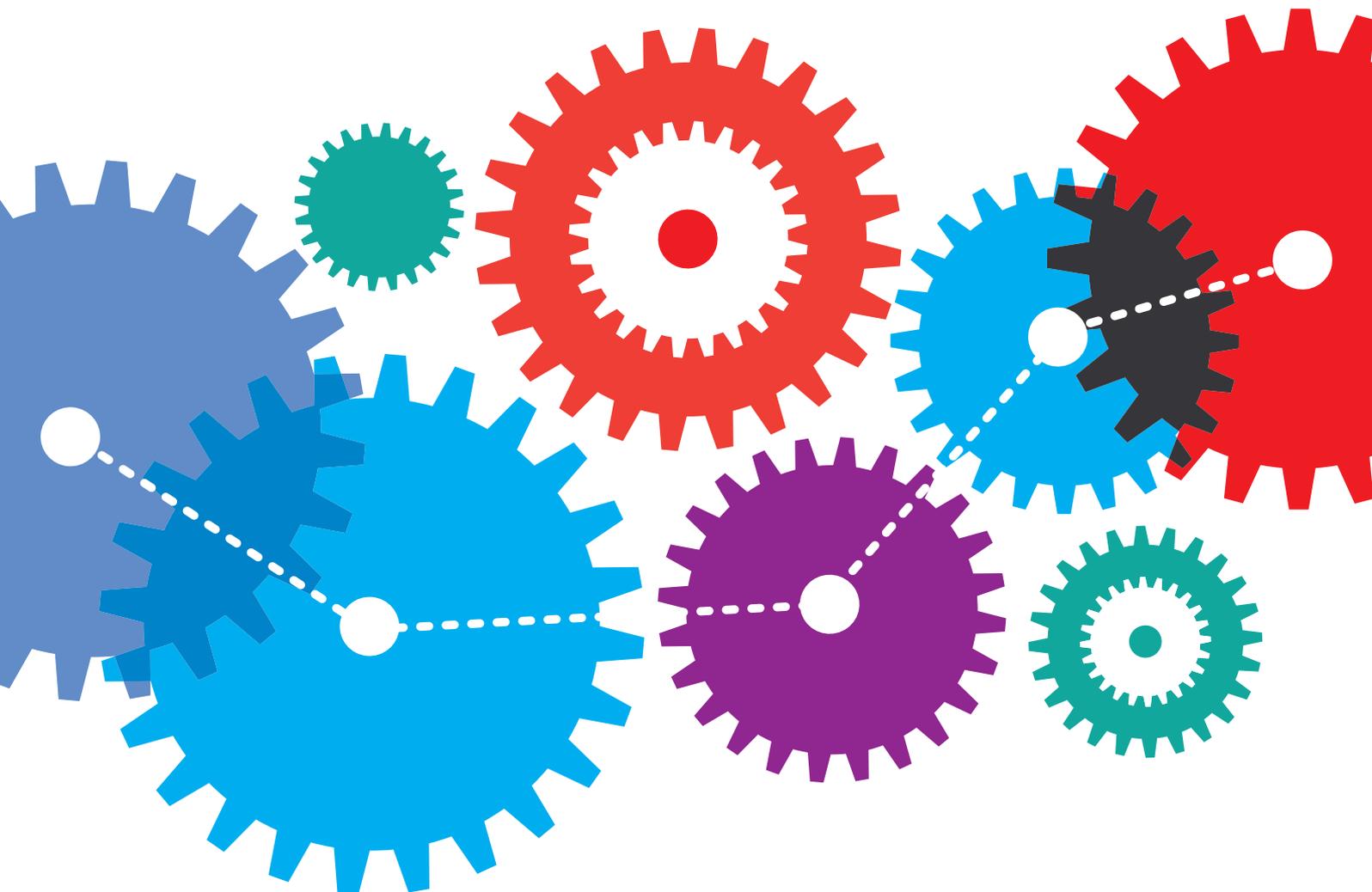


# Campaigning for change:

## Learning from the United States



## Overview

### What is campaigning and influencing?

You might call it influencing, voice, advocacy or campaigning, but all these activities are about creating change. At NCVO we use the word campaigning and define this as the mobilising of forces by organisations or individuals to influence others in order to effect an identified and desired social, economic, environmental or political change.

Whatever you call it and whether you are trying to save a local community centre from closing or lobbying government, campaigning is about creating a change. The impact is the real change created by a campaign – the difference it makes to people’s lives.

### What is covered?

One of the most fundamental questions campaigners often ask themselves is whether their campaign is making a difference. Being able to answer this question is crucial for campaigns to develop effectively, and for campaigners to communicate the impact of their campaigns to a wide range of audiences.

While many existing evaluation models focus on the sequencing of activities, this guide outlines a novel, systematic approach to evaluating campaigning which has emerged in the United States. The guide goes through a step by step process, firstly in outlining the approach in different stages with examples, and secondly in drawing out the key implications for UK campaigners.

This approach, known as Theory of Change, challenges campaigners to develop clear aims and strategies, to question how change occurs, the relationship between campaign stages and activities, as well as to make explicit the assumptions often implicit within campaigning.

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# Introduction

## Introduction

Campaigning does not easily lend itself to standard management approaches to strategy, planning and evaluation. Many of the models for organisational development represent a poor fit in reflecting the constantly changing environment in which campaigners work, the judgements they make about the activities which bring about change and how to assess when they have achieved their goals. Planning, evaluation and impact measurement often become an afterthought rather than an integral part of the campaigning process. Yet successful campaigning rests on developing appropriate strategies for change as much as on the successful delivery of a campaign.

A number of Charitable and Philanthropic Foundations in the US have found a solution to this problem through developing an overarching approach to setting the strategy, planning and evaluation of campaigning. What has driven their collaboration has been the determination to develop a better way of understanding the assumptions campaigners make about what delivers change and more testable hypotheses about how change will occur. Related to this the Foundations have wanted a framework in which they would then be able to assess progress towards change and support stakeholders and beneficiaries in defining what that success should look like.

They have achieved this aim by taking the core insights from basic business models and combined it with a level of academic rigour about how change occurs, and a deeper understanding of the methods and approaches deployed by campaigners to

bring about change. This approach has major implications for how we should think about what constitutes best practice in the development of campaigns strategy and evaluation, and provides a powerful model that campaigners could benefit from in ensuring their campaigns are successful.

As campaigning becomes increasingly scrutinised in regard to its effectiveness, having the ability to develop strategies which are based on an understanding of how change occurs, which set clear goals to bring about change, and which monitor progress towards those goals, will become fundamental to good and effective campaigning.

## Philanthropy and Advocacy in the US<sup>1</sup>

In the United States, charitable foundations play a much larger role as funders of projects and advocacy work than their counterparts in the UK. This is due to considerable differences in the funding of community groups in the US and the comparatively smaller role of state funding. Foundations based in the US have therefore taken the initiative in producing models to support assessing the quality of bids they receive and the planning and evaluation of activities they are funding, from campaigning and advocacy organisations. Foundations have also built self evaluation, using what they have termed a 'Theory of Change' (TOC) or 'Composite Logic Model'<sup>2</sup> into the organisations they are funding.

The Aspen Institute, Atlantic Philanthropies, Annie E. Casey Foundation, The California Endowment, the Kellogg Foundation, and the James Irvine Foundation are just some of the

1. Advocacy is the commonly used term for campaigning activities in the US: "We define advocacy as "a wide range of activities conducted to influence decision makers at various levels." This means not only traditional advocacy work like litigation, lobbying, and public education, but also capacity building, network formation, relationship building, communication, and leadership development." Centre for Evaluation Innovation and Innovation Network, Inc. (2010) *Advocacy Evaluation Update*, #9, May, p.1

2. The literature can be confusing as these approaches are often given slightly different names to describe the same underlying model, though they emphasise different aspects within those models. The most common usages are the *Composite Logic Model* or *Theory of Change*. For the purposes of this report I have used *Theory of Change* throughout as a means of referring to them collectively. However, it is important to note that the original use of the term primarily referred

to challenging the assumptions behind some of the developments in community activism in the mid 1990s, and only became more joined to the *Logic Model* approach later.

# Introduction

leading foundations that have been behind the drive to develop a shared and consistent approach to funding advocacy work and evaluating its impact, often through working in concert. All have an impressive track record in funding advocacy projects. They represent some of the largest funders of health and social welfare programmes in the US. Typical of that commitment is the President of Atlantic Philanthropies Gara LaMarche, who argues, “*funding advocacy and advocates is the most direct route to supporting enduring social change for the poor, the disenfranchised and the most vulnerable among us, including the youngest and oldest in our communities.*”<sup>3</sup>

A number of partners from both academia and the commercial sector, such as the Harvard Family Centre, Innovation Network, Organisational Research Services (ORS), the TCC Group (TCC), and Blueprint Research and Design have collaborated with grantees to build up an impressive body of thinking and practical tools that constitutes a consistent approach to campaigning and advocacy methodology. There is such consistency and working between organisations around this approach that it could be characterised as a community of practice – in which professionals have come together to increase the store of knowledge around this issue.<sup>4</sup>

Some of the leading exponents of the Theory of Change or Composite Logic Models are Julia Coffman (Harvard Family Research Project), Astrid Hendricks and Barbara Masters (The California Endowment), Jackie Kaye (The Atlantic Philanthropies) and Tom Kelly (Annie E. Casey

Foundation), while more than 50 funders, evaluators and advocates also helped develop and refine the model. Another leading proponent has been Sarah Stachowiak and associates at Organizational Research Services (ORS), a change consultancy for the Annie E. Casey Foundation.<sup>5</sup>

The work of the Foundations represents a powerful collaboration from those who have spent the last 10 years developing a new approach. Given its growing status, and the fact that it is becoming the de facto way to conceive, deliver and conduct campaign strategy and planning, it is worth looking in more detail at how the model developed, what it asks of campaigners and what its strengths and weaknesses are.

With some notable exceptions<sup>6</sup> the same focus has been missing on this side of the Atlantic. While many organisations will follow elements of a standard business model of planning, the application of a developed TOC approach has been missing. UK campaigners have much to gain from looking at the TOC model developed by the Foundations as it provides a unified and comprehensive means of approaching campaigning with a clear focus on campaign strategy. TOC achieves this through prioritising setting clear goals, assessing outcomes and emphasising evaluation. This comprehensive approach to the development of campaign strategy encourages campaigners to think harder about what delivers change and the means they deploy to do so.

3 The Atlantic Philanthropies (2008) ‘Investing in Change’, *Atlantic Reports*, May

4 Etienne Wenger defines Communities of Practice as: “... groups of people who share a concern, a set of problems, or a passion about a topic, and who deepen their knowledge and expertise by interacting on an ongoing basis.” Wenger, E., et al. (Harvard Business School, 2002) *Cultivating Communities Practice: A guide to managing knowledge* (Cambridge, MA: Harvard University). McKinsey & Co. describe a community of practice as “A group of professionals, informally bound to one

another through exposure to a common class of problems, common pursuit of solutions, and thereby themselves embodying a store of knowledge.” McKinsey & Co., cited in Interoperability Clearinghouse (ICH) *Interoperability Clearinghouse Glossary of Terms*: <http://www.ichnet.org/glossary.htm>.

5 For how this has taken place, see Coffman, J. (Harvard Family Research Project, 2009) *A users guide to Advocacy Planning and Evaluation* (Harvard, Harvard Family Research Project).

