Communication for Social and Behaviour Change

Learning Module Series

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MODULE 9

unicef for every child

Coordinators and leading contributors:

Paolo Mefalopulos is currently UNICEF Representative, Chile. He was the Chief of Communication for Development (C4D) at UNICEF India Country Office from June 2009 to March 2014. His expertise is in participatory communication research and planning. While working for FAO, Paolo was part of a team that developed an innovative methodology known as PRCA – Participatory Rural Communication Appraisal. He also taught at the University of Texas at Austin, where he obtained his Ph.D. in international communication. He authored several articles and books on communication for development. His most recent works, published by the World Bank are: *Development Communication Sourcebook: broadening the boundaries of communication* and *Participatory Communication: A practical guide.*

Mario Mosquera-Vasquez currently works as Regional Advisor, Communication for Development (Social Change); UNICEF's Europe and Central Asia Regional Office (ECARO). He worked as Chief C4D. India from Sept 2014 Mar 2019. He has over 20 years of experience working on a variety of health promotion, health communication, community mobilization interventions and research projects, primarily in Latin America and Asia. His doctorate in public health is from the London School of Hygiene and Tropical Medicine, UK. He worked as a visiting research scholar at Ohio University, USA, and consulted with European universities such as the University of Heidelberg, Germany, and the Liverpool School of Tropical Medicine, UK, in a Latin American Research Center. He has published research articles in international journals and authored in various books chapters.

Dr. Silvio Waisbord is a Professor in the School of Media and Public Affairs at George Washington University. He holds a Ph.D. in sociology from the University of California, San Diego. His most recent book (co-edited with Rafael Obregon) is *Handbook of Global Health Communication* (Wiley). He is editor-in-chief of the International Journal of Press/Politics. Dr. Waisbord has lectured and worked in more than 30 countries, has written or edited 8 books, and published more than 100 journal articles, book chapters, and newspaper columns. He has worked in communication for social change, particularly in program design and implementation, as well as capacity strengthening and training.

Chike Anyaegbunam is a Professor at School of Journalism and Telecommunications, College of Communication and Information in the University of Kentucky. He is the Director, Dissemination and Implementation Sciences Consortium (DISC). He earned a doctorate degree in journalism and mass communication from the University of Iowa. His areas of expertise are: participatory communication and people empowerment, public relations and integrated strategic communication, social marketing, international development and rural health communication.
He has published extensively in peer review journals.

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MODULE 9

MODULE 9

Programme management

The goal of this module is to familiarise students with basic programme management competencies and offer opportunities to apply them in concrete situations. The module also aims to cultivate analytical and hands-on competencies to understand the basic components of drafting proposals, funding mechanisms and opportunities, programme facilitation, and institutional roles and responsibilities.

Key competencies

After this module, students should be able to demonstrate the following competencies:

- Develop programme management skills
- Write proposals
- Identify principles and contributions of social entrepreneurship
- Analyse resource needs and opportunities
- Draft management plans
- Conduct cost-benefit analysis

MODULE 9
UNIT 1

Proposal writing

General introduction

There are no infallible formulae for successful proposal writing. Wide-ranging experiences, however, provide valuable insights that build on 'best practices' to be considered for increasing the likelihood of success. Proposal writing needs to be seen as part of a broad strategy for institutions and individuals to develop networks of partners and donors with whom long-term relationships are developed. Proposals should not be seen as one-time, random attempts for fund-raising, but rather, they need to be seen as part of broad strategies for programme development. Proposals both crystallise and indicate on-going efforts for institution-building. From this perspective, the overall rationale and justification for proposals should be given by the general perspective on the mission and direction of a given institution and programme. The actual process of proposal writing requires gathering documentation on concept, programme and budget. Once this data is gathered, the actual writing process is easier. The concept of a proposal is linked to the overall objectives of the organisation. It establishes why the proposed idea fits the institutional mission and why funders should contribute to both the organisations and the objective. Here, it is necessary to make a compelling case why the proposed activity and thematic area are central to the institutional philosophy and mission. The programme is the core of the proposal that deals with the nature of the project, how the project will be implemented, the timetable, expected outcomes and contributions, and staffing needs. The budget covers anticipated expenses and the need to consider realistic funding for the projects as well as the parameters established by the funder.

The following components are typically found in successful proposals:

The executive summary: This section offers a snapshot of the proposal in ways that even if someone does not read the entire proposal, s/he would be able to get a sense of the proposed programme, significant expected outcomes and contributions, and a strong justification for why it should be supported. Suggested sections include problem (brief description of the challenge that has been identified), solution (what will be done to address the problem), funding needs (the amount requested and future funding plans) and institutional expertise and capacity to carry out the proposed solution.

Statement of need: This section explains the problem with different data, previous attempts to address the issue, successes and failures. It should offer a nuanced understanding of the problem that reflects the expertise/knowledge of the institution in terms of both the nature of the challenge as well as promising ways to tackle it. This should offer a state-of-the-art assessment of the situation that not only shows a remarkable command of the problem but also positions the institution as an ideal, experienced partner. Also, it should describe possible solutions/interventions and include recent successes to which the proposal activity builds on and/or expands. Finally, stakeholder analysis is needed to give a sense of 'who is who' around the identified problem and what positions/contributions various actors have taken and made or are planning to make.

