



Film: 21st Century Literacy Preparing a Theory of Change

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1. <u>Introduction</u>	
1.1 21 st Century Literacy has adopted a Theory of Change (ToC) framework for the evaluation of its 3-year programme. An introduction to ToC, available at www.link , which explains the benefits of this approach, and the Theories of Change that describe the overarching Strategy for Film Education and its activity strands can be found here: www.link	
1.2 This document is designed to help organisations develop and evaluate their film education projects for young people using a Theory of Change framework.	
1.3 Glossary A number of terms are used throughout this document, which are defined below.	
Theory of Change...comprises a Pathway and a Narrative	
Pathway (see page 13)...a diagram showing the route to the pilot's goal through sequential and interconnecting Outcomes and Interventions.	
Narrative (see pages 6-12)...an explanation of the Pathway including: underlying assumptions, context (factors affecting the project's design or delivery) and detail about the implementation of interventions.	
Outcome...a necessary change which is a pre-condition to reaching the goal.	
Assumption...knowledge, opinion or belief that influences an element of the Pathway.	
Intervention...an activity necessary to bring about an Outcome.	

Indicators...measures of success attached to each proposed Outcome.

2. Step-by-step Guide to producing a Theory of Change

This section references the Example Pilot Pathway and Narrative in the Annex with **RED** letters.

A ToC is best developed in consultation with ALL the partners in planning and delivering funded activity .

2.1 Step 1 - Identify the problem/issue you are addressing

2.1.1 The focus of a Theory of Change, and its starting point, is a goal. The activities that comprise the pilot project, therefore, should all be designed to help achieve the desired end. A goal, or project aim, is rooted in a perceived 'problem'.

2.1.2 Take, for example, the 21st Century Literacy Programme Goal:
All young people have the opportunity to experience and learn about film in all its richness and creative possibilities.

This goal came about because the available evidence suggested that the film education sector was failing to reach enough young people. If this was not a problem, what would be the point of the project? A problem indicates a need and by addressing a need, a project will have greater impact and a better chance of success.

2.1.3 Before a goal is created, therefore, you need to identify the problem. Although a problem statement will not appear on the pilot's Pathway, it will appear in its Narrative because it is useful for others who are trying to understand the context of the project.

2.1.4 Try to identify a single, over-arching problem. This is difficult because sometimes an issue can be interpreted as the central problem when, in fact, it is only a symptom.

Refer to **A** in the Annex for an example Problem Statement.

2.1.5 In drawing up your problem statement, you will reveal some key Assumptions that will be important to articulate in the Narrative.

Refer to **B** in the Annex for example Assumptions.

2.2 Step 2 - Identify the key underlying causes of the problem

2.2.1 The problem you have identified will be the result of a number of issues. The factors that have led to the creation or perpetuation of the problem will need to be addressed through the Outcomes and Interventions of your project.

2.2.2 Again, these factors will reveal some of the Assumptions you have about the nature of the problem and the particular context of your project. Think about whether you have access to any baseline evidence to back up your

Assumptions at this stage. If not, you are in danger of identifying a problem that may not be a problem at all.

2.2.3 These Assumptions will also feature in the Narrative because it is important contextual information for those who deliver a similar project in future.

Refer to **C** in the Annex for example underlying causes.

2.3 Step 3 – Translate your problem into a Goal

2.3.1 Now that you have articulated the need for your project, you can present the solutions.

2.3.2 A Goal Statement transforms the negative language used to describe the problem into a positive aim.

Refer to **D** in the Annex for example Goal Statement.

2.4 Step 4 – Identify the outcomes you want to achieve

2.4.1 Outcomes are the favourable *changes* or *effects* you hope to bring about through your project and they are closely related to the causes you identified in Step 2. In essence your Outcomes will attempt to convert the negative causes of the problem in to positive contributions towards the Goal.

The table marked **E** in the Annex is an illustration of the relationship between the causes and the Outcomes.

2.4.2 **Tip:** There are three categories of outcome:

a. Impact

Either: Effects that are about the individual beneficiary ('client-focused').

For example 'Increased participant self-esteem'.

Or: Effects that are about a group of beneficiaries ('community-focused').

For example 'Increased community cohesion'.

b. Influence

Effects on policy, partnerships, media, the public, best practice and so on.

c. Leverage

Effects on the availability of new funds (changes in grant-giving practice)

and other new non-financial assets (equipment, buildings, skills,

knowledge etc.)

