

STAGE 3 – How to achieve the upscaling vision and evaluate progress

You are nearly done! This is the last stage of the upscaling approach, which builds on the outcomes of the previous steps.

Step 3.1 – Develop a scaling strategy

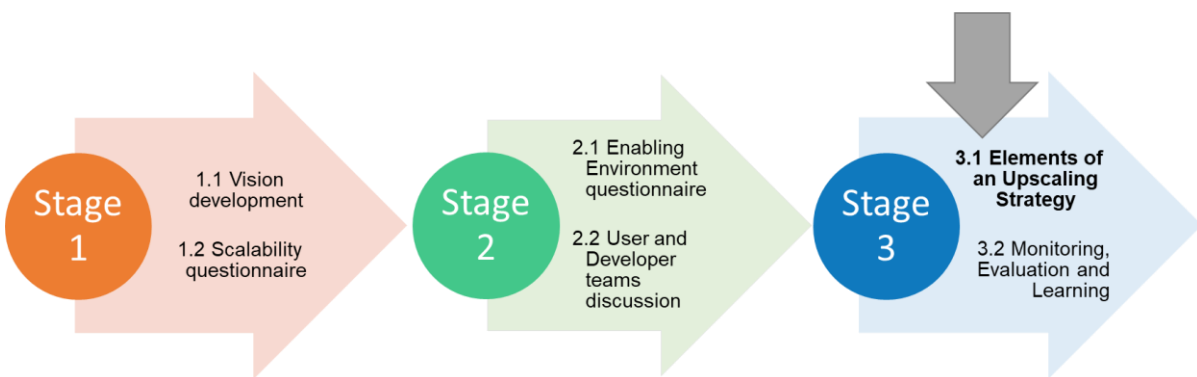
The output from the previous stages is combined to formulate actions to achieve the upscaling vision, related to the suggested **elements of a scaling strategy**.

Step 3.2 – Define a monitoring, evaluation and learning approach

Monitoring, evaluation and learning (MEL) actions are related to metrics and issues which have been identified. This will allow practical evidence about the upscaling progress, issues and/or achievements, and any impacts (positive or negative) on the users, to be compiled and learned from.

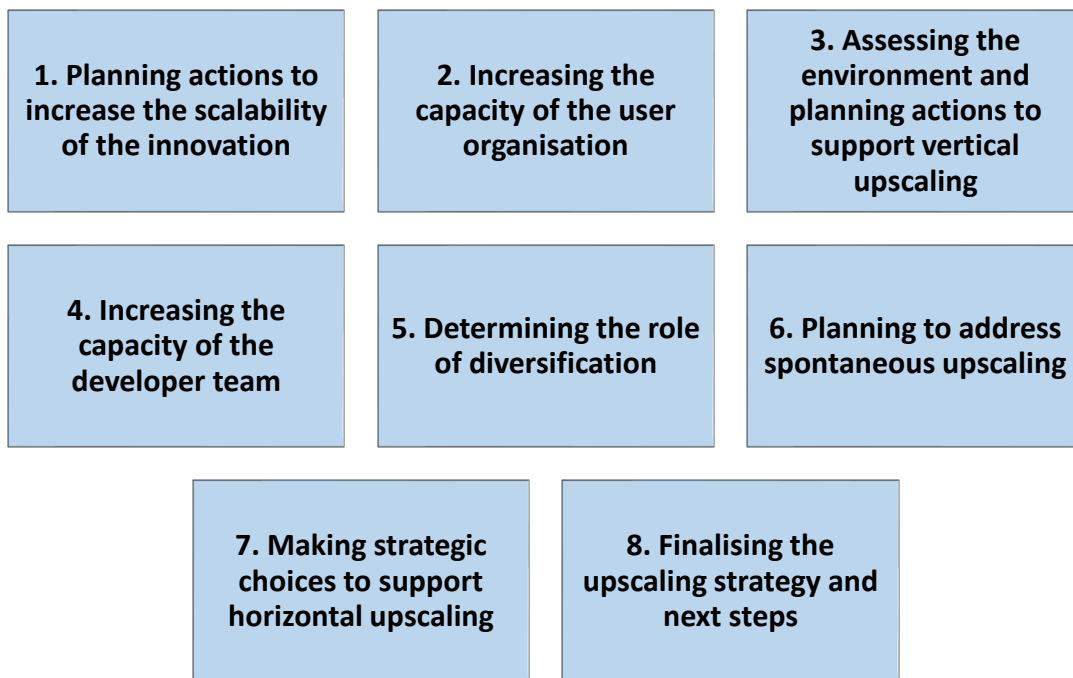
These outcomes should then be taken forward into a finalised strategy, or added to an existing one, and implemented.

