SOCIAL AND BEHAVIOR CHANGE COMMUNICATION Capacity Assessment Tool

SBCC-CAT

FOR USE WITH ORGANIZATIONS

FACILITATOR'S GUIDE

USAID FROM THE AMERICAN PEOPLE

This publication is made possible by the generous support of the American people through the United States Agency for International Development (USAID) under the terms of Agreement No. GPO-A-00-07-00004-00. The contents are the responsibility of the C-Change program, managed by AED, and do not necessarily reflect the views of USAID or the United States Government.

C-CHANGE COMMUNICATION FOR CHANGE

Social and Behavior Change Communication–Capacity Assessment Tool (SBCC-CAT)

FOR USE WITH ORGANIZATIONS

FACILITATOR'S GUIDE

March 2011

This publication is made possible by the generous support of the American people through the United States Agency for International Development (USAID) under the terms of Agreement No. GPO-A-00-07-00004-00. The contents are the responsibility of the C-Change program, managed by AED, and do not necessarily reflect the views of USAID or the United States Government.

C-CHANGE COMMUNICATION FOR CHANGE

USAID FROM THE AMERICAN PEOPLE

Recommended citation:

C-Change. 2011. Social and Behavior Change Communication (SBCC)—Capacity Assessment Tool for Organizations. Facilitator's Guide. Washington, DC: C-Change/AED.

C-Change is implemented by AED and its partners—CARE; Internews; Ohio University; IDEO; University of Washington/I-TECH; Center for Media Studies, India; New Concept, India; Soul City, South Africa; Social Surveys, South Africa; and Straight Talk, Uganda.

Contact information:

C-Change
1825 Connecticut Ave., NW, Ste. 800
Washington, DC 20009 USA
Tel: +1.202.884.8000
Fax: +1.202.464.3799
Email: cchange@aed.org
Website: http://www.c-changeprogram.org

FACILITATOR'S GUIDE CONTENTS

Introduction 4

Background 4

What does the SBCC-CAT do? 4

Who Should Use the SBCC-CAT? 5

How to use the SBCC-CAT? 5

Step 1 Assessing SBCC Capacity 6

Step 2 Reviewing Materials 6

Step 3 Developing a Capacity Strengthening Plan 7

Step 1 Assessing SBCC Capacity 8

Guidance on SBCC Concepts Used in Step One 8

Step 2 Reviewing Materials 10

Materials Review and Scoring Adjustments 10

Step 3: Developing a Capacity Strengthening Plan 25

Finalizing Scores 25

Annex 1: Organizational Profile 28

Annex 2: Sample Invitation 29

Annex 3: Sample SBCC-CAT Agenda 30

Annex 4: Sample SBCC-CAT Session Plan 31

Annex 5: Case Study—Development and Use of the SBCC-CAT in Namibia 34

Annex 6: Resources Used to Develop the SBCC-CAT 35

INTRODUCTION

Background

C-Change developed the Social and Behavior Change Communication– Capacity Assessment Tool (SBCC-CAT) to help organizations working in health and development communication to measure their technical capacity and needs in SBCC.

SBCC is an interactive, researched, and planned process that aims at changing social conditions and individual behaviors. SBCC uses advocacy, social mobilization, and behavior change communication to achieve its desired goal: to find a tipping point for sustainable changes in behaviors and society overall.

Successful SBCC hinges on a process with five components described C-Planning. Meeting particular standards in each of the following components is crucial:

1. Understanding the Context through Situation Analysis
2. Focusing & Designing the Communication Strategy
3. Creating Interventions & Materials for Change
4. Implementing & Monitoring Change Processes
5. Evaluating & Replanning the Program

SOURCE: Adapted from Health Communication Partnership, P-Process Brochure, CCP at JHU (2003); McKee, Manoncourt, Chin, Carnegie, ACADA Model (2000); Parker, Dalrymple, and Durden, The Integrated Strategy Wheel (1998); AED, Tool Box for Building Health Communication Capacity (1995); National Cancer Institute: Health Communication Program Cycle (1989).

What does the SBCC-CAT do?

The SBCC-CAT helps organizations to **assess the quality of their SBCC programs** based on the five components above. By using this Tool, organizations can identify the strengths and weaknesses of current programs—where they are meeting these basic standards and where they do not—as well as define activities that strengthen staff 's capacity, refocus programs and improve the overall quality of their SBCC efforts. Using the SBCC-CAT as a measurement tool over time will allow for the organization to assess its increased competency and capacity in SBCC.

This Facilitator's Guide accompanies the SBCC-CAT, the actual assessment tool. To guide the facilitation of the SBCC-CAT, this document contains:

- Guidance on who should use and how to use the SBCC-CAT
- Clarification on concepts used during the assessment
- Worksheets and templates to assist in the facilitation of the SBCC-CAT

Who Should Use the SBCC-CAT?

