PPP LAB

FOOD & WATER

The Scaling Scan

A Practical Tool
to Determine the Potential to Scale
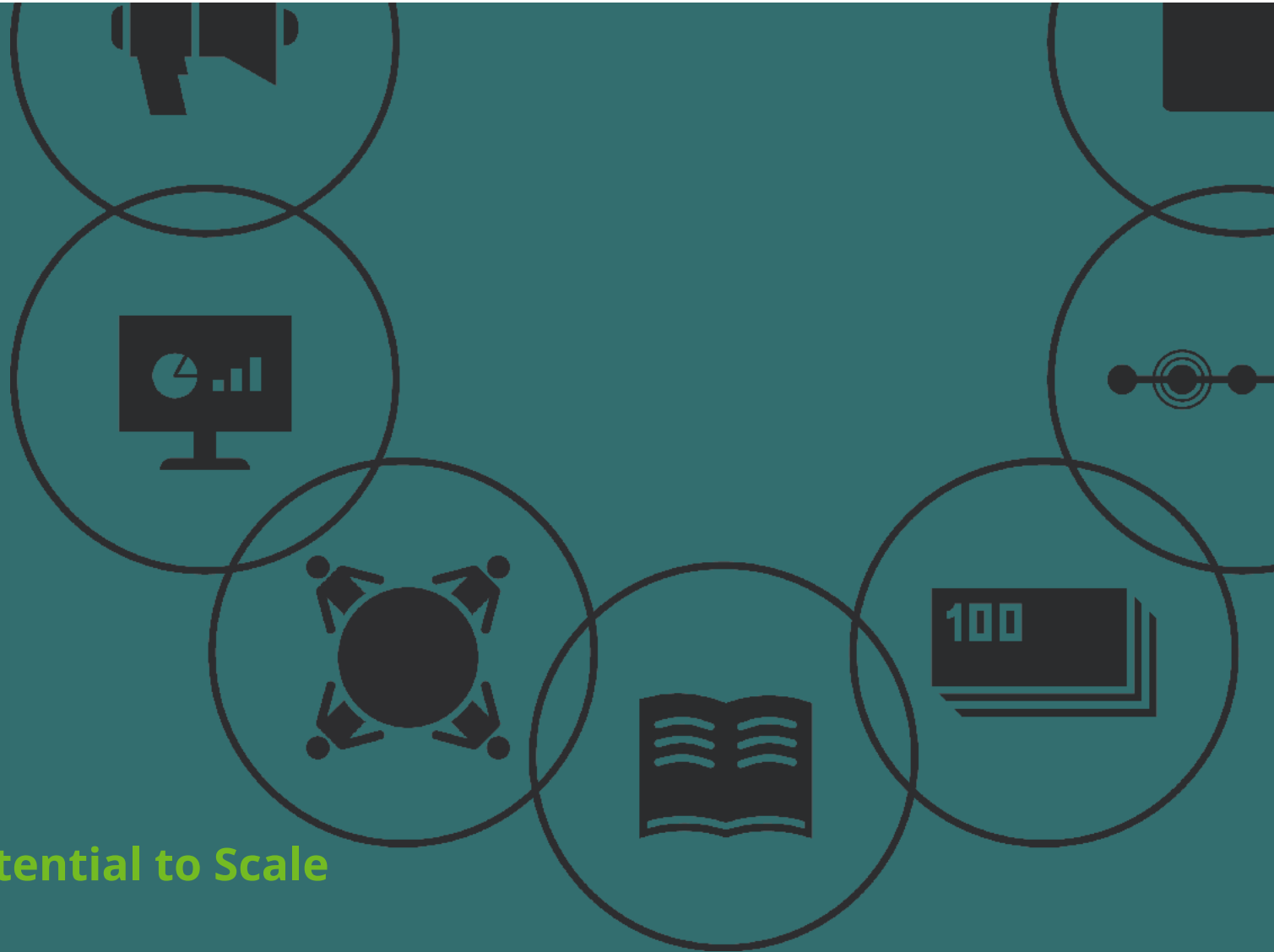
Facilitation tip:

Apply the Scaling Scan
as part of annual project
review meetings with the
implementation team to
monitor the scalability of
the project.

What is scaling?

Scaling aims to increase the use of innovations (new technologies or practices) to impact many people. At the same time, scaling should also lead to a sustainable system change in which the impact remains, or even accelerates, without further special project or donor interventions. Successful scaling of innovations requires that at least as much attention is paid to the complementary non-technological requirements. These non-technical requirements form the basis for the Scaling Scan, which is built around 10 "Scaling Ingredients" necessary for **an innovation to thrive**.

Why the Scaling Scan?

Scaling usually takes longer than the development and testing of an innovation - often around ten years to reach the millions intended 'at scale'. It is also more complex, requiring new skills and partners as well as significant time and financial investments. Yet too often, scale is committed to without the kind of methodical pre-assessment most investors would require for much simpler efforts. This tool is to:

- Understand the multiple dimensions of scaling
- Develop more realistic scaling ambitions
- Reflect on and discuss (in teams) if a scaling approach makes sense, and monitor progress
- Check whether your project proposals, implementation plans and evaluations are "scale-proof"

- Identify bottlenecks for scaling and find openings to tackle these bottlenecks
- Approach (future) interventions with a scaling mind-set

Who is the Scaling Scan for?

The Scaling Scan is designed for anyone involved in pro-poor and sustainable development programs looking to scale impact. They are mandated to scale responsibly with minimal negative side effects on environmental, social and other systems. Project coordinators, managers and teams who direct project resources and priorities will be those most able to take advantage of the Scaling Scan. However, technical experts and implementing staff will still find the scaling perspective useful, especially if applied before a pilot ends

Furthermore, the Scaling Scan can be applied:
- Within a range of sectors, despite being based on experience from the agriculture and the water sector
- By individuals as well as (project) teams
- By individual organizations and partnerships

When?

The Scaling Scan fills the niche between having (at least) a general idea of what should scale where (for example when a donor requests a proposal for adoption of a technology) and having a detailed scaling strategy ready for implementation.

The Scaling Scan helps to:
- Fully understand what scaling your innovation would require
- Facilitate a constructive and methodical exploration about the challenges scaling your innovation is likely to face and the opportunities it can leverage
- Identify points of attention that should be addressed in the scaling strategy; and
- Monitor and learn how the scalability of the project changes over time.

Limits

The Scaling Scan was *not* designed to:
- Develop a scaling strategy in itself; please use a strategy development tool you are comfortable with[2];
- Scale a project or program; it focuses on selected scalable innovations;
- Provide solutions; it only identifies strengths and weaknesses and provides hints to deal with them to reach the scaling ambition;
- Be an all-encompassing tool; Annex 3 provides links to relevant other tools that help address

1] The first version of the tool was initially aimed at Public-Private Partnerships. However, during testing, the Scaling Scan gained interest and was adapted to a much wider audience. At the same time, considering the many ingredients necessary to build a strong scaling strategy, we still recommend to work with (multi-stakeholder) partnerships for successful scaling. Also see Insight Series 06: Scaling through PPPs for more information on the role of PPPs in scaling. 2] See Annex 3 for recommended tools.

Using the Scaling Scan

Follow these three steps:

- **Step 1:** Construct your scaling ambition
- **Step 2:** Check the scaling ingredients
- **Step 3:** Identify points of attention for your scaling strategy

Each step contains tactical questions, sometimes accompanied by a few considerations to help you assess the scalability of your innovation. You are encouraged to use the considerations for reflection; however, not all of them will be applicable to your situation. Going through the three steps is an iterative process where you may find that your scaling ambition needs to be adapted after finishing steps 2 or 3.

The Scaling Scan provokes discussions that are best addressed in a moderated workshop setting. Tips for effective facilitation appear in red blocks throughout this document. Depending on the workshop setting and objectives, completing the steps may take anywhere from two hours to two days.

Annex 1 includes a suggested agenda for such workshops. Annex 2, designed for users already very familiar with the Scaling Scan, contains a Rapid Scaling Scan for a very quick check of your initiative.

Idea for Scaling → The Scaling Scan → Scaling Strategy

Step 1: Construct your scaling ambition

The objective of this step is to come up with a scaling ambition that is realistic, responsible and part of a greater system change. The scaling ambition briefly describes what you want to scale, for whom, where, when, etc. (Re) clarifying these points with collaborators is key to obtain/ maintain support for what you are trying to achieve. A clear scaling ambition also allows you to assess the status of the 10 scaling ingredients in the subsequent steps and to identify strong and weak points that need attention in your scaling strategy.

Step 1a: Scaling ambition

In this step we use simple questions to demarcate the boundaries of the system in which we want to scale. In other words, who and what are involved in the problem and the solution? The more specific and focused the boundaries are, the easier it is to develop and implement a scaling strategy.

Good to know:

If you feel you could use some help with answering the questions, in Annex 3 we provide links to tools and methods that help to define the scaling ambition (step 1) and address issues regarding the scaling ingredients (step 2).

I want to scale...

