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Investing in rural people

## Scaling up results

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Consultation on the Tenth Replenishment of IFAD's Resources —  
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For: **Review**

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## Abbreviations and acronyms

CGIAR	Consultative Group on International Agricultural Research
COSOP	country strategic opportunities programme
FINSSP2	Ghana's second Financial Sector Strategic Plan
M&E	monitoring and evaluation
MIC	middle-income country
MSI	Management Systems International
NERCORMP	North-Eastern Region Community Resource Management Project (India)
ODA	official development assistance
QA	quality assurance
QE	quality enhancement
RAFiP	Rural and Agricultural Finance Programme (Ghana)

## Executive summary

1. Confronted with the large-scale problem of reducing rural poverty that it is mandated to address and the limited resources available from official development assistance, IFAD is determined to increase the impact of every dollar it invests in agriculture and rural development. For this reason, scaling up results is an overarching priority that directly supports the achievement of IFAD's mandate. This priority applies to all of IFAD's thematic areas and country contexts within which it works (middle-income countries, fragile states, etc.), although differentiated approaches will be needed depending on specific circumstances.
2. Since 2009, IFAD has been developing a corporate approach to scaling up – scaling-up results for enhanced impact – which proposes an evolution of the IFAD scaling-up model. This entails a two-pronged approach that first looks at lessons learned from past interventions and answers the questions: what works and what is to be scaled up?; and second defines the pathways and drivers that will allow results to be brought to scale in the future through the financial, policy and knowledge services that IFAD provides. Critical to this approach will be to look at scaling up from the perspectives of IFAD clients and beyond project boundaries.
3. The challenge in operationalizing this approach will be to change the mindset under which IFAD operations are designed and implemented. The Fund will need to look beyond what its own money can do, to what its money can leverage. Such a shift may have important implications for the project design process, and particularly the arrangements for monitoring and managing results.
4. A set of guidance tools and a new operational framework<sup>1</sup> will guide country programmes on how the Fund's three main instruments (projects, policy engagement and knowledge) can be combined to trigger the desired systemic changes in the institutional, policy, and economic environment in which rural poverty exists and is perpetuated.
5. The objective of IFAD operations will be to use the positive results generated to leverage knowledge, social and political capital, and additional resources from other partners (in the private and public sector and the communities themselves) to bring those results to a larger scale in a sustainable manner.

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<sup>1</sup> To be developed in 2014 and 2015.

## I. Why is scaling up mission critical?

1. Like many development partners, IFAD has found that innovative free-standing development projects alone are not an effective vehicle towards eradicating poverty at scale: they must be part of a longer-term process that can sustain learning and scaling up.
2. Confronted with the large-scale problem of reducing rural poverty that it is mandated to address and the limited resources available from official development assistance (ODA), IFAD is compelled to increase the impact of every dollar it invests in agriculture and rural development. For this reason scaling up the results of successful development initiatives is not just another buzzword, but rather an overarching priority that directly supports the achievement of IFAD's mandate. This is true for all IFAD's thematic priorities and country contexts (middle-income countries [MICs], fragile states, etc.), although differentiated approaches will be needed depending on specific circumstances.
3. To deliver on this priority, IFAD's operational practices must be geared towards supporting all concerned actors and institutions – including poor rural women and men and their organizations – to achieve impact at scale. This will require a shift in mindset from being project-centric to bringing about change in the institutional, policy, and economic environment in which rural poverty exists and is perpetuated. That is, the objective of IFAD interventions will be not only to enable rural people to work their way out of poverty in the limited time and space of a given project but to use the positive results generated to inspire others and leverage policies, knowledge, social and political capital, and financial resources from other endogenous actors (private, public and the communities themselves) to bring those results to a larger scale in a sustainable manner (see box 1).

### Box 1: What is meant by scaling up results?

The definition adopted by IFAD for scaling up is: expanding, adapting and supporting successful policies, programmes and knowledge in order to leverage resources and partners to deliver larger, more sustainable results for a greater number of rural poor.

Scaling up results means that IFAD interventions will not be viewed as a way of expanding small projects into larger projects. Instead, IFAD interventions will focus on how successful local initiatives will sustainably leverage policy changes, additional resources and learning to bring the results to scale.

