Draft – 13 May 2000

GOING TO SCALE:
Can We Bring More Benefits to More People More Quickly?

WORKSHOP HIGHLIGHTS

PRESENTED BY

The CGIAR – NGO Committee

and

The Global Forum for Agricultural Research

with

BMZ

MISEREOR

Rockefeller Foundation

International Rice Research Institute

International Institute of Rural Reconstruction

Venue:

10-14 April 2000
International Institute of Rural Reconstruction
Silang, Cavite, Philippines

“There are no universal solutions
[but] there is a universal process that can help us find local solutions.”

Carl Taylor

CONTENTS

ACKNOWLEDGEMENT

SUMMARY

INTRODUCTION 1

THE WORKSHOP PROCESS 3

UNDERSTANDING SCALING UP 5

- Multiple Dimensions and Contexts
- Empowerment and Social Change
- Principles and Approaches

ISSUES AND CHALLENGES 19

- Recognizing the “Sparks”
- Who catalyzes whose vision?
- Monitoring and Measuring Costs, Benefits and Impacts
- Facilitating and Limiting Factor

PLANNING TO GO TO SCALE 26

- Spontaneous and Planned Scaling Up
- A Scaling Up Checklist

ANNEXES

1. Follow Up Action (Participants Commit Themselves)
2. Summaries of Case Studies
3. Program of Activities
4. Directory of Participants and Steering Committee Members

To be included in the final version

ACKNOWLEDGEMENT

Agricultural research establishments, NGO's and Governments across the world, are being asked to orient or re-orient their work towards poverty alleviation, to account for resources and to demonstrate the *impact* of their work. Achieving widespread and lasting impact are important indicators. All this implies the need to know how to successfully go to scale to bring more benefits, to more people, more quickly, over a larger area. It is with this in mind, that the CGIAR NGO Committee in partnership with the Global Forum for Agricultural Research (GFAR), organized two meetings on the topic. The first meeting was organized at the World Bank by Dr. Miguel Altieri and the CGIAR-NGO Committee in October 1999, during the International Centers week. The outputs of that meeting were fed into a second meeting, organized by the International Institute of Rural Reconstruction in the Philippines in April 2000. This report is a *draft* interim report, for limited circulation at the GFAR meeting in May in Dresden, Germany. Editing and revisions are planned, in preparation for a final, printed version. Feedback is encouraged (send these to <ovp-iirr@cav.pworld.net.ph> latest by 15 July 2000). The final version will include the case studies. An electronic version will also be available for posting on websites of participating organisations and others interested in using this material.

The International Institute of Rural Reconstruction would like to gratefully acknowledge the enthusiastic support and funding provided by Dr. Miguel Altieri, and members of the CGIAR NGO Committee who supported the value of this thrust when it was first proposed two years ago. Dr. Miguel Altieri, Mr. Jean Marc von der Weid and Dr. Ann Waters-Bayer, all from the CGIAR NGO Committee provided guidance and valuable suggestions for the Philippine workshop. Dr. Fernando Chaparro and Mr. Oliver Oliveros of the GFAR provided funding support. However just as important were their own frequent and often detailed inputs into the planning for this meeting. Their interest in this meeting served as major motivation for us to accept the challenge for organising the meeting at such short notice.

The funding for the workshop had to be raised in a relatively short time frame. In addition to the NGO committee and the GFAR, IIRR would like to acknowledge the trust and confidence expressed by the following supporters of the workshop: Dr. Ruben Puentes of the Rockefeller Foundation, Dr. Hans-Jochen de Haas, Dr. Reinhild Ernst and Stephan Krall of BMZ/GTZ/Beaf, Dr. Gaby Stoll of Misereor and Dr. Mark Bell of IRRI.

In the Philippines a local organising committee graciously shared time, energy and ideas for the meeting: Dr. Mark Bell, Dr. Dindo Campilan, Dr. Gelia Castillo, Ms. Marissa Espineli, Mr. Francisco Gabunada, Dr. Peter Kerridge, Dr. Chun Lai, Ms. Lita Norman, Mr. Antonio Quizon, and Dr. Ralph Roothaert**.** Mr. Tom Limpo and Ms. Emily Monville, Ms. Alelie Miranda and Ms. Pag-asa Lubag of IIRR skillfully coordinated all the workshop preparations and managed the five-day event in the Philippines. Mr. Ric Armonia served as the lead documentor for both the Washington and Philippines meetings and accepted my challenge for bringing out a quality draft in less than three weeks after the April meeting. And finally, special recognition must be provided to the participants and case study presenters at both the meetings:

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Thank you for generously sharing lessons from the field so that others too may succeed in achieving scale.

Julian Gonsalves
May 16, 2000
The Philippines

SUMMARY

This GOING TO SCALE Workshop held April 10-14, 2000 at the IIRR Campus in Silang, Cavite, Philippines was a follow through to the discussions of the CGIAR NGO Committee last October 22-23, 1999 at the World Bank, Washington, D.C., USA. In both workshops, sustainable agriculture (SA) and natural resource management (NRM) served as the general backdrop to the discussions. However, for the Philippine Workshop, experiences on health and social development, micro-credit and agrarian reform were deliberately featured.

The Washington meeting discussed the concepts, principles and strategies for scaling up and related factors and issues. There was, however, a convergence on the "bottom line" agenda for going to scale, that is, *to bring more benefits to more people more quickly*. This Philippine Workshop was subtitled *Can We Bring More Benefits to More People More Quickly?* in order to recognize the process dimensions.

The general objective of this GOING TO SCALE Workshop (the Philippine Workshop) was to "generate guideposts and a list of available/emerging tools for use in scaling up efforts." There were 42 participants (including case presenters and steering committee members and a farmer-leader) that came to the Philippine workshop from nine (9) NGOs, 10 international/local research and academic/funding institutions and two government agencies in 10 countries.

This draft document is one attempt to capture the highlights of the GOING TO SCALE Workshop in the Philippines including parts of the Washington Workshop document *Scale Up!* that has earlier been previously circulated electronically.

The workshop methodology that was used was one of "search conferencing" where participants and the steering committee went through the learning process – from divergence to assimilation to convergence to accommodation. This proved to be the more meaningful process. Participants were also able to carry with them (i) practical ideas to bring back to their own organizations i.e. a checklist for scaling up and (ii) initial sets of workable scaling up plans based on opportunities identified within the Workshop forum.

Overall, the Philippine Workshop reiterates and recognizes that scaling up has multiple dimensions and contexts – institutional, spatial, economic, temporal and technological. This Philippine Workshop also focussed more on the developmental context of scaling up i.e. empowerment and social change. The operational definition

of scaling up developed at Washington was therefore expanded to *more quality benefits to more people over a wider geographical area more quickly, more equitably and more lastingly*. There is nevertheless the reiteration of scaling up as a learning and a participatory process; of being about people and relationship building. Also, because of the development and political contexts of going to scale, there is the potential tension between participation and scaling up. This tension is often manifested/felt in the relationship between governments and NGOs. This is because the former finds it difficult to go beyond the blueprint, top-down approach while the latter, because it has more flexibility, actively advocates for bottom-up approaches to development. Either way, there is the challenge of bringing development to large numbers of people particularly to the poorer segments of communities. The general notion is that this can happen by going to scale – and can be speeded up by planning the scaling up process instead of simply letting spontaneous diffusion to happen.

To be able to properly plan for the scaling up process, Workshop participants thought that it is important to be able to identify and recognize the "sparks" that led to the successful spread of certain innovations particularly those that started small scale. Whether they happened spontaneously or were planned, these sparks were always there to begin with. Probably the most recognizable spark that signals the time to scale up is when pilot projects succeed. However, it is also important to realize that the sparks can come from people – local champions or visionaries or external players like development practitioners and donors who need to show impact as part of their accountabilities.

Once the sparks are there the next major step is to initiate the scaling up process which normally involves the coming together of different stakeholder groups. The usual problem here is how the various groups should be working together given that scaling up, aside from being multi-dimensional, involves a multiple of stakeholders with different perspectives.

After recognizing the sparks and the scaling up process is initiated, the next major concern is how to manage and sustain the initiative and the benefits that come with that initiative. It is this concern that makes monitoring (along with a shared vision) very important to the scaling up process – a major issue discussed in the Workshop and a recognized limitation in NGO work. If characteristics of spontaneous diffusion are to provide further guidance, then the following have to be considered: cultural-appropriateness, use of indigenous transfer routes, and credibility of (trust in) the source of that which is scaled up (besides the technology or innovation being simple, cheap and adaptable).

On the last day of the Workshop, participants committed themselves to post-workshop activities that they themselves identified. These include (i) Coordination and follow up of post-workshop activities/plans; (ii) Electronic discussions/sharing; (iii) Face-to-face exchanges and networking; (iv) Dissemination of workshop outputs/press releases on workshop; (v) Policy advocacy on scaling up for rural development; and (vi) Development of training courses in scaling up. The more immediate step, however, is to share the highlights of the workshop outputs to the GFAR Meeting in Dresden, Germany on 23-24 May 2000.

INTRODUCTION

GOING TO SCALE: Can We Bring More Benefits to More People More Quickly? was a workshop organized by the CGIAR-NGO Committee, the Global Forum for International Agricultural Research (GFAR) and the International Institute of Rural Reconstruction (IIRR). It was held April 10-14, 2000 at the IIRR Campus in Silang, Cavite, Philippines with GTZ-BMZ, Rockefeller Foundation, CGIAR-NGO Committee, MISEREOR, the International Rice Research Institute (IRRI) and the GFAR as major sponsors.

This GOING TO SCALE Workshop was a follow through to the discussions initiated during the CGIAR NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held last October 22-23, 1999 at the World Bank, Washington, D.C., USA. The Washington Workshop generally looked into the following aspects:

1. Principles explaining success of initiatives at the local levels for extrapolation to wider/higher levels;
2. Scaling up methodologies/approaches; and
3. Obstacles to scaling up and how to overcome them.

The meeting in Washington discussed the concepts, principles and strategies for scaling up (even suggesting variations like scaling out and scaling down) and on the factors and issues to consider in scaling up. There was, however, a convergence in the basic rationale for going to scale, that is, *to bring more benefits to more people more quickly*. Towards the end of that two-day meeting, the need to continue the discussions and the sharing and documentation of experiences was recognized. This Philippine Workshop was that first step for continuing the discussions and sharing which focussed more on specific case studies. In both workshops, sustainable agriculture (SA) and natural resource management (NRM) served as the general backdrop to the discussions. However, the Philippine Workshop deliberately included learning from the experiences of these other sectors – health and social development, micro-credit and agrarian reform.

More benefits to more people more quickly was a basic operational definition of scaling up initially adopted in organizing the Philippine Workshop and later broadened to emphasize the quality, equity and sustainability dimensions in wider geographical areas. The Workshop was also subtitled *Can We Bring More Benefits to More People More Quickly?* in recognition of the process dimensions.

