

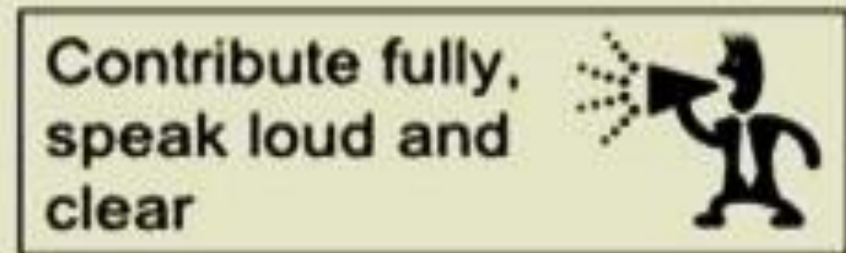


Introduction to Theory of Change and Logframe Workshop

Rasha Al Akkad

Ground Rules

As a courtesy to your colleagues, please:



what do
YOU
expect.?

Learning Objectives

- Increased awareness and knowledge about the MEL and project cycle, including Theory of Change (TOC).
- Understanding how the TOC informs the entire Project Cycle.
- Increased understanding of the critical role of TOC as a planning and learning tool, how and when to use it.
- Increased knowledge of TOC components and better understanding of how to define specific, measurable outcomes.

Project Management Cycle and M&E

Project Close

- Obtain final acceptance on deliverables
- Financial/Legal closeout
- Collect lessons learned/feedback
- Final Project report
- Handover

Project Monitoring

- Monitor project performance
- Monitor and manage changes (risk, context, PMP/timelines)
- Verify Project and Deliverable quality

Project Execution

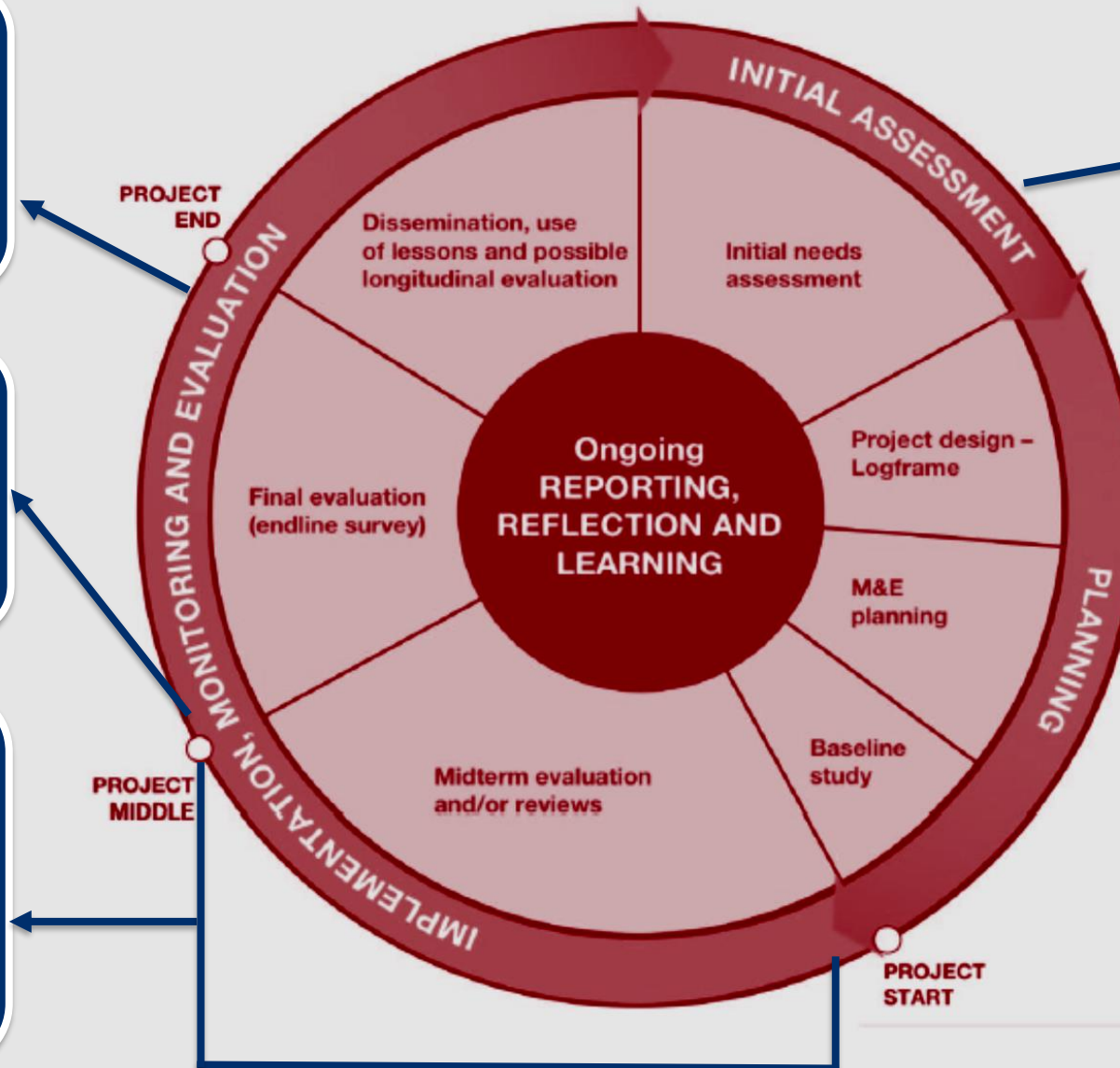
- Resource management
- Task execution based on project plan
- Implement quality assurance plan/risk management plans
- Implement approved changes
- Stakeholder management and communications

Project Initiation

- **Project Assessment**
- Identify Key Deliverables
- Stakeholder analysis
- Risk Analysis
- Project Plan/Approval
- Kick off meetings

Project Planning

- Review project requirements
- Cost Management/Procurement plan
- HR management plan
- Project Schedule
- Communication Plan
- Quality Assurance Plan

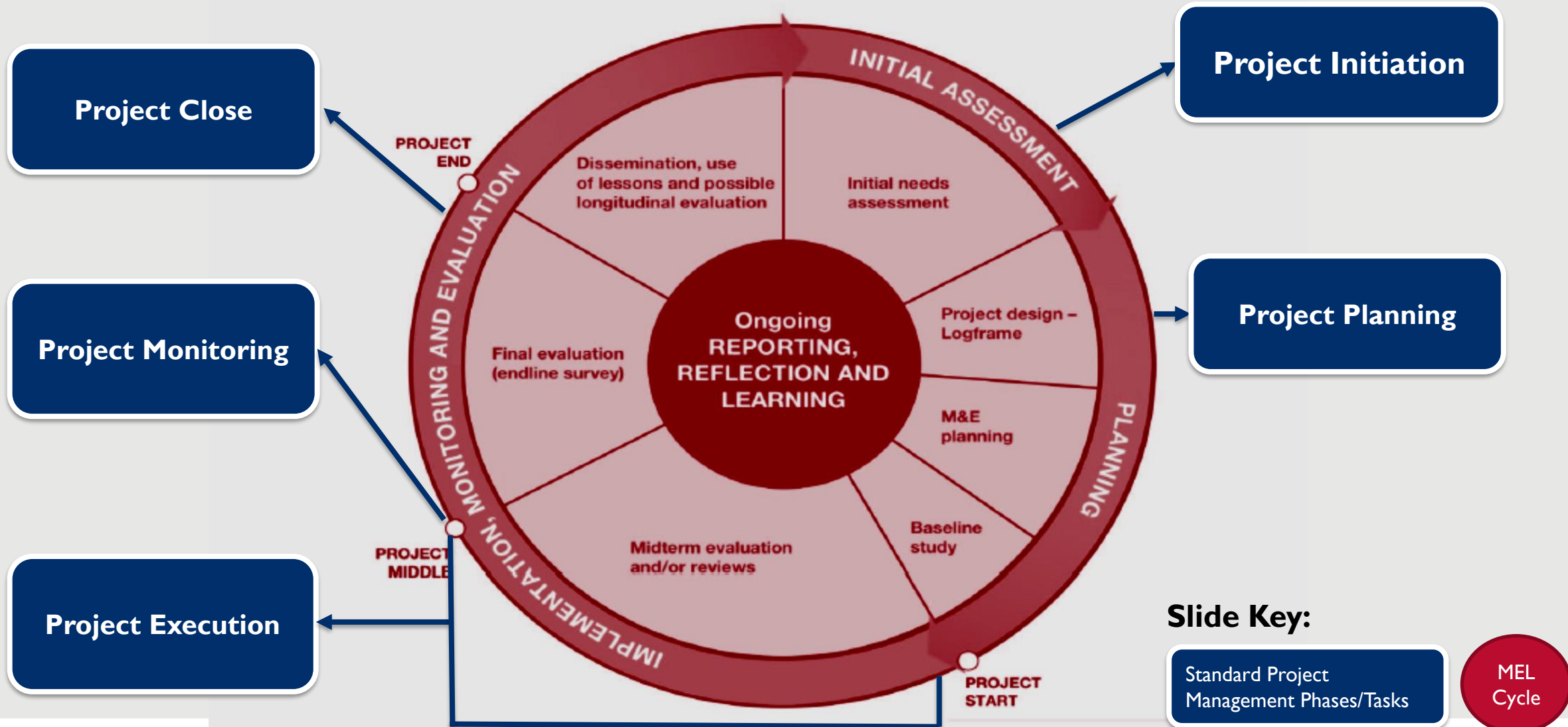


Slide Key:

Standard Project
Management Phases/Tasks

MEL
Cycle

Project Management Cycle and M&E



What is a Theory of Change?



Key Features of a Theory of Change

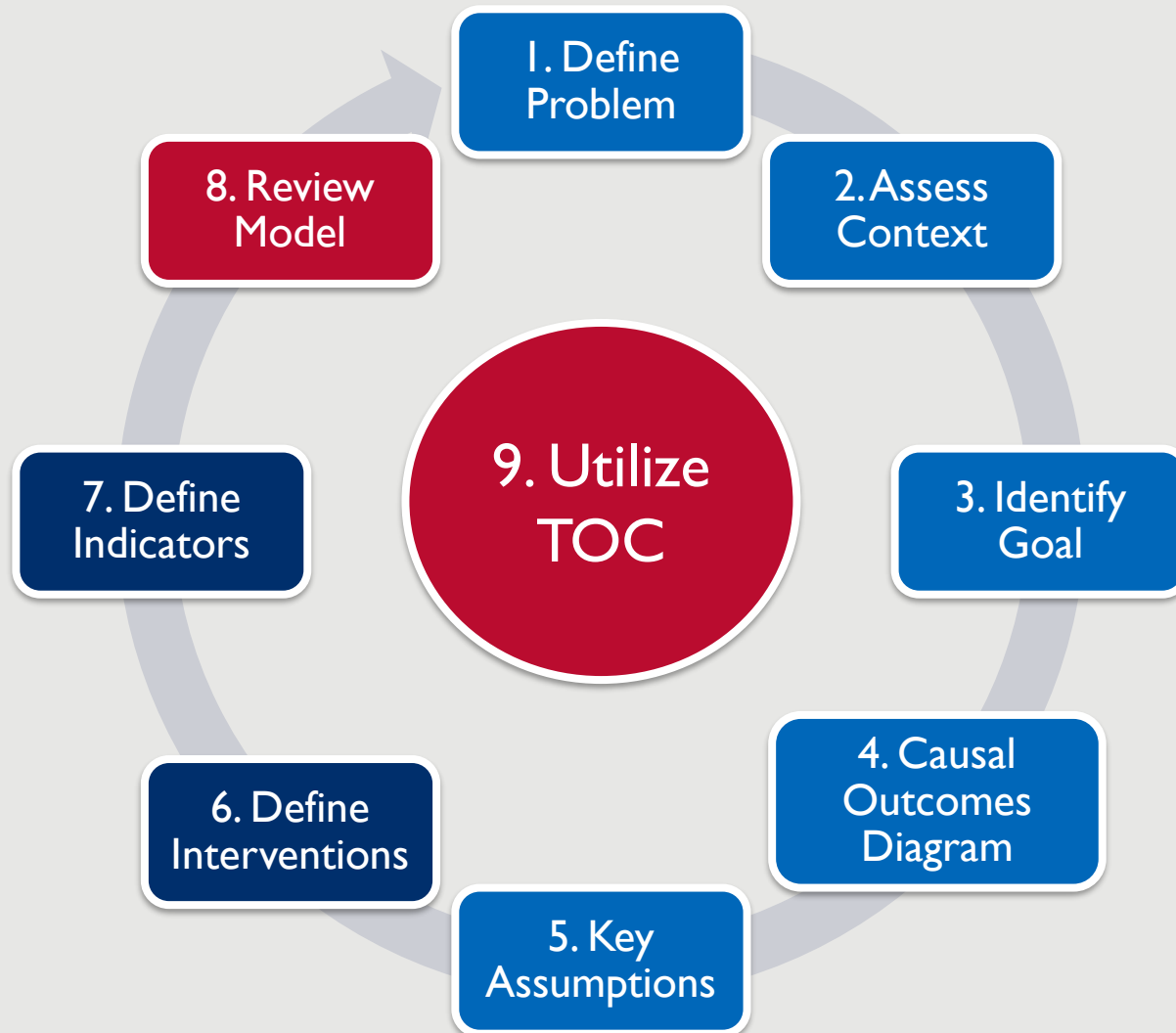
- An **approach** to the design of social programs, structured to clarify the causal logic and causal pathways by which change will occur
- **A process and a product**
- **Details ideas and beliefs about HOW and WHY change will happen**
 - From the perspective of the Activity, project, or organization
 - Based on existing evidence
 - Based on a deep understanding of the context and series of analyses
- Demonstrates/describes the pathways of change
 - Causal logic
 - Could be used to complete the sentence, “if we do X, then Y will change **because....**”
- Identifies assumptions behind the expected change
 - Programmatic assumptions (addressed by the project/Activity)
 - Contextual Assumptions (beyond the control of the project/Activity)
- **A process of critical questioning (evaluative thinking)**

Theory of Change Process

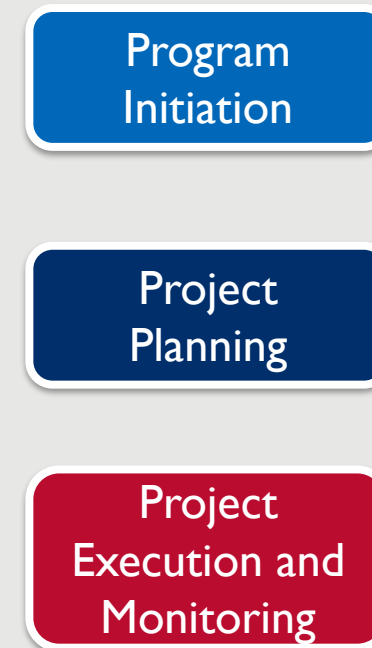
- A participatory process of critical questioning, intentional design
- Purpose driven
- Participation of a wide range of stakeholders (internal and/or external to the Activity or Project)
- Comprehensive Analysis
 - Stakeholder, Gender, Political Economy, Conflict, etc. analyses
- Articulate and challenge implicit and explicit assumptions
- Test hypotheses about how change will occur
- “Pause and Reflect”
 - On-going, iterative process of reflection
 - Update theory of change based on new evidence and experience (research, evaluations, monitoring data, learning, implementation experience)

