

INTRODUCTION

MODULE

012345

A LEARNING PACKAGE FOR SOCIAL AND BEHAVIOR CHANGE COMMUNICATION

PRACTITIONER'S HANDBOOK

C-Modules: A Learning Package for Social and Behavior Change Communication

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Social and Behavior Change Overview

This Introduction Module is the foundation for the rest of the *C-Modules: a Learning Package on Social and Behavior Change Communication* (SBCC). It explores concepts and principles that are referred to throughout all the other modules and is, therefore, an essential starting point.

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Session 0-1: SBCC Defined

Social and behavior change communication (SBCC) looks at the role communication can have in bringing about social change, including individual behaviors and social norms.

Here's an example of what SBCC might look like in the real world:

In Albania, young people often have sex without protection against pregnancy or sexually transmitted infections (STIs). Modern contraceptive methods are largely available but underused for a number of reasons, including misunderstandings about how they work, limited conversations between young couples, and poor connections between youth and pharmacists—the main providers of modern methods. A recent SBCC effort focused simultaneously on different “audiences”—urban university youth, pharmacists, and journalists—in order to bring about holistic change. Attention was paid to the behaviors of young men and women and of contraceptive service providers and to the way which contraceptives are portrayed by the media. A mix of communication channels were selected to achieve specific objectives. For example, a mass media campaign complemented peer-to-peer work with young men and women. Interpersonal skills training interventions were geared to pharmacists, and RH training to journalists. Implementation focused on maintaining partnerships, selecting the right staff, addressing gender issues, sticking to a realistic budget, planning carefully for material production, and monitoring quality. Certain aspects of this program have been evaluated through a comparison with baseline data. These data and learning from the implementation experience has led to continual re-planning.

Session 0-2: This Course

This course is designed for practitioners who want to build their own capacity to do quality SBCC and to contribute to our collective learning about what works.

By the end of this course you will have:

- practiced systematic steps of SBCC—from planning through implementation, and re-planning.
- used a socio-ecological model to analyze how change happens.
- explored how advocacy, social mobilization, and behavior change strategies can work together.

Each module of this course addresses one of the systematic steps of SBCC.

On the next page see an overview of the tools provided in this *Handbook* to guide your own work in SBCC.

Overview of C-Tools¹: Worksheets, Checklists and Graphics Included in the Practitioner’s Handbook

INTRODUCTION MODULE Tools:				
Current Projects	C-Planning Graphic	A Socio-Ecological Model for Change	Key strategies of SBCC	Ten SBCC Principles
MODULE 1 Tools: Understanding the Situation	MODULE 2 Tools: Focusing & Designing	MODULE 3 Tools: Creating	MODULE 4 Tools: Implementing & Monitoring	MODULE 5 Tools: Evaluating & Replanning
C-Planning – Step 1 Problem Tree People Analysis A Gender Perspective Context Analysis Research Gaps and How to Fill Them Existing Research Inventory Where initial research fits into SBCC Data Methods Your Draft Research Plan Matrix of Partners, Allies, and Gatekeepers Summary of Your Analysis	C-Planning – Step 2 Communication Strategy Outline Audience Segmentation Table Audience Segmentation Checklist Audience Prioritization Audience Segmentation Map Audience Profile A Socio-Ecological Model for Change Matrix for Change SMART Communication Objectives Key strategies for SBCC Strategic Approach Positioning Channel Mix Deciding on Channel Mix Channel Selection Scenario to Create an Environment of Change Draft List of Products, Materials and Activities Draft Implementation Plan Where M&E Fits into SBCC Uses and Users and M&E Data	C-Planning – Step 3 Research Gaps Inventory of Existing Materials Analyzing Examples of SBCC Materials Creative Brief Effective Messages Basic Principles of Message Development Storyboard Outline Drafting Materials Stakeholder Review Audience Pretest Quality Messages and Materials Draft Production Timeline	C-Planning – Step 4 Detailed Workplan Concepts of Gender and Sex Gender Issues in Planning, Implementation and Evaluation Project Staffing Plan SBCC Coordination Supervisory Tool Successful Partnerships in SBCC SBCC Budgeting Tool How to Make Team Decisions on Budget Priorities Plan to Identify and Approach Resource Providers How to Make Team Decisions on Sequence, Timing and Synergy Template to Track Distribution Points and Production Needs Quality SBCC Plan to Monitor the Process and Quality of all SBCC Materials and Activities	Where M&E Fits into SBCC What Questions can be Answered by Different Parts of the M&E Framework Users and Uses of M&E Data Key Decisions before Data Collection Selecting Monitoring Indicators Selecting Evaluation Indicators Evaluation Research Design Sketch Selecting the Best M&E Methods for Your Program Pulling it all Together – Scenarios Data Quality Data Quality Scenarios Your Simplified Data Analysis Plan M&E Plan Template

¹ In the *C-Modules*, **tools** are any instrument (e.g. worksheet, checklist, or graphic) that assists or guides practitioners in the understanding and application of concepts in their programmatic work. All tools are located in the practitioner’s handbook of the *C-Modules*.

