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Defining Replication, Scaling-Up, and Mainstreaming in the Context of the Pacific IWRM Programme: Identifying Priority Areas of Work for Work Plan Development

Summary

This document reviews the use of the terms "*Replication*", "*Scaling-up*", and "*Mainstreaming*" in the Project Document for the GEF Pacific IWRM Project. It shows that the contexts in which these terms are used in the project design, are often overlapping and used interchangeably with one another to describe similar activities. Dictionary definitions of the words "*Replicate*", "*Scale*", and "*Mainstream*" were used to gain more insight into what the terms might exactly mean and how they can be applied to the Pacific Integrated Water Resource Management Programme or "*Island-style IWRM*". Pacific IWRM definitions were prepared for each of the terms and are included for the consideration and amendment by network members. Opportunities for IWRM replication and upscaling are outlined and a "*Replication and Scaling-up Toolkit for Pacific IWRM*" and template for strategy development are included in Annex 1 of the paper. The paper concludes with a brief questionnaire survey aimed at benchmarking current IWRM mainstreaming needs.

Defining Replication, Scaling-Up, and Mainstreaming in the Context of the Pacific IWRM Programme: Identifying Priority Areas of Work for Work Plan Development

1. INTRODUCTION

The concepts of "*replication*", "*scaling-up*", and "*mainstreaming*" are being increasingly promoted as important elements of Integrated Water Resource Management (IWRM) by donors, governments, and non-governmental and community organisations. Interpretation of the meaning of these concepts is often blurred however, by inconsistent application of their use in mostly "*supply driven*" guidelines and planning documents. Similarly, adequate consideration of what the terms might mean in small island contexts of the Pacific is often not given, leading to confusion amongst national beneficiaries of development assistance projects or participants in multi-lateral investments in the natural resources sectors.

This paper briefly outlines reference to these concepts in the Project Document for the Global Environment Facility supported initiative entitled "*Implementing Sustainable Water Resources and Wastewater Management in Pacific Island Countries*" (GEF Pacific IWRM Project). This is followed by a consideration of how these concepts can be best defined for Pacific Islands-style IWRM. The paper is concluded with a draft "*Replication and Scaling-Up Toolkit for IWRM in Pacific Island Countries*" and work plan for priority activities for building the overall sustainability of project interventions during the period 2011-2012.

2. REFERENCE TO REPLICATION, SCALING-UP, AND MAINSTREAMING IN THE PROJECT DOCUMENT FOR THE GEF PACIFIC IWRM PROJECT

A review of references to replication, scaling-up, and mainstreaming in the Project Document was undertaken to identify where these concepts had been incorporated into the logical framework matrix (logframe) and supporting text. This was undertaken to identify any trends or definitions of the concepts as they apply to the project. Specific logframe targets and project component outcomes/outputs using the concepts are summarised first.

2.1 THE GEF PACIFIC IWRM PROJECT LOGFRAME[1]

Replication, scaling-up, and mainstreaming are key elements of the logical framework matrix (logframe) developed for the GEF Pacific IWRM Project. A key target of the overall project logframe is:

> *"1.2 Best IWRM and WUE approaches **mainstreamed** into national and regional planning frameworks by end of project facilitated by national IWRM APEX bodies, Project Steering Committee, Pacific Partnership, and PCU by month 60"*

Component 1

The main outcome or result anticipated from the project Component 1 "*Demonstration, Capture and Transfer of Best Practices in IWRM and WUE*" is:

> *"Lessons learned from demonstrations of IWRM and water use efficiency approaches **replicated** and **mainstreamed** into existing cross-sectoral local, national and regional approaches to water management"*

Specific logframe indicators for evaluating the performance of the practical demonstrations of IWRM being operated through the project include:

> *"1.2 **Replication** of Demonstration Projects within and between PICS (where support and finances available";* and
>
> *"1.3 Successful approaches **mainstreamed** into existing local, national, and regional approaches"*

[1] **Component 4** of the GEF Pacific IWRM Project logframe provides no specific reference to "*replication*", "*scaling-up*", or "*mainstreaming*"

Component 2
A key output of the project Component 2 *"IWRM and WUE Regional Indicator Framework*" is:

> *"2.2 Participatory M&E adopted within Demonstration Projects and **mainstreamed** into national best practice"*

Component 3
A key output of the project Component 3 "*Policy, Legislative and Institutional Reform for IWRM and WUE*" is:

> *"3.5 Sustainability strategies developed focusing on institutional and technical interventions required for Demonstration **scaling-up** as part of National IWRM Plan development and implementation"*

Specific logframe indicators for evaluating the performance of efforts under this component to develop national IWRM policies include:

> *"1.4 IWRM communicated and **mainstreamed** into national working practices, including national school curricula"*

Whereas specific targets include:

> *"1.6 **Replication Framework** in place … **Replication Toolkit** in place … and **replication strategies** in place based on Demonstration project successes and failures for each country by month 54 of the project"*

Specific sources of verification of the above achievements include:

> *"National **Scaling-up** and **Replication** recommendation reports"*

The above references to **replication** extracted from the logframe indicate that the replication expectations of the project involve the use of lessons learned from the demonstration projects and applying them elsewhere. The reference to **scaling-up** indicates that results of demonstration projects will be used in the design and implementation of National IWRM Plans. Whereas the references to mainstreaming indicated that this is an exercise of making an action (or set of actions) a normal or routine practice. These are of course simplifications of how these concepts may be interpreted in the context of the project, but neither the logframe nor the narrative text of the project document provides a definition.

