acceleration of progress rates in off-track MDG targets by 2015 (UNDP 2010d). The MAF is a flexible yet systematic process of identifying and analyzing bottlenecks and possible high impact solutions to achieving a country's MDG priorities. The MAF has been rolled out in more than 36 countries so far, resulting in the formulation and implementation of focused and practical MDG action plans. UN agencies such as UNICEF have also adopted an equity-focused approach to MDG acceleration at both national and local levels in the most practical and cost-effective way (UNICEF 2010). The 2005 Paris Declaration on Aid Effectiveness also highlights the need to 'scale up for effective aid' by eliminating duplication of efforts and harmonizing development assistance for better results (UNDP 2010d).

Through the 'Delivering as One' agenda, UN agencies are reorienting efforts to avoid duplication, scale up joint UN efforts and provide more efficient, demand-driven support to national and local partners for greater efficiency and

impact ("Delivering as one" 2010). In Mozambique, for example, FAO, IFAD and WFP are jointly implementing the programme 'Building Commodity Value Chain and Market Linkages for Farmers' Association' that seeks to reduce disparities by improving agricultural production for farmers and helping them sell their produce on the market. Since 2009 the programme has reached 11,355 farmers in five provinces, with plans to scale up to reach more than 15,000 farmers in additional provinces ("Stories.." 2010). In Costa Rica, seven UN agencies (UNESCO, UNDP, UNFPA, UNICEF, IOM, ILO and FAO) are collaborating in the Joint Programme on Youth, Employment and Migration, which facilitates access to decent employment by improving the employability and entrepreneurialism of young people between the ages of 15 and 24, especially women, migrants and those in rural areas and vulnerable situations ("Joint Programme" 2010). The success of these programmes in reducing disparities has been attributed to the effective coordination of the UN agencies, coupled with strong leadership and ownership of the national and local governments. In this context, UNDP works with UNCDF and other UN agencies to implement scaling up initiatives by providing the necessary technical, managerial and sometimes funding support needed for effective delivery.

The demand on the ground and the knowledge accumulated over time show that scaling up is a necessary (not sufficient) condition for resilient development. The scaling up process inevitably requires partnerships and coordination with a variety of actors, including the private sector, civil society, and even in some cases, groups that do not want any part in the scaling up efforts. (Some groups and communities do not want to take part in the development 'progress', especially as dictated by national governments. This is the case in post-conflict situations and in countries with large minority groups.) It is important to acknowledge the evolving nature of the demand on the ground, the nature of development challenges and the fact that not every development initiative should be scaled up. The next chapter provides a conceptual framework for scaling up local development initiatives and practical recommendations that UNDP can take to enhance its support at the national, regional and global levels. The recommendations were extracted from the 'most practical' insights that have emerged from successfully scaled up initiatives across a wide range of contexts, based on feedback shared by colleagues and practitioners around the world.

## 2. Conceptualizing Scaling Up

### 2.1 What is scaling up?

Scaling up is not a new concept for development practitioners and academics. Discussions on this concept started as early as the 1970s and were brought to the forefront of the development agenda within the last decade, especially since the issue of development effectiveness has become a priority for development agencies, donors and governments. Although there has been significant evolution in the discussion of scaling up development interventions, some of the practical and fundamental questions remain unanswered and not all the knowledge has been distilled to its ultimate application for different stakeholders. There is a concern that “scaling up is often attempted without proper guidance, preparation and tools, leading to a frustrating experience” (Binswanger-Mkhize et al, 2009). [Annex 1](#), Summary of the Conceptual Evolution of the Scaling Up Topic, highlights the most relevant literature that address the issue of scaling up and the main takeaways from each.

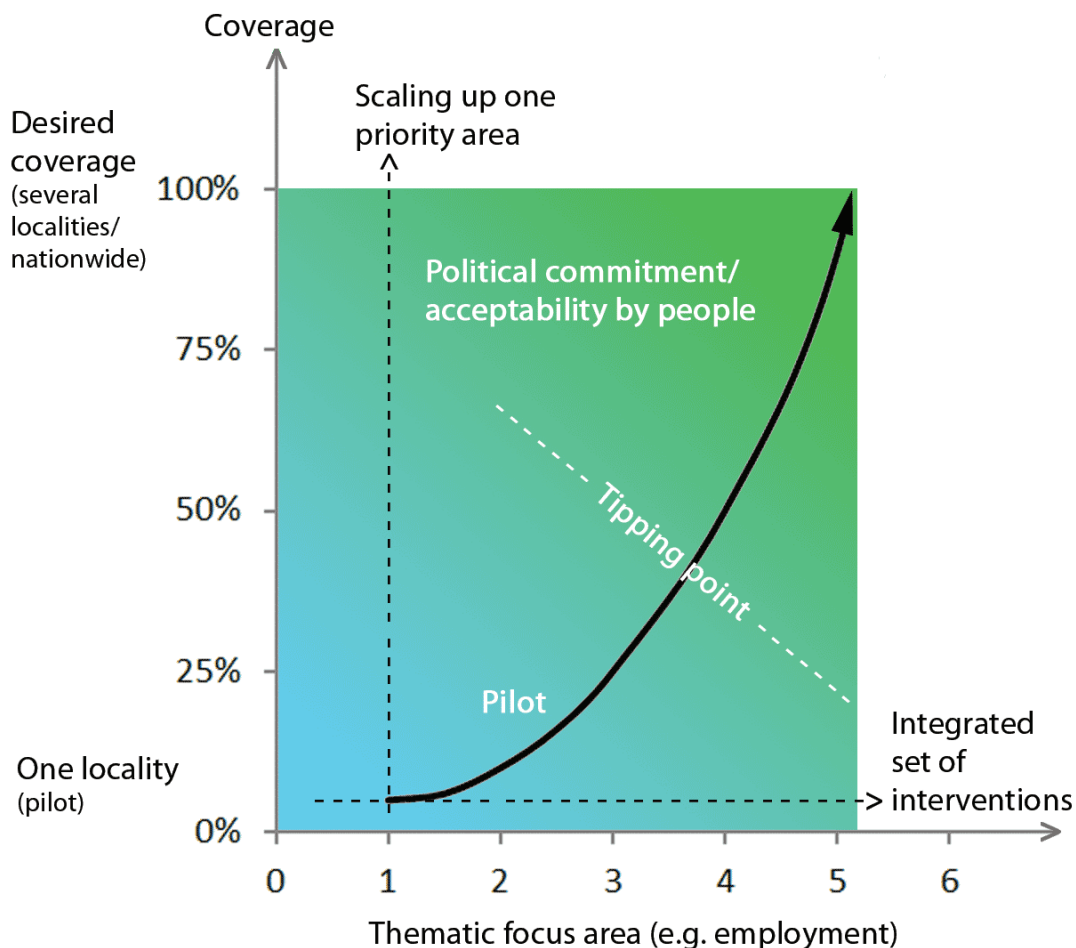
Scaling up is about ensuring the quality of a development impact, reaching out to those ‘left behind’ and ensuring the sustainability and adaptability of results. It is not about just replicating successes to cover larger groups or populations. Thus, a scaled up intervention or investment can deliver multiplier effects at a larger scale, including spurring policy and institutional reforms. It can also serve as an entry point for the development and scaling up of a multidimensional approach. Scaling up entails the following dimensions: *social* (social inclusiveness), *physical* (replication), *political* (policy and budget commitments) and *conceptual* (changing the mind set and power relations—a deep transformation of power and administrative structures). A scan of existing literature on scaling up reveals a great variety of interpretation of the concept, but also a convergence towards the above definition. [Annex 1](#) provides a summarized chronology of the scaling up concept. Ultimately, scaling up should entail: (1) Strengthening joint/multi-practice support at the local level to deliver higher development impact, including addressing inequalities across regions and populations, where joint/multi-practice support entails a combination of the comparative strengths of UNDP governance, poverty reduction and environmental sustainability programmes with the expertise of other UN agencies and non-governmental organizations (NGOs) providing service delivery support; (2) Addressing the knowledge gaps and weaknesses in business processes and institutional arrangements required

to move beyond ‘pilots’; and (3) Supporting advocacy and activism at the local level, and not relying only on a top-down approach to ‘trickle down’ to communities.

Scaling up processes can take many forms, and range from a national outreach covering the entire population to a policy reform spurred by a successful pilot. This can be in the form of expanding, replicating, adapting and sustaining successful policies, programmes or projects in a geographic space and over time to reach a greater number of rural and urban poor. While it makes economic and political sense to launch a national programme for a large middle-income country with diverse populations (eg. NREGS in India, agricultural extension special taskforce in China), scaling up within a limited geographical scope can be more practical in smaller, developing countries and fragile economies (eg. Nepal, Bhutan, Zambia, etc.). Instead of a geographic expansion of a successful pilot, scaling up can also be vertical, such as resulting in a policy commitment/legislative act (eg. Bulgaria’s national employment act, Yemen’s decentralization policy or Cambodia’s 10 year programme on sub-national democratic development). Crucially, scaling up depends on successfully designed and implemented pilots, as well as political and fiscal space that is available for wider institutionalization of results. While many local development programmes take an integrated development approach of combining a set of employment creation and basic services delivery interventions, a substantial scaling up can focus on one to two high impact interventions that provide a ‘multiplier’ effect across MDG targets (eg. employment, vocational education/health or education interventions targeting women and youth).

