

AF-TERG

Thematic evaluation of scalability concepts and practice at the Adaptation Fund



*Indigenous leaders and their communities manage nurseries for reforestation
(Photo by WFP/Daniel Torres)*



Technical Evaluation
Reference Group
ADAPTATION FUND

21 January 2025

This final report of the thematic evaluation on the scalability concepts and practice of the Adaptation Fund was produced by the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) as part of the group's strategy and initial work programme covering the period 2021-2024. Special recognition is given to the evaluation team led by Martin Rokitzki, an external consultant and the AF-TERG Secretariat Evaluation Analyst Mariana Vidal Merino. Their numerous contributions in terms of content and methodology significantly enhanced the quality of this study.

Susan Legro, an AF-TERG member, provided overall guidance and oversight throughout the last phase of the drafting process. Special thanks are also extended to Christine Woerlen, AF-TERG member in the period July 2023 - June 2024, as well as all members of the AF-TERG and its secretariat, Adaptation Fund Board, the Board secretariat, and all other stakeholders who provided support in the delivery and finalization of this evaluation.

Feedback is welcome and can be sent to AF-TERG-SEC@adaptation-fund.org.

The Adaptation Fund was established through decisions by the Parties to the United Nations Framework Convention for Climate Change and its Kyoto Protocol to finance concrete adaptation projects and programmes in developing countries that are particularly vulnerable to the adverse effects of climate change. At the Katowice Climate Conference in December 2018, the Parties to the Paris Agreement decided that the Adaptation Fund shall also serve the Paris Agreement. The Fund supports country-driven projects and programmes, innovation, and global learning for effective adaptation. All of the Fund's activities are designed to build national and local adaptive capacities while reaching and engaging the most vulnerable groups, and to integrate gender consideration to provide equal opportunity to access and benefit from the Fund's resources. They are also aimed at enhancing synergies with other sources of climate finance, while creating models that can be replicated or scaled up. www.adaptation-fund.org

The Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) is an independent evaluation advisory group accountable to the Board. It was established in 2018 to ensure the independent implementation of the Fund's evaluation framework, which will be succeeded by the new evaluation policy from October 2023 onwards. The AF provides an evaluative advisory role through performing evaluative, advisory and oversight functions. The group is comprised of independent experts in evaluation, called the AF-TERG members. A full-time secretariat led by a Coordinator/Senior Evaluation Officer provides daily support for the implementation of evaluative and advisory activities as part of the work programme. While independent of the operations of the Adaptation Fund, the aim of the AF-TERG is to add value to the Fund's work through independent monitoring, evaluation, and learning, www.adaptation-fund.org/about/evaluation/

© Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG)

Reproduction permitted provided source is acknowledged. Please reference the work as follows: AF-TERG, 2024. Rapid Evaluation of the Adaptation Fund. Adaptation Fund Technical Evaluation Reference Group (AF-TERG), Washington, DC.





1. Introduction	1
2. Methodology	5
2.1 Scoping exercise	5
2.2 Landscape review.....	6
2.3 Institutional infrastructure and readiness	7
2.4 Portfolio analysis.....	7
2.4.1 Sample selection	8
2.4.2 Limitations.....	8
3. Towards a common understanding of scaling.....	10
3.1 Defining scaling in relation to climate change adaptation.....	10
4. The Adaptation Fund’s Institutional infrastructure and readiness	16
4.1 The Adaptation Fund’s journey in view of scaling.....	16
4.2 The Adaptation Fund’s mechanism to enable scaling	17
4.2.1 Financial mechanism to enable scaling.....	19
4.2.2 Complementarity, coherence and coordination with other funds.....	21
4.3 Scaling in the Adaptation Fund’s operating policies and guidelines	22
4.3.1 Ex ante guidance.....	22
4.3.2 Monitoring and evaluation	24
4.4 Scaled-up projects in the Fund portfolio.....	25
5. Portfolio analysis – focus on scaling at a project level	28
5.1 Planning for scaling: focus on project design	28
5.1.1 Stages of scaling supported by AF projects.....	28
5.1.2 Characteristics of the Fund’s financial support to piloting and scaling	30
5.1.3 Planned activities in support of piloting and scaling	32
5.1.4 Sequencing scaling	33
5.2 Mid-term and final project evaluations.....	37
5.2.1 Enabling conditions/factors for the successful adoption of interventions related to piloting technologies, practices and processes.....	37

Table of Contents



5.2.2 Factors hindering the adoption of interventions related to piloting and scaling...	38
5.2.3 Sustainability of scaling interventions	40
5.2.4 Recommendations for scaling in project evaluations	41
6. Appendix I. Conclusions and recommendations of AF knowledge product “Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes”	48
7. Appendix II: Scaling pathways – how does scaling happen?	53
7.1.1 The Role of pilot projects and questionable evidence for piloting success as an initial stage of scaling	53
7.1.2 Scaling pathways relating to system and transformational change (scaling out and deep)	56
7.2 Scaling driven by increase in investment and financial instruments	59
7.3 Scaling beyond increases in investment and new financial instruments and modalities – non-financial instruments and approaches	63
7.4 Planning and managing scaling processes	64
7.5 Defining scaling in relation to innovation	66
7.6 The role of evidence and learning in scaling processes	68
8. Appendix III. Landscape review	72
8.1 Embedding scaling and scalability considerations at institutional and strategy level	73
8.2 Experiences and approaches in view of scaling pathways and barriers	76
8.3 Monitoring, evaluating and learning about scaling	78
8.4 Enablers of scaling that funders and funding institutions can influence	79
9. Appendix IV. Landscape review – guide for semi-structured interviews and list of institutions consulted	82
10. Appendix V. Structure and main characteristics of the sample of reviewed projects	86
11. Appendix VI. Recommendations for scaling as stated in Adaptation Fund project evaluation documents	88
12. Appendix VII. References	90



List of Figures

Figure 1. Types of adaptation (source: Biagini et al., 2014)	12
Figure 2. A framework considering principles, actions and outcomes that can be used as a basis for assessing actual or likely adaptation effectiveness/“impact” (source: UNEP, 2022)	13
Figure 3. Framework (source: Riddell et al., 2015)	14
Figure 4. Different visualization of framework (source: Riddell et al., 2015)	14
Figure 5. Framework (source: Zheng, 2022)	14
Figure 6. Framework (source: Riddell et al., 2015, as cited in Tulloch, 2018)	14
Figure 7. Adaptation Fund funding windows (source: adapted from Adaptation Fund 2022b).....	21
Figure 8. Stages of scaling supported by AF projects*	28
Figure 9. Planned activities to support projects that included piloting activities (n= 18) and scaling activities (n=4) in Fund-supported projects*	32
Figure 10. Enabling conditions and factors for piloting interventions in AF projects (n=11).....	38
Figure 11. The role of pilot projects in policy development theories (source: Vreugdenhil et al., 2010)	54
Figure 12. Climate innovations mapped across system elements (source: EIT Climate-KIC, 2017).....	57
Figure 13. Key components of a systematic scaling pathway (source: Cooley and Linn, 2014).....	59
Figure 14. Scaling model used by CGIAR (source: CGIAR, 2016)	64
Figure 15. Graphic view of scaling up process (source: Cooley and Linn, 2014).....	65
Figure 16. Innovation cycle typical for commercially focused and business-driven outcomes (source: Dorn, 2021)	66
Figure 17. Social innovation cycle (source: Sarkki et al., 2021)	67
Figure 18. The emergence of social inclusive open innovation (source: Gupta et al., 2017)	67
Figure 19. The links of innovation, learning and scaling up (source: Cooley and Linn, 2014).....	69
Figure 20. Framework for scaling up impact in the GEF and corresponding measurement indicators (source: GEF, 2018)	74
Figure 21. “S-curve” model using dimensions to track transformational change in climate action (source: CIF, 2021)	76

List of Tables

Table 1. Adaptation Fund projects that have been scaled up by other funds (non-comprehensive).....	26
Table 2. Implementation sequence of scaling actions in reviewed projects (n=21; N=143).....	33
Table 3. Scaling supported by GEF and other institutions (source: GEF, 2019)	81
Table 4. List of institutions consulted	85
Table 5. Recommendations for scaling as stated in project evaluation documents	88

List of Boxes

Box I. Adaptation Fund mission statement	17
Box II. Selected examples of projects piloting adaptation technologies, processes and practices.....	29

Acronyms



AF-TERG	Technical Evaluation Reference Group of the Adaptation Fund
The Board	Adaptation Fund Board
AFB Secretariat	Adaptation Fund Board Secretariat
AFCIA	Adaptation Fund Climate Innovation Accelerator
BMGF	Bill and Melinda Gates Foundation
CCA	Climate change adaptation
CGIAR	Consultative Group on International Agricultural Research
CIF	Climate Investment Funds
CIMMYT	International Maize and Wheat Improvement Center
CSE	Centre de Suivi Ecologique
CSIS	Center for Strategic and International Studies
CSR	Corporate Social Responsibility
CTCN	Climate Technology Centre and Network
DA	Direct Access modality
DFI	Development Finance Institution
DFID	Department for International Development, UK government
DIV	Development Innovation Ventures, USAID
EDA	Enhanced Direct Access modality
EE	Executing Entity
EFC	Ethics and Finance Committee
EIT	European Institute of Innovation and Technology
EIT Climate-KIC	European Institute of Innovation and Technology's Climate Knowledge and Innovation Community
ER	Expected result
ESG	Environmental and Social Governance
EU	European Union
The Fund	Adaptation Fund
GCA	Global Center on Adaptation
GCF	Green Climate Fund
GEF	Global Environment Facility
GEF IEU	Global Environment Facility Independent Evaluation Unit
GIF	Global Innovation Fund
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
IE	Implementing Entity (incl. MIE, RIE and NIE)

Acronyms



IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IP	Implementation plan
IPCC	Intergovernmental Panel on Climate Change
LDCF	Least Developed Countries Fund
MDB	Multilateral development banks
MEL	Monitoring, evaluation and learning
MFI	Monetary Finance Institution
MIE	Multilateral implementing entity
MTS	Medium-Term Strategy
NGO	Non-governmental organization
NIE	National implementing entity
OECD	Organisation for Economic Co-operation and Development
PFG	Project formulation grant
PPP	Public–private partnership
PPR	Project performance reports
PPRC	Project/Programme Review Committee
REI	Regional implementing entity
R&D	Research and development
SCCF	Special Climate Change Fund
SDGs	Sustainable Development Goals
SF	Strategic focus
SGP	Small grants programme
SME	Small and Medium-Sized Enterprise
SRF	Strategic results framework
SUM	Scaling Up Management Framework
TE	Thematic evaluation
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	The United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
USAID	U.S. Agency for International Development
WFP	World Food Programme
WHO	World Health Organization
WWF	World Wildlife Fund

1. Introduction



The AF-TERG Thematic Evaluation of scalability at the Adaptation Fund is one of three thematic evaluations identified as part of the AF-TERG's first multi-year work programme, determined through a process of consultation with key Fund stakeholders.¹

The concept of scaling is embedded in the Fund's mission (MTS II, p. 1), which states that "All of the Fund's activities are designed to promote locally based or locally led action, enhance access to climate finance and long-term institutional capacities, empower and benefit the most vulnerable people and communities as agents of change, advance gender equality, *encourage and enable the scaling and replication of results*, and strengthen complementarity, coherence, and synergies with other adaptation funders and actors" [evaluator's emphasis]. In the MTS II, the Fund introduces "a cross-cutting strategic emphasis on promoting locally based and locally led adaptation as well as on *scaling up funded activities and results*." (MTSII, p. 2) [evaluator's emphasis].

The MTS II seeks to increase ambition in each of the Fund's three strategic pillars, and the desired outcome of the Action pillar specifically notes that adaptation projects should be scalable, including the output "Evidence for effective action generated and results replicated and scaled up." (MTS II Implementation Plan, p.6). Scaling is also one of the six cross-cutting themes in the MTS II, phrased as "Enable the scaling and replication of results." In addition to references to scaling in all three action pillars of the MTS II, the fund has a dedicated funding window for scale-up grants.

Scalability is also included in the Fund's evaluation policy (AF 2022d) as one of the nine evaluation criteria used by the Fund. The evaluation policy (EP) defines scalability as "the extent to which the intervention demonstrates that climate change adaptation can be increased or replicated at a broader scale, as well as in other contexts."

The Fund supports country-driven projects and programmes, innovation and global learning for effective adaptation. All of the Fund's activities are designed to build national and local adaptive capacities while reaching and engaging the most vulnerable groups, and to integrate gender consideration to provide equal opportunity to access and benefit from the Fund's resources. They are

1. The other two thematic evaluations are the thematic evaluation on innovation (AFB/EFC.30/10, 06 October 2022) and the thematic evaluation on accreditation (AFB/EFC.33/Inf.4).

also aimed at enhancing synergies with other sources of climate finance while creating models that can be replicated or scaled up.

The Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) is an independent evaluation advisory group accountable to the Adaptation Fund Board (hereafter “the Board”), established in 2018 to ensure the independent implementation of the Fund’s evaluation framework. The first AF-TERG strategy and work programme was approved intersessionally in June 2020, between the first and second part of its thirty-fifth meeting. Having considered the document AFB/EFC.26.a-26.b/3 and the recommendation by the Ethics and Finance Committee, the Board decided to approve the draft strategy and work programme of the AF-TERG contained in Annex I of the document AFB/EFC.26.a-26.b/3 (Decision B.35.a-35.b/29).

The AF-TERG Strategy and Work-Programme (Workstream 1) focuses on the review and evaluation of the Medium-Term Strategy (MTS), thematic evaluations and the overall model and performance of the Fund, centred around the core features and niche of the Fund. Thematic evaluations of Fund performance will provide perspectives on core features of the AF, such as the country-driven and innovative character of Fund operations with a view to assessing the potential for scale-up and longer-term impact.

This thematic evaluation constitutes an assessment of the experience on how the concept of scalability is applied by the Fund as well as examples of climate change actions that have achieved scalable impacts. The rationale for the evaluation of scalability of Fund projects is as follows:

- a) Identify elements of scalability in the Fund portfolio and assess its approach to scalability given (i) the urgency to scale up responses to climate change impacts and (ii) the need to understand factors that support successful scaling;
- b) Provide lessons on contributing and hindering factors towards project scalability, to further inform the potential for scalability of current and future projects supported by the Fund;
- c) Feed into the mid-term review of the MTS II.

The contents of the thematic evaluation include a portfolio assessment, a literature review, and a landscape review. For the portfolio assessment, the team used a random stratified sample of projects in the Fund’s portfolio. The

evaluation team first looked at project documents to see how Accredited Entities planned for scaling at project design. It then looked at mid-term and final project evaluations as the main sources of evidence. Findings were triangulated with evidence drawn from interviews with the Fund's secretariat and previous studies by the Fund and the AF-TERG. The selection of projects in both cases was made following a stratified random sampling approach.

The evaluation was further informed by an AF knowledge product *Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes* (AF 2022b). The study aimed to understand enabling conditions, best practices, and challenges to the scaling up of adaptation interventions at the Fund; key findings are included as Appendix I of this report.

This thematic evaluation seeks to broaden the examination of scaling at the Fund; update information provided in the knowledge product; and summarize definitional, strategic, and operational considerations related to scaling that may inform policy and programming. There are two streams to the evaluation. The first one is to look at past and current experience within the Fund and others working on assessing and increasing scalability of climate change adaptation (CCA) projects and programs, and feeds into the second stream. The second one is a forward-looking one, to provide recommendations to the ongoing discussion on scalability at the Fund.

The ultimate objective is to derive lessons about the Fund's efforts and progress in the design and delivery of projects that are scalable and to look at the performance of the investments made by the Board for this purpose. It is also the goal of this evaluation to bring external experiences on the scalability of CCA projects to the Fund. Specifically, the study seeks to address the following objectives:

- To learn from the Fund's concrete adaptation actions, their ex ante elements to support replicability and scalability, and assessed ex post performance in those areas to date, including the financial instruments used when scaling;
- To identify contributory factors to project scalability, such as those evidenced in highly rated projects;
- To assess how current Fund monitoring and evaluation indicators, tools and processes serve Parties to the Paris Agreement by accelerating and enhancing the quality of adaptation action in

developing countries;

- To learn from other multilateral climate finance mechanisms such as the Green Climate Fund (GCF), the Climate Investment Funds (CIFs), and the Global Environment Facility (GEF) as well as design requirements and characteristics of other funds' scalable and replicable projects;
- To look at synergies and complementarities between the Fund and other funding streams for fostering scalability. To provide strategic recommendations (with relevant stakeholders) to inform strategic and operational Board decisions related to scalability in the Fund.

2. Methodology



This section presents the series of tasks conducted to support the analytical work undertaken as part of the evaluation. The results of the study are shown in the subsequent chapters.

Given the lack of a common understanding of scaling definitions and processes within the Fund and across the Fund's partnerships, projects and programmes that aim to contribute to specific phases of the scaling processes have not been specifically labelled or tracked as such in the Fund's project management system. Due to this, this evaluation is not focused on the degree to which the Fund has (or has not) pursued scaling via its projects and programmes and instead assessed:

- a) whether and how scaling is incorporated into the design of the Fund's projects.
- b) whether and how the Fund has contributed to scaling processes via its projects.

The focus of this evaluation is on (b), while the interconnectedness with (a) cannot be completely ignored. The evaluation was further informed by an AF knowledge product, *Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes*, which was published in October 2022. This study aimed to understand enabling conditions, best practices, and challenges to the scaling up of adaptation interventions. It sought to generate and share knowledge on incentives and benefits of scaling up successful smaller pilot projects financed by one fund, with resources from other entities. The study also put forward recommendations how the Fund and its partners can continue to scale up adaptation activities.

2.1 Scoping exercise

At present, there is not a common definition of scaling and/or scalability used by the Adaptation Fund. However, scalability is one of the criteria for evaluation under the evaluation policy (EP) of the Fund. The EP defines scalability as "the extent to which the intervention demonstrates that CCA can be increased or replicated at a broader scale, as well as in other contexts."

As the 2022 knowledge product produced by the AFB secretariat noted,

“...scaling up adaptation interventions means increasing the impact of climate change adaptation innovations, policies, programmes, and projects successfully tested in pilots by extending their outreach to more people, in different places over time, and ensuring this deliberate expansion is done sustainably by adapting to local context and fostering policy change and programme development on a lasting basis.” (AF 2022b).

For this reason, the first step in the process of the thematic evaluation was a scoping exercise that focused on how scaling is understood in climate change adaptation. A summary of this information is covered in Chapter 3, and additional information on scaling pathways and relationships between scaling, innovation, and learning are provided as Appendix II.

2.2 Landscape review

The landscape review was based on consultations with relevant individuals and organizations working on scalability from inside and outside the Fund. The purpose of the semi-structured interviews comprised (a) the collection of experience-based intelligence on scaling; and (b) the collection of good practice examples. They were structured along six key themes:

1. Definitions, objectives, targets and accountability mechanisms related to scaling and scalability at institutional level
2. Operational experiences in view of scaling pathways, barriers and results
3. Roles and responsibilities of different actors in scaling processes (implementers, financiers/ investors, policymakers etc.)
4. Planning and management of scaling processes
5. Monitoring and evaluation of scaling
6. Enablers of scaling that funders/ funding institutions can influence – financial and non-financial instruments, mechanisms and support

The list of consultees encompasses individuals from evaluation or programming units of the Adaptation Fund secretariat, the Bill & Melinda Gates Foundation (BMGF), the CIF, the GEF, the Green Climate Fund (GCF) and the International Fund for Agricultural Development (IFAD).

In addition, many documents (partly provided by consultees) from the above-mentioned funders were reviewed in view of the six key themes in order to triangulate findings and observations.

The summary of findings from the landscape review and the interview guide used are included in Appendix III and Appendix IV, respectively.

2.3 Institutional infrastructure and readiness

This section analyses the Fund's approach and support to scaling as indicated in its strategic documents, operational guidelines and evaluation framework. The information collected via desk review was complemented and triangulated with expert opinion. The list of actors consulted can be found in Appendix III.

2.4 Portfolio analysis

This section assesses the Fund's support to scaling adaptation practices, methods and technologies via its projects and programmes, particularly those from the Regular/Action² and Innovation funding windows.

As there is not an official definition of scaling at the Fund, the evaluation looked at commonly accepted phases of scaling. The portfolio analysis treats scaling as a process, distinguishing three phases:

1. Piloting (proof of concept, testing)
2. Piloting for scaling (demonstrating)
3. Scaling (mainstreaming, replicating, expanding transformational impact)

With that understanding, the evaluation looked at the projects sampled to determine the stage(s) of scaling at which the projects provided support. All projects fell within at least one phase of scaling. Although there are more granular definitions of scaling stages in the literature, the evaluation purposely selected broader categories that fit into most definitions of scalability. This also facilitated the identification of stages within specific projects.

The underlying assumption is that projects and programmes will typically plan for interventions that fall within one or more phases of the scaling process. An

2. Excluding readiness grants

average correspondence of the scaling phases and the scaling-related rationale of the funding windows is also expected (see Table 5).

Given the lack of a common understanding of scaling definitions and processes within the Fund and across the Fund's partnerships, projects and programmes that aim to contribute to specific phases of the scaling processes have not been specifically labelled or tracked as such in the Fund's project management system. As stated above, this exercise assessed whether and how scaling is incorporated into the design of the Fund's projects; and whether and how the Fund has contributed to scaling processes via its projects.

For the first assessment, the evaluation team looked at project documents to see how Accredited Entities plan for scaling at project design. The second one looked at mid-term and final project evaluations as main sources of evidence. Findings were triangulated with evidence drawn from interviews with the Fund's secretariat and previous studies by the Fund and the AF-TERG.

2.4.1 Sample selection

The selection of projects for both assessments was made following a stratified random sampling approach composed of the following steps:

To assess (i) if and how scaling is incorporated into the design of Fund projects, all approved projects and programmes³ were first divided into clusters based on the implementation region. Then a random sample of 15 per cent was taken from each group, resulting in a selection of 21 projects for the analysis. The sampling method allowed the analysis to include an equal representation of projects from all regions. If the project document of a selected project was unavailable, the project was replaced by a new one randomly chosen from the same cluster.

The assessment of (ii) whether and how the Fund has contributed to scaling processes via its projects was done by looking at project evaluation documents. All projects with a mid-term and/or final evaluation were considered potential units for the analysis. Here again, projects were first divided into clusters based on implementation region and from each cluster, a

3. Action/Regular and Innovation grants excluding readiness grants. As of 3 June 2023. The database of projects was accessed via the Adaptation Fund website. Available at: <https://www.adaptation-fund.org/projects-programmes/project-information/projects-table-view/>

random sample of 30 per cent was drawn. The final sample was composed of 15 projects.

Appendix V presents the structure and main characteristics of both samples.

2.4.2 Limitations

The selected cases are not statistically representative of the Adaptation Fund project portfolio; as such, no findings regarding the extent to which the Fund has effectively supported scaling across its portfolio can be drawn.

3. Towards a common understanding of scaling



At present, there is not a common definition of scaling and/or scalability used by the Adaptation Fund. However, scalability is one of the criteria for evaluation under the evaluation policy (EP) of the Fund. The EP defines scalability as “the extent to which the intervention demonstrates that CCA can be increased or replicated at a broader scale, as well as in other contexts.”

As the 2022 knowledge product produced by the AFB secretariat noted, “...scaling up adaptation interventions means increasing the impact of climate change adaptation innovations, policies, programmes, and projects successfully tested in pilots by extending their outreach to more people, in different places over time, and ensuring this deliberate expansion is done sustainably by adapting to local context and fostering policy change and programme development on a lasting basis.” (AF 2022b).

This section identifies key elements and definitions related to scaling that fed into the evaluation. Rather than adopting a specific definition or categorization of scaling, this section outlines the conceptual and operational similarities and differences found in the literature.

This section is organized as follows. To define the concept of scaling in the sphere of development and specifically of climate adaptation, section 2.1 and 2.2 elaborate on the interconnections between scaling, adaptation impact and innovation. It further outlines how scaling “happens” and the related pathways (section 2.3), using financial (section 2.4) and non-financial instruments (section 2.5). It continues to showcase aspects that relate to the planning and management of scaling processes (section 2.6), before outlining the role of evidence and learning, including monitoring and evaluation. Last, section 2.7 presents the role, types and characteristics of a range of actors in scaling processes.

3.1 Defining scaling in relation to climate change adaptation

There is no universally agreed definition of scaling and scalability found in the literature. The term “scaling” is usually used with reference to other terms such as:

- scaling up/ out/ deep
- replication

- expansion
- going to scale
- extension
- transformation/ transformational change
- system change

There are three types of scaling concepts that tend to dominate the literature (Riddell et al. (2015):

- Scaling up consists of shifting the laws and policies of systems in order to either remove oppressive precepts, or to introduce game-changing rules that will bring social benefit to large numbers of people.
- Scaling out is about growing or replicating a solution to other geographic areas, including lateral scaling to new target populations.
- Scaling deep involves activations intended to promote transformation at the sociocultural level of individuals, organizations or communities.

These three conceptual models of scale are not exhaustive and there are additional ways to think about scale (see also Figures 3 to 6). Tulloch (2018), for example, adds conceptual models, such as:

- Scree-scaling: This conception of scale is less about growing and spreading single solutions and more about legitimizing and cultivating many “small” ones. It represents the view that system change is less likely to occur as a result of a few big ideas than by the accumulation of many little ones. It relates to certain levels of concepts around incremental and transformational adaptation.
- Scaling initial conditions: Within the private sector, there are a range of public and private mechanisms to support and scale innovation – access to capital, data, talent and connectivity (knowledge dissemination and networking).

However, no matter what definition of scaling is applied in a particular context, it usually implies moving from a small to a larger impact. Given the breadth of

types of impact spheres of adaptation actions, including their principles and related outcomes as presented in Figure 2, the relationship of these rather loosely defined terms is conceptually challenging.

Given that the Fund covers a wide range of adaptation solutions and categories (see Figure 1), characteristics of impact pathways and hence, scaling pathways are likely to be significantly different across these categories. Consequently, the complexity and variety of pathways from a small to a larger impact are almost impossible to summarize into generic statements that would encompass the majority of cases and contexts.