The SBCC-CAT can be used by **any health and development organization** interested in improving the design, implementation, and monitoring and evaluation (M&E) of its SBCC programs. The Tool should be administered by a facilitator, who, ideally, is not part of the organization. The organization should create an environment that is participatory and equitable, where all participants feel comfortable contributing their opinions and do not feel they are being steered toward a certain score or outcome. It is helpful if the facilitator is familiar with SBCC concepts and has experience in planning, implementing, and evaluating SBCC programs and activities. The facilitator may also want to bring examples of documents discussed in this tool, such as a communication strategy or a creative brief. Examples of all documents mentioned in this Tool can be found in the *C-Modules,* learning package for SBCC available for download at http://c-changeprogram.org/focus-areas/capacity-strengthening/sbcc-modules

How to use the SBCC-CAT?

The Facilitator's Guide provides background on the SBCC-CAT, guidance on using it, and sample tools that will help the facilitator to prepare organizations for the SBCC-CAT:

The facilitator should invite an organization to participate (a sample invitation letter is in Annex 1) and become familiar with the organization prior to the assessment (an organizational profile template is provided in Annex 2). A sample agenda to facilitate the SBCC-CAT is in Annex 3.

The organization should clearly understand the purpose of the SBCC-CAT and note that the SBCC-CAT assessment is a *three-step process*[1]:

1. The first step is the use of the tool to guide discussions and scoring.
2. The second gathers evidence through a review of communication materials.
3. The third step finalizes scores of the SBCC-CAT and concludes with the development of a capacity strengthening plan.

After completing the entire *three-step process* organizations will be able to take action to increase their SBCC capacity in a systematic and evidence-based manner.

[1] These steps may take place on different days, depending on participants' availability. The number of participants should be limited to no more than 10, as they will need to discuss each question and reach an agreement on a score. It may be helpful to use a digital recorder or designate a note-taker so all discussion points are captured. If the group must be larger than 10, it may be divided into sub-groups, but this will require the active presence of multiple facilitators. Each sub-group will take a section of the assessment tool and report their results back to plenary.

The principal steps in the participatory assessment process are as follows:

Step 1 Assessing SBCC Capacity

The facilitator provides a brief introduction that stresses the purpose of the participatory assessment to assist the team to identify their strengths and weaknesses in SBCC and their skill level. The process is not intended to criticize their current efforts and activities, but to assist the team to orient themselves to core SBCC components and identify their strengthening needs.

The facilitator asks the team to give a general description of the current response in their region. What is being done, which organizations are involved, where they are working, and what technical areas are being addressed? It helps to have a map of the region to orient this discussion. The facilitator will become familiar with the current regional situation and the team will be oriented to the assessment.

The facilitator reviews the *three steps* of the SBCC-CAT and explains the assessment process. Copies of the SBCC-CAT should be made available for each participant for this purpose. The facilitator answers any questions before proceeding.

The facilitator takes the team through each of the SBCC-CAT's five core competency areas. In each case, the facilitator defines and introduces the area to be discussed. Then the facilitator asks an open-ended question and leads short discussions to further clarify issues and gather important background information needed for follow up questions. For complex concepts and issues, probes can be used at the end of the closed-ended questions to further clarify responses.

In response to each question, the team discusses the answer, comes to a consensus, and assigns a score. The facilitator should not lead responses or suggest scores, but rather request a consensus score from the group by using questions to initiate discussion. The step is completed once all the questions in each component have been discussed and scores assigned.

Step 2 Reviewing Materials

The facilitator begins by conducting a review of the organization's communication materials that relate to SBCC. One or two staff should guide the facilitator through each of the materials. The facilitator should ask how each material was developed and is being used by the organization. The materials themselves are not scored.

The facilitator verifies the scores given by the participants by reviewing the supporting documents and using definitions provided in the SBCC-CAT and the *C-Modules*. If the supporting documents do not exist or the information is not aligned with responses in the self-assessment, then the facilitator should adjust scores accordingly with involvement from the team whenever possible. Through the material review, the facilitator will be better able to identify SBCC gaps and provide tailored support for the development of an effective capacity strengthening plan.

Step 3 Developing a Capacity Strengthening Plan

The scores should be re-visited after the material review. Tallying and averaging all scores for each component will provide a baseline from which an organization can build and begin planning improvements. Participants should reach consensus on scores prior to moving to the development of a capacity strengthening plan. Following the calculation of the overall score, the team should note main areas that need strengthening, develop an initial plan of action, and note any specific areas requiring technical support. This information will be used to develop a strengthening plan. The results can serve as the situational baseline for the organization and the SBCC-CAT can be used again, after capacity strengthening activities, to determine whether SBCC skills and competencies have improved.

