Outline

1. Introduction to theory of change
2. Building a theory of change in 7 steps
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1. Introduction to theory of change
2. Building a theory of change in 7 steps
Theory of Change (ToC)

• Definition
  • Theory of change is an on-going process of reflection to explore change and how it happens – and what that means in a particular context, sector, and/or group of people.

• Theory of Change thinking
  • Structured way of thinking about change and impact organizations would like to achieve
  • Integrated approach to program design, implementation, M+E, and communication
Theory of Change Levels

**Inputs/Program Activities**
- Program components
  - e.g. teach, offer loans, deliver food
- Resources
  - e.g. staff, funds, equipment, food

**Outputs**
- Tangible products or services produced as a result of the activities
  - Take-up by offered participants.
  - e.g. # school children receiving school meals

**Intermediate Outcomes**
- Short-term behavioral changes that result from the outputs
  - e.g. more children attend school and concentrate better in class

**Goals**
- Long-term changes that result from outcomes
  - e.g. improved learning leads to better socio economic outcomes
Theory of Change example: Increasing immunizations

- Supply-side limits on immunization
- Establish regular camps
  - Parents believe camps are regular
  - Parents bring children to regular camp
    - Camps provide immunizations
      - Increased immunization rates

- Incentives for full course
  - Parents value incentive
    - Incentives regularly paid
      - Parents do not value immunization
Outline

1. Introduction to theory of change
2. Building a theory of change in 7 steps
7 Steps to Building a Theory of Change

1. Situation analysis
2. Clarify the program goal
3. Design the program/product
4. Map the causal pathway
5. Explicit assumptions
6. Design SMART indicators
7. Convert to Logical Framework
Step 1: Situation/context analysis

• **What it is:**
  - Identifying target market segment (beneficiaries)
  - Needs, opportunities, barriers to progress
  - Map relevant stakeholders
  - Analyze broader political and economic context

• **Purpose:**
  - Design the right product, identify markers for success
Step 1: Situation/context analysis

Cookstoves example

• High indoor air pollution
  • Use of traditional cook stoves and solid fuels
  • Lack of access to improved cook stoves
  • Improved cook stoves are expensive

• Poor health outcomes
  • People inhale high levels of smoke
  • No exhaust systems
Building a TOC – Step 1: Situation Analysis

Situation/Context Analysis: Polluting stoves, smoke inhalation, poor health
Step 2: Clarify Program Goals

- Decrease usage of solid fuels

- Reduce indoor air pollution
  - Get households to use improved stoves
  - Reduce the smoke the cook and other members of the household inhaled

- Improve health outcomes
  - Less asthma, lung infections
  - Improve health of all household members
Building a TOC – Step 2: Clarify Program Goals

Situation/Context Analysis: Polluting stoves, smoke inhalation, poor health

GOAL
Health outcomes improve
Step 3: Design the program

• Subsidize cost of improved cook stoves

• Construct improved cook stoves for households

• Training sessions encouraging use of improved cook stoves and their proper use
Building a TOC – Step 3: Design Program

**INPUT**
Build improved cook stoves

**GOAL**
Health outcomes improve

**Situation/Context Analysis:** Polluting stoves, smoke inhalation, poor health
Step 4: Mapping the causal pathway

- Step-by-step laying out the theory connecting your product/program to the goal
- Series of if…/then… statements forming results chain
Building a TOC – Step 4: Map Causal Pathway

**INPUT**
- Build improved cook stoves

**OUTPUT**
- Households use improved cook stoves

**OUTCOME**
- Indoor air pollution decreases

**GOAL**
- Health outcomes improve

**Situation/Context Analysis:** Polluting stoves, smoke inhalation, poor health
Step 5: Explicit assumptions

Assumptions are the key to unlocking the theory of change thinking

Household use clean cookstoves...
...and improve health outcomes
Households use clean cookstoves…

• Do current cooking methods pollute the household?
• Can providing them with new stoves increase use?
• What works?
• Where are the holes?
and improve health outcomes

• Are household members ill because of pollution?
• What is necessary to protect their health?
• What is working?
• Where are the holes?
Building a TOC – Step 5: Explicit Assumptions

**INPUT**

- Build improved cook stoves

**OUTPUT**

- Households use improved cook stoves

**OUTCOME**

- Indoor air pollution decreases

**GOAL**

- Health outcomes improve

**Situation/Context Analysis:** Polluting stoves, smoke inhalation, poor health

- Improved stoves are available
- HH accept the stove
- HH know how to use the stove
- Cook stove is functional
- HH use & maintain stove properly
- Improved cook stoves are cleaner
- No compensating source of pollution
- Replace other cooking methods
Step 6: Design indicators

• Indicators v. levels of results (goal, outcome, output, input)

• Indicators are signals of change, measures of progress
Good indicators

- Quantitative and qualitative

- Standard of comparison (i.e. baseline v. endline, defining “high-quality,” etc.)

