



# CRS' Social and Behavior Change Guide

Mothers-in-law are highly influential for young mothers in Jonglei, South Sudan, guiding them through pregnancy, delivery and breastfeeding. Here they are discussing improved maternity practices, using an illustrated speaking book developed by the Resilience and Food Security Program.

Cover photo by Hugh Rutherford for CRS.

©2023 Catholic Relief Services. All Rights Reserved. 23OS-112557

This document is protected by copyright and cannot be completely or partially reproduced in whole without authorization. Please contact [SBC@crs.org](mailto:SBC@crs.org) for authorization. Any "fair use" under US rights law must contain the appropriate reference to Catholic Relief Services.

# Acknowledgments

The SBC guide was made possible through leadership, support and input from many across the CRS world.

Amy Ellis, Mary Packard-Winkler, Meredith Stakem and Virginia Williams served as the core team of content developers and writers.

John Hembling, Marisa Wilke, Hazel Aregai, Kelly MacDonald, Tegbar Achamyeleh, and Beth Muriithi contributed subject matter expertise, content and experience. Adele Sowinska, Dominique Morel, Linda Gamova, Josh Voges, Elena McEwan, Rolando Wallusche Saul, Adriane Seibert, Suzanne Van Hulle, Emily Doogue and Tia Razafy reviewed parts of the guide and provided valuable inputs. Staff from CRS Cameroon, CRS Haiti, CRS South Sudan and CRS Zambia served as field testers for various parts of the guide. Many additional staff volunteered their time to help shape the content and structure of the guide.

True Indigo, Inc. provided copy editing, layout, formatting and graphics.

# Table of Contents

|   |           |
|---|-----------|
| Figures List.....   | vi        |
| Tables List.....  | vii       |
| Abbreviations and Acronyms.....   | ix        |
| <b>Chapter 1: Introduction and How to Use This Guide .....</b>                                    | <b>1</b>  |
| WHAT is this? .....   | 1         |
| HOW is the guide organized? .....   | 2         |
| Tips for using the guide .....  | 4         |
| WHO is it for?.....   | 4         |
| WHY do we need it? .....  | 4         |
| HOW can using this guide help us? .....   | 5         |
| <b>Chapter 2: SBC Foundations .....</b>   | <b>7</b>  |
| What is SBC, anyway?.....   | 8         |
| The Evolution of SBC .....  | 9         |
| Core Principles and Best Practices for SBC .....  | 21        |
| Additional Resources.....   | 23        |
| <b>Chapter 3: Using Theory to Inform SBC .....</b>  | <b>25</b> |
| Why do we need an SBC theory?.....  | 26        |
| Theory deep dive .....  | 27        |
| Additional scholarship influencing SBC .....  | 37        |
| Additional Resources.....   | 41        |
| <b>Chapter 4: SBC as a Systematic Process.....</b>  | <b>43</b> |
| Introduction to the ABCDE Process .....   | 44        |
| SBC Capacity .....  | 48        |
| Additional Resources.....   | 49        |
| <b>Chapter 5: A = ASSESS.....</b>   | <b>51</b> |
| Overview of the ASSESS Phase .....  | 52        |
| Step 1: Conduct a situational analysis .....  | 53        |
| Step 2: Define and prioritize the behavior(s)/norms<br>that might address your core problem. .... | 53        |
| Step 3: Identify the priority group(s) .....  | 57        |
| Step 4: Select preliminary project strategies.....  | 59        |
| Example of Steps 1 - 4 in action .....  | 64        |
| Additional Resources.....   | 65        |
| ASSESS Phase Checklist .....  | 66        |
| ASSESS Phase Template: SBC Strategy Outline .....   | 67        |
| <b>Activity and Engagement Tactics Menu.....</b>  | <b>68</b> |

|  |            |
|--|------------|
| <b>Chapter 6: B = BUILD</b> .....                                      | <b>91</b>  |
| Overview of the BUILD Phase .....                                      | 92         |
| Step 5: Plan Formative Inquiry .....                                   | 93         |
| Step 6: Conduct Formative Inquiry .....                                | 108        |
| Step 7: Analyze findings .....   | 110        |
| Example of Steps 5-7 in Action .....                                   | 113        |
| Additional Resources .....   | 115        |
| BUILD Phase Checklist .....  | 116        |
| BUILD Phase Template: Formative<br>Inquiry Summary .....               | 117        |
| <b>Chapter 7: C = CREATE</b> .....                                     | <b>119</b> |
| Overview of the CREATE Phase .....                                     | 120        |
| Step 8: Profile priority groups .....                                  | 122        |
| Step 9: Refine behaviors/norms .....                                   | 125        |
| Step 10: Write Change Aims .....                                       | 134        |
| Step 11: Choose Activities and Engagement Tactics .....                | 136        |
| Step 12: Review MEAL for SBC .....                                     | 141        |
| Additional Resources .....   | 142        |
| CREATE Phase Checklist .....   | 143        |
| CREATE Phase Template: SBC Strategy Worksheets .....                   | 145        |
| <b>Chapter 8: D = DEVELOP</b> .....                                    | <b>151</b> |
| Overview of the DEVELOP Phase .....                                    | 152        |
| Step 13: Formulate draft messages .....                                | 153        |
| Step 14: Develop an implementation plan .....                          | 158        |
| Step 15: Develop, test and revise materials .....                      | 163        |
| Additional Resources .....   | 170        |
| DEVELOP Phase Checklist .....  | 171        |
| DEVELOP Phase Template:<br>Content and Implementation Worksheets ..... | 172        |
| <b>Chapter 9: E = EVALUATE</b> .....                                   | <b>177</b> |
| Overview of the EVALUATE Phase .....                                   | 178        |
| Step 16: Select SBC indicators .....                                   | 179        |
| Step 18: Evaluate .....  | 192        |
| Step 19: Document learning and success .....                           | 193        |
| Additional Resources .....   | 194        |
| EVALUATE Phase Checklist .....   | 195        |
| EVALUATE Phase Template: SBC MEAL Worksheet .....                      | 197        |
| <b>Glossary</b> .....  | <b>199</b> |
| <b>Bibliography</b> .....  | <b>211</b> |
| <b>Annexes</b> .....   | <b>215</b> |
| 5.1 Impact/feasibility matrix .....                                    | 215        |
| 6.1 Brief descriptions of Formative Inquiry techniques .....           | 217        |
| 7.1 Priority Group Profile Template .....                              | 234        |
| 7.2 SBC Strategy Alternative Format: Creative Brief .....              | 236        |
| <b>Index</b> .....   | <b>252</b> |

# Figures List

|   |     |
|---|-----|
| Figure 1. A Roadmap to Finding What You Need in the SBC Guide ..... | 3   |
| Figure 2. The Rider and the Elephant.....                           | 9   |
| Figure 3. Evolving Terminology .....                                | 10  |
| Figure 4. What are Behavioral Determinants.....                     | 12  |
| Figure 5. Examples of Segments .....                                | 13  |
| Figure 6. The Socio-Ecological Model.....                           | 28  |
| Figure 7. COM-B Model .....   | 30  |
| Figure 8. Diffusion of Innovation Theory .....                      | 32  |
| Figure 9. Stages of Change.....                                     | 33  |
| Figure 10. Theory of Reasoned Action.....                           | 37  |
| Figure 11. Example of Behavioral Nudge .....                        | 39  |
| Figure 12. Human Centered Design (HCD) Process .....                | 40  |
| Figure 13. Stanford Design Thinking Process.....                    | 41  |
| Figure 14. ABCDE Process .....                                      | 44  |
| Figure 15. Impact/Feasibility Matrix .....                          | 56  |
| Figure 16. Child Nutrition Priority Group Examples .....            | 59  |
| Figure 17. Menu of Common SBC Activities .....                      | 70  |
| Figure 18. Menu of Common SBC Engagement Tactics.....               | 71  |
| Figure 19. How to Write a Behavior Statement .....                  | 126 |
| Figure 20. Retention With Active Learning.....                      | 140 |
| Figure 21. Matching Messages to Group Needs.....                    | 156 |

# Tables List

|  |     |
|--|-----|
| Table 1. Common Behavior Determinants .....  | 14  |
| Table 2. Overview of Theoretical Models.....   | 27  |
| Table 3. Elements of the Socio-Ecological Model.....   | 29  |
| Table 4. Stages of Change Programming Examples .....   | 34  |
| Table 5. Summary of the ABCDE Process.....   | 45  |
| Table 6. Steps, Convening Moments and Products in the ABCDE<br>Social Behavior Change Systematic Process ..... | 47  |
| Table 7. Examples of Behaviors Linked to Problem Tree Analysis .....   | 55  |
| Table 8. Example Priority Groups for Different Behaviors.....  | 58  |
| Table 9. Social and Behavior Change Activity Examples.....   | 61  |
| Table 10. Inquiry Needs.....   | 63  |
| Table 11. Information to Collect About Priority Groups<br>and Possible Sources .....                           | 97  |
| Table 12. Comparison of Quantitative and Qualitative Methods .....   | 101 |
| Table 13. Summary of Formative Inquiry Methods.....  | 103 |
| Table 14. Example of Simple Group Segmentation.....  | 124 |
| Table 15. Examples of How to Refine Behaviors.....   | 132 |
| Table 16. Identifying Change Aims.....   | 134 |
| Table 17. Matching Engagement Tactics to Barriers.....   | 140 |
| Table 18. Aligning Key Messages to Change Aims .....   | 154 |
| Table 19. SBC Indicator Selection Guidance.....  | 180 |

Esther Yasini tills her farm in Malawi, preparing it for irrigation.

[Photo by Dooshima Tsee for CRS]





# Abbreviations and Acronyms

|               |  |
|---------------|--|
| <b>BCC</b>    | Behavior Change Communication  |
| <b>CLTS</b>   | Community Led Total Sanitation   |
| <b>CLTSH</b>  | Community Led Total Sanitation and Hygiene                                 |
| <b>CRS</b>    | Catholic Relief Services   |
| <b>DCF</b>    | Data Collection Form   |
| <b>DIP</b>    | Detailed Implementation Plan   |
| <b>FA</b>     | Field Agent  |
| <b>FGD</b>    | Focus Group Discussion   |
| <b>HCD</b>    | Human Centered Design  |
| <b>ICT4D</b>  | Information and Communications Technologies for Development                |
| <b>IDI</b>    | In-depth Interview   |
| <b>IEC</b>    | Information Education and Communication                                    |
| <b>IRB</b>    | Institutional Review Board   |
| <b>IPC</b>    | Interpersonal Communication  |
| <b>IPTp</b>   | Intermittent Presumptive Treatment of Malaria in Pregnancy                 |
| <b>IVR</b>    | Interactive Voice Response   |
| <b>KAP</b>    | Knowledge, Attitude and Practice   |
| <b>KII</b>    | Key Informant Interview  |
| <b>MEAL</b>   | Monitoring and Evaluation, Accountability and Learning                     |
| <b>MFI</b>    | Microfinance Institution   |
| <b>MIS</b>    | Management Information System  |
| <b>NGO</b>    | Nongovernmental Organization   |
| <b>PHP</b>    | Public Health Promotion  |
| <b>RTA</b>    | Regional Technical Advisor   |
| <b>SBC</b>    | Social and Behavior Change   |
| <b>SBCC</b>   | Social Behavior Change Communication                                       |
| <b>SDA</b>    | Small Doable Actions   |
| <b>SEM</b>    | Socio-Ecological Model   |
| <b>SGD</b>    | Small Group Discussion   |
| <b>SILC</b>   | Savings and Internal Lending Community                                     |
| <b>SMILER</b> | Simple Measurement of Indicators for Learning and Evidence-based Reporting |
| <b>SMS</b>    | Short Messaging Service  |
| <b>TA</b>     | Technical Advisor  |
| <b>WASH</b>   | Water, Sanitation and Hygiene  |



Cristina Mendez, accompanied by other women in the ASA EMPRENDE project, plants a tree.  
[Photo by Oscar Leiva/Silverlight for CRS]

## 1

# Introduction and How to Use This Guide



## WHAT is this?

A practical tool to guide CRS' Social and Behavior Change (SBC) work across all program sectors. It provides:

- An understanding of basic principles of human behavior and social change.
- Definitions of key terms and concepts.
- Explanation of the essential steps in the social and behavior change process.
- Description of key, evidence-based, effective SBC processes.
- Checklists and templates to guide teams through planning and implementation of SBC steps and practices.
- A curated list of resources for staff to consult for more detailed guidance on specific topics.



Members of the Community Health Workers cooperative, during a training session with local partners in Rwanda. [Photo by Mussa Uwitonze for CRS]



## HOW is the guide organized?

This guide is organized into nine chapters.

- ▶ **Chapter 1** introduces the guide and helps users get the most out of it.
- ▶ **Chapter 2** provides a brief orientation to the key concepts of SBC. This chapter is a useful overview for all staff before getting started.
- ▶ **Chapter 3** details common SBC Theories. This chapter is particularly useful for those who want to understand more about the theoretical underpinnings of SBC, either at the design phase or during strategy development.
- ▶ **Chapter 4** provides an overview of the A-B-C-D-E Phases for quality SBC. Chapters 5 through 9 then provide step-by-step guidance on these five phases.
- ▶ **Chapter 5** addresses project design through problem assessment (A = ASSESS). This chapter is particularly helpful at project design stage, and ties into Propack I.
- ▶ **Chapter 6** covers the formative inquiry phase (B = BUILD) of developing an SBC strategy. This chapter is particularly helpful at project start up.
- ▶ **Chapter 7** tackles the creation of an SBC strategy (C = CREATE). This chapter is particularly helpful during project start up and implementation, when projects have completed their formative inquiry and are ready to finalize behavior change aims, select processes, and lay the groundwork for measuring success.
- ▶ **Chapter 8** covers the process of developing SBC content, testing and refining materials (D = DEVELOP). This chapter is particularly helpful during project implementation when projects are ready to create messages and materials.
- ▶ **Chapter 9** provides guides on how to monitor and evaluate SBC activities to ensure they are having the desired impact (E=EVALUATE). This chapter is useful for Program and MEAL staff across all project management stages (design, start up, implementation and close out).
- ▶ **Bonus content:** Between Chapters 5 and 6, a menu of common SBC activities and engagement tactics is offered. This content is useful during project design and strategy creation.

## A Roadmap to Finding What You Need in the SBC Guide



Figure 1. A Roadmap to Finding What You Need in the SBC Guide



## Tips for using the guide

- ▶ Any **bolded** term in the text can be found in the glossary at the end of the document, as well as in “rollover” text above the bolded term.
- ▶ Each chapter concludes with a brief list of additional resources so that readers can draw upon more detailed guidance or examples as needed.
- ▶ Checklists and templates to guide application of this guidance are provided at the end of Chapters 5 through 9.
- ▶ Some additional tools and resources are annexed, with more available on the SBC Sharepoint page: <https://crsorg.sharepoint.com/sites/SBC>



## WHO is it for?

Technical advisors, program managers, heads of programs, partner staff and anyone who would like to deepen their understanding of how to support social and behavior change and increase program impact.



## WHY do we need it?

Whether it is referred to as ‘SBC’ or not, supporting local communities to adopt new individual behaviors or shift social norms is fundamental to all the work that CRS aims to achieve, across all program sectors. However, there is a lack of consistent terminology and processes by which different programs are designed to promote social or behavior change. Although there is a wealth of experience to build upon, CRS could benefit from:

- Deeper and more nuanced understanding of human behavior, what drives it and how to influence it more effectively, and
- Clear, standard processes and tools for integrating SBC into capacity strengthening initiatives and programs to enhance impact.

### **Lots of SBC guidance exists, but it can be hard to figure out which to use.**

There are many guides and tools related to SBC, but it’s difficult to know which are best. Furthermore, many of these are focused on health, hygiene or nutrition, and don’t incorporate learning or experience from other sectors. Without shared processes and vocabulary, CRS programs are missing opportunities for impact, efficiency, and shared learning.



## HOW can using this guide help us?

- At the project level it will help:
  - Ensure programs are grounded in evidence and theory.
  - Effectively engage, respond to and support the local community.
  - Keep us focused and efficient to maximize positive outcomes.
  - Improve measurement and ability to communicate results.
  - Bolster **demand** for project services and activities.
  - Enhance impact and sustainability by addressing identified **behavioral determinants** and mobilizing participants' problem-solving capabilities.
  - Support local partners to sustain organization and programmatic change.
- At the organizational level it will help:
  - Enhance the competitiveness of our proposals and the impact of our programs.
  - CRS teams to understand and change our own behavior, while engaging and supporting our partners to do the same.
  - Create efficiencies in project implementation by following evidence, proven-effective processes and standards.
  - Generate and document results and learn from our experience across sectors.



Hajara Abubakar feeds her nine-month-old daughter a nutritious mixture of soy, corn and crayfish, in the Nigerian village of Alogani Central. [Photo by David Snyder for CRS]



## 2

# SBC Foundations

## Why and when to use this chapter

This chapter offers foundational information about **social and behavior change**. It is designed to improve familiarity with SBC concepts and terminology.

- *For staff involved in designing new projects*, this chapter provides useful information about the range of **barriers** that might be relevant to the problem you seek to address, allowing you to design more meaningful interventions.
- *For staff developing an SBC strategy*, this chapter can help you to think broadly about **barriers** and **enablers** to change, in order to focus on what is most likely to drive change.
- *For staff developing content and materials*, this chapter can help you think more broadly about what drives change, allowing you to design materials that make a greater impact.
- *For staff wondering if their project is on track, or troubleshooting projects that are struggling to achieve change*, this chapter can offer insights into aspects of behavior change you might have missed in your initial design.

## What's included in this chapter

It includes the following three sections:

- [What is SBC, anyway?](#) This section offers a definition of social and behavior change and provides introductory information about how a social and behavior change lens can facilitate program results. A brief summary of how social and behavior change practice has changed over the past few decades is included.
- [Key concepts for SBC.](#) This section introduces important **behavioral determinants**, and why it is important to understand which determinants are driving the behavior you seek to change. The section also introduces other key concepts for social and behavior change, including emotion, social relationships, context, habits, myths and **social marketing**.
- [Core principles and best practices.](#) This section outlines principles and best practices that characterize effective SBC interventions and references sections in the guide where readers can learn more about applying this practice.

## Key points

- Social and Behavior Change (SBC) is the intentional, systematic process that seeks to understand and facilitate changes in behaviors, **social norms**, and the contexts that drive them. SBC should be theory-based and evidence-driven and rooted in a thorough understanding of the key factors that influence a behavior.
- Knowledge is rarely sufficient to spur behavior change.
- Behaviors are influenced by a range of behavioral determinants. Effective SBC interventions must identify the most important determinants for the behavior they seek to change.
- Applying SBC best practices can improve program outcomes.

## What is SBC, anyway?



### Definition

**Social and Behavior Change (SBC)** is the intentional, systematic process that seeks to understand and facilitate changes in behaviors, social norms, and the contexts that drive them. SBC should be theory-based and evidence-driven and rooted in a thorough understanding of the key factors that influence a behavior.

Too many development and humanitarian response efforts fail to result in real lasting change because they were built upon flawed assumptions about human behavior. It is helpful to remember these foundational facts about human behavior (HELVETAS, 2017):

- Just because a person *knows* what she should do does not mean s/he will do it.
- Just because a person *wants* to adopt a behavior does not mean s/he can or will.
- Just because a person *fears* a given consequence does not mean s/he will take action to prevent it.
- Many of the actions people take to improve their lives are not done for the rational reasons we promote.

YES, information is empowering, and facts are important. BUT knowledge is rarely sufficient to spur behavior change. You can probably think of a time when you wanted to make a simple change in your life and had the knowledge to do so (drink more water, go to bed earlier, exercise more), but still struggled with implementing or sustaining that change due to factors other than knowledge.

People are frequently more driven by emotion, social pressures, aspirations, habits, the surrounding environment, and other reasons beyond the rational processing of information.

Imagine a rider on an elephant. The rider is the rational decision maker, while the elephant operates on emotions and instincts. They each represent an important part of the human brain and motivation for change: slow, deliberative thinking vs. quick, automatic reactions. The rider may clearly know where he wants to go, but he can't force a six-ton elephant to do anything it doesn't want to do. So, the rider must understand and appeal to what motivates the elephant, to steer the elephant to where he wants to go.

Furthermore, there is the path that the rider must take to get to where he wants to be – the external environment. Even if the rider can motivate the elephant to go where he wants, if the path is blocked or unclear, he may not be able to reach his destination. So, we must consider all three elements: the rider (rationale), the elephant (emotion), and the path (environment) if we want to spur real change.

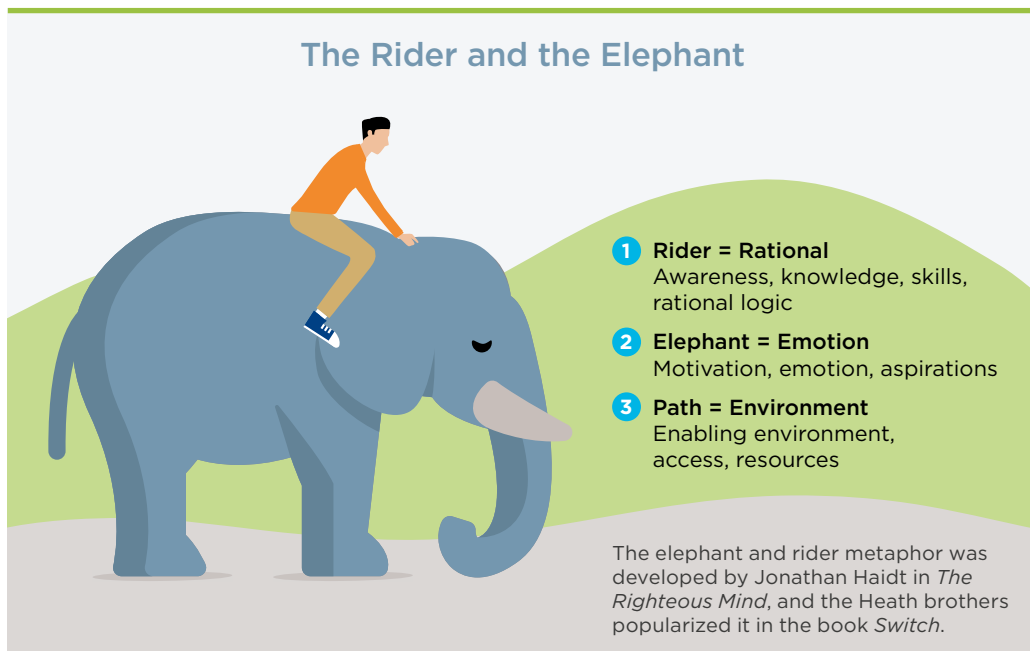


Figure 2. The Rider and the Elephant

Here's a two minute [video](#) that illustrates this example.

## The Evolution of SBC

Over the past 50 years in international development, particularly in the health sector where it has been most extensively applied, there has been an evolution in what we now call SBC.

At the beginning, programs provided what was referred to as “Health Information” or “Health Education.” This approach was based on the belief that the main reason that people did not practice a behavior was because they lacked the necessary knowledge. However, in most cases, just providing facts did not result in significant change, and programmers realized that they needed to be more thoughtful about how they conveyed this information. This resulted in the “IEC” approach, which stood for **“Information, Education, and Communication.”** Often used in health and hygiene promotion projects, IEC aimed to educate people by disseminating one-way messages via posters, radio, counseling cards, and lectures.

It became increasingly recognized that human behavior is complex and driven by a multitude of factors, and approaches that focus primarily on one-way information transfer and knowledge are rarely effective for facilitating change. In response, “BCC” or **“Behavior Change Communication”** became the dominant term and with it, a much more thorough appreciation for behavioral determinants and application of theories of behavior change. Methods that were more interactive and engaging, and that responded to a wider range of behavioral determinants, became common, such as peer groups and community drama. “Social” was later added to create **“Social Behavior Change Communication”** to acknowledge that individuals do not act in isolation, and programs must also address social forces and promote broader social change to have real impact.

## As Practice & Thinking Evolve, so does Terminology...

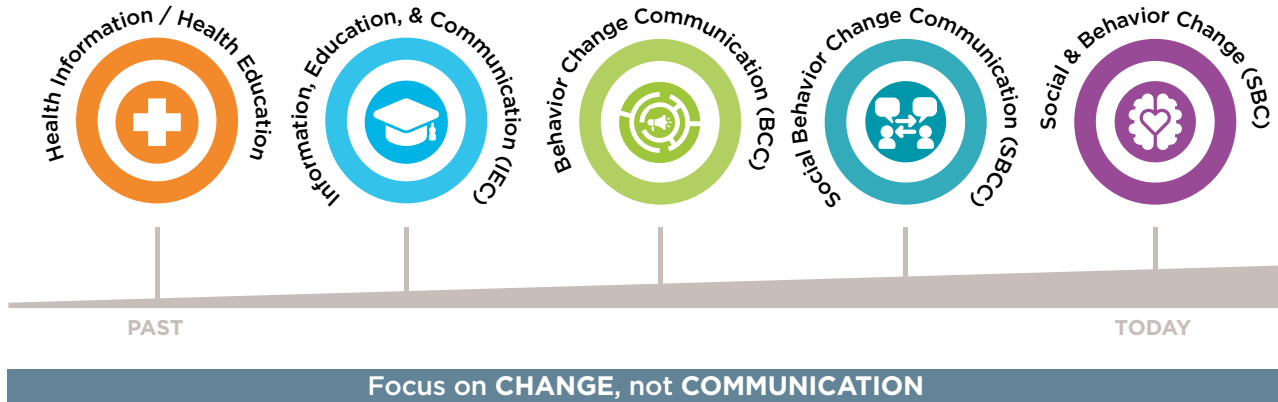


Figure 3. Evolving Terminology

The field increasingly incorporated principles and learning from the private sector, **social marketing**, **behavioral economics**, psychology, neurology, and other diverse disciplines. This expansion grew from a growing recognition that SBC shares many aims with marketing and motivating consumer behavior. Of course, there are important distinctions: SBC is usually about ‘selling’ a behavior rather than a product, and adopting the behavior benefits the doer rather than a commercial interest; however, many principles from the private sector can apply.

Eventually, theoretical advances helped practitioners recognize that not all behavior change requires or is best influenced by communication. Sometimes **nudges** in the physical environment can cue adoption of new behaviors, sometimes policies can incentivize or require a new behavior, and sometimes community mobilization can shift social norms over time. Going beyond communication to focus more holistically on change led us to drop the last ‘C’ and resulted in the current terminology: “**Social and Behavior Change.**”

### Why use SBC?

Nearly everything we try to accomplish in humanitarian aid and development ultimately seeks to influence human behavior. SBC is about getting people to do something (typically for their own good); we may seek to increase school attendance, improve gender equality, drive the uptake of a new agricultural practice, promote handwashing, get people to invest in income generating activities or increase their dietary diversity.

Sustainably shifting behavior can be a complex undertaking that requires an understanding of human behavior, household power dynamics, social influences, economic factors, and the broader political and geographic environment. Furthermore, beyond wanting to have an impact in our programs, donors increasingly expect to see well-designed, implemented,

monitored and evaluated SBC activities that will have long-term and sustainable effects.

## Key Concepts for SBC



### Definition

SBC can be used to address a wide array of different behaviors. A **behavior** is an action that is observable, specific, measurable, and feasible, and for the purpose of designing for SBC, it should be clearly defined. A behavior is not having knowledge about something or understanding something. There is a vast variety of behavior that we try to address with SBC, so it's important to consider the unique elements and context of each behavior.

Some behaviors are simple, while others can be very complex. Some actions are taken after great thought and consideration, while others are performed with almost no thinking. Some are quite easy to do, some require an enormous amount of effort or self-control and external resources.

Some require investment or have a cost, while others can be performed freely. Some behaviors may be discouraged or frowned upon by others, while some are popular, encouraged and supported. Some behaviors are done in public, while some are private. Some behaviors are individual, whereas some are performed as a couple, household or group.

The feasibility of changing a behavior and the best approach for doing so will depend greatly on the kind of behavior it is, the stages of change for the **primary group**, the resources to enable practicing behaviors and/or support from the people important to the primary group. Programmers must consider the many different aspects of these behavior change determinants in order to influence the change accordingly.

### Not all Behaviors are the Same. Some are:

**Simple** vs. Complex

**Made alone** vs. with Others

**Costly** vs. Free

**Have immediate** vs. Long term outcomes

**Rare** vs. Frequent

**Rational** vs. Emotional

**Private** vs. Public

**Deeply considered** vs. Habitual



### Definition

In our programs, while we may hope to influence the behaviors of an entire community or organization, we often focus on changing the behavior of a specific group, such as women of reproductive age, or smallholder farmers, who we call the **primary group**<sup>1</sup>. We may also try to engage other groups that strongly influence the primary group. These are often referred to as **influencing groups**, or the **supporting actors**. Influencing groups might be household members, peers, or leaders in the community or organization whose opinion has a lot of sway on the primary group. Supporting actors are people who support or enable the primary actor to engage in the behavior.

Behavior is shaped by many factors at different levels.



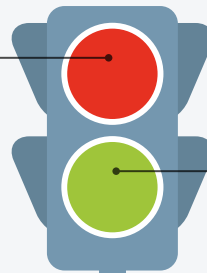
### Behavioral Determinants

As described above, behavior is multifaceted and influenced by a range of factors at different levels. We call these factors **behavioral determinants**. SBC activities seek to identify and foster change in many different behavioral determinants as an intermediate step to changing behaviors. These determinants can both encourage or inhibit the practice of a behavior, and there are often many different determinants that influence a behavior. It is vital to understand the range of determinants and prioritize those on which to focus, to change behavior.

## What are Behavioral Determinants?

**DEFINITION:** Behavioral determinants are factors that influence whether a person practices a given behavior, meaning the same determinants can act as barriers or drivers to behavior.

Determinants that make it difficult for an individual to adopt a behavior are called **BARRIERS**



Determinants that encourage or make it easier to practice the behavior are called: **DRIVERS, FACILITATORS, MOTIVATORS OR ENABLING FACTORS**

Figure 4. What are Behavioral Determinants

<sup>1</sup> Note that some behavior change resources or manuals may use other terminology for this group. For example, the Designing for Behavior Change resources refer to the primary group as the Priority Group. Other materials may refer to them as “key participants” or “target group.” Sometimes these terms are used to refer to both the primary group and any influencing groups or supporting actors.

The “old” thinking assumed that behavior was mostly driven by individuals’ knowledge or beliefs about what was best for them; therefore, programs simply had to “deliver the message” to convince people to change. Today’s SBC understands that determinants are diverse, and operate at the individual, community, organizational and societal levels.

Determinants include things as varied as: social norms, personal beliefs, aspirations, community relationships, relational dynamics, government policies, economic resource **access**, social status, political networks, knowledge, perceived self-efficacy/skills, fear and trust.

The determinants that will affect a person’s behavior, or a community’s actions, will vary based on the individual or group’s identity, their context, and their readiness and motivation to change. And the most influential determinants of a behavior in one setting may differ from those in another.

For example, in one community, people may be motivated to build a latrine because there have been repeated cholera outbreaks and they are very concerned about preventing disease (**perceived positive consequences**), whereas in another, people are primarily motivated to build a latrine because it is perceived as a symbol of cleanliness and a higher status to which people aspire (perceived **social norm**).

Furthermore, different population sub-groups among the **primary group** (or influencing groups), known as **segments**, may be influenced by different behavioral determinants as well. For example, older farmers may be reluctant to adopt a new behavior because they perceive it as untested and risky, whereas young farmers may be reluctant to adopt a new behavior due to social norms or expectations to conform.

[Table 1](#) includes an overview of common **behavioral determinants**. Note that many behavioral determinants use the term “perceived” because what drives an individual’s behavior is not so much the factual reality, but what they *think* or *believe* to be true. The first three determinants listed: perceived self-efficacy/skills, perceived social norms, and perceived positive consequences, are often found to be influential determinants and should be explored for most behavior change initiatives.

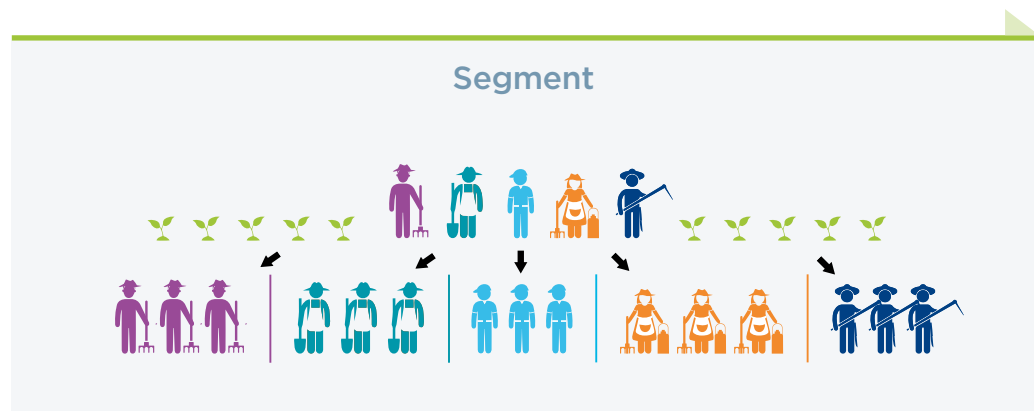


Figure 5. Examples of Segments

**Table 1. Common Behavioral Determinants**

| DETERMINANT AND DEFINITION   | EXAMPLES   |
|--|--|
| <p><b>Perceived self-efficacy/skills</b> - an individual's belief or confidence that s/he can do something.</p>  | <ul style="list-style-type: none"> <li>• I don't know how to use the modern teaching techniques.</li> <li>• It is too difficult to train illiterate people.</li> <li>• I want to show my fellow farmers how to build a keyhole garden, but I am not confident in my abilities to do so.</li> </ul>   |
| <p><b>Perceived social norms</b> - an individual's perception about how people important to them would approve or disapprove of the behavior. Norms have two parts: who matters most to the person on a particular issue, and what s/he perceives those people think s/he should do.</p> | <ul style="list-style-type: none"> <li>• My husband said that girls shouldn't attend school, so I kept my daughter at home.</li> <li>• We would like to provide more support to the schools but the people in the Department of Education don't approve.</li> <li>• It's difficult for me to attend a postnatal consultation within 48 hours of giving birth, because my mother-in-law thinks I should stay at home until the baby is 40 days old.</li> <li>• A father removes his 16-year-old daughter from school and arranges a marriage for her because he fears that others will find her less eligible, the older she gets.</li> </ul> |
| <p><b>Perceived positive consequences</b> - the positive things one thinks will result from doing a behavior.</p>  | <ul style="list-style-type: none"> <li>• My friends and I walk together to and from classes, so we all feel safe.</li> <li>• I want to make a business plan this year. My neighbor did one and he made a lot more money.</li> <li>• If I keep my chickens in a pen, they won't eat my garden.</li> </ul>   |
| <p><b>Perceived negative consequences</b> - negative things one thinks will happen as a result of doing the behavior.</p>  | <ul style="list-style-type: none"> <li>• If I go to the parent-teacher association meetings, I won't have time to cook dinner for my family.</li> <li>• I tried that and it took too much time and effort.</li> </ul>  |
| <p><b>Perceived action efficacy</b> - whether or not the person thinks the action will be effective in overcoming a problem or accomplishing something that the person wants; belief that practicing the behavior will result in avoiding/solving the problem.</p>                       | <ul style="list-style-type: none"> <li>• I don't see the point in giving my child oral rehydration solution; it doesn't stop the diarrhea.</li> <li>• My neighbor who mulched her garden needs to water it less often than I do.</li> <li>• The community-based education classes will function well enough even if the school <i>shura</i> members don't support them.</li> <li>• Vaccinating my chickens will reduce their mortality.</li> </ul>   |



Table 1. Common Behavioral Determinants

| DETERMINANT AND DEFINITION  | EXAMPLES   |
|---|--|
| <p><b>(Perceived) Access</b> - The extent to which people feel that relevant goods, services, resources are available to practice the behavior.</p> | <ul style="list-style-type: none"> <li>• I would like to use the materials in the library, but I can't get there before closing time.</li> <li>• My district is too large, and the roads are too rough for me to visit every school in my district each quarter.</li> <li>• I want to rotate my cattle on my rangeland, but I just don't have enough land for the size of my herd.</li> </ul>              |
| <p><b>Cue to action/reminders</b> - The extent to which people remember to practice the behavior or how to do it.</p>                               | <ul style="list-style-type: none"> <li>• I was going to attend the meeting, but I forgot the date of the distribution at the research farm.</li> <li>• I would like to use the coping skills, but I can't remember them when the time comes.</li> <li>• I can remember <i>when</i> to apply the organic pesticide, but I can't remember <i>how</i> to make it.</li> </ul>                                  |
| <p><b>Perceived susceptibility/vulnerability</b> - How vulnerable one feels to the risk, or how susceptible to experiencing the problem.</p>        | <ul style="list-style-type: none"> <li>• Only poor people who have little land need to worry. I have a lot of land so I'm in good shape.</li> <li>• Erosion only happens on farms that are on very steep hills. My land is not that steep.</li> <li>• My children are plenty smart already; they don't need to attend those remedial classes.</li> <li>• I am married and not at risk of HIV.</li> </ul>   |
| <p><b>Perceived severity</b> - How serious the problem is felt to be.</p>   | <ul style="list-style-type: none"> <li>• I heard that if we don't terrace our land, we could lose topsoil. But this area has plenty of topsoil, so that won't be an issue around here.</li> <li>• Our town has several water points so it's not a problem if one or two are badly maintained.</li> <li>• Malaria is not a very serious illness for me; people around here have it all the time.</li> </ul> |
| <p><b>Perceived divine will</b> - religious ideas, perceptions about God's role in the particular behavior.</p>                                     | <ul style="list-style-type: none"> <li>• The Bible says that we should not leave our feces uncovered, so my family built a latrine.</li> <li>• It's God's will whether or not I have a good harvest this year, so there's not a lot I can do about it.</li> <li>• People get sick because someone put a curse on them.</li> </ul>  |
| <p><b>Policy</b> - laws, regulations, rules that make it easier or more difficult to practice the behavior.</p>                                     | <ul style="list-style-type: none"> <li>• I wanted to use the materials in the library, but the person in charge said the materials are reserved only for elementary school teachers.</li> <li>• I took my child to be vaccinated last week, but they said they can't open a vial of vaccine for just one child.</li> </ul>   |

**Table 1. Common Behavioral Determinants**

| DETERMINANT AND DEFINITION  | EXAMPLES   |
|---|--|
| <p><b>Culture</b> - the set of history, customs, values, lifestyle, beliefs, of a self-defined group, which could include religion, ethnic or other identity.</p>   | <ul style="list-style-type: none"> <li>• It's not our tradition for <i>shura</i> members to monitor the work of teachers.</li> <li>• I attended the teacher training, but I'm not sure I'll use the new methods. I'm just not used to teaching that way.</li> <li>• People from our ethnic group are not allowed to eat with people in that group, so we didn't go to the meeting.</li> <li>• It's difficult for me to attend a postnatal consultation within 48 hours of giving birth, because new mothers are supposed to stay at home for 40 days after the birth.</li> </ul> |
| <p><b>Social relationships</b> - the social roles people play, the networks linking them at the household and community level and strength of the ties; who listens to who and through what channels.</p> | <ul style="list-style-type: none"> <li>• I must give the baby herbal tea because my mother-in-law insists it is best and she is in charge.</li> <li>• Our village council looks out for all of us, so we do what they say.</li> <li>• My sisters are more important to me than anyone. I'll do anything to help them.</li> </ul>   |
| <p><b>Emotion</b> - feelings, subjectively experienced responses, or mental states that arise spontaneously rather than from conscious decision.</p>  | <ul style="list-style-type: none"> <li>• I felt so stupid when I tried that farming technique.</li> <li>• I am ashamed that I don't have enough milk to breastfeed.</li> <li>• Family tradition is everything. I am afraid to anger the ancestors.</li> <li>• I will be so proud if my daughter goes to secondary school.</li> </ul>   |
| <p><b>Collective self-efficacy</b> - what we think we can do together.</p> <p><b>Community capacity</b> - skills and resources we can use to support change.</p>  | <ul style="list-style-type: none"> <li>• I belong to a solid caregivers' group where we support each other.</li> <li>• Our agricultural co-op is working towards more sustainable farming practices.</li> <li>• The members of the Saving and Internal Lending Community (SILC) group to which I belong help each other to succeed.</li> </ul>   |

Behavior change takes more than awareness!



## Other Key Concepts

Good SBC takes complexity into account and recognizes that change can be contingent on finding the right solution to address each unique behavior in each unique context. Just because a person knows that smoking cigarettes is bad for her, she/he still may not quit. Campaigns may stimulate fear of negative consequences to motivate change. But, just because she/he fears cancer, it doesn't mean she/he will take action to prevent it. Even if she/he truly *wants* to change the behavior, it doesn't mean that she/he will. Nearly all of us can think of how difficult it can be to make simple changes in our

own lives, like eating more healthy foods or exercising more. Making people more aware of the problem or the need to change won't be effective if that isn't the main thing blocking them from action.

Given the variety of behaviors that are our focus, and the need to find the right solution to change each behavior, we can't expect one approach to be effective for each situation. Our job is to understand our **primary group** and to identify the main factors influencing behavior in a specific context, then design tailor-made interventions. A thoughtfully designed SBC strategy will apply a package of different **approaches** to address the distinct needs of each unique primary group, context, and stage in the change process.

For example, if your assessment reveals that members of your primary group already *know* about the benefits of a behavior and actually *want* to do it, but *cannot*, your intervention may need to target the enabling environment. Strategies will need to be created to address the main barriers you identified, whether lack of time, money, or skills, by advocating for resources, or strengthening capacity. Still, you may find that old behaviors persist because people tend to do what their peers do (popular), and habits are hard to break. So, you will need to address **social norms** and support behavior maintenance—not just for individuals, but across communities and organizations— or look for ways to change the environment to better enable behavior change.

**Emotion  
is a  
powerful  
behavioral  
driver.**



We usually think the process of behavior change goes like this: Analyze-Think-Change. That works for engineers or accountants solving a problem, but when issues are not so straightforward, analytical tools do not work as well as evoking emotional responses.

Research (Kotter & Cohen, 2012) shows the sequence for successful change is See-Feel-Change. In the private sector and commercial sphere, it's obvious that we need to attract people's attention visually and engage their emotions. There is much evidence that emotions have greater impact on behavior than rationality (Heath & Heath, 2010). Unfortunately, we tend to forget this in development work. Emotions can be triggered in many ways: through a striking visual image or a compelling story. We must remember that people will often respond more to emotion than logic. To trigger emotions, we must spend time exploring what people care about as well as their aspirations so that we can address their feelings with our interventions.

**Research shows that positive emotions are usually more effective than negative ones, whether it's desire for status, or a healthy baby. Fear works where there is a severe, credible, immediate threat and specific recommendations for overcoming that threat are provided. Otherwise, engaging aspirational, positive emotions are usually more motivating and long lasting.**

**Social relations and norms matter.**



People do things that they see others doing. The importance of peer relations in diffusion of ideas and behaviors is well supported by empirical research. Behavior tends to be “contagious” as people mimic what people like them (or people they aspire to be like) are doing. If a man sees other men escorting wives to health clinic for prenatal care or caring for children, he is more likely to do the same. If a local celebrity appears in partnership with a stigmatized person, other community members are more likely to interact respectfully with members of that ethnic group or HIV status. Agricultural developments often succeed when early adopters of a new technique present ‘social proof’ of its value to peers. Care Groups have become widely successful in spreading health and nutrition behaviors through the power of peer affinity groups and shared learning (Perry et al., 2015). Community leaders such as those who lead the faithful can play a powerful role in shifting social norms that drive behaviors.

Project designers must understand the power of peer dynamics and social forces, and be creative about how to leverage and utilize the values and forces that already exist in organizations and communities. For example, a mother may want to exclusively breastfeed, but her ability to practice this behavior is affected significantly by her mother-in-law, who thinks it is essential to give pre-lacteal feeds. In this case, it will be very difficult to increase exclusive breastfeeding without engaging senior women who have a lot of influence.

**Understanding local realities is essential.**



To identify what will appeal to and engage the **primary group**, with the hope of spurring behavior change, we must invest deeply in understanding them: their daily lives, their hopes, dreams, fears, what matters to them, and the actual barriers and **enabling factors** that drive their actions. Only through this understanding can we meaningfully engage them in **activities** that activate their interest and motivation to adopt beneficial new behaviors.

The need to tailor project activities to fit the local context and behavioral influences identified empirically can present a challenge when designing a project for a competitive bid process. When developing a project proposal, the team will draw on the best knowledge available to propose a set of activities to reach project objectives. The proposal will explain the plan for post-award **formative inquiry** that will identify key contextual details. It will also describe a process to develop a full SBC strategy with local stakeholders that will adapt and refine implementation approaches so that all behavior **change aims** may be achieved.

**The power of habits.**



By some estimates, modern humans make up to 35,000 decisions a day (Sollisch, 2016). Making conscious decisions is a taxing process, with the ability to make good decisions impaired by the mental fatigue associated with having made decisions (Pignatiello, Martin & Hickman 2020). In other words, making a lot of decisions exhausts people and drives them to be more passive.

Habits are a coping mechanism that help people avoid the strain of repeated decision-making; they are a short cut for thinking. Habits are a process



where a context prompts an action automatically, without relying on conscious decision-making. Because of the link to context, it can be easier to establish a new habit or behavior in a new context.

Likewise, a change in context can lead to an existing habit being abandoned. During a habit formation phase, people have to think about the behavior they want to perform in response to a contextual cue, but after a certain amount of repetition, they will begin to perform it automatically, without needing to rely on conscious thought (Gardner & Rebar, 2019).

Habits can be either an enabling factor or a barrier to behavior change. Where people need to change an existing habit to practice the new behavior, for example, when they need to stop soaking green leafy vegetables before cooking them, it will require a lot of their mental energy to break the existing habit. On the flip side, approaches that can help to create new habits, such as setting up a queue for handwashing by putting a handwashing station outside a latrine, may benefit from having that behavior continue well beyond the life of the project, without continued emphasis (Neal et al., 2015).

While a lot of different figures are cited about how long habit formation takes, most research indicates that it depends on many factors such as the number of times a day the behavior is practiced, the time of day, the strength of the cue-behavior relationship, and more (Gardner & Rebar, 2019). Projects should be attentive to the mental energy being asked of a **primary group**, when trying to change existing habits or establish new ones. Ongoing decision fatigue can be minimized by helping a primary group establish automatic decision-making shortcuts through force of habit.

### Myths matter.



In the determinants section, we noted that determinants often start with “perceived” because in behavior change what people perceive to be true matters more than what is true. Myths are an extension of this tenet. Myths are widely held false beliefs or ideas that have gained strength by repetition and sharing amongst tight-knit communities with common values. Myths can be likened to misinformation, because the people telling the stories aren’t aware that they have the facts wrong. Misinformation is different from disinformation, or false information which is deliberately intended to mislead the listener by misstating the facts.

Myths are strengthened by the emotions of the storytellers, or the “sharers” and shared cultural and social norms (in contrast to fact-based information, which is normally neutrally charged). Emotion is what makes myths so potent, and so dangerous, particularly in health emergency settings.

Good SBC programs should be aware of myths and misinformation relevant to their aims so they can take steps to counter them. Programs should also integrate systems to track and respond to emerging myths and misinformation. During the COVID-19 pandemic, the term **infodemic** was used by the World Health Organization and other public health organizations to describe the maelstrom of mis- and disinformation both on and offline, that left people confused about how to lower their risk of infection and protect the people around them. Infodemic management, the systematic use of risk and evidence-based analysis and approaches to manage infodemics, can reduce their negative impact on health behaviors during health emergencies.

#### Marketing principles.



The private sector has long recognized the power of understanding its audience in order to promote products and services in a way that appeals to the preferences and aspirations of its customers. Simply telling customers that a product is “good for them”, particularly in a crowded marketplace with many competitors, would rarely result in ample profit. Rather, to succeed, businesses must develop a deep understanding of their target audience, select a smaller sub-group or segment on which to focus, and develop a marketing plan that strategically adjusts the “4Ps”. By tailoring these 4Ps, specifically the 1) product, 2) price, 3) place and 4) promotion to appeal to the specific target audience, businesses generate the greatest demand and ultimately, profit, for a product or service.



#### Definition

Building on the strengths and successes of private sector marketing, the concept of **Social Marketing** emerged in the 1970's. Social Marketing “is a process that applies marketing principles and techniques to create, communicate, and deliver value in order to influence target audience behaviors that benefit society as well as the target audience” (Lee & Kotler, 2012). Social Marketing is a significant component of SBC.

While traditional marketing might seek to generate demand and uptake of product for the purposes of increasing profit, social marketing and SBC seek to create demand and uptake of a product (mosquito net, vaccine, improved seed) or a behavior (breastfeeding, using cover crops, positive parenting) for public good. There are many examples of social causes that have successfully utilized marketing techniques in effective campaigns, such as those aimed at reducing smoking, pollution and domestic violence.

## Core Principles and Best Practices for SBC

Years of research and experience have resulted in global consensus on some key principles that characterize effective SBC interventions. The steps in this guide should help teams develop well-considered, evidence-based programs. When designing and implementing SBC activities for projects in any sector, we should strive to adhere to these good practices:

- **Integrate SBC as a cross-cutting (not stand-alone) dimension of the project.** SBC activities are designed to support overall project aims and apply throughout the project wherever human behavior changes are sought (including in capacity strengthening work).
- **Make sure you have the right staff.** Decide on your SBC team. Larger, more complex projects may have dedicated SBC experts, as well as SBC focal points embedded with sectors and partners. Smaller projects may need to count on the Project Manager or a Project Officer to oversee SBC work. Either way, make sure you have clearly identified who is responsible for SBC design and execution, and provide tools (like this guide!) and capacity building opportunities to fulfill their roles effectively. Budget for staff and technical assistance during project design.
- **Engage local stakeholders and participants** as part of your SBC team (for example in an advisory capacity) to design, implement and evaluate activities. This is especially important if you'll be working with historically marginalized groups. Make this an active empowerment through dialogue, co-creation, and continuous capacity strengthening, not just a token process of 'informing;' Embrace subsidiarity and a 'nothing about us without us' perspective.
- **Integrate projects with existing programs and/or systems** to maximize local ownership and sustainability and to promote coordination and synergy.
- **Ground design and implementation in theory.** Select a framework, drawing on theories of behavior change, learning, and communication that will guide your identification of realities in a community (or organization), help you design formative inquiry and organize findings, and provide logic for how certain activities will lead to change. [Chapter 3](#) provides a brief overview of common theories of behavior change.
- **Target interventions at different levels in the social system.** Projects should choose interventions in the enabling environment, the community, family and social systems, and the individual level as needed. Refer to the socio-ecological model in [Chapter 3](#) and information about project strategy selection in the [Activity and Engagement Tactics Menu](#) between Chapters [5](#) & [6](#).
- **Use multiple, varied approaches and communication channels that go beyond providing information,** with a coordinated, complementary approach that engages people in different ways and reinforces impact. Refer to Chapters [5](#) and [7](#) for additional guidance.

- **Use people-centered, participatory methods to actively engage participants.** In individual counseling, small group dialogue, community activities, or advocacy, always maximize engagement by using methods that focus on two-way communication (listening and mobilizing participants' experience, stories, perspective, questions, values and assets, negotiation and commitment). See [Chapter 5](#) and the [Activity and Engagement Tactics Menu](#) between Chapters [5](#) and [6](#) for additional guidance on selecting strategies.
- **Prioritize behaviors!** Focus on a few key behaviors, rather than trying to do too much. Remember that changing behavior requires a lot of mental energy from the people who need to make the change, and humans can only change so much at once. (Refer to Chapters [5](#) and [7](#) for additional guidance).
- **Ground design and evidence-based implementation.** Everything should be rooted in evidence, including global data and project-specific formative inquiry findings (see [Chapter 6](#)) that help you tailor approaches to fit participants and their contexts. Data should also be used throughout implementation for continual improvement (see [Chapter 9](#)).
- **Address behavioral determinants** as identified in formative inquiry, including all influential factors beyond 'knowledge.' Don't forget that emotion, motivation, social influences and environmental factors are often powerful determinants. (Refer to [Chapter 6](#) for more information).
- **Target multiple audiences who are relevant in the specific context.** Work with both the primary group and influencing groups. Also, identify sub-group segments and characterize them based on demographic, psychographic, social and/or behavioral factors so approaches can be tailored to fit. [Chapter 7](#) offers more detailed guidance.
- **Test and adapt tools, methods and communication materials.** Pre-test ideas and materials with participants to ensure they resonate, are understood and acceptable, and work in practice. See [Chapter 8](#) for additional guidance.
- **Establish realistic objectives and systems to monitor implementation quality, reach and measure progress, and adapt as needed.** Use data for continual learning and to guide adjustments for optimal effectiveness. Repetition can be needed for behavior change, and it is unlikely we will get it right the first time, so build in systems that track activities and allow for revision and adaptation when needed. For additional guidance, refer to [Chapter 9](#).
- **Remember, it's not just what you do, but how you do it.** Quality implementation is key, and this is especially true when SBC relies on communication for behavior change. The effectiveness of these interventions will depend greatly on high quality communication, active listening, facilitation, group management, interpersonal communication, and negotiation skills. Ensuring that involved staff and community members are well-trained and continuously supported is essential. See [Chapter 9](#) for more guidance.



The step-by-step process for SBC detailed in Chapters 4 through 9 will offer additional guidance to applying these principles in your work.

## Additional Resources

- ▶ Rare. 2015. The elephant, the rider and the path. [https://www.youtube.com/watch?v=X9KP8uiGZTs&ab\\_channel=Rare](https://www.youtube.com/watch?v=X9KP8uiGZTs&ab_channel=Rare) A two-minute video of the elephant, the rider and the path analogy. In English with French subtitles available.
- ▶ Bujold, P. & Karak, M. 2021. To scale behavior change: target early adopters, then leverage social proof and social pressure. Behavioral Scientist. <https://behavioralscientist.org/to-scale-behavior-change-target-early-adopters-then-leverage-social-proof-and-social-pressure/> A short (5 minute) interesting take on behavior change that describes the limitations of approaches that rely on information (tell them), incentives (pay them) and regulations (stop them).
- ▶ Lee, N., & Kotler, P. 2012. Social Marketing: Quick Reference Guide. [https://www.socialmarketingservice.com/site/assets/files/1010/socmkt\\_primer.pdf](https://www.socialmarketingservice.com/site/assets/files/1010/socmkt_primer.pdf) This short document provides an accessible overview for thinking through a social marketing program.
- ▶ GAVI, WHO, UNICEF & US CDC. 2022. Addressing health misinformation: comprehensive training. [Presentation 6.5](#) provides tips and tools for combating myths and misinformation, specifically around vaccine demand.
- ▶ Kittle, B. 2013. A practical guide to conducting a barrier analysis. New York, NY: Helen Keller International. [https://pdf.usaid.gov/pdf\\_docs/PA00JMZW.pdf](https://pdf.usaid.gov/pdf_docs/PA00JMZW.pdf) Lesson 4 provides more information about common behavioral determinants, including an exercise to test your understanding.
- ▶ Neal, D., Vujcic, J., Hernandez, O., Wood, W. 2015. The science of habit: creating disruptive and sticky behavior change in handwashing behavior. Washington D.C., USA. USAID/WASHplus Project. [https://www.washplus.org/sites/default/files/resource\\_files/habits-neal2015.pdf](https://www.washplus.org/sites/default/files/resource_files/habits-neal2015.pdf) This is a great tool for understanding how habits influence behavior.



