

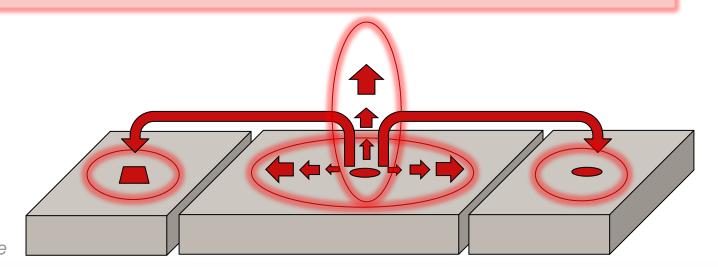






Second meeting of the global network of basins working on climate change adaptation Session 4: Collection of lessons learned and good practices

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



Anja Waldraff @giz.de

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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)







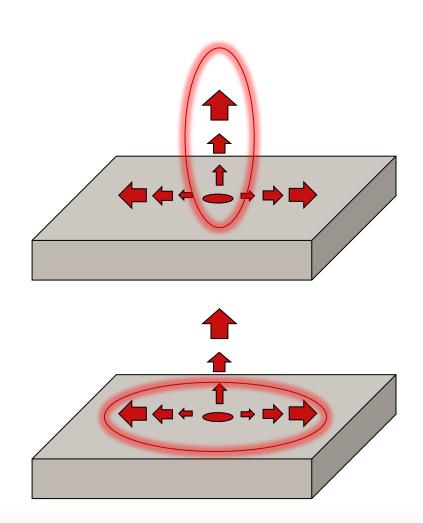
Dimensions of scaling-up

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.





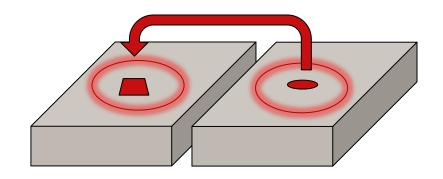




Dimensions of scaling-up

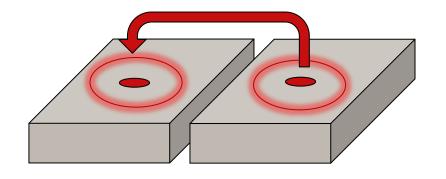
Functional scaling-up

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: xel Krumsiek, Consultant

→ 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.



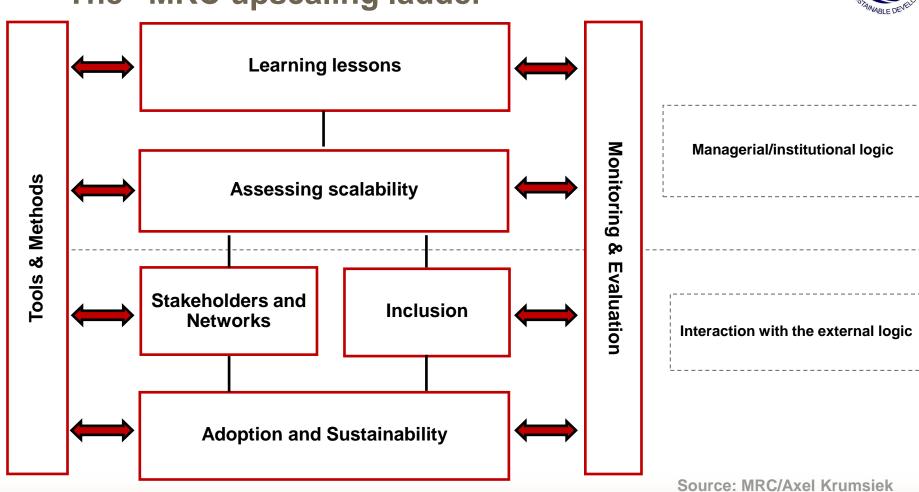






RIVER COMMAGO

The "MRC upscaling ladder"











The "MRC upscaling ladder"

What a "model to scale-up" should be like:

- Credible, being based on evidence and/or accepted by relevant stakeholders
- Observable or visible to potential stakeholders and target groups
- Relevant, by addressing persistent problems
- Having a Relative advantage over existing practices, including cost-benefit ratio
- Easy to transfer and adopt
- Compatible with values, norms and facilities of the target group
- Testable

Source: WHO/ExpandNet 2010: 9-10



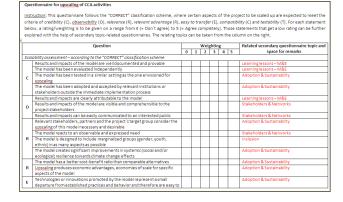






Checklists to identify models and good practices to scale-up

Primary checklist:





Secondary checklists:

