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# Technical Capacity Assessment Behavior Change Communications

Facilitator's Copy

New Partners Initiative Technical Assistance (NuPITA) Project

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## Technical Capacity Assessment (TCA) for Behavior Change Communications

### Goal:

The goal of this Technical Capacity Assessment (TCA) tool is to assist nongovernmental organizations engaged in behavior change communication (BCC) development or activities in assessing the critical elements for effective program implementation and identifying elements that need strengthening or further development.

### Purpose:

The purpose of this BCC TCA is to assess an organization’s ability to develop and implement effective behavior change communications activities by looking at its overall approach, management systems and program components. It builds on the strengths of the organizational capacity assessment (OCA) which is designed to measure the overall capacity of organizations.

This TCA tool is designed to provide organizations with a vision of quality BCC activities in the context of public health. It sets criteria for them to assess their current technical capacity to develop and implement quality activities, to identify key areas that need strengthening and highlights components that can serve as a model for other BCC activities and programs.

The TCA tool assesses technical capacity in three domains – organizational strategy, program management, management information systems. Each domain has a number of areas, for a total of 21 areas for assessment, as follows:

### Domain 1: BCC Strategy and Implementation

1. Program Approach
2. Problem/Issue Identification
3. Target Audience and
4. Key Messages
5. Positioning of Messages
6. Media Selection/Channels
7. Products/Outputs
8. BCC Materials Procurement
9. Budget
10. Quality Improvement

### Domain 2: Management and Supervision

1. Human Resources Management
2. Planning and Coordination
3. Supportive Supervision
4. Leadership
5. Sustainability

### Domain 3: Data Management and Management Information Systems

1. Data Collection
2. Data Quality Assurance and Improvement
3. Data Use for Decision-Making
4. Feedback and Sharing
5. Management Information Systems

### Instructions:

- **Domains 1 - 3** should be used to assess *all* organizations engaged in BCC activities

## USING THE TCA TOOLS

These Technical Capacity Assessment tools are designed to enable organizational learning, foster team sharing, and encourage reflective self-assessment within organizations.

Recognizing that organizational development is a process, the use of the TCA tool results in concrete action plans to provide organizations with a clear organizational development road map. The TCA can be repeated on an annual basis to monitor the effectiveness of previous actions, evaluate progress in capacity improvement, and identify new areas in need of strengthening.

The TCA is an interactive self-assessment process that should bring together staff from all departments at implementing organizations, both at headquarters and in the field, for the two- to three-day assessment.

Not intended to be a scientific method, the value of the TCA is in its collaborative, self-assessment process. The framework offers organizations a chance to reflect on their current status against recognized best practices. Lively discussions are also an opportunity for management, administration, and program staff to learn how each functions, strengthening the team and reinforcing the inter-relatedness of the TCA domains and areas.

Each page of this tool examines one area. A range of examples of services available is provided along a continuum, from 1-4. The methodology is a guided self-assessment that encourages active participation. The facilitator and participants meet and discuss each area to determine where the organization sits along the continuum of implementation. Facilitators ask open-ended, probing questions to encourage group discussion, and take notes on participant responses. These notes are later used for the action planning.

Sample questions which might help the facilitator to probe further into the content areas are presented on each page. The scores that are arrived at are designed to set priorities for the actions and are not used to judge performance. Facilitators use the information from the scoring and rationale sheets to define the issues and actions. The organization reviews or adjusts the problem statement and builds on the suggested actions to define action steps, responsibilities, timeframe, and possible technical assistance needs.

The ability to identify areas to be addressed will strengthen the organization and in subsequent years, enable it to view improvement and note where progress is still needed.

