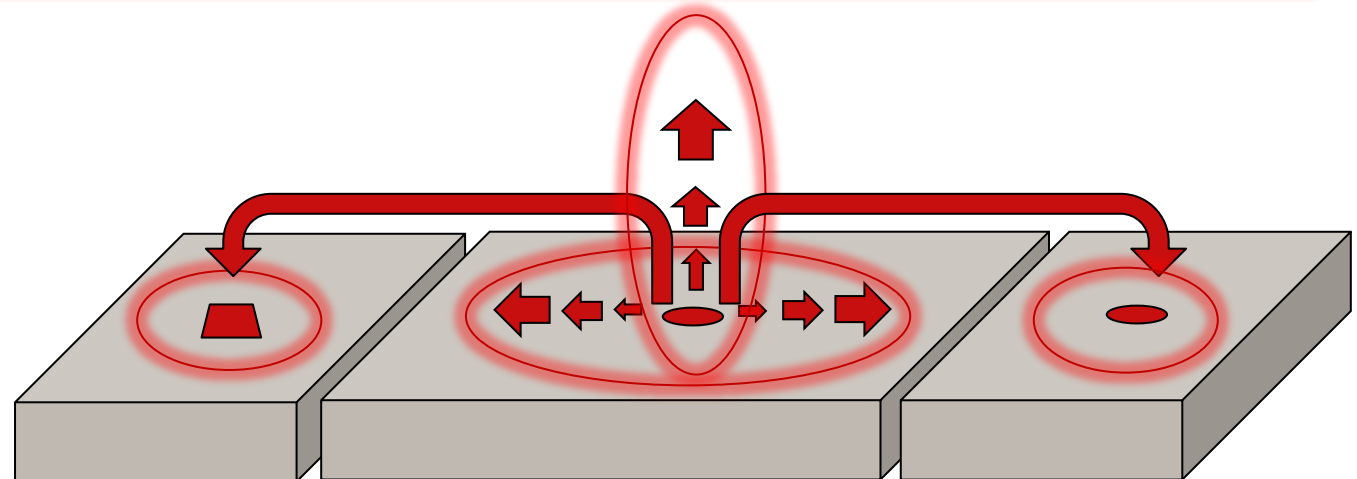




Second meeting of the global network of basins working on climate change adaptation
Session 4: Collection of lessons learned and good practices

Identifying, evaluating and scaling up good practices in the Mekong region



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Outline

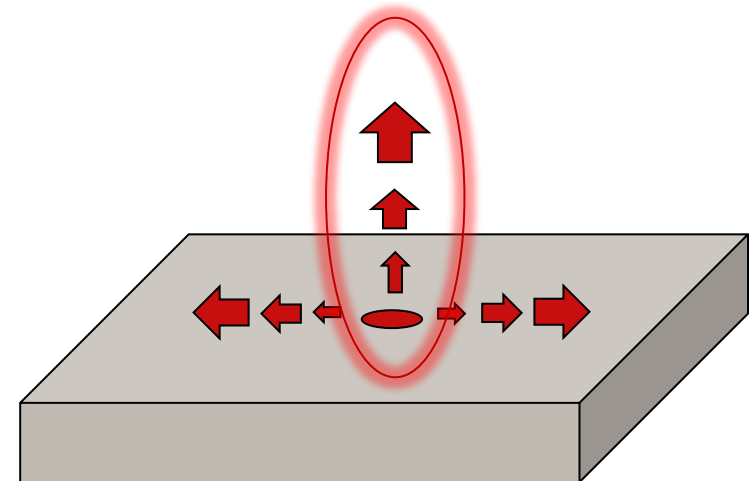
- 1) Concept: Scaling-up
- 2) MRC: Upscaling ladder; Checklists to identify models and good practices to scale-up
- 3) GIZ: Product sheets to describe and document the model and good practice (Vietnam)



Dimensions of scaling-up

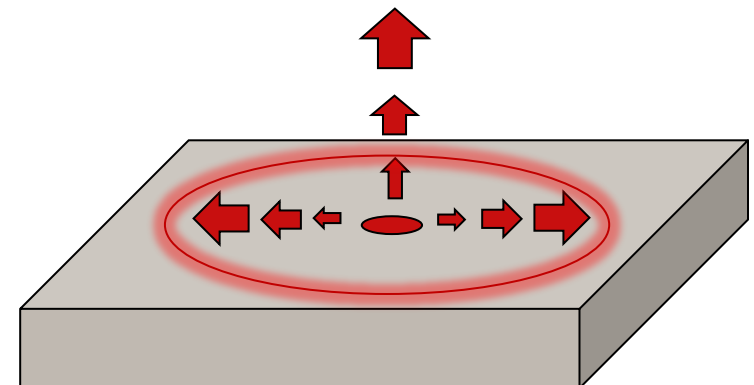
Vertical scaling-up

Systematically rolling out concepts that have proved their worth at local level by institutionalising them, so as to achieve a broader impact.



