



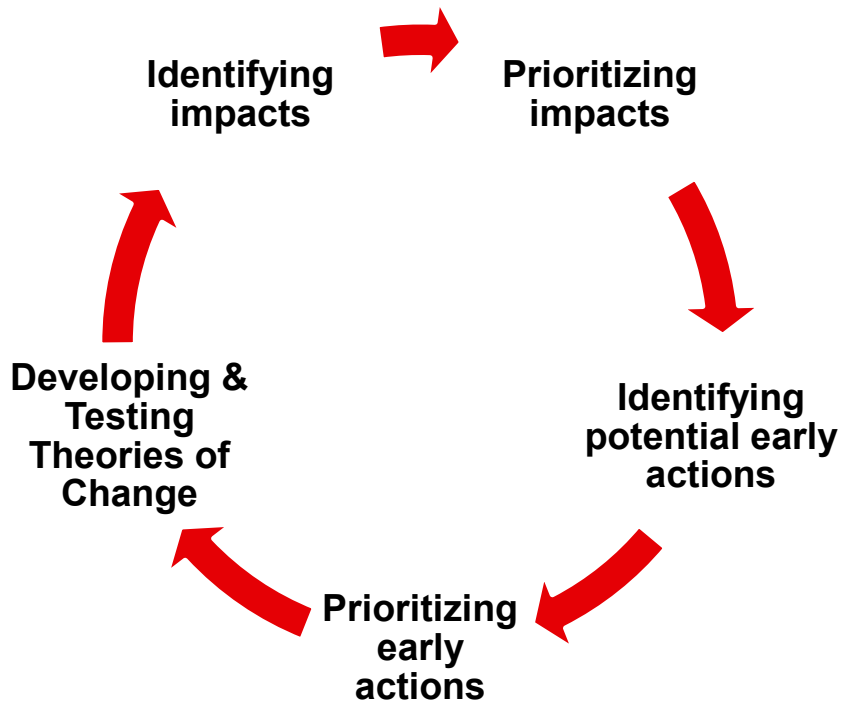
- Forecast - based - Financing

Manual Briefing: Theories of Change for Early Actions

Presented by:

Arielle Tozier de la Poterie
Global Early Action & Research Advisor

When in the process of selecting early actions should I develop theories of change (ToCs)?



Once you have narrowed your actions

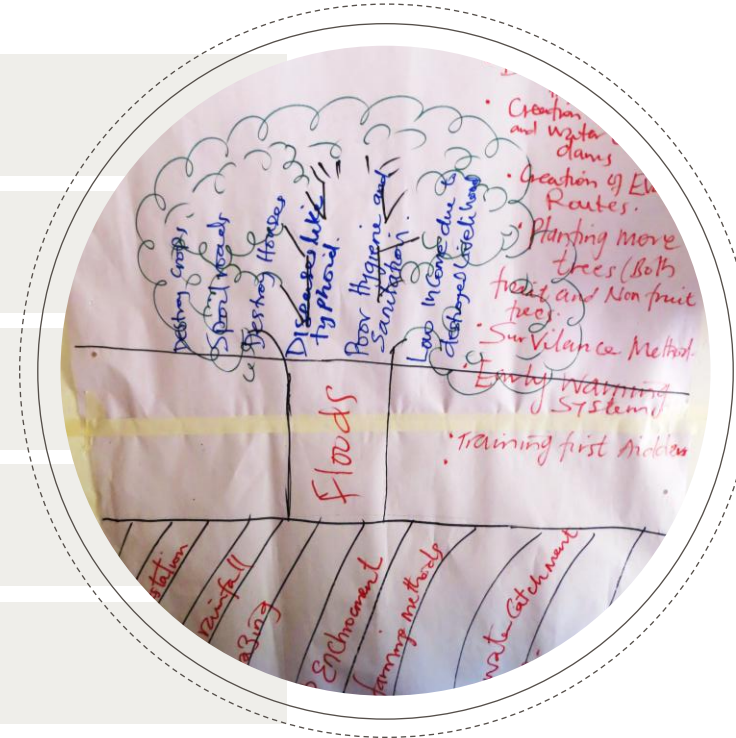
Develop a ToC for each action under serious consideration