The general objective of the GOING TO SCALE Workshop (the Philippine Workshop) was to "generate guideposts and a list of available/emerging tools for development stakeholders particularly SA practitioners for use in their scaling up efforts." More specifically, to analyze selected experiences/initiatives toward a better approximation of:

1. How to plan for scaling up – including when and what to scale up and with whom and with what resources; and
2. How to implement and monitor the impact of the scaling up process.

There were 42 participants (including presenters and steering committee members and a farmer-leader) that came to the Philippine workshop from nine (9) NGOs, 10 international/local research and academic/funding institutions and two government agencies in 10 countries. The participants shared and learned from the discussions but more importantly, also provided guidance to the discussion process. This was to ensure that they all come out of the Workshop with something practical/tangible to (i) bring back to their respective organizations and (ii) further nurture the personal and institutional relationships developed during the Workshop toward a concerted effort to bring development to scale.

This draft document is one attempt to capture the highlights of the GOING TO SCALE Workshop in the Philippines as a sequel to the Washington Workshop document *Scale Up!* that has earlier been circulated. Like *Scale Up!*, this *Going to Scale* document is to be distributed electronically. Both documents use the terms "going to scale" and "scaling up" interchangeably, as generics. This document is also not limited to what transpired during the workshop but includes inputs/materials brought to the attention of the workshop organizers and steering committee.

These documents are not meant to find/offer a universal solution by which scaling up may be done. Instead, these are expected to contribute towards generating a universal process to better guide planning for going to scale.

THE WORKSHOP PROCESS

Evolving, learning and moving towards a better focus and clarity for action, perhaps best describe the workshop dynamics from preparation to actual conduct of the workshop. Participants and organizers did not limit themselves to the prepared workshop schedule but also engaged in refining the agenda/expected outputs and the workshop process such that the schedule for this five-day activity kept changing on a daily basis.

By design, the Workshop had four (4) sets of Small Group Discussions (SGD) each having a collective theme: (i) issues, concepts and principles of scaling up; (ii) elements of scaling up; (iii) approaches for scaling up and (iv) evaluating scaling up processes and outcomes. There were to be two keynote presentations and the sharing of the highlights of the Washington workshop prior to the first SGD and the presentation of all the case studies as additional inputs to the next three SGDs. The case studies selected were those where scaling up efforts have so far been successful. Aside from the plenary presentations and discussions, the SGDs were expected to benefit much from the individual experiences and perspectives of each participant. The Steering Committee also came up with suggested guide questions for each theme based on the Washington discussions and additional inputs from members of the committee. The questions, however, would change depending on what would come out of the presentations, the plenary discussions and the SGD/s prior to the next SGD. At the last day of the workshop, there were to be plenary discussions on (i) the

FOUR THEMES OF THE SMALL GROUP DISCUSSIONS IN THE WORKSHOP

1. Issues, Concepts and Principles

- What is our standing about scaling up?
- What are the issues involved in scaling up?
- What are the concepts and principles that guide the scaling up process?

2. Elements of Scaling Up

- What is it that we are scaling up (methodology, approach, technology)? Why?
- Who are we trying to reach in the scaling up process? Who is the target of scaling up and how does this affect the approach?
- When is scaling up appropriate? At what stage of technology/method, process, development? Why?
- What resources are required?
- What "scale" of involvement is needed (national, municipal, local)? Why?
- Who needs to be involved (key stakeholders at different "scales")? Why?
- Is participation an essential element of scaling up?
- What are the roles of partnerships and networks?

3. Approaches for Scaling Up

- What are the facilitating and limiting factors for scaling up (institutional, cultural, political)?
- How do you manage the external factors (research agenda, funding, markets)?
- What are the processes/approaches in scaling up?

4. Evaluating Scaling Up Processes and Outcomes

- How do you know when "quality scaling" has been achieved (impact assessment, monitoring and evaluation, indicators)?
- What is the "cost-benefit" of scaling up approach?

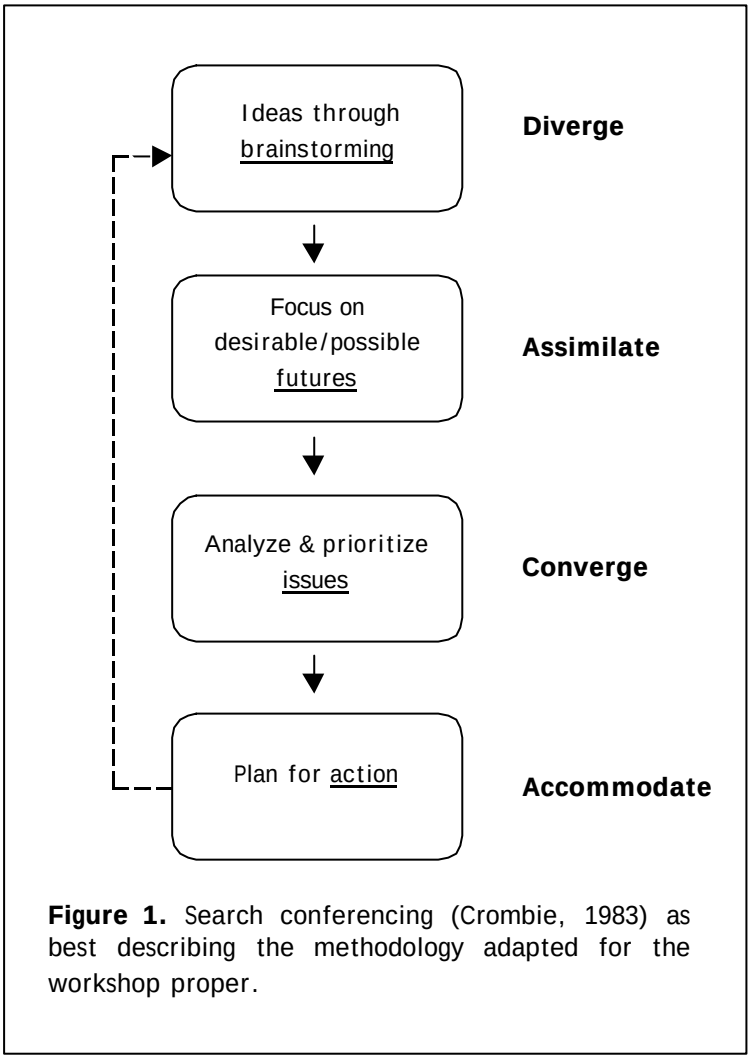


Figure 1. Search conferencing (Crombie, 1983) as best describing the methodology adapted for the workshop proper.

implications of scaling up to the various stakeholders and (ii) follow-up activities and agreements among participants and relating Workshop outputs to the GFAR agenda.

The Workshop modified the formulation of the previously prepared guide questions. The workshop processes and schedule also changed, almost on a daily basis. The use of the case studies was also expanded i.e. instead of simply being presented, followed by open/plenary discussions, some of the cases were actually analyzed in small groups sessions.

Dr. Chun Lai aptly described the general methodology used as one of "search conferencing" where participants and steering committee went through the learning process from divergence to assimilation to convergence to accommodation. Participants returning home, carried with them (i) practical ideas to bring back to their own organizations and (ii) initial sets of workable scaling up plans based on opportunities identified within the Workshop forum.

UNDERSTANDING SCALING UP

The keynote and welcome address of Dr. Pratima Kale, IIRR President, the presentations of (i) the highlights of the Washington report by Dr. Julian Gonsalves, (ii) Dr. Peter Uvin's paper *Fighting Hunger at the Grassroots: Paths to Scaling Up*, (iii) experiences in scaling up in the health sector by Dr. Carl Taylor, and (iv) the selected case studies were all intended enrich and arrive at a common understanding (not common definition) of scaling up. The core messages from these presentations have been integrated and are scattered all over this document.

Dr. Pratima Kale shared her personal account of expanding UNICEF's children immunization program in the Philippines to national/"universal" coverage level. She emphasized UNICEF's shift in perspective from that of an input-oriented project approach to a goal-oriented program approach where planning is based on outcomes and impacts – where monitoring is global and partnerships and networking are very important. Dr. Julian Gonsalves provided the highlights of the Washington workshop discussing the various perspectives on the concepts, approaches, principles, issues and challenges in going to scale.

Case Studies Presented During the Workshop

- *The Campesino A Campesion Movement: Farmer-Led, Sustainable Agriculture in Central America and Mexico* by Eric Holt-Gimenez
- *The IPM Movement and Scaling Up: From Farmers' Field Schools to Community IPM… Sustainable Livelihoods?* by Russ Dilts
- *Farmer Experimentation and Ecological Agriculture in NE Brazil* by Jean Marc von der Weid
- *Scaling Up Initiatives of Agrarian Reform Communities* by Liza Dacanay
- *Scaling Up Agricultural Research for Development in Cambodia: The Experience of the Cambodia-IRRI-Australia Project* by Henry Nesbitt, Peter Cox, Mark Bell and Men Sarom (presented to the Workshop by Mark Bell)
- *Managing Fast Expansion of Micro-Credit Programs: Lessons from Bangladesh* by Pankaj Jain
- *Scaling Up Soil Fertility Management Innovations in Southern Africa: The Improved Fallow Case Study in Eastern Zambia* by Freddie Kwesiga (case pesentor), Andreas Bohringer and Glenn Denning
- *Australian Landcare: A Going to Scale Success Story* by Mary Johnson
- *Modalities for Scaling Up Technology-Dissemination Approaches in Natural Resource Management: Landcare and NRM Planning Process in Northern and Central Mindanao, Philippines* by Delia Catacutan, Marcelino Patindo (case presentors) and Augustin Mercado, Jr.
- *Scaling Up: The Experience of Indo German Watershed Development Programme* by Ajith Kumar and Crispino Lobo
- *Gender and Equity Concerns in Scaling Up Watershed Development Programme in India* by Vasudha Pangare
- *Emerging at Scale: Breaking the Star-Case Monopoly* by Peter Malvicini and John Jackson

Peter Uvin's Four Types of Scaling Up

Quantitative

A program or an organization expands its size by increasing its membership base or constituency through increase in geographic area or budgets.

Functional

A community-based program or a grassroots organization expands the number and the type of its activities e.g. from agricultural production to health, nutrition, credit, training, literacy, etc.

Political

The organization moves beyond service delivery towards empowerment and change in structural causes of underdevelopment. This usually involves active political involvement and the development of relations with the state.

Organizational

Community-based programs or grassroots organizations increase their organizational strength to improve the effectiveness, efficiency and sustainability of their activeness. This is through diversifying fund sources, increasing level of self-financing/income generation, assuring the enactment of public legislation earmarking entitlements within the annual budgets for the program, creating external links with other organizations, or improving internal management capacity of staff.

Dr. Peter Uvin's paper (presented by Dr. Peter Malvicini) added new perspectives to the Washington discussion. Four types of scaling up – quantitative, functional, political and organizational were described.