## II. Background

4. Since 2009, IFAD has been developing a corporate approach to scaling up. First, an institutional scaling-up review was undertaken in which the Brookings Institution elaborated a conceptual framework and conducted a desk analysis of IFAD's approaches to innovation and scaling up.<sup>2</sup> The review also documented successful cases of scaling up in a number of countries, including Ethiopia, Ghana (see box 2), Peru, the Philippines, Viet Nam, and in mainstreaming cross-cutting themes into its policies and operations. For example, IFAD's approach to mainstreaming indigenous peoples' issues (through the IFAD Policy on Engagement with Indigenous Peoples, the Indigenous Peoples Forum, and the Indigenous Peoples Assistance Facility and its portfolio) has become a model to be followed by other United Nations organizations, recognized by both the United Nations system and indigenous peoples. Similarly, initial innovative work by IFAD on community-driven

<sup>2</sup> Scaling up the fight against rural poverty – An institutional review of IFAD's approach, Global Economy and Development at Brookings (working paper 43), October 2010.

development in India (see box 3) was subsequently taken up and expanded by larger donors and government programmes.

**Box 2: A more inclusive financial sector in Ghana**

Since 2010 IFAD has been supporting the national Rural and Agricultural Finance Programme (RAFIP) in Ghana. Meaningful changes have occurred in the context within which RAFIP functions, such as: (i) the central bank has increased its regulatory role over rural microfinance institutions; (ii) the Government has embraced the Maya Declaration for Financial Inclusion; (iii) the apex bank of rural and community banks has achieved sustainability; (iv) Ghana's second Financial Sector Strategic Plan (FINSSP2) is strongly supporting access to services by low-income households and microenterprises; (v) IFAD's country strategic opportunities programme (COSOP) has been updated with respect to the policy dimension and sustaining outcomes; (vi) value chain relationships are increasingly being formalized, including with respect to financing; and (vii) some donors have offered their support to IFAD for the programme.

To further develop the policy dialogue pathway for scaling up, RAFIP will need to engage actively in the preparation of the National Financial Inclusion Strategy, in particular to make sure that the principles of best practice microfinance – including consumer education and protection, and innovative application of technology to support rural outreach – are adequately incorporated and implemented to lay the foundations for scaling up of proven methods under future initiatives, projects and programmes.

Through its engagement in the 2013 Joint Agriculture Sector Review and the dialogue process for the development of Ghana's Medium-Term Agriculture Sector Investment Plan, IFAD has managed to provide guidance and communicate principles for leveraging private-sector investment and access to finance for agricultural value chains and for the respective budget preparation that enables scaling up of RAFIP's major results.

5. The main conclusions of further studies by the Brookings Institution state that although IFAD has been successful in scaling up on several occasions, the scaling-up agenda deserves greater and more systematic attention in IFAD's operational work, requiring changes to its business model.<sup>3</sup>
6. In 2013, an indicator for scaling up was introduced in the Results Measurement Framework 2013-2015 and scaling up is now more systematically considered in COSOPs and in institutional review processes (quality enhancement [QE] and quality assurance [QA]). The 2013 QA annual report found that 18 of 27 new designs explicitly identified "scaling up" activities and rated 76 per cent of these as moderately satisfactory or better – with all of them expanding on previous designs.
7. Reviews of COSOPs and designs that were initiated between 2010-2013 report that progress in mainstreaming scaling up within IFAD's operations is positive, although uneven. Specific issues that require further attention in implementing the scaling up agenda are:
  - Insufficient attention is still paid to monitoring and evaluation of scaling-up targets.
  - More attention should be dedicated to extending the types of partners involved – not only multilateral, bilateral and government agencies but also private-sector entities, banks and communities themselves.
  - Scaling up is still often viewed from the perspective of justifying how a new intervention is cast in the context of a series of successive projects. Instead, project design should specify the endogenous dynamics and the elements that will leverage continued impact in the future and will be able to sustain the results even in the absence of donor money.

<sup>3</sup> Scaling up programs for the rural poor (phase 2), Global Economy and Development at Brookings, January 2013.