Fatmata Sam receives an insecticide treated bed net from Nurse Joan Squire at Damballa Community Health Center. The Center gives nets to pregnant women as part of its malaria prophylaxis and treatment program. [Photo by Michael Duff for CRS]

## 3

# Using Theory to Inform SBC

## Why and when to use this chapter

This chapter provides an overview of the importance of theory to designing good SBC and introduces commonly used SBC theories.

- *For staff interested in learning more about SBC generally*, this chapter provides an important foundation for understanding theory.
- *For staff designing a new project*, this chapter can help you select an SBC theory to support your conceptual model and your problem tree exercise.
- *For staff planning or analyzing **formative inquiry***, this chapter can help you select an SBC theory to guide your questions and organize your findings for faster analysis.

## What's included in this chapter

It includes three sections:

- [Why do we need an SBC theory?](#) This section explains how theory helps guide choice of effective SBC processes and introduces commonly used theories.
- [Theory deep dive.](#) This section describes the commonly used SBC theories, including the **socio-ecological model**, Capability, Opportunities and Motivation – Behavior (COM-B), diffusion of innovation, stages of change, the health belief model and the theory of reasoned action.
- [Additional scholarship influencing SBC.](#) This section introduces scholarship that complements SBC theories, including transformational adult learning, behavioral economics, and Human Centered Design.

## Key points

- Theory helps guide our assessment and intervention design so that we can focus on the determinants most likely to be relevant to the behavior we are seeking to change.
- CRS generally recommends projects use the socio-ecological model as a foundation, with project teams encouraged to bring in elements of other theories described in this chapter that best fit the context of the behavior they seek to change.

## Why do we need an SBC theory?

With all the complexity in human behavior and social change, theory helps guide our research and intervention design, and ensures that our programs are rooted in evidence. Theories help us form a hypothesis about which **behavioral determinants** are most critical, and how to use available resources to address problems through social and behavior change. SBC draws on theory and practice from various disciplines, including communication, psychology, sociology, community mobilization, marketing, advocacy, behavioral economics, Human Centered Design, and social psychology. Theories of human behavior vary in their focus on psychological, social, or environmental factors, each of which hold associated assumptions about what interventions are best.

The behaviors we seek to influence are often quite different; some are more individualistic, some are more social, and as such, some theories of behavior change are more relevant to certain behaviors than others.

There are lots of theories of behavior change that help explain how different factors influence behavior. No one theory will explain every behavioral context or determine how to design a project. Given the complexity of our programs, human behavior, and social systems, it is best for us to be aware of different theories and apply them creatively, responding to the forces we identify as most relevant in a project context.

Given its common usage and relevance to all programs, CRS recommends that all projects use the **socio-ecological model** as a theoretical foundation. The socio-ecological model, described in more detail on [Page 28](#), encourages programmers to consider all of the different levels that might influence behavior, and in turn, all of the different levels where a project may intervene.

In addition to the socio-ecological model, project teams are also encouraged to consider the relevance and application of other theories of behavior change. While the socio-ecological model is particularly useful for looking at an issue from a structural perspective, other theories offer insight into how proximal or internal characteristics may influence behavior. Combining the socio-ecological model with one or more other theories can offer a lot of explanatory insight into why people act as they do, as well as suggest areas of focus for how to change behavior. The following table presents an overview of a few theoretical models included in this guide, listed in order of relevance and application to our work.

**Table 2. Overview of Theoretical Models**

| THEORY                    | EMPHASIS   | BEST FOR   |
|---------------------------|--|--|
| Socio-ecological Model    | Multiple influences from enabling environment, structural context as well as social and psychological factors. | Overall framework. Thinking about interventions at multiple levels (not just with individuals).            |
| COM-B                     | Capability, Opportunities and Motivation as drivers of Behavior.   | Considering opportunity (access) as well as factors such as capabilities and motivation.                   |
| Diffusion of Innovations  | How new ideas move through society.  | Focusing on the group most likely to change. Tailoring approaches for people's innate comfort with change. |
| Stages of Change          | People need different approaches depending on where they are in the change process.                            | Segmenting approaches to people in different stages; Thinking about sustainability.                        |
| Health Belief Model       | Susceptibility, severity, benefits, barriers, cues to action and self-efficacy.                                | Thinking through possible determinants.  |
| Theory of Reasoned Action | Attitudes and norms.   | Considering additional determinants.   |

## Theory deep dive

Below are descriptions of a few key theories that have significantly influenced SBC practice:

- ▶ Socio-Ecological Model
- ▶ COM-B
- ▶ Diffusion of Innovation
- ▶ Stages of Change
- ▶ Health Belief Model
- ▶ Theory of Reasoned Action



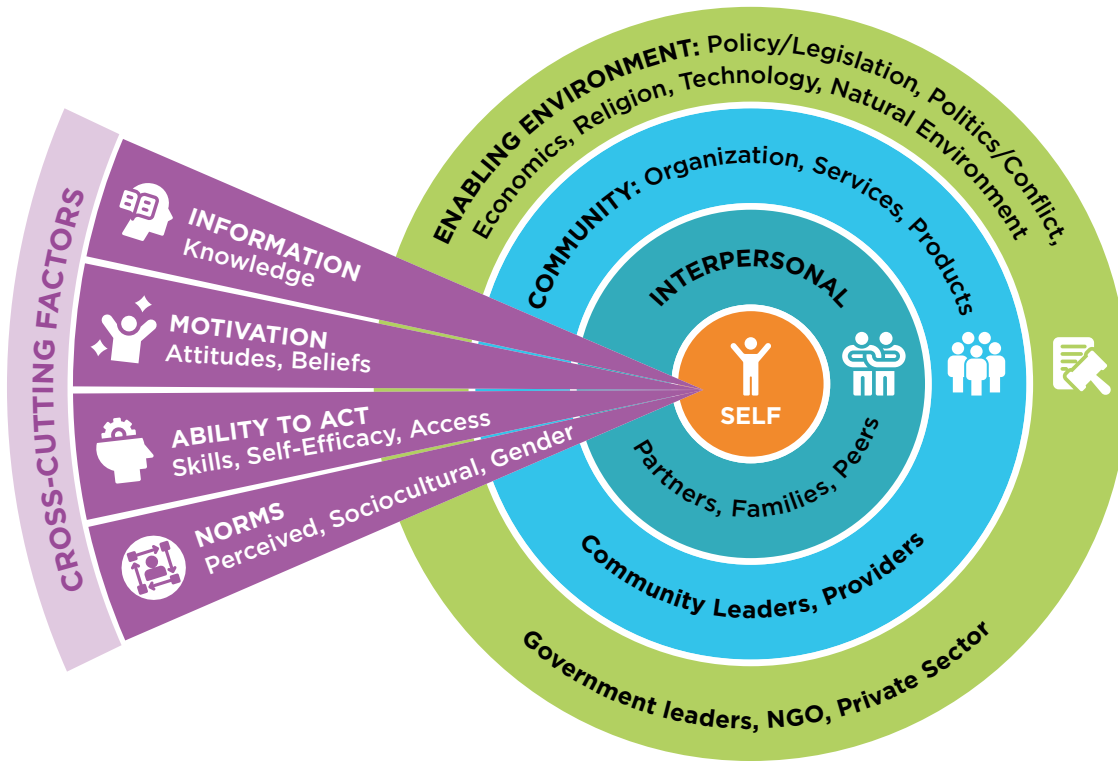
**Definition**

**Socio-Ecological Model**

Many SBC efforts use the **socio-ecological model**, a framework that draws on elements of various theories and emphasizes that **behavioral determinants** operate on multiple, interrelated levels and that interventions are more effective when they address multiple factors affecting individual behaviors. These include: interpersonal relationships, community structures, cultural norms and values, and the enabling environment. The simple ‘onion’ graphic reminds us of how each person is situated in a social context and helps us envision multiple influences on behavior.

CRS recommends the socio-ecological model for widespread use. The socio-ecological model aligns well with CRS’ Integral Human Development approach, which underscores the importance of structures and systems in driving outcomes (Heinrich, Leege & Miller, 2008).

**Socio-Ecological Model**








Source: Adapted from C-Modules: A Learning Package for Social and Behavior Change Communication <https://www.fhi360.org/resource/c-modules-learning-package-social-and-behavior-change-communication>

Figure 6. The Socio-Ecological Model

Table 3 illustrates the type of elements that define each level, as well as some cross cutting factors relevant to SBC at any level.

**Table 3. Elements of the Socio-Ecological Model**

| LEVEL  | DESCRIPTION   |  |
|--|---|--|
|  <b>Individual</b>                    | Characteristics of an individual that influence behavior change, including a person's <b>attitudes</b> , emotions, perceptions, beliefs, values, goals and expectations; knowledge, skills and <b>self-efficacy</b> ; their personal history, past behavior and habits; demographic factors like gender, age, religion, racial/ethnic/caste identity, socio-economic status, resources, education and literacy. | Norms, habits, instincts, physical cues that influence and/ sustain any of these elements. |
|  <b>Interpersonal</b>                 | Formal and informal social relationships, networks, and support systems; cultural customs or traditions; including family, friends, peer groups, workplace or church relationships and the <b>social norms</b> that shape and sustain those social relations.   |  |
|  <b>Community</b>                     | Relationships within and between organizations and community groups, leaders, associations and informational networks; including the built environment (e.g., roads, parks), transportation and the private sector/businesses.  |  |
|  <b>Organizational</b>              | Organizations or social institutions and their operating systems, culture, history and rules for operations; including government agencies, religious institutions, the health system, schools, and the market/economy.   |  |
|  <b>Policy/Enabling Environment</b> | Local, state, national and global laws, policies and regulations; including those affecting dissemination of information, the allocation of resources for services, establishment of taxes, fees and requirements for permits or certain behaviors.   |  |

### The COM-B Model

The COM-B Model (Figure 7) is another commonly used model in development efforts. It synthesizes behavior change frameworks from various disciplines and posits that three conditions are necessary for behavior change: Capability, Opportunity, and Motivation, (Michie, Atkins and West, 2014).

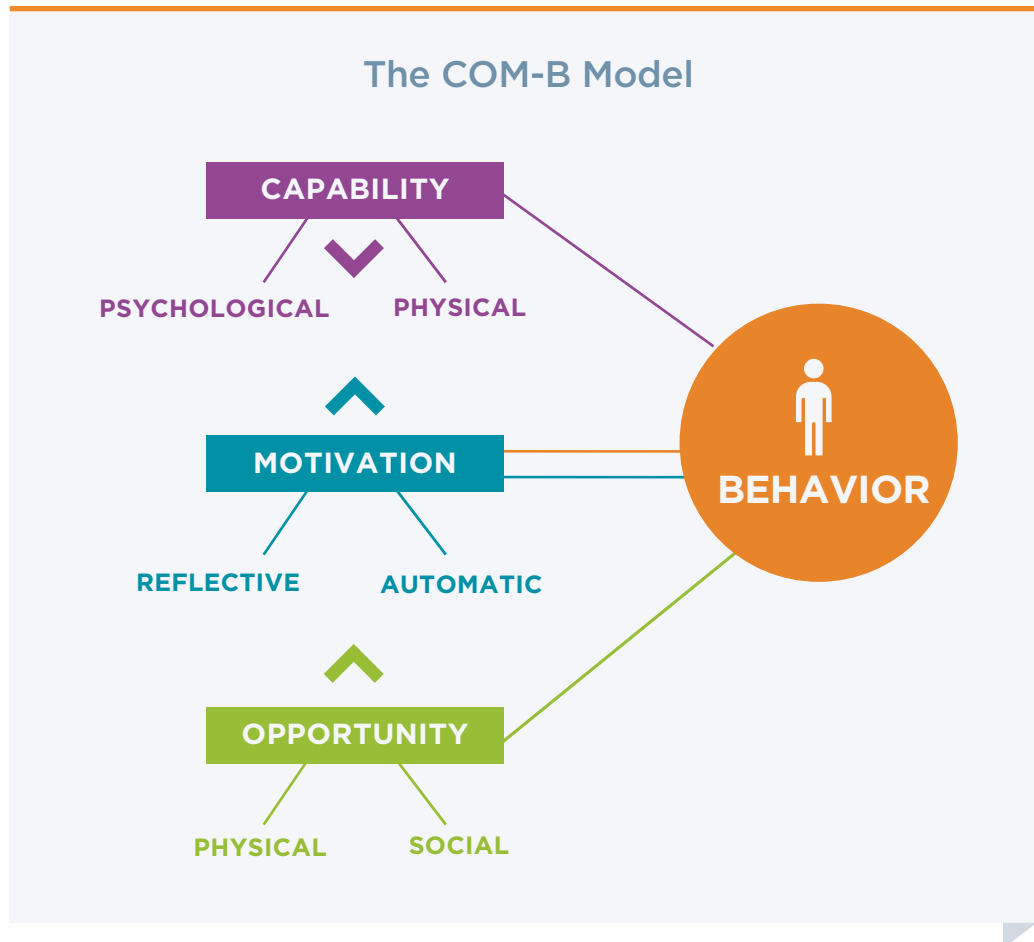


Figure 7. COM-B Model. Adapted from West and Michie 2020

Capabilities encompass physical and psychological attributes, that together with opportunity, make a behavior possible or facilitate it. Motivation includes reflective and automatic elements. Reflective motivation relies on conscious thought processes while automatic motivation involves habits, instincts, and affective processes or desires. Opportunity includes physical opportunity and social opportunity. Physical opportunities incorporate financial and material resources, time, and other elements of the environment. Social opportunity refers to culture and social norms.



## Diffusion of Innovation

Diffusion of innovation theory (Rogers, 1962) seeks to explain how new ideas move through society. This theory posits that a new behavior (or trend) does not happen simultaneously among everyone. Instead, the new behavior moves like a wave through five different categories, based on their willingness to take risks and try new things. This theory is often used to explain the adoption of new technologies or practices. The theory suggests that the different categories of people need different interventions to influence their behaviors ([Figure 8](#)).

- 

The first group is known as **innovators**, making up a very small percentage of population (about 2.5%). Innovators are more willing to set themselves apart and try something new. They usually require very little support or encouragement beyond the idea to make the change. For example, the first person in the community to get WhatsApp, or the first one to try a new seed, is an innovator.
- 

The next group is the **early adopters**. Early adopters are usually opinion leaders (about 13.5%) who believe the change is needed but may need guidance on how to bring about the change. For example, this might be men in a community who want to become more involved in childcare and model father engagement.
- 

The third group is the **early majority**. This is a large segment of people (about 34%) who adopt a new behavior faster than average. Usually, they wait to see that the new behavior has benefited others (the early adopters) to become convinced that it will also be good for them. For example, during the COVID vaccine roll out, some people waited to see that someone they knew and trusted got the vaccine with no ill effects, before they themselves signed up.
- 

The fourth group is the **late majority**. This large segment of people (about 34%) is more reluctant to adopt a new behavior. They are usually only convinced when most people have already made the change. Strategies to reach this group include emphasizing that the promoted behavior is something most people do. For example, a campaign that emphasizes that 65% know their HIV status is seeking to appeal to the late majority.
- 

The final group is the **laggards**. This minority (about 15%) tends to feel very strongly about traditions and is the hardest to change. Emotional appeals from people in earlier adopter categories, are often used to reach this group. For example, the Community Led Total Sanitation approach uses members of the community to work with families who lack latrines, encouraging their adoption.

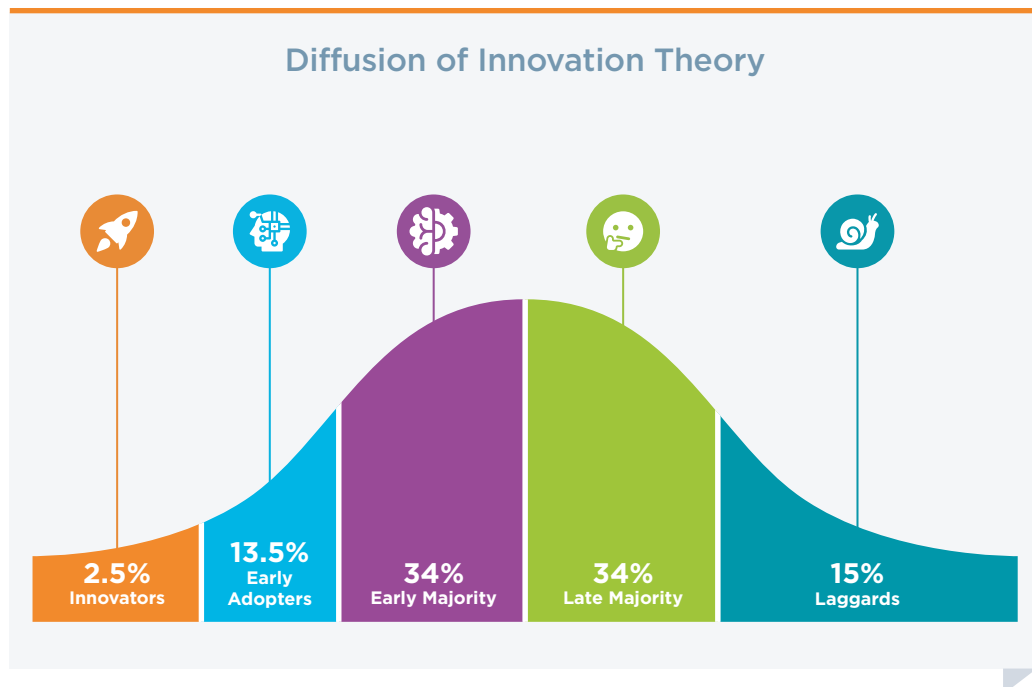


Figure 8. Diffusion of Innovation Theory, Rogers

Keep in mind that a person may fall into a different category depending on the behavior or type of behavior under consideration. Someone could be an innovator for farming practices but in the late majority for health behaviors, or vice versa.

This model serves as a reminder that projects often need to adopt multiple approaches to changing behaviors, and evolve approaches over time, depending on how many people are already practicing a behavior. As with other models described previously, CRS does not recommend that it be used in isolation, but rather in combination with another model, such as COM-B ([Page 30](#)), which helps to unpack behavioral barriers.

## Stages of Change

Another theory of behavior change that is often integrated into SBC programs is called the “Stages of Change” model or Transtheoretical Model (Prochaska and DiClemente, 1986), which emphasizes that people transition through a series of stages before adopting lasting behavior change ([Figure 9](#)). Additionally, not all people begin at the same stage of readiness for change. Understanding where people are, along the continuum, can help us better design and target approaches. The ‘maintenance phase’ helps projects consider how they will maximize sustainability of the change.

Despite the value of considering the stages of change in SBC work, the model can be limited by its assumption that individuals make logical decisions and progress in a linear fashion. Additionally, it is a more individualistic model that doesn’t fully capture the many features of social context that influence behavior. Due to these limitations, CRS does not

recommend the stages of change model to be used in isolation; it should be used in combination with another model, such as the **socio-ecological model** or COM-B (both described previously).

[Table 4](#) offers some examples of how the stages of change model might influence the perspective of someone in the process of change, the change agent supporting them, and the project itself.

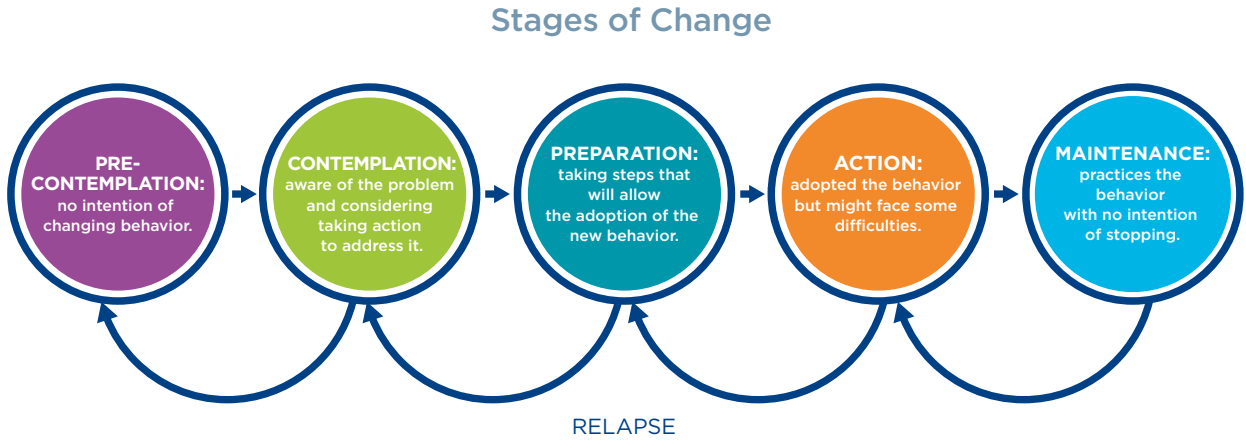


Figure 9. Stages of Change, by Prochaska & DiClemente



Germain Cenois, 59, a Haitian smallholder farmer, receives seed vouchers from CRS' Emergency Response Program after losing all his crops to Hurricane Matthew in October 2016. [Photo by Oscar Leiva/Silverlight for CRS]

**Table 4. Stages of Change Programming Examples (adapted from Schmied, 2019)**

| STAGE  | CHANGER'S PERSPECTIVE  | CHANGE AGENT'S APPROACH  | PROJECT EXAMPLES  |
|--|--|--|---|
| <p><b>Pre-contemplation</b><br/>Identify the problem.</p>                            | <p>"I don't see a problem" "Our community is fine as it is."<br/> <ul style="list-style-type: none"> <li>• Has no intention to change.</li> <li>• Does not view their behavior as a problem.</li> <li>• Tends to see the costs of change more than benefits.</li> </ul> </p>                         | <ul style="list-style-type: none"> <li>• Facilitate discussions/ activities to raise awareness of links between behavior and undesired consequences.</li> <li>• Be empathetic and non-judgmental, to build openness to new thinking.</li> </ul>  | <p>A community with high levels of open defecation does not associate that behavior with illness. CLTS activity begins by demonstrating links between fecal matter and diarrheal diseases.</p>  |
| <p><b>Contemplation</b><br/>Consider options and look for information.</p>           | <p>"OK, there may be a problem, but I need some information and options."<br/> <ul style="list-style-type: none"> <li>• Recognizes their behavior may be problematic.</li> <li>• May have thought about the pros and cons of changing.</li> <li>• Still feels unsure about changing.</li> </ul> </p> | <ul style="list-style-type: none"> <li>• Focus on the values people express.</li> <li>• Highlight their strengths &amp; assets.</li> <li>• Make connections between their goals and their ability to make progress through small steps.</li> <li>• Refer to resources for more information and support.</li> </ul> | <p>Counseling draws out a mother's experience with her child's frequent diarrhea, affirms her caring instincts, walks through their daily routine to identify opportunities to avoid spreading germs. Families with children who don't suffer diarrhea are identified and engaged to share experience about sanitary childcare.</p> |
| <p><b>Preparation</b><br/>Obtain new skills and access to resources and support.</p> | <p>"I am ready to try, but there are some obstacles."<br/> <ul style="list-style-type: none"> <li>• Motivated and ready to act.</li> <li>• Believe change will help them.</li> <li>• May start to take small steps toward behavior change.</li> </ul> </p>   | <ul style="list-style-type: none"> <li>• Help identify barriers to change.</li> <li>• Help identify and mobilize enabling factors for support.</li> <li>• Focus on small, doable actions they can try.</li> <li>• Reinforce the positive benefits of change.</li> </ul>  | <p>A project organizes a training that takes participants through the steps of applying a new fertilizer, preparing the plot of land to fertilize, talking to others who have tried fertilizer and can offer suggestions.</p>   |

**Table 4. Stages of Change Programming Examples (adapted from Schmied, 2019)**

| STAGE  | CHANGER'S PERSPECTIVE  | CHANGE AGENT'S APPROACH  | PROJECT EXAMPLES   |
|--|--|--|--|
| <p><b>Action</b><br/>Try out, reflect on and reinforce the new behavior.</p>   | <p>"I am trying, but I am not sure how it's going to work out. I need support from people around me."<br/> <ul style="list-style-type: none"> <li>• Started to change their behavior.</li> <li>• Intends to keep moving forward.</li> <li>• Still at high risk of lapsing back into old behaviors.</li> </ul> </p>       | <ul style="list-style-type: none"> <li>• Support next steps towards doing the behavior fully and support strategies to maintain the behavior.</li> <li>• Connect them with positive role models.</li> <li>• Establish cues to support the new behavior.</li> </ul>   | <p>A family starts sleeping under a mosquito net for the first time. During the first few nights, they must continue to adjust the placement for it to hang right. It takes a while to get used to it. They sometimes find it uncomfortable on very hot nights but find if they move the bed closer to the window it helps.</p>  |
| <p><b>Maintenance</b><br/>Continue the behavior with support and identify ways to overcome challenges and recover from relapses.</p> | <p>"I can and want to do this! I just need to keep going until it becomes a habit."<br/> <ul style="list-style-type: none"> <li>• Has sustained their behavior change for a while.</li> <li>• Intends to continue.</li> <li>• Identifies strategies to maintain behavior when obstacles are encountered.</li> </ul> </p> | <ul style="list-style-type: none"> <li>• Consider long term access, availability and demand challenges.</li> <li>• Support strategies to prevent relapse to earlier stages.</li> <li>• Bolster self-efficacy, skills, and access to resources to maintain the behavior.</li> <li>• Follow up to provide encouragement and suggestions to overcome challenges.</li> </ul> | <p>Community outreach volunteers regularly visit a mother who has started to regularly treat water to avoid diarrheal illness in children. Occasionally she runs out of time and isn't able to treat the water, but after discussing ideas with the community volunteer, she has identified a few strategies to ensure that she always has treated water on hand, such as teaching her daughter how to do it also.</p> |

## Health Belief Model

Originally, the most dominant theories of behavior change, mostly from the health sector, have been individualistically oriented, assuming that people make rational choices that can be influenced by information and persuasion. The Health Belief Model is one of the oldest frameworks for behavior change in public health. It was originally described by Hochbaum (1958). In the current health belief model, behaviors are understood to be driven by six determinants<sup>2</sup>:

1. **Perceived susceptibility**, which is another way of saying perceived risk, or to what extent the person feels like they are at risk for the disease (or problem).
2. **Perceived severity**, or how serious the person thinks it would be if they were to become sick (or impacted by the problem).
3. **Perceived benefits**: whether the person see advantages to practicing the behavior.
4. **Perceived barriers**, or the challenges a person sees to their adoption of the behavior.
5. **Cues to action**, referring to the extent to which people remember to practice the behavior and how to do it.
6. **Self-efficacy**, meaning, whether the person feels the behavior is something they are able to do.

The Health Belief Model informed many early health campaigns and vestiges of this approach remain in behavior change approaches, especially in the health sector. However, this model has several known limitations, the most important of which is that it does not account for social or environmental factors.

---

<sup>2</sup> The original health belief model included only the first four determinants. Cues to action and self-efficacy were added as research evolved.

## Theory of Reasoned Action

In the Theory of Reasoned Action (Fishbein & Ajzen, 1975), behavior adoption is driven by behavioral intention, which in turn is a factor of **attitudes** and **subjective norms** (Figure 10).

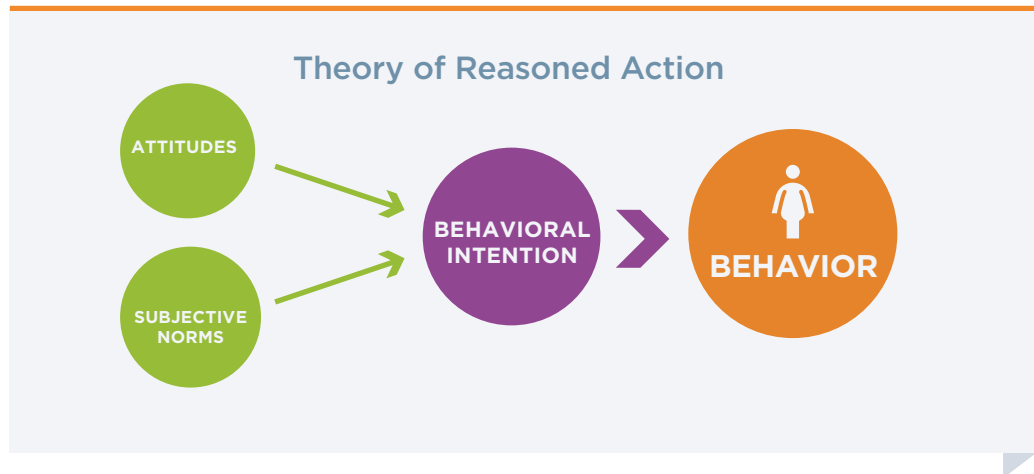


Figure 10. Theory of Reasoned Action. Adapted from Fishbein and Ajzen, 1975

**Attitude** refers to a way of thinking or feeling about someone or something. **Subjective norms** refer to whether a person feels that other people who are important to them will approve or support the adoption of the behavior.

In other words, this model posits that how a person feels about the behavior and how that person thinks others feel about the behavior will determine whether they intend to practice the behavior. This model builds from the health belief model with its recognition that social norms can influence behavior. However, a key shortcoming of this model is its assumption that the intention to practice a behavior leads directly to practicing the behavior. This is rarely the case; we can likely all cite multiple examples of intending to do a new behavior (eat healthier, exercise) yet not following through.

## Additional scholarship influencing SBC

In addition to the previously mentioned theories of behavior change, SBC has increasingly been influenced by trends drawing on adult learning, marketing, economics and cognitive psychology. Several examples of trends that can increasingly be found in SBC are described below.

### Transformational and Adult Learning

Transformational Learning Theory (Mezirow 1991) and Principles of Adult Learning (Vella 2002; Bojer 2010) have greatly influenced some SBC approaches in community development programs, including community dialogue, **community engagement** and participatory education. From these theories, learning and social change are viewed as emerging through a process of people reflecting on their experience, grappling with dilemmas and tensions, envisioning the future, seeking out new perspectives, and

mobilizing their local culture and knowledge (which are viewed as assets, not obstacles) to bring about positive change. These theories engage social process for systems-level change while developing individuals' knowledge and capacity. CRS draws on the principles of adult learning in many of our programs and capacity strengthening approaches. Rather than telling people what they should do, we recognize that learning and change are best done when individuals bring their own experience, critical reflections, and problem solving to identify solutions for their own unique pathways to change.



#### Definition

### Behavioral Economics

**Behavioral economics** is the application of psychology to the discipline of human decision-making, to explain that not all choices are rational. It recognizes human desires to feel things like pride and sense of belonging, and to avoid hassles and embarrassment.

Behavioral economics has helped the field of SBC mobilize the power of emotion and social norms to stimulate lasting behavior change. Drawing on psychological research, it distinguishes two systems of thinking that drive human behavior—the automatic or emotional versus the conscious or rational systems (Kahneman 2011) and it shows that people do not always behave in their own best interests. The science of habit suggests optimal interventions will leverage both the rational/reflective behavioral drivers, as well as the reflexive/automatic ones that create habits (Neal et al. 2015).

SBC practitioners increasingly draw on this scholarship in designing behavioral “nudges” to trigger better choices, or prompt behaviors that do not depend on rational decision-making. A **nudge** is an intervention that encourages uptake of a behavior through unconscious decision-making processes, such as by altering the environment or the choice architecture to make the promoted behavior easier and more intuitive (Thaler and Sunstein 2008).



A CRS staff provides health education at the Bie Mobile Medical unit; one of ten mobile units providing primary health care to more than 35,817 patients in Ayod County, South Sudan. [Photo by Achuothe Deng for CRS]





Figure 11. Example of Behavioral Nudge to encourage social distancing at a food distribution in Guatemala  
 [Photo by Edner Francisco Zacarías for CRS]

**Examples include:**

- Arrows on the floor pointing from toilet to handwashing station.
- Placing healthy food at eye level in a cafeteria or grocery store to encourage healthier choices.
- A feeding bowl with notches at different levels to clearly demarcate how much food children of different ages should be eating at each meal.
- Markings on the ground that cue people to observe social distancing (Figure 8).

## Human Centered Design

Another approach that is increasingly common in SBC is **Human Centered Design (HCD)**. It offers a creative approach to problem-solving, drawing on principles from marketing that view the **primary group** (or ‘users’) perspective as central to program design (Figure 12). HCD thinking prioritizes empathy for participants’ perspective and their agency in grappling with their context. By listening to peoples’ stories, and helping make sense of their needs, wants and situational constraints, HCD can unleash a repeatable and cooperative creative process that generates, tests, and refines ideas for feasible interventions. HCD aims to involve the users in all steps of the design, prototyping and testing phases, ensuring that the end product or service genuinely responds to the wants and needs of the users.

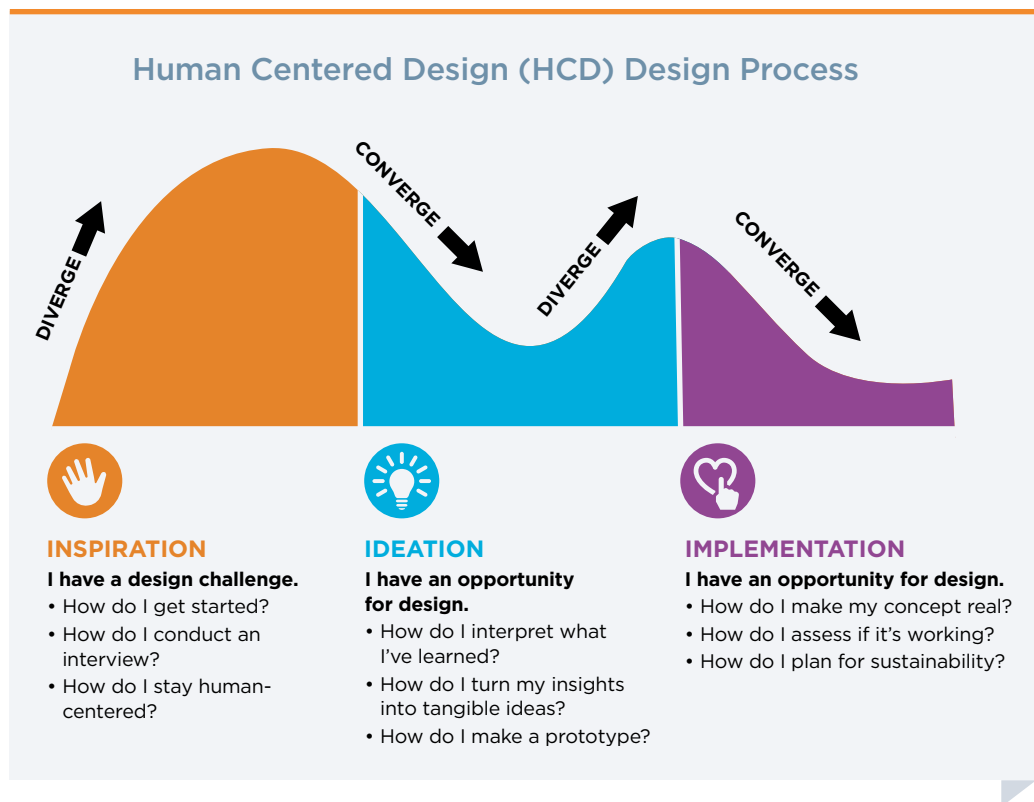


Figure 12. Human Centered Design (HCD) Process, IDEO

[Figure 13](#) shows the ‘Design Thinking Process’ referenced as popularized by Stanford, but also found at Moving Worlds.

## Stanford Design Thinking Process

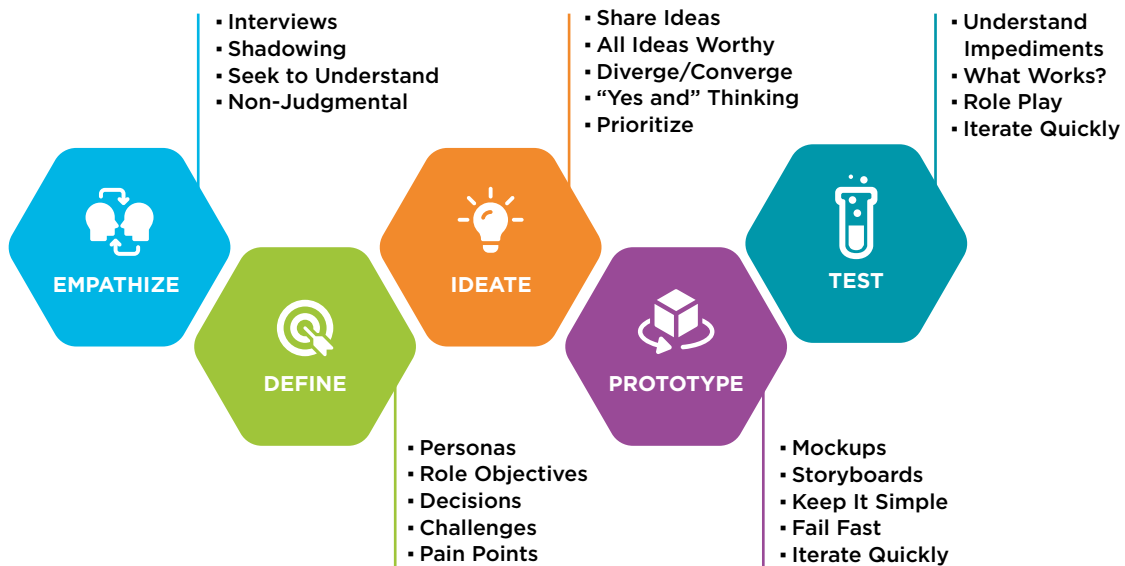


Figure 13. Stanford Design Thinking Process

## Additional Resources

- ▶ Boston University School of Public Health. Behavior Change Models online course. 2022. <https://sphweb.bumc.bu.edu/otlt/mph-modules/sb/behavioralchangetheories/index.html> Provides a short overview of behavior change models commonly used in public health programs, including health belief model, social norms theory, social cognitive theory, transtheoretical model, diffusion of innovation theory, and theory of gender and power.
- ▶ Petit, V. 2019. The Behavioural Drivers Model: A Conceptual Framework for Social and Behaviour Change Programming. UNICEF. <https://www.unicef.org/mena/reports/behavioural-drivers-model> Consult this guide for a thorough overview of more than 20 behavior change theories.
- ▶ Breakthrough Action. 2017. Bangladesh: Behavioral Maintenance and Follow-Up case study. <https://sbccimplementationkits.org/service-communication/case-studies/case-study-behavioral-maintenance-and-follow-up-in-bangladesh/> Consult this case study to learn more about ensuring that behavior change is maintained.
- ▶ Dvertail Qld. The Stages of Change Model. <https://www.youtube.com/watch?v=ayjXMix-nMw> This is a three minute overview of the Stages of Change model, using alcohol use as an example behavior.
- ▶ Ariely, Predictably Irrational, Revised and Expanded Edition: The Hidden Forces That Shape Our Decisions. Harper Perennial. See also this TedTalk: [https://www.ted.com/talks/dan\\_ariely\\_are\\_we\\_in\\_control\\_of\\_our\\_own\\_decisions?language=en](https://www.ted.com/talks/dan_ariely_are_we_in_control_of_our_own_decisions?language=en) Provides more details about behavioral economics and how decision making is often less than rational.

CRS is helping farmers on the Philippines island of Dinagat rebuild after Typhoon Rai with cash assistance and trainings in typhoon-resilient agriculture practices.

[Photo by Jomari Guillermo for CRS]



## 4

# SBC as a Systematic Process



## Why and when to use this chapter

This chapter provides an overview of the systematic ABCDE Process that can be used to design and implement high quality SBC work. It serves as a guidepost for staff at any point in the SBC journey to orient themselves as to where they are and what remains in their journey.



## What's included in this chapter

This chapter introduces the ABCDE Process that will be used in the remainder of this guide to present the basic steps of developing and implementing SBC initiatives. It includes two sections:

- [Introduction to the ABCDE Process](#). This section provides an overview of a systematic process for social behavior change within the project cycle.
- [SBC Capacity](#). This section discusses the importance of reflecting upon and building stakeholder SBC capacity throughout your journey.



## Key points

- As part of [project design](#), use assessment data to select behaviors or norms relevant to the project's theory of change.
- During [project start up](#), gather additional information on behaviors and **priority groups** in order to enable design and delivery of high-impact interventions.
- At [start up or in early implementation](#), use findings to create an SBC strategy.
- As part of [implementation](#), develop messages, materials, and tools aligned to your strategy.
- Integrate strong monitoring, evaluation, accountability and learning [throughout](#).
- Assess and build staff and partner SBC capacity for best results.

## Introduction to the ABCDE Process

Effective SBC initiatives follow a systematic process. Your process should be *strategic*, meaning that you consider your aims and develop specific plans and methods to achieve them in a logical way, grounded in evidence and theory. Without a clear, step-by-step process, project teams can waste resources, limit implementation quality and results, and disable opportunities for effective monitoring, evaluation, accountability and learning (MEAL). Remember our definition:



### Definition

“**Social and behavior change** is the intentional, systematic process that seeks to understand and facilitate changes in behaviors, social norms, and the contexts that drive them.”

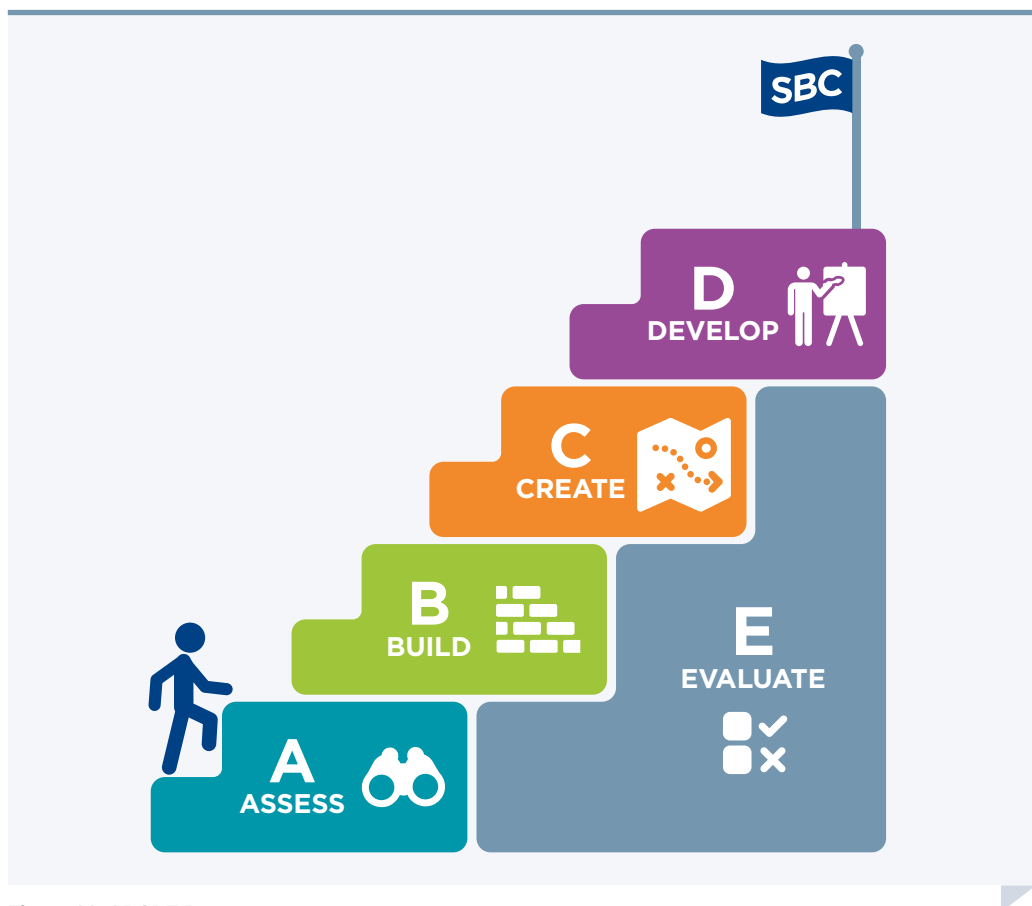


Figure 14. ABCDE Process

We have used the **ABCDE Process** to outline the phases of this systematic SBC process (Figure 14). This process, in various forms and under various names, has been tested and modeled over many years by key leaders in the SBC field.<sup>3</sup> The process reflects global consensus on the elements necessary to implement effective SBC. These include assessment to inform

<sup>3</sup> Including the Johns Hopkins University Center for Communication Programs; the USAID-funded Communication for Change (C-Change) global technical assistance project implemented by FHI360; The Manoff Group; the USAID/Food For Peace funded Technical and Operational Performance Support Program (TOPS); and the CORE Group.

initial design, further analysis and refinement, testing, implementation, monitoring and evaluation of SBC work. The process is meant to be followed in sequential order from A to D, with E considered throughout. However, we encourage you to go back to an earlier step to improve something based on developments at another stage.

Table 5 provides a brief summary of each phase:

**Table 5. Summary of the ABCDE Process**

|  |   |
|--|---|
| <p><b>ASSESS</b></p>      | <p>As part of <u>project design</u>, use assessment data to select behaviors or norms relevant to the project’s theory of change. Identify priority groups and choose preliminary project strategies that support behavior change.</p>  |
| <p><b>BUILD</b></p>      | <p>During <u>project start up</u>, gather additional information on behavior (especially <i>who</i> does what and why) and priority groups, to enable design and delivery of high-impact interventions.</p>   |
| <p><b>CREATE</b></p>    | <p>At <u>start up</u> or in <u>early implementation</u>, use findings to create an SBC strategy, identifying <i>who</i> you need to reach, <i>what</i> you want them to do, <i>how</i> you will inspire change, <i>which activities</i> will be used, and <i>how</i> you will track progress.</p> |
| <p><b>DEVELOP</b></p>   | <p>As part of <u>implementation</u>, develop messages, materials, and tools aligned to your strategy. Update your detailed implementation plan with the necessary tasks and activities. Test and refine materials.</p>  |
| <p><b>EVALUATE</b></p>  | <p>At <u>design</u>, lay the foundations for strong SBC monitoring and evaluation. During <u>implementation</u>, align and improve your system based on your final strategy. At <u>project close out</u>, evaluate impact and document any critical learning as well as important successes.</p>  |






Each phase includes several steps. [Table 6](#) presents the key steps for each phase, along with the opportunities to convene or engage stakeholders, and the products that will be developed during the phase. Remember: Each project context is unique; while the basic principles and process should be followed, the details of how you design and implement your SBC initiative will be shaped by your sector and country setting. At the end of each chapter, we have provided a checklist, a template, and a list of suggested additional resources.



CRS is helping expand access to rural ambulances using specially-equipped motor-tricycles as well as delivery kits and supplies, especially for pregnant women, newborns and lactating mothers. [Photo by Jim Stipe for CRS]



**Table 6. Steps, Convening Moments and Products in the ABCDE Social Behavior Change Systematic Process**

| PHASE  | STEPS   | CONVENING MOMENTS   | PRODUCT                              |
|--|---|---|--------------------------------------|
| <b>ASSESS</b><br>     | <ul style="list-style-type: none"> <li>• <a href="#">Step 1</a>: Conduct situational analysis.</li> <li>• <a href="#">Step 2</a>: Define and prioritize behaviors/norms that might address the core problem.</li> <li>• <a href="#">Step 3</a>: Identify the potential priority group(s).</li> <li>• <a href="#">Step 4</a>: Select preliminary project strategies.</li> </ul>      | Project design workshop.                                      | SBC Strategy Outline.                |
| <b>BUILD</b><br>      | <ul style="list-style-type: none"> <li>• <a href="#">Step 5</a>: Plan formative inquiry.</li> <li>• <a href="#">Step 6</a>: Conduct formative inquiry.</li> <li>• <a href="#">Step 7</a>: Analyze findings.</li> </ul>  | Formative inquiry results presentation.                       | Formative Inquiry Summary.           |
| <b>CREATE</b><br>   | <ul style="list-style-type: none"> <li>• <a href="#">Step 8</a>: Profile priority groups.</li> <li>• <a href="#">Step 9</a>: Refine behaviors.</li> <li>• <a href="#">Step 10</a>: Write measurable change aims (behavior/norms).</li> <li>• <a href="#">Step 11</a>: Choose activities and engagement tactics.</li> <li>• <a href="#">Step 12</a>: Review MEAL for SBC.</li> </ul> | SBC strategy workshop(s).                                     | SBC Strategy.                        |
| <b>DEVELOP</b><br>  | <ul style="list-style-type: none"> <li>• <a href="#">Step 13</a>: Draft Messages.</li> <li>• <a href="#">Step 14</a>: Implementation Planning.</li> <li>• <a href="#">Step 15</a>: Develop, test and revise materials.</li> </ul>   | Material development workshop or material validation meeting. | Content & Implementation Worksheets. |
| <b>EVALUATE</b><br> | <ul style="list-style-type: none"> <li>• <a href="#">Step 16</a>: Select SBC indicators.</li> <li>• <a href="#">Step 17</a>: Monitor and adapt.</li> <li>• <a href="#">Step 18</a>: Evaluate.</li> <li>• <a href="#">Step 19</a>: Document learning and success.</li> </ul>   | SMILER Reflection sessions.<br>End of project presentations.  | SBC MEAL Worksheet.                  |

## SBC Capacity



### Definition

The project's **SBC team** will work together throughout the ABCDE Process. The SBC team is the group of CRS and partner staff and stakeholders (including participant representatives) who will work together to ensure successful design, implementation and monitoring of activities supporting social and behavior change. The size and composition of the team will vary depending on the project: Larger, more complex projects may have dedicated SBC experts, as well as SBC focal points embedded with sectors and partners. Smaller projects may need to count on the Project Manager or a Project Officer to oversee SBC work, drawing on stakeholders and participants input.

If possible, having an SBC Advisor who is dedicated to the project, or providing support from the Country Program level, can be extremely helpful in ensuring that high quality SBC is designed and implemented throughout the project. The SBC advisor can provide strategic direction and technical management of the planning and execution of SBC strategies and interventions, and can ensure that SBC is genuinely cross-cutting and well-integrated across the project.

Furthermore, in collaboration with the MEAL team, the SBC advisor can strongly support the design, collection, and utilization of formative inquiry and SBC focused monitoring findings. The SBC advisor can also oversee the development, pre-testing and production of SBC materials, and collaborate with partners such as creative agencies or advertising firms to create these materials. Capacity building and training of staff, partners, and field agents in the concepts and skills of SBC can also be an important focus for an SBC advisor, in addition to documenting, sharing and disseminating key learning. Overall, having experienced SBC technical advisors providing regular support to the project will go a long way toward improving quality, impact and achieving overall project goals.

Throughout your SBC journey, it is useful to assess SBC competencies of CRS, partner staff, and key stakeholders, and to strengthen capacity where needed. Your efforts in adopting the ABCDE Process will be most likely to lead to successful implementation when the team, from project management to frontline staff, have the skills and confidence needed to deliver SBC effectively. Throughout the ABCDE Process, look for opportunities to engage the team in self-reflection and assessment of their SBC capacity, and seek out opportunities to build their capacity and independence. Capacity building could include engaging people in learning by doing (such as participatory workshops), participation in webinars or learning events, formal and/or on-the-job training, mentoring, or accompaniment. Especially consider including introductions to SBC topics in the convening moments listed in [Table 6](#). Reach out to your technical assistance team for additional guidance on learning and capacity strengthening opportunities to match the needs you have identified.

## Additional Resources

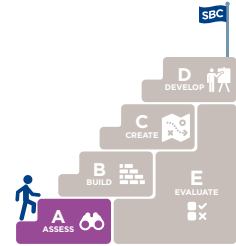
- ▶ USAID Advancing Nutrition. 2020. Defining Social and Behavior Change Competencies for Multi-Sectoral Nutrition: A List for Assessing, Developing, and Evaluating Staff Skills. <https://www.advancingnutrition.org/resources/defining-social-and-behavior-change-competencies-multi-sectoral-nutrition-list-assessing> *This competency list was developed for multi-sectoral food security programs funded by the Bureau for Humanitarian Assistance but can be easily adapted for use in other types of projects.*
- ▶ USAID PRO-WASH and Scale. 2022. Make me a change agent online training. <https://ready.csod.com/ui/lms-learning-details/app/curriculum/562a1f64-da7a-4fc7-92c4-95113ee72c00> *This online course explores fundamental skills in social and behavior change for teams, down to the frontline, and allows users to practice different techniques to strengthen their skills. Examples draw on agriculture, livelihoods, and WASH sectors but skills are appropriate for any sector. The online course is available in English and French. To access the course visit [DisasterReady.org](https://DisasterReady.org), create an account, and visit the Make Me a Change Agent page.*



Chum Rothmony shows Thlan Haeng an image explaining the cycle of malaria transmission and how to prevent infection. [Photo by Linna Khorn for CRS]



Kafuta Women's Group for Development members help broadcast malaria prevention messages. [Photo by Paul Eagle for CRS]



# 5

## A = ASSESS

### ? Why and when to use this chapter

This chapter provides detailed guidance to support project design (the ASSESS Phase). The ASSESS Phase typically occurs *during the project design stage* (during proposal development). Guidance in this section has been aligned to CRS' project design package, Propack I.

### ☑ What's included in this chapter

- [Step 1](#): Conduct a situational analysis.
- [Step 2](#): Define and prioritize potential behaviors.
- [Step 3](#): Identify the potential **priority group(s)**.
- [Step 4](#): Select preliminary project strategies.
- [ASSESS Phase Checklist](#)
- [ASSESS Phase Template](#): SBC Strategy Outline.
- [Activity and Engagement Tactics Menu](#)
- [Annex 5.1](#) Impact/feasibility matrix.

### 📌 Key points

- Good assessment questions and thoughtful analysis will form a strong foundation on which to build your social and behavior change work.
- Resist the temptation to do it all! A recent review by one of CRS' major donors found that projects that attempted to address more than 10 behaviors faced more implementation quality issues.
- It is important to specify who needs to do what differently to achieve project objectives so that you can plan strategies that engage all priority groups.
- Don't default to information sharing alone. Choose strategies to address the range of **barriers** identified, including those in the enabling environment, those with systems, products and services, and those associated with **demand** and use.




