Appendix 3: Examples of Theories of Change

Collated and annotated by Isabel Vogel (consultant) and Zoe Stephenson, DFID EVD, July 2012

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1. Introduction

This document provides examples of theories of change of different types. They are presented as examples, not as templates. The range of examples represents how different groups have approached their theory of change thinking.

There is no 'perfect' example, as all theories of change should vary depending on the views of those involved in its development, the context and nature of the intervention, and the purpose for which the theory of change has been developed.

However, there are some core criteria which a theory of change should meet in order to optimise the usefulness of the product in communicating an overview of the intervention and the thinking behind it to an external audience.

DFID Evaluation Department has developed a checklist explaining these criteria. The examples in this document are annotated according to the checklist.

1.1 Types of theory of change

The recent review of theory of change highlighted that differences can be observed in the form and function of theories of change produced by different organisations. In very general terms, donors, foundations and policy-level organisations and departments tend to work with high-level theories of change that cover sectors and policy areas at a generic level.

Implementing agencies tend to develop their theories of change in detail in order to support management decision-making, evaluation and performance management frameworks. Therefore, the examples are presented according to the following categories:

- DFID country and sector programmes' theories of change
- Generic archetypal causal pathways for policy areas, intended to be applied in different contexts
- Implementing agencies' theories of change.

1.2 DFID Evaluation Department Draft Checklist for theories of change (July 2012)

1. Analysis of the context
Does the theory of change make sense as a response to analysis of the context, the problem and the changes needed? Is there one statement that sums up the theory of change?
2. Clear Hypotheses of Change
Are causal pathways well mapped in a diagram? ie - • In detail - including intermediate outcomes? • No missing links? • Conceptually clear - no congested boxes containing several inputs, outputs, outcomes or causal links all lumped together? • Presenting the specifics of this programme not just a generic type of intervention?
Are assumptions made explicit (in the diagram or text) - • about the causal links? • about implementation • about context and external factors?
Does the narrative highlight and describe the overall logic of the intervention and the key hypotheses which the programme is based on?
3. Assessment of the Evidence
Is there a narrative assessment of the evidence for each key hypothesis? • Is the strength of the evidence assessed? • Does the assessment make sense given the evidence referred to?
3. Other
Is the theory of change and logframe consistent?
Do the evaluation questions mentioned in the management case pick up on hypotheses in the theory of change which have a weak evidence base?

2. DFID Country and Sector Theories of Change

2.1 DFID Programme: Theory of Change for Improving the Quality of General Education in Ethiopia

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

The analysis of the context is made in a separate section. It would be more helpful if a short statement were made that summarised the fit between the theory of change and the contextual conditions.

2. Clear hypotheses of change

- Are the causal pathways well-mapped in the diagram?

The causal pathways mapping would benefit from some clearer explanation in the diagram. It is implicit in the text. There are some missing links, especially at the outcome to impact level.

The conceptual clarity of outcomes at different levels could be improved by separating out outcomes in the blue box – for example, this includes changes that relate to programme activities (e.g. management information system strengthened) as well as some changes in practice (e.g. improved accountability).

The narrative spells out the specifics of the Ethiopian education context, but this could be reflected more in the diagram.

- Are the assumptions made explicit?

The analysis clearly spells out the key assumptions that underlie the theory of change. Assumptions about the context and external factors could be explored in more detail, especially the implications of relying on donor harmonisation.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

The overall logic is not elaborated, the theory of change would benefit from an overview statement. The key hypotheses are well-described.

3. Assessment of the evidence

- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

Yes, there is a narrative assessment and it the assessment fits the evidence referred to.

4. Other: Consistency between theory of change and log-frame?

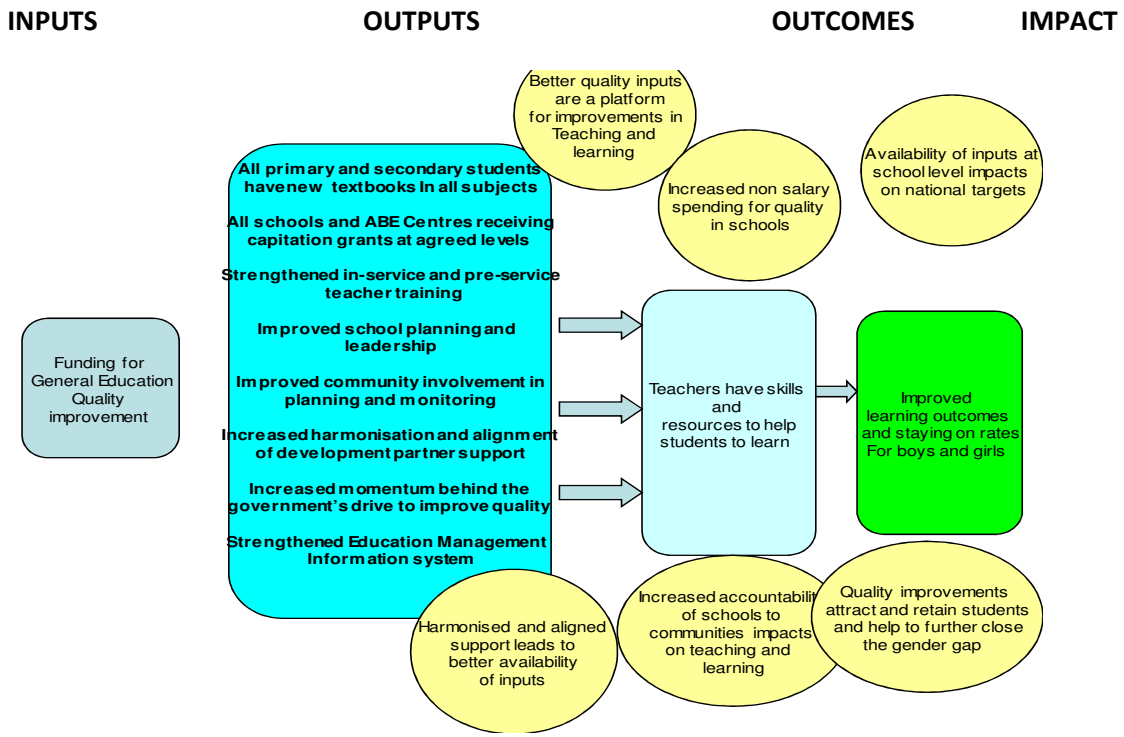
Log-frame not included so comment not possible.

Improving the Quality of General Education in Ethiopia

The key assumptions underlying the theory of change for this support are as follows:

1. That harmonised and aligned support will lead to increased availability of key inputs at school level
2. That enhanced teacher training and professional development has a positive impact on learning
3. That the provision of textbooks has a positive impact on learning
4. That increased accountability of schools to communities will impact positively on learning outcomes
5. That increased discretionary spending will be used by schools to improve quality
6. That these inputs will have a positive impact on retention of students and closing the gender gap.

Figure 3: Theory of Change



The evidence underpinning the key assumptions in the Theory of change is summarised below.

1. Does harmonisation and alignment lead to increased inputs? Limited evidence

Multiple and fragmented development assistance has the potential to increase transaction costs for recipient Governments as well as for duplication of effort and reduced inefficiency of resources. The empirical evidence that more harmonised and aligned approaches lead to improving the effectiveness of aid and delivering better outcomes is however limited. The issues appear to have been studied more in health than in education. A review of harmonisation and alignment in health commented that "it is unclear how to separate out the impact of aid practices such as having a sector wide approach or more aligned aid, from the impact of the health strategies and policies followed, and the adequacy of financing and implementation capacity[i]

A recent synthesis of the evidence to determine whether aid effectiveness processes are improving results in the health sector reached a similar conclusion – it is difficult it is to demonstrate the impact of processes such as harmonisation, but that they do contribute to development through creating conditions for sustainable impact[1]

Evidence to date from Ethiopia indicates that harmonisation and alignment in the education sector is a mechanism for attracting additional resources in support of the government's quality improvement plan. The GEQIP instrument attracted $168 million of Fast Track Initiative financing which would have been difficult to mobilise with pre-existing instruments. The approach has also helped to encourage other donors working on general education to harmonise their support. Most notably, USAID is supporting government efforts to improve textbooks through complementary support.

Major achievements of GEQIP to date include:

- The development and distribution of over 7 million secondary science and mathematics textbooks
- Strengthened school planning and school grants to over 27,000 primary and secondary schools
- Improved pre-service teacher training for over 40,000 primary and secondary teachers
- Upgrading of over 30,000 primary teachers from certificate to diploma

GEQIP is not without its problems and these are summarised in the recent Mid term Review of the Project[2]. There are concerns about the pace of procurement of textbooks and delays in financial reporting. Despite these caveats, partners agreed during the review that the project was making good progress and signalled that it could effectively absorb additional funding up until the end of the first phase. As described in the previous section, fiscal space has been created in GEQIP through the expanded scope of the programme.

2. How does enhanced teacher training impact on learning? Strong evidence

International evidence suggests that, after family characteristics, teacher quality is the most important contributor to quality of education[3] . From the evidence, it is clear that teacher quality can be

[1] Dickinson (2011) Is aid effectiveness giving us better health results? HLSP Institute, London.
[2] Aide Memoire for the General Education Quality Improvement Programme Mid-Term Review Mission, May 2 – 21, 2011 (Annex 7). Quest no. 3120734
[3] OECD. 2005. Teachers Matter: Attracting, Developing and Retaining Effective Teachers, Paris: OECD.

improved by both pre-service and in-service training. The World Bank[4] found in Ghana that after textbook provision, teacher training was the next most cost effective means of improving test scores. However, the evidence also shows that not all teacher training interventions have been successful in improving quality, and that the structure and quality of the teacher training is of critical importance.

In Ethiopia, there is some evidence of the impact of teacher training. The NLA data shows that higher test scores were significantly correlated with the provision of teacher training (at Grade 4 and 8 in 2004, and at Grade 4 in 2007). Similarly, the preliminary findings of the school based component of Young Lives research found a relationship between teacher qualifications and experience and student math scores, although this may be confounded by student age. However the impact of teacher training is not always clearcut. For example, qualitative studies of the TDP 1 teacher training interventions found that the training was not always reflected in observed classroom practices[5]. The available evidence suggests the need for training to be relevant to classroom reality in order to maximize the chance of teachers adopting new techniques in the classroom and to be linked to better management of teachers at school level to maximize time on task[6].

GEQIP tackles both the relevance of teacher training and the management of teachers. The first through a strengthened practicum component during in-service teacher training and through revised and improved teacher training materials. The second through provision of school leadership training and also structured continuous professional development for practicing teachers. Broader issues around pay and incentives for teachers are not addressed directly by GEQIP but are part of our broader dialogue with government on the effectiveness of the civil service through other instruments such as PBS and PSCAP.

3. How does the provision of textbooks impact on learning? Strong evidence

The GEQIP Project Appraisal Document summarises substantial evidence that has demonstrated that textbooks have had a consistently positive effect on student achievement. Recently, a World Bank study[7] found that in Ghana, "textbook provision is among the most cost effective means of improving test scores." Several studies have had more nuanced findings. For example, Glewwe, Kremer and Slviemoulin[8] found little evidence of the impact of textbooks on the average test scores of students in Kenya, contrary to the results they found in Nicaragua and the Philippines. A possible explanation was the lack of training for teachers in the use of textbooks in Kenya – extensive training in the Philippines and minimal training in Nicaragua. Nannyonjo[9] found a small correlation between improved textbook provision and higher test scores. The study suggests that the impact of textbooks may be limited by

[4] World Bank (2004) Books, Buildings, and Learning Outcomes. An Impact Evaluation of World Bank Support to Basic Education in Ghana. Washington, DC: World Bank.

[5] Dewees, A. and Terefe, H. (March 2010) TDP I Completion Report. Unpublished report.

[6] DeStefano, J and Elaheebocus, N. (June 2009) School Quality in Woliso, Ethiopia: Using Opportunity to Learn and Early Grade Reading Fluency to Measure School Effectiveness. USAID

[7] World Bank. (2004). Books, Buildings, and Learning Outcomes. An Impact Evaluation of World Bank Support to Basic Education in Ghana. Washington, DC: World Bank.

[8] Glewwe, Paul, Michael Kremer and Sylvie Moulin. (2001) "Textbooks and Test Scores: Evidence from a Randomized Evaluation in Kenya". Development Research Group, the World Bank, Washington DC.

[9] Nannyonjo, (2007).Education Inputs in Uganda An Analysis of Factors Influencing Learning Achievement in Grade Six : World Bank, Africa Region Human Development Dept., Washington, D.C.

teachers making poor use of textbooks, and emphasizes the need to link textbook provision with appropriate teacher training

Evidence from Ethiopia very strongly suggests that textbook usage improves academic achievement. For example, the findings of the 2007 National Learning Assessment (NLA) demonstrates that, for all subjects, Grade 8 students with a textbook in a particular subject obtained higher test scores on average. It also finds that having textbooks in English, mathematics and the sciences were all significantly and positively correlated with improved overall learning outcomes of both Grade 4 and Grade 8 students. These findings were confirmed in the 2010 NLA conducted in grades 10 and 12. The same study also found that a student having his/her own textbook was positively associated with performance. Similarly the 2010 Early Grade Reading Assessment found a strong positive relationship between having a textbook and reading fluency[10] . While GEQIP supports the provision of textbooks in all grades, the EGRA findings have led to a renewed emphasis and impetus to tackle early grade reading problems both through GEQIP and by other partners such as USAID.

4. Do interventions to enhance school accountability improve learning outcomes? Limited evidence

Recent evidence from Sri Lanka[11] shows that a school improvement programme focusing on greater community involvement and better planning in schools resulted in significantly improved English and maths scores for grade IV students compared to control schools. Interestingly, results from a school report card intervention did not have any significant impact on student results. In a DFID supported pilot project in Somali region of Ethiopia, PTAs are already increasing enrolment and attendance rates, especially of girls[12].

However, there has been no systematic study in Ethiopia to date of the impact of school level planning processes and increased accountability of schools to communities on student achievement.

5. Do interventions to increase discretionary spending improve learning outcomes? Limited evidence

International evidence shows that the provision of school grants is an effective mechanism to strengthen school-based management, increase community participation, improve transparency and accountability in the use of available resources, and improve learning outcomes[13]. In Ethiopia, the limited evidence suggests that schools' discretionary resources have positive impact on student learning outcomes. The 2007 National Learning Assessment, for example, found positive correlations between schools available funding and student performance.

