

# THE SCALING SCAN

3rd edition

A practical tool to determine opportunities and challenges to sustainably scale innovations



In collaboration with:



INITIATIVE ON  
Low-Emission  
Food Systems



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## Introduction: What is scaling?

Scaling of innovations for the public good is a deliberate and planned effort to enable the use of innovations to have a positive impact for many people across broad geographies. With only a few years remaining to achieve the Sustainable Development Goals (SDGs) it is important that governments, private sector and others are successful in scaling. But, research shows that few innovations scale and that positive effects at small scale (for example in pilot projects) nearly never hold at the large scale, in any sector! Furthermore, scaling has the potential to make things even worse. People persistently assume everything can and should scale, that others will continue scaling once the project ends and that a successful pilot is a guarantee for success at scale. Wrong!

We need to get better at scaling by integrating these five basic lessons:



**Change our mindset** and think of scaling as a means to an end, as a process. High adoption is irrelevant if it does not lead to sustained positive change for people and the environment.



**Context matters-** scaling depends much more on an enabling environment (supportive political, social, business conditions as well actor dynamics) than on the qualities of the innovation.



**Improving the enabling environment** is an integral part of any scaling initiative.



**Scaling is not a linear process**, it happens in phases, and different skills, capacities and networks are required to navigate through each phase.



**Scaling is not always good.** We need to be responsible for making large changes and consider unintended consequences on social and environmental issues.

## Why the Scaling Scan?

The first edition of the Scaling Scan was designed in 2017 to integrate the five basic scaling lessons. The Scaling Scan is an assessment tool for individuals and groups to explore what is required to scale an innovation in a specific context, the implications this has for project management and collaborations, and the potential trade-offs on the environment and social dynamics. It is freely available at [www.scalingscan.org](http://www.scalingscan.org) in English, French and Spanish and is designed in a user-friendly way so a broad range of local and international stakeholders can make sense of scaling in their context. This 3rd edition better integrates key considerations for social inclusion (to “leave no one behind”) and for environmental protection (to “do no harm”), and provides better guidance on using the outputs to develop a scaling strategy, as compared to the previous editions.

## Who is the Scaling Scan for?

The Scaling Scan is designed for anyone involved in supporting sustainable change at scale. Project coordinators, managers, and teams who direct project resources and priorities will be those most able to take advantage of the tool. We highly recommend involving a diverse set of stakeholders for richer and more deliberate choices on what needs to be addressed and done to achieve the scaling ambition.

The Scaling Scan is used to:

- **facilitate** discussion and develop capacities on scaling of project teams and their partners;
- **help** plan a realistic, context-specific and responsible scaling ambition for a technical process or organizational innovation;
- **rapidly scan** for bottlenecks and opportunities of a scaling initiative and generate immediate information to adjust strategies or identify needs for new collaborations;
- **identify** if project proposals, implementation plans, and evaluations address important scaling elements.



### Facilitation tip:

Apply the Scaling Scan as part of annual project review meetings with the implementation team to monitor changes in scalability over time

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# Using the Scaling Scan

## When?

The Scaling Scan can be used at any stage of the project cycle, to develop a proposal, and to make a gap analysis of a project under implementation. It assesses if the project addressed key issues for scaling. Ideally, you have a clear idea of the specific innovation to scale, and you have done basic stakeholder analysis to know who should participate in the Scaling Scan workshop. If not, refer to **Annex 4** to apply additional tools and frameworks to fill these knowledge gaps.


## Limits


The Scaling Scan is a “scan”, it was not designed to:


- scale a project or program, instead it focuses on a specific innovation;
- deliver a project implementation strategy for impact at scale, instead it identifies key issues for scaling that should be incorporated in your implementation strategy;
- give exact answers, instead it is based on experiences and outputs depend on who is participating in the Scaling Scan;
- be an all-encompassing tool, instead Annex 4 provides links to other tools that can strengthen your scaling case.

## How to use this workbook?

This workbook guides you through the steps of the Scaling Scan.

 **Step 1:** Develop a scaling ambition.

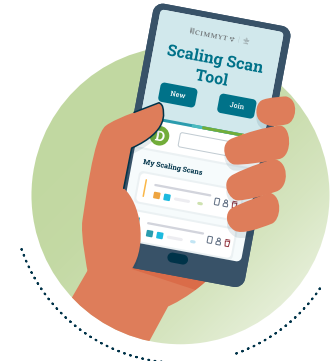
 **Step 2:** Score the scaling ingredients.

 **Step 3:** Opportunities and challenges for scaling.

The Scaling Scan is an iterative process as you may find your scaling ambition needs to be adapted after steps 2 or 3. Users can fill in their responses in the printed or pdf version of the workbook, or use the digital version of the tool.

Each step contains tactical questions, sometimes accompanied by considerations to help you reflect on the question or to get inspired. Not all considerations may be relevant to your situation.

Although the Scaling Scan can be used individually, the questions stimulate discussions which are best addressed in a moderated workshop setting. **Tips** for effective facilitation appear throughout this document. Depending on the workshop setting and objectives, it may take anywhere from three hours to three days. **Annex 1** includes a suggested agenda for such workshops. **Annex 2** contains an extended version of the Scaling Scan, including additional considerations to help answer the tactical questions of the scaling ingredients. There is a **rapid version of the Scaling Scan** available on [www.scalingscan.org](http://www.scalingscan.org) which takes about 30 minutes.



### Facilitation tip:

The questions in the Scaling Scan are fairly generic and apply to a wide range of innovation types and circumstances. There have been occasions where project leaders skipped or changed questions to better suit a specific project context, primarily to “focus on ingredients that are important to the project”. We urge against doing so because, first, project leaders may be surprised at what the rest of the team finds important, and second, the strength of the tool is also in revealing what you don’t know by requiring users to go systematically through ingredients that they are (un-)familiar with. If you want to make changes, we recommend doing so in the Excel file that was developed for the automatic scoring of Step 2 (see Step 2).

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## The Scaling Scan

**Step 1:**

**Develop a scaling ambition**



**Innovation X Context**  
**Responsibility check**

**Step 2:**

**Score the scaling ingredients**



**Assessment of the enabling conditions to scale**

**Step 3:**

**Opportunities and challenges for scaling**



**How, and with whom, to overcome bottlenecks?**  
**Tips and links to other tools**

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# Step 1: Develop a scaling ambition

The scaling ambition briefly describes what you want to scale and for whom, where, when, how many, by whom, and why. It puts an innovation (what to scale) in a context (where, for whom, by whom). After all, context matters maybe even more than the qualities of the innovation. The goal is to draft a large-scale vision of change that will be scrutinized for practicality and responsibility in subsequent steps.

## Step 1a: Draft a 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 you can be about the boundaries the easier it is to assess if reaching the scaling ambition is realistic.



**Facilitation tip:**

Some users of the Scaling Scan find it useful to start with a root cause analysis to assess what key problem should be solved (“why”) and (pre-)select the most promising innovation that can address the problem at scale (the “what”), and/or brainstorm among users on a vision of success, either with a small leadership group or in plenary, before starting with step 1.

**We want to scale...**

**Considerations**

**Response**

**For Whom?**

What groups of people are you targeting with the innovation?

- Have you considered social differences while deciding on your target group for scaling? The benefits and risks of an innovation may differ for women and men and be exacerbated based on class, ethnicity, age for example.
- What groups are you not targeting and why? Who might be the “losers” of this innovation who may be left out or disadvantaged unintentionally?
- Instead of targeting end-users directly, have you considered targeting consumers, policy makers and/or intermediaries who may create strong demand and reach end-users through their own resources?

**The target group is:**

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**Why?**

What persistent development problem are you addressing?

- Are the needs and demands of your target group clear?
- Are you contributing to a “larger” shared problem such as local, national, or international policies or action plans on the Sustainable Development Goals, gender, climate change?

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

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**Good to know:**

Be clear about the “Why?”. The objective is not to scale an innovation, but to address a larger development outcome. Collaborators are unlikely to be as passionate as you about your innovation, they may be more inclined to work together towards a common goal.

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## We want to scale...

## Considerations

## Response

### What?

What innovation (e.g., technology or practice) do you want to scale?

- Do you have a high level of expertise and experience with the innovation regarding how it performs under diverse circumstances (users, contexts, etc.)?
- Is there enough credible evidence from the pilot phase that the innovation visibly and directly responds to the target groups needs and contributes to the persistent development problem when applied at large scale?
- The innovation is intuitively scalable by being affordable and accessible, and that there is already an interest by important (local) public and private stakeholders to support the scaling process, for example.

### The innovation is:

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### Where?

What intervention area (region, country, etc.) are you targeting for scaling the innovation?

- What geographic, agro-ecological and/or social (i.e. pastoralist vs sedentary, highlands vs lowlands, etc.) boundaries are you considering?
- Note that scaling can be about geographic expansion but also about more/different target population in the same geography. And scaling can have effects on social geographies that are not primarily targeted
- Are social dynamics where you plan to scale the same as where you piloted? If not, do you have to invest in addressing gender sensitive norms, or improving service providers and institutions, for example?

### The intervention area is:

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### How many?

How many people/communities/etc. do you want to reach?

- Do you know the total size of the target group, and what percentage is reached (the number of people currently using the innovation in the intervention area) to date?
- What is a reasonable target size of people you want to reach? Projects may want to reach a critical mass of about 25% of total potential users after which scaling tends to become easier.
- Note that marginalized groups often have added challenges adopting innovations because they often lack access and information.

### Size of the target group aimed for:

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### Good to know:

The scaling ambition goes beyond the boundaries (time, space, resources) of a single project and serves as a guiding star for a series or sequence of projects and interventions, of many stakeholders, so be bold!



### Good to know:

Working on many innovations and not sure which one to focus on first? Try the rapid scaling scan (Annex 3) to quickly assess which one has most potential for scaling, and/or 2) focus on the innovation where your team has most expertise and evidence, and you sense it has a potential for scaling, for example because of a strong demand for it by other organizations.

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## We want to scale...

## Considerations

## Response

### By whom?

Which organizations provide leadership of the scaling process?

- Does the scaling leadership team have the broad capacities (advocacy, coordination, collaboration, fund raising, etc.) required to navigate the scaling process over the long term and (potentially) in new geographies?
- Are there local actors able and willing to continue scaling after the externally funded pilot project ends?
- Does the scaling leadership team represent the target group and is it diverse enough to represent those affected by scaling (e.g. women and other social identities (class, age, etc.))?

### The organization(s) leading the scaling process is/are:

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### When?

What is a realistic timeline for achieving the scaling ambition?

- Can your project contribute to a larger scaling process? Note that achieving the scaling ambition may surpass the duration of your current project, and that scaling may happen in phases.
- Do you need to calculate additional time for supporting vulnerable groups, for example, training women and raising awareness of local actors on gender needs?

