



CHAPTER

6

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Appendices:

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Appendix C: References

Appendix A: Suggested Readings

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Appendix B:

Worksheets for Theory-based Frameworks

Introduction

This section of the monograph breaks the development of a theory-based framework into a 12-stage process and describes the purpose and main activities of each step. Worksheets are provided as a hands-on guide for the process.

Steps to Creating a Framework

Phase I: Pre-Planning

- Stage 1: Form Workgroup
- Stage 2: Articulate Mission
- Stage 3: Identify Goals and Guiding Principles

Phase II: Theory of Change Development

- Stage 4: Develop Population Context
- Stage 5: Map Resources and Assets
- Stage 6: Assess System Flow
- Stage 7: Identify Outcomes and Measurement Parameters
- Stage 8: Define Strategies
- Stage 9: Create and Fine-tune the Framework

Phase III: Implementation

- Stage 10: Elicit Feedback
- Stage 11: Use Framework to Inform Planning, Evaluation and Technical Assistance Efforts
- Stage 12: Use Framework to Track Progress and Revise Theory of Change

Worksheet for Stage 1: Form Workgroup

Although not an exhaustive list, your list of participants may include the following:

State or Local Level Program Administrators

Program Management Staff

Board of Directors

Evaluators

Family Members

Family Advocates

Provider Agency Staff

Community Members

Funders

Interagency Partners

Direct Service Staff

Workgroup 1: Specify Level System Bridge Practice

Name:

Title/Position:

Worksheet for Stage 2: Articulate the Mission

To develop a mission statement, have workgroup participants take a few minutes to jot down three elements they believe are crucial to the mission of the system of care. As people discuss their ideas, record them on a board or flip chart. Use this as the basis for formulating a concise and comprehensive statement of the mission. Be careful to clarify how the mission statement relates to issues and strengths and goals.

Depending on the stage of development, systems of care development may have an existing mission statement. To review an existing statement, make it available to participants for their review. Have workgroup members identify specific elements of the statement that they believe are key to the purpose of the developing system as well as any that do not seem appropriate. Use this as the basis of discussion for whether the existing mission statement expresses the purpose of the developing system of care. Be open to modification of elements that do not serve the purpose of system development.

In getting started, it can be useful to review grant proposals and awards that describe the system development process for key elements of system's mission, so that they can be integrated into the final mission statement.

Mission Statement:

Worksheet for Stage 4: Develop the Population Context

The following chart suggests an approach for identifying your population of focus and community context. The column on the left specifies some of the key questions that will need to be answered in the process. The workgroup may identify additional questions. The other two columns provide space for documenting the results of the workgroup's discussion and identifying points requiring agreement to facilitate further consensus building.

Theory-based Framework Development		
Questions to be Answered	Characteristics of Population/Issue	Points Requiring Consensus
<ul style="list-style-type: none"> • Which children and families are on our population of focus? 		
<ul style="list-style-type: none"> • What issues/needs do we seek to address for this population? 		
<ul style="list-style-type: none"> • What is the nature and history of the issues and needs in our community? 		
<ul style="list-style-type: none"> • What strengths can be identified? 		
<ul style="list-style-type: none"> • What family, practice, community, and system characteristics are relevant to understanding these needs/ issues? 		

Worksheet for Stage 5: Map Resources and Assets

Information to be collected:

Document or Information

Responsible Individual:

Report Back (Date)

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Worksheet for Stage 7: Identify Outcomes and Measurement Parameters

The following chart suggests an approach for identifying desired outcomes at the practice, program, and system/community levels. The column on the left specifies some of the key questions that will need to be answered in the process, while allowing for the possibility that the designated workgroup will identify additional questions. The other two columns provide space for documenting the results of the workgroup's discussion and identifying points requiring agreement to promote further consensus building or clarify the need for technical assistance.

Specify Level of Theory-based Framework: _____
(e.g., system, bridge, practice)

Identification of Outcomes			
Desired Outcome	Can Measures for this Outcome be Identified?	Are data about this outcome currently collected?	If not currently collected, can they be?

Worksheet for Stage 7: Identify Outcomes and Measurement Parameters

The following chart suggests an approach for identifying indicators for desired outcomes at the practice, program, and system/community levels. Write your desired outcomes in the column on the left. In the other two columns, identify indicators for your outcomes and points requiring agreement that may also require further consensus building or technical assistance.

Specify Level of Theory-based Framework: _____
(e.g., system, bridge, practice)

Identification of Indicators		
Desired Outcome	Indicators	Points Requiring Agreement
Outcome 1:	Indicator 1:	
	Indicator 2:	
	Indicator 3:	
	Indicator 4:	
Outcome 2:	Indicator 1:	
	Indicator 2:	
	Indicator 3:	
	Indicator 4:	
Outcome 3:	Indicator 1:	
	Indicator 2:	
	Indicator 3:	
	Indicator 4:	
Outcome 4:	Indicator 1:	
	Indicator 2:	
	Indicator 3:	
	Indicator 4:	

Worksheet for Stage 8: Define Strategies

The following worksheet guides the workgroup to identify strategies that can be directly related to the identified outcomes for specific populations. It is with this linkage across population, outcomes, and strategies frames that the theory of change is solidified. This worksheet also serves the purpose of documenting the workgroup's discussion of strategies. During the discussion, differences of opinion about what strategies will lead to the desired outcomes will surface.

Describe Strategies		
Potential Strategies	Do strategies contribute to the mission & align with guiding principles?	How does strategy relate to outcomes for the identified population?

Appendix C: References

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