6. How do interventions combine in the classroom to improve learning? Limited evidence

Rather less is known about how specific interventions interact to improve learning, and whether any particular intervention is more cost effective than another. However, school effectiveness research

[10] USAID Ethiopia (2010) Ethiopia Early Grade Reading Assessment. Data Analytic Report. RTI International

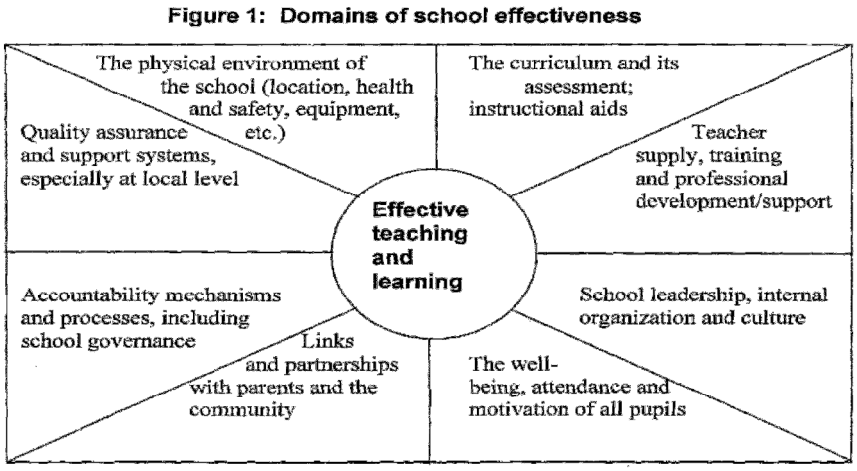
[11] World Bank (May 2011) An impact evaluation of Sri Lanka's policies to promote the academic performance of primary school students through school improvement and report card programmes. South Asia: Human Development Unit. Report No.35

[12] Save UK (February 2011) Emerging Lessons from the BRIDGES Project: Piloting the delivery of quality education services in the developing regional states of Ethiopia, Addis Ababa

[13] Hanushek, E. and Wosmanm, L. (2007) Education Quality and Economic Growth. The World Bank, Washington DC

points to the need for a holistic approach. Figure 4 illustrates a model with eight domains of school effectiveness that have been posited contribute to high quality teaching and learning

Figure 4: Domains of school effectiveness



Although GEQIP does not address all eight domains of the model, the figure above illustrates where the project is seeking to add value. The key to the success of the intervention rests on the extent to which the project components are implemented in coordination with other inputs. For instance, GEQIP does not include infrastructure investment or finance for teacher salaries, but these are supported through complementary financing through PBS. Nor does GEQIP support demand side constraints such as the well-being of students, but these will be the subject of a separate DFID workstream.

A study of the determinants of primary schooling in Ethiopia[14] using household survey data found that while the physical supply of schools continued to be an important barrier, the quality of schooling was also an important variable in persuading parents to send their children to school. Other literature from Ethiopia suggests that key issues beyond the availability of resources and improved school planning will revolve around teacher time on task and promotion of approaches which maximise learning. For example, on a small sample of schools, USAID-funded research[15] focusing on reading achievement concluded that teacher absenteeism and effective use of teaching time were both key factors in explaining reading scores. GEQIP as planned included a comprehensive evaluation of the programme and its impact on teaching and learning. The evaluation of GEQIP, to be commissioned this year, will generate evidence of what works with respect to improving education quality in Ethiopia.

7. Do quality interventions contribute to attracting and retaining students and closing the gender gap? Medium evidence

There is relatively robust evidence with respect to what works with respect to girls accessing and staying in school. These include a mixture of demand side and supply side interventions. Important factors are making schools safe places (including separate latrines for boys and girls), locating schools close to girls' homes, and changing attitudes towards the importance of schooling for girls[16]. Factors

[14] Schaffner, JA (November 2004) the determinants of schooling investments among primary school aged children in Ethiopia. Human Development Sector, Africa Region, The World Bank
[15] DeStefano, J and Elaheebocus, N. (June 2009) op cit
[16] Chitrakhar, S. (2009) Overcoming barriers to girls' education in South Asia: deepening the analysis. UNICEF, Regional Office for South Asia

associated with drop out include high rates of repetition, inflexible schooling, language of instruction, and access to post primary education[17].

In Ethiopia, available literature points to the importance of the quality of services delivered, including teacher training, and an increased supply of basic materials, as important factors in enrolling and keeping children in school[18] [ii]. Other literature confirms the relationship between delayed entry and drop out[iii], and between violence and school attendance for both girls and boys[iv] and also the importance of demand side interventions to address opportunity costs to families of sending girls to school.

[17] Create (September 2009) Dropping out from school. Policy Brief No.9. Consortium for Research in access, Transitions and Equity

[18] Schaffner et al (November 2004) The determinants of schooling investments among primary school aged children in Ethiopia. Africa Region, the World bank

2.2 DFID Programme: Theory of Change for India Poorest States Inclusive Growth Programme (PSIG)

Checklist notes

1. Clear hypotheses of change

- Does the intervention make sense as a response to the analysis of the context?

Yes it does, based on the information given in the narrative.

- Are the causal pathways well-mapped in the diagram?

Reasonably, although there is a missing link between outcomes to impact. It lacks the link between increased access to financial services for the poorest communities to achieving increased economic growth that benefits the most vulnerable and poorest groups.

Also, a closer analysis of the causal link between women's decision-making and economic benefits is needed, but seems that this will be addressed through a pre-implementation study.

The conceptual clarity of the diagram could be improved – there are boxes containing a mix of activities, indicators and outcomes.

The specifics of the programme are presented.

- Are the assumptions made explicit?

Yes, although there is a missing link, with its associated assumptions between outcome and impact.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

Yes, it does.

2. Assessment of the evidence

- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

Yes, there is a narrative assessment of the evidence of each hypothesis and the strength is assessed. Some of the interpretation of the evidence could benefit from looking at a wider evidence base, especially in relation to women's empowerment. The evidence base is taken from economic empowerment literature, which is critiqued in literature from other social science perspectives, for example governance and social change literatures.

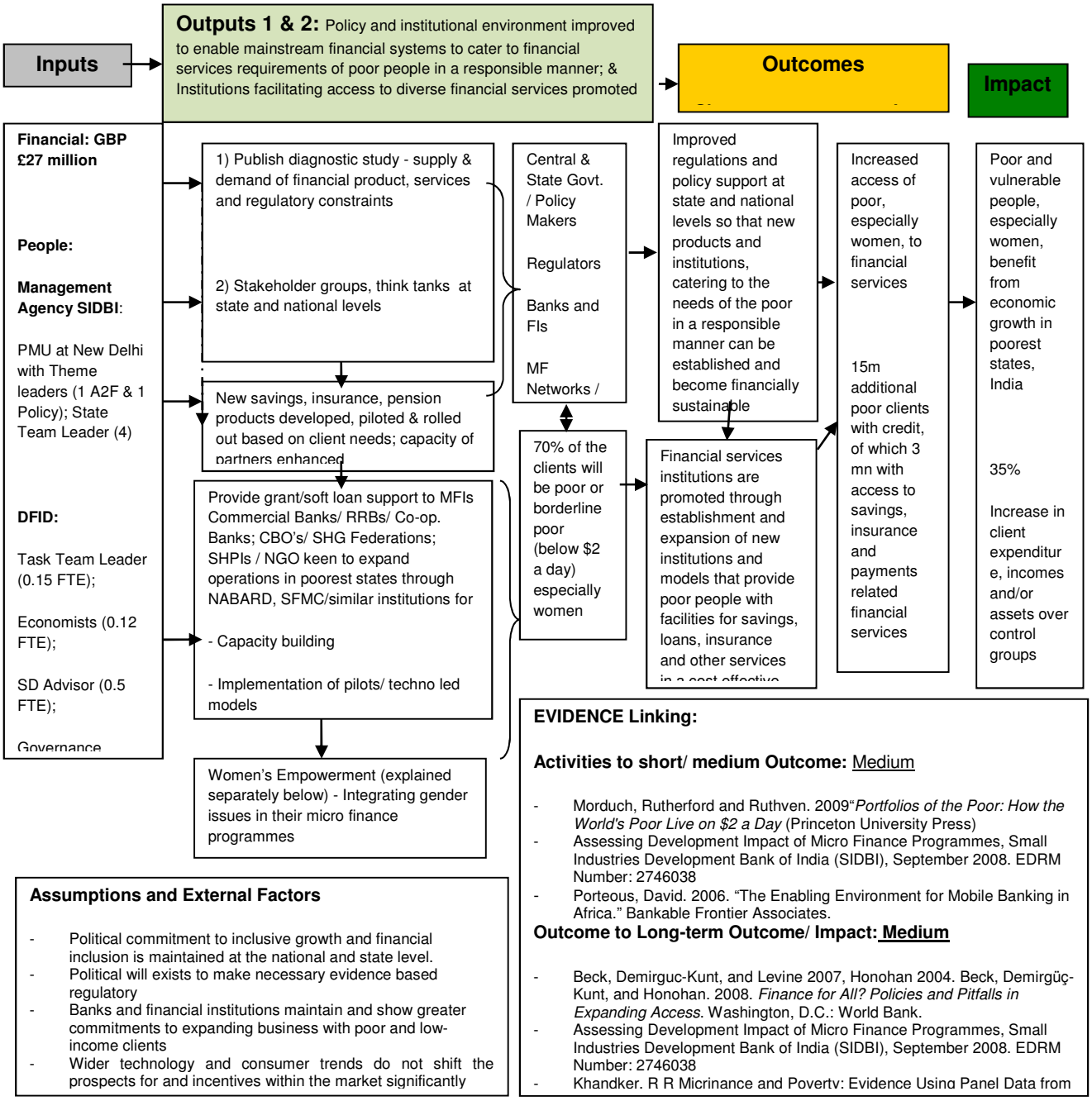
3. Other: Consistency between theory of change and log-frame?

Log-frame not included so comment not possible.

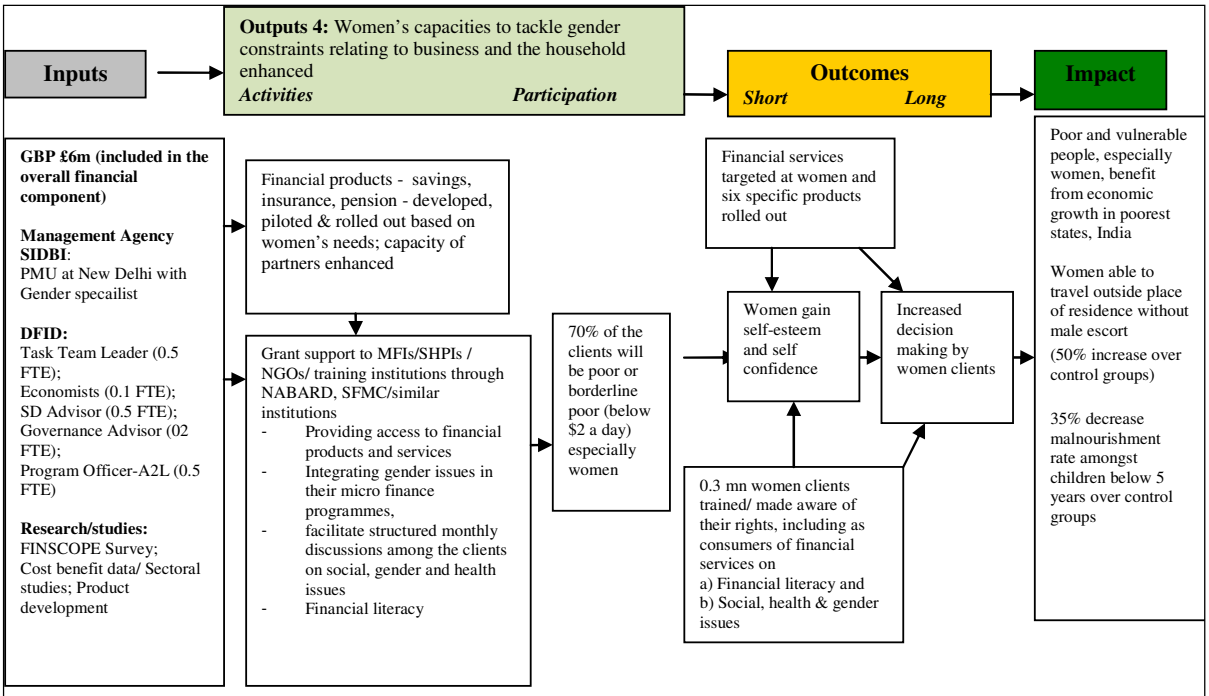
Strengths:

- Makes external factors and assumptions explicit
- Summarises the evidence for the links from activities to outcome to impact
- Gives overview of changes at different levels: national policy, financial services and institutions level, and individual level (empowerment)

Theory of Change: Financial Inclusion (45% of funds)



Annex3



Assumptions and External Factors

- Low cost approaches to building capacities of women on financial and gender issues will be explored during the operational phase
- Partner MFIs/SHPIs show commitment and willingness to take forward the issue; go beyond the assumption that simply organising women into client groups addresses gender issues
- Women are able/willing to determine and prioritize social/ gender issues and needs

EVIDENCE Linking:

Activities to short/ medium Outcome: Medium

- 'Littlefield, Elizabeth, Jonathan Murdoch, and Syed Hashemi, "Is microfinance an effective strategy to reach the millennium development goals?" Focus Note 24, Washington, D.C.: CGAP, 2003; Vaill, S., 2003, 'More than Money: Strategies to Build Women's Economic Power, Impact Report No. 1: Economic Opportunity Initiative, The Global Fund for Women, San Francisco
- Pitt, M., Khandker, S. and Cartwright, J., 2006, 'Empowering Women with Micro Finance: Evidence from Bangladesh', Economic Development and Cultural Change, University of Chicago; Microfinance Programme Impact Assessment 2003, United Nations Capital Development Fund Based on Case Studies in Haiti, Kenya, Malawi and Nigeria:

Outcome to Long-term Outcome/ Impact: Medium

- Kim, J. C. et al., 2007, 'Understanding the Impact of a Microfinance-Based Intervention on Women's Empowerment and the Reduction of Intimate Partner Violence in South Africa', American Journal of Public Health, vol. 97, no. 10, pp. 1794-1802 ; O'Rourke K, et.al., "Impact of community organization of women on perinatal outcomes in rural Bolivia." Rev Panam Salud Publica 1998 3(1): 9-14.
- Manandhar DS, Osrin D, Shrestha BP, et al. "Eff ect of a participatory intervention with women's groups on birth outcomes in Nepal: cluster-randomised controlled trial." *Lancet* 2004; 364: 970–79. Prasanta Tripathy, et al., "Effect of a participatory intervention with women's groups on birth outcomes and maternal depression in Jharkhand and Orissa, India: a cluster-randomised controlled trial"; Lancet 2010: 375; Syed Hashemi, Sidney Schuler, and Ann Riley, "Rural Credit Programs and Women's Empowerment in Bangladesh," *World Development* 24, no. 4 (1996): 635-53

[EXTRACT FROM PSIG BUSINESS CASE – Narrative to accompany diagram]

The project is based on the theory that microfinance services will not expand rapidly in the poorest states in the absence of catalytic donor support; and that provision of microfinance services reduces the cost of borrowing money from informal moneylenders, protects poor people from shocks that will otherwise push them into poverty and enables them to improve incomes and assets.

