



**UNIVERSITY  
OF ALBERTA**

Peter Lougheed Leadership College  
INT D 306 Leadership for Social Innovation

Course Workbook



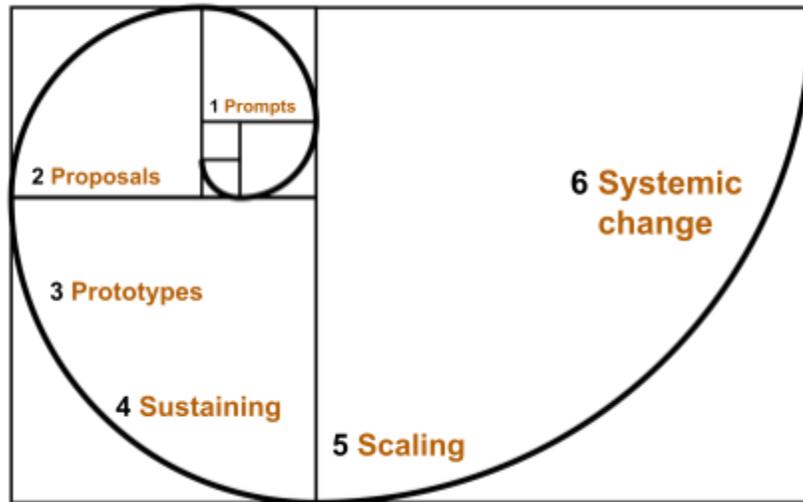
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## The Social Innovation Process



Source: *The Open Book of Social Innovation*

*Social innovation refers to the creation, development, adoption and integration of new and renewed concepts, systems and practices that put people and planet first. At their best, social innovations tackle the root causes of problems by changing the systems that are causing the problem.*

-Unlocking Canadian Social Innovation

*The adjacent possible is a kind of shadow future, hovering on the edges of the present state of things, a map of all the ways in which the present can reinvent itself. ... The strange and beautiful truth about the adjacent possible is that its boundaries grow as you explore them. Each new combination opens up the possibility of other new combinations.*

-Steven Johnson, *Where Good Ideas Come From*

## **Instructions**

This workbook is intended to provide a structured process for completing the team project in this course. Students will work in small groups under the guidance of a Teaching Fellow as they complete this set of activities.

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## Introduction

In this course, we will explore leadership for social innovation through an evidence-based practice (EBP) approach. The EBP approach emphasizes informed decision-making based on *well-warranted effectiveness predictions*. In other words, EBP is leadership practice guided by clear reasoning supported by the best available knowledge. Social problems are, however, complex, and EBP also raises questions about *trustworthiness* of knowledge sources versus the *relevance* of evidence when we make decisions about implementing a specific social policy or program. We will consider some of those challenges and how they might (or might not) be reconcilable with the principles of evidence-based practice.

Of course, the best way to learn about evidence-based practice is to start doing it. As such, we will be undertaking applied, team-based projects in this course. You will learn how to design and carry out a rapid review of evidence, generate ideas for innovation, and develop an effectiveness argument to convince others of its merits. The inspiration for this activity comes from two sources. First, is the “A-Team” initiative introduced by the South Australian government.<sup>1</sup> This initiative brought together young leaders in public service, universities, and community groups to develop innovative ideas for tackling difficult social issues such as homelessness and early childhood development. In this model, small groups of A-teams are formed and work together for a short period of time to research and create proposals for innovative ideas that will respond to an identified need in the community. They then pitch their ideas to government officials, and some are chosen to be taken forward for piloting.

The second source of inspiration is the “World’s Challenge Challenge” (WCC) that the University of Alberta participates in each year. Similar to the WCC format, this course will involve small groups choosing and researching a global problem that you are passionate about based on the UN’s Sustainable Development Goals. This course workbook sets out a series of activities that will take you and your team members through a clearly defined social innovation process. The team project is an active and hopefully exciting way to engage in discussions about sustainable positive social change. Moreover, the project is intended to teach a set of essential skills in evidence based practice to support good leadership practice. These will be helpful when faced with having to generate new ideas while inspiring others to join your effort to make a difference in the world.

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<sup>1</sup> Kohli, J., & Mulgan, G. (2010). “South Australian A-Teams,” in *Capital Ideas: How to Generate Innovation in the Public Sector*. (pp. 10-11) Retrieved from <https://cdn.americanprogress.org/>

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## Scenario

*Let's imagine:* The UN's Research Institute for Social Development has launched a competition to encourage social innovations related to the 17 Goals set out in the [2030 Agenda for Sustainable Development](#). The inspiration for the competition comes out of a document called "ID100: The Hundred Most Important Questions in International Development" authored by the Sheffield Institute for International Development. The UNRISD-SIID report is based on a research project to undertake "a wide-ranging consultation and priority-setting exercise" that included more than 700 people from 34 countries. The result was the creation of [a report that includes a list of 100 priority questions](#) for the international development agenda.

Our imaginary competition requires the formation of multidisciplinary teams of emerging leaders working together to propose evidence-based ideas that respond to one or more questions from the UNRISD-SIID report. We will call these **iTEAMS** in this course workbook. Each iTEAM is free to choose to focus their response locally, regionally, or globally. An important requirement is that the proposals must be evidence-based; in other words, the innovation must be founded on a clearly stated effectiveness argument supported by trustworthy and relevant sources of evidence.

For example, question 58 in the UNRISD-SIID report states, "How can the expansion of small and medium enterprises in lower-income countries be best supported?" This question falls under the wider theme of Economic Growth, Employment and the Private Sector with the goal of supporting inclusive models of growth for all. The question is also [responsive to several of the UN's Sustainable Development Goals \(SDGs\)](#) including 1-No Poverty; 8-Decent Work and Economic Growth; 10-Reduce Inequality (see figure below). Question 58 is framed as a global issue, but an iTEAM could turn it into a regional or locally-focused question by narrowing the scope while still contributing to the global SDGs.



For example, question 58 (which we will use as an example case throughout this workbook) as will likely prompt an iTEAM to consider an inclusive social innovation project that can support the expansion of SMEs in lower-income countries. However, while still acknowledging the importance of this issue for developing countries, an iTEAM could instead choose to revise the question to give it more of a local focus and to consider SMEs in northern Canada, or Edmonton, or perhaps rural Alberta. The innovation idea could take many forms, such as a microfinancing service, a new approach to entrepreneurial training, or perhaps a digital platform for creating social capital for SME advocacy.

The fundamental requirement is that the innovation idea must be evidence-based. To meet this requirement, members of that iTEAM will need to design and undertake a rapid systematic review of the scientific literature in the subject area, locate relevant studies, assess their quality, and summarize the most significant findings. Based on findings relevant to their topic area, each iTEAM will carry out an ideation process leading to an innovation idea.

In addition, each iTEAM will create a logic model to establish a set of criteria that could be applied to evaluate a pilot project based on the innovation idea. We won't have time to carry out pilots in this course but the evaluation criteria will be essential to include in a proposal that your iTEAM will pitch to a panel of "judges" during a presentation at the end of the course.

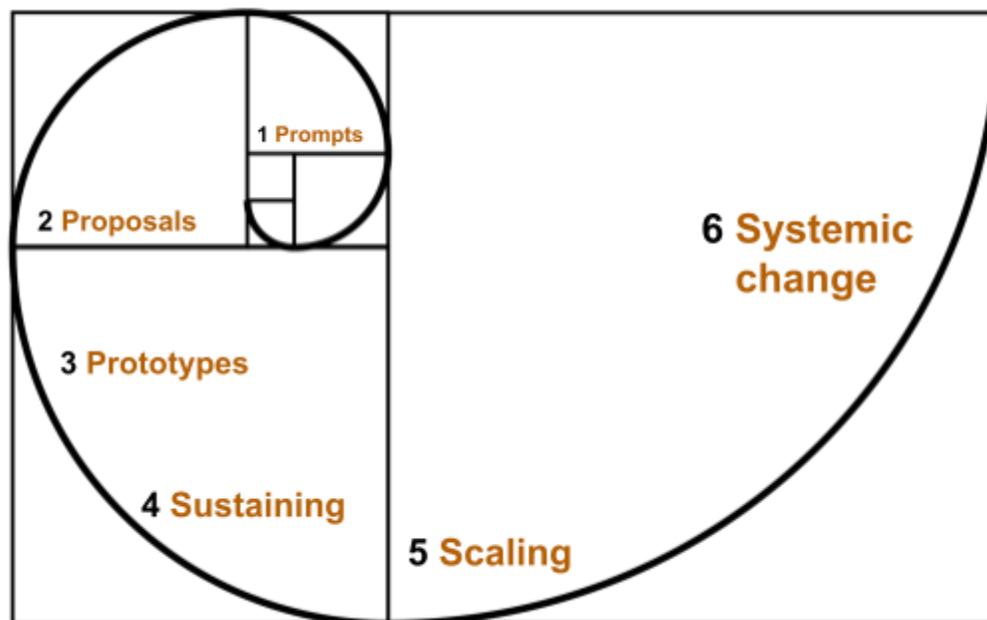
### Activity 1.0 (Week 1): Form into groups and choose a name for your iTEAM

- Teaching Fellows will assist in forming iTEAM groups for the course.

## The Assignment

We will be organizing several iTEAMS in this course. Each iTEAM will develop an evidence-based proposal and pitch presentation. The assignment is, as described in the previous scenario, to propose an innovative idea and propose a plan of action that responds to a question (or a related set of questions) from the UNRISD-SIID report. The proposal must be evidence-based and, therefore, will require that the iTEAM undertake a rapid systematic review of peer-reviewed literature to establish a well-warranted effectiveness argument.

In this course, we will follow a Social Innovation Process (SIP) model based on *The Open Book of Social Innovation*.<sup>2</sup> This is a 6-step model, of which we will be concerned primarily with steps 1-3 in this course. However, the proposal that your iTEAM will create should reference steps 4-6 because they are the follow-up to a successful pilot. Here is the basic SIP model:



<sup>2</sup> Murray, R., Caulier-Grice, J., & Mulgan, G. (2010). *The Open Book of Social Innovation*. Retrieved from <https://youngfoundation.org/wp-content/uploads/2012/10/The-Open-Book-of-Social-Innovation.pdf> Note the use of the “golden spiral” as a metaphor for the model. The spiral is based on the golden ratio, which is a logarithmic pattern of growth found throughout nature. Why might the authors of *The Open Book* have chosen this symbol to represent the social innovation process?

**Prompts, inspirations and diagnoses** -- in this stage we consider the aspirations, facts, and failings that highlight the need for change. The UNRISD-SIID report provides us with a set of prompts in the form of 100 peer-reviewed research questions. The UN’s SDGs and Sustainable Development Agenda itself provide further inspiration related to the goals, facts and failings in sustainable development that set an “agenda” for innovation. The SIID report is the first source of evidence you will use to identify and justify the focus and rationale for your proposal.

Prompts inspire ideas and will help your iTEAM to develop a focus for its efforts. The next crucial step is to **diagnose** the problem. Just like in medicine, a diagnosis goes beyond describing symptoms to identify root causes. Often these symptoms are of a systemic nature, involving many different influences in complicated interactions. The challenge of the iTEAM project is to identify the *causal principles and support factors* relevant to the problem and its solution. To help you with this step, you will conduct a rapid systematic review of the scientific literature to better understand the problem you will be tackling. You will then apply a Problem Tree analysis technique to articulate possible root causes based on evidence from your rapid review.

**Proposals, and ideas** -- this is the idea generation stage. In this course we will use an Opportunity Tree analysis along with other methods to generate innovative **ideas** responsive to the problem diagnosis identified in the first stage. The important consideration in this stage is to build ideas from the evidence and insights gathered during the first stage. You may find that additional research is helpful during this stage in coming up with or validating innovative ideas. Your iTEAM will develop a proposal that describes your diagnosis of the problem, presents evidence to support that diagnosis, sets out a goal or objective, and recommended action you believe could help to address the root problem (or a significant part of the root problem).

**Prototyping, pilots, and action plans** -- this is the stage where you create a plan of action for your proposal. It is possible to implement and test a proposal using a variety of methods ranging from paper-prototypes to randomized controlled trials. This is an action research stage that can also help to build coalitions of support, reveal and (hopefully) resolve stakeholder conflicts, and activate “the adjacent possible” (we’ll learn more about that term later). Evaluation criteria play a crucial role in drawing together different perspectives and in understanding how measures of success come to be agreed upon for an innovation. In this course, we won’t have the time necessary to develop a full prototype or undertake a pilot study, but you will develop a pitch for a proposal that will include a description of how your innovation idea should be implemented and evaluated.

**Sustaining** -- this is the stage when the innovation has demonstrated merit and decisions need to be made about how to keep it going beyond the prototype stage. The prototype may undergo a

transformation from its original form during maturation. During this stage, we need to consider the financial, sociocultural, and environmental factors that will carry the innovation forward into the future. We need to think about things like business plans, human resources, legal and regulatory frameworks, and generational change.

**Scaling and diffusion** -- at this stage an innovation moves from a relatively small set of instances to widespread uptake and use. The reality is that for many (perhaps most) innovations, this stage is not likely to happen in a significant way. Demand for innovation is achieved through generating awareness among different stakeholders, using evidence to support a case for its value, and ultimately in transforming social practice in a way that the innovation is adopted and used widely. Scaling can entail *replication* in other locations independently or in collaboration with the initial organization or team of innovators. It could involve *emulation* with other organizations taking a similar but slightly different approach or idea. It can involve commercial arrangements (e.g., exclusive licensing, social enterprise) or it can be scaled through open access resources and other forms of support available at low or no cost.

**Systemic change** -- this is the crowning achievement of social innovation. Many elements have to come together for this to happen--social movements, business models, laws and regulations, infrastructure, and new ways of thinking and doing. This is a type of deep-seated change involving social and institutional structures and relationships, usually emerging out of a network of numerous smaller related (and sometimes unrelated but consequential) innovations. Systemic change can be viewed in an evolutionary sense as the stage that expands the horizon of the “adjacent possible.” Transformative leaders foster a vision for systemic change and then steward the process through the various stages. Coalitions of support are vital building blocks, and time (patience, persistence, faith!) is required for change to happen in a significant way. However, failure to achieve systemic change with any particular innovation is likely more common than not. Don’t be discouraged. It is the cumulative impact of many innovations that is more likely to lead to systemic change.

Your iTEAM innovation idea will emerge from the effort you put into the **Prompts, Proposals, and Prototyping** stages. Your pitch will, however, need to consider the **Sustaining** and **Scaling** stages. What will it take to sustain and grow the innovation if it shows promise? A vision for **Systemic change** should be presented at the beginning of the proposal and provide a consistent theme that motivates and justifies the innovation.

## Stage 1 part A: Prompts and Inspiration

### Choosing a Prompt

In the first stage of the SIP model we consider the aspirations, facts, and failings that highlight the need for social change in a particular area. The innovation process begins with a **prompt** that serves as a *trigger for action*. In some cases, this is a **general call to act** but doesn't specify an action. For instance, "we need to end homelessness in Edmonton" is an *imperative* without a specific plan of action. General calls to act sometimes come unexpectedly from external forces, such as natural disasters ("we need better social supports for post-disaster recovery") or they can emerge from research findings or other evidence gathered from a variety of sources ("recent studies show that the province's harm reduction strategy is not cost-effective; we need a better way to help people cope with addiction").

We can think of a general call to act as a first-order prompt. It might get our attention and inspire us to think about how we might address it, but it doesn't point us toward a specific solution or suggest a plan of action; or, perhaps more accurately, it may inspire numerous competing proposals for the "best" solution, or several possible actions that might be considered.

To advance toward action, we need to "reformulate the problem in such a way as to stimulate workable solutions." The problem needs to be "interrogated and contextualized" (Open Book, p. 14). This step involves reframing the problem in such a way that it contains the seeds of its solution. In other words, we need to diagnose the problem to go beyond the symptoms to get to the root causes of it. Often these causes are multiple and complex, and a plan of action usually has to set some priorities, perhaps focussing on some causes over others.

*The Open Book of Social Innovation* lists many possible triggers, including crisis, poor performance, new technologies, and new evidence (see p. 15-17). New evidence might play an important role in this stage for your projects, but we first need to begin with a more general set of prompts to recognize problems that your iTEAM can take into consideration before deciding which one(s) to take on for the project. One problem recognition method mentioned in *The Open Book* is "mapping needs" which refers to a process by which we survey an area of interest in order to reveal unmet social needs, unjust conditions, or other potential opportunities for social innovation. In this case "mapping" is used metaphorically to describe a process by which we come to represent an area of knowledge to locate gaps or identify domains of opportunity.

The UNRISD-SIID report provides a "map" consisting of 100 questions that "address a varied combination of long-standing problems that have hindered the development agenda for decades

as well as new challenges emerging from broader socioeconomic, political, and environmental changes” (Summary, p. vii). The report states, “we believe that these questions can act as starting points for debate, research and collaboration between academics, practitioners, and policymakers.” (p. viii).

The first step in Stage 1 for your iTEAM is to review the UNRISD-SIID report, consider the various prompts in the report (i.e., the 100 questions), and decide which question or combination of questions your iTEAM will take up for the course project.

One strategy is to review the 9 macro-thematic sections first, then narrow your focus to look at questions within one of those sections. Another strategy is to delegate different thematic sections to members of the group, with each person identifying 2-3 interesting questions from their theme. Then compare questions identified from across the 9 themes and narrow your focus until you arrive at a specific prompt that your iTEAM members can agree on.

As you consider the questions, it will be important that they are researchable within the scope and constraints of this course. You may find some questions are very broad and abstract, making them difficult starting points (e.g., “How can models of compensation best address the unequal distribution of responsibilities for and costs of climate change?”). Other questions are more focused and will serve better as prompts for this project (e.g., “What factors best explain the reduction in urban violence where it has occurred?”). Your Teaching Fellow will be able to help you with this step, and it might involve some preliminary research before you make a final decision.

As you consider the questions, you might be inspired to come up with your own prompt in the form of a question not included in the report, or a new prompt that emerges when two questions are combined. This approach may be acceptable as a starting point, but you will want to check with your Teaching Fellow and Instructor before committing to it.

Answer the questions below and begin work on your iTEAM blog as you complete this step. Take a group photo of your iTEAM members and post it along with a brief commentary as a blog entry.



### Activity 1.1 (Week 2): Choose a prompt and start your iTEAM blog

Your group will need to create a digital blog to document your progress as you complete the 15 activities in this workbook. For this course, we will use Blogger as the platform for the iTEAM

blogs. This is a group effort but one member of the team will need to create a blog on their UAlberta Blogger account. The responsibility for weekly posts and upkeep of the blog can be assigned to one or two members as lead curators, or equally shared by all members of your iTEAM.