The main lessons emerging from scaling up efforts point to the necessity of strong leadership/political backing; putting financial and natural resources in the hands of communities and local governments; developing well-designed projects and programmes (already accounting for scaling up challenges from the outset); and promoting transparent and accountable organizations that can *institutionalize* the successful results achieved through pilots. It needs to be acknowledged that scaling up is a long haul process (often taking over five to 10 years), and that for longer term sustainability an effective decentralization or de-concentration agenda needs to be pursued. (Decentralization entails the transfer of function from the central to local level, and takes three forms:

**FIGURE 1. CONCEPTUALIZING THE PROCESS OF SCALING UP**



deconcentration (roles and responsibilities are dispersed from the central ministries to local agents), delegation (transfer of management responsibilities to local authorities), and devolution (decision-making authority and resources are transferred to local governments). (Refer to *Scaling Up Integrated Local Development Innovations*, 2010.)

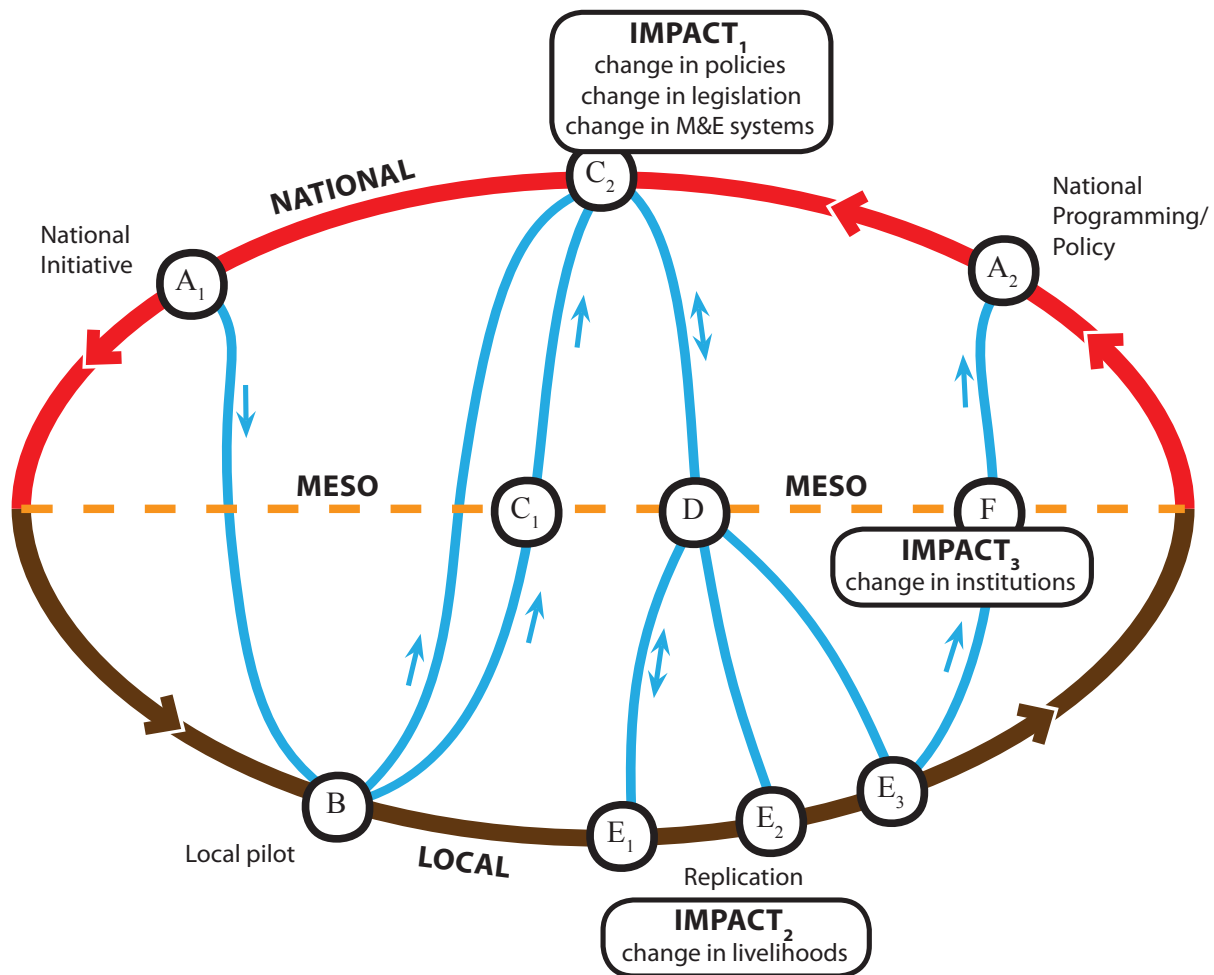
## 2.2 What are the main challenges to scaling up?

The pressing challenge is how the impact of successfully applied policies, programmes and projects can be increased in order to reach a larger number of beneficiaries, and sustained over time through political and financial commitments. Not all development efforts can or should be scaled up. Some projects (such as the Millennium Villages Project (MVP)) are specifically designed and implemented to showcase or demonstrate the feasibility of a particular development intervention/service delivery approach, even in the most challenging of circumstances. These are not meant to be replicated in its original form, since a demonstration may

have required substantial human and financial resources. Once the critical results and lessons in the service delivery/business processes have been distilled, the challenge then lies in adopting these lessons and making them work within the capacity and financial constraints of a given country. In some cases, the same results obtained in the pilot phase may not be feasible during the scaling up phase, when resource commitments (especially from donors) are diminished and/or transferred to regular budgetary support, temporary/ad-hoc human resources support (through technical experts, project units, etc) is not available, and the delivery of outputs relies on existing national/local capacities. Thus, when planning for scaling up efforts, it is necessary to conduct a realistic assessment of existing capacities and resources, so that the interventions can be prioritized accordingly. For example, it was documented that mother-to-child transmission of HIV is being significantly reduced in MVP sites; however, for this success to be scaled up, it is necessary to consider what institutional arrangements and structures and business processes can work best within a given national system.



**FIGURE 2. ROADMAP FOR HOW TO SCALE UP**



### 2.3 What does the process of scaling up look like?

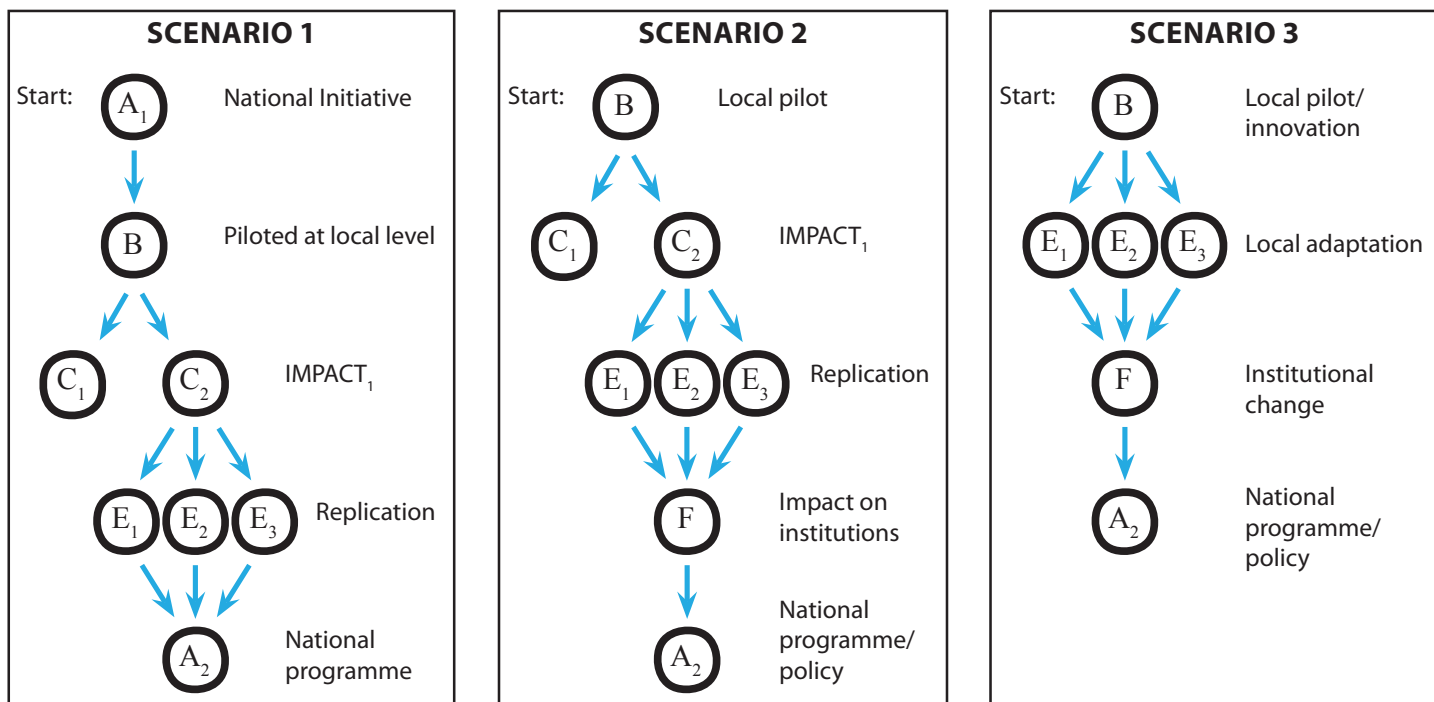
The process of scaling up, where a pilot moves to a nationally owned initiative accepted by communities, is illustrated in Figure 1.