You may still discard an action after this step

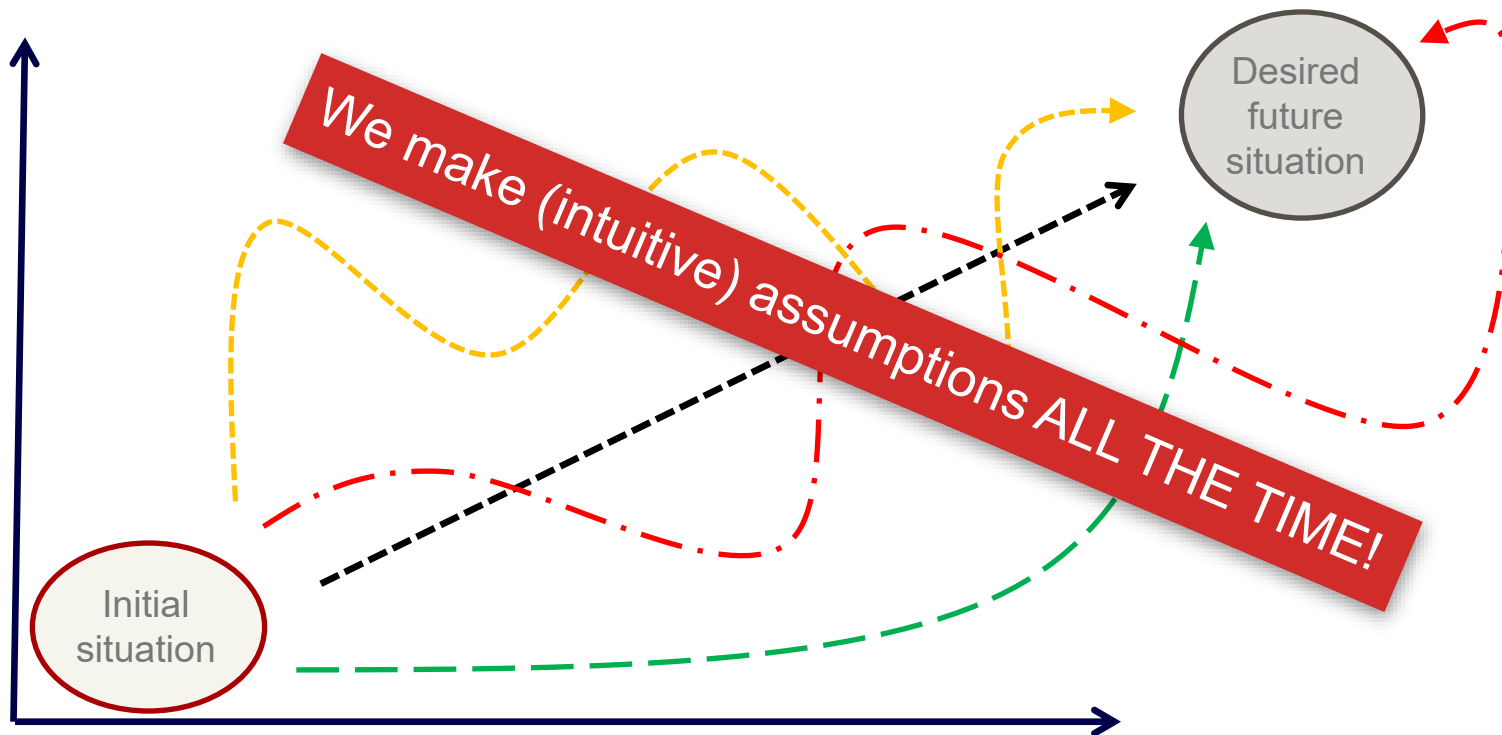


Presentation Overview

- 1 What is a ToC and what is it useful for?
- 2 What are the components of a ToC
- 3 How can you develop a ToC
- 4 Fatal assumptions
- 5 Activity / walk through (?)



Why a theory of change?



What should change, for **whom**, and **why**?

Why a theory of change?



