Inter-Agency Coordination Lebanon

Theory of change

Key components

5 October 2018

OBJECTIVE

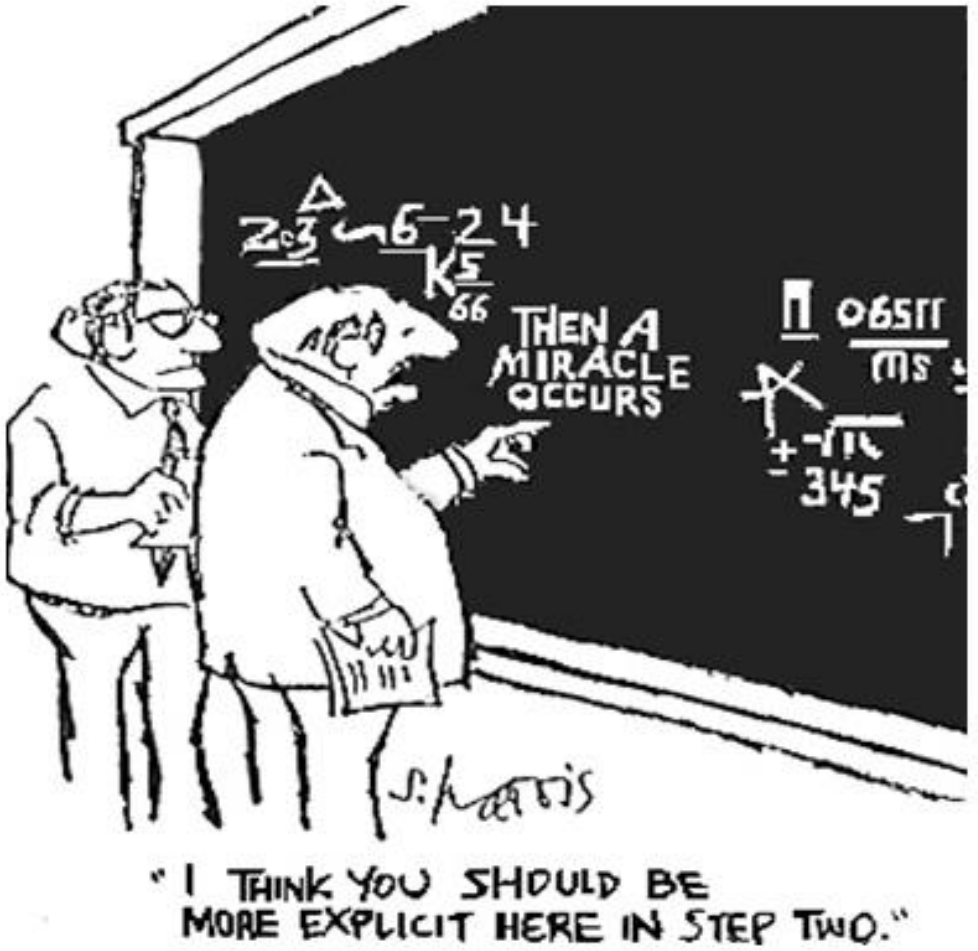
- Have a common understanding on what is the Theory of Change approach and its value
- Understand the process for how to develop a Theory of Change
- Understand how to assess the quality of sector ToC narrative

Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

WHAT IS A THEORY OF CHANGE?

Inter-Agency Coordination Lebanon

- A representation of **how** and **why** a complex change process will succeed given specific assumptions
- A blueprint of all the building blocks needed to achieve the longer-term goals of a particular intervention

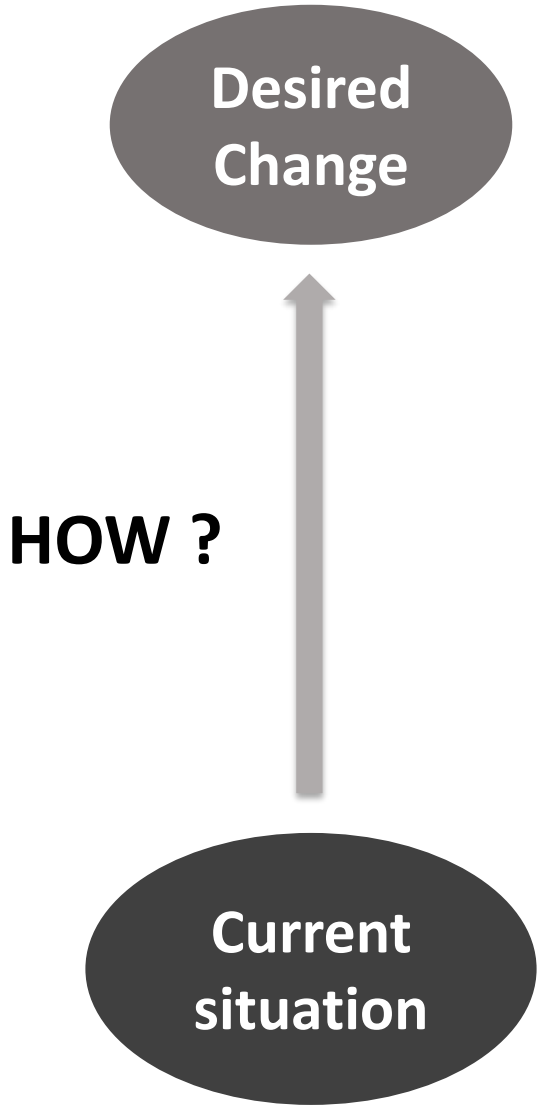


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

WHAT IS THE VALUE OF A THEORY OF CHANGE?

Inter-Agency Coordination Lebanon

- All programmes are designed according to some kind of logic about what they are supposed to achieve
- Complicated interventions can be difficult to explain and a ToC helps tell a common story for an organization
- Think through the many underlying and root causes of the challenges that the sector is facing, and how they influence each other
- Engage with research about how change is created, and provide a framework for learning
- Develop and manage partnerships and partnership strategies.