Horizontal scaling-up

Rolling out concepts to cover a wider geographical area.

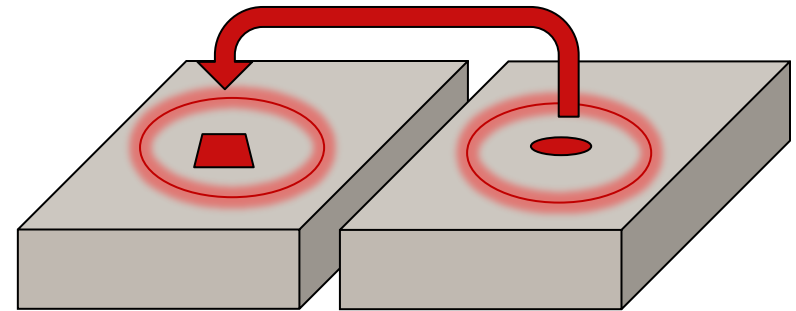




Dimensions of scaling-up

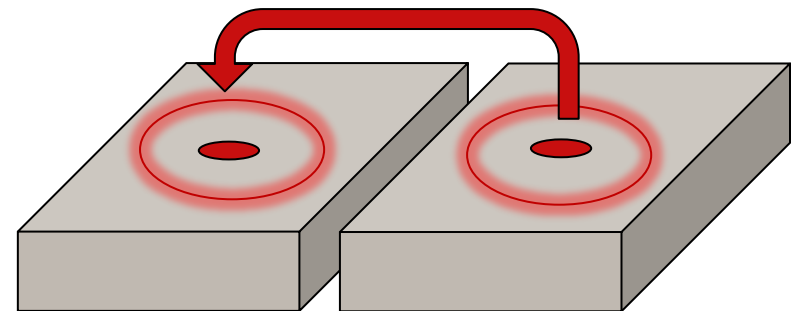
Functional scaling-up

Transfer concepts to a new context.



Replication

Transfer of same/similar concepts to a new area.





Key factors for successful scaling-up

	Key factor	Logic
(1)	THINK BIG – scaling up as an integral part of program planning	Scaling up must be taken into account and planned for from the outset. Objectives must be set, stakeholders identified, capacities and risks examined, and financing options explored.
(2)	Ownership and involving key stakeholders	Scaling up will only work if important key stakeholders support it and ensure that the measure has the necessary political backing.
(3)	Multilevel approach	Linking policy with pilot implementation at local level is one of the most effective approaches to scaling up. Professional interface management is a major challenge.
(4)	Substantiating the results achieved by pilot projects	Evidence must be provided of the additional value generated by innovative approaches. A system of results-based monitoring is essential.

Source: GIZ 2010.



Key factors for successful scaling-up

	Key factor	Logic
(5)	Standards and manuals	To ensure that high quality is maintained during a scaling up process, manuals and standards are indispensable. They should lay out the steps involved in the process and the tools to be used.
(6)	Effective scaling up structures and incentive mechanisms	Change processes must be scaled up by professional institutions, and incentive mechanisms are needed that go beyond traditional regulatory measures.
(7)	Communication and networking	Communication, awareness programmes and networking are key to informing, convincing and involving major stakeholders and population groups.
(8)	Generous timescale and budget	Scaling up demands a long-term financing concept and patience. Appropriate strategies should be drawn up at an early stage.

Source: GIZ 2010.



Scaling-up: MRC-GIZ Cooperation Programme

German support to MRC: “Providing support to measures for adaptation to climate change in the Mekong region”

Objective: Mekong River Commission’s Climate Change and Adaptation Initiative becomes a knowledge hub for adaptation planning and implementation in the Mekong region.

Many pilot adaptation projects were implemented over the last decade in the Mekong region...

Where are good practices/models that can be replicated? – Not many answers found!