Transparency & Clarity

- Be clear about where you want to go & how you will get there

Monitoring & Learning

- Identify which elements to monitor
- Which elements to change



How to develop a ToC





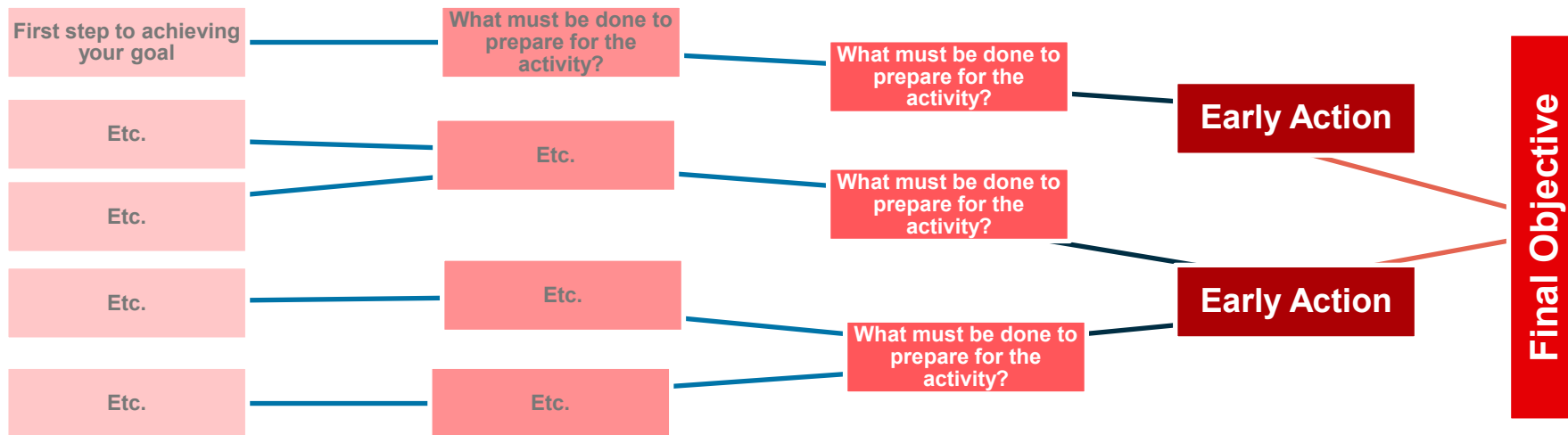
Step 1: define the problem and the goal

- Define the objective in relation to a specific problem
 - The end goal/objective is often the opposite of the problem you are trying to solve; the desired impact (of your program)
- Key questions
 - What is the problem?
 - What is the impact we want to reduce with early action?
 - How can we reduce this impact?

Problem	Goal/Objective
Cyclones destroy houses	Reduce the number of houses destroyed/damaged
Ashfalls destroy crops	Reduce damage to crops
Floods contaminate water; without clean water people and animals get sick	Reduce the incidence of waterborne diseases
People die trying to cross flooded rivers and streams	Reduce the number of fatalities from dangerous river crossings

Step 2: map the process of change

- Helpful tips:
 - Work backward from desired outcome
 - Test your logic using "if...then" statements



Step 2: map the process of change

- Elements of the process to map
 - Define your goal & work backward
 - Example: reduce damage to crops from ashfall



Step 2: map the process of change





Step 2: map the process of change



- Define the outcome: the change in behavior that will lead to your anticipated results
- Outcomes $\neq$ final objective or desired impact
- Example:
 - Action = distribution of tarps to protect crops
 - The outcomes is that people use tarps to protect their crops (the behavioral change)
- If access to tarps is sufficient to reduce damage to crops, this behavior change will result in the final objective (impact): fewer crops lost

Step 2: map the process of change

- Define early actions
 - Who will do what, when, where, how?
 - What kind of guidance will accompany the early actions? (e.g how to use the kits etc).



Step 2: map the process of change

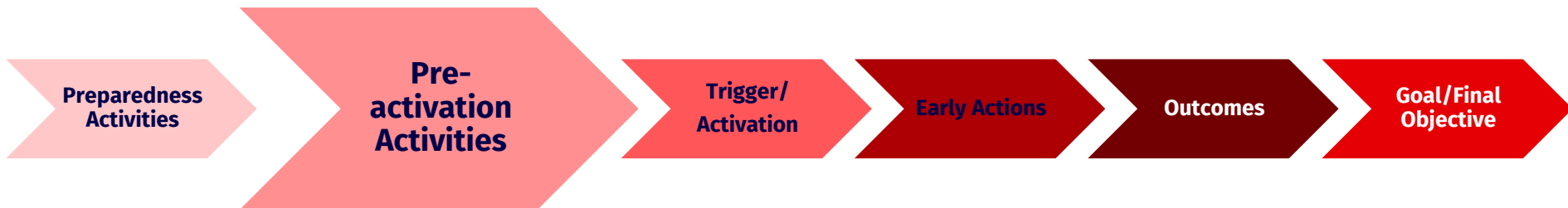


Step 2: map the process of change

- Map the trigger/communication process



Step 2: map the process of change





Step 2: map the process of change



- Define pre-trigger activities (if applicable)
- Examples:
 - Identifying beneficiaries (verifying lists)
 - Verifying pre-positioned stocks
 - Loading trucks
 - Informing personnel