TOC Process and the Project Management Cycle

Theory of Change Process Diagram



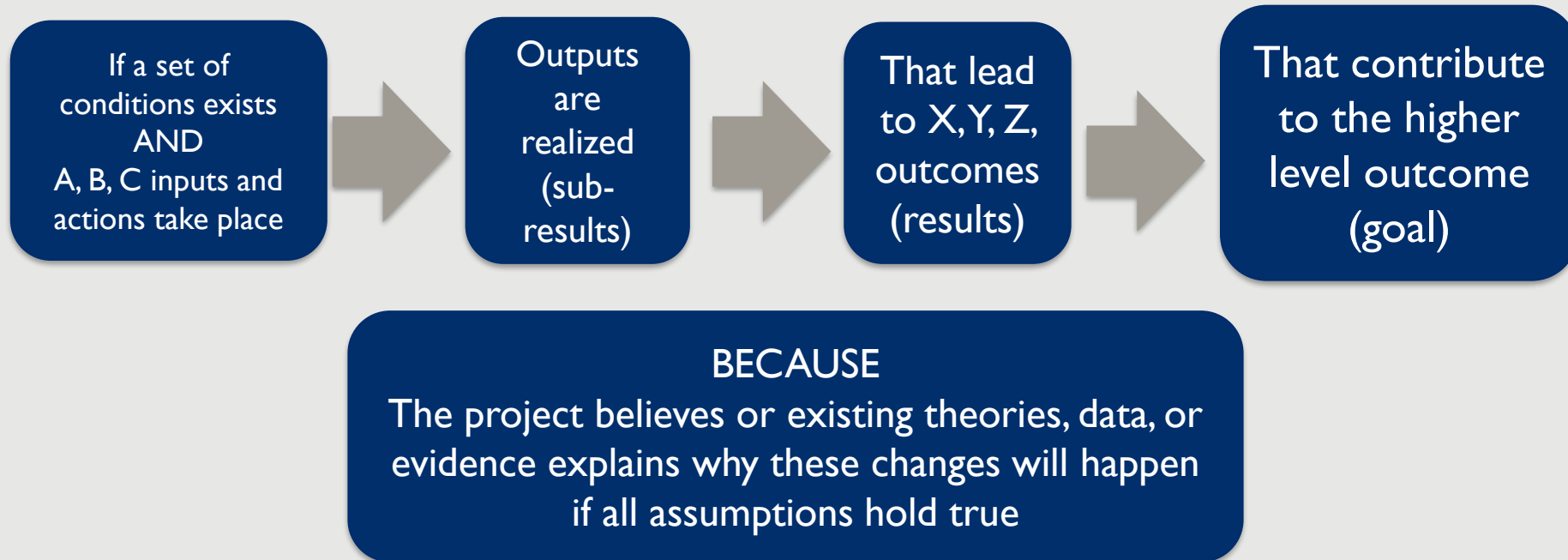
Project Management Cycle Key



*Note that TOC is also part of the closeout phase – TOC are used to assess final results and collect lessons learned

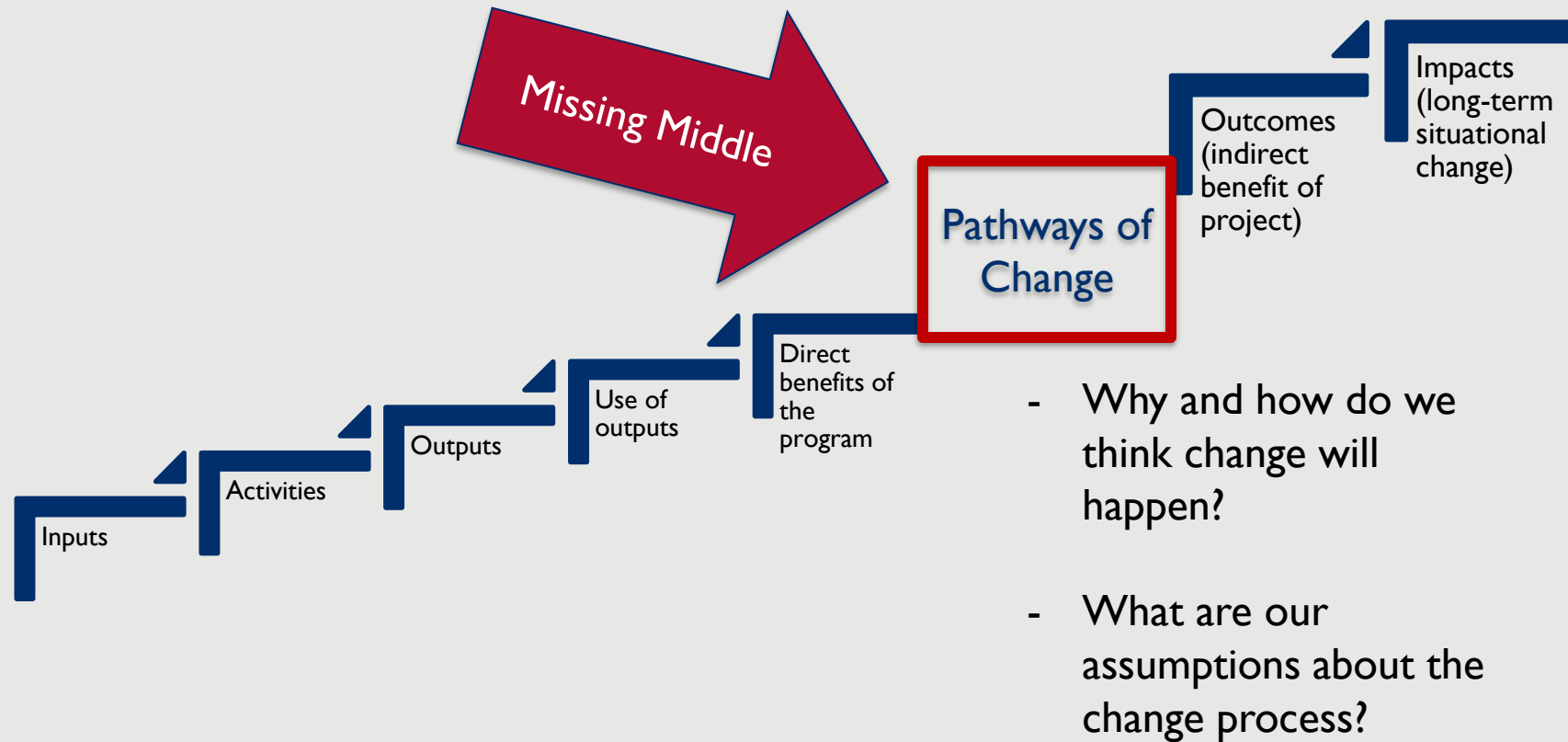
What is a Theory of Change?

Pathways of Change



Adapted from: USAID Education in Crisis & Conflict Network,
https://eccnetwork.net/wp-content/uploads/12.16.A.TheoryofChange.Final_.pdf

The “Missing Middle” of Logic Models



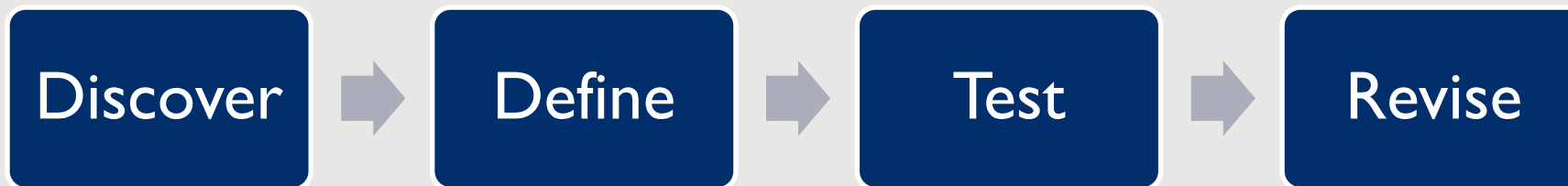
Adapted from Vogel, 2012

Theory of Change Process

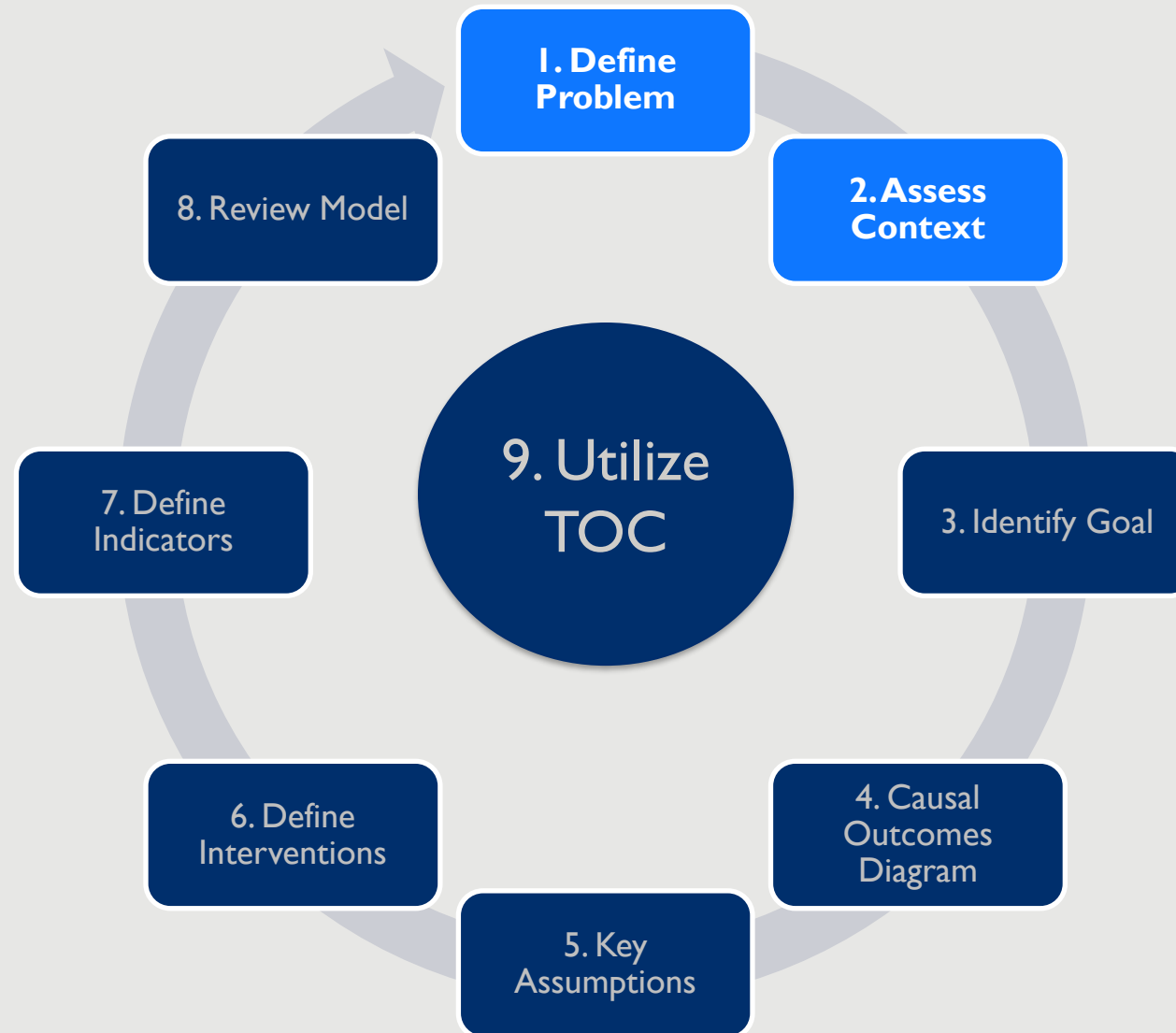


Approach to Theories of Change

- **TOCs are models to be tested**
 - TOCs are built on our knowledge, beliefs, evidence and assumptions about how change happens
 - **Change can be approached in many ways – there may be multiple effective models**
 - All models have limitations and may not accurately reflect all the nuances of a system in reality
- TOC Testing occurs during implementation and requires regular reflection, review, and revision



Theory of Change Process



Step 1: Define the Problem

- Identify the core problem
- Explore issues that the exist within the parameters of the project/Activity interest area and work backward to identify the core problem
- Throughout the process, ask: “What causes that?”
- There is often more than one cause to a problem
- TOC Pause & Reflect Sessions/Reviews: review and validate core problem