6 See Coe, J., and Mayne, R. (NCVO, 2008) *Is your campaign making a difference?* (London, NCVO), which used some elements of TOC and logic models, Lofgren, G. et al. (New Philanthropy Capital, 2008) *Critical Masses: Social campaigning, a guide for donors and funders* (London, New Philanthropy Capital), which firmly identified the TOC model as key to good evaluation. The Overseas Development Institute (ODI) has made significant contributions in the areas of policy and planning but not to the evaluation of campaigning nor to the TOC model.

# Theory of Change Model

## Theory of Change – the development of a new approach to campaign planning?

TOC is an extension of a basic planning tool usually referred to as the Logic Model<sup>7</sup>. It is worth examining the basics of the Logic Model as it formed the building blocks for the development of the TOC approach.

### The Logic Model

**The Logic Model is simply the first stage in trying to capture the interrelationships between different parts of your activities and impacts.**

A logic model looks at the process from identifying resources through to activities, outputs, outcomes and impact as a logical chain of events to form a project plan. Often they are more useful for describing the progress of an existing plan and monitoring service delivery than for capturing the complexity of campaigning or advocacy work, and therefore will be familiar to many who have undertaken project planning more generally.

**Your work plan** – what resources you think you need to implement a work program and what you intend to do.

- 1 Resources include the human, financial, organisational and community resources a program of activity has available to direct towards doing the work. Sometimes this component is referred to as **Inputs**
- 2 Activities are what the program does with the resources. Activities are the processes, tools, events, and actions that are an intentional

part of the program implementation. These interventions are used to bring about the intended program changes or results

**Your Intended Results** include all of the campaigns desired results (outputs, outcomes and impact).

- 3 **Outputs** are the direct products of program activities and may include types, levels and targets of services to be delivered by the program
- 4 **Outcomes** are the short-term or long-term results of any given activity. Short-term outcomes should be attainable within 1–3 years, while long-term outcomes should be achievable within a 4–6 year timeframe
- 5 **Impact** is the fundamental intended or unintended change resulting from the outcome that occurs in organisations, communities or systems as a result of program activities within a particular timescale.<sup>8</sup>

This process is essentially the building block for any type of strategic planning. The Logic Model rests on the idea that you should make clear what the logical links are between your activities, outcomes and impacts through specifying resources, activities, short and long-term outcomes.

A number of approaches have been developed from this basic model, depending on the Foundation – the specific format relative to their work. However it is important not to get caught up in terminology but to focus on the underlying concepts which form the basis of the Theory of Change model.



<sup>7</sup> Both the Aspen Institute and the Kellogg Foundation have done extensive work on the Logic Model. For more information on their approaches see <http://www.theoryofchange.org> or <http://www.wkcf.org>. Kellogg rests more

heavily on the Logic Model and you need to look at more recent work referenced here to see how this has developed, not least in their more recent thinking where it is enriched with a comprehensive Theory of Change approach.

<sup>8</sup> For a fuller outline see W.K. Kellogg Foundation (2004) *Logic Model Development Guide* (Michigan, W.K. Kellogg Foundation)

# Theory of Change Model

## Theory of Change Model

*“A theory of change lays out **what** specific changes the group wants to see in the world, and **how** and **why** a group expects its actions to lead to those changes.”<sup>9</sup>*

The development of the Theory of Change model rests on the basic approach of a Logic Model, as it looks at the sequencing of activities. However TOC goes further: it requires more specificity about the aim and the conditions needed to reach that aim. There is a greater focus on what types of activity are undertaken and the interrelationship between the activities.

TOC also encourages organisations to develop a more sophisticated understanding of what is required for change to take place and what strategies can be used along the way. It challenges campaigners to think about what the links might be between the activities they undertake and the end goals they seek by using insights from some of the best thinking in political and social theory about how change happens. It therefore results in a more useful guide for steering a campaign than other planning processes. By introducing more focus on the rationale that campaigners use, the TOC model has the capacity to illuminate strategic choices and assess how these are followed through.

The TOC model challenges campaigners to think hard about the assumptions they make when selecting the campaign activities which they hope will lead to change.

## How does the Theory of Change model work?

**The main elements of the TOC model are as follows:**

- 1 Stating a clear aim
- 2 Mapping activities to achieve your campaign aim

- 3 Outcomes and how to get there – using ‘so that’ chains
- 4 Understanding how social change happens – outcome mapping
- 5 Capacity of the organisation to achieve change
- 6 Evaluation built into the model

Contrary to Marx’s famous critique that philosophers have only sought to interpret the world not to change it – campaigners have too often sought to change the world without first interpreting it.

The basis of the TOC model is to state a final aim or impact and then describe what would need to happen to arrive at that point. The advantage of using TOC is that it immediately points to the interrelationship between activities and outcomes. TOC involves having both a theory, and theories, about different ways in which change can be brought about and what methods and interventions will work best. TOC looks across the whole campaigning cycle and provides a framework for evaluating progress, which is built into the planning assumptions and methods. In doing so, it provides the basis for a strong focus in the plan on how social change happens.

*“A theory of change clearly expresses the relationships between actions and hoped for results, and could also be described as a roadmap of the strategies and belief systems (e.g., assumptions, ‘best practices’, experiences) that make positive change in the lives of individuals and the community. A theory of change can be articulated as a visual diagram that depicts relationships between initiatives, strategies and intended outcomes and goals.”<sup>10</sup>*

<sup>9</sup> Guthrie, K., et al (Blueprint Research & Design, Inc, 2006) *The Challenge of Assessing Policy and Advocacy Activities: Strategies for a Prospective Evaluation Approach* (Los Angeles, The California Endowment), my emphasis. Prepared for The California Endowment.

<sup>10</sup> ORS (2009) *Ten Considerations for Advocacy Evaluation Planning: Lessons learned from Kids Count grantee experiences*. Prepared for Annie E Casey Foundation (Seattle, ORS).

# Theory of Change Model

TOC models suggest that you start with the desired end result and work backwards through what would be needed at each stage of the process to achieve the intended result. This is often done through mapping each stage of the process onto a framework, listing the barriers, assumptions and steps that need to be taken to achieve your goal. They have found that it is helpful, wherever possible, to complete this process in teams, with stakeholders and relevant beneficiaries to create a shared view of the goals or change the organisation is seeking. Also by having a number of inputs to the process there is a better chance of ensuring you have captured all the thinking necessary to complete the plan successfully.

**Therefore most Theory of Change models follow a similar set of processes, which include the elements described below.**

## 1 Stating a clear aim

The first stage of the process is to start with the ultimate campaign **aim – the overall purpose of your campaign, the change you wish to see and the impact you want to make.** The aim should be a visionary statement that encapsulates the ultimate purpose of the campaign. It should be compelling, inspiring and targeted – identifying what needs to change and articulating what the change will look like.

Examples of ultimate impacts are:

- Children have equal opportunities to succeed in school
- Child poverty will be abolished by 2020
- Women are free from violence in the home

You can list the ultimate impact at the bottom of a page and work backwards from this ultimate goal. These stages are often best undertaken in teams, with stakeholders or beneficiaries when starting a strategy or when the method is being used to evaluate the consistency of an existing plan.

## 2 Mapping activities to achieve your campaign aim

This stage examines the specific **activities** that would be needed to bring about the **campaign** goal or impact you want to make. These activities may include campaigns to change policy or practice, bring about changes in law, behaviour, public opinion or awareness, capacity-building efforts, community activity and so on.

Here are some examples:

- Development of alliances
- Public awareness campaigning
- Creating the political will for change
- Legal advocacy
- Building community capacity to campaign

These strategies need to have a causal or logical relationship to the end goal that you are trying to achieve and you need to be aware of the appropriate type of strategy to achieve your particular goal. This assumes an overall understanding of what types of actions lead to different types of changes – ‘see section 4 *Understanding how social change happens.*’

## 3 Outcomes and how to get there – using ‘so that’ chains

It is crucial to be clear about outcomes as opposed to the final impact you are trying to achieve, and what the interrelationship is between those different outcomes in achieving the goal of your campaign aim. Therefore, it helps to check the linkages between your different activities.

This takes the first activity and associated strategy listed and creates a **‘so that’** chain based on the following question:

‘What X or Y activity should we do to result in (blank) for individuals, families, organisations or communities?’. The answer for the x or y should be the direct **outcome** or result of the strategy. You then repeat this question until you have linked each strategy to your goal. A ‘So That’ analysis is where

# Theory of Change Model

the process checks out the validity of a particular set of assumptions, by drawing all the logical links between a number of stages in a campaign. The analysis starts with the impact desired and works backwards to the outcomes and outputs that would be necessary to get to that point.

These have then been built into a more fluid process to take account of different types of policy work or streams of activity. This will produce a template chart that should look like this.

A typical example of a worked up 'So That' chain from a project on improving school performance:

### Sample 'So That' Strategy:

Formal establishment of a local collaboration committed to children's school readiness and early learning

#### So That

A shared collective plan is developed to address young children's health and school readiness needs

[Influence]

#### So That

A pilot program is implemented to provide families with access to dental and health screening clinics on-site at two neighbourhood schools

[Influence]

#### and

Support programs for parents of young children are offered on-site at a school in English and Spanish

[Influence]

#### So That

1 Children get their health needs addressed

[Individual Impact]

#### and

2 Children have improved nutrition

[Individual Impact]

#### and

Parents are more aware of how to support their young child's brain development

[Individual Impact]

#### So That

Children enter school healthy

[Population Impact]

#### So That

Children are more likely to do well in school

[Population Impact]<sup>11</sup>

'So that' chains can be very simple or complex depending on the issue, size of the project or level of analysis. If dealing with multifaceted issues there may be a number of chains looking at different aspects of achieving one goal or a number of goals may be interrelated. This approach can also be applied to much smaller, micro processes at the community level, but the crucial point is always to align the different activities undertaken with the expected effects or outcomes in working towards the desired result.

A key part of this process is also to be aware of the factors that might help or hinder the change sought, and what strategies are deployed to address these factors. This process is often called reverse planning or backwards mapping as the idea is start from the goal to be achieved and work backwards to the conditions needed to achieve it.

The outcomes must be clearly stated. Different approaches have characterised the outcomes slightly differently. ORS<sup>12</sup> divide these into *impact*, which is the final goal, *outcomes*, the means to help achieve those goals and *leverage outcomes*, which help you get the capacity to achieve change, such as changes in political will or public support.