Step 3.1 – Develop a scaling strategy



The **development of the upscaling strategy** builds on all the previous steps of this upscaling approach. The input from previous steps should be collated in an accompanying document.

The following are eight elements of developing a scaling strategy to which actions can be related:



Consider each of the eight topics above (which are discussed in more detail below), drawing on the outcomes from the previous stages of the approach (as outlined in the **worksheet, 3.a**), and the considerations above. There are several strategic choices to be considered during the development of an upscaling strategy; some examples are shown in **Figure 1 below** (from Reference [19]). For instance, choices around dissemination approach could fall under ‘2. *Increasing the capacity of the user organisation*’ and ‘4. *Increasing the capacity of the developer team*’; organisational choices around scaling methods could be pertinent under ‘3. *Assessing the environment and planning actions to support vertical upscaling*’ and ‘7. *Making strategic choices to support horizontal upscaling*’; and choices around cost/resource mobilisation may be relevant under any of these topics. Furthermore, this need not be a linear process, for example: ‘7. *Making strategic choices to support horizontal upscaling*’ may raise requirements for the developer team (topic 4).

Additional material that may help stimulate discussion can be found in the World Health Organisation “9 steps for developing a scaling-up strategy” (Reference [6] ¹).

- Reviewing the previous outcomes in the worksheet and formulating them into actions and a framework for Monitoring, Evaluation and Learning (MEL) should take **1 to 2 hours**, depending on the level of discussion.
- If there is limited time available, consider reviewing the 8 elements set out above and fill in the corresponding table directly in **the worksheet (3.a)**, or add to your existing strategy or business plan.

¹ <https://www.who.int/publications/i/item/9789241500319>

- MEL considerations should have been raised throughout the previous steps. Here they will be collated and refined, and if you have an existing MEL framework check if this covers all these points, adjusting it if required.

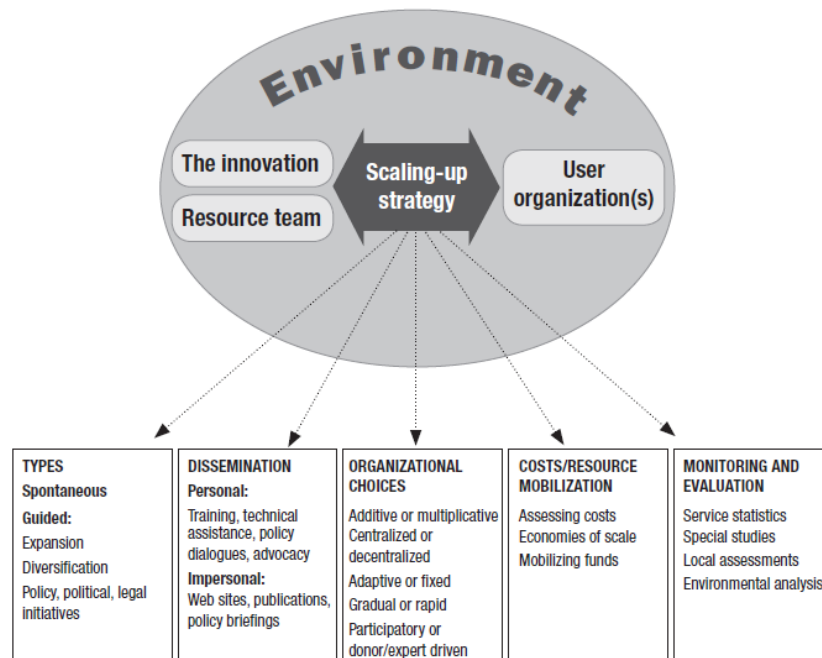


Figure 1: The WHO and ExpandNet upscaling framework, and examples of strategic choices to be included in a scaling strategy. From reference [19].