Project description: This section lays out what will be done. Six sections are suggested, namely objective, activities, staffing, operational plan, evaluation and sustainability. Objective is what the programme aims to accomplish in ways that are measurable and replicable. It needs to be concrete in ways that can be later assessed to measure not only change but also the contribution of the specific programme. Specific outcomes, products, and performance should be included. Objectives need to be realistic, given the time frame and resources. If objectives are what will be achieved, activities refer to how they will be achieved. Proposals should have a detailed description and justification of the activities: why specific actions are expected to achieve results, why they are better than other possible courses of action and what evidence suggests that they are best-suited.

Proposals need to explain the sequence and timeline of activities to give a sense of the logical framework and stages of the programme. An implementation plan is recommended to give a sense of what will happen, when and why. Staffing refers to the personnel who will conduct the activities proposed, including details/experience of the people proposed, time allocation, paid and volunteering staff, and administration plan, roles and structure. Evaluation is about how the impact of the programme will be assessed either by the programme itself or by external evaluators. This section refers to indicators of success based on nuanced knowledge of the field and the issues at stake. Evaluation indicators need to be clearly justified to suggest realistic expectations in line with previous experience and documented impact. A baseline may be necessary to determine eventually whether progress has been made.

It is important to have a broad perspective on programme evaluation that includes not only proposed objectives, but also the overall performance of the programme. Sustainability refers to how it is expected that the achieved result will be sustained in the long-term in ways that programmatic impact would make a long-term contribution to address the problem originally identified. Here, it is important to explain whether additional funds or activities are planned to ensure the sustainability of the results. Funders and partners may be wary of supporting programmes whose continuity is questionable or are seen as sporadic attempts to tackle specific challenges that are disconnected from broad efforts. Finally, it is important to describe other aspects related to the conclusion of the programme such as close-out, renewal, extension, exit plan, and/or final reporting.

Budget: In preparing the budget, it is necessary to review the proposed activities to assess costs and provide a justification (based on direct quotes and experience). Worksheets may be included to show individual costs for activities, staffing and resources. Understanding funders' requisites and stipulations about what can (and cannot) be funded is critical to avoid mistakes and provide a strong rationale for expected funding needs. If institutional funds are proposed or programmatic revenues are being considered, those should be included too. A budget narrative may be considered to give a general sense of funding needs, flows and management.

Organisational information: This section explains the characteristics and experience of the organisation and its partners. The main argument should be why this institution and/or partnership has the expertise to conduct the proposed activities: profile, staffing, and past contributions.

In summary, proposals need to be detailed and persuasive arguments for why certain donors and partners should support a programme and institution. They need to offer a succinct argument about who will do what, why and when.

Questions for discussion

- What is the purpose of a proposal?
- What data is needed for effective proposal writing?
- What are the basic components of a proposal?
- How are proposals and institutional missions connected?
- What funders' characteristics need to be considered in proposal writing?

Reading list

American Red Cross. 2006. Integrated Planning Process: Project Design & Proposal Writing.

Guide: http://ngolearning.org/evanspmclass/Shared%20Documents RedCrossLogframes.pdf

Geever, Jane C. 2007. The Foundation Center's Guide to Proposal Writing, 5th ed. New York: The Foundation Center.

Case study

Samples of proposals: http://grantspace.org/Tools/Sample-Documents

Learning activities

The learning activities should be aimed at developing the following competencies:

1. Understand the expectations of institutions issuing call for proposals
2. Understand the fundamental steps of proposal writing
3. Identify necessary data for proposal writing
4. Develop proposal writing
5. Undertake critical review of proposals

Lectures, small group discussions, debates and presentations

1. Groups review of call for proposals and discuss the expectations by the issuing organisation.
2. Groups review of proposal samples to assess their strengths and limitations, and prepare a brief report.
3. Groups prepare proposal drafts for different funders (e.g. private, government) that are circulated for comments and suggestions in the class. Groups prepare report on process/lessons learned.

Unit assessment/evaluation methods

- In-class exercises
- Case study/scenario analysis and challenge
- Assignments: Oral and written presentations

MODULE 9
UNIT 2

Social entrepreneurship

General introduction

There is no single definition for social entrepreneurship (SE), a concept that is being extensively used in the field of development and social change over the past few decades. It is commonly understood to be a process by which citizens develop, build, and/or transform institutions to advance solutions to social and human development problems. Social entrepreneurship refers to the practice of combining innovation, resourcefulness and opportunity to address critical social challenges. Social entrepreneurs may set up for-profit or not-for-profit organisations, and in either case, their primary objective is to create sustainable systems change.

SE refers to institutions that are oriented towards achieving social and economic/private values. It has been recently hailed as an innovative approach to social change and development, blending ideas from business and successful grassroots experiences. SE "is a process by which citizens build or transform institutions to advance solutions to social problems, such as poverty, illness, illiteracy, environmental destruction, human rights abuses and corruption, in order to make life better for many" (Bornstein & Davis, 2010, p. 1). It demands constant search for opportunities and innovation that try to find opportunities for social change while contributing or reaping economic benefits that can be reinvested for social improvement. These goals raise inherent tensions in SE (and contradiction, according to its critics): What values should be prioritised? How is the tension between social change and profit resolved? What happens to business social responsibility around sensitive, difficult social issues with obvious political risks?

There is no shortage of examples where SE has incorporated ideas and products from business and applied them for social change. The work by 2006 Nobel laureate Muhammad Yunus, founder of Grameen Bank in Bangladesh, is frequently cited as pioneering in this area. Other examples include the works of Ashoka, Echoing Green, the institute for OneWorld Health and CAMFED.