In a similar fashion Coffman, one of the leading

<sup>11</sup> Adapted from ORS (2004) *Theory of Change: A Practical Tool For Action, Results and Learning* (Seattle, ORS). Prepared for the Annie E. Casey Foundation

<sup>12</sup> Ibid

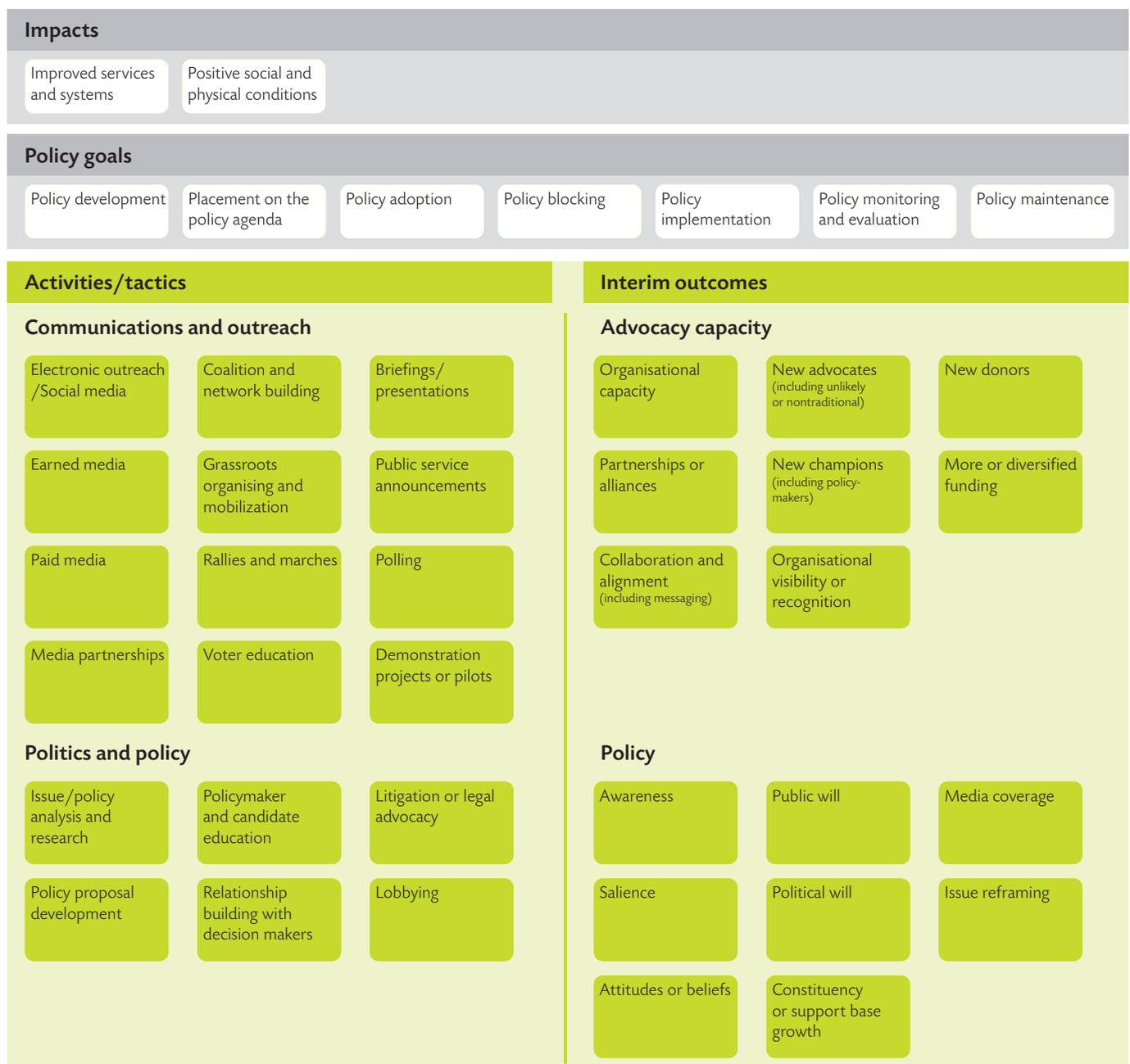
## Theory of Change Model

proponents of this approach, divides outcomes up between *advocacy capacity* and *policy outcomes*, leading to the achievement of *policy goals* and then *final impact*. The key point is to be clear what the relationship is between the particular outcomes and the final impact.

The most complete version of the model to date is reproduced below (in an adapted form), and was developed by Coffman and colleagues.<sup>13</sup>

Thinking back to the original typology of the TOC model it is possible to see the genesis from the simple Logic Model to the much more

### Advocacy and policy change Composite Logic Model



<sup>13</sup> Adapted from Coffman, J. *A user's guide to Advocacy Planning and Evaluation*

# Theory of Change Model

sophisticated way this model has been populated, with the different strategies and activities that campaigners might undertake – both in terms of campaign actions and policy influencing.

In working through how the model is constructed, it is suggested that there are some key questions which can help those using the model to inform the process:

- 1 To what degree is there clarity and consensus among key stakeholders regarding beliefs and assumptions, audiences, models of change, strategies and key outcome areas?
- 2 To what degree is the emerging picture of change compatible with the organisation's beliefs, approaches and overall culture? For example, beliefs about how change happens, timeframe for that change, implied roles and relationships between the different groups to bring that about.
- 3 To what degree does the Theory of Change you are developing have implications for the capacity of the organisation to carry out their plan?

The above model is one of the most comprehensive attempts in TOC modelling to capture the activities and tactics, interim outcomes, policy goals and impact relating to policy change that would be the building blocks of a campaign. The main aim of setting out the process in this way is so campaigners can trace a path through the specific activities and outcomes, in order to select which activities are best for the particular outcome being sought.

Further, Coffman argues that "Because the model identifies a full range of possible advocacy activities and outcomes, it can be used to identify what collaborators or opponents are doing and how they complement or compete with the strategy. Also, the comprehensive layout facilitates contingency planning; alternative paths to the policy goal can be identified if the current strategy is not successful."<sup>14</sup>

Some organisations have taken this further by developing contingency logic models, which draw on the concept of scenario planning. These models then speculate that an important element of the social or political context has changed and use the TOC to identify how the strategy should change to account for this.

TOC also provides the opportunity to outline the key elements of the campaign path to test the key assumptions that have been deployed in the campaign logic and the interventions undertaken. A communications campaign from the US on gun control was charted out in this example (on the following page), from Coffman's evaluation of a number of different communication campaigns, which show the different stages of the campaign in TOC format<sup>15</sup>. This public communication campaign focuses on engaging the media as the main strategy and traces through the key activities undertaken to achieve change. These activities include public service announcements and developing website information, all leading to greater public awareness and behaviour change. The campaign achieved a reduction in injuries due to firearms. The example is set out as below so that it is possible to identify the relationships between the different activities.

By following this model, campaigners are prompted to think systematically about the underlying assumptions to their strategies, and to deploy them to build more secure plans and interventions that focus on the outcomes they wish to achieve.

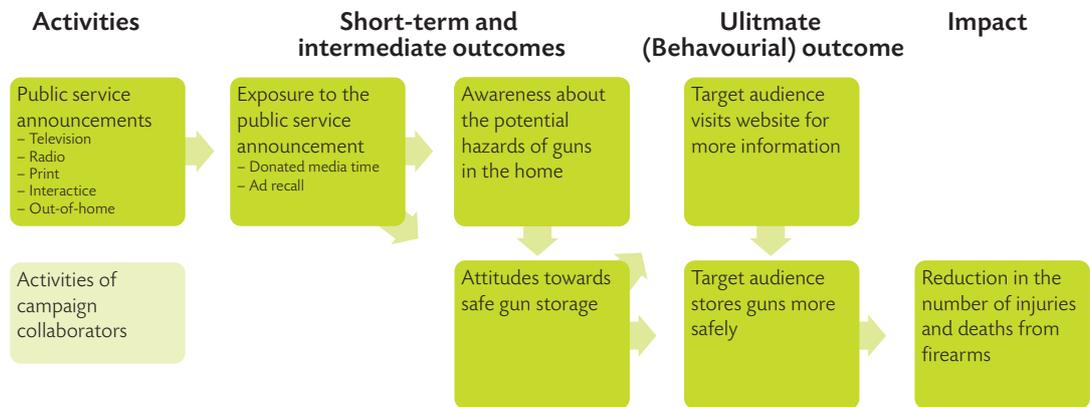
Building up a TOC chart places emphasis on the conditions for success – the interim changes and outcomes. TOC models suggest that it is crucial to focus on the links within campaigns as much as on the final policy or other change outcomes you might be seeking. Both are essential to campaigning, but policy change has often been overemphasised at the expense of some of the

<sup>14</sup> Coffman, J., *A user's guide to Advocacy Planning and Evaluation*, p7.

<sup>15</sup> Adapted from Coffman, J. (HFRP, 2002) *Public Communication Campaign Evaluation: An*

*Environmental Scan of Challenges, Criticisms, Practice, and Opportunities*. Prepared for the Communications Consortium Media Centre. (Harvard, Harvard Family Research Project)

## Theory of Change Model



building blocks needed to achieve change, in the planning and evaluation of advocacy efforts. Changes in public will, political will, base of support, capacity of advocacy organisations and strengthened alliances are the crucial structural changes that must happen on the way to legislative, policy or other changes.

### 4 Understanding how social change happens

Central to TOC models is an overall understanding

of what strategies bring about what types of social change. Understanding how social change happens, then ensuring that the types of activities undertaken match the overall strategy being pursued is fundamental to the approach. Simply having a set of activities that are linked is not enough if the overall strategic assumptions about what will deliver change are mistaken. ORS defined a number of different reasons for why change happens drawn from a number of academic studies and approaches, which they characterise as:

#### Global theories

**Theory**  
Major Change or Large Leaps

**Background**  
The theory was developed by looking at big changes in Government approaches and policy, or how industry undergoes major change.

**How change happens**  
Normally through a complete paradigm shift in thinking, often accompanied by a change of government or a decisive event in an industry or sector. But there can also be a decisive policy shift, for example a complete reframing of the welfare benefits system.

**'Coalition' Theory or Advocacy Coalition Framework**

Argues that major social change comes about when significant coalitions come together.

Core policy beliefs are unlikely to change unless:

- Major external events such as changes in socioeconomic conditions or public opinion are skilfully exploited by proponents of change
- New learning about a policy surfaces across coalitions, which changes views about it.

**Policy Windows**

Politics: political factors are crucial, including the 'national mood' (e.g., appetite for 'big government'), particular interest groups and advocacy campaigns, and/or changes in elected officials.

Policy can be changed through a window of opportunity when advocates successfully connect with a number of areas of the policy process at one time, by influencing the way in which their issue is perceived, or by finding the perfect solution and promoting this.

# Theory of Change Model

## Strategies and tactics

(normally part of a broader goal in support of one of the change strategies outlined above)

### Theory

### Background

### How change happens

#### Messaging and Frameworks Theory

Based on the theory that how issues are presented and represented, especially in the media, will set the parameters for which issues get taken up and which are kept off the agenda.

People are presented with information in different ways that 'frame' a decision or issue, in a way that gets their attention and support, where it might not have done before.

Change happens when you can either disrupt a dominant frame of reference for your own ends, or create one that forces key players to act where they would not have done before.

#### Focus on who holds power and how it is exercised

Based on the assumption that there are a number of faces of power, formal, informal and hidden.

This approach argues that power really resides with communities or should do. The aim is therefore to help communities to mobilise and have a voice. By doing so they can claim power back from other more formal routes.

Change happens through a process of targeting those who are in power and reclaiming space in which to conduct public dialogue – making visible the ways in which hidden power operates. This then leads to changes in legislation or policy and practice, which need to be sustained.

#### Community-based or grassroots campaigning

This approach argues that power really resides with communities or should do. The aim is therefore to help communities to mobilise and have a voice. By doing so they can claim power back from other more formal routes.

When enough people coalesce locally around an issue, it is possible for change to happen. This normally means mass activism at the community level to bring pressure onto the target as much by the weight of community opinion as by other means.

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Analysing change in this way is very helpful in aligning an overall campaigning approach with the activities that will bring about the type of change being sought. Ensuring synergy between the campaign goal and the type of strategy being deployed can be crucial in securing success – deploying the wrong tactics can equally ensure failure.