The second theory informing the project is that micro finance programmes can be leveraged to empower women (economically and socially). It offers an opportunity to organise women in huge numbers. By coming together and becoming part of a collective, women gain self-esteem and respect within their families and learn to take independent decisions. Providing women with access to financial products and services as well as information and knowledge on social issues including health, nutrition and their rights, helps reverse their lack of power and build their autonomy.

B. Impact and Outcome

The expected **impact** of the PSIG is 'Poor and vulnerable people, especially women, in the low income states benefit from economic growth through enhanced private investment and better access to financial services'. This will be measured by tracking household income and levels of empowerment amongst women supported by the project.

The key **outcomes** of the programme are:

- increased access of poor people, especially women, to financial services; (the total number of clients reached will be 12 million over the base year. Approximately 70% of the clients will be poor or borderline poor (below $2 a day);
- enhanced economic value generated for poor people by investments in enterprises
- enhanced decision making power for women.

PSIG will also deliver:

- Improved regulations and policy support at state and national levels so that new products and institutions, catering to the needs of the poor in a responsible manner can be established and become financially sustainable;
- Establishment and expansion of new institutions and models that provide poor people especially women, with facilities for savings, loans, insurance and other services in a cost effective manner;
- Establishment or growth of private sector entities that benefit the poor as producers, skill providers and consumers;
- Improved awareness among women of their rights, including as consumers of financial services, improved financial literacy; and improved information on social and health issues.

Evidence to demonstrate Impact and Outcome are achievable.

Component 1: Financial inclusion and women's empowerment

The previous DFID project with SIDBI demonstrated that relatively small amounts of donor finance can make the expansion of microfinance in previously unserved areas a viable proposition for financial institutions. It resulted in 6.6 million clients obtaining direct credit support as a result of the project, utilising approximately £12 m, each client costing £1.80. In the proposed project, a reach of 12 million using £25 million is considered realistic and cost effective, at approx, £2 per client – using cheaper more innovative operating models than previously, but including additional expenditure on

women's empowerment and M&E. The programme is expected to leverage additional loan funds of around £5 billion (£=INR70), assuming each beneficiary takes three loans, each averaging INR 8,000 over the programme period, i.e., cumulative INR 24,000 per beneficiary. This is in line with sector averages and trends in the progressive states.

Financial Inclusion (45% of funds)

See Annex 2 for **Theory of Change**

The overall evidence linking increased access of poor, especially women, to financial services and markets thereby enabling them to benefit from economic growth is medium.

How it will work: We will provide funds to mobilise and educate clients, build institutional capacity of intermediaries and support the development of new products and modes of delivery. In addition, we will bring government, non-government and private stakeholders together so that issues are discussed and regulatory mechanisms adopted are optimal. Loans and insurance products will be leveraged from mainstream institutions.

Evidence underpinning activities to short and medium Outcomes:

- Diversified products beyond micro-credit, such as remittances, micro-insurance, savings accounts and other financial instruments are needed to expand financial access.[v]
- There is a near to universal need for safe and secure savings and payment products as well as a high demand for insurance, credit, and international remittances**.** The needs of low-income households for financial services are high a Bangladesh study estimates that households are transacting about 60% of their annual income through financial instruments (a combination of formal and informal).[vi] Estimates indicate that there is a large unmet demand for savings, insurance and credit products. While designing appropriate and effective credit products remains important, the focus of interventions is increasingly expanding to also include additional product types covering savings, payment systems and insurance.
- Results can be produced relatively fast by encouraging both improvements in specific infrastructures (particularly in information and debt recovery) and the launch of financial market activities that can allow technology to bring down transaction costs as demonstrated in many Sub-Saharan African countries most recently M-Pesa in Kenya[vii]
- Robin Burgess, 2003, uses data between 1977 and 1990 to show that the Indian rural branch expansion program significantly lowered rural poverty, and increased non-agricultural output.[viii]

Evidence underpinning Outcomes to Impact

- Empirical evidence suggests that improved access to finance is not only pro-growth but also pro-poor, reducing income inequality and poverty.[ix] Finance performs two key functions beneficial to households and firms: risk management and inter-temporal consumption smoothing. These functions yield multiple direct and indirect benefits to households and firms, allowing them to take advantage of investment opportunities, smooth their consumption, manage day-to-day resources and insure themselves- – thus a critical survival tools for poor households [x]
- Impact assessment of a previous DFID India project indicates that between 2001-07, three fourths of client increased incomes by 69%, compared to 31% for the control group. A majority of clients used loans for consumption smoothening, expansion of existing enterprises, increasing expenditure on food, housing and education. A third of the clients repaid costly debt and diversified into new activities. Six out of ten clients felt that their social status had improved as a result of association with micro finance.[xi] Similar results were obtained through a comparison[xii] of borrowers, savers and non clients of SEWA Bank, India.

- Khandker, 2005 suggests that access to microfinance contributes to poverty reduction, accounting for 40% of the entire reduction of moderate poverty in Bangladesh; with greater impact on female participants, and with spill over impact in the local economy.
- Burgess, Besley and Esteve-Volart, in Operationalising Pro Poor Growth in India, 2005, highlighted that access to financial services in rural areas is critical to allow the poor to exploit investment opportunities, reducing poverty by both increasing the sensitivity of poverty to economic growth and by directly encouraging economic growth.
- Anirudh Krishna, undertook household level sample surveys across 3 Indian states, highlighting the need for microfinance services to help households both above and below poverty line to cope with expenditure shocks. These led to loans at high interest rates which were the main cause of households above the poverty line falling into poverty.

Theory of Change: Women's Empowerment (see Annex 3 for diagrammatic representation)

The overall evidence linking increased access of poor, especially women, to financial services and markets thereby enabling them to benefit from economic growth is medium.

How it will work: We will mobilise women, provide comprehensive financial services and market linkages, build institutional capacity and support new products and modes of delivery. In addition, we will support financial literacy, participatory learning cycles around issues affecting women and mitigate the negative impact such as increased workload, by addressing childcare and domestic responsibilities and reach out to men. The project design draws from the evidence-based recommendations for micro-finance programs to further empower women.[xiii]

Evidence underpinning activities to short and medium Outcomes:

- Women gain in their self-confidence, self-esteem and capabilities when they become part of a credit network and become aware of their rights.[xiv]
- They begin to discuss household finances with their spouses and take on a greater role in household decision making.
- Participation in a collective enables women to improve their status in their communities.[xv]

Evidence underpinning Outcomes to Impact

- Structured inputs and discussions with women on their rights enables them to challenge norms. An RCT in South Africa, combining training against domestic violence with a microfinance program led to reduction in intimate partner violence.[xvi]
- Using participatory learning cycles with women's groups led to significant improvement in neo natal mortality, post-natal depression and care seeking practices. A series of RCTs provide the evidence.[xvii]
- Women clients are more empowered than non-clients in terms of their physical mobility, ownership and control of productive assets (including land), decision making, and legal and political awareness.[xviii]
- Khandker, 2005 suggests that access to microfinance in Bangladesh led to greater reduction among women clients, and with spill over impact in the local economy.

2.3 DFID Programme Theory of Change: Roads in East DRC

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

Yes it does, based on the information given in the narrative. There is an analysis of the interdependencies of other factors that influence how roads and transport infrastructure contribute to development outcomes, e.g. regional stabilisation strategy, that have major influence on outcomes of project and so need to be addressed within the scope of the programme. Negative knock-on effects analysed and risks assessed.

Consider adding:

- Priority or critical path analysis – which would be the most important interventions to pursue in a challenging context?
- How might the ToC change as evaluation and research findings come in?

2. Clear hypotheses of change

- Are the causal pathways well-mapped in the diagram?

Yes, they are, multiple pathways are shown. The influence of other programmes and initiatives on the link between outcome and impact is acknowledged. More detail on intermediate links might be needed by implementing agencies.

Outcomes are clear and each separated out into an individual box. Outcomes could include some more specific details about who, when and how much change is sufficient.

- Are the assumptions made explicit?

Yes, assumptions at each level are made explicit. Some categorisation of assumptions would assist in the clarity of the diagram.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

Yes, it does.

3. Assessment of the evidence

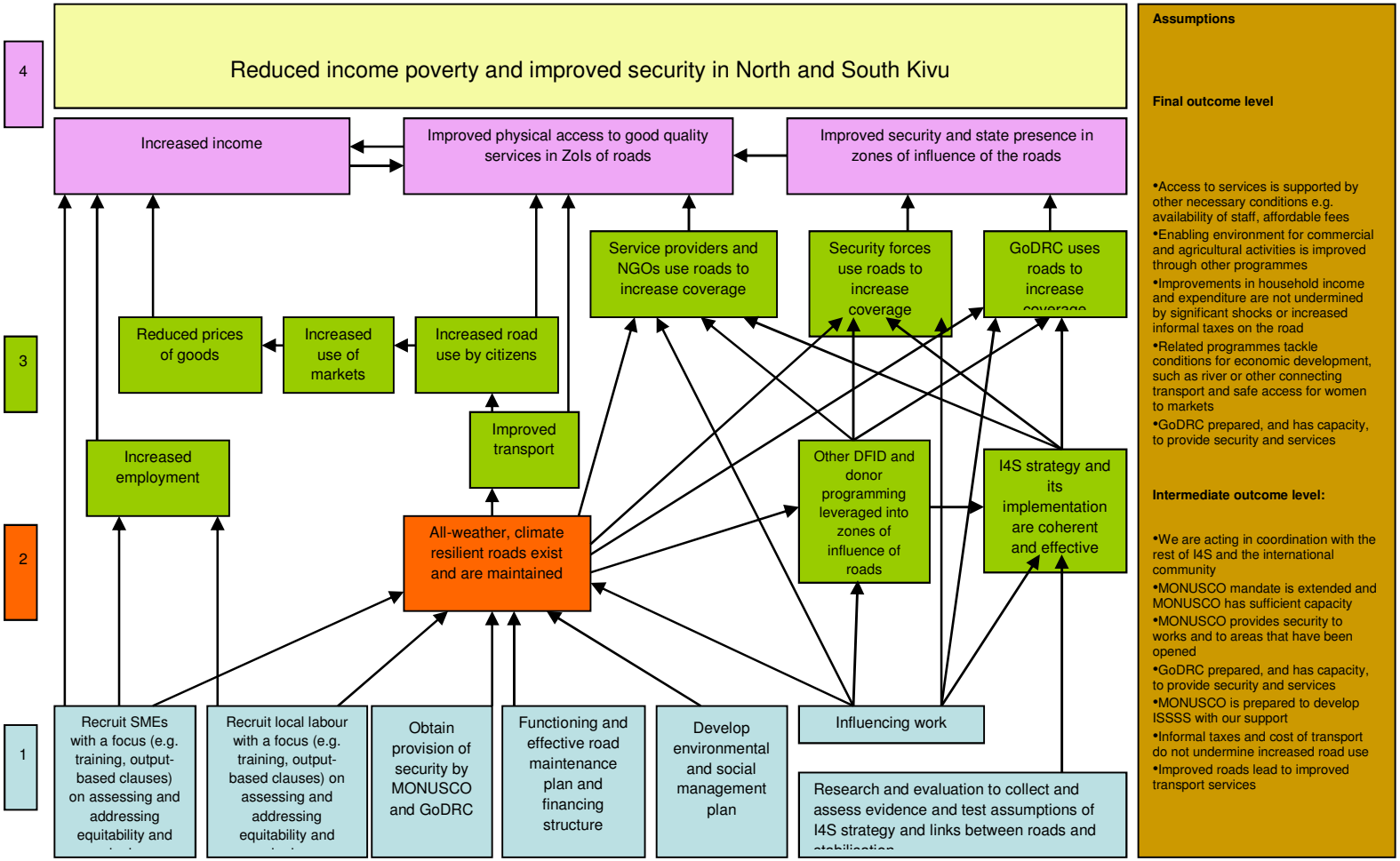
- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

Yes, it does. Strength of the evidence is assessed. Learning from previous phase and similar initiatives are include in the evidence base, the assessment could be strengthened by reference to a wider evidence base.

4. Other: Consistency between theory of change and log-frame?

Log-frame not included so comment not possible.

