

Theory of Change

A methodology for:

planning,

implementation,

Evaluation.

To promote economic, environmental, social change.

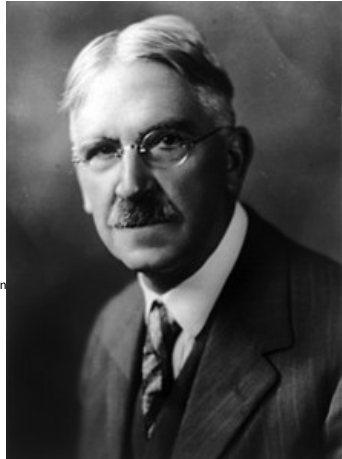
First: Defines long-term goals

Then: maps backward to identify necessary preconditions.

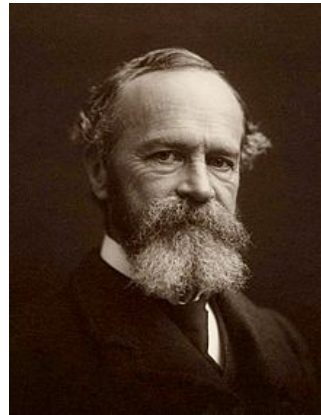


PRAGMATISM

- A philosophical tradition begun in the US around 1870



John Dewey



William James

Accepts logical thought as an instrument or tool for prediction, problem solving and action.

Rejects the Cartesian idea that the function of logical thought is to describe, represent, or mirror reality.

DEVELOPMENT THEORY

Actually a collection of theories about how change takes place:

- Modernization Theory
- Dependency Theory
- Basic Needs Theory
- Neo-Classical Theory
- Structuralism
- Sustainable Development
- Human Development Theory
- Post Development Theory

IN PRACTICE: WHAT IS DEVELOPMENT?

- CHANGE FROM THE STATUS QUO by....

WHAT IS DEVELOPMENT?

- CHANGE FROM THE STATUS QUO by....
- TURNING RESEARCH TO ACTION that....

WHAT IS DEVELOPMENT?

- CHANGE FROM THE STATUS QUO by....
- TURNING RESEARCH TO ACTION that....
- MOVES TOWARD A DESIRED STATE FROM A LESS DESIRED STATE and

WHAT IS DEVELOPMENT?

- CHANGE FROM THE STATUS QUO by....
- TURNING RESEARCH TO ACTION that....
- MOVES TOWARD A DESIRED STATE FROM A LESS DESIRED STATE and....
- CARRIED OUT IN AN ORDERLY AND PLANNED MANNER THROUGH PROJECTS