What? Considerations:
• Is it a technical, process or organizational innovation?
• Do you need to scale all components of the technology/practice? Or is there one central component that should be scaled?
• Is there enough evidence from the pilot phase to go to scale?

For whom? Considerations:
• System change and sustainability are achieved by people; therefore we prefer to target people (households, organizations, etc.) rather than hectares or other indicators.
• Are you targeting end-users, consumers and/or intermediaries?
• What specific type of population are you targeting (households, individuals, businesses, rich/poor, women/men, age group, etc.)

Response

My **innovation**:

My **target group** is:

I want to scale...

Response

How many? Considerations:
- Maximum: What is the size of the potential target group?
- Minimum: What is the current adoption rate of the innovation (up to piloting stage)?
- What is a realistic target?

Size of the target group aimed for:

Where? Considerations:
- What boundaries are you considering? Geographic[3]/ agro-ecological zone/ water catchment/ etc.?
- Are you looking at geographic expansion or more/different target population in the same geography?

My **intervention area** is:

By whom? Considerations:
- Does the organization/people that piloted the solution have the required experience and skills to lead the scaling process?
- Who is most interested and best suited and motivated to provide leadership in reaching the scaling ambition (think beyond the project)?

The **leading organization** for scaling is/are:

When? Considerations:
- What is a realistic timeline for achieving your scaling ambition?
- How long can you lead the scaling? Does the leadership for scaling need to be done in phases and handed over at some time?

The **time** to reach the desired scale is:

Why? Considerations:
- What is the larger development outcome you aim to contribute to? Defining this is important to enable collaboration with those contributing to the same overarching development goal.

The **system change** we contribute to is:

3] Multi-country initiatives may require you to complete steps 1, 2 and 3 for each country due to the different business climates, legislation, rules and regulations, etc.

Please use all these elements on the previous pages to construct a SMART[4] scaling ambition like this:

By (*time*) (*leading organizations*) want to increase adoption of (*technology/practice*) from (*current amount*) to (*future amount*) (*target group*) in (*intervention area*) for (*contribution to system change*).

Example: By **2025 NGO X and Company Y** want to increase adoption of **Zero Tillage** from **10,000** to **500,000 small farming households (<2ha)** in **West Bengal** for **food security and reduced poverty**.

1b: System check

Introducing a new practice or technology does not only require change at the level of the individual farmer or household. It also implies that organizations start offering other products or services. In addition, it often requires changes in attitude, norms, market rules and possibly even in formal regulations, policies and legal frameworks.

In short, a scaling ambition doesn't just seek change at the individual or household level; rather, it aims for the whole system to operate differently.

From a system perspective, a realistic scenario is that scaling of an innovation contributes to changes in its sector. We therefore use a sector transformation framework for looking at the wider changes your initiative aims to contribute to.

Does your scaling ambition contribute to wider and sustained changes ("rules of the game") in the sector you are operating in? If so, what does that change look like once you reach scaling ambition?

4] *Specific, Measurable, Achievable, Realistic, Timebound*

1b: System check

A useful analytical framework for positioning your scaling initiative in sector change is provided to the right.

1. Inception
- Awareness about underlying (attitude, market, policy, etc.) problems slowly rises, and
- Some actors in the sector **initiate innovations** to address these issues.

2. First movers
These separate initiatives gain some direction, coherence and influence through **groups of first movers**.

3. Critical Mass
- Sector stakeholders start to cooperate as they start to realize the benefits of the innovations that address the problem.
- Together, stakeholders might define a sector-wide vision and multi-stakeholder initiatives are set-up.

4. Institutionalization
- A level playing field emerges, and sustainable practices are perceived as the "new normal" by sector stakeholders.
- Leaders in the sector lobby for institutionalization of this new normal, making it part of the legal framework and enabling environment.

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Please indicate in which phase your scaling initiative starts and where you aim to reach within the timeline described under 1a.

1. Inception	2. First movers	3. Critical Mass	4. Institutionalization

What changes in the sector are required in order to reach your scaling ambition?
Points of attention regarding the system check:

What is Scaling?

Using the Scaling Scan

Step 1: Scaling ambition

Step 2: Scaling ingredients
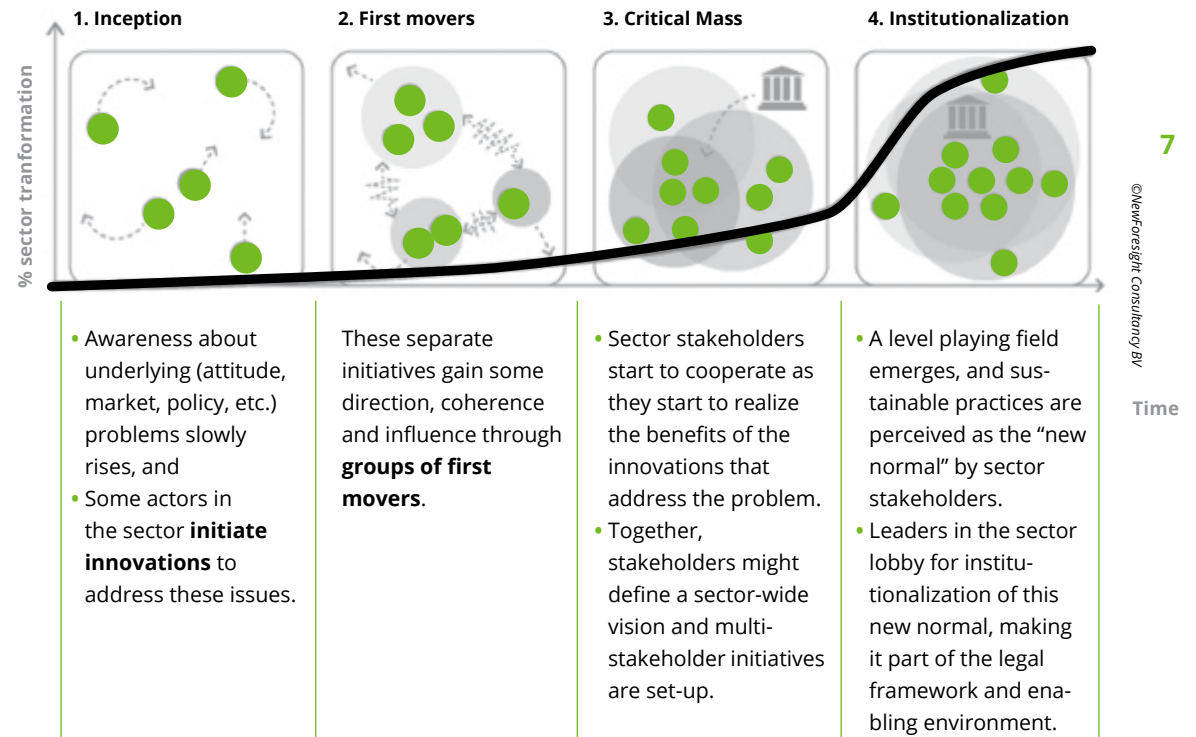
Step 3: Points of attention

Annex: Workshop Agenda

Annex: Rapid Scaling Scan

Annex: Overview of Tools

Annex: Sources

1c Responsibility check

Scaling often calls for large changes which may have wide implications for society and the environment, both positive and negative.

For example, while an irrigation project may benefit specific farmers, others in the community might suffer from lower water availability or higher pollution levels in the long term. We have the moral obligation to justify to the people affected by the innovation why scaling is "good" for them or society. In the above example, this means explaining scaling's benefit not only to the irrigation farmers, but also to fishermen, the people that drink the water, etc. After all, all of these groups can be affected by an innovation that fails to produce its intended impacts or unintentionally produces negative ones.
We therefore challenge you to assess the impact of reaching the scaling ambition (and beyond the geographic, social and time boundaries set by the project) and the associated risks.

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Social responsibility

Potential negative side effects

Gender and age equality:
- Do women, men, young and elder people equally benefit from and have access to resources and opportunities?

Inclusiveness:
- Are certain groups (based on ethnicity, religion, economic status, with disabilities, etc.) be excluded from any or all benefits?
- Are those affected by the technology included in decisions about the scaling pathway and whether or not the intended impacts constitute success?

Power equity:
- Who are the winners, and who are the losers, when the new innovation is adopted at a large scale?
- If the project provides exclusive advantages or power to certain players (e.g. monopoly to a certain service provider), how can this be justified?

Resilience:
- Is it possible for the target group to easily reverse adoption if not satisfied with the results, or is the project displacing alternatives?
- What is the cost of failure, and who will bear it?

Environmental responsibility

Potential negative side effects

Use of resources:
• Will the scaling of the project affect the availability of important natural resources, such as water and land?

Quality of resources:
• Will the scaling of the project change the quality of important natural resources, such as water, biodiversity and land?

Climate change:
• Will the scaling of the project worsen climate change by increasing CO_2 and other gases in the atmosphere?

Note down points of attention and if necessary adjust your scaling ambition (revise step 1a).
Points of attention, Responsibility check:

Points of attention, System check:

Now, write down your (revised) scaling ambition with points of attention for system and responsibility dimensions.
**Overall results step 1**:

Step 2: Checking the scaling ingredients

Now that your scaling ambition is well defined and firmed-up by a system and responsibility check, it is time to assess whether your approach to scaling is adequate to achieve the ambition.

