The Pathway to Supply Chain Sustainability
A Planning Tool for Scaling & Institutionalizing Innovations within Public Sector Supply Chains
SC4CCM Project
The Improving Supply Chains for Community Case Management of Pneumonia and Other Common Diseases of Childhood Project is funded by the Bill & Melinda Gates Foundation under grant agreement no. OPP1002868, beginning November 2, 2009. The grant is implemented by JSI Research & Training Institute, Inc. The project aims to demonstrate that supply chain constraints at the community level can be overcome, and that doing so may yield significant improvements in the effectiveness, scale, and impact of CCM. SC4CCM will identify, demonstrate, and institutionalize supply chain management (SCM) practices that improve the availability and use of selected essential health products for treating children under five in community-based programs.

Recommended Citation

This document is available in Microsoft Word upon request through infosc4ccm@jsi.com.
Introduction

The SC4CCM Project strives to demonstrate that certain supply chain innovations can significantly improve the availability of health products for the treatment of common illness in children under five at the community level. In addition, the project will show that these innovations can be taken to scale, and that they have been designed and implemented in such a way as to facilitate their institutionalization within the organizational structures that exist in the countries where they have proven successful.

As depicted in Figure 1, public health supply chains are part of a broader context, and thus are impacted by political, economic, and human resource factors that can constrain or enable them to deliver supplies to clients. 1

While the project hopes that its successful innovations may be sustained well beyond their initial institutionalization, we acknowledge that there are factors that affect the sustainability of the supply chain as a whole that are beyond the innovations and could challenge the long-term sustainability of the innovation if not attended to. The project embraces the idea that to sustain an individual innovation it should be institutionalized within a sustainable supply chain, but acknowledges that there is no standard and widely-accepted definition for sustainability of public health systems in general, and for sustainable supply chains in particular.

Given that SC4CCM and supply chain professionals in general are more likely to be able to influence factors within the supply chain but cannot control the broader environmental factors that contribute to sustainability, the project has opted to pursue a definition of sustainability that is specific to the supply chain and not to the environment in which it operates, namely that an sustainable supply chain is an integrated supply chain. This narrow definition is deliberately chosen to offer supply chain managers a practical definition of sustainability that can serve as a vision and framework for guiding priorities and the direction of the supply chain. In using the tool, therefore, it is important to consider what can be done to promote the integration of the supply chain and hence the long term sustainability of the innovation as a standard practice.

To better understand the path of taking an innovation from pilot to scale, and then to institutionalize the innovation and work towards sustaining the innovation as a practice of the organization, we first must define what we mean by the terms scalability, institutionalization, and the integrated supply chain as a sustainable supply chain. By doing so, we can then identify factors needed to achieve these stages of the pathway and identify areas for strengthening. This will allow supply chain managers to plan with the Ministries of Health and implementing partners for the scale-up of successful interventions beyond the demonstration areas to the national programs and institutionalization within the organizations implementing and managing the innovations as practice. Planning now for sustainable innovations at scale, supported by institutions with the capacity to manage and continue to improve and adapt the innovations, will help ensure that the human, technical and fiscal investments made in the innovations reap the benefits desired in the long term.

A review of the literature that defines the three terms - scalability, institutionalization and sustainability – reveals that in the development community there is overlap in the definitions for these terms, and in many situations the terms are used interchangeably. While the project mandate specifically includes finding innovations that can be successfully taken to scale, the project is also concerned that the design and implementation of the innovations allows for the possibility of long-term sustainability of successful innovations, and that the relevant organizations understand and accept their role in providing the structure for implementation of the innovations, turning these innovations into standard practice within their organizations. For this purpose, we have developed the **Pathway to Supply Chain Sustainability** tool to be used by the project and its MOH partners to identify the degree of readiness to take an innovation to scale and then to institutionalize the practice. Readiness is assessed on a number of factors which include organizational placement, coordination and capacity, funding and resources, community and staff preparation and capacity, and tools and technology. In addition, the tool can be used to identify actions to be undertaken by program managers, implementing partners, technical staff and staff at all levels in the supply chain to prepare the organization to integrate the innovation into its practices.