Roads and development in Eastern DRC
Theory of Change



Assumptions

Final outcome level

- Access to services is supported by other necessary conditions e.g. availability of staff, affordable fees
- Enabling environment for commercial and agricultural activities is improved through other programmes
- Improvements in household income and expenditure are not undermined by significant shocks or increased informal taxes on the road
- Related programmes tackle conditions for economic development, such as river or other connecting transport and safe access for women to markets
- GoDRC prepared, and has capacity, to provide security and services

Intermediate outcome level:

- We are acting in coordination with the rest of I4S and the international community
- MONUSCO mandate is extended and MONUSCO has sufficient capacity
- MONUSCO provides security to works and to areas that have been opened
- GoDRC prepared, and has capacity, to provide security and services
- MONUSCO is prepared to develop ISSSS with our support
- Informal taxes and cost of transport do not undermine increased road use
- Improved roads lead to improved transport services

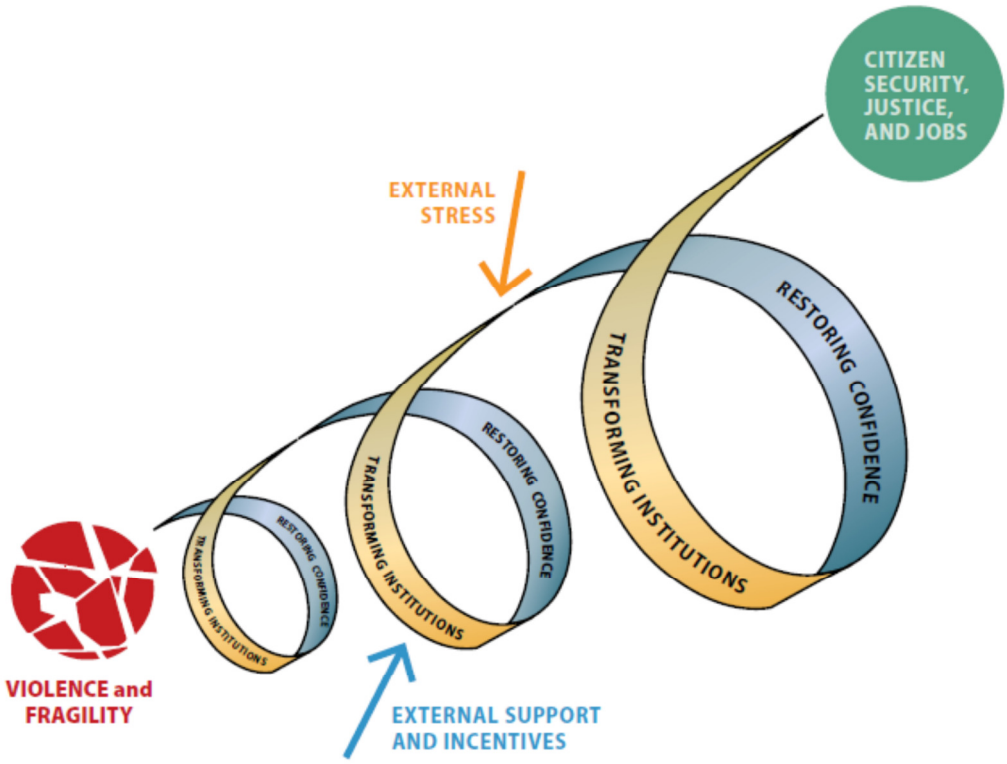
Theory – overview

The theory of change is based on the fundamental logic that a road can provide access to markets as well as allow for the provision of security, which in turn can lead to improved incomes and security for the population of North and South Kivu. Roads can also provide physical access to basic services, and as such are a necessary but not sufficient condition for improved health and education outcomes. The key assumptions in the theory of change are the provision of security by MONUSCO and/or the Government of DRC security forces, and the ability of the national roads fund to implement, with our support, the maintenance system we put in place.

This logic model is nested within two macro theories of change – those underpinning the International Security and Stabilisation Support Strategy (ISSSS) and DFID DRC's overall portfolio.

The ISSSS posits that road access is the first step in achieving stabilisation outcomes, with security and then restoration of state authority following in sequence. This tallies with the World Development Report 2011 framework of repeated cycles of action to bolster institutional resilience and build people's confidence (as shown in Figure 1 below). Roads provide an initial confidence boost to the population. A number of other conditions will then need to be put in place to ensure that this confidence is built upon, with sequenced investment in building institutional resilience through providing security and restoring state authority. It is then essential that the roads are maintained at a high standard, in order to maintain people's confidence that they have lasting physical access and to ensure the virtuous circle continues.

Figure 1: World Development Report 2011 framework



DFID DRC's overall theory of change is being developed, but emerging evidence shows that a more synergistic approach is required to ensure that development outcomes are achieved. For example, and as explained in more detail below, the first phase of investment in roads in eastern DRC showed that roads alone are a necessary but not sufficient condition for broader development outcomes. A range of other interventions, for example to address high user fees and availability of staff for basic services, to tackle market failures, or to strengthen community or provincial governance, are also required.

The linkages between the roads theory of change and the macro theories of change are explained below, and the evaluation plan sets out how we will seek to build evidence where there are gaps.

Links and assumptions

Inputs

The inputs to the programme will be around £20m of programme finance, a total of 20% of one full-time employee's time, and around 40 days per year of technical consultancy support to the delivery partner and the Government of DRC. We will also second a staff member to MONUSCO's Stabilisation Support Unit through another DFID DRC programme. This staff member will design an evaluation as set out in the evaluation questions section below.

Level 1 to level 2

At the lowest level (linking the blue boxes to the central orange box), the theory of change asserts that a number of activities are necessary and sufficient to deliver a single core output of all-weather, climate resilient roads that can be maintained. These include financing SMEs and local labour for roads works and maintenance; obtaining the necessary security from MONUSCO and GoDRC to allow the works to go ahead; building the capacity of a functioning maintenance system to take over maintenance of the roads once they are open; managing environmental and social risks and opportunities to ensure the sustainability of the roads; and influencing the design standards of the roads to ensure they are fit for the environment, traffic levels and specific needs of eastern DRC as well as the capability of local labour to maintain the roads. The evidence for this level of the theory of change is strong and has been well tested in DRC and worldwide.[19] The key assumptions underpinning this level of the theory of change is that MONUSCO and/or GoDRC provide security for the works to go ahead, and that we have sufficient knowledge of appropriate design standards to ensure the sustainability of the roads.

Levels 1 and 2 to level 3

At the next level of the theory of change (linking both the blue boxes and the orange box to the green), a number of the activities lead directly to intermediate outcomes, as well as the existence of high quality, maintained roads leading to intermediate outcomes:

- Recruiting SMEs and local labour with a focus on assessing and addressing equitability and gender issues leads to increased employment. The theory is that the recruitment of local people and companies leads directly to employment – the rationale for which is strong. The activity builds in a focus on addressing equitability and gender issues since we saw in Roads in the East Phase 1 that we cannot assume that the contracts issued to local SMEs or labour take into account local power structures or issues of equitability or gender. We would therefore ensure that the capacity of SMEs is built to ensure their contracts do no harm, and proactively seek to employ women through creative division of labour, payment for results, etc. Assumptions include a local SME market existing to supply the relevant services. We will test the market during the business case process and will seek to analyse barriers to entry in order to build SME capacity if it is not sufficient.
- Influencing work leads to security forces, GoDRC and service providers and NGOs using the roads to increase their coverage; to other DFID and donor programming being crowded in to

[19] See for example, the most recent annual review for the first phase of Roads in the East, showing the ability to rapidly re-open roads using local labour but challenged by the lack of security provided by MONUSCO (EDRM 3192570); Agence Française de Développement/World Bank, *Africa's Infrastructure: A Time for Transformation,* siteresources.worldbank.org/INT**AFRICA**/.../aicd_overview_english_no-embargo.pdf which shows that $1 of investment in maintenance in sub-Saharan Africa can save $4 of spending to rehabilitate roads that have deteriorated; the Low Cost Road Surfacing Project Working Paper No. 5 on mechanised and labour-based maintenance for un-paved rural roads which describes the Zimbabwe District Development Fund routine maintenance system.

the zones of influence of the roads; and to ISSSS and its implementation being coherent and effective – for example, through deploying police along the road as soon as sections are completed. The theory is that DFID can use its position as one of the largest donors to DRC and its engagement in security, governance and development, as well as its programmes in other sectors, to leverage in GoDRC, service provider, NGO, donor and other DFID programmes to the areas around the project roads. This in turn will make the ISSSS more truly programmatic – with security, restoration of state authority and basic services following road access – and therefore more coherent. The rationale behind this needs to be tested, as DFID has not proactively pursued such an influencing strategy or synergistic approach in the past. However, we have the opportunity to shape our own programme and a clear signal from MONUSCO that they would welcome our support to strengthen ISSSS.[20] The assumptions include the rest of ISSSS and the international community being prepared to coordinate; the MONUSCO mandate being extended and MONUSCO having sufficient capacity; MONUSCO providing security to areas that have been opened; and GoDRC being prepared, and having the capacity, to provide security and services.

- High quality, maintained roads lead to security forces, GoDRC and service providers and NGOs using the roads to increase their coverage; and to other DFID and donor programming being crowded in to the zones of influence of the roads. This differs from the previous bullet, which focuses on influencing, as this theory is related to the direct effect of the roads. The theory is that roads provide the physical access required for other organisations to deliver services, the evidence for which is strong at a global level[21] but medium in DRC and will be tested during the project.[22] This rests on the same assumptions as the previous bullet point.
- Research and evaluation to collect and assess evidence and test the assumptions underpinning both the ISSSS theory of change and the links between roads and stabilisation ensures that the ISSSS and its implementation are coherent and effective. We do not yet have sufficient evidence of the strength of the theory of change behind the ISSSS, or of the links between roads and stabilisation, and we therefore need to test these links. The theory is that this will allow us to strengthen the ISSSS by influencing it to make the necessary changes. The evidence is medium as we have not yet sought to influence the ISSSS, though our relationship with MONUSCO in the area is strong and they have invited our engagement.[23]
- High quality, maintained roads lead to improved transport, which in turn leads to increased road use by citizens, increased use of markets and reduced prices for consumer goods. The theory is that traffic levels will increase over time after the re-opening of a road that stays open year-round, and that this in turn will lead to improvements in commercial and passenger transport. The evidence is strong at the global level,[24] but medium in DRC where we have not yet seen strong increases in traffic numbers.[25] Assuming that travel prices are reasonable and are not undermined by informal road taxes, this should lead to more passenger and commercial journeys, and allow greater access to markets in key towns and along the roads. An increased ability to trade and cheaper transportation costs leads to reduced consumer prices for goods in locations where they are relatively high.

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[20] This has been discussed with MONUSCO during the development of this business case, and they have commented on this theory of change.

[21] *Literature review: Poverty-related impacts of roads investments*, Ti-Up, August 2010 (Quest document number 2761812)

[22] See for example the project completion report for the DFID-funded Kisangani-Ubundu project (Quest document number 3126242)

[23] See footnote 2

[24] See for example the Multi-Donor Trust Fund for Southern Sudan 2009 Annual Report and the project completion report for the Mozambique Feeder Roads Programme (Quest document number 739941)

[25] See footnote 4 and the most recent annual review for the first phase of Roads in the East, (EDRM 3192570)

Levels 1-3 to level 4

At the next level, the development of local SMEs, increased direct employment in road construction and maintenance, and reduced consumer goods prices lead to increased incomes. The theory is that increased private sector activity, new jobs and reduced prices, in the absence of significant shocks or new informal taxes on the roads, should improve incomes – the evidence for which is strong.[26] Two key assumptions are that the enabling environment for commercial and agricultural activities is improved through other programmes, so that goods are available to trade; and that related programmes tackle the conditions for economic development, such as river or other connecting transport and safe access for women to markets. There is no link in the theory of change between the existence of the roads and employment, since attribution of the indirect creation of new employment to roads is problematic. The theory of change therefore focuses only on direct employment generated by the construction and maintenance works.

A second link to the final outcome level posits that increased road use, improved transport and increased coverage by service providers and NGOs will improve physical access to good quality services in the zones of influence of the roads. The theory is that people are more able to physically access services such as health centres and schools by using the roads, and that the roads have led to an increased number of such services. The evidence that roads can increase physical access is strong,[27] but rests on the assumption that access to services is supported by other necessary conditions such as the availability of staff and affordable fees.

Increased coverage of the zones of influence by security forces and state authority leads to the third final outcome, which is improved security and state presence. The theory is that the provision of security by MONUSCO and GoDRC forces leads to improved security outcomes and perceptions, and that increased coverage of the area by GoDRC leads to the restoration of state authority, including Police Nationale Congolaise deployment and the establishment of basic administrative and justice services. The evidence for this is medium as quantitative data is weak,[28] and will need to be tested through the research and evaluation element of the project. As at the intermediate outcome level, this link depends upon the GoDRC being prepared, and having the capacity, to provide security and services.

Implicit links

A number of further elements are implicitly included in the macro theory of change, since roads can have an impact on a wide variety of DFID or ISSSS macro outcomes. These include, for example, links to an increase in legitimate trade in certified traceable minerals, regional trade in other goods

[26] See, for example, World Development Report 2006
[27] See footnote 3
[28] MONUSCO Stabilisation Support Unit Situation Assessment (e.g. Quest document number 3222284)

and humanitarian access, which are included in the elements of the theory of change on markets and services.

Negative theory of change

As well as the theory of change leading to the intended outcomes of the programme, there is a set of potential negative impacts that we will need to manage.

At the lowest level of the theory of change, the recruitment of SMEs and local labour could lead to inequitable distribution of employment-generated income and resulting threats to social cohesion if we do not understand and take into account local power structures, conflict dynamics, and gender issues. The logic behind this linkage is that the benefits of construction and maintenance employment could accrue to men, the most powerful and the most well-off, rather than the poorest and most vulnerable, including women.

The roads themselves – level 2 of the theory of change – could lead to a set of negative outcomes at levels 3 and 4. These include:

- Increased trade in bushmeat from protected species, illegal timber and illegal minerals. This trade poses risks to the environment and the climate in itself, but also provides economic benefits to armed groups and, potentially, FARDC and other actors
- Increased prevalence of HIV/AIDS and infectious diseases
- Economic exploitation, including extraction of rent through establishing road blocks and enforcing informal taxes by both state security institutions
- Sexual exploitation
- Risks of conflict, through increased use of the roads by armed groups, banditry along the road if armed groups' control of areas is successfully challenged by the state
- Risks to civilian protection due to increased presence of and activity by both armed groups and formal security institutions
- Negative impacts upon people's livelihoods, since the access provided by the roads may make the land in the vicinity and its natural resources more attractive to powerful individuals or groups and result in attempts to capture such land and/or resources
- Increased road traffic deaths and injuries

The logic is that these negative outcomes would lead not to increased road use by citizens but increased road use by armed groups; not to increased use of markets and reduced prices of goods but to increased illegal trade that fuels conflict; and not to improved security but to increased risks to civilian protection; and not to improved incomes but to reduced livelihoods options due to capture of land and natural resources.

It is worth noting that an indicator that the programme is proceeding as expected would be that the anticipated positive *and negative* outcomes come to pass, albeit that we have mitigated the negative outcomes as far as possible. Although we have not yet been able to quantify and value negative outcomes, we will factor these into future iterations of the cost-benefit analysis.

These issues are captured in more detail in the social development and conflict and security appraisals. Strategies to mitigate and monitor and evaluate these risks are articulated in the Management Case.

Theory of change timeframe

The theory of change covers a much longer timeframe than the physical reconstruction of the roads. In-kind support will need to be available to ensure the sustainability of the maintenance system in order to maintain progress of the kind envisaged in the WDR virtuous circle framework, and impacts are unlikely to be measurable and attributable within five years from the start of the project. We therefore intend to run a 10-year project, with the first three years focused on the re-opening of the roads, and the remainder of the project supporting maintenance, evaluation and environmental and social management.