### Issue framing as a strategy for change

Stachowiak has illustrated for each theory (detailed in the chart above), the ways in which it combines with a particular set of activities to deliver the

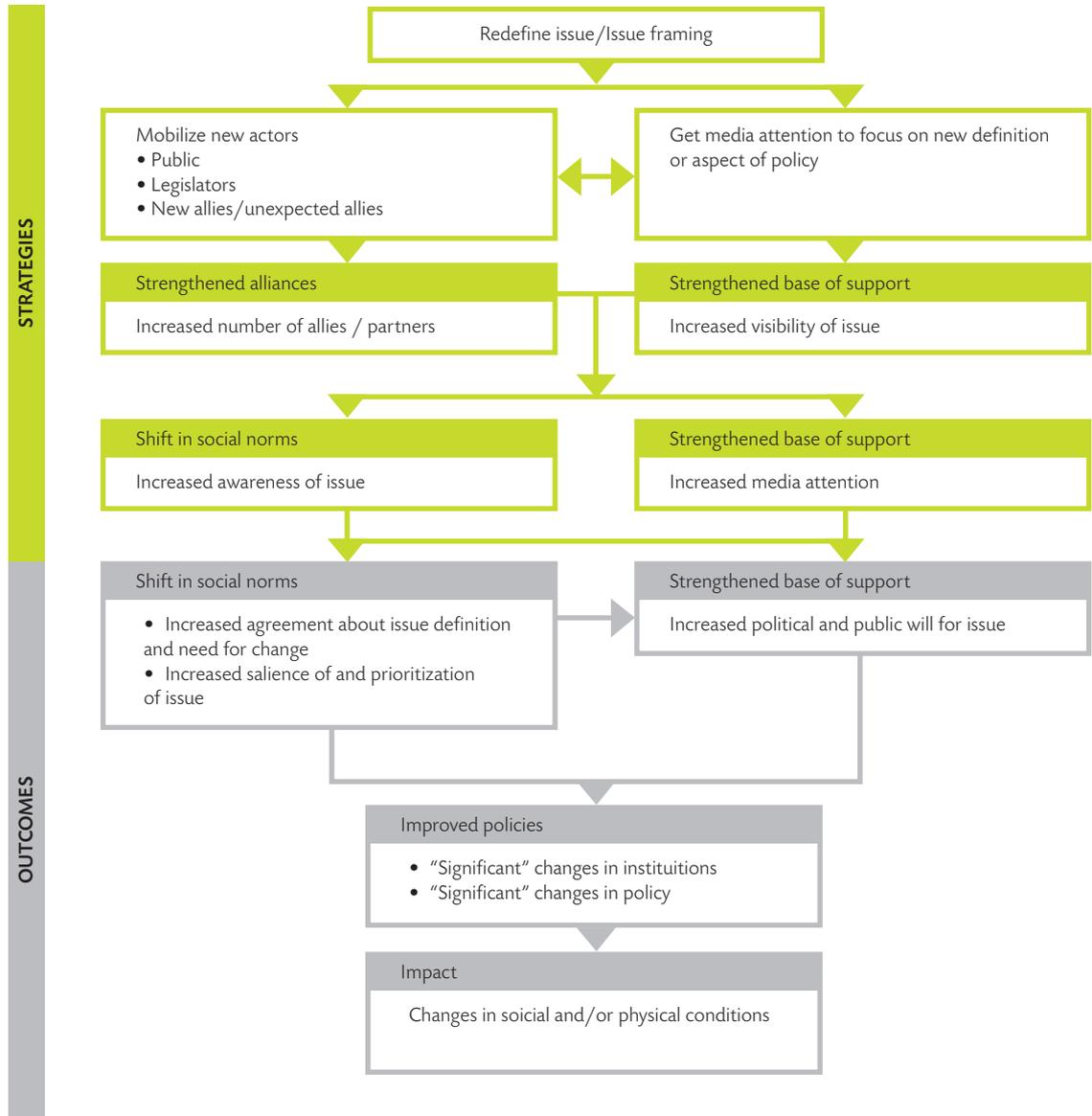
outcomes anticipated by the theory, and then eventually a particular impact. This approach also helps to identify the gaps in the logic between particular causes and effects in the campaign. *See following diagram for an example of the way in which using Issue Framing to redefine an issue would work for a communications campaign.*

### Putting together a Theory of Change outcome map

By putting all of these different activities together it is possible to arrive at a fully formed TOC model for your campaign, which can be mapped out relatively simply with the arrows in this next diagram

16 Adapted from Stachowiak, S. (ORS, 2007) *Pathways to Change. 6 Theories about How Change Happens* (Seattle, ORS)

# Theory of Change Model

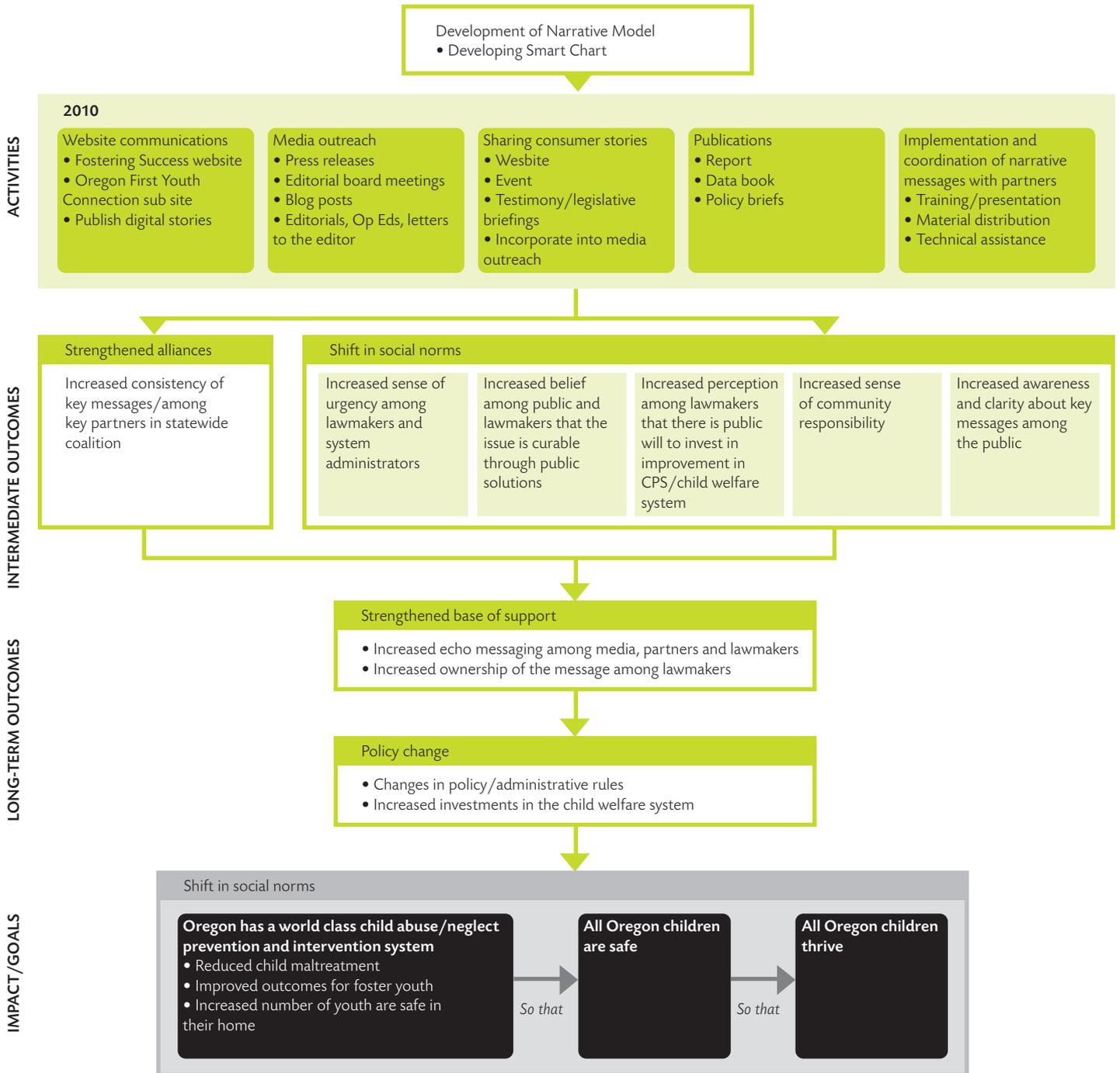


17

17 From Adapted from Stachowiak (ORS),  
 Pathways for Change, p.13

# Theory of Change Model

## Children First for Oregon: Outcome map of strategic communications strategy for “Fostering Success” Draft Theory of Change



# Theory of Change Model

– representing the ‘So That’ links between the different intervention strategies and the actions taken to achieve them. On the previous page is an example from ORS which was part of their work with *Children First* in Oregon.<sup>18</sup> The black bars represent the overall theory of change strategies, the activities are then grouped below these.

It is possible to complete Theory of Change mapping at this level or bring it down to a much more local level of analysis. ORS use the analogy of the view from different heights, reflecting the fact that different audiences inside and outside your organisation require different levels of detail.

**30,000 foot vantage point.** An outcome map from this high-level vantage point is a ‘zoomed out’ view, like looking out of an aeroplane window. It is about achieving a long-term goal, including the efforts of other partners that you have been working with.

This vantage point may be most relevant for general communication with multiple funders, ensuring partners understand their respective roles and for getting an overall picture of all the elements of the campaign.

**10,000 foot vantage point.** Encompasses the breadth of the work of one organisation. This is thought to be useful if an organisation is seeking to define its particular role or contribution, or if an organisation wishes to express how its own internal strategies and outcomes are related.

This vantage point may be most relevant for board members, staff teams, close partners and funders.

**1,000 foot vantage point.** This would be used to illustrate the activities and intended results connected with a singular strategy or related set of actions. This view would be most useful if an organisation is involved in evaluation planning, or trying to get a picture of what is likely to happen and/or change in a distinct near term-time period (e.g. the next 1–2 years).

This vantage point may be most relevant for close partners, staff teams, or constituents.<sup>19</sup>

ORS also note that there is a danger that in listing all the activities in sequence it can appear that either they all happen at once or that the logic sequence ploughs on irrespective of what is happening in other elements of the plan. This is often not the case and one of the points of the ‘so that’ chain is to ensure you sequence the order in which things should happen. Campaigns can be an iterative process, with some parts of the campaign ‘stuck’ at a particular stage and campaigners often have to retrace steps to come at an issue from a different angle.

## 5 Capacity of the organisation to achieve the change

One of the advantages claimed for the TOC model is that it illustrates the various elements that organisations should have in place to ensure they have the capacity to carry out their strategy. In part, this derives from the models’ original focus in grant giving and therefore the need to establish the capacity of the grantee to deliver on the project, or at least identify the steps they would need to take.