Dr. Carl Taylor, also coming from a UNICEF perspective (and from that of the health sector), presented the biological/ ecological model of scaling up as opposed to the blueprint, explosion and additive models. The biological model emphasizes partnerships, "local data-based" action and behavioral change as key principles. Its programs moves from introducing change through learning experiences to creation of self-help learning centers to systems for collaboration, adaptive learning and extension.

GOING TO SCALE MODELS AND CHARACTERISTICS

Blueprint

- Experts select successful interventions from local or international experience
- Blueprint is designed by outsiders and imposed with regulations and targets
- Community participation becomes top-down community manipulation
- Tight supervision and incentives achieve quick results but lose sustainability

Explosion

- Focused interventions selected as national or global priorities
- Tight control and efficiency assured by vertical hierarchy for one purpose but usually duplicating management
- Effective in filling infrastructure gaps if then integrated into whole system
- Social mobilization can strengthen local system but over-riding local priorities often destructive and not sustainable

Additive

- Bottom-up comprehensive and culturally adapted development at community pace
- Stimulated and financed by outside donor (NGO) usually works well in local area-great impact of inter-sectoral action
- Phasing over to local control often difficult because of dependency and being accustomed to outside pay and equipment
- Too slow to rapidly go to scale or fit into national system; need a top-down enabling environment for scaling up

Biological

- Existing successful community-based projects are selected which demonstrate elf-reliant empowerment
- Healthy communities are not mechanical structures but replicating organisms
- Each community becomes a biological growth node for exponential and rapid expansion with infrastructure for enabling environment, sustainability and standards for equity
- Integrated inter-sectoral development evolves naturally as communities learn to demand services for their priorities

Source: Carl Taylor

Multiple Dimensions and Contexts

Horizontal and Vertical Scaling Up

Going to scale in general connotes vertical movement across institutional levels and/or horizontal spread – please see Figures 2 and 3 as derived from the Washington meeting. While these institutional and spatial/geographic dimensions normally are central to the discussions and strategies for going to scale, the other aspects have been recognized as critical and integral to the whole process and cannot be treated in isolation. These are the technological, economic, temporal and the equity aspects. Still, the question of what is it that is scaled up remains of interest. The discussions in Washington have emphasized that it is not technologies that are scaled up but processes and principles behind the technologies/innovations. This is consistent with the belief that scaling up is not just replication but adaptation and learning that is flexible and interactive. Participants to this Philippine Workshop do not contradict this view, but see power and multi-dimensionality as other determinants of what is scaled up.

Dimensions of Scaling Up: from the Discussions in Washington

Institutional – the need to look at the processes and mechanisms involved in the scaling up process; that scaling up involves a wider stakeholder participation, involving as much development actors as possible and that it has to allow participation to happen.

Geographical/spatial – that scaling up project/activities involves expanding coverage to other communities/ municipalities.

Technological – that scaling up may also mean broadening or implementing appropriate technologies or implementing complementary or additional activities/technologies to increase productivity or to better manage ecosystems more sustainably.

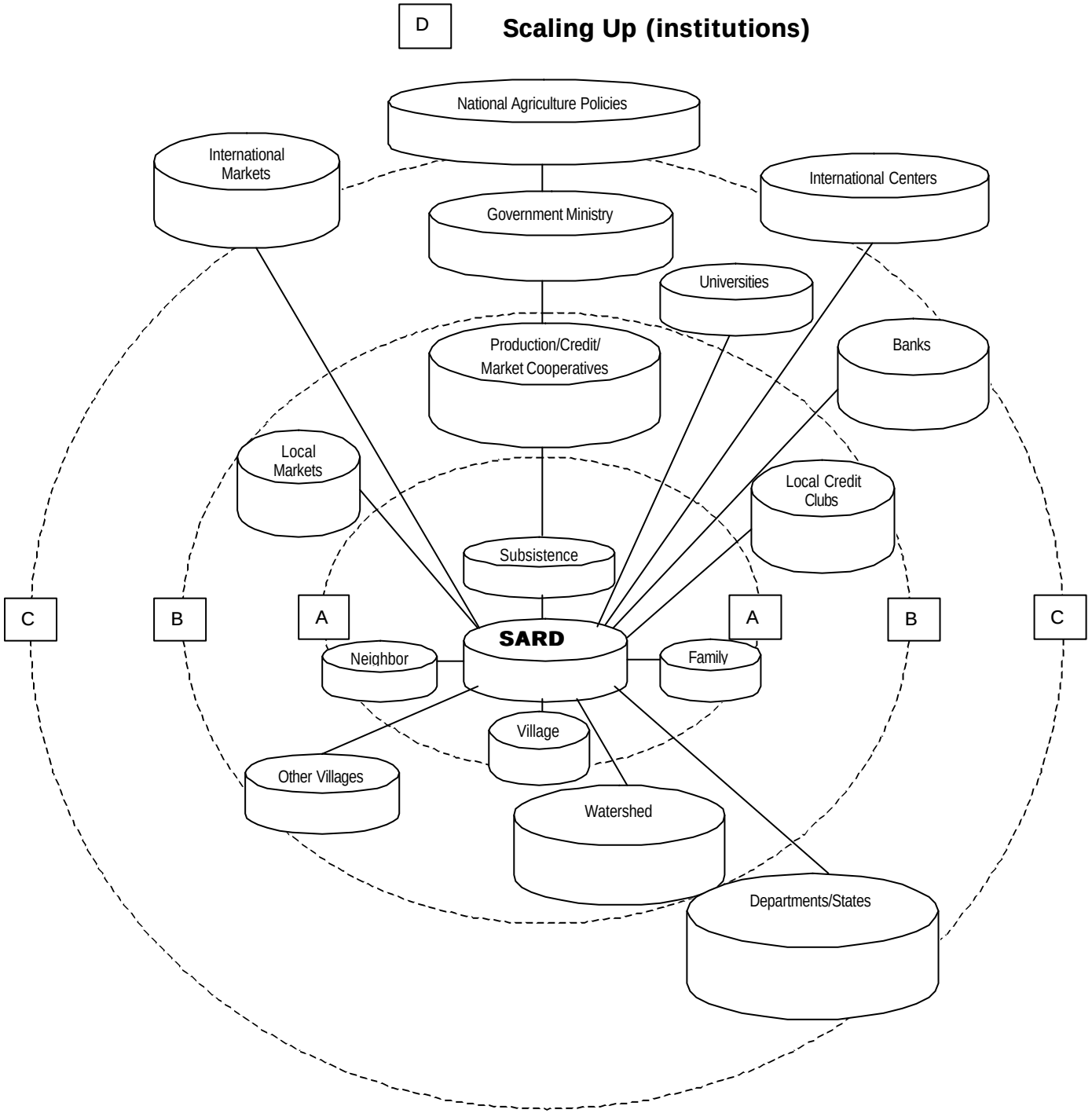
Temporal dimension of scaling up refers to the timing when to scale up and when do we know when a certain technology can be scaled up.

Economic dimension means how much it costs to scale up. How economically viable would it be to scale up projects?

It is not technologies that are scaled up but processes and principles behind the technologies/innovations.

Power or the ability to influence decisions determines what is scaled up. It is often the concerns of the more influential block (being influential not necessarily in terms of number) that gets scaled up. This dominant block could be the policy makers, the aid supporters, the privileged professionals (researchers, scientists, academics, extensionists, etc) or the local people themselves who are able to organize and position themselves strategically. If the overall context of scaling up is bringing development to the poor, then people empowerment is a critical dimension

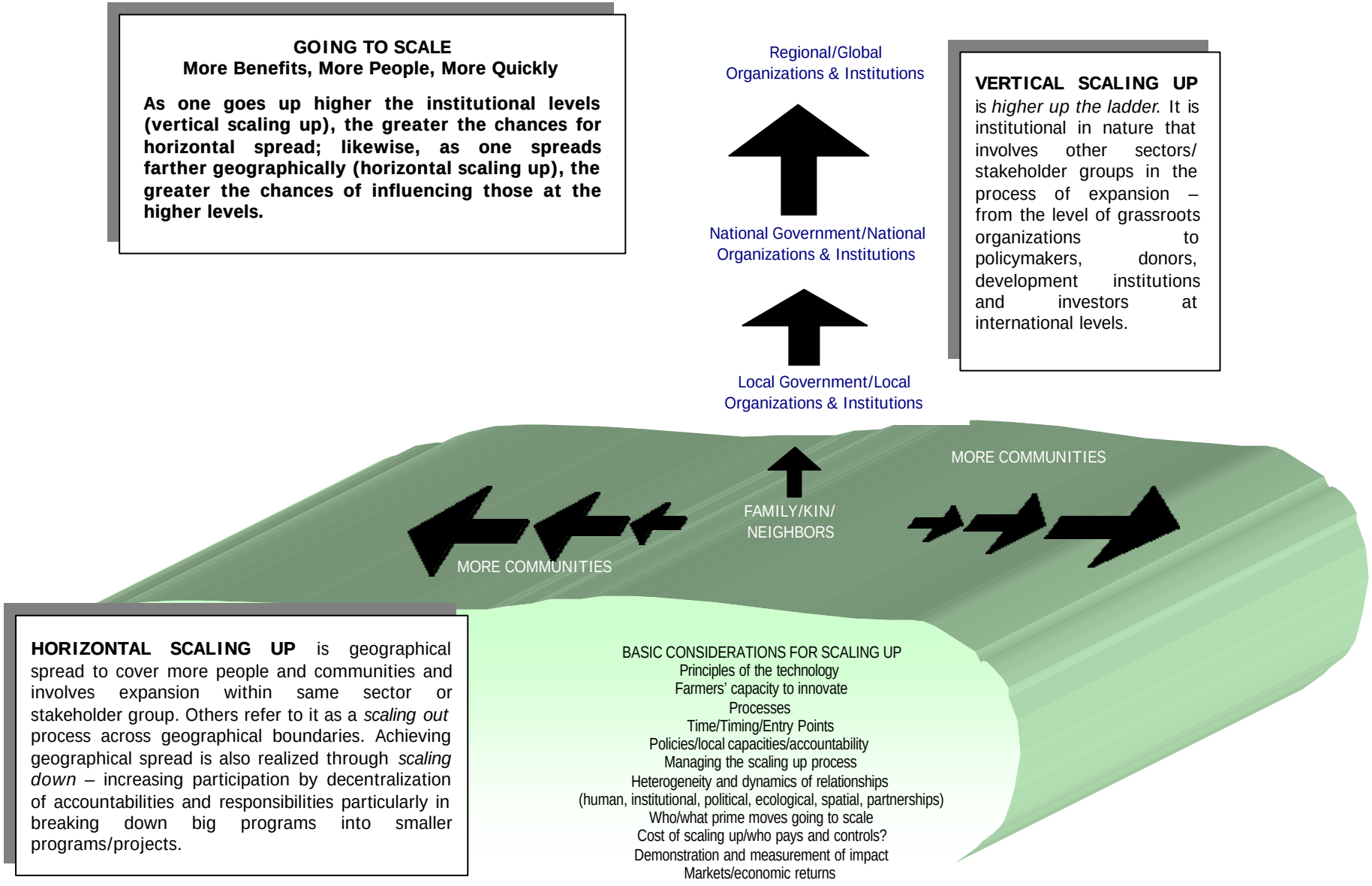
Figure 2. Scaling up—scaling out relationship as conceptualized by Eric Holt-Gimenez based on the Workshop discussions (Source: *CGIAR-NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held October 22-23, 1999 at the World Bank. Report prepared by IIRR, Philippines*).