- SMART
  - Specific
  - Measurable
  - Achievable
  - Reliable
  - Time-bound
Some ways to measure outcomes…

- Awareness
  - “Do you know that traditional cook stoves are bad for your health?”

- Availability
  - Market research

- Affordability
  - Price of improved cook stoves if available

- Impact
  - Test for levels of Carbon Monoxide (CO) in exhaled breath to measure for smoke inhalation
  - Other tests and self-reporting to measure health outcomes
Building a TOC – Step 6: Indicators

**INPUT**
- Improved cook stove installed in households

**OUTPUT**
- Number of meals cooked on improved stoves.
- Stove condition, breakages and repairs, fuel use

**OUTCOME**
- Concentration of carbon monoxide in exhaled breath

**GOAL**
- Health outcomes improve

**Situation/Context Analysis:**
- Polluting stoves, smoke inhalation, poor health

**INPUT**:
- Build improved cook stoves

**OUTPUT**:
- Households use improved cook stoves

**OUTCOME**:
- Indoor air pollution decreases

**GOAL**:
- Health checks, spirometry test, respiratory system check

**Details**:
- Improved stoves are available
- HH accept the stove
- HH know how to use the stove
- Cook stove is functional
- HH use & maintain stove properly
- Improved cook stoves are cleaner
- No compensating source of pollution
- Replace other cooking methods
Step 7: Convert to Logical Framework

• Many of you will use “LogFrames” which are often enshrined in results – based contracts

• Going through the theory of change exercise helps us focus on causal mechanisms and building blocks of why programmes work even more explicitly

• And should lead to even better program design and outcomes
### Building a TOC – Step 7: Convert to LogFrame

<table>
<thead>
<tr>
<th></th>
<th>Objectives</th>
<th>Indicators</th>
<th>Sources of Verification</th>
<th>Assumptions / Threats</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>GOAL</strong></td>
<td>Improved health outcomes</td>
<td>Well-functioning respiratory system</td>
<td>Health checks by trained professional</td>
<td>No other accompanying changes in behavior. Continued use of stoves over time</td>
</tr>
<tr>
<td><strong>OUTCOME</strong></td>
<td>Indoor air pollution decreases</td>
<td>Concentration of carbon monoxide in exhaled breath</td>
<td>Household survey, health checks</td>
<td>Stoves are cleaner, emit less CO2. No other compensating source of pollution. Replace other cooking methods</td>
</tr>
<tr>
<td><strong>OUTPUTS</strong></td>
<td>Households use improved cook stoves</td>
<td>Number meals cooked on stoves. Stove condition: breakages, repairs, fuel use</td>
<td>Household survey, observational visits</td>
<td>HH know how to use stove. Stove is properly maintained. Stove is of good quality</td>
</tr>
<tr>
<td><strong>INPUTS</strong></td>
<td>Improved cook stoves are constructed</td>
<td>Installation of improved stoves in homes</td>
<td>Branch visits/surveys</td>
<td>Improved stoves are accessible. Subsidized price is affordable.</td>
</tr>
</tbody>
</table>
Households use clean cookstoves… …and improve health outcomes?

• “Respiratory tests of lung functioning, as well as a battery of health measures, both observed and self-reported… confirms that being offered a stove had no impact on health outcomes.”

• What went wrong?
Building a TOC – Step 5: Explicit Assumptions

**INPUT**
- Build improved cook stoves

**OUTPUT**
- Households use improved cook stoves

**OUTCOME**
- Indoor air pollution decreases

**GOAL**
- Health outcomes improve

**INPUT DETAIL**
- Improved stoves are available
- HH accept the stove

**OUTPUT DETAIL**
- HH know how to use the stove
- **Cook stove is functional**
- HH use & maintain stove properly

**OUTCOME DETAIL**
- Improved cook stoves are cleaner
- No compensating source of pollution
- **Replace other cooking methods**
What are the holes...

• A high share of cookstoves break

• Households continue to use other methods of cooking – thus, no reduction in CO2 emissions
How can we fill those holes?

• Ensure better quality
  • Better support for broken cookstoves

• Ensure clean stoves replace other cooking methods
  • Make clean cookstoves more convenient
  • Reduce need for extra burner
  • Train on use of new stoves in lieu of old methods
Lessons

• Conceptualizing, designing, and planning interventions
• Learning from other programs – successes and failures
• Course corrections and learning as you go
• Understanding why things work – or don’t
THEORY OF CHANGE

Kigali, Rwanda
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