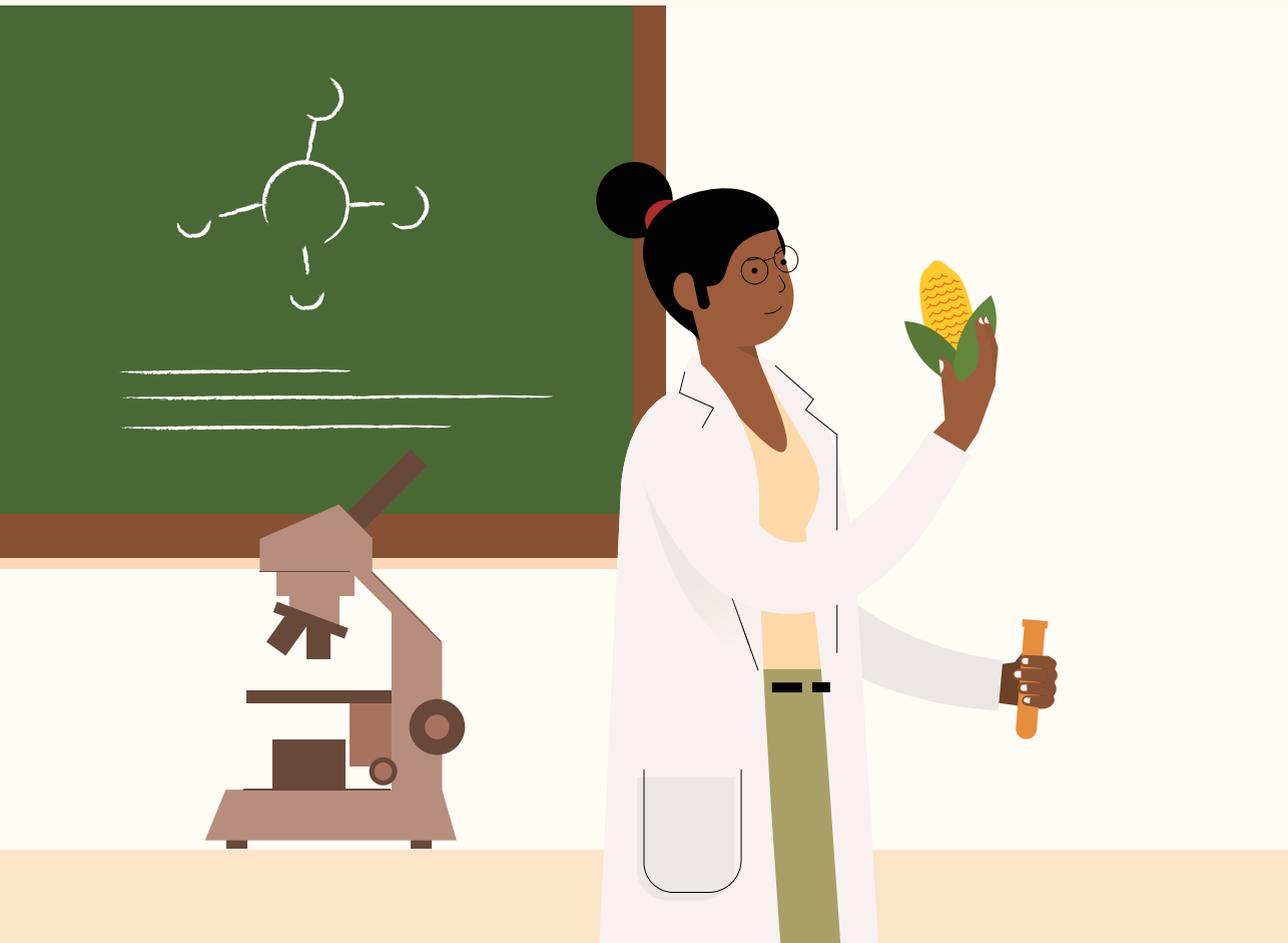




RESEARCH
PROGRAM ON
Roots, Tubers
and Bananas

Scaling Readiness

Concepts, Practices, and Implementation



Scaling Readiness

Concepts, Practices, and Implementation

Murat Sartas
Marc Schut
Boudy van Schagen
Claudio Velasco
Graham Thiele
Claudio Proietti
Cees Leeuwis

Sartas, M., Schut, M., van Schagen, B., Velasco, C., Thiele, G., Proietti, C., and Leeuwis, 2020. Scaling Readiness: Concepts, Practices, and Implementation. CGIAR Research Program on Roots, Tubers and Bananas (RTB). January 2020, pp 217. Available at www.scalingreadiness.org and www.rtb.cgiar.org.

ISBN: 978-92-9060-532-4

DOI: 10.4160/9789290605324

Published by the CGIAR Research Program on Roots, Tubers and Bananas

The CGIAR Research Program on Roots, Tubers and Bananas (RTB) is a partnership collaboration led by the International Potato Center implemented jointly with Bioversity International, the International Center for Tropical Agriculture (CIAT), the International Institute of Tropical Agriculture (IITA), and the Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD), that includes a growing number of research and development partners. RTB brings together research on its mandate crops: bananas and plantains, cassava, potato, sweetpotato, yams, and minor roots and tubers, to improve nutrition and food security and foster greater gender equity especially among some of the world's poorest and most vulnerable populations. www.rtb.cgiar.org

Contact

RTB Program Management Unit
International Potato Center (CIP)
Apartado 1558, Lima 12, Peru
rtb@cgiar.org and www.rtb.cgiar.org

ISSN: 2309-6586

© International Potato Center on behalf of RTB

Creative Commons License



This working paper is licensed under the Creative Commons Attribution-NonCommercial-ShareAlike 4.0 International License. To view a copy of this license, visit <http://creativecommons.org/licenses/by-nc-sa/4.0/>

The development of Scaling Readiness was led by Wageningen University and the International Institute of Tropical Agriculture (IITA) in close collaboration with the International Potato Center (CIP), Bioversity International, and the International Center for Tropical Agriculture (CIAT).



Acknowledgement

Scaling Readiness was developed as an integral part of the CGIAR Research Program on Roots, Tubers and Bananas (RTB) and supported by CGIAR Fund Donors (www.cgiar.org/about-us/our-funders).

We would like to thank Pieter Pypers, Iddo Dror, James Legg, Tom van Mourik, Jorge Andrade, Ana Lucía Vasco Carrillo, Peter Kromann, Seerp Wigboldus, Margaret McEwan for their valuable contributions and feedback during the development and testing of Scaling Readiness.

Table of Contents

Forword	8
Scaling Readiness Development Team	10
Glossary	14
About Scaling Readiness	20
For whom is Scaling Readiness useful?	21
What does Scaling Readiness offer?	21
What makes Scaling Readiness different?	22
What does Scaling Readiness Guidelines offer?	22
General introduction to Scaling Readiness	24
Why is the scaling of innovation so complex?	24
The contribution of Scaling Readiness	25
The limits of Scaling Readiness	25
A stepwise process to enhancing the scaling of innovation	26
PART A: Scaling Readiness Concepts	31
Step 0: Fit-for-Purpose	32
Step 1: Characterize	36
Step 2: Diagnose	42
Scaling Readiness = Innovation Readiness * Innovation Use	44
Step 3: Strategize	50
Step 4: Agree	56
Step 5: Navigate	64
PART B: Scaling Readiness Practices	69
Step 0: Fit-for-Purpose	70
Step 1: Characterize	76
Step 2: Diagnose	82

Step 3: Strategize	88
Step 4: Agree	94
Step 5: Navigate	100
PART C: Scaling Readiness Implementation	107
Step 0: Fit-for-Purpose	110
Activity 0.1: Decide whether Scaling Readiness is Fit-for-Purpose	112
Activity 0.2: Organize a team meeting to understand and allocate the resources needed for Scaling Readiness	114
Activity 0.3: Organize a team meeting to agree on the plan of work and the budget for Scaling Readiness	117
Activity 0.4: Organize a Scaling Readiness capacity development workshop	120
Step 1: Characterize	136
Activity 1.1: Characterize the intervention	138
Activity 1.2: Characterize the core innovation(s)	142
Activity 1.3: Characterize the complementary innovations	144
Activity 1.4: Refine and validate the innovation package(s)	149
Activity 1.5: Characterize the stakeholders, their networks, and their interventions	156
Step 2: Diagnose	162
Activity 2.1: Prepare and administer the Scaling Readiness diagnosis survey	164
Activity 2.2: Analyze the results and prepare and share the Scaling Readiness diagnosis report	168
Step 3: Strategize	174
Activity 3.1: Identify the best strategic options to address the scaling bottleneck(s) and update the innovation package(s) for the different intervention locations	176
Activity 3.2: Identify partners and partnership modalities and develop a plan of work and a budget to overcome scaling bottleneck(s) for the different intervention locations	180
Step 4: Agree	188
Activity 4.1: Organize and implement a workshop to agree on the scaling strategy and the scaling action plan for the different intervention locations	190
Activity 4.2: Document, review, and finalize the scaling strategy and the scaling action plan for the different intervention locations	200
Step 5: Navigate	206
Activity 5.1: Short-loop monitoring, evaluation, and learning	208
Activity 5.2: Long-loop monitoring, evaluation, and learning	211

Foreword

Scaling innovations is one of the biggest challenges facing agricultural research and development organizations. The international community invests significant resources in the design and testing of innovations to overcome key challenges such as food insecurity, malnutrition, and environmental degradation. Many of those innovations start as a bright idea that is then developed in a laboratory, to be tested subsequently with farmers and other end-users. Although initial results and testing are often promising, few lead to real impact at scale.

One of the main reasons why many innovations do not lead to impact at scale is that ideas about the scaling of innovations are simplistic. The notion of “find out what works and do more of the same” does not take into account the complex and diverse biophysical, social, and economic contexts that shape agriculture across the globe. Furthermore, research organizations often focus on technological innovations and pay less attention to the behavioral, organizational, and institutional changes that are needed to enable the effective use of technology. Revealing such bottlenecks to the scaling of innovations, and developing effective strategies to overcome them, inspired the development of Scaling Readiness.

Scaling Readiness supports organizations, projects, and programs in achieving their ambitions to scale innovations. Scaling Readiness encourages critical reflection on how ready innovations are for scaling and what appropriate actions could accelerate or enhance scaling. Scaling Readiness treats innovation as a flexible package of technological, organizational, and institutional components that may include crop varieties, machines or equipment, crop production

practices, legislation, and marketing campaigns. An innovation may be ready in a technical sense – for example, a new crop variety may thrive in the local environment – but, if farmers lack funds to buy seed or if the policy environment discourages the uptake of new varieties, it may not be adopted at scale. Scaling Readiness assesses the potential of innovations to be used at scale and guides research and development intervention managers in implementing these innovations in practical contexts. Through its standardized data collection and analysis approach, Scaling Readiness can also be used to monitor an intervention portfolio at organizational level, allowing for evidence-based management.



Graham Thiele

Director of the CGIAR Research
Program on Roots, Tubers and Bananas



Elwyn Grainger-Jones

Executive Director of the CGIAR System
Organization

Scaling Readiness Development Team



Murat Sartas

Murat Sartas is a scientist and developer of assessment and management systems for innovation programs and projects. He has produced more than 50 science and communication products on performance of innovation programs and projects in top tier science journals and global platforms. He has developed and programmed LESARD and Scaling Readiness, two performance assessment and management systems for innovation programs and projects in social development sectors that have been tested and used in more than 25 countries globally.



Marc Schut

Marc Schut is a senior innovation and scaling scientist working with the International Institute of Tropical Agriculture (IITA) and the Knowledge, Technology and Innovation group of Wageningen University (WUR). Marc is leading the Flagship 'Improved Livelihoods at Scale' under the CGIAR Research Program on Roots, Tubers and Bananas (RTB) and is Principal Investigator of several large donor-funded research for development projects funded that focus on innovation and scaling for improving food, income and nutrition security. His passion is to develop research products that enhance innovation and scaling capacities of public and private sector partners and that shape government, development and business strategies.



Boudy van Schagen

Boudy van Schagen is an innovation-into-use specialist. He aims to support the adoption and scaling of agricultural innovations by bridging science, policy, and practice. He has an academic background and significant experience in brokering knowledge and creating shared understanding for action across disciplines and diverse stakeholder groups. For Bioversity International, he worked to improve the banana-based cropping systems of central and east Africa, and contributed to the development of Scaling Readiness. He now works as agricultural advisor for the Royal Tropical Institute (KIT), the Netherlands.



Claudio Velasco

Claudio Velasco works at the International Potato Center as a research coordinator based in Quito, Ecuador. His work experience, mainly in the Andes, is focused on managing innovation projects in agriculture and on the development and use of participatory approaches to foster innovation, collective action, knowledge management, and learning. Claudio is part of the Scaling Readiness team providing conceptual and practical insights for testing and adjusting the approach and tools, as well as for the development of this publication. Claudio holds a bachelor's degree in Agricultural Science, a master's degree in International Cooperation, and a PhD in Development, Policy and Practice from the Open University, United Kingdom.



Graham Thiele

Graham Thiele leads the CGIAR Research Program on Roots, Tubers and Bananas bringing together multiple partners to improve food security and reduce rural poverty through research for development. He provides intellectual leadership to develop a shared vision, build strong partnerships and manage for outcomes. He holds an MSc in Agricultural Economics and a PhD in Anthropology from London and Cambridge Universities, respectively. He began his career at DFID in 1984 working on market studies, farming systems, and research-extension liaison. He joined CIP in 1994, developing, and disseminating approaches for promoting innovation in value chains through public private partnerships and contributing to participatory varietal selection and seed system development. In 2005, he became the leader of CIP's Social Sciences Division working on targeting, priority setting, and adoption studies of new agricultural technology and participatory methods. He has mentored and backstopped projects in Bolivia, Peru, Ecuador, Benin, Kenya, Nigeria, Rwanda, Tanzania, the Philippines, and Indonesia. He has authored over 70 peer-reviewed articles, two books, numerous book chapters and magazine pieces.



Claudio Proietti

Claudio Proietti is the program management officer of the CGIAR Research Program on Roots, Tubers and Bananas. He holds an MSc in Tropical Agriculture from the University of Florence (Italy) and has more than 15 years of experience in designing, implementing and monitoring projects and programs in Africa and Latin America. In RTB he has been closely involved in the design and the implementation of the Scaling Fund, a competitive mechanism to identify and promote the most promising innovations developed by the program.



Cees Leeuwis

Cees Leeuwis is professor of Knowledge, Technology and Innovation at Wageningen University, and coordinator of the Section Communication, Philosophy and Technology. He studies processes of socio-technical innovation and transformation in networks, collaboration between different disciplines, research for development policy, the functioning of innovation support systems and the role of innovation platforms, communication, extension and brokers therein. Eventually, these efforts are geared towards making processes of technical and social innovation more responsible, responsive and democratic. He has published widely about these themes in the context of societal domains such as sustainable agriculture, natural resources management, poverty related diseases and inclusive value chains.

A note by the Scaling Readiness Development Team

Thank you so much for your interest in Scaling Readiness. We hope Scaling Readiness will support and improve scaling of innovation in your project or organization.

As our intention is to 'guide' you through the Scaling Readiness concepts, (best) practices and implementation, we refer to this booklet as [Scaling Readiness Guidelines](#).

Please feel free to provide us with feedback and suggestions for further improvement of Scaling Readiness.

The Scaling Readiness Development Team.

Glossary

The key concepts used in this Scaling Readiness Guidelines are defined as follows:

Agreement

Because people in an innovation system are interdependent, scaling requires shared expectations, mutual adjustment, and forms of concerted action among stakeholders with different interests; this is meant to be expressed in an agreed-upon scaling strategy and scaling action plan

Complementary innovations

Innovations that are necessary to scale core innovations. They often relate to the broader environment and are geared toward making this environment more enabling, thereby allowing the core innovation to have impact at scale.

Core Innovations

Innovations that are the focus of the intervention or projects that are aiming for scaling.

Curation of data

The process of organizing and integrating data collected from various sources and transforming them into an electronic format that preserves the data for future use.

Enabling environment

Conditions that need to be in place for core innovations to have impact at scale. In Scaling Readiness we often refer to the enabling environment as the complementary innovations that enable or constrain core innovation to have impact at scale.

Energizer

A short intermezzo in meetings to “activate the body and the mind”.

Evidence-based decision making

Scaling Readiness provides evidence-based decision making on the bottlenecks to the scaling of an innovation in a specific context.

Facilitation

A process of providing structure and direction to stakeholder interactions so that groups can function effectively and make high quality decisions.

Implementers

People who are part of the project team working directly on the scaling of an innovation.

Innovation

Novel practices, products, services, models, and institutional arrangements that have a social or an economic use in society.

Innovation package

The combination of core and complementary innovations that are needed for scaling in a specific location or context.

Innovation profile

Description of the elements of the innovation.

Innovation readiness

The development stage of an innovation and how ready it is for scaling. It is measured along 9 levels of readiness.

Innovation system

The complex interplay of interventions, innovations, actors, and structures that enable or constrain innovation and the scaling of innovation.

Innovation use

Innovation use represents the extent to which an innovation is already being used in society and by whom. It is measured along 9 levels of use.

Integrative negotiation

A negotiation process whereby conflicting interests are resolved to some degree by newly discovered shared interests and problem definitions as a result of social learning.

Intervention

An intervention can be a project, program, policy, or other initiative aimed at developing and scaling an innovation

Intervention donor

A person or an organization that provides financial or material assets to sponsor an intervention.

Intervention managers

People who have direct responsibility for managing intervention activities partially or as a whole.

Intervention partners

People who provide intervention resources and grant responsibility to organize and implement interventions or other activities.

Intervention profile

Description of the elements of the intervention.

Intervention team

Intervention managers and other people who are employed by, and contribute to, the scaling intervention.

Long-term feedback loop

The systematic and periodic monitoring of changes in innovation systems' characteristics (Step 1) and the diagnosis of innovation readiness and innovation use (Step 2) in consecutive cycles of Scaling Readiness to monitor the Scaling Readiness of the innovation package.

Monitoring

Formal and informal gathering and analysis of information relevant to drawing lessons about progress and/or the need to adapt the scaling strategy or the scaling action plan.

Navigation

Finding direction and adjusting scaling strategies and scaling action plans in response to observed changes in the environment.

Scaling action plan

A detailed plan that provides the actions, responsibilities, timelines, and resources allocated to implement the scaling strategy.

Scaling bottlenecks

The core or complementary innovations in an innovation package with the low(est) innovation readiness and innovation use.

Scaling context

The environment or geographical location in which the scaling of an innovation is intended to contribute to achieving specific livelihood outcomes or impacts.

Scaling Readiness

Scaling Readiness is the combined score of innovation readiness and innovation use. Scaling Readiness reveals the potential and the key bottlenecks in the innovation package for a specific scaling objective and context. Scaling readiness also is the name of the approach described in this publication.

Scaling Readiness monitor

A dedicated Scaling Readiness data collector and facilitator who supports rigorous implementation of Scaling Readiness.

Scaling Readiness rigor

To support evidence-based decision making, Scaling Readiness follows a rigorous stepwise process of data collection, data analysis, and strategy development. To identify impactful scaling strategies, it is essential to follow this rigorous process.

Scaling strategy

A set of coherent activities, stakeholders, and stakeholder engagement models to overcome one or more scaling bottlenecks.

Short-term feedback loop

The monitoring that is concerned with the effective implementation of the scaling action plan as part of Navigate (Step 5). This learning loop focuses on the day-to-day fine-tuning, planning, and implementation of activities with stakeholders and stakeholder engagement models as defined in the scaling action plan.

Social learning

A facilitated process of interaction in which people learn about one another's context and perspectives, discover how they depend on one another, and develop agreed-upon starting points for a scaling strategy and a scaling action plan.

Stakeholder engagement model

Model of how to work with the key stakeholders to overcome scaling bottlenecks (e.g. bilateral collaboration, setting up an innovation platform).

Stakeholder profile

Description of the stakeholders, their networks, and their interventions.

Strategic options

The strategies that can be used to overcome scaling bottlenecks, including substitution, outsourcing, developing the innovation with low innovation readiness and innovation use, or the relocation, reorientation, postponement, or stopping of the intervention if overcoming the bottleneck in a specific location or time-path is unfeasible.

Updated innovation package

An innovation package that has a higher Scaling Readiness than the original innovation package after the strategic options to overcome scaling bottlenecks have been considered.

Window of opportunity

An often-limited period in which there is relatively high potential to influence change and scaling in response to emerging trends and/or pressures.

Working group

Several team members assigned to deal with one or more problems and suggest or implement solutions.

Write shop

An intensive, reflective, creative, and speedy process in which a number of stakeholders engage to come up with innovative solutions to problems in a given context.

ABOUT

Scaling Readiness



Scaling Readiness is an approach that can support organizations, projects, and programs in achieving their ambitions to scale innovations and achieve impact. Scaling Readiness encourages critical reflection on how ready innovations are for scaling, and what appropriate actions could accelerate or enhance scaling.

For whom is Scaling Readiness useful?

Scaling Readiness is useful for organizations or individuals with an interest in:

1. Improving the scaling performance of individual interventions or scaling projects
2. Managing a portfolio of interventions aimed at scaling innovation
3. Developing or evaluating proposals aimed at scaling innovation.

What does Scaling Readiness offer?

Scaling Readiness provides concepts, learning tools, and best practices to:

1. Develop capacity in your team on the scaling of innovation
2. Understand your innovation in a comprehensive way
3. Identify bottlenecks and opportunities for scaling the innovation in a specific context
4. Develop strategies to overcome scaling bottlenecks
5. Select relevant partners and partnership models for the effective scaling of innovation
6. Monitor whether your innovation is becoming more ready for scaling over time.

What makes Scaling Readiness different?

Several other approaches and tools aim to support the scaling of innovation. Scaling Readiness, however, is unique in that it:

- Uses scientific methods to assess and visualize the scaling readiness of an innovation
- Follows a rigorous and systematic approach to developing scaling strategies
- Monitors changes in Scaling Readiness over time
- Uses a standardized approach that allows for comparative analysis and aggregation of findings and lessons across projects.

What does Scaling Readiness Guidelines offer?

Scaling Readiness Guidelines has been developed for research and development professionals and managers who are concerned with the design, implementation, or monitoring of effective strategies for the scaling of innovation.

Scaling Readiness Guidelines consists of three parts that can be read in an integrated way or separately to develop a comprehensive understanding of Scaling Readiness:

- **PART A: Scaling Readiness Concepts:** To know more about the underlying concepts of Scaling Readiness
- **PART B: Scaling Readiness Practices:** To delve into Scaling Readiness practice and understand the objectives, methods, and outputs that Scaling Readiness can deliver
- **PART C: Scaling Readiness Implementation:** To get step-by-step guidance on how to implement Scaling Readiness and Tips & Tricks for its effective use

Do you want to know more about Scaling Readiness?

For more information, please visit www.scalingreadiness.org or contact us through info@scalingreadiness.org

General introduction to Scaling Readiness

Why is the scaling of innovation so complex?

The scaling of innovations is considered important for addressing societal challenges related to agriculture and other livelihood domains such as health and the environment. Although the aim of many research and development interventions is to support the scaling of promising practices and innovations, experience shows that achieving impact at scale is often more difficult than anticipated. Scaling tends to involve many interdependencies, and consequently scaling is an inherently complex ambition. For example, the successful scaling of one innovation (e.g. an improved soybean variety) may depend on the simultaneous scaling up of other innovations (e.g. in the soybean seed system) or the simultaneous scaling down of pre-existing practices (e.g. the use of a non-improved soybean variety). Similarly, the scaling of technological innovations often needs to be accompanied by behavioral, organizational, or institutional changes. These changes may be very difficult to achieve in practice as they often disrupt prevailing social norms and relationships, as well as existing policies and rules. Furthermore, scaling requires investment, as existing innovations and practices need to be replaced or upgraded in a context where some stakeholders will benefit but others will not. This makes the scaling of innovation inherently political in nature.

Often, these kinds of complexities are not clear from the outset of a project that aims to scale innovations, and neither are they static. In addition, many organizations are not willing to embrace complexity, as it can imply that their success is influenced by dynamics that are beyond their zone of control, influence, or interest. For example, many research organizations are not willing to engage with the kind of lobby and advocacy work that may be needed to foster non-technical innovation (e.g. policy change), even if they know that such strategies could enhance the scaling of their innovations. The complexity of scaling processes has so far not been matched equally with the development of complexity-sensitive methods and tools that can support evidence-based decision making among organizations or projects with a clear scaling ambition.

The contribution of Scaling Readiness

Scaling Readiness provides a set of concepts, principles, and tools aimed at the development, implementation, and monitoring of impactful scaling strategies. It provides an iterative process that supports stakeholders in projects and initiatives to think systematically about what it will take to realize their scaling ambitions. This includes a critical examination of whether the scaling of a proposed innovation remains indeed an effective, desirable, and/or feasible way forward.

An important feature of Scaling Readiness is that it is based on recent insights from innovation studies. Similarly, it uses rigorous scientific methods and tools for data collection and data analysis as a basis for formulating a scaling strategy. This makes Scaling Readiness perhaps more laborious than other approaches, but it has the advantage of allowing projects' advances in Scaling Readiness to be monitored credibly. In addition, it enables the scaling scientists and/or those responsible for a larger portfolio of projects to conduct comparative analysis and aggregate findings, lessons, and Scaling Readiness assessments across projects.

Using Scaling Readiness, we aim to enhance the quality of the thinking about, and the practice of, the scaling of innovations. Currently, we see too often that scaling ambitions are unrealistic and those scaling strategies are poorly informed and do not work on the critical bottlenecks. Moreover, it still frequently happens that scaling is considered only toward the end of an innovation process or intervention and that adequate resources, capacities, and partnerships to foster scaling are lacking. With Scaling Readiness, we want to work to a situation where scaling becomes an integral part of the innovation process and design, and where scaling initiatives are supported by skilled and well-informed professionals. This will contribute to the formulation of more realistic scaling ambitions and tailor-made strategies, and thus to greater impact.

The limits of Scaling Readiness

Scaling Readiness supports an iterative learning and decision-making process involving members of project teams as well as project partners and societal stakeholders. It provides tools and information that add value to such a multi-stakeholder process, but it does not aim to reinvent the wheel when it comes to how to facilitate interaction and navigate emerging dynamics. Thus, in these Guidelines, we refer to other sources of guidance whenever this is appropriate. Moreover, Scaling Readiness depends to a great extent on the capacities of facilitators and scaling readiness monitors to effectively foster learning, agreement, and collaboration in partnership settings.

Scaling Readiness does not assess the extent to which scaling happens, nor does it capture the impacts achieved with this in any detail. It only measures progress in terms of how ready innovations (technological, organizational, and institutional) are to fulfill their intended role in society, rather than measuring that impact (e.g. improved farm production, dietary diversity). Scaling Readiness is assessed quantitatively in terms of the maturity of an innovation package (a combination of technological, organizational, or institutional innovations) and the extent to which it has been taken up by partners or end-users in the innovation network. Whether this is considered enough depends on the requirements of the organizations, donors, and clients involved.

Finally, Scaling Readiness cannot determine whether or not the scaling of a specific innovation is desirable and responsible. The approach encourages project teams to be explicit about the goals they want to achieve through the scaling of innovations, and about who is supposed to benefit, considering that target populations may be diverse in terms of gender, age, ethnicity, agro-ecology, values, interests, and wealth. It then assesses the readiness of innovations against the background of these proposed goals and target audiences, without making a judgement on whether these are the right ones. We strongly encourage critical reflection on these matters and point toward the usefulness of other tools and frameworks that may guide responsible innovation and scaling at various points in the iterative process. In addition, we provide the option of a gender-and-diversity-sensitive application of Scaling Readiness whereby readiness assessments are made for different segments of a target population.

A stepwise process to enhancing the scaling of innovation

Scaling Readiness provides a stepwise process to designing, validating, and implementing scaling strategies (Figure 1). The advantage of a stepwise process is that it breaks down the development of a scaling strategy into smaller, manageable steps that each have their specific objective(s), methods, and results. This allows for a transparent process that can easily be communicated to project teams and collaborators. As the results of activities and partnerships aimed at the scaling of innovation can only be forecast to a limited extent, Scaling Readiness continuously monitors whether scaling strategies are achieving the desired effect.

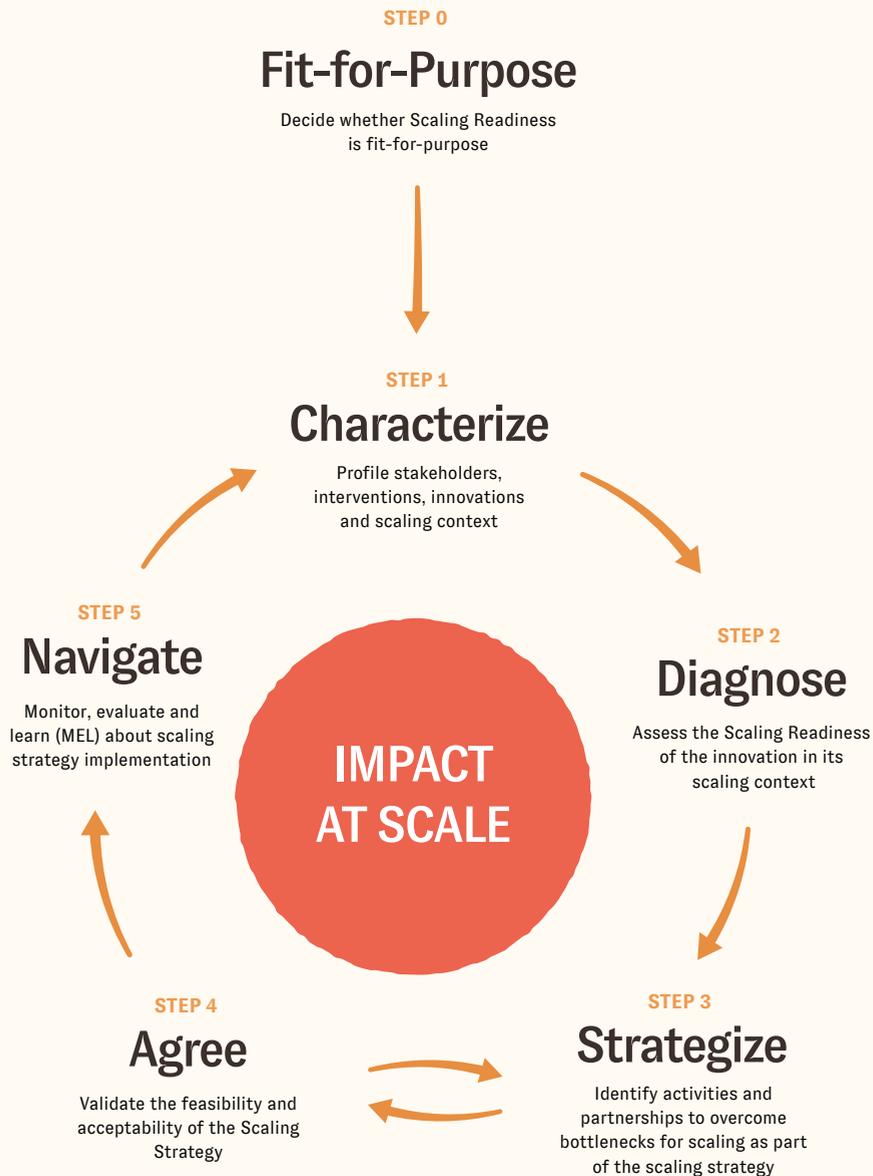


Figure 1. Scaling Readiness: a stepwise process toward designing, validating, and implementing scaling strategies.

Step 0: Fit-for-Purpose

During the Fit-for-Purpose step, a research or development manager reviews whether Scaling Readiness is likely to be beneficial for his/her project or intervention. This is also the step in which potential Scaling Readiness users need to decide whether they are willing to invest time, human, and financial resources in the structured implementation of Scaling Readiness. A flowchart guides decision making on whether Scaling Readiness is fit-for-purpose.

Step 1: Characterize

This step aims to characterize 4 key aspects that will provide a basis for conducting the Scaling Readiness diagnosis: (1) the characteristics of the scaling intervention, (2) what the intervention is trying to scale and why, (3) the context in which the scaling intervention operates, and (4) the stakeholders, their networks, and the other interventions in which they are involved. This step results in a clearly defined innovation package, consisting of core and complementary innovations for different locations where scaling is desired.

Step 2: Diagnose

The data collected in Step 1 provide the basis for diagnosing the Scaling Readiness of each of the innovations in the innovation package in a specific scaling context. Experts who understand both the innovations and the scaling context will be asked to score the core and complementary innovations for their innovation readiness and innovation use. They will be requested to provide evidence that supports their assessment and score. The scoring will show the overall Scaling Readiness of the innovation package and the core or complementary innovations that score lowest and form the key bottleneck to scaling the core innovation in that specific location.

Step 3: Strategize

The Scaling Readiness diagnosis will show the critical bottlenecks to the scaling of innovation. This facilitates the intervention team in making strategic choices about (i) how to overcome the bottleneck, (ii) which partners should be involved, (iii) the most effective way to work with these partners, and (iv) the kinds of activities and budgets required to overcome the bottleneck innovation. These elements constitute the core of a draft scaling strategy.

Step 4: Agree

The proposed draft scaling strategy needs to be shared and agreed upon with the broader project partners and other stakeholders such as donors. This is to ensure sufficient buy-in for the proposed strategy and to validate whether the implementation of the strategy is technically feasible and socially and politically acceptable. If the draft scaling strategy is found unfeasible or undesirable, then the strategic options should be reconsidered; this will require iteration between Step 3 and Step 4. When the scaling strategy is agreed upon, then a scaling action plan needs to be developed to address the core bottleneck(s).

Step 5: Navigate

If an agreement is reached on the scaling strategy and the scaling action plan, the implementation and monitoring of the agreed-upon activities starts. Scaling Readiness facilitates and monitors the scaling strategy implementation through a process of reflexive learning. This implies that project teams periodically reflect on the implementation of the scaling strategy and the related scaling action plan and update these, if necessary, to reach the desired scaling objective. Monitoring can be based on short-term feedback loops that guide the implementation of the scaling action plan, but also on long-term feedback loops comprised of a second Characterize (Step 1) and a second Diagnose (Step 2) round based on the new situation to see whether the scaling strategy has had the desired effect in terms of increasing Scaling Readiness. This makes Scaling Readiness an iterative process.



