THEORY OF CHANGE: DEFINING GOALS AND EVALUATING

CCC FELLOWS TRAINING

September 29th 2020
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Wow, your program was developed using research based theory. I think ours is based off of some rich guy's gut instinct.

freshspectrum.com

1) Learning about theory of change as a tool to improve both program design and evaluation design

2) Practice thinking about ToC and evaluation strategies together

3) Apply how these tools can be used on your current projects

WHAT ARE WE DOING TODAY?

LEARNING OBJECTIVES

1. Increase understanding of the purpose(s) of a Theory of Change

2. Increase comfort writing goal statements and defining "success"

3. Better distinguish between outputs / outcomes / impacts

4. Gain familiarity with the various aspects of evaluation

5. Better able to apply TOC in CCC project

6. Better able to design evaluation

7. More likely to use TOC in future conservation projects

8. More likely to include evaluation in project design

AGENDA: 1- 4PM

Part 1: ToC & Evaluation - How do they relate and why do they matter?

Part 2: Writing 'Good' Goals

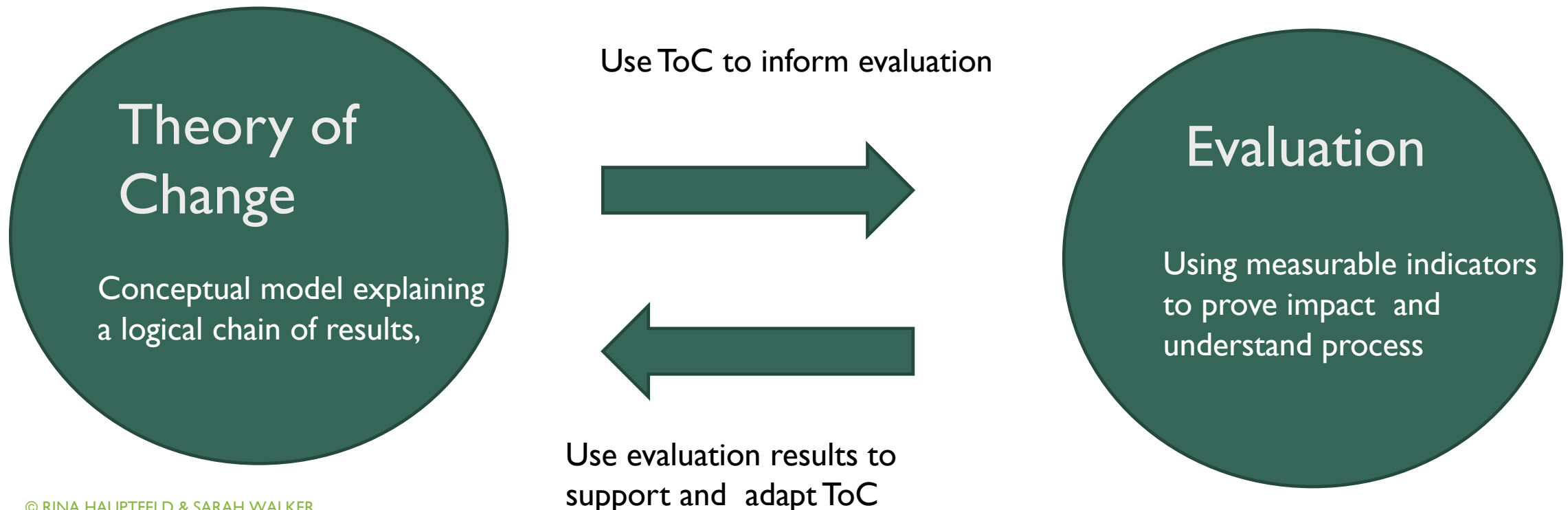Part 3: Creating ToC and writing objectives

BREAK (15 min)

Part 4: Evaluation – Identifying purpose, indicators and more

Part 5: Bringing it all together

# EVALUATION & TOC: WHAT ARE THEY AND WHY DO THEY MATTER?

- Are we having the impact we want to? How could we do our work better? How do we show funders and other stakeholders that our work matters?

Use ToC to inform evaluation

Theory of Change

Conceptual model explaining a logical chain of results,

Evaluation

Using measurable indicators to prove impact and understand process

Use evaluation results to support and adapt ToC

START WITH GOALS

- Determining goals = a first step in a logic model
    - Helps determine evaluation type & metrics
- A well written goal statement has 2 parts

    Impact + Strategy

- For example, the goal of today's workshop is to:

Impact

Increase the conservation impact of CC fellows' work by enhancing their understanding of and ability to apply evaluation and ToC tools in their work.

