
Social Marketing Organizational Development Assessment Tool



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About SHOPS Plus: Sustaining Health Outcomes through the Private Sector (SHOPS) Plus is USAID's flagship initiative in private sector health. The project seeks to harness the full potential of the private sector and catalyze public-private engagement to improve health outcomes in family planning, HIV/AIDS, maternal and child health, and other health areas. SHOPS Plus supports the achievement of US government priorities, including ending preventable child and maternal deaths, an AIDS-free generation, and FP2020. The project improves the equity and quality of the total health system, accelerating progress toward universal health coverage.



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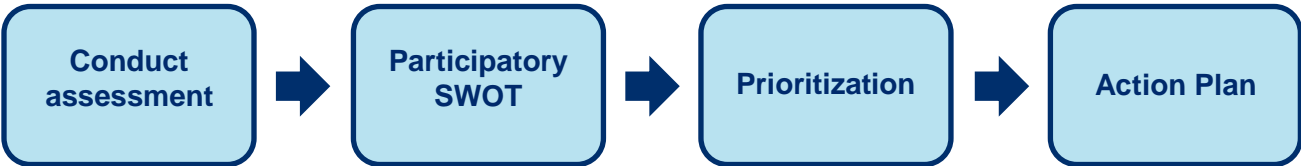
Introduction

At the outset of Sustaining Health Outcomes through the Private Sector (SHOPS) Plus technical assistance program with CRS Company (the national Nepali social marketing organization), USAID Nepal suggested that project use a monitoring tool to measure the progress CRS made as an organization. The SHOPS Plus team developed this tool to capture a broad range of performance indicators for a social marketing organization and one which fit with the results framework to improve the organization technically, financially, and institutionally. The team reviewed several organizational development tools and decided to measure the current state of the social marketing organization against an ideal standard as defined by a panel of social marketing experts. The result is this assessment tool.

The Social Marketing Organizational Development Tool scoring system was designed to be as objective as possible. The score reflects the degree to which the social marketing organization is currently meeting the standard, whereby 0 means it does not meet the standard at all, 1 means it is partly meeting the standard, 2 means it is mostly meeting the standard, and 3 means it fully meets the standard. In all areas, the evaluation team refers to documentation or organization records to justify the scores. To ensure that the scores are more meaningful and focus attention on the most important areas, the criteria are weighted according to their importance. The weights are 150% for mission critical criteria, 125% for significant criteria and 100% for aspirational criteria.

SHOPS Plus’s vision for using the Social Marketing Organizational Development Tool is that staff of social marketing organization choose to use it for their own internal assessments to guide strategic planning. To be of the greatest benefit, the same standards should be used for three to five years, after which the organization can define a higher set of standards and measure progress against those standards for another three to five year period. Being able to quantitatively show progress on a wide range of areas helps provide focus and accountability for both the social marketing organization and the one providing technical assistance.

Process



1. Technical	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
1.1 Quality										
Product Quality Assurance										
a. The SMO procures commodities from prequalified vendors using GMP, ISO, or higher standards.	Commodity procurement records.									
b. The SMO collects and files documents pertaining to quality checks and assurance on each lot that it procures that would allow it to track lots in the event of a recall.	Quality documents on file. Lab results for testing of different lots. Sales invoices.									
c. The SMO has established standard operating procedures for safe handling and packaging of products to ensure product quality and integrity.	Staff interviews. Procedures manual. Observations to see if procedures are followed.									
d. The SMO has established procedures for product storage and transport to maintain quality which align with national (or other) quality standards.	Product storage and transport procedures. Procedures manual and site inspection to see if procedures are followed.									
e. The SMO promotes quality storage and handling procedures to its wholesalers, distributors and retailers, including management of expired or damaged product.	Reports of meetings with wholesalers and distributors. Outlet training materials. Distribution agreements. Staff interviews.									