The ASSESS Phase typically occurs during project design or proposal.

## Overview of the ASSESS Phase

The ASSESS Phase is the foundation upon which the **SBC strategy** is built. At the project design stage, you will assess the situation with just enough depth to lay essential groundwork for quality implementation, in order to create an SBC strategy outline. To do this, you will learn what you need to sketch the basic elements of a project's SBC approach and **activities**, using participatory approaches whenever feasible. Of course, refinements and adjustments may be needed once additional information is available. The project's **SBC team** will develop a full SBC strategy after the project is awarded and additional details about the behaviors and their determinants have been collected. At the end of the ASSESS Phase, you should have included SBC elements in all necessary project proposal documents and documented key decisions in an SBC strategy outline. This outline will serve as the basis for the SBC strategy and implementation plan.

During the ASSESS Phase, you will carry out the following steps:

| ASSESS  |  |
|--|--|
| <p><b>Step 1:</b><br/>Conduct a situational analysis</p>                                   | <ul style="list-style-type: none"> <li>• Identify a behavior change theory to guide the project assessment.</li> <li>• Include relevant behavior change questions in the assessment.</li> </ul>  |
| <p><b>Step 2:</b><br/>Define and prioritize potential behaviors</p>                        | <ul style="list-style-type: none"> <li>• Include behaviors that are relevant to the problem in the problem tree.</li> <li>• Specify what people should do differently (or which norms need to shift) to achieve project goals; include these in the theory of change and results framework.</li> </ul> |
| <p><b>Step 3:</b><br/>Identify the potential priority group(s)</p>                         | <ul style="list-style-type: none"> <li>• Identify the people who need to practice the behavior.</li> <li>• Identify who else might we need to reach, to support or influence those people.</li> </ul>  |
| <p><b>Step 4:</b><br/>Select preliminary project strategies</p>                            | <ul style="list-style-type: none"> <li>• Organize available information with the selected behavior change theory.</li> <li>• Plan likely project strategies and ways to measure them.</li> <li>• Identify gaps to address through formative inquiry.</li> </ul>  |

## Step 1: Conduct a situational analysis

The purpose of the situational analysis is to inform project strategy decisions in a way that will best support the achievement of behavior change objectives. It doesn't make sense, for example, to have a robust communication about the importance of improved seed varieties if people are aware of the benefits but lack financial means to acquire them. The situational analysis should draw on the behavior change theories described in [Chapter 3](#), as well as the project conceptual framework, to guide inquiry. During this step, you will select a behavior change theory (see [Chapter 3](#)) to guide your assessment and incorporate social and behavior change needs in your assessment process. During the assessment process (described in Propack I, Chapter IV), incorporate objectives or assessment questions that can inform your social and behavior change work. This can be done even with a relatively light process, as you can conduct more detailed research once the project is awarded.

Questions could include:

- What are people's current behaviors [for scope of project]? Which behaviors are not aligned with recommended behaviors? Which behaviors do target groups perceive as problems?
- What are existing household and community assets, strengths and resources? What changes could be most feasible in the local context? What solutions do communities propose?
- Who are the most important people in the community when it comes to decision making on this topic? On adopting behaviors in this domain?

## Step 2: Define and prioritize the behavior(s)/norms that might address your core problem.

In this step, you will work from your project's core problem statement ([Table 7](#)). If your project does not yet have a core problem statement, refer to [Propack I](#), Chapter IV, Section 4 for guidance on articulating the core problem. As you develop the problem tree (see Propack I, Chapter IV, Section 4), you should identify the key behaviors (or social norms that influence behavior) relevant to the problem, drawing on the assessment data you collected.

**Include the key behaviors that are relevant to the problem as immediate or underlying causes in the problem tree.**

During the development of your project results framework and theory of change (refer to Propack I, Chapter V), identify the most important changes to **behavior** or **social norms** that are needed to solve the problem you identified.



**Definition** Remember: a **behavior** is an action that is observable, specific, measurable, and feasible. It is *not* having knowledge about something or understanding something (those are determinants of the behavior).



**Definition** **Social norms** are expectations or standards that are understood by a group and that guide behavior. Essentially, they are what you think other people do, and what you think other people think you should do.

### What is the right level of detail for a behavior?

Behavior statements can be very specific: “chicken farmers provide separate feed for chicks.” Or very general: “farmers adopt improved animal husbandry practices.” Ideally, we would avoid grouping of behaviors / practices, such as “practicing climate smart agriculture techniques” or “adopt improved infant and young child feeding practices” as these include many behaviors with different barriers, which may need different strategies.

It isn’t always possible to be more specific in the results framework when the donor has proposed broad language we must follow. In other cases, we may not yet have enough detail to be more specific without further assessment. From a behavior change perspective, we will eventually need to unpack broad behaviors into more discrete, defined behaviors (example: smallholder farmers intercrop beans with corn; mothers feed their children 6-23 months of age at least three times a day). In cases where the donor proposes broad language for intermediate results, we recommend that you provide detail in the proposal narrative about the specific behaviors you plan to work on. Where you do not yet have enough information to select more specific behaviors, be sure to plan and budget for the necessary **formative inquiry** and behavior refinement processes at project start up.

Selected behaviors (or norms) changes should be included in the project theory of change, results framework and/or proframe (refer to Propack I, Chapter VII). Tip: Behavior changes are often incorporated at the Intermediate Result level of the results framework.

**Specify who needs to do what differently (or what norm needs to shift) to achieve project goals and include these in the theory of change and project results framework.**



**Table 7. Examples of Behaviors Linked to Problem Tree Analysis**

| CORE PROBLEM STATEMENT   | EXAMPLE BEHAVIOR/ NORMS CONCERNS INCLUDED IN PROBLEM TREE                                       | EXAMPLE OF HOW BEHAVIORS/NORMS WERE INCLUDED IN THE RESULTS FRAMEWORK   |
|--|---|---|
| Poor rural households in remote districts suffer from severe seasonal food insecurity (reduced quality and quantity of meals) for 4 to 6 months of the year. | Use of poor-quality seed.<br>Suboptimal post-harvest storage.                                   | Farmers use improved seeds.<br>Farmers use hermetic bags.   |
| Malaria morbidity and mortality is high among pregnant women and children under five, particularly during the rainy season.                                  | (Under) use of insecticide treated bed nets.<br>(Poor) treatment seeking when fever is present. | Pregnant women and children under the age of five sleep under a mosquito net.<br>Caregivers take febrile child for testing within 24 hours. |
| Only 20% of girls in the rural districts complete their secondary education.   | Pressure from parents to marry early.<br>Norms that value early marriage and childbearing.      | Community leaders do not support the marriage of girls below 18 years of age.   |

As you work through the process of identifying the behavior (or norms) changes that may address your core problem, you might find that there are many behaviors that are not optimal, and which you need to change. If you try to work on too many behaviors, you dilute your efforts, lose focus, and diminish impact. Recall the project constraint triangle from Propack (Propack I, Chapter V, Results Framework). As the scope (the number of behaviors we work on) increases, the quality may suffer.

***Less is more! A recent review by one of CRS' major donors found that projects that attempted to address more than 10 behaviors faced more implementation quality issues.***

***If you try to work on too many behaviors, you dilute your efforts, lose focus, and diminish impact. Participants may feel discouraged and disengage from the project.***

A general rule of thumb is not to try to change more than two behaviors per priority group per year. Indeed, a recent review by one of CRS' major donors found that projects that attempted to address more than 10 behaviors faced more implementation quality issues (Manske, Itzkowitz, Warren & Torres, 2022)! Particularly in large, complex projects, defining a limited behavior change objective can be a challenge. But it is critical to the success of your intervention. If your donor pressures you to address many different

behaviors in one project, be an advocate for SBC best practices and explain what you know about changing human behavior: Less is More! They will likely appreciate success on a few key behaviors rather than failure to spur real change on many that were tried.

In the case of behavior change, we must also consider the population's absorptive capacity. As was discussed in [Chapter 2](#), people use a lot of mental energy to change the way they have always done something. Since people do not have unlimited mental energy, asking them to make too many changes at once will overwhelm them and they may abandon the project.

Therefore, it is essential to prioritize behaviors and focus your project design on a limited number. Two options for behavior prioritization tools are provided, one as [Annex 5.1](#), and the second at the [CRS SBC SharePoint site](#). Both tools draw on the desk research and assessments done during project design and help prioritize behaviors, based on evidence that they will:

- a. Have the most impact.
- b. Be feasible for the population to do.

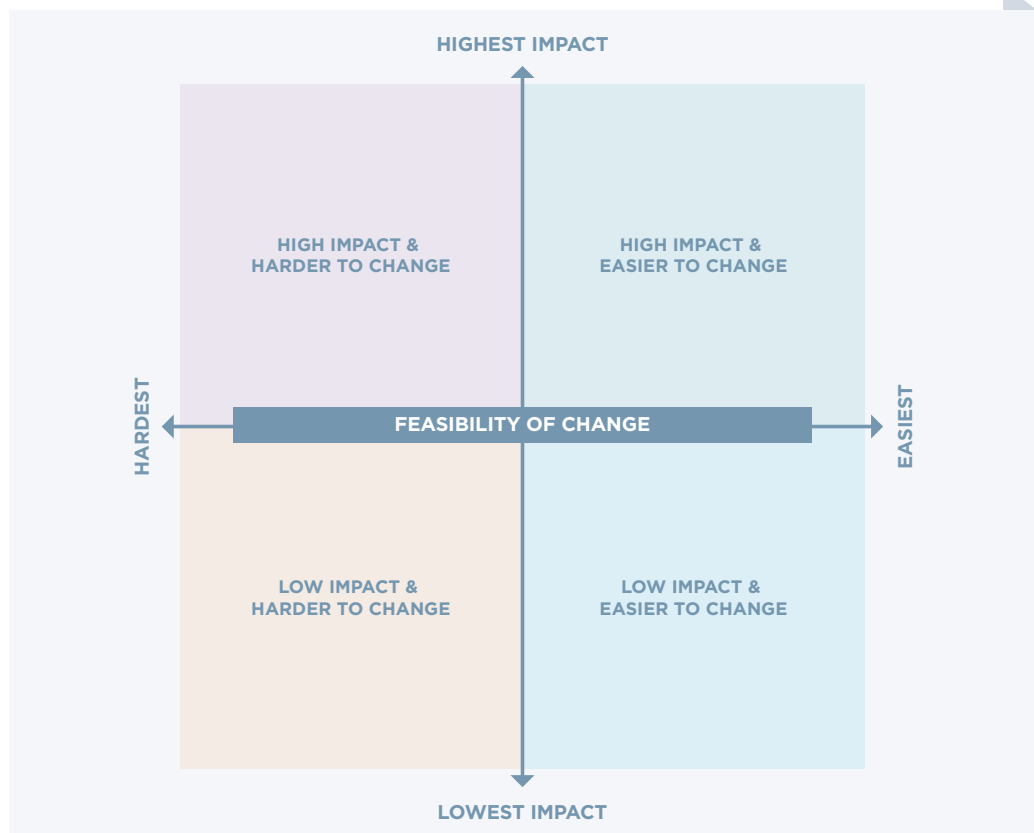


Figure 15. Impact/Feasibility Matrix.

The graphic above shows how agriculture colleagues applied behavior prioritization to livestock rearing. Your impact analysis may consider to what extent the behavior is already practiced (selecting the lesser practiced behaviors), to what extent the behavior will lead to a benefit to people




CRS Cambodia builds on our existing programming to respond to COVID-19. [Photo by Jennifer Hardy for CRS]

(agriculture colleagues recommend, for example, selecting practices that will increase yield by at least 30%), and how fast the benefit will materialize (people are more likely to continue something that shows quick gains). For feasibility, you might consider how easy it is to master, the cost (in terms of money, time or energy), and whether there is any risk of negative impacts (stigma, crop failure, etc.).

### Step 3: Identify the priority group(s)

In step 3, you will define who, precisely, needs to do something differently for the behavior to change. You will also think through who you might work with to support or influence them.

 **Definition**

The **priority group(s)** are the most important group(s) whose behavior is relevant to the problem and define who we will seek to reach with our intervention. The priority groups include the people who need to practice the behavior (the **primary group**) as well as the people who support and influence them (**secondary groups** consisting of **supporting actors** and/or **influencing groups**). Keep in mind that there may be multiple priority groups, depending on whose behavior will significantly impact the problem.

#### Identify who else might we need to reach to support or influence the people in priority groups.

Identify who else must make a change (in attitude or behavior) for the primary group to be able to change their behavior. Other people who need to make a change are called the secondary group(s). They may be **supporting actors** (people who support or enable the primary actor to do the behavior) or influencing groups (people who influence the primary group’s choices).

Since social relationships are powerful **drivers** of behavior, it is useful to determine *who* has the greatest impact on the primary group. It is not always sufficient to reach only the primary group, as they do not always have the necessary agency (decision making power, resources) to change the behavior that they practice. Gender and age dynamics are key to consider here. For example, consider trying to get “*women* (to) consume foods from four or more groups each day” in a culture where men make food purchases. While we want the *woman* to eat a more diverse diet, the project needs to work with *men* to change what they buy. In some cases, the project may work exclusively with **secondary groups**.

While further analysis of supporting actors and influencing groups can be done once the project is awarded, it is useful to have a sense of who you might need to reach so that you can ensure that the project proposal includes appropriate strategies and **activities** to reach them. To help determine the most relevant secondary group(s), use the orbit of influence exercise (Propack I, Chapter V) and draw on the assessment information to answer these questions:

- Who might have the most influence over the primary group’s behavior?
- How important it is that they change their behavior, attitude or knowledge, in order to address the problem?
- How feasible will it be for the **primary group** to change their behavior without support of this group?

See Table 8, below, and the example in [Figure 16](#) (next page), for examples of priority groups among different types of projects, to the extent that they may be defined at this early stage in the process.

**Table 8. Example Priority Groups for Different Behaviors**

| SECTOR        | PROBLEM                               | DESIRED BEHAVIOR   | PRIORITY GROUPS   |
|---------------|---------------------------------------|--|---|
| Agriculture   | Poor yields.                          | Use hybrid seed.   | Primary: Farmers.<br>Secondary: Co-op leaders, village chiefs.          |
| Livelihoods   | Lack of income-earning opportunities. | Participate in savings and internal lending community (SILC).    | Primary: Youth (18-24).<br>Secondary: Peer group leaders.               |
| Peacebuilding | Ethnic conflict.                      | Participate peacefully and productively in community governance. | Primary: Religious leaders, civic leaders.<br>Secondary: Elders, youth. |
| Health        | Malaria.                              | Use insecticide-treated bed nets.                                | Primary: Mothers.<br>Secondary: Fathers, community leaders.             |
| Education     | Adolescent girls leaving school.      | Ensure daughters complete secondary school.                      | Primary: Parents.<br>Secondary: Teachers, policymakers.                 |

## Example Priority Groups for a Project Focused on Child Nutrition

### Primary Group



Mothers who are the main caregivers for young children, including preparing meals and feeding children.

### Secondary Groups



Men (fathers) as **supporting actors** because they control financial decisions in the household and need to provide resources for food purchase.



Grandmothers as **supporting actors** because they are trusted sources of advice for mothers and fathers about child feeding.



Community health workers as an **influencing group**, because mothers indicate high trust in their guidance about childcare.



Community leaders as an **influencing group** because they are respected authorities on what is appropriate in the local culture.

In its design, this project would want to be sure to have strategies that would reach mothers of young children, their husbands, older women, community health workers and community leaders.

Figure 16. Child Nutrition Priority Group Examples

## Step 4: Select preliminary project strategies

It is important to identify project strategies that are best suited to addressing the drivers of the selected behaviors. Refer to Propack I, Chapter V for more information about project strategy choices. During the situational analysis, you will have collected information about factors inhibiting or facilitating behavior change and **behavioral determinants**, including social context (refer to [Chapter 2](#) of this guide for information about behavioral determinants). Revisit that information to draw out relevant factors to changing the behavior so that you can plan and budget for the best strategies in your proposal. This step involves:

- Organizing available information in line with your selected behavior change theory.

- Plan likely project strategies.
- Incorporate appropriate indicators in the project proframe.
- Identifying knowledge gaps to address through formative inquiry.

### Organize available information in line with the selected behavior change theory.

As mentioned in Propack I, Chapter V, Section 2.3, additional assessment and analysis may be needed at this stage, such as additional desk review and/or consultations with stakeholders. Identify information gaps and conduct stakeholder consultations or additional desk review whenever possible. Remember that further data can be collected at the formative inquiry stage, after project start up, so the aim here is to guide selection of impactful project strategies and ensure that appropriate activities, indicators (see [Chapter 9](#)) and budget are included in the project proposal. Don't forget to think about who you might need on the project's **SBC team** and include them in the staffing plan and budget.













### Plan likely project strategies, drawing on the guidance in Propack.

Draw on strategy guidance from Propack I, Chapter V, as well as the following information about common types of social behavior change approaches and activities, to select the best strategies based on your analysis of available information. Note that the more detailed assessments after project start up may reveal the need for adjustment or refinement of some project strategies. Be sure the proposal communicates to your donor that you expect to incorporate learning and fine tune approaches for maximum impact.

As you consider your strategies, remember that there is often more to behavior change than activities focused on communicating desired behaviors to primary groups. It is important at this stage to zoom out and think about what is really preventing people from adopting the behavior you seek; it is often a lot more than their knowledge. Building from your behavior change framework, also think about activities to address the enabling environment or to provide **access** to the systems, products and services people need in order to change their behavior. You might not think of these as behavior change activities, however, they are often essential to generating the change you seek.

For example, if your analysis suggests people are not drinking safe water partly because the water access point is too far away, you may need to incorporate an infrastructure element as part of your design. Similarly, if farmers are not getting quality guidance from extension agents, you would want to include an activity or strategy to improve the quality of agricultural extension services. Use [Table 9](#) on the following page as a guide to help you think through what types of approaches you might need, beyond those you typically think of as behavior change activities. This will help you address the most important barriers and empower people to make the changes you seek. Well-designed projects combine approaches to maximize impact.

Table 9. Social and Behavior Change Activity Examples

| ENABLING ENVIRONMENT   |  | SYSTEMS, PRODUCTS AND SERVICES   |   | DEMAND AND USE   |  |
|--|--|--|---|--|--|
| Activity type  | Examples   | Activity type  | Examples  | Activity type  | Examples   |
| <br>Financing                       | Work with microfinance institutions to create loan products that help chicken farmers grow their business. | <br>Infrastructure          | Construct a new water access point to support safe drinking water; Create outreach services.                                      | <br>Advocacy                | Advocate for local government to budget for extension services.  |
| <br>Institutional capacity building | Strengthen civil society organizations so they can promote vaccine uptake.                                 | <br>Products and technology | Work with participants to design improved chicken coops; Align health facilities operating hours to client's needs.               | <br>Communication           | Develop radio programs, train religious leaders to promote them. |
| <br>Partnerships and networks     | Support creation of a private service provider network to expand access to SILC and financial services.    | <br>Supply chain          | Support agro-dealers to stock small pack seeds that better meet the needs of female farmers; Training in supply chain management. | <br>Collective engagement | Community led total sanitation and hygiene.                      |
| <br>Policies and governance       | Support a policy of paid maternal and paternal leave (to support breastfeeding).                           | <br>Quality improvement   | Train frontline staff in respectful care and improved counseling skills.  | <br>Skills building       | Invite caregivers to learn how to prepare improved meals.        |

Social and Behavior Activities should address key barriers to demand and use, as well as systems, products and services and the enabling environment

What many people think of as ‘typical’ social and behavior change activities fall under the “demand and use” group in [Table 9](#), on the previous page. Refer to the [Activity and Engagement Tactics Menu](#) which follows this chapter to help you consider what is the best “method mix” for your situation.

**Incorporate appropriate indicators in the project proframe**

Consult [Chapter 9](#) for additional guidance on MEAL.



Robert Omoita and his wife, Rose Amokol, lead farmers in the Abim district, harvest their iron-rich beans.  
[Photo by Stuart Tibaweswa for CRS]



## Identify information gaps to be addressed through formative inquiry (and include necessary resources in the project design to conduct this inquiry).

As you do your analysis, pay attention to what you know through your desk review assessments and what assumptions you are making. It is useful to keep track of what you don't know, or wish you knew, so that you can incorporate those elements in your formative inquiry at project start up (BUILD Phase, next chapter).



### Definition

**Formative Inquiry**<sup>4</sup> is a process of collecting information from participants to ensure that interventions are inFORMed by evidence. It entails research to understand our priority groups, the behavioral determinants, and what is feasible in the local context so that the activities, messages, and materials we design will be tailored to fit. Adjust the size and scope of your formative inquiry activity and budget in line with your anticipated needs. If you have many unknowns, you will likely need a longer or more detailed formative inquiry process than one where your assessment has already collected most of the necessary information.

Table 10 can help to identify what information you need to collect through formative inquiry. This will be useful to you in Steps [5](#) and [6](#).

**Table 10. Inquiry Needs**

| INQUIRY NEEDS   |
|---|
| Contradictory information or bias in document research that you need to clarify?    |
| What else do we need to know about the socio-cultural context/community?            |
| What else do we need to know about the primary group's current behaviors?           |
| What else do we need to know about the barriers to practicing the desired behavior? |
| What else do we need to know about the enabling factors for the desired behavior?   |
| What else do we need to know about the influencing groups?                          |
| What other information do we need, to be able to design SBC activities?             |

<sup>4</sup> Note that Formative Inquiry is often referred to as Formative Research in other sources. CRS has elected to refer to this step as Formative Inquiry, because the process proposed does not generally meet the standard for research. The primary purpose of formative inquiry described here is to inform program design and program improvement. In contrast, research is intended to produce generalizable knowledge for broader dissemination, use and influence. Research may require additional in-country ethical approval processes.

# Example of Steps 1-4 in action

**Step 1** Let's consider a proposed CRS project that seeks to respond to this core problem: In Zambia's Eastern Province, food insecurity is persistent among smallholder households who face diminishing yields from their staple maize crop. The project team opts to use the socio-ecological model to explore possible behavioral drivers of these decreasing yields. They review government reports, non-traditional publications and internet resources documenting other program experiences addressing food insecurity. They also conduct:

■ **Key Informant Interviews (KII)** with:



Provincial agriculture officer



Farmers' co-op manager



Government supervisor of mother care groups



Field officer in charge of nutrition education for just-finished project

■ A stakeholder workshop involving:



Community civil leaders



Lead farmers



Community health workers

**Steps 2 & 3** The assessment finds that farmers lack **access** to financing for agricultural inputs and are not using optimal farming techniques. Undernutrition is high among pregnant and lactating women and young children, who are not consuming an optimal diet. The project design, based on the team's initial analysis, identifies two key behavior changes that could help solve this problem and the people who need to practice them:

1. Farmers adopt sustainable production practices; and
2. Mothers feed their children 6-23 months of age a diverse diet, meeting their nutritional needs.

**Step 4** As you can imagine, there are many things that may need to change for those key behaviors to change. The team reviews assessment data for information specific to the behaviors. They also search for published research articles on issues related to technical aspects of agriculture development and nutrition, as well as anthropological studies that highlight cultural factors related to child feeding, food production, gender, etc. From their review, they learn:

- Likely barriers limiting farmers' ability to use sustainable practices.

- Likely barriers limiting mothers' preparation of diverse foods.
- Key groups who most influence farmers and mothers of young children.
- Sources of information that are trusted by farmers and mothers of young children.
- Penetration of various media channels such as radio, mobile phones, social media, internet.
- Approaches that have been tried, are promising, or failed.

#### ASSESS Phase Results:

- The project team is ready to propose project strategies that are most likely to address the real barriers faced by farmers and mothers of young children.
- The project team knows that they need to explore *which* sustainable production practices will be most impactful and feasible during their formative inquiry so they can further refine their activities.

## Additional Resources

- ▶ Schmied, P., Sarkar, A., & Jimerson, A. 2020. GIZ/AHN Academy Webinar: How to understand the barriers and motivators to behavior change. <https://www.anh-academy.org/community/events/how-to-understand-the-barriers-and-motivators-to-behaviour-change> *This one and a half hour webinar provides an overview of the importance of prioritizing behaviors.*
- ▶ Advancing Nutrition. 2021. Prioritizing multi-sectoral nutrition behaviors. [https://www.advancingnutrition.org/sites/default/files/2021-08/prioritizing\\_behaviors\\_tool\\_for\\_high\\_quality\\_sbc.pdf](https://www.advancingnutrition.org/sites/default/files/2021-08/prioritizing_behaviors_tool_for_high_quality_sbc.pdf) *This tool provides a framework for helping projects prioritize behaviors that are most critical to project aims, and feasible in the context. It is designed for nutrition projects, though the format can be adapted to other types of projects and behaviors.*
- ▶ Potts, M. n.d. Introducing social behavior change to agricultural development. [https://www.crs.org/sites/default/files/tools-research/sbc\\_in\\_a\\_brief\\_intro\\_low\\_res.pdf](https://www.crs.org/sites/default/files/tools-research/sbc_in_a_brief_intro_low_res.pdf) *This brief provides an overview of how CRS has applied an SBC approach to agriculture programming.*



## ASSESS Phase Checklist

| RECOMMENDED PRACTICE |  | Y | N |
|----------------------|--|---|---|
| 1                    | A behavior change theory was selected.   |   |   |
| 2                    | <i>Suggested:</i> The selected behavior change theory is identified in the project narrative.  |   |   |
| 3                    | The assessment gathered necessary information to help identify priority behaviors, priority groups, and project strategies.  |   |   |
| 4                    | The problem tree includes key behaviors that are relevant to the problem as immediate or underlying causes.  |   |   |
| 5                    | The results framework reflects the project's behavioral and social norms objectives (typically at the intermediate result level).  |   |   |
| 6                    | The project's theory of change specifies what people need to do differently (or which norms need to shift) to bring about the desired changes.   |   |   |
| 7                    | The design has prioritized 10 or fewer behaviors (not more than 2 per priority group per year).  |   |   |
| 8                    | Prioritized behaviors were selected based on impact and feasibility.   |   |   |
| 9                    | For each prioritized behavior, the <b>priority groups</b> are clearly identified.  |   |   |
| 10                   | For each prioritized behavior, important <b>supporting actors</b> or <b>influencing groups</b> have been identified.   |   |   |
| 11                   | One or more strategies/ <b>activities</b> have been designed to reach each priority group for each behavior.   |   |   |
| 12                   | In selecting strategies, the project considered necessary interventions to: <ul style="list-style-type: none"> <li>• Address the enabling environment;</li> <li>• Make available needed products and services; and</li> <li>• Generate demand or use.</li> </ul> |   |   |
| 13                   | The team reviewed assessment findings before selecting/finalizing strategies and activities.   |   |   |
| 14                   | The team reviewed information about various "SBC activities" included in the <a href="#">Activity and Engagement Tactics Menu</a> before selecting/finalizing activities.  |   |   |
| 15                   | A mix of activities are proposed that are appropriate to meet the behavior changes articulated in the results framework/project design.  |   |   |
| 16                   | Key knowledge gaps were identified.  |   |   |
| 17                   | A <b>formative inquiry</b> phase was included in the project design (e.g. in the detailed implementation plan).  |   |   |
| 18                   | The formative inquiry exercise has a budget.   |   |   |



## ASSESS Phase Template: SBC Strategy Outline

**PURPOSE:** Use this tool during the ASSESS Phase to help document the initial design decisions for your SBC strategy. After the project is awarded, you will build on this summary to create a full SBC strategy and implementation plan.

**INSTRUCTIONS:** Follow the two example templates shown below to complete your own outline. The dark box provides organizational guidance, with corresponding examples shown in the light gray boxes. The same model outlines are [provided here](#), with blank spaces for you to provide your own information, following these guides.

### CONTEXT SUMMARY AND HIGHLIGHTS OF SITUATIONAL ANALYSIS/ASSESSMENTS

Use this space to capture key findings from your situational analysis/assessment process during design phase that informed your behavior selection, priority group selection, or strategy/activity choices. This documents your main takeaways from Step 1. It will include similar information as the problem analysis section of your proposal.

- The assessment found that maize farmers experience a lean season that lasts 6 months on average.
- Average land size is 0.5 HA; 20% of famers have 1+HA, 40% 0.5-1 HA, 40% < 0.5 HA.
- Yields per unit of land are estimated to be 40% below national average.
- Only 20% of farmers (vs 60% nationally) use improved seed varieties.
- 60% of farmers are women; 80% of women have less than primary education.
- Improved seeds are available at larger markets but at relatively high cost and volume.

### STRATEGIC DIRECTIONS

| <b>Prioritized behaviors</b><br>List here the behaviors prioritized during <u>Step 2</u> (one per row). These are the outputs of your prioritization exercise. | <b>Priority groups</b><br>List here the identified priority groups (primary or secondary) for each prioritized behavior ( <u>Step 3</u> ) along with any key highlights about them (from <u>Step 1</u> ). | <b>Proposed preliminary strategies</b><br>List here the strategies/activities anticipated to address the behavior with the priority groups (From <u>Step 4</u> ).  | <b>Knowledge gaps</b><br>List any identified priorities for the formative inquiry phase as identified during <u>Step 4</u> .   |
|--|---|--|--|
| Farmers use improved seeds.  | Primary group: Farmers.<br>• 60% female.<br>• Average land size 0.5 HA.<br>• Majority are not literate.<br><br>Influencing group:<br>Extension agents.  | • Farmer groups / demo plots to showcase improved yield potential.<br>• Vouchers to address access barriers for most vulnerable (targeting women).<br>• Visual leaflets showing how to identify improved seeds, and which seeds generate which yields. | • Do female farmers have decision making authority on seed purchases? If not, what additional strategies might be needed?<br>• What would motivate farmers to continue to purchase improved seed after the voucher program ends? |

# Activity and Engagement Tactics Menu

This section offers information about commonly used SBC **approaches**, **activities** and **engagement tactics**.

▶ **Approaches** are categories that describe how activities deliver change. Common SBC activities are categorized into the following approaches:



Interpersonal communication



Community-based outreach and engagement



Media



Advocacy



Structure/design based

▶ **Activities** are those identified in your proframe to deliver the project's outputs to the targeted project participants. Examples of activities include radio programming, home visits, farmer field schools, Care Group sessions and the like.

▶ **Engagement tactics** are tools – like storytelling and games – that can be embedded within a project activity to engage the audience effectively.

The following pages (70 and 71) provide a summary of approaches as well as common engagement tactics, which can be used across various activities or approaches.

Pages 72-74 offer a brief list of considerations for selecting activities or engagement tactics. These are followed by more detailed descriptions of each approach and engagement tactic, with additional examples. Budgeting guidance and notes are also provided for each approach.



A student at Qaru Lambo elementary school in Tanzania, stands in front of a mural promoting hand washing.  
[Photo by Sara A. Fajardo for CRS]

## Menu of Common SBC Activities



### INTERPERSONAL COMMUNICATION (≤15 PARTICIPANTS)

- **Individual counseling** (Home visits, provider interactions, accountability buddies)
- **Peer support groups** (Care Groups, SMART couples)
- **Small classes or group sessions** (Parenting sessions, literacy classes)



### COMMUNITY-BASED OUTREACH AND ENGAGEMENT (15+ PARTICIPANTS)

- **Social cohesion** (3D/4B workshops, community conversation)
- **Mobilization and engagement** (CLTS, farmer groups, SILC, community WASH promotion, youth clubs)
- **Events** (special days, public talks, football games, launches)



### MEDIA

- **Mass media** (TV, radio, billboards, songs)
- **Mid media** (Community drama, sermons, megaphones, posters)
- **Digital media** (SMS, IVR/hotlines, social media, e-learning)
- **Small media** (Brochures, t-shirts, flyers, stickers)



### ADVOCACY

- **Stakeholder engagement** (legislators, religious groups, CSOs)
- **Policy analysis** (thought leadership)
- **Promote reform or budget allocations** (campaigns, technical assistance in drafting)



### STRUCTURE/DESIGN BASED

- **Alter choice architecture** (Opt in/ opt out, limit choices, change defaults)
- **Alter the environment** (pathways, placement)
- **Reduce friction**

Figure 17. Menu of Common SBC Activities



## Menu of Common SBC Engagement Tactics

### EDUTAINMENT & SOCIAL ART

- Soap operas and radio dramas
- Community theater and puppet shows
- Murals
- Songs
- Community videos

### STORYTELLING

- Live storytelling and community drama
- Written stories, graphic novels, speaking books

### TESTIMONIES

- Asking affected people or those who have tried the behavior to share their experience

### GAMES & GAMIFICATION

- Incentives (coupons, prizes)
- Live action games, board games, video games

### HUMAN CENTERED DESIGN

- Co-created shelters, latrine designs
- Co-created illustrations, materials, or content

### HANDS ON PRACTICE & TEACH BACK

- Asking learners to teach others what they have learned
- Participatory cooking sessions
- Group tippy-tap construction

### SOCIAL MARKETING

- Using advertising or marketing principles to promote a behavior





Figure 18. Menu of Common SBC Engagement Tactics









## Considerations for selecting activities and engagement tactics

There are two critical points to keep in mind when selecting activities or engagement tactics:

1. Changing behavior or norms involves more than just directly communicating a message. It involves a package of activities and tactics which collectively spur change.
2. Two-way interaction is always more impactful and should be part of every project, even if it relies primarily on media. For example, many projects use media like radio or video along with activities like peer groups which allow participatory discussion of issues raised in the media.

Beyond these two points, there is no set formula for which activities or tactics will best achieve your **change aims**. Different activities have different strengths and people may be more likely to take note of something when they see or hear it through multiple channels. Selection requires understanding how to best reach your priority groups, and balancing evidence of what will work with resources at hand, along with a willingness to experiment and a good sense for combining activities and tactics to create synergy. Use the following list to help you consider what might work best in your context. If you are focused on changing **social norms**, refer also to the special considerations for activities and engagement tactics to address social norms listed on [page 74](#).

- 
**Feasibility.** The activity must be feasible for the program to implement given *capabilities of your team* and resources available. Try to build on experience and skills your team already has, and ensure you have capabilities to train and support them to implement the activity effectively. If you do not have a budget for many new activities, you will need to find ways to leverage and enhance what is planned. When considering creative approaches, confirm whether you have the relevant capacity or need to engage a local creative firm.
- 
**Acceptability/attractiveness.** The activity must be accessible to participants, appropriate within the socio-cultural context, and appealing to participants.
- 
**Communal vs individual actions.** If the change requires communal action, you may not have much success working with individuals. Instead, consider including a community engagement approach, or an advocacy strategy.
- 
**Scale of change.** If you are trying to reach most people, **approaches** like mass media with wide reach are appropriate. However, if your priority group is more targeted, such as mothers of children 6 to 8 months of age, you will want to identify an activity that will reach them in a more targeted way.

-  **Scope of change.** If you have a simple message, or need to increase knowledge or awareness, then media approaches like mass media and digital media may be good tools. However, if the barriers are more complex, and you need to shift attitudes or norms, then interpersonal communication and community-based outreach and engagement approaches are likely more appropriate.
-  **Delicate subjects.** Interpersonal communication methods like peer groups and individual counseling work best when people are comfortable discussing the subject with others. For topics involving taboo or stigma, consider approaches that offer more anonymity, like radio soap operas featuring characters dealing with the same issues, SMS services, social media, etc.
-  **Stage of change.** If the whole community is at the same stage of change, then whole community approaches like community-based outreach and engagement and mid media can work. But, if individuals are at different stages, small group and individual counseling allows more targeting. If a behavior has been tried but sustaining it is hard, interpersonal approaches and small media **cues to action** may be appropriate.
-  **Availability and popularity of communication channels.** Look for opportunities to use the existing channels that people already rely on to share information and to learn from others. For example, in Southern Africa, many people regularly attend church, where they receive trusted information. CRS leveraged this existing communication channel by equipping church leaders across denominations to share accurate information about HIV and promote key behaviors like getting testing and being faithful. Keep in mind that literacy and cost will affect which channels you can use for different groups.
-  **Existing social networks.** Information, attitudes and practices spread through social networks. Friends may dress similarly, eat similarly, and share values about what is most important. Accordingly, even if you want to influence a large group, sometimes you only need to reach a few influential people for your message to spread. If you can identify influential people in the network, you may be able to amplify your impact.
-  **Compatibility with the enabling environment.** Consider whether existing structures, programs and policies can be leveraged to reinforce your change aim.
-  **Cost effectiveness.** You will want to consider not only the cost of an activity, but also how likely it is to drive change, so you can select the most cost-effective package.
-  **Relevance.** The behavior to change should be relevant to the activity. While you could talk about breastfeeding to a farmers group, the

farmers group likely will not see this as relevant, unless you were focused specifically on helping female farmers continue breastfeeding during the planting season.



**Layering.** One activity may be able to address several behaviors. Where relevant, using one activity for multiple behaviors will support cost effectiveness. Be mindful not to overwhelm participants, however.



**Synergy with other actors.** CRS is rarely the only actor or project working on an issue. Look for opportunities to layer, leverage, and build on what is already ongoing.

## Special considerations for Activities and Engagement Tactics to address social norms

Social change is often more sustainable than individual behavior changes.



Working on **social norms** – which are key drivers of many behaviors – can help create a supportive environment for *social and* behavior change across communities and multiple behaviors. Social change is often more sustainable than individual behavior changes.

Cultural traditions and religious beliefs often link with social norms. If you find deep-seated systems of belief or ideas about what is ‘right’ that are driving behaviors in your project context, your activities will focus on the same kind of norm-shifting aims, regardless of whether you define the determinant as ‘culture’ or ‘belief’. In general, for addressing social norms, the most useful approaches will involve a) **community engagement** activities that work through existing social networks of influence, and b) media approaches, which have broad reach and can model normative behavior. It is best to combine both community and media approaches for complementary synergies.

Community engagement approaches are suitable for shifting social norms because they reach people in their family and community groups, and engage them actively in reflective conversations. The specific form of activities may vary, but for social norms, the key is *how* you engage participants, and finding the key references in their society that can reframe the recommended behavior as something consistent with their values. For example, with respect to the powerful role of elders, appeal to their strong value on tradition through discussions that reframe a new behavior as supportive of their ‘old’ values.

Another key technique for social norm shifting activities is to identify community members who are quietly breaking the norm and experiencing appreciated benefits, and get them to share their experience through testimonies.

It is important to understand, from your formative inquiry, whether the norms people refer to are just *perceptions* about social approval, or *actual* normative behaviors. If your findings show people perceive it would not be socially acceptable to do something (for example, let their daughters finish secondary school because they assume it brings stigma and hurts marriage

prospects) but your findings also indicate that actually, a lot of people *do* approve of the behavior (interview data show surprisingly large numbers report valuing adolescent girls' education and actual numbers enrolled have been going up) then your **change aim** would focus on correcting the (mis)perception of **social norms**. For example, you might do a public but anonymous poll and present results revealing the gaps between perceived and actual norms. This makes a strong, eye-opening impression that corrects normative assumptions and removes that barrier to change.

However, if your data show an actual, strong norm against a behavior, you would need strategies that target reflection and adoption of a new viewpoint. For example, for a gender issue for such as women's participation in household budget decisions, appropriate activities could be to:

- Debate with mixed gender group: have people 'vote with feet' toward one side of the room (pro vs con on the issue—it may not be 100% male-female split), then they take turns making the case for their point of view. Then, facilitate conversation about how people felt hearing the others' view; and,
- Men's-only listening groups to view and discuss video or audio dramas enacting the 'old' behavior with its negative consequence and the 'new' behavior with its benefits, followed by discussion. Then, have respected men in the community act out skits that depict the benefits of recommended behavior in their own way.
- Testimonies of gender role transformation from families to the community or their peer networks.

If data show deep-seated habits, and you want to promote new norms, it may be more effective to focus activities on children or youth. For example, handwashing programs often teach handwashing at schools, and afford children the opportunity to practice it, then diffuse it to households. Likewise, some gender approaches focus on young men and new couples, helping them to establish positive relationships so that they can avoid the challenge of change.

## Approaches and Activities

In this section, detailed descriptions are provided for each type of approach, including a summary of approach, example activities, and notes about costs to consider including in the budget. The budget notes are not exhaustive and there may be other costs.



### Definition

## Interpersonal Communication (IPC)

**Interpersonal communication** refers to two-way, direct, personal communication, generally face-to-face. Interpersonal communication includes one-on-one sessions or interactions between groups small enough for conversation ( $\leq 15$  people). Interpersonal communication can be conducted just about anywhere (in homes, public spaces, health facilities, etc.).

Note that many community-based approaches (described next) work through larger groups or mechanisms that do not allow as much direct, two-way interaction, and as such are no longer considered IPC even if they are face-to-face.

**IPC approaches are usually best for negotiating and overcoming challenges to behavior change.**



IPC approaches are usually best for negotiating and overcoming challenges to behavior change. They afford opportunities to tailor content and guidance to meet participants' specific needs, and are great platforms for groups to problem-solve and develop locally owned solutions. However, they are often among the most resource-intensive to deliver and therefore may have lower reach. Interpersonal communication approaches may be used in combination with media, with the former offering detailed support and the latter increasing reach. Note that interpersonal approaches depend heavily on the quality of the counseling and support provided by the facilitator (service provider, community volunteer, lead mother, lead farmer, etc.). It is therefore critically important to help facilitators develop strong interpersonal communication and behavior change skills through effective participatory training and ongoing supportive supervision. Make sure to plan and budget for ongoing capacity building for frontline volunteers and staff.

Activity Examples:

- Individual counseling like home visits, interactions between health providers and clients, accountability buddies, learning partners, etc.
- Peer support groups like Care Groups, SMART couples, youth groups, etc.
- Small group classes or sessions like *small* farmer field schools, parenting sessions, community hygiene promotion session, health promotion sessions led by community health workers, literacy classes etc.



### IPC: Budgeting Guidance and Notes

- Training in effective counseling techniques.
- Training for supervisors in supportive supervision.
- Sufficient staff to monitor and build quality of frontline teams.
- Development/printing of facilitation guides.
- Creative agency (illustrator) to develop images.
- Image testing exercise.
- Printing image-heavy counseling cards.
- Developing/printing small media materials for participants (like information brochures for literate populations).

## Community-Based Outreach and Engagement Approaches

A wide range of approaches are considered “community based.” Generally characterized by engaging people at community level, often working through existing resources and structures, they enlist inclusive participation and promote a collaborative process of discussing problems and developing solutions. Community-based approaches may work with or through community leaders or seek broad participation. As noted previously, community-based methods that work through small groups (15 or fewer) are using interpersonal communication approaches. Approaches that incorporate larger groups, that do not allow as much direct, personal interaction, fall under the umbrella of community-based approaches.

CRS prefers approaches that are not only participatory but engage community members to work together to address common problems while developing community capacity and stimulating social change. **Community engagement** approaches are empowered by being based on principles of mutual respect and recognition of communities’ own assets and inherent capacity to solve their problems. Many community engagement activities are well suited to addressing *social norms*. Note that event-style activities can create awareness of an issue but are rarely sufficient to generate change. Therefore, they should typically be used in combination with other activities. They are often most suited to priority groups in the *pre-contemplation stage* (refer to [Chapter 3](#) for more detailed information on stages of change).

Activity examples:

- Community consultations.
- Social cohesion activities such as 3B/4D workshops, community conversations, and similar efforts that use participatory activities focused



Guatemalan women belonging to a Savings and Internal Lending Community exchange funds. [Photo by Dinorah Lorenzana for CRS]

on behavior change, promoting dialogue, shared decision-making, and empowerment.

- **Community mobilization** and engagement activities such as church and civic groups, youth clubs, video or radio listening and discussion groups, community dialogues, community led total sanitation and hygiene (CLTS/ CLTSH), community-led total nutrition.
- Events such as public talks, radio listening groups, sermons, community sensitization, celebrations of national or international days, football matches, campaign launches, and other activities focused on disseminating information or resources on a specific issue to groups of 15 or more people.
- Engaging church or community leaders to generate awareness or lead dialogues on a topic.



### Community Outreach & Engagement: Budgeting Guidance and Notes

- Training in effective facilitation techniques.
- Training for supervisors in supportive supervision.
- Sufficient staff to monitor and build quality of frontline teams.
- Development/printing of facilitation guides and job aids for group leaders.
- Creative agency (illustrator) to develop images.
- Material testing.
- Printing image-heavy counseling cards.
- Props or visual aids to use during sessions.
- Developing/printing small media materials to participants (like information brochures in literate populations).

## Media Approaches

Media approaches include **mass media**, **mid media**, **digital media** and **small media** activities. Media is usually one-way communication but can be combined with other approaches for two-way interaction.



**Definition** **Mass media** includes broadcast and print media that reach a wide audience at large scale. Mass media offers a large reach that can expose large numbers of people to standardized messages or content. It is difficult to tailor or customize content to smaller groups or individuals. The broader audiences reached through mass media can help spur social change.

Keep in mind that reach will depend on people's access to the selected media outlets. Credibility is also a powerful factor. If people trust the source, media will work better. Production of effective mass media materials usually



requires professional creative talent and commercial resources. Even so, in crowded media markets, the messages may not stand out. While the costs per person reached may be low, mass media is most effective when campaigns run intensively, over a long period of time. As a result, the costs for sufficient exposure to generate impact can be much higher (and even prohibitive).

Activity Examples:

- TV and Radio at national, international, or regional level.
- Billboards distributed widely.
- Broadly circulating newspapers or magazines.
- Popular songs.



### Mass Media: Budgeting Guidance and Notes

- Professional production teams / creative talent.
- Concept and content testing.
- Airtime or advertising costs.
- Discussion guides.



#### Definition

**Mid media** is media distributed through a small, defined, geographic area. It allows content to be tailored to regional or local content. It can have a relatively broad reach, and is often less costly than mass media. Mid media content may be paired with group discussion guides for use in communities.

Activity Examples:

- Community radio.
- Public address, town announcers or “criers”.
- Local billboards.
- Posters.
- Community newsletters.
- Local ‘edutainment’ or ‘social art’ like community drama, storytelling, music.
- Sermons/religious services.



### Mid Media: Budgeting Guidance and Notes

- Concept and message testing.
- Development of scripts.
- Printing costs.
- Group discussion guides.
- Image development/testing.
- Audio-visual production/recordings.
- Airtime.
- Payment to local actors.



#### Definition

**Digital media**, sometimes called Information and Communication Technologies for Development (ICT4D), uses digital platforms such as the internet and cellular phone networks. Digital media tools can be used to deliver information, facilitate engagement, and monitor activities. Digital media can offer very wide reach, but only where technology is widely available.

Similarly, digital media can take advantage of pre-programmed algorithms to provide just-in-time information (like reminders for HIV medication pickups) or guide people through transitioning life stages (for example, providing targeted infant and young child feeding guidance based on a child's birthdate). Digital media can also offer anonymity, allowing people to receive information or ask questions about topics they might be embarrassed or afraid to ask in a face-to-face context. Some digital tools, such as social media, can facilitate cross learning between program participants or user generated content.

### Example - Facebook COVID-19 SBC Campaign

In 2021, during the peak of the COVID-19 pandemic and with support and funding from Meta, CRS ran 19 different advertising campaigns on Facebook aimed at mitigating the impact of COVID-19. The goal of the ads was to shift knowledge, attitudes, social norms and ultimately behavior through the power of social media. Each of the participating countries selected a target audience and developed a campaign plan aimed at increasing preventive behaviors or vaccine confidence and uptake. Based on knowledge of their target audience, diverse creative content was developed, in the form of images, videos, reels, gifs, etc. Overall, CRS ads were delivered to over 23 million people worldwide during a six-week period, and Facebook analytics and 'brand lift' study showed very positive results.

Evidence for digital media's role in behavior change is growing. However, it is important to keep in mind the similar considerations as for other types of media: penetration (how many people can be reached), intensity (how often people are reached), and the quality of material design. Depending on the digital platform selected, materials needed for digital media could include audio recordings, photos, videos, scripts, website content, algorithms, etc.

Activity Examples:

- Phone hotlines and interactive voice recording (IVR) systems.
- Messaging platforms such as SMS, WhatsApp, Viber and others.
- Content on social media apps such as Facebook, Twitter, and Instagram.
- Websites and blogs.
- eLearning platforms.
- Chatbots.



### Digital Media: Budgeting Guidance and Notes

- Airtime and platform hosting.
- Content development and testing.
- Website design and hosting.
- Photographer / videographer / image development.
- Staff / consultant / partner with social media expertise.
- Full time Country Program communication staff is required to engage in social media activities.
- Technical computer programming support.

**Small media** consists of items with printed messaging, distributed to individuals and small groups. Small media items can be reminders that reinforce messages received at community events or through interpersonal communication. While participants often value tangible items, they may not contribute much to behavior change, so cost effectiveness should be carefully considered. Items work best when they can serve as a **cue to action** for a specific behavior. For example, a sticker given to families to install on their latrine exit with a handwashing message is likely to be more effective than a brochure on handwashing benefits.

## Activity Examples:

- Flyers.
- Brochures.
- Calendar.
- Stickers.



### Small Media: Budgeting Guidance and Notes

- Image and concept development and testing.
- Printing / production.

## Advocacy

Advocacy refers to communications and activities designed to raise awareness, shape policy, cultivate commitment to program objectives, and mobilize resources. Advocacy focuses on generating political commitment, such as a change in policy or regulations or provision of material resources, that will facilitate behavior change. Advocacy activities can help create a supportive enabling environment for behavior change. Advocacy activities are most appropriate when people are motivated to change, but resources for services may be lacking and require political will or a policy change. Advocacy initiatives may include the development of advocacy briefs, infographics, statistics and other materials intended to sway politicians or leadership.

## Activity Examples:

- Stakeholder engagement to build awareness on issues.
- Develop advocacy briefs or infographics.
- Cost-benefit analysis of status quo vs. policy change.
- Campaign with legislators promoting legal reform or budget.
- Campaign with companies to invest in an initiative.



### Advocacy: Budgeting Guidance and Notes

- Advocacy training sessions.
- Content development such as talking points or policy briefs.
- Printing.
- Infographic development and printing.
- Stakeholder engagement meetings.

## Structure and Design-Based Approaches

Structure and design-based approaches seek to influence behavior by changing the physical or social environment to alter the way people make choices. These approaches recognize the limitations of information-based behavior change and seek to influence people *without relying on people to consciously choose to do something different*. Recalling the example of the elephant and the rider (see [Chapter 2](#)), these approaches seek to shape the path. These approaches are sometimes called **nudges** because they are like little pushes toward changing behavior by making the behavior more intuitive, appealing or easy (and eventually habit forming). There is growing evidence on the effectiveness of nudges. However, they can be challenging to implement in contexts where the project does not have much control over the environment.

Activity Examples:

- *Altering the choice architecture, for example, provider-initiated HIV counseling and testing.* With this activity, patients are counseled and tested unless they opt out, in contrast to patients being obliged to ask for a test themselves. This type of approach influences behavior in two ways. First, it subtly conveys that testing is the norm. Second, it removes the barrier for the individual to have to make a choice. Most will go with the default option as it is more work to ‘opt out.’
- *Altering the environment, for example, placing hand washing and soap outside the toilets or at the entry to the dining hall, marking pathways between latrines and handwashing stations, or ground markings or ropes to signal social distancing protocols.* With this kind of activity, people



A tippy tap handwashing system placed at the meeting point for a Savings and Internal Lending Communities Meeting in Baare, Northern Ghana nudges attendees to wash their hands before attending the meeting. [Photo by Natalija Gormalova for CRS]

intuitively use what is before them or follow the path. It can convey that handwashing after toilet use or before eating is the norm, and it removes the barrier of needing to look for or find the needed materials. Likewise, *placing nutritious foods more prominently in food buffets or at markets* is a similar concept to “placement” as used by the private sector. It draws on the idea that people are more likely to select what they see most obviously. Therefore, if the healthy option is the most prominent one, people are most likely to select it.

- *Reducing friction, or additional steps that people may have to take. For example, including string and nails as part of insecticide treated mosquito net distributions so that people already have at hand everything they need to hang and begin using the net.*



### Structure & Design: Budgeting Guidance and Notes

- Meetings to discuss / advocate for changes.
- Training (in new procedures such a provider-initiated testing).
- Inputs (such as soap, handwashing stations, ropes, markings).



Eugene Kaman Lamah and health department officials participate in a radio program in Labe, Guinea, encouraging participation in a health campaign. [Photo by Sam Phelps for CRS]

## Engagement Tactics

In this section, descriptions are provided for commonly used engagement tactics, including examples.

### Edutainment and Social Art

Edutainment consists of combining entertainment with education. Social art builds on common forms of expression used locally. Edutainment and social art techniques recognize that people are often more engaged, and learn more, when they are having fun. These events can be highly engaging and memorable and can help reinforce a broad media campaign. Edutainment approaches are especially important for working with children but are also very effective with adults. Edutainment techniques can be incorporated into **interpersonal communication** approaches, community-based approaches and media approaches. Edutainment is generally one-way communication but can be combined with discussion for deeper impact.

Examples:

- Soap operas or ‘dramas’ aired on radio or TV.
- Songs at the start of Care Group meetings (or other peer groups).
- Community theater, dance, music, storytelling, fashion show, talent contest, puppet shows, or other similar events.
- Community murals.



A puppet show in southern Madagascar makes it fun for children and adults to learn about health and nutrition [Photo by Jim Stipe for CRS]

- Live storytelling.
- Community produced videos.
- Songs and music videos produced by local performing artists.

## Storytelling

Stories have long been used in many cultures to transmit knowledge, impart social norms and influence behavior. Stories can be used with interpersonal communication techniques, in community-based activities, and through media (radio, television, audio recordings). Stories help provide context for a message, by incorporating the behavior or message into a real-life scenario with which participants can identify. Well-designed stories can have a powerful effect. Relatable characters often struggle with the same issues participants do. Whether stories present a familiar experience that listeners identify with, or a dramatically different one, they can engage people in discussions and debates that are fundamental ingredients to social and behavior change. Stories should retain people's interest, be memorable, and subtly or directly inspire people to think or do something differently.

Well-designed stories can have a powerful effect.



Examples:

- Soap operas or 'dramas' aired on radio.
- Stories told verbally (often read from facilitation guides), such as those included in the Child Optimized Financial Education curriculum, or often incorporated in Care Group sessions and many other CRS activities.
- Written stories and graphic novels.
- Speaking books.
- Stories told through community drama (often from scripts) or videos.

## Testimonies

**Testimonies** are a communication technique where individuals share their first-person experience. Testimonies usually include what the person did, as well as how it made them feel, and the end result. Testimonies can help participants envision a realistic, vivid pathway for change. Whether testimonies present a familiar experience that listeners identify with, or a dramatically different one, they stimulate discussion and debate that can fuel social and behavior change. They can often trigger strong emotional responses and leave deep impressions with the listener. Testimonies can be particularly useful when people have knowledge, but need more motivation to adopt change (in the contemplation phase). They can also be particularly useful to stimulate discussion and debate on **social norms**, as one person sharing can prompt others to share. To develop effective testimonies, there must be people who are willing and able to share compelling personal experiences.