Strategy
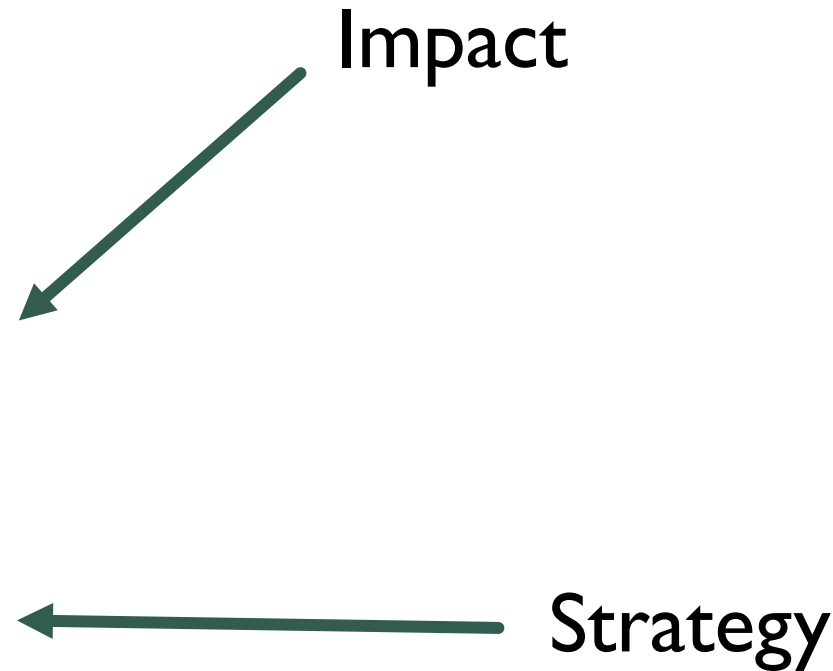
LET'S COME UP WITH A GOAL TOGETHER

- Goals = the intended impact of the program / intervention

- Activity 1: Center for Collaborative Conservation Fellow's Program.

Take 3 minutes and write down what you believe the goals of the fellowship program are

# WHAT'S THE GOAL FOR YOUR PROJECT?

Activity 2:

BREAK OUT ROOMS: 10 minutes

If you already have goals written from your proposal, evaluate them based on the impact criteria. If not, work in your teams to write new ones.

USING THEORY OF CHANGE

- Purpose of ToC: show the 'logic' between your strategy and your desired impact

- Caveat: This field is full of arbitrary and confusing language - ask for clarification (especially from funders)
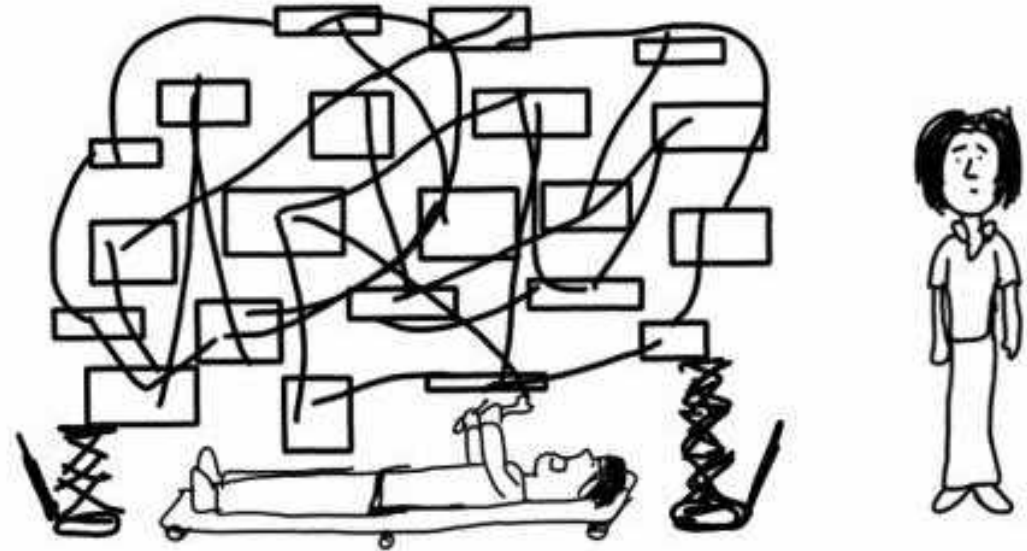
So, I'm guessing this is for a comprehensive program-level intervention