1. Technical	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
f. The SMO requires its suppliers to submit products for pre-shipment testing and to contractually require defective lots to be replaced. The SMO requires the suppliers use quality assurance labs certified by ISO, WHO, national, or similar entity.	Policy on pre-shipment testing. Last 6 months of records. Lab testing results from qualified labs.									
g. The SMO has policies for proper storage and disposal of expired and damaged pharmaceuticals	Review policies and compare with national standards. Documentation of destruction of expired products.									
1.2 4P's of Marketing										
Product										
a. The SMO has a process for identifying new product opportunities and rationalizing current product portfolio. The SMO puts these processes into development which considers health need and gender considerations, market demand and profit or funding opportunities.	Staff interviews. Procedure manuals. Examples of recently developed products.									
b. The SMO has in-house capacity to procure products with qualities and features desired by its customers on local and international markets.	Staff interviews. Procedure manuals. Examples of recently developed products.									

1. Technical	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
c. The SMO has developed a strong brand identity for its products that is viewed positively by its consumers.	Retailer interviews. Brand perception research. Customer interviews.									
d. The SMO periodically assesses consumer perceptions of its products and strategically manages product positioning and image.	Retail outlet surveys. Brand perception surveys. Post campaign surveys. Marketing plans.									
Price										
e. The SMO adjusts its prices –at least once every two years.	Project reports. Financial records.									
f. The SMO considers consumer willingness or ability to pay, trade margins, competition and inflation, gender differences and SMO sustainability objectives when considering price adjustments.	Marketing plans. Staff interviews.									
Place										
g. The SMO monitors cost per product distributed and adopts strategies to reduce distribution costs	Internal project reports. Financial analyses. Marketing plans. Staff interviews.									
h. The SMO monitors product availability through retail outlet surveys and analyzes by area or channel and this information is used to develop distribution strategies.	Retail outlet surveys. MIS data and analysis. Staff interviews.									

1. Technical	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
i. The SMO uses both indirect selling through distributors and wholesalers and its own salesforce to balance efficiency with targeted selling.	Staff interviews. Sales invoices. MIS reports.									
j. The SMO uses monitoring and management tools to supervise and incentivize its sales force.	Supervisory tools. Sales call sheets. Sales incentive plan. Staff interviews. Sales management reports.									
k. The SMO has distribution and promotional staff that reach at least 70% of the urban population.	Project reports. Organogram. Field office reports. Distribution/sales reports.									
l. The SMO has specific projects, processes or activities to reach underserved areas (e.g., urban slums or rural communities) that are not served by the commercial suppliers.	Project reports. Organogram. Field office reports. Distribution/sales reports.									
m. The SMO explores, tests, and evaluates partnership opportunities that could increase its distribution reach (e.g., with other NGO's, CBOs, government entities).	Staff interviews. Project reports. Partnership or distribution agreements.									1
Promotion										
n. The SMO uses research and data to define consumer segments and develops marketing strategies tailored to specific consumer segments.	Staff interviews. Research/market segmentation studies. Marketing plans.									

1. Technical	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
o. In promotion, the SMO targets underserved and marginalized consumer segments, including women.	Marketing plans. Staff interviews. Reach and recall surveys.									
p. The SMO uses an evidence-based marketing plan to guide both brand promotion communications and generic behavior change communications.	Staff interviews and marketing plans.									
q. The SMO clearly states its behavior change hypotheses and uses these hypotheses to guide marketing and monitoring efforts.	Staff interviews. Marketing plans. Research studies.									
r. The SMO makes effective use of research to measure exposure, understanding and retention of communications.	Staff interviews. Marketing plans. Research studies. Project reports.									
s. In planning mass media communications activities, the SMO uses exposure and behavioral research to assess estimated impact of communications to help them determine the duration and frequency of communications.	Staff interviews. Media plans. Advertising agency reports.									
t. The SMO uses consistent processes to develop communications products including creative briefs and pretesting.	Marketing plans. Creative briefs. Pretest reports.									