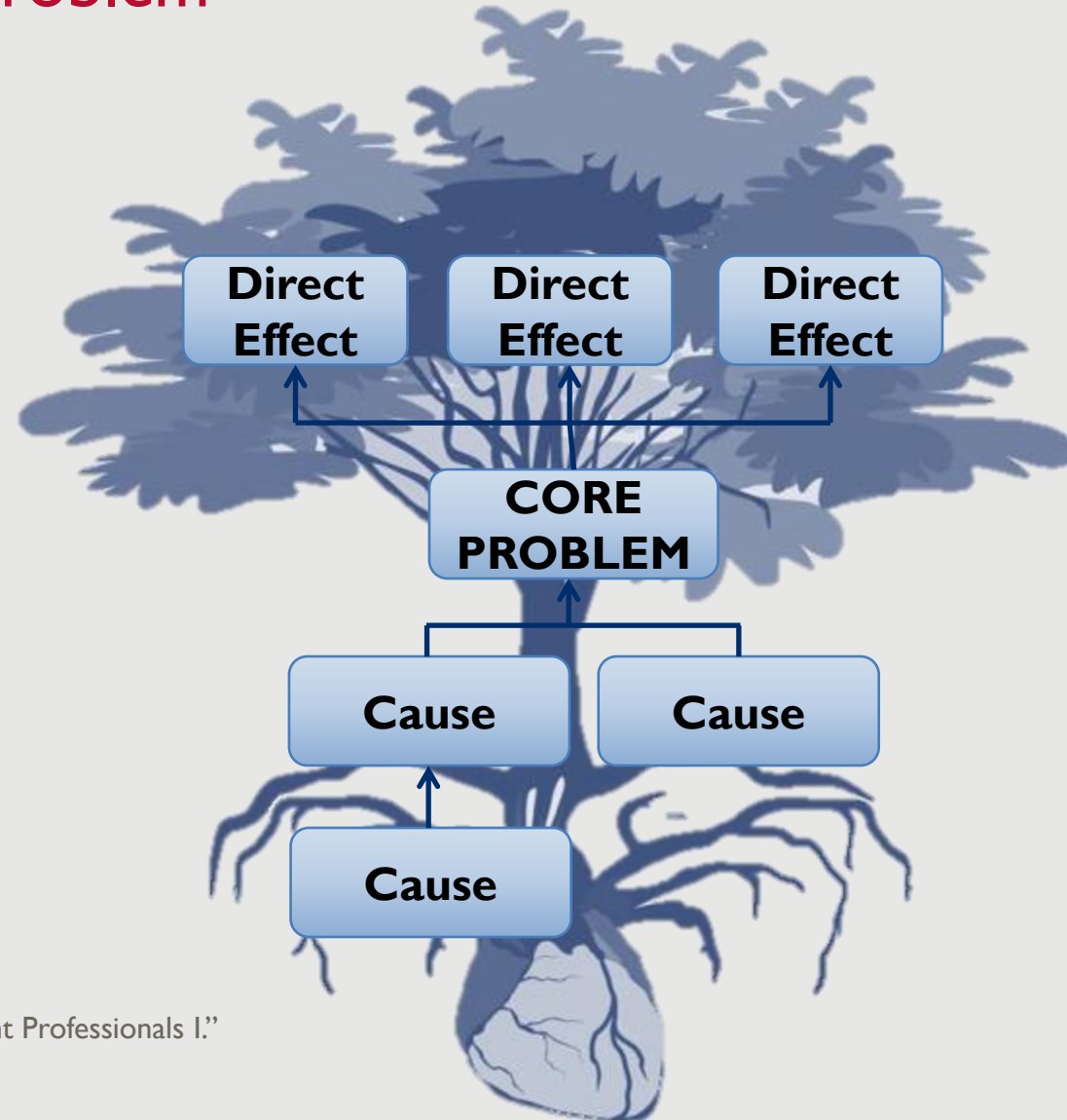


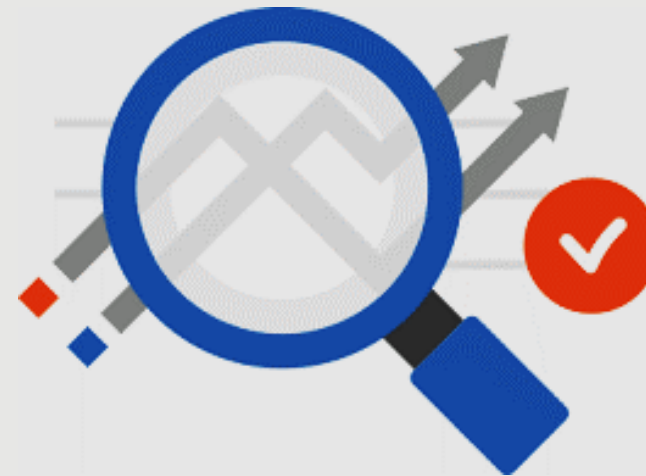
Image: Lingos, “Project Management for Development Professionals I.”

Step 2: Assess the Context

- The anchor upon which the theory of change is built
- Examine root causes of the core problem and circumstances or conditions that may affect the situation, root causes, and core problem
- **Review the evidence!**
 - Evaluations
 - Monitoring Data
 - Research and other studies
 - What is new since the project was designed?
- Consider the whole system in which the core problem exists
- Proposal vs. Implementation Start-up Phases
 - Short proposal time periods limit the level of data collection
 - Implementation period often requires an update/more in-depth analysis of the context

Context Analysis Tools

- Context Analysis: Social, political, economic, ecological, other dimensions
 - Problem tree, fish bone analysis, situation models, force field analyses, 5Rs approach
- Stakeholder and actor analysis
- Political Economy Analysis
- Behavior Change Barrier Analysis
- Power and gender dynamics, drivers of change, opportunities for change



Group Exercise: Problem & Context Analysis

- Instructions:
 - Form groups
 - Decide on an issue you think will be important to USAID to address
 - Create a problem tree
 - Identify what tools you would use to analyze the context
- Time: 30 Minutes

Theory of Change Process



Step 3: Identify the Goal/Purpose



Step 3: Identify the Goal/Purpose

- Convert the problem statement into a goal
- What is the highest level desired change, why and for whom?
 - **Describes what, who, where, NOT HOW!**
 - Should be ambitious but achievable in the strategy, project, and/or timeframe
- TOC Review:
 - Review and validate the project purpose: In the current situation, is the project purpose still valid?
 - Does existing evidence support the need to continue focusing on this problem/purpose as originally envisioned?
 - Does the project purpose need to be refined further?

Good Example:

Increased utilization of family planning and reproductive health services in Amman Governorate

Well-designed results statements are...

Statements of results, not processes:

What will have been achieved, not what processes will be undertaken or completed.

NOT THIS:

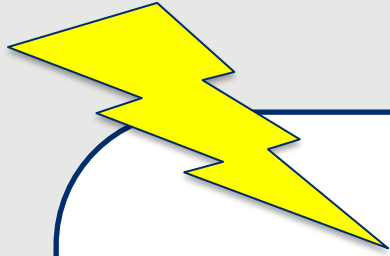
- Promote the adoption of new workplace safety laws.

BUT THIS:

- New workplace safety laws adopted

We frame them as “Done Deals” to help envision what success will look like, to focus on the result more than the process.

This also helps set us up to select appropriate measures.



Do not be satisfied with vague and general goals

Describe the change specifically, and in terms of specific populations. A goal statement must be written in the form of an outcome: a changed situation that can be described and measured.

Group Discussion – Good or Poor Examples?

- To improve food security, income, and resilience for chronically food insecure rural women through their social and economic empowerment
- Increase use and continuation of family planning and reproductive health services in Jordan
- To improve local facilities and to empower and engage 10,300 targeted households in agricultural productivity, income and employment towards improving their basic food needs Ma'an and Karak Governorates.
- Underprivileged youth employment in service delivery sector improved

Group Exercise – Desired Change

Projects are living things – they are born, they grow, they work and they die.

Now ask yourself :

- If you read this on a gravestone, would you stop and want to know more?
- Is it powerful and snappy enough to be on grave stone ?
- Dose it really say what you'd like to be remembered for ?

Remember: It should be a very brief statement that capture as briefly as possible the difference they have made in the world

What would you
like the world to
remember you for?



Group Exercise – Goal Statement

What would success look like for your proposed project?

Lets move from the epitaph to a fuller description of a vision of success:

- Time horizon: 3-5 years
- What would success look like at the end of 3-5 years?

What are SMART Goals ?

Specific	Goal should be specific, why funds are required and how it will be utilized
Measurable	Exact Amount estimated for meeting the Goal should be stated
Attainable	Determine how it can be reached, and ability of individual to meet the outcome
Relevant	Is the Goal realistic and in line with the stated objectives of the individual
Time Bound	Specifically state when the goal needs to be reached

Theory of Change Process



How Change Happens

- Critical Aspects
 - Systems
 - Power
 - Norms
- Who creates change?
 - Change Actors
 - Institutions



How Change Happens – Women's Empowerment

- Discussion:
 - In Jordan, what types of systems, norms, or power (im)balances may limit women's empowerment?
 - Who or what can create change for girls/women affected?
 - Is there one solution to the problem?

Step 4: Develop a Causal Outcomes Diagram

Identify Domains of Change

**Domain
of
Change**



Goal: Under-privileged youth employment in service delivery sector improved

Ind- G I: Number of individuals with new or better employment following completion of USG-assisted workforce development programs (EG. 6-I)

RI: Youth vocational skills in service delivery improved

I.1: Percentage of targeted at-risk youth reporting preparedness to enter higher education, vocational training and/or the workforce due to USG assistance (3.c)

I.2: Number of youth successfully completing the foundation period with VTC

I.3: Number of youth successfully recruited in the Youth with Potential program

Sub RI: Awareness of QSR vocational training opportunities increased

Indicator I.1.1: Number of eligible youth that applied to the Youth with Potential program

Identifying Domains of Change (IRs, Results)

- Key Questions:
 - Who and what needs to change in order to achieve the goal?
 - Where does the change need to happen and in which way for the change to become possible?
 - Who needs to do what differently?
- Convert key root problems to domains of change

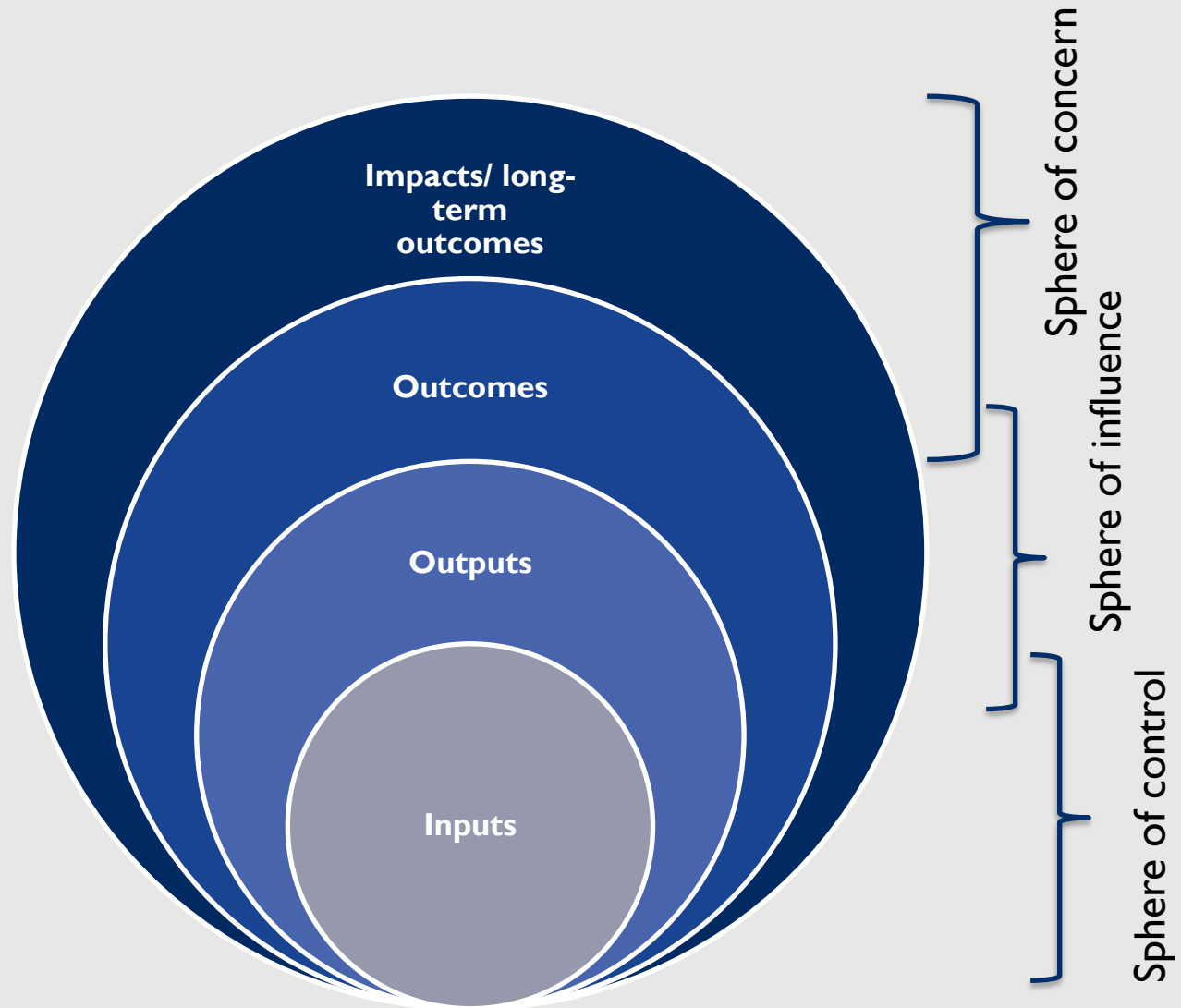
Example		
Key problems	converted to...	Domain of change
Limited ability to recover from shock		Improved ability to recover from shock
Low crop production		Increased crop production
Inequitable and limited income		Increased equitable income.

(Starr and Fornoff, 2016)

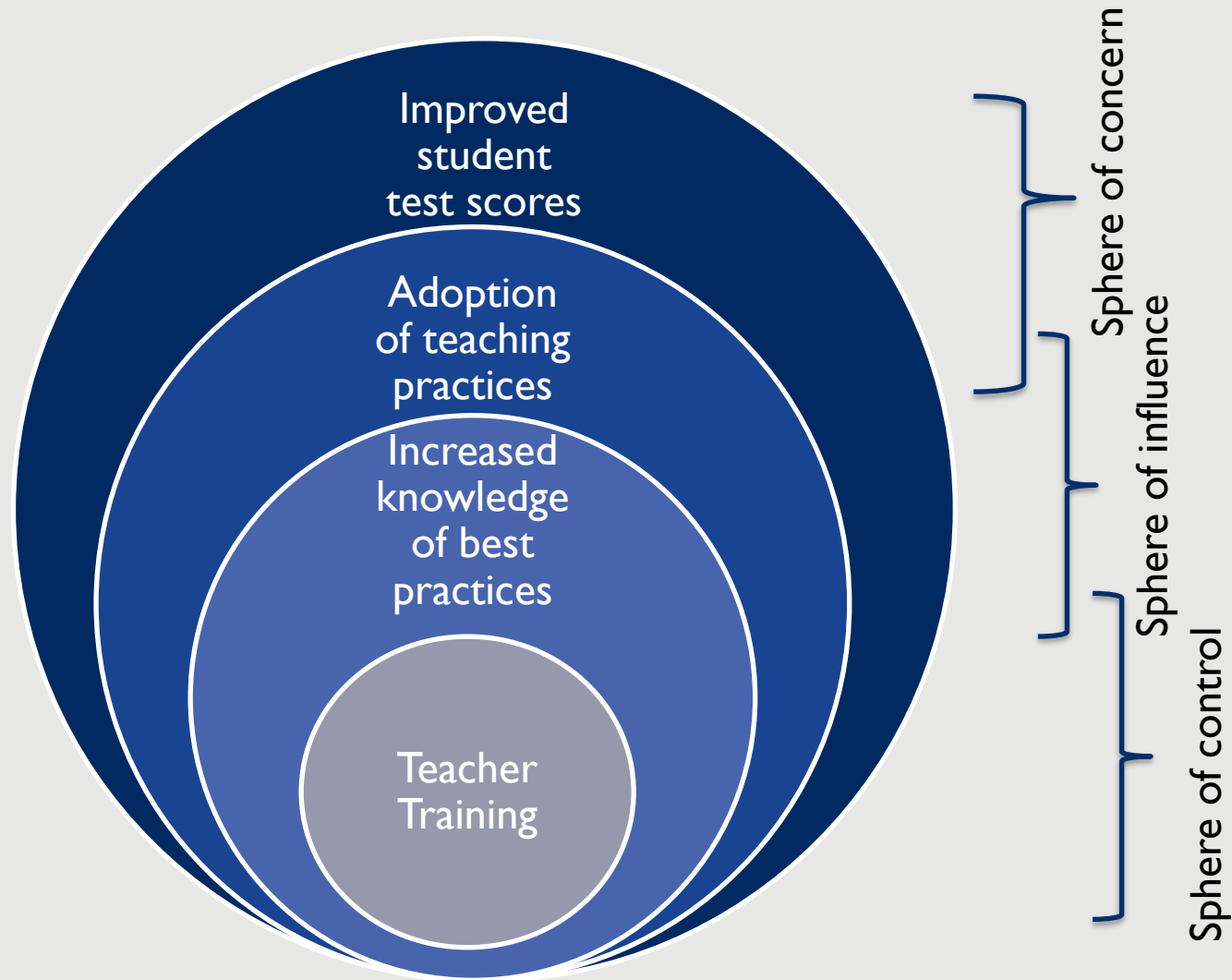
Prioritizing Domains of Change

- **Is there opportunity?**
- **Is it feasible?**
- **Are there potential partnerships?**
- **Do we have a comparative advantage or can add value in this area?**