Figure 1. Types of adaptation (source: Biagini et al., 2014)

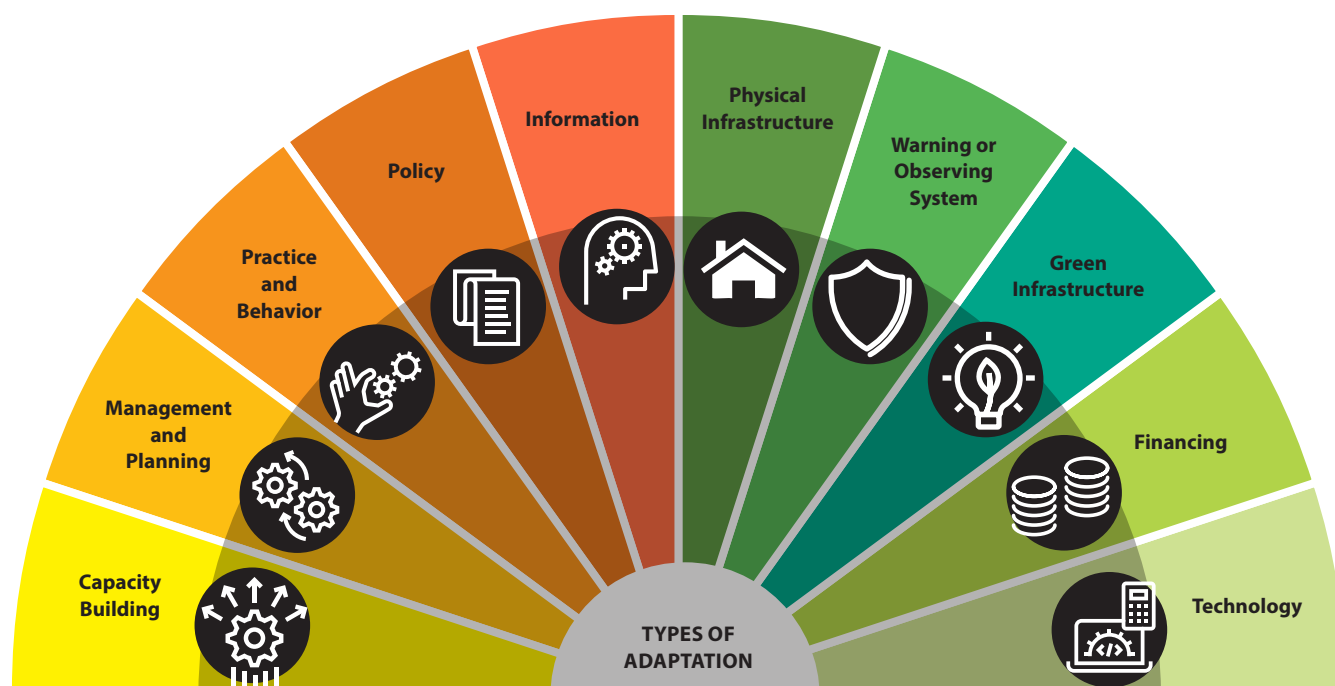
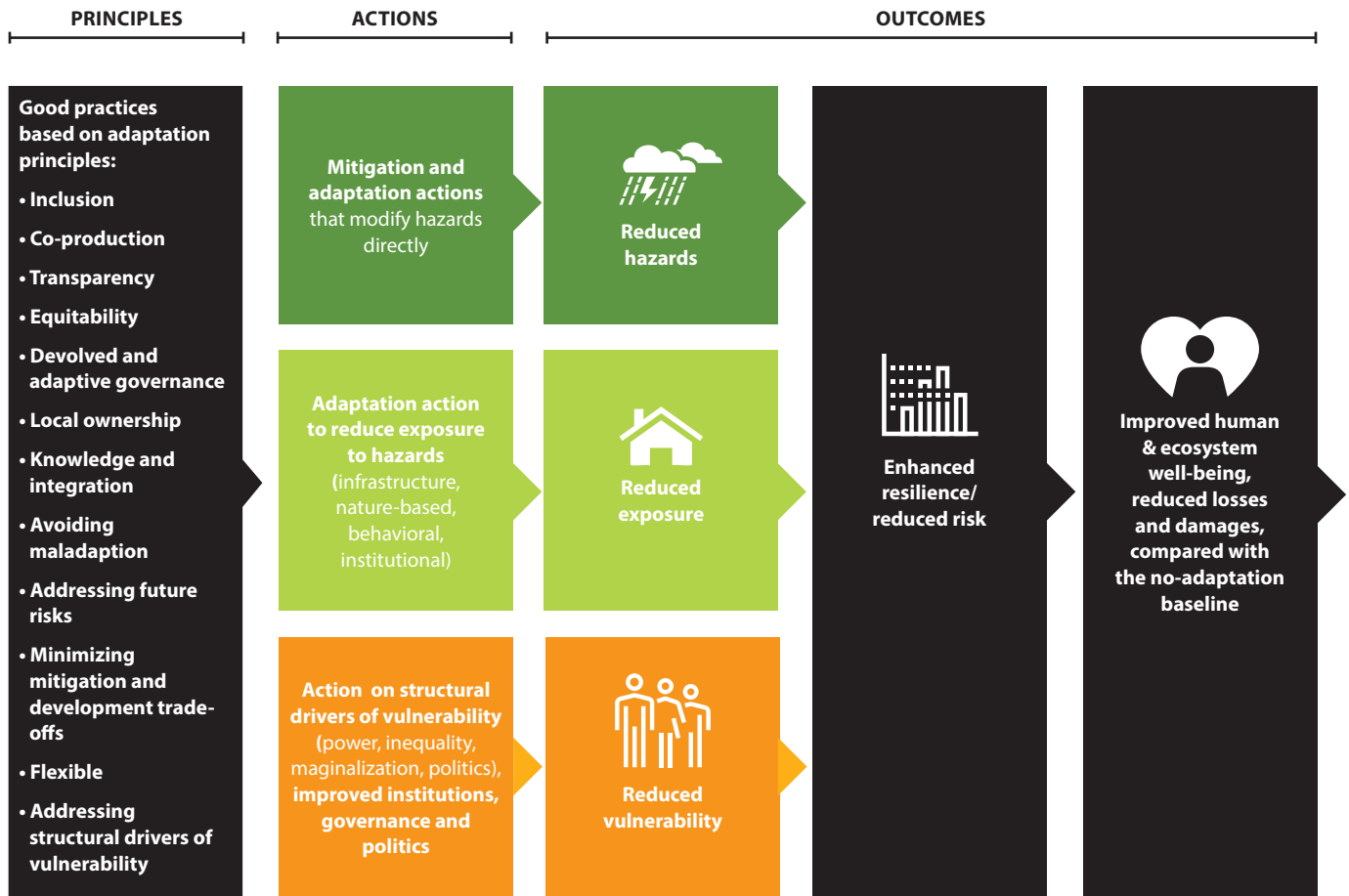


Figure 2. A framework considering principles, actions and outcomes that can be used as a basis for assessing actual or likely adaptation effectiveness/“impact” (source: UNEP, 2022)



Overall, there are many classifications regarding different dimensions of scaling and their interactions (McLean and Gargani, 2019).

Figure 3. Framework (Source: Riddell et al., 2015)

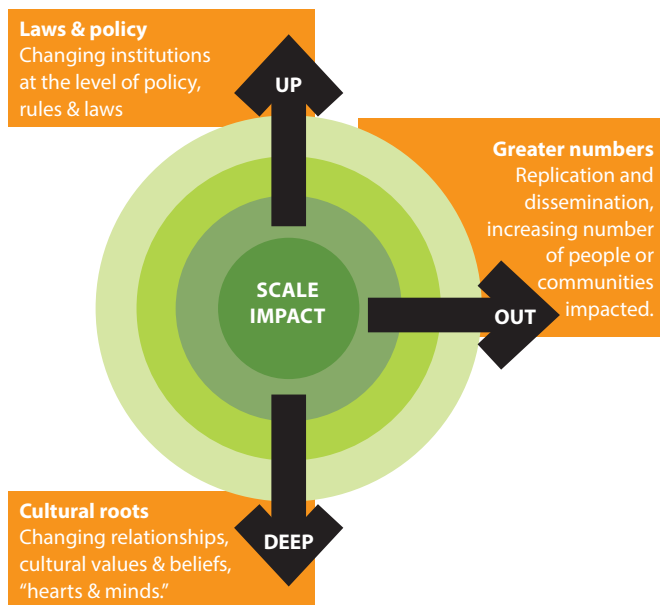


Figure 4. Different visualization of framework (Source: Riddell et al., 2015)

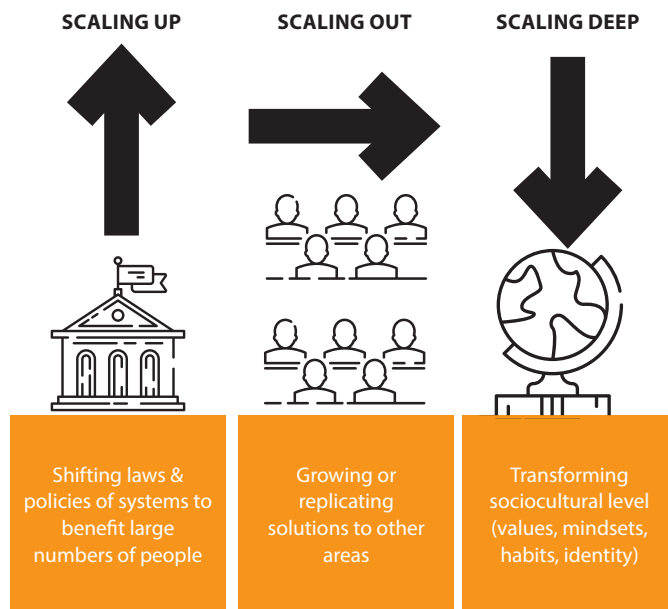


Figure 5. Framework (Source: Zheng, 2022)

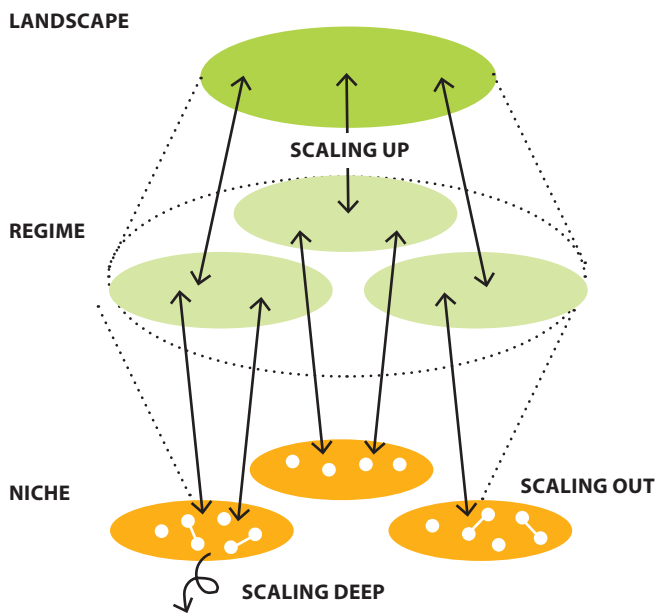
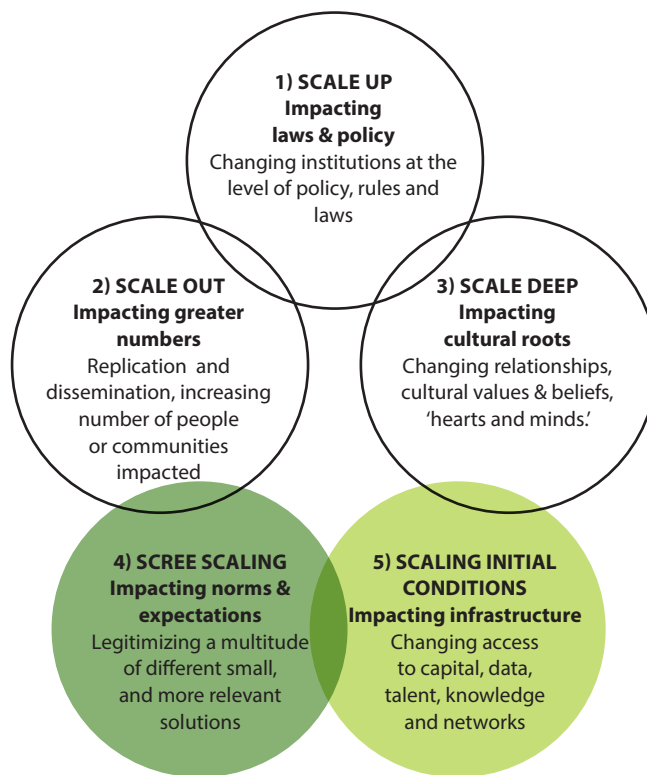


Figure 6. Framework (Source: Riddell et al., 2015, as cited in Tulloch, 2018)



There are also rare cases of “deliberate” scaling back. Incorporating evidence into decision-making is not only about scaling ‘up’ effective projects. Results that show a programme doesn’t work can be just as critical. We can learn a great deal from null results⁴ : They can change our beliefs or reveal implementation issues, and learning why an adaptation project was not effective can be equally important for policy. Scaling down, changing, or deciding to not scale up an intervention that has been shown to have null or negative effects can free up valuable time and resources and create the opportunity to try something new. Hence, not scaling up, out or deep should also be considered a deliberate programming and investment decision.

Interestingly, one aspect of enhancing, and hence scaling impact, of publicly funded adaptation projects and programmes is largely underrepresented in the literature about scaling concepts: cost-effectiveness or cost-efficiency.

Additional information on scaling pathways, defining scaling in relation to innovation, and the role of evidence and learning in scaling processes is provided as Appendix II of this document.

4. Null results are results with either no impact or an unreliable estimate of impact on project achievement or other outcomes relevant to the intervention strategy.

Jacob, R.T., Doolittle, F., Kemple, J. and Sommers, M. (2019). A Framework for Learning From Null Results. *Educational Researcher*, 48(9), pp.580-589. Available at: <https://youthpolicylab.umich.edu/uploads/a-framework-for-learning-from-null-results-robin-jacob.pdf>. Accessed 17 August 2023

4. The Adaptation Fund's institutional infrastructure and readiness



4.1 The Adaptation Fund's journey in view of scaling

Since its inception, the Fund has positioned itself in the broader adaptation finance landscape as a supporter of projects and programmes of up to US\$ 10 million for a single-country project or US\$ 14 million for a regional programme. By supporting “starter” projects, the Fund has set its focus on piloting, demonstrating and developing adaptation measures that might be later on scaled up by others. At the same time, by providing readiness support and implementing small-scale projects, the Fund seeks to strengthen the technical and institutional capacities of its national implementing entities (NIEs), thereby preparing them to access larger amounts of adaptation finance.⁵

At its thirtieth meeting, the Board adopted the Fund's first Medium-Term Strategy for 2018 to 2022 (MTS 2018-2022), the predecessor to the current strategy. The first MTS outlined different strategic pathways to scaling the Fund's projects and programmes. On the one hand, the Fund supported eligible Parties to develop innovative adaptation practices, tools and technologies and increase their readiness to scale up effective action with support from other climate funds and finance channels.⁶ On the other hand, the Fund also supported the design and implementation of projects and programmes to scale up innovative adaptation practices, tools and technologies that have demonstrated viability at a small scale.⁷ Thus, the Fund not only sought to support the early stages of the scaling process but various later stages depending on the operational level and feedback loops. The Implementation Plan of the MTS 2018-2022 further acknowledged this by stating that “the Fund may in some cases offer the opportunity of replicating or scaling up activities by others with relatively fewer resources, and in other cases offer its own experiences to other funds that may scale up activities piloted by the Fund.”⁸ The mid-term review of the MTS assessed the design of the strategy as “appropriate to generating timely lessons about effective approaches to adaptation finance, especially with regards to “direct

5. Adaptation Fund (2017a). AFB/B.30/.5/Rev.1. Medium-Term Strategy of the Adaptation Fund for the years 2018-2022. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2018/03/Medium-Term-Strategy-2018-2022-final-03.01-1.pdf>

6. Ibid., p. 19. See Strategic Focus 1, Expected Result R3

7. Ibid., p. 20. See Strategic Focus 2, Expected Result ER2

8. Adaptation Fund. (n.d.). AFB/B.31/5/Rev.1. Paragraph 21. Available at: <https://www.adaptation-fund.org/document/implementation-plan-medium-term-strategy/>

access,” and scalable and replicable action benefiting the most vulnerable communities and social groups” and that it “supports pilot activities with substantial potential for scaling up impact at subnational, national and regional levels.”⁹

The new Medium-Term Strategy (MTS II) for 2023 to 2027, approved at the Fund’s thirty-ninth Board meeting, provides continuity to the strategic direction set by the previous MTS regarding scaling and reinforces it by adding one cross-cutting theme focused on scalability and replicability. It emphasizes supporting country-driven adaptation projects and programmes, innovation, and learning with concrete results at the local level that can be scaled up.¹⁰ Such support is also underscored in the Fund’s updated mission (see Box I).¹¹

Box I. Mission statement (emphasis in bold by author):

The Adaptation Fund serves the Paris Agreement by accelerating effective adaptation action and efficient access to finance, including through direct access, to respond to the urgent needs and priorities of developing countries. **The Fund does so by supporting country-driven adaptation projects and programmes, innovation, and learning with concrete results at the local level that can be scaled up.** All of the Fund’s activities are designed to promote locally based or locally led action, enhance access to climate finance and long-term institutional and technical capacities, empower the most vulnerable people and communities as agents of change, advance gender equality, encourage and enable the scaling and replication of results, and strengthen complementarity, coherence and synergies with other adaptation funders and actors.

4.2 The Adaptation Fund’s mechanism to enable scaling

The Fund’s support to scaling adaptation practices, tools and technologies is part of its mission, and is mainstreamed across its three strategic pillars: Action, Innovation and Learning.¹² Main strategic channels used by the Fund

9. Adaptation Fund. (2021b). AFB/EFC.28/3. Annual Performance Report for FY2021. Available at: https://www.adaptation-fund.org/wp-content/uploads/2021/10/AFB.EFC_28.3_Annual-Performance-Report-for-Fiscal-Year-2021.pdf. Accessed 17 August 2023

10. Adaptation Fund. (2017a). AFB/B.39/.5/Rev.2. Medium-Term Strategy (2023-2027), p. 1. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.B.39.5_Rev.2_Annex-2_Draft-MTS-2023-2027.pdf

11. Ibid., p. 23.

12. As defined in the Fund’s Medium-Term Strategy 2018-2022 and Medium-Term Strategy 2023-2027.

to support scaling and achieve greater impact, as found in this evaluation, include:

- **Financial support to scaling** via different grant modalities for the implementation of concrete adaptation projects and programmes (see Section 5.2.1).
- **Support to accreditation and readiness:** At a programmatic level, the Fund offers opportunities to strengthen the technical and institutional capacities of national and subnational organizations to programme adaptation finance and to design and implement adaptation projects via the Direct Access (DA) and Enhanced Direct Access (EDA) modalities. The aim is to prepare NIEs and generate a track record that allows them to access and manage higher levels of adaptation finance.

The Fund's accreditation and re-accreditation mechanism alignment with the GCF has also been identified as an example of complementarity and coherence among funds that reduces transaction costs and increases and simplifies access to climate finance for NIEs.

- **Complementarity, coherence and coordination with other funds.** The Fund engages with other funding agencies and partners to streamline pathways for scaling up successful projects and programmes. The ongoing dialogue with the GFC is a notable example of such a scaling pathway (see Section 5.4).

Additionally, the Fund supports **learning as an enabler to scaling**. It shares experiences about innovative finance modalities (DA and EDA modalities) and innovative adaptation practices and technologies so that they may be replicated or scaled up across countries or regions. A recent example is the 2022 learning piece "Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes". Targeted funding for learning and sharing is provided as part of the Fund strategic focus 3.

That said, it is important to note that while scaling up is sought by the Fund as an additional benefit, it is not a requirement. The Fund operates under the

principle of funding the full cost of adaptation and the principle of country-driven, and the projects guided by these principles may not necessarily lead to scaling.

4.2.1 Financial mechanism to enable scaling

The Action pillar supports country-driven projects/programmes with concrete adaptation outcomes.¹³ Its goal is to generate evidence and showcase best practices of effective adaptation that, among others, “enable and encourage the scaling and replication of effective adaptation actions, by the Fund itself and various other actors”.¹⁴ The Action pillar currently channels the majority of grant resources¹⁵ and is operationalized mainly (but not exclusively) through the regular funding window that includes single-country and regional projects; enhanced direct access; and project scale-up grants.¹⁶

Scale-up grants are micro-grants of up to US\$ 100,000 per project/programme available to NIEs to support the planning, design and development of scale-up activities.¹⁷ Scale-up grants seek to help countries develop scaling-up pathways for Adaptation Fund projects/programmes under implementation and nearing completion or completed, typically via larger funds.¹⁸ At present, the ceiling for these grants is US\$ 100,000, although the Action Plan of the MTS2 proposes increasing the cap to US\$ 300,000.

The Innovation pillar supports countries to test, evaluate, roll out and scale up innovative adaptation practices, products and technologies. Most of the strategic focus of this pillar is realized via a dedicated Innovation Facility and its three funding windows.

As shown in Figure 7, **Innovation Large Grants** support rolling out and scaling up innovative adaptation practices, tools and technologies. As such, its focus is on supporting demonstrations, developing conditions for transitioning to scale, and achieving the scaling of adaptation innovations that have proven

13. Adaptation Fund (2021a). AFB/B.39/5/Rev.2. Medium-Term Strategy (2023-2027), p. 24. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.B.39.5_Rev.2_Annex-2_Draft-MTS-2023-2027.pdf

14. Ibid., p. 25.

15. Ibid., p. 35.

16. Adaptation Fund (2021a). AFB/B.39/5/Rev.2. Medium-Term Strategy (2023-2027), p. 26. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.B.39.5_Rev.2_Annex-2_Draft-MTS-2023-2027.pdf

17. Adaptation Fund (2021a). Medium-Term Strategy (2023-2027), p. 26. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.B.39.5_Rev.2_Annex-2_Draft-MTS-2023-2027.pdf

18. Adaptation Fund. (n.d.). Project Scale Grants. Available at: <https://www.adaptation-fund.org/readiness/readiness-grants/project-scale-grants/>. Accessed 16 January 2023

successful in one country and can be spread to new countries and regions. The Innovation Large Grants were launched in October 2020. Since then, two projects have been approved, one in March 2023 and the other in April 2024.

The **Innovation Small Grants** are intended to support the development of new innovations and the generation of an evidence base for effective and efficient adaptation practices, products and technologies. This grant window serves as a basis for Implementing Entities and other funds to assess scaling up. Its mandate is aligned with the proof of concept/pilot, field-test stage and, to a lesser extent, the initial R&D and the subsequent demonstrate/test/transition to scale phase. These grants were launched in 2018 and have eight approved projects, equivalent to approximately US\$ 2 million.

The third window under the Innovation Facility is **the Adaptation Fund Climate Innovation Accelerator (AFCIA)**, currently with two programmes managed by the United Nations Development Programme (UNDP) and by the United Nations Environment Programme (UNEP) together with the Climate Technology Centre and Network (CTCN). In addition, at the forty-first meeting of the Board, two additional programmes were approved under the AFCIA – one to be implemented by the World Food Programme (WFP) and another by the United Nations Industrial Development Organization (UNIDO), each receiving US\$ 10 million. Both programmes are in the inception phase of implementation. The accelerators target non-accredited entities and primarily focus on proof of concept/pilot/field-testing phases and, to a lesser extent, the demonstrate/test/transition to scale phase, along with technical assistance for the grantees. Together, these mechanisms have US\$ 30 million approved for implementation.

The Learning and Sharing pillar supports the systematization of knowledge and learning from adaptation projects and programmes. As such, the pillar contributes to the generation of an evidence base that informs all phases of the scaling of adaptation interventions. This pillar makes available **Learning Grants**, which are available to NIEs to help capture, study and disseminate practical lessons from adaptation interventions.

Readiness Grants are part of the Adaptation Fund Readiness Programme and target peer support to countries seeking accreditation with the Fund and to build capacity for undertaking various climate finance readiness activities. The supported measures may be considered as enabling conditions for countries to break down barriers to investment in adaptation projects and to catalyse a wide range of adaptation-related investments.

