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## **Enabling the Success of Social and Behavior Change Communication and Social Marketing NGOs**



**Recommendations from  
the Expert Consultation on  
High-Performing Social  
and Behavior Change  
Communication and Social  
Marketing Organizations**

**May 9-12, 2016**

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***Vision:** The development of a global community where local SBCC and social marketing organizations, donors and international NGOs work together and support one another according to their comparative strengths to influence behaviors and achieve positive, sustainable and impactful health and social outcomes.*

## SECTION I: INTRODUCTION

This guidance document is the distillation of discussion and recommendations from an **Expert Consultation on High Performing Social and Behavior Change Communication (SBCC) and Social Marketing Organizations** held in Washington DC from May 9-12, 2016. Approximately 40 participants representing 11 local SBCC and social marketing non-governmental organizations (NGOs) from Asia, Africa and Latin America, the U.S. Agency for International Development (USAID) and eight international non-governmental organizations (INGOs) explored two questions:



1. What factors are most likely to enable the success and sustainability of local SBCC and social marketing NGOs?
2. How can local NGOs, INGOs and donors work together most effectively to assure the success and sustainability of local NGOs working in the field of SBCC and social marketing?

While no blueprint or magic key exists to guarantee the success of local NGOs, this guidance offers suggestions based on the collective experience of the participating organizations. Overall, it is intended

to encourage and guide *conversations* – among local NGOs themselves and among local NGOs, INGOs and donors, including host country government representatives. Hopefully, readers of this guidance document will feel inspired to pick up the phone, schedule a meeting or join an online discussion forum such as [Springboard for Health Communication Professionals](http://healthcomspringboard.org) (<http://healthcomspringboard.org>) to discuss the issues this document raises and to ask questions of one another to begin an ongoing dialogue towards more effective collaboration.

## Why Local NGOs?

Local NGOs are critical to achieving and sustaining improved health and social outcomes. They possess the in-depth cultural knowledge critical to designing effective programs and are best placed to build long-standing trusting relationships with local communities that enable the greatest reach and access to local populations. Leaders and staff of local organizations often come from the local communities they serve and, as such, possess a passion and persistence to assist and improve those communities. Strong and established local NGOs are also likely to possess institutional memory and relationships within the national health system, enabling them to influence policy and decision-makers and to reinforce a continuity of vision and purpose for health and social programming.

## Why SBCC and Social Marketing?

While local SBCC and social marketing NGOs share much in common with the range of other local NGOs working in global health and development, SBCC and social marketing NGOs face some unique issues:

- Many local NGOs working in a specific health area (e.g., HIV or family planning) fall under donors' vertical funding streams. SBCC and social marketing NGOs, however, often cut across multiple health areas with variable visibility in each. Additionally, their work is often integrated into a larger project, not as an activity on its own, resulting in limited understanding for and recognition of their work. Thus, local SBCC and social marketing NGOs not only have to engage in the expected resource mobilization but must additionally educate donors and advocate about their field.
- In the field of SBCC and social marketing, a significant number of successful local NGOs began as either field offices or as affiliates of an INGO working in the field of SBCC and social marketing. These local "branches," with the support of their affiliate INGO, separated and established themselves as fully independent organizations. Sometimes referred to as "legacy" or "sister" organizations, in this document they are referred to as "**affiliated**" NGOs. The nature of the relationship between these local organizations and their founding INGO varies and is continually evolving as will be described in the following sections of this document.<sup>1</sup>

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<sup>1</sup> The two INGOs working in the SBCC/social marketing domain active in establishing these types of local organizations are the Johns Hopkins Center for Communication Programs (CCP) and Population Services International (PSI). CCP is the prime partner on the sponsoring HC3; PSI is an HC3 sub-partner.

## Who Is the Audience for this Guidance?

This guidance is primarily intended for NGOs based in lower and middle income countries that specialize in, or have a significant portion of their work, focused on SBCC and/or social marketing. More specifically, this guidance document is intended for the following three audiences:

- **Local SBCC and social marketing NGOs** interested in how to improve their own or other local organizations' functioning at every stage of development.<sup>2</sup>
- **INGOs** that partner with local SBCC and social marketing NGOs on project implementation, either as a prime or sub-partner, and/or are involved with capacity strengthening efforts of local SBCC and social marketing organizations.
- **Representatives from donor agencies** involved in designing or funding projects that involve local SBCC or social marketing NGOs or who currently manage projects that include these local organizations, either as prime or sub-partners. Although representatives from **host country governments** were not present at the consultation, many of the donor recommendations are relevant to this audience as well.

## Guidance Objectives

This guidance is intended to:

- Enable local NGOs to improve their own functioning at each stage of development and to support the development of other local NGOs.
- Enable donor staff and INGOs to work more effectively with local NGOs to increase success of the project and to increase capacity and sustainability of local NGOs.
- Assist donors to design more effective programs with local NGOs.

## What This Guidance is NOT Intended to Do

This guidance is *not* intended as a comprehensive or step-by-step organizational development (OD) program. It does, however, provide links to resources and networks that will prove useful to organizations looking to identify and address their OD needs. In addition, while empowered and capable local NGOs are critical to the success of national programs, they cannot do it alone. Local NGOs are only

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<sup>2</sup> The term local NGO is used to distinguish those organizations originating and based in low or middle-income countries from those generally larger contractors usually originating and based in the U.S. or Europe and referred to as INGOs. It is a murky separation as many of these high-performing local NGOs work in multiple countries in their region, provide capacity strengthening to other local partners and may compete with the INGOs or even serve as the prime partner on donor awards with INGOs as sub-partners. These "local NGOs," however, do face unique challenges and hold a distinctive position given their location and in-depth cultural knowledge and networks.

one component of the larger national system for SBCC and they, in turn, rely on that system for their success. To learn more about strengthening the SBCC system, see the SBCC Capacity Ecosystem™ (<http://healthcommcapacity.org/sbcc-capacity-ecosystem/>).

### **Structure of the Guidance**

This guidance follows the structure of the Expert Consultation from which it arose. It begins with an overview of the three phases of organizational development and the recommendations made by the participants for each audience – NGOs, INGOs and donors – at each phase. It follows with a more in-depth discussion of key challenges and how each audience can help address those challenges. It ends with a brief summary and appendices that include an explanation of how participants were selected for the Expert Consultation, profiles of the participating local NGOs and a resource list. All quotes, though not attributed by name, are from Expert Consultation participants.

## SECTION II: PHASES OF ORGANIZATIONAL DEVELOPMENT

No two organizations are alike. Each follows its own path depending on its leadership and staff, its cultural and professional context, and its vision. Yet however dissimilar organizations may be, they pass through similar stages of development. They also face many common issues and challenges, even though the details and their responses and strategies may vary.

**Phases of Organizational Development Framework:** For the purposes of this guidance, a simplified organizational development lifecycle model is followed that examines the opportunities and challenges according to three phases of the organizational lifecycle:<sup>3</sup>

- I. Start-up
- II. Reaching Stability and Scale
- III. High Performing and Mature

The guidance provided at each phase reflects the collective and grounded experience of the 11 SBCC and social marketing organizations that attended the HC3 Expert Consultation supplemented by insights from the donor and INGO representatives. Please note, no hard and fast line divides the phases and some advice may be relevant to multiple phases.

### Phase I: Start-Up

Themes at Phase I:

- **Imagine and Inspire:** What's the dream/vision? Can the dream be realized?
- **Found and Frame:** How are we going to pull this off?

**Overview:** Phase I is the start-up phase when a new organization is first establishing itself and getting a foothold. It is an exciting, uncertain time, full of hope and possibilities. The organization's small group of founding members is bound by a common dream and mission, often responding to a crisis, such as an epidemic, or driving need, such as endemic poverty, in their communities. Dynamic leadership and innovation are the driving forces.

*“The biggest headache is getting the money. INGOs want to work with bigger more established organizations. Also...how to get competent staff in a start-up organization”?*

In this early stage of operation, there is energy and passion for the

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<sup>3</sup> Drawn from Roger K Allen's three-phase model (The Center for Organizational Design) and Judith Sharken Simon's perspective on life cycles of nonprofit organizations in the book, *5 Life Stages of Nonprofit Organizations* (Wilder Foundation, 2001).

mission, but there may be little in the way of governance, management resources and systems for non-affiliated NGOs. Even for those local affiliated SBCC and social marketing organizations, the adventure of this phase is still very alive as the organization ventures out on its own for the first time and wonders whether it will succeed separate from its founding INGO.