PART A

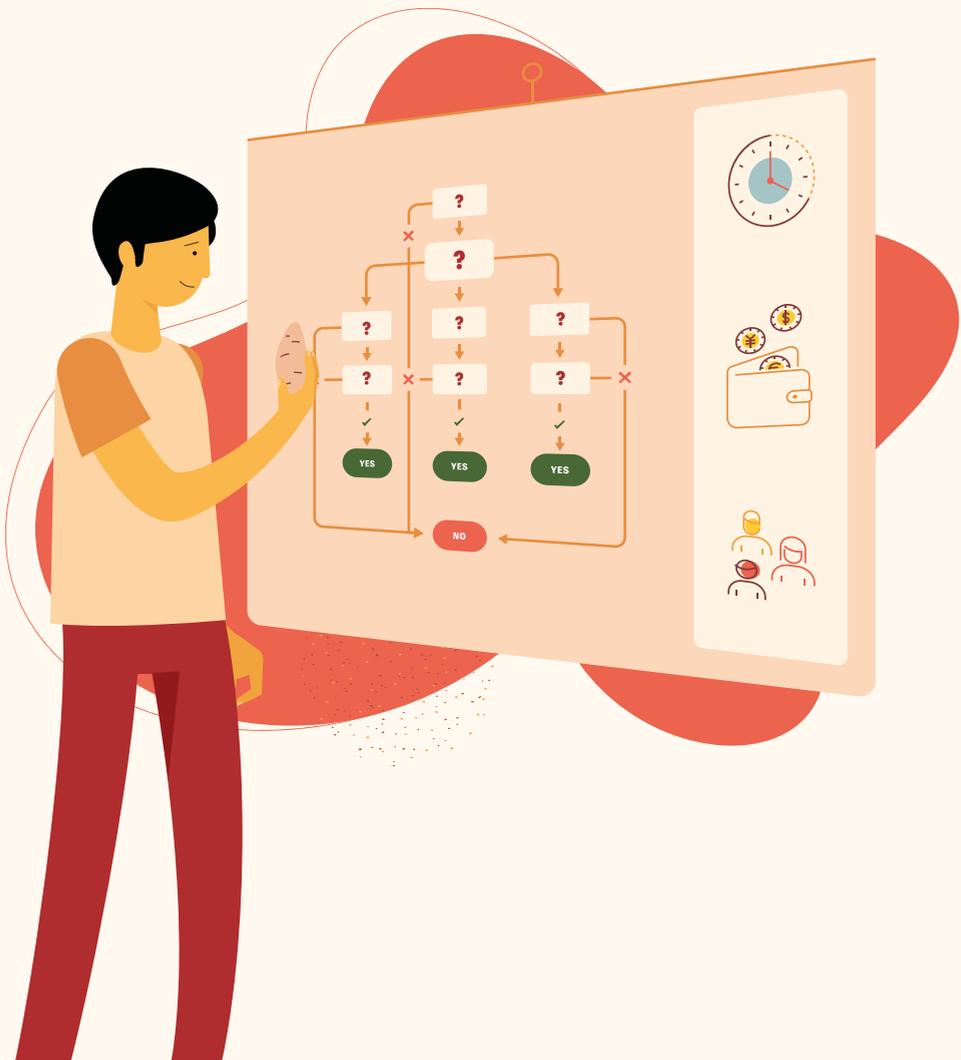
Scaling Readiness Concepts

In this part of the guide, the key concepts and principles behind each of the steps of Scaling Readiness are presented. Before you start using Scaling Readiness, it is important to understand and agree with what the approach is all about.



0 / 5

Fit-for-Purpose



During the Fit-for-Purpose step, a research or development manager reviews whether Scaling Readiness is likely to be beneficial for his/her intervention. This is also the step in which potential Scaling Readiness users need to decide whether they are willing to invest time, human, and financial resources in the structured implementation of Scaling Readiness. A flowchart guides decision making on whether Scaling Readiness is fit-for-purpose.

Scaling Readiness starts by questioning whether the intended Scaling Readiness users believe that evidence will guide them in the development of more impactful scaling strategies. This question seems rhetorical, but the Scaling Readiness team has found that this is a prerequisite for structured and consistent data collection and compliance with Scaling Readiness protocols later in the project.

Next, the user needs to determine the objective for which he/she intends to use Scaling Readiness. Is it:

1. Improving the scaling performance of individual interventions or scaling projects
2. Managing a portfolio of interventions aimed at scaling innovation
3. Developing or evaluating proposals aimed at scaling innovation.

All the above 3 objectives can be fulfilled using Scaling Readiness. However, they follow different pathways and require a different kind of commitment, investment, and time-path for implementation. For example, developing a proposal can be a relatively light and hypothetical exercise, whereas assessing Scaling Readiness across a broad portfolio of projects and innovations can be much more time and resource consuming. Particularly to improve the scaling performance of a single intervention (Objective 1), the intervention must be clearly defined in terms of its available time, human, and financial resources, the specific core innovations that are to be scaled, the scaling context, and the desired livelihood outcomes or impacts. The identification of scaling bottlenecks, as well as the design of the scaling strategy, will to a large extent depend on those specific characteristics.

Scaling Readiness in the program cycle

Given the above use objectives, Scaling Readiness can fulfill different functions in programming cycles. If the user's objective is to improve the scaling performance in a single intervention (Objective 1), then Scaling Readiness will work within the defined intervention profile, including its anticipated outcomes, locations, timeline, and available resources. In such an intervention, Scaling Readiness can increase the likelihood of achieving the desired outcomes. It is beyond the scope of Scaling Readiness to question the innovation or scaling objectives, although we do encourage critical reflection on the extent to which innovations and scaling objectives are responsible and on the beneficiaries that are likely to gain from the scaling of innovation. Nevertheless, in terms of Figure 2, Scaling Readiness is useful mainly for Intervention Design and Implementation (Scaling Readiness Steps 1, 2, and 3), Activity Design and Implementation (Scaling Readiness Step 4), and Monitoring and Evaluation (Scaling Readiness Step 5). As part of Scaling Readiness, we assess an intervention's design and its ability to achieve scaling objectives and support activity design and implementation to overcome scaling bottlenecks, including the selection of key stakeholders.

The situation is somewhat different if Scaling Readiness is used to assess and support the scaling of innovations across a broader portfolio of interventions (Objective 2), or for the development or evaluation of scaling proposals (Objective 3). In those cases, Scaling Readiness can support the identification of innovations that are most likely to achieve livelihood outcomes if used at scale. For example, in certain locations in Tanzania, Scaling Readiness can support the identification of innovation packages that have a proven capacity to contribute to reducing stunting among children or to increasing cassava farmers' incomes. In that case, Scaling Readiness can support strategic planning (Figure 2) and design of a coherent program with innovations that have the highest chance of achieving specific scaling outcomes.



Figure 2. Generic program cycle used by USAID. When used to support the design, implementation and monitoring of a single scaling project (Scaling Readiness Objective 1), Scaling Readiness will often work from defined innovation and scaling outcomes to support Project Design and Implementation, Activity Design and Implementation, and Monitoring and Evaluation. For portfolio management or scaling proposal development (Scaling Readiness Objective 2 and 3), Scaling Readiness can be used for strategic planning by supporting the identification of innovation packages that are most likely to achieve aspired scaling.

Resource requirements for Scaling Readiness

As mentioned in the introductory sections of Scaling Readiness Guidelines, Scaling Readiness follows a rigorous approach for data collection and analysis. Having access to intervention or project data is, therefore, crucial for the success and reliability of Scaling Readiness and the recommendations it makes. Partial or inaccurate information may result in the identification of incorrect key bottlenecks and a corresponding scaling strategy that does not achieve the desired results. In line with this, Scaling Readiness supports the process of developing, implementing, and monitoring a scaling strategy. This process needs financial and human resource investments, as well as capacity development. If the organization or project is unwilling or unable to invest in a precise use of Scaling Readiness, it is better to use alternative tools that require less rigorous implementation.

Scaling Readiness facilitates evidence-based identification of the bottlenecks to the scaling of innovations in a context and supports decision making on strategic options and opportunities for addressing these. This implies that evidence needs to be available and provided as part of the assessment.

Once the decision has been made that Scaling Readiness is fit-for-purpose, the user proceeds to Step 1.

¹ USAID Learning Lab: <https://usaidlearninglab.org/qrg/adaptive-management>

Characterize



This step aims to characterize 4 key aspects that will provide a basis for conducting the Scaling Readiness diagnosis: (1) the characteristics of the scaling intervention, (2) what the intervention is trying to scale and why, (3) the context in which the scaling intervention operates, and (4) the stakeholders, their networks, and the other interventions in which they are involved. This step results in a clearly defined innovation package, consisting of core and complementary innovations for different locations where scaling is desired.

What are innovations ?

Innovations are novel solutions for problems. What an innovation is depends on the definition of the problem. Some problems can be solved by technical solutions and thus they are technical innovations. Others may be solved by new ways of organizing or new collaborations; these are often referred to as organizational innovations. Sometimes, problems require rules, incentives, or changes in policies. These are referred to as institutional innovations. Agri-food innovations often address livelihood (development) problems, and these types of problems are usually complex and caused by multiple factors. Consequently, innovations that target livelihood problems often encompass various technological organizations and institutional dimensions aimed at addressing these different aspects of livelihood problems.

Development objectives and target beneficiaries

In international development interventions, the scaling of innovations is usually not an end in itself; rather, it is meant to serve the realization of development objectives (e.g. enhanced food security) for specific categories of beneficiaries (e.g. vulnerable groups). Scaling Readiness assesses not only whether chosen objectives and audiences are desirable and responsible, but also the readiness of innovations against the background of proposed objectives and target audiences to foster learning. Scaling Readiness, therefore, encourages interventions to be very explicit about the aspired outcomes and the target beneficiaries of innovation scaling, as these will to a large degree influence the Scaling Readiness diagnosis and proposed scaling strategies. For example, if the outcome of scaling an improved maize variety is increased farm household productivity, the innovation package for it is likely to be different from a package intended to scale that same improved maize variety to increase farm household income, which will require additional innovation regarding market access. Similarly, if the innovation requires access to

credit, the scaling strategy to reach adults (who usually have relatively easy access to credit) is likely to be different than a strategy aimed at reaching youth (who usually have more difficult access to credit).

Core and complementary innovations

Core innovations are those innovations that are the focus of the intervention or project that is aiming for scaling. They are typically techniques and technologies at the core of the intervention. Examples include an improved cassava variety, a solar drier for processing banana chips, or the use of a phone application to provide farmers with market information.

Complementary innovations are innovations necessary to scale core innovations. They are often not specified or carved in stone at the onset of the intervention and can be techniques, technologies, or social, economic, and institutional innovations. Often, complementary innovations relate to the broader environment and are geared toward making this environment more enabling, thereby allowing the core innovation to have an impact at scale.

Innovation package

Taken together, the core and complementary innovations are referred to as to the innovation package. As an example, Scaling Readiness assesses the readiness of the package of both core and complementary innovations that need to be considered by an agricultural research for development (AR4D) project to realize its scaling ambition.

Characterizing the innovation system

Core innovations that have a specific objective to change societal processes or livelihoods at scale do not happen in isolation. The context in which scaling is to take place provides enabling or constraining elements for scaling the core innovation. This is often referred to as the innovation system² (Figure 3). In an innovation system, there can be competition with incumbent innovations or with core innovations that other interventions are trying to bring to scale.

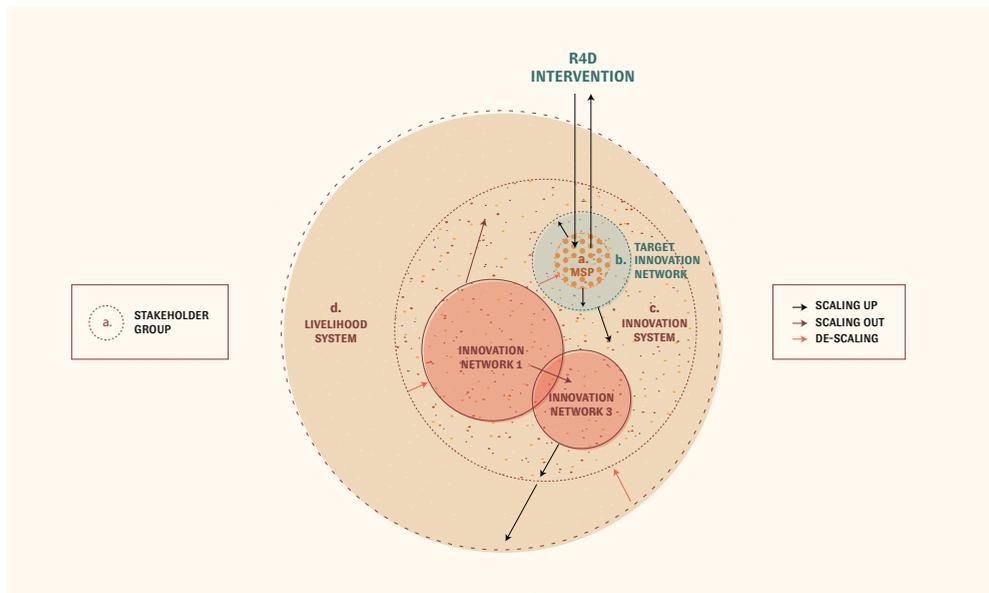


Figure 3. Schematic representation showing how innovations are embedded in innovation systems, which are interrelated landscapes of stakeholders and stakeholder networks, interventions and existing innovations that form the enabling or disabling environment.

Innovation Systems comprise the complex interplay between the core innovation and the three types of landscapes in which the core innovation is embedded:

1. The innovation landscape: the enabling environment or complementary innovations that may impede or support the scaling of the core innovations;
2. The intervention landscape: the set of projects, programs, and other initiatives that are working on similar problems, have similar objectives, and/or are developing and scaling compatible or competing core or complementary innovations;
3. The stakeholder landscape: the networks of stakeholders and their constituencies that can influence, develop, or work on innovations.

These three landscapes interact in a specific location or geography, pursuing specific goals over a determined period. Scaling Readiness characterizes core innovations and the three landscapes of the innovation systems using an online survey approach. This is a prerequisite for the assessment of scaling bottlenecks and the development of a contextualized scaling strategy

² KIT Royal Tropical Institute (2012). What are innovation systems?

<https://www.youtube.com/watch?v=yfq01uKSpU&t=129s>

Stakeholder profiling and engagement

The involvement of key stakeholders and informants in Scaling Readiness is important for three reasons.

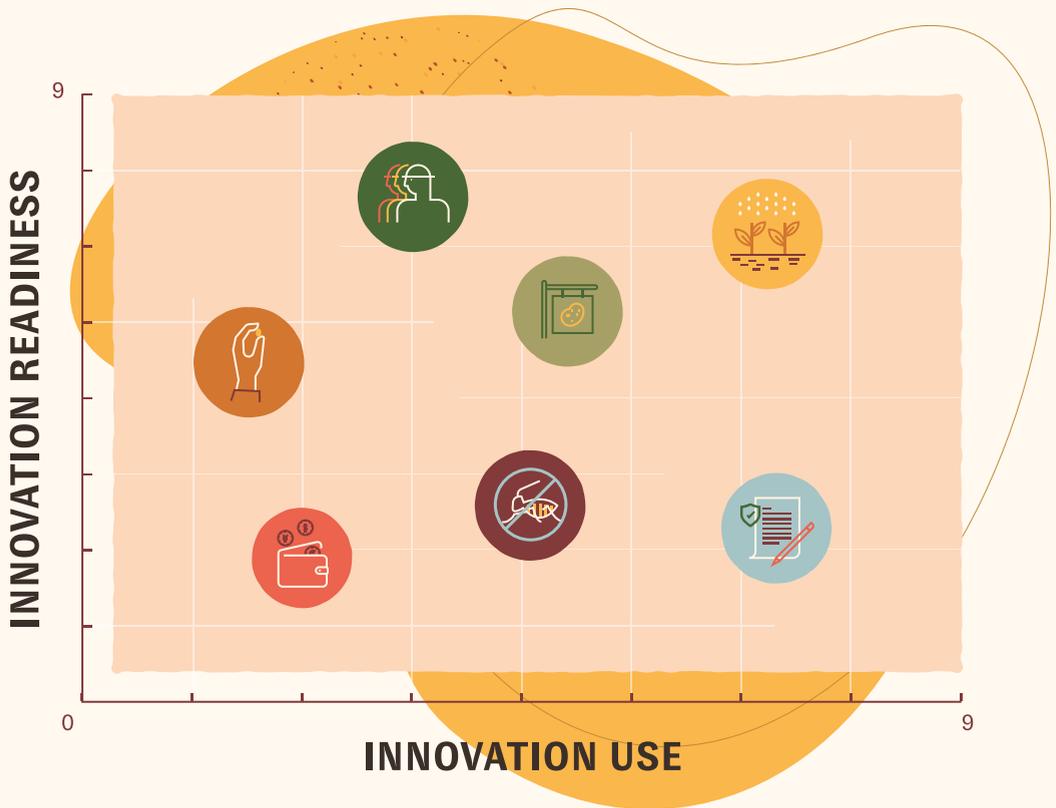
First, stakeholder groups can provide diverse insights into the technological, organizational, and institutional characteristics of the problem, the innovations that are to be scaled, and the scaling context (the innovation system). In Scaling Readiness, we profile stakeholders in terms of (1) their expertise, (2) the locations where they work, and (3) the interventions they are involved in. This input provides a database of experts who can use their expertise to assess the readiness of an innovation and the use/non-use of the innovation in their location, and provide an overview of interventions (projects, programs, etc.) that are active and working on similar problems or innovations across different geographies. To ensure that the Scaling Readiness assessment is objective, we ask only those stakeholders with expertise to assess the readiness of specific innovations. For example, an agronomist will assess the readiness of agronomy innovations (e.g. the effectiveness of maize–soybean intercropping), whereas a social scientist will assess the readiness of organizational or institutional innovations (e.g. innovation platforms for improving maize production systems).

Second, Scaling Readiness brings stakeholder groups together to interpret the Scaling Readiness diagnosis and to strategize and agree on action. Through their interaction and participation, stakeholder groups become aware of their different interests, needs, and objectives, but also of their fundamental interdependencies and the need for concerted action across different levels to overcome scaling bottlenecks and reach their objectives. The Scaling Readiness diagnosis supports evidence-based decision making and helps to prevent organizations or individuals from pushing to work only on scaling bottlenecks within their mandate, interest, or preference. Experience shows that many (research) organizations prefer not to tackle institutional bottlenecks, even though these are often the key obstacles to the scaling of innovations. In many instances therefore, Scaling Readiness may challenge the boundaries of AR4D projects and encourage stakeholders to step out of their comfort zone and engage with new issues and partners.

Third, Scaling Readiness supports a facilitated multi-stakeholder process to design and implement a scaling strategy. Stakeholders are more likely to support the implementation of such strategies when they have been part of the design and testing process.

2 / 5

Diagnose



The data collected in Step 1 provide the basis for diagnosing the Scaling Readiness of each of the innovations in the innovation package in a specific scaling context. Experts who understand both the innovations and the scaling context will be asked to score the core and the complementary innovations for their innovation readiness and innovation use. They will be requested to provide evidence that supports their assessment and score. The scoring will show the overall Scaling Readiness of the innovation package and the core or complementary innovations that score lowest and form the key bottleneck to scaling the core innovation in a specific location.

The law of the minimum

Core innovations cannot be used at scale unless all the innovations in the innovation package are working above a given minimum level of performance. For example, scaling an improved potato variety will not be successful if there is no formal or informal potato seed system through which it can reach end-users. In addition, if there is no market demand for the improved potato variety, then the likelihood of that variety being used at scale is very low. Thus, although the core innovation (the improved potato variety) can be well developed (or ready for scaling), the complementary innovations (seed system and market promotion) may constrain its use at scale. As all core and complementary innovations are interdependent, the innovation with the lowest readiness for scaling influences the overall Scaling Readiness of the innovation package.



Figure 4. The Scaling Readiness barrel visualizes how innovations with the lowest innovation readiness and use form the bottleneck for scaling the innovation package.

Scaling Readiness uses the analogy of Liebig’s barrel⁹ to represent the innovation package. The barrel constitutes the innovation package, with the individual wooden planks being the core and the complementary innovations. The overall scalability of the innovation package (represented by the volume of water in the barrel) is limited by the innovation with the lowest Scaling Readiness (Figure 4).

To achieve scaling, interventions need to improve the readiness of different core and complementary innovations, and this may require a broadening of the scope of an AR4D project. If the readiness of some innovations lags, investments will not lead to the desired impact.

Scaling Readiness = Innovation Readiness* Innovation Use

The Scaling Readiness of an innovation package is measured by scoring the package’s core and complementary innovations along levels of innovation readiness and innovation use. The use of the readiness concept was inspired by NASA, which refers to technology readiness to assess new technologies in terms of their readiness to go into space. Organizations in the research and development domain have adopted technology readiness to guide investment decisions across a broader portfolio of research and development interventions (e.g. Horizon 2020) as well as to monitor and evaluate whether such investments have resulted in returns in terms of higher innovation scaling readiness. As explained in Step 0, Scaling Readiness has been developed to (1) improve the scaling performance of a single intervention (e.g. a development project), (2) assess the scaling readiness of innovations across a broader portfolio of interventions, and (3) develop or assess proposals for the scaling of innovations (e.g. for resource mobilization).

Innovation Readiness

Innovation readiness is measured along 9 levels that range from an idea or hypothesis (Level 1) to an innovation with low readiness for scaling (Levels 2–5: core or complementary innovations have been tested or validated theoretically), to medium readiness for scaling (Levels 6–7: innovations are successfully tested in a controlled environment), to high readiness for scaling (Levels 8–9: innovations are proven to work in an uncontrolled environment) (Table 1).

Level of Readiness	Level Number	Level Description
Ready	9	Validated capacity of the innovation to meet specific objectives in an uncontrolled environment without support from an intervention
Incubation	8	Tested capacity of the innovation to meet specific objectives in an uncontrolled environment with support from an intervention
Proof of Application	7	Tested capacity of the innovation to meet specific objectives in an uncontrolled environment with support from an intervention
Working Application	6	Tested capacity of the innovation to meet specific objectives in a controlled environment
Working Model	5	Validated capacity of the innovation to meet specific objectives using applied science evidence
Formulating Working Model	4	Researched capacity of the innovation to meet specific objectives using applied science evidence
Basic model	3	Validated principles that the innovation can meet specific objectives using basic science evidence
Basic research	2	Validated hypothesis that the innovation can meet specific objectives using basic science evidence
Idea/Hypothesis	1	Formulated idea or hypothesis for an innovation to meet a specific objective for intended users

Table 1. Innovation readiness levels guide the assessment of the readiness of the core and the complementary innovations that constitute the innovation package.

³ de Baar, H.J.W. (1994). von Liebig's law of the minimum and plankton ecology (1899–1991). *Progress In Oceanography*, 33(4), 347–386. doi:10.1016/0079-6611(94)90022-1. Van Der Ploeg, R. R., Böhm, W., & Kirkham, M.B. (1999). On the origin of the theory of mineral nutrition of plants and the law of the minimum. *Soil Science Society of America Journal*, 63(5), 1055–1062. <https://dl.sciencesocieties.org/publications/sssaj/abstracts/63/5/1055>.

As part of the Scaling Readiness diagnosis step, credible evidence must be provided to validate the projected level of readiness of the innovation in a specific context. For example, if a specific cassava-processing technique is assessed as ready for scaling (Level 9) in Rwanda, then the assessor has to be able to provide evidence (e.g. a scientific article, data from a baseline survey, a technical report) that proves that this cassava-processing technique was used in an uncontrolled environment, without support from an external intervention, and managed to meet its livelihood objective. The evidence-based approach is important to Scaling Readiness, as protagonists or developers of specific innovations often claim that their innovation is more ready than can be demonstrated plausibly.

Innovation use

Innovation use represents the extent to which an innovation is already being used in society, and by whom. Innovation use is also measured along 9 levels that range from low use (Levels 1–3: core or complementary innovations are used only by project teams and their direct partners), to medium use (Levels 4–7: innovations are used by other projects and their partners), to high use (Levels 8–9: innovations are commonly used by farmers and other end-users) (Table 2).

Level of innovation use	Level Number	Level Description
Livelihood system (Common)	9	The innovation is commonly used by intended end-users who had nothing to do with the innovation development or the intervention project
Livelihood system (Rare)	8	The innovation is used by some intended end-users who had nothing to do with the innovation development or the intervention
Innovation system (Common)	7	The innovation is commonly used by organizations or individuals who work on the innovation in similar geographies or sectors but are not directly connected to the intervention partners
Innovation system (Rare)	6	The innovation is used by some organizations or individuals who work on the innovation in similar geographies or sectors but are not directly connected to the intervention partners
Innovation network (Common)	5	The innovation is commonly used by organizations or individuals who are not formally involved in the project but are connected to intervention partners

Innovation network (Rare)	4	The innovation is used by some organizations or individuals who are not formally involved in the intervention but are connected to intervention partners
Project partners	3	The innovation is used by the intervention or project teams and the direct partners that were involved in the development of the project and receive funding from the intervention project
Project team	2	The innovation is used only by the intervention or project team
Project leaders	1	The innovation is not yet used by the intervention or project team but is embraced by project leaders

Similar to innovation readiness claims, innovation use claims must be supported by evidence. Scaling Readiness collects and uses survey network data to assess the appropriate level of use of the innovation by different next- or end-users. Data are collected through rapid surveys in the scaling context.

The combined analysis of innovation readiness and innovation use determines the Scaling Readiness of the innovation package (see Figure 5). It reveals the major bottlenecks to scaling the core innovation, and this provides the starting point for Step 3: Strategize. Our experience shows that it is very likely that the scalability of an innovation package is limited by several bottlenecks with low levels of readiness and use. From a complexity point of view, one could argue that innovations and therefore bottlenecks are interrelated and that working on one bottleneck for scaling could easily lead to new or other bottlenecks. In line with the law of the minimum idea, we recommend that intervention teams start working on the bottleneck with the lowest innovation readiness and the lowest innovation use but also reflect critically on what other innovations may be linked to them. This can result in the identification of a group of innovations or bottlenecks that need to be addressed collectively. Furthermore, Scaling Readiness follows an iterative process that supports a continuous identification of bottlenecks and strategies to overcome them, rather than providing a static snapshot of the situation.

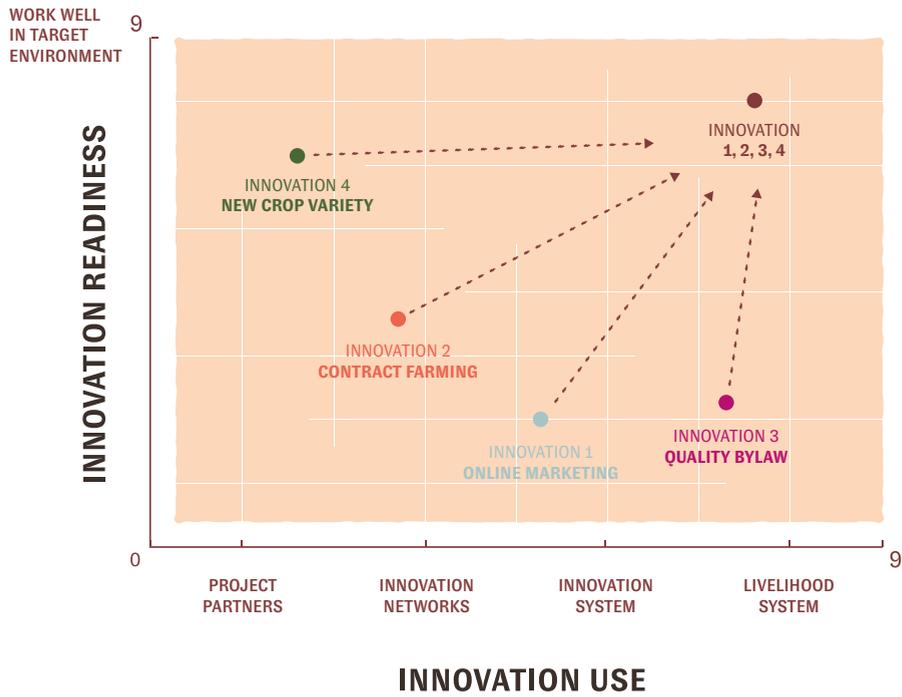
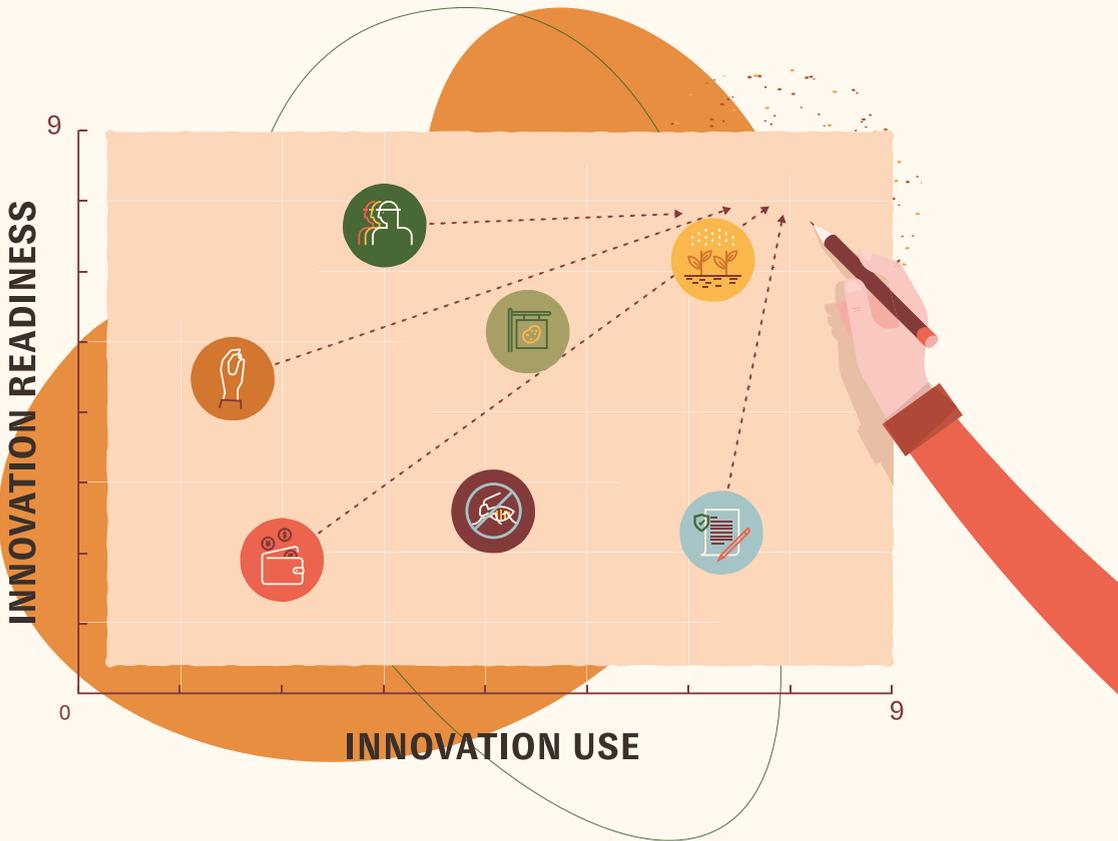


Figure 5. Graphical representation of the Scaling Readiness of a hypothetical project and the desired pathway to enhance its readiness.

3 / 5

Strategize



The Scaling Readiness diagnosis will show the critical bottlenecks to the scaling of innovation. This facilitates the intervention team in making strategic choices about (i) how to overcome the bottleneck, (ii) which partners should be involved, (iii) the most effective way to work with these partners, and (iv) the kinds of activities and budgets required to overcome the bottleneck innovation. These constitute the elements of a draft scaling strategy

What are the strategic options to increase the scaling readiness of the innovation package?

The Scaling Readiness diagnosis will reveal which core or complementary innovations have the lowest innovation readiness or innovation use. In line with the Scaling Readiness law of the minimum, these form the bottleneck innovations that prevent the innovation package from scaling. The readiness and use of the bottleneck innovations may be improved by investing time and resources. However, often this is not the quickest or most cost-efficient way to overcome bottlenecks. There may be another proven innovation with a higher readiness and use that may fulfill the same function in the innovation package. For example, a television program can be an effective way to convey messages to many people. However, television programs are very costly, and, in some contexts, few people have access to a television set. In this setting, radio programming might already be used to disseminate similar messages. Therefore, using radio programs can effectively substitute for television programs without incurring additional resources or time.

Using insights from the organizational management literature, Scaling Readiness provides 7 strategic options for improving the readiness and use of innovations. By addressing each bottleneck innovation in this manner, Scaling Readiness facilitates the identification of the most feasible and most cost-efficient options and opportunities for increasing the readiness and use of the innovation package (Table 3).

For each bottleneck innovation with low readiness and use, the strategic options in Table 3 can be considered, starting with the first option mentioned (Substitute) and then working downwards through the other options.

Strategic Option	Description	Level Description
1. Substitute	If there are bottleneck innovations with low readiness and use, the first question is whether the bottleneck can be replaced by another innovation of higher readiness and/or use in the given context.	This may include adopting innovations developed by other (competing) interventions in your specific context.
2. Outsource	If substitution is not feasible, are there any organizations or external experts that can improve the Scaling Readiness of the bottleneck more (cost-)effectively and more efficiently than your intervention team?	Consider working with media on public awareness, working with lobby organizations to change policy, etc.
3. Develop	If outsourcing is not possible, not feasible, or too expensive, can the intervention team improve the readiness and/or the use by investing available intervention capacities and resources?	Increasing the readiness and/or use of innovations will take time and resources that may not be available in interventions aimed at scaling of innovation.
4. Relocate	If it takes too much time and effort to further develop the bottleneck innovation(s), one may ask whether the intervention objectives could be realized more effectively if the intervention was implemented in another location where the bottleneck is absent or can be addressed by one of the above strategic options?	<p>Complementary innovations may have a higher readiness closer to urban centers (e.g. thanks to access to electricity, communication infrastructures, market-demand).</p> <p>This option may be considered when there is little scope for improving readiness and use in the specific scaling context.</p>
5. Reorient	If relocation is not desirable, a relevant question to ask is whether the objective of the intervention could be changed so that the (new) bottleneck can be addressed by one of the above strategic options.	If the key conditions for working on nutrition or income outcomes at scale cannot be met by modifying the innovation package, then a project could consider adapting the scaling objectives and/or the target groups if postponing or stopping is not an option (see below).

6. Postpone	If development, relocation, or reorientation are not feasible, can the scaling of the innovation package be achieved at a later point in time?	If conditions beyond the direct control of the intervention (e.g. policies) are likely to become more conducive to scaling in due course, then postponement could be considered.
7. Stop	If none of the above strategic options is likely to overcome the bottlenecks to scaling, then stopping the investment in the scaling intervention should be considered as an option.	This option can be feasible for donors or organizations that invest in, and manage, a broader portfolio of scaling interventions. For them, redirecting investments into interventions with a higher likelihood of successful scaling is feasible.

Which stakeholders to involve?

Overcoming bottlenecks requires the identification of stakeholders who are well-placed to contribute to increasing the bottlenecks' innovation readiness and use. Scaling Readiness uses social network analysis to identify those relevant stakeholders (Figure 6).

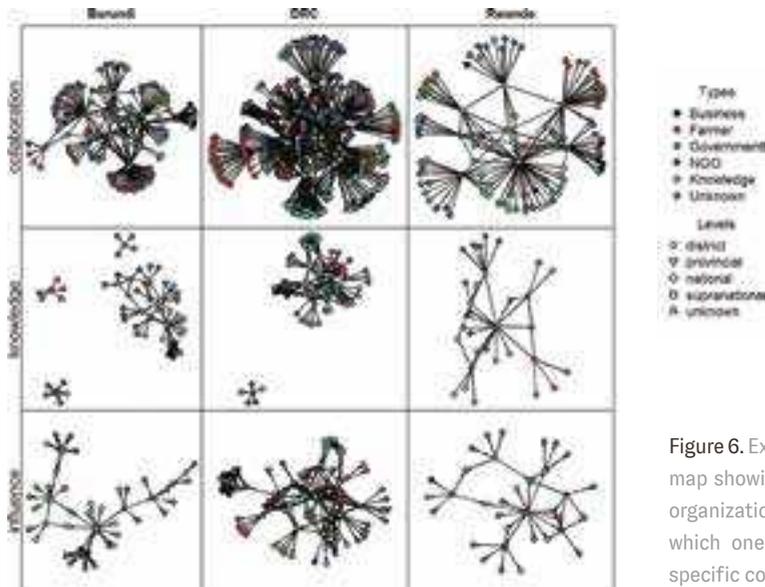


Figure 6. Example of a social network map showing how stakeholders and organizations are connected, and which ones are more central in a specific context⁴.

Stakeholders in any given innovation network are related to different organizations and have different disciplines, skills, and experiences. Therefore, the contributions that they can make to addressing bottlenecks to the scaling of innovations is likely to differ. For instance, if the bottleneck to scaling is the lack of an appropriate credit mechanism for farmers, then stakeholders like banks or microfinance institutions have a much higher chance of contributing to overcoming this bottleneck than – for example – extension officers working in the Ministry of Agriculture. To overcome other types of bottlenecks, for instance those related to farmer access to crop protection advice, it will be the extension officers who are best positioned. Scaling Readiness thus builds on the idea that partner engagement strategies should match with specific innovation or scaling objectives⁵. This deliberate selection of scaling partners contrasts with the idea that participation by all relevant stakeholders is always desirable.

⁴ Hermans, F., Sartas, M., van Schagen, B., van Asten, P., & Schut, M. (2017). Social network analysis of multi-stakeholder platforms in agricultural research for development: Opportunities and constraints for innovation and scaling. *PLoS ONE*, 12(2). <https://doi.org/10.1371/journal.pone.0197993>.

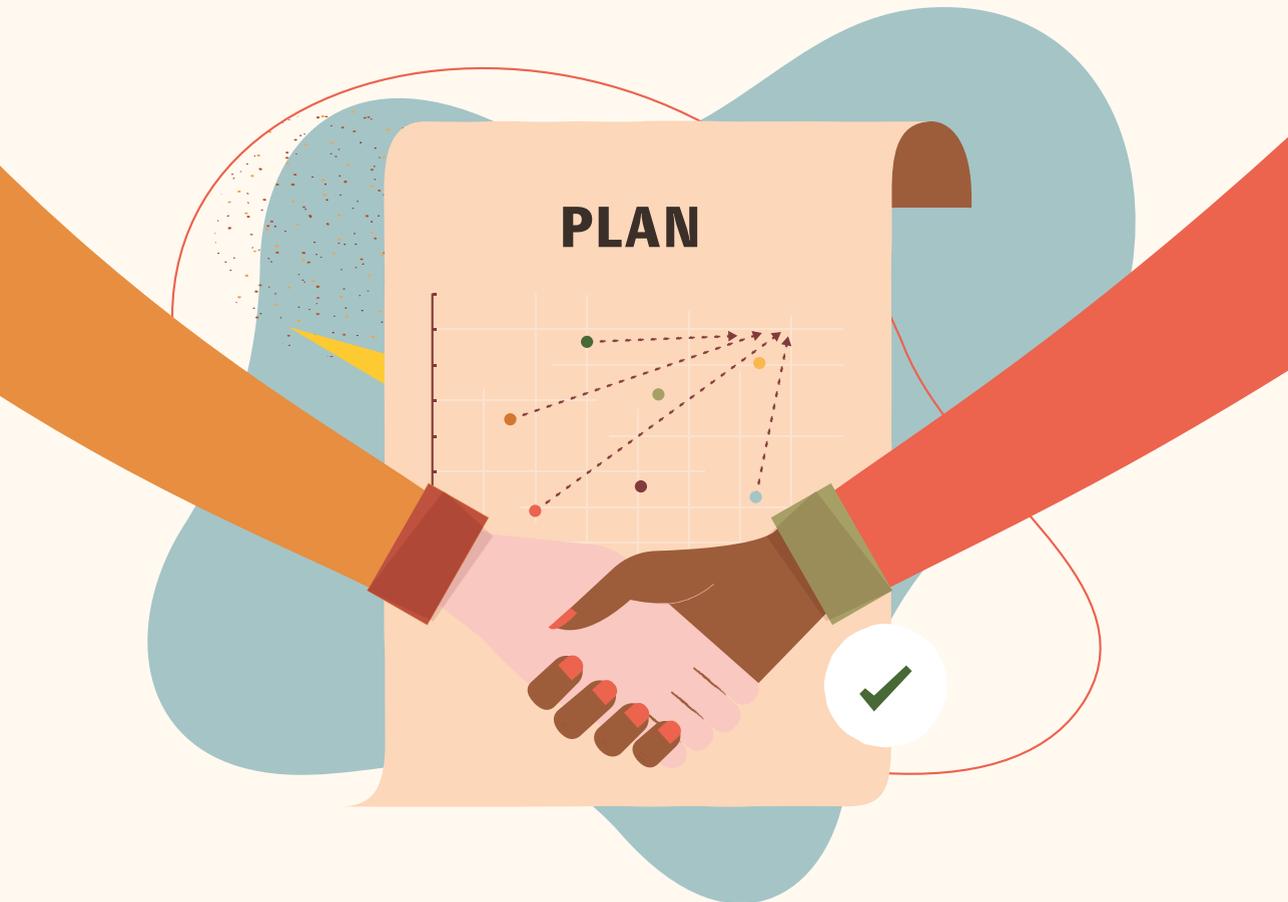
⁵ Lamers, D., Schut, M., Klerkx, L., & van Asten, P. (2017). Compositional dynamics of multi-level innovation platforms in agricultural research for development. *Science and Public Policy*, 44(6), 739–752. <https://doi.org/10.1093/scipol/scx009>.

Which stakeholder engagement model to use?

Scaling Readiness analyzes the structure and configuration of the stakeholder innovation and the scaling networks and guides about which engagement model has the greater likelihood of success. Building on the above, the optimal stakeholder engagement model for overcoming bottlenecks to the scaling of innovations will be determined by (i) the type of bottleneck, (ii) the strategic option that is preferred for overcoming the bottleneck, and (iii) the type of stakeholders or scaling partners who can support overcoming the bottleneck in light of the strategic option chosen. Overcoming some bottlenecks may require the engagement of a broad range of stakeholders (e.g. farmer access to market information in the absence of a centralized information dissemination system), whereas overcoming other types of bottlenecks requires more bilateral collaboration with one or two partners in the network (e.g. farmer access to credit, which most likely necessitates working directly with a bank or microfinance institute). In line with the strategic options set out in Table 3, the location of the intervention can to a large extent determine which stakeholders and stakeholder engagement models are relevant and meaningful for addressing bottlenecks to scaling.

4 / 5

Agree



The proposed draft scaling strategy needs to be shared and agreed upon with the broader project partners and other stakeholders such as donors. This is to ensure sufficient buy-in for the proposed strategy and to validate whether the implementation of the strategy is technically feasible and socially and politically acceptable. If the draft scaling strategy is found unfeasible or undesirable, then the strategic options should be reconsidered; this will require iteration between Step 3 and Step 4. When the scaling strategy is agreed upon, then a scaling action plan needs to be developed to address the core bottleneck(s).

Interdependence in scaling and the need for agreement

A core idea underlying Scaling Readiness is that scaling is affected by many interdependencies that make scaling a complex ambition. Examples include interdependencies between:

- Practices: the successful scaling of one practice or technology may depend on the simultaneous up- or downscaling of other practices;
- People: whether a person adopts a new practice is likely to be dependent on the practices and interests of other people;
- Bio-physical and social phenomena: the scaling of technologies often depends crucially on changes in the social realm (and vice versa);
- Levels: the scaling of something at local level will influence, and be influenced by, dynamics at higher levels;
- Domains: scaling something in one domain (e.g. agriculture) may have implications for outcomes in other domains (e.g. health, environment);
- Time: the potential to scale something at a particular time may be affected by earlier decisions.

These interdependencies imply that (i) scaling involves the simultaneous scaling of different practices and innovations involving multiple stakeholders; (ii) the scaling of an innovation package may also involve the downscaling of pre-existing practices;⁶ (iii) scaling always involves multiple stakeholders who cannot realize their ambitions on their own: they depend on one another; and (iv) the scaling of innovation may create opportunities for some stakeholder groups, while at the same time create challenges for other stakeholder groups.⁷

The stakeholders who depend on one another to realize the scaling ambition of your intervention will have been identified during the formulation of the proposed scaling strategy, using social network analysis. However, the fact that people are mutually dependent does not necessarily mean that they are aware of this and that they also feel interdependent. Moreover, even if they feel interdependent, they tend to pursue different goals and ambitions, and this implies that they do not necessarily agree on a proposed scaling ambition or strategy. Thus, reaching agreement on a scaling strategy and scaling action plans to address bottlenecks to scaling is not necessarily an easy process. It needs careful and skilled facilitation.⁸

⁶ Wigboldus, S., Klerkx, L., Leeuwis, C., Schut, M., Muilerman, S., & Jochemsen, H. (2016). Systemic perspectives on scaling agricultural innovations. A review. *Agronomy for Sustainable Development*, 36(3), 1–20 <https://link.springer.com/article/10.1007/s13593-016-0380-z>.

⁷ Giller, K.E., Leeuwis, C., Andersson, J. A., Andriesse, W., Brouwer, A., Frost, P., Hebinck, P., Heitkönig, I., van Ittersum, M.K., Koning, N., Ruben, R., Slingerland, M., Udo, H., Veldkamp, T., van de Vijver, C., van Wijk, M.T., & Windmeijer, P. (2008). Competing claims on natural resources: What role for science? *Ecology and Society*, 13(2), 34. <http://www.ecologyandsociety.org/vol13/iss32/art34/>.

Facilitation of learning and negotiation

Reaching agreement on a scaling strategy and scaling action plans to address bottlenecks can be an attempt to build effective coalitions for change. A coalition is a network of stakeholders that actively supports change in a direction. The stakeholders may support the change for different reasons and objectives, and there may be a continuation of tensions and disagreements on specific issues.

Two intertwined processes need to be facilitated to arrive at a coalition for change that agrees on a scaling strategy and scaling action plan: social learning and (integrative) negotiation.⁹

Social learning is a process in which people learn about one another's context and perspectives, discover how they depend on one another to reach their ambitions, and develop common starting points to build upon. Numerous methods and approaches can be used to help foster such learning. Importantly, social learning is not intended to be just a cognitive process; it is also a process in which interdependent stakeholders can improve their mutual relationships and develop trust.

It is naive to think that stakeholders can accommodate their different interests and ambitions through social learning only. In the process of reaching agreement, there is likely to be tension and conflict, and typically these differences need to be settled through negotiation. Negotiation is essentially a process of giving and taking with regard to the proposed scaling strategy and scaling action plan. Integrating learning into a negotiation process can help to avoid negotiation becoming stuck or becoming only a power-play; through social learning, interdependent stakeholders can develop new insights and discover shared problems and opportunities that can tip the balance in a negotiation process. Combined learning and negotiation have been labelled integrative negotiation (see Box 1).

⁸ Leeuwis, C. (2004). *Communication for rural innovation. Rethinking agricultural extension (with contributions from Anne van den Ban)*. Oxford: Blackwell Science. ISBN: 978-0-632-05249-3.

⁹ Brouwer, H. & Woodhill, J. (2016). *The MSP guide: How to design and facilitate multi-stakeholder partnerships. Second Edition*. Wageningen University & Research, CDI The Netherlands, and Practical Action Publishing, Warwickshire, UK. Available at: <http://www.mspguide.org/sites/default/files/case/msp_guide-2016-digital.pdf>

Task 1: Preparing the process

- Preliminary exploratory analysis of conflicts, problems, social (including power) relations, practices, etc. in historical perspective;
- Selecting participants;
- Securing participation by stakeholders;
- Establishing relations with the wider policy environment.

Task 2: Reaching & maintaining process agreements

- Creating an agreed-upon code of conduct and provisional agenda;
- Preliminary establishment of an overall objective/terms of reference;
- Provisional distribution of facilitation tasks;
- Definition of the role of external facilitators and other outsiders;
- Maintaining process agreements;
- Securing new process agreements as the process unfolds.

Task 3: Joint exploration and situation analysis (social learning A)

- Supporting group formation and group dynamics;
- Exchanging perspectives, interests, goals;
- Further analysis of conflicts, problems & interrelations;
- Integration of visions into new problem definitions;
- Preliminary identification of alternative solutions and win-win strategies;
- Identification of knowledge conflicts and gaps in insight.

Task 4: Joint fact-finding and uncertainty reduction (social learning B)

- Developing and implementing action-plans to fill knowledge gaps and/or to build commonly agreed upon knowledge and trust.

Task 5: Forging agreement

- Supporting manoeuvre: clarifying positions and claims, use of pressure to secure concessions, create and resolve impasses;
- Soliciting proposals and counter-proposal;
- Securing an agreement on a coherent package of measures and action plans.

Task 6: Communication of representatives with constituencies

- Transferring the learning process;
- « Ratification » of agreement by constituencies.

Task 7: Co-ordinated action

- Implementing the agreements made;
- Monitoring implementation;
- Creating contexts of renegotiation.

Box 1-2. General facilitation tasks requiring continuous attention in integrative negotiation processes¹⁰

¹⁰ Leeuwis, C. (2004). *Communication for rural innovation. Rethinking agricultural extension (with contributions from Anne van den Ban)*. Oxford: Blackwell Science. ISBN: 978-0-632-05249-3.

Agree to disagree

We want to emphasize that negotiation processes – even if they are set up in an integrative way – may not satisfy all stakeholder needs and interests. Scaling Readiness is intended to support the design, implementation, and monitoring of scaling strategies that lead to real change and impact. Evidence of the Scaling Readiness of innovation packages can be used to seek to de-politicize the negotiation process and guide stakeholders to develop scaling action plans to overcome the main bottlenecks.

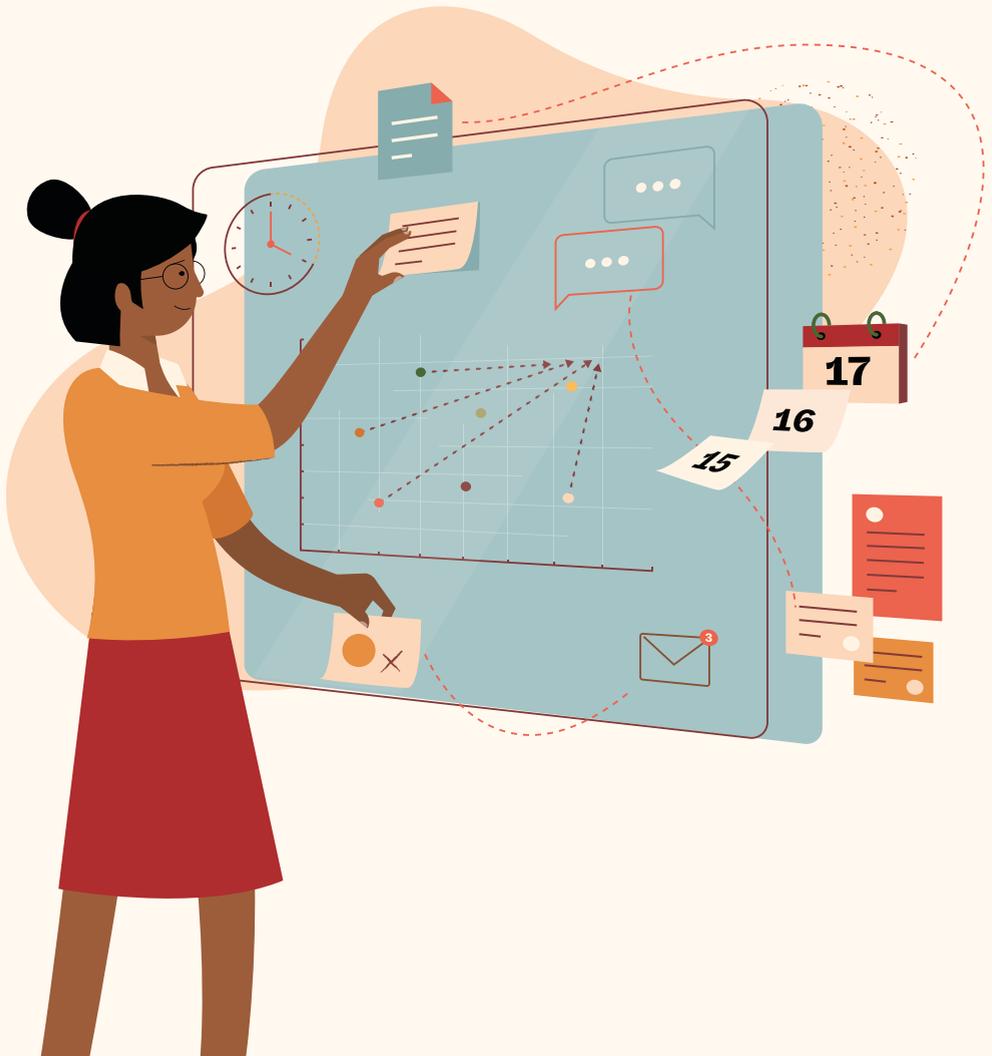
However, in some cases, stakeholders may need to agree to disagree. Stakeholders who do not see their interest well represented in the identification of the bottleneck(s) or operational plan are likely to question Scaling Readiness, the underlying principles and methodology, and even the team that implemented Scaling Readiness. In those situations, facilitation may require strong leadership to decide which bottlenecks and actions to prioritize. This may result in a situation where stakeholders or organizations lose interest in co-investing in overcoming the bottlenecks or being part of the scaling process. We want to stress that such convergence of stakeholders around a set of agreed-upon practices and actions is a normal phenomenon in innovation and scaling processes.¹¹

If the outcome of the negotiation and agreement process is to not invest in overcoming the main bottlenecks to the scaling of innovation, then the intervention team should critically review its scaling ambitions. It may imply going back to Step 3 and considering alternative strategic options such as reorienting, relocating, postponing, or even stopping the intervention if collective action to work on the main scaling bottlenecks is not feasible.

¹¹ Sartas, M., Schut, M., Hermans, F., Van Asten, P., & Leeuwis, C. (2018). Effects of multi-stakeholder platforms on multi-stakeholder innovation networks: Implications for research for development interventions targeting innovations at scale. *PLoS ONE* <https://doi.org/10.1371/journal.pone.0197993>.

5 / 5

Navigate



If agreement is reached on the scaling strategy and the scaling action plan, the implementation and monitoring of the agreed-upon activities starts. Scaling Readiness facilitates and monitors the scaling strategy implementation through a process of reflexive learning. This implies that project teams periodically reflect on the implementation of the scaling strategy and the related scaling action plan and update these, if necessary, to reach the desired scaling objective. Monitoring can be based on short-term feedback loops that guide the implementation of the scaling action plan, but also on long-term feedback loops comprised of a second Characterize (Step 1) and a second Diagnose (Step 2) round based on the new situation to see whether the scaling strategy has had the desired effect in terms of increasing Scaling Readiness. This makes Scaling Readiness an iterative process.

In Step 4, we have seen that scaling inherently involves several interdependencies, implying that scaling is a complex process and ambition. The term ‘navigate’ indicates that, in such complex settings, scaling strategies and scaling action plans can hardly ever be implemented in a straightforward manner. Stakeholders and intervention teams are likely to be confronted with unforeseen developments and with activities that give rise to unintended consequences and outcomes.¹² Moreover, the scaling context in which we are operating is changing continuously, and so may that of our partners. These changes may be positive or negative from the perspective of scaling. The important thing is that we can recognize and capture relevant changes, and then adapt our strategies and plans accordingly. This form of adaptive management is what we call navigation: finding our way in an ever-changing context.¹³

¹² Leeuwis, C. & Aarts, N. (2011). Rethinking communication in innovation processes: Creating space for change in complex systems. *The Journal of Agricultural Education and Extension*, 17(1), 21–36. <https://doi.org/10.1080/1389224X.2011.536344>.

¹³ van Mierlo, B., Arkesteijn, M., & Leeuwis, C. (2010). Enhancing the reflexivity of system innovation projects with system analyses. *American Journal of Evaluation*, 31(2), 143–161. <https://doi.org/10.1177%2F1098214010366046>.

Monitoring

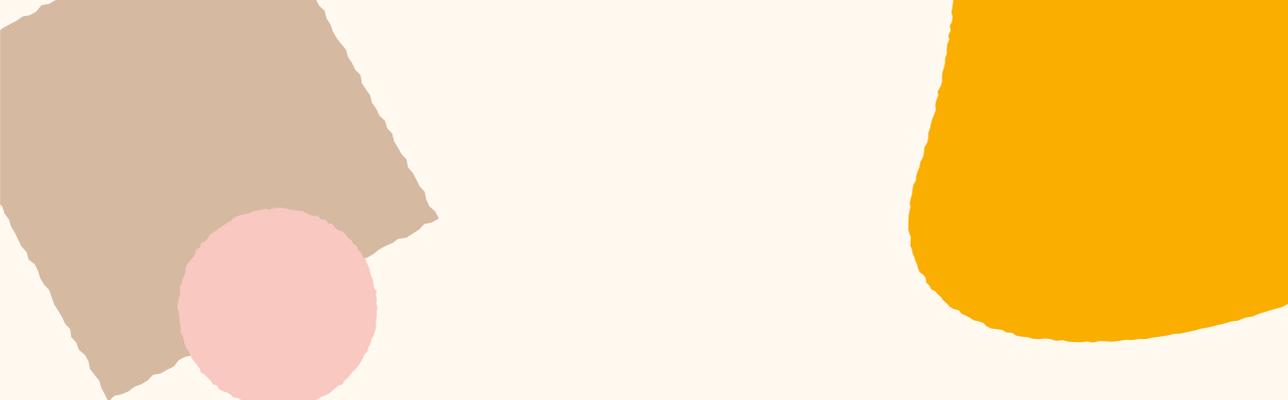
Navigation requires us to capture relevant information during the implementation of the scaling action plan. Gathering and interpreting such information is often referred to as monitoring. Monitoring may be formalized, but it is important to recognize that people already monitor themselves and their environment as an integral part of everyday life and professional experience. We continuously observe and reflect, and, even if our observations and interpretations may be biased and selective, they are relevant because they tend to form the basis on which we act. Therefore, it is critically important to ensure that team members and stakeholders articulate, share, and discuss their experiences and reflections on a regular basis. Doing so helps to put experiences into perspective, correct misunderstandings, and maintain a shared understanding of what is going on and what needs to be done toward achieving the agreed-upon objectives.

Scaling Readiness supports two types of monitoring that we can divide into long-term and short-term feedback loops. The long-term feedback loops form part of the systematic and periodic monitoring of changes in innovation

Identifying emerging windows of opportunity and tipping points

Changes in the innovation system can take the form of trends, and these are of particular importance when it comes to the scaling of innovations. Trends – and especially coinciding trends – may work against scaling ambitions or offer new opportunities. If we are working toward pro-poor credit provision by a commercial bank, our efforts may be complicated by increasing distrust in the financial sector in the aftermath of a financial crisis or following a specific scandal about tax evasion by commercial banks. However, there are also trends that can reinforce our ambitions if we are able to act at the right time and in the right place. New developments in ICT and mobile phone penetration, combined with a change in political agendas and increased attention on corporate social responsibility in the commercial sector, may offer new opportunities for connecting banks, mobile phone providers, social media platforms, and government institutions to design a new digital modality for banking. Such emerging windows of opportunity may eventually result in a tipping point whereby a sudden and often rather unexpected shift occurs in a specific situation. However, windows of opportunity can be short-lived or ‘filled’ with competing innovation or scaling initiatives by others – making it more important to recognize them.

Awareness of trends can be supported by many sources of information. An obvious one is of course to keep a careful eye on the outcomes of scientific research. It is also important to consider that trends become visible in the language and discourses of different categories of people: politicians, business leaders, journalists, and ordinary citizens. Arguably, change in society is prepared and/or reflected in the way societal agents talk about matters in the media, the marketplace, the political arena, and/or the pub. It is therefore important to continuously scan emerging ways of talking and thinking and translate these toward the scaling ambition and strategy. There is no recipe for such translation, as it inherently involves creativity and associative thinking. Thus, it is important to nurture environments where such creativity can emerge.



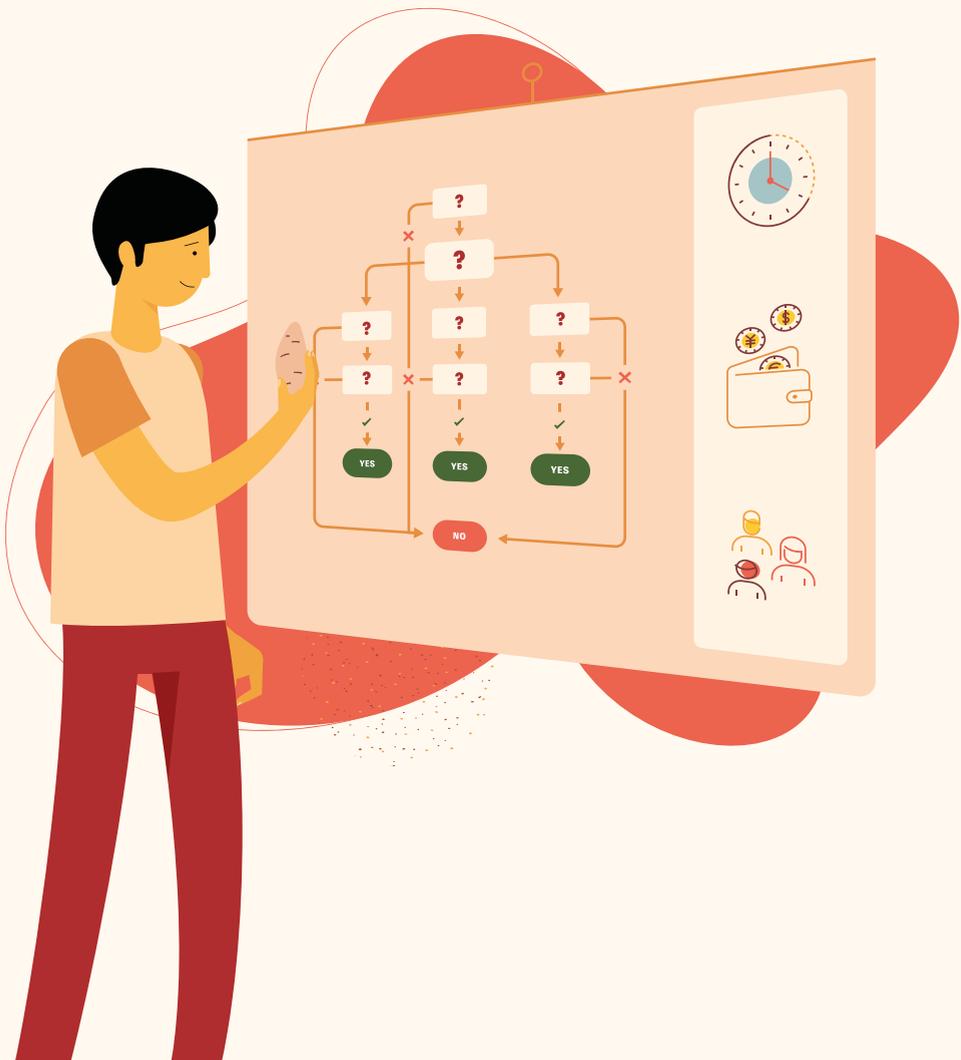
PART B

Scaling Readiness Practices

This part of Scaling Readiness Guidelines presents the basic practices of Scaling Readiness. Without going into implementation details, the key objectives, methods, and outputs are presented so that the (potential) Scaling Readiness user can develop a good understanding of what using Scaling Readiness requires and what it delivers in terms of products, results, and outcomes. Scaling Readiness Practices follows the same stepwise logic as Scaling Readiness Concepts, in the sense that it builds on the key concepts presented in Part A and that the practices are presented for each of the Scaling Readiness steps. At the end of each step, a checklist is provided to support the user in reflecting on whether the conditions for moving to the next Scaling Readiness step have been fulfilled.

0 / 5

Fit-for-Purpose



During the Fit-for-Purpose step, a research or development manager reviews whether Scaling Readiness is likely to be beneficial for his/her project or intervention. This is also the step in which potential Scaling Readiness users need to decide whether they are willing to invest time, human, and financial resources in the structured implementation of Scaling Readiness. A flowchart guides decision making on whether Scaling Readiness is fit-for-purpose.

Scaling Readiness can be fit for multiple purposes:

1. To improve the scaling performance of a single intervention (e.g. a development project);
2. To assess the scaling readiness of innovations across a broader portfolio of interventions (e.g. using it across multiple projects or at program level);
3. To develop or evaluate proposals for the scaling of innovation (e.g. for resource mobilization).

To guide decision making on whether Scaling Readiness is Fit-for-Purpose, a flowchart has been developed (Figure 7). If the outcome indicates that Scaling Readiness requirements or outcomes are not in line with expectations, then alternative approaches can be used.

START HERE

Do you think that using evidence will help you to design & implement better scaling strategies ?

YES

What is your main objective for using Scaling Readiness ?

OBJECTIVE 1

To improve the scaling performance of an intervention or project

Does the intervention have clearly defined scaling objectives, intervention locations, budget and timeline?

YES

Can you convince the intervention team to follow up a new systematic approach ?

YES

Can you mobilize a Scaling Readiness Monitor who will implement Scaling Readiness in the project?

YES

Scaling Readiness seems Fit-for-Purpose to improve the scaling performance of your project. Please follow Steps 1, 2, 3, 4 & 5.

OBJECTIVE 2

To manage a portfolio of innovation and scaling investments or projects

Can you convince the project managers to provide information about their projects ?

YES

Can you deploy human and financial resources to support rigorous Scaling Readiness data collection across your projects ?

YES

Can you have evidence on the scaling readiness of innovations assembled in an online repository ?

YES

Scaling Readiness can support you in managing a portfolio of innovation & scaling projects. Please follow Steps 1 & 2.

OBJECTIVE 3

To develop or evaluate a scaling project or program

Can you deploy human and financial resources to facilitate the collection of basic Scaling Readiness data ?

YES

Can you organise a scaling proposal writeshop with partners?

YES

Scaling Readiness can help you to develop a realistic scaling proposal, or evaluate proposals aimed at scaling. Please follow Steps 1, 2 & 3

It seems that Scaling Readiness is not Fit-for-Purpose.

NO

Step 0: Objectives, activities, and sub-activities

As part of Scaling Readiness Step 0, a few objectives and corresponding activities and sub-activities have been defined. More detailed activity and sub-activity descriptions are provided as part of Scaling Readiness Implementation (Part C).

Objective 0.1

To decide whether Scaling Readiness fits the purpose (improved scaling performance, portfolio management, or proposal development/evaluation) and whether to commit resources for the rigorous implementation of Scaling Readiness.

Activity 0.1

Decide on whether Scaling Readiness is Fit-for-Purpose.

- Sub-activity 0.1.1: Self-administer the Scaling Readiness Fit-for-Purpose survey.

Objective 0.2

The intervention team has a clear idea about the required time, human, and financial resources needed for the rigorous implementation of Scaling Readiness.

Activity 0.2

Organize a team meeting to understand and allocate the resources needed for Scaling Readiness.

- Sub-activity 0.2.1: Review the Scaling Readiness resource requirement grid

Objective 0.3

To get the intervention team organized and to get the buy-in of team members and partners for the rigorous implementation of Scaling Readiness.

Activity 0.3

Organize a team meeting to agree on the plan of work and the budget for Scaling Readiness.

- Sub-activity 0.3.1: Finalize the plan of activities and the budget for Scaling Readiness.

Objective 0.4

To develop capacity at organizational or intervention team level on what Scaling Readiness is.

Activity 0.4

Organize a Scaling Readiness capacity development workshop.

- Sub-activity 0.4.1: Prepare the Scaling Readiness capacity development workshop.
- Sub-activity 0.4.2: General introduction to scaling innovation.
- Sub-activity 0.4.3: Present and discuss the intervention.
- Sub-activity 0.4.4: Understand Scaling Readiness concepts and practices.
- Sub-activity 0.4.5: Understand Scaling Readiness implementation.
- Sub-activity 0.4.6: Update the Scaling Readiness plan of work and budget.

Step 0 Key concepts

- **Evidence-based decision making:** Scaling Readiness facilitates evidence-based identification of the bottlenecks to the scaling of innovation in a context and supports decision making on strategic options and opportunities for addressing these.
- **Intervention:** An intervention can be a project, program, policy, or other initiative aimed at the scaling of innovations.
- **Intervention team:** The intervention team is composed of the core partners (e.g. those who jointly submitted the project) and have direct funding to implement the intervention. The team members have a degree of influence over how the intervention will be designed and implemented.
- **Scaling Readiness monitor:** A dedicated Scaling Readiness data collector and facilitator who supports rigorous implementation of Scaling Readiness.
- **Scaling Readiness rigor:** To support evidence-based decision making, Scaling Readiness follows a rigorous process of data collection, data analysis, and strategy development. To identify impactful scaling strategies, it is essential to follow this rigorous process.

Checklist to proceed to Step 1

1. Have the intervention team and the core partners agreed that the use of Scaling Readiness is Fit-for-Purpose and do they understand the advantages, requirements, and limitations of Scaling Readiness?
2. Has the intervention team agreed to allocate resources for rigorous implementation, including the identification of a Scaling Readiness monitor?
3. Has the intervention team's capacity on the basic concepts and principles of Scaling Readiness been developed?

Characterize



This step aims to characterize 4 key aspects that will provide a basis for conducting the Scaling Readiness diagnosis: (1) the characteristics of the scaling intervention, (2) what the intervention is trying to scale and why, (3) the context in which the scaling intervention operates, and (4) the stakeholders, their networks, and the other interventions in which they are involved. This step results in a clearly defined innovation package, consisting of core and complementary innovations for different locations where scaling is desired.

