Home Office Indicators of Integration framework 2019

Theory of Change
Guide notes
Part A

May 2019

Contents

Introduction

Introduction

The purpose of these guidelines is to provide an easy and up-to-date point of reference on a Theory of Change for Integration. The objectives are two-fold:

1) Introduce a Theory of Change for Integration in the UK.

2) Encourage further consultation and review of a Theory of Change for Integration by civil society.

This working document is for anyone working on integration and seeking a Theory of Change for Integration. Further consultations will inform revisions of this framework.

This guide is not prescriptive but aims to map the multiple pathways to bringing about integration, rather than provide definite answers. This Theory of Change should be treated as a high-level theory of change for integration that can be adapted to suit the needs of specific contexts and programmes, rather than a checklist.

Part B of the document guides practitioners wishing to develop their own Theories of Change for Integration programmes and strategies.

How to use this document?

These guidelines should be used in conjunction with two other documents which explain what the Indicators of Integration are:

1) *Home Office Indicators of Integration framework* (Home Office, 2019a) – this report sets a vision for integration on which the Theory of Change for Integration has been built. It sets 14 indicators of integration and individual outcomes for each Indicator of Integration.

2) *The Indicators of Integration (IoI) Toolkit* (Home Office, 2019b) – this is an interactive tool with a dashboard which provides a question bank and sources of official data and national statistics already available. These resources can be adapted in data collection and used for comparing target group responses.

What is a Theory of Change (ToC) for Integration?

A ToC for Integration is a high-level theory of change that covers sectors and policy areas at a generic level. It provides a framework of reference to national and local agencies in developing their own Theories of Change.

A ToC for Integration shows how integration can become a reality. This ToC for Integration consists of a detailed diagram (Figure 3) synthesised in a one-page summary diagram (Annex 2). A ToC provides an overview of outputs and outcomes that can increase the socio-economic integration of the settled and incoming communities.

A ToC for Integration adapts the 2018 definition of integration (HM Government, 2018, p. 11): *"communities where people, whatever their background, live, work, learn and socialise together, based on shared rights, responsibilities and opportunities".*

A ToC for Integration is designed based on the framework provided in the Home Office Indicators of Integration (IoI) Report (2019) which was produced based on an extensive research, academic input and consultation with civil society.

The IoI framework states that *"The indicators can be used with a theory of change methodology to establish goals (the 14 high-level integration domains), where assumptions made about causality involved in reaching these goals and the appropriate outcome indicators are clearly stated, allowing progress against the goals to be measured and causal relationships to be re-thought where they are no longer supported by the evidence"* (Home Office, 2019a, p. 17).

The ToC diagrams are presented in a linear manner to demonstrate key milestones and concepts; however, in reality, the processes of change around integration are complex, multi-dimensional, multi-directional and contextual. Progress may go forward and backward. A ToC for Integration as an analytical framework can be adapted to specific contexts that integration practitioners operate in, than a strictly prescriptive map.

The new Indicators of Integration (Figure 1) have been adapted to formulate the Outcomes in the Theory of Change for Integration.

So, each Indicator of Integration (IoI) is represented by an outcome in a ToC. As in the IoI Framework, the ToC outcomes are grouped in four domains: Means and markers, Social connections, Facilitators and Foundation of integration. All outcomes are equally important and linked, each reinforcing or influencing the other.

Figure 1: New Indicators of Integration Framework (Home Office, 2019a).

Markers and means	Social connections	Facilitators	Foundation
Work	Bridges	Lanuage	Responsibilities and Rights
Housing	Bonds	Culture	
Education	Links	ICT	
Health and Social Care		Safety	
Leisure		Stability	

As each IoI has been accompanied by a set of individual outcomes in the Framework (Home Office, 2019a), the same indicators can be adapted to measure the outcomes and outputs from the ToC for Integration.

