

An upscaling approach for climate services

Worksheet

This worksheet accompanies the upscaling toolkit as a place to record outcomes from following the approach

Climate Services upscaling notes

Throughout the toolkit grey boxes indicate what should be recorded in the numbered tables here. Annotations and explanations are also covered in the toolkit document.

For each outcome you record, think about whether this can be monitored, how it could be evaluated, and what this will inform (learning). In Step 3.2, at the end of the approach, this will be revisited to formulate a monitoring, evaluation, and learning (MEL) strategy.

Step 1.1 – Vision development: what the scaling strategy will aim to achieve

1.a: Dimensions of innovation scaling to perform

Upscaling dimension(s)	Notes

1.b: Scaling ambition questions

Question	Answer	Notes
a) What is being scaled?		
b) Where will it be scaled – who will use the service?		
c) When will it be scaled?		

d) How much will it be scaled?		
e) For whom will it be scaled?		
f) By whom will it be scaled?		
g) Why will it be scaled?		

1.c: Scaling ambition and accompanying notes from the system and responsibility checks

Scaling ambition	Notes (including monitoring and evaluation, sector positioning and responsibility checks)
	<p>The “to be” state:</p> <p>Sector positioning:</p> <p>Responsibility:</p> <p>Monitoring, Evaluation and Learning:</p>

Step 1.2 – Assess the scalability of the innovation

1.d: The scalability assessment questionnaire answers

Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
Existence and target of the scaling strategy	1. [Priority] Is there a pre-existing clear and compelling strategy/plan to reach scale?					
	2. [Priority] Are the target user/stakeholder group and setting homogeneous? (Geography, economy, sector, type of organisation, vulnerability, impactful hazards)					
Credibility, relevance, and observability of innovation	3. [Priority] Does the innovation address a persistent problem or issue? (Persistently over time, or across user groups)					
	4. [Priority] Does the innovation have the potential to benefit a high number of users and stakeholders across multiple locations or settings?					
	5. [Priority] Have considerations about equity been considered or implemented? (Large vs small user organisations, available resource, age, gender, accessibility)					

Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
	6. [Priority] Is the innovation of a high technological/scientific readiness level? (As defined here)					
	7. [Priority] Has the innovation been through independent external evaluation or review?					
	8. [Priority] Is the innovation as simple as possible without jeopardising outcomes? (Later this will relate to ease of use and implementation)					
	9. Is there evidence that the innovation works in diverse contexts?					
	10. Is the innovation's benefit tangible and easily observable to potential adopters?					
Relative advantage over existing practices	11. Are the current solutions considered inadequate ? (Or don't exist at all)					
	12. Is the innovation known/thought to be more effective than current solutions and other alternatives? (By potential or current user and stakeholder groups)					

Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
	13. Does the innovation have a substantially lower cost than other solutions? (Including time and resource)					
Ease of transfer and adoption	14. [Priority] Can the innovation be implemented by users with their existing systems, infrastructure, and employee skills?					
	15. [Priority] Is the innovation able to be tested by the developers or users on a limited scale? (Or has it been already)					
	16. [Priority] Can the innovation be used for multiple purposes beyond the initial aim that increases its value?					
	17. [Priority] Can the innovation be easily adapted or extended by the developer team to meet the upscaling goals? (e.g., the data used are available across geographic regions, relevant climate variables or metrics are readily available)					
	18. Does using the innovation represent a small departure from current processes, practices and decision-making approaches of target organisations?					



Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
	19. Is it easy for the innovation to be adopted? (e.g., Is the number of decision-makers involved in agreeing to adopt the innovation small? Is adoption motivated by regulation?)					
	20. Is adoption of the innovation aligned with the existing socio-cultural norms or behaviours of the target areas or population? (Within the user community, or those affected by using the innovation)					
Fit between the innovation and the adopting/user organisation	21. [Priority] Does the adopting/user organisation(s) have the capacity to implement/use the innovation? (Including time and resources)					
	22. [Priority] Is it easy to implement any required training and extension support for the innovation?					
	23. Does the adopting/user organisation(s) have leadership teams, norms and incentives consistent with using the innovation? (e.g., a recognised sustainability team or target)					



Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
	24. Is there a demonstrable support for the change among staff of the adopting/user organisation(s)?					
Engagement with key stakeholders	25. [Priority] Is, or has, input about the project/innovation being (or been) sought from a range of stakeholders? (e.g., main users, policy makers, secondary users)					
	26. Does the innovation allow for building ownership in the implementing (user) organisation(s)?					
Constituents, Drivers, Champions	27. [Priority] Does the innovation address an urgent need that is felt acutely? (By users, stakeholders, policy makers etc.)					
	28. [Priority] Is there a growing demand for the innovation? (e.g., within the user community, policy makers, or the public)					
	29. [Priority] Are there powerful advocates that support the adoption of the innovation? (Organisations or champions)					



Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
Monitoring, Evaluation and Learning	30. [Priority] Is there a mechanism for monitoring and evaluation, review of progress and inclusion of new learning in the process of scaling?					
	31. Is there a shared understanding among key stakeholders about gathering evidence related to feasibility and outcomes prior to, or during, scaling?					
	32. Are actions in place to assess and document outcomes, feasibility, cost effectiveness as well as the process of implementation/usage?					
Support for change	33. [Priority] Is there an agreed-upon expectation and leadership on the extent to which the innovation is to be scaled up? (Within the stakeholder/institutions community, or project leadership)					
	34. [Priority] Does the innovation address an issue that is high on the policy agenda?					
	35. [Priority] Have the opportunities and constraints of the political, policy, sectoral and other institutional factors been considered?					



Topic	Questions related to potential scalability	NO	YES, in progress, partly	YES, done, completely	N/A	Notes/Comments
	36. Is the innovation consistent with the existing national, or international, climate variability and change policies, plans and priorities?					
	37. Is scaling of the innovation unlikely to be impeded by opposition from vested interests in the private value chain or from public sector actors?					
	38. Are there plans to advocate for changes in policies, regulations needed to institutionalise the innovation?					
Sustainable source of funding and resource	39. [Priority] Is the innovation funded by a sustainable source? (self-financing, commercially viable, public financing)					
	40. [Priority] Are additional human and financial resources available to the developer team, that are required during scale-up?					
	41. Are there considerations for early and continuous engagement with partners, donors and stakeholders to build a broad base of financial support for scaling?					
Total number of responses per column:						



1.e: The number of each type of response in the scalability assessment

Number of "No" responses	
Number of "Partly" responses	
Number of "Yes" responses	
Number of "N/A" responses	

1.f: Identified issues (No/Partly or Yes answers) of particular importance:

Topic of issue/Barrier	Issue	Notes/Comments (including monitoring and evaluation)

Step 2.1 – Assess the enabling environment

2.a: Record answers to the enabling environment questionnaire below using the following scoring approach:

- **1 = No – this is very uncertain or remains an issue for enabling upscaling**
- **2 = Between 1 & 3**
- **3 = Perhaps/partly – there are some doubts about the state of this driver and its impact in enabling upscaling**
- **4 = Between 3 & 5**
- **5 = Yes – this is already well-placed / accounted for and is not an issue for enabling upscaling**

Space/Theme	Driver	Questions for consideration	Scores (1-5)	Notes
Institutional	Capacity of user and driving or implementing organisations	1. [Priority] Are training materials and resources available to allow the target group and other value chain actors to adopt and promote the innovation?		
		2. Are the right actors engaged/resources available to provide and improve any training programs necessary for sustainable adoption of the innovation?		
		3. Is the attitude of the user organisation free of scepticism and threats to new ideas and systems?		
	Influencing or mediating organisation	4. Does the leadership support internal and external change management processes to achieve organisational/institutional changes required?		
		5. [Priority] Are important stakeholders in support? (Or are there those that are against and need to be attended to through outreach)		
		6. [Priority] Are there policy windows that can be explored? (Opportunities created by policy, or to influence it)		
		7. Is the role of government or agencies in supporting and reaching the upscaling ambition clearly defined and agreed upon? (e.g., in approving required funding, or regulating for the use of the service)		