2.2 THE TEXT OF THE GEF PACIFIC IWRM PROJECT DOCUMENT

The text and supporting annexes of the Project Document contains in excess of two hundred references to replication, scaling-up, and mainstreaming. The contexts in which these terms have been used are however, often overlapping and used interchangeably with one another to describe similar activities. The broad categories of activities in which the concepts are used to describe include:

1. Incorporation of IWRM Principles into National and Regional Policy and Planning
2. Applying Lessons from IWRM Demonstrations to Enhance Water Resource Management
3. Incorporating Climate Concerns into Water Resource Management
4. Incorporating Gender Concerns into Water Resource Management
5. Incorporating Land Management Initiatives into Water Resource Management
6. Incorporating Disaster Mitigation Concerns into Water Resource Management
7. Rolling Project Level Indicators up into Higher Level Indicators

A brief analysis of the main in-text references (excluding heading titles and bibliographic references) to replication, scaling-up, and mainstreaming was undertaken to show the relative percentage use of each concept when referring to the 7 broad categories of activities outlined above (see Figure 1). The concepts of replication and mainstreaming were used in reference to 6 of the 7 categories, whereas "scaling-up" was used solely throughout the document to the practice of rolling lower level project indicators up into higher national or regional indicator frameworks.

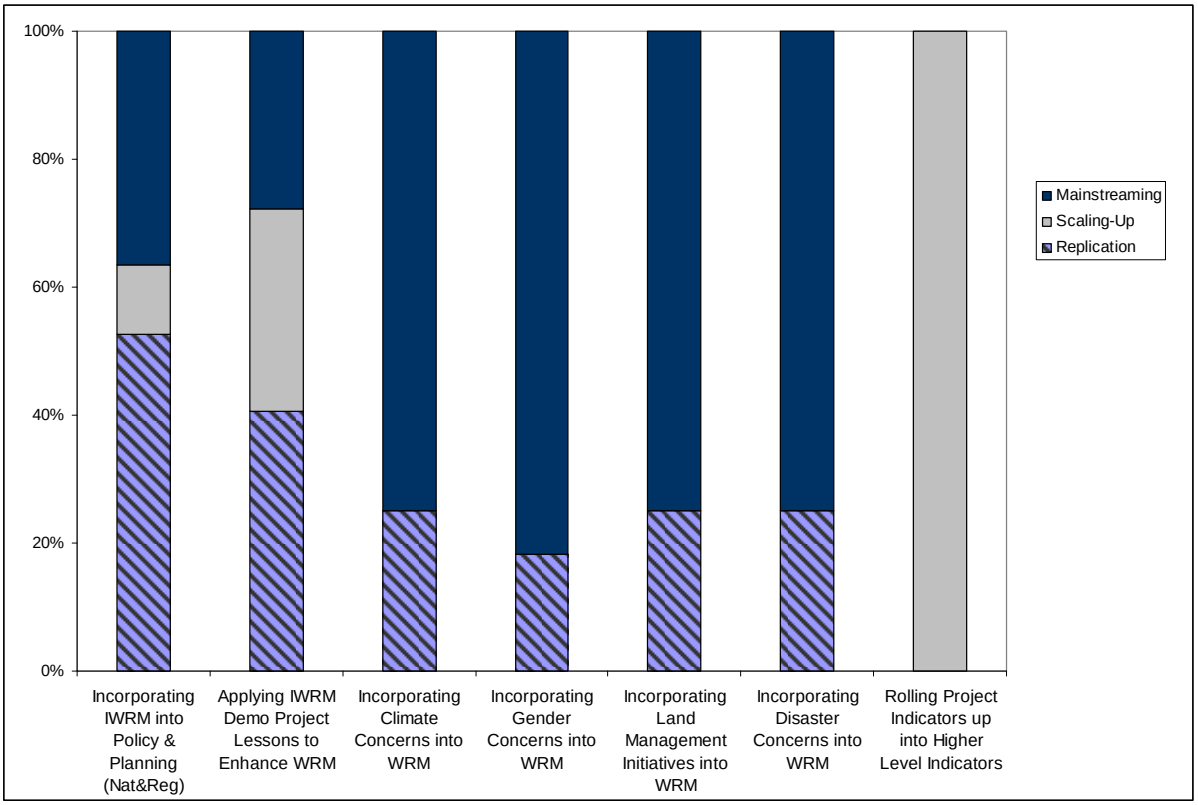


Figure 1 Relative percentage use of the replication, scaling-up, and mainstreaming concepts by broad activity areas throughout the GEF Pacific IWRM Project Document

The analysis showed that the concept of mainstreaming was most used to describe initiatives to incorporate climate, gender, land management, and disaster concerns into water resource management. This usage of the mainstreaming concept is not surprising as it has been advocated and used in a number of similar contexts over past decades, notably with respect to the integration of gender issues, HIV-AIDS, poverty-environment, disaster risk reduction, and more recently, climate adaptation into development planning.

This represents a possible definitional issue for IWRM. "*Mainstreaming*" as used in the abovementioned contexts has typically been used to promote the integration of the specific sectoral or stakeholder group interests or concerns with the planning of other (often multiple) sectors. The issue for IWRM is that it itself is a process that aims to reconcile environment and development issues, sectoral interests, and concerns of stakeholder groups. Hence it must be asked "*is mainstreaming the same as IWRM or vice versa*? This question will be explored in section 3 below.

The concept of replication was noted most regularly in terms of initiatives to incorporate IWRM principals into national development policy and planning, as well as the use of IWRM demonstration project lessons to refine activities and to plan other site level interventions. Although in both these instances, mainstreaming and scaling-up was also often used to refer to the same activities. This preliminary analysis, whilst not particularly insightful, certainly points to the need for clearer definitions of what is indeed meant by replication, scaling-up, and mainstreaming in the context of the Pacific IWRM Programme, and how they fit within broader IWRM processes being developed by the participating countries?

3. PROPOSED DEFINITIONS OF REPLICATION, SCALING-UP, AND MAINSTREAMING MEAN IN THE CONTEXT OF THE PACIFIC IWRM PROGRAMME

Definitions of "*replicate*", "*scale*", and "*mainstream*" contained in the Cambridge and Oxford Dictionaries were used to develop define what replication, scaling-up, and mainstreaming may mean in the context of the Pacific IWRM Programme. The results of this are summarised in Table 1.