### Insights from the Expert Consultation Discussion

Participants emphasized that it is critical to understand the context in which the organization is working, particularly regarding the role of civil society in the country. Acceptance of NGOs, they say, varies considerably. South Africa, for example, has a flourishing civil society and NGOs take the lead in many sectors. Vietnam, on the other hand, represents almost the polar opposite with a barely nascent civil society and where NGOs may be suspect. Not only will lack of government support hinder an NGO start up, but also given the lack of a thriving community of NGOs to provide lessons learned and share experiences, emerging NGOs may have to go it alone. Several participants noted that access to resources – such as tools, manuals and materials – differs depending on language barriers (much of the international literature is in English) and access to reliable internet varies among countries.

“A grant from a competitive bid is more valuable because you know at the beginning what challenges you have to face. It is also very rewarding.”

All the NGO participants agreed that it is critical at this stage to show credibility and position the organization in the market. A key consideration is determining how to “show up” on the donors’ radar, in terms of demonstrating what the organization can offer that is unique compared to other similar organizations. Start-up funding can be extremely difficult to come by as donors often do not want to support small organizations with a limited or no track record. They must walk a fine line. On one hand, a new organization may offer something fresh and innovative but must also convince the donor or INGO that they have solid internal systems to comply with grant requirements, particularly financial management and reporting. A trusted and visionary leader can really help in getting visibility and buy-in, but an organization needs both breadth and depth of talent to move forward and succeed.

“Influential people who are not donors can help NGOs through their connections; you need to know them. Find your advocates.”

### Recommendations for the NGO

- **Position yourself in the market.** Do not try to do everything. Instead build confidence in one technical area in which you are particularly strong.
- **Identify an advocate but be careful about whom you align with.** If that advocate’s reputation is ever questioned, it can negatively reflect on your organization.
- **Review an Organizational Capacity Assessment tool.** Understand what constitutes capacity in the different organizational domains. Ideally, enlist an external facilitator to implement that tool with your organization (see box on page 11 for additional resources).

- **Seek assistance to set up internal systems.** INGO-founded local organizations are often considered “clean” without the need for an audit. As a new organization without an INGO affiliation or track record, however, you need to show that you can meet international compliance standards set by funding agencies (see box on page 11 for additional resources).
- **Develop an initial strategic plan.** See page 24 for more on strategic planning.
- **Ensure trust and a shared vision is established between an NGO and INGO.** Have conversations with your INGO partner(s) to be sure you agree on compliance requirements as well as the goals of the partnership.
- **Respect the boundaries set by the contractual agreement between the prime and the donor if you are a sub-partner on a project.** Talk to the prime about how you can participate in meetings with the donor to showcase your work and/or discuss program activities.
- **Build trusted relationships with vendors.** No organization can do it all alone. You need partners and vendors and your initial foray with them will establish your reputation in the community – treat them fairly, have clear scopes of work and pay them on time.
- **Conduct formative research on the donor landscape by talking to different people at INGOs and donors.** Ask about how these different institutions interact, if at all. Find out if there are meetings that donors attend. Get to understand the world of international development and the role of donors within it. Seek information from INGOs or other local organizations if you are not clear on the formal or informal rules governing NGO-donor interactions.
- **Seek out opportunities to collaborate with the Mission.** Participate in country work planning meetings (i.e., Malaria Operational Plan, Country Operational Plan).

*“There are no more seed grants. It’s hard for local NGOs. It’s hard to start without an INGO partnership.”*

### Recommendations for the INGO

- **Come in as a partner rather than as a competitor.** NGOs may fear that the INGO will take over and they may not remain relevant. Remember, the NGO start-up is driven by passion and commitment to their community and does not want to be swallowed up by a larger entity.
- **Seek out the local knowledge that NGOs possess.** For example, before starting a baseline survey include the local partners input and review. Approach them as a valuable resource of local knowledge.
- **Make an effort to welcome local organizations into the development community and help them understand the donor landscape.** Don’t assume that local NGOs are familiar with the formal and informal rules governing NGO-donor relationships.
- **Incorporate a specific scope of work and funding for local NGOs in a project contract.** If you are an INGO with established local affiliates, consider whether they are the most appropriate local NGO for a particular scope of work or whether others should be considered.

*“The organization is known because of the leader. If the leader is trusted, there is more confidence in the organization.”*

- **Support local organizations to put internal systems in place.** Understand that local organizations may not be aware of what constitutes capacity in the various organizational domains. Encourage and support them to implement an Organizational Capacity Assessment (see box, page 11).
- **Understand how to balance policies from within the INGO that might not work in the local context.** Some INGOs are highly bureaucratic and expect a local NGO to follow that system even if their systems don't exactly align. Work with the local NGO to find the best way to work together.
- **Allow an "incubation period" for a new local organization to help it get established.** This may include technical assistance (TA) to assist with operations and finance and financial support for rent, etc.

### Recommendations for the Donor

- **Provide guidance/opportunities to understand compliance requirements and donor systems.** Newly established local NGOs may be intimidated to reveal weaknesses or ask questions of donors. Encourage open communication and questions and position yourself as an advocate for local organizations' success.
- **Demystify the donor organization for recipients.** Provide orientations on the Mission structure and its relationship with headquarters. Encourage the prime to include sub-recipients in communications with the Mission, as appropriate.
- **Visit local NGOs and attend local NGO-sponsored events.** Understand that when local organizations attend donor-sponsored events, they may feel out of their element and be hesitant to actively engage. Meeting with them at their offices or project sites can help them to feel more confident in larger settings.
- **Assist local NGOs in gaining visibility and contacts.** Beyond financial support, as a donor, you can facilitate local organizations' entrance into the network of donors and implementers of the country including facilitating working relationships within the government systems.
- **Create and maintain a strong communication network among stakeholders:**
  - Ensure local organizations are informed about policy changes and programs, as appropriate.
  - Host annual meetings to apprise local organizations on resources available through central programs and/or through the Mission.
  - Provide opportunities where the prime and sub-recipients can meet to discuss technical aspects of the project with the Mission.



## PHASE I ADDITIONAL RESOURCES

### Free Financial Management

- Mango: <http://www.mango.org.uk/freeresources>
- Lingos: <http://lingos.org/for-anyone/>

### Regional Training

- Inside NGO: <https://insidengo.org/>

### Online Tools

- Springboard: <https://healthcomspringboard.org/>
- The Health COMpass: <http://www.thehealthcompass.org/>
- Knowledge for Health: <https://www.k4health.org/>
- The Global Health E-Learning Center: <https://www.globalhealthlearning.org>

### Organizational Capacity Assessment

- PROGRES\_SBCC <http://www.thehealthcompass.org/sbcc-tools/progressbcc-tool>
- Organizational Capacity Assessment <https://usaidlearninglab.org/library/organizational-capacity-assessment>

## Phase II: Reaching Stability and Scale

Themes at Phase II:

- **Ground and Grow:** How can we build this organization to be viable?
- **Produce and Sustain:** How can the momentum be sustained?

**Overview:** This stage may span a number of years and an organization will lie somewhere on the spectrum between growth and viability. The organization has gained a level of recognition and credibility. Its mission and programs have taken hold in the country. An organization may be in a situation where demand for services exceeds its capabilities, or it may have reached a level of maturity where it is operating relatively smoothly and is known for providing relevant and high-quality services.

Rather than fighting to form itself and get a foothold as in Phase I, it is now focused on establishing, shaping and protecting its reputation. Building and strengthening internal systems become an even stronger focus in this phase.

*“Being a sub-contractor on USAID contracts can be very difficult. We don’t get to sit at the table with donors themselves to understand why there are cuts in the budget, for example. Subs are cut off and don’t know what is going on and why decisions are made.”*

## Insights from the Expert Consultation Discussion

Risk management is a key concern during this phase. The organization has already had some wins and gotten its foot into the door of donor funding and building partnerships, but how can it maintain quality and mitigate risks? During this phase, organizations may experience rapid scale-up as they receive more funding. Capacity strengthening of internal systems is critical to ensure that organizations can handle the growth and increased staff. Given that an organization in Phase II is no longer just the small intimate group of staff who were with it at the start, a focus on human resources (HR) and governance is key to ensuring its stability during this time of growth.

*“There is an advantage to being a local NGO; you can take more risks and tackle more controversial issues without government oversight.”*

The audience or beneficiaries of an organization in Phase II have also become a stronger force, providing feedback to the organization, thus influencing the direction of programs. For those NGOs affiliated with an INGO, this is the phase when the NGO may be attempting to establish its own identity, but the INGO may have a hard time letting go. It is a fine line, as the NGO both wants support from the INGO but also to be able to forge its own path. An issue faced by many NGOs is that as a sub-partner on a project, they are often not at the table with the donor and thus do not have that direct connection.