1. Planning actions to increase the scalability of the innovation

- Review the **Scalability assessment** questionnaire (Step 1.2) and identify areas/aspects that need attention, expansion, or improvement (see *the worksheet, 1.e*).
- Consider any points related to the innovation having **CORRECT** attributes:
 - Credible**
 - Observable impacts**
 - Relevant**
 - Relative advantage**
 - Easy to install and understand**
 - Compatible with user systems, values**
 - Testable**
- Consider whether it is still appropriate to proceed with upscaling – or whether a pilot or case study on a limited scale should be tested or improved first.

4. Consider how **functional scaling goals** from the vision, or needs, improvements or enhancements to the innovation, can be realised.
5. Summarise the findings or outcomes as specific actions to implement.

*Record any concrete actions under this strategy element in the corresponding table row in the **worksheet (3.a)**.*

2. Increasing the capacity of the user organisation

1. Review the responses to **the evaluation of attributes of the user organisation** gathered during Step 2.2 of this upscaling approach, and other points related to the user innovation which emerged in Steps 1.2 and 2.1.
2. Identify aspects that need attention, correction, or improvement.
3. **Review Figure 2 below** (from reference [6]), which lists example questions related to the user organisation combined with suggested actions that can be undertaken.
4. Summarise the findings or outcomes as specific actions to implement.

*Record any concrete actions under this strategy element in the corresponding table row in the **worksheet (3.a)**.*

Attribute	Key questions	If necessary, find ways to:
Perceived need	<ol style="list-style-type: none"> 1. Is there a perceived need for the innovation? Does the innovation respond to a policy priority? 2. Are there individuals within the organization who are advocates/ champions of the innovation? 	<p>Strengthen perceived need/motivation through advocacy using both formal and informal channels.</p> <p>Identify and work with advocates/ champions for the innovation.</p>
Implementation capacity	<ol style="list-style-type: none"> 1. Does the user organization have capacity in: <ul style="list-style-type: none"> ▪ technical skills ▪ training ▪ logistics/supplies ▪ supervision ▪ leadership/coordination ▪ monitoring/evaluation ▪ physical facilities and equipment ▪ values supportive of the innovation ▪ human resources ▪ the policy and legal framework necessary to introduce the innovation? 2. Did the pilot project test ways to strengthen the capacity of the user organization? 3. Can the user organization absorb this innovation without negative impact on other programmes and services? 	<p>Begin expansion in areas where capacity is stronger.</p> <p>Identify opportunities for mobilizing/ sharing resources within the user organization.</p> <p>Advocate for needed policy/legal change.</p> <p>Identify other ways of building necessary capacities during expansion.</p> <p>Test capacity strengthening before wide-scale expansion.</p> <p>How can these negative impacts be reduced or eliminated?</p>
Timing and circumstances	<ol style="list-style-type: none"> 1. Are there impending changes within the user organization that will affect scaling up? 2. Do these changes provide opportunities or constraints? 	<p>Adjust the scaling-up strategy to maximize opportunities and minimize constraints arising from these impending changes.</p>

Figure 2: Suggested questions and actions related to user organisations, from reference [6].

3. Assessing the environment, and planning actions to support vertical upscaling (institutionalisation)

1. Review the **upscaling vision from Step 1.1** and whether any of the aims relate to vertical scaling and the enabling environment (beyond the direct user and developer teams).
2. Review the **characteristics of the enabling environment** outcomes that were gathered in Step 2.1.
3. Identify which aspects/characteristics could become barriers to the upscaling process.

4. **Review Figure 3 below** (from reference [6]), which lists example questions related to vertical upscaling combined with suggested actions that can be undertaken.
5. Institutionalisation can also be pursued **within the climate services community**, particularly within a national or international framework for climate services. Consider if this is relevant to your service (e.g., references [20] and [21]).
6. Summarise the findings or outcomes as specific actions to implement.

Record any concrete actions under this strategy element in the corresponding table row in the worksheet (3.a).