Table 1 Dictionary definitions and their proposed application to the replication, scaling-up, and mainstreaming of IWRM planned as part of the Pacific IWRM Programme

Dictionary Definitions	IWRM Interpretation	Pacific IWRM Definition	Example Actions
Replication			
Cambridge Dictionary - Replicate "*to make or do something again in exactly the same way*" **Oxford Dictionary - Replicate** "*to copy something exactly*"	The application of a copy of a successful water resource management model, approach, strategy, technology, or communications tool at the same or another location	"*The activity of copying the specific features of a water resource or wastewater management approach that made it successful in one setting and re-applying these as part of an Integrated Water Resource Management process in the same or another setting*"	• Using the design of a composting toilet developed in Tuvalu for use in installing toilets in Tonga or RMI • Using the structure and ToR for an IWRM Committee in one watershed and applying it to another
Scaling-Up			
Cambridge Dictionary - Scale "*the size or level of something*" **Oxford Dictionary - Scale** "*the size or extent of something, especially when compared with something else*"	Scaling-up is broader than replication. May involve: **Increasing the geographic scale** by applying a successful pilot activity to an entire watershed or island/atoll, or **Increasing the policy scope of IWRM** by using a successful approach to influence policy, development, & funds **Increasing the institutional scale** of IWRM by applying activity involving a small subset of community at whole community level	"*The activity of increasing the process, stress reduction, and environmental state impacts of successful water resource or wastewater management approaches via their application at broader geographic, policy and planning, and institutional scales as part of an Integrated Water Resource Management process*"	•Using the pilot composting toilet activity in Tuvalu and applying it at a whole of atoll level •Applying a payment for ecosystem services scheme from one State to whole-of-country •Using results of demonstration projects to influence national coordination, policy, and legal frameworks (e.g. Micronesia)
Mainstreaming			
Cambridge Dictionary - Mainstream "*considered normal, and having or using ideas, beliefs, etc which are accepted by most people*" **Oxford Dictionary - Mainstream** "*the ideas and opinions that are thought to be normal because they are shared by most people; the people whose ideas and opinions are most accepted*"	Making Integrated Water Resource Management (IWRM) principles and priorities "*normal*" or "*mainstream*" in how individuals, agencies, and organisations responsible for the planning and financing of water and wastewater management conduct their business	"*A service function of an Integrated Water Resource Management (IWRM) process which involves making IWRM principles and priorities central to the work of Planning Departments, Finance Ministries and Treasuries, and Cabinets in planning and resourcing actions to improve water supply, secure access to safe water and sanitation, and manage the environmental aspects of water supply and wastewater* "	• Harmonisation of sectorial policies and legislation relating to water and sanitation under an IWRM framework by engaging in the national planning cycle • Streamlining government expenditure on water and sanitation through provision of advice to Treasury at various stages of the budget cycles on priority needs and costs of the water and sanitation sector

3.1 Replication and Scaling-up

The definitions of replication and scaling-up lend themselves to ease of application to IWRM Pacific Islands-style. The small size of many islands, the general scarcity of freshwater, and the importance of coastal fisheries to most Pacific Islanders, means that successful practical demonstrations of IWRM stress reduction activities can result in tangible positive results in terms of water security and lagoon health which are readily noticeable by communities. Communicated effectively, success stories can create a demand driven approach whereby communities actively seek opportunities to apply proven technologies and management models in their communities. The urgency of many water and sanitation issues, coupled with the limited policy and legal frameworks for water and sanitation, creates significant opportunities for successful demonstration activities to be scaled-up into national policy, regulations, and standards.

In many small Pacific Island contexts, the links from "*Ridge to Reef*" are also well known or easily accepted by communities. Given the importance of lagoon and fringing reef resources to most islanders, it is typical that discussions and activities of water resource management not only focus on water sources and supply, but also tends to take a broader system level focus which includes consideration of effects of activities on receiving coastal waters. Reconciling these broader "*Ridge to Reef*" issues often means taking a whole-of-island approach and may act to stimulate demand for replication and up-scaling.

Replication and scaling-up are the emphasis of the national demonstration component of the GEF Pacific IWRM Project. It is expected that national projects will used the lessons learned in their and other projects to develop replication strategies for inclusion in a replication and scaling-up plan. A tool kit and template for presenting strategies is included in this discussion document as Annex 1.

3.2 Integration versus Mainstreaming

As introduced in section 2 above, "*Mainstreaming*" has largely been used in the environment and development sectors to promote the integration of the specific sectoral or stakeholder group interests or concerns, e.g., gender, HIV/AIDS, climate, and disaster management with the planning of other sectors, e.g., environment. Reference to the use of mainstreaming in these contexts suggests that it is simply a one-way process of having a singular concern or issue integrated into the normal way business is done in a sector. This use of term "*mainstreaming*" to refer to "*integration*" is perhaps not surprising, particularly when one considers that the word "*mainstreaming*" translated into other languages is interpreted to mean "*integration*" (e.g. both Spanish and French).

It is anticipated that reference "*mainstreaming of IWRM*" into government or sectors etc, to mean "*integration of IWRM*" will likely lead to some confusion as Integrated Water Resource Management is all about "*Integration*". The "*Integrated*" in IWRM is all about the integration of sectoral interests, integration within and between government, including traditional government, and integration across spatial and temporal scales. This clearly points to the need to better define what "*mainstreaming*" is in IWRM and how it may be applied to IWRM in Pacific Island countries.

As shown in Table 1, the dictionary definitions of mainstream suggest that the term refers to an approach that is considered normal or which is accepted by most people. Simply put in a water resource management context, this can perhaps be best used to mean how individuals, agencies, and organisations responsible for the planning and financing of water and wastewater management conduct their business, e.g., the way government currently does its business is the "*mainstream*" or norm of government. In all governments of the Pacific Island countries, the "*mainstream*" tasks and institutions are Planning, Finance, Treasury, and Cabinet. This is the pointy-end of the stick of the government, and the end of the stick which IWRM needs to be linking into to bring IWRM into the mainstream and to ensure it is effective, efficient, achieve the expected results, and be sustainable.

