

STAGE 2 – Enabling upscaling: assessing the user and developer teams and external environment

Stage 2 is an opportunity to **consider the enabling environment, and the user and developer teams** involved in upscaling the innovation. This will highlight any potential issues or barriers which need to be addressed in the upscaling strategy, as well as enablers upon which to capitalise. Considering the enabling environment is important whether or not the vision included vertical scaling.

The **ExpandNet Scaling Up framework** is an open system of five elements that interact with one another: the innovation, the user organisation, the resource team (developer team here) and the scaling-up strategy, all of which are embedded in the environment (reference [6]).

Step 2.1 – Consider the enabling environment

- Identify drivers – factors that will support upscaling or may become barriers
- Consider the spaces where the opportunities or barriers may develop

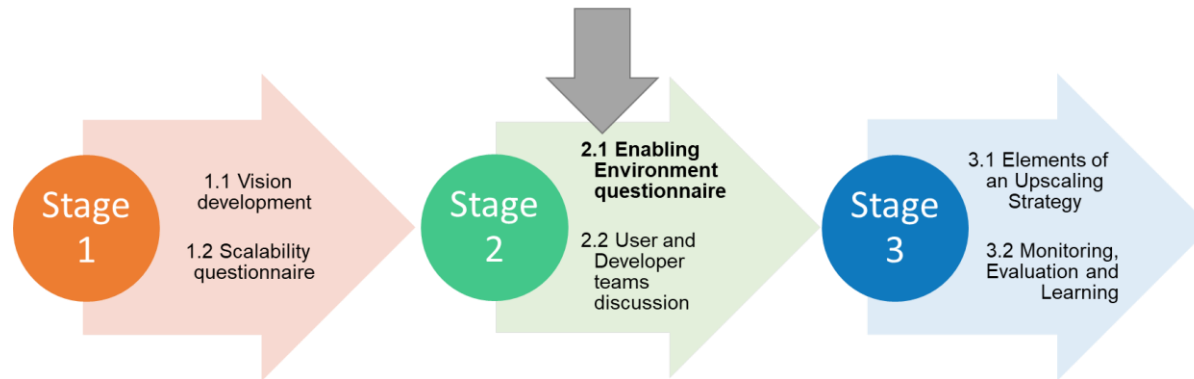
Step 2.2 – Consider the characteristics of the user organisation and the developer team

The goals of Stage 2 are to maximise the opportunities for sustainable scaling via the following steps:

- Identify environmental factors influencing scaling up and understand how they affect the process
- Make timely use of opportunities in the environment to enhance positive support for scaling up
- Continue to assess changes in the environment as the process of upscaling evolves

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Step 2.1 – Assess the enabling environment



The goal of Step 2.1 is to evaluate the external factors that influence the upscaling process, highlight the directions in which these influences can lead the process, and whether the upscaling process can benefit from them or needs to develop strategies to overcome them.

When considering the environment, we need to have in mind the conditions and organisations that are external to the upscaling process but can affect it strongly – e.g. high-level political support which can drive coordinated action, or influential spokespersons (champions) that are vocal in support of the service and/or its upscaling. Several articles discuss various elements of the environment which are often grouped in two large groups: **drivers and spaces** (e.g., References [4], [6] and [14]). We have labelled the questions which follow with the spaces, or themes, and drivers in Table 1.

An upscaling strategy should include discussing these characteristics of the environment in collaboration with users, donors, champions, and all the other people or institutions that could contribute to the upscaling process.