- Moving from a project to a country programme approach is still a challenge. Projects are often designed as stand-alone efforts with predefined horizons and limited linkages with the rest of the country's development efforts, and thus reveal modest aspirations in terms of institutional and policy changes.
- The design and implementation of grant initiatives could be more effective not only in testing innovations but in creating the spaces (learning, institutional, political) for larger interventions to grow.
- IFAD should avail itself of knowledge products that provide specific guidance on what worked in the past and how to scale up interventions thematically and at the country level.

### **Box 3: Community-driven scaling up in north-eastern India**

India's North-Eastern Region is remote, land-locked and underdeveloped. Much of the region lacks access to basic services. Coverage from banks and microfinance organizations is poor, and many areas are too remote for access by the private sector. Traditional local institutions are weak and have limited control over local resources.

In 2000, in partnership with the Government of India, IFAD funded the North-Eastern Region Community Resource Management Project for Upland Areas (NERCORMP) – the first major externally aided project. NERCORMP attempted to demonstrate the “how to” of inclusive and sustainable development, focusing on the effectiveness of community-driven approaches in promoting community-led and community-owned planning and management of development activities.

The project provided capacity-building for natural resource management groups in target villages and for self-help groups and NGO service providers. The project enabled communities to establish bank linkages, access convergence funding from other government programmes and benefit from business development and market linkages. A cluster-based approach to village selection resulted in economies of scale in produce marketing. Indigenous technologies were promoted and improved agricultural production technologies were introduced.

Following the initial successful phase of NERCORMP (2000–2008), NERCORMP II was launched in 2010 with new and additional financing from IFAD and the Government of India totalling US\$32.3 million, to reach 460 new villages with 20,826 additional households.

An opportunity for further geographic expansion was offered in 2011 with World Bank support, through the North-Eastern Rural Livelihood Project. This US\$120 million project aims to expand successful NERCORMP interventions to four new states in north-east India (Mizoram, Nagaland, Sikkim and Tripura) to benefit an additional 300,000 households in 1,642 villages.

In January 2014, NERCORMP III was launched as a six-year project funded exclusively by the Government of India, to expand NERCORMP activities to two new states (Arunachal Pradesh and Manipur), to benefit over 58,850 households in 1,177 villages with an investment of US\$90 million.

A critical dimension in the scaling-up process has been the role of the community institutions. Empowered NERCORMP community groups and federated groups are now able to access bank loans, private-sector investment, markets and services from other government programmes. This has led to community-driven scaling-up at the local level by promoting the capacity of various beneficiary groups to crowd in private sector investments.

NERCORMP's scaling-up trajectory is a best practice example of geographic and functional expansion of innovative and customized service delivery for community development, supported by adequate fiscal and financial space and effective monitoring and evaluation (M&E).

### **III. IFAD's approach to scaling up results**

8. The primary approach to operationalizing the scaling up agenda in IFAD is to continue to use the conceptual framework elaborated by the Brookings Institution,

complemented by the Management Systems International (MSI)<sup>4</sup> Management Framework, while mainstreaming scaling-up concepts into the business model in a way that it is of direct use to country teams. The MSI Management Framework provides guidance when designing/implementing scaling-up strategies and pathways, with attention to specific tasks (box 4). The main evolution of the IFAD model is to adopt a two-pronged approach that first looks at lessons learned from past interventions and answers the question: what works and what is to be scaled-up?; and second defines the pathways and the drivers that will allow results to be brought to scale in the future through the financial, policy and knowledge services that IFAD provides. Critical to this approach will be to look at scaling up from the perspectives of IFAD's clients and beyond project boundaries.