1. Technical	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
u. The SMO endeavors to use gender transformative language and never uses gender exploitative language in SBCC	SBCC materials. Staff interviews.									
v. The SMO considers cost effectiveness in selecting communications products and channels.	Mass media budgets. Marketing plans Staff interviews.									
w. The SMO consistently selects communications products and channels that reflect the preferences and behavior of the target consumer segments.	Marketing plans. Staff interviews. Research studies.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
2.1 Corporate Communications										
a. The SMO has a corporate communications strategy and budget	Staff interviews. Communication strategy and budget.									
b. The SMO executes the corporate communication strategy, supported by a workplan with clear deliverables	Workplan and budget. Interview communications staff. Interview at least 1 non-communications staff to verify that comm strategy is being followed.									
c. The SMO has project communication strategies and budgets independent of the corporate communications strategy	Project comm strategy docs and budgets.									
d. The SMO has a public relations strategy and budget	PR strategy and budget.									
e. The SMO executes the public relations strategy, supported by a workplan with clear deliverables	Interview communications staff. Include as a question during interview with senior management.									
f. The SMO is able to effectively manage activities such as branding, brand promotion either through in house staff or outside consultants.	Review website. Interview communications staff. Copy of contract with communications firm.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
g. The SMO has in place a communications officer who works with the different departments to execute the yearly communication work plan	Interview communications staff.									
h. The SMO has crisis corporate communication policy that lists out what the SMO should do in case there is any negative messages about the SMO.	Communications strategy.									
i. The SMO uses social media like Facebook, twitter etc. to enhance its image amongst the general public	Social media pages.									
j. All SMO communications strategies incorporate gender	Check for gender in communications strategies (corporate, PR, and project)									
2.2 Governance										
a. The BoD meets at least three times a year with a pre-determined agenda and a report of the meeting with documentation of decisions taken.	Meeting minutes.									
b. The BoD has a clearly defined mechanism to review and provide input to the SMO's direction and performance and the authority of the BOD is well defined in the governing documents.	BOD procedures. Meeting minutes. Interview with member of BoD. Interview with member of CRS executive staff. Statutes of the organization.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
c. The BoD has defined authority over key SMO strategies (e.g., price increases, hiring of key personnel, new product launches, investment in fixed assets, etc.)	Interview with member of BoD. Interview with member of CRS executive staff. Statutes of the organization. Review BoD notes for action items.									
d. The SMO has a defined process for recruiting, selecting and replacing BoD members.	Review strategy documents. Statutes of the organization. Interview CRS executive director (or whomever does BOD requirement)									
e. There is a clearly defined role of the BoD and external auditors or other controlling entities	Interview members of the board. Policies governing the BOD, external auditors, other controlling entities.									
f. The BoD reviews and addresses external factors including government support, donor relations, and political influences impacting the ability of the SMO to carry out its mission	Interview BOD members. BoD meeting minutes.									
g. The BoD has committees focused on particular governance issues (e.g., hiring, audit, marketing, etc.)	Review documentation on BOD committees. Interview BOD members.									
h. The BoD integrates gender issues into Board of Directors meetings	BOD members. Meeting minutes.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
i. The SMO has a written gender policy that affirms commitment to gender equity	Gender policy (if any).									
j. The BoD and other governing bodies include equal representation of women.	Membership rosters.									
2.3 Finance and Internal Controls										
a. The SMO has an external audit yearly and audit findings are addressed in six months or less.	Audit reports. Financial staff interviews.									
b. Sales staff are closely supervised and monitored to ensure sales data is accurate and is consistent with reported sales revenues.	Data quality assessment reports. Back up documentation for sales invoices. Sales supervisory reports.									
c. Handling of cash from sales revenues is minimized and is deposited directly into dedicated bank accounts or tracked separately using financial software.	Financial reports. Deposit slips.									
d. Detailed bank statements are received and preserved and monthly bank reconciliations are conducted in a timely manner.	Bank reconciliation reports.									
e. Cash disbursements are limited to small payments from a petty cash fund which is monitored closely and replenished no more than once a month.	Petty cash expense reports.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
f. Procedures for cash disbursements, check issuances and financial operations are well defined in an operating manual which is available to all staff, and understood and followed by all finance staff.	Financial operations manual. Staff interviews. Internal staff memos.									
g. The SMO uses financial software which uses a clear chart of accounts and a system for tracking expenses by source of funding and product.	Financial reports. Staff interviews.									
h. The SMO tracks all expenses against an annual budget for project and non-project expenses and management reviews budget vs. expenses reports at least quarterly.	Budget tracking reports. Staff interviews.									
i. The SMO has well documented policies for authorization of procurement and funds disbursements and these policies are followed consistently.	Financial operations manuals.									