One focus of this approach is identifying income-earning opportunities for non-profit organisations to finance social change activities. These opportunities are wide-ranging and vary according to the specific actors identified by a given programmer. What may be good opportunities for women may not be for youth and vice-versa. This is when innovation and creativity play a role: to find promising opportunities in specific contexts, given the existing or untapped needs.

Cooking, transportation, household services, water and sanitation services may be auspicious for various actors. Unlike top-down models of development, these are bottom-up initiatives, identified and designed by community members to engage others, provide jobs and additional income, and set up activities that address social needs. External actors may contribute by offering training, networking, distribution and wide visibility.

Another focus is to partner companies with local organisations to find complementary skills and needs. Institutions may bridge the gap across organisations that are either unaware of each other or have never considered collaborating towards common social goals. What is needed is to find opportunities where there may not be obvious needs or openings for collaboration. Problem-based thinking is fundamental for thinking about challenges, untapped resources and possible opportunities. Situation research/needs assessment may provide insights, particularly from affected communities, as they are able to identify resources and opportunities that are not known to external stakeholders.

Broadly, social enterprises can be categorised into the following operational, legal and organisational models:

- Non-profit social enterprise A non-profit organisation to drive the adoption of an innovation that addresses a market or government failure. The entrepreneur engages a cross-section of the society, including private and public organisations. The organisation depends on outside philanthropic funding, but longer term sustainability is often enhanced given that the partners have a vested interest in the continuation of the venture.
- For-profit social enterprise A for-profit organisation is created with the explicit intent to solve a social problem. While profits are ideally generated, the main aim is not to maximise financial returns for shareholders but to grow the social venture and reach more people in need. The entrepreneur seeks investors who are interested in combining financial and social returns on their investment.
- Hybrid social enterprise A non-profit organisation that includes some degree of cost-recovery through the sale of goods and services. Often requires setting up several legal entities to accommodate earning income and charitable expenditures in an optimal structure.

The ecosystem to support the growth of SE comprises the following:

- Funds/impact investing across seed stage, growth stage and scale stage. Examples include Unitus Seed Fund, Aavishkaar Fund, Acumen Fund, Elevar Equity, etc.
- Incubators: support at various stages of incubation. E.g. Villgro based in Chennai is a comprehensive social incubator.

- **Networks & communities,** such as:
    1. Online community such as Your Story, a media platform.
    2. Ennovent, an online platform that supports social enterprises with mentorship, network, events and connections for funding.
    3. Sankalp Forum, the largest social sector gathering in Asia with a presence in Africa. The event supports social entrepreneurs through its parent organisations—Intellecap and Aavishkaar Fund.
- Co-working spaces / innovation driven spaces: Spaces such as Bombay Connect, 91 Springboard Ventures, Jaaga and Bangalore Alpha Lab that organise events, workshops and programmes which facilitate sharing and learning for entrepreneurs. India also has spaces, events and competitions which actively promote innovation and social entrepreneurship. There are NASSCOM 10000 startups, B-Pac, Jaaga, Good Impact Challenge, Mahindra Rise challenge. There is a rise in 'maker spaces' to prototype ideas (such as Workbench projects in Bangalore).
- Institutions: such as Ashoka, Skoll Foundation, Business Fights Poverty, Schwab Foundation for Social Entrepreneurship

References:

1. What is Social Entrepreneurship - https://www.schwabfound.org/what-is-social-entrepreneurship
2. Impact investing finds its place https://www.mckinsey.com/industries/private-equity-and-principal-investors/our-insights/impact-investing-finds-its-place-in-india

Questions for discussion

- What is social entrepreneurship?
- What are the principles of SE?
- What are some good examples of SE?
- What have been the achievements of SE?
- What are the tensions in SE? Can they be resolved?
- Why should social enterprises & multi-national companies collaborate?
- How can India create a conducive policy environment for social enterprises?

Reading list

Bissell, David. Making India work. Penguin.

Bornstein David and Susan Davis. 2010. Social Entrepreneurship: What Everyone Needs to Know.

Fulton, Katherine and Gregory Dees. 'The Past, Present, and Future of Social Entrepreneurship: A Conversation with Greg Dees.'

Pettikadai 2.0, Anna University, Chennai.

UNICEF 2007. Adolescents and Civil Engagement: Social Entrepreneurship and Young People. http://www.unicef.org/adolescence/files/Learning_Series_3_Social_Entrepreneurship_24dec2007.pdf

Supplementary readings

Bornstein, David. 2004. How to Change the World: Social Entrepreneurs and the Power of New Ideas. New York: Oxford University Press.

Solving Problems through social enterprise, Article in Citizen Today - https://www.ey.com/Publication/vwLUAssets/EY-solving-problems-through-social-enterprise/$FILE/EY-solving-problems-through-social-enterprise.pdf

Alan Fowler; The Virtuous Spiral: A Guide to Sustainability for NGOs in International Development, 2001

Alan Fowler and Kees Biekart; Civic Driven Change: Citizen's Imagination in Action, 2009

Case studies

Becoming a social entrepreneur, Vijava Pratop Singh Examples from Ashoka 16-programme DVD series, ashoka.org SEWA.

Patterson, J. and V. D. Samuel. 2005. Participatory Approach of Fisherwomen in Crab Fattening for Alternate Income Generation in Tuticorin, Southeast Coast of India, Asian Fisheries Science 18: 153-159.