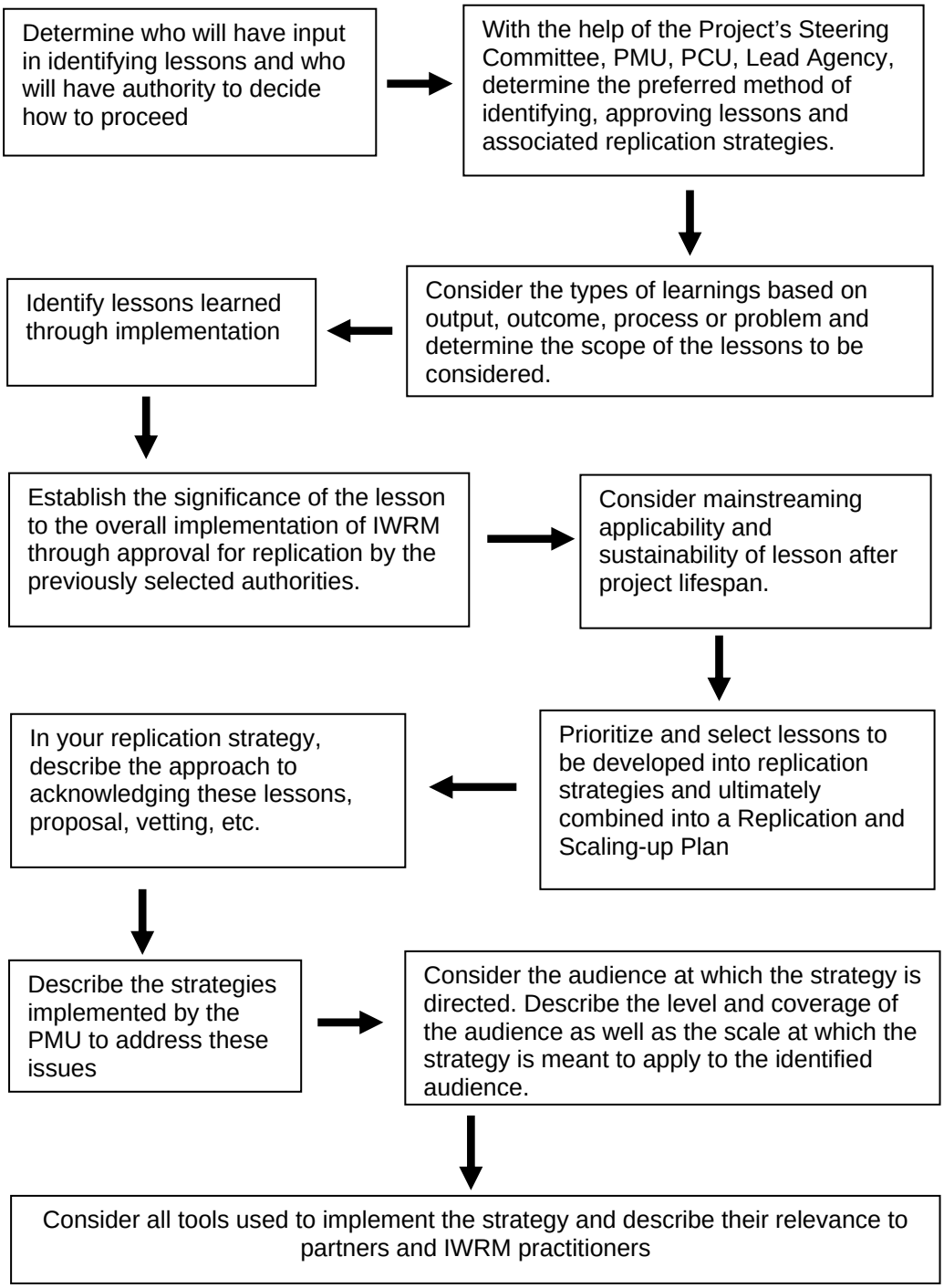
In this context it is proposed that Mainstreaming in IWRM be considered "*A service function of an Integrated Water Resource Management (IWRM) process which involves making IWRM principles and priorities central to the work of Planning Departments, Finance Ministries and Treasuries, and Cabinets in planning and resourcing actions to improve water supply, secure access to safe water and sanitation, and manage the environmental aspects of water supply and wastewater".* Examples of the services mainstreaming may provide, include: (1) harmonisation of sectorial policies and legislation relating to water and sanitation under an IWRM framework by engaging in the national planning cycle; and (2) streamlining government expenditure on water and sanitation through provision of advice to Treasury at various stages of the budget cycles on priority needs and costs of the water and sanitation sector.

4. QUESTIONNAIRE TO BENCHMARK THE MAINSTREAMING OF IWRM IN PACIFIC ISLAND COUNTRIES

CRITERIA	SCALE (5=HIGHEST)					EVALUATION QUESTIONS
	1	2	3	4	5	
(1) Political Leadership						How aware is the political leadership of IWRM?
						How supportive is the political leadership of IWRM?
						Do key individuals in Government hold IWRM responsibilities?
(2) Institutional Commitment						Are there institutions specifically mandated for IWRM?
						Are the institutions mandated for IWRM committed to IWRM "*mainstreaming*"?
						Are the Ministries/Departments responsible for planning and finance aware of IWRM?
						Are the Ministries/Departments responsible for planning and finance supporting their staff to adopt a mainstreaming culture?
						Does Government provide financial and human resources to support mainstreaming?
(3) Coordination						Is there an institution/body that coordinates IWRM, e.g., National Water Committee?
						Does that institution/body prepare advice on IWRM mainstreaming?
						Is the institution/body supported by a Secretariat with adequate technical backstopping?
						Are there sector working groups or task forces working on IWRM mainstreaming?
(4) Allocation of funding and actual spending						Is it known how much of the total national budget is made available to the WatSan sector and IWRM nationally?
						Is it known how much of the total national budget available for WatSan is given to which Ministries/Departments/Agencies?
						Is it known how the Ministries/Departments/Agencies receiving WatSan funding plan to spend the money (e.g. do they have corporate/business plans detailing this information)?
						Are approved budgets actually spent?
						Are public expenditure tracking surveys done regularly and do they provide information on actual expenditure in the WatSan sector?
						Is information on how much foreign assistance is available for WatSan activities easily accessible?
(5) Reporting & Communication						Are there good communication links among the lead agency/body responsible for water and the Ministries/Departments responsible for planning and finance?
						Is there sharing of information on mainstreaming practices?
						Is the media used adequately to disseminate information of key needs, lessons learned, and emerging issues for the WatSan sector?