The facilitator writes up the results of the SBCC-CAT in a brief report that summarizes the discussions for each component and describes how the results of the SBCC-CAT feed into the capacity strengthening plan.

Logical **next steps are a strategy session to determine priorities, and then the creation of a workplan or training action plan**. (A real-life example of this can be found in Annex 5.) This Facilitator's Guide provides a list of questions that can help to guide this process (page 25) and a template of a capacity strengthening plan (page 16 of the SBCC-CAT).

STEP 1 ASSESSING SBCC CAPACITY

Guidance on SBCC Concepts Used in Step One

For each component and sub-component, the SBCC-CAT provides opening questions that can be used. Concepts used in this component may need more explanation. To get you started, here are some sample probes for Component 1. A glossary for all concepts in the SBCC-CAT is available at: http://c-changeprogram.org/sites/default/files/sbcc_modules_additional_resources.pdf

COMPONENT 1: Understanding the Context through Situation Analysis

Sub-component 1: Evidence-based and theory- or model-driven planning and design

If a situational analysis has been conducted, probe to find out:

- What are some of main issues you identified the last time you conducted a situation analysis? (Issues could include social or cultural norms, behavioral patterns, policies, and/or legislative or economic factors.)
- What social and gender norms and behavioral patterns are relevant to your program? What is the primary legislative and policy issues might affect it?
- What sources did you use to gather information for the last situation analysis you conducted? Were they secondary sources? Did you collect any data yourself?

If theories or models are used in planning and design, probe to find out:

- Which theories or models do you use? (Encourage participants to list the names or describe the main domains within the theory or model.) What made you choose these theories or models?
- What does the theory or model used in the situation analysis or strategy development say about the potential causes and/or effects of the issue or problem and how to address it? What does the theory or model used say about: individuals affected by the issue or problem, their family, peers, and partners, the local community, products and services, and the national environment?
- What aspects of these theories or models did you incorporate into your program plans and design?

If data from existing research is used, probe to find out:

- What sources of secondary data did you use the last time you conducted a situation analysis? (Examples include DHS, AIDS Indicators Survey, and a Behavioral Surveillance Survey.) Encourage participants to name these sources and to provide you with copies of them, if possible. Note whether or not you saw such copies.
- What specific information from the secondary data sources did you use in the planning your program?

If data from original research is used, probe to find out:

- What methods did you use to collect the data the last time you conducted a situation analysis? What were your main findings? Which findings did you use to plan and design your programs?

If stakeholders are identified/mapped/collaborated with, probe to find out:

- What process did you follow to identify stakeholders during the last situation analysis?
- How often were stakeholders engaged in the design of your program? Did they attend meetings? Were they contacted on a one-to-one basis? How did you engage stakeholders you identified?
- Describe any replication of services or overlap of programs, if any, and how you know that these do or do not exist

STEP 2 REVIEWING MATERIALS

Materials Review and Scoring Adjustments

Completion of the following questions should be based on a review of the supporting documents provided. The initial scores agreed upon during the self-assessment are adjusted, as needed, to reflect information found in these materials. After scores have been adjusted, they are discussed with the group in Step 3. The final score is agreed upon by everyone and is recorded. Comments should include any additional observations that are relevant for the capacity assessment plan. The final score for sub-components is summed, and then divided by the number of questions to create a score for each component as well as a total score.

Organization_____ **Date:** _____

- ◻ Baseline
- ◻ Mid-line
- ◻ End-line

Component 1: Understanding the Context through Situation Analysis **Sub-component 1: Evidence-based and theory- or model-driven planning and design**
1.1 Situation analysis Relevant documentation (reports, data collection plans, SOW) shows that the organization: ◻ Does not a conduct an analysis ◻ Relies on their own personal network for analysis ◻ Involves key informants in the analysis ◻ Uses multiple perspectives in the analysis **Initial score =**_____ **Adjusted score =**_____ **Final score =**_____ **Comments:**

Component 1: Understanding the Context through Situation Analysis

Sub-component 1: Evidence-based and theory- or model-driven planning and design

1.2 Use of theories and models

Relevant documentation (reports, data collection plans, SOW, notes) shows that the organization:

- ☐ Does not use theories and models
- ☐ Uses models or theories
- ☐ Uses models or theories that fit the context
- ☐ Uses models or theories that fit the context for the situation analysis and strategy design

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

1.3 Research Data

Relevant documentation (reports, SOW, data collection plans and instruments, qualitative or quantitative data, notes) shows that the organization:

- ☐ Does not collect data
- ☐ Relies on their own sources
- ☐ Uses existing research
- ☐ Uses both existing and original research

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 1: Understanding the Context through Situation Analysis