Learning activities

The learning activities should be aimed at developing the following competencies:

1. Understand the principles of social entrepreneurship
2. Identify reasons for successful SE initiatives
3. Identify opportunities for SE in specific contexts
4. Critical analysis of strengths and limitations of SC

Lectures, small group discussions, debates and presentations

1. Compare two SE programmes to identify underlying principles, methods, andobjectives. Draw lessons for other initiatives around funding and sustainability.
2. Conduct short SE assessment by analysing opportunities and resources around a given issue in a given locale/town/village.

Unit assessment/evaluation methods

- In-class exercises
- Case study/scenario analysis and challenge
- Assignments: Oral and written presentations

MODULE 9
UNIT 3

Resource mobilisation

General introduction

One basic principle for successful resource mobilisation (RM) is to develop good, consistent and transparent relationships in ways that they build trust with other organisations, at both the institutional and personal levels. Alliance/coalition building is critical to ensure the sustainability of programmes in ways that tap into the interest of various organisations and add different forms of financial and human resource support. Joint campaign and partnerships are useful mechanisms to bring together complementary strengths and avoid competition. Collaborative partnerships are also helpful to approach difficult and sensitive issues that require collective action, for they provide common courses of actions to respond to challenges and avert misunderstandings and problems.

RM strategies are aimed at increasing and improving the institutional ability to design and implement programmes successfully by tapping into a range of resources and opportunities in ways that diversify the basis of support and make programmes sustainable

Listed below are some global trends in RM strategies to finance the social sector:

a. **Sale of product & services:** In most cases, the products and services are closely related to the mission of the organization. Social entrepreneurs are market oriented and constantly search for products and services that can be produced by their beneficiaries and sold on the markets. Increasingly, social entrepreneurs are also trying to export their goods to access higher prices.

b. **Fee/cost recovery:** fee could be membership fee or licensing fee (e.g. SEWA). The Self-Employed Women's Association in India (SEWA) is a trade union for women working as vendors, artisans, salt workers or in other areas on their own account. SEWA fights for the rights of these women and offers services ranging from health care to microcredit and insurance. SEWA asks for a small fee from all its members. Currently, SEWA has over half a million paying members. Fair trade organisations such as Max Havelaar in Switzerland or Transfair USA derive an income from licensing the Fair Trade labels to coffee roasters and producers of tea, rice, bananas and honey. The producers are allowed to use the Fair Trade labels if the products meet the labeling criteria of minimum prices to the small scale producers in developing countries. An increasing number of products from developing country receive organic or Fair Trade labels (i.e. cotton, clothes, timber, carpets).

c. **In kind resources:** which can include goods for programmes and operations, technical assistance and volunteers. For many corporations it is easier to donate their products than a percentage of their profits. Consequently, a number of social entrepreneurs realised that it is easier to raise in-kind than financial contributions (e.g. GOONJ).

d. **Partnerships with government, local communities or businesses**: skills partnership, channel partnerships, media partnerships. Example of partnership with the government— Childline India Foundation (CFI), which started to provide a free telephone service for children in the slums and on the streets of Bombay. CFI convinced the government that it was providing a service to deprived children that the government had promised but failed to deliver. By funding CFI, the government could deliver on its promise. Partnerships of all kinds with corporations are dramatically gaining in popularity and importance among social entrepreneurs. Currently, a surprising amount of corporate giving is not aligned with the core values and capabilities of a company. As CEOs or the business environment change, the commitments alter. The more stable and promising partnerships between corporations and social entrepreneurs clearly are the ones that build around the core business of the company. For most social entrepreneurs, acceptance in the local communities is the key driver to sustainable change. Once the community accepts the organisation, it is often willing to sustain it. An example is the more than 200 EcoClubs that exist in Latin America and now in Spain. Each EcoClub is largely independent and started by a local group of students to educate the general public about improved treatment of household waste, wildlife protection, alternative energy sources or organic gardening. The Ecoclubs engage the local church groups, fire departments, universities and municipal authorities. Through their extensive interaction with these groups, each EcoClub is able to raise its funds locally.

e. **Raising funds from the public**: galas fund raisers, addition to customer bills, etc. are examples

f. **Social impact bonds/development impact bonds:** a public-private partnership that allows private (impact) investors to upfront capital for public projects that deliver social and environmental outcomes. If the project succeeds, the investors are repaid by the government (Social Impact Bonds) or an aid agency or other philanthropic funder (Development Impact Bonds) with capital plus interest. If the project fails, the interest and part of the capital is lost. While commonly referred as a 'bond', the solution replicates in essence a payment-for-result scheme.

g. **Strategic Corporate Social Responsibility (CSR):** A recent update to the Companies Act has opened up a huge opportunity for Resource Mobilisation. With the new Companies Act Bill 2013 every company with either:

a net worth of **INR 500 crore (c.78 million US$)** or	a turnover of **INR 1,000 crore (c.157 million US$)** or	net profit of **INR 5 crore (c.783'350 US$)**

needs to spend at least 2 per cent of its average net profit for the immediately preceding three financial years on CSR activities. This Act redefines CSR as being central to the value-creating purpose of the firm.

Successful RM strategies require the identification of an area in development and social change, and relevant stakeholders who may contribute in various ways to addressing social problems. Stakeholders include the donor community, human and funding of local resources, social capital (institutions and social values), and other resources that can be mobilised in support of a given initiative. RM strategies demand finding of common interests and complementary resources which include human resources, competencies, funding, institutional presence and contacts.