Session 0-3: Current Projects

WORKSHEET: Current Projects

Directions: Use this worksheet to briefly describe a recent or current communication project in which you've been involved.

<p>What's the issue addressed by the project?</p>
<p>What processes have you followed?</p>
<p>What strategies have you used?</p>
<p>What theories or models, if any, have guided this work?</p>
<p>What worked well and what's been a challenge?</p>

As you walk through the *Practitioner's Handbook*, continually apply SBCC concepts and tools to real-life project examples like the one you just did.

Session 0-4: Characteristics of SBCC

SBCC has three characteristics:

1. SBCC is an interactive, researched, and planned process aimed at changing social conditions and individual behaviors.
2. SBCC applies a comprehensive model to find an effective tipping point for change by examining:
 - individual knowledge and motivation
 - social/gender norms, skills, and an enabling environment
3. SBCC operates through three Key strategies, namely:
 - advocacy
 - social mobilization
 - behavior change communication

Characteristic 1: SBCC is a process...

The SBCC process includes **five steps**:

1. Understanding the Situation
2. Focusing & Designing Your Strategy
3. Creating Intervention & Materials
4. Implementing & Monitoring
5. Evaluating & Replanning

All the steps of C-Planning draw on previous ones and contribute to subsequent ones. C-Planning provides a structure for the rest of this **course on SBCC**.



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

Most of the Concepts and Tools related to M&E are found in the end of Module Four and in Module Five of this *Practitioner's Handbook*. But, the groundwork for M&E is laid out earlier. For example, in Step 2 we recommend drafting indicators for evaluation as well as an implementation plan against which to monitor progress.

Characteristic 2: SBCC Uses a Socio-Ecological Model for Change...

Theories and models have guided development communication for years. A model is often used to describe an application of a theory to a particular case. These theories and models address human behaviors on one of **three possible levels of change**²: Individual, Interpersonal, or Community. The chart below describes what change process comes into play and what is being modified for each of those levels:

Level of Change	Change Process	Targets of Change
Individual level	Psychological	Personal behaviors
Interpersonal level	Psycho-social	How the person interacts with his/her social network
Community level	Socio-cultural	Dominant norms at community level

*Source: Adapted from McKee, Manoncourt, Chin and Carnegie (2000)

Over the years, there has been a shift in thinking about human behavior. For example, early in the HIV and AIDS epidemic, communication practitioners largely believed behavior change would result directly from giving correct information about transmission and prevention. While providing correct information is an important part of behavior change, information alone has proved to be insufficient. We now acknowledge four key facts about human behavior:

1. People make meaning of information based on the context in which they live.
2. Culture and networks influence people’s behavior.
3. People can’t always control the issues that determine their behavior.
4. People are not always rational in deciding what is best for their health and well-being.

With the evolution of thinking from individual approaches to those considering social conditions, we now have a model that tries to consolidate our conceptual thinking into an ecological perspective. (Ecological in this context means the relationships between individuals and their environments). A Socio-Ecological Model for Change views individual behavior as a product of multiple overlapping individual, social, and environmental influences. This model helps to combine individual change with the aim to influence the social context in which the individual operates. The model tries to find the strongest **“tipping point”** for change, which may not always be found through individual changes. A tipping point can be a naturally occurring event or a strong determinant for change, such as political will that can provide the final energy to “tip over” a situation to change. The model underscores the need to expand beyond *ad hoc* interventions to a coordinated social movement for change over time.

² See the next page for examples of theories focusing on each of these levels. There are references for a fuller review of social and behavioral theories and models at the end of this module. Please also review the C-Change SBCC Theory PowerPoint presentation (available in the additional resources section of the *C-Modules*).

Examples of Behavioral Theories and Models

Below we have selected a theory for each level of change. Choose one of these theories that have guided your work in the past and think about the question: *What has been useful about this theory for you? How has it fallen short of what you have needed to effectively understand and change behaviors?*


Individual level: The Stages of Change Theory was conceptualized as a five-stage process related to a person's readiness to change: a) pre-contemplation, b) contemplation, c) preparation, d) action, and e) maintenance. People progress through these stages at varying rates, often moving back and forth along the continuum a number of times before attaining the goal of maintenance. Programs using this theory consider: *Where is the audience with respect to the desired action, e.g., adoption of hand washing? What information or messages do they need at that stage?*

Interpersonal level: Theory of Social Learning posits that people learn how to behave by: 1) observing the actions of others; 2) observing apparent consequences of those actions; 3) checking those consequences for their own lives; and 4) rehearsing, trying out those actions themselves. A communication program using this theory builds on modeling desired behaviors by key individuals in the community. A key concept to measure would be the individual's level of self-efficacy: *To what degree do people believe they have the ability to achieve desired results by their own actions, e.g., using condoms correctly?*

Community level: Diffusion of Innovations Theory describes how new ideas and practices (innovations, such as the use of malaria nets) are spread through social networks, over time. This spread depends on the perceived characteristics of the innovation and characteristics of the social network. Research would look at how existing social networks function: *How connected are different networks? How large are the different networks? Who are the leaders and innovators in those networks?* But it is also important to find out what the target population thinks of these new ideas and behaviors, and to include messages in programs that address any concerns about the innovation.