Step 2: map the process of change





Step 2: map the process of change

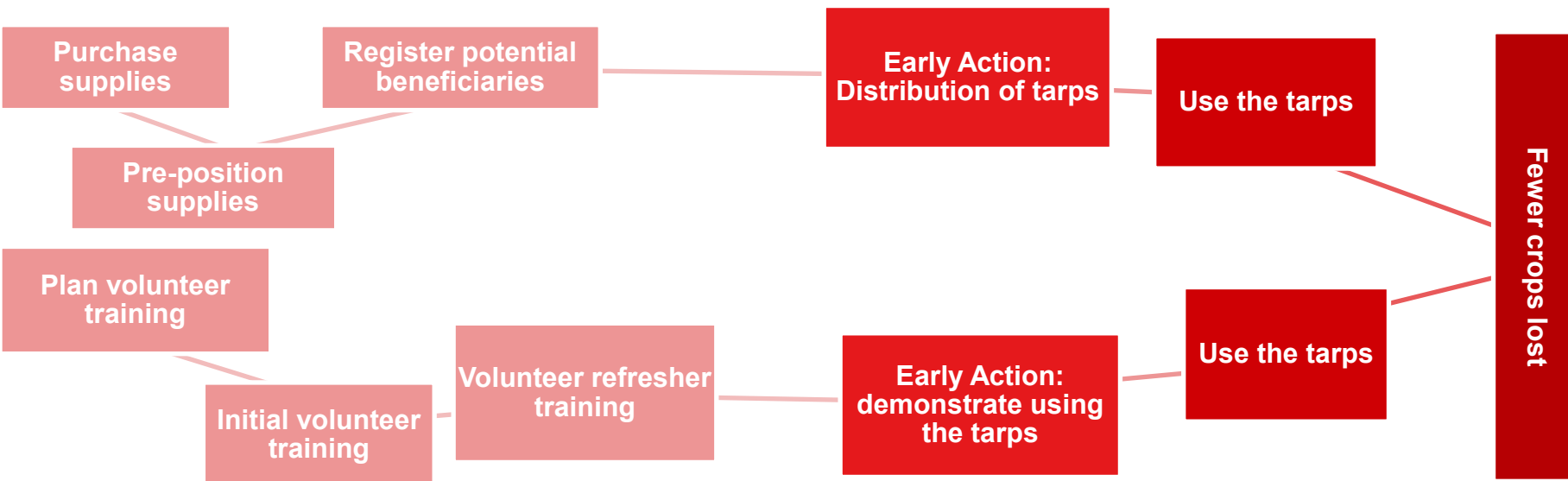


Define preparatory actions

- Administrative examples:
 - Identify partners
 - Identify potential beneficiaries/mapping

Preparatory examples:

- Workshops
- Training
- Produce educational materials
- Acquire supplies
- Pre-position supplies

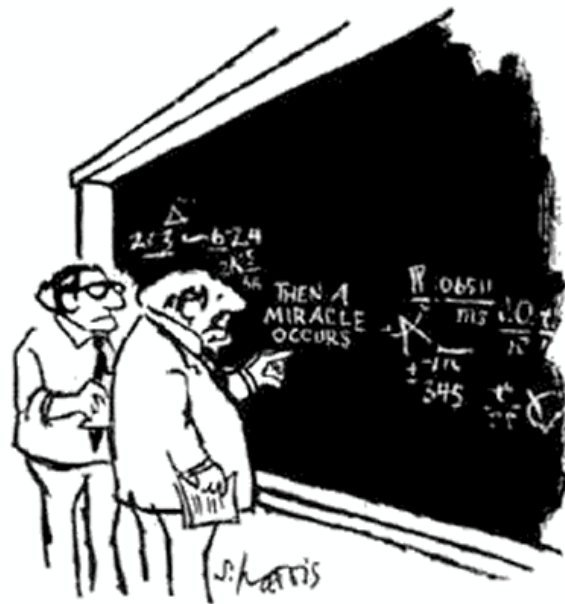


Step 3: make assumptions explicit

Definition of Assumption:

An external factor (beyond the control of the project) that is critical for project success.