Evaluation questions

There have been two main faults in the theory of change in our roads programmes to date. The broad fault in our logic has been to assume that roads lead to development outcomes such as increased health or education outcomes, or increased economic activity. Our investments in the roads sector to date have shown that other conditions, which are beyond the scope of our roads programmes, are necessary – such as affordable school or health fees and access to transport links beyond the roads funded by our projects.

The second assumption that was missed in Roads in the East Phase 1 was that the stabilisation plan for eastern DRC would be delivered as a programmatic whole. The assumption was that MONUSCO would provide security to allow road works to go ahead, and once the road was in place, other GoDRC, MONUSCO and donor activity would follow to provide lasting security, humanitarian support, restoration of state authority and basic services. In fact, the first of these assumptions did not hold true, meaning we have not reached a point at which we can test the latter stages of the I4S approach.

In addition, while the evidence on the links between roads and development is well-tested, there is very limited evidence on the links between roads and stabilisation. Since we are supporting the I4S strategy on the assumption that the strategy as a whole, and roads within the strategy, will deliver

stabilisation outcomes, the theory of change of the I4S strategy needs to be tested and the evidence built in this area. This will in turn test the Roads in the East Phase 2 theory of change that roads have an impact on stabilisation.

The inputs and activities for this roads project therefore incorporate a significant strand of work on research and evidence. Some of these will be delivered through our broader engagement with the ISSSS, through our Stabilisation and Conflict Prevention programme which is currently being designed. We may need to undertake separate evaluations for this project and the links between roads and stabilisation, and for the ISSSS as a whole.

A draft set of priority evaluation questions are:

- How robust is the ISSSS theory of change that road access, provision of security and restoration of state authority leads to stabilisation outcomes? Does the provision of security by MONUSCO and GoDRC forces lead to improved security outcomes and perceptions, and does increased coverage of the area by GoDRC lead to the restoration of state authority?
- Have the roads in eastern DRC led to increased stability and development in the region? Issues to be considered include:
    - Security (both physical access and co-ordinated strategy).
    - Service coverage and access to primary services. Do roads provide the physical access required for other organisations to deliver services, and what other conditions are necessary (e.g. affordable user fees, staff availability)?
    - State presence.
    - Improved incomes through trade and employment. Do roads lead to improved incomes, and what other conditions are necessary, such as an enabling environment for commercial and agricultural activities and improvements in river or other connecting transport?
    - Transport and road and market use. Do high quality, maintained roads lead to improved transport and increased road and market use by citizens in eastern DRC, and what other conditions are necessary, such as the prevention of informal road taxes, need for competition in the transport provider market, the need for non-motorised transport, and safe travelling conditions for women?

  What were the major factors that led to the achievement and non-achievement of the outcomes? Were there any unintended outcomes from the intervention and how could these have been mitigated? What are the interdependencies between reduced income poverty and improved security?

- Is there any evidence of negative impacts of the roads? This could include facilitating the activities of rebel groups, including by increased funding from the "conflict minerals" trade, and impacts on the bushmeat trade, illegal logging and HIV/AIDS. How effective were the mitigation measures?
- What is the different impact, efficiency and VfM of a range of delivery mechanisms – from those that substitute for state functions while building capacity, such as UNOPS, to private sector approaches, to community delivery? Which can deliver the best value for money re-opening and maintenance of roads, and which deliver the best stabilisation and development impact? Were the activities cost-efficient? Were objectives achieved on time? Were the design standards and materials used in the project the best value for money for the climatic conditions and maintenance capacity in eastern DRC?

We will undertake an evaluability study that will a) clarify the theory of change, b) review the evaluation questions, and c) consider the most appropriate evaluation approaches to undertake a robust assessment.

This example was also written up as an example in the recent review.

3. Generic causal pathways for policy areas

These examples represent the mapping of generic causal pathways for a whole policy area. Their authors intended them as a guiding framework to guide more detailed theory of change thinking at a country level, where the specifics of the context, evidence and intervention options should be elaborated in depth.

3.1 DFID How To Note: Theory of Change for interventions to address Violence against Women and Girls

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

As a generic mapping of causal pathways, the context is not included. But the first principle emphasised strongly throughout the How To Note is that the context is critical and a full analysis of the context is the first step.

Maps out multiple causal pathways and trajectories, based on evidence

2. Clear hypotheses of change

- Are the causal pathways well-mapped in the diagram?

Yes, they are, multiple pathways are shown. The diagram highlights the iterative trajectory of a complex social change process.

The principles emphasise how interventions aimed at influencing different causal pathways interact and reinforce each other.

Outcomes are clear and each separated out into an individual box. Outcomes are linked to examples of indicators in the narrative.

- Are the assumptions made explicit?

Yes, assumptions at each level are made explicit in the text, expressed as principles. Some categorisation of assumptions would assist in the clarity of the diagram.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

Yes, it presents a framework for linking multiple interventions o support the reduction of violence against women and girls.

3. Assessment of the evidence

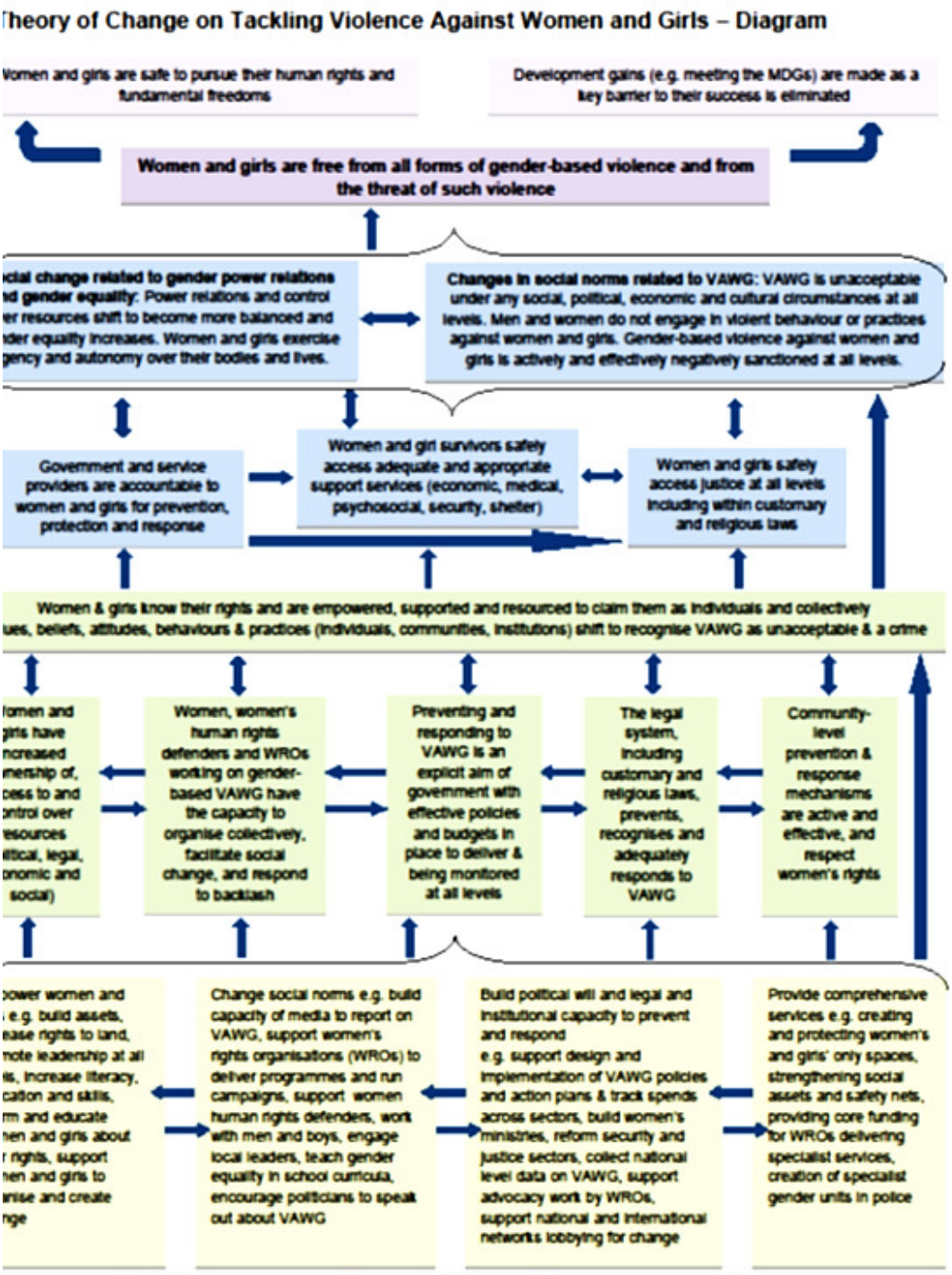
- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

Yes, the evidence for each principle is assessed. A wide evidence base is drawn on, including consultation with a panel of experts. Strength of the evidence, however, is not assessed

4. Other: Consistency between theory of change and log-frame?

Log-frame not included so comment not possible.

[redacted]



In the attached ‘How To Note’, the key assumptions are considered as seven principles that underlie the change processes needed to address violence against women and girls. For the full narrative analysis, please see the text.

3.2 Empowerment and Accountability Meta Theory of Change

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

As a generic mapping of causal pathways, the context is not included. It is designed to be applied in different contexts.

2. Clear hypotheses of change

- Are the causal pathways well-mapped in the diagram?

Yes, the pathways are well-mapped, multiple pathways are shown. The diagram highlights some of the feedback loops and iterations of a complex social change process.

However, the cause-effect linkages are not described in the diagram.

Outcomes are clear and each separated out into an individual box.

- Are the assumptions made explicit?

No, assumptions are not made explicit in the diagram. Some explanations of assumptions would assist in the clarity of the diagram.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

No, a narrative is not included.

3. Assessment of the evidence

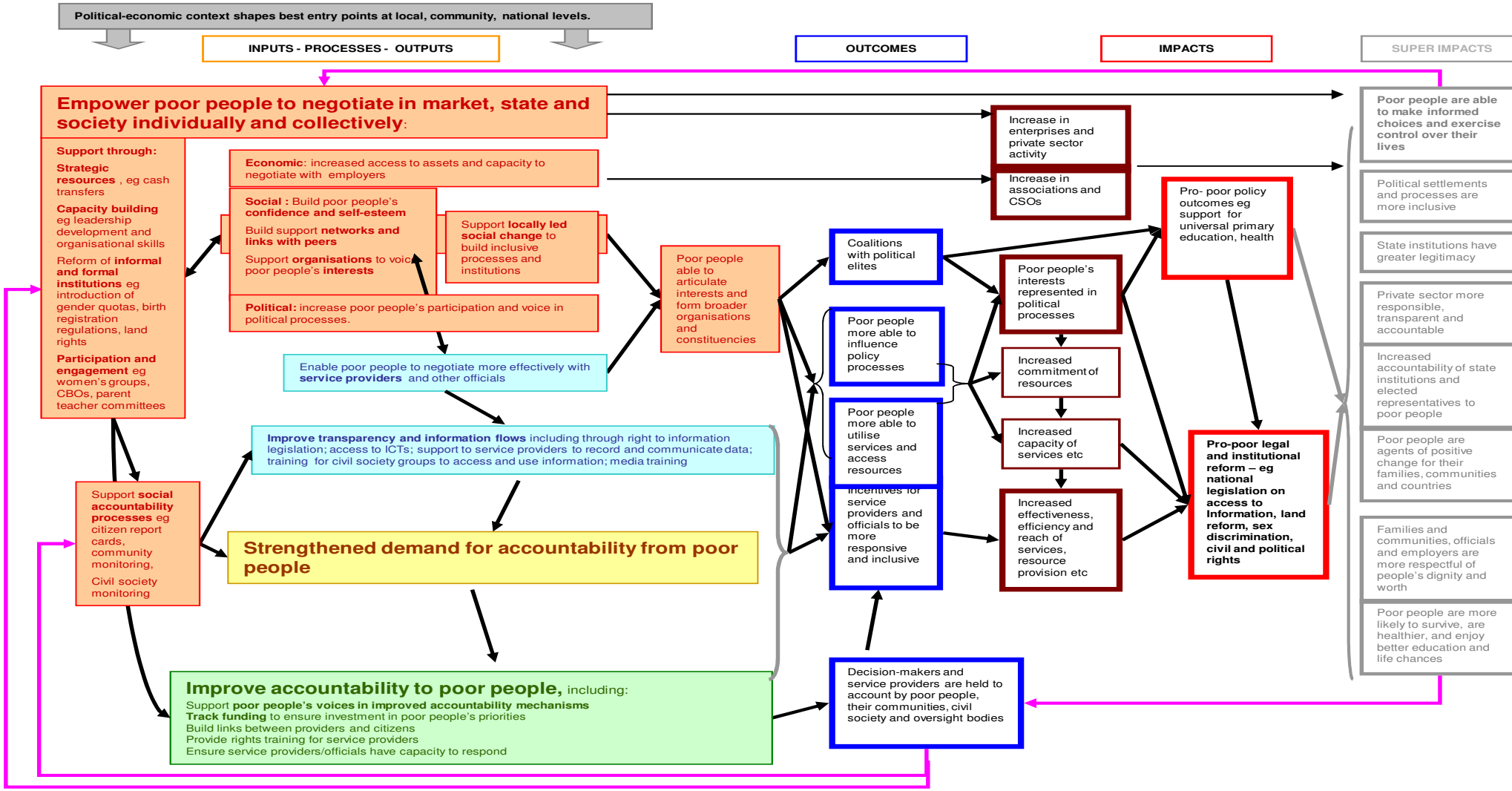
- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

No, the diagram does not indicate or refer to evidence.

4. Other: Consistency between theory of change and log-frame?

Log-frame not included so comment not possible.

Empower poor people to have more control over their development
'Meta' Theory of Change *-can be adapted for programmes according to context*



4. Implementing agencies' theories of change

Implementing agencies are likely to need more detailed theories of change to support implementation, monitoring and evaluation and programme management. Some examples of implementing agencies' theories of change are given here.

4.1 Ecosystems Services and Poverty Alleviation Research Programme

http://www.espa.ac.uk/

The Ecosystem Services for Poverty Alleviation (ESPA) research programme aims to deliver high-quality, cutting-edge research that will improve our understanding of the way ecosystems function, the services they provide and their relationship with the political economy and sustainable growth.

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

Yes, it does. Contextual factors and interactions with other actors are identified

- Are the causal pathways well-mapped in the diagram?

