



University of
Massachusetts
Amherst

Adaptive Management Annotated Bibliography

Item Type	article;article
Authors	Hartwell, Ash;Boisvert, Kayla;Flemming, Jenn;Novrita, Julia
Download date	2025-03-22 13:10:27
Link to Item	https://hdl.handle.net/20.500.14394/7744



USAID
FROM THE AMERICAN PEOPLE



Dedicated To Increasing Equitable Access To
Education In Areas Affected By Crisis And Conflict

April 2016

Adaptive Management Annotated Bibliography



Table of Contents

Introduction	2
What is a Theory of Change? A Review of the Reviews	4
The Complexity of Development in Contexts of Crisis and Conflict	6
Challenges and the Way Forward.....	8
Annotated Bibliography.....	10

We need good theories of social change for building the thinking of all involved in processes of development, as individuals, as communities, organizations, social movements and donors... Good concepts help us to grasp what is really happening beneath the surface. In the confusing detail of enormously complex social processes, we need help to see what really matters. (Reeler, 2007)

Introduction

Context

There are an estimated 65 million children and youth whose basic education has been prevented or interrupted by the effects of crisis and violent conflict. Those in greatest need are also the hardest to reach, in countries where governments cannot or will not provide basic education. This reflects, as noted by Susan Nicolai of the Overseas Development Institute, a fragmented response from national and international actors; weak education system capacity of governments, humanitarian, and development organizations; and a significant financing gap, estimated to be at least \$4.8 billion per year.¹

The technical knowledge of the elements needed to provide equitable basic education is well established: well-crafted curricula, qualified teachers supported by professional development, adequate infrastructure, appropriate texts and instructional materials, and a regular process for assessing learning achievement.² However, in conflict/crisis-affected environments, there is a host of barriers and challenges to providing these elements, including insecurity, weak institutions, inequalities, historical traumas, and fault lines. These contexts are deeply complex, dynamic, often times unpredictable, and difficult to manage.

If it is to make significant progress towards its goal of reaching 15 million out-of-school children and youth with equitable and quality basic education in crisis and conflict-affected environments by the year 2015 (USAID Education Strategy Goal 3), USAID must leverage its resources to strengthen public and private host-country capacity to achieve these results.³ USAID's programs, while they often provide pilot and demonstration projects that point the way to system change, cannot sustain the delivery of education services and reform – this must ultimately be accomplished by host-country institutions.⁴ However, it is precisely in countries affected by conflict

¹ Nicolai, S., Hine, S. and Wales, J. (2015) *Education in emergencies and protracted crisis. Toward a strengthened response*. ODI report. July 2015. London: Overseas Development Institute.

² See, for example, Leu, E. and Price-Rom, *Quality of Education and Teacher Learning: A Review of the Literature*. EQUIP 1: USAID.

³ As of 2014 there were 49 Goal 3 projects, reaching 2.1 million children and youth. (Ben Sylla, "Telling the story of USAID's Goal Three programs at the global level," Education Summit presentation, 2015).

⁴ Note ADS 220: "USAID's development policy ultimately must support long-term, sustained progress by partnering with governments to use and strengthen their internal systems to achieve results."

that institutions have the weakest capacity to deliver and support basic education. Thus, a theory of change (TOC) for USAID's Goal 3 must address both the technical elements needed to reach out-of-school children and youth with effective basic education, and the institutional means of sustainably delivering those elements.

The recent increase in the use of the term "theory of change" by development agencies and organizations arises from the need for more well-grounded and creative strategies to achieve development progress in challenging and complex environments, and from a demand for more rigorous evidence of "what works" to support sustainable and systemic change. The USAID Education in Crisis and Conflict Network (ECCN) aims to increase the application of theory of change approaches, applications, and tools so as to accelerate progress towards Goal 3 results.

A theory of change approach calls for greater rigor in examining contexts, systems, organizations, strategies, and project designs in crisis and conflicted environments, seeking to understand both the drivers of conflict and ways that improved access to education can mitigate the effects of conflict on children and youth. A theory of change is intended to be helpful and practical – neither an academic exercise nor an additional bureaucratic burden, but a tool to improve the design, management, and assessment of Goal 3 programs (USAID, 2013).

Overview: The TOC Annotated Bibliography

To support and guide Goal 3 design, implementation, and evaluation, USAID-ECCN has compiled an Annotated Bibliography on Theories of Change in Development. This resource will be provided on-line in a searchable, interactive format. The development of this resource will be an ongoing process, as new research, theory, and guidelines are continually emerging. We invite you, as members of the USAID-ECCN community of practice, to contribute and update this on-line repository, starting with this introductory piece.

The USAID-ECCN Annotated Bibliography on Theories of Change in Development identifies existing reviews, concept papers, research, cases, and guidance, drawing from published sources, institutional and private think tanks, donor agencies, development organizations, and non-governmental organizations (NGOs). The more than 150 studies and cases reviewed, for the most part, address development issues from a broad multi-sectoral perspective, albeit with many examples from education projects. There is very little theory of change in development literature that focuses specifically on the education sector. Rather, analysis generally examines how development aid affects political, economic, and social conditions, including the provision and support of education.

We have selected 36 of these documents to highlight the major findings and good practices that apply the concept and practice of theory of change in development assistance, particularly selecting those cases that address contexts affected by crisis and conflict. The documents selected for the first phase of the Annotated Bibliography were chosen based on: (i) our judgment on the quality of theory and evidence, (ii) degree to which they are cited in the literature, and (iii) their specific contribution to the concepts and application of theory of change relevant to education in crisis- and conflict-affected settings.

What is a Theory of Change? A Review of the Reviews

Theory

- The term “theory of change” has multiple meanings, definitions, and usages (Stein and Valters, 2012). Two comprehensive reviews of the use of the term by Cynthia James for Comic Relief (2011) and Isobel Vogel for DfID (2012) are particularly useful. Common elements of an effective theory of change used by development agencies include (from Vogel, 2012):
- Analysis of the context for the initiative, including social, political, and environmental conditions, the current state of the problem the project is seeking to influence, and other actors able to influence change
- Description of long-term change that the initiative seeks to support and for whose ultimate benefit
- A process/sequence of change anticipated to lead to the desired long-term outcome
- Assumptions about how these changes might happen, as a check on whether the activities and outputs are appropriate for influencing change in the desired direction in this context
- A diagram and narrative summary that captures the outcomes of the discussion
- A methodology for tracking progress and evaluating results.

James (2011) in her review of how the theory of change is applied in the field, describes it as “an ongoing process of reflection to explore change and how it happens, and what that means for the part organizations play in a particular context, sector, and/or group of people.” CARE (2012) states that “a well-articulated theory of change represents a testable hypothesis regarding how planned activities will contribute to achieving the designed results for the programme.”

Burde et al.⁵ recently carried out a “rigorous review of evidence that shows which interventions promote education access, quality of learning, and wellbeing among children living in crisis-affected, as well as in immediately post-crisis settings.” Although that review included 184 studies, it found only eight of these in conflict-affected contexts that met the criteria for rigor. Nonetheless, Burde’s study provides the most comprehensive and current evidence on those inputs that contribute to effective education in crisis and conflict-affected contexts. The development of such evidence, when it is available, can empirically validate the theoretical linkages of specific interventions to outputs and outcomes within specific contexts, thereby providing the building blocks to an overall results framework and theory of change.

⁵ Burde, D. et al (2015). *What Works to Promote Children’s Educational Access, Quality of Learning, and Wellbeing in Crisis-Affected Contexts*. INEE.

Practice

While this description provides a simple and clear statement of the general concept of a theory of change, it hides the depth and complexity of how development progress actually happens. The institutional and organizational changes needed to increase equitable access to education in crisis and conflicted situations are embedded in contexts that are politically challenging, complex, and uncertain.

Addressing political and institutional power

Stein and Valters (2012) note that a theory of change must address issues of political and institutional power, given that change processes in the social world will inherently engage with and run up against structures of power and interest. This attention to the importance of power and the role of entrenched interests and institutions is analyzed in depth by Guijt (2007 and 2008), in Faustino and Booth's (2014) *Development Entrepreneurship: How Donors and Leaders Can Foster Institutional Change*, and Wild et al. (2015) in *Adapting development: Improving services to the poor*. Wild et al. base their analysis on three years of applied research into the political economy of basic public goods and service delivery (including basic education) and what works in practice to alleviate constraints on access to, and the quality of, basic public services.

The conclusion of this analysis is that what works to increase access to quality services [in education] is domestically driven, cumulative, untidy, and unpredictable. These changes depend on political and institutional forces that outsiders cannot easily influence. The lesson is that both domestic reformers and international agencies should spend less time on grand designs and detailed plans, and more time on tracking down specific problems and finding practical and politically smart ways to solve them (Wild et al., p.12).

Multiple, hierarchical, specific theories of change

Another important feature of a theory of change is that any given project actually involves multiple, hierarchical, and specific theories of change (Barnes et al., 2003; Vogel, 2012; CARE, 2012; Talpin et al., 2013 (DfID); and Rogers, 2014 (UNICEF)). Thus, a Results Framework links a Strategic Objective to Intermediate Results, and these are linked to sub-Intermediate Results. For a logical framework, this set of causal linkages is taken further to describe the links between inputs, activities, and outputs, each of which represents a specific "development hypothesis" – for example, "provide these teachers with this training and they will improve their classroom instruction in these...specific ways." That output will be linked to classroom practices that "will result in increased attendance and these improved learning outcomes." CARE (2012) and ActKnowledge (Talpin, 2013) provide useful guidance on the analysis and presentation of these linkages.

Emergent theory of change

The recognition that development planning, management, and evaluation needs, in Craig Valter's words, is "a radical approach to learning in development" (Valters, 2015) runs through much of the recent literature on theory of change. This approach, termed an "emergent theory of change," (Reeler, 2007; Kania and Kramer, 2013) is reflected in USAID's Collaboration, Learning, and

Adapting (CLA) initiative (Young, 2013) and draws on the application of complexity theory, adaptive management, feedback loops, and developmental evaluation. The Annotated Bibliography provides resources, which include concepts, applications, research, cases, guidance, and tools in each of these areas. Key references are identified below.