This is done by looking at the scaling ambition from the perspective of 10 scaling ingredients[5]. The ingredients represent 10 different fields of expertise that need attention in order for scaling to be successful.

The following logic proved useful for most projects where the Scaling Scan was tested.

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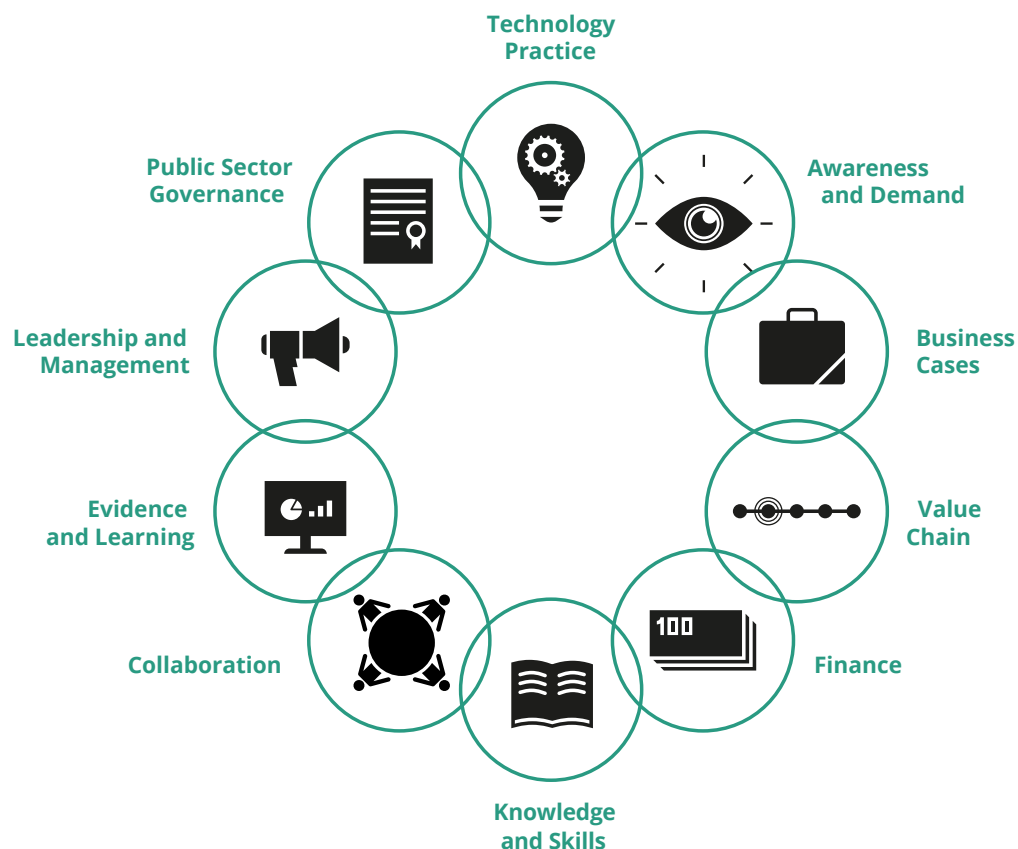
Technology/Practice - An effective and efficient solution for the issue at stake
Awareness and Demand - A wish and readiness for the user to use the solution
Business Cases - Attractive financial/economic propositions for users and other actors to respond to the demand
Value Chain - Effective links between actors to pursue their business cases
Finance - Effective financing options for users and other value chain actors
Knowledge and Skills - Capacities at individual and institutional level to use, adapt and promote the innovation
Collaboration - Strategic collaboration within and beyond the sector to scale the innovation
Evidence and learning - Evidence and facts underpin and help gain support for the scaling ambition
Evidence and learning - Evidence and facts underpin and help gain support for the scaling ambition
Leadership and Management - Effective coordination and navigation of the scaling process
Public Sector Governance – Government support to reach the scaling ambition

Good to know:

The analogy with ingredients is made because:
• The right mix or preferred taste depends on the context;
• Each ingredient adds flavor to another ingredient; and
• Before cooking, one makes an inventory of what ingredients are already in the cupboard (of the project) and which ones need to be bought and at what store (other actors).

5] The framework of 10 scaling ingredients is based on a literature review, research and interviews with development practitioners and thought leaders between 2015 and 2017. For more information on the 10 scaling ingredients, please read PPPLab's Explorations 4 or Insight Series 6.

The Scaling Scan

Each scaling ingredient includes four questions that probe into the key drivers for reaching scale within that domain.

Each question should be scored on a scale from **1** (No, not at all) to **5** (Yes, definitely) to represent your level of confidence for reaching your scaling ambition.

Scoring levels include:

1: No, this is very uncertain OR not enough information to answer
2. Serious doubts
3: Some doubts/unsure
4: Quite confident
5: Yes definitely, this is not an issue for my scaling case OR not applicable

Each question is accompanied by a few considerations that may help you reflect better on your answer. Some considerations might provoke you to look at the question from an unexpected angle, and some might not be relevant to you. There is also space to expand upon your answer. This is especially important when you use the tool with a team and/or when you use it as an annual review exercise.

Next, you will find the 40 questions for the 10 scaling ingredients. We strongly recommend that you download the Excel version here because it will automatically generate a bar chart with the results.

Excel files, or their equivalent in Google Sheets[6], permit multiple project members to fill in their scores and obtain a collective result. They also allow for easy sharing and saving of the results.

Good to know:

How did we define the difference between the ingredients "value chain" and "business case"?

A *value chain* refers to the full lifecycle of the technology or practice that is to be scaled, including material sourcing, production, processing and consumption/use by the end-user. Different actors along this value chain (often but not necessarily businesses) each add value to the technology/practice through various processes to (1) create a finished end product and (2) sell the finished innovation to the end-user.

A *business case* captures the reasoning for actors along the value chain to produce and supply the technology/practice. All (business) actors will ask themselves: Can I earn from this activity? The business cases involves the economic and financial proposition for each actor along the value chain.

Value   Value   Value   Value

| Inputs | → | Production | → | Processing | → | Marketing | → | Consuming |

6] If you go to https://sheets.google.com you can upload the Excel version of the Scaling Scan for online use. This permits multiple team members to work in the same file at the same time, providing the opportunity to discuss team results straight away.

Score referrals:

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The Scaling Scan
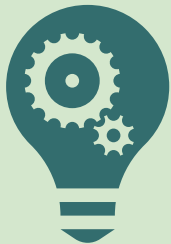
Technology / Practice

Average:

Answers/analysis

1.1 Is your innovation relevant to your target group?

Considerations:
- *The target group is well-defined. You know who is, and who is not targeted*
- *The problem of the target group is well-defined, important and still up to date*
- *The innovation directly addresses the problem*

1.1 score:

1.2 Does the innovation have a comparative advantage over existing alternatives?

Considerations:
- *The innovation has significant, observable advantages over alternative technologies/practices that address the same problem of the target group*
- *Sound evidence from respected institutions/persons on the innovation's benefits is available.*
- *The majority of the target group that piloted the innovation is convinced of the comparative advantages*

1.2 score:

1.3 Is the innovation easy to adopt?

Considerations:
- *The innovation is available to the entire target group (adequate supply)*
- *The innovation is accessible to the entire target group*
- *The innovation is affordable for the entire target group*
- *After adoption, users can easily go back to the technology/ practice they used before*

1.3 score:

1.4 Is the innovation compatible with local circumstances and preferences?

Considerations:
- *Proof exists that local perceptions of the innovation are favorable*
- *The technology/practice can easily be modified to local environmental and social circumstances*
- *The technology/practice can be experienced, tested, and discussed with other users (peer-to-peer) for obtaining (social) credibility*
- *The innovation directly addresses the problem*

1.4 score:
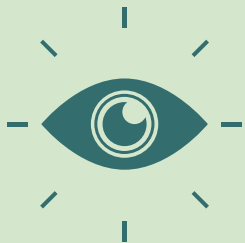
Awareness and demand

Average:

Answers/analysis

2.1 Do important stakeholders recognize that a new technology/practice is necessary and desirable?

Considerations:
- *The target group recognizes that a new technology/ practice is necessary*
- *Other relevant stakeholders, such as value chain actors and policy makers recognize that a (new) solution to the problem should be tried*

2.1 score:

2.2 Does the target group have access to information about the innovation and are there effective communication channels?