Space/Theme	Driver	Questions for consideration	Scores (1-5)	Notes
	High level political support	8. [Priority] Are local and national strategies, policies, and regulations conducive to scaling the technology / practice?		
		9. [Priority] Are there international trends (from global summits and resulting resolutions) that can influence public issues that the national political system can prioritise?		
		10. [Priority] Are there effective links with parallel initiatives or policy processes that could help to scale the innovation?		
Collaborative	National and local ownership	11. [Priority] Are the sectoral or national organisations with which to engage identified? (e.g., organisations or bodies representing groups of users)		
		12. [Priority] Is there a mechanism for continual input about the innovation to be sought from a range of stakeholders? (e.g., policy makers, users)		
		13. Does the project have mechanisms for building ownership in the implementing (user) organisation?		
	Champions	14. [Priority] Are any actors involved who can be influential spokespersons, conveners, and power brokers for the innovation? (i.e., champions, from the developer, user, or other stakeholder groups)		
		15. [Priority] Are there political leaders or policy makers that can champion the innovation and accelerate institutionalisation?		
	Partnerships	16. [Priority] Is there capacity for participatory methods or co-production when implementing or improving the innovation?		
		17. [Priority] Are all actors relevant to scaling the innovation defined and engaged?		

Space/Theme	Driver	Questions for consideration	Scores (1-5)	Notes
		18. [Priority] Are roles and responsibilities of key actors clear, accepted, and complementary?		
		19. Can there be a partnership with the private sector? (If this is not already the case)		
		20. Is there careful planning in the sharing of resources? (e.g., between different parts of the developer team, or with stakeholders who are providing input)		
	Incentives and accountability	21. [Priority] Is there accountability in partnerships and provision?		
		22. [Priority] Are there incentives for the user organisations which increase the potential for uptake of the innovation?		
The sector		23. [Priority] Is there a sectoral reform/change that can support the upscaling? (e.g., in agriculture, health, infrastructure, or climate services itself)		
	Value chain	24. [Priority] Are relations between the various actors in the climate services chain adequately developed? (e.g., from climate data providers to decision makers)		
		25. Are the target group and other value chain actors engaged and organised to allow joint strategic direction-setting, advocacy, and create buy-in? (i.e., enabling the provision of a demand driven climate service)		
Fiscal	Financing	26. [Priority] Can the target group finance the investment in, and operation of, the innovation?		
		27. [Priority] Are relevant financial mechanisms available and accessible for the developers (and all value chain actors)?		
		28. [Priority] Are financial costs and risks acceptable for users, value chain actors and financial institutions/investors?		

Space/Theme	Driver	Questions for consideration	Scores (1-5)	Notes
		29. Do public sector financial incentives exist or are likely to be easily put in place with minimal advocacy to improve the business case for producers, value chain actors, or both?		
		30. Can the cost of the innovation be adapted to fit into the available fiscal/financial space of users and stakeholders?		
	Economic demand and marketing	31. [Priority] Are there viable business cases for upscaling the innovation for all actors along the value chain?		
		32. [Priority] Is enough information available (or being gathered) to continue developing and sharpening business cases for the technology/practice?		
		33. [Priority] Does the target group have access to information about the innovation and are there effective communication channels?		
		34. [Priority] Can you distinguish segments of the target group for effective marketing of the innovation?		
		35. [Priority] Is effective use being made of modern data and IT tools to support , analyse, share, and promote the innovation and to drive the change process?		
Learning	Monitoring, evaluation, and learning	36. [Priority] Are/Will data and monitoring (including bottom-up/field data) be effectively used to steer the scaling process and change course where needed?		