The recent work by the California Endowment has exemplified this approach and pulled together thinking and research on what organisational capacities are needed as the basis for a successful campaigning approach. The main factors they identify are:

- **Leadership** – exemplified by commitment to investing in advocacy, credibility with stakeholders and beneficiary groups, support from the board, a clear vision and commitment to work for long-term change as well as monitoring progress
- **Adaptability** – by being able to respond to the needs and aspirations of the community, the ability to monitor and evaluate the campaign and make changes and adjustments

<sup>18</sup> Adapted from ORS, *Ten Considerations for Advocacy Evaluation Planning*

<sup>19</sup> Summarised from Guinapp et al, (ORS, 2009) *Getting Started: A self-directed guide to*

*outcome map development*. Prepared for the Annie E Casey Foundation (Seattle, ORS)

## Theory of Change Model

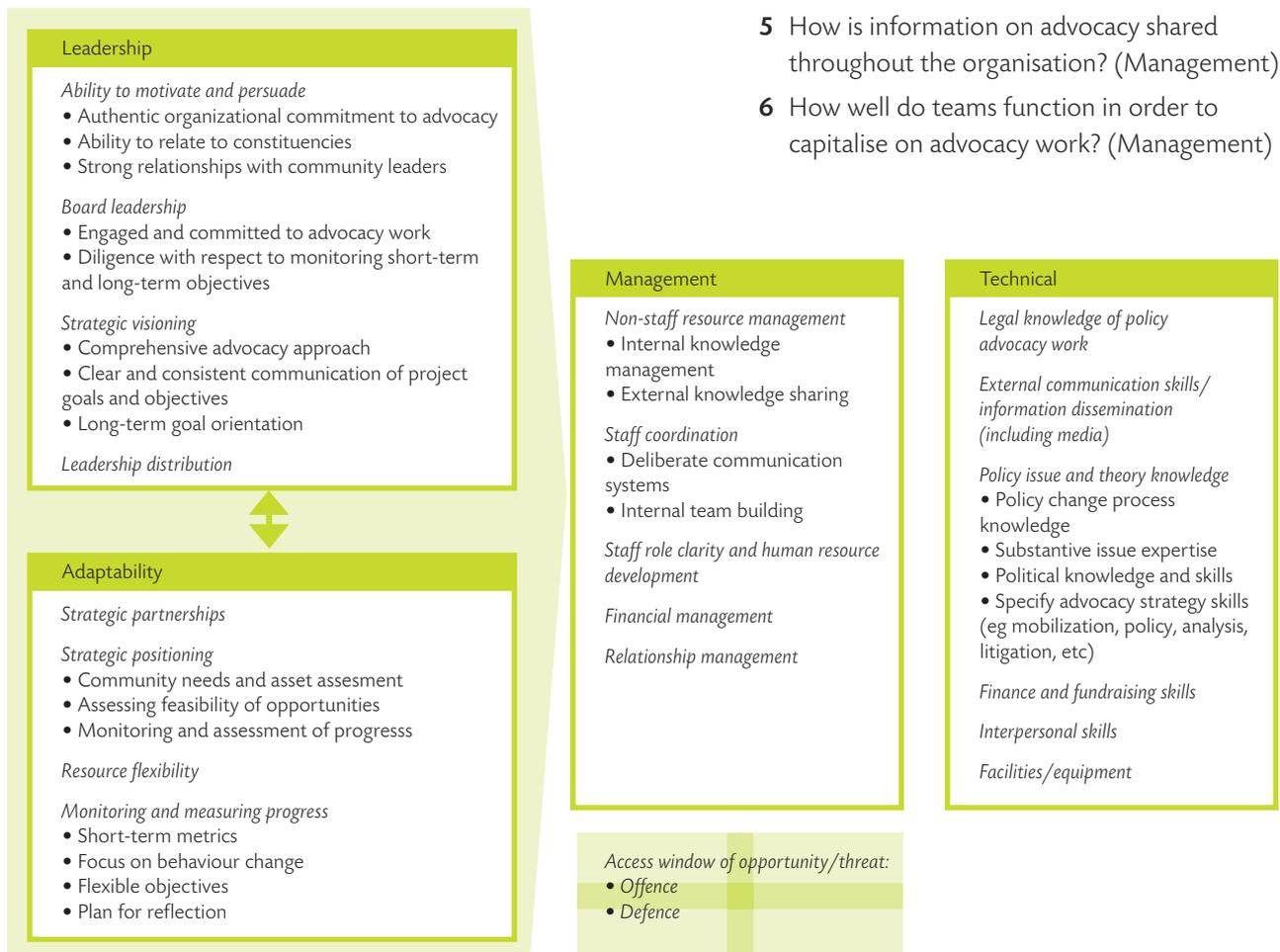
- **Good management** – including clear communication with staff about goals, clear financial planning and external communication
- **Technical expertise** – such as policy capacity and campaigning skills.

These categories all form the basis of a clear evaluation of organisational capacity as part of a TOC model, as they form a vital precondition relating to the viability and achievability of the change model being developed.

The model also suggests that there are a number of questions that an advocacy organisation should be asking routinely as part of the process of evaluating their capacity to achieve their campaign aims.

These are:

- 1 To what extent does the organisation understand and articulate advocacy goals with the support of the board? (Leadership)
- 2 To what extent is advocacy important to those goals and integrated with other strategies? (Leadership)
- 3 How effective is monitoring of the external environment for advocacy opportunities and the internal environment for capacity to respond? (Adaptive)
- 4 What strategic relationships does the organisation have and which are needed to implement the Theory of Change strategy? (Adaptive)
- 5 How is information on advocacy shared throughout the organisation? (Management)
- 6 How well do teams function in order to capitalise on advocacy work? (Management)



# Theory of Change Model

- 7 What skills and resources do we have and need in order to implement the particular Theory of Change plan?<sup>21</sup> (Technical)

Evaluating organisational capacity has been integrated into the TOC model to make explicit the inputs part of the process.<sup>22</sup> Focusing on what the essential inputs and capacities are that an organisation has to put in place to achieve change in a systematic way, allows for a proper focus on organisational and community capacity. Evaluating this at the start of the process ensures that organisations do not over commit themselves and their supporters to goals that could never be

achieved, but instead to match resources to activities and potential outcomes. It provides some key categories to focus on before starting, but also when evaluating later down the line. It can also be used during the process if the campaign is not progressing as expected.

## 6 Evaluation built into the model

*“In particular, the articulation of a theory of change and clear purposes of evaluation can be immensely useful for communication about expected results, as well as identification of useful approaches to tracking, documenting and evaluating advocacy and policy change work.”<sup>23</sup>*

Outcome categories	
Type of outcomes	Components
1 Shift in social values, attitudes or behaviour	Values, attitudes and behaviour that would need to be changed to bring about the impact you are seeking, or would create a blockage if not addressed.
2 Increase organisational capacity	The skills, training, and strategic capacity of the organisation to carry out campaigning and influencing work increases and allows more effective interventions.
3 Create or improve alliances or coalitions	The level of co-ordination or competence of the organisations in your sector. Also the capacity to work across non-sector boundaries including unlikely supporters so as to be able to deliver your agenda, ensure that policy wins are protected and change can be embedded.
4 Improved base of support	The necessary level of public support or public will for any particular change, especially amongst opinion leaders, activists and the generation of positive media coverage or support for your issue.
5 Improved policies and legislation	Different types of policy and legislative improvement as a result of the campaign. This could be from policy adoption, changes to legislation, implementation of recommendations or changes in practice or funding.
6 Impact of campaigning activity	The ultimate changes in individual lives as a result of the other activities undertaken by the campaign continues to then change the way the issue is seen or develops – people become more empowered.

24

21 Summarised from Raynor, J., et al. (TCC Group, 2009) *What Makes an Effective Advocacy Organization? A Framework for Determining Advocacy Capacity* (San Francisco, TCC). Prepared for California Endowment; Alliance for Justice (2005) *Build Your Advocacy*

*Grantmaking: Advocacy Evaluation Tool and Advocacy Capacity Assessment Tool* (Washington, D.C., Alliance for Justice). The latter is another very useful capacity assessment tool.

22 Ibid.

23 ORS, *Ten Considerations for Advocacy Evaluation Planning*

24 Adapted from Guinapp et al, (ORS) *Getting Started: A self-directed guide to outcome map development. Development Exercises*. Prepared for the Annie E. Casey Foundation

# Theory of Change Model

The benefit of the TOC models is that it provides a focus on what each approach is trying to deliver, encourages you to be explicit about the assumptions you are making and provides indicators to ascertain if they are being achieved. As such, TOC models address one of the perennial issues in campaigning – ‘how can I tell if what I am doing is actually going to make any difference in practice?’

Most evaluation models break down a number of activities such as examining how far each activity has been achieved, how successful those participating in the activity thought it was, and how effective that activity was at achieving its targets. The TOC approach also forces the evaluator to question much more closely:

- The assumptions behind the interventions
- The selection of one type of activity to see if the method chosen matches the outcome desired
- The relationship between the different stages.

There is also a focus on the different types of activities and outcomes you need to do to achieve your final goal or impact. These can form the basis of an evaluation framework depending on which type of outcome categories you chose to use.<sup>25</sup>

*“Without a theory of change, use of indicators will lead to activity-driven monitoring.”<sup>26</sup>*

One of the major strengths of the TOC model that practitioners have identified is the ability to have a prospective as well as retrospective approach to evaluation. Prospective evaluation sets out goals for a campaign at the outset and measures how well the campaign is moving toward those goals throughout its life.

The advantages of the approach for evaluation have been seen as:

- Being able to set a clear and testable hypothesis about how change will occur that allows accountability for results, but also

increases credibility because the change was predicted to occur in a certain way

- The ability to articulate a Theory of Change about how and why the activities of a given campaign will lead to the end result the campaign is trying to achieve
- Using a Theory of Change as a framework to define measurable benchmarks and indicators e.g. the number of supporter actions achieved, changes in legislation or funding – for assessing both progress towards a desired policy change and building organisational capacity for campaigning in general
- An agreement among stakeholders about what defines success and what it takes to get there
- The ability to test the assumptions about what political, social and economic factors could influence the outcome of the change being sought, and to find any gaps in the stages of the process, necessary to achieve the change being attempted
- An agreed basis for reports to funders, policymakers and boards that will remain consistent over time

As well as allowing for a rigorous examination of activities undertaken, TOC allows for regular feeding back of information – helping campaigners to reflect, as they progress their strategies. The model allows campaigners to assess whether the campaign is working and where to adjust their activities and plans. As Coffman concludes, “by more deeply integrating evaluation with implementation, prospective evaluation provides advocates and funders with data on progress long before policy change can be achieved, and collects insights that advocates can use to continuously improve and refine their strategies.”<sup>27</sup>

There are a number of processes that could be examined at each stage of evaluation which follow the stages of the TOC model of planning:

25 Appendix 1, shows how this can be broken down into a number of evaluation areas for each activity. See also Guthrie, K., et al., *The Challenge of Assessing Policy and advocacy activities: Strategies for a Prospective Evaluation Approach*

26 Snowden, A., cited in Guthrie, K., at al., (2009) *The Challenge of Assessing Policy and Advocacy Activities* (Los Angeles, California Endowment), p.11

27 Coffman, J. (Centre for Evaluation, 2009) *Overview of Current Advocacy Evaluation Practice* (Washington D.C., Centre for Evaluation Innovation), p. 9.

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## Measures

This step involves identifying specific measures (indicators or benchmarks) that, when captured and tracked over time, will signal whether the campaigning strategy elements have been successfully implemented or achieved. Different kinds of measures go with different Composite Logic Model elements – see *Appendix 1*.

### Activity/tactic measures

Commonly known as outputs, these ‘measures of effort’ count what and how much advocacy activities or tactics produce or accomplish. Although these measures capture what was done, they do little to explain how well it was done or how well it worked with target audiences. Because they count tangible products, people, or events, activity/tactic measures are the easiest of all evaluation measures to identify and track.