Our review of the literature has not yielded a definition for sustainability that is sufficiently relevant to supply chains for our purposes of determining if the supply chain into which an innovation or practice is institutionalized is sustainable. The USAID | DELIVER PROJECT recently convened a Technical Advisory Group to try to achieve consensus on a describing sustainability as it relates to supply chains; the group defined a sustainable supply chain as one that “reliably achieves desired levels of commodity availability” and discussed some basic characteristics, principles, requirements and strategies to help make the definition more useful. This was a productive step in developing realistic parameters by which to look at supply chain sustainability. However, these efforts are not yet sufficient to define all aspects of a sustainable supply chain to allow us to measure progress towards sustainability. We believe the dynamic environment in which supply chains operate, and the inherent complexity of their position within currently unsustainable health systems, make it impossible to define all the factors that need to be place to make a supply chain sustainable. Therefore for our purposes, and to assist program managers to help promote the sustainability of

\[2\] Refer to Sources 1, 5, 6, 7 and 9 at end of document.
their supply chains, we are defining a sustainable supply chain as an integrated supply chain\(^3\); should the supply chain have all the characteristics of an integrated supply chain it will be well on its way to being sustainable. And while the *Pathway to Supply Chain Sustainability* tool does not attempt to measure the degree of supply chain integration, it does include discussion related to the characteristics of an integrated supply chain for comparison to the supply chain under discussion.

Our objectives in defining these terms and creating the *Pathway to Supply Chain Sustainability* tool are:

1. To be able to identify factors within host country organizations which need to be strengthened to promote the scalability and institutionalization of proven supply chain practices for CCM health product availability
2. To assist host country organizations and implementing partners to develop structured, comprehensive plans for scale-up and institutionalization of proven supply chain practices by focusing attention on frequently overlooked requirements and advocating for and catalyzing changes to strengthen the capacity of these organizations
3. To have a tool which can be used to focus and gain consensus on organizational needs to support implementation of proven supply chain practices at scale, and to measure progress towards institutionalizing these practices
4. To raise awareness for a vision of an integrated supply chain and encourage achievement of supply chain integration
5. To align SC4CCM Project and key MOH partner understanding of the definition and relationship between scalability, institutionalization and sustainability.

**Scalability**

WHO has defined scalability as: *Deliberate efforts to increase the impact of health service innovations successfully tested in pilot or experimental projects so as to benefit more people and to foster policy and program development on a lasting basis.*\(^4\)

While taking an innovation to scale does mean expanding the impact beyond the pilot area, it is important to define the magnitude of the intended expansion. For example, while the pilot may test an innovation in a few health centers, the intention of scale up may be to expand the proven innovation to a district, or to all districts in a region, or across an entire national program; the scope of the scale-up should be described in the scale-up plan and agreed to by all stakeholders.

In addition to the deliberate expansion of the innovation beyond the pilot areas, for the SC4CCM Project, scalability begins at the design phase, taking into consideration the innovation and its

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implementation, ensuring that the innovation can be applied to the broader program population without adversely affecting the intent of the innovation or the significance of its impact. Scalability also includes the acceptability of the innovation to the broader health community so that they are willing to adapt their organizations to embrace the innovation as standard practice and begin the process of institutionalization of the practice so that it becomes sustainable. For SC4CCM, scalability of an innovation therefore includes the aspect of advocacy in promoting the adoption of the innovation.

SC4CCM defines scalability as:

*Scalability is the ability to replicate a proven supply chain innovation and extend that innovation broadly and successfully, through thoughtful implementation design and advocacy, to be adapted and adopted to support the national CCM program, while achieving the desired benefits of improved product availability.*

**Institutionalization**

During institutionalization the organization adjusts to integrate the new supply chain practice; institutionalization provides the organizational structure that supports the innovation as a standard business practice. For SC4CCM institutionalization means that:

*Institutionalization occurs when the innovations that have been developed and proven successful are adapted for and integrated into the structure and systems of the organization responsible for providing and supporting community case management services, in most cases the Ministry of Health, and that the innovation becomes a standard business practice of the organization.*

The innovation is institutionalized when:

- An organizational unit or units is identified to manage the work of the practice, and coordination and communication mechanisms are established for the work
- Budget is allocated for the work of the standard business practice
Sufficient human resources are allocated to support implementation of the practice
• The standard business practice is integrated into the job descriptions of staff responsible for implementing the practice
• The standard business practice is documented in standard operating procedures or other work support documents and is incorporated in the curriculum for staff training
• Assessment of the performance of the supply chain includes measurement of the new standard business practice.