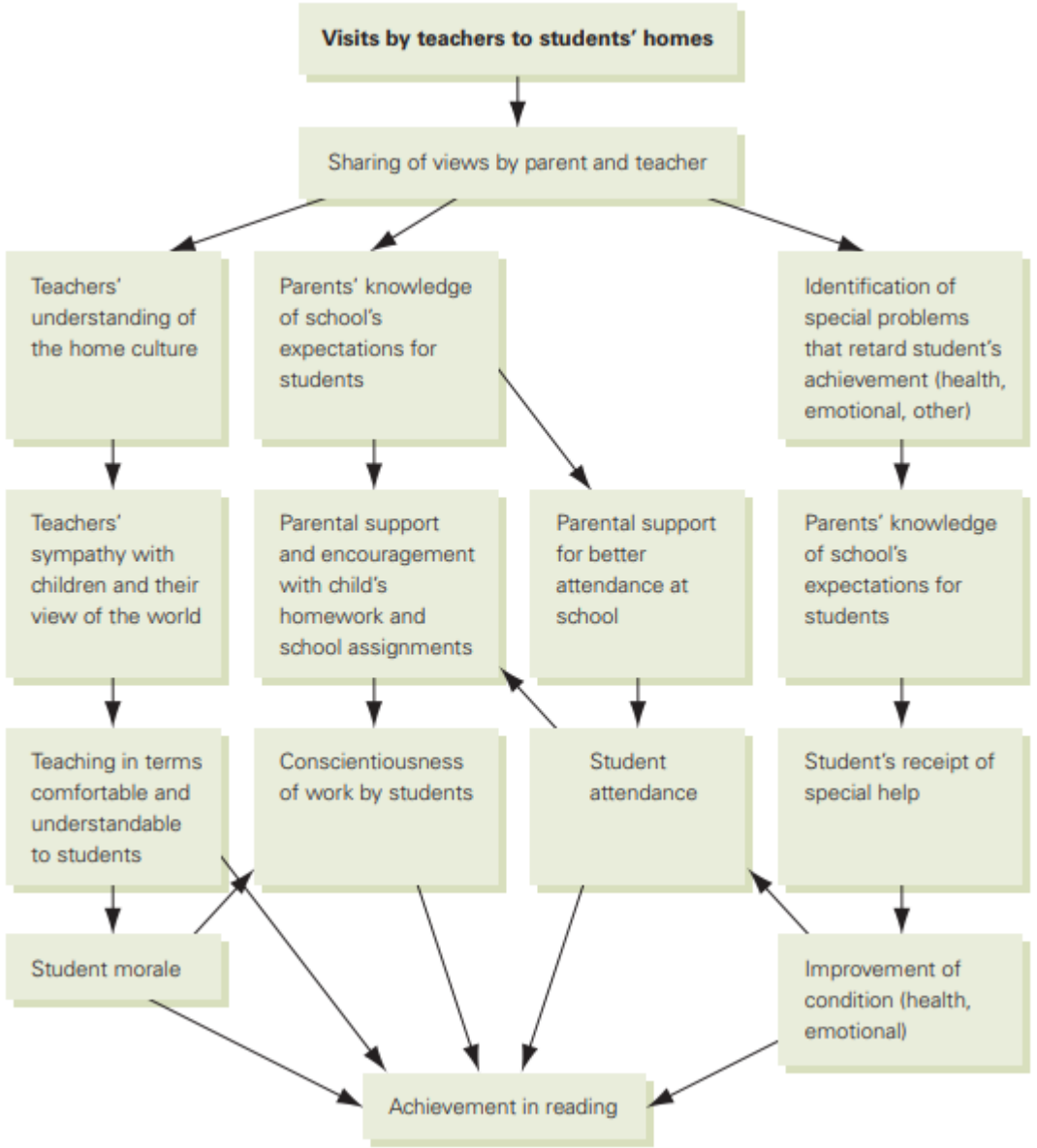


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW IS A THEORY OF CHANGE PRESENTED?

Inter-Agency Coordination Lebanon

- A ToC can be a picture or a diagram
- Variety of templates can be used to show the pathways you could follow to achieve your desired change



Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

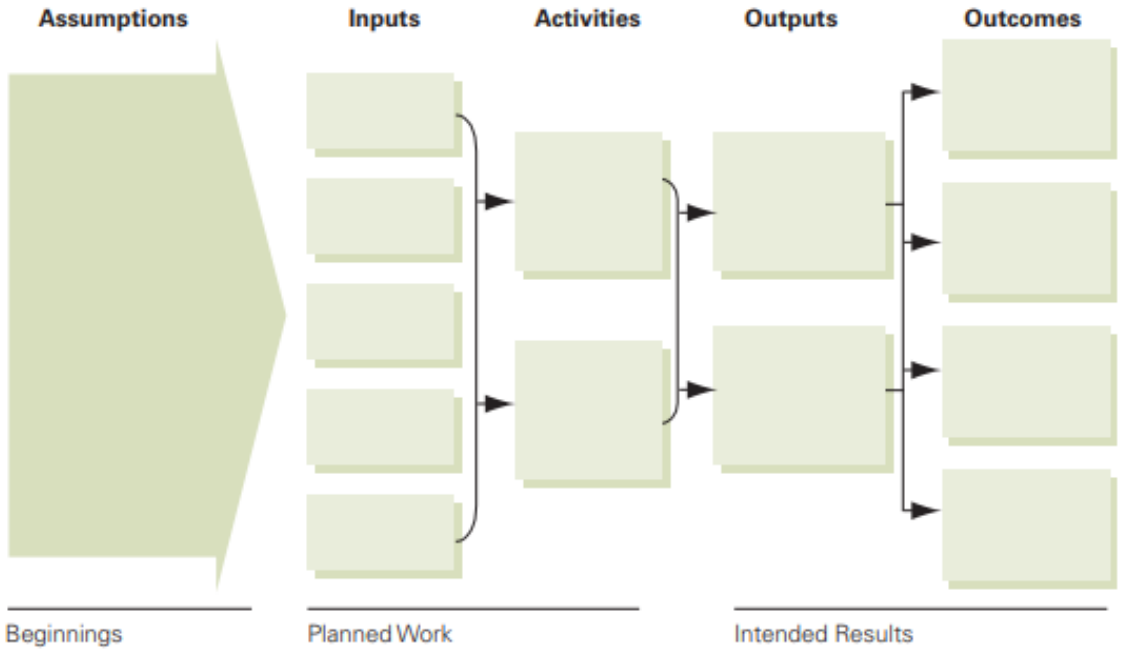
How to create a Theory of Change

Quality assurance checklist

HOW IS A THEORY OF CHANGE PRESENTED?

Inter-Agency Coordination Lebanon

- A ToC can be a picture or a diagram
- Variety of templates can be used to show the pathways you could follow to achieve your desired change



Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

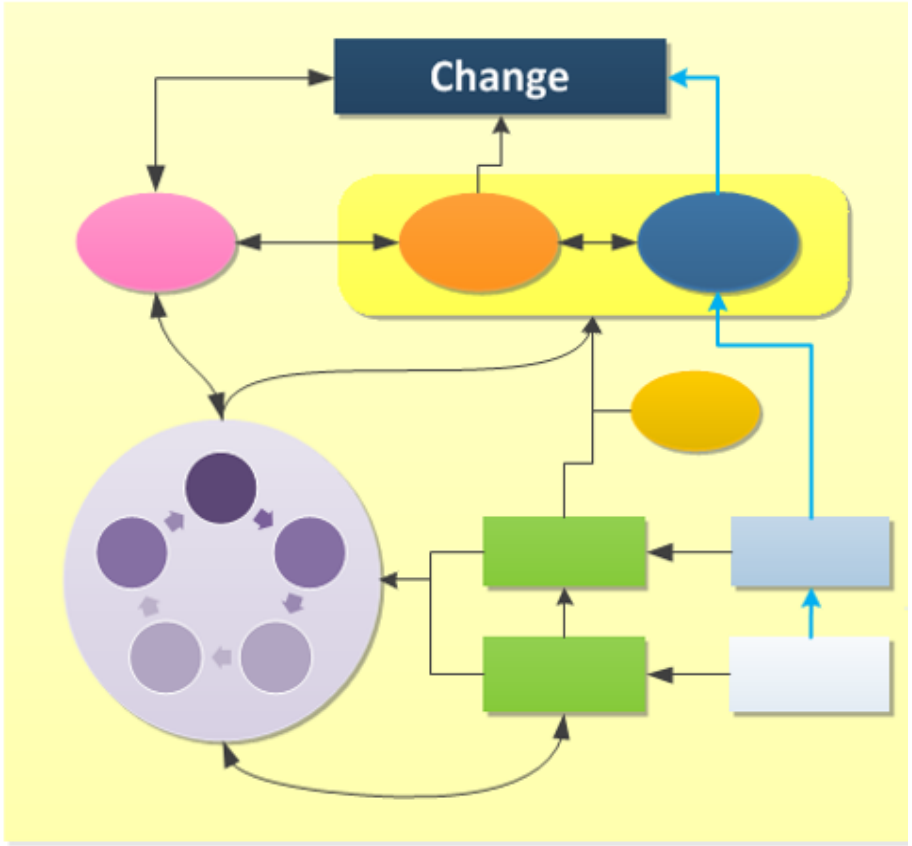
How to create a Theory of Change

Quality assurance checklist

HOW IS A THEORY OF CHANGE PRESENTED?

Inter-Agency Coordination Lebanon

- A ToC can be a picture or a diagram
- Variety of templates can be used to show the pathways you could follow to achieve your desired change

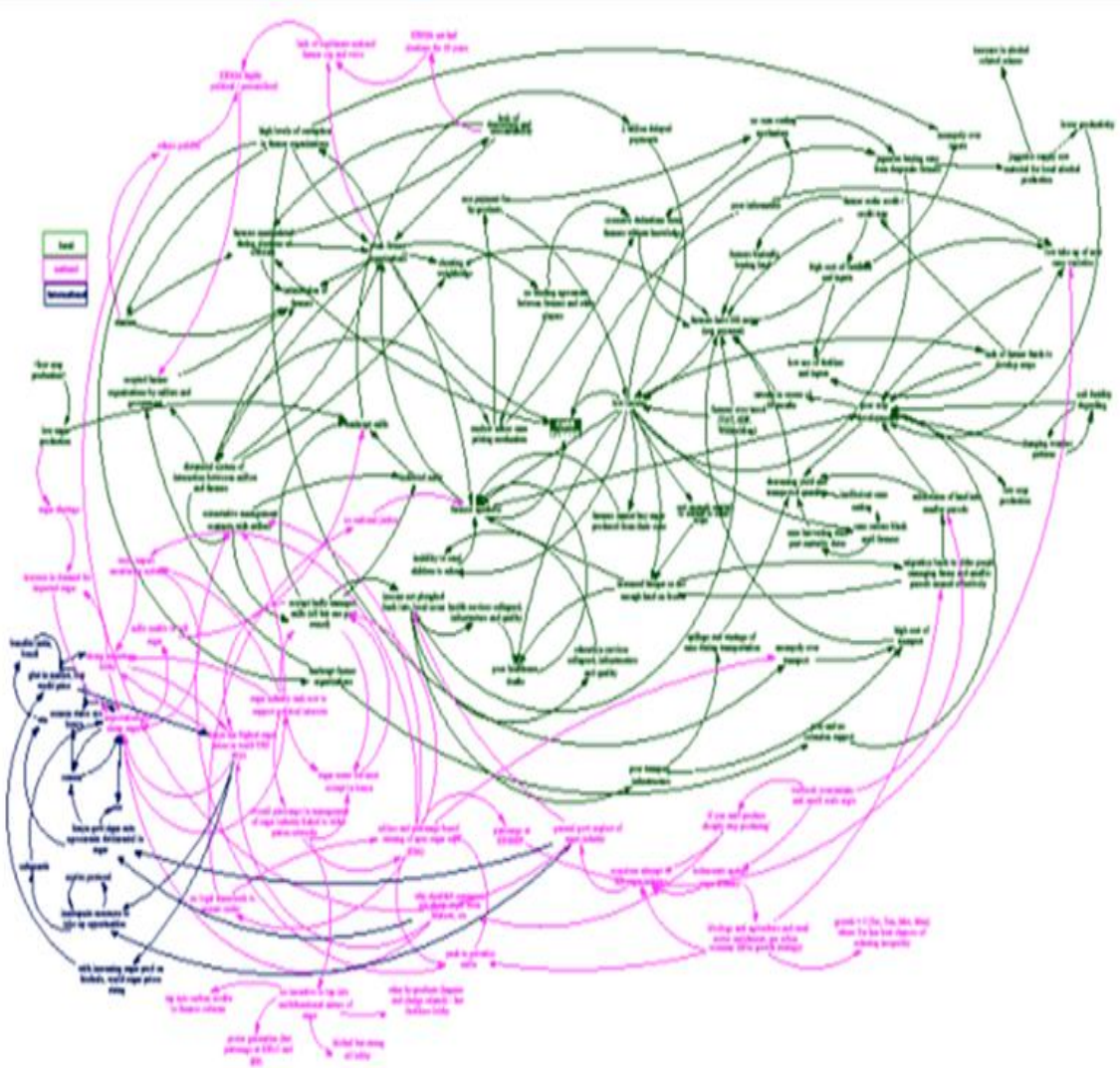


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW IS A THEORY OF CHANGE PRESENTED?

Inter-Agency Coordination Lebanon

- A ToC can be a picture or a diagram
- Different templates can be used to show the pathways you could follow to achieve your desired change:



Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

How to create a Theory of Change

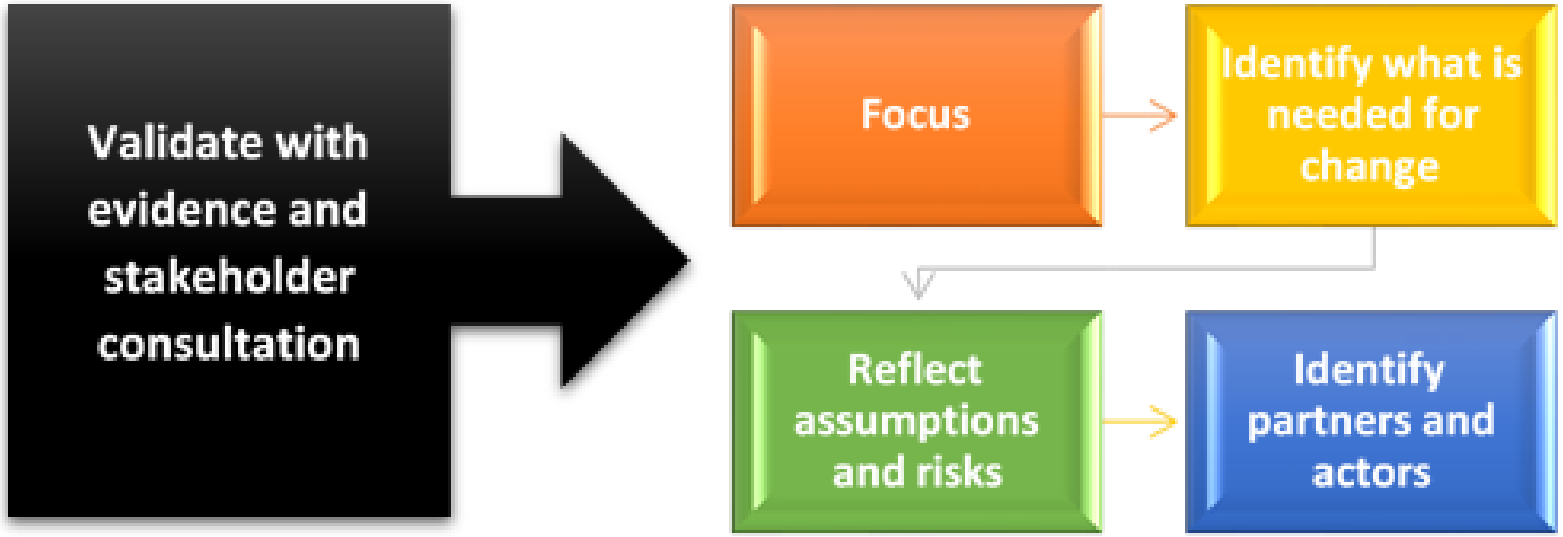
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE? – KEY STEPS

Inter-Agency Coordination Lebanon

1.Focus on the high-level change the sector intends to contribute to in the current context

2.Identify what is needed for the desired development change to happen



3.Establish and make explicit the related key assumptions underpinning the theory of how change happens, and major risks that may affect it.