The Complexity of Development in Contexts of Crisis and Conflict

There is a growing body of opinion, experience, and evidence that under complex conditions, predetermined solutions can neither be reliably ascertained nor implemented. The analysis of complexity, and how that should shape the process of project design, management, and evaluation, is a central theme throughout the documents in this bibliography. For concepts, cases, tools, and research see: Frej and Ramalingan, 2011; Jones, 2011; Patton, 2011; Maclay, 2015; Ramalingan, 2014; USAID, 2015; Wild et al., 2015; and World Bank, 2015.

Adaptive Management

Adaptive management is a term that arose from work in the private sector, where corporations and businesses seek to continually improve their products and services based on feedback from clients and customers. Peter Senge's book *The Fifth Discipline: The Art and Practice of Learning Organizations* (1998) provided a highly influential theory and framework for applying adaptive management. A useful contrast between an adaptive and traditional management framework emphasizes that institutional change/reform is an emergent and contextual process, requiring ongoing interaction and analysis of change, illustrated here.

USAID's Learning Lab website has recently noted: "The Agency is increasingly working in countries that are unstable and in transition... we cannot always reliably predict how events or circumstances will evolve and impact our programs. As a result, USAID's traditional management approach, which assumes that we can foresee, with some certainty, how a country or sector will change over time, is inadequate. We are giving much thought to how adaptive management can support the Agency's work to achieve more effective development results. It will require strategic plans and project designs as well as procurement processes and budgets that facilitate adaptability." ([Full text here](#)).

What is Adaptive Management?

Traditional Management

- Standardization and control
- Change efforts driven top-down
- Relies on management planning and execution of repeatable tasks



Adaptive Management

- Interaction and change
- Change is emergent and contextual
- Relies on organisation having appropriate capacities and processes to generate novelty in day-to-day performance



Key references to concepts, methods, and tools for adaptive management in the Annotated Bibliography include Andrews et al., 2012; Fullan, 1998; Jones, 2011; Maclay, 2015; Root et al., 2015; de Weijer, 2012; Wild et al., 2015; the World Bank, 2015; and Young (USAID), 2013.

Feedback Loops

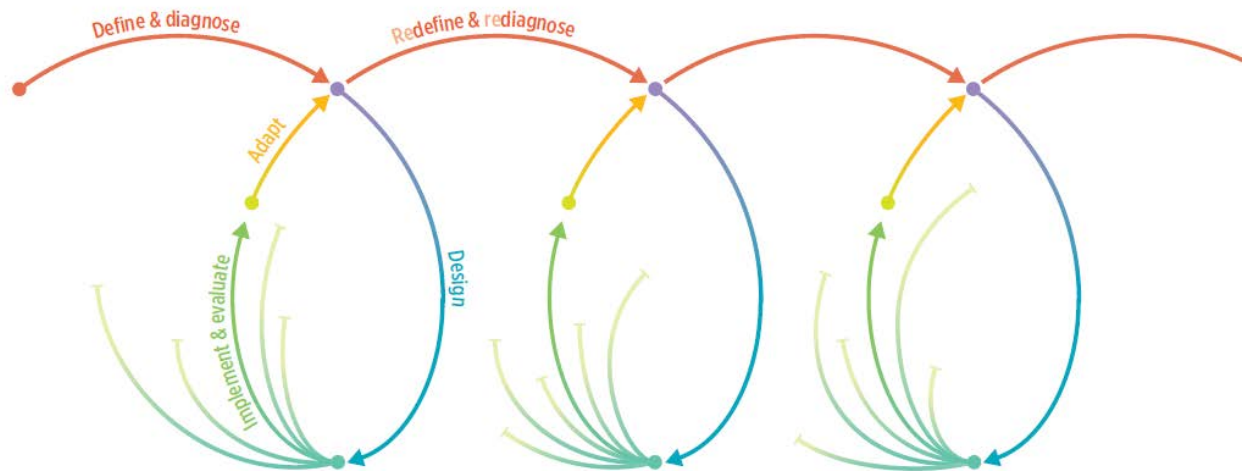
Feedback loops are an essential part of adaptive management. Indeed, they are a fundamental characteristic of all living beings. All individual, organizational, and institutional change depends on feedback loops. In traditional project design and implementation feedback simply informs management whether or not pre-determined inputs, processes, and outputs are delivered on time, with effectiveness and efficiency. While detailed planned change serves well for simple, well-understood change processes (e.g. building a classroom, printing a book), it is not appropriate where complex institutional and organizational reforms are necessary to transform the effectiveness of services. As Andrew Natsios (2010) famously noted: "those development programs that are most precisely and easily measured are the least transformational, and those programs that are most transformational are the least measurable."

The Annotated Bibliography provides a rich set of sources addressing the theory and application of feedback loops in development projects. These include Barder, 2011; Faustino and Booth, 2014; Fullan, 1998; Kania and Kramer, 2013; Patton, 2016; Pritchett et al., 2013; Whittle, 2013; and the World Bank, 2015.

A useful graphic, which nicely presents feedback loops within an overall program of adaptive management, is provided in Chapter 11 of the World Development Report (World Bank, 2015).

Understanding behavior and identifying effective interventions are complex and iterative processes

"In an approach that incorporates the psychological and social aspects of decision making, the intervention cycle looks different. The resources devoted to definition and diagnosis, as well as to design, are greater. The implementation period tests several interventions, each based on different assumptions about choice and behavior. One of the interventions is adapted and goes into a new round of definition, diagnosis, design, implementation, and testing. The process of refinement continues after the intervention is scaled up." [p.143]



Source: WDR 2015 team.

Developmental Evaluation

In their short paper *on Embracing Emergence: How Collective Impact Addresses Complexity* (2013), Kania and Kramer advocate a shift from a detailed project design that is then monitored and evaluated against established milestones and targets, to a collective, ongoing cycle of monitoring and evaluative reflection on progress toward agreed outcomes, thereby uncovering and incorporating solutions and resources that emerge from the program activity. This concept is also argued by Patton in his influential 2011 book on Developmental Evaluation. He followed this book with *Exemplars of Developmental Evaluation* (2016), which provides multiple cases containing principles, practices, and tools for project monitoring and evaluation using the developmental evaluation approach.

Challenges and the Way Forward

The design, management, and evaluation of a program guided by the principles and tools of an emergent theory of change will face the pushback of longstanding development agency practice and guidance. As Vogel (2012) notes, applying an [emergent] theory of change demands institutional willingness to be realistic and flexible in programming responses, particularly in implementation and performance management. De Weijer (2012) provides a cautionary quote from Machiavelli:

"And it should be considered that nothing is more difficult to handle, more doubtful of success, nor more dangerous to manage, than to put oneself at the head of introducing new orders. For the introducer has all those that benefit from the old order as enemies, and has lukewarm defenders in all those who might benefit from the new orders. This lukewarmness arises partly from fear of adversaries who have the laws on their side and partly from the incredulity of men, who do not truly believe in new things unless they come to have a firm experience of them."

However, to close on a more optimistic note, Stacey Young of the USAID Bureau for Policy, Planning and Learning (PPL) writes: "The Collaborative, Learning, and Adapting approach could change the way USAID does development, and thereby become more effective, produce greater impacts and be more sustainable." (Young, 2013).

With these core principles in mind, the ECCN team has begun the process of accumulating theories of change that can help guide USAID Goal 3 interventions. Our initial list of theories of change is presented below. Again, we welcome further contributions to this list from the community of practice, and plan to add additional resources as they become available.

Annotated Bibliography

Author	Andrews, Matt, Pritchett, Lant, Woolcock, Michael.
Title	Escaping Capability Traps through Problem-Driven Iterative Adaptation (PDIA)
Year	2012
Full Citation	Andrews, M., Pritchett, L., Woolcock, M. (June 2012) <i>Escaping Capability Traps through Problem-Driven Iterative Adaptation (PDIA)</i> . Working Paper 299. Center for Global Development
Document Type	Systematic review / literature review (content studies that incorporate multiple sources)
Keywords	Adaptive Management, Feedback Loops, Problem-Driven Iterative Adaptation
- Regions	N/A
- Countries	N/A
Quality/Rigor	N/A
Summary (Annotation)	The authors argue in this CGD Working Paper that many development interventions are not sustainable because of “isomorphic mimicry,” where the state or program adopts “best practices” from other places and disregard the specific characteristics of local context. The authors analyze different types of reform promoted by multilateral organizations, such as World Bank, World Trade Organization (WTO), and International Monetary Fund (IMF), that restrain local experimentation. To escape what is described as a “capability trap” – where the demands of an intervention overwhelm local capacity – the paper introduces Problem-Driven Iterative Adaptation (PDIA), guided by four core principles: “reform activities should: (i) aim to solve particular problems in particular local contexts via (ii) the creation of an ‘authorizing environment’ for decision-making that encourages experimentation and ‘positive deviance,’ which gives rise to (iii) active, ongoing, and experiential (and experimental) learning and the iterative feedback of lessons into new solutions, doing so by (iv) engaging broad sets of agents to ensure that reforms are viable, legitimate and relevant – that is, are politically supportable and practically implementable.” To apply a PDIA, the authors present a variety of tools, such as Ishikawa diagrams, to examine the problem carefully in order to identify the right entry point for initiating a program solution.
Web link	http://www.cgdev.org/sites/default/files/1426292_file_Andrews_Pritchett_Woolcock_traps_FL_NAL_0.pdf

Author	Barder, Owen
Title	What can development policy learn from evolution?
Year	2011
Full Citation	Barder, O. (2011). <i>What can development policy learn from evolution?</i> from the Blog, Owen Abroad at http://www.owen.org/blog/4018
Document Type	Theoretical Piece
Keywords	Complex Environment, Development as Evolution, Wicked Problems, Feedback Loops, Accountability
- Regions	Sub-Saharan Africa
- Countries	Ethiopia, Uganda
Quality/Rigor	N/A
Summary (Annotation)	<p>In this YouTube/Blog presentation, Barder argues that development problems are highly complex, and are not solved with detailed project designs by “development experts.” He describes development contexts as “wicked problems” (particularly characteristic of crisis and conflict-affected environments). Barder defines wicked problems as:</p> <ul style="list-style-type: none"> • Difficult to define clearly • Many interdependencies, multi-causal • Unforeseen consequences • Often not stable • No clear solution • Socially complex • Not the responsibility of any single organization • Involving changing behavior <p>Barder makes a compelling case (with a brilliant short video) that development problems in these contexts should be solved by evolution not design. Evolution requires variation and selection. This means that development processes should include multiple, plausible variations, and use a process of feedback and evidence to select those variations that are most effective. The presentation notes that development agencies distort this process by requiring upward accountability for performance, rather than incentivizing a focus on direct input and feedback from beneficiaries and front-line workers. The task of those working on development is not to attempt better designs to solve problems (such as increasing equitable access to safe education) but to make and use better feedback loops.</p>
Web link	http://www.owen.org/blog/4018

