

OPERATIONALIZING A THEORY OF CHANGE

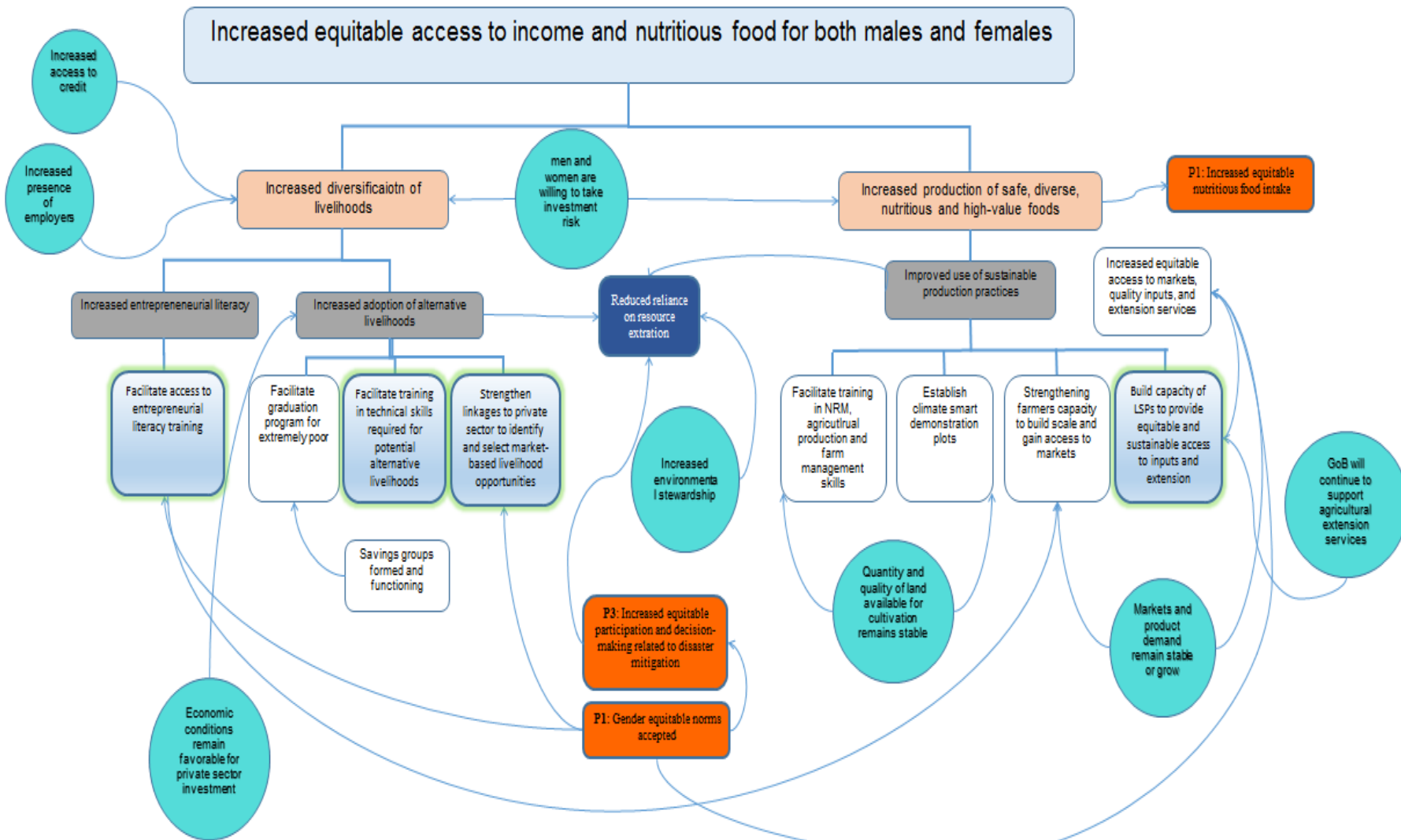
TOP Knowledge Sharing
Meeting

Washington, D.C. January 28,
2016

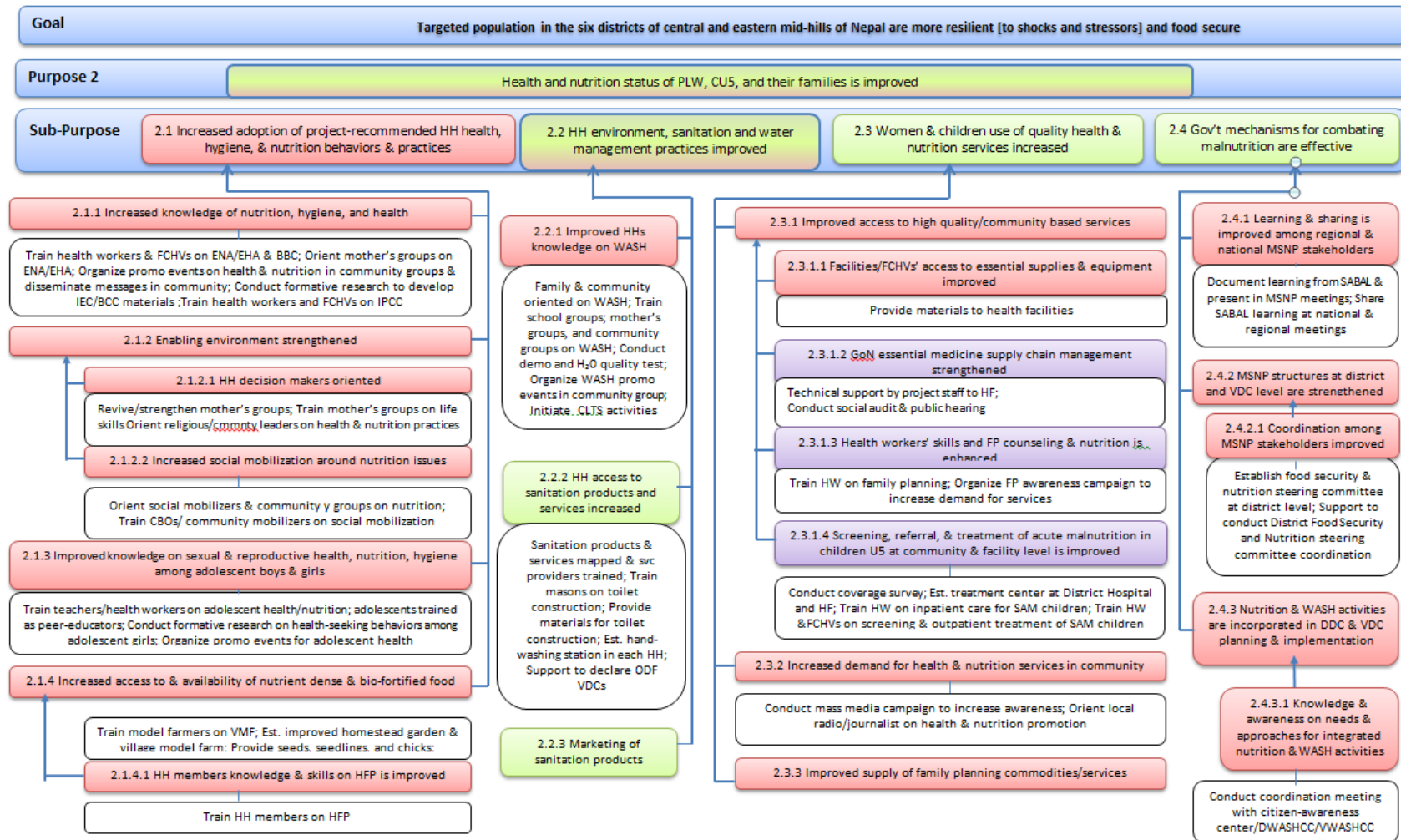
Laurie Starr
TANGO International