Yes, they are, multiple pathways are shown. The diagram highlights the iterative trajectory of a complex, research-influenced change process. Links are elaborated in detail, iterations and feedback loops. Behaviour changes at intermediate levels are specified at realistic intervals. No links are missed.

2. Clear hypotheses of change

- Are the assumptions made explicit?

Yes, assumptions at each level are made explicit in the diagram. Some categorisation of assumptions would assist in the clarity of the diagram.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

Yes, it does.

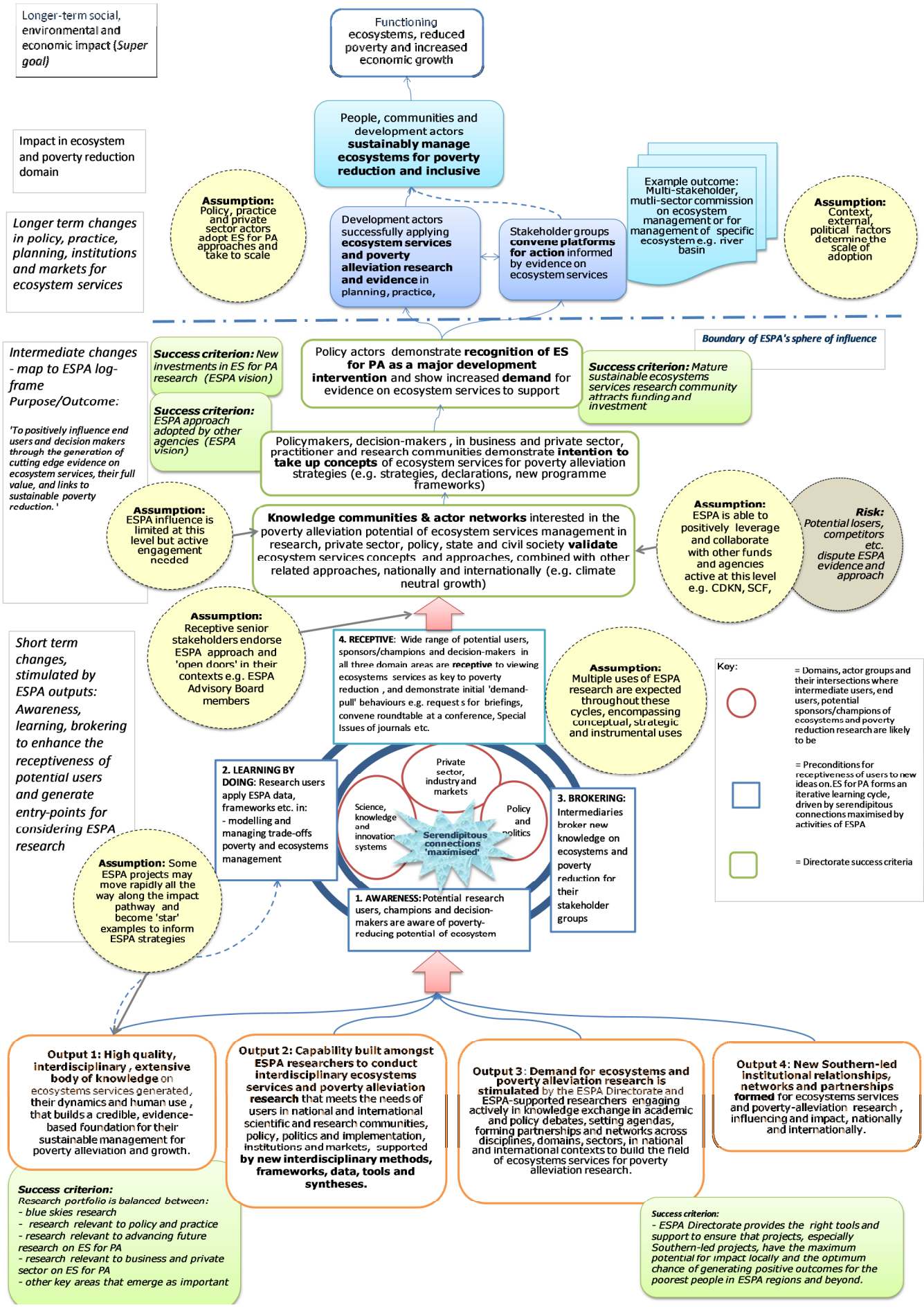
3. Assessment of the evidence

- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

No, the evidence for each principle is not assessed.

4. Other: Consistency between theory of change and log-frame?

The full documentation shows an integrated M&E system based on the theory of change


Longer-term social, environmental and economic impact (Super goal)
Functioning ecosystems, reduced poverty and increased economic growth
People, communities and development actors sustainably manage ecosystems for poverty reduction and inclusive
Impact in ecosystem and poverty reduction domain
Assumption: Policy, practice and private sector actors adopt ES for PA approaches and take to scale
Development actors successfully applying ecosystem services and poverty alleviation research and evidence in planning, practice,
Stakeholder groups convene platforms for action informed by evidence on ecosystem services
Example outcome: Multi-stakeholder, mutli-sector commission on ecosystem management or for management of specific ecosystem e.g. river basin
Assumption: Context, external, political factors determine the scale of adoption
Longer term changes in policy, practice, planning, institutions and markets for ecosystem services
Boundary of ESPA's sphere of influence
Intermediate changes - map to ESPA log-frame Purpose/Outcome:
'To positively influence end users and decision makers through the generation of cutting edge evidence on ecosystem services, their full value, and links to sustainable poverty reduction.'
Success criterion: New investments in ES for PA research (ESPA vision)
Success criterion: ESPA approach adopted by other agencies (ESPA vision)
Policy actors demonstrate recognition of ES for PA as a major development intervention and show increased demand for evidence on ecosystem services to support
Success criterion: Mature sustainable ecosystems services research community attracts funding and investment
Policymakers, decision-makers, in business and private sector, practitioner and research communities demonstrate intention to take up concepts of ecosystem services for poverty alleviation strategies (e.g. strategies, declarations, new programme frameworks)
Assumption: ESPA influence is limited at this level but active engagement needed
Knowledge communities & actor networks interested in the poverty alleviation potential of ecosystem services management in research, private sector, policy, state and civil society validate ecosystem services concepts and approaches, combined with other related approaches, nationally and internationally (e.g. climate neutral growth)
Assumption: ESPA is able to positively leverage and collaborate with other funds and agencies active at this level e.g. CDKN, SCF,
Risk: Potential losers, competitors etc. dispute ESPA evidence and approach
Short term changes, stimulated by ESPA outputs: Awareness, learning, brokering to enhance the receptiveness of potential users and generate entry-points for considering ESPA research
Assumption: Receptive senior stakeholders endorse ESPA approach and 'open doors' in their contexts e.g. ESPA Advisory Board members
4. RECEPTIVE: Wide range of potential users, sponsors/champions and decision-makers in all three domain areas are receptive to viewing ecosystems services as key to poverty reduction, and demonstrate initial 'demand-pull' behaviours e.g. requests for briefings, convene roundtable at a conference, Special Issues of journals etc.
Assumption: Multiple uses of ESPA research are expected throughout these cycles, encompassing conceptual, strategic and instrumental uses
Key:
= Domains, actor groups and their intersections where intermediate users, end users, potential sponsors/champions of ecosystems and poverty reduction research are likely to be
= Preconditions for receptiveness of users to new ideas on ES for PA forms an iterative learning cycle, driven by serendipitous connections maximised by activities of ESPA
= Directorate success criteria
2. LEARNING BY DOING: Research users apply ESPA data, frameworks etc. in: - modelling and managing trade-offs poverty and ecosystems management
Private sector, industry and markets
Science, knowledge and innovation systems
Policy and politics
Serendipitous connections 'maximised'
3. BROKERING: Intermediaries broker new knowledge on ecosystems and poverty reduction for their stakeholder groups
1. AWARENESS: Potential research users, champions and decision-makers are aware of poverty-reducing potential of ecosystem
Assumption: Some ESPA projects may move rapidly all the way along the impact pathway and become 'star' examples to inform ESPA strategies
Output 1: High quality, interdisciplinary, extensive body of knowledge on ecosystems services generated, their dynamics and human use, that builds a credible, evidence-based foundation for their sustainable management for poverty alleviation and growth.
Output 2: Capability built amongst ESPA researchers to conduct interdisciplinary ecosystems services and poverty alleviation research that meets the needs of users in national and international scientific and research communities, policy, politics and implementation, institutions and markets, supported by new interdisciplinary methods, frameworks, data, tools and syntheses.
Output 3: Demand for ecosystems and poverty alleviation research is stimulated by the ESPA Directorate and ESPA-supported researchers engaging actively in knowledge exchange in academic and policy debates, setting agendas, forming partnerships and networks across disciplines, domains, sectors, in national and international contexts to build the field of ecosystems services for poverty alleviation research.
Output 4: New Southern-led institutional relationships, networks and partnerships formed for ecosystems services and poverty-alleviation research, influencing and impact, nationally and internationally.
Success criterion: Research portfolio is balanced between: - blue skies research - research relevant to policy and practice - research relevant to advancing future research on ES for PA - research relevant to business and private sector on ES for PA - other key areas that emerge as important
Success criterion: - ESPA Directorate provides the right tools and support to ensure that projects, especially Southern-led projects, have the maximum potential for impact locally and the optimum chance of generating positive outcomes for the poorest people in ESPA regions and beyond.

ESPA Theory of Change Narrative (Extract)

ESPA's research will improve the lives of poor people in developing countries by filling knowledge gaps that currently limit the way that ecosystem services contribute to the alleviation of poverty. The programme-level ESPA's impact will include:

- Conceptual advances contributing to understanding and reframing of issues relating to policy and practice, as well as more broadly; such as the implications (for people and poverty) of the loss of critical services in vulnerable ecosystems.
- Influencing policy and practice linking ecosystem services and poverty alleviation using new knowledge generated by ESPA.
- Capacity building of people and institutions, to support both of the above.

ESPA impact will be achieved through:

- Beneficiaries: understanding who will benefit from the research, so they can be targeted
- People and Partnerships: ensuring the relevance of and demand for the research results
- Research into Use: ensuring the usability of the research results
- Capacity Strengthening: supporting abilities to deliver, use and act on the research
- Results
- Communication: sharing ESPA knowledge and lessons to ensure wider influence and
- Impact
- Evidence: making the case for change.

The ESPA Theory of change (ToC) is a conceptual model of how the programme activities are intended to stimulate short, medium and long-term changes to achieve the overall goal.

The model in Figure 3 presents a hierarchy of change; starting at the lower level the Programme Outputs are described. These influence short term changes that are required for ESPA's target users to be aware of, understand and become receptive to ESPA research evidence.

These lead on to intermediate term changes. At this level, the TOC acknowledges that the ESPA Programme is not the only initiative working on ecosystems services and poverty alleviation. ESPA is located within a wider set of international and national development actions on ecosystems, environmental issues, climate change, economic growth, livelihoods, poverty reduction, governance and many other issues. This wider 'community' validates the knowledge generated by ESPA, leading to uptake by research users.

As ecosystem services and poverty alleviation is an emerging area, to be successful, ESPA must actively engage in building and developing this new research, policy and practice field. To put it another way, ESPA must create a 'market' for its research amongst the user communities it has identified as key to delivering the long-term development impacts. To achieve this, ESPA needs to deliver longer term outcomes that:

- Stimulate demand for ecosystems services and poverty alleviation research through active networking, forming relationships, alliances and partnerships
- Engage in exchange, dialogue and proactive influencing

- Create platforms for interactions and learning on ecosystems services and poverty alleviation amongst stakeholders in a range of contexts
- Develop new evidence products, technologies, management methods and application frameworks for ecosystems services and poverty alleviation, tailored to meet research users' needs.

Beyond this, it is assumed policy processes beyond the sphere of influence of ESPA will, informed by this knowledge base, contribute to the longer term impacts:

- People, communities and development actors sustainably manage ecosystems for poverty reduction and inclusive growth
- Functioning ecosystems, reduced poverty and increased economic growth.

4.2 Accountability Tanzania (AcT)

http://www.accountability.or.tz/

The AcT Programme is designed to increase government responsiveness and accountability through a strengthened civil society in Tanzania. The theory of change was revised in 2012 to reflect learning at the programme level.

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

Yes, it does. Contextual factors, role of CSO partners and the political economy environment in Tanzania are analysed.

2. Clear hypotheses of change

- Are the causal pathways well-mapped in the diagram?

Yes, they are, multiple pathways are shown. The diagram highlights the iterative trajectory of a complex social change process. Links are elaborated in detail, iterations and feedback loops. Behaviour changes at intermediate levels are specified at realistic intervals. No links are missed.

- Are the assumptions made explicit?

Yes, assumptions at each level are made explicit in the annex.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

Yes, it does.

3. Assessment of the evidence

- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

Some evidence for general assumptions is assessed.

4. Other: Consistency between theory of change and log-frame?

The full documentation shows an integrated log-frame and M&E system based on the theory of change.

Revised logic model that maps theory of change to the log-frame (2012 version)

AcT's Original Theory of Change (extract) (see http://www.accountability.or.tz/wp-content/uploads/2011/03/AcTs-ToC.pdf)

PLANNED RESULTS

The overall all goal of AcT is to "contribute to the MDGs through ensuring that citizens are increasingly able to claim and exercise their rights as citizens." The purpose is to "increase the accountability and responsiveness of government to its citizens..." and the programme seeks to achieve this through four outputs:

1 Citizens' access to information improved.

2 CSO engagement in policy and budget formulation processes at the local and national levels increased.

3 Strengthened CSO monitoring of service delivery and public resource management.

4 Improved understanding by civil society of what works in strengthening accountability and fighting corruption.

THE ANALYTICAL BASIS OF THE TOC

AcT's Theory of Change is based on a recognition that making changes in accountability systems is primarily a political process, where technical factors may be relevant, but more as facilitating than causing change.

This view of change as a political process fits well with a programme that supports civil society to engage in activities to strengthen accountability.

AcT's approach is informed by the political economy of Tanzania, where relatively well defined and limited elite exert control over the political and economic spheres. They use this control to extract rents, which they in turn use to maintain and consolidate control. Exhibiting a high, if diminishing, degree of donor dependence, the elite is also adept at producing and delivering policies and reforms to demonstrate to voters and Development Partners that they are committed to delivering the MDGs, but there is often a large gap between paper policies and what is actually implemented on the ground.