Below is a table that demonstrates levels that some core theories emphasize. Review this table and reflect on how theories can address the three levels of change and how they relate to the Socio-Ecological Model for Change.

Emphasis of some Core Theories

THEORY	EMPHASIS	MORE INDIVIDUAL	
Individual Level			
1. Health Belief Model 2. Reasoned Action – Fishbein & Ajzen 3. Stages of Change – Prochaska, DiClemente	Planned behavior, rational decision making processes (beliefs & subjective norms)		
Fear Management – Witte	Interaction between cognition & emotion		
Interpersonal level			
Social learning – Bandura	Social comparison, learning from role models, self efficacy		
Community level			
Theory of Gender and Power Diffusion of Innovations	Social influence, personal networks		
Ecological Models	Behavior is a function of the person and its environment	MORE SOCIAL	

SOURCE: Adapted from Douglas Storey – JHU- Center for Communication Programs

GRAPHIC: A Socio-Ecological Model for Change

SBCC applies a Socio-Ecological model that examines several levels of influence to find the “tipping point” for change. This model, applied throughout the *C-Modules*, is a combination of ecological models and psychosocial factors that will assist you in your analysis and planning. This model has two parts:

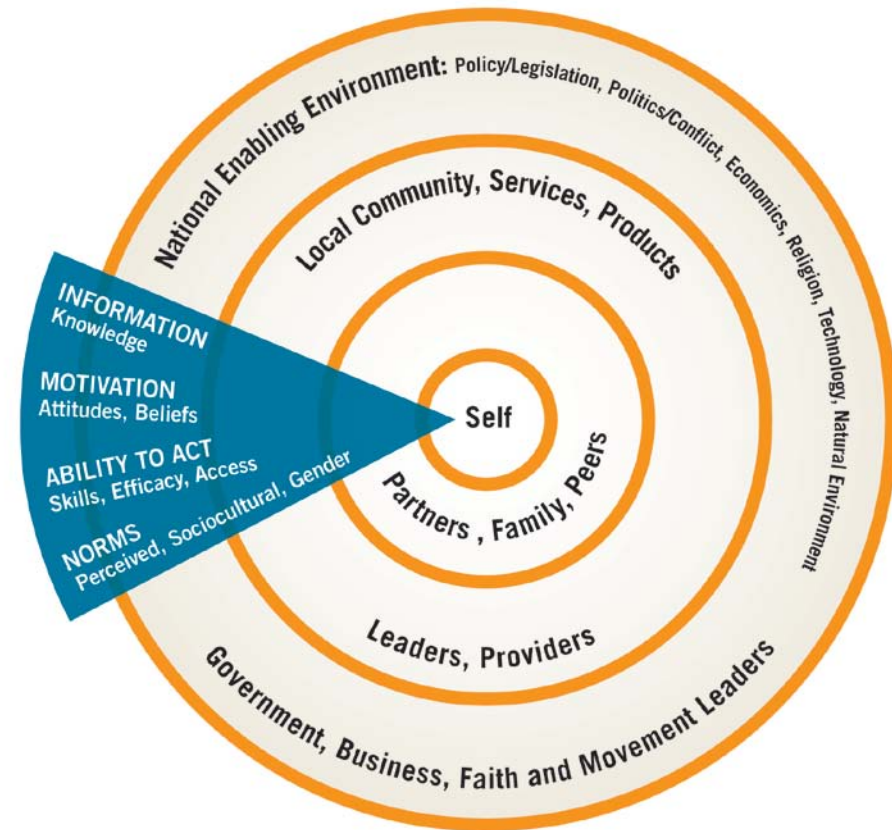
1. **Levels of analysis** are represented by the rings. The rings represent both domains of influence as well as the people representing them at each level.
2. **Crosscutting factors** in the triangle of influence each of the actors in the rings.

The **levels of analysis** (represented by the rings) are:

- The individual “**self**” most affected by the issue.
- Direct influencers represented by two rings:
 - One including **partners, family, and peers**
 - Another including **local community (members and leaders), services, products, and providers** associated with them.

All of them may shape community and gender norms, access to, and demand for community resources and existing services.

- Indirect influences which make up the outer **enabling environment**. Components of this ring may facilitate or hinder change and include: government policies and regulations, political forces, prevailing economic conditions, the private sector, religion, technology and the natural environment. Actors in this ring, such as national government, business, faith and movement leaders, are often targets for advocacy and social mobilization activities.



SOURCE: Adapted from McKee, Manoncourt, Chin and Carnegie (2000)

Each level and the actors therein are influenced by several **cross cutting factors** (triangle of influence) which SBCC interventions may be able to modify to generate change. These factors may act in isolation or in combination. To help identify these factors we put them into four large categories: information, motivation, ability to act, and norms.

People need **information** that is timely, accessible, and relevant. When looking at information consider the level of **knowledge** held by that person or group, e.g., about modern contraceptives and their side effects. With such information, some individuals, groups, or communities may be empowered to act. For most people, however, information is not enough to change.

