

## Appendix: The Theoretical Base of the Socio-Ecological Model

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

### What is the purpose of the theory table?

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

### How is the table organized?

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

### How is the table used?

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

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

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

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

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Information, Motivation, Ability to Act, and Norms	<b>What:</b> Services, Products	Advocacy	Product design Access	Diffusion of Innovation	<ul style="list-style-type: none"> <li>Identify what the audience thinks of the innovation</li> <li>Identify opinion leaders in the network</li> <li>Provide messages that address concerns about the innovation (compatibility, complexity) and communicate its benefits (relative advantage)</li> <li>Provide opportunities to try out the new innovation</li> <li>Demonstrate what happens to others when they try the innovation</li> </ul>
	<b>Who:</b> Providers	Social Mobilization (incl. Community Mobilization)  BCC	Availability Quality Demand  Service integration  Provider capacity  Client satisfaction	Social Marketing	<ul style="list-style-type: none"> <li>Gather information about the audience including beliefs related to practicing the behavior, preferences and habits</li> <li>Identify an effective mix of product, price, place and promotion through initial research (e.g. communication channels) and be sure to include a market analysis)</li> <li>Make products affordable, available and attractive</li> <li>Provide information and incentives to change behaviors</li> </ul>

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

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