Key questions	If necessary, find ways to:
1. Where in each dimension of the environment is there support or opposition for the innovation? Which stakeholders need to be engaged?	Mobilize support and reduce opposition through advocacy with influential individuals, groups or institutions.
2. What informal and political connections can be helpful?	Look for both formal and informal channels.
3. How can champions be recruited? How can opponents be neutralized or co-opted?	Build a network of supporters.
4. Are opportunities or constraints likely to change as scaling up proceeds? Where is there stability and what aspects are most likely to change?	Build flexibility into the scaling-up strategy to accommodate change.
5. Are there related initiatives that could serve to expand the innovation?	Collaborate when and where appropriate.
6. How will the different components of the environment be monitored to keep track of changing circumstances?	Ensure that environmental assessment is an ongoing process and is linked to decision-making.

Figure 3: Suggested questions and actions related to the enabling environment, from Reference [6].

4. Increasing the capacity of the developer team

Note that the composition and resource of the developer team may be determined by the other elements of the scaling strategy, so **refer back here if necessary**.

1. Review the responses to the **evaluation of attributes of the developer team** gathered during Stage 2 of this upscaling approach.

2. Consider also the question: Does the developer team have **the ability to advocate** in favour of the innovation with policymakers, government officials, user groups and programme managers?
3. Identify whether the developer team has the **required skills and resource** to complete the actions in the other elements of the scaling strategy.
4. Summarise the findings or outcomes as specific actions to implement.

Record any concrete actions under this strategy element in the corresponding table row in the worksheet (3.a).

5. Determining the role of diversification (Optional)

Consider if there is any scope for diversifying into other similar services, or expanding the potential use cases, beyond what was set out in the scaling vision. **While flagged as optional, considering this may unlock important insights or ideas.**

This could include the addition of new data and metrics relevant to a new sector, or the translation of an existing service to make it more usable by those less familiar with climate data.

Record any concrete actions under this strategy element in the corresponding table row in the worksheet (3.a).

6. Planning actions to address spontaneous upscaling (Optional)

Spontaneous scaling up refers to changes to the use, distribution, or function of the innovation without deliberate guidance or planning. **While flagged as optional, considering this may unlock important insights or ideas.**

Spontaneous scaling up is most likely to occur when the innovation addresses an emergent issue or when a key event draws attention to a need.

Consider what could lead to spontaneous scaling, and whether there is flexibility and resource to respond to this in the upscaling strategy and developer team.

Record any concrete actions under this strategy element in the corresponding table row in the worksheet (3.a).

7. Making strategic choices to support horizontal upscaling

1. **Review the upscaling vision**, consider what actions are required to meet the horizontal scaling targets. Do any of the considerations raised throughout the approach impede or support this?
2. Consider whether there are **sub-groups of users or market segments** which can be identified and require separate strategies or actions.
 - a. Consider the balance and trade-offs of **generalising vs adapting** the service.
3. Upscaling the climate service **co-production process** – to what extent is this important/possible for this application? Consider the questions posed in **Table 1 below**.
4. Consider whether there is **resource in place** to support these actions, are they self-financing, or is additional funding required?
 - a. This may require development of a detailed business case/plan/model and financial analysis beyond the scope of this toolkit.
5. Summarise the findings as specific actions to implement.

Record any concrete actions under this strategy element in the corresponding table row in the worksheet (3.a).

Table 1: The climate service co-production process: what can be upscaled and how?

Stage of climate service co-production process	Can be standardised/automated or not?	Ideas on how to do that?
Identification of user needs		
Co-production of product		
Translation of information		
Distribution		
Application and feedback		
Updates of the product		

8. Finalising the upscaling strategy and the next steps

Review the summary of the recommended actions identified under each of the strategy development elements 1–7 and consider again whether they are appropriate within the overall context within which upscaling will take place.

- **Consider additional actions that may be required to implement them.**
- **Consider updating the visions, especially based on the diversification or spontaneous upscaling discussions.**

Once the broad outlines of the scaling-up strategy have been formulated, **more detailed operational planning** is needed. Operational plans should elaborate the **detailed activities to be undertaken and indicate who has responsibility for what part within what period.**

A finalised **strategy** for upscaling will contain information on:

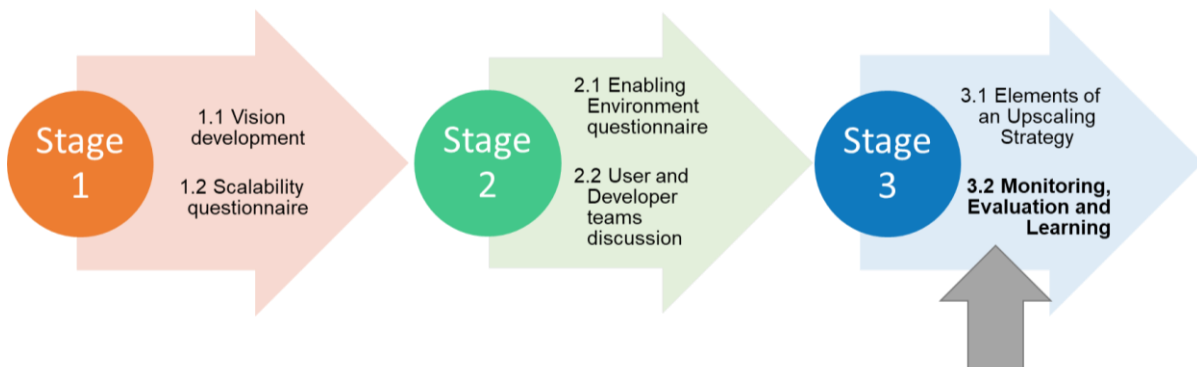
- what exactly will be taken to scale
- what type of scaling up will be appropriate
- how it will be organised; how quickly it will be pursued
- how various environmental challenges and opportunities will be engaged
- how the innovation will be disseminated
- and how the process will be financed and resourced.

*Record any concrete actions under this strategy element in the corresponding table row in the **worksheet (3.a)**.*

Outcomes of Step 3.1

You have now used the information gathered at all of the preceding steps to start formulating **content and actions relating to the strategy that you will use to reach your upscaling vision** defined in Stage 1.

Step 3.2 – Develop a Monitoring, Evaluation and Learning approach



The goal of a Monitoring, Evaluation and Learning (MEL) approach is to define methods to evaluate and gather information about the upscaling process and the climate service itself, to specify evaluation metrics, timings for the process assessment, and what this will inform. This will be most important during the upscaling, but also afterwards.

This step draws together monitoring points identified throughout the approach. These should assess changes in the following while implementing the upscaling

- Step 1.1 – changes to the scope and aims – the upscaling vision,
- Step 1.2 – changes to the innovation, strategy etc.,
- Step 2.1 – changes in the enabling environment,
- Step 2.2 – changes in the teams involved.

MEL is an established area in research and practice. Under ‘stretch work’ we list some potential approaches and resources to explore.

As a minimum, we suggest reviewing the worksheet and a discussion and pragmatic recording of

- **which metrics or themes should be monitored,**
- **how they will be measured,**
- **how they will be evaluated,**
- **and most importantly, what they will inform.**

*Record concrete MEL actions in the corresponding table row in the **worksheet (3.b)**.*

Stretch work:

Consider using tried and tested approaches to MEL from the literature. Examples include

- Logical Frameworks (logframes),
- Outcome mapping,

- Outcome harvesting,
- Theory of change.

For more details see references [22], [23], [24], and [25].

In climate services, these considerations are growing in prominence, especially in monitoring adaptation actions, as well as co-creation and co-design processes. Reviewing this, or similar, literature, may yield further insights in developing and implementing a MEL approach. For examples, please see references [26] to [29].

Outcomes of Step 3.2

Throughout the toolkit, you have been gathering information about **how to monitor, evaluate and learn from different aspects of your upscaling process**. You will now have **pulled all this together** into a set of metrics/themes to monitor, along with information about how you will monitor and evaluate these, and what you will learn from doing so.

You have finished working through the toolkit!

You should now have defined an upscaling vision, important factors that may impede or support it, and concrete actions to reach it. You should also have an idea of how progress will be monitored and evaluated, and how learning will feedback into the service and scaling process.

This is only the beginning. The challenge now is to implement² these, and upscale your climate service in practice, which may mean tweaks and changes are made continually to the outcomes of this toolkit.

² Implementation is outside the scope of this toolkit; however, reference [30] provides some reflection on implementation, as part of the principles of scaling.

