SOCIAL AND BEHAVIOR CHANGE COMMUNICATION Capacity Assessment Tool

SBCC-CAT

FOR USE WITH ORGANIZATIONS

ASSESSMENT TOOL

USAID FROM THE AMERICAN PEOPLE

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C-CHANGE COMMUNICATION FOR CHANGE

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

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March 2011

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Recommended Citation:
C-Change. 2011. Social and Behavior Change Communication - Capacity Assessment Tool (SBCC-CAT) for Use with Organizations. Washington, DC: C-Change/AED.

C-Change is implemented by AED and its programs—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.

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Step 1: Assessing SBCC Capacity

Component 1: Understanding the Context through Situation Analysis

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

A situation analysis is a systematic review of social, cultural, political, and behavioral data to identify internal and external determinants of a situation, such as immediate and underlying causes and effects.

How does your program gather and analyze information to guide the planning and design process for SBCC programs?

Question	1	2	3	4	Score
1.1 Do you conduct a situation analysis before designing SBCC programs?	Programs do not analyze the social and behavioral issues	Programs rely on their own networks and experience to analyze social and behavioral issues	Programs involve key informants in the analysis of social and behavioral issues	Programs involve multiple perspectives to analyze social and behavioral issues	□ = 1 □ = 2 □ = 3 □ = 4
1.2 Do you use theories or models for situation analysis or communication strategy design?	Programs do not use theories or models	Programs use elements of theories or models but they cannot be traced back to specific theories or models	Programs use relevant theories or models for situation analysis or communication strategy design	Programs always use relevant theories and models for both situation analysis and communication strategy design	□ = 1 □ = 2 □ = 3 □ = 4
1.3 Do you use research data to assist with SBCC program design?	Programs do not collect data because design is pre-determined	Programs rely on their own sources of information to design programs	Programs use data from existing research to design programs	Programs use data from both existing and original research to design programs	□ = 1 □ = 2 □ = 3 □ = 4
1.4 Do you review the activities of stakeholders during a situation analysis?	Programs do not review stakeholders' activities	Programs review stakeholders' activities or share program plans and ideas	Programs review stakeholders' activities and share program plans and ideas	Programs review stakeholders' activities, share program plans, and collaborate to reduce replication of services and overlap of activities	□ = 1 □ = 2 □ = 3 □ = 4

Component 2: Focusing and Designing the Communication Strategy

Sub-component 1: Development of strategies

A communication strategy is a comprehensive document that guides and links decisions on intended audiences, communication objectives, channels, and materials based on analysis and integrated by a strategic approach.

How does your program design SBCC programs?
What sort of tools or approaches do you use?

Question	1	2	3	4	Score
2.1 Do you have a communication strategy for your SBCC programs? *Necessary components of a communication strategy:* • *Final audience segmentation* • *Barriers (per audience)* • *Desired changes (per audience)* • *Communication objectives (per audience)* • *Strategic approach* • *Positioning statement* • *Key content* • *Channels (per audience), activities and materials*	Programs do not have a communication strategy	Programs' communication strategy includes 2 or 3 of the necessary components State which components: _____ _____ _____ _____ _____ _____ _____ _____	Programs' communication strategy includes 4 to 7 of the necessary components State which components: _____ _____ _____ _____ _____ _____ _____ _____	Programs' communication strategy includes all 8 of the necessary components	□ = 1 □ = 2 □ = 3 □ = 4
2.2 Do you select audiences and segment them into specific groups to tailor their programs effectively?	Programs address the general population	Programs select audiences but do not segment them into specific groups	Programs select specific audience segments but programs are often not tailored enough	Programs select specific audience segments and create tailored programs for them	□ = 1 □ = 2 □ = 3 □ = 4