Sub-component 1: Evidence-based and theory- or model-driven planning and design

1.4 Stakeholders

Relevant documentation (reports, data collection and analysis plans, qualitative or quantitative data, SOW, notes) shows that the organization:

- ☐ Does not review stakeholders' activities
- ☐ Review stakeholders' activities but little interaction
- ☐ Review stakeholders' activities and share program plans and ideas
- ☐ review stakeholders' activities and collaborate to reduce replication of services and overlap

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 2: Focusing and Designing the Communication Strategy

Sub-component 1: Development of strategies

2.1 Communication strategy

Relevant documentation shows:

- ☐ No communication strategy
- ☐ Communication strategy includes few of the necessary components (1–3)
- ☐ Communication strategy includes most of the necessary components (4–7)
- ☐ Communication strategy includes all necessary components (8)

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

2.2 Audience selection and segmentation

Relevant documentation (communication strategy) shows that the organization:

- ☐ Does not select audiences and/or segment
- ☐ Selects specific audiences but does not segment
- ☐ Selects specific audience segments but program is not tailored enough
- ☐ Selects specific audience segment and programs are tailored for them

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 2: Focusing and Designing the Communication Strategy

Sub-component 1: Development of strategies

2.3 Communication objectives

Relevant documentation (communication strategy) shows that the organization:

- ☐ Only has program objectives
- ☐ Sets communication objectives
- ☐ Sets evidence-based, SMART objectives
- ☐ Sets evidence-based, SMART objectives that address barriers to change for each audience segment

Initial score =
Adjusted score =_____
Final score =_____
Comments:

2.4 Communication channels

Relevant documentation (communication strategy, workplan and budget) shows that the organization:

- ☐ Uses only one channel
- ☐ Uses multiple channels, based on audience preferences
- ☐ Uses multiple, interlined channels, based on audience preferences
- ☐ Uses multiple, interlinked channels, based on audience preferences, that reach audience segments repeatedly

Initial Score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 2: Focusing and Designing the Communication Strategy

Sub-component 1: Development of strategies

2.5 Levels of influence

Relevant documentation (communication strategy) shows that the organization:

- ☐ Uses a communication strategy address one level (e.g., individual, family, community, regional, national)
- ☐ Uses a communication strategy address two levels, but not during the same time period
- ☐ Uses a communication strategy address more than two levels, but not during the same time period
- ☐ Uses a communication strategy address more than two levels during the same time period

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

2.6 Strategic approach

Relevant documentation (communication strategy) shows that the organization:

- ☐ Does not have a strategic approach
- ☐ Has a strategic approach that includes one key strategy
- ☐ Has a strategic approach that links all strategies and channels
- ☐ Has a strategic approach that links all strategies and channels are packaged into a single campaign or intervention

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 3: Creating Interventions and Materials for Change

Sub-component 1:Materials development

3.1 Key elements of a communication strategy used to develop materials

Relevant documentation (communication strategy, workplan, SOW, plan/design for audience input, plan/design for stakeholder and technical reviews, notes) shows that the organization:

- ☐ Does not use any of the elements for creation of materials and messages
- ☐ Uses some key elements for the creation of materials and messages
- ☐ Uses several clearly articulated elements for the creation of materials and messages
- ☐ Uses almost all, clearly articulated elements for the creation of materials and messages

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

3.2 Material and message review by technical staff and stakeholders

Relevant documentation (communication strategy, workplan, reports, study designs for stakeholder and technical reviews, notes) shows that the organization:

- ☐ Does not have messages and materials reviewed
- ☐ Has available staff conduct impromptu or casual reviews of materials
- ☐ Conducts a formal review of messages and materials by technical staff
- ☐ Conducts a formal review of messages and materials by both technical staff and stakeholders

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 3: Creating Interventions and Materials for Change

Sub-component 1:Materials development

3.3 Material and message development and audience input

Relevant documentation (communication strategy, workplan, reports, plan/design for audience input, notes) shows that the organization:

- ◻ Conducts audience consultation or testing
- ◻ Conducts audience consultation or testing, but audience feedback is rarely incorporated
- ◻ Conducts audience consultation or testing several times and generally incorporates audience feedback
- ◻ Conducts audience consultation tests repeatedly with audiences and always incorporates their feedback

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 4: Implementing and Monitoring Change Processes

Sub-component 1: Developing a workplan

4.1 Communication project workplan

Relevant documentation (workplan) shows that the organization:

- ◻ Does not have a workplan
- ◻ Develops workplans that assign responsibilities and provide time frames
- ◻ Develops workplans that assign responsibilities, provide time frames, and allocate resources and costs
- ◻ Develops workplans that assign responsibilities, provide time frames, allocate resources, and link material development and activities to communication objectives

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

4.2 Coordination and implementation of communication strategy

Relevant documentation (workplan) shows that the organization:

- ◻ Does not coordinate partner programs
- ◻ Coordinates one discreet activity with another partner program
- ◻ Coordinates several activities with multiple programs
- ◻ Coordinates implementation of workplan with multiple programs that complement their communication strategy

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 4: Implementing and Monitoring Change Processes

Sub-component 1: Developing a workplan

4.3 Budgeting for SBCC programs

Relevant documentation (workplan) shows that the organization:

- ◻ Does not include budgets workplan
- ◻ Includes a detailed and accurate budgets for distribution of materials in the workplan
- ◻ Includes a detailed and accurate budgets for distribution of materials and M&E in the workplan
- ◻ Requires partners to include detailed and accurate budgets in their workplans for all elements of their program strategy

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

4.4 Coordination of implementation of activities

Relevant documentation (workplan) shows that the organization:

- ◻ Implements activities whenever possible
- ◻ Considers important events that compete with activities in the workplan
- ◻ Considers important events that compete with activities, then adjusts their implementation accordingly workplan
- ◻ Considers important events that compete with activities, then ensures that implementation is synchronized and activities enhance each other workplan

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 4: Implementing and Monitoring Change Processes

Sub-component 2: Staffing plans and competencies

4.5 SBCC capacity of management and technical staff

Relevant documentation (reports, workplans, communication strategy, staff CVs, performance objectives, training materials) shows that the organization:

- ☐ Does not make sure that staff has receive training in SBCC
- ☐ Makes sure that some managers have received training in SBCC
- ☐ Makes sure that managers and technical staff have been trained in SBCC, but does not ensure that they have more than limited applicable experience in SBCC implementation
- ☐ Makes sure that managers and technical staff have been trained in SBCC and have extensive, applicable experience in SBCC implementation

Initial score =_____
Adjusted score =_____
Final score=_____
Comments:

4.6 SBCC capacity strengthening plan for management and technical staff

Relevant documentation (workplan, program proposal & budget/contract, training materials, performance objectives) shows that the organization:

- ☐ Does not have an SBCC capacity strengthening plan
- ☐ Discusses the need for further SBCC strengthening
- ☐ Has developed a plan for SBCC strengthening
- ☐ Has an ongoing plan for SBCC strengthening and is implementing it

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 4: Implementing and Monitoring Change Processes

Sub-component 3: Supervision of field workers

4.7 Supervision of field workers

Relevant documentation (workplan, reports) shows that the organization:

- ☐ Does not supervise field workers
- ☐ Periodically supervises field workers, but less frequently than once a month
- ☐ Supervises field workers monthly and makes some observations on services and activities
- ☐ Supervises field workers and always observes services and activities

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

4.8 Provision of communication materials to field workers

Relevant documentation (workplan, reports) shows that the organization:

- ☐ Does not make communication materials available
- ☐ Provides field workers with the communication materials they need for outreach activities when available
- ☐ Ensures that field workers almost always communication materials they need for outreach activities
- ☐ Ensures that field workers always have the communication materials they need for outreach activities

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 4: Implementing and Monitoring Change Processes

Sub-component 4: Frameworks and mechanisms

4.9 Development of M&E plans

Relevant documentation (workplan, M&E plan) shows that the organization:

- ☐ Does not develop M&E plans
- ☐ Has M&E plans for some of the programs
- ☐ Has M&E plans for nearly half of the programs
- ☐ Has M&E plans for the majority or all of the programs

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

4.10 Indicators for SBCC activities

Relevant documentation (workplan, M&E plan) shows that the organization:

- ☐ Has no indicators for their communication program
- ☐ Has some indicators, but their relationship to communication objectives is unclear
- ☐ Has clear process and output indicators that are linked to communication objectives
- ☐ Has clear process, output, and outcome indicators that are linked to communication objectives

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 4: Implementing and Monitoring Change Processes

Sub-component 4: Frameworks and mechanisms

4.11 Tool for monitoring implementation

Relevant documentation (workplan, M&E plan) shows that the organization:

- ☐ Does not monitor their SBCC activities
- ☐ Creates tools as needed to monitor communication activities
- ☐ Has standard tools to monitor process indicators
- ☐ Has and consistently uses standard tools to monitor process indicators

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

4.12 Quality of M&E data

Relevant documentation (workplan, M&E plan, program proposal/contract, budget) shows that the organization:

- ☐ Does not have a plan for collecting and analyzing data and M&E training
- ☐ Has a detailed plan for collecting and analyzing data
- ☐ Has a detailed plan for collecting and analyzing data and trained or hired people to implement the data collection analysis plan
- ☐ Trained or hired people to implement the data collection analysis plan and conduct quality checks

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

Component 5: Evaluating and Replanning

Sub-component 1: Using results for replanning

5.1 Results, best practices, and lessons learned

Relevant documentation (workplan, M&E plan, reports with lessons learned and/or best practices) shows that the organization:

- ◻ Does not document results, best practices, or lessons learned
- ◻ Documents results or lessons learned
- ◻ Documents and disseminates results or lessons learned
- ◻ Documents and disseminates results, lessons learned, and best practices

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

5.2 M&E data analysis and presentation of results

Relevant documentation (workplan, M&E plan, reports with programs improved based on M&E data) shows that organization:

- ◻ Does not analyze M&E data
- ◻ Analyzes monitoring data
- ◻ Analyzes M&E data
- ◻ Analyzes and presents M&E data

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

5.3 Using M&E data to replan

Relevant documentation (workplan, M&E plan, reports with programs improved based on M&E data) shows that organization:

- ◻ Does not use M&E data to improve programs
- ◻ Uses M&E data to assess program progress
- ◻ Uses M&E data frequently to assess progress and improve programs
- ◻ Uses M&E data always to assess programs and improve programs in a systematic manner

Initial score =_____
Adjusted score =_____
Final score =_____
Comments:

STEP 3: DEVELOPING A CAPACITY STRENGTHENING PLAN

Finalizing Scores

Components	Scores
Component 1: Understanding the Context through Situation Analysis Sub-component 1: Evidence-based and theory-driven planning and design	
Component 2: Focusing and Designing the Communication Strategy Sub-component 1: Development of strategies	
Component 3: Creating Interventions and Materials for Change Sub-component 1: Materials development	
Component 4: Implementing and Monitoring Change Processes	
Sub-component 1: Developing a workplan	
Sub-component 2: Staffing plans and competencies	
Sub-component 3: Supervision of field workers	
Sub-component 4: Frameworks and mechanisms	
Component 5: Evaluating and Replanning Sub-component 1: Using results for replanning	
Total Score	

Synthesizing SBCC Gaps Identified

The team should gather back together to review their final scores for each component in the SBCC-CAT. They should focus on questions that produced lower scores, areas for improvement, and gaps that require capacity strengthening. After this, the group should fill in their SBCC capacity strengthening plan. As they go through the plan, they should reflect on their scores for each component and sub-component, as well the identified needs, gaps, and areas for improvement. They should also think about the organization's strengths, and how these can be complemented with the strengths of partners and other organizations. Suggest that the group thinks beyond trainings and consider other resources that might fill identified gaps and areas for improvement.

Component 1: Understanding the Context through Situation Analysis

Sub-component 1: Evidence-based and theory- or model-driven planning and design

Key issues	Summary of needs/areas for improvement
• Has a situation analysis been done? • Are tools, theories and/or models, and data used for program design? • Are reviews conducted of what is being done by local stakeholders?	

Component 2: Focusing and Designing the Communication Strategy

Sub-component 1: Development of strategies

Key issues	Summary of needs/areas for improvement
• Is there a communication strategy that is segmented by audience and has clear communication objectives? • Does the communication strategy propose using multiple channels that are mutually reinforcing to reach audiences? • Does the communication strategy address different levels of influence on the problem?	

Component 3: Creating Interventions & Materials for Change

Sub-component 1: Material development

Key issues	Summary of needs/areas for improvement
• Is a design process followed? • Is there an inventory of current materials? • Do concept testing, pretesting, stakeholder review, and field testing form part of material development?	

Component 4: Implementing and Monitoring Change Processes

Sub-component 1: Developing a workplan

Key issues	Summary of needs/areas for improvement
• Are there linkages to other programs and partners? • Is budgeting done during workplanning? • Are the materials developed linked to and reinforce main messages in the communication strategy?	

Sub-component 2: Staffing plans and competencies

Key issues	Summary of needs/areas for improvement
• Does staff have the skills to manage and implement SBCC programs? • Are plans for staff capacity strengthening in place? • Is a supervisory system in place?	

Sub-component 3: Supervision of field workers

Key issues	Summary of needs/areas for improvement
• Are field workers supervised regularly? • Are communication materials provided to workers who do outreach?	

Sub-component 4: Frameworks and mechanisms

Key issues	Summary of needs/areas for improvement
• Is regular monitoring conducted? • Do tools and systems ensure high quality of data? • Are data analyzed and reinterpreted?	

Component 5: Evaluating and Replanning

Sub-component 1: Using results for replanning

Key issues	Summary of needs/areas for improvement
• Are results documented and disseminated? • Is analyzed data communicated to partners? • Are data used to improve programs?	

Planning and Prioritizing SBCC Capacity Strengthening Needs

Once the team has identified the organization's SBCC gaps, they should think about:

- which areas could be strengthened and improved
- what they already have and what they need
- who will be responsible for leading the effort, both internally and externally
- how important the capacity strengthening effort is

The team then completes the template in the SBCC-CAT to assist the development of their capacity strengthening plan.