### The time to achieve the ambition is:

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*Please draft a one-sentence scaling ambition in the following format:*

By **[when?]**, **[who?]** supports the scaling process of **[what innovation?]** from **[how much?]** to **[how many?]** for **[whom?]** in **[where?]** to **[why?]**.

### For example:

*By [2035], [NGO X and the National Women Association] support the scaling process of [Drought Resilient Maize Seeds] from [1,000 to 300,000 households] [smallholder women-headed households (<1 ha)] in [Ghana] to [empower women and reduce poverty].*



### Scaling ambition:

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### Good to know:

The question “how?” becomes clear from Step 3

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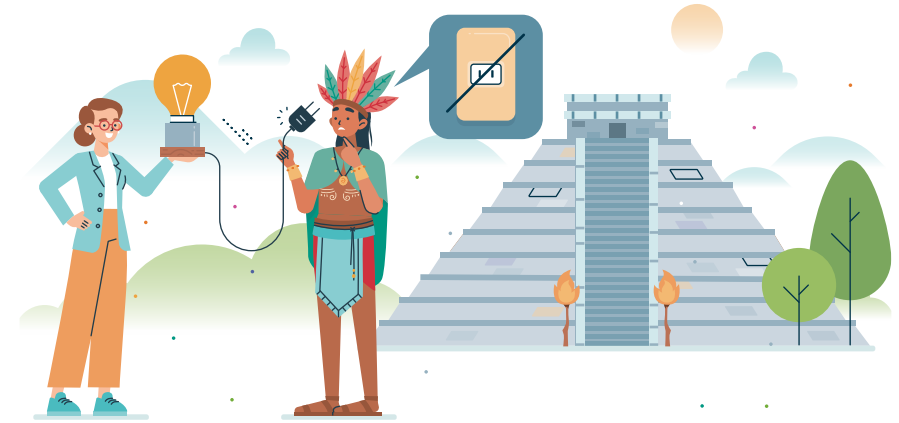
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## Step 1b: Systems check

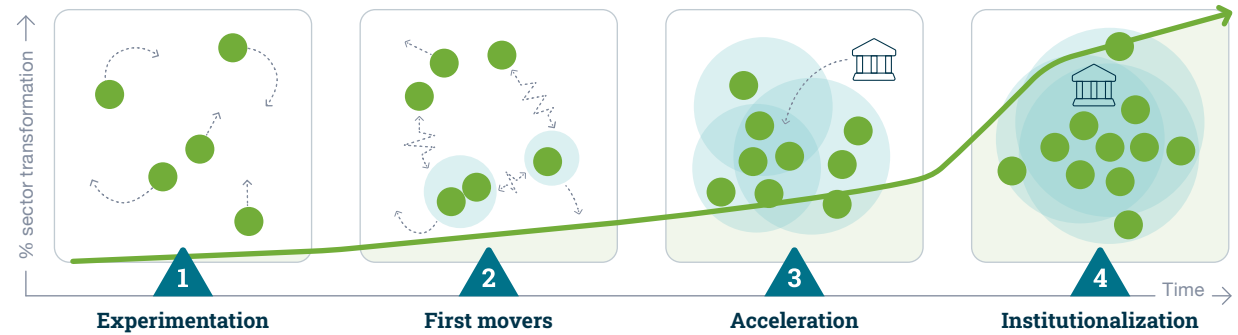
The purpose of scaling is to change the context for the better. For example, scaling an innovation that gives higher crop yield intends to improve food security and the living conditions of a target group, country or region. “Context is King,” meaning the political, business, social, and cultural context and interactions determines how well innovations can scale. That is why the same agricultural machinery scales differently in Mali and in Bangladesh, for example. In this step, the Systems Check, you will use a systems change model to check how your innovation and project fit into the larger context of the country or region in which you plan to intervene. First, we see if your scaling ambition is part of a larger movement for change, and second, we check what is holding back change.



### “Systems Check - scaling “up”

You are probably not the first to address the problem, and others may have previously proposed or attempted to scale innovations of a similar nature. The work of others in the country or region in which your scaling initiative takes place influences the scalability of your innovation.

The figure\* on the right shows how innovations progress through four stages before becoming institutionalized in a country or region.



**Experimentation**

Your innovation is very new in the context. Only few stakeholders recognize the problem and few are experimenting with similar innovations in the country or region of intervention.

**First movers**

Several innovators come together to pilot the innovation and adaptations are made to better address the problem. Initial funding is made available through a research project, for example.

**Acceleration**

The value of the innovation is well-recognized and a range of stakeholders invest their own social, financial and political capital to scale and sustain the innovation.

**Institutionalization**

The innovation is established as the common and accepted practice.

**Experimentation**

**First movers**

**Acceleration**

**Institutionalization**





Please select the phase that best describes the state of the context in which you are trying to scale currently.

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## “Systems Check - scaling “down”

Innovations are solutions that are new to a context. They replace existing technologies or ways of doing things we consider to be incorrect, unsustainable, or inefficient. People, businesses, and governments will not simply change from a traditional, or dominant, way of doing things to adopt an innovation with which they are unfamiliar. Adopting something new is risky, especially for people who cannot afford to take many risks.

Please briefly describe what is the existing (traditional/dominant) technology or practice that your innovation intends to replace or change?

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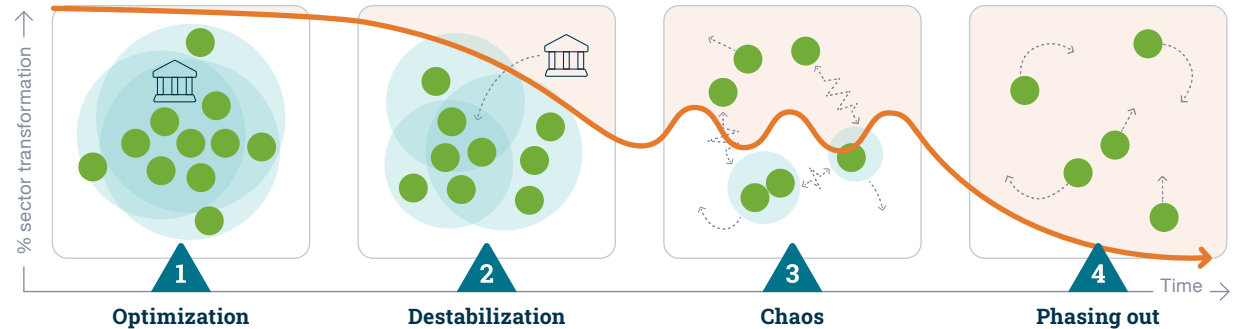
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## “Systems Check - scaling “down”

Similar to the scaling phases from experimentation to institutionalization, there are also phases in the process of replacing existing practices as shown in the red curve. Intentionally scaling “down” existing practices creates more space for the scaling “up” of new practices.

The figure\* on the right shows how traditional/ dominant practices progress through four stages before phasing out in a country or region.



**Optimization**

There are hardly any doubts about the dominant practice and different actors are improving its affordability, accessibility and availability.

**Destabilization**

People are increasingly questioning the appropriateness of the dominant practice. For example, the social and environmental risks are seen in a new light.

**Chaos**

The problems with the dominant practice are widely recognized but not everyone lets go of the dominant practice to embrace alternatives.

**Phasing out**

The dominant practice and the systems that have kept them in place break down at a large scale. The “losers” of the change process, the persistent users and promoters, become visible and may get support to reorient themselves.

**Optimization**

**Destabilization**

**Chaos**

**Phasing out**

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Please select the phase that best represents the status of the traditional/dominant practice you described previously.

\* by DRIFT Rotterdam

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**Scaling “up” and scaling “down” need to happen in parallel.** Do the findings from the system check prompt you to change your scaling ambition? If so, how?

A large rectangular area with horizontal dashed lines, intended for handwritten notes or answers to the question above.

## Step 1c: Social and environmental responsibility check

Scaling often calls for large changes which may have far-reaching implications for society and the environment, both positive and negative. Scaling is not always good for everyone and everything and we have a responsibility to **“do not harm”** and **“leave no one behind”**.

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 medium and long term.

We have the moral obligation to avoid or prevent negative and unintended consequences resulted from scaling an innovation. After all, an innovation is the means to an end of contributing to achieve a desired development outcome. Negative and unintended consequences in society and environment, even the ones beyond project boundaries. can hinder achieving the desired development outcome.

In this step, we check on some of the social and environmental challenges that could arise from pursuing the scaling ambition.



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## Social responsibility

Inequalities results in different groups of people not necessarily benefitting equally from innovations. Women, for example, may find it more difficult than men to adopt machines or equipment that are not designed for them (too heavy or too large). Or, social norms may prevent women owning resources (such as land) and accessing critical services and training to properly use the innovation.



### Social responsibility check



#### Social inclusion and gender responsiveness:

Anticipate, recognize, and respond to women's and men's different needs, and be aware they benefit and experience or interpret risk differently from interventions and innovations.

How are different social groups (based on sex, age, poverty/ wealth, class, ethnicity, religion, access to land, etc.) able to benefit equally from the scaling process?



#### Equal participation:

Include women and girls (and other relevant marginal groups) in decision-making processes and implementation of technologies, policies, and interventions.

How are relevant social groups (based on sex, wealth, etc.) invited to participate and decide in the scaling process?

### Considerations

- Are different benefits and risks expected for different social groups during the scaling process, and are there steps in place to ensure certain social groups are not harmed?

- Are enough representatives of the target group involved in decisions on what and how to scale and what "successful scaling" means to them?
- How can social groups (women/men, young/ old, etc.) that are not directly targeted, but might be affected by the scaling of the innovation, be included in decisions about what constitutes "successful scaling"?

### Social responsibility check

Understanding the potential negative consequences of reaching your scaling ambition on gender equality, empowerment as well as participation and inclusion is important.

### Response

*Potential negative side effects and implications for reaching the scaling ambition:*

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*Potential negative side effects and implications for reaching the scaling ambition:*

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## Social responsibility check



### Empowerment:

Strengthen the capacities and confidence of women and other vulnerable social groups, by providing them with access to resources (training, credit, information), opportunities and employment.

How are relevant social groups supported with, for example, improved access to resources, opportunities, and employment to participate and benefit from the scaling process?

## Considerations

- How are power imbalances expected to change (who are the winners and losers?) when the innovation is adopted at a large scale?
- What is the cost of failure, and who will bear it? How do we avoid only the most vulnerable bearing it?
- Some social groups have less access to resources, services, and opportunities than others; what constraints need to be removed for these disadvantaged groups to benefit from the scaling process?
- Is it possible for the target group to go back to previous or alternative ways of doing things if not satisfied with the innovation?

