



Global Health Research
Group on Dementia
Prevention & Enhanced
Care: DePEC

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WS5 Pathways to impact: Developing a DePEC Theory of Change (ToC)

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Workshop objectives

LMIC partners to

- provide inputs to DePEC Theory of Change (ToC)
- build an understanding of how the DePec ToC applies to changes anticipated in programme sites & ensure research partners understand where their work sits within the Hub ToC
- build an integrated conceptual framework for impact that brings together the issue context, the research project, intended users and research-into-use strategies => deliverables:
- Deep insights into pathways to impact/ change pathways within the context
- DePEC logframe



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Workshop essentials

- Acknowledge limitations/ environment i.e. who is in the room; where we are at in the programme; uncertainty is okay
- Conceptual clarity is needed – working definitions across the Hub is a work in progress
- Language, including MEL i.e. impact, outcomes and outputs

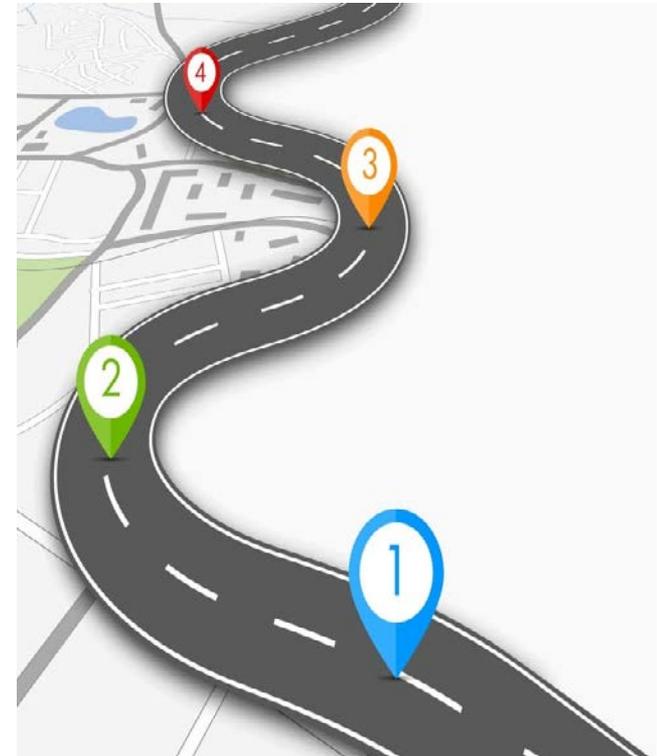
What is a Theory of Change?

A Theory of Change (ToC) is ...

‘a tool that outlines the steps by which
a defined goal will be achieved’

... like a roadmap

... an established mechanism for
guiding development work in LMICs

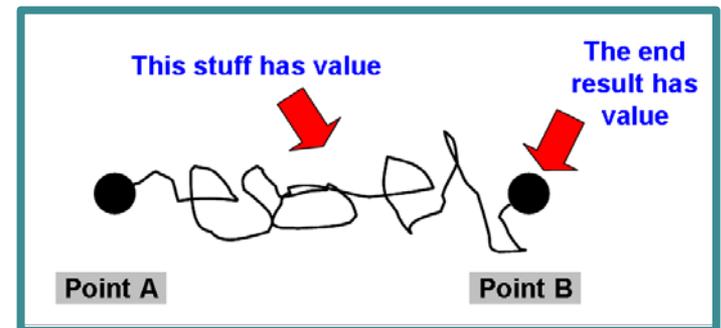
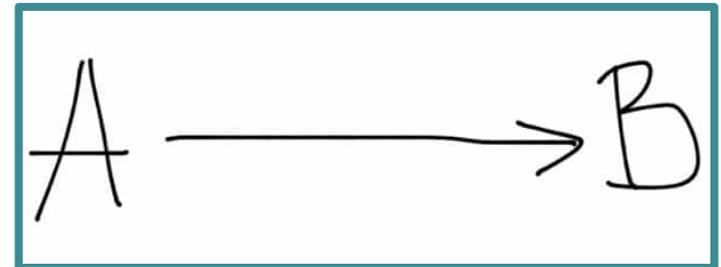


What is a Theory of Change?

A Theory of Change (ToC) is ...

‘**the thinking behind** how a particular intervention or strategy will bring about desired results’

‘a visual record of **the critical assumptions underpinning** how proposed interventions or strategies have their effect’

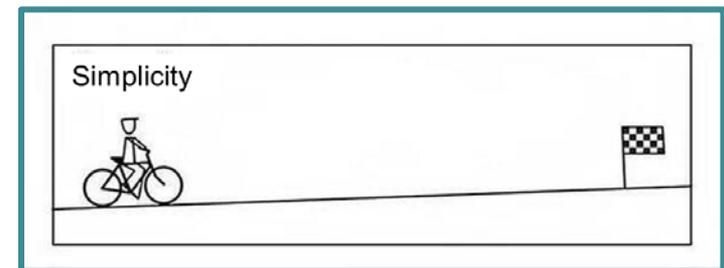
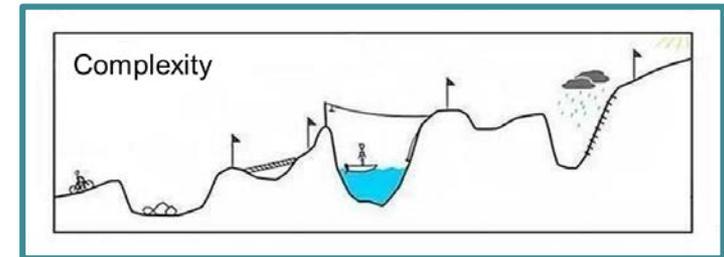


When is a Theory of Change most useful?

