



Adjusting case studies planning processes

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Purpose

This session will explore in greater depth:

- Theory of change statements
- Dimensions of the result chain
- In-depth risk analysis and mitigation strategies

RBM Focuses On

- defining and achieving realistic results (outcomes)
- implementing measurement systems to monitor progress using effective indicators and report on achievement of expected results
- identifying and managing risks to achieving the desired results
- integrating lessons learned to improve organizational decision making, efficiency, and effectiveness

Introduction to Defining Results

A result (or outcome/objective) is




---a describable or measurable change resulting from a *cause-and-effect* relationship

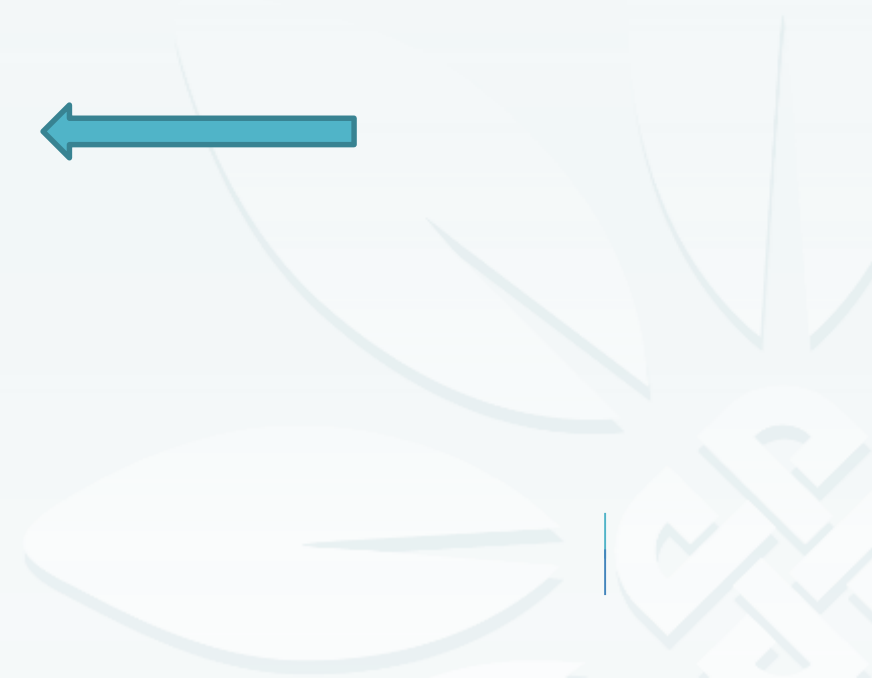
“If..., then...”

In Mongolia:

- Article 4.1.16. "policy impact" means a positive **change** within the scope of human development, society, environment, economy and governance as a **result of policy implementation**.

RBM Toolbox

1. Defining realistic desired OUTCOMES ...
What differences should our work make? 
2. Establishing a RESULTS CHAIN
Will our resources and activity lead to desired results? 
3. Identifying and managing RISKS
*What could interfere with our progress?
How can we reduce this risk?* 



Theory of change: why and how?



Theory of Change: Theory and practice

- A **theory of change** is a set of **assumptions** (based on if and then logic), risks, and external factors that describes how and why the program [or project] is intended to work. This theory connects the program's [or project's] activities with its [expected ultimate outcome]. It is inherent in the program [or project] design and is often based on **knowledge** and **experience** of the program [or project design team], research, evaluations, best practices and lessons learned.
- Theory of change is a **rigorous** yet **participatory** process whereby groups and stakeholders in a planning process articulate their long-term goals and identify the conditions they believe have to unfold for those goals to be met. These conditions are modeled as desired outcomes, arranged graphically in a causal framework, i.e. the different types of logical models.

Suggested steps to developing a ToC

Step 1: Identify goals and assumptions
Step 2: Identify strategies and activities
Step 3: Clarify the "messy middle": link strategies to outcomes and goals
Step 4: Step back and reflect on the whole picture

Source: The Annie E. Casey Foundation. Developing a Theory of Change: Practical Guidance. Part 2.

Step 1: Situation analysis
Step 2: Target groups
Step 3: Impact
Step 4: Outcomes
Step 5: Activities
Step 6: Change mechanisms
Step 7: Sequencing
Step 8: Your theory of change diagram
Step 9: Stakeholders and 'enabling factors'
Step 10: Assumptions

Source: James Noble. Theory of change in ten steps. NPC

More concise set of steps

- 1. Identify a long-term **goal**.
- 2. Conduct "backwards mapping" to identify the **preconditions** necessary to achieve that goal.
- 3. Identify the **interventions** that your initiative will perform to create these preconditions.
- 4. Develop **indicators** for each precondition that will be used to assess the performance of the interventions.
- 5. Write a **narrative** that can be used to summarize the various moving parts in your theory

Source: Erin Harris. An Introduction to Theory of Change. Harvard Family Research Project

What benefits can emerge from a solid ToC?