THEORY OF CHANGE



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PROBLEM

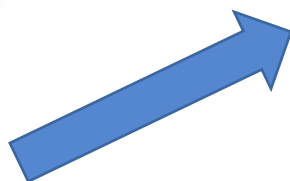
CONCEPTION



PROBLEM



PROJECT

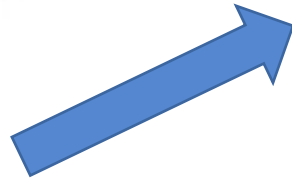


CONCEPTION

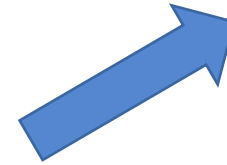
ACTION



PROBLEM



PROJECT



PROGRAM

CONCEPTION

ACTION

SUSTAINABILITY

LEADERS OF CHANGE

ROLES and RESPONSIBILITIES



EFFECTIVELY MANAGING PROJECTS within PROGRAMS

PARTICIPATION and EMPOWERMENT

EMPOWERMENT



Beneficiary

PARTICIPATION

PARTICIPATION and EMPOWERMENT

EMPOWERMENT



Beneficiary



Worker

PARTICIPATION

PARTICIPATION and EMPOWERMENT

EMPOWERMENT



Beneficiary



Worker



Acquiring
skills & knowledge

PARTICIPATION

PARTICIPATION and EMPOWERMENT

EMPOWERMENT



Beneficiary



Worker



Acquiring
skills & knowledge



Manager, decision
maker

PARTICIPATION

PARTICIPATION and EMPOWERMENT

EMPOWERMENT



Beneficiary



Worker



Acquiring
skills & knowledge



Manager, decision
maker



Policy maker

PARTICIPATION

PARTICIPATION and EMPOWERMENT

EMPOWERMENT



Beneficiary



Worker



Acquiring
skills & knowledge



Manager, decision
maker



Policy maker



Owner of equity

PARTICIPATION

WE BEGIN WITH A “PROBLEM”

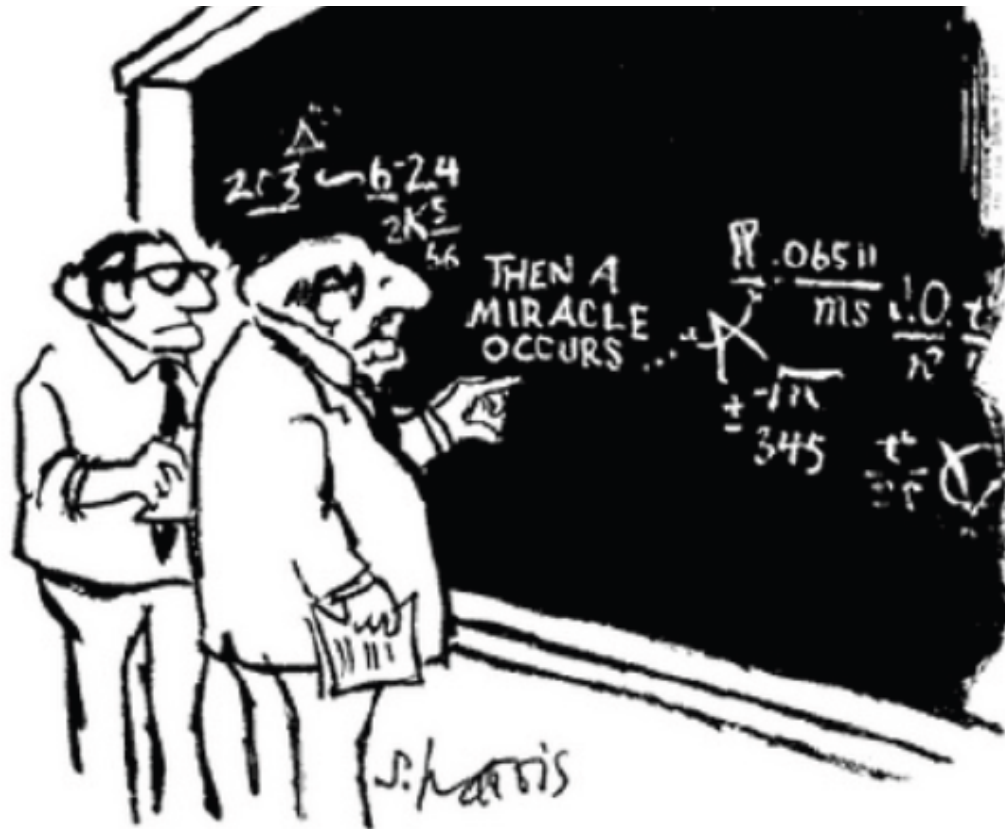
SO, WHAT’S THE PROBLEM?



PROBLEM

AN UNDESIRED STATE:.....

A LACK OF SUFFICIENT INFORMATION?



"I think you should be more explicit here in step two."

PROBLEM

AN UNDESIRE STATE:.....

AN EXISTING CONDITION NECESSITATING REARRANGEMENT?



PROBLEM

AN UNDESIRED STATE:.....

A HARMFUL SITUATION?



