USER GUIDE

TO THE EDUCATION
SCALABILITY
CHECKLIST

ACKNOWLEDGEMENTS

FEEDBACK

Do you have any useful feedback for us to improve the *Education Scalability Checklist* and this guide? Please email us at ProgrammeDirector@vvob.org

FOREWORD

With only ten years to go to 2030, the goal of inclusive and equitable quality education for all is far from ensured. The Education Commission projected that, if we do not change course, close to a billion school-aged boys and girls in low- and middle-income countries will not have the basic secondary-level skills they need to succeed in life and work. The education needs globally are immense and improving learning at scale is a matter of urgency.

Ultimately, widespread educational effectiveness depends on ensuring every school and every teacher does not "reinvent the wheel" of enabling learning for every student. But scaling up locally effective education innovations to many different contexts and then sustaining the shifts in practice, policy and structures that this improvement requires, is proving to be quite challenging.

Some hurdles seem to be inherent to the education sector. Firstly, how to foster effective learning varies considerably among people. The many individual and contextual factors that impact learning do not make it easy for schools and teachers to successfully adapt effective practices from elsewhere to their own setting. Secondly, sustaining and institutionalizing innovations is also particularly difficult in education. A change in school or district leadership – let alone a shift in Ministry staff or Minister of Education - can be enough to sweep away carefully tested solutions.

That said, there are sufficient examples of rapid large-scale progress in terms of getting children to school and learning. This suggests that some obstacles originate either with the innovation itself – in other words, they stem from the new curriculum, teaching materials, education technology, associated pedagogy, … – or with the intervention rolled out to promote the use of the innovation in schools. Policymakers, practitioners and funders who are interested in improving learning at scale should be able to detect these types of hurdles and, of course, remedy them.

The *Education Scalability Checklist* is designed to support this process and this *User Guide* should assist in applying the checklist as productively as possible.

WHAT YOU WILL FIND IN THIS *USER GUIDE*

Content
· Explanation of the purpose, target audience and recommended use of the *Education Scalability Checklist*
· Tips to make sure participants in the assessment and action planning exercise have a common understanding of fundamental issues in advance of using the *Education Scalability Checklist*.
· Introduction to the four-part structure of the Excel-based tool ("PROGRESS", "INDIVIDUAL", "GROUP", "ACTION PLAN"). · Explanation of the purpose and use of each sheet.
· Instructions on when and how to use the sheet. · Explanation of how to interpret the radar chart.
· Instructions on when and how to use the sheet. · Explanation of the rationale behind the A-B-C scale and model categories and definitions or illustrations of key terms in items.
· Instructions on when and how to use the sheet. · Explanation of the rationale behind the group scoring.
· Instructions on when and how to use the sheet. · Tips for action planning.

1. INTRODUCTION
TO THE *EDUCATION SCALABILITY CHECKLIST* AND *USER GUIDE*

> The ESC is a tool for implementers, policymakers and funders. Who takes the lead in scalability assessment and planning may change over the course of the scaling process.

WHAT IS THE *EDUCATION SCALABILITY CHECKLIST*?

The *Education Scalability Checklist* (ESC) is an Excel-based tool to:

· Assess how easy or hard it will be to scale up a particular education initiative;
· Identify opportunities for and constraints to scaling;
· Plan actions to increase the viability for scaling;
· Follow up on how the scalability of the education initiative evolves over time.

WHAT IS THE PURPOSE OF THE ESC?

The ESC looks at the ease of scaling a particular education initiative, but not at the *desirability* or *appropriateness* of scaling.

It is possible, for instance, that an initiative has various characteristics that make it easy to scale, but doing so would increase educational inequality. The organizations that worked on creating this tool are certainly of the opinion that that would not be desirable. In that sense, the ESC is not meant to be "the" decision-making toolkit for investment.

The ESC is also best used <u>not</u> as a scorecard to determine what can be scaled up and what cannot. Scaling up is a complex and long-term process – 15 years from pilot to scale is a fair estimate – and whether or not a particular initiative will eventually reach scale cannot be predicted on the basis of an ESC score. Rather, the scalability assessment is meant to draw users' attention to characteristics of the initiative and the context that can make scaling easier or more difficult. This way, they can act upon these features to facilitate scaling. In other words, the main purpose of the ESC is as a planning instrument, with the assessment feeding the discussions about the action plan.

WHO IS THE ESC FOR?

The ESC is designed for practitioners ("implementers"), governments ("policymakers") and funders who are interested in seeing a particular education initiative move to a larger scale. The tool can be used internally, for purposes of implementers', policymakers' and funders' own assessment and action planning to take the initiative to scale or

it can be used in joint workshops bringing together implementers, policymakers and/or funders.

To begin, the organization that develops and pilots the initiative – the so-called originating organization – will find it useful to apply the tool internally. This will push them to think through and plan for scale from the outset. When sufficient progress has been made, joint workshops with implementers, policymakers and funders do have the added value of bringing in multiple perspectives that are key to the scaling process. This can make the assessment more balanced and realistic and it creates a shared responsibility for the scaling process.