Author	Barder, Owen
Title	Evidence and Scale, Notes for Remarks to the CIFF Board Dinner
Year	2014
Full Citation	Barder, O. (2014) <i>Evidence and Scale, Notes for Remarks to the CIFF Board Dinner</i> . London: Center for Global Development
Document Type	Theoretical Piece
Keywords	Complex Environment, Emergent Theory of Change, TOC Research
- Regions	Asia, Sub-Saharan Africa
- Countries	Indonesia, Cambodia, Kenya
Quality/Rigor	N/A
Summary (Annotation)	<p>This presentation examines the challenges of taking promising interventions to scale, with insights of particular relevance to crisis and conflict-affected environments. Barder notes that developed countries have institutions, whether governmental or private sector, that are able to deliver medicines, fresh water, food or textbooks to people who need them. If developing countries could do these things, they wouldn't be developing countries. And so, in development, our challenge is not just to know which inputs (e.g. curriculum, textbooks, teachers) are the most cost-effective, but also to know how to reach people with those inputs. Barder argues that the success of scaling up depends on the capacity of the implementers, political environment, supply networks, public awareness, and attitudes, and therefore, any intervention must be adjusted to the local context. To support his argument, he refers to the research conducted by Bold et al (2013) on scaling up an education intervention in Kenya; Adler, Sage, and Woolcock (2009) on development process in Indonesia and Cambodia; Don Honig (2014) on the correlation between the organizational autonomy and project success; and Imran Rasul and Dan Rogger's research in 2013 on the management practices and public services delivery in Northern Nigeria. Barder summarizes the findings from this work: interventions should fit the local environment, gain legitimacy, allow time for the learning process, and finally, the proposed intervention and its environment should co-evolve together.</p>
Web links	<p>http://cf.owen.org/wp-content/uploads/2014-05-16-CIFF-Board-Dinner-Evidence-and-scale-as-delivered2.pdf</p> <p>http://papers.ssrn.com/sol3/papers.cfm?abstract_id=2241240</p> <p>http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1421808</p> <p>http://scholar.harvard.edu/files/dhonig/files/honig_navigation_by_judgment_october_2014.pdf</p> <p>http://www.ucl.ac.uk/~uctpdro/files/papers/Rasul%20et_2013_Management%20in%20Nigeria.pdf</p>

Author	Barnes, Marion, Matka, Elizabeth, and Sullivan, Helen
Title	Evidence, Understanding and Complexity: Evaluation in Non-Linear Systems
Year	2003
Full Citation	Barnes, M., Matka, E., and Sullivan, H. (2003). Evidence, Understanding and Complexity: Evaluation in Non-Linear Systems. <i>Evaluation</i> , 9, 3, 265-284
Document Type	Systematic review / literature reviews (content studies that incorporate multiple sources)
Keywords	Collaboration; Complexity; System Reform; New Institutional Theory
Regions	Western Europe
Countries	England
Rigor	N/A
Overview (Summary of content of resource)	<p>This article provides a critical analysis of the implementation of the Theory of Change Approach (Connell and Kubisch, 1998, The Aspen Institute). The authors analyze the challenges associated with the evaluation of complex policy initiatives, focusing on one element of the national evaluation of Health Action Zones (HAZ) in England: Building Capacity for Collaboration (grants to 26 communities to improve health delivery services). The authors argue that the application of randomized control trials could not assess all the changes that the project tried to address, which were at individual, community, service organization, and system levels. They analyze the multiple dimensions of complexity that characterized HAZ, which include the dynamics of both the internal organizational and external political environment. These dimensions are (1) levels (structural complexity); (2) time (measurable impact); (3) scope (broad objective); (4) players (wide range players involved); (5) strategies and models; (6) rules and conditions; and (7) the problem context. Each of these dimensions is discussed comprehensively, in regards to the implication of the TOC approach by contrasting its theory and practice. On their role as evaluators, they analyze it "through the lens of power relationships" so that they can give attention to "phenomena such as value orientations, cultural habits and institutional arrangements which may be decisive for the success of key ideas in various programme theories." They conclude that "the complexity of such programs cannot be captured within one overarching theory. In the process of developing TOC, they suggest drawing from different theories, including social constructionism, complexity theory, and new institutional theory.</p>
Resources	http://evi.sagepub.com/content/9/3/265.full.pdf+html

Author	Care International UK
Title	Peace Building with Impact: Defining Theory of Change
Year	2012
Full Citation	Care International UK (2012) <i>Peace Building with Impact: Defining Theory of Change</i>
Document Type	Thematic studies (non-evaluation research e.g., scoping studies, assessments, academic research)
Keywords	Emergent Theory of Change, Peacebuilding, Evidence
- Regions	Asia, Sub-Saharan Africa
- Countries	Nepal, Uganda, DRC
Rigor	
Overview (Summary of content of resource)	<p>This paper summarizes the findings of research that reviewed 38 theories of change selected from 19 peacebuilding projects in three conflict-affected peacebuilding projects in Uganda, Nepal, and the Democratic Republic of the Congo (DRC). Findings were that use of a TOC approach: (1) Clarifies project logic and tackles inadequate assumptions; (2) Identifies the appropriate actors to work with; (3) Identifies the gaps between local and national level changes; (4) Highlights ineffective activities; (5) Emphasizes the need for conflict analysis; (6) Enhances conflict sensitivity; and (7) Fosters collaboration between agencies and avoids duplication. Nevertheless, the case studies demonstrate the limitation of the theories of change approach because (1) Many theories of change are non-explicit, vague or inappropriate; (2) Current project planning tools don't help people articulate their theories of change; (3) Conflict analysis is essential but rarely done; (4) Gathering evidence is difficult; and (5) Critical review of theories of change needs to be undertaken in conjunction with other forms of evaluation.</p>
View Associated Resource Tool	http://www.care.org/sites/default/files/documents/PSJ-2012-CARE-Defining-Theories-of-Change-document.pdf

Author	Connell, James P., and Kubisch, Adena M.
Title	Applying a Theory of Change Approach to the Evaluation of Comprehensive Community Initiatives: Progress, Prospects and Problems
Year	1998
Full Citation	Connell, J. P. and A. C. Kubisch (1998) "Applying a Theory of Change Approach to the Evaluation of Comprehensive Community Initiatives: Progress, Prospects and Problems," in K. Fulbright-Anderson, A. C. Kubisch and J. P. Connell (eds) <i>New Approaches to Community Initiatives</i> . Volume 2 – Theory, Measurement and Analysis. Washington, DC: Aspen Institute
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Theory of Change, Evaluation, Community Initiative, Collaboration
Regions	North America
Countries	General
Rigor	N/A
Overview (Summary of content of resource)	This influential paper from the Aspen Institute proposed the "Theory of Change Approach" for the Comprehensive Community Initiative (CCI). Three stages in carrying out this approach are identified and elaborated, namely, (1) Surfacing and articulating a theory of change; (2) Measuring a CCI's activities and intended outcomes; and (3) Analyzing and interpreting the results of an evaluation, including their implications for adjusting the initiative's theory of change and its allocation of resources. What makes this approach different from conventional evaluation process is that "CCI theories have multiple strands (economic, political, and social), which operate at many levels (community, institutional, personal network, family, and individual), are co-constructed in a collaborative process by diverse stakeholders, and evolve over the course of the initiative." The TOC approach is defined as "a systematic and cumulative study of the links between activities, outcomes, and contexts of the initiative." Three attributes of an effective TOC approach are that it is plausible, doable, and testable. The paper provides case examples on how to develop designs that meet these criteria. In conclusion, some of the strengths of the TOC approach are: (1) It generates useful learning over the life span of the initiative and can spawn cross-initiative learning; (2) It promotes "collaboration and engagement at the community level focused on products and outcomes"; and (3) It facilitates the "diffusion of responsibility." One identified weakness is that stakeholders "need to invest time and political capital in developing plausible, doable, and testable theories of change."
View Associated Resource Tool	http://www.dmeforpeace.org/sites/default/files/080713%20Applying%2BTheory%2Bof%2BChange%2BApproach.pdf

Author	Datta, Saugatto, and Sendhil, Mullanathan
Title	Behavioral Design: A New Approach to Development Policy
Year	2014
Full Citation	Datta, S, and Sendhil, M. (2014). Behavioral Design: A New Approach to Development Policy. <i>Review of Income and Wealth</i> 60 (1): 7–35
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Behavioral Economics, Program Design
- Regions	Asia, Sub-Saharan Africa, Latin America / Caribbean, North America
- Countries	Multiple Countries
Rigor	N/A
Overview (Summary of content of resource)	This paper is a key source for the 2015 World Development Report (<i>Mind, Society and Behavior</i>). It presents existing and potential applications of behavioral economics to program design, which the authors argue is the key to an emerging science of design for development. The behavioral economics approach is built on recent research on how individuals and organizations make decisions within specific cultural settings. This changes how we “diagnose the problems, design the solutions to problems, and define the scope of the problems.” For the diagnosis, the authors propose a systematic process, which they call “behavioral mapping.” It begins with a problem, and identifies hypothesized behavioral bottlenecks, and seven principles to guide program design, accompanied by many cases / research that illustrate the process. These principles are: (1) Facilitate Self-Control by Employing Commitment Devices; (2) Reduce the Need for Self-Control; (3) Remove Snags to Choosing; (4) Use Micro-Incentives; (5) Reduce Inattention: Reminders and Implementation Intentions; (6) Maximize the Impact of Messaging: Framing Effects, Social Comparisons, Norms; and (7) Frame Messages to Match Mental Models. To conclude, the authors recommend applying this approach to complex development problems whose solution is constrained by behavioral “bottlenecks” (for example, high levels of teacher absences).
Resources	http://www.ideas42.org/wp-content/uploads/2015/05/Behavioral-Design-A-New-Approach-to-Development-Policy-ROIW.pdf http://www.worldbank.org/content/dam/Worldbank/Publications/WDR/WDR%202015/WDR-2015-Full-Report.pdf

