

https://dspace.org/

EFFECTIVENESS OF SOCIAL MARKETING PROGRAMMES TARGETED AT THE LOWERINCOME SECTOR

Potter, Douglas Luke Charles

2012-01-20
http://hdl.handle.net/10539/11142

Downloaded from a DSpace repository. https://dspace.org/

EFFECTIVENESS OF SOCIAL MARKETING PROGRAMMES TARGETED AT THE LOWER INCOME SECTOR

DLC Potter

A research report submitted to the Faculty of Commerce, Law and Management, University of the Witwatersrand, in partial fulfilment of the requirements for the degree of Master of Business Administration

Johannesburg, 2009

ABSTRACT

Whilst there is an emerging business case for Private Sector involvement in poverty reduction programmes targeted at the lower income sector, there is limited understanding of the impact that the Private Sector has had in such initiatives. An aggravating factor is the lack of reliable evaluation mechanisms with which to assess Private Sector performance in alleviating poverty.

The research problem guiding this study was to determine the effectiveness of Social Marketing projects as a potential poverty alleviation approach for the Private Sector. The research sub-problems aimed to establish a set of criteria that could be used as a basis for developing appropriate Social Marketing evaluation frameworks and indicators.

Exploratory in nature, the method of data collection employed a qualitative approach, in which 9 In-Depth Interviews were conducted with experts possessing relevant knowledge of, or experience in, Social Marketing as a potential development tool for the Private Sector. Limitations in sample size were addressed by triangulating respondent profiles across a variety of different sectors (Corporate; Academic; Non-Governmental; Donor Organisation) in order to elicit as wide a set of opinions as possible. Results were then analysed according to an Interpretivist approach.

A broad set of criteria were identified that can be used to develop, or make a reasoned judgement about the suitability of, potential Social Marketing frameworks for the Private Sector. These criteria were tested through application to one particular Social Marketing evaluation framework identified in the literature review (the PSI PERForM framework). The latter was found to have limitations in its current form that would preclude a recommendation being made for wider use by the Private Sector. The PSI PERForM framework was then used as a platform with which to identify suitable indicators. The finding was that there are limitations in seeking universal indicators for such a framework, as indicators need to be customised around specific behaviours and target audience characteristics.

The key message of this research is that it is not feasible to attempt to identify a generic Social Marketing evaluation framework and accompanying indicators, owing to a need to customise frameworks around underlying behaviours and target audience profiles.

The implications are that, in order for the Private Sector to be able to compare the effectiveness of Social Marketing as a development mechanism relative to other approaches, future attention should focus on impact evaluation frameworks. These offer potential in enabling not only individual project evaluations but also cross-project comparisons. The scale, cost and expertise required to conduct impact evaluation in this area would likely require new forms of collaboration with Academic, Non-Governmental and Donor Organisations.

DECLARATION

I, Douglas Luke Charles Potter, declare that this research report is my own work except as indicated in the references and acknowledgements. It is submitted in partial fulfilment of the requirements for the degree of Master of Business Administration in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in this or any other university.

(Douglas Luke Charles Potter)

Signed at ……

On the …….. day of …… 2009

ACKNOWLEDGEMENTS

I would like to thank the following people without whose assistance this research report would not have been possible:

- Lauren, for your love and personal sacrifices in giving me the space to explore this study.
- My parents, for your on-going encouragement.
- Professor Geoff Bick, for your supervision and guidance.

TABLE OF CONTENTS

ABSTRACT ..... **I**

DECLARATION ..... **III**

ACKNOWLEDGEMENTS ..... **IV**

LIST OF TABLES ..... **VIII**

LIST OF FIGURES ..... **IX**

CHAPTER 1: INTRODUCTION **1**

1.1. PURPOSE OF THE STUDY 1
1.1. CONTEXT OF THE STUDY 1
1.2. RELEVANCE OF STUDY TO A SOUTH AFRICAN CONTEXT 2
1.3. RESEARCH PROBLEM STATEMENT 5
1.3.1. Main Research Problem *5*
1.3.2. Sub-Problems *5*
1.4. SIGNIFICANCE OF THE STUDY 5
1.5. DELIMITATIONS OF THE STUDY 6
1.6. ASSUMPTIONS 7
1.7. DEFINITIONS OF TERMS 8

CHAPTER 2: LITERATURE REVIEW **9**

2.1. INTRODUCTION 9
2.2. DEFINITION OF TOPIC 10
2.3. BACKGROUND DISCUSSION: 10
2.3.1. The Opportunity for Business Growth in Developing Markets: *10*
2.3.2. Developing Markets and Business Opportunities at the BoP: *10*
2.3.3. The Need for Business to Play a More Active Role in Developing the BoP: *12*
2.3.4. The Business Case for Development: *13*
2.3.5. Summary of Background Discussion: *15*
2.4. CHANNELS FOR PRO-POOR DEVELOPMENT BY THE PRIVATE SECTOR: 15
2.4.1. Market-led Development Eco-Systems: *15*
2.4.2. The Increase in Public-Private Sector Collaboration: *16*
2.4.3. Social Marketing as a Tool for Development: *18*
2.4.4. Summary of Discussion on Channels for Pro-Poor Development: *19*
2.5. HOW SOCIAL MARKETING WORKS: 20
2.6. WHY EVALUATE THE EFFECTIVENESS OF SOCIAL MARKETING INTERVENTIONS? 23
2.6.1. Summary of Discussion on Need for Social Marketing Evaluation: *28*
2.7. WHAT ARE THE CRITERIA FOR DETERMINING SUITABILITY OF AN M&E FRAMEWORK? 28
2.8. WHAT FRAMEWORKS ARE AVAILABLE TO EVALUATE SOCIAL MARKETING INTERVENTIONS? 29
2.8.1. The Logical Framework Matrix and the PSI PERFoRM Framework: *29*
2.8.2. The Precede-Proceed framework: *32*
2.8.3. The Impact Value Chain *34*
2.8.4. The BoP Impact Assessment Framework *36*
2.8.5. Summary of Discussion on Evaluation Frameworks. *39*
2.9. WHAT INDICATORS ARE NEEDED TO MONITOR AND EVALUATE SOCIAL MARKETING INTERVENTIONS? 40
2.9.1. The Role of Indicators and Metrics: *41*
2.9.2. Criteria for Selecting Indicators: *41*
2.9.3. Indicators for Measuring Outcomes: *42*
2.9.4. Indicators for Measuring Impact: *42*
2.9.5. Indicators for Measuring Process: *43*
2.9.6. Indicators for Measuring Implementation: *48*
2.9.7. Broader Issues to Consider: *51*
2.9.8. Summary of Discussion on Indicators and Metrics: *52*
2.10. CONCLUSION OF LITERATURE REVIEW 53

CHAPTER 3: RESEARCH METHODOLOGY 55

3.1. RESEARCH PARADIGM 55
3.1.1. Advantages of Qualitative Research to this Study: 56
3.1.2. Disadvantages of Qualitative Research: 57
3.2. RESEARCH DESIGN 59
3.2.1. Defining the scope of the study: 59
3.2.2. Use of the PSI PERForM log-frame as an M&E framework: 60
3.2.3. Methodological Approach 61
3.2.3.1. Advantage of In-Depth Interviews: 62
3.2.3.2. Disadvantage of In-Depth Interviews: 62
3.3. POPULATION AND SAMPLE 63
3.3.1. Population: 63
3.3.2. Sampling Methodology: 64
3.4. THE RESEARCH INSTRUMENT 67
3.5. PROCEDURE FOR DATA COLLECTION 67
3.6. DATA ANALYSIS AND INTERPRETATION 68
3.7. LIMITATIONS: 71
3.8. VALIDITY AND RELIABILITY: 73
3.8.1. Internal Validity: 73
3.8.2. External validity: 73
3.8.3. Validity of Sample: 74
3.8.4. Reliability: 79

CHAPTER 4: PRESENTATION OF RESULTS 80

4.1. INTRODUCTION 80
4.2. PROFILE OF RESPONDENTS 80
4.3. RESULTS PERTAINING TO RESEARCH QUESTION 1 81
4.4. RESULTS PERTAINING TO RESEARCH QUESTION 2 94
4.5. RESULTS PERTAINING TO RESEARCH QUESTION 3 100
4.5.1. Conclusions Regarding Research Question 3 107

CHAPTER 5: INTERPRETATION OF RESULTS 108

5.1. INTRODUCTION 108
5.2. INTERPRETATION OF FINDINGS ON RESEARCH QUESTION 1 109
5.3. INTERPRETATION OF FINDINGS ON RESEARCH QUESTION 2 125
5.4. INTERPRETATION OF FINDINGS ON RESEARCH QUESTION 3 129

CHAPTER 6: CONCLUSIONS, LIMITATIONS AND RECOMMENDATIONS 147

6.1. INTRODUCTION 147
6.2. CONCLUSIONS OF THE STUDY 148
6.2.1. Research Question 1 149
6.2.2. Research Question 2 151
6.2.3. Research Question 3 152
6.3. SUMMARY OF CONCLUSIONS 155
6.3.1. FINAL REMARKS 156
6.4. LIMITATIONS OF STUDY 157
6.5. RECOMMENDATIONS FOR FUTURE RESEARCH 162

REFERENCES 164

APPENDIX A 176

EXAMPLE OF A DEVELOPMENT LOG-FRAME NARRATIVE 176

APPENDIX B 177

SUMMARY OF SOCIAL MARKETING LOG-FRAME NARRATIVES IDENTIFIED IN LITERATURE REVIEW 177

APPENDIX C 178

VISUAL DEPICTION OF A LOG-FRAME NARRATIVE FOR THE PSI PERFORM FRAMEWORK 178

APPENDIX D **179**
CONSISTENCY MATRIX FOR STUDY 179
APPENDIX E **181**
TRIANGULATION OF INTERVIEW PARTICIPANTS FOR EXTERNAL VALIDITY 181
APPENDIX F **182**
THE RESEARCH INSTRUMENT - IN-DEPTH INTERVIEW QUESTIONNAIRE 182
APPENDIX G **184**
SUMMARY OF CRITERIA TO CONSIDER WHEN DETERMINING SUITABILITY OF A SOCIAL MARKETING M&E FRAMEWORK 184
APPENDIX H **187**
INDUCTIVE EVALUATION ON THE SUITABILITY OF THE PSI PERFORM FRAMEWORK BASED ON CRITERIA IDENTIFIED IN THIS RESEARCH 187
APPENDIX I **193**
CONCEPT MAP FOR DISCUSSION GUIDE QUESTION 1 193
APPENDIX J **194**
CONCEPT MAP FOR DISCUSSION GUIDE QUESTION 2 194
APPENDIX K **195**
CONCEPT MAP FOR DISCUSSION GUIDE QUESTION 3 195
APPENDIX L **196**
CONCEPT MAP FOR DISCUSSION GUIDE QUESTION 4 196
APPENDIX M **197**
CONCEPT MAP FOR DISCUSSION GUIDE QUESTION 5 197

LIST OF TABLES

Table 1: Definition of Terms 8
Table 2: Structure of Literature Review 9
Table 3 The 4P's within a Social Marketing Context (Nichols 2006) 22
Table 4: Private Sector Activities in the Social Marketing Arena 23
Table 5: The Logical Framework Matrix (Jackson 2000) 30
Table 6: The PSI PERForM framework (Chapman and Patel 2004: 5) Adapted to the Logical Framework Matrix (Jackson 2000) 31
Table 7: Summary of Demand and Supply-side Factors of Social Marketing Programmes 33
Table 8: Summary of Indicators for Tracking Process (Adapted from Rothschild 1999; Croyle 2005; Fishbein et al. 2000) 45
Table 9: Summary of External and Internal Determinants that Can Influence Behaviour (Academy for Educational Development 1998) 45
Table 10: Summary of Indicators for Product Identified in the Literature Review 49
Table 11: Summary of Indicators for Price Identified in the Literature Review 50
Table 12: Summary of Indicators for Place Identified in the Literature Review 50
Table 13: Summary of Indicators for Promotion Identified in the Literature Review 51
Table 14: Names of Respondents in In-Depth Interviews By Professional Profile 66
Table 15: Respondent Perceptions of the Criteria for Determining Suitability of Behaviour Change Evaluation Frameworks 83
Table 16: Respondent Perceptions of the Common Pitfalls in Social Marketing M&E Frameworks that Need to be Screened for. 86
Table 17: Respondent Perceptions of the Additional Criteria that Need to be Considered when Determining the Suitability of M&E Frameworks from a Private Sector Perspective. 90
Table 18: Respondent Perceptions of the Suitability of the PSI PERForM Framework to Evaluate Social Marketing Programmes 95
Table 19: Respondent Perceptions of Potential Indicators for Monitoring and Evaluating Social Marketing Interventions using the PSI PERForM Framework. 101
Table 20: Respondent Perceptions of Other Suitable Indicators for Monitoring and Evaluating Social Marketing Interventions 103

LIST OF FIGURES

Figure 1: The Pyramid Structure of Developing Markets (Hart and Prahalad 2002: 5) 11
Figure 2: Estimated BoP Market by Sector (Hammond et al. 2007) 12
Figure 3: The Base of the Pyramid, Markets, and Value Creation for the Poor (London 2008b: 15). 14
Figure 4: The Key Participants in a PPP Aimed at Health Behaviour Change (Curtis et al. 2007: 635) 17
Figure 5: The World of Aid (London 2008b: 4) 18
Figure 6: Continuum of Behaviour Change Interventions [Adapted from Rothschild (1999) and TurningPoint (2002)] 22
Figure 7: Subsets of Sustainability (Tuppen and Zadek in Slater 2004: 2) 26
Figure 8: A BoP Overview (London 2008b: 2) 27
Figure 9: The Precede-Proceed Social Marketing Evaluation Framework 34
Figure 10: The Impact Value Chain (Clark et al. 2004: 122) 36
Figure 11: Several Dimensions of Well-Being (Sen in London 2008b: 17) 37
Figure 12: Who at the BoP is Impacted by Private Sector BoP Initiatives (Adapted from London 2008: 17) 38
Figure 13: BOP Impact Assessment Framework (London 2008b: 18) 38
Figure 14: Example of a Step Theory Continuum of Behaviour Change (Adapted from Cabanero-Verzosa 2003: 14) 47
Figure 15: The PSI Behaviour Change Framework over-layed onto the PSI PERForM log-frame (Chapman and Patel 2004: 5) 61

CHAPTER 1: INTRODUCTION

1.1. Purpose of the Study

This research explores the paradigm of poverty alleviation through enterprise, by investigating the role the Private Sector plays as an actor in the world of development aid.

Within academic literature on the topic it is argued that there is a positive and mutually beneficial role for the Private Sector to play as an agent in the reduction of poverty (Nelson and Prescott 2003; Prahalad 2005; London 2008).

One such means is the role the Private Sector can play in multi-sector partnerships aimed at positively changing health behaviour of the poor (Mukabana et al. 2006). For example, using Private Sector marketing skills, such partnerships have been shown to develop practical and new routes to effectively programme positive behaviour change (Curtis, Garbrah-Aidoo and Scott 2007).

This study focuses on Social Marketing as one potential development approach for the Private Sector and investigates how to go about determining the relative effectiveness of investments in Social Marketing projects for the poor.

The purpose of doing so is to investigate whether Social Marketing is an effective market development approach for the Private Sector that warrants further investment relative to alternate approaches.

1.1. Context of the Study

There is a growing body of research arguing that business has a positive role to play in economic development, environmental protection and social change (Nelson and Prescott

2003; Prahalad 2005; Mayoux 2005; Easterly 2006). Motivating business to agree with this view are two emerging strands of thinking.

The first strand of thought is that there are complementarities between ethical best practice and good business practice which can lead to forms of competitive advantage for the Private Sector. To this end, Nelson and Prescott (2003) advocate that corporate social and environmental responsibility has been shown to increase the profits and sustainability of multi-national corporations (MNCs).