Climate change adaptation in the Lower Mekong Basin: An overview of activities and trends with a view to lessons learned for project planning and upscaling

Submitted by:
Azel Krumsiek, Consultant
Vientiane, 04/02/2013

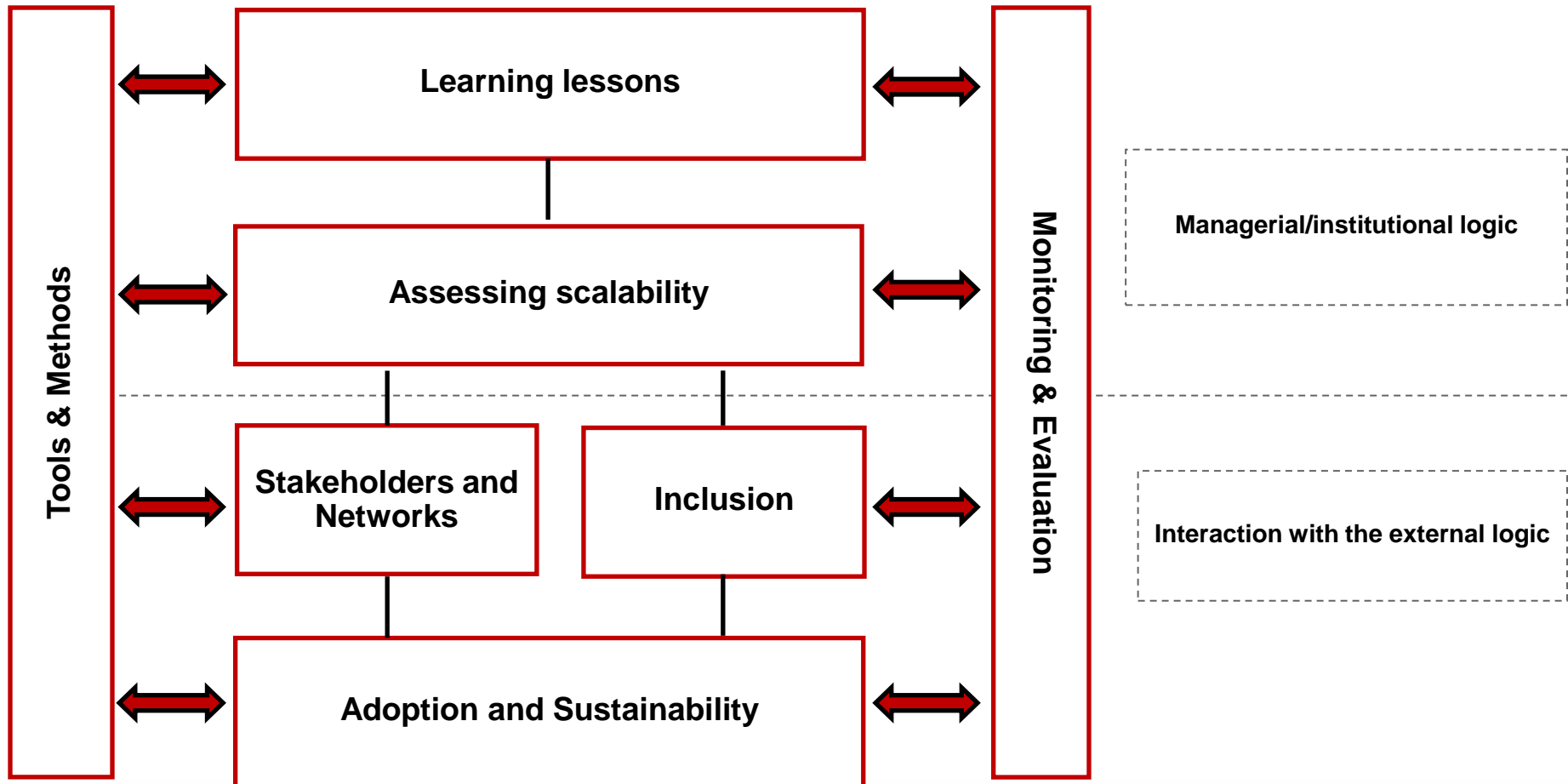
→ Study was undertaken in order to give guidance on how to identify good practices.

Krumsiek/MRC (2013): Climate change adaptation in the Lower Mekong Basin: An overview of activities and trends with a view to lessons learned for project planning and upscaling. Draft.