Author	Eyben, Rosalin
Title	Relationships Matter: the best kept secret of international aid?
Year	2011
Full Citation	Eyben, R. (2011) Relationships Matter: the best kept secret of international aid? in <i>Investing in the immaterial</i> , An annual digest for practitioners of development. Community Development Resource Association (CDRA)
Document Type	Theoretical piece
Keywords	Emergent Theory of Change, Complexity, Organizational Learning, Relationships, Networks
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	Eyben notes the burgeoning literature which critiques the assumption that donors and aid practitioners are in control of change and that change is predictable (represented by logframes and results frameworks). She argues that social change is complex and unpredictable since it depends more on relationships than on "interventions." Instead of treating host country organizations as instruments to deliver a planned change, the focus of donors' efforts should be to support "that organization's own efforts in what may be a rapidly changing policy environment." In complex political and institutional environments, "self-organizing networks" become the key element for social change. Eyben criticizes the mainstream "philosophical plumbing of international aid" that foregrounds "quantifiable things" as results. She contrasts this with a focus on relationships, by which donors and recipients are changed through their interactions in a process of learning. Eyben is concerned that the absence of "trust based relationships" between donor and the recipient organizations creates "the dissonance between what they do and what they report that they do."
Resources	http://www.capacity.org/capacity/export/sites/capacity/documents/topic-readings/fa_cdra_digest.pdf

Author	Faustino, Jaime. and Booth, David
Title	Development Entrepreneurship: How Donors and Leaders Can Foster Institutional Change
Year	2014
Full Citation	Faustino, J. and Booth, D. (2014). Development Entrepreneurship: How Donors and Leaders Can Foster Institutional Change. <i>Working politically in practice series – Case Studies no 2</i> . The Asia Foundation and Overseas Development Institute (ODI)
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Development Entrepreneurs, Institutional Change, Organizational Learning, Problem-Driven Iterative and Adaptive (PDIA) Management, Feedback Loops
Regions	Asia
Countries	Bangladesh, Mongolia, Cambodia, The Philippines
Rigor	N/A
Overview (Summary of content of resource)	<p>In this provocative paper from ODI and the Asia Foundation, Faustino and Booth argue that the evidence is clear: (i) institutions shape development outcomes, and (ii) institutional reform involves power and politics. It is not just technical interventions (such as a new accelerated learning program (ALP), or a training program for teachers on a conflict-sensitive curriculum) that assures sustained access, safety and learning. Rather, we should learn from the private sector, where sustained social reforms are nurtured by starting small, and learning with smart feedback loops. There is a rich and growing literature about the importance of managing development in conflict-affected environments using adaptive programming and feedback loops. Faustino and Booth, drawing from extensive research in the field and providing an excellent set of references and tools, summarize what smart managers do in these contexts:</p> <ul style="list-style-type: none"> • Use the logic that allows goals to emerge from the varied imaginations and diverse aspirations of local committed leaders and the people you work with. • Use monitoring for iterative learning: choosing “measures that matter.” These measures tell you – and your stakeholders and partners, how well you are moving towards meaningful outcomes. • Learn by doing: start small, evolve from “educated guesses” about what will work well based on feedback from measures that matter; use “failed attempts” as opportunities to learn and improve. • Evolve your theory of change based on this feedback. Drop what isn’t working; seek creative ways forward: “Successful interventions develop a series of time and context specific theories of change.”
View Associated Resource Tool	http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9384.pdf

Author	Frej, William, and Ramalingan, Ben
Title	Foreign Policy and Complex Adaptive Systems: Exploring New Paradigms for Analysis and Action
Year	2011
Full Citation	Frej, W., and Ramalingan, B. (2011) Foreign Policy and Complex Adaptive Systems: Exploring New Paradigms for Analysis and Action. <i>SFI Working Paper</i> . 2011-06-022. New Mexico: Santa Fe Institute
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Emergent Theory of Change, Complex Environment, Adaptive Management
- Regions	North Africa, Middle East, Asia, Sub-Saharan Africa
- Countries	Afghanistan
Rigor	N/A
Overview (Summary of content of resource)	This Santa Fe Institute (a center for research on complex adaptive systems) paper is by a former USAID Mission Director in Afghanistan and a Senior Research Associate of the Overseas Development Institute (ODI). They argue that conventional and reductionist ways of analyzing and dealing with social and economic problem are not applicable to address the complexity, uncertainty, and ambiguity that characterize the emergent behavior of development change (e.g., development programs in Afghanistan). Foreign policy experts and analysts agree that (1) the world is characterized by complex systems that are interdependent and interconnected by multiple feedback processes, and that system-wide behaviors emerge unpredictably from the accumulated interactions among the actors; (2) in complex systems, change processes are evolutionary and dynamic, are highly sensitive to initial conditions, and can shift dramatically with non-linear tipping points; and (3) complex human systems are populated by "adaptive agents" that act in their own interests with their own view of the situation, who network with, react to, and influence other actors and the wider system. Enhancing the adaptive capabilities and robustness of these networks is central to strengthening resilience, robustness, and innovation. They propose that development actors "1) work to understand the systemic nature of the problems faced in foreign policy and how these problems evolve over time; 2) involve those people who matter the most in the decisions that matter the most; 3) avoid 'silver bullet' strategies and instead attempt multiple parallel experiments; 4) establish real-time strategic analysis and learning as a key form of operational feedback; 5) be open to the fundamental adaptation of efforts, along with changes in local contexts and conditions; 6) reframe the overall foreign policy efforts as dynamic networks of multiple systems and actors."
Resource	http://www.santafe.edu/media/workingpapers/11-06-022.pdf

Author	Fullan, Michael
Title	Change Forces: the Sequel
Year	1999
Full Citation	Fullan, M. (1999). <i>Change Forces: the Sequel</i> . Philadelphia, PA: Falmer Press
Document Type	Theoretical, summary of findings from a large body of research
Keywords	Education Reform, Theory of Change, Evolution, Complex Environment, Collaboration, System Transformation, Tacit and Explicit Information, Internal and External Feedback Loops
Regions	North America, Asia
Countries	Multiple countries
Rigor	N/A
Overview (Summary of content of resource)	<p>This highly influential book is based on more than 20 years of research and engagement in education system reform in North America. It is the task of theorists and practitioners to accumulate wisdom and experience about how the change process works, recognizing that reform strategies fail when their theories of change are simplistic or absent. Innovations are difficult to disseminate (go to scale) since the <i>products</i> of effective reform efforts hide many of the subtleties of the reform in practice. "There is really no such thing as easy product transfer in social reform... innovation is not a pill or a widget or a silver bullet." Successful reforms fail to be replicated because the wrong thing (the intervention) is being replicated, instead of the conditions which spawned its success.</p> <p>Fullan argues that it is a theoretical and empirical impossibility to generate a definite theory of social change: the reality of complexity tells us that each situation involves uniqueness in history and social relationships, which cause unpredictable differences to emerge.</p> <p>A secret to the success of reforms and enterprises is that they support intricate, embedded interactions, within and outside the organization, which "converts tacit knowledge to explicit knowledge on an ongoing basis." Whereas formal planning models are based on external explicit knowledge from research – not bad in itself, but woefully inadequate – effective, innovative organizations regularly and systematically tap into the values, meanings, day-to-day skills, knowledge, and experience of all members of the organization, and make these available for organizational problem-solving.</p>
Resources	The book provides many multiple examples and sources, drawn from over 20 years of research on education system reform.

Author	Guijt, Irene
Title	Assessing and Learning for Social Change
Year	2007
Full Citation	Guijt, I. (2007). <i>Assessing and Learning for Social Change: A Discussion Paper</i> . Institute of Development Studies
Document Type	Thematic studies (non-evaluation research e.g. scoping studies, assessments, academic research)
Keywords	Organizational Learning, Social Change, Analysis of Power, Assessment / Evaluation
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>This paper represents the analysis and experiences of a small group of experienced development professionals through a series of workshops, case studies and webinars (Assessing Social Change Group) to answer the question, "What processes for assessing and learning about social change can help improve the strategies and results of organizations working to transform inequalities in favor of the poor?" In assessing social change, issues to raise include: (1) relationships and power dynamics among stakeholders, particularly donor – recipient relationships; (2) challenges in scaling up and scaling down, especially to ensure citizens' participation and engagement; and (3) issues of accountability to donors and to beneficiaries. Social change is defined as the "collective process of conscious efforts to reduce poverty and oppression by changing underlying unequal power relationships... that seek a systemic, structural impact." The paper argues the mainstream monitoring and evaluation (M&E) approaches that follow a linear and predetermined logic are not applicable for assessing and learning about this type of social change. Rather, it is necessary to adapt a combination of available methods, frameworks, and concepts, using a well-articulated theory of change as the guidance. Some basic questions to consider in the process of articulating social change are, "Who should benefit from the change? What power forces impede progress? What is the timeframe and ingredients of that process that are within and outside one's control? How do the individuals and groups involved think that particular types of change occur? Who owns/drives/initiates/ carriers the process – and what legitimacy does it have?" The paper provides multiple examples of how some NGOs are addressing power issues and working to reduce forms of inequality. Core competencies for individuals and organizations that work for social change are also defined and described. There is a companion volume of annotated readings and research, noted below.</p>
Resources	http://www.ids.ac.uk/files/dmfile/ASClowresfinalversion.pdf . Also see "Critical Readings on Assessing and Learning for Social Change: A Review." Sussex: Institute for Development Studies. Downloaded from: www.ids.ac.uk/ids/Part/proj/socialchange.html

Author	James, Cathy
Title	Theory of Change Review: A report commissioned by Comic Relief
Year	2011
Full Citation	James, C. (2011). "Theory of Change Review: A report commissioned by Comic Relief."
Document Type	Thematic studies (non-evaluation research e.g. scoping studies, assessments, academic research)
Keywords	Theory of Change, Guidance, Program Design, Organizational Learning, Evaluation
Regions	Asia, Sub-Saharan Africa, Western Europe, North America, South America
Countries	Multiple countries
Rigor	N/A
Overview (Summary of content of resource)	<p>This is an influential and oft-cited review of literature and analysis of the concept and application of the Theory of Change in development work. After examining the use of the term by various agencies and NGOs (with interviews and document reviews), James defines theory of change as "An ongoing process of reflection to explore change and how it happens – and what that means for the part organizations play in a particular context, sector and / or group of people." A well-articulated TOC "can provide a very powerful learning lens, which helps organizations ask themselves and others simple but important questions about what they are doing and why. It enables them to develop a clear framework for monitoring and evaluation; have more common understanding, clarity, and effectiveness in their approach; and strengthen their partnerships, organizational development, and communications."</p> <p>The benefits of using TOC approaches, include: (1) Developing a common understanding of the work and surfacing any differences; (2) Strengthening the clarity, effectiveness, and focus of programs; (3) Providing a framework for monitoring, evaluation, and learning throughout a program cycle; (4) Improving partnership by identifying strategic partners and supporting open conversations; (5) Supporting organizational development in line with core focus and priorities; (6) Using theory of change to communicate work clearly to others and as a reporting framework; and (7) Empowering people to become more active and involved in programs.</p>
Resources	http://www.dochas.ie/Shared/Files/4/Theory_of_Change_Tool_Manual.pdf . The document provides a valuable bibliography drawn from the literature review.