This course workbook is organized into 3 Stages, with about 15 specific activities. At a minimum, each iTEAM blog will have one entry for each activity. Each blog entry should briefly describe the activity, results, and any difficulties encountered or breakthroughs that might have happened with the activity. Include a screenshot of your work, links to external sources, or consider including short video clips of your work and/or commentary.

Share the link to your iTEAM blog on eClass (week 2).<sup>3</sup> The Instructor and Teaching Fellows will be checking it throughout the course, providing comments, and assigning a mark for it at the end of the course. Other iTEAMS may also want to look at your blog posts during the course.

*Take a photo/screenshot of your iTEAM members, or choose a GIF and post it as the first blog post. Then in the next entry for Activity 1.1, answer the following questions as your second blog post:*

- What macro-themes from the UNRISD-SIID report did you consider for your project?
- What specific questions from the UNRISD-SIID report did you consider?
- What specific question(s) have you decided on for our iTEAM project?
- What UN Sustainable Development Goal(s) are related to your question(s)?
- What were the difficulties you had with this process? How did you arrive at consensus among your group members? Does the question represent the disciplinary backgrounds of group members, personal interests, or other considerations?

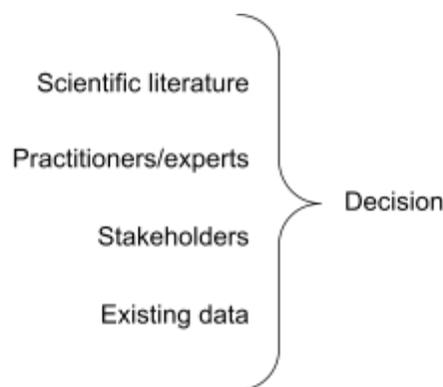
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<sup>3</sup> iTEAMS may wish to prevent search engines from finding their blog to better protect your privacy. Go to Blogger dashboard, then Settings/Privacy and disable "Allow search engines to find your blog". You may also want to limit comments to users with Google Accounts. Go to Settings/Comments and select "Who can comment?" then choose "Users with Google Accounts".

## Stage 1 part B: Diagnosis

Having located a prompt and inspiration for your iTEAM project, the next crucial step at this stage is to **diagnose** the problem. Just like in medicine, a diagnosis goes beyond describing symptoms to identify root causes. Often these are of a systemic nature that involve many different influences in complicated interactions. The challenge and goal of the iTEAM project is to come up with an innovative approach that addresses the root causes of a problem instead of just the symptoms.

Getting at root causes can be a difficult prospect. In this course, we will be taking an evidence-based practice (EBP) approach. EBP is based on the central idea that “good-quality decisions should be based on a combination of critical thinking and the best available evidence” from multiple sources ([Barends et al., 2014](#)). *Best available evidence* is, of course, the key phrase here and “trustworthiness” is a term used to describe how evidence is appraised. The literature on EBP identifies four sources of evidence that can inform decisions:



As will come up later in the course, the scientific literature sometimes receives preferential treatment within EBP discourse; in fact much of the impetus behind the initial introduction of EBP in healthcare settings was to improve medical interventions by encouraging doctors and nurses to make better use of clinical (scientific) evidence in their practice ([Briner & Walsh, 2013](#), p. 50). Today, the healthcare field is still predominant within the EBP literature, but the approach has also found a home in the management and leadership fields as a strategy to guide innovation and inform organizational and social change.

Putting EBP into practice involves six basic skills:

1. *Asking*: translating a practical issue or problem as an answerable question
2. *Acquiring*: systematically searching for and retrieving the evidence

3. *Appraising*: critically judging the trustworthiness and relevance of the evidence
4. *Aggregating*: weighing and pulling together (synthesizing) the evidence
5. *Applying*: incorporating the evidence into a decision-making process
6. *Assessing*: evaluating the outcome of the decision taken

It is important to recognize that good EBP involves “the conscientious, explicit and judicious use of the best available evidence from multiple sources” (Barends et al., 2014). In other words, it involves careful selection and use of the four sources of evidence described above, but it leaves open the question of what order we should be consulting these sources. In some cases, it makes sense to begin with practitioners and stakeholders then move to the scientific literature and available data. In other cases, perhaps the available data provides insights that prompt further investigation with practitioners. In most situations, however, good EBP will involve overlapping or iterative consultations with multiple sources of evidence as the process evolves and more becomes known about the problem and its possible solutions.

In this course, we have limited time and resources. Access to practitioners, stakeholders, and available data is also constrained. In this type of situation, it makes sense to begin with a source of evidence that is most readily available to your iTEAMS, which will be the scientific literature. While scientific literature should not be considered the only, or even the most trustworthy source of evidence, it provides an excellent and easily accessible starting point for identifying the root causes of a problem and suggesting ideas for innovative solutions.

So for this course, our EBP approach to the iTEAM project will begin with a **Rapid Review** of the scientific literature to locate studies related to the problem you will be taking up. The Rapid Review process that we will follow in this course engages the first four EBP skills listed above: *asking, acquiring, appraising, and aggregating*.

Later in the course, the findings from the Rapid Review will be applied to help you to develop a logic model (EBP skill five: *applying*). The logic model provides a foundation for developing an effectiveness argument that will inform your proposal and pitch presentation (EBP skill six: *assessing*).

To briefly summarize: the next step in the Social Innovation Process (SIP) is to diagnose the problem that lies behind the prompt you have chosen for your iTEAM project. Diagnosis requires us to learn about the root causes of a problem and possible solutions. We will take an Evidence Based Practice (EBP) approach to identify root causes and possible solutions. Our EBP approach will focus on the scientific literature using a Rapid Review activity, although we want to recognize that this will emphasize only one type of evidence and that in practice we would need to consult other sources of evidence to correspond with good EBP.

The table below shows the relationship in this course between SIP, EBP skills and the iTEAM project activities.

<b>SIP Stage</b>	<b>EBP Skills</b>	<b>iTEAM Project Activity</b>
Prompts	Asking	Review of SDG goals Review of 100 key questions
Diagnosis	Acquiring Appraising Aggregating	Rapid Review
Proposal	Applying	Ideation leading to innovation proposal
Prototyping	Applying Assessing	Develop a logic model and evaluation criteria for the project
Sustaining, Scaling	An iterative process involving all EBP skills	---
Systemic Change	---	---

## Conducting a Rapid Review

Rapid Reviews are a systematic method for identifying and synthesizing the scientific literature within a particular topic area. They are a mini version of the more comprehensive method known as a Systematic Review (SR), which is closely associated with evidence-based practice. While not as extensive or widely applicable as an SR, a rapid review is particularly useful when a critical and rigorous method for locating evidence is required but time and resources are limited. Policymakers often work on short deadlines and SRs are not practical, so a rapid review streamlines the process while attempting to maintain transparent and reproducible search methods. The timeline for a rapid review is typically a few weeks, which is better suited to the iTEAM project for this course.

There are four basic steps to a Rapid Review:

1. Develop and clearly articulate an answerable research question
2. Search for the research evidence
3. Appraise the information sources
4. Summarize/synthesize the evidence

We will work through each of the steps as your iTEAM carries out a rapid review to locate evidence related to the prompt/topic you have chosen for your project.

### Step 1: Develop the Question

The UNRISD-SIID report provides a list of 100 prompts. These prompts are more specific than a general call to action (e.g., “let’s end poverty”) but will likely still be less specific than what is needed to begin to carry out a rapid review. A rapid review must be *focussed*, *systematic* and *replicable*, which requires us to develop the prompt into a focussed, answerable question. This involves parsing the prompt to identify key concepts, keywords, and relationships between those concepts and keywords that we can then use to plan a systematic search strategy.

The **CLIP framework** is one approach we can use to parse the prompt into a more focussed question.<sup>4</sup> CLIP stands for **C**lient group, **L**ocation, **I**ntervention, and **P**ractitioners. When using CLIP, you ask the following questions: Who will the innovation be aimed at (Client group)?

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<sup>4</sup> Other methods have also been developed, including PICO which is commonly used in healthcare settings. See, for instance, [the guide created by the City University of London library](#). Your iTEAM is free to try other methods if they are useful.

Where will the innovation take place (Location)? What change do you want the innovation to make (Intervention)? Who could be involved in implementing the intervention (Practitioners)?

For example, returning to our UNRISD-SIID sample question 58 from earlier: “How can the expansion of small and medium enterprises [SMEs] in lower-income countries be best supported?”

Using the CLIP framework we can parse that prompt into a set of related concepts or keywords:

*Client group:* Small and medium sized enterprises

*Location:* Lower-income countries

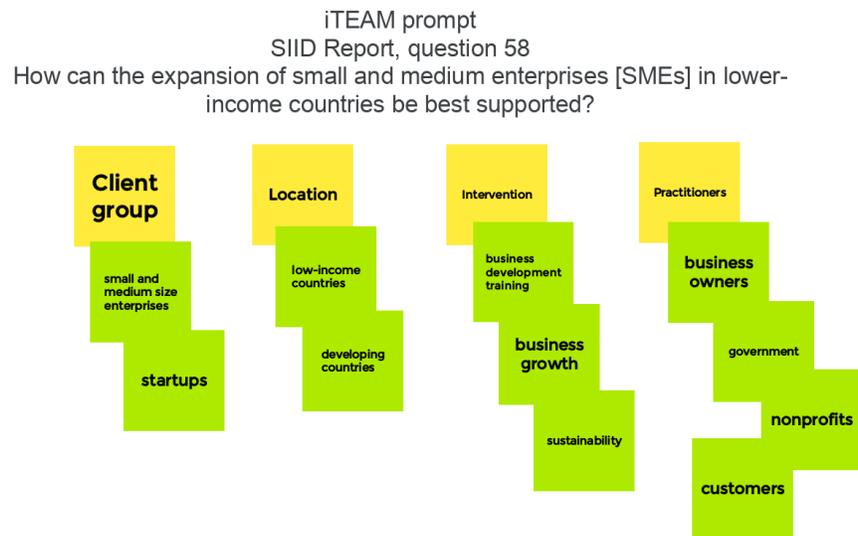
*Intervention:* Support business growth; business development; sustainable businesses

*Practitioners:* Business owners, government, nonprofit organizations, customers

The CLIP framework is applied to generate a set of keywords that you will need to plan an effective (and efficient) search strategy that will return relevant studies and reports. It takes some effort upfront to analyze your prompt using CLIP but it sets into motion the process of thinking more deeply about the topic and more clearly defining the scope and context of the problem and your approach to it.

## Activity 1.2 (Week 3): Use CLIP to structure your question

On a posterboard or flipchart [for online collaboration [copy this Google Jamboard](#) and add it to one of your iTEAM member accounts], write down the prompt at the top. Then create a row or column for each category in CLIP. Discuss each category with your iTEAM members then write down at least one keyword for each category on a Post-it note and stick it in the corresponding spot. Try to come up with 2-3 keywords and variations of them for each category.



There are some things to consider when generating keywords:

- Formal subject headings (search for variants in the [Library of Congress LCSH database](#))
- Alternate spelling (e.g., US, British)
- Alternate endings (e.g., entrepreneur, entrepreneurial, entrepreneur\*)
- Synonyms (use a thesaurus)
- Acronyms (e.g., SMEs)
- Ask a librarian for help!
- Do a quick scoping search using Google Scholar to look for different keywords used in studies or reports related to your topic/prompt.

As you complete this activity, write a brief commentary on the process for your blog entry. Did you struggle to come up with keywords? Did the process result in any new insights about your topic or prompt? Take a photo/screenshot of your CLIP worksheet and results to include in the blog post.

## Step 2: Develop a Search Strategy

A Rapid Review is a systematic and transparent process, which means that your search process must be carefully planned in a way that can be shared with and replicated by others. Results from the search must be detailed and vetted in an orderly manner. The first step is to generate a list of key concepts that will form the basis for the search strategy.

Using our previous example from UNRISD-SIID question 58, the CLIP analysis reveals at least three core concepts/keywords:

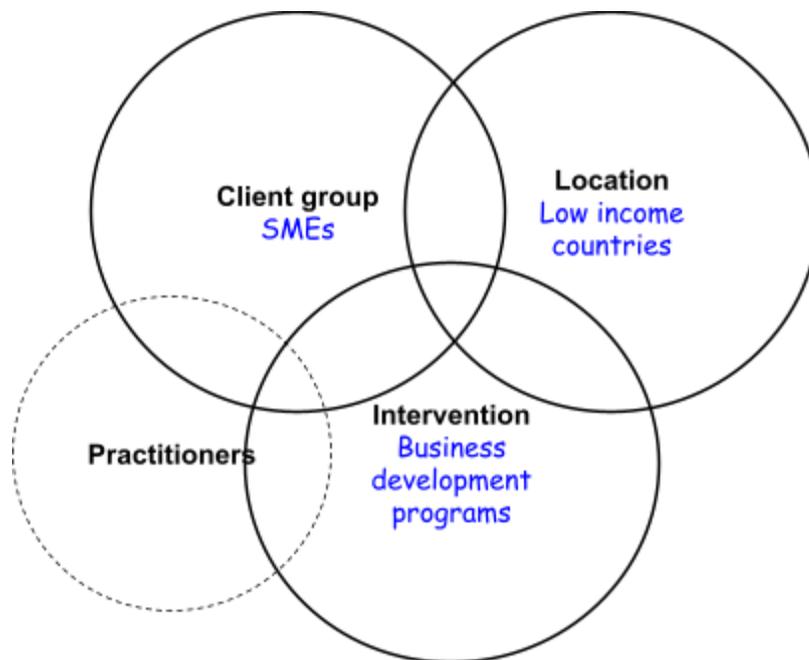
Concept 1: “small and medium enterprises” (SMEs)

Concept 2: “lower-income countries”

Concept 3: “business development programs”

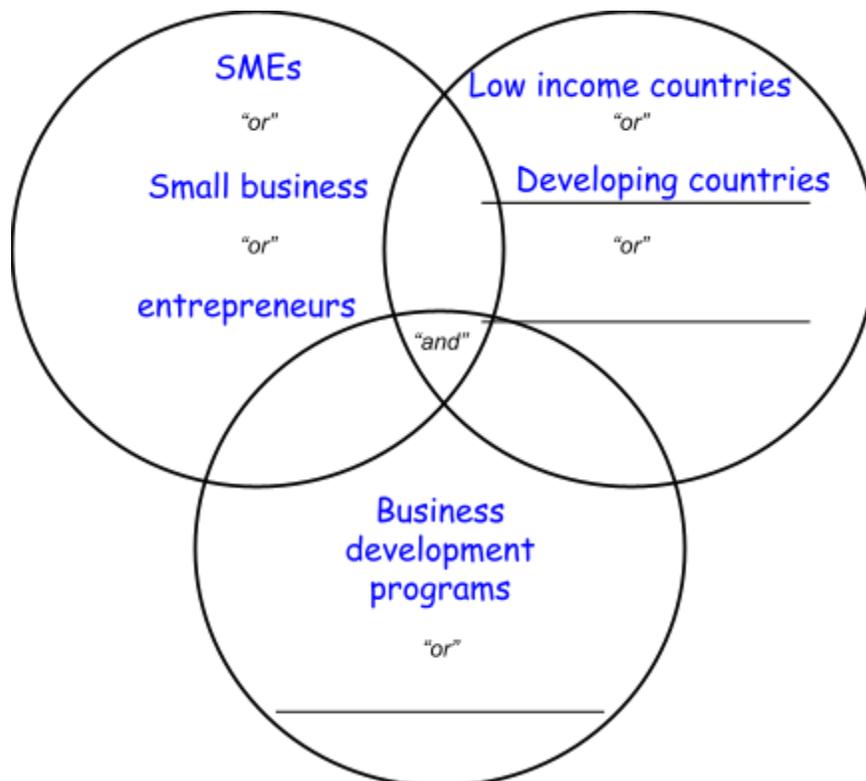
In this case, the fourth CLIP category *Practitioners* is a scoping term related to Client groups and Intervention programs. It may not be necessary to include it in the search strategy at this initial stage, so it can remain in the background for now; however, it may be useful when there is a need to further target the search strategy to consider certain practitioner groups.

We can then use a Venn diagram to start to build a search strategy by placing each concept within a circle as illustrated below. Each circle represents a distinct *conceptual domain*.



The next step is to list synonyms and related keywords in each of the conceptual domains as illustrated below. A search strategy is then organized by using Boolean operator “OR” between terms within each conceptual domain and the operator “AND” for combining terms from across the conceptual domains.

For example a combined search string might be, “SMEs” OR “small business” OR “entrepreneurs” AND “low income countries” AND “business development programs”.



When documented, this approach is both systematic and transparent. It also has the advantage of being thorough in choosing keywords and synonyms to ensure the search will be efficient and capture as much of the relevant research as possible in the area.

Your iTEAM will work with a Teaching Fellow to parse your question using CLIP and then to generate a set of keywords and concepts. Remember these things when generating keywords:

- Formal subject headings (Library of Congress)
- Alternate spelling (e.g., US, British)
- Alternate endings (e.g., entrepreneur, entrepreneurial, entrepreneur\*)
- Synonyms (use a thesaurus)

- Acronyms (e.g., SMEs)
- Ask a librarian for help!

The next step in developing the search strategy is to consider sources of information beyond Google and Google Scholar (although these are good starting points and should be included in your search strategy). The Rapid Review should aim to be rigorous but efficient, so choosing an appropriate database is important. The University of Alberta library offers [a collection of subject guides](#) that can serve as a starting point.

Generally speaking, you will want to choose a database that includes academic (peer-reviewed) sources in the subject area relevant to your research question. In the example provided, a logical starting point would be to go to the subject guide for “Business” and consider the databases listed in that area. The site lists some “best bets” such as ABI Inform Complete or Business Source Complete.

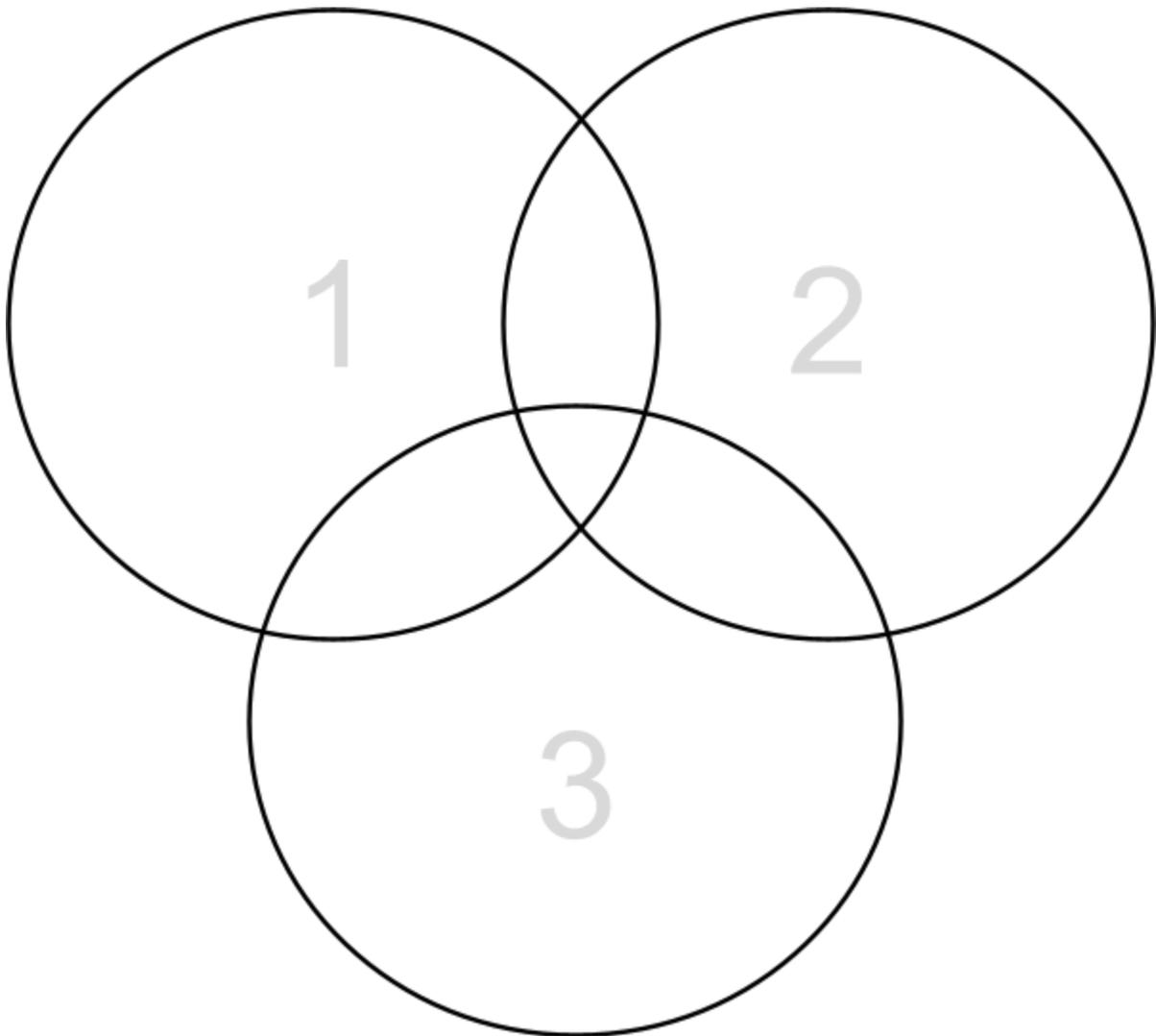
However, keep in mind that the example question deals with low income countries and sustainable development goals to address poverty, so these databases might not include all of the relevant journals and reports from other subject areas. Always be sure to do an informal exploratory search before you commit to a database!

A good practice is to include a general purpose database like “Academic Search Complete” in your search strategy. It is also *a really good idea* to ask a librarian to help you with choosing appropriate databases for your search.

Choose at least 2 academic databases for your Rapid Review plus an organized Google Scholar search. You will need to carefully document your search process and results. It’s okay to do a series of informal exploratory searches as you are planning your strategy, but *once you begin the formal search process, each step must be organized and documented.*

 Activity 1.3 (Week 3): Complete a Venn diagram and search strategy form

- Identify and list three conceptual domains for the question from your CLIP analysis in Activity 1.2.
- Write the concepts in a Venn diagram and generate additional keywords for each domain;
  - Use the Jamboard template provided earlier for this activity;
- *Capture and comment on this process for a blog entry as you complete this activity;*
- Complete a search strategy development form (next page)



## Search Strategy Development Form

Use Boolean operator “OR” downward in columns

Use Boolean operator “AND” across rows

Keywords from circle 1	Keywords from circle 2	Keywords from circle 3
SMEs	low income countries	business development programs
Small business*	Developing countr*	growth
Entrepreneur*		sustainab*

Use this table to create your search string(s) that you will enter into the database. For example, based on the 5 keywords above, we would enter the following string:

(SMEs OR small business\* OR entrepreneur\*) AND (“low income countries” OR developing countr\*) AND (“business development programs” OR growth OR sustainab\*)

If we had even more keywords in each column we would include those too.

Note that the correct format of the search string may vary depending on the database you are using. Consult with a librarian if you are unsure.

Now consider what limits you might want to put on your search: year, language, document source (e.g., you might want to filter to include only peer-reviewed articles).

You can also use the “NOT” operator to eliminate sources with specific keywords when attempting to limit search parameters. Be careful with using the NOT operator at the beginning. It may be better to use it at a later stage of the search when you are filtering search results.

### Activity 1.4 (Week 3): Choose your databases

You can begin with Google or Google scholar as a first pass to get a general sense of what evidence might be available in your topic area; however, for the Rapid Review you will need to select at least 2 databases available through the University of Alberta library to undertake your formal search for evidence.

What databases has your iTEAM decided are most suitable for your question and search strategy?

1. \_\_\_\_\_

2. \_\_\_\_\_

Others to consider:

3. \_\_\_\_\_

4. \_\_\_\_\_

What steps did you take as a group to decide that these are suitable databases for your Rapid Review?

*Don't forget to add this activity to your iTEAM blog!*

 **Activity 1.5 (Week 3): Organize your iTEAM for the Search Strategy**

The Rapid Review must be systematic, rigorous, and replicable. This means that your iTEAM will need to be organized *before* you start to do the search. The need for efficiency within the time constraints of the course also means that you will need to assign roles and responsibilities among team members.

This is a suggested arrangement, but it will vary depending on the size of your iTEAM:

**Confirm your concepts and keywords:** brainstorm as a group but assign two members to work with a librarian to complete and validate the final list.

**Database selection:** assign two group members to create and rank a list of potential databases with the help of a librarian. These members should also become familiar with how the search function is laid out on the database and how to save and export search results to reference management software. As a group, decide which 2 databases you will choose.

**Divide your team into two subgroups and assign one database to each subgroup.** Within your subgroups assign 2 members to conduct the searches and 1 member to manage the results using **reference management software (RMS) such as Zotero, Mendeley, or Endnote**. Create shared folders in the software for each subgroup to import their results. Create a third shared folder for your iTEAM where you will eventually combine results from the two subgroups. You may wish to designate one iTEAM member to be the lead for setting up and managing the bibliographic software.

If you are unfamiliar with reference management software, [the UA Library has a helpful guide](#) to get you started in choosing a platform. Zotero and Mendeley have free versions that will probably suffice for the iTEAM project. Ask for help from a librarian if you need further support.

### Step 3: Conduct your search and record your results

With your iTEAM split into 2 subgroups, two members from each subgroup work together to carry out a series of searches using the keyword strings from the Search Strategy Development Form. The third member in each subgroup carefully records the search process and results and curates the results using the reference management software (RMS).

For example, searching ABI Complete with our example of SMEs in low income countries:

Search 1: “SMEs” AND “low income countries” AND “small business development programs” (and limited to peer reviewed articles only) leads to two results, one of which is in Spanish. At this point, however, we don’t want to evaluate the results but simply save the search and export the results to an RMS.

Search 2: “small business” AND “low income countries” AND “small business development programs” leads to 15 results. Again, we save the search and export results to an RMS.

A search of the Academic Complete database using the same keyword combination from search 2 produced 66 results, including development policy journals and other sources outside of business. Save the results and export to an RMS.

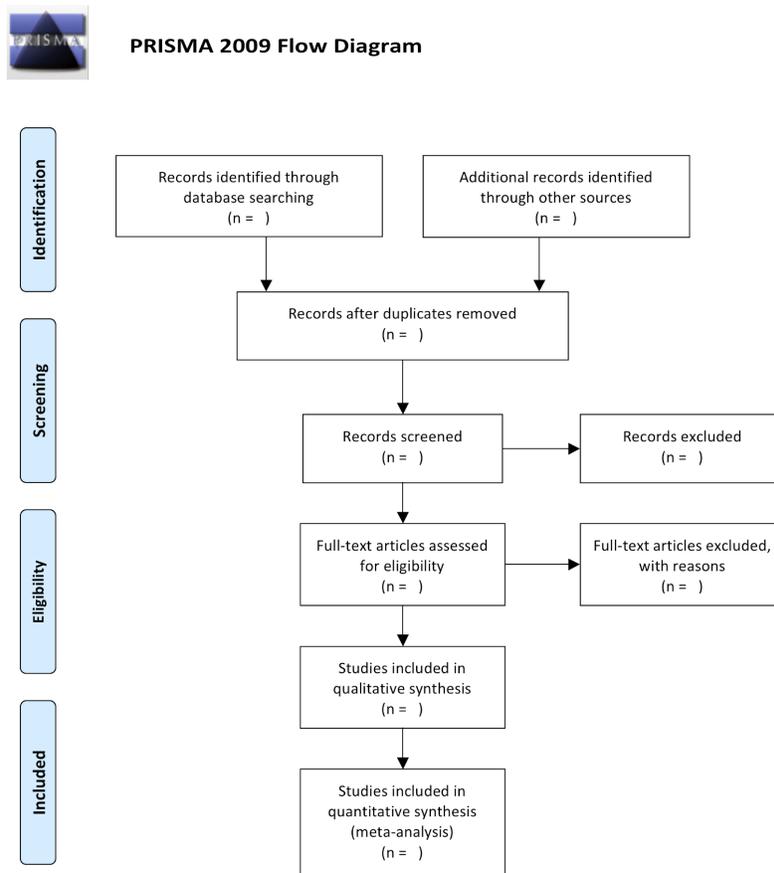
If results from a search are lost during export, then simply repeat using the same terms. (This is why it is important to keep a record of the process as you go along).

Run one or more searches with your keyword string(s) and save the results.

### Activity 1.6 (Week 4): Complete a PRISMA Flow Diagram

Having completed the initial search, the next step is to assess the results that have been exported to an RMS. This process is carefully documented using [a PRISMA Flow Diagram](#). The first step is simply to document the number of records identified. See the **Identification** step in the diagram below.<sup>5</sup>

Then quickly skim the titles and abstracts of your results, you should get a quick indication of whether a record is relevant or not for your project. Remove any duplicate records. Then move any records that do not meet your inclusion criteria or that are clearly not relevant or helpful into a separate folder in your bibliographic software. Record this step in the **Screening** section of the PRISMA chart.



From: Moher D, Liberati A, Tetzlaff J, Altman DG, The PRISMA Group (2009). Preferred Reporting Items for Systematic Reviews and Meta-Analyses: The PRISMA Statement. PLoS Med 6(7): e1000097. doi:10.1371/journal.pmed1000097

For more information, visit [www.prisma-statement.org](http://www.prisma-statement.org).

<sup>5</sup> Here is an online PRISMA generator that may be useful for this activity: <http://prisma.thetacollaborative.ca/>. For the “Number of Articles Excluded During Data Extraction” section you can input 0 (zero).

Now organize the members of your iTEAM into partners and divide the remaining records up, so that each partner group is assigned an equal portion of records leftover after the first screening.

The next step is to carry out an **Eligibility** screening. To do the eligibility screening, use a scoring system of 1 to 3, with 1 being “very relevant”, 2 “unsure”, 3 “not relevant”. This step will require a closer look at the title and abstract for each record, and may require a more detailed examination of the contents. If you need to do a closer examination, do not try to read the article in depth, but instead start by skimming the introduction and conclusion sections.

Partners then compare their results. They keep any records that they both scored as 1 (relevant) and exclude any records they both scored as 3 (not relevant). If one partner scores a 2 for a record, then take a few minutes to discuss it. If you can’t agree on its eligibility then set it aside.

Any remaining records scored as “2” (uncertain) are then exchanged with another partner group for a second round of eligibility screening. If that pair group can’t agree on eligibility, then exclude the record.

The outcome of this screening process is a set of “Full-text articles assessed for eligibility” with the results recorded in the **Included** step of the PRISMA flowchart. For this course, we will be doing a rudimentary *qualitative synthesis* of records. (There are methods for synthesizing quantitative studies into “meta-analyses” which we won’t cover in this course).

By this point, your iTEAM should have reduced the total number of eligible records to a reasonably manageable size (aim for about 6-12 good quality studies that appear relevant to your prompt).

As you work through these screening and eligibility steps do not try to do an in-depth reading of specific studies. The goal for now is simply to reduce the number of records and locate studies or reports that appear to be *most relevant* to your prompt and based on your CLIP analysis.

Complete a PRISMA flow diagram for your iTEAM as you do this activity. Save an image of your flowchart or create a .png/.jpg chart [using this online PRISMA generator](#) and post it to your blog, along with commentary reflecting on your group’s experience with the process.

## Step 4: Gather and synthesize the evidence

Having completed the search and screening steps, your iTEAM group should now have a small collection of records relevant to your prompt. The next step is to assess the evidence in those studies and reports by doing a simple synthesis of the findings: how do these studies characterize or diagnose (one or more) root causes related to your prompt? Are they similar in their characterization? Do they differ? Is there consensus or competing views? If they do not directly mention root causes, what can you surmise as possible root causes based on these studies?

Guidelines used in Evidence Based Practice will often rank the trustworthiness of sources based on a **Pyramid of Evidence**. At the top of the pyramid are Systematic Reviews (of which Rapid Reviews are a subset) which compile, evaluate, and synthesize evidence from many studies using a strict methodology to control for bias. These are sometimes known as “meta-analyses” when studies are quantitative.

### What is best evidence?

Systematic reviews

Meta analyses

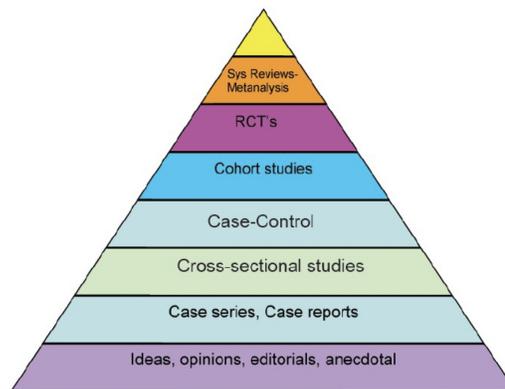
RCT's

Non-controlled trials

Basic science trials

Observation studies

Case studies



Individual RCTs (random controlled trials) are ranked higher than other types of research designs based on perceived rigour by which the results were generated and peer-reviewed. At the bottom of the pyramid is evidence from non-peer reviewed and non-scientific sources, including “ideas, opinions, editorials, anecdotes.” These are considered to be least trustworthy when applied beyond the specific context of the particular research study in which they are reported.

Although it is widely used and accepted, the Pyramid of Evidence raises important questions for EBP, particularly when it comes to social policy and social innovation. More specifically, it pits the *perceived trustworthiness* of a study’s methodology and results versus its *actual relevance* when applied in other settings, especially when actual conditions and support factors may differ significantly from those in the study. Course readings will address this concern in more detail.

Gathering and synthesizing the evidence requires that members of the team divide up and read through the final results of the search process. If you have been able to narrow the results appropriately, this should be a reasonable number of articles for each member (3-4 articles per group member is suggested). Focus your reading on the **Abstract**, **Introduction**, and **Conclusion** sections. These usually contain key premises, description of methodology, findings, and recommendations. Expand to other parts of the article as necessary to get further details.

Search results for our previous example with SMEs in low income countries turned up the article

Fox & Sohnesen (2016) “Household Enterprises and Poverty Reduction in Sub-Saharan Africa.” *Development Policy Review* 34: 197-221. doi:[10.1111/dpr.12152](https://doi.org/10.1111/dpr.12152)

The article concludes its analysis:

The analysis shows that in Mozambique HE [household enterprise] creation and employment is associated with higher consumption in both rural and urban areas, and upward mobility in particular for rural and poorly educated households. Encouraging households to create *HEs therefore seems like a positive policy option in generating employment, growth and poverty reduction*. And with 34% of households already relying on HEs, any improvement in income from existing HEs would be likely to contribute even further to poverty reduction. [emph. added]

The findings from this study suggest that home enterprises (HE) are a special type of SME that can contribute to poverty reduction in low income countries. The study also provides a recommendation for improving the expansion of HEs thereby suggesting a potential innovation opportunity (highlighted):

Policies targeted at alleviating the specific constraints faced by HEs – which in Mozambique range from inadequate infrastructure to poor urban services, to too few ways to manage household and business risk – could yield a quick payoff as countries struggle with their own employment challenges ...

Mozambique *may wish to draw on successful experiences in countries such as Ghana*, where urban planning and programming explicitly included HEs, *developing workplace clusters and markets in areas where foot traffic is heavy*, so that HEs can reach their customers. [emph. added]

This single article contributes to the project in three ways: first, it provides evidence to suggest that home enterprises (“HEs”) are an important subset of small and medium size enterprises, and that they can play an important role in poverty reduction. An innovation project might, for example, focus on the HEs (the “C” in CLIP) rather than all types of SMEs. Second, the article provides some leads to consider what types of interventions might be useful (the “I” in CLIP) noting that “workplace clusters” might help HEs reach their customers. Thirdly, the article suggests “successful experiences” in Ghana and other countries (the “L” and “P” in CLIP). The contributions are summarized below:

- *Client group*: Household Enterprises (HEs) as a category of SMEs
- *Location*: Ghana mentioned as a successful comparator
- *Intervention*: findings point to creating “workplace clusters” as a potential intervention
- *Practitioners*: HEs working together can make a significant contribution to poverty reduction in low income countries.

Let’s pause and retrace our steps to review where we are now in the process:

*Having located a prompt and inspiration for your iTEAM project, the next crucial step at this stage is to **diagnose** the problem. Just like in medicine, a diagnosis goes beyond describing symptoms to identify root causes. Often these are of a systemic nature that involve many different influences in complicated interactions. The challenge and goal of the iTEAM project is to come up with an intervention that responds to the root causes of a problem instead of just the symptoms.*

Before we can get to a diagnosis, it is essential to organize and evaluate the evidence gathered during the search process. The final step of the Rapid Review involves **synthesizing the evidence**. In this case, synthesizing evidence means to create a combination of ideas to form a theory or system:

Evidence synthesis refers to the process of bringing together information from a range of sources and disciplines to inform debates and decisions on specific issues. Decision-making and public debate are best served if policymakers have access to the best current evidence on an issue. An accurate, concise and unbiased synthesis of the evidence is therefore one of the most valuable contributions the research community can offer policymakers. ([The Royal Society, 2018](#))

If your search results turned up any Systematic Reviews or “Meta analyses” these will already contain a synthesis of evidence from the topic area (refer back to the Pyramid of Evidence). Systematic Reviews and meta analyses could prove to be quite useful for identifying root causes

of a problem and for generating innovation ideas. As such, they should be given high priority in your analysis of the evidence.

