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The Assessing Scaling Potential tool was developed by the World Resources Institute. This document provides a step-by-step guidance on how to use the tool. This document can be used with the Power Point presentation on this tool.

Assessing Scaling Potential Tool

1. Background to Assessing Scaling Potential Tool


For too long, adaptation has been characterized by individual efforts and by small, time-bound pilot projects. Although these projects often have a strong grassroots focus, their capacity to benefit larger populations and to contribute to policy reform is limited (Reid and Huq 2014). Funding agencies, policy makers, practitioners, and the public are seeking large-scale, transformational solutions to adapt to climate change. One way to achieve a paradigm shift is by scaling adaptation projects. Scaling is defined as “increasing [the] scope or reach of an activity, program, project, or initiative so that it serves more people or delivers more or better benefits” (WRI 2008).

Although there is a strong demand to see projects deliver greater benefits leading to a paradigm shift, few tools exist to enable decision makers to prioritize adaptation projects that have the potential to scale from the early stages of the project. Tools and guidance exists on how to scale development projects on health and education, for instance, but little exists on scaling adaptation projects. This is partly because adaptation is a relatively new field. In order for decision-makers to identify and prioritize projects with scaling potential, WRI developed the Assessing Potential to Scale (APS) tool. The tool is based on the WRI publication *Scaling Success: Lessons from Adaptation Projects in Rainfed Areas of India* (<http://www.wri.org/publication/scalingsuccess>). The tool takes the framework on assessing scaling potential from the publication and converts the assessment process into 5 steps to assess whether a project can be scaled. The objective of the tool is to help users prioritize options or projects that have the potential to scale and create transformational change and paradigm shifts. Prioritization takes place through a scoring and ranking system that involves a wide range of stakeholders. The tool can be used at any stage of project implementation to determine if it has scaling potential.

5.2.2 Methodology

This section introduces the steps involved in the APS tool . The tool is made up of five steps: (1) Conditions of scaling checklist, (2) Good adaptation practice indicators checklist, (3) Evidence of adaptation benefits, (4) Designing Scaling pathways, and (5) Prioritize project by scaling.

Figure 1: Overview of Assessing Potential to Scale Tool

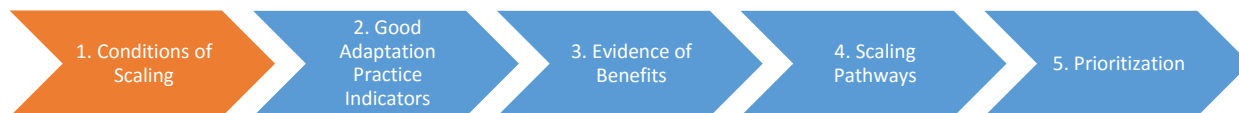
Steps					
Activity	Identify conditions that could influence scaling process	Assess if good adaptation practice indicators are incorporated into the project	Determine if monitoring and evaluation system is in place	Vision a pathway to scale	Prioritize projects based on potential to scale through scoring
Estimated Time	15 minutes	15 minutes	10 minutes	15 minutes	15 minutes

The tool can be used by NIEs involved in project planning. It can be used in a group setting or individually. NIEs can be from a wide variety of sectors and do not need a high level of technical skills to use the tool. The information required to use the tool are the adaptation options that will be assessed for their scaling potential. At least 2 options or project proposals should be used to compare what to prioritize. The options or project proposals can be similar or different because the principles of scaling that are incorporated in the tool are applicable to all types of projects. All users should have a good understanding of the context in which the option will be implemented and potentially scaled, and the climate change impacts and adaptation needs of project beneficiaries. Users should be familiar with monitoring and evaluation systems and be able to think creatively about scaling pathways. The tool is flexible enough to use at any stage of the project implementation process to test for its scaling potential but it is suggested that this tool be used before an option is chosen to be implemented so that it can be modified to better incorporate scaling components.

5.2.3 Definition of Scaling

Before delving into the steps required to use APS, it is important for the user to have a better understanding of what scaling means. Scaling can be defined as “increasing [the] scope or reach of an activity, program, project, or initiative so that it serves more people or delivers more or better benefits” (WRI 2008). Serving more people and delivering more benefits entails transitioning from small to large impacts and, often, influencing policy reform (World Bank 2003). Scaling involves expanding, replicating, adapting, and sustaining successful projects, programs, and/or policies over time in a geographic space so that they have a greater

development impact (Hartmann and Linn 2007). The key is to have multiplier effects that influence policies, reforms, institutions, and leaders, leading to greater change on the ground.