Figure 7. Adaptation Fund funding windows (source: adapted from Adaptation Fund 2022b)

	FUNDING TYPE	Accredited Entity Type	Maximum Funding Amount per Project/Program
ACTION Action grants support eligible countries to undertake high quality adaptation projects/programmes consistent with their priority needs, goals and strategies.	Single Country: For addressing climate change impacts in one country through tangible outcomes	NIE, RIE, MIE	USD 10 Million per Project/Programme*
	Regional: For addressing climate change impacts in 2+ countries in the same United Nations region, or adjacent regions, through tangible outcomes	RIE, MIE	USD 14 Million per Project/Programme (excluding the PFG)**
	Enhanced Direct Access: Supports bottom-up approaches through local knowledge and locally led action. Project selection occurs at national/sub-national levels.	NIE	USD 5 Million per Project/Programme (including the PFG)
	Project Scale Up: Supports planning, design and overall capacity to develop scale-up pathways for AF funded projects nearing completion or already completed	NIE	USD 100,000 per Project/Programme
INNOVATION Innovation grants support the development and diffusion of innovative adaptation practices, tools, and technologies.	Small (single country): To accelerate development of innovative practices, tools and technologies and demonstrate best practices for scale-up	NIE	USD 250,000 per Project/Programme
	Large (single country or regional): To roll out or scale-up successful innovative practices, tools and technologies to a new country or at larger scale OR to 2+ new countries/regions or at larger scales	NIE, MIE, RIE***	USD 5 Million per Project/Programme
	Adaptation Fund Climate Innovation Accelerator: Administered by UNDP & UNEP/CTCN to accelerate the development of innovative practices, tools and technologies and demonstrate best practices for scale-up	Non-accredited	USD 250,000 per Project/Programme
LEARNING & SHARING	Learning Grants: support the generation and communication of practical knowledge about effective adaptation activities and financing modalities to actors around the world	NIE	USD 150,000 per Project/Programme
READINESS Readiness grants enable NIEs to provide peer support to countries seeking accreditation with the Fund and build capacity for undertaking various climate finance readiness activities.	Readiness Support Package Grant: Facilitate the delivery of more enhanced, targeted and tailored readiness support for accreditation to developing countries	NIE	USD 150,000 per NIE
	Technical Assistance Grant for the Environmental and Social Policy and Gender Policy: For NIEs to strengthen capacity to address and environmental and social risks as well as gender related issues in their projects and programs	NIE	USD 25,000 per NIE
	Technical Assistance Grant for the Gender Policy: For NIEs with robust environmental and social policies to enhance measures to avoid, minimize and/or mitigate adverse gender impacts	NIE	USD 10,000 per NIE

4.2.2 Complementarity, coherence and coordination with other funds

A synthesis report on synergies and complementarities between funding streams from different multilateral climate finance mechanisms published by the Global Environment Facility (GEF) and the Climate Investment Funds (CIF)¹⁹ suggests that the Adaptation Fund has “the potential to be an incubator

19. Wörlen, C., Altevogt, J. and Keppler, L. (2020). CIF and GCF joint synthesis report on “Synergies between climate finance mechanisms”, pp. 6-7. Available at: <https://www.greenclimate.fund/sites/default/files/document/synergies-climate-finance.pdf>. Accessed 17 August 2023

for countries to test and refine project concepts prior to seeking replication and upscaling via large-scale finance such as the GCF". The Fund concurs with this assessment and identifies the engagement with other climate finance delivery channels at the level of inter-fund dialogue and specific activities as an opportunity to streamline pathways for scaling up successful projects and programmes.²⁰

A tangible effort by the Fund to develop a framework for complementarity and coherence with other climate finance delivery channels is its ongoing collaboration with the Green Climate Fund (GCF). Since 2014 (B.24), the Fund has discussed potential linkages with the GCF at each Board meeting. One key discussion point has been possible options for joint financing, decision-making processes, and management of funding envelopes.

At the time of this review, the AF and GCF have been piloting a structured approach for collaboration between the two funds on projects and programmes scaling up.²¹ The internal document outlines (i) the concept of what scaling up means in the framework of the GCF programming and project approval processes; (ii) criteria to assess projects' eligibility for scaling up; (iii) incentives and benefits for countries and relevant stakeholders to pursue scaling up of successful AF projects through the GCF; and the required steps to scaling up projects between the two funds. A coordination mechanism with designated focal points in both funds has been established to operationalize the approach.²² Seventeen AF projects with the potential to be scaled up were identified, and four countries have reached advanced discussions on the implementation of the project scale-up.²³

4.3 Scaling in the Adaptation Fund's operating policies and guidelines

4.3.1 Ex ante guidance

As part of the ex ante guidance for preparing and submitting projects and programmes, the Fund makes available to applicants **a request for funding**

20. Adaptation Fund. (2021a). AFB/B.39/5/Rev.2. Medium-Term Strategy (2023-2027), p. 35. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.B.39.5_Rev.2_Annex-2_Draft-MTS-2023-2027.pdf

21. Adaptation Fund. (2021c). AFB/B.36/6. Update On Strategic Discussion on Objectives and Further Steps of The Fund: Potential Linkages Between the Fund and the Green Climate Fund. p.3. Available at: https://www.adaptation-fund.org/wp-content/uploads/2021/04/AFB.B.36.6_Potential-linkages-between-the-Fund-and-the-GCF.pdf. Accessed 17 August 2023

22. Ibid.

23. Source: interview with Secretariat Member

template²⁴ and a complementary document with **instructions for preparing the request**.²⁵ The Funding Proposal template refers to scalability under Section J. (“Describe how sustainability of the project/programme outcomes has been taken into account when designing the project/programme.”) The guidance reads as follows: “The adaptation benefits achieved with the help of the project/programme should be sustained after its end and should enable replication and scaling up with other funds after its end.” That said, it should be emphasized that scaling itself is not a requirement for projects, and projects are reviewed with the understanding that scaling may not be applicable to every project.

Scale-up grants provide readiness funding to NIEs to support project/programme planning, design and development for scaling up Adaptation Fund projects/programmes currently under implementation. Instructions for preparing a request for project scale-up grant funding indicate as a minimum requirement that the implementation should draw on:²⁶

- *An evidence-based assessment of project/programme scalability that uses research, evaluation and monitoring data to inform the scale-up process. This could include undertaking technical studies such as vulnerability assessment, feasibility study, socio-economic study, cost effectiveness study, etc.*
- *A scaling-up strategy or fully developed project/programme proposal. Stakeholder consultation.*
- *A description of institutional arrangements currently in place or that would be put in place in preparation for scaling up. This includes updates to policies or manuals to enable project scale-up, capacity building activities such as attending training, workshops, seminars, etc. to enhance institutional and individual readiness for scale-up.*

24. Adaptation Fund. (2017b). Request for Project/Programme Funding from the Adaptation Fund. Annex 5 to OPG Amended in October 2017. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-ANNEX-5- project-template amended-in-Oct-2017.pdf>

25. Adaptation Fund (2022c). Instructions for Preparing a Request for Project Scale-Up Grant Funding from the Adaptation Fund. Annex 5 to OPG Amended in October 2017. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2022/02/Instructions-for-preparing-a-request-for-project-scale-up-grant.pdf>. Accessed 17 August 2023

26. Adaptation Fund (2022c). Instructions for Preparing a Request for Project Scale-Up Grant Funding from the Adaptation Fund. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2022/02/Instructions-for-preparing-a-request-for-project-scale-up-grant.pdf>. Accessed 17 August 2023

4.3.2 Monitoring and evaluation

The Fund uses a results-based management framework for monitoring that includes a **Strategic Results Framework** (SRF).²⁷ The SRF describes, at the Fund level, goals, expected impact, outcomes, and outputs, as well as indicators and targets.²⁸ Adaptation Fund projects and programmes must demonstrate alignment with the SRF and core impact indicators at the project design stage. Later, during project implementation, IEs are requested to record the progress in achieving the project's core Impact indicator targets and other outcome/output targets in the "result tracker" section of their Project Performance Reports (PPRs).²⁹

Additionally, PPRs systematically record relevant information for identifying projects/programmes (or elements of them) that have the potential to be replicated or scaled up. Particularly, at mid-term and at project/programme completion, IEs are requested to include information regarding:

- Lessons learned, both positive and negative, in implementing climate adaptation measures that would be relevant to the design and implementation of future projects/programmes for enhanced resilience to climate change ["Lessons for Adaptation" section].
- The potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area ["Lessons for Adaptation" section].
- Whether the project has been scaled up from any other climate finance or has built upon any other climate finance initiative ["Lessons learned" section].

PPRs have been used by the Fund's knowledge management team to develop knowledge management publications and to analyze data for thematic and sectoral studies.

The evaluation of projects and programmes at mid-term and at project completion fall under the responsibility of Implementing Entities.³⁰ These

27. The Board secretariat is currently working to revise the SRF, as noted in its report to the CMP and CMA (FCCC/KP/2023/2/Add.1-FCCC/PA/CMA/2023/6/Add.1 "Report of the Adaptation Fund Board / Note by the Chair of the Adaptation Fund Board / Addendum (21 November 2023): 18.

28. Adaptation Fund. (2009). AFB/B.7/13/Rev.1. *Report of the Seventh Adaptation Fund Board (2009)*. Decision B.7/2. Available at: <https://www.adaptation-fund.org/document/report-of-the-seventh-meeting-of-the-afb-september-14-16-2009/>. Accessed 17 August 2023

29. The result tracker must be included in PPRs submitted at project/programme inception (for setting the baseline), mid-term and completion.

30. Adaptation Fund. (2015). Evaluation Framework. p. 12. Available at: https://www.adaptation-fund.org/wp-content/uploads/2015/01/Evaluation_framework.pdf. Accessed 17 August 2023

evaluations should be conducted according to the minimum requirements as presented in the **Fund's Evaluation Framework and Guidelines for Adaptation Fund Project/Programme Final Evaluations**.³¹ The latter instructs evaluators to describe the steps taken to assess the likelihood of achieving long-term project/programme impacts, replication effects, and other effects. Additionally, evaluators are expected to give special attention to analyzing lessons and proposing recommendations on aspects related to factors that contributed to, or hindered, sustainability of benefits, innovation, replication, among others.

4.4 Scaled-up projects in the Fund portfolio

A recent knowledge product by the Adaptation Fund on scaling adaptation finance³² reports 18³³ AF-funded projects and programmes that other funds or entities have scaled up as of May 2022. This evaluation has identified nine projects (see Table 1).

The same report identifies factors and project-level strategies that were identified as relevant for successfully scaling adaptation interventions. These include: (i) proof of concept to disseminate successful adaptation practices and innovations; ii) financial and operational sustainability; iii) the ability to generate strong demand and engagement from local stakeholders; and iv) the applicability of activities to wider coverage. In addition, the study mentions the continued engagement of the project's stakeholders during the scaling process and leveraging existing governance structures and coordination networks established during the pilot as key enabling factors. Contrarily, financing and cost constraints; lack of involvement of local stakeholders and institutional support/stability; information and knowledge constraints; and complexity constraints are considered factors conducive to the failure of scaling adaptation actions.

As shown in Table 1, the Fund-supported projects that were identified as having scaled come from various regions and focus on a range of sectors, including coastal management, disaster risk reduction, rural development, water management, and multisector. The majority of these projects are or

31. Adaptation Fund. (2011). Guidelines for Project/Programme Final Evaluations. Available at: <https://www.adaptation-fund.org/generic/guidelines-for-projectprogramme-final-evaluations/>. Accessed 17 August 2023

32. Adaptation Fund (2022b). Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes. Available at: <https://www.adaptation-fund.org/document/scaling-up-adaptation-finance-experiences-and-lessons-learned-from-the-adaptation-fund-portfolio-of-projects-and-programmes/>. Accessed 17 August 2023

33. The evaluation team was not able to confirm this number.

have been implemented by a Multilateral Implementing Entity (MIE) and UNDP; however, three NIEs are also included: the Ministry of Finance and Economic Cooperation of the Federal Democratic Republic of Ethiopia, the National Bank for Agriculture and Rural Development (India), and the Centre de Suivi Ecologique (Senegal). A more detailed description of the projects, achievements and enabling factors for scaling can be found in the Fund's 2022 learning product, *Scaling up adaptation finance*.³⁴

Table 1. Adaptation Fund projects that have been scaled up by other funds (non-comprehensive)

N°	Project title	Status	AF Grant amount (in millions of US dollars)	Implementing Entity	Country	Sector	Funding source for scaling
1	Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform (ISGAP)	Under Implementation	5.0	UN Development Programme	Regional	Multi-sector	European Union
2	Climate Smart Integrated Rural Development Project	Under Implementation	10.0	Ministry of Finance and Economic Cooperation of the Federal Democratic Republic of Ethiopia	Ethiopia	Rural development	Italian Development Cooperation
3	Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise	Under Implementation	0.7	National Bank for Agriculture and Rural Development	India	Coastal management	GCF
4	Reducing Risk and Vulnerability to Climate Change in the Region of La Depression Momposina in Colombia	Project Completed in 2020	8.5	UN Development Programme	Colombia	Disaster Risk Reduction	GCF
6	Developing Climate Resilient Flood and Flash Flood Management Practices to Protect Vulnerable Communities of Georgia	Project Completed in 2017	5.3	UN Development Programme	Georgia	Water management	GCF
7	Increasing climate resilience through an Integrated Water Resource Management Programme in HA, Ihavandhoo ADh, Mahibadhoo and GDh, Gadhdhoo Island	Project Completed in 2015	9.0	UN Development Programme	Maldives	Water management	GCF

(continued)

34. Adaptation Fund (2022b). *Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes*. Available at: <https://www.adaptation-fund.org/document/scaling-up-adaptation-finance-experiences-and-lessons-learned-from-the-adaptation-fund-portfolio-of-projects-and-programmes/>. Accessed 17 August 2023

N°	Project title	Status	AF Grant amount (in millions of US dollars)	Implementing Entity	Country	Sector	Funding source for scaling
8	Reducing Risks and Vulnerabilities from Glacier Lake Outburst Floods in Northern Pakistan	Project Completed in 2015	3.9	UN Development Programme	Pakistan	Disaster Risk Reduction	GCF
9	Adaptation to Coastal Erosion in Vulnerable Areas	Project Completed in 2014	8.6	Centre de Suivi Ecologique	Senegal	Coastal management	GCF
10	Reducing Vulnerability to Climate Change in Northwest Rwanda through Community Based Adaptation	Project completed in 2019	10.0	Ministry of Environment	Rwanda	Rural Development	GCF

5. Portfolio analysis – focus on scaling at a project level



To gain a better understanding of whether and how scaling is incorporated into the design of Fund projects, Section 5.1 presents the results of the analysis of project documents at approval.

Complementary, section 5.2 looks at projects' mid-term and final evaluations to identify factors and conditions supporting the successful piloting and scaling of adaptation technologies, practices and processes.

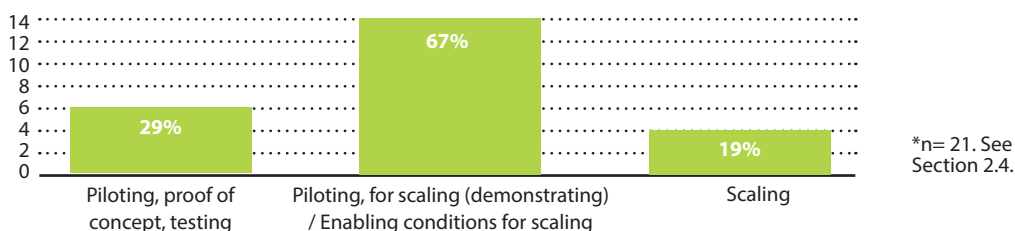
5.1 Planning for scaling: focus on project design

5.1.1 Stages of scaling supported by AF projects

The review considered three stages of scaling: (i) **early piloting**, including proof of concept to demonstrate feasibility, and piloting interventions to test the effectiveness of novel adaptation methods or ideas in a specific context; (ii) **piloting for scaling**, encompassing demonstrations and pilots at a larger scale to test the viability of one or a set of elements (incl. technologies, practices, processes) and preparation of enabling conditions for scaling to take place; and (iii) scaling, understood as increasing the impact of adaptation interventions that have been successfully tested in pilots by extending their outreach to more people, in different places over time.

Based on the sample of projects reviewed, the Fund's projects support different stages of the scaling process. The **sampled projects predominantly include actions for piloting** (95 per cent), either as early states of piloting, e.g., developing new technologies, field-testing adaptive strategies, and piloting new management techniques; or piloting and developing enabling conditions for scaling to take place. Box II presents a selection of exemplary projects that had piloting actions. As Figure 8 illustrates, only a small proportion (19 per cent) of the reviewed projects focused on scaling up.

Figure 8. Stages of scaling supported by AF projects*



Most reviewed projects (86 per cent) included actions that fell within more than one scaling stage. A good example of this is the project “Ecosystem Based Approaches for Reducing the Vulnerability of Food Security to the Impacts of Climate Change in the Chaco region of Paraguay,” a US\$ 7.1 million project by UNDP that started in 2019 and will be implemented over a five-year period. This project includes piloting cost-effective ecosystem-based adaptation tools and instruments such as the protection of water bodies, soils and forests, increasing the availability and quality of freshwater, controlling floods, improving soil fertility and ensuring the provision of culturally valued services. At the same time, the project aims to support capacity development and collaborate with stakeholders to mainstream the emerging experience and lessons learned of the project into ongoing and planned field programmes and projects, thereby contributing to scaling up adaptation measures in the El Chaco region of Paraguay.

The focus on piloting in the majority of projects reviewed is well aligned with the Fund’s strategic goals, particularly as stated in the Action pillar, through which projects are supported to generate evidence and showcase best practices of effective adaptation that, among others, “enable and encourage the scaling and replication of effective adaptation actions, by the Fund itself and various other actors.”³⁵

Box II. Selected examples of projects piloting adaptation technologies, processes and practices*

“Building Adaptive Capacities of Small Inland Fishermen Community for Climate Resilience and Livelihood Security, Madhya Pradesh India”

Region: Asia-Pacific

Sector: Food security

Piloting / proof of concept:

The project aims at making the inland fishery sector more climate resilient and adaptive to climate change. Among others, the project implements and tests adaptive strategies to prevent risk (e.g. modification of pond design for larger and longer water retention); transfer risk (e.g. weather-based insurance that absorbs losses from climate change) and terminate risk (e.g. changing fish species or by introducing alternative technological options). The proposed project aims to develop and field test the adaptive strategies to create models that could be replicated and upscaled through government policies and programmes.

(continued)

35. Adaptation Fund. (2017a). Medium-Term Strategy of the Adaptation Fund for the years 2018-2022. p. 25. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2018/03/Medium-Term-Strategy-2018-2022-final-03.01-1.pdf>. Accessed 17 August 2023

“Increasing the resilience of both displaced persons and host communities to climate change-related water challenges in Jordan and Lebanon”

Region: West Asian/Middle East Arab nations.

Sector: Transboundary Water Management

Piloting for scaling / established enabling conditions for scaling:

The project demonstrates how water resources can be assessed, planned and managed more efficiently at the municipal level. Water management approaches such as rooftop rainwater harvesting and the reuse of treated wastewater and permaculture are demonstrated in the Irbid, Mafraq and Zahle regions of Jordan and Lebanon, with the ambition to replicate these approaches in other similar contexts.

“Implementing Measures for Climate Change Adaptation and Disaster Risk Reduction Mitigation of School Facilities in Haiti”

Region: Latin America & Caribbean

Sector: Disaster Risk Reduction

Piloting for scaling / established enabling conditions for scaling:

The project seeks to use the VISUS methodology (Visual Inspection for defining Safety Upgrading Strategies), which allows the ranking of priority interventions on the basis of decision-making criteria, to identify climate risks and potential adaptation measures for the Haitian education sector. This tool will be used across the education sector at a national scale to assess 700 schools.

The project supports the training of stakeholders (municipal and national government employees) and university students on how to use the VISUS methodology, developing the enabling conditions needed to scale up the application of the VISUS methodology across the education sector. The project will then use the information gathered from the application of VISUS to retrofit a selected number of schools (project budget not enough for all schools).

*As stated in project documents at approval

5.1.2 Characteristics of the Fund’s financial support to piloting and scaling

On average, the amount of the Fund’s funding for projects supporting the scaling of adaptation interventions was higher than for projects supporting piloting stages. For projects supporting piloting processes, AF grants varied greatly, ranging from US\$ 250,000 to US\$ 14 million, with an average of US\$ 6.5 million. As for projects supporting scaling, AF grants ranged from US\$ 3.1 million to US\$ 10 million, with an average of US\$ 8 million.

By comparison, GEF grants are higher during the pilot stage, with an average of US\$ 8 million for the pilot stage, and US\$ 5.5 million for scaling-up stages. Moreover, an analysis of GEF grants allocated for piloting compared to scaling when both stages were supported by GEF, showed a median ratio of 1.9:1; i.e.,

funding for the pilot stage was nearly twice as much as that for the scaling-up stage. This higher share for piloting can be attributed to the higher initial expenses of setting up the necessary enabling conditions and the learning curve during the pilot phase.³⁶

Projects involving scaling activities received Fund’s support, on average, for a slightly longer period of time than projects involving only piloting activities. The average time over which the Fund provided support for piloting was 3.7 years, whereas for scaling it was 4.5 years.

There is a consensus that scaling up takes time, often 10 to 15 years or more (Hartmann A. and Linn J., 2007; GEF, 2019; Kohl, R., 2021). The required period might vary according to what aims to be scaled, the context in which scaling processes are embedded, the scaling pathways pursued, resources available, and political support, among others. Undoubtedly, **the extended time frame required for scaling exceeds the current length of projects and programmes supported by the Fund, which typically ranges from 1 year for small grants to 6 years for larger projects.** This places challenges related to sustaining the mechanisms and enabling conditions initiated by the Fund’s projects conducive to achieving impacts at scale beyond project completion, particularly when dealing with changes in governments and funding priorities, agency managers and staff turnover, etc. While further study would be useful, experiences with successful scaling-up programs have shown the importance of long-term commitment on the part of institutions, donors, and individuals. As an example, GEF supports its scaling initiatives for a period of 10 years, although certain scaling-up results were accomplished in as little as 3.5 years, while others took as long as 18 years (GEF, 2019). Currently, the Fund uses the following mechanisms to support scaling outside a single project time frame: (i) the Fund supports piloting and scaling through consecutive projects based on results of the pilot stage (see this Section), (ii) piloting was supported by other projects, while the scaling-up stage is done via a Fund’s project based on results of the pilot stage, and (iii) the Fund supports piloting projects, while the scaling-up stage is funded through other sources based on the results of the pilot stage. For the latter, the Fund is collaborating with the GCF for the early identification of and support to projects with good potential for scaling (see Section 5.2.2).

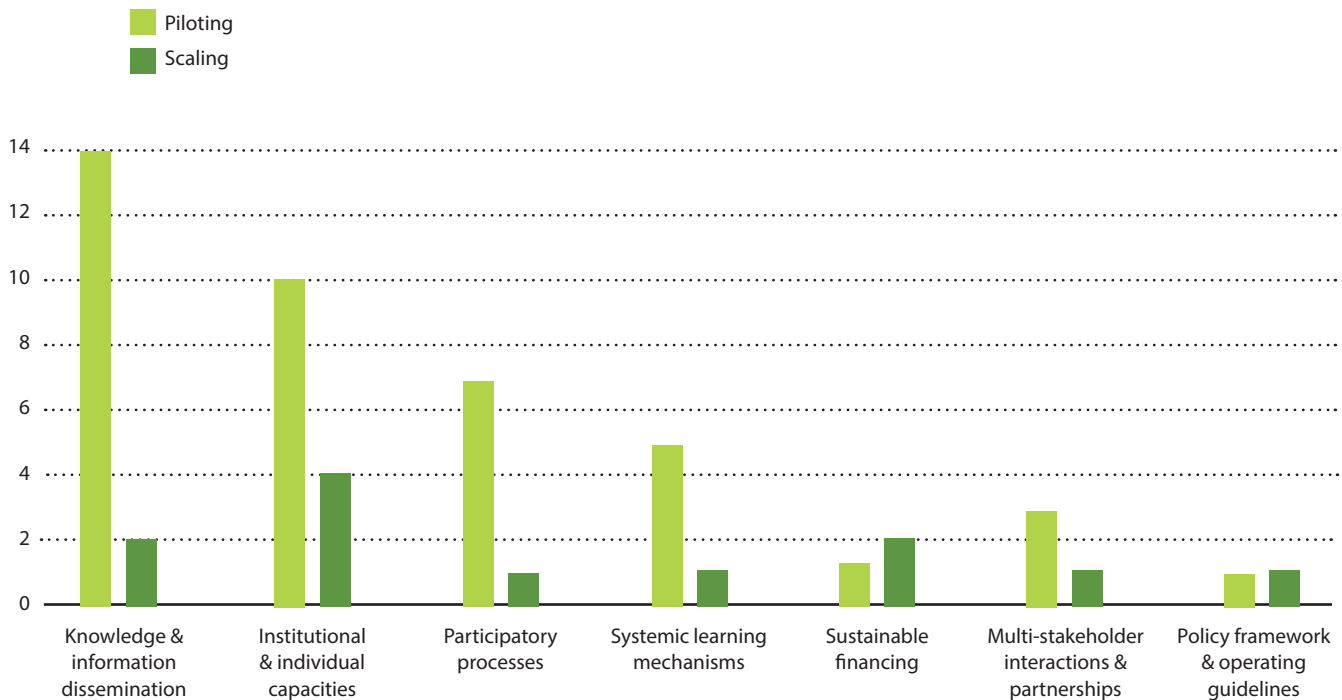
36. Global Environment Facility. (2020). *Evaluation of GEF Support to Scaling Up Impact*. p. 19. Available at: <https://www.gefio.org/sites/default/files/documents/evaluations/scaling-up.pdf>. Accessed 17 August 2023. While this study followed a similar approach, it is important to note that differences in methodologies, contexts, and data collection processes may exist among these studies, potentially influencing the interpretation of results. Readers are advised to consider these variations when drawing conclusions.

5.1.3 Planned activities in support of piloting and scaling

The evaluation looked into which activities projects implement to support piloting and scaling processes (Figure 9). The analysis of the selected sample of project documents (n=21) revealed that the most common supporting activities for piloting adaptation interventions included knowledge and information dissemination (78 per cent), strengthening individual and institutional capacities (56 per cent), and participatory processes (39 per cent) as main supporting activities. Regarding scaling processes, the most common supporting activities included strengthening individual and institutional capacities, knowledge and information dissemination, and sustainable financing mechanisms.

Figure 9 shows the detailed list of planned activities to support piloting and scaling activities in Fund projects as stated in the project design at the approval stage.

Figure 9. Planned activities to support projects that included piloting activities (n= 18) and scaling activities (n=4) in Fund-supported projects*



* As stated in project documents at approval

5.1.4 Sequencing scaling

As stated in the previous section, scaling processes generally occur during a time frame that greatly exceeds the implementation time of the Fund’s projects. This section looks at the scaling stages supported by the Fund’s projects based on information from project documents, evaluations and other sources.

The review found that the Fund’s projects supported scaling processes in four different ways, presented in Table 2 and exemplified below. **Results show that the reviewed projects supported scaling processes mostly via piloting, but most projects (71 per cent) didn’t specify at project design how the pilot activities would support scaling.** In other words, most project documents did not make specific reference to steps or plans to move to scale based on project results after project completion. While not all projects should be scaled up, it is useful to understand why they might or might not be suitable for scaling and how scaling could happen if the project pilots concepts and activities will be suitable for scaling.

Table 2. Implementation sequence of scaling actions in reviewed projects (n=21; N=143)

Modes of scaling	Proportion %
A. Piloting was supported by AF projects, while the scaling-up stage was funded through other sources based on the results of the pilot stage.	10%
B. Piloting was supported by other projects, while the scaling-up stage was done via an AF project based on results of the pilot stage.	10%
C. Piloting and scaling up is planned for and implemented within the same AF project through different components.	5%
D. Piloting and scaling were implemented through consecutive AF projects based on results of the pilot stage.	5%
E. Piloting is supported by the AF project. The project document doesn’t indicate how scaling will take place.	71%

A. Piloting was supported by AF projects, while the scaling-up stage was funded through other sources based on the results of the pilot stage.