ToCs are most useful for ...

‘understanding & assessing impact
in complex programmes & hard to
measure areas/ processes’

Interventions that involve a linear,
straightforward route to impact
probably don't need a ToC.





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Why is a Theory of Change useful?

A process *and* product for understanding how change happens

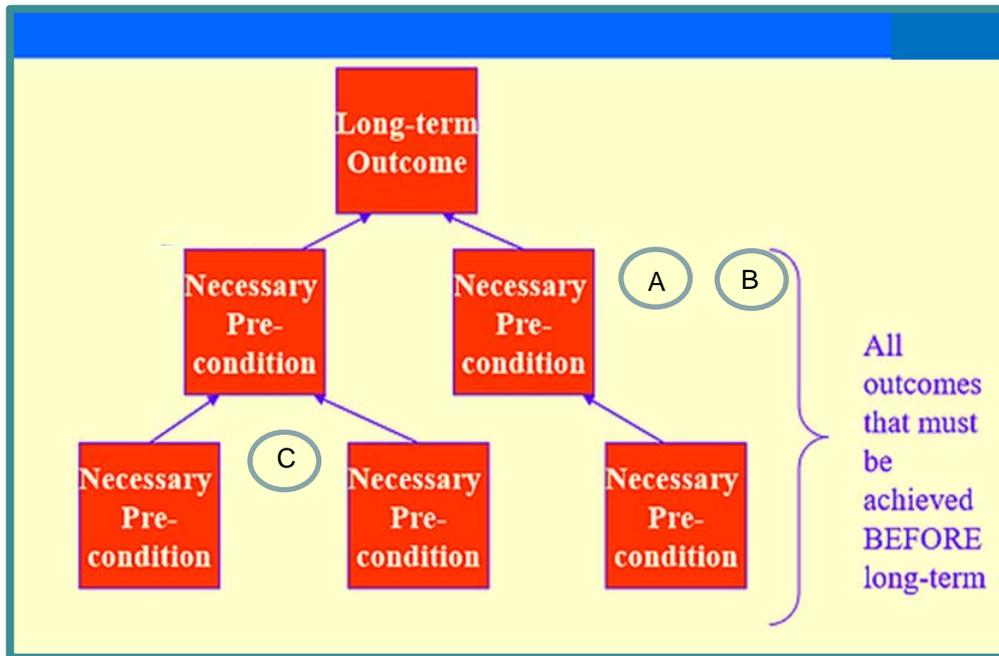
A flexible 'rough guide' that offers a unique set of perspectives,
not a definitive, static prediction'

Foundation of logframe* - management and measurement
tool for making resource decisions / keeping us on track

Shared understanding of what is to be accomplished

Useful in strengthening the influence of research outputs –
TOC analysis encourages us to make engagement and
influencing activities a visible and integrated part of the
research project

Steps in the development of a ToC*



1. Identify long term goal/s or outcome/s
2. Conduct 'backward mapping' to identify the pre-conditions necessary to achieve goal/s

The **necessary conditions** are then shown as outcomes on the Theory of Change pathway

Assumptions and **justifications** for the preconditions are also clarified & captured in the ToC as letters of the alphabet

ToC Diagram adapted from Clarke and Anderson, 2004

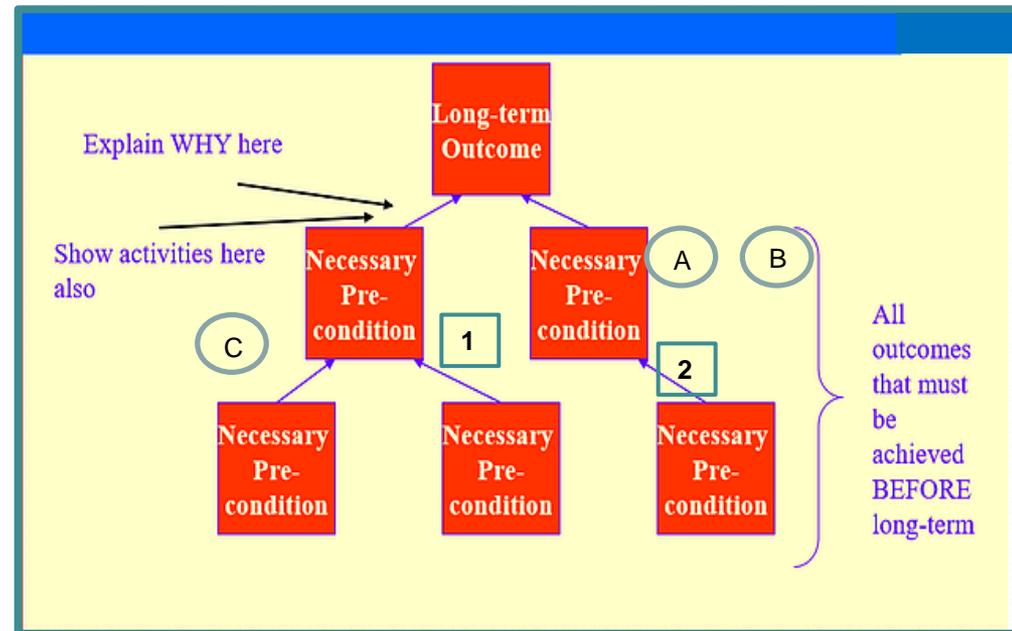
*Adapted from [Ann-Murray Brown 2019](#)

Steps in the development of a ToC*

3. Identify interventions & activities to create the necessary conditions
4. Develop indicators for each condition to assess intervention performance

This **outcomes pathway** maps the proposed causal linkages between ToC outcomes

Proposed interventions are captured in the ToC using numbers.