Replication and Scaling-up Toolkit for IWRM in Pacific Island Countries

Summary of a Proposed Process for Planning Replication and Scaling-up of National IWRM Demonstration Activities in Pacific Island Countries



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	What's the Issue?
Why is this Needed?	The **goal** of the Global Environment Facility supported project entitled "*Implementing Sustainable Water Resources and Wastewater Management in Pacific Island Countries*" (GEF Pacific IWRM Project) is to: "*contribute to sustainable development in the Pacific Island Region through improvements in natural resource and environmental management*". The **overall objective** of the project is to: *"To improve water resources management and water use efficiency in Pacific Island Countries in order to balance overuse and conflicting uses of scarce freshwater resources through policy and legislative reform and implementation of applicable and effective Integrated Water Resources Management (IWRM) and Water Use Efficiency (WUE) plans"* Component 1 of the project "*Demonstration, Capture and Transfer of Best Practices in IWRM and WUE*" is facilitating country-driven practical demonstrations of IWRM and WUE focused on removing barriers to implementation at the community/local level and targeted towards national and regional level learning and application. The **expected outcome** of this project component is that: "*Lessons learned from demonstrations of IWRM and water use efficiency approaches replicated and mainstreamed into existing cross-sectoral local, national and regional approaches to water management*"
This toolkit will guide the development of National IWRM Replication and Scaling-up Plans	Replication of National IWRM demonstration projects within and between PICS is a priority activity for national IWRM teams. Successful replication requires good planning based on lessons learned and examples of best practice. This "*Replication and Scaling-Up Toolkit for IWRM in Pacific Island Countries"* is designed to provide project managers with guidance on: (a) identifying tools for IWRM replication and scaling-up; and (b) developing a verifiable IWRM Replication and Scaling-up Plan. Replication and Scaling-up Plans will be useful for advancing IWRM and guiding national partners and donors on investment in the water and sanitation sector. They will also help other IWRM practitioners.
Replication and Scaling-up Plans can help Pacific Islands countries add value to their demonstration projects and IWRM initiatives	**What should Replication and Scaling-up Plans include?** The following plan components will be addressed in the toolkit: 1. **Lessons Learned**: the toolkit provides guidance for the process of identifying lessons learned through implementation; 2. **Significance**: plans should include discussion of the significance of the lessons learned; the toolkit provides guidance for the process of vetting the significance of lessons learned; 3. **Strategy**: plans should discuss the who, what, when, where, why and how of the strategy; 4. **Target Audience**: plans should include discussion of the target audience and how widely the plan applies. This toolkit provides some examples to guide national IWRM teams with this step; and 5. **Tools**: Plans should identify and discuss all tools that will be used during the implementation of Replication and Scaling-up Plans. This toolkit provides some examples of what tools might be useful in preparing Replication and Scaling-up Plans.

Replication and Scaling-up Plans can Enhance Cross-Sectorial Cooperation

Proposed Purpose of IWRM Replication and Scaling-up Plans?

This toolkit identifies the key activities for IWRM replication and scaling-up aimed at building and refining IWRM at both national and regional levels. These activities will provide the mechanism for replicating positive outcomes, learning from project successes and setbacks, and mainstreaming key lessons.

Replication includes:

- Sharing knowledge about IWRM lessons learned through documentation, facilitated workshops, and other methods from "*Community to Cabinet*" in Pacific Island countries, and at regional and global levels;
- Applying IWRM lessons and successful approaches from one location to another site, either within a given country or region;
- Scaling-up demonstration initiatives to work "*upstream*" of individual projects to broaden their scope of impact to, for example, policy and legal reforms;
- Using project trained organisations and individuals elsewhere within the country or in the region, e.g., technical exchange of project staff.

Replication and Scaling-up Plans will be dynamic plans, outlining anticipated lessons from the project, and will be refined through several iterations as lessons for replication becoming apparent during project implementation.

You can use a consultation process to: shape Replication and Scaling-up Plans; measure progress; and to involve and empower people

What Makes a Replication and Scaling-up Plan Useful?

The approach to be adopted for project replication is a combination of demand and supply driven processes. Demand driven processes are those where the project addresses key needs identified by local, national and regional stakeholders. Supply driven processes are those where good lessons are identified, and stakeholders are identified that may benefit from these lessons.

The national IWRM demonstration projects have already partly identified stakeholder demands in National Diagnostic Reports, Hotspot Analyses, and Project Proposal. In most cases, meeting these demands will require the development of technical solutions to identified problems, and the need for engagement and attitude changing strategies applicable from community to national government levels. Application of this approach will:

- build awareness, support and involvement, and skills and capacity across sectors and between levels of government, including traditional governance structures;
- justify bids for funding and increased budgetary support for IWRM; and
- better inform national reforms of development planning and government service delivery in the water and sanitation sectors aimed at ensuring secure access to safe drinking water and sanitation.

A Typical Replication and Scaling-up Plan

What might a Replication and Scaling-up Plan look like?

Replication and Scaling-up Plans will vary for each project but should contain a standard report structure with discussion of each of the replication strategies, recommended action plans, and a host of appendices with copies of appropriate tools and materials to inform replication activities. Advice on this is contained in "*Stage Four: Reporting*" of this toolkit.