**Objective: To assess the organization’s overall approach to behavior change communications.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area I</b>					
<b>Program Approach</b>	The organization and/or its implementing partners has a limited or no defined documented BCC approach/ strategy.	The organization has a loosely defined BCC approach/strategy, but it is not based on a determination of need of the project or specific objectives and is not documented.	The organization has a defined program approach/strategy that responds to a determination of need of the technical component of the project and includes at least <i>three</i> of the following: the overall approach to be implemented, identification of issue and specific objective to be addressed, target audiences to be reached, research needed to develop messages, identification of key messages, media/channel to be used, positioning of message, outputs/products and means of measuring impact.	The organization follows a well-defined and documented program approach/ strategy that responds to a determined need of the technical component of the project. The strategy/approach includes identification of issue and specific objective to be addressed, target audiences to be reached, research needed to develop messages, identification of key messages, media/channel to be used, positioning of message, outputs/products and means of measuring impact in an integrated format.	The organization has a detailed strategy based on the needs of the technical components of the project and the target audience that offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Describe your organization’s overall approach or strategy to BCC  
*[What are you trying to achieve through the BCC activities—and how? What are the main problems or issues that the BCC strategy is trying to address?]*
2. How have you determined the need for BCC activities within the project and activities?  
*[For example, consultations with technical team, focus groups, etc.]*
3. Have you identified the key messages for the BCC activities? What research was used to identify key messages?  
*[For example, what behavior do you want to address and what message would impact that behavior?]*
4. Who is the target audience(s) you are trying to reach? How were these groups determined?
5. What are the media or channels you are using to reach the target audience or groups?
6. What is the positioning of your messages?  
*[For example, what is the “look and feel” of your campaign or activities? What emotions do you want your activities to elicit?]*
7. What are the specific activities/products you have identified to develop and disseminate  
*[For example, mass media (TV spots), print (brochures), training, interpersonal communications, etc.]*
8. How are you measuring the impact of the activities and determining if the identified behavior is changing?

**Area I Score:** \_\_\_\_\_

**Objective: To determine the extent to which the organization's behavior change communications supports technical intervention areas and is linked to a specific issue.**

<b>DOMAIN 1: ORGANIZATIONAL STRATEGY</b>					
<b>Area 2</b>					
<b>Problem/ Issue Identification</b>	The organization's BCC activities are not linked to and don't support technical interventions and do not address a specific issue or problem.	The organization's BCC activities address a specific stated issue or problem; however this issue might not support technical interventions. Ongoing conversation and feedback with technical staff and revisions based on this feedback does not take place.	The organization's BCC activities address a specific stated issue or problem and support technical interventions; conversations with technical staff take place; however this feedback is not taken into consideration and revisions to the BCC activities are not made based on it.	The organization's BCC activities are addressing a specifically stated issue or problem identified by the project and are clearly linked to or support technical interventions. The BCC activities are linked to technical interventions through ongoing conversations and feedback and are revised as appropriately.	The organization's BCC activities link to a specific issue with on-going feedback and revision from technical staff. They offer a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Describe how the BCC staff identifies a problem to address.  
*[Who is involved in identifying the problem(s) to address?]*
2. Does the technical staff contribute to the BCC strategy and activities? If so, how?  
*[Are there regular conversations/communications with the technical team? Does the technical team contribute to the strategy and provide feedback on what they see in the field/clinic/activities?]*
3. How does the feedback from the technical staff get incorporated into BCC activities?
4. How are the strategy and activities revised based on this feedback?
5. How does the BCC staff document this feedback and changes?

**Area 2 Score:** \_\_\_\_\_

**Objective: To determine the extent to which the organization's BCC activities identify and target specific audiences (audience segmentation).**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 3</b>					
<b>Target Audience and Segmentation</b>	The organization's identification or segmentation of target audiences is non-existent, too broad/vague, or not linked to technical interventions to enact behavior change.	The organization's BCC activities identify or segment specific target audiences but are not linked to technical activities and no profile of the target audience exists.	The organization's BCC activities identify or segment specific target audiences (both primary and secondary) that are linked to the technical activities, and basic information about the audiences is identified.	The organization's BCC activities clearly identify both primary and secondary target audiences in accordance with technical activities. A detailed profile of each audience is documented, along with information on specific behavior change for each audience.	The organization's identification (segmentation) and documentation of target audiences offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Do the organization's BCC activities have a clearly identified target audiences? How are these audiences segmented?  
*Probe to find out if the target audiences are too broad, i.e. – all sexually active youth, all women 15-45, etc.)*
2. Are the target audiences identified by primary (main audience) and secondary (those that need to be addressed because they influence the behavior of the primary target audience)?
3. Is there a clear and detailed documented profile of each targeted audiences?  
*Probe to find out if the main behaviors, what is important to the target audience, basic demographics (education level, income, religion, location) are known and documented.*

**Area 3 Score:** \_\_\_\_\_

**Objective: To assess the extent to which the organization has developed key messages that are linked to identified issues and target audiences.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 4</b>					
<b>Key Messages</b>	The organization's identification of key messages is non-existent, too broad/vague, or not linked to technical interventions and target audience to enact behavior change.	The organization's BCC activities identify key messages but these are not linked to the technical interventions, key issues, or target audiences, nor are they based on research.	The organization's BCC activities identify key messages that are linked to the technical activities, key issues, and target audience and are based on research. But these are not reviewed or revised on a regular basis.	The organization's BCC activities clearly identify key messages that are linked to the technical activities, key issues, target audience, and based on research. These key messages are discussed with program staff and revised as appropriate. The key messages, research, feedback, and revisions are documented.	The organization's identification (segmentation) and documentation of target audiences offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. How are the key messages developed for a specific audience?  
*Probe: What are the messages based on? Who is involved in message development?*
2. Are the messages pre-tested? If so, describe how that process works.  
*Probe: How are the results from the pre-test used? How are the results documented?*
3. How are the key messages documented and reviewed?
4. How are messages revised? What is the process of incorporating new messages into activities?