freshspectrum.com

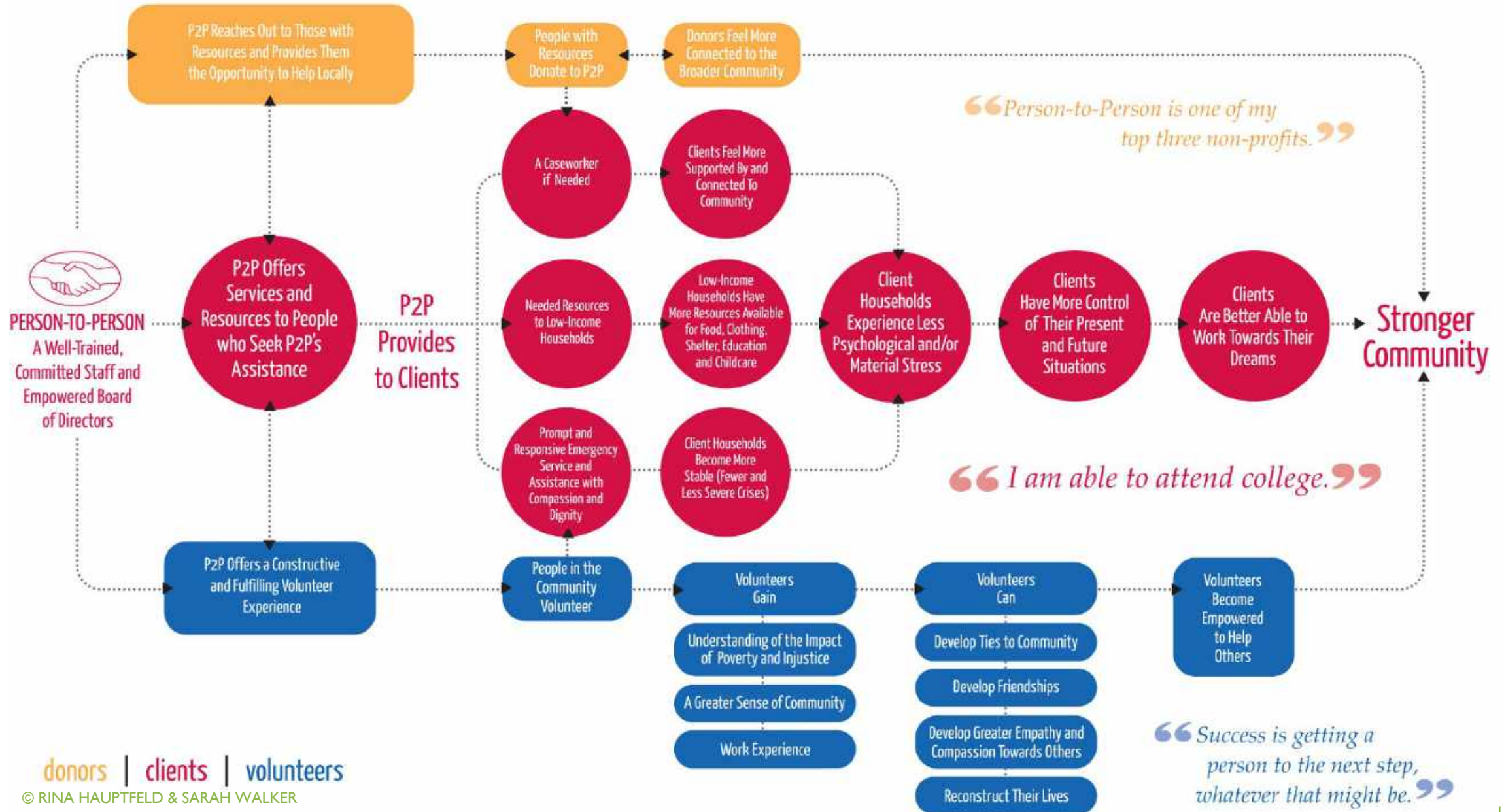|	Activity	Output	Outcome	Impact
Definition	What are you actually doing?	Immediate result of your activities	Cascading short term result of output ,tends to be less concrete	Big goal, usually long term and more abstract
Example: This training				
Example: CCC Fellows Program				