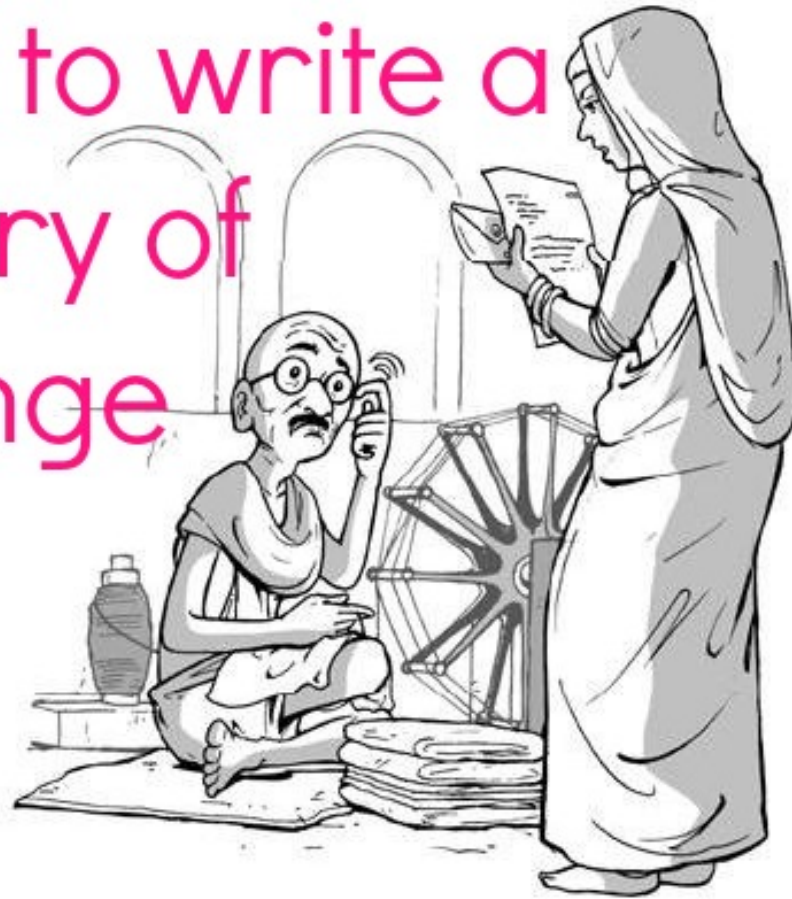
PROBLEM

AN UNDESIRED STATE:.....

A CHALLENGE?



How to write a theory of change





PROBLEM

CONCEPTION

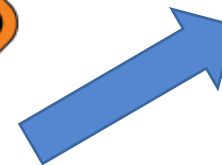
HYPOTHESIS



PROJECT

ACTION

THEORY



PROGRAM

SUSTAINABILITY

FACT

HYPOTHESIS

Either a suggested explanation for an observable phenomenon, or a reasoned prediction as a first step in response to a question or problem

THEORY

A tested, well-substantiated, unifying explanation consistent with known researched results and having predictive power. As new knowledge is gained, theories are refined.

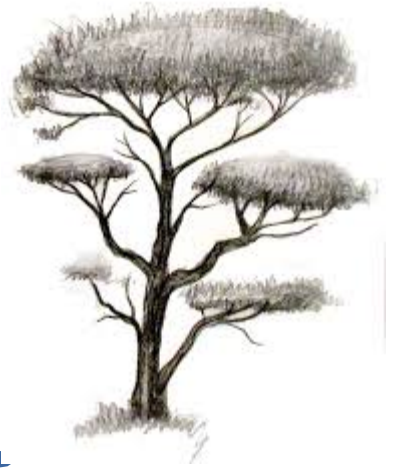
FACT

GROUNDED, MEASURABLE, OBSERVABLE REALITY

CREATING YOUR THEORY OF CHANGE



CHANGE
AHEAD



GREATER GOAL

Where is there?