4.Identify partners and actors who will be most relevant for achieving each result, taking into account the related risks and assumptions.

Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

How to create a Theory of Change

Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – CHANGE ANALYSIS

Inter-Agency Coordination Lebanon

- Identify the current situation and the desired change

DESIRED CHANGE

CURRENT SITUATION

Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

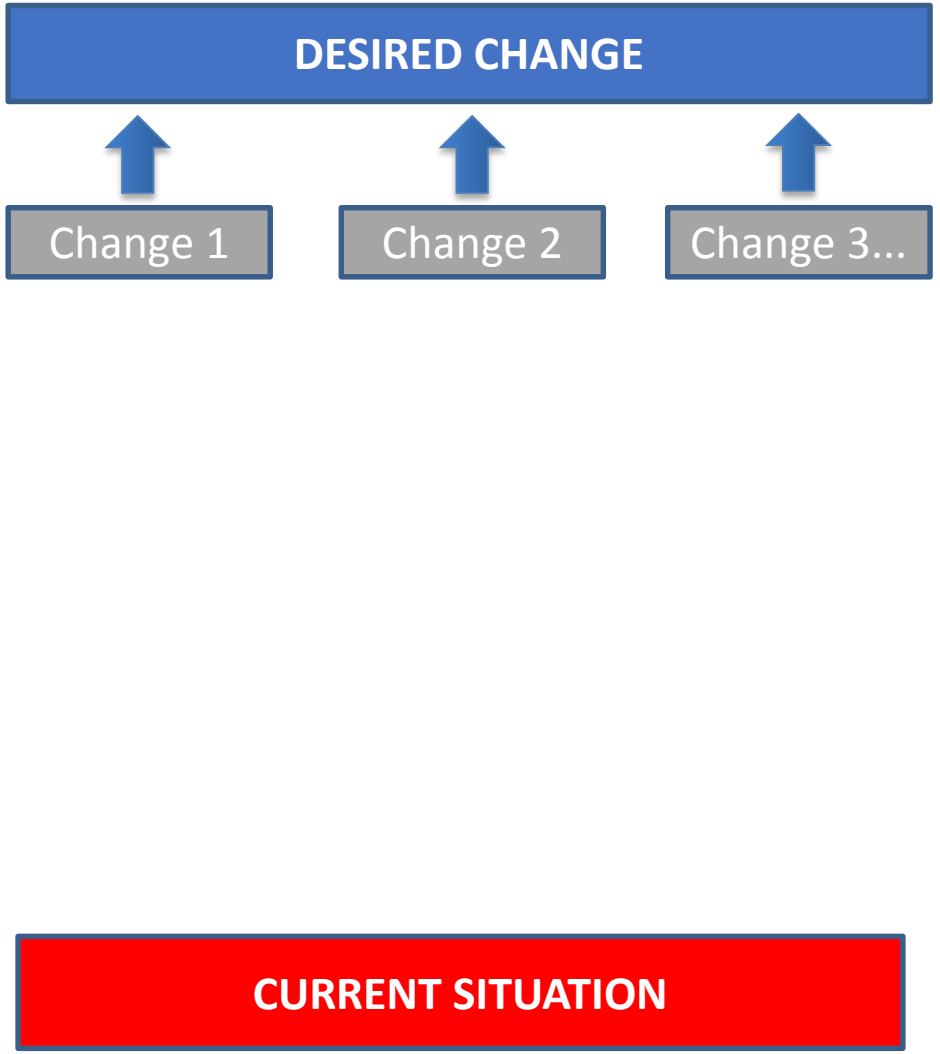
How to create a Theory of Change

Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – CHANGE ANALYSIS

Inter-Agency Coordination Lebanon

- Identify the current situation and the desired change
- Conduct a “backwards mapping” to identify what is needed to achieve that desired change

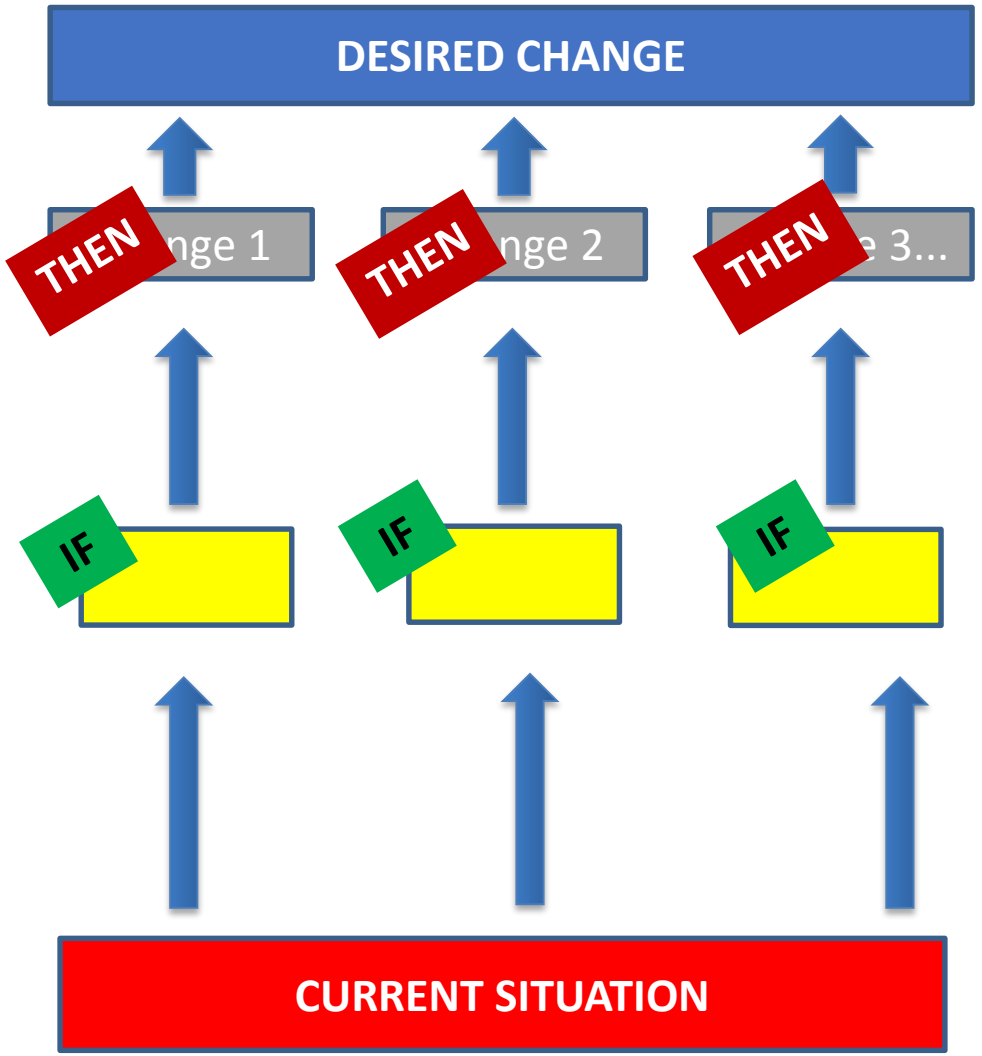


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – CHANGE ANALYSIS

Inter-Agency Coordination Lebanon

- Identify the current situation and the desired change
- Conduct a “backwards mapping” to identify what is needed to achieve that desired change
- Identify the “IF…. THEN” interventions and activities needed to achieve key changes