The “MRC upscaling ladder”



Source: MRC/Axel Krumsiek



The “MRC upscaling ladder”

What a „model to scale-up“ should be like:

- **C**redible, being based on evidence and/or accepted by relevant stakeholders
- **O**bservable or visible to potential stakeholders and target groups
- **R**elevant, by addressing persistent problems
- Having a **R**elative advantage over existing practices, including cost-benefit ratio
- **E**asy to transfer and adopt
- **C**ompatible with values, norms and facilities of the target group
- **T**estable

Source: WHO/ExpandNet 2010: 9-10

Secondary checklists:

[illegible][illegible]

Learning lessons

[illegible][illegible]

Stakeholders and networks



Questionnaire for upscaling of CCA activities

Instruction: This questionnaire follows the “CORRECT” classification scheme, where certain aspects of the project to be scaled up are expected to meet the criteria of *credibility* (C), *observability* (O), *relevance* (R), *relevant advantage* (R), *easy to transfer* (E), *compatibility* (C) and *testability* (T). For each statement below, a rating/weighting is to be given on a range from 0 (= Don’t agree) to 5 (= Agree completely). Those statements that get a low rating can be further explored with the help of secondary topic-related questionnaires. The relating topics can be taken from the column on the right.

Question		Weighting						Related secondary questionnaire topic and space for remarks
		0	1	2	3	4	5	
Scalability assessment – according to the “CORRECT” classification scheme								
C	Results and impacts of the model are well documented and provable							Learning lessons – M&E
	The model has been evaluated independently							Learning lessons – M&E
	The model has been tested in a similar setting as the one envisioned for <u>upscaling</u>							Adoption & Sustainability
	The model has been adopted and accepted by relevant institutions or stakeholders outside the immediate implementation process							Adoption & Sustainability
O	Results and impacts are clearly attributable to the model							Learning lessons – M&E
	Results and impacts of the model are visible and comprehensible to the project stakeholders							Stakeholders & Networks
	Results and impacts can be easily communicated to an interested public							Stakeholders & Networks
R	Relevant stakeholders, partners and the project’s target group consider the <u>upscaling</u> of this model necessary and desirable							Adoption & Sustainability
	The model reacts to an observable and expressed need							Stakeholders & Networks
	The model is designed to include marginalized groups (gender, youth, ethnic) in as many aspects as possible							Inclusion
	The model creates significant improvements in systemic (social and/or ecological) resilience towards climate change effects							Adoption & Sustainability
R	The model has a better cost-benefit ratio than comparable alternatives							Adoption & Sustainability
	<u>Upscaling</u> produces economic advantages, economies of scale for specific aspects of the model							Adoption & Sustainability
E	Technologies or innovations promoted by the model represent a small departure from established practices and behavior and therefore are easy to							Adoption & Sustainability



	adopt for the target group							
	The technologies or innovations promoted by the model are not likely to create conflict within the target group							Adoption & Sustainability
	Human and financial resource input needed for the introduction of the model are replicable across a wider area							Adoption & Sustainability
	The scaled up model can be applied through existing infrastructure and facilities							Adoption & Sustainability
	The model can be implemented mainly through locally available resources and materials, also in a scaled up setting							Adoption & Sustainability
	Few potentially blocking or disabling decision-makers are involved in the implementation							Stakeholders & Networks
C	The model addresses social aspects that can also be traced in the <u>upscaling</u> setting							Inclusion/ Stakeholders & Networks
	The model addresses political aspects that can also be traced in the <u>upscaling</u> setting							Adoption & Sustainability / Stakeholders & Networks
	The model addresses environmental aspects that can also be traced in the <u>upscaling</u> setting							Adoption & Sustainability
	The activity is in line with relevant legal frameworks and policy practice							Adoption & Sustainability
T	The model can be tested in small steps by the target group without full adoption							Adoption & Sustainability

Weighting results:

0-40 Upscaling of this model may not seem appropriate or desirable due to a lack of general model maturity, impact-orientation, inclusion of marginalized groups, stakeholder engagement or similar aspects.

41-80 Scaling up the model may seem feasible and worth a try. Nevertheless, certain aspects of the model may require major revision for successful upscaling. Please refer to the questions that received the lowest rating and identify the upscaling element relevant to each question. Then apply the respective secondary questionnaire relating to the upscaling element in order to refine the model for upscaling.

81-120 Upscaling of the model appears appropriate and desirable. Consider it "on track" for larger scale replication. However, if different questions received mixed weightings, please refer to the secondary questionnaire that relates to the respective upscaling element to receive inspiration for refinement.