Essentially, a synthesis of evidence combines “ideas or results from two or more sources in a meaningful way.” A synthesis report considers the strength of evidence based on quantity, quality and consistency of results within a body of literature. **Quantity** refers to the number of studies available; **Quality** refers to the level and strength of evidence from available studies; and **Consistency** of results refers to similarities or differences in findings from interventions compared across studies.<sup>6</sup>

To conduct a synthesis, the CLIP framework can be used to design a matrix, sometimes called an “evidence map” or “evidence gap map.” See, for example, the range of evidence maps and data visualization techniques in this [Campbell Collection report by Saran & White \(2018\)](#). These can get quite complex, but for our purposes we want to keep the matrix relatively simple. So, another term is a **synthesis table**, which is how we will approach it for this course.

A synthesis table is created to organize, evaluate, and compare results from a collection of studies gathered during a Rapid Review search. As you review the articles from your group’s collection of results, take notes that correspond to the fields in the sample table below. Use a Google Sheet or Doc to gather and share notes among your team members.

The table below illustrates an entry in a synthesis table using our example study of HEs in Mozambique. *Notice how the entry uses direct quotes from the articles Abstract and Conclusion sections to ensure clarity and accuracy.* This might not always be possible to do, but it is recommended to use direct quotes whenever possible. Cite all quotes to specific page numbers or sections in the original article.

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<sup>6</sup> University of Washington (2019). “Evidence-based practice in Rehabilitation: Synthesizing the Literature,” Available online: <https://guides.lib.uw.edu/hsl/ebprehab/synthesis>

Sample Synthesis Table

	Article 1 <i>Fox &amp; Sohnesen (2016)</i>	Article 2 <i>[Authors and Year]</i>
<b>Population &amp; setting</b>	Household Enterprises (HEs) in Mozambique	
<b>Outcome measure</b>	employment levels/poverty reduction	
<b>Study design</b>	"Analysis of household livelihoods using panel data" [Abstract, p. 197]	
<b>Intervention</b>	none reported; but notes "Mozambique may wish to draw on successful experiences in countries such as Ghana, where urban planning and programming explicitly included HEs, developing workplace clusters and markets in areas where foot traffic is heavy, so that HEs can reach their customers" [Conclusion, p. 217]; study recommends <b>Filmer and Fox (2014)</b> in footnote 2 on p. 217 for the Ghana case;	
<b>Key findings</b> <b>Look for statement that theorize or state the root cause(s) of the problem</b> <b>Look for statement that describe the consequences of the problem</b>	This study "shows that starting HEs is associated with upward wealth mobility and poverty reduction, particularly for rural and poorly-educated households. Targeted programmes directed towards the constraints to HE creation, survival and income growth would be likely to enhance the effectiveness of employment and poverty reduction strategies in Mozambique as well as in other low income countries in SSA" [from Abstract]	
<b>Citation score</b>	Citations 2; Altmetric score: 3	
<b>Evidence type (Pyramid)</b>	Case study	

Use your CLIP framework and keywords here to create a common vocabulary

This entry uses direct quotes taken from the Abstract and Conclusion sections of the article. Include page numbers!

This entry lists another study cited in the article that might be worthing retrieving as follow up research.

Possible root cause is identified here: constraints to small business creation and growth;

Many journals now include citation scores. These indicate how often a study has been cited by others.

Where is the article located on the Pyramid of Evidence?

Activity 1.7 (Week 5): Gather and synthesize the evidence

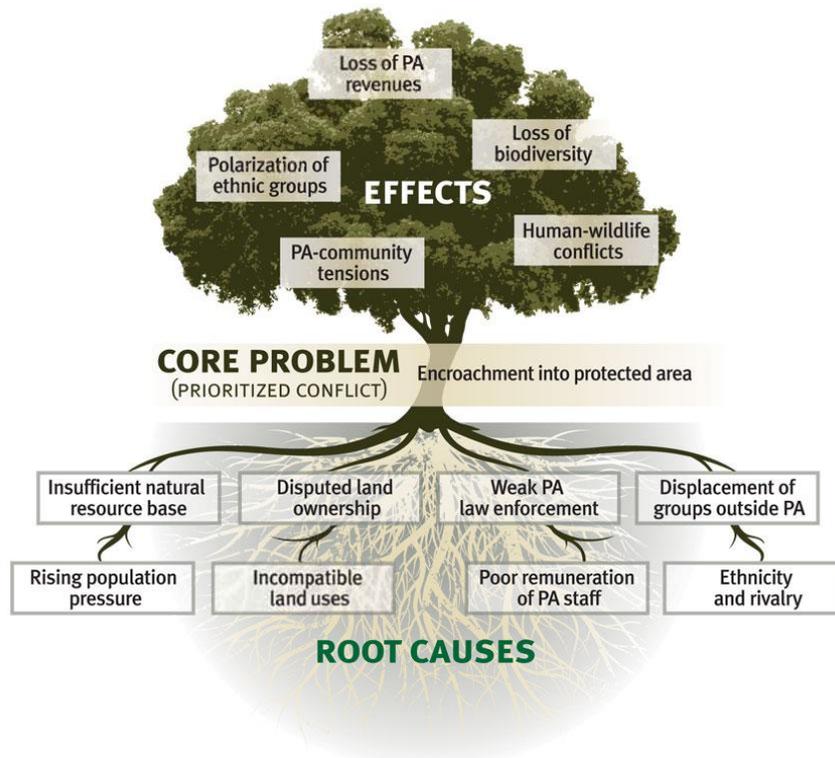
Create a synthesis table with a Google doc or spreadsheet using the framework suggested above. iTEAM members review their assigned articles and enter their notes in the table using direct quotes and page numbers where possible. Try to keep the notes as concise and short as possible (you can always refer back to the original source for clarification if necessary).

*Post a link to the table or take a photo/screenshot of it for your blog entry.*

## Identify the root causes

Having completed the Rapid Review, the next step is to use the synthesis table to identify possible root causes that lie behind the problem that your iTEAM has chosen to address (your prompt). A useful technique for visualizing root causes is a **Problem Tree Analysis**. This [short video](#) explains the technique.<sup>7</sup> The problem tree activity will help your iTEAM to do a structural analysis of the causes and effects for the problem.

The first step is to agree on the problem or issue to be analyzed. Most likely this will come directly from the prompt that your iTEAM has chosen. A core problem statement serves as the “trunk” of the tree. The next step is to consult your Rapid Review findings to look for plausible causes and consequences of the core problem. Causes and consequences can be listed individually on Post-it notes or index cards so they can be moved around and arranged to represent cause-effect relationships. There is no single correct version of the tree. The activity is used to visualize multiple perspectives on a problem. Later, your iTEAM will choose one or more root causes to prioritize.

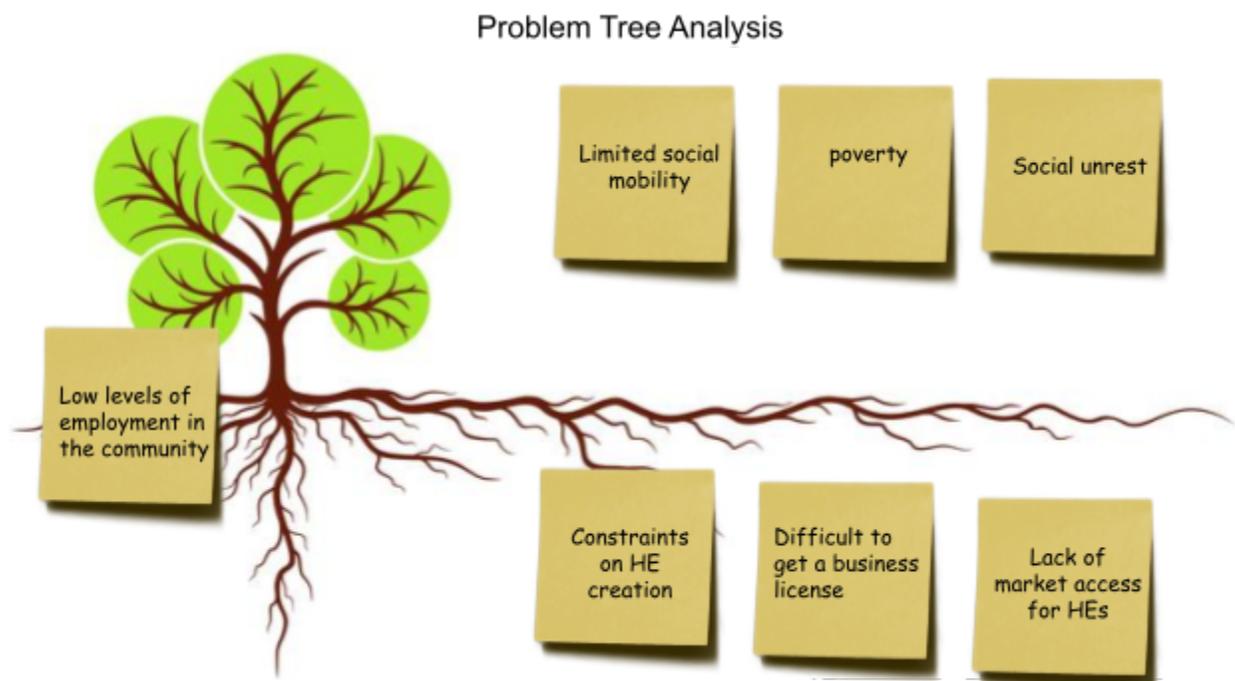


Problem Tree analysis. Source: <http://www.mspguide.org/tool/problem-tree>

<sup>7</sup> Toladata (2019) “Identifying the focal issue with ‘Problem Tree Analysis’ technique” [video 1:56 min] Available online: [https://youtu.be/-j-\\_Y7D35H4](https://youtu.be/-j-_Y7D35H4)

Often, the problem tree activity is done in a setting where stakeholders and practitioners can provide input. In this course we don't have the time or resources to consult those other sources of evidence directly, so you will need to rely on the evidence from your Rapid Review table as input for this step. It's important to note that the peer-reviewed studies located in your Rapid Review results represent a single type of evidence that has inherent limitations. Nevertheless, this source of evidence is valuable during the early stage of the innovation process because it can assist a team to better define the focus and identify possible causes of a problem before inviting practitioners and stakeholders into a more extensive consultation.

Returning to our example, how might the evidence synthesis table entry for Fox & Sohnesen (2016) be carried into a problem tree analysis? This is a heuristic technique, and there can be multiple interpretations, hence the value in using Post-it Notes or index cards to record and compare ideas. Remember this example reflects one interpretation based on evidence from a single entry in the synthesis table!



In a group setting, there will often be multiple interpretations, but go through each of the entries in your evidence synthesis table to identify and list possible root causes and consequences. Your goal is to identify one or more root causes that will serve as a focal point for the next stage of the social innovation process.

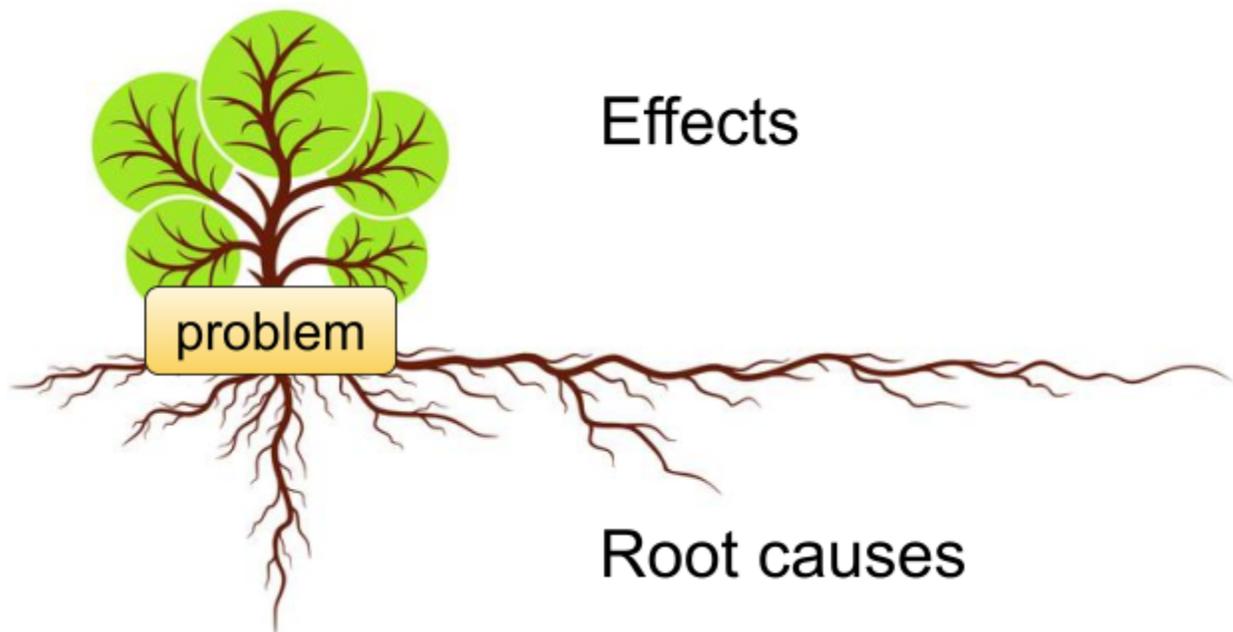
 **Activity 1.8 (Week 6): Conduct a Problem Tree analysis**

Using the problem tree technique, conduct an analysis of the evidence gathered during your Rapid Review. The goal of this activity is to consider the effects of the problem, to articulate a central problem, and ultimately to identify a set of root causes that form a “diagnosis” of the problem.

Your team can [try using the 5-whys technique](#) if you have difficulty distinguishing between causes and effects. This is a simple activity that involves asking “Why?” five times successively, helping you delve more deeply to get at the roots of a problem.

**Online collaboration:** Use the problem tree template on your Jamboard for this activity.

*Don't forget to take photos and notes for your blog as you carry out this activity!*



 Activity 1.9 (for Week 7): Prepare a Brief Presentation of Rapid Review Results

Prepare a brief presentation of your results from the Rapid Review Process. The 10-minute slide presentation should include the following elements:

- What is your iTEAM name?
- What is the prompt/question you chose from the UNRISD-SIID report?
- How did the CLIP framework shape your search strategy?
- How did you organize and plan your search strategy?
- Did your evidence synthesis table reveal any consistency of results?
- What were the results of your Problem Tree analysis? (show a picture and summarize)
- What were the major challenges and key breakthrough moments for your iTEAM in the first stage of the Social Innovation Process?

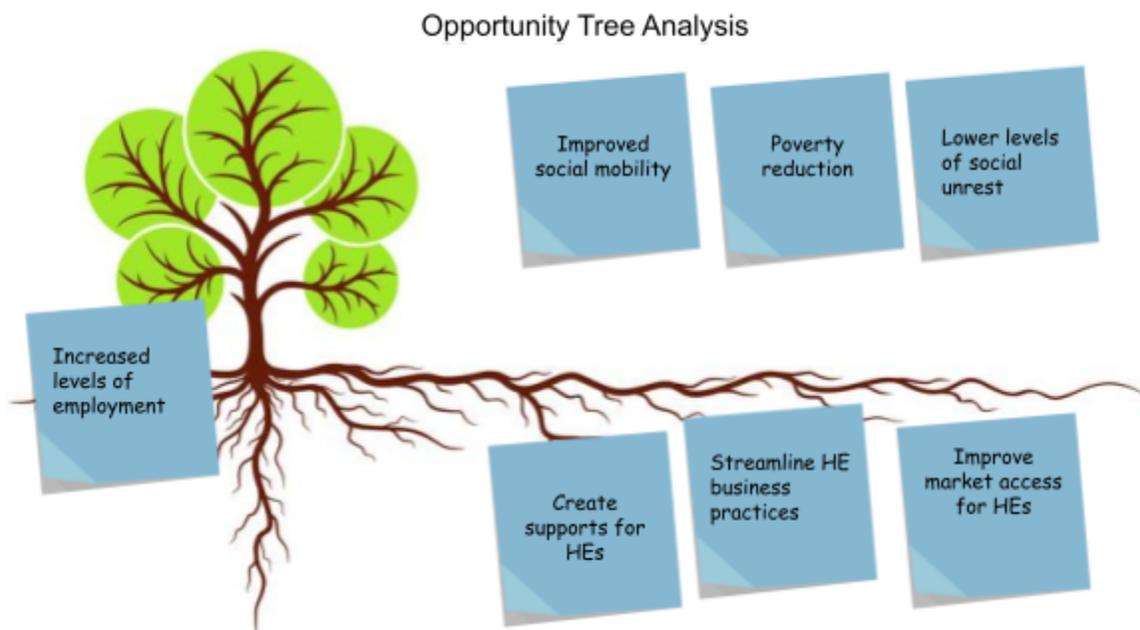
The grading rubric for this activity/assignment can be found on eClass, in the Syllabus and Assignments tab.

## Stage 2: Proposals and Ideas

We now enter the idea generation stage. In this course we will use an opportunity tree analysis along with other methods to generate innovative **ideas** responsive to the root causes identified in the previous stage. It is important to continue to work from the evidence gathered during the first stage. You may find that some follow-up research is helpful during this stage when trying to come up with or validate specific innovation ideas. Your iTEAM will develop a proposal that describes your diagnosis of the problem, presents evidence to support that diagnosis, sets out a goal or objective, and recommended action you believe could help to address a root cause (or a significant part of it).

### Opportunity Tree Analysis

Importantly, a problem tree can be transformed into an **opportunity tree**. In doing so, we flip the labels and approach the analysis from a problem solving perspective: the trunk becomes an opportunity, the branches are desired outcomes, and the roots are positive changes that are necessary. The diagram below shows an opportunity tree generated from the previous problem tree. For this activity, aim to identify positive changes expressed in general terms (think of the ladder of abstraction) rather than specific innovation ideas.



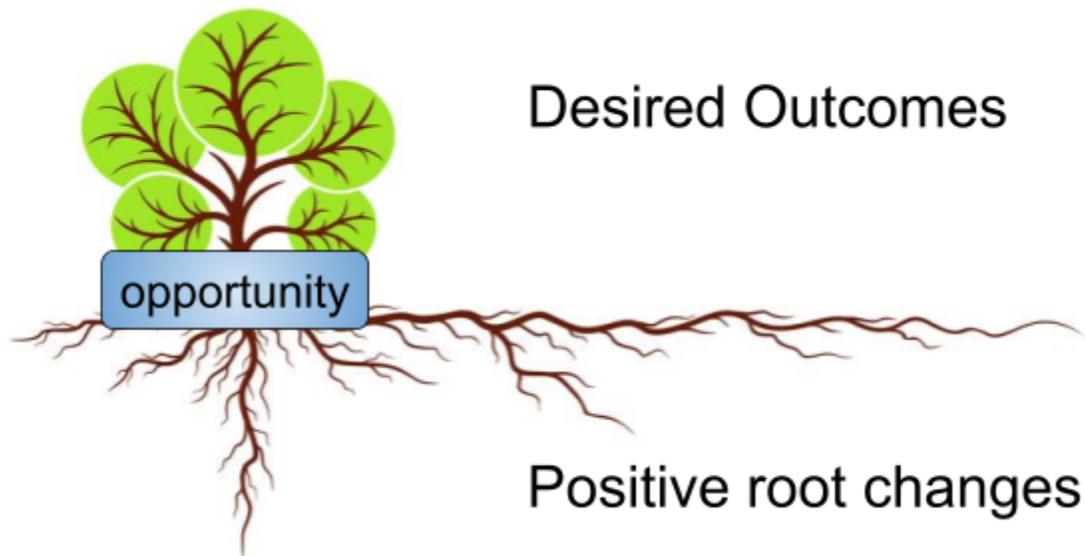
### Activity 2.1 (Week 7): Conduct an Opportunity Tree analysis

Create a parallel opportunity tree based on the results of your problem tree. The goal of this activity is to reframe your problem tree to identify positive systemic (root) changes that can lead to desired outcomes. Reframing the problem in this way will help to “climb the ladder of abstraction” to identify causal principles that will lead to innovation pathways for your iTEAM to consider. We might also say that it helps to activate “the adjacent possible.”

**Important:** Your goal at this stage is *not* to start generating specific innovation ideas but instead to transform prompt/problem into an opportunity, re-imagine root causes as positive systemic changes, and transform negative outcomes into desirable outcomes.

**Online collaboration:** Use the opportunity tree template on your Jamboard for this activity.

*Don't forget to include this activity in your blog posting.*



## Tactics of Change

By this point you should now have used the opportunity tree to identify one or more positive “root changes” that need to take place to achieve desired outcomes that align with the social goals related to your prompt.

In leading change, we want to look for the most effective and efficient way to achieve positive root change as we formulate a plan of action. *Unlocking Canadian Social Innovation* (p. 12-16) suggests a tactics of change approach can help to focus our thinking by considering the three primary ways to achieve change in the world:

- **Policy** is the realm of laws, rules, public services, institutions, and government at all levels ranging from local, provincial, national, to international;
- **Culture** is the realm of values, education, behaviour change, shifts in consciousness (e.g., citizens solutions and social movements, social media);
- **Markets** are the realm of trade, business, finance, supply chains, and economic systems (e.g., social enterprise and finance);

Keep in mind that these tactics are not mutually exclusive, and that “a social entrepreneur will often combine tactics across areas to create a social innovation that achieves the desired outcomes” (*Unlocking*, p. 13).

Another aspect is to consider that innovation can be **incremental** or it can be **disruptive**. Incremental innovation seeks to improve upon existing processes and systems. Disruptive innovation challenges existing processes and introduces a new way of doing something. In a related way, innovation can be **internal** to an existing system or come from **external** forces or influences.

Internal innovations are a response to *endogenous* demand; in other words, they tend to come out of an expressed desire for change from among those who will be directly affected by it. External innovations are *exogenous* phenomena imposed upon a system in a particular context, such as the introduction of new technology, that “forces” change to take place. While external innovations may in the long run provide a real benefit to the community, they can meet with resistance from stakeholders who don’t understand them or have doubts about the long-term outcome or motivations behind the change. Often, a social innovation project is an effort to better respond to internal needs and perspectives for change that will be more sustainable than those that might be imposed by external stakeholders.

## Activity 2.2 (Week 8): Ideation through forced connections

As your iTEAM considers the positive root changes that need to take place, you can take a tactics of change approach to begin to think about the most effective way to put ideas into action.

We will use an ideation technique called “forced connections” to apply the tactics of change framework to the results generated with your opportunity tree exercise.

Create a set of index cards with the following labels. Create three of each card and then separate them into piles organized by colour. Shuffle each pile and place face down.

Policy approach	Cultural approach	Market approach	x 3
Incremental	Disruptive		x 3
Internal	External		x 3

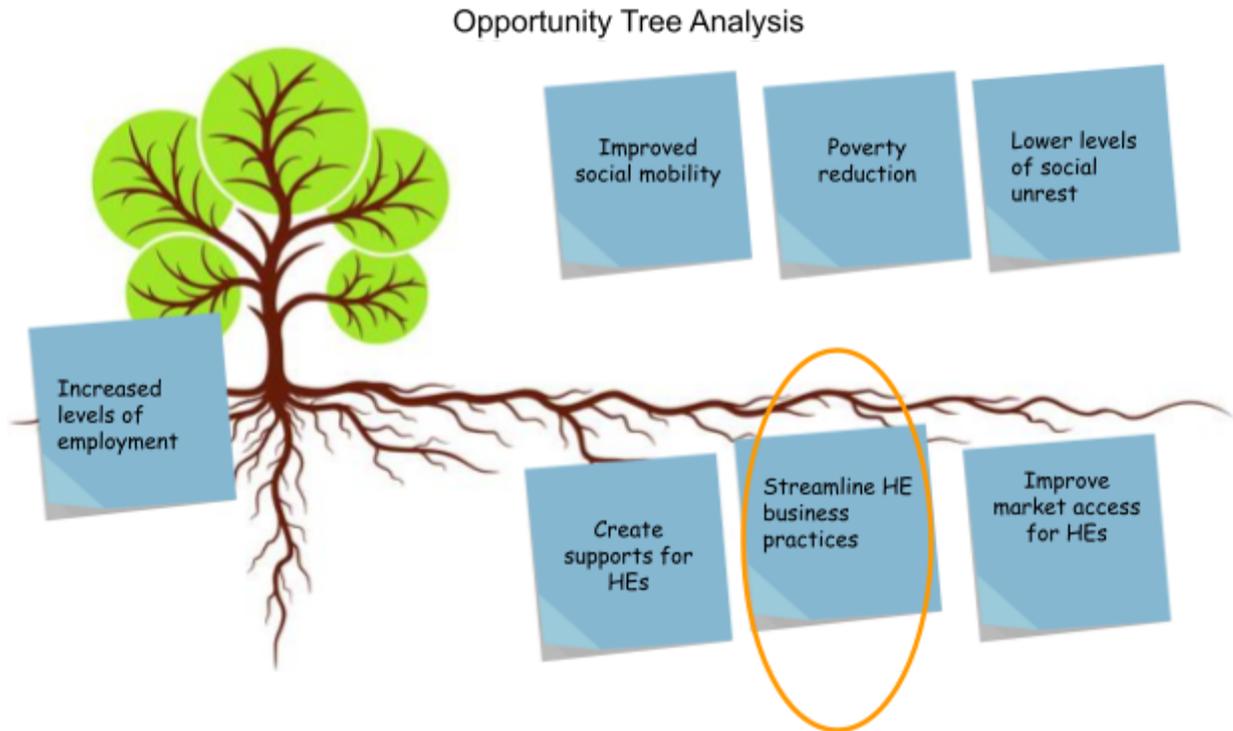
The creative goal in a forced connections exercise is to prompt creative thinking by presenting two or more random ideas in juxtaposition. It is often used in a marketing context to generate insights that might otherwise never come to mind when using unstructured brainstorming techniques. In this case, we are not using random words, but instead we are going to use a controlled vocabulary based on the tactics of change framework.

For online collaboration, your iTEAM can try this [Customized list randomizer](#) instead of using index cards. The keywords should already be showing in the list of items when you click on the link. Simply hit the **RERUN** button each time you want to generate a new forced connection. You can choose to ignore or embrace contradictory results like “*policy internal external*” or crossover results like “*policy cultural incremental*”

You will also want to have the opportunity tree frame in your Jamboard open as you begin this activity on the next page.

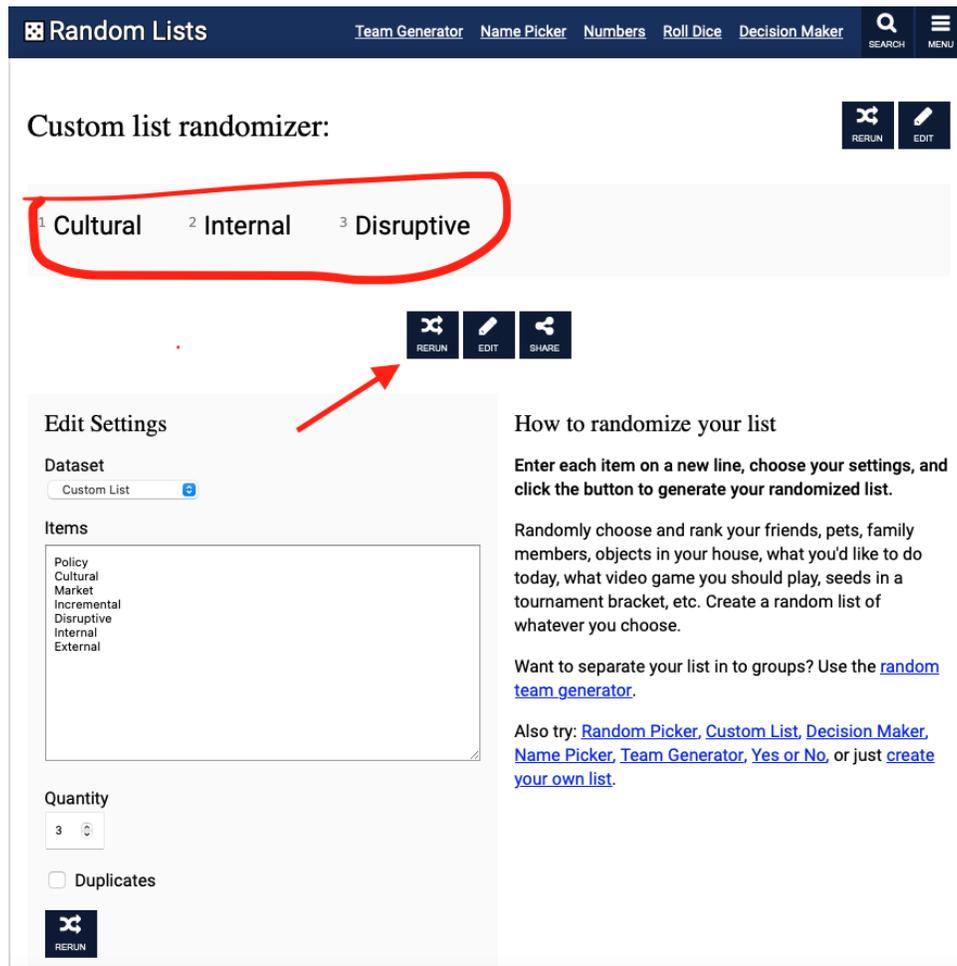
**Step 1:** Choose one of the Post-it Notes with a positive root change idea from your Opportunity Tree. This will be the focus for the first round of forced connections.

The figure below shows our case example, in which we choose the positive root change “Streamline HE business practices” for the first round of forced connections.



**Step 2:** Pick a yellow index card and turn it face up on the table. Do the same for the purple and green cards. You should now have a combination of tactics of change.

For online collaboration, press the RERUN button on the Random list generator and look at the result.



**Random Lists** Team Generator Name Picker Numbers Roll Dice Decision Maker SEARCH MENU

Custom list randomizer: RERUN EDIT

1 Cultural 2 Internal 3 Disruptive

RERUN EDIT SHARE

**Edit Settings**

Dataset  
Custom List

Items

- Policy
- Cultural
- Market
- Incremental
- Disruptive
- Internal
- External

Quantity  
3

Duplicates

RERUN

**How to randomize your list**

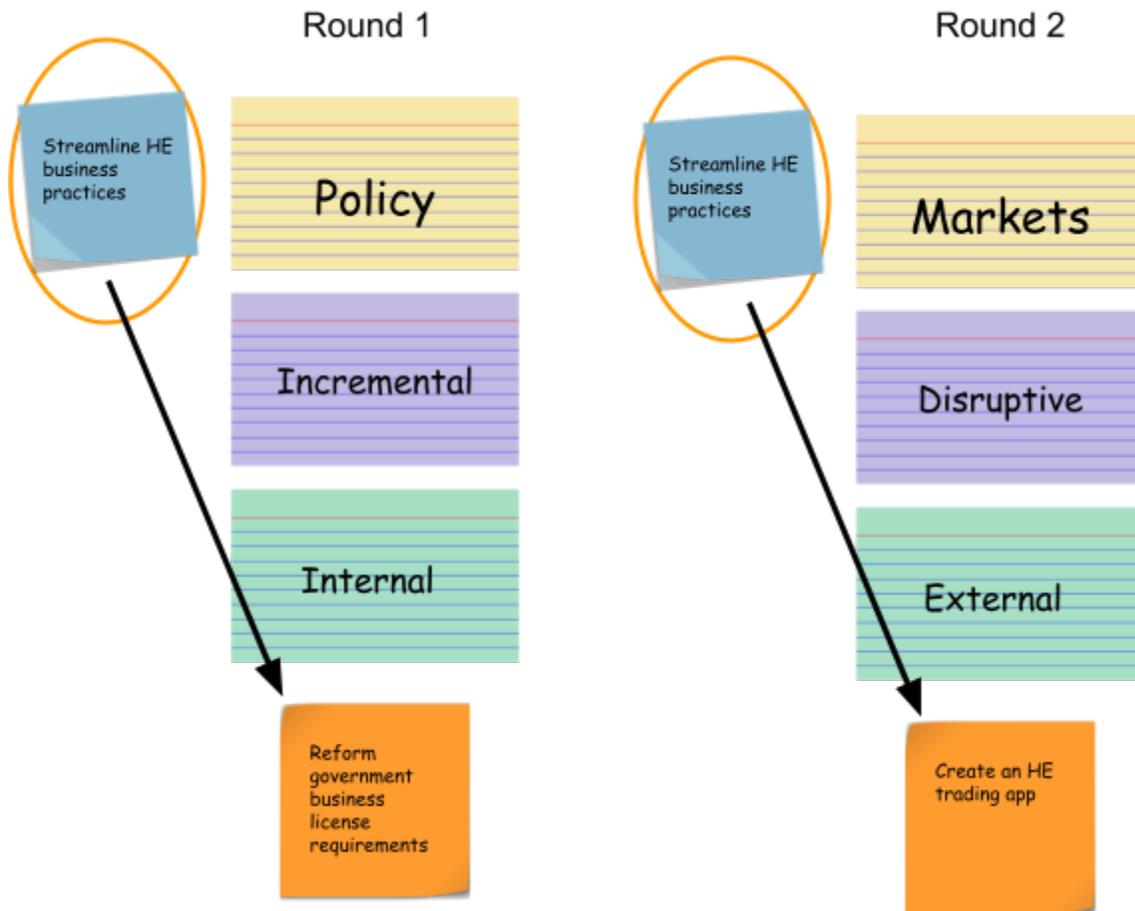
Enter each item on a new line, choose your settings, and click the button to generate your randomized list.

Randomly choose and rank your friends, pets, family members, objects in your house, what you'd like to do today, what video game you should play, seeds in a tournament bracket, etc. Create a random list of whatever you choose.

Want to separate your list in to groups? Use the [random team generator](#).

Also try: [Random Picker](#), [Custom List](#), [Decision Maker](#), [Name Picker](#), [Team Generator](#), [Yes or No](#), or just [create your own list](#).

**Step 3:** Force a connection between the opportunity listed on the blue Post-it Note using the combination of ideas from the index cards. Ask the “How” question to help generate ideas: *How can we streamline HE business practices with a combination of policy, incremental and internal change?* Jot down one idea per orange Post-it Note. **Give your team a time limit of 2-3 minutes for each round and stick to it.** If you are having difficulty coming up with a forced connection, then shuffle the deck and start the next round.<sup>8</sup> The goal is to spark discussion that will generate a number of possible ideas.



The figure above shows how this process might unfold using our case example. In Round 1, a forced connection was made between the root change “streamline HE business practices” and tactics of change **policy**, **incremental**, and **internal**. The forced connection produced an action idea recorded on an orange Post-it Note: “**reform government business license requirements**”.

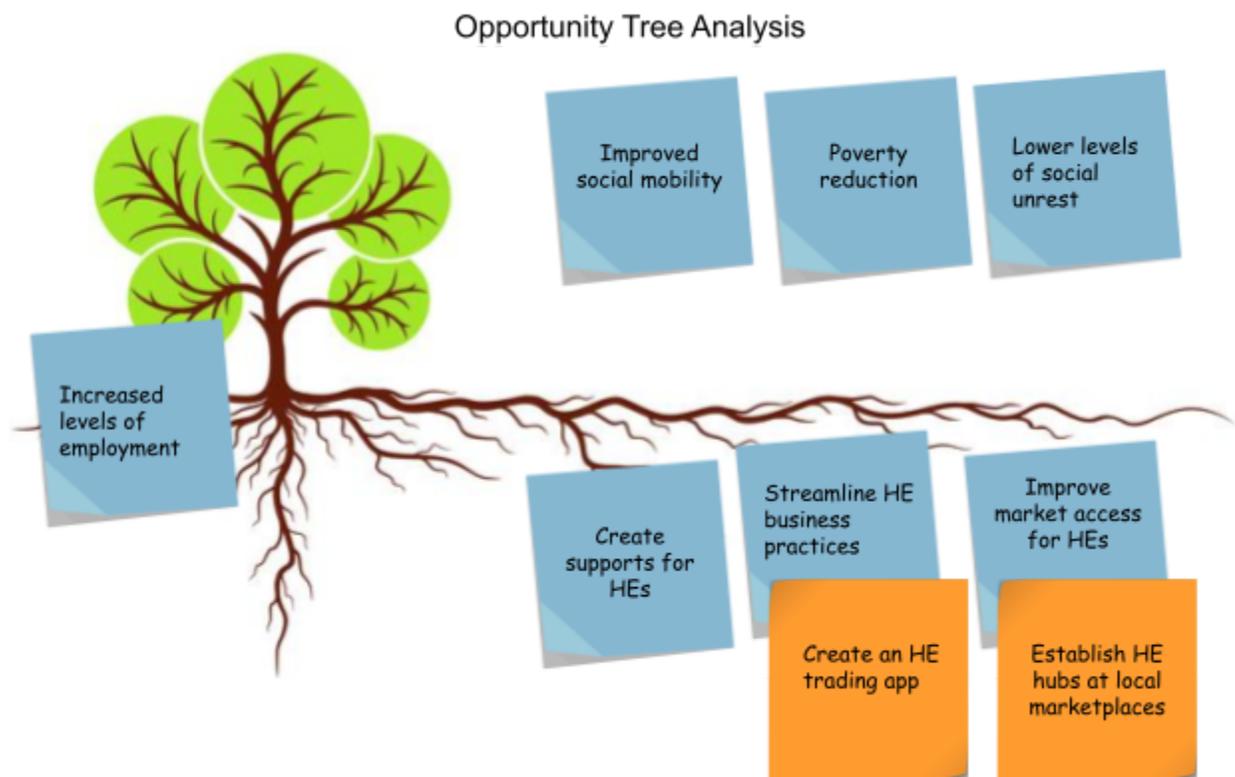
<sup>8</sup> You can also divide the team into two subgroups, with each doing several rounds of forced connections on their own. After completing the rounds, compare notes between subgroups.

Round 2 produced a different set of tactics: **markets**, **disruptive**, and **external**. The action idea from this forced connection is “create an HE trading app”.

Remember this is an ideation technique, so stick to the time limit for each round and avoid judging the action ideas. Just record each one on a separate Post-It Note and move on. *You will rank them later.*

**Step 4:** Repeat in rounds until you have arrived at several action ideas based on the root changes that you identified on the Opportunity Tree. If you identified only one or two root changes, then try to generate several action ideas for each change. Stick the new Post-it Notes on the Opportunity Tree (see figure below). Save the opportunity tree and Post-it notes for Activity 3.1.

For online collaboration, write each action idea on a new colour of Post-it note in your Opportunity Tree Jamboard.



### Activity 2.3 (Week 9): Ranking Action Ideas

By now your iTEAM should have a collection of action ideas generated from the forced connections activity using the tactics of change framework. The next step is to rank them and select one or more for your proposal. Social innovation can include several tactics of change in combination, so consider if your proposal will need to include more than one action item to achieve its goal (e.g., policy change + public education campaign).

Following the definition of social innovation we are using for the course, these guiding principles can be applied to help you rank the action ideas based on several criteria:

- **Inclusiveness:** low barriers of access to participation; user-centred; user-governed; user-generated content;
- **Sustainability:** high likelihood of integrating the change into everyday social practices of the community members;
- **Prospective value:** offers short term value (“quick win”) to community members while creating potential for long term positive impact and systemic change.

It may be difficult to apply these criteria without knowing more about the setting and the specific population. Typically, this stage would include gathering additional evidence from community and stakeholder consultations; however, for the purpose of the course, you will need to make a case based on the best assessment using what knowledge and evidence you have from the Rapid Review, common sense, and perhaps some additional targeted follow up research. Ultimately, the ranking process always involves some degree of speculation. These assumptions would be important to test during the prototype or pilot stage if you were to take the project to that next step.

For this activity, your iTEAM should consider one or more of the four techniques for assessing the innovation ideas you have generated. These techniques are described in more detail in the [Cartwright and Hardie book \(Chapter 3\)](#):

1. The Pre-mortem
2. Thinking Step-by-Step and Thinking Backwards
3. It works by means of what?
4. Decisions using Quick Exit Trees

If you have one or more viable ideas, you might also consider a ranking table like the one below to help with your decision-making process. One suggestion is to have each member complete one separately then compare results and discuss to arrive at a group consensus.

	Action Idea 1	Action Idea 2	Action Idea 3
Inclusiveness	(low) 1 - 2 - 3 - 4 - 5 (high)	(low) 1 - 2 - 3 - 4 - 5 (high)	(low) 1 - 2 - 3 - 4 - 5 (high)
Sustainability	1 - 2 - 3 - 4 - 5	1 - 2 - 3 - 4 - 5	1 - 2 - 3 - 4 - 5
Perceived value	1 - 2 - 3 - 4 - 5	1 - 2 - 3 - 4 - 5	1 - 2 - 3 - 4 - 5
Total			

*Don't forget to document and comment on this activity in your iTEAM blog.*

### Stage 3: Prototypes, pilots, action plans

This is the stage where you create a plan of action for your proposal. It is possible to implement and test a proposal using a variety of methods ranging from paper-prototypes to randomized controlled trials. This is an “action research” stage that can also help to build coalitions of support, reveal and (hopefully) resolve stakeholder conflicts, and activate “the adjacent possible.” Evaluation criteria play a crucial role in drawing together different perspectives and in understanding how measures of success come to be agreed upon for an innovation. *In this course, we won't have the time necessary to develop a full prototype or undertake a pilot study, but you will develop a project pitch that includes a description of how your iTEAM's innovation idea might be implemented and evaluated as a prototype or pilot.*

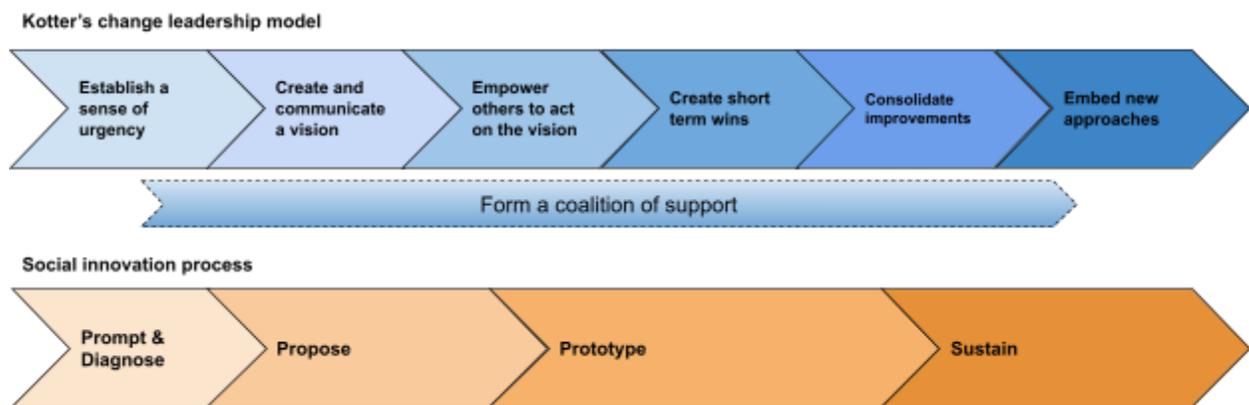
#### Kotter's 8-step change model

Before getting started, however, it is essential to take into account the social and organizational dynamics of change and transformational leadership; after all, social innovation is about finding ways to promote and sustain positive social change, even if it's incremental and small in scope. There has been considerable research done in the field of change leadership and change management, but one widely cited and enduring perspective comes from John Kotter's work in this area.

Kotter is a leadership professor at Harvard University who was trained in electrical engineering and eventually became interested in business administration. His career has largely been established on research into change processes within organizations, culminating in his books *Leading Change* and *Accelerate*. Kotter's work has its critics, but it continues to be widely cited

in the leadership literature, particularly for his 8-step change model. Kotter sometimes “flips” the model to present it as eight reasons that transformation efforts fail, as he does [in this 2007 article in Harvard Business Review](#).

Kotter’s model is typically applied within an organizational setting, but it can be equally useful to help guide the social innovation process. The figure below compares a version of Kotter’s model with the social innovation process we are using in the course. Note that this version differs from Kotter’s insofar as the requirement to form a coalition of support stretches across the other steps. This is because coalition building can be viewed as a continuous process of stewardship as the change effort takes shape.



Comparing the stages of Kotter’s model with the social innovation process

Within the social innovation process, the **Prompt & Diagnose** stage is where you *establish a sense of urgency* concerning an issue or problem. Through research (such as Rapid Reviews) and engagement with community members, a prompt for change is articulated, using evidence from reliable sources, a plausible diagnosis of the problem is then established; a call to action is formed and a vision for the future is created and communicated to others. These are the initial steps in forming a nucleus of support with key individuals who will begin to mobilize their social networks in an effort to champion the change initiative.

The **Propose** stage is where you *create and communicate a vision* that sets out a plan of action that invites and *empowers others to act on the vision*. Here it is important to paint a clear and compelling picture of the future that will grab the attention of other stakeholders. Your vision should be set out as a long term goal achieved with a series of short and medium term goals.

The **Prototype** stage provides opportunities to *create short-term wins* through demonstrable improvements in processes and outcomes. Prototyping will likely reveal some missteps and failed attempts, so it should be planned as a low risk strategy to encourage others to try new practices and demonstrate tangible value. Prototyping also generates feedback from others that

will help identify and resolve shortcomings and *consolidate improvements*. If done well, this step will also strengthen and expand the coalition of support, widening the circle of influence, and increasing the credibility of the innovation pathway and the vision.

The **Sustain** stage of the social innovation process is aligned with the *embed* step of Kotter's model. This begins when the prototype starts to generate results and the coalition of support can highlight the successful connections between the innovation and the vision. It also involves transformation of other processes as the prototype matures and enters into everyday practice.

Kotter's model provides a change leadership strategy that your iTEAM can use in the planning process. Perhaps the most important of the 8-steps is building a powerful coalition of support as the innovation is developed and prototyped. In practice, this can be a difficult leadership challenge because it embodies a number of critical questions:

- *How do we establish a sense of urgency?*
- *What is the vision and how do we present a compelling picture of it to others?*
- *Who are the key stakeholders and community champions we need to get on board?*
- *How do we persuade others that this is an important and necessary initiative?*
- *How do we encourage others to take a risk to try a new social practice?*
- *How do we acknowledge and build on success?*
- *How do we handle any mistakes or missteps in a way that strengthens the coalition and transforms it into useful learning for the innovation process?*

With so many questions, where does your iTEAM begin transforming your idea into a prototype, pilot, or action plan?

## How to create a Logic Model

Simply put, a logic model describes how a plan of action is supposed to unfold and why the proposed strategy is a good solution to the problem. Sometimes it is referred to as *a theory of change*. Logic models are commonly used in evidence-based practice and incorporate key elements of Kotter’s change leadership model into planning:

The most basic logic model is a picture of how you believe your program will work. It uses words and/or pictures to describe the sequence of activities thought to bring about change and how these activities are linked to the results the program is expected to achieve. (Kellogg Foundation, 2004, p. 1)

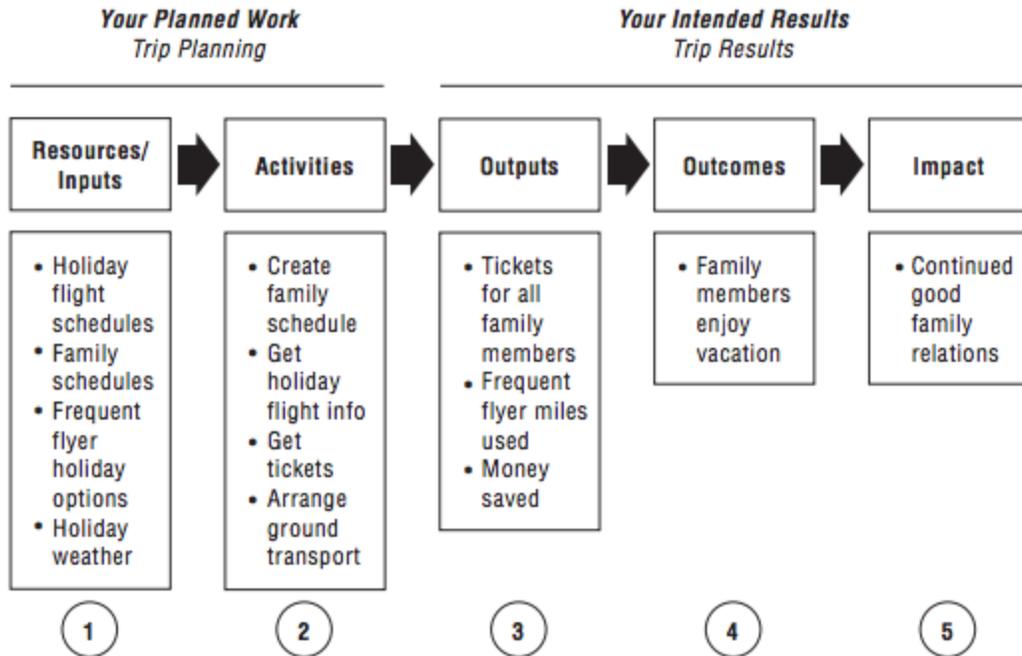
The logic model is essential when seeking to build consensus around a proposed innovation, energizing and rallying support among stakeholders, and presenting a vision for success. In other words, a logic model is important because it serves several purposes in leadership efforts directed at social change:

- **Planning:** it clarifies program goals, key stakeholders, priorities, and outcome targets;
- **Implementation:** it guides continuous improvement and helps to make mid-course corrections;
- **Coalition building:** it communicates the value of the effort, defines roles and success;
- **Evaluation:** it establishes outcomes, organizes evidence, and identifies achievements;

Your iTEAM can use the basic components of a logic model to design your proposal and pitch:

- **Purpose, mission:** what motivates the need for change? What is the prompt?
- **Causal principles:** what is our diagnosis of the problem and prescription for change?
- **Support factors:** what human and other resources are needed to take action?
- **Activities, interventions:** what is the innovation idea? How will it be implemented?
- **Outputs:** how will we know if the innovation is making a difference?
- **Effects, results:** what are the outcomes of the action plan (direct/indirect; intended/unintended)?

One of the most common ways to present a logical model is with a flowchart diagram. The figure below shows a simple logic model for a family vacation. In this model, “outputs” are short-term wins, “outcomes” are medium-term objectives, and “impact” is the long-term vision.

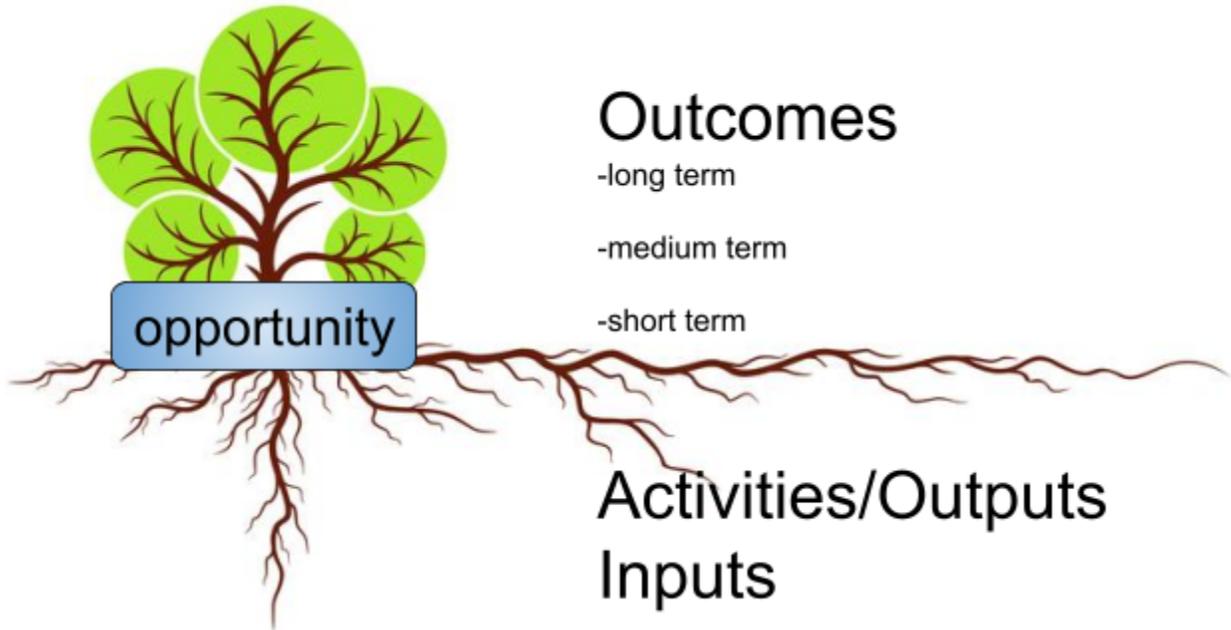


*Source: WK Kellogg Foundation (2004)*

There are, however, many ways to present a logic model. A flowchart is not always the most effective way to communicate to certain audiences, so the choice of presentation is important to consider when trying to persuade others of the value and feasibility of a proposal:

The form that a logic model takes is flexible and does not have to be linear ... Flow charts, maps, or tables are the most common formats [but] it is also possible to use a network, concept map, or web to describe the relationships among more complex program components. Models can even be built around cultural symbols that describe transformation, such as the Native American medicine wheel, if the stakeholders feel it is appropriate. (Center for Community Health and Development, 2019)

In fact, we can build a logic model out of the problem/opportunity trees that your iTEAM created in Stage 2. The figure below shows the components of a logic model in relation to the opportunity tree. “Impacts” can be viewed as a form of long-term outcomes, so they are subsumed under that category in this diagram. Similarly, the “opportunity” in the trunk of the tree could be viewed as a medium-term outcome. We will use that interpretation when you do the logic model planning activity.

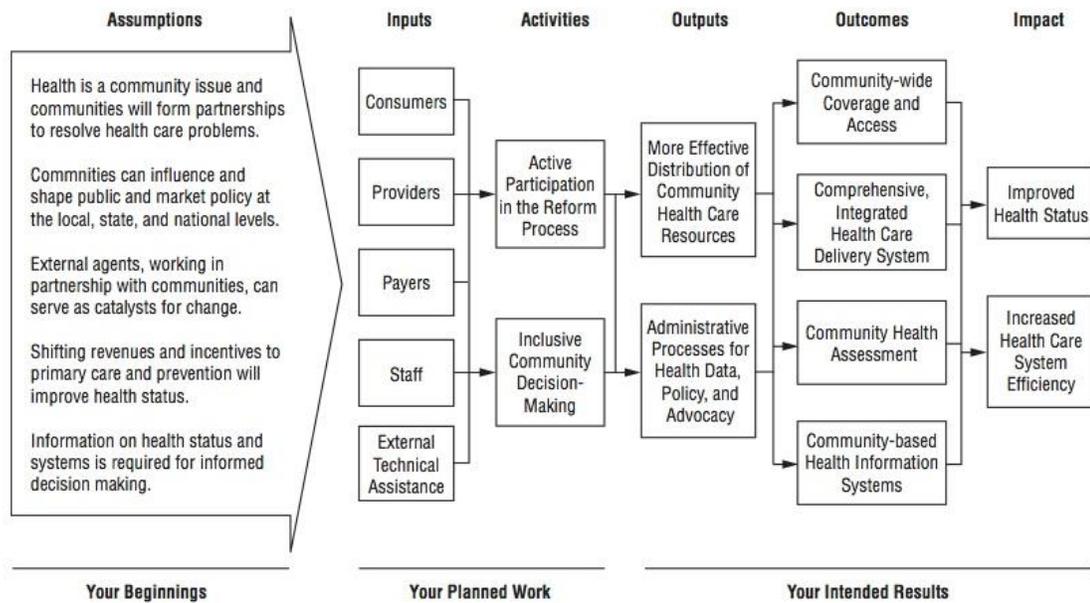


In this course, your iTEAM will work with a particular type of logic model called a **theory approach model**, which builds on the work you have completed already and will help you to develop the pitch presentation for your proposed innovation idea:

*Theory Approach Models* emphasize the theory of change that has influenced the design and plan for the program. These logic models provide a rich explanation of the reasons for beginning to explore an idea for a given program. Sometimes they have additional parts that specify the problem or issue addressed by the program, describe the reasons for selecting certain types of solution strategies, connect proven strategies to potential activities, and other assumptions the planners hold that influence effectiveness. These models illustrate how and why you think your program will work. They are built from the “big picture” kinds of thoughts and ideas that went into conceptualizing your program. They are coming to be most often used to make the case in grant proposals. Models describing the beginnings of a program in detail are most useful during program planning and design. (WK Kellogg Foundation, 2004, p. 9).

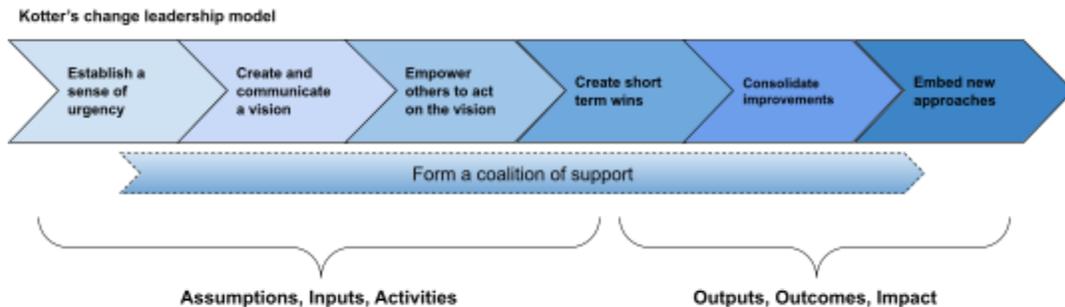
A simple theory approach model sets out the assumptions, or theory of change, based on evidence gathered during the Rapid Review. In the sample diagram below, notice the box on the left labelled **Assumptions**. This box summarizes findings from a review of evidence in the field of community health. It provides the *causal principles* for the program based on a diagnosis of the problem to be addressed. The evidence establishes a set of causal claims about the relationship between stakeholders and their role in community health care systems. For example,

the third assumption is that “external agents” can serve as catalysts for change. The **Inputs** column categorizes the *support factors*, which in this case includes “External Technical Assistance”. **Activities** include the innovation idea and related steps required to implement the idea, including inviting stakeholders to participate in community decision-making. In this example, the logic model is the basis for an *effectiveness prediction* that the activities will contribute to *short term wins* in the form of more effective distribution of health care resources (labelled as **Outputs** in the diagram), improving community-wide health care coverage (labeled as **Outcomes - medium-term objectives**), which will result in improved health status and increased efficiency of the health care system overall (**Impact - long term vision**).



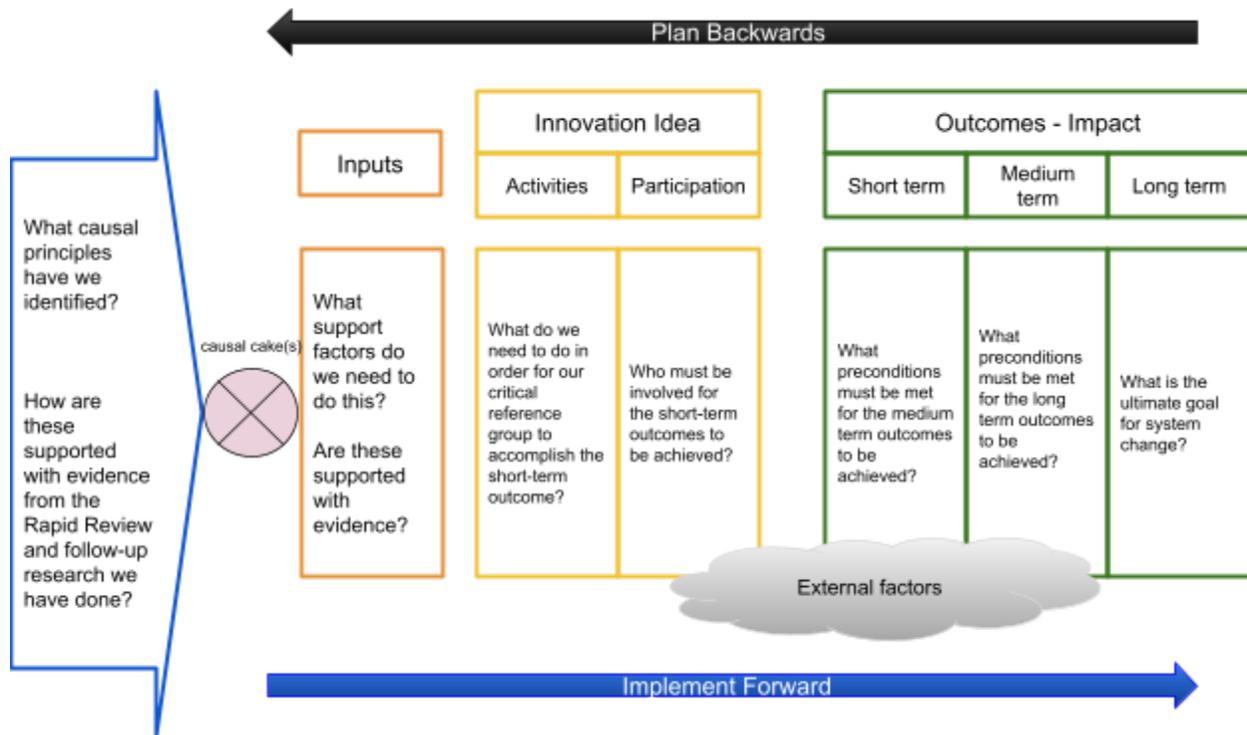
Source: WK Kellogg Foundation (2004)

Notice that the steps in the logic model correspond to Kotter’s model of change leadership:



 **Activity 3.1 (Week 10): Create a logic model for your proposal**

We will use the modified template below to create a logic model for your proposal. This particular method recommends a Backward/Forward Planning approach, starting with desired outcomes and moving to required inputs. We then consider assumptions and look forward, alternating backwards and forwards during the planning process. Assumptions will come from the results of your Rapid Review and the long-term vision should be derived from your prompt in the SIID report and its connection to the long-term vision of its UN SDG.



**Step 0 Consultation planning:** Logic model creation is a group effort that usually involves extensive consultation with community members and other stakeholder groups. In this course, we are limited by time and resources as to who will be able to contribute to the planning of your logic model. However, as you develop your logic model, think about and discuss and create a list of other stakeholders and support factors that you feel would be important to include in the process if it were taking place outside the classroom and with the opportunity to engage community members and other key informants.

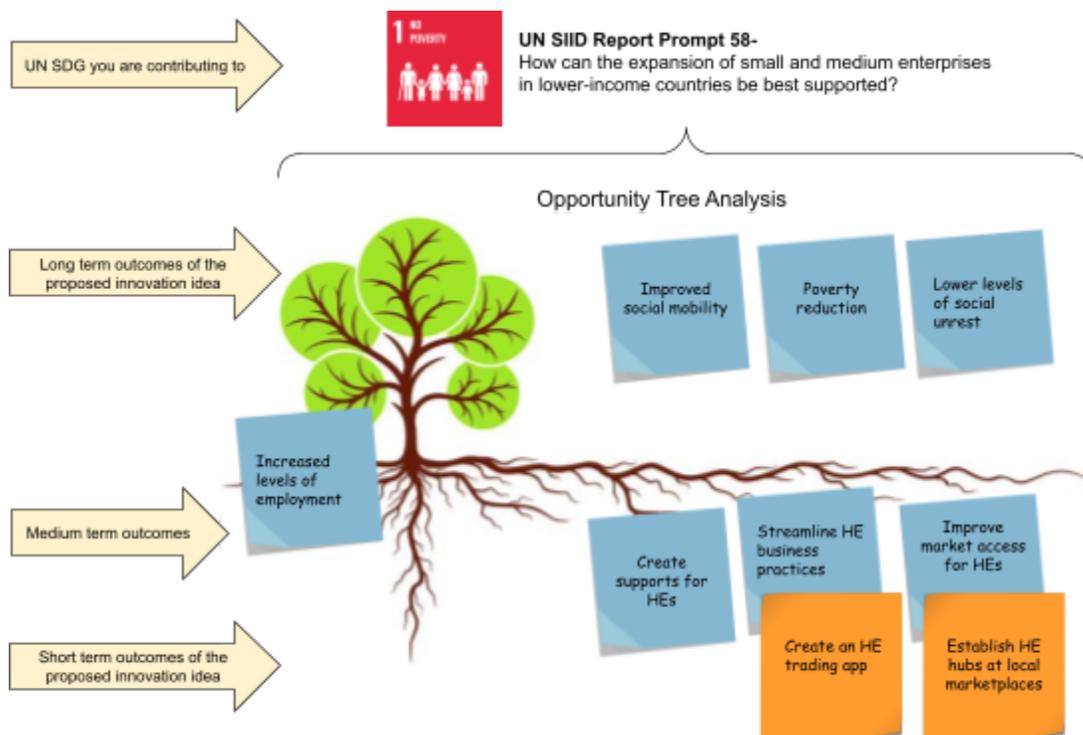
**Step 1 Outcomes:** Start with the long-term vision based on the prompt you chose and how it relates to one or more UN SDGs, then work back to medium and short-term outcomes. By this point in the course, your iTEAM has actually completed much of the work needed to create a

logic model. This step is really about putting the pieces together. Begin by using the problem/opportunity tree results to identify the purpose (trunk) and long-term outcomes (branches). How will people and the environment be different as a result of this social innovation?

Agree on a simple statement describing the ultimate, end result that you are hoping to achieve. Spending some time clarifying your long-term outcome, coming to consensus on what it will be, and making it specific, will provide a strong foundation for your pitch proposal.

Write the statement(s) on a Post-it Note and stick to the logic model template in the **Outcomes - Impact** section in the **Long term** column on the logic model template.

In our case example, we want to contribute to a long-term outcome related to the UN’s SDG 1 - “No Poverty” by supporting SME growth in developing countries. The innovation idea itself aims to achieve the long-term outcome of improved social mobility, poverty reduction, and lower levels of social unrest.



Now begin to work backward through the model asking, “what needs to happen for the long-term outcomes to be achieved?” Write those ideas on Post-It Notes (one idea per note) and stick to them in the **Medium-term** column on the logic model template.

In our case example, the medium-term outcome is located at the trunk of the opportunity tree diagram: “increased levels of employment” in the community.

Continuing to move backward and discuss with the group “what preconditions in the short term need to be met in order for the medium-term outcomes to happen?” Here you can refer to the root positive changes identified in the Opportunity Tree activity 2.1.

In our sample case, the medium-term objectives would be “Streamline HE business practices” and “Improve social capital among HE operators”.

Write the short-term objectives from your Opportunity Tree on Post-It Notes (one idea per note) and stick them in the **Short term** column on the logic model template.

You will have noticed in the logic model diagram the cloud-shaped section labelled “**External Factors**”. An important consideration when planning a logic model is to ensure you take into account potential influences (opportunities and constraints) that may be outside your control. A change in government or a natural disaster, for example, are two external factors that can affect Outcomes. As you step through the planning process, write down any external factors that come to mind and place them in the “cloud” of the logic model template.

In our sample case, relevant external factors might include access to and use of mobile devices among those who are targeted for the HE trading app, or it might include an upcoming election that will lead to anticipated changes in the government’s policy for SME development.

So far the planning process has been essentially a transfer of the results of your opportunity tree and Action Ideas activities onto the logic model template. The next steps, however, will require your group to elaborate on the details in order to specify how the short-term outcome(s) will be achieved, who needs to be involved, and what resources will be required. These are critical planning factors in taking innovation from an abstract idea and putting it into a concrete proposal for which you can seek funding and support.

**Step 2 Assumptions:** This step requires you to write a statement about the root causes of the problem. The statement should be based on evidence gathered during the Rapid Review and the assessment made in the Problem Tree Activity 1.8. Your diagnosis provides a context for a statement that summarizes a theory of change for your proposal. This is the positive root change you identified in the Opportunity Tree Activity 2.1. The last step is to cite the studies and summarize the evidence that forms the assumptions and theory of change for your logic model. Again, Post-It Notes work can be used to place these key points on the logic model template.

**Step 3 Innovation Idea:** Who needs to be involved, reached, targeted, or “onboard” in order for the short-term outcomes to be achieved? Be as specific as you can. Think about immediate stakeholders and beneficiaries as well as other stakeholder groups that can support or exert control over the situation. Record these individually on Post-it Notes and stick them in the **Participation** column in the **Innovation Idea** section of the logic model template.

What activities or events must be undertaken so that those individuals and stakeholder groups will be engaged, will be able to participate and contribute to the short-term outcomes?

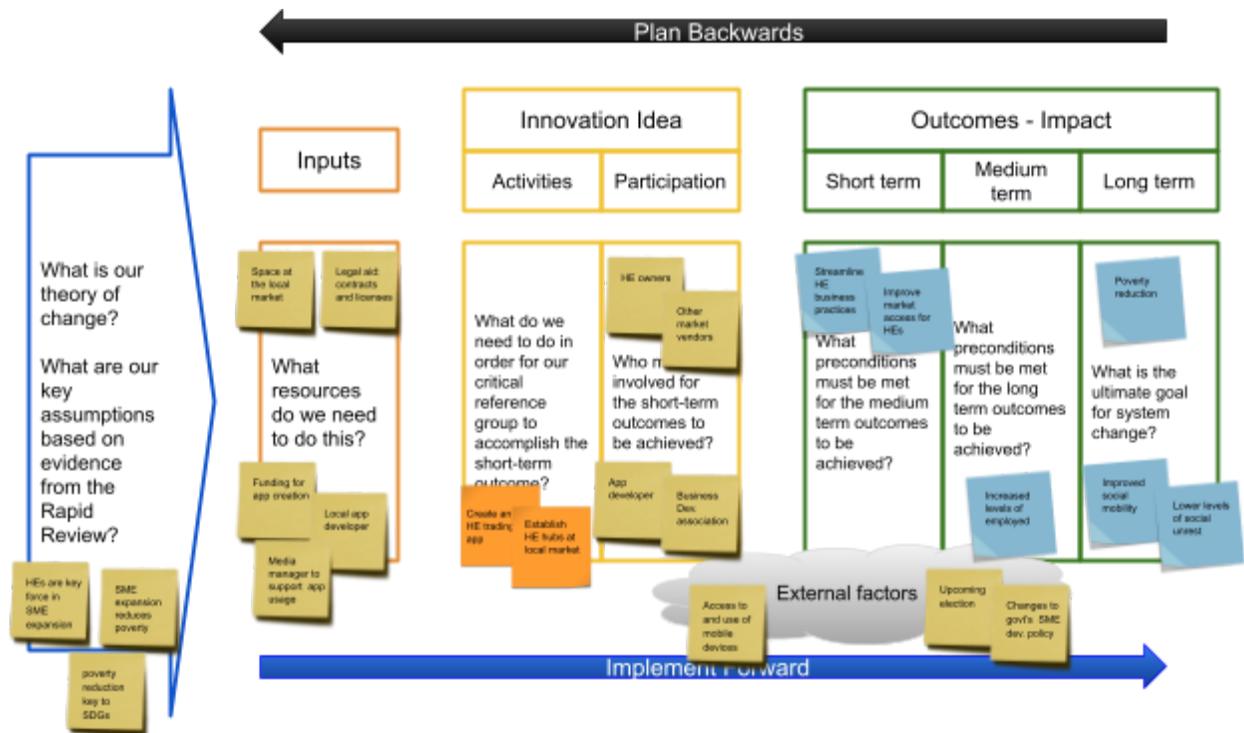
At this point in the activity, you should refer back to your opportunity tree and consider the Action Ideas that your iTEAM prioritized in Activity 2.3. In our example case, we have identified two short-term outcomes: “Create an HE trading app” and “Establish HE hubs at local marketplaces.”

Copy these Post-It Notes and stick them in the **Activities** column in the **Innovation Idea** section of the logic model template. You may choose to cluster the ideas into related categories (e.g., training, promotion, funding, partnerships, resource sharing, etc.)

**Step 4 Inputs:** What are the resources and other support factors that will be needed to conduct these activities and to reach those people in order to achieve the short-term outcomes? The logic model should associate at least one required resource per activity or category of activities. Again, write these down on Post-It Notes and stick them in the **Inputs** column on the logic model template.

The diagram below shows what the logic model for our sample case might look like when completed.

Use the logic model template on your Jamboard for completing this activity. Copy and paste your post-it notes from the other frames.



You have now completed a basic logic model! To put it into action, you follow the blue arrow and work from left to right, or from theory to outcomes.

Importantly, you can use the logic model as a blueprint to develop a persuasive, evidence-based pitch for your iTEAM’s innovation idea.

## Evaluating the Prototype or Pilot

Having followed the Social Innovation Process up to this point, your iTEAM has made significant progress in a relatively short time! Here is what you have achieved:

- You have chosen a prompt, identified a topic of importance, and formulated a structured research question using CLIP;
- You have organized and carried out basic research with a Rapid Review to locate relevant evidence to help understand and address the question;
- Findings from the Rapid Review, in combination with the Problem and Opportunity Tree activities, helped you to diagnose a problem and identify one or more root positive changes necessary to achieve social change;
- Using a Tactics of Change framework, your iTEAM generated innovation ideas and ranked them using three basic criteria of inclusiveness, sustainability, and prospective value;
- You applied a Logic Model to formulate a change leadership strategy that will serve as the blueprint for a prototype or pilot;

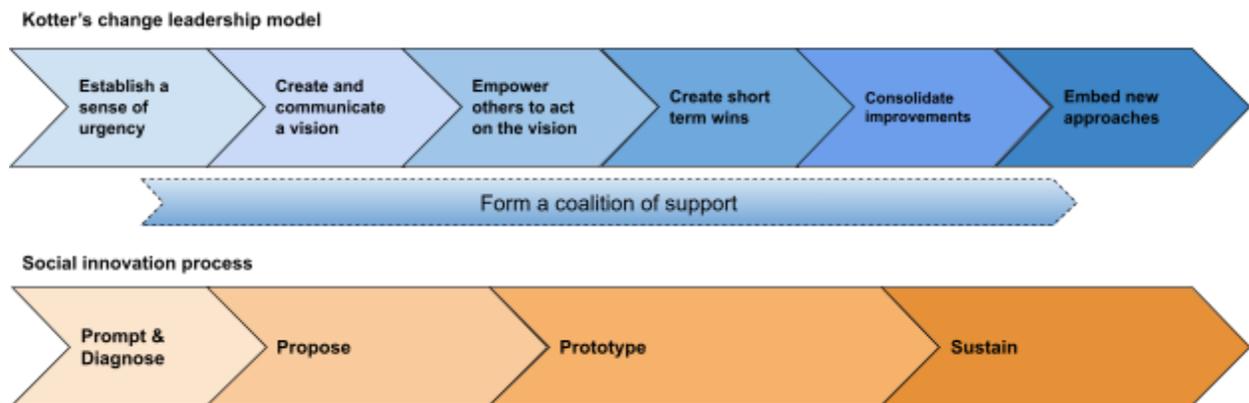
By this point, it may seem like there is little else to do apart from getting the required support and resources to create the prototype or launch the pilot. Yes, almost, but there are some vital questions that need to be considered at this stage of the process:

- *How will you know if your prototype or pilot is making a positive difference? How will you know if it is achieving the anticipated outcomes stated in the Logic Model?*
- *What participants in the Logic Model will need to be involved in assessing the impact of the prototype or pilot? How can they contribute to its assessment?*
- *If your innovation idea appears to be achieving desired outcomes, what types of evidence will you need to produce to convince others that it is making a positive difference?*
- *If the desired outcomes do not appear to be taking place, or it is unclear what is happening with your prototype or pilot, what will you do next? Abandon it?*

As you can imagine, these are really important questions for the Social Innovation Process. It is one thing to come up with what seems like a great innovation idea, but when put into practice it may turn out to be built on flawed assumptions, or produce unintended and unwanted impacts.