*“INGOs put up an overhead rate. They set up a fixed rate that is very hard for NGOs to survive on. Donors are also putting the lid on local salaries.”*

### Recommendations for the NGO

- **Review your original strategic plan.** Consider whether the plan, as well as your organization’s vision, is still appropriate for where you are now and where you want to go or whether you need to update it. Consider asking an INGO to donate facilitation for a strategic plan workshop.
- **Consider staffing carefully.** Consider whether enthusiasm and commitment to the organization’s vision may be a higher priority at first and then fill in with specific skill sets. Smart, motivated employees may be able to learn necessary skill sets and prove a valuable asset over time.
- **Conduct a SWOT analysis to map out internal and external risks.** It is critical to understand your organizational strengths, weaknesses, opportunities and threats (SWOT). (see box, page 15)
- **Map out key stakeholders and keep them close.** Relationships matter. Time and effort put into relationship building and maintenance will benefit your organization over the long term. This includes developing a strong professional relationship with the Mission. Meet with Mission counterparts occasionally to present on project activities and invite them to project events or an activity launch (see box, page 15).
- **Implement an Organizational Capacity Assessment (OCA).** If already implemented in Phase I, implement again to measure progress. Develop a detailed action plan to strengthen weaknesses and implement that plan (see box, page 11).

- **Implement an SBCC Capacity Assessment.** Don't get too comfortable with your technical skills. Keep improving both your technical capacity as well as organizational capacity (see box, page 15).
- **Regularly implement a Quality Assurance Tool.** Ensure that your activities are technically sound and true to design (<http://healthcommcapacity.org/qa-in-sbcc/>).
- **Strengthen the Board of Directors.** An empowered and well-managed board is critical. Review resources on the role of the board and board development and implement a plan to clarify and strengthen your organization's board (see page 22 for more on boards).
- **Be proactive in identifying Mission funding opportunities.** Look out for the Mission's annual business forecast (available at <https://www.usaid.gov/business-forecast>), which is updated on a regular basis. Ask the Mission about funding for disability inclusion and women's empowerment initiatives and other potential funding streams.
- **Learn about USAID's global and regional initiatives, such as *Saving Lives at Birth and Dreams*, and how they may impact in-country programming.** Explore initiative-specific funding opportunities such as the grants advertised at <https://savinglivesatbirth.net/>, which may afford SBCC organizations an opportunity to try new and innovative approaches. Find out who at the Mission is the contact for global initiatives and work with them to learn more about these efforts.
- **Put time and resources into resource mobilization and seek out ways to produce revenue outside of donor funding.** Review the [Resource Mobilization Implementation Kit](#) and implement sections as necessary during this phase (see page 25 for more on resource mobilization).
- **Review these recommendations on a regular basis and re-implement at appropriate intervals.** Given that Phase II may be ongoing over many years, reviewing these recommendations is a clear and systematic way to reflect on your organization's progress.

#### Capacity Assessments: OCA vs. SBCC

What is the difference between an Organizational Capacity Assessment (OCA) and an SBCC Capacity Assessment? An OCA measures capacity across domains including Finance, HR, M&E and Programmatic. An SBCC Assessment dives deep into SBCC capacity including strategic design, materials development and research.

*“There is a marked disadvantage for local NGOs without the support from large INGOs with much more resources. If the INGO is not interested in the NGO strategic plan, the INGOs mostly want their own projects to be carried out.”*

#### Recommendations for the INGO

- **Review Recommendations for the NGO above and consider which ones your INGO may be able to support.** This may be either through donation of facilitation, funds or technical assistance.

- **Provide guidance to the NGO and support it to set up solid systems.** Ask tough questions, while conveying that you are asking in a spirit of trust and transparency.
- **Enable interaction between the local NGO and the donor.** It is critical that the local NGO find ways to engage with the donor to understand how the donor system works in the country, to become fluent with the professional norms of interaction within the international donor community and to be aware of potential funding opportunities and policy trends. Hold direct conversations with the local NGO and map out a plan that both parties agree with to be sure that the present contract is respected but that the local organization has the opportunities to learn and grow.
- **Be inclusive of local NGOs in trainings and meetings.** Create space for local NGOs to spotlight their skills and accomplishments in training workshops, meetings, consultations, etc. Respect that both the INGO and the NGO possess expertise and emphasize mutual sharing.
- **Seek ways to ensure that the relationship with the NGO is one between equals.** The local NGO may still depend on your INGO for tools, training and capacity strengthening. It may be difficult to let go of control and the NGO has to manage the relationship carefully with you. Be aware of this dynamic and empower rather than condescend to the local NGO.
- **Consider the relative autonomy of the affiliated local NGO.** Create a systematic and thoughtful strategy for increasing autonomy in particular if a formal legal separation has not already occurred.

#### **Recommendations for the Donor**

- **Refer local organizations to resources that outline compliance and reporting requirements.** For USAID-funded NGOs, suggest that the organization review and possibly implement the [USAID OCA tool](#).
- **Recognize that local organizations may not fully understand the donor landscape.** There may be confusion as to how the various international donors in the country interact and how Missions interact with global initiatives.
- **Meet with local organizations to explain the funding streams available from your agency.** Some local organizations fear they will miss a funding opportunity or there may be “extra resources” that can be awarded without a formal announcement.
- **Continue implementing recommendations from **Recommendations for the Donor** in Phase I above.**



## PHASE II ADDITIONAL RESOURCES

- **SWOT Analysis:** [www.free-management-ebooks.com/dldebk-pdf/fme-swot-analysis.pdf](http://www.free-management-ebooks.com/dldebk-pdf/fme-swot-analysis.pdf)
- **Stakeholder Tools:**
  - <http://www.thehealthcompass.org/sbcc-tools/stakeholder-mapping-tool>
  - <http://www.thehealthcompass.org/sbcc-tools/template-stakeholder-engagement-plan>
  - <http://www.thehealthcompass.org/sbcc-tools/stakeholder-analysis-matrix>
  - <http://www.thehealthcompass.org/sbcc-tools/frp-guide-stakeholder-engagement>
  - <http://www.thehealthcompass.org/sbcc-tools/internal-stakeholder-engagement-workshop-toolkit>.
- **SBCC Capacity Assessment:**
  - <http://www.thehealthcompass.org/sbcc-tools/sbcc-mapping-tool-assessment>
  - <http://www.thehealthcompass.org/sbcc-tools/sbcc-capacity-assessment-tools>
- **Board of Directors:** <http://ctb.ku.edu/en/table-of-contents/structure/organizational-structure/board-of-directors/main>
- **Resource Mobilization Implementation Kit:** <http://sbccimplementationkits.org/resource-mobilization/>
- **Organizational Capacity Assessment:** <https://usaidelearninglab.org/library/organizational-capacity-assessment>

## Phase III: High-Performing and “Mature”

Themes at Phase III:

- ➔ **Review and Renew:** What do we need to redesign? How can we get better and expand our impact?
- ➔ **Continuous Improvement and Possible Expansion:** Do we want to grow? If so, how?

**Overview:** In Phase III, the NGO is high performing and a lead player in the country in their field. It generally has a history of receiving direct funding through international donors and has forged strong ties to government. In fact, there may be little distinction at this phase between the NGO and INGO in that their operations may extend into other countries in the region, they compete with INGOs for bids and may even prime projects with an INGO as the sub-partner. They also are likely to provide capacity strengthening to local partners. Like any INGO, the NGO in Phase III is looking at how to remain nimble, responsive and innovative and is looking for new routes for resource mobilization that will assure sustainability over the long term.

“*Being a mature organization is a blessing and a curse. When you are established, people respect you, but innovation slows down. Innovation is easier when you start.*”

## Insights from the Expert Consultation Discussion

A key challenge once an organization enters Phase III is staying true to the organizational mission. It has become a trusted partner and a go-to organization for the donor, government and INGOs working in the country. A Phase III organization may be asked to take on projects or activities outside its mission. It takes careful consideration to balance between staying focused and a “good partner” while maintaining relationships with these other entities. There is both a concern of becoming a “service provider” to donors and INGOs and an appreciation for this potential role. Participants cautioned organizations in Phase III to be sure to stay true to their vision – even as they may selectively accept assignments peripheral to their mission. It is critical to reflect on the organization’s ongoing role in civil society.

Participants agreed unanimously that the comfort of success carries with it the challenge of remaining relevant. Innovation is much more difficult in this phase. There is the benefit of established institutional memory but also a risk of getting stuck in one way of doing things. A key strategy, and a challenge, is to find ways to generate unrestricted funding so the organization can keep building its own capacity as well as nurture innovation. Unrestricted funding is also critical for retaining staff during funding gaps between larger projects.

NGOs affiliated with INGOs may feel that they should be an equal partner with the founding INGO, but it varies as to whether they feel the INGO is interacting with them as an equal partner or not.