**Area 4 Score:** \_\_\_\_\_

**Objective: To assess the extent to which the organization's BCC activities clearly define and document the positioning of the messages and activities.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 5</b>					
<b>Positioning of Messages</b>	The organization's positioning or brand ("look and feel," image, identity or impression of the message) of key messages is non-existent or not understood.	The organization's positioning of key messages exists but is not well-developed or tested.	The organization's positioning of key messages is well-developed, tested, and products/outputs are determined based on the positioning.	The organization's positioning of key messages is well-developed, tested, documented and products/outputs are determined based on the positioning. The positioning of key messages is reviewed and revised on a regular basis.	The organization's positioning of key messages offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does a positioning statement exist for key messages? How was the positioning developed?  
*[How is the positioning connected to the target audience? Connected to key messages?]*
2. How are the concepts in the positioning of key messages tested?
3. Describe how the positioning statement is used to develop products/outputs.
4. Is the positioning statement documented?
5. How do you review the concepts in the positioning of key messages on a regular basis and revise the position?

**Area 5 Score:** \_\_\_\_\_

**Objective: To assess the extent to which the organization has identified media/channels that are linked to an identified issue, target audience, and key messages.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 6</b>					
<b>Media Selection/ Channels</b>	The organization's choice of media or channels for key messages is not understood or is not appropriate.	The organization's choice of media or channels for key messages exists but is not researched or based on the target audience.	The organization's choice of media or channels for key messages exists, is researched and based on the target audience but not documented or reviewed on a regular basis.	The organization's choice of media or channels for key messages exists, is researched, based on the target audience, documented and reviewed on a regular basis.	The organization's choice of media or channels offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Describe how the staff has chosen the media or channels in which to disseminate key messages.  
*[How is the media connected to the target audience?]*
2. What evidence does the staff use to choose these media or channels?  
*[How do you know that the target audience is watching TV or listening to radio, etc.?)*
3. Describe how the media or channels are aligned with the development of products/outputs?
4. Is the choice of media or channels for dissemination documented?
5. How do you review the choice of media or channels for dissemination on a regular basis and revise the position?

**Area 6 Score:** \_\_\_\_\_

**Objective: To assess the extent to which the organization has identified specific products or outputs that are linked to an identified issue, target audience, and key messages.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 7</b>					
<b>Product/Outputs</b>	The organization's choice of products is not understood or not appropriate.	The organization's choice of products or outputs exists but is based on the key issue, target audience or key messages.	The organization's choice of products or outputs is researched and based on the target audience, pre-tested, documented or reviewed on a regular basis.	The organization's choice of products or outputs exists, is researched, based on the target audience, pre-tested, documented, and reviewed on a regular basis. Possible product suppliers are also documented.	The organization's choice of products or outputs offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Describe how the staff has chosen products or outputs it develops for key messages.
2. What evidence does the staff use to choose or develop the product?  
*Probe: Why was a brochure or poster or PSA chosen versus other products?*
3. Are the products pre-tested and revised? If so, how were they pre-tested?  
*Probe: Who did you test it among? How did you test it? Was the target audience involved? How was the feedback incorporated?*
4. Is the choice of products documented and knowledge about where to source the product known (whom to order it from)?  
*Probe: Depending on the type of outputs, has a graphic design firm, video production firm, actors, printers, etc. been identified?*
5. How do you review the choice products or outputs for dissemination on a regular basis and revise the position?

**Area 7 Score:** \_\_\_\_\_

**Objective: To determine that the organization follows effective procurement and logistics procedures that enable it to ensure that the right BCC materials, in the right quantities, in the right condition, are delivered to the right places.**

<b>DOMAIN 4: PROVISION OF BCC MATERIALS</b>					
<b>Area 8</b>					
<b>BCC Materials Procurement</b>	The organization has a very basic or no system for procuring, storing, and distributing BCC materials.	The organization has an established procurement plan for BCC materials. Supplies are stored in safe, secure places. A functioning inventory system exists that records all incoming and outgoing stock.	A BCC procurement management system is in place that adequately plans for and forecasts current and future BCC needs. There is an established procurement plan for all materials. To ensure best value among available sources, a competitive selection system is used. BCC materials are stored in safe and secure places. A functioning inventory system exists that records all incoming and outgoing stock.	A BCC procurement management system is in place that adequately plans for and forecasts current and future BCC needs. There is an established procurement plan for all materials. To ensure best value among available sources, a competitive selection system is used. Materials are stored in safe and secure places. A functioning inventory system exists that records all incoming and outgoing stock. A system exists to keep all distribution places adequately supplied before stock-outs occur.	The organization’s BCC procurement system offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have a system for procuring, storing, and distributing BCC materials?
2. Does the organization have a procurement plan to meet planned program needs?
  - o *[The plan should detail what, when, and how the items are to be procured during the workplan period so as to meet target audience and project needs.]*
3. Is the procurement plan consistent with annual and quarterly work plans?
4. Is there a mechanism for forecasting current and future BCC needs?
5. To ensure best value among available sources, does the organization use a competitive selection system?
6. Does the organization have a designated storage area for BCC materials?
  - o *[Is it adequate to protect supplies from humidity, rodents and insects, unauthorized access?]*
7. Is there an inventory system?
8. If applicable, is there a distribution system in place to keep all points adequately supplied before “stock-outs” occur?

**Area 8 Score:** \_\_\_\_\_

**Objective: To assess the extent to which the organization has developed an appropriate budget for BCC activities.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 9</b>					
<b>Budget</b>	The organization has no specific budget for BCC or that budget is not appropriate.	The organization has a budget for BCC but no further costing has been done to ensure budget is appropriate or effective.	The organization has a budget for BCC that is based on a strategy and desired products/outputs and target impact; however this budget is not reviewed or revised based on implementation.	The organization has a budget for BCC that is based on the strategy and desired products/outputs and target impact. The budget is documented in detail and is reviewed and revised on a regular basis.	The organization's BCC budget offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does your organization have a specific budget for BCC? If so, how was it developed? Is it linked to the overall organizational budget?
2. What level of specificity is in the budget?  
*Probe: What are some of the specific costs or line items in the budget?*
3. How were the costs in the budget determined?  
*Probe: Have you contacted companies for possible costs? Do you know the quantity of a product you want to produce and the cost per unit?*
4. Is the budget reviewed and revised on a regular basis? If so, how does this process work?
5. Are changes to the budget documented and shared with the staff?

**Area 9 Score:** \_\_\_\_\_

**Objective: To assess the level of the organization's ongoing quality improvement activities to improve BCC.**

<b>DOMAIN I: ORGANIZATIONAL STRATEGY</b>					
<b>Area 10</b>					
<b>Quality Improvement</b>	The organization rarely or never monitors its BCC activities and has few or no explicit quality improvement activities.	The organization monitors its BCC activities to improve technical performance. It assesses performance against targets and addresses any gaps or weaknesses.	The organization monitors its BCC activities to improve technical performance and/or make its program more responsive to clients and the community. It assesses performance against targets, takes understanding of target audience into consideration, includes an analysis of gaps or weaknesses, and has an action planning process to address those gaps or weaknesses.	The organization has an explicit approach to monitoring and improving its BCC activities to improve technical performance and/or make its program more responsive to the target audience. It assesses performance against target, takes audience understanding into consideration, includes an analysis of gaps or weaknesses, and has an action planning process to address those gaps or weaknesses. Staff regularly use this system to assess and improve quality and refine program interventions.	The organization's approach to quality improvement offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization monitor its BCC activities to see if activities are impacting target audience against targets?
2. Are the BCC activities assessed to determine impact on overall program implementation?  
*Probe: Are BCC activities linked or reviewed through the lens of impact on services, demand creation, etc.?*
3. Are any problems, weaknesses or gaps in performance that are identified addressed and solved?  
*[Problems, weaknesses or gaps are areas where performance is not effective.]*
4. Does the organization solicit feedback from the target audience to assess their level of understanding of BCC activities?
5. Are issues or problems identified by the target audience considered and addressed?
6. Are there processes in place that involve relevant staff in identifying the causes of problems, developing and planning solutions, and working on problems until they are solved?
7. Are such processes used in the organization on a regular basis to assess and improve quality of BCC activities and program activities?