The second strand of thought submits that there is an even more active and mutually beneficial role for MNCs to play as agents of pro-poor development. Herein, motivated by the possibility of new market development, many MNCs are re-thinking their business models to develop commercial models that address needs of people living at what is now commonly termed the Base/Bottom of the Pyramid (BoP) (Prahalad 2005).

As business becomes more actively involved in development programmes, there is an increasing need to evaluate Private Sector involvement in such programmes and to determine which approaches are most effective (London 2008a, 2009).

"...Even though most ventures serving the world's poor have feel-good stories and data on milestones, most of them lack a systematic way to assess how well they're reaching the people they set out to serve."

(London 2009: 12)

1.2. Relevance of Study to a South African Context

In developing countries there are a variety of health challenges that are either caused by or serve to perpetuate poverty; in either case acting as a barrier to further human development (Wagstaff 2002).

With 11% of the South African population estimated to be living on less than PPP$1 per day and 34% of the population living on less than PPP$2 per day, almost half of the country's population are estimated to fall into the lower income sector (The World Bank Group 2006).

Companies within the Private Sector, as entities within a wider symbiotic eco-system linked to society, are directly dependent on and influenced by the surrounding social and environmental context in which they operate (Benner, Reinicke and Witte 2004; Tuppen and Zadek in Slater 2004; Prahalad 2005).

In South Africa, Arndt and Lewis (2000) project that by 2010 GDP growth will be 2.6 percentage points lower than would have been the case if not for the impact of the Human Immuno-Deficiency Virus (HIV) and Acquired Immune Deficiency Syndrome (AIDS). With a consequent need to re-allocate government spending towards health-related expenses and reduced total factor productivity in the economy, the implication is a projected GDP level 17% (or US$22 billion) lower than in a no-AIDS scenario.

The projected macro-economic outlook for 2010 directly affects the Private Sector in South Africa in terms of influencing both the factors of production, such as skills availability and productivity, and aspects of demand such as household savings and consumer demand patterns (Arndt and Lewis 2000).The Private Sector within South Africa thus has a substantial stake in understanding the incidence of poverty and methodologies for alleviation thereof.

Social Marketing interventions have shown potential as an approach with which to reach the poor (Victora, Wagstaff, Armstrong Shellenberg, Gwatkin, Claeson and Habicht 2003), reduce barriers to health (Davies, Chan and Vibha 2005; Mukabana, Kannady, Kiama, Ijumba, Mathenge, Kiche et al. 2006) and reduce risky health behaviour (Meekers 1998).

Where Arndt and Lewis (2000) make proviso in their modelling for the beneficial impact of behaviour modification techniques in reducing AIDS-related death rates, there is an important role for Social Marketing interventions to play in South Africa in reducing the impact of poverty.

As an illustration, Social Marketing has been applied in Southern Africa to change the following health and lifestyle-related behaviours:

- Malaria: a reduction of childhood malaria has been achieved through Social Marketing of insecticide-treated nets, such that "Recent experiences with Social Marketing, public-private partnerships, decentralization and community participation have all provided renewed cause for optimism and shown that even the most isolated African communities can be protected from malaria through sustainable delivery mechanisms" (Mukabana et al. 2006: 2).

- Under-nutrition: impoverished children are more likely than their peers to be exposed to health risks, whilst having less resistance to disease because of under-nutrition and other hazards that exist in poor communities (Victora et al. 2003). These inequities are compounded by limited access to preventive and/or curative interventions such as oral rehydration therapy, which Victora et al. (2003) suggest can be tackled via a combination of approaches that reach poor people. Social Marketing was identified by the authors as one of these.

- Reproductive Health: exposure to HIV, unplanned pregnancy and risk of infection with other sexually transmitted diseases are substantial problems facing adolescents as a particularly vulnerable group in South Africa (ING Barings 1999; Meekers 1999). Social Marketing interventions promoting condoms and female contraceptive devices have been implemented to reasonable levels of success in South Africa by the Society for Family Health (Meekers 1998; Walker 2003).

- Conservation: Where the cultural and legal contexts within South Africa have proved insufficient to resolve biodiversity loss on their own, Social Marketing is increasingly being applied by Civil Society as an approach for improving up-take of Systemic Conservation Plans by the South African Government at municipal level (Wilhelm-Rechmann, Cowling and Lefebvre 2008).

1.3. Research Problem Statement

1.3.1. Main Research Problem

The research problem was to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

1.3.2. Sub-Problems

Sub-Problem 1: To determine which frameworks are available to evaluate the effectiveness of a Social Marketing intervention for the Private Sector.

Sub-Problem 2: To determine which indicators are required in order to evaluate the effectiveness of a Social Marketing intervention for the Private Sector.

1.4. Significance of the Study

The intention of this study was to contribute knowledge towards the monitoring and evaluation (M&E) of Social Marketing interventions implemented by multi-sector development collaborations - such as Public-Private-Partnerships (PPPs) - and by Private Sector companies with an interest in conducting Social Marketing interventions.

It is envisaged that this study could have benefit in informing the M&E of future Social Marketing interventions involving partnerships between the Private Sector and External Support Agencies (Donors), Host States (Governments), Non-Governmental Organisations (NGOs) and Academia, as well as for the systematic and comparative evaluation of the results of such programmes.

Owing to the expanded role of the Private Sector in society (Buse and Walt 2000; McCue and Jarvis 2005), increased accountability of business to a wider set of stakeholders in society

(Tuppen and Zadek in Slater 2004; Mayoux 2005) and the need for business to take on a more pro-active role in the development of markets in which it operates (Prahalad 2005; Easterly 2006) the significance of monitoring and reporting of business performance on sustainability issues is becoming ever more important (Slater 2004; Ligterignen and Zadek 2005).

1.5. Delimitations of the Study

It was the intention of the researcher to make a reasoned judgement about the extent to which the findings on Social Marketing frameworks and indicators obtained from this study can be used in the evaluation of other Social Marketing programmes implemented by the Private Sector.

Whilst the analysis discusses what type of framework and indicators are likely to enable the successful evaluation of Social Marketing programmes, analysis does not quantitatively appraise the effectiveness of these. This is the role of further research of a more confirmatory nature on this topic.

The study uses a cross-sectional design aiming to capture expert opinion and best practice in Social Marketing evaluation at a given point in time. A cross-sectional design is representative of knowledge at that point of time - as knowledge progresses there will be limitations in the extent to which findings can be generalized longitudinally.

This study does not consider the costs of introducing, implementing, monitoring and reporting social impact frameworks within a company - which may be too onerous for small and medium sized enterprises to adopt. The focus of this study is, therefore, likely to be of more practical use to large companies and MNCs.

There are many ways to approach reporting; not all types are suitable for all companies (Holme and Watts 2000). The need for social reporting is thus context-specific, being dependent on a company's strategic vision and whether there is a company culture that is

supportive of engagement with stakeholders on sustainability issues (Holme and Watts 2000). As such, any metric system developed for one company, may not be applicable within another. It is necessary to be cautious in assuming the universality of findings from this study.

The study focuses on investigating what criteria should be considered when determining the suitability of a Social Marketing M&E framework for the Private Sector. An inductive evaluation of one specific M&E framework identified in the literature review (the PSI PERForM framework) based on suitability criteria identified in this research investigated whether that tool is suitable for use by the Private Sector. It should be noted that this particular evaluation was inductive rather than confirmatory and that further research into the suitability criteria identified in this research would be required prior to a conclusive evaluation being determined on the suitability of the PSI PERForM framework.

This research was an exploratory study into potential frameworks and indicators for use by the Private Sector in evaluation of Social Marketing interventions. The qualitative research methodology employed in this research limits the generalizability of results without further qualitative and quantitative validation; notwithstanding the fact that triangulation of both sample and data was performed.

1.6.Assumptions

This study is based on the assumption that the social world is composed of concrete empirical relationships that can be identified, studied and measured (O'Connor and Netting 2005).

Using this line of thinking, it is assumed that data on human health behaviour can be observed, inferred, or reported and that it is possible to gain access to such data for the purposes of M&E of behaviour change.

Specifically, it is assumed that quantitative and qualitative measures exist showing that behaviour change interventions do/do not lead to improved health outcomes.

1.7. Definitions of terms

Table 1: Definition of Terms

Term	Definition	Reference
AIDS	Acquired Immune Deficiency Syndrome	(Arndt and Lewis 2000)
BOP	Base/Bottom of the Pyramid	(Hart and Prahalad 2002)
CSI	Corporate Social Investment	(In-Depth Interview with Louis Duys conducted 1st August 2008)
FMCG	Fast Moving Consumer Goods	(Prahalad 2005)
HIV	Human Immuno-Deficiency Virus	(Arndt and Lewis 2000)
KAB	Knowledge, Attitudes, Beliefs	(Cabanero-Verzosa 2003)
MDA	Market Development Approach	(Institute of Development Studies 2008)
M&E	Monitoring and Evaluation	(In-Depth Interview with Benita Van Wyk conducted 7th August 2008)
MNC	Multinational Company	(Dawar and Chattopadhyay 2000)
NGO	Non-Governmental Organisation	(Buse and Walt 2000)
OAM	Opportunity; Ability; Motivation	(Rothschild 1999; Chapman 2004)
PPP	Public-Private-Partnership	(Buse and Walt 2000; Curtis et al. 2007)
PSI	Population Services International	(Chapman 2004)
SAMEA	South African Monitoring and Evaluation Association	(South African Monitoring and Evaluation Association 2008)
UNDP	United Nations Development Program	(Prescott 2003)

CHAPTER 2: LITERATURE REVIEW

2.1. Introduction

The literature review to follow is built around a structure of two broad parts.

The first provides a series of background discussions outlining why and how the Private Sector has become increasingly involved in interventions aimed at developing the Bottom of the Pyramid (BoP), defined as the global base of low income consumers (Prahalad 2005).

Within this discussion, Social Marketing is identified as one of the channels through which Private Sector involvement in development can be achieved.

The second part of the literature review focuses on Social Marketing specifically and discusses this technique as a tool for developing the quality of life of people living at the BoP.

Included in the latter discussion is an argument for better evaluation of Social Marketing interventions and a discussion on how to evaluate such programmes – covering potential evaluation frameworks and supporting indicators.

Table 2: Structure of Literature Review

Part 1:	• A background discussion out-lining why and how the Private Sector has become involved in interventions aimed at developing the BoP. • Social Marketing is identified as a potential mechanism that the Private Sector can use in developing the BoP.
Part 2:	• Social Marketing is further discussed as a tool for developing the quality of life of people living at the BoP. • A review of literature investigating how to evaluate Social Marketing interventions.

2.2. Definition of topic

The topic of research is a hybrid, covering a number of disciplines such as enterprise for development, development economics, corporate social responsibility, Social Marketing, commercial marketing, behaviour change communication, social psychology and consumer behaviour.

2.3. Background Discussion:

The literature review starts with a background discussion on how multi-national companies (MNCs), in wanting to expand into developing countries, have started exploring sales growth opportunities within the BoP market.

2.3.1. The Opportunity for Business Growth in Developing Markets:

Political changes in the last two decades of the twentieth century altered the global business landscape by providing growth opportunities for MNCs within a broader population of developing markets. For example, during this time the previously closed markets of China, India, the former Soviet Union and its allies, and parts of Latin America opened to foreign investment (Hart and Prahalad 2002).

2.3.2. Developing Markets and Business Opportunities at the BoP:

Given the socio-economic structure of developing countries, these markets can be conceptualised as a triangle as per Figure 1: where the top of the pyramid (Tier 1) consists of a relatively small percentage of affluent customers with high disposable income; Tiers 2-3 make up a larger, but still limited percentage of middle-class customers; and Tier 4 (termed the Base/Bottom of the Pyramid) comprises the bulk of aspiring low-income individuals who are restrained from, or are participating in, the market economy for the first time (Hart and Prahalad 2002).

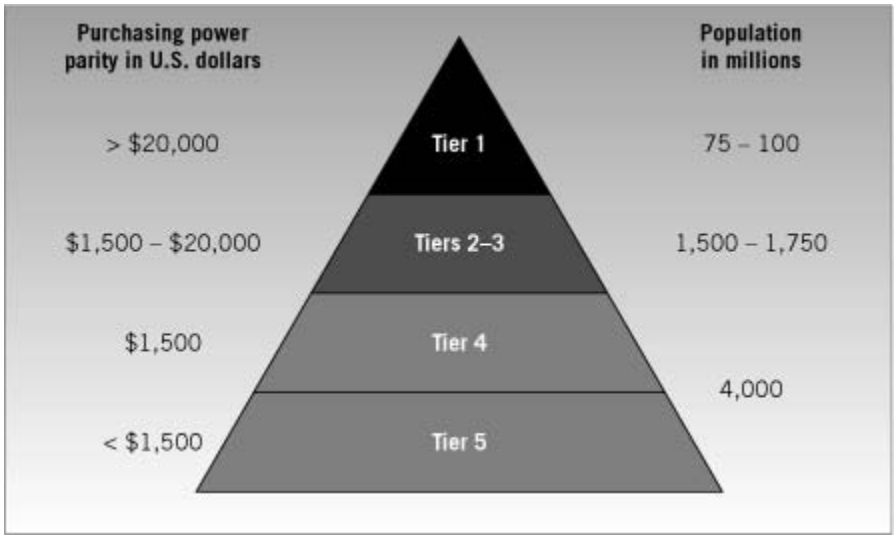


Figure 1: The Pyramid Structure of Developing Markets (Hart and Prahalad 2002: 5)

There is debate over the value of the BoP as a potential consumer market. Optimists estimate the gross spending power of this segment to be worth $13trillion, based on a figure of 6 billion people living at the BoP (Hart and Prahalad 2002; Prahalad 2005).

Others feel spend in the BoP is more realistically valued at $1.2trillion, based on a figure of 2.7 billion people living at the BoP- and that the market is far less attractive than first considered, as limited disposable income in this context does not necessarily translate into purchasing power (Karnani 2006).

The most robust estimate conducted to date suggests a market value of $5trillion at Purchasing Power Parity, based on a figure of 4 billion people living at the BoP globally (Hammond, Kramer, Tran, Katz and Walker 2007).

At this value, the BoP market makes up a minimum of 28% of regional purchasing power within more developed countries and swells upwards to a peak of 71% of regional purchasing power in parts of Africa and Asia (Hammond et al. 2007).

The World Bank Group (2006) estimates 11% of the South African population live on less than PPP$1 per day and 34% of the population live on less than PPP$2 per day.

Disaggregating the $5trillion global BoP market on a sector-by-sector basis, the value of respective BoP consumer markets are estimated to range in size as represented in Figure 2.

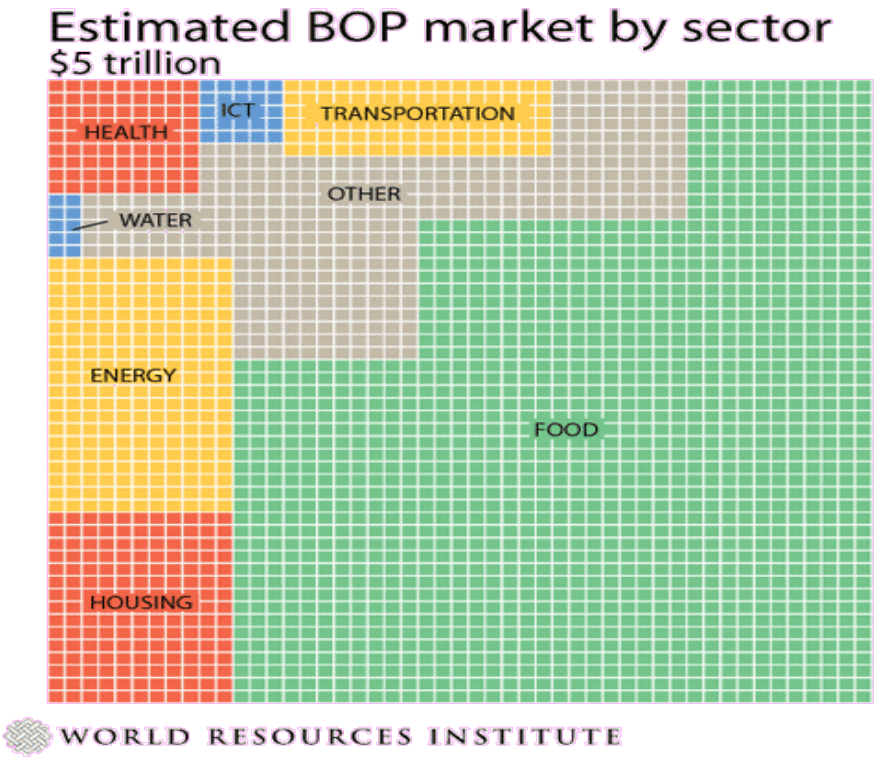


Figure 2: Estimated BoP Market by Sector (Hammond et al. 2007)

Despite the debate on market size, given a tendency towards over-capacity and market saturation within developed markets (Dawar and Chattopadhyay 2000), the long term growth and viability of MNCs is becoming increasingly dependent upon successfully marketing to people living within emerging markets (Dawar and Chattopadhyay 2000) and increasingly upon targeting those living at the BoP (Brugmann and Prahalad 2007).

