

Breakthrough ACTION

# SBC Flow Chart Introduction

October 2020



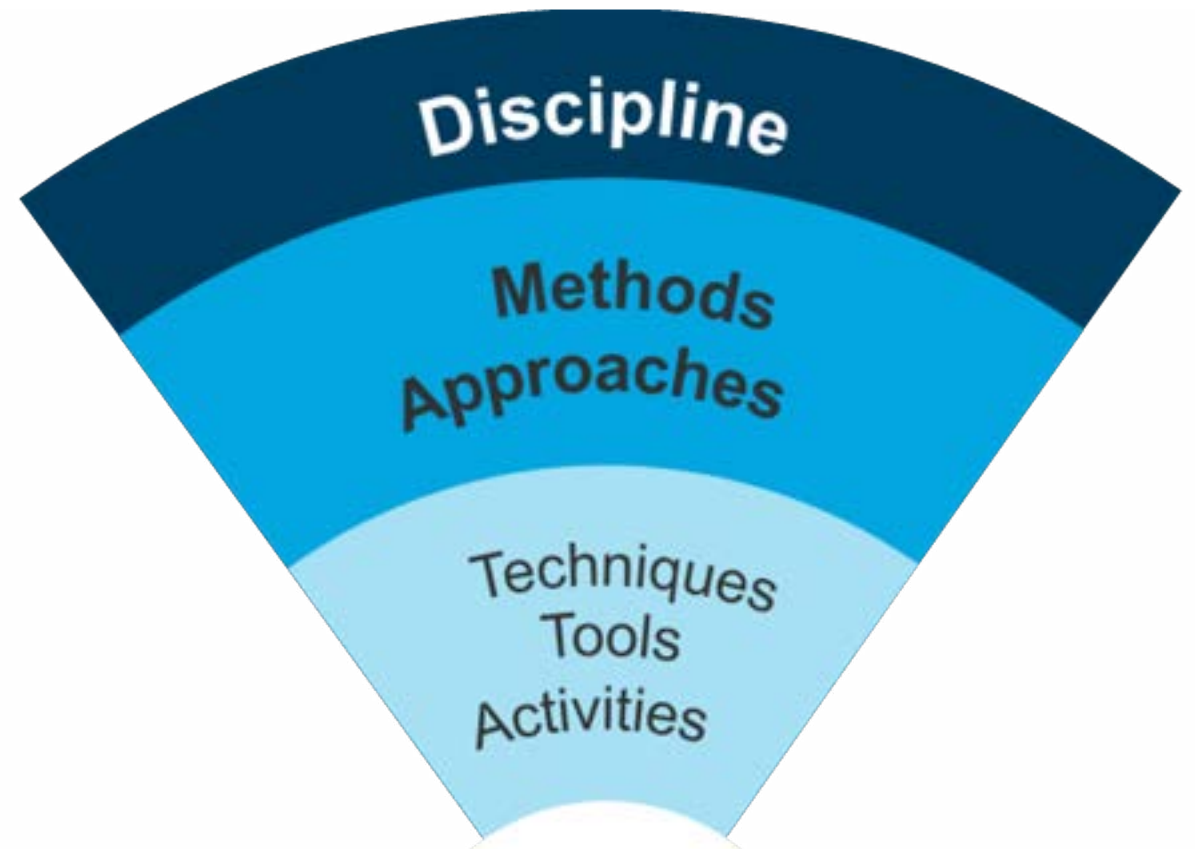
# INTRODUCTION

The Social and Behavior Change Flow Chart is Breakthrough ACTION's design process for social and behavior change (SBC) activities to address health or development challenges.

The SBC Flow Chart comprises **three phases**, which align various disciplines, integrate their methods and approaches, and draw on tools and techniques from Breakthrough ACTION partner organizations. This integrated approach brings together the strengths of each discipline, methodology, and technique to create new opportunities for innovative SBC.

This presentation outlines the disciplines, explains their underpinning methodologies, and explores the tools and techniques which comprise the SBC Flow Chart, while providing an overview of the three phases.