Cassava example: Characterizing the innovation

In Tanzania, an intervention has been initiated to combat Cassava Brown Streak Disease (CBSD) in the main cassava-growing region in the country. The intervention to combat this cassava disease seeks to upscale resistant varieties of cassava and demonstration plots for comparing local varieties and resistant varieties as two core innovations. For the resistant varieties innovation to lead to impact at scale, several complementary innovations need to be in place, for example: collective communal action, by-laws and policies, credit schemes, an innovation platform, and a functional government seed system. During Step 1 of Scaling Readiness, we characterize the intervention, the intervention team, and the stakeholders, and identify the core and complementary innovations (Figure 8).

Step 1 Objectives, activities, and sub-activities

As part of Scaling Readiness Step 1, a few objectives and corresponding activities and sub-activities have been defined. More detailed activity and sub-activity descriptions are provided as part of Scaling Readiness Implementation (Part C).

Objective 1.1

To characterize the intervention by capturing detailed information on the intervention locations, development or business sectors, Sustainable Development Goals (SDGs), research and development outcomes, target beneficiaries, and budget allocation.

Activity 1.1

Characterize the intervention.

- Sub-activity 1.1.1: Conduct a facilitated interview with the intervention manager.
- Sub-activity 1.1.2: Curate the data and prepare a list of well-defined research and development outputs.

Objective 1.2

To characterize the core innovation(s) that the intervention is trying to scale.

Activity 1.2

Characterize the core innovation(s).

- Sub-activity 1.2.1: Determine and define the core innovation(s).

Objective 1.4

To have validated innovation packages for each of the locations where scaling is aspired to.

Activity 1.4

Refine and validate the innovation package(s).

- Sub-activity 1.4.1: Administer the Scaling Readiness innovation profile survey.
- Sub-activity 1.4.2: Prepare innovation descriptions.
- Sub-activity 1.4.3: Validate the descriptions of the innovation packages and its core and complementary innovation.
- Sub-activity 1.4.4: Incorporate participants' feedback and share the final Scaling Readiness workshop report, which includes the innovation packages and innovation descriptions.

Objective 1.5

To characterize the stakeholders, their networks, and their interventions.

Activity 1.5

Characterize the stakeholders, their networks, and their interventions.

- Sub-activity 1.5.1: Using the sampling framework, identify the stakeholder groups.
- Sub-activity 1.5.2: Administer the stakeholder profile and stakeholder network survey.
- Sub-activity 1.5.3: Curate the data and prepare a list of stakeholders and stakeholder networks.

Step 1 Key concepts

- **Complementary innovations:** Innovations that are necessary to scale core innovations. They often relate to the broader environment and are geared toward making this environment more enabling, thereby allowing the core innovation to have impact at scale.¹⁴
- **Core innovations:** Innovations that are the focus of the intervention or projects that are aiming for scaling.
- **Innovation:** Novel practices, products, services, models, and institutional arrangements that have a social or economic use in society.
- **Innovation package:** The combination of core and complementary innovations that are needed for scaling.
- **Innovation profile:** Description of the elements of the innovation.
- **Intervention profile:** Description of the elements of the intervention.
- **Innovation system:** The complex interplay of interventions, innovations, actors, and structures that enable or constrain innovation and the scaling of innovation.
- **Scaling context:** The enabling or constraining environment that affects, and is affected by, the scaling of innovations that are geared toward achieving specific livelihood outcomes or impacts.
- **Stakeholder profile:** Description of the stakeholders, their networks, and their interventions.

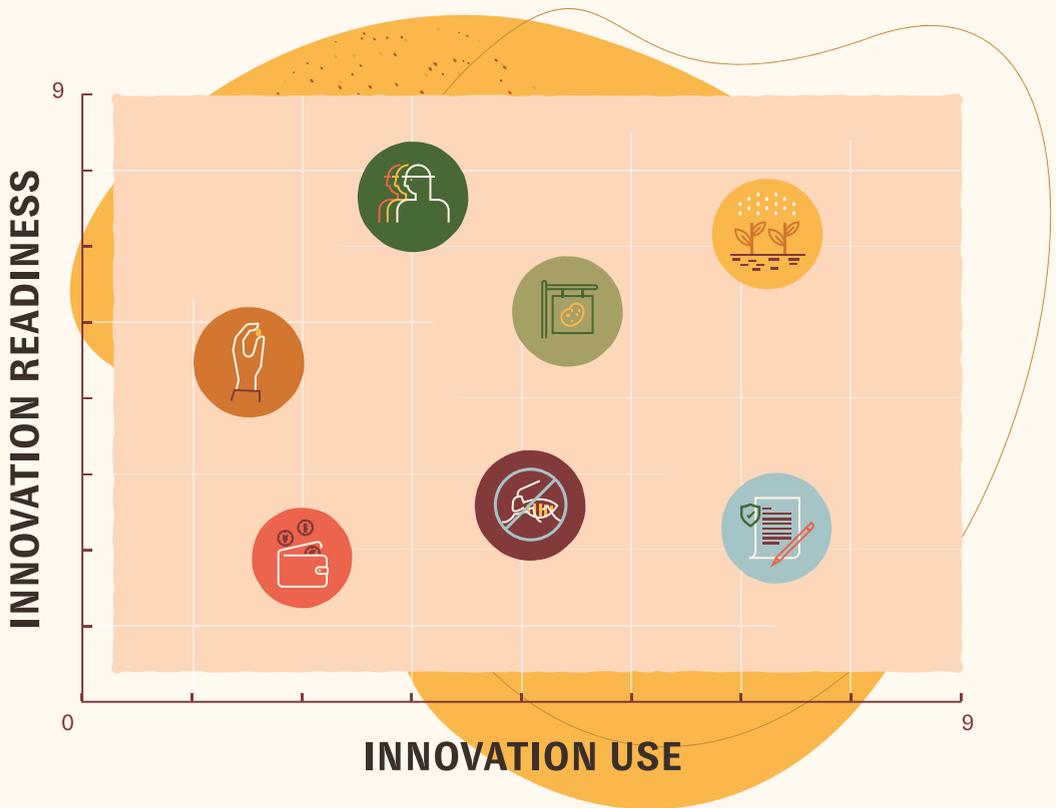
¹⁴ OECD (2005). The measurement of scientific and technological activities: Guidelines for collecting and interpreting innovation data: Oslo manual. Third Edition. Prepared by the Working Party of National Experts on Scientific and Technology Indicators, OECD, Paris, para. 146.

Checklist to proceed to Step 2

1. Have the locations, sectors, Sustainable Development Goals, target audiences, and budget allocation of the intervention been clearly defined (intervention profile)?
2. Have stakeholders, their networks, and their interventions been profiled (stakeholder profile)?
3. Have the core innovations of the intervention been clearly defined (innovation profile)?
4. Is it clear what development objectives and target beneficiaries are supposed to be served by the scaling of the core innovation?
5. Have the complementary innovations been defined for different scaling contexts and in line with the stated development objectives and target beneficiaries?
6. Has the intervention team reflected critically on possible negative side effects and unintended consequences of scaling, and on how to avoid and/or monitor these?

2 / 5

Diagnose



The data collected in Step 1 provide the basis for diagnosing the Scaling Readiness of each of the innovations in the innovation package in a specific scaling context. Experts who understand both the innovations and the scaling context will be asked to score the core and the complementary innovations for their innovation readiness and innovation use. They will be requested to provide evidence that supports their assessment and score. The scoring will show the overall Scaling Readiness of the innovation package and the core or complementary innovations that score lowest and form the key bottleneck to scaling the core innovation in a specific location.

Cassava example: Diagnosis of Scaling Readiness

Scaling Readiness assesses the innovation readiness (y-axis in Figure 9) and innovation use (x-axis in Figure 9) of the core and the complementary innovations. Diagnosis shows that the intervention's core innovations – resistant varieties and demonstration plots – are indeed ready for scaling as they are proven to work and commonly used. However, several of the complementary innovations – notably the functional government seed systems and collective communal action – are currently the main bottlenecks to scaling, with low innovation readiness and low innovation use. Several other complementary innovations, such as sensitization of cassava farmers and credit schemes, have a higher level of readiness and are proven to work in both controlled and uncontrolled conditions but are not commonly used. The complementary innovations – innovation platforms and by-laws and policies – are commonly used, but their effective contribution to combatting cassava diseases has not been demonstrated convincingly, resulting in low innovation readiness.

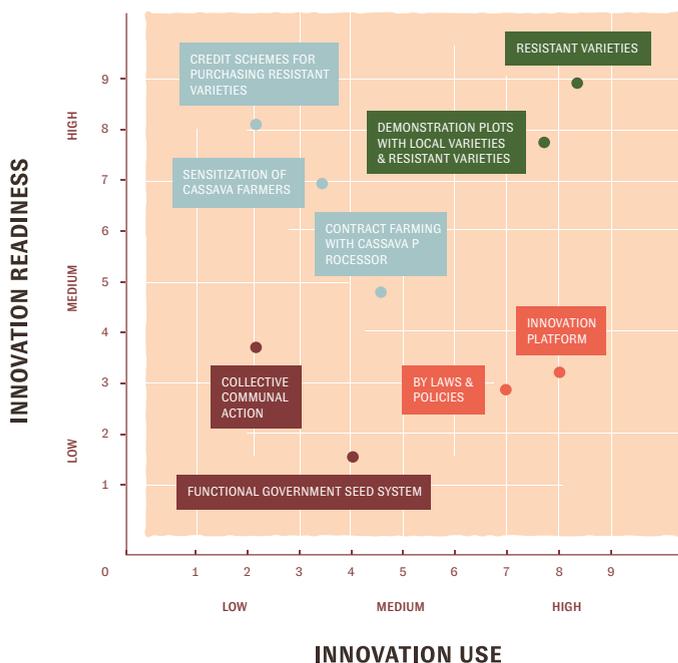


Figure 9. Scaling Readiness assessment of an innovation package to combat cassava diseases in Tanzania. The package consists of different innovations that are assessed for their innovation readiness (y-axis) and use (x-axis). Low readiness and use of a functional government seed system is the main bottleneck to scaling in this example

Step 2 Objectives, activities, and sub-activities

As part of Scaling Readiness Step 1, a few objectives and corresponding activities and sub-activities have been defined. More detailed activity and sub-activity descriptions are provided as part of Scaling Readiness Implementation (Part C).

Objective 2.1

To assess and collect evidence of the readiness and use of each innovation in the innovation package for the different intervention locations and identify the innovations with the lowest readiness and use levels.

Activity 2.1

Prepare and administer the Scaling Readiness diagnosis survey.

- Sub-activity 2.1.1: Develop a list of experts who will score the core and the complementary innovations for their readiness and use.
- Sub-activity 2.1.2: Administer the Scaling Readiness diagnosis survey.

Objective 2.2

To identify the innovations in the innovation package with the lowest innovation readiness and innovation use levels to provide a basis for developing scaling strategies.

Activity 2.2

Analyze the results and prepare and share the Scaling Readiness diagnosis report.

- Sub-activity 2.2.1: Analyze the results and develop the Scaling Readiness diagnosis report with a Scaling Readiness assessment for the different intervention locations.
- Sub-activity 2.2.2: Share and finalize the Scaling Readiness diagnosis report with the intervention team, the intervention partners, and other relevant intervention stakeholders.

Step 2 Key concepts

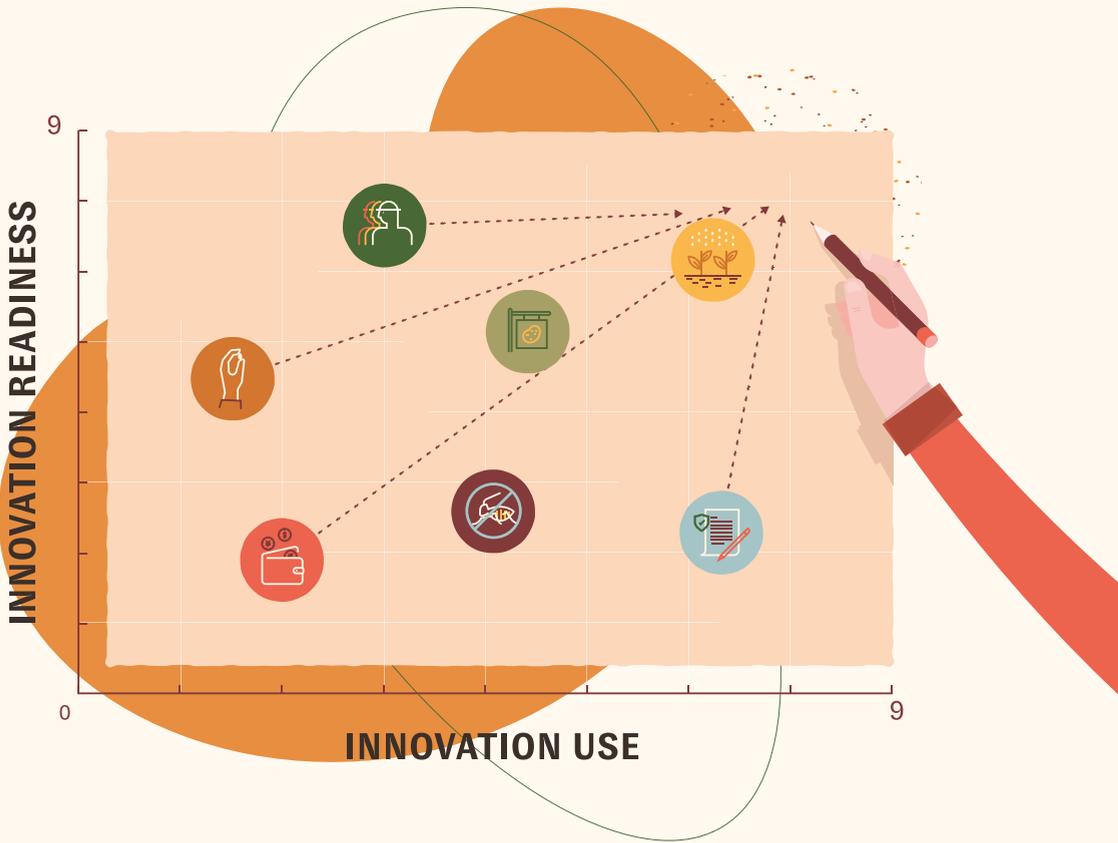
- **Innovation readiness:** Innovation readiness refers to the development stage of an innovation and how ready it is for scaling. It is measured along 9 levels of readiness.
- **Innovation use:** Innovation use represents the extent to which an innovation is already being used in society, and by whom. It is measured along 9 levels of use.
- **Scaling bottlenecks:** The core or complementary innovations with the lowest innovation readiness and innovation use.
- **Scaling Readiness:** Scaling Readiness is the combined analysis of innovation readiness and innovation use. Scaling Readiness reveals the key scaling bottlenecks in the innovation package.

Checklist to proceed to Step 3

1. Has the innovation readiness of each of the core and complementary innovations in the innovation package been determined?
2. Has the innovation use of each of the core and complementary innovations in the Innovation package been determined?
3. Have scaling bottlenecks with the lowest innovation readiness and innovation use been identified?

3 / 5

Strategize



The Scaling Readiness diagnosis will show the critical bottlenecks to the scaling of innovation. This facilitates the intervention team in making strategic choices about (i) how to overcome the bottleneck, (ii) which partners should be involved, (iii) the most effective way to work with these partners, and (iv) the kinds of activities and budgets required to overcome the bottleneck innovation. These constitute the elements of a draft scaling strategy

Cassava example: Developing a scaling strategy

Having identified the scaling bottlenecks, Scaling Readiness facilitates a participatory scaling strategy development process to address these bottlenecks. During Step 2, one of the main bottlenecks to scaling the cassava disease management innovation package in Tanzania turned out to be the functional government seed system. Step 3, Strategize, provides the intervention team with different strategic options including:

- Substituting the innovation with low readiness and use by an intervention with higher readiness and use;
- Outsourcing the improving of innovation readiness and use to other organizations with better expertise, or who can do it faster, better, and/or cheaper;
- Developing the innovation as part of the intervention, so investing intervention resources in improving its readiness and use.

If these three strategic options seem unfeasible, the intervention team can decide to:

- Relocate the cassava disease management project to another region or country where the scaling context and its complementary innovations are more conducive;
- Reorient the objective of the intervention in terms of its scaling ambitions or outcomes;
- Postpone the scaling intervention to a later point in time when – for example – the government seed system is more functional to support the scaling of innovation;
- Stop the intervention if there is no sign that improvement can be expected in the short or mid-term.

In our example, the intervention team decided that the most feasible strategy was to substitute the government seed system by investing in local seed multiplication to provide farmers with access to resistant varieties (Figure 10). This updated innovation package now has a higher Scaling Readiness than the original innovation package.

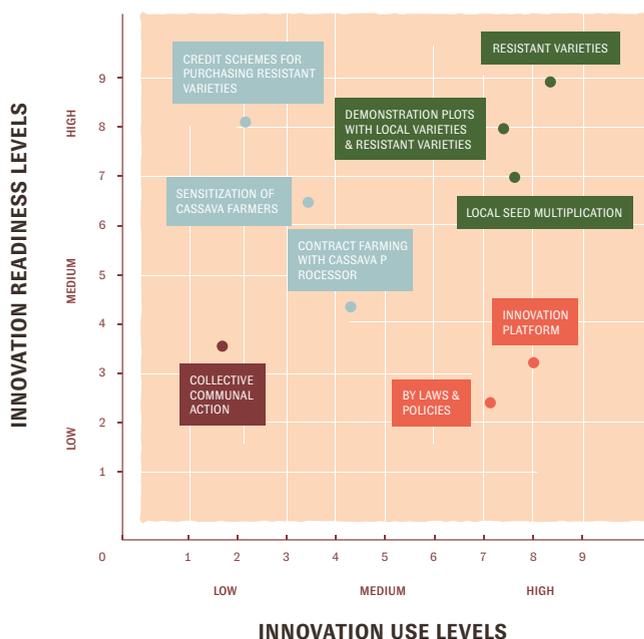


Figure 10. The updated innovation package in which the scaling bottleneck, functional government seed system, has been substituted by local seed multiplication. The updated innovation package has a higher Scaling Readiness.

Step 3 Objectives, activities, and sub-activities

As part of Scaling Readiness Step 3, a few objectives and corresponding activities and sub-activities have been defined. More detailed activity and sub-activity descriptions are provided as part of Scaling Readiness Implementation (Part C).

Objective 3.1

To identify the strategic options (substitute, outsource, develop, relocate, reorient, postpone, or stop) to address the scaling bottleneck(s) and update the innovation package.

Activity 3.1

Identify the best strategic options to address the scaling bottleneck(s) and update the innovation package(s) for the different intervention locations.

- Sub-activity 3.1.1: Organize an intervention team meeting to decide on the best strategic options for overcoming the bottleneck innovations.
- Sub-activity 2.1.2: Administer the Scaling Readiness diagnosis survey.

Objective 3.2

To identify and propose partners and partnership modalities and to develop a plan of work and a budget to overcome the scaling bottleneck(s).

Activity 3.2

Identify partners and partnership modalities and develop a plan of work and a budget to overcome scaling bottleneck(s) for the different intervention locations.

- Sub-activity 3.2.1: Identify partner(s) and partnership modalities to overcome the bottleneck(s) to scaling the innovation packages in the different intervention locations.
- Sub-activity 3.2.2: Develop a draft plan of work and a budget for overcoming the bottleneck(s) to scaling the innovation packages in the different intervention locations.

Step 3 Key concepts

- **Scaling strategy:** A set of coherent activities, stakeholders, and stakeholder engagement models to overcome one or more scaling bottlenecks.
- **Stakeholder engagement model:** Model of how to work with the key stakeholders to overcome scaling bottlenecks (e.g. bilateral collaboration, setting up an innovation platform).
- **Strategic options:** These are the strategies that can be used to overcome scaling bottlenecks, including substitution, outsourcing, developing the innovation with low innovation readiness and innovation use, or the relocation, reorientation, postponement, or stopping of the intervention if overcoming the bottleneck in a specific location or time-path is unfeasible.
- **Updated innovation package:** An innovation package that has a higher Scaling Readiness than the original innovation package after the strategic options to overcome scaling bottlenecks have been considered.

Checklist to proceed to Step 4

1. Have preferred strategic options for bottleneck innovations been identified?
2. Has an innovation package been arrived at?
3. Is it clear who are the relevant key stakeholders to involve in addressing remaining bottlenecks?
4. Is it clear who are the relevant key stakeholders to involve for successful inclusion of substituted or outsourced innovations in the package?
5. Is it clear what the preferred engagement options are to engage with all stakeholders?
6. Have the strategic decisions above been compiled in a scaling strategy document or presentation that can be discussed with stakeholders?

4 / 5

Agree



The proposed draft scaling strategy needs to be shared and agreed upon with the broader project partners and other stakeholders such as donors. This is to ensure sufficient buy-in for the proposed strategy and to validate whether the implementation of the strategy is technically feasible and socially and politically acceptable. If the draft scaling strategy is found unfeasible or undesirable, then the strategic options should be reconsidered; this will require iteration between Step 3 and Step 4. When the scaling strategy is agreed upon, then a scaling action plan needs to be developed to address the core bottleneck(s).

Cassava example: Agree on the scaling action plan

During Step 3, the intervention team proposed that the most feasible strategy to overcome the scaling bottleneck regarding a functional government seed system was to substitute it by local seed multiplication. During Step 4 of the Scaling Readiness process, the intervention team seeks to get buy-in for that strategy from the broader partners and stakeholders that form part of the intervention. This process requires active facilitation to support social learning (understanding one another's positions, needs, interests, and interdependencies) as well as integrative negotiations to come to decisions on the way forward (Figure 11). It is likely that not all stakeholders in the process will agree with the proposed strategy, and, in some cases, there will be a need to agree to disagree. If agreement is reached on the scaling strategy, a scaling action plan should be developed that describes (i) the activities to develop – in this case – local seed multiplication systems, (ii) the stakeholders with a proven capacity to support such activities, and (iii) the stakeholder engagement model that describes how to best work together. If no agreement can be reached on the scaling strategy or the scaling action plan, alternative strategic options can be considered.

In this example, the intervention team decided to work with an NGO with experience in setting up agribusinesses for local cassava seed multiplication systems. The NGO had an ongoing project in several of the locations in Tanzania where the scaling intervention was combatting the Cassava Brown Streak Disease. A Memorandum of Understanding was signed to describe the division of tasks and responsibilities and guide the collaboration between the two intervention projects.



Figure 11. Intervention team and intervention partners agreeing on the scaling strategy and the scaling action plan.

Step 4 Objectives, activities, and sub-activities

As part of Scaling Readiness Step 4, a few objectives and corresponding activities and sub-activities have been defined. More detailed activity and sub-activity descriptions are provided as part of Scaling Readiness Implementation (Part C).

Objective 4.1

To reach agreement with the relevant stakeholders on the draft scaling strategy and the scaling action plan.

Activity 4.1

Organize and implement a workshop to agree on the scaling strategy and the scaling action plan.

- Sub-activity 4.1.1: Organize a preparatory meeting to plan the workshop and to follow up on decisions taken.
- Sub-activity 4.1.2: Introduce purposes, participants, and initial findings from Scaling Readiness.
- Sub-activity 4.1.3: Reach agreement on the scaling strategy.
- Sub-activity 4.1.4: Develop operational scaling action plans.

Objective 4.2

To document the agreed-upon scaling strategy and scaling action plan for the different intervention locations.

Activity 4.2

Document, review, and finalize the scaling strategy and the scaling action plan for the different intervention locations.

- Sub-activity 4.2.1: Develop and share the draft workshop report, which includes the proposed scaling strategy and the scaling action plan.
- Sub-activity 4.2.2: Incorporate feedback from participants and share the final workshop report, which includes the scaling strategy and the scaling action plan.

Step 4 Key concepts

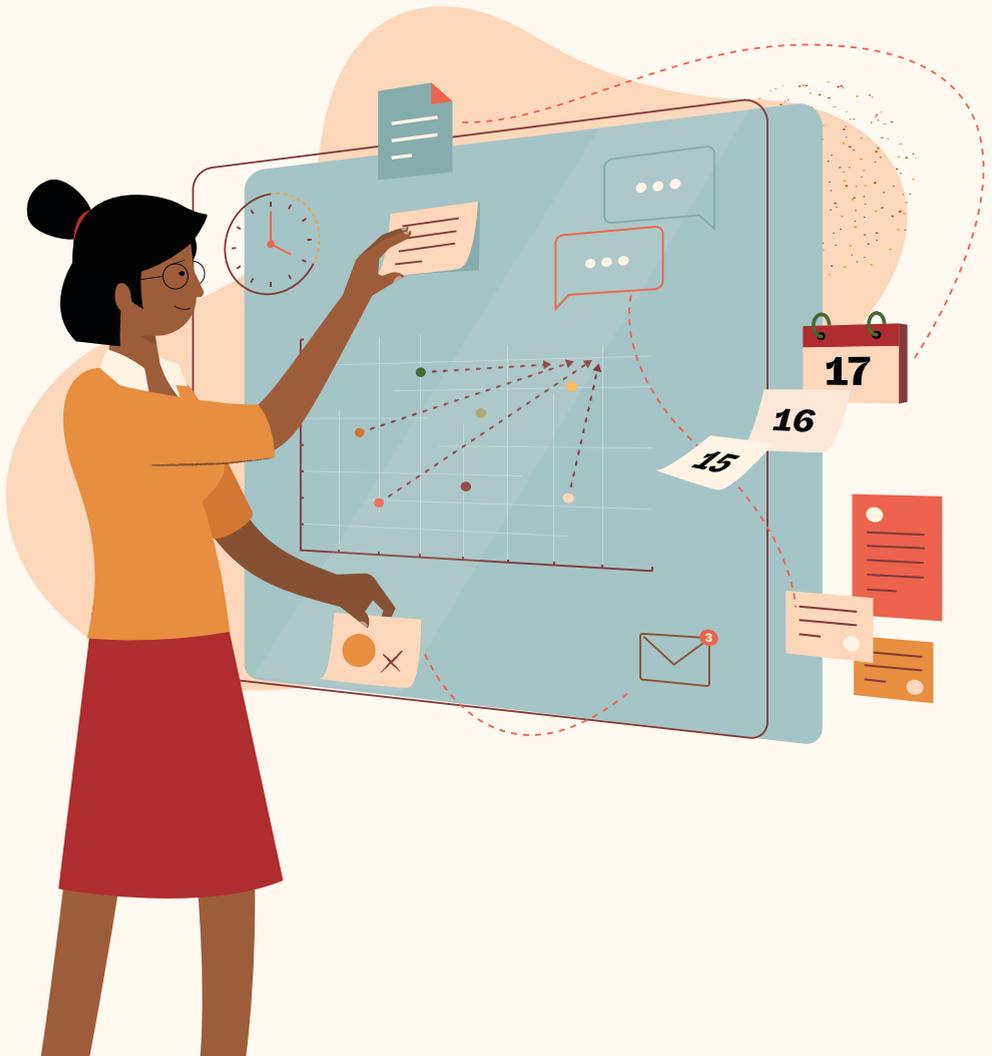
- **Agree to disagree:** Stakeholders whose needs and interests are not being satisfied are unlikely to contribute actively or invest resources in the development or implementation of the scaling action plan, but scaling strategies are unlikely to meet the needs and interests of all stakeholder groups.
- **Agreement:** Because people are interdependent, scaling requires shared expectations, mutual adjustment, and forms of concerted action among stakeholders with different interests; this is meant to be expressed in an agreed-upon scaling strategy and scaling action plan.
- **Facilitation:** A process of providing structure to multi-stakeholder interactions so that groups are able to function effectively and make high-quality decisions.
- **Integrative negotiation:** A negotiation process whereby conflicting interests are resolved to some degree by newly discovered shared interests and problem definitions as a result of social learning.
- **Scaling action plan:** A detailed plan that provides the actions, responsibilities, timelines, and resources allocated to implement the scaling strategy.
- **Social learning:** A facilitated process of interaction in which people learn about one another's context and perspectives, discover how they depend on one another, and develop agreed-upon starting points for a scaling strategy and a scaling action plan.

Checklist to proceed to Step 5

1. Has agreement been reached on the strategy through which bottlenecks will be addressed (e.g. substitute, outsource, develop)?
2. If no agreement has or can be reached, then the intervention team needs to go back to Step 3 and decide on other strategic options (e.g. relocate or reorient, postpone or stop).
3. Have working groups been formed and has each scaling bottleneck or ambition for substitution/outsourcing been adopted by a working group?
4. Has sufficient agreement been reached on the relevant stakeholders to collaborate with for each working group?
5. Has sufficient agreement been reached on engagement strategies and modes of collaboration in each working group?
6. Has sufficient agreement been reached on scaling action plans in each working group, and do these plans address all bottlenecks?
7. In the event of insufficient agreement on the above: is there a plan to further facilitate social learning and integrative negotiation?
8. Are all team members and partners in working groups clear about their role and task in the upcoming period, and how and when to share experiences and progress?

5 / 5

Navigate



If agreement is reached on the scaling strategy and the scaling action plan, the implementation and monitoring of the agreed-upon activities starts. Scaling Readiness facilitates and monitors the scaling strategy implementation through a process of reflexive learning. This implies that project teams periodically reflect on the implementation of the scaling strategy and the related scaling action plan and update these, if necessary, to reach the desired scaling objective. Monitoring can be based on short-term feedback loops that guide the implementation of the scaling action plan, but also on long-term feedback loops comprised of a second Characterize (Step 1) and a second Diagnose (Step 2) round based on the new situation to see whether the scaling strategy has had the desired effect in terms of increasing Scaling Readiness. This makes Scaling Readiness an iterative process.

Cassava example: Navigate the scaling action plan implementation

Short-term feedback loops in the cassava case are comprised of monitoring whether the implementation of the scaling action plan under the Memorandum of Understanding with the NGO working on setting up agribusinesses for local seed multiplication systems for cassava is proceeding as scheduled. Regular formal and informal feedback sessions ensure that challenges are being overcome and that specific activities are being adapted in line with the changing context. This supports the day-to-day fine-tuning, planning, and implementation of activities with stakeholders and stakeholder engagement models as defined in the scaling action plan.

Long-term feedback loops can reveal whether the Scaling Readiness of the innovation package has increased. If the scaling action plan is successfully implemented, then the intervention team may decide to enter into a second round of innovation systems' characterization (Step 1) and diagnosis of the innovation readiness and innovation use (Step 2) of the innovation package in which the functional government seed system was substituted by local seed multiplication. A consecutive cycle of Scaling Readiness can reveal the new scaling bottlenecks for which new scaling strategies can be developed.

Step 5 Objectives, activities, and sub-activities

As part of Scaling Readiness Step 5, a number of objectives and corresponding activities and sub-activities have been defined. More detailed activity and sub-activity descriptions are provided as part of Scaling Readiness Implementation (Part C).

Objective 5.1

To support, monitor, and navigate the effective implementation of the scaling strategies and the scaling action plans in the different intervention locations.

Activity 5.1

Short-loop monitoring, evaluation, and learning.

- Sub-activity 5.1.1: Support and monitor the implementation of the scaling action plans by working groups.

Objective 5.2

To monitor changes in the overall Scaling Readiness of the innovation package as a result of the implementation of the scaling strategy and the scaling action plans.

Activity 5.2

Long-loop monitoring, evaluation, and learning.

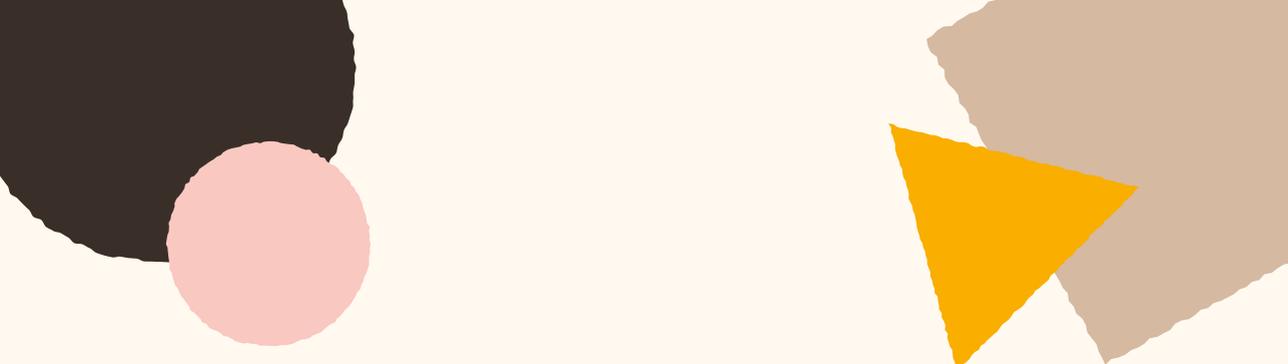
- Sub-activity 5.2.1: Decide on the strategic reiteration of Scaling Readiness steps.
- Sub-activity 5.2.2: Develop and agree upon a plan of work and a budget for the strategic reiteration of the Scaling Readiness steps.

Step 5 Key concepts

- **Long-term feedback loop:** The systematic and periodic monitoring of changes in innovation systems' characteristics (Step 1) and the diagnosis of innovation readiness and innovation use (Step 2) in consecutive cycles of Scaling Readiness to monitor the scaling readiness of the innovation package.
- **Monitoring:** Formal and informal gathering and analysis of information relevant to drawing lessons about progress and/or the need to adapt the scaling strategy or the scaling action plan.
- **Navigation:** Finding direction and adjusting scaling strategies and scaling action plans in response to observed changes in the environment.
- **Short-term feedback loop:** The monitoring that is concerned with the effective implementation of the scaling action plan as part of Navigate (Step 5). This learning loop focuses on the day-to-day fine-tuning, planning, and implementation of activities with stakeholders and stakeholder engagement models as defined in the scaling action plan.
- **Window of opportunity:** An often-limited period of time in which there is relatively high potential to influence change and scaling in response to emerging trends and/or pressures.

Checklist to enter into a new round of Scaling Readiness

1. Is there a strategy through which the intervention team and working groups will document and share experiences and progress? (Step 4)
2. Has the implementation of the scaling strategy and the scaling action plans yielded what we expected from it?
3. Have lessons been formulated in relation to the various activities undertaken?
4. What anticipated and unanticipated developments have occurred since we agreed on a scaling strategy and operational plans?
5. Are there relevant trends in the environment that were not anticipated?
6. Is there a need to adapt scaling strategies and scaling action plans to address bottlenecks or operationalize the substitution or outsourcing plans?
7. Have support needs of the intervention team and partners been identified and addressed?
8. Are we ready to move toward analyzing and addressing the next bottleneck and return to Step 1, and is there clarity on the scope, objective, and required resources for doing that?



PART C

Scaling Readiness Implementation

In this part of Scaling Readiness Guidelines,
we provide the necessary details on how to
implement Scaling Readiness.



For each of the Scaling Readiness steps, a set of activities and sub-activities is provided that correspond with the objectives outlined in Scaling Readiness Practices (PART B). See Figure 12 for the Scaling Readiness structure. Where needed, (internet) access to tools, materials, and other supporting documents is provided. For each of the sub-activities, a number of tips and tricks are provided that can help the Scaling Readiness user or implementer to achieve the desired results.