ANNEX 1: ORGANIZATIONAL PROFILE

Date of Assessment: _____

1. **Assessment facilitator (name, title, contact details): _____**
2. **Name of organization: _____**
3. **Contact person and details: _____**
4. **Program to be assessed: _____**
5. **Organization works in the following technical areas:**

   □ Basic HIV prevention
   □ ART
   □ VCT
   □ Home-based care
   □ PMTCT
   □ OVC
   □ Education
   □ Governance
   □ TB
   □ Family planning
   □ Reproductive health
   □ Malaria prevention
   □ Malaria treatment
   □ Nutrition
   □ Other: _____

6. **Target audiences:**

   □ General community
   □ Adults
   □ Youth
   □ Young children
   □ MARPs—specify_____
   □ PLWHA
   □ Policymakers
   □ Other: _____

7. **Locations:**

   □ Rural
   □ Urban
   □ **Regions: _____**

ANNEX 2: SAMPLE INVITATION

Dear XXX *[head of organization or relevant staff],*

We invite you to attend a meeting on assessing your organization's capacity in social and behavior change communication (SBCC). A SBCC Capacity Assessment Tool (SBCC-CAT) will be used to help your organization measure its own technical capacity and needs in SBCC. The SBCC-CAT was designed to help health and development organizations who want to improve the design, implementation, and M&E of their SBCC programs. After the assessment, your organization will have identified its SBCC strengths and weakness, and you will be able to use this information to develop plans to strengthen your SBCC programs and activities.

The meeting will be facilitated by *[insert name]* from *[insert organization and affiliation]* to ensure the assessment environment is equitable and participatory. It is important that all participants feel comfortable in contributing their opinions .The assessment will take one day about eight hours; please find the agenda attached.

As part of the assessment, we will review certain materials related to your work on SBCC. We ask that you bring the following materials and have them ready for review at the beginning of the assessment.

- ◻ Data sources used to plan projects
- ◻ Communication strategies
- ◻ Quarterly and annual program reports
- ◻ Creative briefs used to develop materials and activities
- ◻ Pre-test materials
- ◻ Workplans and/or implementation plans for communication activities
- ◻ Monitoring and evaluation plans

Please bring any other documents you think will be applicable to the assessment and discussions. We would appreciate your help in identifying the relevant management, technical, programmatic, and implementing staff who could participate in the assessment; please send us a list with their names and position titles. We have found the participation of: management, technical, programmatic, and implementing staff to be key in the assessment.

Your attendance and participation would be greatly appreciated. We look forward to seeing you on *[insert date]* at *[insert time and place].*

Sincerely,

[Name] [Title]

ANNEX 3: SAMPLE SBCC-CAT AGENDA

The time blocks in this sample agenda build on each other and should be conducted in order. All do not have to be completed on the same day.

8:30-9:00	Introduction to the SBCC-CAT
9:00-10:30	Assessment components 1 and 2
10:30-10:45	Morning tea break
10:45-12:15	Assessment components 3 and 4
12:15-1:00	Assessment component 5
1:00-2:00	Lunch break
2:00-3:30	Material review (break for non-participants)
3:30-4:30	Development of capacity strengthening plan
4:30-5:00	Evaluation of SBCC-CAT, results, next steps, and close

ANNEX 4: SAMPLE SBCC-CAT SESSION PLAN

Session 1: Introduction **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
30 min	Introduction	Facilitator welcomes participants and discusses the purpose of the SBCC-CAT. Warm-up exercise (for example, participants each light a match and talk about themselves until it burns out.) Discussion: facilitator asks the team to give a general description of the current response in their region Facilitator reviews CAT with team.	Copies of the SBCC-CAT for all participants Flipchart and markers	All relevant staff
Session 2: SBCC-CAT Components 1 and 2 **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
1.5 hours	Component 1: Understanding the Context through Situation Analysis Component 2: Focusing and Designing the Communication Strategy	Discussion	SBCC-CAT Flipchart and markers Copies of the communication strategy and other relevant documents	All relevant staff

Session 3: SBCC-CAT Components 3 and 4 **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
1.5 hours	Component 3: Creating Interventions and Materials for Change Component 4: Implementing and Monitoring Change Processes	**Discussion**	SBCC-CAT Flipchart and markers Copies of relevant documents	All relevant staff
Session 4: SBCC-CAT Component 5 **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
45 min	Component 5: Evaluating and Replanning	Discussion	SBCC-CAT Flipchart and markers Copies of relevant documents	All relevant staff
Session 5: Materials review **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
1.5 hrs	Material review	Discussion of organization's materials	SBCC-CAT Flipchart and markers Copies of requested documents	1-2 staff who are familiar with how materials are used within the organization guide facilitator through the material review