*“You have peace of mind knowing the legal aspects and regulations.”*

*“Your strategic focus can’t determine where money is coming from. You need to define your purpose as a group. NGOs are driven by passion plus where money comes from.”*

## Recommendations for the NGO

- **Re-examine the strategic plan.** Consider to what extent your strategic plan should *align* with larger government issues and directions, and conversely, to what extent it should try to *influence* government investment agendas.
- **Be strategic as to when and why to take on projects outside of the organization’s mission.** As a high capacity partner, you are a “go to” organization for donors and INGOs. You are strong enough that you don’t need to say yes to everything. However, consider how to balance between the need to be a responsive partner while respecting your strategic plan.
- **Generate new ideas and find ways to innovate and remain relevant.** Engage all staff and invest resources in this process.
- **Develop a well-thought-out staffing and management plan to**

*“Technical support from donors and INGOs is critical. It helps with our growth, understanding global thinking and to be on the cutting edge. Our NGO got great support from an INGO in country – their technical mentoring was vital and helped us to feel like we are part of the community.”*

**respond to changes in the organization's size and responsibilities.** Be sure to account for professional development of staff below the senior management level and to plan for leadership succession.

- **Consider how to manage your relationship with an affiliate INGO or any INGO with which you have a long-standing relationship.** Hold transparent discussions with the INGO on your vision and interests. This is the phase your NGO may serve as the prime on an award with the INGO as the sub-partner. It may also be in the best interest of your NGO to compete with the INGO for a bid or to partner with another INGO. Transparent, respectful communication is critical for negotiating this new phase of your relationship.

### **Recommendations for the INGO**

- **Continue to support NGOs in understanding the ever-shifting donor landscape.** Also support them in understanding how to mobilize resources and explore capacity strengthening opportunities.
- **Reflect on the relationship with an affiliated NGO or other local NGO partners.** Hold open discussions with the NGO in terms of how to manage your relationship. How can the NGO maintain the benefits of the relationship with your INGO while potentially competing with the you?

### **Recommendations for the Donor**

- **Familiarize yourself with the local NGOs mission and strategic plan.** Understand that the local NGO wants to protect their relationship with you and thus may accept assignments outside of their mission. Be aware of the conflict this may present internally for the organization attempting to stay true to their vision and their role in civil society.
- **Support the NGO in seeking opportunities to innovate and remain relevant.** Be thoughtful so as not to “pigeonhole” the local NGO.
- **Be cognizant of expecting a local organization to do “more for less” than an INGO.** Local organizations may over-extend themselves by over-promising in order to remain competitive.
- **As in previous phases, be sure opportunities exist for direct communication with the NGO rather than exclusively communicating through an INGO prime partner.** In addition, introduce new donor staff to the local NGO and explain the history of the NGO/INGO relationship. NGOs devote valuable time in building relationships with you. Staff turnover within the donor agency can be disruptive and unsettling for the local organization.
- **Hold open discussions with NGOs founded by INGOs regarding their current relationship, expertise, challenges and vision for the organization's future.** NGO-INGO relationships/partnerships vary widely and change over time.

## SECTION III: KEY CHALLENGES

Like all organizations, local SBCC and social marketing NGOs face many challenges. The participants from the local NGOs who attended the Expert Consultation identified the following six issues as key challenges NGOs need to address: leadership, staffing and building capacity, the role of the board, managing growth, resource mobilization and accountability, reporting and documentation.

### Enabling Local Leadership

#### Leaders Can Make or Break an NGO

Charismatic and energetic leadership is important at every phase of an organization's development but particularly critical at NGO start-up. At this initial phase, the leader serves as the face of a young organization which may not have a proven track record. Dynamic leaders attract skilled and committed employees and form links with government ministries and donors. But *"no organization can be known strictly by its leader."* Good leadership includes the willingness to delegate, share ownership and step aside when the time is right for the organization.

*"In the beginning, the organization is known only by its leader. If the leader is trusted, there will be more confidence in the organization."*

#### Leadership Responsibilities and Required Skills Vary with the Phase of the NGO

Few new organizations have sufficient staff with all of the necessary talents and expertise; thus, NGO leaders wear many hats, including HR, financial management and project management. As organizations grow, leaders need to step back from day-to-day operations and move to overall management and strategy development. Problems arise when leaders are not open to new ideas, especially in mature organizations where the leader is more inclined to stick to tried and true methods.

*"Young people want change; upper management wants to keep doing things the way they've always done them. We need to create space for younger people to experiment."*

#### Eventually, Every Organization Faces the Challenge of Transitioning from the Founding Leader to Successors

This is more difficult the longer the founding leader has been with the NGO since s/he needs to be willing to step down and prepare for the next director. Local NGOs started and managed by INGOs need to eventually transition to local management to be truly sustainable. Making this shift challenges INGOs that may not be ready to "let go." Participants noted that it is also possible that donors could be concerned local staff will not be as competent and responsive as expatriate managers.

#### Many Organizations Struggle with Succession Plans

Participating NGOs identified two critical issues regarding succession. First is the challenge of developing

the specific profile of the new leader, particularly if the funding environment and the organization itself is changing. It may be difficult to predict the specific skills and experience that will be most crucial for the NGO in moving forward. Second, NGOs must decide whether to recruit from inside or outside the organization.

Recruiting from the outside is necessary when there is no one in the organization who can fill the role. On the positive side, outsiders bring new blood and new ideas to an organization. On the negative side, outsiders need lead time to understand the organization. Hiring from within cuts down on the learning curve and brings the advantage of institutional memory. However, hiring among several internal candidates can cause resentment, interfere with project management and may cause highly skilled staff to leave.

### Examples of Succession Planning

Participants at the Expert Consultation recommended several approaches for succession planning, including developing a plan early in Phase II of organizational development. One NGO in the process of succession planning has groomed five to seven potential successors among current staff to be sure that a qualified leader will be available when the founding Executive Director steps down. Other NGOs turned to their board of directors to take charge of succession planning. All participants agreed that succession planning is a long-term process and must be thoughtful and purposeful.

### Recommendations for the NGO

- **As an NGO leader, stay open to new ideas and approaches to project work**, particularly opportunities with new technologies and media. Young employees often bring these skills to the organization.
- **Develop a succession plan early in the NGO's development and include the board of directors and staff in developing the plan.** It can be modified over time as needed, but having a plan provides everyone on staff with reassurance as to the future of the NGO.

### Recommendations for the INGO

- **Create a mentorship relationship between staff of the INGO and leadership of a local partner NGO.**
- **For an INGO with plans to establish an affiliate, start planning for the transition to local management of the country office right from the start.** This includes transitioning planning in strategic design, annual work plans, staff meetings and discussions with donors. These plans need to be reviewed with local staff through an open and transparent process so they see that promotion is possible.

### Recommendations for the Donor

- **Consider including the establishment/strengthening of a functioning independent local NGO as a project outcome.** Include annual evaluation indicators ensuring incremental progress towards that goal.
- **Include subcontracting local NGOs in project meetings**, particularly if there are any comments about NGO performance instead of communicating them only via the prime contractor.



## ADDITIONAL RESOURCES

- **Succession Planning and Management Guide:** [http://www.exec.gov.nl.ca/exec/hrs/publications/succession\\_planning\\_and\\_management\\_guide.pdf](http://www.exec.gov.nl.ca/exec/hrs/publications/succession_planning_and_management_guide.pdf)
- **Organizational Development Toolkit:** <http://www.npi-connect.net/od-toolkit>

## Staffing and Building Capacity

### Finding Qualified Staff Is Challenging but Especially for Start-up NGOs Focused on SBCC/SM

Many countries do not have a large pool of trained and experienced SBCC or social marketing candidates. Qualified candidates often prefer established organizations and, in some instances, prefer to work for INGOs rather than local start-ups. Experienced candidates may request higher salaries than small local NGOs can afford. On the other hand, INGO offices run by expatriates also face problems recruiting and retaining qualified local employees. According to some of the participants, opportunities are few for local professionals to move into upper management in INGO country projects. Even if they are hired or promoted into a high-level position at an INGO, they are not paid equivalent salaries to the expatriates.

“It is hard to get country nationals to work at lower salaries and fewer benefits than the expatriate staff.”

NGO employees also must be committed enough to the organization to tolerate the fluctuations in project funding and the uncertainty inherent in any enterprise dependent on outside funding. The best employees are those who passionately share in the NGO’s vision.

### Building Capacity Is an Investment that Will Yield Long-term Gains

No NGO can survive without knowledgeable and skilled employees, but donors rarely provide funds for staff development or capacity strengthening of internal organizational systems. One NGO in Nigeria faced resistance from its board of directors which did not see the long-term advantages of training staff and improving systems. NGO participants say it is particularly hard to find staff with specific skills – M&E, report and proposal writing, SBCC and social marketing, and “storytelling” to document NGOs success. In the best of all possible worlds, NGOs should have dedicated employees to perform these tasks, but few small organizations have the funds for this level of support. To address these problems, NGOs have hired outside help for proposal writing and have built staff capacity through mentoring and on-the-job experience in project work in lieu of formal training.

## Attracting, Retaining and Molding Employees into a Cohesive Team Presents Challenges

Mentoring and supervising staff to improve their capacity is essential but becomes much more of a challenge as organizations grow. Recruiting new staff to work on highly sensitive topics, for example sexuality, is problematic. One NGO uses a values clarification exercise during job interviews to be sure that the potential employee will be comfortable and successful on the job. The NGOs say that women are more interested than men in working for NGOs and particularly working on reproductive health. To keep young women on the job, NGOs should make special efforts to accommodate maternity leave and other forms of support for young families. Just as with for-profit organizations, NGOs can motivate staff and provide incentives. One NGO in South Africa encourages staff to write and submit analytical papers and posters to national and international conferences and pays for these staff to attend conferences.

Like other organizations, local NGOs have great difficulty transitioning out staff who have been with the organization for a long time but who are no longer willing or able to contribute. Older staff members may not be prepared to handle new technologies or new ideas. On the other hand, they have a long history with the organization and may have solid connections with members of the board of directors and/or Ministries of Health and other government entities.

### Recommendations for the NGO

- **Consider how to balance the short- and long-term benefits of building staff capacity vs. hiring outside consultants.** It may be more cost-effective to hire trained technical experts for specific tasks such as writing proposals, particularly in the start-up phase. Less experienced staff can then use those well-prepared proposals as a model for the future.
- **Develop a capacity building plan for the organization.** Map out the specific areas where skills-building is needed and which employees should get priority in training, mentoring and other forms of capacity strengthening.
- **Look for every opportunity to build capacity,** including scholarships for formal training, mentorship with experienced managers and requesting technical assistance from INGOs and donors. Building internal knowledge management systems and distilling lessons learned from every project will also support staff development.
- **Take advantage of free or low-cost training courses.** For example, USAID supports more than 85 free online courses on the Global Health eLearning Center, as well as others. (see box, page 22)

### Recommendations for INGOs

- **Mentor local staff to step into senior management roles.** Promoting local employees will increase staff commitment to the project and reduce staff turnover.
- **Look for ways to compensate local employees.** If it is not possible to provide similar salaries to expatriates and local staff, offer professional development opportunities including training and funding their participation in national and international conferences. Hold transparent conversations with staff regarding the salary structure.

## Recommendations for Donors

- **Encourage INGOs to provide incentives and opportunities for the professional development of local staff.** As noted previously, consider including transitioning from expatriate to local staff into project deliverables.



### ADDITIONAL RESOURCES

- Global Health eLearning Center: <https://www.globalhealthlearning.org>

#### Free or Low-Cost Training:

- Mango: <http://www.mango.org.uk/freeresources>
- Lingos: <http://lingos.org/for-anyone/>
- InsideNGO: <https://insidengo.org/>

## Maximizing the Role of the Board of Directors

### Functioning Boards of Directors Are Vital for NGOs

The board is invested with multiple responsibilities: providing feedback on and endorsing the organization's strategic framework; holding NGO management accountable for following that framework and for implementing project work; fundraising; building ties to donors and government agencies; and oversight of financial and management systems.

### Many Challenges Exist in Creating and Developing a Functioning Board

Participating NGOs noted the difficulties of finding people with the right mix of skills, passion for the NGO vision, with time to participate – and all without pay. Board members sometimes want to be too involved and try to micromanage the NGO's decision-making. Determining the board's role is complicated and sometimes very contentious. Finally, dealing with disruptive members is challenging, especially if the person has close ties to donors.

“There are a lot of questions you have to ask. What is the role of the board – executive or advisory? Should the NGO executive director serve on the board and what action should be taken if donors want to serve on the board? How should members of the board be selected and what skill sets are needed?”

## Recommendations for NGOs

- **Review resources on board role and development** (see box, page 15).
- **Develop a board constitution and manual.** Conduct an official orientation for new members.

- **Identify clear and complementary roles among the board members and, if membership is sufficient, create specialized sub-committees.** For example, strategic planning or strengthening financial systems.
- **Conduct annual evaluations of the board and make changes as needed.**
- **Arrange for regular retreats with senior management and the board.** Use these retreats to assess the board's performance, re-examine its role and iron out problems.
- **Ensure that board members have limited terms as prescribed by their constitution.** This can help keep the board composition relevant.

#### **Recommendations for INGOs**

- **Share best practices on effective boards of directors.** Share your organizational experiences and insights and encourage new organizations to promptly establish and/or strengthen a board. Provide facilitation and technical assistance when possible.

#### **Recommendations for Donors**

- **Familiarize yourself with governing structures of local NGOs and review their board composition.** An effective and efficient board is critical to the health of an organization and to sound financial management and accountability. Your interest in the board, particularly of new organizations, will reinforce board development as a priority.

## **Maintaining Focus and Planning for Growth**

### **NGOs Are Challenged to Find Time to Focus on Long-term Planning**

Early in their development, NGOs are focused on standing up operational systems and delivering on their initial commitments. At times, passion for their mission seems sufficient as a driving force and taking time out to provide strategic direction can feel like detracting from serving their beneficiaries. On the other hand, NGOs in later stages of development with a solid funding base may not feel the urgency to consider their future plans. However, without a clear strategic focus, as funding shifts, those same NGOs may find themselves rudderless. Further, with a lack of organization-wide focus, individual units of a larger NGO may head into territory that strays from the organizations' strengths.

### **NGOs May Be Challenged in Managing Their Growth**

At times organizations grow too quickly and at other times, not quickly enough. Local NGOs may grow too fast when they accept work that stresses their systems and staff, either in terms of the absolute amount of work or if they accept work outside of their mission and expertise. This may lead to overpromising and under-delivering that consequently affects their reputation. On the other hand, an NGO that has some initial success and is comfortably funded and performing well, may not look for what's next. Then, when foundational projects end, they may find themselves suddenly on rocky shores.

### Recommendations for the NGO

- **Develop a strategic plan and organizational vision early in your organization’s development.** The strategic plan should serve as a point of reference for your organization and shape decisions about the projects and types of funding you will accept. The strategic plan defines the technical focus, for example, social marketing or SBCC, and specific content areas such as reproductive health. Develop your mission and vision at start-up and the strategic plan within the first two to three years. This plan will guide and enhance future decision-making as your organization grows and expands.
- **Establish an expertise in a specific area.** For example, SBCC or family planning, before branching into an array of technical fields.
- **Do not take on projects without staff and expertise to carry them out successfully.** Most critical is, *“to complete projects well so you can solidify your reputation and ‘brand’ as a competent, reliable and responsive organization.”*

### Recommendations for the INGO

- **Share your organization’s experience and expertise with local NGOs on developing a strategic plan.** Provide examples, guidance and, if possible, donate technical assistance/facilitation for the development of their strategic plan.

### Recommendations for the Donor

- **Familiarize yourself with local NGOs strategic plans.** Engage in open discussions with them about how donor priorities align with their plans.

#### How Closely Should NGOs Stick to Their Strategic Plan?

Should NGOs go after contracts outside their focus? Each NGO needs to make its own decision. Sometimes, there are few options as in Africa in the 1990s when most donor projects focused on HIV prevention. Now, many NGOs are involved in malaria prevention and treatment. Basic principles of SBCC and social marketing remain the same, but NGOs have had to develop new content expertise and new partners in response to changing and evolving challenges and funding priorities. For example, an NGO in Tanzania decided to work in a new area – incorporating economic empowerment for youth – to respond to requests and needs of its constituents, not donors. In Bangladesh, an NGO took on a project working with the Bangladesh Electoral Commission to strengthen its ties with the government. Similarly, a South African NGO is doing a project on alcoholism at the request of the government.



#### ADDITIONAL RESOURCES

- **Developing a Strategic Plan:**  
[https://www.k4health.org/sites/default/files/Developin\\_a\\_strategic\\_plan.pdf](https://www.k4health.org/sites/default/files/Developin_a_strategic_plan.pdf)

## **Funding Gaps and Resource Mobilization**

### **Securing Funds and Winning Contracts Is a Constant Challenge**

Every start-up has to find support for initial activities before it has proven itself to donors and local partners. INGO-affiliated NGOs face the critical hurdle of winning their first contracts on their own without the management of the founding INGO. All organizations experience ongoing problems such as changing donor priorities, vacillations in availability of funds and ongoing competition from other organizations.

### **Many NGOs Lack Experience in Preparing Technical or Financial Components of a Proposal**

Donors have different formats, requirements and expectations. What works with one donor may not work with another. Thus, NGOs with expert technical skills lose contracts because they cannot write strong proposals. Too often NGOs never get any feedback about why they lost a grant and do not learn from experience.

### **NGOs Need Unrestricted Funds or “Seed Money” to Strengthen Staff Capacity, Build Organizational Systems and Develop Expertise in New Areas**

Seed money is particularly critical for young NGOs who are struggling to establish their own systems. Few donors provide this kind of funding which limits NGOs’ growth and limits innovation.

### **INGO-Affiliated NGOs Face the Problem of Historically Low Overhead Rates**

These rates were set by the INGOs and often were tied to support from headquarters to maintain the local office. When the NGO legally establishes itself as an independent organization, donors expect that it will keep the same overhead rate. This means that local NGOs have a limited overhead rate, just when they need general funds the most. NGOs need to establish their own negotiated indirect cost rate agreement (NICRA), usually by hiring an accounting house to do an audit and calculate the NICRA.

### **Government and Donor Funding Fluctuates Regularly, Leaving NGOs at Risk**

NGOs relying on one major donor are particularly vulnerable. Organizations dedicated to specific content areas face funding shortfalls if donors channel resources to other areas. Beginning in the 1990s, for example, funds for family planning were directed to HIV prevention and treatment. NGOs working in social marketing run into problems if/when subsidies for condoms and other products are cut, reducing the chances of making a profit, particularly on commodities marketed for the very poor.

#### **Mobilizing Resources**

NGOs have developed various ways to mobilize resources. NGOs in Nigeria and Bangladesh regularly facilitate SBCC workshops, charging tuition to make a small profit. Other organizations have rented out office and warehouse space or invested in stocks and for-profit development activities. One NGO in Tanzania places advertising for solar companies in their media platforms in exchange for solar lamps which are then given away as awards during television and magazine competitions.

### Recommendations for the NGO

- **Ask donors for feedback on grant proposals *after* the project has been awarded.** Whether you win or lose the award, feedback is critical.
- **Take advantage of free or low cost resources for resource mobilization and grant writing** (see box, page 22).
- **Consider whether establishing a NICRA would be appropriate for your organization.**
- **Finding advocates is crucial.** NGO champions can open doors and create opportunities for your organization.

*“Influential people who are not donors can help NGOs through their connections. You need to know them.”*

### Recommendations for the INGO

- **Help NGOs establish their own NICRAs so they can charge an overhead rate appropriate for their financial profile.**
- **Provide training and mentorship for proposal writing just as you do for project management and implementation.** No NGO can succeed without these skills.

### Recommendations for the Donor

- **Take into account that start-up NGOs are still learning to write grants.** When reviewing proposals, remember that they may have great ideas but lose out because of small technicalities in the application format or structure. If possible, simplify (or offer assistance in) the grant application process when newly founded NGOs apply for support.
- **Provide feedback to NGOs on their proposals after the project has been awarded.** Although time-consuming, this exercise is the best way for NGOs to improve.
- **Recognize that functioning local NGOs are the key to sustainable development.** Advocate for seed money to start-up NGOs and to reduce restrictions on project funds.



#### ADDITIONAL RESOURCES

- **Best Practices Guide for Indirect Costing:** A Mandatory Reference for ADS Chapter 300: <https://www.usaid.gov/sites/default/files/documents/1868/300mah.pdf>

## Reporting, Accountability and Documentation

### Participating NGOs Highlighted Several Problems with Reporting, Documentation and Accountability

A major challenge is complying with the different requirements among donors for financial and project management including report formats, rules about paying NGO staff, reimbursing government employees, paying per diems and so on. This problem is particularly acute for NGOs with multiple donor

projects. To be in compliance, one larger NGO reported hiring a separate team to manage each donor project, an option not open to smaller NGOs.

Documentation of project activities and reporting to donors help NGOs highlight their successes and attract new funds. Documenting success also buoys staff morale and commitment, but both reporting and documentation are difficult. Like proposal writing, report writing is a skill to be learned over time. Employees struggle to synthesize data and extract the most meaningful findings and project outcomes, especially if they are writing without templates and examples. As noted above, few NGOs have enough overhead to cover staff time to write up success stories or prepare papers for presentation/publication.

### What Is Accountability?

Accountability means organizations accept responsibility for their actions and for their commitments. It ranges from complying with regulations, to managing funds responsibly, to maintaining accurate records of project activities. Above all, accountability means transparency about decision-making and systems. Without accountability, NGOs cannot earn and sustain the trust of donors, stakeholders or clients.

### NGOs Struggle with Project Monitoring and Evaluation and May Lack Data to Prove Success

Small NGOs often cannot afford to hire a dedicated M&E specialist and may not have any employees with M&E experience. They run into trouble developing realistic and measurable objectives and indicators on their own as well as negotiating measurements with donors.

Donors, particularly those new to the country, can have unrealistic project expectations and inappropriate or unrealistic evaluation indicators. Sometimes indicators are developed in headquarters without “ground reality.” Inflexible indicators limit innovative approaches. Many donors will not revisit and revise project approaches and indicators even when they are clearly inappropriate.

Especially for SBCC evaluation, indicators often focus only on numbers without a larger vision of success. For example, an NGO described how one project had an indicator for the number of club memberships, defined as at least nine members attending at least two meetings. While many members attended meetings, the NGO did not meet its target because they could not find a large free meeting space and met instead in groups of four.

“It is hard to find the time to document our own successes and lessons learned since funders want us to charge every minute of staff time to the project deliverables and not to non-project related activities. Funders don’t provide ‘think time.’”

“The funding model doesn’t allow for impact early in the project and for qualitative indicators. Reporting is tilted more towards metric and not meaning. The forest gets lost for the trees.”

### Recommendations for the NGO

→ Invest in quality documentation at the beginning of the project cycle.

- **Consider hiring outside consultants for M&E and report writing**, if staff does not have the necessary skills.
- **If in the implementation of an Organizational Capacity Assessment (OCA) your organization identified weaknesses in accountability, reporting or documentation**, take action and seek out technical assistance. It is critical to prioritize those weaknesses that run the risk of non-compliance with funders. For those issues that do not compromise compliance, look at the most do-able actions that can be taken given the availability of time and resources. Ask other organizations how they have dealt with similar issues and explore low cost solutions.

#### **Recommendations for the INGO**

- **Review your documentation and systems requirements.** See if it is possible to reduce the heavy burden of reporting for NGOs or, if not, provide them with guidance and assistance in these activities.
- **Support NGOs to address OCA findings**, particularly in accountability, reporting and documentation.

#### **Recommendations for the Donor**

- **Discuss monitoring indicators with NGOs very early on in the project** and consider revising them mid-project if necessary.

## SECTION IV: SUMMARY

Global health and development initiatives are most likely to succeed and be sustainable when they can rely on empowered and capable civil societies. Local NGOs' access to and credibility within their communities uniquely positions them to reach and influence the people in most need of development efforts. Moreover, their location and ongoing commitment to the communities they serve ensures valuable continuity of relationships and programs in an ever-shifting donor and INGO landscape. The presence of strong local NGOs also ensures that national and international donors have reliable, effective and knowledgeable partners available on the ground.

This holds true for local NGOs working in the critical fields of SBCC and social marketing. SBCC and social marketing integrate across global health and development priorities to promote behavior change at the individual and community levels and reinforce positive and health promoting social norms. SBCC and social marketing also integrate with service delivery initiatives to drive demand for services, improve service quality and increase adherence and follow up to services. Thus, high performing NGOs working in the SBCC and social marketing sector are an invaluable resource to global and national initiatives. It is critical to find ways to support their growth and sustainability.

This guidance document that arose from the **Expert Consultation on High Performing SBCC and Social Marketing Organizations** contributes to that goal. While it is not an exhaustive document, it represents some of the current thinking of a group of high-performing local SBCC and social marketing NGOs, and the INGOs and donor representatives that work with them, on how to best support these local NGOs.

## APPENDIX A: WHO ATTENDED THE EXPERT CONSULTATION?

Representatives from 11 local organizations, eight INGOs and USAID attended all or part of the four-day Expert Consultation. The local organizations invited were selected by the HC3 organizing committee, which included the Johns Hopkins Center for Communication Programs (CCP), Population Services International (PSI) and USAID.

The organizing committee sought a balance of local organizations that would: (1) represent multiple geographic locations in Africa, Asia and Latin America; (2) vary in size and longevity and (3) include both local organizations that arose independently and those that were founded by INGO partners. In addition, all local organizations invited were regarded as high-performing NGOs within the SBCC and social marketing community and met most or all of the following criteria:

- Specialize in or have a significant portion of their work focused on social and behavior change communication and/or social marketing.
- Are regularly sought out as partners on national or regional projects by INGOs
- Are regularly sought out by their respective host country governments and donors for their expertise on SBCC or social marketing
- Have built the capacity of other local SBCC or social marketing partners.
- Have received and successfully managed and reported on direct funding from an international donor.