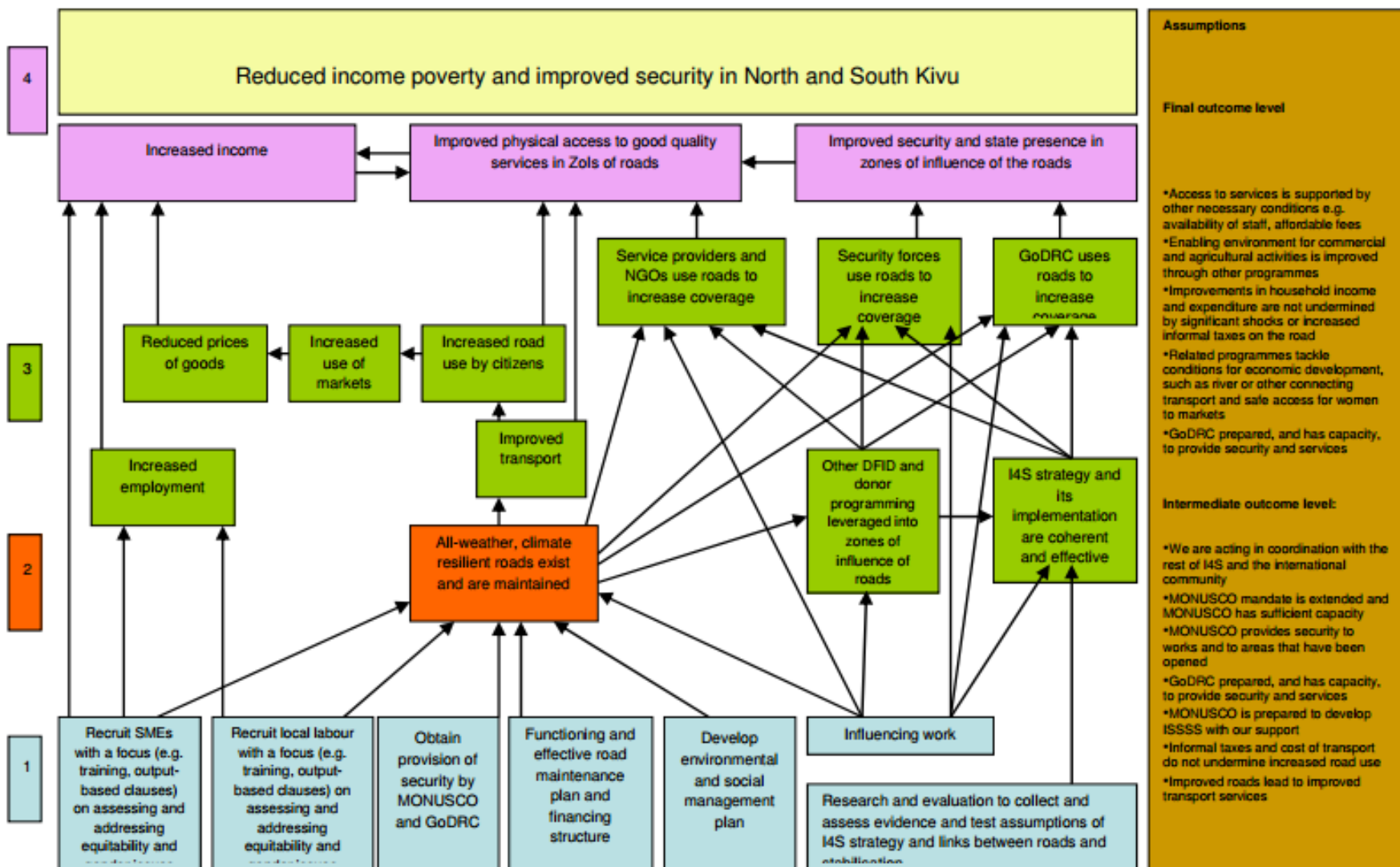
Sample ToC: WV –Nobo Jatra Bangladesh (detail of one purpose)



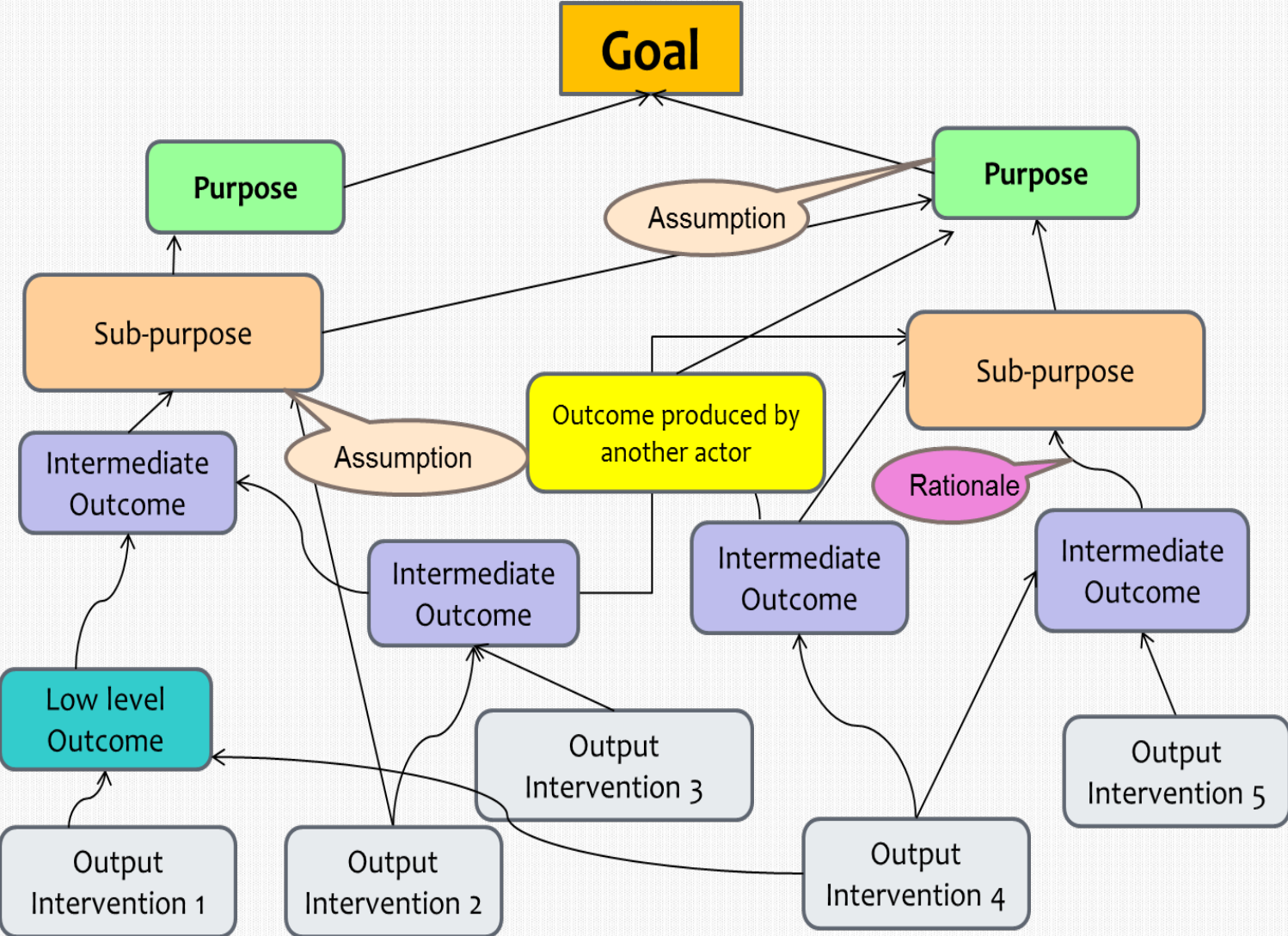
Sample ToC: SAVE – Sabal program in Nepal (draft version providing detail of one purpose)