ToC Diagram adapted from Clarke and Anderson, 2004
*Adapted from [Ann-Murray Brown 2019](#)



Steps in the development of a ToC*

5. Write a narrative that summarises the various elements of the ToC

A good narrative sums up the initiative's story to provide a full description of the ToC.

It starts from the beginning with the background & goals

It explains why goals are important & how interventions & activities influence their achievement.

Components of a Narrative

Background: Description of the context and the need

Long-term Goal: The ultimate desired outcome

Outcomes/Preconditions: Description of these goals and how these goals are important for themselves as well as for the ultimate goal

Assumptions and Justifications: The facts or reasons behind the initiative's features

Interventions: The initiative's activities and programmes

Indicators: Description of how each outcome will be measured

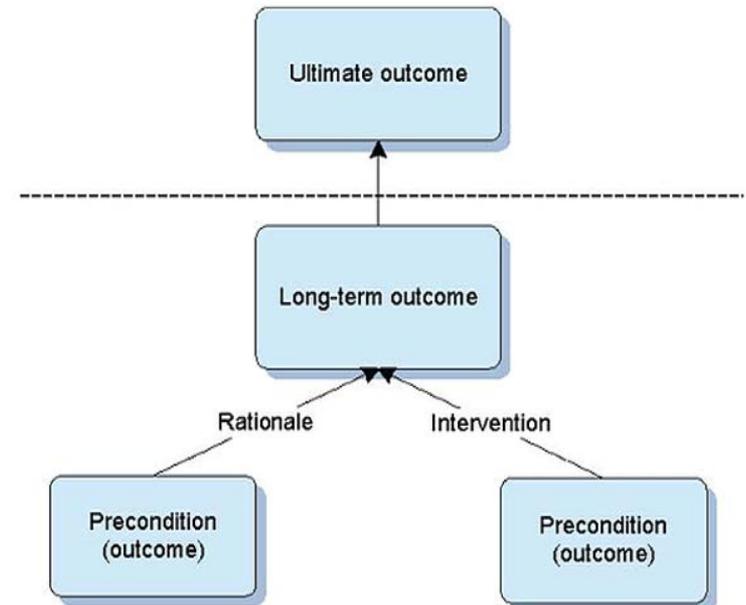
Programme Logic: The understanding that guides every step of the initiative

*Adapted from [Ann-Murray Brown 2019](#)

Steps in the development of a ToC*

Some ToC outcome pathways include an 'accountability ceiling', represented by a dashed line separating outcomes to be monitored from the higher-order outcomes that are beyond its power to achieve.

Levels of control on the ToC can also be depicted as spheres; '*sphere of control*', '*sphere of influence*' and '*sphere of interest*'.



*Adapted from [Ann-Murray Brown 2019](#)



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Michaela – HUB example?



GCRF Water Hub Revised Theory of Change

With inputs from selected UK-based Hub members,
April 2019

Revised Hub Theory of Change

Situation

Understanding risks, water resources, water quality, and governance are prerequisites to water security (SDGs 6.1-6.2). However, relevant **SDGs (6.3-6.6, 6.A, 6.B)** are “**framed in vague and un-measurable terms**” so will not be achieved by improvements to technology or service provision alone. We have identified 4 systemic barriers to achieving SDGs 6.3-6.6:

Effective action requires **data** from across the whole water system

Service delivery/Business models are not fit for purpose.

Water **governance** is fragmented

Pathways to water security are not adaptable and appropriate to **local context** and values.

Inputs

- UKRI investment
- World class interdisciplinary research team
- Existing data & field sites
- Local & international networks
- MEL

Core principles:

- Equitable partnership
- Equality, diversity, inclusion
- Interdisciplinarity

Sphere of control

Outputs	Outcomes
Network of Collaboratories established => Integrated agenda for Water Security in partner countries	Integrated data across sectors and levels
Increased interdisciplinary research and systems-thinking capacities	Effective business/service delivery models for water
Increased levels of engagement among stakeholders in each programme site	Coherent frameworks for policy and decision-making
Changes in local institutional structures & processes that enables collective decision-making for water management	Lower cost, more sustainable, efficient and inclusive water security strategies
Quality research project and innovations	Quality research & interdisciplinary research leadership
	Systems framework for water security

Impact

Sphere of direct influence

Global and national actors buy into systems framework & this informs future global development frameworks and catalyses funding

Empowered communities (SDG 6B)