- **NOTE:** Not all the drivers and spaces will have to be considered or developed with equal depth for all cases. Identifying and focusing on the core factors applicable to a particular case is **one of the requirements of effective upscaling**.
- **Expect to spend around an hour answering these questions**, although discussions in a workshop format may take longer.
- If time is limited you may just wish to discuss the themes listed in the table below, without answering the questionnaire.
- This task may raise relevant concerns irrespective of whether the vision includes vertical scaling (which focuses on enhancing the enabling environment in some way).
- **Challenging questions or negative responses should not dissuade you from improving or upscaling a climate service – rather, they inform on how to go about it.**

Table 1: Spaces and drivers included in the enabling environment questionnaire

Spaces/Themes	Drivers – contributors to upscaling
Institutional	Capacity of user and driving/implementing organisations
	Influencing or mediating organisation
Political incentives and constituencies, Policy and/or legal	Governance
	High level political support
Collaborative	National and local ownership
	Champions
	Partnerships
	Incentives and accountability
The sector	Reform
	Value chain
Fiscal	Financing
	Economic demand
Learning	Monitoring, evaluation, learning and accountability
Cultural, Community and interactions	Community and communication
	External Catalysts

Enabling environment questionnaire

Considering the questions below aims to uncover **external spaces and drivers that may form a key part of the enabling environment**, or that require additional consideration to avoid them becoming a barrier. There is some overlap with the scalability assessment, however here there is the opportunity to consider them in further detail.

- Record your answers in **the worksheet (2.a)** – the questions are also listed below.
- For the environment questionnaire use a **scale from 1 to 5**, which reflects the “level of confidence” to reach the scaling ambition based on the factor listed (similar to Reference [3]):
 - 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**
- Consider adding clarifying notes, as well as flagging questions/topics which might be of relevance in developing a scaling strategy.
- Feel free to **skip questions that are not relevant to your case**. You may wish to **prioritise questions marked with [Priority]** if time is limited.

Space/Theme	Driver	Questions for consideration
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? (<i>Opportunities created by policy, or to influence it</i>)
		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
	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?
		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	
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)?

Space/Theme	Driver	Questions for consideration
		28. [Priority] Are financial costs and risks acceptable for users, value chain actors and financial institutions/investors?
		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?
Learning	Monitoring, evaluation, and learning	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?
		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?
		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)
Cultural and Community and interactions		39. Are positive examples of success and benefit being recorded, published and disseminated?
		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?
Other	External catalysts	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.)
		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.)

Definitions for terms (labelled * – ****) in the enabling environment questionnaire can be found on the next page.

Definitions for terms in the enabling environment questionnaire

* An **actor** in the Unified Modelling Language (UML) “specifies a role played by a user or any other system that interacts with the subject”. Consider all those persons or organisation who may interact with the climate service in some way.

** Definition from Reference [17] - A **champion** is someone who believes in the potential of the initiative, is committed to promoting its scaling up, sticks with the agenda, and can convince others to follow their lead.

*** Definition from Reference [3] - **Value Chain** - Effective links between actors to pursue their business cases. A value chain refers to the full lifecycle of the technology or practice that is to be scaled, including material sourcing, production, processing, and consumption/use by the end user. Different actors along this value chain (often but not necessarily businesses) each add value to the technology/practice through various processes to (1) create a finished end-product and (2) sell the finished innovation to the end-user.

**** Definition from Reference [3] - **Business Cases** - Attractive financial/economic propositions for users and other actors to respond to the demand. A business case captures the reasoning for actors along the value chain to produce and supply the technology/practice. All (business) actors will ask themselves: Can I earn from this activity? The business cases involve the economic and financial proposition for each actor along the value chain.

*Please record the average score in **the worksheet (2.a)**, as well as listing some of the main issues identified, starting with the 3 highest scoring topics (or those most relevant to success), and the 3 lowest scoring (or those which are the biggest barriers) in **the worksheet (2.b)**.*

Outcomes from Step 2.1

Overall conclusion

- If the average score from all responses is **generally high (3 or above)**, you are optimistic that you will reach your scaling ambition. You may be well prepared to go to scale and/or operate in a conducive enabling environment or, you might want to be more ambitious in setting your targets and boundaries.
- If the average score is **generally low (below 3)**, you may have to overcome several challenges within the enabling environment to reach your scaling ambition. You could consider being less ambitious (perhaps revisiting your initial ambition from Stage 1) – or you may want to bear these challenges in mind for now, and assess these challenges alongside any emerging from Step 2.2, once you have completed that step.