4.2.2 STEP 1: CONDITIONS OF SCALING

A variety of conditions shape the scaling process in any given situation. These conditions have both positive and negative impacts on the scaling process. The scaling conditions are more often categorized by the following:

- ❖ **Resources:** Availability of financial resources and the institutional capacity of project staff to support scaling as the project grows are critical for scaling (Hartmann and Linn 2007; Uvin 1995). Time is also a critical resource because it could take decades for an activity to scale (Hartmann and Linn 2007). However, help of technologies, which are considered a resource, could diffuse knowledge about adaptation and save time required for scaling (Jat et al. 2012).
- ❖ **Partnerships:** Partnerships among government agencies that have the reach and finances to support scaling, NGOs that have a strong link to communities where adaptation projects are located, and private companies that can also finance and help scale adaptation interventions through their networks are critical for scaling adaptation activities (Reid and Schipper 2014).
- ❖ **Local context:** Cultural context can affect scaling. For instance, in some parts of India, the caste system does not allow project beneficiaries to equally benefit from an adaptation activity. In order to scale activities, local and community-driven approaches have better outcomes (Binswanger-Mkhize and Rget 2012).
- ❖ **Knowledge management:** M&E systems can help assess if a project is scaling according to plan and identify areas where the project needs to be modified to ensure successful scaling (Linn 2012). M&E systems can help capture lessons learned on scaling while helping to understand the climate and socio-economic uncertainties that the project may face as it scales over time. Lessons learned from M&E systems can be shared informally through strong partnerships and networks between institutions, or formally through knowledge exchange platforms where stakeholders from different scales meet (Benson et al. 2001; Stott and Huq 2014).

The conditions can act as either barriers or enabling factors, depending on the adaptation project. For instance, finances are required for scaling. Having finances is an enabling factor and not having enough finances can act as a barrier to scaling. Furthermore, in some cases, some conditions may play a stronger role than others. For instance, if there is funding for scaling but no community support, scaling may not take place easily. The list is not exhaustive, but instead points to the multiple factors that can influence scaling. The extent to which a condition is prevalent depends on the context. Therefore, it is not possible to determine if one type of condition is more influential than another. However, the interplay between these conditions influences the extent to which scaling can occur.

Therefore, the first step in using APS is identifying the conditions that could influence the scaling process. Below is a checklist of conditions. ***The key question is: what kinds of conditions both internal and external to the project will influence its' scaling potential?*** The user should go through at least 2 options or project proposals that is being considered or even two projects that are already implemented and check all the conditions that apply. It is important to pick at least 2 options or projects so that they can be compared for prioritization. The user then adds up the number of check marks per project. Adding up the check marks helps create score for each project.

Scaling Conditions Checklist

The key question is: what kinds of conditions both internal and external to the project will influence its' scaling potential?

Resources	Partnerships	Context	Knowledge Management
Financial resources that could help scale over several years <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Links with government agencies, NGOs, and private sector <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Ethnic, class, and/or gender barriers or enabling factors <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Monitoring & evaluation systems in place <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Institutional capacity to cope with an enlarged project/program <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Networks among partners that support scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Community capacity and support for scaling to create ownership <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Learning under uncertainty <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Time required for scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Actors' incentive / willingness to scale <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Environmental context <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Formal and informal networks for knowledge sharing on scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Technology that supports diffusion <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2		Enabling institutions, policy and regulatory environment <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	

TOTAL NUMBER OF CHECKS for Project 1:

While training in Kenya, participants were asked to review summaries of two fictitious project proposals with two different options to address drought. Box 3 below are descriptions of the two options.

TOTAL NUMBER OF CHECKS for Project 1:

Box 3: Adaptation Options to Address Droughts in Kenya

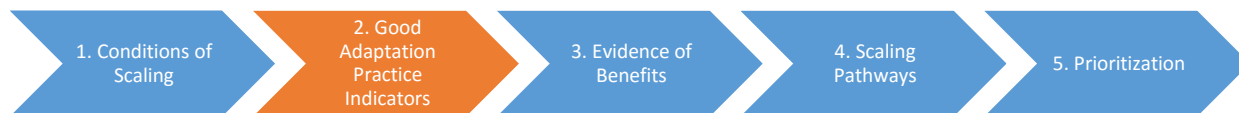
Project 1: Weather Based Insurance in Marsabit District, Northern Kenya

In an effort to support farmers and pastoralists to cope with droughts, the Kenya's Drought Management Authority (KDMA) will partner with MPESA and Insurance Limited (IL) to deliver funds to those affected by drought through a weather based insurance scheme. Whenever droughts strike a certain area, the weather based insurance scheme uses climate information to assess who should be paid to help recover from loss in crop and livestock. Pilot tests have been conducted in Marsabit District and these partners now want to scale the insurance scheme to Isiolo District. In order to scale, KDMA, MPESA, IL conducted a situational analysis in Isiolo to see what conditions will allow them to effectively apply the insurance scheme. They noted that everyone has access to a mobile phone technology, and therefore, are able to receive funds through MPESA. These partners have also received funding worth \$5 million from the UN Food and Agriculture Organization to expand the insurance scheme to other village over the course of 2 years. The biggest hurdle is reaching pastoralists who live in very remote environments of the District who are hard to reach to inform them of the insurance scheme. Nevertheless, the partners have a strong M&E system in place which has given them enough anecdotal evidence to push for expansion.