Sample Theory of Change: DFID Roads in DRC

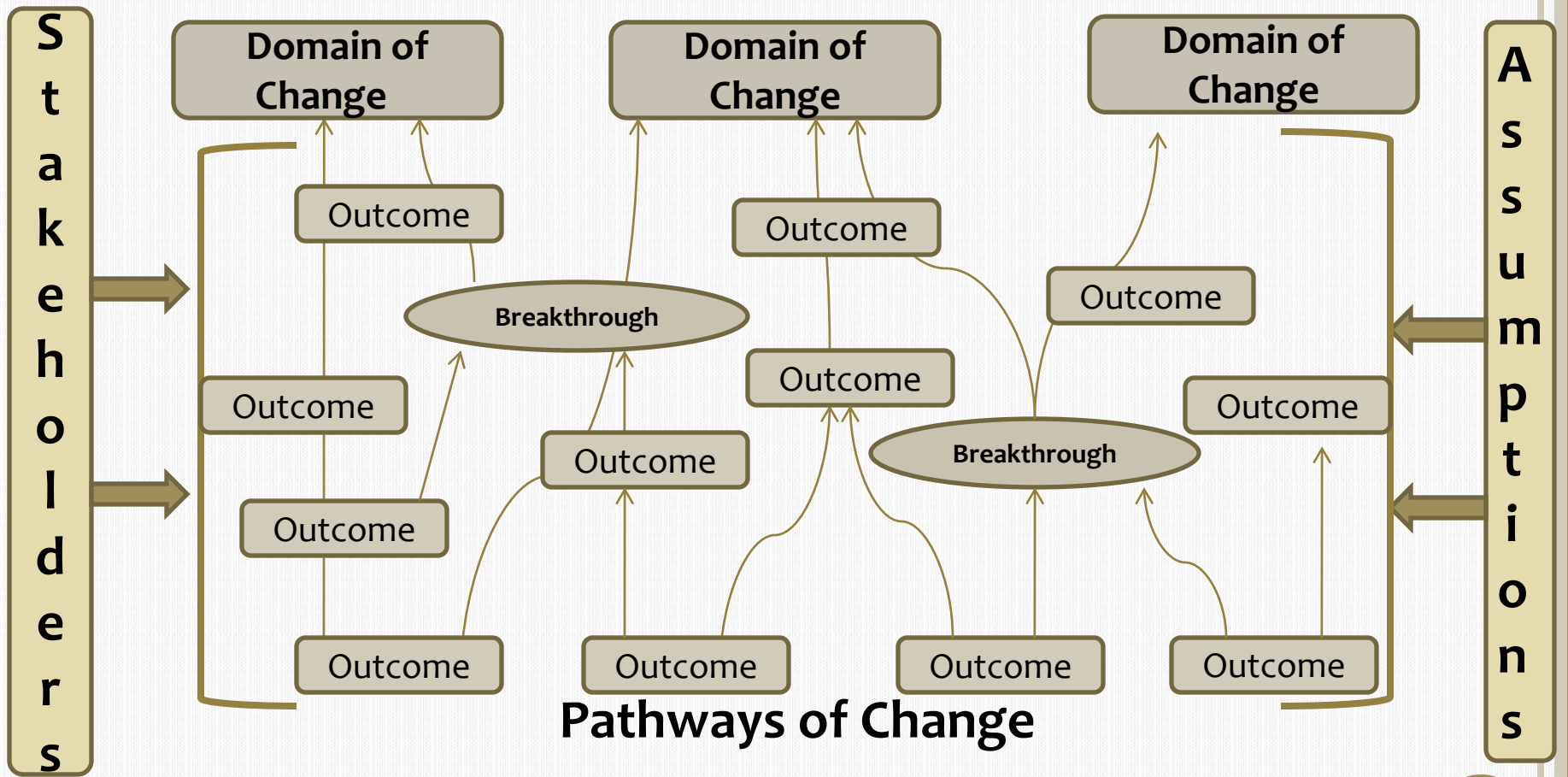


FFP Sample Theory of Change Conceptual Model



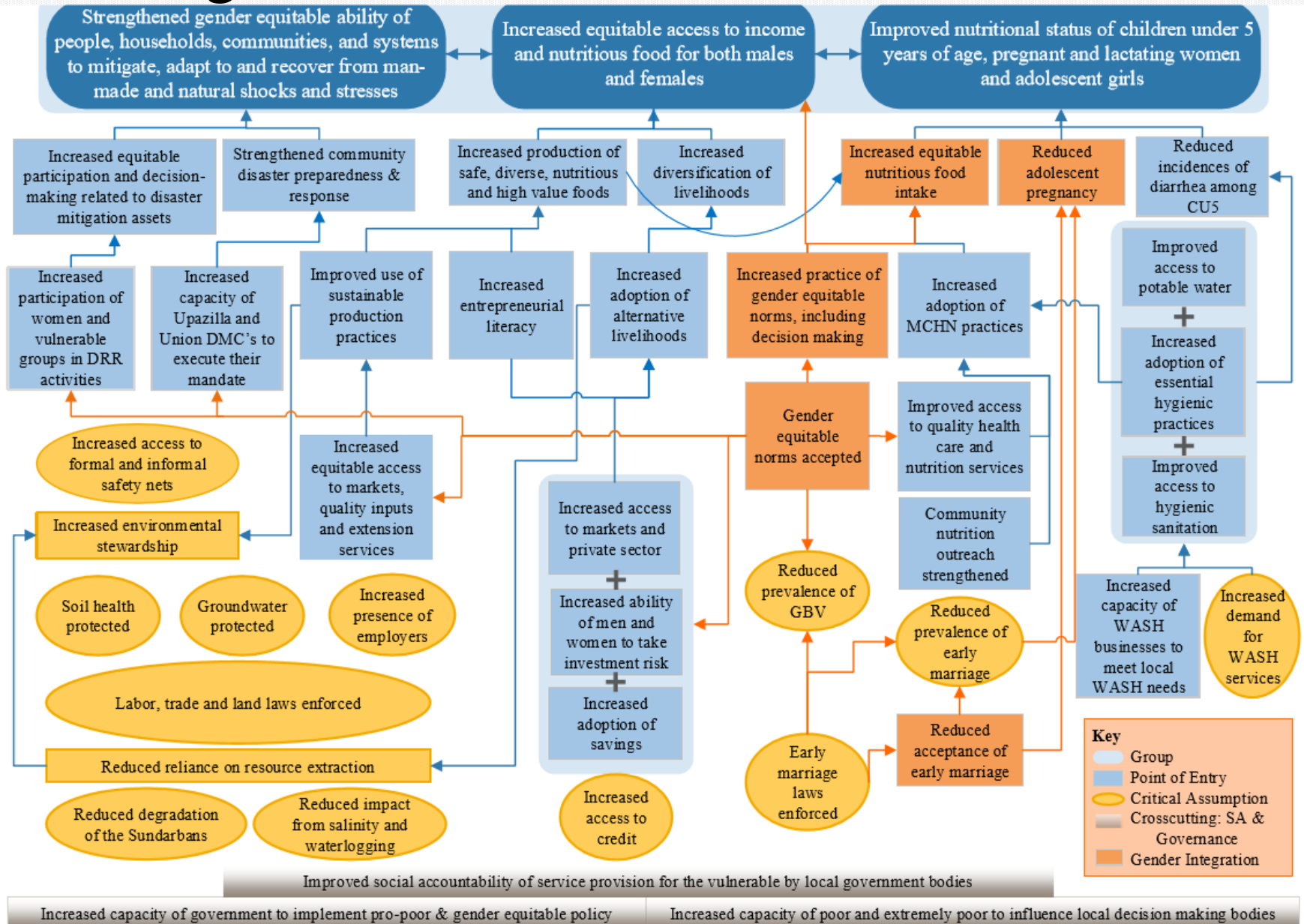
Theory of Change Conceptual Model

Desired Long-Term Goal



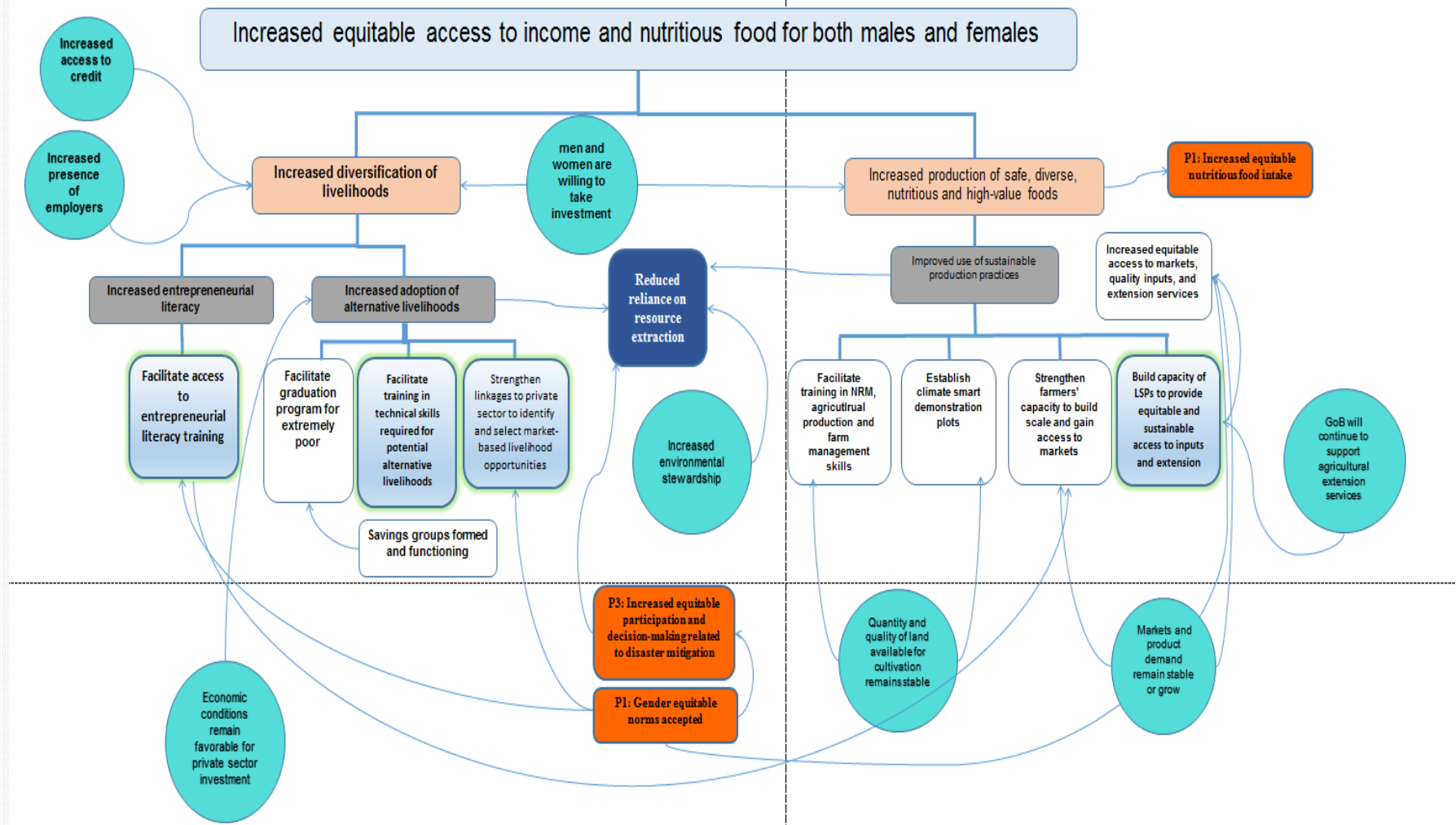
Problem statement

WV-Bangladesh – full ToC

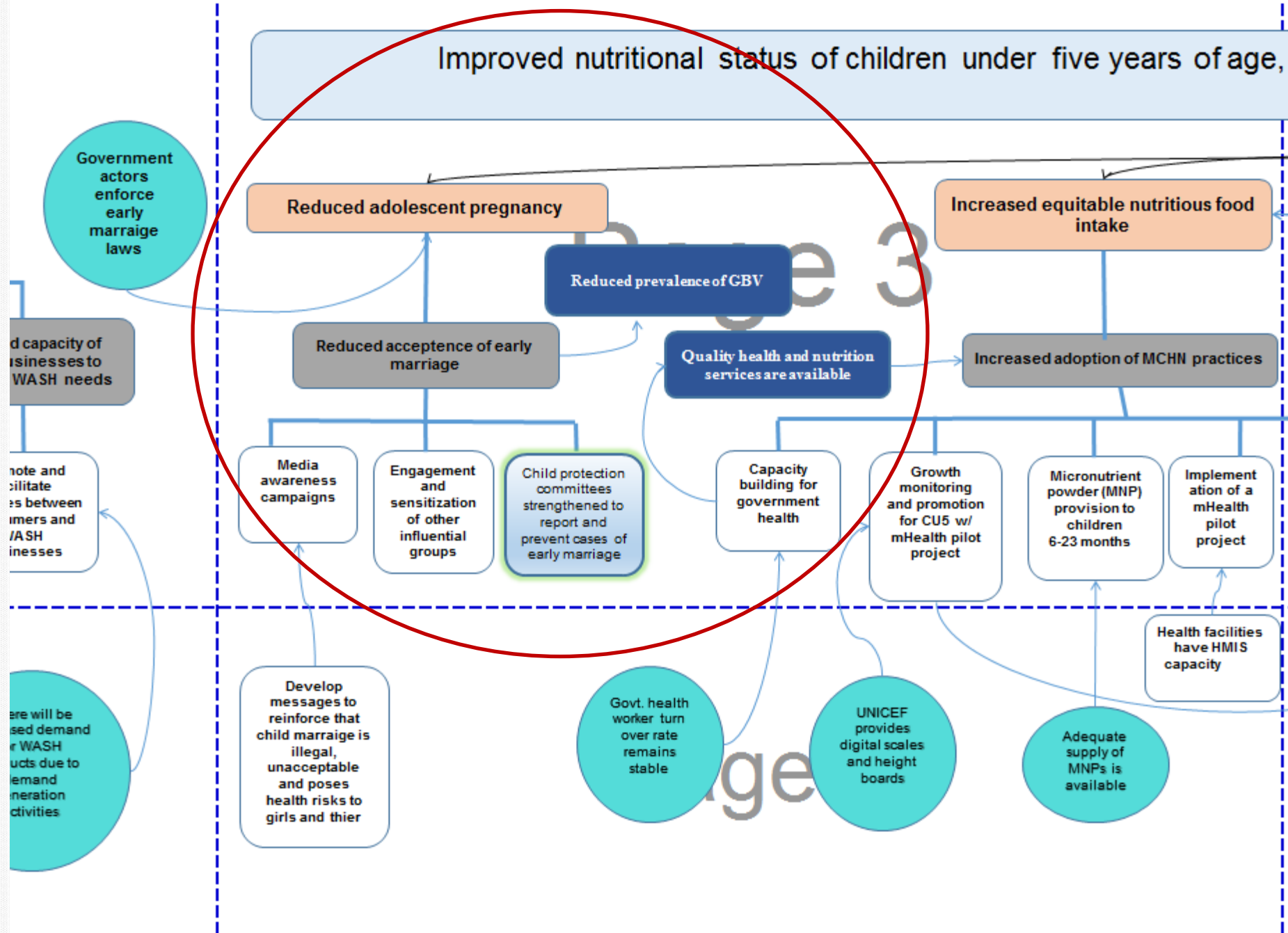


WV BANGLADESH- DETAIL OF PURPOSE 1

PURPOSE 2



WV BANGLADESH- DETAIL OF PURPOSE 1



GENERAL PHASES OF PROGRAM CYCLE

- Assessment phase - what problems and capacities exist?
- Design phase – tailoring the program design to our assessment findings.
- Implementation phase
 - Learning & adapting our approach – as a result of good monitoring
- Evaluation phase: determine impact and progress

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ASSESSMENT PHASE



USING A ToC TO LEARN, REFLECT, & ADAPT IN THE ASSESSMENT PHASE

- **Assessment phase informs ToC**
- **Evolving ToC informs assessment phase!**
- **Synergetic process**
- **Your evolving evidence base !**

- **Comprehensive CONTEXTUAL data collection and analysis supports:**
 - Your claim a problem exists
 - Opportunities/ capacities that will support underlying assumptions
 - Causal links between outcomes
 - Underlying assumptions and risks

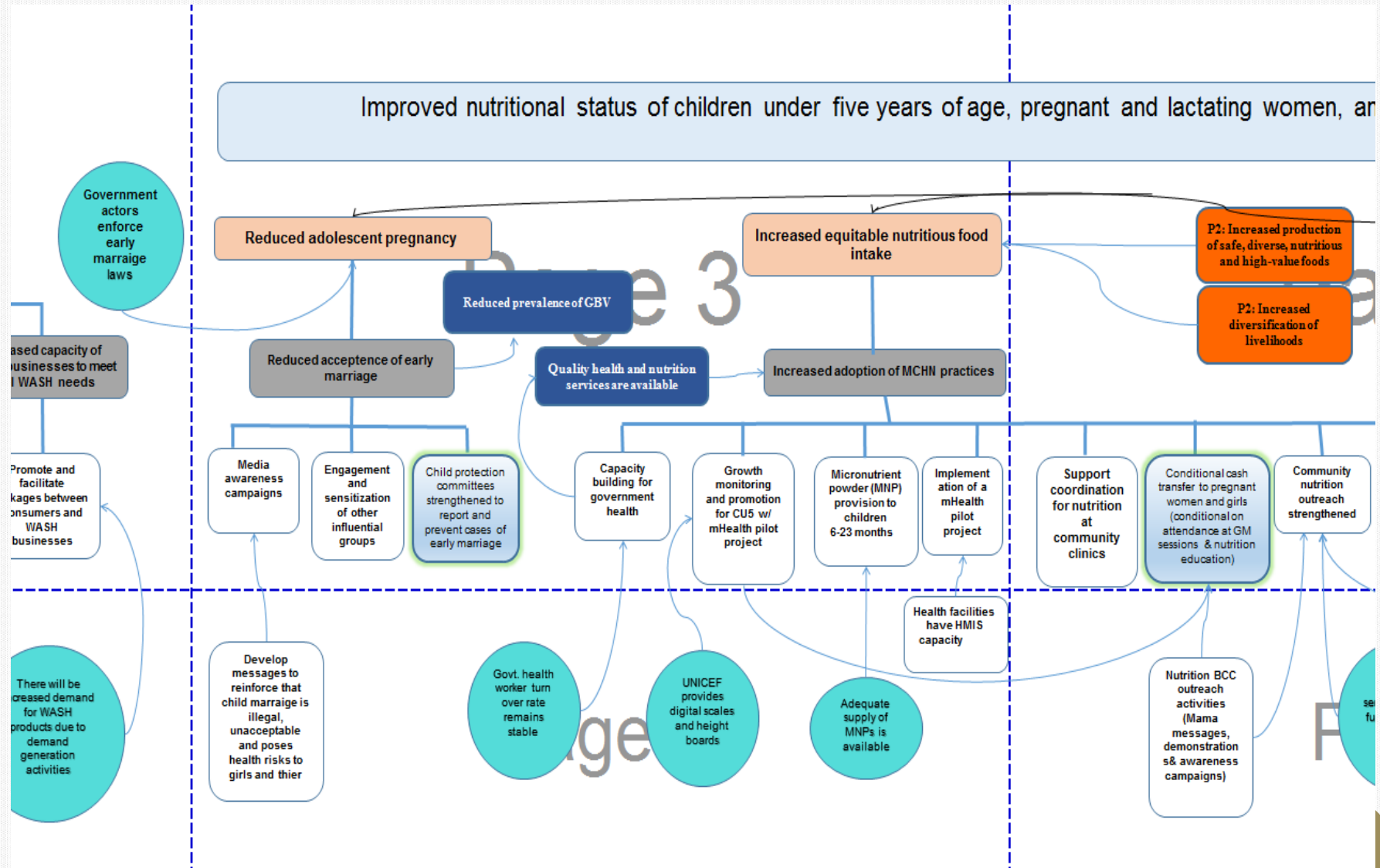
USING A TOC TO LEARN, REFLECT, & ADAPT IN THE ASSESSMENT PHASE

Critical need for stakeholder analysis

- Theories of change are not limited to the work of organization or actor.
- Identifies conditions and resources already in place (ASSUMPTIONS) necessary to achieve outcomes
- Helps team begin to prioritize problems for project focus
 - Who is doing what, where?
 - How successful is it?
 - What are the gaps?



WV BANGLADESH- DETAIL OF PURPOSE 1



SAMPLE: Stakeholder Analysis

Technical Area	Name of agency / Contact info	Type of agency	Scope of assistance (time)	Scope of assistance (geographic)	Scope of assistance (beneficiaries)	Successful activities	Activities that did not work & why	Relationship with other stakeholders
Component: Improving nutrition & preventing malnutrition among <2s (MCHN)								
WASH								
prevention & treatment of childhood illnesses								
access & quality of health services								
family planning services								
Nutrition services								
Food distribution to PLWs & children 6-23 months to prevent malnutrition								
Treatment of malnutrition								
Dietary Diversity or Diet Quality								
Food fortification								
Other Nutrition or Health Activity that might be relevant (indicate activity)								



USING A TOC TO LEARN, REFLECT, & ADAPT IN THE ASSESSMENT PHASE

Backwards mapping of causal streams

Causal analysis is the backbone of a TOC.