Limits to Influence



Limits to Influence



Group Work – Domains of Change

- Determine the key domains of change (result) for your selected project
- Select no more than 3 domains of change
- Time: 15 minutes

Step 4: Develop a Causal Outcomes Diagram

Detail Full Causal Logic Chain

- Map pathways of change
 - sequence in which outcomes are expected to occur in order to accomplish the domain of change and ultimately reach the project goal
 - outcomes on lower levels are preconditions for outcomes at the next higher level
- The step-by-step solutions that make up pathways of change are interchangeably referred to as *outcomes, results, accomplishments, or preconditions*.
- Work backwards from the goal (the long-term change envisaged)
 - What needs to happen for the desired change to occur?
 - What needs to be in place for the desired change to occur?
 - How do we think the change process may evolve over time?
- USAID Terminology: IR, Sub-IRs (USAID), Results and Sub-results

Hypotheses and Logical Chains

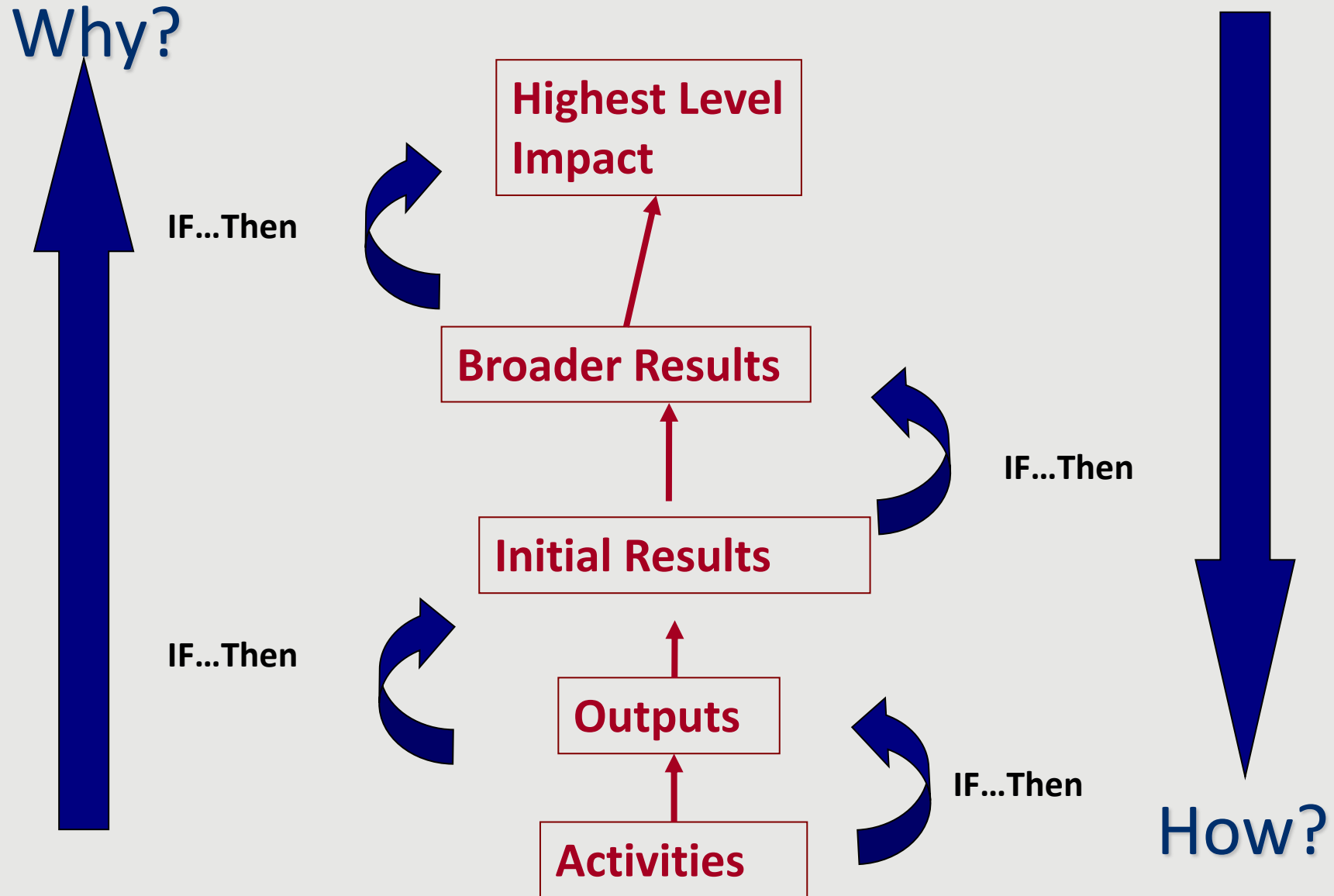
Projects and Activities are Based on Hypotheses

Almost every project design contains definite ideas about **causal** relationships

If A, then B

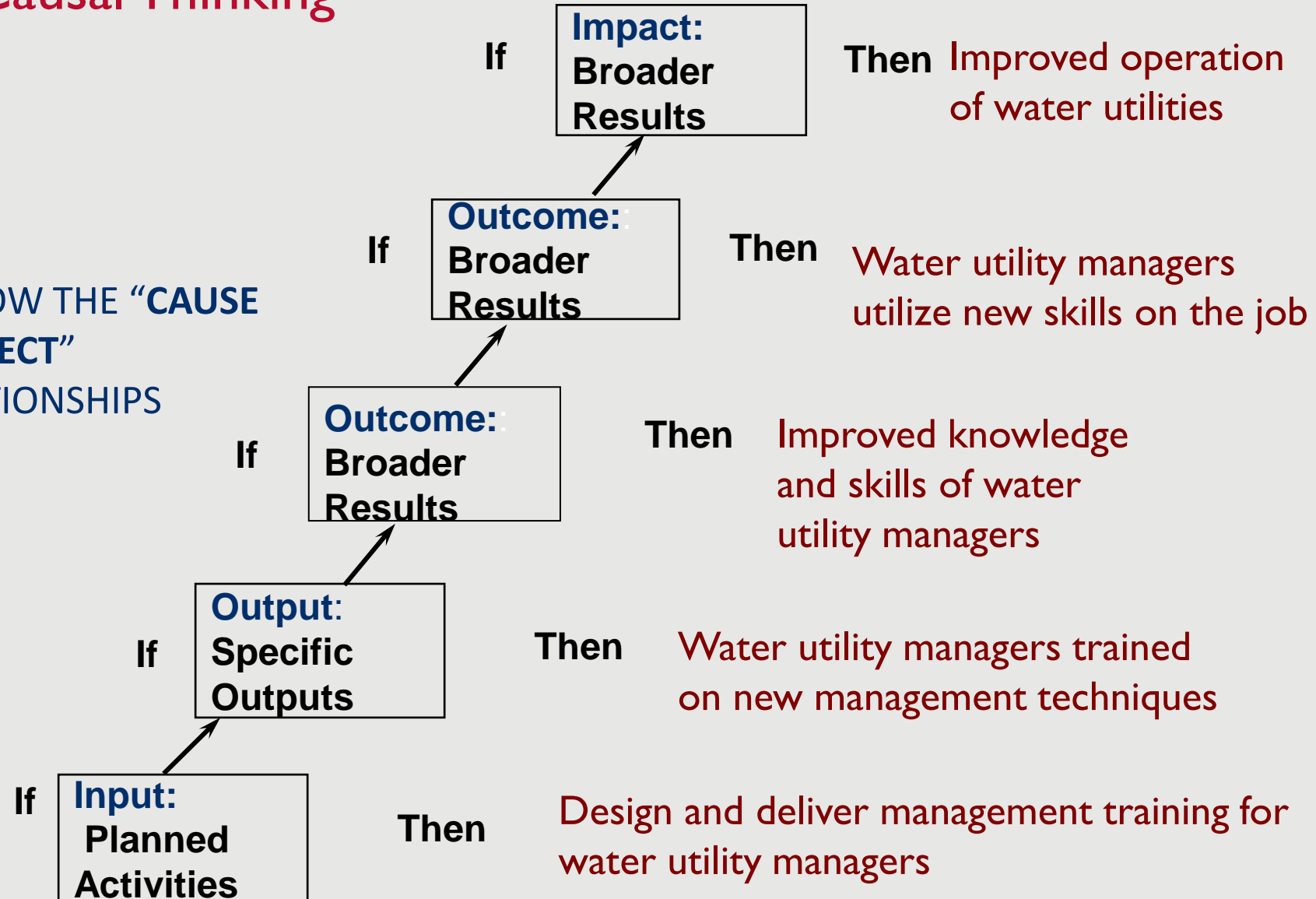
- *IF we train teachers, THEN children will learn more*
- *IF we vaccinate children, THEN there will be fewer deaths*
- *IF we monitor elections, THEN there will be fewer irregularities*

A Logic Model Shows Why and How



Causal Thinking

FOLLOW THE “CAUSE
& EFFECT”
RELATIONSHIPS



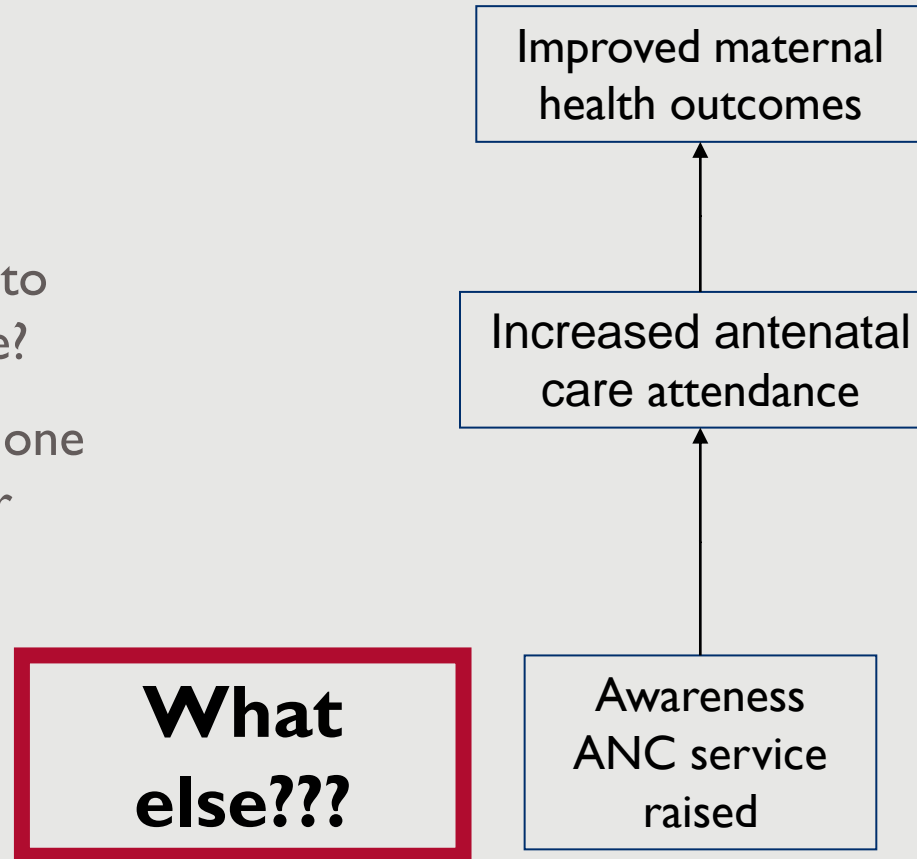
Common Causal Logic Pitfalls

- Large “causal gaps” from one level in the causal hierarchy to the next
- Results are not necessary AND sufficient for change to occur
- Multi-level results
- Multi-dimensional results
- Categorical or definitional linkages between results at different levels
- Chronological linkages

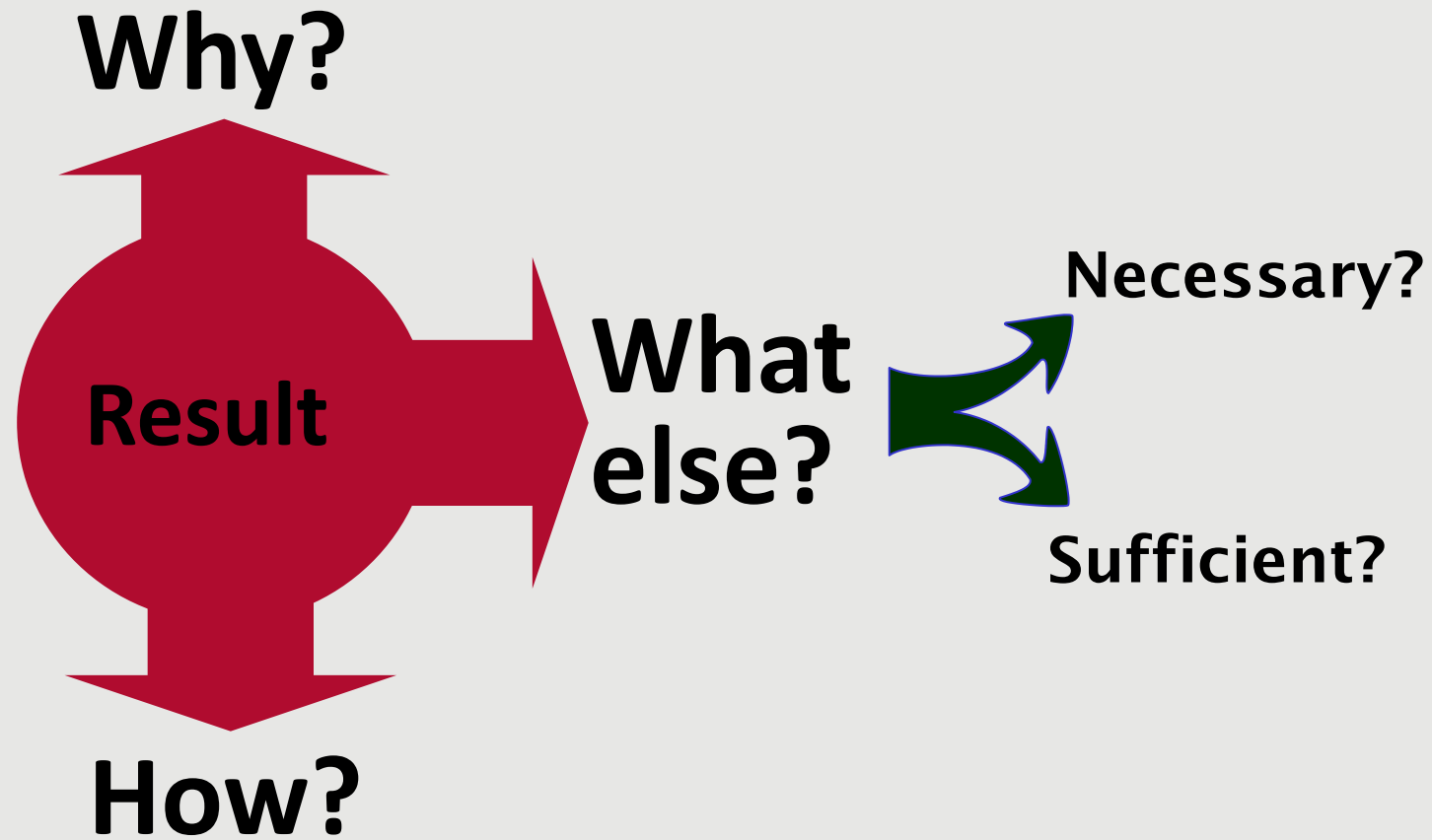


Large Causal Gaps

- Common example-behavior change:
 - Does raised awareness lead to behavior change?
 - Does training alone lead to behavior change?