References and resources used throughout the approach

Introduction

[1] Findlater, K., Webber, S., Kandlikar, M. et al. 'Climate services promise better decisions but mainly focus on better data'. *Nat. Clim. Chang.* 11, 731–737 (2021). <https://doi.org/10.1038/s41558-021-01125-3>

[2] Vincent, K., Daly, M., Scannell, C., Leathes, B., 'What can climate services learn from theory and practice of co-production?', *Climate Services*, Volume 12, 2018, ISSN 2405-8807, <https://doi.org/10.1016/j.cliser.2018.11.001>

Step 1.1

[3] Jacobs, F., Ubels, J., Woltering, L. and Boa, M., 2021. The scaling scan: A practical tool to determine the strengths and weaknesses of your scaling ambition.

The Scaling Scan (2018) resource, [3], from PPPLab and CIMMYT is used extensively throughout this section of the draft upscaling approach and may be used directly in place of this document, or to help facilitate its use.

- On pages 4 to 6 (1.a) an initial scaling ambition is constructed
- On pages 6 to 9 (1.b & 1.c) a system check (wider transformational changes related to the innovation) and responsibility check are covered, before a revised scaling ambition is formulated.

Link (accessed 08/08/2022): <https://ppplab.org/2018/11/3223/>

Related publication: L. Woltering, K. Fehlenberg, B. Gerard, J. Ubels, L. Cooley, Scaling – from “reaching many” to sustainable systems change at scale: A critical shift in mindset, *Agricultural Systems*, Volume 176, 2019, 102652, ISSN 0308-521X, <https://doi.org/10.1016/j.agsy.2019.102652>

This material has been updated with a new version and resources available here (link accessed 12/01/2023): <https://scalingscan.org/>

One of the vision development questions is adapted from:

[4] Gillespie, S., Menon, P., Kennedy, A. L., 2015. *Upscale impact on nutrition: what will it take? Advances in Nutrition*, 6(4), 440-451. Link (accessed 08/08/2022): <https://doi.org/10.3945/an.115.008276>

Some inspiration for this Step was taken from:

[5] Dror, I., Wu, N., 2020. *Scaling better together: The International Livestock Research Institute's framework for scaling*. Link (accessed 08/08/2022): <https://hdl.handle.net/10568/107911>

Step 1.2

Many of the questions were inspired by, or adapted from references [3, 7, 9, 10, 11, and 12].

[6] World Health Organisation. (2010). Nine steps for developing a scaling-up strategy. World Health Organisation. Link: <https://www.who.int/publications/i/item/9789241500319>

[7] Holcombe, S., 2012. Lessons from practice: Assessing scalability. The World Bank.

[8] Sartas, M., Schut, M., Proietti, C., Thiele, G., Leeuwis, C., 2020. Scaling Readiness: Science and practice of an approach to enhance impact of research for development. *Agricultural Systems*, 183, 102874.

[9] World Health Organisation, 2011. Beginning with the end in mind: planning pilot projects and other programmatic research for successful scaling up.

[10] Holcombe, S., 2012. Lessons from practice: Assessing scalability. The World Bank.

[11] Kohl, R., Foy, C., 2018. Guide to the Agricultural Scalability Assessment Tool for Assessing and Improving the Scaling Potential of Agricultural Technologies. USAID.

[12] Bierbaum, R., Smith, J. B., Lee, A., Blair, M., Carter, L., Chapin III, F. S., Fleming, P., Ruffo, S., Stults, M., McNeeley, S., Wasley, E., Verduzco, L., 2013. A comprehensive review of climate adaptation in the United States: more than before, but less than needed. *Mitigation and adaptation strategies for global change*, 18(3), 361-406.

The original source for the scalability assessments in many of the references above is Cooley and Kohl, 2006:

[13] Cooley, L and R. Kohl. 2006. "Scaling Up—From Vision to Large-scale Change: A Management Framework for Practitioners" Washington, D.C.: Management Systems International.

Step 2.1

The enabling environment questions below were compiled from the following sources: References [3, 6, 8, 11, 14, 15, 16, and 17].

[14] Linn, J. F., Hartmann, A., Kharas, H., Kohl, R., Massler, B., 2010. Scaling up the fight against rural poverty. Working Paper 43. Brookings. Available at www.brookings.edu/wp-content/uploads/2016/06/10_ifad_linn_kharas.pdf.

[15] Gündel, S., Hancock, J. and Anderson, S. (2001) *Scaling-up Strategies for Research in Natural Resources Management: A Comparative Review*. Chatham, UK: Natural Resources Institute.