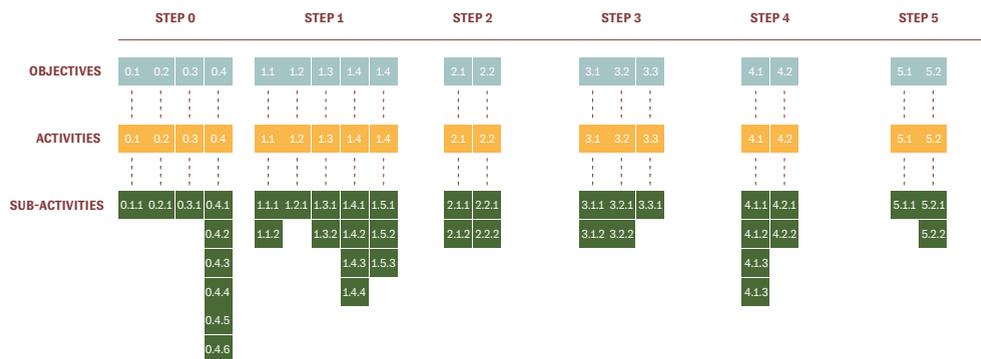


Figure 12. Structure of the Scaling Readiness approach.

Although we have tried to provide as much detail as possible, we must stress that any team applying Scaling Readiness should always reflect critically on the proposed activities and sub-activities and should operationalize and implement them in a way that makes sense for the context and outcome for which Scaling Readiness is applied. This may include modifying activities or implementing them in a manner that is sensitive to social and cultural norms and values.

A note by the Scaling Readiness Development Team

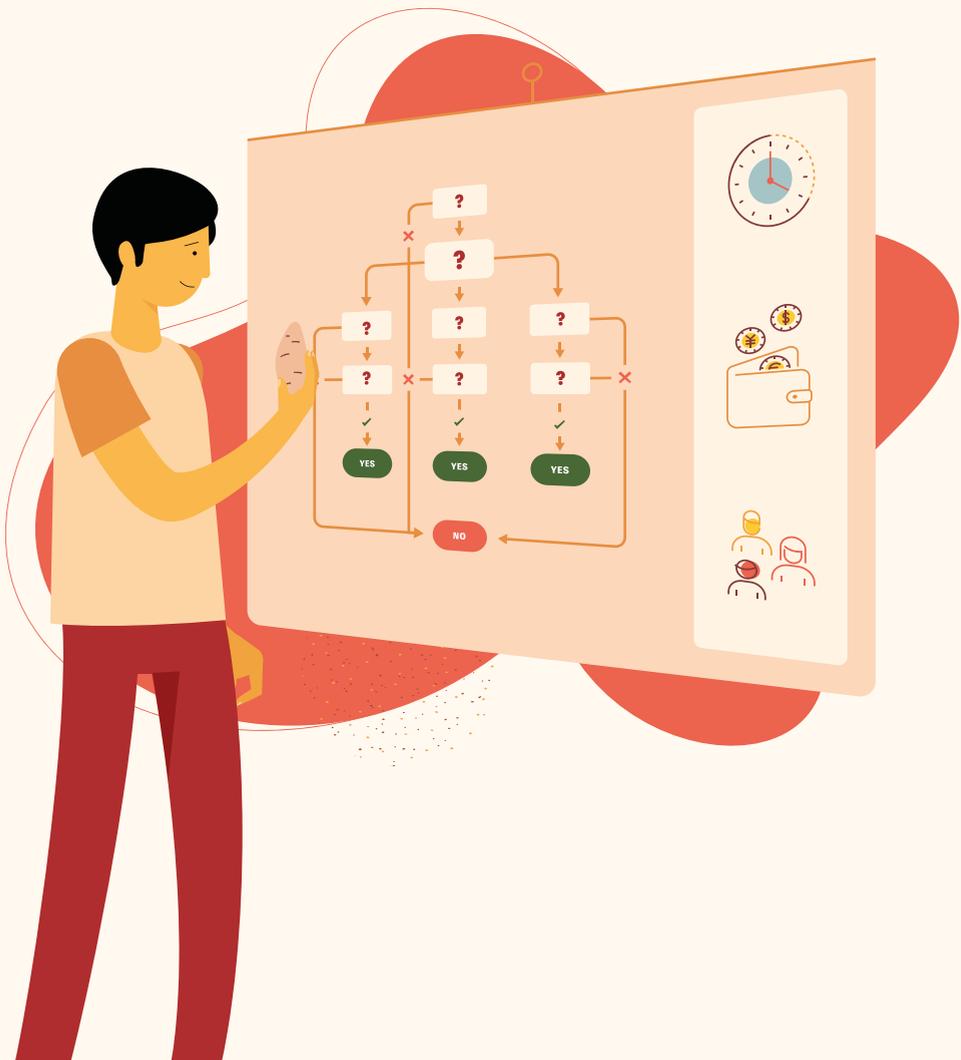
Each of the proposed activities and related (sub-)activities in the Scaling Readiness Guidelines refers to tools, materials and other supporting documents.

Several of the generic tools and materials are made available through the Scaling Readiness web portal (www.scalingreadiness.org/downloads), whereas some other more tailored tools and materials can be developed on-demand together with the Scaling Readiness Development Team.

We are continuously developing, improving, and updating the Scaling Readiness tools and materials based on the feedback and suggestions that we are receiving from our users.

0 / 5

Fit-for-Purpose



During the Fit-for-Purpose step, a research or development manager reviews whether Scaling Readiness is likely to be beneficial for his/her project or intervention. This is also the step in which potential Scaling Readiness users need to decide whether they are willing to invest time, human, and financial resources in the structured implementation of Scaling Readiness. A flowchart guides decision making on whether Scaling Readiness is fit-for-purpose.

Scaling Readiness can be fit for multiple purposes:

1. To improve the scaling performance of a single intervention (e.g. a development project);
2. To assess the scaling readiness of innovations across a broader portfolio of interventions (e.g. using it across multiple projects or at program level);
3. To develop or evaluate proposals for the scaling of innovation (e.g. for resource mobilization).

To guide decision making on whether Scaling Readiness is Fit-for-Purpose, a flowchart has been developed (Figure 7). If the outcome indicates that Scaling Readiness requirements or outcomes are not in line with expectations, then alternative approaches can be used.

Step 0 contains 4 activities that are further described below.

The major activities include:

- Activity 0.1: Decide whether Scaling Readiness is Fit-for-Purpose.
- Activity 0.2: Organize a team meeting to understand and allocate the resources needed for Scaling Readiness.
- Activity 0.3: Organize a team meeting to agree on the plan of work and the budget for Scaling Readiness.
- Activity 0.4: Organize a Scaling Readiness capacity development workshop.

Activity 0.1: Decide whether Scaling Readiness is Fit-for-Purpose

Description of the overall activity

This activity is aimed at deciding whether Scaling Readiness fits the purpose (improved scaling performance, portfolio management, or proposal development/evaluation) and whether to commit resources for the rigorous implementation of Scaling Readiness. This activity involves an internal reflection by the intervention manager and key project staff and provides a clear idea about what Scaling Readiness can provide, what is required, and whether that is in line with their expectations.

The process can take between 30 and 90 minutes depending on the number of team members involved in the discussion. The intervention manager can take the initiative in organizing the activity.

The activity consists of 1 sub-activity that is further described below:

- Sub-activity 0.1.1: Self-administer the Scaling Readiness Fit-for-Purpose survey.

Objective of the activity

Activity 0.1 contributes to achieving Scaling Readiness Objective 0.1:

“To decide whether Scaling Readiness fits the purpose (improved scaling performance, portfolio management, or proposal development/evaluation) and whether to commit resources for the rigorous implementation of Scaling Readiness.”

Sub-activity 0.1.1: Self-administer the Scaling Readiness Fit-for-Purpose survey

Description

Intervention managers self-administer the Scaling Readiness Fit-For-Purpose flowchart and decide whether Scaling Readiness is suitable for the needs of the intervention. Finally, they decide whether the intervention will use Scaling Readiness and the option that best fits the intervention needs.

What do you need?

Implementers	Intervention manager(s)
Participants	Implementation manager and – potentially – selected team members
Materials	<ul style="list-style-type: none">• Computer
Logistics	If the intervention manager decides to engage other team members, then a small meeting room may need to be organized.
Time	Between 30 and 90 minutes
Tools	<ul style="list-style-type: none">• Scaling Readiness Step 0 PowerPoint• Scaling Readiness Fit-for-Purpose flowchart

What do you do and how?

1. The intervention manager downloads the flowchart.
2. The intervention manager uses the flowchart to evaluate fitness for purpose.
3. The intervention manager and the intervention team decide whether Scaling Readiness is fit-for-purpose.

What do you get?

1. Scaling Readiness users have a clear idea about what Scaling Readiness can provide for their projects or organizations, and whether that is in line with their expectations.
2. Scaling Readiness users get a first idea about what is needed to use Scaling Readiness effectively.
3. Scaling Readiness users decide whether they will invest in using Scaling Readiness.

Tips & tricks

- It is best to be honest and transparent about whether (or not) the team is willing to apply a systematic approach and invest resources for the design and implementation of scaling strategies. Scaling Readiness does not work when teams do not use it systematically.
- The intervention manager may decide to involve other key team members in making the fit-for-purpose decision.
- If Scaling Readiness is not fit-for-purpose, then other tools can be used by the team. It is important to explain the strengths and weaknesses of different tools so that the intervention manager can make a well-informed decision.

Activity 0.2: Organize a team meeting to understand and allocate the resources needed for Scaling Readiness

Description of the overall activity

This activity brings together the intervention team for a facilitated discussion on the time, human, and financial resource requirements for Scaling Readiness. The team members clarify and agree on the responsibilities for each team member and develop a plan of activity and a budget for Scaling Readiness implementation.

The intervention manager is in the best position to facilitate the team discussion, which should not take more than approximately 2 hours.

This activity consists of 1 sub-activity that is further described below:

- Sub-activity 0.2.1: Review the Scaling Readiness resource requirement grid.

Objective of the activity

Activity 0.2 contributes to achieving Scaling Readiness Objective 0.2:

“The intervention team has a clear idea about the required time, human, and financial resources needed for the rigorous implementation of Scaling Readiness.”

Sub-activity 0.2.1: Review the Scaling Readiness resource requirement grid

Description

The intervention team meets and has a facilitated discussion on the resource requirements for implementing Scaling Readiness. The team uses the Scaling Readiness resource requirement grid, which ensures that the team has a clear idea about the time, human, and financial resources required. The activity will reveal critical resource gaps for implementing Scaling Readiness and stimulate discussion in the team about how to overcome those gaps.

What do you need?

Implementers	Intervention manager(s)
Materials	<ul style="list-style-type: none">• Computer• Internet access• Projector• Flipcharts and marker pens
Logistics	Depending on the size of the team, a small meeting room may need to be organized.
Time	2 hours
Tools	<ul style="list-style-type: none">• Scaling Readiness Step 0 PowerPoint• Scaling Readiness resource requirement grid

What do you do and how?

1. The intervention manager presents the outcome of Activity 0.1.1.
2. The intervention team reviews the Scaling Readiness resource requirement grid.
3. The intervention team estimates the required time, human, and financial resources needed to implement Scaling Readiness.
4. The intervention team reviews the available time, human, and financial resources to implement Scaling Readiness.
5. The intervention team explores whether additional time, human, and financial resources need to be mobilized to rigorously implement Scaling Readiness.
6. The intervention manager writes up the outcome of the meeting, develops terms of reference for key Scaling Readiness team members, identifies suitable team members to fulfill key Scaling
7. Readiness functions, and prepares a draft plan of work and a budget for Scaling Readiness implementation that provides the main input for Activity 0.3.1.

What do you get?

1. The intervention team has a clear idea about the required time, human, and financial resources needed for the implementation of Scaling Readiness.
2. The team agrees to commit these resources to implement Scaling Readiness.
3. The team reviews the required team capacities and competencies for implementing Scaling Readiness and decides whether additional team members need to be brought on board.
4. Ingredients to develop a draft plan of work and a budget for Scaling Readiness implementation.

Tips & tricks

- For Scaling Readiness to be implemented rigorously, it is best to have dedicated capacity and people (e.g. Scaling Readiness monitors) who have sufficient time to properly implement and facilitate the Scaling Readiness activities.
- Facilitation by a professional who has experience in implementing Scaling Readiness can be very useful, especially when the intervention team members do not have a clear understanding of Scaling Readiness or their role in the overall project.
- Multiple Scaling Readiness monitors need to be appointed if the intervention operates across different countries or geographies.

Activity 0.3: Organize a team meeting to agree on the plan of work and the budget for Scaling Readiness

Description of the overall activity

This activity brings together the intervention team for a facilitated discussion on the draft plan of work and the budget for the implementation of Scaling Readiness. The team members review, clarify, and agree on the draft budget, work plan, division of roles and responsibilities for each team member, and the terms of reference for the Scaling Readiness team members.

The intervention manager is in the best position to facilitate the team discussion, which should not take more than approximately 2 hours.

This activity consists of 1 sub-activity that is further described below:

- Sub-activity 0.3.1: Finalize the plan of work and the budget for Scaling Readiness

Objective of the activity

Activity 0.3 contributes to achieving Scaling Readiness Objective 0.3:

“To get the intervention team organized and to get the buy-in of team members and partners for the rigorous implementation of Scaling Readiness.”

Sub-activity 0.3.1: Finalize the plan of activities and the budget for Scaling Readiness

Description

Using the output of Sub-activity 0.2.1, the intervention team agrees on the time, human, and financial resources required to implement Scaling Readiness in a rigorous way. They review the draft plan of work and the budget, including the budget, planning, division of tasks and responsibilities among team members, and define the terms of reference of the Scaling Readiness monitor(s) and other Scaling Readiness team members. The meeting should result in a final plan of work and a budget for implementing Scaling Readiness.

What do you need?

Implementers	Intervention manager(s)
Participants	Intervention team and potential new team members based on the assessment conducted under Sub-activity 0.2.1. The presence of a staff member working on human resources and recruitment can be beneficial.
Materials	<ul style="list-style-type: none">• Computer• Internet access• Projector• Flipcharts and marker pens• Draft plan of work and budget
Logistics	Depending on the size of the team, a small meeting room may need to be organized.
Time	2 hours
Tools	<ul style="list-style-type: none">• Scaling Readiness Guidelines• Terms of references for Scaling Readiness team members

What do you do and how?

1. The intervention manager presents the draft plan of work and the budget (outcome of Activity 0.2.1) to the team members.
2. The team reviews, discusses, and confirms the estimated time, human, and financial resources required.
3. The team agrees on the proposed terms of references, on who will fulfill key Scaling Readiness functions, and on the division of roles and responsibilities among the team members.

4. The team agrees on the proposed budget and timeline for implementing Scaling Readiness.
5. The intervention team finalizes the plan of work and the budget for implementing Scaling Readiness.

What do you get?

1. Team commitment on the time, human, and financial resources for implementing Scaling Readiness.
2. An organized intervention team and the buy-in of team members and partners for the rigorous implementation of Scaling Readiness.
3. Defined terms of reference for the key Scaling Readiness team members.
4. An agreed-upon timeline for the implementation of the key Scaling Readiness activities.
5. A final plan of work and a budget for implementing Scaling Readiness.

Tips & tricks

1. Facilitation by a professional who has experience in implementing Scaling Readiness can be very useful, especially when the intervention team members do not have a clear understanding of Scaling Readiness.
2. The terms of reference of key Scaling Readiness team members need to be formally acknowledged and included in staff members' contracts, annual work plans, and performance appraisals.
3. Carrying out key Scaling Readiness functions requires allocated time, budget, and commitment.
4. When fulfilling key Scaling Readiness functions (such as being a Scaling Readiness monitor) is seen as an 'add-on' responsibility, then experience shows that this is likely not to achieve the desired results.

Activity 0.4: Organize a Scaling Readiness capacity development workshop

Description of the overall activity

Unless the intervention team has experienced Scaling Readiness professionals, it will need to build capacity to implement Scaling Readiness effectively. The new capacity can be created by studying Scaling Readiness Guidelines or by organizing a Scaling Readiness capacity development workshop. In particular, key team members such as the intervention manager and the Scaling Readiness monitor need to be well informed about Scaling Readiness and its principles, practices, and implementation.

The intervention manager can take the lead in organizing the Scaling Readiness capacity development workshop. Organizing the workshop may benefit from engaging an experienced Scaling Readiness facilitator. The workshop will take approximately 3 full days.

This activity consists of 6 sub-activities that are further described below:

- Sub-activity 0.4.1: Prepare the Scaling Readiness capacity development workshop.
- Sub-activity 0.4.2: General introduction to scaling innovation.
- Sub-activity 0.4.3: Present and discuss the intervention.
- Sub-activity 0.4.4: Understand Scaling Readiness concepts and practices.
- Sub-activity 0.4.5: Understand Scaling Readiness implementation.
- Sub-activity 0.4.6: Update the Scaling Readiness plan of work and budget.

Objective of the activity

Activity 0.4 contributes to achieving Scaling Readiness Objective 0.4:

“To develop capacity at organizational or intervention team level on what Scaling Readiness is.”

Sub-activity 0.4.1: Prepare the Scaling Readiness capacity development workshop

Description

The preparation of the Scaling Readiness capacity development workshop includes organizing a venue for the workshop, making travel and other logistical preparations, and deciding who should be invited for the workshop. The intervention team may also decide whether or not to invite a professional Scaling Readiness facilitator. The workshop will take approximately 3 days, with the key intervention team members and Scaling Readiness team members. In preparation of the workshop, the intervention manager will share Scaling Readiness background reading material and an agenda for the workshop.

What do you need?

Implementers	Intervention manager(s)
Participants	Intervention team
Materials	<ul style="list-style-type: none">• Computer• Internet access
Logistics	Depending on the size of the team, a small meeting room may need to be organized to discuss and agree on the necessary preparations. The maximum number of workshop participants should not exceed 10 per intervention or project.
Time	1 day
Tools	<ul style="list-style-type: none">• Scaling Readiness Guidelines• Intervention proposal• Scaling Readiness capacity development workshop agenda

What do you do and how?

1. Decide and book a convenient workshop venue for two days.
2. Decide on the workshop participants, who:
 - a. Must include: intervention team including Scaling Readiness monitor(s) and core project partners.
 - b. Could include: other interested intervention managers or decision makers in the organization.
3. Share the workshop agenda, Scaling Readiness Guidelines, and the intervention proposal with participants who have confirmed workshop attendance.
4. Support workshop participants in organizing their logistics such as travel and stay at the workshop venue.

What do you get?

1. Capacity development at organizational or intervention team level on what Scaling Readiness is.
2. Buy-in from the extended intervention team (partners and/or donors) on what Scaling Readiness is and why it is useful.
3. Higher likelihood that Scaling Readiness will be implemented systematically, which will increase the chance of it leading to the desired results and outcomes.

Tips & tricks

- If multiple projects are applying Scaling Readiness, then a combined capacity development workshop can be organized to reduce or share the costs of engaging a professional Scaling Readiness facilitator.
- It is recommendable to host all workshop participants at the same venue. This stimulates informal discussions and exchanges between the team members, as well as team building.

- To reduce costs, the workshop can be held in the lead organization’s meeting room. The danger here is that intervention team members may get distracted by other office duties or colleagues.

Description

Scaling Readiness is based on specific thinking about innovation and the scaling of innovation. In this general introduction, participants are provoked to think differently about what innovations are and how innovations scale in society. The presentation explains why the scaling of innovation is difficult, why the current approaches have not resulted in the desired impact, and what we need to do differently to be more successful.

What do you need?

Implementers	Facilitator
Participants	Workshop participants
Materials	<ul style="list-style-type: none"> • Computer • Internet access • Projector
Logistics	Participants are provided with a copy of Scaling Readiness Guidelines, which they can use as a reference document and for taking notes.
Time	Workshop Day 1: 90 minutes (60 minutes presentation and 30 minutes questions and answer)
Tools	<ul style="list-style-type: none"> • Scaling of Innovation PowerPoint • Scaling Readiness Guidelines • Scaling Readiness web portal

What do you do and how?

1. The facilitator delivers an interactive presentation that covers different ways of thinking about agricultural innovation and scaling innovation.
2. The participants discuss the main concepts and ask questions. They try to internalize the main thinking behind Scaling Readiness.

What do you get?

1. Capacity development at organizational or intervention team level on innovation and scaling innovation.
2. Insights into why the current thinking and approach to scaling innovation have not delivered the desired results and impacts.
3. A basic level of understanding that provides a starting point for introducing Scaling Readiness.

Tips & tricks

- Although the presentation contains examples of innovations and explains how innovations are usually 'packages' of technological and non-technological components, it is always good to ask the participants to provide examples from their own (working) context. This helps the participants to internalize the concepts and principles.
- Provide sufficient time for participants to express concerns and ask questions.

Sub-activity 0.4.3: Present and discuss the intervention

Description

After participants receive a general introduction to scaling innovation, it is time for them to learn more about the intervention and its specific scaling objectives. The objective of this presentation is that all team members, including those not closely involved in the intervention design, become familiar with the timeline, theory of change, budget, and innovation and scaling objectives of the project.

What do you need?

Implementers	Intervention manager(s)
Participants	Workshop participants
Materials	<ul style="list-style-type: none">• Computer• Internet access• Projector• Cards that guide review of the intervention presentation
Logistics	The intervention team members can be provided with access to the project proposal before the workshop so that they can familiarize themselves with the project outline and aspirations. The audience can be tasked with asking the intervention team specific questions about the intervention, its objectives, and strategies.
Time	Workshop Day 1: 120 minutes presentation and 60 minutes questions and answers
Tools	<ul style="list-style-type: none">• Intervention presentation• Cards that guide review of the intervention presentation• Intervention or project proposal• Scaling Readiness Guidelines

What do you do and how?

1. The intervention manager prepares an interactive presentation that highlights the main objectives, questions, work packages, and activities conducted under the project. The presentation must adhere to the following logic and structure:
 - a. Max 2 introductory slides/background/core project partners
 - b. Max 2 slides explaining the problem that is being addressed
 - c. Max 2 slides that describe the innovation that is to be scaled
 - d. Max 2 slides on the different components of the innovation (technological, market, partnerships, policies, communication, behavioral, capacity development, etc.)
 - e. Max 2 slides about the context in which scaling is to take place (agro-ecological, socio-economic, political)
 - f. Max 2 slides on the potential scaling strategy
 - g. Max 2 slides on co-investments by scaling partners: What are the scaling partners' needs? Who is going to do the scaling? How to engage with scaling partners?
 - h. Max 1 slide on the outcomes that the project seeks to achieve
 - i. Max 1 slide on the challenges that the project anticipates and how it seeks to overcome such challenges.
2. The audience is assigned specific areas of focus to review and critically assess the presentation. Such areas of review can include:
 - a. Innovation package
 - i. Are the core innovations clearly defined?
 - ii. Are the complementary innovations clearly defined?
 - b. Evidence of scaling potential
 - i. Has the project's core innovation been proved to work in uncontrolled conditions (without project support)?
 - c. Who are the clients, users, or beneficiaries?
 - i. Who will pay for/invest in the innovation (who are the clients)?

- ii. Who are the users?
 - iii. Who are the beneficiaries?
 - iv. Who will invest in the further scaling of the innovation after this intervention ends?
 - d. Bottlenecks to scaling
 - i. Does the project have a clear understanding of the key bottlenecks to scaling?
 - ii. Does the project have realistic ideas to overcome the key bottlenecks?
 - e. Scaling strategy
 - i. Are the scaling objectives clearly defined?
 - ii. Are the scaling objectives realistic?
 - f. Partnerships
 - i. Are partnerships tailored to overcoming bottlenecks to scaling?
 - ii. Are scaling partners identified and investing their resources?
 - g. Contextual approach to scaling
 - i. Has the intervention considered how scaling strategies need to differ across different locations?
3. The intervention manager delivers the presentation.
 4. The intervention team discusses the presentation along the cards handed out to specific members in the audience.
 5. The intervention team has a more general discussion about the presentation, makes additions, seeks to clarify matters, and identifies gaps in the scaling strategy and/or scaling objectives.

What do you get?

1. A joint understanding among the intervention team members about the intervention, its key objectives and context, proposed partnerships and partnership strategies, and the proposed scaling strategy.
2. A lively and critical discussion on the intervention's scaling strategy, partnership engagement strategy, objectives, etc.

Tips & tricks

- Intervention managers face difficulties sticking to the proposed presentation structure and responding to questions such as “what is the intervention’s proposed scaling strategy?”
- It may be helpful for the workshop facilitator to review the presentation before the capacity development workshop so that modifications can be made.
- The review of the presentation by the audience (using the cards) can be set up as a “Dragon’s Den” event whereby the audience, or selected members of the audience, act as investors who critical review the intervention manager’s ‘sales-pitch’ and at the end of the presentation and the questions and answers decide how much they would be willing to invest in the idea.

Sub-activity 0.4.4: Understand Scaling Readiness concepts and practices

Description

On the second day of the capacity development workshop, participants will be going through Scaling Readiness in more detail. After a general introduction to Scaling Readiness, they will go over Scaling Readiness step-by-step to understand the underlying principles and practices of the approach. This takes approximately the whole second workshop day, and the sessions are demanding. It is important that participants have sufficient breaks and energize themselves in between the sessions.

What do you need?

Implementers	Facilitator
Participants	Intervention team and the other workshop participants
Materials	<ul style="list-style-type: none">• Computer• Internet access• Projector• Scaling Readiness Guidelines• Presentations to walk the workshop participants through the 6 Scaling Readiness steps• Scaling Readiness steps poster
Logistics	The intervention team members are provided with access to Scaling Readiness Guidelines before the workshop so that they can familiarize themselves with the content, use it as a reference material, and make notes for clarification in it. A poster with the main Scaling Readiness steps can be printed and hung in a central location in the workshop meeting room so that it is easy for participants to follow the Scaling Readiness stepwise approach.
Time	Workshop Day 2: 6 hours
Tools	<ul style="list-style-type: none">• Scaling Readiness general introduction• Scaling Readiness Step 0 PPT• Scaling Readiness Step 1 PPT• Scaling Readiness Step 2 PPT• Scaling Readiness Step 3 PPT• Scaling Readiness Step 4 PPT• Scaling Readiness Step 5 PPT• Scaling Readiness Guidelines

What do you do and how?

1. A joint understanding among the Scaling Readiness monitors on how to implement Scaling Readiness.
2. Scaling Readiness monitor buy-in and a higher likelihood of smooth and rigorous implementation of Scaling Readiness.
3. Team building among the Scaling Readiness monitors, who can be working together across different countries or intervention locations.

What do you get?

1. A joint understanding among the Scaling Readiness monitors on how to implement Scaling Readiness.
2. Scaling Readiness monitor buy-in and a higher likelihood of smooth and rigorous implementation of Scaling Readiness.
3. Team building among the Scaling Readiness monitors, who can be working together across different countries or intervention locations.

Tips & tricks

- This sub-activity is quite intense in terms of content density and presentation format. Short energizers in between the sessions may keep participants energetic and concentrated. Energizers furthermore are a great instrument for team building.
- The Scaling Readiness steps are referred to throughout the workshop. It may therefore be good to again use the Scaling Readiness poster that displays the Scaling Readiness steps and put it in a central location in the meeting room.
- If Scaling Readiness monitors operate across different countries or geographies, they could decide on using a joint communication platform (e.g. WhatsApp, Telegram, or Messenger) to exchange experiences and progress.

Sub-activity 0.4.5: Understand Scaling Readiness implementation

Description

On the morning of the third day of the capacity development workshop, participants will be going through Scaling Readiness Implementation (Part C of this guide) in more detail. After a quick recap of Day 2, the Scaling Readiness expert will explain the major activities under Scaling Readiness Steps 1–5, and how data collected will inform the development, implementation, and monitoring of the scaling strategies. The session is primarily for the Scaling Readiness monitors, but other intervention team members and workshop participants can also attend. This session takes approximately the whole morning of the third workshop day. It is important that participants have sufficient breaks and energize themselves in between the sessions.

What do you need?

Implementers	Scaling Readiness facilitator
Participants	Scaling Readiness monitors (primarily) and other interested intervention team members
Materials	<ul style="list-style-type: none">• Computer• Internet access• Projector• Scaling Readiness Guidelines• Presentations to walk the workshop participants through the tools, logistics, and tips & tricks for implementing the 6 Scaling Readiness steps• Scaling Readiness steps poster
Logistics	The Scaling Readiness monitors are provided with access to the Scaling Readiness implementation details (Part C of this guide) before the workshop so that they can familiarize themselves with the content, tools, and tips & tricks. They can also use it as a reference material and to make notes in it for clarification.
Time	Workshop Day 3: 6 hours
Tools	<ul style="list-style-type: none">• Scaling Readiness Guidelines• Scaling Readiness web portal

What do you do and how?

1. A joint understanding among the Scaling Readiness monitors on how to implement Scaling Readiness.
2. Scaling Readiness monitor buy-in and a higher likelihood of smooth and rigorous implementation of Scaling Readiness.
3. Team building among the Scaling Readiness monitors, who can be working together across different countries or intervention locations.

What do you get?

1. A joint understanding among the Scaling Readiness monitors on how to implement Scaling Readiness.
2. Scaling Readiness monitor buy-in and a higher likelihood of smooth and rigorous implementation of Scaling Readiness.
3. Team building among the Scaling Readiness monitors, who can be working together across different countries or intervention locations.

Tips & tricks

- This sub-activity is quite intense in terms of content density and presentation format. Short energizers in between the sessions may keep participants energetic and concentrated. Energizers furthermore are a great instrument for team building.
- The Scaling Readiness steps are referred to throughout the workshop. It may therefore be good to again use the Scaling Readiness poster that displays the Scaling Readiness steps and put it in a central location in the meeting room.
- If Scaling Readiness monitors operate across different countries or geographies, they could decide on using a joint communication platform (e.g. WhatsApp, Telegram, or Messenger) to exchange experiences and progress.

Sub-activity 0.4.6: Update the Scaling Readiness plan of work and budget

Description

After the capacity development workshop, it is likely that the intervention team will want to review the plan of work and the budget for implementing Scaling Readiness. The final part of the workshop therefore provides the intervention team with the opportunity to make final modifications and update the plan based on their new insights and learning. As this is the last activity in the workshop, it could also allow participants to share some overall workshop feedback and for official closure of the workshop by the organizers.

What do you need?

Implementers	Intervention managers
Participants	Intervention team
Materials	<ul style="list-style-type: none">• Computer• Internet access• Projector• Flipcharts and marker pens• Final plan of work and budget
Logistics	Depending on the number of intervention teams attending the workshop, one or more small break-out meeting rooms may need to be organized.
Time	Workshop Day 3: 2 hours
Tools	<ul style="list-style-type: none">• Scaling Readiness Guidelines• Scaling Readiness web portal

What do you do and how?

1. The intervention team reviews the developed plan of work and the budget (outcome of Activity 0.3).
2. The intervention team decides whether any modifications are required to the plan of work and the budget for the implementation of Scaling Readiness.
3. If needed, modifications are made in relation to the division of roles and responsibilities among the team members, terms of reference for fulfilling key Scaling Readiness functions, budget and timeline for implementing Scaling Readiness, and the required (additional) human resources.

4. The intervention team updates and finalizes the plan of work and the budget for implementing Scaling Readiness.
5. Final reflections and closure of the Scaling Readiness capacity development workshop.

What do you get?

1. Team commitment on the time, human, and financial resources for implementing Scaling Readiness.
2. Defined terms of reference for the key Scaling Readiness team members.
3. An agreed-upon timeline for the implementation of the key Scaling Readiness activities.
4. A final updated plan of work and a budget for implementing Scaling Readiness.
5. Feedback from the participants on the Scaling Readiness capacity development workshop.

Tips & tricks

- It would be good to have the intervention teams reflect on and share any changes made in the plan of work and the budget. This could provide insight into how the capacity development workshop has or has not changed their perception of Scaling Readiness and its implementation.
- At the end of the workshop, the participants may want to share their experiences, learning, and suggestions for improvements. There can be creative ways of capturing this feedback, for example by making participants write their 'take-aways', 'appreciation', and 'improvements' on small, different colored post-it notes that can then be collected and analyzed by the workshop organizers.

Characterize



This step aims to characterize 4 key aspects that will provide a basis for conducting the Scaling Readiness diagnosis: (1) the characteristics of the scaling intervention, (2) what the intervention is trying to scale and why, (3) the context in which the scaling intervention operates, and (4) the stakeholders, their networks, and the other interventions in which they are involved. This step results in a clearly defined innovation package, consisting of core and complementary innovations for different locations where scaling is desired.

Step 1 contains 5 activities that are further described below. The major activities include:

- Activity 1.1: Characterize the intervention.
- Activity 1.2: Characterize the core innovation(s).
- Activity 1.3: Characterize the complementary innovations.
- Activity 1.4: Refine and validate the innovation package(s).
- Activity 1.5: Characterize the stakeholders, their networks, and their interventions.

Activity 1.1: Characterize the intervention

Description of the overall activity

The first activity of Step 1 is characterization of the intervention. Understanding the objectives of the intervention, the context in which the intervention operates, and the outputs that the intervention aims to produce is critical for the implementation of Scaling Readiness. The core of this activity is a facilitated interview between the Scaling Readiness monitor and the intervention manager.

The activity consists of 2 sub-activities that are further described below:

- Sub-activity 1.1.1: Conduct a facilitated interview with the intervention manager.
- Sub-activity 1.1.2: Curate the data and prepare a list of well-defined research and development outputs.

Objective of the activity

Activity 1.1 contributes to achieving Scaling Readiness Objective 1.1:

“To characterize the intervention by capturing detailed information on the intervention locations, development or business sectors, Sustainable Development Goals (SDGs), research and development outcomes, target beneficiaries, and budget allocation.”

Sub-activity 1.1.1: Conduct a facilitated interview with the intervention manager

Description

To better understand and characterize the intervention, the Scaling Readiness monitor schedules a meeting with the intervention manager. Interviews can be conducted in different ways such as face-to-face, via telephone or online communication platform (e.g. Skype), or using an online survey. Once the interview is scheduled, the Scaling Readiness monitor administers the facilitated interview using the Scaling Readiness intervention profile.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention manager(s) or delegate who understands the intervention in detail

Materials	<ul style="list-style-type: none"> • Audio recorder • Camera • Tablet, computer, or smartphone with internet access
Logistics	A meeting venue, or functioning phone or internet connection if the interview is not conducted face-to-face
Time	1–1.5 hours
Tools	<ul style="list-style-type: none"> • Scaling Readiness intervention profile • Sustainable Development Goals (SDGs) and SDG indicator list • International Standards for Industry Classification (ISIC) list • Scaling Readiness Guidelines

What do you do and how?