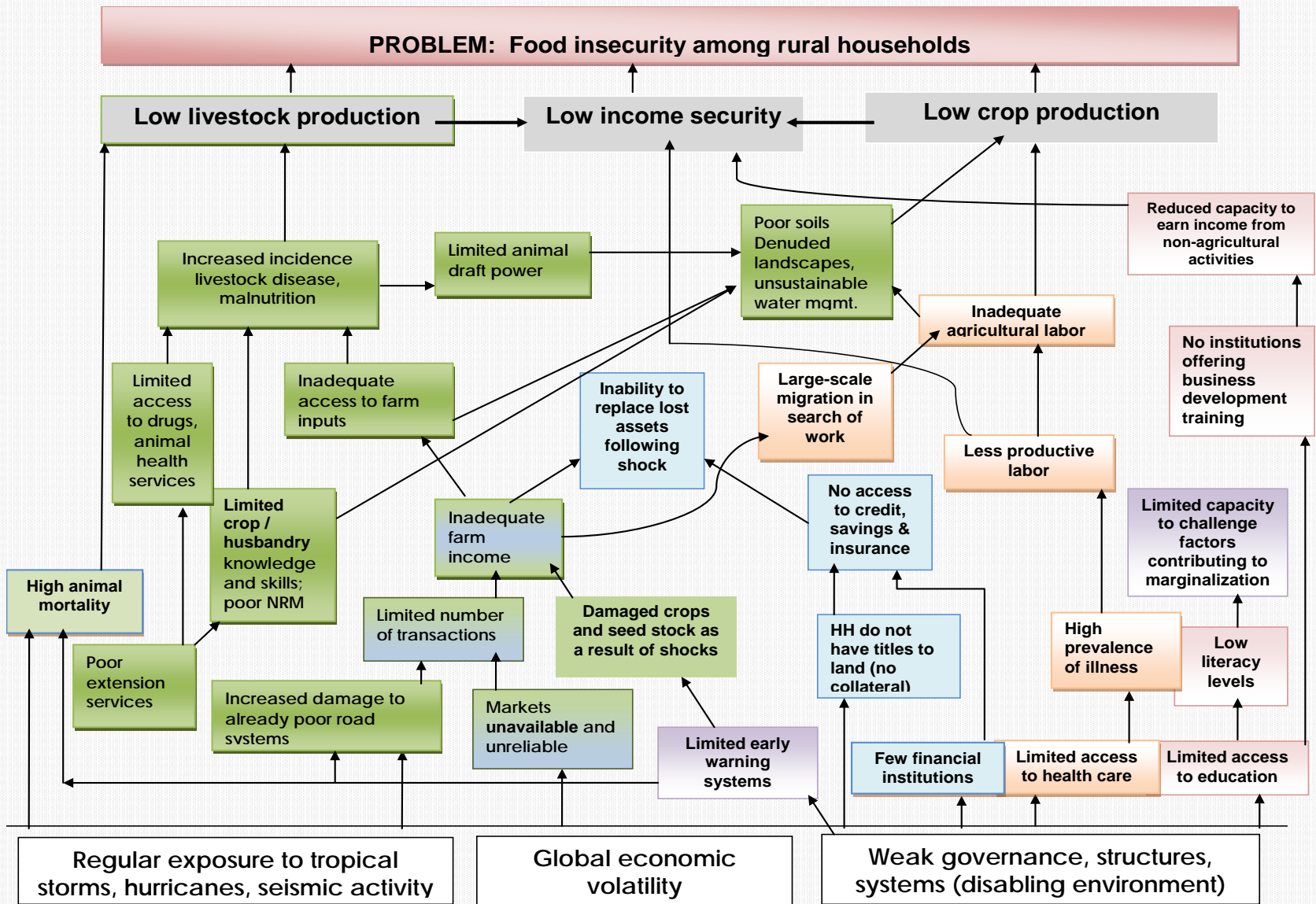
○ Intense focus on:

- sequence in which problems are connected to one another
- cross-causal linkages

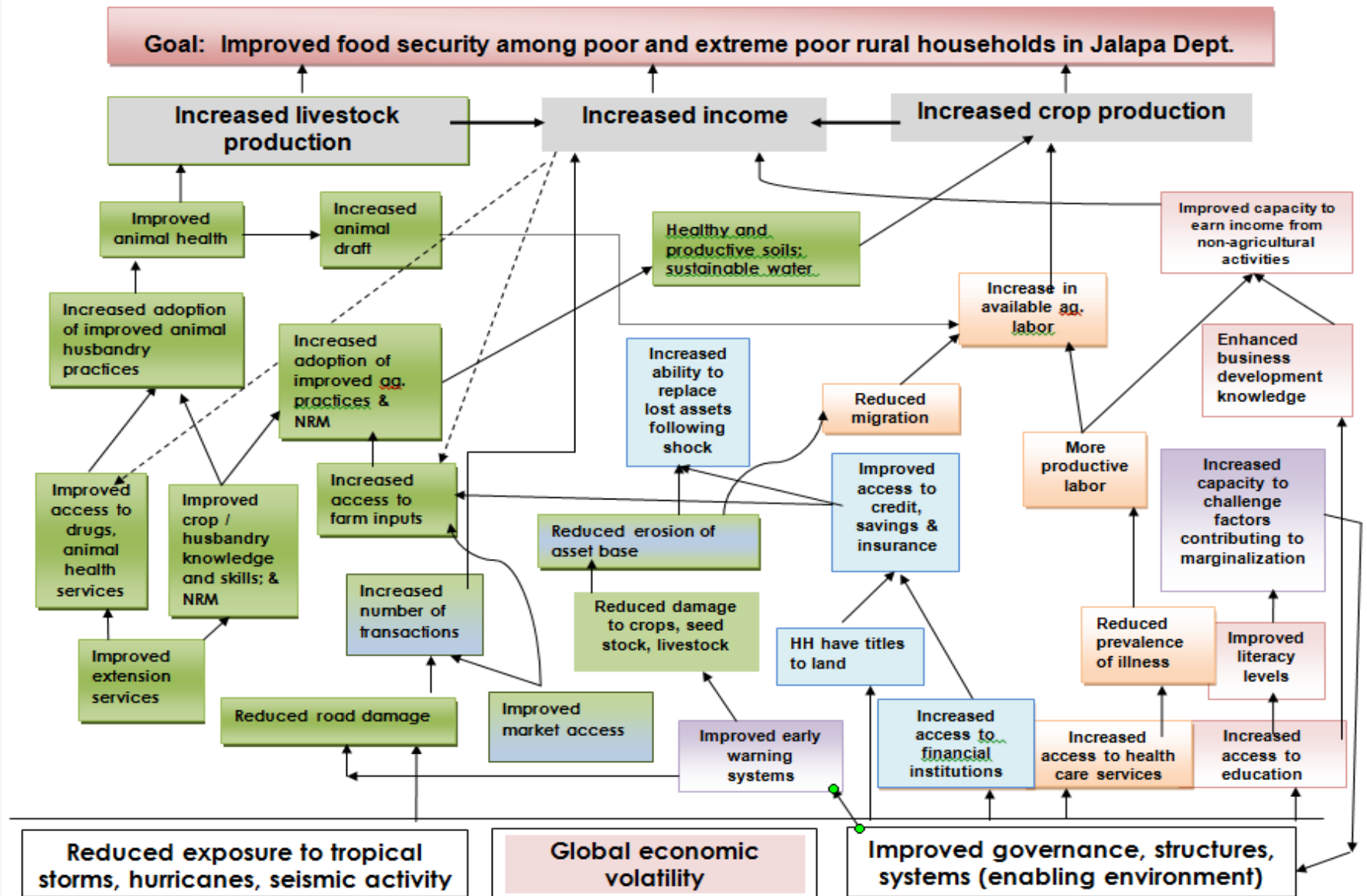
Ensures that when we “flip” the analysis to “condition achieved” –TOC only includes outcomes that directly correspond to an existing problematic condition.



SAMPLE CAUSAL ANALYSIS / PROBLEM TREE



Problem tree flipped into a theory of



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DESIGN PHASE



USING A TOC TO LEARN, REFLECT, & ADAPT IN THE DESIGN PHASE

Similar to other development hypotheses processes

- ToC creates vision for change.
- ToC communicates need for change.

ToC usually better able to articulate specifics of how change will occur.



USING A TOC TO LEARN, REFLECT, & ADAPT IN THE DESIGN PHASE

Collaborative refinement of TOC with other stakeholders

- ToC contains areas of change that may be addressed by multiple stakeholders.
- Critical to work toward:
 - common understanding, shared values, shared strategies, shared systems.

Enhances ability to articulate the specifics of how change will occur.