Considerations:
- *Relevant information regarding the innovation is accessible to the target group*
- *There are effective communication channels that can reach the target group and update information if necessary*
- *Local opinion leaders support and promote the innovation*

2.2 score:

2.3 Do you have evidence that demand for the innovation is real and growing as anticipated?

Considerations:
- *The target group is actively demanding suppliers, local leaders and others for access to the innovation*
- *The target group is willing to pay for the innovation*
- *Among all problems of the target group, the innovation is addressing a priority problem*

2.3 score:

2.4 Can you distinguish segments of the target group for effective marketing of the innovation?

Considerations:
- *You know which parameters are relevant to distinguish segments in the target group*
- *Relevant characteristics of each segment of the target population are clear and useful for effective targeting*
- *Marketing channels are adjusted to each segment of the target group*

2.4 score:

Score referrals:

1 = No, this is very uncertain *OR* not enough information to answer

2 = Serious doubts

3 = Some doubts/unsure

4 = Quite confident

5 = Yes definitely, this is not an issue for my scaling case *OR* not applicable

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The Scaling Scan

Business cases

Average:

Answers/analysis

3.1 Are there viable business cases for the technology/ practice for all actors along the value chain?

3.1 score:

Considerations:
• *All value chain actors (e.g. farmers, service providers and agribusinesses) benefit from promoting the innovation*
• *Note: this benefit can be more than just profit it can also provide economic, social (status/ respect in community) and environmental benefit*

3.2 Is enough information available to continue developing and sharpening business cases for the technology/practice?

3.2 score:

Considerations:
• *Critical information for any business case involves at least:*
• *Competitiveness of proposition*
• *Demand/supply analyses • Cost/benefit analyses*
• *Market size and segments • Risks*

3.3 Do all value chain actors have a genuine interest to continue and improve the supply and use of the technology/practice?

3.3 score:

Considerations:
• *Improvement of supply and use of the technology/practice matches the vision and mission of each actor*
• *Value chain actors intensify the supply and use of the technology/ practice independent from project support*
• *Value chain actors replicate the business model to other clients, geographies and target groups*
• *Value chain actors are investing own resources in improving the technology/practice, for example to make it more context-specific*

3.4 Is the business climate conducive to the business cases of all actors?

3.4 score:

Considerations:
• *The business cases are robust enough to withstand potential market price fluctuations or other risks that might affect the attractiveness of the business cases*
• *Effects of crowding-in and competition will not directly affect the business cases in a negative way*
• *There is adequate regulation and governance of the market (e.g. on technical and business related matters) for value chain actors to pursue their business cases*

Score referrals:

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The Scaling Scan
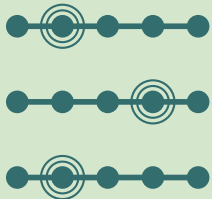
Value chain

	Average:

Answers/analysis

4.1 Can the value chain provide/enable the technology/practice with the right quality, in the right quantity, and in a timely manner?

Considerations:
• *Quality may be assured through standards, certification or other agreements*
• *Supply can keep up with demand at all times*
• *The necessary enabling and complementary services are available, accessible and affordable for the technology/practice to work*

4.1 score:

4.2 Are relations between the various actors in the chain adequately developed?

Considerations:
• *There are adequate (business to business) relations and transactions between all actors (from inputs to retailers) in the value chain*
• *There is an adequate power balance between all actors in the value chain*
• *There is a form of overarching (in-) formal governance of the value chain*

4.2 score:

4.4 Is the overall performance of the value chain conducive to scaling?

Considerations:
• *The value chain has growth potential, it has a good reputation and is attractive to investors and job seekers (skilled and unskilled) for example*
• *The necessary (rural) infrastructure (e.g. roads and markets) is in place and expanding to meet future needs*
• *The development of the value chain is not limited by trade barriers, market distortions (e.g. large scale fraud) or other contextual factors*
• *The value chain is sufficiently efficient and competitive in comparison with other value chains (nationally and internationally as far as relevant)*

4.3 score:

4.4 Are the target group and other value chain actors adequately organized?

Considerations:
• *The target group is organized in formal and informal ways such as farmer organizations, cooperatives, business associations, etc.*
• *Through (formal and informal) organization of value chain actors, input provision, marketing, access to services and bargaining power are benefiting from 'economies of scale'*
• *There is sufficient degree of organization/coordination across different types of value chain actors for adequate strategic direction and joint priority setting*

4.4 score:

100

Score referrals:

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The Scaling Scan

Finance

Average:

Answers/analysis

5.1 Can the target group finance the investment in, and operation of, the innovation?

Considerations:
- *The target group can afford the innovation with their own means or with affordable external sources of finance (such as micro-finance)*
- *The target group does not require subsidies / grants or other forms of financial support on which the target group remains dependent in the long term*
- *The target group can afford inputs and services related to operating the innovation in the intended way*

5.1 score:

5.2 Are relevant financial mechanisms available, accessible, and affordable for all value chain actors?

Considerations:
- *Financial mechanisms are adequately designed (e.g short repayment periods and low interest rates) and available for the target group*
- *The target group can get support in understanding and accessing financial products*
- *Relevant financial products are affordable and sustainable for all value chain actors*
- *Financial institutions are interested and engaged to (financially) support the value chain of the innovation*

5.2 score:

5.3 Is there sufficient and sustainable funding secured so that the scaling ambition can be achieved?

Considerations:
- *There is a clear vision on long-term funding of the scaling initiative, within and beyond the project lifetime*
- *Leadership of the scaling process actively raises funds to support the anticipated system change*

5.3 score:

5.4 Are financial risks acceptable for value chain actors and financial institutions/investors?

Considerations:
- *Financial institutions perceive the target group and value chain actors as creditworthy (e.g. applicant has collateral, performs well and is financially literate)*
- *Financial risks for value chain actors are clear and considered workable*
- *Financial products are available that can absorb or mitigate risks, such as guarantees or insurance products or in other ways*
- *There are ways to sufficiently enforce contract rights for all parties and arrange dispute settlement through the judiciary system or otherwise.*

5.4 score:

What is Scaling?

Using the Scaling Scan

Step 1: Scaling ambition

Step 2: Scaling ingredients

Step 3: Points of attention

Annex: Workshop Agenda

Annex: Rapid Scaling Scan

Annex: Overview of Tools

Annex: Sources

Knowledge and skills

Average:

Answers/analysis

17

6.1 Does the target group have the necessary knowledge and skills to use the innovation in the intended way?

Considerations:
• The target group knows how the innovation should be used
• The target group has the necessary skills to use it
• The target group can assess relevant background information

6.1 score:

6.2 Are appropriate training materials and methods available to allow the target group and other value chain actors to adopt and promote the innovation?

Considerations:
• Training materials and methods are available that help the entire target group adopt the innovation
• Training materials and methods are available that help all actors along the value chain promote the innovation
• Training materials and methods for the target group and other actors include topics that support adoption and promotion, such as organizational development, monitoring and learning, financial literacy, adult education, etc.

6.2 score:

6.3 Are the right actors engaged to provide and improve the training programs necessary for sustainable adoption of the innovation?

Considerations:
• The actors supporting capacity building are those that have the mandate and self-interest to implement and adapt the training curriculum
• The knowledge on the innovation is incorporated in programs of relevant knowledge/educational institutes
• Such programs support its practical application, also beyond the project

6.3 score:

6.4 Is there an institutional environment in which actors (such as knowledge institutes) develop and improve the technology/practice within the national and local system?

Considerations:
• Specialized local knowledge institutes can continue the development of the innovation
• Specialized local knowledge institutes can tailor the innovation to the local context
• (Non-) government organizations make resources available for continued development of the innovation in the local context

6.4 score:

Score referrals:

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The Scaling Scan

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The Scaling Scan

Collaboration

Average:

Answers/analysis

7.1 Are all actors relevant to scaling the innovation engaged?

Considerations:
- *The combination of the actors engaged is sufficiently complementary and does not leave major capacity gaps to achieve the scaling ambition*
- *The combination of actors engaged enables sustainability and further development of the innovation to fit the needs of the target group*
- *There is sufficient fit with the values, drivers, and objectives of all key actors that are involved in scaling the innovation*
- *Collaborating actors can operate at scale (e.g. they have and adequate/ sufficiently sizable reach, constituency, influence)*

7.1 score:

7.2 Are roles and responsibilities of key actors clear, accepted, and complementary?

Considerations:
- *The roles and responsibilities are sufficiently established and agreed to allow adequate progress*
- *There are mechanisms in place to hold collaborators accountable, solve conflicts and attribute successes*
- *All collaborating partners are engaged in a meaningful way*

7.2 score:

7.3 Are there effective networks or (sector) platforms for joint strategic direction-setting, advocacy, and creating buy-in?

Considerations:
- *The sector networks or platforms are needs based, inclusive of all relevant actors and consider the innovation relevant*
- *Without forcing consensus they produce meaningful joint understand- ing, direction and priority setting to propel the scaling process*
- *There are mechanisms through which joint lobbying for the innovation with politicians, policy makers, etc. can take place*

7.3 score:

7.4 Do you have effective links with parallel initiatives or policy processes that could serve to scale the innovation?

Considerations:
- *There are parallel initiatives which can be conducive and are comple- mentary to your scaling effort*
- *These initiatives are willing to link up or cooperate to coordinate efforts*
- *Your initiative has the position, capacities and practical manners to actively engage them*

7.4 score:

Score referrals:

1 = No, this is very uncertain *OR* not enough information to answer

2 = Serious doubts

3 = Some doubts/unsure

4 = Quite confident

5 = Yes definitely, this is not an issue for my scaling case *OR* not applicable

The Scaling Scan

Evidence and learning

Average:

Answers/analysis

8.1 Is there useful and credible data available on the impact and other parameters, which could help in understanding the scaling process?