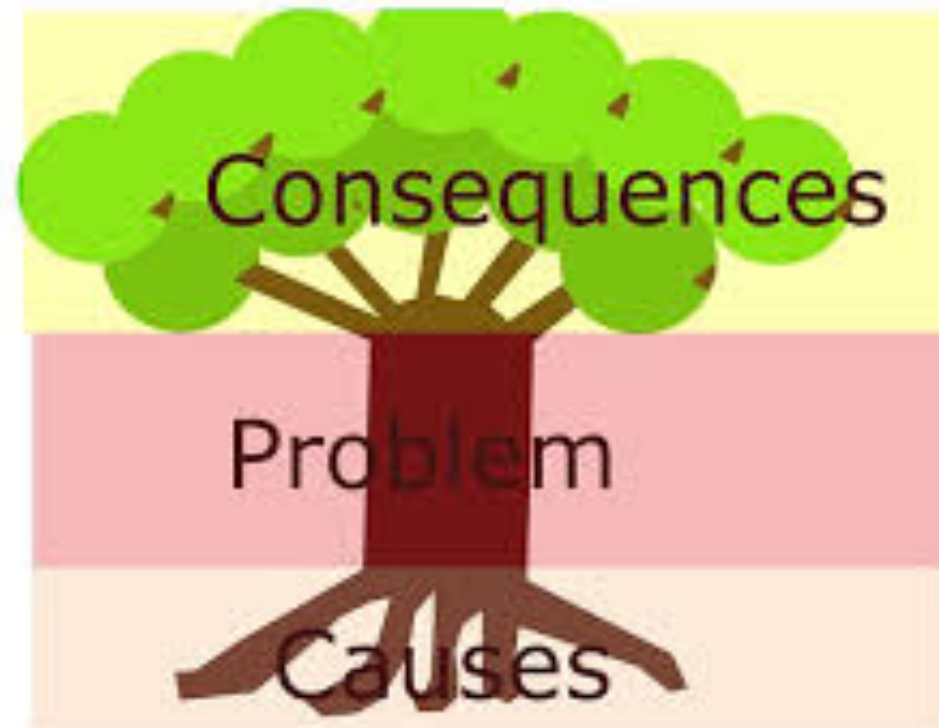


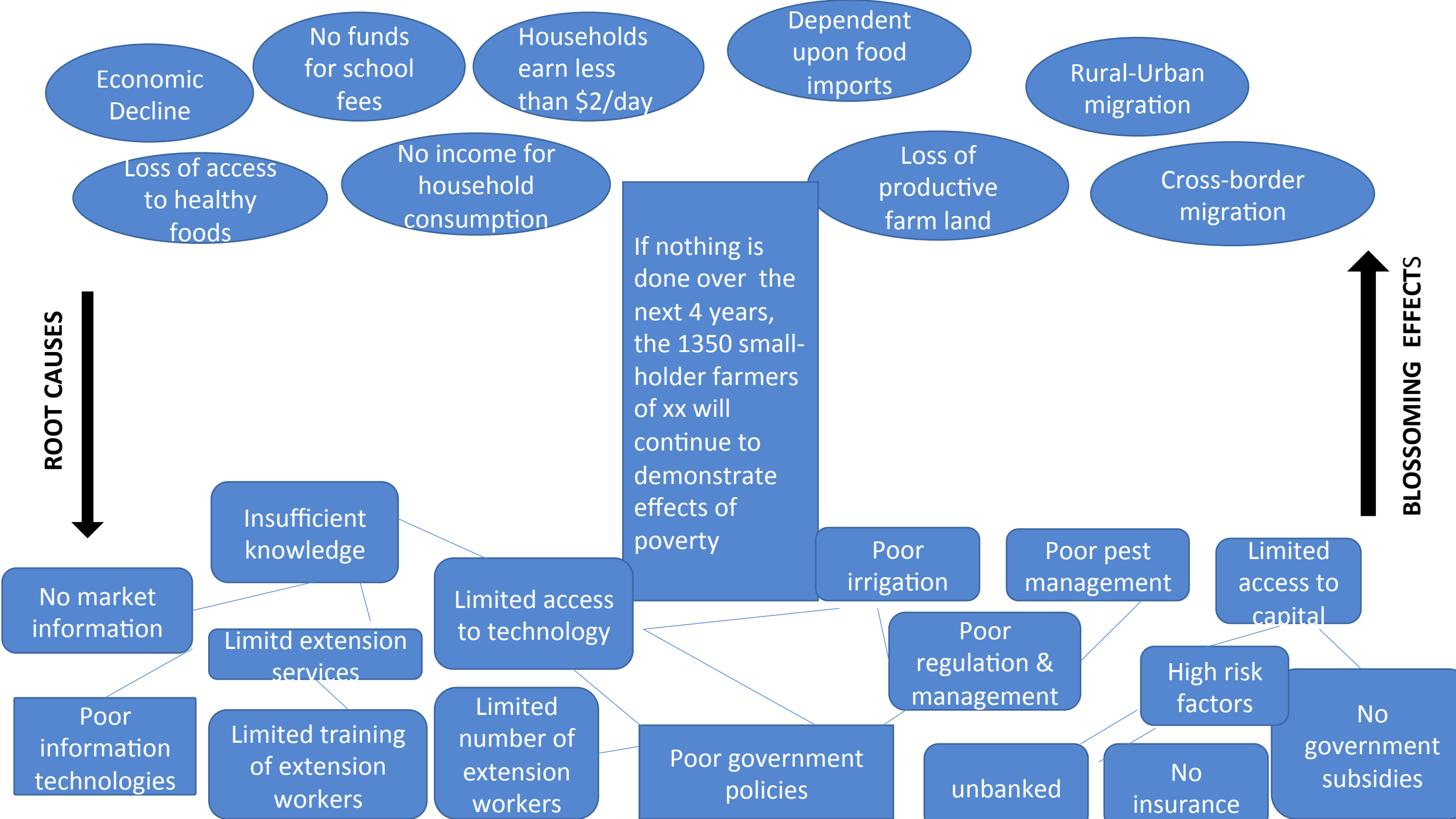
"IF I DO THIS WILL I GET THERE?"



CAUSE AND EFFECT

The Problem Tree





How Does Theory of Change Work?

How does it relate to the logical framework?

- Identifying long-term goals
- Backwards mapping and connecting the preconditions or requirements necessary to achieve that goal and explaining why these preconditions are necessary and sufficient.
- Identifying your basic assumptions about the context.
- Identifying the actions that your initiative will perform to create your desired change.
- Developing indicators to measure your outcomes to assess the performance of your initiative.
- Identify the means of measurement

GOAL

(END STATE, FACTS ON THE GROUND)

BUILDING A SMALLHOLDER FARMER COLLABORATIVE AMONG THE 1350 FARMERS OF
XXXX THAT INCLUDES PRODUCTION, PROCESSING, PACKAGING AND MARKETING

PROBLEM: SMALLHOLDER FARMERS DEMONSTRATING MEASURABLE EFFECTS OF POVERTY

GOAL

(END STATE, FACTS ON THE GROUND)

BUILDING A SMALLHOLDER FARMER COLLABORATIVE AMONG THE 1350 FARMERS OF XXXX THAT INCLUDES PRODUCTION, PROCESSING, PACKAGING AND MARKETING

IF TEN INDIVIDUAL 'SHARED INTEREST SAVINGS GROUPS' (SIGs) ARE FORMED AMONG 250 FARMERS

PROBLEM: SMALLHOLDER FARMERS DEMONSTRATING MEASURABLE EFFECTS OF POVERTY

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(END STATE, FACTS ON THE GROUND)

BUILDING A SMALLHOLDER FARMER COLLABORATIVE AMONG THE 1350 FARMERS OF XXXX THAT INCLUDES PRODUCTION, PROCESSING, PACKAGING AND MARKETING

THEN GROUP MEMBERS CAN ACQUIRE SUFFICIENT ECONOMIC POWER TO MAKE FINANCIAL DECISIONS
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PROBLEM: SMALLHOLDER FARMERS DEMONSTRATING MEASURABLE EFFECTS OF POVERTY

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IF FARM TECHNOLOGIES AND PRACTICES ARE INTRODUCED AT THE BI-WEEKLY SISGs MEETINGS...