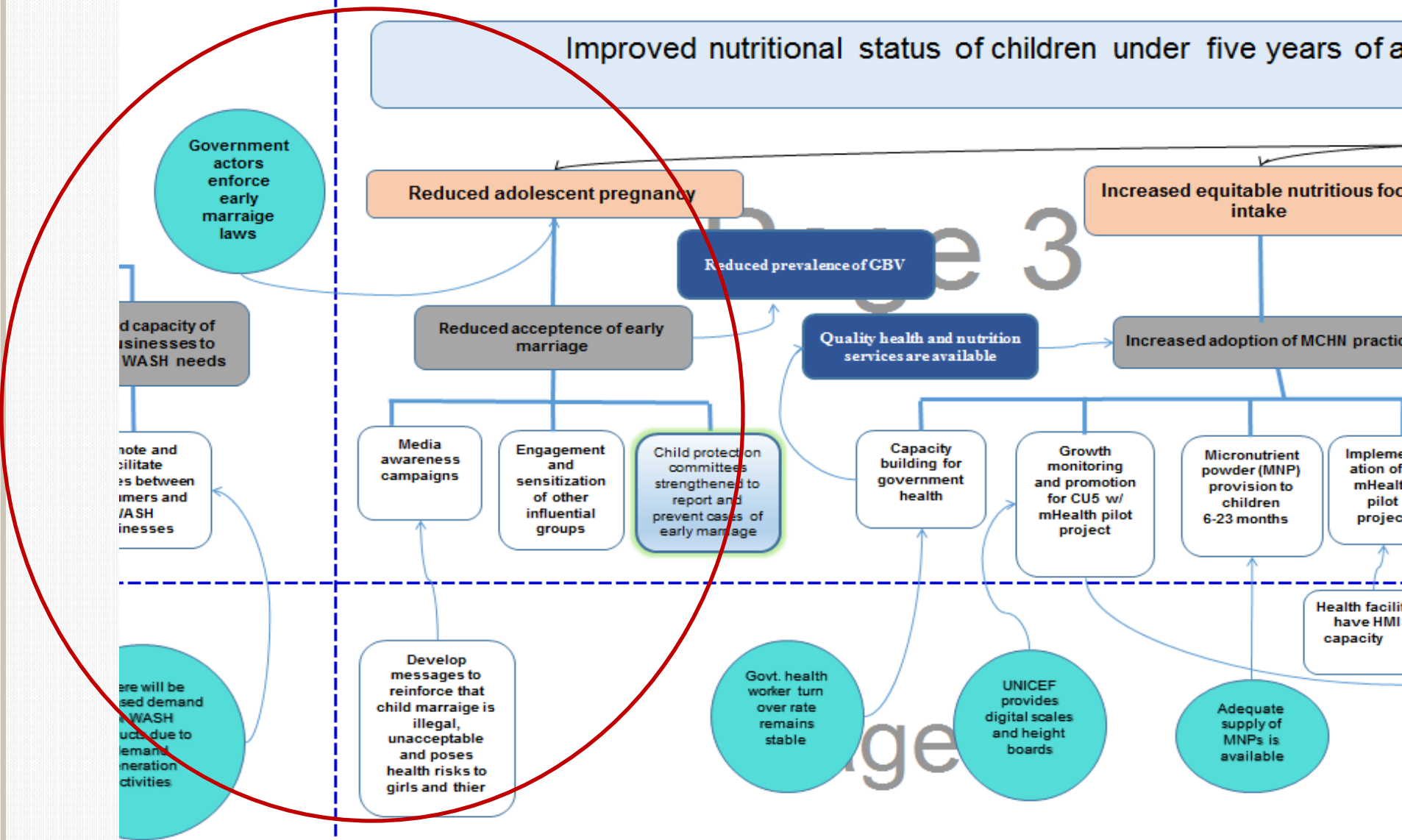


USING A TOC TO LEARN, REFLECT, & ADAPT IN THE DESIGN PHASE

- Use ToC to identify the most strategic outcomes for interventions.
 - FORCED WILLPOWER !
- Use TOC to set realistic performance targets.
 - Depends on assumptions/ risks/ achievements related to efforts of other stakeholders.



Sample: WV Bangladesh-purpose 1 detail

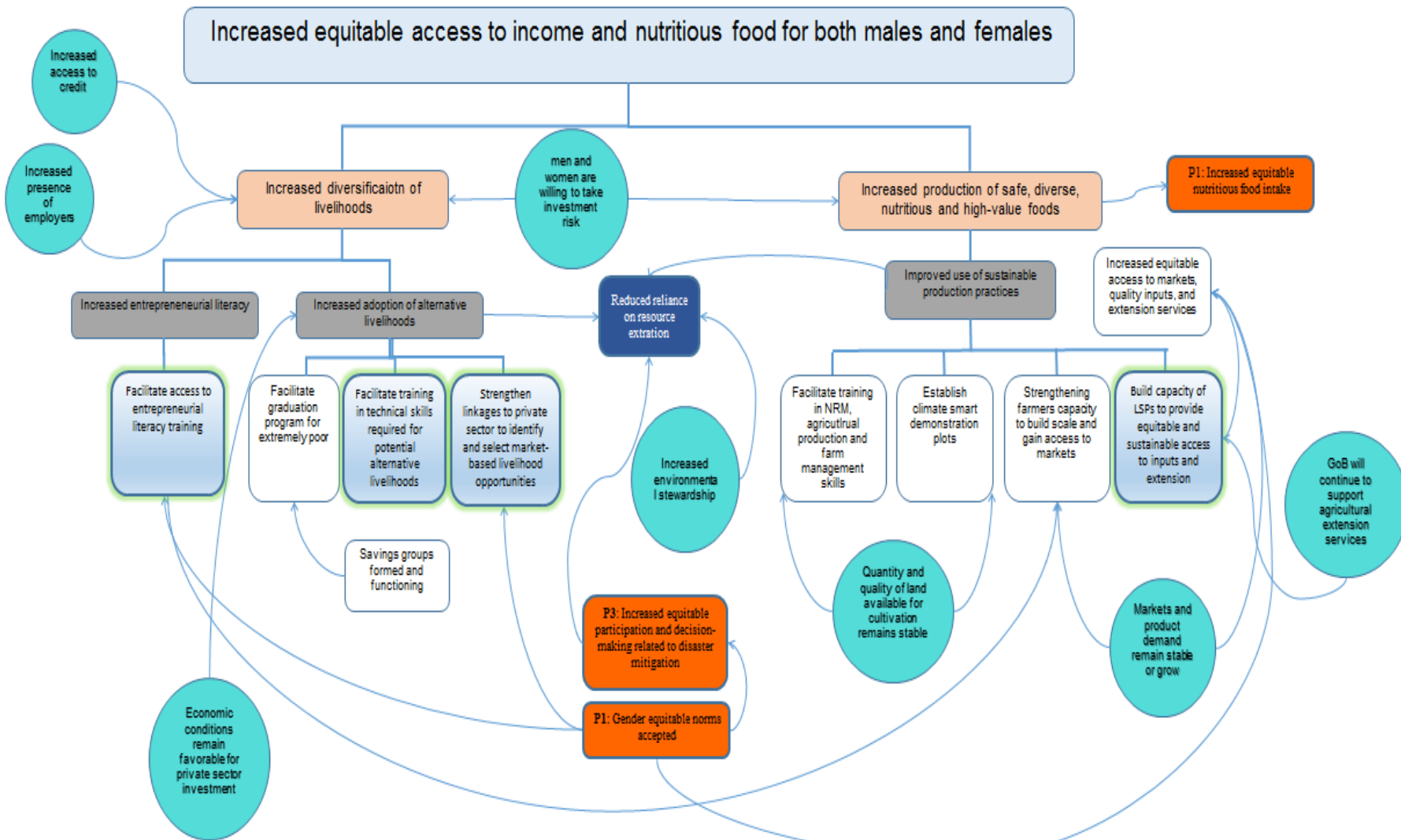


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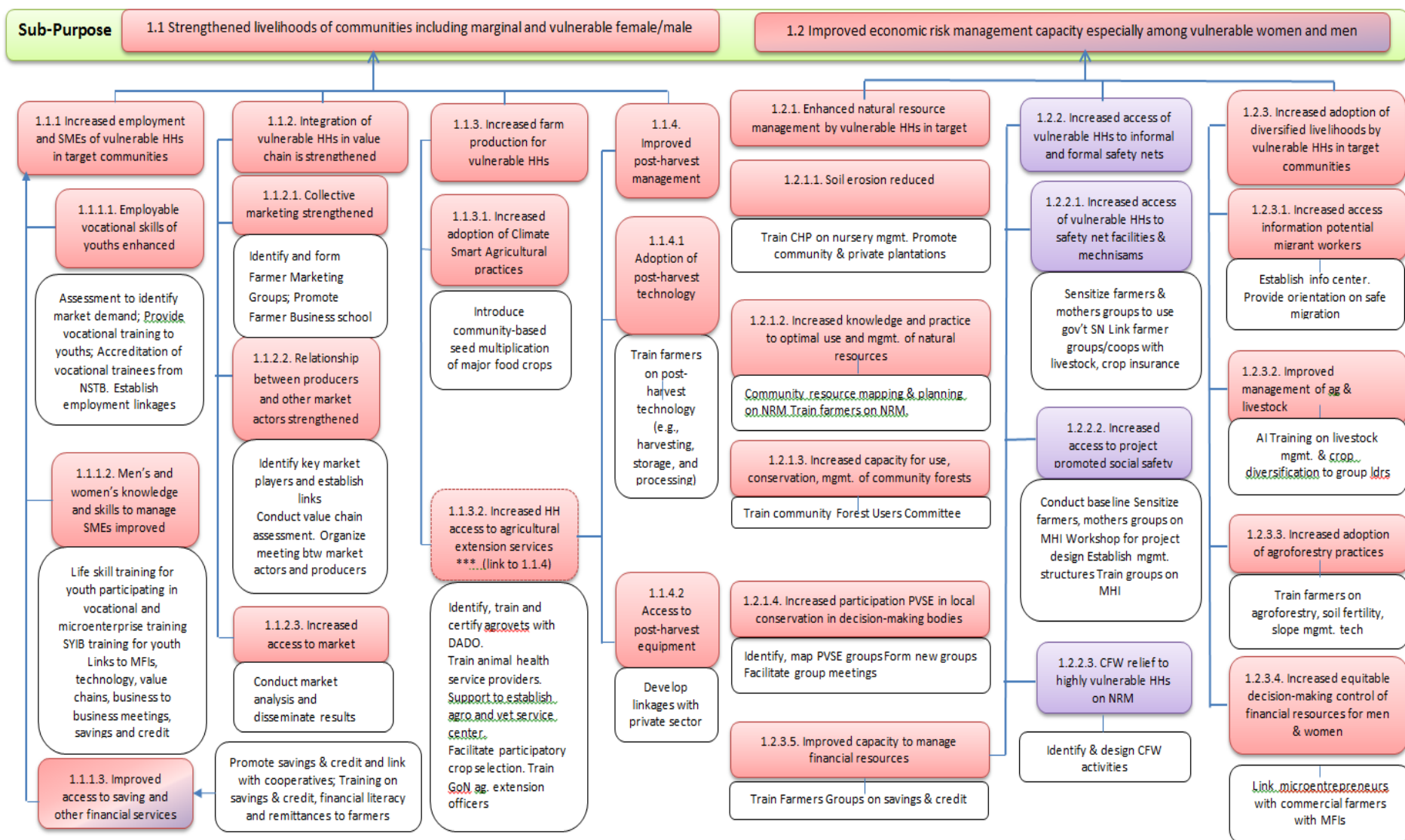
IMPLEMENTATION PHASE