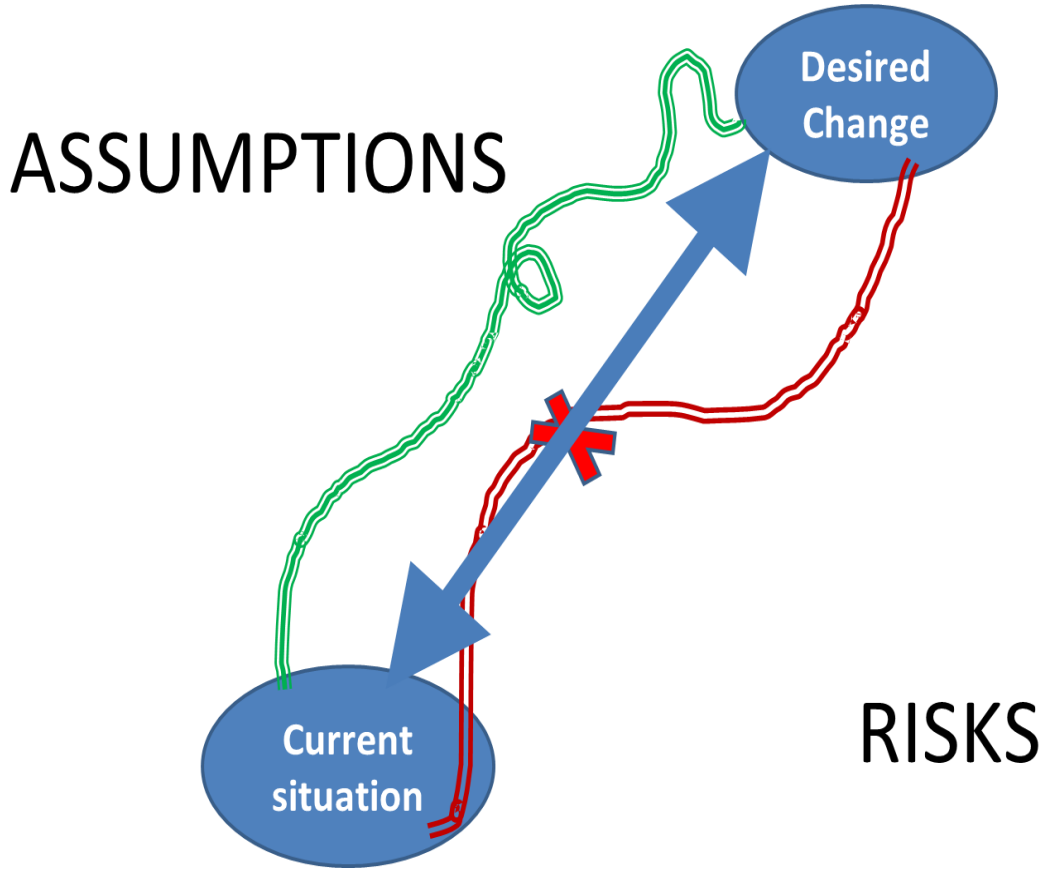


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – RISKS & ASSUMPTIONS

Inter-Agency Coordination Lebanon

- Analyse the **risks and assumptions**
- **Assumptions**: things/events accepted as certain to happen
- Assumptions can be about any node in a theory of change, or the causal linkages between them
- **Risks**: a component of uncertainty in the intervention; they either happen, or not.
- When they happen, risks block the pathway of change. Need to think of mitigation strategies!



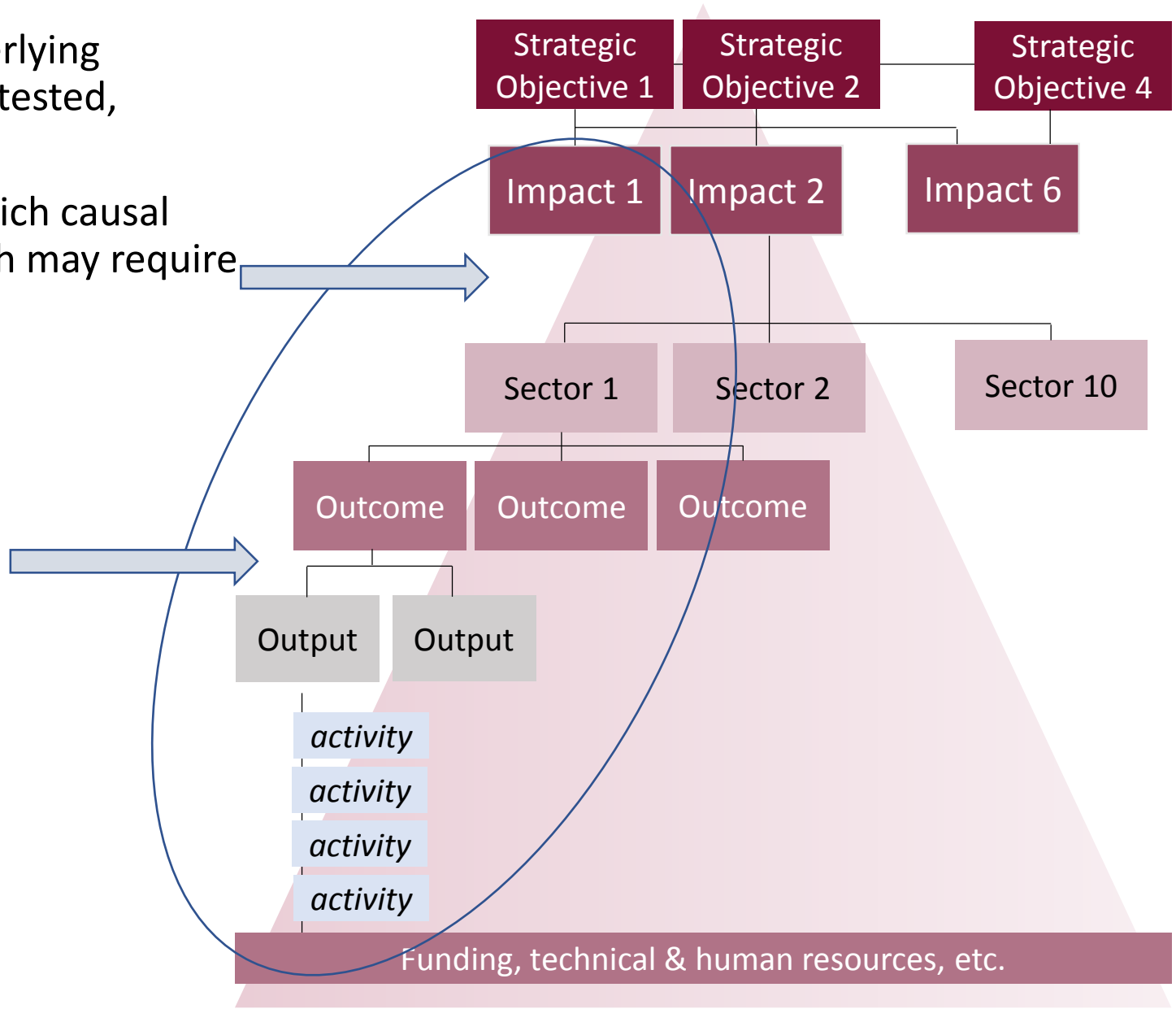
Change is rarely linear!

Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – RISKS & ASSUMPTIONS

Inter-Agency Coordination Lebanon

- ToC requires you articulate underlying assumptions which can then be tested, evaluated, and measured
- ToC requires you understand which causal linkages are strongest, and which may require more research and evaluation.



Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – RISKS & ASSUMPTIONS

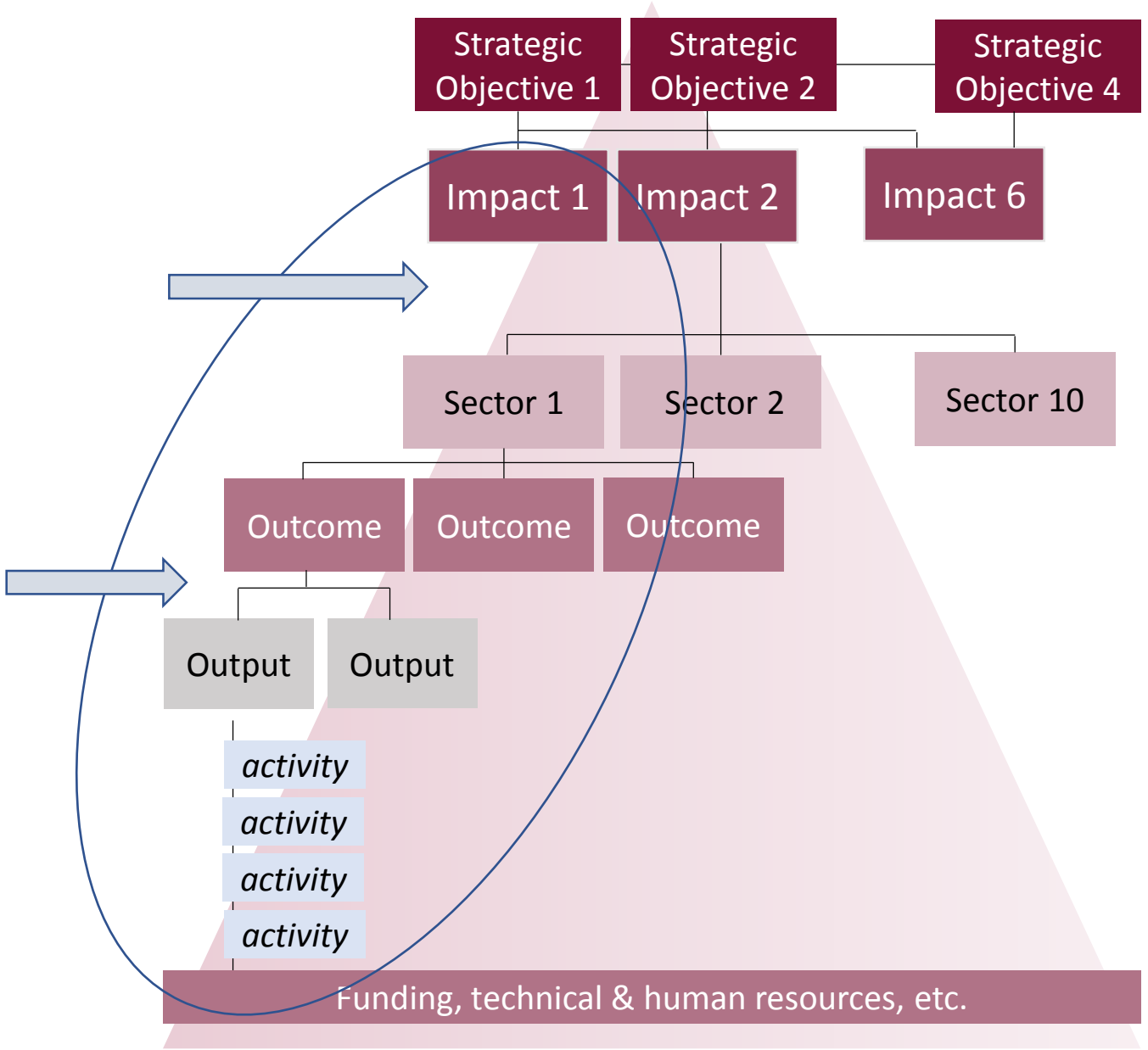
Inter-Agency Coordination Lebanon

- **Example of assumptions in Basic Assistance:**

"In order to achieve LCRP impacts, we assume that…

1- "… *MPC beneficiaries have access to markets, service providers and civil authorities*"

2- We also assume that "… *MPC beneficiaries do not save any amount of their assistance before meeting their basic needs*"