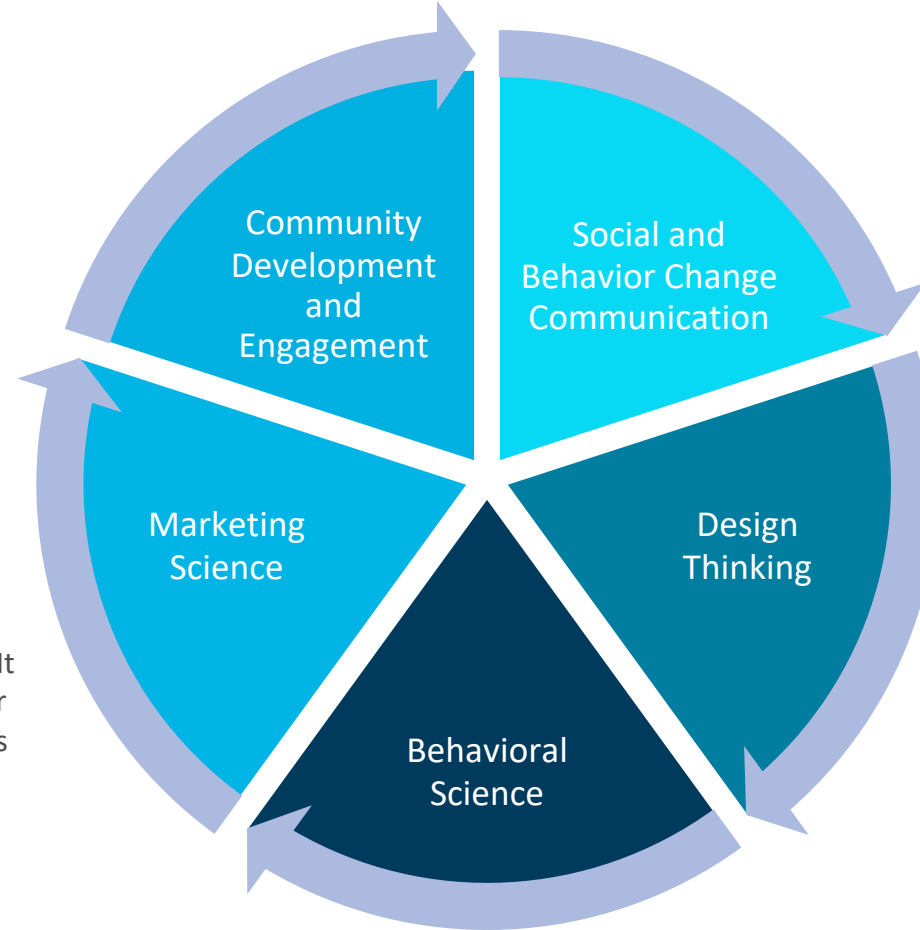
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# SBC FLOW CHART DISCIPLINES

**Community development and engagement** seeks to better engage the community to achieve long-term and sustainable outcomes, processes, relationships, discourse, decision-making, or implementation.

**Marketing science** apply many methods for strategic planning, social and behavioral insights, and coalition building. It draws upon the understanding of customer needs, and the development of approaches by which they might be fulfilled—predominantly through scientific methods, rather than through tools and techniques common with research in the arts or in humanities.



**Behavioral science** teaches us that the interplay between the context and our psychological quirks can have a surprisingly powerful effect on our behavior. The insights that come from behavioral science allow us to anticipate and account for these inconsistencies in product, program, and policy design.

The SBC Flow Chart draws on a number of disciplines necessary for impacting real and meaningful social and behavioral change. These disciplines are outlined below.

**Social and behavior change communication (SBCC)** is the use of communication to change behaviors, including service use, by positively influencing knowledge, attitudes, and social norms. SBCC uses the most powerful and fundamental human interaction—communication—to positively influence these social dimensions of health and well-being.

**Design thinking** provides a solution-based approach to solving problems. It's extremely useful in tackling complex problems that are ill-defined or unknown, by understanding the human needs involved, reframing the problem in human-centric ways, creating many ideas in brainstorming sessions, and adopting a hands-on approach in prototyping and testing.