These resources need to be integrated in a common plan of action to maximise their potential and bring in new partners/resources as they are deemed necessary. Plans also need to establish the sequence of commitments and actions to persuade others to contribute to partnership in different ways. In some cases, 'making the first contribution' by specific actors is needed to send positive signals to others and encourage support. Therefore, understanding expectations – what it would take – from various actors to become potential partners is important to find ways to address them. Goals and responsibilities should be clearly defined.

RM strategies are persuasive actions to offer compelling reasons to various actors, as to why they should join an initiative and support a programme in multiple ways. They demand an understanding of what factors may motivate specific individuals and organisations to join. This requires a clear vision that integrates the contributions of various organisations as well as reassurances about how someone's interests would translate into a key component of a given programme. Depending on the kind of interest/support, further research may be needed to understand the conditions and requirements whether it is funding, hiring, staffing, in-kind contribution and the like. Because these requirements vary across situations, locales and programmes, it may be important to collect these informations to respond to possible questions from potential partners.

This is why producing 'resource maps' of programme and community assets may be needed to identify clear needs and existing resources to adjust RM strategic goals and actions. Resources can be financial and non-financial, including local organisations' experience, volunteers and individual/institutional commitments. Because some potential partners may only be interested in one kind of resource support such as financial or logistical, it is important to fine-tune strategies to the existing strengths and interests of 'targeted' institutions. Certainly, opportunities may be discussed for additional participation, yet it is important to 'know the audience' in ways that conversations tap into the existing interests and built-in capacity and expertise. Here it is important to 'think broadly' about resources in ways that consider professional, faith-based, civic, cultural, sports, non-profit organisations. Resource maps should include potential resource providers, providers' current priorities and areas of work, available contacts, funding mechanisms, application procedures/deadlines, and people responsible.

Questions

- What is resource mobilisation?
- What is the purpose of RM strategies?
- What strategies are used for RM?
- What issues need to be considered in designing a RM strategy?
- What are the potential problems of RM? How can they be addressed?
- India is the first country to mandate a minimum spending on CSR. In a country facing multiple socio-economic challenges – can it work?
- Discuss the merits and demerits of the various emerging global trends in RM strategies.

Reading list

IDRC. 2010. Resource Mobilisation A Practical Guide for Research and Community-Based Organization http://www.idrc.ca/EN/Programs/Donor_Partnerships/Documents/Donor-partnership-guide-hyperlinked.pdf

World Bank. 2009. Resource Mobilisation. http://siteresources.worldbank.org/INTBELARUS/Resources/Resource_Mobilisation.pdf

Venture for Fund Raising (2010). Communication and Resource Mobilisation. A Practical Guide for Research and Community-Based Organisations. 2nd edition http://www.idrc.ca/EN/Programs/Donor_Partnerships/Documents/Donor-Partnership-guide.pdf

FAO (2012). A Guide to Resource Mobilisation http://www.fao.org/docrep/016/i2699e/i2699e00.pdf

Global Trends in Financing the Social Sector: Schwab Foundation for Social Entrepreneurship https://cafindia.org/pages/Global%20Trends%20in%20Financing%20the%20Social%20Sector.pdf

Case study

WHO AFRO. 2009. Resource Mobilisation strategy 2009-2013.
Also, check www.ngosupport.net and www.resourcealliance.org for examples.

Learning activities

The learning activities should be aimed at developing the following competencies:

1. Understand the range of resource mobilisation
2. Identify resources around a given development issue
3. Assess the contribution of various organisations to specific programmes
4. Draft RM plan

Lectures, small group discussions, debates and presentations

1. Analyse case study to determine resources and partners as well as common interests and objectives.
2. Draft resource mobilisation strategy that identify issues, goals, partners and resources.
3. Review impact/contributions of multiple resources to the success of a given C4D programme. What would have happened if the programme had less participation from multiple partners? What had to be changed? How did the programme tap into multiple resources?
4. Group discussion of potential resources for specific programme (to be decided by the group or assigned by instructor). Discuss challenges for funding, approaching potential funders, and suggested actions. These ideas are put into a brief resource mobilisation plan that is presented and discussed in plenary session.

Unit assessment/evaluation methods

- In-class exercises
- Case study/scenario analysis and challenge
- Assignments: Oral and written presentations

MODULE 9
UNIT 4

Managing programmes, budgets and results

General introduction

Once a programme is planned, it is necessary to elaborate a management work-plan to transition from the planning to the implementation phase. The first step for managing a programme is to determine the sequence of activities and timelines. The next step is to identify all required tasks during the lifetime of the programme and spending necessary human/staffing resources – who will be responsible for what. Staff members should participate in the elaboration of a management plan that sets out roles and responsibilities along with various coordination and communication mechanisms. This plan should include brief activity descriptions, budget and indicators. It should s erve as a reference point for all programme members to be able to surmise quickly the key components of the programme and to discuss adjustments/changes based on unexpected developments – staffing shortages, additional/fewer activities and funding changes.

The management plan should include programme staffing that lists the names of individuals (full time, part time, volunteers, partners, focal points and contacts), roles and responsibilities. Ideally, programme staff should consist of mix of people with diverse experience and competencies in ways that complement each other and meet the needs for all positions. Staff selection should consider specific needs for each position and activity. It is not always properly recognised that C4D programmes demand a range of specialised competencies – from strategic design to material production. Someone who has one set of competencies does not necessarily have others – experts on community dialogue may not be versed in news advocacy and vice versa. For instance, certain tasks occasionally needed during the programme may be contracted out to consultants or be performed by part-time staff.