Institutionalization is necessary, but not sufficient for sustainability of the innovation as a standard business practice; a standard business practice must have secure financial, political and technical support, and the organization must be able to adapt and continuously improve the practice as needed in response to changes in the operational environment, to be sustained.

**An Integrated Supply Chain**

The challenge for the sustainability of an innovation as a supply chain practice within the supply chain organization is that the innovation represents only one of many aspects in the supply chain system. For example, while an innovation may improve the way logistics data are reported to decision makers, if commodities are not procured consistently, or inventory management procedures not instituted and followed, better reporting alone will not support the supply chain in the long term. It is not possible to sustain a new supply chain practice/innovation in a supply chain that as a whole is not sustainable.

Consequently, defining a sustainable supply chain as an integrated supply chain will enable our MOH partners to work within a framework that accommodates these functional interdependencies and provides direction for supply chain improvements over the long-term. Supply chain integration is a concept found in the commercial sector and adapted over the years by JSI to apply to public sector supply chains in developing countries. A supply chain is more likely to be sustainable when it has achieved a level of maturity in its relationships and processes and can be characterized as an integrated supply chain.

In an integrated supply chain “people, functions, levels, and entities of the supply chain are linked and managed under an interconnected supply chain organization. Supply chain managers are empowered and understand how to collect and use information to map the system and streamline processes, use resources more effectively, monitor and improve performance, and align various supply chain processes to achieve common goals.” (John Snow, Inc. (2012) Getting Products to People)
Specific attributes distinguish an integrated supply chain:\(^5\):

- **Clarity of roles and responsibilities**: Roles, responsibilities, and processes (such as reporting or resupply procedures) are established and publicized throughout the supply chain.
- **Agility**: Logistics functions are performed quickly, accurately, and effectively so products, information, and decisions can move swiftly through the supply chain to respond promptly to customer needs.
- **Streamlined processes**: Bureaucratic hurdles and processes that impede the flow of information and commodities are eliminated.
- **Visibility of information**: Data are visible throughout the supply chain, usually through computerization, so stakeholders at different levels can see where products are and what the demand is, and use this information to better meet customers’ needs.
- **Trust and collaboration**: A collaborative environment exists that can help break down existing functional and organizational barriers to improve supply chain performance.
- **Alignment of objectives**: Organizations and levels have a compatible vision, goals, and objectives to ensure consistency in direction within the supply chain.

One of the greatest challenges to sustaining a supply chain practice is that a single innovation that is institutionalized as a practice is only one aspect of the greater supply chain system. If the supply chain itself cannot be sustained, then a single innovation or practice will not be sustained. The newly institutionalized supply chain practice does not necessarily have all of these attributes of the integrated supply chain, but should contribute to one or more of them to strengthen the sustainability of the supply chain and the organization that manages it. For example, the introduction of the cStock Resupply and Reporting System in Malawi has strengthened overall management of the last mile of the CCM supply chain by **making data visible and accessible** and increasing **agility in the resupply process**, while garnering political support and advocacy to find ways to better align product distribution objectives.

**Relationship between Scalability, Institutionalization and the Integrated Supply Chain**

The activities of taking an innovation to scale and institutionalizing that innovation as a standard business practice should not be seen as wholly separate activities. While taking the innovation to scale will occur after the innovation is proven successful and chosen by Ministry of Health and implementing partners for scale up, when the innovation is taken to scale some of the process of institutionalization may begin. For example, an SOP adapted when scaling the innovation is usually the same as that needed to support the innovation as a standard practice. During the process of scaling the innovation it is important to consider and act on those factors that will be important to institutionalizing the innovation. Without attention to the requirements for institutionalization, the

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innovation may be scaled, but would soon begin to falter without the organizational support provided by the institution charged with its implementation.

Therefore the relationship between scalability and institutionalization is not necessarily linear or sequential; factors that contribute to either stage may be achieved concurrently, or in any order. Factors that contribute to institutionalization may be achieved or worked on while the process of scale-up is undertaken, and factors that may contribute to making a standard business practice sustainable may be achieved or developed during scale-up or institutionalization.