All the invited local NGOs accepted and were represented by their current Executive Director. Given funding constraints, HC3 was not able to include additional local organizations or organizations from non-English speaking countries. While the consultation was relatively small, it was characterized by active participation from both donors and INGOs with the conversation primarily driven by the local NGO participants.

### International non-governmental organizations (INGOs) in attendance:

- CCP
- PSI
- MSH
- FHI360
- PACT
- Grassroot Soccer
- IPPF
- Save the Children

## APPENDIX B: NGO PROFILES

### PROMUNDO

#### Organization Lead: Gary Barker, PhD, President and CEO

Founded in Brazil in 1997, Promundo works to promote gender justice and prevent violence by engaging men and boys in partnership with women and girls. Promundo's work – including high-impact research, evidence-based programming and targeted advocacy efforts – seeks to transform inequitable gender relations and promote nonviolent and caring definitions of manhood in order to improve the lives of men, women, and children. The organization operates in collaboration with local partners in more than 25 countries and has independently registered non-profit organizations in the U.S., Portugal and the Democratic Republic of Congo.



#### Significant Moment:

*Promundo is founder and global co-coordinator of the MenCare Campaign, an initiative to promote men's engagement in caregiving and in maternal health that includes media materials, evidence-based program tools and global and national-level advocacy. Launched in 2011, the campaign is active in more than 40 countries. The MenCare+ program is a three-year, four-country collaboration between Promundo and Rutgers and was created to engage men ages 15-35 as partners in maternal, newborn and child health and in sexual and reproductive health and rights. Supported by the Ministry of Foreign Affairs of the Netherlands and implemented by Promundo, Rutgers and partner organizations in Brazil, Indonesia, Rwanda and South Africa, MenCare+ in Brazil (2013-2015) – locally known as +Pai – has reached over 75,000 people. A highlight of MenCare+ is when legislation approved in 2016 by the Brazilian congress allowed for an expansion of paternity leave, which quadrupled from five to 20 days.*

**Website:** <http://promundoglobal.org/>

## POPULATION SERVICES KHMER (PSK)

**Organization Lead: Socheat Chi, Executive Director**

**Population Services Khmer (PSK)**, a member of the Population Services International (PSI) global network, is an independent non-governmental organization that works to improve the health of low-income and vulnerable Cambodians through social marketing and SBCC. PSK operates with a staff of 158 in 22



provinces and manages programs across four main health areas: reproductive health/family planning, malaria, HIV/AIDS and child survival. The organization uses social marketing for products and implements SBCC through IPC agents, social media and other communication activities. PSK also supports behavior change among private providers by helping them encourage more of their clients to adopt safe and government-recommended products as well as improving their counseling skills.

### **Significant Moment:**

*The day that we launched our first strategic plan is a standout moment for all PSK staff. We were proud to introduce ourselves to stakeholders as a lead organization in Cambodia with unique expertise in social marketing. Working with the private sector, we have implemented different projects focusing on behavior change and we have contributed to health impact and the improved health of all Cambodians.*

**Website:** <http://www.psk.org.kh/>

## **SOCIETY FOR FAMILY HEALTH NIGERIA**

**Organization Lead: Bright Ekweremadu, Managing Director**

**Society for Family Health (SFH) Nigeria** is an indigenous non-governmental organization that was registered nationally in 1985. SFH has worked closely with Population Services International (PSI) since its inception and currently has more than 400 full-time employees. SFH works with private and public sectors and uses SBCC to improve access to essential health information, services and products and motivate audiences to adopt healthy behaviors around five key health areas: malaria, HIV and AIDS, maternal and child health, family planning/reproductive health and water sanitation and hygiene.



### **Significant Moment:**

*One significant moment or event in the organization that stands out for me was SFH becoming the first Nigerian organization to receive direct funding from the USG in June 2005. An assessment was done by USAID and SFH won a subsequent award through a competitive bid for a social marketing project. This is significant to SFH because it gave other donors the confidence to award contracts and grants to SFH and today we have well over four international donors awarding contracts and grants to SFH mostly through international competitive bidding.*

**Website:** <http://www.sfhigeria.org/>

## CENTER FOR COMMUNICATION PROGRAMS NIGERIA

### Organization Lead: Babafunke Fagbemi, Executive Director

**Center for Communication Programs Nigeria (CCPN)** is a non-governmental organization that was established by the Johns Hopkins Center for Communication Programs (CCP) and incorporated by the Nigeria Corporate Affairs Commission in 2001.



CCPN has more than 20 employees and primarily focuses on building SBCC capacity both at the regional and national levels. Since 2008, CCPN has planned and facilitated an annual Leadership in Strategic Health Communication (LSHC) workshop for both Nigerian and international SBCC practitioners. The organization also provides technical support to a variety of SBCC projects and initiatives that address issues around thematic areas of health and social development.

### Significant Moment:

*A significant moment in CCPN's history was the launch of Newman Street, a 26-episode entertainment education serial drama that employs SBCC to address issues around malaria and family planning. CCPN worked with Nollywood to create the serial drama, which was the first of its kind to be featured in Nigeria's popular television and film sector. Another important aspect of the project was the collaboration and support from a range of donors, including UK Aid, the Gates Foundation, USAID and UNFPA. CCPN, in conjunction with its Nollywood partner, retains full rights to the Newman Street drama, which has been used as a vehicle for other health communication products such as social media platforms and music videos.*

**Website:** <http://ccpnigeria.org/>

## FEMINA HIP

**Organization Lead: Minou Fuglesang, Founder and Executive Director**

**Femina Hip** is a non-governmental organization and media platform in Tanzania that was founded in 1999 in response to the HIV and AIDS epidemic. The organization was established to educate and empower young women and men around sexuality, reproduction, gender equality and citizen rights. Today, the focus of Femina Hip has expanded to address entrepreneurship, financial literacy, job start-ups and livelihoods. The organization's media initiative uses a mix of magazines, television, radio and social media platforms and reaches approximately 10 million people each year. Femina Hip also operates a large community outreach program and supports Fema Clubs that operate principally in secondary schools across the country. Femina Hip also organizes learning events, festivals, awards and Fema Club alumni volunteer networks for 'femina family' members.



### **Significant Moment:**

*We increasingly see our Fema Clubs across the country taking initiative and organizing events in the regions. During the 2015 election year, the Federation of Fema Clubs in Mwanza set up a joint learning event for 80 schools, 67 of which have Fema Clubs. The aim was to educate youth on civil rights issues. The theme, 'Youth and Community Development - Yes we can....!' was inspired by the Fema agenda, transmitted through our Fema magazine and education pack for secondary schools, and our strong message agenda and storytelling around SRHR and economic empowerment. The students developed a program and coordinated the event. They also raised funds to support the event. The only support they requested from Femina Hip was for a team member to attend the event as an honorary guest. The event was a huge success and sparked continuous collaboration among the 'regional youth network'. For us, this was evidence that the Fema Clubs are empowering youth to take action and that the Femina Family Lifestyle movement has become a reality. This fills a 'gap' as there is no centralized organizing of national youth in Tanzania.*

**Website:** <http://www.feminahip.or.tz/>

**Facebook:** <https://www.facebook.com/FeminaHIP1999/>

## CENTER FOR COMMUNITY HEALTH RESEARCH DEVELOPMENT

**Organization Lead: Nguyen Thi Mai Huong, Director and Founder**

**The Center for Community Health Research and Development (CCRD)** is a Vietnamese non-governmental organization that

specializes in health and development research and communication programs nationally. CCRD was established in 2002 and currently has more than 20 employees. The

organization's areas of expertise include health and development communication, research and evaluation, capacity building and training and SBCC. CCRD began working in the area of SBCC in 2004 from a small consultancy with the Johns Hopkins Center for Communication Programs (CCP). CCRD continues to provide technical assistance in SBCC to programs that address issues such as reproductive health and safe motherhood and primary health care.



### **Significant Moment:**

*In 2014, CCRD was the first non-state institution in Vietnam to receive the Prime Minister's approval for accepting an ODA grant from USAID. This event was not only significant for CCRD but for the non-state sector, especially CSOs in the country. In the past, only State agencies were eligible to receive Office of Development Assistance (ODA) funding. In order to receive the Government's approval, CCRD had to make a direct appeal to the Prime Minister, which is also a very unusual case.*

**Website:** <http://www.ccrd.org.vn/en>

## PS KENYA

**Organization Lead: Anthony Okoth, Executive Director**



**PSI Kenya** was established in 1990 by parent company Population Services International (PSI) and became an independent entity in 2014.