**Area 10 Score:** \_\_\_\_\_

**Total Domain I points** \_\_\_\_\_

**Domain I Score (Total Points/Number of Applicable Points)**\_\_\_\_\_

**Objective: To assess whether the organization's staff, and volunteers where applicable, are qualified to carry out the program approach.**

<b>DOMAIN 2: PROGRAM MANAGEMENT</b>					
<b>Area I</b>					
<b>Human Resources Management</b>	The organization has limited or no procedures in place to ensure that staff, and volunteers where applicable, who provide BCC activities are qualified for their work.	The organization has documents (manuals, job descriptions, job advertisements or other) specifying appropriate qualifications (education, training, experience) for each BCC position and procedures to train or orient staff, and volunteers where applicable, to new positions.	The organization has documents (manuals, job descriptions, job advertisements or other) specifying appropriate qualifications (education, training, experience) for each BCC position and procedures to train or orient staff, and volunteers where applicable, to new positions. There is a system to periodically monitor the performance of BCC staff, and volunteers where applicable, and address any issues noted.	The organization has documents (manuals, job descriptions, job advertisements or other) specifying appropriate qualifications (education, training, experience) for each BCC position and procedures to train or orient staff, and volunteers where applicable, to new positions. There is a system to periodically monitor the performance of BCC staff, and volunteers where applicable, and address any issues noted. There is a mechanism to provide periodic continuing education/training to staff, and volunteers where applicable, to ensure that they are up-to-date with the latest evidence.	The organization's approach to ensuring qualified BCC staff and volunteers offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. How does the organization ensure that BCC staff who conduct program activities are qualified to do their jobs?  
*["Qualified" refers to education, training and experience.]*
2. How about volunteers? Are there qualifications to determine if they are suited to the tasks you want them to undertake?
3. Are these qualifications for different positions documented?
4. What procedures are in place to train or orient BCC staff to new positions?
5. Are there also procedures to orient volunteers?
6. Are there procedures to periodically monitor the performance of all BCC staff members?
7. Are any issues/problems identified during such monitoring usually addressed?  
*[Probe to see if they are addressed in ways that support staff members in improving their performance rather than in negative, punitive ways.]*
8. Does this same monitoring system also extend to volunteers?
9. Is there a mechanism to help BCC staff, and volunteers where applicable, stay up-to-date with the latest evidence/information to do their jobs effectively?

**Area I Score:** \_\_\_\_\_

**Objective: To assess the organization's systems to implement the program approach effectively.**

<b>DOMAIN 2: PROGRAM MANAGEMENT</b>					
<b>Area 2</b>					
<b>Planning and Coordination</b>	The organization operates very informally with little or no clear linkage between BCC activities and the overall program approach, between activities and budget, and between different program components.	The organization has an annual workplan that lists key activities for all program areas, including BCC. There is a budget to support the workplan.	The organization has an annual workplan that supports its overall approach and lists key activities for BCC and for all program areas, timelines for each activity, and the individuals/ teams/ departments responsible for them. There is a budget to support the workplan. The workplan and budget are developed with active involvement of relevant program staff.	The organization has an annual workplan that supports its overall approach and lists key activities for BCC and for all program areas, timelines for each activity and the individuals/teams/ departments responsible for them. There is a budget to support the workplan. The workplan and budget are developed with active involvement of relevant program staff. There are mechanisms to ensure communication and coordination between staff responsible for different program activities.	The organization's approach to planning and coordination offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have an annual workplan that lists the major activities to be conducted during the year, including BCC?
2. Does the workplan specify when during the year each activity will be conducted? And is it clear who (which individuals/teams/departments) is responsible for each activity?
3. Are there clear links between the content of the annual workplan and achieving the organization's overall program approach/strategy on BCC?
4. Does the organization have a detailed annual budget?
5. Which staff are involved in developing the workplan and budget?  
*[Staff who actually lead and implement program activities should play the major role. Management should support them, but not actually develop the plan and budget.]*
6. Are there mechanisms to ensure communication and coordination between staff responsible for different program areas (e.g. clinical care, BCC and training)?