The management plan also needs to state coordination and communication flow that will guide decisions about responsibilities. Both external and internal coordination roles should be clearly defined. This is particularly needed for programmes that included the participation of multiple partners and volunteers. Successful contributions and partnership demands clear rules of engagement and communication to keep all parties regularly consulted and informed. A coordinating committee or task force may be needed particularly if programmes rely on efforts from various organisations and volunteers. Digital platforms are particularly helpful for internal communication, providing updates while keeping all parties informed about new developments. Also, social media platforms may be helpful in providing targeted updates to external partners and other public groups. Fluid lines of communication are particularly important to respond to unexpected news that require rapid response to issues that are internal to the programme (e.g. staff shortage, donors' requests, budget changes) or external events (e.g. political decisions, natural disaster emergencies) that affect original plans.

Other components of the management plan include: review mechanisms, report writing/production, production and supervision of key inputs (e.g. research findings, creative briefs, monitoring results), capacity strengthening activities/training, and team-building activities (e.g. launch, events). Advanced planning of these issues as well as contingency plans are necessary to adjust schedules and avoid delays. In all likelihood, planned activities are linked in several ways such as time and resource expenditures. Therefore, it is important to perform regular reviews to ensure that all is going as originally planned or make adjustments as needed.

The plan should also list: materials needed (e.g. for research, activities), material distribution (quantity, schedule and monitoring), agreements (with subcontractors, partners, and volunteers),'incentives' and recognitions.

The management plan should have a 'project life cycle' (PLC) that identifies the sequence of steps that help a programme to move forward from start to finish in ways that involves all members and stakeholders. The elaboration of the PLC needs to consider carefully specific donors' requirements in terms of frequency/format of programme reports and updates, communication flows, budgets and other issues included in the agreement and documents. A strong PLC matches donors' expectations with a logical, sensible flow of programme activities based on the strategic design.

Managing budget is another critical component of the management plan. The budget needs to include staff salaries and benefits, consultant fees, data collection, training, travel allowance, supplies, data processing and analysis, report writing, meetings, material production (fees, copywriting, content reviews, pre-testing, production costs, distribution), monitoring and evaluation (development/distribution/collection of data, questionnaires, training, travel allowance, data compilation/analysis, meetings), special events (launch, receptions, giveaways, rental of sites and equipment), capacity development activities (consultants, accommodations, materials, rentals). Various tools such as - as Gantt Charts, Logic Network, PERT Chart and Work breakdown structure can be utilised for efficient programme management.

In addition to managing programme and budgets, it is also equally important to manage results. The United Nations Development Group defines results-based management (RBM) as 'a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher-level goals or impact)'.

RBM is not a tool; it is a mindset, a way of working that looks beyond processes, activities, products and services to focus on the actual social and economic benefits of projects and programmes at the level of beneficiaries. A central tenet of results thinking is the results chain, which is an illustration of the causal relationship between various elements over time.

Questions for discussion

- What is the purpose of the management plan?
- What are the components of the management plan?
- What staff and competencies are needed for various activities?
- What types of communication flows could be used?
- How should management plan address activity sequence and timeline and results?
- What is results based management?

Reading list

Novartis Foundation for Sustainable Development (2005). Project Management Handbook. A Working Tool for Project Managers.
http://www.novartisfoundation.org/platform/apps/Publication/getfmfile asp?id=507&el=808&se=901333338&doc=44&dse=4

Results Based Management - https://unhabitat.org/?rbm-handbook=1-1-what-is-results-based-management

Supplementary reading

Beyond the Magic Bullet: NGO Performance and Accountability in the Post-Cold War World (Kumarian Press Books on International Development),1996 by Michael Edwards (Editor), David Hulme (Editor)

Global Governance, Civil Society and Participatory Democracy: A View from Below (2014) Nigel Martin and Rajesh Tandon

Evaluating Development Aid: Issues, Problems and Solutions By B. E. Cracknell (2000) SAGE

Learning activities

The learning activities should be aimed at developing the following competencies:

1. Understand the importance of the management plan
2. Identify the components of the management plan
3. Draft a management plan

Lectures, small group discussions, debates and presentations

(for example, guest speakers with extensive experience in programme management)

1. Group review/discussion of management plan(s) to understand key components/ sequence of activities, internal and external communication flows/structure.
2. Group discussion around possible unexpected events that may interfere with original plans and ways to address them. Based on actual management plan (see readings), groups should discuss possible events that may derail plans and their impact on the progress of the programme.
3. Group discussion of donors' guidelines and how they need to be considered and incorporated in management plan. For example, see Implementation Tips USAID Partners http://www.ngoconnect.net/documents/592341/0/CAP+Implementation+Tips+for+USAID+Partners.
4. Group to produce draft of a management plan that includes objectives, activities, materials and monitoring and evaluation; staffing, responsibilities, and supervision; timeline; resources; communication flows; budget and funding sources; partners.

Unit assessment/evaluation methods

- In-class exercises
- Case study/scenario analysis and challenge
- Assignments: Oral and written presentations

MODULE 9
UNIT 5

Cost-benefit analysis

General introduction

Cost-benefit analysis (CBA) is an approach to programme evaluation that compares the costs and impact across programmes to determine cost-effectiveness and financial sustainability. It identifies and quantifies the costs and benefits of programmes by offering a logical framework of data analysis for assessment, decision-making and comparison. CBA estimates the total cost to conduct a programme divided by the number of people estimated to have been affected. It links programmatic inputs and outcomes to assess impact and costs. CBA can be used to conduct evaluation of alternative investments before or after programmes that are designed and implemented or implemented projects. It uses traditional financial analysis and summary tools such as net present value, discounted cash flow or breakeven point to demonstrate programmatic value. It is used for making decisions about specific programmes and courses of action.