# SBC FLOW CHART METHODS AND APPROACHES

Each discipline within the SBC Flow Chart comprises unique methods and approaches, which guide their understanding of beneficiaries, support solution design, and ultimately impact healthy behavioral shifts. The outline below shows most of the frequently called-upon methods and approaches within the SBC Flow Chart.

## Community Development and Engagement

## Social and Behavior Change Communication

## Design Thinking

## Behavioral Science

## Marketing Science

The **Community Action Cycle (CAC)** is a proven community mobilization approach that fosters individual and collective action to address key health program goals and related outcomes. Applied to improved health outcomes, the CAC works to increase access to and demand for health services, especially where gender and other socio-cultural barriers exist.

**The P Process** provides a roadmap that can guide practitioners from a loosely defined concept about changing behavior to a strategic and participatory program that is grounded in theory and has measurable impact. Using SBCC theory, stakeholder participation, and continuous capacity strengthening, the P Process leads practitioners to inquire, design strategy, design and test, mobilize and monitor, and evaluate and evolve in a cyclical format.

**Human-centered design (HCD)** is an approach used to improve “things”—products, services, systems—from a user’s point of view. It involves taking an empathetic view of the world and a deeply human perspective from beginning to end of a design challenge. HCD will often employ co-design approaches that actively and genuinely engage diverse perspectives in the design process, to ensure that the result meets their needs.

**Behavioral economics** is the study of psychology as it relates to the economic decision-making processes of individuals and institutions. Drawing on psychology and economics, it explores why people sometimes make irrational decisions, and why and how their behavior does not follow the predictions of economic models.

**Market segmentation** is an approach that uses behavioral, attitudinal, and psychosocial segmentation to understand distinct sub-groups within large groups of people, each with unique characteristics. At an overarching level, it involves data collection followed by segmentation analysis, which specifically assesses opportunities for changing social norms and/or behavior to develop programmatic recommendations.

# SBC FLOW CHART

## TOOLS AND TECHNIQUES

Every approach or method employs many unique tools and techniques. The following provides a sampling of tools offered by each methodology, highlighting those most frequently used when implementing the SBC Flow Chart.

### Community Action Cycle



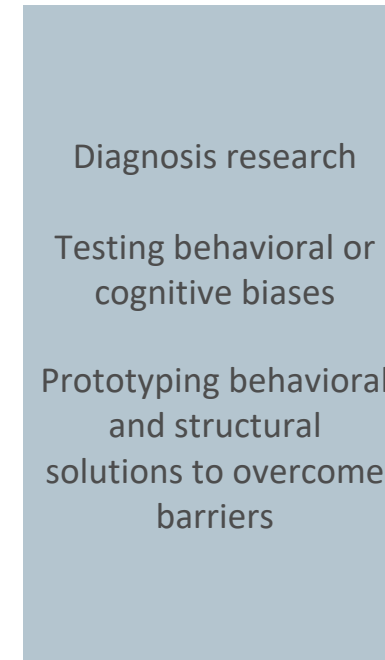
### P Process



### Human-Centered Design



### Behavioral Economics



### Market Segmentation



# SBC FLOW CHART

## GUIDING PRINCIPLES

### What do these approaches hold in common?

While each approach brings a unique language, positioning, and specialization when addressing social and behavior change, they all share cross-cutting principles that are integrated through every step of Breakthrough ACTION's collective approach and reflected in the SBC Flow Chart.



#### COMMUNITY ENGAGEMENT AND CO-DESIGN

Every approach involves working alongside communities to support their collective action and, as such, we keep community members at the forefront of the process every step of the way.



#### GENDER EQUITY AND SOCIAL INCLUSION

Every approach ensures attention to gender equity and the inclusion of marginalized voices during each phase of the process.



#### INFORMATION COLLECTION

Every approach uses a range of traditional information collection techniques when affecting SBC, from secondary sources such as articles, papers, books, and other literature to primary quantitative and qualitative methods, including surveys, key informant interviews, focus group discussions, and observational techniques.