AcT's ToC is based on the premise that by mobilising public pressure for change, the incentives for some decision makers and persons with influence will shift from resisting change to favouring it. Likewise, by enabling citizens to influence decision makers, they themselves become influential. CSOs influence change by engaging directly with decision makers, or by supporting or facilitating citizens to mobilise for change, through collective action or as individuals.

AcT is wary of commonly accepted assumptions, such as that improved access to information, public awareness and a strengthened policy and legal framework necessarily in and of themselves

lead to stronger accountability and improved service delivery. AcT recognises that there is relatively weak evidence of the impact that support to the demand side of accountability has had since the emergence of the governance agenda over the last two decades. There are numerous documented cases of courageous and effective individual and collective action in Tanzania over this period, but it is also clear that large amounts of human and material resources have been expended with little demonstrable effect and that there are also cases where support to CSOs may have weakened accountability and bolstered existing power structures rather than shifting power.

AcT also recognises that change is based on complex and non-linear processes which unfold over, sometimes long, periods of time. Because one cannot assume that any particular action will necessarily have any particular effect (e.g. availability of evidence showing why change is desirable being likely to persuade policy makers to push for change, or that availability of information w will lead to strengthened accountability which in turn will bring about improved services) it is important that actions and the impact they have on relevant stakeholders and their behaviours and practices are systematically monitored and documented. This not only enables AcT and its partners to demonstrate impact, but also supports learning of what has worked and what has not.

Supporting and generating learning is the glue that binds AcT's ToC together. AcT's supports learning by assisting partners to build solid systems of monitoring and documentation, and by facilitating exchange of experiences for mutual learning between partners. AcT also conducts its own political economy analysis within the programme and in partnership with CSO partners.

The planning tools AcT has adopted are tailored to fit AcT's role as a funder, who relies on its partners to achieve results. The logframe is built around outputs from partners, and the output indicators are designed to capture changes brought about by partners, whether in planning or budgeting, oversight or by influencing national debates. This is substantially different from the more conventional output indicators, such as numbers of workshops conducted, number of people awareness raised or numbers of publications disseminated.

Underpinning the logframe, is the adoption of Outcome Mapping, which enables the partner organisations to capture directly behaviour changes among targeted partners and decision makers. The Outcome Mapping instrument is better able to capture non-linear processes of change. AcT has also broken new ground by bringing the logframe and the Outcome Mapping approaches together into the a more complete logic model, as captured in the following section.

Revisions to the theory of change in 2012 (see http://www.accountability.or.tz/wp-content/uploads/2012/06/Theory-of-Change.pdf)

The simple outline of the theory of change now reads:

'Supporting civil society partners to implement context-specific strategic interventions will enable them to influence positive change in the attitudes and behaviour of citizens, civil society and government, making government as a whole more responsive and accountable.'

This focuses on the outcome of a more responsive government. It shows that the way AcT expects to achieve this is through behaviour change amongst citizens, civil society and government actors. Thus all the CSO grants are to support strategic interventions that influence the attitudes and behaviour of these actors.

Below is the fuller narrative which gives more detail about the inputs, process, outputs and outcomes. This narrative does not spell out the assumptions in detail – see Annex 1 below.

> 'If civil society grantees are carefully selected and respond to individual support tailored to their programming and internal systems, they will be able to develop targeted strategic interventions which are sensitive to changes over time and in the broader political economy, as well as their geographic location, their sector, institutional mandate and values.
>
> And if grantees also commit to systematic learning individually and collectively the work they do will be more the effective.
>
> CSOs implementing programmes will engage in a range of information generating and disseminating activities as well as developing the capacity of other stakeholders to articulate their roles and responsibilities.
>
> Some participatory activities build directly into citizen action and civil society strengthening, whereas others focus on influencing the behaviour of elected and appointed officials and of the judiciary – at local and national levels. Influencing activities can be formal or informal, inside track or outside track, and CSOs become more adept at selecting which is going to be most effective under what circumstances. The result of the behaviour changes on the part of key stakeholders is the purpose level of the programme: 'Increased responsiveness and accountability of government through a strengthened civil society.'

Focusing on ToC in this way helped clarify the issue of two levels in the wording of purpose. Our purpose is "increasing government responsiveness and accountability" and "strengthening civil society" is a means to that end, and hence assessing changes in the strength of civil society need to be picked up lower down the logic chain. Similarly at the goal level, it became clear that the achievement of MDGs can be better seen as a 'super goal'. 'Tanzanians are increasingly able to claim and exercise their rights as citizens', the second half of the original goal statement, can better be seen as a means to this end, and is effectively being picked up lower down the model in terms of access to information and citizens taking action, rather than right at the top.

The next step was to translate the ToC into the log-frame, and in doing so the following logic model was found extremely useful, derived from the longer narrative ToC.

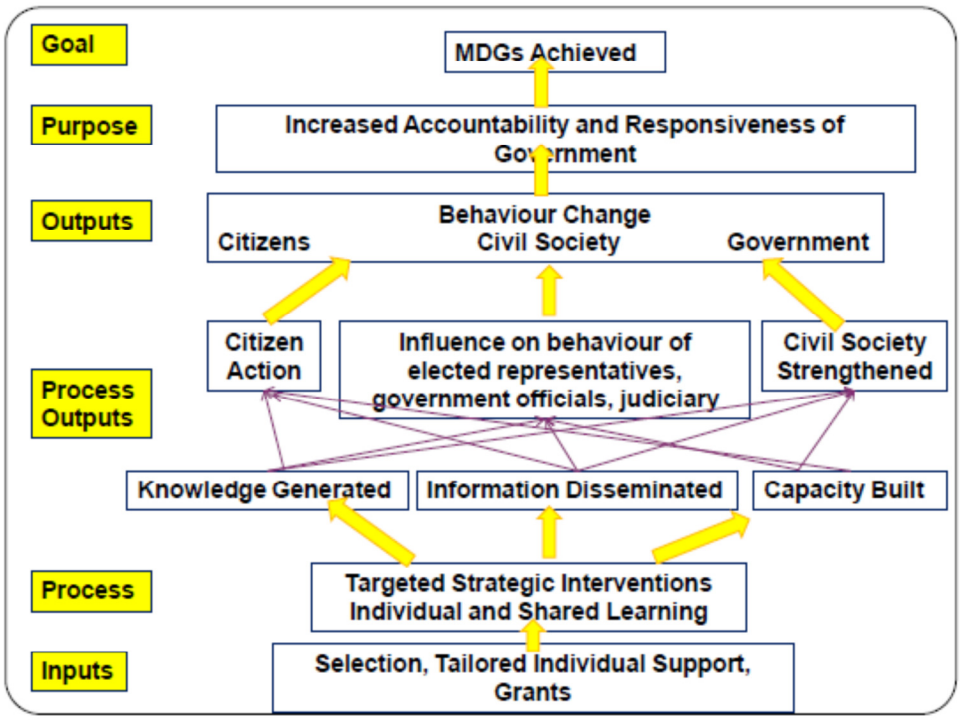


Figure 3: Revised Logic Model for AcT Programme

It highlighted that in collecting results we needed to be picking up what are here called process outputs, and that we could do it either at the level of 'Knowledge generated/information disseminated/capacity built' or at the level of 'citizen action/behaviour influenced/or civil society strengthened'. The former risked being too low down in the model, with the risk of replicating the problem of the missing middle experienced before, and the latter too high with the risk of not picking up enough of the process that we knew our partners spent much of their time and energy on. To be pragmatic, we used a mixture of both, and the following section describes how they were translated into indicators. (See http://www.accountability.or.tz/wp-content/uploads/2012/06/Theory-of-Change.pdf for more).

Annex One: Theory of Change with Assumptions

With these INPUTS

If civil society organisations are carefully selected and respond to individual support tailored to their programming and internal systems, they will be able to utilise grants

Assumptions from inputs to process:

- *the AcT teams selection process is successful in identifying organisations that are committed to bringing about change (as opposed to just administering aid money with a governance spin on it)*
- *the AcT team has the skills and judgement to provide appropriate support, manage risk, and pro-actively manage the portfolio*
- *the CSOs have the relevant sectoral and district-specific knowledge and understanding*
- *The CSOs can develop familiarity with, and confidence in, working with the changing dynamics of political economy and/or develop organisationally to facilitate working with this understanding*

and the following PROCESSES

to develop better targeted strategic interventions which are sensitive to changes over time and in the broader political economy, as well as their geographic location, their sector, institutional mandate and values; and if these organisations also commit to systematic learning individually and collectively the work they do will be more the effective.

Assumptions from process to outputs:

- *Systematic learning enables CSOs to grow and move beyond:*
  - *'business as usual' – rolling out the same approaches and methodologies*
  - *'copy cat approaches' e.g. the spate of PETS training and studies that were carried out*
  - *'chasing the money' i.e. following donor priorities rather than their own analysis*
- *CSOs become aware of the positive and negative lessons learned by others working in similar fields*
- *CSOs monitor their own effectiveness and make changes as appropriate*
- *The learning strategy, to which CSOs contribute and derive benefit, enables them to document 'lessons learned' in a way which will be useful to themselves and others.*
- *CSOs maintain ethics and integrity*

We can expect the PROCESS OUTPUTS

CSOs implementing programmes will engage in a range of knowledge generating and information dissemination activities as well as developing the capacity of other stakeholders to articulate their roles and responsibilities.

Assumptions from process output to programme output:

- *Citizens are stimulated to respond to the knowledge and information made available either by being directly engaged in the process, or in planning action on the basis of findings.*
- *Citizens see the value of taking action based on knowledge, information and capacity built.*
- *Participatory approaches are empowering and can stimulate action*
- *Citizens overcome fear and apathy and encourage others to join action*
- *Decision makers recognise that they will not retain power unless they respond to the increasingly assertive citizen*
- *Decision makers are open to citizen and civil society action.*

That will result in the PROGRAMME OUTPUTS

Some participatory activities build directly into citizen action and civil society strengthening, whereas others focus on influencing the behaviour of elected and appointed officials and of the judiciary – at local and national levels.

Influencing activities can be formal or informal, inside track or outside track, and CSOs become more adept at selecting which is going to be most effective under what circumstances.

Assumptions from outcome to purpose:

- *Individual elected representatives, appointed officials and members of the judiciary are able to influence the politics and systems that frame their actions.*
- *Legislation, state systems and official processes are open to change.*

That will ensure the PURPOSE WILL BE ACHIEVED

The result of the behaviour changes on the part of key stakeholders is the purpose level of the programme: 'Increased responsiveness and accountability of government through a strengthened civil society

4.3 African Women in Agricultural Research and Development - AWARD

http://awardfellowships.org/

AWARD is a professional development program that strengthens the research and leadership skills of African women in agricultural science, empowering them to contribute more effectively to poverty alleviation and food security in sub-Saharan Africa.

Checklist notes

1. Analysis of context

- Does the intervention make sense as a response to the analysis of the context?

Yes, it does. It lays out linkages between AWARD's activities, empowerment of individuals and changes in organisations, systems and wider context

2. Clear hypotheses of change

- Are the causal pathways well-mapped in the diagram?

Yes, they are, multiple pathways are shown. The diagram highlights the iterative trajectory of a capacity strengthening and empowerment process. Links are elaborated in detail, iterations and feedback loops.

- Are the assumptions made explicit?

Yes, assumptions at each level are made explicit in the table following the diagram. The sphere of influence of the programme is mapped out.

- Does the narrative highlight and describe the overall logic of the intervention the key hypotheses it is based on?

Yes, it does, an empowerment model.

The full documentation draws out results chains and 'impact pathways' for specific aspects of the programme and has a comprehensive monitoring and evaluating approach.

3. Assessment of the evidence

- Is there a narrative assessment of each key hypothesis? Does it makes sense given the evidence referred to?

Evidence is assessed in the full documentation.

4. Other: Consistency between theory of change and log-frame?

The full programme documentation shows an integrated M&E system based on the theory of change.