Examples:

- Asking 'doers' to share their experience in peer groups.



- Public testimonies (at large community gatherings, on radio, etc.).

## Games and Gamification

Like stories, games have been used by many cultures for centuries as learning tools and to convey **social norms**. Games can be used to build motivation to practice a behavior or to participate in behavior change activities. **Gamification** involves bringing in typical elements of game playing (point scoring, competition with others) to encourage engagement and participation. Games can evoke emotion, challenge norms, encourage learning, and support skill practice. Games can be designed to be played alone or interactively.

Examples:

- Incentives (coupons, prizes, etc.).
- Live action games. CRS gender teams developed a ‘race’ between a man and a heavily burdened woman (carrying a baby, a bucket, a hoe, a broom) to make the point about household distribution of work.
- Board games. CRS DRC developed a game to support learning about dietary diversity where caregivers work to build a diverse diet from available food cards.
- Video games. CRS Vietnam developed a video game where children identify (and avoid) potential landmine risks.



Students play a computer game to learn about the risk of landmines and unexploded ordnances in Vietnam. [Photo by Lisa Murray for CRS]

## Human Centered Design

Human Centered Design approaches apply private sector design principles to put the end users at the center of the solution, and identify solutions that are highly tailored to users' needs. These approaches engage people actively to test ideas they helped create, using a variety of techniques. For example: story boards and role-playing to test prototypes. With Human Centered Design thinking, approaches are regularly being assessed by the team and participants, with openness to recognize what is not working as well as embracing new insights and innovative ideas along the way. Support from a design firm may be needed to facilitate Human Centered Design approaches.

Examples:

- Co-created illustrated diaries for smallholders that depict contextual details in agriculture and nutrition messages.
- Co-created awareness raising campaign (on any issue—latrines, human rights, etc.) based on personal testimonies in social media and printed posters.
- Co-creation of shelter designs that support handwashing and mosquito net use.
- Co-creation of latrines that meet the needs of all family members.

## Hands on Practice and Teach Back

The best way to absorb new information is to teach it to others. So, whenever you conduct any kind of learning session or SBC activity, seize opportunities to have the participants teach their peers. Instead of the facilitator summarizing key take-away points on a topic, let *them* do it. Take a few minutes at the end of a session to recap by saying, for example: “Now, José, please show us how you will teach your brother about the importance of fertilizer.”

Examples:

- After learning new content, Care Group volunteers practice in pairs before promoting behaviors with their neighbor group.
- At community led complementary feeding and learning sessions, caregivers practice serving the right portion size and actively feeding their young child so they can do the same at home.
- As part of an agriculture training, participants plant a vegetable garden at a school or clinic to practice the soil preparation techniques they learned.
- Participants in a hygiene training build their own tippy taps or practice teaching each other how to build one.

**The best way to absorb new information is to teach it to others.**



## Social Marketing

Social marketing is the application of marketing principles, including product, price, placement and promotion to promote products, services or behaviors that support a greater social good. Social marketing focuses on understanding audience perspectives, tailoring the pitch to segments, testing approaches, and applying a mix of activities (including peer education, broadcast media, and others) to 'sell' the product, service or behavior.

Examples:

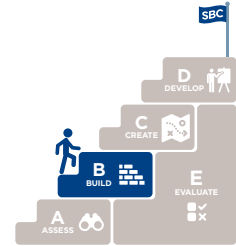
- Campaign to promote uptake of a healthy behavior, such as mosquito net use, use of oral rehydration solution, or HIV testing that is based on audience testing.
- Sale of products such as water treatment, improved seed varieties, improved complementary food, or other product that benefits a social good rather than (or in addition to) a commercial good.



Mohamadou Lamine Ndao, a Senegalese Mason, markets Sagal brand improved latrines models in support of universal sanitation access. [Photo by Michael Stulman for CRS]



Julia Gwedeza shows the importance of fathers in bringing up children, at the Kasinje Health Center in Malawi.  
[Photo by Sara A. Fajardo for CRS]



# 6

## B = BUILD



The BUILD Phase typically occurs during project start up.



### Why and when to use this chapter

This chapter provides detailed guidance to support **formative inquiry**: the process of collecting additional information needed to design high-quality SBC **activities, messages** and materials (the BUILD Phase). The BUILD Phase typically occurs *during project start up*.



### What's included in this chapter

- [Step 5](#): Plan formative inquiry.
- [Step 6](#): Conduct formative inquiry.
- [Step 7](#): Analyze findings.
- [BUILD Phase Checklist](#)
- [BUILD Phase Template](#): Formative Inquiry Summary.
- [Annex 6.1](#) Brief descriptions of formative inquiry techniques.



### Key points

- Formative inquiry is an opportunity to better understand our **priority groups** and how to motivate them. It considers the **behavioral determinants** we need to shift in order to change behaviors, and which changes are most feasible.
- Formative inquiry complements the baseline and other assessments, by exploring in more depth *why* people practice their current behaviors and *how* they can be motivated to change.
- Formative inquiry can be scaled to fit your needs and budget. Large sample sizes and extensive questionnaires are not always needed!
- Use your behavior change theory and literature review to help narrow your primary data collection. Focus on knowledge gaps and explore the determinants most likely to be important.
- Choose methods appropriate to answer your questions.
- Prioritize collecting, analyzing and applying *quality* data, over quantity of data.
- Ensure a “do no harm” approach and confirm that CRS informed consent guidelines are applied.

## Overview of the BUILD Phase

The BUILD Phase of the ABCDE Process is where we collect the additional information needed to design high-quality SBC activities, messages and materials. Remember: Project effectiveness depends on a good understanding of priority group(s) and what drives their behavior. This step should seek to understand what people do, why they do what they do, and how they could be influenced to change. During the project design phase, we had limited time and resources, so we assessed the behavioral determinants and priority group in a summary way, to allow us to plan and budget for likely strategies. Now that the project is awarded, the project team needs to gather more complete information so that they can create and deliver the best possible SBC content. This is called formative inquiry.







### Definition

**Formative Inquiry<sup>5</sup>** is a process of collecting information, to ensure that interventions are **inFORMed** by evidence. It entails investigation to understand priority groups, the behavioral determinants, and what is feasible in the local context so that the activities, messages, and materials we design will be tailored to fit.

At the end of this Phase, you will have a formative inquiry report with full details on your methodology and findings, as well as a formative inquiry summary of key learning needed to develop an SBC strategy and content.

During the BUILD Phase, you will carry out the following steps:

| BUILD   |  |
|--|--|
| <p> <b>Step 5:</b><br/>Plan formative inquiry</p> <p>⋮</p>    | <ul style="list-style-type: none"> <li>• Define questions</li> <li>• Select appropriate data sources, methods and techniques.</li> <li>• Design tools and plan for data collection.</li> </ul> |
| <p> <b>Step 6:</b><br/>Conduct formative inquiry</p> <p>⋮</p> | <ul style="list-style-type: none"> <li>• Collect data.</li> </ul>  |
| <p> <b>Step 7:</b><br/>Analyze findings</p>                   | <ul style="list-style-type: none"> <li>• Analyze and present key learnings.</li> </ul>   |

<sup>5</sup> Note that Formative Inquiry is often referred to as Formative Research in other sources. CRS has elected to refer to this step as Formative Inquiry because the process proposed does not generally meet the standard for research. The primary purpose of formative inquiry described here is to inform program design and program improvement. In contrast, research is intended generate generalizable knowledge for broader dissemination, use and influence, and this may require additional in-country ethical approval processes. Further note that formative here refers to a process conducted *before* implementation, which differs from the use in the evaluation sector where it refers to ongoing assessments to improve implementation.

## Step 5: Plan Formative Inquiry

Step 5 in the SBC Process includes deciding what you will investigate through formative inquiry, and how you will investigate it. Even if you will engage consultants, researchers, or a specialized organization to carry out formative inquiry, CRS and partner staff should always be involved in the planning!

### What is Formative Inquiry?

Like an assessment, formative inquiry is a data collection and analysis step that is intended to maximize the success of our projects. Formative inquiry is most often done after the project starts. It seeks to develop a richer understanding of just a few behaviors, as well as the people we need to reach if we want those behaviors to spread. Formative inquiry will answer questions such as: What will motivate and inspire change? How can we reach the right people? It is useful to design formative inquiry alongside baseline and other key assessments during project start up. For example: Gender Analysis, Livelihoods Opportunity Analysis, etc. can also inform the SBC strategy and learning will be richer if these data collection exercises are intentionally complementary.



Young man performs in traditional dance competition in northern Ghana, promoting messages of peace. [Photo by Sam Phelps for CRS]

Some initial assessment will have been done in the process of developing your project proposal to understand the project context – the setting, the people, their culture, practices, social systems – and identify problems and resources. Now that the project is awarded, you will build on that with more focused, in-depth inquiry to identify what drives the targeted behaviors in that context. Your inquiry should focus on gathering the information you need to design and deliver highly effective SBC activities. The formative inquiry process may have multiple components but need not always be time or resource intensive. Good understanding can be gained through a variety of channels and methods and formative inquiry can be scaled to meet your needs and budget. (See box below and example at the end of the chapter).

### **Tips for light touch Formative Inquiry – when you have limited time or budget**

- Before you start, assess learning needs carefully and remember it is more useful to have less data of higher quality than a lot of data that is not useful; tailor your scope accordingly.
- Invest in thorough desk review and stakeholder consultations to help you focus your exercise strategically and efficiently on key knowledge gaps.
- Draw on existing data, previous project experience, and published literature.
- Leverage other data collection exercises, such as a baseline survey or gender analysis, which can be part of your overall formative inquiry process.
- Keep data collection tightly focused on project participants. Findings do not need to be generalizable to a wider population.
- Start by identifying the decisions you need to make, and ask only the questions you are confident will give you an answer you need to make that decision (“need to know,” not “nice to know”).
- Consider a phased approach, starting with some questions, and coming back to others later or with a narrower focus based on what you learn in your first round.



## Define your questions

Before writing a protocol or terms of reference for your primary data collection, refer back to the behavior change theory you selected in [Step 1](#) (Refer to [Step 1](#) and/or [Chapter 3](#) for more guidance on selecting a theory to guide your formative inquiry). Review what you learned through desk review and stakeholder consultations and apply that knowledge against your theory, to identify what else you *need* to learn (*not* what “would be interesting” to learn). The focus should be on essential understanding for design purposes). Remember that formative inquiry should focus only on the remaining questions that have not been answered through the literature review and initial consultations *and* are essential to answer to design SBC content and tools. Work as a team to specify information needs, questions, and objectives.

You should not collect data that you do not have a plan to use!



Rigor comes in asking good questions, then choosing appropriate data sources and methods to fit the question. Before you collect data, determine how you will use the results.

The objectives of formative inquiry for SBC could be one or more of the following:

1. To generate the information needed to create profiles for **priority groups**.
2. To identify **behavioral determinants** for the priority behaviors.
3. To determine what is feasible in the local context.

Learn more about potential questions under each of these objectives below.

### Profiling Priority Group(s)

Understanding the priority group(s), helps you understand through which channels you can best reach them, and which messages are most likely to resonate with and influence them. Remember that your priority groups include the **primary group**, who will practice the behavior, and also the **supporting actors** and **influencers**. It is useful to create profiles for the main supporting actors and influencers with whom you will work. Draw on your behavior change theory to guide aspects you may want to explore. Possible questions could include:

- What are the priority group’s socio-demographic characteristics, desires and aspirations? What are their daily routines like? These questions seek to understand who they are, as people, so that our SBC approach fits their lives (see [Table 11](#) for examples of information that might be of interest).
- What are their key beliefs, knowledge, attitudes, skills related to the priority behavior? What are current common values, perceptions, beliefs, norms, and habits relevant to each priority behavior in the project setting(s)? Where do they feel the power to change?
- What are common communication channels? Where does the primary group get their information? What are they talking about? What do they do for fun? Who is in their social network and who do they listen to most? What are the preferred, trusted sources of information on this topic? Do

Priority groups include the primary group, who will practice the behavior, and also the supporting actors and influencers.



they have **access** and agency over media sources such as phone, radio, or television?

- What are local, influential **cultural assets**, such as arts, traditions, stories, and histories that make up a community's identity, character, and customs? Who are popular figures/entertainers/role models for each group?
- What are the community and family social structures? What relationships are most important?
- What social norms influence the **primary group**?
- Who are the key influencing groups? What kind of influence is it? How do they affect decision-making and behavior? Where, when, how much do they influence?
- Are there positive deviants? Who are they and what are their current practices and motivations?



Jean Bosco Bassamio speaks through a megaphone to announce mosquito net distribution in Koubatsaki, Republic of the Congo. [Photo by Sam Phelps for CRS]

**Table 11. Information to Collect About Priority Groups and Possible Sources**

| DEMOGRAPHIC CHARACTERISTICS  | DESIRES AND ASPIRATIONS   | SOCIAL/INTERPERSONAL INFLUENCES   | COMMUNICATION CHANNELS  |
|--|---|---|---|
| <ul style="list-style-type: none"> <li>• Sex/gender</li> <li>• Age</li> <li>• Education</li> <li>• Occupation</li> <li>• Religion</li> <li>• Ethnicity</li> <li>• Language</li> <li>• Literacy/numeracy</li> <li>• Household size</li> <li>• Income level</li> </ul> | <ul style="list-style-type: none"> <li>• Hopes</li> <li>• Aspirations</li> <li>• Worries or fears</li> <li>• Values</li> <li>• Beliefs</li> <li>• Interests</li> <li>• Attitudes</li> </ul> | <ul style="list-style-type: none"> <li>• Household members</li> <li>• Participation in community groups</li> <li>• Religious institution, faith leaders</li> <li>• Status figures/role models/artists</li> <li>• Friends &amp; neighbors</li> <li>• Favorite pastimes</li> <li>• Locations and events for socializing</li> <li>• Social and gender norms</li> <li>• Key influencers</li> <li>• Traditional leaders</li> </ul> | <p>Preferred channels:</p> <ul style="list-style-type: none"> <li>• Interpersonal communication</li> <li>• Community venues (traditional gatherings, water points)</li> <li>• Phone media (SMS, Interactive Voice Response, social media)</li> <li>• Mass media (radio, television)</li> </ul> <p>Frequency of use<br/>Type of information obtained</p> |

**Sources:** (desk review resources in teal, primary sources in black)

|  |   |  |  |
|--|---|--|--|
| <ul style="list-style-type: none"> <li>• <b>Demographic and Health Surveys (DHS), Malaria Indicator Cluster Surveys, (MICS), Management Information Systems (MIS), etc.</b></li> <li>• <b>Census</b></li> <li>• <b>Population-based assessments or surveys</b></li> <li>• Community assessments or situation analysis</li> </ul> | <ul style="list-style-type: none"> <li>• <b>Market research</b></li> <li>• <b>Surveys</b></li> <li>• <b>Media reports</b></li> <li>• In-depth interviews</li> <li>• Focus groups</li> <li>• Observation</li> <li>• <b>Social listening</b></li> </ul> | <ul style="list-style-type: none"> <li>• <b>Literature</b></li> <li>• Surveys</li> <li>• In-depth interviews</li> <li>• Focus groups</li> <li>• Observation</li> <li>• Social norms exploration</li> <li>• Social/community mapping</li> </ul> | <ul style="list-style-type: none"> <li>• <b>Media data</b></li> <li>• In-depth interviews</li> <li>• Focus groups</li> <li>• Observation</li> <li>• Social/community mapping</li> <li>• Media Landscape sites</li> </ul> |
|--|---|--|--|



### Definition

## Identify the most important Behavioral Determinants

Remember, **behavioral determinants** are the factors that influence whether a person practices a given behavior or not. These influences can operate either as **barriers** (the factors that make it difficult for a person to practice the behavior), or **enablers**, sometimes called **drivers**, or motivators (the factors that facilitate or make it easier for a person to practice the desired behavior).

We know from our understanding of behavioral theory presented in [Chapter 3](#) that the influences on an individual's behavior are multiple and varied, so we need to understand which factors are most relevant for each priority behavior with the priority group. Here you are trying to answer the question: why does the priority group practice (or not) this behavior?

### IMPORTANT NOTE!

It is not useful to try to identify behavioral determinants for a group of behaviors, such as “caregivers practice optimal infant and young child feeding” or “farmers adopt improved agricultural techniques” because these groupings comprise multiple behaviors that have different determinants; trying to understand them collectively leads to generic and unactionable information. If you do not have enough information to determine more specific behaviors under a grouping that you want to promote, the first phase of your formative inquiry should seek to gather the information needed to make these choices (for example, information about current prevalence, a group's priorities, access to needed inputs, etc. obtained through a baseline). A second phase can then collect information about determinants for the specific behaviors you have prioritized.

You should draw on your selected theory (see [Chapter 3](#)) and literature review to help you choose a limited number of most relevant determinants to explore. Use your theory to help you select the questions you might ask and the types of probes or options within those questions. Consider collecting data on factors like emotions, values, and social relationships and identity, to avoid ending up with ineffective program **activities** that are overly simplistic and information based.

Possible questions to support formative inquiry into behavioral determinants would explore what the key barriers and enabling factors are for each priority behavior. For example:


- What barriers do youth identify to starting their own business?
- Where are female farmers on “stages of change” for composting – is this something they are not even aware of, aware of but not yet interested in, or already interested in doing but do not know how?
- Which is more important in determining child dietary diversity: A mother’s confidence in how to prepare diverse foods for young children? Having her husband’s support? Having a steady income/feeling confident she can procure diverse foods? Her belief that a diverse diet is important for her child?
- How do contextual or individual characteristics influence the behavior among **primary group** members? Which are the most influential factors? For example, are older vs younger people or males vs females more likely to engage in the behavior or experience a particular barrier?
- How do primary group members make decisions? Are there consultations or does the person feel empowered to make that decision independently? Are gender norms at play?
- What is the enabling environment related to the behaviors?
- What products or services are needed to facilitate behavior adoption?

### Determine feasibility

A behavior change activity that encourages people to do something that is too hard or outside their means cannot be a success. People will often become discouraged and demotivated if messages and approaches insist on the *ideal* behavior, or if that behavior is simply not realistic for them. In contrast, when people are successful, they are usually more interested in continuing to engage and try new things. Formative inquiry can explore with priority group members what might be ambitious, but realistic ‘asks.’ This type of formative inquiry is particularly helpful when there is no experience promoting a given practice or behavior in the area. If you have already collected a lot of information on priority groups and determinants during the project design phase, you might be ready to get some early feedback on what is feasible in this context. Questions about feasibility may be very specific.

Some example questions that would explore feasibility are the following:

- How could we design a latrine that meets the needs of people living with a disability, the elderly and pregnant women? Which handwashing station model is most preferred and affordable for local communities?
- Which climate smart agriculture practices respond most to farmers’ priorities? Which would have the greatest impact on yield in this agroecological zone? Which practices are feasible for farmers based on the labor they have available and the inputs to which they have (physical and financial) access?
- How often could caregivers realistically add green leafy vegetables to the family’s food? Which foods are available in which seasons? Are there other foods they could add more often?



The behavior change “asks” must be realistic to avoid people becoming discouraged.

- For mothers of infants who work outside the home (in the market, in fields), which is the most feasible option for continuing breastfeeding: taking the child with them, having a caregiver bring the child every 2-3 hours for feeding, or expressing and safely storing milk to leave with the caregiver?
- Can farmers find materials for live fencing? Which materials are available? How long does it take to collect materials? How long would it take to build the fence? Is this within reach of most families?

## Define your sources, methods and techniques

Next you need to decide *how* to collect the information to address your questions in the context, with the time and resources you have available. Different methods have different strengths and weaknesses, so they should be chosen based on the context and information needs as well as your available resources. Formative inquiry often mixes qualitative and quantitative methods.



### Definition

**Quantitative methods** rely on data that can be counted, coded or otherwise represented numerically, with the possibility to generalize findings to your priority group population. **Qualitative methods** rely on data that is open-ended, text or narrative-based, to provide detailed descriptions of contexts and challenges, events, types of people or households and behaviors, providing depth and meaning. Qualitative and quantitative methods are different tools that serve different purposes. Remember that numerical data is not always necessary to address your questions.

The scope of and methods used for each part of the formative inquiry process will vary by project. Do not assume any one method is a “must” for your project. Given the complexity of behavioral factors to investigate, it is usually best to use a mix of data collection methods and sources (triangulation) to capture multiple perspectives and overcome the weaknesses or biases of any one method. You should select mixed methods strategically, based on the overarching questions for your inquiry and the resources available. For example, you might use a survey to understand which resources households can typically access; focus group discussions with the primary group to understand current behaviors, what motivates them, trusted information sources, and barriers to change; and social network mapping to reveal connections and patterns of social influence. Remember that popular methods may not be best suited to your study. Do not forget to use information from secondary sources where it is available.




While it is important to sufficiently explore your questions, do not be tempted to collect more information than what can be properly analyzed and used! Let go of any assumptions about what formative inquiry is ‘supposed to be’ and commit yourself right now to the following:

- You will collect data that helps you design and implement more effectively (relevant populations and data sources and collection methods that are appropriate for addressing your questions).

- You will ensure data collectors have the necessary skills to collect high-quality data.
- You will have a plan for analyzing and applying data before you start collecting it.

See Table 12 for an overview of the advantages and disadvantages of each method category, along with some examples of methods that fit under each category.

**Table 12. Comparison of Quantitative and Qualitative Methods**

|   | QUANTITATIVE METHODS  | QUALITATIVE METHODS  |
|---|---|--|
| <br><b>Advantages</b>      | <p>Larger samples are feasible.<br/>                     Can be more anonymous.<br/>                     More generalizability.<br/>                     Generally easier to administer.<br/>                     Can be standardized with validated tools or survey questions.</p>   | <p>Depth, detail, flexibility, interactive so that ‘why’ questions can be explored.<br/>                     Open-ended methods can uncover rich detail.<br/>                     More natural interactions can improve validity of data.</p>  |
| <br><b>Disadvantages</b> | <p>Findings limited to structured questions, can’t probe for ‘how’ and ‘why.’<br/>                     Unnatural situation and formal structure can limit authentic responses.<br/>                     Analysis can be difficult for some, depending on skills.<br/>                     If not collected or analyzed rigorously, may provide a false sense of precision.<br/>                     May miss or be inefficient in reaching small or marginalized target groups.</p> | <p>Time &amp; resource intensive, so usually have smaller sample size. Need to capture detailed discussions, not just summaries.<br/>                     Interviewer and facilitator soft skills very important. (Need to have good listening and observation skills as well as familiarity with topic so they can probe appropriately and seize learning opportunities.)<br/>                     Analysis can be difficult for some, depending on skills.<br/>                     Not generalizable.</p> |
| <br><b>Examples</b>      | <p>Knowledge, Attitude and Practice (KAP) Survey.<br/> <b>Barrier Analysis</b> and Doer/ Non Doer study.<br/>                     Structured Observations.</p>  | <p>Trials of improved practices (TIPS).<br/>                     Positive deviance studies.<br/>                     Social norms exploration.<br/>                     Rapid rural appraisal.<br/>                     Focus Group Discussions.<br/>                     Key Informant Interviews.<br/>                     In-depth Interviews.<br/>                     Semi- or Unstructured Observations.</p>   |

It is also important to consider available capacity when selecting methods. If you have team members with experience or natural gifts in open-ended interviewing or participant observation, seize the opportunity to collect rich qualitative data if it aligns with your overarching questions. On the other hand, these skills take time to develop and these approaches may not be the best fit if you have limited time and resources to train data collectors. Similarly, if you have team members who excel with statistical data analysis, you may be able to draw a lot out of survey data. No matter which method(s) you select, always ensure the method is appropriate to answer your question and you have provided sufficient training and support to use the chosen methods effectively.

### Summary of common methods used in Formative Inquiry:

The table on the next page outlines some commonly used formative inquiry methods (or packages of methods). For each method (or packages of methods), we have included a brief description and some guidance on when it is appropriate. Additional information on each method, including select advantages and disadvantages, suggested techniques that can be used in combination with this method, and links to further learning and resources are provided as [Annex 6.1](#). The Annex also includes information about some additional, less common, techniques that may be of interest. Remember: the methods should be linked to what YOU want to learn - choose methods that are suited to address the formative inquiry questions you developed. Refer to the examples at the end of the chapter to see how two very different CRS projects approached formative inquiry.



Students wash their hands at a CRS provided hand washing station in Karatu, Tanzania.

[Photo by Sara A. Fajardo for CRS]



Table 13. Summary of Formative Inquiry Methods

| METHOD  | DESCRIPTION  | BEST FOR   |
|---|--|--|
| <b>Knowledge, Attitude and Practice (KAP) surveys</b> | <p>A structured, or semi-structured survey of a representative sample of the target population to understand what they know, believe, and do.</p> <p>Traditionally used to explore current practices as well as two main types of determinants – knowledge and attitudes – however, these surveys can also explore many other determinant categories, based on your selected behavior change theory.</p>   | <p>When information is lacking about people’s existing knowledge or practices.</p> <p>When quantitative data is required by the donor, or would be useful for project monitoring.</p>  |
| Barrier Analysis and Doer/Non-Doer studies            | <p>Barrier Analysis and <b>Doer/Non-Doer studies</b> are types of root cause analysis. They use a specific survey methodology to identify barriers and enabling factors that influence a particular behavior with a particular group of people. Both methods involve interviewing 45 ‘doers’ (people already practicing the behavior) and 45 ‘non-doers’ about selected behavioral determinants.</p> <p>Barrier analysis explores a wider range of determinants than a doer/non-doer study. After the survey, results are coded, tabulated, and analyzed to inform design of SBC materials and activities.</p> | <p>Contexts and behaviors where some people already practice the behavior.</p> <p>Where the primary group has a lot of agency over the behavior, so identifying barriers from an individual’s perspective would be useful.</p> |
| Trials of improved practices (TIPS)                   | <p>TIPS is a methodology for participatory data collection that engages people in learning about and trying a new behavior.</p> <p>Over a series of visits, field workers and participants assess their experience with the new practice, discussing difficulties and motivating factors.</p> <p>This systematic process allows testing and refining of potential interventions at small scale, to determine what approaches will be most feasible and relevant, before introducing them more broadly.</p>   | <p>Circumstances where it is not clear which solution would be most feasible.</p>  |

**Table 13. Summary of Formative Inquiry Methods**

| METHOD                          | DESCRIPTION  | BEST FOR   |
|---------------------------------|--|--|
| Social norms exploration        | <p>A team-based qualitative process to gather information at community-level and develop a preliminary understanding of the social norms operating in program communities that are influencing how people act or behave.</p> <p>Social norms exploration is a two-step process. For each behavior explored, first 30 interviews (across all sites) are conducted, followed by 1 focus group discussion (per site).</p>   | <p>Behaviors suspected or known to be influenced by social norms.</p> <p>Projects that wish to address social determinants.</p>  |
| Positive Deviance Inquiry       | <p>A qualitative approach that identifies someone doing the behavior successfully and investigates how they succeed despite facing the same constraints as others in a community.</p> <p>Positive Deviance inquiries combine observations and semi-structured interviews with positive deviants (at least 2) and other households (at least 2) to find out what is driving innovation in positive deviants.</p> <p>The keys to success identified through the positive deviance study are used in strategies to promote the behavior.</p> <p>The process takes about 5 days per community.</p> | <p>Where you want to identify a local solution (confirm feasibility).</p> <p>When the community is skeptical of outsiders or outside ideas.</p>                                    |
| Rapid Rural Appraisal (Package) | <p>A robust approach to understanding many aspects of community life. Information is collected using a diverse set of methods and techniques that facilitate the participation of community members.</p> <p>Usually includes a half day intro meeting, 3-5 days of data collection, a half day of preliminary analysis, 2-3 days of more specific information gathering and then a half day of feedback in each selected community.</p>  | <p>Projects that value and have time for extended community engagement and participation.</p> <p>Projects with staff skilled in participatory community engagement approaches.</p> |
| Wash'Em (Package)               | <p>A package of five formative inquiry methods designed to support handwashing behaviors in emergency contexts.</p> <p>It includes observation of handwashing, focus group discussions with card sorted/ranking exercises on motivations, disease perceptions and touchpoints (communication channels), and individual interviews.</p>   | <p>Exploring handwashing behaviors.</p> <p>Short projects with limited time for formative inquiry.</p>   |

Table 13. Summary of Formative Inquiry Methods

| METHOD                  | DESCRIPTION  | BEST FOR   |
|-------------------------|--|--|
| Human Centered Design   | <p>An approach that puts the end user and their needs at the center, seeking to find a solution that best serves them and meets their needs (as opposed to the project designer's preferences).</p> <p>Human Centered Design processes start by seeking to understand local lives in depth, often employing a mix of methods such as observation, interviews and focus group discussions. From this foundation, ideas and solutions are developed and fine-tuned in an iterative process.</p> <p>Human Centered Design often actively engages the end user (or primary group) in a co-creation process for designing and testing ideas.</p>  | <p>Exploring feasibility of new ideas.</p> <p>Developing solutions that 'work' for the targeted participants, or what might be viable in the local market.</p>   |
| Focus Group Discussions | <p>Discussions with groups of peers, designed to identify perspectives on a particular issue.</p> <p>A <b>focus group discussion</b> engages 6 to 12 people with shared characteristics pertinent to the specific discussion topic. Focus group discussions should not last more than 90 minutes and should have a limited list of questions (not more than 10) to facilitate rich discussion and probing.</p> <p>The semi-structured nature of the discussion intends to probe specific, predetermined topics while allowing flexibility, and stimulating participants to share and discuss among each other.</p> <p>Focus group discussions are one of the most common formative inquiry techniques but are not consistently used effectively.</p> | <p>Answering a few well-structured questions.</p> <p>Topics that people are comfortable discussing publicly.</p> <p>Identifying group norms and eliciting opinions about group norms.</p> <p>Exploring a wide range of examples.</p> <p>Discovering variety within a group.</p> <p>Free-listing and ranking of topics.</p> |
| Small Group Discussions | <p>Similar to Focus Group Discussions, Small Group Discussions allow for conversation, but with fewer people, allowing for more personal sharing and authentic discussions.</p> <p><b>Small group discussions</b> can be done with 2 to 4 members.</p>   | <p>More personal storytelling and exchange.</p> <p>More sensitive topics that people feel comfortable discussing with friends or a small group but not with many strangers.</p>  |
| In-depth interviews     | <p>Semi-structured or open individual discussions to gain more detailed, personal perspectives on the topic.</p>   | <p>Topics that people are not comfortable discussing publicly.</p> <p>Capturing more detailed individual experiences and decision-making processes.</p>  |

**Table 13. Summary of Formative Inquiry Methods**


| METHOD         | DESCRIPTION   | BEST FOR  |
|----------------|---|---|
| Observation    | <p>Observation entails collecting information by seeing the context in which people live and will practice the behavior.</p> <p>Observation can provide insights that other methods did not think to ask about. It can also help to confirm what has been heard or explore a disconnect between what people tell you they are doing and other data.</p> <p>For example, through observation, you can see whether people really wash their hands before they eat. You can also see what is available at a market and at what price. You can see how people cook, how they plant, etc.</p> <p>Observations should be supported with appropriate checklists. One commonly used observation technique is a transect walk.</p> | <p>Behaviors (or determinants) that can be easily observed.</p> <p>Topics where people are prone to misremember or misreport their actual behaviors (desirability bias).</p>  |
| Photonarrative | <p>Participants are given a camera and asked to photograph places or situations that are relevant to the research question.</p> <p>For example, they may be asked to take photos of all the places they go in a day, to learn more about their daily life and where they spend time; the places from which they collect or use water, or of the foods they eat in a given day.</p> <p>The photos are then used as prompts for an individual interview, in which the participant will describe what is going on in the photo and why they took it.</p>   | <p>Understanding daily life of the participant from their own perspective. This method is very participant-driven and allows them to show and discuss elements of their life that might otherwise be hidden or unexplored in a traditional interview.</p> |


### Data collection techniques


Techniques are approaches that can be used within several data collection methods. There are a range of techniques that can be used in combination with the approaches above to elicit additional information. Consider incorporating appropriate techniques within your selected methods. Some examples include:





**Props.** It may be easier for people to respond to something visual than to answer a theoretical question. When planning interviews or focus groups, remember that you may use fun visual aids like pictures or other props as part of these methods. Card sorting and ranking exercises are also examples of prop techniques that can elicit comments on the questions.


- 


The five why's. With this technique (similar to a problem tree), you ask “but why?” or “what explains this?” up to five times to get a better understanding of underlying causes.
- 


Role play. People may have trouble answering questions formatted in our analytically oriented language—even if we use simple words. It is easier, and more fun, for them to act out what they would do, or what people typically say, in a certain situation. This method can be used in individual interviews, or focus group discussions to get a more natural, authentic response to a question, and provide a reference point for further probing questions.
- 

Video/Audio discussions. People listen or view a material, then process reactions through facilitated discussion/interview. Also sometimes called “vignettes.”
- 

Participatory community mapping. People work together to identify resources available in a community. Participants draw key locations important to them, and then facilitators ask relevant questions to better understand the local context. Maps may include the location of relevant resources (such as health facilities or water points) and/or social information such as who has access to land or who owns livestock.
- 

Social network mapping. Participants are interviewed about the people in their social networks, and program staff use software to identify the most influential people (those named by many other people).
- 

Calendars. Calendars can help you to understand how people use their time over a given period (from a day to a year). They can also help you explore how behaviors, or their determinants, may shift over a given period. Calendars can explore, among other things, where and how men and women spend their day, how families gain access to food throughout the year, agriculture labor needs, migration patterns, income patterns, incidence of disease, etc.
- 

Free listing. Getting an understanding of how people think about something by having them list all the items they can think of that relate to the topic. Can be used with individual or group interviews and reveal local ideas on a specific topic.
- 

Storytelling methods. Storytelling approaches allow participants to voice things from their perspective. One commonly used storytelling method is *stories without an ending*, where participants are given a prompt and asked to share how they think the story would end. Interviewers may follow up with additional guests to glean further information. CRS also uses Sensemaker, a special software that helps analyze extensive narrative data. Participants respond to story prompts and tell a true story from their experience. Data collectors gather many narratives and Sensemaker helps analyze the database to create an understanding of a situation, including key patterns and outliers. Then, participants explore the meaning of the stories, through a framework for analysis they do themselves. Like other digital

methods, this one can be powerful, yet limited to settings where it can be used.



Visual arts, including photos or sculptures (clay) allow participants to give voice to their conscious and unconscious feelings and beliefs through artistic expression. Mediums such as clay can be used very successfully with groups with varied literacy and artistic skills.

## Step 6: Conduct Formative Inquiry

Conducting formative inquiry follows a similar process of planning, data collection and analysis as other types of monitoring, evaluation, accountability and learning activities. This work may be carried out by CRS or partner staff, or by consultants, researchers, or a specialized organization. Remember to follow relevant CRS guidance on monitoring and evaluation, including while designing and collecting data. In the following section, you will find some brief tips on planning for and collecting data.

### Planning and preparation

Below are some key tips for planning formative inquiry. These elements often form part of the terms of reference for the activity. It is recommended to share terms of reference for review with relevant technical advisors (MEAL and sector) for input before finalizing. Note that if you are collecting data from children, or you intend to publish findings, then technical advisor review is necessary. If you would like to publish your findings (for example in a peer review journal), you will also need to seek approval from a relevant Institutional Review Board that oversees ethical research data collection; these approvals are needed before data collection can begin for research activities. Whenever possible, plan and prepare for formative inquiry in close collaboration with local partners and field teams. For additional guidance on planning data collection activities, refer to CRS monitoring and evaluation guidance referenced in the additional resources section at the end of this chapter.

Involving local partners and teams, as well as technical advisors whenever necessary.



- **Determine if all your questions can be answered simultaneously, or if you need to design sequential activities.** If you have a limited number of relatively simple questions, you may be able to collect all your data at once. But this is not always the case. For example, you may first need to collect information from your **primary group** to understand who their most important influencers and supporting actors are. Only then would you be able to organize data collection exercises with these influencers and supporting actors to better profile them. Similarly, you may want to first explore what the main barriers are for the behavior in question, and then test a few possible solutions to this barrier in a second phase of formative inquiry.
- **Develop a data analysis plan before designing data collection tools.** No matter how many rounds of data collection you might have, how you want to analyze the data will inform what data you will collect, so start with your analysis plan, then develop tools. Keep in mind that your

data may be recorded as notes or transcripts from interviews, photos or audio recordings, specific forms or tools. Define your system for collecting, coding, managing, and analyzing data. Make sure to budget the time, people and resources needed for transcription and translation, as applicable, so that qualitative data can be useful.

- **Confirm your plans will safeguard participants and ‘do no harm.’** Formative inquiry exercises must always follow CRS participant informed consent guidelines.<sup>6</sup> Especially when working with potentially vulnerable populations (people living with HIV, people living with disabilities, refugees, and other vulnerable groups), consider identifying a community stakeholder who can represent and help protect the interests of the vulnerable group throughout the exercise (‘nothing about us, without us’).
- **Design and field test (pilot) your data collecting tools,** including any props or other materials you will need. Once your tools are drafted, field test them to confirm they work as intended. Sometimes you may need to re-word questions so that they are clear to participants. Field testing may be combined with data collector training.
- **Develop a data collection plan.** Your plan will specify your site selection, sampling criteria, and participant/respondent characteristic. In addition, include the logistic preparations, such as budget and timeline and roles and responsibilities of team members. It is useful to plan a break for preliminary analysis about two thirds of the way through data collection – this will allow you to confirm if you are getting the information you need to analyze, and make any adjustments during the final third of the data collection.
- **Select data collectors.** Remember, the data is only as good as the data collectors. Selecting the right data collectors will be essential to having useful data. Select data collectors (or ensure that your lead consultant selects data collectors) with strong interpersonal communication skills and inquisitiveness, to ensure high quality standards and efficiency. Be aware that communities may distrust outside data collectors (including nationally hired consultants), jeopardizing data quality. Several CRS projects recommend using local data collectors (from the communities themselves) for the best results; however, for sensitive topics (HIV, interpersonal violence, etc.) where anonymity is needed, the data collectors should not personally know any respondents. Many projects have also warned that the quality of data from national consultants has been poor, and even at times unusable. Make sure to vet consultants carefully, including reviewing examples of their past work to ensure it meets the quality standard you need.
- **Train data collectors.** Make sure the data collectors understand how the data will be used, have mastery of the tools and have appropriate

Schedule a break at the two-thirds mark to make sure data collection is working and adjust for final third if necessary.



<sup>6</sup> CRS MEAL. 2019. Guidelines for the Obtention of Consent/Assent in Research and Evaluation. <https://crsorg.sharepoint.com/:w:/s/Monitoring-Evaluation-Accountability-and-Learning/ERZBQ7HV0cplm1NaN7CrmdABCQesmXrv8Omsq4ZWiinWbw?e=BKLhF6&wdLOR=c92274026-144F-4A98-A38C-FF4C23E50270>

facilitation skills for the selected methods and techniques. Data collectors should also be trained on data collection ethics, including safeguarding, and maintaining confidentiality, as well as obtaining informed consent in line with CRS guidelines. It is useful to incorporate role-plays and simulations in data collector training to make sure they have mastered the tools and techniques. If ICT4D tools will be used, additional training on the technology and device management is likely needed.

## Collect data


The steps for collecting data will follow the specific details and methods you have selected. Some key tips include:

- **Engage local team members in data collection as much as possible.** When they are involved, they will have an ownership stake in the data and absorb learning more deeply, which will enhance their ability to apply the findings at implementation. They will develop skills that will help in implementation, or future projects, furthering CRS' localization aims. Plan time and resources for any needed capacity building.
- **Collect only data that answers your questions.** Keep focused on your questions and your planned analysis to avoid gathering information that will not be used. Engage with stakeholders to ensure you are asking the right questions.
- **Build in data quality review at each step of the process.** The interviewer checks the data while still in the presence of the participants. A second person checks before the team leaves the location, etc. Follow the data management plan to limit the risk of losing data.


## Step 7: Analyze findings

Following data collection, organize and analyze your data, drawing on your theory and formative inquiry questions. You should seek to identify themes, common trends, or patterns in the data. You will delve deeper into and apply this data in the CREATE Phase. We recommend using the BUILD Phase Template at the end of the chapter to synthesize key learning that emerges. Guidance on the specifics of how to conduct data analysis can be found in the resources noted at the end of this chapter as well as a variety of other research and MEAL resources. Summarize your objectives, questions, methods, data sources and key findings in a narrative document and/or slide format. Refer to the additional resources section for an example of a summary document.

- **Engage local (field, partner) staff in data analysis as much as possible.** As noted above, engaging local team members in analysis and interpretation of data increases ownership and the likelihood of the learning being applied to their work. In addition, their 'insider' perspective can provide a reality check on data reliability (but can also risk bias).



Supervision and data checks are essential for high quality formative inquiry outcomes.



Analysis should include local team members for a reality check from the "inside."



- **Use templates to organize your findings.** Thinking ahead to how you will use the data can help maximize efficiency. The BUILD Phase Template at the end of the Chapter can help you.
- **Draw on theory and your inquiry questions.** Your theory and inquiry questions should guide how you organize and interpret the data. Analysis can be just descriptive, or it can aim to explain as well.
- **Code qualitative data.** Coding qualitative data helps you collect/organize data around themes. Coding itself is not analysis, but it is part of your analysis process. Once data is coded, then you can interpret the patterns, summarize, compare and contrast responses of different populations (men and women, youth and elders, etc.), or look for relationships.

### Tips for coding qualitative data

Review the transcripts from your focus group discussions, interviews, or other qualitative data. For each idea (a sentence or paragraph) assign a code, typically linked to a determinant. For example, for the quote “I don’t go to the prenatal clinic because it is far away and the transport is expensive,” you would apply the code “access.” For the quote “My father wouldn’t approve of wasting time on mulching,” you would apply the code “social norm.” Draw code ideas from the theory you selected, or look for common determinants:

- Self-efficacy/skills
- Social norms
- Perceived positive consequences (benefits)
- Perceived negative consequences.
- Access
- Motivators

Group quotes with a common code together, and select a few (about 10-20%) that best exemplify the thoughts shared for that theme, to include in your report. For additional guidance or support, consult with a technical advisor.

- **For quantitative (survey) data, look at the behaviors by different ‘levels’ of the key determinants and population characteristics.** KAP surveys should measure the prevalence of your priority behaviors (dependent variables). They should also measure prioritized behavioral determinants and other characteristics of the population surveyed (independent variables). Calculate the percentage of the priority group that practices the behavior (or dependent variable) by different levels of the behavioral determinants and by other characteristics (or independent variables).

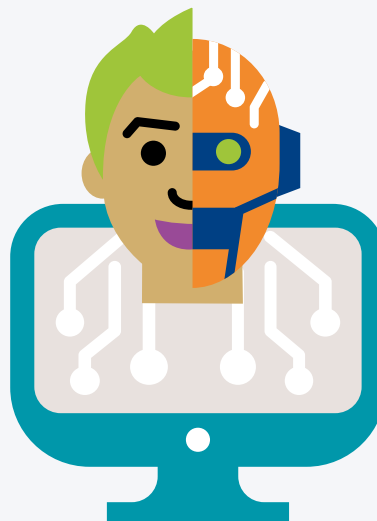
For example, if your behavior of interest is exclusive breastfeeding (dependent variable), look at the percentage of the population that exclusively breastfeeds by characteristics like where they work (inside the home vs. outside of the home) and/or behavioral determinants like perceived partner support for exclusive breastfeeding (independent variables). You can compare the percentage of target mothers who report partner support for breastfeeding and who exclusively breastfeed vs. the percentage of target mothers who report NO partner support for breastfeeding and who exclusively breastfeed).

If there is no significant difference in the percentage of the population who practice the behavior across the different levels of the independent variables, then it is possible the specific determinants are not critical to uptake of the behavior.

- **Use your brain.** Computers can help code and organize data, and can even do quantitative data analysis, but a lot of analysis, interpreting findings and applying results happens in the human brain.
- **Share preliminary analysis** with communities and other key stakeholders. It is empowering for participants to understand how their inputs were used.

### Use your brain

**Computer programs help, but nothing can replace analysis and interpretation done by the human brain.**



## Example of Steps 5-7 in Action

|                                    |  |   |
|------------------------------------|--|---|
| Type of project:                   | Large, multisector, multiyear project in Ethiopia.   | Small, two sector, 9-month project in Somalia.  |
| Formative inquiry objectives:      | For each of 17 priority behaviors: <ul style="list-style-type: none"> <li>• Identify and profile audiences.</li> <li>• Identify main motivators and barriers.</li> <li>• Propose approaches and communication channels.</li> </ul>   | Explore determinants of handwashing to strengthen implementation design.  |
| Methods used:                      | <ul style="list-style-type: none"> <li>• Desk review.</li> <li>• Barrier analysis (360 participants).</li> <li>• In-depth interviews (18 participants).</li> <li>• Focus group discussions. (69 groups).</li> <li>• Observation (10).</li> <li>• Key informant interviews.</li> <li>• (54 respondents).</li> </ul> | Wash'Em approach, including: <ul style="list-style-type: none"> <li>• Observation of handwashing practice (12 observations).</li> <li>• Focus group discussions on motivation (4 groups), disease perceptions (4 groups) and touchpoints (4 groups).</li> <li>• Individual interviews (10 respondents).</li> </ul>    |
| Techniques incorporated:           | Daily activity calendars.  | Props (Card sort/ranking).  |
| Human resources:                   | <ul style="list-style-type: none"> <li>• Full time project SBC advisor.</li> <li>• Punctual support from MEAL advisor.</li> <li>• Reviews by Senior and Regional Technical Advisors.</li> <li>• Periodic input from project technical sector leads.</li> <li>• Consultancy firm.</li> </ul>                        | <ul style="list-style-type: none"> <li>• WASH Manager.</li> <li>• WASH Officer.</li> <li>• Hygiene promoters (4).</li> <li>• WASH Regional Technical Advisor.</li> </ul>  |
| Timeline:                          | <p>About 6 months after consultants were onboard:</p> <ul style="list-style-type: none"> <li>• 1-2 months for planning including tool development and donor approval of the study terms;</li> <li>• 2-3 months for data collection and analysis;</li> <li>• 1-2 months to finalize report.</li> </ul>              | <p>About 2 weeks:</p> <ul style="list-style-type: none"> <li>• 2 days for planning.</li> <li>• 2 days for training.</li> <li>• 3 days for data collection.</li> <li>• 2 days for analysis.</li> </ul>   |
| Total budget:                      | About \$50K for the consultants.   | \$4,000 for Technical Advisor support.  |
| Advice to other, similar projects: | <p>The project included other assessments (gender analysis, youth context analysis, livelihoods assessment, dietary diversity study, etc.) which also contributed valuable information to the audience and behavior profiles.</p> <p>Thoughtful planning across studies can maximize synergy and value.</p>        | <p>WASH'EM formed the basis of in-depth community engagement and provided information beyond handwashing, to address other WASH aspects. The personal history tool and touchpoint tool can be used to gather information and personal histories and channels of communication to be used in projects beyond WASH.</p> |



Marcelle Mbikayi waters a bed of lettuce plants in the Democratic Republic of the Congo. [Photo by Michael Castofas for CRS]

## Additional Resources

- ▶ Compass. N.d. How to Conduct Qualitative Formative Research. <https://thecompassforsbc.org/how-to-guide/how-conduct-qualitative-formative-research> *A short, simple how-to guide for interviews and focus group discussions.*
- ▶ CRS. 2020. Trials of Improved Practices for Nutrition Behaviors: A Summary of Budikadidi's Post-Midterm Formative Research. <https://crsorg.sharepoint.com/:b:/r/sites/SBC/SBC%20Document%20Library/Budikadidi%20TIPS%20findings.pdf?csf=1&web=1&e=8vFVqx> *This is an example of a short formative research summary. (Note that this document also summarizes action items from the formative inquiry which is not necessary at the BUILD stage).*
- ▶ CRS. N.d. [Ethical and safety guidelines](#). *More information about research with human subjects, informed consent and when institutional review board approval is needed.*
- ▶ CRS. N.d. MEAL Policies and Procedures. [Policy 9: Responsible Data](#). *Contains more information on obtaining informed consent.*
- ▶ Hagens, C., Morel, D., Causton, A. & Way, C. 2012. CRS Guidance on Monitoring and Evaluation. <https://www.crs.org/sites/default/files/tools-research/guidance-on-monitoring-and-evaluation.pdf?ga=2.7304370.1898293293.1678741236-648191800.1667933740> *This manual offers additional guidance on how to plan high quality data collection and analysis exercises within CRS.*
- ▶ FHI. 2005. Qualitative Research Methods: A Data Collector's Field guide. <https://www.fhi360.org/resource/qualitative-research-methods-data-collectors-field-guide> *This guide provides a general orientation for qualitative methods and specific guidance on participant observation, in-depth interviews and focus group discussions. There is good content on question formulation.*
- ▶ Freudenberger, K. N.d. Rapid Rural Appraisal and Participatory Rural Appraisal: A manual for CRS field workers and partners. <https://www.crs.org/our-work-overseas/research-publications/rapid-rural-appraisal-and-participatory-rural-appraisal> *This manual provides a strong overview of the value of incorporating participants in the research, describes the rapid rural appraisal method in depth, and includes descriptions of several research techniques.*
- ▶ Marcias, Y.V., Glasauer, P. 2014. Guidelines for Assessing Nutrition-Related Knowledge, Attitudes and Practices. Food and Agriculture Organization of the United Nations. <https://www.fao.org/3/i3545e/i3545e.pdf> *Provides a comprehensive but accessible overview of KAP surveys, with a focus on infant and young child feeding behaviors. Includes sample questionnaires that can be used as a starting point.*
- ▶ World Bank. N.d. Enumerator Training. [https://dimewiki.worldbank.org/Enumerator\\_Training](https://dimewiki.worldbank.org/Enumerator_Training) *Provides brief guidance on enumerator training, with a focus on surveys.*



## BUILD Phase Checklist

| RECOMMENDED PRACTICE |   | Y | N |
|----------------------|---|---|---|
| 1                    | Secondary sources and information from assessments done during project design were reviewed before designing <b>formative inquiry</b> .             |   |   |
| 2                    | Objectives were selected to meet knowledge gaps.  |   |   |
| 3                    | The inquiry design (objectives and questions and tools) was guided by an appropriate behavior change theory.  |   |   |
| 4                    | At the end of the inquiry, the project team will have necessary information about <b>priority groups</b> .  |   |   |
| 5                    | At the end of the inquiry, the project team will have necessary information about <b>determinants</b> for priority behaviors.                       |   |   |
| 6                    | At the end of the inquiry, the project team will have necessary information about what is feasible in the context.                                  |   |   |
| 7                    | Selected methods are appropriate to answer the question(s).   |   |   |
| 8                    | Multiple methods are planned (triangulation).   |   |   |
| 9                    | The formative inquiry design emphasizes quality of data and analysis over quantity.   |   |   |
| 10                   | A data analysis plan informed the design of data collection tools.  |   |   |
| 11                   | Data collection tools gather only information that responds to questions.   |   |   |
| 12                   | Data collection tools were pre-tested before use.   |   |   |
| 13                   | Data collectors were trained on data collection tools.  |   |   |
| 14                   | Data collectors were trained on ethics, informed consent and confidentiality.   |   |   |
| 15                   | The data collection plan includes an early quality check and a “pause and reflect” break, to confirm useful and actionable data is being collected. |   |   |
| 16                   | Participatory analysis was carried out.   |   |   |
| 17                   | A formative inquiry report summarizes key learning.   |   |   |



## BUILD Phase Template: Formative Inquiry Summary

**PURPOSE:** Use this tool to summarize key findings from the formative inquiry report in a digestible format for strategy creation.

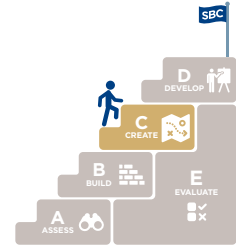
**INSTRUCTIONS:** Follow the example template shown below to complete your own outline. The information in the dark blue box structures the information you need to collect. The same outline is [provided here](#), with blank spaces for you to provide your own information.

| <b>BEHAVIOR 1:</b><br>List the first behavior explored   | Farmers use improved seeds.  |   |
|--|--|---|
| <b>PRIORITY GROUP:</b><br>Name the priority / influencing group identified for this behavior   | Farmers (60% women, average land size 0.5Ha).  |   |
| KEY FINDINGS/ANALYSIS ABOUT THE PRIORITY GROUP PROFILE   | KEY FINDINGS/ANALYSIS ABOUT BEHAVIORAL DETERMINANTS  | KEY FINDINGS/ANALYSIS ABOUT FEASIBILITY   |
| <ul style="list-style-type: none"> <li>• Female farmers are most motivated by having enough income to pay for school fees/uniforms for their children.</li> <li>• Male farmers are motivated by being successful providers for their family.</li> <li>• Female farmers farm smaller plots, close to home. Male farmers farm slightly larger plots that are a bit further from home.</li> <li>• Except in cases of female-headed households, men typically travel to the market and make seed purchase decisions, even for their wife's plot.</li> <li>• Production from men's plots is dedicated to household consumption needs.</li> <li>• 80% men have access to radio, with typical listening hours 2-4 pm.</li> <li>• 20% women have access to radio with typical listening hours 10-12 pm Sundays.</li> </ul> | <p>The most important behavior determinants emerged as:</p> <p><b>Action efficacy:</b> most farmers do not believe that investing in the cost of improved seeds is worth the money. They are concerned about the risk of investing money in seeds and facing poor harvest due to drought or other climatic condition/failure.</p> <p><b>Self-efficacy:</b> most farmers are afraid that they cannot identify improved seeds and that storekeepers will swindle them by charging them for improved seed and selling them un-improved varieties.</p> | <p>Data from the local research center indicates that the most successful improved maize varieties are MRF540 and PHY7642, yielding 65% more than local unimproved varieties.</p> <p>28% of farmers are willing to pay \$2.52 or more per Kg of seed. 47% of farmers are willing to pay between \$1.75 and \$2.52.</p> <p>Farmers responded positively to the tested "improved seed" package logo. However, bagging seeds in these packages would add an additional \$0.15 to the purchase price of seed.</p> <p>Differentiated approaches likely needed for male vs. female farmers.</p> |



After Daralsalam Yahya received nutrition training, seeds, tools, and farming techniques training, she has been able to feed her children three times a day. [Photo by Carlos Barrio for CRS]





## 7

## C = CREATE



## Why and when to use this chapter

This chapter provides detailed guidance to support SBC Strategy development (the CREATE Phase). The CREATE Phase typically occurs *early in the project implementation cycle* (after **formative inquiry** findings are available).