Product sheets to describe and document the model and good practice – GIZ, Vietnam

Chapter headlines general description of thematic area:

- (1) Summary
- (2) Relevant policy / legal framework
- (3) Institutional landscape relevant for the thematic area
- (4) Overview and product positioning

Some details of chapters of the general description of the thematic areas	
This general description provides an overview of the thematic area along a few sub-headings. The overview should not mention points, which would come again later in the product description.	
<u>1. Summary:</u>	<u>0,5 page</u>
The summary should not be more than 0,3 pages, there should also be space for as picture.	
<u>2. Relevant policy / legal framework:</u>	<u>0,3 page</u>
This chapter should briefly mention relevant policy and legal framework on provincial and national level. This chapter should not repeat what has been mentioned already in the overall folder under the chapter: "Vietnam key policies and programs in response to Climate Change", and "Vietnam key policies and programs on Biodiversity Conservation".	
<u>3. Institutional landscape relevant for the thematic area:</u>	<u>0,7 page</u>
The space of 0,7 pages should be used for text and a graph. The institutional landscape needs to include all major organizations, which are decisive for the products mentioned under the thematic area in terms of decision making, steering, and implementation. The graph explains	
<ul style="list-style-type: none"> - the hierarchy of the organizational landscape: vertical and horizontal linkages, networks, and - the dynamics of the landscape: dependencies, influences, cause-effect relationships 	
Vertical and horizontal linkages with their relationships should describe key partners, peripheral partners, participating organizations, affected organizations, veto-organizations	
<u>4. Cross sector issues:</u>	<u>0,5 page</u>
Cross sector issues describe contributions and importance of the products under the thematic area in relation to	
<ul style="list-style-type: none"> - gender - poverty - conflicts 	



Source: GIZ ICMPCCCEP 2013.



Chapter headlines product sheets:

- (1) Overview and product positioning
- (2) Strategy formulation
- (3) Steering structure and cooperation landscape
- (4) Objective, main activities, innovation
- (5) Standard, required quality, quality control
- (6) Timeframe and resources used
- (7) Measurement of success
- (8) Planning monitoring and budgeting
- (9) Information and knowledge management
- (10) Evaluation
- (11) Capacity, resources and political economy for scaling up

Some details of chapters of the product sheets

1. Overview and product positioning 0,5 page

This chapter provides an overview of the product along short descriptions:

A product can be a tool or manual (a developed methodology), a strategy, an implemented pilot for learning, an advisory process leading to the formulation of papers for policy dialogue, a successful scaling up process, etc.

Products can be characterized and described by the following dimensions:

- The thematic area(s), to which they belong or contribute
- The nature of the products in terms of having properties of tools/instruments, strategies, piloting processes, etc.
- The evaluation / classification of the products along OECD DAC
- The way the products have been or are being managed and generated and how they are to be described along the various governance criteria

The positioning of the product would be explained by a graph, which has the shape of a dice and is 3-dimensional. The 3 dimensions are: the kind of product, the thematic area, to which the product belongs, and the evaluation of the product along OECD DAC criteria.

2. Strategy formulation 0,3 page

The institutional landscape of relevant public sector organizations is being presented and analyzed in chapter 3 of the general description of the thematic area.

The strategy formulation for the product will be informed by and will be aligned with a national sector strategy. The national sector strategy is defined by the institutional landscape together with the policy and legal framework relevant for the thematic area. Both will inform and drive a national program on coastal governance. This national program along with national and provincial development strategies provides the frame for the product strategy.

3. Steering structure and cooperation landscape 0,5 page

This chapter highlights the cooperation landscape and the steering structure for the product generation, both of them being interrelated.

The steering structure for the product generation process is defined by the existing major steering forces in the sector. The steering forces in the sector are made up of institutional actors and their capacities to steer processes. Important aspects of functional steering are:

- taking over responsibility,
- showing commitment and ownership,
- being able to exercise flexibility and showing a learning orientation.

The steering structure for the product is defined by the question: what steers the system so that the product can be generated with a potential for later scaling up. Typically products in the thematic area "Governance" *usg* and also try to influence the steering structure to achieve higher effectiveness / sustainability / impact of the sector.



Thank you very much for your attention!

Sources:

Mekong River Commission

Krumsiek (2013): Climate change adaptation in the Lower Mekong Basin: An overview of activities and trends with a view to lessons learned for project planning and upscaling. Unpublished draft. Vientiane, Phnom Penh. Mekong River Commission. Climate Change and Adaptation Initiative.

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WHO ExpandNet (2010): Nine steps for developing a scaling-up strategy. Geneva.



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