Project 2: Drought Resistant Maize

In an effort to support farmers to cope with droughts, the Ministry of Agriculture will partner with Monsanto to train farmers to plant drought resistance maize. Drought-tolerant (DT) maize cultivars produce 20–50% higher yields under drought conditions than other maize cultivars. Pilot tests on DT maize have been conducted in the various places in the Rift Valley Province and these partners now want to scale DT maize to Western Kenya Province. In order to scale, the Ministry of Agriculture and Monsanto conducted a situational analysis in Western Kenya to see what conditions will allow them to effectively apply the insurance scheme. They noted that everyone in Western Kenya will have access to seed banks that will enable farmer to purchase DT maize. Monsanto will finance scaling of DT by spending \$10 million over the course of 2 years. Because the natural environment in Western Kenya is not as easy to navigate compared to the Rift Valley, this could be a hurdle to expand DT maize. However, the Ministry of Agriculture strongly supports the spread of DT maize since most Kenyans depend on maize for their staple diet and there is strong political will and regulatory environment that will enable the spread of DT maize. Furthermore, benefits of DT maize has been shown through project evaluation, which adds to the reason why DT maize should be scaled. In order to scale, the Ministry of Agriculture and Monsanto will engage with local farmers and provide them training on how to plant and take care of DT maize. Because they have conducted vulnerability assessments that tell them where the most vulnerable farmers are located, these partners will be better able to target farmers who will greatly benefit from DT maize.

For step one, participants read through the project objectives and identified the conditions that could affect scaling.



5.2.4 STEP 2: GOOD ADAPTATION INDICATORS

A good practice is process or methodology for which there is consensus that it is beneficial. The six process (not outcome) indicators listed below do not guarantee that a “good practice” activity will result in a successful outcome¹. Furthermore, not every indicator will be relevant to every adaptation practice. Nevertheless, it is important to identify whether good practice indicators are part of the project, especially since the indicators are specific to adaptation. The indicators help differentiate adaptation projects from “development” projects. The indicators include:

- ❖ ***Incorporating findings from vulnerability assessments.*** Vulnerability assessments gauge exposure and sensitivity to social, economic, and natural vulnerabilities within a system and a given context. The results of the assessment should inform the design of adaptation projects so that they reduce vulnerability over time.
- ❖ ***Incorporating analysis of past and future climate trends.*** In order to plan for long-term climate change, adaptation planners should integrate data and information on both past and future climate trends into the design of adaptation projects. This is often integrated through a vulnerability, risk, or impacts assessment.
- ❖ ***Providing climate information services.*** While not appropriate for every adaptation project, climate information services, such as weather advisories, can help beneficiaries make informed decisions.
- ❖ ***Promoting knowledge sharing.*** Iterative learning is central to adaptation and enables practitioners to adjust and improve their activities as circumstances change or new information becomes available. Feedback loops within the project help modify the project as it scales and ensure that activities are successfully adapted to new contexts. Such iterative improvement often relies on monitoring and evaluation (M&E) systems. Meanwhile, knowledge sharing among institutions and projects enables further scaling of adaptation practice.
- ❖ ***Addressing uncertainty.*** To respond to the high degree of uncertainty associated with climate impacts, adaptation practices should be flexible in responding to changing needs and robust under various uncertain conditions (Adger et al. 2005; Sterrett 2011).
- ❖ ***Ensuring community ownership of the project.*** Adaptation literature indicates that if the community in which the adaptation activity will be implemented does not participate in its design, it will be difficult for the activity to be successful (Sterrett 2011). Equitable participation by local communities helps adaptation activities to become sustainable and relevant to the context in which they are applied (Adger et al. 2005).

¹ Process indicators measure ways in which project services and goods are provided. Outcome indicators measure the broader results achieved beyond the project through the provision of goods and services.

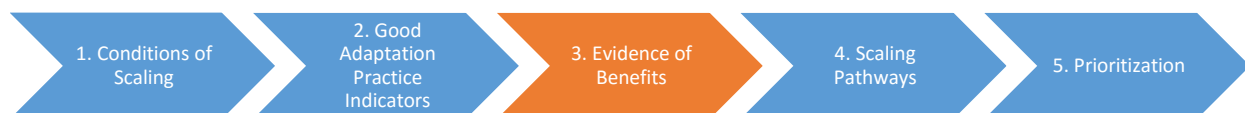
If the adaptation options or project addresses the indicators, then the decision maker can confidently say that the option or project has the potential to scale. Below is a checklist of the indicators. **The key question is: which indicators are integrated in the project?** The user should check mark the number of indicators the option or project proposal incorporates and add up the number of check marks per project.