**Box 4: The MSI Management Framework for Scaling Up**

**Step 1: Develop a scaling-up plan**

- Task 1: Create a vision
- Task 2: Assess scalability
- Task 3: Fill information gaps
- Task 4: Prepare a scaling-up plan

**Step 2: Establish the preconditions for scaling up**

- Task 5: Legitimize change
- Task 6: Build a constituency
- Task 7: Realign and mobilize the needed resources

**Step 3: Implement the scaling up process**

- Task 8: Modify organizational structures
- Task 9: Coordinate action
- Task 10: Track performance and maintain momentum

9. Under this overarching institutional agenda, some of the key questions that will be answered are:
  - How can country teams design programmes and projects for scale?
  - How do country teams supervise and support implementation for scale?
  - How can IFAD build partnerships, carry out policy dialogue and manage knowledge for scale?
10. The approach will demonstrate that scaling up can be achieved if IFAD effectively uses its three main instruments of intervention – project financing, policy engagement and knowledge management. This will require a more programmatic approach to scaling up and a shift from scaling up IFAD projects to scaling up development results in the broad sense at the country level.
11. The new perspective looks beyond what a traditional project can achieve and considers projects as a vehicle for innovation, learning and leveraging systemic changes. It will explore from the outset and throughout the project cycle the potential scaling-up pathways that can ensure that a successful project is not a one-time event but rather the stepping stone (not necessarily the first) towards a wider and sustainable impact on poverty (see box 5). Some interventions may be successful in terms of demonstrating results but may prove unsustainable if the donors' funds cannot be matched by the required financial or fiscal space to sustain activities once the project ends.

<sup>4</sup> Policies, Practices and Perspectives for Taking Innovations to Scale. L. Cooley and J.F. Linn. May 2014 (Draft).

### **Box 5: Sustainability and scaling up**

The principles of scaling up and sustainability are closely linked and feed into each other. A clear assessment is needed of the key spaces and the institutional actors that will give a local initiative continuity in the absence of donor funding.

IFAD's approach to scaling up will centre on the notion that country programmes will use their leveraging capacity to ensure that impact continues beyond the project life, and will seek to ensure that the needed policy framework and the financial/fiscal resources are in place to bring results to a larger scale in a sustainable manner.

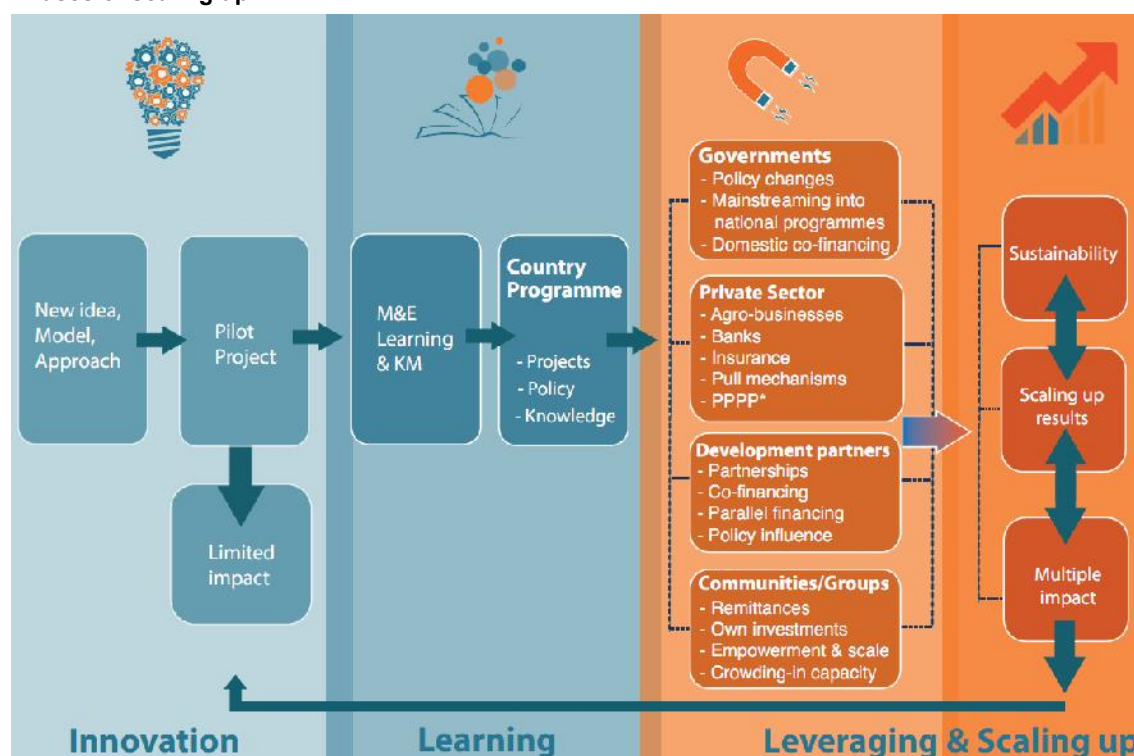
12. During the initial phase, it will be important to provide evidence that a given idea or model works and is financially sustainable, while the successive scaling-up phases will develop delivery processes and create the institutional, learning and policy conditions for consolidating typologies of projects with specific scaling-up methodologies. Conversely, tailored scaling-up modalities will be needed depending on specific country conditions (e.g. fragile, post-conflict or middle-income).
13. Mainstreaming of the scaling-up approach into IFAD operations will be pursued through the preparation of a number of tools to be completed in the course of 2015:
  - Guidance notes on how to scale up results through the thematic priority areas in which IFAD operates – rural finance, value chains, irrigation, land tenure, livestock, etc. – highlighting the common features and characteristics.
  - Illustration of three specific cases of cross-cutting themes – such as gender, climate change and nutrition – where scaling up can be embedded in IFAD's current efforts to mainstream these approaches into its portfolio.
  - Country notes of scaling-up approaches adapted to different contexts such as MICs, low-income countries and fragile states.
  - A new operational framework that will define the business processes, procedures, formats, indicators and financial instruments that IFAD should put in place to move the scaling up results agenda forward in its operations and policy engagement.