The graph shows two of many possible starting points: the vertical line represents the geographical expansion of one intervention (eg. decentralized energy services as in the [Nepal case study](#)) from one locality to many communities or even an entire country, and the horizontal line stands for a ‘package’ of development services that is implemented in a certain locality (eg. education, employment and health interventions, in addition to energy services, are implemented in an impoverished community). These starting points can be implemented simultaneously in one country. As the process unfolds, two types of impact can be observed: (1) as coverage expands and the pilot is replicated, more people benefit from an inclusive process that is both acceptable and appropriate for groups (eg. adopting the intervention so

that it is culturally acceptable by indigenous or marginalized groups); and (2) as coverage deepens, people benefit from an integrated set of interventions that deliver ‘multiplier’ effects on their livelihoods. Over time, the results and lessons learned are owned by the stakeholders and successful business processes are ‘institutionalized,’ becoming a norm or standard for providing public services. This is the ‘*tipping point*’ for the scaling up process, where the initiative becomes capable of being self-sustained through political cycles, and the services become owned and accepted by communities.

**The scaling up process can take a number of possible pathways** depending on the starting point and the country circumstances, as illustrated in Figure 2. The upper half of the oval represents the national level (marked in red), and the lower part represents the local level (marked in brown). The line in the middle represents the meso-level, made up of institutions and organizations (marked in orange). While many possible options for scaling up can take place, the figure depicts three most commonly observed scenarios:

**FIGURE 3. SCENARIOS FOR SCALING UP**



In **Scenario 1**, a new national scheme (eg. a cash transfer or a public works programme) is launched with a Presidential decree/parliamentary action [point A]. This scheme can be based on an internationally accepted best practice, a South-South learning or a political agenda of the elected government. The scheme is then piloted in a chosen locality/community [point B]. The lessons learned from the pilot affect some institutions (eg. change in a procurement practice, introduction of a mobile banking) at a second tier of sub-national bodies (eg. at a provincial level, as in point C<sub>1</sub>). Over time, this change yields an impact at the national level, culminating in changes in policies, legislation and M&E systems, as well as increased accountability, to name a few [point C<sub>2</sub>]. Such an impact at the national level can also occur directly following a pilot experience [the line connecting points B and C<sub>2</sub>]. This cycle continues with replications in other localities [points E<sub>1</sub>, E<sub>2</sub>, and E<sub>3</sub>], ultimately resulting in improvements of livelihoods and permanent changes in institutions [points D and F] and affecting national level policies and structures [point A<sub>2</sub>]. Mexico's federally administrated Oportunidades, for example, was first piloted in Campeche in 1996, whose lessons eventually led to various institutional and policy changes at the national level including the creation of a separate agency to run the programme, strengthened monitoring and evaluation for future implementation, the simplification of transfer modalities, and increased intergovernmental collaboration. (Refer to [Scaling](#)

[Up Progreso/Oportunidades—Conditional Cash Transfer Programme](#) in Mexico case study for more information.)

The starting point of a scaling up process can also be at the local level, as in **Scenario 2**. This could be a small innovative practice (eg. a more efficient way of managing water resources or an introduction of a mobile technology to improve a referral system for pregnant mothers) [point B]. Based on the success of the pilot, the lessons learned are then mainstreamed into existing processes of meso-level institutions [point C<sub>1</sub>], aligned with national development priorities, have an impact on national level structures and/or result in the adjustment or formulation of policies [point C<sub>2</sub>]. The cycle repeats as in Scenario 1, yielding transformation in livelihoods [points E<sub>1</sub>, E<sub>2</sub>, E<sub>3</sub> at the local level], and structural improvements in institutions [points D and F]. The Programme for South-South Cooperation (PSC) in Costa Rica, for example, began as a pilot biodiversity project that measured the social and economic value of three national parks and biological reserves. The results of the project, following further expansion, provided the concrete data required for the scaling up of the project at the national level, as well as justification for national government to increase investments for environmental conservation. (Refer to [Contribution of National Parks and Biological Reserves to Economic and Social Development in Costa Rica](#) case study for more information.)

In **Scenario 3**, the starting point is also at the local level. Based on the success of the pilot, the innovative practice is picked up by other communities/sub-districts; this typically can happen in a more decentralized environment where sub-national structures have more power or authority to implement changes in public services delivery [points E1, E2, and E3]. The cycle repeats itself, yielding results at the meso- and national levels and ultimately improving livelihoods of poor/vulnerable communities. For instance, the Rural Energy Development Programme (REDP) in Nepal began as a local pilot initiative that was replicated in other districts through a decentralized, community-based approach that eventually led to increased energy access in remote villages, as well as changes in related policies and legislation. (Refer to *Scaling Up Decentralized Energy Services* in Nepal case study for more information.)

Therefore, various pathways are possible. The arrows along the oval signify the repetitive, circular nature of a scaling up process — ‘an iterative and interactive cycle as the experience from scaling up feeds back into new ideas and learning’ (Linn 2012). With each repetition, lessons are generated, interventions and processes are improved, impact deepens, or change becomes more transformative. (*Annex 2* provides more concrete examples of each scenario.) There is a constant interaction between directly related and seemingly un-related processes at all levels, and the optimal pathway for scaling up is determined by how well the linkages are established and mutually reinforcing between national and sub-national level processes and structures, institutions and their functions and local level livelihoods.

### 3. Implications for UNDP Programmes and Operations

UNDP should address the growing importance of scaling up and consolidating development successes to date. While there have been numerous innovative local governance and local development projects supported by UNDP, examples of good practices and successes at local and regional levels are not being effectively communicated, replicated and scaled up. Evaluations of UNDP programmes have warned against 'boutique projects' or localized pilot initiatives that do not make a broader developmental contribution (UNDP 2010a), thus highlighting the necessity of systematically assessing and documenting good practices that deliver greater efficiency and impact. Simultaneously, as the pressing issues for developing and least developed countries are moving away from finding out 'what to do' and going towards 'how to do it' and even more often, 'how to do it at the proper scale', there is an effective demand for policy support in designing and implementing strategies for scaling up 'proven' interventions, policies and institutional arrangements. The inter-governmental coordination, as well as the associated fiscal, organizational and managerial arrangements, require policy responses beyond the sector-specific challenges. This provides a window of opportunity for UNDP programmes at the country, regional and global levels to deliver effective policy and capacity development support for local development initiatives.

Scaling up local development and local governance projects and programmes requires a systematic rethinking of how our current programmes operate at the country, regional and global levels. To date, many country offices face the challenge of ensuring that programme/project results and impact can be scaled up and/or sustained over time, even in the face of diminished resource commitments (from donors). As discussed above, the reasons for this difficulty range from lack of national systems supporting local development and restrictive financing environment, to internal challenges of developing multi-practice, medium-term UNDP programmes. While some external factors may take much longer to address, UNDP can certainly re-align its strategies, processes and procedures to enable scaled up support at the local level. Based on the scaling up concept presented earlier, this section outlines the opportunities that country offices can employ to practically develop and implement scaled up initiatives, so that localized pilot successes can be transformed into lasting development impact with the full ownership by local and national governments and communities.

Scaling up 'successes' is not about 'giving hand outs' to the poor. UNDP programmes need to be carefully designed to build on the national vision and seize 'golden' opportunities, especially on those emerging from the political space created after upheavals, new elections and other changes. In the current restrictive financing environment, UNDP should prioritize the development support that yields the highest dividend, with strong local-national linkages made from the outset. Investments in policy coherence, multi-practice programming and integrated development support are crucial. UNDP's development support should also be effectively monitored and tracked for evidence-based advocacy. In addition to designing and implementing effective and efficient programmes that catalyze national and local scaling up initiatives, UNDP can provide a solid knowledge base on this topic, as well as practical policy advice tailored to country and regional specifics and building on existing assets and opportunities.

UNDP employs a human rights-based approach to scaling up, which means that support to national and local efforts to influence: (1) the outcome (availability, accessibility and quality) of development services and (2) processes (participation, non-discrimination, and accountability). UNDP thus plays a catalytic role in seizing the 'golden' opportunities and building on existing successes in different stages of development processes and political economy dynamics. At the strategic programme design and inception phase, it is important to consider what should and can be scaled up from the outset. This requires a political economy analysis and assessment of wider political and economic processes and realities, assessment of capabilities and assets, as well as a rigorous analysis of lessons learned from existing projects.

However, evaluations and assessments of UNDP work on local development and governance at corporate (HQ), regional and country levels highlight the difficulty of sustaining results and gains beyond the project implementation period (UNDP, 2010, Evaluation of UNDP Contribution to Strengthening Local Governance; UNDP, 2011, RBEC Assessment on Local Development.). Some core challenges that countries face in scaling up include:

- **Conceptual framework and project design:** Many projects and initiatives on local development do not conduct a careful analysis of the political, economic, institutional and soci-cultural dynamics and how they affect people's livelihoods in a given locality. This often

leads to the formulation of development outputs that unnecessarily narrow the focus of the project, with no vision or room for further scaling up, or do not correspond with the realities on the ground.