Necessary and Sufficient



Well designed results statements are...

Uni-level:

There are no “if-then” statements embedded in a single objective

- NOT THIS: Improved student performance through more effective classroom instruction
- BUT THIS: Two separate objectives:
 - (1) Improved student performance
 - (2) More effective classroom instruction

AVOID: “through...,” “in order to...,” “as a result of...,” “so as to...,” and other such words and phrases in objective statements.

Well designed results statements are...

Uni-dimensional:

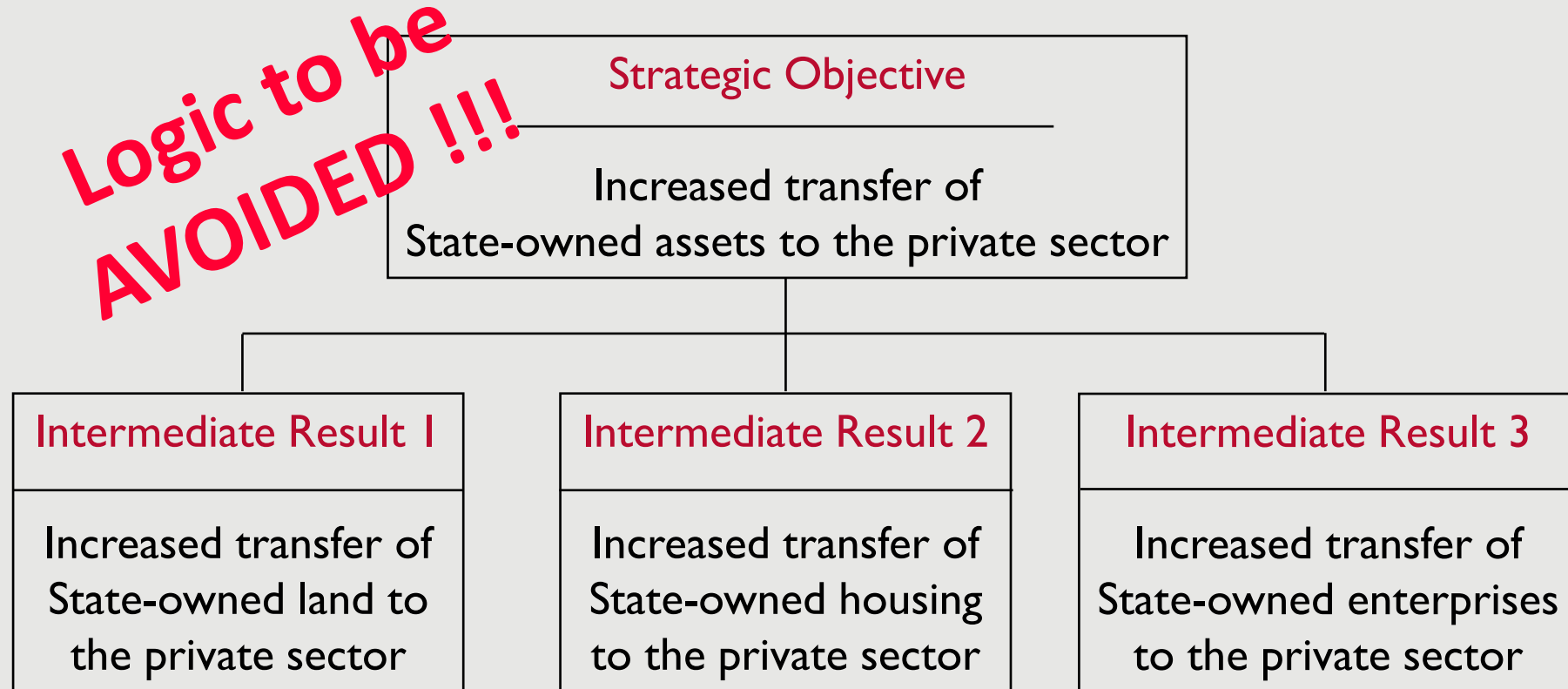
They have one element per result statement, unless the elements are closely related and both are supported by what comes below in the RF

- NOT THIS: New workplace safety policies adopted and capacity of government strengthened
- BUT THIS: Two separate objectives: (1) New workplace safety policies adopted and (2) Capacity of government strengthened

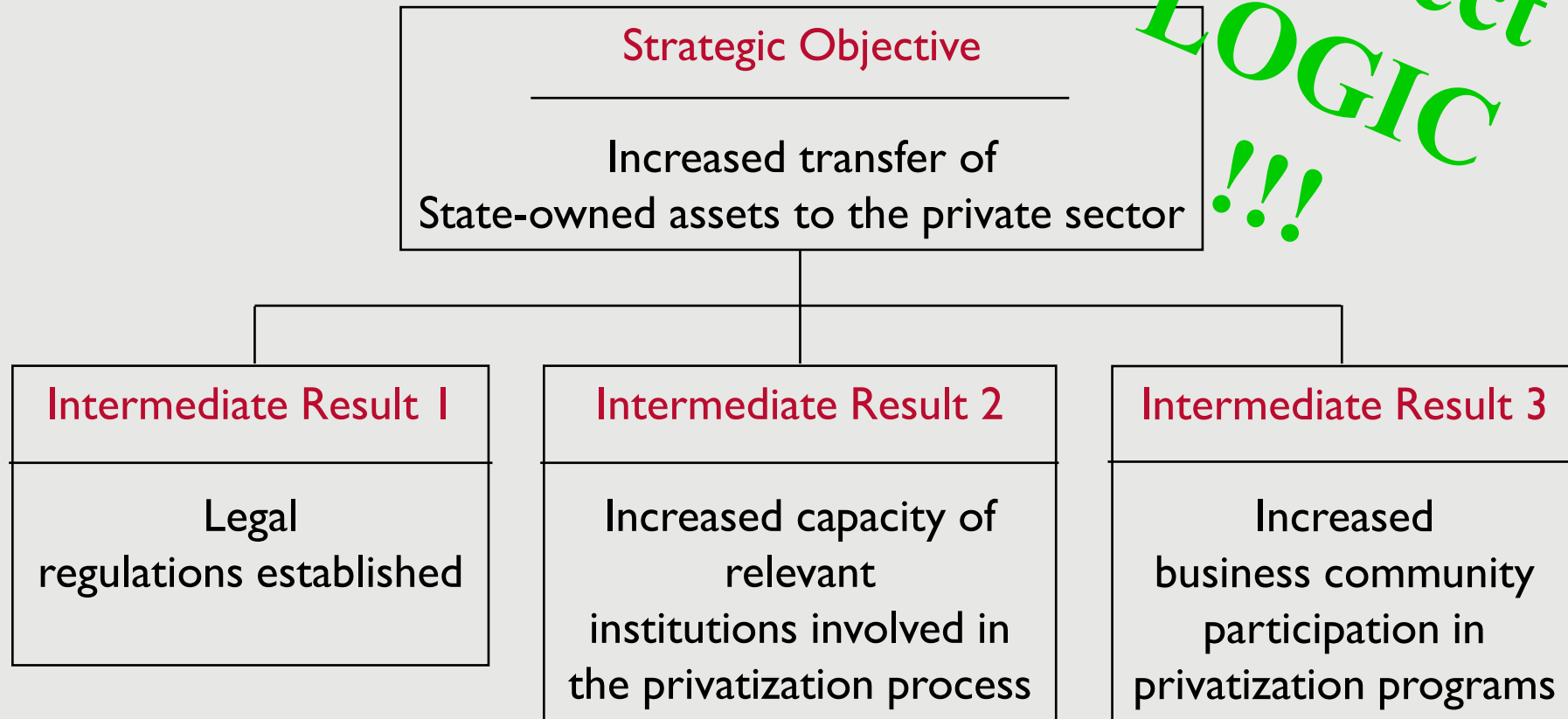
MIGHT BE ACCEPTABLE: Increased quality and coverage of social protection services

MIGHT BE ACCEPTABLE: Improved medical and administrative skills among health clinic workers

Categorical or Definitional Linkages

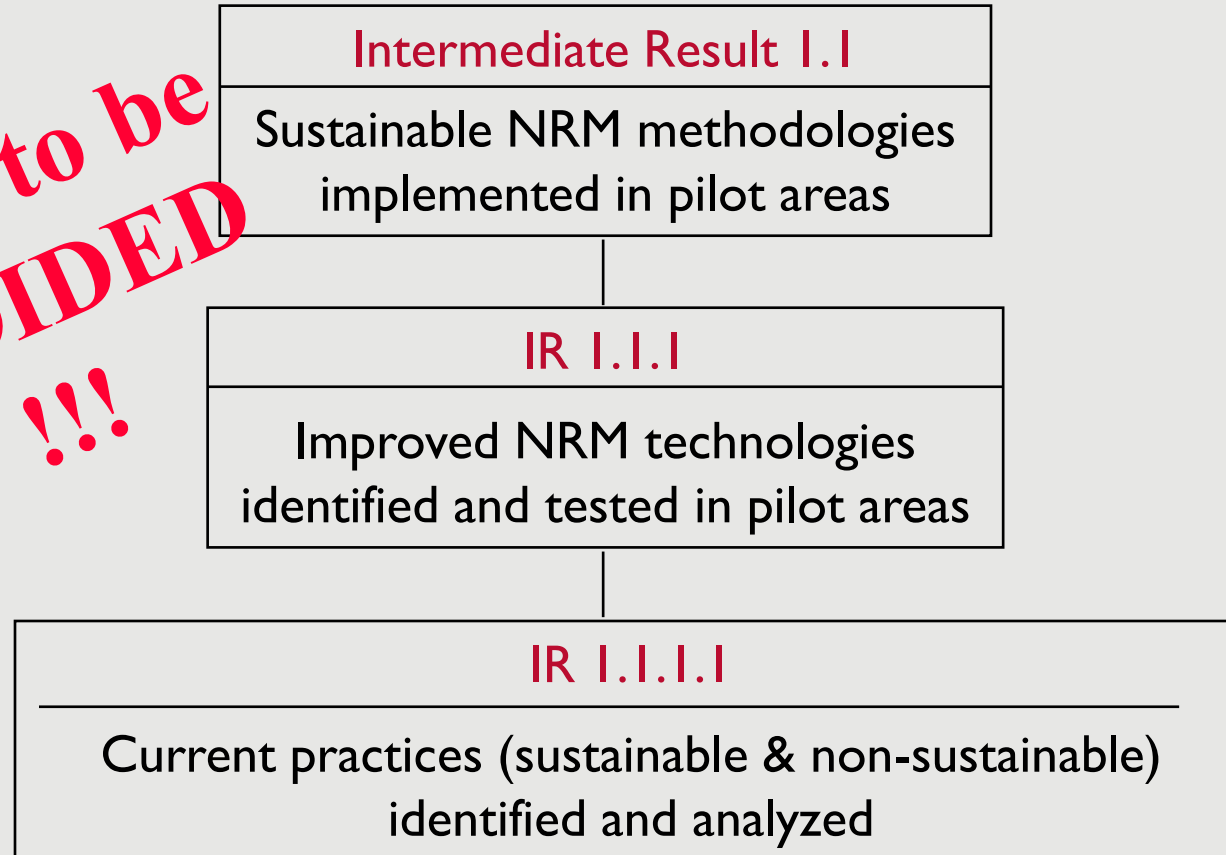


Causal Logical Linkages

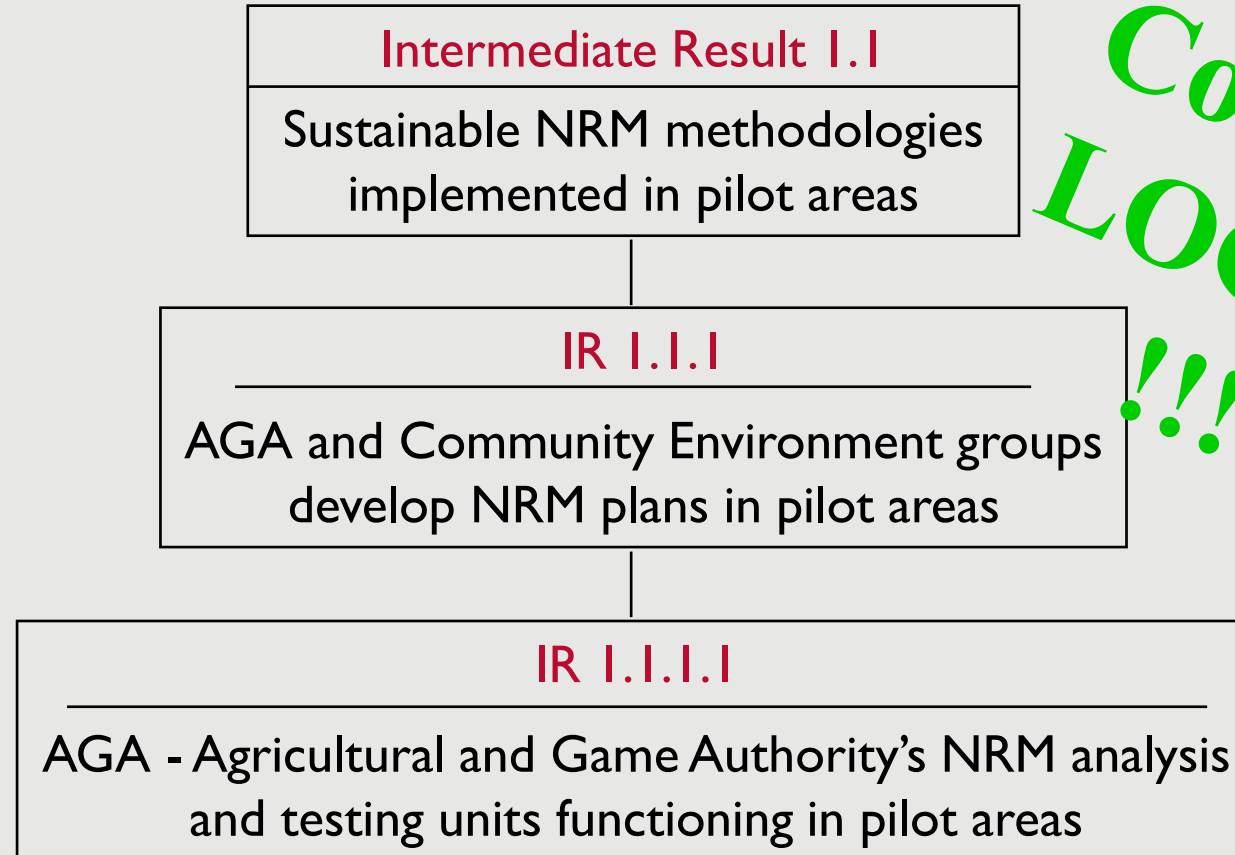


Chronological Linkages

**Logic to be
AVOIDED
!!!**



Causal Logical Linkages



**Correct
LOGIC
!!!**

Group Activity

- Under each domain of change, map out your pathways of change at least 2-3 layers beneath your domains of change.
- Time: 45 minutes
- Plenary:
 - Describe your causal logic diagram to the group

Theory of Change Process



Step 5: Assumptions

What are
assumptions?