The main difference between scalability and institutionalization is the change of responsibility for and ownership of the innovation at scale from the Ministry of Health and implementing partners, to the organizational unit who plans and manages the resulting business practice, usually the supply chain organization of the Ministry of Health.

To be sustainable, the innovation which becomes the institutionalized standard business practice, should be one aspect of the integrated supply chain. However, if the supply chain into which the practice/innovation fits is not integrated, then the practice may not be sustained over time. That is why it is important to have concurrent efforts: while one stream of activity within the supply chain is focused on introducing an innovation and working to institutionalize it, at a broader level supply chain managers are working on strengthening other characteristics within the overall supply chain to transform it into an integrated supply chain.
Pathway to Supply Chain Sustainability Tool

Purpose:

This tool is designed to provide Community Case Management programs and supply chain units a set of criteria by which they can assess the degree to which the organizations are ready to take a supply chain innovation to scale and subsequently to institutionalize the establishment of the innovation as a standard business practice within the organization. By assessing readiness through examination of the criteria, program and supply chain managers can also develop comprehensive plans that identify areas that need strengthening or further development to enable the innovation to be scaled and institutionalized.

In addition, the tool describes the characteristics of an integrated supply chain, all factors that are necessary for the sustainability of the supply chain, and therefore the supply chain practice itself. While the tool does not assess the degree of supply chain integration or sustainability, it does present the characteristics of the integrated supply chain for discussion and possible actions that may support sustainability.

Organization of the Tool:

The tool is organized in four sections –

I. Background information, where the innovation and the scope of scaling the innovation are defined
II. Supply Chain Innovation at Scale, where readiness to scale the innovation is assessed
III. New Supply Chain Practice as Standard Business Practice, where readiness to institutionalize the innovation as standard practice is assessed
IV. Supply Chain Integration, where the current supply chain is discussed in relation to characteristics of an integrated supply chain as a model for a sustainable supply chain.

Within the sections dedicated to assessing readiness, Sections II and III, factors that contribute to achieving that stage (scale and institutionalization) are listed, each with descriptions that characterize the level of successful achievement of the factor. In Section II, Supply Chain Innovation at Scale, Level 1 describes the least effort to achievement of the factor, Level 5 the successful achievement of the factor. In Section III, Institutionalization of New Supply Chain Practice as Standard Business Practice, Level 1 describes the least effort to achievement of the factor, Level 3 the successful achievement of the factor. Each level builds on the previous level, if a factor is determined to be at Level 3, then the program should have already and continue to have achieved the qualities described under Levels 1 and 2. Each factor should be rated based on the consensus of the group using the tool and a total score assigned. Factors with a low numerical score are areas that need strengthening in order to achieve the stage.
How to Use this Tool:

The sections of the tool and factors listed in the tool should be discussed and completed with a selected group(s) consisting of:

- Ministry of Health staff from all levels of the CCM program and the supporting supply chain
- Implementing partners
- Funders
- Other stakeholders

In completing Section I of the tool, Background Information, the workshop participants should specify the innovation being assessed using the tool and define the desired scope of the scale up of the innovation. Should it be implemented nationwide? Should it be phased in across the country? If phasing is desired, then the phases should be described. In all cases, the geographical coverage should be specified, as well as the time line for scaling the innovation. Any other criteria should be defined so that it will be possible to plan for and determine the success of the scale-up of the innovation.

For Section II and III, the group should agree on the stage of readiness for the supply chain innovation scale-up and institutionalization of the new business practice for each factor as described, and document that status. A score can be recorded for each factor based in the agreed level, e.g. if the factor is determined to be at Level 1, the score is 1, if Level 4, the score is 4. Scores for each factor can be tallied to indicate the degree to which the program is ready to or has achieved scale-up or institutionalization of the supply chain practice.

After scoring the tool for Sections II and III, the group should use the planning worksheet to list actions that need to be taken to strengthen the organization’s ability to take the innovation to scale and to institutionalize the innovation as a standard business practice. This planning worksheet can be used to inform the organization’s workplan.

In discussing Section IV, Supply Chain Integration, the group should also identify current status of the supply chain under discussion in relation to the characteristics presented, and challenges, opportunities and action areas for promoting the integration of the supply chain, and therefore its sustainability.