#### TESTING AND ITERATION

Every approach incorporates testing ideas for viability and usability early on to ensure that future iterations and finalized solutions have the greatest probability of success and sustainability when implemented at scale.



#### EMPATHETIC LISTENING

Every approach emphasizes the importance of speaking with a variety of diverse viewpoints to understand the true contexts and empathize with people's lived experiences, so solutions are framed in a useful and applicable way.

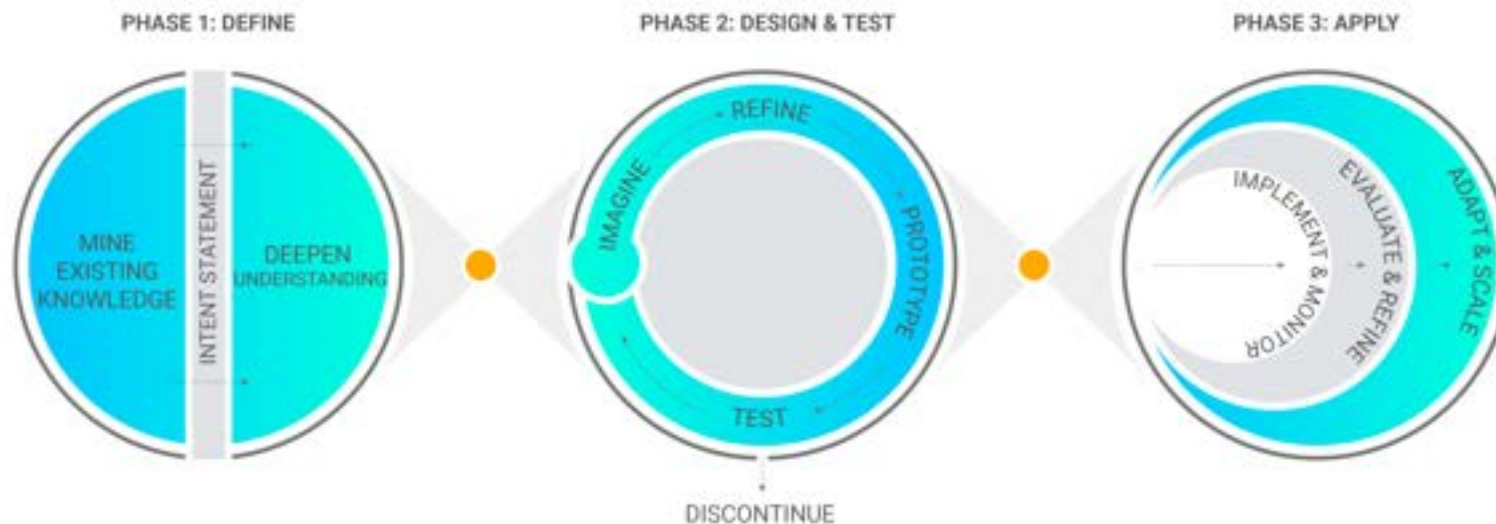


#### ZOOMING IN AND OUT

Every approach involves zooming in and out to understand the cultural and social norms at local, regional, and national levels, establish a holistic perspective of the political, legal, and organizational environments, and consider the the policies and practices that exist.



# SBC FLOW CHART



## Define and understand the problem

This phase assesses the findings and insights that already exist and establishes mechanisms to deepen understanding of the problem's complexity. We accomplish this by establishing empathy with those with whom we work and uncovering new perspective and insights to guide solutions.