2.3.3. The Need for Business to Play a More Active Role in Developing the BoP:

Whilst MNCs have started paying attention to potential customers at the BoP, many have not managed to make headway in these markets (Dawar and Chattopadhyay 2000; Brugmann and Prahalad 2007).

One of the reasons for this is that there are significant barriers that BoP consumers need to overcome in order to participate in the market economy: for example, there are consumption constraints imposed by limited disposable income (Prahalad 2005).

Given these constraints, the BoP tends to exist as an un-active/latent consumer market (Prahalad 2005), if a consumer market at all (Karnani 2006).

For MNCs to grow in developing countries, the literature agrees that a more pro-active approach to market development is needed by the Private Sector than has been adopted in the past (Buse and Walt 2000; Slater 2004; Prahalad 2005). In other words, more active involvement is needed by the Private Sector to modify the pace of development within BoP markets (Buse and Walt 2000; Brugmann and Prahalad 2007).

To this end, one stream of thinking advocates Private Sector innovation within the BoP market as a panacea for development of the poor (Hart and Prahalad 2002; Prahalad 2005; Easterly 2006); another pushes for business involvement in multi-lateral development projects and public-private collaborations as a means of raising the quality of life and income of the poor (Nelson and Prescott 2003; Ligteringen and Kell 2006); whilst still another submits that business can best help raise real income of the poor through better understanding of poor consumers' price-quality trade-offs and by better positioning products to meet these needs (Karnani 2006).

2.3.4. The Business Case for Development:

There is a strong case for business to play a more constructive role in development projects aimed at reducing poverty. The case is built upon three primary outcomes:

1. An investment in a sound business environment – stable and secure societies with prosperous consumers, a healthy workforce and open, rule-based trading and financial systems enable businesses to operate more profitably (Nelson and Prescott 2003; Slater 2004).

2. Pro-active management of direct costs and risks – mitigating the litigation, market and reputational risks around issues such as environmental degradation, conflict and inadequate health and education enable companies to manage the associated costs of these risks on raw materials, insurance, security, personnel and operations (Nelson and Prescott 2003).

3. The creation of new business opportunities – it is estimated that four out of five consumers in the world live in developing countries, which provides a large market for growth as well as a source of untapped resources (Hart and Prahalad 2002; Nelson and Prescott 2003; Prahalad 2005). Because BoP markets are in the earliest stages of economic development, revenue growth for multi-nationals entering them can be extremely rapid (Prahalad and Hammond 2002).

As illustrated in Figure 3, the BoP perspective appears to primarily address the third outcome as its under-lying discourse.

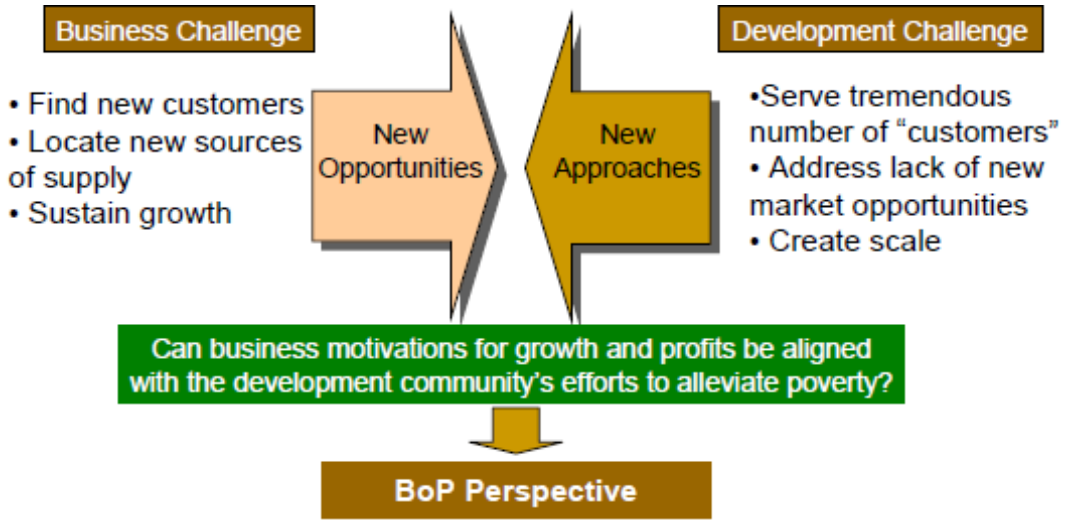


Figure 3: The Base of the Pyramid, Markets, and Value Creation for the Poor (London 2008b: 15)

2.3.5. Summary of Background Discussion:

Through a discussion of the opportunity for MNCs to grow through expansion into developing markets it was shown that there is an increasing need for such companies to take on a more pro-active approach in developing the quality of life of low income consumers in developing markets in which these businesses wish to operate. These investments create the basis by which BoP consumers can participate in the market.

2.4. Channels for Pro-Poor Development by the Private Sector:

The second contextual discussion within this study introduces the channels through which, and the competencies by which, the Private Sector can deliver on pro-poor development.

2.4.1. Market-led Development Eco-Systems:

The pyramid structure of consumer markets within developing countries requires orthodox developed market business strategies to adapt/change to fit the developing market reality (Prahalad 2005; Brugmann and Prahalad 2007).

Given the need by the Private Sector to create (or activate) the BoP consumer market, accessing poor customers requires more than rolling out products, services and approaches currently offered to Tier 1-3 consumers in developed markets (Dawar and Chattopadhyay 2000; Hart and Prahalad 2002).

New distribution and communication channels, business alliances, cost structures, technologies and terms of sale are required to create the opportunity for Tier 4 customers to participate in the market (Hart and Prahalad 2002; Prahalad 2005; Brugmann and Prahalad 2007).

Business also needs to take on greater humanitarian involvement, to unlock the potential purchasing power of the BoP (Hart and Prahalad 2002; Prahalad 2005; Easterly 2006).

Where companies do not tend to have the core competencies necessary for humanitarian development, there is a need to co-opt these competencies through a collaborative relationship with partners that do (Hamel and Prahalad 1996). As such, companies and civil society are increasingly working together to co-create markets in the BoP (London, Rondinelli and O'Neill 2005; Brugmann and Prahalad 2007).

The scale and complexity of social and environmental problems required to develop BoP markets requires a combination of resources, bringing together the complementary skills and inputs of the Private Sector and Civil Society (Fox, Ward and Howard 2002).

The critical take out is that governance structures and business models for both companies and Civil Society are changing to enable growth through development of the BoP (London et al. 2005; Brugmann and Prahalad 2007). Each partner can be seen to form part of a wider symbiotic eco-system or network for creating and capturing value within the BoP (Benner et al. 2004; Prahalad 2005, London 2008b).

2.4.2. The Increase in Public-Private Sector Collaboration:

It was shown that there is a growing recognition that the Private Sector has a stake – as with Governments, the Civil Society, and Donors – as a partner for development (Buse and Walt 2000; Slater 2004; Easterly 2006).

This has seen a shift in the nature and frequency of relationships formed between the Private and public sectors - leading to increased convergence of the Public and Private sectors in the form of Public-Private-Partnerships (PPPs) (Buse and Walt 2000; London et al. 2005).

There are several ethical arguments against business involvement in such partnerships (Buse and Walt 2000; Mayoux 2005) and of market expansion strategies into the BoP (International Fund for Agricultural Development 2005). One of the prominent criticisms is that market

expansion strategies are extractive in nature, with benefits accruing to BoP customers being marginal in nature relative to those accruing to corporates (International Fund for Agricultural Development 2005; London 2008b).

The potential for a positive Private Sector contribution to pro-poor development is good if managed properly (Mayoux 2005) and corporations are increasingly engaging in multi-sector partnerships aimed at tackling social and environmental challenges (London et al. 2005; Weiser, Burns, Polycarpe, Boguslaw and Rochlin 2005).

Curtis et al. (2007) describe the participants in a PPP targeting health behaviour as comprising the Private Sector, Government, external support agencies (NGOs and multi-lateral aid organisations) and Academia, as per Figure 4.

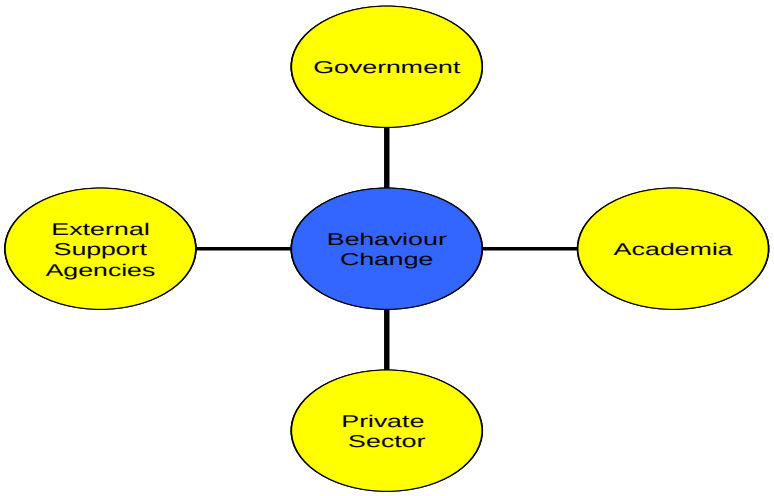


Figure 4: The Key Participants in a PPP Aimed at Health Behaviour Change (Curtis et al. 2007: 635)

London (2008b) proposes a similar set of players in Figure 5, but disaggregrates Curtis et al.'s (2007) “external support agencies” into development agencies and non-profits, respectively termed “Dev. Agencies” and “Non-Profits (London 2008b: 4). Communities are also introduced as a stakeholder.



Figure 5: The World of Aid (London 2008b: 4)

2.4.3. Social Marketing as a Tool for Development:

Victora et al. (2003) submit that evidence about how to reach poor populations on health issues is growing and identify the following successful approaches to do so: interventions that improve geographic access to health interventions for impoverished communities; interventions involving subsidised health inputs and health care; and interventions that employ Social Marketing principles.

Whilst the most effective means of Private Sector intervention as a poverty reduction agent will vary from industry to industry and company to company (Samans 2005), marketing - more specifically Social Marketing - is one of the means through which the Private Sector can effectively contribute to multi-sector partnerships aimed at improving the lives of people living at the BoP (Curtis et al. 2007).

Indeed, trans-national Fast Moving Consumer Goods (FMCG) companies are viewed as "a source of skill in eliciting behaviour change through marketing", whilst also bringing other forms of value to social marketing programmes such as a media planning competency (Curtis et al.: 640).

There are several anecdotal examples of MNC involvement in partnerships aimed at changing the health behaviour of people living at the BoP:

- The Global Public-Private Partnership for Hand-Washing with Soap which includes Colgate-Palmolive, Proctor and Gamble and Unilever as contributing partners (The Global Public-Private Partnership for Hand-Washing with Soap 2008)
- The Global Business Coalition on HIV/AIDS which aims, amongst other projects, to increase awareness of HIV/AIDS and reduce behaviour that can lead to infection (Samans 2005).

- Global Alliance for Improved Nutrition (GAIN): the initiative's mission is to reduce malnutrition via food fortification and market-based approaches aimed at improving the nutrition and health of vulnerable populations, by mobilizing PPPs and providing financial and technical support to deliver healthier foods/supplements to these populations (Global Alliance for Improved Nutrition 2009)
- Project Champion: The Unicef-Unilever Global Partnership on Hand-Washing with Soap (O'Brien 2008).
- Hindustan Lever's Lifebuoy Swasthya Chetna hand-washing with soap campaign in India (Prahalad 2005);
- Project ACCESS: An initiative of the Novartis Foundation aimed at analysing and improving access to effective malaria treatment in Tanzania. By means of social marketing campaigns the intention has been to inform the population of the causes of malaria, symptoms, how to treat it correctly and where to get treatment. The intended effect is to increase demand for appropriate biomedical malaria services so that more people with corresponding symptoms come forward for treatment in a health center or licensed drug store (Novartis Foundation for Sustainable Development 2009).

2.4.4. Summary of Discussion on Channels for Pro-Poor Development:

A discussion on the efficacy of market-led attempts at developing the BoP revealed the need for a collaborative, symbiotic relationship between Private Sector, Public Sector and Civil Society actors in the form of eco-systems or networks in order to leverage the competencies and scale necessary to develop BoP markets.

Within such partnerships the literature identifies Social Marketing as a channel through which the Private Sector can contribute to development (Curtis et al. 2007).

2.5. How Social Marketing Works:

Social Marketing practice is informed by a broad literature on consumer behaviour, commercial marketing, behaviour change theory and development communication (Fishbein, Triandis, Kanfer, Becker, Middlestadt and Eichler 2000; Figueroa, Kincaid, Rani and Lewis 2002).

The aim of Social Marketing is behaviour change, in which target audiences are influenced to exchange current behaviour for a healthier, safer or more environmentally protective behaviour (Davies, Chan and Vibha 2005). In so doing, society benefits through a reduction in the severity, frequency and cost of - for example - disease to individuals and their communities (Cabanero-Versoza 2003).

The role for Social Marketers is primarily useful at the individual/household intervention level and involves using commercial tools to develop interventions that induce voluntary personal change (Andreason 2002).

Social Marketing entails using an integrated mix of strategies to create access to, and promote demand for, beneficial goods and services (Price 2001). Specifically, Social Marketing can be defined relative to health education and regulation, wherein three categories - education, marketing and law - are used in varying circumstances and degrees to influence behaviour (Rothschild 1999).

Through these means – education, marketing and law – programme managers can influence the key determinants of behaviour change: opportunity, ability, and motivation (OAM) to behave (Rothschild 1999; Binney, Hall and Shaw 2003). Social marketing interventions thus tend to be designed to change an individual's opportunity, ability and motivation to behave (Rothschild 1999; Chapman 2003).

The OAM behavioural change determinants are defined as follows (Rothschild 1999; Chapman and Patel 2004):

- Opportunity - which includes the set of institutional/structural factors that influence an individual's chance to perform a promoted behaviour
- Ability - which includes a set of factors related to an individual's skills needed to perform a promoted behaviour
- Motivation - which includes factors that encourage an individual's desire, wish or urge to perform a promoted behaviour

In effect, the process of influencing OAM behavioural determinants involves offering sufficient benefits to perform a new behaviour, reducing barriers to behaviour and then persuading the target audience to choose the new behaviour (Nichols 2006).

Marketing, through the four P's of the traditional marketing mix (Product, Price, Place, Promotion), is used as a lever to enhance awareness of self-interests (motivation) and to create opportunities to act by sometimes overcoming a lack of ability by the individual (Davies et al. 2005).

When the target population's self-interests are not met irrespective of opportunities or abilities, the law may be needed as a lever to gain compliance (Rothschild 1999; Andreason 2002).

The key take out here is that there are specific circumstances under which marketing for behaviour change is effective. At other times, other tools may be necessary. Classifying target audiences according to their level of OAM as per Figure 6 enables behaviour change programme managers to determine what type of strategy (marketing, education or law) an intervention should employ (Rothschild 1999).