## What's included in this chapter

- [Step 8](#): Profile **priority groups**.
- [Step 9](#): Refine **behaviors/norms**.
- [Step 10](#): Write **change aims**.
- [Step 11](#): Choose **activities** and **engagement tactics**.
- [Step 12](#): Review MEAL for SBC.
- [CREATE Phase Checklist](#)
- [CREATE Phase Template](#): SBC Strategy Worksheets.
- [Annex 7.1](#) Priority Group Profile Template.
- [Annex 7.2](#) SBC Strategy Alternative Format: **Creative Brief**.
- [Annex 7.3](#) Behavior refinement worksheet.



## Key points

An SBC strategy describes *what* are the priority behaviors to change, *who* you will reach, *which* determinants are most relevant, *which* activities will drive change and *how* you will measure success. It will serve as a guide throughout implementation.

The SBC strategy should be built on learning from the formative inquiry.

- A participatory strategy development process helps ensure the strategy will be applied.
- Priority group profiles organize rich information about who you need to reach.
- Refining behaviors will let your project focus on the greatest opportunities for change.
- Change aims articulate the priority determinants to be addressed by the project.
- Select indicators that measure behavior change, as well as changes in determinants, and measures of implementation quality (reach, recall, understanding, etc).



The CREATE Phase typically occurs early in the project.



An SBC Strategy is a roadmap that gives direction for the project.

## Overview of the CREATE Phase

During the CREATE Phase, you will apply what you learned during your formative inquiry to design an SBC strategy for the project. The strategy is typically a written plan (narrative or PowerPoint) that describes how your project will reach its social and behavior change aims, based on your project goals, context and formative inquiry findings. It will clarify what changes you are hoping to see; describe how you will make the behaviors more desirable and feasible to practice and maintain, by explaining your activities and how they address **key behavioral determinants** for the target group. Your strategy should describe:

- What priority behavior or norms changes are needed to achieve the project goal?
- Who are the priority groups involved in those behaviors or norms?
- What factors support (enable) behavior or norms change?
- What are the main **barriers** to practicing those behaviors or adopting those norms?
- What activities are implemented by the project to achieve its behavior or norms change aims?
- What indicators will tell us how well the project is bringing about the desired changes?

The project team will use the strategy as a guide throughout implementation. It can be adjusted over time based on experience and learning. A sample template for the SBC strategy is provided at the end of this chapter as the CREATE Phase template. An alternative format is offered at [Annex 7.2](#). Use the template that works best for you throughout the CREATE Phase to incrementally build up your strategy.




Oumarou Boubakari (right) is a Peace Facilitator in Cameroon, working to foster peace and social cohesion among many displaced families. [Photo by Jennifer Lazuta for CRS]

During the CREATE Phase, you will carry out the following steps:

| CREATE  |   |
|--|---|
| <p><b>Step 8:</b><br/>Profile priority groups</p>  | <ul style="list-style-type: none"> <li>• Define group profiles.</li> <li>• Recommended: Segment groups.</li> <li>• Optional: Create personas.</li> </ul>  |
| <p><b>Step 9:</b><br/>Refine behaviors</p>   | <ul style="list-style-type: none"> <li>• Add details to behaviors.</li> <li>• Define measurable steps or sub-behaviors.</li> <li>• Prioritize based on impact and feasibility.</li> </ul>         |
| <p><b>Step 10:</b><br/>Write change aims</p>   | <ul style="list-style-type: none"> <li>• Define the measurable changes you want to see in specific determinants.</li> </ul>   |
| <p><b>Step 11:</b><br/>Choose activities and engagement tactics</p>                        | <ul style="list-style-type: none"> <li>• Map change aims to planned activities.</li> <li>• Identify gaps &amp; develop new activities.</li> <li>• Select effective engagement tactics.</li> </ul> |
| <p><b>Step 12:</b><br/>Review SBC indicators</p>   | <ul style="list-style-type: none"> <li>• Revise indicators as needed to align with your SBC strategy.</li> </ul>  |

Co-creation and dialogue are foundations of success. It is recommended to allow for as much stakeholder participation as possible, including participants and priority groups as well as project staff, stakeholders from public, private and civil society sectors, government, donor and other partners, and consultants or technical experts!


 Look for opportunities to build stakeholder capacity in SBC and engage them in developing the SBC strategy.

Being engaged in data interpretation strengthens team members' grasp of the concepts that will be applied in program design and implementation. It is of little benefit to have an expensive consultant come in and write a brilliant SBC strategy that team members barely recognize. It is better to focus on the rigorous analysis and design process together, so team members become familiar with the strategy, understand what it specifies and why, and have a stake in implementing it as intended.

Look for ways to build stakeholder capacity in SBC concepts as you move through the process. Consider organizing a workshop to share some basics around SBC, present work to date and allow participants to process and respond to what they hear; then facilitate activities to collectively develop the elements of your SBC strategy. An SBC Strategy Workshop can be delivered over time as separate sessions or a one-time event. After you have completed and refined your SBC strategy, hold a dissemination workshop for staff and stakeholders to ensure they understand its content and will support quality implementation.

### **Step 8: Profile priority groups**

Apply formative inquiry findings to develop profiles of your priority group(s). Whatever methods you used in formative inquiry, you should have rich data that gives you a much better understanding of the key groups with whom the project will work. While projects often focus on promoting very specific behaviors or norms, the people we are trying to reach are not only thinking about our programmatic priorities. Rather, their lives are complex and they have multiple concerns and pressures that will influence their ability to adopt change. We must consider their lives in their entirety if we want to understand and influence them.

 Priority Group Analysis is the process of creating a detailed profile of each relevant group.

From your formative inquiry findings, you will create a **Priority Group Analysis** (sometimes referred to as "Audience Analysis" in communication focused work). Priority Group Analysis is the process of creating a detailed profile of each relevant group that will allow you to tailor interventions and messages to engage these groups effectively by understanding them as people. Priority Group Analysis involves interpreting data to understand the priority groups. It considers socio-economic, psychographic, and demographic characteristics as well as behavioral determinants. See [Annex 7.1](#) for a template that can be used to assist with Priority Group Analysis.

Priority Group Analysis should be done for each behavior (or norm), with a focus on the **primary group**. In addition to detailed descriptions of the primary group(s), you may wish to complete the template for the most important **secondary** or 'influencing' groups that your formative inquiry identified as important for the behavior.



### Definition

As you conduct your Priority Group Analysis, it is recommended to explore **segmentation**. Segmentation is the process of subdividing priority groups (including primary groups and influencing groups) into discrete units with specific, shared characteristics relevant to the behavior. Each subgroup is called a segment. Segmentation allows you to deliver target approaches to different subgroups based on the specific needs and characteristics of that group. Segmentation helps ensure that activities and messages will reach people effectively.

Defining characteristics of sub-groups that could require a different approach or message will depend on your project but could include:



Gender.



Age. (For example, youth projects often segment very young adolescents (10-14), adolescents (15-19) and youth (20-24), recognizing that their needs are different).



Livelihoods strategy (farmers, herders, fishers, etc.).



Community type (Sedentary, semi-nomadic, nomadic).



Livelihood stage (recover, build, grow or rebound on the CRS Pathway to Prosperity).



Religion.



Life stage (first time parent, experienced parent).



Stage of change.



Residence (urban, rural, peri-urban).







Language, culture or ethnic group.

“Segmentation is saying something to somebody instead of saying nothing to everybody.”

— JAY CONRAD LEVINSON

Activities and messages will ultimately be tailored to the unique attributes of each segment/group. For example, while both farmers and herders need to adopt practices that support natural resource management, the specific behaviors for each group might be different. Similarly, people from different cultures or ethnic groups often have different worldviews and taboos which may be relevant to how we reach them or the content of interventions. Good segmentation means tailoring approaches and content to their unique needs, not just translating materials. Table 14, below, provides an example of how group segmentation led to the selection of slightly different interventions to address gender norms.

**Table 14. Example of Simple Group Segmentation**

| PRIORITY GROUP  | MARRIED COUPLES  |  |   |
|---|--|--|---|
| <br><b>Segment</b>               | Christian Couples (about 60%).                                   | Muslim Couples (about 10%).                                      | Other couples (about 20%).  |
| <br><b>Routine</b>              | Regularly attend a Christian Church.                             | Man regularly attends Friday prayers.                            | May not regularly attend major religious services.  |
| <br><b>Key influencers</b>     | Church leaders.  | Imams.   | Community leaders.  |
| <br><b>Selected activities</b> | The Faithful House (includes verses and imagery from the bible). | Islamic Family Life (includes verse and imagery from the Quran). | Interpersonal communication and community engagement activities led by local gender volunteers, drawing on cultural values. |

Note that in general, you do not want to focus on more than three segments per group and behavior. This is because you will have to develop change aims, messages and strategies for each segment, and there is simply no way to “do it all” for everyone and be effective. Accordingly, if you have identified more than three segments, consider prioritizing two or three segments that will give you maximum impact.

**A Persona is a written description of a typical member of a priority group segment.**



An optional part of Priority Group Analysis is creating **Personas**. A Persona (sometimes called an audience profile or archetype) is a written description of a typical member of a priority group segment. It is a composite of a group's members, not describing an actual person, but capturing common traits. It uses vivid language to describe as many significant features of the key group as possible, so that a reader gets a detailed picture of the lives people in that group lead, and the contexts in which they live.

Key elements to include are demographic and geographical characteristics, descriptions of social relationships, values, **knowledge**, habits; drawing on the range of **behavior determinants** you investigated, including practical features as well as social and ideational factors.

The downside of such profiles is that they do not capture diversity in the group described. The danger is that we forget the profile is a generalization. The profile reads like a warm introduction to a real person and can help project team members envision real-life details they may confront in their work, but we must remember that many people from the same group will not share the attributes described.

### **Step 9: Refine behaviors/norms**

In [Step 2](#) of the SBC process, you defined behaviors (or norms) you wanted to change, based on project goals and review of global evidence for expected impact. Now, that you have additional information you will *refine*, or make more specific, the behaviors or norms you plan to work on. Refining means

1. Adding details to your behavior (or norm) statements.
2. Identifying any necessary steps or sub-behaviors.
3. Prioritizing to maximize impact and feasibility in the context.

#### **Add details**

Each **behavior statement** should focus on a single behavior and specify who needs to practice the behavior. Use an active verb in present tense and list all specifics, such as the quantity, frequency and duration. The more specific you can be, the better. If you are too general, people may not know what is asked of them. Research suggests most people appreciate a clear, specific path forward (Heath & Heath, 2010).

As was mentioned in [Step 2](#), the behaviors or norms identified at proposal stage may have been quite general, such as “farmers adopt climate smart practices” or “caregivers practice improved child feeding behaviors.” If this was the case, your formative inquiry should have been designed to help you determine which specific practices would be most feasible in the context.

As a result, a general behavior such “Farmers adopt climate smart practices” may become “farmers apply mulch to improve soil water retention” and “farmers intercrop legumes with maize” based on the findings from your

formative inquiry. Similarly, “caregivers practice improved child feeding behaviors” might be refined to focus on the most significant child feeding opportunities within the context, such as “caregivers feed children 6-23 months of age at least three times a day” and “caregivers feed children recovering from illness extra food for two weeks.”

### How to Write a Behavior Statement

The priority group (**who**) +

A verb about what we want them to do (**what**) +

**Action details** such as time, quantity, etc.

#### Examples:

- Pregnant women (who) sleep under a mosquito net (what) every night (details).
- Youth aged 18-24 (who) access credit (what) to ease consumption and for investment (details).
- Sheep herders (who) provide extra feed (what) to ewes during the last three weeks of pregnancy (details).



#### Tip!

**Make sure each behavior statement links directly to the project objective by focusing on what you want people to do, not how they will achieve it.**

Example 1: Although a WASH project may plan to introduce tippy taps to promote handwashing, the behavior statement would still focus on handwashing as the behavior. For example, “Mothers of children under 5 years wash their hands with soap at each of the following five critical moments: after using the toilet, after changing a diaper, before preparing food, before serving food, and before eating,” rather than on the construction of tippy taps. Constructing a tippy tap is how the project might address the behavior determinant of access, but it does not directly link to the project objective: a family can construct a tippy tap but not wash their hands.

Example 2: Similarly, a nutrition project would define a statement such as “Women aged 15-40 years consume at least one serving of vegetables each day,” and not “Women aged 15-40 years grow vegetables in keyhole gardens.” This is because consuming vegetables is the ultimate aim that impacts nutrition. Growing vegetables in a keyhole garden may be one part of achieving the aim, but it may not be sufficient - perhaps there are cultural taboos on women eating vegetables, perhaps the cash value of vegetables is greater than the perceived value of eating them, etc.

Figure 19. How to Write a Behavior Statement




*Special case – addressing social norms.* The formulation of norms objectives may be slightly different from behaviors. Imagine you want to reduce stigma towards caregivers of children with disabilities. Through your formative inquiry, you found that there was a perception by caregivers of children with disabilities that the prevailing (majority) sentiment felt by the community was that families with a disabled child should be outcast, but this was not in sync with reality. That is, the community overall was supportive of these caregivers and expressed that they would give tangible support if they had the opportunity. In this case, although the **primary group** is the eventual “recipient” of the norm activity, the **secondary groups** (supportive and influencing) would be the focus of the activity, i.e., they would demonstrate support for caregivers, to change the perception (the reality experienced by the caregivers). The behavior/norm statement for the supporting actor might be, “Participant heads of household demonstrate support for caregivers of children with disabilities in their community,” and the influencing group might say, “Participant community leaders demonstrate support for caregivers of children with disabilities.”

Note that we are narrowing the focus group to *participant* households and communities—just like behaviors, we cannot expect to influence social norms for groups outside the radius of the intervention, although there might be some outside reach if there is a national or regional media campaign attached. The reality is that social norms take can years if not decades to change, but within tight knit groups, change is feasible.

### Break down into steps or sub-behaviors

Next, consider if there are different steps, or **sub-behaviors** that may be needed for the priority group to be able to do the behavior, including actions of other people. Sub-behaviors are the more specific steps or components that may be necessary to achieve a more complex behavior. This is where you can specify how people might achieve the behavior you defined. For example, a nutrition project may have defined a behavior as: “mothers exclusively breastfeed the child for the first six months.” This is a behavior, but it also requires many steps or behaviors. To achieve this behavior, a mother must breastfeed her child on demand, day and night. She must not give water or other foods. Other family remembers cannot give water or other foods. These three steps represent possible sub-behaviors.

Similarly, an agriculture project may have chosen “maize farmers intercrop beans with maize.” This requires farmers to, among other things, purchase or source beans, prepare their fields for intercropping, and plant their fields. In many cases, you will achieve greater change by focusing on changing the most critical sub-behavior rather than the general behavior; this is because a sub-behavior is often more clear and actionable, and allows your efforts to be targeted to the most important factors blocking the behavior.



**Sub-behaviors are the more specific steps or components that may be necessary to achieve a more complex behavior.**

## Prioritize

As you work through the refinement process, remember to prioritize. You might be tempted to address all the opportunities you found in formative inquiry, but this would be a mistake. Remember our definition said Social and Behavior Change is *strategic*? Being strategic means focusing on *priorities*. We often have to fight the urge to do too much, and make informed decisions about what to focus on and what to leave. Prioritizing usually means doing less, but with greater quality. Strategic design is what translates data and analysis into achievement of program objectives through effective implementation.

Your project is more likely to be successful and have impact if you request participants to only remember (and do) a few new things at a time. For each priority group or segment, aim to target not more than 2-4 (sub) behaviors or norms at the beginning of your project, or not more than 10 behaviors for the whole project. Later, as you learn and show results, you can add (sub) behaviors or norms, particularly if it is a long, complex project.

### Remember, less is more!

**It is hard for people to change their behavior. We should not ask participants to tackle many changes at once!**

To prioritize possible refinements, you will use a similar process as in [Step 2](#) to prioritize the initial behaviors and norms. Once behaviors or norms are as specific as possible, project teams should draw on formative inquiry findings to analyze a range of possible options, together with partners and community members, and rate their impact and feasibility, balancing expert experience with community priorities and ideas.

A simple way of doing this is with an impact/feasibility matrix (see [Annex 5.1](#)), which can be used to help prioritize behavior or refine norms (select among possible climate smart agriculture practices), or sub-behaviors (a mother breastfeeding on demand, other caregivers not giving infants food while the mother is away). Projects who want a more robust process may prefer the behavior refinement worksheet (see [Annex 7.3](#)).

Both tools start by ranking possible options in terms of which can have the highest impact. Your assessment of impact will often be based on your technical expertise, the evidence base, as well as data about how many people already practice the behavior (if most people already do it, you will have less impact by working on it compared to something few people already do).

### Tip for Selecting Feasible Behaviors: “Make it EAST”

**E**asy

**A**tttractive

**S**ocially acceptable

**T**imely

Next, both tools guide you to consider how easy or hard it is for the priority groups to adopt these practices or norms, using the information from the formative inquiry findings. As you carry out the feasibility ranking, be mindful that it should always be the perspective of the priority group that defines whether a behavior is easy or hard. You might think handwashing is easy, but the formative inquiry might show that the **priority group** finds it difficult because the water point is far from their house and they lack good means to transport and store sufficient water. Generally, the following factors can make new behaviors more difficult to adopt:

- Requires repeated or frequent action (vs. one time).
- Requires complex skills.
- Entails multiple steps.
- Positive results of behavior are delayed (vs. immediate).
- High cost (in time or money).
- Goes against social norms (vs. conforming).
- Necessary resources are seldom available (high-tech tools require electricity).
- Requires many people (vs. a solitary action).
- Current behavior is practiced habitually (frequently, in same situation, without conscious decisions).



#### Start here!

The most impactful and feasible options will be at the top right quadrant of the [impact/feasibility matrix](#), or in [Box 11](#) of the behavior refinement worksheet. Start here!

Special case: If you assess a behavior to be very impactful, but not very feasible, and your team feels it is critical to work toward it, consider what

might be potential intermediary action steps that participants can take.

**Small Doable Actions** are small steps towards the ideal behavior or ‘next best actions’ that people feel confident they can take (considered feasible by the priority group), and which, when practiced consistently and correctly, will contribute to project objectives. Although the behavior may not be an “ideal practice,” more households likely will adopt it because it is considered feasible in light of the current practice, the available resources, and the particular social context.

For example, if your formative inquiry indicates a high degree of difficulty in adopting the ideal behavior “washing hands with soap and running water at five critical times,” you can promote an initial small doable action such as “washing hands with soap and running water before eating.” This is not the ideal behavior, but it will reduce diarrheal disease, and it may be more feasible. Small doable actions allow participants to build from small successes; once people see gains from handwashing before eating, they may be more willing to adopt handwashing at a second or third critical time.

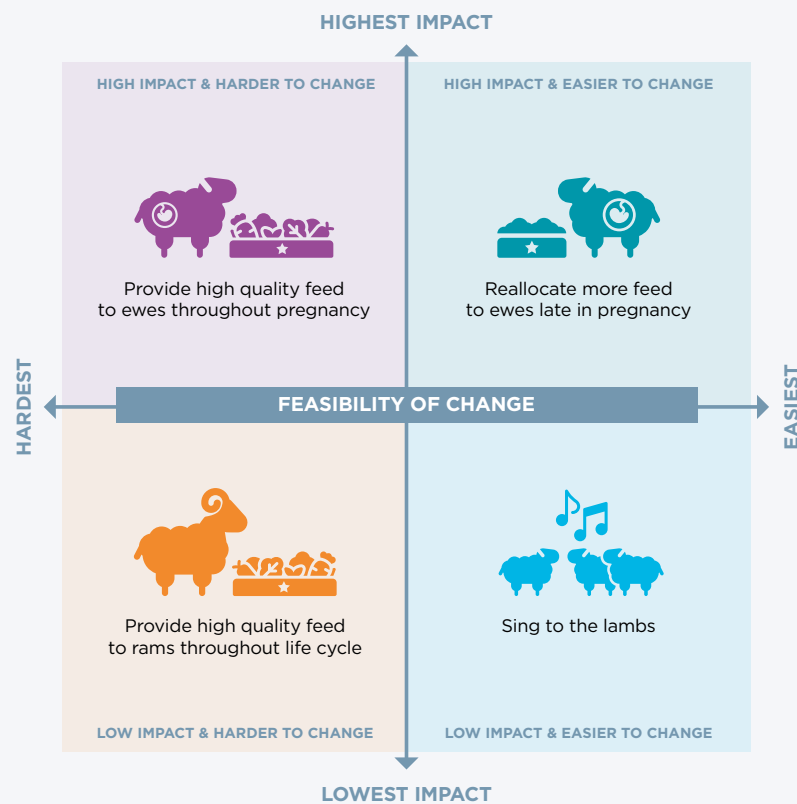


Bai Koroma presents flash cards showing how to prevent and treat malaria, in Sierra Leone.  
[Photo by Michael Duff for CRS]

### Example of Behavior Refinement in Action

CRS agriculture projects identify (sub)behaviors appropriate for their poor, vulnerable, risk averse participants by refining behaviors to focus on those that offer:

- **Maximum impact** (Practices expected to contribute to a 30% or more increase in productivity.)
- **Maximum feasibility** (Practices that are immediately relevant to people's concerns, are simple, low-cost, and low-risk to perform.)



- One project found that for increasing survival of lambs, reallocating the expensive but high-quality feed to ewes late in pregnancy was a practice that was easy to do and would significantly increase size and health of lambs (as opposed to the unaffordable practice of giving highest quality feed throughout their lives). The grid above shows how the project classified possible refinements to help select those that are both high impact and easy to do. The project promoted behaviors in the high impact and easy quadrant and avoided promoting those in other quadrants.

[Table 15](#), next page, provides examples of how behaviors might be refined and prioritized to the needs of each segment.

Table 15. Examples of How to Refine Behaviors

| SECTOR         | GENERAL BEHAVIOR                        | PRIORITY GROUP              | SEGMENT   | REFINED (SPECIFIC) BEHAVIOR   |
|----------------|---|-----------------------------|---|---|
| Agriculture    | Adopt improved production techniques.   | Smallholder farmers.        | Female farmers, engaged in vegetable production.          | (1) Mulch gardens for moisture retention.<br>(2) Purchase improved seeds from local vendors.  |
|                |   |                             | Male farmers, engaged in maize production.                | (1) Intercrop beans with maize.<br>(2) Conduct two cycles of weeding.   |
|                |   |                             | Male and female farmers who raise chickens.               | (1) Provide separate feed for chicks.<br>(2) Offer shelter from the sun.  |
| Livelihoods    | Engage in income generating activities. | Young Adults.               | Unmarried men 18-24, provide casual labor.                | (1) Attend vocational training to build job skills.   |
|                |   |                             | Married men 18-24, work in agriculture.                   | (1) Make planting decisions based on market factors.<br>(2) Engage in collective marketing of goods for sale.                                     |
|                |   |                             | Married women 18-24, engaged in petty trade.              | (1) Participate in SILC.<br>(2) Expand and diversify their petty trade activities with SILC loans or share-outs.                                  |
|                |   | Male partners.              | (1) Support their wives to take out SILC loans.           |   |
| Peace-building | Avoid violent conflict.                 | Conflict prone communities. | Majority and minority group elders, both male and female. | (1) Engage in dialogue to resolve differences.<br>(2) Serve as role models for peaceful dialogue.   |
|                |   |                             | Young men, involved in violent acts.                      | (1) Participate in sports and other bridging activities with other young men.<br>(2) Raise concerns to elders rather than escalating to violence. |

Table 15. Examples of How to Refine Behaviors

| SECTOR    | GENERAL BEHAVIOR                       | PRIORITY GROUP | SEGMENT   | REFINED (SPECIFIC) BEHAVIOR  |
|-----------|--|----------------|---|--|
| Health    | Adopt optimal breastfeeding practices. | Caregivers.    | Mothers of infants.   | (1) Do not provide any food or drink except breastmilk.<br>(2) Breastfeed on demand, at least 8 times per day.                 |
|           |  |                | Mothers of toddlers.  | (1) Provide breastmilk in addition to other foods.<br>(2) Breastfeed on demand.  |
|           |  |                | Secondary caregivers.   | (1) Do not provide any food or drink except breastmilk to infants.<br>(2) Help mothers with workload to support breastfeeding. |
|           |  | Husbands.      | Fathers of infants.   | (1) Reallocate household tasks so that mothers can breastfeed at least 8 times per day for at least 15 minutes.                |
| Education | Girls complete secondary school.       | Girls.         | Girls who live further than 3km from school, who feel unsafe walking. | (1) Always walk together in groups of four or more.  |
|           |  | Parents.       | Fathers of girls who do not provide funding.                          | (1) Provide fees for girls' education.   |
|           |  |                | Mothers of girls, who assign chores.                                  | (1) Share household chores equitably between girls and boys.   |

## Step 10: Write Change Aims



### Definition

Once your behaviors are refined (specific), you will write **change aims**. Change aims are short statements which articulate the **behavioral determinant** you seek to change and the direction of change. Note that some resources refer to behavior change aims as “bridges to activities.”

Your formative inquiry may have identified several behavioral determinants for each behavior, but your analysis should identify the ones that are most important to your priority group. Look for the behavioral determinants (barriers and **enabling factors**) that are mentioned most frequently, are cited as most important, and which seem feasible to overcome (in the case of barriers) or build on (in the case of enablers).

You will next ask “what should be done to address this issue?” The answer to that question is your behavior change aim. Recall that many determinants begin with “perceived,” meaning that often what needs to change is a perception. Table 16, below, builds on the examples from [Table 15](#), showing possible priority determinants and change aims for *one* of the refined behaviors mentioned above.

**Table 16. Identifying Change Aims**

| SECTOR      | REFINED (SPECIFIC) BEHAVIOR                                    | MOST IMPORTANT DETERMINANTS FROM FORMATIVE INQUIRY  | CHANGE AIMS   |
|-------------|--|---|---|
| Agriculture | Female vegetable farmers mulch gardens for moisture retention. | (Perceived <b>action efficacy</b> ). Farmers are not convinced that mulching will have much of an impact. | Increase the perception among farmers that mulching will dramatically reduce watering needs.  |
|             |  | (Perceived negative consequences). Farmers perceive mulching as labor intensive.                          | Increase the perception among farmers that time invested in mulching means less time spent watering.  |
| Livelihoods | Young men attend vocational training to build job skills.      | (Access). The cost of attending existing vocational training is high for young men.                       | Increase young men’s financial access to vocational training programs.  |
|             |  | (Perceived social norms). Young men believe it is expected that they earn income.                         | Increase young men’s perception that their peers and their elders support them in building skills through vocational training (even if it means delaying income earning potential). |



Table 16. Identifying Change Aims

| SECTOR         | REFINED (SPECIFIC) BEHAVIOR  | MOST IMPORTANT DETERMINANTS FROM FORMATIVE INQUIRY   | CHANGE AIMS   |
|----------------|--|--|---|
| Peace-building | Young men raise concerns to elders rather than escalating to violence. | (Emotion) Young men feel 'weak' if they do not strongly defend themselves and their clans.                   | Increase young men's feelings of strength and maturity from raising concerns with elders rather than escalating to violence.                    |
|                |  | (Motivator) Young men are troubled by injuries and deaths of their peers.                                    | Reinforce the perception among young men that injuries and deaths among their peers have a negative impact on themselves and their communities. |
| Health         | Mothers of infants breastfeed on demand, at least 8 times per day.     | (Self-efficacy). Women believe they are not able to produce enough milk to satisfy their child.              | Increase the perception among women that breastfeeding often will allow them to produce enough milk to satisfy their child.                     |
|                |  | (Access). Women do not have time to breastfeed at least 8 times per day.                                     | Increase the time women have available to dedicate to breastfeeding.  |
| Education      | Girls always walk to school together in groups of four or more.        | (Perceived vulnerability/ motivator). Girls feel vulnerable walking alone or in small groups.                | Reinforce the perception that larger groups of girls will reduce vulnerability to harassment.   |
|                |  | (Perceived negative consequences). Girls are afraid waiting for their friends may make them late for school. | Increase the perception among girls that they can walk in groups of four or more without being late to school.                                  |

*Special case - addressing norms objectives.* When working with norms objectives it is especially important to consider whether the change aim is for the **primary group**, a **supporting actor**, or an **influencing group**. For example, if you want to promote help-seeking in the case of domestic violence and your formative inquiry revealed that the primary group (women ages 18-35 in domestic partnership) wanted anonymity and safety in seeking guidance, your change aim might be: "Women feel like they are not alone and that seeking help is safe and supported by the community."

## Step 11: Choose Activities and Engagement Tactics

SBC is much more than just messages!



Now that you know what changes you want, you need to think about how you will reach people to spur that change. The purpose of SBC **activities** is to minimize the most salient barriers to practicing the key behaviors and to maximize the most helpful **enabling factors**. For each change aim, identify activities that can be used to influence your change aim. Then, select **engagement tactics** to be used within these activities. Take a moment to revisit the [Activity & Engagement Tactics Menu](#) after [Chapter 5](#) to remind yourself of possible activities and engagement tactics.

### Activities

You should make sure you have at least one activity that can realistically achieve each **change aim**. You also need to be sure activities *ALWAYS* link to **behavioral determinants** identified. For example, an activity to *improve knowledge* should not be selected to address an *access issue*. Using the template at the end of this chapter, or drafting a summary statement for each change aim, in the format below, can help you to ensure alignment between activities and change aims:

“To improve/influence \_\_\_\_\_ [behavior/norm] among \_\_\_\_\_ [priority group], for whom we have learned \_\_\_\_\_ and \_\_\_\_\_ are the most important behavioral determinants, we will promote \_\_\_\_\_ [change aim] by implementing these activities \_\_\_\_\_.”



Fabian Olupot (center) teaches students to roll out dough for chapatis, in Uganda.  
[Photo by Will Baxter for CRS]

### Examples of Linking Activities to Change Aims

- 1** To improve timely **uptake of emergency obstetric care** (behavior) by pregnant women in labor (priority group) for whom we learned that limited access to affordable transportation (access) is the important behavioral determinant, we will improve access to affordable transportation (change aim) by creating a motorcycle ambulance system in the community and working with midwives, traditional birth attendants and community leaders to ensure that women and their families know about the system (activities).
- 2** To improve **handwashing before eating** (behavior) by school children (priority group) for whom we learned that remembering to wash their hands (cue to action) is the most important behavioral determinant, we will develop cues to action (change aim) by prominently placing handwashing stations at the entry to the school yard where children eat, and painting handwashing reminders on the school cafeteria doors (activities).
- 3** To improve **feeding of protein foods to children** 6 to 23 months (behavior) by caregivers (priority group) for whom we have learned that perceived high costs and concerns about children choking (perceived negative consequences) are the most important behavioral determinants, we will increase the perception that protein foods are affordable (change aim 1) by creating pictorial 'menus' of food items that cost 200 francs (engagement tactic) and that can be used in SILC groups and mothers groups (activities). We will reduce concerns about choking (change aim 2) by inviting mothers to actively participate in cooking and feeding sample protein foods to their children (activity).
- 4** To increase **uptake of improved maize and bean seeds** (behavior) by farmers (priority group) for whom we have learned that concerns about high costs (action efficacy) and worries about their inability to identify improved vs. unimproved seeds from vendors (self-efficacy) are the most important behavioral determinants, we will increase the perception that improved seeds are worth the investment (change aim 1) by creating stories, games and demonstration plots (engagement tactics) to deliver through farmers groups (activity), and we will increase the perception that farmers can identify improved seeds (change aim 2) by showing sample packages (engagement tactic) at farmers groups (activity).

## Additional tips for selecting activities:

- DO take time to review your preliminary strategy selection from [Step 4](#) and identify already planned activities that would provide a good platform for influencing change.
- DO consider existing openings: the times, places and situations where the priority group will be most likely to act on the message.
- DO take time to identify ongoing efforts implemented by other stakeholders that already address your change aims, or could be leveraged to help support your change aims. Remember: your project is almost never the only ongoing effort!
- DO use a mix of different approaches targeting multiple levels (individuals, communities, enabling environment).
- DO NOT stick with an ineffective activity just because it is in your proposal. For example, you should not invest in radio programs if your formative inquiry showed your priority group segment does not have access to radio.
- DO explore opportunities to leverage activities across the project to reinforce social and behavior change aims. For example, if one of your project's priority behaviors is handwashing, you may be able to reinforce handwashing behaviors by integrating a handwashing activity at the start of every project activity, even those that are not WASH-related, like a SILC meeting or a farmer training session.
- DO make one good activity address as many of your change aims as possible. This saves money, time, staffing, and reduces complexity. Having fewer activities also makes it easier to implement from both the project and the community's perspective. For example, a couples-focused platform like The Faithful House which discusses intrahousehold decision making may also be a good platform to address decisions around resources available for child feeding, livelihood strategy choices, or other prioritized change aims, even from other behaviors or project sectors/teams.
- DO determine if it is needed and feasible to add activities if you identify a change aim for which you do not have a planned activity. For example, if the formative inquiry highlighted that fathers are a key influencer for HIV testing but you had planned to work through women's groups, you may need a new activity to reach men. Similarly, if you find that the main barrier to immunization is clinic hours but you had only planned community-facing activities, you may need to add an activity addressing the enabling environment.
- DO consider exposure intensity. Exposure intensity refers to both the multiplication of different communication channels/activities, as well as the sheer repetition of exposure to a message/idea. In general, the greater the intensity, the greater the impact. Research shows that SBC efforts designed to 'touch' people in multiple ways, through multiple contact points, get better outcomes.

**Look for ways to leverage different activities to reinforce the social and behavior change aims.**



### Example of Activity Selection

A project in Kenya sought to increase the number of families who provide additional calories to children in the two weeks after their illness (recuperative feeding). Their formative inquiry findings had revealed that the concept of needing to “catch-up” after illness was neither widely understood nor practiced. Parents had confidence in the advice of various care providers whom they consulted (facility providers, community volunteers and traditional), but these providers often did not provide guidance about recuperative feeding. Accordingly, the project team included an activity to improve counseling by these providers. They planned upfront and ongoing training for providers and SMS reminder messages to providers on counseling content and techniques. The project also identified that access to additional food would be a barrier for some families. Already planned nutrition-sensitive agriculture activities (such as farmer field schools and demonstration gardens) were identified as an activity to help overcome this barrier.



#### Definition

### Engagement tactics

As you consider your activities, you should also think about the **engagement tactics** you will use to spur change. Engagement tactics are tools – like storytelling and games – that can be embedded within a project activity (like Care Groups or radio messages) to engage the audience creatively.

Research shows that humans remember very little of what we *hear*, a bit more of what we *see*, and a lot of what we *do*. Simply telling people what they should do or why they should do it is only one way of communicating, and is often relatively ineffective (See [Figure 20](#)).

While you will likely include information in various trainings, counseling cards and the like, you should also consider how you can incorporate more sophisticated and effective approaches. Whatever activities you implement, *minimize lecturing!* Refer to the [Activity and Engagement Tactics Menu](#) after [Chapter 5](#), to guide you in your selection. [Table 17](#), next page, shows how activities and engagement tactics can be tailored to match the main barriers or change aim identified.

## Retention with Active Learning

### Average Student Learning Retention Rates

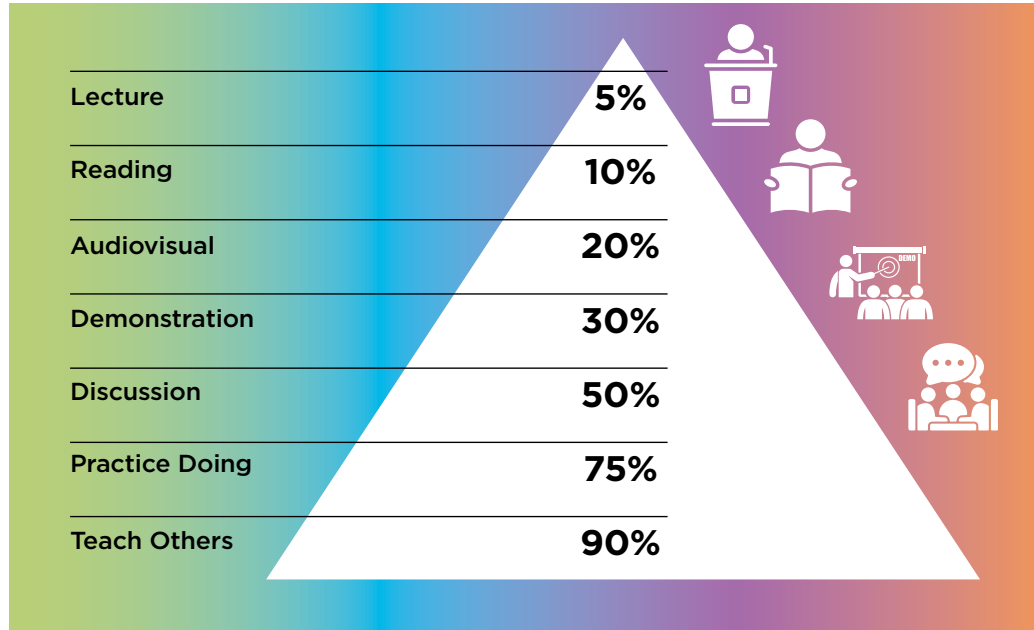









Figure 20. Retention With Active Learning

Table 17. Matching Engagement Tactics to Barriers

| MAIN BARRIER FOUND  | EXAMPLES OF ACTIVITIES / ENGAGEMENT TACTIC  |
|---|---|
|  <p>Skills</p>                     | <ul style="list-style-type: none"> <li>• Demonstrations, for example: cooking demonstrations.</li> <li>• Peer coaching.</li> <li>• How-to guides (for literate groups).</li> </ul>  |
|  <p>Social norms</p>               | <ul style="list-style-type: none"> <li>• Edutainment: show admired figures endorsing the behavior.</li> <li>• Community or Radio dramas: present the norm in a realistic, relatable format.</li> <li>• Facilitated discussions.</li> </ul>                |
|  <p>Forgetting / Cue to action</p> | <ul style="list-style-type: none"> <li>• Altering the physical environment: placing handwashing station outside latrine or at dining hall entrance, tying soap to tippy tap, etc.</li> <li>• SMS reminders.</li> <li>• Stickers / small media.</li> </ul> |

**Table 17. Matching Engagement Tactics to Barriers**

| MAIN BARRIER FOUND   | EXAMPLES OF ACTIVITIES / ENGAGEMENT TACTIC  |
|--|---|
|  <p>(Low) Perceived positive consequences</p> | <ul style="list-style-type: none"> <li>• Testimonies from “doers.”</li> <li>• Strengthen counseling services.</li> <li>• Advocacy to mandate the practice.</li> </ul> |
|  <p>Access</p>                                | <ul style="list-style-type: none"> <li>• Input subsidy or distribution.</li> <li>• Advocacy with government or private sector to improve access.</li> </ul>           |
|  <p>Motivation</p>                            | <ul style="list-style-type: none"> <li>• Games.</li> <li>• Edutainment approaches that make the behavior seem “fun.”</li> </ul>                                       |
|  <p>Self-efficacy</p>                        | <ul style="list-style-type: none"> <li>• Peer groups.</li> </ul>  |

## Step 12: Review MEAL for SBC

The MEAL system established during project design and start up (SMILER process) is likely to include some components of a strong SBC MEAL system. For example, behavior prevalence and reach are likely to be included in existing baseline data collection and routine monitoring plans. In contrast, where the formative inquiry was used to identify and prioritize behavioral determinants, or where new activities and strategies were identified, appropriate indicators may not be included in the existing MEAL system or baseline data. In these cases, some additional indicators may need to be added to the existing system, and additional data collection exercises may be needed to establish baseline values. Also, some questions may need to be added to future survey instruments to assess progress. Review the content in [Step 16](#) to help select indicators to include in your SBC strategy, and update your MEAL plan as needed.

## Additional Resources

- ▶ Schmied, P., Sarkar, A., & Jimerson, A. 2020. GIZ/AHN Academy Webinar: How to understand the barriers and motivators to behavior change. <https://www.ahn-academy.org/community/events/how-to-understand-the-barriers-and-motivators-to-behaviour-change> *This one and a half hour webinar gives practical examples on how to refine and prioritize behaviors.*
- ▶ Care. 2020. Social norms design checklist. <https://www.care.org/news-and-stories/resources/social-norms-design-checklist/> *This short guide provides useful suggestions and ideas for programs working on social and gender norms.*
- ▶ Compass for SBC. N.d. How to Guide: How to do audience segmentation. <https://thecompassforsbc.org/how-to-guide/how-do-audience-segmentation> *This brief webpage provides simple guidance to support audience segmentation. It supports [Step 8](#).*
- ▶ Compass for SBC. N.D. How to guide: How to do an audience analysis. <https://thecompassforsbc.org/how-to-guide/how-do-audience-analysis> *This brief webpage provides simple guidance to support priority group analysis. It supports [Step 8](#).*
- ▶ Alive and Thrive. 2019. Small doable actions. <https://www.youtube.com/watch?v=x3b7ZK0uF9k&t=7s> *This short (10 minute) video explains how to use an impact and feasibility matrix to refine and prioritize behaviors ([Step 9](#)). The video shows an example of a nutrition behavior, though the concept is easily applied to other sectors.*
- ▶ Cobb., L., Skinner, J., Mills, H. & Underwood, C. n.d. Getting practical: integrating social norms into social and behavior change programs. <https://breakthroughactionandresearch.org/getting-practical-tool/> *This guidance can support activity selection and design for activities to address social norms. It supports [Step 11](#).*





## CREATE Phase Checklist

| RECOMMENDED PRACTICE  | Y | N |
|---|---|---|
| 1 Technical project staff participated in strategy development.                                   |   |   |
| 2 The CREATE Phase template (or equivalent) was used.   |   |   |
| 3 Project partners participated in strategy development.  |   |   |
| 4 Key stakeholders participated in strategy development.  |   |   |
| 5 Project participants participated in strategy development.                                      |   |   |
| 6 <b>Priority group analysis</b> was done for each <b>priority group</b> .                        |   |   |
| 7 The need for <b>segmentation</b> was considered.  |   |   |
| 8 Each <b>behavior statement</b> focuses on a single behavior (or <b>sub-behavior</b> ).          |   |   |
| 9 Each behavior statement specifies who will do the behavior.                                     |   |   |
| 10 Each behavior statement uses an action verb in present tense.                                  |   |   |
| 11 Each behavior statement includes sufficient detail (frequency, duration, etc.).                |   |   |
| 12 Each behavior statement can be linked directly to the objective by focusing on what, not how.  |   |   |
| 13 There are not more than 2 proposed behaviors for each priority group per year.                 |   |   |
| 14 There are not more than 10 total prioritized behaviors.  |   |   |
| 15 Behaviors (and sub-behaviors, if applicable) were prioritized based on impact and feasibility. |   |   |
| 16 <b>Change aims</b> (up to 3) have been identified for each behavior.                           |   |   |
| 17 Change aims address the most important determinants identified in formative inquiry.           |   |   |

| RECOMMENDED PRACTICE  | Y | N |
|---|---|---|
| 18 For each change aim, one or more appropriate activities have been identified.  |   |   |
| 19 Content about activity selection from <a href="#">Step 4</a> was reviewed to assist in activity selection.   |   |   |
| 20 Selected activities begin from those identified during project design, adding additional activities where necessary and dropping activities unlikely to have impact.   |   |   |
| 21 Activity selection considered feasibility, attractiveness/ appropriateness, and scale.   |   |   |
| 22 Activity selection considered existing communication channels, and social networks, as well as opportunities to leverage activities implemented by other stakeholders. |   |   |
| 23 Activities will reach individuals, communities, and the enabling environment, as appropriate.  |   |   |
| 24 Opportunities to leverage activities across the project to address multiple aims were identified.  |   |   |
| 25 Exposure intensity (repetition & multiplication across channels) was considered.   |   |   |
| 26 Each activity includes one or more (non-lecturing) <b>engagement tactic</b> .  |   |   |
| 27 For social norms changes, activities include community engagement or mass media activities.  |   |   |
| 28 Indicators were reviewed in line with the SBC strategy.  |   |   |
| 29 Indicators that measure behavior adoption and change in <b>behavioral determinants</b> are included for each behavior.   |   |   |
| 30 Indicators that measure exposure (reach, recall, relevance, quality, trustworthiness, etc) are included as appropriate.  |   |   |

## CREATE Phase Template: SBC Strategy Worksheets

**PURPOSE:** Use this tool during the CREATE Phase to help synthesize the outputs of each step. Remember that throughout the steps, you will be relying on your assessment data and formative inquiry findings to guide your decision making. [Annex 7.2](#) provides an alternative format that can be used in combination or in place of this step-wise format.

**INSTRUCTIONS:** Four templates are shown below for each step in the CREATE process: Group profiles, Behavior Statements and Change Aims, Activities and Engagement Tactics, and Monitoring and Evaluation. The dark boxes provide organizational instructions for each step. The white or light-colored boxes below show relevant examples. The same model outline is [provided here](#), with blank spaces for you to provide your own information.

### CREATE Part 1: Group Profiles

| <b>BEHAVIOR</b><br>List each behavior, 1 per line. Add rows if needed. | <b>PRIMARY GROUP</b><br>Include information here from the group profiles created in <a href="#">Step 7</a> and from the formative inquiry findings.   |   | <b>SECONDARY GROUP(S)</b><br>Include information here about any key influencing groups or supporting actors to be targeted.   |
|--|---|---|---|
|  | SEGMENT 1   | SEGMENT 2   |   |
| Farmers use improved seeds.  | <b>Female farmers</b> <ul style="list-style-type: none"> <li>• Most age 20-40 with multiple children.</li> <li>• Most motivated by having enough income to pay school fees / uniforms for their children.</li> <li>• Farm smaller plots, close to home.</li> <li>• Production dedicated to children’s needs (school fees, health care, clothing, etc.).</li> <li>• 20% women have access to radio with typical listening hours 10-12pm Sundays.</li> <li>• Do not make seed purchase decisions.</li> <li>• 30% literate.</li> </ul> | <b>Male farmers</b> <ul style="list-style-type: none"> <li>• Most aged 25-55, married, with children.</li> <li>• Motivated by being successful providers for their family.</li> <li>• 80% have access to radio, with typical listening hours 2-4pm.</li> <li>• Production dedicated to household consumption (food, and other basic needs. such as housing, etc.).</li> <li>• Farm larger plots slightly further from home.</li> <li>• Make seed purchase decisions for themselves and their wives.</li> <li>• 72% literate.</li> </ul> | <b>Extension agents</b> <ul style="list-style-type: none"> <li>• 93% male/7% female.</li> <li>• Secondary education.</li> <li>• Feel they do not have time to serve all clients well.</li> <li>• Motivated by seeing people adopt improve practices and grow their production and income.</li> <li>• Would like to earn more income and expand their own farm production.</li> <li>• Work 2 days/week in the office, 2 days in their own fields, and 1 day visiting farmers.</li> </ul> |

### CREATE Part 2: Behavior Statements and Change Aims

| <b>BEHAVIOR</b><br>Include the original prioritized behavior. Add rows as needed. | <b>REFINED BEHAVIOR</b><br>Include the refined behavior from <u>Step 9</u> here. These may be the same, include additional details or have a narrower focus. There may be multiple (3 max) refined behaviors per behavior. Add rows as needed. | <b>CHANGE AIMS</b><br>Include the change aims defined in <u>Step 10</u> . Remember that these should align to the priority determinants identified in the formative inquiry summary. There should be 1-3 per refined behavior. |
|---|--|--|
| Farmers use improved seeds.   | Farmers use improved maize and bean seeds.   | Increase the perception that the benefits of improved maize and bean seeds (more stable household consumption, income for children's needs) are worth the investment.  |
|   |  | Increase the perception that farmers can identify improved maize and bean seeds from trusted vendors.  |
|   |  | N/A  |

### CREATE Part 3: Activities and Engagement Tactics

#### CHANGE AIMS

Copy the change aims from Part 2 of this template here. Add rows as needed.

#### PROPOSED ACTIVITIES AND ENGAGEMENT TACTICS

Include here the activities and engagement tactics you chose in [Step 11](#) here.

Increase the perception that the benefits of improved maize and bean seeds (more stable household consumption, income for children's needs) are worth the investment.

Farmer groups:

- Create story about two farmers (one who used improved seed and one who did not) to spur reflection and dialogue at farmer group meetings.
- Through farmer groups, create demonstration plots where farmers can see the difference and assess value and risks.
- Through farmer groups, roll out a cost calculator 'game' where farmers can see how much they can expect to 'gain' for the money invested in improved seed vs. unimproved seed.
- Through farmer groups, invite farmers who have tried improved seed to testify about positive experience.

Radio messaging:

- 3,000 Radio spots, targeting men, aired 2-4 pm, featuring 4 local male farmers' testimonies about how using improved seed helped them improve household consumption and feel like successful men.
- 200 Radio spots, targeting women, aired Sundays 10-12 pm, featuring 2 local female farmers' testimonies about how working with their husbands to choose improved seeds helped their children grow and succeed.

Increase the perception that farmers can identify improved maize and bean seeds from trusted vendors.

Improved seed champions:

- Identify 1+ 'improved seed champion' per community who is willing to visit up to 10 friends at home or accompany them to the market to guide them on selecting improved seeds.

Farmer groups:

- Bring samples of improved vs. unimproved seeds to show at farmers groups before the start of the season. Allow farmers to ask questions.

Brochures:

- Create visual handout showing improved seed packaging choices at left under a check, and unimproved seeds options at right to distribute through farmer groups. Print poster size for vendors willing to display.

## CREATE Part 4: Monitoring and Evaluation Worksheet for SBC

| <b>BEHAVIOR</b><br>Copy behavior statements from Part I here. Add additional rows as needed | <b>ADOPTION</b><br>Include here the indicator(s) included in the project MEAL plan to measure/track behavior adoption | <b>DETERMINANTS</b><br>Include here the indicator(s) selected to measure/track progress against change aims.  | <b>EXPOSURE</b><br>Include here other relevant indicators that capture exposure, such as those related to reach, recall, understanding, relevance, trustworthiness or quality/process. You may not have indicators for every aspect.   |
|---|---|---|--|
| Farmers use improved maize and bean seeds.  | Percentage of farmers who planted improved maize or bean seeds in any of their fields last season.                    | Percentage of farmers who agree that planting improved seeds is worth the cost (M/F).<br><br>Percentage of farmers who agree /strongly agree they can identify improved seed at purchase (M/F). | Reach <ul style="list-style-type: none"> <li>• Number of farmer groups active.</li> <li>• Number of radio spots aired.</li> </ul> Recall <ul style="list-style-type: none"> <li>• Percentage of surveyed farmers who recall hearing one or more project radio spots (M/F).</li> <li>• Percentage of surveyed farmers who recall seeing the seed buyers guide (M/F).</li> </ul> Understanding/relevance <ul style="list-style-type: none"> <li>• Percentage of surveyed farmers who report that the seed buyer guide is helpful and easy to use (M/F).</li> </ul> |



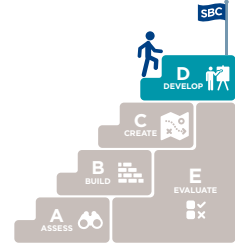
Sita Achhami washing her hands at a new foot-pump operated handwashing station installed by CRS.

[Photo by Prakash Gopali for CRS]



Fedlen Philio and other young people in the *Association Jeune pour yon Aveni Durab* plant trees in their community.  
[Photo by Benjamin Depp for CRS]





# 8

## D = DEVELOP



The DEVELOP Phase typically occurs during project implementation.

### Why and when to use this chapter

This chapter provides detailed guidance to support SBC message and material development (the DEVELOP Phase). The DEVELOP Phase typically occurs *during project implementation* (after the SBC strategy has been developed).

### What's included in this chapter

- [Step 13](#): Formulate draft **messages**.
- [Step 14](#): Write a detailed implementation plan.
- [Step 15](#): Develop, test and refine materials.
- [DEVELOP Phase Checklist](#)
- [DEVELOP Phase Template](#): Content and Implementation Worksheets.

### Key points

- Information is (sometimes) necessary but rarely sufficient to change behavior.
- Good messages speak to what really matters to the audience and are based on the **priority group** profiles (from [Step 8](#)) and linked to the **change aims** ([Step 10](#)).
- Messages can be communicated through things, images and actions, not just words.
- Identify materials to be used with priority groups and trainings needed to deliver quality **core content** and key messages to priority groups.
- Materials developed should be visually appealing and grab the attention and interest of targeted users.
- All messages and materials should be **pre-tested** with the intended end users, and feedback incorporated, before widespread deployment.

## Overview of the DEVELOP Phase

The DEVELOP Phase is “where the rubber hits the road.” In this phase, your team will outline concrete steps to achieve all that you have outlined in your SBC strategy. You will work on developing the messages and materials that will be used during the activities you identified in your SBC strategy. You will articulate the detailed actions you need to take to deliver the activities you planned. Finally, you will test your proposed content in the field with the priority groups, and use the results to design your final materials.

As in CREATE Phase, co-creation and dialogue is the foundation of success during the DEVELOP Phase. It is recommended to use an inclusive and participatory process that allows for as much stakeholder participation as possible, including participants and priority groups as well as project staff, stakeholders from public, private and civil society sectors, government, donor and other partners, and consultants or technical experts.

During the DEVELOP Phase, you will carry out the following steps:

**Involve participants and stakeholders in developing SBC materials and messages as much as possible.**



### DEVELOP



**Step 13:**  
Formulate draft messages

- Identify **core content**.
- Formulate potential **messages**.
- Concept development (optional).

**Step 14:**  
Write an implementation plan

- Identify material needs.
- Identify training needs.
- Think through timing and sequencing.

**Step 15:**  
Develop, test and refine materials

- Develop draft materials.
- Test messages/materials and adapt with priority groups.
- Refine materials based on feedback.

## Step 13: Formulate draft messages

During this step, you will formulate potential **messages** and identify **core content**, building on your SBC strategy. Messages and content will be designed to meet the needs of your priority groups, to support your identified change aims, and to be delivered through your selected activities. You may choose to develop a unifying theme, or *concept* to tie your efforts together. You will generate a content and message worksheet (see DEVELOP Phase Template), a short document that specifies the core content and key messages and materials needs for your activities. If you plan to engage external creative partners, you may create a more comprehensive **creative brief** (see [Annex 7.2](#)) which synthesizes elements of your SBC strategy, content, messages, materials and other creative considerations.

### Formulate potential messages (to be tested)

Now you are ready to specify the core content and key messages you want to convey. Even though we stress that SBC is not only about delivering messages, we need to identify what message we want to convey through our activities and approaches.



#### Definition

A **message** communicates whatever the project believes will encourage behavior change. Communication must be strategically designed to respond to the behavioral determinants you identified as most salient for your priority groups.



Effective messages evoke emotion and communicate clear steps for change.