Good Adaptation Indicator Checklist

The key question is: which indicators are integrated in the project?

Indicator	Project 1	Project 2
Vulnerability assessment		
Includes analysis from past and future climate trends		
Uses climate information services		
Addresses uncertainty		
Ensures community ownership of the project		
Total Number of Checks		

In Kenya, participants read through the project description in Box 3 and identified which indicators of good adaptation practice were mentioned in the proposal.



5.2.5 STEP 3: EVIDENCE OF BENEFITS

An adaptation activity has a greater chance of being successfully scaled if it is supported by clear evidence that the activity is beneficial. Six levels of evidence can help determine whether enough evidence exists for the project to move from “pilot” to “policy principle” (World Bank 2003). The levels include:

- ❖ Pilot: new idea, M&E system in place, no or little evidence exists
- ❖ Promising: benefits detected through anecdotes
- ❖ Model: benefits evident through a project evaluation
- ❖ Good: benefits evident through several evaluations
- ❖ Best: benefits evident in various settings found through external evaluation
- ❖ Policy Principle: benefits evident through scientific studies leading to policy reform

The progression from a pilot to a policy principle may not always be rigid and linear. Where a project is in the continuum depends on the actors involved in the project and the conditions of scaling.

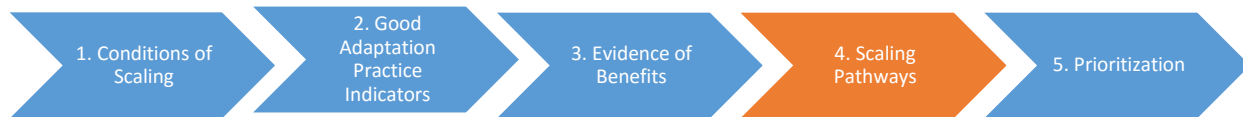
Using the table below, the user should assess which stage the project is in giving 1 point to each level. The user should give points based on what level of evidence the project produced. For instance, if the project is at the early stage but shows that there is an M&E system in place, it receives 1 point. However, if a project show there is “good” level of evidence, it receives four points. ***The key question is: what is the level of evidence that the project could potentially provide or is already providing?***

Evidence Table

The key question is: what is the level of evidence that the project could potentially provide or is already providing?

Level of Evidence	Project 1	Project 2
M&E system in a pilot exists (1point)		
Promising level of evidence (2 points)		
Model level of evidence (3 points)		
Good level of evidence (4 points)		
Best level of evidence (5 points)		
Policy Principle (6 points)		
Total Number of Points		

In Kenya, participants tried to identify the stage in which the projects mentioned in Box 3 were in and if there were any evidence that the project has benefited people.



5.2.5 STEP 4: SCALING PATHWAY

A scaling pathway can help to plan the scaling process over time while identifying key actors and conditions of scaling. There are two primary pathways to scaling: horizontal and vertical. Horizontal scaling occurs when a project replicates across people and geographies (Hartmann and Linn 2007; Linn 2012). Horizontal scaling is not only about copying an activity or project from one location to another; it involves adaptation, modification, and improvement of an activity or project before it is replicated.

Vertical scaling leads to changes in policies and legislation at the national, regional or local level (Hartmann and Linn 2007; Linn 2012). Vertical scaling, also known as political scaling (Uvin 1995), occurs when a project transitions from a small, local-level project to national and international levels. Vertical scaling can also happen when lessons learned from a project by an actor, such as a non-governmental organization (NGO), are directly shared with policy makers to influence policy reform regardless of whether the project transitioned from a small to a large project first. Alternatively, vertical scaling can occur when projects designed at the national level by the national government influence action at the local level.

A complex relationship between horizontal and vertical scaling exists. In some cases, a project will scale vertically from the local to the national level only if it is first horizontally replicated. In other words, horizontal scaling may first need to demonstrate the replicability of adaptation activities that benefit many and the subsequent need for institutional support and policy change (UNDP 2013). The process is rarely linear but is instead, based on interactions between vertical and horizontal scaling (Linn 2012).

Below are examples of two common pathways.