<u>introducts</u> : This questionness is meant to explore the displact to which the mode and bactors suitariate or create sostaneable entores. A seasor relationship on genuine, can sustainability be athleved, both address rather systemic question enumerates the socio-political and socio-exclipate omitting, a convenient to recognize described. Accordingly, a on required to recognize address and make a lasting respect.	nbe no v	estel	blain #fit	ed bet stion	none is fo	the two:or	ny if adoption of a modal is broad a e socio-political sphere, sustainatsi
For each statement below, a reting/viewpting is to be given on a range from 0 (a approximation to the status of stakeholder ongagoment is given. In case that any or remark and adjust the calculation of results accordingly.							
Question			Wat	girtin		\neg	Fernanio
	100	1		- 3	4	5	
Aduption							
The model has been registed by other stateholders under comparable programtances			Г				
Technologies or innovations promoted by the model are easy to understand	1		1				
Target group capacity development use manageable and made it easy for the model to be adopted	Г	П	Г	П	П		
The technologies or innovations promoted by the model are not likely to create conflict within the target arous	Г	П					
The activity is in line with relevant legislation on water, agriculture, fisheries, disaster risk reduction.	Г	П	Г				
The model has been adopted equally well across different settings of implementation i.e. different communities, government authorities en:)			Г				
Complexity of the model is invited to an extent that allows for timely adoption within the projected timeframe.		П	П	П			
The model provides arough short-term benefits to overcome healtation to adopt it							
Santainetickly							
Sentence (Atty) Financing resources for the roods are secured	т						

Adoption and sustainability

Instruction: This question naive is meant to explore the degree to which the model	1 10	le to	redu	os th	e un	eçual	distribution of vulnerability to climate of	
among social groups, usually disadvantaging those that are considered marginalized	Cue	to th	eir in	nited	aco	HEE 50	resources, rights and opportunities, Tvs	
these groups include sromen, elderly, youth, people with disabilities and ethnics	or red	e co	100	portk	es. le	orde	r to improve their situation, a compreh-	
model should address their specific needs and include elements that increase their	-	erba	CAN	w.tv.				
For each statement below, a rating/weighting is to be given on a range from 0 (+	Dor	O ag	nee)	to 5 l	- As	188 0	ompletely) and by adding up the number	
approximation to the status of stakeholder engagement is given. In case that any ox	1970	ode	85 00	strele	70 K	40.00	your experience, you can skip over 8, m	
namen's and adjust the calculation of results accordingly.								
Question			Wei				Remarks	
		1	2		4			
Design of the model is founding on a clearly defined inclusion strategy	П							
The model helps marginalized people to assume positions of decision-making at	т							
- hossehold level	т							
- community level								
- lecal (i.e. district) government level								
The model encourages local government to focus development planning and								
budgeting more on marginalized groups								
Through the model, marginalized groups receive specific support to increase their	П							
political participation	_							
Specific needs of the marginalized are addressed through the model (e.g. access to								
	₽	_	-	╙		_		
	╙	_	_	ь.		ь.		
The model differentiates between social groups with a view to wainerability								
The model differentiates between social groups with a view to winerability introduction of the model and related technologies is affortiable to all members of								
The model differentiates between social groups with a view to winerability introduction of the model and related technologies is affortiable to all members of the target community.	L	Н						
The model differentiates between social groups with a view to winerability introduction of the model and related technologies is affordable to all members of the larged community. Specific measures are promoted through the model that help marginalised groups.	H	Н		Г				
land tribin]. The model of fire-errores between social groups with a view to waitershifty, introduction of the model and related technologies as effective by all members of that larget community. Social control of the model that help imaginations groups "Specific measures are premised beforeign the model that help imaginations groups and the second of the Maginatical Country of the second of the seco	ŀ	Ė			L	H		

Inclusion of marginalized

Secondary questionnaire: Learning lessons							
(NEXASJEC) This question rains is meant to explore							
the extent to witch the plot/project element subject to upscaling has document	nd proje	nou	actes	ties re	spensive !	for sweeps	and
- topy usell receitaring and avaluation have been integrated into project design.							
been made of the paternia to learn. This Insight is supposed to help there are evaluation being in order catting learn on the <u>disposition plant that the set</u> documentation and first. This is due notine many overlaps and the general the real end in the R ₁ , but rather an instrument that exports is an ing. The parabonisms of first to the process of learning, not the isolated or content of the	um a pr or proxi	oper i	ub-ch ut rea	gter, es a li	the question arrange exp	007879 00 0676908 00	mbines the two issu- implete, i.e. Af+E is n
given on a range from 0 (+ Don't agree) to 5 (+ Agree completely) and by adding	up the	namiy	17, 27	#20°0	restor to	othe status	of the learning prop
given. In case that any question does not relate at all to your experience, you can a	up the	t, na	175, 87 100,870	#20°0	restor to	the status the calculat	of the learning proo tion of results accord
	up the tip over	t, mi	irs, an io a re	Appro mark a	reation to and adjust t	the status the calculat	of the learning prop
given. In case that any question does not relate at all to your experience, you can a	up the	t, mi	irs, an io a re	Appro mark a	reation to and adjust t	the status the calculat	of the learning proo tion of results accord
given, in case that any question does not relate at all to your experience, you can a Question	up the tip over	t, mi	irs, an io a re	Appro mark a	reation to and adjust t	the status the calculat	of the learning proo tion of results accord

