
SOCIAL AND BEHAVIOR CHANGE COMMUNICATION Capacity Assessment Tool

SBCC-CAT

FOR USE WITH DONORS AND NETWORKS

ASSESSMENT TOOL



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.



SOCIAL AND BEHAVIOR CHANGE COMMUNICATION - CAPACITY ASSESSMENT TOOL (SBCC-CAT)

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March 2011

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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 agency gather and analyze information to guide the planning and design process for SBCC programs?					
Question	1	2	3	4	Score
1.1a Do you conduct a situation analysis before designing SBCC programs?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
1.1b Do you require partners to conduct a situation analysis before designing SBCC programs?	Partners do not analyze the social and behavioral issues	Partners rely on their own networks and experience to analyze social and behavioral issues	Partners involve key informants in the analysis of social and behavioral issues	Partners involve multiple perspectives to analyze social and behavioral issues	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
1.2 Do you require partners to use theories or models for situation analysis or communication strategy design?	Partners do not use theories or models	Partners use elements of theories or models but they cannot be traced back to specific theories or models	Partners use relevant theories or models for situation analysis or communication strategy design	Partners always use relevant theories and models for both situation analysis and communication strategy design	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
1.3a Do you use research data to assist with SBCC program design?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
1.3b Do you require partners to use research data to assist with SBCC program design?	Partners do not collect data because program design is pre-determined	Partners rely on their own sources of information to design programs	Partners use data from existing research to design programs	Partners use data from both existing and original research to design programs	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4

Component 1: Understanding the Context through Situation Analysis					
Sub-component 1: Evidence-based and theory or model-driven planning and design					
Question	1	2	3	4	Score
1.4a Do you identify relevant stakeholders and review their activities during the situation analysis? (e.g., MOH, NGOs, CBOs, other donor programs)	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
1.4b Do you require partners to review the activities of stakeholders during their situation analysis?	Partners do not review stakeholders' activities	Partners review stakeholders' activities but have little interaction	Partners review stakeholders' activities and share program plans and ideas	Partners review stakeholders' activities, share program plans, and collaborate to reduce replication of services and overlap of activities	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 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 SBCC theories that are integrated by a strategic approach.					
How does your agency design SBCC programs? What sort of tools or approaches do you use?					
Question	1	2	3	4	Score
2.1a Do you have a communication strategy for your SBCC programs?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
2.1b Do you require partners to have a communication strategy for their SBCC programs? <i>Necessary components of a communication strategy:</i> <ul style="list-style-type: none"> • 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 	Partners do not have a communication strategy	Partners' communication strategy includes 2 or 3 of the necessary components State which components: _____ _____ _____ _____ _____ _____	Partners' communication strategy includes 4 to 7 of the necessary components State which components: _____ _____ _____ _____ _____ _____	Partners' communication strategy includes all 8 of the necessary components	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4

Component 2: Focusing and Designing the Communication Strategy					
Sub-component 1: Development of strategies					
Question	1	2	3	4	Score
2.2a Do you select audiences and segment them into specific groups to tailor programs effectively?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
2.2b Do you require partners to select audiences and segment them into specific groups to tailor their programs effectively?	Partners address the general population	Partners select audiences but do not segment them into specific groups	Partners select specific audience segments but programs are often not tailored enough	Partners select specific audience segments and create tailored programs for them	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
2.3a Do you set SMART communication objectives that address barriers to change? (SMART = Specific, Measureable, Attainable, Reliable and Time-bound)	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
2.3b Do you require partners to set SMART communication objectives that address barriers to change?	Partners only have program objectives	Partners set communication objectives	Partners set SMART communication objectives	Partners set SMART communication objectives that address barriers to change for each audience segment	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
2.4a Do you have a communication strategy that proposes using more than one communication channel to reach audiences?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2

Component 2: Focusing and Designing the Communication Strategy					
Sub-component 1: Development of strategies					
Question	1	2	3	4	Score
2.4b Do you require partners to have a communication strategy that proposes using more than one communication channel to reach audiences?	Partners use one channel	Partners use multiple channels based on audience preferences	Partners use multiple, interlinked channels based on audience preferences	Partners use multiple, interlinked channels based on audience preferences and reach audience segments repeatedly	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
2.5 Do you require partners to have communication strategies that seek to influence different levels of the problem (individual, family, community, regional, and national)?	Partners use communication strategies that address one level	Partners' communication strategies address two different levels	Partners' communication strategies address more than two different levels but not during the same time period	Partners' communication strategies address more than two different levels during the same time period	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
2.6 Do you require partners to 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?	Partners' communication strategy does not include a strategic approach	Partners' communication strategy includes one key strategy	Partners' communication strategy has a strategic approach that links all strategies and channels	Partners' communication strategy has a strategic approach that links all strategies and channels packaged into a recognizable campaign or intervention	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 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 agency develop content for SBCC activities, materials, and messages? What steps do you follow, and who do you consult?					
Questions	1	2	3	4	Score
<p>3.1a If you develop your own materials, do you use the key elements for designing effective materials and messages?</p> <p>OR</p> <p>If you use materials from other organizations, do you use the key elements for designing effective materials to check if they fit your needs?</p> <p><i>Key elements:</i></p> <ul style="list-style-type: none"> • <i>Inventory of existing materials</i> • <i>Creative briefs</i> • <i>Audience consultation</i> • <i>Concept testing of drafts</i> • <i>Stakeholder and technical reviews</i> • <i>Audience pretesting</i> 	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2