Introducing a Theory of Change for Integration

The four underlying principles of the Indicators of Integration framework underpin the Theory of Change model: integration is multi-dimensional, multi-directional, a shared responsibility and context specific (Home Office, 2019a). Also, a ToC for Integration recognises multiple interlinkages between integrative dimensions. There is no suggested hierarchy in the ToC model. None of the outcomes or outputs is more important than any other.

Figure 2: The steps of a Theory of Change for Integration

Step 1 **Problem**
A ToC begins with a problem definition which recognises that lack of integration among some segments of society is a reality and constrains their capabilities to access resources, services and contribute to society.

Step 2 **Barriers**
The barriers in a ToC outline key obstacles to effective integration practices.

Step 3 **Interventions & Strategies**
Several examples of interventions, good national and local practices are provided in a ToC. Interventions and strategies fall into two categories: mainstreamed at all levels and targeted to promote particular aspects of integration or address specific inclusion gaps.

Step 4 **Outputs**
Each domain-related block of outputs is influenced by each of the interventions leading to them.

Step 5 **Assumptions**
The ToC is underpinned by assumptions made, based on research, about how outcomes can be achieved and how the contextual and enviornmental factors may impact on the achievement of outcomes.
The assumptions in any intervention explain why an organisation believes an intervention can work.

Step 6 **Outcomes**
Each outcome represents an integrative domain proposed in the new IoI framework.
The causal arrows between outcomes show that every box of outcome can affect any other outcome box.

The complex inter-linkages between outcomes will be further defined by the systematic collection of data using the IoI.

Step 7 **Impact**
All outcomes in a ToC, supported and influenced by each other, lead to impact - an adequate integration of all members of society regardless of their background who live, work, learn and socialise together, based on shared rights, responsibilities and opportunities.

Figure 3: A Theory of Change for Integration

https://www.gov.uk/government/publications/home-office-indicators-of-integration-framework-2019
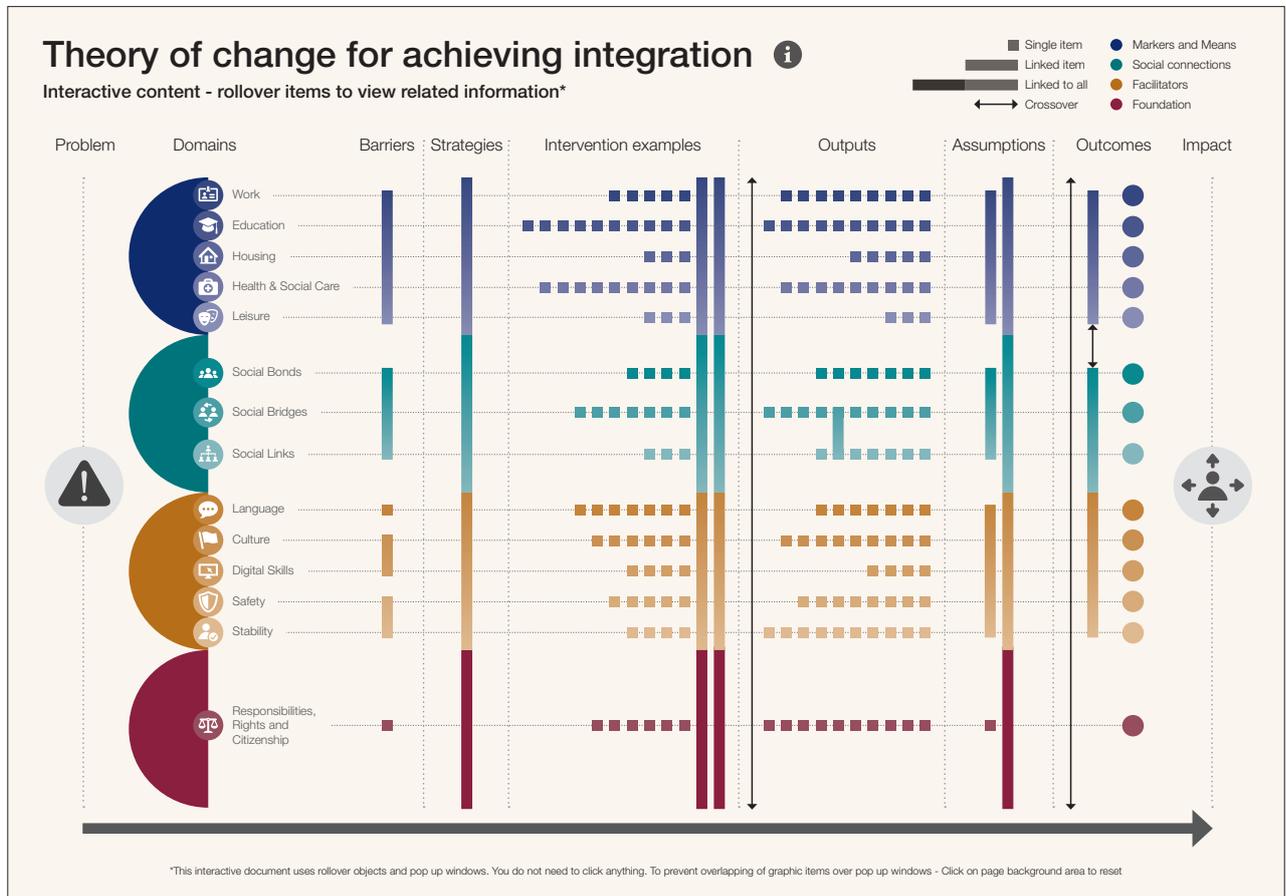
Assumptions (hypothesis)

The use of this model simplified complex issues so they can be illustrated in the diagram. The model obscures many underlaying assumptions on how change may happen.

Based on research, a ToC for Integration has listed non-exhaustive general assumptions across all integrative domains explaining how integration can happen, as follows:

- Integration is a two-way process:
  - Incoming and settled communities share responsibility to promote integration, rights and responsibilities of all.
  - Other institutions, government actors also have a role to play.
- NGOs, community-based organisations and refugee community organisations also have a role in the process of change for bringing about integration; they should be supported in advocating for people's rights and providing access to services.
- Agency of all people is a key component of integration and so a ToC relies upon individuals taking steps to claim and exercise their rights and that this will support integration of all.
- Rights and responsibilities are reciprocal.

Besides the general assumptions, a ToC for Integration has listed several more specific assumptions:

- Means and markers:
  - Socioeconomic integration of migrants leads to better economic opportunities for both migrants and settled communities.
  - Migrants and refugees can compete and succeed in the labour economy, move, and find adequate housing and leisure opportunities.
- Social connections:
  - Social connections make communities more cohesive.
  - Migrant and settled communities mix and develop social links.
  - Migrants are willing to develop supporting bonding relationships with others.
  - Settled communities are welcoming and adapting.
  - Migrants can adapt physically and emotionally.
- Facilitators:
  - Migrants and refugees are willing to and can attain adequate language and ICT competency.
  - The public discourse challenges racial discrimination and promotes diversity.
  - Hate crime and violence against migrant and settled communities is prevented and adequately addressed.
- Foundation:
  - Citizenship options are available and help access rights.

Examples of interventions

The interventions support the creation of an enabling environment and target specific barriers to integration. The examples provided in a ToC for Integration derive from the national and local good practices mentioned in the IoI Framework (Home Office, 2019a). The suggested interventions are not exhaustive, as effective programme design will need to respond to an array of context-specific factors. For example, in some situations, economic empowerment is key as economic dependency can be a factor hindering integration, but also be crucial in other areas, such as improving health, social mixing, and attaining adequate cultural and ICT competencies.

The causal arrows between interventions indicate that every box of intervention can affect any other intervention box. For instance, interventions promoting adequate housing influence people's feelings of safety and stability; or interventions advocating for access to citizenship will shape access to employment, education, health and so on.

Using Theory of Change for Integration in practice

Annex 1 presents several practical examples how a ToC for Integration can be adapted in practice.

Further reading

- For further details on developing a Theory of Change for Integration programme, see Guide Notes, Part B.

- Center for Theory of Change – available at: https://www.theoryofchange.org

References

HM Government (2018) Integrated Communities Strategy Green Paper. Available at: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/696993/Integrated_Communities_Strategy.pdf [accessed 03/04/2019]

Home Office (2019a) Home Office Indicators of Integration Framework. London

Home Office (2019b) Indicators of Integration Toolkit. London

Annex 1: Examples of using a Theory of Change for Integration in practice

The following case studies show how the Theory of Change for Integration can be used or adapted in programme design. Each example is presented in different context and at a varied level of organisational resources, showing how the ToC and IoI Framework can be used by organisations of minimal, medium and enough resources for evaluation. Part B guides practitioners in developing their own theories of change.

Case study 1

A national non-governmental organisation NGO in the West Midlands with enough resources for evaluation aims to strengthen social cohesion and increase safety of migrant and settled communities. The project manager is about to initiate programme planning to contribute to achieving such commitments. The following steps in Table 1 show how a ToC for Integration can help in programme design.

Table 1: An example of adapting a ToC for Integration in programme planning in organisation with enough resources

Step	Adaptation of a ToC for Integration	Case study example (hypothetical)
A	Identify which **domains** of integration the programme will tackle (see *the ToC diagram or the 2019 IoI*) and adapt to **define your project aim or desired impact** that you would like your programme to achieve.	**Domain:** Safety and social bridges **Project aim/impact:** To address high levels of racial harassment and promote social mixing
B	Locate the selected domain of integration at the **outcome level of a ToC** and adapt it to define your outcome/s of the programme.	**Project outcome:** Migrant and settled communities are cohesive and safe in their local areas
C	Explore the **output** areas for your intervention (within the column of boxes under outcome/s you selected in step B). Select outputs relevant to your programme and adapt them to define your outputs.	**Project output 1:** Improved awareness of anti-discrimination law and reporting crime and violence **Project output 2:** Increased social relations between settled and migrant communities

| D | See the **individual outcomes of Indicators of Integration in the IoI framework** (Guide Notes, Part B, Annex 2) and adapt the ones matching your **outcomes and outputs.** | **Project outcome indicators:**

• % reporting experience of racial, cultural or religious harassment or incidents
• % reporting a hate crime
• % reporting that people of different backgrounds get on well in their area

Assumptions:
These indicators assume that reporting feelings of safety by migrants and reporting that 'people of different backgrounds get on well' is indicative of migrants and settled communities being safe and cohesive. Assumptions should be supported by research.

Remarks for evaluation:
Outcome and output indicators can be verified by using quantitative and qualitative data collection methods, for example referring to existing official data and national statistics, or conducting your own evaluation surveys, focus group discussions and interviews with project beneficiaries (see guide B). It is helpful to establish the baseline data to be able to demonstrate progress at the end of the project. Also, it is useful to validate findings by combining qualitative and quantitative research methods, using 'triangulation'. See Part B of the Guide for further guidance on data collection.

The IoI Toolkit provides a range of questions for individual outcomes of the Indicators of Integration which can be used in the data collection/ evaluation methods to help measure selected indicators.

Project output indicators:

• Self-reported feeling of safety when walking alone outside during the day/night
• % of local people expressing positive perceptions towards others in their local community
• % local people (migrant and settled communities) who report mixing with people from different ethnic or other backgrounds in everyday situations

Indicators should be disaggregated by gender, age, ethnicity and any other social identity markers relevant to programme impact assessment/evaluation (e.g. migrant status) |

E	Explore the **interventions and strategies** in a ToC to define programme initiatives or propose other relevant interventions. Each initiative should correspond to your defined project outcomes/outputs and indicators.	**Project initiatives:** • Awareness campaign about discrimination law and reporting • Organising community cultural events for settled and migrant communities to get to know each other *Once your ToC framework is in place, develop an action plan with the detailed tasks, activities and responsibilities.*

Case study 2

An organisation with **medium resource** for evaluation in York aims to ensure that all girls from migrant and refugee communities have adequate access to secondary and tertiary education. They hope to see all migrant and refugee girls thriving in schools and their communities.

Table 2: An example of using a ToC in programme planning in organisation with medium resource

Step	Explanation	Case study example
A	Identify which **domains** of integration the programme will tackle *(see the ToC diagram or the 2019 IoI)* and adapt to **define your project aim or desired impact** that you would like your programme to achieve.	**Domain:** Education and Culture **Project aim/impact:** Migrant and refugee girls enrolled in secondary education and access to tertiary education
B	Locate the selected domain of integration at the **outcome level of a ToC** and adapt it to define your outcome/s of the programme	**Project outcome:** Migrant and refugee girls enjoy inclusive secondary education for all
C	Explore the **output** areas for your intervention (within the column of boxes under outcome/s you selected in step B). Select outputs relevant to your programme and adapt them to define your outputs.	**Project output 1**: Achievement of five or more GCSEs/Standard Grades at 9-4 (A*-C) and of two or more 'A' level or Advanced Higher passes by migrant and refugee girls **Project output 2:** Admission to tertiary education and to university by migrant and refugee girls

| D | See the **individual outcomes of Indicators of Integration in the IoI framework** (Guide Notes, Part B, Annex 2) and adapt the ones matching your **outcomes and outputs.** | **Project outcome indicator:**
Secondary students' self-reported feeling of belonging at school

Assumption:
This project assumes that self-reported feeling of belonging at school is equivalent to enjoying an inclusive education. The stronger the evidence base the more reliable assumption can be made.

Project output indicators:

• % achieving five or more GCSEs/Standard Grades at 9-4 (A*-C) (or equivalent educational attainment of children between the ages of 12 and 16 years)
• % achieving two or more 'A' level or Advanced Higher passes (or equivalent educational attainment of children and young people aged 17 and 18 years)
• % young people and adults achieving admission to tertiary education and university

Data disaggregation:
The above three output indicators should be disaggregated at least by gender, age and legal status. Data can be obtained from local authorities and official data upon the Freedom of Information Act 2000 (c. 36) which entitles the public to access information held by public authorities.

Assumption:
This project assumes that achievements in schooling and admission to tertiary education lead to inclusive experience of education among migrant and refugee girls. Such assumption depends on the strength of the evidence available.

If resources permit, consider collecting the baseline data in order to be able to record progress against the end-line project data. Also, if possible, take measures to validate data through combining different research methods (using 'triangulation') to ascertain the strength of research findings. See Part B of the Guide for further guidance. |

E	Explore the **interventions and strategies** in a ToC to define programme initiatives or propose other relevant interventions. Each initiative should correspond to your defined project outcomes/outputs and indicators.	**Project initiatives:** • Outreach to migrant and refugee communities with information about local schools in the catchment areas through collaboration with community organisations • Supporting families to file school applications • Peer mentoring of students • Monitoring enrolment rates from school catchment areas • Provision of information on scholarships and bursaries • Awareness raising about the importance of education and opportunities available • Provision of academic and progression support and advice recognising diverse needs *Once your ToC framework is in place, develop an action plan with the detailed tasks, activities and responsibilities.*

Case study 3

A small organisation with **minimal resource** for evaluation in Blackpool aims to encourage the reporting abuse and seeking of support. They would like to contribute to an increased safety and protective environment for migrant women.

Table 3: An example of using a ToC in programme planning in organisation with minimal resource for evaluation

Step	Explanation	Case study example
A	Identify which **domains** of integration the programme will tackle (see the ToC diagram or the 2019 IoI) and adapt to **define your project aim or desired impact** that you would like your programme to achieve	**Domain:** Safety **Project aim/impact:** To seek to increase reporting rates of gender-based violence among migrant women
B	Locate the selected domain of integration at the **outcome level of a ToC** and adapt it to define your outcome/s of the programme	**Project outcome:** Migrant women live free from violence
C	Explore the **output** areas for your intervention (within the column of boxes under outcome/s you selected in step B). Select outputs relevant to your programme and adapt them to define your outputs	**Project output 1:** Sufficient awareness of how to report sexual victimisation, including domestic violence **Project output 2:** Community-level prevention and response mechanisms to gender-based violence

D	See the **individual outcomes of Indicators of Integration in the IoI framework** (Guide Notes, Part B, Annex 2) and adapt the ones matching your **outcomes and outputs.**	**Project outcome indicators:** The IoI Framework does not provide direct indicators to assess the above outcome, yet the following proxy indicators from the IoI Framework could be used: • % of women reporting sexual victimisation and/or domestic violence • % reporting feeling fearful or insecure **Assumption:** A considerate assumption relates to presuming that lower reporting rates of gender-based violence (GBV) and feeling fearful is equivalent to women's reporting rate of living free from violence, which may be not true, because lower reporting rates can indicate a culture of silence and barriers in reporting violent incidents faced by victims/survivors. This assumption depends on the strength of evidence available. The stronger the evidence, the better links and assumptions made. **Remarks for evaluation:** For measuring the indicators, the basic quantitative and qualitative measures could be put in place to evaluate progress of intervention, for example conducting a pre-project (baseline), mid-project and post-project survey with beneficiaries of the project or sample group of target population, or focus-group discussions/interviews. **Output indicators:** • % of migrant women reporting awareness of how to report sexual victimisation, including domestic violence • Number of a community-level prevention and response initiatives to GBV **Remarks for evaluation:** Instead of choosing statistical indicators, organisations with minimal resource for evaluation could use project outputs to evaluate progress, such as project periodic reports referring to project outputs, meeting minutes and activity outputs e.g. meeting presentations, leaflets. *If resources permit, consider collecting the baseline data in order to be able to record progress against the end-line project data. Also, if possible, take measures to validate data through combining different research methods (using 'triangulation') to ascertain the strength of research findings. See Part B of the Guide for further guidance.*

E	Explore the interventions and strategies in a ToC to define programme initiatives or propose other relevant interventions. Each initiative should correspond to your defined project outcomes/outputs and indicators.	**Project initiatives:** Sensitisation of migrant women about GBV reporting mechanism in health centres, schools and community centres and other public safe spaces Assigning community focal points for dissemination of GBV preventative messages in community safe spaces Training focal points strengthen and disseminating the local referral pathways for survivors of GBV among service providers Once your ToC framework is in place, develop an action plan with the detailed tasks, activities and responsibilities.

Case study 4

An organisation with minimal resource for evaluation in Solihull aims to ensure that all girls from migrant and refugee communities are safe and live free from harmful traditional practices.

Table 4: An example of using a ToC in programme planning in organisation with minimal resource for evaluation

Step	Explanation	Case study example
A	Identify which domains of integration the programme will tackle (see the ToC diagram or the 2019 IoI) and adapt to define your project aim or desired impact that you would like your programme to achieve.	**Domain:** Culture Project aim/impact: All migrant and refugee girls live free from harmful practices and enjoy good health
B	Locate the selected domain of integration at the outcome level of a ToC and adapt it to define your outcome/s of the programme.	**Project outcome 1:** Sufficient awareness of UK law in pertaining to everyday life and practices that are not legal in the UK Project outcome 2: Migrant and refugee girls enjoy good health
C	Explore the output areas for your intervention (within the column of boxes under outcome/s you selected in step B). Select outputs relevant to your programme and adapt them to define your outputs.	**Project output 1:** Sufficient awareness of harms of and transformed attitudes toward practices illegal in the UK **Project output 2:** Inclusive access of refugees and migrants to health services Adequate access of refugees and migrants to specialised NHS services