## Response

*Potential negative side effects and implications for reaching the scaling ambition:*

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## Environmental responsibility

Scaling technologies and practices will affect the environment and its natural resources, such as land, water, air, minerals, flora, and fauna. It is important to understand potential negative consequences of reaching your scaling ambition on sustainable resources, emissions, and on the capacity of people and communities to adapt to climate change.



## Environmental responsibility check



### Sustainable resource use:

Take the responsibility to ensure a sustainable use of natural resources now, and in the future. Analyze the effect of the scaling of your innovation in the quantity, quality and access of natural resources.

How will the availability, access and quality of natural resources - such as water, land, biodiversity- be affected, in the short and long term, if the scaling ambition is reached?

## Considerations

- Do you predict or track environmental impacts (over time) in and beyond the intervention region, including on resources and social groups that weren't your focus?
- Are there ways to reduce negative impacts on natural resources for current and future generations?
- Do you feel that the magnitude of the negative environmental impacts of your intervention is acceptable and can be justified?

## Environmental responsibility check

Understanding the potential negative consequences of reaching your scaling ambition on sustainable resource use, emissions, on other people and resources as well as on the capacity of people and communities to adapt to climate change is important.

## Response

*Potential negative side effects and implications for reaching the scaling ambition:*

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## Environmental responsibility check



### Trade-offs and uncertainty:

Recognize and understand that your intervention will have trade-offs on natural resources, the climate change, and social issues, even if they are not clear. The effect of interventions may be delayed, may happen outside the intervention region, or affect other resources and social groups that were not primarily considered when the intervention was created.

What key trade-offs, or choices and compromises, must be made in pursuit of the scaling ambition?

## Considerations

- What trade-offs already came up during the pilot phase? For example, trade-offs between productivity and environment and health as large-scale use of Conservation Agriculture may lead to increased use of pesticides. Or between employment and farmer wealth when a machine may replace labor done normally by hand.
- Are there strategies to reduce, mitigate or compensate environmental risks and damages of the scaling of your innovation for people in and outside of your intervention area?

## Response

*Potential negative side effects and implications for reaching the scaling ambition:*

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### Climate change mitigation:

Greenhouse Gas (GHG) emissions are the major driver for climate change, and we have to ensure scaling does not lead to more emissions.

How will GHG emissions be affected if the innovation is adopted (and replaced the current dominant practice) at large scale?

- Will scaling your innovation reduce GHG emissions, for example, by preventing land use change or by replacing “dirty” technologies and practices?

*Potential negative side effects and implications for reaching the scaling ambition:*

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### Climate change adaptation

It is important to scale innovations that increase the capacity of communities and the environment to adapt and respond to climate change related stresses such as dry spells, droughts, floods, heat in the short and the long term.

Can the capacity of communities and the environment to adapt and respond to climate change related stresses such as dry spells, droughts, floods and heat, be increased as a result of pursuing the scaling ambition?

- Does scaling increase the three key adaptive capacities for people; increased income, and productivity and reduced losses?
- Do you monitor how people and organizations adapt to climate change and what role scaling of the innovation plays in that, for both people and environment targeted and were not-targeted initially?
- How does scaling help long term adaptation (resilience)?

*Potential negative side effects and implications for reaching the scaling ambition:*

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## Step 2: Scoring 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 if the context is favorable to achieve the scaling ambition. The context is modeled by 10 scaling ingredients representing the different fields of expertise that need attention for scaling to be successful.



**Technology/Practice**  
An effective and efficient innovation for the issue at stake.

**Awareness and Demand**  
A wish and readiness to use and produce the innovation.

**Business Cases**  
Incentives and attractive value propositions to support the scaling of the innovation.

**Value Chain**  
Effective links between actors to pursue business cases and bridge supply and demand.

**Finance**  
Effective financing options to produce, deliver, manage, and acquire the innovation.

**Knowledge and Skills**  
Capacities at individual and institutional level to use, adapt and promote the innovation at scale.

**Collaboration**  
Strategic collaboration within and beyond the sector to scale the innovation.

**Evidence and Learning**  
Credible evidence and facts underpin and help gain support to reach the scaling ambition.

**Leadership and Management**  
Effective coordination and navigation to achieve the scaling ambition.

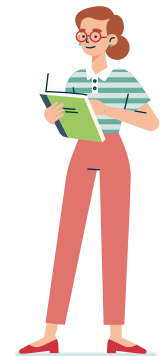
**Public Sector Governance**  
Government support to reach the scaling ambition.



**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 from where (other actors).



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Users score three tactical questions for each scaling ingredient. Each scaling ingredient includes three questions that probe into the key drivers for reaching scale within that field of expertise, or sector. For example, for the ingredient Knowledge and Skills, it is important that knowledge to use the innovation also becomes available at scale which may require local educational institutes integrate the knowledge into their routine curriculum. In addition, the questions highlight the need for greater focus on cross-cutting scaling challenges, such as encouraging local ownership, avoiding project dependencies, and altering behaviors.

### Each question should be scored on a scale from 1 to 5:

- 1 = No, this is very uncertain OR I do not have enough information to respond to this question
- 2 = Serious doubts
- 3 = Some doubts/unsure
- 4 = Quite confident
- 5 = Yes definitely, OR this is not an issue that can hold back my scaling case



For example, if you want to scale an organizational innovation that has no (additional) costs to the user you can score question “5.1 Can the target group afford the innovation” with a 5 because affordability is not an issue that jeopardizes the achievement of the scaling ambition. If you don’t feel confident to respond, please score a 1, to indicate that more information needs to be collected to understand and address this important issue for scaling.

You can respond to the questions on the next pages, or use **Annex 2** to fill your response, or you can download an [Excel version here](#) that automatically generates a bar chart of your score, or the average score of each of your team members. We recommend using either Annex 2 or the Excel file because the

questions are accompanied by considerations that may help you reflect better on your response. Some considerations might provoke you to look at the question from an unexpected angle, and some might not be relevant to you.

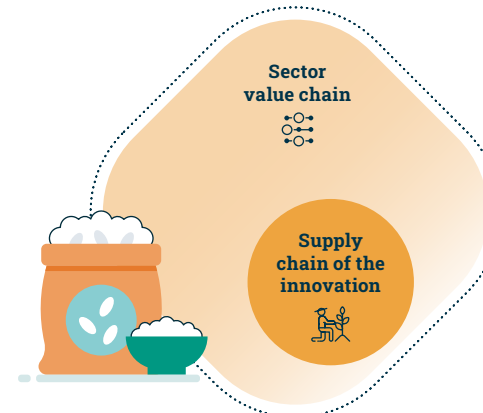


### Good to know:

#### What is the difference between the Business Case and the Value chains ingredients?

It is important there is clarity on the drivers of different stakeholders to support the scaling process during and after the project interventions ends. The ingredient “business cases” captures the reasoning and incentives for stakeholders to adapt, promote, produce, and deliver the innovation, now and in the future. The ingredient “Value Chain” checks whether the actors along the value chain are adequately organized such that those business cases can be materialized. In short, the business case asks, “does it make sense?” and the value chain asks, “is it possible?”.

Furthermore, it is important to note that under value chain we distinguish between the supply chain of the innovation and the larger value chain(s) in which it is embedded. For example, in the case your innovation is an improved variety of a rice seed, the supply chain are those actors producing and making that seed available, which is embedded in the larger rice value chain with more and more diverse actors involved (supply, processing, marketing, trading, etc.).



### Facilitation tip:

During a workshop, the Excel sheet can be uploaded on Google Sheets for multiple people to work simultaneously in one file. Then the results can be shared on a big screen for plenary discussion.



### Good to know:

The digital version ([www.scalingscan.org](http://www.scalingscan.org)) and the [Excel sheet](#) are great when teams use the Scaling Scan for one common scaling ambition. They collect the scores of different team members and partners into one file to allow a deeper analysis of average scores and outliers.



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## Technology/Practice

**1.1.**  
Does the innovation have clear advantage over existing alternatives?

Score (1-5): .....

**1.2.**  
Is the innovation easy to adopt by the target group?

Score (1-5): .....

**1.3.**  
Is the innovation compatible with local needs, circumstances, and preferences of the communities that the target group is part of?

Score (1-5): .....

**Average Score:** .....

Observations:

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## Awareness and Demand

**2.1.**  
Does your target group recognize that a new technology/practice is necessary and desirable, and is demand growing?

Score (1-5): .....

**2.2.**  
Does the target group have access to information about the innovation and are there effective and gender-sensitive communication channels?

Score (1-5): .....

**2.3.**  
Are important stakeholders (beyond the target group) aware and interested to support the scaling of the innovation?

Score (1-5): .....

**Average Score:** .....

Observations:

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## Business Cases

**3.1.**  
Are there viable business cases for important actors along the value chain to support the scaling ambition?

Score (1-5): .....

**3.2.**  
Is the business climate conducive to the business cases of all actors and supportive of gender equality?

Score (1-5): .....

**3.3.**  
Do supply chain actors invest time and resources to continue and improve the supply and use of the innovation beyond the project?

Score (1-5): .....

**Average Score:** .....

Observations:

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### Scores:

- .....
- 1 = No, this is very uncertain OR not enough information to respond
  - 2 = Serious doubts
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  - 4 = Quite confident
  - 5 = Yes definitely, OR, this is not an issue that can hold back my scaling case

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 **Value Chain**

**4.1.**  
Can the innovation be supplied in the right quality, quantity, and in a timely manner?

Score (1-5): .....

**4.2.**  
Are the target group and other value chain actors adequately organized?

Score (1-5): .....

**4.3.**  
Is the performance of the sector value chain conducive to scaling?

Score (1-5): .....

**Average Score:** .....

Observations:

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 **Finance**

**5.1.**  
Can the target group afford the investment in, and operation of, the innovation?

Score (1-5): .....

**5.2.**  
The target group and other value chain actors can access and afford financial products to finance their business cases to use- and support the scaling of- the innovation?

Score (1-5): .....

**5.3.**  
Have the actors managing the scaling process been able to acquire adequate long-term funding to meet the scaling ambition?

Score (1-5): .....

**Average Score:** .....

Observations:

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 **Knowledge and Skills**

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

Score (1-5): .....

**6.2.**  
Are appropriate gender-sensitive capacity development approaches available to allow the target group and other stakeholders to use and scale the innovation?

Score (1-5): .....

**6.3.**  
Are local/national organizations able and willing to adapt the innovation to different local context and support the scaling in the long term?

Score (1-5): .....

**Average Score:** .....

Observations:

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 **Collaboration**

**7.1.**  
Are actors that can operate at scale and/or sustain the scaling of the innovation collaborating to achieve the scaling ambition?