Author	Kania, John., and Kramer, Mark.
Title	<i>Embracing Emergence: How Collective Impact Addresses Complexity</i>
Year	2013
Author	Kania, John., and Kramer, Mark.
Title Citation	<i>Embracing Emergence: How Collective Impact Addresses Complexity</i> . Social Innovation Review. Leland Stanford Jr. University
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Key Words	Collective Impact, Emergent Theory of Change, Social Change, Feedback Loop, Complex Environment face of complex problems. <i>Working Paper 330</i> . London: ODI
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Complex Environments, Adaptive Management, Result-based Management
- Regions	Asia
- Countries	USA, Canada
- Overview	Kania and Kramer of the Stanford Social Innovation Lab propose a design model they call "Collective Impact" as a "new and more effective process for social change."
Summary of content of Overview (resource)	Emphasizing "the rapidly learned that complex, non-linear feedback loops" they describe five key elements of effective development: (1) All stakeholders develop a large body of research on a complex adaptive social systems. Jones distinguishes between "simple," "complicated" and "complex" development problems. He argues that the analysis of mutually reinforcing but differentiated activities coordinated through a plan of action; (2) Agreement on shared measurement of meaningful results; (3) Continuous communication building trust, reinforcing mutual objectives, and creating results. At a local level, practitioners may have a "strong understanding of the local common motivation; and (5) Backbone support: management, coordination, and facilitation for these activities." and it therefore makes sense (and this is supported by research) to delegate decision-making power which increases "ownership over solutions." Providing examples from the failure of Green Revolution policy in Bali, Indonesia, Jones warns of the danger of traditional top-down approaches in decision-making that disregard the local norms and values. They advocate a shifting of mindsets of both practitioners and donors to "embrace the paradox of combining intentionality (that comes with the development of a common agenda) and emergence (that unfolds through collective seeing, learning, and doing)." The paper provides case examples of community initiatives in the United States and Canada. The paper provides guidance on: (1) The level where facilitating decentralized action and self-organization should take place, either "national," "regional," or "local"; (2) The timing of when to build design with solutions which are then monitored and evaluated, to a process of collective adaptive and emergent responses "before," "during," or "after"; and (3) Different mechanisms that will determine which tools and approaches to use in order to link to address the problem, and arriving at common indicators to which the collective set of knowledge and actions for policy implementation. The paper closes by describing the challenging implications of using the "complexity" approach for reform in governance and over solutions and resources that are agreed upon and taken up. These are often not known in advance, but are emergent, arising from collective vigilance, learning, and action. The evidence is that this approach, although very challenging, works (the paper cites program examples and supporting research).
Resources	http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/0485.pdf
View Associated Resource Tool	http://ssir.org/articles/entry/embracing_emergence_how_collective_impact_addresses_complexity . Also see MQ Patton's <i>Developmental Evaluation</i> (2011, 2016).

Author	Maclay, Christopher
Title	Management not models: adaptability, responsiveness, and a few lessons from football
Year	2015
Full Citation	Maclay, C. (2015) <i>Management not models: adaptability, responsiveness, and a few lessons from football</i> . <i>Development in Practice</i> , 25:1, 42 – 57
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Organizational Learning, Emergent Theory of Change, Feedback Loops, Adaptive Management, Change Management System
- Regions	General
- Countries	Bangladesh
Rigor	N/A
Overview (Summary of content of resource)	Despite the large volume of critiques of logframes and other blueprint approaches to development over the last 30 years, most aid infrastructure continues to concentrate on the design and subsequent implementation of “closed” models. This article challenges the inflexibility of blueprint implementation, which is inadequate given the complex nature of social change. It proposes an alternative management and learning approach, which enables implementation to be dynamic, adaptive, and responsive to problems and opportunities. Using the metaphor of a football team, Maclay emphasizes the need for “systems which allow us to adapt them so programs go forward.” Key elements of success are: (i) ensure that the whole team has the same goal; (ii) adapt strategies and plays that respond to the evolving situation; (iii) learn from experience on the ground that channels back into planning and action; (iv) empower the whole team to learn, analyze, and respond. Emphasizing the role of donors in providing the terms of reference and support for this approach, the paper presents a case study of a donor-led program in Bangladesh that used this “emergent theory of change” approach in successfully alleviating poverty and empowering local NGOs with a powerful feedback tool, the Change Monitoring System.
Resource	http://www.tandfonline.com/doi/abs/10.1080/09614524.2015.983460?journalCode=cdip20

Author	Natsios. Anthony
Title	The Clash of the Counter-bureaucracy and Development
Year	2010
Full Citation	Natsios. A. (2010). <i>The Clash of the Counter-bureaucracy and Development</i> . Center for Global Development
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Counter-bureaucracy, Development Management, Organizational Culture, Leadership, Compliance, Transformation
Regions	General
Countries	USA
Rigor	N/A
Overview (Summary of content of resource)	Former USAID Administrator Natsios' critique of development agencies, specifically USAID, notes that "those development programs that are most precisely and easily measured are the least transformational, and those programs that are most transformational are the least measurable." In response to the increasing pressures for accountability and compliance (the "counter-bureacracy"), agencies have developed a "compulsive measurement disorder." Development programs that aim to reform host-country institutions so they deliver improved social services (e.g., equitable and quality basic education) cannot be achieved easily or quickly. This requires a long timeframe to achieve results given that institutions are weak or nonexistent. The weaker or more fragile a state, the more complex the challenge and the longer the time lag will be in showing program results. Natsios proposes a radical restructuring of compliance practices to allow for more decentralized and innovative approaches to program design and practice.
Resource	http://www.cgdev.org/sites/default/files/1424271_file_Natsios_Counterbureaucracy.pdf

Author	Patton, Michael Quinn
Title	Developmental evaluation: Applying Complexity Concepts to Enhance Innovation and Use
Year	2011
Full Citation	Patton, M.Q. (2011). <i>Developmental evaluation: Applying Complexity Concepts to Enhance Innovation and Use</i> . New York: Guilford Press
Document Type	Book – Theory and application
Keywords	Organizational Learning, Social Change, Complex Environment, Evaluation
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	This book from a leading expert of development evaluation provides the monitoring and evaluation foundation for an Emergent Theory of Change. Developmental evaluation (DE) offers a comprehensive approach to providing feedback loops in supporting social innovations, working in partnership with program decision makers. In this book, Patton shows how to conduct evaluations within a DE framework. He draws on theory and research on complex dynamic systems, uncertainty, nonlinearity, and emergence. He illustrates how DE can be used for a range of purposes: assessment of the complexity of social context and goals; program design and initiation; ongoing program development; adapting effective principles of practice to local contexts; generating innovations and taking them to scale; and facilitating rapid response in crisis situations. The book presents extensive case examples, research, stories, and cartoons in a clear writing style, "closer look" sidebars, and summary tables. Essential guidance is provided for making evaluations useful, practical, and credible in support of emergent social change.
Resources	

Author	Patton, Michael Quinn
Title	Developmental Evaluation Exemplars: Principles in Practice.
Year	2016
Full Citation	Patton, M.Q. (2016). <i>Developmental Evaluation Exemplars: Principles in Practice</i> . New York: Guilford Press
Document Type	Thematic studies (non-evaluation research e.g. scoping studies, assessments, academic research)
Keywords	Organizational Learning, Social Change, Evaluation, Complex Environment, Feedback
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>This book is a follow-up to MQ Patton's influential <i>Developmental Evaluation</i>. It presents a diverse set of illustrative developmental evaluation (DE) case studies. Twelve insightful exemplars illustrate how DE is used to contribute to and evaluate innovative initiatives in complex, dynamic environments, including in a range of fields and international settings. Written by leading practitioners, the cases offer a window into what it takes to do DE, what roles must be fulfilled, and what results can be expected. Each case opens with an incisive introduction by the editors. The book also addresses frequently asked questions about DE, synthesizes key themes and lessons learned from the exemplars, and identifies eight essential principles of DE. The eight essential principles of developmental evaluations are: developmental purpose, evaluation rigor, utilization focus, innovation niche, complexity perspective, systems thinking, co-creation, and timely feedback. Each of the eight principles is discussed in some detail, and linked to the 12 case studies.</p> <p>Developmental evaluation is distinguished from other types of monitoring and evaluation in its use for adaptive management, in settings where programs change due to the changing of context (complex dynamic environment), and in support of innovation and creativity in addressing emergent problems and opportunities.</p>
Resources	See Patton (2011) <i>Developmental Evaluation</i> ; also Kamia and Kramer (2013) on <i>Collective Impact</i> .