Component 2: Focusing and Designing the Communication Strategy

Sub-component 1: Development of strategies

Question	1	2	3	4	Score
2.3 Do you set SMART communication objectives that address barriers to change? (SMART = Specific, Measureable, Attainable, Reliable and Time-bound)	Programs only have program objectives	Programs set communication objectives	Programs set SMART communication objectives	Programs set SMART communication objectives that address barriers to change for each audience segment	□ = 1 □ = 2 □ = 3 □ = 4
2.4 Do you have a communication strategy that proposes using more than one communication channel to reach audiences?	Programs use one channel	Programs use multiple channels based on audience preferences	Programs use multiple, interlinked channels based on audience preferences	Programs use multiple, interlinked channels based on audience preferences and reach audience segments repeatedly	□ = 1 □ = 2 □ = 3 □ = 4
2.5 Do you have communication strategies that seek to influence different levels of the problem (individual, family, community, regional, and national)?	Programs use communication strategies that address one level	Programs' communication strategies address two different levels	Programs' communication strategies address more than two different levels but not during the same time period	Programs' communication strategies address more than two different levels during the same time period	□ = 1 □ = 2 □ = 3 □ = 4
2.6 Do you have a communication strategy that is driven by a strategic approach that links all strategies and channels into a coordinated effort or campaign or intervention?	Programs' communication strategy does not include a strategic approach	Programs' communication strategy includes one key strategy	Programs' communication strategy has a strategic approach that links all strategies and channels	Programs' communication strategy has a strategic approach that links all strategies and channels packaged into a recognizable campaign or intervention	□ = 1 □ = 2 □ = 3 □ = 4

Component 3: Creating Interventions & Materials for Change

Sub-component: 1. Materials development

SBCC interventions are developed by combining good ideas with appropriate materials to evoke emotion and motivate audiences. Communication materials can take many forms, including: pamphlets/posters, radio public service announcements and television dramas.

How does your program develop content for SBCC activities, materials, and messages?
What steps do you follow, and who do you consult?

Questions	1	2	3	4	Score
3.1 If develop your own materials, do you use the key elements of effective materials and message design? OR If you use materials from other organizations, do you use the key elements of effective materials and message design to check if it fits your needs? *Key elements:* • *Inventory of existing materials* • *Creative briefs* • *Audience consultation* • *Concept testing of drafts* • *Stakeholder and technical reviews* • *Audience pretesting*	Programs do not use any of the key elements None of the key elements are used to check borrowed materials	Programs use some key elements, but cannot clearly articulate them	Programs use several clearly articulated key elements State which key elements: _____ _____ _____ _____ _____ _____ _____ _____ _____	Programs use almost all clearly articulated key elements State which key elements: _____ _____ _____ _____ _____ _____ _____ _____ _____	□ = 1 □ = 2 □ = 3 □ = 4

Component 3: Creating Interventions & Materials for Change					
Sub-component: 1. Materials development					
Questions	**1**	**2**	**3**	**4**	**Score**
3.2 If you develop messages and materials, do you have a review by technical staff and stakeholders for accuracy of information?	Programs do not review messages and materials	Programs have impromptu or casual review of materials by available staff	Programs have a formal review of messages and materials by technical staff	Programs have a formal review of messages and materials by both technical staff and stakeholders	□ = 1 □ = 2 □ = 3 □ = 4
3.3 If you develop your own materials, do you develop and test them with members of your audience and incorporate their feedback? OR If you use materials from other organizations, do you pretest them with members of your audience?	Materials are developed without audience consultations or testing NO	Materials are developed with some audience consultation but feedback is rarely incorporated YES	Materials are developed with audience consultation and testing and feedback is generally incorporated	Materials are always developed with audience consultation, are tested repeatedly, and audience feedback is always incorporated	□ = 1 □ = 2 □ = 3 □ = 4

Component 4: Implementing & Monitoring Change Processes

Sub-component 1: Developing a workplan

Program implementation refers to the use of planning and management tools in order to properly use available resources and accomplish pre-established goals. Monitoring is the routine collection of data in order to assess the progress and quality of program implementation.

How do you plan, budget for, and coordinate implementation of your SBCC program(s)?
What tools and processes do you use?