Scales:

A	Local/family-village
B	Watershed/municipal/state
C	National
D	Regional

Figure 3. Scaling up as vertical and horizontal integration processes (Source: *CGIAR-NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held October 22-23, 1999 at the World Bank. Report prepared by IIRR, Philippines*).



in the process. Scaling up just things or innovations (technologies, processes, principles, etc.) without having the influence (control?) over the other stakeholder groups, particularly the resource providers, usually indicates that the effort is not likely to be sustainable.

The other view that emerged is that one cannot scale up in isolation. Scaling up is always a multi-dimensional process. It is not possible that only technology or only the process is involved in going to scale. The technology, process and the institutional/methodological and policy innovations all go together (are integrated) in the scaling up effort. The degree by which any of these are scaled up varies however depending on the major concern/activity at each stage of the scaling up process.

Institutional Contexts of Scaling Up

Towards better appreciating the diversity of stakeholder groups, workshop participants went through an exercise where they each identified aspects of scaling up which they felt was important to their institution/organization. The institutions represented were the GOs, the NGOs, research/academic institutions, and the FAO for the aid agencies.

The results of the exercise are presented in Table 1. These perceptions were posted on the board for everyone to see on his/her own time during the Workshop. No further discussions on this information were pursued but the display provided an idea of what the participants' perspectives were. The results were grouped but no particular labels were given to each information category that emerged. For purposes of this document, however, these were classified according to four categories: (i) stakeholder participation and empowerment; (ii) resources/support; (iii) theory, practice and impact; and (iv) capacity building. These should not be mistaken as the priorities for scaling up under each organizational type because these are perceptions of individuals within the organization and not necessarily of the institutions they represent. Still, it is important to keep in mind that these are four considerations for going to scale that should not be taken lightly.

Table 1. Perceptions and aspects important to the scaling up process, by type of organization.

	GO	NGO	Research/ Academe	FAO
Stakeholder participation and empowerment	Participation in governance Community empowerment through team building/ participation	Finding space for women, marginal groups, different subgroups in the community in the of scaling process up (planning, decision making, implementation, monitoring) Women participation for employment in different sectors Farmers' empowerment and enabling environment Organized constituents Partnership and operational collaboration The "people" factor (passions, fears, trust) Mobilizing vision for broad-based action	Stakeholder analysis and mobilization Need to retain a participatory approach Partnerships with NARS and NGOs Stakeholders participation at different levels of the scaling up process Researching and telling the stories of scaling up SA (who owns the product?) Information sharing, transparency and accountability	
Capacity building	Capacity building of catalysts Process for new ways of thinking that lead to action	Knowledge building through interaction/ exchange between different sectors (farmers, technicians, etc) Conduct of information and education campaign to existing POs, local organizations and people in Local Government Units (LGUs) Non-formal primary education for poorest segment of the population	Exploring new opportunities for capacity building Building local capabilities Scaling up is part of the R&D continuum and it provides feedback Understand incentives for appropriate scaling up	FAO perceives itself as source of "expertise" and normative neutral guidance Presence of FAO in every country opens opportunities to spread concepts, models, approaches
Theory, practice and impact		Need to evaluate and learn from impact of own work Get away from "project" framework Find a better term for scaling up	Demonstration of impact Impact assessment Research output/options reaching targets to generate real impacts on the ground that lasts e.g. enhanced rural lifestyle Learning to work in partnerships; cost efficiency and effectiveness Matching of technology with scaling up process No inter-disciplinary theory and little practice for scaling up	
Resources/ support	Resource allocation or distribution for scaling up Policy support for conducive environment needed to facilitate scaling up	Changing attitudes and behavior toward farmers in research and extension institutions		FAO still perceived as a source of funds Nature of UN system both opens opportunities and constraints

Empowerment and Social Change

The "bottom line agenda" expanded

The Washington meeting succinctly described the "bottom line" agenda of going to scale as *more benefits to more people more quickly.* While there were discussions in that meeting relative to quality of benefits, geographical coverage and the equity and sustainability issues, these were not factored into the description. This Philippine Workshop felt, however, that both the quantity and quality characteristics of scaling up need to be emphasized. Two re-wordings were suggested in this light – (*i) more benefits to more people more quickly over a wider geographical area, and (ii) more quality benefits to more people more quickly more equitably more lastingly*.

Scaling up is expanding effects from the pilot project stage to a wider domain by communicating options to the people for decision making. It is innovation and learning that is broad-based and interactive.

As the Philippine Workshop went into more small group discussions, two other major sets of agenda for scaling up became evident – that is, (i) communicating options and (ii) social change, empowerment and development. Participation, learning, extension, benefits and costs in terms of both economic and social capital, capacity building and institutional issues/contexts therefore became central to the workshop discussions.

Scaling Up as a Development Process …

- Rejects the *cookie cutter* approach
- Has concern for on-going operation, maintenance and revision
- Achieves large numbers and wide area coverage through multiplication with adaptation, not replication
- Expects there will be new and different functions (given the expanded capacities to identify and solve new and different problems)
- Continues to innovate and nurture institutional relationships along with increases in people's resource endowments

Source: Uphoff, Esman and Krishna. 1998. *Reasons for Success: Learning from Instructive Experiences in Rural Development*, Kumarian Press.

Scaling up is really about people – of communicating options to people, of a balance between introducing options and involving farmers' ability to adapt to changing contexts, of scaling up their enlightened vision of development. It is not just replication but the dissemination/expansion of extension, of knowledge, processes and technologies such that people build capacities to make better decisions and/or influence decision making authorities. In this respect it has a "power" and development dimension – of contributing to social change and people empowerment. It is where benefits accrue to different actors at different levels of the process. Scaling up therefore should be a subset of or supportive of people's movements where the driving force can come from either the recipient (demand-driven) or from groups convincing the recipient (supply-driven).

A Common Understanding of the Contexts

The Workshop recognized that there could be no one definition of scaling up but reaching a common understanding of its various contexts is what is important. Figure 4 below as prepared by Dr. Karen McAllister provides a good overview and summary of this common understanding reached during the Workshop.

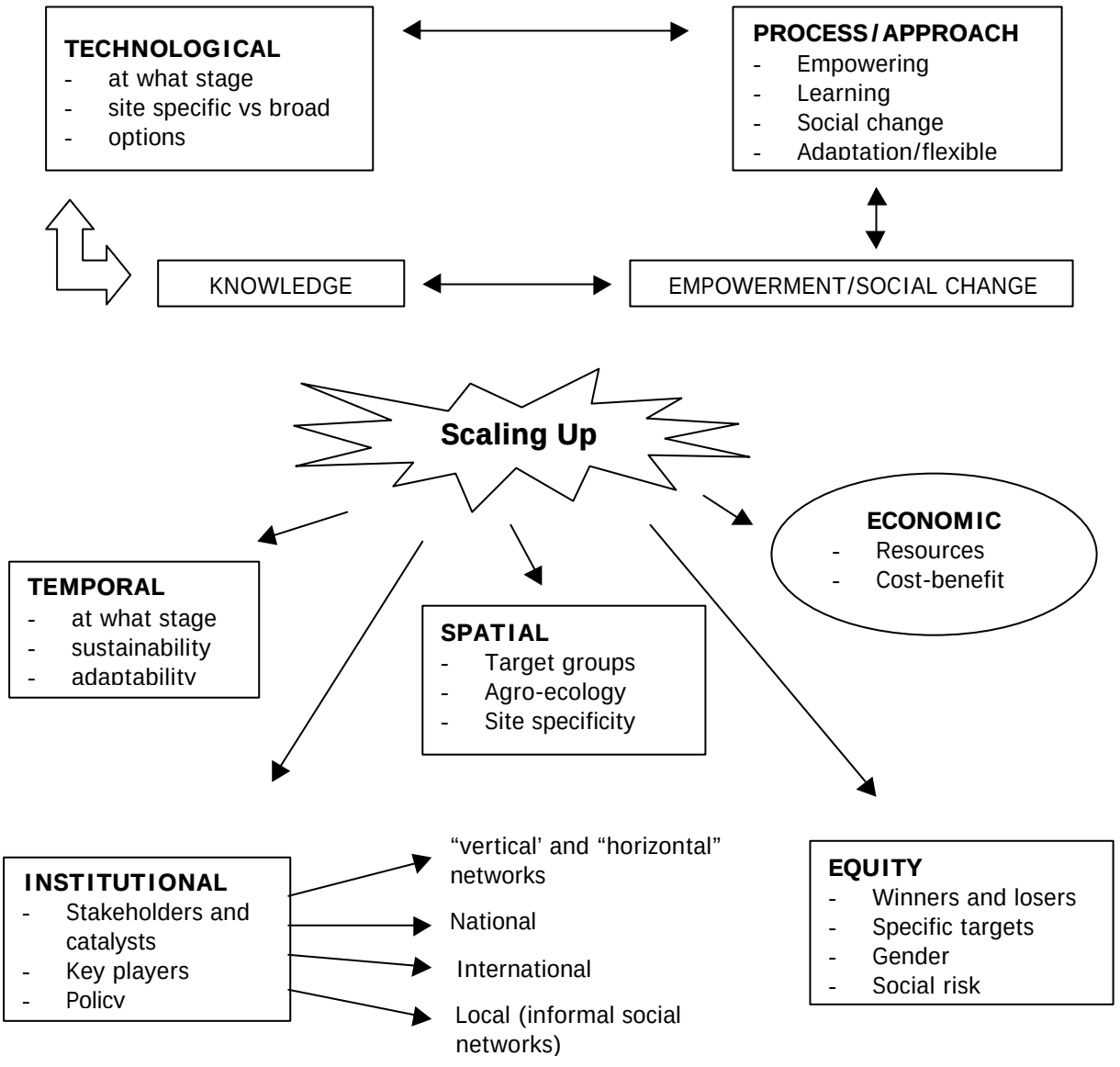


Figure 4. A framework to summarize participant's understanding of the contexts of scaling up.

Principles and Approaches

Scaling Up as a Learning Process

Building the capacity to innovate in order to facilitate local adaptation to changes is important to the scaling up process. As such, scaling up is integral to (and a stage) in the adaptive/active learning process – the *learning to expand* stage of the learning process approach to program development as described by David Korten (Figure 5).