“Realizing broad, ambitious social **change** is a complex undertaking that can take a long time. There is too much at stake to be unclear, vague or random in the pursuit of a better and more equitable society or a healthy planet. Though it can be challenging to make visible collective thinking about what is expected to change — along with when, how and why it will change — many organizations, teams and partnerships have benefitted from engaging in this effort. Theory of change development can help groups to:

- experience significant breakthroughs in their thinking;
- increase their agreement and alignment about how change will happen;
- better acknowledge and address power differences between those involved;
- promote equity in their pursuit of goals;
- better understand the roles and expectations of different contributors;
- better understand where to invest time and resources; and
- better measure their strategies.”

Source: The Annie E. Casey Foundation. Developing a Theory of Change: Practical Guidance. Part 1.

Results chains



Results Chain or Logic Model?

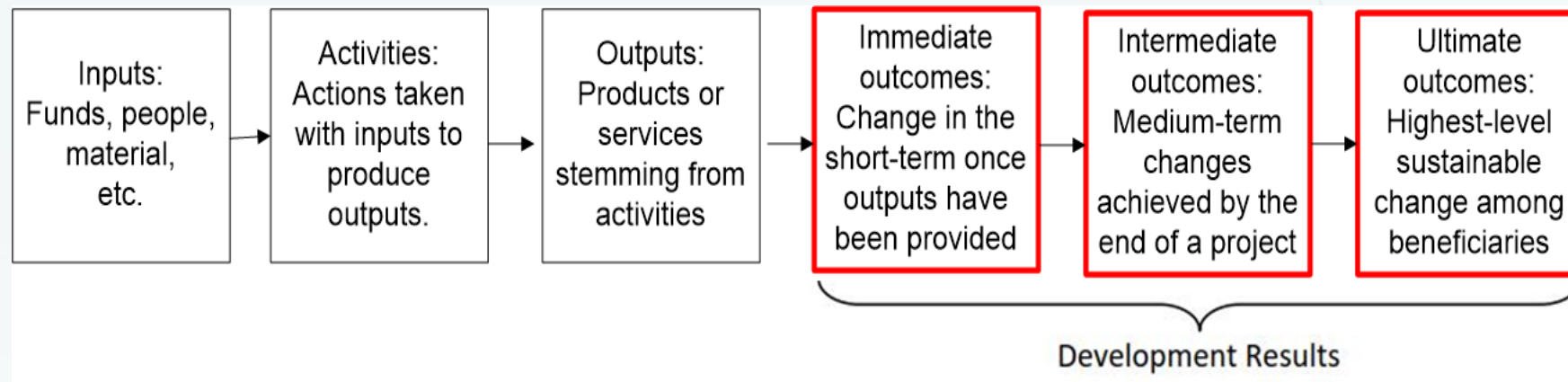
A visual or “logical” representation of cause and effect

---- describes the relationship flow between *inputs, activities, outputs* and *the outcomes* of a given policy, program or initiative .