[16] Jonasova, M., & Cooke, S. (2012). Thinking Systematically about Scaling Up. Available at <https://elibrary.worldbank.org/doi/abs/10.1596/26876>.

[17] Moriniere L.C., M. Turnbull, I. Bremaud, H. Vaughan-Lee, V. Xaxa, S. A. Farheen, 2018. Toolkit: Scalability assessment and planning (SAP) (including workshop guidance), published by Save the Children Switzerland, Save the Children Asia Regional Office.

[18] McNie, E. C., 2012. Delivering climate services: Organisational strategies and approaches for producing useful climate-science information. *Weather, Climate, and Society*, 5(1), 14-26.

Step 2.2

Many of the developer team questions are adapted from reference [6].

The user organisation questions draw on the previous sections, so were adapted from the corresponding sources, including references [3] and [6].

Steps 3.1 and 3.2

The scaling strategy development elements were adapted from the WHO ‘*Nine steps for developing a scaling-up strategy*’, reference [6]. This includes two tables (reproduced in Figure 2 and Figure 3).

The upscaling framework (Figure 1) is from reference [19], though a similar version appears in reference [6]. Elements of the discussion around Figure 1 were adapted from reference [19].

[19] Simmons, R., Fajans, P., Ghiron, L. [Eds.] (2007) *Scaling up health service delivery: from pilot innovations to policies and programmes*.

[20] Wilson, L., Golding, N., Hewitt, C., Lowe, J., Harrison, M., Dunbar, T. (2022). Recommendations for the UK National Framework for Climate Services. UK Climate Resilience Programme. <https://www.ukclimateresilience.org/wp-content/uploads/2022/11/Recommendations-UK-NFCS-AUG22.pdf>

[21] Hewitt, C., Mason, S. & Walland, D. The Global Framework for Climate Services. *Nature Clim Change* 2, 831–832 (2012). <https://doi.org/10.1038/nclimate1745>

[22] Myrick, D. (2013). A Logical Framework for Monitoring and Evaluation: A Pragmatic Approach to M&E. *Mediterranean Journal of Social Sciences*, 4(14), 423. Retrieved from <https://www.richtmann.org/journal/index.php/mjss/article/view/1623>

[23] Earl, Sarah, Fred Carden and Terry Smutylo (2001). *Outcome Mapping; Building Learning and Reflection into Development Programs*, International Development Research Centre (IDRC). Retrieved from <https://www.idrc.ca/en/book/outcome-mapping-building-learning-and-reflection-development-programs>.

[24] Ricardo Wilson-Grau and Heather Britt, *Outcome Harvesting* (Cairo: Ford Foundation, 2012), https://www.outcomemapping.ca/download/wilsongrau_en_Outome%20Harvesting%20Brief_revised%20Nov%202013.pdf

[25] Rogers, P., (2014), *Theory of Change*, UNICEF. Retrieved from: https://www.betterevaluation.org/sites/default/files/Theory_of_Change_ENG.pdf

[26] Bours, D., McGinn, C., & Pringle, P. (2013). *Monitoring & evaluation for climate change adaptation: a synthesis of tools, frameworks and approaches* (Publisher's version).

[27] Hansen, J., J. Furlow, L. Goddard et al. 2019. “Scaling Climate Services to Enable Effective Adaptation Action.” Rotterdam and Washington, DC. Available online at www.gca.org



[28] Salamanca A., and Biskupska, N. (2021). Monitoring, evaluation and learning to build better climate services: A framework for inclusion, accountability and iterative improvement in tandem. SEI Discussion Brief. Stockholm Environment Institute. <https://www.sei.org/publications/monitoring-evaluation-climate-services-in-tandem/>

[29] Emma Visman, Katharine Vincent, Anna Steynor, Irene Karani, Emmah Mwangi, Defining metrics for monitoring and evaluating the impact of co-production in climate services, Climate Services, Volume 26, 2022, 100297, ISSN 2405-8807, <https://doi.org/10.1016/j.cliser.2022.100297>.

[30] Kohl, R., and Linn, J.F. (2021). Scaling up: scaling principles. Paper prepared for the Scaling Community of Practice. <https://www.scalingcommunityofpractice.com/wp-content/uploads/bp-attachments/8991/Scaling-Principles-Paper-final-13-Dec-21.pdf>