The organization is now referred to as PS Kenya and has approximately 250 employees and seven offices across the country. PS Kenya mainly began as an opportunity to address family planning (FP) gaps with social marketing by ensuring access and availability of commodities were increased and distributed within retail channels. After learning that access and availability were not the only barriers to family planning uptake, SBCC was introduced to address related myths and misconceptions. Today, PS Kenya works to address family planning and other health areas such as HIV and AIDS and, through a social franchise, collaborates with private health care facilities to deliver primary health care to low-income and vulnerable populations.

**Website: <http://www.pskkenya.org/>**

## SOUL CITY INSTITUTE FOR HEALTH AND DEVELOPMENT

**Organization Lead: Lebogang Ramafoko, Executive Director**



**Soul City Institute for Health and Development** was established in 1992 and was initially a project of the Institute of Primary Health Care, an innovative primary health care clinic in the township of Alexandra. The organization started as a prevention and health promotion project focused on preventable illnesses such as child diarrhea. Over the years, Soul City has developed award-winning television series and supported a range of social and behavior change communication (SBCC) programs focused on issues such as HIV and AIDS, alcohol abuse and children's financial literacy. The organization is based in Johannesburg and has approximately 80 employees. It is primarily focused on promoting social justice for young women and girls and the communities in which they live. Soul City provides technical support to a variety of programs across South Africa, including the Rise Young Women's Clubs, a social mobilization campaign that was developed in response to the country's goal to empower and reduce HIV infection among young women ages 15 -24.

### **Significant Moment:**

*There have been many defining moments that stand out for Soul City. For the purpose of this meeting, the beginning of the regional project, where Soul City worked with nine countries in a capacity building role to help establish credible and independent SBCC organizations, stands out. Soul City took a deliberate decision not to open Soul City offices in the region but work with various entities to develop local (South Based) organizations and share its expertise to help them become strong SBCC organizations.*

**Website:** <http://www.soulcity.org.za/>

## **PULSE EXPERIENTIAL**

**Organization Lead: Frederick Rariewa, Chief Executive Officer**

**PULSE Experiential** is a private Kenya-based marketing and advertising agency that operates across East Africa, including Kenya, Uganda, Tanzania and Ethiopia. The organization, which was established in 2004, focuses on social and health issues related to women and youth. PULSE also provides quality technical assistance and capacity strengthening of individuals through its executive coaching program, Pulse Academy. Pulse Academy is modeled on an executive MBA course, which focuses on leadership and communication, marketing and research, operations and finance and social marketing. The organization reaches about one million people each year through its work with non-governmental and private sector organizations. PULSE plans to expand its operations to Ghana in 2017.



**Website:** <https://www.linkedin.com/company/pulse-experiential-ltd>

## BANGLADESH CENTRE FOR COMMUNICATION PROGRAMS

**Organization Lead: Mohammad Shahjahan, Director and Chief Executive Officer**

**Bangladesh Centre for Communication Programs (BCCP)** is an independent non-governmental organization that was originally established in 1996 by the Johns Hopkins Center for Communication Programs (CCP). BCCP designs, manages and implements large scale strategic communication programs addressing a range of issues such as education, agriculture, democracy and governance and health. BCCP has worked with the Government of Bangladesh, NGOs and public and private sector agencies. The organization has more than 100 employees and operates primarily in Bangladesh but has also worked in other countries within South Asia.



### **Significant Moment:**

*BCCP has been recognized many times by the local government and stakeholders for its operational effectiveness, which for the organization, means every activity or deliverable is delivered on time, at a high quality and for an appropriate price. In 2013, BCCP received the Business Initiative Development's Century International Quality ERA (Gold) Award for its integrity, quality, innovation and leadership. This award was special because it was the first time the organization received recognition from stakeholders outside of Bangladesh.*

**Website:** <http://www.bangladesh-ccp.org/>

## UGANDA HEALTH MARKETING GROUP

**Organization Lead: Joyce Tamale, Managing Director**

**Uganda Health Marketing Group (UHMG)** was established in 2006 as part of the AFFORD Health Marketing Initiative, which was funded by USAID and implemented by the Johns Hopkins Center for Communication Programs (CCP). UHMG was created out of the need to continue to scale up health marketing approaches in the delivery of health care services and products to Ugandans. The organization currently manages activities in about 130 districts across the country and aims to increase access to, knowledge and correct use of health products and services for integrated reproductive health, HIV, malaria, and maternal and child health. UHMG also supports supply chain management and warehousing and distribution of health products.



### **Significant Moment:**

*UHMG has had a few significant moments. Within nine and half years, the organization has been able to pay 90% of the mortgage for its office building and currently rents some of the space to other businesses and organizations. Another significant moment was the finalization of the 2019 UHMG Forward Strategic Plan, which guides the organization in integrated health and non-communicable diseases programming. Additionally, UHMG is one of only a few local organizations with an ISO-certified warehouse, which made them highly competitive in a recent supply-chain proposal bid. Finally, in 2015, UHMG received the Best Social Marketing award by AfriComNet for its Protector Condom Brand Promotion.*

**Website:** <http://www.uhmg.org/>

## APPENDIX C: RESOURCES

**Board of Directors:** <http://ctb.ku.edu/en/table-of-contents/structure/organizational-structure/board-of-directors/main>

**Financial Management/organizational systems:**

→ **Mango:** <http://www.mango.org.uk/freeresources>

→ **Lingos:** <http://lingos.org/for-anyone/>

→ **InsideNGO:** <https://insidengo.org/>

**Global Health E-learning:** <https://www.globalhealthlearning.org/>

**HC3 Capacity Ecosystem:** <http://healthcommcapacity.org/sbcc-capacity-ecosystem/>

**HC3 How to Guides:** <http://www.thehealthcompass.org/how-to-guides>

**Health COMPass:** <http://www.thehealthcompass.org/>

**International SBCC Summit:** <http://www.sbccsummit.org>

**Knowledge for Health:** <https://www.k4health.org/>

**NICRA:** <https://www.usaid.gov/sites/default/files/documents/1868/300mah.pdf>

**Online courses:** <http://www.thehealthcompass.org/sbcc-tools/sbcc-online-courses>

**Organizational Capacity Assessment:**

→ <http://www.thehealthcompass.org/sbcc-tools/progressbcc-tool>

→ <https://usaidealarninglab.org/library/organizational-capacity-assessment>

**Quality Assurance Tool:** <http://healthcommcapacity.org/qa-in-sbcc/>

**Resource Mobilization Implementation Kit:** <http://healthcommcapacity.org/hc3resources/resource-mobilization-ikit/>

**Saving Lives at Birth:** <https://savinglivesatbirth.net/>

**SBCC Capacity Assessment:**

→ <http://www.thehealthcompass.org/sbcc-tools/sbcc-mapping-tool-assessment>

→ <http://www.thehealthcompass.org/sbcc-tools/sbcc-capacity-assessment-tools>

**Springboard for Health Communication:** <https://healthcomspringboard.org/>

**Stakeholders:**

→ <http://www.thehealthcompass.org/sbcc-tools/stakeholder-mapping-tool>

→ <http://www.thehealthcompass.org/sbcc-tools/template-stakeholder-engagement-plan>

→ <http://www.thehealthcompass.org/sbcc-tools/stakeholder-analysis-matrix>

- <http://www.thehealthcompass.org/sbcc-tools/frp-guide-stakeholder-engagement>
- <http://www.thehealthcompass.org/sbcc-tools/internal-stakeholder-engagement-workshop-toolkit>.

**Strategic Plan:** [https://www.k4health.org/sites/default/files/Developin\\_a\\_strategic\\_plan.pdf](https://www.k4health.org/sites/default/files/Developin_a_strategic_plan.pdf)

**SWOT Analysis:** [www.free-management-ebooks.com/dldebk-pdf/fme-swot-analysis.pdf](http://www.free-management-ebooks.com/dldebk-pdf/fme-swot-analysis.pdf)

**Succession Planning:**

- [http://www.exec.gov.nl.ca/exec/hrs/publications/succession\\_planning\\_and\\_management\\_guide.pdf](http://www.exec.gov.nl.ca/exec/hrs/publications/succession_planning_and_management_guide.pdf)
- <http://www.npi-connect.net/od-toolkit>

**Working with USAID:** <https://www.usaid.gov/partnerships>

**Writing Resources:**

- <http://www.wwiixl.com/ela/grade-12>
- <http://www.englishleap.com/exercises>
- [http://www.english-4u.de/grammar\\_exercises.htm](http://www.english-4u.de/grammar_exercises.htm)
- <http://a4esl.org/a/g.html>
- <http://a4esl.org/q/j/ck/ed-caps.html>
- <https://owl.english.purdue.edu/owl/>