BUILDING YOUR LOGIC MODEL

Key parameters

Broad type of programme, Philosophy of intervention, Level of prevention, Target population, Modality, Infrastructure

ROOT CAUSES	NEED	RESOURCES (inputs)	ACTIVITIES (outputs)	IMPLEMENTATION OUTCOMES	MECHANISMS OF CHANGE	OUTCOME(S)
The factors that lead to or **cause the need** or **problem**	The specific **need(s)**, **problem(s)** or **issue(s)** the intervention addresses	The **resources required** to address the need	What is **done or provided** to address the need and lead to change	Change(s) for **practitioners, organisations or systems** arising from the activities	**Participants' responses and learning** from the activities *(understanding, thinking, feeling)*	The **change(s) that should result for participants** *(behaviours, practices, relationships, states)*

https://www.nature.com/articles/s41599-018-0139-z

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The Theory of Change

https://p2phelps.org/our-story/theory-of-change/

WHAT'S THE THEORY OF CHANGE FOR YOUR PROJECT?

Activity 3:

BREAK OUT ROOMS: 20 minutes

Come up with impact, outcome, output, and activity of your projects and write an objective for your project.

Try and focus on the collaborative impacts of your project

	Activity	Output	Outcome	Impact
Definition	What are you actually doing?	Immediate result of your input	Cascading short term result of output, tends to be less concrete	Big goal, usually long term and more abstract
Objectives:		Focus your objectives/indicators of project success here, based on your timeline.		Might be possible to focus your objectives here, but probably outside the your timeline

CONNECTING TOC WITH EVALUATION

Break: 10 Minutes

EVALUATING YOUR PROJECTS, *AN INTRODUCTION*

- ## What is the difference between research v. evaluation?

  - Using collaboration v. Studying collaboration

This **research** is really going to help move our field forward.

This **evaluation** is really going to help our program become more effective.

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- Purpose(s)

- Timing

- Scale

- Indices

- Methods / Design / Analyses

- Who

WHAT DO WE NEED TO CONSIDER TO EVALUATE?

PURPOSE(S) OF EVALUATION

- Activity 4:

What are the general purpose(s) of evaluation ?

https://margiewarrell.com/live-from-purpose/

PURPOSE(S) OF EVALUATION

1. ## Get a baseline

   - *Where are we starting from?*

2. ## Get a sense of change (outcomes) (due to an intervention)

   - *What is the impact? Is progress being made toward an outcome?*

3. ## Get a sense for differences (outcomes) (b/w interventions)

   - *Which is the better approach?*

4. ## Get a sense for inputs / processes causing outcomes

   - *Which element is most important?*

https://margiewarrell.com/live-from-purpose/

PURPOSE(S) OF EVALUATION

1. Get a baseline

2. Get a sense of change (outcomes) (due to an intervention)

3. Get a sense for differences (outcomes) _b/w_ interventions

4. Get a sense for inputs / processes _causing_ outcomes

A. Closed:
   - Compare actual changes to expected changes (e.g., goals*, theory, an ideal…)

B. Open:
   A. Track _any_ changes

WHAT'S THE PURPOSE OF YOUR EVALUATION?

Activity 5:

BREAKOUT ROOMS: 10 minutes

Come up with evaluation purpose(s) for your project.

Try to focus on the collaborative impacts of your project.

TIMING OF EVALUATION

1. Start : 'Diagnostic'

   - *to identify initial status for comparison; or gaps for planning*

2. Midcourse / Iterative / Ongoing : 'Formative'

   - *to get feedback and make decisions to improve during process*

3. End / Retrospective : 'Summative'

   - *to determine performance:*

     - *Effectiveness / Goal evaluation*

     - *Implementation evaluation*

https://thepeakperformancecenter.com

SCALE OF EVALUATION

1. Individual
2. Organizational
3. Community
4. System

- Project outcomes
- Agency functioning
- Funder impacts

https://margiewarrell.com/live-from-purpose/

1. Process
2. Outcomes

→

1. Process
   A. *Ex: Inclusiveness; transparency, shared vision*
2. Outcomes
   A. Perceptual
   B. Tangible

→

1. Process
   1. *Ex: Inclusiveness; transparency, shared vision*
2. Outcomes
   A. Perceptual
      i. *Ex: Attitudes; relationships*
   B. Tangible
      i. Biophysical
      ii. Agreements
      iii. Socio-cultural-economic