Author	Pritchett, Lance., Samji, Salimah, Hammer, Jeffrey
Title	It's All about MeE: Using Structured Experiential Learning ("e") to Crawl the Design Space
Year	2013
Full Citation	Pritchett, L., Samji, S., Hammer, J. (2013) <i>It's All about MeE: Using Structured Experiential Learning ("e") to Crawl the Design Space</i> . Working Paper 322. Center for Global Development
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Organizational Learning, Feedback Loops, Experiential Learning, Accountability, Impact Evaluation
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	The authors introduce a model of experiential learning ("e") as part of monitoring and evaluation (M&E) design – thus, the change from M&E to MeE. They argue that the structured experiential learning in MeE "provides a space for innovation and organizational capacity building as well as accountability and evidence base for funding agencies." Elaborating the past generations of M&E approaches and their weaknesses, Pritchett et al describe a seven-step process to apply their MeE approach. The steps are: "(1) Reverse engineer from goals back to instruments; (2) Design a project; (3) Admit you do not know what will work; (4) Identify key dimensions of the design space; (5) Select new alternative project variants; (6) Strategically crawl the design space; and (7) Implement the approved sequential crawl and learn." (p.40). The authors do not encourage applying this structured experiential learning for all projects, but for pilot projects and for situations with complex social relationship (as in environments affected by crisis and conflict). MeE can only be implemented effectively by organizations that have an explicit learning strategy that supports innovation. The learning strategy here is the mix of monitoring to support "organizational accountability and provide real time information for active management." "Experiential learning" serves as a dynamic feedback loop for decisions to adjust the programs accordingly, while rigorous impact evaluations provide strong estimates of the causal impact of projects on outcomes.
Resources	http://www.cgdev.org/sites/default/files/its-all-about-mee_1.pdf . Also see Chapter 11 of the 2015 World Development Report.

Author	Ramalingam, Ben, Laric, Miguel, and Primrose, John
Title	From Best Practice to Best Fit: Understanding and Navigating Wicked Problems in International Development.
Year	2014
Full Citation	Ramalingam, B., Laric, M., and Primrose, J. (2014). <i>From Best Practice to Best Fit: Understanding and Navigating Wicked Problems in International Development</i> . ODI
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Complex Environments, System Dynamics, Network Analysis, Program Management,
- Regions	Sub-Saharan Africa
- Countries	Nigeria, Democratic Republic of Congo (DRC)
Rigor	N/A
Overview (Summary of content of resource)	<p>The authors maintain that international development interventions deal with “wicked,” complex problems but for the most part the tools available are designed for static, simple, and linear problems. Institutional reforms to deliver equitable and quality basic education in fragile, conflict-affected states fit their definition of wicked problems as “difficult to define and explain; every problem is a symptom of several other problems; it is hard to definitively prove that solutions are wrong or right; there is no clear end point for interventions; and effective interventions from other countries and contexts are of limited use.”</p> <p>The paper describes the findings from a series of four small-scale pilots in Nigeria and DRC using selected complex systems tools, each of which demonstrated tangible findings and resulted in significant programmatic decisions. The paper concludes that there are considerable opportunities for using these methods and tools for enhancing decision-making for development programs in the face of “wicked problems.”</p>
Resources	http://oxfamblogs.org/fp2p/wp-content/uploads/2014/05/BestPracticetoBestFitWorkingPaper_DraftforComments_May2014.pdf . The bibliography provides sources with details of the pilot projects using complex systems tools.

Author	Reeler, Doug
Title	A Theory of Social Change and Implications for Practice, Planning, Monitoring and Evaluation
Year	2007
Full Citation	Reeler, D. (2007) <i>A Theory of Social Change and Implications for Practice, Planning, Monitoring and Evaluation</i> . Cape Town: Community Development Resource Association.
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Emergent Theory of Change, Complex Environment, Social Change
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>We need good theories of social change for building the thinking of all involved in processes of development, as individuals, as communities, organizations, social movements, and donors. The conventional division in the world today between policy-makers and practitioners is deeply dysfunctional, leaving the former ungrounded and the latter unreflective. Good, clearly defined concepts help us to grasp what is really happening beneath the surface. In the confusing detail of enormously complex social processes, we need help to see what really matters. Reeler notes that for the most part, agency project design, management, and evaluation are based on an implicit assumption that the problem they seek to solve can be simplified into a logframe or results framework, asserting simple cause and effect linkages.</p> <p>Reeler takes a wide view systems approach, and presents three broad types of social change: Emergent Change, Transformative Change, and Projectable Change. For emergent change, he quotes an African proverb: "We make our path by walking it." Transformative change occurs in response to crisis, and involves a process of "unlearning," as dysfunctional institutions and systems are reformed or replaced. The third type of social change is characterized as a problem-based and creative approach, planning for an envisioned future. Analysis of the specific political and social context through the lens provided by these three broad types of social change should inform program strategies, design, and practice.</p>
Resources	http://www.managingforimpact.org/sites/default/files/resource/a_theory_of_social_change_and_implications.pdf

Author	Rogers, Patricia
Title	Theory of Change, Methodological Briefs: Impact Evaluation 2
Year	2014
Full Citation	Rogers, P. (2014). <i>Theory of Change, Methodological Briefs: Impact Evaluation 2</i> . UNICEF Office of Research, Florence
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Emergent Theory of Change, Impact Evaluation
- Regions	Asia
- Countries	Bangladesh
Rigor	N/A
Overview (Summary of content of resource)	<p>In this paper, prepared as a guide for UNICEF, Rogers provides a brief description of Theory of Change and defines its purpose: “[TOC] explains how activities are understood to produce a series of results that contribute to achieving the final intended impacts.” She notes that TOC is sometimes also referred to as a logframe that consists of information on inputs, outputs, outcomes, and impacts, with assumptions that reflect beliefs about the factors that will influence outcomes. She notes that there are also other representations of program logic that explain different levels of change, different actors, and different causal pathways.</p> <p>Rogers recommends that a program or project theory of change should be developed in two parts – “a theory about how this change will come about and a theory about how the intervention will trigger this change.” Rogers describes in detail what to include in thinking through the TOC and how it can be useful for impact evaluation. She provides two examples and analyzes the theory of change of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation / Cutting: Accelerating Change, 2008 – 2012, and the Bangladesh Integrated Nutrition Programme.</p>
Resources	http://www.unicef-irc.org/publications/pdf/brief_2_theoryofchange_eng.pdf

Author	Root, Hilton, Jones, Harry; Wild, Leni
Title	Managing Complexity and Uncertainty in Development Policy and Practice
Year	2015
Full Citation	Root, H., Jones, H., Wild, L. (2015) <i>Managing Complexity and Uncertainty in Development Policy and Practice. Report.</i> ODI
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Complex Environments, Adaptive Management, Network Analysis, Evaluation
Regions	General
Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>Root et al discuss the growing need for agency policy reform to address uncertainty and complexity in the design of development interventions. They argue that “[t]he institutions themselves must be ‘homegrown’ and need to develop within their own local environments, rather than according to a particular blueprint.” By exploring different theories and research on people’s behavior and decision-making, they criticize a highly linear approach to reform based on “a common assumption of ‘rational choice’ decision logics.” They assert that “people are embedded in complex adaptive systems and that they make decisions, responding to changes in the behaviors of others around them and the larger environment.”</p> <p>Network analysis is elaborated as a tool to examine the interactions between people, institutions, and the system, and to investigate how the change happens They see the occurrence of change as the result of (1) Combinatorial explosions where a combination of events can form new outcomes; (2) “Information cascades”; and (3) Diversity begetting diversity in innovative niches,” triggering transitions. A “theory-based approach evaluation that respects complex causality and draws on a broad range of different types of evidence” using “qualitative comparative analysis, and evaluation rubrics” and “cross case learning.” They recommend a community of practice for understanding and documenting institutional reform and social change.</p>
Resources	http://www.odi.org/sites/odi.org.uk/files/odi-assets/events-documents/5191.pdf

Author	Stein, Danielle, and Valters, Craig
Title	Understanding Theory of Change in International Development
Year	2012
Full Citation	Stein, D., & Valters, C. (2012) Understanding Theory of Change in International Development. <i>JSRP Paper 1</i> . London: Justice and Security Research Programme
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Theory of Change Continuum, Typology
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	This paper provides a critical review of 48 documents related to guidance on Theory of Change from a range of donor agencies and development organizations. Stein and Valters maintain that there is no one agreed definition for "Theory of Change." They use the term "TOC approaches" to explain different ways that TOC is being framed in development and conclude that "TOC approaches can be understood as a continuum" where the Technical Tool is at one end (e.g. a logframe with explanations), TOC Thinking in the middle (complex systems analysis and problem solving), and Political Literacy at the other end (see Guijt 2007). Within this continuum, they identify four broad categories of purpose: 1) Strategic Planning, 2) Monitoring and Evaluation, 3) Description, and 4) Learning. Stein and Valters propose a typology for TOC types: 1) Evaluation or formative, 2) Explanatory or exploratory, 3) Linear or complex. To understand the concept of levels in TOC, the authors suggest looking "at the actors and targets of intended change process" that may focus on individuals, relationships, institutions, and systems. They note that there has been a "lively debate" on what evidence is in the context of "TOC and evidence-based policy."
Resources	http://www.theoryofchange.org/wp-content/uploads/toco_library/pdf/UNDERSTANDINGTHEORYOFChangeSteinValtersPN.pdf

Author	Taplin, Dana, Clark, Helene, Collins, Eion, and Colby, David
Title	Theory of Change Basics, A Primer on Theory of Change
Year	2012
Full Citation	Taplin, H., D., Clark, H., Collins, E., Colby, D. (2012) <i>Theory of Change Basics, A Primer on Theory of Change</i> . New York: ActKnowledge
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Theory of Change, Guideline
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	This is a brief guideline for the organization ActKnowledge on developing a program or project Theory of Change. TOC is defined as "a rigorous yet participatory process whereby groups and stakeholders in a planning process articulate their long-term goals and identify the conditions they believe have to unfold for those goals to be met." The proposed components of TOC include outcomes, interventions, indicators, rationales, and assumptions, arranged graphically in causal framework and accompanied by a written narrative that explains the logic of the framework. The stages of developing TOC are: (1) Identifying long-term goals and the assumptions behind them; (2) Backwards mapping from the long-term goal by working out the preconditions or requirements necessary to achieve that goal – and explaining why; (3) Voicing assumptions about what exists in the system without which the theory won't work, and articulating rationales for why outcomes are necessary preconditions to other outcomes; (4) Weighing and choosing the most strategic interventions to bring about the desired change; (5) Developing indicators to measure progress on the desired outcomes and assess the performance of initiative; (6) Quality review that should answer three basic questions: Is the theory (i) plausible, (ii) "doable" (or feasible), and (iii) testable?; and (7) Writing a narrative to explain the summary logic of initiative. The purpose of the narrative is "to convey the major elements of the theory easily and quickly to others and to better understand how the elements of the theory work as a whole."
Resources	http://www.theoryofchange.org/wp-content/uploads/toco_library/pdf/ToCBasics.pdf . Note that this guide builds on the Aspen Institute's Theory of Change Approach (Connell and Kubisch, 1998).