Sample ToC: WV –Nobo Jatra Bangladesh (detail of one purpose)



Sample ToC: SAVE – SABAL /Nepal (draft version) detail purpose 1



USING A TOC TO LEARN, REFLECT, & ADAPT IN THE IMPLEMENTATION PHASE

- Need to:
 - Use ToC as integral part of M&E system.
 - Use indicators for monitoring, learning, testing.
 - “do no harm” indicators
 - progress markers
 - Revisit indicators annually or more frequently.
 - Map what is changing and what is not.
 - Identify tradeoffs and negative or unintended consequences.
- ToC process requires that performance management systems to accommodate uncertainty and flexibility.



USING A TOC TO LEARN, REFLECT, & ADAPT IN THE IMPLEMENTATION PHASE

Evolving guide for implementation and M&E--
not an indelible prescription

TOCs **can and should** be revised periodically.

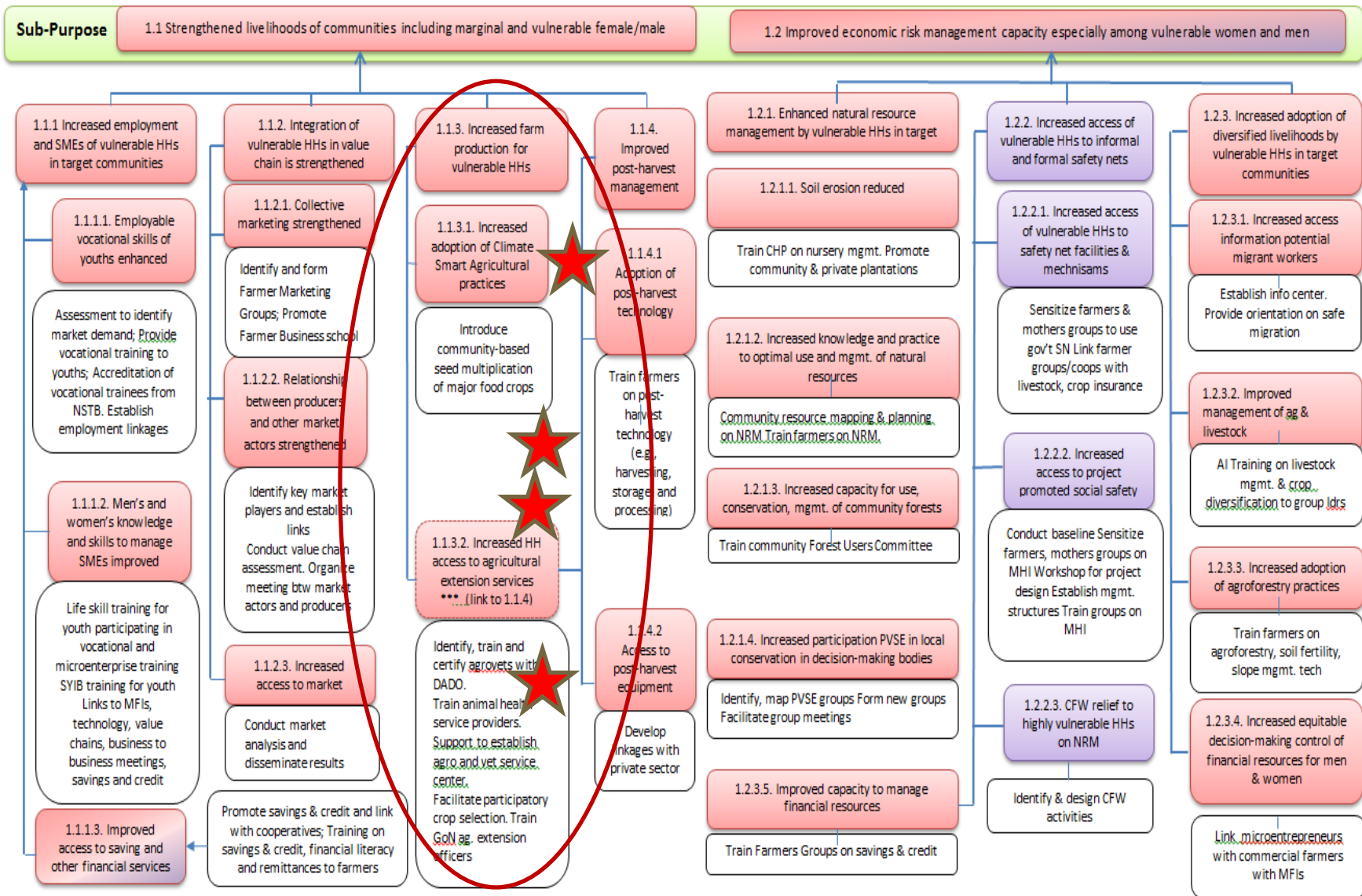
- In response to monitoring
 - Which causal hypotheses are accurate /What factors are impeding predicted change
- In response to changes in contextual factors
- **Benefits:**
 - Programs ADAPT based on learning
 - Supports innovation and improvement in programs in response to dynamic contexts
 - Can supports emergency – development continuum.