	How to Develop a Replication and Scaling-up Plan …
Involve key stakeholders before critical decisions are made	***Stage one: getting started*** Each national IWRM demonstration project is a pilot study to test IWRM approaches, and it should therefore be recognised that these replication strategies are being developed without an explicit understanding of the exact nature of some of the lessons and approaches to be replicated. To date, all projects have documenting lessons learned on a 3-monthly basis, and it is anticipated that this will continue during the life of the project. It is recommended that these lessons learned be considered by National Demonstration Project Co-ordinating Committees which should undertake assessments of their significance and how they could possibly be used nationally and regionally. It is important that this process be fully participative so as to garner the support and input of all stakeholders from government agencies, traditional leaders, community representatives, civil society, and the private sector. This approach should be central to Replication and Scaling-up Planning. **<u>Things to consider and address:</u>**
Be clear about the reasons for developing a Replication and Scaling-up Plan	**Why develop a Replication and Scaling-up Plan*?*** Is a lack of knowledge hindering the water and sanitation sector and IWRM development? Or is a lack of evidence weakening the arguments for increased resourcing and replication? Are the learnings and strategies derived from the project useful to others? How important is it to further develop local skills and widen community involvement? **When will it be done?** How urgent is it? For example, is a Replication and Scaling-up Plan urgently needed to assist in gaining access to funding or to help decide where co-funding could be spent or project funds reallocated. As the projects are being implemented new lessons are being learned, so the plan will change as these lessons are added and key areas for replication are better defined. It is expected that national IWRM teams will have draft plans for review by the 3rd meeting of the Regional Steering Committee (RSC) and that revised plans will be required for each subsequent RSC.
The plans are dynamic and should evolve as IWRM project's are implemented	**What will it include?** Replication and Scaling-up Plans will be comprised of a series of replication strategies and associated actions. It is anticipated that a series of "***Learnings"*** will be identified and their "***Significance***" justified throughout national IWRM demonstration project implementation. **Replication strategies** will be designed as a means of repeating each of the key learnings and these strategies will include detailed discussion of all **tools** needed to implement the strategies, as well as details about the desired **impact** of the strategy, including reference to the intended **audience** and **scope**. **How will it be done?** It is recommended that Replication and Scaling Plans be developed in consultation with National IWRM Demonstration Project Coordinating Committees and National APEX water bodies where appropriate. This is aimed at ensuring full participation of stakeholders from government agencies, traditional leaders, community representatives, civil society, and the private sector. **Who will be responsible?** All IWRM Demonstration Projects have a requirement for Replication and Scaling-up Plan development. The principle driver for the formulation and preparation of the plan is the Demonstration Project Manager (DPM).

	Stage two: preparing the plan - using what's available!
Be clear and realistic about the value and potential use of project lessons	**How do we Identify Lessons for Replication?** This section talks about how lessons for replication will be identified. The aspects to be outlined are: ➢ Roles in identifying lessons – whose input will be sought and who will decide to proceed with a particular strategy? ➢ The process in compiling lessons and making decisions on how significant the lessons are and how to proceed with replication? ➢ The scope of lessons to be considered? Simplified, this process involves: (1) identifying good ideas, approaches, and outcomes to apply elsewhere; (2) a review of the value and potential of these; and (3) a decision on the replication strategy. Identifying lessons is a critical stage in the replication process. Generally the process requires a good understanding of the area of IWRM from which the lesson is derived. For example, it is difficult to identify good lessons in technical design without people with experience and an understanding of current design. Without this knowledge and experience, there is a high likelihood of "*reinventing the whee*l" and then suggesting it is something new.
Identify who is responsible and what resources are available?	Initially, responsibilities can be assigned to national IWRM teams or steering committees or sub-committees (e.g. the technical sub-committee). A progressive emphasis on stakeholder involvement should however, be promoted. It is recommended that, as part of regular quarterly meetings of the National Steering Committee, lessons learned are identified and reviewed by the committee. The process and methodology behind identifying lessons, establishing their significance, and developing the replication strategies must be clearly described in the plan. **1A. What are the Means of Identifying Lessons?** Options include: ➢ Identified by sub-committees (such as technical sub-committee) of national Steering Committee and reported directly to Steering Committee; ➢ Identified by the National Project Management Unit and reviewed by the sub-committee(s) prior to tabling at the Steering Committee; ➢ Sought from all sources, including sub-committee(s), by the National Project Management Unit and compiled for review by National Steering Committees; and ➢ Any other reasonable approach identified. Some of these lessons will be clearly identifiable in the project logframe, including many of the project outputs. For example, the design and uptake of composting toilets in Tuvalu and the possible extension of this approach for use in other island/atoll settings.
Tips that may help at the planning stage	**1B. How do we classify areas of Learnings?** It may be useful to structure the approach to lesson identification in order to simplify the process. For example: **Output based** - assess individual outputs (e.g. a design, report, or construction) **Outcome based** - achieved outcomes (such as a change in attitude, or improved sanitation) **Process based** - novel approaches (such as development of a new name) **Problem based** - Identify negative outcome learnings (where something doesn't work as well as expected/hoped – the purpose is to avoid a repeat)