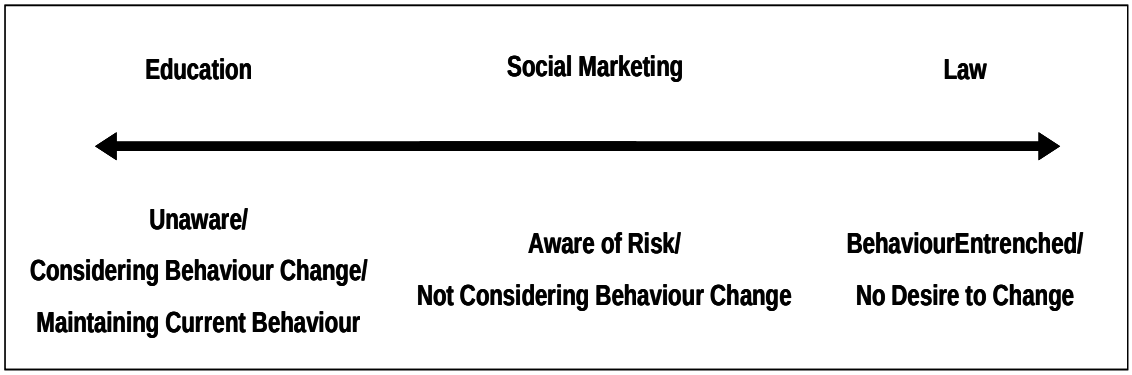


Figure 6: Continuum of Behaviour Change Interventions [Adapted from Rothschild (1999) and TurningPoint (2002)]

This has implications for the evaluation of Private Sector contributions to Social Marketing programmes, as marketing for behaviour change is only applicable and effective within specific situations.

If Social Marketing entails using the 4P's of the traditional marketing mix to encourage behaviour change, what specific Private Sector Social Marketing interventions are possible?

In Table 3, the 4P's are broadly defined relative to a social marketing paradigm (Nichols 2006).

Table 3 The 4P's within a Social Marketing Context (Nichols 2006)

Product	New Behaviour Adoption.
Price	What the audience gives up or adds to adopt the new behaviour (psychological; emotional; currency)
Place	Where the behaviour is available
Promotion	Why and how can people try the new behaviour

Given the breadth of these definitions, in order to understand what the private sector can specifically contribute within a social marketing context, Figueroa et al. (2002) identify six potential catalysts, each of which represents a trigger that may initiate behaviour change:

1. An *internal stimulus that comes from within a community/household*: for example, the onset of an epidemic such as HIV/AIDS; noticeable increases in child abuse cases and/or maternal mortality.

2. A *change agent who intervenes to induce adoption of a new behaviour*: for example, an NGO visits a community to initiate a discussion of a specific health problem in order to induce the community to change behaviour.
3. An *innovation that stimulates consideration about adoption of a new behaviour*: such as a new oral rehydration solution, a new vaccine or the availability of a new type of chlorine water disinfectant.
4. *Policies that prompt behaviour change*: such as a new law that requires all children to complete primary education.
5. *Availability of technology that stimulates consideration of a new behaviour:* for example, the injectable method of contraception stimulating consideration about family planning.
6. *Mass media that stimulates adoption of a new behaviour:* Integrated Marketing Communication that includes messages designed to promote behaviour change.

Items (2), (3), (5) and (6) above relate to activities within the traditional marketing mix and could fall under the gambit of a Private Sector Social Marketing intervention. These can be broadly summarised in Table 4.

Table 4: Private Sector Activities in the Social Marketing Arena

Product	New product/service/technology development that facilitates new behaviour
Price	Innovation of process, product, service and distribution to increase affordability for people living at the BoP) (Prahalad 2005).
Place	Distribution to increase availability of products, services and technology
Promotion	Integrated Marketing Communication for Behavioural Impact (Hosein 2008).

2.6. Why evaluate the effectiveness of Social Marketing interventions?

If a business is to change or terminate programmes which are not achieving their development objectives - and to roll-out those that are – decision-makers require evidence of how effective and efficient these programmes are (Evans in Zaltman, Kotler and Kaufman 1972; London 2009). To this end, feedback loops are needed to determine whether a specific task has a high payoff for the poor (Easterly 2006).

As it is possible that outcomes could have occurred irrespective of the programme taking place, it is inappropriate to conclude that a single programme is solely responsible for outcomes – and necessary to understand the extent to which a programme is responsible for change (Weiss 1998). Attribution has to do with determining whether any changes that are observed over time are due to a specific programme (Weiss 1998).

It is not clear at this stage whether Private Sector development programmes make a difference to the environmental and social impact of business (Hamann 2006; London 2008a; London 2009). There are several reasons for this:

1. Companies' assessment of their own impacts are often starkly opposed to that of local communities, partly owing to different perceptual lenses applied by each stakeholder to the concept of corporate citizenship, sustainable development and social impact (Hamann 2006).

2. The scale of analysis of initiatives is often biased to measuring development impact on a select group of stakeholders, whilst ignoring the broader unexpected social and environmental impact of the project on all stakeholders (Baue in Hamann 2006).

3. Successful implementation is thwarted by a lack of alignment between strategic or top-level sustainability reporting indicators and performance measurements designed for operational or management-levels (Ligteringen and Zadek 2005). The operational feedback loops do not currently determine whether a specific task has a high social impact (Easterly 2006).

4. Where business' primary focus has been to measure the financial returns from operations there are more multi-dimensional measures required in order to evaluate business contributions to sustainability issues (Slater 2004). For example, there are multiplier effects such as downstream supply chain impacts and jobs created in non-local communities around importing, distribution, and transportation (London 2009).

Indeed, the empirical evidence for proving the value added for the BoP market by the Private Sector within multi-sector partnerships – in terms of effectiveness and efficiency relative to alternate poverty reduction and development mechanisms – is currently weak (Benner et al. 2004; London 2008a; London 2009).

Further, in being a relatively new tool for development, evidence for PPPs structured around Social Marketing approaches tend to be impressionistic at this stage (Chapman and Astatke 2003), whilst progress made by market-led multi-sector networks as endorsed by Prahalad (2005) has proven to be slow (Mayoux 2005).

London (2008b) describes a moral dilemma that jeopardises the validity of Private Sector initiatives targeted at the BoP and raises questions on whether the development community's activities to reduce poverty can be aligned with business' motivation for profits and growth.

On the one side of the dilemma is a moral hazard that, in targeting the BoP, the Private Sector is essentially extractive in nature and makes money or creates publicity off the backs of the poor. On the other side of the dilemma is Prahalad's (2005) BoP principle of mutual value creation, in which the greater the value created for the BoP, the greater the value created for the Private Sector delivering these products/services.

To fully resolve this tension it is necessary to understand and guide the impact of Private Sector initiatives at the BoP by investigating the effectiveness of different types of approaches through a poverty alleviation lens (London 2008b, 2009).

Consequently there is a need to understand how an organization affects the economic circumstance of stakeholders within the BoP, in addition to the traditional business-centric approach of measuring the financial impact of activities on a company (Tuppen and Zadek in Slater 2004; London 2009).

Figure 7 illustrates how a stakeholder approach conceptualises the respective linkages between a company's core profit motivation with the company's impact on the economic growth of a country and on the broader externalities of human development (such as social and environmental outcomes).

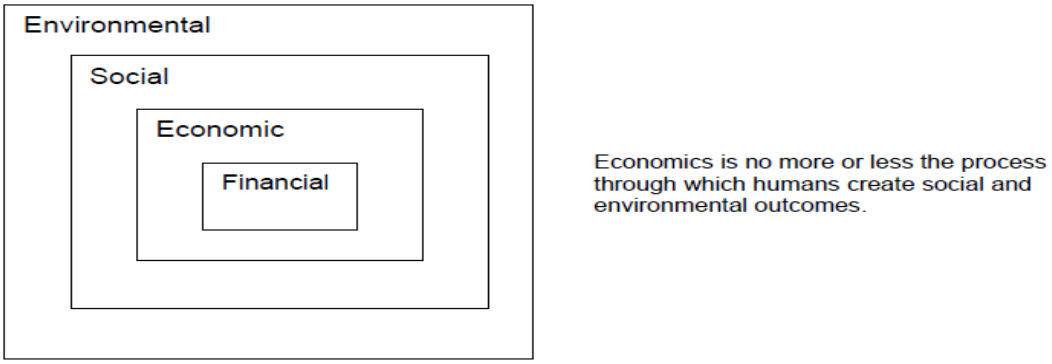


Figure 7: Subsets of Sustainability (Tuppen and Zadek in Slater 2004: 2)

Measuring the linkage between a company's profit motivation and resultant company growth is understood and can be reliably reported through traditional financial reporting frameworks, but companies are only beginning to understand, quantify and report the final economic link between company growth and resultant poverty reduction (Slater 2004).

Measurement of business contribution to development of the BoP market is thus a young and evolving area. There is an opportunity to contribute to the existing body of knowledge on stakeholder impact, by investigating evaluation frameworks and indicators that can further quantify the links between core business practice and the wider impact on fringe stakeholders within the BoP (London 2008a, 2009), as illustrated in Figure 8.

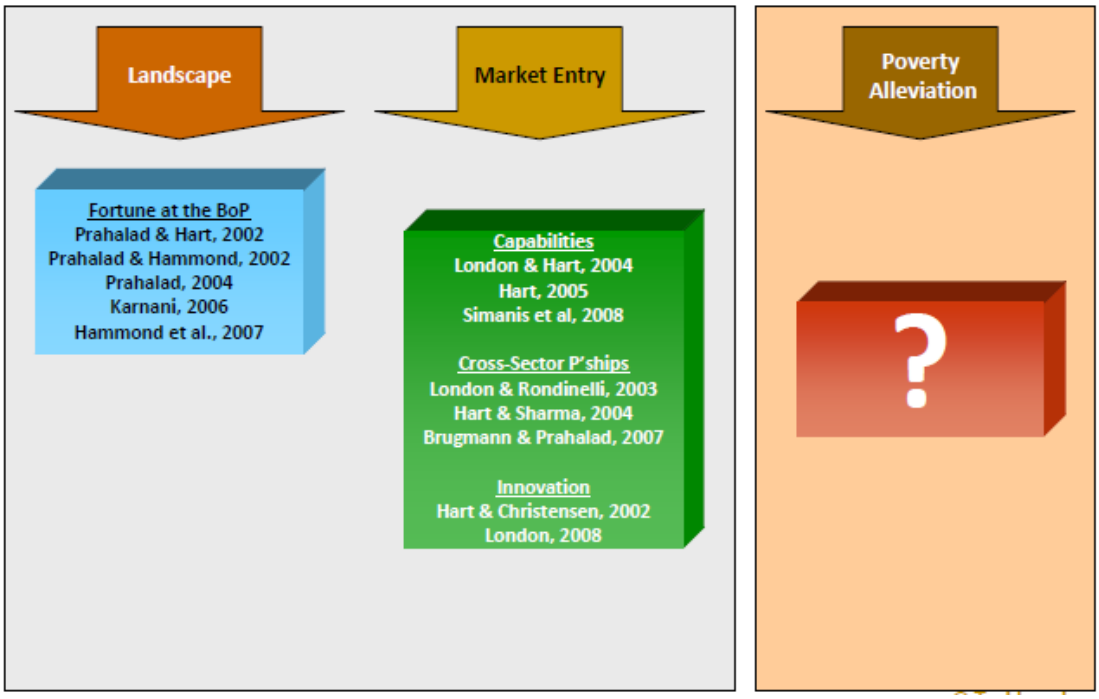


Figure 8: A BoP Overview (London 2008b: 2)

In Figure 8 London (2008b) illustrates how academic literature on the BoP has succeeded in establishing an understanding of:

(1) the market opportunity, termed the "Landscape";

(2) how to go about making use of the market opportunity - in terms of the capabilities, resources and networks required by business, termed "Market Entry".

On the right hand side of Figure 8, a knowledge gap is high-lighted on whether Private Sector initiatives targeted at the BoP are effective at creating mutual value for both business and people living within the lower income sector (termed "Poverty Alleviation" in London [2008b]).

2.6.1. Summary of Discussion on Need for Social Marketing Evaluation:

In summary, literature suggests that there is a growing need for reliable measurement, monitoring and reporting of business's social impact through multi-sector partnerships, to determine if these are an effective channel for development of the BoP.

2.7. What are the criteria for determining suitability of an M&E framework?

Within a Social Marketing context, owing to a large variety of health issues and the requirement to cater to the needs of different target audiences per country, one set of evaluation metrics does not apply to all behavioural change programmes (Chapman 2004).

What is needed is thus a common over-arching framework with which to structure the planning and evaluation of Social Marketing interventions (Chapman 2004). Using this framework, programme managers can select suitable indicators and metrics with which to measure performance of a behaviour change programme.

An ideal framework spans the life of a programme, monitoring and evaluating the respective phases of project planning, implementation and evaluation (Toffolon-Weiss, Bertrand and Terrell 1999).

To this end there are two types of models that can be used to structure the planning, implementation and evaluation of development interventions (Figueroa et al. 2002):

- A descriptive model which could be used to describe and explain what happened in the past – looking at why previous projects were un/successful.
- A prescriptive model, which can be used to plan what should happen - laying out a series of steps that, if successfully completed, are more likely to result in change.

In addition, a suitable framework enables the broadest spectrum of evaluation possible, covering the following fundamental phases of programme evaluation (Croyle 2005):

- Formative evaluation – pre-tests the strengths/weaknesses of materials to be used in the programme before implementation.
- Process evaluation - examines the steps taken to implement the programme.
- Impact evaluation - explores the changes in attitudes and knowledge of the target audience, gathers information about expressed intentions of the target audience and the impact for policy changes.
- Outcome evaluation - focuses on the long-term outcomes of the Social Marketing programme, such as long-term maintenance of behaviour change.

The following section of the literature review considers potential frameworks with which to plan, implement and evaluate Social Marketing interventions, drawing on the literature of Social Marketing evaluation and on the broader field of sustainability.

2.8. What frameworks are available to evaluate Social Marketing interventions?

A review of the academic literature found a variety of frameworks that could be applied when evaluating Social Marketing interventions. What follows is a discussion on each framework.

2.8.1. The Logical Framework Matrix and the PSI PERFoRM Framework:

The logical framework approach (log-frame) has become a widespread planning tool in development projects within developing countries (Reidar 2003).

Log-frames provide a mechanism for setting priorities and determining the intended results of a project (Jackson 2000). These can be clarified, as per Table 5, by using a generic matrix to lay out the logical relationships within the framework.

Table 5: The Logical Framework Matrix (Jackson 2000)

Objectives/activities	Indicators	Means of Verification	Assumptions
Overall objectives	Indicators	Means of verification	Assumptions
Project Purpose	Indicators	Means of verification	Assumptions
Results	Indicators	Means of verification	Assumptions
Activities	Means and indicators	Costs and means of verification	Assumptions

By structuring the planning of development programmes, the log-frame summarises the main concerns relating to development programmes (Reidar 2003) – therein addressing the dimensions of planning and evaluation.

From a Social Marketing perspective, the log-frame is a framework that integrates the objectives of a specific programme with the necessary theory of Social Marketing programmes - helping to better understand the correlations between Social Marketing activities and observed target audience behaviour (Chapman and Patel 2004).

A summary of Social Marketing log-frames as used by a selection of influential Social Marketing and development organisations is detailed in Appendix B.

A benefit of the log-frame is that it provides users with flexibility, in being able to add/remove attributes according to the specific behavioural problem under evaluation (Chapman and Patel 2004). It is thus a tool which can be used across a variety of countries and Social Marketing programmes.

For example, despite marketing a variety of products such as bed nets, condoms, nutrition supplements and water purification tablets Population Services International (PSI) - a global Social Marketing NGO - uses one over-arching conceptual framework to guide research on their Social Marketing interventions and activities (Chapman and Patel 2004). This framework is the log-frame.