1. The Scaling Readiness monitor schedules the meeting.
2. The Scaling Readiness monitor ensures appropriate logistics and the functioning of the materials and survey tools before the interview.
3. Introduce the interview and its purpose for Scaling Readiness to the intervention managers. Address their questions sufficiently before the interview starts.
4. Administer the interview using the Scaling Readiness intervention profile.
5. During the interview, clarify concepts mentioned and sufficiently probe the responses given and clarify them before registering the final responses.
6. Enter the data in Google Forms and confirm the submission confirmation before closing the interview.

What do you get?

1. Sharpened understanding by the intervention manager(s) about basic scaling concepts and Scaling Readiness.
2. Clearly defined intervention objectives, expected outcomes, and outputs.
3. Intervention profile registered in Google Sheets database.

Tips & tricks

- In most cases, intervention managers have limited time available. Try to arrange the interview well in advance if possible.
- Due to time limitations, discussions that are too detailed can cause problems. The Scaling Readiness monitor should be sensitive about time and guide the interview effectively.
- Most likely, intervention managers will have difficulty providing precise descriptions of their project's outputs. The Scaling Readiness monitor should ask consecutive «how» questions until the managers provide answers that can be considered an appropriate output.
- Make sure that the intervention managers answer the questions individually.
- An audio recording device can help to capture the interview data. The Scaling Readiness monitor should ensure that the audio recording covers the whole interview.

Sub-activity 1.1.2: Curate the data and prepare a list of well-defined research and development outputs

Description

Once the interview is completed and the data are entered into the Google Form, the Scaling Readiness monitor checks the data, curates them, and compiles the list of well-designed outputs that the intervention seeks to achieve. Having well-defined research and development outputs will be very instrumental for use later in Scaling Readiness. The Scaling Readiness monitor can develop a short presentation to validate the outputs with the intervention manager and the intervention team and communicate the outputs to collaborators at later stages.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention team

Materials	<ul style="list-style-type: none"> • Tablet or computer with internet access • Audio recording to verify responses (if clarification is needed)
Logistics	A meeting venue if the Scaling Readiness monitor is validating the intervention profile and the list of defined outputs compiled with the intervention team
Time	2–3 hours
Tools	<ul style="list-style-type: none"> • Intervention profile data • Scaling Readiness intervention output definition guidelines

What do you do and how?

1. Open the Google data table containing the intervention profile data.
2. Check whether the data are correctly entered and make corrections if needed.
3. For each output, apply the checklist in the Scaling Readiness output description guidelines.
4. List the updated outputs in a separate document.
5. Prepare the intervention profile in which each of the outputs is visually presented.
6. Present and validate the intervention profile presentation to/with the intervention team.
7. Update the intervention profile data based on the presentation and feedback (if needed).

What do you get?

1. A detailed intervention profile that includes details on the intervention's location, timeline, budget, aspired outcomes, and outputs.
2. A list of validated intervention research and development outputs.

Tips & tricks

- In preparing the intervention profile presentation, try to use photos, images, and other visual items that will help to make the presentation visually attractive and the outputs more concrete.
- If, during the presentation, the intervention team wishes to specify the defined outputs, then the Scaling Readiness monitor should update this in the dataset.

Activity 1.2: Characterize the core innovation(s)

Description of the overall activity

The second activity of Step 1 is characterizing the core innovation for the intervention, which must be clearly defined to identify whether it is suitable for application in the various locations in which it is intended to bring it to scale.

The activity consists of 1 sub-activity that is further described below:

- Sub-activity 1.2.1: Determine and define the core innovation(s).

Objective of the activity

Activity 1.2 contributes to achieving Scaling Readiness Objective 1.2:

“To characterize the core innovation(s) that the intervention is trying to scale.”

Sub-activity 1.2.1: Determine and define the core innovation(s)

Description

The Scaling Readiness monitor works with the intervention managers in determining the core innovation(s) that the intervention aims to scale. Identifying those core innovations responds to the question “What is it that we are trying to bring to scale?”

” Core innovations are usually well defined in the intervention proposal. Defining them clearly is an important first step toward identifying the relevant innovation packages for different locations where the intervention is active.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention manager(s)
Materials	<ul style="list-style-type: none">• Tablet, computer, or smartphone with internet access• Flipcharts• Marker pens• The intervention proposal
Logistics	If a facilitated meeting is organized, then a venue and materials that support brainstorming should be prepared (flipcharts, marker pens, etc.).

Time	1–2 hours
Tools	<ul style="list-style-type: none"> List of intervention outputs (Activity 1.1) Presentation of intervention outputs (Activity 1.1)

What do you do and how?

1. Go over the list of outputs that was prepared as part of Activity 1.1.
2. Determine whether there are any gaps or overlaps between outputs and make adjustments to the output descriptions if needed.
3. Brainstorm and decide which output(s) are the major focus of the intervention (“What is it that we are trying to bring to scale?”).
4. List these outputs as the core innovations.

What do you get?

1. Clearly defined core innovations.
2. Increased awareness among the intervention managers about: “what it is that we are trying to bring to scale”.

Tips & tricks

- Ensure that the difference between a core innovation and a complementary innovation is clear for intervention manager(s).
- Each core innovation could be further detailed or broken down. However, at this stage, the core innovation description can still be rather broad.
- Limit the number of core innovations. The ideal number is 1 and there should not be more than 3 core innovations per intervention.

Activity 1.3: Characterize the complementary innovations

Description of the overall activity

The third activity focuses on identifying the complementary innovations that are needed for scaling the core innovation(s). Core innovations are usually the same across different intervention locations, whereas complementary innovations often differ across different intervention locations. Combined, the complementary innovations should provide the enabling environment for the core innovation(s) to work at scale. The complementary innovations are characterized during a Scaling Readiness workshop with the intervention team and key intervention partners.

The activity consists of 2 sub-activities that are further described below:

- Sub-activity 1.3.1: Prepare the Scaling Readiness workshop.
- Sub-activity 1.3.2: Organize the Scaling Readiness workshop.

Objective of the activity

Activity 1.3 contributes to achieving Scaling Readiness Objective 1.3:

“To identify the complementary innovations that are needed for scaling the core innovation in the different intervention locations.”

Sub-activity 1.3.1: Prepare the Scaling Readiness workshop

Description

The intervention manager, the Scaling Readiness monitor, and an experienced facilitator (to be selected beforehand) meet to prepare and plan a Scaling Readiness workshop. The objective of the workshop is to (i) validate the characterization of the intervention (Activity 1.1) and the core innovation (Activity 1.2), (ii) identify the complementary innovations for the different locations where the intervention has scaling objectives and, in doing so, (iii) define site-specific innovation packages. Careful preparation will result in an effective workshop in which the main objectives will be achieved.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention manager, Scaling Readiness monitor, and prospective Scaling Readiness workshop facilitator
Materials	<ul style="list-style-type: none">• Materials for brainstorming and notetaking (flipchart, marker pens, etc.)
Logistics	<p>Preparations for the workshop should start at least 5 weeks before the actual workshop date and workshop participants should be contacted at least 4 weeks before the actual workshop date.</p> <p>Depending on the intervention, team members and key partners may have to travel to the workshop location. It is also possible to organize multiple workshops in different intervention locations if this turns out to be more (cost-)effective.</p> <p>The workshop venue should be able to accommodate the participants and also provide sufficient space for break-out groups.</p>
Time	4 hours
Tools	<ul style="list-style-type: none">• Draft agenda for the workshop• Scaling Readiness web portal

What do you do and how?

- Identify workshop participants who (i) have a good understanding of the core innovation and (ii) have a good understanding of the context in which scaling is to take place.
- Choose and book an attractive venue with accommodation that can provide a meeting room, a projector, and sufficient space for break-out groups.
- Prepare a workshop agenda using the agenda items mentioned in the steps elaborated as part of Activity 1.3.2.
- Review all elements of the workshop agenda; the intervention manager(s), the Scaling Readiness monitor, and the professional facilitator have to agree on who will prepare, facilitate, and document the different workshop sessions.
- Ensure that the intervention manager personally contacts the participants and explains why they are invited for the workshop.

- Send invitations and the draft program to the invited participants 4 weeks before the workshop date.
- Follow up by email or phone with those participants who have not confirmed participation approximately 2 weeks before the workshop date.

What do you get?

1. Workshop objectives and a corresponding workshop agenda.
2. Clarity about task division among the intervention manager, the Scaling Readiness monitor, and the professional workshop facilitator.
3. A list of invited workshop attendees.

Tips & tricks

- In the workshop program, include evening activities on Day 1 with plenty of space for informal exchange.
- To ensure that workshop participants have a maximum focus, so-called email opportunities may be provided in the workshop program so that participants can catch up on their most urgent professional issues.
- Depending on the location of the workshop and the origin of the participants, the workshop participants should be provided with sufficient travel time.

Sub-activity 1.3.2: Organize the Scaling Readiness workshop

Description

The intervention team organizes a 1-day workshop to identify the complementary innovations that are necessary to bring the core innovations to scale. Because complementary innovations are often site specific, they need to be tailored to the sites where the intervention has scaling ambitions. Key stakeholders from the different sites need to participate in the workshop, which can be either held in a central location or decentralized in each of the intervention sites.

What do you need?

Implementers	Scaling Readiness monitor, intervention manager, and professional workshop facilitator
Participants	Intervention managers, Scaling Readiness monitor, and key intervention partners
Materials	<ul style="list-style-type: none">• A meeting room with a projector• Flipcharts, markers, tape• Handout of the main results from Activities 1.1 and 1.2
Logistics	An attractive venue with accommodation for those participants who have to travel to the workshop The venue should have sufficient space for break-out groups.
Time	1 day
Tools	<ul style="list-style-type: none">• PowerPoint presentation with the main results from Scaling Readiness Activities 1.1 and 1.2• Guidelines for defining complementary innovations

What do you do and how?

Workshop agenda morning (approximately from 8:30 to 12:30hr):

1. Welcome:
The intervention manager welcomes the participants and explains the background and purpose of the workshop (15 minutes, intervention manager).
2. Program and getting to know one another:
The workshop facilitator explains the workshop program and facilitates a round in which the participants introduce themselves and their role in the intervention (30 minutes, workshop facilitator).
3. Explain overall rationale of Scaling Readiness:
The Scaling Readiness monitor explains the overall Scaling Readiness rationale and process. The monitor can refer to the Scaling Readiness steps, so that the workshop participants can understand where they are in the Scaling Readiness process and what the next steps are (45 minutes, Scaling Readiness monitor).
4. Share and validate results from Step 1: Characterize:
The intervention manager and the Scaling Readiness monitor present the findings from Activities 1.1 and 1.2. The objective is to validate the results and profiling of the intervention and the core innovation (90 minutes, intervention manager and workshop facilitator).

Workshop agenda afternoon (approximately from 13:30 to 17:00hr):

5. Identify complementary innovations for the different intervention sites (Part A).
Groupwork to identify complementary innovations for each of the intervention sites. Groups are formed based on the different intervention locations. The intervention manager and the Scaling Readiness monitor join the groups to ensure that the complementary innovations are formulated concretely and in an operational manner and that different types of complementary innovations are being identified, in order to ensure that they try to identify the following types of complementary innovations:
 - a. Complementary innovations to convince users of the core innovation;
 - b. Complementary innovations to ensure access to the core innovation;
 - c. Complementary innovations to ensure sufficient capacity for using the core innovation.

(90 minutes, Scaling Readiness monitor, intervention manager, and workshop facilitator).

6. Plenary feedback round:
The groups present their complementary innovations for the different intervention sites and receive feedback from the other groups, the Scaling Readiness monitor, and the intervention manager. Examples of operational definitions of complementary innovations can be shown to support the refining of the innovation descriptions (60 minutes, selected members of the working groups, Scaling Readiness monitor, intervention manager, and workshop facilitator).
7. Finalize formulation of the complementary innovations for the different intervention sites:
Continued group work to refine, update, and sharpen the complementary innovations and their description (60 minutes, Scaling Readiness monitor, intervention manager, and workshop facilitator).
8. Close workshop:
The intervention manager closes the workshop and indicates next steps such as the compiling and sharing of the workshop report and the innovation packages (30 minutes, intervention manager).
9. Team dinner (optional).

What do you get?

1. Validated intervention profile and core innovation(s) that the intervention aims to scale.
2. Stakeholder input on the complementary innovations that are required for the different intervention locations.

3. List of defined complementary innovations that together with the core innovations form the innovation package for the different sites where the intervention is active.

Tips & tricks

- Ensure that the difference between the core innovation(s), the complementary innovation(s), and the innovation package is clear for the workshop participants.
- The workshop provides great opportunities for team building. The workshop participants should be encouraged to attend the team dinner, despite this being an optional activity.
- It is important that participants have sufficient breaks and energize themselves in between the sessions. Energizers can be used between the sessions to refresh body and mind and keep participants motivated and focused on the task at hand.
- It can be very interesting to compare the different innovation packages for the different intervention sites. The differences emphasize that scaling strategies must be tailored to the different locations and that a one-size-fits-all approach to the scaling of innovation is unlikely to be successful.

Activity 1.4: Refine and validate the innovation package(s)

Description of the overall activity

The fourth activity of Step 1 is to finalize the characterization of the core innovations and the complementary innovations to develop the innovation packages for the different intervention sites. Determining the composition of the innovation package is a crucial step in Scaling Readiness, and the composition itself has implications for the entire course of the intervention. In this activity, the intervention team and the key intervention partners design the innovation package step-by-step and in a participatory manner. It is very important to have a clear description of the innovation, its clients, its users, and its beneficiaries, and related or competing

innovations, in order to properly assess the innovation’s readiness and use, as part of Scaling Readiness Step 2.

The activity consists of 4 sub-activities that are further described below:

- Sub-activity 1.4.1: Administer the Scaling Readiness innovation profile survey.
- Sub-activity 1.4.2: Prepare innovation descriptions.
- Sub-activity 1.4.3: Validate the innovation packages and innovation descriptions.
- Sub-activity 1.4.4: Incorporate participants’ feedback and share the final Scaling Readiness workshop report, which includes the innovation packages and innovation descriptions.

Objective of the activity

Activity 1.4 contributes to achieving Scaling Readiness Objective 1.4:

“To have validated innovation packages for each of the locations where scaling is aspired to.”

Sub-activity 1.4.1: Administer the Scaling Readiness innovation profile survey

Description

The Scaling Readiness monitor applies the innovation profile survey to the core and complementary innovations defined during the Scaling Readiness workshop (Activity 1.3). The objective is to have concise and uniform descriptions of the innovations as provided by the intervention team.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Experts
Materials	<ul style="list-style-type: none">• Audio recorder• Camera• Tablet, computer, or smartphone with internet access
Logistics	A working computer or phone with internet access

Time	Approximately 30 minutes per innovation
Tools	<ul style="list-style-type: none"> • Innovations as defined in the innovation package • Scaling Readiness innovation profile • Sustainable Development Goals (SDGs) and SDG indicator list • International Standards for Industry Classification (ISIC) list

What do you do and how?

- Identify the experts who can provide information on the innovations in the innovation package.
- Contact the experts who can self-administer the innovation profile survey.
- Schedule meetings or calls with those experts who cannot self-administer the innovation profile survey.
- Conduct face-to-face or phone interviews with the experts.
- Ensure that all innovations have been profiled.

What do you get?

1. Detailed and uniform descriptions of the core and complementary innovations in the innovation package.

Tips & tricks

- Some experts might ignore the request to fill out the innovation profile. Active follow-up is necessary to ensure high participation in the survey. A short phone call with the expert may be the most efficient way to get the desired feedback.

Sub-activity 1.4.2: Prepare innovation descriptions

Description

Once all the innovations have been described, the Scaling Readiness monitor checks the data, curates them, and produces a list of well- and uniformly defined innovation profiles.

What do you need?

Implementers	Scaling Readiness monitor
Participants	The Scaling Readiness monitor may have to get back to the experts who were consulted as part of Sub-activity 1.4.1 to get additional details if the innovation descriptions have provided insufficient detail.
Materials	<ul style="list-style-type: none">• Tablet or computer for data curation• Phone to call the experts if additional information is required
Logistics	A functioning computer, internet connection, and access to the Scaling Readiness database
Time	Between 1 hour and half a day depending on the number of innovations and the quality of the innovation descriptions provided by the experts
Tools	<ul style="list-style-type: none">• Intervention profile data• Innovation description template

What do you do and how?

1. Open the Google data table containing the intervention profile data.
2. Review the innovation description sheets using the template.
3. Define or redefine the innovation descriptions if necessary.

What do you get?

1. An inventory of detailed core and complementary innovation descriptions for the intervention.
2. Input to the Scaling Readiness database of uniformly formulated innovations that can also be used to profile innovation packages in other interventions using Scaling Readiness.

Tips & tricks

- The innovation descriptions must be very concise and follow the innovation description template. The Scaling Readiness monitor needs to pay attention to detail.

Sub-activity 1.4.3: Validate the innovation packages and the innovation descriptions

Description

The Scaling Readiness monitor prepares a draft workshop report on the basis of all the materials collected from the workshop, and especially the agenda items relating to agreed-upon decisions on the scaling strategy and the scaling action plan(s) developed by the working groups. The draft report is then shared with the participants for feedback.

What do you need?

Implementers	Scaling Readiness monitor and intervention manager
Participants	All workshop participants and influential stakeholders who were invited but could not attend the workshop held as part of Activity 1.3
Materials	<ul style="list-style-type: none"> Minutes, presentations, and flipcharts collected from the workshop conducted as part of Activity 1.3
Logistics	The draft workshop report is preferably developed and finalized within days of the workshop. This ensures that information is still 'fresh' both to the intervention team and to the workshop participants.
Time	1 day
Tools	<ul style="list-style-type: none"> Innovation description guidelines and template (To be provided on-demand)

What do you do and how?

- Compile an overview of the key findings and decisions from the workshop following the key agenda items in the workshop, including at least:
 - The core innovation(s);
 - The complementary innovations for the different scaling locations;
 - The refined and updated innovation package for the different locations.
- Send the draft report to the workshop participants and other important stakeholders (including those who could not attend the workshop) and ask them whether the information provided is correct and complete.

What do you get?

1. A draft document that captures the innovation packages, for future reference and monitoring.

Tips & tricks

- Make participants acknowledge receipt of the workshop report and key actions so that the document can be used as an official document that captures the agreement on the innovation packages that the intervention seeks to bring to scale.
- Include in the report key graphical representations as well as pictures of the working groups and key flipcharts.
- Give people a clear deadline within which they can respond and provide feedback on the workshop report and innovation package descriptions.
- Develop the innovation packages as an annex that can be shared separately from the workshop report at later points in time.

Sub-activity 1.4.4: Incorporate participants' feedback and share the final workshop report, which includes the innovation packages and innovation descriptions

Description

The draft workshop report must be amended on the basis of feedback received so that the document can serve as an official document for future reference and monitoring. It is wise to develop the innovation packages as annexes to the workshop report, so that these are stand-alone documents that can also be shared separately from the workshop report.

What do you need?

Implementers	Scaling Readiness monitor and intervention manager
Participants	All Activity 1.3 workshop participants and influential stakeholders who were invited for, but could not attend, the workshop
Materials	<ul style="list-style-type: none">• Draft workshop report and innovation package description(s)• Written feedback collected from participants and other key stakeholders
Logistics	The workshop report and innovation package descriptions are preferably finalized within 2 weeks of the workshop.

Time	1 day (depending on the feedback received)
Tools	<ul style="list-style-type: none"> Innovation package template

What do you do and how?

- Collect participants' comments on the draft report and amend the draft workshop report accordingly.
- In the event of unclearness, contradictions, or disagreements, consult key stakeholders and original workshop materials.
- Clearly indicate remaining unclearness, contradictions, or disagreements so that the working groups can discuss these in future interactions.

What do you get?

1. A final workshop document, including the innovation package descriptions that capture the agreements reached, for future reference and monitoring.
2. Consensus among the intervention team, intervention partners, and other key stakeholders about the main innovation packages to be scaled in the different locations.
3. A baseline document for future reference and for monitoring and evaluation.

Tips & tricks

- Send a reminder to those participants who have not given feedback on the draft report by the deadline.
- Develop the innovation package description(s) as annexes to the workshop report, so that these can serve as stand-alone documents.
- Make participants acknowledge receipt of the final workshop report incorporating the innovation package description(s) so that this can serve as an official reference document.

Activity 1.5: Characterize the stakeholders, their networks, and their interventions

Description of the overall activity

The fifth activity of Step 1 is to characterize the stakeholders involved in the intervention. This includes the people composing the intervention team as well as partners, people with expertise on the subject matter, and influential people who may enable or obstruct the scaling of innovation. Understanding their professional competences and experiences as well as the other interventions in which they are involved provides valuable information for developing innovation and/or scaling partnerships once critical scaling bottlenecks have been defined (Scaling Readiness Step 3). The activity is a continuous process; this means that stakeholder profiling will take place during more than one Scaling Readiness step. However, it is good practice to characterize the majority of the stakeholders during Step 1 of Scaling Readiness.

The activity consists of 3 sub-activities that are further described below:

- Sub-activity 1.5.1: Using the sampling framework, identify the stakeholder groups.
- Sub-activity 1.5.2: Administer the stakeholder profile and stakeholder network survey.
- Sub-activity 1.5.3: Curate the data and prepare a list of stakeholders and stakeholder networks.

Objective of the activity

Activity 1.5 contributes to achieving Scaling Readiness Objective 1.5:

“To characterize the stakeholders, their networks, and their interventions.”

Sub-activity 1.5.1: Using the sampling framework, identify the stakeholder groups

Description

The Scaling Readiness monitor together with the core intervention team follows the sampling guidelines and identifies the names of the stakeholders who will be targeted by the stakeholder profile survey. The initial list should be as complete as possible, including (i) intervention leaders, (ii) intervention managers, (iii) intervention team member (those who are employed under the project), (iv) partners that receive a budget or provide services free of charge, (v) intervention

donors, (vi) users of the innovation, (vii) people working on similar interventions or innovations, and (viii) other stakeholders who are influential in the scaling of innovation or who have good knowledge of the innovation that is being scaled (content-matter specialists).

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention managers and core intervention team
Materials	<ul style="list-style-type: none"> • Tablet, computer, or smartphone with internet access • A Google Sheet to capture the names and details of the stakeholders who have to be interviewed
Logistics	Depending on the size of the team, a meeting room may need to be arranged by the Scaling Readiness monitor.
Time	Approximately 4 hours
Tools	<ul style="list-style-type: none"> • Scaling Readiness sampling guide

What do you do and how?

1. Organize the meeting and share the Scaling Readiness sampling guide with the intervention manager and the core intervention team.
2. Identify the stakeholder groups based on Scaling Readiness Guidelines in consultation with the intervention managers and the core intervention team.
3. Identify the names of the people belonging to each group (intervention leaders, intervention team, intervention partners, innovation network members, innovation system members, and livelihood system members).
4. Fill out the stakeholder list in Scaling Readiness Guidelines and upload it in the Google Sheet.

What do you get?

1. Discussion among the intervention team about the differences between content- matter specialists and influential stakeholders and their potential contribution to achieving the intervention outcomes and outputs.

2. An inventory of project stakeholders, main content-matter experts, and influential stakeholders who could be involved during specific phases of the intervention.

Tips & tricks

- Define stakeholder groups as specifically as possible. General grouping will lead to low validity of the results.
- The Scaling Readiness monitor can ask probing questions to stimulate thinking and discussion among the intervention team. Include probing questions such as: “Do you know any other influential people who can support the project in achieving its outcomes?” or “What other experts could the intervention collaborate with?”

Sub-activity 1.5.2: Administer the stakeholder profile and stakeholder network survey

Description

After the key stakeholders have been listed by the intervention team, the Scaling Readiness monitor can take the lead in administering the stakeholder profile and stakeholder network survey. The survey can be administered face-to-face, by phone, or through an online telecommunication platform.

What do you need?

Implementers	Scaling Readiness monitor or intervention stakeholders
Participants	Intervention stakeholders
Materials	<ul style="list-style-type: none"> • Audio recorder • Camera • Tablet, computer, or smartphone with internet access
Logistics	If the survey is administered without the use of the digital survey, then a printed version is needed. Data can be entered by the Scaling Readiness monitor at a later point in time.

Time	30 minutes per person
Tools (To be provided on-demand)	<ul style="list-style-type: none"> • Scaling Readiness stakeholder profile • Sustainable Development Goals (SDGs) and SDG indicator list • International Standards for Industry Classification (ISIC) list

What do you do and how?

1. Check the list of stakeholders and identify who can self-administer the stakeholder profile and stakeholder network survey and who needs to be interviewed by the Scaling Readiness monitor.
2. Contact by email the stakeholders who can self-administer the stakeholder profile and stakeholder network survey.
3. Schedule meetings or calls with the stakeholders who cannot or who are unlikely to self-administer the stakeholder profile and stakeholder network survey.
4. Conduct interviews with the stakeholders who cannot or who are unlikely to self-administer the stakeholder profile and stakeholder network survey.
5. Monitor responses to the online surveys and send email reminders to stakeholders who have not yet completed the surveys or remind them by phone.

What do you get?

1. A detailed overview of the characteristics of the stakeholders in the direct and indirect intervention context, including their gender, professional competence and experience, location, and the other research and development interventions in which they are involved.
2. Data that allow for the analysis of stakeholder networks showing the central people in stakeholder networks, clusters of stakeholders around specific interventions, and insight into the potential for new collaborations or partnerships.

Tips & tricks

- Some stakeholders might ignore the request to fill out the stakeholder profile and stakeholder network survey. Active follow-up is necessary to ensure high participation in the survey.
- The survey will need to be administered on a continuous basis, for example when new stakeholders join the intervention team or become involved in specific activities. Try to administer the stakeholder profile and stakeholder network survey periodically.
- There may be occasions when filling the Google Sheet survey is not possible. In such cases, the Scaling Readiness monitor should download the survey, fill it out on paper, and enter the data at a later point in time in Google Sheets.

Sub-activity 1.5.3: Curate the data and prepare a list of stakeholders and stakeholder networks

Description

After the majority of stakeholders have been interviewed or have completed the survey, the Scaling Readiness monitor reviews the data, curates them, and produces a list of stakeholders. If desired, the Scaling Readiness monitor can share the data with the intervention manager or the intervention team.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Not applicable
Materials	<ul style="list-style-type: none">• Tablet, computer, or smartphone with internet access
Logistics	Not applicable
Time	Between 1 and 4 hours (depending on the number of survey entries)
Tools	<ul style="list-style-type: none">• Stakeholder profile and networks dataset (To be provided on-demand)

What do you do and how?

1. Open the Google Sheet data table containing the stakeholder profile and networks data.
2. Review the data for inconsistencies and incompleteness and complete where possible.
3. The Scaling Readiness monitor prepares a short document or presentation summarizing the data (e.g. stakeholder groups, key competences, other interventions).
4. The Scaling Readiness monitor shares the document or presentation with the intervention team.

What do you get?

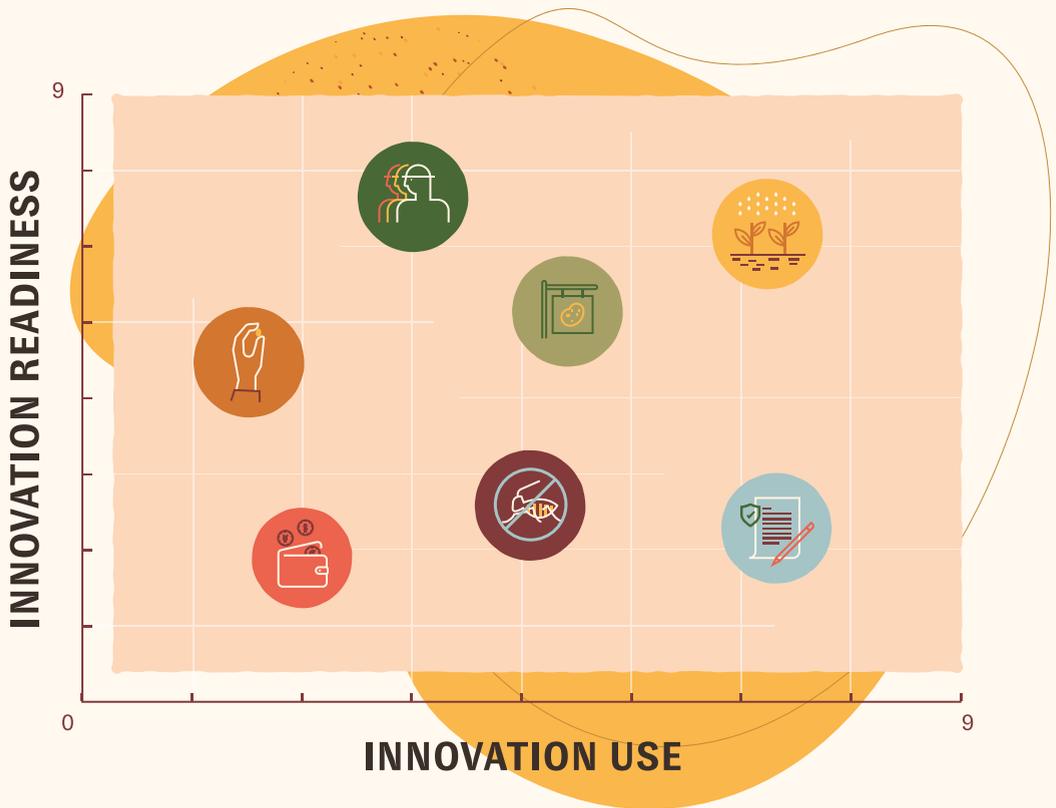
1. List of key stakeholders and their profiles

Tips & tricks

- If the stakeholder list is presented to the intervention team, the team members may identify additional or missing stakeholders. The Scaling Readiness monitor can take stock of the missing stakeholder profiles and follow up with the missing persons subsequently.

2 / 5

Diagnose



The data collected in Step 1 provide the basis for diagnosing the Scaling Readiness of each of the innovations in the innovation package in a specific scaling context. Experts who understand both the innovations and the scaling context will be asked to score the core and the complementary innovations for their innovation readiness and innovation use. They will be requested to provide evidence that supports their assessment and score. The scoring will show the overall Scaling Readiness of the innovation package and the core or complementary innovations that score lowest and form the key bottleneck to scaling the core innovation in a specific location.

Step 2 contains 2 activities that are further described below. The major activities include:

- Activity 2.1: Prepare and administer the Scaling Readiness diagnosis survey.
- Activity 2.2: Analyze the results and prepare and share the Scaling Readiness diagnosis report.

Activity 2.1: Prepare and administer the Scaling Readiness diagnosis survey

Description of the overall activity

The first activity of Step 2 is administration of the Scaling Readiness diagnosis survey. The Scaling Readiness diagnosis survey will provide information on (1) the readiness and (2) the use of each of the core and complementary innovations in the intervention locations. That diagnosis will provide the basis for identifying those innovations with the lowest readiness and use in the innovation package that form the bottleneck to scaling. This provides the basis for developing the scaling strategy to overcome the bottlenecks to scaling.

Activity 2.1 consists of 2 sub-activities that are further described below:

- Activity 2.1: Prepare and administer the Scaling Readiness diagnosis survey.
- Activity 2.2: Analyze the results and prepare and share the Scaling Readiness diagnosis report.

Objective of the activity

Activity 2.1 contributes to achieving Scaling Readiness Objective 2.1:

“To assess and collect evidence of the readiness and use of each innovation in the innovation package for the different intervention locations and identify the innovations with the lowest readiness and use levels.”

Sub-activity 2.1.1: Develop a list of experts who will score the core and the complementary innovations for their readiness and use

Description

The Scaling Readiness monitor, in consultation with the intervention manager, prepares a list of experts to score each of the innovations in the innovation package for their innovation readiness and use. By using the information from the stakeholder profile survey (Activity 1.5), these experts can be carefully mapped to the different core and complementary innovations that are within their range of expertise or experience. This approach is taken to ensure that experts assess only those core or complementary innovations that they have knowledge of, or, in other words, to avoid people being asked to assess the readiness and use of innovations that are beyond their expertise or experience. Experts may be selected based on the sectors or industries where they are active, but also based on the geographical areas or regions where they are or have been

working. Independent and evidence-based scoring of innovation readiness and innovation use is one of the cornerstones of Scaling Readiness, as it avoids intervention teams self-appraising and subjectively assessing the scalability of innovations.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention manager and intervention team
Materials	<ul style="list-style-type: none"> • Tablet, computer, or smartphone with internet access • Results from the stakeholder profile survey (Activity 1.5)
Logistics	A working computer or phone with internet access
Time	Between 4 and 8 hours depending on the number of innovations and intervention locations. If there are gaps in matching experts to the innovations, more time may be needed to conduct desktop research to identify additional experts to assess the innovations.
Tools	<ul style="list-style-type: none"> • Scaling Readiness diagnosis survey sampling guidelines (To be provided on-demand)

What do you do and how?

1. Access the data from the stakeholder profile survey (Activity 1.5).
2. Match the expertise of the individuals in the stakeholder profile survey with the different core and complementary innovations that are to be assessed for their readiness and use in the different intervention locations.
3. Experts may be assigned to assess multiple innovations, and innovations may be assigned to multiple experts for their assessment.
4. Identify the gaps in terms of the innovations that could not be matched to experts from the stakeholder profile database.
5. Conduct desktop research or interviews (e.g. with the intervention manager) to identify additional experts who can be approached to assess the innovations for which no assessor has been identified.
6. Compile a list of experts and contact information and discuss and finalize the list with the intervention manager.

What do you get?

1. A list of experts and their contact details matched to the innovations in the innovation packages that need to be assessed for their innovation readiness and innovation use.
2. It is better if multiple experts can assess the readiness and use of the innovations. However, in cases where assessing innovations requires very specific expertise or when very few experts have experience in a specific location, a single expert may conduct the assessment.

Tips & tricks

- Ensure that the innovation categories and the expert sampling guidelines are well understood before identifying the names.
- If consultation with the intervention manager and desktop research are not sufficient to identify the experts who can fill the gaps, consulting managers of other interventions working on the core innovations can be useful.
- The number of stakeholders who need to be included in Group B depends on the specificities of the stakeholder-innovation categories and the responsiveness of the stakeholders to the Scaling Readiness diagnosis survey. It is good practice to identify as many stakeholders as possible to ensure a sufficient number of responses.

Sub-activity 2.1.2: Administer the Scaling Readiness diagnosis survey

Description

Once the list of experts has been identified, the Scaling Readiness monitor can start approaching the experts with the request to complete the Scaling Readiness diagnosis survey. There are two ways in which the Scaling Readiness monitor can reach out to the experts. The first way is to contact the experts by email, provide them with the necessary context, and request them to self-administer the online Scaling Readiness diagnosis survey. The second way is to contact the experts by phone, provide them with the necessary context, and fill out the online Scaling Readiness diagnosis survey with them based on the phone interview. The Scaling

Readiness monitor ensures that the data are recorded appropriately and that the expert provides accompanying information or evidence to support his/her assessment.

What do you need?