The workshop should be facilitated to ensure that all sections of the tool are completed, including the Planning Worksheets, and that any key points or the discussion are captured and documented for further use.

If more than one totally independent supply chain practice/innovation is being assessed, it may be necessary to complete a separate Pathway to Supply Chain Sustainability tool for each practice.

While the tool is intended to be used in assessing the stage of scalability of an innovation and institutionalization the supply chain innovation as standard business practice at the national CCM program and supply chain level, it is possible to adapt the tool for use at the district level.
The SC4CCM Project proposes to pilot the use of the tool prior to the mid-line assessments in each country where it is working, and then again at mid-line and end-line, working with local stakeholders to improve the tool and build their capacity to use the tool again in the future.

**Using the Results of the Tool:**

The project hopes to use the results obtained in using the tool in a number of ways. Results will be used to inform the development of strategies and work plans to improve on supply chain readiness and implementation for scaling-up and institutionalizing the proven innovations as supply chain practices within their programs, and promoting the sustainability of the practice. In addition, the results will provide evidence needed to advocate for resources, collaboration, or changes to processes to support scaling, institutionalizing and sustaining the practices. And as the tool will be used several times in each project country, results can be used to assess progress in scale up and institutionalization of the practice.
Pathway to Supply Chain Sustainability Tool

I. Background Information

Country: ___________________________________________________

Date of Workshop: ___________________________________________

Innovation Being Assessed:

__________________________________________________________________________________

__________________________________________________________________________________

Describe the goal and scope of the scale up of the innovation. Include geographical coverage and timeline desired:

List Workshops Participants:
# Supply Chain Innovation at Scale

## Factor/Level  
<table>
<thead>
<tr>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Organizational Coordination for Scale-Up</strong></td>
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<tr>
<td>Responsibility for scale-up not assigned to specific organizational unit or staff</td>
<td>MOH program and supply chain management staff identified for management of scale up</td>
<td>MOH and implementing partner staff managing scale-up of supply chain innovation, coordinating, communicating and adapting as needed</td>
<td>MOH and implementing partner staff routinely and effectively coordinating, communicating and problem solving to support the management of the innovation</td>
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<tr>
<td>Implementing partners not yet identified for supporting scale-up</td>
<td>Implementing partners and staff identified for plan implementation</td>
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<tr>
<td>MOH program and supply chain management staff identified for management of scale up</td>
<td>Roles and responsibilities of MOH, partner staff and 3rd party vendors for scale-up agreed to and documented</td>
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<tr>
<td>MOH and implementing partner staff managing scale-up of supply chain innovation, coordinating, communicating and adapting as needed</td>
<td>Mechanisms for coordination and communication established</td>
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<tr>
<td>MOH and implementing partner staff routine and effectively coordinating, communicating and problem solving to support the management of the innovation</td>
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<tr>
<td>Scale-up plan developed with MOH and implementing partner input</td>
<td>Scale-up plan integrated into MOH and partner work plans</td>
<td>Progress and benefits of scale-up routinely monitored and measured against indicators</td>
<td>Innovation being implemented at desired scale according to plan with implementing partner support</td>
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<tr>
<td>Scale-up plan developed with MOH and implementing partner input</td>
<td>Scale-up plan integrated into MOH and partner management systems for scale-up</td>
<td>Progress and benefits of scale-up routinely monitored and measured against indicators</td>
<td>Innovation being implemented at desired scale according to plan with implementing partner support</td>
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<tr>
<td><strong>2. Organizational Capacity for Scale-Up</strong></td>
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<tr>
<td>Evidence exists that innovation works</td>
<td>Scale-up plan integrated into MOH and partner management systems for scale-up</td>
<td>Scale-up plan continuously reviewed and adapted as needed</td>
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<tr>
<td>No documented plan for scale-up</td>
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<td>MOH management (financial, work planning, information, performance mgmt) systems not yet established for scale-up</td>
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<tr>
<td>Partner mgmt. systems not yet established for innovation</td>
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</tbody>
</table>

**Note:**

1. Innovation adapted for scale-up
   - MOH & partner management systems adapted for scale-up

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[MOH]: Ministry of Health

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**JSI Research & Training Institute, Inc.**
## II. Supply Chain Innovation at Scale