It must hold true for the intervention to succeed

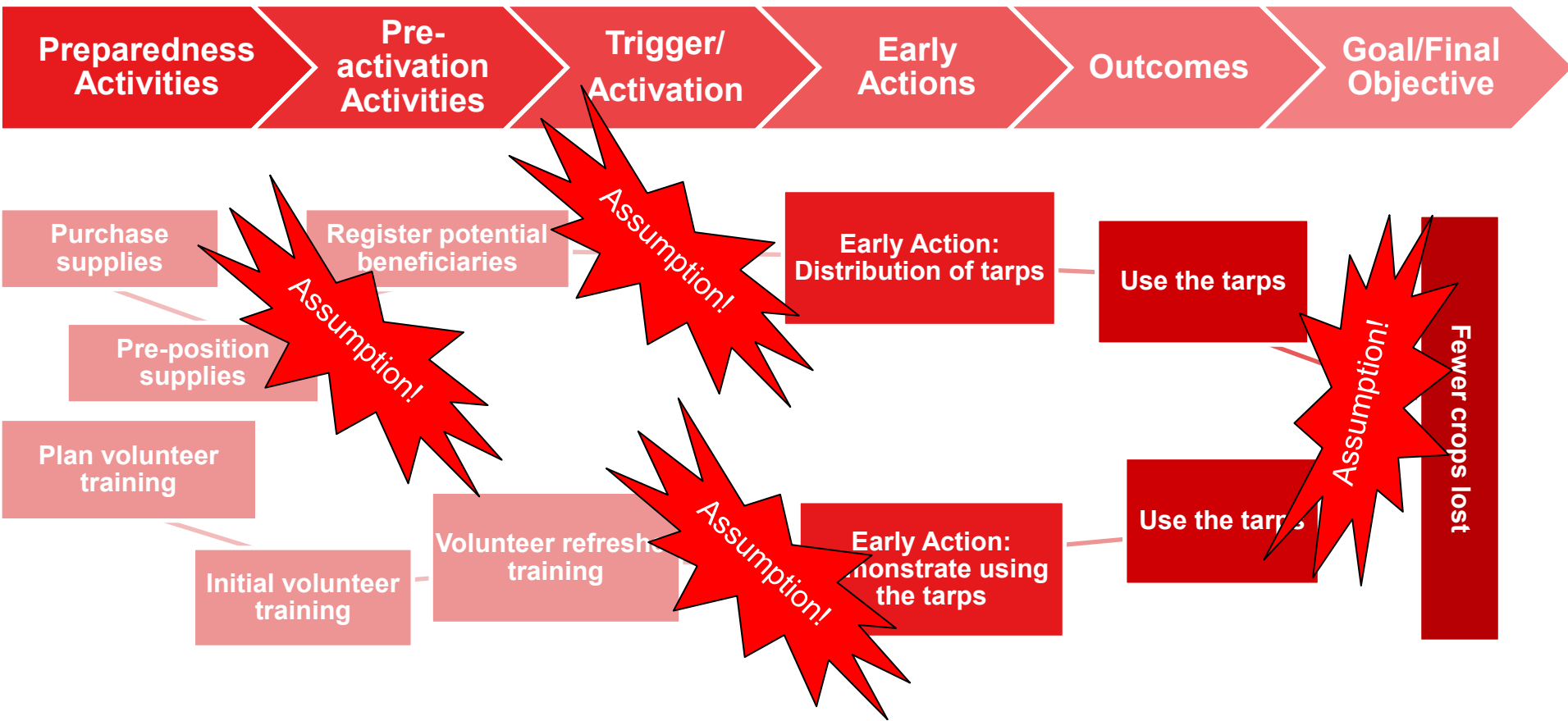


"I THINK YOU SHOULD BE MORE EXPLICIT
HERE IN STEP TWO."