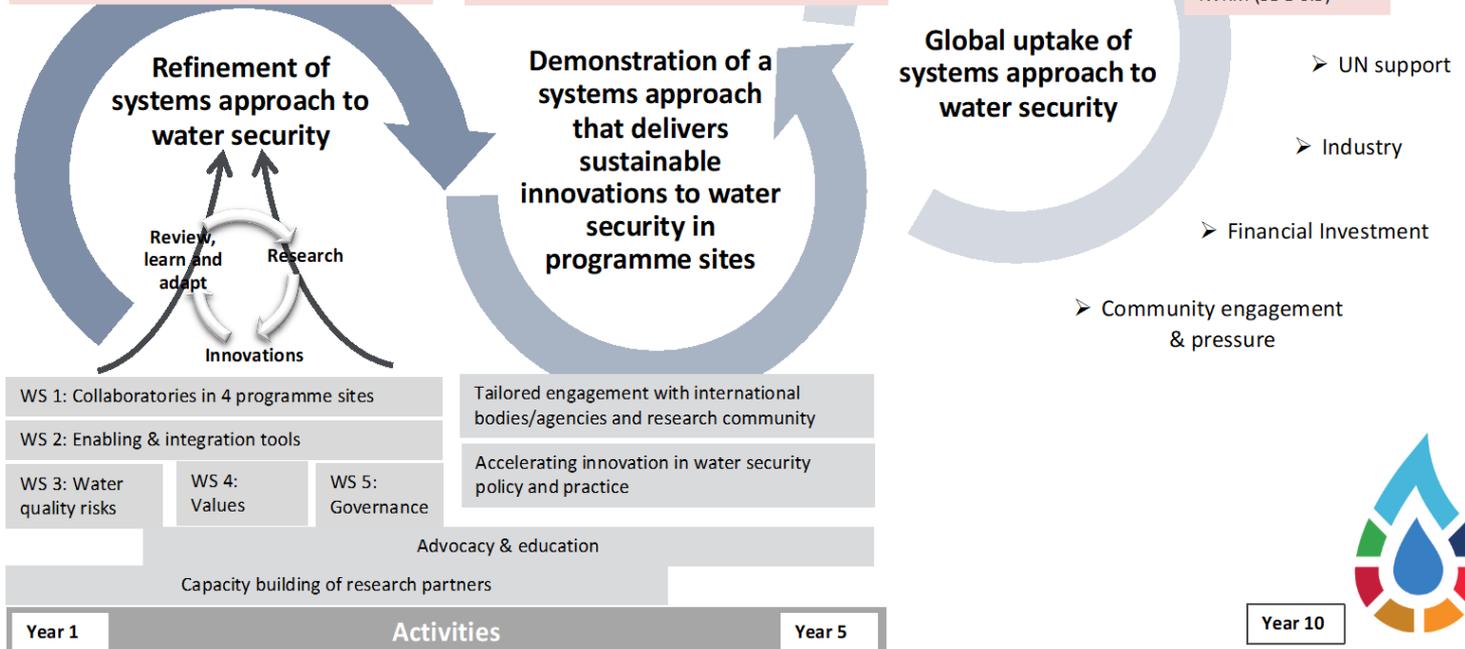
International co-operation and investment (SDG 6A)

Sphere of indirect influence

Improved water quality (SDG 6.3)

Improved water use efficiency (SDG 6.4)

Implementation of IWRM (SDG 6.5)



Year 10



Hub impact



1. Is this realistic?
2. Does the planned
Impact address
situation?

Situation

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International co-operation and investment (SDG 6A)

Sphere of indirect influence

Improved water quality (SDG 6.3)

Improved water use efficiency (SDG 6.4)

Implementation of IWRM (SDG 6.5)

Global uptake of systems approach to water security

➤ UN support

➤ Industry

➤ Financial Investment

➤ Community engagement & pressure

Year 10



Hub outcomes



Outcomes

Integrated data across sectors and levels

Effective business/service delivery models for water

Coherent frameworks for policy and decision-making

Lower cost, more sustainable, efficient and inclusive water security strategies

Quality research & interdisciplinary research leadership

Systems framework for water security

1. Do you agree with the programme goal?
If not, why not?
2. Which outcomes most resonate with you?
3. Which do not resonate?
4. What is missing?

Demonstration of a systems approach that delivers sustainable innovations to water security in programme sites

Tailored engagement with international bodies/agencies and research community

Accelerating innovation in water security policy and practice

Advocacy & education

Capacity building of research partners



Hub outputs

1. What do you understand by 'systems approach' to water security?
2. Which outputs of the ToC most resonate with You?
3. Which outputs do not resonate at all?
4. What is missing?

Inputs

- UKRI investment
- World class interdisciplinary research team
- Existing data & field sites
- Local & international networks
- MEL

Core principles:

- Equitable partnership
- Equality, diversity, inclusion

Outputs

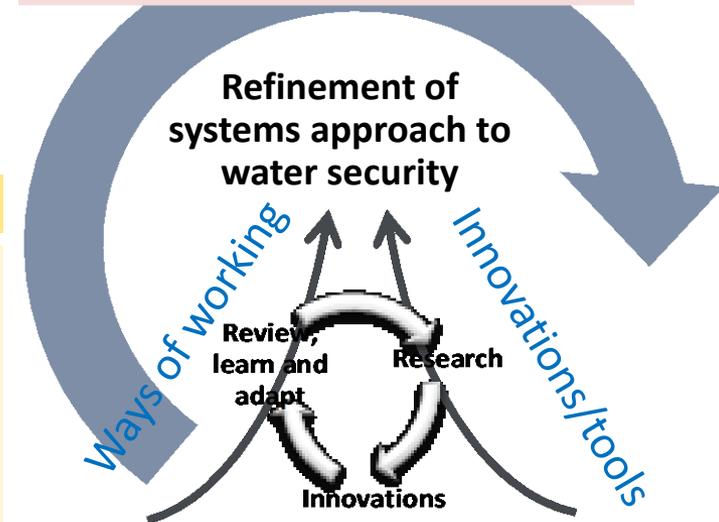
Network of Collaboratories established => Integrated agenda for Water Security in partner countries

