

A QUICK SCAN FOR UPSCALING POSSIBILITIES

Systematic assessment for Public-Private-Partnerships

1. Why upscaling?

Upscaling of PPPs involves the multiplication, maintaining or further diffusion of the mechanism, activities or outcomes of partnerships. Appropriate and timely upscaling is very important to increase the flexibility and the effectiveness of public policies. Quick scan techniques can be an important tool for this, provided they are done systematically and take into account socially desirable answers. This requires an answer to a 'why' and a 'what' question:

- Why upscaling?
 - o Is the partnership a success: upscaling as best-practice challenge; for instance to speed up the process (come to quicker deliverables) or diffuse its experience to other partnerships and topics;
 - o Is the partnership a problem but does it address an important policy priority: upscaling as necessity; for instance more financial support is needed or changes in the organization are needed;
- What should be upscaled? The partnership as organization, its values, or its initiatives? The what question follows from the why question and leads to different types of upscaling strategies.

2. Upscaling strategies

Upscaling strategies contain a generic and a specific dimension, which combined lead to four types of upscaling strategies (Matrix).

[a] Generic upgrading:

- Integration can be a means of achieving several goals such as leveraging partnership size, thus strengthening legitimacy and power.
- Diversification venture into areas untouched by the partnership. Diversification may also result from forming subgroups that have special shared interests¹.

[b] Specific upgrading

- Internal upscaling: Roll-out may take place within the existing settings of partners, and then include activities to promote and advertise partnership activities to other players.
- External upscaling: Partnership influence may be strengthened through external expansion, that is, by recruiting new members (also in new geographical regions), and by taking on board new activities².

Upscaling Matrix

		Generic	
		Integration	Diversification
Specific	Internal	1.	2.
	External	3.	4.

3. Requirements for PPP upscaling

[1] Relevance

Partnership has to be relevant for

- Problem/issue to be addressed
- Dutch development policy (link to the policy priorities as in the 'basisbrief ontwikkelingssamenwerking')
- Objectives of all partners involved
- Most affected actors (alignment of issue with choice of partnership)

¹Adapted from Steger et al (2009). Sustainability Partnerships. The Manager's Handbook. Palgrave Macmillan: Basingstoke.

²ibid

[2] Effectiveness/Impact

Partnership has to be effective in terms of

- Its functioning (“partnership theory”)
- Goal achievement
- Result delivery
- Intended and unintended impacts
- Spill-over effects
- Additional investments by partners
- Added value compared to alternatives

[3] Sustainability

Partnership has to show a certain level of sustainability in terms of

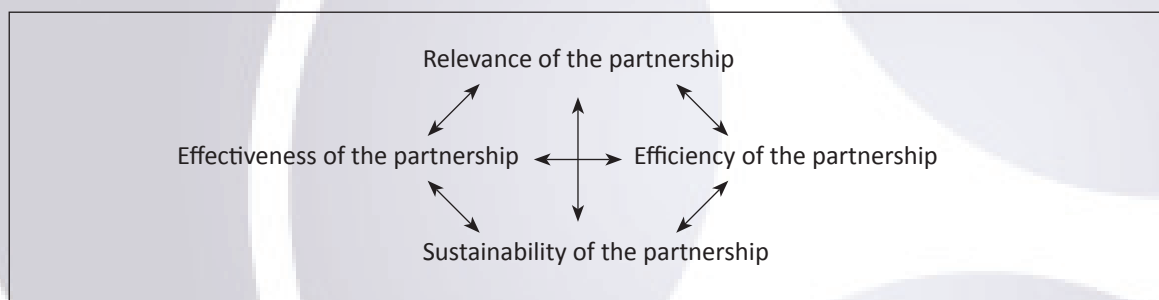
- Embeddedness in organizational structures (institutionalization)
- Related to national politics of partner country
- Adequate skills and capabilities of the organizations involved to manage the partnership
- (Financial) sustainability of results
- Assessment of future sustainability independent of subsidy (business model)

[4] Efficiency/results

Partnership has to be achieve a certain level of efficiency in terms of:

- Balance between costs and benefits
- Balance between input and output
- Does the partnership operate according to plan?

Requirements for upscaling



Questionnaire

Question	Ranking 1 (do not agree) - 7 (fully agree)							Remarks
[1] Relevance of the partnership								
The problem/issue can be best addressed by the current partnership approach								
The partnership objectives deal with the problems that were supposed to be addressed by the intervention								
The partnership is of relevance for Dutch development policy (see basis letter Dutch development cooperation)								
The partnership is of relevance of all primary partners involved in the partnership								

Important stakeholders are missing in the partnership																				
[2] Effectiveness/impact	1: not agree - 7: fully agree																			
The partnership functioning is considered to be good																				
The partnership managed to achieve its goals																				
The partnership delivered the expected results as planned initially																				
The partnership managed to achieve other results as initially planned																				
The partnership has clear direct contributions to the MDGs																				
The partnership has indirect contributions to the MDGs																				
The partnership produced spill-overs																				
The partnership generated additional investments/funding by partners (excl. the Dutch government)																				
There is no alternative to achieve the expected results compared with the present partnership																				
The partnership may be effective but adaptations needs to be made in terms of its structure/design																				
The partnership generated value (e.g. new relations; network; information sharing) which would not have been generated without the partnership																				
[3] Sustainability	1: not agree - 7: fully agree																			
The partnership is formally embedded in the partner organizations structures (institutional.)																				
The partners show a high level of motivation to continue with the partnership																				
The partnership has alternatives for follow-up financing besides Dutch government funding																				
The partners involved have the capacity and skills to successfully manage the partnership																				
The partnership address priority issues of the country government																				
The partnership developed a clear implementable vision																				
The partnership results will be (financially) sustainable																				
The partnership will be viable and independent in the future																				
[4] Efficiency	1: not agree - 7: fully agree																			
The partnership managed to achieve its results with the allocated budget																				

The partnership managed to achieve its results with less of the allocated budget									
The partnership required additional funding for achieving its results									
The benefits and the costs of the partnership are balanced The partnership operates according to plan									
Upscaling	1: not agree - 7: fully agree								
Is the current partnership approach relevant for addressing similar problems in other regions/countries/sectors (type 2 upscaling)									
It should be considered to involve other/more partners to the partnership (type 3 upscaling)									
The partnership has the capacity to broaden its activities/develop new activities (type 4 upscaling)									
The partnership partners require capacity building in order to achieve the partnership results (type 1 and 3 upscaling)									
The partnership should deepen their activities for increase its effectiveness (type 1 upscaling)									
The partnership needs some restricting for managing its potential (type 1 upscaling)									
The partnership has the potential to develop a successful formula/strategy for future activities (type 2 upscaling)									
The partnership needs more financial means to increase its effectiveness (type 1 upscaling)									

Your overall assessment