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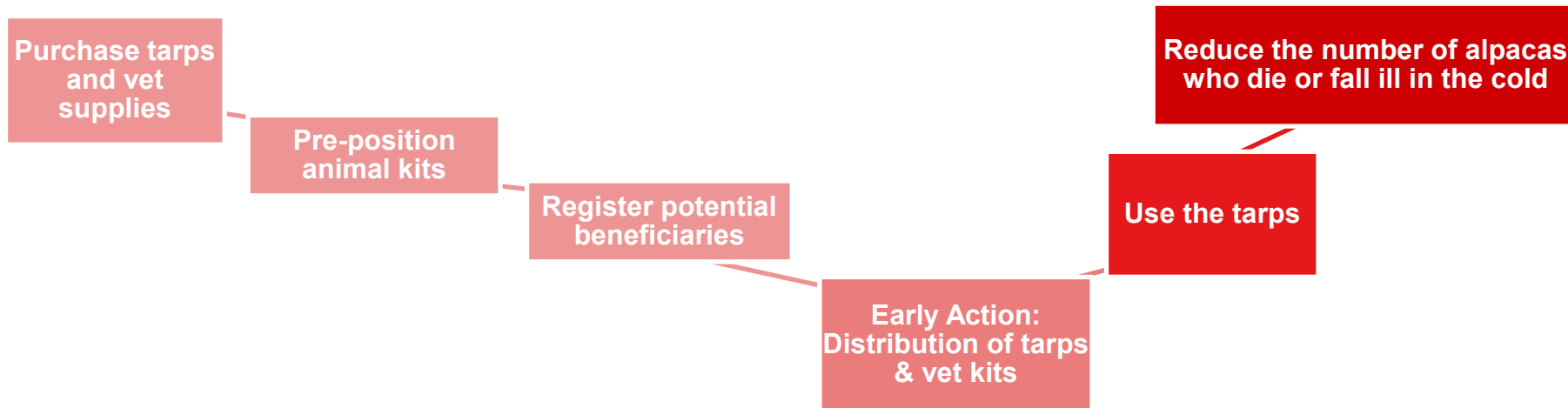
Step 3: make assumptions explicit



Step 3: make assumptions explicit

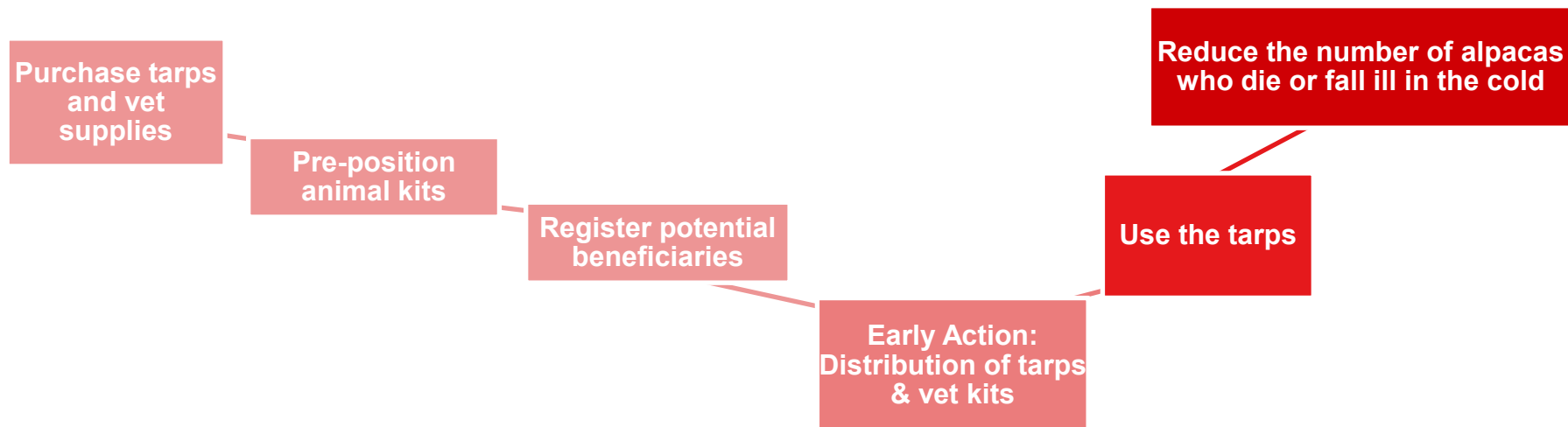
Example: Assumptions behind distribution of veterinary kits and tarps to protect animals from the cold