Using the thinking under-scored in the generic log-frame matrix (Jackson 2000), a log-frame narrative for PSI's Social Marketing performance framework (the PERForM model) is set out

as per Table 6. A graphical representation of the PSI PERForM framework is contained in Appendix C.

Table 6: The PSI PERForM framework (Chapman and Patel 2004: 5) Adapted to the Logical Framework Matrix (Jackson 2000)

The log-frame matrix (Jackson 2000)	The PSI PERForM log-frame (Chapman 2004)
Overall Objective	• Health Status; • Quality of Life
Project Purpose	• Product Use; • Risk-Reducing Behaviour; • Need
Results	• Opportunity; • Ability; • Motivation • Population Characteristics
Activities	The 4Ps of the marketing mix: • Product; • Place; • Price; • Promotion

The PSI log-frame is classified into four main levels which relate to separate dimensions of planning and evaluation (Chapman and Patel 2004). The top level consists of the goals of Social Marketing for a health promotion intervention, which are either improved health status and/or - for interventions relating to coping with sickness or disability - quality of life (Faura and Chapman 2006).

The second level of the framework consists of the objectives of a Social Marketing intervention - stated as product or service use and/or other risk-reducing behaviours that do not involve the use of a product or service (Faura and Chapman 2006). The adoption or maintenance of these behaviours in the presence of a given risk or need for health services is causally antecedent to improving or maintaining health and or quality of life (Faura and Chapman 2006).

The third level consists of behavioural determinants - summarised in terms of opportunity, ability and motivation (Rothschild 1999) - that may differ by population characteristics (segments such as age and sex).

The fourth level consists of exposure to the Social Marketing intervention through traditional elements of the marketing mix (the 4Ps) (Chapman and Patel 2004).

The PERForM log-frame has been used as a template for the planning and evaluation of Social Marketing programmes by the PSI group. Research produced by the group submits that the framework is evaluable and comparable - having been used and tested across a variety of Social Marketing programmes, developing countries and target audiences over time (Chapman and Patel 2004).

2.8.2. The Precede-Proceed framework:

Many evaluation frameworks share a common logic for measuring the performance of Social Marketing programmes, which Price (2001) describes as capturing both the demand and supply-side factors of a Social Marketing programme.

Demand-side factors measure the Impact of a programme, which is defined as the extent to which a Social Marketing programme achieves behaviour changes that benefit the individual's and/or community's health status (Price 2001).

Croyle (2005) breaks the demand-side factors down further into Impact and Outcome – wherein Impact is the extent to which intended behaviour change is observed (such as the extent to which the target market washes hands with soap – as a means of reducing dysentery) and Outcome is the intended long term effect of the required behaviour change (such as better health and quality of life).

Supply-side factors measure the Effectiveness of a programme, which is defined as the extent to which a Social Marketing programme is able to improve access for the poor to products, services and information (Price 2001).

On the supply-side, Effectiveness is determined through the evaluation of Process and Implementation – which focus on aspects of delivery within a programme, providing a more

detailed understanding of how and why an intervention failed/succeeded in its achieving objectives (Thorogood and Coombes 2000).

A comprehensive research framework thus evaluates behaviour change programmes on multiple levels: from both a demand- and supply-side. In effect, such a framework measures Impact and Effectiveness (Price 2001). In order to do so on the supply-side sub-factors such as Process and Implementation are evaluated (Thorogood and Coombes 2000; Croyle 2005).

Table 7: Summary of Demand and Supply-side Factors of Social Marketing Programmes

Supply-Side Factors	Demand-Side Factors
Considers Inputs, specifically the Effectiveness (Price 2001) of Inputs, measured in terms of: • Planning (Thorogood and Coombes 2000) • Process (Thorogood and Coombes 2000) • Implementation (Thorogood and Coombes 2000)	Considers Impact (Price 2001) and Outcomes (Croyle 2005)

The Precede-Proceed model is a widely researched behaviour change model that reflects Price's (2001) demand- and supply-side thinking and provides a detailed, stage-by-stage framework by which to plan and evaluate a behaviour change programme. This framework is summarised in Figure 9.

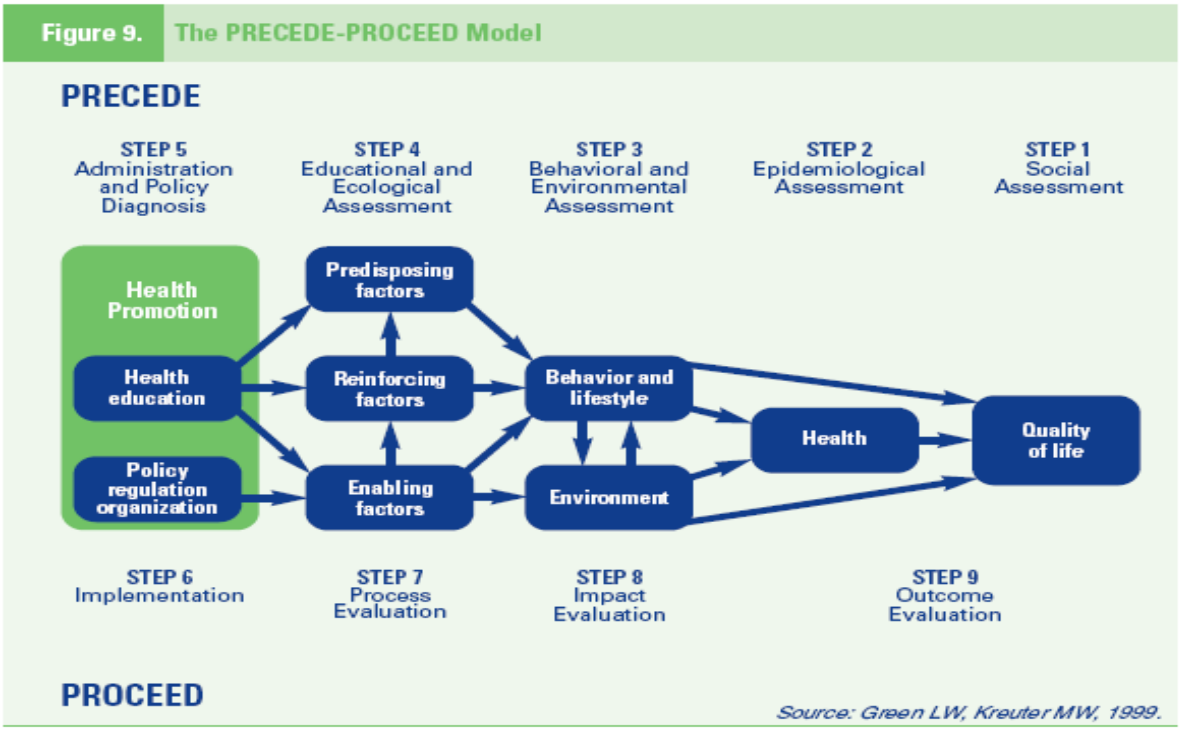


Figure 9: The Precede-Proceed Social Marketing Evaluation Framework (Green and Kreuter 1999)

Precede-Proceed is a planning model for health education programmes (Green and Kreuter 1999). The over-riding principle of the model is that most enduring health behaviour change is voluntary in nature and that behaviour change is most likely and lasting when people have actively participated in decisions about it (Green and Kreuter 1999).

This participatory principle drives the planning and evaluation process, which seeks to empower individuals with the understanding, motivation, and skills to improve their quality of life (Green and Kreuter 1999).

2.8.3. The Impact Value Chain

Another means by which development initiatives can measure the social and environmental impact of their activities is through a model such as the Impact Value Chain (Clark, Rosenzweig, Long and Olsen 2004).

Whilst not necessarily designed with behaviour change interventions in mind, the model is increasingly being used by organizations such as The Rockefeller Foundation to measure social returns on philanthropic investments.

The Impact Value Chain is relevant to this study owing to the underlying concept of "blended value" - the idea of creating value through social, environmental and financial means (Tuppen and Zadek in Slater 2004; New Economics Foundation 2008).

A key notion within this model is to differentiate actual outputs of a programme from intended outcomes – and then to determine how the outputs correlate to outcomes in a manner that includes opportunity costs and indicates economic value added (Clark et al. 2004).

Outputs are results that can be measured directly: for example, outputs for a home-ownership program would include the number of housing units built. Outcomes are the ultimate changes that the programme is trying to achieve in the world: for example, within the same home-ownership program, an outcome might be increased wealth and quality of life for low-income people (Clark et al. 2004).

As per Figure 10, Impact is that portion of the total outcome which occurs as a result of the Activity - above and beyond what would have happened if the intervention had not taken place (Clark et al. 2004).

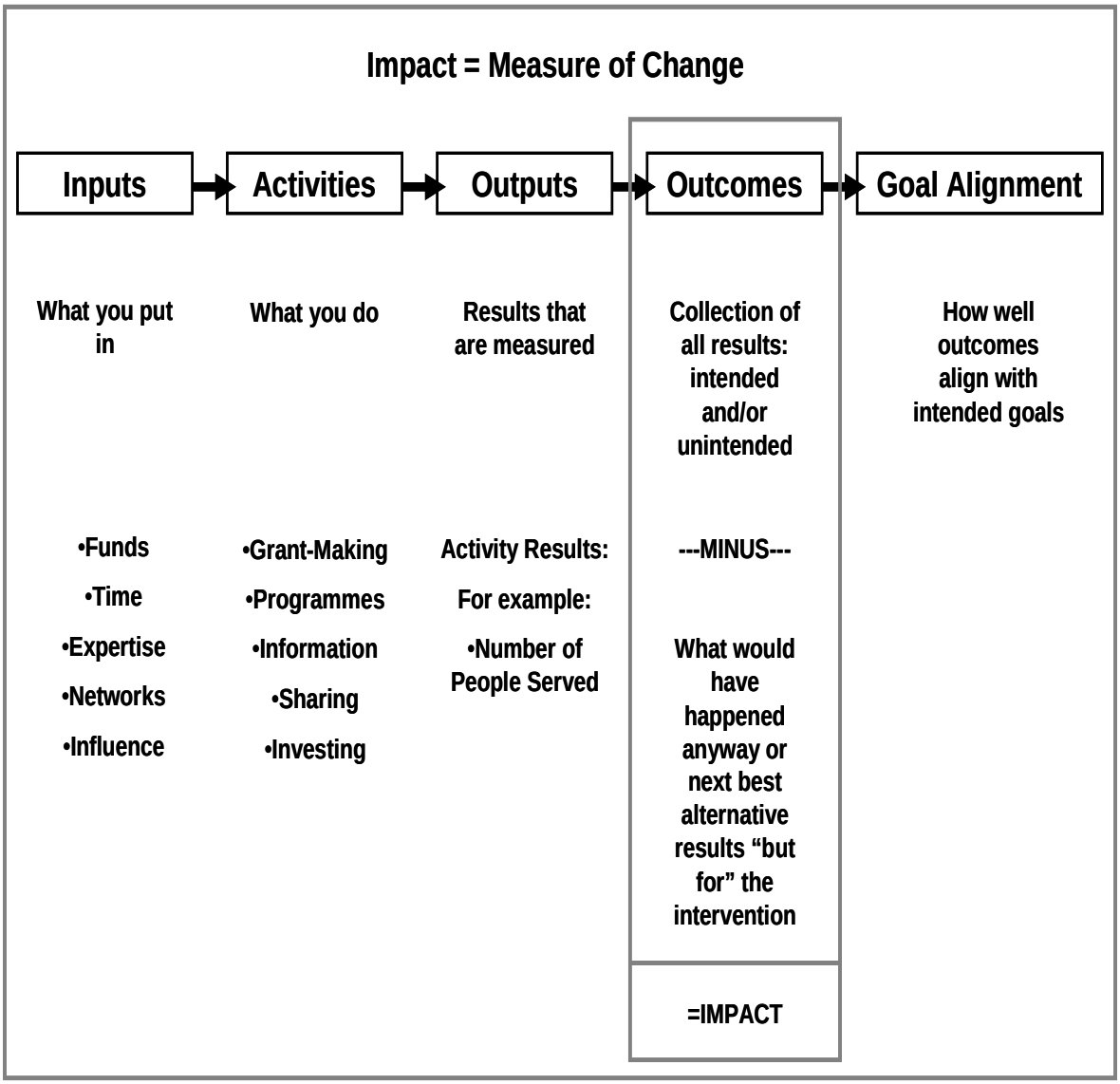


Figure 10: The Impact Value Chain (Clark et al. 2004: 122)

The Impact Value Chain would need to first be adapted to a Social Marketing context prior to successfully monitoring and evaluating Social Marketing programmes.

2.8.4. The BoP Impact Assessment Framework

London (2009) argues that organizations aiming to serve the BoP often consider the wrong measures when evaluating performance (if at all), by judging success at poverty reduction on the basis of milestones achieved and tasks completed.

Rather than measure milestones - such as quantity of products distributed, amount of money invested and number of interventions initiated - the argument is that impact evaluation should provide more of an understanding of who at the BoP is impacted by Private Sector BoP initiatives and how these people are affected (London 2008).

From a *how* perspective, London (2008a, 2008b, 2009) draws on the work of economist Amartya Sen to understand the concept of human well-being. Sen (1979, 1992) submits that well-being is a multi-dimensional construct involving several dimensions beyond economic well-being - and that poverty is an inadequate command over resources that detract from these respective dimensions of well-being.

Figure 11 details three dimensions of well-being employed in the BoP Impact Assessment Framework. To consider the effectiveness of an initiative targeted at the BoP, London (2008b) argues that there needs to be an understanding of collective impact – considering both positive and negative impacts – within each of these dimensions at the very least.

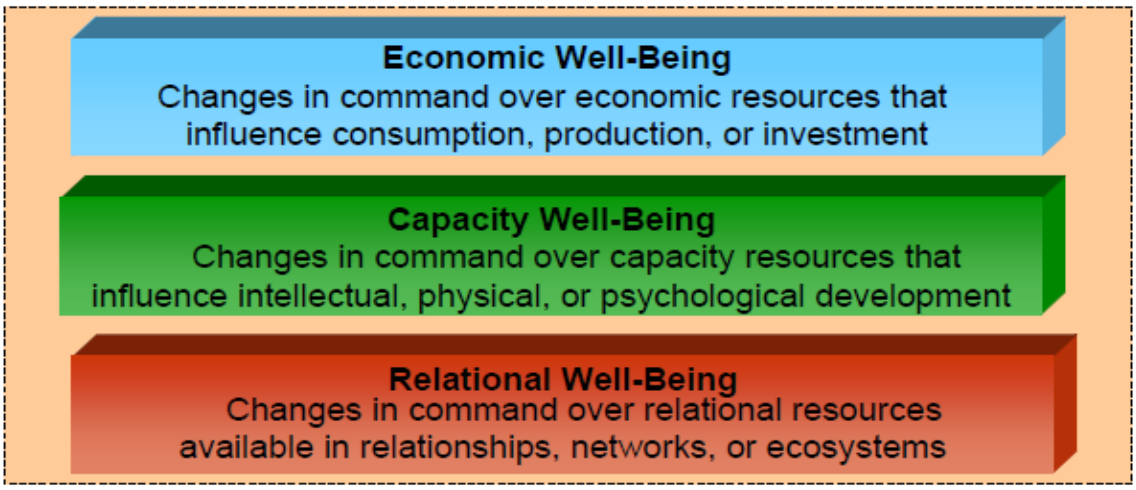


Figure 11: Several Dimensions of Well-Being (Sen in London 2008b: 17)

From a *who* perspective, London (2008b) suggests the key stakeholders in a Private Sector initiative targeted at the BoP are:

- The Community. In a Social Marketing initiative, the intention would be for behavioural changes achieved by an individual to radiate outwards through a Community.

- The Buyers/Consumers of the Product/Service being marketed . For example, the consumer in a Social Marketing initiative would be the user of a condom/mosquito net/water purification sachet)
- The Seller, Distributor and/or Producer of the Product/Service being marketed. If there are intermediary agents involved in taking the product to market and these agents work in/are drawn from a local BoP community, these people are stakeholders that need to be included).