<table>
<thead>
<tr>
<th>Factor/Level</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3. Funding &amp; Resources for Scale-Up</strong></td>
<td>🗄️</td>
<td>🗄️</td>
<td>🗄️</td>
<td>🗄️</td>
<td>🗄️</td>
<td>🗄️</td>
</tr>
<tr>
<td>🗄️</td>
<td>Budget for scale-up not developed</td>
<td>🗄️</td>
<td>Budget for scale-up developed</td>
<td>🗄️</td>
<td>Funding secured according to budget requirements</td>
<td>🗄️</td>
</tr>
<tr>
<td>🗄️</td>
<td>Potential funding sources identified</td>
<td>🗄️</td>
<td>Funds allocated as needed</td>
<td>🗄️</td>
<td>Additional sources of funding identified as needed</td>
<td>🗄️</td>
</tr>
<tr>
<td><strong>4. Local Stakeholders prepared for Scale-Up</strong></td>
<td>🗄️</td>
<td>🗄️</td>
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<td>🗄️</td>
<td>🗄️</td>
<td>🗄️</td>
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<tr>
<td>🗄️</td>
<td>Local stakeholders unaware of plan for innovation implementation in their districts</td>
<td>🗄️</td>
<td>Appropriate and adequate local MOH and/or implementing partner staff not available to train to implement innovation</td>
<td>🗄️</td>
<td>Trainers trained in TOT for innovation</td>
<td>🗄️</td>
</tr>
<tr>
<td>🗄️</td>
<td>Appropriate and adequate local MOH and/or implementing partner staff not available to train to implement innovation</td>
<td>🗄️</td>
<td>Trainers for innovation identified</td>
<td>🗄️</td>
<td>Appropriate and adequate local stakeholders/or implementing partner staff trained in innovation implementation</td>
<td>🗄️</td>
</tr>
<tr>
<td>🗄️</td>
<td>Trainers to train staff in innovation not available</td>
<td>🗄️</td>
<td>Appropriate and adequate local MOH and/or implementing partner staff identified for training</td>
<td>🗄️</td>
<td>Evidence of local stakeholders/applying outcomes of the supply chain innovation</td>
<td></td>
</tr>
<tr>
<td>🗄️</td>
<td>Local stakeholders implementing partner staff oriented to plan for innovation scale-up in their districts</td>
<td>🗄️</td>
<td>Appropriate and adequate local stakeholders/or implementing partner staff trained in innovation implementation</td>
<td>🗄️</td>
<td>Evidence of local stakeholders/applying outcomes of the supply chain innovation</td>
<td></td>
</tr>
<tr>
<td>🗄️</td>
<td>Local stakeholders implementing partner staff oriented to plan for innovation scale-up in their districts</td>
<td>🗄️</td>
<td>Trainers for innovation identified</td>
<td>🗄️</td>
<td>Appropriate and adequate local stakeholders/or implementing partner staff trained in innovation implementation</td>
<td>🗄️</td>
</tr>
<tr>
<td>🗄️</td>
<td>Trainers trained in TOT for innovation</td>
<td>🗄️</td>
<td>Appropriate and adequate local stakeholders/or implementing partner staff trained in innovation implementation</td>
<td>🗄️</td>
<td>Evidence of local stakeholders/applying outcomes of the supply chain innovation</td>
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</tr>
<tr>
<td>🗄️</td>
<td>Local stakeholders/applying outcomes of the supply chain innovation</td>
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*JSI Research and Training Institute, Inc.*
### Supply Chain Innovation at Scale

<table>
<thead>
<tr>
<th>Factor/Level</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Tools &amp; Technology for Scale-Up</td>
<td>Tools/technology needed for new districts are available, but not ready for scale up</td>
<td>Tools/technology (SOPs, job aids, software) revised/adapted as needed for scale-up</td>
<td>Plan developed and resources secured for production of tools</td>
<td>Tools/technology (SOPs, job aids, software) produced and disseminated</td>
<td>Tools/technology used by staff implementing supply chain innovation</td>
<td>Tools/technology (SOPs, job aids, software) revised, adapted and updated, as needed.</td>
</tr>
</tbody>
</table>