Session 6: Capacity strengthening plan **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
1 hr	Development of a capacity strengthening plan	Participants discuss: • summary of SBCC-CAT findings • action plans for change • technical support and training/resource needs	SBCC-CAT Flipchart and markers Copies of requested documents	All Relevant staff
Session 7: Evaluation of SBCC-CAT, results, next steps, and close **Facilitator: _____**				
Time	**Step**	**Method**	**Materials**	**Participants**
30 min	Evaluation, action points, and close	Facilitator draws a large curved line on the flip chart, and participants place cards along the line to show the level at which their expectations were met Participants discuss and reach consensus on next steps	SBCC-CAT Flipchart and markers	Relevant Staff

ANNEX 5: CASE STUDY—DEVELOPMENT AND USE OF THE SBCC-CAT IN NAMIBIA

An initial SBCC-CAT draft was developed in 2008 by C-Change/Namibia and C-Change partner Ohio University in response to the need for a set of standards in SBCC programming that could be used to assess the quality of existing programs and identify gaps and areas for strengthening.

This SBCC-CAT (2008 version) was first used in a participatory session led by a C-Change facilitator that lasted nearly five hours. The assessment team comprised managers, technical staff, and volunteers from each of the key implementing organizations in Namibia working in HIV. The session resulted in a participatory ranking of organizational capacities and SBCC program quality. C-Change/Namibia then developed a data entry worksheet linked to graphs that reflected scores and visually illustrated results. Baseline assessment reports described each organization's results and recommend areas for strengthening.

Use of SBCC-CAT Results to Strengthen Programs

Communication strategy development: Following the baseline assessments, C-Change/Namibia developed a standard SBCC-CAT communication strategy template, conducted multiple training workshops for all partners, and provided individualized technical assistance. This process led to the development of communication strategies for each partner's prevention programs that included plans for behavior-related M&E. It also led to the re-design of existing programs to ensure quality, strengthen implementation, and focus on the principal drivers of HIV.

SBCC program implementation: C-Change/Namibia then worked with partners to identify current SBCC/IEC materials related to each driver of HIV, then held a series of workshops to train partners in their use. Partners reproduced sufficient materials for field use, trained their volunteers and field staff, developed supervisory checklists with assistance from C-Change, and began field-level implementation.

SBCC-related M&E: To implement the new behavior-related M&E plans outlined in the communication strategies, C-Change/Namibia held a series of workshops to develop outcome indicators, sampling plans, and three field-tested questionnaires designed to collect knowledge and attitudinal and behavioral information related to HIV drivers. A Microsoft Access database developed for each questionnaire was installed in partner computers and their M&E staff was trained in data collection and data entry. Prior to program implementation, partners trained their volunteers and other field staff and collected, entered, and analyzed baseline data. Follow-up data was collected one year after implementation to determine progress.

ANNEX 6: RESOURCES USED TO DEVELOP THE SBCC-CAT

Following are useful resources and documents used in the development of the SBCC-CAT.

Association of Schools of Public Health. 2006. *Master's Degree in Public Health Core Competency Development Project Report*. Version 2.3, October 2004–August 2006. Washington, DC: ASPH. www.asph.org/userfiles/Version2.3.pdf

Bantwana Institute. 2007. *Community Assessment Tool: Providing Comprehensive OV C Care in Resource-Limited Settings.* Washington, DC: John Snow, Inc, World Education, and Bantwana Institute.

Calhoun, J., et al. 2008. Development of a core competency model for the master of public health degree*. American Journal of Public Health*, 98 (9), 1598–1607.

Castro, A. G. Coe, and S. Waisbord, eds. 2003. *Comunicación en Salud: Lecciones Aprendidas y Desafíos en el Desarrollo Curricular.* Preparado por la Organización Panamericana de la Salud y el Proyecto CHANGE. Washington, DC: AED/Grupo Manoff

College of Nurses of Ontario. 2006. *Competency Review Tool*. Toronto: CNO.

International HIV/AIDS Alliance. 2008. *Network Capacity Analysis: A Toolkit for Assessing and Building Capacities for High Quality Responses to HIV.* Brighton UK: The Alliance. www.aidsalliance.org/publicationsdetails.aspx?id=278

Irigoin, M., P. Tarnapol, D. Faulkner, and G. Coe. 2002. *Mapping Competencies for Communication for Development and Social Change: Turning Knowledge, Skills, and Attitudes into Action.* Washington DC: The Change Project/USAID. www.comminit.com/en/node/1305

United Nations Development Program. 1997. *A Synopsis of General Guidelines for Capacity Assessment and Development.* New York: UNDP.

United Nations Population Fund. 2001. *Communication for Development Roundtable Report: Focus on HIV/AIDS Communication and Evaluation.* New York: UNFPA.