Note that messages are *not* all the information that project experts want the people to know. Messages include key points of information, but are intended to stimulate action by inspiring people to change or else providing precise information about their main **barrier**. *Information is (sometimes) necessary but rarely sufficient to change behavior.* Effective communication is based on understanding the perspective of the intended audience and speaking to what really matters to them. To design a good message, you must connect insights from your formative inquiry about the priority group(s) with key information crucial to the behavior of interest. Remember the elephant and the rider from [Chapter 2](#)? Factors like emotion and social ties are usually more important **drivers** of behavior, so your messages should be less about “telling people” and more about *evoking feelings* and *connecting them* with a vision for change that will help them.








#### Definition

Messages are more specific and personalized than generic, core content. **Core content** encompasses the main points the project wants to convey. The core content might be the bullets on the back of a counseling card or the key learning objectives from a training.

The messages will distill a few key ideas, clearly linking the change aims to a few short, simple phrases. [Table 18](#) on next page, shows examples of messages, building on the examples introduced in [Chapter 7](#).

Table 18. Aligning Key Messages to Change Aims

| SECTOR  | REFINED (SPECIFIC) BEHAVIOR  | CHANGE AIMS   | MESSAGE  |
|---|--|---|--|
| <br>Agriculture    | Female vegetable farmers mulch gardens for moisture retention.         | Increase the perception among farmers that mulching will dramatically reduce watering needs.  | Don't spend all your time queueing for water! Half a day's effort mulching your garden will save you 40 jerry cans of water this season. |
| <br>Livelihoods    | Young men attend vocational training to build job skills.              | Increase young men's perception that their peers and their elders support them in building skills through vocational training (even if it means delaying income earning potential). | The wait is worth it! Provide for your family by investing in your future with vocational training.                                      |
| <br>Peace-building | Young men raise concerns to elders rather than escalating to violence. | Increase young men's feelings of strength and maturity from raising concerns with elders rather than escalating to violence.  | Blessed be the builders of peace! He who avoids a conflict is a worthy man.  |
| <br>Health       | Mothers of infants breastfeed on demand, at least 8 times per day.     | Increase the perception among women that frequent breastfeeding will allow them to produce enough milk to satisfy their child.  | Little by little, a little become a lot. A mother who breastfeeds her baby often will produce enough milk to feed her baby's hunger.     |
| <br>Education    | Girls always walk to school together in groups of four or more.        | Reinforce the perception that larger groups of girls will reduce vulnerability to harassment.   | Walk to school in groups of four or more. The four walls of our house keep us safe, as will our four walls of friendship.                |



Pregnant women and mothers of young children gather in meetings to help decrease depression and manage stress, in Ghana. [Photo by Michael Stulman for CRS]

### Remember:

- Messages should address identified **change aims** (from [Step 10](#)) and **priority group** profiles (from [Step 8](#)).
- The message is only one part of SBC.
- The message will not be “heard” if it’s not relevant and compelling to the audience.
- The message will not “work” if it’s not strategically designed and tested, to really “fit.”
- Messages can be communicated through things, images and actions, not just words.
- HOW the message is communicated is *at least as* important as WHAT the message says.



### Characteristics of effective messages:

- Clear, simple, concise, and easily understood.
- Culturally appropriate for the context.
- Grab attention, and are memorable.
- Address identified **behavioral determinants**.
- Fit with the group members’ stage of change.
- Present a clear benefit that will result from practicing the behavior.
- Include a specific call to action (a **small, doable action**).
- Stimulate emotion, get people thinking and talking.

## Matching Messages to Group Needs

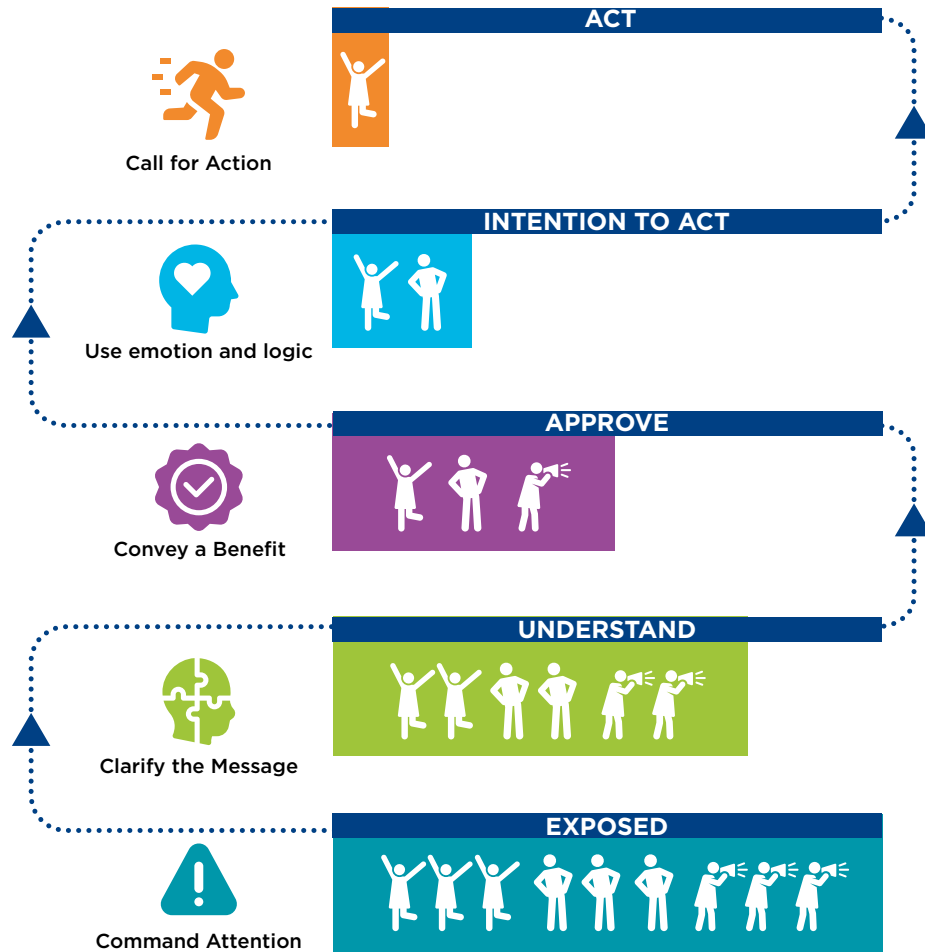


Figure 21. Matching Messages to Group Needs

**Engage communications and design experts when possible to ensure highest quality SBC materials.**

A message is supposed to match needs of the group with a solution to help them overcome barriers. As the graphic above illustrates, you can *expose* a large number of people to a message. But only some of them will *understand* it. Of those, a smaller percentage will feel it applies to them, and *approve* of it. Even fewer will feel moved to act on the message. Even after reaching the *intention* to act, few actually do. This is why being strategic about applying your understanding of behavior change theory and drawing on formative inquiry findings is so crucial to designing effective messages.

The process of designing effective messages should be based on a participatory process, which may be part of the strategy development workshop or as a follow-up activity linked with design of materials. If project budget allows, engaging communication and design experts can enhance the creative process and end products. Gather your team of SBC staff and partners to collaboratively develop messages (and then the SBC activities and materials where they will be used) following these steps:


## Steps to Develop Messages

- 1 Review the SBC strategy – especially priority group profiles and change aims. State/clarify/review:
  - What action does the program want people to take?
  - Who are key groups, their needs and motivations?
  - Why should they take the action? (What is the benefit/key promise?)
  - What are key barriers to taking that action?
  - What is the core content that needs to be conveyed?
- 2 Draft messages for each change aim. As you draft messages, it is critical to think about the PRIORITY GROUP, not about the technical information you want them to learn.
  - What kind of tone should communication of that content for that group take? What is the general feeling it should have?
  - What images, references, ideas, will make the message resonate for them? What words and visuals will best reflect their values and motivate their interests?
- 3 For each message, use the checklist below to check your draft message. For any ‘no’ responses, modify the message to ensure they meet these criteria and will connect with your intended audience.

| FOR EACH MESSAGE BEING USED, CHECK TO MAKE SURE IT IS: |                     |   | Y | N |
|--|---------------------|---|---|---|
| 1  | Clear and Simple    | Is the message clear and easy to understand?<br>No jargon or difficult words?                                   |   |   |
| 2  | Coherent            | Does it make sense?   |   |   |
| 3  | Concise             | Is it ‘short & sweet’? Does not use any unnecessary words?  |   |   |
| 4  | Correct             | Is all information factually accurate?  |   |   |
| 5  | Complete            | Does it include whatever is necessary?  |   |   |
| 6  | Courteous           | Is it respectful to the audience?   |   |   |
| 7  | Concrete            | Does it make a specific call to feasible action?  |   |   |
| 8  | Credible            | Does it create trust? Is the message believable?  |   |   |
| 9  | Audience-informed   | Is it based on the audience’s values, norms, beliefs, needs and their stage of change?                          |   |   |
| 10   | Audience-responsive | Does it address their behavior determinants?  |   |   |
| 11   | Memorable           | Is it memorable/interesting?  |   |   |
| 12   | Emotion-arousing    | Does it evoke an emotional response? Cater to the heart?  |   |   |
| 13   | Attention-getting   | Does it command attention?  |   |   |
| 14   | Promise a benefit   | Does it offer a clear benefit from doing the action?  |   |   |
| 15   | Spur action         | Does it present an achievable solution? For example, does it include a suggestion for some small doable action? |   |   |

## Concept development (Optional)

A recommended part of developing your messages and materials is concept development. **Concept development** refers to creating an overarching theme or concept. Concept development is often overlooked, but it is important to identify an idea that holds everything together and can be represented in a tagline and key visual. Without a unifying key concept, the messages and activities may lose impact; too many different, fragmented ideas may not ‘stick’ with people.



A creative concept is a unifying theme or “big idea”. It can be used across all project messages, calls to action, and communication channels to make content recognizable and memorable. Nike’s “Just Do It” campaign is an example of an effective creative concept.

A team made up of hired professionals and/or a group of project staff and stakeholders should review priority group profiles and key messages and brainstorm openly to generate a variety of ideas toward a “big idea” or unifying theme that will capture the interest of priority groups, stir an emotional response and inspire them to take action. Once a few ideas are shortlisted, the team will test them to discover what concepts will be most appealing for priority groups. The team’s best two or three concepts will be developed into simple visuals and words and presented in a ‘concept board’ for testing. Those concepts are tested by sharing them with priority group members to get their feedback.

**Human Centered Design** methods can be useful in eliciting meaningful involvement with participants from this early stage and on through development of materials. Concepts that do not resonate well are dropped, and the ones that work well will be used by the team to draft materials and activities that revolve around that core concept.

### Step 14: Develop an implementation plan

Now that you have outlined the core activities, content, and key messages you want to deliver, it’s time to plan for *how* you will deliver them to people. This step involves thinking through what needs to happen to deliver each activity or engagement tactic, who will do it, when, and with what budget. Make sure the implementation team has all the resources it needs to be successful. Often, a lot more needs to happen than you might realize! Thinking things through systematically will support quality implementation by making sure nothing is missing.



Use the Implementation Plan template as a guide.

The [Implementation Plan Worksheet template](#) included with this chapter can be used as a guide. If your project already has a detailed implementation plan and accompanying budget, you may choose to review that document and add any additional details, tasks or notes. Note: if your detailed implementation plan document is shared externally (with the donor for example), and the project management prefers to keep the document higher level, you can add the additional details in the accompanying template (or another format that works for you). You may also wish to create an implementation tracker to identify gaps and problems, so adjustments can be made.



When working on your implementation plan, start from the activities and engagement tactics previously selected and identify everything that is needed to deliver these successfully and with quality. Think about any materials that need to be created (or modified) to include the content/key messages you identified in [Step 13](#). Remember to include public-facing materials as well as facilitation guides and supportive supervision checklists that support the front-line team. Also consider training needs as well as material needs.

### Identify material needs

A variety of printed materials and other communication products will be needed to deliver messages and other SBC content. Materials may include products designed for the project participants (generally the “what” content, such as brochures or scripts for radio broadcasts) as well as products designed for frontline workers to ensure quality of delivery (the “how” tools such as facilitation guides and job aids). Tools like counseling cards generally contain both, with pictures on one side for the participant, and guidance for the counselor/educator on the other side. As part of your planning process, review each planned activity and the engagement tactics you selected in [Step 11](#), and identify:

- What type of materials will be most appropriate to reach the priority group effectively. List each material individually.
- What other materials will be needed to guide implementers to effectively deliver activities (job aids or guides for facilitators).

**Match materials to the priority group and create additional materials for frontline workers.**



Women participating in a cooking demonstration wear dresses printed with food items by the CRS Budikadidi project, in the Democratic Republic of the Congo.

[Photo by Sam Phelps for CRS]

Refer to the budgeting notes included as part of the preliminary project strategy selection guidance in the [Activity and Engagement Tactics Menu](#) to help you think through the possible types of materials needed for activities like yours.

Plan for ongoing quality improvement and continual mentoring.



## Identify training needs

You should also plan any necessary capacity building for project staff and field teams. It is important for both staff and partners to understand key concepts of SBC and its role in the project, as well as the use of the SBC materials that will be created. Do not assume that one training will result in quality implementation. Plan for ongoing, systematic quality improvement, including regular skill building and reinforcement based on observations in the field, as well as ongoing mentoring and supportive supervision. Regular skill building can be built into existing meetings.

This is also an opportune moment to ensure the implementation team has the skills to deliver the SBC strategy. After all, even a brilliantly designed SBC strategy will fail if the project team and partners lack the skills to implement it effectively. Delivering quality SBC activities according to plan depends on project staff at all levels – from technical experts to frontline volunteers – having the necessary skills. Strengthening the team’s skills usually involves:

- Determining skill gaps.
- Providing high quality, participatory, skill-building sessions.
- Ongoing mentoring and coaching.

The **SBC team** should work with project management to plan and budget for these critical skill building activities.

### Example of delivering SBC training

The agriculture technical team realized that facilitators were often resorting to lecturing, even if they knew that for adult learning, non-lecture techniques were more effective. Overcoming this barrier to effective implementation required some behavior change on the part of trainers.

The team re-designed training to include more hands on, experiential learning methods, with more discussion and less formal presentation. Also, instead of multi-day training workshops, one-hour training sessions are followed up by site visits at “catalytic moments” when participants try to implement new practices and hands-on guidance can be provided.

This approach echoes the growing attention to “Provider Behavior Change” in development settings, which points to our need to change how we train and how we deliver activities; we need to apply the same principles we use with participants to ourselves!



CRS staff and families receive the COVID-19 vaccine in Northern Ghana.  
[Photo by Lawrence Quarcoo for CRS]

If the project includes interpersonal communication approaches, the project should plan to continuously strengthen these crucial skills. Interpersonal communication skills affect the quality of almost every kind of SBC activity, as well as many formative inquiry methods. Without strong interpersonal communication skills on your team (good listening and dialogue, facilitating and problem-solving) you cannot expect optimal results.

**Investments in improving IPC skills of project staff go a long way toward improving project quality and impact.**



Unfortunately, reports of weak communication skills abound across CRS programs. Investing in strengthening your team's interpersonal communication skills could be the single most valuable investment you make. Remember, just as your project participants will not adopt recommended behaviors just because you told them to, your staff and volunteers will not become good community mobilizers by being told what to do. They need to practice skills they have learned from experts, be observed and coached and supported to continually develop skills. Planning for these activities in the detailed implementation plan is a first step to making sure they are not forgotten.

### Timing & Sequence

With the complete list of all your material and training needs in hand, you are ready for the challenge of figuring out where to begin. While you may be tempted to start everything as early as possible, it is usually better for priority groups and projects to sequence – meaning, strategically rolling out activities or key messages at different times rather than all at

once. Introducing things in sequence allows people to focus on learning and mastering one or two things without feeling overwhelmed with new information or by choices. On the project side, you likely do not have enough capacity to create and roll out everything all at once. Additionally, sequencing allows you to learn about what is working and invest in even better materials for later stages. The process of choosing what comes first and what can come a little later can be challenging. Some things to consider in your decision making:

A quick win with people who are already inclined to change can build confidence for more complex changes later on.



- **Existing materials.** If some or most of the necessary materials already exist for a planned activity, and there is little new that needs to be created, this may be a good place to start. Drawing on existing materials may afford you the opportunity to roll something out relatively soon (after a quick testing and adaptation phase) while you work on developing materials for other activities.
- **Quick wins.** If you start with groups most ready to change and the behaviors that are easiest to adopt, you can build confidence and motivation that will make people more willing to try harder or more complex changes later.
- **Seasonality.** Some behaviors need to happen at a particular time of the year and you want to time the rollout of activities promoting these behaviors accordingly (usually starting at the time of year just before people would need to practice the behavior). If your project includes agricultural activities, considering seasonality is a must. Other types of projects should also consider whether seasonality applies. For example, in a health project, it is most useful to talk about diarrhea prevention and treatment before peak diarrhea season, and reinforce mosquito net use before the start of the rainy season.
- **Special days and events.** Also look for opportunities to amplify your work by aligning with existing special days or events. For example, you might want to roll out your breastfeeding content in August around World Breastfeeding Week, handwashing in October around Global Handwashing Day, and tackle gender norms in March around International Women's Day. If there are local events of interest, such as harvest season when people have more money, or back to school, consider also how these big events could favor or hinder behavior adoption and plan accordingly.

As you make your plans, remember to build in sufficient time for developing, testing and revising materials (see also [Step 14](#)). Also be sure to anticipate disruptions, such as busy periods in the communities when people may not be available to participate (holiday periods, monsoons, harvests), as well as busy periods in the project when you may not be able to create or roll out new materials (annual leave cycles, reporting periods, etc.). Your plan should be ambitious, but realistic, with time for learning and adaptation.

## Step 15: Develop, test and revise materials

Now it's time to begin developing the materials that you need to support rollout of your messages and activities. Following your implementation plan, develop the materials needed to support each activity, engagement tactic and message, then test them with priority groups and revise them based on their feedback before producing and distributing them at scale.

### Develop

When developing materials, keep in mind the following tips:

- *Start from what exists.* Before jumping right into developing new materials, be sure to first review existing materials that can be used or adapted. In fact, in some contexts, government-endorsed materials may already exist, and implementers are encouraged or even required to use them. Begin by first assessing what already exists locally, and then see if relevant materials from other contexts or countries may already exist that could be adapted locally.
- *Design with participants in mind.* Review the profiles of your priority groups, and develop materials for your very specific audience. The language, tone, approach; these should all be tailored for your specific **priority group** or **segment**. Developing material to encourage improved nutrition among adolescent girls should be very different than material meant for a Minister of Health.
- *Stay true to your SBC strategy and the behavioral determinants that were prioritized.* There is often a tendency to revert to conveying information in materials, even when a lack of **knowledge** was not identified as being a main **behavioral determinant**. This can sometimes be challenging when a project is required to use standardized materials that are promoted by the government. However, in such a circumstance, the project could explore the possibility of adapting materials (perhaps in more subtle ways) or by developing other related materials or activities that reinforce the standardized material, but in ways that are more closely aligned with the project's SBC strategy. For example, if the project identified the key barrier to exclusive breastfeeding as women believing they don't produce enough milk, while the existing counseling cards do not speak to this in depth, the project might create an accompanying story of a woman with this concern and how she overcame it. The story could be included in the materials shared with community health workers (to share during home visits and community group sessions) and aired on the radio.
- *Be creative!* People are exposed to thousands of messages each day, all competing for their attention. Amidst all of this noise, if we want people to notice, let alone contemplate the materials and messages we are sharing, we need to be creative and think outside the box. Consider hiring professional creative talent for the highest quality creative materials (refer to the subsection on the next page about choosing creative partners).

High quality creative messages are essential if you want to capture people's attention.



- *Strategically layer messages and images.* The more we hear or see the same thing, the more likely we are to take note of it. When developing materials across the project, look for opportunities to use the same images and messages in multiple places. For example, it may be beneficial to use the same images on counseling cards used for home visits as are used in posters displayed at health facilities and on take-home brochures for families. Similarly, repeating the same message in community dramas, and on radio and during religious sermons can help you to achieve saturation. When images for various behaviors are joined by a common visual style or theme, it can be easier for participants to realize they are connected.
- *Engage participants in designing materials.* Participants know what interests them and can offer valuable insights on the types of material or content that might attract their attention. If possible, invite participants to assist in brainstorming or creating drafts of materials. The **Human Centered Design (HCD)** process offers a lot of guidance on how to meaningfully engage participants in co-creation.
- *Use text sparingly.* Whatever the material, it is critical to tailor it to the literacy level of your audience. Even when audiences are literate, most of them are busy and not interested in reading long materials. Short documents feel more approachable and encourage people to engage with them. When it comes to words, less is often more! For participant-facing materials, generally try to limit your text to key messages or the most important core content you need to convey. For materials used by project staff you may include more text, but try to keep it to the minimum, essential words.

When it comes to words, less is often more! Limit text to key messages and core content.



Dr. Seng Chhunly helps conduct routine tuberculosis screening in Kork Ponlei Village, Battambang Province. [Photo by Linna Khorn for CRS]

- *Incorporate visuals.* We have all heard the saying “pictures are worth a thousand words.” Include ample visuals or imagery in your materials. Images and visuals can reinforce written or verbal content. People remember more of what they have seen and heard compared to what they have only heard. Visuals can make core content or messages more relatable: contextually appropriate images can help people “see” themselves in the situation or behavior and can make them feel that the message is relevant to them. Strong visuals can also convey more than words alone. For example, including the image of a father in counseling cards about infant and young child feeding can send a message that it is normal for men to be involved in this topic, even without giving such a message verbally. Finally, images can make the materials more interesting, drawing people to engage.

Always seek to make materials as interactive as possible.



- *Design materials that promote active engagement.* Remember that people learn and change by being actively engaged in something that is important to them. When creating materials, seek opportunities to promote active engagement by generating materials that encourage dialogue, action, reflection and discussion, that encourage teamwork, are immediately relevant to the priority group’s lives, and respect the priority group’s ideas.

### Choose creative partners

Remember: your SBC products will be competing with big budget advertising and viral social media for our participants’ attention! Products need to be well-designed to capture participant attention, and be relevant and interesting enough to hold it. No matter what kind of product you will use, expert design and cultural contextualization will improve effectiveness.

Engaging creative experts can lead to higher quality, more impactful SBC materials.



Consider hiring an expert creative partner to design materials. Products might include mass media campaign materials like posters or radio spots, Interpersonal Communication (IPC) materials like flip-charts, games, toolkits, or curricula, or storytelling devices such as theater sketches, songs, or videos. Be sure to coordinate with the procurement team around fair and competitive processes for procuring creative services. To help advertise effectively for suppliers, and compare offers, you will need to develop sufficiently detailed terms of reference, including evaluation criteria, to specify what you need and by when. While these criteria will need to be tailored to the type of creative talent you are engaging, the box on the next page offers some ideas to get you started.

### Example evaluation criteria for creative partners procurement

1. Familiar with context and fluent in local language.
2. Demonstrated experience creating the type of products needed.
3. Demonstrated experience creating products for similar priority groups.
4. Proposes a participatory process.
5. Social engagement.
6. Previous partnerships with aid sector or experience with SBC initiatives.
7. Demonstrated ability to innovate and adapt.
8. Qualified human resources.
9. Demonstrated project management capacity.

When choosing creative partners, here are some best practices:

- Go local! It is very important that the design is appropriate to the culture, e.g., choice of hairstyle in a poster design, knowing local jargon that might be used in a radio script, etc. Recruit creative partners with detailed local knowledge.
- Due diligence. Require a portfolio of work for all proposals, and review those along with references, in advance. Ideally, give creative bidders your parameters and ask for a 1-2-page creative approach to your product with their proposal. For recording artists and/or celebrities, make sure they are aligned with the values of your initiative (and CRS), and be confident that there is little to no chance for scandal.
- Payment terms. Generally, ask for a flat fee quote, with an agreed number of revisions and/or drafts of work. For recording artists and/or celebrity involvement, offer an honorarium in lieu of what they might get from a commercial entity. Often, if it is a cause near and dear to their heart, artists will produce above and beyond what you are able to pay them, and they will do it happily!
- Let creatives do what they do best. If it is a singer songwriter for instance, provide them with just the essential messages and let them go with it. After all, there is a reason they are popular with your priority group!
- Identify qualified CRS staff to interface with them. Although the creative partners you choose may have the technical expertise to create the products, they may not be familiar with how to apply SBC strategies, messages, and measure the impact of those products. While giving creative experts the freedom to create, someone with CRS should be available to provide an orientation to expectations, answer questions, and review materials.

**Local musicians and celebrities are often eager to support important causes, so consider asking them to become involved.**







## Test

After developing drafts of materials and tools it is essential to test them with some participants to ensure they are appropriate for the priority group and can be used effectively. Insights drawn from testing with priority groups allow you to modify messages, images and materials to be optimally effective -- before investing in final production. *Any* SBC tool or activity should be tested before launching implementation, whether it is a drama script, a song, radio spot, or an engagement tactic. The only way to know if messages, tools, communication materials are going to 'work' with your priority group is to test them. Without careful testing, you risk producing materials that will not be effective.

Testing is an essential step in creating effective SBC materials.



The goal for testing materials is to determine whether they are:

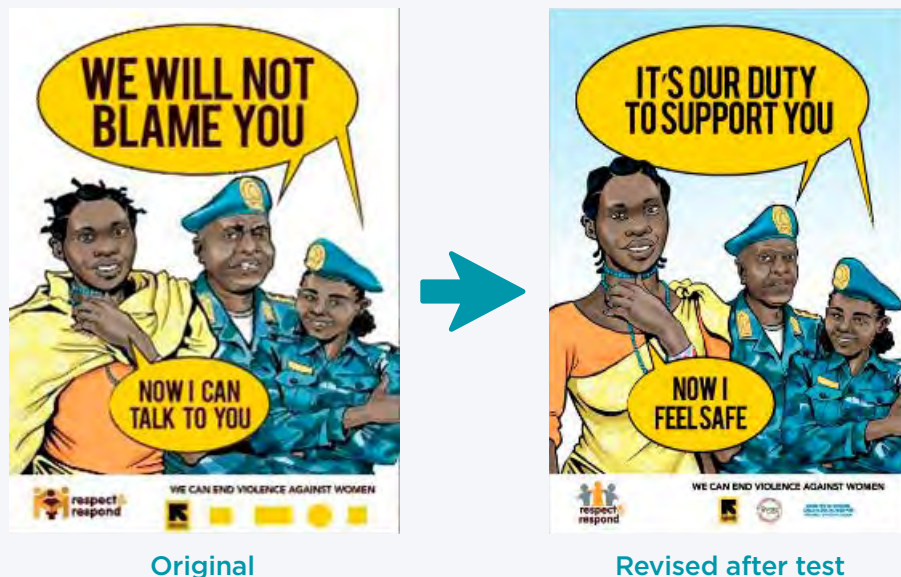
- Understandable.
- Attractive.
- Culturally relevant.
- Appropriate.
- Effective.



Lotiang Ekutan, 40, poses for a portrait with one of his sons his home in Kaitese Center in Turkana, Kenya. [Photo by Patrick Meinhardt for CRS]

### Example of materials before and after testing

Note changes to the messages and images below, from original (left) and after testing (right). The SBC Team held focus groups and shared materials with participants from each priority group for a gender-based violence initiative in South Sudan. One telling factor, the artist of the animation was from Kenya, so the hair style and dress were not something a typical woman in South Sudan would wear. Further, even though the messages were tested without images first, the images helped inform changes to the message for both the survivors and the police officers. The officers felt pride in their job and wanted to be trusted, and the survivor wanted to feel safe with them. Even the logo of the campaign was tested; on the left, participants said it looked like the main figure was in prison! To the right, like she was being supported. Finally, posters were printed in both Juba Arabic and English and had minimal text, for participants with low literacy. These changes made the materials feel more relevant to the participants.



The key phases of testing you should include:

- (Optional) Concept testing. **Concept testing** involves sharing ideas of what you might do or create with participants to get their feedback in the early stages, often before creating any drafts. They will be contributing to the development of drafts, with guiding questions such as “How might we...?” Note, this phase of testing is

considered optional because if you have used a Human Centered Design (HCD) approach or had participants take part in developing the SBC Strategy, it would be redundant.

- (Recommended) **Stakeholder review**. A phase of testing that includes getting inputs and feedback from key stakeholders such as subject matter experts or local government staff, to ensure accuracy and appropriateness of core content. Provided that the necessary information is included in the materials, stakeholder review should be subordinate to priority group feedback.



#### Definition

- (Essential) Pre-testing. **Pre-testing** is the process of soliciting feedback from the priority groups, to garner insight on whether the key messages, images and other aspects are understood as intended.

Typically, 50% or more of images need revision to convey the intended meaning to project participants, even when produced locally (Picture Impact, 2022)! It is not necessary to spend great resources on testing to gain valuable feedback on materials. While resources may limit the scale of your testing, a basic pre-test with a representative sample is essential and need not be costly. Common methods for testing materials include focus group discussions and **in-depth interviews**, focused on the material itself.



#### Definition

- (Recommended) Field testing. **Field testing** is sometimes called piloting. This refers to using the materials for some time with a small number of project participants to confirm their widespread relevance before final revision and full-scale production.

Field testing can enable rapid assessment about the appropriateness and effectiveness of the whole package of activities and delivery systems, so you have a chance to identify problems and make adaptations before going full scale. Conduct a series of interviews and observations to get feedback from participants, front line workers, implementers and stakeholders, on how useful the activities are, and how well they are addressing **behavioral determinants**.



#### Revise

You should analyze results from any of the above steps you carry out to determine what needs to be changed to improve the materials. Then, make revisions as needed before producing at scale. If your testing identified the need to make really substantial revisions it may be worthwhile to perform a second round of testing. If revisions have been relatively minor, you should be able to move ahead with confidence.

## Additional Resources

- ▶ Unicef. N.d. Communication for Development online course. <https://agora.unicef.org/course/info.php?id=11146> *A self-paced course with about 20 hours of content.*
- ▶ Compass for SBC. N.D. How to guide: How to design SBCC messages. <https://thecompassforsbc.org/how-to-guide/how-design-sbcc-messages> *This brief webpage provides simple guidance on message development. It supports [Step 13](#).*
- ▶ Compass for SBC. N.D. How to guide: How to design SBCC Creative Materials <https://thecompassforsbc.org/how-to-guide/how-develop-sbcc-creative-materials> *This brief webpage provides simple guidance on material development. It supports [Step 15](#).*
- ▶ CRS Compass. Standard 7: Realistic and participatory detailed implementation planning for program impact. <https://compass.crs.org/startup/standard7/keyaction3> *This brief webpage provides guidance and best practices on detailed implementation planning within CRS projects. It supports [Step 14](#).*
- ▶ The FSN Network and CORE Group. 2015. Make Me a Change Agent: A Multisectoral SBC Resource for Community Workers and Field Staff. Washington, DC: The TOPS Program. <https://www.fsnnetwork.org/resource/make-me-change-agent-multisectoral-sbc-resource-community-workers-and-field-staff> *This is an excellent training resource to use for developing SBC skills among community workers and field staff. It has engaging activities to develop interpersonal communication and other skills needed to conduct quality group facilitation, counseling, home visits, and use a variety of SBC techniques such as storytelling and testimonials. There is also a 2020 version: Make Me a Change Agent: An SBC Resource for WASH, Agriculture, and Livelihoods Activities ([here](#)). Also available in French and Spanish.*
- ▶ WHO. 2020. Skill lab: pre-testing content and incorporating user feedback. <https://www.youtube.com/watch?v=gTWwhIPdVS0> *This one-hour webinar provides an overview of pre-testing, including suggested approaches and example questions. It supports [Steps 13 & 15](#).*
- ▶ Compass for SBC. N.D. How to guide: How to conduct a pre-test. <https://thecompassforsbc.org/how-to-guide/how-conduct-pretest> *This brief webpage provides simple guidance on pre-testing. It supports [Step 15](#).*



## DEVELOP Phase Checklist

| RECOMMENDED PRACTICE |  | Y | N |
|----------------------|--|---|---|
| 1                    | Potential <b>messages</b> are identified for each <b>change aim</b> .  |   |   |
| 2                    | Potential messages link to each change aim/priority determinant.   |   |   |
| 3                    | Potential messages were developed by drawing on priority group profiles and information from the <b>formative inquiry</b> .  |   |   |
| 4                    | Participants and stakeholders participated in developing messages.   |   |   |
| 5                    | Messages follow best practices (clear, simple, concise, easily understood, appropriate for the context, grab and engage emotion, and are memorable).   |   |   |
| 6                    | Potential messages for each change aim and <b>priority group</b> were tested with priority groups in the field before being finalized.   |   |   |
| 7                    | Materials needed to achieve each change aim were identified.   |   |   |
| 8                    | Identified materials include participant-focused materials that encourage active engagement, as well as facilitation guides, training manuals and other materials needed to ensure quality use of materials. |   |   |
| 9                    | Staff training needs were considered for effective delivery of materials.  |   |   |
| 10                   | An implementation plan, including timeline, person responsible and budget, specifies the steps needed to deliver activities/ messages and create materials as designed.                                      |   |   |
| 11                   | The implementation plan includes time/resources to <b>pre-test</b> materials with intended users before widespread production and use.   |   |   |
| 12                   | The implementation plan presents a realistic sequence/timeline for the development and roll-out of materials and activities to ensure quality (everything is not scheduled at once).                         |   |   |
| 13                   | Materials developed link clearly to the change aims prioritized in the SBC strategy.   |   |   |
| 14                   | Existing materials were reviewed, considered for adaptation before new materials were created.   |   |   |
| 15                   | Stakeholders (including participants) were involved in material development (optional material development workshop or material validation meeting).   |   |   |
| 16                   | Materials developed are visually appealing (include strong, contextually appropriate visual elements, are not text heavy and are appropriate to the literacy level of the intended users).                   |   |   |
| 17                   | Similar messages and imagery are used across materials.  |   |   |
| 18                   | Materials and/or prototypes were tested with priority groups before widespread production and use.   |   |   |
| 19                   | Final materials were revised based on participant inputs.  |   |   |



## DEVELOP Phase Template: Content and Implementation Worksheets

**PURPOSE:** Use these worksheets to develop necessary details for what needs to be done to deliver each activity in your SBC strategy. First you will complete the content and messages worksheet, identifying the core content, messages and materials needed to deliver the activities and engagement tactics planned in your SBC strategy. Next, you will use the implementation worksheet to make sure that steps needed to deliver have been assigned to a responsible person, and have the necessary budget.

**INSTRUCTIONS:** This template includes two parts. The first part is a content and messages worksheet, the second part is an implementation plan worksheet. In each part, the dark sections provide instructions for this section of the template. The light colored sections show examples. Blank model templates following these models are [provided here](#). Use these models to complete the templates with your own information.

### DEVELOP Part 1: Content and messages worksheet

In this section you will identify the core content, messages and materials needed to deliver the activities and engagement tactics planned in your SBC strategy. Complete one worksheet per change aim.

|   |  |
|---|--|
| <p><b>Change aim.</b><br/>Copy each change aim (from <a href="#">Step 10</a>) here. If you completed the SBC strategy template, these will appear in Part III.</p>  | <p>Increase the perception among male and female farmers that the benefits of improved maize and bean seeds (more stable household consumption, income for children’s needs) are worth the investment.</p>   |
| <p><b>Activities and engagement tactics.</b><br/>Copy the activity and engagement tactics you chose in <a href="#">Step 11</a> here. If you completed the SBC strategy template, these will appear in Part III.</p> | <p><b>Farmer groups:</b></p> <ul style="list-style-type: none"> <li>• Create story about two farmers (one who used improved seed and one who did not) to spur reflection and dialogue at farmer group meetings.</li> <li>• Create demonstration plots where farmers can see differences and assess value and risks.</li> <li>• Roll out a cost calculator ‘game’ where farmers can see how much they can expect to ‘gain’ by investing in improved seed vs. unimproved seed.</li> <li>• Invite farmers who have tried improved seed to testify about positive experience.</li> <li>• Bring samples of improved vs. unimproved seeds to show at farmers groups before the start of the season. Allow farmers to ask questions.</li> </ul> |

**Core content.**

Include here any Core Content that you identified in Step 13 that must be included in this activity to support the change aim.

- Cost of improved maize and bean seeds for a typical local farmer vs. unimproved seeds.
- Expected yield increase from improved maize vs. unimproved maize, and the purchasing power this generates in terms of food and school fees.
- Expected yield increase from improved beans vs. unimproved beans and the purchasing power this generates in terms of food and school fees.
- Where to buy improved maize and bean seed.
- Information on available varieties and their characteristics.
- Key differences (if any) in planting and care for the improved vs. standard varieties people know.

**Key messages.**

Include here the messages you developed in Step 13 for further testing. If you have multiple priority groups, specify by group.

**Female farmers:**

“Investing in improved maize seeds helps you invest in your child’s future. Make a family decision today.”

**Male farmers:**

“\$2 today brings \$20 tomorrow. Buy improved maize seeds today so your family will eat well the whole year ahead.”

## DEVELOP Part 2: Implementation plan worksheet

Use this section to identify how the materials, training, and other inputs needed to deliver your activities with quality will be carried out, by whom, when and with what budget.

| <b>Activity.</b><br>Review the Content and Messages worksheet or the CREATE Part III template and identify and list here each unique activity proposed. | <b>Frequency.</b><br>How often will the activity occur? | <b>Participant coverage.</b><br>How many people will the activity reach? | <b>What is needed to roll out strong SBC elements?</b><br>Review the content and messages sheet and identify materials, training or other inputs needed to deliver your SBC strategy. List them here, detailing sub-steps if possible.   | <b>People involved.</b><br>Who are the staff involved in carrying out the steps needed to deliver this? | <b>Timeline.</b><br>When will this happen? | <b>Budget needed/ available.</b><br>Ideally each activity is connected to a corresponding line item in your budget. |
|---|---|--|--|---|--|---|
| Farmer groups   | Monthly   | 300 groups = 4,000 farmers.  | Story about two farmers (one who used improved seed and one who didn't) to spur reflection and dialogue at farmer group meetings: <ul style="list-style-type: none"> <li>• Develop.</li> <li>• Review.</li> <li>• Pre-test.</li> <li>• Include in resource pack.</li> <li>• Train extension agents in use (at monthly meeting).</li> </ul> | Ag project officer + SBC officer + Ag supervisor.   | March - May                                | N/A   |
|   |   |  | Demonstration plots where farmers can see the difference and assess value and risks: <ul style="list-style-type: none"> <li>• Train extension agents in facilitation (Make me a change agent).</li> <li>• Train extension agents in technical skills.</li> <li>• Print manuals.</li> </ul>   | SBC officer + Ag project officer + MEAL officer + Ag supervisors.                                       | May - August                               | \$3500 for extension agent trainings + \$500 for manual printing.   |

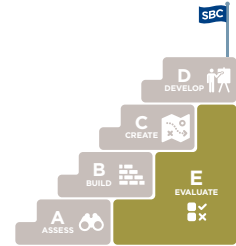


|               |         |                             |   |  |            |  |
|---------------|---------|-----------------------------|---|--|------------|--|
| Farmer groups | Monthly | 300 groups = 4,000 farmers. | <ul style="list-style-type: none"> <li>• Supervision checklists.</li> </ul>   |  |            |  |
|               |         |                             | <p>Roll out a cost calculator 'game' where farmers can see how much they can expect to 'gain' for the money invested in improved seed vs. unimproved seed.</p> <ul style="list-style-type: none"> <li>• Identify consultant.</li> <li>• Develop game.</li> <li>• Review.</li> <li>• Pre-test.</li> <li>• Revise.</li> <li>• Print.</li> <li>• Train field agents in use.</li> </ul>   | SBC Officer + Procurement + Consultant + Ag project officer. | Feb-August | \$50 advertising cost + \$600 + \$1200 (printing). |
| Farmer groups | Monthly | 300 groups = 4,000 farmers. | <p>Invite farmers who have tried improved seed to testify about positive experience.</p>  | Ag extension agents.   | Ongoing    | -  |
|               |         |                             | <p>Bring samples of improved vs. unimproved seeds to show at farmers groups before the start of the season. Allow farmers to ask questions.</p> <ul style="list-style-type: none"> <li>• Procure examples of improved/ unimproved seeds and dispatch to each extension agent.</li> <li>• Equip extension agents with FAQ document (black &amp; white) to handle questions.</li> </ul> | Ag project officer.  | May - June | \$650 for seed procurement; printing in house.     |



A bean vendor awaits the opening of a CRS organized agricultural fair.

[Photo by Heidi Yanulis for CRS]



# 9

## E = EVALUATE



The  
EVALUATE  
Phase occurs  
throughout  
the project  
cycle.

### ? Why and when to use this chapter

This chapter provides detailed guidance to support monitoring, evaluation, accountability and learning of SBC work (the EVALUATE Phase). The EVALUATE Phase occurs *throughout the project cycle* (beginning from design through implementation and close out).

### ☑ What's included in this chapter

- [Step 16](#): Select SBC indicators.
- [Step 17](#): Monitor and adapt.
- [Step 18](#): Evaluate.
- [Step 19](#): Document learning and success.
- [EVALUATE Phase Checklist](#)
- [EVALUATE Phase Template](#): SBC MEAL Worksheet.


### 📌 Key points

- “If you can’t measure it, you can’t improve it.” — William Thomson
- Consider monitoring, evaluation, accountability and learning (MEAL) aspects throughout the **ABCDE Process** (not only at the end).
- Include indicators in your MEAL system that allow you to measure exposure to your SBC efforts, changes in your priority **determinants/ change aims**, and the actual uptake of behaviors.
- Regularly monitor progress against SBC indicators and plans, including at quarterly and annual review and planning meetings.
- Adapt, pivot, or scale SBC activities based on data.
- Use periodic evaluations to better understand progress against outcomes.
- Use tailored approaches to document and disseminate successes, learning and changes made to both internal and external audience.

## Overview of the EVALUATE Phase

Monitoring and evaluation are the focus of this chapter, however, MEAL is intertwined at every step of the ABCDE Process. Having robust monitoring and evaluation allows a project to answer key questions, such as: What is working and what isn't? Where and how can it be improved? Is it cost-effective? How can it be replicated and sustained locally? It is especially important to have timely, reliable and usable MEAL (monitoring, evaluation, accountability and learning) data for SBC. Shifting perceptions, norms, attitudes and behavior is a complex phenomenon, and must be rooted in evidence, measurement, and a process of continued learning and adaptation.

This chapter includes four steps – however, these steps do not come at the end of the SBC process. Rather, they are simply combined here to consolidate MEAL related topics.

| EVALUATE  |  |
|--|--|
| <p><b>Step 16:</b><br/>Select SBC indicators</p>   | <ul style="list-style-type: none"> <li>• Select indicators for exposure, determinants, and behavioral adoption, that align with your SBC strategy.</li> </ul>  |
| <p><b>Step 17:</b><br/>Monitor and adapt</p>   | <ul style="list-style-type: none"> <li>• Monitor SBC indicators regularly.</li> <li>• Identify unintended or unanticipated effects.</li> <li>• Adapt messages, activities and approaches as needed.</li> </ul> |
| <p><b>Step 18:</b><br/>Evaluate</p>  | <ul style="list-style-type: none"> <li>• Engage stakeholders in assessing progress against objectives.</li> <li>• Plan adaptations or scale up.</li> </ul>   |
| <p><b>Step 19:</b><br/>Document learning and success</p>                                     | <ul style="list-style-type: none"> <li>• Share learning in appropriate formats for internal and external audiences.</li> </ul>   |

## Step 16: Select SBC indicators

Selecting SBC indicators will happen at various points in the project cycle and ABCDE Process. This work should be done in conjunction with MEAL colleagues. During the project design, you should include appropriate indicators in your project Proframe (see also [Step 4](#)). During project start up, through the [CRS SMILER \(Simple Measurement of Indicators for Learning and Evidence-based Reporting\)](#) process, you will build and expand a MEAL system, appropriate for the SBC design. Once your SBC project strategy is developed, you should reconfirm that the indicators in your MEAL plan remain well aligned with your strategy, and make any further adaptations as needed and feasible (see also [Step 12](#)).

SBC-related indicators measure processes and approaches implemented by the project to motivate and increase uptake and/or maintenance of behaviors among the intended **primary group**.

Indicators should measure change at three levels:

- 1 **Exposure to SBC programs.** These indicators on reach, recall, understanding, relevance, trustworthiness and/or quality and process give you a picture of how well SBC activities are being implemented.
- 2 **Behavioral Determinants.** These indicators measure to what extent the project achieved its **change aims**, and to what extent the project overcame **barriers** (created expected intermediate change). These indicators might measure changes in skills, knowledge, access, attitudes, motivation, **social norms**, etc. that are linked to the behavior. Assessing these indicators over time can tell you whether your activities are creating the expected changes.
- 3 **Behavior Change.** These indicators measure actual behavior (or norms) change (or intention to change). If project participants are sufficiently exposed to effective project activities, which in turn shift the key determinants linked to the behavior, it should increase their intention to act, ultimately leading to behavior or norms change. These indicators will tell you what extent the behavior is practiced. Assessing behavior or norms prevalence over time can tell you whether the behavior has been adopted. Comparing behavioral adoption in the project area to another area (for example a control area) can help you establish whether the changes are likely due to your project interventions.

Having data at each of these levels will help programs understand if SBC activities are changing behavior, and if they are not, where and why issues might be occurring, as well as how results might be improved. Data for SBC indicators can come from quantitative surveys, qualitative methods such as interviews or focus group discussions, as well as routine monitoring systems. Keep in mind: data collection should focus on gathering information that is *necessary* for assessing and improving SBC activities, not just information that is *nice* to have. Data collection for too many indicators may be

overwhelming, so make sure all indicators are essential and actionable. It is important to work with the MEAL team to create a system that allows data collected from field monitoring tools to flow into the overall MEAL system, for analysis that will support program improvement.

Defining and measuring indicators related to behaviors - and especially **behavioral determinants** - can require nuance and adaptation, so involve MEAL colleagues and SBC Technical Advisors for support and guidance as needed.

Refer to Table 19, below, for additional information about the types of indicators and data collection methods, including examples and suggestions on selecting appropriate indicators.

**Table 19. SBC Indicator Selection Guidance**

|  |   |
|--|---|
| <b>Indicator Type</b>                  | <b>Exposure - Reach</b>   |
| <b>What it tells you</b>               | How many people participated in your activity or “heard” the message.   |
| <b>Examples</b>                        | Number of caregivers participating in Care Group sessions.<br>Number of farmers that participated in a training.<br>Number of community members who attended a community consultation.<br>Number of radio listeners who tuned into a sponsored program.         |
| <b>Typical data collection methods</b> | Project records (most cases) or survey or social media analytics.   |
| <b>Typical collection frequency</b>    | Routine (e.g. monthly, quarterly for project records).<br>Periodic (annual, post campaign) for surveys.   |
| <b>Notes</b>                           | Reach indicators are usually based on project records and reports and are part of ongoing project monitoring.<br>For mass media interventions, a survey may be needed to gather information about how many people in the target audience were actually reached. |

Table 19. SBC Indicator Selection Guidance

|  |   |
|--|---|
| <b>Indicator Type</b>                  | <b>Exposure - Recall</b>  |
| <b>What it tells you</b>               | Whether participants remember or recall what they experienced or heard in SBC activities.   |
| <b>Examples</b>                        | % of caregivers who could recall the message “one egg a week for a healthy child”.<br>% of farmers who could recall the message “composting makes crops grow without the cost of fertilizer!”   |
| <b>Typical data collection methods</b> | Survey, exit interview, structured interview<br>(Participant survey, KAP survey, SMS survey, etc).  |
| <b>Typical collection frequency</b>    | Periodic (e.g. annual or post campaign, midterm/ final evaluation or as needed).  |
| <b>Notes</b>                           | Recall indicators can be collected through larger KAP surveys, in exit interviews following an activity or an event, or through rapid, short surveys or interviews.<br>Example recall questions might include: <i>In the past two weeks, have you heard a message about child nutrition? If yes, where did you hear this message? Can you tell me what the message is? How many times did you hear it?</i><br>You may elect to include recall indicators on an “as needed” basis – for example only if your project records show reach but your behavioral determinant indicators are not shifting, or if your routine field visits suggest recall may be an issue. |

|  |  |
|--|--|
| <b>Indicator Type</b>                  | <b>Exposure - Understanding</b>  |
| <b>What it tells you</b>               | Among those who can recall a message, how many correctly comprehend the aim of the message or what it was asking them to do.   |
| <b>Examples</b>                        | % of caregivers who could recall the message “one egg a week for a healthy child”.<br>% of farmers who could recall the message “composting makes crops grow without the cost of fertilizer!”  |
| <b>Typical data collection methods</b> | Survey, exit interview, structured interview<br>(Participant survey, KAP survey, SMS survey, etc).   |
| <b>Typical collection frequency</b>    | Periodic (e.g. annual or post campaign, midterm/ final evaluation or as needed).   |
| <b>Notes</b>                           | Understanding indicators can be collected through larger KAP surveys, in exit interviews following an activity or an event, or through rapid, short surveys or interviews.<br>Example recall questions might include: <i>In the past two weeks, have you heard a message about child nutrition? If yes, where did you hear this message? Can you tell me what the message is? How many times did you hear it?</i><br>You may elect to include recall indicators on an “as needed” basis – for example only if your project records show reach but your behavioral determinant indicators are not shifting, or if your routine field visits suggest recall may be an issue. |

Table 19. SBC Indicator Selection Guidance

|  |  |
|--|--|
| <b>Indicator Type</b>                  | <b>Exposure - Relevance</b>  |
| <b>What it tells you</b>               | Whether members of the priority group feel that project activities and message are intended for or are relevant for them.  |
| <b>Examples</b>                        | % of farmers who feel that composting is relevant to them .<br>% of caregivers who agree that the messages about nutrition are meant for someone like them.  |
| <b>Typical data collection methods</b> | Survey (Participant survey, KAP survey, SMS survey, etc.), exit interview.   |
| <b>Typical collection frequency</b>    | Periodic (e.g annual or post campaign or as needed).   |
| <b>Notes</b>                           | <p>Relevance indicators are typically collected through a survey. Questions may be included in existing routine surveys, or standalone special surveys designed to explore SBC efforts. Additional input on relevance may be collected through interviews or focus group discussions though this data cannot be expressed in percentages.</p> <p>Sample survey questions could include <i>“Regarding the messages about child nutrition, do you think these messages are meant for someone like you?”</i> or, <i>“Do you think that the actions described in this message is possible for someone like you.”</i></p> <p>You may elect to include relevance indicators on an “as needed” basis – for example only if your routine field visits suggest relevance may be an issue.</p> |

|  |   |
|--|---|
| <b>Indicator Type</b>                  | <b>Exposure - Trustworthiness</b>   |
| <b>What it tells you</b>               | Whether members of the priority group believe in or trust either the message itself or the messenger / channel through which the message was delivered.   |
| <b>Examples</b>                        | % of target households who have confidence in information received from community health workers / lead farmers.<br>% of mothers who trust the antenatal advice of the CHW.   |
| <b>Typical data collection methods</b> | Survey (Participant survey, KAP survey, SMS survey, etc.), exit interviews.   |
| <b>Typical collection frequency</b>    | Periodic (e.g. annual or post campaign or as needed).   |
| <b>Notes</b>                           | <p>Trustworthiness indicators are typically collected through a survey. Questions may be included in existing routine surveys, or standalone special surveys designed to explore SBC efforts. Additional input on trustworthiness may be collected through interviews or focus group discussions though this cannot be expressed in terms of percentages.</p> <p>Sample survey questions could include <i>“The main message on the radio says exclusively breastfeeding your child for the first six months, and not giving any other food or liquids, is what is best for them. To what extent do you believe that this is accurate?”</i></p> <p>You may elect to include recall indicators on an “as needed” basis – for example only if your project records show reach but your behavioral determinant indicators are not shifting, or if your routine field visits suggest recall may be an issue.</p> |



**Table 19. SBC Indicator Selection Guidance**

|  |   |
|--|---|
| <b>Indicator Type</b>                  | <b>Exposure - Quality</b>   |
| <b>What it tells you</b>               | How well activities are being implemented.<br>Whether SBC promoters have the capacity to deliver accurate content and in an engaging way.<br>Whether the implementation/ process is going as planned.   |
| <b>Examples</b>                        | % of CHWs scoring 80% or above on the quality improvement and verification checklist for home visits.<br>% of Lead farmers who demonstrate compost correctly.<br>% of health providers who ask the patient if they have any questions before concluding the appointment.  |
| <b>Typical data collection methods</b> | Project field monitoring tools.   |
| <b>Typical collection frequency</b>    | Routine in ideal cases (e.g. where quality monitoring is embedded in the MEAL system) .<br>Else periodic (e.g. annual or special studies or midterm evaluation).  |
| <b>Notes</b>                           | <p>Quality indicators and accompanying quality improvement systems present opportunities to reinforce good performance and strengthen weaknesses in implementation. For instance, if SBC activities are being conducted by a community volunteer or field agent, it is important to understand if messages are being shared correctly and in such a way that encourages trust (Do they make eye contact? Do they ask questions?), comprehension, and participant's motivation to adopt behaviors. Applying a systematic quality improvement approach can help your project efficiently and effectively overcome weaknesses and improve delivery - and therefore results. Including quality indicators into the routine MEAL system can also help with data use and flow.</p> <p>Data for quality and process indicators are often gathered by observation, such as by using a checklist while observing SBC promoters as they interact with project participants. They might also be administered as a test (to assess knowledge or self-reported behaviors of promoters).</p> <p>Qualitative methods – such as discussions with front line staff – should complement quantitative data to help better understand what may be driving implementation successes or challenges.</p> |

Table 19. SBC Indicator Selection Guidance

| Indicator Type                  | Behavioral Determinants  |
|---------------------------------|--|
| What it tells you               | <p>To what extent the project achieved its change aims.</p> <p>To what extent the project overcame barriers (created expected change).</p> <p>Whether exposure to programmatic activities is working and resulting in the change expected by reducing barriers or increasing facilitators.</p>   |
| Examples                        | <p>% of caregivers of children 6-23 months who believe they have the skills needed to prepare diverse foods for their children (self-efficacy).</p> <p>% of farmers who believe that composting is worth the effort (outcome expectation).</p> <p>% of priority group who believe the majority of their peers support the target behavior (social norm).</p> <p>% of community leaders with favorable attitudes related to delayed marriage for girls (attitude / approval).</p>   |
| Typical data collection methods | <p>Survey (Participant survey, KAP survey, etc.)..</p> <p>Focus group discussions (most cases) or qualitative interview (sensitive topics).</p> <p>Interviews (exit, in-depth).</p>  |
| Typical collection frequency    | <p>Periodic (e.g. baseline, midterm and final, or annual survey).</p> <p>Collect data to measure shifts as soon as possible after you would expect to see some change, so that you can confirm the intended effect. Do not wait until endline or the data will not be actionable.</p>  |
| Notes                           | <p>Because behavioral determinants measure context specific factors, indicators need to be tailored to the project; standard indicators are rarely available. Look to external sources for examples of behavioral determinant indicators and adapt them as needed to the project.</p> <p>Since determinants may have been uncovered and prioritized during the formative inquiry, appropriate indicators may not exist in the routine MEAL system. Additional indicator needs should be discussed with the MEAL team and be aligned with available resources.</p> <p>These indicators may measure knowledge, awareness, skills, self-efficacy, access to resources, attitudes, beliefs, motivation – whichever determinants are <i>prioritized</i> by the project’s change aims (see <a href="#">Step 10</a>). To track progress over time, a baseline survey of these indicators (which likely will need to take place after a project wide baseline) and/or multiple, repeating surveys will be needed.</p> <p>Qualitative methods – such as discussions or participant interviews– should complement quantitative data to help better understand what participants are doing and why, as well as any contextual changes that need to be addressed.</p> <p>It may not be possible or necessary to collect data on behavioral determinants as frequently as indicators for exposure. It may take repeated exposure to project activities to result in shifts in attitudes, beliefs, knowledge, etc. so measuring change at less frequent intervals may suffice.</p> |

**Table 19. SBC Indicator Selection Guidance**

|  |  |
|--|--|
| <b>Indicator Type</b>                  | <b>Behavior Change</b> / (change in) Prevalence of behavior  |
| <b>What it tells you</b>               | To what extent the behavior is practiced. Assessing behavior prevalence over time can tell you whether the behavior has been adopted. (Baseline prevalence can help you confirm whether the behavior is a priority for change.)  |
| <b>Examples</b>                        | % of children 6-23 months receiving a diet of minimum diversity.<br>% of farmers who have adopted 3 or more climate smart practices (disaggregated for the practice of interest).<br>% of children < 5 who slept under an ITN.   |
| <b>Typical data collection methods</b> | Survey (Participant survey, KAP survey, etc.).<br>Focus group discussions (most cases) or qualitative interviews (sensitive topics).   |
| <b>Typical collection frequency</b>    | Midterm and Final evaluation or annual surveys.  |
| <b>Notes</b>                           | <p>Standard indicators exist for many, but not all, behaviors. Appropriate behavior adoption indicators may have already been included in the project's Indicator Performance Tracking Table, in which case the team may only need to map aims to existing indicators. In other cases, new indicators may be needed, which needs to be discussed with the MEAL team.</p> <p>Collect this data at baseline and before endline (annual survey or midterm) so that corrections can be made during the project. It is not very helpful to know after the project is over that you did not change behaviors as expected! However, note that behavior change can take some time, so there may not be any significant change right away.</p> <p>Qualitative methods – such as discussions or interviews with participants – should complement quantitative data to help better understand what participants are doing and why, as well as any contextual changes that need to be addressed.</p> |

**Table 19. SBC Indicator Selection Guidance**

|  |  |
|--|--|
| <b>Indicator Type</b>                  | <b>Norms change</b> / (change in) Prevalence of a norm   |
| <b>What it tells you</b>               | To what extent the population is influenced by a norm.<br>Assessing norms over time can tell you whether the norm is shifting.   |
| <b>Examples</b>                        | % of women who report that people like them breastfeed exclusively.<br>% of men who report who report that most people who are important to them support sharing household chores with their wives.  |
| <b>Typical data collection methods</b> | Survey (Participant survey, KAP survey, etc.).   |
| <b>Typical collection frequency</b>    | Midterm and Final evaluation or annual surveys.  |
| <b>Notes</b>                           | Collect this data at baseline and before endline (annual survey or midterm) so that corrections can be made during the project. It is not very helpful to know after the project is over that you did not change a norm as expected! However, note that norms change can take some time, so there may not be any significant change right away.<br><br>Qualitative methods – such as discussions or interviews with participants – should complement quantitative data to help better understand what participants are doing and why, as well as any contextual changes that need to be addressed. |



Community facilitator Monica Lukwawi speaks about nutrition to a CRS Journey of Hope delegation visiting Kenya. [Photo by Laura Elizabeth Pohl for CRS]

**Don't expect to get behavior change right on the first try. Plan to monitor and adapt throughout the project.**



## Step 17: Monitor and adapt

Shifting behavioral determinants, and ultimately, changing behavior, requires adaptive management. Due to the complicated nature of human behavior and the contexts in which we work, implementers should not expect that they will always “get it right” the first time. In fact, implementers should plan to revise and adapt SBC approaches and messages multiple times throughout the life of the project as they utilize data to refine approaches. Monitoring your SBC initiative will help you focus on results, make sure activities are happening as planned, and identify problems or performance gaps in real time.