WHEN SHOULD THE ESC BE USED?

We strongly encourage to start using the ESC from the beginning of an initiative. It is a common flaw of education initiatives that they are designed based on what the originating organization *thinks* the needs of students, teachers, school leaders and parents are, rather than on a thorough understanding of these beneficiaries' actual needs. Early use of the *Education Scalability Checklist* can help prevent such misconceptions by reminding committed leaders to listen to stakeholders and build broad support for innovations.

To keep track of progress in scaling potential, we advise to use the ESC at least once a year and to align the timing of the exercise with the rhythm of the existing planning and budgeting cycle and subsequent follow-up. That way, the actions planned to improve the scalability of the initiative can be easily included in annual operational plans and budgets.

WHO SHOULD PARTICIPATE IN THE ESC ASSESSMENT AND PLANNING EXERCISE?

To make sure there is real commitment to the scalability action plan, it is important that those in a position to make decisions about next steps in scaling participate in the assessment and planning workshop. The discussions will be richer, the assessment more balanced and the action plan more on point when a range of perspectives is taken into account. To be productive, there needs to be a good amount of trust among the actors around the table and a strong shared understanding about the initiative, the priority/ies for its effectiveness (access? quality and relevance? reducing inequalities?) and a shared level of ambition (scaling the whole initiative or specific components?).

When the originating organization holds the workshop internally, leadership, field staff and staff responsible for planning, monitoring and evaluation can all make valuable contributions. If there are multiple implementers, then proper representation is important.

When the time is right for joint workshops with implementers, policymakers and/or funders, then it is also good to discuss who will take the lead in organizing the assessment and planning exercise. In the education sector, originating organizations are often outside of the government and scaling usually means promoting the adoption of improved practices by government agencies. Ideally, then, the Ministry of Education would lead the joint workshops as it shows a high level of ownership, commitment and capacity to manage the scaling process. Reaching this ideal can be an important milestone in the scaling process. To work towards this, originating organizations from outside the government system could consider the intermediate step of doing the scalability assessment and action planning in already existing multi-stakeholder venues, such as education sector working groups.

2. GETTING READY TO USE
THE *EDUCATION SCALABILITY CHECKLIST*

A shared understanding of the priority/ies for effectiveness, the education initiative and the expected adopters and their relationship with the originating organization is key to successful scalability assessment and planning.

ENSURE A CLEAR AND SHARED UNDERSTANDING OF THREE ESSENTIALS

Before using the *Education Scalability Checklist*, the participants in the assessment and action planning workshop need to have a clear and shared understanding of the following three essentials. If not, it will be more difficult to arrive at a meaningful group scalability assessment and action plan. It may be that these essentials are not fully clear from the very beginning and understanding of them may change over time. It is important, though, that they are discussed early on – in fact, in advance of the first assessment and action planning workshop – and that they remain on the agenda.

The priority/ies for effectiveness

What is it that the implementer, government and/or funder want to impact on by scaling the initiative?

What is the problem they seek to address by scaling the initiative: Expanding access to (a certain level of) education? Improving the quality and relevance (of a certain level) of education? Reducing educational inequalities? As these goals do not necessarily go hand in hand, it is important that participants in the exercise are on the same page when it comes to the priority goal.

Discussing and agreeing on the priority/ies for effectiveness in advance helps to separate discussions about the *desirability* of scaling a particular education initiative from those about the ease or difficulty of scaling. The ESC is there to help only with the latter. In other words, the assessment and action planning exercise really only makes sense when the ESC is applied to education initiatives that are already considered desirable, because they effectively contribute to reaching the priority goal or are expected to do so.

The education initiative

What is it exactly? How does it work? What are its key components? Which components are intended to scale? Which resources are needed for its implementation at scale?

Throughout the ESC, "education initiative" refers to a program, model, or policy in its entirety or to specific components of the model or approach designed to address a particular problem in the education system. It could be a new curriculum, teaching materials, education technology, or associated pedagogy, a course for in-service teachers or school leaders, the introduction of a new function such as mentor teacher or a new way of holding schools to account, and so on.

There may be some information gaps about the initiative, especially when implementers, governments or funders start using the ESC early on (as they ideally would). Filling crucial information gaps – e.g., about the cost of implementation – can be included in the action plan. Even if there are gaps, it is important that participants in the assessment and action planning workshop prepare and engage in dialogue on the basis of shared information. Workshop organizers should make sure that everyone has the necessary documentation and understanding well in advance of the workshop.

The expected adopter(s) and their relationship with the originating organization

Who exactly is expected to implement the initiative at a scaled-up basis?

When it comes to delivering public goods such as education sustainably and at scale, government institutions are essential. Even when faced with serious constraints, public education systems remain unrivalled when it comes to the delivery network, operational capacity, funding base and incentive structure needed to deliver education in perpetuity to large populations. Scaling usually means promoting the adoption of improved practices by government agencies – and, ultimately, by teachers and school leaders in government-run, -subsidized or -accredited schools. It typically also means that governments bear the principal responsibility for financing implementation at scale.