Key challenges – Look at the three lowest scoring aspects

- Why do you think these topics might make reaching the scaling ambition difficult?
- What other questions stood out?
- Do they stand out because they scored very low, or because they are very important in the context of the project?
- How can this be monitored?
- How can these issues be overcome?

Key enablers – Look at the highest scoring aspects

- Why are these enablers key to reaching the scaling ambition?
- What other questions stood out?
- Why are they already in a good position? Could this be affected by another external factor such that they become barriers?
- How can this be monitored?
- How can you benefit from them?

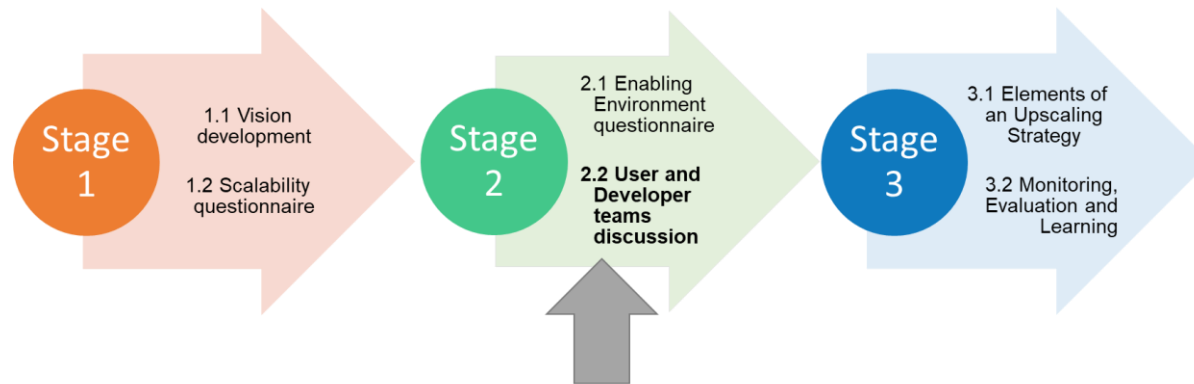
*Based on this, and/or other relevant factors considered, write down the 3-5 key challenges for reaching the scaling ambition in **the worksheet (2.c)**.*

Final considerations – monitoring, evaluation, and learning:

- Are any of these opportunities or constraints likely to change during the scaling up or as a result of the scaling up? (Reference [18])
- Will it be possible to build flexibility into the scaling up strategy to ensure that changes can be accommodated? If so, where/how?

*If relevant, please add additional notes in **the worksheet (2.b and/or 2.c)**.*

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



Step 2.2 focuses on a discussion of the attributes of the user organisation and developer team, which can contribute to a successful and sustained upscaling process (drawing on Reference [6]). The **developer team** encompasses the individuals/organisation that intend to promote and facilitate the wider use of the innovation. “Relationships between the **user organisation** and the resource [developer] team are dynamic, changing over time and with varying circumstances”. The **user team** comprises those members of the user organisation that will receive and use the upscaled service and who may be directly involved in upscaling.

- Expect to spend around half an hour discussing the user and developer teams.
- The developer team discussion **may be most useful when the team is being assembled** but may still be useful later in the process.
- The user organisation discussion points should draw on the answers to related questions in Steps 1.2 and 2.1.
- **Summarising** the discussions/answers into actions or issues at the end will **aid in considering them in Stage 3**.
- **Challenging questions or negative responses should not dissuade you from improving or upscaling the climate service – they just inform on how to go about it.**

Developer team

Discuss whether your team has the attributes or characteristics of a successful developer team, skipping any questions which are not relevant. Those aspects which are lacking or could be improved may need to be addressed in the scaling strategy, to be developed in Stage 3.