The basic elements of CBA (Heeks and Molla 2009) include:

Cost item identification and valuation: Identify the one-off (initial) and recurring (variable) expenses related to the ICT4D project under assessment. Examples of one-off costs might include ICT hardware and software, building renovation, other physical infrastructure costs, initial training, set-up costs, etc. Recurring costs can be Internet subscription, stationery and other consumables, maintenance, phone connection costs, utilities, staff salary, etc. In addition, there may be 'disbenefits' associated with ICT4D such as loss of income/financial benefits for particular groups. These would include opportunity costs – the income-/benefit-generating activities stakeholders could have been undertaking if they had not invested their time in the programme. All of these costs are tangible but there are also intangible costs such as time invested by unpaid stakeholders.

Benefit item identification and valuation: Itemised monetary values of the direct and indirect gains (both tangible and intangible) as a result of the expenditure. Direct benefits tend to fall into two camps, namely income generated either from using and/or selling the services of the programme time/money saved. These can be used to calculate consumer surplus value. Indirect benefits are impacts on the wider community such as empowerment, equity, participation, feelings of inclusion and skills upgrade, related to the outcome of the programme. To identify indirect (and often intangible) benefits, explore (identify and value) if the programme has made the following opportunities possible, namely:

- **Value linking:** Benefits that are received in communities outside the main target of the project. This helps to capture the effects of network externalities.
- **Value acceleration:** Benefits brought on more quickly as a result of a project (for example, literacy).
- **Value restructuring:** Benefits received by restructuring the efforts of direct beneficiaries from lower-to-higher value activities (social outsourcing).

These activities provide the foundation for a comparison of costs and benefits. Beyond these basics, some CBA may use other techniques. The following are particularly used where there is an interest in future costs and benefits:

- **Discount rate:** If there is a concern to include future costs and benefits, then an adjustment – the discount rate – can be used to convert all future costs and benefits into present-value terms. Normally, this rate is determined by the prevailing bank interest rate. It represents the opportunity cost that will be foregone if the capital had been invested at least in an interest-bearing bank account.
- **Decision rule:** A number of models can be used to provide a summary of cost-benefit analysis and aid decision.
- **Payback period:** Refers to the time it takes for a project to break even and cover its costs. It is a simple ratio of total cost to total benefit for a given period. Ex-post payback can be calculated.
- **Net present value:** Expresses the net worth of a project in present value. To estimate this, future benefits (cash flows) will be adjusted by the discount rate and the initial investment is deducted from the total discounted cash flow. A positive NPV indicates that the project is economically sustainable.

Other techniques used include 'Sensitivity analysis' which looks at future estimates of costs and benefits that cannot be known for certain. To account for such risks, a sensitivity analysis can be undertaken, which models various 'what if' scenarios looking at different possibilities (e.g. what if fewer clients pay for the service than anticipated? What if maintenance costs are higher than anticipated?). Another technique is 'with' versus 'without' analysis. To better understand the impact of programmes using CBA, one can undertake a 'with' versus 'without' analysis. This compares the programme with its counterfactual, i.e. seeing the impact of the programme as the difference between what the situation looks like with and without the intervention.

CBA has not been commonly used in C4D but there has been growing interest amidst increased expectations that programmes not only show impact, but also use rigorous methods that demonstrate cost-benefit across strategies and interventions. C4D programmes need to keep the following questions in mind to guide CBA: Is C4D the most cost-efficient strategy to promote change? What communication approaches within the same programme would be most cost-effective? What combination of approaches is cost-effective?

Questions

- What is cost-benefit analysis (CBA)?
- What is the purpose of CBA?
- What are the strengths and weaknesses of CBA?
- What kind of arguments can be made on the basis of CBA?

Readings list

Heeks, Richard and Alemayehu Molla. 2009. Impact Assessment of ICT-for-Development Projects: A Compendium of Approaches, IDRC. http://www.sed.manchester.ac.uk/idpm/research/publications/wp/di/documents/di_wp36.pdf

UNESCO. 2011. School-based Sexuality Education Programmes. http://www.unesco.org/pv_obj_cache/pv_obj id_5C91DFE08D47DC4B8C1D1BC29E4FEDC9C0451300/filename/CostingStudy.pdf

USAID. Cost Benefits Analysis of HIV Workplace Programmes in Zambia. http://pdf.usaid.gov/pdf_docs/PNADK430.pdf

Case study

Sood, Suruchi and Devaki Nambiar. 2009. Comparative Cost-Effectiveness of the Components of a Behavior Change Communication Campaign on HIV/AIDS in North India, Journal of Health Communication http://www.gwu.edu/~cih/journal/contents/V11SUPP2/abstracts_v11supp2.htm.

Learning activities

The learning activities should be aimed at developing the following competencies:

1. Understand the principles and uses of CBA
2. Assess the strengths and weaknesses of CBA
3. Conduct CBA
4. Analyse CBA data and draw implications

Lectures, small group discussions, debates and presentations

1. Groups review and discuss examples of CBA to determine implications of data and arguments and interpretations that can be drawn.
2. Groups discuss strengths and limitations of CBA for C4D.
3. Groups conduct CBA of C4D programme and present results in plenary session where findings and arguments are reviewed and discussed by the rest of the class.