## **IV. Challenges and opportunities**

14. Scaling up results is part of a broader process of innovation, learning, leveraging and scaling up (figure 1). A new idea is typically tested through a pilot project, which requires a full evaluation. By learning from this experience, knowledge is created and disseminated. This knowledge provides the basis for a scaling-up model of adaptation, expansion and replication using IFAD's operational instruments (projects, policy and knowledge). The underpinning rationale is that the demonstrated results will leverage additional resources from governments, the private sector, development partners and rural communities themselves or lead to broader alliances and partnerships that can achieve policy changes and multiple sustainable impacts. The experience from scaling up then feeds back into new ideas and learning.



Figure 1  
Phases of scaling up



\* Public-private-producers partnerships

15. Typically, the concept of scaling up has been associated with the capacity of ODA-funded projects to be expanded in order to reach out to a greater number of beneficiaries. Such an approach has limitations in view of the fact that donors often have fixed (and sometimes declining) amounts of ODA resources allocated to any particular country. Therefore, if a scaling-up strategy is defined and measured only by what a particular donor can do with its money, it can improve project efficiency, but it will remain constrained by the fixed resource envelopes for any particular country in terms of scaling up results.
16. Beyond its own effectiveness in the scaling-up process, IFAD must also consider how to build the capacity of local stakeholders to leverage additional resources independently, based on the successful results of IFAD-supported initiatives. IFAD's role in scaling up is mostly determined by its capacity to scout for promising innovation and development initiatives, identify the right institutions of its target groups, strengthen their capacity and help them go to scale – rather than perform the functions itself.
17. The challenge in operationalizing scaling up will be to change the mindset under which IFAD operations are designed and implemented. The Fund will need to look beyond what its own money can do, to what its money can leverage. This approach may have important implications for the project design process, and particularly the results monitoring and management arrangements.
18. A defined model should be launched on a scaling-up pathway only if evidence of impact and sustainability has been gathered and measured. Moreover, it will be useful to identify which components are expected to be easily replicable and which are likely to be site-specific. If activities and their results are assumed to be site-specific, they will require further testing before being considered suitable for scaling up. Not all the initiatives supported by IFAD need to be scaled up: each case requires an informed decision on whether or not scaling up is appropriate.

### Box 6. Scaling-up terminology

**Pathways:** the sequence of steps that need to be taken, using IFAD's three main instruments of assistance (projects, policy dialogue and knowledge) to ensure that a successful intervention is taken through subsequent stages to the scale ultimately judged to be appropriate and sustainable for the intervention pursued.

**Drivers:** forces pushing the scaling-up process forward. These include local leaders or champions, external catalysts, market and community demand and incentives.

**Spaces:** the opportunities that can be created, or the potential obstacles that need to be removed to allow interventions to grow.