Score (1-5): .....

**7.2.**  
Are there effective networks or (sector) platforms in place for joint strategic direction-setting, advocacy, and creating buy-in to achieve the scaling ambition?

Score (1-5): .....

**7.3.**  
Do you have effective links with parallel initiatives or policy processes that could serve to scale the innovation?

Score (1-5): .....

**Average Score:** .....

Observations:

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 **Evidence and Learning**

**8.1.**  
Is there credible data available from the pilot phase on the performance of the innovation in different context, on socio-economic conditions, including gender and climate threats, and on the main drivers and obstacles for scaling?  
*Score (1-5):* .....

**8.2.**  
Are sufficient resources available for meaningful monitoring of the scaling process and the “unintended” consequences on the environment and society?  
*Score (1-5):* .....

**8.3.**  
Are you using the scaling process as a way for stakeholders to learn about scaling, change and trade-offs to improve quality and sustainability of current and future scaling processes they are involved in?  
*Score (1-5):* .....

**Average Score:** .....

Observations:

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 **Leadership and Management**

**9.1.**  
Is there clarity on who leads the scaling process now and who is willing and able to continue scaling after the project funding ends?  
*Score (1-5):* .....

**9.2.**  
Is the leadership able to nurture a movement for change by mobilizing a range of influential opinion makers to support the scaling ambition in the future?  
*Score (1-5):* .....

**9.3.**  
Does the leadership implement and support changes in its own organization and that of its partners, i.e. including more participatory approaches to involve women and diverse social groups, to be better suited to pursue the scaling ambition?  
*Score (1-5):* .....

**Average Score:** .....

Observations:

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 **Public Sector Governance**

**10.1.**  
Are local and national strategies, policies and regulations conducive to achieve the scaling ambition?  
*Score (1-5):* .....

**10.2.**  
Are government agencies supporting the scaling ambition and do they have a clear role in the process?  
*Score (1-5):* .....

**10.3.**  
Are relevant government financing mechanisms (such as subsidies or tariffs) conducive for scaling the innovation?  
*Score (1-5):* .....

**Average Score:** .....

Observations:

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**Scores:**

- 1 = No, this is very uncertain OR not enough information to respond
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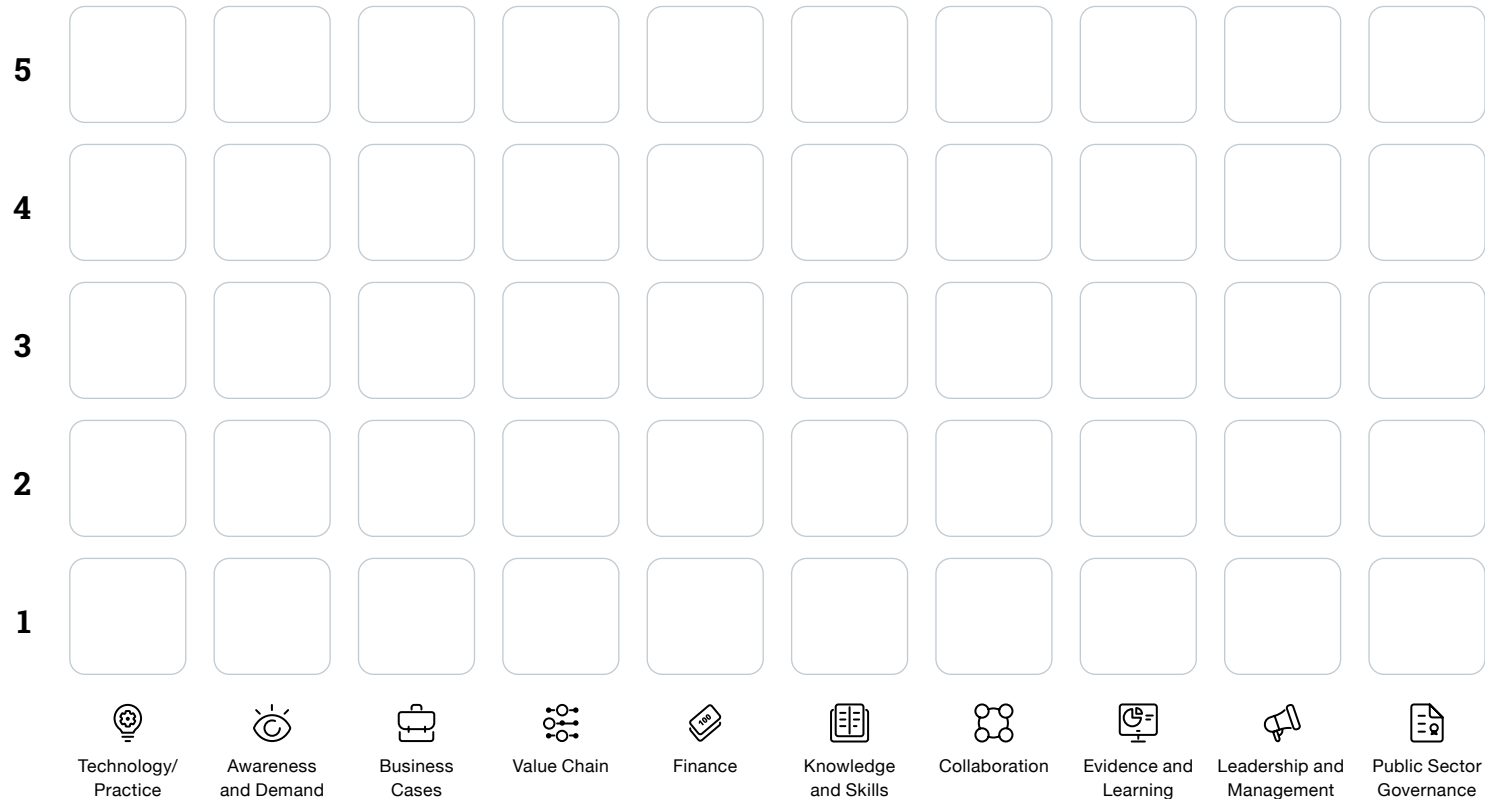
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# Overall results Step 2

Draw your bar chart with the average score per ingredient here, or use the [Excel file](#) to draw the bar chart automatically



Write your (revised) scaling ambition here (from page 14):



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

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## Step 3: Opportunities and challenges for scaling

In this step you will articulate what requires attention in your implementation strategy to reach the scaling ambition. We assess how weak scaling ingredients can be strengthened, what the role of your organization and (potential) partners is in doing so, and what challenges are beyond our influence for now. While doing so, please consider aspects that may include, and benefit from, social inclusion and environmental resilience to ensure your scaling ambition follows the “do no harm” and “leave no one behind” principles.

### 3a: Overall interpretation of results Step 2

Have a look at the bar chart from step 2. Please reflect on the following:

- 
- 5** ★ **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.
  - 2** **Similarly, if the average scores are generally low (<3)**, you may have to overcome several challenges to reach your scaling ambition.

What is the average score across the ingredients and what does this tell you about the level of confidence to achieve the scaling ambition? Do you want to be more or less ambitious in setting your targets and boundaries?

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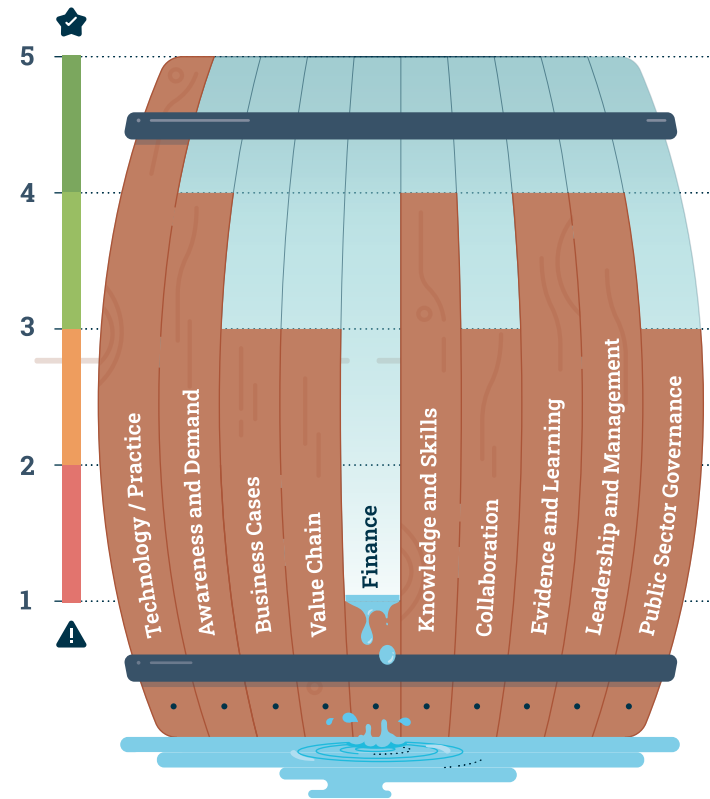
#### Facilitation tip:

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 the lowest stave where the water leaks out of. Hence, in this figure it is more important to include activities to improve the Finance situation than to keep on tweaking the Technology/Practice.



#### Facilitation tip:

If several people worked on one scaling ambition the diversity in scores by different people is a great discussion starter. Why did people score the same question with a 2 and with a 5 for example?



Adapted from Sartas et al., 2017

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### 3b: Key challenges

 A **low score** means that the context for that specific scaling ingredient or question is not favorable in supporting the achievement of the scaling ambition.

*Look at the three lowest scoring ingredients and the lowest scoring questions. Also reflect on other questions that stood out for you, maybe because they are very important in your context. From this, what are 3-5 key challenges for achieving the scaling ambition?*

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**Tip:**  
The “**considerations**” of **Annex 2** might help in your response.

### 3c: Opportunities for scaling

 Scaling ingredients affect each other, just like ingredients in a soup. In this step we look at the **strong ingredients** and if they can be leveraged to deal with weak ingredients. For example, if the scores of Evidence & Learning are high, while those of Finance and Collaboration are low, can you use evidence to get collaborators on board or give confidence to the finance sector to invest in your scaling ambition?

*Examine (at least) the 2-3 strongest ingredients and assess why they score high. What opportunities do these high scoring ingredients offer to deal with the key challenges you identified in Step 3b?*

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### 3d: Key elements for a scaling strategy

By now, it should be clear that scaling an innovation is not simply a matter of multiplying and replicating what you have done so far. It is about understanding and navigating in the (often) expanding context in which you want to scale. This is much more complex and requires an understanding of networks in each of the ten scaling ingredients. Complex problems cannot be solved by any one actor. The challenges and opportunities that you identified should drive the strategy to achieve the scaling ambition. There are actions you can take with your current project resources, but you may also need to seek new collaborations and you may have to accept that some things you cannot change.