Evidence from two projects shows that, **even if scaling was not planned at the design stage, the knowledge and technical capacity gained during project implementation were successfully used by Implementing Entities of the Fund to channel additional funds to expand adaptation targets.** This was the case of the AF-funded projects “Adaptation to coastal erosion in vulnerable areas” by the Centre de Suivi Ecologique (CSE) and “Increasing

climate resilience through an Integrated Water Resource Management Programme in HA. Ihavandhoo ADh. Mahibadhoo and GDh. Gadhdhoo Island” by the United Nations Development Programme (UNDP). Both organizations were able to access climate finance with the Green Climate Fund (GCF) for scaled interventions based on the projects with the Adaptation Fund.

In the case of the CSE, it developed the “Adaptation to coastal erosion in vulnerable areas” project, which received US\$ 8.6 million from the AF and was successfully implemented between 2011 and 2014 under the direct access modality of the Fund. The achievements of this project include building coastal protection works, developing fish processing areas and a fishing wharf, updating the regulatory framework and awareness-raising and capacity-building activities.

Drawing on the acquired knowledge and technical capacity in implementing this project with the Fund, CSE was able to showcase its expertise and gain accreditation under the fast track modality with the GCF in 2015. That same year, the GCF approved the “Increasing the resilience of ecosystems and communities through the restoration of the productive bases of salinized lands” project by the CSE with grant funding of US\$ 7.6 million and a total budget of US\$ 8.2 million.³⁷

B. Piloting was supported by other projects, while the scaling-up stage was done via an AF project based on results of the pilot stage.

This was the case of two projects, the “Promoting Climate Resilience in the Cocoa and Rice Sectors as an Adaptation Strategy in Sierra Leone” project implemented by IFAD and the regional project “Restoring marine ecosystem services by rehabilitating coral reefs to meet a changing climate future” by UNDP.

The project in Sierra Leone by IFAD started in 2020 and is to be implemented over a 6-year period. The project objective is to address key climate vulnerabilities in agriculture and water resources management in the rice and cocoa value chain, and hence contribute to immediate and longer-term development and resilience needs of poor vulnerable smallholder farmers in Sierra Leone. To achieve this, the project focuses on three areas:

37. Green Climate Fund. (n.d.) *Increasing the resilience of ecosystems and communities through the restoration of the productive bases of salinized lands*. Available at: <https://www.greenclimate.fund/project/fp003>. Accessed 17 August 2023.

(1) Climate-proofed agricultural production and post-harvest combined with livelihood diversification; (2) Climate-resilient rural transportation and water infrastructure; and (3) Institutional capacity building and policy engagement.

This project will scale up and replicate many activities of the project “Rehabilitation and Community-Based Poverty Reduction Project (RCPRP)”. This was an 11-year and US\$ 50.3 million project. During its second financing phase (2011-2017) it was supported by the Global Environment Facility (GEF) Least Developed Countries Fund (LDCF) with a US\$ 2.6 million project on Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone (IACCAPFS). The second project phase supported food security through climate resilient rice varieties, but also piloted small-scale agricultural irrigation systems and raised public awareness on the impact of climate variability on local livelihoods.

Lessons learned from the previous RCPRP and IACCAPFS projects were integrated into the design of the AF project following the verification of the findings and recommendations through a joint formulation mission that included the identification of successful activities for upscaling.

C. Piloting and scaling up was planned for and implemented within the same AF project through different components.

Only one of the analyzed projects had planned for both piloting and scaling as part of implementation activities. This was the case of the project “Increasing climate resilience through an Integrated Water Resource Management Programme in HA. ADh. Mahibadhoo and GDh. Gadhdhoo Island” implemented in the Maldives by the Fund MIE UNDP over a period of 4 years, from 2012 to 2015.

The objective of this project was to increase the adaptive capacity of Maldivian communities to the adverse effects of a changing climate by ensuring a reliable and safe freshwater supply. To this end, two of the project components implemented actions to establish a sustainable freshwater supply system in three target islands. This system included rainwater harvesting and desalination technology, and was accompanied by actions to increase community participation in the development, allocation and monitoring of freshwater use. The third project component focused on the replication and scale-up of climate-resilient freshwater management.

Despite the fact that some of the activities were not successfully implemented

and experienced challenges related to the implementation of some of the technologies, the project's final evaluation notes the catalytic effect of the project. Although rainwater harvesting and desalination techniques were not new in the Maldives, project stakeholders manifested that the AF project paved the way for a combined rainwater and desalination system, which was replicated in many other similar investments since then, indicating a mind-shift to previous water planning on the islands (Saeed 2016). It was reported that a number of projects were being designed by the Ministry of Energy and Environment of Maldives based on the AF project concept.

Also noteworthy is that, after project completion, the UNDP built on the lessons learned and successful interventions of the AF project to further scale up the program to other islands through a US\$ 28.2 million project financed by the GCF in 2015 (AF 2022b).

D. Piloting and scaling were implemented through consecutive AF projects based on results of the pilot stage.

This modality was identified once, in the case of the project "Building resilient food security systems to benefit the southern region of Egypt". The Adaptation Fund has provided funding and supported two phases of this project, which has been implemented by the United Nations World Food Programme (WFP). For Phase 1, the Adaptation Fund provided US\$ 6.9 million in funding, which has been increased by an additional US\$ 3.1 million to support Phase 2. Phase 1 began in March 2013, with the project running for 7 years, and Phase 2 of the project, which commenced in July 2022, is expected to continue for 3 years.

The overall objective of this project was to build the resilience of southern Egypt farming communities in the face of climate change and risks to food security. The first phase of the project aimed to improve the adaptive capacity of Southern Egypt through the piloting of a range of (established, but new to the region) technologies and practices designed to reduce water consumption and increase agricultural productivity. These practices included the introduction of early warning systems, sub-surface irrigation systems, agro-forestry greenhouses, rehabilitating canals to reduce water seepage, and the introduction of drought-tolerant varieties of wheat and sorghum. Despite disruption to the project caused by COVID-19, the project evaluation of Phase 1 highlighted that the project over-achieved on nearly all of its targets, successfully building the climate resilience of 49 communities in Southern Egypt, reaching 145,960 direct beneficiaries, of which 25 per cent were women.

The project enabled average increases of 40 per cent in the annual income on household income within these communities. In addition to the project's success, enabling conditions needed to support scaling up were developed, through the building of institutional and individual capacities, training 300 governmental officials and documenting of lessons learned.

Building on the results of this first phase, the Adaptation Fund has provided additional funding for Phase 2 of the project. This second phase will see the WFP scale up the use of these technologies and practices to an additional 15 communities within the region, increasing their agricultural productivity, water use efficiency and ultimately, their food security. Additionally, more technologies and practices to support agricultural productivity are being piloted in these communities such as laser levelling of the soil, raised bed cultivation, new techniques for agro-processing and diversification of production.

5.2 Mid-term and final project evaluations

Projects' mid-term and final evaluations were reviewed to identify factors and conditions supporting the successful piloting and scaling of adaptation technologies, practices and processes (see Figure 10 and Appendix V).

The analysis was based on the review of the evaluation documents of 15 projects, which represents 30 per cent of the Fund projects with at least a mid-term evaluation.

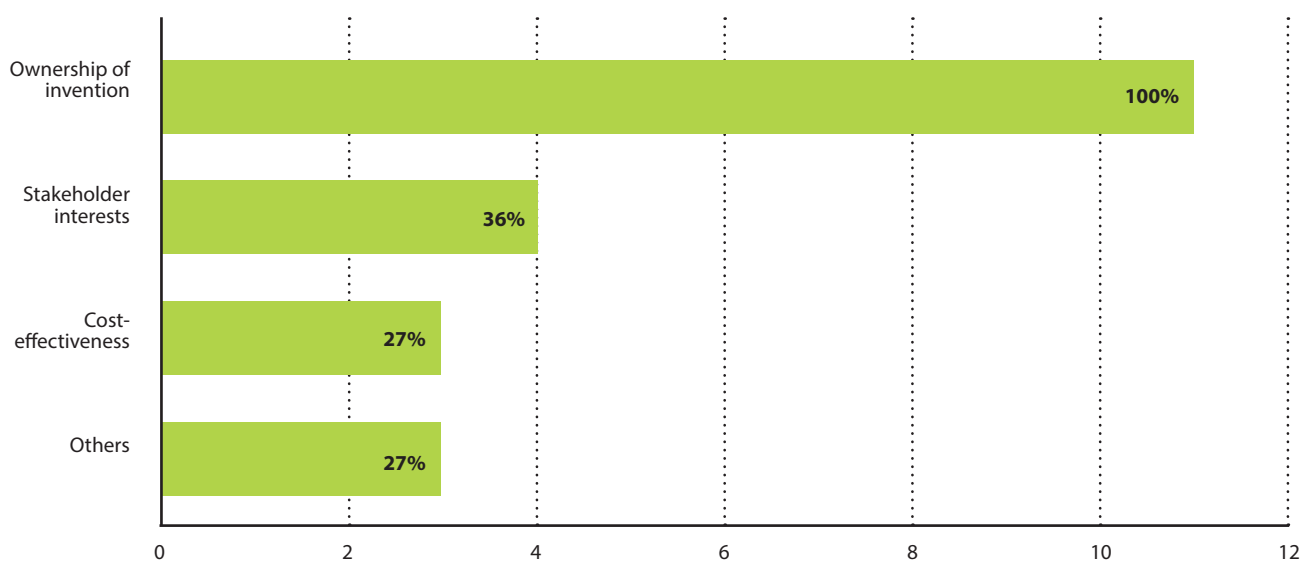
5.2.1 Enabling conditions/factors for the successful adoption of interventions related to piloting technologies, practices and processes

The evidence suggests that the successful implementation of interventions was attributed to different factors and conditions depending on whether they were supporting testing or scaling adaptation processes.

For piloting, enabling conditions supporting successful implementation included, in all cases, strong ownership of interventions by project stakeholders, e.g. the direct involvement and commitment of community leaders, authorities and civil society. Additionally, the cost-effectiveness of piloted interventions and stakeholders' interests were relevant. Other factors mentioned included the project's bottom-up approach, giving priority to local

institutions for the execution of work, and the complementarity between the project and others, allowing for efficiency in activity implementation.

Figure 10. Enabling conditions and factors for piloting interventions in AF projects (n=11)



Interestingly, the four projects reviewed that supported scaling processes had a different set of factors and conditions enabling successful implementation. These included multi-stakeholder interactions and partnerships, participatory processes, policy framework and operating guidelines and knowledge and information dissemination. Other factors mentioned were the establishment of community-based demonstrations, the development of institutional and individual capacities and training.

5.2.2 Factors hindering the adoption of interventions related to piloting and scaling

This line of inquiry was addressed in two steps. First, the projects were assessed to identify projects that supported one or more phases of the scaling process as evidenced by the description of project activities and outputs. Second, a desk review of documentation identified factors and conditions hindering the successful implementation of those projects that were reported in the projects' mid-term and final evaluations.

Projects' mid-term and final evaluations were reviewed to identify factors and conditions hindering the successful piloting and scaling adaptation technologies, practices and processes. The results are presented below, although it is worth mentioning that the majority of projects (53 per cent) didn't explicitly mention any hindering factors hampering successful implementation.

Factors hindering the successful implementation of piloting activities:

- Insufficient coordination and lack of clear communication strategy between the project's Implementing Entity and executing entities (KEN/NIE/Multi/2013/1).
- Unrealistic and unachievable targets (KEN/NIE/Multi/2013/1).
- Weak institutional capacities of executing entities, with limited technical, procurement, financial and management capabilities to perform the agreed-upon activities (KEN/NIE/Multi/2013/1).
- Issues affecting project effectiveness, including the late start of project activities and slow bidding and fund disbursement procedures (MLI/MIE/Food/2011/1).

Factors hindering the successful implementation of preparatory activities for scaling:

- Limited dissemination and upscaling of best practices to district and national policy planning levels, partly due to delays in implementing several pilot interventions and constraint funding availability (TZA/MIE/Coastal/2010/1).
- Failure to develop strategic plans reinforced the existing policy vacuum (TZA/MIE/Coastal/2010/1).
- Failure to operationalize monitoring and knowledge tools (TZA/MIE/Coastal/2010/1).
- Key institutions are not financially sustainable (Developing Agro-Pastoral Shade Gardens as an Adaptation Strategy for Poor Rural Communities)
- The selected size of the piloted interventions limited the upscaling of the interventions. Specifically, climate-resilient farming approaches being taught by the project in medium to large plot sizes were not tested and limited the upscaling of the interventions (IND/NIE/Agri/2014/1).

Factors hindering the successful implementation of scaling activities:

- Generic project design not sufficiently tailored to the project site context (MDV/MIE/Water/2010/6).
- The advice and recommendations from stakeholder consultations were not incorporated into the system design (MDV/MIE/Water/2010/6).
- Problems with the system being implemented led to an erosion of confidence among local communities and weak country ownership (MDV/MIE/Water/2010/6).
- Delays in the completion and implementation of the project's communication strategy (SLB/MIE/Food/2010/1).

5.2.3 Sustainability of scaling interventions

This section presents elements contributing to the sustainability of the piloting and scaling activities and developed enabling conditions, as indicated in the reviewed evaluation documents.

Project elements that supported the sustainability/ continuation of piloting adaptation interventions:

- **Financial sustainability** due to the allocation of budget by the government to continue support to some of the project activities (NCA/MIE/Water/2010/1), due to executing entities being able to secure the financial resources needed for the sustainability of the project's results (CRI/NIE/Multi/2013/1); through "revolving funds" and the establishment of microfinancing mechanisms to continue local community projects (GTM/MIE/Rural/2010/1).
- **Empowered stakeholders** who have developed ownership are expected to continue the activities implemented with their own resources (NCA/MIE/Water/2010/1; CA/MIE/Water/2010/1; CRI/NIE/Multi/2013/1; MLI/MIE/Food/2011/1).
- **Changes in the behaviour/attitudes** of local actors and populations (NCA/MIE/Water/2010/1; ATG/NIE/Multi/2016/1; MLI/MIE/Food/2011/1); motivation of beneficiaries to continue the work after the project period is over (IND/NIE/Agri/2014/1).

- **Local institutional capacity building** and socio-physical structures developed in collaboration with the community/beneficiaries (KEN/NIE/Multi/2013/1; MLI/MIE/Food/2011/1; project “Flood Resilience in Ulaanbaatar Ger Areas – Climate Change Adaptation through community-driven small-scale protective and basic-services interventions”).
- **Mainstreaming of adaptation processes into plans and strategies** (NCA/MIE/Water/2010/1; ATG/NIE/Multi/2016/1).
- **Development of partnerships** among stakeholders, e.g. signature of MoU between partners for the continuation of some of the project activities (MUS/MIE/Coastal/2010/2; project Developing Agro-Pastoral Shade Gardens as an Adaptation Strategy for Poor Rural Communities).

Project elements that supported the successful scaling adaptation interventions:

- Financial sustainability due to support from the local and national governments to continue project activities (PAK/MIE/DRR/2010/1).
- Change in people’s behaviour (PAK/MIE/DRR/2010/1).
- In-place systems, evidence-based development planning and enhanced capacity of stakeholders (PAK/MIE/DRR/2010/1).

5.2.4 Recommendations for scaling in project evaluations

About half of the evaluation documents reviewed (53 per cent) included recommendations for further scaling project adaptation actions. Several mid-term evaluations already included mentions of the scaling potential of the project, which is useful for early identification of strategies to facilitate scaling, such as consolidating required partnerships and preparation for accessing further funding sources. Detailed information on references to scaling in evaluation recommendations is included in Appendix VI.

In general, recommendations in mid-term reviews and final evaluations regarding scaling lack important information to inform such a process. When the evaluations reviewed recommended scaling, these mentions tend to be unspecific regarding the reason for the recommendation, and how to go about such a process, e.g. in terms of actors that should be involved, and scaling pathways that should be pursued. A noteworthy example of a useful

recommendation regarding scaling was presented in the Terminal Evaluation of the project “Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihood and Economy of Coastal Communities in Tanzania”, where the evaluator identifies what is to be scaled, barriers to scaling, actors that need to be involved, and potential funding sources:

“Ecosystems-based Integrated Coastal Area Management (EBICAM) is needed on a broader scale to reduce coastal vulnerability beyond the pilot sites. The DoE should resume consultations towards the proposed EBICAM Plan with line ministries, coastal District Councils, NGOs and the donor community. The broader vision calls for greater institutional inclusiveness. The Tanzania Forest Service needs to be directly involved in the programming of coastal mangrove rehabilitation. Incorporating adaptation measures to an updated National Mangrove Management Plan could trigger interventions on a wider scale. Applying EBICAM on a broader scale will require external support over the medium-term, which is likely to exceed the duration allowed for most donor-supported projects. For this reason, VPO-DoE might consider donors such as the Global Climate Fund (GCF) the support the scaling-up of promising initiatives, to discuss a follow-on project.”

(Project TZA/MIE/Coastal/2010/1, Final Evaluation Report, p. 130)

Findings, sense-making and recommendations

The review pulled together experiences and lessons on current scaling concepts and practices and scaling activities within the Fund’s portfolio.

While there are considerable limitations to drawing robust lessons on a theme that is complex and certainly not represented by linear cause-effect relationships (see also Appendix II), there are recurrent aspects and first insights from within and outside the Fund. Those are summarized in the following subsection. Conclusions and recommendations must be seen as hints towards further explorative work as to how the Fund can more effectively enable and incentivize adaptation at scale.

The implications of findings range from strategic to operational. Overall, the review has revealed that scaling and scalability can be tackled at various levels. However, support mechanisms that focus on measures at institutional-level policies and strategies will be necessary to provide a more effective framing for

project-level support and guidance.

Before laying out the observations, findings and potential actions/ recommendations, the key instruments to provide scaling support widely employed by funding agencies are repeated here for reference:

Financial instruments and pathways:

- Leveraging, catalysing and mobilizing of additional national budgets;
- Leveraging, catalysing and mobilizing of additional international (public) funding;
- Leveraging, catalysing and mobilizing of additional private funding.

Non-financial instruments and pathways:

- (Support to) Development or change of public policies, including engaging in policy dialogue;
- (Support to) Activities and approaches focusing on attitudinal and behavioural change and capability strengthening & development;
- (Support to) Activities and approaches focusing on learning, knowledge management and innovation (eco-) systems;
- (Support to) Activities and approaches focusing on partnership building;
- (Support to) Diffusion and adoption of innovation (technologies, products, services) via market-based or other mechanisms;
- (Support to) In-country enhancements based on initial measures and innovations generated by initial funding.

Summary findings from this evaluation are as follows:

Fund strategy and programming on scaling

- a. There are several elements of scalability and replication in the Fund's strategies and policies, but there is not a unified definition of scaling or scalability across the Fund. Current practice in the adaptation community reflects a variety of ways of defining and assessing scalability.

- b. The MTS II and its implementation plan have elements and proposed activities that can support the outcome of enabling the scaling and replication of Fund results directly and indirectly. The Fund itself identifies the need to “incentivize scalability and replicability beyond project scale-up grants as part of project design and implementation and readiness support” in its strategy (MTS II Implementation Plan para. 10).
- c. The scaling-up framework that is currently under implementation between the Fund and the GCF (see Section 5.2.2), is a noteworthy effort to support the streamlining and increase efficiency of scaling up Fund pilots. Establishing and strengthening collaboration and partnerships with funds and actors that provide scaling support is a way to complement the Fund’s support spatially, thematically and over time.

Project-level findings: types of scaling, understanding of scaling

- d. Of the Fund-supported projects sampled by the evaluation, planned activities in support of piloting and scaling included interventions related to knowledge and information dissemination (78 per cent), strengthening individual and institutional capacities (56 per cent), and participatory processes (39 per cent; N = 21).
- e. Stages of scaling supported by the Fund-supported projects include
 - a) piloting, proof of concept, and testing (29 per cent); piloting for scaling (demonstrating / enabling conditions for scaling (67 per cent); and scaling (19 per cent; N = 21). The operational procedures and guidelines (OPGs) of the Fund do not require the applicants to demonstrate scalability in project design, but encourage that project funding proposals consider enabling scaling up with other funds after the project ends. The project funding proposals that were reviewed did not usually specify whether the project would scale and, if so, how the projects would support scaling. While some sampled projects described sources of funding for scaling, either within the project itself or through other sources based on pilot activities, 71 per cent of the sampled project did not indicate how scaling would take place (N = 21).

Project-level findings: finance for scaling

- f. Fund-supported projects that have scaled up have primarily done so by using external sources of financing, such as the Project Preparation Facility of the GCF, but project elements have also been scaled up in subsequent projects supported by the Adaptation Fund and other agencies. Only one Fund-supported project has utilized the Fund's in-house Scale-Up Grant financing window.³⁸
- g. While selected Fund-supported projects have been scaled up using multilateral funds, most frequently the Green Climate Fund, the number of these projects relative to the size of the portfolio is limited.
- h. Although not currently used under the Fund's mandate and operations, non-grant instruments can further support assist the mobilization of adaptation finance at scale.³⁹ Multilateral climate finance is only one tool for supporting scaling in projects, and it is insufficient to close the adaptation finance gap. Projects may also overlook non-financial support of scaling.
- i. The Fund's approach to support activities will be essential to empower the vulnerable communities and activate them as agents of social change. Furthermore, the set of factors supporting projects for scaling interventions included multi-stakeholder interactions and partnerships, participatory processes, policy framework and operating guidelines and knowledge and information dissemination.

Readiness and M&E

- j. In the sampled projects that were assessed, M&E activities were not sufficient to support scaling decisions on the part of project teams, as final evaluations did not gather information on scaling that could inform decision-making.⁴⁰

38. Project reporting as of 2021 (Adaptation Fund 2021b) noted that the integrated proposal to be developed would target GCF funding. A review of GCF records in January 2024 did not identify submission of the resulting project to the GCF.

39. Of the projects identified as scaling up in Table 1, only one considered non-grant financing (in the form of a bank loan): Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise (India).

40. It should be noted that this finding applies to final evaluations that were completed prior to the entry into effect of the evaluation policy of the Fund.

On the basis of these findings, the following recommendations are provided to encourage and enable the scaling of results:

1. Adopt a unified definition of scalability and a means of monitoring and evaluating it. The evaluation policy provides a definition and criteria for evaluations of scalability. Fund strategies, other policies, and guidelines should identify a definition for scalability that is evaluable and use it consistently across the strategic results framework and implementation planning documents.

Responsible parties: Board secretariat.

2. Leverage the proposed activities in the *Implementation Plan of the MTS II* to support scaling, setting specific targets and indicators for scaling support to be provided under each pillar. This activity can be done in conjunction with the revision of the Efficiency and Effectiveness Framework (EEF) of the Fund.

Responsible party: Board secretariat.

3. Update the guidance to IEs in the funding proposal templates to detail what is expected in an understanding of scalability. While not all projects should be scaled up, it is useful to understand why they might or might not be suitable for scaling and how scaling could happen if the project will pilot concepts and activities suitable for scaling.

Responsible party: Board secretariat.

4. Encourage project proponents and participants to establish and strengthen collaboration and partnership with funds and actors that provide scaling support, particularly through non-financial instruments and in-country presence. It can be helpful to engage private sector actors - as potential innovators, scaling partners or investors. It is imperative to use the combined strengths of the varied set of actors in society to instigate social impact. Readiness activities may be a source of support for this type of awareness-raising and networking.

Responsible party: Board secretariat.

5. Revisit the scale-up grant funding window and consider focusing Fund support for scaling under the action pillar window on single-country projects, where projects have scaled up using both the Fund and other funders, such as the GCF.

Responsible party: Board secretariat

6. Utilize the Learning and Sharing pillar of the MTS to increase the understanding of IEs regarding potential scaling pathways and types of scaling, particularly approaches that involve funds from public or blended finance. Continue and strengthen the engagement and learning of the AF secretariat, MIEs, IEs, and project partners in learning communities and partnerships on non-financial scaling instruments such as the Transformational Change Learning Partnership,⁴¹ the Scaling Up Community of Practice (CoP),⁴² etc.

Responsible party: Board secretariat.

7. Ensure that the scalability criterion of the Fund's evaluation policy is well understood, review existing evaluation policy guidance for consistency, and include guidance on incorporating scalability into project design in the upcoming evaluation policy guidance note on project design.

Responsible party: AF-TERG.

41. Climate Investment Funds. (n.d.). *Transformational Change Learning Partnership*. Available at: <https://cif.org/tclp>. Accessed 17 August 2023

42. Scaling Community of Practice. (n.d.). *Global Community Of Practice On Scaling Development Outcomes*. Available at: <https://www.scalingcommunityofpractice.com/>. Accessed 17 August 2023

6. Appendix I. Conclusions and recommendations of AF knowledge product “Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes”

Conclusions

Features that can be scaled up:

- **Proof of concept.** Successful adaptation pilots demonstrate a proof of concept, acting as a testing ground for learning and best practices. This can then be used to showcase the results and incentivize others to scale up successful interventions.
- **Financial sustainability.** Financially self-sustainable interventions that generate revenue are more likely to be scaled up. This includes the transfer of knowledge so local communities can operate systems in the long-term.
- **Local ownership.** Successful scale-ups also entail strong demand and engagement from local stakeholders, including local communities and public authorities. Indeed, the most successful scale-ups provide a feasible answer to an acute adaptation need from the local community. They engage transparently and in a participatory way with local stakeholders to find practical solutions together.
- **Replicability.** In addition, to be successfully scaled up, the practices or systems developed need to apply to a wider coverage.

Challenges

- **Financing and cost constraints.** Lack of financing can hinder scale-up. This can occur when up-front costs are high; if return on investment is uncertain; if the project lacks a financially self-sustainable business model; or when a scale-up proposal to a climate fund needs additional risk or feasibility studies and other documentation.
- **Lack of local engagement.** Lack of involvement of local stakeholders

in the project design and its implementation is also a cause of failure to scale up. The involvement of local stakeholders is fundamental to the sustainability of any project.