### Interim outcome measures

Linked to interim outcomes, these measures signal progress toward the achievement of policy goals. Unlike measures that are associated with activities and tactics, they are ‘measures of effect’ and demonstrate changes that happen – usually within target audiences – as a result of advocacy efforts.

### Policy goal measures

These measures signal whether policy goals have been achieved.

### Impact measures

These measures demonstrate what will happen after a policy goal is achieved. They show the effects of policy goals for the programs, systems, or populations that policies aim to improve.<sup>28</sup>

Impact measures are often the hardest to evaluate but the advantage of focused evaluation of impact is the clear framework this gives organisations. An example of this form of evaluation is from the ‘Superwoman’ project, which focused on raising the employment opportunities for survivors of domestic violence. The evaluation of the project to

support victims of domestic violence back into work (shown in the diagram below), illustrates the end goal and the three key outcomes that would be needed to achieve this goal. Evaluation would then be against whether these outcomes and impact have been achieved.<sup>29</sup>

### Superwoman project evaluation



Organisations need to be clear about the ways in which they expect to bring about change, but they can evaluate against each of the potential strategies chosen. For each of the various change strategies there are some obvious indicators that can be applied. As Coffman argues, different Theories of Change adopted by the campaign will determine what needs to be evaluated. Further evaluations will not necessarily focus on every stage of the process of change but will pick out key determinants or issues that the organisation needs to focus on.

### Example of using a TOC approach with partners to pilot different approaches towards evaluation

The Annie E. Casey foundation used a TOC approach with its KIDS COUNT initiative. KIDS COUNT is a network of child advocates in all 50 US states, the District of Columbia, Puerto Rico, and the Virgin Islands. The Foundation has invited several grantees to participate in a pilot project to develop evaluation strategies for their advocacy and policy change work. ORS

<sup>28</sup> Adapted from Coffman, J. (2009) *A user's guide to Advocacy Planning and Evaluation*, which illustrates this in a logical sequence.

<sup>29</sup> ActKnowledge and the Aspen Institute (2003) *Guided Project Example: Superwoman* (New York, ActKnowledge and the Aspen Institute)

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worked with these grantees to develop their evaluation strategies, which included the development of outcome maps (see ORS's *Orientation to a Theory of Change* for an easy-to-follow overview of Theory of Change techniques, including how Theory of Change development fits into other types of outcomes-based planning).<sup>30</sup> Once designed, the expectation is that advocates will implement their own evaluations. While this process is still underway, the evaluators, advocates and the Foundation have found that the process of identifying outcomes and their linkage to strategies calls into question a host of strategic questions, including consensus within the organisation, transparency, real-time relevance, belief in the value of evaluation, and the interconnectedness among organisational strategies.

## Summary

At the end of this process a typical plan would have:

- Produced a clear analysis identifying long-term goals and the assumptions behind them
- Backwards or reverse mapping of the issue, which connects all the preconditions or requirements necessary to achieve the goal using outcome mapping and 'so that' chains
- Identified the campaign activities that will be undertaken to create the end goal for change
- Developed indicators to measure the outcomes in order to assess the performance of the campaign
- Involved stakeholders and beneficiaries in the process
- Produced a written plan or narrative to explain the logic of the campaign

## Grantees Experiences

Organisations that have used a TOC approach have been very clear about the potential benefits this approach has delivered. This comment from the evaluation of the Georgia Connection Partnership stressed the clarity it had achieved and the advantages this brought:

*"We worked to develop an organizational theory of change and so far, the payoff has been wonderful. Not knowing that we would be facing a major state budget crisis this year, it was absolutely the right and most timely thing we could have done! We are able to clearly show, describe and defend our work with our funders, the legislature, our partners and our board. People say 'Oh, now I really get it. I see what you do.'"*

Executive Director, Georgia Family Connection Partnership<sup>31</sup>

While another grantee stressed the effect in increasing credibility with Government, through better engagement and clarity about values and accountability:

*"Our work to measure the impact of our advocacy efforts beginning with the development of a theory of change has moved our work forward significantly. The process of defining our strategies, outcomes and goals gave our team a framework for discussing the values and direction of our organization in the coming years. By modeling the accountability we seek from government and documenting the outcomes of our work, we are better positioned to advocate for a system that effectively serves children."*

Director of Policy and Research, North Carolina Action for Children<sup>32</sup>

Other evaluations have reflected similar comments from the organisations that Foundations have worked with. This has been reflected across the spectrum from small community projects to very large multi-goal campaigns. Though obviously there are some issues that small organisations

30 ORS (2008) *Orientation to theory of change* (Seattle, ORS)

31 Quoted in *Ten Considerations for Advocacy Evaluation Planning*, p.4

32 Ibid, p.5

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encounter in this and in any other developed planning system, relating to capacity.<sup>33</sup>

For most of the major funders involved, they now operate a very clear planning framework with grantees that follows the TOC modelling and evaluation process – both to assess the capacity of organisations to receive grants and how they work with them through the process. Often this will involve helping organisations to implement the model with developed training packages and technical support.

<sup>33</sup> One of the more comprehensive evaluations is ORS (2009) *Ten Considerations for Advocacy Evaluation Planning*, but there are many other evaluations on different projects including Anderson, A. (The Aspen Institute, 2004) *Theory of Change as a Tool for Strategic Planning: A Report on Early Experiences* (New York, The Aspen Institute)

# Implications

## Implications for Campaigners in the UK

While the political context in the US is clearly different to the UK, as well as the organisational setting and funding strategies, the underlying process of developing campaigns is very similar and therefore the learning from the US experience is very relevant to UK campaigners.

TOC as a developing community of practice provides the basis for a distinct and integrated approach spanning the development of strategy, delivery and evaluation of campaigns. In doing so it provides a common framework for campaigners, evaluators and funders, which has been seen to bring many advantages to the Foundations who have used it.

In respect of **Strategy**, the TOC Models' strengths are that it:

- Provides a common language and approach for planning and evaluation where everyone has the same framework as the starting point
- Builds the capacity of organisations to think more strategically about their goals
- Makes implicit assumptions explicit and therefore easier to test and modify in the light of experience
- Builds from the actual strategies and activities that campaigners undertake but gives a clear framework to integrate thinking about these
- Keeps focus on the final goal to be achieved and clarity about steps along the way
- Provides a framework for developing different scenarios about how change might happen and how to plan for contingencies.

In respect of **Delivery** its strengths are:

- It identifies the resources and milestones for a plan and allows organisations to test the relationship between these different activities at the beginning of the process
- Allows for adjustments in the framework

against the experience of testing these out during the campaign

- Makes clear and then forces organisations to test, the relationship between activities, outputs and outcomes

In respect of **Evaluation** its strengths are:

- It encourages a prospective not just retrospective evaluation approach. The framework allows you to specify the prerequisites to change and the steps to achieving them, so you can build in the milestones and conditions needed
- It focuses on the contribution towards the achievement of the stages of the process, rather than worrying about overall attribution between agencies
- By using the actual activities and objectives drawn from policy and campaigns analysis and focusing on the activities that campaigners actually do, it allows you to move away from 'evaluation speak' and onto the actual ground that campaigners occupy. This mirrors the process campaigns actually take, without imposing additional frameworks onto the process
- It makes explicit the underlying assumptions and relationships behind activities, allows these to be tested and related to final goals organisations are aiming to achieve

# Issues

## Issues to consider

There are a number of issues that need to be considered for organisations thinking of using this approach.

### Complexity

A Theory of Change is not necessarily suitable for every intervention and may be overly complex if you have a very simple issue or problem. Essentially, TOC is trying to look at and test your overall strategy and planning assumptions across a complete area of activity or plan. If you need an instrumental tool to ensure that one element of that plan is going to be delivered, a simple Logic Model might be more appropriate, rather than focusing on the whole process.

While the basis of the TOC model is simple, it can become a very complex exercise depending on the number of strands a campaign has. Smaller organisations or groups have found complexity an issue. The planning stages should be done as part of a team whenever possible as this allows a number of different insights and the opportunity to build a consensus for the approach as you go along. However this does require significant organisational commitment to the process.

### Clarity about aims

It can be difficult to identify the right overall aim and state this clearly enough. Good ideas are not always the same as a good model. However, the process of trying to identify a clear aim is important – if this is not easy to clarify, organisations should be wary of embarking upon a campaign.

Be prepared for the fact that the process may reveal that there is not agreement within teams or across the organisation about what the campaigning aims and strategies to achieve them are. However, while this needs managing, one of the strengths of the process is that it brings these

issues to the surface and allows teams to deal with them, either establishing a consensus for the plan or that an approach being considered is not going to work.

### Scale of the task

Identifying the steps and assumptions about what is going to lead to a particular change can be off-putting, as the analysis may only reveal that much is beyond the control or capacity of the organisation. This can be demoralising, especially for smaller organisations with fewer resources. However, this can also be helpful in focusing objectives back onto what can be achieved, and in allowing organisations to plan for what is in their control.

As the *Alliance for Justice Campaign* argue, “it can be difficult to show cause and effect between one specific organisation’s advocacy activities and policy change”. The TOC Model should be specific about what the organisation can do and be sensitive to communities and alliances as part of the strategy. The evaluation should look at how well the organisation is delivering the campaign and whether the Theory of Change postulated is being borne out in reality – rather than focusing on how much organisation x has contributed over organisation y to the delivery of the campaigns’ aims.

### TOC does not have all the answers?

TOC is not an all encompassing advocacy and campaign evaluation approach in terms of its application, because to analyse specific activities you would also need to use other methods.<sup>34</sup> However, it is extremely helpful in providing the overall framework in which you evaluate campaigns and points towards the key relationships between different facets of your activities, which might need evaluating. It enables you to know where to look in the process and what linkages should be tested.

Because the TOC model has predominantly been developed by Foundations to improve their grant making programmes, this has been both a major

<sup>34</sup> Coffman, J. *A user’s guide to Advocacy Planning and Evaluation* gives some very useful examples of types of evaluation methods

specific to campaigning that can be integrated with a TOC approach.

## Conclusion

source of strength and weakness. The strength is that the Foundations have all been intimately informed in developing the approach by existing programmes of work where they have been explicitly applying this approach. The drawback is that this learning has often been on very specific and local or at best State-wide programmes of activity, often in the children's and health sectors. These have not been routinely scaled up beyond a state-wide context, though this is being addressed in more recent work. The model has not therefore been tested to the same extent on nationwide campaigns that might be more typical in the UK.

Change can take many years and TOC is very good in accounting for the difference between short-term tactical activities and keeping a focus on long-term change. This does however require that both organisations and funders have a long-term commitment to investing in change and in their strategic capacity to bring it about.

### Conclusion

Many campaigners and advocates spend time reflecting on *what* they are doing and *how* they make a difference. By placing the focus on *how* change happens and then putting in place the strategies and resources to achieve this, TOC models work with the grain of campaigners' thinking and practice. This has helped those using the model to integrate it into their everyday work without it being an extraneous and onerous add-on.

The model meshes a strong focus on a logical sequence of activities with an understanding of the context that surrounds making social and political change happen. Using this model will not suddenly make campaign planning into a science, but it does appear to have been very successful as a systematic approach enabling organisations to focus on impact. For funders it has brought greater clarity to the process of funding decisions, assessing outcomes and the capacity of organisations to deliver what is being asked of them.