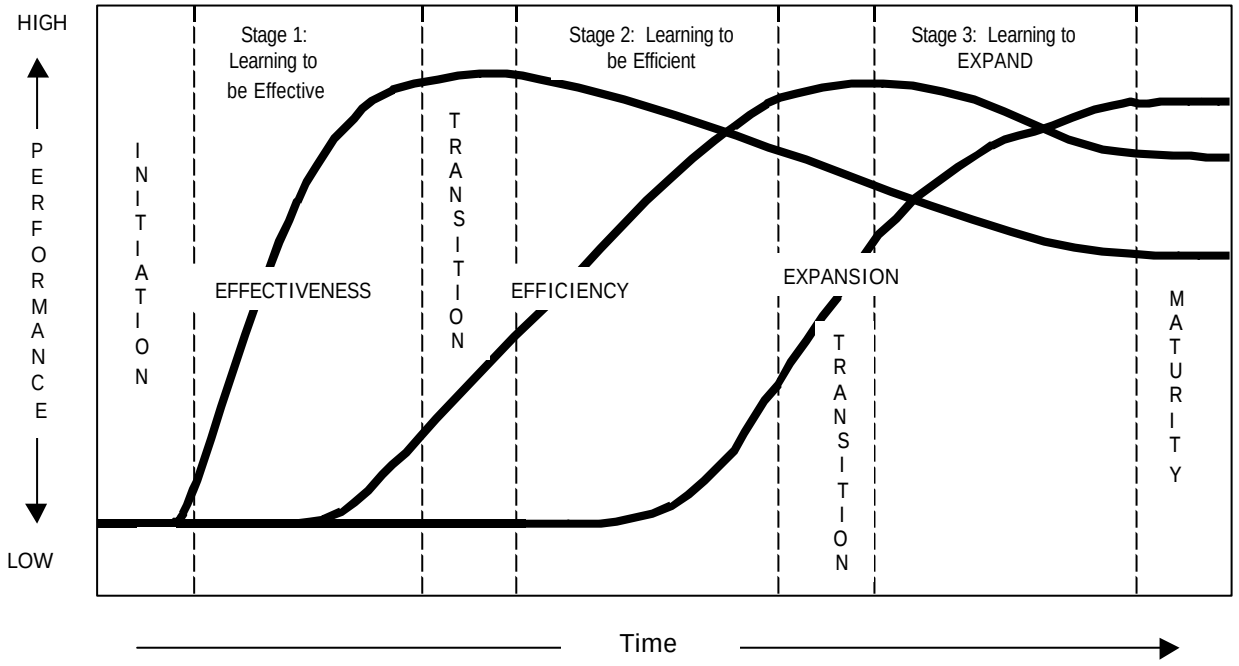


Figure 5. The program learning curves where it is expected that (i) some effectiveness will be sacrificed for efficiency and expansion and (ii) efficiency will likely suffer with expansion due to trade-offs with expansion requirements (Source: Korten, D.____).

The learning process approach to program development proceeds through three stages with each stage involving a different learning task – effectiveness, efficiency and expansion.

In stage 1 – *learning to be effective* – the focus is in developing a program in the village setting with a high degree of fit with beneficiary needs. This is the time for investing in knowledge and capacity building, for learning through action research (piloting stage with the village as a social laboratory) that requires much freedom from normal administrative constraints.

In Stage 2 – *learning to be efficient* – the focus shifts to reducing input requirements per unit of output. At this stage, there is to be some likely loss in effectiveness in exchange for efficiency. This is because more serious attention is now given to achieving fit between program requirements and realistically attainable organizational capacities, recognizing organizational constraints that will have to be faced in the program expansion stage.

In stage 3 – *learning to expand* – is the scaling up stage where the central concern is with the orderly phased expansion of the program. Emphasis is on expansion of organizational capacity along with continued refinements in the program. There is constant attention to maintaining an acceptable level of fit and some decreases in effectiveness and efficiency in the interest of expansion. By the end of Stage 3 the program will have become relatively stable and large-scale in operation (quantitative scaling up). The organization can then turn to finding solutions to new problems (functional scaling up). Or, if by this time the beneficiary population has prospered as to upset the fit previously attained, there may be need to repeat the learning cycle to REDEFINE the program and REALIGN organizational capabilities accordingly (possibly moving towards the political or the organizational type of scaling up).

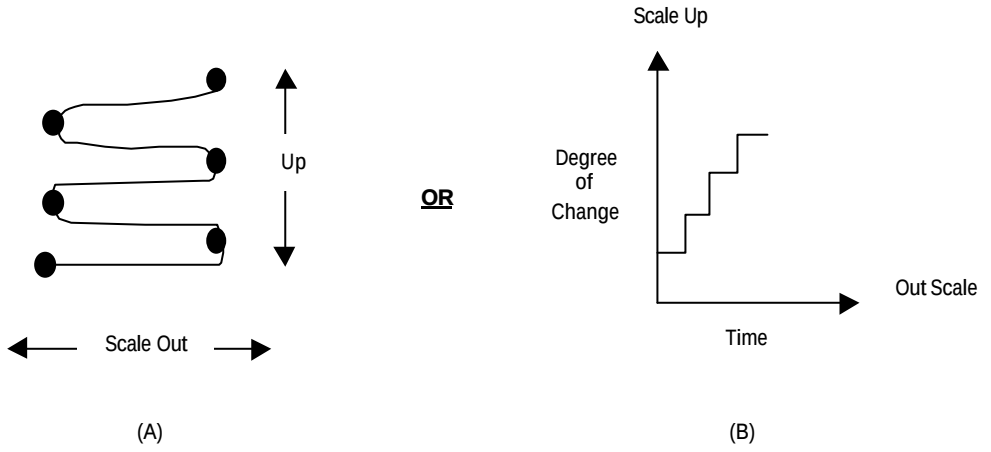


Figure 6. Helen Hambly Odane of ISNAR notes that scaling up meets resistance along the way and therefore the tendency is to move horizontally and then up a little then horizontally and up again and so on – implying that the process is one of learning and is not linear. (Source: *CGIAR-NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held October 22-23, 1999 at the World Bank. Report prepared by IIRR, Philippines*).

Scaling Up is About People

From Day One to the last day of the Workshop participants and guests have in one way or the other referred to scaling up in the development context (i.e. it *is about people*). Developing and nurturing human relationship is therefore key to the scaling up process and agenda. It thus comes as no surprise that the various strategies identified during the Workshop for engaging local stakeholder participation in scaling up refer a lot to building inter-personal relationships. This includes face-to-face contacts, respect, trust, understanding people and the spaces they have developed for themselves and working with people and building on their local strengths and innovations. This building of personal relationships is not directed at the local people/farmers alone but also at the other institutional players – governments, NGOs, etc. such that they are able to bring their strengths together and make scaling up possible. As Dr. Norman Uphoff shared during the Washington meeting, the programs that are to be successful and expandable are those where there is human bond. Going large scale seems threatening to this characteristic often found in successful small-scale/pilot projects, as personal relationships are particularistic. He further adds that the concept of withdrawal (phasing out) in many development programs is almost a violation of the very principles and values that make them successful in the first place. Not

Strategies to Engage Local Stakeholders in Deeper Participatory Dimensions of Scaling Up

- Recognition that there already exists something (local innovation) in the community and identify what these are.
- Build on solid base (critical mass, indigenous route, local knowledge systems; ground program on local initiative, invite participation and use it as an entry point.
- Work with local people (identified by community groups) and local institutions with whom the community can associate itself with.
- Facilitate person-to-person contacts.
- Research by the people; engaging local stakeholders in the initial research, and engaging them in monitoring and evaluation (the learning process)
- Build trust and relationships (social capital)
- Understand motivations of the people.
- Interact with the system and observe how it works (action research) do something together; take action that is meaningful.
- Adopt approaches to people's forms of interaction: history, going through indigenous leaders and practice
- Let go – respect the space people have developed for themselves (e.g. Peruvian health centers)
- In showcasing initiatives, present cases that are relatively new (e.g. two-year project) so that those starting out can easily relate to the situation and can get guidance in the process (not to "intimidate")

withdrawing but including people into a larger movement is part of this evolution of responsibilities and interactions in the process of scaling up.

Workshop participants also recognize that relationship building takes time and sometimes may not provide enough time to build up relationships between stakeholders, much less to build up the capacities to handle scaling up particularly in providing space for the necessary participation at all levels to happen.

> Concept of participation should mean "our" participation in life's processes of farmers not the other way around. Directionality of participation is important.

Tension Between Participation and Scaling Up

In the workshop, there were participants who believe that there is no apparent conflict between participation and scaling up. This comes from the perspective that who participates and at what level is dependent on the "stage" of the scaling up process. Therefore, participation is not really sacrificed but that some groups come into the process at a later time. Other participants, however, believe otherwise. This group, while agreeing that participation should not be sacrificed as one scales up, believes that it may happen. When it does happen, it signals that the benefits are not being maintained as one scales up (maybe an equity issue of who benefits more – i.e. there are winners and losers in the process). Or, there is need for change in the system or in the roles such that people can have more opportunities to participate.

> What needs to be preserved or eased in the tension between participation and scaling up? What is the value in having such conversation?

The perceived tension between participation also stems from a political context – in particular, the adversarial relationship between the NGOs and the state/government where the former normally deals with the latter to mainstream their successful small-scale innovations. There is tension because of different paradigms of development, the government being top-down and the NGO espousing bottom-up development. On the one hand, the state is usually criticized for being inefficient, ineffective or unjust (controlled by the elite), rigid and its efforts unsustainable due to lack of involvement/commitment of local institutions. On the other hand, the NGOs are being criticized for being small scale in operation, its anti-state posture that limits its policy impact, under funded and it actions inconsistent with its rhetoric. There is, however, an emerging "hybrid" paradigm that combines the

> NGOs and governments are "strange bedfellows".

best of the state-led and the NGO-led approaches where the state enables and natures the growth and contribution of NGOs.

The political context can make or break scaling up, e.g. political events wiped out the spread of the farmer-to-farmer movement in Guatemala. Proponents of that movement came into Nicaragua into a political environment which favored communication between farmers. This led to an explosive expansion of the approach in Nicaragua.

Scaling up participatory approaches and types of technologies that give farmers more independence can be done in collaboration with government where the political culture allows democratic elections and rule of law. The desire for votes can encourage politicians to support such approaches, although there is the danger that politicians spread funds for scaling up too widely and thinly in order to reach as many voters as possible.

Some Principles on Strategic Alliances

Partnership development requires careful identification of goals, vision, culture of organizations and the balancing of services with demand.

Need some visibility in the things you are doing in the development programs to have any influence in terms of upper grade institutions and to enter into any kind of partnership, otherwise you do not exist.

Need to be flexible and respond to particular opportunities e.g. developing local coalitions.

Need to involve a broad range of stakeholders as early as possible to implement and guide the process.

Different institutions will have to come at different phases of the partnership.

Scaling up requires new institutional bodies, new roles, new rules, and new skills to emerge (new and evolving roles, rules and responsibilities).