They require **motivation** often represented by **attitudes and beliefs** about the issues they are trying to change, e.g., attitudes towards condom use or beliefs about the benefit of FP. Motivation can be affected by SBCC through effective counseling, peer education, entertaining radio, or TV programs. If done well, such communication can foster individual attitudinal and behavioral change, as well as social norm change.

However, even motivation may not be enough. For instance, few women and girls in the countries hardest hit by HIV and AIDS have power in negotiating the time and conditions for having sex, including the use of condoms. Or they may lack the funds to buy condoms. They need the **ability to act** in particular circumstances that pose a threat. Look at the actual skills and efficacy of the actors:

- **Skills** include psychosocial life skills: problem-solving, decision-making, negotiation, critical and creative thinking, interpersonal communication, and other relationship skills, such as empathy.
- **Efficacy** looks at the confidence of individuals (self-efficacy) and groups in their own skills to affect change.
- **Access** includes financial and geographical issues such as access to services, ability to buy products, or transport issues.

Finally, **norms** —as expressed in perceived norms, socio-cultural, and gender norms have considerable influence. Norms reflect the values of the group and specify those actions that are expected of the individual by its surrounding society. Perceived norms are those that an individual believes others are holding and therefore are expected of him or herself. Socio-cultural norms are those that the community as a whole is following because of social status or cultural conventions. Gender norms shape the society's view on what is expected of males and females.



SOURCE: Adapted from McKee, Manoncourt, Chin and Carnegie (2000)

Examples of Theories and Models that have Contributed to the Socio-Ecological Model

As mentioned earlier, theories and models are helpful for program planning by identifying and making explicit the assumptions behind interventions and strategies: they can help us to formulate communication objectives for the program and determine how to measure them as well as to clarify the reasons why programs succeed or fail.³

The Socio-Ecological Model is based on existing theories, models and approaches from several disciplines including political science, sociology, psychology and communication. Through a synthesis of the information included in these theories and approaches, the socio-ecological model proposes several levels of influence to find effective “tipping points” for change. C-Change developed a table to illustrate the theoretical base of the socio-ecological model and how that relates to finding tipping points for change. Look at the table in the Appendix (page 22) to see how different theories and models contributed to and were synthesized into each ring of our Socio-Ecological Model for Change.

When looking at this table consider:

- *Which of these theories and approaches sound familiar to you?*
- *Which application examples can help you with your situation analysis? (You will work on this in Module 1)*
- *Which ones do you think can help develop your communication strategy? (You will work on this in Module 2)*

³ Neill McKee, Manoncourt, Chin & Carnegie, 2000

ALBANIA EXAMPLE: A Look at How an Albanian Young Woman Relates to her Environment Using A Socio-Ecological Model

Besa is a 21-year-old university student in Albania. She has been in a steady sexual relationship with her boyfriend, Artan, for the past year. For most of their relationship, they’ve relied on withdrawal, while occasionally using male condoms which Artan took the initiative to buy. While the couple hopes to one day start a family, they both agree that now is not the time. They also both agree that they need to find a more reliable and convenient way to prevent Besa from becoming pregnant, as they cannot afford to have a baby. During one of Besa’s recent bus rides home, she noticed an ad for an oral contraceptive pill for women. The ad said that hormonal contraceptives are safe and reliable. She’s been contemplating bringing up this option with Artan since it seems like it would allow them to have worry-free sex.




What levels and factors of the Socio-Ecological Model might affect her decision making process in discussing and pursuing this option with Artan?

Self	Partners, Family, Peers	Local Community, Services, Products	National Enabling Environment
<ul style="list-style-type: none"> • Lack of knowledge about modern contraceptives • Not knowing how to discuss consistent contraceptive use with her partner • Afraid to buy modern contraceptives from pharmacist • The urgency she feels that she must solve this issue 	<ul style="list-style-type: none"> • Composition of families the community (e.g., mostly stable, married, or long-term couples vs. single-parent or unstable households) • Family discussions on reproductive health, if any exist • How actively her friends try to prevent accidental pregnancies • Prevalence of young Albanian couples willing to try hormonal contraceptives • What her friends tell her about their contraception practices • Her ability to communicate this option to Artan, knowing that he likes to be the dominant person in their relationship • Her ability to gather feedback from her friends on their experiences with hormonal contraceptive methods 	<ul style="list-style-type: none"> • Availability and accessibility of information regarding modern contraception methods that she can find around her university • What the pharmacist tells her and Artan • Whether there are female pharmacists she can talk to, and whether the pharmacist encourages or discourages this option • Her ability to save enough money to pay for the contraception • The ease with which the couple can obtain oral contraceptives 	<ul style="list-style-type: none"> • How their religious background affects open discussion about contraception • How gender norms may reflect negatively on young women who appear to know about the details of sexuality and contraception • Price of oral contraceptives • Policies that enable or disable unmarried couples from accessing oral contraceptive methods • What she can find out from the Internet and other media sources • How media advertisements market this method to young couples

WORKSHEET: A Socio-Ecological Model for Change

Reflection Question

➤ How does your current work address the rings of this model? You can use this worksheet to help you think this through.