Why do
assumptions
matter?



Why Assumptions Matter

- Opens up thinking about change to generate strategic options
- Quality of the TOC process rests on “making assumptions explicit” (Vogel, 2012)
- Can improve project design
- Basis for adaptive management and risk management
- Guides learning
- Manages expectations of results
- Supports evaluations
- Improves ability to communicate the story of the project
- Supports efforts for scalability and sustainability



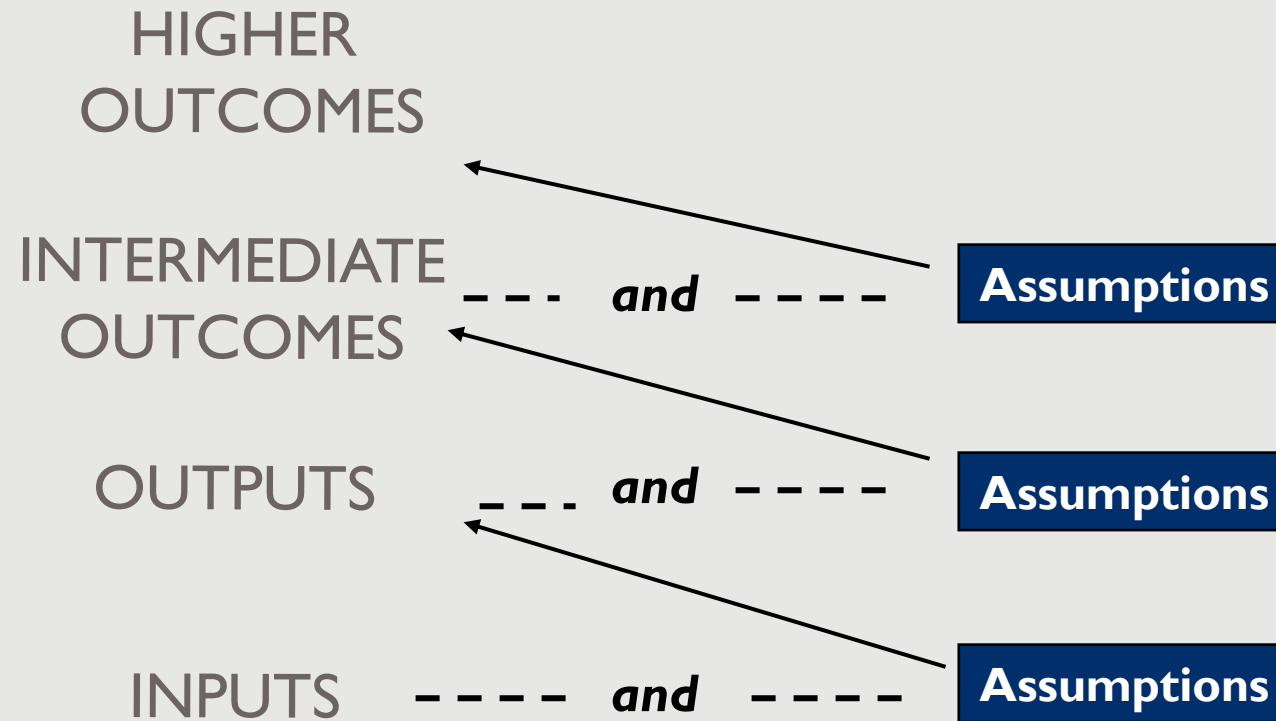
DOCUMENT YOUR ASSUMPTIONS AT EVERY STEP!

Assumptions

- “Things we believe to be true” (Vogel, 2012)
- Deeply held ‘theories’: personal and professional values, beliefs, norms, and ideological perspectives on why change happens
 - Informs perspectives
 - Influences choices (e.g. strategic and management decisions)
- Ideas about the context
- Ideas about the drivers of change
- Ideas about cause-effect relationships between interventions, outcomes and context

“[Assumptions are] the crux of a theory of change process.” (Vogel, 2012)

How to Develop Assumptions



- Results combine with assumptions to lead to higher level results

How to Develop Assumptions

If we take X action, then Y
change will occur
BECAUSE...

What could go wrong that would
mean that even if outputs are achieved,
outcomes will not be realized?

What is valued
by our intended
beneficiaries?

What things are we depending on happening in order for our logic to succeed?

- What do we need the government to do?
- What do we need partners/other organizations to do?

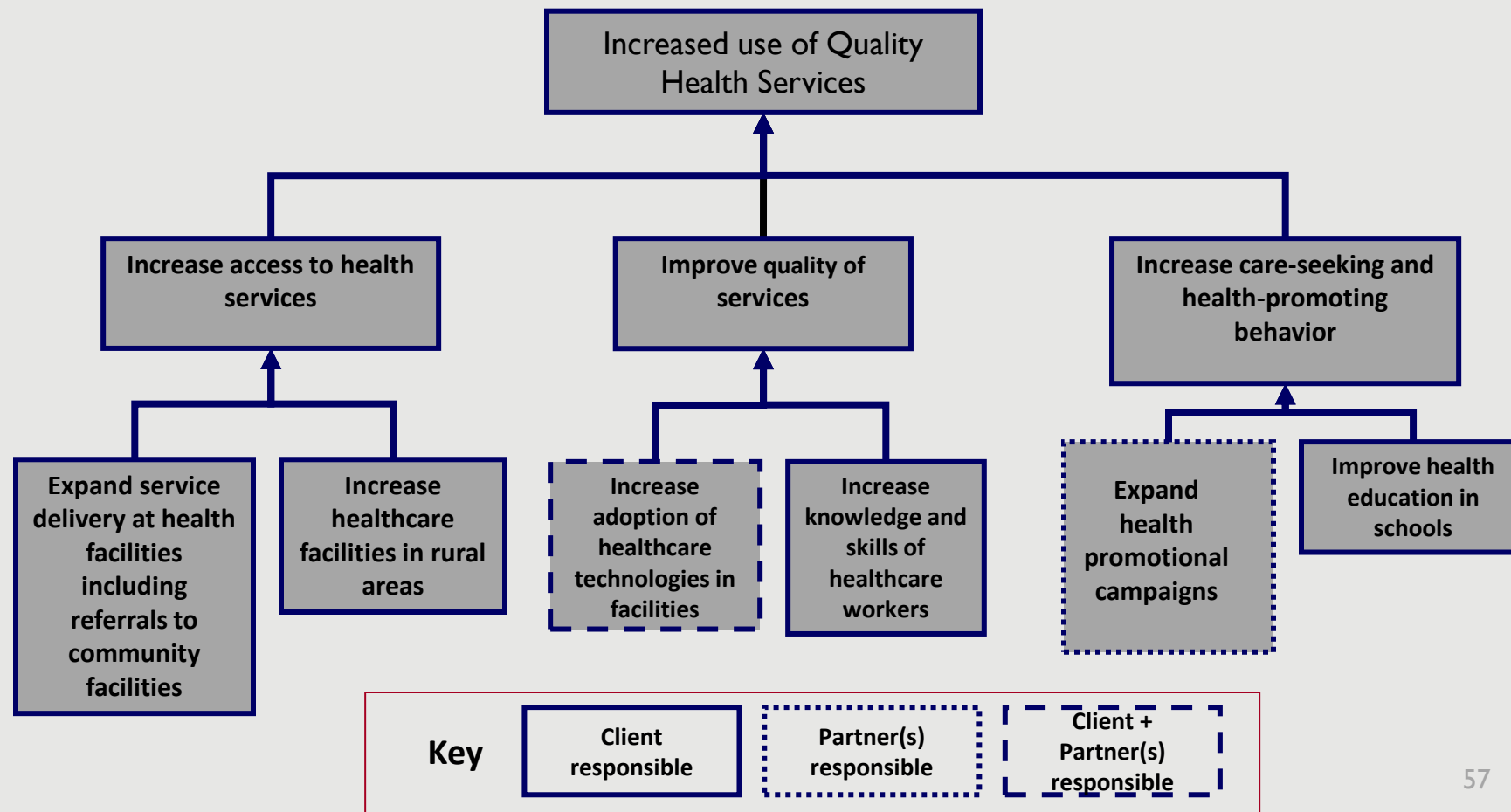
What “shocks” in the
environment might derail our
progress?

Who, outside of the project, are we relying on to do
certain things in order for our effort to succeed?

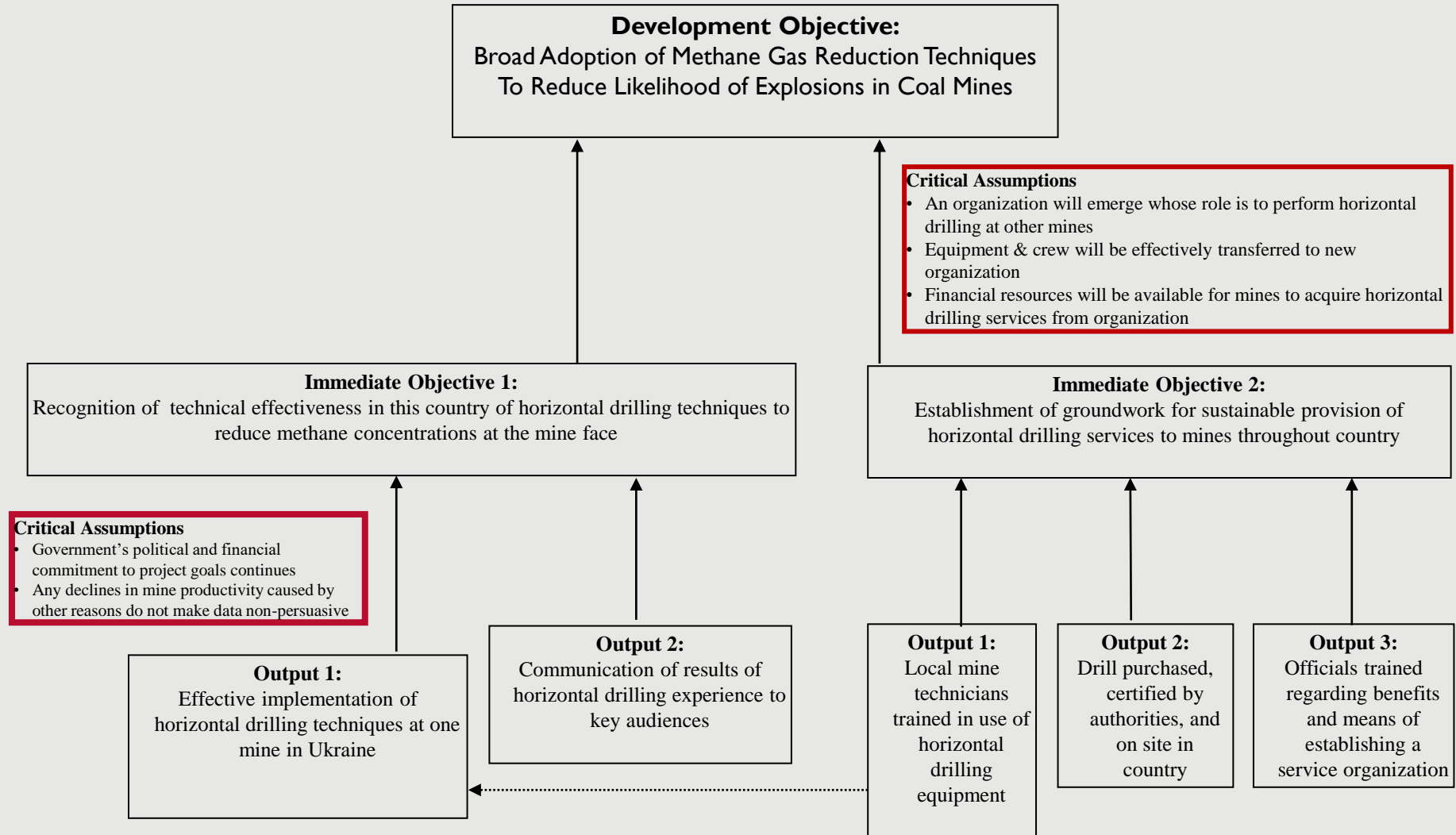
Example: Assumptions

Critical (Contextual) Assumptions

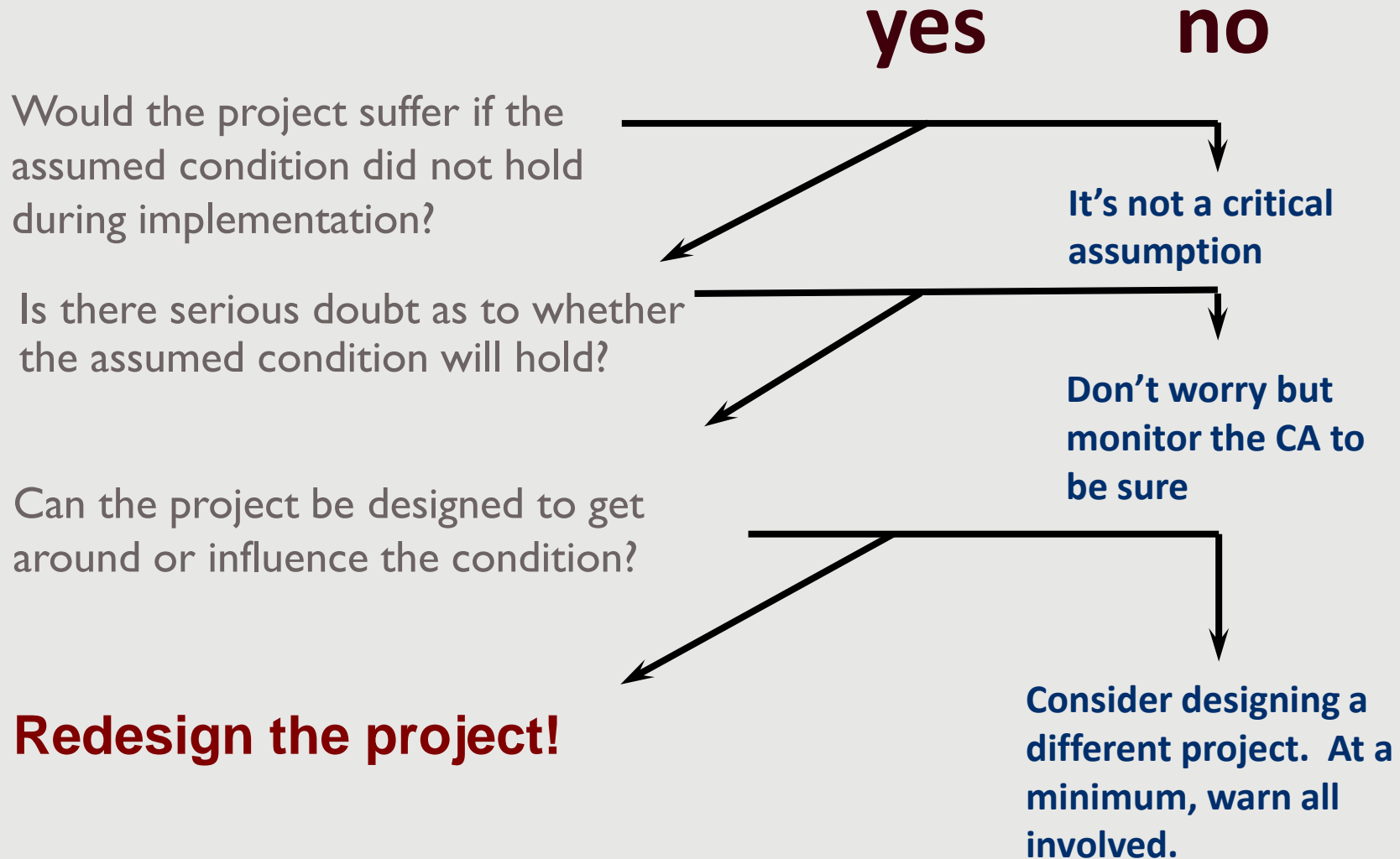
1. Development partners and the government budget allocations are sufficient and appropriate.
2. Government honors its commitment to provide infrastructure improvements to health facilities.
3. Adequate availability of health workers.
4. Private sector continues to be involved in social service delivery.