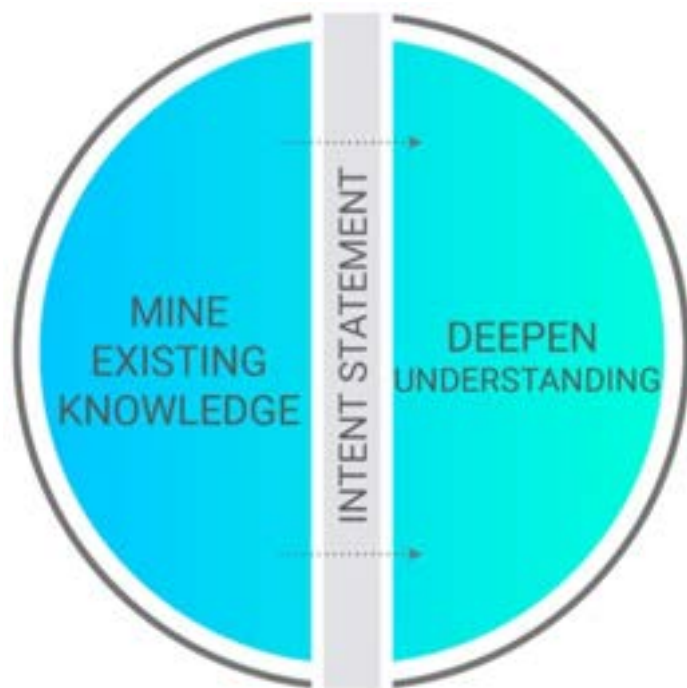
## Design and test potential solution concepts

Grounded in deeper understanding, this phase informs how practitioners will address SBC by involving community members in the solution ideation process. We iteratively develop and test ideas and concepts within the context in which they will be applied to reach optimal outcomes.

## Apply successful prototypes as activities or interventions

Once programs synthesize testing feedback into a prioritized suite of solutions, this phase marks progressive implementation of these solutions. We use real-time monitoring and evaluation to assess success and make necessary tweaks and adjustments as we scale solutions over time.

# DEFINE PHASE



The **Define Phase** of the SBC Flow Chart establishes the foundational understanding of the problem and context from two perspectives: the *existing* knowledge and published literature and the *new*, shared knowledge of lived experiences in households, communities, health systems, and the political environment.

## Mine existing knowledge

We mine existing knowledge and data to understand the health or development context, the audiences at risk, and their current behaviors, beliefs, and attitudes. Resultant literature review and/or situation analysis provide the basis for programs to meet with stakeholders and gain consensus on potential avenues for action. During this phase, participants should question and challenge assumptions to avoid jumping straight to solutions.

## Define intent to ensure stakeholder objectives are clear and aligned

An intent statement is an early vision document that typically presents the current state, the desired future state, key audiences, objectives, and a draft theory of change. At this point, stakeholders critically need to align around a shared objective or problem they would like to solve. While aligning around intended audience, stakeholders may choose to narrow their focus based on demographic characteristics or behavioral segments.

## Deepen understanding and building empathy using various research tools and techniques

New knowledge of the context, audiences, existing services or programs is gained through primary research using formative research tools. The Define Phase does not seek to simply define the health problem but rather to generate a deep understanding of the problem with all its facets: structural, social, institutional, behavioral, cognitive, and emotional.

Each Breakthrough ACTION partner brings a different set of research tools during this phase. The spectrum of tools and approaches ranges from using observable, quantifiable, and measurable variables to conducting participatory, empathetic, and qualitative understandings of the household and its members within an ecosystem or within the socio-ecological model. The Define Phase uses a range of methods to deeply and thoroughly understand the audience in his/her context and includes qualitative and quantitative social science methods as well as market studies, audience segmentation, human-centered design discovery research, and/or behavioral economics diagnosis.

# DEFINE PHASE

## Uncover insights that will inform program opportunities

We have much to learn through the collection of new data, including structural, social-cultural, and behavioral factors impacting beneficiaries. Analyzing the new research findings, in conjunction with the existing knowledge, leads stakeholders and SBC practitioners to potential levers for change and avenues for solutions, or “insights” around which programs will be designed. An “insight” is a significant shift in perspective that helps to uncover unthought-of opportunities. Insights connect information and inspiration in new ways to perceive a situation in an unexpected way to gain an accurate and deep intuitive understanding of a person or a situation.

The Define Phase also includes an important opportunity to invite deep and sustained community Engagement with attention to gender equity and social inclusion. The Community Action Cycle is a process led by communities to assess their own needs and priorities. Blending the Community Action Cycle and formative research like the HCD Discovery Research is an opportunity to gain a deep understanding of the context and challenges from the community perspective.