Name an assumption



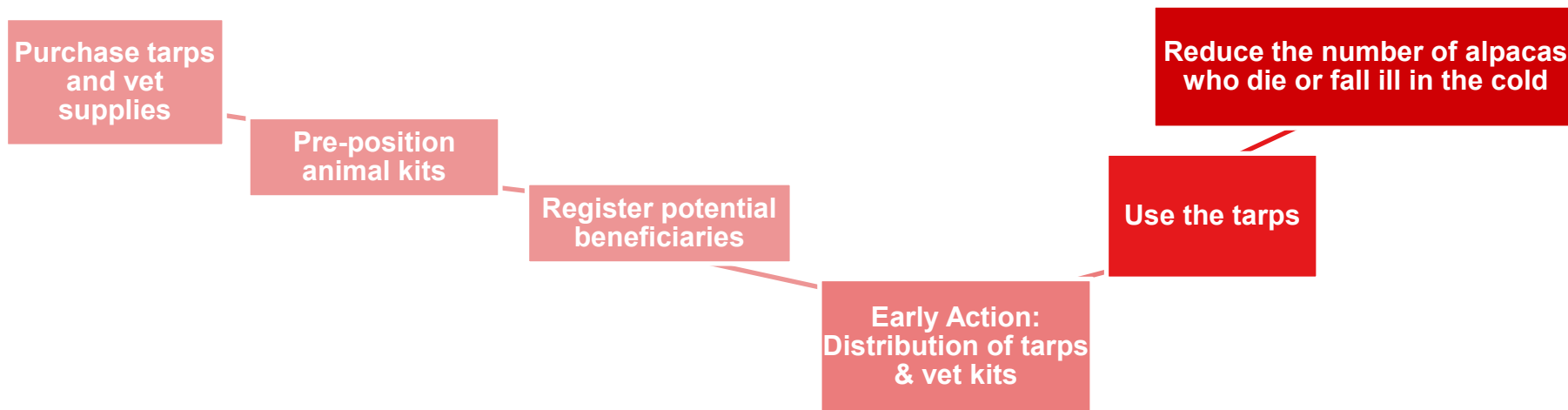
Step 3: make assumptions explicit

- Trucks will be available; roads will be passable (not too icy)
- People will use the tarps for the animals rather than their homes
- People will be willing to vaccinate their animals
- People will know how to use the kits



Step 3: make assumptions explicit

If you can control/influence the assumption, add it to your ToC





Step 3: make assumptions explicit



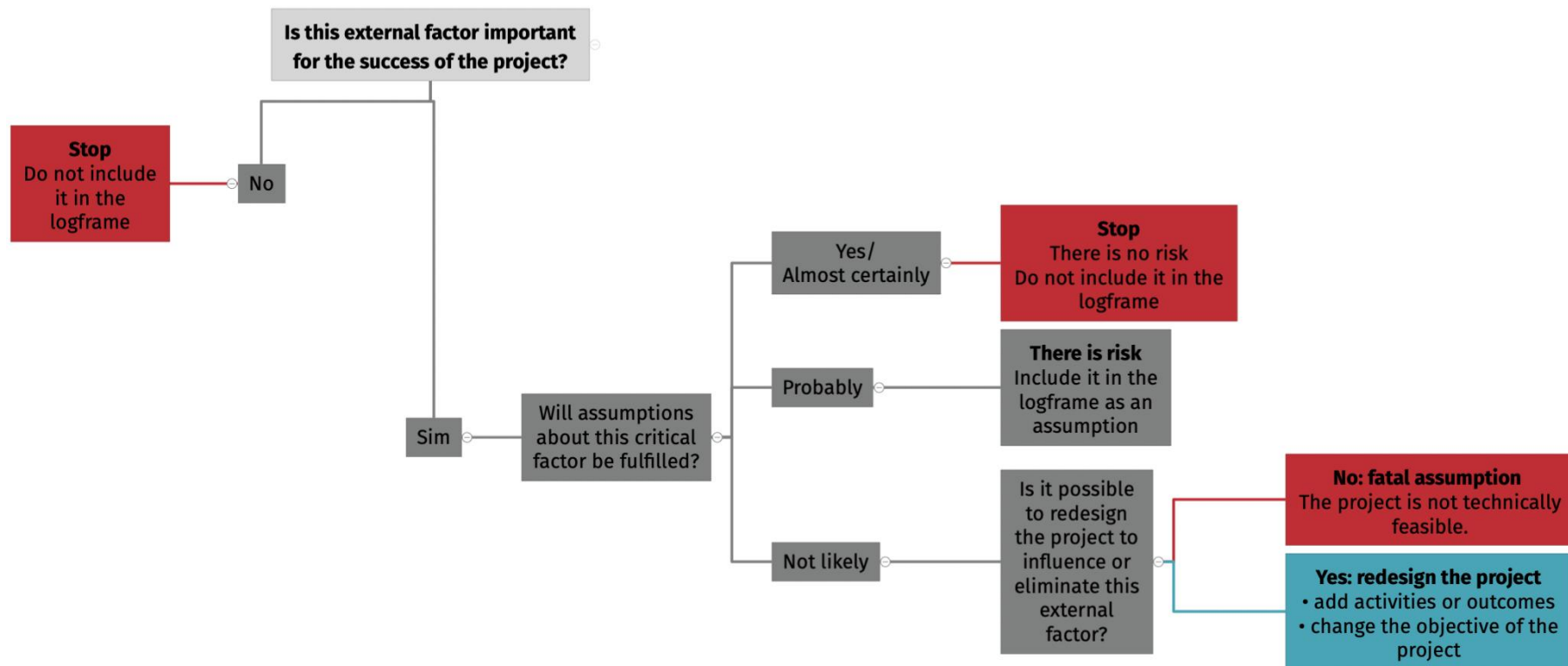
Identify and address any fatal assumptions