Component 3: Creating Interventions & Materials for Change					
Sub-component: 1. Materials development					
Questions	1	2	3	4	Score
<p>3.1b If partners develop their own materials, do you require they use the key elements of effective materials and message design?</p> <p>If partners use materials from other organizations; do you require they use the key elements of effective materials and message design to check if they fit their needs?</p> <p><i>Key elements:</i></p> <ul style="list-style-type: none"> • <i>Inventory of existing materials</i> • <i>Creative briefs</i> • <i>Audience consultation</i> • <i>Concept testing of drafts</i> • <i>Stakeholder and technical reviews</i> • <i>Audience pretesting</i> 	<p>Partners do not use any of the key elements</p> <p>OR</p> <p>None of the key elements are used to check borrowed materials</p>	<p>Partners use some key elements, but cannot clearly articulate them</p>	<p>Partners use several clearly articulated key elements</p> <p>State which key elements:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>Partners use almost all clearly articulated key elements</p> <p>State which key elements:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> = 1</p> <p><input type="checkbox"/> = 2</p> <p><input type="checkbox"/> = 3</p> <p><input type="checkbox"/> = 4</p>
<p>3.2 Do you maintain an inventory of existing materials that is updated annually and is available to partners?</p>	<p>NO</p>	<p>YES</p>			<p><input type="checkbox"/> = 1</p> <p><input type="checkbox"/> = 2</p>

Component 3: Creating Interventions & Materials for Change					
Sub-component: 1. Materials development					
Questions	1	2	3	4	Score
3.3 If partners develop their own messages and materials, do you require review by technical staff and stakeholders for accuracy of information?	Partners do not review messages and materials	Partners have impromptu or casual review of materials by available staff	Partners have a formal review of messages and materials by technical staff	Partners have a formal review of messages and materials by both technical staff and stakeholders	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
3.4a 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	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
3.4b If partners develop their own materials, do they develop and test them with members of their audience and incorporate their feedback? OR If partners use materials from other organizations, do they pretest them with members of their 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	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 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 require that partners develop workplans for their SBCC programs?	Partners do not develop workplans	Partners develop workplans, assign responsibilities, and provide time frames	Partners develop workplans, assign responsibilities, provide time frames, and allocate resources	Partners develop workplans, assign responsibilities, provide time frames, allocate resources, and link materials development and activities to communication objectives	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.2 Do you require partners to coordinate implementation of their program with other partners? (e.g., referral for products and services)	Partners do not coordinate implementation with partner programs	Partners coordinate one discreet activity in their workplan with another program	Partners coordinate several activities in their workplan with multiple programs	Partners coordinate implementation of their workplan with multiple programs that complement their communication strategy	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.3 During development of the workplan, do you require partners to develop detailed and accurate budgets before initiating SBCC program activities?	Partners do not include budgets in the workplan	Partners include a detailed and accurate budget for distribution of materials in the workplan	Partners include a detailed and accurate budget for distribution of materials and M&E of program activities in the workplan	Partners include a detailed and accurate budget for all elements of the workplan	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4

Component 4: Implementing & Monitoring Change Processes					
Sub-component 1: Developing a workplan					
Question	1	2	3	4	Score
4.4 Do you require partners to coordinate implementation of activities for impact?	Partners implement activities whenever possible	Partners consider important events that compete with activities in their workplan	Partners consider important events that compete with activities and make sure program elements are implemented in the correct order	Partners 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	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4

