THEORY OF CHANGE: DEFINING GOALS AND EVALUATING

CCC FELLOWS TRAINING

Wow, your program was developed using research based theory. I think ours is based off of some rich guy’s gut instinct.
WHAT ARE WE DOING TODAY?

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
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?

Theory of Change
Conceptual model explaining a logical chain of results,

Use ToC to inform evaluation

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:

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

Impact

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)
### BUILDING YOUR LOGIC MODEL

<table>
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<td>What are you actually doing?</td>
<td>Immediate result of your activities</td>
<td>Cascading short term result of output, tends to be less concrete</td>
<td>Big goal, usually long term and more abstract</td>
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<tr>
<td><strong>Example:</strong> This training</td>
<td></td>
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<tr>
<td><strong>Example:</strong> CCC Fellows Program</td>
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</tbody>
</table>
### Key parameters

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

<table>
<thead>
<tr>
<th></th>
<th>ROOT CAUSES</th>
<th>NEED</th>
<th>RESOURCES (inputs)</th>
<th>ACTIVITIES (outputs)</th>
<th>IMPLEMENTATION OUTCOMES</th>
<th>MECHANISMS OF CHANGE</th>
<th>OUTCOME(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The factors that lead to or cause the need or problem</td>
<td>The specific need(s), problem(s) or issue(s) the intervention addresses</td>
<td>The resources required to address the need</td>
<td>What is done or provided to address the need and lead to change</td>
<td>Change(s) for practitioners, organisations or systems arising from the activities</td>
<td>Participants’ responses and learning from the activities (understanding, thinking, feeling)</td>
<td>The change(s) that should result for participants (behaviours, practices, relationships, states)</td>
<td></td>
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https://www.nature.com/articles/s41599-018-0139-z

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The Theory of Change

PERSON-TO-PERSON
A Well-Trained, Committed Staff and Empowered Board of Directors

P2P Offers Services and Resources to People who Seek P2P’s Assistance

P2P Provides to Clients

P2P Offers a Constructive and Fulfilling Volunteer Experience

People in the Community Volunteer

Volunteers Gain
- Understanding of the Impact of Poverty and Injustice
- A Greater Sense of Community
- Work Experience

Volunteers Can
- Develop Ties in Community
- Develop Friendships
- Develop Greater Empathy and Compassion Towards Others
- Reconstruct Their Lives

Clients Have More Control of Their Present and Future Situations

Clients Are Better Able to Work Towards Their Dreams

Clients Experience Less Psychological and/or Material Stress

Low Income Households Become More Stable (Fewer and Less Severe Crises)

Prompt and Responsive Emergency Service and Assistance, with Compassion and Dignity

Newest Resources to Low-Income Households

Clients Feel More Supported in and Connected to Community

A Careworker If Needed

Donors Feel More Connected to the Broader Community

People with Resources Donate to P2P

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Person-to-Person is one of my top three non-profits.

I am able to attend college.

Success is getting a person to the next step, whatever that might be.

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.
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<td>Focus your objectives/indicators of project success here, based on your timeline.</td>
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<td>Might be possible to focus your objectives here, but probably outside the your timeline</td>
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Break: 10 Minutes
• What is the difference between research v. evaluation?
  • Using collaboration v. Studying collaboration
<table>
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<tr>
<th>WHAT DO WE NEED TO CONSIDER TO EVALUATE?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Purpose(s)</td>
</tr>
<tr>
<td>• Timing</td>
</tr>
<tr>
<td>• Scale</td>
</tr>
<tr>
<td>• Indices</td>
</tr>
<tr>
<td>• Methods / Design / Analyses</td>
</tr>
<tr>
<td>• Who</td>
</tr>
</tbody>
</table>
Activity 4:

What are the general purpose(s) of evaluation?
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?
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

   - to get feedback and make decisions to improve during process

3. End / Retrospective : ‘Summative’
   - to determine performance:
     - Effectiveness / Goal evaluation
     - Implementation evaluation
SCALE OF EVALUATION

1. Individual
   - Project outcomes
2. Organizational
   - Agency functioning
3. Community
   - Funder impacts
4. System
(COLLABORATION) INDICATOR CATEGORIES

1. Process
   A. Ex: Inclusiveness; transparency, shared vision

2. Outcomes
   A. Perceptual
   B. Tangible

1. Process
   A. Ex: Inclusiveness; transparency, shared vision

2. Outcomes
   A. Perceptual
      i. Ex: Attitudes; relationships
   B. Tangible
      i. Biophysical
      ii. Agreements
      iii. Socio-cultural-economic
**METHODS & DATA TYPE (INTRO)**

*Strongly* depend on the purpose, timing & indicators

<table>
<thead>
<tr>
<th>Method</th>
<th>Type</th>
<th>Process</th>
<th>Perceptual</th>
<th>‘Outcome’</th>
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<tbody>
<tr>
<td>Interviews</td>
<td>Qualitative</td>
<td>✔️</td>
<td>✔️</td>
<td>✔️</td>
</tr>
<tr>
<td>Participant observation</td>
<td>Qualitative</td>
<td>✔️</td>
<td>✔️</td>
<td>✔️</td>
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<tr>
<td>Document analysis</td>
<td>Qual / Quant</td>
<td>✔️</td>
<td>✔️</td>
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<tr>
<td>Surveys (constructs)</td>
<td>Quantitative</td>
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<tr>
<td>Focus Groups</td>
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<tr>
<td>Free lists</td>
<td>Qual / Quant</td>
<td>✔️</td>
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<tr>
<td>Ranking or sorting exercises</td>
<td>Qualitative</td>
<td>✔️</td>
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<td>Flow charts</td>
<td>Qualitative</td>
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<td>Mapping / diagramming</td>
<td>Qualitative</td>
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<td>SNA</td>
<td>Quantitative</td>
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<td>Self-assessments</td>
<td>Qual / Quant</td>
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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
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**EXERCISE – PREPPING YOUR EVALUATION**

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**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


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

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

PARTICIPATORY MONITORING

- Step 1: Establish framework
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Adapted from Onyango, 2018, SSWM.info

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

Adapted from Onyango, 2018, SSWM.info

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**

Adapted from Onyango, 2018, SSWM.info
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**

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

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PARKING LOT ITEMS
Questions & Comments?
RESOURCES


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

- Participatory monitoring and evaluation: