Developing a Theory of Change for your Phase 1 LLA Work Plan

Caroline Kurtz
Sarah Planche

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Acknowledgements

Larry L. Bye
Vice President/Senior Research Director
Field Research Corporation

Access the original PowerPoint training in the Resources section of the CBN Partners Sub-site:
https://www.tcspartners.org/CBN_Subsite/Documents/Resources/Misc/Theory%20of%20Change%20Webinar%20June%2018,%202009.ppt

Intended Outcomes

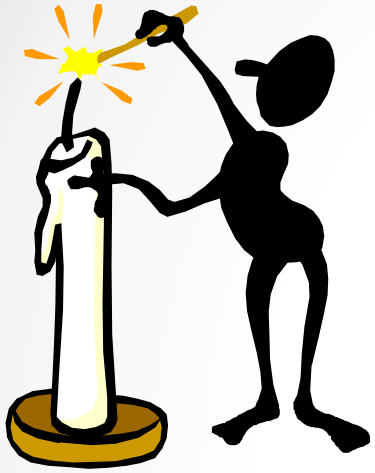
- Understand what a theory of change is and why it is useful
- Learn about some leading theories
- Learn about the social norm change theory and how it has been applied in CA tobacco control work
- Understand how theories of change impact planning (objective setting and selection of intervention activities)
- Learn what an effective theory of change statement is within a CTCP grantee scope of work

Theory of Change

Theory of Change: What is it?

- Your view of how change is going to come about; the mechanism through which it occurs
- It is the strategy you've decided to pursue; it dictates your objectives and activities
- A theory of change always contains a set of concepts + specifies how they are related
- It has generalized relevance and applicability; is not tied to just one issue or problem
- It is the rationale for your proposed objective

Why a Theory of Change is Important



Program Design and Evaluation Basics

- Rule #1: All intervention messages, activities and other elements must plausibly contribute to the achievement of the SMART objectives you have specified; and,

- Rule #2: All the objectives must be consistent with the theory you have selected

The Current Health Promotion Paradigm:

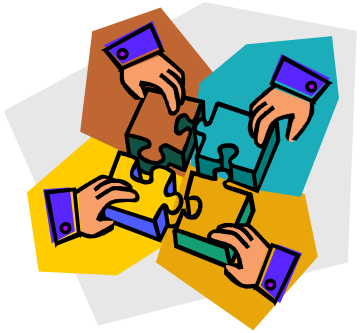
The Social-Ecological Approach

5 levels of influence (McLeroy and colleagues, 1988)

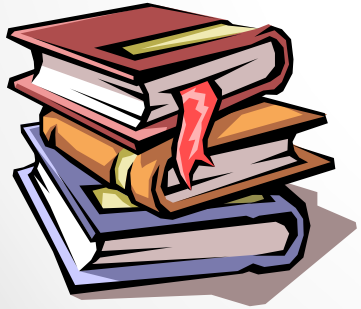
1. Individual/intrapersonal factors: knowledge, attitudes, beliefs
2. Interpersonal factors: family, friends and peers who provide social identity, support and role definition
3. Institutional factors: rules, regulations and policies in schools, workplaces and other organizations
4. Community factors: social networks and norms
5. Public policy factors: government policies and laws

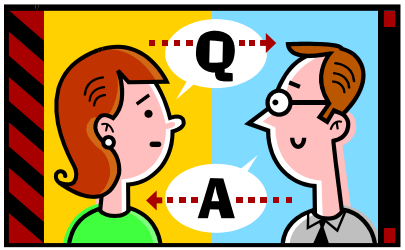
Selecting a Theory

- Find the right fit:



- Understanding the evidence base:





Selecting a Theory

- What has already been accomplished on the issue?
- What is the next most logical step to take in order to advance the field?
- What constraints are imposed by the organizational setting or your assessment of where the best targets of opportunity are?

Examples of Leading Theories of Change

Individual, Interpersonal, and Organizational/Community Level

Individual Level Theories

- Health Belief Model
- Stages of Change

Interpersonal Level

- Social Cognitive Theory

Organizational/Community Level

- Health Communications Theory
- Diffusion of Innovations Theory
- Community Organizing Theory

Stages of Change

Cessation

Social Cognitive Theory

Smoke-free movies

Organizational/Community Level

Health Communications Theory

- Audience-centered
- Research driven
- Messages
- Source (credibility, trust)
- Channel (mass media + others)
- Effects (funding matters; influences reach and frequency)
- Agenda setting (what media cover, what public thinks about and what policymakers address)
- Framing: how to think about an issue

- Example: (2.7) The Golden Gate Coalition members/staff will develop collaborative relationships with Alcohol, Nutrition, Physical Activity and Green Building/Housing organizations which will result in planning and implementing at least 2 projects.