Example 1: Centralized scaling pathway. In a centralized scaling pathway, the main agent of scaling within a centralized scaling pathway is the national government. An example of this is when Mexico’s federally administrated “Oportunidades” programme [point A] (UNDP 2013). It was first piloted in Campeche in 1996 [point B], lessons learned at the pilot level eventually led to various institutional and policy changes at the national level including creating a separate agency to run the programme, strengthening monitoring and evaluation for future implementation, simplifying transfer modalities, and increasing intergovernmental collaboration [points C and A2]. The programme expanded to cover an additional 300,000 rural families by 1997 [point E1], 2.6 million families by 2000 [point E2] and over 3 million by 2001 [point E3]. Having ‘survived’ both the 2000 and 2006 elections [point A2], the programme currently benefits over five million families, or 22% of the total population of Mexico.

Centralized Scaling



Example 2 Multi-actor scaling: Scaling involves multiple actors and, in some cases, multiple actors may drive the process. In this situation, there is no one dominant actor. The Programme for South-South Cooperation (PSC) in Costa Rica followed this pathway (UNDP 2013). It began in 2003 as a pilot biodiversity project that measured the social and economic value of three national parks and biological reserves [point B]. The positive results led to further extensions [points C1], and provided data required for the vertically scaling up of the project at the national level. The project was implemented horizontally in three additional national parks and biological reserves the following year [points E1, E2, and E3] and was scaled up vertically with the support of meso level actors to the national level by 2008 [point A]. This also led to justification for the national government to increase investments for environmental conservation [point F] and the country declared its intention to be the first carbon free country in the world by 2021 [point A2]. The project has been replicated in Bhutan and Benin.

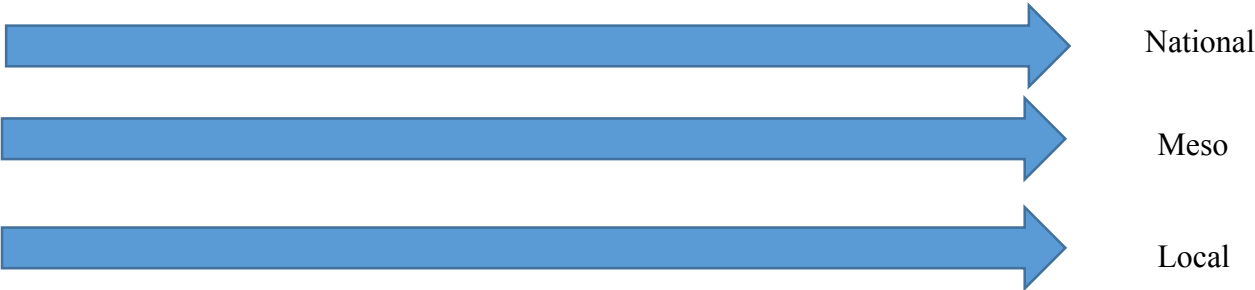
NGO Driven



The objective of designing a pathway is for the planner to map out the actors involved, their relationships, and if the project can be scaled. The user should assess if the project proposal has a clear scaling pathway. If it does, the project gets one point. Use the diagram below to chart a pathway. **The key question is: Who are the actors involved in scaling, what do they offer, how do they connect, and how can scaling be charted across national, meso, and local levels?**

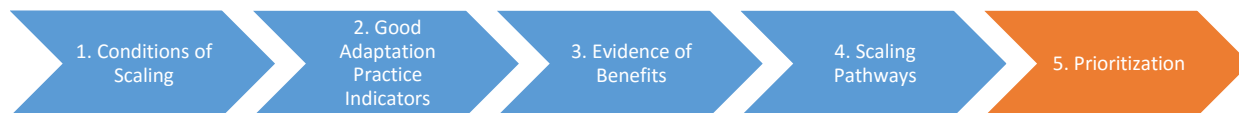
Scaling Pathway Chart

Project 1



Project 2





5.2.6 STEP 5: PRIORITIZATION

The final step prioritization of adaptation options or projects . In this tool, prioritization means choosing a project that has the highest potential to scale based on the score it has received between steps 1 and 4. Below is a table with the list of steps in the first column. The second and third column allows the user to populate the table by adding the scores from each of the steps from at least 2 projects and compare results. The project that receives the highest score is the one that should be prioritized. If by chance both projects receive the same score, a decision needs to be made by discussion between key decision makers.

Project Prioritization Table

Steps	Project 1	Project 2
Number of checks: Conditions of Scaling		
Number of checks: Good Practice Indicators		
Number of points: Evidence of benefits		
Feasible Pathway (Yes: 1 point; No: 0 points)		
Prioritized Project		

In Kenya participants referred to adaptation options in Box 3 when tallying the scores for each step of the APS tool.

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ASSESSING SCALING POTENTIAL

Moushumi Chaudhury
World Resources Institute
31 March 2016
Nairobi, Kenya

PHOTO: MOUSHUMI CHAUDHURY

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WHY SCALE UP?