- **Duration of the project:** Most local development projects have a limited life cycle, and they are designed as 'catalytic' or 'pilot' initiatives with the pressure to deliver immediate results on the ground. Such projects are not embedded into the country office's strategic plans and programming.
- **Financing:** Tied to the short-term nature of local development projects, financing is usually very limited, short-term and/or unpredictable. In addition to a volatile donor environment, due to constant pressure to mobilize resources many country offices seize any new funding opportunities without strategic considerations for development effectiveness and/or without adequate consultations and negotiations on strategic priorities. In some cases, projects are purely driven by donor resources without any commitments from national and local budgets.
- **Ownership and sustainability:** Very few countries conduct ex-post assessments on how the results of the projects are impacting the stakeholders' livelihoods or wider development dynamics.
- **Knowledge:** There exists is a wealth of knowledge accumulated through various initiatives, but often there is no or weak underpinning knowledge management, communication and outreach systems that make the lessons learned readily available.
- **Monitoring and evaluation:** Monitoring and evaluation systems are not properly developed, preventing practitioners from tracking development progress and results that could be valuable for scaling up. In some cases, the actual benefits, such as the development of leadership capacities, change in attitude or behaviour, or change in development dynamics as a result of intervention, are often overlooked and not acknowledged properly.
- **Multi-practice, integrated support:** While country offices strive to provide integrated support, the support is often provided in parallel through individual projects and programmes, partially due to the operational difficulties of establishing joint programmes.

### 3.1 Actions at the Country Level

**What to Scale Up?** As discussed earlier, countries may consider a variety of scaling up initiatives. However, because of UNDP mandate and value-added, it is proposed to prioritize those initiatives that provide substantive scaling up—rigorously applying lessons learned from a small success to achieve a sustained investment resulting from a change in a policy action and/or legislative act, underpinned by regular budgetary allocations through national and local governments. Substantive scaling up can also be in the form of systematic application of tools and methodologies to other development initiatives, led by the government and communities, so that these tools become *institutionalized and applied for development investments*.

Scaled up support should be an integral part of the UN/UNDP strategic planning tools, such as the Common Country Analysis (CCA), the United Nations Development Assistance Frameworks (UNDAF) and Country Programme Action Plans (CPAP). An effective scaling process requires coherent, coordinated and synergized support from the UN and UNDP, which can only be made possible if such support is envisioned during the planning and formulation stages of UNDAFs and CPAPs. As seen from examples in section two, it is evident that through effective implementation of the 'Delivering as One' agenda, the UN and UNDP can truly scale up coordinated support and substantially enhance impact on the ground. The respective skills and expertise of the specialized UN agencies and funds such as UNICEF, UNFPA, FAO, UNAIDS, IFAD and others can improve the capacity development support provided by UNDP and UNCDF at the local and national levels. Including scaled up local development initiatives as a programmatic focus in UNDP CPAPs (as a response to the national priorities) can ensure that financial and human resources can be allocated in a predictable manner over a medium-term period. Such predictability of support ultimately helps UNDP/UN local development projects gain more recognition as value-added to national reform processes, thus helping avoid a duplication of efforts, wasting of precious resources and setting up of ad-hoc or temporary projects that are driven by donor needs or demands.

At the programme design and inception stages, it is important to consider what can be scaled up from outset. This requires a political economy analysis and assessment of wider political and economic processes and realities, assessment of capabilities and assets, as well as a rigorous analysis of lessons learned from existing projects. Ideally,

projects should be a part of UNDP's CPAP priorities so that the actions can be supported for a medium-term period. This also requires close communication and partnership with the government and development partners to avoid any duplication or creation of parallel structures, as well as to secure predictable funding. Optimal exit strategies should also be carefully considered by considering ex-ante the tangible and intangible outputs that will be left behind at the end of the project cycles (is it the knowledge, capacities and abilities within communities to be able to further carry out the project activities; is it social cohesion and mobilization; or is it a concrete policy or resource re-allocation/commitment)? (Correa-Diaz, 2011)

For the scaling up phase, it is important to consider the process of proper sequencing to achieve the best aggregate results. For example, in many cases, projects would need to simultaneously develop interventions that work on micro-level and short-term results (eg. water pumps installed, food granaries established or government officials trained) and those that target meso-level/medium-term objectives that have direct implications for national or regional policies, institutionalization and budgetary cycles. The dynamic between territorial development and national development, or local-national linkages, is another issue to consider for proper sequencing. Also, while in some cases it is possible and/or advisable to only focus on one to two strategic areas (eg. food security), in other cases it is advisable to promote an integrated set of interventions (as in the MVP) to develop a base from which to spur further development impact. (However, in some cases, especially in middle-income countries, this may not be considered as scaling up but rather, laying the ground for scaling up.) There is also a need to consider which instruments and tools (eg. training, capacity assessments, funds (revolving funds), credit line, credit guarantee scheme, small grants scheme or community project tender mechanism) and which institutional arrangements (eg. district development models, regional development models, business models) are appropriate.

How do we strengthen local-national linkages? Local-national linkages must be strengthened at three levels: (1) the planning and implementation of service delivery at the micro level, (2) the institutional and organizational arrangements at the meso-level, and (3) the development of sectoral and national policies and visioning, and investments in core national systems at the macro level. It is also important to note that this process is not linear: in order to ensure sustainability, local-national linkages must

also be strengthened horizontally by linking with other development stakeholders at the national level.

Information systems and M&E for measuring results: properly set-up information collection and M&E systems are very important for the scaling up phase. Thus, the institutional setting for formal data collection has to be ensured, along with normative instruments and tools to be used. Measuring evolution—a change in attitudes or capacities (of civil society)—is harder to grasp, but can still be considered using surveys and other mechanisms to gauge this important change. It is also crucial to make necessary corrections along the way to ensure that enough support and time is provided for full absorption of knowledge and capacities by stakeholders. The ex-poste evaluation and monitoring is also necessary to accurately assess UNDP's contribution to longer-term development effectiveness. Proper resources and capacities should be taken into account for wider dissemination and sharing of results.

Regardless of what type of scaling up is considered, country offices must carefully consider required staff capabilities and capacities for the process and management of programme. New types of skills may be required, or a multi-skilled or multi-practice team may need to be set up to ensure that both 'upstream' and 'downstream' interventions are implemented. Moreover, it is important to conduct a practical capacity assessment of the human resources base and potential at the localities in which UNDP is providing support, both for public sector and private sector/NGO service providers. Also, it is important to apply 'learn as you go' method to ensure that staff capacities are updated through training and knowledge sharing as the programme grows.

The success of a scaling up effort can be measured through: (1) empowered communities and local governments to demand and address their own development priorities (eg. local development programmes that reflect the priorities identified by vulnerable groups, such as women and minority groups; or local budgets allocated in accordance with the priorities identified by the local population); (2) strengthened national-local linkages (eg. clear assignment of mandates, functions and duties between the centre and localities); (3) improved accountability systems for services delivery and access to information (eg. presence of public information outlets and mechanisms, or mechanism of public complaint/recourse to action); and (4) strengthened capacities for local governments and service delivery providers (eg. quality of services delivery measured through public surveys or citizen cards). These measures are in addition to quantifiable

outputs such as the number of jobs created among women and youth, the number of female headed households with access to land, the number of girls going to school, the number of women with access to primary health services, the number of vulnerable youth enrolled in vocational education programmes, etc. Examples of possible outputs of a scaled up programme are provided in [Annex 3](#), Required Actions at the Country Level for Scaling Up.

The key 'enablers' of scaling up processes include: (1) political drivers such as leadership, vision for scaling up and sustained commitment through political cycles; (2) supportive institutional, policy and capacity environments; (3) strengthened national-local linkages both vertically and horizontally; and (4) political economy analysis, or the ability to distinguish between 'golden' opportunities and 'black holes' of development intervention. Predictable, medium-term fiscal commitments and well designed and executed M&E systems for evidence-based programming are also crucial in scaling up processes, combined with continued learning and innovative partnerships.

See [Annex 3](#) for detailed examples of country level actions, [Annex 4](#) for possible entry points to support scaling up in UNDP programming cycles, [Annex 6](#) for a sample checklist for Monitoring and Evaluation for Scaling Up initiatives, and [Annex 7](#) for a sample checklist to report on scaling up efforts in the UNDP Results-Oriented Annual Reporting.

### **3.2 Actions at the Regional Level**

UNDP regional level support should focus on: (1) providing sound policy advisory and technical support addressing both challenges and opportunities in the scaling up processes, drawing from international experience as well as paying particular attention to 'innovative' methods and business processes that are both cost-effective and environmentally

resilient; (2) facilitating South-South exchange of knowledge and development expertise; and (3) wherever possible, providing 'alternative' policy options for scaling up, especially when countries are faced with crises or diminished donor support.

The strategic policy advisory role provided by UNDP Regional Service Centres is important for streamlining knowledge exchange platforms, synthesizing the experiences from countries in their respective regions and showcasing or advocating regional knowledge and expertise. [Annex 5](#) provides a list of functions UNDP Regional Service Centres can provide governments and UNDP/UN country teams in their scaling up efforts.

### **3.3 Actions at the Global Level**

At the global level, the Poverty Practice of UNDP's Bureau for Development Policy (BDP), together with other practices and units, continues to strengthen the UNDP knowledge base on the scaling up concept and boost global advocacy efforts among development partners for scaled up support at the local level. It seeks to engage a variety of actors-civil society, private sector, decentralized cooperation partners (municipalities of the South and the North), bilateral banks and foundations. It also provides practical policy advice to country offices (backstopping regional centres) in designing and implementing sound scaling up initiatives that are sustainable, flexible and adaptable, building on existing efforts. In addition, UNDP is currently developing a multi-practice integrated framework to advance the local governance and local development agenda, which can also be used as a platform for spurring a coherent and coordinated support for local development. [Annex 5](#) provides a list of possible support functions UNDP HQ, including BDP, can provide governments and UNDP/UN country teams in their scaling up efforts.