At the same time, the ambitious SDG 4 cannot be achieved by governments alone, as also recognized in the Education 2030 Framework for Action. More often than not, scaling education initiatives requires a range of actors pulling together, with governments playing an essential role in provision, as well as in setting and regulating standards and norms. Moreover, government institutions themselves

are by no means monolithic structures. Scaling is likely to have implications for several departments of the Ministry of Education, for instance, and to involve the Ministry at multiple levels (district, province, etc.). By implication, it is characteristic of the education sector that many decision-makers are involved in agreeing to adopt, and that multiple adopting organizations are involved in implementation at scale. This makes it all the more important to clarify in advance who the expected adopters are. If not, several items in the ESC will be difficult to score.

What, if any, will be the role of the originating organization when the initiative is implemented at scale?

It is easier to plan towards scale when expectations about the future relationship between the originating and adopting organizations have been shared. In terms of roles and responsibilities, it makes a difference whether it is expected that the initiative will be entirely taken over and replicated by actors in the existing education system; or whether the originating organization is seeking a partnership with the government whereby it continues to carry out certain activities or provide support that is important to the success of the initiative.

ENSURE THE *EDUCATION SCALABILITY CHECKLIST* IS WELL UNDERSTOOD

It is important that all participants in the assessment and action planning workshop have a good understanding of the ESC. This *User Guide* should help, of course. We also recommend that the organizer of the workshop sets the scene ahead of time – highlighting the importance and purpose of the exercise, clarifying expected outputs, … – and that a resource person is identified whom participants can contact for any clarification questions they may have about the tool.

3. STRUCTURE
OF THE *EDUCATION SCALABILITY CHECKLIST*

The "INDIVIDUAL" sheet should be completed before the scalability assessment and planning workshop. The "GROUP", "PROGRESS" and "ACTION PLAN" sheets structure the workshop.

OVERALL

The *Education Scalability Checklist* is an Excel-based tool that consists of five sheets: "INSTRUCTIONS", "PROGRESS", "INDIVIDUAL", "GROUP" and "ACTION PLAN". The "INSTRUCTIONS" sheet summarizes the main points of this user guide.

The "PROGRESS", "GROUP" and "ACTION PLAN" sheets are used by implementers, governments and funders in an internal or joint assessment and action planning workshop that takes approximately half a day. In preparation of the workshop, each participant should complete the "INDIVIDUAL" sheet.

"INDIVIDUAL" SHEET

Purpose: Participants come to the assessment and action planning workshop well-prepared. They have a sufficiently clear understanding of what they foresee to be the greatest challenges for scaling the education initiative at hand, and with thoughts on possible actions to simplify the scaling up process.

Instructions: The sheet should be completed by each participant on an individual basis, prior to the assessment and action planning workshop. Each participant has to score the initiative on 32 items related to its scalability and note down why they attributed those scores.

"GROUP" SHEET

Purpose: Participants can keep track of their analysis and of the decisions made during the assessment and action planning workshop.

Instructions: The sheet should be completed during the assessment and action planning workshop and the completed sheet should be kept on record. To complete the sheet, the participants need to agree on their group scores on all 32 items and, especially, on the reasons for these group item scores.

"ACTION PLAN" SHEET

Purpose: Participants can keep track of progress on the actions they decided on to increase the scalability of the education initiative at hand and to simplify the scaling up process. Over time, it becomes possible to track whether and which of the actions taken lead to improved scores on the group assessment.

Instructions: The sheet should be completed <u>during</u> the assessment and action planning workshop and the completed sheet should be kept on record. To be useful, actions need to be formulated as SMARTly as possible (specific, measurable, achievable, relevant, time-bound) and participants should decide on who will take the lead in moving the action forward.

"PROGRESS" SHEET

Purpose: Participants can keep track of changes over time in terms of the initiative's viability for scaling and make a rapid assessment of whether the actions taken have the desired effect.

Instructions: Based on the group item scores, the sheet completes itself automatically <u>during</u> the assessment and action planning workshop. The completed sheet should be kept on record. To make sure the "PROGRESS" sheet functions properly, the organizer should make sure that there is an empty "GROUP" sheet available for use during the workshop, which should be linked to the "PROGRESS" sheet with the necessary formulas.

4. GUIDANCE FOR "INDIVIDUAL" SHEET

INSTRUCTIONS FOR ATTRIBUTING, ENTERING AND EXPLAINING INDIVIDUAL ITEM SCORES

To assess the scalability of the education initiative at hand, participants should score the initiative on 32 items that are organized into seven model categories. Each item is to be scored on a three-point A-B-C scale, whereby "A" points to ease of scaling and "C" to difficulty of scaling. Differently put, "A" points to the presence of a factor or situation that simplifies the scaling up of the chosen education initiative, whereas every "C" points to the presence of a complicating factor or reality.