j. The SMO's financial department monitors and updates cash flow forecasts, investment plans, accounts payable and accounts receivable and ensures senior management review at least quarterly.	Financial reports for treasury, cashflows, A/P tracking, A/R tracking. Staff interviews.									
k. The SMO has staff with experience in supply chain and capabilities in both procurement and logistics skills	JD and CV of staff. Staff interviews.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
l. The SMO rigorously uses competitive procurement procedures (RFP and request for quotes) with less than 5% of purchases made on a non-competitive basis that are above the threshold requiring competitive procurement.	Review of competitive procurement Financial reports. Staff interviews.									
m. The SMO has a system for prequalifying suppliers and for disqualifying suppliers who do not perform according to standard.	Financial operations manuals. Vendor reports.									
n. The SMO has clearly defined payment approval authority levels in place	Financial operations manual.									
2.4 Human Resources										
a. The SMO has a comprehensive HR policy manual covering compensation, recruitment, promotion, performance reviews, grievance management, job descriptions, orientation, leave, staff development, and code of conduct and the policies are communicated and enforced.	Review HR policy manual. Interview HR staff on policy communication and enforcement. Interview one non-HR staff for verification.									
b. The HR policies conform with local labor laws	Review HR policy and local labor laws.									
c. The Human Resource function has at least one full time Manager and a line item budget.	Review organogram and job description. Interview the Manager regarding their duties. Review HR budget.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
d. The SMO has anti-discrimination policies in both hiring and promotion	Review hiring and promotion policies. Interview HR staff and at least 2 managers who handle hiring and promotion.									
e. The SMO provides training to new staff on anti-discrimination and gender integration	Review training material. Staff interviews to confirm whether they received the training.									
f. Job descriptions include qualifications that enable both women and men from diverse ages and backgrounds to be eligible for the post in question; job descriptions also include gender awareness in criteria	Review job descriptions.									
g. Staff roles are clearly defined.	Job descriptions.									
h. The SMO is able to retain quality staff with little turnover.	Review staff roster for 5 year period. Interview HR staff.									
i. The SMO forecasts current and future HR demands.	Review any forecasting documents. Interview HR staff.									
j. The SMO is able to meet staffing needs in timely manner.	Interview HR staff and project staff. Job requisitions.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
k. The SMO has an appropriate system for selecting candidates	Documents outlining candidate selection process. Interview HR staff. Interview at least one project manager who has recently hired someone.									
l. Recruitment and selection material (ads, posting, interview questions) are free from discrimination	Recruitment and selection materials.									
m. Individuals in charge of selection appropriately trained to carry out this function.	Training materials. Interview individuals in charge of selection.									
n. The SMO offers comprehensive employee benefits	Benefits policy.									
o. The number, the qualification and structure of staff is aligned with the project goals and objectives.	Staffing list, organogram, project workplan, project proposal.									
p. The SMO has a system to record labor hours according to funding sources.	Review labor recording system.									
2.5 Asset Management/Investing										
a. The SMO has an up to date inventory of fixed assets which is updated whenever fixed assets are procured and which are controlled through an annual inspection and verification process.	Fixed asset list; Signed verifications of physical inspection of lists.									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
b. Consumable assets (e.g., office supplies) are procured competitively, secured and their consumption is monitored.	Site inspection. Consumable supplies stock records.									
c. Use of SMO vehicles is restricted and monitored through use of movement logs, or GPS trackers.	Vehicle use policy; Vehicle logs.									
d. Maintenance costs of vehicles and equipment is monitored and when maintenance costs are too high and condition of the fixed asset is degraded, the SMO follows systematic procedures for disposal of the assets.	Financial records. Vehicle repair and maintenance records.									
e. The SMO follows donor and government regulations for identification, transfer, sale or disposal of fixed assets.	Documentation of disposed or obsolete assets. Donor authorization to transfer or dispose of fixed assets.									
2.6 Contract – Legal Compliance										
a. The SMO has a person designated to ensure contract and legal compliance who has review over procurement, financial and HR practices and procedures. This person has systematic review of workplans, budgets, new hires and is consulted by management on compliance issues.	Job description Organogram									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
b. Senior Managers and the Contracts Compliance officer regularly receive training or technical updates on regulations and requirements of all donors that have active contracts with the SMO.	Internal memos; training reports.									
c. The SMO has a lawyer or legal advisor on retainer who can easily be engaged for technical advice or representation on legal matters.	Retainer agreement; Written legal opinions.									
d. The SMO has environmental compliance plans as required by contracts.	Written environmental compliance plan.									
e. The SMO has family planning compliance plans as required by contracts.	Written FP compliance plan.									
2.7 M&E										
a. The SMO routinely collects data on product sales and project activities that are well documented, analyzed and quality assured.	The SMO has established schedule (i.e., quarterly, bi annually) for data collection and follow it. DQA reports. M&E reports. Review M&E plans and reporting.									
b. The SMO has staff with the capacity to collect, analyze, QA monitoring data.	Job descriptions and staff qualifications									