Question	1	2	3	4	Score
4.1 Do you develop workplans for SBCC programs?	Programs do not develop workplans	Programs develop workplans, assign responsibilities, and provide time frames	Programs develop workplans, assign responsibilities, provide time frames, and allocate resources	Programs develop workplans, assign responsibilities, provide time frames, allocate resources, and link materials development and activities to communication objectives	□ = 1 □ = 2 □ = 3 □ = 4
4.2 Do you coordinate implementation of the program with other programs? (e.g., referral for products and services)	Programs do not coordinate implementation with another program	Programs coordinate one discreet activity in their workplan with another program	Programs coordinate several activities in their workplan with multiple programs	Programs coordinate implementation of their workplan with multiple programs that complement their communication strategy	□ = 1 □ = 2 □ = 3 □ = 4
4.3 During development of the workplan, do you develop detailed and accurate budgets before initiating SBCC program activities?	Programs do not include budgets in the workplan	Programs include a detailed and accurate budget for distribution of materials in the workplan	Programs include a detailed and accurate budget for distribution of materials and M&E of program activities in the workplan	Programs include a detailed and accurate budget for all elements of the workplan	□ = 1 □ = 2 □ = 3 □ = 4

Component 4: Implementing & Monitoring Change Processes					
Sub-component 1: Developing a workplan					
Question	**1**	**2**	**3**	**4**	**Score**
4.4 Do you coordinate implementation of activities for impact?	Programs implement activities whenever possible	Programs consider important events that compete with activities in their workplan	Programs consider important events that compete with activities and make sure program elements are implemented in the appropriate order	Programs consider important events that compete with activities, make sure program elements are implemented in a synchronized manner, and take advantage of opportunities to have program activities enhance each other	□ = 1 □ = 2 □ = 3 □ = 4

Component 4: Implementing & Monitoring Change Processes

Sub-component 2: Staffing plans and competencies

What opportunities are available to increase program knowledge and skills for implementing SBCC programs?
What SBCC training and experience do programs have?

Question	1	2	3	4	Score
4.5 Does your management and technical staff have the capacity to manage and implement SBCC programs?	Programs do not make sure that staff are trained in SBCC	Programs make sure that some managers are trained in SBCC	Programs make sure that managers and technical staff are trained in SBCC but have limited experience with SBCC implementation	Programs make sure that managers and technical staff are trained and have extensive experience with SBCC implementation	□ = 1 □ = 2 □ = 3 □ = 4
4.6 Is there a plan for strengthening staff's SBCC competencies (basic SBCC training, on-the-job training, etc.) that is implemented?	Programs do not have an SBCC capacity strengthening plan	Programs discuss the need for further SBCC capacity strengthening, but there is no plan	Programs have a plan for SBCC capacity strengthening but it is not implemented	Programs are implementing their SBCC capacity strengthening plan	□ = 1 □ = 2 □ = 3 □ = 4

Component 4: Implementing & Monitoring Change Processes

Sub-component 3: Supervision of field workers

What supervision and support is provided to field workers?

Question	1	2	3	4	Score
4.7 If you work with field workers, do you require supervisors make regular visits to staff and volunteers to observe strengths and/or identify areas in need of more support?	Programs do not supervise field workers	Programs periodically supervise field workers (less frequently than once a month)	Programs supervise field workers monthly and make some observations on services and activities	Programs supervise field workers and always observe services and activities	□ = 1 □ = 2 □ = 3 □ = 4
4.8 If you work with field workers, do you make sure field workers have communication materials to support outreach?	Programs do not make communication materials available	Programs send field workers communication materials when they are available	Programs make sure field workers almost always have communication materials	Programs make sure field workers always have communication materials	□ = 1 □ = 2 □ = 3 □ = 4

Component 4: Implementing & Monitoring Change Processes

Sub-component 4: Frameworks and mechanisms

How do you monitor your SBCC programs?