Increased interdisciplinary research and systems-thinking capacities

Increased levels of engagement among stakeholders in each programme site

Changes in local institutional structures & processes that enables collective decision-making for water management

Quality research project and innovations



WS 1: Collaboratories in 4 programme sites

WS 2: Enabling & integration tools

WS 3: Water quality risks

WS 4: Values

WS 5: Governance

Capacity building of research partners

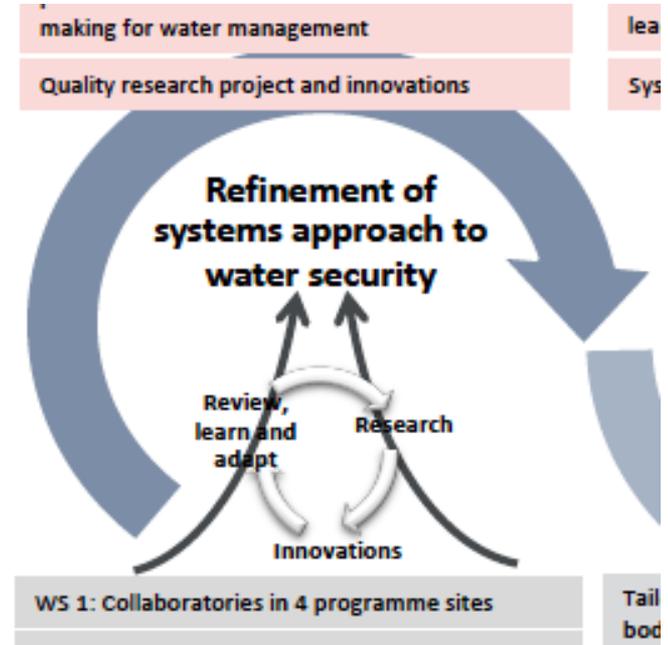


Knowledge gaps in the ToC

Knowledge gaps: changes that emerge through the twin-track process of establishing integrated systems/ways of working in parallel to innovations (products/tools)

Questions:

- How does research lead to innovation?
- How does research influence change?
- How will politics of engagement of different stakeholders (competing interests in water) be managed? And of the Hub partners?





Additional questions



1. In what ways does your work align with this revised ToC?
2. What do you like about the revised ToC?
3. What do you dislike about this ToC?
4. What is missing in this ToC (based on what your expectations for the Hub are)?



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WS5 Translational outputs & future research priorities

- a consultation exercise with partner LMICs to map research dissemination methods and networks (WS1)
- seek individual views on 'resource gaps' and useful translational outputs from the program
- Within WS1.2 Delphi consensus, we will undertake a prioritisation exercise to determine the key translational outputs; results will be fed back to the programme group and partner organisations for validation.
- Our final list of proposed 'outputs' will be reviewed by the programme External Advisory Committee (see Governance).

Deliverables may include:

- i) Carer e-learning resources; care pathways; service cost projection models
- ii) Individual LMIC strategic brain health initiative and
- iii) Future bids including a Global Health Unit Health.

Each partner LMIC will undertake a survey of dementia knowledge/skills/attitudes among their workforce and identify educational initiatives under development. A 3-day workshop will be hosted by Monash University-Malaysia (m21-24) to determine each country's priorities for workforce development and future strategic solutions.

Deliverables

- i) Recommendations for efficient and feasible dementia care pathways for partner LMICs.
- ii) Summary of workforce training needs and future strategic development plan for partner LMICs.



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WS5 Translational outputs & future research priorities

Group Exercises

Problem identification

Goal setting



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Problem identification

1. What is the core problem/issue you are trying to address with this funding?
 - In 2 groups, brainstorm problems/issues to be addressed. Write ideas on post-its & present to group.
2. Mapping of actors/stakeholders in the context
 - In 2 groups, note down on post-its all relevant stakeholders (8-10 stakeholders –these could be existing and new relationships with research partners)
3. Receptiveness of stakeholders in the context to new evidence on the issues
 - Add smiley faces to stakeholder maps (5 mins)



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Goal Setting



Goal setting – group exercise

- 1. What will be the long term impact of this Collaboratory's work i.e. in 10 yrs time?**
- 2. What does this Collaboratory aim to achieve by end of programme/Yr5?**
 - In 2 groups, brainstorm for 15 mins. Write ideas on post-its. Then, refine goal definition adding as much detail as possible.
 - In developing your goal definition, consider:
 - ✓ How would you define success of the programme?
 - ✓ What is this the most important change?
 - ✓ Who will benefit (target population)? What will this change look like for them?



6 November, 2019



Malaysia Collaboratory: Pathways to change

10th July



Draft goal statements

To improve water security for socio-ecological systems in the Upper Cauca River Basin.

More innovative knowledge and governance systems for sustainable water security in Ethiopia.



Goal statements

- To develop tools and evidence base to inform collective decision making to allow integrated governance solutions and greater awareness among stakeholders
- To implement an effective IRBM model in the Johor River Basin through stakeholder coordination, empowered communities, transparent data sharing and the generation of compelling evidence through research.