8.1 score:

Considerations:
• *There is hard/quantitative evidence on the impact of the innovation and other relevant parameter*
• *Adequate information/ data/ evidence informs the development of the scaling strategy • Monitoring and evaluation goes beyond measuring the impact of the project, but also looks at the indirect effects and changes in the enabling environment for scaling*

8.2 Is effective use being made of modern data and IT tools to support, analyze, share, and promote the innovation and to drive the change process?

8.2 score:

Considerations:
• *Data collection is quickly converted to information that can be interpreted by a range of stakeholders immediately*
• *Effective IT or other tools are used to promote the innovation and build credibility among stakeholders*

8.3 Are data and monitoring (including bottom-up/field data) effectively being used to steer the scaling process and change course where needed?

8.3 score:

Considerations:
• *Data are collected in such ways that they enable a precise, regular/ frequent and rich enough information base to 'learn in action' and adjust the scaling process on the way.*
• *Strategic decisions are based on (field) data-*
• *Monitoring and learning results are systematically fed back to people that provided the data and to management*

8.4 Are you enabling institutional learning so the scaling process becomes more sustainable?

8.4 score:

Considerations:
• *Lessons learned through piloting and scaling of similar, or past, initiatives are integrated to have a state-of-the-art approach to scaling*
• *Not only the impact, but also the scaling pathway is actively being monitored • Regular reflection moments are scheduled with the scaling partners and inform institutional knowledge and learning*
• *Lessons learned on the influence of the enabling environment for adoption of the innovation are collected and used for influencing and advocacy*

Score referrals:

1 = No, this is very uncertain *OR* not enough information to answer
2 = Serious doubts
3 = Some doubts/unsure
4 = Quite confident
5 = Yes definitely, this is not an issue for my scaling case *OR* not applicable

The Scaling Scan
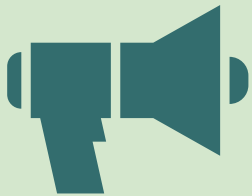
Leadership and management

Average:

Answers/analysis

9.1 Is day-to-day leadership of the scaling process adequately established, recognized, and connected to the relevant actors?

Considerations:
• *Leadership of the scaling strategy is established over the entire time frame of the scaling process*
• *The leadership has an adequate (in)formal mandate to take required decisions/actions • The leadership is recognized and respected by all actors • Scaling is considered a management issue and adequate resources for project and partner management are reserved*

9.1 score:

9.2 Are different actors and stakeholders sufficiently affecting the larger process and decision-making?

Considerations:
• *There is an organizational structure in place that facilitates feedback/ input from actors*
• *This feedback/input is actually influencing (strategic) decision-making in practice • There is sufficient transparency on changes in course to various actors at various levels*

9.2 score:

9.3 Are there adequate, influential and compelling spokespersons, messengers, conveners and power brokers for the innovation?

Considerations:
• *There is a strong and persuasive narrative about the relevance of reaching the scaling ambition that can lead to buy-in from more actors • There are influential actors (ambassadors) outside the partnership that promote the scaling initiative and who can be mobilized at crucial times*
• *There are mechanisms through which lobby with politicians for the innovation can adequately take place*

9.3 score:

9.4 Does the leadership support internal and external change management processes to achieve organizational/ institutional changes required?

Considerations:
• *Relevant actors realize that sustainability and scaling of the innovation may require system changes that also imply changes in the way organizations function • The organization(s) leading the scaling effort is ready to change structure, staffing or operations to effectively pursue the scaling ambition*
• *Moreover, leadership supports partners and other key actors to do the same and prepare their organization for the change*

9.4 score:

Score referrals:

1 = No, this is very uncertain *OR* not enough information to answer

2 = Serious doubts

3 = Some doubts/unsure

4 = Quite confident

5 = Yes definitely, this is not an issue for my scaling case *OR* not applicable

The Scaling Scan

Public sector governance

Average:

Answers/analysis

10.1 the role of the government in reaching your scaling ambition clearly defined?

Considerations:
• *An assessment is done on whether, when and how the government could support or frustrate the scaling of the innovation*
• *A supportive role of the government in achieving the scaling ambition is recognized, respected and actively pursued, also by private actors*
• *The project has effective ways of working with relevant parts/levels of the government*

10.1 score:

10.2 Are local and national strategies, policies and regulations conducive to scaling the technology/ practice?

Considerations:
• *The area, people, problem, timelines and system change targeted in the scaling ambition matches with the priorities of the national and local government*
• *There are (technical) regulations, standards and/or prescriptions in place conducive to scaling the innovation*

10.2 score:

10.3 Are government agencies actively supporting scaling the innovation?

Considerations:
• *Government agencies recognize the value of the innovation and support its promotion*
• *Government agencies invest in and implement programs that aim to achieve a similar change in the sector and/or the entire system*
• *Government agencies are truly committed to support the project to reach the scaling ambition by providing backing, in-kind contributions and/or co-financing*

10.3 score:

10.4 Are relevant government financing mechanisms (such as subsidies or tariffs) smart and can they be applied to benefit scaling the innovation?

Considerations:
• *Subsidies or tariffs are sufficiently sustainable and reliable over time*
• *They are well targeted and not only to selected market actors*
• *They do not cause market distortions (such as monopolies)*

10.4 score:

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Overall results step 2

Draw your bar chart with the average score per ingredient here, or copy –paste it from the Excel version of the tool[7].

	Technology Practice	Awareness & Demand	Business cases	Value Chain	Finance	Knowledge & Skills	Collaboration	Evidence & learning	Leadership & Management	Public Sector Governance
5										
4										
3										
2										
1										

Did you have **enough information or knowledge** to give a satisfactory answer to all the questions? If not, please note down where you need to do more research.

7] The Excel version of the Scaling Scan can be downloaded at
https://ppplab.org/topic/scaling/

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Step 3: Identify points of attention for your scaling strategy

This step involves interpreting the results of step 2 and prioritizing what should be addressed in the scaling strategy.

3a. Interpretation of results Step 2

Have a look at the bar chart from step 2. Please reflect on the following:
• If the average scores are generally high (>3), you are optimistic that you will reach your scaling ambition in the given time and place. You may be well prepared to go to scale and/or operate in a conducive enabling environment. Or, you might want to be more ambitious in setting your targets and boundaries.
• Similarly, if the average scores are generally low (<3), you may have to overcome several challenges to reach your scaling ambition, if it is not too ambitious in the first place.

5 — Well-prepared to scale conducive enabling environment. Can be more ambitious?

4

3

2

1 — Significant challenges to reach ambition. Too ambitious?
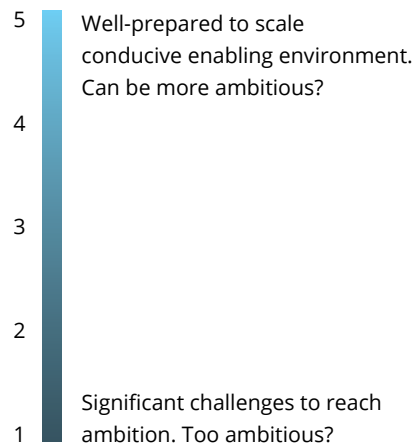
3b. Key challenges

• Look at the three lowest scoring ingredients. What particular questions scored lowest? Why do you think this question might make reaching your scaling ambition difficult? Reading through the "considerations" of those questions might help you.
• What other questions stood out for you? Do they stand out because they scored very low, or because they are very important in your context?

Based on this, write down the 3-5 key challenges for reaching your scaling ambition:

Facilitation tip 1:
If you worked in a team where the bar chart represents the average assessment score of several people, please check which questions had the most divergent scores.[7] Discuss with the team where you disagreed most and where everybody seemed to agree. Can any more challenges for your scaling ambition be derived from this?

Facilitation tip 2:
When a problem presents itself, there is a tendency for people to keep working on what they are already doing without seeing that the biggest problem might be somewhere else. It is like working on a very good engine for a car that has only three wheels. This principle of the weakest link can be visualized by having workshop participants draw a barrel. The lowest scoring ingredient represents

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8] Experienced users of Excel might want to use the option to add the standard deviation to the bar chart to see the deviations from the mean.