**Area 2 Score:** \_\_\_\_\_

**Objective: To establish the effectiveness of the supervision structure.**

<b>DOMAIN 2: PROGRAM MANAGEMENT</b>					
<b>Area 3</b>					
<b>Supportive Supervision</b>	The organization has a limited or no supervision plan/system in place for the BCC program.	Supervision of BCC activities and staff is carried out from time to time, using supervision tools, but it is not always supportive and there is no documentation or follow-up.	A plan exists for supportive supervision for BCC staff and activities, including supervision tools and supervisory responsibilities. Most or all supervisors are trained. Most supervision is supportive.	A clear plan exists for supportive supervision for BCC staff and activities, including supervision tools and supervisory responsibilities. Most or all supervisors are trained. Findings are documented, discussed with supervisees and management, and followed-up. Supervision is supportive and is almost always carried out according to established timelines and other guidelines.	The organization's supervision system offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Is there a supervision plan or system in place for BCC activities?
2. Is it clear who is responsible for supervising whom?
3. How often is supervision carried out? Is there a schedule that is followed?
4. Are there supervision tools (e.g. checklists with clear performance expectations) to guide the supervisor?
5. Is feedback given to supervisees after supervision visits?  
*[If feedback is given, probe to find out if it is supportive—see below.]*  
*[Supportive supervision involves a discussion between the supervisor and supervisee rather than a lecture from the supervisor about how to do things right. It doesn't criticize or blame the supervisee. It results in a clear and specific plan to improve the supervisee's performance.]*
6. Have all supervisors been trained in how to use the supervision tools and how to conduct supportive supervision?
7. Is the organization's management informed of the results of the supervision?
8. Are the results of supervisory visits documented?
9. Do supervisors usually follow-up with supervisees to assess progress on plans made to improve performance?

**Area 3 Score:** \_\_\_\_\_

**Objective: To determine the capacity of the organization’s management to lead in the area of BCC.**

<b>DOMAIN 2: PROGRAM MANAGEMENT</b>					
<b>Area 4</b>					
<b>Leadership</b>	The organization has no identified and committed leadership for its BCC activities.	The organization has identified leadership with a commitment to BCC issues. The leadership is engaged in two of the following: strengthening and expanding the organization’s BCC activities; improving the sophistication and quality of BCC activities through on-going segmentation of audience; coaching and mentoring staff, and volunteers where applicable; and using data to inform decision-making in the organization.	The organization has strong and committed leadership with sufficient understanding of BCC issues to provide strategic thinking and direction. The leadership is engaged in <i>three</i> of the following: strengthening and expanding the organization’s BCC activities; improving the sophistication and quality of BCC activities through ongoing segmentation of audience; coaching and mentoring staff, and volunteers where applicable; and using data to inform decision-making in the organization.	The organization has strong and committed leadership with sufficient understanding of BCC issues to provide strategic thinking and direction. The leadership is engaged in strengthening and expanding the organization’s BCC program; improving the sophistication and quality of BCC activities through on-going segmentation of audience; coaching and mentoring staff, and volunteers where applicable; and using data to inform decision-making in the organization.	The organization’s leadership offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Who leads the organization’s BCC activities?  
*[This can be one person or a small leadership team.]*
2. How committed is the leader(ship) to BCC issues?
3. What expertise and experience on BCC does the leader(ship) bring to the organization?
4. Does the leader(ship) provide strategic direction on BCC for the organization?  
*[Strategic leadership involves helping the organization define an overall program approach/strategy for its BCC activities and develop realistic plans to use its resources to achieve the program approach/strategy.]*
5. Is the leader(ship) involved in strengthening and expanding the organization’s BCC activities?
6. Is the leadership involved in coaching and mentoring staff, and volunteers where applicable, to improve their performance?
7. Does the leader(ship) use data to inform decision-making in the organization?  
*[For example, using data to look at progress relative to the workplan, to evaluate the effectiveness of program activities, to determine new program directions, etc.]*
8. Is the leader(ship) engaged in strengthening and expanding BCC activities outside the organization?

**Area 4 Score:** \_\_\_\_\_

**Objective: To assess whether the organization's BCC activities are sustainable.**

<b>DOMAIN 2: PROGRAM MANAGEMENT</b>					
<b>Area 5</b>					
<b>Sustainability</b>	The organization is taking little or no action to ensure support for its BCC activities in the future.	The organization has a general idea about how it could support its activities as current funding streams change or end.	The organization has begun to define at least two clear approaches to support its activities as current funding streams change or end.	The organization is implementing a well-defined plan to support its activities as current funding streams change or end.	The organization's approach to sustainability offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have some ideas about funding sources that could potentially support its work in the future?  
*[For example, ideas to extend current funding, about new donors, government grants or contracts, charging fees for the organization's services, support from business, a community fundraising event, etc.]*
2. Has your organization explored any ideas in some detail? Is there a clear plan you could implement quickly to seek support for the organization's work in the future?  
*[Having a clear plan means knowing which specific source(s) of funding will be pursued, having a good understanding of requirements of the funding source(s), knowing which aspects of the organization's program will be presented for funding, and having discussed these plans with the board of directors.]*  
*[There should be at least two potential funding sources.]*
3. Is the organization already implementing a plan to extend current funding or get new funding? Has the organization recently obtained new or additional funding?