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Please fill in the following table on how you are going to address a key challenge, considering action at three levels:



**Key challenges from step 3b**

**Example:** *There are no financial service providers supporting the scaling of the innovation.*

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**Project control:**  
Using the current human and financial resources of the project.

**Project control**  
What can the project team do?

*Create strong evidence on cost-benefits of the innovation and show how those calculations evolve while scaling happens.*

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**Collaboration:**  
Developing new partnerships to address scaling ingredients where the project team does not currently have expertise and networks.

**Collaboration**  
What can collaboration with others do?

*Partner with non-conventional financial service providers that already serve your target group but not necessarily yet for the promotion of your innovation.*

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**Long-term:**  
Taking a long-term approach to issues over which the project team has little to no influence.

**Long-term**  
How can we help change the system in the long term?

*Create confidence in the market that financial products for smallholder farmers are not that risky as perceived.*

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## 3e: Conclusions

Is it realistic the scaling ambition can be achieved given the challenges and opportunities in your specific scaling context, as well as with the project resources and partnerships you have at your disposal? *Tick one option:*



### Yes.

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



### No.

Please respond below to these three questions:

1. What particular challenge makes you doubt the feasibility of achieving the scaling ambition?
2. Have a look at Annex 3, are there tools and tips there that could help you strengthen your understanding or influence on some of the key challenges you face?
3. Go back to your scaling ambition, is it possible to lower the ambition by targeting for example less people, or a smaller area?





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The below explain key concepts and how they are used in the Scaling Scan

### C

**Context** = the set of circumstances of a particular event, which includes the political, social, business environment but also associated actor dynamics.

### E

**Enabling environment** = a supportive context for scaling.

### G

**Gender** = the socially constructed identities, roles, norms, attitudes, behaviors, and activities that exist in each society for men/boys, women/girls, and people with different sexual identities and orientations.

### I

**Innovation** = a technology (a thing, such as a seed or a tool) or a practice (a way to do things, such as changing habits, collaboration, policies, etc.) new to a context. Often, an innovation is a combination of a technology and a practice.

**Innovation system** = the complex interplay of interventions, innovations, actors, and structures that enable or constrain innovation and the scaling of innovations.

**Intersectionality** = the acknowledgement that everyone has their own unique experiences of discrimination and oppression and we must consider everything and anything that can marginalize people—gender, race, class, sexual orientation, physical ability, etc.

### M

**Mitigation** = reducing risk of loss from the occurrence of any undesirable event.

### R

**Rapid Scaling Scan** = a condensed version that allows users to get a sense of the learnings that underpin the Scaling Scan.

**Responsible scaling** = the ethics of co-responsibility for ensuring the impacts from the innovation are well captured by the intended beneficiaries and limit negative societal or ecological consequences, whether these impacts are intentional or if they can be fully anticipated.

### S

**Scaling** = scaling of innovations is a deliberate and planned effort to enable the use of innovations to have a positive impact for many people across broad geographies.

**Scaling ambition** = a one-sentence description of what you want to scale and for whom, where, when, how many, by whom, and why.

**Scaling ingredients** = the ten fields of expertise that need attention for scaling to be successful.

**Scaling Readiness Approach** = evidence-based approach to support the design, implementation, monitoring and evaluation of strategies to increase readiness and use of innovations at innovation package and/or portfolio level.

**Scaling strategy** = a set of coherent activities, stakeholders, and stakeholder engagement models to overcome one or more scaling bottlenecks.

**Social inclusion** = the process by which efforts are made to ensure equal opportunities – that everyone, regardless of their background, can achieve their full potential in life.

**Systems change** = bringing about lasting change by altering underlying structures and supporting mechanisms (e.g., policies, routines, relationships, resources, power structures and values) that make the system operate in a particular way.

### T

**Trade-off** = a balancing of factors that are not attainable at the same time.

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## Annex 1: Suggested workshop agenda for using the Scaling Scan

The Scaling Scan is often used as an awareness raising and capacity development tool for project teams and their partners to have a common understanding and way to discuss scaling. It also serves as an interactive way to appreciate the importance of having multi-disciplinary teams working together on complex problems, or at least show that there are gaps in capacities and skills for successful scaling.


In practice, the availability of time to dive deep into scaling is a major determinant for workshop design. The table below shows typical agendas for Scaling Scan workshop with 5-25 people for 30 minutes, 3 hours and 3 days. We recommend using the digital Scaling Scan tools available on [www.scalingscan.org](http://www.scalingscan.org) if people can dedicate less than 3 hours.


**Note:**


More time may need to be reserved if participants are not familiar with basic scaling theory or if they don't know each other.


### Rapid agenda 30 minutes

- Practical exercise during a (digital) conference/ meeting,
- Quick assessment of multiple innovations.
- To create interest in using the Scaling Scan

 **Overview of Scaling Scan and Step 1a: scaling ambition**  
**5 min:** Validate a scaling ambition predefined by the project leader


 **Step 1b and Step 1c: System and responsibility check**  
Skip these steps


 **Step 2: Scaling ingredients**  
**15 min:** Download the rapid scaling scan pdf or do the digital version. Score just one question per ingredient


 **Step 3**  
**10 min:** Identify challenges and opportunities for scaling and determine priority actions

### Regular agenda 3 hours

- Digital workshop
- As a session in a workshop

 **Overview of Scaling Scan and Step 1a: scaling ambition**  
**60 min**


 **Step 1b and Step 1c: System and responsibility check**  
**30 min**

 **Step 2: Scaling ingredients**  
**60 min:** Use Annex 2 and Excel to automate results of group


 **Step 3**  
**30 min**


### Elaborate agenda 3 days


- Dedicated in-person Scaling Scan workshop

 **Overview of Scaling Scan and Step 1a: scaling ambition**

**Day 1:**  
**1 hr:** General discussion on scaling  
**2 hr:** Group work  
**1 hr:** Drafting one scaling ambition

 **Step 1b and Step 1c: System and responsibility check**  
**2 hr**

 **Step 2: Scaling ingredients**  
**Day 2:**  
**1 hr:** Intro to the scaling ingredients  
**2 hr:** Individual scoring

 **Step 3**  
**2 hr:** Assessing group results and identify agreements and disagreements within groups

**Day 3**  
**2 hr:** Analysis of challenges and opportunities (3b and 3c)  
**3 hr:** Scaling strategy (3d)  
**2 hr:** Conclusions and revision of scaling ambition  
**1 hr:** Next steps including agreements on deeper dives on specific tools from Annex 3

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# Annex 2: Elaborate version of the Scaling Ingredients



This annex contains a more elaborate version of the ingredients and questions from Step 2. Here, each question is accompanied by a few considerations that may help you reflect better on your answer and perhaps help you approach the questions from a different angle.

The considerations are based on extensive literature and case analysis. Next to scoring the questions, 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.

In addition, we like you to refer to the Excel version of the tool which permits multiple project members to fill in their scores and obtain a collective result. The Excel document can be downloaded here:

<https://repository.cimmyt.org/handle/10883/20505>

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## Technology/Practice

An effective and efficient innovation for the issue at stake.

**Average Score:**

	Considerations:	Score:	Observations:
<p><b>1.1.</b> Does the innovation have clear advantage over existing alternatives?</p>	<ul style="list-style-type: none"> <li>It is clear what current practices the innovation is replacing, and there is sound evidence from respected institutions/persons on the innovation's comparative advantages.</li> <li>The majority of the target group that piloted the innovation is convinced it is better than current practices.</li> <li>The innovation may improve gender equality by, for example, reducing drudgery, improve usability by women, or shift gender biases.</li> <li>The innovation may reduce emissions or be more resource efficient by saving land, water or fuel, even when applied at scale.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; padding: 5px; background-color: #e0f2f1;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>1.2.</b> Is the innovation easy to adopt by the target group?</p>	<ul style="list-style-type: none"> <li>The innovation can be experienced, tested, and discussed with other users (peer-to-peer) to gain (social) credibility.</li> <li>Although not initially targeted, vulnerable groups (linked to age, ethnicity, disabilities, or socio-economic status) may also want to access the innovation. For example, in the case of machinery, they are not too heavy to carry, and pedals and handles can be reached. Or, women often do not have access to resources (land, water, labor) required to use the innovation.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; padding: 5px; background-color: #e0f2f1;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>1.3.</b> Is the innovation compatible with local needs, circumstances, and preferences of the communities that the target group is part of?</p>	<ul style="list-style-type: none"> <li>The target group and its social differentiations/intersectionality aspects (i.e. class, ethnicity, age, educational status, in addition to sex) are well understood and well-defined.</li> <li>Local perceptions and norms in the communities of the target groups are favorable of the changes that come with adoption (e.g. women using machinery and/or generating income, or women are "allowed" to participate)</li> <li>The innovation can easily be modified to local environmental and social circumstances.</li> <li>It is clear what current practices the innovation will be replacing, and what the social and economical consequences are in terms of (temporary) loss of income, power, and general resistance to change to the new innovation.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; padding: 5px; background-color: #e0f2f1;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>

**Scores:**  
.....

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

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## Awareness and Demand

A wish and readiness to use and produce the innovation.

Average Score:

	Considerations:	Score:	Observations:
<p><b>2.1.</b> Does your target group recognize that a new technology/practice is necessary and desirable, and is demand growing?</p>	<ul style="list-style-type: none"> <li>• A representative set of the target group has been involved in defining the problem.</li> <li>• The target group and other important stakeholders are actively demanding suppliers, local leaders, and others for access to the innovation.</li> <li>• The target group is willing to pay for the innovation.</li> <li>• The innovation benefits vulnerable groups directly and/or the environment directly (reduced drudgery, increased water availability, etc.) and indirectly by influencing gender-related or climate change policies/ strategies (SDGs 1,5,13,14,15)</li> </ul>	<div style="border: 1px solid #008080; width: 30px; height: 30px; margin: 0 auto;"></div>	<div style="border: 1px solid #008080; padding: 5px; min-height: 150px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>2.2.</b> Does the target group have access to information about the innovation and are there effective and gender-sensitive communication channels?</p>	<ul style="list-style-type: none"> <li>• There are effective communication channels that can reach the target group with relevant information and update information if necessary.</li> <li>• Communication and networking work is planned considering that women and men may have different access and needs (language, in-person, etc.)</li> </ul>	<div style="border: 1px solid #008080; width: 30px; height: 30px; margin: 0 auto;"></div>	<div style="border: 1px solid #008080; padding: 5px; min-height: 150px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>2.3.</b> Are important stakeholders (beyond the target group) aware and interested to support the scaling of the innovation?</p>	<ul style="list-style-type: none"> <li>• Value chain actors, civil society and (local) governments, for example, recognize that a (new) solution to the problem of the target group should be tried.</li> <li>• Are service providers, local opinion leaders and other stakeholders motivated to promote the innovation and the importance of innovations being appropriate for both men and women?</li> </ul>	<div style="border: 1px solid #008080; width: 30px; height: 30px; margin: 0 auto;"></div>	<div style="border: 1px solid #008080; padding: 5px; min-height: 150px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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## Business Cases

Incentives and attractive value propositions to support the scaling of the innovation.