Simple linear results chain

How

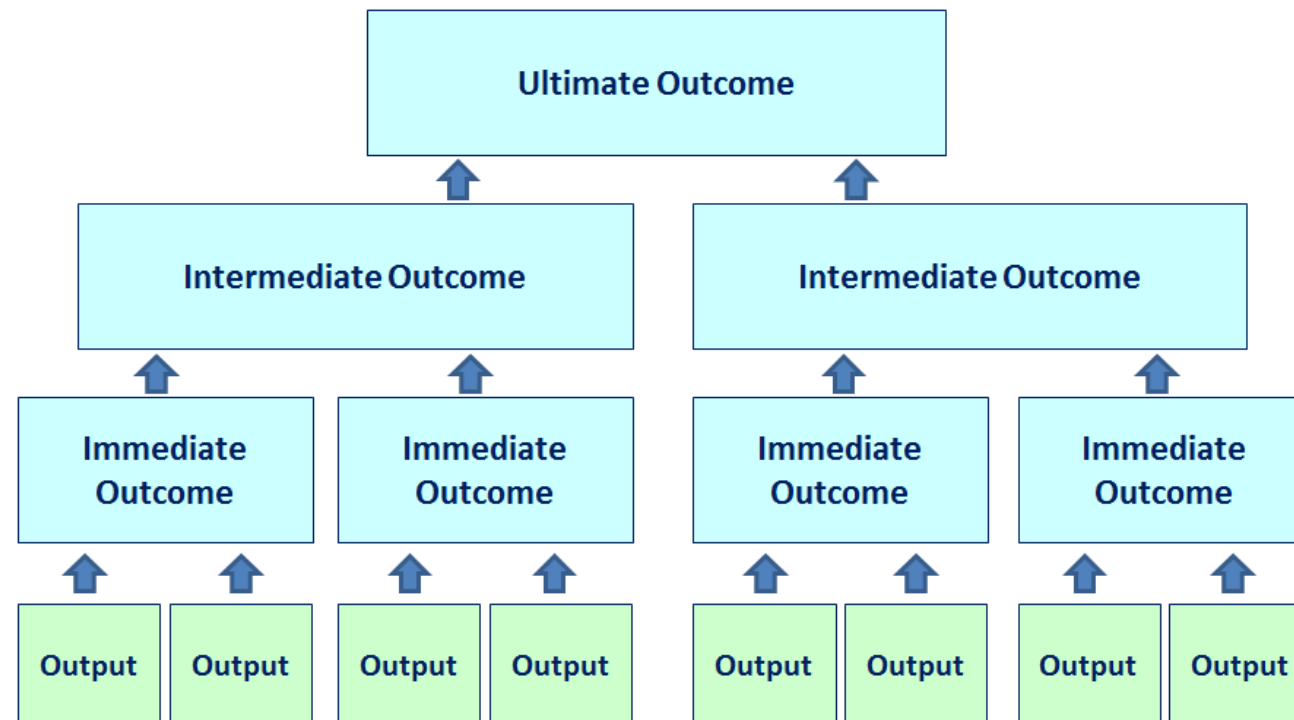
Changes



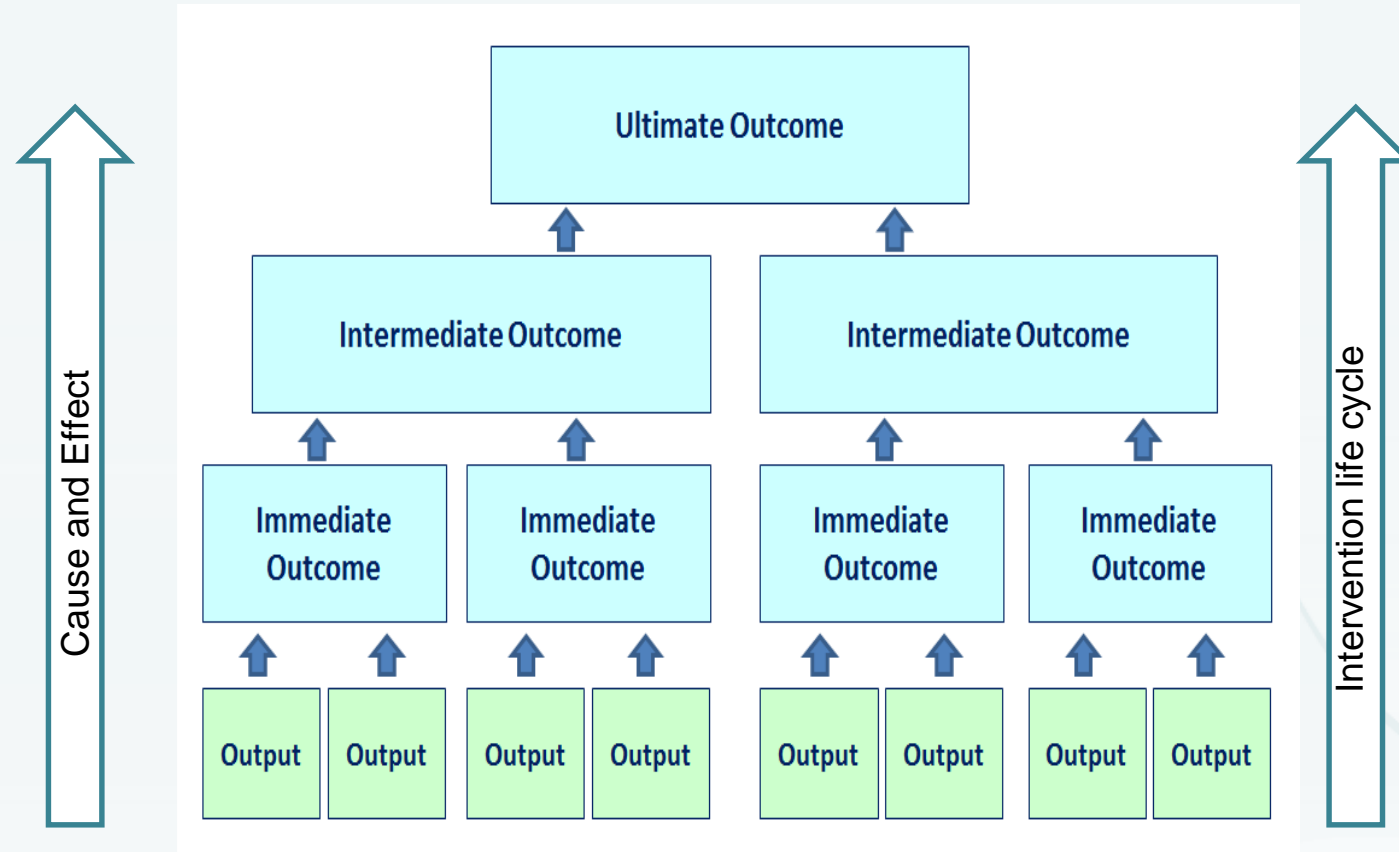
The Elements of the Results Chains Defined