	2. What are Suggested Approaches for Vetting Lessons?
Ensure involvement of national water and IWRM committees in reviewing and approving lessons	The significance of each of the lessons needs to be reviewed, discussed, and confirmed at the national steering committee level. As should the selected approach for replication of these. An example of this section of the Replication and Upscaling Plan might read as: *"Each quarter the PMU will, in consultation with stakeholders, review the outputs, outcomes and processes of the previous period to identify new approaches or designs (generally, or in the local or national context) or lessons that have been learned in undertaking the project. Lessons will be broadly grouped as Capacity / Performance, Coordination / Integration, Project Management, Stakeholder Engagement, Technical, Political, Socio – Cultural, or Communications. Technical lessons will be reviewed by the Technical Steering Committee and other personnel nominated by the Steering Committee to provide input on the significance of the lessons.* *The lessons, together with an indication of their significance, will be tabled at the Steering Committee meeting for consideration. At each meeting of the technical sub-committee, a review of lessons associated with technical aspects of the project will be undertaken and the report provided to the PMU for inclusion in their report to the Steering Committee."* Alternatively, a completely different approach might be adopted where lessons learned are workshopped on a periodic basis. The advantage of the above approach is that there is a degree of review, and you get Steering Committee sign-off on the lessons learned.
Develop a country specific list of topics for planning replication strategies .	***3. Examples of Strategies*** The following are examples of potential topics for replication strategies and associated themes: ❒ Links to policy documents (Political) ❒ Links to regulation (e.g. building codes) (Political, Technical) ❒ National education campaigns (Communication, Stakeholder Engagement) ❒ National awareness campaigns (Communication, Stakeholder Engagement) ❒ Partnership with government agencies (Coordination/Integration, Political) ❒ Partnerships with private sector (Coordination/Integration) ❒ Community Consultation with Village Chiefs and Traditional Owners (Socio-Cultural, Stakeholder Engagement) ❒ Capacity Building Exercises for Project Staff (Project Management, Capacity/Performance) ❒ Conducting Surveys, Hydrological Analyses, Data Management (Technical)
Use tools best suited to national circumstances for sharing lessons and promoting replication	***4. Examples of Tools*** The following are examples of tools used to implement strategies that would be useful guides for the replication process: ❒ Best practice manuals ❒ Demonstration sites ❒ Twinning arrangements (i.e. demonstration sites to new sites nationally or regionally) ❒ Presentations at national, regional and international fora. ❒ Media (i.e. Communication Strategies)

	❒ Publications/Reports (i.e. Technical Reports, Newspaper Articles, Brochures, Journal Articles) ❒ Videos and or Roadshows ❒ Community Workshops (i.e. Community Engagement Plans, Stakeholder Engagement Analyses/Plans, Workshop Materials) ❒ Policies/Legislation/Regulations
Remember that water and sanitation stakeholders also live outside urban areas where traditional land tenure and governance systems are often applied	***5. Who are the Target Audiences?*** The replication strategy should identify the target audience and the scale: ❒ Both level of coverage and level of audience (i.e. national coverage at community level) – note that level is the most significant aspect of this ❒ Scale of audience – for example community level initiatives might be delivered through national awareness campaigns, partnerships with government, train the trainer, roadshows, or exchanges These components can be addressed in approximately one paragraph of discussion for each component, for each of the key Learnings. The Strategy should also identify the country/regional need and how this learning addresses it. One to two paragraphs should be used to discuss the broad level of awareness regarding the issues raised above and the current capacity to address the needs above. For example, if there is a country-wide need to manage the septic at the household level, including inspections and checking the water disposal is working, is there a corresponding country-wide level of awareness of the problem and/or capacity to address it? Where is the community at in their understanding of how to make this work?
Identify key areas for replication that focus on the root causes of water and sanitation problems	***6. What are Key Areas for Replication?*** The plan should address each of the components discussed above. In doing this, be mindful of the key areas for replication identified in the project documents, including the following which are provided as examples [Be mindful however, of the need to reconfirm the significance of these]: ➢ Demonstration of environmental benefits through using IWRM approach to manage water resources – *e.g. reduced impacts on the lagoon* ➢ Incorporation of IWRM approaches mainstreamed into national government practice – *What steps are you taking to progressing this?* ➢ Demonstrate socio-economic value of IWRM approaches to achieve local to global environment benefits – *Is it possible to get a Cost-Benefit Analysis done as a means of assessing this?* ➢ To expand lessons learned and replicate IWRM approaches which reduce risk associated with climate variability (i.e.: watershed mgmt and integrated flood risk mgmt) – *Rainfall variability and drought the obvious effects; although other secondary aspects should be considered such as reducing the stress from nutrients on the lagoon which in turn might reduce biodiversity impacts.* ➢ Understanding cause and effect of poor water management practices – *reduced water availability in drought or flood impacts on sanitation and shallow wells etc* ➢ Need for better understanding on the role of monitoring and action on monitoring information – *Need to link this to better data collection, analysis and reporting* ➢ Collective suite of indicators required applicable to different countries and regions as guidance – *This is underway* ➢ Better understanding of the role water plays in development of SIDS ➢ Demonstrate value of IWRM approaches to managing water, including cost effective and beneficial impact ➢ Avoid fragmented management of water through collaborative cross-