Unit assessment/evaluation methods

- In-class exercises
- Case study/scenario analysis and challenge
- Assignments: Oral and written presentations

NOTES:

Key contributors:

1. Abhijit Bora, Professor & Head of Department, Tezpur University
2. Abid Husain, Assistant Professor Jamia Millia Islamia
3. Alka Gadgil (Dr.), Head & Faculty, Xavier Institute of Communication, Mumbai, Maharashtra
4. Alka Malhotra, Communication for Development Specialist, UNICEF Delhi
5. Anant Kumar (Dr.), Associate Professor, Xavier Institute of Social Sciences (XISS), Ranchi
6. Anjali Capila (Dr.), Associate Professor, Dept. of Development Communication & Extension, Lady Irwin College, Delhi
7. Aparna Khanna, Associate Professor, Lady Irwin College, Delhi University
8. Arbind Sinha (Dr.), Advisor, MICA - Centre for Development Management and Communication, Mudra Institute of Communication Ahmedabad (MICA)
9. Archna Kumar, Associate Professor, Development Communication and Extension, Lady Irwin College, Delhi University
10. Arupa Shukla, Communication for Development Specialist, UNICEF Delhi
11. David Mould (Dr.), Professor Emeritus, Media Arts & Studies, Ohio University
12. Diwakar Shukla, Director, Jagran School of Journalism and Communication, Bhopal
13. Elnur Aliyev, Communication for Development Specialist, UNICEF Delhi
14. I Arul Aram (Dr.), Associate Professor, Department of Media Sciences, Anna University (AU), Chennai, Tamil Nadu
15. Ila Patel (Dr.), Professor, Social Science, Institute of Rural Management, Anand, Gujarat
16. Joya Chakraborthy, Senior Assistant Professor, Tezpur University
17. Kanchan K. Malik (Dr.), Associate Professor in Communication, University of Hyderabad, Andhra Pradesh
18. Kulveen Trehan, Senior Faculty, University School of Mass Communication, Indraprastha University
19. M. H. Ansari (Dr.), Professor & Head of Department, Rural Management, Xavier Institute of Social Services (XISS), Ranchi
20. Manjaree Pant, Communication for Development Specialist, UNICEF Rajasthan
21. Manukonda Rabrindranath, Dean Faculty of Communication and Media studies, Head of Journalism and Mass Communication, Indira Gandhi National Tribal University, Madhya Pradesh
22. Narendranath Chowdary, Consultant, Monitoring & Evaluation, UNICEF Delhi
23. Neela Saldanha, Director, Center for Social and Behaviour Change, Ashoka University
24. Neelam Yadava (Dr.), Assistant Professor, Mudra Institute of Communication Ahmadabad, Gujarat
25. Purnima Mehrotra, Center for Social and Behaviour Change, Ashoka University
26. R Lavanya (Dr.), Assistant Professor, Department of Media Sciences, Anna University (AU), Chennai, Tamil Nadu
27. Rachana Sharma, Communication for Development Specialist, UNICEF Delhi
28. Raj Shree Verma (Dr.), Associate Professor, Rural Management, XISS
29. Rashmi Jain, Assistant Professor, Department of Social Work, Jamia Millia Islamia
30. Rudrajit Das, Communication for Development Specialist, UNICEF Delhi
31. S. Arulchelvan (Dr.), Assistant Professor, Department of Media Sciences, Anna University (AU), Chennai, Tamil Nadu
32. S. Devaraj (Dr.), Research Assistant, Dept. of Extension Education, Gandhigram Rural Institute, Tamil Nadu
33. Salman Khan, Research Associate, School of Social Work, Jamia Millia Islamia
34. Sanjay Singh, Communication for Development Specialist, UNICEF Madhya Pradesh
35. Sant Kumar (Dr.), Associate Professor, Rural Management, Xavier Institute of Social Services (XISS), Ranchi
36. Santosh Kumar Patra (Dr.), Assistant Professor, Media Studies, Mudra Institute of Communication, Ahmadabad
37. Seema Kumar, Communication for Development Specialist, UNICEF Andhra Pradesh & Karnataka
38. Shivani Saraf, Center for Social and Behaviour Change, Ashoka University
39. Siddartha Shrestha, Chief, Communication for Development, UNICEF Delhi
40. S.K. Gopal (Dr.), Programme Coordinator, Krishi Vigyan Kendra, Gandhigram Rural Institute, Tamil Nadu
41. Sunitha Don, Assistant Professor, Department of Media Sciences, Anna University (AU), Chennai, Tamil Nadu
42. Tisha Srivastav, Assistant Professor, Film and Media Studies, Ashoka University
43. U.T. Rao (Dr.), Professor, General Management, Mudra Institute of Communication, Ahmadabad, Gujarat
44. Uma Maheshwari P., Assistant Professor, Department of Media Sciences, Anna University (AU), Chennai, Tamil Nadu
45. Vaiju Naravane, Professor, Journalism and Media Studies, Ashoka University
46. Vasuki Belavadi, Associate Professor in Communication, University of Hyderabad
47. Vinod Pavarala (Dr.), Professor in Communication, UNESCO Chair on Community Media, University of Hyderabad

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For more copies contact:

Communication for Development Section
United Nations Children's Fund

73 Lodi Estate, New Delhi 110 003, India

Phone : +91-11-24690401
Email : newdelhi@unicef.org
Web : www.unicef.org
www.unicef.org/india/
www.unicefiec.org