- **Inputs:** The financial, human, and material resources used for the development intervention: funds, expertise, equipment, etc.
- **Activities:** Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs: training, support, building, mobilization of funds, etc.
- **Outputs:** Direct products or services stemming from the activities of an organization, policy, program or project. Note: in the RBM model and output is **NOT** a result as it does not describe a change.
- **Outcomes:** An outcome is a describable or measurable **change** that is derived from an initiative's outputs or lower-level outcomes.

Complex Results Chain/Logic Model



From the Simple to the More Complex: Two Dimensions



A results (or outcome) statement

* outlines what a policy, program, or initiative is **expected** to achieve or contribute to.

--Activities are **ACTIONS**

--Results are **CHANGES**

An Outcome Statement

Focuses on ...

- **DIRECTION OF CHANGE:** *e.g. increased, improved, reduced etc.*
- **WHAT?** *Describe the type of change expected e.g. ability, behavior, practice, state, conditions, etc.*
- **WHO?** *Name who will experience the change e.g. individual, group, division, sector*
- **WHERE?** *Identify the location where the result will occur*

Let's offer a few illustrations

Direction	What	Who	Where
Reduced	Impact of a very contagious virus	On urban vulnerable segments of population	In five main cities in Mongolia
Improved	Delivery of relevant health services	To mother and child	In selected soums of aimag X
Increased	Community mobilization to control mining activities	with leadership involvement	In aimag Y
Increased	exportation	by small- and medium-sized enterprises, especially those led by women	In three border aimags

Identifying and Managing risks



What is Risk & Risk Management?

A **Risk** is a potential event that generally is seen as having a negative effect on the achievement of desired outcomes.

Risk management involves a systematic approach to setting the best course of action under uncertainty by identifying, assessing, understanding, making decisions on, and communicating risk issues.

Integrated risk management is a continuous, proactive and systematic process to understand, manage, and communicate risk across an organization. The process requires making strategic decisions that contribute to the achievement of an organization's overall outcomes.

Unless an intervention is of the level of complexity of a large program, risk analysis should be kept simple, but effective.

Risk Management Cycle



Step 1: Identity and Define Risks

- Use the stakeholder analysis and your knowledge of the **context** to identify key risks that could affect the achievement of the desired outcomes.
- Identification methods
 - Objectives-based risk identification
 - **“Which outcomes could be affected by a specific risk?”**
 - Scenario-based risk identification
 - **“Which situations could create a risk?”**
 - Taxonomy-based risk identification
 - **“Which types of problems could create a risk?”**

Step 2: Determine Effect of Risk on Outcomes

- By carefully examining and analyzing the outcomes, and the **assumptions** for achieving results, the core question should be, “which outcomes could potentially be affected by a specific risk?”
- The cause-and-effect relationship (if... then) will help determine specific risks.