- **Country ownership.** Most international climate funds require country ownership as a prerequisite for funding. However, even with institutional support, the project may lack institutional stability as governmental priorities tend to change often.
- **Information and knowledge gaps.** Technical assistance and capacity can counter information and knowledge gaps that block scale-up. Knowledge sharing platforms can also disseminate knowledge on successful adaptation interventions.
- **Complexity.** More complex projects are less likely to be scaled up than simpler interventions.

Key enabling factors

- **Consistent partners.** Whenever feasible, scale-up initiatives should involve the same stakeholders from the pilots, including IEs, EEs, or public authorities. This can leverage knowledge acquired and lessons learned, efficiency gains and cost-effectiveness in terms of implementation structures, recruitment, and training, among others.
- **Pre-existing mechanisms.** When possible, existing structures (such as governmental structures, non-governmental organizations, or community-led associations) have proven more helpful than creating new ones for the project. These structures can facilitate coordination between stakeholders and increase efficiency and community ownership. In addition, any successful coordination network, governance structure, or institutional and management framework established during the initial pilot should be used as much as possible in the follow-up projects. This will maximize effectiveness and facilitate cooperation. In other words, not all projects need to reinvent the wheel. On the contrary, the projects relying on pre-existing structures appeared to be more successfully scaled up. Recommendations Plan scale-ups at the design stage Scaling up adaptation interventions requires a significant commitment of financial, human, and time capital. Although most climate projects financed by multilateral funds

aim to be replicated and scaled up, the literature suggests there is little systematic evaluation of a fund's performance in planning or implementing such scale-up. The following quote from Hartmann and Linn (2008) is relevant: "Many aid agencies pursue development interventions as a one-time intervention, as scaling up is not an issue for deliberate reflection by donors in their country strategies or at the start of a specific project. If there is any reflection on replication, the presumption usually is that a successfully completed pilot project will be replicated by someone else without any special initiative from the donor who implemented it. Gradual buildup of programs with systematically laying out scaling up paths remains the exception, rather than the rule." Hartmann and Linn are convinced that a strategy for scale-up must be part of project design to ensure adequate replication or expansion. In other words, they believe scale-up should be strategically planned by the fund piloting the intervention. Indeed, measures to sustain project benefits after the conclusion of the project should be considered and integrated into project design and support processes. The findings of the present study, acknowledging the substantial preparatory work needed to develop scale-ups and the many barriers to successful implementation, concur with this assessment. Potential for scale-up should be planned during pilot design – not only through dissemination of information – but through additional concrete means such as, among others:

- establishing ex post stakeholder cooperation groups, gathering representants of all beneficiaries, decision-makers, and potential additional entities who could expand the project.
- collecting clear information from all stakeholders about the remaining needs to enable them to achieve the next level of independence in terms of climate change adaptation.
- mapping all potential localities, regions, or countries with similar contexts where these adaptation practices could be applied (for quantitative, geographical expansion).
- mapping potential sectors and fields where similar intervention models could be applied (innovative financial instrument, community-participatory model, business or funding model).

Such steps could ensure that scale-ups are planned and would facilitate the collaboration between stakeholders to learn from past experiences

and best practices. To ensure efficient allocation of resources, this ex post component could depend on the success of the pilot according to several elements. These could include strong country ownership and stakeholder engagement, proof of concept, and financial and operational sustainability. Once the pilot is deemed successful, the ex post component could be activated to plan potential scale-ups, potentially financed through Fund project scale-up grants or Fund/GCF readiness grants. This implies that scale-up should only be started once the pilot is completed, and interventions and results have been fully monitored and evaluated to assess concrete achievements. This approach is supported by the literature, as only successful innovations should be scaled up.

- **Streamlined multilateral climate finance.** Given the significant complexity constraints in scaling up adaptation projects, the processes of multilateral sources of climate finance should be streamlined to increase efficiency and enable swift implementation of scale-up. The establishment of a scaling-up approach between the Fund and other major sources of climate finance, particularly the GCF, will support the streamlining and increase efficiency of scaling up Fund pilots. The scale-up framework, now being operationalized, would allow for the Fund to share ex post results of pilots (recommended above) directly with relevant stakeholders in the GCF network to facilitate scale-up. This framework will establish a common approach for identifying eligible projects for scale-up, ensuring more efficient use of resources. Convening a broad range of local stakeholders is important. Scaled-up projects could involve different stakeholders than the initial IEs and EEs of the Fund pilot. In addition, in some cases, the Fund Designated Authorities (DAs) are different from the National Designated Authorities (NDAs) of the GCF. This can lead to cumbersome processes. One way to streamline this consultation process would be to include DAs/NDAs of different multilateral funds in the proposed ex post stakeholder cooperation groups. This would promote discussion and brainstorming among the national entities. In so doing, it could help achieve consensus at the country level of the responsibilities of each institution in the scale-up. The same procedure can select IEs and EEs. The fast tracking of Fund IEs to the GCF accreditation process is already a positive step to ensure more efficient scale-up of successful adaptation pilots. Further alignment between the two funds, and more efficient

internal approval processes and stakeholder collaboration, could lead to more timely approval and implementation of scale-ups.

7. Appendix II: Scaling pathways – how does scaling happen?

7.1.1 The Role of pilot projects and questionable evidence for piloting success as an initial stage of scaling

Project designers in the development sector regularly use pilot projects as instruments for testing innovations and implementing policies on a restricted scale. Pilot projects are the means of applying new approaches in a confined field setting to learn about the innovation–context interaction and to use these lessons for improving innovation or adjusting management practices and policies.

Indeed, it is not uncommon for approaches to complex societal problems, such as adaptation challenges, to recommend pilot projects before policy development proceeds further to include pilot projects in their initial proposals. Today, they are widely considered to provide a means of dealing with the complexity of social-ecological systems and their associated uncertainties, the dynamics and new challenges deriving from climate change and ongoing and increasing pressure on natural resources (Vreugdenhil et al., 2010).

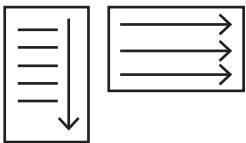

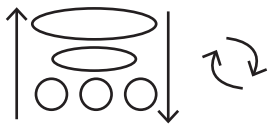
Despite the positive attributes and the high expectations that pilot projects will contribute to learning and policy change, evaluations of pilot projects have been more critical. According to De Groen et al. (2004), outcomes are no more than learning from failure, and pilot projects are therefore considered as ineffective instruments for policy innovation. Sanderson (2002) is even more critical when finding that no policy learning took place in the pilot projects he studied. Instead, the pilot projects were undertaken as a diversion or served as demonstration projects. Sanderson (2002) thus concludes that the pilot project label can be abused and that its legitimacy is questionable.

The differences between the expectations and outcomes of pilot projects show that pilot projects and their functioning are complex in nature, subject to uncertainty and influenced by actor behavior.

Additionally, pilot projects are used for different purposes and so the meaning of the term can be contested (see Figure 11). What one actor deems core to pilot projects, others might consider less important, for example, feedback to

policy versus implementation of the pilot. Despite their prevalence and the lack of coherence and even criticism of their functioning and use, pilot projects themselves have not been the subject of much study, particularly in the adaptation field.

Figure 11. The role of pilot projects in policy development theories (source: Vreugdenhil et al., 2010)

Management and Policy Models		Role of pilots within the model types		
	Examples	Basic Characteristics	Use	Potential Influence
Analytical models	Phase model (Simon 1977, Miser and Quade, Hoogerwerf 1998) Parallel model (Geldof 2005) 	Rationality Single actor/individual (Koppenjan 1993) : experts and focus groups Clear distinguishable activities Well-defined (single) issue: strong focus Perspective in nature	Solution to particular problem Developing and streamlining innovation with local context Streamlining resources Knowledge development and feedback Technology testing Evaluation	Gaining experience Learning Issue-solving Implementation of idea(l)s Spread of ideas and practices Stimulation creativity and innovation Stimulation of interaction between innovation and social, physical and institutional context
Political models	Rounds/arena model (Teisma 1995) Streams model (Kingdom 1984/1995)  Pauli, 2001	Multi-actor/groups (Koppenjan 1993): policy makers and coinciding groups, policy entrepreneurs Complex systems No procedures No fixed hierarchy in goals and values Capriciousness Intermittent focus on issues Descriptive in nature	Strategic influence actor relations, shift attention, convincing ("social" use) Dealing with risk Early, small scale, evaluation of policies before (national) roll out of policies (Cabinet Office 2003)	Changed actor-networks and interactions and interdependencies Changes perceptions Policy adaptations Prevent failure/financial consequences Giving direction and setting boundaries
Holistic models	Adaptive management (Holling 1976, Lee 1993, Walters 1986, Pahl-Wostl 2006) Transition Management (Rotmans, 2001) 	Interconnection between societal/policy levels Recognition of uncertainties, complexity and dynamics Experiments inherently part of the philosophies Learning as a basis for progress Pragmatic: striving after policy change Prescriptive in nature Reaction to weak role of evaluation in practice	Learning by doing Dealing with uncertainty Exploratory function Initiating function Recognition of importance of local context	Social learning Feedback in governance process Accumulating evidence Accumulation of niches formation and regime change (Raven 2007) Adaptation in practices and policies

Scale is typically considered in terms of limitations of dimensions, including time, space and problem scope. Pilot projects are confined in at least one of these dimensions. Indicators of confined scales include budgetary constraints; limited timelines; limited geographical coverage; and a limited number of issues and consequently actors involved. Confining the scale of a pilot project acts to prevent large flaws and is a means of dealing with risk and uncertainty.

Woltering et al. (2019) argue that most pilot projects do not mature to the intended scale because they are set up and managed as stand-alone projects, rather than as true pilot projects aimed to test performance at scale. For example, while most pilots test if an innovation works in a particular context, they overlook other factors critical for success at scale, such as testing for ways to improve collaboration or implementing alternative methods to access market finance without project support.

During the late 1980s and 1990s, pilot approaches were increasingly questioned (Partners for Health Reform, 2004). Criticism of pilots focused upon several aspects:

- Pilot projects were frequently perceived to be donor-driven and dependent upon external funding. Furthermore, it was argued, the heavy external involvement in their design meant that they were excessively influenced by external priorities, thus failing to adequately serve local interests or capture local commitment;
- Pilot projects often did not result in roll-out of the piloted design. It was suggested that sometimes the intensive support that pilot projects received was impossible to replicate on a broader scale;
- The intense nature of pilot projects may absorb excessive human and financial resources. For example, scarce skilled researchers, health workers, and program managers may be attracted to pilot areas to the detriment of other areas. This magnet effect also meant that strategies that could be successfully implemented on a pilot scale could not be effectively rolled out;
- Finally, it was argued that pilot projects may stifle broader reform efforts. They may weaken the confidence of leaders to pursue widespread radical reforms and/or become convenient mechanisms for policymakers to employ in order to defer broader, politically risky reform.

These potential disadvantages are contrasted by the following advantages:

- Pilot projects allow policymakers to “try out” alternative arrangements for the respective system in a relatively risk-free way. If policymakers are uncertain about the political support for, or technical feasibility of a new policy or system design, piloting the reform may allow them to determine these factors before institutionalizing such reforms or implementing them nationwide;
- Piloting of reforms may generate lessons regarding technical design and implementation that can feed into the further implementation and refinement of the reform;
- Pilot projects offer an opportunity for greater control over the implemented intervention than is typically the case for broad-scale reform. This can contribute to the establishment of a powerful information base about the effects of reform;
- Pilots can provide the opportunity to build a nucleus of capacity in reform implementation through learning-by-doing, prior to attempting more widespread implementation;
- Pilot projects can demonstrate the benefits of reform in a very tangible and experiential manner. This may be important to convert reform skeptics who have difficulty understanding how the proposed reform would work and can also help develop reform champions.

7.1.2 Scaling pathways relating to system and transformational change (scaling out and deep)

Given the diversity of contexts, ambitions and settings in which the Fund’s projects are planned and implemented, it is vital to understand the system that the “project” is embedded in and how the project “interacts” with the wider system in order to create impact at larger scale.

There is an increasing number of theories, approaches and concepts that deal with a better understanding of such processes and, in some cases, are connected to ideas on how to manage, instigate and fund them best.

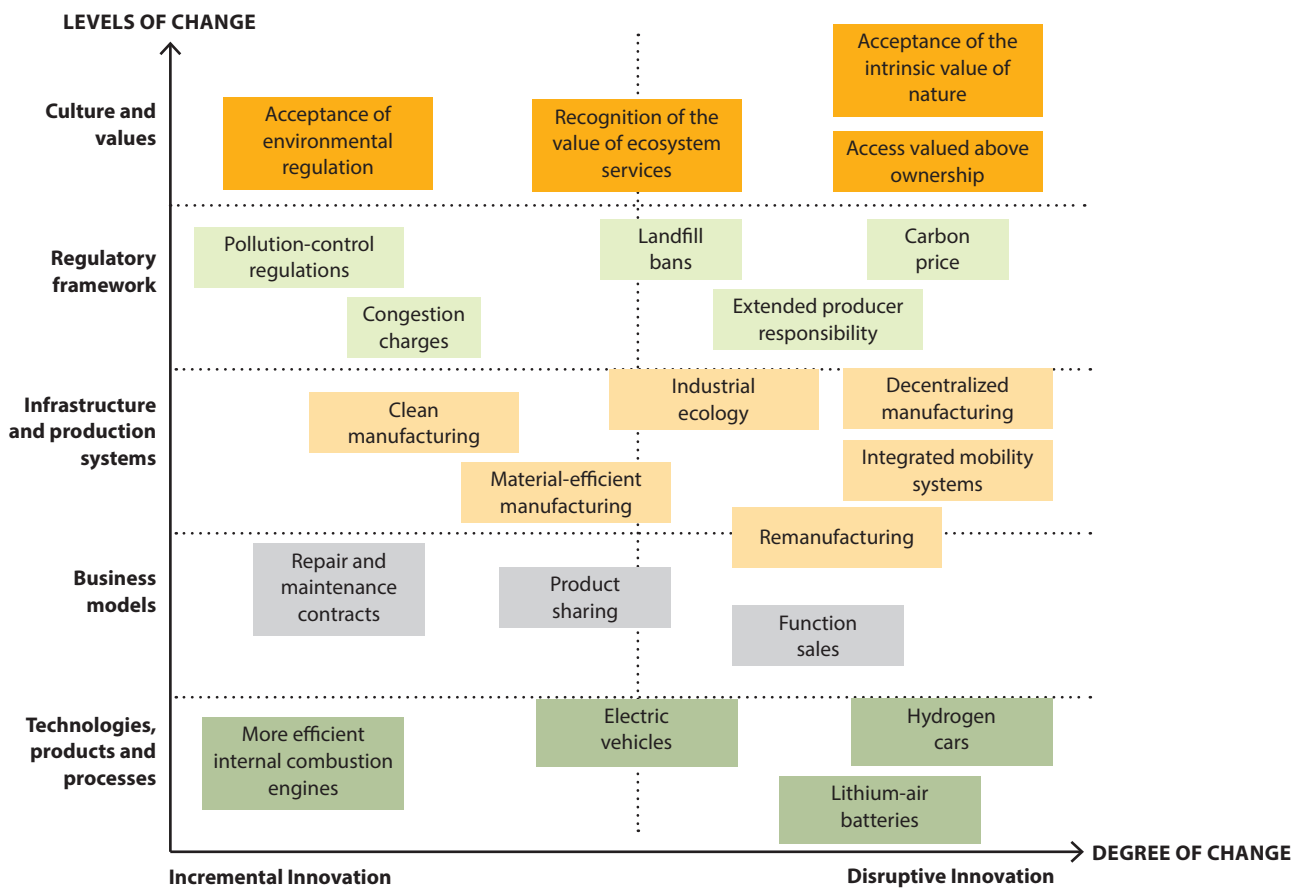
MaRS Solutions Lab has developed a “Periodic Table of System Change”⁴³ to describe elements that matter as part of system change processes, merging

43. MaRS Solutions Lab. (n.d.). *Our Approach for Systems Change*. Available at: https://www.nonprofitjourney.org/uploads/8/4/4/9/8449980/_periodic_table_of_systems_change.pdf. Accessed 17 August 2023

different theories of change, from social innovation to design thinking, from change management to social movements.

In the same vein, some actors (e.g. EIT Climate-KIC) use the term “system innovation” to indicate that a narrow focus on “fully controllable mechanistic interventions” is not sufficient to trigger transformative impact at scale (see Figure 12). They define “system innovation” as a combination of technological and non-technological innovations that, enacted together, deliver transformative impacts. System innovation aims to shift whole systems to strengthen resilience through new ideas applied to multiple barriers to progress simultaneously. As for climate adaptation, this involves deliberately designing and sourcing climate adaptation innovations across finance, policy, regulation, citizen engagement and technology in a test-learn-adjust approach (Mitchell, 2021). As a result, system innovation offers an integrated framework to enable synergies between incremental and disruptive innovation efforts, which are often uncoordinated across changes occurring at different levels, ranging from products and processes to regulatory frameworks and value systems (see Figure 12).

Figure 12. Climate innovations mapped across system elements (source: EIT Climate-KIC, 2017)



Similarly, Cooley and Linn (2014) consider “drivers” and “spaces” as key elements of scaling pathways in the “IFAD Scaling Up Framework” from 2014.

The IFAD framework distinguishes four common drivers:

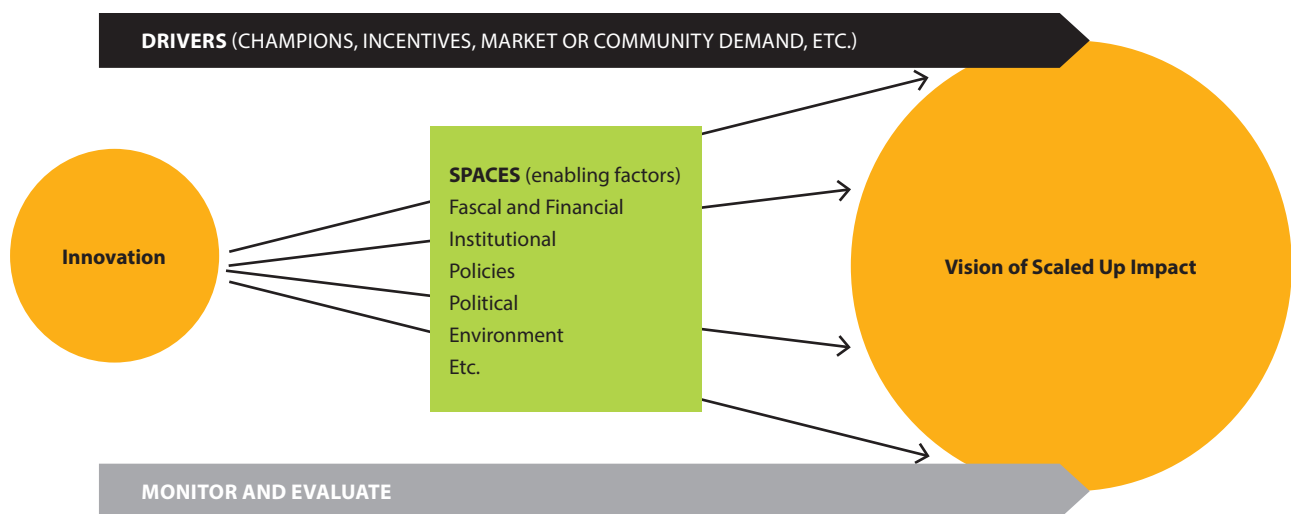
- Ideas and models: There has to be an idea or model that works at a small scale. These may emerge from research or practice. The attraction of the idea or model may drive diffusion. Spontaneous diffusion happens, but more often other drivers are needed to assure scaling up.
- Vision and leadership: A vision is needed to recognize that scaling up of an idea is necessary, desirable, and feasible. Visionary leaders or champions often drive the scaling-up process forward.
- External catalysts: Political and economic crises or pressure from outside actors (donors, NGOs, market or community demand, etc.) may drive the scaling-up process forward.
- Incentives and accountability: Incentives are key to driving the behaviour of actors and institutions in order for sustained scaling up to be possible. These incentives include rewards, competition, and pressure through the political process, peer reviews, and evaluations.
- Monitoring and evaluation against goals, benchmarks and performance metrics are essential ingredients to establish incentives and accountability.

They further identify eight spaces that most commonly have to open up when pursuing a scaling-up pathway:

- Fiscal/financial space: Fiscal and financial resources need to be mobilized to support the scaled-up intervention, and/or the costs of the intervention need to be adapted to fit into the available fiscal/financial space.
- Natural resource/environmental space: The impact of the intervention on natural resources and the environment must be considered. Harmful effects of scaling up on natural resources and the environment must be mitigated, and the benefits of scaling up for natural resources and the environment should be promoted.

- Policy space: The policy (and legal) framework must allow for, or be adapted to support, scaling up.
- Institutional/organizational/staff capacity space: The capacity for institutional and organizational resources must be created in order to carry the scaling-up process forward.
- Political space: Important stakeholders, both those in support and those against the intervention, need to be attended to through outreach and suitable safeguards to ensure political support for a scaled-up intervention.

Figure 13. Key components of a systematic scaling pathway (source: Cooley and Linn, 2014)



7.2 Scaling driven by increase in investment and financial instruments

While the evaluation touches less on aspects of how adaptation finance can be scaled up and be best delivered, we want to refer to recent progress and practice in this field. Overall, it will be important that the Fund’s funding instruments and approaches are smartly embedded in and linked to the rapidly emerging and expanding landscape of financing sources and financial institutions for adaptation and risk reduction. This will enhance the likelihood

that promising innovations, implementation experiences and initiatives funded by AF grants up are scaled up, out or deep.

This recognizes that discrepancies between the financial needs and the current supply of adaptation finance are immense. Given the amount of warming that has already been locked in by rising greenhouse gas concentrations, addressing adaptation needs will require significant financing across all countries, regions, and markets. And such financing for adaptation and resilience needs to be scaled up quickly.

Best available estimates are that the annual cost of adaptation will be between US\$ 140 billion and US\$ 300 billion by 2030. While understanding the costs and the benefits will be vitally important, the magnitude of these figures implies that in all circumstances public budgets will be insufficient alone to address the financing challenge for adaptation, and the full strength of the financial sector is needed, inclusive of both public and private finance (GCA/ UNEP FI, 2019).

The question of how to scale up financing to address climate change is not new. In the context of the climate agenda over the last 25 years, significant effort – and action – has been taken to develop approaches that can “unlock” financial flows with the recognition that addressing climate change will cost far more than public budgets alone can bear. Efforts to scale up financing have included the creation of special climate funds, such as the multilateral Global Environment Facility (GEF), Climate Investment Funds (CIF), and Green Climate Fund (GCF), as well as bilateral, national and local special climate funds.⁴⁴ These approaches were intended to utilize public and long-term capital to unlock private capital, as is the premise of most blended finance approaches.

Publicly directed financial mechanisms, such as public sector infrastructure banks, agriculture banks, and export credit agencies, and publicly capitalized development finance institutions, like the Fund, including multilateral, bilateral, regional and national development banks, play a significant role in the financial sector, in particular in emerging markets. Many of these publicly directed finance institutions play a key role in bridging and (increasingly) blending public and private capital to catalyse development that the markets do not automatically finance on their own.

Promising activities comprise the piloting and scaling up of innovative financial mechanisms such as blended finance that enable risk sharing and crowding-in

44. For example, the Brazilian National Fund on Climate Change, South African Green Fund, Bangladesh Climate Change Trust Fund, European Regional Development Fund, and New York State Green Bank

of private capital into climate-smart investments, and (currently) developing the tools necessary to integrate climate considerations into risk management approaches, such as climate risk rating systems. Furthermore, many DFIs also work directly with emerging market/developing country financial sector policymakers and regulators to help build capacity with central banks, finance ministries, and others on topics related to climate change.

In line with the findings by GCA/ UNEP FI (2019), IISD (2023)⁴⁵ presented an inventory that aims to look beyond traditional sources of adaptation finance – i.e., grants and (concessional) loans - to innovative financial instruments and mechanisms that can unlock (private) investment. These instruments are increasingly viewed as means to scale up the investment needed for countries to achieve their climate adaptation goals.

The inventory includes mechanisms and approaches that can be used to acquire, structure, govern, and allocate financial resources towards adaptation priorities. They can enable access to financial resources from financial institutions, private investors, institutional investors (such as pension funds), impact investors, foundations, and other philanthropists, and may be blended with traditional sources of financing.

This inventory provides information on a range of innovative financial instruments that have been used, or potentially could be used, to finance the implementation of climate adaptation measures. It includes:

- **Mature instruments** – instruments that have been used for many years for other purposes that could be adjusted to finance climate adaptation.
- **Emerging instruments** – newer instruments that may or may not have been developed, in part, to finance climate adaptation.
- **Pilot instruments** – instruments that are currently being developed to finance climate adaptation and may be applied in the near future.

Facilitating the emergence of adaptation innovation at scale

There are clear barriers to expanding funding for the innovation ecosystem: (1) innovation remains under-resourced, and models that are providing clear results are not properly supported; (2) pathways to scale remain limited

45. Inventory of Innovative Financial Instruments for Climate Adaptation: <https://www.iisd.org/innovative-financing/>

because of the total funding available; and (3) the risk appetite of donors remains too conservative to properly support and scale innovation.

The Center for Strategic and International Studies' (CSIS) review of donor funding models (2022) has revealed the role of grants, the primary funding modality by the Fund, in integrated innovative financing modalities for the development sector, notably:

- **Grand challenges model:** Often framed around a “grand challenge,” this is a model where donors provide small grants to seed initial pilot projects that tackle identified challenges. Two examples of this are the U.S. Agency for International Development's (USAID) Grand Challenges for Development⁴⁶ and the Canadian government's Grand Challenges Canada.⁴⁷ Both are examples of where a donor has provided grant funding that is then awarded to individuals or organizations with a unique idea or approach to solving a vexing development challenge.
- **Venture grant model:** Some donors have tried to create an internal initiative that seeks to replicate a venture capital approach, using a “venture grant” model that targets innovation. USAID pioneered this model through its Development Innovation Ventures (DIV) program,⁴⁸ which uses a tiered funding model where funding decisions are tied directly to evidence of impact.
- **Hybrid venture model:** Seeking to replicate the success of the DIV model, USAID and the United Kingdom's Department for International Development (DFID) launched a multilateral version – the Global Innovation Fund (GIF). Like DIV, GIF uses a tiered funding model tied to evidence of impact, but it has a broader range of flexible financial instruments, including grants, equity, and debt.