Good to know:

Depending on your scaling ambition, you might want to collaborate with stakeholders that have the following characteristics:
• Large geographic coverage
• Large reach among the target group
• Vision, mission and/or other incentives aligned with the project objective
• Strong influence, convening and convincing capacity in sector
• Strong technical capacity, representing state-of-the-art in the sector
• Complementary skills, knowledge and experience to the project leadership
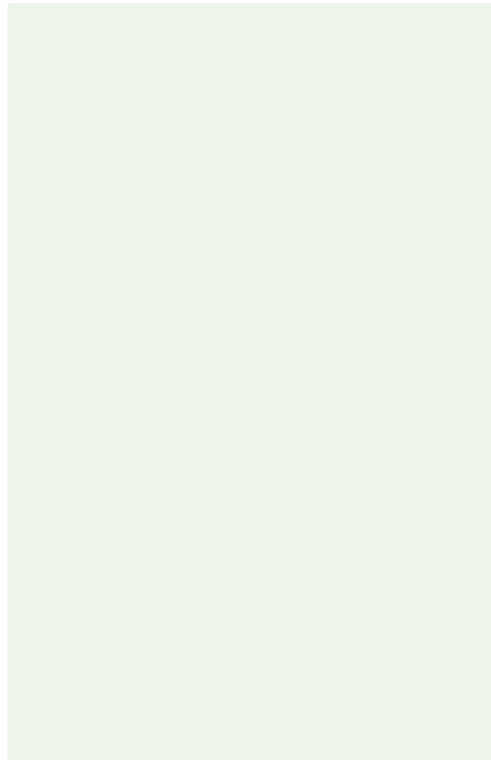
The Scaling Scan

3c. Key elements of the scaling strategy

You have identified key challenges that cannot be ignored. Tackling them should be an important part of your strategy to reach your scaling ambition. In this Step 3c we are going to assess the strengths of the project, the landscape for collaboration and the opportunities and limitations the context offers. We will summarize this in the Table below.
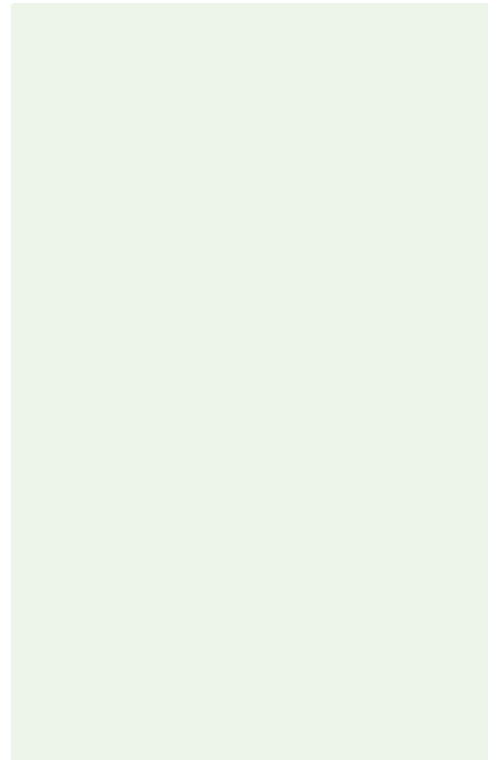
1. Using strengths: The scaling ingredients affect each other, just like ingredients in a soup do. Let's see if you can benefit from the following exercise:

• Examine (at least) the 2-3 strongest ingredients and assess what is going particularly well with these ingredients. How can the strengths from one ingredient contribute to tackling the key challenges identified in other ingredients?
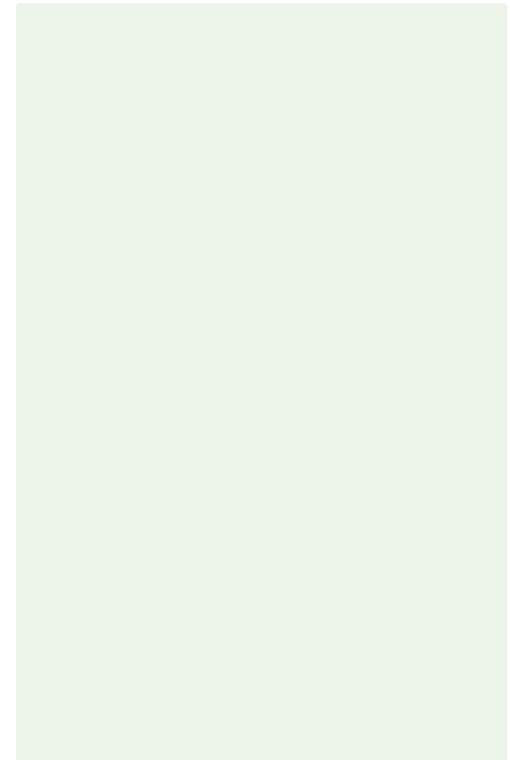
Strong ingredient 1:

Strong ingredient 2:

Strong ingredient 3:

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2. Dealing with challenges: Please fill the Table with activities that should be part of your strategy to overcome the key challenges. Consider actions in three degrees of control/influence:

• **Project control:** Consider current human and financial resources, the strengths of the initiative and things that the project can do.
• **Collaboration:** Broker relationships with organizations and support them in achieving the desired change. See the box "Good to know - good partners for scaling."
• **No influence:** Although often neglected, many key challenges for scaling often fall outside the project's sphere of influence, such as natural disasters or political unrest.

Key challenges (Step 3b)	Project control — What can the project team and consultants do?	Collaboration — What can collaboration with others do?	No influence — Factors on which the project and partners have no/little influence

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Summary results step 3
Are you confident you can reach your scaling ambition?
If your answer is:

• **YES**, then make sure that the key challenges and associated activities to overcome them become the core of your implementation strategy. Good luck!

• **NO**, then review your scaling ambition so that it fits the human and financial resources, context and landscape for collaboration.

• **MAYBE**, then you may want to review your scaling ambition and/or assess whether you might benefit from more **specialized tools** designed to deal with particular challenges.

Annex 3 gives an overview of recommended tools for each ingredient. What tools would you like to explore?

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Annex 1: Suggested workshop agenda for using the Scaling Scan

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Scenario 1 - Beginners:
Group of project staff and collaborators (10-20) that may not necessarily have the authority to change project direction and priorities. They work in their specific field of expertise and might not be very familiar with fields of expertise other than their own.

Scenario 2 - Quick advanced:
The same group as under scenario 1, but this is not the first time they have used the Scaling Scan - for example, they are using it at annual review meetings. Alternatively, it is a small group (1-5) that has very little time and just wants to do a rapid scan. They will use the Rapid Scaling Scan from Annex 2.

Scenario 3 - Advanced:
Advanced group with people (5-10) that are familiar with scaling principles and have a good understanding of the fields of expertise covered by the scaling ingredients. In addition, they have knowledge and control over the project resources and all activities. If this is not the case, please take more time; for example, in Step 2 explain the content of each ingredient in more detail, or go through the questions and considerations together as a group.

Topics	Scenario 1 - Beginners 11 hours		Scenario 2 - Quick advanced, 2 hours		Scenario 3 - Advanced, 6.5 hours	
Intro and participants	**60 min**	Overview of expertise and roles represented in the room, ice-breakers, etc.	**2 min**		**15 min**	Overview role/expertise participants in project
Intro to scaling	**60 min**	PPT, discussions, visualizations	**8 min**	Review of key principles	**30 min**	PPT and discussion
Step 1a: Scaling ambition	**180 min**	Guide participants through, explain with PPT each sub-question	**20 min**	Annex 2, review scaling ambition	**120 min**	Overview role/expertise participants in project
Step 1b and 1c: System and responsibility check	**60 min**	Focus on understanding of system dimension and trade-offs	**20 min**	Annex 2	**60 min**	
Step 2: Scaling ingredients	**120 min**	Introduce each ingredient, support by answering questions. Draw barrel	**30 min**	Annex 2: Score ingredients only	**90 min**	Individual or groups start answering questions without support
Step 3: Points of attention	**120 min**	Explain each step in detail. Explain other tools (Annex 3)	**30 min**	Annex 2	**60 min**	
Closing: Lessons learned	**60 min**	Agreements on follow up. Discuss relevance of tool	**10 min**	Discuss if necessary to do full Scaling Scan again	**15 min**	Agreements on follow up

Annex 2: Rapid Scaling Scan

The Rapid Scaling Scan is designed to quickly get an overview of the status of your scaling initiative. It is used to flag issues that need further investigation for example through the application of the full Scaling Scan or by using some of the tools from Annex 3. This Rapid Scaling Scan is useful when project managers have very little time, want to get a first impression of the usefulness of the Scaling Scan or when they are very familiar with the Scaling Scan and want to have a quick status update, for example as part of annual planning meetings.

Quick-step 2: Strengths/weaknesses of your initiative and opportunities/challenges in the system that need to be part of the scaling strategy:

Scaling ingredient

1.   Technology
1.1   Is your innovation relevant to your target group?
1.2   Does the innovation have a comparative advantage over existing alternatives?
1.3   Is the innovation easy to adopt?
1.4   Is the innovation compatible with local circumstances and preferences?

2.   Awareness and demand
2.1   Do important stakeholders recognize that a new technology/practice is necessary and desirable?
2.2   Does the target group have access to information about the innovation and are there effective communication channels?
2.3   Do you have evidence that demand for the innovation is real and growing as anticipated?
2.4   Can you distinguish segments of the target group for effective marketing of the innovation?

3.   Business cases
3.1   Are there viable business cases for the technology/practice for all actors along the value chain?
3.2   Is enough information available to continue developing and sharpening business cases for the technology/practice?
3.3   Do all value chain actors have a genuine interest to continue and improve the supply and use of the technology/practice?
3.4   Is the business climate conducive to the business cases of all actors?