Diffusion of Innovation (Rogers)

- Diffusion is the process by which an innovation is communicated through certain channels over time among members of a social system.
- What impacts the speed/extent of diffusion: relative advantage, compatibility, complexity; trial-ability, observe-ability (results)
- Channels: media as well as modeling/imitation within social networks
- Adoption is bell curve: innovators (very few) followed by early adopters (few) followed by early majority adopters and then late majority adopters (biggest groups) and then laggards (few)

- Example: (2.2.9) At least one college campus in American River County will adopt and implement a tobacco-free campus policy.

Community Organizing Theory

- Community/most affected groups are empowered to initiate changes; public health professionals act as catalysts and resource providers
- Critical reflection and analysis about social forces causing problems and what solutions might look like
- Assets (e.g. money, staff, public concern/interest, readiness of organizations to act) are identified and utilized to increase the chance of success

Community Organizing

- Partnerships are formed with key stakeholder groups in order to increase the chance of success
- Broad participation in order to accelerate change; often the focus is on grassroots participation
- Some approaches emphasize conflict, direct action and the building of power to redress inequities
- Policy advocacy is often a main focus

- **Example:**
- By June 30, 2014, plan, coordinate, and implement data collection related to the statewide Retail Environment Campaign in tobacco retail stores, including, but not limited to, questions on price, flavors, discounts/promotions, and storefront advertising.

The Social Norm Change Theory

The Social Norm Theory of Change

- Social norms: what the culture says we should do and/or not do; group/community sanctioned values and standards
- We are all greatly influenced by social norms; they affect in behaviors in multiple domains including the health area
- Cultural values are always in sync with socio-economic and policy factors; the relationships are reciprocal; changes in one domain affect changes in the others

Norm Change Theory as Applied to Tobacco Control

- Changed social norms + changed legal climate = reduced smoking and exposure to second hand smoke
- In other words, de-normalize tobacco use
- Changed norms: tobacco use is less desirable and acceptable and, hence, less accessible

Norm Change Theory as Applied to Tobacco Control

- Legal changes:
  (1) increase tobacco taxes;
  (2) regulate tobacco production, manufacturing, marketing, and sales;
  (3) reduce access to tobacco products, especially by youth;
  (4) ban smoking even in homes and cars

Norm Change Theory as Applied to Tobacco Control

- Reveal and counter tobacco industry influence; “point fingers, name names”
- Provide cessation services but view cessation more as “an outcome, not an intervention”
- Organize/engage communities so that change is ground-up, not top-down. This accelerates norm change and generates support for legal/policy changes

- Example: 4.2.4 A minimum of 2 Sunshine County alcohol, drug, mental health or social service programs will adopt a policy to systematically implement the evidenced-based AAR guidelines to provide tobacco cessation referral services to clients who smoke, consistent with the US Public Health Service Clinical Practice Guidelines, *Treating Tobacco Use and Dependence (2008 Update).*

Applying the Social Norm Change Theory

- What type of intervention objectives would one expect to see if a program were being guided by this theory of change?
- What type of messages, activities or other elements?
- What theory will you use to design your objective?

Case Studies and Discussion

Objective:
By June 30, 2014, three
policy that requires al **co**
products and includes

- Tobacco retai
  enforcement g
  1
  theories….

Social Cognitive Theory: "At the interpersonal level, activities (retailer education, compliance checks, and penalties for selling

Social Norm Change Theory: "At the community level, the activities (collaborating with youth serving agencies, public opinion poll, training volunteers to be advocates, and providing TRL presentations to various community groups) were developed to mobilize community members and adults."

Objective:

By June 30, 2014, California County will adopt and implement a smoke-free outdoor area policy that includes beaches, piers, parks, playgrounds, and other

…Rationale: by using communication education and building public support, public policy-makers can be educated about the importance of adopting policies to make beaches, piers, and/or other public places smoke and tobacco-free

using communication education and building public support,

Evidence: California County has had some success in adopting these types of policies. Besides public support, the major evidence presented to policy makers in support of previously adopted smoke-free policy has been the collection of cigarette butts collected at coastal clean-ups.

Resources

Theory at a Glance: A Guide for Health Promotion Practice

- http://www.cancer.gov/cancertopics/cancerlibrary/theory.pdf

Questions?

Thank you!