## Annex 1. Summary of the Conceptual Evolution of the Scaling Up Topic

	1995 (Uvin)	2000 (Uvin, et al)	2001 (CGIAR)	2003 (World Bank)
<b>Context</b>	How to transition successfully from a pilot/grass-roots project to a large scale operation? How to scale up organizations and their programmes?	Expansion is only one (and outdated) of several alternative approaches for scaling up. Multiplication, mainstreaming and influencing other social actors also deserve attention.	It is not technologies that are scaled up but the processes and principles behind the technologies and innovations.	Historically, successful projects have been one-time investments without strategies for leveraging projects to a larger scale or to broader coverage to increase efficiency and developmental impact in a country or region.
<b>Knowledge Evolution</b>	A pre-theory of scaling up. There is little unanimity or knowledge about the real implications of scaling up or its precise meaning. Indeed the term has been employed very ambiguously, to describe a larger variety of processes.	Scaling up is about diversity rather than standardization, process rather than project, social rather than financial capital, synergy rather than substitution or competition.	Meaningful discussions on scaling up should also detail the roles and responsibilities of local governments, organizations and institutions at the local, national, regional and global levels.	Scaling up refers to not only the ends (socioeconomic, human and environmental impact) but also the means (systems, policies and processes).
<b>Proposed definition</b>	<p><b>Quantitative Scaling up:</b> Increase the number of people involved through replication.</p> <p><b>Functional Scaling up:</b> Projects and programmes expand the type and scope of activities.</p> <p><b>Political Scaling up:</b> Move beyond service delivery to institutional changes.</p> <p><b>Organizational Scaling up:</b> Organizations improve their efficiency and effectiveness to allow growth and sustainability.</p>	Scaling up is about "expanding impact" and not about "becoming large." Impact is defined as affecting the behavior or positively influencing the lives of the poor. This can be achieved directly or indirectly (training, advocacy, knowledge creation, or advice).	Scaling up brings more quality benefits to more people over a wider geographical area, more quickly, more equitably, and more lastingly. (It proposes an objective rather than an actual definition).	Scaling up is the efficient increase of socioeconomic impact from a small to a large scale of coverage.
<b>Takeaways</b>	The nature of the process is multi-dimensional.	Scaling up involves (but is not limited to) advocacy and changing behaviors of several actors (not only the governments).	The MDGs provide a suitable framework for understanding and especially undertaking scaling up as a vehicle for development.	Importance of not losing sight of the poor; Importance of understanding contextual factors; need to balance contextual and universal approaches to scaling up (aka. replication vs. adaptation)



	2004 (CIAT)	2008 (Hartmann & Linn)	2009 (World Bank)	2012 (IFPRI)
<b>Context</b>	In addition to technologies, methodologies can also be end products of research.	Development effectiveness depends on whether and how successful development interventions are scaled up and sustained.	How to achieve national coverage rather than a focus on development enclaves? Scaling up is often attempted without proper guidance, preparation and tools, leading to a frustrating experience.	After decades of neglect, volatile food prices and persistence of hunger and malnutrition, governments, donors and key actors must focus on how successful development interventions can be scaled up to make essential gains in agriculture, rural development and nutrition.
<b>Knowledge Evolution</b>	Scaling up must be sustainable. This sustainability condition within scaling up implies leaving people with the adaptive capacity to deal with problems as they arise. This process is inherent in adaptive management.	Scaling up is not only about the quality of impact, scale and sustainability. In practice it involves a multidimensional process of change and adaptation.	Scaling up must also ensure real participation by (and linkages with) all stakeholders, improved accountability, technical soundness and sustainability.	Scaling up is about ensuring value for money, not just a question of more investment and more aid. It is not enough to merely replicate innovations or take them to scale; what matters is to scale up impact efficiently and sustainably.
<b>Proposed definition</b>	<p><b>Horizontal Scaling up:</b> Geographical spread to cover more people and communities through replication and adaptation.</p> <p><b>Vertical Scaling up:</b> Institutional in nature involves other sectors or stakeholders groups in the process of expansion – from the level of grassroots to international levels (eg. policymakers, donors and development institutions).</p>	Scaling up means expanding, adapting and sustaining successful projects, programs or policies in different places and over time to reach a greater number of people (originally proposed by the World Bank, but explicitly endorsed by the authors).	Scaling up is taking one or several islands of success that have addressed a national development problem and multiplying them to cover as much territory and populations as possible and appropriate.	Scaling up is part of a broader process of innovation and learning (a new idea, model or approach is piloted; with M&E, the knowledge acquired from the pilot is used to scale up). The process generally is not linear but an iterative and interactive cycle as the experience from scaling up feeds back into new ideas and learning.
<b>Takeaways</b>	Scaling up requires adapting knowledge and innovations to end-users. Adaptation and application of innovations to different contexts requires understanding the knowledge and principles underlying the innovation. Such understanding is achievable through capacity building.	A decision to scale up requires a reflection on the optimal size of the programs. It does not imply national coverage. Scaling up successful and promising new initiatives require organizational and fiscal space.	Harness social capital through empowerment and increase social capital through scaling up. Two directions on accountability as it flows from empowerment. Capacity Development is cross-cutting across all actors involved in the process.	Horizontal and vertical scaling up usually have to be combined to achieve success. Scaling up requires a long-term engagement, and a systematic and deliberate approach in defining the scaling up pathway. Sustainability and scalability are deeply intertwined.

## Annex 2. Examples of Scaled Up Initiatives\*

Country	Initiative	Description	Key Enablers
<b>Scenario 1 (national initiative → local pilot → meso-level impact → replication / change in livelihoods → national programming / policy)</b>			
<b>1. Mexico</b>	<p>Progresa / Oportunidades</p> <p>I suggest we don't use/highlight "here"; whole title in blue is easier to spot. &gt;&gt;</p>	<p>Progresa, a federal conditional cash transfer programme initiated under then-President Ernesto Zedillo [point A], was first piloted in Campeche in 1996 for 31,000 households [point B]. Lessons from the pilot eventually led to various institutional changes, as well as policy changes at the national level, such as the creation of a separate agency to run the programme, strengthened monitoring and evaluation for the gathering of credible data in future implementation, the simplification of transfer modalities, and incentives for increased intergovernmental collaboration [points C1 and C2]. The programme expanded to cover an additional 300,000 rural families by 1997 [point E1], 2.6 million families by 2000 [point E2] and over 3 million by 2001 [point E3]. Under President Vicente Fox, the programme also devised certain sub-targeting mechanisms for specific populations, expanded from rural areas to the cities, and was renamed to Oportunidades in 2001 [points D and F]. Having 'survived' both the 2000 and 2006 elections [point A2], the programme currently benefits over five million families, or 22 percent of the total population. (Refer to <i>Mexico: Scaling Up Progresa/Oportunidades—Conditional Cash Transfer Programme</i> in Mexico case study for more information.)</p>	<ul style="list-style-type: none"> <li>• Effective M&amp;E</li> <li>• Coordinated federal approach</li> <li>• Policy environment / political commitment</li> </ul>
<b>2. China</b>	<p>Government Subsidized Student Loans Credit Insurance (GSSLCI)</p>	<p>In 2006, a private insurance company, Sinosafe, introduced the Government Subsidized Student Loan Credit Insurance (GSSLCI) scheme to assist the government in addressing the bottlenecks faced by the government student loan scheme [point A1]. GSSLCI was initially piloted in 2007 in one province in China [point B]. The pilot project later led to several institutional changes at the municipal and provisional levels which involved lending banks, higher education institutions and the local government agencies [points C1 and C2]. By 2011, the scheme had successfully expanded to 10 provinces and municipalities benefiting 339,000 poor students in 328 higher education institutions [points E1, E2, and E3]. (Refer to <i>Public-Private Partnership: Equalizing Higher Education Opportunities Through Credit Insurance for Youth from Poor Households in China</i> case study for more information.)</p>	<ul style="list-style-type: none"> <li>• Responsiveness to market demands and needs</li> <li>• Strong leadership</li> <li>• Public-private partnerships</li> <li>• Enabling policy environment</li> <li>• Institutional space</li> </ul>

\* As illustrated by *Figure 2, Roadmap for How to Scale Up*. All case studies are available at [www.tinyurl.com/undp-scaling-up-cases](http://www.tinyurl.com/undp-scaling-up-cases).

Country	Initiative	Description	Key Enablers
<b>Scenario 2 (local pilot → meso-level impact → replication / change in livelihoods → meso-level (institutional) impact → national programming / policy)</b>			
<b>3. Costa Rica</b>	Contribution of National Parks and Biological Reserves to Economic and Social Development	In 2003, two research institutes developed a biodiversity project that would measure the social and economic value of the conservation areas in Costa Rica. The project was first piloted in three national parks and biological reserves (NPBRs) [point B]. The results of these pilots demonstrated that NPBRs are valuable assets for socio-economic development, and provided concrete reasons for preserving and maintaining NPBRs and natural resources within other conservation areas [points C1 and C2]. The project was implemented in an additional three NPBRs the following year [points E1, E2, and E3] and was scaled up to the national level by 2008. The results of the project provided the concrete data required for the Ministry of Environment and Energy in Costa Rica to justify an increase in investments for environmental conservation [point F]. As a result, the Ministry has made a stronger commitment to conservation, and the country has declared its intention to be the first carbon free country in the world by 2021 [point A2]. The project has also been replicated in other countries including Bhutan and Benin. (Refer to <i>Costa Rica: Contribution of National Parks and Biological Reserves to Economic and Social Development</i> , in Costa Rica case study for more information.)	<ul style="list-style-type: none"> <li>• Culture of environmental conservation and expansion</li> <li>• Economic incentives and fiscal space</li> <li>• External catalysts</li> <li>• Conducive policy environment</li> </ul>
<b>4. Mongolia</b>	XacBank	In 1997, a group of development organizations including UNDP, USAID and Mercy Corps initiated a partnership to promote the financial sector in Mongolia; it was piloted in 1998 [point B] and later institutionalized in 1999 when six participating local NGOs consolidated under the project to create the first registered non-bank financial institution in the country [point D]. By 2001, it had expanded widely to target the vulnerable non-poor, who were just above the poverty line, and increased loan limits for small and medium enterprises [points E1, E2, and E3], sparking a trend followed by other institutions who began offering more diversified financial products [point F]. By 2006, it had become the first commercial bank in Mongolia, and has provided a socially and environmentally responsible business model among the Mongolian private sector. (Refer to <i>Institutional Transformation: Story of XacBank of Mongolia</i> case study for more information.)	<ul style="list-style-type: none"> <li>• Vision of social responsibility</li> <li>• Empowerment of women</li> <li>• Investments in the future generations</li> <li>• Responsible corporate governance</li> <li>• Smart partnerships</li> </ul>