Figure 12: Who at the BoP is Impacted by Private Sector BoP Initiatives (Adapted from London 2008: 17)

The BoP Impact Assessment Framework is constructed by combining the respective framework dimensions (*who* and *how*) into a matrix diagram as per Figure 13 - and populating the matrix with a variety of criteria to consider in terms of how BoP initiatives can affect the well-being of each stakeholder.

	Seller (Distributors or Producers)	Buyer (Consumers or Agents)	Community
Economic Well-Being	+/- Income, income stability +/- Access to credit/new debt incurred	+/- Economic consumer surplus +/- Economic productivity	+/- Local livelihoods and income +/- Other businesses serving community (e.g. competition)
Capacity Well-Being	+/- Skills, knowledge +/- Contentment; quality of life	+/- Health and morbidity +/- Self-confidence, dignity	+/- Perceptions about education, healthcare +/- Aspirations of women, minorities
Relational Well-Being	+/- Household roles +/- Social status	+/- Network access +/- Power of intermediaries (e.g. dependency)	+/- Gender equity +/- Relationship with environment

Figure 13: BOP Impact Assessment Framework (London 2008b: 18)

The BoP Impact Assessment Framework is designed to investigate both the positive and negative impact that a BoP initiative has on the economics, capabilities, and relationships of three specific constituencies (local buyers, local sellers/distributors, and local communities) (London 2009).

2.8.5. Summary of Discussion on Evaluation Frameworks.

Within the literature, several criteria were identified with which to determine the suitability of an M&E framework.

Selection of a suitable evaluation framework should be considered with respect to supply- and demand-side criteria; with respect to the applicability of the framework across a variety of developing country contexts, different target audiences per country and different health issues targeted per Social Marketing interventions; and with respect to practical criteria in planning and evaluation.

Notwithstanding the criteria identified above, there appears to be limited knowledge on what the suitability criteria would be when selecting an M&E framework for Social Marketing programmes as a market development approach for the Private Sector.

There is a need to develop a deeper understanding on what the criteria are for determining whether a Social Marketing M&E framework is suitable within a Private Sector context and a market development context.

This forms the focus of the first research question of this study.

Research Question 1:

What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention as a market development approach for the Private Sector?

Within the literature three potential M&E frameworks were identified for the evaluation of Social Marketing interventions.

There is opportunity for further research to build an understanding of the suitability of each of these frameworks as a means by which to evaluate Social Marketing as a market development approach for the Private Sector.

This forms the focus of the second research question of this study.

Research Question 2:

Which M&E framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

2.9. What Indicators are needed to Monitor and Evaluate Social Marketing Interventions?

Having established a framework with which to structure the planning, monitoring and evaluation of a Social Marketing programme, it is then necessary to populate the framework with suitable indicators with which to track and compare performance (Jackson 2000).

Indicators are the means by which to track performance of Social Marketing interventions (Chapman 2003).

Monitoring Social Marketing programmes refers to a process of assessing levels and trends of indicators over time within a targeted population (PSI Research Division 2006). The following questions are asked:

- What is the current level of the indicators among the targeted population?
- Are any important indicators changing over time in the targeted population?

Evaluation looks for associations between exposure to an intervention and behavioural determinants, by examining whether audiences who are exposed to a given intervention are more likely to change behaviour - and whether there is a relationship between the amount of intervention received and the extent of change (PSI Research Division 2006).

Both monitoring and evaluation entail tracking indicators that measure behaviour, behavioural determinants and exposure to the Social Marketing intervention.

2.9.1. The Role of Indicators and Metrics:

Metrics are useful for aligning and driving performance on sustainability issues that are relevant to the specific practical and strategic needs of a company, as well as to that company's specific stakeholder concerns (Ligteringen and Zadek 2005).

Ligteringen and Zadek (2005) submit that the ways in which such metrics drive performance are by providing:

- A functional, readily use-able tool to put commitments into practice
- Direction on what are the relevant issues to be addressed
- Normative clarity or benchmarks for employees on what is the correct thing to do
- A means for clear communication to internal and external stakeholders on social impact objectives and performance levels.
- Legitimacy to employee actions aligned with these metrics

2.9.2. Criteria for Selecting Indicators:

Jackson (2000) submits that indicators are needed for each output and activity within a planning framework and – that in order to be objectively verifiable – the indicators need to meet certain minimum requirements as listed below:

- Measurable – an indicator must be able to be measured in either quantitative or qualitative terms.

- Feasible – an indicator should be feasible in terms of finances, equipment, skills and time.
- Relevant and Accurate – an indicator should reflect what one is trying to measure in an accurate way
- Sensitive – an indicator should be capable of picking up changes over the time period interested in.
- Timely – an indicator should be able to provide information in a timely manner

Ligterignen and Kell (2006) recommend that sustainability metrics should be:

- Easy to use - provide a clear set of expectations, definitions and compilation methodologies
- Comparable - elicit similar responses in terms of data aggregation and presentation over time.
- Integrated - harmonize operational process guidelines with strategic reporting standards.

2.9.3. Indicators for Measuring Outcomes:

Using Croyle's (2005) categories of programme evaluation, Outcomes involves tracking the higher order outcomes of behaviour change.

This requires indicators or proxy indicators for Health and Quality of life (Green and Kreuter 1999) and for Environment (Thorogood and Coombes 2000).

2.9.4. Indicators for Measuring Impact:

Similarly, using Croyle's (2005) categories of programme evaluation, a series of potential social marketing indicators for Impact are discussed below.

Monitoring and evaluating Impact involves measuring changes in the target audience's Behaviour and Lifestyle, as well as in the Environmental factors that influence behaviour (Green and Kreuter 1999).

It is necessary to be realistic and selective in identifying and measuring behaviours that are feasible to adopt given a population's particular resources and structural conditions, as the ideal behaviour for solving a problem is not always practical for an at-risk population (Cabanero-Verzosa 2003).

Figueroa et al. (2002) identify the following potential measures for Impact:

- Substitution (of current behaviour for new behaviour)
- Product/Service Utilisation (Use)
- Health/Risk-Reducing Behaviour

2.9.5. Indicators for Measuring Process:

Once again, using Croyle's (2005) categories of programme evaluation, a series of potential social marketing indicators for Process are identified below.

Process indicators focus on aspects of delivery within a program, providing a more detailed understanding of how and why an intervention failed/succeeded in its achieving objectives (Thorogood and Coombes 2000).

For a Social Marketing programme, this involves identifying and measuring changes in the key determinants of behaviour (Chapman and Patel 2004).

There appear to be several approaches to identifying behavioural determinants:

- Identify the Predisposing factors, Reinforcing factors and Enabling factors that facilitate behaviour change by the target audience (Green and Kreuter 1999).
- Identify the benefits/motivators of - and the barriers/inhibitors to - behaviour change (Mckenzie-Mohr and Smith 1999; Nichols 2006).
- Identify the underlying behavioural determinants in relation to the OAM framework (Rothschild 1999; Chapman and Patel 2004).

Within each approach, different types of behaviour change theories are used to identify behavioural determinants (Fishbein et al. 2000). Two behaviour change theories identified by the above authors are:

- Stage or step theories, which centre on a set of stages that an individual passes through toward behaviour change.
- Models of behavioural prediction, which focus on the cognitive, emotional, and social factors that determine whether a behaviour is performed.

Each of these theories provides a range of determinants on which to plan Social Marketing interventions – and on which to develop indicators for the purposes of monitoring and evaluation.

From a behavioural prediction paradigm there are eight (8) commonly agreed on variables that are considered suitable determinants of behaviour (Fishbein et al. 2000), three of which are considered to be direct causes of behaviour (Intention; Skill; Environmental constraints) and five of which are considered indirect causes of behaviour (Attitude; Norms; Self-standards [image]; Emotion; Self-efficacy).

Under this paradigm, indirect causes are expected to influence behavioural intentions, which in turn can affect behaviour (Fishbein et al. 2000).

Over-laying the OAM behaviour change framework (Rothschild 1999) onto the Precede-Proceed model of behaviour change programme planning (Green and Kreuter in Croyle 2005) - and populating this new model with the eight variables of behavioural prediction (Fishbein et al. 2000) - a list of behavioural prediction indicators was identified for evaluating Process as per Table 8.

Table 8: Summary of Indicators for Tracking Process (Adapted from Rothschild 1999; Croyle 2005; Fishbein et al. 2000)

Theoretical Classification (Rothschild 1999; Croyle 2005)	Indirect Causes of Behaviour (Fishbein et al. 2000)	Direct Causes of Behaviour (Fishbein et al. 2000)
PreDisposing Factors (Croyle 2005) and/or Determinants of Motivation (Rothschild 1999)	• Social Norms • Attitudes and Beliefs • Expectations (Perceptions of Usefulness) • Threat • Self-Efficacy • Self-Standards (Self-Image)	Intention (to use/adopt behaviour)
Reinforcing Factors (Croyle 2005) and/or Determinants of Ability (Rothschild 1999)	• Knowledge • Social Support	Skill
Enabling Factors (Croyle 2005)	• Access/Availability • Product Attributes • Social Norms	Environmental Constraints

Strand and Rosenbaum (1999) discriminate between internal and external factors that determine behaviour, wherein external determinants are those forces outside the individual that affect his or her performance of a behaviour and internal determinants are the forces inside an individual's head that affect how he or she thinks or feels about a behaviour (Academy for Educational Development 1998).

Table 9: Summary of External and Internal Determinants that Can Influence Behaviour (Academy for Educational Development 1998)

External	• **Access:** encompasses the existence of services and products, such as condoms and needles, their availability to an audience and an audience's comfort in accessing desired types of products or using a service.
	• **Policy:** laws and regulations that affect behaviours and access to products and services. (For example, policies affecting HIV include those regulating needle exchange; products or services to minors without parental permission; partner notification and domestic partners regulations.)
	• **Culture:** the set of history, customs, lifestyles, values and practices within a self-defined group. May be associated with ethnicity or with lifestyle, "youth" culture.

	• **Relationship Status:** type of relationship, as categorized by the sexual partners and their community. Common categories are short-term/long-term;casual/serious; monogamous/ multiple partners.
	• **Actual Consequences:** what actually happens after performing a particular behaviour.
	• **Skills:** the set of abilities necessary to perform a particular behaviour. (For example, some of the key skills for protective HIV behaviours include communication, negotiation, sexual refusal, condom use skills and cleaning needles.)
Internal	• **Self-efficacy:** an individual's belief that he or she can do a particular behaviour.
	• **Perceived Social Norms:** the perception that people important to an individual think that s/he should do the behaviour. Norms have two parts: (1) who matters most to the person on a particular issue, and (2) what s/he perceives those people think s/he should do.
	• **Perceived Consequences:** what a person thinks will happen, either positive or negative, as a result of performing a behaviour.
	• **Knowledge:** basic factual knowledge about transmission of HIV, how to protect oneself from transmission, what test results mean, where to get services, etc.
	• **Attitudes:** a wide-ranging category for what an individual thinks or feels about a variety of issues. This over-arching category would include self-efficacy, perceived risk and other attitudinal factors.
	• **Perceived Risk:** a person's perception of how vulnerable they feel (for example: to infection with Human Immuno-Deficiency Virus or Sexually Transmitted Diseases)
	• **Intentions:** what an individual plans or projects s/he will do in the future; commitment to a future act. Future intention to perform a behaviour is highly associated with actually performing that behaviour.

From a step theory perspective, target populations can be distributed, as per Figure 14, across several stages of a change continuum: ranging from those who are unaware that a health problem exists; to those who are aware, concerned, knowledgeable and motivated to try a new behaviour; right through to those engaged in the new behaviour (Fishbein et al. 2000; Cabanero-Verzosa 2003).

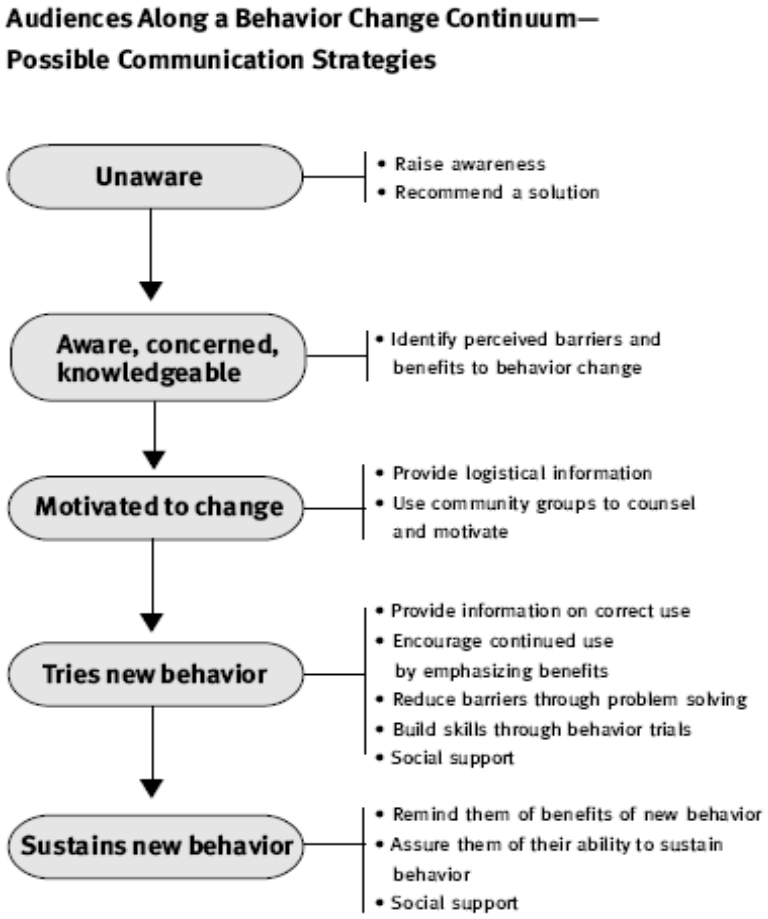


Figure 14: Example of a Step Theory Continuum of Behaviour Change (Adapted from Cabanero-Verzosa 2003: 14)

For monitoring and evaluation purposes, the respective stages of the behaviour change continuum could be used as indicators with which to track audience readiness to change.

Market segmentation is often required in order to profile audiences according to type of behaviour observed (Chapman and Patel 2004), as the distribution of a target audience along the continuum of behaviour change can influence the goals of a behaviour change campaign (Cabanero-Verzosa 2003) – and consequently the performance indicators required of a specific intervention (Chapman and Patel 2004).

Segmentation is often required from a Behavioural Prediction perspective too, as not all factors influence all population groups in the same way (Davies et al. 2005). Because each

group responds in a unique way to a set of influencing factors, it is necessary to segment groups based on epidemiological, demographic, attitude-specific and behavioural characteristics and to analyse these segments separately (Chapman and Patel 2004).

One potential method is to segment at-risk populations by Knowledge, Attitudes and Beliefs (KAB) (Cabanero-Verzosa 2003), respectively defined as:

- Knowledge - an understanding of why specific behaviour contributes to good health.
- Attitudes - a positive/negative feeling towards an idea/person/object.
- Beliefs - a framework of thinking about ideas/persons/objects

Changes in population characteristics are thus an important measure of a Social Marketing intervention (Chapman and Patel 2004) and can be used to measure Process, as defined by Green and Kreuter (1999) and Thorogood and Coombes (2000).

Using a log-frame, Chapman (2003) summarises the indicators PSI use for measuring progress on Rothchild's (1999) OAM levers, as well as performance on Croyle's (2005) categories of Social Marketing measures. These can be summarised as: Coverage; Quality; Efficiency; Equity of Access; Impact; Equity; and Cost Effectiveness.

2.9.6. Indicators for Measuring Implementation:

Using Green and Kreuter's (1999) categories of programme evaluation, a series of potential Social Marketing indicators for Implementation are discussed below.

As Social Marketing utilises commercial marketing techniques, the indicators for Implementation have been classified according to the 4Ps of the traditional marketing mix (Zaltman, Kotler and Kaufman 1972; Andreason 2002).