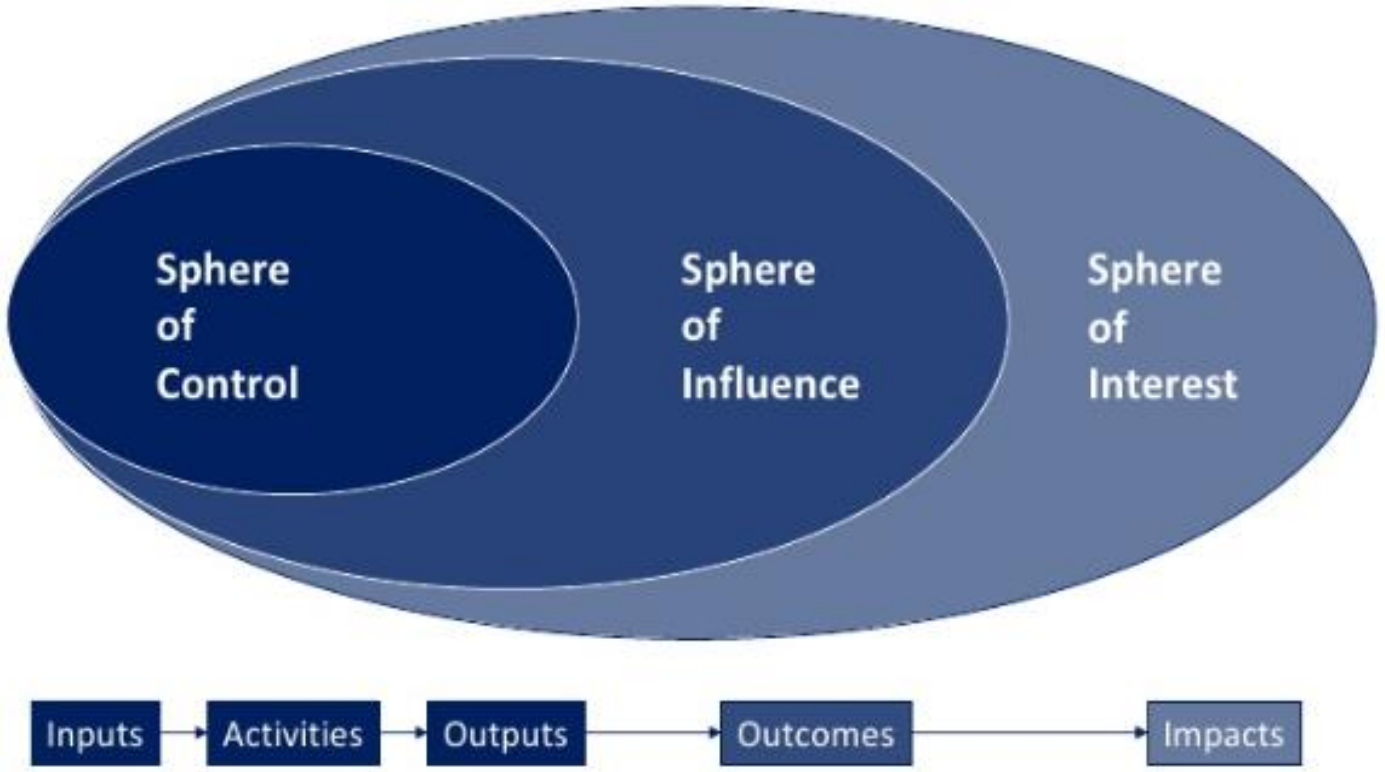


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – STAKEHOLDERS ANALYSIS

Inter-Agency Coordination Lebanon

- Think through your results chain (the core of your ToC), from sector inputs to overall impact
- **Outputs** are short term results, which are achieved immediately after an activity has taken place. They are considered **within the sphere of control** of the sector.
- **Outcomes** are medium term results, which may take a few years to achieve. Being within the **sphere of influence** of the sector
- **Impact** is the highest level outcome, and is often the ultimate goal, that may take many years to change.
- Outside the sphere of control or influence, but by working with a wide range of **stakeholders**, the sector can build a likely story that it is making a stronger contribution to LCRP impact

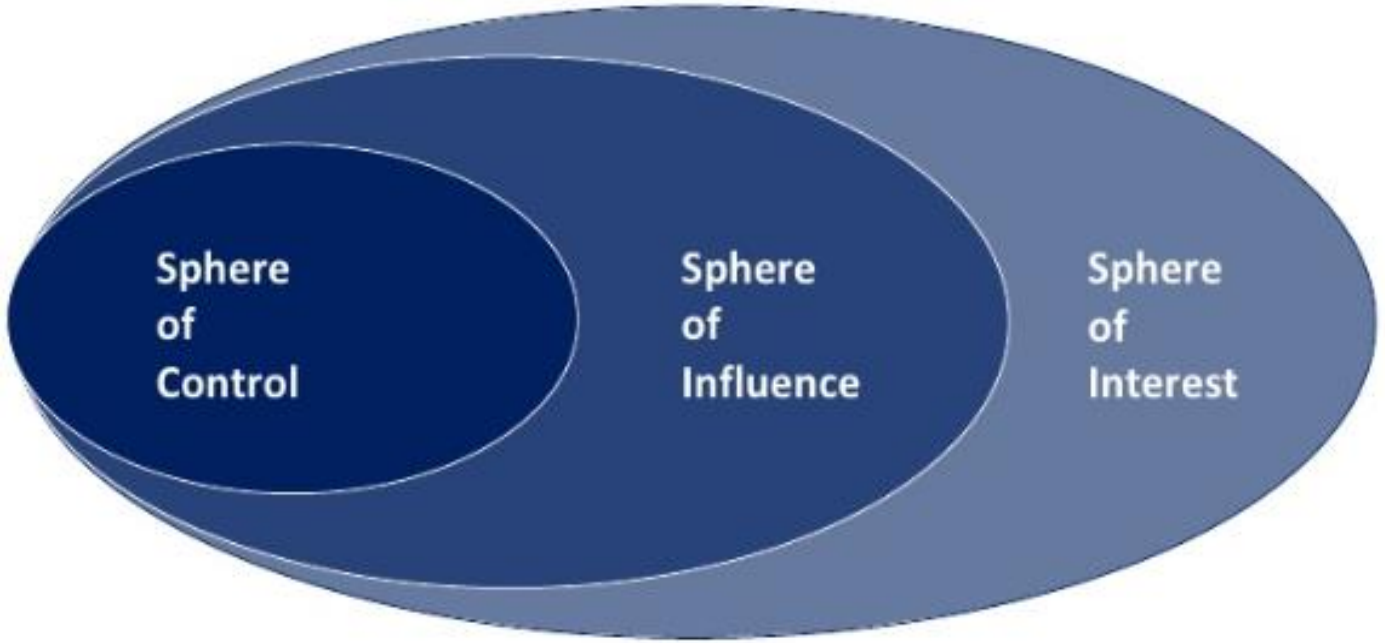


Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – STAKEHOLDERS ANALYSIS

Inter-Agency Coordination Lebanon

- A stakeholder mapping is a first step to help you better understand your sector's sphere of influence
- Identify and understand the other stakeholders who also influence this sphere
- Identify partnerships, through which your sphere of control or influence might even expand
- The theory of change should help clarify:
  - which partner does what,
  - in which areas two or more entities are expected to work together,
  - where collaboration is necessary to achieve the expected change, and
  - how to avoid overlapping to maximize the use of available resources.



Objective
What is a Theory of Change
What is the value of a Theory of Change
How is a Theory of Change presented
How to create a Theory of Change
Quality assurance checklist

HOW TO CREATE A THEORY OF CHANGE – SUMMARY

Inter-Agency Coordination Lebanon

1. Validate the **focus** of the ToC
2. Identify **solutions** to the problems that need to be addressed
3. Validate the **division of labour** among partners and partnership strategies
4. Identify and test **risks & assumptions** based on available evidence

Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

How to create a Theory of Change

Quality assurance checklist

THEORY OF CHANGE NARRATIVE – QUALITY ASSURANCE CHECK LIST

Inter-Agency Coordination Lebanon

Quality assurance checklist to ensure a theory of change:	YES / NO
Is based on a **collaborative and participatory process**, involving multiple stakeholder perspectives and allowing the views of women, youth, duty-bearers, claim-holders and vulnerable communities to be reflected during theory of change development and validation	
Is clearly targeted towards **changes that will benefit the most vulnerable** and marginalized individuals and groups	
Shows a **plausible, clear, logical flow** to describe how the planned intervention intends to contribute to the desired changes at outcome and impact level, without any gaps in logic	
Is ideally presented with a **diagram** and embedded in the narrative of sector chapters	
Refers to evidence, knowledge and lessons learned from credible sources such as evaluations, assessments, monitoring, surveys, as well as to national capacity assessments and strategies	
Clearly states **assumptions and risks** most relevant to whether change will be realized	
Identifies **who does what** within the sector, as well as any other key partners and actors whose common effort will be required in order for change to take place	
Identifies **limitations in the available evidence basis** for the theory of change that can be used to test the assumptions and the pathway of change	
Envisages sustainable and inclusive changes by looking to **strengthen the effectiveness of institutions and mechanisms** that are tasked to monitor, track and empower those who are left behind or at the risk of being left behind	
Addresses issues of inequality and discrimination by **tackling root and underlying causes in addition to immediate causes**	
Addresses or mitigates **structural causes of violence and conflict** that lead to or result from violation or non-fulfilment of rights	
Explicitly targets **women and girls** and ensures that they are equal beneficiaries of change	
Addresses **poverty-environment linkages** and contributes to enhancing sustainability	

Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

How to create a Theory of Change

Quality assurance checklist

THEORY OF CHANGE NARRATIVE – QUALITY ASSURANCE CHECK LIST

Inter-Agency Coordination Lebanon

Quality assurance checklist to ensure a theory of change:	STATUS	Comments
Is based on a **collaborative and participatory process**, involving multiple stakeholder perspectives and allowing the views of women, youth, duty-bearers, claim-holders and vulnerable communities to be reflected during theory of change development and validation		SitAn and strategy done in a participatory manner
Is clearly targeted towards **changes that will benefit the most vulnerable** and marginalized individuals and groups		Clear description of target groups
Shows a **plausible, clear, logical flow** to describe how the sector strategy intends to contribute to the desired changes at outcome and impact level, without any gaps in logic		Outputs to outcomes ok, but needs to clarify sector outcomes' contribution to LCRP impact
Is ideally presented with a **diagram** and embedded in the narrative of the sector chapter		Diagram: no Narrative: yes
Refers to evidence, knowledge and lessons learned from credible sources such as evaluations, assessments, monitoring, surveys, as well as to national capacity assessments and strategies		Evidence and research are well used for the SitAn, less so to justify chosen outputs or outcomes
Clearly states **assumptions and risks** most relevant to whether change will be realized		There is little mention of any assumption and risk
Identifies **who does what** within the sector, as well as any other key partners and actors whose common effort will be required in order for change to take place		Partners involved and having influence on results should be mentioned
Identifies **limitations in the available evidence basis** for the theory of change that can be used to test the assumptions and the pathway of change		No mention of learning needs, knowledge gaps

Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

How to create a Theory of Change

Quality assurance checklist

THEORY OF CHANGE NARRATIVE – QUALITY ASSURANCE CHECK LIST

Inter-Agency Coordination Lebanon

Envisages sustainable and inclusive changes by looking to **strengthen the effectiveness of institutions and mechanisms** that are tasked to monitor, track and empower those who are left behind or at the risk of being left behind		Institutions strengthening is one of the priority mentioned in the strategy
Addresses issues of inequality and discrimination by **tackling root and underlying causes in addition to immediate causes**		In the SitAn, backed up with evidence
Addresses or mitigates **structural causes of violence and conflict** that lead to or result from violation or non-fulfilment of rights		As a cross-cutting issue
Explicitly targets **women and girls** and ensures that they are equal beneficiaries of change		As a cross-cutting issue, yet not enough disaggregated data in the narrative
Addresses **humanitarian-development-environment linkages** and contributes to enhancing sustainability		There is little elaboration on this, though a section on stabilization and institutional strengthening

Objective

What is a Theory of Change

What is the value of a Theory of Change

How is a Theory of Change presented

How to create a Theory of Change

Quality assurance checklist

Inter-Agency Coordination Lebanon

THANK YOU!

For more information, feed-back, comments:
Jean-Charles Rouge, Sr. M&E Specialist,
Inter-Agency Coordination Unit
jean-charles.rouge@undp.org

HOW TO CREATE A THEORY OF CHANGE – 2 RISKS & ASSUMPTIONS

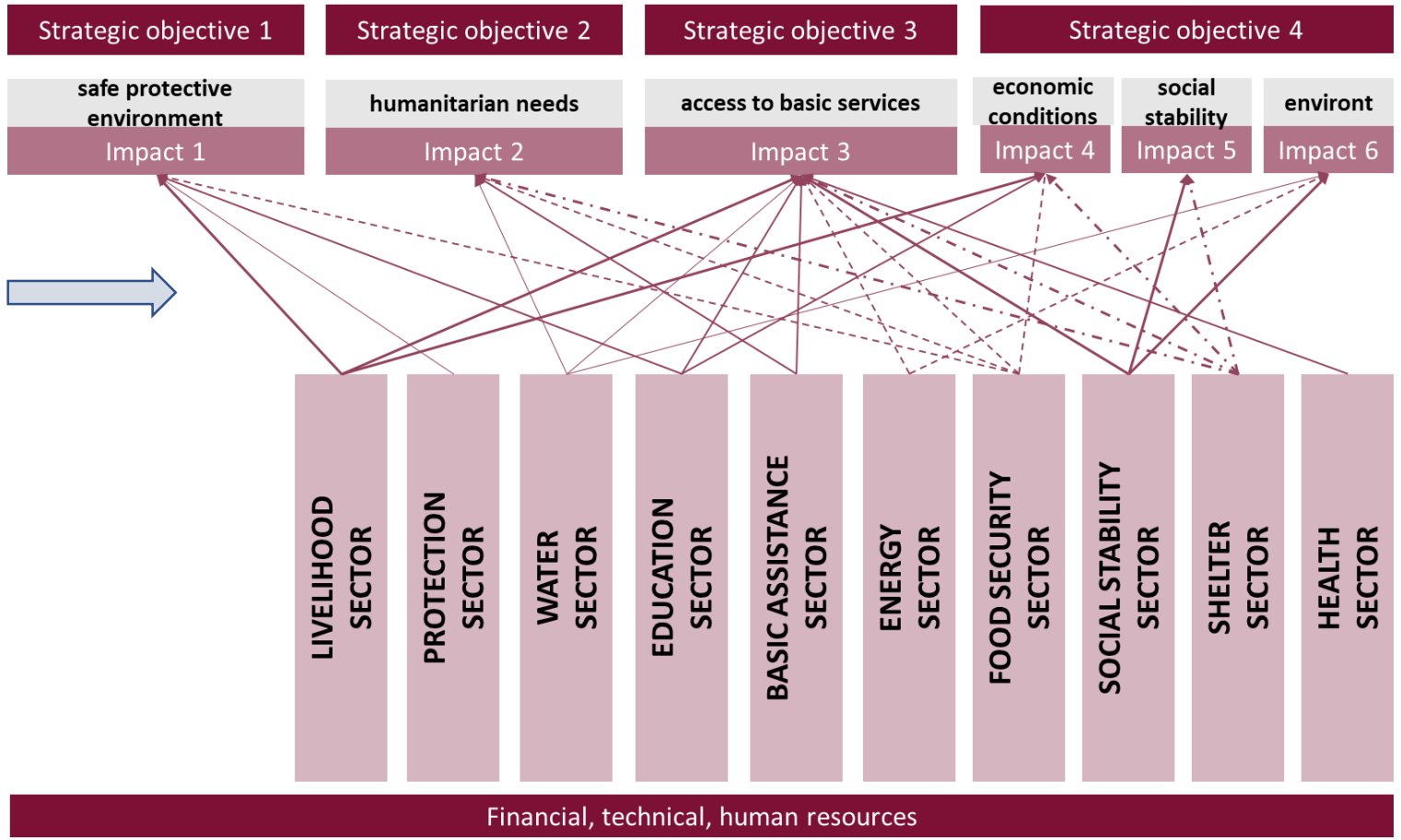
Inter-Agency Coordination Lebanon

Example of assumptions in Basic Assistance:

In order to achieve impacts 2 and 3, we assume that:

1- "*MPC beneficiaries have access to markets, service providers and civil authorities*", e.g. that beneficiaries can spend their assistance, without facing any restrictions in accessing markets to buy food, health and education related items, service providers (school and medical centers) and civil authorities.

2- We can also assume that "*MPC beneficiaries do not save any amount of their assistance before meeting their basic needs*". Once these are met, households may decide to allocate excess cash into savings



Background
Analysis of LCRP logic
Purpose of LCRP M&E system
Funding & results monitoring levels
Monitoring of commitments
Inter-sector Key Evaluation Questions
Required research, assessments and surveys
LCRP data system
Inter-sector reporting
Dissemination of information
Key evaluation milestones