Component 4: Implementing & Monitoring Change Processes					
Sub-component 2: Staffing plans and competencies					
What opportunities are available to increase partner knowledge and skills for implementing SBCC programs? What SBCC training and experience do partners have?					
Question	1	2	3	4	Score
4.5a Do your management and technical staff have the capacity to manage SBCC programs, either through training or previous experience?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
4.5b Do you require partners' management and technical staff to have the capacity to manage and implement SBCC programs?	Partners do not make sure that staff are trained in SBCC	Partners make sure that some managers are trained in SBCC	Partners make sure that managers and technical staff are trained in SBCC but have limited experience with SBCC implementation	Partners make sure that managers and technical staff are trained and have extensive experience with SBCC implementation	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.6a Is there a plan for strengthening staff's SBCC competencies (basic SBCC training, on-the-job training, etc.) that is implemented?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
4.6b Do you require partners to implement an SBCC capacity strengthening plan for staff?	Partners do not have an SBCC capacity strengthening plan	Partners discuss the need for further SBCC capacity strengthening, but there is no plan	Partners have a plan for SBCC capacity strengthening but it is not implemented	Partners are implementing their SBCC capacity strengthening plan	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 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 partners 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?	Partners do not supervise field workers	Partners periodically supervise field workers (less frequently than once a month)	Partners supervise field workers monthly and make some observations on services and activities	Partners supervise field workers and always observe services and activities	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.8 If partners work with field workers, do you require they make sure field workers have communication materials to support outreach?	Partners do not make communication materials available	Partners send field workers communication materials when they are available	Partners make sure field workers almost always have communication materials	Partners make sure field workers always have communication materials	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 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 monitor implementation of programs (e.g., distribution of publications)?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
4.10 Do you require partners to develop M&E plans for their SBCC programs?	Partners do not have M&E plans	Some of the partners have M&E plans	Nearly half of the partners have M&E plans	A majority or all of the partners have M&E plans	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.11 Do you require partners to develop indicators for SBCC programs that are linked to their communication objectives?	Partners do not have indicators for their SBCC programs	Partners have some indicators but they are not clearly linked to their communication objectives	Partners have process and output indicators that are linked to the communication objectives	Partners have process, output, and outcome indicators that are linked to the communication objectives	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.12 Do you require partners to have tools to monitor implementation of SBCC programs?	Partners do not monitor their SBCC programs	Partners create tools to monitor SBCC programs as needed	Partners have standardized tools to monitor indicators	Partners always use standardized tools to monitor indicators	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
4.13 Do you require partners to have a system in place to make sure high quality M&E data?	Partners do not have a data collection and analysis plan	Partners have a data collection and analysis plan	Partners have trained or hired people to implement the data collection and analysis plan	Partners have trained or hired people to implement the data collection and analysis plan and conduct data quality checks	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4

Component 5: Evaluating and Replanning					
Sub-component 1: Using results for replanning					
How does your agency document and disseminate program results? How are the results used to improve programs?					
Question	1	2	3	4	Score
5.1a Do you document and disseminate results, lessons learned, and best practices?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
5.1b Do you require partners to document and disseminate results, lessons learned, and best practices?	Partners do not document results, lessons learned, or best practices	Partners document results or lessons learned but do not disseminate them	Partners document and disseminate results or lessons learned	Partners document and disseminate results, lessons learned, and best practices	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
5.2a Do you analyze and interpret M&E data from partner programs that you oversee?	NO	YES			<input type="checkbox"/> = 1 <input type="checkbox"/> = 2
5.2b Do you require partners to analyze data generated by M&E and share it with implementers of SBCC programs?	Partners do not analyze M&E data	Partners analyze monitoring data	Partners analyze M&E data	Partners analyze and present M&E data	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 4
5.3 Do you require partners to use M&E data to improve current SBCC programs?	Partners do not use M&E data to improve programs	Partners use M&E data to assess program progress	Partners frequently use M&E data to assess program progress and improve programs	Partners always use M&E data to assess program progress, to improve programs in a systematic manner	<input type="checkbox"/> = 1 <input type="checkbox"/> = 2 <input type="checkbox"/> = 3 <input type="checkbox"/> = 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					
<i>Sub-component 1: Evidence-based and theory or model-driven planning and design.</i>					
Component 2: Focusing and Designing the Communication Strategy					
<i>Sub-component 1: Development of strategies</i>					

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					
<i>Sub-component 1: Material development</i>					
Component 4: Implementing & Monitoring Change Processes					
<i>Sub-component 1: Developing a workplan</i>					

Organization name: _____		Date last edited: _____			
SBCC Gap Identified	Action	Applicable Internal Resources	External Resources Needed	Priority/When?	Responsible (Focal Pt)
<i>Sub-component 2: Staffing plans and competencies</i>					
<i>Sub-component 3: Supervision of field workers</i>					

Organization name: _____		Date last edited: _____			
SBCC Gap Identified	Action	Applicable Internal Resources	External Resources Needed	Priority/When?	Responsible (Focal Pt)
<i>Sub-component 4: Frameworks and mechanisms</i>					
Component 5: Evaluating and Replanning					
<i>Sub-component 1: Using results for replanning</i>					