*Source: The Washington **Scale Up!** Report, October 1999*

In less democratic situations, farmer-to-farmer communication and building up a critical mass for broad-based bottom-up pressure is needed to create political change. But even in such a setting, informal contacts with politicians are still possible and can be useful for lobbying. To involve different levels of government (decision makers and government services), invite them to see what is happening in the field and how this fits in with their own mandates. This can create situations in which farmers-to-politicians and farmers-to-scientists communication becomes possible.

ISSUES AND CHALLENGES

Workshop participants have identified various issues and challenges in going to scale particularly those on concepts, contexts and principles. This section of the document, however, focuses on four important issues/challenges that need more discussion relative to planning the scaling up process. These are (i) recognizing the sparks to scaling up; (ii) partnerships and strategic alliances; (iii) facilitating and limiting factors; and (iv) monitoring and measuring the costs, benefits and impacts.

Recognizing the "Sparks"

The urge to scale up is often associated with the need to expand, in whatever form, initially successful small-scale experiences or pilot projects/star cases. From the Workshop discussions, participants have identified other driving forces or "sparks" that cause technologies, processes, principles, programs, organizations etc. to be scaled up. While the initial gains/successes continue to be recognized as providing the sparks, the "timing" as to when they come remains to be properly analyzed in the same way that everybody looks into what makes successful pilot projects tick. Sparks come unexpectedly – and they tend to come from everywhere. They may be generally unpredictable but some of them follow local/global trends and as such is a good starting point for recognizing these sparks. In reading the trends, an associated question is "why the sparks?"

What are the limitations to expanding successful pilots/"star cases"?

What options besides expanding star cases is possible?

Sparks come about or are deliberately ignited out of the need to show impact especially among development practitioners whose efforts are being supported by various institutions and individuals including governments and taxpayers. To show impact and account for their work, practitioners need to achieve the numbers i.e. scale up without necessarily sacrificing quality. This desire to reach out to more people in more communities to prove that they can make a difference does provide the sparks for development programs to go to scale. These sparks come about as practitioners try to empower people or shift power or authority towards a desired state or try to be simply of help to farmers.

To farmers, market is very important. All farmers produce to market – this is not to undermine the focus on production but to equally emphasize that in the end farmers need to sell and earn. In this

We need to scale up organizational capacity as well as the technologies.

sense, markets can be sparks to scaling up – at least as one rallying point for farmers to organize themselves and then do bigger things or do things in a bigger way. But who initiates the desire to go bigger? From where or from whom do such sparks come from? Or from what is it rooted in?

Success or gains in small-scale initiatives as mentioned earlier provides such inspiration. Workshop participants also believe that crisis situations and the raising of questions on the issues, of where technologies, projects, programs etc should lead to – are also sources of the sparks. Other than situations – people, organizations and institutions can be driving forces to the scaling up process. These can be local champions or individuals with unique skills within the community or could be stakeholder groups external to the community like donors and parent organizations of local groups and the people behind them – development workers, extensionists, researchers, etc. These include people who are eager to share with others and consequently get widely recognized. In Brazil, for example, local leaders have been thinking of statewide expansion of the innovations they had found successful.

Some people are sparks", some people recognize the sparks.

Of all the sparks however, the more profound driving force is perhaps the community itself – a community who finds value or has cultural motivations in going to scale; a community and a people with a vision in which scaling up takes roots.

Who catalyzes whose vision?

If development is about people then the vision in scaling up should ideally come from them. There were a few questions raised, however, on this matter in one of the small discussion groups. For example, how do we know that people have a vision of development? Or, how do we know if it is a good vision? Just because it comes from the farmers themselves or from the experts is no guarantee. As a general response to these, the understanding is that the vision is dynamic, not static, and negotiated by diverse stakeholder groups. It must be kept in mind, however, that because the vision is negotiated, it is in a way political. As such, the vision of the dominant or more powerful coalition is unlikely to be taken on unless all stakeholders equally participate and are equally empowered. It is in this respect that the role of the catalyst i.e. to help construct a shared vision through active participation by all becomes crucial. How do we develop and multiply catalysts who can properly assume this role? The Workshop identified a few – through direct exposure/experience, a critical reflection by the catalysts/their organizations of the

On Social Capital and Partnerships

SOCIAL CAPITAL means "trust" and "cooperation networks" (Fukuyama, Francis, Putnam, Robert). As a form of capital, it is possible to invest on it to save and to stock it – but is possible to lose it, too. The principal strategies for "investing" in social capital are:

- Create a "common space" among different institutions (social organizations, NGOs, public sector, entrepreneurs) to identify *common goals* as stakeholders.
- Need for transparency about the interests of the different institutions in negotiating common goals.
- Identify the "added value" of cooperation through the different types of support coming from each of the stakeholders. The added value is like the *interest rate* of social capital.

The main OUTPUTS of social capital are:

- Reduced "transportation costs" among institutions
- Increased in the "cooperation values" in a community or region
- Increased competitiveness of the stakeholders in the market

How Social Capital Influences Scaling Up Efforts

- Technical aspects

- Reaching agreements among farmers in their organizations to support an "inter-learning process" e.g. in sharing successful technologies
- Reaching agreements among farmers' organizations, NGOs and the public to promote watershed management and forestry programs and other natural resource management/protection strategies and programs.

- Political aspects

- Defining and implementing common policies that promote sustainable agriculture in a local/regional context (e.g. tax reduction for NRM projects, laws to punish pesticide use, etc.)
- Designing and implementing common programs for sustainable agriculture in a watershed and mobilizing the institutional resources (human, financial, physical). For example, the "round table" in the Cajamarca project permitted the municipality to multiply its resources through social and private resources by a ratio of 1:3 (three-folds).
- Demonstrate to the national government the importance of cooperation in a region to raise more funds for the decentralization process.

- Economic aspects

- "Social Capital" makes possible new loans from banks to farmers' organizations (social guarantees among farmers can serve as replacement/alternative to collateral requirements in the absence/lack of property rights to land).
- "Social Capital" makes it possible to design and implement new strategies to "reduce the risk" of markets (new roles among municipal governments, farmers organizations, NGOs, local banks and the private sector can increase the efficiency of institutional resources and to create "cooperative guarantees" to attract investments and loans).
- "Social Capital" among social, public and private institutions can increase the *competitiveness* of a region in the country (competitive advantages instead of comparative advantages).

Juan Sanchez

experience and the capacity to try something new and build commitment to it. These should then be supplemented by policy-based incentives and efficiency-enhancing processes within the organization plus a genuine effort to build trust between these organizations/catalysts and the communities.

Partnerships and Strategic Alliances

Participation of farmers and technicians in a process of exchange of knowledge, experimentation and adaptation strengthens the local capacity to innovate. It is this participation which leads to success in local development, and scaling up this process of strengthening innovative capacity brings sustainability with it, as they can then adjust better to changing conditions when the current technology is no longer appropriate. The feeling that both farmers and technicians get in creating their own solutions, learning from and with each other, gaining a new understanding of agro-ecological processes and being involved in producing new knowledge makes them enthusiastic to continue and expand their activities to include other stakeholder groups. Partnerships and strategic alliances become the more important in this regard.

In initiating partnership relations, reaching consensus and gaining commitment from the different stakeholder groups are important first steps. Signing of contract/memorandum of agreement,

commitment of one's own resources to share the costs involved in partnership activities, communicating all the time and organizing the unorganized groups were mentioned as ways to deal with the issue of ensuring commitment and accountability among the stakeholders.

What kind of environment drives the innovation behind successful SA pilot projects?

How can this "environment of innovation" be scaled up?

For consensus building the *mesas de concertacion* of ICARDA and the community-based committees are two useful methods cited in the Washington meeting. *Mesas de concertacion* are roundtable discussions involving the community members, their local governments and those engaged in research and development activities including those in universities toward forming strategic alliances. These operate on the basis of the concept of "social capital" or the cooperative relationships among different kinds of institutions having the same goal. Key to the success of this tool is having a good balance of local power among the participating groups. Moreover, if the stakeholders particularly the farmers have built a vision for themselves, this vision leads to greater sustainability of the process.

Facilitating and Limiting Factors

Other than a shared vision and strategic partnerships and alliances, Table 2 lists other factors that will facilitate or impede the process of going to scale. These include social organization and processes, infrastructures, markets, stakeholder track record of experience, institutional mandates, policies and capacities (including human and non-human resources), cultural and religious leanings, and peace and order situation.

Table 2. Facilitating and limiting factors to scaling up.

Facilitating Factors	Limiting Factors
▪ Presence of a real social vision ▪ Acceptance of external organizers at the grassroots level ▪ Strong informal social organization (local dynamics) ▪ All parties or actors open and interested in participation ▪ The environment allows flexibility in the processes of scaling up ▪ Scaling up is included in planning from the very start ▪ Clear (government) mandates that open room for NGOs to participate ▪ Proven experience and track record of the different stakeholders.	▪ Lack of vision to move beyond where we currently are ▪ Inadequate infrastructure (communication, logistics, transportation) ▪ Physical, human and other resource limitations (skills, technical and organizational capacities for "spontaneous" scaling up) ▪ Limited institutional capacity to sustain scaling up (when to phase out) ▪ Conflicting orientation, mandates and capacities of stakeholders (e.g. Department of Agrarian Reform wants to use a watershed approach but this is the mandate of the Department of Natural Resources ▪ Negative attitudes of officials and scientists towards less scientific processes ▪ Peace and order situation and political stability ▪ Cultural and religious conflicts ▪ Burnt-out among volunteers involved ▪ Time constraints (need to spend time to "sell" the idea)
May Facilitate or Limit Biophysical environment Market Government policies and political context Institutional collaboration Inputs and resources	

Monitoring and Measuring Costs, Benefits and Impacts

On the basis of the suggestion from the participants, one of the small group discussion sessions specifically analyzed four of the cases presented in the plenary with respect to monitoring the scaling up process. The cases analyzed were (i) the *Campesino A Campesino* Movement; (ii) Farmer Experimentation and Ecological Agriculture in North Eastern Brazil; (iii) Soil Fertility Management Innovations in Southern Africa; and (iv) Landcare in Australia and the Philippines. While there are discussions on the economic and quantitative aspects of monitoring, it is notable that most of the discussion groups placed much emphasis on the quality, relationships, processes and social aspects of monitoring scaling up (Table 3). This indicates that scaling up, while recognizing the importance of targets in terms of more quantity and quality, is for the most part very process-oriented where roles, rules and institutions keep evolving. However, although the equity and gender aspects were raised several times during the plenary, there was not much discussions on these as indicators to achieving quality in scaling up. Adding *more equitably*, including equity in gender relationships, to the operational definition of scaling up (more benefits to more people…) therefore becomes important to emphasize.