Adapted from Conley and Moote, 2003

METHODS & DATA TYPE (INTRO)

Strongly depend on the purpose, timing & indicators

		Process	**Perceptual**	**'Outcome'**
Interviews	Qualitative	✓	✓	✓
Participant observation	Qualitative	✓		✓
Document analysis	Qual / Quant	✓		✓
Surveys (constructs)	Quantitative		✓	✓
Focus Groups	Qualitative		✓	✓
Free lists	Qual / Quant		✓	
Ranking or sorting exercises	Qualitative		✓	✓
Flow charts	Qualitative	✓	✓	
Mapping / diagramming	Qualitative			✓
SNA	Quantitative			✓
Self-assessments	Qual/ Quant		✓	✓

WHO IS / SHOULD CONDUCT THE EVALUATION

1. Neutral 3rd party (ecological)
2. Intimately familiar with process (human)
3. Involved in process v. Affected by it

	Activity	Output	Outcome	Impact
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Objectives:		Focus your objectives here, based on your timeline.		Might be possible to focus your objectives here, but probably outside the your timeline

Remember SMART – Specific, measurable, attainable, realistic, timebound

MOVING TOWARDS EVALUATION

EXERCISE – PREPPING YOUR EVALUATION

- Purpose(s)

- Timing

- Scale

- Indicators

- Methods / Design / Analyses

- Who

Activity 6:

- ■ BREAKOUT ROOMS: 15 min

In your teams… work through all the evaluation elements for your projects, identifying at least one answer in evaluation category

PARTICIPATORY MONITORING

- PM&E Principles:

  - Strengthening participation - *Balance power, co-control over initiatives & decision-making*

  - Negotiation & Flexibility - *Commitment to working through different views & modifying strategies*

  - Shared learning - *To create conducive conditions for action & change*

- **NOT** a toolbox of methods

https://enterprisersproject.com/article/2018/7/innovation-all-about-collaboration-architecture-and-culture

Adapted from Onyango, 2018, SSWM.info

PARTICIPATORY MONITORING

- PM&E Principles:

  - Strengthening participation - *Balance power, co-control over initiatives & decision-making*

    - Who participates; Whose voices are emphasized

    - Roles ppl/groups can & should play

  - Negotiation & Flexibility - *Commitment to working through different views & modifying strategies*

    - On all eval steps

    - When context / goalposts change, or data low reliability

  - Shared learning - *To create conducive conditions for action & change*

    - Cyclical: schedule learning sessions

    - Capacity building

https://enterprisersproject.com/article/2018/7/innovation-all-about-collaboration-architecture-and-culture

Adapted from Onyango, 2018, SSWM.info

PARTICIPATORY MONITORING

- Step 1: Establish framework [See EVAL slides!]

- Step 2: Gather data [See EVAL slides!]

- Step 3: Analyze data

- Step 4: Share findings

- Step 5: Define actions

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- Step 1: Establish framework

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PARTICIPATORY MONITORING

- Step 1: Establish framework
  - Who will participate
  - What's the joint focus
  - How it should be conducted & used
    - (design / adapt methods and indicators)
  - What actions should result
- Step 2: Gather data
- Step 3: Analyze data
- Step 4: Share findings
- Step 5: Define actions

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PARTICIPATORY MONITORING

- Step 1: Establish issue / goals
- **Step 2: Gather data**
    - Participatory Rural Appraisal
    - Community mapping
    - Problem ranking
    - Beneficiary assessment
    - Conversational interviewing
    - Visual self-evaluation tools
- Step 3: Analyze data
- Step 4: Share findings
- Step 5: Define actions

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PARTICIPATORY MONITORING

- Step 1: Establish framework

- Step 2: Gather data

- Step 3: Analyze data

  - Expert-driven technical analysis

- Step 4: Share findings

  - Stakeholders

    - Analysis of successes, constraints, lessons learned

- Step 5: Define actions

https://enterprisersproject.com/article/2018/7/innovation-all-about-collaboration-architecture-and-culture

