

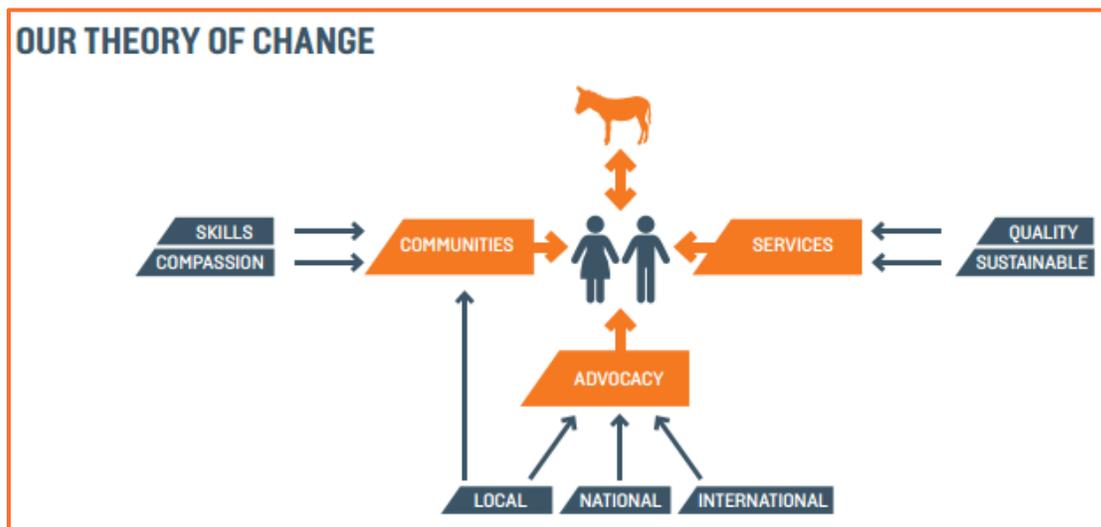
Terms of Reference – Participatory Review of Brooke Theory of Change

Context and Rationale

Brooke's **Global Strategy 2016-2021** focuses on 4 objectives:

1. **SCALE:** Increase the scale and reach of our work with animals;
2. **INCOME:** Grow income and awareness to increase impact;
3. **QUALITY:** Deliver programmes to Brooke standards; and
4. **IMPACT:** Increase accountability to donors and beneficiaries.

Objectives 1 and 3 are delivered in countries through **Brooke Theory of Change (ToC)** which is currently summarised by the following diagram:



The diagram shows that Brooke aims to **improve equine welfare** by working with **communities**, improving the skills of **service providers** like vets and farriers, and getting **government** at all levels to implement policies that improve the lives of working horses, donkeys and mules.

Following the launch of its new **Global Strategy 2016-2021**, Brooke undertook a **multi-year planning exercise** in all its branches and affiliates in 2017. During and following the workshops, it became clear that interpretation of our ToC was inconsistent across the organisation. In October 2016, the **Global Hoofprint Strategy** highlighted that Brooke did not have a consistent approach to defining results and measuring impact and that projects in country should be true to our ToC. It also pointed that Brooke can be hard to sell. In April 2017, a paper was produced that sets out clearly the current 'agreed' understanding of the ToC (Dil's paper). This was a helpful aide for further discussion regarding how our ToC is structured at a meeting of the EF Working Group in May 2017.

Currently, the diagram doesn't articulate the assumptions underpinning our ToC. The logic behind each element and the interlinkages among these are not made explicit. And the way they work together need to be further explored. Discussion with Technical Advisers provided assurances that most of the information to describe our logic is available and we should refer to that as a starting point.

It is important to note that this review is not about changing the hypothesis of our ToC or taking focus away from our goal of improved animal welfare. The aim is to build on our **existing** ToC to strengthen it further in terms of how we illustrate it, describe it and test it.

In preparation, Brooke has produced the following two papers as inputs to the participatory review:

1. A **desk review of theory of change documents**. The paper compiles existing elements of ToC, assess these against the DFID quality criteria, identify gaps and provides a set of recommendations on areas to be further articulated;
2. An **evidence mapping**. The paper presents key evidence which confirm the existing Brooke ToC.

Objectives

Brooke is seeking to hire a consultant to facilitate the **participatory review of its ToC**. It seeks to elaborate a ToC which would successfully support the delivery of **Brooke Global Strategy 2016-2021**.

The aim of the exercise is to **build on our existing ToC to further strengthen it** in terms of **how we illustrate it, describe it and test it**. **Key stakeholders' involvement** -particularly those involved in the development of our ToC to date- will be **critical** to the success of this exercise. The **objectives** are to ensure Brooke's ToC:

- Consistently **guides planning and evaluation** for Brooke operations in countries;
- Clearly **presents our approach** to improving equine welfare to support internal and external stakeholders and audiences.
- Is **articulated clearly and understood consistently** across the organisation.

The desired outputs should **build upon existing Brooke preparatory papers**¹ and **comply with DFID ToC quality criteria** (refer to Annex). In particular, assumptions and evidence underpinning the ToC should be clearly articulated both in a diagram and in narrative forms.

The reviewed ToC will help Brooke to have a **realistic understanding** of what forces will be affecting the delivery of its Global Strategy in countries, work out the ways in which it can **contribute most effectively to help more working animals in need in more places** around the world and **options for adapting to potential external factors**.