<p>Context Analysis</p> 	
<p>People Analysis</p> 	
<p>Crosscutting Factors</p> 	

Characteristic 3: SBCC Operates Through Three Key Strategies...

Now that the situation has been analyzed, the SBCC framework offers an appropriate mix of the following strategies to address change at all levels of the Socio-Ecological Model. **These key strategies are mutually reinforcing:**

- **advocacy** to raise resources and political/social leadership commitment for development actions and goals
- **social mobilization** for wider participation, coalition building, and ownership, including community mobilization
- **behavior change communication** for changes in knowledge, attitudes, and practices of specific participants/audiences in programs

There is a “Planning Continuum” between these three strategies. Programmers can begin with any one of them, depending on such factors as: the problem being addressed, policies in place to deal with it, and organizations/resources already addressing the issues. If leadership isn’t ready for advocacy on a certain issue, you might concentrate instead on building social networks or coalitions, which can later put pressure on leadership through a well-defined advocacy strategy. If resources allow, you might start with a broad-scale BCC effort at a community level, which—when linked with mass media—can eventually affect leadership’s perspective and engage them and others into a social movement.

SBCC should always be linked to services or to products which people can access. If these are not in place, SBCC efforts remain toothless and people lose trust in communication activities.

Community mobilization is a sub-strategy of social mobilization. While social mobilization may often take place at a national level among civil society organizations, donors, and parts of government to build coalitions for certain issues, community mobilization can do the same at a community level with similar techniques. Coalitions can be formed between community leaders, spiritual and traditional leaders, women’s groups, and other organized segments of the community. Techniques used under social and community mobilization include publicity, public discussions, dissemination of information using mass and community media, and training/coordination of stakeholders.

The graphic “**Key Strategies of SBCC**” on the following page illustrates how strategies can fit together.

GRAPHIC: Key Strategies of SBCC



SOURCE: Adapted from McKee (1992)

WORKSHEET: Key Strategies of SBCC

Directions: Use this worksheet to reflect on the key strategies and how they can contribute to an SBCC program.

Advocacy: to raise resources as well as political and social leadership commitment to development actions and goals

Describe a project you've seen or worked on that included advocacy.

- *What do you see as the value of advocacy?*

Social mobilization: for wider participation, coalition building, and ownership, including community mobilization

Describe a project you've seen or worked on that included social mobilization.

- *What do you see as the value of social mobilization?*

Behavior change communication (BCC): for changes in knowledge, attitudes, and practices among specific "audiences"

Describe a project you've seen or worked on that included behavior change communication.

- *What do you see as the value of BCC?*



SOURCE: Adapted from McKee (1992)

EXAMPLE: Combining Advocacy, Social Mobilization, and Behavior Change Communication

In December 1998, we witnessed the birth of Africa's most powerful HIV and AIDS lobby group, the South African Treatment Action Campaign (TAC). When it started as a small group of concerned individuals, its main aims were to get pharmaceutical companies to drop their prices, and to put pressure on the ruling government to give free AIDS-treatment at state hospitals.



Following legal victories, but facing continuing refusal by the government to make anti-retrovirals (ARV) available, TAC began a campaign for universal access to AIDS treatment through the public health system. In 2003, the group began a civil disobedience campaign, which was suspended once TAC got assurances that a treatment plan would be forthcoming. As of 2008, TAC had 250 branches across South Africa and some 12,000 members in its database⁴. One of TAC's strategic objectives is to "train and develop a representative leadership of people living with HIV/AIDS on the basis of equality and non-discrimination irrespective of race, gender, sexual orientation, disability, religion, sex, socio-economic status, nationality, marital status, or any other ground."⁵

Although antiretroviral access is now official policy in South Africa, implementation of the policy has been spotty. TAC continues to protest and sue the government in order to speed and support ARV access. TAC also puts particular pressure on industry to make sure workplaces have proper treatment strategies on site.

TAC is one of the developing world's most recognized HIV and AIDS activist groups. Over time TAC's strategic approach has been broadened to include treatment literacy activities using health education and promotional activities. For example, their Prevention and Treatment Literacy (PTL)⁶ program provides high quality training and public-health education on the science of HIV and TB prevention and treatment to patients and partner organizations. TAC's PTL program also monitors access to essential HIV and TB services and treatment at the facility level in the districts in which TAC operates. In addition, TAC's Community Health Advocacy (CHA) program has recently begun to intensify its women's rights work by leading campaigns to end violence against women and mobilizing communities around women's rights.

Reflection Questions:

- *What does this example teach you about three strategies of SBCC?*
- *What are your questions?*

⁴ http://www.news24.com/News24/South_Africa/Aids_Focus/0,,2-7-659_1842267,00.html

^{5,6} <http://www.tac.org.za/community/about>

Session 0-5: Ten Crosscutting SBCC Principles

Wherever you are doing SBCC, there are principles that can keep you on the right track. We feature 10 such principles here. As you work through the steps of C-Planning for SBCC, these principles can be your compass, especially when faced with challenges and tough decisions.