The extent to which drivers and spaces need to be considered varies case by case. Indeed, identifying and focusing on the core factors applicable to a particular case are fundamental for effective scaling up.

## V. Scaling-up pathways

19. Under most rural development models, scaling up will not happen spontaneously. Clear and carefully planned pathways are needed, defined with intermediate goals to measure whether the scaling-up pathways are moving in the right direction. IFAD's experience indicates that pathways to scaling up are a long, stepwise and multistakeholder process. IFAD's roles are, on one hand to identify, consolidate and refine pro-poor models and to build the capacities of rural communities to advocate for themselves; and on the other to bring to its partner governments the lessons of operational experience and assist in the scaling up of successful approaches and activities through national policies, programmes and practices.
20. For IFAD, the pathway to bringing results to scale requires the integration of three main instruments – policy engagement, projects and knowledge – as entry points for leveraging resources from other partners (national governments, the private sector, banks, other donors, etc.) or policy changes.

### Projects

21. What can be mobilized from others is greater than what IFAD can provide by itself. Instead of looking at projects in terms of what they can achieve by themselves or through a succession of phases, IFAD's projects should be seen as levers to catalyse additional funds, partnerships and policy changes, as the project results will be an incentive for further investment from the private sector (agribusinesses, banks, insurance, remittances) and through cofinancing (donors/or domestic). IFAD projects will also examine scaling up from the beneficiaries' perspective to ascertain what is needed to mobilize additional resources and capacity for an enduring and sustainable initiative – without IFAD resources and beyond the project period. Scalability will be assessed throughout the COSOP process and during project design and implementation. Project design will need to pay particular attention to the financial and fiscal sustainability of interventions.

### Policy engagement

22. The importance of policy issues varies widely according to intervention and thematic area. Enabling policies are crucial to bring operations to scale and require particular emphasis as non-conducive policies may significantly hinder project performance and scaling up. Financial policy issues, banking sector regulations, and price and market interventions are often key obstacles to scaling up in value chains and the rural finance sector. IFAD-supported projects can provide a basis for identifying policy bottlenecks and bringing to bear evidence of their impact. More broadly however, they can generate lessons as to successful approaches for rural poverty reduction, and support dialogue with policymakers and other stakeholders, with a view to integrating those approaches into national policies, institutions and strategies. They can also serve to strengthen and enhance the pro-poor focus of

public policies for rural development and their implementation, and the responsible institutions; and build the capacity of national stakeholders to participate effectively in policy processes and shape national policies.

### **Knowledge**

23. In a number of cases, money may be a lesser consideration when demonstrating that a particular innovation works and can be scaled up by governments or other donors. The knowledge agenda is particularly important in a context of diminishing public resources for development as it can leverage change by promoting best practices, lessons learned and South-South cooperation. Transfer of successful ideas from one country to another can lead to considerable development impact.<sup>5</sup> IFAD will contribute to the scaling-up agenda through its role as a knowledge broker (including through its grant programme). Pursuing scaling up through the knowledge management agenda is particularly relevant in MICs where donor money in many cases is not the major determinant of a scaling up strategy. In these cases, innovation, knowledge and learning may be the best way to mainstream IFAD interventions into national programmes. Knowledge of country contexts is equally important since scaling-up based on transferring best practice and good governance may not always work, particularly if it involves transfer of foreign institutional models to low-capacity or fragile settings.

## **VI. Drivers to scaling up**

24. IFAD projects will identify and support the key policy/institutional areas that need to be developed to reach a larger scale and the “movers and shakers” who can help in the growth process. Change constituencies will need support to become effective drivers, for example in leveraging changes in a regulatory system, sustaining participatory systems, pushing for reforms in the rural finance system, disseminating and adapting new technologies, pressing for adequate commitment for budgetary allocations, etc. Drivers typically take the form of market and community demand; incentives and accountabilities; political, private-sector or producer constituencies; and/or civil society institutions with a vision for and interest in change.

## **VII. Spaces**

25. Space has to be created for an initiative to grow and reach the desired scale in a sustainable manner. The most important spaces are: fiscal/financial; institutional/organizational; political; partnership; and cultural. Based on the type of intervention, IFAD will support the creation of the required spaces.