Implementers	Scaling Readiness monitor and intervention manager
Participants	Identified group of experts
Materials	<ul style="list-style-type: none">• Audio recorder• Camera• Tablet, computer, or smartphone with internet access
Logistics	A working computer or phone with internet access
Time	Approximately between 10 and 40 minutes per person depending on the number of innovations that the expert is asked to assess
Tools	<ul style="list-style-type: none">• List of experts and contact details (Sub-activity 2.1.1)• Scaling Readiness diagnosis survey (To be provided on-demand)

What do you do and how?

1. Check the list of stakeholders and identify who is likely to self-administer the diagnosis survey and who needs to be contacted and interviewed in person or by phone by the Scaling Readiness monitor.
2. Contact the experts who can self-administer the Scaling Readiness diagnosis survey.
3. Schedule meetings or calls with those experts who cannot or are unlikely to self-administer the Scaling Readiness diagnosis survey.
4. Conduct the expert interviews and complete the Scaling Readiness diagnosis survey.
5. Keep track of who has completed the Scaling Readiness diagnosis survey and follow up with those experts who have still to provide the information.

What do you get?

1. Scaling Readiness diagnosis database that contains expert assessment and supporting evidence of the readiness and use of the innovations that are supposed to contribute to having impact at scale.

Tips & tricks

- Some experts might ignore the request to self-administer the Scaling Readiness diagnosis survey. Active follow-up is necessary to ensure high participation in the survey.
- In some circumstances, the most effective way to administer the Scaling Readiness diagnosis survey is to organize an expert meeting to fill out the survey with facilitation by the Scaling Readiness monitor.
- It may be interesting to think of an incentive system where experts are 'rewarded' for giving their time to complete the Scaling Readiness diagnosis survey. Such rewards should preferably be 'in-kind' and aligned with their existing incentive system(s). Scaling Readiness could provide online certificates, visibility, or kudos for the experts who contribute to assessing the innovations through the online Scaling Readiness platform.

Activity 2.2: Analyze the results and prepare and share the Scaling Readiness diagnosis report

Description of the overall activity

The second activity of Step 2 is to analyze the results from the Scaling Readiness diagnosis survey and to prepare and share a Scaling Readiness diagnosis report. The results are automatically analyzed through the Google Forms Application and Scripts, which is supported by the Scaling Readiness development team. The analysis provides (i) innovation readiness and innovation use scores for each innovation in the innovation package, (ii) supporting evidence that justifies the scores, and (iii) network statistics and suggestions about the individual stakeholders who can contribute to increasing the readiness and use of innovations in the innovation package for each intervention location. The results are used by the Scaling Readiness monitor to prepare the diagnosis report using Scaling Readiness Guidelines.

The activity consists of 2 sub-activities that are further described below:

- Sub-activity 2.2.1: Analyze the results and develop the Scaling Readiness diagnosis report with a Scaling Readiness assessment for the different intervention locations.

- Sub-activity 2.2.2: Share and finalize the Scaling Readiness diagnosis report with the intervention team, the intervention partners, and other relevant Intervention stakeholders.

Objective of the activity

Activity 2.2 contributes to achieving Scaling Readiness Objective 2.2:

“To identify the innovations in the innovation package with the lowest innovation readiness and innovation use levels to provide a basis for developing scaling strategies.”

Sub-activity 2.2.1: Analyze the results and prepare a Scaling Readiness diagnosis report for the different intervention locations

Description

The Scaling Readiness monitor checks the auto-generated Scaling Readiness diagnosis graphs and prepares the Scaling Readiness diagnosis report for initial sharing with, and feedback from, the intervention manager. The Scaling Readiness diagnosis report provides the base information from Step 1 that is needed to understand the intervention, the scaling context, and the core and the complementary innovations for the different intervention locations. Data are presented using the Scaling Readiness graph (e.g. Figure 5) developed for each of the intervention locations. The report should be developed as a stand-alone, self-explanatory document as this will be shared with the broader intervention team, intervention partners, and other intervention stakeholders in preparation for subsequent Scaling Readiness Steps 3 and 4.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention manager
Materials	<ul style="list-style-type: none"> • Tablet or computer • Scaling Readiness Google Forms and Scripts (by Scaling Readiness development team) • Scaling Readiness diagnosis report template and guidelines
Logistics	A functioning computer and internet access
Time	Approximately 1 day depending on the number of innovation packages and intervention locations for which diagnosis is performed
Tools	<ul style="list-style-type: none"> • Scaling Readiness Google Forms and Scripts (provided by Scaling Readiness development team) • Scaling Readiness diagnosis report template and guidelines (To be provided on-demand)

What do you do and how?

1. Open the auto-generated Scaling Readiness diagnosis report.
2. Open the Scaling Readiness diagnosis report template and guidelines.
3. Using the guidelines, edit the text in terms of language and fill out the information specified in the Scaling Readiness diagnosis.
4. Share the final Scaling Readiness diagnosis with the intervention manager(s) for initial feedback.
5. Integrate feedback from the intervention manager(s) before sharing the Scaling Readiness diagnosis report with the broader intervention team, intervention partners, and other stakeholders.

What do you get?

1. Scaling Readiness diagnosis report containing information on the key bottlenecks to the scaling of innovation in the different intervention locations.

Tips & tricks

- Make sure that the Scaling Readiness diagnosis report guidelines are well understood by the Scaling Readiness monitor.
- Ensure that the Scaling Readiness diagnosis report has a professional look, is complete, and is written in an understandable and accessible way. The report should be developed as a stand-alone, self-explanatory document as it will be shared with the broader intervention team, intervention partners, and other intervention stakeholders in preparation of subsequent Scaling Readiness Steps 3 and 4.

Sub-activity 2.2.2: Share and finalize the Scaling Readiness diagnosis report with the intervention team, the intervention partners, and other relevant intervention stakeholders

Description

The Scaling Readiness monitor and the intervention manager(s) share the Scaling Readiness diagnosis report with the intervention team, the intervention partners, and other relevant intervention stakeholders, such as the donor. These can review the report and provide feedback on its content and clarity. If necessary or feasible, the Scaling Readiness monitor and the intervention manager(s) can organize an (online) seminar to properly introduce and explain the Scaling Readiness diagnosis report and to respond to questions from the audience. On basis of the received feedback, the Scaling Readiness monitor can then finalize the Scaling Readiness diagnosis report, which will serve as a starting point for Step 3.

What do you need?

Implementers	Scaling Readiness monitor and intervention manager(s)
Participants	Intervention team, intervention partners, and other relevant intervention stakeholders
Materials	Tablet or computer with internet access
Logistics	<ul style="list-style-type: none">• A functioning computer and internet access• If necessary, an (online) seminar can be organized to properly introduce and explain the Scaling Readiness diagnosis report and to respond to questions from the audience
Time	Approximately 5 days for providing feedback on the shared Scaling Readiness diagnosis report
Tools	<ul style="list-style-type: none">• Scaling Readiness diagnosis report (To be provided on-demand)

What do you do and how?

1. The intervention manager provides a list of selected intervention team members, intervention partners, and other relevant intervention stakeholders who are to review, and provide feedback on, the Scaling Readiness diagnosis report.
2. The Scaling Readiness monitor shares the Scaling Readiness diagnosis report with the selected individuals and provides clear guidance on the review and feedback procedure.
3. The Scaling Readiness monitor gathers feedback either by email or by an (online) seminar, and this feedback is incorporated into the Scaling Readiness diagnosis report.
4. The Scaling Readiness diagnosis report is finalized and shared with the intervention team, the intervention partners, and other relevant intervention stakeholders. If necessary, a second (online) meeting or seminar can be organized to share the results with the broader group of partners and stakeholders.

What do you get?

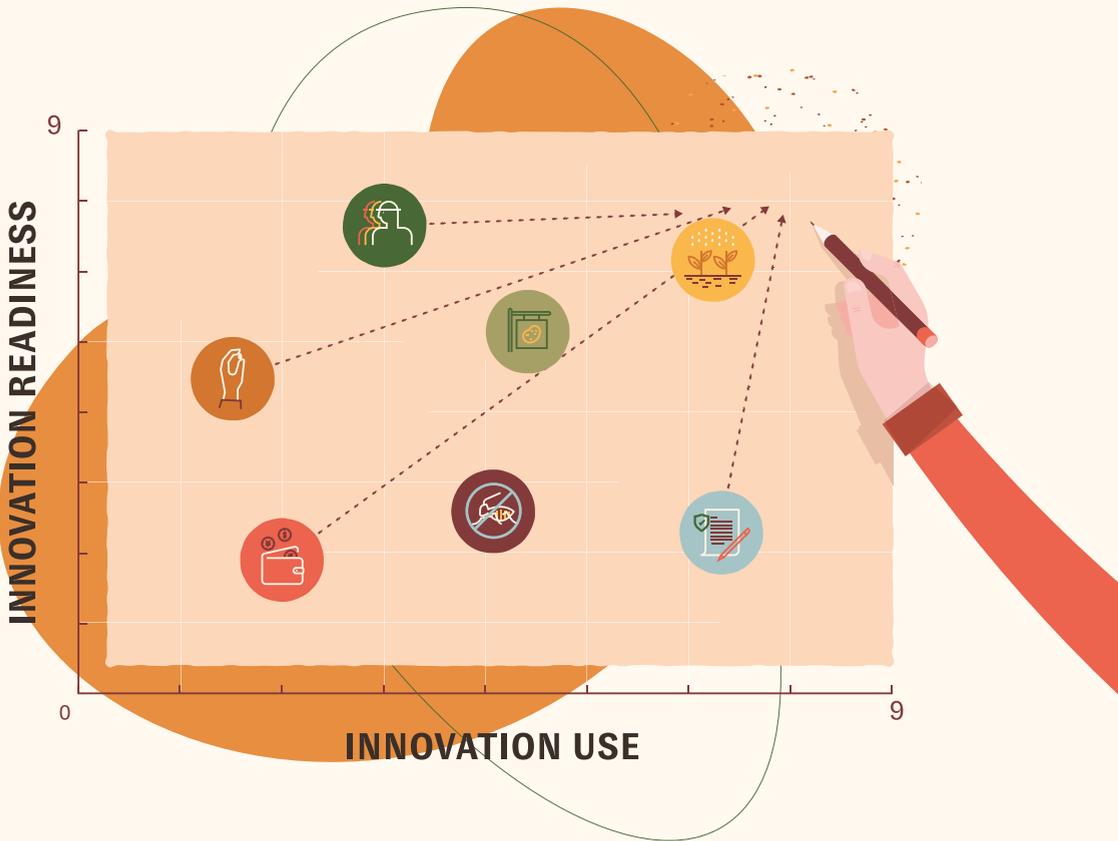
1. A validated Scaling Readiness diagnosis report.
2. An evidence-based starting point for exploring the strategies, partnerships, and activities that can overcome bottlenecks to the scaling of innovation in the different intervention locations (Scaling Readiness Steps 3 and 4).

Tips & tricks

- Some of the results from the Scaling Readiness diagnosis survey and report may imply major changes for the intervention's activities and partnerships. If this is the case, it is recommended to properly present Scaling Readiness and how the Scaling Readiness diagnosis was conducted before sharing the actual results and report.

3 / 5

Strategize



The Scaling Readiness diagnosis will show the critical bottlenecks to the scaling of innovation. This facilitates the intervention team in making strategic choices about (i) how to overcome the bottleneck, (ii) which partners should be involved, (iii) the most effective way to work with these partners, and (iv) the kinds of activities and budgets required to overcome the bottleneck innovation. These constitute the elements of a draft scaling strategy.

Step 3 contains 3 activities that are further described below. The major activities include:

- Activity 3.1: Identify the best strategic options to address the scaling bottleneck(s) and update the innovation package(s) for the different intervention locations.
- Activity 3.2: Identify partners and partnership modalities and develop a plan of work and a budget to overcome scaling bottleneck(s) for the different intervention locations.
- Activity 3.3: Develop, review, and finalize a draft scaling strategy.

Activity 3.1: Identify the best strategic options to address the scaling bottleneck(s) and update the innovation package(s) for the different intervention locations

Description of the overall activity

In this activity, a team meeting is organized by the Scaling Readiness monitor to discuss the outcome of Activity 2.2. The objective of the meeting is to develop a draft scaling strategy. This meeting will take between 2 and 6 hours. After the meeting, the Scaling Readiness monitor will need to administer the diagnosis survey again for the newly added innovations.

The activity consists of 2 sub-activities that are further described below:

- Sub-activity 3.1.1: Organize an intervention team meeting to decide on the best strategic options for overcoming the bottleneck innovations.
- Sub-activity 3.1.2: Diagnose the reconfigured innovation package.

Objective of the activity

Activity 3.1 contributes to achieving Scaling Readiness Objective 3.1:

“To identify the strategic options (substitute, outsource, develop, relocate, reorient, postpone, or stop) to address scaling bottleneck(s) and update the innovation package.”

Sub-activity 3.1.1: Organize an intervention team meeting to decide on the best strategic options for overcoming the bottleneck innovations

Description

Step 2 identified the bottleneck innovation(s) for the scaling of the innovation package in the different locations where the intervention seeks to develop scaling activities. Scaling strategies need to be context specific. Innovation packages will differ across different locations, as will the bottleneck innovations. Therefore, it is best for the intervention teams to explore strategic options for the different locations in separate meeting sessions. During each session, discuss and decide together on the best strategic option for dealing with the bottleneck innovations.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention team
Materials	<ul style="list-style-type: none">• Computer and projector• Scaling Readiness diagnosis report (Activity 2.2)• Flipcharts and marker pens
Logistics	<ul style="list-style-type: none">• Depending on the size of the team, a suitable meeting room or venue needs to be organized.• It is recommended to share the Scaling Readiness diagnosis report in advance of the meeting so that the intervention team members can familiarize themselves with the content.
Time	Between 2 hours and 6 hours depending on number of bottleneck innovations and the number of innovation packages/locations where the project seeks to develop scaling activities
Tools	<ul style="list-style-type: none">• Scaling Readiness strategic options

What do you do and how?

1. In the meeting, agree on the specific bottleneck innovations that need to be addressed. There will be at least one, but there may be more; the number of innovations selected will be highly context dependent. If bottleneck innovations are not addressed, then it is essential to critically reflected upon the scaling ambitions of the project.
2. For each bottleneck, discuss together and agree on the best strategic option to improve its readiness (i.e. substitute, outsource, develop, relocate, reorient) using the Scaling Readiness strategic options table. Take into account the available time, financial, and human resources and be realistic in terms of what can be achieved within the scope of the intervention.
3. Take your time to discuss and carefully consider the possibilities, working slowly through the list of strategic options from substituting the bottleneck with one of higher readiness (easiest) to reorientation (most difficult).
4. To substitute: identify the innovations with higher readiness and use that could substitute the bottleneck innovation.
5. To outsource: identify the people or organizations that could develop support for overcoming the bottleneck innovations more quickly, more cheaply, and more effectively.

6. To develop: outline the main process for increasing the readiness of the bottleneck innovation.
7. To relocate or reorient: identify the new location or specify the reorientation.
8. If none of the first five strategic options (i.e. substitute, outsource, develop, relocate, reorient) can work, discuss the desirability of postponing or stopping the intervention.
9. Document your discussions, the desired strategic options, and your decisions in a document that will feed into the draft scaling strategy.

What do you get?

1. Discussion and consensus within the intervention team on the main bottleneck innovations.
2. Team discussion on how bottleneck innovations should be dealt with and the strategic options that are most feasible within the scope of the intervention.
3. A summary of the agreed strategic options for addressing each of the selected bottleneck innovations.
4. A proposal for a reconfigured innovation package for each of the locations where the project is active.
5. Input for developing a draft scaling strategy.

Tips & tricks

- Remember that scaling strategies need to be context specific. Innovation packages will differ across different locations, as will the bottleneck innovations. Therefore, it is best for the intervention teams to explore strategic options for the different locations in separate discussions. If not, there is a chance of developing a one-size-fits-all approach that is proven not to be successful in scaling.

- Addressing one bottleneck innovation will sometimes influence the Scaling Readiness of other innovations, either increasing or decreasing their readiness. That is one of the reasons why a follow-up diagnosis survey may need to be carried out.
- Many intervention teams are too optimistic in terms of what they can achieve within the scope of the intervention. Take into account the available time, financial, and human resources and be realistic about what can be achieved, and consequently about which strategic options are feasible.

Sub-activity 3.1.2: Diagnosis of the reconfigured innovation package

Description

Developing the scaling strategy inevitably means a reconfiguration of the innovation package for each intervention location. In some locations, bottleneck innovations may have been substituted, whereas in other locations you may have found that a context-specific innovation bottleneck has forced the relocation of the intervention project. Therefore, there will be a set of new proposed innovation packages for which additional diagnosis is required.

What do you do and how?

1. Diagnose the reconfigured innovation packages by conducting Activities 2.1 and 2.2 again.
2. Once this is completed, proceed to Activity 3.2.

What do you get?

1. Updated innovation packages with higher Scaling Readiness compared to the original innovation packages for each of the locations where the intervention is active.
2. Input for the draft scaling strategy with location-specific strategic options for how to address the bottleneck innovations in order to transition from the original innovation package to the aspired new innovation package with a higher readiness for scaling.

Activity 3.2: Identify partners and partnership modalities and develop a plan of work and a budget to overcome scaling bottleneck(s) for the different intervention locations

Description of the overall activity

As part of this activity, a team meeting is organized to identify and agree on the stakeholders or partners who need to be involved to overcome the bottlenecks. The starting point for this activity is the strategic options identified under Activity 3.1 and the results of the diagnosis survey conducted as part of Step 2. The key questions to be addressed are “With whom do we need to collaborate to overcome the bottleneck?”

” and “How can we best engage with that partner or stakeholder?”

”. This activity supports critical reflection on the partners and partnership models needed to overcome specific bottlenecks for the scaling of innovation. This may imply that new partnerships will be established or that existing partnerships need to be reviewed. This may also result in a redistribution of the intervention budget among the original partners.

Activity 3.2 consists of 2 sub-activities that are further described below:

- Sub-activity 3.2.1: Identify partner(s) and partnership modalities to overcome the bottleneck(s) for scaling the innovation packages in the different intervention locations.
- Sub-activity 3.2.2: Develop a draft plan of work and a budget for overcoming the bottleneck(s) to scaling the innovation packages in the different intervention locations.

Objective of the activity

Activity 3.2 contributes to achieving Scaling Readiness Objective 3.2:

“To identify and propose partners and partnership modalities and to develop a plan of work and a budget to overcome the scaling bottleneck(s).”

Sub-activity 3.2.1: Identify partner(s) and partnership modalities to overcome the bottleneck(s) to scaling the innovation packages in the different intervention locations

Description

The updated innovation package will have an improved Scaling Readiness. However, stakeholders need to be identified who can support 'substitution', 'outsourcing', or 'development' of the remaining bottleneck innovations. Diagnosis of the updated innovation package (Sub-activity 3.1.2) has generated these lists. In a team meeting, discuss and identify the stakeholders who would be best positioned or suited to address respective bottlenecks taking into consideration the results of the diagnosis survey, the stakeholder profiles, and the different ways in which they could be engaged. This meeting should be organized and led by the intervention manager and will take about half a day.

What do you need?

Implementers	Intervention manager, Scaling Readiness monitor
Participants	Intervention team
Materials	<ul style="list-style-type: none">• Marker pens• Flip chart• Computer and projector
Logistics	Meeting room with sufficient space to accommodate the intervention team
Time	Approximately 4 hours
Tools	<ul style="list-style-type: none">• Stakeholder profile (Activity 1.5)• Stakeholder network (Activity 1.5)

What do you do and how?

1. Decide for each substituted, outsourced, developed innovation who the relevant stakeholders are. This is done using the stakeholder profile and stakeholder network generated during Step 1 (Characterize) and Step 2 (Diagnose).
2. Agree on the partners or stakeholder(s) to engage to help improve the readiness of each bottleneck through substitution, outsourcing, or development.

3. Discuss how the stakeholder(s) can best be approached and engaged (e.g. one-on-one meeting, workshop, through a third party organization).
4. Write up the key decisions as input for the draft scaling strategy:
 - a. Summary of the bottleneck innovations
 - b. Summary of the bottleneck innovations to be substituted, outsourced, or developed.
 - c. Propose partners and stakeholders to work with on substitution, outsourcing, or development of the bottleneck innovations based on the stakeholder profiles and their position in the stakeholder network.

What do you get?

1. Input for a draft scaling strategy that provides detail on which partners or stakeholders are capable and best positioned to contribute to substituting, outsourcing, or developing the bottleneck innovation(s).
2. Agreement within the intervention team on the partners and/or stakeholders to be approached for collaboration and how they can best be engaged.

Tips & tricks

- Some members of the intervention team may resist the inclusion of new or addition intervention partners as this may result in a redistribution of the budget. The stakeholder profile and stakeholder network data are critical for convincing the intervention team that overcoming the bottleneck innovation(s) is beyond their capacity or influence and requires collaboration with other partners.
- When you are considering engaging new stakeholders, carefully consider their interests and motivations for cooperating. Try to align with these interests when contacting them for assistance or by indicating how the collaboration would be mutually beneficial.

Sub-activity 3.2.2: Develop a draft plan of work and a budget for overcoming the bottleneck(s) to scaling the innovation package in the different intervention locations

Description

Once partners and stakeholders have been identified, and decisions on how to engage them have been made, it is time to start thinking about the activities that need to be undertaken to effectively substitute, outsource, or develop the bottleneck innovations. In some cases, activities may be simple and rather straightforward, whereas in other cases activities may be more complicated and lengthier. As the intervention team may not always have a good understanding of the activities required, some preliminary interaction with the new partner or stakeholder may be required. For example, when considering a national media campaign, the intervention manager may need to contact different media houses to receive proposals and get an idea about the budget implications.

What do you need?

Implementers	Intervention manager, Scaling Readiness monitor
Participants	Selected partner(s) and stakeholder(s) that can effectively contribute to overcoming the bottleneck innovation
Materials	<ul style="list-style-type: none"> • Intervention profile to explain the scope and intended outcomes of the intervention to the potential new stakeholder or partner • Summary of the innovation package, key bottleneck, and proposed strategic option(s) to overcome the bottleneck innovation • Rationale behind approaching the partner or stakeholder based on Sub-activity 3.2.1.
Logistics	Depending on the type of engagement modalities (e.g. phone call, small meeting, workshop), different types of logistical arrangements need to be made.
Time	The time required for this activity depends on the number of partners to be approached and the complexity of the activities that need to be discussed. It may vary from (i) having 1 strategic meeting with a partner, to (ii) requesting a proforma invoice for providing a specific service, to (iii) organizing a small group meeting or workshop if several partners are to be involved.
Tools	<ul style="list-style-type: none"> • Intervention profile summary • Innovation package summary • Innovation bottlenecks • Rationale behind partner identification using stakeholder profile and stakeholder network

What do you do and how?

1. A draft plan of stepwise activities proposed to overcome the bottleneck innovation.
2. An indication of the time required to execute the activities needed to overcome the bottleneck innovation.
3. An indication of the budget required to execute the activities needed to overcome the bottleneck innovation.
4. An indication of the type of partnership model that is possible, desired, or feasible for the partner (e.g. collaboration based on co-investment, a consultancy contract, inclusion as project partner under a sub-agreement).

What do you get?

1. A draft plan of stepwise activities proposed to overcome the bottleneck innovation.
2. An indication of the time required to execute the activities needed to overcome the bottleneck innovation.
3. An indication of the budget required to execute the activities needed to overcome the bottleneck innovation.
4. An indication of the type of partnership model that is possible, desired, or feasible for the partner (e.g. collaboration based on co-investment, a consultancy contract, inclusion as project partner under a sub-agreement).

Tips & tricks

- If possible and feasible, it can be smart to contact different stakeholders and partner organizations to explore their different approaches, suggestions, and recommendations.
- Proposed activities, timelines, and budgetary requirements are more likely to be supported when they are within the capacity and scope of the intervention.

- To facilitate negotiation and finding agreement as part of Step 4, it may be wise to develop different scenarios of activities, partner engagement, and corresponding time and budget requirements.
- As part of this sub-activity, there will be contact between the intervention team and potential new partners. Depending on the type of innovation bottleneck to be overcome, the way of contacting may range from a phone call or proforma invoice request, to having one or multiple face-to-face meetings to discuss activities and time and budget requirements. At this stage, it is very important to note that the intervention team and the intervention partners still need to agree to the engagement.

Activity 3.3: Develop, review, and finalize a draft scaling strategy

Description of the overall activity

This final activity of Step 3 is aimed at finalizing the draft scaling strategy. The draft scaling strategy summarizes and captures the main information from Steps 1, 2, and 3 that will provide the basis for Step 4, where the intervention team and the intervention partners must agree on the way forward and on the implications that implementing the scaling strategy may have for the intervention. The draft scaling strategy needs to provide an evidence-based narrative that justifies the proposed new partnerships and activities in an attempt to achieve the scaling intervention's objectives and outcomes.

Activity 3.3 consists of 1 sub-activity that is further described below:

- Sub-activity 3.3.1: Develop, review, and finalize the draft scaling strategy.

Objective of the activity

Activity 3.3 contributes to achieving Scaling Readiness Objective 3.3:

“To develop a draft scaling strategy to overcome scaling bottleneck(s) for the different intervention locations.”

Sub-activity 3.3.1: Develop, review, and finalize the draft scaling strategy

Description

The Scaling Readiness monitor compiles the key information from Steps 1, 2, and 3 into a draft scaling strategy document that will undergo review by the intervention manager and the intervention team. The review and feedback will be used to prepare a draft scaling strategy that will be agreed upon, providing the basis for moving to Step 4.

What do you need?

Implementers	Intervention manager, Scaling Readiness monitor
Participants	Intervention team (for reviewing and providing feedback on the draft scaling strategy)
Materials	Outputs and reference documents and materials from Steps 1, 2, and 3
Logistics	Computer with internet access
Time	Approximately 1 week. The process of developing and reviewing the draft scaling strategy may take anywhere between 1 and 3 weeks, depending on how fast the Scaling Readiness monitor can receive feedback from the intervention manager and the intervention team.
Tools	<ul style="list-style-type: none">Scaling strategy template (To be provided on-demand)Outputs Steps 1, 2, and 3

What do you do and how?

1. The Scaling Readiness monitor compiles the draft scaling strategy document.
2. The Scaling Readiness monitor shares the draft document with the intervention manager and the intervention team for review and feedback.
3. The Scaling Readiness monitor incorporates the feedback from the intervention manager and the intervention team.
4. The intervention manager reviews the draft scaling strategy.

What do you get?

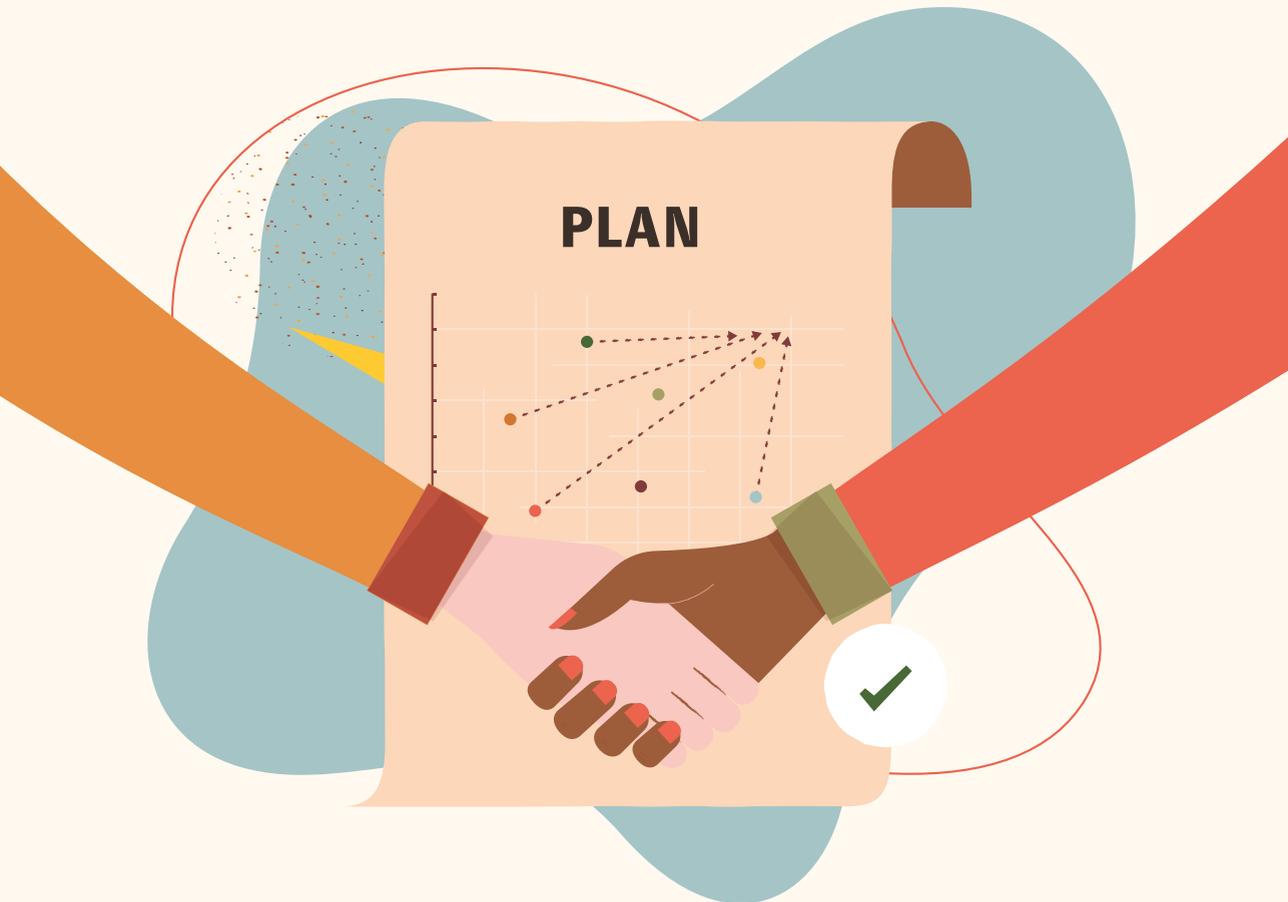
1. A draft scaling strategy that can be circulated to the broader intervention team, the intervention partners, and – possibly – the intervention donor(s) for review, refinement, and agreement under Step 4.
2. Consensus among the intervention team on the ideal way forward for overcoming bottlenecks to scaling.

Tips & tricks

- Pay sufficient attention to developing a draft document that is coherent, well-written, and complete. The quality and level of detail in the draft scaling strategy will to a large extent determine whether or not the broader intervention team, the intervention partners, and – possibly – the intervention donor(s) can accept the proposed scaling strategy.
- The draft scaling strategy is an internal document that should be handled with a certain level of confidentiality. As final decisions on the scaling strategy are taken as part of Step 4, the draft document serves internal discussion purposes only and should not be widely distributed.

4 / 5

Agree



The proposed draft scaling strategy needs to be shared and agreed upon with the broader project partners and other stakeholders such as donors. This is to ensure sufficient buy-in for the proposed strategy and to validate whether the implementation of the strategy is technically feasible and socially and politically acceptable. If the draft scaling strategy is found unfeasible or undesirable, then the strategic options should be reconsidered; this will require iteration between Step 3 and Step 4. When the scaling strategy is agreed upon, then a scaling action plan needs to be developed to address the core bottleneck(s).

Step 4 consists of 2 activities that are further described below. The major activities include:

- Activity 4.1: Organize and implement a workshop to agree on the scaling strategy and the scaling action plan for the different intervention locations.
- Activity 4.2: Document, review, and finalize the scaling strategy and the scaling action plan for the different intervention locations.

Activity 4.1: Organize and implement a workshop to agree on the scaling strategy and the scaling action plan for the different intervention locations

Description of the overall activity

The intervention team and the Scaling Readiness monitor prepare and organize a 2-day workshop with the selected stakeholders to reach agreement on the basic elements of the scaling strategy and to develop operational scaling action plans for each of the substituted, outsourced, or to-be-developed bottleneck innovations in the innovation package.

The activity consists of 4 sub-activities that are further described below:

- Sub-activity 4.1.1: Organize a preparatory meeting to plan the workshop and to follow up on decisions taken.
- Sub-activity 4.1.2: Introduce purposes, participants, and initial findings from Scaling Readiness.
- Sub-activity 4.1.3: Reach agreement on the scaling strategy.
- Sub-activity 4.1.4: Develop operational scaling action plans.

Objective of the activity

Activity 4.1 contributes to achieving Scaling Readiness Objective 4.1:

“To reach agreement with the relevant stakeholders on the draft scaling strategy and the scaling action plan.”

Sub-activity 4.1.1: Organize a preparatory meeting to plan the workshop and to follow up on decisions taken

Description

The intervention manager, the Scaling Readiness monitor, and an experienced facilitator (to be selected beforehand) meet to prepare and plan the workshop and implement follow-up activities.

What do you need?

Implementers	Scaling Readiness monitor
Participants	Intervention manager and workshop facilitator
Materials	Draft scaling strategy
Logistics	<ul style="list-style-type: none">• Have the preparatory meeting at least 5 weeks before the actual workshop.• Contact participants and send them invitations 4 weeks before the actual workshop.
Time	4 hours
Tools	<ul style="list-style-type: none">• Draft agenda for the workshop

What do you do and how?

- Identify the workshop participants using the results of the stakeholder network analysis. Two types of participant groups may need to be invited: (1) stakeholders who can be expected to have the ability to enhance the readiness and use of key and complementary innovations and (2) stakeholders who are influential in the specific context and/or who may be interested in providing support or resources for implementing a scaling strategy.
- Choose and book an attractive venue with accommodation that can provide a meeting room, a projector, and sufficient space for break-out groups.
- Review all elements of the workshop described in Steps 4.1.2, 4.1.3, and 4.1.4 and agree who will prepare, facilitate, and document the workshop sessions.
- Prepare a detailed workshop protocol using the agenda items mentioned in Steps 4.1.2, 4.1.3, and 4.1.4.
- Ensure that the intervention manager personally contacts the participants and explains why they are invited for the workshop.
- Send invitations and the draft program to the invited participants, keep track of confirmed participants, and follow up with stakeholders who have not confirmed their participation.

What do you get?

1. A detailed workshop agenda that can be shared with the participants.
2. Clarity about the division of roles and responsibilities for preparing, facilitating, and documenting the workshop.
3. A list of (confirmed) participants.
4. A prepared venue and workshop materials.

Tips & tricks

- In the workshop program, include evening activities on Day 1 with plenty of space for informal exchange between the participants.
- Encourage the professional workshop facilitator to familiarize him/herself with Scaling Readiness in preparation of the workshop.

Sub-activity 4.1.2: Introduce purpose, participants, and initial findings from Scaling Readiness

Description

The first 3 hours of Day 1 of the workshop serve to introduce the participants to one another and to the aims of the workshop, the program, and the preceding Scaling Readiness process and its outcomes. This is basically to familiarize them with the outcome of Scaling Readiness Steps 1, 2, and 3, and talk them through the core outcomes of Scaling Readiness that form the basis for the draft scaling strategy.