Observations / questions

- How is IRBM different from IWRM?
- Are the bottom and top-down approaches reflected in the goal statements?
- Alignment of research priorities with goal
- Capacity of Collaboratory & Hub to support in delivering this goal



Alternative goal statement



To develop water governance solutions* that enable integrated river basin management in the Johor River Basin.

* Behaviours and types of stakeholders to be specified

**A platform by which various stakeholders can more effectively implement IRBM. Characteristics: stakeholder coordination, empowered communities, transparent data sharing and the generation of compelling evidence through research



Operationalizing the goal



- 1) Which indicators will we use to measure success of this goal?
- 2) How much does the situation/population need to change in order for us to feel that the goal has been achieved?

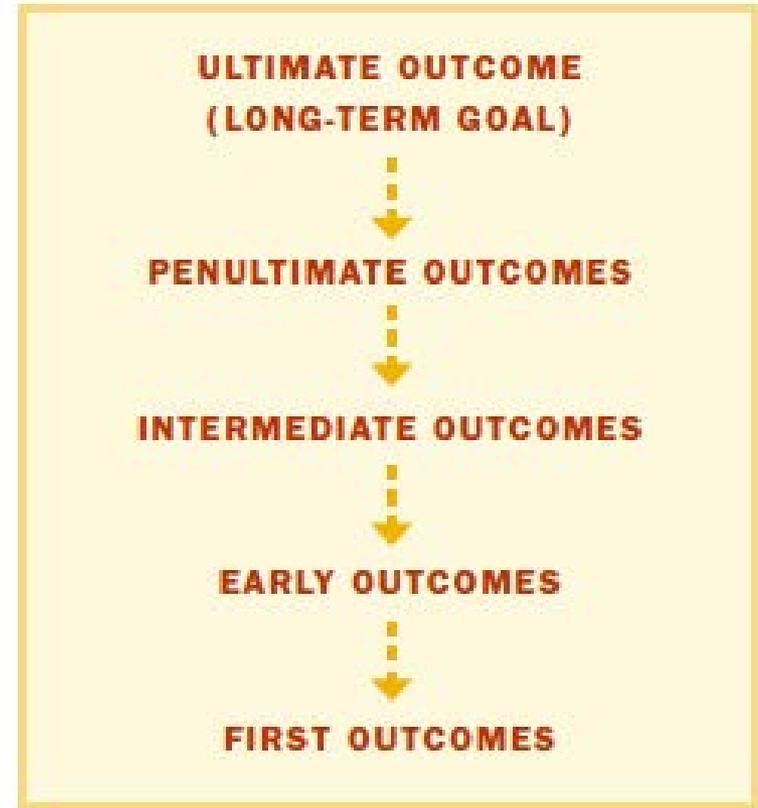


Outcome mapping

- The preconditions that are needed in order to achieve the goal.

Think of these in terms of results, accomplishments, states, changes. We're not interested in what you will do at this stage, rather what changes need to happen.

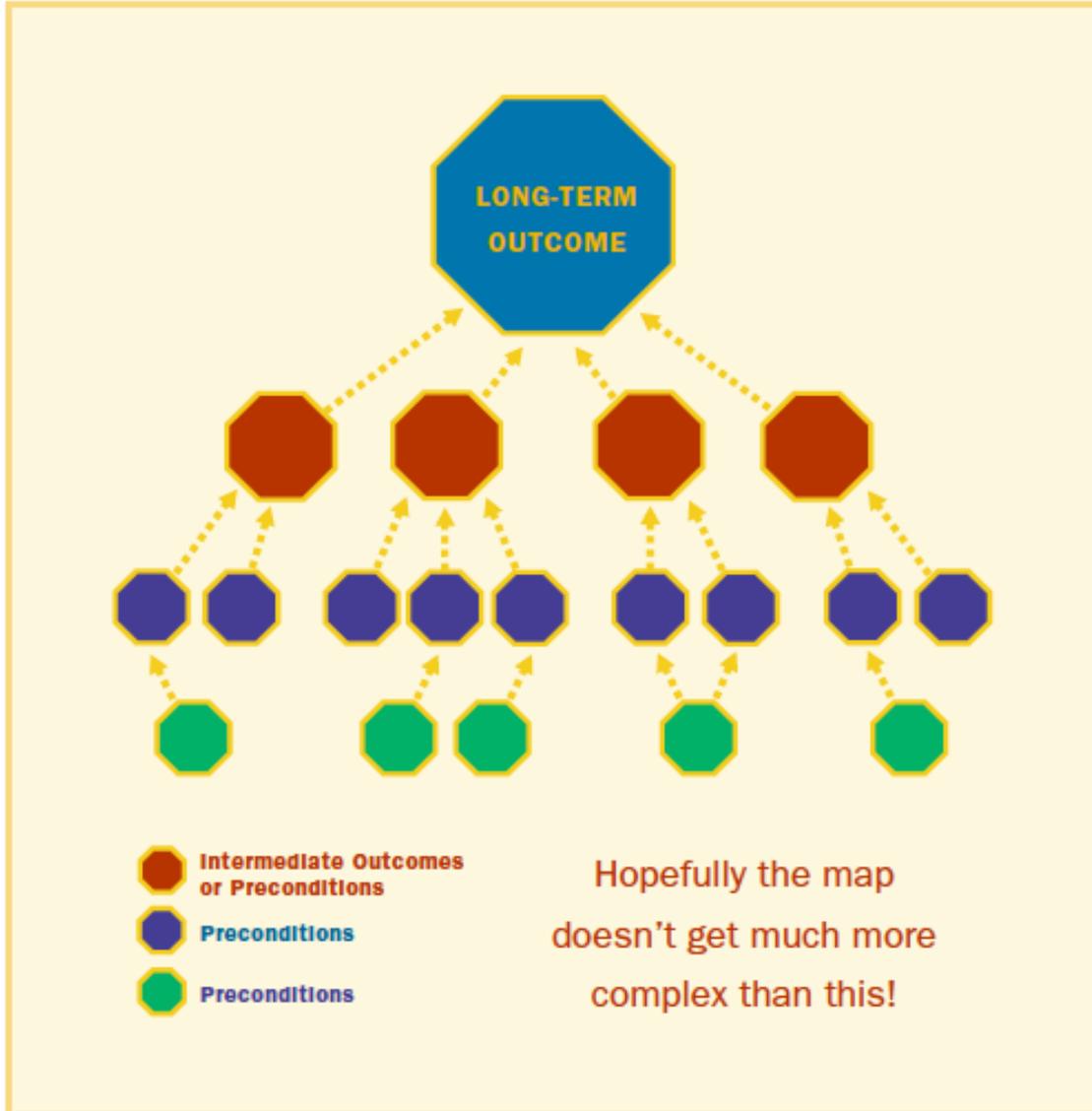
A well constructed outcome map => you can explain the logic of the change process through a series of 'if...then...' statements.