**Area 5 Score:** \_\_\_\_\_

**Total Domain 2 points** \_\_\_\_\_

**Domain 2 Score (Total Points/5)** \_\_\_\_\_

**Objective: To assess organizational capacity to collect and manage data accurately.**

<b>DOMAIN 3: DATA MANAGEMENT AND MANAGEMENT INFORMATION SYSTEMS</b>					
<b>Area I</b>					
<b>Data Collection</b>	The organization has very limited or no documented procedures to guide BCC data collection.	The organization has basic procedures to guide BCC data collection including appropriate forms. However, some information the organization collects is not used to develop messages, donor reporting, pre-testing or to inform program implementation.	The organization has documented procedures to guide BCC data collection including appropriate forms. Data collection tools are standardized across activities. Data collection procedures adhere to concerns for confidentiality and protecting the personal information of the respondent. The data is used to develop or revise messages, measure impact or to inform program implementation but not used to review and revise BCC activities.	The organization has well documented and fully functional procedures to guide BCC data collection including appropriate forms. Data collection tools are standardized across activities. Data collection procedures adhere to concerns for confidentiality and protecting the personal information of the respondent. The data is used to develop or revise messages, measure impact, inform program implementation and review and revise BCC activities. The organization collects only relevant data and uses the data to inform program implementation as well as for donor reporting.	The organization's data collection approach offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have documented procedures, including appropriate forms, to collect BCC data from the target audience?
2. Has the organization standardized the forms across activities, i.e. are the same questions asked in each pre-test focus group?
3. Do the data collection procedures adhere to concerns for confidentiality and protecting the personal information of the respondent?
4. Is all the information collected used in some way (for example, for donor reporting or to inform program implementation)?
5. Has the staff been trained in data collection (focus groups, pre-testing, etc.) and are they supervised?

**Area I Score:** \_\_\_\_\_

**Objective: To assess the capacity of the organization to maintain quality of collected data.**

<b>DOMAIN 3: DATA MANAGEMENT AND MANAGEMENT INFORMATION SYSTEMS</b>					
<b>Area 2</b>					
<b>Data Quality Assurance and Improvement</b>	The organization has a very limited or no BCC data quality assurance and improvement process in place.	The organization has a basic BCC data quality assurance and improvement process in place but it is not consistently applied.	The organization has a documented data quality assurance and improvement process in place that is consistently applied, including a mechanism for explicitly addressing gaps in data.	The organization has a well-documented and fully functional data quality assurance and improvement process in place that is consistently applied, including a mechanism for explicitly addressing gaps in data. The organization has the capacity for data management tasks. The organization has a feedback mechanism and a system to routinely assess quality in critical areas of BCC activities and impact. The feedback mechanism is known by relevant project staff.	The organization's data quality assurance and improvement process offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have a documented BCC data quality assurance and improvement process?
2. Is there an explicit mechanism for addressing gaps in data?  
*[Gaps refer to inadequate data or the missing link between data and decisions to be taken, e.g. decision to revise messages.]*
3. Is this process integrated into larger data management system for the organization?
4. Does the organization have the capacity for data management tasks?  
*[Tasks like Excel format conversions, data cleaning, data aggregation and analysis.]*
5. Has the organization identified a feedback mechanism and a system to routinely assess quality in critical areas such as impact?
6. Are all relevant staff aware of this mechanism?

**Area 2 Score:** \_\_\_\_\_

**Objective: To assess the capacity of the organization to use data for decision making.**

<b>DOMAIN 3: DATA MANAGEMENT AND MANAGEMENT INFORMATION SYSTEMS</b>					
<b>Area 3</b>					
<b>Data Use for Decision Making</b>	The organization has very limited or no historical or baseline data against which current data can be compared to help in decision making. Workplan progress is not monitored and not monitored against the budget.	The organization has a process for the comparison of achievement against goals and past progress that can result in plans to modify strategies, messages, channels, outputs, etc. but it is not consistently applied. Workplan progress is rarely monitored and rarely or never monitored against the budget.	The organization has a process for the comparison of achievement against goals and past progress that can result in plans to modify strategies, messages, channels, outputs, etc. Management and staff follow a procedure of time-bound corrective action and track achievements against plans in all areas. Workplan progress is occasionally monitored and occasionally monitored against the budget.	The organization has a process for the comparison of achievement against goals and past progress that results in plans to modify strategies, messages, channels, outputs, etc. that is consistently applied. Management and staff follow a procedure of time-bound corrective action and track achievements against plans in all areas. The organization's current approach to BCC reflects greater effectiveness and ongoing program improvements arising from data used for decision making. Workplan progress is monitored and monitored against the budget at regular, defined intervals. Management reviews the cost effectiveness of activities from time to time.	The organization's process for using data for decision making offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have historical (or baseline) data against which current data can be compared to help in decision making?
2. Is workplan progress regularly monitored? Is it also monitored against the budget?
3. Does the organization have a process for the comparison of achievement against goals and past progress that could result in plans to modify strategies, messages, channels, outputs, etc.?  
*[There should be a mechanism of triangulation of data sources for comparison.]*
4. Do the organization's management and staff follow a procedure of time-bound corrective action and track achievements against plans in all areas?
5. Does the organization's current approach to BCC implementation (for example, mass media, interpersonal communication) reflect greater effectiveness and ongoing program improvements arising from data used for decision making?
6. Is there an occasional review of progress towards achieving the organization's overall strategies and goals?
7. Does management review the cost of activities from time to time to see if funds are being used effectively?