A check in column E of the Excel corresponds to a score of "A"; a check in column L signifies a score of "B"; and a check in column S stands for a score "C". A check can be entered by selecting an "X" from the drop-down menu; otherwise, select "--".

For each item there is a description of "A" and "C". To attribute a score, participants should check the column of the description that best matches the initiative, the context or the adopting organization(s). While education initiatives do have intrinsic features that may make them more or less scalable in general, most factors that affect an initiative's scaling potential can only be assessed relative to a specific socio-economic context and the characteristics of the expected adopter(s).

Scaling up is not an exact science and so the scores inevitably remain subjective – which is an additional reason not to treat the ESC as a scorecard. Attributing scores is, above all, a way to trigger reflection and analysis. To feed this process, it is crucial that participants specify, in concrete terms, why they attribute a particular score to each item. Each participant's input in the "comments / explanations" columns U-AC is important to arrive at well-balanced intersubjective group item scores during the assessment and action planning workshop.

INDIVIDUAL SCORING AND EXPLANATION

Model Categories	Item	A	<<< Scaling up is easier	B	Scaling up is harder >>>	C
A. How convincing is the scaling strategy?	1.		Presence of a clear and compelling strategy for reaching scale		No articulated scaling strategy	
	2.		Homogeneous problem, target group(s) and setting -- geography, language, economy, politics		Multiple, diverse problems, target groups(s) and/or settings	
B. Is the initiative credible?	3.		Robust evidence that the initiative works in diverse settings and for diverse target groups, incl. ones similar to the given		Little or no robust evidence of the initiative working in diverse settings and/or for diverse target groups, incl. ones similar to the given	
	4.		Independent external evaluation of the initiative in the given setting		No independent external evaluation of the initiative in the given setting	
	5.		Impact on learners very visible to decision-makers and users and easily associated with the initiative		Impact on learners relatively invisible to decision-makers and users and/or not easily attributable to the initiative	
C. How strong is the support for the initiative and the change it entails?	6.		Addresses an objectively significant, persistent problem that affects a lot of learners and has significant impact		Addresses a problem that is temporary, affects few learners or has limited impact	
	7.		Addresses an issue that is high on the national policy agenda		Addresses an issue that is low on the national policy agenda	
	8.		Addresses a need that is sharply felt by potential target groups		Addresses a need that is not sharply felt by potential target groups	
	9.		Strong sense of urgency regarding the problem or need		Relative complacency	
	10.		Supported by eminent individuals and institutions		Supported by few or no eminent individuals and institutions	
	11.		Strong leadership coalition committed to the change and this coalition is expected to stay in place		Strong leadership coalition committed to that change or the one is place is volatile	
	12.		Demonstrable support for the initiative among educators and key staff in the education system, particularly the adopting government institutions		Lack of support for or active resistance against the initiative among educators and key staff in the education system, particularly adopting government institutions	
	13.		Faces limited opposition		Faces strong opposition	
D. Does the initiative have relative advantage over the current state of affairs and alternative solutions?	14.		Current state of affairs and alternative solutions considered inadequate		Current state of affairs and alternative solutions considered adequate or better	
	15.		Clearly established superior effectiveness		Little or no objective evidence of superiority	

	No.		Positive		Negative	
E. How easy is the initiative to transfer and adopt by the education system, particularly the adopting government institutions?	16.		Implementable with infrastructure and human resources already present in the education system		Requires significant new or additional infrastructure and / or human resources	
	17.		Small departure from current practices of educators and key staff in the education system		Large departure from current practices of educators and key staff in the education system	
	18.		Fully consistent with government policy, regulations and structure of the education system		Requires substantial change in government policy, regulations and / or structure of the education system	
	19.		Few decision makers involved in agreeing to adoption		Many decision makers at multiple levels of the education system, across departments or Ministries involved in agreeing to adoption	
	20.		Initiative is highly structured		Initiative lacks structure	
	21.		Initiative shows low complexity; few components; easily added onto the education system		Initiative shows high complexity with many components; integrated package	
	22.		Uptake and quality of implementation are easy to monitor		Uptake and quality of implementation require substantial effort in terms of monitoring	
	23.		Able to be tested on a limited scale		Unable to be tested without adoption at large-scale	
F. How good is the fit between the initiative and the education system, particularly the adopting government institutions?	24.		Strong collaborative relationships exist between originating, intermediary and adopting organizations		Inexisting or nascent collaborative relationships between originating, intermediary and adopting organizations	
	25.		Adopting organization has the operational capacity and financial resources to implement at scale		No organization with the systems, delivery agents, and resources to implement at scale	
	26.		Adopting and intermediary organizations with experience scaling similar interventions		Adopting and intermediary organizations lack experience scaling similar interventions	
	27.		Adopting organization has physical presence or strong network and credibility in relevant contexts		Adopting organization lacks footprint and credibility in relevant contexts	
	28.		Initiative is consistent with the leadership team, organizational norms and incentives of the adopting organization		Initiative is not consistent with the leadership team in place, and / or with existing organizational norms and incentives	
G. Is there a sustainable source of funding?	29.		Substantially lower cost than existing or alternative solutions		Higher cost than existing or alternative solutions	
	30.		Budget implications are clear, predictable and justifiable for those who are expected to bear the costs		Budget implications are unclear and / or difficult to predict and justify for those who are expected to bear the costs	
	31.		Taking the initiative to scale requires small amounts of funding that can easily be mobilized internally or externally		Taking the initiative to scale requires large commitment of funds that are difficult to mobilize either internally or externally	
	32.		Cost of implementation at scale can be integrated in government budget and / or in budget of key implementing organizations		Cost of implementation at scale cannot be integrated in government budget and / or in budget of key implementing organizations	