### **Financial/fiscal space**

26. Some scaling-up pathways are more dependent on continued financing (private, public or both). Assessing the elements that need to be taken into account during project design will be important to ensure that the scaling-up model is financially sustainable. If the sustainability is mostly fuelled by public sources, the model needs to explore the scope for mainstreaming project activities into the government’s own development programmes (mostly with respect to MICs) or to ensure more coordinated and efficient approaches by various donors. If the sustainability is to be driven by private sources, the model will need to examine the elements that are needed to ensure the right incentives for private-sector investments. If sustainability is to be driven by public-private and producers’ organizations, opportunities for public private producers partnerships will need to be considered as a driver for scaling up. Part of creating financial/fiscal space is containing or lowering costs and increasing internal cost-recovery in programmes, so as to reduce the call for outside financial resources.

<sup>5</sup> Two examples from Afghanistan of scaling-up based on knowledge from elsewhere are the National Solidarity Programme for rural development, based on a similar approach in Indonesia, and national program for basic health services which adopted an approach tried in Cambodia.

**Institutional/organizational space**

27. A key initial challenge is identifying institutions that have the potential to pursue and sustain scaling-up efforts, are socially cohesive and well integrated in the national context, and can therefore operate at scale. Institutional analysis tools have been developed in IFAD to help understand the role of different institutions at the national, regional and local level, and that of the project implementation units – and their capacity to sustain efforts beyond the projects. For an institution like IFAD, whose focus is on working with grass-roots institutions, it is important to examine to what extent local institutions (institutions “of” the poor and not only “for” the poor) can become the main drivers for scaling up.
28. If these institutions are brought to scale, with IFAD’s support, they could play the main role in setting the agenda, mobilizing resources, attracting the private sector, exercising convening authority, creating consensus for change and scaling up, and influencing policy reforms. They could also become institutions capable of providing services at a large scale.

**Political space**

29. Empowering the rural poor and their institutions to reduce their poverty and to improve their security is likely to have political implications in many countries given the implied changes to the relations of power and the distribution of wealth and income. IFAD will need to reach out to important stakeholders, both those in favour of the intervention and those against, to ensure the political support for a scaled-up intervention.
30. Similarly, momentum for change at the political level may need to be created by helping IFAD’s traditional constituencies participate in policy dialogue and consultation processes. Momentum for change can also be built by gaining sufficient legitimacy for policy changes through global coalitions, networks and partnerships.

**Partnership space**

31. Partnership space will need to be developed in virtually all thematic areas. Governments, national institutions, donors or foundations, think tanks and academics, and research and development centres are IFAD’s traditional partners. Partnerships are not primarily pursued for resource mobilization, but rather for access to knowledge, and for leveraging institutional capacity, influence and outreach. In this respect, partnering with the private sector, agribusinesses, microfinance institutions and banks, (micro) insurance schemes, the information and communications technology sector, and with promoters of innovation and technology (i.e. the Consultative Group on International Agricultural Research [CGIAR], national agricultural research systems, academics, knowledge networks) should be seen as a way of increasing opportunities for scaling up in the agriculture sector. Finally, the role of the media as a scaling-up partner should be highlighted as a highly cost-effective way to reach out to the public and build constituencies for change.

**Cultural space**

32. Possible cultural obstacles or support mechanisms need to be identified and programmes suitably adapted to permit scaling up in a culturally diverse environment. In certain circumstances, when dealing with specific groups such as indigenous peoples, women or ethnic minorities, understanding the cultural environment and context in which IFAD’s interventions operate is essential to tackling the critical factors that may impair or enhance development processes. Cultural barriers could create major obstacles to scaling up results if they are not properly identified in the course of project design or policy dialogue.

**VIII. Monitoring and evaluation**

33. Monitoring of a scaling-up pathway differs from monitoring of a traditional IFAD project. A scaling-up monitoring system needs to monitor the pathway’s

intermediate goals, rather than the defined IFAD project outputs/outcomes. But monitoring must focus not only on output, but also on whether or not the key spaces (institutional, policy, fiscal, etc.) are created to permit the scaling-up pathway to proceed. It is, in principle, possible to make IFAD project monitoring an integral part of pathway monitoring. Effective M&E is a critical component of an effective scaling-up pathway. As part of its effort to revamp its project monitoring system, IFAD will ensure that the right indicators are used when assessing project performance.