Author	USAID
Title	Complexity-Aware Monitoring. USAID Learning Lab. Discussion Notes: Monitoring and Evaluation Series
Year	2013
Full Citation	USAID (2013). <i>Complexity-Aware Monitoring. USAID Learning Lab. Discussion Notes: Monitoring and Evaluation Series</i>
Document Type	Agency guide (not official guidance)
Keywords	Complex Environment, Monitoring, Stakeholder Feedback, Process Monitoring of Impacts, Most Significant Change, Outcome Harvesting
Regions	General
Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>This Discussion Note outlines general principles and promising approaches for monitoring USAID development assistance in complex environments, and highlights its difference with performance monitoring. It is intended to be complementary to the Performance Monitoring Plan (PMP). It is used in contexts where “cause and relationships are poorly understood” as identified by the “degree of certainty about how to solve the problem” and “level of agreement among stakeholders about how to solve the problem.” The guide presents a framework, with sample cases, to analyze the characteristics of complexity in particular contexts.</p> <p>Three key principles for implementing Complexity Aware Monitoring are: (1) Synchronize monitoring with the pace of change (leading indicators, coincident indicators, lagging indicators); (2) Attend to performance monitoring’s three blind spots, (broad range of intended and unintended outcomes; alternative causes from other actors and factors, and non-linear pathways of contribution); (3) Consider relationships (dynamic interconnectedness), perspectives of different actors, and boundaries of both the internal and external environment. In regards to methods, the guide describes five tools: (i) sentinel indicators, (ii) stakeholder feedback, (iii) process monitoring of impacts, (iv) most significant change, and (v) outcome harvesting. Each of these approaches is elaborated briefly with examples, and linked to references.</p>
Resources	http://usaidlearninglab.org/library/complexity-aware-monitoring-discussion-note-brief . See also USAID’s CLA initiative https://usaidlearninglab.org/learning-guide/program-cycle-learning-guide-bet

Author	Valters, Craig
Title	Theories of Change in International Development: Communication, Learning, or Accountability?
Year	2014
Full Citation	Valters, C. (2014) <i>Theories of Change in International Development: Communication, Learning, or Accountability?</i> London: Justice and Security Research Program, International Development Department.
Document Type	Case studies
Keywords	Theory of Change, Organizational Learning, Problem Driven Interactive Adaptation, Accountability
- Regions	Asia
- Countries	Timor Leste, Nepal, Philippines, Sri Lanka
Rigor	N/A
Overview (Summary of content of resource)	<p>Valters, on a commission from the Asia Foundation, studied the application of Theory of Change as the tool for communication, learning, and accountability in projects underway in Timor Leste, Nepal, The Philippines, and Sri Lanka. The purpose of this research was to understand the actual effects of using a Theory of Change approach and consider how that approach may be better understood as a tool to improve development policy and practice.</p> <p>Key findings of the study include: (1) The TOC approach can be a useful tool for critical reflection if people include analysis of how existing power dynamics might change, and learn how local people see that change happen; (2) To function properly as a tool of analysis and a guide to action, the organization must support all staff to critically analyze interventions; (3) A prescriptive project design and a repressive political context discourage critical reflection; (4) A TOC needs to focus on process rather than product, uncertainty rather than results, iterative development of hypothesis rather than static theories, and learning rather than accountability; and (5) It is worthwhile to enrich the TOC approach with "other concepts and practices such as problem-driven iterative adaptation (PDIA) or single and double loop learning."</p>
Resources	http://www.lse.ac.uk/internationalDevelopment/research/JSRP/downloads/JSRP17.Valters.pdf

Author	Valters, Craig
Title	Theories of Change, Time for a radical approach to learning in development
Year	2015
Full Citation	Valters, C. (2015). <i>Theories of Change, Time for a radical approach to learning in development</i> . London: Overseas Development Institute
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Emergent Theory of Change, Organizational Learning
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>This paper is a must read for anyone interested in how change happens, doing development differently, and the results agenda. Some excerpts: "The development industry is unbalanced in a number of ways. Approaches to accountability are narrow, time-consuming and unrealistic, and this works to displace genuine attempts to learn and adapt. Programmes are often developed in a top-down way rather than being a result of locally led endeavours. Various, rather static, evidence artifacts are produced, but they fail to stimulate learning that can lead to improved programming. Social change processes are often understood in a linear way, when we know things rarely unfold as planned."</p> <p>Valters describes four key principles of a Theory of Change approach: (1) Focus on process; (2) Prioritize Learning; (3) Be locally led; and (4) Think compass, not map. The paper unpacks these principles in clear, concise terms. He maintains that clear analysis should be about both how change in a given context occurs and what ongoing role individuals and organizations can play, instead of implying that change in a society revolves around the projects that organizations design and finance.</p>
Resources	http://www.ids.ac.uk/files/dmfile/ASClowresfinalversion.pdf . Also see Duncan Green's blog on this paper at http://oxfamblogs.org/fp2p/what-are-the-key-principles-behind-a-decent-theory-of-change-approach-top-new-odi-paper/

Author	Vogel, Isabel
Title	Review of the Use of "Theory of Change" in International Development
Year	2012
Full Citation	Vogel, I. (2012). <i>Review of the Use of "Theory of Change" in International Development. Review Report.</i> DFID
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Emergent Theory of Change, Guidelines, Tools
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>This review is the most comprehensive literature review and analysis of the use of Theory of Change by development agencies to date. Vogel built on the work of James (2011) and conducted 40 interviews with staff from 25 development organizations, including nine donor agencies, seven international NGOs, and nine research and training organizations. There was also a review of published and gray literature on TOC to identify guidance and tools available.</p> <p>Key findings and guidance from this study are: (1) A theory of change is most effectively used to map out the logical sequence of an initiative from inputs to outcomes, combined with a deeper critical reflection of people's underlying assumptions of how and why change might happen as the outcome of an initiatives; and (2) While there is no consensus on a single definition of TOC, there is agreement on elements of TOC, including the following:</p> <ul style="list-style-type: none"> • Analysis of the context for the initiative, including social, political, and environmental conditions, the current state of the problem the project is seeking to influence, and other actors able to influence change • Description of long-term change that the initiative seeks to support and for whose ultimate benefit • A process/sequence of change anticipated to lead to the desired long-term outcome • Assumptions about how these changes might happen, as a check on whether the activities and outputs are appropriate for influencing change in the desired direction in this context • A diagram and narrative summary that captures the outcomes of the discussion • A methodology for tracking progress and evaluating results

	(3) A TOC is best kept flexible, not prescribed, or it will quickly become a compliance exercise and lose much of its value; (4) Because of the activation of critical reflection, the TOC approach has potential to support innovation and adaptation in response to dynamic context; and (5) Applying a TOC demands institutional willingness to be realistic and flexible in programming responses, particularly in implementation and performance management.
Resources	http://r4d.dfid.gov.uk/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf

Author	De Weijer, Frauke
Title	Rethinking Approaches to Managing Change in Fragile States
Year	2012
Full Citation	De Weijer, F. (2012) Rethinking Approaches to Managing Change in Fragile States. <i>Working Papers</i> , 58. Center for International Development, Harvard University
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Adaptive Management, Complex Environments, Emergent TOC, Organizational Learning, Isomorphic Mimicry, Capability Trap
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>De Weijer reviews approaches to development interventions in fragile states, particularly based on his 10-year experience in Afghanistan. He argues that the failure of development interventions is due to the inability to differentiate between problems that are technical and those that are adaptive. Technical problems are “clearly defined where less context-specific solutions are required” while adaptive problems do not have “clear cut, set procedures, recognized experts, or well understood solutions.” They are resistant to quick fixes and need changes in values and behavior in a social system. To deal with adaptive problems requires “different diagnostics, different approaches, and different management and accountability frameworks” because the changes promoted are “not always predictable and often nonlinear.” Adopting “international best practice” – what is called “isomorphic mimicry” as the basis for a theory of change to guide an intervention, rather than developing “a carefully crafted model befitting the local context,” can lead to what de Weijer describes as “capability traps,” where the demands of an intervention overwhelm local capacity and thereby weaken it as expatriate advisors take control.</p> <p>To deal with adaptive problems more effectively, de Wiejer proposes three approaches, (1) Engagement of stakeholders in collaborative solution seeking; (2) Dynamic, cross-functional, networked governance and learning; and (3) Creative, innovative thinking with space for experimentation.” He recommends a “flexible performance accountability framework” emphasizing the need for “emergent planning,” “building a learning infrastructure,” and “adaptive performance measurement” that measures intended and unintended program outcomes and behavioral change.</p>
Resources	http://www.hks.harvard.edu/content/download/70796/1255994/version/1/file/Rethinking+approaches+to+managing+change+in+fragile+states_FINAL.pdf . Integrity Watch: community-based monitoring in Afghanistan, see www.lwaweb.org

Author	Whittle, Dennis
Title	How Feedback Loops Can Improve Aid (And Maybe Governance)
Year	2013
Full Citation	Whittle, D. (August 2013) <i>How Feedback Loops Can Improve Aid (And Maybe Governance)</i> . Center for Global Development
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Feedback Loops, Score Card, Emergent Theory of Change, Randomized Control Trials
- Regions	Sub-Saharan Africa, Latin America/Caribbean
- Countries	Uganda, Malawi, Haiti
Rigor	N/A
Overview (Summary of content of resource)	<p>If private markets can produce the iPhone, why can't aid organizations create and implement initiatives that are equally innovative and effective? The key difference is feedback loops, according to Whittle. Well-functioning private organizations receive constant feedback on what customers like and what they don't. Companies that listen to consumers modify products and services; those that don't go out of business. Is it possible to create mechanisms that require aid organizations, and the host-country institutions they work with, to listen to what citizens want, and then act on what they hear?</p> <p>Whittle challenges the effectiveness of using Randomized Control Trials (RCT) in development to generate best practices, since it is the context and institutional capacity that shapes the effectiveness of interventions, and each organizational context has its own capacity and character. Whittle makes a strong case for the use of effective feedback loops using such tools as Participatory Community Scorecard (PCS) of World Vision's education project in Uganda, Rapid SMS of UNICEF's health project in Malawi, and the Crisis Response Map in Haiti.</p>
Resources	<p>http://www.cgdev.org/sites/default/files/WhittleFeedbackessay_1.pdf. Whittle has founded an organization and website to promote this approach and the tools to support it: www.feedbacklabs.org</p>