Average  
Score:

	Considerations:	Score:	Observations:
<p><b>3.1.</b> Are there viable business cases for important actors along the value chain to support the scaling ambition?</p>	<ul style="list-style-type: none"> <li>There are strong social (respect/status in community), financial and/or environmental incentives for important value chain actors (e.g., farmers, service providers and agribusinesses of different gender and ages) to use and promote of the innovation.</li> <li>Viable business cases rely on good information and analysis of competitiveness, demand/supply, cost/benefit, market segmentation and gender differentiation, and social and environmental risks, as well as a candid analysis of the disincentives to support the scaling ambition.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>3.2.</b> Is the business climate conducive to the business cases of all actors and supportive of gender equality?</p>	<ul style="list-style-type: none"> <li>Equal pay, gender diversity, mentoring and other measures make it easier for women to get employed and participate in business.</li> <li>The business cases are robust enough to withstand and adapt to potential market price fluctuations or other risks that might affect the attractiveness of the business cases (e.g., market saturation, climate change)</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>3.3.</b> Do supply chain actors invest time and resources to continue and improve the supply and use of the innovation beyond the project?</p>	<ul style="list-style-type: none"> <li>Improvement of supply and use of the innovation is an integral part of their business strategy (even independent of the project)</li> <li>Supply chain actors replicate the business model to other clients, geographies and target groups independent from project support.</li> <li>Supply chain actors have the capacity, interest, and will to mobilize their own resources, capital, and networks.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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## Value Chain

Effective links between actors to pursue business cases and bridge supply and demand.

Average Score:

	Considerations:	Score:	Observations:
<p><b>4.1.</b> Can the innovation be supplied in the right quality, quantity, and in a timely manner?</p>	<ul style="list-style-type: none"> <li>Supply can keep up with demand at all times.</li> <li>Quality may be assured through standards, certification or other agreements.</li> <li>Additional technologies and services for the innovation to work (e.g., fuel and repair services for machines) are available, accessible and affordable, and they are gender-responsive (e.g., meeting women's needs, interested in having women as clients) and intend to reduce GHG emissions.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>4.2.</b> Are the target group and other value chain actors adequately organized?</p>	<ul style="list-style-type: none"> <li>The target group is - or can get- organized in formal and informal ways such as farmer/women/user organizations, cooperatives, business associations, etc.</li> <li>Through (formal and informal) organization of value chain actors, input provision, marketing, access to services and bargaining power are benefiting from 'economies of scale' in a way that does not surpass a sustainable use of natural resources.</li> <li>There is a sufficient degree of organization/coordination and power balance across different types of value chain actors for adequate strategic direction and joint priority setting.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>4.3.</b> Is the performance of the sector value chain conducive to scaling?</p>	<ul style="list-style-type: none"> <li>The necessary infrastructure (e.g., roads and markets) is in place and expanding to meet future needs.</li> <li>The development of the value chain is not limited by trade barriers, market distortions (e.g., large-scale fraud), limited resources or endangered species, potential social conflict, or other contextual factors.</li> <li>The value chain is sufficiently efficient, sustainable, and competitive in comparison with other value chains (nationally and internationally as far as relevant).</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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**Finance**

Effective financing options to produce, deliver, manage and acquire the innovation.

**Average Score:**

	Considerations:	Score:	Observations:
<p><b>5.1.</b> Can the target group afford the investment in, and operation of, the innovation?</p>	<ul style="list-style-type: none"> <li>The target group can afford the innovation with their own means without accessing formal financial institutions.</li> <li>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.</li> <li>The target group can afford inputs and services related to operating the innovation in the intended way.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>5.2.</b> The target group and other value chain actors can access and afford financial products to finance their business cases to use- and support the scaling of- the innovation?</p>	<ul style="list-style-type: none"> <li>Financial institutions perceive the target group and value chain actors as creditworthy (e.g., applicant has collateral, performs well and is financially literate).</li> <li>Financial institutions are interested and engaged to (financially) support the supply chain for the scaling of the innovation.</li> <li>Financial products are adequately designed and available for the target group and other value chain actors (e.g., short repayment periods, low interest rates, risk management guarantees, insurance) and are suitable to women's needs.</li> <li>Support in understanding and accessing financial products exist, especially for vulnerable groups.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>5.3.</b> Have the actors managing the scaling process been able to acquire adequate long-term funding to meet the scaling ambition?</p>	<ul style="list-style-type: none"> <li>There is a clear vision on long-term funding of the scaling initiative, within and beyond the project lifetime.</li> <li>Leadership of the scaling process actively raises funds to support the anticipated system change.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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## Knowledge and Skills

Capacities at individual and institutional level to use, adapt and promote the innovation at scale.

Average  
Score:



	Considerations:	Score:	Observations:
<p><b>6.1.</b> Does the target group have the necessary confidence, knowledge, and skills to use the innovation as intended?</p>	<ul style="list-style-type: none"> <li>The target group knows how the innovation should be used and maintained, and is aware of the risks associated with the innovation.</li> <li>The target group has the necessary skills and confidence to use it.</li> <li>The target group has access to affordable service providers that can support innovation maintenance.</li> </ul>	<input type="text"/>	<input type="text"/>
<p><b>6.2.</b> Are appropriate gender-sensitive capacity development approaches available to allow the target group and other stakeholders to use and scale the innovation?</p>	<ul style="list-style-type: none"> <li>Capacity development goes beyond technical training of individuals and includes adult education skills and the development of the capacities of organizations in management issues, resource mobilization, etc. to be a long-term supporter for scaling.</li> <li>Appropriate communication and teaching methods are used to reach the target group that is gender-responsive in considering their level of literacy, time, mobility, gender of trainers and gender-sensitive content.</li> </ul>	<input type="text"/>	<input type="text"/>
<p><b>6.3.</b> Are local/national organizations able and willing to adapt the innovation to different local context and support the scaling in the long term?</p>	<ul style="list-style-type: none"> <li>The knowledge on the innovation is in demand and incorporated in programs of relevant knowledge/educational institutes.</li> <li>Specialized local knowledge institutes and private sector partners can continue the development of the innovation independent of the original innovator and project support.</li> <li>Specialized local knowledge institutes and private sector partners can develop and implement capacity development programs independent of the original “innovator” and project support.</li> <li>• Non-government organizations make resources available for continued development of the innovation in the local context.</li> </ul>	<input type="text"/>	<input type="text"/>



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**Collaboration**

Strategic collaboration within and beyond the sector to scale the innovation.

**Average Score:**

	Considerations:	Score:	Observations:
<p><b>7.1.</b> Are actors that operate at scale and/or sustain the scaling of the innovation collaborating to achieve the ambition?</p>	<ul style="list-style-type: none"> <li>The combination of the actors engaged is sufficiently complementary and inclusive and does not leave major capacity gaps to achieve the scaling ambition.</li> <li>Scaling often requires collaboration among those that have a large (geographic) reach and constituency (e.g., government extension services); strong influence, convening and convincing power; state-of-the-art tech capacity and mission/incentives aligned with the project objective.</li> <li>The roles and responsibilities are sufficiently established and agreed to allow adequate progress.</li> <li>There are mechanisms in place to hold collaborators accountable, solve conflicts and attribute successes.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>7.2.</b> Are there effective networks or (sector) platforms in place for joint strategic direction-setting, advocacy, and creating buy-in to achieve the scaling ambition?</p>	<ul style="list-style-type: none"> <li>The sector networks or platforms are needs based, inclusive of all relevant actors, gender- and climate responsive and they consider the scaling ambition relevant.</li> <li>Without forcing consensus, they produce meaningful joint understanding, direction and priority setting to propel the scaling process.</li> <li>There are mechanisms through which joint lobbying for the scaling ambition with politicians, policy makers, etc. can take place.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>7.3.</b> Do you have effective links with parallel initiatives or policy processes that could serve to scale the innovation?</p>	<ul style="list-style-type: none"> <li>There are parallel initiatives which can be conducive and are complementary to your scaling effort.</li> <li>These initiatives will link up or cooperate to coordinate efforts.</li> <li>Your initiative has the position, capacities and practical manners to actively engage them.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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## Evidence and Learning

Credible evidence and facts underpin and help gain support to reach the scaling ambition.

Average  
Score:

	Considerations:	Score:	Observations:
<p><b>8.1.</b> Is there credible data available from the pilot phase on the performance of the innovation in different contexts, on socio-economic conditions, including gender and climate threats, and on the main drivers and obstacles for scaling?</p>	<ul style="list-style-type: none"> <li>In addition to credible evidence that the innovation proved effective, sustainable, and efficient at small scale, it is also clear why this was the case and what enabling conditions need to be present to scale beyond the pilot environment.</li> <li>There is data on the different benefits and risks for different social groups from the interventions, and disaggregated based on the differences between social groups (women, men, elderly, children, ethnicity).</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>8.2.</b> Are sufficient resources available for meaningful monitoring of the scaling process and unintended consequences on the environment and society?</p>	<ul style="list-style-type: none"> <li>Monitoring and evaluation goes beyond measuring the impact of the project, also looking at the indirect effects and changes in the enabling environment for scaling.</li> <li>Data are collected in such ways to enable a precise, regular/frequent and rich information base to learn in action and adjust the scaling process on the way.</li> <li>Monitoring and learning results are systematically fed back to people that provided the data and to management.</li> <li>Commitments towards gender, climate change, and sustainable natural resource use targets are transparent and monitored.</li> <li>Effective IT or other tools are used to promote the innovation and build credibility among stakeholders.</li> <li>Strategic decisions are based on field data.</li> <li>The <a href="http://www.scalingcommunityofpractice.com">www.scalingcommunityofpractice.com</a> recommends 20% of project budgets should be reserved for monitoring, evaluation and learning.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>8.3.</b> Are you using the scaling process as a way for stakeholders to learn about scaling, change and trade-offs to improve quality and sustainability of current and future scaling processes they are involved in?</p>	<ul style="list-style-type: none"> <li>Lessons learned through piloting and scaling of similar, or past, initiatives are integrated to have a state-of-the-art approach to scaling.</li> <li>The scaling pathway is actively being monitored in addition to impact.</li> <li>Regular reflection moments are scheduled with the scaling partners and inform their organizations' knowledge and capacity.</li> <li>Successful scaling relies heavily on the context, hence learnings on the "enabling environment" are critical to inform strategies to influence the sector or system.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



### Scores:

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- 1** = No, this is very uncertain OR not enough information to respond
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**Leadership and Management**

Effective coordination and navigation to achieve the scaling ambition.