1. Are the **leaders of the team effective, motivated and do they have credibility with user organisations?**
2. Is there a **unifying vision** in the developer team?
 - a. This may go deeper than the Upscaling vision developed in Step 1.1. For example, it may be clear agreement on technical or scientific advances in the innovation.
3. Does the team **understand the political, social, and cultural environment?**
4. Does the team **have the ability to generate financial and technical resources?**
5. Does the team have an **in-depth understanding of the user teams' capacities and limitations?**
6. Does the team have the **capacity to train members of the user teams to use the innovation?**
7. Does the team have **skills and experience related to upscaling?**
8. Does the team have **compatibility with the user team(s)?** (e.g., values, ways of working etc.)

Does the developer team have relevant skills to produce and upscale the innovation?

The other skills the developer team may need to possess also requires consideration.

Some example skills that may be required from the developer team:

climate variability and change programme and policy analysis	research, monitoring, and evaluation	management and organisation development	human resource development, training, and curriculum development	participatory approaches
supervision	climate change economics and costing	resource mobilisation and fundraising	advocacy and social communication	technical skills

1. Which of these (or other) skills are important for the upscaling of your project?
2. Do these skills exist within your developer team at the required level?
3. If not, what type of training may be necessary to increase this specific team’s skills?

Some additional questions to consider:

1. Are there upcoming changes within the developer team (organisation) that will affect scaling up?
2. To what extent might the upscaling process differ from the current practices and culture of the developer organisation?
3. Can the developer team/organisation implement this scaling up without negative impact on their other programmes and services?
4. *Are there attributes or considerations we have not covered which may be important for delivering your upscaled service?*

Summarise and **highlight any issues that could impede or support** the upscaling process, and related monitoring, evaluation and learning actions, in **the worksheet (2.d)**.

User organisation(s)

Discuss the **strengths** and **weaknesses** of the user organisations in relation to the upscaling process – specific **attributes** that can facilitate successful upscaling, or areas for growth and positive action that can be summarised in Stage 3.

1. Do the members of the user team(s) **perceive a need for the innovation**?

Consider your responses to Step 1.2 questions

11: *Are the current solutions considered inadequate?*

12: *Is the innovation known/thought to be more effective than current solutions and other alternatives?*

24: *Is there a demonstrable support for the change among staff of the adopting/user organisation(s)?*

27: *Does the innovation address an urgent need that is felt sharply by the beneficiaries/users?*

28: *Is there a growing demand for the innovation?*

2. Do the user teams have **appropriate implementation capacity**?

Consider your responses to

Step 1.2 question 21: *Does the adopting/user organisation(s) have the capacity to implement/use the innovation?*

Step 2.1 question 1: *Are training materials and methods available...?*

3. Do the user teams have **effective leadership and internal advocacy**?

Consider your responses to

Step 1.2 question 21: *Does the adopting/user organisation(s) have leadership teams, norms, and incentives consistent with using the innovation?*

Step 2.1 questions

3: *Is the attitude of the user organisation free of scepticism and threats to new ideas and systems?*

4: *Does the leadership support internal and external change management processes to achieve organisational/ institutional changes required?*

4. Are the **timing and circumstances within the user teams right**?

Consider your responses to

Step 2.1 questions

22: *Are there incentives for the user organisations to increase the potential for uptake of the innovation?*

- 26: *Can the target group finance the investment in, and operation of, the innovation?*
- 28: *Are financial risks acceptable for value chain actors and financial institutions/investors?*

5. *Are there questions that we have not asked and could be relevant for your upscaling project?*

Summarise and **highlight any issues that could impede or support** the upscaling process, and related monitoring, evaluation and learning actions, in **the worksheet (2.e)**.

Outcomes from Step 2.2

You will now have a better understanding of the **characteristics of the developer team and the user organisation(s)**. For both these entities, you will have identified **relevant issues and/or supporting factors for the upscaling process**, and **any monitoring, evaluation and learning actions that relate to these issues/factors**. You can now consider the outcomes from this step alongside those from the preceding steps as you start to move towards a strategy for achieving your upscaling vision, in Stage 3.

At the end of Stage 2, you have:

- Assessed the enabling environment for upscaling your climate service
- Considered, in the context of upscaling, the characteristics of the climate service developer team and the user organisation(s)

Now proceed to Stage 3