## Apply the Socio-Ecological Model to guide solution design

The Socio-Ecological Model (SEM) examines the socio-ecological context in which the individual or community is situated, including the family, the community, the natural environment, the cultural context, the health and development system, and the political and policy environment. The SEM also describes cross-cutting factors such as information, motivation, agency and norms, which also affect the interaction of these model layers.



## What are some of the tools and techniques used during the Define Phase?

- Literature review
- Situation analysis
- Gender analysis
- Four voices of design/co-design
- Stakeholder buy-in
- Intent statement
- Work plan
- Concept note or strategy
- Theory of change
- Qualitative and quantitative data analysis and synthesis
- Behavioral segmentation analysis
- Social science methods
- Behavioral economics diagnosis
- HCD discovery research
- Journey maps
- Personas
- Insights generation
- Socio-Ecological Model
- Partnership-defined quality
- Community Action Cycle
- Ideation Model of Communication

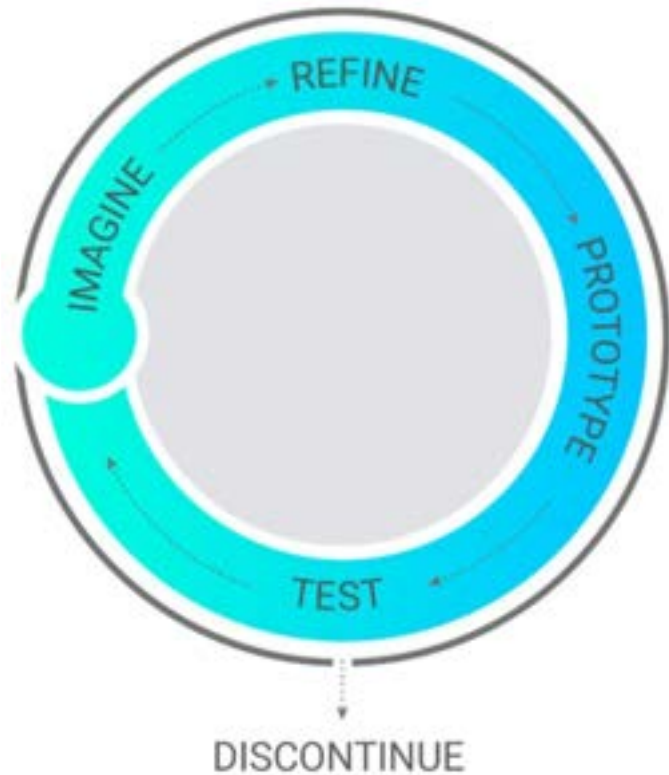
# DECISION POINT

Upon completing the Define Phase, the project team validates the insights generated with local community, district, and national stakeholders by addressing the following questions. The team will also begin planning and logistics activities in preparation for the Design & Test Phase.

Is there sufficient depth, detail, and opportunity to develop innovations in the Design & Test Phase?

Are the original scope and intent being met? Do these need to shift considering new and deeper understanding?

# DESIGN & TEST PHASE



Insights are translated into solutions in the highly creative, collaborative, and energetic **Design and Test Phase**.

## Imagine a new future, informed by insights, deeper understanding, and identified opportunities

This part of the process typically begins with a collective **Imagine** workshop. Using the insights and opportunities identified during the Define Phase as inspiration, transdisciplinary groups of designers, health experts, development specialists, stakeholders, and representatives from the target beneficiary audience, including men and women, come together to rapidly generate a broad array of possible solution ideas.

With the aim of generating as many ideas as possible, we do not limit idea generation by considerations of desirability, feasibility, or scalability. Facilitators encourage out-of-the-box thinking, discounting no idea. Expansive, divergent thinking and the presence of several disciplines in the Imagine workshop increases the likelihood of uncovering effective solutions.

## Refine initial ideas into prioritized concepts

We then **refine** this expansive set of ideas into a smaller subset of promising ideas to develop further. This refinement process helps to prioritize the best ideas through a set of criteria such as innovation, desirability, impact, feasibility, and scalability. If the team is taking an audience segmentation approach, they might also consider how intervention ideas could work with different audience segments, paying attention to the specific needs of men, women, girls, and boys.

Teams then flesh out ideas with the most potential into concepts that further describe what the idea is, how it works, what challenges it addresses, and any potential obstacles to its implementation.

## Iterate low-fidelity prototypes of the most promising ideas to get rapid feedback

The next step is to bring these ideas to life by creating tangible, low-fidelity **prototypes**. Because prototypes are meant to convey an idea—not to be perfect—project teams can quickly and inexpensively move through a series of iterations on initial ideas, building on what is learned from the intended audience through testing. Low-fidelity prototypes can take a variety of formats such as storyboards, role plays, diagrams, or models. The goal is to quickly make ideas visible, touchable, and malleable, often using paper and pencil to obtain feedback from the target audience early, often, and at little cost—thereby mitigating risk.

# DESIGN & TEST PHASE

## Test prototypes with audiences in the context in which they would be used

Teams then test rough prototype mockups with communities or target audiences. They rapidly iterate and further refine prototypes based on the audience's feedback, ensuring both women and men contribute, co-creating successively higher fidelity versions. Importantly, based on what is learned from prototyping, teams are not afraid to **discontinue** prototypes that fail, are too complex, or are outside their ability to implement. In many instances, prototyped ideas are combined to create new versions in response to feedback.

## Repeat this phase more than once to iterate and improve ideas until they can be implemented at small scale

Teams typically cycle through the Design & Test Phase multiple times. The first cycle of iteration typically tests the prototypes for desirability, the second cycle of iteration tests the prototypes for feasibility, and the third cycle tests the prototypes for viability, continually improving the proposed solution(s) along the way. We implement successful prototypes in a limited geographic area over a longer timeframe with monitoring and evaluation processes in place.

The geographic coverage of the initial implementation approach will often depend on the scope of the overall project.

## *What are some of the tools and techniques I need for the Design & Test Phase?*

Imagine workshop  
Ideation/idea generation  
Co-creation with communities  
Design thinking (divergent–convergent thinking)  
Prioritization techniques/criteria/filtering process  
Desirable–Feasible–Scalable model  
Audience segmentation  
Concept development  
Prototype development  
Iteration processes  
Storyboarding  
Role-playing  
Diagramming/modelling  
Rapid prototype testing  
Prototype refinement  
Monitoring and evaluation  
Behavioral economics experiments

# DECISION POINT

Upon completing the Design & Test Phase, the project team conducts another review of the outcomes achieved to date, particularly with community members.

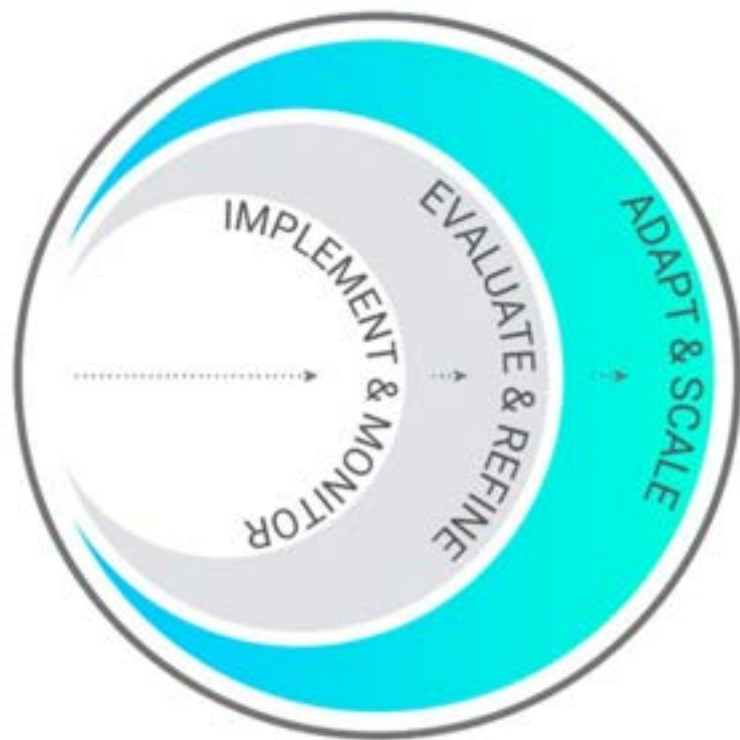
Are the prototypes/activities meeting the intent and within scope of the project?

Are the prototypes/activities operating as expected?  
Are they leading to any unintended consequences for women or men, boys or girls?

Are the prototypes/activities creating desired effects in the community?

Does the team have sufficient resources to move forward into implementation of the proposed activities?

# APPLY PHASE



Prototypes that have been successfully tested and monitored move into the **Apply Phase**.

## Preparing stakeholders to roll-out the successful prototypes and achieve the change objectives

The larger group of project stakeholders decides how to introduce the prototypes, monitor the effects, and plan to scale up. This includes determining how the new prototypes will be integrated into community action plans, existing national and program SBC strategies, and implementation plans, which may require advocacy with public-sector decision-makers in order to obtain their support. Include national or local groups—particularly women-led groups and those working on gender equity or social inclusion—and identify how the solutions strengthen their work.

Collaborating with stakeholders allows teams to determine the sequencing, phasing, reach, and intensity for implementation, agreeing on who will support which aspects of implementation (administratively, technically, and financially), and developing an implementation plan, budget, and a monitoring, learning, and evaluation plan (MEL plan) with clear indicators. Establishing or using an existing coordination mechanism, clearly articulating the roles and responsibilities of stakeholders, and ensuring resources are in place to support implementation help to reduce challenges along the way.

## Implementing and monitoring our best solutions in the real-world setting

With MEL plans and resources in place, we roll out solutions in project implementation areas. Effective **implementation** requires frequent data collection from a variety of sources to troubleshoot hiccups or unplanned challenges. Monitoring data informs decision-making for progressively larger implementation.

This **real-time monitoring** of program delivery outputs and estimated coverage helps determine if interventions are being delivered as planned, if they are achieving their intended results, and how the program needs to pivot if they do not.

Local health teams or community health management teams can be important assets in real-time monitoring. As the activities are integrated into the local health and development plans, local resources are applied to ensure the success of activity implementation. Local teams meet weekly or monthly to assess progress, and to identify local resources to enhance implementation. They are also responsible for reaching out to district, regional, or national stakeholders for additional support, where needed.

# APPLY PHASE

## Evaluating if the solutions are delivering results and achieving the desired social and behavior change outcomes

**Evaluation** helps describe whether, for whom, and at what level the solution is delivering results according to the theory of change and associated indicators. Sound program evaluation, with results disaggregated by gender, age, and other factors, leads to program improvements and necessary **refinements** in the design processes, materials, or overall strategies and activities. Alternatively, and sometimes simultaneously, it will show what works and how to replicate positive impact.

## Adapting the solution concepts to achieve impact at scale

Projects may need further **adaptation** in order to implement at **scale**. *Horizontal* scale-up expands coverage to new end-users (geographic or new audiences), *vertical* scale-up moves decision-making from individual to collective levels or from simple to complex organizations, with internalization of the program or project principles, and *functional* scale-up moves beyond one function (e.g., health) to integrate others (e.g., education, agriculture). Programmers should keep criteria such as efficacy, quality, equity, intensity, and sustainability in mind when adapting and scaling. Cultural and social contexts also need to be strongly considered. Regular use of knowledge management techniques will help gauge if the scale-up is demonstrating success across geographies, audiences, or other units of scale.

## What are some of the tools and techniques needed for the Apply Phase?

- Implementation planning
- Sequencing
- Phasing
- Reach
- Intensity
- Supports: administrative, financial, technical
- Advocacy with key decision makers and stakeholders
- Monitoring, evaluation, and learning plans
- Real-time monitoring
- Data collection
- Implementation data analysis against program indicators
- Pivoting
- Evaluation process
- Indicators
- Scaling—horizontal model versus vertical model versus functional model
- Scaling/sustainability criteria
- Knowledge management techniques

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