Figure 2a: The fellows' 'diamond' – aspects of AWARD's theory of change

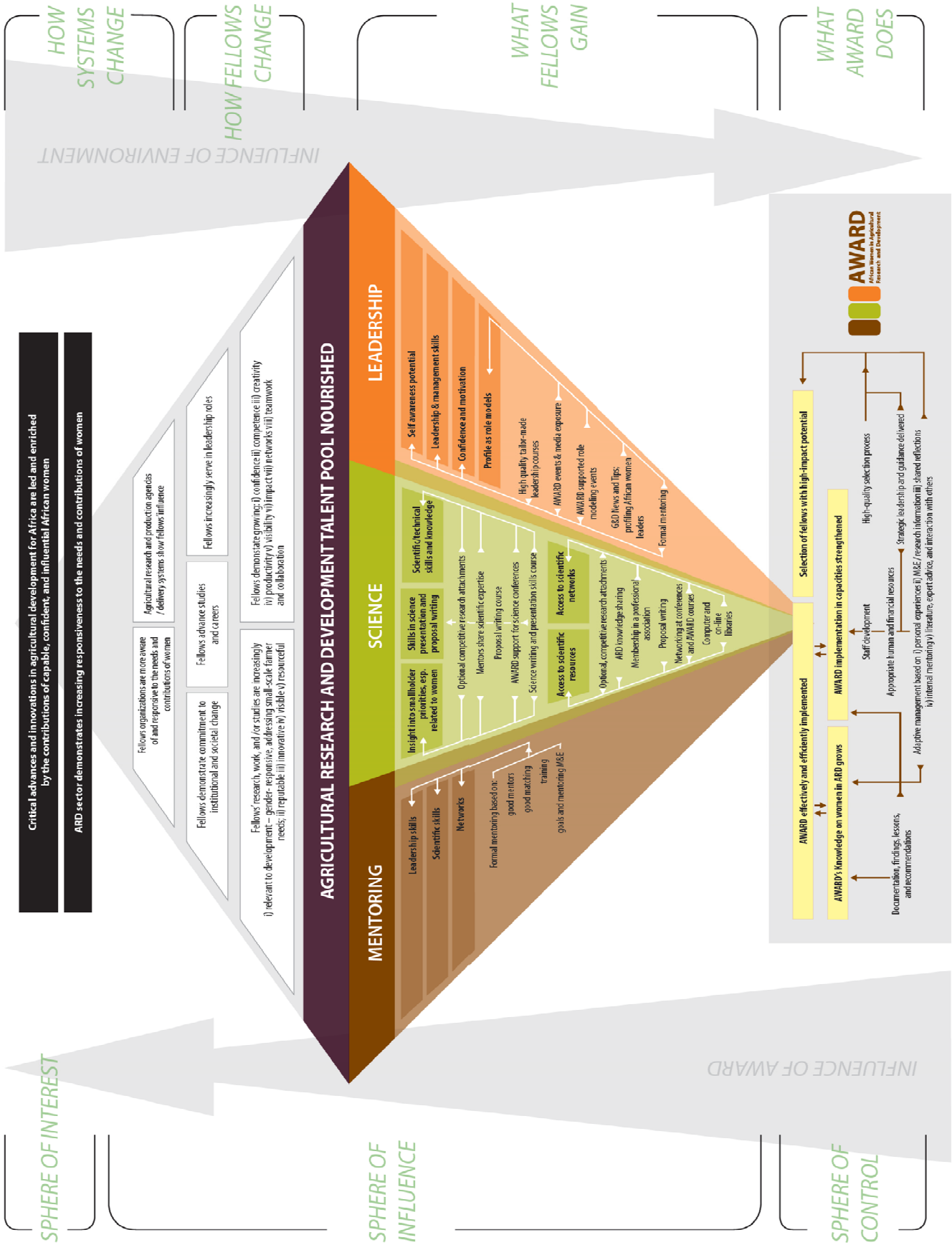


Figure 2b: The ripples' 'diamond' – aspects of AWARD's theory of change

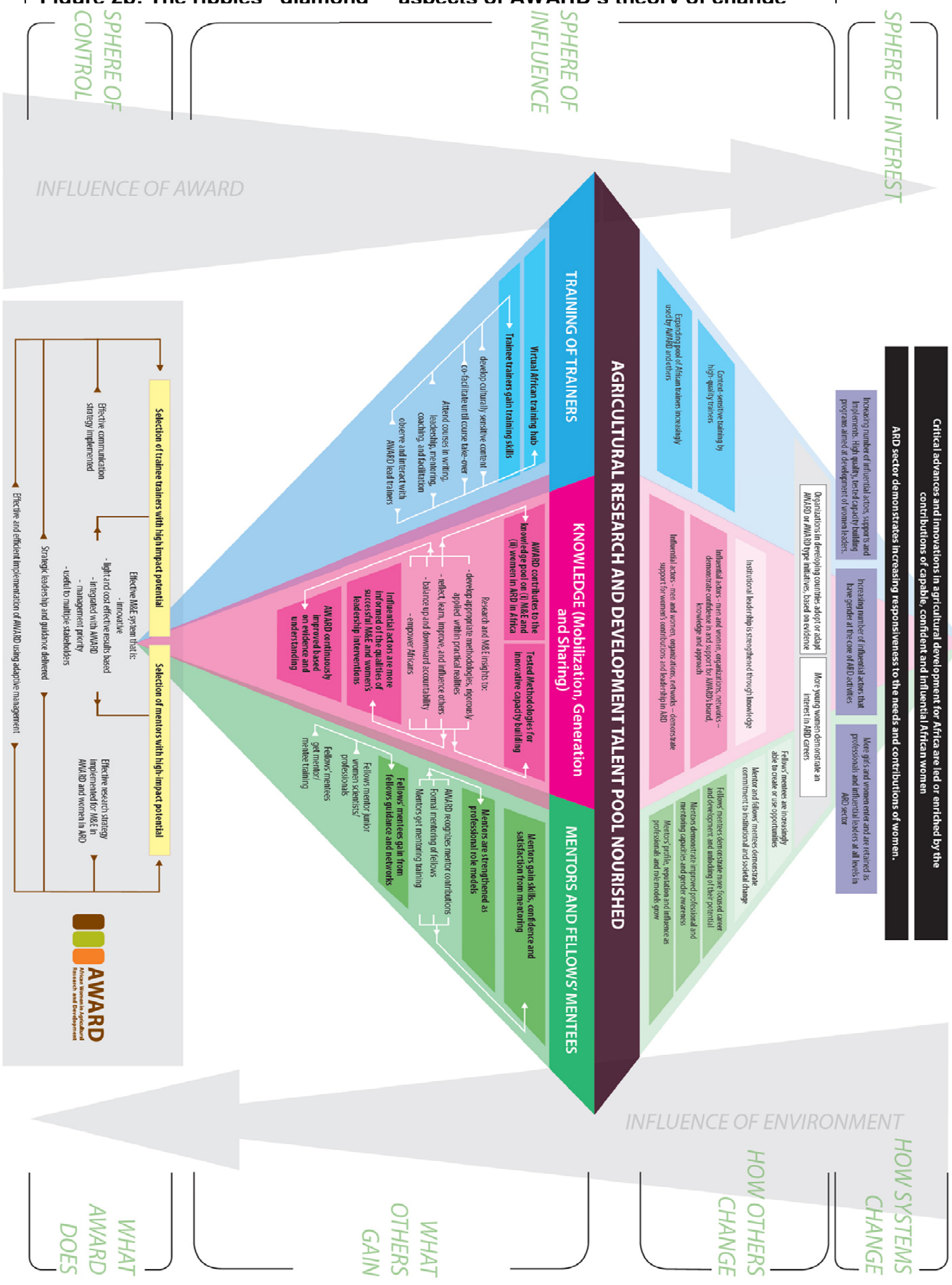


Table 5: Main assumptions underpinning AWARD's theory of change

		CRITICAL ASSUMPTIONS UNDERPINNING AWARD'S THEORY OF CHANGE	USE OF THE ASSUMPTIONS
		The Intervention	**Monitoring evidence**
The design	**1.**	**AWARD has sufficient and appropriate components and elements that together are complementary and enable the desired outcomes (and contribute to the desired impact).**	**1. and 2.** Revisit the AWARD model if i. AWARD metrics show convincingly that women do *not* become better scientists and leaders during and after the fellowship, and this is *not* due to implementation failure; ii. patterns emerge that indicate some of these characteristics are not essential for success. ***Evidence:*** *Progress Journals and Impact Stories (assessed by characteristic). Sense-making sessions.*
	2.	**If women researchers with high-impact potential** • **grow more confident, self-aware and creative;** • **are more competent, productive, visible, networked and able to network;** • **enhance their personal impact; and** • **ensure that their work is increasingly reputable, visible, well-resourced, and relevant and responsive to the needs of African smallholder farmers,** **they will be better leaders in the sector. All these aspects need to be addressed for such leadership to blossom.**	
Concepts & measurement	**3.**	**The way in which AWARD has framed, and measures, the 'expansion of agency' (part of 'empowerment'), focusing on changes in mindset and behaviour, is appropriate and sufficient to detect the changes in the participating individuals and other women scientists around them.**	**3 and 4:** Rethink the measurement of 'empowerment – expansion of agency' and 'transformative change' if i. stakeholders do not agree with these definitions or cannot identify examples ii. progress journal patterns and impact stories do not emerge as expected (and implementation failures are not to blame).
	4.	**'Transformative' – and not only 'developmental' or 'episodic' change - is essential for sustained positive results.**	

	5.	**Changes will be detectable and measurable within the limited period of AWARD support per fellow (or fellow's mentee, institutions).**	**5: (i)** Consider the implications of seeking impact during the limited support period if (all) expected changes do not emerge (and implementation failures are not to blame). What is a realistic development curve? Should measures/metrics change? ***Evidence:*** *Synthesis of data tracking 'empowerment' and 'transformative change'. Sense-making sessions.*
Role of context	**6.**	**The development of women leaders in agricultural research is only to some extent generic across contexts in different organizations and countries. AWARD does enough by contextualizing the training, anchoring fellows' support in their own needs and roadmaps, using (mostly) local mentors, and sponsoring events and opportunities that fellows select in line with their own interests.**	**6.** Revisit AWARD's efforts to take context into account if some groups (subgroup or level of fellow, geographic distribution) (i) show significantly more satisfaction; (ii) perform significantly better. ***Evidence:*** *General Performance Feedback Form. Patterns in all outcomes/impact tracking. Sense-making sessions.*
	7.	**It is possible to get long-term, sustained success and/or positive outcomes without addressing the institutional environment and its 'opportunity structure' within which the fellows operate. This implies among others that NARS and other involved institutions welcome, understand and are supportive of AWARD's intent, approach and strategies. Men and women do not feel threatened and there is no backlash against AWARD participants.**	**7.** Consider AWARD's strategies towards fellows' institutions and take remedial action if there are unintended consequences, such as signals of lack of support and/or backlash that impact on the fellows. ***Evidence:*** *Institutional visit discussions (checklist). All outcomes/impact tracking. Sense-making sessions.*
	8.	**The external environment – including policies, institutions, funding streams, national conditions, societal beliefs and values – is conducive to success, with influential actors in the sector supportive of AWARD and its fellows.**	**8.** Monitor AWARD's evolution and implementation for constraints and obstacles caused by the external environment; take remedial action if possible. ***Evidence****: Observation by the AWARD team and partners. Institutional visits. All outcomes/impact tracking. Sense-making sessions.*

	9.	**The AWARD design is sensitive to underlying, often subtle and/or invisible cultural differences and challenges that might affect program success in Africa. These could include for example** • ***in the economic and political environment* – often low predictability of events; risk-aversion; focus on continuity** • ***in the socio-cultural environment* – relatively low individualism (group and family orientation); emphasis on interpersonal relationships; relatively high power distances; discrimination against women, youth and lower ranks; suppression of emotions and opinions; defined roles in family and society** • ***in the internal work culture* – often belief in external causality; therefore low control over outcomes; paternalistic/authoritarian; strong focus on the past and present[vi].**	9. Monitor obstacles to implementation or performance that might emerge, determine whether any of these underlying issues might be responsible; take remedial action if possible. ***Evidence:*** *Ongoing, culturally sensitive observation by AWARD team and partners as program proceeds. All outcomes/impact tracking. Sense-making sessions.*
Outcomes	**10.**	**Empowered African women leaders in agricultural research will make a *positive* difference in the sector.**	**10.** This fundamental (potentially a 'killer') assumption is based on a belief that women in leadership positions will understand and care about, and contribute to the concerns of women in the sector – and that this focus will be positive for the sector as a whole. This assumption cannot be tested during AWARD's lifetime.
	11.	**Any negative unintended consequences and outcomes will not neutralize positive outcomes.**	**11.** Monitor any sign of negative unintended consequences from AWARD's work, and assess the extent to which they may be serious enough to neutralize the positive results. ***Evidence:*** *Ongoing observation by AWARD team and partners as program proceeds. All outcomes/impact tracking. Sense-making sessions.*
	12.	**AWARD's influence will continue to encourage and enable positive change after support to a fellow (or mentee or trainee) has ended.**	**12.** This fundamental (potentially a 'killer') assumption is based on the notion that AWARD's interventions will have an enduring influence on the program participants. This depends on contextual factors, the extent to which changes are 'transformative', and whether networks will be formed to support the fellows (or mentee or trainee) in the longer term. ***Evidence:*** *Impact stories – description of examples of 'transformative change'. Longitudinal tracking.*

	13.	**AWARD will influence fellows', fellows' mentees and/or mentors' institutions without interventions specifically targeting them.**	**13.** Follow up on signals that institutional changes (e.g. policies, programs, attitudes) were brought about through AWARD activities. ***Evidence:*** *Progress Journal and Impact Story reports, followed up through (case) studies and/or verification*
Performance drivers	14.	**AWARD has adequate mechanisms and influence to ensure that the management team and participants - fellows, mentors, mentees, partners, trainees - are motivated and inspired to make full use of the opportunities offered; are prepared to monitor, learn and improve their performance, and to document their progress and results.**	**14.** This fundamental (potentially a 'killer') assumption focuses on what drives performance among all stakeholders. AWARD can only aim to inspire a culture of learning and performance; it cannot ensure it, as much depends on the quality and values of the people in the program. ***Evidence:*** *All performance data. Impact stories. MSC and Sense-making sessions.*
Profile	15.	**The AWARD idea/concept is 'sellable' among competing priorities for profile and resources for development in Africa.**	**15.** Monitor external responses to AWARD. Critical if AWARD is to attract the best partners and participants, set to expand / continue beyond one cycle, and influence decision-makers and institutions. ***Evidence:*** *Assessment of success of resource mobilization and communication / advocacy efforts – funding levels for AWARD; extent to which AWARD is quoted, praised, highlighted and imitated.*
Partners	16.	**Sponsors and other partner intentions are in line with, and supportive of AWARD's goals, and their requirements or conditions do not adversely affect AWARD's design.**	**16.** Monitor sponsor and partner interactions and responses for signs of dissent, inadvisable conditionalities or agendas different from those of AWARD. ***Evidence:*** *Steering committee meetings. Partner discussions.*
		Implementation	
Capacities	1.	**The AWARD selection processes are designed and implemented in a manner that ensures that the program team and participants are of the quality needed for success.**	In all cases with implementation assumptions, monitor implementation progress and results for signs that any of these may not be correct. Requires data collection and analysis around factors influencing implementation.

	2.	Selected AWARD fellows are of high impact potential	
	3.	Fellows will be able to recognize, record and use 'transformative' insights and experiences, as well as those relating to the four dimensions of 'empowerment'.	
	4.	AWARD team members and implementing partners have the necessary qualifications and judgment to fulfil their roles to the quality required for success.	
	5.	AWARD team and participants are motivated and able to apply and support an adaptive management approach, with adequate and appropriate real-time reflection, systematic learning, and adjustments based on evidence and experience.	
	6.	AWARD team and participants are motivated and able to apply and systematically record, synthesise and share their AWARD experiences and new knowledge to influence peers, young people, their institutions, the sector and society.	
Management	7.	The team spirit, processes and relationships in AWARD are enabling and conducive for success.	
	8.	AWARD is able to cope with changing external contexts.	
Resources	9.	Adequate and appropriate resources – funds, people, time, infrastructure - are available to implement as planned.	
	10.	Adequate and appropriate resources are efficiently used during implementation.	
	11.	AWARD team and participants have adequate access to relevant data and information, as needed.	
Work 'character'	12.	The quality, relevance and utility of the training and other AWARD activities are in line with what is needed for success.	

	13.	**AWARD M&E/research data and information, and any other evidence used during program design and implementation, are credible, relevant and useful, as well as timely and accessible when needed.**	
Context	14.	**Implementation activities are sensitive to underlying, often subtle and/or invisible differences and challenges that might affect program success in Africa (refer to assumption 9 in 'design' assumptions).**	
	15.	**Host institutions are supportive of AWARD's participants**	
Partners	16.	**Sponsors, partners' requirements or conditions do not adversely affect AWARD's implementation.**	