Example: Assumptions



Analyzing Assumptions



Group exercise

- Discuss assumptions at each level of the causal outcomes diagram
- Write assumptions on sticky notes and place appropriately within your causal outcomes diagram
 - Label assumptions according to its likelihood and impact on the project
- Time: 15 minutes

Theory of Change Process



Step 6: Identify and Define Major Interventions

- Without interventions, there is no project
 - Interventions are the entry level or first (bottom) step in the pathway of change
 - In logic models, interventions are often referred to as activities or inputs
- Not every outcome in the theory of change requires an intervention.
 - Some outcomes are “actionable” – others are simply the result of the chain of outcomes that comes before them
- Once interventions are selected, **RE-CHECK TOC CAUSAL LOGIC** and add additional **CRITICAL ASSUMPTIONS** related to interventions

Interventions in TOCs - Example

Goal:

Increased use and
continuation of FP/RH
services

Result:

Demand for Family
Planning & Reproductive
Health Services Increased

Sub-result:

Increased strategic
communication through
multi-channel FP social
marketing campaigns at
national level

Increased knowledge and
positive perception of
modern FP methods &
fertility

Intervention:

Conduct national level FP
awareness campaigns

Provide Grants & training
to local CSOs to conduct
SBCC activities

Interventions do not need to be
displayed in the final logic model,
but *should* be highlighted in the
TOC narrative

Prioritizing Interventions – Ask Critical Questions

- Potential Impact
 - Evidence-base
- Context
- Feasibility
 - Opportunities
 - Risk
- Cost-effectiveness
- Sustainability



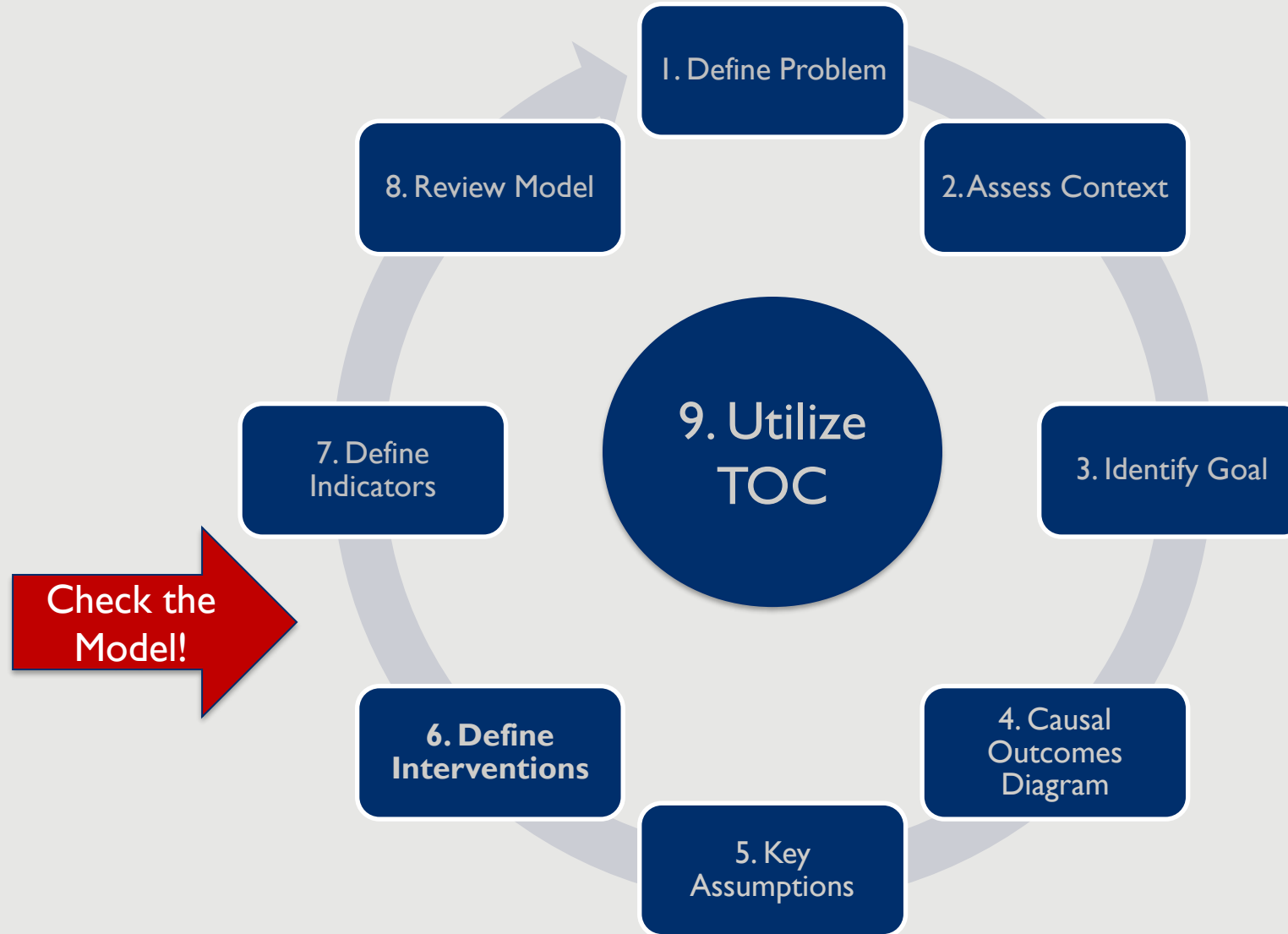
TOC Review TIP:

- Utilize these and other criteria and critical questions to help facilitate deeper discussions among your team

Group Work

- Identify at least 3 key interventions to support your project/Activity results
- Integrate into your existing causal outcomes diagram
- Discuss and add assumptions between the intervention and output level of your causal outcomes diagram
- Time: 15 minutes

Theory of Change Process



Theory of Change Process



Step 7: Identify and Define Key Indicators

In your experience, when have indicators been most useful?

When have they been least useful?



What is an Indicator?

- An **observable or measurable** characteristic that shows, or “indicates,” the **extent to which an intended result is being achieved**.
- Tell us how success will be recognized or measured at each step in the theory of change
- Provide a method of assessing assumptions, outputs, outcomes, and sustainability
- Shows extent to which expected changes laid out in the theory of change/program design have occurred in reality
- Signal changes in assumptions underpinning your theory of change

USAID Definition

Performance Indicators measure a particular characteristic or dimension of strategy, program, project, or activity level results based on a Mission’s CDCS Results Framework or a project’s logical Framework (LogFrame)

An Indicator is Not

Indicators are **not results, goals, objectives, or targets**. Indicators measure results and help us understand our performance against targets.

Indicators are **not biased** i.e. they do not specify a particular level of achievement or direction of change.

Result statements show the desired direction of change (increase or decrease).

Targets identify the desired value of the indicator that we want to achieve.

Result: Grade-two students reading skills improved

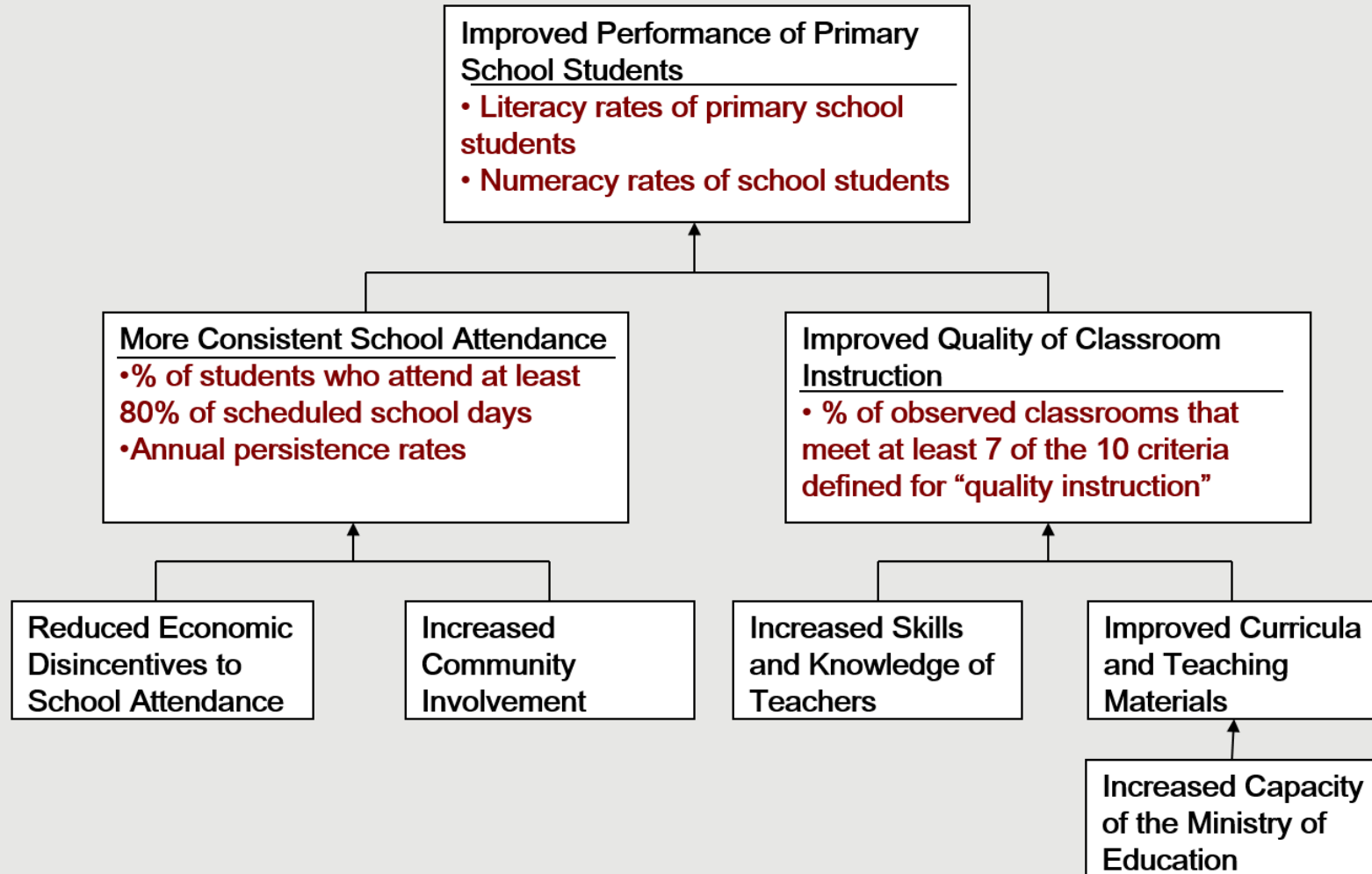
Indicator: Percent of grade two students who demonstrate that their reading skills improved

Target:
55%

Indicator Levels

Element	Definition	Examples
Inputs	The primary resources required to carry out the project.	<u>What the project needs and uses:</u> <ul style="list-style-type: none"> •Funds; Human resources; Facilities & equipment; Partners and community groups •Indicator: Number of curriculum textbooks printed
Activities	Sets of actions which use inputs to produce specific outputs.	<u>Things a project does:</u> <ul style="list-style-type: none"> •Provide training; develop websites; Offer access to Micro-finance; Provide TA •Indicator: Number of teacher trainings conducted
Outputs	The immediate products of project activities (direct, tangible)	<u>What immediately results from activities:</u> <ul style="list-style-type: none"> •People trained / mentored; website operational; Micro-finance manuals produced & distributed. •Indicator: Number of teachers trained
Outcomes (Results)	The things that happen because of what a project or program does.	<u>What occurs because of the project:</u> <ul style="list-style-type: none"> •Employment of youth in target areas / sectors increased •Increased use of new practices among target groups •Indicator: Number of teacher implementing new practices in the classroom
Impact	Longer-term changes in conditions or situations linked to project interventions	<u>What the project contributes to or may cause:</u> <ul style="list-style-type: none"> •Economic Growth •Reduced prevalence of HIV •Indicator: Percentage change in GDP •Number of people newly infected with HIV per 1000 uninfected population

Indicators Link to Results



Criteria for Selecting Indicators

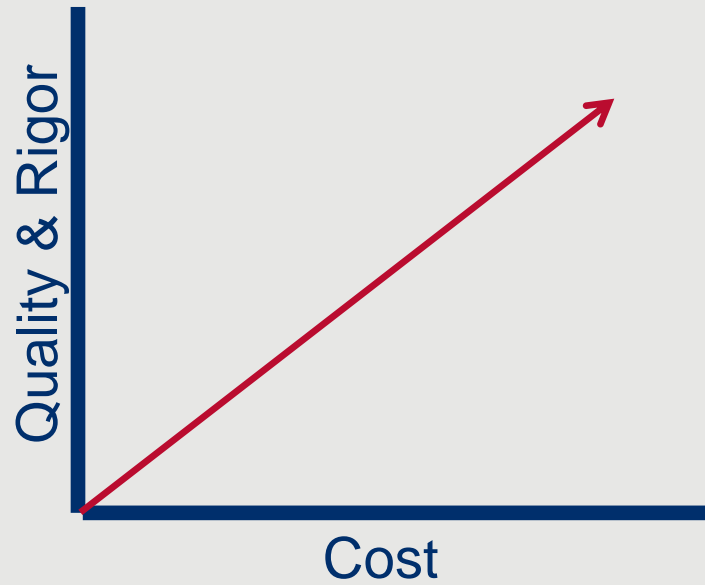
- Utility
- Cost
- Adequacy
- Feasibility
- Meets quality standards
(validity, integrity, precision,
reliability)
- Required by the Mission



USAID ADS: “When selecting indicators....ensure the selected indicators will lead to performance monitoring data that meet the quality standards of validity, integrity, precision, and reliability ...” (ADS 203.3.6)

A Balancing Act

The Principle of Practicality – Key Trade-Offs



Common TOC Pitfalls - Indicators

- Indicators are selected and defined prior to or independent of the TOC/TOC process
- Indicators do not measure the result as worded
- An indicator only partially measure a result statement
- Relationship between indicators not thoroughly thought through
 - What degree of change needs to occur to reach the next level of change?