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THEN INCOMES WILL RISE AND QUALITY OF LIFE IMPROVES AMONG MEMBERS ...

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IF PRODUCTION OF QUALITY INCREASES...

THEN INCOMES WILL RISE AND QUALITY OF LIFE IMPROVES AMONG MEMBERS ...

IF INFORMATION IS SHARED AND GOOD PRACTICES SPREAD...

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THEN MORE FARMERS WILL COLLABORATE IN VALUE CHAINS FROM INPUTS TO MARKETS

IF PRODUCTION OF QUALITY INCREASES...

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(END STATE, FACTS ON THE GROUND)

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OBJECTIVE 2

MORE FARMERS WILL COLLABORATE IN VALUE CHAINS FROM INPUTS TO MARKETS

OBJECTIVE 1

INCOMES WILL RISE AND QUALITY OF LIFE IMPROVES AMONG MEMBERS ...

OUTPUT 2

INFORMED DECISIONS WILL BE MADE REGARDING ADOPTING OR ADAPTING GOOD PRACTICE

OUTPUT 1

GROUP MEMBERS CAN ACQUIRE SUFFICIENT ECONOMIC POWER TO MAKE FINANCIAL DECISIONS

INPUT 2

FARM TECHNOLOGIES AND PRACTICES ARE INTRODUCED AT THE BI-WEEKLY SISGS MEETINGS...