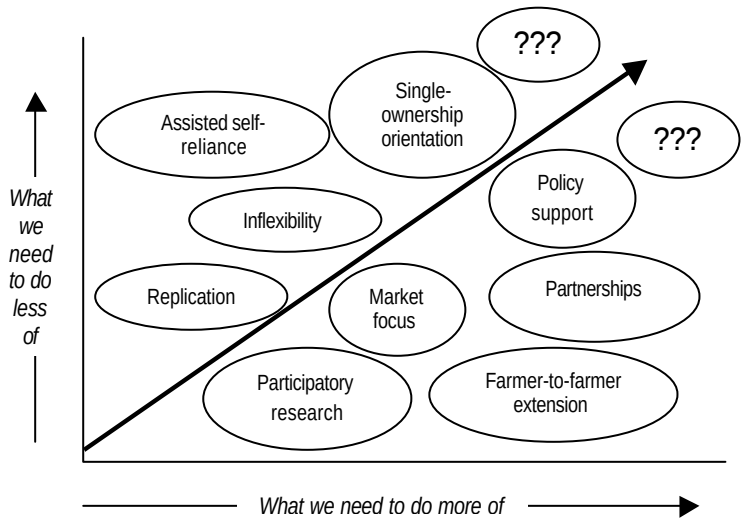


Figure 7. One concept in the evolution of roles, rules and institutions in the process of scaling up with respect to the need to determine what needs to be done less and what needs to be done more, and the assumptions for determining these, as the process progresses ((Source: *CGIAR-NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held October 22-23, 1999 at the World Bank. Report prepared by IIRR, Philippines*).

Table 3. Costs and benefits and monitoring quality of scaling up efforts.

Guide Questions	CASE STUDIES ANALYZED BY THE PARTICIPANTS			
	Campesino A Campesino Movement	**Farmer Experimentation and Ecological Agriculture in NE Brazil**	**Soil Fertility Management Innovations in Southern Africa**	**Landcare (Australia and Philippines)**
Costs and benefits of going to scale?	Benefits: Increased production leading to prestige in community *Promotores* as models in the community Sharing of culture leading to transfer of appropriate technology Low transaction costs Working in teams ensures replacement for *promotores* who leave Costs: Tendency for NGOs to claim credit to themselves Difficult to coordinate because of physical distance Inability to monitor over large scale	Benefits: Better health from less pesticides use Ecological values expressed in linking better health to growing food with less pesticides Engagement of rural youth	Benefits: Increased maize production/unit area Increased fuelwood Increased soil nitrogen source and savings in costs of fertilizers Soil conservation and preservation of forests Women freed from drudgery Increased social status Increased investment/ livelihood options Costs: Advisory services of ex-pats/local consultants Germplasm supply Training costs Capital outlay (vehicles, computers, etc)	Benefits: Generation of popular support translated into bigger financial assistance and supportive legislation Local initiative becomes a national campaign Costs: Bureaucratization of Landcare due to involvement of various government agencies Imposition by government authorities Reduction of autonomy and flexibility
When is quality achieved in scaling up?	Farmers adapted the technology/provoked innovations Technology keeps changing – meaning farms continue to innovate Processes of degradation arrested e.g. soil erosion	Strengthened social fabric; increased social capital Community R & D (farmer experiments) to develop higher quality agriculture Farmer's enthusiasm in what they do (farmer experiments) Farmers' eagerness to reach out to others	Farmer satisfaction Increased self-reliance, self-sufficiency, ability to diversify Marginal groups reached/Spread beyond project area Demand for info/ products/services of farmers Adaptations/added practices/innovations	Amount of investments by various stakeholders Number of visitors/ visits by interested individuals or groups Number of adopters Level of collaboration among stakeholders Number of emerging projects Multiple perspectives
How to maintain quality without sacrificing elements that catalyzed the innovation?	Measurement of impact of scaling up (as NGOs do not usually measure impact) Investment in quality of technicians/ agronomists who can liaison with research Better research and better research relationships with the centers		Monitoring part of process from start (participatory-involves both adaptors/non-adaptors) External evaluation Regular meeting of all stakeholder groups Institutionalized exchange of seeds	Capability building/ empowerment Mutually beneficial partnerships Clear, shared and flexible goals
How to build monitoring into scaling up efforts?	Difficult to do this as each NGO has its own set of programs, goals, coverage, etc Good reference manual that includes documentation of experiences including suggestions for monitoring	Regular meetings and reflection as venues for monitoring Carrying out experiments (farmers evaluate their experiments) Studies on specific technologies and processes		Incentives for self-monitoring: basis for rewards, justification for past and future allocations, input to evaluation and re-planning Tools: diagnostic cards, periodic meetings, monitoring framework
Capacity building needs/resource requirements?	Change in agrarian structure such that farming becomes a better profession in the context of SA A movement strong enough to pressure/ force governments and donors to provide the needs of SA An institutional agent e.g. NGO to facilitate and shoulder costs of activities A group of farmers to promote the	Marketing capabilities for both farmers and the NGO Facilitation capabilities – more farmer experimenters who can bring farmers together and stimulate discussions Advocacy – influencing, developing policy papers and developing effective linkages (e.g. to change banking policies that favor wealthier farmers) Money to support	Understanding of soil fertility problems and remedies Training techniques Social investigation/ PRA and problem-solving skills Coordination and collaboration skills Experience in soil management and leadership skills Relevant/appropriate policies that support agro-forestry	At grassroots level: skills in planning, decision making, team building, facilitation and communication At grassroots to national level: training for facilitators on conflict resolution, leadership, human and organizational behavior, networking, values, development planning and self-directed learning Special area interest for

	technology/process A good technician who knows farming and willing to learn from and backstop farmers Technicians need to learn not to advise but to help farmers analyze and design simple experiments with simple measurements Need to build social capital Documentation/ research for farmers and for policy makers	processes that include meetings, farm visits, communications, seeds, facilitators		women: land management, safety issues, health issues Understanding the government system in the scaling up process Rewards and sanctions Resources required: committed people, appropriate technology, logistics and communication, social and physical structures, supportive policies, financial resources

PLANNING TO GO TO SCALE

Spontaneous and Planned Scaling Up

The context behind the organization and design of the Washington and Philippine workshops started with the general assumption that there are successful local level SA initiatives that can be scaled up or expanded. These are, in particular, processes like farmer to farmer approaches at Point A (Figure 7) that are spreading

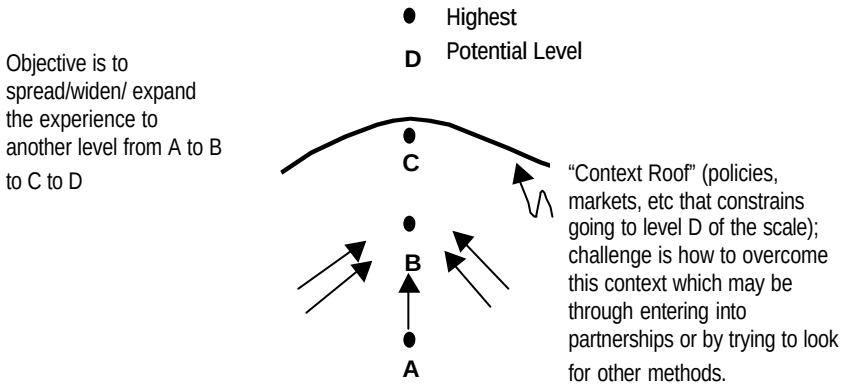


Figure 7. Synthesis of day one that established the general framework of the Workshop as had emerged from the discussions (Source: *CGIAR-NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held October 22-23, 1999 at the World Bank. Report prepared by IIRR, Philippines*).

and being adapted on their own to Point B. This natural spread of the initiatives are referred to as spontaneous diffusion or unplanned scaling up. They just happen. With the proper interventions these SA initiatives at Point A can be further scaled up from Point B to Point C (planned scaling up/expansion). There is however a potential to expanding the initiatives beyond Point C to Point D but is being constrained by a "context roof" as dictated by policies, market forces, etc and could be institutional, political, technological and methodological in nature. How to overcome this context roof is the challenge towards a total realization of the goal/s for scaling up. The

strategies, approaches, methodologies and principles to overcome that context roof may already be in existence (e.g. partnership models) or may need to be developed given particular situations. How the intervention process would look like will depend on one's conception of scaling up. ICRAF's strategy to reach 10 million farm families in 10 years is an example of a planned scaling up initiative to overcoming the "context roof".

Elelments of the ICRAF Strategy:

Innovation assessment. This assesses the adoption potential of innovations through on-farm research, both biophysical and socio-economic – and the design and implementation of pilot development projects.

Germplasm supply. This is directed at developing and applying better methods of forecasting germplasm needs, and to facilitate establishment of sustainable, community-based germplasm and distribution systems.

Market development. ICRAF sees a key role in marketing research and development in partnerships with other groups – in particular, to serve as knowledge broker to help link agroforestry producers in the south with potential processors and consumers in both south and north.

Strategic alliances. This means forging creative new alliances with organizations having complementary expertise, resources and geographical access to generate adoption and impact on a large scale. Partners will include the national agricultural research systems, national extension agencies, development banks, universities, schools, NGOs and farmer organizations.

Capacity building. This comprises efforts to enhance productivity and sustainability of agroforestry research and development institutions, including exploring the use of schools as a means of reaching current and future generations of farmers.

Knowledge sharing. This entails establishment of an Agroforestry Information Resource Center in collaboration with other organizations that share this mission.

Technical support. This involves mobilizing and providing technical expertise in support of the adoption and impact of scaling up. This will strengthen in-house capacity in key development fields like germplasm supply, market development, extension and development communication.

A key message of the Workshop is that the *scaled up state* either happens spontaneously or is planned for. Planning the scaling up process has been the major focus of the Workshop discussions but it is not to undermine the thinking that spontaneous diffusion, like planned scaling up, has pre-requisites including a supportive and enabling environment for it to prosper. Understanding these pre-requisites will not only ensure greater possibilities for spontaneous diffusion but more importantly, to systematically plan for and speed up the spread of benefits especially in areas where these characteristics are wanting.