The GCF (2021) highlights that climate finance, and consequently adaptation finance, in a context of Covid-19, should pursue the following strategies in order to scale up finance or optimize its use:

- Integrating policies on climate action, sustainable development, and

46. United States Agency for International Development. (n.d.). Grand Challenges for Development. Available at: <https://www.usaid.gov/innovation-technology-research/innovation/grand-challenges>. Accessed 17 August 2023

47. Canadian Government. (n.d.). Grand Challenges Canada. Available at: <https://www.grandchallenges.ca/>. Accessed 17 August 2023

48. United States Agency for International Development. (n.d.). *Development Innovation Ventures*. Available at: <https://www.usaid.gov/div>. Accessed 17 August 2023

Covid-19 stimulus to minimize incremental investment requirements and optimize development co-benefits;

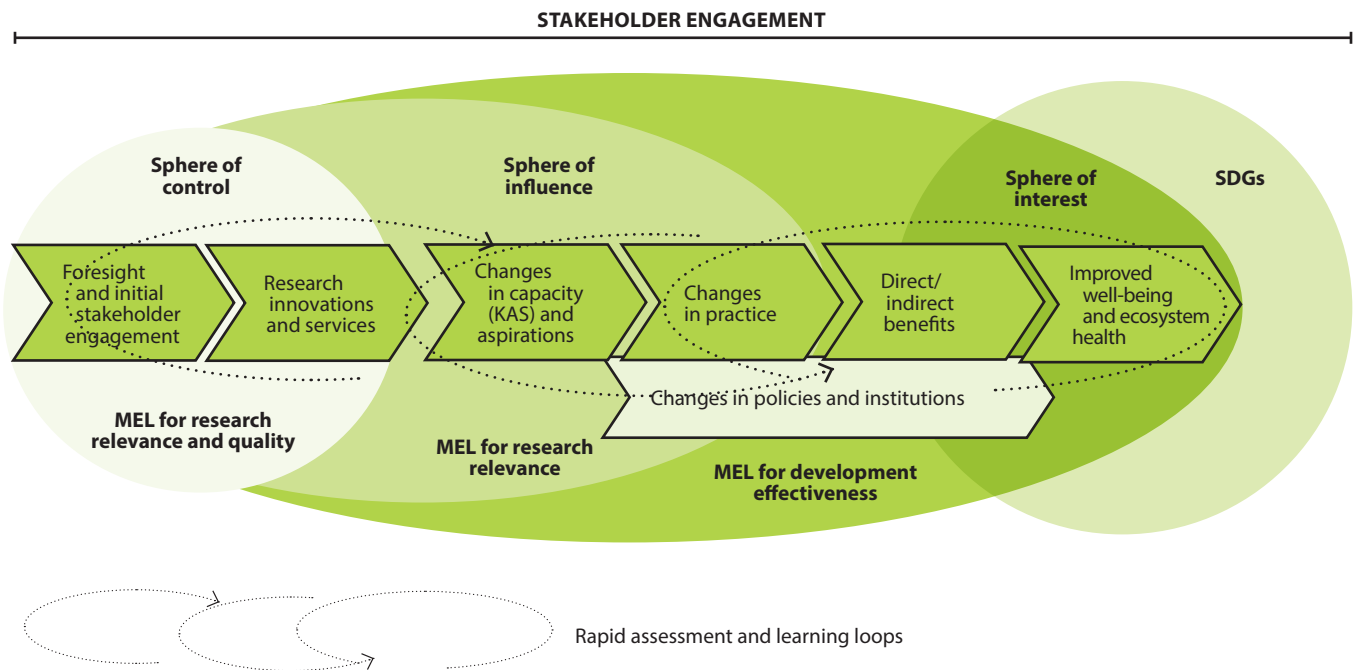
- Alleviating the debt burden of developing countries to create fiscal space to finance their green, climate-resilient recovery plan;
- Leveraging sovereign and multi-country guarantee funds to reduce investment risk and catalyse private finance; and
- Increasing developing countries' access to the green bond market, including resilience bonds.

7.3 Scaling beyond increases in investment and new financial instruments and modalities – non-financial instruments and approaches

As discussed in section 2.3, there are many approaches and conceptual thinking about scaling impact that use additional or alternative scaling pathways influencing one of the “drivers” and “spaces” defined by Cooley and Linn (2014).

The Consultative Group on International Agricultural Research (CGIAR), for instance, uses a framework that considers a scaling model that spans three concentric spheres (Figure 14). These are: the Sphere of Control, the direct products of CGIAR research; the Sphere of Influence, where CGIAR may have some input but cannot control the outcome (such as contribution to a policy decision); and the Sphere of Interest, where CGIAR has very little control and which may happen many years after the research, such as adoption by farmers of a technology at large scale and at their own cost. More recent project planning and MEL approaches take these “ripple effects” into account and are, hence, deliberate enablers of scaling processes. These encompass approaches and tools such as: (a) analytical and mapping work of the scaling (eco-)systems that are relevant in the given project context (i.e. deeper situational/ contextual analysis, systems analysis, market analysis, instructional mapping, political economy analysis); (b) project planning tools that encourage to go beyond the “sphere of control” (ToC, visioning approaches, scenario analysis and building, knowledge-into-action approaches); and (c) apply project management tools approaches that allow for a culture of testing and experimenting, flexibility, the development of a sense of ownership (e.g. adaptive management, management 3.0).

Figure 14. Scaling model used by CGIAR (source: CGIAR, 2016)



7.4 Planning and managing scaling processes

As shown before, the planning and managing of scaling processes relies on a carefully curated mixture of enablers at institutional and policy levels of organizations and at project level.

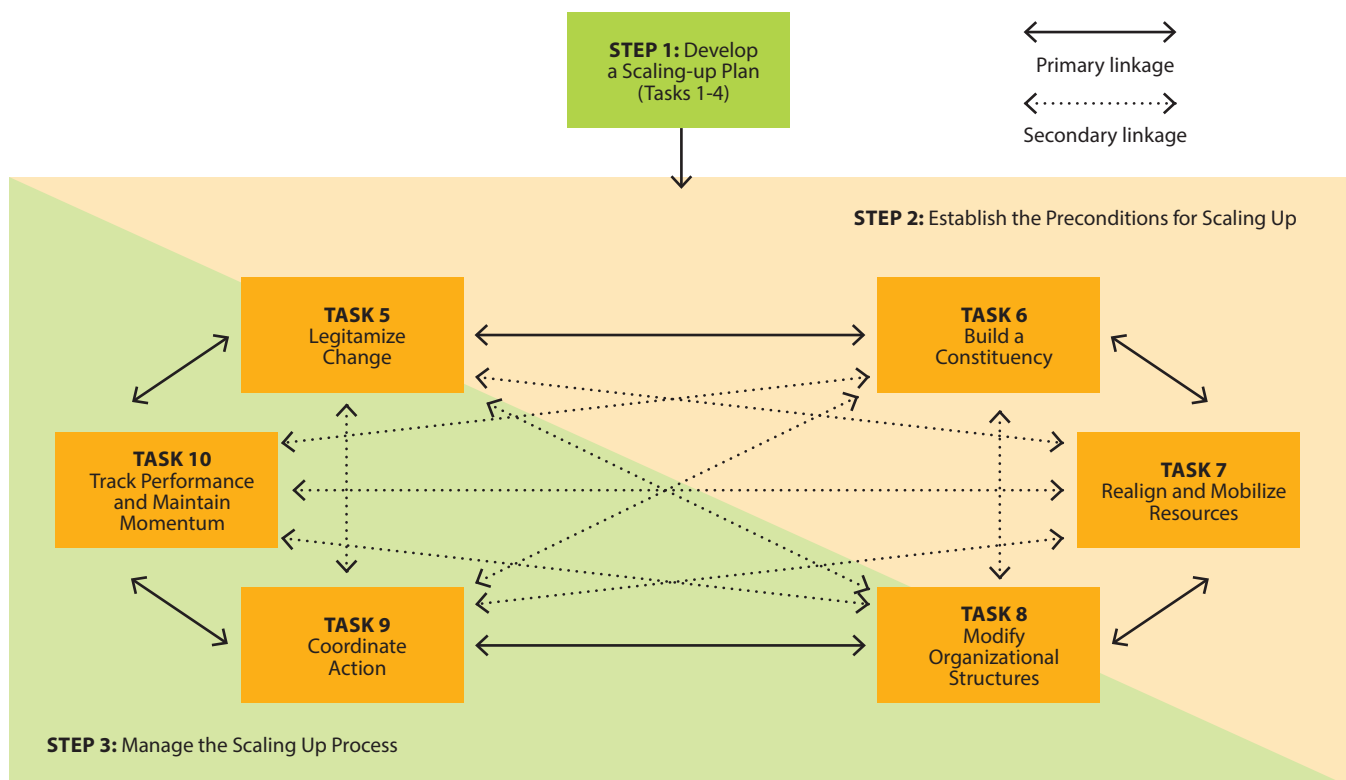
Generally, key entry points to generate impact at larger scale from the perspective of a funding institution, such as the Fund, are (a) increased levels of funding provided, including leveraging of additional public and private funds and (b) enhanced planning and implementation approaches at operational and project level.

A number of frameworks to plan scaling and identify strategies, as well as key elements for effective scaling, have been developed, many of which are a combination of managing instruments and aspects that matter both, at strategic level and operational/ project level. However, only in 2006 (Cooley and Kohl, 2016) was the first toolkit for practitioners made available; called the Scaling Up Management (SUM) Framework, it was subsequently refined and expanded in Editions 2 and 3, both of which include the MSI Scalability Assessment Tool. USAID adapted the latter in 2018 to the Agricultural Scalability Assessment Tool (ASAT) (Kohl and Foy, 2018). Other donors such as

the International Fund for Agricultural Development (IFAD), the World Health Organization (WHO) (ExpandNet, 2011), and GIZ (2017) have also developed toolkits. Most recently, the International Maize and Wheat Improvement Center (CIMMYT) and the PPPLab⁴⁹ developed the Scaling Scan (Jacobs et al., 2018). All these frameworks assign the difficulty of scaling innovations to a lack of clarity about what is required to achieve sustained results beyond smaller pilot programs. The tools help simplify and explain the complexities of scaling and guide users to systematically think through key elements, ingredients, or success factors (Woltering et al. 2019).

Adaptation projects often face higher socio-political complexity compared to other industries; therefore, it is necessary to cater a project management approach to the specific needs of adaptation projects rather than following a one-size-fits-all mentality (Matos, Romão, Sarmiento, & Abaladas, 2019). That is why it is worth to carefully consider types of project management approaches that allow the emergence of social innovation.

Figure 15. Graphic view of scaling up process (source: Cooley and Linn, 2014)



49. The Public Private Partnership Lab is a consortium of SNV Netherlands, Erasmus University, the Wageningen Centre for Development Innovation, and Aqua4All.

7.5 Defining scaling in relation to innovation

While scaling is not limited to innovations, the concept of scaling is closely related to conceptual ideas related to innovation processes. As discussed in the “Thematic Evaluation of the Fund’s Approach to Support Innovation for Climate Change Adaptation”, stages and dynamics of commercially, market-focused innovations (see Figure 16) are distinctively different from innovation processes with primarily public good outcomes, i.e. positive social and environmental impacts. Both are not completely distinct, particularly in view of a growing movement of social entrepreneurship and socially minded businesses.

As opposed to the innovation cycle in Figure 16, Figure 17 and Figure 18 better demonstrate the dynamics of social innovation and conceptualize changes (including scaling processes) as overlapping cyclical processes. They illustrate that social innovations are triggered by a desire to satisfy unmet social needs while also demonstrating the non-linearity of social innovation compared to the innovation cycle related to technological and business-driven innovation.

Figure 16. Innovation cycle typical for commercially focused and business-driven outcomes (source: Dorn, 2021)

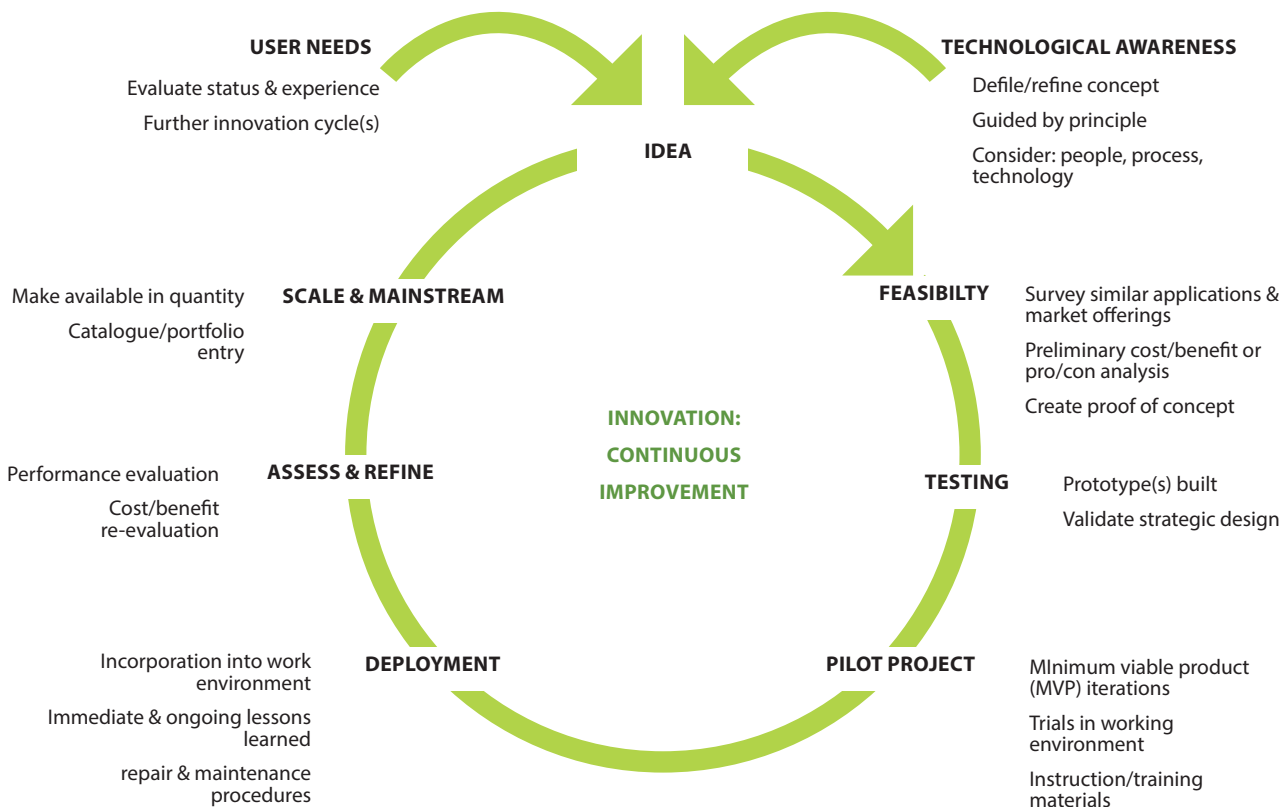


Figure 17. Social innovation cycle (source: Sarkki et al., 2021)

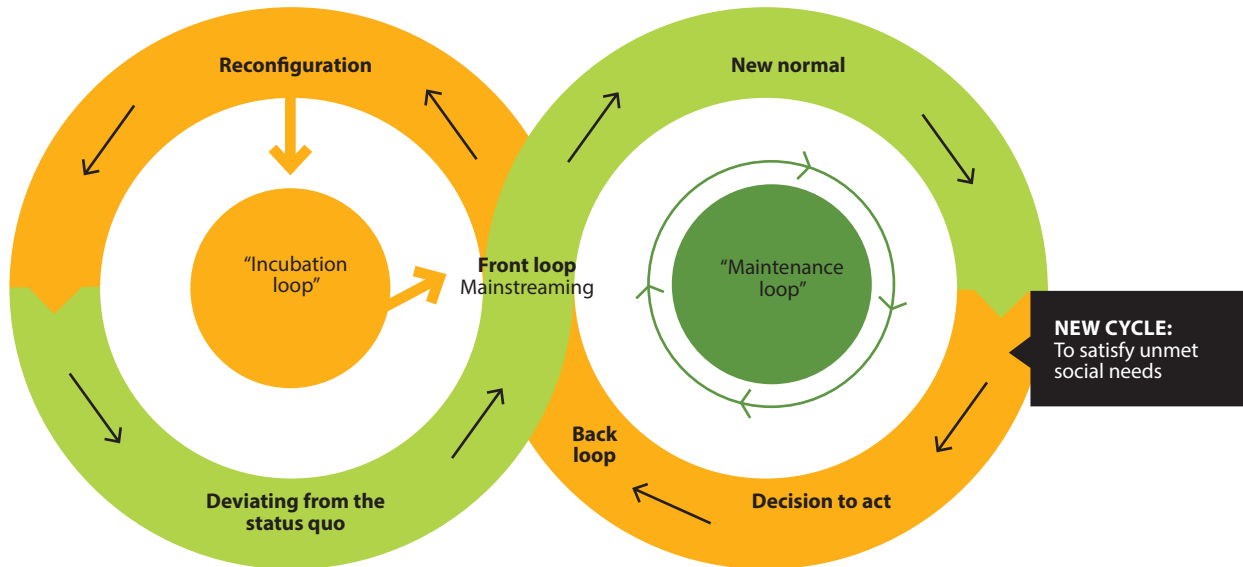
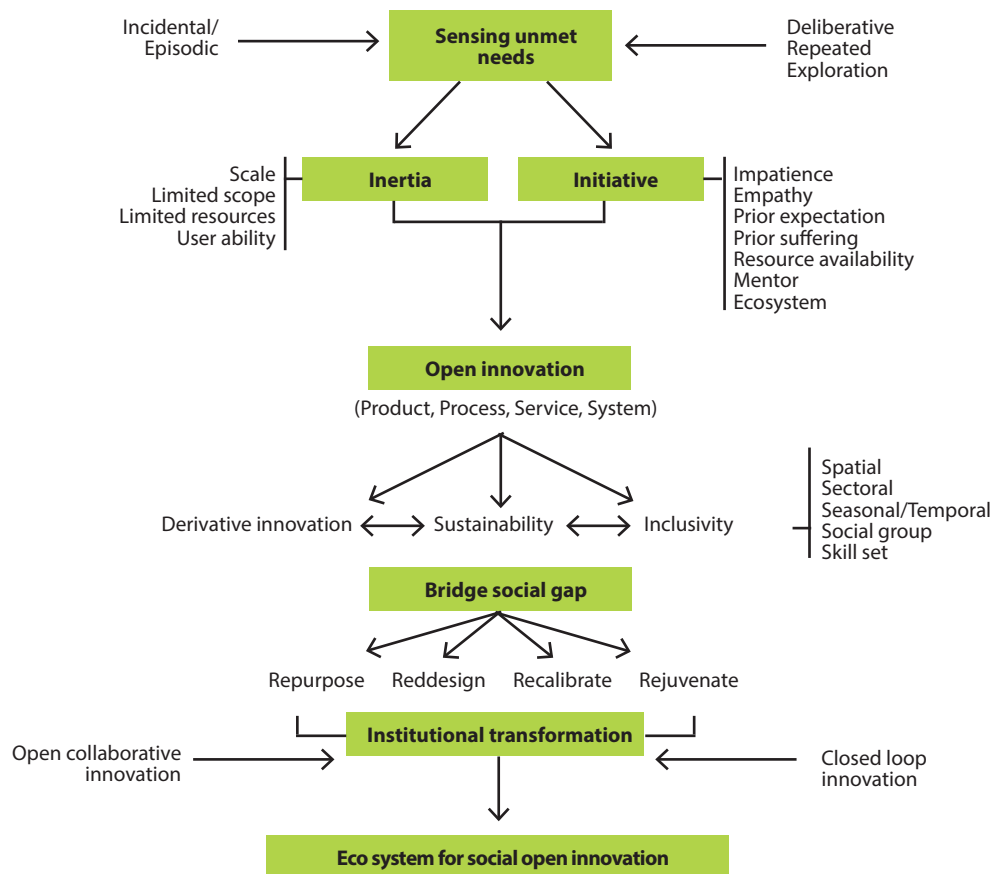


Figure 18. The emergence of social inclusive open innovation (source: Gupta et al., 2017)



Gupta et al. (2017) introduces the concept of social inclusive open innovation and how they evolve and emerge (see Figure 18). As compared to more closed innovation⁵⁰ cycles, ideas and experiences in social open innovation processes are clearly more relevant in view of scaling-out and scaling-deep processes. One of the key aspects to highlight is the fact that the management and the ex ante planning of social inclusive open innovation is considerably more complex and requires an interplay between various societal actors.

In conclusion, the innovation and scaling processes are closely interwoven, so it is important to pay special attention to innovation processes that result in outcomes that are socially and environmentally adaptive. A large body of literature covers the processes associated with transformational or system change, which can be referenced to (Doughnut Economics – Kate Raworth, 2017; Great Mindshift – Maja Göpel, 2016, etc.). The theory and practice behind social entrepreneurship and social impact investing (Perrini and Vurro, 2006) is another field relevant to consider for the AF in view of enabling and supporting scaling processes.

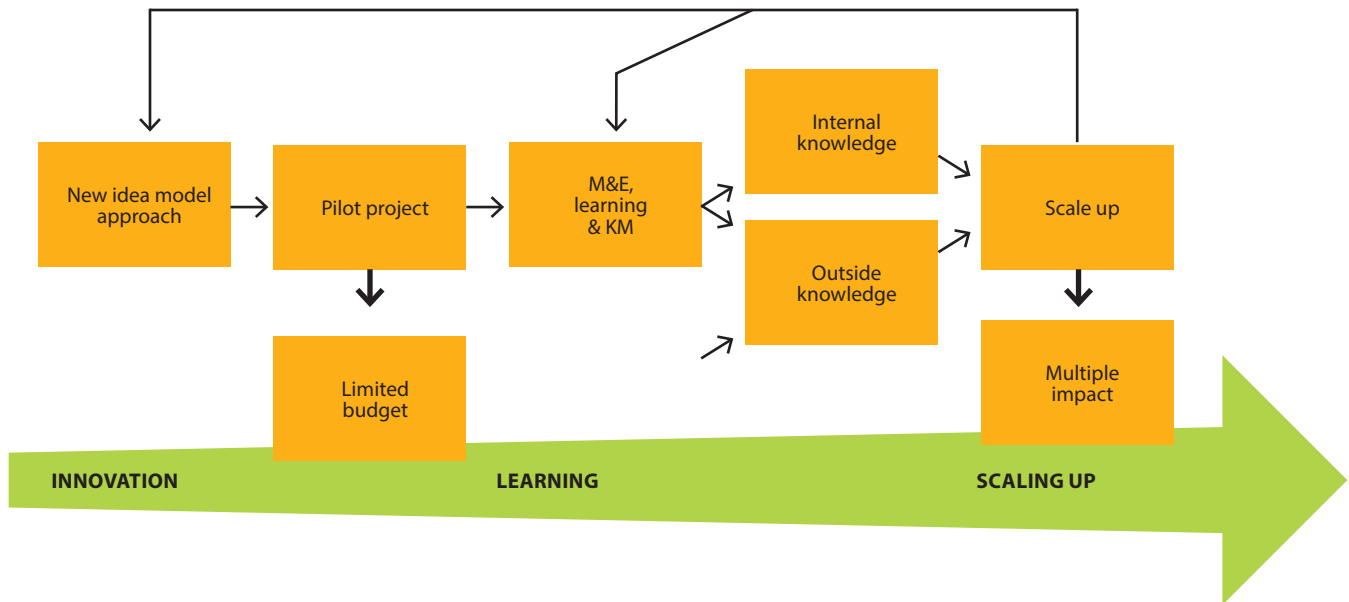
7.6 The Role of evidence and learning in scaling processes

Despite an increase in funding and support, many projects and innovations have not been successfully scaled beyond the pilot stage. The types of evidence that a project generates, and the way the evidence is tailored, will determine the decisions that stakeholders make about the innovation or adaptation action and ultimately influence its scaling success (see Figure 19).

Woltering et al. (2019: 3) argue that most pilot projects' M&E systems are often subject to "perverse" incentives: "A key metric for "successful" or "scaled" development efforts is the number of end-user households adopting a particular innovation by the closing date of the project.

50. Closed innovation happens in closed environments often performed by individuals, scientists or employees. The paradigm of closed innovation says that successful innovation requires control and ownership of the intellectual property. The innovating entity should control the creation and management of ideas.

Figure 19. The links of innovation, learning and scaling up (source: Cooley and Linn, 2014)



Thinking about evidence in this way recognizes it as a powerful tool in the scaling journey; one that can help innovators win allies, secure funding, increase demand, and contribute to transformative change, rather than as a burden on already constrained time and resources.

Different stakeholder groups supporting a given innovation will have different priorities in terms of the evidence they think is important. For example, donors often support projects over short time frames and tend to focus their evidence requirements around risk avoidance and metrics for “Impact”. Meanwhile, local organizations using the innovation may be more interested in the value of that innovation to the end-user compared to alternatives. Each set of stakeholders will make decisions that shape the innovation’s scaling journey, including whether to fund, use, adopt, or support the innovation. The evidence generated during scaling therefore needs to meet the different needs of multiple stakeholders.

There is certainly no one-size-fits-all approach to generating and using evidence for decision-making around scaling. However, Linn (2021) presents a set of considerations that is useful to answer the question as to how do we evaluate scaling efforts or, in other words, how do we use evidence to inform the scaling process?

1. First, consider evidence on whether the intervention “works”

as intended at a given (usually small) scale and under given circumstances – robust impact evaluations are preferable, but qualitative evidence may also be needed; any methods that allow for an evidence-based assessment of contextual factors is recommendable.