	sectoral and multi-level working ➢ Improvements in national planning and sectoral coordination, including financing ➢ Opportunity to develop, support, and strengthen regulatory instruments ➢ Expanding core institutional knowledge across sectors nationally and regionally ➢ Supporting communities and local institution to maintain awareness and embed successful project approaches into everyday practice ➢ Rolling-out appropriate training across the region At the end of this process, you will have: a series of tools to be considered for replication; a structure to identify lessons for replication; and a process to target, develop and implement the tools for the right audiences. These would then feed into a Work Plan. The Work Plan should contain provision for regular monitoring and evaluation and communities targets. As you progress, you can work this up to include all of the major activities developed under this strategy.
Acknowledge the importance of "consensus" in establishing the information base for planning replication and scaling-up .	**Stage Three: Review of Results and Recommendations** **Confirming a Consensual Information Base for Planning** Stage 1 and 2 outline possible steps and approaches for establishing the need for the plan, working out who will contribute to its development, and identifying the process by which lessons will be integrated into the planning process. As most island cultures operate on the basis of consensual decision-making, often involving extensive consideration of local cultural, political, and traditional leadership norms, it is recommended that effort be made at this mid-point to confirm a consensual information base for planning. It is recommended that a workshop or similar consultative activity be undertaken to review results to date, with the aim of building consensus amongst stakeholders regarding the information base for planning and in identifying the next steps for plan development and implementation. Events such as these can be promoted as key milestones in the plan development process, and focus the attention of multi-stakeholder groups on delivering the necessary outputs required as part of the process. They can also provide an opportunity to ensure alignment and linkages with ongoing or new initiatives, such as the preparation of national water assessments and investment plans (e.g. the National Water, Sanitation, and Climate Outlook Process).
Develop communication tools to promote the importance of replication and scaling-up plans	**Enhancing the Relevance and Profile of Replication and Scaling-up** Replication and scaling-up are central to the mainstreaming of IWRM principles into national planning, budgeting, and resourcing of departments and agencies involved in water and sanitation management. Clear Replication and Scaling-up Plans are also useful in identifying priorities for future investments and use of national allocations of donor funding. The mid-point consultations recommended above can also be used to increase the relevance of replication and scaling-up initiatives to national stakeholders and development partners. It is likely that this need can be met via the development of communications materials promoting the need for replication and scaling-up plans for three key audiences: (a) community organisations and NGOs; (b) water resource and sanitation practitioners; and (c) members of Demonstration Project Committees and National Water Committees. Specific communications tools may include: national and local media campaigns (TV, newspapers, and radio), local competitions, and workshops. Engagement at the highest levels of government, i.e. presentations to Cabinet/Congress, will also likely be necessary to garner interest in provision of budgetary support for IWRM approaches to the water and sanitation sector generally.

A key element of replication and scaling-up is preparation of a costed action plan addressing priority root causes

What a final report is likely to include

Draw conclusions based on the evidence

Turning Plans into Actions – Providing Benefits to our People

Reaching Agreement on the Way Forward

The workshop or similar consultative activity outlined in this section may also be a suitable forum for the consideration of priority areas of action for IWRM replication and scaling-up. This would require prior preparation by National Steering Committee of a series of costed actions for prioritisation. The participation of representatives of the national office responsible for national budget preparation, as well as representatives of donor organisations, would likely yield positive results at this stage. The key outputs of this step should be a costed action plan.

Stage Four: Reporting

A proposed structure for drafting a National IWRM Replication and Scaling-up Plan is as follows:

- **A SUMMARY** - explaining why and how the plan was developed, setting out key learnings and discussing how these will be used to the benefit of the country and region
- **ACKNOWLDGEMENTS** - recognising the help that many people have given to make the work possible
- **A LIST OF CONTENTS** - to help the user find their way around the plan
- **AN INTRODUCTION** - providing more details about what has been done, why and how
- the **BODY** of the report will detail the learnings which will be typically grouped around the following themes:
    - o Capacity / Performance
    - o Coordination / Integration
    - o Project Management
    - o Stakeholder Engagement
    - o Technical
    - o Political
    - o Socio - Cultural
    - o Communications

  Additionally the Key Areas for Replication identified in the demonstration project document will be addressed in the body of the report.

- **CONCLUSIONS AND RECOMMENDATIONS** – which should take the form of an action plan
- **APPENDICES** – these supporting documents give more detail about how the work has been carried out, the resources used, people contacted, questionnaires, etc. This helps keep the main report clear and to the point, while giving people helpful information about how the plan has been prepared.

Stage Five: Acting on the Results

A Replication and Scaling-up Plan can be a useful tool for your project and its partners, and for other local organisations, in their campaigns and funding applications, or to help decide where co-funding could be spent or project funds reallocated.

At this stage, you may need to think in much more detail about how to take particular ideas forward, either by developing projects or influencing service providers. The profile might be the basis for a community conference where the next steps can be planned and where people can start to get involved in taking those steps.

The Demonstration Project Manager and Steering Committee's advocacy is

	needed to push the plan locally and nationally to ensure the benefits of the demonstration project experience are broadly realised. The plan needs to be fed into the National Development Planning process and used by institutional partners to better direct their resources in the water and sanitation sector. It may also be useful to evaluate the process (something you should plan for from the beginning), in order to be clear about the strengths of the plan, any limitations it might have, and any follow up work that needs to be done to develop it.

Matrix for the Planning of IWRM Replication and Scaling-Up

Lesson	Audience(s)	Scale	Applicability of Lesson	Replication Tool(s)	Timeframes	Cost
Stakeholder Engagement						
Obtaining community acceptance of composting toilets – a concept greeted with significant caution	National Government Agencies (Tuvalu and O/S) Project Managers (NGOs, national and regional)	Island / National	Generally instructive to engaging community support for initiatives that are not universally popular Specifically applicable to initiatives looking to introduce composting toilets Key Areas: Community engagement Influencing communities Sanitation Water Use Efficiency	O/S National government agencies: - twinning visits - resource package - GEF IWRM internet - conference/RSC presentations Tuvalu agencies - APEX body discussions and presentations - resource package - direct engagement Project Managers - resource package - regional project reporting - conference presentation(s)	2nd – 3rd Quarter 2011 2nd Quarter 2011 2nd Quarter 2011 3rd Quarter 2010/2011 1st – 2nd Quarter 2011 2nd Quarter 2011 2010 – 2013 2nd Quarter 2011 End 2013 3rd Quarter 2010	Negligible – hosting $2,000 Negligible Negligible – covered already Negligible See above Negligible – already covered See above Negligible See above
Project Management						
Establishing an international project in Tuvalu	Tuvalu Government Agencies (Tuvalu) Project Managers (NGOs/ national) Regional / Donor project managers	Regional/ National	Generally instructive to facilitating smooth project inception and ongoing management	Tuvalu agencies and project managers - report(s) - APEX body discussions and presentations O/S National government agencies: - twinning visits - report(s) - RSC Regional / Donor Project Managers - report(s) - RSC - Agency meetings with Donors		

Lesson	Audience(s)	Scale	Applicability of Lesson	Replication Tool(s)	Timeframes	Cost
Capacity / Performance						
Coordination/Integration						
Technical						
Political						
Socio - Cultural						
Communications						