Principle #1: Follow a systematic approach

Principle #2: Use research (not assumptions) to drive your program

Principle #3: Consider the social context

Principle #4: Keep the focus on your audience(s)

Principle #5: Use theories and models to guide decisions

Principle #6: Involve partners and communities throughout

Principle #7: Set realistic objectives and consider cost effectiveness

Principle #8: Use mutually-reinforcing materials and activities at many levels

Principle #9: Choose strategies that are motivational and action-oriented

Principle #10: Assure quality at every step

WORKSHEET: Ten SBCC Principles

Directions: Use this worksheet to briefly describe a reflect on the ten SBCC principles and where you have seen them in action before.

Ten Principles of SBCC	Reflection Question ➤ <i>Where have you seen these Principles in Action?</i>
Principle #1: Follow a systematic approach	
Principle #2: Use research (not assumptions) to drive your program	
Principle #3: Consider the social context	
Principle #4: Keep the focus on your audience(s)	
Principle #5: Use theories and models to guide decisions	

WORKSHEET: Ten SBCC Principles Continued

Ten Principles of SBCC	Reflection Question ➤ <i>Where have you seen these Principles in Action?</i>
Principle #6: Involve partners and communities throughout	
Principle #7: Set realistic objectives and consider cost effectiveness	
Principle #8: Use mutually-reinforcing channels, activities, and materials at many levels	
Principle #9: Choose strategies that are motivational and action-oriented	
Principle #10: Demand quality at every step	

Appendix: The Theoretical Base of the Socio-Ecological Model

The Socio-Ecological Model is based on existing theories/approaches from several disciplines including political science, sociology, psychology and communication. Through a synthesis of the information included in these theories and approaches, the socio-ecological model proposes several levels of influence to find effective “tipping points” for change. A tipping point can be a naturally occurring event (such as earthquakes) or a strong determinant such as political will, which can provide the critical mass or final energy to “tip over” a situation to change. The term is found in sociology, economics, and epidemiology to describe how momentum builds up to a point where change becomes unstoppable. Tipping points can be important to governments, oppositions or social movements to unite collectively and with sufficient man power behind a certain goal. C-Change developed a table to illustrate the theoretical base of its Socio-Ecological Model and how that relates to finding tipping points for change.

What is the purpose of the theory table?

1. Provide information on theories/approaches that support the relationships proposed by the Socio-Ecological Model.
2. Illustrate how these theories/approaches can be used to guide the situation analysis and program design phases of C-Planning.

How is the table organized?

The first column shows how the factors of information, motivation, ability to act and norms cut across all levels and the actors within the Socio-Ecological Model. The second column- read across the table - illustrates how each level of analysis (national, community, family, partners and peers and the level of the self) is supported by a variety of theories and approaches. The table demonstrates which level of the model, and which of the three key strategies of the SBCC Framework provide information to address potential tipping points for change and which existing theories and approaches could provide guidance at that level of analysis and implementation.

How is the table used?

This table can be used to become familiar with and understand the theoretical basis of the Socio-Ecological model and to better apply its strategies. The example applications in the last column show how the theories and approaches that support the Socio-Ecological Model can be used during the first two phases of the C-Planning (situation analysis and strategy development). They illustrate how to identify potential determinants for tipping points for change, how to address them and determine areas of focus for program activities within the three strategies proposed (advocacy, social and community mobilization, and BCC) as part of the SBCC framework.

THE THEORETICAL BASE OF THE SOCIO-ECOLOGICAL MODEL (SEM)					
Cross-cutting Factors	SEM Level of Analysis	SEM Strategy	Illustrative Tipping Point for Change	Selected Theories/ Models/ Approaches	Examples of Application
Information, Motivation, Ability to Act, and Norms	<p>National Enabling Environment</p> <p><i>What:</i> Policy/ Legislation, Politics/ Conflict, Economics, Religion, Technology, Natural Environment</p> <p><i>Who:</i> Government, Business, Faith and Movement Leaders</p>	<p>Advocacy</p> <p>Social Mobilization</p>	<p>Political will</p> <p>Resource allocation</p> <p>Policy change</p> <p>Organizational/ institutional development</p> <p>National consensus/ strategy</p> <p>Social movement</p>	<p>Agenda Setting and Framing</p>	<ul style="list-style-type: none"> • Identify leaders, mass media outlets and personalities that influence what people think about certain issues to set: <ul style="list-style-type: none"> – media agenda (what is covered) – public agenda (what people think about) – policy agenda (regulatory or legislative action issue) • Work with leaders, media, and personalities to develop appropriate messages (framing) to influence what and how people think
				<p>Social Movement Theories/ Resource Mobilization Theory</p>	<ul style="list-style-type: none"> • Understand how communities/groups self-organize, engage in collective action or how they resist mobilization efforts • Help organize actors using communication tactics such as persuasion, facilitation, and bargaining to promote policy changes • Mobilize communities to affect structural conditions <p>Mobilization process:</p> <ol style="list-style-type: none"> 1. create a potential base of support in the population 2. form recruitment networks to tap potential members 3. generate motivation among targeted individuals through framing issues 4. remove barriers to participation 5. once activated, maintain commitment by building a collective identity and continuing to nurture interpersonal relationships
				<p>Social Network and Social Support Theory</p> <p>(also used at community level)</p>	<ul style="list-style-type: none"> • Identify characteristics of the social network (e.g. professional, friendship). e.g., Structure: how big is it? Interaction: how strong are the bonds? Density: how well do people know each other? Reciprocity: are resources and support given and received? • Identify what type of support network members are receiving. e.g., Emotional (e.g. love), instrumental (e.g. money), informational (e.g. advice/information) and/or appraisal (e.g. feedback) • Identify potential points of entry into the network (e.g. colleagues) • Design messages and/or activities targeted at the entry point to persuade people to make changes and to have others support them