Space/Theme	Driver	Questions for consideration	Scores (1-5)	Notes
		37. [Priority] Is planning in place to take feedback into account and adjust the innovation to meet evolving needs (functional scaling)?		
		38. Is/Can institutional learning be enabled so the scaling process becomes more sustainable? (e.g., a wider sectoral group learning from those who have already implemented the innovation)		
		39. Are positive examples of success and benefit being recorded, published and disseminated?		
Cultural and Community and interactions		40. [Priority] Is there a priority of climate change adaptation and/or mitigation in the end user organisation/sector/public? Or for building understanding of and resilience to weather events and variability?		
		41. [Priority] Might social network structures benefit the upscaling? (e.g., via marketing, or spreading best practice)		
		42. [Priority] Are the existing processes for dissemination developed and aligned with the implementing or affected groups?		
		43. In the value chain and other affected communities is it known who will be supported by the upscaling process and who may lose out?		
		44. Is relevant local leadership engaged/interested in the process? (if implementing the innovation has implications for local communities etc.)		
Other	External catalysts	45. Are other external conditions that can enable the upscaling process or become barriers known and considered? (e.g., Political/economic/crisis or pressure from outside actors, donors, EU, etc.)		
Average Score (1-5 scale):				

2.b: 3 lowest scoring, 3 highest scoring issues from the enabling environment questionnaire:

Topic of issue/Barrier	Issue	Notes (including monitoring and evaluation)
LOW:		
1:		
2:		
3:		
HIGH:		
1:		
2:		
3:		

2.c: 3 to 5 challenges from the enabling environment:

	Challenge	Additional notes (such as monitoring and evaluation)
1.		
2.		
3.		
4.		
5.		

Step 2.2 – Consider the characteristics of the developer team and the user organisation(s)

2.d: Issues or factors related to the developer team

Issue topic: developer team	Details (including monitoring and evaluation)

2.e: Issues or factors related to the user teams

Issue topic: user organisation(s)	Details (including monitoring and evaluation)

Step 3.1 – Develop a scaling strategy

3.a: Actions under the elements of a scaling strategy

Strategy development action	Relevant approach input	Concrete actions to achieve the upscaling vision
1. Planning actions to increase the scalability of the innovation	<ul style="list-style-type: none"> • Issues affecting scalability (Step 1.1) • Functional scaling goals and actions. 	
2. Increasing the capacity of the user organisation	<ul style="list-style-type: none"> • Issues affecting scalability (Step 1.1) • Associated resource and skills of the users (Step 2.2) 	
3. Assessing the environment and planning actions to support vertical upscaling (institutionalisation)	<ul style="list-style-type: none"> • Identified key barriers, and enablers (Step 2.1) • Actions to achieve the vision if vertical scaling was included (Step 1.1) 	
4. Increasing the capacity of the developer team	<ul style="list-style-type: none"> • Associated resource and skills in the developer team (Step 2.2) • Actions from the other elements which may change the requirements of the developer team. 	

Strategy development action	Relevant approach input	Concrete actions to achieve the upscaling vision
5. Determining the role of diversification (optional)	<ul style="list-style-type: none"> New ideas and thinking that emerged, beyond what was included in the vision. 	
6. Planning actions to address spontaneous upscaling (optional)	<ul style="list-style-type: none"> New ideas and thinking that emerged, beyond what was included in the vision. 	
7. Making strategic choices to support horizontal upscaling	<ul style="list-style-type: none"> Actions to achieve the vision if horizontal scaling was included (Step 1.1) 	
8. Finalising the upscaling strategy and next steps	Actions from 1-7 above.	

Step 3.2 – Develop a Monitoring, Evaluation and Learning approach

3.b: Metrics and factors to monitor, evaluate and learn from

Monitoring		Evaluation	Learning
Metric or factor to monitor	How?	How will it be evaluated?	What will this inform?



Monitoring		Evaluation	Learning
Metric or factor to monitor	How?	How will it be evaluated?	What will this inform?