- A fatal assumption is one that has a high probability of not being realized during implementation
- A project containing a fatal assumption is likely to fail—hence the name

If you find a fatal assumption

- If possible, redesign the project
- If redesign not possible, find another early actions

Identifying a fatal assumption





Step 4: validate your ToCs



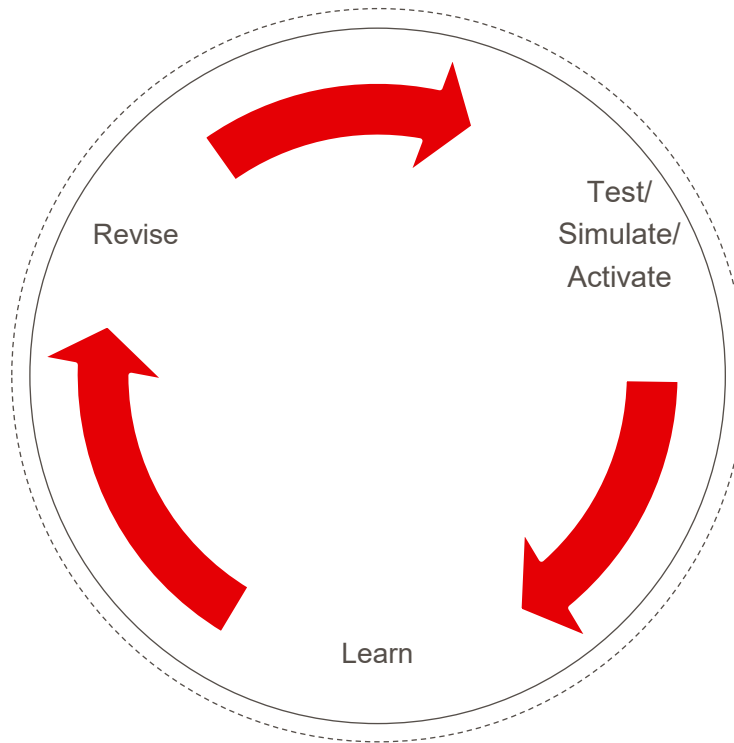
Validate ToCs and any assumptions with key stakeholders/experts

- Workshops
- Interviews
- Focus groups
- Meetings
- Simulations
- Activations

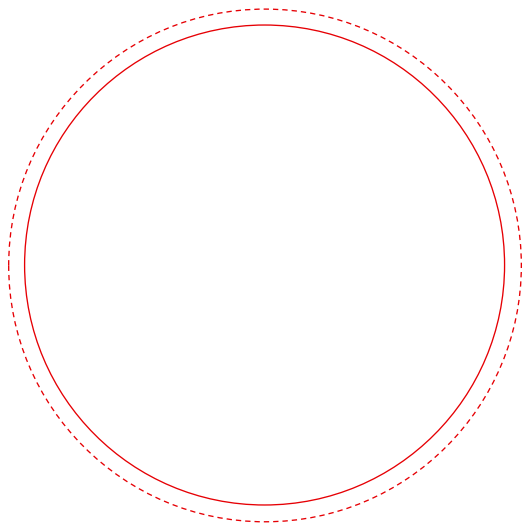




Step 5: revise as often as needed



Questions? Feedback? Discussion



Arielle Tozier de la Poterie

Arielle.tozierdelapoterie@germanredcross.d
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Activity: draft a ToC for one of your early actions



Choose an early action from your scenario development

- Define the problem, and the objective
- Map the process of change (work backward if it is useful!)

If you have time:

- Make assumptions explicit
- Identify any fatal flaws—can you redesign or fix them?
- In the future: validate your theory and assumptions with key stakeholders & adjust as necessary