

not only to nurture the ownership, but also to transform ownership into change championship for scaling up efforts.

Drivers

- o **Ideas and models:** There has to be an idea or model that works at a small scale. These may emerge from research or practice.
- o **Vision and leadership:** A vision is needed to recognize that scaling up of an idea is necessary, desirable and feasible. Visionary leaders or champions often drive the scaling up process forward.
- o **External catalysts:** Political and economic crises or pressure from outside actors (donors, EU, NGOs, etc.) may drive the scaling up process forward.
- o **Incentives and accountability:** Incentives are key to drive the behaviour of actors and institutions towards scaling up. They include rewards, competitions and pressure through the political process, peer reviews and other evaluations. Monitoring and evaluation against goals, benchmarks and performance metrics are essential ingredients to establish incentives and accountability.

Spaces

- o **Fiscal/financial space:** Fiscal and financial resources need to be mobilized; and/or the costs need to be adapted to fit into the available fiscal/financial space.
- o **Natural resource/environmental space:** The impact of the intervention on natural resources and the environment must be considered, harmful effects mitigated, and beneficial impacts promoted.
- o **Policy space:** The policy (and legal) framework has to allow for, or be adapted to support, scaling up.
- o **Institutional/organizational/staff capacity space:** The institutional and organizational capacity has to be created to carry the scaling up process forward.
- o **Political space:** Important stakeholders, both those in support and those against the intervention, need to be attended to through outreach and suitable safeguards to ensure the political support for a scaled up intervention.
- o **Cultural space:** Possible cultural obstacles or support mechanisms need to be identified and the intervention suitably adapted to permit scaling up in a culturally diverse environment.
- o **Partnership space:** Partners need to be mobilized to join in the effort of scaling up.
- o **Learning space:** Knowledge about what does and doesn't work in scaling up needs to be harnessed through monitoring and evaluation, knowledge sharing and training.



Photo: Prakash Hatvalne/UNDP India

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United Nations Development Programme

Programme Design Questions for Scaling up



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Scaling Up Development Innovations for Transformational Change



Scaling up development innovations to achieve transformational change is about enhancing development effectiveness. Various evaluations have suggested UNDP and other development partners to support scaling-up of successful pilot initiatives to achieve efficient, effective and sustainable development results. **How can UNDP country programmes systematically promote scaling-up?** This pamphlet provides UNDP country offices with some key questions for reflection and intends to support building a scale up vision and strategy into the programme design. Revisiting the key questions during the implementation and conclusion stages is always advisable as well, to help steer through the changing environment. The set of questions is applicable for programmes hosted in any practice area of UNDP. In fact, a multi-practice joint effort is often most desirable for scaling up.

Question 1: What is scaling up?

Each stakeholder may have a different concept and may choose to focus on different aspects of scaling up; however, for effective collaboration in a joint programme, there is a need to have a common understanding of the concepts and issues related to scaling up. It is most important to ensure national ownership of the scaling up concept and vision from the right beginning of the programme design.

For UNDP, scaling up is the process of ensuring coverage, impact, and sustainability of a development innovation. Such a process involves not only an expansion of successful projects to a larger scale, but also strengthening of national capacities, and improvements of global, national and local policies.

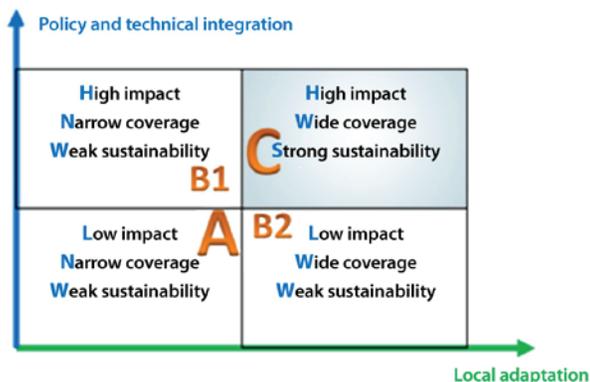
Question 2: What is the vision and desired scale?

It is important to define, up-front, the scale up vision: what development changes are desired at what scale? The results of scaling up entail the following dimensions: *social* (social inclusiveness), *physical* (wide coverage), *functional* (multiplier effect); *political* (policy and budget commitments), and *conceptual* (changing the mindset and power relations).

Question 3: Where are we now in terms of coverage, impact and sustainability?

The scaling up result/situations diagram¹ shows the importance of both the local adaptation and the policy and technical integration. Only when a development solution gains both high level of policy and technical integration and abundant local adaptations, it is most likely to have high impact, wide coverage, and strong sustainability. This

Scaling up situations



¹ UNDP, 2011. Scaling-up Local Innovations Case Study: China Agriculture Extension Special Task Force (AESTF), UNDP, New York.

is indicated at the upper right quarter of the diagram, as an ideal scaled up situation (Situation C: HWS). The other three quarters host situations where only one or none of the three dimensions of scale up has been achieved.

Depending on where the result of the currently available solutions leads to in this diagram, intermediate results and strategic focuses of the designed programme can be defined.

Question 4: What programme interventions are needed for scaling up?

Depending on the vision setting and situation analysis, appropriate programme intervention can be identified to support moving from the current situation to an upper-scale result scenario. Concretely, 'Scaling up' interventions can include and focus on, as indicated in the diagram, for example:

From A to B1:

- Strengthening partnership and multi-practice support to deliver cross-sector approach, technical integration, and engage in policy dialogue.

From B1 to C:

- Addressing the weaknesses in business processes and institutional capacities required to move beyond 'pilots', demonstration, to wider adaptation and programme implementation.

From A to B2:

- Supporting knowledge transfer, capacity development, advocacy and activism at the local level, not relying only on top-down approach to 'trickle down' to communities.

From B2 to C:

- Creating knowledge and political momentum for informing policy and legislative reforms and nurturing enabling environments.

Question 5: How to identify and nurture drivers and spaces for scaling up?

Hartmann and Linn's (2008)² framework offers an important check list for programme designers to consider how to identify and nurture the most relevant drivers and open up spaces for scaling up. The framework is composed of four drivers and eight spaces, as explained in the table on the next page. Drivers are the forces that push the scaling up process forward. Spaces are the opportunities that can be created, or

² A. Hartmann and J. Linn. 2008a. "Scaling Up: A Framework and Lessons for Development Effectiveness from Literature and Practice." *Wolfensohn Center Working Paper* No. 5. Brookings.
A. Hartmann and J. Linn. 2008b. "Scaling Up Through Aid: The Real Challenge." *Global Views*, No. 7, Brookings.



Photo: Leonardo Sexcion/UNDP Philippines

potential obstacles that need to be removed to open up the space for interventions to grow.

Question 6: How can monitoring and evaluation inform scaling up process?

Scaling up is a learning process. Monitoring and evaluation (M&E) are critical for scaling up both at the stage of innovation/piloting and during the process of scaling up.

The evidence collected and analyzed through M&E at the outcome level would clearly define the scale up vision. M&E will provide timely information and indicators to steer, and re-orient when necessary, the scale up pathways. M&E can also reveal the potential risks during the scaling up process, possible trade-off emerging from over-scaling, etc. Actions for mitigating risks and managing trade-offs can then be planned well in time.

As M&E is critical in informing the vision, strategies and risk management of scaling up, it has to take a system approach. It has to move beyond the narrow focus of the immediate outputs of the project, to include follow-ups on the results and spill-over effects of the innovation, as well as monitoring the politico-economic developments that enable scaling up.

Monitoring and evaluation for scaling up also has to be collaborative and taking a stakeholder approach. This is