EXPLANATORY NOTES ON MODEL CATEGORIES A-G AND THIRTY-TWO ITEMS

A. How convincing is the scaling strategy?

This two-item category is (admittedly) a slightly mixed bag, with one item referring to the existence of a scaling strategy and the second referring to the context for scaling.

Item #1

Ensuring that a solution to an educational problem can be delivered and sustained at scale requires a realistic assessment of the prospects and parameters for scaling, the changes needed to implement the initiative that addresses the problem at scale, and the challenges that stand in the way. Scaling up is easier when there is a strategy or plan for it, that represents a consensus among actors around: 1. what is being scaled (e.g., the core components of the initiative); 2. the scope of the intended scale-up (e.g., geographies, breadth/depth of services and target groups) and expected benefits; 3. who will have the responsibility for taking the initiative to scale, delivering it at scale (e.g., government institutions, NGOs, private sector or a combination of these); 4. what are the phases and timelines for scaling; 5. who will have responsibility for funding the transition to scale and ongoing service delivery.

In its simplest form, a scaling plan can fit on 1-2 pages. Guidance on the different tasks involved in building a full-blown scaling strategy can be found in MSI's *Scaling Up – From Vision to Large-Scale Change: A Management Framework for Practitioners.*

Item #2

Scaling up is easier when there is a high level of homogeneity in terms of the problem being addressed, target groups, settings, etc. When discussing this item, it is important not to confuse scalability with desirability to scale. This item does not imply that organizations should shy away from diverse settings, target groups, etc. – addressing diversity remains necessary for educational equity. It simply means that scaling is more challenging across diverse settings, target groups, etc.

B. Is the initiative credible?

This category consists of three items that are related to the question of whether or not, or to what extent, there is evidence in support of the education initiative at hand.

Item #3

Education initiatives that are known to work in a range of settings and for a range of target groups are more likely to successfully transfer to (yet) another setting and target group. Scaling is easier when there is robust evidence to this effect.

So the key question to be answered here, is: At this point in time, is robust evidence presentable in support of the initiative? This evidence can be from before – i.e., from implementation in another context – or from current implementation. If it is evidence from before, then stakeholders will typically find evidence from a (sufficiently) similar context more credible than evidence from a totally different context.

What counts as "robust" depends on the standards for evidence upheld stakeholders that need to be convinced of the credibility of the intervention. Originating organizations will typically have to convince governments and (a range of) external funders. When it comes to scaling, implementers, governments, funders with a clear understanding and high standards for evidence are at an advantage.

The term "works" in this item relates back to the discussion that users of the ESC need to have beforehand about the priority/ies for effectiveness. In general terms, "works" means "delivers the desired outcomes in terms of access, quality and relevance and/or reducing inequality".

Item #4

Scaling is easier when there is evidence from independent external evaluation(s) in support of the initiative. Key question: Is there evidence of the initiative working that was not generated by the implementers themselves? Independent third-party evidence is typically seen as more credible.

Item #5

Scaling is easier and education initiatives are more credible when the impact is visible. "Impact on learners" relates back to the discussion that users of the ESC need to have beforehand about the priority/ies for effectiveness. In general terms, it refers to desired outcomes such as improved access, better learning outcomes, reduced educational inequality between diverse groups. Learning outcomes need not be reduced to literacy and numeracy and can be understood as a "breadth of skills".

C. How strong is the support for the initiative and the change it entails?

This category consists of eight items that are related to the need to build a strong coalition for change. Scaling requires active and ongoing support to overcome common tendencies toward inaction and backsliding. This requires getting beyond a passive acceptance of the need for change and mobilising distinct constituencies in favor of the specific changes needed to make the education initiative work.

Item #6

As the most reliable constituencies are those who can hope to benefit directly from implementation, scaling is easier when the initiative addresses an objectively significant, persistent problem that affects a lot of learners and has significant impact.

Item #7

Scaling is easier when the initiative addresses an issue that is high on the national policy agenda. "High on the policy agenda" needs to be about more than policy discourse. It is about demonstrated political will to move implementation forward, build support and overcome resistance where needed.

Item #8

Scaling is easier when the initiative addresses a need that is sharply felt by potential target groups. "Target groups" covers the whole range of those that the initiative is aimed at, from learners, to teachers, school leaders, parents, education districts officials, etc. The use of "potential" target groups refers to the fact that the initiative's full reach need not be realized yet at the moment of assessment (it is not intended to mean "possible other" besides the ones aimed at).