Country	Initiative	Description	Key Enablers
<b>Scenario 2 (local pilot → meso-level impact → replication / change in livelihoods → meso-level (institutional) impact → national programming / policy)</b>			
<b>5. Bangladesh</b>	Islami Bank Bangladesh Limited (IBBL)	In 1995, Islami Bank Bangladesh Limited, a private sector Islamic bank, initiated the Rural Development Scheme (RDS), an innovative Islamic microfinance channel. It was launched as a pilot initiative in 3-4 bank branches to answer the demand of the rural Muslim poor who were left out from conventional micro financing due to religious beliefs [point B]. In 1997, the government of Bangladesh introduced several policies encouraging the private sector, especially financial institutions, to play a leading role in alleviating poverty in rural areas [points C1 and C2]. By 2005, the RDS programme had been replicated in 101 branches reaching 217,425 beneficiaries (94% women) in 4,560 villages [points E1, E2, and E3]. Then in 2008, the government issued DOS Circular No 01 which called on banks and financial institutions to provide appropriate financial service packages with financing programmes innovatively designed to generate new employment, output and income for the poor in Bangladesh [point A2] following the RDS model, which is now considered one of the main financing channel at the bank that specifically targets the poor. Just recently in 2012, the Government of Bangladesh announced that it will partner with the Islamic Development Bank to establish an Islamic microfinance institution in collaboration with renowned local and international financial institutions [point A2]. (Refer to <i>Scaling Up Islamic Microfinance in Bangladesh through the Private Sector: Experience of Islami Bank Bangladesh Limited</i> case study for more information.)	<ul style="list-style-type: none"> <li>• Responsiveness to market demands and cultural needs</li> <li>• Conducive policy environment</li> <li>• Institutional space</li> <li>• Dedicated management with vision for scale</li> </ul>
<b>Scenario 3 (local pilot → replication / change in livelihoods → meso-level (institutional) impact → national programming/policy)</b>			
<b>6. Nepal</b>	<b>Rural Energy Development Programme (REDP)</b>	REDP began as a local pilot initiative in 1996 [point B] that was replicated in 10 districts by 1998 and 15 by 2000 [points E1, E2, and E3] through a decentralized, community-based approach. A number of enabling policies in 2001 [point A2], as well as various institutional changes to the governing agency [point F], facilitated further expansion of the model to 40 districts by 2007 and all 65 districts by 2012 [point A2]. The programme has benefited more than one million people, and has led to increased household incomes due to electricity access, decreased household spending rates on energy and increased spending on education. (Refer to <i>Scaling Up Decentralized Energy Services in Nepal</i> case study for more information.)	<ul style="list-style-type: none"> <li>• Political commitment</li> <li>• Enabling policy environment</li> <li>• Shared financing</li> <li>• Institutional space</li> <li>• Effective partnerships</li> </ul>

Country	Initiative	Description	Key Enablers
<b>Scenario 3 (local pilot → replication / change in livelihoods → meso-level (institutional) impact → national programming/policy)</b>			
<b>7. China</b>	Agriculture Extension Special Task Force (AESTF)	The AESTF programme started in 1998 as a local innovation initiated by the city of Nanping [point B]. By 2002, the AESTF practice had been learned and adapted by several neighbouring provinces [point E1] and by 2004, the Ministry of Science and Technology and the Ministry of Personnel jointly issued a policy guidance note on AESTF's Entrepreneurship Campaign [point F], leading to further replication in 593 counties in 24 provinces [point E2]. Then in 2006, the Ministry of Science and Technology collaborated with other related ministries and provincial governments, as well as with UNDP, to promote the national implementation of AESTF [point A2]. The initiative was implemented in 1,640 counties in 2008 and 1,800 counties (63 percent of all counties in China) by 2010 [points E1, E2 and E3], benefiting over 60 percent of the country's rural population of 720 million. By 2009, the average annual income of farmers benefitting from the AESTF services increased by 67 percent compared to their income levels in 2006 – an increase that was 24 percent higher than the national average increase during the same time period. (Refer to <i>China Agriculture Extension Special Task Force</i> case study for more information.)	<ul style="list-style-type: none"> <li>• Alignment with national development priorities</li> <li>• Responsiveness to external catalysts</li> <li>• Innovations on incentives and win-win partnerships</li> <li>• Multi-sector coordinated policy support across national and local levels</li> </ul>
<b>8. Rwanda</b>	Urwego Opportunity Bank	In 1997, an NGO known as World Relief launched a microcredit program [point B] in the aftermath of the genocide. It quickly emerged as a leading MFI in Rwanda, known for its quality services to economically marginalized communities, especially women, who comprised 90 to 94 percent of its clients [points E1, E2, and E3]. Despite its reputation and brand name, however, it struggled to meet the demand for microfinance services; in response, the Government of Rwanda launched a series of reforms to strengthen the sector [point C2], and Urwego became formally recognized as a regulated MFI in 2004 [point D]. By 2007, it had merged with a bank to form the current Urwego Opportunity Bank, the largest MFI in the country [points E1, E2, E3 and F], and has recently partnered with UNDP/UNCDF as well as the Government of Rwanda to build an inclusive financial sector in the country [point A2]. (The case study, <i>Building an Inclusive Financial System for Rural Communities in Rwanda: The Story of Urwego Opportunity Bank</i> , will soon be available at <a href="http://www.tinyurl.com/undp-scaling-up-cases">www.tinyurl.com/undp-scaling-up-cases</a> .)	<ul style="list-style-type: none"> <li>• Continuous innovation and improvement</li> <li>• Enabling policy environment</li> <li>• Holistic vision and partnerships</li> </ul>