Product/Service:

Product interventions include any items or tangible services that both make a behaviour easier to perform and emphasize benefits that are meaningful to the audience (Plescia and Newton-Ward 2007).

A summary of indicators for Product, as identified in the literature, is contained in Table 10.

Table 10: Summary of Indicators for Product Identified in the Literature Review

Indicators for Product:	Reference:
• Makes a behaviour easier to perform	(Plescia and Newton-Ward 2007)
• Compatibility— the degree to which the proposed new behaviour relates to current practices	(Rogers 2003; Sullivan et al. 2007)
• Complexity— provides clear steps for application;	(Rogers 2003; Sullivan et al. 2007)
• Observability— provide examples and models that facilitate the exchange of experiences;	(Rogers 2003; Sullivan et al. 2007)
• Trial-ability— suggests easy ways to try the proposed new behaviours;	(Rogers 2003; Sullivan et al. 2007)
• Relative Advantage — demonstrates the benefits of new practices over current practices.	(Rogers 2003; Sullivan et al. 2007)
• Perception of usefulness	(Sullivan et al. 2007)
• Intention to use	(Sullivan et al. 2007)
• Actual use (of the product/service)	(Sullivan et al. 2007)
• Fidelity of use – actual method of use/application of the product or service is consistent with the intended application and targeted behaviour	(Adapted from Thorogood and Coombes 2000)
• Brand Appeal – the extent to which consumers identify with brand identity characteristics of a product/service – as a basis for differentiating a product/service from its competitors	(McDowell and Sutherland in Chapman and Patel 2004)
• Brand Attributes - the extent to which the physical components of a product/service are perceived to be practical to use.	(Rogers 2003; Chapman and Patel 2004)
• Quality of Care - the extent to which the promoted product/service are perceived to be of high value to the target audience at the delivery point or point of use. As the quality of care increases, so would target individuals seek out the product/service	(Chapman and Patel 2004)
• Substitution – that products/services within the Social Marketing intervention have substituted less beneficial products/services within the target audience's repertoire.	(Chapman and Patel 2004)

Price:

According to Exchange Theory, price relates to a trade-off or exchange of benefits for costs (Bagozzi 1975), whereby the aggregate cost to the target audience of changing behaviour is both financial and intangible - such as time, effort, psychological cost and lifestyle (TurningPoint 2002; Nichols 2006). A summary of indicators for Price, as identified in the literature, is contained in Table 11.

Table 11: Summary of Indicators for Price Identified in the Literature Review

Indicators for Price:	Reference:
• Affordability	(Chapman and Patel 2004)
• Willingness to Pay	(Chapman and Patel 2004)
• Equity of Access – whereby different target markets, irrespective of disposable income, have the same perception with regards to price as a potential barrier to use	(Chapman and Patel 2004)

Place:

Interventions of Place provide times and locations that are convenient or occur where and when the audience is likely to be thinking about the desired issue (Plescia and Newton-Ward 2007). In order to do so, opportunities for behaviour need to be made available in places that both reach the audience and fit the audience's lifestyles (Social Marketing Institute 2000).

A summary of indicators for Place, as identified in the literature, is contained in Table 12.

Table 12: Summary of Indicators for Place Identified in the Literature Review

Indicators for Place:	Reference:
• Coverage – Availability of product/service	(Chapman and Patel 2004)
• Quality of Coverage – Sufficient product held in-stock, promotions visible in-store and product placed on shelf.	(Chapman and Patel 2004; Sullivan et al. 2007)
• Equity of Access – that different target • markets at risk receive equitable access to the intervention	(Chapman and Patel 2004)
• Dose Delivered – the amount of intervention provided	(Thorogood and Coombes 2000)
• Dose Received – the extent of engagement with the intervention shown by the target audience	(Thorogood and Coombes 2000)

Promotion:

Promotion strategies are intended to persuade or inform an audience to adopt a new behaviour (Prescia and Newton-Ward 2007).

Monitoring and evaluating the Promotion component of social marketing programs can consider performance on communication strategy (Cabanero-Verzosa 2003), communicated message (Fishbein et al. 2000; Cabanero-Verzosa 2003) and communication channels (Chapman and Patel 2004; Davies et al. 2005).

A summary of indicators for Promotion, as identified in the literature, is listed in Table 13.

Table 13: Summary of Indicators for Promotion Identified in the Literature Review

Indicators for Promotion:	Reference:
• Readiness to Change (Unaware, Aware, Motivated to Change, Tries new Behaviour, Sustains New Behaviour)	(Cabanero-Verzosa 2003)
• Fidelity of Understanding and/or Consistency of knowledge, attitudes and beliefs (KAB) with intended message	(Thorogood and Coombes 2000; Fishbein et al. 2000; Cabanero-Verzosa 2003)
• Exposure	(Chapman and Patel 2004)

2.9.7. Broader Issues to Consider:

There are broader externalities of an intervention that are important to consider when planning and evaluating the effectiveness of a programme targeted at the BoP (London 2009). By measuring these externalities it would appear that it is possible to begin to understand the impact of an intervention as a market development mechanism (London 2008a, 2008b).

An understanding of stakeholder expectations of outcomes from development projects (Mayoux 2005) and of the broader externalities of business on society (Tuppen and Zadek in Slater 2004) is required to develop a set of social impact measures for development projects that are validated by all stakeholders.

To measure the broader externalities of business on society, current practice by the signatories to the United Nations Development Program (UNDP) Global Compact is to adopt a decentralised approach that measures sustainability outcomes from the point of view of major stakeholder groups impacted by an organisation's processes (Slater 2004).

From a BoP perspective, Hart and Sharma (2004) argue for Radical Transactiveness - that companies need to first identify the widest possible set of fringe/un-represented stakeholders - in order to then begin to understand and address the development needs of these people.

The aim with this approach is to develop indicators of how an organization affects the economic circumstance of un-represented stakeholders within the BoP, which is in contrast to the traditional business-centric approach of solely measuring the financial impact - profit, investments and labour productivity - on a company (Tuppen and Zadek in Slater 2004).

London (2008a, 2009) stresses the need to consider the multiplier effect of an intervention on the BoP, by measuring how an initiative affects the well-being of this constituency in three primary dimensions: their economic situation, their capabilities, and their relationships.

Measuring the linkage between a company's profit motivation and resultant company growth is understood and can be reliably reported through traditional financial reporting frameworks, but companies are only beginning to understand, quantify and report the final economic link between company growth and resultant poverty reduction (Slater 2004).

2.9.8. Summary of Discussion on Indicators and Metrics:

A further discussion on ways in which to evaluate Social Marketing programmes revealed the need for indicators with which to plan and measure performance.

There are a profusion of behaviour change theories and Social Marketing practices that can influence the planning, monitoring and evaluation of Social Marketing programmes. As a result, a broad variety of indicators were identified in the literature.

But there is a limited amount of research available on the type of indicators that the Private Sector should consider in conducting Social Marketing interventions and/or market development approaches.

As M&E of the Private Sector's contribution to development is a young and evolving area, there is opportunity for further research that can identify which indicators are necessary for measuring the performance of Social Marketing programmes as a market development approach for the Private Sector.

This insight forms the basis of the third research question in this study:

Research Question 3:

Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

2.10. Conclusion of Literature Review

The research problem guiding this study was to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

The following sub-problems were defined in relation to the central research problem:

Sub-Problem 1:	To determine which frameworks are available to evaluate a Social Marketing intervention.
Sub-Problem 2:	To determine which indicators are needed to evaluate a Social Marketing intervention.

Through a review of the academic literature, several questions were identified that highlighted the need for further exploratory research to be conducted in order to contribute knowledge towards answering the sub-problems guiding this study.

The Research Questions posed within the literature review were as follows:

Research Question 1	**What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention as a market development approach for the Private Sector?**
Research Question 2	**Which M&E framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?**
Research Question 3	**Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?**

The series of questions developed through the literature review trace a line of logic that provides guidance on where to focus research that aims to determine how to evaluate the effectiveness of a Social Marketing intervention.

The identification of potential answers and/or alternate views with respect to these Research Questions forms the focus of the ensuing methodological and results sections of the study.

CHAPTER 3: RESEARCH METHODOLOGY

3.1. Research Paradigm

From an epistemological perspective, this research aimed to build the understanding and use of Social Marketing as a market development approach for the Private Sector - by investigating potential M&E frameworks and indicators with which to determine the effectiveness of such interventions.

As the Research Questions posed in the literature review were open-ended in nature, an exploratory approach was required in order to investigate how to determine the suitability of potential Social Marketing M&E frameworks and indicators identified in the literature review.

A qualitative paradigm was deemed appropriate for an exploratory study of this nature, the reasons for which are discussed below.

Owing to the multi-stakeholder nature of social marketing (Curtis et al. 2007) and PPPs (Buse and Walt 2000; London et al. 2005) there was a need to collect information representative of a variety of different perspectives and stakeholders in order to ensure trustworthiness of findings. By eliciting a variety of view-points – which a qualitative approach enables - a more comprehensive understanding of the Research Questions would be achieved.

Guided by this thought, the Interpretivist qualitative paradigm was initially adopted in designing the research, as this is an approach rooted in the assumption that reality is subjective and multiple as seen from different perspectives (Ulin, Robinson and Tolley 2005).

Where the research goal was theory building – specifically investigating the suitability of an M&E framework and supporting indicators that would be applicable for use across a variety of different types of Social Marketing interventions and behavioural contexts - it was

necessary to use a qualitative approach in order to elicit descriptive data as a starting point for theory building (O'Connor and Netting 2005).

The type of information required for theory building is both interpretive and nomothetic in nature, the latter being information that refers to universal laws - in this case, laws applicable to the evaluation of Social Marketing programmes - as opposed to unique circumstances applicable to specific Social Marketing programmes (O'Connor and Netting 2005).

In order to ensure generalizability of findings, in accordance with a nomothetic approach, it was necessary to triangulate the data from this research to enhance the external validity/transferability of findings (O'Connor and Netting 2005). Enhanced external validity was achieved through data triangulation, as described in the sampling sub-section of this report.

3.1.1. Advantages of Qualitative Research to this Study:

The literature review illustrated that, in order to understand the effectiveness of Social Marketing interventions as a market development approach for the Private Sector, there is first a need to identify and/or develop an appropriate M&E framework with which to do so.

It was shown that there appears to be a knowledge gap on which M&E framework would be suitable for this purpose, given a need for such a framework to both capture and link the activities and objectives of a behaviour change project (on the one hand) with the commercially-oriented market-development outcomes required by the Private Sector (on the other).

This research was designed around contributing knowledge to close that gap, which required investigating what a suitable M&E framework and supporting indicators would be in this context. These activities fall in the area of theory building.

Ulin et al. (2005) submit that qualitative research methods are useful for theory building, because this type of research enables the researcher to:

- identify theoretical components of a conceptual model;
- support or refine a model;
- identify limits on generalizability of the model;
- and provide suggestions for an alternative model or theory.

A qualitative approach was deemed appropriate to this research, in enabling an exploratory discussion of the type of criteria that would need to be considered in selecting an M&E framework to fit this context – and to discuss the potential suitability of an existing M&E framework identified in the literature review with respect to strengths and weaknesses.

By doing so, the intention of the research was to identify a broad variety of criteria and suggestions that future research of a more confirmatory nature could use as a basis for consideration in the selection of evaluation frameworks and indicators.

3.1.2. Disadvantages of Qualitative Research:

A disadvantage of the qualitative research method is that, by focusing on an individual's interpretation of the world and in eliciting descriptive data, statistical analysis is often omitted (Bell 2006).

Qualitative information is thus often considered subjective and vulnerable to researcher bias (Miles and Huberman 1984), to the extent that the robustness of qualitative data can be called into question.

The researcher aimed to mitigate these disadvantages by:

- Making use of a semi-structured questionnaire that referred to a log-frame approach to monitoring and evaluation that is common practice in the development field and that employs standardised terms of reference (Jackson 2000).
- Terms were defined up front in the interview and the respondent's understanding

confirmed by the interviewer. By this means, a controlled attempt was made to ensure that the researcher and respondents avoided colloquialisms and placed similar meaning to words.
• Continuously querying and confirming the intended meaning of responses with respondents;
• Contacting respondents subsequent to the interview in cases where the researcher felt responses were ambiguous.
• Making use of open-ended questions that would minimise the risk of intentionally leading the respondents.

Another disadvantage of qualitative research can be sample size; specifically the extent to which data obtained from the sample is considered representative of the wider population (Leedy and Ormrod 2005).

In following an Interpretivist approach in this research as suggested by Ulin et al.(2005), a controlled attempt was made to source the opinions of a wide variety of practitioners from diverse professional backgrounds as defined by Curtis et al. (2007).

In the analysis of results, deliberate attention was paid to identifying both alternate and converging view-points, rather than prescriptively seeking areas of consensus of opinion. By these means, the generalizability of findings was controlled for.

In summary, an Interpretivist qualitative enquiry was conducted in order to identify the widest possible variety of view-points on the criteria with which to determine the suitability of potential Social Marketing M&E frameworks and associated indicators. Triangulation of respondents by professional background served to increase the generalizability – and nomothetic nature – of results.

3.2. Research Design

3.2.1. Defining the scope of the study:

The intention of the study was to understand the effectiveness of Social Marketing as a market development approach for the Private Sector.

In order to do so, the literature review investigated the mechanisms with which to determine effectiveness of a development programme – namely M&E frameworks and indicators.

Having identified a variety of potential frameworks and indicators in the literature, the research then set out to determine the criteria for understanding the suitability of respective Social Marketing M&E frameworks and associated indicators.

Suitability of M&E frameworks and indicators was investigated relative to both a development and Private Sector context – with the intention of determining whether Social Marketing is an effective market development approach for the Private Sector.

One of the frameworks identified in the literature review – the PSI PERForM framework - was then inductively evaluated on a combination of the suitability criteria identified in the literature review and on further criteria that emerged during data collection.

Similarly, that same framework was used as a platform on which to discuss what types of indicators are needed to evaluate a Social Marketing intervention as a market development approach for the Private Sector.

By these means the study both identified potential suitability criteria with which to screen potential M&E frameworks, and explored the suitability of a particular framework (the PSI PERForM framework) and associated indicators in the context of these criteria.

3.2.2. Use of the PSI PERForM log-frame as an M&E framework:

Within the literature review, log-frames were identified as a potential M&E framework for determining the effectiveness of a development programme (Jackson 2000; Reidar 2003).

Drawing on a meta-analysis of findings from both existing academic literature and social marketing interventions conducted by Population Services International (PSI), Patel and Chapman (2004) asserted that the PSI PERForM (logical) framework is a suitable means by which to structure the evaluation of Social Marketing interventions.

The motivation for this finding was that this particular framework is both evaluable and comparable, in having been used and tested across a variety of Social Marketing programmes, developing countries and target audiences over time (Patel and Chapman 2004).

The PSI PERForM framework also appears to have been relatively well covered in the literature (Price 2001; Chapman and Patel 2004; Davies et al. 2005; Chapman 2006).

On these grounds, the PSI PERForM log-frame presented in Figure 16 below and discussed in the literature review, was selected as the M&E framework for inductive and critical analysis in this research.