Item #9

Scaling is easier when a strong sense of urgency regarding the problem or need is felt by a broad range of stakeholders (government, teachers, school leaders, parents, learners, etc.).

Item #10

The key question here, is: Does the initiative have support from influential individuals and institutions? Scaling is easier when the initiative is supported by eminent individuals and institutions.

"Eminent" can apply to a range of individuals or institutions, such as high-level government officials (signaling political buy-in and will), influential think tanks, media attractive supporters (e.g., celebrity ambassadors), etc.

Item #11

Scaling is easier with a strong leadership coalition committed to the change, and when this coalition is expected to stay in place. To facilitate scaling in education, coalitions for change typically require strong leadership from the government ("political will") as well as from a range of other stakeholders. On the government side, sustaining political will over a long period of time – across election cycles and regime changes – can be challenging, which points to the importance of building a nonpartisan support base.

Item #12

Scaling is easier when there is demonstrable support for the initiative among educators and key staff in the education system, particularly the adopting government institutions.

"Educators" refers to teachers and school leaders. These groups are called out explicitly, because they play a dominant role in whether an initiative succeeds or fails while too often, they are not included in decision-making about implementation. Too often, teachers and school leaders are "handed" the initiative, on the assumption that they are or should be in support.

"Key staff" refers to all those involved in taking the initiative to scale and implementing it at scale -- i.e., system leaders at the level of districts / zones / provinces / ..., teacher trainers, etc. Lack of support or active resistance from well-organized key staff will create challenges for scaling.

Item #13

Scaling is easier when the initiative faces limited opposition. Just as support is needed from a broad range of stakeholders, opposition may come from many different stakeholders.

Opposition from educators and key education staff is treated in item 12. Here, the focus lies on opposition from, for instance, those who may (perhaps inadvertently) feel disenfranchised by the fact that the initiative is scaling. This may happen when funding is retargeted in favor of the scaling process. Scaling will be more difficult when there is opposition from influential individuals or institutions.

D. Does the initiative have relative advantage over the current state of affairs and alternative solutions?

This category consists of two items related to the comparative advantage of the initiative. When it comes to scaling education initiatives, the greatest resistance is expected to come from systemic inertia and from the status quo (which may be the absence of a solution).

Item #14

Scaling is easier when the current situation and alternative solutions are considered inadequate. "Adequate" or "inadequate" should be understood in terms of addressing the problem and effectively achieving progress in the prioritized area (access / quality and relevance / reducing inequality).

Item #15

Scaling is easier when the initiative has clearly established superior effectiveness. Again, "superior effectiveness" used here means it

addresses the problem and effectively achieves progress in the prioritized area (access / quality and relevance / reducing inequality). Here, discussions about cost-effectiveness can come in.
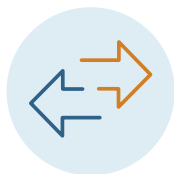
E. How easy is the initiative to transfer and adopt by the education system, particularly for the adopting government institutions?

This category consists of eight items that are related to the ease of transferring ownership over the initiative to the existing education system.

Item #16
Scaling is easier when the initiative is implementable with infrastructure and human resources already present in the education system.

Item #17
Scaling is easier when the initiative entails only a small departure from the current practices of educators and key staff in the education system.

Item #18
Scaling is easier when the initiative is fully consistent with government policy, regulations and structure of the education system. Think of whether or not the initiative is in line with the existing school calendar and school hours; the official curriculum; existing mandates and levels of autonomy of those expected to implement the initiative, their function descriptions and the professional standards they are expected to live up to; etc.

Item #19
Scaling is easier when few decision makers are involved in agreeing to the adoption of the initiative. This item is related to policymaking, rather than implementation. The issue and complexity of having many actors involved in implementation (which is typical of the education sector), is treated in Item 22 treats the issue and complexity of having many actors involved in implementation, which is typical of the education sector.

Item #20
Scaling is easier when the initiative is highly structured – that is, when roles, processes, practices, and deliverables are clearly described and documented; core components are clear (and can be easily distinguished from extras or nice-to-haves); concrete tools for implementation are included (e.g., sample lesson plans, teaching materials, means of assessment, …); etc.

Item #21

Scaling is easier when the initiative shows low complexity, has few components and can be easily added onto the existing education system.

Item #22

Scaling is easier when the uptake of the initiative and the quality of implementation are easy to monitor. Key questions are: How easy or difficult is it for those in the education system that are responsible for supervision to observe (monitor) whether the initiative is being implemented as intended? How much supervision and monitoring is needed for quality to be maintained?

This item does not imply that it is more desirable to scale initiatives that can be followed up relatively easily with a few well-targeted quantitative indicators (e.g., one laptop per child). It simply means that such initiatives are easier to scale.