Your set of Outcomes should try to encompass all three categories.

2.4.3 The Pathway example (3.6) expresses a theory about how Outcomes, relate to each other i.e. one Outcome is expected to be a necessary 'pre-condition' in the achievement of another.

2.4.4 Do not limit the number of Outcomes at this stage. It is best to start with too many because later you can streamline the model by thinking about the resources you have.

2.4.5 Some 'pre-conditions' may be desirable but are outside your direct control or remit, such as a change in school policy. Note these down as Outcomes too but highlight them in your Narrative. Although your project will not be responsible for this particular Outcome, it may be able to do something to influence those responsible, for example, through advocacy and lobbying activity. This needs to be considered in the next step.

2.5 Step 5 – What do you need to do to bring about the Outcomes?

2.5.1 Now that you know what results you want, you are in a position to decide how to get them i.e. what activities or Interventions may bring about the Outcomes.

2.5.2 Activities or Interventions are, very often, the starting point for a project:
"We want to run this project and it will do A, B and C."

The Theory of Change approaches it differently:
"We want to do A, B and C and this project will help us."

However, if you have already designed the pilot activities, the steps so far will help you ensure it does everything necessary to bring about the changes you want.

The Interventions in **F** in the Annex describe the project and are summarised in the Example Pathway model as 'Outputs'.

2.6 Step 6 - How will you know if you've succeeded in bringing about an Outcome?

2.6.1 When you have a set of Interventions you are happy with, you need to think about the data that will show the pilot's progress or achievements against the Outcomes. These are the Indicators.

2.6.2 Indicators tell the story of success and dictate the evaluation data collection plans. The table marked **G** in the Annex gives example Indicators and shows that there may be more than one Indicator per Outcome but remember that having too many indicators may over-stretch your monitoring resources.

2.6.3 To ensure an Indicator is as robust as possible, it is created using these questions:

- (1) Who or what do we expect to change? i.e. target population
- (2) What measurement will illustrate success?
- (3) What is the current baseline data for this population?
- (4) What threshold do we need to cross to claim success?
- (5) How much time will we need to reach the threshold?

2.6.4 Remember that Indicators merely indicate! An Indicator might not be able to provide conclusive proof of success because the effects of your project might be fully realised long after the funding and evaluation period has ended. It may, however, be able to prove a trajectory of change that, if followed, could produce ultimate success.

For example

Instead of measuring how many educators will be trained as a result of your project, you could measure how many training centres have committed to and have been prepared for running a training programme.

2.6.5 At this stage, the Indicators are mainly quantitative. But once you are confident the Outcome can be measured quantitatively, you need to think about what qualitative evidence will help you tell the story. The Pilot Data Collection Template will help in this process (see page 14).

2.7 Step 7 – Review and reality check

2.7.1 Before you create your Pathway diagram and write the accompanying Narrative, review what you have so far with the project's key stakeholders. There must be agreement about what the pilot is designed to achieve and how the goal will be reached and measured.

2.7.2 The following checklist should aid consultation with the project's stakeholders. Depending on the discussion, be prepared to revisit some of the Steps 1-6 and revise your project accordingly.

2.7.3 Checklist:

The problem/goal

- Is there agreement on the nature of and assumptions behind the problem?
- Is the problem clearly articulated and adequately translated in to a goal?
- Does the goal clearly relate to the achievement of the overall 21st Century Literacy Programme goal?

The causes

- Is there agreement on the range of causes and assumptions behind them?
- Does any baseline data exist in support of the causes that strengthens the case?

The Outcomes

- Have all the stakeholders' desired outcomes been accounted for?
- Are any externally imposed reporting requirements accounted for (e.g. those of a specific funder)?
- Is there a match between your desired outcomes and available resources? If not, which outcomes are priorities?

The actions/interventions

- Is there agreement on the necessary actions/interventions?
- Do they duplicate activity happening elsewhere? Is duplication necessary?
- Is there a match between your desired actions/interventions and available resources?

The indicators

- Is there agreement about the indicators? Do they tell the right story?
- Is there a good balance between quantitative and qualitative evidence?

- Can baseline data be provided or obtained for each indicator before the project is due to start?
- Do the mechanisms and resources exist to collect the indicator data over time?

Resources

- Do you have the capacity to carry out the project and evaluate it?
(Resources include: money, skills, knowledge (data), time, facilities, equipment, contacts and partnerships).
- What do you have already and what can you source from elsewhere?