2. Institutional	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
c. The SMO uses data collected to inform programming. It is reviewed by management to inform programming and strategy.	Staff interviews Marketing plans. Internal communications.									
d. The SMO disaggregates data by sex and uses this information to inform programming.	MIS and M&E reports. Marketing plans. Staff interviews.									
e. The SMO identifies relevant operational research issues and implements (or contracts) research to answer the research questions.	Staff interviews Research briefs or tenders. Marketing plans.									
f. The SMO has and uses the technical capacity to draft a technical Scope of Work, issue a request for proposals and evaluate technical proposals from research firms for qualitative and quantitative research studies.	Research tenders, SOWs. Job descriptions and staff qualifications.									
g. The SMO has and uses the capacity to analyze the results of other studies conducted on relevant issues in the country, including conducting secondary analyses of DHS data.	Marketing plans. Internal correspondence. Staff interviews.									
h. The SMO routinely articulates its behavior change hypotheses and then uses monitoring and research to test those hypotheses.	Marketing and communications plans. Strategy documents. Project workplans. Staff interviews.									

3. Financial	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
3.1 Performance										
a. The SMO spends according to program budget plans with + or – 5%	Budget tracking reports. Financial reports.									
b. The SMO has less than 2% write offs for stock losses and bad debt expenses.	A/R records and tracking reports. Inventory reports.									
c. The SMO exceeds targets for program income by 5% of greater.	Financial records. Budgets.									
d. The SMO has diversified sources of support with 3 or more donors and no one donor providing more than 50% of annual revenues.	Financial records. Project agreements.									
3.2 Cost Recovery										
a. The SMO sets targets for cost recovery	Strategy documents. Profit and Loss reports.									
b. The SMO increases its cost recovery from year to year using a combination of targeted subsidies, regular price increases and a balanced product portfolio that offsets low cost recovery products with high cost recovery products.	Aggregated Profit and Loss report.									
3.3 Reserves										
a. The SMO has a long term investment plan for fixed assets (vehicle, building, warehouse) and regularly contributes to these reserves and plans and executes expenses from the fund.	Investment plan. Annual budgets.									

3. Financial	Means of Verification	Evaluation						Rating		
		No	In Part	Mostly	Yes	NA	Comments	Mission Critical	Significant	Aspirational
b. The SMO has a cash management process and always keeps enough cash in reserve to ensure operations for 6 months in the case of delay in reimbursement from a donor.	Financial procedures manual. Financial reports. Cash flow forecasts.									
3.4 Fundraising										
a. The SMO has a team of staff who have the flexibility to work on proposals who can charge their time to a fundraising account.	Staff Interviews. Job descriptions. Time charging codes.									
b. The SMO has a written strategy for fundraising and implements according to plan.	Fundraising strategy. Staff interviews. Project proposals.									
c. The SMO has a defined process for submitting and approving proposals for funding.	Written policies for preparing proposals									
d. The SMO regularly reaches out to or meets with other donors and other sources of grant funding.	Staff interviews. Minutes of meetings.									
e. The SMO has a written strategy for raising unrestricted income and implements according to plan.	Fundraising strategy document.									
f. The SMO participates in external events with key stakeholders	Staff interviews. Client interviews. Records of participation in technical working groups, consortiums, etc.									