## Annex 3. Required Actions at the Country Level for Scaling Up

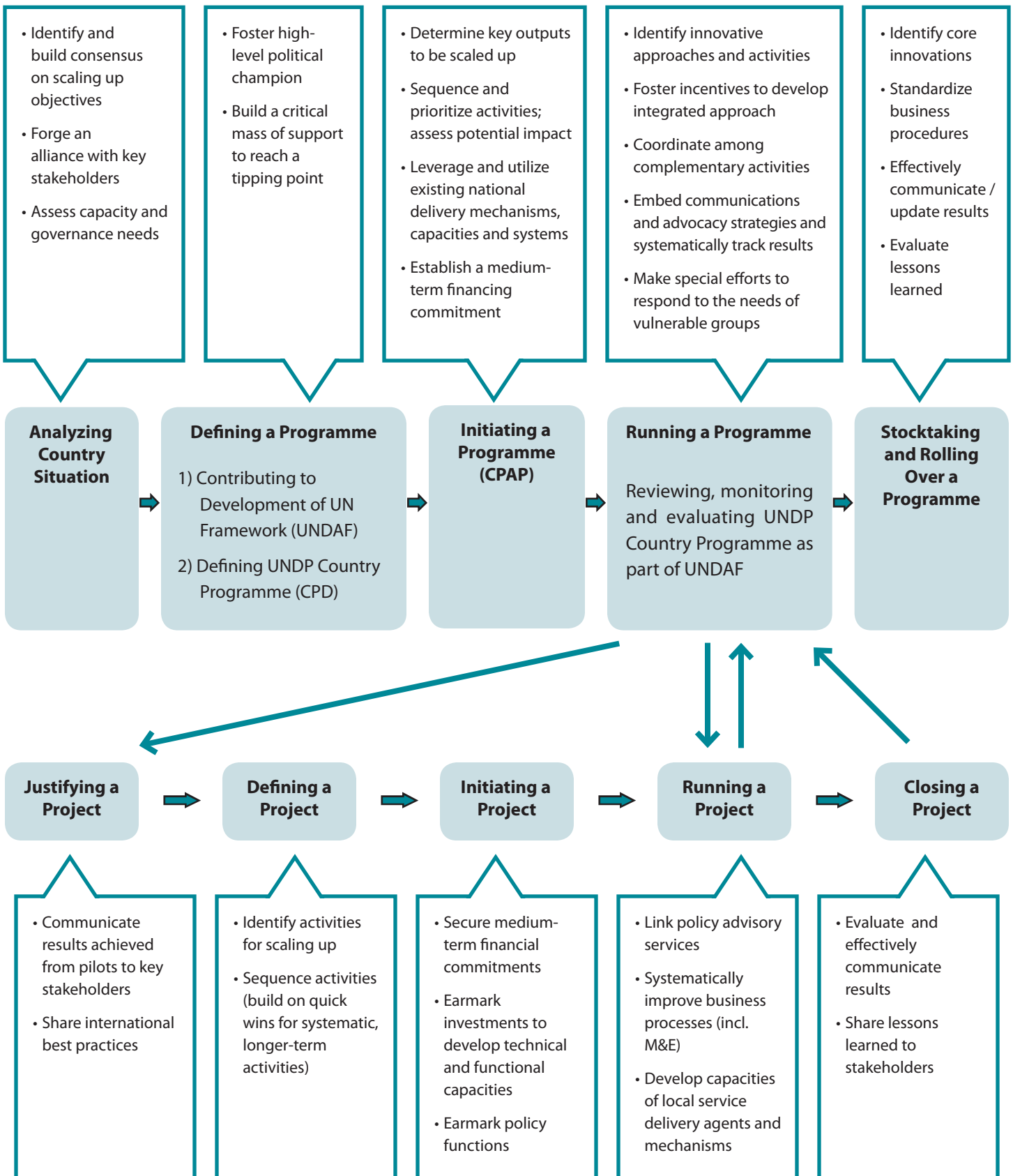
Core Challenges and Issues	Proposed Response and Solutions	Responsible Parties and Partners	Relevant Literature and Resources
<b>Level: UNDP Strategic Programming (CPD, CPAP), 5 years</b>			
<p><b>Political will/commitment:</b></p> <ul style="list-style-type: none"> <li>Lack of ownership to scaling up processes</li> </ul>	<ul style="list-style-type: none"> <li>Identify activities for scaling up that address an urgent/priority development challenge (eg. unemployment, environment degradation, gender inequality)</li> <li>Foster a high-level political champion for the cause</li> <li>Build a critical mass of 'champions' to reach a 'tipping point'</li> </ul>	<ul style="list-style-type: none"> <li>RC/RR</li> <li>Senior UNCT members</li> <li>UNDP CD/DCD</li> <li>ARR/national programme officers/ advisors</li> <li>Government partners</li> </ul>	<ul style="list-style-type: none"> <li>Hartmann and Linn, 2008a</li> <li>GTZ, 2010</li> <li>IFAD, 2010</li> <li>Consolidated Reply, 2011</li> </ul>
<p><b>Visioning:</b></p> <ul style="list-style-type: none"> <li>Development priorities/ challenges are not being adequately addressed</li> </ul>	<ul style="list-style-type: none"> <li>Same as above, and</li> <li>Think BIG-scaling up objectives and key stakeholders need to be identified systematically</li> <li>Build in governance and capacity development activities in the scaling up phase</li> </ul>	<p>Same as above</p>	<ul style="list-style-type: none"> <li>GTZ, 2010</li> <li>World Bank, 2009</li> <li>Consolidated Reply, 2011</li> </ul>
<p><b>Planning:</b></p> <ul style="list-style-type: none"> <li>Programmes do not have the scaling up logic embedded</li> <li>Competing projects and donor priorities for financing</li> </ul>	<ul style="list-style-type: none"> <li>Decide what activities can and should be scaled up in the medium-term</li> <li>Sequence and prioritize activities accordingly</li> <li>Assess the potential impact of scaled up activities on national policies and legislature</li> <li>Leverage existing mechanisms and successful programmes to date</li> <li>Establish a medium-term financing commitment from government and development partners</li> <li>Create incentives in programming to utilize national and local capacities and systems</li> </ul>	<ul style="list-style-type: none"> <li>RC/RR</li> <li>Senior members of UNCT</li> <li>UNDP CD/DCD</li> <li>ARR/national programme officers/ advisors</li> <li>Government partners</li> <li>Development partners</li> </ul>	<ul style="list-style-type: none"> <li>World Bank, 2009</li> <li>Hartmann and Linn, 2008a</li> <li>GTZ, 2010</li> <li>IFAD, 2010</li> <li>Consolidated Reply, 2011</li> </ul>
<p><b>Coordination</b></p> <ul style="list-style-type: none"> <li>Fragmentation: proliferation of stand-alone activities and initiatives working on similar issues or in the same territories/ targeting the same government offices and communities</li> </ul>	<ul style="list-style-type: none"> <li>Identify 'multiplier' activities that provide benefits across sectors (eg. health, education, agriculture, environment) and bring together various actors</li> <li>Explicitly foster incentives to develop an integrated approach for scaling up</li> <li>Coordinate among complementary activities among donor and partners to avoid duplication and wasting of resources</li> </ul>	<p>Same as above</p>	<ul style="list-style-type: none"> <li>World Bank, 2009</li> <li>Hartmann and Linn, 2008a</li> <li>GTZ, 2010</li> <li>IFAD, 2010</li> <li>Consolidated Reply, 2011</li> </ul>

Core Challenges and Issues	Proposed Response and Solutions	Responsible Parties and Partners	Relevant Literature and Resources
<b>Level: UNDP thematic programmes, 3-5 years</b>			
<p><b>Knowledge and M&amp;E</b></p> <ul style="list-style-type: none"> <li>• Pilot successes and scaling up opportunities not properly communicated or updated to the wider public</li> <li>• M&amp;E systems do not capture qualitative and quantitative results, including potential spillover effects</li> </ul>	<ul style="list-style-type: none"> <li>• Utilize media to effectively communicate pilots and advocate for the scaling up issues</li> <li>• Embed a communications strategy into programmes</li> <li>• Build on existing national and local M&amp;E systems to effectively capture the results, especially in qualitative areas, and potential transformative changes (such as change in attitudes, incentive mechanisms, etc)</li> <li>• Build a critical mass of ‘champions’ to reach a ‘tipping point’ consisting of government officials, academia, civil society, religious leaders</li> <li>• Communicate results /updates precisely and in a structured fashion</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP CD/DCD</li> <li>• ARR/national programme officers/ advisors</li> <li>• Project managers</li> <li>• Communications and M&amp;E officers</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">WRI, 2009</a></li> <li>• <a href="#">World Bank, 2009</a></li> <li>• <a href="#">GTZ, 2010</a></li> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>
<p><b>Programme delivery and sustaining results</b></p> <ul style="list-style-type: none"> <li>• Weak structural and functional considerations for the scaling up phase to become a success</li> </ul>	<ul style="list-style-type: none"> <li>• Identify core innovations (technological, service delivery, etc.) for the scaling up phase</li> <li>• Ensure proper sequencing of activities and incremental building up on successes and outputs</li> <li>• Standardize steps for scaling up processes</li> <li>• Assess the financial and human resources, and capacities needed for the scaling up phase</li> <li>• Embed investments in critical enablers for scaling up (eg. energy access, transport/roads and skills/ capacities, institutional arrangements)</li> <li>• Utilize national human resources</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP CD/DCD</li> <li>• ARR/national programme officers/ advisors</li> <li>• Project managers</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">WRI, 2009</a></li> <li>• <a href="#">World Bank, 2009</a></li> <li>• <a href="#">IFAD, 2010</a></li> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>
<p><b>Local-National Linkages</b></p> <ul style="list-style-type: none"> <li>• Local level successes do not inform national policy and/or legislative dialogues</li> </ul>	<p>See under project delivery, and</p> <ul style="list-style-type: none"> <li>• Communicate results in local pilots to key national counterparts and/or political champions</li> </ul>	<p>Same as above</p>	<ul style="list-style-type: none"> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>

Core Challenges and Issues	Proposed Response and Solutions	Responsible Parties and Partners	Relevant Literature and Resources
<b>Level: UNDP projects, 1-5 years</b>			
<b>Design</b>	<ul style="list-style-type: none"> <li>• Identify which activities can and should be scaled up, based on the political economy analysis, and which –should not be scaled up (there is a value and place for ‘boutique’ projects)</li> <li>• Sequencing of activities- identify ‘quick wins’ for political incentives, and build on these systematic, longer-term activities that can bring in structural/policy changes</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP CD/DCD</li> <li>• ARR/national programme officers/ advisors</li> <li>• Project managers</li> <li>• Operations managers</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>
<b>Delivery</b>	<ul style="list-style-type: none"> <li>• Link policy advisory services with project implementation</li> <li>• Ensure of a pathway to allow for incremental building up on successes</li> <li>• Support and advocate for PPP arrangements, civil society and community partnerships for services delivery</li> <li>• Build critical capacities of local service delivery agents for sustaining results</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP CD/DCD</li> <li>• ARR/national programme officers/ advisors</li> <li>• Project managers</li> <li>• Operations managers</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">GTZ, 2010</a></li> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>• Avoid short-term financing/undertaking donor ‘pet’ projects</li> <li>• Secure a medium-term financial commitment from a donor and/or government</li> </ul>	<p>Same as above, and</p> <ul style="list-style-type: none"> <li>• Operations managers</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>
<b>Capacity</b>	<ul style="list-style-type: none"> <li>• Build in investments to develop skills and capacities of national partners, and not just PMU staff</li> </ul>	<p>Same as above</p>	<ul style="list-style-type: none"> <li>• <a href="#">Consolidated Reply, 2011</a></li> </ul>