2.7.4 When you have partners' input, you are ready to draft your initial Pathway and Narrative.

2.8 Guide Conclusion

2.8.1 A project's Theory of Change is designed to adapt as you acquire more knowledge about what works and what does not. In other words, it will develop during a project's lifecycle.

At the start of the project the ToC is a *prediction* of how you expect the project to work. By the end of the project, the ToC should be a *description* of how your project worked.

2.8.2 Therefore, a ToC works best for mid to long-term projects (a year or more) so that there is time to collect sufficient data that evidences the impact of the activity.

ANNEX

3. Example Narrative and Pathway

- 3.1 The following Theory of Change was produced by Yorkshire Film Archive as a result of following the Step-by-Step Guide.
- 3.2 It is not a rigid format, both the diagram and the text can be presented in other ways more appropriate to the creator.
- 3.3 The ToC should, however, be presented so that anyone reading about the project is given the fullest understanding of the rationale, context and implementation of the pilot, which will help them to develop a similar project.

In this example, the Pathway diagram follows the Narrative.

3.4 Yorkshire Film Education Pilot (Archive Film): [Project title]

Introduction

This narrative accompanies Version 1 of the pathway diagram; together they comprise the whole Theory of Change for the pilot in its development and start-up phase. Subsequent versions of the Theory of Change may be necessary as a result of any significant alterations to the project stemming from changes in operating circumstances and/or learning that takes place during the course of ongoing data collection and evaluation.

N.B. Yorkshire Film Archive's project will be funded by the Film Education Fund for 1 year. YFA, however, is voluntarily adopting the ToC as a blueprint for the development of online archive film education and are committed to measuring outcomes over 3 years.

1. The Project Goal

(D) The Yorkshire Film Archive aims to contribute to the Film Education Fund goal by: *Developing young people's appreciation of the region's film heritage via increased use of YFA content as an educational tool and the improvement of teaching methods.*

(A) The project goal was created to address a key problem:
Not enough young people have access to archive film as a learning resource because educators do not have:

- *Knowledge and understanding of archive film*
- *Access to archive resources and expertise*
- *Visual literacy skills to interpret archive film*

Evidence of the problem was identified through the development and subsequent delivery of the YFA *Learning & Access Strategy*, launched in Spring 2006.

(C) The underlying causes of the problem are:

- Perception of, and lack of exposure to, archive film among young people
- Limited time for teachers to dedicate to archive film education
- Low status of visual literacy in mainstream education and general limited use of media as a tool for learning (outside film, media and ICT studies)
- Lack of interpretation skills and awareness of the potential of archive film
- Lack of sustained financial resources

(B) The problem is underpinned by the following assumptions:

- Archive film has negative connotations for young people but, when they have access to it, they find it to be an engaging resource
- Archive film can support cross-curricular learning, but educators are unaware of specialist archive film
- Educators need skills development to use archive film in an educational setting
- Young people and educators need to share knowledge and expertise with archive and film education professionals in order to initially engage with archive film effectively
- The term 'archive film' refers to content produced by professionals and amateurs, including, but not limited to: feature and short films, television programmes, commercials, artists' film and video, experimental films, non-fiction films (e.g. documentaries, newsreels, industrial films, educational films, political and campaigning films, actuality films, home movies). Archive film can be from the earliest film made to something created yesterday.
- The term 'educator', in this project, is inclusive of those in the formal education sector i.e. qualified teachers, lecturers, parents teaching children at home and Local Authority education advisers; and those in the informal education sector i.e. cinema education officers and youth workers.

2. The Project Outcomes

The project outcomes were developed to address the perceived problem and its underlying causes.

(E)

Outcome	Issues addressed
Increased use of archive material in formal & informal education. (Shared with the Leadership Group's Theory for Film Heritage).	- Perception of, and lack of exposure to, archive film among young people - Low status of visual literacy in mainstream education and general limited use of media as a tool for learning (outside film, media and ICT studies) - Lack of interpretation skills and awareness of the potential of archive film
Increase policy interest in archive film education.	Low status of visual literacy in mainstream education and general limited use of media as a tool for learning (outside film, media and ICT studies)
YFA attracts the resources necessary to sustain and develop provision	Lack of sustained financial resources
Best practice model for archive film education.	- Perception of, and lack of exposure to, archive film among young people - Low status of visual literacy in mainstream