Score for Supply Chain Innovation at Scale: ______

Possible Total Score: 25

Assumptions

(1) Scale-Up plan defines the scope of scale-up and the anticipated benefits of scale-up.
Scalability Planning Worksheet

Date: _______________________________________

Completed by:__________________________________________________________________________________________________________________

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<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>1. List factors which received a score of less than 5.</td>
<td>2. What actions should be taken to strengthen this factor and increase its score?</td>
<td>3. Who is responsible for the action?</td>
<td>4. By when should the action start?</td>
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</table>
### III. Institutionalization of New Supply Chain Practice as Standard Business Practice

<table>
<thead>
<tr>
<th>Factor/Level</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Organizational Placement &amp; Coordination</strong></td>
<td>□ No MOH unit(s) identified as responsible for integration and management of innovation as standard business practice</td>
<td>□ Organizational units and responsible persons identified to manage new supply chain practice as standard business practice</td>
<td>□ Program and supply chain units communicating and coordinating routinely</td>
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<td></td>
<td>□ No plan for transitioning from scale-up roles and responsibilities to organizational roles and responsibilities for long-term management of innovation as supply chain practice</td>
<td>□ Roles and responsibilities of organizational units and responsible persons agreed to and documented in SOPs and job descriptions</td>
<td>□ Program and supply chain units working together effectively, routinely problem solving together and fulfilling roles and responsibilities as defined by the SOP for the supply chain practice</td>
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<td></td>
<td>□ Innovation not included in work plans of organizations managing units as standard business practice</td>
<td>□ Work plans of organizational units include provision for requirements of new supply chain practice</td>
<td>□ The new supply chain practice is well integrated into the operations of the organization, routinely planned for along with other established supply chain practices</td>
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<tr>
<td></td>
<td>□ Innovation not included in information system of managing units as standard business practice</td>
<td>□ New supply chain practice documented in standard operating procedures along with established supply chain practices</td>
<td>□ Performance of new supply chain practice routinely assessed as part of system monitoring and assessment</td>
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<tr>
<td></td>
<td>□ Innovation not specifically aligned with goals of larger organization</td>
<td>□ Data generated from or needed for new supply chain practice included in LMIS</td>
<td>□ The goal of the new supply chain practice is aligned with the larger organization</td>
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<td></td>
<td>□ Quality of new supply chain practice included in performance management system</td>
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<td></td>
<td></td>
<td>□ Supply chain practice adapted to support larger organizational goals</td>
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<tr>
<td><strong>2. Organizational Capacity</strong></td>
<td></td>
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<tr>
<td><strong>3. Funding Stability</strong></td>
<td>□ Innovation not included in budget of the organization</td>
<td>□ Funding for new supply chain practice included in budget along with established supply chain practices</td>
<td>□ Organization allocates funds and provides budgetary management support for supply chain practice</td>
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### III. Institutionalization of New Supply Chain Practice as Standard Business Practice

<table>
<thead>
<tr>
<th>Factor/Level</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Staff Capacity</td>
<td>□ Innovation not yet integrated or accepted as standard business practice of staff of organization at local and national level</td>
<td>□ There are adequate organizational unit(s) staff at national and local levels to implement the supply chain practice</td>
<td>□ Staff possess the necessary skills to implement the supply chain practice</td>
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<td></td>
<td></td>
<td>□ New supply chain practice included in appropriate staff job descriptions</td>
<td>□ Staff is committed and motivated to the successful management of the supply chain practice</td>
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<td></td>
<td>□ New supply chain practice included in staff training curriculum</td>
<td>□ Staff routinely carry out new supply chain practice on schedule and per the SOPs</td>
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<td></td>
<td>□ Mechanism for training new staff in supply chain practice in place</td>
<td>□ New staff routinely trained in supply chain practice</td>
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<td>5. Tools &amp; Technological Infrastructure</td>
<td>□ Tools and technology for innovation available</td>
<td>□ Tools and technology planned for, developed/produced and disseminated to where needed</td>
<td>□ Tools and technological infrastructure supports the on-going needs of the supply chain practice as a standard business practice</td>
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<td></td>
<td>□ Responsibility for procurement and/or maintenance of tools and technology not planned for by organization</td>
<td>□ Maintenance and updates to tools and technology planned</td>
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</tbody>
</table>