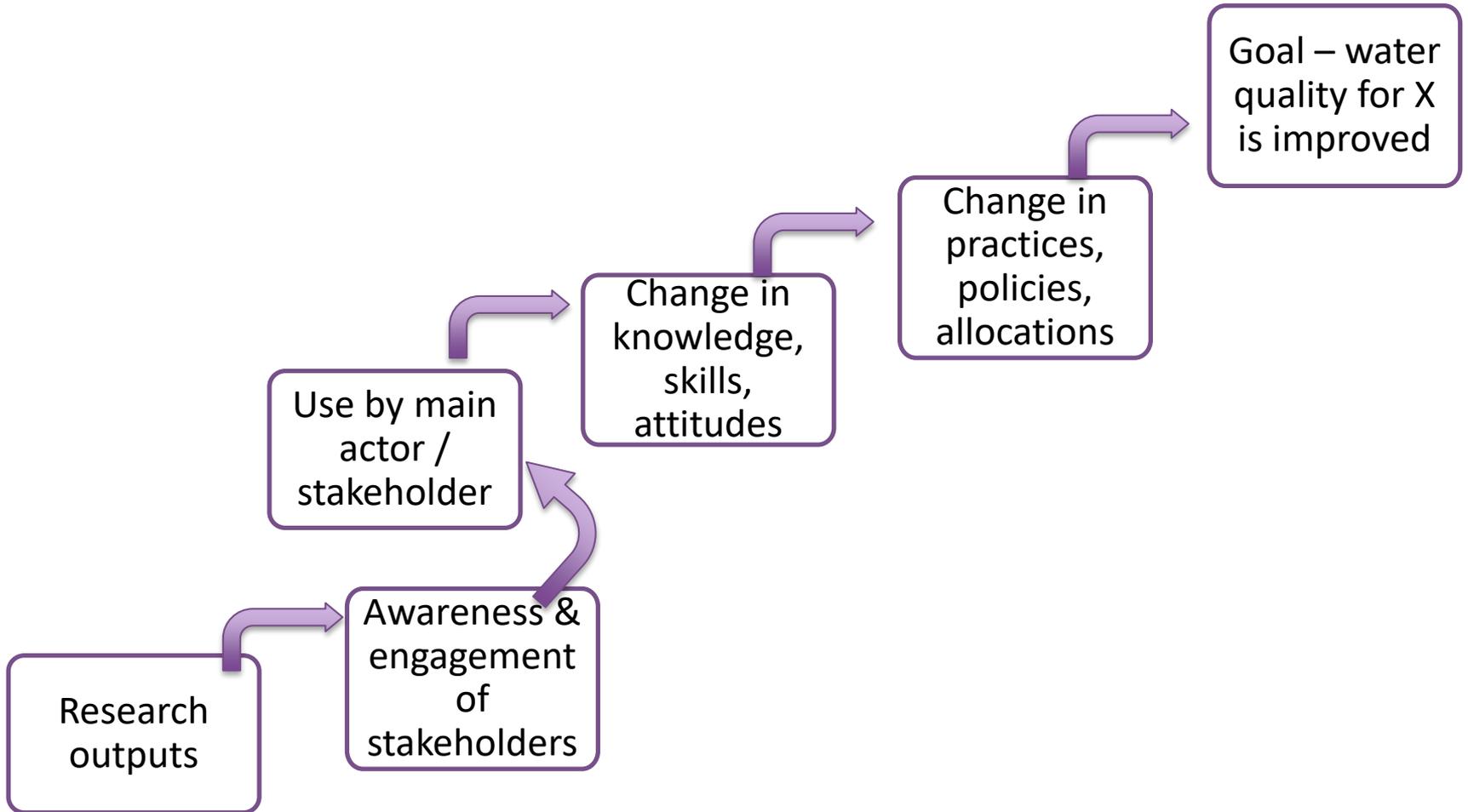
Pathways to change

FINAL PRODUCT OF PATHWAY MAPPING





Generic Outcome Sequence (linear change process)





Changes to consider

- (New) knowledge
- Uptake/use of research
- Adoption of solutions
- Scaling out/up of knowledge/solutions
- Changes in stakeholders' behaviours
- Focus on changes within control of programme, but also be mindful of changes outside of control
- Be honest about trade offs – winners and losers in the change process
- Consider factors contributing to the goal (discussed yesterday)



Preconditions for achievement of the goal – group exercise

What are the preconditions for the achievement of the goal?