The characteristics of spontaneous diffusion that may be relevant to planned scaling up includes:

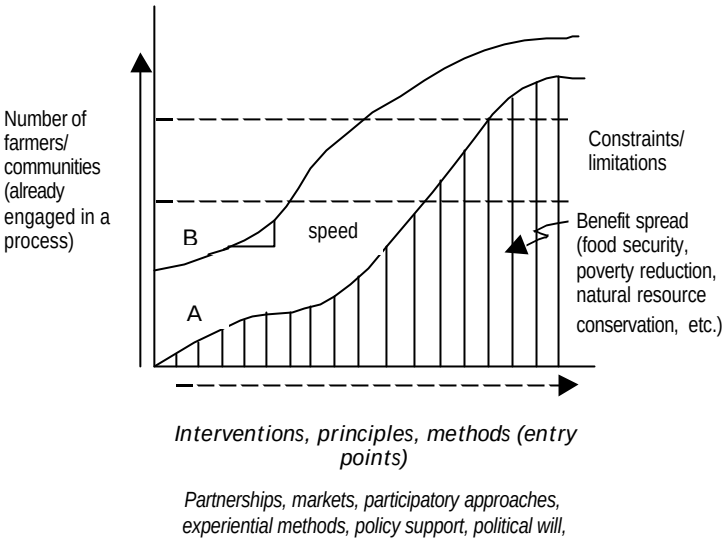


Figure 8. Graphic illustration by Miguel Altieri to emphasize that "best bet" interventions/entry points vary and evolve over time or come in series as determined by the constraints at hand, the size of involvement and diversity of benefits desired and time when scaling up was initiated. (Source: *CGIAR-NGO Committee Workshop on Scaling Up Sustainable Agriculture Initiatives held October 22-23, 1999 at the World Bank. Report prepared by IIRR, Philippines.*)

- Whatever it is that is spontaneously spread usually is a responce to an identified need.
- A person with a vision or unique skills often drives the process.
- There are perceived intrinsic benefits in adapting/adopting the technology, process or whatever it is that is being spontaneously spread.
- The technology/process being spread is simple, cheap, adaptable and though not necessarily so, elegant. It is also handy – meaning that it is flexible and can easily be streamlined within existing programs.
- That which is spread is visible or that a story can be told about it so that it is easily transferred through indigenous routes i.e. the content and manner of transfer are culturally appropriate (linked to the culture/value systems including values about the environment, laws and obligations).
- The source of the technology/process being spread is credible (source credibility).

Given above characteristics and the earlier discussions and then adapting the framework used by John Marc Cajiuat in presenting his group's output in analyzing one of the case studies in the Workshop, a picture of planned scaling up emerges as follow.

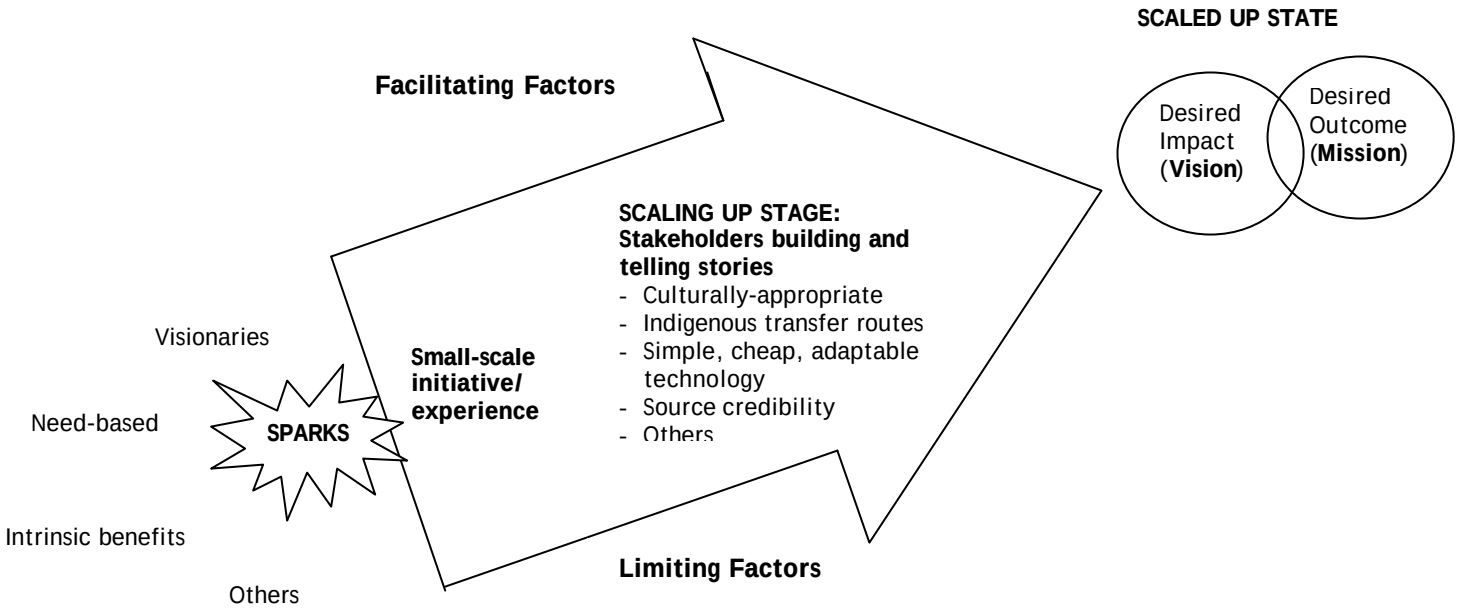


Figure 9. A framework for planning to go to scale.

A Scaling Up Checklist

Questions have been generated from pre-workshop preparatory activities to the last day of the workshop – all wanting answers critical to the planning and management of the scaling up process. Much of these have guided the small group and plenary discussions. Participants realized that this list of questions could itself serve as a major tool/instrument for guiding efforts for going to scale. This list of questions may be seen as comprising a framework for systematically planning to scale up (Table 4). Some of the potential responses to the checklist were discussed during the Workshop and presented in Table 5.

Table 4. A framework-checklist for planned scaling up that may be derived from the *Going to Scale* Workshop.

THE PILOT STAGE →	THE SPARKS →	UNDERSTANDING SCALING UP →	THE SCALING UP STAGE Planning/Implementing/ Managing	Monitoring/Evaluating →	THE DESIRED IMPACT →	THE DESIRED OUTCOME
SMALL-SCALE INITIATIVE/ EXPERIENCE	Where/Who are the catalysts for scaling up? Who influences our decision to scale up? What are the most important things that influence our decision to scale up? What kind of environment drives innovation behind successful pilot projects? How can this environment of innovation be scaled up?	How do different stakeholders perceive scaling up? What is our understanding of scaling up? What are the issues involved in scaling up? What are the concepts and principles that guide the scaling up process?	Whose vision of development should we be scaling up? Which different stakeholder groups are/could be the target in scaling up? how does this choice affect our approach? What is it that we are scaling up: technology, process, projects, institutional innovations methodology and policy innovations? What are the facilitating and limiting factors for scaling up? Do we sacrifice participation when we scale up? How can scaling up stifle participation? What are the strategies for engaging local stakeholders in deeper participatory dimensions of scaling up (e.g. management policy ownership)? Since inter-institutional collaboration is critical to scaling up, how are effective partnerships fostered? What are the characteristics of spontaneous diffusion that might be of relevance to planned scaling up? How do you deal with external factors such as research agenda, markets and funding? What are the capacity building needs/essentials? At what levels? What resources are required?	How do you build monitoring into the scaling up effort? How do you know when quality has been achieved in any effort to go to scale? What are the most important indicators of quality in scaling up? What are the costs and benefits of going to scale? Do benefits accrue to different actors at different levels of scaling up? As you scale up, how can you maintain quality without sacrificing the elements that catalyzed the innovation/ development process in the first place? How is sustainability compromised (if at all) by scaling up?	More quality benefits to more people over a wider geographical area, more equitably, more quickly, and more lastingly.	EMPOWERMENT AND SOCIAL CHANGE

Table 5. Some answers to the scaling up checklist/questions discussed during the *Going to Scale* Workshop.

THE PILOT STAGE →	THE SPARKS →	UNDERSTANDING SCALING UP →	THE SCALING UP STAGE Planning/Implementing/Managing/Monitoring/Evaluation →		THE DESIRED IMPACT →	THE DESIRED OUTCOME
SMALL-SCALE INITIATIVE/ EXPERIENCE	Crisis, questions, success Individual transformations Some people are the sparks (local champions), some people recognize the sparks Achievement of critical mass Policies & local initiatives Advocacy Markets Local people/ communities who find value to scale up or have cultural motivations Out of need to show impact Trends (local → global)	Creating & communicating options; quality impact focused on processes/principles over technologies (horizontal & vertical; not just replication) INVOLVES action research/learning; innovation; capacity building in extension, policy, resource mobilization; people/human relationships; impact over time; market-focus; participation/equity, including gender; strategic alliances/ partnerships; behavioral & institutional changes DIMENSIONS: spatial, temporal, economic, technological, organizational/ institutional (structural, functional, political, program, resource base) CHALLENGES: managing diversity & external factors, sustainability, equity, accountability, monitoring & measuring costs, systematizing & extrapolating experiences MODELS: blueprint, explosion, additive, biological INSTITUTIONAL CONTEXTS: GOs – policy support, resource allocation & distribution, governance & community empowerment, capacity building of catalysts; NGOs – people factor, focus on poor, equity, participation, governance, gender, partnerships, organizing/empowerment, knowledge building; Academic/research – stakeholder analysis, impact assessment, matching technology, local capabilities & scaling up, incentives for scaling up; Funding agencies – source of funds, expertise & opportunities but with constraints; Local communities SGD 1 outputs on understanding the context of SU and Day 2 card exercise on appreciating stakeholder diversity	VISION is dynamic; negotiated by stakeholders (active participation) but usually comes from dominant coalition/group CATALYSTS help construct vision ACTORS (NOT TARGETS) in scaling up: farmers, policy makers, and resource providers DECISION to scale up influenced by the vision, success at small scale, scalability of technology, resource availability, catalysts, and institutional mandate CHOICE OF APPROACH depends on strategies/capacities of actors SCALE UP WHAT? Not just things (technology, processes, etc) but also "power' or the ability to influence decisions; cannot scale up any of these in isolation STRATEGIES FOR LOCAL PARTICIPATION: recognizing local innovation, capacities & needs; working with local people & institutions; building social capital (trust/relationships); "letting go" or respecting the space people have developed for themselves SPONTANEOUS DIFFUSION: need-based; driven by person with vision/unique skill; intrinsic benefits; simple, cheap, adaptable & handy technology; culturally appropriate; indigenous transfer; source credibility FACTORS: biophysical environment, market, government policies, political context, institutional collaboration, inputs & resources, vision, socio-cultural/ human dynamics, capacities	REQUIREMENTS: change in agrarian structure; strong movements to pressure government/donors; markets; institutional agents; funds; social capital; better research/extension & research relationships; documentation; investments in the quality of farmer promoters/technicians; committed people; appropriate technology; social/ physical structures; policies MONITORING: Difficult to do as each NGO has own set of programs, goals, coverage, etc.; need a good reference manual that includes documentation of experiences & suggestions for monitoring; regular meetings and reflection as venues for monitoring; institutionalized seed exchange Indicators – farmers adapting the technology; changing technology i.e. farmers innovating (to reach out, experiment and evaluate own experiments); strengthened social fabric; arrested the process of degradation; local food sufficiency; reaching marginal groups; spread beyond target sites; Benefits – increased production leads to improved self-esteem/dignity/social status; diversified investment options/new projects; environmental benefits; better health; sharing of culture that leads to transfer of appropriate technology; low transaction costs; increased visits to farmers; Costs – credit grabbing; coordination problems; inability to monitor quality over large area; bureaucratization; imposition by government; reduction of autonomy & flexibility	More quality benefits to more people over a wider geographical area, more equitably, more quickly, and more lastingly.	EMPOWER-MENT AND SOCIAL CHANGE