## **IX. Measuring success**

34. During the Ninth Replenishment of IFAD's Resources (IFAD9), RMF indicators have sharpened the focus on IFAD's scaling-up objectives by tracking quality at entry. A series of parameters are tracked systematically and reported in detail in the corporate management results system, including: (i) if the intervention is being scaled up or further developed from previous interventions; (ii) extent to which the project design identifies the specific models/interventions to be scaled up; (iii) extent to which the project design provides evidence that tested models/interventions are effective and efficient; (iv) extent to which the project design identifies the scale dimensions to be achieved; and (v) extent to which the project design clearly lays out how larger-scale activities will be achieved, by identifying the institutional, policy, fiscal and financial requirements (i.e. the scaling-up spaces) that need to be developed in order to work at a larger scale.
35. Less rigour is found when assessing scaling up during implementation and completion and no rating is given in the corporate management results system. Innovation and scaling up are assessed by the Annual Report on Results and Impact of IFAD Operations (ARRI) that looks at the extent to which IFAD interventions have introduced innovative approaches to rural poverty reduction and the extent to which these interventions have been (or are likely to be) replicated and scaled up by government authorities, donor organizations, the private sector and other agencies.
36. The operational framework to be developed will ascertain whether a more in-depth assessment of scaling up should be introduced in evaluations and self-assessments (project status reports and completion reports) and its reporting requirements.

## **X. Way forward**

37. IFAD will continue to institutionalize a systematic approach to scaling up results. It will achieve this by using a series of tools, guidance notes and training events, and by elaborating a new operational framework aimed at defining the business processes, financial instruments, incentives and procedures that IFAD should put in place to move the scaling-up results agenda forward, while ensuring that it has the required capacity and resources. Most of this preparatory effort will take place in the course of 2015 to ensure that the scaling-up agenda can be implemented during the IFAD10 period. The table below provides an indicative road map of how IFAD will lay the groundwork for mainstreaming the scaling-up agenda into IFAD's operations and business model in 2015 and beyond.

## Road map for mainstreaming the scaling-up agenda

<i>Action</i>	<i>Description</i>	<i>Time frame</i>
Preparation of guidance notes on scaling up	A toolkit of about 10 thematic notes* and 10 country briefs on scaling up, providing practical information to guide IFAD staff involved in the design, monitoring and supervision of IFAD-funded programmes and projects on how to scale up interventions specifically by thematic area (as scaling-up pathways are business-line specific) and in different country contexts.	October 2014
Learning events	Specific training sessions provided to IFAD country teams or integrated with other training (direct design, supervision, etc.).	Throughout all training
Develop an operational framework	Business processes, financial instruments, incentives and procedures in place to move the scaling-up results agenda forward.	March 2015
Possible revisions to processes/procedures	Based on the operational framework IFAD may need to revise processes/procedures (i.e. COSOP guidelines, the project design report template, QA/QE processes, supervision, M&E, etc.)	2015
Development of training and course materials	Based on the operational framework, cross-cutting analysis and case studies, professional trainers will develop course material and training modules for IFAD staff, country teams, project teams and consultants.	2015
Review of monitoring and evaluation	IFAD's M&E experts will review M&E practices and guidelines and develop approaches that effectively address the scaling-up dimension.	2015
Harnessing knowledge	As scaling-up experiments and initiatives will be pursued by several divisions/departments, a knowledge management (KM) approach that captures and disseminates these experiences in a systematic manner will be developed.	Continuous
Implementation of the operational framework	Design, implement and monitor country programmes based on the new operational framework for scaling up results.	2015 and beyond
Deploying grants in support of scaling up	The revised IFAD Policy on Grant Financing will include scaling up considerations as a key selection criterion.	2015 and beyond

\* Subjects of thematic notes include: (i) climate resilience, (ii) financial inclusion, (iii) gender, (iv) water for food, (v) land tenure, (vi) livestock, (vii) nutrition, (viii) remittances, (ix) smallholder institutions; and (x) value chain development.