D	See the **individual outcomes of Indicators of Integration in the IoI framework** (Guide Notes, Part B, Annex 2) and adapt the ones matching your **outcomes and outputs.**	**Project outcome indicators:** • % aware of and adhering to UK law in relation to practices that are not legal in the UK (e.g. Female Genital Mutilation (FGM), domestic violence) **Remarks for evaluation:** This indicator could be used as **a proxy indicator** for assessing whether migrant and refugee girls live free from harmful practices by assuming that the awareness of their guardians/parents translates in avoiding such practices. Alternatively, another indicator could be adapted, corresponding to an output, to better evaluate progress using minimal quantitative or qualitative evaluation methods; for example, a knowledge, attitudes and practices (KAP) survey measuring awareness of and attitudes toward harmful practices among migrant and refugee communities. Questions provided in the IoI Toolkit against specific indicators could be used in evaluation methods: • % expressing good self-rated health and wellbeing (by migrant and refugee girls) **Project output indicators:** Adapted indicators against Output 1: • Level of awareness of girls and their parents/guardians about the harms of harmful practices • % of girls and their parents/guardians expressing intolerance of/condemning harmful practices The individual outcomes of IoI can be adapted for Output 2: • % registered with a GP • % registered with a dentist • % accessing specialised NHS services when needed • % utilising preventions services (e.g. immunisation) • % of individuals understanding how to access health and social care

20			**Remarks for evaluation:** The above indicators can be used using official data, where available (see the IoI toolkit and sources of data listed), through local authorities (using the Freedom of Information Act 2000 (c. 36)) which entitles the public to access information held by public authorities) or conducting basic surveys with sample project beneficiaries. Data to be disaggregated by gender and age. Also, for example, focus group discussions and interviews with beneficiaries can be applied using the questions provided in the IoI Toolkit (against a specific outcome IoI). *If resources permit, consider collecting the baseline data in order to be able to record progress against the end-line project data. Also, if possible, take measures to validate data through combining different research methods (using 'triangulation') to ascertain the strength of research findings. See Part B of the Guide for further guidance.*
	E	Explore the **interventions and strategies** in a ToC to define programme initiatives or propose other relevant interventions. Each initiative should correspond to your defined project outcomes/outputs and indicators.	**Project initiatives:** • Organising cultural events and meetings with settled communities to learn about the British culture for migrant and refugee families • Raising awareness about the harms of harmful practices in a culturally-sensitive approach through refugee and community organisations, and faith-based organisations • Improving health literacy of migrant and refugee girls and their families • Supporting girls' access to health and social care services through local community organisations *Once your ToC framework is in place, develop an action plan with the detailed tasks, activities and responsibilities.*

Annex 2:
The Summary of a Theory of Change for Integration

The summary diagram of the Theory of Change for Integration synthesises the comprehensive diagram for a top-level overview.

Theory of change for achieving integration ⓘ

Interactive content - rollover items to view related information*

Legend:
- Single item
- Linked item
- Linked to all
- Crossover
- Markers and Means
- Social connections
- Facilitators
- Foundation

Problem	Domains	Barriers	Strategies	Intervention examples	Outputs	Assumptions	Outcomes	Impact
	Work							
	Education							
	Housing							
	Health & Social Care							
	Leisure							
	Social Bonds							
	Social Bridges							
	Social Links							
	Language							
	Culture							
	Digital Skills							
	Safety							
	Stability							
	Responsibilities, Rights and Citizenship							

*This interactive document uses rollover objects and pop up windows. You do not need to click anything. To prevent overlapping of graphic items over pop up windows - Click on page background area to reset

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