THE THEORETICAL BASE OF THE SOCIO-ECOLOGICAL MODEL (SEM)					
Cross-cutting Factors	SEM Level of Analysis	SEM Strategy	Illustrative Tipping Point for Change	Selected Theories/ Models/ Approaches	Examples of Application
Information, Motivation, Ability to Act, and Norms	Local	Advocacy Social Mobilization (incl. Community Mobilization) BCC	Community-leadership/ buy-in Collective efficacy Network participation Ownership	Empowerment Theory	<ul style="list-style-type: none"> • Identify community priorities and key activities • Identify beliefs and practices linked to change • Organize and build alliances to bring about change • Include participants in planning and implementing activities (e.g., using “Participatory Learning and Action”)
	<i>What:</i> Community structures and networks			Integrated Model of Communication for Social Change	<ul style="list-style-type: none"> • Use situation analysis to <ul style="list-style-type: none"> – Identify a catalyst for change (person, ICT, medium) to initiate community dialogue around problems and desired change. – Identify and address assets or barriers for dialogue and collective action • Develop action plans through dialogue and facilitate implementation by community members and relevant organizations • Continue with community dialogue and collective action to address external constraints and support over time
	<i>Who:</i> Leaders			Behavioral Economics /e.g. Theory of Bounded Rationality	<ul style="list-style-type: none"> • Find out how real people make choices drawing on both psychology and economics: Are choices based on rational thought, self control or selfishness? Or on “rules of thumb,” irrationally seeking satisfaction, or “spur of the moment”? • Analyze the environmental structures in place that affect decision making. Is a policy change needed instead of behavioral appeals? • Frame and design options in a sensible way to “nudge” and coax decisions along. Determine what incentives could make the decisions lucrative or mandatory
				Shaming Theory/ Approach	<ul style="list-style-type: none"> • Shaming works: “Will being on a public list of tax evaders encourage people to declare taxes?” • Use symbolic activities in public (e.g., a walk of shame drawing attention to poor hygiene in a village) to trigger a collective emotional responses at community level about the norms or behaviors in question • Conduct a community discussion about the external effects of poor hygiene on the entire village

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	<p style="margin: 0;">Local</p> <p style="margin: 0;"><i>What:</i> Community structures and networks</p> <p style="margin: 0;"><i>Who:</i> Leaders</p>	<p style="margin: 0;">Advocacy</p> <p style="margin: 0;">Social Mobilization (incl. Community Mobilization)</p> <p style="margin: 0;">BCC</p>	<p style="margin: 0;">Community-leadership/ buy-in</p> <p style="margin: 0;">Collective efficacy</p> <p style="margin: 0;">Network participation</p> <p style="margin: 0;">Ownership</p>	Social Convention Theory	<ul style="list-style-type: none"> • Define the social convention to be changed • Use social networks to promote leaving behind the identified convention and increase awareness about alternatives • Change attitudes through community discussion of advantages and disadvantages • Identify and address the following factors that support the convention: self-enforcing beliefs, social, legal, religious and moral norms • Publicize community efforts and successes and mobilize community sanction against returning to convention
				Culture-Centered Approach	<ul style="list-style-type: none"> • Work within the community to identify problems critical/meaningful to them • Identify explanation of the problem and build theories from within the community using participatory community methodologies (e.g. focus groups, community meetings) • Build capacity so that community members can articulate the problem and participate in developing solutions
				Theory of Gender and Power (also used at family, partner and peers level)	<ul style="list-style-type: none"> • Identify gender differences in division of labor and power (e.g. low or no income), division of power (e.g. physical abuse) and social norms and emotional attachments (e.g. desire to conceive) • Describe social norms related to women’s sexual behavior and sexual and emotional attachments • Assess impact of structural gender differences and social norms on interpersonal sexual relationships • Investigate how a woman’s commitment to a relationship and lack of power can influence her risk reduction choices and address these risk factors

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Information, Motivation, Ability to Act, and Norms	What: Services, Products	Advocacy	Product design Access	Diffusion of Innovation	<ul style="list-style-type: none"> • Identify what the audience thinks of the innovation • Identify opinion leaders in the network • Provide messages that address concerns about the innovation (compatibility, complexity) and communicate its benefits (relative advantage) • Provide opportunities to try out the new innovation • Demonstrate what happens to others when they try the innovation
	Who: Providers	Social Mobilization (incl. Community Mobilization) BCC	Availability Quality Demand Service integration Provider capacity Client satisfaction	Social Marketing	