Question	1	2	3	4	Score
4.9 Do you develop M&E plans for your SBCC programs?	Programs do not have M&E plans	Some of the programs have M&E plans	Nearly half of the programs have M&E plans	A majority or all of the programs have M&E plans	□ = 1 □ = 2 □ = 3 □ = 4
4.10 Do you develop indicators for SBCC programs that are linked to your communication objectives?	Programs do not have indicators for their SBCC programs	Programs have some indicators but they are not clearly linked to the communication objectives	Programs have process and output indicators that are linked to the communication objectives	Programs have process, output, and outcome indicators that are linked to the communication objectives	□ = 1 □ = 2 □ = 3 □ = 4
4.11 Do you have tools to monitor implementation of SBCC programs?	Programs do not monitor SBCC programs	Programs create tools to monitor SBCC programs as needed	Programs have standardized tools to monitor indicators	Programs always use standardized tools to monitor indicators	□ = 1 □ = 2 □ = 3 □ = 4
4.12 Do you have a system in place to make sure high quality M&E data is collected and analyzed?	Programs do not have a data collection and analysis plan	Programs have a data collection and analysis plan	Programs have trained or hired people to implement the data collection and analysis plan	Programs have trained or hired people to implement the data collection and analysis plan and conduct data quality checks	□ = 1 □ = 2 □ = 3 □ = 4

Component 5: Evaluating and Replanning

Sub-component 1: Using results for replanning

How does your program document and disseminate program results?
How are the results used to improve programs?

Question	1	2	3	4	Score
5.1 Do you document and disseminate results, lessons learned, and best practices?	Programs do not document results, lessons learned, and best practices	Programs document results or lessons learned but do not disseminate them	Programs document and disseminate results or lessons learned	Programs document and disseminate results, lessons learned, and best practices	□ = 1 □ = 2 □ = 3 □ = 4
5.2 Do you analyze data generated by M&E and share it with implementers of SBCC programs?	Programs do not analyze M&E data	Programs analyze monitoring data	Programs analyze M&E data	Programs analyze and present M&E data	□ = 1 □ = 2 □ = 3 □ = 4
5.3 Do you use M&E data to improve current SBCC programs?	Programs do not use M&E data to improve programs	Programs use M&E data to assess program progress	Programs frequently use M&E data to assess program progress and improve programs	Programs always use M&E data to assess program progress, to improve programs in a systematic manner	□ = 1 □ = 2 □ = 3 □ = 4

Step 2: Reviewing Materials

Congratulations! Now that the SBCC-CAT has been used to assess the capacity of your organization, you can begin planning how to address the findings of the assessment. Once the sections in Step 1 are complete, it is time to move on to the material review (Step 2) and the development of an SBCC capacity strengthening plan (Step 3).

For additional SBCC tools and resources to help guide the next two steps, please visit the C-Change website at: http://www.c-changeprogram.org/focus-areas/capacity-strengthening/SBCC-Toolkit.

Step 3: Developing a Capacity Strengthening Plan

Organization name: _____ **Date last edited:** _____

SBCC Gap Identified	Action	Applicable Internal Resources	External Resources Needed	Priority/ When?	Responsible (Focal Pt)
Component 1: Understanding the Context through Situation Analysis					
Sub-component 1: Evidence-based and theory or model-driven planning and design.					
Component 2: Focusing and Designing the Communication Strategy					
Sub-component 1: Development of strategies					

Organization name: _____ Date last edited: _____

SBCC Gap Identified	Action	Applicable Internal Resources	External Resources Needed	Priority/ When?	Responsible (Focal Pt)
Component 3: Creating Interventions & Materials for Change					
Sub-component 1: Material development					
Component 4: Implementing & Monitoring Change Processes					
Sub-component 1: Developing a workplan					

Organization name: _____ **Date last edited:** _____

SBCC Gap Identified	Action	Applicable Internal Resources	External Resources Needed	Priority/ When?	Responsible (Focal Pt)
Sub-component 2: Staffing plans and competencies					
Sub-component 3: Supervision of field workers					

Organization name: _____ Date last edited: _____

SBCC Gap Identified	Action	Applicable Internal Resources	External Resources Needed	Priority/ When?	Responsible (Focal Pt)
Sub-component 4: Frameworks and mechanisms					
Component 5: Evaluating and Replanning					
Sub-component 1: Using results for replanning					