Be sure to include SBC in your evidence-based, action-oriented project management systems, including intentional reflection, learning and adaptation events and cross-disciplinary, evidence-based project review and planning meetings. It is much better to monitor closely and adjust early than to wait until the end of a project to learn that social or behavior change was not achieved. SBC monitoring will follow from the MEAL plan that is established as part of the strategy (see [Step 16](#) & [Step 12](#)). Good project management depends on collecting monitoring data — both quantitative and qualitative — and processing the feedback for ongoing adjustments that will drive continuous improvement. Review monitoring data regularly to assess if participants are being exposed to activities as planned and if that exposure is leading to shifts in behavioral determinants. Monitoring data can shed light on exactly which elements should be improved, and by understanding and interpreting the data, implementers can make decisions about how best to adjust programming elements to increase effectiveness.



Kabalewa Youth football club in Mainé Soroa, Niger, often plays friendly matches to attract other young people and foster social cohesion. [Photo by Hadjara Laouali Balla for CRS]

Always be attentive to unintended or unanticipated effects.



Expect that adjustments, and sometime even large pivots, will be necessary. If changes are not happening as expected, you might need to collect some additional data (for example, a special study to explore understanding or trustworthiness) to guide you to understand where the challenge is. Qualitative inputs - for example, from interactions with front line staff or field visits with participants - can complement MEAL system data, highlight which factors may influence performance and identify specific needs for mentoring or adjustments to implementation systems. It may also bring to light any unintended or unanticipated effects, for which implementers should always be on the lookout.

As noted in [Step 16](#), numerous indicators can be collected to understand performance of SBC activities. Some of these SBC indicators, especially those related to exposure, program quality, and even **behavioral determinants**, should be incorporated into monitoring. In addition to the typical methods noted above, such as surveys and focus group discussions, other monitoring methods can be used to collect data for SBC indicators. A few of these include;

Consider augmenting typical monitoring activities with additional methods.



*Intercept Interviews or Exit Interviews:* these rely on very short, structured questions designed to gather feedback directly and quickly from participants. Interviewers are strategically placed in or near a location of interest for the program (example: health clinic) or where an SBC activity may have occurred (example: farmer demonstration site or after a community meeting). Interviewers select eligible participants and ask a few targeted questions that provide data for indicators for exposure, quality or determinants of behavior.

*Short Message Service (SMS) or Interactive Voice Response (IVR) Surveys:* are administered remotely through mobile phones. SMS surveys send survey message prompts and receive participant replies through text message. Alternatively, IVR surveys use pre-recorded, interactive audio messages delivered via automated phone calls. The IVR systems calls participants and plays the pre-recorded questions that participants can respond to with verbal or keypad responses. Of note, SMS and IVR can also be used to deliver messages or reminders, and thus be used for programmatic purposes as well as data collection.

*Social Media Analytics:* Social media is becoming an increasingly important vehicle for the sharing of information and opinions, and development programs are similarly increasing their use of this tool to reach participants and spread information. Most social media platforms come with very robust analytics built in, which measure the number of views, likes, shares, comments, and engagement.



### Key tips!

- Bring an SBC lens to existing quarterly and annual review and planning meetings (required by [CRS MEAL Procedure 2.4](#) and CRS Project Management [Standard 11](#)), so you can engage stakeholders frequently in reflecting on data, progress and challenges, reviewing the strategy and activities, and making plans to adapt as and when needed.
- Share progress with field staff and participants to help interpret results, celebrate successes, and seek input on how to overcome challenges identified.
- Involve project participants in monitoring so they feel greater ownership of project outcomes and have the opportunity to share their insights into progress and improvements (refer also to [CRS MEAL Procedure 2.1](#)).
- Update activities as needed to stay relevant and improve effectiveness. Document any and all updates and their rationale.
- Adapt to address unintended or unanticipated effects.



A young Nigerian child receives hand sanitizer as part of CRS efforts to augment its malaria prevention efforts with COVID-19 prevention protocols. [Photo by Francis Nweke for CRS]



### Example. Adapting SBC strategy based on monitoring data

A malaria project sought to improve uptake of Intermittent Presumptive Treatment of Malaria in Pregnancy (IPTp), which was 16% at baseline. The initial assessment and formative inquiry process revealed that only 30% of women attended Prenatal Care visits where IPTp is provided. Women cited that Prenatal Care clinics were far away (access challenges) and that they did not see the benefits of routine Prenatal Care.

The project sought to improve women's perception that Prenatal Care was worthwhile to prevent malaria in pregnancy, and to improve women's access to Prenatal Care by supporting mobile clinics. However, after several months of implementation, when reviewing monthly health facility reports, the project team found that the percentage of women receiving IPTp remained low (at 20%). Reports from the field suggested women were more interested in attending Prenatal Care and reported doing so. The project team decided to explore in more detail, saw that there had been an increase in women attending four or more Prenatal Care visits (from 30% to 52%).

They realized that women were attending Prenatal Care visits but not receiving IPTp. After talking to pregnant women and to Prenatal Care providers, the team found that Prenatal Care providers were not consistently offering IPTp to pregnant women because there were shortages of IPTp medication (access barriers), and because Prenatal Care providers felt it takes too much time to deliver and record IPTp use (perceived negative consequences).

The program therefore decided to add a focus on the behavior "providers consistently offer and document IPTp delivery to pregnant women" with activities designed to improve the supply chain. It created a simple checklist and improved clinic flows so that it was easier for providers to offer and document IPTp. They also targeted health workers through a WhatsApp group, with reminders that a good health worker provides IPTp to all pregnant women, drawing on their motivations to be seen as 'good' providers. After one year of implementing the new approach, IPTp uptake had improved to 54%.

## Step 18: Evaluate



### Definition

Evaluation is a systematic process to determine how effective your SBC efforts have been at achieving stated objectives.

CRS [MEAL Policy 3](#) outlines expectations for evaluations, including development and review of reference terms by regional MEAL advisor for all evaluations. Donors may also need to approve evaluation plans.

Midterm evaluations may focus more on process than impact and will offer you an opportunity to learn and adapt for the next phase of implementation. Ideally, at midterm, a KAP survey will be conducted that includes all SBC indicators (exposure, behavioral determinants, behavior) to give implementers a clear idea of how activities are working and progress made toward project goals. Qualitative data may also be very useful to better understand the “why” behind what is and what is not working well. Work with your team to interpret and apply data from a midterm evaluation to make relevant adaptations and improvements, or to plan for the scale-up.

End-line evaluations that focus more on impact may be disseminated more broadly for shared learning in the professional community. It is important to have done a robust baseline against which to compare data and demonstrate change over time with an endline survey. If a follow-on project is planned, those results will also be extremely important for designing and adapting the next phase.

**Consider Institutional Review Board approval at startup if you think you may end up publishing results.**



At the end of a project, many teams often want to publish the results of their endline surveys and other research, and this is very important and encouraged. However, it is generally necessary to have undergone and received Institutional Review Board (IRB) approval at the start of the project to submit results for publication in peer-reviewed journals and in some academic settings. While receiving IRB review can take some extra time and effort (and at times some funding), it does allow the project team to disseminate project learning and success more widely at the end of the project. At project start up, consider whether it might be worthwhile to receive IRB approval for any surveys or research, to offer more flexibility to publish and disseminate project results widely.

When your team is engaged in an evaluation, keep in mind the following tips:

- Select an appropriate mix of qualitative (interviews, observation) and quantitative (surveys, inventories) methods that align with your evaluation questions to capture a range of changes taking place at individual, community and social levels.
- Involve local stakeholders, including participants, in the evaluation to capture their perspectives and contribute to their learning and capacity development.
- Measure progress based on SBC indicators in the MEAL plan and SBC strategy, analyzing against baseline indicators as applicable.

- Ideally, evaluate behavior change, changes in determinants, as well as exposure (recall, reach, understanding, relevance, trustworthiness and/or quality).
- Explore to what extent the SBC activities were implemented in accordance with the original design (fidelity).
- Document what adaptations were made to SBC activities, why, and how effective and timely the adaptations were.
- Work with evaluation team to ensure the project's SBC elements are documented clearly and effectively.

### **Step 19: Document learning and success**

The results of midline and endline evaluations often result in comprehensive reports, however, the audience for these reports may be limited. Consider documenting and disseminating learning from SBC activities in a multitude of formats so that this hard-won experience and knowledge is shared as widely and effectively as possible. These could be long and short reports, 2-pagers, how-to guides, webinars, handbooks, etc. Furthermore, consider sharing learning with a multitude of audiences and forums, including:

#### **External Audiences**

- Project participants and communities (refer also to [MEAL Procedure 3.8](#))
- Project partners and stakeholders
- Relevant local and national ministries
- National and international technical working groups
- Technical conferences
- Peer-reviewed journals

#### **Internal CRS Audiences**

- Country program staff outside the project
- Regional meetings, working groups
- Communities of Practices
- PIQA and technical teams
- All agency webinars

## Additional Resources

- ▶ USAID Global Health e-Learning Center. 2018. Social and Behavior Change (SBC) Program Monitoring. <https://www.globalhealthlearning.org/course/social-and-behavior-change-sbc-program-monitoring> *Free, two-hour self-paced online course on monitoring SBC. Included examples are health related. Requires a free registration.*
- ▶ USAID Breakthrough Action. N.d. Measuring SBC Program or Campaign Exposure. <https://learning.breakthroughactionandresearch.org/courses/measuring-social-and-behavior-change-sbc-program-or-campaign-exposure-e-learning-course/> *This one-hour course provides more details on how to measure exposure, including examples of questions and data sources.*
- ▶ USAID Advancing nutrition. 2021. Monitoring Social and Behavior Change for Multi-Sectoral Nutrition. <https://www.advancingnutrition.org/resources/monitoring-social-and-behavior-change-multi-sectoral-nutrition> *A simple resource with examples of monitoring approaches and indicators. Examples included are nutrition-related but the guide can serve other sectors as well.*
- ▶ TOPS. 2012. Quality Improvement & Verification Checklists. [https://www.fsnnetwork.org/sites/default/files/QIV%20checklist\\_508.pdf](https://www.fsnnetwork.org/sites/default/files/QIV%20checklist_508.pdf) *An example of a quality checklist that can be used/customized to ensure the quality of interpersonal communication activities. Available in French and English.*
- ▶ USAID Breakthrough action. N.d. SBC Monitoring guidance: Intercept interviews. <https://breakthroughactionandresearch.org/wp-content/uploads/2018/10/SBC-Monitoring-Guidance-Intercept-Interviews.pdf> *A two-page resource on using intercept (exit) interviews for monitoring SBC.*
- ▶ USAID Breakthrough action. N.d. SBC Monitoring guidance: Short Message Service and Interactive Voice Response Surveys. <https://breakthroughactionandresearch.org/wp-content/uploads/2018/10/SBC-Monitoring-Guidance-SMS-IVR.pdf> *A two-page resource on using SMS or IVR surveys for monitoring SBC.*
- ▶ USAID Breakthrough action. N.d. Social and Behavior Change monitoring guidance. <https://breakthroughactionandresearch.org/social-and-behavior-change-monitoring-guidance/> *A website where you can learn more about other potential specialized monitoring techniques, such as broadcast monitoring, outcome harvesting, and social media analytics, among others.*



## EVALUATE Phase Checklist

| RECOMMENDED PRACTICE   | Y | N |
|--|---|---|
| 1 SBC indicators were included in the project proframe.  |   |   |
| 2 SBC considerations were included in the project MEAL system (SMILER process).  |   |   |
| 3 The MEAL system was reconfirmed or updated when the SBC strategy was finalized.  |   |   |
| 4 The MEAL system includes one or more indicators of exposure (such as reach, relevance, trustworthiness, recall, understanding and/or quality) for each priority behavior.                  |   |   |
| 5 The MEAL system includes one or more indicators linked to <b>behavioral determinants (change aims)</b> for each priority behavior.   |   |   |
| 6 The MEAL system includes one or more indicator of adoption for each priority behavior.   |   |   |
| 7 SBC is integrated in regular project review and planning meetings (for example, features on the agenda, is a work stream, or is part of the instructions or guiding questions for review). |   |   |
| 8 Progress on SBC is shared with field staff and project participants.   |   |   |
| 9 Project participants are included in the project monitoring approach.  |   |   |
| 10 <b>Activities, approaches, engagement tactics, messages</b> or content are updated, based on monitoring/evaluation data analysis.   |   |   |
| 11 Data-informed changes to the SBC strategy (for example: activities, approaches, engagement tactics, messages or content) are documented along with their rationale.                       |   |   |
| 12 SBC learning is shared with internal audiences.   |   |   |
| 13 SBC learning is shared with external audiences.   |   |   |
| 14 SBC learning is documented in formats appropriate for the target audience.  |   |   |

Bean farmers in Tanzania tend to their plants. [Photo by Jennifer Lazuta for CRS]






## EVALUATE Phase Template: SBC MEAL Worksheet

**PURPOSE:** Use this tool during the ASSESS and CREATE Phases, or during the SMILER process to help ensure you are adequately monitoring behavior (or norms) changes.

**INSTRUCTIONS:** Use this template to keep track of which indicators will help you monitor your SBC strategy, including behavior adoption, determinant, and exposure indicators for each priority behavior. The dark colored section provides instructions. The light shaded sections show examples. Use the blank template [provided here](#) to fill in your own information. This template is not intended to replace SMILER tools.

| <b>BEHAVIOR</b><br>Copy behavior (or norm) statements here. Add additional rows as needed. | <b>ADOPTION</b><br>Include here the indicator(s) included in the project MEAL plan to measure/track behavior adoption. | <b>DETERMINANTS</b><br>Include here the indicator(s) selected to measure/track progress against change aims.   | <b>EXPOSURE</b><br>Include here other relevant indicators that capture exposure, such as those related to reach, recall, understanding, relevance, trustworthiness or quality/process. You may not have indicators for every aspect.  |
|--|--|--|---|
| Farmers use improved maize and bean seeds.   | Percentage of farmers who planted improved maize or bean seeds in any of their fields last season (M/F).               | Percentage of farmers who agree that planting improved seeds is worth the cost (M/F).<br><br>Percentage of farmers who agree / strongly agree they can identify improved seed at purchase (M/F). | <b>Reach</b> <ul style="list-style-type: none"> <li>• Number of active farmer groups.</li> <li>• Number of radio spots aired.</li> </ul> <b>Recall</b> <ul style="list-style-type: none"> <li>• Percentage of surveyed farmers who recall hearing one or more project radio spots (M/F).</li> <li>• Percentage of surveyed farmers who recall seeing the seed buyers guide (M/F).</li> </ul> <b>Understanding/relevance</b> <ul style="list-style-type: none"> <li>• Percentage of surveyed farmers who report that the seed buyer guide is helpful and easy to use (M/F).</li> </ul> |

A young man wearing a red beanie and a red long-sleeved shirt is watering plants in a field. He is holding a large metal watering can. In the background, an older man is crouching and working in the field. The field is surrounded by a fence made of dried grass and sticks. The sky is blue with some clouds.

Stephano and his father  
Mariko Maulana water their  
vegetable patch in Malawi.

[Photo by Dooshima Tsee for CRS]



# Glossary

**A** **ABCDE Process.** A systematic process for developing an SBC project that includes five steps: Assess, or define the problem, behavior and priority group; Build an understanding of the context through formative inquiry; Create a strategy; Develop messages and materials; and Evaluate effectiveness and refine as needed.

**Access.** A [behavioral determinant](#) category that considers the extent to which people feel that relevant goods, services, resources are available to practice the behavior. Access includes physical access (whether the needed inputs are conveniently available to the target group), financial access (whether the target group can afford the needed inputs), and social access (whether the priority group is allowed to access the inputs).

**Action Efficacy.** A [behavioral determinant](#). Refers to whether or not the person thinks the action will be effective in overcoming a problem or accomplish something that the person wants.

**Activities.** The functions undertaken by the project, and identified in your proframe, to deliver the project's outputs to the targeted project participants. Examples of activities include radio programming, home visits, farmer field schools, Care Group sessions and the like.

**Approaches.** Categories that describe how SBC activities deliver change. Common SBC approaches include: Interpersonal communication, community-based outreach and engagement, media, advocacy, and structure and design-based approaches.

**Attitude.** A way of thinking or feeling about someone or something. Several classical behavior change models – most notably, the Theory of Reasoned Action – propose that attitude drives behavior. Recent research suggests that engaging in a behavior can also drive attitudes.<sup>1</sup>

**B** **Barrier.** An obstacle that is preventing someone from adopting a behavior.

**Barrier Analysis.** A specific formative inquiry method that seeks to identify which determinants are significantly different (statistically), between people who practice the studied behavior and those that do not practice that behavior. Barrier analysis is similar to a [Doer/Non Doer Study](#) but includes more determinants. A guide is available here: <https://www.behaviourchange.net/barrier-analysis-ba>

**Behavior.** An action that is observable, specific, measurable, and feasible.

**Behavior Change Communication (BCC).** A limited approach to [Social and Behavior Change](#) that recognizes that human behavior is driven by an array of behavioral determinants and that interactive and engaging approaches

(such as peer groups, community drama) are needed to support change. However, unlike social and behavioral change communication, behavior change communication does not explicitly address the social forces that may influence an individual's behavior.

**Behavior Statement.** A summary sentence which articulates the identified [priority group](#), a verb about what we them to do, and any details such as time, quantity, etc.

**Behavioral Determinant.** A category of factors that influence whether someone practices a behavior (or not). Common determinants include: Self-Efficacy, Perceived Social Norms, Perceived Positive Consequences, Perceived Negative Consequences, Perceived Severity, Perceived Susceptibility, Action Efficacy, Perception of Divine Will, Cues for Action, Access, Policy, Social Relationships, Emotion, and Community Capacity, among others. Behavioral determinants can be [drivers](#) or [barriers](#).

**Behavioral Economics.** The application of psychology to the discipline of human decision-making, to explain that not all choices are rational.



**Change Aim.** The specific change you want to create in a behavioral determinant. Change aims should include what you want to change among the target group and a directional verb (increase, decrease, improve, etc.) that specifies how you want it to change. For example, your change aim might be “to increase the perception that there are ways to complete chores and also attend a life skills course” in support of the behavior “students attend extracurricular life skills courses.” Change aims are also sometimes called “bridges to action.”

**Community Engagement.** Participatory activities focused on behavior change, promoting dialogue, shared decision-making, and empowerment among large groups (more than 15) of people at a time. These activities are more participatory than [community outreach](#) activities.

**Community Mobilization.** Activities that seek to engage local leaders' support, to drive social and behavior change. Like community engagement activities, community mobilization activities are well suited to addressing [social norms](#).

**Community Outreach.** Activities focused on disseminating information or resources on a specific issue to large groups of people (more than 15) at a time. These types of activities can create awareness of an issue but are rarely sufficient to generate change. Therefore, they should typically be used in combination with other activities.

**Concept Development.** The process of developing a tagline or key visual that holds the SBC campaign together. Another way of looking at it is some kind of representation with visuals, that will demonstrate how the messages and the communications will be delivered, and offer engagement in a unique way.

**Concept Testing.** The process of sharing concept ideas with members of the intended priority group, to get their feedback, revise and finalize before widespread use.

**Core Content.** Core content encompasses the main points a project wants to convey. It is more comprehensive than a [message](#).

**Creative Brief.** A short document (typically 3-7 pages) with essential information, based on your formative inquiry findings and SBC strategy, specifying the behaviors and change aims, priority groups, key messages (meaning the main idea that will be conveyed, *not* necessarily the words that will be used in materials), and tone or feeling associated with any materials or activities. A creative brief template is provided as [Annex 7.2](#).

**Cue to Action.** A [behavioral determinant](#) category that considers the extent to which people remember to practice the behavior or how to do it.

**Cultural Asset.** The arts, music, language, traditions, stories, and histories that make up a community's identity, character, and customs.

**D Demand.** An economic principle referring to how much of a product or service is desired by customers. In SBC, demand similarly refers to interest in acquiring or willingness to use a product or service as a part of a behavior change. For example, an SBC program may focus on creating demand for a product such as a water filter, or a service, such as prenatal care.

**Descriptive Social Norm.** A [behavioral determinant](#). A type of [social norm](#) that refers to what people in a group believe is typical, normal behavior.

**Determinant.** See [behavioral determinant](#).

**Digital Media.** The use of digital platforms such as the internet and cellular phone networks. Sometimes called Information and Communication Technologies for Development (ICT4D).

**Doer/Non-Doer Study.** A specific formative inquiry method that seeks to identify which determinants are significantly different (statistically) between people who practice the studied behavior and those who do not practice that behavior. Like a [Barrier Analysis](#) but uses a more restrained list of possible determinants.

**Driver (Motivator - Positive).** A [behavioral determinant](#) that positively impacts whether someone practices the behavior; a factor that facilitates or makes it easier for a person to practice the desired behavior. Also sometimes referred to as an enabling factor, or facilitator.

**E Early Adopters.** A small segment of the population, usually opinion leaders, who believe change is needed but may require guidance on how to bring about the change.

**Early Majority.** A large segment of the population, about one third, who are faster than average to adopt a new behavior.

**Enabling Factor (Driver).** See [driver](#).

**Engagement Tactic.** Engagement tactics are tools (like storytelling and games) that can be embedded within a project activity (like Care Groups or radio messages) to engage the audience creatively.

F

**Facilitators.** See [driver](#).

**Field Testing.** Using the materials for some time with a small segment in the project, to confirm their widespread relevance before final revision and full-scale production.

**Focus Group Discussion (FGD).** A qualitative data collection method, often used as part of formative inquiry and pre-testing materials. Involves 6 to 12 people who are invited to discuss a specific topic in detail, eliciting group norms and perspectives (not individual experiences). Participants are invited based on a shared characteristic or situation. The discussion is planned and facilitated to ensure maximum participation and in-depth discussion. For additional information please consult the CRS guide: <https://www.crs.org/our-work-overseas/research-publications/practical-guide-focus-group-discussions>

**Formative Inquiry.** A process of collecting information from participants to ensure that interventions are inFORMed by evidence. It entails investigation to understand our project context and priority groups so that the activities/messages/materials we design will be tailored to fit. An essential step in developing an evidence-based SBC approach.

G

**Gamification.** Applying typical elements of game playing (point scoring, competition with others) to encourage engagement and participation.

H

**Human Centered Design (HCD).** An approach to problem-solving that starts by working with targeted users as co-designers, so that products and services resonate and are tailored to their needs. This approach differs from traditional approaches where ‘experts’ design materials that are then deployed to the targeted audience/user (with or without pre-testing).

I

**ICT4D.** Information and communication technology for development. For more information, refer to the CRS ICT4D Hub: <https://crsorg.sharepoint.com/sites/Knowledge-and-Innovation>

**In-depth Interview (IDI).** A qualitative data collection method, often used as part of formative inquiry and pre-testing materials. Used to gather information from an individual, usually selected based on particular characteristics, such as their particular position, experience or expertise (key

informants) or as representative of a particular type of household (priority group). Typically semi-structured, following a list of open-ended questions or a checklist.

**Infodemic.** An infodemic is too much information, including false or misleading information, in digital and physical environments during a disease outbreak. It causes confusion and risk-taking behaviors that can harm health.

**Information, Education and Communication (IEC).** A limited approach to social and behavior change that aims to educate by disseminating information (primarily one-way) through activities such as posters, radio, counseling cards, and lectures. This approach is rarely effective alone.

**Influencing Group.** The people that the [primary group](#) identify as having the most influence on them regarding the behavior of interest. For example, grandmothers are often an influencing group for childcare behaviors because women trust their mothers or mothers-in-law for guidance on this topic.

**Injunctive Norm.** A [behavioral determinant](#). A type of [social norm](#) that refers to what people in a group believe other people expect of them.

**Innovators.** A very small percentage of the population (about 2.5%) who are more willing to set themselves apart and try something new. They usually require very little support or encouragement beyond the idea, to make a change.

**Interpersonal Communication (IPC).** A direct two-way exchange between two or more people. Typically refers to face-to-face interactions, but can also encompass the virtual equivalent (a video call, but not watching a pre-recorded video). Encompasses both verbal and non-verbal communication.



**Key Behavioral Determinants.** The [behavioral determinants](#) that have been established, through formative inquiry, to have an important effect on the behavior. Often the most influential determinants of behavior are social norms, self-efficacy, and positive consequences. Also refers to those behavioral determinants that the project has chosen as its focus, based on evidence.

**Key Informant Interview (KII).** A qualitative data collection method, often used as part of formative inquiry. A type of [in-depth interview](#) used to gather information from an individual selected by a particular characteristic, such as their particular position, experience or expertise.

**Knowledge.** A [behavioral determinant](#). Research suggests that knowledge is often one of the least powerful behavioral determinants. Most SBC efforts will need to address one or more additional determinant(s) to create change.

**Knowledge, Attitude, Practice (KAP) Survey.** A quantitative data collection technique sometimes used as part of formative inquiry and often used to evaluate the success of SBC efforts. Consists of administering a structured

questionnaire (survey) to a sample of members of the priority group. KAPs typically explore knowledge of a specific topic, attitudes towards one or more behaviors, and the practice of specific behaviors, but can also be used to explore other determinants. KAP surveys typically use closed questions (multiple choice) and are administered to a sample size sufficient to establish statistical significance.

**L** **Laggards.** A minority segment (about 15%) of the population that tends to feel very strongly about traditions and among whom change is often the hardest.

**Late Majority.** A large segment of the population (about one third) who are more reluctant to adopt a new behavior. They are usually convinced once most people have already made the change.

**M** **Mass Media.** Mass media includes broadcast and print media that reach a wide audience at large scale. Examples include national or regional television and radio, widely distributed billboards, newspapers and magazines.

**Message.** A message communicates what evidence indicates will encourage behavior change with a particular priority group. That is, it addresses both barriers and drivers (determinants) for that behavior. To be effective, messages must be delivered by the appropriate influential messenger and channel, be integrated into relevant and meaningful content, and be aligned with the values of the priority group.

**Mid Media.** Media distributed through a small, defined, geographic area. Examples include community radio, public announcements, community newsletters, community drama, and similar activities.

**Motivator.** See [driver](#).

**N** **Nudge.** An intervention that encourages uptake of a behavior through unconscious decision-making processes, such as by altering the environment or the choice architecture to make the promoted behavior easier and more intuitive. Examples can include creating a path between toilets and handwashing stations that people intuitively follow, or automatically enrolling people in a service or program unless they opt out.

**P** **Perceived barriers.** A [behavioral determinant](#). Refers to the challenges a person sees to their adoption of the behavior.

**Perceived Benefits/Positive Consequences.** A [behavioral determinant](#). Refers to the advantages (benefits) a person sees for the behavior or the outcome of the behavior.

**Perceived Negative Consequences.** A [behavioral determinant](#). Refers to the disadvantages (drawbacks) a person sees for doing the behavior.

**Perceived Risk/Vulnerability.** A [behavioral determinant](#). Refers to a person's perception of how susceptible or at risk they are to a problem. Also sometimes called perceived susceptibility.

**Perceived Self-Efficacy.** A [behavioral determinant](#). Refers to an individual's belief that he or she can do a particular behavior given their current knowledge and skills; the set of knowledge, skills or abilities necessary to perform a particular behavior.

**Perceived Severity.** A [behavioral determinant](#). Refers to a person's belief about how serious a problem would be if encountered.



Women in Nigeria are receiving durable insecticide treated mosquito nets from CRS, to prevent malaria. [Photo by Michael Stulman for CRS]

**Perceived Susceptibility.** See [perceived risk](#).

**Persona.** A written description of a typical member of a priority group segment you will be working with. It is a composite of a group's members, not describing an actual person but capturing common traits. Sometimes called an audience profile or archetype.

**Photo Narrative.** A data collection technique that involves the use of photography as a prompt for exploratory interviews with participants. Typically, participants themselves are given cameras with which to take pictures of their everyday lives. These photos are then used to prompt discussion during a follow up interview with the participant.

**Pre-Testing.** The process of soliciting feedback from the priority groups to garner insight on whether the key messages, images and other aspects are understood as intended.

**Primary Group.** The people who will practice a key behavior, the ones whose behavior we are ultimately seeking to change. For example, in the case of the behavior “mothers give only breastmilk to their children from birth to 6 months of age,” the primary group is mothers of infants under six months. In the case of “targeted farmers use improved seeds,” the primary group is male and female farmers.

**Priority Group(s).** The most important group(s) whose behavior is relevant to the problem and who we seek to reach with our intervention. The priority groups include the people who need to practice the behavior (the [primary group](#)) as well as the people who support and influence them ([secondary groups](#) consisting of [supporting actors](#) and/or [influencing groups](#)).

**Priority Group Analysis.** The process of creating a detailed profile of each relevant group/sub-group that will allow you to tailor interventions and messages to engage these groups effectively. It involves interpreting data to understand the priority (primary and influencing) groups. It considers socio-economic, psychographic, and demographic characteristics as well as behavioral determinants. In communication efforts, may be referred to as an audience analysis.

**Primary Source.** Data that you have collected first-hand. During formative inquiry, primary data is mostly collected using qualitative methods (semi-structured interviews, focus group discussions or observations), and sometimes using quantitative methods. Primary sources fill secondary source data gaps.



**Qualitative Methods.** The collection, analysis and interpretation of data that is open-ended, text-based or narrative, to provide detailed descriptions of contexts and challenges, events, types of people or households, and observed behaviors.



**Quantitative Methods.** The collection, analysis and interpretation of data that can be counted, coded, or otherwise represented numerically.



**SBC Team.** The group of CRS and partner staff and stakeholders (including participant representatives) who will work together to ensure successful design, implementation and monitoring of activities supporting social and behavior change. The size and composition of the team should be customized to the project: Larger, more complex projects may have dedicated SBC experts, as well as SBC focal points embedded with sectors and partners. Smaller projects may need to count on the Project Manager or a Project Officer to oversee SBC work, drawing on stakeholders and participants input.

**Secondary Group(s).** Other people who need to make a change so that the [primary group](#) can practice the promoted behavior. They may be [supporting actors](#) (people who support or enable the primary actor to do the behavior) or [influencing groups](#) (people who influence the primary group's choices).

**Secondary Source.** Data collected by someone other than a user. Secondary sources include reports, studies and evaluations. Secondary sources can provide accurate information on population figures, socio-economic data, coverage and access to services, etc. But secondary data may be outdated or unreliable, focus on national rather than local contexts, include mostly quantitative data, and usually lack disaggregated information.

**Segment.** A distinct population of sub-groups among a [Primary Group](#) (or [influencing groups](#)). Usually, a segment is made up a specific sub-group with a shared characteristic, within society. For example, older farmers and younger farmers may have different motivators and barriers, representing distinct **segments** of the [Primary Group](#).

**Segmentation.** The process of subdividing priority groups into discrete units with specific, shared characteristics relevant to the behavior, and delivering targeted SBC approaches to different segments of society based on the specific needs and characteristics of that group.

**Small Doable Action (SDA).** Small Doable Actions are small steps towards the ideal behavior or 'next best actions' that people feel confident they can take (considered feasible by the priority group), and which, when practiced consistently and correctly, will lead to project objectives. These might also be called intermediate actions.

**Small Group Discussion (SGD).** Similar to a focus group discussion (FGD), but with a smaller group of participants, usually 2-4. This allows for more intimate and authentic conversation between participants as opposed to a larger group discussion where participants may feel more inhibited or have fewer opportunities to contribute.

**Social and Behavior Change (SBC).** Social and behavior change is the intentional, systematic process that seeks to understand and facilitate changes in behaviors, social norms, and the contexts that drive them.

**Social and Behavior Change Communication.** A subset of [social and behavior change \(SBC\)](#) activities that recognizes individual and societal factors that influence behavioral adoption and focuses on communication (typically two-way communication) to address determinants. Unlike SBC, SBCC does not explicitly recognize that behavior can be influenced without communication, for example, by altering the environment.

**SBC Strategy.** A plan (typically written in narrative or PowerPoint) that describes how your project will reach its social and behavior change aims, based on your project goals, context and formative inquiry findings. It defines what changes you are hoping to see; explains how you will make the behaviors more desirable and feasible to practice and maintain, by describing your activities and how they address key behavioral determinants for the priority group.

**Social Listening.** The process of analyzing what people are saying (including through social media posts) about a topic or brand.



Women in Ghana belonging to a CRS project for “healthy mothers and newborns” gather to sing together.  
[Photo by Michael Stulman for CRS]

**Small Media.** Items with printed messaging, distributed to individuals and small groups. Examples include brochures, flyers, calendars, and similar items.

**Social Marketing.** The application of marketing principles (the “4 Ps”: product, price, placement, promotion) to promote products, services or behaviors for the greater social good.

**Social Norms.** A category of [behavioral determinants](#) that refers to what a person believes other people think and do ([descriptive norm](#)), and what other people expect them to do ([injunctive norm](#)). Note that in both cases an individual’s perception may differ from reality: what a person thinks others think or do may be different from what the others really think and do and what a person thinks others expect from them may not really be what others expect.

**Socio-Ecological Model (SEM).** A behavior change framework (theory) that emphasizes that behavioral determinants operate on multiple, interrelated levels and that interventions are more effective when they address multiple factors affecting individual behaviors, including interpersonal relationships, community structures, cultural norms and values, and the enabling environment. Often depicted in a graphic of concentric circles called “the onion.”

**Stakeholder Review.** A phase of testing that includes getting inputs and feedback from key stakeholders such as subject matter experts or local government staff. Note that while stakeholder review is important, feedback from pre-testing with the targeted users should always take precedence.


**Sub-Behavior.** Sub-behaviors are the more specific steps or components that may be necessary to achieve a more complex behavior. For example, a nutrition project may have defined a behavior such as “mothers exclusively breastfeed the child for the first six months.” This is a behavior, but it also requires many steps or sub-behaviors. To achieve this behavior, a mother must breastfeed her child on demand, day and night. She must not give water or other foods. Other family members cannot give water or other foods. Each of these is a sub-behavior. Similarly, an agriculture project may have chosen “maize farmers intercrop beans with maize.” This requires farmers to, among other things, purchase or source beans, prepare their fields for intercropping, and plant their fields. These could be sub-behaviors.

**Subjective Norms.** A [behavioral determinant](#). Refers to whether a person feels that other people who are important to them will approve or support the adoption of the behavior.

**Supporting Actors.** People who support or enable the primary actor to do the behavior.



**Testimonies.** A communication technique where individuals share their first-person experience.



Smallholder farmer Kwame Anane  
uses organic mulch to preserve  
moisture in his soil, in Ghana.

[Photo by Oscar Leiva/Silverlight for CRS]

# Bibliography

Bojer, M. 2010. "The Place of Dialogue in Capacity Development."  
In Ubels, J. Capacity Development in Practice. New York: Routledge.  
[https://issuu.com/localworks/docs/ubels\\_\\_jan\\_\\_capacity\\_development\\_in](https://issuu.com/localworks/docs/ubels__jan__capacity_development_in)

Gardner, B. & Rebar, A.L. 2019.  
Habit Formation and Behavior Change. *Psychology*.

Heath & Heath. 2010. [Switch](#): How to change things when change is hard.  
Crown Business.

Heinrich, Leege & Miller. 2008. A User's Guide to the CRS Integral Human  
Development (IHD). Catholic Relief Services.

HELVETAS, 2017. [Behavior Change Manual](#).

Hochbaum, G. 1958. Participation in medical screening programs: A  
sociopsychological study. *U.S. Public Health Service Publication No. 572*.

Fishbein, M., & Ajzen, I. 1975. Belief, Attitude, Intention, and Behavior: An  
Introduction to Theory and Research. Reading, MA: Addison-Wesley.  
<https://people.umass.edu/ajzen/f&a1975.html>

Kahneman, D. 2011. Thinking, fast and slow. Farrar, Straus and Giroux.

Kittle, B. 2013. A practical guide to conducting a barrier analysis.  
New York, NY: Helen Keller International.  
[https://pdf.usaid.gov/pdf\\_docs/PA00JMZW.pdf](https://pdf.usaid.gov/pdf_docs/PA00JMZW.pdf)

Kotter, J.P. & Cohen, D.S. 2012. [The heart of change](#): Real life stories of how  
people change their organizations. Harvard Business Review Press.

Lee, N., & Kotler, P. 2012. Social Marketing: Quick Reference Guide. [https://  
www.socialmarketingservice.com/site/assets/files/1010/socmkt\\_primer.pdf](https://www.socialmarketingservice.com/site/assets/files/1010/socmkt_primer.pdf)

Manske, M., Itzkowitz, L., Warren, A., Torres, K. 2022. Less is more: the  
importance of prioritizing behaviors. [https://www.advancingnutrition.org/  
sites/default/files/2023-01/usaaid-an-sbcc-prioritizing-behaviors-2022.pdf](https://www.advancingnutrition.org/sites/default/files/2023-01/usaaid-an-sbcc-prioritizing-behaviors-2022.pdf)

Mezirow, J. 1991. Transformative Dimensions of Adult Learning.  
San Francisco: Jossey-Bass

Michie, S., Atkins L, & West, R. 2014. The Behaviour Change Wheel:  
A Guide to Designing Interventions. *London: Silverback Publishing*.  
[www.behaviourchangewheel.com](http://www.behaviourchangewheel.com)

- Michie, S., van Stralen, M.M., & West, R. 2011. The behaviour change wheel: A new method for characterising and designing behaviour change interventions. *Implementation Science*, 6, Article 42. <https://implementationscience.biomedcentral.com/articles/10.1186/1748-5908-6-42>
- Neal, D., Vujcic, J., Hernandez, O., Wood, W. 2015. The Science of Habit: Creating Disruptive and Sticky Behavior Change in Handwashing Behavior. Washington D.C., USA. USAID/WASHplus Project. [https://www.washplus.org/sites/default/files/resource\\_files/habits-neal2015.pdf](https://www.washplus.org/sites/default/files/resource_files/habits-neal2015.pdf)
- Perry, H., Morrow, M., Borger, S., Weiss, J., DeCoster, M., Davis, T., & Ernst, P. 2015. Care Groups I: An Innovative Community-Based Strategy for Improving Maternal, Neonatal, and Child Health in Resource-Constrained Settings. *Global Health: Science and Practice*, 3(3), 358-369  
[10.9745/GHSP-D-15-00051](https://doi.org/10.9745/GHSP-D-15-00051)
- Picture Impact. 2022. Illustrating Change: a workshop on developing illustrations for social and behavior change. Integrated SBCC Summit, Marrakech, Morocco.
- Pignatiello, G.A., Martin, R.J., & Hickman, R.L. 2020. Decision fatigue: A conceptual analysis. *Journal of Health Psychology*, 25 (1), 123-135. [https://journals.sagepub.com/doi/10.1177/1359105318763510?url\\_ver=Z39.88-2003&rfr\\_id=ori:rid:crossref.org&rfr\\_dat=cr\\_pub%20%20pubmed](https://journals.sagepub.com/doi/10.1177/1359105318763510?url_ver=Z39.88-2003&rfr_id=ori:rid:crossref.org&rfr_dat=cr_pub%20%20pubmed)
- Prochaska, J. O., & DiClemente, C. C. (1986). Toward a comprehensive model of change. In W. R. Miller & N. Heather (Eds.), *Treating addictive behaviors: Processes of change* (pp. 3-27). Plenum Press. [https://doi.org/10.1007/978-1-4613-2191-0\\_1](https://doi.org/10.1007/978-1-4613-2191-0_1)
- Rogers, E.M. 1962. *Diffusion of Innovations*. Free Press, New York.
- Schmied, P. 2019. Social and Behaviour Change: Insights and Practice. *Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH*. <https://www.fsnnetwork.org/resource/practitioners-guide-social-and-behaviour-change>
- Sollisch, J. 2016, June 10. The cure for decision fatigue. *The Wall Street Journal*.
- Thaler, R. H., & Sunstein, C. R. 2008. *Nudge: Improving decisions about health, wealth, and happiness*. Yale University Press.
- Vella, J. 2002. *Learning to listen, learning to teach: The power of dialogue in educating adults*. San Francisco, CA: Jossey-Bass
- West, R. & Michie, S. 2020. A brief introduction to the COM-B Model of behaviour and the PRIME Theory of motivation. <https://doi.org/10.32388/WW04E6.2>



Caregivers are taught to grow and incorporate nutrient-rich foods in rice and maize-based meals, by the Community Driven Nutrition Improvement project. [Photo by Jennifer Hardy for CRS]

Erika Memhodgim, an ambulant fabric seller and member of a CRS Savings and Internal Lending Community in Chad, displays her wares.  
[Photo by Jennifer Lazuta for CRS]



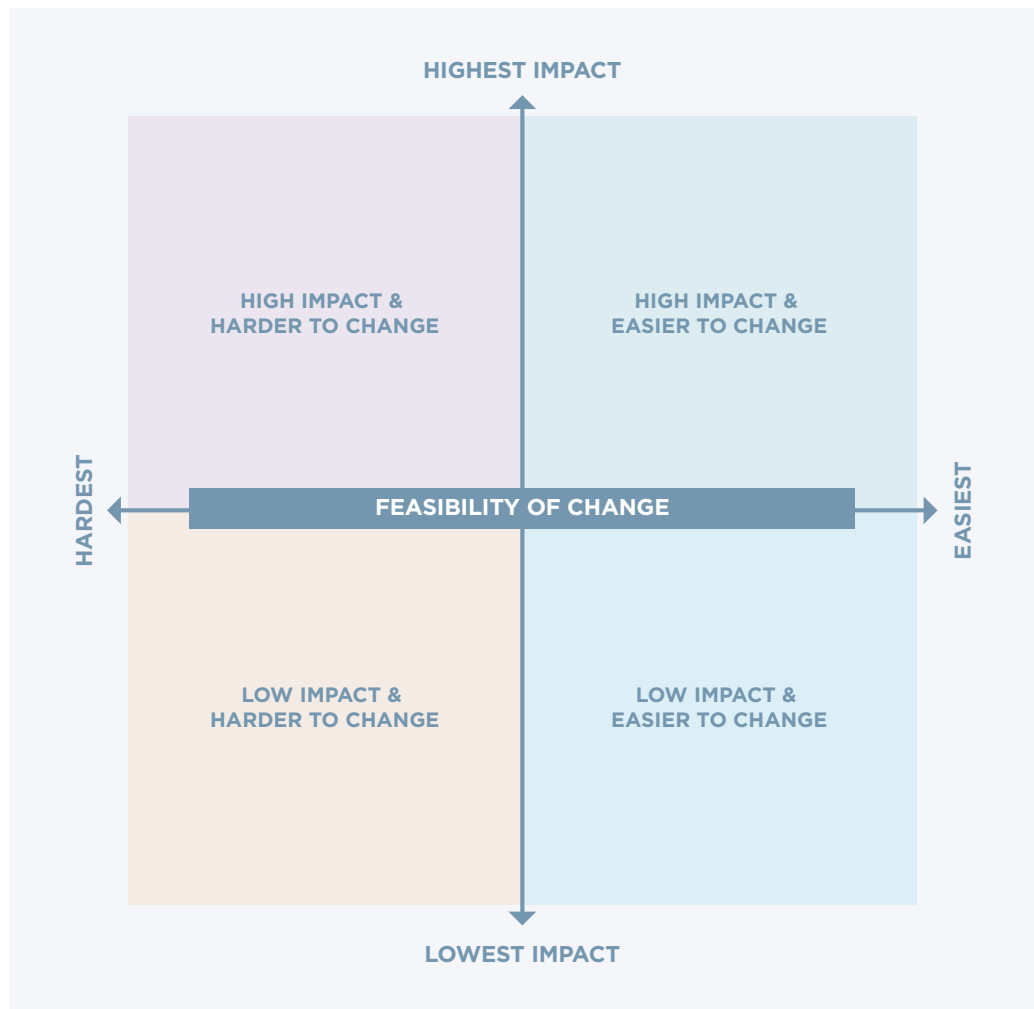


# Annexes

## 5.1 Impact/feasibility matrix

**PURPOSE:** Use this tool to help prioritize ([Step 2](#)) or refine ([Step 8](#)) behaviors. This tool can be used for the project as a whole, or within a project sector or domain. If additional guidance and support is needed for behavior prioritization, consider using the behavior prioritization tool (Available on the CRS SBC SharePoint site). If additional guidance and support is needed for behavior refinement, consider using the Behavior Refinement Worksheet ([Annex 7.3](#)).

### INSTRUCTIONS:



1. Draw the grid above on a large flip chart.
2. Write sub-behavior options on paper or sticky notes, with one sub-behavior per sheet.






3. Rank sub-behaviors from highest impact to lowest impact, with the highest impact behaviors at the top. Draw on assessment findings, expert knowledge, literature and information about behavior prevalence.
4. Without moving behaviors up or down, shift behaviors left or right until they are in order from the hardest to the easiest from the priority group's perspective. Use assessment or formative inquiry findings to determine what is easy or hard for the priority group.
5. For behavior prioritization ([Step 2](#)), select behaviors from the upper right-hand quadrant, without exceeding the total number of behaviors targeted for the project (usually not more than 10). For behavior refinement ([Step 8](#)), select and circle 1-4 sub-behaviors that are in the top right corner of the matrix. These will be the refined behaviors.