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Information, Motivation, Ability to Act, and Norms	Partners, Family, Peers	Community Mobilization	Social norms	Social Learning/ Social Cognitive Theory	<ul style="list-style-type: none"> • Identify key role models in the community • Provide opportunities to model or talk about their behaviors • Showcase role models, their actions and positive outcomes through radio dramas, personal testimonials, community discussions • Enhance people’s sense of self-efficacy • Provide information and skills training • Promote collective efficacy • Encourage positive reinforcement from peer, family members and/or partners
		BCC	Self and collective efficacy		
			Participation	Stages of Change/ Transtheoretical Model	<ul style="list-style-type: none"> • What stage is your audience in with respect to the desired action? • What information or messages do they need at that stage? • Stage will dictate intervention, e.g., <ul style="list-style-type: none"> – Pre-contemplative: generate interest – Contemplation: encourage to make plans – Preparation: assist with development of skills – Action: form support groups – Maintenance: share stories with others
			Ownership	(also used at individual level of “Self”)	

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Information, Motivation, Ability to Act, and Norms	Self	BCC	Knowledge	Audience perception/ Attribution Theory	<ul style="list-style-type: none"> • Identify how audience interprets the meanings of SBCC materials or media based on their individual cultural background and life experiences • Find out if existing materials and messages are perceived as persuasive in their intent • Research reasons for possible message fatigue or resistance • Involve audience members in formative research and SBCC materials design to ensure that the intended meaning of the materials is perceived as such 	
			Beliefs	Health Belief Model	<ul style="list-style-type: none"> • Gather information on beliefs/perceptions related to the health problem and behavior <ul style="list-style-type: none"> – Address personal risk perception and perceived seriousness of the disease – Identify and share key benefits and barriers (costs) to change and stimulate discussion – Demonstrate potential positive results of change – Promote the recommended behavior – Increase confidence about ability to practice the behavior 	
			Values		Theory of Reasoned Action/ Theory of Planned Behavior	<ul style="list-style-type: none"> • Identify audience beliefs about 1) the advantages and disadvantages of the behavior and 2) barriers and facilitators for practicing the behavior • Identify people who influence the audience and their beliefs about whether or not these people approve or disapprove of norms and behaviors • Create messages that can affect attitudes, subjective norms and perceived behavioral control
			Attitudes			<ul style="list-style-type: none"> • Find out about perceptions of health problem and preventive behaviors; based on that, either increase perceived seriousness of the illness; increase risk perception; instill confidence in ability to practice the behaviors; model that practicing the behavior avoids the health problem and show how others have overcome barriers
Perceived risks	Self-efficacy	Social support/stigma	Personal advocacy	Life skills	Skills	

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Additional References

These references provide additional information that will assist your work in SBCC. The entire SBCC curriculum, references cited below, and additional resources are available at <http://www.c-changeprogram.org/our-approach/capacity-strengthening/sbcc-modules>. For more resources and opportunities to strengthen capacity in SBCC, visit C-Change’s Capacity Strengthening Online Resource Center at http://www.comminit.com/en/cchange_capacity.html.

C-Modules’ graphics can be expanded and shown to participants through PowerPoint or on a large poster board by accessing them online.

Background Reading

Topic	Item
SBCC	<i>Sexual Behavioral Change for HIV: Where have Theories Taken Us?</i> Provides a brief overview of theoretical models of behavioral change, a review of key approaches used to stem sexual transmission of HIV, a summary of successful interventions targeting specific populations at risk, and a discussion of remaining challenges.
	<i>Theory at a Glance: A Guide for Health Promotion Practice.</i> Provides information and examples of influential theories of health-related behaviors, the processes of shaping behaviors, and the effects of community and environmental factors on behavior.
Advocacy and/or Social Mobilization	<i>Moments in Time: HIV/AIDS Advocacy Series.</i> This manual highlights some advocacy moments of many of the HIV and AIDS global efforts from the perspective of those involved. The manual is intended to be used as a companion to other trainings.
Gender	<i>Inner Spaces Outer Faces Initiative (ISOFI) Toolkit: Tools for Learning and Action on Gender and Sexuality.</i> This toolkit is based off of the experiences of CARE staff under the ISOFI project. It is meant to guide staff and organizations in development and health fields to understand gender and sexuality and its relationship to reproductive health.

Existing Curricula/Training Materials

A Field Guide to Designing a Health Communication Strategy. Provides practical guidance to those who are in a position to design, implement, or support a strategic health communication effort, with an emphasis on developing a comprehensive, long-term strategy that responds appropriately to audience needs.

Behaviour Change Interventions and Communications: A Learner-Driven Training Programme Piloted in Botswana. A 10-module course that includes assignments, readings, and worksheets on a full range of Behavior Change Interventions and Communications (BCIC) subtopics. Participants work through issues such as HIV and AIDS and the national response, research tools, communication strategies, and monitoring plans. Includes assignments on gender, including explanations of key concepts in gender education, and gender analysis, and equity promotion.