¹ [Desk review of theory of change documents](#) and [Evidence mapping](#)

Outputs

The external consultant is expected to deliver the following **three outputs**:

1. An **overall goal-level ToC diagram** which complies with DFID quality criteria;
2. A **specific ToC diagram for each existing ToC element** (Services, Communities and Advocacy);
3. An **accompanying narrative** which:
 - Includes an **opening one-page summary** covering all the key points in the document (those listed here after) to be used as a stand-alone, shorter brief as necessary;
 - Presents an **agreed definition of what ToC is and what it is used for**;
 - Discusses the **overall logic** for both the goal-level and lower level ToC diagrams;
 - Lists and discusses **assumptions**;
 - Discusses **uncertainties, risks and possible knock-on effects**;
 - References any available **evidence**:
 - on the general approaches (Community Engagement, Advocacy, Services) adopted by Brooke and why these are thought to be effective (i.e. evidence at the “top level”); and
 - on the efficacy of specific types of intervention (i.e. evidence at the “ground level”).

Suggested Approach

All of the outputs will be developed in a **highly participatory way** through **consultations** with all relevant stakeholders with the UK and in countries **throughout the process**. The approach will **ensure ownership from across the organisation**.

The external consultant will:

PHASE 1

1. **Undertake a short review** of the Desk review of theory of change documents and Evidence mapping;
2. **Collect inputs** through a mix approach of conducting surveys, running sessions during planned workshops (Research group meeting on 15th September and ISLT meeting during the week of 18th September), organizing group skypes with countries and focus group discussions with relevant Brooke staff in the UK;
3. **Deliver the three outputs** listed in the previous section;
4. **Test** whether the **new ToC** makes sense externally through an external peer review and **further refine** it if required; and

PHASE 2

5. Support the **development and delivery of communication plan** to ensure the three outputs are **understood consistently** across the organization through:
 - A workshop for **Senior Leadership Team** (Chief Executive Officer and Directors);

- A workshop for **International Senior Leadership Team**;
- A workshop for **the senior management group** (Heads of Departments and Managers);
- A **general presentation** through a **virtual Share & Learn** open to all.

The contract will start on **4th of September 2017** with expected completion date by no later than **4th November 2017 for PHASE 1** and no later than **30th March 2018 for PHASE 2**. A more detailed workplan will be discussed with the selected consultant, including further details on the approach.

Requirements and Competencies

- Relevant degree in international relations, development, animal welfare or related field;
- Strong experience of leading participatory process development of ToC in intentional organisations;
- Knowledge and expertise in strategic processes, particularly in relation to issues around sustainability;
- Demonstrated substantive leadership and innovation with an ability to conceptualize and convey strategic vision from the spectrum of development experience;
- Demonstrated ability to understand clients' needs and concerns; respond promptly and effectively to client needs; and customize services and products as appropriate;
- Published author in the areas of ToC, sustainability, animal welfare, livelihood, gender, resilience, or related areas;
- Work experience with NGO, desirably animal welfare organisation;
- Displays cultural sensitivity and adaptability;
- Excellent communication and drafting skills in English.

Annex: DFID ToC Quality Criteria and Checklist

The criteria summarised below are based on the review commissioned by DFID², in particular Section 5 (p. 33-35 - “What makes a good quality theory of change process and product – or ‘good enough’?”).

The DFID review proposes three main overall quality criteria - **usefulness**, **ownership** and **clarity**. A **checklist** of specific quality criteria is also suggested which focus on the following question - does the ToC represent:

- **Group discussion and consultation process**, with sufficient time for a genuinely reflective process?
- Grounding in **local contexts**?
- Clear **conceptualisation of impact** and the **pathways to it** (causal links)?
- Have **assumptions** and **hypotheses** that lie behind the arrows in the diagram been **explored** and **captured**?
- Has **evidence** and **learning** been used to **triangulate analysis**?
- Have **uncertainties**, **risks** and **knock-on effects** been captured?
- Does the **visual representation** (i.e. ToC diagram) stand up to **scrutiny**?
- Has an **analysis of power** been included (especially for advocacy)?

DFID ToC Checklist³:

1. Analysis of the context
Does the theory of change make sense as a response to analysis of the context, the problem and the changes needed? Is there one statement that sums up the theory of change?
2. Clear Hypotheses of Change
Are causal pathways well mapped in a diagram? ie - <ul style="list-style-type: none"> • In detail - including intermediate outcomes? • No missing links? • Conceptually clear - no congested boxes containing several inputs, outputs, outcomes or causal links all lumped together? • Presenting the specifics of this programme not just a generic type of intervention? Are assumptions made explicit (in the diagram or text) - <ul style="list-style-type: none"> • about the causal links? • about implementation • about context and external factors? Does the narrative highlight and describe the overall logic of the intervention and the key hypotheses which the programme is based on?
3. Assessment of the Evidence
Is there a narrative assessment of the evidence for each key hypothesis? <ul style="list-style-type: none"> • Is the strength of the evidence assessed? • Does the assessment make sense given the evidence referred to?

² [Review of the use of ‘Theory of Change’ in international development](#)

³ [Appendix 3: Examples of Theories of Change](#)

3. Other

Is the theory of change and logframe consistent?

Do the evaluation questions mentioned in the management case pick up on hypotheses in the theory of change which have a weak evidence base?