**Average Score:**

	Considerations:	Score:	Observations:
<p><b>9.1.</b> Is there clarity on who leads the scaling process now and who is willing and able to continue scaling after the project funding ends?</p>	<ul style="list-style-type: none"> <li>The leadership has an adequate mandate to take required decisions/ actions.</li> <li>The leadership is recognized and respected by all actors and it is clear which national/local organization(s) leads after project funding ends.</li> <li>The composition of the scaling leadership team is sufficiently diverse to avoid exclusive group thinking, hearing the voice of women and other social identities (class, age, etc.) linked or part of the target group.</li> <li>Scaling is considered a management issue and adequate resources for project and partner management are reserved.</li> <li>Depending on the stage of scaling, different skills and capacities are required.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px; min-height: 150px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>9.2.</b> Is leadership able to nurture a movement for change by mobilizing a range of influential opinion makers to support the scaling ambition in the future?</p>	<ul style="list-style-type: none"> <li>There is a strong and persuasive gender-sensitive and climate-aware narrative about the relevance of reaching the scaling ambition that can lead to buy-in from more actors.</li> <li>There are influential actors and ambassadors beyond the project that promote the scaling initiative and who can be mobilized at crucial times.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px; min-height: 150px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>9.3.</b> Does the leadership implement and support changes in its own organization and that of its partners, i.e., including more participatory approaches to involve women and diverse social groups, to be better suited to pursue the scaling ambition?</p>	<ul style="list-style-type: none"> <li>Relevant actors realize that sustainability and scaling of the innovation may imply changes in the scaling strategy and the way organizations function.</li> <li>The organization(s) leading the scaling effort is ready to change structure, staffing or operations in the face of future opportunities and risks (including changes in climate and disasters). Moreover, leadership supports partners and other key actors to do the same and prepare their organization for the change.</li> <li>There is an organizational capacity development strategy supporting the scaling strategy.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; background-color: #e0f2f1; padding: 5px; min-height: 150px;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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 **Public Sector Governance**  
Government support to reach the scaling ambition.

**Average Score:**

	Considerations:	Score:	Observations:
<p><b>10.1.</b> Are local and national strategies, policies, and regulations conducive to achieve the scaling ambition?</p>	<ul style="list-style-type: none"> <li>The area, people, problem, timelines, and system change targeted in the scaling ambition matches with the priorities of the national and local government.</li> <li>There are technical regulations, standards and/or prescriptions in place conducive to scaling the innovation.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; padding: 5px; background-color: #e0f2f1;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>10.2.</b> Are government agencies supporting the scaling ambition and do they have a clear role in the process?</p>	<ul style="list-style-type: none"> <li>An assessment is done on when and how the government might support or frustrate the scaling of the innovation.</li> <li>Government agencies recognize the value of the innovation and support its promotion.</li> <li>Government agencies align with the scaling ambition and make resources available to support the project and/or they invest in programs that aim to achieve a similar change in the sector and/or the entire system.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; padding: 5px; background-color: #e0f2f1;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>
<p><b>10.3.</b> Are relevant government financing mechanisms (such as subsidies or tariffs) conducive for scaling the innovation?</p>	<ul style="list-style-type: none"> <li>Lessons learned through piloting and scaling of similar, or past, initiatives are integrated to have a state-of-the-art approach to scaling.</li> <li>The scaling pathway is actively being monitored in addition to impact.</li> <li>Regular reflection moments are scheduled with the scaling partners and inform their organizations' knowledge and capacity.</li> <li>Successful scaling relies heavily on the context, hence learnings on the "enabling environment" are critical to inform strategies to influence the sector or system.</li> </ul>	<div style="border: 1px solid #ccc; width: 30px; height: 30px; background-color: #e0f2f1; margin: 0 auto;"></div>	<div style="border: 1px solid #ccc; padding: 5px; background-color: #e0f2f1;"> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> </div>



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## Annex 3: The Rapid Scaling Scan

The Rapid Scaling Scan is a condensed version that allows users to get a sense of the learnings that underpin the Scaling Scan. It is designed for individuals or groups who want to get a quick sense of what the Scaling Scan is about. It takes about 30 minutes to go through and can thus easily be integrated in a webinar, conference, or workshops.



*Please draft a scaling ambition; what you want to scale and where, for whom, etc.*



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*Please score the following questions from 1 (no) to 5 (yes, definitely) and make comments where you see fit*

	Score:	Observations:
<p> <b>Technology/Practice</b> Is the innovation easy to adopt by your target group and better than alternatives?</p>	<input type="checkbox"/>	<hr/> <hr/> <hr/> <hr/>
<p> <b>Awareness and Demand</b> Do stakeholders recognize that a new innovation is necessary, and are they genuinely interested to reach the scaling ambition?</p>	<input type="checkbox"/>	<hr/> <hr/> <hr/> <hr/>
<p> <b>Business Cases</b> Are there viable business cases for the innovation for all stakeholders along the value chain?</p>	<input type="checkbox"/>	<hr/> <hr/> <hr/> <hr/>



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Please score the following questions from 1 (no) to 5 (yes, definitely) and make comments where you see fit



### Value Chain

Is the value chain adequately organized to supply the innovation in the right quality, quantity and in a timely manner?

Score:

Observations:



### Finance

Are finance mechanisms available, accessible, and affordable for the target group and other stakeholders to use and promote the innovation?



### Knowledge and Skills

Are the knowledge and skills required to use, adapt and scale the innovation available?



### Collaboration

Are all relevant stakeholders to reach and sustain the scaling ambition engaged and collaborating adequately?



### Evidence and Learning

Is there useful and credible information on the scaling process for learning, adaptive management and buy-in?



### Leadership and Management

Is there effective coordination and navigation of the scaling process now, and in the future?



### Public Sector Governance

Are local and national strategies, policies and regulations actively supporting the scaling process?



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## Annex 4: Overview of tools to support you in strengthening your scaling strategy

Dealing with the complexity of scaling requires 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.

### Recommended tools

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.

Topic:	Recommended tool:	Link:
<b>Tools and methods to help with Step 1: formulating the scaling ambition</b>		
 <b>Step 1</b>	<ul style="list-style-type: none"> <li>• <b>The Problem Framing Canvas</b> of the Griffith Center for Systems innovation was developed to spend more time framing problems rather than jumping straight into problem “solving”. It will help in clarifying the “why to scale” question and understand better the needs of the target group.</li> <li>• <b>GenderUp</b> is a discussion-based method that supports innovation teams to scale agricultural innovations in a gender responsible and socially inclusive way. It goes deep into the question of WHO benefits from scaling and helps strengthen Step 1c- the responsibility check.</li> <li>• <b>Toolbox for System Thinkers</b> 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.</li> </ul>	<ul style="list-style-type: none"> <li>📄 <a href="https://www.griffith.edu.au/_data/assets/pdf_file/0025/1750570/Problem-Framing-Canvas-Handbook.pdf">https://www.griffith.edu.au/_data/assets/pdf_file/0025/1750570/Problem-Framing-Canvas-Handbook.pdf</a></li> <li>📄 <a href="https://www.genderupforscaling.org/">https://www.genderupforscaling.org/</a></li> <li>📄 <a href="https://bit.ly/3chl4hO">https://bit.ly/3chl4hO</a></li> </ul>
<b>Tools and methods to help with Step 2: Scaling Ingredients</b>		
 <b>Technology/ Practice</b>	<ul style="list-style-type: none"> <li>• <b>ADOPT by CSIRO:</b> 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.</li> </ul>	<ul style="list-style-type: none"> <li>📄 <a href="https://adopt.csiro.au/">https://adopt.csiro.au/</a></li> </ul>



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## Topic:



### Awareness and Demand

## Recommended tool:

- **An overview of survey and statistical approaches** to demand forecasting.
- **The FAO Communications toolkit** is geared towards helping food security professionals develop a communication strategy and communicate more effectively with their target audiences. Specific sections of the toolkit focus on policy makers and the media, because of the important role they play in implementing and influencing food security policies
- **The Problem Framing Canvas** of the Griffith Center for Systems innovation was developed to spend more time framing problems rather than jumping straight into problem “solving”. It will help in clarifying the “why to scale” question and understand better the needs of the target group.
- **GenderUp** is a discussion-based method that supports innovation teams to scale agricultural innovations in a gender responsible and socially inclusive way. It goes deep into the question of WHO benefits from scaling and helps strengthen Step 1c- the responsibility check.

## Link:

- 📄 <https://bit.ly/3vSUhQK>
- 📄 <https://www.fao.org/3/i2195e/i2195e00.pdf>
- 📄 [https://www.griffith.edu.au/\\_data/assets/pdf\\_file/0025/1750570/Problem-Framing-Canvas-Handbook.pdf](https://www.griffith.edu.au/_data/assets/pdf_file/0025/1750570/Problem-Framing-Canvas-Handbook.pdf)
- 📄 <https://www.genderupforscaling.org/>



### Business Cases

- **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.
- The Lean Canvas **iLean Canvas** is a 1-page business plan template created by Ash Maurya that helps you deconstruct your idea into its key assumptions.
- **The Gender-Responsive Business Model Canvas** is based on mapping a set of building blocks: customer segments, value proposition, delivery channels, customer relationships, revenue streams, key resources, key activities, key partnerships, and cost structure but in a gender responsive manner. The focus here is on success factors in providing small-scale farmers and smallholders with mechanization services, but it can be used for other cases as well.

- 📄 <https://strategyzer.com/canvas/business-model-canvas>
- 📄 <https://leanstack.com/lean-canvas>
- 📄 <https://www.fao.org/3/cc5363en/cc5363en.pdf>



### Value Chain

- **LINK Methodology.** A participatory guide to business models that link smallholders to markets.
- **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.
- **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.