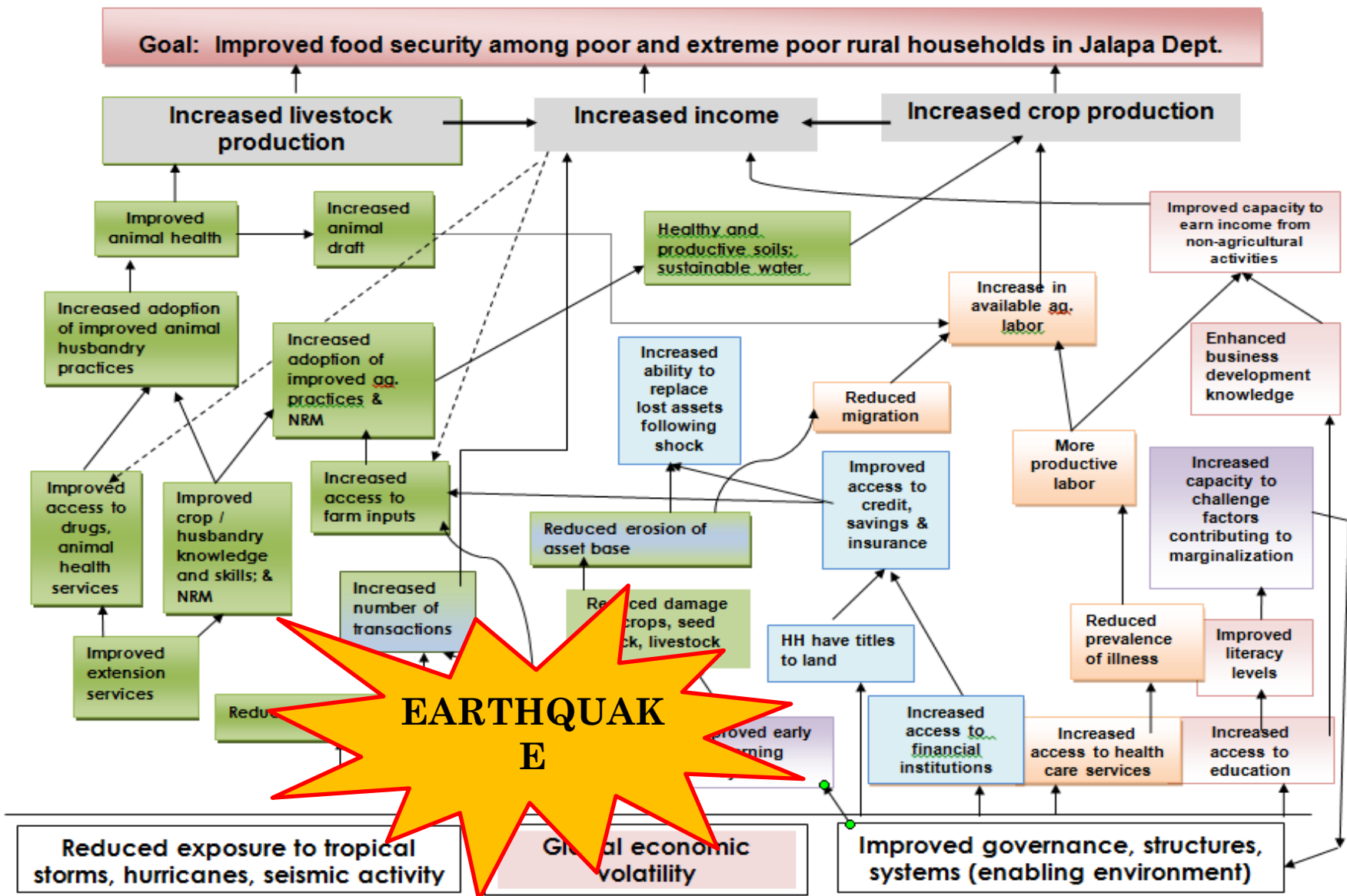
Purpose 1

Stable income of communities, especially vulnerable males and females, increased

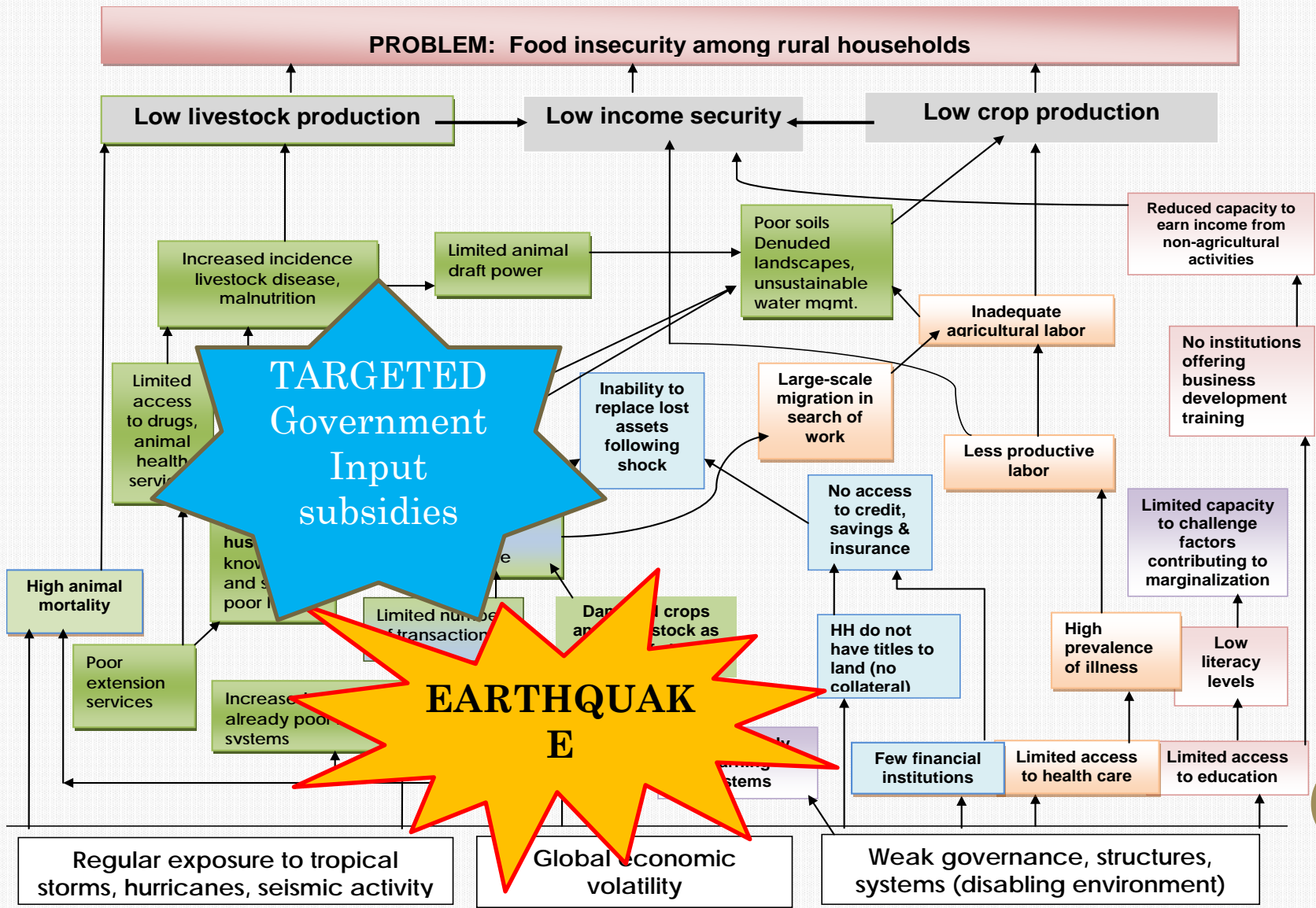
Sample ToC: SAVE – SABAL /Nepal (draft version). Detail purpose 1



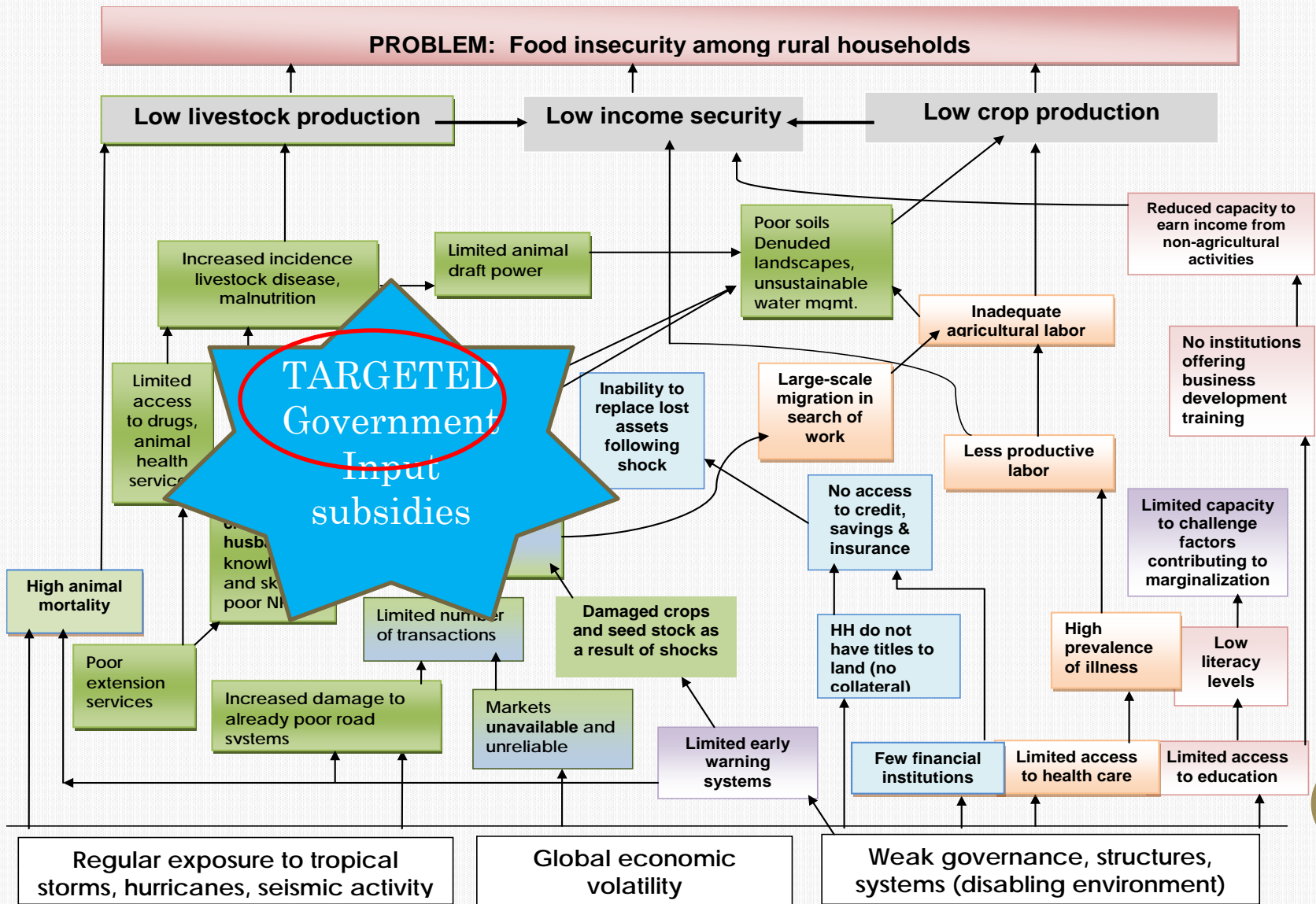
SAMPLE: THEORY OF CHANGE



SAMPLE CAUSAL ANALYSIS / PROBLEM TREE



SAMPLE CAUSAL ANALYSIS / PROBLEM TREE



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EVALUATION PHASE



USING A TOC TO LEARN, REFLECT, & ADAPT IN THE EVALUATION PHASE

- Use to develop key questions for final evaluation.
 - Identifies key hypotheses
 - Did key assumptions hold ?
- Use ToC to make definitive link between outcomes /program activities.
- Reflect on how program-inspired change was linked to/ contributed to wider contextual change.
- If project is not successful, use TOC to understand whether theory was poor, or implementation was poor.



QUESTIONS & DISCUSSION

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Thank you to World Vision's Nobo Jatra Program in Bangladesh & Save the Children's SABAL Program in Nepal for their collaboration and generosity in sharing ToC models for learning purposes