- In 2 groups write on post-it notes the penultimate changes, results, accomplishments that are necessary and sufficient for achieving the goal?
- One 'change' per post-it note please

Example of penultimate outcomes for 'Improve water security for socio-ecological systems in the UCRB':

- Recovery of water regulation services
- Farmers are using agro-ecological systems
- Integration of planning (tools) within & across government institutions (horizontal and vertical)
- Empowered communities (for social control)



Assumptions

- What assumptions have been made?
 - ✓ Contextual and causal assumptions
- Why are those preconditions necessary and sufficient for achievement of the goal?
- Are there others that are missing?
- Are there trade-offs to consider?



Backwards mapping of outcomes – group exercise

- Each group will be allocated ‘penultimate outcomes’ to work from
- Write on post-its the changes, results, accomplishments that are necessary and sufficient for bringing these outcomes into being – what are the preconditions for this penultimate outcome? Try to determine **2 more levels of change**.
- Work on each outcome at a time, moving backwards towards first outcomes. Note: first level outcomes represent where you expect to be by March 2020
- Add arrows to show relationships between pre-conditions



Review of Outcome map

- ✓ Check the underlying logic of the outcome map:
 - Plausible (a compelling story?)
 - Feasible (resources available to deliver this change?)



Review outcome map against Hub ToC



- Where do the theories converge/resonate and differ?



6 November, 2019



Malaysia Collaboratory: Logframe

11th July - morning session

Goal: To establish water governance solutions that enable integrated river basin management in the Johor River Basin

Establishment of river basin authority to oversee management of river basin

Establishment of a strategic framework for integrated river basin management

Empowerment of communities (making decisions; voices heard)

Endorsement of a new river basin management structure by Federal and State government

Improvements made to existing components of a strategic framework

Greater concern for environment/ intention to adopt more environment-friendly behaviors)

Acceptance of integrated river basin management (evidence & tools) within communities (by leaders?)

Establishment of working partnerships, including stakeholder working group to develop strategic framework

Delivery of evidence & tools that address stakeholders' needs, including future flood and drought risks to local area captured (and prioritized) in National Strategy for Climate Change (other Ministries' strategies or policies?)

Establish baseline: (water) quality, accessibility and usefulness (value?) & context setting(?)



Classic logframe



Definition	Indicator(s)	Means of verification	Risks/ assumptions
Impact			
Outcome 1			
Outcome 2			
Output 1			
Output 2			
Activities			

[REACH Logical Framework- edited.xlsx](#)



Examples of outcome indicators

Outcome: Strengthened technical capacity in the design, delivery and monitoring of water security interventions

Indicators:

- # of years of training for researchers (disaggregated by nationality, experience);
- # of researchers that deliver plans that articulate X,Y Z (tbd))
- % of water security interventions that embed X, Y, Z principles/criteria etc (tbd)
- Concrete examples of positive interactions between the research team and practitioners



Outcome: Communities are better safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner

Indicators:

- Number of CSOs/CBOs, and other multi stakeholder management regimes with strengthened capacity and actively engaged in more sustainable use/management of natural resources
- Number of local and national policies and plans with allocated regimes for community, collective or co-management of natural resources
- Number of effective natural resource management plans implemented and enforced.



Goal: to establish water governance solutions that enable integrated river basin management in the Johor River Basin

Indicators: ?

Target: ?



Group exercise

1. Each group works on two of the outcome pathways
2. Select 4 levels of outcomes (btw penultimate and early outcomes) for each outcome area
3. Identify at least 1 indicator per outcome
4. Estimate a target for success against each outcome indicator (how much change? by when?)
5. If time, list activities that need to be delivered in order to achieve outcomes

Check: Do the activities address our assumptions?



Collaboratory Outcomes Table



Outcome area 1:

What does the programme need to do?

Outcomes	Indicator(s)	Target	Activities



Outcomes Table



OUTCOME 1

Assumptions – *In the space below add any other assumptions you have made about achievement of this outcome*

Quantitative indicators – *What quantitative dimensions of change are you planning to measure for this outcome area?*

Indicator	Indicator description (No. or %)	Baseline	Target	No. Females (if applicable)	No. Males (if applicable)	Data Collection Method and Frequency
1a						Data collection method: Frequency:
1b						Data collection method: Frequency of data:

Qualitative narrative indicators – *What other (non-numerical) factors are you going to observe for this outcome?*

Indicator	Indicator description	Expected change	Data Collection Method and Frequency
1c			Data Collection method: Frequency of data collection:
1d			Data Collection method: Frequency of data collection:



Next steps



- ✓ Identify small group of 3 to complete outcomes tables
- ✓ Submit outcomes tables & and refinements to the outcome map by 22nd July
- ✓ Feedback from INTRAC and final revisions by end July



Workshop wrap-up



- ✓ Summary of CC ToC and logframe
- ✓ Feedback on the workshop – have we achieved our objectives?
- ✓ Parking lot – decide what to do with these
- ✓ Working definitions