4.   Value chain
4.1   Can the value chain provide/enable the technology/practice with the right quality, in the right quantity, and in a timely manner?
4.2   Are relations between the various actors in the chain adequately developed?
4.3   Is the overall performance of the value chain conducive to scaling?
4.4   Are the target group and other value chain actors adequately organized?

Quick-step 1: Scaling ambition: Make sure to describe - the what? For whom? With whom? By when? How much? Where? And why? - you want to scale:

Overall score for ingredient (1 - 5)	Strengths/ opportunities	Weaknesses/ challenges

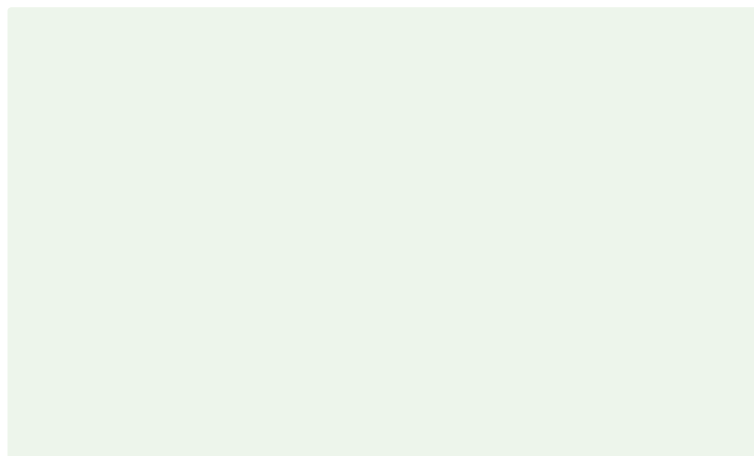| Scaling ingredient	Overall score for ingredient (1 - 5)	Strengths/ opportunities	Weaknesses/ challenges
5. Finance			
5.1 Can the target group finance the investment in, and operation of, the innovation?			
5.2 Are relevant financial mechanisms available, accessible, and affordable for all value chain actors?			
5.3 Are financial risks acceptable for value chain actors and financial institutions/investors?			
5.4 Is there sufficient and sustainable funding secured so that the scaling ambition can be achieved?			
6. Knowledge and skills			
6.1 Does the target group have the necessary knowledge and skills to use the innovation in the intended way?			
6.2 Are appropriate training materials and methods available to allow the target group and other value chain actors to adopt and promote the innovation?			
6.3 Are the right actors engaged to provide and improve the training programs necessary for sustainable adoption of the innovation?			
6.4 Is there an institutional environment in which actors (such as knowledge institutes) develop and improve the technology/practice within the national and local system?			
7. Collaboration			
7.1 Are all actors relevant to scaling the innovation engaged?			
7.2 Are roles and responsibilities of key actors clear, accepted, and complementary?			
7.3 Are there effective networks or (sector) platforms for joint strategic direction-setting, advocacy, and creating buy-in?			
7.4 Do you have effective links with parallel initiatives or policy processes that could serve to scale the innovation?			
8. Evidence and learning			
8.1 Is there useful and credible data available on the impact and other parameters, which could help in understanding the scaling process?			
8.2 Is effective use being made of modern data and IT tools to support, analyze, share, and promote the innovation and to drive the change process?			
8.3 Are data and monitoring (including bottom-up/field data) effectively being used to steer the scaling process and change course where needed?			
8.4 Are you enabling institutional learning so the scaling process becomes more sustainable?			
9. Leadership and management			
9.1 Is day-to-day leadership of the scaling process adequately established, recognized, and connected to the relevant actors?			
9.2 Are different actors and stakeholders sufficiently affecting the larger process and decision-making?			
9.3 Are there adequate, influential and compelling spokespersons, messengers, conveners and power brokers for the innovation?			
9.4 Does the leadership support internal and external change management processes to achieve organizational/institutional changes required?			
10. Public sector governance			
10.1 Is the role of the government in reaching your scaling ambition clearly defined?			
10.2 Are local and national strategies, policies and regulations conducive to scaling the technology/ practice			
10.3 Are government agencies actively supporting scaling the innovation?			
10.4 Are relevant government financing mechanisms (such as subsidies or tariffs) smart and can they be applied to benefit scaling the innovation?			

Quick-step 3: Points of attention scaling strategy

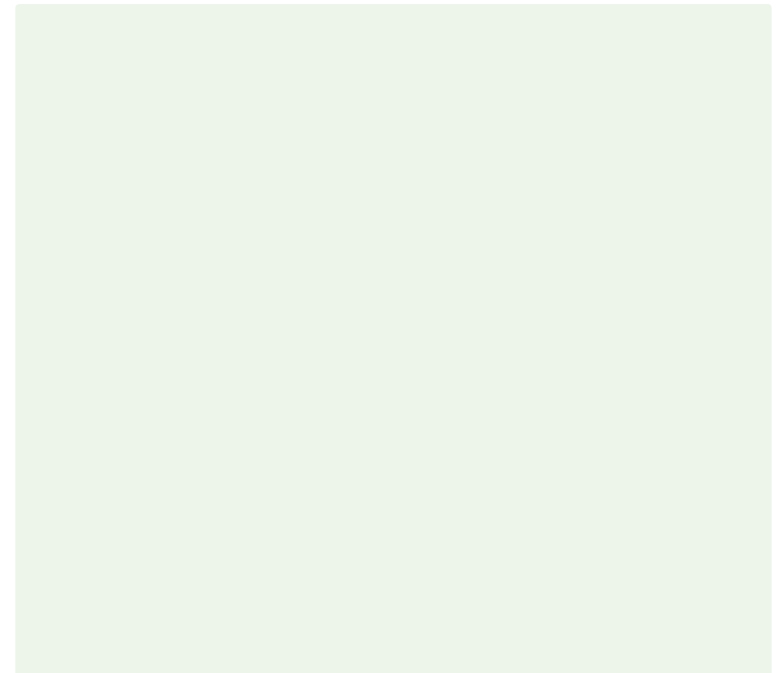**3.1** What are your key challenges for reaching your scaling ambition?

3.2 Can you do something about these key challenges? If yes, how can you use project resources and/or collaboration to do so? Also think of strong ingredients and how you can use these to address the challenges.

3.3 Are you confident you can reach your scaling ambition?

If your answer is:
- **YES,** then make sure that the key challenges and associated activities to overcome them become the core of your implementation strategy. Good luck!
- **MAYBE,** then you may want to review your scaling ambition and/or assess whether you might benefit from more specialized tools designed to deal with particular challenges. Annex 3 gives an overview of recommended tools for each ingredient. What tools would you like to explore?

- **NO,** then review your scaling ambition so that it fits the human and financial resources, context and landscape for collaboration.

In any case, we recommend to do to the full scaling scan to feel more comfortable with the outcome.

Annex 3: Overview of tools to support you further in strengthening your scaling strategy

Scaling is complex and dealing with this complexity requires having a basic understanding of certain concepts. Here and there you may need to refresh or deepen your knowledge, because you are not able to answer a question adequately, or because you identified that issue as a key challenge and your strategy needs to address this the best way possible. Below we provide a list of recommended tools per step. The list is not exhaustive and you are encouraged to use the tools you are comfortable with.

Tools and methods to help with Step 1: formulating the scaling ambition

- **FarmDESIGN by Wageningen University:** Farm DESIGN is a product of the Farming Systems Ecology group (FSE) of Wageningen University, which uses multi-criteria assessment to select farming types that provide the largest benefits and minimum trade offs. See: https://sites.google.com/site/farmdesignmodel/download

- **ADOPT by CSIRO:** ADOPT (Adoption and Diffusion Outcome Prediction Tool) is an MS Excel-based tool that evaluates and predicts the likely level of adoption and diffusion of specific agricultural technologies and practices, with a particular target population in mind. See: https://research.csiro.au/software/adopt/

- **Typology construction, a way of dealing with farm diversity by the CGIAR research program on Integrated Systems for the Humid Tropics.** The typologies tool responds to questions that require taking into account the agricultural heterogeneity within a region. This document provides a stepwise approach to construct typologies. See: http://humidtropics.cgiar.org/wp-content/uploads/downloads/2015/04/Typology-guidelines_v2.pdf

- **The Futures Toolkit by Waverly Consultants.** The "Futures Toolkit - tools for Futures Thinking and Foresight Across UK Government" provides an introduction to future thinking and examines some of the important design questions that policy makers need to consider when introducing it into the policy process. The tools are organised according to their primary purpose – gathering intelligence about the future, exploring the dynamics of change, describing what the future might be like and developing and testing policy and strategy – and each procedure is set out in detail. See: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/674209/futures-toolkit-edition-1.pdf)

- **Toolbox for System Thinkers by Disrupt Design.** Disrupt Design shares the key insights and tools needed to develop and advance a systems mindset for dealing with a complex problem See: https://medium.com/disruptive-design/tools-for-systems-thinkers-the-6-fundamental-concepts-of-systems-thinking-379cdac3dc6a