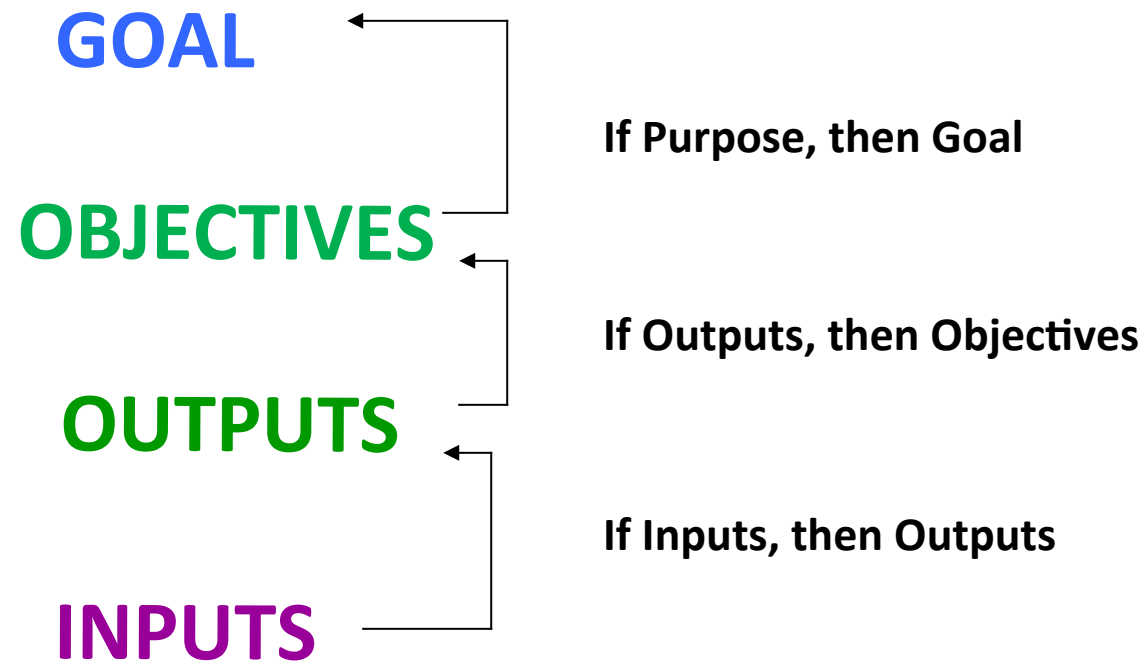
INPUT 1

TEN INDIVIDUAL 'SHARED INTEREST SAVINGS GROUPS' (SISGS) ARE FORMED AMONG 250 FARMERS

PROBLEM: SMALLHOLDER FARMERS DEMONSTRATING MEASURABLE EFFECTS OF POVERTY

Project Design Elements in a Logical Framework

We hypothesize that by transforming Inputs into Outputs we will achieve our Objectives, and, in turn, contribute to realizing the Goal.



Logical Framework Matrix

Core Elements of a Project's Design			
Narrative Summary	Indicators	Data Sources	Assumptions
Goal			
Objectives			
Outputs			
Inputs			

Roadmap for Project
Monitoring & Evaluation

Logical Framework for Summarizing Project Design

Project Title: Serbia Competitiveness Project Dates: 2007-2011 Funding: \$14.7 million
(semi-fictional EGAT training program version)

NARRATIVE SUMMARY	INDICATORS	DATA SOURCES	ASSUMPTIONS
<p><i>Program Goal:</i></p> <p>Economic Growth enhanced.</p>	<ul style="list-style-type: none"> Economic growth rate of better than 4% Positive trend in small business share of GDP 	<ul style="list-style-type: none"> Calculations involving existing sets of data on national and SME economic performance 	
<p><i>Project Purpose:</i></p> <p>Competitiveness of Serbian SMEs in twelve target sectors sustainability increased.</p>	<p><i>End of Project Status:</i></p> <ul style="list-style-type: none"> Sales revenue from SMEs in target sectors increase by 10% Share of SME products in target sector exports increased by 15% Ten percent increase in investment in target sector SMEs Jobs in target sector SMEs doubled. 	<ul style="list-style-type: none"> Firm specific baseline and post intervention data for a sample of SMEs in target sectors and for comparison first in the sector that were not assisted. 	<p><i>Affecting the purpose-to-goal link:</i></p> <ul style="list-style-type: none"> No significant internal/external economic shocks Political stability Changes in profile of larger industries and their contribution to GCP remains relatively stable
<p><i>Outputs:</i></p> <ol style="list-style-type: none"> Management practices in target SMEs improved. SME participation in market expansion/exporting expanded Regulatory environment for SME firms improved Awareness of private sector opportunities in 12 target sectors, and this project, increased. 	<ul style="list-style-type: none"> Scores on management status rating system improved by two ratings on average 20% increase in the number of SMEs engaged in deliberate market expansion activities At least 3 of 5 target laws/regulations changed 10% increase in SMEs demonstrably aware of opportunities in their sectors 	<ul style="list-style-type: none"> Standardized, participatory firm level management and financial management assessment system Annual competitive environment awareness survey. 	<p><i>Affecting output-to-purpose link:</i></p> <ul style="list-style-type: none"> Steady or growing domestic and/or international demand for target sector products Stable or increasingly favorable prices for inputs and final products Stable or improving transportation costs
<p><i>Inputs: Activities and Types of Resources</i></p> <ol style="list-style-type: none"> Sales and marketing assistance to SMEs in target sectors, e.g., trade shows, promotional campaigns, market research. Education & Training – executive education, financial management, etc. Policy advice & reform advocacy Public and media outreach 	<p><i>Level of Effort/Expenditures for each Activity</i></p>	<ul style="list-style-type: none"> Project records concerning the provision of inputs 	<p><i>Affecting input-to-output link:</i></p> <ul style="list-style-type: none"> No significant change in government attitude toward private sector

Theory
of
Change



Logical
Framework



Implementation
Plan



TAKING RESEARCH TO ACTION