2. Second, look for evidence to inform the vision of scale – it helps to know what the potential market is, who are the expected adopters or beneficiaries, etc. (e.g., small-holder farmers, where they live and what their characteristics are); here one can rely predominantly on quantitative data (surveys).
3. Third, consider evidence on the enabling factors – this will generally involve a combination of quantitative and qualitative data, for example:
 - a. Policy as an enabling factor: here, quantitative/qualitative analysis of policy and regulatory constraints or incentives can be used (taxes, subsidies, tariffs and quantitative restrictions, regulatory controls including phytosanitary regulations, land use, etc.);
 - b. Fiscal/financial enabling factors: here, one will want to collect data on the costs of intervention and how costs are expected to change along the scaling path (economies or diseconomies of scale) and under different conditions; data on beneficiaries' or communities' ability and willingness to pay for products and services (private or public); information on availability of public budget resources from various levels of government (national, provincial, local); and information on how different financing instruments (grants, loans, guarantees, equity contributions, etc.) work at different scaling stages and under different conditions, etc.;
 - c. Institutional enabling factors: here, qualitative/ quantitative analysis is needed of institutional landscape of implementing organizations potentially involved along the pathway; and qualitative/ quantitative information on the readiness/capacity of different institutional actors (e.g., number and qualifications of extension agents);
 - d. Partners/ funders as enabling factors: here, qualitative analysis of institutional landscape of partners potentially involved along the

pathway will be helpful, in addition to qualitative information on the readiness/ capacity of different partners;

- e. Environmental enabling factors are especially important for agriculture: here, quantitative/ qualitative analysis of environmental resources' availability/ constraints will apply (e.g., water resources, soil quality, etc.);
- f. Political considerations: here, one can employ quantitative/ qualitative analysis of winners and losers from interventions along the scaling pathway and how they map into the political landscape for the intervention to be scaled.

8. Appendix III. Landscape review

The landscape review is based on consultations with relevant individuals and organizations working on scalability from inside and outside the Fund. The purpose of the semi-structured interviews comprised the collection of experience-based intelligence on scaling and the collection of good practice examples. The findings were further substantiated and triangulated through a review of documents relevant to scaling and scalability in each institution consulted. Appendix IV provides more detail with regard to the topics and guiding questions of the consultations.

List of institutional-level strategies, evaluation and reports of consulted monetary finance institutions (MFIs) and funding organizations that relate to scaling and scalability of their impact and operations:

- [IFAD's Operational Framework for Scaling Up Results](#) (2015)
- [IFAD's Support to Scaling Up of Results – Evaluation Synthesis](#) (2017)
- [GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund for the GEF-8 Period of July 2022 to June 2026 and Operational Improvements](#) (2022a)
- [GEF Progress Report on the Challenge Program for Adaptation Innovation under the Special Climate Change Fund and the Least Developed Countries Fund](#) (2022b)
- [GEF Evaluation of GEF Support to Scaling Up Impact](#) (2020)
- [GEF Concept Note – Support to Scaling Impact](#) (2018)
- [GCF Scaling up climate finance in the context of Covid-19](#) (2021)
- [CIF Transformational Change Toolkit – Guidance Questions. Transformational Change Learning Brief](#) (2022)
- [CIF Transformational Change Concepts. Transformational Change Learning Brief](#) (2021)
- [CIF's Evaluation of the Development Impacts from CIF's Investments](#) (2023)

This section of the report provides “highlights” and good practice examples guided by the above intelligence drawn and extracted via the above-

mentioned activities. Thereby it does not systematically refer to each of the organizations consulted in each aspect reviewed but emphasizes certain spotlights that will help the Fund to position its efforts directed to scalability in relation to the landscape of MFIs and other funders.

8.1 Embedding scaling and scalability considerations at institutional and strategy level

Most institutions have a diffuse and somewhat undefined way to scale impact at institutional governance or accountability level but unsurprisingly broadly encourage and anticipate the diffusion and the wider adoption of measures, innovations and projects and programmes that have been initiated or funded by the very institution via a variety and depth of scaling pathways.

These can be roughly divided into financial (section 2.4) and non-financial instruments (section 2.5 and 2.6) to drive scaling of impact:

Financial instruments and pathways:

- a. Leveraging, catalysing and mobilizing of additional national budgets;
- b. Leveraging, catalysing and mobilizing of additional international (public) funding;
- c. Leveraging, catalysing and mobilizing of additional private funding.

Non-financial instruments and pathways:

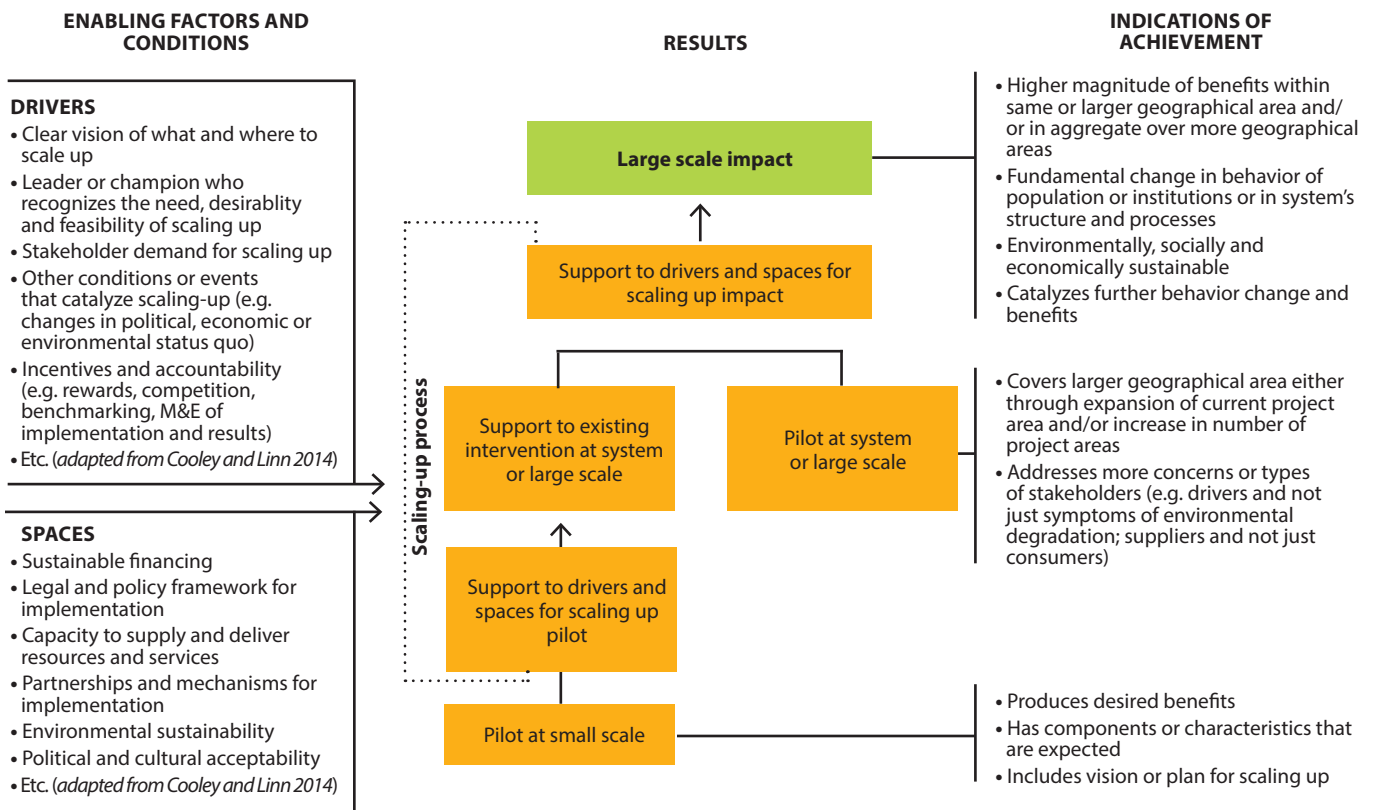
- d. (Support to) Development or change of public policies, including engaging in policy dialogue;
- e. (Support to) Activities and approaches focusing on attitudinal and behavioral change and capability strengthening & development;
- f. (Support to) Activities and approaches focusing on learning, knowledge management and innovation (eco-) systems;
- g. (Support to) Activities and approaches focusing on partnership building;
- h. (Support to) Diffusion and adoption of innovation (technologies, products, services) via market-based or other mechanisms;

- i. (Support to) In-country enhancements based on initial measures and innovations generated by initial funding.

Most agencies are well aware and conscious of oversimplified approaches, “misunderstanding” the complexity of scaling processes (see also Woltering et al. 2019 or section 2). On the other hand, the complexity of reality and the systems that funders intervene in is often beyond the modalities, capacities, and tools at hand.

Overall, the review has found an amorphous set of definitions, concepts and terms that can somehow be related to scaling ambitions (see also section 2.1 and 2.2). Terms that explicitly or implicitly relate to certain aspects of scaling and scalability used by consultees or in documents reviewed are the following: (scaling of) innovation, transformation/ transformational change, systems approach/ change, mainstreaming, paradigm shift, “super” development impacts. In rare cases, scaling is an explicitly targeted or formulated objective, for instance, articulated in a framework (see Figure 20).

Figure 20. Framework for scaling up impact in the GEF and corresponding measurement indicators (source: GEF, 2018)



IFAD talks, for instance, about the “quality” aspect of scaling: “...‘Bigger’ alone is not sufficient: IFAD’s development impact will depend on the quality of its programme of work and its success in leveraging financial resources and knowledge in, through and beyond the programmes it supports. This will constitute IFAD’s scaling-up agenda. IFAD will strengthen the quality of its country programmes, ensuring that investment projects, grant-financed activities and engagement in national policy processes combine to realize greater and more sustainable development impact relative to a clear and defined set of strategic objectives...”

GEF does not explicitly focus on scale or scaling as a goal in its own rights, but rather as a mean to achieve system wide global issues. GEF, therefore, focuses increasingly more on a system approach, started in GEF-6, continued in GEF-7 and pursued through integrated programming and impact programs.⁵¹ In view of scaling, impact programs have each created “platforms” or “hubs” for multi-stakeholder dialogue, knowledge exchange, and learning to advance the integrated approach. While each program highlighted institutional and resource constraints, these platforms are playing a crucial role in connecting diverse stakeholders to promote collective action and scale-up innovative practices.

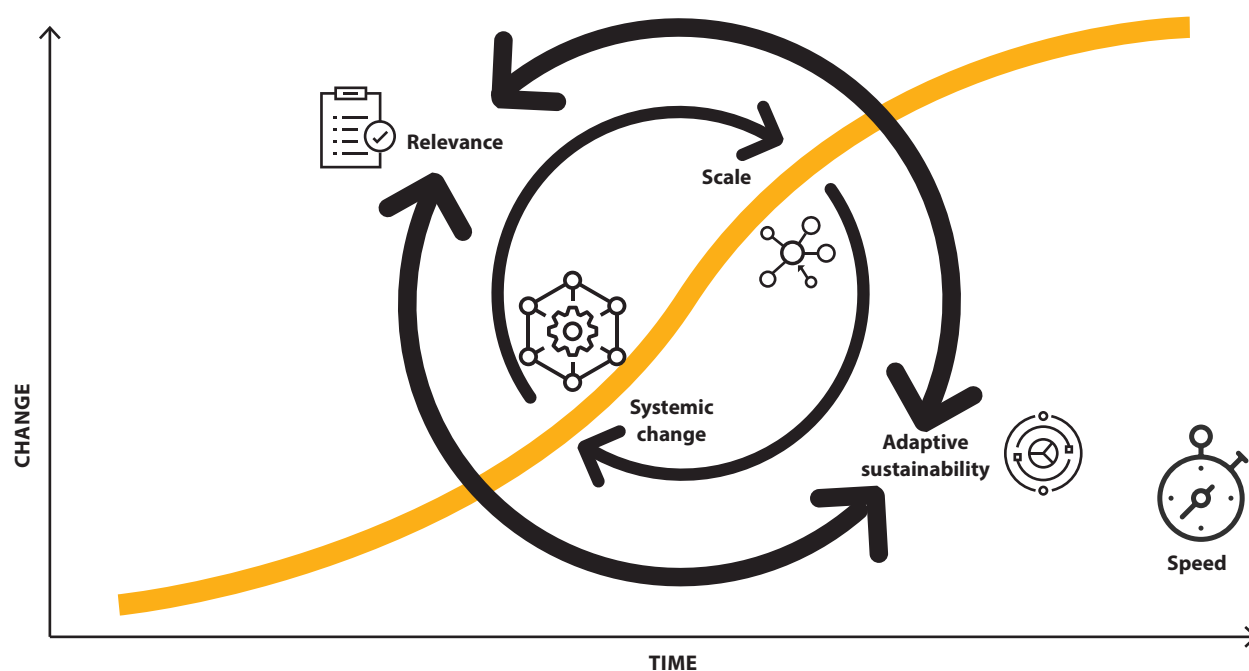
The GCF’s investment framework focuses on paradigm shift, as investment criteria, as the key element relating to scaling, and defines it as the “degree to which GCF can achieve sustainable development impact beyond a one-off project or programme investment through replicability and scalability”. When reviewing proposals, the indicator used related to “project proposals should identify a vision for paradigm shift as it relates to the subject of the project. The vision for paradigm shift should outline how the proposed project can catalyse impact beyond a one-off investment. This vision for longer-term change should be accompanied by a robust and convincing theory of change for replication and/or scaling up of the project results, including the long-term sustainability of the results, or by a description of the most binding constraint(s) to change and how it/they will be addressed through the project.”

CIF considers scale as of one of five dimensions of transformational change (see Figure 21). Unlike other MFIs, scaling is an explicit part of CIF’s mandate. In the context of climate action interventions, there may be a variety of pathways

51. Bakarr, M. (2021). *Integrated programming in the Global Environment Facility: Learning from the GEF-6 IAP programs*. Available at: <https://www.thegef.org/newsroom/blog/integrated-programming-global-environment-facility-learning-gef-6-iap-programs>. Accessed 17 August 2023

for scaling change. These scaling pathways often involve systemic changes that create a new equilibrium or a “new normal” for behaviours, decisions, and actions to enable replication or expansion. Achieving scale is often beyond the power or control of specific interventions or programs, for it requires expanding beyond geographic, political, or other boundaries targeted by specific interventions (CIF, 2021).

Figure 21. “S-curve” model using dimensions to track transformational change in climate action (source: CIF, 2021)



8.2 Experiences and approaches in view of scaling pathways and barriers

In its Strategic Plan 2024-2027, GCF reconfirms its strategies towards the intended paradigm shift by particularly highlighting deploying blended finance to de-risk private sector adaptation investment at scale.

It is also mentioned that “climate adaptation projects may be more suitable and promising in view of transformational change and paradigm shift as they often integrate higher levels of system complexity as compared to mitigations

projects that are presumably less complex in structure, look at only 1 or 2 sectors and enabling factors at the time.”

The BMGF states that it uses assessments of feasibility and likelihood for scaled impact, i.e. it tries to geographically focus instead of spreading efforts too thinly across large geographies. The BMGF’s adaptation efforts target mostly adaptive enhancements in the agricultural sector. The geographical/ country selection is based on where there are most vulnerable farmers and therefore the highest potential for impact exists. BMGF acknowledges its potential to invest in risky innovations being able to provide grants that are associated to more risk taking, as compared to other more conventional donors.

IFAD puts a special emphasis on extended engagement: “...While in IFAD’s definition scaling up is expected to happen through the support of development partners, in many instances it needed to continue to support a project through two or more phases before other partners could recognize the validity of a given development approach...” (IFAD 2017).

Furthermore, IFAD has learned that so-called non-lending activities, i.e. partnership-building, knowledge management and policy dialogue, are crucial to facilitate scaling processes based on initial investments.

Potential negative effects of ‘scaling decisions’ were also mentioned resulting in effects such as crop overproduction, lack of capacity to process crops or reduction of producer income. This was highlighted in view of the fact that scaling decisions should be well-informed and cautiously consider potential harm.

The GEF has evaluated the “sequence of scaling process” and when to invest in scaling up. It considers four distinct ways:

- Piloting and scaling were planned for and implemented within the same project through different components;
- Piloting and scaling were planned for at the design stage of the pilot project, and implemented through multiple consecutive or parallel projects;
- Piloting and scaling were implemented through consecutive GEF projects based on results of the pilot stage;
- Piloting was supported by GEF projects, while the scale-up stage was funded through other sources based on results of the pilot stage

Particularly noteworthy is the increasing recognition that the private sector plays an important role in scaling adaptation impact. GEF's Challenge Program for Adaptation Innovation, for instance, aims to test and validate potentially scalable, bankable, or otherwise fundable investment approaches, business models, partnerships, and technologies. IFAD consistently works with the private sector as value-chain actors, such as aggregators and processors, in various types of Public-Private-Partnerships. It was stated that staff in the public sector and government institutions have staff that often lack basic understanding and knowledge of how to work with the private sector.

Another factor mentioned as a relevant element to enable scaling is the identification of and partnering with "supportive influencers" - people who will continue the project beyond its completion. This is, however, often difficult to do at the onset of a project, as stated by one of the consultees.

8.3 Monitoring, evaluating and learning about scaling

Overall, the lack and inconsistencies of data and evidence relevant to scaling due to weak M&E systems, both at institutional and project level, have been recurrently mentioned as a limiting factor. This significantly hinders the support and further identification of activities, technologies and approaches that have the potential for scaling.

Consultees broadly confirmed the conceptual "jungle", including inconsistencies between funders, in view of definitions, conceptualization and terminology relating to "adaptation impact" (see also section 2.1). Surprisingly, member countries that replenish adaptation-focused funds would apparently not "push hard" towards an "impact/ benefit per adaptation dollar" logic.

IFAD, for instance, closely links its approach to scaling to its approach to innovation: "IFAD aims to catalyse the generation, testing and scaling up of solutions that have the potential to contribute to deliver equitable, better and greater impact for the rural poor by leveraging on learning, strategic partnerships, digitalization and the implementation of suitable tools and guidelines."

There is strong recognition of the fact that learning about scaling has to be enhanced. CIF's Evaluation and Learning Initiative established the Transformational Change Learning Partnership (TCLP) in 2017 to facilitate a collaborative, evidence-based learning process on transformational change. This is the space where learning about scaling is being exchanged and

generated. In order to “evaluate” progress towards transformational change, the TCLP has introduced the concept of signals as a way of guiding and observing progress, within and across the dimensions, towards transformational change goals. Signals are the changes we would expect to see as transformational change advances in a specific context. Although signals may sometimes overlap with indicators, they should not be confused with indicators. Indicators can be standardized for different contexts and their use may imply causality and accountability. In contrast, signals are context-specific, and causality may be difficult, if not impossible, to measure.

“GEF projects or programs typically do not set or monitor quantitative targets relative to the scale of the environmental issues being addressed. While GEF-supported projects typically set quantitative targets to be achieved, it is less common for these targets to be monitored and reported relative to the scale of the environmental issue that needs to be addressed in a specific ecological, economic or governance unit, such as the total number of hectares of a threatened biome that needs to be protected in a country or region”(GEF 2020).

Unlike others, GEF specifically highlights cost-effectiveness as an important indicator that indicates the merits of scaling: “...This suggests not only greater cost-effectiveness through learning from pilots and potential economies of scale, but also higher levels of co-financing leveraged for scaling per GEF dollar. Case outcomes in the scale-up stage ranged from 1.1 to 74.5 times larger than those in the pilot stage, with a median of 4.6. These outcomes are not representative of the results of each focal area, but show a range of results corresponding with the range of GEF support provided and the variety of contexts in which the GEF works...” (GEF 2020).

8.4 Enablers of scaling that funders and funding institutions can influence

Overall, the relationships and interdependencies between drivers, causes, effects, enablers, outcomes etc. of scaling are badly understood and conceptualized. In most cases, it appears that the individual elements, components or building blocks are known but how they interact, how to monitor them, and how one can purposefully plan for and manage them remains rather nebulous.

Section 4.1 already lists the key set of drivers, causes, effects, enablers, outcomes etc. of scaling that institutions refer to. The following paragraphs summarize noteworthy aspects:

The GEF Evaluation of GEF Support to Scaling Up Impact (2019) has revealed the importance of behaviour change in view of scaling and the post-project sustainability. It identified three main behaviour changes that occur among multiple stakeholder groups within a system for impact to be scaled up beyond project completion:

- a. adoption of pro-environment tools, practices, and approaches by stakeholders that directly interact with the environment;
- b. sustained support from stakeholders that provide the enabling conditions for the continued adoption of these pro-environment interventions;
- c. learning among intervention designers and implementers to ensure that the scaling-up process is adaptive and cost-effective.

CIF's Evaluation of the Development Impacts from CIF's Investments (2023) has conceptualized impacts that are called "Super Development Impacts" (Super DIs) that are likely to influence scaling and scalability. According to the evaluation report, "the effect of DIs is greater than the sum of the parts and should be analyzed synergistically. Certain DIs (such as market development, built capacity, social/gender inclusion, and local workforce development) are catalytic (Super DIs) and influence the achievement of other DIs, necessitating even more careful attention in project planning and implementation. Super DIs are even more important to plan for during the project design stage because of their ripple effects on DI achievement".

"DIs can be mutually reinforcing and act synergistically, producing greater benefits together than they could individually. The case studies identified several Super DIs that are catalysts to unlocking other DIs. They include industrial competitiveness and market development, social inclusion, capacity building, and local workforce development. These Super DIs are particularly crucial to plan for in the project design."

GEF (2019) has evaluated its performance against specific enabling conditions, divided into three areas, for scaling supported by the GEF and other institutions:

Table 3. Scaling supported by GEF and other institutions (source: GEF, 2019)

Main component of scaling up processes	Sub-components
Adoption of the Intervention	Knowledge and information dissemination
	Participatory processes
	Incentives and disincentives
	Institutional and individual capacities
Sustained Support for Scaling	Policy framework and operating guidelines
	Sustainable financing
Learning for Adaptability and Cost-Effectiveness	Multi-stakeholder interactions & partnerships
	Systematic learning mechanisms

It was found that in most cases, GEF support influenced contextual factors to be more favorable towards scaling up by establishing the appropriate enabling conditions, choosing the right people and institutions to work with, and seeking opportunities to leverage contextual conditions at the right time.

The LDCF and the Special Climate Change Fund (SCCF) Programming Strategy on Adaptation to Climate Change and Operational Policy emphasizes on three key transformation levers: (1) policy coherence and mainstreaming of climate adaptation; (2) strengthened governance for adaptation; and (3) knowledge exchange and collaboration.

9. Appendix IV. landscape review – guide for semi-structured interviews and list of institutions consulted

Guide for semi-structured interviews for consultations with colleagues from other funding institutions and other experts

Purpose:

- Collecting experience-based intelligence on scaling
- Collecting good practice examples

1. Why? – objectives/ goals

- a) Definitions
 - b) Process behind the why
- Defining scaling?
 - o In your professional context, which type of scaling (i.e. scaling up, out or deep) is most frequent?
- Has your organization adopted a definition of scaling and if yes, what is the definition?
 - o Is the definition specific enough in view of the targeted sectors and thematic areas?
- Why is your organization interested in scaling?
 - o Motivations/ expectations, by who?

2. What can/ should be scaled?

- a) Type of outputs/ outcomes to be scaled (tangible and intangible)
- What does your organization seek to scale (e.g. elements within a project, projects themselves, overall impact of funds, public or private goods/ services)?
- Are the elements that your organization seeks to scale (primarily) tangible or intangible (e.g. institutional capacity, infrastructure)?

3. How does it happen?

- a) Innovation/ scaling pathways from problem identification, ideation... to scale
- b) Barriers
- Do you have clear guidelines/a plan for supporting scaling?
- What are scaling pathways that have been identified by your organization?
- Do you provide guidance on scaling and scaling pathways to IEs/NIEs?
- At what point does your organization encourage IEs/NIEs to think about scaling (e.g. during the project planning stage)?
 - How does it do this (e.g. requirement in proposal)?
- To what extent does your organization consider scaling as a part of the innovation cycle?
 - At what point along the innovation cycle (refer to the diagram) does your organization provide funding/support?
- Has your organization identified barriers to scaling?
 - What are the barriers to scaling:
 - (internally) in your organization?
 - (externally) in the wider environment?
 - Further discussion around sphere of control, influence etc.
- Do you have processes/resources in place to help overcome these barriers to scaling?
 - What are these processes/resources?

4. Who?

- a) Ecosystem of actors and roles
- Do you have a dedicated person/team within your organization who is responsible for overseeing/supporting scaling?
 - Who is responsible for providing guidance to IEs/NIEs on scaling in

your organization?

- Who holds/retains your organizational knowledge/intelligence about scaling within your organization?
 - Do you have internal processes set up to help you learn about scaling?
- To what extent do you work with other organizations/funds in the public sector to support scaling?
 - Who are these actors?
 - How important do you consider the public sector to be for scaling?
- To what extent do you work with other organizations/funds in the private sector to support scaling?
 - Who are these actors?
 - How important do you consider the private sector to be for scaling?
- Who are the beneficiaries of your work on scaling?

5. How to monitor and manage scaling processes?

- a) Plannability? emergence etc.
- b) Schools and philosophies of management and organizational development
- Who is responsible for monitoring (the impact of) scaling within your organization/ your portfolio?
- Have you evaluated scaling in your organization?
- Does your organization report its results in supporting scaling?
 - What is the level of accountability in view of scaling, replicating etc.?
- How does your organization measure the success (or impact?) of scaling?
- What are projects/elements that you would consider to be good examples of scaling?

- To what extent does your organization plan for scaling (up) projects in your organization?
 - Do you have flexible/adaptive mechanisms to support unplanned scaling?

6. What can/ should funders/ funding institutions do to support?

- a) Financial and non-financial support
 - What funding instruments, schemes and types do you provide to support scaling?
 - Do you have funding instruments, schemes and types that are specifically targeted towards scaling? Is there a “typical” sequence?
 - How do you connect/ combine private and public finance?
 - What non-financial services do you provide to support scaling?
 - E.g. matchmaking with larger funds, supporting the development of proposals for larger funds?
 - Are the non-financial support services that are offered joined up with funding instruments, schemes and types?
 - Further discussion on risk?