Adapted from Onyango, 2018, SSWM.info

MAKING YOUR MONITORING MORE PARTICIPATORY

- Steps:
  - Step 1: Establish framework
  - Step 2: Gather data
  - Step 3: Analyze data
  - Step 4: Share findings
  - Step 5: Define actions
- Principles:
  - Participation
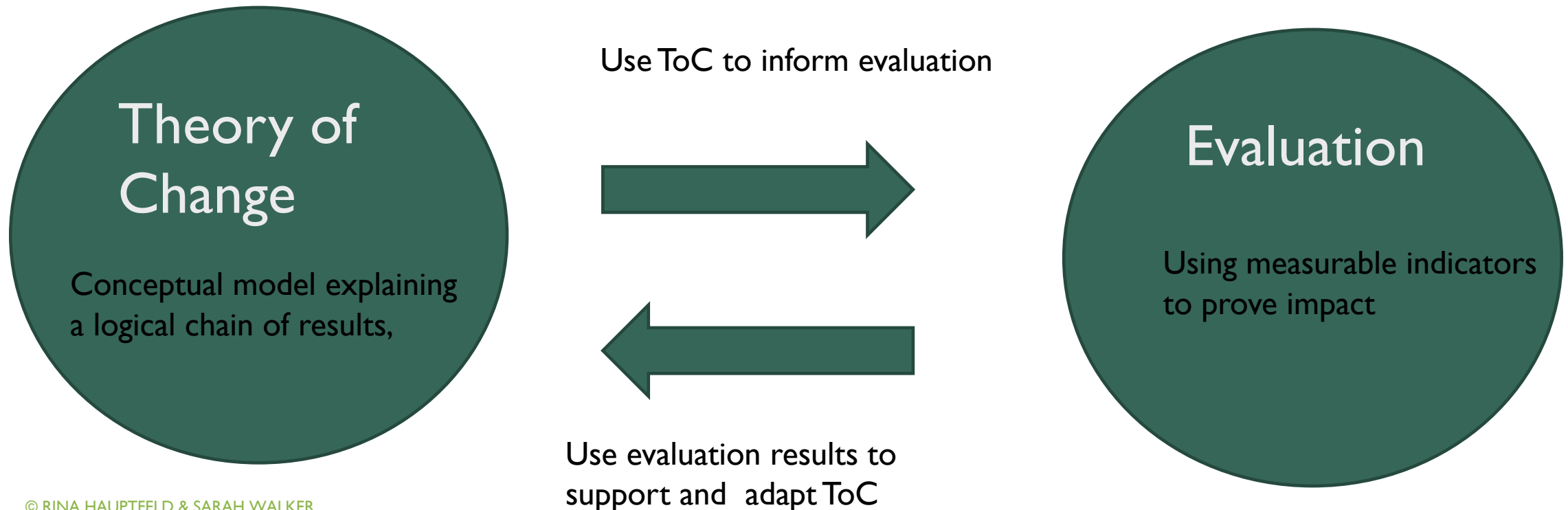 - Negotiation & Flexibility
  - Shared learning

Activity 7:

- BREAKOUT ROOMS: 15 min

In your teams… identify

(i) *where (at which steps) you can enhance participation in your evaluation,*

(ii) *with whom, and*

(iii) *(potentially) how*

EVALUATION & TOC: WHAT ARE THEY AND WHY DO THEY MATTER?

- Using ToC models results in clearer goals, easier evaluation and better strategies

Theory of Change

Conceptual model explaining a logical chain of results,

Use ToC to inform evaluation

Evaluation

Using measurable indicators to prove impact

Use evaluation results to support and adapt ToC

PARKING LOT ITEMS

Questions & Comments?

RESOURCES

- Evaluating collaboration: Conley, Alexander, and Margaret A Moote. 2003. "Evaluating Collaborative Natural Resource Management." *Society and Natural Resources* 16: 371–86. https://doi.org/10.1080/08941920390190032.

- CDC Types of Evaluation https://www.cdc.gov/std/program/pupestd/types%20of%20evaluation.pdf

- Participatory monitoring and evaluation:

  - Onyango, Rohin Otieno. 2018. "Participatory Monitoring and Evaluation : An Overview of Guiding Pedagogical Principles and Implications on Development" 5 (4): 428–33.

  - https://sswm.info/arctic-wash/module-3-health-risk-assessment/further-resources-participatory-approaches-and-health/participatory-monitoring-and-evaluation