Learning lessons

Secondary question raine: Stakeholders and networks	_						
instruction. This questionness is meant to explore the degree to which after settle the scalability of the model. Stakeholden engagement is control element in a proje	ani	nter	dbr	with	itse	miro	when and therefore its viability. Political
socialisation glay an important role in the realization of scaling up and registation or service provision in contribution to the project imple mantation(and passively)							
For each spacement below, a rating/weighting is to be given on a range from 0 / approximation to the status of stakeholder engagement is given, in case that any quierment and adjust the calculation of results accordingly.							
Question	9 1 2 3 4 5						Renario.
	10	1	3	13.	4	5	
Athorough stakeholder engines has been undertaken at the outset of the project.	-		-	-	-		
including the identification of roles of different actors I demand, support).							
All relevant levels of government have been included (concessing, district, province, national) in the project's stakeholder engagement process.	Г		Г	П	Г		
the full range of stakeholders jother than government) has been engaged beneficiaries, over societis, research institutions, private sector, denors			Г	Г			
Specific structures of the stakeholder setting have been taken into account during propert design (e.g. power relations between actors)			Г	П	Г		
The model reacts to a need expressed by relevant stakeholders, intended target group and potential project partners.				П			
The need expressed for the model is chared by the reajority of stakeholders to a similar degree				Г			
All relevant stakeholders consider the project a legitimate authority on the project subject (e.g., with regards to content and actor coordination)				П			
All relevant stakeholders have supported the project throughout to implementation				П			
Relevant stakeholders consider a continuation of the reader necessary.	п						
Results and impacts of the model are visible and congrehensible to the project	1						

Stakeholders and networks



Primary checklist





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			Wei	ghtin	g		Related secondary questionnaire topic and
		0	1	2	3	4	5	space for remarks
Scal	ability assessment – according to the "CORRECT" classification scheme						•	•
	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
С	The model has been tested in a similar setting as the one envisioned for							Adoption & Sustainability
١,٠	upscaling							
	The model has been adopted and accepted by relevant institutions or							Adoption & Sustainability
	stakeholders outside the immediate implementation process							
	Results and impacts are clearly attributable to the model							Learning lessons – M&E
0	Results and impacts of the model are visible and comprehensible to the							Stakeholders & Networks
"	project stakeholders							
	Results and impacts can be easily communicated to an interested public							Stakeholders & Networks
	Relevant stakeholders, partners and the project's target group consider the							Adoption & Sustainability
	upscaling of this model necessary and desirable							
	The model reacts to an observable and expressed need							Stakeholders & Networks
R	The model is designed to include marginalized groups (gender, youth,							Inclusion
	ethnic) in as many aspects as possible							
	The model creates significant improvements in systemic (social and/or							Adoption & Sustainability
	ecological) resilience towards climate change effects							
	The model has a better cost-benefit ratio than comparable alternatives							Adoption & Sustainability
R	Upscaling produces economic advantages, economies of scale for specific							Adoption & Sustainability
	aspects of the model							
F	Technologies or innovations promoted by the model represent a small							Adoption & Sustainability
•	departure from established practices and behavior and therefore are easy to							

A

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	4
	A)L

	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
	The model addresses social aspects that can also be traced in the upscaling setting	Inclusion/ Stakeholders & Networks
С	The model addresses political aspects that can also be traced in the upscaling setting	Adoption & Sustainability / Stakeholders & Networks
	The model addresses environmental aspects that can also be traced in the upscaling setting	Adoption & Sustainability
	The activity is in line with relevant legal frameworks and policy practice	Adoption & Sustainability
Т	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 <u>upscaling</u> 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 subheadings. The overview should not mention points, which would come again later in the product description.

1. Summary: 0.5 page

The summary should not be more than 0,3 pages, there should also be space for as picture.

Relevant policy / legal framework:

0.3 page

This chapter should briefly mention relevant policy and legalframework 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".

3. Institutional landscape relevant for the thematic area:

0,7 page

The space of 0_{∞} 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

- 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

4. Cross sector issues:

0,5 page

Cross sector issues describe contributions and importance of the products under the thematic area in relation to

- gender
- poverty
- conflicts



Source: GIZ ICMPCCEP 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" use and also try to influence the steering structure to achieve higher effectiveness/sustainability/impact of the sector.

CCCEP

Source: GIZ ICMPCCEP 2013.







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.

GIZ

GIZ Corporate Development Unit, Policy and Strategy Section (2010): Scaling up in development cooperation. Practical guidelines. Eschborn. Deutsche Gesellschaft für Internationale Zusammenarbeit.

GIZ ICMPCCEP (2013): Product sheets. Unpublished draft. Hanoi. Integrated Coastal and Mangrove Forest Protection in the Mekong Provinces for the Adaptation to Climate Change.

WHO

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





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MRC-GIZ Cooperation Programme

P.O. Box 9233 Vientiane Lao PDR

T +856 21 263263 ext. 3143

E mrc@giz.de www.giz.de

Responsible

Dr. Philipp Magiera

Author(s)

Anja Waldraff

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