## 6.1 Brief descriptions of Formative Inquiry techniques





Techniques described here include:

- Knowledge, Attitude and Practice Surveys
- Barrier Analysis and Doer/Non-Doer Studies
- Trials of Improved Practices (TIPS)
- Social Norms Exploration
- Positive Deviance Inquiry
- Rapid Rural Appraisal (package)
- Wash'Em (Package)
- Human Centered Design
- Focus Group Discussions
- Nominal Group Technique
- Small Group Discussions
- In-Depth Interviews
- Observation
- Photo Narratives
- Social Listening
- Mmogo Method



## Knowledge, Attitude and Practice Surveys

|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>A structured, or semi-structured survey of a representative sample of the target population, to understand what they know, believe and do. Traditionally used to explore current practices as well as two main types of determinants: knowledge and attitudes. However, these surveys can also explore many other determinant categories, based on your selected behavior change theory.</p>                                   |
|  <p><b>BEST FOR</b></p>               | <p>When information is lacking about people's existing knowledge or practices. When quantitative data is required by the donor, or would be useful for project monitoring.</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>Provides findings on what is most commonly known, felt or done among the surveyed group.<br/>         Relatively easy to administer and may be analyzed quickly.<br/>         Most CRS teams have experience designing quantitative surveys, collecting and analyzing data.<br/>         May provide baseline information for some project indicators.<br/>         Validated surveys or questions set might be available.</p> |
|  <p><b>DISADVANTAGES</b></p>        | <p>Must be coupled with other techniques, to unpack unexpected findings or explore issues in more depth.<br/>         Many questions may be needed, depending on the extent of behaviors/determinants to explore.<br/>         Different surveys may need to be organized, to gather representative samples of different priority groups.</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Gumucio, S. 2011. Data collection - quantitative methods: The KAP survey model. <a href="https://www.susana.org/_resources/documents/default/3-4609-7-1641292116.pdf">https://www.susana.org/_resources/documents/default/3-4609-7-1641292116.pdf</a></p>  |







## Barrier Analysis and Doer/Non-Doer Studies

|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>Barrier Analysis and Doer/Non-Doer studies are types of root cause analysis. They use a specific survey methodology to identify barriers and enabling factors that influence a particular behavior among a particular group of people. Both methods involve interviewing 45 ‘doers’ (people already practicing the behavior) and 45 ‘non-doers,’ about selected behavioral determinants. Barrier analysis explores a wider range of determinants than a doer/non-doer study. After the survey, results are coded, tabulated, and analyzed to inform design of SBC materials and activities.</p>  |
|  <p><b>BEST FOR</b></p>               | <p>Contexts and behaviors where some people already practice the behavior.</p> <p>Primary groups with a lot of agency over the behavior, where identifying barriers from an individual’s perspective would be useful.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Relatively structured process with clear step-by-step guidance.</p> <p>Can reveal important determinants of behavior, encompassing psychological, social and cultural factors. The systematic survey structure may be easier for some data collectors than open-ended interviewing.</p> <p>Questionnaires already exist for many behaviors and a data analysis table is available to help identify statistically significant differences.</p>  |
|  <p><b>DISADVANTAGES</b></p>        | <p>Focuses on only one behavior per survey.</p> <p>It may not be possible to find enough people who meet the criteria to include in the survey.</p> <p>It may not be possible to find enough people who ‘do’ the behavior.</p> <p>Each household should only be interviewed about one or two behaviors, so many households may be needed.</p> <p>Highly structured surveys limit learning (closed questions on limited topics can limit what is being elicited, plus formal nature of interview can limit candor of response).</p> <p>It can be difficult to ensure data collectors have sufficient skills for necessary probing to obtain richer insights.</p> <p>May not get at range of factors and in-depth understanding of their meaning the way a more exploratory method can.</p> |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Kittle, Bonnie. 2013. A Practical Guide to Conducting a Barrier Analysis. New York, NY: Helen Keller International. <a href="https://pdf.usaid.gov/pdf_docs/PA00JMZW.pdf">https://pdf.usaid.gov/pdf_docs/PA00JMZW.pdf</a></p> <p>CRS condensed that guidance in its manual <a href="#">Designing for Behavior Change in 11 Steps.</a></p>  |

**Trials of Improved Practices (TIPS)**

|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>TIPS is a methodology for participatory data collection that engages people in learning about and trying a new behavior. Over a series of visits, field workers and participants assess their experience with the new practice, discussing difficulties and motivating factors. This systematic process allows testing and refining of potential interventions at small scale, to determine what approaches will be most feasible and relevant, before introducing them more broadly.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Circumstances where it is not clear which solution would be most feasible.</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>If done correctly, gives really rich information about what is feasible in the local context.<br/>         Can be used in situations lacking 'doers.'<br/>         Can identify small doable actions, or smaller steps that might be feasible even if the ideal behavior is not.<br/>         Small, purposeful samples can be selected to explore differences between sub-groups.</p>  |
|  <p><b>DISADVANTAGES</b></p>         | <p>Relatively resource intensive: requires time/staffing/budget for data collectors to return for multiple field visits over several weeks.<br/>         Relatively small sample sizes.<br/>         Requires strong facilitation skills.</p>  |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props, the five why's.</p>  |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Dickin, K. &amp; Griffiths, M. 1997. Designing by dialogue: A program planners' guide to consultative research for improving young child feeding. <a href="https://www.manoffgroup.com/wp-content/uploads/Designing-by-Dialogue.pdf">https://www.manoffgroup.com/wp-content/uploads/Designing-by-Dialogue.pdf</a></p>   |

## Social Norms Exploration


|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>A team-based qualitative process to gather information at community-level and develop a preliminary understanding of the social norms operating in program communities, that are influencing how people act or behave.</p> <p>Social norms exploration is a two-step process. For each behavior explored, first, 30 interviews (across all sites) are conducted, followed by 1 focus group discussion (per site).</p>   |
|  <p><b>BEST FOR</b></p>               | <p>Behaviors suspected or known to be influenced by social norms.</p> <p>Projects which wish to address social determinants.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Relatively structured process with clear step-by-step guidance.</p> <p>Addresses the following questions: Which groups are most influential regarding the behavior of interest? What are the social norms that influence this behavior? Why do people comply with social norms? What are the social norms that influence this behavior the most?</p>  |
|  <p><b>DISADVANTAGES</b></p>        | <p>A separate norm exploration process should be done for each priority behavior.</p> <p>Two step process.</p> <p>Requires skilled facilitation.</p>   |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props, roll play, social network mapping, audio/video discussion, the five why's.</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>USAID Advancing Nutrition. 2022. Focusing on Social Norms. A Practical Guide for Nutrition Programmers to Improve Women's and Children's Diets. Arlington, VA: USAID Advancing Nutrition. <a href="https://www.advancingnutrition.org/resources/focusing-social-norms-practical-guide-nutrition-programmers-improve-womens-and-childrens">https://www.advancingnutrition.org/resources/focusing-social-norms-practical-guide-nutrition-programmers-improve-womens-and-childrens</a></p> |

## Positive Deviance Inquiry




|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>Positive Deviance Inquiry is a qualitative approach that identifies someone doing the practice successfully and investigates how they succeed despite facing same constraints as others in a community.</p> <p>Positive Deviance Inquiries combine observations and semi-structured interviews with at least 2 positive deviants and at least 2 other households, to find out what is driving innovation in positive deviants.</p> <p>The keys to success identified through the positive deviance study are used in strategies to promote the behavior. The process takes about 5 days per community.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Where you want to identify a local solution (confirm feasibility).</p> <p>When the community is skeptical of outsiders or outside ideas.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Identifies solutions that are already proven feasible for members of the target group, thus giving the project an opportunity to mobilize indigenous expertise, initiative, and logic in its activities.</p> <p>Communities are engaged in analyzing the findings, which generates ownership.</p> <p>Tools and resources available for child feeding/nutrition practices.</p>  |
|  <p><b>DISADVANTAGES</b></p>        | <p>Identifying positive deviants is a pre-requisite, which can be time consuming or complicated; positive deviants may not be present.</p> <p>Relatively resource intensive – especially if done in every community.</p> <p>See also: disadvantages of observation techniques.</p> <p>Tools/processes would need to be customized for behaviors outside of child nutrition.</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Chapter 4: Conduct a Positive Deviance Inquiry in Nutrition Working Group, Child Survival Collaborations and Resources Group (CORE), Positive Deviance / Hearth: A Resource Guide for Sustainably Rehabilitating Malnourished Children, Washington, D.C: December 2002 <a href="https://coregroup.org/wp-content/uploads/2017/09/Positive-Deviance-Hearth-Resource-Guide.pdf">https://coregroup.org/wp-content/uploads/2017/09/Positive-Deviance-Hearth-Resource-Guide.pdf</a></p>   |



**Rapid Rural Appraisal (Package)**

|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>A robust approach to understanding many aspects of community life. Information is collected using a diverse set of methods and techniques that facilitate the participation of community members.</p> <p>Usually includes a half-day intro meeting, 3-5 days of data collection, a half day of preliminary analysis, 2-3 days of more specific information gathering and then a half day of feedback in each selected community.</p>  |
|  <p><b>BEST FOR</b></p>               | <p>Projects that have value and have time for extended community engagement and participation.</p> <p>Projects with staff skilled in participatory community engagement.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Place value on involving participants in the inquiry and analysis of findings. Can be empowering for participants.</p> <p>Focuses on gathering rich and accurate information through layered approaches, including observation, community data collection and household data collection.</p> <p>Includes a preliminary analysis stage so additional information can be garnered based on emerging needs.</p> <p>Can explore multiple behaviors through the same process.</p>                          |
|  <p><b>DISADVANTAGES</b></p>        | <p>Relatively unstructured approach that requires the designer to select and define specific methods and tools and team leaders to refine data collection processes based on what is being learned.</p> <p>Needs to be scheduled when participants have time to participate; may be difficult to sustain participant interest throughout a lengthy process.</p> <p>Participatory rural appraisal is generally done in every project supported community, as it is the groundwork for implementation.</p> |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Mapping, Calendars, Props.</p>  |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Freudenberger, K. N.d. Rapid rural appraisal and participatory rural appraisal: a manual for CRS field workers and partners. <a href="https://www.crs.org/our-work-overseas/research-publications/rapid-rural-appraisal-and-participatory-rural-appraisal">https://www.crs.org/our-work-overseas/research-publications/rapid-rural-appraisal-and-participatory-rural-appraisal</a></p>  |


**Wash'Em (Package)**

|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>A package of five formative inquiry methods designed to support handwashing practices in emergency contexts. It includes observation of handwashing practices, focus group discussions with card sort/ranking exercises on motivations, disease perceptions and touchpoints (communication channels), and individual interviews.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Exploring handwashing behaviors.<br/>Short projects with limited time for formative inquiry.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Guidance, facilitation guides, and analysis templates available and relatively easy to customize.<br/>Relatively quick to collect and analyze data (1-2 weeks).</p>  |
|  <p><b>DISADVANTAGES</b></p>         | <p>Limited to handwashing practices only.</p>   |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props (card sort/ranking exercises).</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p><a href="https://app.washem.info/en/rapid-assessments">https://app.washem.info/en/rapid-assessments</a></p>  |






## Human Centered Design

|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>An approach that puts the end user and their needs at the center, seeking to find a solution that best serves them and meets their needs (as opposed to the project designer's preferences).</p> <p>Human Centered Design processes start by seeking to understand local lives in depth, often employing a mix of methods such as observation, interviews and focus group discussions. From this foundation, ideas and solutions are developed and fine-tuned in an iterative process.</p> <p>Human Centered Design often actively engages the end user (or primary group) in a co-creation process for designing and testing ideas.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Exploring feasibility of new ideas.</p> <p>Developing solutions that 'work' for the targeted participants, or what might be viable in the local market.</p>  |
|  <p><b>ADVANTAGES</b></p>            | <p>Embraces the CRS guiding principle of subsidiarity.</p> <p>Facilitates the development of new ideas and solutions that are suited to the local context and realities.</p> <p>Can help identify market opportunities.</p>   |
|  <p><b>DISADVANTAGES</b></p>        | <p>Is iterative in nature and can be time consuming.</p> <p>Requires skilled facilitation and a willingness to put participant needs before project needs.</p>  |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props, Five Whys, Role plays</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p><a href="https://www.designkit.org/resources/1.html">https://www.designkit.org/resources/1.html</a></p>  |






## Focus Group Discussions

|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>Discussions with groups of peers, designed to identify perspectives on a particular issue.</p> <p>A focus group discussion engages 6 to 12 people with shared characteristics pertinent to the specific discussion topic. Focus group discussions should not last more than 90 minutes.</p> <p>The semi-structured nature of the discussion intends to probe specific, predetermined topics while allowing flexibility, and stimulating participants to share and discuss with each other.</p> <p>Focus group discussions are one of the most common formative inquiry techniques.</p>  |
|  <p><b>BEST FOR</b></p>               | <p>Topics that people are comfortable discussing publicly.</p> <p>Identifying group norms and eliciting opinions about group norms.</p> <p>Discovering variety within a group.</p> <p>Free-listing and ranking of topics.</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>Allows for group interaction and for people to build off one another, generating new ideas or insights.</p> <p>Can be organized relatively quickly and easily.</p>  |
|  <p><b>DISADVANTAGES</b></p>        | <p>Relatively unstructured formative inquiry tool – project teams need to think strategically about how to organize the groups and what to ask, to end up with useful information.</p> <p>Requires skilled facilitation to manage group interaction and avoid facilitator bias.</p> <p>Detailed note-taking (and/or recording) is needed, or rich findings may not emerge.</p> <p>The questions to explore may need to be divided into different lines of inquiry (motivators, barriers, communication channels, influencers) explored with different groups of similar respondents, to stay within time norms and avoid respondent fatigue.</p> <p>Requires identifying a venue and time that works for most people; may require organizing transport, refreshments, and other considerations.</p> <p>In some contexts, it may be difficult to find enough respondents; in others, it may be hard to limit participation to a meaningful group size.</p> <p>Cannot generate data on a number or percentage of respondents with one or the other position.</p> |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props, role play, video/audio discussion.</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>CRS. 2018. Practical Guide to Focus Group Discussions <a href="https://www.crs.org/our-work-overseas/research-publications/practical-guide-focus-group-discussions">https://www.crs.org/our-work-overseas/research-publications/practical-guide-focus-group-discussions</a></p>   |

## Small Group Discussions

|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>Discussions with groups of peers, designed to identify perspectives on a particular issue.</p> <p>A small group discussion engages 2 to 4 people with shared characteristics pertinent to the specific discussion topic. Small group discussions should not last more than 90 minutes.</p> <p>The semi-structured nature of the discussion intends to probe specific, predetermined topics, while allowing flexibility and stimulating participants to share and discuss among one another.</p>  |
|  <p><b>BEST FOR</b></p>               | <p>More personal storytelling and exchange.</p> <p>Sensitive topics that people feel comfortable discussing with friends or a small group but not with many strangers.</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>Can be organized relatively quickly and easily.</p> <p>Because of the smaller number of participants, each person can share more detail than they might be able to in a focus group.</p>   |
|  <p><b>DISADVANTAGES</b></p>        | <p>Compared to focus groups, less useful for discovering variety or exploring norms.</p> <p>Cannot generate data on a number or percentage of respondents with one position or another.</p> <p>Relatively unstructured formative inquiry tool – project teams need to think strategically about how to organize the groups and what to ask, to end up with useful information.</p> <p>Requires skilled facilitation to manage group interaction and avoid facilitator bias.</p> <p>Detailed note-taking (and/or recording) is needed or rich findings may not emerge.</p> <p>The questions to explore may need to be divided into different lines of inquiry (motivators, barriers, communication channels, influencers) and explored with different groups of similar respondents, to stay within time norms and avoid respondent fatigue.</p> |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props, role play, video/audio discussion.</p>  |






## Nominal Group Technique

|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>Involves gathering a group of people to discuss a problem or issue and then rating the ideas or solutions that are put forward. A group of 8-15 people work together on a central question.</p> <p>Step 1: Individuals brainstorm and write down their ideas.</p> <p>Step 2: Ideas are shared in a round-robin fashion, and noted by the facilitator.</p> <p>Step 3: Documented ideas are discussed, and the themes are identified by the group.</p> <p>Step 4: Group members vote on the themes' relevance.</p> <p>Step 5: Votes are counted, and feedback is given to the group.</p> <p>Multiple group results can be analyzed to combine results.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Soliciting input on feasibility; engaging participants in identifying solutions and the analysis of their own suggestions.</p>   |
|  <p><b>ADVANTAGES</b></p>            | <p>Solutions are proposed by participants.</p> <p>The immediate feedback and ownership of data analysis and interpretation is very powerful.</p>  |
|  <p><b>DISADVANTAGES</b></p>        | <p>Literacy levels can be a barrier.</p>  |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Van Breda, A.D. (2005). <a href="#">Steps to analysing multiple-group NGT data</a>. <i>The Social Work Practitioner-Researcher</i>, 17(1), 1-14.</p>   |

## In-Depth Interviews






|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>In-Depth Interviews are individual discussions, to gain more detailed, personal perspectives on the topic.</p>  |
|  <p><b>BEST FOR</b></p>               | <p>Topics that people are not comfortable discussing publicly. Capturing more detailed individual experiences and decision-making processes.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Allows time to explore topics in depth with each person. Can be conducted in the respondent's preferred location, which can put them at ease.</p>   |
|  <p><b>DISADVANTAGES</b></p>         | <p>Requires skilled facilitation to probe and elicit deeper discussion of topics.<br/>Detailed notetaking (and/or recording) is needed.<br/>Relatively unstructured formative inquiry tool. Project teams need to think strategically about who to interview and what to ask, to end up with useful information.<br/>More expensive and time consuming as only one person contributes information at a time.<br/>To avoid respondent fatigue, different lines of inquiry (motivators, barriers, communication channels, influencers) may need to be explored with different respondents.</p> |
|  <p><b>SUGGESTED TECHNIQUES</b></p> | <p>Props, video/audio discussion, photo narrative, free-listing.</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Semi-Structured Interviewing (pages 74- 76) in Freudenberger, K. N.d. Rapid rural appraisal and participatory rural appraisal: a manual for CRS field workers and partners. <a href="https://www.crs.org/our-work-overseas/research-publications/rapid-rural-appraisal-and-participatory-rural-appraisal">https://www.crs.org/our-work-overseas/research-publications/rapid-rural-appraisal-and-participatory-rural-appraisal</a></p>   |

## Observation






|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>Observation entails collecting information by seeing the context in which people live and will practice the behavior. Observation can provide insights that other methods did not think to ask about. It can also help to ground the truth about what has been heard, or explore a disconnect between what people tell you they are doing and other data.</p> <p>For example, through observation, you can see whether people really wash their hands before they eat. You can also see what is available on a market and at what price. You can see how people cook, how they plant, etc.</p> <p>One commonly used observation technique is a transect walk.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Behaviors (or determinants) that can be easily observed. Topics where people are prone to misremember or misreport their actual behaviors (desirability bias).</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>Allows you to see what is really happening (not what people tell you is happening).</p>   |
|  <p><b>DISADVANTAGES</b></p>        | <p>Requires extremely skilled facilitators who know what to look for and have the skills to pick up on the unexpected. Time consuming. People may alter their behavior if they know they are being watched.</p>  |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>FHI. 2005. Qualitative Research Methods: A Data Collector's Field guide. <a href="https://www.fhi360.org/resource/qualitative-research-methods-data-collectors-field-guide">https://www.fhi360.org/resource/qualitative-research-methods-data-collectors-field-guide</a></p>  |



## Photo Narrative

|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>Participants are provided with cameras, trained to use them, and asked to take pictures about a topic or location that relate to the research question.</p> <p>For example, places that they go to access clean water, or places that are relevant to their livelihood or daily patterns. A follow-up interview is then conducted to explore the content and meaning of each photograph.</p>  |
|  <p><b>BEST FOR</b></p>               | <p>Rich contextual understanding, particularly in locations where access for outsiders may be limited.</p> <p>Understanding issues from a participant point of view.</p>   |
|  <p><b>ADVANTAGES</b></p>             | <p>Captures elements of experience that can be difficult to put into words.</p> <p>Very user-centric. Can provide more richness than verbal answers alone (a picture is worth a thousand words) and allow the formative inquiry to reveal aspects of a participant context that may not have been considered.</p>  |
|  <p><b>DISADVANTAGES</b></p>        | <p>Similar disadvantages to in-depth interviews, as this method is also based largely on data collected during the follow-up interview.</p> <p>Also more time consuming and labor intensive, as it requires more points of contact with the participant: the first interaction when the participant is recruited and trained on taking photos, and then the second interaction which is the interview.</p> <p>Analysis can be more challenging since meaning is connected to photographs. Otherwise, interviews are analyzed the same as in-depth interviews.</p> <p>Can be more expensive if cameras must be purchased. Interviewers must also visit participants at least twice, adding to time and travel costs. (Cost can be reduced if participants have and can use cellphone cameras).</p> <p>Requires persons skilled in analyzing qualitative inputs.</p> |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p><a href="https://crsorg.sharepoint.com/:w:/r/sites/SBC/SBC%20Document%20Library/Photonarrative%20Protocol%20-%20Example%20from%20Uganda.docx?d=wfdea873bb83843f7938800ccef09928b&amp;csf=1&amp;web=1&amp;e=4SN34m">https://crsorg.sharepoint.com/:w:/r/sites/SBC/SBC%20Document%20Library/Photonarrative%20Protocol%20-%20Example%20from%20Uganda.docx?d=wfdea873bb83843f7938800ccef09928b&amp;csf=1&amp;web=1&amp;e=4SN34m</a></p>   |

## Social Listening

|  |  |
|--|--|
|  <p><b>DESCRIPTION</b></p>            | <p>A process of analyzing what people are saying or writing about a topic or brand.<br/>Often used with social media, but can be done in other contexts.</p>   |
|  <p><b>BEST FOR</b></p>               | <p>Contexts where social media use is high.</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>Can be done through secondary sources, for example, by analyzing existing Facebook posts.<br/>Helps to understand prevalent rumors or misinformation.</p>   |
|  <p><b>DISADVANTAGES</b></p>          | <p>Not suited to all contexts.</p>   |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>CDC. Social listening and monitoring tools: COVID-19 Vaccine Confidence: Rapid Community Assessment Tool.<br/><a href="https://www.cdc.gov/vaccines/covid-19/vaccinate-with-confidence/rca-guide/downloads/cdc_rca_guide_2021_tools_appendix_sociallistening-monitoring-tools-508.pdf">https://www.cdc.gov/vaccines/covid-19/vaccinate-with-confidence/rca-guide/downloads/cdc_rca_guide_2021_tools_appendix_sociallistening-monitoring-tools-508.pdf</a></p> |





## Mmogo Method






|  |   |
|--|---|
|  <p><b>DESCRIPTION</b></p>            | <p>An approach that blends visual creations and narratives. Participants in a group setting use a standard set of materials (malleable clay, beads or buttons in different colors, dried grass stalks (or suitable substitute), and a circular piece of cloth, packed in a container) to construct visual representations of the phenomenon that is the focus of the inquiry. The representations are photographed. Each individual explains her or his visual representation, and group members discuss individual participants' interpretations of the images they have made, augmenting content with their views. The session concludes with a debriefing.</p> |
|  <p><b>BEST FOR</b></p>               | <p>Putting participants at ease to discuss challenging topics.</p>  |
|  <p><b>ADVANTAGES</b></p>             | <p>Creating visual representations can help unlock details and spur conversation.</p>   |
|  <p><b>DISADVANTAGES</b></p>        | <p>Relatively expensive.<br/>Requires persons skilled in analyzing qualitative inputs.</p>  |
|  <p><b>ADDITIONAL RESOURCES</b></p> | <p>Roos, V. 2009. <a href="#">The Mmogo method: an exploration of experiences through visual projections.</a></p>   |

## 7.1 Priority Group Profile Template

**PURPOSE:** Use this tool to help organize useful information about your priority groups.

**INSTRUCTIONS:** For each behavior, complete one template for each priority group (primary group or influencing group), drawing on the findings from the formative inquiry. If the priority group is composed of different segments, use the columns to differentiate between segments. While you can add additional columns, if needed, note that generally you don't want to focus on more than two segments per group. This is because you will have to develop change aims, messages and strategies for each segment, and there is simply no way to "do it all" for "everyone" and be effective. Accordingly, if you have identified more than two segments, consider prioritizing the two segments that will give you maximum impact.

| <b>BEHAVIOR:</b>   |                   |                   |
|--|-------------------|-------------------|
| <b>Priority Group:</b>   | <b>Segment 1:</b> | <b>Segment 2:</b> |
|  <p><b>DEMOGRAPHIC FEATURES.</b><br/>Describe relevant characteristics such as age, income, residence, skill set, language, education level, etc).</p>          |                   |                   |
|  <p><b>DAILY ROUTINE.</b><br/>Describe the things members of the group/segment do in a typical day.</p>   |                   |                   |
|  <p><b>COMMON DESIRES.</b><br/>Describe the things members of the group/segment want and their aspirations.</p>   |                   |                   |
|  <p><b>COMMUNICATION CHANNELS.</b><br/>Describe the ways that members of the group/segment access information, including interpersonal and media sources.</p> |                   |                   |

| BEHAVIOR:   |            |            |
|---|------------|------------|
| Priority Group:   | Segment 1: | Segment 2: |
|  <p><b>BARRIERS.</b><br/>Describe the things that prevent members of the group/segment from practicing the behavior (or if supporting actors are prevented from supporting the behavior).</p>  |            |            |
|  <p><b>CURRENT PRACTICES AND ATTITUDES.</b><br/>Describe what the group/segment knows, feels and does about the behavior already.</p>  |            |            |
|  <p><b>SOCIAL NORMS.</b><br/>Describe any relevant <b>social norms</b> that influence this group/segment's behavior.</p>  |            |            |
|  <p><b>GENDER ROLES.</b><br/>Describe any gender roles or norms related to the behavior.</p>   |            |            |
|  <p><b>STAGE OF CHANGE.</b><br/>Identify whether the group/segment is in the pre-awareness, awareness, preparation, action or maintenance phase (Refer to <a href="#">Chapter 3</a> for additional information on the Stages of Change).</p> |            |            |

## 7.2 SBC Strategy Alternative Format: Creative Brief

**PURPOSE:** This format allows you to organize your SBC strategy by behavior. It contains the same elements as the SBC strategy template, but is presented by behavior, allowing the reader to understand all elements of each behavior. It also includes optional components, where elements of the content and messages worksheet (DEVELOP Phase) can be included.

**INSTRUCTIONS:** Complete Part I for the whole project and Complete Part II for each behavior. Incrementally, add information to this template as you work through the CREATE and DEVELOP stages. In the template for Part I, the left column provides instructions while the column on the right provides space for you to enter your information about the project and campaign name.

The template for Part II provides instructions in the left hand column, with some specific examples in the light-shaded boxes on the right (next page). Blank templates are [provided here](#) for you to fill in your own information.

### Part I. Contextual information - complete once

#### Overview.

Provide a brief description of project and the expected deliverables. Keep this overview to just one paragraph, but include problem statement, project objectives, and theory of change.

#### Public name of the SBC Campaign/ Initiative (Optional).

If you are planning a large public campaign that ties together various change aims, consider naming it. This is the last step, and can be done when messages are created, then tested with the proposed logo along with the key messages with target audiences. Having a catchy name for the campaign or initiative in the target audience's language helps to introduce it to sponsors and target audiences in a vibrant way, in their own language. Please, no acronyms here!

## Part II. Complete one sheet per behavior

|   |   |
|---|---|
| <p><b>Behavior 1.</b><br/>Include your first behavior or refined behavior statement from <a href="#">Step 9</a> here:</p>   | Farmers use improved maize and bean seeds   |
| <p><b>Priority Group.</b><br/>Identify and summarize the priority group(s) for this behavior (from <a href="#">Step 8</a>).</p>   | <p><u>Female farmers</u></p> <ul style="list-style-type: none"> <li>• Most are age 20-40 with multiple children.</li> <li>• Most are motivated by having enough income to pay school fees / uniforms for their children.</li> <li>• Do not make seed purchase decisions.</li> </ul> <p><u>Male farmers</u></p> <ul style="list-style-type: none"> <li>• Most are age 25-55, married, with children.</li> <li>• Motivated by being successful providers for their family.</li> <li>• Production dedicated to household consumption (food, and other basic needs such as housing, etc.).</li> </ul> <p>Make seed purchase decisions for themselves and their wives.</p> |
| <p><b>Change Aim 1.</b><br/>Copy your first change aim developed in <a href="#">Step 10</a> here.</p>   | Increase the perception that the benefits of improved maize and bean seeds (more stable household consumption, income for children's needs) are worth the investment.   |
| <p><b>Positioning Statement (Optional).</b><br/>How do you want the target audience(s) to see the desired behavior relative to competing behaviors?<br/>Write a statement similar to the following, filling in the blanks:<br/>We want [priority group] to see [target behavior] as [descriptive phrase] and as more important and beneficial than [competition].<br/>Note: This is similar to the change aim but put in terms a layperson would understand. This is useful if working with outside creative vendors.</p> | We want farmers to see improved maize and bean seeds as a worthwhile investment in their family's future, and better for their prosperity and wellbeing than unimproved seeds.  |

|  |  |
|--|--|
| <p><b>Activities and Engagement tactics.</b><br/>List activities and engagement tactics identified in <a href="#">Step 11</a> here.</p>  | <p>Farmer groups:</p> <ul style="list-style-type: none"> <li>• Create a story about two farmers (one who used improved seed and one who did not), to spur reflection and dialogue at farmer group meetings.</li> <li>• Through farmer groups, create demonstration plots where farmers can see the difference and assess value and risks.</li> <li>• Through farmer groups, roll out a cost calculator ‘game’ where farmers can see how much they can expect to ‘gain’ for the money invested in improved seed vs unimproved seed.</li> <li>• Through farmer groups, invite farmers who have tried improved seed to testify about positive experience.</li> </ul> <p>Radio messaging:</p> <ul style="list-style-type: none"> <li>• 3,000 Radio spots, targeting men, aired 2-4 pm, featuring four local male farmers’ testimonies about how using improved seed helped them improve household consumption and feel like successful men.</li> <li>• 200 Radio spots, targeting women, aired Sundays 10-12 pm, featuring two local female farmers’ testimonies about how working with their husbands to choose improved seeds helped their children grow and succeed.</li> </ul> |
| <p><b>Core content.</b><br/>Include here any Core Content identified in <a href="#">Step 13</a>, that needs to be included in the above materials to support this change aim.<br/>Remember, the core content is broader than the message.</p>  | <p>Cost of improved maize and bean seeds for a typical local farmer vs. unimproved seeds.<br/>Expected yield increase from improved maize vs. unimproved maize.<br/>Expected yield increase from improved beans vs. unimproved beans.<br/>Where to buy improved maize and bean seed.<br/>Information on varieties available and their characteristics.<br/>Key differences (if any) in planting and care for the improved vs. standard varieties people know.</p>  |
| <p><b>Key messages.</b><br/>Include here the key messages developed in <a href="#">Step 13</a> which address the change aim (above) and speak to the priority group (above).</p>   | <p>Female Farmers: “Investing in improved maize seeds helps you invest in your child’s future. Make a family decision today.”<br/>Male Farmers: “\$2 today brings \$20 tomorrow – buy improved maize seeds today so your family will eat well the whole year ahead.”</p>   |
| <p><b>Materials needed.</b><br/>Identify any materials that need to be created or modified for program use (from <a href="#">Step 14</a>).<br/>Remember to include public-facing materials as well as facilitation guides and supportive supervision checklists that support the frontline team.</p> | <ul style="list-style-type: none"> <li>• Story about two farmers (one who used improved seed and one who did not) + Facilitation guide and training materials for lead farmers to use story effectively.</li> <li>• Demonstration plot manual (MoAg and FAO materials) + supportive supervision checklists.</li> <li>• Cost calculator ‘game’ materials + facilitation guide and training materials for lead farmers.</li> <li>• Radio scripts – 4 male farmers’ testimonies + 2 female farmer’s testimonies</li> </ul>  |



|   |   |
|---|---|
| <p><b>Creative considerations.</b><br/>Identify any requirements and brand considerations that impact format, copy and visual elements (from <a href="#">Step 15</a>).</p>  | <p>Refer to branding and marking plan for logo requirements. We would like to have consistent imagery of both male and female farmers associated with all messages. Previous testing in this area suggests locally taken photographs resonate more than line drawings. The Ministry of Agriculture generally does print promotion materials in green font. Materials will eventually need to be available in language C and language D.</p> |
| <p><b>Measures of Success.</b><br/>List 2-3 desired outcomes, including measurable results if possible. This means what you want your audience to know, (think), believe (feel), and/or do, (action) based on exposure to your SBC efforts. You may not have all three types of measures for every behavior.</p>  | <ul style="list-style-type: none"> <li>• Percentage of farmers who planted improved maize or bean seeds in any of their fields last season.</li> <li>• Percentage of farmers who agree that planting improved seeds is worth the cost (M/F).</li> </ul>   |
| <p><b>Behavior 1.</b><br/>Include your first behavior or refined behavior statement from <a href="#">Step 9</a> here:</p>   |   |
| <p><b>Priority Group.</b><br/>Identify and summarize the priority group(s) for this behavior (from <a href="#">Step 8</a>).</p>   |   |
| <p><b>Change Aim 1.1</b><br/>Copy your first change aim developed in <a href="#">Step 10</a> here.</p>  |   |
| <p><b>Positioning Statement (Optional).</b><br/>How do you want the target audience(s) to see the desired behavior relative to competing behaviors?<br/>Write a statement similar to the following, filling in the blanks:<br/>We want [priority group] to see [target behavior] as [descriptive phrase] and as more important and beneficial than [competition].<br/>Note: This is similar to the change aim but put in terms a layperson would understand. This is useful if working with outside creative vendors.</p> |   |
| <p><b>Activities and Engagement Tactics.</b><br/>List activities and engagement tactics identified in <a href="#">Step 11</a> here.</p>   |   |

**Core content.**

Include here any Core Content identified in [Step 13](#), that needs to be included in the above materials to support this change aim.

Remember, the core content is broader than the message.

**Key messages.**

Include here the key messages developed in [Step 13](#) which address the change aim (above) and speak to the priority group (above).

**Materials needed.**

Identify any materials that need to be created or modified for program use (from [Step 14](#)).

Remember to include public-facing materials as well as facilitation guides and supportive supervision checklists that support the frontline team.

**Creative considerations.**

Identify any requirements and brand considerations that impact format, copy and visual elements (from [Step 15](#)).

**Change Aim 1.2.**

Copy the second change aim (if any) associated with this behavior developed in [Step 10](#) here.

**Positioning Statement (Optional).**

How do you want the target audience(s) to see the desired behavior relative to competing behaviors?

Write a statement similar to the following, filling in the blanks:

We want [priority group] to see [target behavior] as [descriptive phrase] and as more important and beneficial than [competition].

Note: This is similar to the change aim but put in terms a layperson would understand. This is useful if working with outside creative vendors.

**Activities and Engagement Tactics.**

List activities and engagement tactics identified in [Step 11](#) here.

**Core content.**

Include here any Core Content identified in [Step 13](#), that needs to be included in the above materials to support of this change aim. Remember, the core content is broader than the message.

**Key messages.**

Include here the key messages developed in [Step 13](#) which address the change aim (above) and speak to the priority group (above).

**Materials needed.**

Identify any materials that need to be created or modified for program use (from [Step 14](#)).

Remember to include public-facing materials as well as facilitation guides and supportive supervision checklists that support the front line team.

**Creative considerations.**

Identify any requirements and brand considerations that impact format, copy and visual elements (from [Step 15](#)).

**Change Aim 1.3.**

Copy your third change aim (if any) associated with this behavior, here, developed in [Step 10](#).

**Positioning Statement (Optional).**

How do you want the target audience(s) to see the desired behavior relative to competing behaviors?

Write a statement similar to the following, filling in the blanks:

We want [priority group] to see [target behavior] as [descriptive phrase] and as more important and beneficial than [competition].

Note: This is similar to the change aim but put in terms a layperson would understand. This is useful if working with outside creative vendors.

**Activities and Engagement Tactics.**

List activities and engagement tactics identified in [Step 11](#) here.

**Core content.**

Include here any Core Content identified in [Step 13](#), that needs to be included in the above materials to support this change aim. Remember, the core content is broader than the message.

**Key messages.**

Include here the key messages developed in [Step 13](#) which address the change aim (above) and speak to the priority group (above).

**Materials needed.**

Identify any materials that need to be created or modified for program use (from [Step 14](#)). Remember to include public-facing materials as well as facilitation guides and supportive supervision checklists that support the frontline team.

**Creative considerations.**

Identify any requirements and brand considerations that impact format, copy and visual elements (from [Step 15](#)).

**Measures of Success.**

List 2-3 desired outcomes, including measurable results if possible. This means what you want your audience to know, (think), believe (feel), and/or do, (action) based on exposure to your SBC efforts. You may not have all three types of measures for every behavior.



Suad Mustapha has been spearheading a women's association in Pigcawayan, Cotobato, encouraging active participation in decision-making processes. [Photo by Benny Manser for CRS]

### 7.3 Behavior refinement worksheet

**PURPOSE:** Use this tool to help refine and prioritize sub-behaviors. It uses a combination of subjective interpretation of formative data and numerical ratings to help you systematically narrow the sub-behaviors of interest down to a final set of a few prioritized sub-behaviors. If a simpler process is sought, consider using the Impact/Feasibility Matrix ([Annex 5.1](#))

**INSTRUCTIONS:** Complete the table below for each behavior identified in [Step 2](#) (You may complete more than one template). Draw from your situation analysis and any formative inquiry data you have available.

| INSTRUCTION  | EXAMPLE   |  |
|--|---|--|
| <p>1 What is the main program outcome?</p>   | <p>Improve nutrition of women of reproductive age.</p>  |  |
| <p>2 Identify key behavior needed to achieve that outcome? (It should have proven impact and a measurable indicator).</p>  | <p>Women of reproductive age consume diet that achieves at least minimum diversity (4+ groups).</p>   |  |
| <p>3 Break down the key behavior into sub-behaviors (steps or smaller components) that contribute to the ideal behavior. List sub-behaviors in the boxes to the right.</p> | <p>Sub-Behavior 1: Women consume animal source foods (meat, eggs, fish).</p> <p>Sub-Behavior 2: Women consume plant protein (beans, soy, peanuts).</p> <p>Sub-Behavior 3: Families plant home gardens.</p> <p>Sub-Behavior 4: Husbands give more money to spend on food.</p> <p>Sub-Behavior 5: Women join SILC to earn more money to spend on food.</p> <p>Sub-Behavior 6: Women consume spinach or mango (vitamin A rich foods) daily.</p> <p>Sub-Behavior 7: Women drink milk daily.</p> |  |

| INSTRUCTION  | EXAMPLE        |  |  |
|--|----------------|--|--|
| <p><b>4</b> Identify current <i>prevalence</i> of those sub-behaviors - What percentage of the population is currently practicing the sub-behavior? Put the corresponding number to the right:</p> <ul style="list-style-type: none"> <li>• most are doing (60-80%)</li> <li>• some are doing it (30-60%)</li> <li>• few are doing it (10-30%)</li> <li>• very few are doing it (&lt;10%)</li> <li>• none are doing it</li> </ul> <p>* If &gt;80% are doing it, discard that behavior for further attention.</p> | Sub-Behavior 1 | 4  |  |
|  | Sub-Behavior 2 | 2  |  |
|  | Sub-Behavior 3 | 5  |  |
|  | Sub-Behavior 4 | 3  |  |
|  | Sub-Behavior 5 | 2  |  |
|  | Sub-Behavior 6 | 3  |  |
|  | Sub-Behavior 7 | * DISCARD - Almost all already do this (it's a herding society). |  |

| INSTRUCTION   | EXAMPLE        |   |  |
|---|----------------|---|--|
| <p><b>5</b> Rate <b>potential impact</b> – to what extent will closing this sub-behavior gap help to achieve program outcomes?</p> <p><i>Provide score: 1 (lowest) – 5 (highest).</i></p> | Sub-Behavior 1 | 3 (Meat is rich in protein and vitamins. Some animal protein already present in diets with milk consumption.)   |  |
| <p>Include notes if desired.</p>  | Sub-Behavior 2 | 5 (Legumes and nuts are valuable nutritionally, to boost protein consumption.)  |  |
|   | Sub-Behavior 3 | 4 (Successful home gardens would make a great impact, by adding high nutrient vegetables and fruit trees.)  |  |
|   | Sub-Behavior 4 | 2 (Low, because many men have little to share.)   |  |
|   | Sub-Behavior 5 | 4 (Being able to purchase more nutritious, diverse foods would definitely have an impact on diets, which women say they would do, although there is no guarantee that money would be spent that way.) |  |
|   | Sub-Behavior 6 | 4 (Eating more spinach and mangos will have a big impact lowering currently high Vitamin A deficiencies.)   |  |



| INSTRUCTION   | EXAMPLE        |  |
|---|----------------|--|
| <p><b>6</b> Rate <b>ability to practice</b>: To what extent will the population be <i>able</i> to practice the sub-behavior, given their available resources, time, skills, and social support?</p> | Sub-Behavior 1 | 1 (Because meat is so expensive, and available, eggs are saved for children.)  |
| <p><i>Provide score: 1 (lowest) – 5 (highest).</i></p>  | Sub-Behavior 2 | 4 (Because ground nuts are common and inexpensive, and legumes can be grown with limited water available, men can easily add them to their plots.) |
|   | Sub-Behavior 3 | 3 (Because women have gardening skills but say vegetables take too much water, which they must carry.)   |
|   | Sub-Behavior 4 | 2 (Because many women have little practice voicing concerns to husbands.)  |
|   | Sub-Behavior 5 | 5 (Because women generally have time for the meetings, and they are supported by the community.)   |
|   | Sub-Behavior 6 | 3 (Because spinach is cheap, but mangos are seasonal.)   |

| INSTRUCTION  | EXAMPLE        |   |  |
|--|----------------|---|--|
| <p><b>7</b> Rate <b>likelihood to practice</b>: How attractive/easy/socially acceptable/convenient will people feel it is to practice the sub-behavior, given their motivation &amp; preferences?</p> <p><i>Provide score: 1 (lowest) – 5 (highest).</i></p> | Sub-Behavior 1 | 1 (Cost makes it prohibitive, and gender roles mean men will eat any meat available.)   |  |
|  | Sub-Behavior 2 | 4 (People like groundnuts in stew, growing legumes is a respected activity, people believe eating them fills you up.)                           |  |
|  | Sub-Behavior 3 | 2 (Many people don't think vegetables are valuable. Gardens are not common among neighbors and women say they lack enough time to fetch water.) |  |
|  | Sub-Behavior 4 | 3 (Many women fear communicating with husbands about money but have shown willingness to try when it comes to family health.)                   |  |
|  | Sub-Behavior 5 | 4 (Women report enjoying community groups, and express desire to learn and to save, but it may not be convenient with young children.)          |  |
|  | Sub-Behavior 6 | 3 (Women report they don't enjoy leafy greens and are not motivated to plant home gardens.)   |  |

| INSTRUCTION  | EXAMPLE  |      |
|--|--|------|
| <p><b>8 Average</b><br/> <i>Add score from lines 5, 6, 7 &amp; 8 for each behavior and divide by four:</i></p> | Sub-Behavior 1   | 2.25 |
|  | Sub-Behavior 2   | 3.75 |
|  | Sub-Behavior 3   | 3.50 |
|  | Sub-Behavior 4   | 2.50 |
|  | Sub-Behavior 5   | 3.75 |
|  | Sub-Behavior 6   | 3.25 |
| <p><b>9</b> List the sub-behaviors (3-5) with the highest average scores</p>                                   | Sub-Behavior 2 - Consume plant protein (3.75).                               |      |
|  | Sub-Behavior 5 - Join SILC to earn more money to spend on food (score 3.75). |      |
|  | Sub-Behavior 3 - Plant home gardens.   |      |

| INSTRUCTION  | EXAMPLE  |  |
|--|--|--|
| <p><b>10</b> For each sub-behavior from line 10, rate the 'project fit'. Considering the project's time, competencies, resources, partnerships, and community's perspective, how well does the behavior 'fit' in this context? (score 1 = worst fit, 5 = best fit) .</p> | Join SILC  | 5 (Because SILC groups are already thriving in some communities in the district and project can easily expand training. Community leaders are enthusiastic.)   |
|  | Consume plant protein                            | 4 (Because project and government have good ag extension resources to support growing more legumes, and local markets generally have groundnuts, so it's a matter of education and supporting farmers, which fits with other project activities.)                          |
|  | Plant home gardens                               | 3 (Because several past programs have tried and failed to promote home gardening in recent years. Staff and participants say it is too difficult, given the climate and women's existing burden, although it does fit well with the project aims and technical resources.) |
| <p><b>11</b> Select 2-4 sub-behaviors from <a href="#">Step 11</a> that have the strongest fit. These are the best to focus on.</p>  | Women join SILC to earn income to spend on food. |  |
|  | Women consume plant proteins daily.              |  |



Eshmail Mweso washes his hands. CRS has helped provide him with school materials and nutritious food.  
[Photo by Ric Francis for CRS]

# Index

**ABCDE Process.** [43](#), 44, 45 (Figure 17), 47, 48

**Access.** [15](#), [60](#), [141](#), 13, 27, 28, 35, 60, 64, 67, 98, 99, 100, 107, 111, 117, 126, 134-135, 136, 137, 139, 145, 179, 184, 191

**Action Efficacy.** [14](#), 117, 134, 137

**Activities.** [60-61](#), [68](#), [70](#), [72-82](#), [136-139](#), [141](#), [147](#), [172-175](#), 12, 18, 21, 22, 34, 45, 47, 52, 58, 62, 63, 66, 67, 98, 119, 120, 121, 124, 144, 152, 153, 158, 159, 160, 161, 162, 163, 167, 169, 171, 174, 177-179, 181-184, 188, 190, 191, 192, 193, 195

**Approaches.** [68](#), [72-89](#), 17, 18, 21, 32, 52, 60, 103, 117, 123-124, 138, 178, 179, 188, 195

**Attitude.** [37](#), 27, 28, 29, 57, 58, 73, 80, 95, 97, 101, 178, 179, 185, 235

**Barrier.** [12](#), [98](#), 7, 17, 19, 27, 36, 51, 54, 60, 61, 63-65, 67, 73, 83-84, 99, 108, 113, 120, 134, 136, 138-142, 153, 156, 157, 163, 179, 184, 191, 235

**Barrier Analysis.** [103](#), [219](#), 23, 101, 113

**Behavior.** See also Refine and Prioritize. [10-11](#), [53-56](#), [125-133](#), [185](#), 26, 58, 67, 98, 137, 146, 179

**Behavior Change Communication (BCC).** [9](#), 10

**Behavior Statement.** [125-126](#), 54, 143, 146, 148, 237, 239

**Behavioral Determinant.** [12-16](#), [98-99](#), [134-137](#), [179](#), [184](#), 5, 7, 9, 12, 19, 22, 23, 26, 28, 36, 52, 54, 59, 63, [74](#), 91, 92, 95, 103, 104, 106, 107, 111, 112, 113, 116, 117, 119, 120, 121, 122, 125, 126, 141, 144, 146, 148, 153, 155, 157, 163, 169, 171, 177, 178, 180, 181, 183, 188, 189, 192, 193, 195, 197

**Behavioral Economics.** [38](#), 10, 25, 26, 41

**Benefits.** See also Perceived Positive Consequences. [17](#), 27, 34, 36, 53, 56, 74, 75, 81, 111, 146-147, 155, 156, 157, 172, 191

**Bridges to Activities.** [134](#)

**Capacity Strengthening.** [48](#), 4, 21, 38

**Change Aim.** [119](#), [134-135](#), [137](#), [153-155](#), [157](#), [185](#), 47, 72, 73, 75, 120, 121, 124, 136, 138, 139, 143-144, 145-148, 151, 171, 172, 173, 177, 179, 195, 197

**Coding.** [111](#), 109

**COM-B.** [29-30](#), 25, 27, 32, 33

**Community Engagement.** [77-78](#), 37, 72, 74, 104, 124, 144

- Community Mobilization.** [77-78](#), 10, 26
- Community Outreach.** [77-78](#)
- Concept Development.** [158](#), 152
- Concept Testing.** [168-169](#)
- Core Content.** [153](#), 151, 152, 157, 164, 165, 169, 172, 173
- Creative Brief.** [236-242](#), 153
- Cue to Action.** [15](#), 81, 137, 140
- Culture.** [16](#), 29, 30, 38, 58, 59, 74, 94, 123, 124, 166
- Cultural Asset.** [96](#)
- Demand.** [61](#), 5, 20, 35, 51, 62, 66
- Determinant.** See Behavioral Determinant.
- Diffusion of Innovations Theory.** [31-32](#), 25, 27, 41
- Digital Media.** [80-81](#), 70, 73, 78
- Divine Will.** [15](#)
- Doer/Non Doer Study.** [103](#), [219](#), 101, 113
- Driver.** [12](#), [98](#), 17, 27, 38, 57, 59, 74, 153
- Early Adopters.** [31-32](#), 18, 23
- Early Majority.** [31-32](#)
- Edutainment.** [85](#), 71, 79, 140-141
- Emotion.** [8-9](#), [16](#), [17](#), 7, 11, 20, 22, 29, 31, 38, 86, 87, 98, 135, 153, 155, 157, 158, 171
- Enabling Environment.** [9](#), [61](#), 17, 21, 27, 28, 29, 51, 60, 66, 73, 82, 99, 138, 144
- Enabler.** See also Enabling Factor. [98](#), 7, 134
- Enabling Factor.** See also Enabler. [12](#), 18, 19, 34, 63, 98, 103, 134, 136, 219
- Engagement Tactic.** [68](#), [71](#), [72-75](#), [85-89](#), [136-137](#), [139-141](#), 2, 47, 119, 121, 136, 144, 145, 147, 158, 159, 163, 167, 172, 173, 195
- Exit Interviews.** [189](#), 181-185, 194
- Facilitators.** [12](#), 185
- FGD.** See Focus Group Discussion.
- Field Testing.** [169](#), 109

- Focus Group Discussion.** [105](#), [226](#), 100, 101, 104, 107, 111, 113, 115, 169, 179, 182-185, 189
- Formative Inquiry.** [63](#), [91-117](#), [217-232](#), 2, 3, 18, 21, 22, 25, 47, 48, 52, 54, 60, 65, 66, 67, 74, 119, 120, 122, 125-126, 127, 128, 129, 130, 134, 135, 138, 139, 141, 143, 145-146, 153, 156, 161, 171, 184, 191
- Gender.** [57-58](#), [75](#), 10, 28, 29, 41, 64, 87, 93, 94, 97, 99, 113, 123, 124, 142, 162, 168, 235
- Games.** See also Gamification. [87](#), 68, 70, 71, 137, 139, 141, 165
- Gamification.** See also Games. [87](#), 71
- Habits.** [18-19](#), 7, 8, 11, 17, 23, 29, 30, 35, 38, 75, 83, 95, 125, 129
- HCD.** See Human Centered Design.
- Health Belief Model.** [36](#), 25, 27, 37, 41
- Human Centered Design (HCD).** [40-41](#), [88](#), [105](#), 25, 26, 71, 158, 164, 168-169, 225
- ICT4D.** See also Digital Media. [80-81](#), 110
- In-depth Interview (IDI).** [105](#), [229](#), 97, 101, 113, 115, 169, 185
- Infodemic.** [19-20](#)
- Information, Education and Communication (IEC).** [9-10](#)
- Influencing Group.** [12](#), [57-59](#), 13, 22, 63, 66, 67, 96, 117, 122, 123, 127, 135, 145, 234
- Innovators.** [31-32](#)
- Interpersonal Communication (IPC).** [70](#), [75-76](#), [161](#), 22, 68, 73, 77, 81, 85, 86, 97, 109, 165, 170, 194
- Key Informant Interview (KII).** See also In-depth Interviews. [64](#), 101, 113
- Knowledge.** [8-9](#), [11-12](#), [136](#), 7, 22, 28, 29, 54, 58, 60, 73, 80, 86, 95, 103, 116, 125, 163, 179, 183-184
- Knowledge, Attitude, Practice (KAP) Survey.** [103](#), [218](#), 101, 115
- Laggards.** [31-32](#)
- Late Majority.** [31-32](#)
- Marketing.** See also Social Marketing. [20](#), [89](#), 7, 10, 23, 26, 37, 40, 71
- Mass Media.** [78-79](#), 70, 72, 73, 97, 144, 165, 180
- MEAL.** [3](#), [141](#), [177-195](#), [197](#), 2, 44, 47, 48, 62, 108, 110, 113, 119, 148



**Message.** [72](#), [136](#), 151-157, 2, 9, 13, 43, 45, 47, 63, 73, 78, 79, 80, 81, 86, 88, 91, 92, 95, 99, 123-124, 138, 139, 158, 159, 161, 163-165, 166, 167, 168, 169, 170, 171, 172-174, 178, 180-184, 188, 195

**Mid Media.** [78-80](#), 70, 73

**Motivator.** [12](#), [98](#), 65, 111, 113, 135, 226-227

**Myth.** [19-20](#), 7, 23

**Nominal Group Technique.** [228](#)

**Nudge.** [38-39](#), [83](#), 10

**Perceived Positive Consequences.** See also Benefits. [14](#), 13, 36, 111, 141

**Perceived Negative Consequences.** [14](#), 16, 56, 75, 111, 134-135, 137, 191

**Perceived Self-Efficacy.** [14](#), 13, 16, 27, 28, 29, 35, 36, 111, 117, 135, 137, 141

**Perceived Severity.** [15](#), 27, 36

**Perceived Susceptibility.** [15](#), 27, 36

**Persona.** [125](#), 41, 121,

**Photo Narrative.** [106](#), 231, 228,

**Policy.** [15](#), [82](#), 28, 29, 61, 70

**Positive Deviance.** [104](#), 96, 101, 222

**Pre-Testing.** [169](#), 22, 48, 170, 171, 174

**Primary Group.** [12](#), [57-59](#), [95-96](#), [122-123](#), 11, 13, 17, 18, 19, 22, 40, 60, 63, 67, 97, 100, 103, 105, 108, 127, 135, 145, 179, 219, 225, 234

**Prioritize (Behaviors).** [53-56](#), [125-133](#), [146](#), [215-216](#), [244-250](#), 22, 191

**Priority Group(s).** [57-59](#), [91](#), [95-97](#), [122-125](#), [234](#), 12, 43, 45, 47, 51, 52, 55, 63, 66, 67, 72, 77, 92, 98, 99, 100, 111, 116, 117, 119, 120, 121, 126, 127, 128, 129, 130, 132-133, 134, 136, 137, 138, 142, 143, 151, 152, 153, 155, 157, 158, 159, 161, 163, 165, 166, 167, 168, 169, 171, 182-184

**Priority Group Analysis.** [122-123](#), [234-235](#), 125, 142, 143

**Private Sector.** [20](#), 10, 17, 28, 29, 84, 88, 141

**Problem Tree.** [53-55](#), 25, 52, 66, 107

**Qualitative Methods.** [100-101](#), 102, 104, 109, 111, 115, 179, 181-186, 188, 189, 192, 219-233

**Quantitative Methods.** [100-101](#), 103, 111, 112, 179, 183-186, 188, 192, 218

- Refine (Behaviors).** [125-133](#), 47, 54, 60, 98, 119, 121, 134, 135, 142, 146, 154, 215-216, 244-250
- SBC Strategy.** [3](#), [52](#), [67](#), [119-148](#), 2, 7, 17, 18, 43, 45, 47, 51, 92, 93, 151, 152, 153, 157, 160, 163, 169, 171, 172, 174, 178, 191, 192, 195, 197, 236
- SBC Team.** [48](#), 21, 52, 60, 160, 168,
- Secondary Group(s).** [57-59](#), 127, 145,
- Secondary Source.** [97](#), 100, 116
- Segment/Segmentation.** [13](#), [123-124](#), [132-133](#), 20, 22, 27, 31-32, 89, 121, 125, 128, 131, 138, 142, 143, 145, 163, 234-235
- Self-Efficacy.** See also Skills. [14](#), [16](#), 13, 27, 28, 29, 35, 36, 111, 117, 135, 137, 141
- Skills.** See also Self-Efficacy. [9](#), [14](#), [61](#), 13, 16, 17, 22, 28, 29, 34-35, 87, 95, 111, 129, 140, 179, 185, 234
- Small Doable Action (SDA).** [129-130](#), 34, 99, 142, 155, 157, 220
- Small Group Discussion (SGD).** [105](#), 227
- Social and Behavior Change Communication.** [9-10](#)
- Social Relationships.** [16](#), 7, 29, 57, 98, 125
- Social Listening.** [208](#), [231\\*](#), 97
- Small Media.** [81-82](#), 70, 73, 76, 78, 140, 189
- Social Marketing.** [20](#), [89](#), 10, 23, 71
- Social Norms.** [14](#), [18](#), [54](#), [74-75](#), [104](#), [127](#), [186](#), 4, 7, 8, 10, 13, 17, 20, 29, 30, 37, 38, 44, 53, 54, 66, 72, 77, 80, 83, 84, 86, 87, 96, 97, 101, 111, 122, 125, 129, 134, 136, 140, 142, 144, 179, 184, 197, 221, 235
- Social Norms Exploration.** [104](#), [221](#), 97, 101
- Socio-Ecological Model (SEM).** [28-29](#), 21, 25, 26, 27, 33, 64
- Staffing/Staff Capacity Strengthening.** See also SBC Team. [21](#), [48-49](#), [60](#), [110](#), [121](#), [152](#), [160-161](#), 22, 43, 61, 76, 78, 81, 93, 122, 138, 143, 156, 158, 164, 166, 170, 171, 174, 189, 190, 193, 195
- Stages of Change.** [32-35](#), 11, 25, 27, 41, 73, 77, 99, 234\*
- Stakeholders.** (includes stakeholder engagement and stakeholder capacity building). [43](#), [46](#), [48](#), [60](#), [94](#), [110](#), [121-122](#), [152](#), [190](#), 18, 21, 22, 64, 70, 82, 93, 95, 109, 112, 122, 138, 143-144, 158, 169, 171, 178, 192, 193
- Stakeholder Review.** [169](#)

**Story/Storytelling.** [86](#), [107](#), 17, 68, 71, 79, 85, 105, 139, 147, 163, 165, 170, 172-174

**Sub-Behavior.** [127-133](#), 244-250

**Subjective Norms.** [37](#)

**Supporting Actors.** [12](#), [57](#), [59](#), 58, 66, 95, 108, 145, 234

**Survey.** [103](#), 94, 97, 100, 101, 102, 111, 218, 219

**Testimonies.** [71](#), [86-87](#), 74-75, 88, 141, 147, 170

**Theory.** [25-41](#), 5, 7, 8, 21, 43, 44, 45, 52, 53, 54, 59, 60, 66, 91, 95, 98, 103, 110, 111, 116, 156

**Theory of Reasoned Action.** [37](#), 25, 27

**Training, Participants.** [139-140](#), 14, 16, 34, 61, 82, 84, 88, 134, 138, 139, 151, 152, 153, 154, 171, 180

**Training, Staff.** [48-49](#), [109-110](#), [160-161](#), 22, 61, 72, 76, 78, 102, 116, 152, 159, 170, 171, 174, 175

**Trials of Improved Practices.** [103](#), [220](#), 101, 115



Joseph Bistoni cares for his 15 month old daughter Desire while her mother looks after morning chores, in Malawi.

[Photo by Sara A. Fajardo for CRS]



Catholic Relief Services | 228 W. Lexington Street, Baltimore, MD 21201, USA | [crs.org](http://crs.org) | [crsespanol.org](http://crsespanol.org)  
For more information, contact [SBC@crs.org](mailto:SBC@crs.org).