# Annex 4. Entry Points for Support to Scaling Up in UNDP Programme Cycle



## Annex 5. Possible Support Services to be Provided by UNDP HQ and Regional Service Centres for Scaling Up Processes

	UNDP Regional Service Centre	UNDP HQ (Regional Bureaus, BDP, OSG, Evaluation)
<b>General</b>	<ul style="list-style-type: none"> <li>• Lead policy advisory services for scaling up processes.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide general guidance on scaling up efforts (eg. through updating of the Scaling Up guidance note, capturing internal and external institutional lessons learned from scaling up efforts, etc).</li> <li>• Track scaling up successes and transformational impacts through ROARs, mid-term reports, programme evaluations, etc.</li> <li>• Integrate a checklist to capture scaling up efforts into ROAR templates.</li> <li>• Provide backup support to regional policy advisory services for scaling up.</li> </ul>
<b>Formulation of CPAP /Joint Programmes / Projects</b>	<ul style="list-style-type: none"> <li>• Identify entry points for scaling up processes, including an analysis of key institutional, political and project delivery drivers and enablers.</li> <li>• Support development of scaling up timeline, key deliverables and outputs.</li> <li>• Support the development of a M&amp;E framework of scaling up.</li> <li>• Support the country team in identifying and bringing on board key partners and stakeholders.</li> <li>• Facilitate the development of an 'exit' strategy to handover for national implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify entry points for scaling up processes, including an analysis of key institutional, political and project delivery drivers and enablers.</li> <li>• Support development of scaling up timeline, key deliverables and outputs.</li> <li>• Support the development of a M&amp;E framework of scaling up.</li> <li>• Help identify and bring on board key partners and stakeholders.</li> </ul>
<b>Implementation of CPAP / Programmes/ Projects</b>	<ul style="list-style-type: none"> <li>• Support the capturing of lessons learned on the ground as the programme unfolds, as well as their formulation into policy statements/policy support.</li> <li>• Support the improvement of business processes during implementation stages, including capacity development of national and local partners/ implementers.</li> <li>• Support the strengthening of M&amp;E application.</li> <li>• Support year-end and mid-term project reporting/ evaluation processes.</li> <li>• Facilitate identification of experts and South-South exchange for more effective implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Support the capturing of lessons learned on the ground as well as their formulation into policy statements/policy support.</li> <li>• Support the improvement of business processes during implementation stages.</li> <li>• Support the strengthening of M&amp;E application.</li> <li>• Support year-end and mid-term project reporting/ evaluation processes.</li> </ul>

	UNDP Regional Service Centre	UNDP HQ (Regional Bureaus, BDP, OSG, Evaluation)
<b>End Stages of CPAP / Programmes / Projects</b>	<ul style="list-style-type: none"> <li>• Support the final evaluation.</li> <li>• Capture the main impacts and lessons learned to inform the next stage of programme/strategy development.</li> <li>• When appropriate, facilitate the 'exit' processes to hand over the implementation to national partners.</li> </ul>	<ul style="list-style-type: none"> <li>• Support the final evaluation.</li> <li>• Capture the main impacts and lessons learned to inform the next stage of programme/strategy development.</li> </ul>
<b>Development of CPAP / Joint Programmes</b>	<ul style="list-style-type: none"> <li>• Identify entry points for scaling up processes, including an analysis of key institutional, political and project delivery drivers and enablers.</li> <li>• Support the development of a scaling up timeline, key deliverables and outputs.</li> <li>• Support the development of a M&amp;E framework of scaling up.</li> <li>• Help identify and bring on board key partners and stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>• Support the political economy analysis for scaling up opportunities and comparative value-added of UNDP/ UNCT engagement.</li> <li>• Provide an analysis of successes and international best practices in scaling up and how these can be applied to a given development context.</li> <li>• Support wide consultative processes to bring together 'champions'.</li> <li>• Provide integrated policy advisory services, drawing on expertise of UN agencies (UNCDF, UNICEF, UNFPA, UN Women, etc).</li> <li>• Help conduct a risk analysis for the scaling up.</li> </ul>

## Annex 6. Setting Up a Monitoring and Evaluation System: A Sample Checklist for Scaling Up Programmes

Programme Cycle	Basic Checklist for M&E
<b>Definition</b> (of goals and objectives)	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify target beneficiary populations and localities.</li> <li><input type="checkbox"/> Check if any baseline studies (such as household surveys) have been conducted among the target populations and localities to identify target population need(s).</li> <li><input type="checkbox"/> Conduct a quick preliminary study pertaining to the scaling up area (eg. studies on access, use of services by target groups, MDG data, political economy analyses, cultural context, etc).</li> <li><input type="checkbox"/> Review data and results from pilot projects, if applicable.</li> </ul>
<b>Initiation</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Cross-check against existing data from national/sub-national statistics and monitoring agencies and development partners, and conduct a baseline study if necessary (make a decision on the efficient and effective means of gathering rigorous data and conduct the baseline study jointly with key partners involved).</li> <li><input type="checkbox"/> Set quarterly, semi-annual, annual, mid-term and final objectives and outputs based on RRF principles.</li> <li><input type="checkbox"/> Identify and establish a partnership with a national/local agency that will conduct a monitoring of programme results.</li> <li><input type="checkbox"/> Establish an internal M&amp;E focal point with enough capacities and resources to deliver the functions properly (M&amp;E should not be an afterthought, but a critical part of the planning process).</li> <li><input type="checkbox"/> Establish a mechanism to ensure that the data generated through the baseline study and throughout programme implementation is integrated into local and national monitoring and statistics systems.</li> <li><input type="checkbox"/> Develop a menu of monitoring indicators, including qualitative, quantitative and proxy indicators (see below footnote).</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Regularly report/update collected data to local and national bodies, communities/beneficiaries and partners.</li> <li><input type="checkbox"/> Establish and implement targeted communication strategies to regularly highlight project implementation progress using the national and local media outlets.</li> <li><input type="checkbox"/> Ensure monitoring visits by scaling up 'champions' and key national and local partners.</li> <li><input type="checkbox"/> Adjust the monitoring and evaluation frameworks, if necessary, based on internal and external factors.</li> </ul>
<b>Finalization / Rollover</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Collect and disseminate the final data analysis: ensure that the data collected shows direct and spillover impacts (for example, if the scaling up programme was on employment and business development for youth, analyze how this may have impacted health and education outcomes of families directly benefiting from a scaling up initiative).</li> <li><input type="checkbox"/> Follow up a few years after project finalization/exit to document any intangible impacts and perceived changes by people (eg. change in attitude and behaviour, formation of social and human capitals, etc).</li> </ul>

For a comprehensive analysis of improving Monitoring and Evaluation, including recommendations on tools, methods and sample menus of indicators, please refer to *Monitoring for Scaling Up Local Development*, a publication developed through a capstone project by students at NYU's Robert F. Wagner Graduate School of Public Service in partnership with UNDP, available on the [Local Governance and Local Development Teamworks space \(https://undp.unteamworks.org/file/261116/download/282240\)](https://undp.unteamworks.org/file/261116/download/282240).

## Annex 7. Results Oriented Annual Reporting (ROAR) and Medium-Term/Final Reporting: A Sample Checklist for Scaling Up Programmes

Programme Cycle (5-year cycle)	Sample Results Reported
<p><b>Years 1-2</b> <i>(programme initiation and beginning of implementation)</i></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> List specific, scalable interventions identified that responds to a priority national development challenge/opportunity, based on pilot successes, international best practices and technological innovations.</li> <li><input type="checkbox"/> Describe any high-level policy advisory support system established to report local level results to national bodies and agencies.</li> <li><input type="checkbox"/> List/identify any participatory partnership mechanisms established that links local and national bodies, and includes civil society, private sector, and academia.</li> <li><input type="checkbox"/> Describe effective communication, M&amp;E system established to regularly monitor and report results.</li> <li><input type="checkbox"/> Describe specific political and financial commitment (size of the financial commitment, types of political support garnered).</li> <li><input type="checkbox"/> List of capacity (both technical and functional) and governance assessments conducted, main results from the assessments.</li> <li><input type="checkbox"/> List any potential challenges and risks that may impede the scaling up initiative.</li> </ul>
<p><b>Years 2-4</b> <i>(programme implementation, delivery of key outputs, initial lessons learned)</i></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> List concrete outputs delivered by the programme, both qualitative and quantitative.</li> <li><input type="checkbox"/> Describe how development results (outputs) are being built on/scaled up incrementally with each programme year.</li> <li><input type="checkbox"/> List key capacity investments that strengthened national and local institutions and service delivery agents.</li> <li><input type="checkbox"/> Describe any successes in establishing coordination mechanisms to improve the effectiveness of the programme (including measures that help eliminate duplication and fragmentation of efforts on the ground).</li> <li><input type="checkbox"/> List any improvements to strengthening local-national linkages, including translating results on the ground into clearly communicated policy statements/policy advice.</li> <li><input type="checkbox"/> Describe of any measures that yielded/likely to yield substantial institutional and policy changes or support, such as changes in national legislations, measures that demonstrate financial and political commitments from the government, changes in institutional functions/arrangements, development of a national policy/law.</li> </ul>
<p><b>Year 5</b> <i>(final implementation stage, final lessons learned and stock-taking of results)</i></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Final programme results, including both qualitative and quantitative, tangible and intangible (change in social capital, change in behaviour/attitude in and participation of communities).</li> <li><input type="checkbox"/> Describe any concrete transformative changes at policy/institutional level, including new policies, legislative acts, inclusive policies, mainstreaming of innovative technologies, improved business processes and usage of national/local systems, strengthened coordination, etc.</li> <li><input type="checkbox"/> Describe concrete transformative changes in livelihoods, including land rights for poor and vulnerable groups and women, building of political and social capital, decent job creation, improved natural resources management by communities, empowerment of vulnerable groups, improved access to basic services that are culturally acceptable by minority groups, etc.</li> <li><input type="checkbox"/> Describe main lessons learned, including main challenges and mistakes.</li> <li><input type="checkbox"/> Describe any mechanism of handover to continue the efforts if the programme is to be closed permanently by UNDP/UNCT.</li> <li><input type="checkbox"/> Describe specific measures for rolling over and improving the programme, if to be continued with UNDP/UNCT support.</li> </ul>

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