Author	Wild, Leni, David Booth, Clare Cummings, Marta Foresti, Joseph Wales
Title	Adapting Development, Improving Services to the Poor
Year	2015
Full Citation	Wild, L., Booth, D, Cummins, C., Foresti, M., Wales, J. (2015) <i>Adapting Development, Improving Services to the Poor</i> . London: ODI
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Adaptive Management, Problem Driven Iterative Approach, Community Score Card
- Regions	Sub-Saharan Africa, Asia
- Countries	Multiple Countries
Rigor	N/A
Overview (Summary of content of resource)	<p>Current projections indicate that if development efforts rely on “more of the same” it will be decades, if not longer, before the world’s most disadvantaged people have access to basic services of adequate quality. This paper, based on three years of applied research into the political economy of basic public goods and service delivery (including basic education), finds that a more realistic understanding of developmental change is needed – development breakthroughs are domestically driven, cumulative, untidy, and unpredictable. The authors recommend that both domestic and international partners should spend less time on grand designs and more on tracking down specific problems and finding practical and politically smart ways to solve them.</p> <p>The study is rich in examples and cases, and describes six principles of an international compact endorsed by 400 people from 60 countries called the <i>Doing Development Differently Manifesto</i>. These principles are:</p> <ul style="list-style-type: none"> • Focus on local problems defined by local people in an ongoing process • Legitimate the reform process at political, managerial, and social levels • Work through conveners of stakeholders to introduce relevant change • Blend design and implementation through rapid cycles of planning, action, reflection, and revision – drawing on local knowledge and feedback • Manage risks by making “small bets” pursuing activities with promise and dropping activities that do not seem to be working • Foster real results – real solutions to real problems with real impact: these build trust, empower people and promote sustainability
Resources	http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9437.pdf . Further details on the Manifesto are at: www.doingdevelopmentdifferently.com

Author	Woodrow, Peter and Oatley, Nick
Title	Practical Approaches to Theories of Change in Conflict, Security and Justice Programmes. Part 1: What they are, different types, how to develop and use them
Year	2013
Full Citation	Woodrow, P., and Oatley, N. (2013) <i>Practical Approaches to Theories of Change in Conflict, Security and Justice Programmes. Part 1: What they are, different types, how to develop and use them</i> . DFID
Document Type	Agency guidelines, literature reviews (content studies that incorporate multiple sources)
Keywords	Theory of Change, Program Design
- Regions	Sub-Saharan Africa, Asia
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	This document provides guidelines for DFID staff to design and implement their programs effectively using a theory of change approach. According to the guide, a theory of change reflects “why we think certain actions will produce desired change in a given context.” The TOC may be presented in the following form: “We believe that if we do X, Y, and Z, it will lead to W” adding ‘because’ to express the rationale of TOC. Thus the formula becomes, “If we do X..., then Y..., because Z...”. This concept is elaborated and illustrated with examples from the contexts of Kosovo, South Sudan, and Burundi. A step-by-step process for developing a TOC statement is provided, and this process is compared to the logic (logframe) model. To use theory of change as a tool, in the context of fragile states or conflict situation in particular, the guide encourages a reality check on (1) “System push back” or resistance to the proposed changes, (2) “Other efforts running in parallel or running in support of initiatives at different levels,” (3) “Do no harm/conflict sensitivity” because “flaws in the TOC can endanger people.” In conclusion, the guide maintains that a good TOC is (1) change-oriented, (2) clear and complete, (3) plausible, (4) testable, (5) embedded in context, (6) agreed by relevant stakeholders, and (7) dynamic, and can be amended/updated whenever necessary.
Resources	http://www.smallarmssurvey.org/fileadmin/docs/M-files/CCRVI/CCRVI-theories-of-change-part-1.pdf . There is also a second volume in this series with more detailed and operational tools: http://www.gsdrc.org/document-library/practical-approaches-to-theories-of-change-in-conflict-security-and-justice-programmes-part-ii-using-theories-of-change-in-monitoring-and-evaluation/

Author	World Bank
Title	Adaptive Design, Adaptive Interventions, Chapter 11 in <i>World Development Report 2015: Mind, Society, and Behavior</i>
Year	2015
Full Citation	World Bank. (2015). Chapter 11: Adaptive Design, Adaptive Interventions in <i>World Development Report 2015: Mind, Society, and Behavior</i> . Washington, DC: World Bank.
Document Type	Systematic reviews / literature reviews (content studies that incorporate multiple sources)
Keywords	Adaptive Management, Development, Behavior, Program Design
- Regions	General
- Countries	General
Rigor	N/A
Overview (Summary of content of resource)	This comprehensive report advocates a change in doing development. To improve effectiveness, development design should: (1) Concentrate more on the definition and diagnosis of problems; (2) Support an experimental approach that incorporates testing during the implementation phase and tolerates failure to identify cost-effective interventions; and (3) Change the structure of incentives, budget processes, and institutional culture to promote better diagnosis and experimentation so that evidence can feed back into midcourse adaptations and future intervention designs. Chapter 11, Adaptive design, adaptive interventions, notes that behind every policy and every program lie assumptions about why people behave the way they do, and what it takes to change that behavior to accomplish development results. Building on the insights from research on human decision-making (Chapter 9), the report makes the case that development is not about promoting specific interventions, but rather changing the process of arriving at solutions. Supported by a large body of cited research and many examples, the report argues that "finding effective solutions requires continual research and development (R&D). Although time and resource constraints might interfere with efforts to adopt more systematic diagnosis and experimental implementation, the biggest challenge may be overcoming the psychological and social obstacles within development organizations themselves."
Resources	http://www.worldbank.org/content/dam/Worldbank/Publications/WDR/WDR%202015/WDR-2015-Full-Report.pdf

Author	Young, Stacey
Title	USAID Program Cycle Learning Guide and CLA Introduction, Knowledge-Driven Microenterprise Development
Year	2013
Full Citation	Young, S. (2013) <i>USAID Program Cycle Learning Guide and CLA Introduction, Knowledge-Driven Microenterprise Development</i> , USAID Learning Lab.
Document Type	Agency guide
Keywords	Program Design, Evaluation, Complex Environment, Collaboration, Learning, Adaptation
Regions	General
Countries	General
Rigor	N/A
Overview (Summary of content of resource)	<p>Stacey Young, a Senior Advisor with USAID's Collaborative Learning and Adaption (CLA) initiative in the Bureau for Policy, Planning and Learning (PPL) notes that development interventions often fail by replicating designs from other countries or contexts ("isomorphic mimicry"), thereby blocking the opportunity to exchange perspectives and knowledge among local stakeholders, and by lack of attention to the social dynamics of the specific context. This occurs because designers and implementers are "tied to static strategies and implementation plans that are fixed at the design stage," and define success in terms of staying the course, governed by inflexible contractual and funding mechanisms. To address this issue, the PPL Bureau has initiated an interactive Learning Guide to operationalize the CLA approach for USAID development projects. Emphasizing iterative adaptive management within the structure of the USAID Program Cycle, Young believes that the CLA approach could change the way USAID does development, and thereby become more effective, produce greater impacts, and be more sustainable. The CLA initiative provides an interactive guide, case studies, and a web site with resources and tools (see Resources below).</p>
Resources	<p>http://usaidlearninglab.org/sites/default/files/USAID%20Program%20Cycle%20Learning%20Guide%20and%20CLA%20Introduction_Stacey%20Young.pdf</p> <p>See also Stacey Young's presentation on YouTube: https://www.youtube.com/watch?v=MU9_fulaKv8</p> <p>USAID's Learning Lab https://usaidlearninglab.org/learning-guide/program-cycle-learning-guide-beta</p>

Document Type	Key words	Regions	Quality – Rigor
<ul style="list-style-type: none"> • Book • Chapter • Published article in peer-reviewed journal <p><i>The following are NOT in books or journals:</i></p> <ul style="list-style-type: none"> • Evaluation • Review of evaluations/programs • Review of literature and/or research • Analysis, research (e.g. ODI, CGD, Brookings) • Development Agency policy, analysis, guidance • Case study(ies) <p><i>There should only be one entry for 'Document type'</i></p> <p><i>Note: the field 'Publisher' will identify if the document comes from an Agency (UNICEF), or from a think tank (CGD), or from an NGO (SC)</i></p>	<ul style="list-style-type: none"> • Accelerated Education • Adaptive Management • Basic Education • Behavioral economics • Behavioral change • Capability trap • Collaboration • Collective impact • Community initiatives • Complex adaptive systems • Complex environments • Complexity • Development as evolution • Education system change/reform • Emergent theory of change • Feedback loops • Isomorphic mimicry • Network analysis • New Institutional Theory • Organizational learning • Power • Problem-driven iterative adaptation (PDIA) • Program M&E • Program/project design • Relationships • TOC – Concept • TOC – Guidance • TOC Research-Evidence 	<ul style="list-style-type: none"> Sub-Saharan Africa North Africa (Algiers-Egypt) Middle East (Palestine, Iran, Turkey) Central Asia (Afghanistan-Russia, Kazakhstan) South Asia (India-Ceylon) East Asia (Cambodia-Taiwan) Pacific (Australia-Hawaii) North America (US and Canada) Latin America and Caribbean (Mexico-Chile) Europe (including Eastern Europe-Romania) Balkans (former Yugoslavia-Albania) 	<p>A judgment about the quality and rigor of the document:</p> <ul style="list-style-type: none"> 1 Excellent 2 Good 3 Useful but weak <p><i>We will have to develop criteria and a process for reaching this judgment – At this point use your best judgement and keep notes that you can share as to your reasoning.</i></p>

	<ul style="list-style-type: none">• Wicked problems <p><i>Note that there may be 3 or more keywords attached to any source.</i></p>		
--	---	--	--