- **Toolbox on System Thinking by Pegasus Communications.** The booklet provides a basic introduction to the various tools of systems thinking that have been developed and used over the last 50 years. See: https://thesystemsthinker.com/wp-content/uploads/2016/03/Systems-Thinking-Tools-TRST01E.pdf

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Scaling ingredient	Suggested tools
Technology/practice	• **ADOPT by CSIRO: ADOPT** (Adoption and Diffusion Outcome Prediction Tool) is an MS Excel-based tool that evaluates and predicts the likely level of adoption and diffusion of specific agricultural technologies and practices, with a particular target population in mind. See: https://research.csiro.au/software/adopt/
Awareness and demand	• An **overview of survey and statistical approaches to demand forecasting** is provided here: http://www.economicsdiscussion.net/demand-forecasting/techniques-of-demand-forecasting-survey-and-statistical-methods/3611
Business case	• The **Business Model Canvas by Alexander Osterwalder** is a strategic management template for developing new or documenting existing business models. It is a visual chart with elements describing a product's value proposition, infrastructure, customer, and finances. See for example: https://strategyzer.com/canvas/business-model-canvas • The **PPPCanvas by PPPLab** is a tool that can be used to analyze the business model of a PPP, including what value is being delivered, how partners aim to deliver this value and to whom exactly. Like the Business Model Canvas, it helps to visualize, design and pivot a business model. See: https://ppplab.org/2017/11/pppcanvas/ • The **NGO Capability Scan by PPPLab** helps to identify the internal capabilities an NGO has or should have to contribute to creating strong business initiatives with explicit social objectives embedded. The tool also serves as a good baseline and/or progress measurement tool in organizational development tracks in the field of inclusive business. See: https://ppplab.org/2017/11/the-ngo-capability-scan/ • The **Company Capability Scan by PPPLab** helps to uncover the internal capabilities a company has or should have to become successful in developing markets. See: https://ppplab.org/2017/11/the-company-capability-scan/ • **Creation of Competence for Competition (C3) method - Private Sector Manuals by GFA Consulting Group GmbH.** Focus on startup entrepreneurs or owners of micro, small, and medium-sized enterprises (MSMEs) as well as change agents within institutions or companies who provide MSMEs with financial or other services. See: http://www.c3-training.de/index_products_3670461.html
Value chain	• **ValueLinks by International ValueLinks Association e.V.** is intended for use by development projects or by public agencies promoting specific agribusiness, handicraft or manufacturing sub-sectors of the economy. It has no specific sectoral focus. However, the emphasis is on those product markets that offer opportunities for the poor. See: http://valuelinks.org/manual/ • **M4P by Springfield** is designed to tackle market failures and strengthen the private sector in a way that it creates large-scale, lasting benefits for the poor. See: https://www.enterprise-development.org/wp-content/uploads/m4pguide2015.pdf
Finance	• **The PPP Financing Tool by PPPLab** helps in developing, reviewing or sharpening a finance strategy for a Public-Private Partnership. It assists in analysing financing needs and bottlenecks and in reviewing a range of financing options. It aims at broadening the view of the users, helping to be more creative and to open opportunities for smart combinations of financing streams. See: http://valuelinks.org/manual/ • **Creation of Competence for Competition (C3) method by GFA Consulting Group GmbH.** C³ CREDIT has been designed for loan officers and other bank staff involved in credit appraisals and monitoring. See: http://www.c3-training.de/index_products_3670461.html

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Scaling ingredient	Suggested tools
Knowledge and skills	• **CapacityWORKS by GIZ.** The CapacityWORKS toolbox: Success Factor- Learning and Innovation provides an overview of tried and tested approaches and an extensive toolbox to deal with complex cooperation systems. See: https://www.giz.de/expertise/html/4620.html (not open source)
Collaboration	• **CapacityWORKS by GIZ.** The CapacityWORKS toolbox: Success Factor- Learning and Innovation provides an overview of tried and tested approaches and an extensive toolbox to deal with complex cooperation systems. See: https://www.giz.de/expertise/html/4620.html (not open source) • **Partnering Process Tool by PPPLab:** an interactive tool that provides a starting point for improving your internal partnering process, with the expectation that working together effectively will also help your partnership deliver better on agreed goals and objectives. See: https://ppplab.org/2017/11/the-partnering-process-tool/ • **The Partnership Assessment Tool by the Strategic Partnering Taskforce** provides a simple, quick and cost-effective way of assessing the effectiveness of partnership working. It enables a rapid appraisal (a quick 'health check') which graphically identifies problem areas. See: https://www.ppplab.org/wordpress/wp-content/uploads/2016/03/Hardy-ea-2003-Assessing-Strategic-Partnership.pdf • **The Partnering Toolbook by the Partnering Initiative** offers a concise overview of the essential elements that make for effective partnering. See: https://thepartneringinitiative.org/publications/toolbook-series/the-partnering-toolbook/ • **The Brokering Guidebook by the Partnering Initiative** outlines and supports in practical ways the many tasks that a broker may undertake on behalf of partners during the life-cycle of a partnership – for the benefit of those currently operating as brokers in multi-sector partnerships for sustainable development. See: https://thepartneringinitiative.org/publications/toolbook-series/the-brokering-guidebook/ • **The Multistakeholder Partnership Tool Guide by the Wageningen University & Research CDI** contains 60 tools to facilitate multi-stakeholder partnerships. See: http://www.mspguide.org/resource/msp-tool-guide • **The Partnership Learning Loop by Rita Dieleman and Helga van Kampen** is an online interactive tool that provides insight in how a partnership functions in reality, whether it responds to needs and how it evolves over time. See: http://www.learningloop.nl/
Evidence and learning	• **CapacityWORKS by GIZ.** The CapacityWORKS toolbox: Success Factor- Learning and Innovation provides an overview of tried and tested approaches and an extensive toolbox to deal with complex cooperation systems. See: https://www.giz.de/expertise/html/4620.html (not open source) • **The partnering assessment tool of MS Platforms** helps to assess the effectiveness of (multi-stakeholder) partnerships/platforms. See: www.msplatforms.org

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Scaling ingredient	Suggested tools
Leadership and management	• **Scaling up – from vision to large-scale change.** Tools and Techniques for Practitioners by MSI provides a set of tools, guides, and techniques developed and refined through field experience to provide practical help in applying the MSI's framework of conceptual steps and broad tasks in scaling up. See: http://www.msiworldwide.com/wp-content/uploads/MSI-Scaling-Up-Toolkit.pdf
Public sector governance	• **Partnering with Governments tool by PPPLab** helps to understand the roles and challenges of enhanced partnership with governments, and their motivations and interests to partner, for stronger and more sustainable PPPs. See: • **Creation of Competence for Competition (C3) method - Public Sector Manuals by GFA Consulting Group GmbH.** Focus to enable civil servants and public employees to deliver better public services. http://www.c3-training.de/index_products_3670461.html • **The Partnering with Government Navigator by the Partnering Initiative** outlines a selection of key issues for consideration when working with public sector partners and shares pointers for reflecting upon and addressing these. See: https://thepartneringinitiative.org/publications/toolbook-series/the-partnering-with-governments-navigator/

Tools and methods to help with Step 3: The scaling strategy

• **Using a Theory of Scaling to guide decision making by S. Wigboldus and J. Brouwers.** Booklet providing guidance on formulating a "Theory of Scaling". Full title: Wigboldus, J., Brouwers J. (2016): Using a Theory of Scaling to Guide Decision Making: Towards a structured approach to support responsible scaling of innovations in the context of agrifood systems. Wageningen University and Research. See: www.theoryofchange.nl/resource/using-theory-scaling-guide-decision-making

• **Nine-Step Guide and Worksheets for Developing a Scaling-up Strategy by ExpandNet/WHO** assists program managers, technical assistance personnel, researchers and policy makers with the process of developing a scaling-up strategy. See: http://www.expandnet.net/PDFs/ExpandNet-WHO%20Nine%20Step%20Guide%20published.pdf.

• **"Beginning with the end in mind: Planning pilot projects and other programmatic research for successful scaling up" by ExpandNet/WHO** provides 12 recommendations and a checklist to help build scaling up considerations into projects from the outset. See: http://www.expandnet.net/PDFs/ExpandNet-WHO%20-%20Beginning%20with%20the%20end%20in%20mind%20-%202011.pdf.

What is Scaling?

Using the Scaling Scan

Step 1: Scaling ambition

Step 2: Scaling ingredients

Step 3: Points of attention

Annex: Workshop Agenda

Annex: Rapid Scaling Scan

Annex: Overview of Tools

Annex: Sources

Sources and recommended reading

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FOOD & WATER

In cooperation with

CIMMYT MR
International Maize and Wheat Improvement Center

The Scaling Scan was developed by PPPLab and the International Maize and Wheat Improvement Center (CIMMYT) in 2017. It was tested in workshop settings in the Netherlands, Mexico, Kenya, India and Nepal with project managers, scientists, agricultural extension agents and other development practitioners working in the agrifood and rural water supply sectors.
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