- The problem is big
 - Climate change threatens food security and livelihoods
- Solutions have been small
 - One-off projects and pilots
- Scaling projects benefits more people and informs policy



TRAINING OUTLINE

- Objective: To help project planners and managers prioritize projects based on their scaling potential
- Introduce the Rapid Diagnostic Tool for Scaling (5 steps)
- Group activity on prioritizing projects based on their scaling potential
- Feedback on improving the tool to fit Kenyan context



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SCALING SUCCESS

Lessons from Adaptation Pilots in the Rainfed Regions of India

ARIVUDAI NAMBI APPADURAL, MOUSHUMI CHAUDHURY, AYESHA DINGSHAW,
NAMRATA GINOYA, HEATHER MCGRAY, LUBAINA RANGWALA, SHREYAS SRIVATSA

WRI.ORG



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development
and Cooperation SDC

USE OF THE RAPID DIAGNOSTIC TOOL FOR SCALING

- **What it does:**
 - Allows project planners to rapidly test for scalability of the project from the design phase to post implementation phase
 - Helps portfolio managers prioritize projects based on the potential for a project to scale
 - Creates opportunities for project planners, government agencies, and funders to collaborate on decision making regarding scaling

- **What it does not do:**
 - Implement the process of scaling



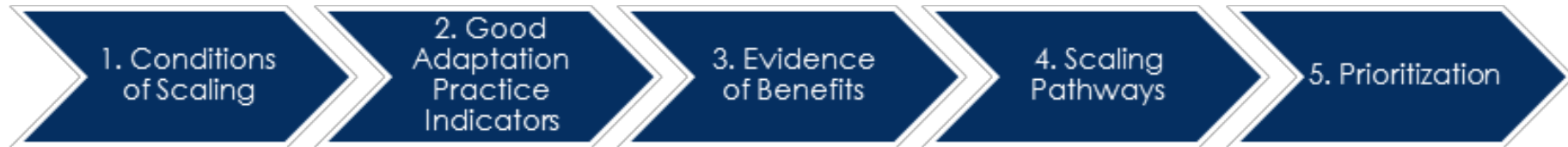
INPUTS REQUIRED

- ✓ Project planners, portfolio managers, government agencies, and funders use the tool as a group or individually
- ✓ At least 2 proposals (similar or different) should be used to compare what to prioritize.
- ✓ Good understanding of the context and climate change impacts and adaptation needs of project beneficiaries
- ✓ Users should be familiar with monitoring and evaluation systems and be able to think creatively about scaling pathways

WHAT IS SCALING?

Scaling: a process that involves expanding, replicating, adapting, and sustaining successful projects, programmes, and/or policies over time so that they have a greater impact.

FIVE STEPS OF THE RAPID DIAGNOSTIC TOOL FOR SCALING



1. WHAT ARE THE CONDITIONS THAT CAN AFFECT SCALING?

Resources	Partnerships	Context	Knowledge Management
Financial resources that could help scale over several years <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Links with government agencies, NGOs, and private sector <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Ethnic, class, and/or gender barriers or enabling factors <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Monitoring & evaluation systems in place <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Institutional capacity to cope with an enlarged project/program <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Networks among partners that support scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Community capacity and support for scaling to create ownership <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Learning under uncertainty <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Time required for scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Actors' incentive / willingness to scale <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Environmental context <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Formal and informal networks for knowledge sharing on scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Technology that supports diffusion <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2		Enabling institutions, policy and regulatory environment <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	

TOTAL NUMBER OF CHECKS for Project 1:

TOTAL NUMBER OF CHECKS for Project 1:

2. DEFINITION OF GOOD ADAPTATION PRACTICE INDICATORS

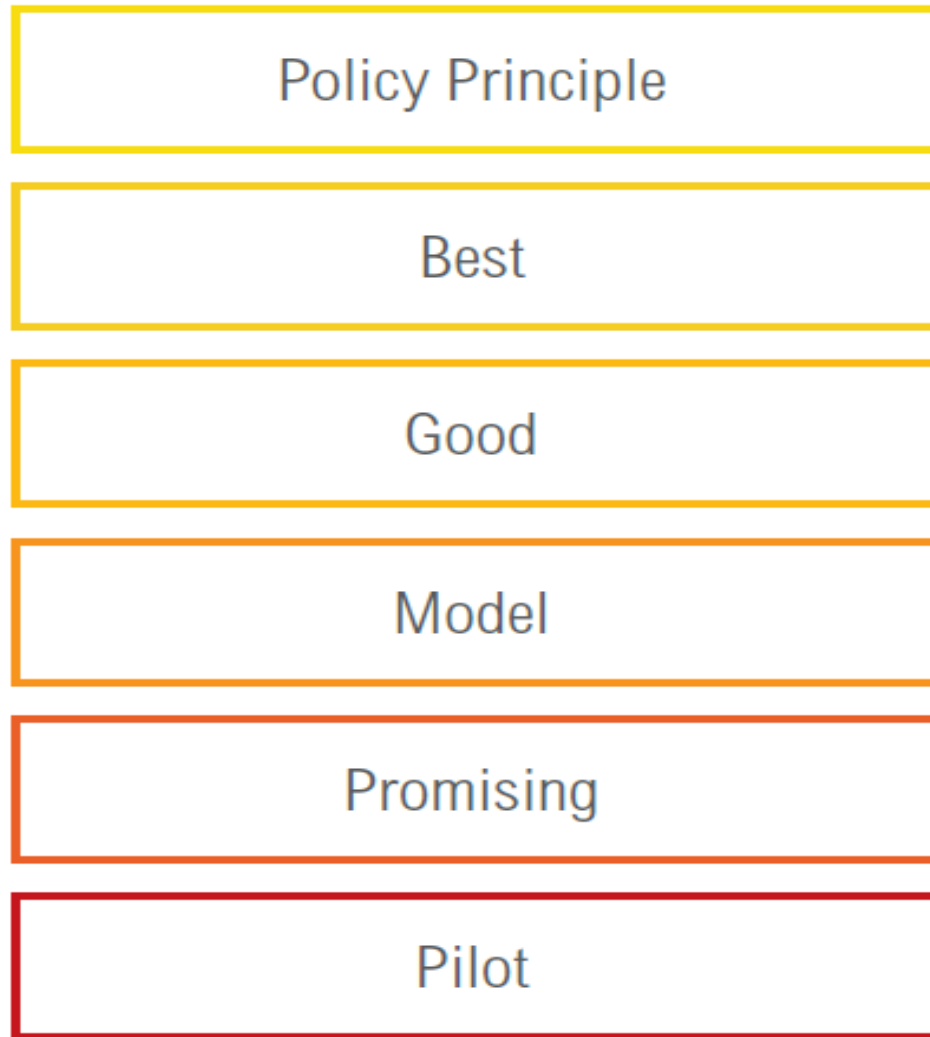
Definition of “good practice”:

A process or methodology that consistently shows positive results across different geographies and contexts, and there is consensus that applying particular processes or methods is beneficial

2. WHICH INDICATORS ARE INTEGRATED INTO THE PROJECT?

Indicator	Project 1	Project 2
Vulnerability assessment		
Includes analysis from past and future climate trends		
Uses climate information services		
Addresses uncertainty		
Ensures community ownership of the project		
Total Number of Checks		

3. EVIDENCE OF BENEFITS



3. LEVELS OF EVIDENCE OF BENEFITS

Each level of evidence is 1 point.

- ❖ M&E System in place (1)
- ❖ Pilot: new idea (2pt)
- ❖ Promising: benefits through anecdotes (3pt)
- ❖ Model: benefits evident through a project evaluation (4pt)
- ❖ Good: benefits evident through several evaluations (5pt)
- ❖ Best: benefits evident in various settings found through external evaluation (6pt)
- ❖ Policy Principle: benefits evident through scientific studies leading to policy reform (7pt)

Total number of points:

3. WHAT IS THE LEVEL OF EVIDENCE THAT THE PROJECT COULD POTENTIALLY PROVIDE OR IS ALREADY PROVIDING?

Level of Evidence	Project 1	Project 2
M&E System in place (1)		
Pilot (2point)		
Promising (3 points)		
Model (4 points)		
Good (5 points)		
Best (6 points)		
Policy Principle (7 points)		
Total Number of Points		

4. DESIGNING SCALING PATHWAYS

- Designing a pathway can help to plan the scaling process over time while identifying key actors and conditions of scaling
- **Horizontal scaling** occurs when a project replicates or expands across people and geographies. This process also involves modifying an activity before it is replicated.
- **Vertical scaling** leads to changes in policies and legislation at the national, regional or local level.