- 📄 <https://cgspace.cgiar.org/handle/10568/49606>
- 📄 <http://valuelinks.org>
- 📄 <https://bit.ly/31eAOfh>

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












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Topic:	Recommended tool:	Link:
 <b>Value Chain</b>	<ul style="list-style-type: none"> <li>• <b>Developing gender-sensitive value chains. Guidelines for practitioners.</b> The publication provides practical tools and examples of successful approaches to address the gender-based constraints that affect agrifood value chains. The guidelines are intended to assist practitioners in integrating gender equality dimensions more effectively in the design and implementation of value chain interventions in the agricultural sector.</li> </ul>	 <a href="https://www.fao.org/3/i9212en/I9212EN.pdf">https://www.fao.org/3/i9212en/I9212EN.pdf</a>
 <b>Finance</b>	<ul style="list-style-type: none"> <li>• <b>The Investment Learning Platform (ILP)</b> aims to provide concise and practical guidance to those who plan, formulate, implement or evaluate public investment in agriculture and rural development, in particular government, their advisors and partners.</li> <li>• <b>IFAD</b> collection of tools and guidelines on accessing finance by smallholder communities.</li> </ul>	 <a href="https://www.fao.org/investment-learning-platform/home/en/">https://www.fao.org/investment-learning-platform/home/en/</a>   <a href="https://www.ifad.org/en/web/knowledge/tools?mode=search&amp;catTopics=39130769">https://www.ifad.org/en/web/knowledge/tools?mode=search&amp;catTopics=39130769</a>
 <b>Knowledge and Skills</b>	<ul style="list-style-type: none"> <li>• <b>CapacityWORKS</b> 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 (not open source).</li> <li>• <b>Paper from 2022</b> with guidance on different levels of capacity development and an operational framework to develop synergies between the different levels.</li> </ul>	 <a href="https://www.giz.de">https://www.giz.de</a>   <a href="https://www.km4journal.org/index.php/km4dj/article/view/510">https://www.km4journal.org/index.php/km4dj/article/view/510</a>
 <b>Collaboration</b>	<ul style="list-style-type: none"> <li>• <b>CapacityWORKS</b> 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 (not open source).</li> <li>• <b>This tool</b> helps users to identify and evaluate several partnership phases: Inception, Implementation, Dissemination and Wrapping-Up (“Good Ending and New Beginnings”). It is adaptable and can be used for small projects or planning large trans-disciplinary programs of research.</li> <li>• <b>The Brokering Guidebook</b> 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.</li> <li>• <b>The Multistakeholder Partnership Tool Guide</b> by the Wageningen University &amp; Research CDI contains 60 tools to facilitate multi-stakeholder partnerships.</li> </ul>	 <a href="https://www.giz.de">https://www.giz.de</a>   <a href="https://cagh-acsm.org/sites/default/files/pat_ccghr_regular.pdf">https://cagh-acsm.org/sites/default/files/pat_ccghr_regular.pdf</a>   <a href="http://www.learningloop.nl/">http://www.learningloop.nl/</a>   <a href="http://www.mspguide.org">http://www.mspguide.org</a>

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 <b>Collaboration</b>	<ul style="list-style-type: none"> <li>• <b>The Partnership Learning Loop</b> 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.</li> </ul>	 <a href="http://www.learningloop.nl/">http://www.learningloop.nl/</a>
 <b>Evidence and Learning</b>	<ul style="list-style-type: none"> <li>• <b>CapacityWORKS</b> 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 (not open source).</li> <li>• <b>Blue Marble Evaluation</b> is a global initiative focused on training the next generation of evaluators to Think Globally, Act Globally and Evaluate Globally.</li> <li>• <b>Outcome harvesting</b> is a monitoring and evaluation methodology used to identify, describe, verify and analyse the changes brought about through a development intervention. It is designed to collect evidence of change, and then work backwards to assess contribution to that change.</li> </ul>	 <a href="https://www.giz.de">https://www.giz.de</a>   <a href="https://bluemarbleeval.org/">https://bluemarbleeval.org/</a>   <a href="https://www.betterevaluation.org/methods-approaches/approaches/outcome-harvesting">https://www.betterevaluation.org/methods-approaches/approaches/outcome-harvesting</a>
 <b>Leadership and Management</b>	<ul style="list-style-type: none"> <li>• <b>Scaling up – from vision to large-scale change.</b> 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.</li> <li>• <b>The Agricultural Scalability Assessment Tool (ASAT)</b> by Kohl and Foy (2018) includes a Agriculture Scaling Decision Tree (ASDT) that provides guidance to determine the best scaling pathway and who should drive the scaling process (public/private/ public private partnerships).</li> <li>• <b>Using a Theory of Scaling to guide decision Making</b> by S. Wigboldus and J. Brouwers. Book- let providing guidance on formulating a “Theory of Scaling” (2016) Wageningen University and Research.</li> <li>• <b>The Nine-step guide to scaling strategy</b> facilitates systematic planning for scaling up. It is intended for programme managers, researchers and technical support agencies who are seeking to scale up health service innovations that have been tested in pilot projects or other field tests and proven successful.</li> <li>• <b>The Berkeley University Organizational Change Toolkit</b> is designed for any individual responsible for leading a change initiative of any size.</li> </ul>	 <a href="https://www.giz.de">https://www.giz.de</a>   <a href="https://bit.ly/31c4hq8">https://bit.ly/31c4hq8</a>   <a href="https://edepot.wur.nl/405915">https://edepot.wur.nl/405915</a>   <a href="https://expandnet.net/PDFs/ExpandNet-WHO%20Nine%20Step%20Guide%20published.pdf">https://expandnet.net/PDFs/ExpandNet-WHO%20Nine%20Step%20Guide%20published.pdf</a>   <a href="https://hr.berkeley.edu/sites/default/files/change_management_toolkit.pdf">https://hr.berkeley.edu/sites/default/files/change_management_toolkit.pdf</a>
 <b>Public Sector Governance</b>	<ul style="list-style-type: none"> <li>• A <b>Spring Impact tool</b> to navigate towards government-owned solutions which have sustained impact at scale.</li> </ul>	 <a href="https://www.springimpact.org/2020/10/scalewithgovernment/">https://www.springimpact.org/2020/10/scalewithgovernment/</a>

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### Topic:



### Public Sector Governance

### Recommended tool:

- **The Partnership Assessment tool** helps users to identify and evaluate several partnership phases: Inception, Implementation, Dissemination and Wrapping-Up (“Good Ending and New Beginnings”). It is adaptable and can be used for small projects or planning large trans-disciplinary programs of research.
- **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.
- **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.

### Link:



<https://www.cdc.gov/visionhealth/pdf/Partnership-Assessment-Tool-508.pdf>



<https://bit.ly/3rhvwKv>



<https://bit.ly/3ciMUKP>

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



### Step 3

- **ExpandNet and WHO “Nine steps for developing a scaling-up strategy” facilitates systematic planning for scaling up.** It is intended for programme managers, researchers and technical support agencies who are seeking to scale up health service innovations that have been tested in pilot projects or other field tests and proven successful.
- **Scaling Readiness** is a scientific approach which supports organisations, projects and programmes in achieving their ambitions to scale innovations.
- **Scaling up – From Vision to Large-Scale Change.** A Management Framework for Practitioners by MSI. Third Edition (2016) offers practical advice on how to carry out each of the ten key tasks needed for effective scaling up.



<https://expandnet.net/PDFs/ExpandNet-WHO%20Nine%20Step%20Guide%20published.pdf>



<https://www.scalingreadiness.org/>



<https://www.msiworldwide.com/wp-content/uploads/2023/10/Scaling-Up-Framework.pdf>

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# Key reference documents for the Scaling Scan

## 📖 Key literature: PPPlab 6 on scaling ingredients

While the dominant approach to scaling is linear, the Scaling Scan promotes a systems approach to scaling which is described in:

- Wigboldus, S., Klerkx, L., Leeuwis, C., Schut, M., Muilerman, S., & Jochemsen, H. (2016). **Systemic perspectives on scaling agricultural innovations. A review.** In *Agronomy for Sustainable Development* (Vol. 36, Issue 3). Springer-Verlag France. <https://doi.org/10.1007/s13593-016-0380-z>
- Woltering, L., Fehlenberg, K., Gerard, B., Ubels, J., & Cooley, L. (2019). **Scaling – from “reaching many” to sustainable systems change at scale: A critical shift in mindset.** *Agricultural Systems*, 176. <https://doi.org/10.1016/j.agsy.2019.102652>

## 🎯 Step 1: Develop a Scaling Ambition

The importance of the context was inspired by:

- Cooley, L., & Howard, J. (2019). **Scale up Sourcebook.**
- Schot, J., & Geels, F. W. (2008). **Strategic niche management and sustainable innovation journeys: Theory, findings, research agenda, and policy.** *Technology Analysis and Strategic Management*, 20(5), 537–554. <https://doi.org/10.1080/09537320802292651>

The systems check was inspired by:

- New Foresight, 2018. **Driving the transition towards sustainability.** The four phases of market transformation. <https://bit.ly/39aTGAj>
- Hebinck, A., Diercks, G., von Wirth, T., Beers, P. J., Barsties, L., Buchel, S., Greer, R., van Steenberg, F., & Loorbach, D. (2022). **An actionable understanding of societal transitions: the X-curve framework.** *Sustainability Science*, 17(3), 1009–1021. <https://doi.org/10.1007/s11625-021-01084-w>

## 🔍 Step 2: Scoring the Scaling Ingredients

The scaling ingredients were first described and then later adapted for the Scaling Scan

- PPPLab (2016) **Explorations 4: Scaling:** From simple models to rich strategies.

The scaling ingredients were applied in a cross-regional scientific study on scaling mechanization services in this example:

- Van Loon, J., Woltering, L., Krupnik, T. J., Baudron, F., Boa, M., & Govaerts, B. (2020). **Scaling agricultural mechanization services in smallholder farming systems: Case studies from sub-Saharan Africa, South Asia, and Latin America.** *Agricultural Systems*, 180. <https://doi.org/10.1016/j.agsy.2020.102792>

## ⚠️ Step 3: Opportunities and Challenges for scaling

The focus on the weakest link and further practical guidance on developing a scaling strategy were inspired by:

- Cooley, L., & Kohl, R. (2016). **Scaling Up-From Vision to Large-Scale Change.** A Management Framework for Practitioners.
- Sartas, M., Schut, M., Proietti, C., Thiele, G., & Leeuwis, C. (2020). **Scaling Readiness: Science and practice of an approach to enhance impact of research for development.** *Agricultural Systems*, 183, 102874. <https://doi.org/10.1016/j.agsy.2020.102874>

The first edition of the Scaling Scan was published as:

- Jacobs, F., Ubels, J., & Woltering, L. (2018). **The Scaling Scan: a practical tool to determine the strengths and weaknesses of your scaling ambition.** PPPlab and CIMMYT. <https://repository.cimmyt.org/handle/10883/20505?locale-attribute=en>

This publication describes the experience of the Scaling Scan around the world between 2017 and 2023:

- Woltering, L., Valencia-Marina, E., Boa-Alvarado, M., Van Loon, J., Ubels, J., Leeuwis, C., forthcoming. **Supporting a systems approach to scaling for all; insights from using the Scaling Scan Tool.**

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This workbook can be downloaded for free at:

[www.scalingscan.org](http://www.scalingscan.org)

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