Item #23

Scaling is easier when the initiative can be tested on a limited scale. The scale for testing will depend on which "users" are involved in implementing the initiative. "Users" refers to the actors or component parts of the education system that are involved in implementation. This could be district officials, school inspectors, school boards, principals, teachers, etc.
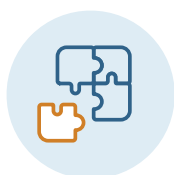
F. How good is the fit between the initiative and the education system, particularly the adopting government institutions?

This model category consists of five items that have to do with the presence of and relationships between the originating, intermediary and adopting organizations and the match between the initiative and the existing education system. If the fit is not great, then there are basically two solutions: adjust the initiative or adjust the existing system. The latter is harder to do. When adjusting the initiative, "core" elements would need to be retained to ensure continued effectiveness (cfr. items 20, 21).

Item #24

Scaling is easier when strong collaborative relationships exist between the originating, intermediary and adopting organizations.

The "originating organization" is the organization that develops and pilots the initiative.

An "intermediary organization" is an organization specifically charged with facilitating the scaling up process. The functions that

an intermediary organization performs or supports include: strategic planning, evaluation and documentation, fundraising, investment packaging and placement, advocacy and marketing, convening and coordinating stakeholders, change management, organizational development, process management, and systems strengthening.

The "adopting organization" is the organization that takes up the initiative after it has been developed and piloted by the originating organization. In education, this is typically the government and, more often than not, there are multiple adopting organizations, who come in the form of a range of government institutions as well as non-state organizations that governments rely on / mandate / accredit to provide certain services within the education system.

Item #25
Scaling is easier when the adopting organization has the operational capacity and financial resources to implement at scale.

Item #26
Scaling is easier when the adopting and intermediary organizations have experience scaling similar interventions.

Item #27
Scaling is easier when the adopting organization has a physical presence or strong network and credibility in the relevant contexts.

Item #28
Scaling is easier when the initiative is consistent with the leadership team, organizational norms and incentives of the adopting organization. Pilot initiatives that rely on incentives, support and supervision structures, accountability mechanisms, levels of autonomy (e.g., of teachers), etc. that do not exist within the education system, will be more difficult to scale.

G. Is there a sustainable source of funding?

This category consists of four items related to the availability of sustainable funding. The focus of this category is on funding beyond the pilot stage. The underlying assumption is that the costs of piloting and testing will typically be borne by the originating organization (and/or its external funders) and external funders will typically still play a significant role in taking initiatives to scale. However, the cost of running the initiative at scale will typically have to be taken up by the adopting organization(s) or through funding that is generated by the initiative itself.

Item #29

Scaling is easier when the initiative has a substantially lower cost than existing or alternative solutions. This item does not imply that cheaper solutions and models are necessarily better. Achieving educational equity typically has a price, for instance. Simply, it refers to the fact that initiatives that place less burden on budgets that are typically already overstretched, are easier to scale.

Item #30

Scaling is easier when the budget implications are clear, predictable and justifiable for those who are expected to bear the costs. The following are likely easier to justify: budget neutrality (! typically very important for governments), comparatively high (social) return on investment (S/ROI) or cost-effectiveness.

It is important to be aware of cost recovery methods that put costs on stakeholders that are not involved in the decision to adopt the initiative (e.g., parents). This can become a serious obstacle to scaling.

Information gaps are likely to exist in this area. Given the importance that budget implications have for scaling, filling those gaps should be considered as an action point during the group workshop.

Item #31

Scaling is easier when taking the initiative to scale requires small amounts of funding that can easily be mobilized internally or externally.

Item #32

Scaling is easier when the cost of implementation at scale can be integrated in the government budget and/or in the budget of key implementing organizations. "Can be integrated" refers to: There is a designated budget line and it is plausible that funding will be allocated -- ideally because the funding required already fits within the existing budget structure and allocations.

In the education sector, implementation at scale will de facto involve government systems. Hence, funding to implement at scale will have to come from national or sub-national government budgets. That said, governments often rely on a range of non-state actors for implementation of various initiatives (including at scale). These are often partially subsidized for their role, but typically, they will also bear costs with funding generated from other sources that would need to be sustainable.

5. GUIDANCE FOR "GROUP" SHEET

Clear, factual explanations of the attributed group scores are more helpful for scalability action planning than the scores in and of themselves.

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INSTRUCTIONS FOR ATTRIBUTING, ENTERING AND EXPLAINING GROUP ITEM SCORES

Since participants have different perspectives on the same education initiative, arriving at a full consensus about all the item scores is unlikely even when a workshop is organized internally by an implementer, government or funder. It is also not necessary. The group item scores are less like a test score and more like a snapshot of how most participants estimate, at a particular point in time, the viability for scaling of the education initiative at hand.

That said, participants will place more trust in group item scores that are based on a greater shared progressive understanding. Scoring in multiple rounds before attributing the final group item score is one way to bring that about. Workshop organizers could, for instance, work in two rounds:

Round 1 – Simple vote based on individual preparations; no explanations given; majority score is attributed. This gives participants a first glance at their level of agreement in each item.