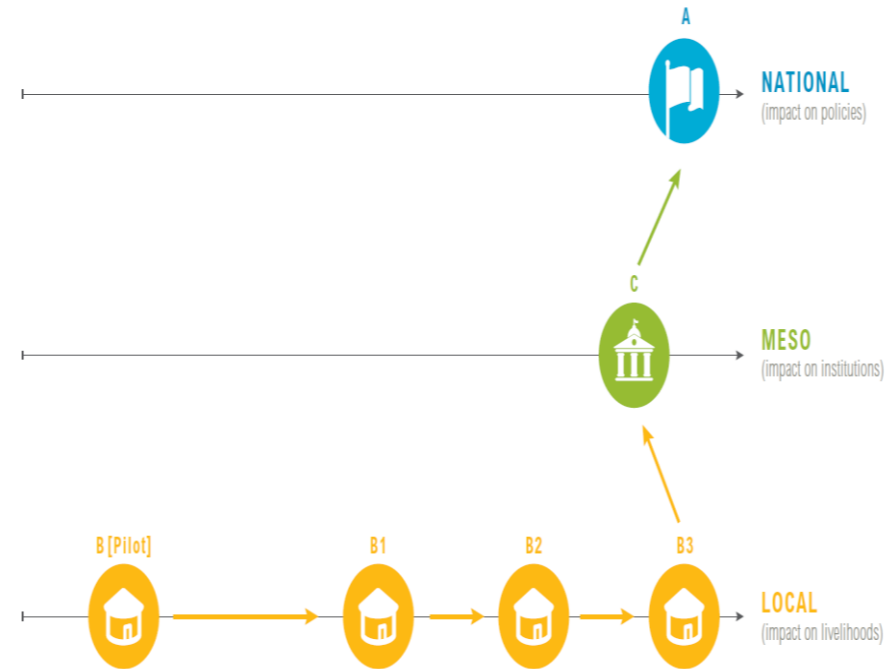
4. DESIGNING SCALING PATHWAYS

Examples of scaling pathways

Centralized Scaling



NGO Driven



4. DESIGN A SCALING PATHWAY

Project 1



Project 2



5. PRIORITIZING PROJECTS WITH POTENTIAL TO SCALE

Steps	Project 1	Project 2
Number of checks: Conditions of Scaling		
Number of checks: Good Practice Indicators		
Number of points: Evidence of benefits		
Feasible Pathway (Yes: 1 point; No: 0 points)		
Prioritized Project		

RE-CAP OF STEPS TO DETERMINE POTENTIAL OF SCALING

Steps	Objective Steps
1: Conditions of scaling	What can affect the scaling process? <ul style="list-style-type: none">• Identify external and internal factors related to the project that may influence the scaling process
2: Good practice indicators	What should be scaled? <ul style="list-style-type: none">• Assess if good practice indicators are incorporated into project activities to determine what should be scaled
3: Adaptation benefits	Is there enough evidence that activities lead to benefits? <ul style="list-style-type: none">• Determine if there is enough evidence that adaptation activities are benefiting people
4. Scaling pathway	How should the adaptation activity be scaled? <ul style="list-style-type: none">• Map horizontal and vertical pathways to design scaling process
5. Prioritization of projects	What project should be prioritized? <ul style="list-style-type: none">• Rank projects based on their scaling potential determined by steps 1-4

GROUP ACTIVITY SLIDES

1. WHAT ARE THE CONDITIONS THAT CAN AFFECT SCALING? (15 MIN)

Resources	Partnerships	Context	Knowledge Management
Financial resources that could help scale over several years <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Links with government agencies, NGOs, and private sector <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Ethnic, class, and/or gender barriers or enabling factors <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Monitoring & evaluation systems in place <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Institutional capacity to cope with an enlarged project/program <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Networks among partners that support scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Community capacity and support for scaling to create ownership <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Learning under uncertainty <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Time required for scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Actors' incentive / willingness to scale <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Environmental context <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	Formal and informal networks for knowledge sharing on scaling <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2
Technology that supports diffusion <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2		Enabling institutions, policy and regulatory environment <input type="checkbox"/> Project 1 <input type="checkbox"/> Project 2	

TOTAL NUMBER OF CHECKS for Project 1:

TOTAL NUMBER OF CHECKS for Project 1:

2. WHICH INDICATORS ARE INTEGRATED INTO THE PROJECT? (10 MIN)

Indicator	Project 1	Project 2
Vulnerability assessment		
Includes analysis from past and future climate trends		
Uses climate information services		
Addresses uncertainty		
Ensures community ownership of the project		
Total Number of Checks		

3. WHAT IS THE LEVEL OF EVIDENCE THAT THE PROJECT COULD POTENTIALLY PROVIDE OR IS ALREADY PROVIDING?

Level of Evidence	Project 1	Project 2
M&E System in place (1)		
Pilot (2point)		
Promising (3 points)		
Model (4 points)		
Good (5 points)		
Best (6 points)		
Policy Principle (7 points)		
Total Number of Points		

4. DESIGN A SCALING PATHWAY (15 MIN)

Project 1



Project 2



5. PRIORITIZING PROJECTS WITH POTENTIAL TO SCALE (10)

Steps	Project 1	Project 2
Number of checks: Conditions of Scaling		
Number of checks: Good Practice Indicators		
Number of points: Evidence of benefits		
Feasible Pathway (Yes: 1 point; No: 0 points)		
Prioritized Project		