Table 4. List of institutions consulted

Unit	Institution
Secretariat	Adaptation Fund
Climate Adaptation Programming	Bill and Melinda Gates Foundation
Evaluation and Learning	Climate Investment Funds
Independent Evaluation Unit	Green Climate Fund
Independent Evaluation Office	Global Environment Facility
Independent Office of Evaluation	International Fund for Agricultural Development

10. Appendix V. Structure and main characteristics of the sample of reviewed projects

Appendix V.A. Sample of projects used to assess how scaling is incorporated into the design of Fund's projects.

Total number of Fund projects to date and their sample size per region.

Region	Number of projects	Sample (15%)
Africa	43	6
Latin America & Caribbean	30	5
Asia-Pacific	43	6
Eastern Europe	6	1
Other	21	3
TOTAL	143	21

Characteristics of the sample

Characteristics of sampled projects	average	median	min	max
Project duration (years n=21)	3.9	4	2	6
Project start (years n=19)*	--	2019	2011	2022
Project end (year n=7)	--	2020	2014	2022
Grant amount (Million USD n=21)	6.8	7.4	0.3	14.0

* Two projects were approved but yet to start implementation

Sampled projects according to the type of Implementing Entity

Type of implementing entity	Number of projects
MIE	14
RIE	0
NIE	7
TOTAL	21

Appendix V.B. Sample of projects used to evaluate how the Fund has contributed to scaling processes via its projects (Projects with at least a mid-term evaluation).

Total number of Fund projects to date that have at least a mid-term evaluation and their sample size per region.

Region	Number of pro-jects	Sample (30%)
Africa	15	5
Latin America & Caribbean	17	5
Asia-Pacific	17	5
Eastern Europe	1	0
Other	1	0
TOTAL	51	15

Projects included in the analysis according to the type of evaluation document reviewed*

Type of document reviewed	N° of projects
Mid-term Evaluation	7
Terminal Evaluation	8
TOTAL	15

*This depended on the implementation status

Characteristics of the sample

Characteristics of sampled pro-jects	average	median	min	max
Project duration (years n=15)	4.2	4	3	5
Project start (years n=15)	--	2013	2011	2019
Project end (year n=8)	--	2017	2015	2022
Grant amount (Million USD n=15)	6.6	5.5	2.5	10

Sampled projects according to the type of Implementing Entity

Type of implementing entity	number of pro-jects
MIE	11
RIE	0
NIE	4
TOTAL	15

11. Appendix VI. Recommendations for scaling as stated in Adaptation Fund project evaluation documents

Table 5. Recommendations for scaling as stated in project evaluation documents

Project Name	Implementing Entity	Project ID and document	Adaptation recommended for scaling
Reduction of Risks and Vulnerability Based on Flooding and Droughts in the Estero Real Watershed (Nicaragua)	UNDP	NCA/MIE/Water/2010/1, Final Evaluation Report	Replicate the program results at least in the Hydrological Unit 58 of Río Negro and Tecomapa.
An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's northwest McKinnon's watershed	Dept. of Env., Ministry of Health and the Env.	ATG/NIE/Multi/2016/1, Mid-term Evaluation	The lessons from the McKinnon's watershed can be scaled up and replicated in other parts of Antigua and Barbuda; Good practices emerging have potential for replication and scale-up, both within Antigua and Barbuda and other countries; Since inception the Project has created multiple partnerships within and external to the government that create a platform for future replication and the progress to update and revise key legislation and update regulations and standards continue national efforts to strengthen the enabling environment for adaptation.
Integrated programme to build Resilience to climate change and adaptive capacity of vulnerable communities in Kenya	National Env. Management Authority	KEN/NIE/Multi/2013/1, Mid-term Evaluation	The adaptation Village concept has potential for replication and upscaling.
Addressing climate change risks on water resources in Honduras: Increased Systemic Resilience and Reduced Vulnerability of the Urban Poor	UNDP	HON/MIE/Water/2010/4, Mid-term Evaluation	Replication of best practices in Central America, the Honduras UNDP CO in consultation with the UNDP's Panama Regional Service Centre Office should play a role on providing technical support and facilitating contacts in Central America
Reducing the Vulnerability by Focusing on Critical Sectors (Agriculture, Water Resources and Coastlines) in order to Reduce the Negative Impacts of Climate Change and Improve the Resilience of these Sectors (Costa Rica)	Fundecooperación para el Desarrollo Sostenible	CRI/NIE/Multi/2013/1, Mid-term Evaluation	Despite the geographical limitation, several projects have a direct potential of being scaled-up at the country level (e.g. the crop insurance executed by the National Insurance Institute – INS). Even though there is still no formal plan for replication post-2020, such plan could be developed in the next 2 years and Fundecooperación's team already has ideas for replication of projects and programme extension.
Enhancing Adaptive Capacity and Increasing Resilience of Small and Marginal Farmers in Purulia and Bankura Districts of West Bengal (India)	National Bank for Agriculture and Rural Development (NABARD)	IND/NIE/Agri/2014/1, Mid-term Evaluation	The project seemed to have improved the climate adaptability of socially vulnerable groups and can be replicated with similar households elsewhere with similar geo-physical features. (Project Mid Term Evaluation Document, p. 9)
Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala	UNDP	GTM/MIE/Rural/2010/1, Final Evaluation Report	To make successful experiences visible and to promote their dissemination and scaling by entities with competence in the subject. For example, new projects could replicate and generate greater research with respect to the use and commercializing of "mashan" leaf. The project erected the basis for its "domestication" and harnessing. Also, the endorsing of non-timber products, with a cultural background and potential in the international market. Specialized technical assistance in the transfer of adaptation instruments and methodologies at the local level is one of the most innovative factors of the project and, it has allowed to establish a process in the region that can be systematized, valued and scaled at a regional level.

(continued)

Project Name	Implementing Entity	Project ID and document	Adaptation recommended for scaling
Implementation Of Concrete Adaptation Measures To Reduce Vulnerability Of Livelihood and Economy Of Coastal Communities In Tanzania	UNEP	TZA/MIE/Coastal/2010/1, Final Evaluation Report	<p>Recommends scaling up of Ecosystems-based Integrated Coastal Area Management (EBICAM) to reduce coastal vulnerability beyond pilot sites but identifies barriers: "The DoE should resume consultations towards the proposed EBICAM Plan with line ministries, coastal District Councils, NGOs and the donor community. The broader vision calls for greater institutional inclusiveness. The Tanzania Forest Service needs to be directly involved in the programming of coastal mangrove rehabilitation. Incorporating adaptation measures to an updated National Mangrove Management Plan could trigger interventions on a wider scale. Applying EBICAM on a broader scale will require external support over the medium-term, which is likely to exceed the duration allowed for most donor-supported projects. For this reason, VPO-DoE might consider donors such as the Global Climate Fund (GCF) the support the scaling-up of promising initiatives, to discuss a follow-on project."</p>

12. Appendix VII. References

- Adaptation Fund. (2009). AFB/B.7/13/Rev.1. *Report of the Seventh Adaptation Fund Board (2009)*. Decision B.7/2. Available at: <https://www.adaptation-fund.org/document/report-of-the-seventh-meeting-of-the-afb-september-14-16-2009/>. Accessed 17 August 2023
- _____ (2011). *Guidelines for Project/Programme Final Evaluations*. Available at: <https://www.adaptation-fund.org/generic/guidelines-for-projectprogramme-final-evaluations/>. Accessed 17 August 2023
- _____ (2015). *Evaluation Framework*. p. 12. Available at: https://www.adaptation-fund.org/wp-content/uploads/2015/01/Evaluation_framework.pdf. Accessed 17 August 2023
- _____ (2017a). *Medium-Term Strategy of the Adaptation Fund for the years 2018-2022*. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2018/03/Medium-Term-Strategy-2018-2022-final-03.01-1.pdf>. Accessed 17 August 2023
- _____ (2017b). *Request for Project/Programme Funding from the Adaptation Fund. Annex 5 to OPG Amended in October 2017*. Available at: https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.adaptation-fund.org%2Fwp-content%2Fuploads%2F2021%2F01%2FRequest-for-ProjectProgramme-Funding-from-Adaptation-Fund_Oct-2017-.docx&wdOrigin=BROWSELINK. Accessed 17 August 2023
- _____ (2021a). *Medium-Term Strategy of the Adaptation Fund for the years 2023-2027*. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.B.39.5_Rev.2_Annex-2_Draft-MTS-2023-2027.pdf. Accessed 17 August 2023
- _____ (2021b). *Monitoring Report for Scale Up Grant to Implement Reducing Vulnerability to Climate Change in Northwest Rwanda through Community Based Adaptation (RV3CBA)*. Available at https://fifspubprd.azureedge.net/afdocuments/project/12272/Scaling-Up%20Grant_MoE-Rwanda-Final%20Scaling%20up%20Grant_Clean%20version%2010%20September%202019.pdf. Accessed 22 March 2024.
- _____ (2021b). *Annual Performance Report for FY2021*. Available at: https://www.adaptation-fund.org/wp-content/uploads/2021/10/AFB_EFC_28.3_Annual-Performance-Report-for-Fiscal-Year-2021.pdf. Accessed 17 August 2023

_____ (2021c). *Update On Strategic Discussion On Objectives and Further Steps Of The Fund: Potential Linkages Between The Fund And The Green Climate Fund*. p.3. Available at: https://www.adaptation-fund.org/wp-content/uploads/2021/04/AFB.B.36.6_Potential-linkages-between-the-Fund-and-the-GCF.pdf. Accessed 17 August 2023

_____ (2022a). *Thematic Evaluation Of The Adaptation Fund's Experience With Innovation*. Available at: https://www.adaptation-fund.org/wp-content/uploads/2022/10/AFB.EFC_30.10_AF-TERG-TE-Innovation-Final-Report.pdf. Accessed 17 August 2023

_____ (2022b). *Scaling up adaptation finance: Experiences and lessons learned from the Adaptation Fund portfolio of projects and programmes*. Available at: <https://www.adaptation-fund.org/document/scaling-up-adaptation-finance-experiences-and-lessons-learned-from-the-adaptation-fund-portfolio-of-projects-and-programmes/>. Accessed 17 August 2023

_____ (2022c). *Instructions for Preparing a Request for Project Scale-Up Grant Funding from the Adaptation Fund*. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2022/02/Instructions-for-preparing-a-request-for-project-scale-up-grant.pdf>. Accessed 17 August 2023

_____ (2022d). *Evaluation Policy of the Adaptation Fund*. Available at: <https://www.adaptation-fund.org/document/evaluation-policy-of-the-adaptation-fund-graphically-edited/>. Accessed 31 January 2024.

_____ (n.d.). *Project Scale Grants*. Available at: <https://www.adaptation-fund.org/readiness/readiness-grants/project-scale-grants/>. Accessed 17 August 2023

_____ (n.d.). *AFB/B.31/5/Rev.1. Implementation Plan. Paragraph 21*. Available at: <https://www.adaptation-fund.org/document/implementation-plan-medium-term-strategy/>

_____ (n.d.). *Projects Table View*. Available at: <https://www.adaptation-fund.org/projects-programmes/project-information/projects-table-view/>. Accessed 17 August 2023.

Bakarr, M. (2021). *Integrated programming in the Global Environment Facility: Learning from the GEF-6 IAP programs*. Available at: <https://www.thegef.org/newsroom/blog/integrated-programming-global-environment-facility-learning-gef-6-iap-programs>. Accessed 17 August 2023

Biagini, Bonizella, Bierbaum, Rosina, Stults, Missy, Dobardzic, Saliha, and McNeeley, Shannon (2014). *A typology of adaptation actions: A global look at climate adaptation actions financed through the Global Environment Facility*. *Global Environmental Change*, 25, pp.97-108. Available at: <https://www.sciencedirect.com/science/article/pii/S0959378014000065>. Accessed 17 August 2023

Canadian Government. (n.d.). *Grand Challenges Canada*. Available at: <https://www.grandchallenges.ca/>. Accessed 17 August 2023

Center for Strategic and International Studies. (2022). *Donor Funding Models for Innovation: A Review*. Available at: <https://www.csis.org/analysis/donor-funding-models-innovation-review>. Accessed 17 August 2023

Climate Investment Funds. (2021). *Transformational Change Concepts*. https://www.cif.org/sites/cif_enc/files/knowledge-documents/tc_concepts_brief.pdf. Accessed 17 August 2023

_____ (2022). *Transformational Change Guidance Questions*. Available at: https://www.cif.org/sites/cif_enc/files/knowledge-documents/tclp_webinar_guidance_questions_0.pdf. Accessed 17 August 2023

_____ (2023). *Evaluation of the Development Impacts from CIF's Investments*. Available at: https://d2qx68gt0006nn.cloudfront.net/sites/cif_enc/files/resource-collection/material/development_impacts_eval_report.pdf. Accessed 17 August 2023

_____ (n.d.). *Transformational Change Learning Partnership*. Available at: <https://cif.org/tclp>. Accessed 17 August 2023

Consultative Group on International Agricultural Research. (2016). *Towards a Performance-based Management System for CGIAR Research*. Available at: https://storage.googleapis.com/cgiarorg/2016/11/SC3-03_Towards-PerformanceMgmtSystem_17Nov2016.pdf. Accessed 17 August 2023

Cooley, Larry and Kohl, Richard. (2016). *Scaling Up -- From Vision to Large-Scale Change. A Management Framework for Practitioners* [third edition]. Available at: https://www.msiworldwide.com/sites/default/files/additional-resources/2018-11/ScalingUp_3rdEdition.pdf. Accessed 17 August 2023

Cooley, Larry and Linn, Johannes. (2014). *Taking Innovations to Scale: Methods, Applications and Lessons*. *Results for Development Institute*. Available at: https://2012-2017.usaid.gov/sites/default/files/documents/1865/v5web_R4D_MSI-BrookingsSynthPaper0914-3.pdf. Accessed 17 August 2023

De Groen, J., Potze, A., de Jonge, B., and, Rutjens, J. (2004). *Innovatie van de overheid: Een Buitenkans. Positionering van de afdeling Strategie en Innovatie*. NSOB, Den Haag, The Netherlands.

Deutsche Gesellschaft fuer Internationale Zusammenarbeit (GIZ). (2017). *Guidelines on Scaling-up for Programme Managers and Planning Officers*. Available at: <https://snrd-asia.org/download/giz2017-en-scaling-up-guidelines.pdf>. Accessed 17 August 2023

Dorn, Walter (2021). A Technology Innovation Model for the United Nations: The “TechNovation Cycle”. *Unite Papers: Informing and Capturing UN Technological Innovation*. New York: UN Innovation Network. Available at: https://walterdorn.net/pdf/Tech-Innovation-Model-for-UN-UnitePaper-2021-1_Dorn_2021-01-27.pdf. Accessed 17 August 2023

ExpandNet. (2011). *Beginning with the End in Mind: Planning Pilot Projects and Other Programmatic Research for Successful Scaling up*. World Health Organization (WHO)/ExpandNet (2011). Available at: <http://expandnet.net/PDFs/ExpandNet-WHO%20Guide%20Beginning%20with%20the%20end%20in%20mind%20-%20May%202019,%202011%20-%20draft.pdf>. Accessed 17 August 2023

European Institute of Innovation and Technology (EIT) Climate-KIC (2017). *Climate Innovation Insights 1.3 Series*. Available at: https://www.climate-kic.org/wp-content/uploads/2017/03/Insight03_Proof4.pdf. Accessed 17 August 2023

Göpel, Maja (2016). *The Great Mindshift: How a New Economic Paradigm and Sustainability Transformations Go Hand in Hand*. Cham: Springer International. Available at: <http://greatmindshift.org>. Accessed 17 August 2023

Global Environment Facility. (2018). *Scaling Up Impact Through GEF Support*. Available at: <https://www.gefio.org/sites/default/files/documents/scaling-up-concept-note.pdf>. Accessed 17 August 2023

_____ (2020). *Evaluation of GEF Support to Scaling Up Impact*. Available at: <https://www.gefio.org/sites/default/files/documents/evaluations/scaling-up.pdf>. Accessed 17 August 2023

_____ (2022a). *GEF Programming Strategy On Adaptation To Climate Change For The Least Developed Countries Fund And The Special Climate Change Fund For The Gef-8 Period Of July 1, 2022, To June 30, 2026 And Operational Improvements*. Available at: https://www.thegef.org/sites/default/files/documents/2022-06/EN_GEF.LDCF_SCCF_32.04.Rev_01_GEF%20Programming_Strategy_Adaptation_Climate_Change_LDCF_SCCF_GEF8_July_2022_June%202026_Operational_Improvements.pdf. Accessed 17 August 2023

_____ (2022b). *GEF Progress Report on the Challenge Program for Adaptation Innovation under the Special Climate Change Fund and the Least Developed Countries Fund*. Available at: https://www.thegef.org/sites/default/files/documents/2022-06/EN_GEF.LDCF_SCCF_32_Inf.04_Update%20on%20the%20Challenge%20Program%20for%20Adaptation%20Innovation%20Under%20the%20Least%20Developed%20Countries%20Fund%20and%20Special%20Climate%20Change%20Fund.pdf. Accessed 17 August 2023

Green Climate Fund. (2021). *Scaling impact of climate finance in the context of Covid-19: Full report*. Available at: https://www.greenclimate.fund/sites/default/files/document/scaling-climate-finance-context-covid-19-full-report_0.pdf. Accessed 17 August 2023

_____ (n.d.) *Increasing the resilience of ecosystems and communities through the restoration of the productive bases of salinized lands*. Available at: <https://www.greenclimate.fund/project/fp003>. Accessed 17 August 2023

Gupta, A., Dey, A. and Singh, D. (2017). *Connecting corporations and communities: Towards a theory of social inclusive open innovation*. *Journal of Open Innovation: Technology, Market, and Complexity*, 3(17). Available at: <https://jopeninnovation.springeropen.com/articles/10.1186/s40852-017-0062-3>. Accessed 17 August 2023

International Fund for Agricultural Development. (2015). *IFAD's operational framework for scaling up results*. Available at: <https://www.ifad.org/en/-/document/ifad-s-operational-framework-for-scaling-up-resul-1>. Accessed 17 August 2023

_____ (2017). *IFAD's Support to Scaling Up of Results*. Available at: <https://ioe.ifad.org/en/w/ifad-s-support-to-scaling-up-of-results>. Accessed 17 August 2023

International Institute for Sustainable Development. (2023). *Innovative Financial Instruments and Their Potential to Finance Climate Change Adaptation in Developing Countries*. Available at: <https://www.iisd.org/system/files/2023-06/financial-instruments-climate-change-adaptation.pdf>. Accessed 17 August 2023

Jacob, R.T., Doolittle, F., Kemple, J. and Sommers, M. (2019). *A Framework for Learning From Null Results*. *Educational Researcher*, 48(9), pp.580-589. Available at: <https://youthpolicylab.umich.edu/uploads/a-framework-for-learning-from-null-results-robin-jacob.pdf>. Accessed 17 August 2023

Jacobs, F., Ubels, J. and Woltering, L. (2018). *The Scaling Scan: a practical tool to determine the strengths and weaknesses of your scaling ambition*. Available at: <https://repository.cimmyt.org/bitstream/handle/10883/20505/61173.pdf?sequence=1&isAllowed=y>. Accessed 17 August 2023

Kohl, Richard and Foy, Colm. (2018). *Guide To The Agricultural Scalability Assessment Tool For Assessing And Improving The Scaling Potential Of Agricultural Technologies*. Available at: https://pdf.usaid.gov/pdf_docs/PA00T6KX.pdf. Accessed 17 August 2023

Linn, J. (2021). *Taking an evidence-based approach to scaling*. Available at: <https://idronline.org/article/scale/taking-an-evidence-based-approach-to-scaling/>. Accessed 17 August 2023

MaRS Solutions Lab. (n.d.). *Our Approach for Systems Change*. Available at: https://www.nonprofitjourney.org/uploads/8/4/4/9/8449980/periodic_table_of_systems_change.pdf. Accessed 17 August 2023

Matos, P.V., Romão, M., Sarmiento, J.M., and Abaladas, A. (2019). *The adoption of project management methodologies and tools by NGOs: A mixed methods perspective*. *Journal of Business Research*, 101, pp. 651-659. Available at: <https://www.sciencedirect.com/science/article/abs/pii/S0148296319300852>. Accessed 17 August 2023

McLean, R., and Gargani, J. (2019). *Scaling impact: Innovation for the public good*. Abingdon: Routledge.

Mitchell, Tom (2021). *Boosting climate adaptation with innovation, an Opinion by Dr. Tom Mitchell - Climate-KIC*. Climate-KIC. Available at: <https://www.climate-kic.org/opinion/boosting-climate-adaptation-with-innovation/>. Accessed 17 August 2023

Mulgan, G. (2006). *The Process of Social Innovation*. *Innovations: Technology, Governance, Globalization*, 1(2), pp. 145-162. Available at: <https://direct.mit.edu/itgg/article/1/2/145/9448/The-Process-of-Social-Innovation>. Accessed 17 August 2023

Organization for Economic Cooperation and Development (OECD). (2023). *Scaling up Adaptation Finance in Developing Countries: Challenges and Opportunities for International Providers*. Paris: OECD. Available at: <https://www.oecd.org/finance/scaling-up-adaptation-finance-in-developing-countries-b0878862-en.htm>. Accessed 30 January 2024.

Partners for Health Reform. (2004). *The Role of Pilot Programs: Approaches to Health Systems Strengthening*. Bethesda, MD: PHRplus, Abt Associates Inc

Perrini, Francesco, and Vurro, Clodia (2006). *Social Entrepreneurship: Innovation and Social Change Across Theory and Practice*. In: J. Mair, J. Robinson and K. Hockerts, ed., *Social Entrepreneurship*. London: Palgrave Macmillan. Available at: https://link.springer.com/chapter/10.1057/9780230625655_5. Accessed 17 August 2023

Poverty Action Lab. (n.d.). *Scaling back an evaluated program*. Available at: <https://www.povertyactionlab.org/evidence-to-policy/scaling-back-evaluated-program>. Accessed 17 August 2023

Raworth, Kate (2017). *Doughnut Economics: Seven Ways to Think Like a 21st-Century Economist*. London: Cornerstone. Available at: <https://www.kateraworth.com>. Accessed 17 August 2023

Riddell, D., Moore, M. and Vocisano, D. (2015). *Scaling Out, Scaling Up, Scaling Deep: Strategies of Non-profits in Advancing Systemic Social Innovation*. *The Journal of Corporate Citizenship*, 58, pp. 67-84. Available at: https://www.researchgate.net/publication/298971574_Scaling_Out_Scaling_Up_Scaling_Deep_Strategies_of_Non-profits_in_Advancing_Systemic_Social_Innovation. Accessed 17 August 2023

Sanderson, I. (2002). *Evaluation, Policy Learning and Evidence-based policy making*. *Public Administration*, 80(1), pp. 1-22

Sarkki, Simo, Dalla Torre, Cristina, Fransala, Jasmiini, Živojinović, Ivana, Ludvig, Alice, Górriz-Mifsud, Elena, Melnykovich, Mariana, Sfeir, Patricia, Arbia, Labidi, Bengoumi, Mohamed, Chorti, Houda, Gramm, Verena, López Marco, Lucía, Ravazzoli, Elisa and Nijnik, Maria (2021). *Reconstructive Social Innovation Cycles in Women-Led Initiatives in Rural Areas*. *Sustainability*, 13(3), p.1231. Available at: <https://www.mdpi.com/2071-1050/13/3/1231/htm>. Accessed 17 August 2023

Scaling Community of Practice. (n.d.). *Global Community Of Practice On Scaling Development Outcomes*. Available at: <https://www.scalingcommunityofpractice.com/>. Accessed 17 August 2023

Stockholm Environment Institute. (2021). *SDG Synergies*. Available at: <https://www.sei.org/tools/sdg-synergies/>. Accessed 17 August 2023

Troni J. and Hana Saeed, M. (2016). *Final Evaluation: Increasing Climate Resilience through an Integrated Water Resources Management Programme*. p. 33. Available at: <https://www.adaptation-fund.org/projects-document-view/?URL=https://pubdocs/en/482751535657063674/42-Maldives-Final-Evaluation-FINAL-140216-clean.pdf>. Accessed 17 August 2023

Tulloch, G. (2018). *Problematizing Scale in the Social Sector (1): Expanding Conception*. Available at: <https://www.inwithforward.com/2018/01/expanding-conceptions-scale-within-social-sector/>. Accessed 17 August 2023

United Nations Environment Programme. (2022). *Adaptation Gap Report*. Available at: <https://www.unep.org/resources/adaptation-gap-report-2022>. Accessed 17 August 2023

UNEP Finance Initiative (2019). *Driving Finance Today for the Climate Resilient Society of Tomorrow*. Available at: <https://www.unepfi.org/wordpress/wp-content/uploads/2019/07/GCA-Adaptation-Finance.pdf>. Accessed 17 August 2023

United States Agency for International Development. (n.d.). *Grand Challenges for Development*. Available at: <https://www.usaid.gov/innovation-technology-research/innovation/grand-challenges>. Accessed 17 August 2023

_____ (n.d.). *Development Innovation Ventures*. Available at: <https://www.usaid.gov/div>. Accessed 17 August 2023

Vreugdenhil, H., Slinger, J., Thissen, W. and Rault, P.K. (2010). *Pilot Projects in Water Management: Practicing Change and Changing Practice*. Available at: <https://core.ac.uk/download/pdf/29237531.pdf>. Accessed 17 August 2023

Woltering, L., Fehlenberg, K., Gerard, B., Ubels, J. and Cooley L. (2019). *Scaling – from “reaching many” to sustainable systems change at scale: A critical shift in mindset. Agricultural Systems*, 176, pp.102652. Available at: <https://www.sciencedirect.com/science/article/pii/S0308521X18314392#bb0110>. Accessed 17 August 2023

Wörten, C., Altevogt, J. and Keppler, L. (2020). CIF and GCF joint synthesis report on “Synergies between climate finance mechanisms”, pp. 6-7. Available at: <https://www.greenclimate.fund/sites/default/files/document/synergies-climate-finance.pdf>. Accessed 17 August 2023

Zheng, C. (2022). *Scaling Out, Up and Deep Understanding the Sustainment and Resilience of Urban Commons*. In: Bruyns, G., Kousoulas, S. (eds) *Design Commons*. Design Research Foundations. Springer, Cham. Available at: https://doi.org/10.1007/978-3-030-95057-6_4. Accessed 17 August 2023