Round 2 – Simple vote after group discussion of explanations; participants have the opportunity to change their original scores; majority score is attributed. Candid dialogue about why scores are attributed is the key to this round. Participants can rely on what they prepared in the "comments/explanations" column of the "INDIVIDUAL" sheet. Workshop organizers should make sure that everyone participates and that the explanations are specific and based on facts. It can help to take note of the explanations given in a public manner. To save time, organizers may want to focus the discussion on those items with a high diversity of individual scores or many "B" scores, because this is where in-depth discussion of the explanations may make the greatest difference.

Workshop organizers can use free online survey systems such as Google Forms to collect individual scores quickly and anonymously. This can be helpful in situations where a show of hands might mean that some participants adjust their vote in order to accommodate others. An added advantage is, that, this way, Round 1 can be organized prior to the assessment and action planning workshop, which frees up time for dialogue during the workshop.

To enter the scores, it suffices to select "A", "B" or "C" from the drop-down menu built into column E. The Excel will then automatically attribute a numerical score or group item value as well, which is necessary to automatically calculate the model category score. The model category scores are non-weighted averages of the group item scores on all items in the given model category: score A = 10, score B = 5, score C = 0. These scores are calculated to make it easier to track progress over time.

For each item, it is crucial to describe the situation "as is" in columns I-T. For the next step (action plan), a shared understanding of the situation with regard to each item is more important than (consensus on) group scores. Hence the relevance of these explanation columns.

6. GUIDANCE FOR "ACTION PLAN" SHEET

GOAL

The goal of this sheet is to set concrete and feasible actions that address the main constraints to and/or grab top opportunities for improving the scalability of the initiative at hand. This implies that participants in the workshop have the mandate to commit to action, and that they represent organizations that have the time and resources to take the agreed upon action within the next six months to a year. It should also be made clear who is responsible for monitoring risks and how risks will be managed if they occur before the next workshop.

> To make sure there is real commitment to the scalability action plan, it is important that those in a position to make decisions about next steps in scaling participate in the workshop.

TYPES OF ACTIONS

Planned actions may be related to design efforts to improve the scalability of the initiative; efforts to fill certain information gaps (e.g., to address stakeholder concerns); efforts to persuade relevant decision-makers of the necessity, feasibility, effectiveness, etc. of the initiative; actions to develop capacity in the education system so as to increase the fit between the initiative and the adopting organization(s); efforts to mobilize additional funding or redirect already available funding; etc.

MSI's *Scaling Up – From Vision to Large-Scale Change: A Management Framework for Practitioners* gives a good overview of the various tasks involved in developing and implementing a scaling up strategy. It provides useful inspiration for action planning.

To increase the chances of uptake, it is best to make the actions time-bound and to identify who will be in the lead of moving forward on each point of action.

KEEP IN MIND

Not every item necessarily requires action. It is important to set priorities. To do so, it can be interesting to have a look at the results on the "PROGRESS" sheet before turning to action planning. That said, it is important to keep in mind that scaling up is not so much a matter of ticking as many boxes as possible or getting a top score on all model categories as it is a matter of finding the right balance between the various items for a given education initiative and in a given context.

7. GUIDANCE FOR "PROGRESS" SHEET

INSTRUCTIONS

As the purpose of this sheet is to record and keep track of progress over time, the workshop organizer should indicate the date of each calculation (i.e., the date of each workshop).

The model category scores are entered automatically based on the data in column G of the "GROUP" sheet. Each model category score is the average of the scores given to all the items in that category, knowing that an item score A = 10, score B = 5 and score C = 0. Model category scores vary between 0 and 10.

Based on the model category scores, a radar chart will be automatically generated to visualize changes in the model category scores over time.

INTERPRETATION OF THE RADAR CHART

The general expectation is, of course, that the scores will increase over time, as implementers, governments and funders take action to address the main constraints to and/or grab top opportunities for improving the scalability of the initiative. That said, scaling processes usually span over many years – 15 years from pilot to national scale is a fair estimate – and they are by no means linear. Support for change, for instance, can fluctuate profoundly and rapidly and it takes a concerted and sustained effort to get and keep an issue and solution on the agenda of all relevant stakeholders.

It is, moreover, important to keep in mind that the model categories and underlying items do not necessarily carry the same weight in the scaling process. Average scores may well improve over time while the score on a particular item remains low ... and exactly that persistent obstacle can throw a spanner in the works.

Nevertheless, we see the following added value in using the radar chart:

· It gives a "quick-and-dirty" impression of progress made, which can be motivating in scaling processes that are known to run over long periods of time;
· It provokes dialogue about the importance of underlying items and, thus, improves participants' understanding of the scaling process;
· It can help set priorities for action.

> As more and more organizations use the ESC and keep track of the progress they make, we hope to gain increasing understanding of scaling processes in the education sector.

We recommend to calculate and discuss the model category scores at least once a year. The organizer of the workshop should make sure this sheet is used to create a better understanding of the scaling process. The dialogue around the radar chart and evolving scores is more important than the scores themselves.

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