	education and general limited use of media as a tool for learning (outside film, media and ICT studies)
Increase confidence and skills of educators to deliver archive film education.	Lack of interpretation skills and awareness of the potential of archive film
Model evaluation tool for YFA's learning and outreach programme.	Low status of visual literacy in mainstream education and general limited use of media as a tool for learning (outside film, media and ICT studies)
Sustainable partnership between YFA and cinema exhibition sector.	- Perception of, and lack of exposure to, archive film among young people
Value of archive film as an educational tool is understood.	- Limited time for teachers to dedicate to archive film education - Low status of visual literacy in mainstream education and general limited use of media as a tool for learning (outside film, media and ICT studies)
Link to UKFC Archive Film Fund and Screen Heritage UK's Demonstrating Educational Value project.	Low status of visual literacy in mainstream education and general limited use of media as a tool for learning (outside film, media and ICT studies)

The outcomes reflect the need for impact, influence and leverage:

a. Impact

Effects that are about the individual beneficiary ('client-focused').

And effects that are about a group of beneficiaries ('community-focused').

b. Influence

Effects on policy, partnerships, media, the public, best practice and so on.

c. Leverage

Effects on the availability of new funds (changes in grant-giving practice) and other new non-financial assets (equipment, buildings, skills, knowledge etc.)

3. Activity/Outputs

Using the ToC method, a project would normally be designed to achieve pre-identified desired outcomes. The process, however, also works in reverse because when the activity is matched against desired outcomes, gaps can emerge and the project's delivery can be amended accordingly to ensure all outcomes are attained.

(F) To achieve their outcomes, YFA will create an Online Archive Film Education resource. During the pilot YFA will:

- Prepare a prototype website (a section of YFA Online) containing approximately 25 film clips on various subjects and contextual material for teachers.
- Recruit a representative range of educators to participate in the pilot including: school teachers, education officers at cultural venues, home educators and Local Authority Education Advisers.

- Deliver one educator training session (one day), delivered by YFA and Showroom for primary level
- Deliver one educator training session (one day), delivered by YFA and Showroom for secondary level
- Explore the use of archive film across a range of curriculum subjects through the training and the delivery of subsequent learning projects with young people
- Bring participating teachers back together in a Plenary Workshop to share their experiences of using the resource in the classroom
- Adapt the prototype site according to educator recommendations
- Launch the complete site in September 2009

The project in Year One will cost £33,000 and involve 2 members of YFA staff and 1 member of staff at Showroom Cinema.

A range of secondary activities (outputs) might be required to ensure all outcomes are attained, because outcomes may not automatically flow in a domino effect as shown on the diagram. Any secondary activities carried out in the first year of the project, or deemed to be necessary going in to year two, will be identified in the first Theory of Change report/review at the end of year one.

4. Indicators

The indicators below will draw out the ‘hard’ evidence of the outcomes. The numbers, however, will be backed up with stories i.e. soft/qualitative evidence about beneficiaries’ and partners’ perceptions of the project outcomes. Both quantitative and qualitative data collection methods will be outlined in the data collection plan.

For each outcome, a set of indicators was developed, each incorporating, where applicable, the following:

- Who or what we expect to change
- What measurement will illustrate success
- What the current baseline data for this population is (if available)
- What threshold we need to cross to claim success
- How much time we will need to reach the threshold

(G)

Outcome	Indicators
New audiences and learners engaged with YFA collections.	Who: Young people in primary and secondary education Measurement: New audiences. a. Number involved in an online archive film education projects b. number that have never been involved in a YFA project before. c. number that liked working with archive film and want to use it more in class Baseline: 0 Threshold: a. 240, b. 200 c. at least 80% Time: Before September 2009
	Who: Measurement: Participant diversity; range of ages and abilities. Baseline: NA Threshold: At least two educators of Special Education Needs