What do you need?

Implementers	Workshop facilitator, intervention manager, and Scaling Readiness monitor
Participants	Stakeholders selected on the basis of the network analysis and additional strategic considerations
Materials	A meeting room with a projector
Logistics	An attractive venue with accommodation for the participants and sufficient space for break-out group work
Time	Workshop Day 1: approximately 4 hours (including breaks)
Tools	<ul style="list-style-type: none">• Scaling Readiness Guidelines• Scaling Readiness web portal

What do you do and how?

Day 1 agenda morning

- 1. Welcome:**
The intervention manager welcomes the participants and explains the background and purpose of the workshop (15 minutes, intervention manager).
- 2. Program and getting to know one another:**
The facilitator explains the workshop program and facilitates a round in which the participants introduce themselves and their interest in the topic (30 minutes, workshop facilitator).
- 3. Introducing Scaling Readiness:**
The monitor uses the available presentation template to explain the process that the team went through (including the original and updated innovation package) (60 minutes, Scaling Readiness monitor).
- 4. Presentation of the draft scaling strategy:**
The intervention monitor presents the main elements of the draft scaling strategy, including the strategic options, partners, the partnership modality, and the plan of work and the budget (60 minutes, intervention manager).
- 5. Clarification questions:**
Participants are invited to ask questions for clarification, and these are answered by the intervention manager and/or the Scaling Readiness monitor. Substantive discussion will take place in subsequent activities (30 minutes, facilitator).

What do you get?

1. Participants understand Scaling Readiness and what Scaling Readiness seeks to achieve.
2. Participants understand the purpose of the workshop and the intended objectives.
3. Participants understand the rationale and evidence behind the draft scaling strategy.
4. Initial participant feedback on the draft scaling strategy.

Tips & tricks

- Participants may be asked to present themselves by answering several questions: Who are you? Why are you here? What do you hope to get out of this workshop? What is your interest in the intervention that is being discussed today and tomorrow?
- To keep introductions short, you can ask participants to discuss the above questions in pairs and then have Participant A introduce Participant B and Participant B introduce Participant A.
- Participants may start questioning the underlying Scaling Readiness concepts, practices, and analyses if they do not agree with the focus or direction of the draft scaling strategy. We recommend that detailed debate or discussions should not be entered into during the plenary question-and-answer session. The Scaling Readiness monitor can follow up later on specific detailed queries.

Sub-activity 4.1.3: Reach agreement on the scaling strategy

Description

This part of the workshop (Day 1) is geared toward reaching agreement among relevant stakeholders on the key elements of the proposed scaling strategy, its implications, and possible adaptations needed. Questions that must be answered include:

1. Are the proposed decisions on substitution, outsourcing, developing, relocating, or reorienting shared by the workshop participants?

2. What could be the consequences of the decisions and are these technically viable and socially or politically feasible?
3. Has the intervention team mapped and selected the most relevant stakeholders?
4. Are the proposed stakeholder engagement options indeed the most appropriate?
5. Is the proposed plan of work and the budget realistic and acceptable?

On Day 1, discussions around these topics can still be somewhat exploratory, and no final decisions need to be reached yet.

What do you need?

Implementers	Workshop facilitator, intervention manager, and Scaling Readiness monitor
Participants	Intervention team and influential stakeholders and decision makers selected based on the network analysis and additional strategic considerations
Materials	<ul style="list-style-type: none"> • A meeting room with a projector • Flipcharts, markers, tape • Draft scaling strategy (summarized handout for different sites/ locations)
Logistics	An attractive venue with accommodation for the participants, with sufficient space for break-out groups
Time	Workshop Day 1, approximately 4 hours (including breaks)
Tools	<ul style="list-style-type: none"> • Scaling Readiness Guidelines • Scaling Readiness web portal

What do you do and how?

Day 1 agenda afternoon:

6. Discuss the draft scaling strategy (Part 1): Discuss the updated innovation package for each intervention location:
Ask participants to give feedback on the updated innovation packages for the different intervention locations: Are the proposed decisions on substitution, outsourcing, developing, relocating, or reorienting shared by the participants?
7. Split up in small groups of 2 or 3 persons (e.g. according to location) first and ask them to write their answers and comments on a flipchart (45 minutes). Then, have the groups present their questions and feedback during a plenary discussion (30 minutes) (total 75 minutes, workshop facilitator, Scaling Readiness monitor, and intervention manager).

8. Discuss the draft scaling strategy (Part 2):
Discuss the partner and partner engagement model for each intervention location: Ask participants to give feedback on the stakeholder engagement strategy: Has the intervention team selected the most relevant stakeholders for addressing the bottlenecks based on the stakeholder network analysis?
9. Are the proposed stakeholder engagement options indeed the most appropriate and, if not, what alternatives do they propose?
10. Will the plan of work and the budget achieve the desired results and, if not, what alternative activities are proposed?
11. Split up in small groups of 2 or 3 persons (e.g. according to location) first and ask them to write their answers and comments on a flipchart (45 minutes). Then, have the groups present their findings and facilitate plenary discussion (30 minutes) (total 75 minutes, workshop facilitator, Scaling Readiness monitor, and intervention manager).
12. Discuss the draft scaling strategy (Part 3):
Discuss the plan of work and the budget for each intervention location: Ask participants to give feedback on the proposed plan of work and the budget. Will the plan of work and the budget achieve the desired results and, if not, what alternative activities are proposed?
13. Continue working in small groups of 2 or 3 persons (e.g. according to location) first and ask them to write their answers and comments on a flipchart (45 minutes). Then, have the groups present their findings and facilitate plenary discussion (30 minutes) (total 75 minutes, workshop facilitator, Scaling Readiness monitor, and intervention manager).
14. Dinner and evening program:
The evening program must allow plenty of space for informal exchange (2 hours, everyone).

What do you get?

1. Preliminary insight into the level of support for the proposed scaling strategy and possible adaptations needed in terms of the strategic options, partners, partnership engagement model, and plan of work and the budget.
2. Feedback from participants on the feasibility of implementing the scaling strategy, potential risks, and alternative strategies to overcome bottleneck innovations.
3. Preliminary insight into which stakeholders may be willing to work together on what elements of the scaling strategy.

Tips & tricks

- The ideal criteria for group formation as part of agenda items 6, 7, and 8 depend on the nature of the intervention. If the intervention has a local focus, then groups can be formed around overcoming key bottleneck innovations. If the intervention has a national/international focus, then the groups can be formed based on location or scaling context. There must be a clear philosophy and rationale behind group formation.
- If groups question the proposed strategic options or proposed draft scaling strategy, then they can propose alternative options. However, Scaling Readiness provides scientific evidence for identifying bottleneck innovations and selecting stakeholders. It is important to emphasize this. It is also important that workshop participants understand that not working on specific bottleneck innovations will have consequences for their scaling ambitions.
- It is important that the workshop facilitator, the Scaling Readiness monitor, and the intervention manager meet during the evening to discuss emerging issues and how to respond to these.

Sub-activity 4.1.4: Develop operational scaling action plans

Description

The second day of the workshop is geared toward reaching consensus about the scaling strategies discussed during Day 1. Decisions need to be made on the key bottleneck innovations, the strategy to overcome these, the partners and the partnership engagement model, and the plan of work and the budget. Working groups are formed around these, and these will agree on an action plan, including a stakeholder engagement strategy.

What do you need?

Implementers	Workshop facilitator, intervention manager, and Scaling Readiness monitor
Participants	Intervention team and influential stakeholders and decision makers selected based on the network analysis and additional strategic considerations
Materials	<ul style="list-style-type: none">• A meeting room with a projector• Flipcharts, markers, tape

Logistics	An attractive venue with accommodation for the participants, with sufficient space for break-out groups
Time	Workshop Day 2: approximately 9 hours (including breaks)
Tools	<ul style="list-style-type: none"> • Scaling Readiness Guidelines • Scaling Readiness web portal • Format for reporting the scaling action plan

What do you do and how?

Day 2 agenda items:

10. Round of reflections on previous day:
Start with a plenary round in which stakeholders and partners can share their feelings and views regarding Day 1. Conclude if necessary (30 minutes, workshop facilitator).
11. Working groups make decisions on the scaling strategy:
The working groups of the previous day are asked to re-visit their earlier discussions and conclude on the strategy to overcome bottleneck innovations for their specific locations (strategic option, partners and partner engagement model, and plan of work and the budget) (30 minutes). Groups share their conclusions in plenary (30 minutes) (total 60 minutes, workshop facilitator).
12. Development of scaling action plan:
Working groups make an action plan for the different intervention locations. Guiding questions include:
 - a. What are the detailed steps that need to be undertaken to implement the scaling strategy and the proposed plan of work?
 - b. Who will take what action on what?
 - c. How will the group divide tasks?
 - d. Who will coordinate and/or facilitate the activities of the working group in the foreseeable future?
 - e. What is the prospective timeline for the proposed actions?
 - f. Who will provide what resources for the implementation of the agreed-upon actions?

- g. How will the members of the working group communicate and work together in the foreseeable future?
 - h. What kind of mechanisms will be put in place to ensure adequate and timely implementation of the scaling action plan?
 - i. How will experiences and progress be monitored and shared within the group?
 - j. Has each group identified a chairperson and a notetaker who will document the outcomes of the discussions and take the minutes? (120 minutes, everyone).
13. Working groups present their scaling action plans:
Working groups are asked to present their initial steps and ideas in plenary and receive feedback (60 minutes, workshop facilitator).
14. Working groups update, adapt, and finalize their scaling action plan:
Working groups decide how to incorporate feedback from others in their scaling action plan. The notetaker shares the scaling action plan template with the Scaling Readiness monitor, who will use that to compile the workshop report (120 minutes, everyone).
15. Next steps:
The intervention manager and the Scaling Readiness monitor elaborate on the next steps, including: (1) compile and share the workshop report, which includes the final scaling strategy and the scaling action plan(s), with the participants; (2) commence the implementation of the scaling action plan developed for the different intervention locations (30 minutes, intervention manager and Scaling Readiness monitor).
16. Closure and final remarks:
The intervention manager closes the workshop and thanks the participants (30 minutes, intervention manager).

What do you get?

- 1. Agreement on the scaling strategy among the intervention team, intervention partners, and influential stakeholders (e.g. policymakers, donors, etc.).
- 2. Detailed scaling action plans for the intervention locations that assign tasks and responsibilities, a timeline, and a budget for operational implementation of the scaling strategy.

3. Intervention team, partner, and influential stakeholder commitment to the scaling strategy and the implementation of the scaling action plan.
4. A clear idea about the way forward.

Tips & tricks

- Working groups may disagree with the proposed scaling strategy and develop an alternative scenario for overcoming bottleneck innovations. This has implications for partners, partner engagement models, and the plan of work and the budget. If the scaling strategy is revised, additional follow-up meetings may be required to get additional information and to update the scaling action plan. Such steps need to be included in the scaling action plan as first essential steps.
- Ensure detail in the scaling action plans. If the working groups do not provide sufficient detail on the “what, how, when, by whom”, then please encourage them to provide more detail. It is also important that there is a clear commitment from the partners, as well as a clear agreement on the division of tasks and responsibilities and on the timeline. A scaling action plan template is provided to facilitate the capture of sufficient detail.
- Make sure that all materials from agenda item 11 (final decisions on the scaling strategy) and agenda items 12 and 14 (draft and final scaling action plans) are collected and stored so that they can form the basis for producing the workshop report (Activity 4.2).

Activity 4.2: Document, review, and finalize the scaling strategy and the scaling action plan for the different intervention locations

Description of the overall activity

It is essential to document the agreed-upon scaling strategy and the scaling action plans that have been developed. This document provides clarity on what has been agreed about follow-up activities, including division of responsibilities and tasks, timelines, future communication, monitoring and evaluation, etc.

The activity consists of 2 sub-activities that are further described below:

- Sub-activity 4.2.1: Develop and share the draft workshop report, which includes the proposed scaling strategy and the scaling action plan.
- Sub-activity 4.2.2: Incorporate feedback from participants and share the final workshop report, which includes the scaling strategy and the scaling action plan.

Objective of the activity

Activity 4.2 contributes to achieving Scaling Readiness Objective 4.2:

“To document the agreed-upon scaling strategy and scaling action plan for the different intervention locations.”

Sub-activity 4.2.1: Develop and share the draft workshop report, which includes the proposed scaling strategy and the scaling action plan

Description

The Scaling Readiness monitor prepares a draft workshop report based on all the materials collected from the workshop, and especially the agenda items relating to agreed-upon decisions on the scaling strategy and the scaling action plan(s) developed by the working groups. The draft report is then shared with the participants for feedback.

What do you need?

Implementers	Scaling Readiness monitor and the intervention manager
Participants	All Activity 4.1 workshop participants and influential stakeholders who were invited for, but could not attend, the workshop held as part of Activity 4.1
Materials	Minutes, presentations, flipcharts, and scaling action plans collected from the workshop (Activity 4.1)
Logistics	The draft workshop report is preferably developed and finalized within days of the workshop. This ensures that information is still 'fresh' with both the intervention team and the workshop participants.
Time	1 day
Tools	Scaling strategy and scaling action plan template (To be provided on-demand)

What do you do and how?

- Compile an overview of the key findings and decisions from the workshop following the key agenda items in the workshop, including at least:
 - The original draft scaling strategy (agenda item 4);
 - Agreements reached on bottleneck innovations, strategic options, partner and partnership engagement, and the plan of work and the budget (agenda items 6, 7, 8);
 - The scaling action plan for each intervention location (agenda item 14);
- Send the draft report to the workshop participants and other important stakeholders (including those that could not attend the workshop) and ask them whether the information provided is correct and complete.
- Follow up with key stakeholders and decision makers (e.g. the intervention donor) individually by booking a face-to-face or online meeting and talk them through the scaling strategy and the scaling action plan. If major changes in the intervention are required (e.g. relocate, reorient, postpone, stop) then their support and buy-in is essential.

What do you get?

1. A detailed workshop agenda that can be shared with the participants.
2. Clarity about the division of roles and responsibilities for preparing, facilitating, and documenting the workshop.
3. A list of (confirmed) participants.
4. A prepared venue and workshop materials.

What do you get?

1. A draft document, for future reference and monitoring, that captures the agreements reached.

Tips & tricks

- Make participants acknowledge receipt of the workshop report and key actions so that the document can be used as an official document that captures the workshop agreements.
- Include in the report key graphical representations as well as pictures of the working groups and key flipcharts.
- Give people a clear deadline within which they can respond and provide feedback on the workshop report, the scaling strategy, and the scaling action plan.
- Develop the scaling strategy and the scaling action plan as an annex that can be shared separately from the workshop report at later points in time.

Sub-activity 4.2.2: Incorporate feedback from participants and share the final workshop report, which includes the scaling strategy and the scaling action plan

Description

The draft workshop report needs to be amended based on the feedback received so that the document can serve as an official document for future reference and monitoring. It is wise to develop the scaling strategy and the scaling action plan(s) as annexes to the workshop report, so that these are stand-alone documents that can be shared separately from the workshop report.

What do you need?

Implementers	Scaling Readiness monitor and intervention manager
Participants	All Activity 4.1 workshop participants and influential stakeholders who were invited, but could not attend, the workshop held as part of Activity 4.1.

Materials	<ul style="list-style-type: none"> Scaling strategy and scaling action plans Written feedback collected from participants and other key stakeholders Feedback collected from meetings with individual influential stakeholders (e.g. donors, policymakers)
Logistics	The workshop report, the scaling strategy, and the scaling action plan are preferably finalized within 2 weeks of the workshop.
Time	1 day (depending on the feedback received)
Tools	<ul style="list-style-type: none"> Scaling strategy and scaling action plan template (To be provided on-demand)

What do you do and how?

- Collect comments from participants on the draft report and amend the draft workshop report accordingly.
- In the event of unclearness, contradictions, or disagreements, consult key stakeholders and original workshop materials.
- Indicate remaining unclearness, contradictions, or disagreements so that the working groups can discuss these in future interactions.

What do you get?

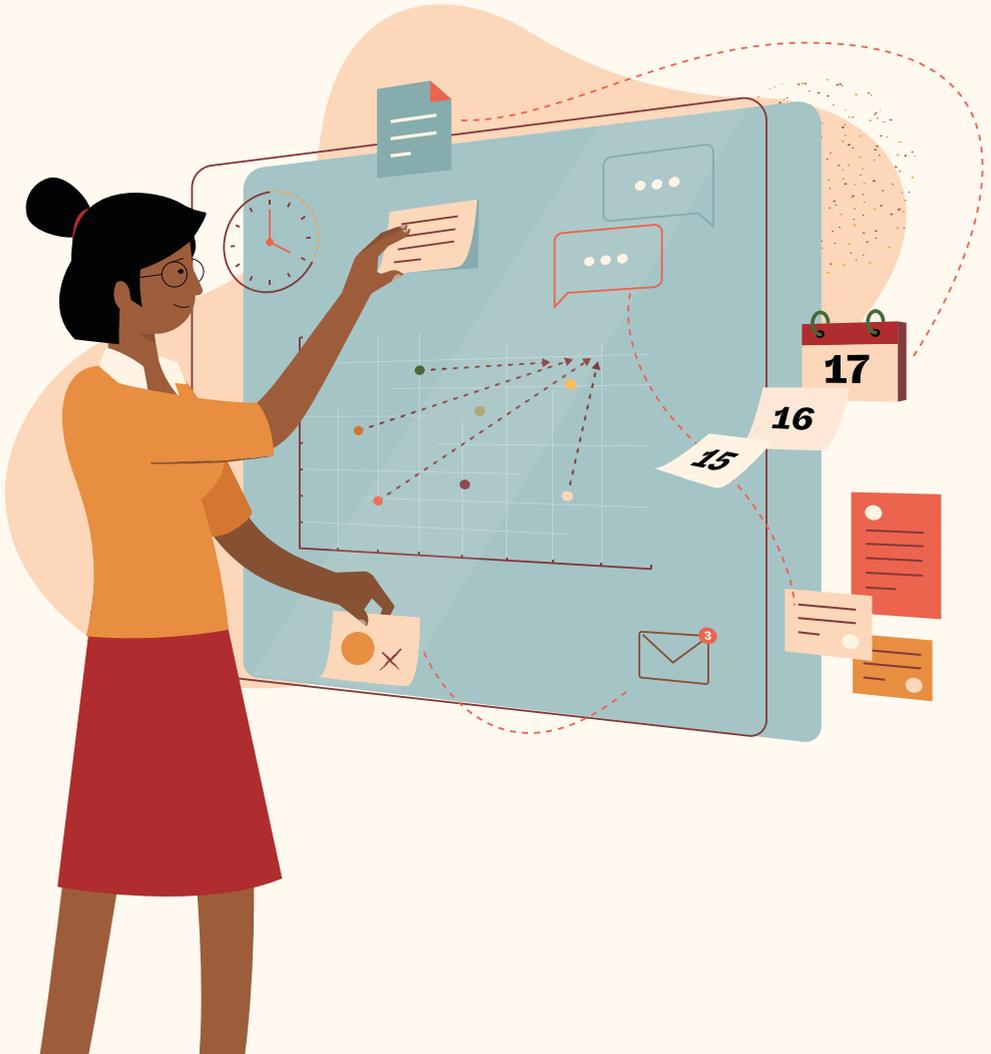
- A final workshop document, including the scaling strategy and the scaling action plan(s), that captures the agreements reached for future reference and monitoring.
- Consensus among the intervention team, the intervention partners, and other key stakeholders on the scaling strategy and the scaling action plan(s).
- A baseline document for future reference and monitoring and evaluation.

Tips & tricks

- Send a reminder to those participants who have not given feedback on the draft report by the deadline.
- Develop the scaling strategy and the scaling action plan(s) as annexes to the workshop report, so that these can serve as stand-alone documents.
- Make participants acknowledge receipt of the final workshop report, the scaling strategy, and the scaling action plan(s).

5 / 5

Navigate



If agreement is reached on the scaling strategy and the scaling action plan, the implementation and monitoring of the agreed-upon activities starts. Scaling Readiness facilitates and monitors the scaling strategy implementation through a process of reflexive learning. This implies that project teams periodically reflect on the implementation of the scaling strategy and the related scaling action plan and update these, if necessary, to reach the desired scaling objective. Monitoring can be based on short-term feedback loops that guide the implementation of the scaling action plan, but also on long-term feedback loops comprised of a second Characterize (Step 1) and a second Diagnose (Step 2) round based on the new situation to see whether the scaling strategy has had the desired effect in terms of increasing Scaling Readiness. This makes Scaling Readiness an iterative process.

Step 5 contains 2 activities that are further specified below. The major activities include:

- Activity 5.1: Short-loop monitoring, evaluation, and learning.
- Activity 5.2: Long-loop monitoring, evaluation, and learning.

Activity 5.1: Short-loop monitoring, evaluation, and learning

Description of the overall activity

As part of this activity, the implementation of the scaling action plan is supported, monitored, and – if needed – redirected. The learning that takes place is systematically captured and used to ensure that the scaling action plan delivers the desired results. This activity is managed primarily by the intervention team and the Scaling Readiness monitor in collaboration with the intervention members and partners who are responsible for implementing the scaling action plan.

The activity consists of 1 sub-activity that is further described below:

- Sub-activity 5.1.1: Support and monitor the implementation of the scaling action plans by working groups.

Objective of the activity

Activity 5.1 contributes to achieving Scaling Readiness Objective 5.1:

“To support, monitor, and navigate the effective implementation of the scaling strategies and the scaling action plans in the different intervention locations.”

Sub-activity 5.1.1: Support and monitor the implementation of the scaling action plans by working groups

Description

Feedback loops are established to confirm that the implementation of the scaling action plan is advancing as expected. Regular formal and informal feedback sessions ensure that challenges are being identified and that specific activities are being modified as needed to respond to the changing context. This activity supports the day-to-day fine-tuning, planning, and implementation of activities with the selected stakeholders as defined in the scaling action plan. Besides more formal monitoring and reflection meetings, the intervention team will be following up daily on scaling action plan implementation.

What do you need?

Implementers	Intervention manager and Scaling Readiness monitor
Participants	Intervention manager, intervention team, Scaling Readiness monitor and working groups, team members, and partners responsible for implementing the scaling action plan
Materials	<ul style="list-style-type: none">• Scaling action plan(s) for the different intervention locations• Phone and other communication media to identify and overcome challenges to the implementation of the scaling action plan
Logistics	Suitable meeting room for the more formal monitoring and evaluation meetings
Time	Reflection meetings should be organized regularly (e.g. every month) with the selected participants. Depending on the challenges related to the implementation of the scaling action plans, meetings can take longer or shorter.
Tools	<ul style="list-style-type: none">• Scaling action plan• Monitoring, evaluation, and learning (MEL) framework or template that can guide structured identification of challenges related to scaling action plan implementation

What do you do and how?

- Organize an initial meeting with the intervention team, the Scaling Readiness monitor and working groups, team members, and partners responsible for implementing the scaling action plan. The purpose of this meeting is to (i) introduce participants to the principles and practices of adaptive management and (ii) agree on modalities for day-to-day communication and for regular structured monitoring, evaluation, and learning between the intervention team and partners.
- With the help of the monitoring, evaluation, and learning (MEL) framework or template, prompt the team, partners, and stakeholders to continuously reflect and record observations during the implementation of the agreed scaling action plans. The environment should be one in which the team proactively identifies, and addresses challenges related to the implementation of the scaling action plan. Major issues should be discussed with the intervention manager, but smaller issues should be addressed by the team members in a decentralized fashion. A discussion should be convened on how communication between those involved in the intervention should take place, and through/to whom. Possibilities include email, telephone, or a WhatsApp group. Modalities must work for all stakeholders.

- Stakeholders also need to agree to meet in person in a more structured way. The regularity of interaction is context dependent, but it must be ensured that meetings are held frequently so that the Scaling Readiness monitor and the intervention team can track and discuss changes to the scaling action plan. Initially, these meetings could be held monthly. During these group meetings, participants should present and discuss their progress and learning. They need to decide collaboratively how to move forward by acting on the learning from these discussions as needed.

What do you get?

1. Regular formal and informal monitoring, evaluation, and learning that enable intervention managers to stimulate communication and collaboration among the intervention team, to make timely corrections in the implementation of the scaling action plan, and to address small issues before they become larger and more difficult.

Tips & tricks

- Stakeholders will likely have to be reminded to complete the monitoring, evaluation, and learning (MEL) templates. Encourage them to enter information into the template immediately after they have noted important changes or observations about project conditions. Ensure that the templates are submitted to the Scaling Readiness monitor regularly.
- Because stakeholders are often focused on day-to-day implementation, they may be less inclined to pay attention to issues that might have an impact on the intervention in the long run. The intervention team can think about ways to incentivize the completion of the MEL template by, for example, offering an award to the most valuable information provided during every cycle.
- WhatsApp groups are very commonly used in many parts of the world and can serve as a platform for sharing progress, questions, learning, and pictures related to the implementation of the scaling action plan.

Activity 5.2: Long-loop monitoring, evaluation, and learning

Description of the overall activity

If the scaling action plan is successfully implemented and if the prioritized bottleneck(s) have been addressed, then the intervention team may opt for initiating a second Characterize and a second Diagnose (Scaling Readiness Steps 1 and 2) round to reveal any other scaling bottlenecks for which new scaling strategies and scaling action plans can be developed and implemented (Steps 3, 4, and 5). This is referred to as long-loop monitoring, evaluation, and learning.

Depending on the bottlenecks addressed and the intervention's timeline, it may not always be feasible for an intervention to start a second loop of Scaling Readiness assessment. A second round of characterization and diagnosis may also serve as input for an end-of-project report or final project evaluation. It may provide the basis for developing new project proposals to address additional or new bottlenecks to the scaling of innovation.

The activity consists of 2 sub-activities that are further described below:

- Sub-activity 5.2.1: Decide on the strategic reiteration of Scaling Readiness steps.
- Sub-activity 5.2.2: Develop and agree upon a plan of work and a budget for the strategic reiteration of the Scaling Readiness steps.

Both sub-activities may be implemented during a single meeting between the intervention manager, the Scaling Readiness monitor, the intervention team, and core intervention partners. The first part of the meeting may focus on sub-activity 5.2.1, and, depending on the decision made, the second part of the meeting can be used to develop and agree on the plan of work and the budget needed for the strategic reiteration of Scaling Readiness.

Objective of the activity

Activity 5.2 contributes to achieving Scaling Readiness Objective 5.2:

“To monitor changes in the overall Scaling Readiness of the innovation package as a result of the implementation of the scaling strategy and the scaling action plans.”

Sub-activity 5.2.1: Decide on the strategic reiteration of Scaling Readiness steps

Description

This activity supports making a decision on whether a reiteration of Scaling Readiness steps is desirable and feasible. Strategic reiteration of Scaling Readiness initiates a repetition of the activities listed under Scaling Readiness Steps 1 and 2. It will start with additional characterization (Step 1) of the intervention, stakeholders and stakeholder networks, and the updated innovation package. This can reveal changes in the intervention's objectives or outputs, the context in which the intervention operates, the stakeholder networks, and the core and complementary innovations for different locations that form the intervention's innovation package. Subsequently, there will be additional diagnosis of the innovation package (Step 2) to see whether and how the overall Scaling Readiness of the innovation package has changed. This will reveal new bottlenecks to scaling for which the intervention – if time and resources permit – may develop and implement new scaling strategies and scaling action plans.

What do you need?

Implementers	Intervention manager and Scaling Readiness monitor
Participants	Intervention team and intervention partners
Materials	<ul style="list-style-type: none">• Computer• Internet• Projector
Logistics	<ul style="list-style-type: none">• Issue the invitation to the intervention team and the intervention partners well ahead of the meeting.• Book an appropriate meeting room that can accommodate the meeting participants.
Time	Meeting of between 2 and 3 hours with the core intervention team and the intervention partners (Part 1)
Tools	<ul style="list-style-type: none">• Overview and outcomes of the first cycle of Scaling Readiness• A presentation listing the key advantages and disadvantages of strategic reiteration of the Scaling Readiness cycle

What do you do and how?

1. The intervention manager and the Scaling Readiness monitor call a meeting of the intervention team and the intervention partners.
2. Organize a meeting or small workshop with the intervention team, the Scaling Readiness monitor, and the intervention partners.
3. Present an overview of Scaling Readiness and how it supported the development, implementation, and monitoring of the scaling strategy to overcome bottlenecks to scaling the innovation in the locations where the intervention was active.
4. Present options for the strategic reiteration of Steps 1 and 2 only, or for entering a full Scaling Readiness cycle that also includes Steps 3, 4, and 5. Discuss this for the different locations where the intervention is active.
5. Present the advantages and disadvantages of entering a next cycle of Scaling Readiness.
6. Reach consensus on whether entering a next cycle of Scaling Readiness is desirable and feasible, and on what the scope of the strategic reiteration of Scaling Readiness should be.
7. Document the decisions reached and share them with the meeting participants and other key stakeholders who need to be informed about the decisions.

What do you get?

1. Team consensus on whether the strategic reiteration of Scaling Readiness is desirable and feasible given the time, human, and financial resources required.
2. Decision on the focus of the strategic reiteration of Scaling Readiness. The team may decide only to Characterize and Diagnose the new situation by focusing on Steps 1 and 2, or the team may aspire to develop and implement a new scaling strategy (Steps 3, 4, and 5) to overcome the new scaling bottlenecks. This decision will be influenced by the time, human, and financial resources that remain in the intervention or project.

Tips & tricks

- Strategic reiteration of Scaling Readiness is essential for using Scaling Readiness for portfolio management and innovation selection for – for example – innovation or scaling proposal development. Only through strategic reiteration can one demonstrate how the overall Scaling Readiness of an innovation package changed over time. The number of iterations that an intervention can support depends often on the scaling bottlenecks and the type of activities and resources (including time) required to overcome the bottlenecks.
- Strategic reiteration may focus on repeating only Steps 1 and 2 as part of generating evidence of the intervention’s progress or impact. Demonstrating the increased Scaling Readiness of the innovation package may be desirable to report to the intervention donor as part of monitoring and evaluation or may be useful for developing a proposal for a follow-up project.
- Different decisions about reiterating Scaling Readiness Steps 1 and 2, and also about reiterating Steps 3, 4, and 5, may be made for the different locations where the intervention is active. As the scaling strategy and the scope of the scaling action plan are likely to differ across the intervention locations, the decision to reiterate strategically may be taken for specific locations independently and at different times.
- If the intervention team decides not to enter a next cycle of Scaling Readiness, then Sub-activity 5.2.2. is redundant. However, if the decision to enter a next cycle of Scaling Readiness depends on the plan of work and the budget, then a plan of work and a budget must be developed and agreed with the intervention team and the intervention partners. This can be done during the same meeting.

Sub-activity 5.2.2: Develop and agree upon a plan of work and a budget for the strategic reiteration of the Scaling Readiness steps

Description

Depending on the decision made as part of Sub-activity 5.2.1, the intervention team needs to agree on the time, human, and financial resources that are required to enter a next cycle of Scaling Readiness. The intervention manager and the Scaling Readiness monitor can draft a plan of work and a budget that includes the budget, planning, and division of tasks and responsibilities among team members. The meeting should result in a final plan of work and a budget for implementing a strategic reiteration of Scaling Readiness.

What do you need?

Implementers	Intervention manager(s) and Scaling Readiness monitor
Participants	Intervention team and intervention partners The inclusion of the intervention donor may be required if the strategic reiteration of Scaling Readiness has unforeseen budgetary consequences that require donor approval. The donor can be consulted and informed by email.
Materials	<ul style="list-style-type: none"> • Computer • Internet access • Projector • Plan of work and budget used during first cycle
Logistics	To save time and cost, this can be done during the meeting organized for Sub-activity 5.2.1.
Time	Meeting of between 2 and 3 hours with the core intervention team and intervention partners (Part 2)
Tools	The plan of work and the budget used during the first cycle of Scaling Readiness can serve as a basis for developing the plan of work and the budget for the strategic reiteration of Scaling Readiness.

What do you do and how?

1. The intervention manager presents to the team members the plan of work and the budget used for the first cycle of Scaling Readiness (Step 4).
2. The team reviews, discusses, and confirms the estimated time, human, and financial resources required for the strategic reiteration of Scaling Readiness, depending on the decision made under Sub-activity 5.2.1.
3. The team agrees on the proposed division of roles and responsibilities among the team members.
4. The team agrees on the proposed budget and timeline for reiterating Scaling Readiness for selected intervention locations.
5. The intervention team finalizes the plan of work and the budget for the strategic reiteration of Scaling Readiness and share it with relevant partners who could not attend the meeting and with the intervention donor (if necessary).

What do you get?

1. Team commitment on the time, human, and financial resources for the strategic reiteration of Scaling Readiness for selected intervention locations.
2. An organized intervention team and the buy-in of team members and partners for the strategic reiteration of Scaling Readiness.
3. An agreed-upon timeline for the implementation of the key activities related to the strategic reiteration of Scaling Readiness for a specific intervention location.
4. A final plan of work and a budget for the strategic reiteration of Scaling Readiness.

Tips & tricks

- The intervention team should allocate sufficient time, human, and financial resources for the strategic reiteration of Scaling Readiness. The same rigor should be followed as during the first cycle of Scaling Readiness.
- Sub-activities 5.2.1 and 5.2.2 may be implemented during a single meeting that should take approximately 1 day. The first part of the meeting may focus on Sub-activity 5.2.1, and, depending on the decision made, the second part of the meeting can be used to achieve the objectives related to Sub-activity 5.2.2.
- The decision to enter a next cycle of Scaling Readiness may be made at different times for different locations. Some locations may face scaling bottlenecks that require very time-consuming strategies and activities, whereas other locations may have to deal with bottlenecks that are more easily overcome. For that reason, the decision about strategic reiteration is likely to be made for each location separately and at different times.

Scaling Readiness provides a unique combination of scientific tools, common sense, and stepwise thinking that makes scaling happen.

Scaling Readiness is a novel approach that helps identify bottlenecks in bringing innovations to scale and supports projects and organizations prioritize activities and develop partnerships for scaling.

Scaling Readiness can be used to develop, implement and monitor evidence-based scaling strategies at project level. Through its standardized data collection and analysis approach, Scaling Readiness can also be used to manage a portfolio of innovation and scaling investments at program or organizational level.

Scaling Readiness supports making decisions on advancement of those innovations that can achieve societal outcomes at scale in the most resource efficient way.

Sartas, M., Schut, M., van Schagen, B., Velasco, C., Thiele, G., Proietti, C., and Leeuwis, C.

©2020 Scaling Readiness: Concepts, Practices, and Implementation. CGIAR Research Program on Roots, Tubers and Bananas (RTB), Lima, Peru. January 2020

www.scalingreadiness.org

www.rtb.cgiar.org