Score for Institutionalization of New Supply Chain Practice as Standard Business Practice: ______

Possible Total Score: 15

\(^{(2)}\) An innovation is the tested intervention that has been proven successful and taken to scale. This terminology is used in Level 1 of the Institutionalization stage. As the innovation becomes institutionalized, the innovation is called the supply chain practice in Levels 2 & 3 as it becomes a standard business practice.
Institutionalization Planning Worksheet

Date: ________________________________

Completed by: ___________________________________________________________________________________________________________________

<table>
<thead>
<tr>
<th>1. List factors which received a score of less than 3.</th>
<th>2. What actions should be taken to strengthen this factor and increase its score?</th>
<th>3. Who is responsible for the action?</th>
<th>4. By when should the action start?</th>
<th>5. By when should the action be completed?</th>
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IV. Supply Chain Integration

An integrated supply chain has the following characteristics:

- clarity of roles and responsibilities
- agility
- streamlined processes
- visibility of information
- trust and collaboration
- alignment of objectives

Each subsection below provides details that describe characteristics of an integrated supply chain, which contribute to supply chain sustainability.

Instructions: For the supply chain and the supply chain organization being assessed, discuss if the following statements are true. Identify challenges and opportunities to achieving each characteristic of supply chain integration, and actions that can be taken to promote integration and the sustainability of the supply chain.

A. Clarity of Roles and Responsibilities
   1. Supply chain leadership exists, empowered to manage change as needed.
   2. There is adequate staff to achieve the goals of the supply chain organization.
   3. Supply chain roles and responsibilities of staff are clearly defined, documented and visible to all parties in the supply chain.
   4. The supply chain organization has defined the roles and responsibilities for all stakeholders in meeting its goals.
   5. Supply chain staff has the skills needed to perform their roles and responsibilities.
   6. Supply chain training is available to staff as needed to perform their roles and responsibilities.
   7. There is a process to assess staff performance and take action to improve staff performance.
   8. Staff has incentives to implement the supply chain roles and responsibilities.

B. Agility
   1. Supply chain processes are performed quickly, accurately, and effectively so products, information and decisions can move swiftly though the supply chain to respond promptly to customer needs.
   2. Supply chain managers efficiently manage staff and resources.
   3. The supply chain organization responds rapidly to changes in the environment, the marketplace, and customer needs.
   4. The supply chain organization self-assesses, learns from mistakes, and adapts through a continuous improvement process.
C. **Streamlined Processes**
   1. Work processes (reporting, inventory management procedures, etc.) are documented and publicized throughout the supply chain.
   2. There is adequate funding to support the supply chain activities from a variety of sources.
   3. Organizational systems (human resources, financial, IT, communications, etc.) are in place to support supply chain needs.
   4. The supply chain organization has a defined process for quality improvement.
   5. The supply chain organization implements innovative new technologies as appropriate.
   6. The supply chain organization has a review process for monitoring whether revisions are implemented and lead to improvements; staff comfort with changes is addressed.

D. **Visibility Of Information**
   1. Supply chain data are visible throughout the supply chain to all stakeholders in a timely manner.
   2. Supply chain managers use this information to better meet customer needs.

E. **Trust And Collaboration**
   1. Managers, implementers, funders and community collaborate to achieve supply chain organization’s goals and vision.
   2. A collaborative environment exists that can help break down functional and organizational barriers to improve supply chain performance.
   3. Supply chain managers are empowered to form teams to address issues to improve supply chain performance.
   4. Supply chain partners trust each other.
   5. Strategic planning is done in collaboration with partners and other units of the MOH.
   6. The supply chain organization has political and advocacy support with the MOH, and from partners and stakeholders outside the MOH.
   7. The supply chain organization has established mechanisms for routine communication within the MOH and with partners and stakeholders outside the MOH.

F. **Alignment Of Objectives**
   1. Supply chain managers have developed clear goals and a vision for the supply chain.
   2. Supply chain managers effectively articulate the vision of the supply chain to external partners.
   3. The supply chain organization’s vision, mission and goals are aligned with the MOH and other supply chain partners.
   4. The supply chain is well integrated into the operations of the MOH.
Sources