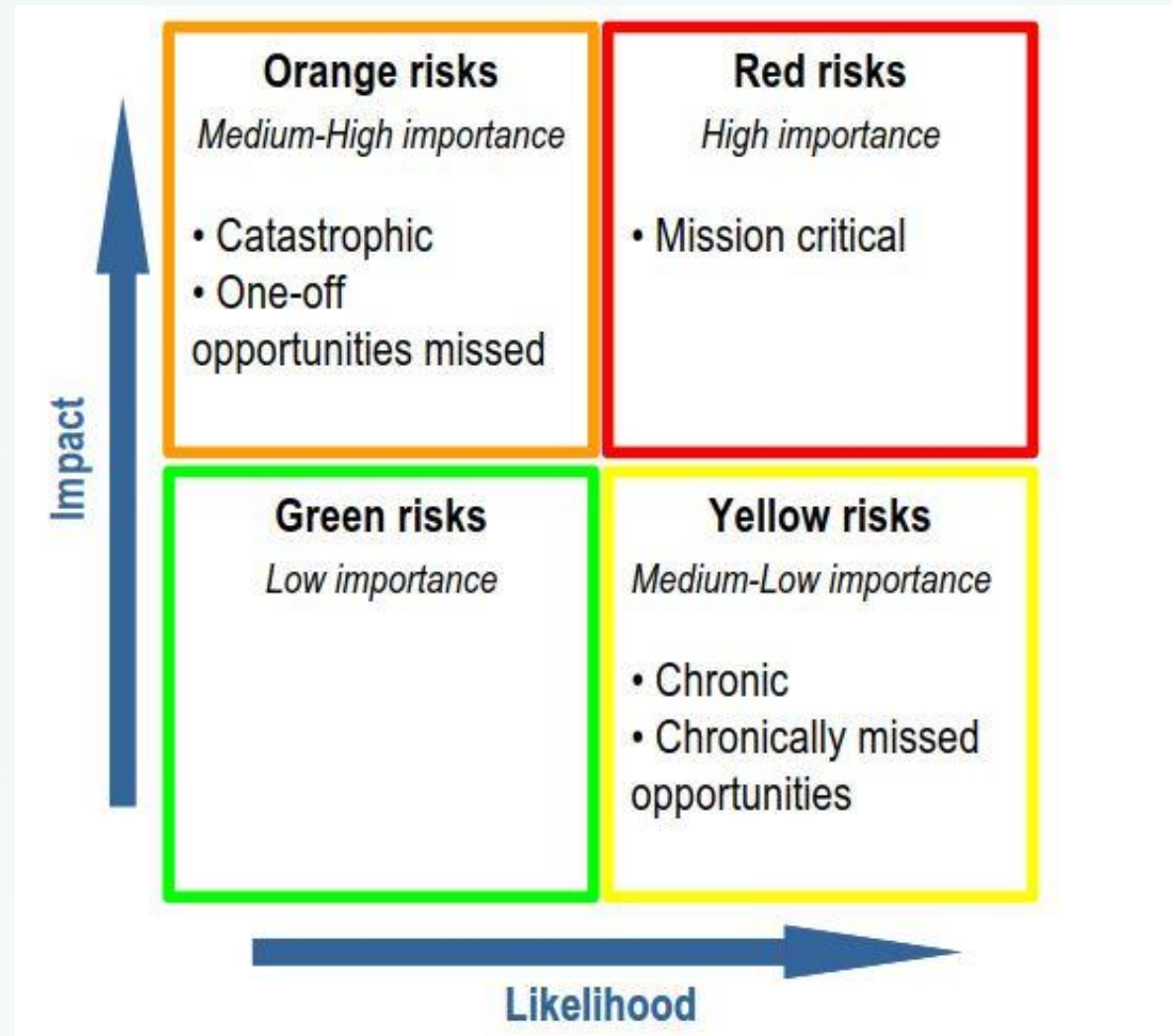
Step 3: Identify Risk Responses

- **Accept:** Assume awareness of the risk and accept the consequences and exposure.
- **Avoid:** Refuse to accept the risk in order to avoid potentially unfavourable results.
- **Mitigate impact:** Decrease impact by limiting the extent of possible damage.
- **Mitigate likelihood:** Decrease likelihood through risk responses, prevention or anticipation.
- **Research:** Obtain better, timelier information through research.
- **Transfer/Share:** Treat risks by transferring or sharing exposure to others

Step 4: Assess Level of Risk

- Risks have two dimensions:
 - **Likelihood**: how likely is the risk to occur in the next year?
 - **Impact**: what will be the impact if it does occur?
- To identify levels and interaction between the two use a **Risk Matrix**.

Simple Risk Matrix: WFP Model



Step 5: Monitor, Update and Report

- Implementing a robust **monitoring system**,
Producing **transparent reports**, and
- **Adjust the risk analysis** to a changing context



- **Mitigate** and prevent negative effects on the
outcome achievement.

Session 02: Case Study Exercise

Using your respective case study please try to:

1. Determine the core theory of change by stating it in a “if....then” format;
2. Referring to the theory of change state the ultimate outcome (1) and the intermediate outcomes (max. 3);
3. As you analyze the ultimate outcome, identify the main risks (max. 2) which may impact this high level result.

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