In a period where there will be even greater scrutiny on what makes organisations effective,

TOC could give campaigners a model that provides a common framework, based on a community of practice, which would help bring more rigour to campaigning. Furthermore, it would help provide a clearer way for organisations to demonstrate their effectiveness and their contribution. Campaigning still suffers in some areas by being seen as not having developed the tools and analytical insight of other social disciplines. TOC provides a powerful antidote to that view by encouraging a more rigorous approach to showing how change happens, and how campaigns have consciously brought this about. At the very least, this argues for the model to be taken very seriously as part of the developing practice of campaigners over the coming years.

# Summary

## Overall Summary of different approaches

Approach/ organisation	Categories	Focus	Plus	Minus
Kellogg	Logic Model	Projects focused	Basis for a Logic Model approach to planning. Extremely comprehensive.	Can appear daunting and technical, the early model was not very specific to campaigning.
Harvard Family Programme/Composite Theory of Change model/California Endowment, Aspen Institute	Embeds TOC within different campaign and advocacy strategies. Focuses on the process of different strategies and selecting the right approach to achieve the ultimate aim.  Strong focus on the policy cycle. There is a growing emphasis on organisational capacity as part of the model.	Campaigning – in particular in regard to what other actors might do to facilitate or hinder.	Detailed understanding of the different elements that go to make up a campaign strategy, and the logical route to take to achieve the ultimate impact, with a good account of the policy cycle. Substantial focus in evaluation on what other actors are doing in the political sphere. Strong focus on media and communications theory in earlier work. Strong focus on overall organisational capacity as part of the model.	Less focus on the community change or involvement necessary to achieve campaign ends in more recent work.
Annie E. Casey/ORS-TOC-mapping	TOC model with a focus on Impact Outcomes, Influence Outcomes, and Leverage Outcomes. Linked to this is a 6 point focus on Norms, Organisational Capacity, Alliances, Support Base, Policy Windows, and Impact, as the key strategies for change.	Campaign organisations and changes in the community.	Detailed understanding of different strategies for change and measurement of strategies and the campaigning process. Realistic about changes to society, so there is a real focus on creating more capacity at the community level as well as long-term conditions for influencing; this is seen as an outcome.	Only recently has work been done focused on the conditions necessary for larger scale policy development and change.
Alliance for Justice	Outcomes-focused and evaluation of progress towards goals.  Capacity building at the community level.	Campaigning but with a very strong focus on legal advocacy and political lobbying for change.	Detailed evaluation of policy; assessment of relevant short and long-term gains including how to assess these. Illustrated from working practices. Very embedded in Washington D.C., and State lobbying	No overall Theory of Change or ordering around what produces outcomes.  Not so easy to generalise outside of the US context
Theory of Change.org/ ActKnowledge	Standard but comprehensive TOC modelling with online resources.	Projects- focused	Thorough introduction to TOC for all kinds of projects.	Not campaign-specific.

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## **Annotated guide and bibliography: further reading on the Theory of Change Model**

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Coe, J., and Mayne, R. (NCVO, 2008) *Is your campaign making a difference?* (London, NCVO)

Lamb, B. (NCVO, 2011) *The good guide to campaigning and influencing* (London, NCVO)

**Alliance for Justice** <http://www.afj.org>

Alliance for Justice (2005) *Build Your Advocacy Grantmaking: Advocacy Evaluation Tool and Advocacy Capacity Assessment Tool* (Washington, D.C., Alliance for Justice)

**Annie E. Casey Foundation and Organizational Research Services (ORS)** <http://www.aecf.org>

Organizational Research Services (ORS) specialises in outcome-based evaluation and Outcome-based planning, serving non-profit, philanthropic and public organisations. The following were prepared for the Annie E. Casey Foundation:

Guinapp, A., Reisman, J., and Stachowiak, S. (ORS, 2009) *Getting Started: A self-directed guide to outcome map development* (Seattle, ORS). A summation of much of the earlier work of the ORS group for the Annie E. Casey Foundation, but in the form of a practical guide with helpful examples for each stage of the process.

Reisman, Gienapp, and Stachowiak, (ORS, 2007) *A Guide to Measuring Advocacy and Policy* (Seattle, ORS)

ORS (2009) *Ten Considerations for Advocacy Evaluation Planning: Lessons learned from Kids Count grantee experiences*. (Seattle, ORS). Pulls together some of the key learning of in applying the TOC approach.

ORS (2004) *Theory of Change: A Practical Tool For Action, Results and Learning* (Seattle, ORS)

### **Other ORS publications**

ORS (2008) *Orientation to theory of change* (Seattle, ORS). This worksheet outlines a TOC model and

examines a 'Layer Cake' approach to looking at how change happens:

[http://www.organizationalresearch.com/publications/orientation\\_to\\_theory\\_of\\_change.pdf](http://www.organizationalresearch.com/publications/orientation_to_theory_of_change.pdf)

Stachowiak, S. (ORS, 2007) *Pathways to Change. 6 Theories about How Change Happens* (Seattle, ORS). Anna Stachowiak outlines some of the key theories underlining strategies to bring about change; the paper is very useful in ordering Theory of Change activities.

**Aspen Institute** <http://www.aspeninstitute.org>

A key project is Aspen Institute's Global Interdependence Initiative. Resources include the 'Advocacy progress planner':

<http://www.planning.continuousprogress.org>

This is a comprehensive online tool to build a composite logic model. Definitions and tips are offered throughout the process, and the end product is a customised TOC composite plan.

See also Anderson, A. (The Aspen Institute, 2004) *Theory of Change as a Tool for Strategic Planning: A Report on Early Experiences* (New York, The Aspen Institute). Roundtable on Community Change. Analysis of the application of the TOC approach, in a case study.

**Aspen Institute with ActKnowledge**

<http://www.actknowledge.org/>

ActKnowledge and the Aspen Institute (2003) *Guided Project Example: Superwoman* (New York, ActKnowledge and the Aspen Institute)

**The Atlantic Philanthropies**

<http://www.atlanticphilanthropies.org>

The Atlantic Philanthropies (2008) 'Investing in Change', *Atlantic Reports*, May

In 2008, The Atlantic Philanthropies issued a report, *Investing in Change: Why Supporting Advocacy Makes Sense for Foundations*. It is available for download on their website, where there are links to other advocacy resources and a list of Foundations that support advocacy.

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## The California Endowment

<http://www.calendow.org>

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The California Endowment has an advocacy toolkit on its website. In January 2009, the Foundation hosted *Advocacy Evaluation Advances*, a national convening on advocacy and policy evaluation attended by funders, advocates and evaluators. Materials from the convening are available on the Foundation's website:

<http://www.calendow.org/Article.aspx?id=3774>.

## Centre for Evaluation Innovation

<http://www.evaluationinnovation.org>

The Centre was established to develop areas of evaluation in which traditional approaches have significant shortcomings. This includes advocacy and policy change efforts, systems change and communications. The main focus of the Centre is on advocacy evaluation.

### Publications available on the website include:

Coffman, J. (Centre for Evaluation, 2009) *Overview of Current Advocacy Evaluation Practice* (Washington D.C., Centre for Evaluation Innovation)

Foster, C., and Louie, J (Centre for Evaluation Innovation; Blueprint research + design for philanthropy, 2010) *Grassroots Action and Learning for Social Change: Evaluating Community Organizing* (Washington D.C., Centre for Evaluation Innovation)

Campbell, M., & Coffman, J., (The James Irvine Foundation, Centre for Evaluation Innovation, 2009) 'Tools to Support Public Policy Grantmaking', *The Foundation Review*, Vol.1, No.3

Masters, B. (Centre for Evaluation, 2009) *Evaluating Policy Change and Advocacy: The Funder's Perspective* (Washington D.C., Centre for Evaluation Innovation)

## GrantCraft <http://www.grantcraft.org>

This project of the Ford Foundation published Proscio, T. (Grantcraft, 2005) *Advocacy Funding: The Philanthropy of Changing Minds* (New York, Grantcraft), which has a strong emphasis on adopting a Theory of Change. In 2009, Grantcraft released McGarvey, C., and Mackinnon, A. (Grantcraft & Centre for Community Change, 2009) *Funding Community Organizing: Social Change through Civic Participation* (New York, Grantcraft), produced in partnership with the Linchpin Campaign, a project of the Centre for Community Change.

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<http://www.hfrp.org>

Coffman, J. (HFRP, 2002) *Public Communication Campaign Evaluation: An Environmental Scan of Challenges, Criticisms, Practice, and Opportunities*. Prepared for the Communications Consortium Media Centre. (Harvard, Harvard Family Research Project). An early example of the TOC model applied to communication campaigns.

HFRP (2007), 'Advocacy and Policy Change', *The Evaluation Exchange*, Vol. XIII, # 1, Spring. This issue is devoted to the topic of advocacy and policy evaluation. The Centre has also been involved in producing a number of publications on advocacy and planning using the Composite Logic Model, the best summation is in:

Coffman, J. (Harvard Family Research Project, 2009) *A users guide to Advocacy Planning and Evaluation* (Harvard, Harvard Family Research Project). This publication brings together thinking on the 'Composite Logic Model' for policy change and evaluation methods suitable for this approach.

## Harvard Business School <http://www.hbs.edu>

Wenger, E., McDermott, R., and Snyder, W. M. (Harvard Business School, 2002) *Cultivating*

# Bibliography

*Communities Practice: A guide to managing knowledge* (Cambridge, MA: Harvard University)

## **Innovation Network (Innonet)**

<http://www.innonet.org>

Centre for Evaluation Innovation and Innovation Network, Inc. (2010) *Advocacy Evaluation Update*, #9, May

Innonet maintains an online advocacy evaluation resource centre and offers a free e-newsletter co-produced with the Centre for Evaluation Innovation: *Advocacy Evaluation Update*. Innonet have also produced a comprehensive bibliography of sources on evaluation and campaign and advocacy planning, including guides for funders and advocates.

See also Innovation Network, Inc. *Pathfinder: A Practical Guide to Advocacy Evaluation*. Commissioned by The Atlantic Philanthropies.

## **New Philanthropy Capital (NPC)**

<http://www.philanthropycapital.org>

NPC was one of the first organisations in the UK to adopt the TOC approach. They have produced Lofgren, G., Lumley, T., O'Boyle, A. (New Philanthropy Capital, 2008) *Critical Masses: Social campaigning, a guide for donors and funders* (London, New Philanthropy Capital), which features the TOC model in regard to steps in advocacy work and the planning process.

## **Robert Wood Johnson Foundation**

<http://www.rwjf.org>

Robert Wood Johnson Foundation (2008) *Evaluating Communication Campaigns: 2007 Research and Evaluation Conference*, September 27–28, 2007 (Princeton, Robert Wood Johnson Foundation). The paper includes the use of TOC models in evaluation.

## **TCC Group** <http://www.tccgrp.com>

A consultancy that has championed use of the TOC model.

Raynor, J., et al. (TCC Group, 2009) *What Makes an Effective Advocacy Organization? A Framework for Determining Advocacy Capacity* (San Francisco, TCC).

Prepared for California Endowment. This looks at organisational capacity through the lens of TCC's 'Capacity Logic Model', which is an extension of the logic model.

This paper is intended to guide nonprofits seeking to engage in advocacy, Foundations that want to expand their advocacy grantmaking, and evaluators who wish to assess advocacy.

[http://www.tccgrp.com/pdfs/EffectiveAdvocacy\\_final.pdf](http://www.tccgrp.com/pdfs/EffectiveAdvocacy_final.pdf)

## **The James Irvine Foundation**

<http://www.irvine.org>

Coffman, J. (The James Irvine Foundation, 2008). *Foundations and Public Policy Grantmaking* (San Francisco, The James Irvine Foundation). How Foundations could use Theory of Change to deliver better outcomes around grant making.