	<p>(one primary, one secondary) attends training and runs a classroom project. At least two educators (one primary, one secondary) from inner city schools working with higher numbers of BME pupils.</p> <p>Time: during pilot.</p>
	<p>Who: Young people in primary and secondary education</p> <p>Measurements: Learning outcomes.</p> <p>a. Confidence in analysing and discussing archive footage using film language.</p> <p>b. Access to a range of archive films from the last 100 years</p> <p>c. Application of archive film in a range of curriculum subjects</p> <p>d. Ability to produce original work using archive film clips</p> <p>Baseline: unknown</p> <p>Threshold: a. 80% (approx. 190 young people) b. 100% (240 young people) c. 5 subjects in addition to History, ICT and Media/Film d. 12 original pieces of work produced</p> <p>Time: During the pilot.</p>
Sustainable partnership between YFA and cinema exhibition sector.	<p>Who: Showroom</p> <p>Measurement: Regularity of YFA programming</p> <p>Baseline: Ad hoc</p> <p>Threshold: Formal incorporation in to Showroom Programme & Education Policies</p> <p>Time: Year One</p>
	<p>Who: Yorkshire Exhibition Sector</p> <p>Measurement: Number of exhibitors committing to deliver training to teachers on the Online Archive Film Education resource</p> <p>Baseline: 0</p> <p>Threshold: 2 exhibitors, at least one located in a rural area</p> <p>Time: After September 2009</p>
Model evaluation tool for YFA's learning and outreach programme.	<p>Who: YFA</p> <p>Measurement: Production of a Project Planning and Evaluation Policy based on Theory of Change.</p> <p>Baseline: No current evaluation framework</p> <p>Threshold: All YFA Learning & Outreach Programmes created using Theory of Change methodology.</p> <p>Time: Following the post-pilot Theory of Change review (date TBC)</p>
Increase confidence and skills of educators to deliver film archive education.	<p>Who: Educators</p> <p>Measurements: Trainee skills outcomes</p> <p>a. Confidence to create archive film projects that are innovative and cross-curricular.</p> <p>b. Familiarity with film language required for critical analysis.</p> <p>c. Ability to navigate the online resource and access material.</p> <p>Baseline: unknown</p> <p>Threshold: a. 80% at 5+ on scale of 1-10 b. 100% able to use elements of film language (24 educators) c. 100% (24 educators)</p> <p>Time:</p>
Best practice model developed	<p>Who: Educators</p> <p>Measurements:</p>

for online archive film education.	<p>a. Number involved in the pilot b. Number of implemented recommendations for prototype development, made by teachers based on classroom practice. Baseline: a. 0, b. 0 Threshold: a. 24, b. not applicable Time: Before September 2009</p>
	<p>Who: Regional Film Archives Measurement: Number of RFAs adopting and adapting the model in other regions/nations. Baseline: 0 Threshold: At least one. Time: Between September 09 and March 2010</p>
Increase policy interest in archive film education.	<p>Who: Schools Measurement: Number of schools participating in the pilot incorporating the online resource in to the school curriculum. Baseline: 0 Threshold: At least 5 Time: during the 09/10 academic year</p>
	<p>A communication/advocacy plan for the online resource, and associated indicators, will be developed when the pilot is reviewed/evaluated.</p>
Increased use of archive material in formal & informal education. (Shared with the Leadership Group's Theory for Film Heritage).	<p>Achievement of this outcome will be at Programme Level.</p>
YFA attracts the resources necessary to sustain and develop the project.	<p>Who: YFA Measurements: a. Financial resources, b. new delivery partners with in-kind resources. Baseline: 0 Threshold: a. £30,000 for project continuation, b. 1 partner in a rural area Time: resources secured in the 12 months post September 09.</p>
Value ¹ of archive film as an educational resource is understood.	<p>Who: Young people Measurement: Enjoyment value rating 1-10 Baseline: % of low expectation ratings (5 and under) gathered at the start of the project. Threshold: 80% at 5 and above Time: Ratings collected before and after each school project.</p>
	<p>Who: Primary educators Measurement: Cross-curricular application. Baseline: unknown</p>

¹ The term 'value', in the context of this project, is defined in three ways as per the indicators.

	<p>Threshold: Application of the resource demonstrated in subjects other than History and ICT. Time: During the pilot.</p> <p>Who: Secondary educators Measurements: Cross-curricular application. a. Range of school subjects covered with the online resource and b. number of teachers from the same school, in different subjects, using the resource. Baseline: unknown Threshold: a. Application of the resource demonstrated in subjects other than media studies, history and ICT and b. 5 schools commit to broadening the use of archive film. Time: a. during the pilot and b. in the 12 months after September 2009.</p>
	<p>Who: Film Education Leadership Group Measurement: Promotion of YFA project UK-wide. Baseline: NA Threshold: Project features as a best practice case-study in the 21st Century Literacy conference/website. Time: Post pilot completion and evaluation.</p>
<p>Link to UKFC's outcomes for Film Archive Fund Screen Heritage UK project: Demonstrating Educational Value.</p>	<p>Achievement of this outcome will fall to the Leadership Group.</p>