More to the point, however, you won't know what kind of impact it is having unless you carry out some type of **evaluation** of the prototype or pilot.

We can revisit Kotter's change leadership model to see how evaluation fits into the overall strategy. The foundation for change leadership is social; in other words, it is the continuous process of coalition-building that is most significant in advancing a new idea within an organization or community of practice. The other steps in his model should be seen as drawing from and contributing to this essential social practice.



Using our case example and the Logic Model we created for it, let's imagine the iTEAM has settled on the orange Post-it Note that says “**establish an HE Hub at the local market.**” The hub will be a physical space at the local market intended to make it easier for HE's to reach potential buyers, enabling them to grow their business and achieve the outcomes set out in our Logic Model.

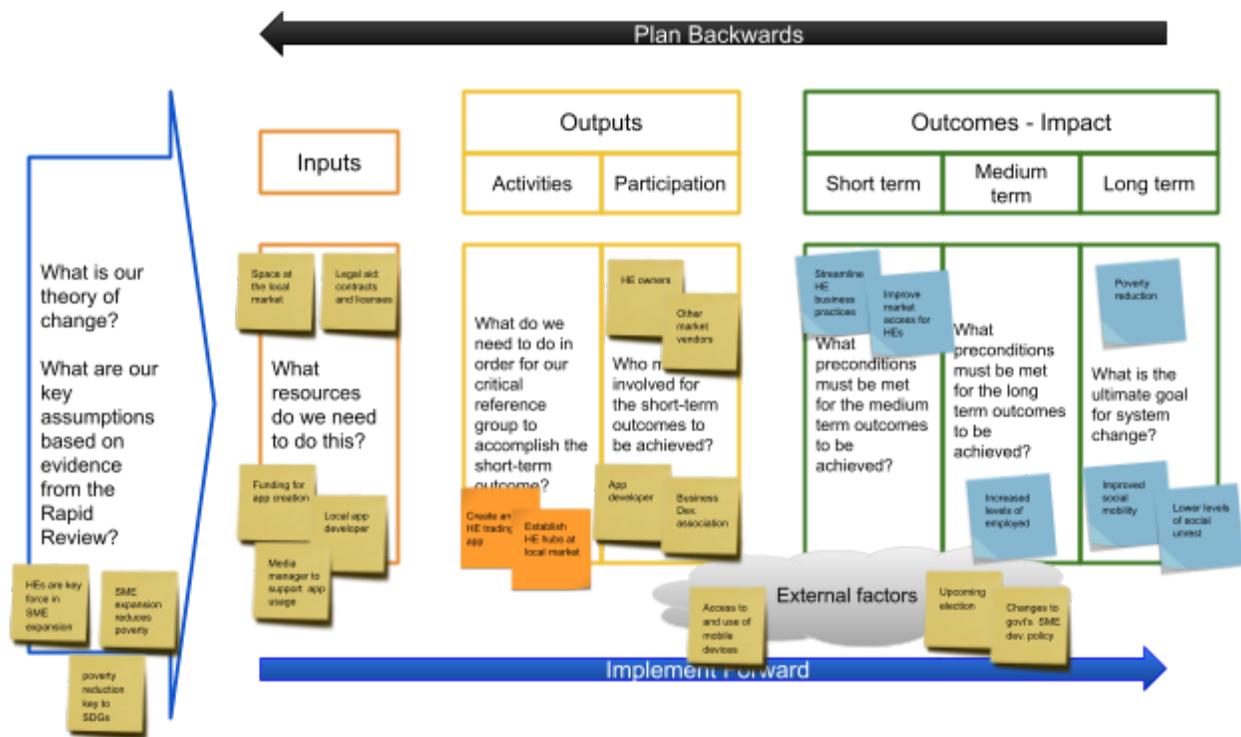
For this idea to succeed, we will need to build a coalition of support from among the groups listed in the “participants” section of the Logic Model. Some participants may be skeptical about the idea, so following Kotter's model we want to introduce a pilot that is relatively low-risk but will “create short term wins” (short term outcomes) and produce evidence that we can present to participants in order to convince them it shows promise to achieve the medium and long outcomes while minimizing unwanted impacts (e.g., no significant drop in sales for other vendors at the marketplace).

More likely, however, the results of the pilot will be mixed and there will be a need to revise the plan based on the feedback you receive about it. This means building on success and understanding and addressing problems while aiming to consolidate improvements as you move forward. In this case, that will involve making changes to the HE Hub as you learn from experience, and eventually negotiating a permanent space in the local marketplace. The last step

in Kotter’s model, embedding the new approach, is related to Stages 4-5 of the Social Innovation Process, as it involves sustaining it locally and possibly scaling the idea by taking it to other locations beyond your pilot project region. Evaluation is essential to this process.

Evaluation is a form of research with a focus on understanding the value that people place on things, programs, or processes.<sup>9</sup> The central question in this particular context is what is the value that participants place on the innovation idea? As a concept (e.g., “let’s create an HE hub at the local market”), most participants might *tell* you it’s a great idea. When put into practice, however, you may discover that the value is contested among participants. Or that to achieve the anticipated value, some important details of the implementation will need to more closely examined and revised. The devil is always in the details.

Your iTEAM will need to consider evaluation as part of its pitch for the proposed innovation idea. The good news is that you can draw on the Logic Model to create an evaluation plan.



In the example above, the Outcomes section of the model contains a set of value statements on blue Post-it Notes. The statements on these notes say *we value these things*. In the case example, these include increased levels of employment, better social mobility, and poverty

<sup>9</sup> This section is based on Wadsworth, Y. (2011). *Everyday Evaluation on the Run* (Third ed.): Routledge.

reduction in the community. Hopefully these values are shared by all participants, but you may find some who disagree with one or more particular value statements. Wide community consultation during the Problem and Opportunity Tree activities (which we didn't have time for in this course) can help to establish consensus on values but it is not always possible to achieve complete agreement among participants.

Because evaluation is about the value that people place on something, it makes sense to involve the Participants listed in the Logic Model. Your evaluation plan begins with determining the **critical reference group (CRG)**. This is the group of participants for whom the innovation idea is supposed to help solve their problem or improve their lives. These are the direct beneficiaries of the innovation idea. In the case example, we can assume the critical reference group is composed of individuals who operate Household Enterprises (HEs).

There are also **secondary reference groups (SRGs)** that we will need to consider. These are the other participants who need to know about, believe in, and support the contribution of the innovation idea as it relates to the critical reference group. The SRGs might not directly benefit from the innovation, but they nonetheless play a pivotal role in supporting (or resisting) the critical reference group in achieving the desired outcomes. Who are these participants? Funders, administrators, advocates, and others in a position of authority or influence over the CRG. This group must be included as part of coalition-building. The other group to be considered is your iTEAM members as the researchers involved in the evaluation process. In your role as researchers, you will influence what types of questions are asked, how answers are interpreted, and what the assessment will say about the pilot or process. You are part of the evaluation.

Refer to your Logic Model to identify the CRG and secondary reference groups that are essential to your innovation idea. You may realize during this process that you've overlooked a group of participants. If so, write them down on a Post-it Note and add them to the Logic Model.

The next basic step is to plan how you will **collect evidence** from your CRG and the secondary reference groups. As you plan the prototype or pilot you will want to consult these groups to ensure that it aligns with the intended outcomes and minimizes unwanted or unintended impacts. As you launch the prototype or pilot you will want to gather evidence that will help you to assess the intended short term outcomes. Is it achieving what we hoped it would for the CRG? How are the secondary reference groups responding to it? Are we as iTEAM evaluators asking the right questions? Are we collecting appropriate evidence?

Evidence can come from a variety of sources:

- **Group discussions or meetings:** Community gatherings, committee meetings, group interviews
- **One-to-one conversations:** these can range from casual exchanges in everyday routines to more formal interviews;
- **Written questions and answers:** questionnaires or surveys; feedback slips; voting
- **Participant observation:** hanging around the location; field visit; photo essays; video; sketches or drawings of a space; headcounts;
- **Documents and databases:** reports, rosters, statistics (if available), newspaper articles, pamphlets, phone logs, photos, maps, schedules, regulations, legislation, etc.

Needless to say, there are many possible sources of evidence that can be included in the evaluation of a prototype or pilot. It is important to note that some types of evidence will be better suited to medium or long term outcomes (e.g., statistics on poverty reduction) while others will be appropriate for short term outcomes (e.g., income levels of HE operators, or community members' attitudes toward an HE presence at the local market).

Evidence plays a crucial role not only in building a coalition of support, but it also provides learning that feeds back into an *action research* cycle. In other words, lessons learned in the initial prototype or pilot are incorporated into changes as a process of continuous improvement and ongoing evaluation. Involving the CRG and secondary reference groups in this process and decision making transforms it into a form of Participatory Action Research.<sup>10</sup>

As you prepare your pitch, your iTEAM will need to identify the CRG and secondary references groups. You will also need to briefly describe how you intend to measure or assess the short term outcome(s) on your Logic Model, and what sources of evidence and you will use to collect evidence to undertake that assessment.

In our case example, the evaluation plan described in the pitch might mention the following key points:

*The CRG consists of those individuals who operate Household Enterprises because they are the ones to whom the innovation idea is directed. We are trying to create better market access for them in order to improve their incomes.*

*The secondary reference groups include other vendors at the market who might be negatively affected by the presence of an HE Hub. The local government administrator who will need to approve business licenses for the HE operators. And consumers who*

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<sup>10</sup> See, for instance, Wadsworth, Y. (1998). What is Participatory Action Research? Action Research International, Paper 2(November). <http://www.aral.com.au/ari/p-ywadsworth98.html>

*come to the market and may purchase from HE operators. (There are more, but these three are perhaps most significant for short term outcomes).*

We can measure short term outcome by looking at a combination of prospective purchases and actual purchases from HEs, comparing them with costs incurred by HE operators to relocate to the Hub. We can also consider impact on sales for other vendors at the market, as well as overall changes (if any) in the number of people attending the market place before and after HE Hub is opened.

Take a moment to consider how you might complete the table below using our case example involving an HE Hub pilot.

<b>Indicators</b>	<b>Source of evidence: How can we measure this?</b>	<b>Evaluation criteria: How will we know if the HE Hub has or is likely to achieve the intended short term outcome?</b>
<i>Prospective purchases from HE operators (CRG)</i>	<i>Have each HE operator count number of visitors to their stall; iTEAM members observe and count the number of visitors to each HE stall;</i>	<i>Compare against inquiries prior to having a stall at HE Hub (must plan in advance to collect this comparative data)</i>
<i>Actual purchases from HE operators (CRG)</i>		
<i>New costs incurred by HE operators at the Hub (CRG)</i>		
<i>Unexpected difficulties facing HE operators at the Hub (CRG)</i>	<i>Interview HE operators at several points after the Hub opens;</i>	<i>Do the HE operators believe the benefits outweigh the costs or difficulties of relocating to the Hub?</i>
<i>Impact on sales for other vendors at HE Hub (SRG)</i>		
<i>Overall attendance at the market (CRG, SRG)</i>		
<i>Attitudes of people at the market with respect to HE Hub (SRG)</i>		

 **Activity 3.2 (Week 11): Create a basic evaluation plan**

Use the table structure below and your iTEAM's Logic Model to create a basic evaluation plan that you will include in your pitch. Consult the sources of evidence listed above to help you imagine where you might be able to obtain necessary data. Try to strive for a mix of inclusive methods that involve community members as well as evidence from written or recorded documents. *Don't forget to convey your process and the results in your iTEAM blog.*

Who is your critical reference group?

Who are the most important secondary reference groups for the short term outcomes?

<b>Indicator</b>	<b>Source of evidence: How can we measure this?</b>	<b>Evaluation criteria: How will we know if the prototype or pilot has or is likely to achieve the intended short term outcome?</b>

## Creating your Pitch

It is now time for your iTEAM to consolidate your effort into a persuasive pitch. This is part of the coalition-building process and involves a secondary reference group in the form of a funding agency or other type of organization whose support will be required to deploy your prototype or pilot.

In this course we can imagine that your iTEAM will be pitching the proposal to a panel of judges on behalf of the UN Research Institute for Social Development (UNRISD) that commissioned the report from where we started this process. The innovation idea must also be responsive to one or more of the UN's Sustainable Development Goals, so you will want to make that connection clear in your pitch presentation.

The results from the activities you have completed in the course will provide the content for your pitch. Draw from your Logic Model, moving from left to right, to provide a structure and narrative for your pitch presentation. Rehearse to ensure you can deliver it within the time limit.

Here are some additional practical tips to consider as you prepare the presentation for this group of judges made up of practitioners and policymakers:<sup>11</sup>

- Policy makers and practitioners are busy, so evidence needs to be presented as clearly and effectively as possible; highlight key messages, avoid jargon, draw a clear connection between the problem and your idea as a response but don't over-simplify the challenge;
- Think about how you are describing the problem – can you summarise what the problem is in two sentences? What are the costs of inaction? What are the positive outcomes?
- Create sticky messages using information that will catch the attention of your audience; New, unexpected, or surprising facts or anecdotes can be very effective when supported by evidence. Well chosen images, graphs or charts, or short video clips can make a big difference;
- Stories are a good way to connect to policymakers. Can you include a short story that shows the human side of the evidence and how your idea will make a positive change in people's lives?
- Weave together multiple sources of evidence that aligns with and reinforces the theory of change from your Logic Model.

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<sup>11</sup> Pittore K, Meeker J, Barker T. Practical considerations for communicating evidence to policy makers: identifying best practices for conveying research findings. Montpellier, France: Agropolis International, Global Support Facility for the National Information Platforms for Nutrition initiative. 2017.

Using our case example, we could open a pitch with a sticky message that combines a short story about an individual who runs a household enterprise and the challenges it faces. The opening slide could be, for instance, an image of a young woman who runs an HE. In this case, we are using an image found on Google to *represent* the context. In an actual pitch situation outside the classroom you would be more likely to use an image from the critical reference group.

The pitch might begin with a statement like, “This is Adelina from a small village in Mozambique. She operates a household business selling fresh produce grown in her home garden.”

Example of an opening slide for a pitch presentation based on our case example.



i-TEAM 'Blue'

 **UNRISD**  
United Nations Research Institute for Social Development

i-TEAM Challenge

The next slide might then introduce evidence from the Rapid Review as we present our theory of change from the Logic Model.

We could include a simplified version of the Logic Model later in the pitch, perhaps as we summarize and conclude, but for now it might be better to select a simple but effective image and three key messages for the second slide.

**Household Enterprises (HEs) are a rapidly growing source of employment in Sub-Saharan Africa**

HEs in Mozambique are associated with lower rural poverty, as well as upward mobility.

**We need a better way to support HEs as step to achieving SDG 1**

i-TEAM 'Blue'

*(percent of households with income from source)*

Source	Percent of Households
Wage-public	~10.0
Wage-private	~15.0
Wage-Agriculture	~5.0
HE	~35.0
Family farm	~85.0

Fox, Louise and Sohnesen, Thomas Pave, Household Enterprises in Mozambique: Key to Poverty Reduction But Not on the Development Agenda? (August 1, 2013). World Bank Policy Research Working Paper No. 6570.

  
**i-TEAM Challenge**

The next slide could explain briefly the UN's SDG 1 to provide some additional context.

More than 700-million people live in extreme poverty

Poverty undermines social cohesion and drives instability and conflicts

SDG 1 aims to ensure everyone has access to resources to earn a decent living

SDG 1 aims to eradicate extreme poverty by 2030

i-TEAM 'Blue'



i-TEAM Challenge

Having set the context, the pitch then moves on to the proposed innovation idea (the “Activity” from the Logic Model).

HEs are important part of a poverty reduction strategy

Access to markets remains a problem for many HEs

We propose creating an HE Hub at the local community marketplace



i-TEAM 'Blue'

  
 i-TEAM Challenge

At this point in the pitch, we might introduce some additional evidence to show that HE Hubs, or similar ideas, have been successful elsewhere.

The pitch will then continue with additional slides drawing on the Logic Model to further describe our idea and make our case.

When describing short term outcomes be sure to explain how you intend to evaluate them based on your evaluation plan.

DO NOT include a specific request for funding in your pitch. For our purposes, the focus is on the strength of the case as it relates to your logic model. You can identify the types of resources that will need to be supported through funding but don't worry about the amounts for this pitch.

Be prepared to answer questions as part of the pitch. This is a good opportunity to mention details that you might have had to leave out of the presentation.

 **Activity 3.3 (Week 12): Prepare a Pitch Presentation for your Proposal**

Prepare a 15-minute pitch presentation for your innovation idea. It is recommended that you use Powerpoint or another visual tool for your presentation. You may wish to consider a gimmick or other fun approach to enliven or bring attention to the significance of your innovation idea if it makes sense to do so. It is vital, however, that we stick to the time limit.

 **Activity 3.4 (Week 12): Complete your final blog entry**

Complete the final entry for your iTEAM blog. The blog should by now have a set of posts that cover the 15 specific activities from this course workbook.

Congratulations on completing the first three stages of a social innovation process. You and your iTEAM have accomplished a lot in a short period of time!

The skills and techniques you have learned during this course are transferable to a wide range of contexts and situations in which your leadership talents may be called upon to address a social, organizational, or policy challenge or opportunity.

I hope that this course and workbook have given you some key insights and tools that will help you to succeed, and I wish you much success going forward.