Also, as cited above, for a more detailed look at similar issues: Campbell, M., & Coffman, J., 'Tools to Support Public Policy Grantmaking'

## **W.K. Kellogg Foundation (WKKF)**

<http://www.wkkf.org>

W.K. Kellogg Foundation (2004) *Logic Model Development Guide* (Michigan, W.K. Kellogg Foundation). This publication remains the standard exposition of how Foundations could use a Logic Model to evaluate social programme development, with clear examples.

The WKKF produced the first fully comprehensive guide to the Logic Model which was very important in provoking others to follow suit.

## **Other references:**

McKinsey & Co., cited in Interoperability Clearinghouse (ICH) *Interoperability Clearinghouse Glossary of Terms*:

<http://www.ichnet.org/glossary.htm>

## **Overseas Development Institute (ODI):**

<http://www.odi.org.uk>

ODI has produced a wealth of research into planning and policy, though not specifically to evaluating campaigning or to the Theory of Change model.

# Appendix 1

## Appendix 1: Evaluation chart

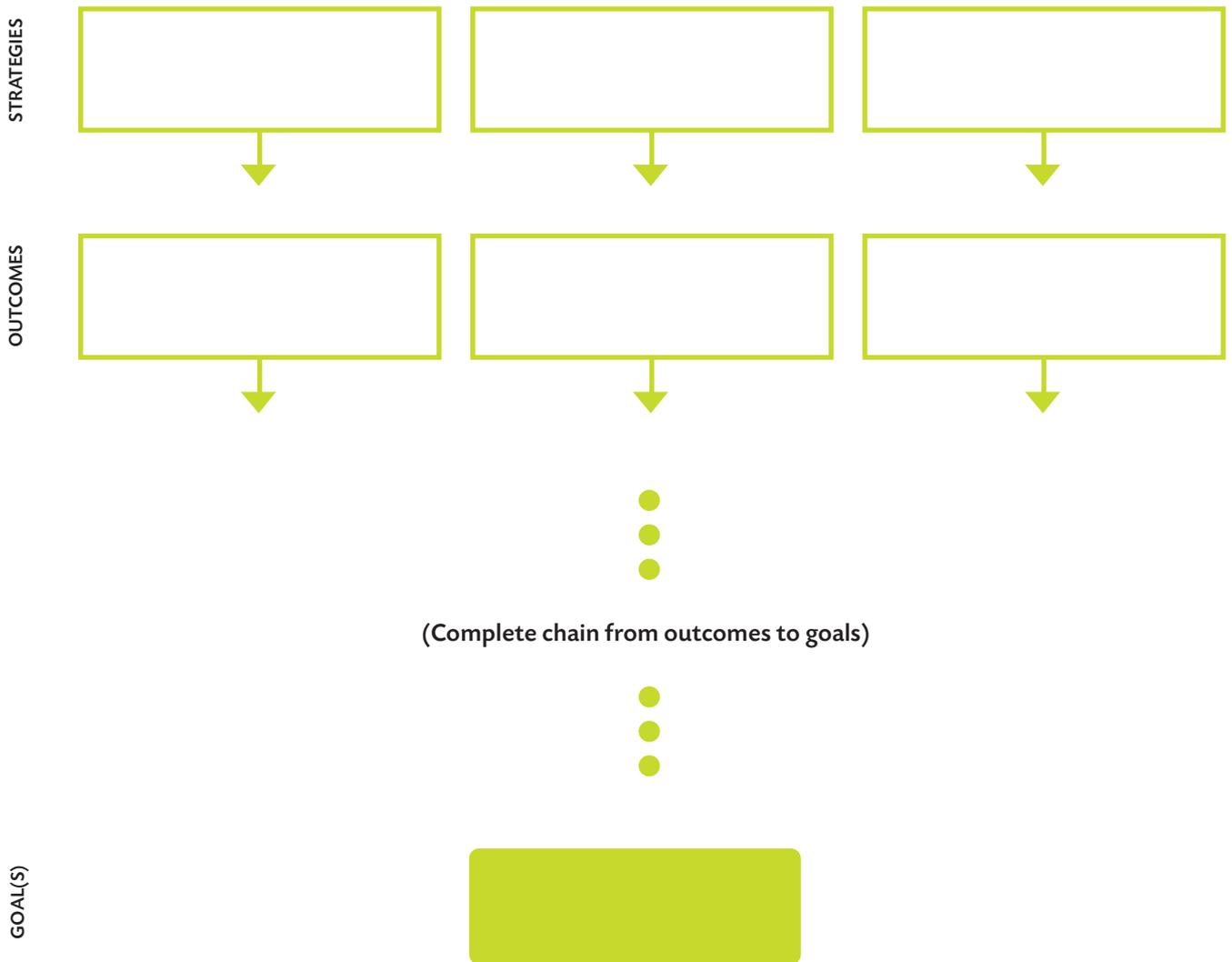
Outcome measures for policy and campaigning work	
Outcome category	Types of analysis and some prospective measures
Social attitudes – awareness-changing and behaviour change	
Outcomes	<ul style="list-style-type: none"> <li>• Changes in awareness</li> <li>• Increased agreement of the definition of a problem (e.g., common language)</li> <li>• Changes in beliefs</li> <li>• Changes in attitudes</li> <li>• Changes in values</li> <li>• Changes in the salience of an issue</li> <li>• Increased alignment of a campaign goal with core societal values</li> <li>• Changes in public behaviour</li> </ul>
Examples of strategy	<ul style="list-style-type: none"> <li>• Media campaign - amount of earned media, website development and hits</li> <li>• Message development (e.g., defining the problem, framing, naming solutions and success at getting these adopted)</li> <li>• Development of trusted messengers and champions</li> <li>• Publicity campaigns - relationships established with media outlets</li> <li>• Advertising and media developed</li> </ul>
Analysis – who or what has to be changed for the effects we are trying to evaluate?	<ul style="list-style-type: none"> <li>• Population groups</li> <li>• Individuals</li> <li>• Associations of Individuals</li> </ul>
Building organisational capacity and competence	
Outcomes	<ul style="list-style-type: none"> <li>• Improved organisational capacity around campaigning and policy work (level of skills, resources, ability to sustain activity, credibility of organisation with other partners and decision makers.)</li> <li>• Increased ability of coalitions working toward policy change to identify policy change processes</li> </ul>
Examples of strategy	<ul style="list-style-type: none"> <li>• Leadership development</li> <li>• Organisational capacity building</li> <li>• Communication skills building, strategic planning, quality and robustness of planning and delivery</li> </ul>
Analysis	<ul style="list-style-type: none"> <li>• Campaigning departments of organisations</li> <li>• Organisations</li> <li>• Campaign coalitions</li> <li>• Campaign leaders</li> </ul>
Strengthened Alliances	
Outcomes	<ul style="list-style-type: none"> <li>• Increased number of partners supporting issue</li> <li>• Increased alignment across coalitions or between coalitions and other targets</li> <li>• Increased alignment with more powerful players</li> </ul>
Examples of strategies	<ul style="list-style-type: none"> <li>• Increased investment in coalition and alliance building</li> <li>• Supporting the development of other organisations' capacity</li> <li>• Growth in public campaigning</li> </ul>

# Appendix 1

Social attitudes – awareness-changing and behaviour change	Types of analysis and some prospective measures.
Analysis	<ul style="list-style-type: none"> <li>Organised campaign groups</li> <li>Other organisations</li> <li>Individual views of coalitions</li> </ul>
Strengthened Support through organising and campaigning	
Outcomes	<ul style="list-style-type: none"> <li>Increased public support - measured by attitude surveys, etc</li> <li>Changes in public will</li> <li>Increased visibility of message</li> <li>Increased awareness of messages in key opinion-former groups</li> </ul>
Examples of strategies	<ul style="list-style-type: none"> <li>Community campaigning and organising</li> <li>Media campaigns</li> <li>Development of alliances</li> <li>Increased policy debate</li> <li>National and local public campaigning</li> </ul>
Who are you measuring	<ul style="list-style-type: none"> <li>Individuals</li> <li>Groups</li> <li>Organisations</li> <li>Institutions</li> </ul>
Improved policies, legislation, or change to current practice	
Outcomes	<ul style="list-style-type: none"> <li>Policy development</li> <li>Policy placement on the agenda</li> <li>Policy adoption</li> <li>Policy implementation</li> <li>Policy enforcement</li> <li>Policy blocking of unacceptable changes</li> </ul>
Strategies	<ul style="list-style-type: none"> <li>Research development</li> <li>Policy proposals</li> <li>Service modelling, pilots, demonstration programmes</li> <li>Public will campaigns - changes to public support for new policy positions or legislation</li> </ul>
Unit of analysis	<ul style="list-style-type: none"> <li>Policy makers, civil servants, corporate officers</li> <li>Legislators, Ministers, MPs, think tanks</li> <li>Administrators, national and local government, quangos</li> </ul>
Changes in impact	
Outcomes	<ul style="list-style-type: none"> <li>Improved social and physical environment, e.g., environmental improvements, health improvements, increased personal capacity and empowerment, better public control over decision making, more involvement in the political life of a community, more entitlements that are being taken up and having a positive effect on people's lives</li> </ul>
Strategies	<ul style="list-style-type: none"> <li>Combination of effects from other activities leads to change in life experiences or material changes in the environment</li> </ul>
Unit of Analysis	<ul style="list-style-type: none"> <li>Population or individual depending on the issue.</li> <li>Environmental change</li> </ul>

# Appendix 2

## Appendix 2: Pro forma Theory of Change mapping tools<sup>37</sup>



<sup>37</sup> Pro Forma adapted from Coffman, (ORS, 2009) Getting Started, p.29

# Acknowledgements

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### **About the author**

Brian Lamb, OBE has held Director level posts in campaigning and advocacy in both Scope and RNID. He now runs a consultancy on campaigning, policy and communications for VCO and public sector organisations. He has worked extensively on Government and ministerial working groups and was chair of a national coalition on, and led a national independent Inquiry into, special educational needs. Brian has written widely about campaigning, evaluation and policy issues and is chair of the Campaigning Effectiveness, NCVO advisory group. He is a founding member of the Every Disabled Child Matters campaign and lectures on campaigning and voluntary sector effectiveness.

### **About Campaigning Effectiveness, NCVO**

Campaigning Effectiveness, NCVO supports and empowers people and organisations to change their world through campaigning and influencing policy. We bring together experience and expertise and drive excellence in campaigning and policy work across civil society by providing support, knowledge, tools and resources. For further information about our work go to [www.ncvo-vol.org.uk/campaigningeffectiveness](http://www.ncvo-vol.org.uk/campaigningeffectiveness)

## Campaigning for change: Learning from the United States

This guide provides campaigners with an answer to the age-old question, *'is your campaign making a difference?'* By examining a novel and systematic approach to campaign evaluation developed in the US, through a step-by-step process with practical examples, the guide draws out key implications for UK campaigners and illustrates how these implications can be put into practice.

The approach, known as Theory of Change, draws on key insights from social and political theory, challenging campaigners to question how change occurs, the goals they seek to achieve and the impact they wish to make, as well as the relationship between campaign activities. The guide enables campaigners to better demonstrate impact and develop much more effective campaigns.

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