**Area 3 Score:** \_\_\_\_\_

**Objective: To determine whether the organization networks and shares information with relevant stakeholders.**

<b>DOMAIN 3: DATA MANAGEMENT AND MANAGEMENT INFORMATION SYSTEMS</b>					
<b>Area 4</b>					
<b>Feedback and Sharing</b>	The organization does not have an explicit process for sharing BCC data and reports with relevant staff and stakeholders or it does share data and reports intermittently, but not according to any explicit plan or process.	The organization has an explicit process for sharing data and reports with relevant staff and stakeholders, but it is not consistently applied.	The organization has an explicit process for sharing data and reports with relevant staff and stakeholders and does this consistently. The organization solicits feedback from staff and stakeholders.	The organization has an explicit process for sharing data and reports with relevant staff and stakeholders and does this consistently. The organization solicits feedback from staff and stakeholders and shares this feedback widely. Best practices and lessons learned are shared with other practitioners. Examples exist of external organizations referring to or referencing the organization's data and reports and/or changing their implementation plans due to information shared by the organization.	The organization's process for sharing data and reports with relevant staff and stakeholders offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

**Probing questions:**

1. Does the organization have a process for sharing data and reports with relevant staff and stakeholders?
2. Does the organization solicit feedback from staff and stakeholders?
3. What is done with the feedback?
4. Are best practices and lessons learned shared with other practitioners?
5. Does the organization have examples of external organizations referring to or referencing the organization's data and reports and/or changing their implementation plans due to information shared by the organization?

**Area 4 Score:** \_\_\_\_\_

**Objective: To assess if the organization has a functional management information system (MIS).**

<b>DOMAIN 3: DATA MANAGEMENT AND MANAGEMENT INFORMATION SYSTEMS</b>					
<b>Area 5</b>					
<b>Management Information Systems (MISs)<sup>#</sup></b>	The organization has a very limited or no MIS to track project/ program data, including number of people reached/ number of products produced and disseminated.	The organization has an MIS system to track project/program data, including beneficiaries, with built-in data quality and validation checks.	The organization has an MIS system to track project/ program data, including beneficiaries, with built-in data quality and validation checks, and the capacity for most specialized data retrievals.	The organization has a fully functioning MIS system to track project/program data, including beneficiaries, with built-in data quality and validation checks, and the capacity for most specialized data retrievals. The system has a documented and functional back-up procedure and there is an adequate system for preventing unauthorized access.	The functional MIS offers a model that can be replicated and serve as a resource for other programs.
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	

<sup>#</sup> Management information systems (MISs) refers to planned systems of collecting, processing, storing and disseminating data in the form of information needed to carry out the functions of management. In a way it is a documented report of the activities that were planned and executed. It also incorporates data quality assurance mechanisms, and should be utilized to provide data for decision making.

**Probing questions:**

1. Does the organization have an MIS to track project/program data, including beneficiaries reached?
2. How is the data checked for accuracy? Does the system have built-in data quality and validation<sup>1</sup> checks (manual and electronic)?
3. Does the system have the capacity for most specialized data retrievals?
4. Does the organization have a system for preventing unauthorized access?
5. Does the organization have a documented and functional back-up procedure (computerized or manual)?
6. Can the MIS produce reports?

**Area 5 Score:** \_\_\_\_\_

**Total Domain 3 points** \_\_\_\_\_

**Domain 3 Score (Total Points/5)** \_\_\_\_\_

<sup>1</sup> There are quality controls in place for when data from paper-based forms are entered into a computer (e.g., double entry, post-data entry verification). At all intermediate levels at which data are aggregated, mechanisms/procedures are in place to reconcile discrepancies in reports. All reporting forms used for aggregating or analysis are available for auditing purposes at all levels at which data is being reported.