Group Work - Indicators

- Propose at least 1 indicator (quantitative or qualitative) for each result
- Time: 15 minutes

Theory of Change Process

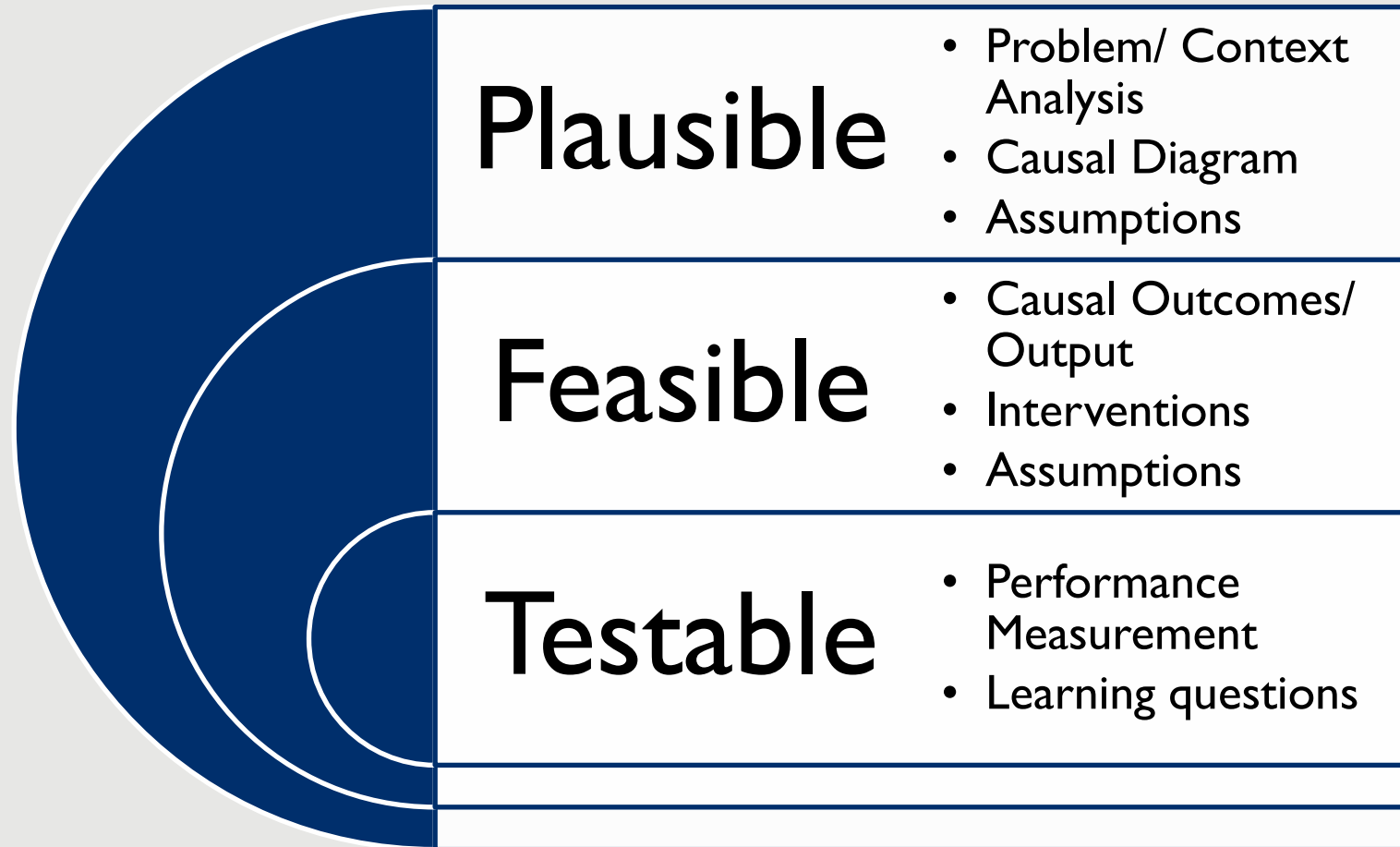


Step 7: Review the Strength of the Model

- Key questions
 - Is it adequate?
 - Does it include all the required elements?
 - Does the TOC narrative and graphic thoroughly explain **HOW** and **WHY** change will happen?
 - Is it **plausible**?
 - Is it **feasible**?
 - Is it **testable**?
 - Is it clear?
 - Is the narrative and graphic easy to understand and clearly communicate the intended message?

Would the TOC stand
up to external scrutiny?

Step 7: Review the Strength of the Model



Theory of Change Process

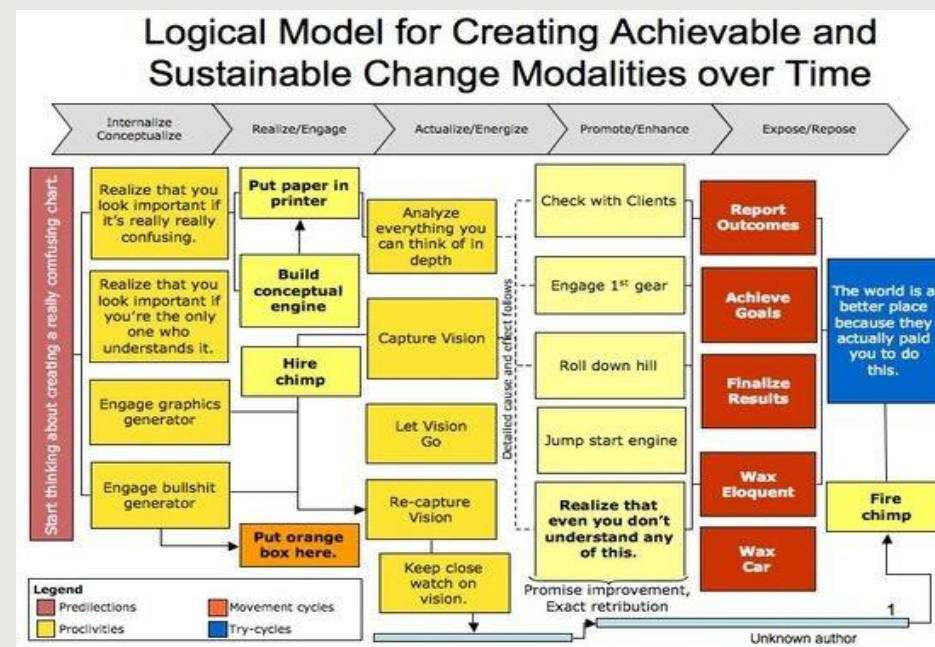
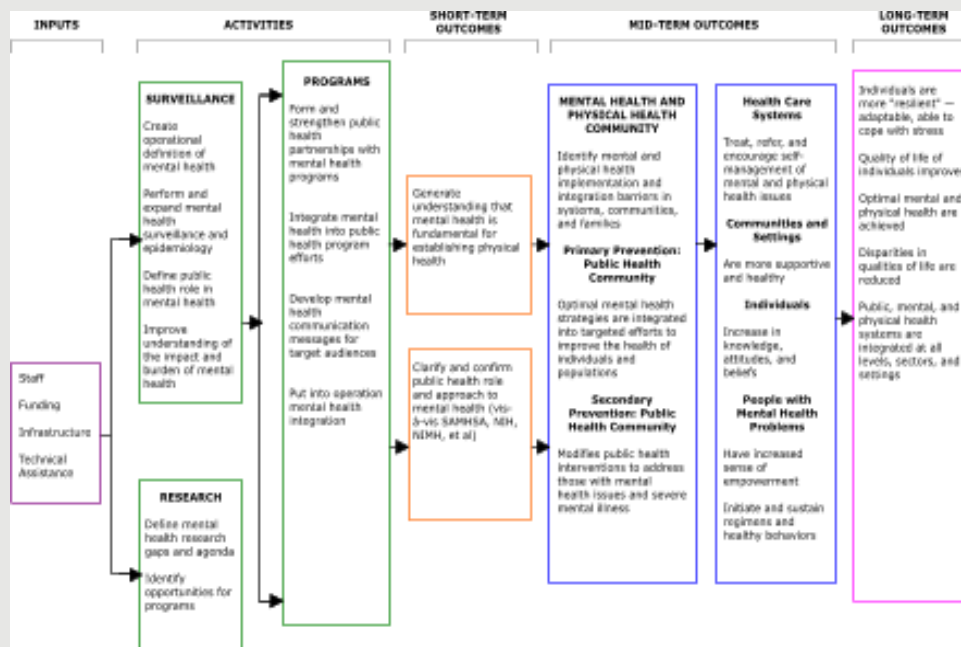
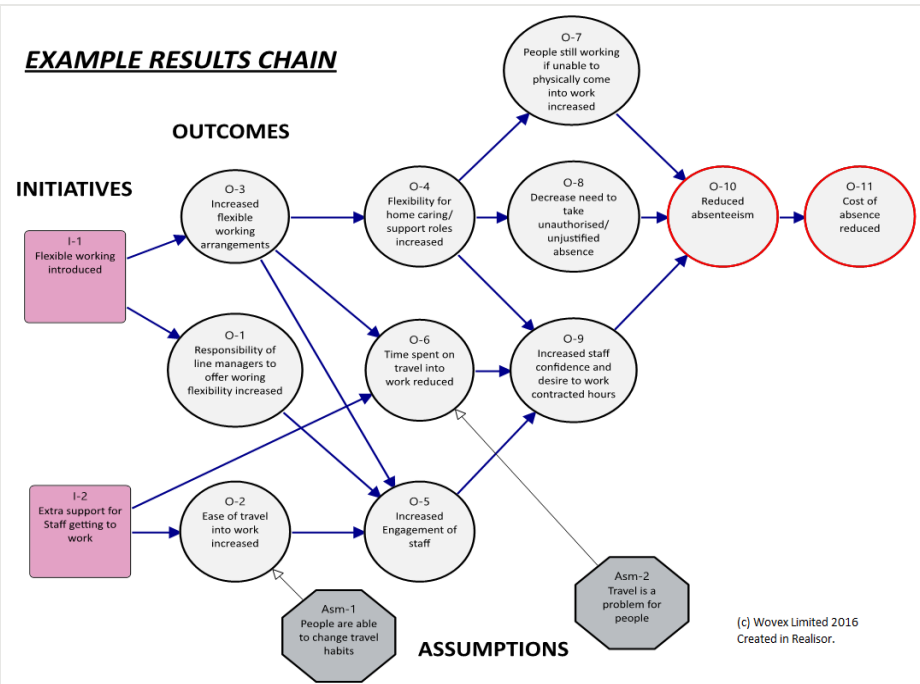
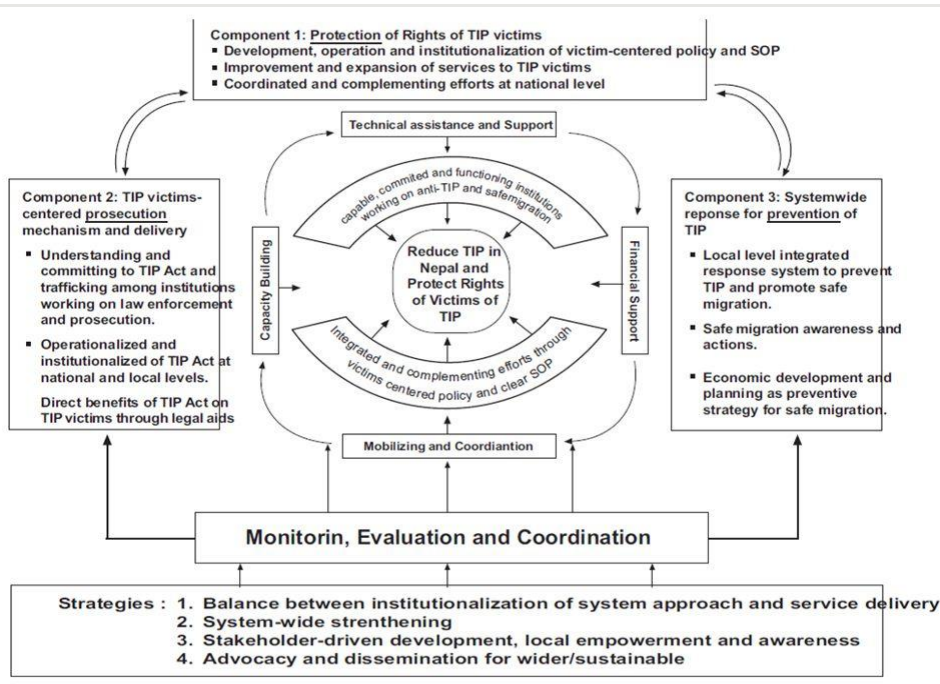


Finalizing the TOC Products

- ✓ Inclusive participatory process facilitated
- ✓ Causal outcomes diagram includes a goal, results statements, pathways of change, interventions, indicators, and assumptions
- ✓ Stakeholders agree: TOC model is plausible, feasible, testable
- TOC product effectively communicates the underlying logic of the project or Activity
- Logic Model
- TOC narrative

TOC Product Suggestions

- Utilize multiple pages to display different domains of change and related causal pathways
 - E.g. 1 page overview, 1 page per project component
- Keep the visualization simple but valid
 - Provide detail in the narrative
- Dotted lines to indicate indirect relationships or relationships across results



Transferring TOCs to Logic Models

- Logic models are snapshots of TOCs
 - Conveys major results (IRs, Sub-IRs, Results, Sub-results)
 - Causal linkages between major results
 - Indicators to measure major results
 - Critical Assumptions (contextual assumptions, outside of the control of the program)
- Complete this step after the TOC process



LOGIC MODELS – A SNAPSHOT OF THE TOC - ARE REQUIRED

Changes over Time

- TOCs are models to be tested
 - Reality is always slightly different and more complicated or complex than envisioned
 - Be prepared for change
 - Be explicit about your assumptions
 - Highlight your learning questions
- TOCs are NEVER final products



Theory of Change Process



Thank You!