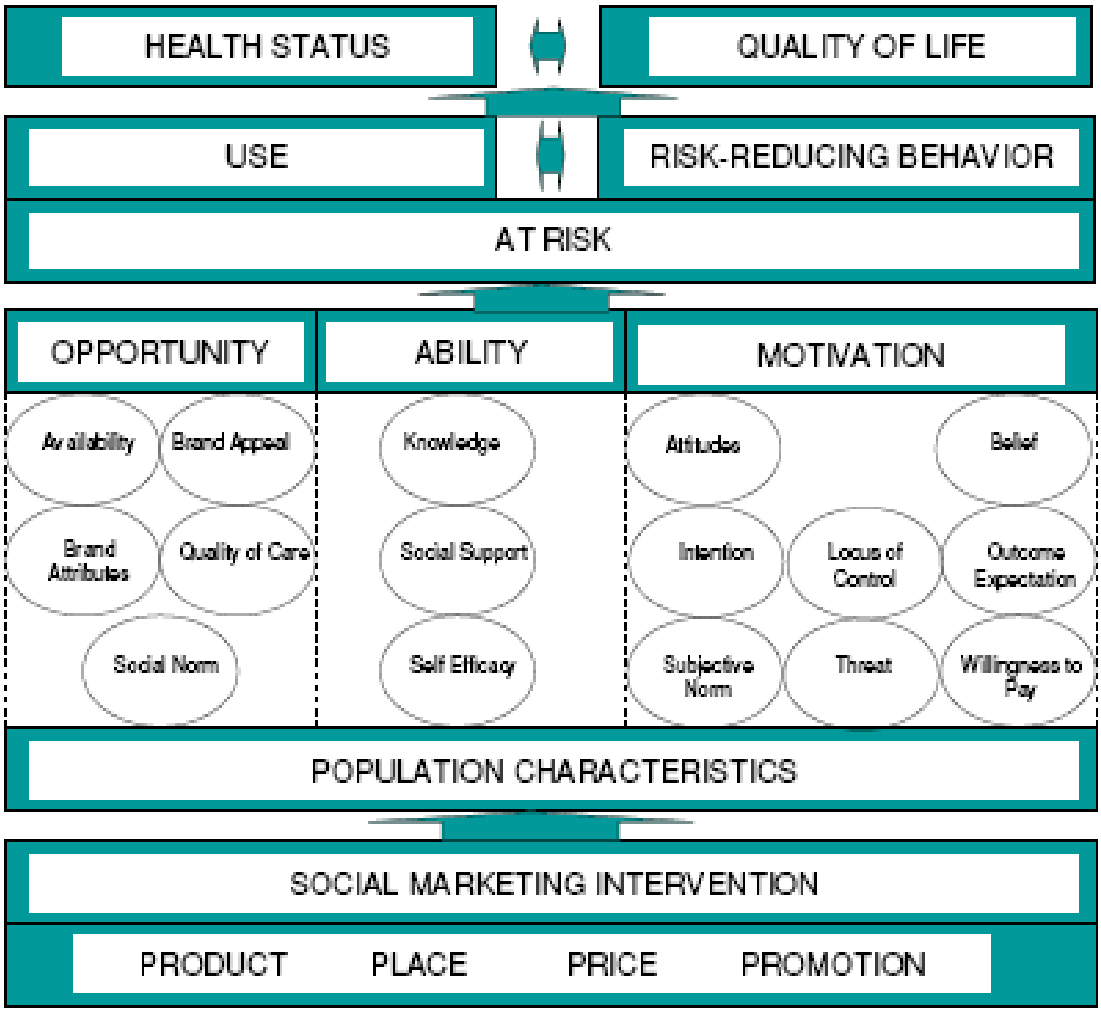


Figure 15: The PSI Behaviour Change Framework over-layed onto the PSI PERForM log-frame (Chapman and Patel 2004: 5)

3.2.3. Methodological Approach

A participatory design was selected for this research, because of the researcher's dependence on exploring the opinion, lived experience and personal view-points of a variety of Social Marketing and M&E experts and of critical cases from the Private Sector (Ulin et al. 2005).

The study was collaborative by design, whereby participants were actively encouraged to express their opinions and such that the researcher continually adapted the flow of the study according to feedback specific to each participant.

In order to achieve a collaborative outcome, In-Depth Interviews were used to collect data, as recommended by Ulin et al. (2005).

In-depth interviews are a qualitative technique in which participants are probed on a topic by the researcher in order to maximise the depth of data that can be elicited from the research (Creswell 1998).

In the context of this research, the one-on-one nature of the interviews provided a suitable forum in which to encourage each respective participant to reflect and debate on the suitability of social marketing M&E frameworks and indicators within a market development context (Ulin et al. 2005).

3.2.3.1. Advantage of In-Depth Interviews:

The advantage of In-Depth Interviews was that - in accordance with the Interpretivist paradigm adopted in this research - a broad variety of opinions could be explored, as opposed to seeking convergence in opinion (Creswell 1998; Ulin et al. 2005).

Further, the suitability criteria that emerged from the interviews could be cross-analysed according to the professional backgrounds of individual participants, which would enable contrasting opinions to be analysed and discussed in context.

3.2.3.2. Disadvantage of In-Depth Interviews:

The disadvantage of this methodology was that contextual differences between participants made it likely that it would be difficult to establish parallels across data sources.

This in turn could raise questions on the dependability (reliability) of the research. In order to resolve this concern; consistency in the research process was ensured by using a semi-structured questionnaire (Ulin et al. 2005).

The questionnaire can be found in Appendix F.

Another potential disadvantage of this technique was in the objectivity (confirmability) of findings. In qualitative research there is a need to confirm whether the capturing and presentation of data accurately reflects the participants' experiences and perspectives (Kelly in Terre Blanche and Durrheim 1999).

In order to resolve this constraint the qualitative researcher was obliged to be aware of and document his/her own role in the research process – by applying reflexivity on biases, assumptions or reactions that might have influenced the collection and interpretation of information (Ulin et al. 2005).

For the purposes of this research, reflexivity has been integrated – where necessary -into the interpretation and analysis section of the report (Chapter 5).

3.3. Population and Sample

3.3.1. Population:

The intention of the study was to understand the suitability of a selected framework for the evaluation of Social Marketing interventions - as a platform on which to identify broader attributes that may infer suitability of Social Marketing frameworks to a Private Sector market development context.

Given the variety of stakeholders involved in PPPs focused on delivering Social Marketing interventions (Curtis et al. 2007) there were a variety of opinions that needed to be considered in order to answer the Research Questions.

In accordance, the study set out to source multiple view-points on the topic: to understand the suitability of evaluation frameworks from the perspective of a variety of stakeholders.

The population definition adopted Curtis et al. (2007) definition of the stakeholders involved in Social Marketing PPPs - and set out to include representatives from: Academia; Multi-lateral and Donor Organisations; Private Sector and Government.

The target population was considered to be those expert individuals who have specific experiences and/or particular expertise in the field of Social Marketing and/or behavioural programme evaluation, globally.

This definition of the population included a mix of stakeholders – both those directly involved in the design and implementation of monitoring and evaluation (M&E) systems for Social Marketing interventions and those involved in the implementation of Social Marketing interventions.

3.3.2. Sampling Methodology:

Consistent with the population definition recommended by Curtis et al. (2007), the sample was comprised of participants representative of Academia, Multi-lateral and Donor Organisations, the Private Sector and Local Government.

A judgement (purposive) sampling technique was used to source subjects for the qualitative interviews, as the research question required subjects with a specific expert knowledge of, or experience in, social marketing evaluation (Ulin et al. 2005).

The sampling technique involved an active selection of suitable respondents based on the researcher's knowledge of the research area and the available literature on the topic (Marshall 1996).

Private Sector and Academic subjects known to the researcher through professional circumstances indicated an interest in participation in the proposed study, whilst Government subjects were identified through the researcher's professional network and through a snow-balling technique with participating respondents.

External Support Agency subjects (such as The World Bank and Unicef) were accessed via the researcher's relationship with Private Sector employees currently involved in Public-Private-Partnerships and/or via the South African Monitoring and Evaluation Association (SAMEA) listserv (a group email network of individuals with similar professional interests).

Where relevant to achieving data saturation, an iterative approach to sampling and data collection was used. Using a snow-balling technique, participants were asked to recommend other suitable candidates for the study. The snow-balling technique was applied in locating suitable respondents from all types of professional backgrounds.

By this means, an attempt was made to collect a broad range of relevant viewpoints, such that data from multiple sources could be analysed (Ulin et al. 2005). The sampling methodology was thus appropriate to the Interpretivist paradigm guiding the research.

A total of nine (9) respondents participated in this study, each of whose name, position and organisation are listed in Table 14.

A more detailed discussion on the size and nature of the sample is contained in the latter part of this Chapter (Section 3.7: *Limitations* and Section 3.8: *Validity and Reliability*). In both of these sections potential limitations are discussed and quality of data substantiated.

The key assertion is that the limited number of respondents is a direct result of the emerging nature of Social Marketing as a market development mechanism for the Private Sector - and the consequent limited number of available experts who can contribute appropriate knowledge on the discussion.

Encouragingly, within the recruited sample a spread was achieved across a variety of professional sectors relevant to exploring the concept of Social Marketing as a market development mechanism - such that the findings presented in Chapter 4 are arguably valid in the context of formative research which other studies of a more confirmatory nature can build upon.

Table 14: Names of Respondents in In-Depth Interviews By Professional Profile

Name	Organisation Represented	Role within Organisation
Marelize Gorgens-Albino	• World Bank HIV/AIDS Programme: Global AIDS Monitoring and Evaluation Team (GAMET)	• Monitoring and Evaluation Specialist
Helen Trevaskis	• Project Champion: The Unicef/Unilever Global Partnership on Hand-Washing with Soap	• Programme Manager/Consultant
Benita Van Wyk	• Feedback Research and Analytics • South African Monitoring and Evaluation Association (SAMEA)	• Director • Board Member
Dr Kirston Greenop	• Mindset Network, Southern Africa	• Research, Monitoring and Evaluation Manager
Judy-Marie Smith	• loveLife Trust, South Africa	• Monitoring Head
Gregg Ravenscroft	• Khulisa Management Services, Southern Africa	• Senior Associate
Louise Duys	• Unilever South Africa	• Corporate Social Responsibility Manager
Dena Lomofsky	• Southern Hemisphere Development Consultants	• Director
Jill Bredenkamp	• Unilever South Africa • "In Safe Hands" global hand-washing with soap behaviour change programme	• Director, Unilever • A consultant to the "In Safe Hands" hand-washing with soap behaviour change programme, a PPP between London School of Hygiene and Tropical Medicine (LSHTM), Unilever, The World Bank and Government of Tanzania.

3.4. The Research Instrument

The interviews were designed along the lines of an "interview guide approach" (Ulin et al. 2005: 43), in which the issues to be covered in the interview were specified prior to the interview taking place, but in outline form through the use of a semi-structured questionnaire.

By this means the interviewer was able to decide on the sequence and wording of questions during the course of the interview and adapt to the nature of responses from each participant in the research.

In all interviews, the interviewer asked a set of questions that would first frame the discussion – and then followed up on specific comments made by participants.

The structured aspect of the discussion guide was beneficial in ensuring data collection was systematic across each respondent; however, there was a risk that important topics could have been missed if the researcher had not probed further into situational responses.

To minimize this risk, an "informal conversation interview" was blended into the semi-structured questionnaire - where relevant - such that the researcher re-thought and modified elements of the discussion guide according to the context and nature of data emerging (Ulin et al. 2005: 33). This flexibility intended to enhance the collaborative nature of the study.

Six (6) open-ended questions were designed into the discussion guide, aligned with exploring and understanding the three (3) under-lying Research Questions identified in the literature review.

The discussion guide can be found in Appendix F.

3.5. Procedure for Data Collection

Face-to-face In-Depth Interviews were conducted where possible and telephonic interviews were conducted in cases when it was not possible to meet personally.

3.6. Data Analysis and Interpretation

Analysis of the interview transcripts involved using an iterative qualitative analysis process to identify and distil themes and sub-themes that were relevant to answering the respective Research Questions.

These themes were then analysed according to the Interpretivist approach, by looking for similarities and differences in perspective between each participant, to explain patterns of behaviour (Ulin et al. 2005).

This was achieved by considering the context of the social, cultural, political and physical environments of the respondents who participated in the study (Ulin et al. 2005).

By this means, interpretation of results was conceptually structured as follows:

- To identify and discuss where the view-points of different respondents converged.
- To highlight differences in opinion and discuss these with respect to each respondent's professional background to understand how/why respondents differ in opinion.
- To highlight unique perceptions and discuss these with respect to respondent context in order to identify what contextual factors led to the respondent thinking so.

Finally, the findings from the interviews were interpreted relative to findings from the literature review.

The research aimed to identify criteria with which to determine suitability of an M&E framework (Research Question 1), to make a reasoned judgement about the extent to which the PSI PERForM framework is suitable as an M&E framework (Research Question 2) and to identify suitable indicators that could be used in the evaluation of other social marketing programmes (Research Question 3).

To this end, the analysis and interpretation of data was conceptually organised along the following lines:

1. Analytical categories of suitability criteria were developed using existing theory obtained from the literature review.
2. Emergent categories of suitability criteria were identified using observations from the interviews.
3. An evaluation matrix was then developed by combining both existing and emergent categories of suitability criteria.
4. The evaluation matrix was applied as a tool to inductively evaluate the suitability of the PSI PERForM framework.
5. Based on the evaluation in step 4 above, recommendations were made on the pros, cons and limitations of the PSI PERForM framework.
6. Suitable indicators were then identified with which to populate social marketing M&E frameworks for the Private Sector.

A qualitative analysis process as advocated by Ulin et al. (2005) was followed in order to identify relevant themes within each stage of the research described above. This involved filtering the interview data through the following iterative process: reading, coding, displaying, reducing and interpreting.

Coding involved looking for emerging themes within the transcripts and attaching reference codes to blocks of text that represented those themes (Ulin et al. 2005).

Codes were developed using analytical categories that recorded the data in two (2) types of packages as proposed by Schatzman and Srauss (1973) in Huberman and Miles (2002), but adapted for the purposes of this study:

Data Packages Recorded During Interpretation of In-Depth Interview Data		
Data Package 1	Observational Notes	Observational notes were classified as those criteria that fall into the category of existing theory identified in the literature review;
Data Package 2	Theoretical Notes	Theoretical notes entailed controlled attempts by the researcher to derive meaning from those observations from the In-Depth Interviews that did not fall into existing theory.

A coding sort was used to index the data into these respective categories, by copying and pasting computer segments from the transcripts into a new computer file. By this means, the qualitative data was coded according to both the existing categories identified in the literature review and emergent themes that emerged from the interviews.

A code mapping exercise was then conducted to explore potential graphical representations of the relationships between themes that emerged from the interviews (Ulin et al. 2005). Mind-maps were used for this purpose, as a suitable tool for pattern-recognition and information processing (Buzan and Buzan 2003).

Mind-maps presenting the themes for each respective research question can be located in the Appendix to this research. The mind-maps were referred to within the presentation of results.

Once a base set of suitability criteria had been identified in the research (answering Research Question 1), the PSI PERForM log-frame was inductively evaluated as one of the potential M&E frameworks identified in the literature review (answering Research Question 2).

The evaluation examined the structure of relationships between the PSI PERForM framework and the suitability criteria identified through Research Question 1. By combining both the suitability criteria identified in the literature review and the criteria elicited from the In-Depth Interviews, a suitability matrix was developed and used to conduct an inductive evaluation of the PSI PERForM framework.

In order to answer Research Question 3 - to identify suitable indicators that could be used in the evaluation of other social marketing programmes - themes were drawn out from responses to the interviews and presented using a mind-mapping technique as proposed by Buzan and Buzan (2003).

3.7. Limitations:

The study used a cross-sectional design that captured expert opinions and contemporary practice in Social Marketing evaluation at a given point in time.

It was recognised that a cross-sectional design is representative of knowledge at that point of time and that as knowledge progresses there are limitations in the extent to which findings can be generalized over time.

There were two (2) potential methodological limitations in the sample recruited for this research that could have negatively effected validity:

- The first had to do with limitations in achieving a maximum variation sample;
- The second involved limitations in sample size.

On the former, participants were recruited along Curtis et al.'s (2007) definition of the types of stakeholders involved in a PPP using Social Marketing to achieve health behaviour change outcomes. This entailed interviewing participants from a variety of different sectors - Academia, NGOs and Implementing Agencies, Private Sector and Donor/Multi-lateral organisations – each of whom represented a stakeholder grouping with specific interests (Curtis et al. 2002).

Suitably knowledgeable and/or qualified respondents were recruited for all stakeholder categories except Government, owing to repeated and prolonged barriers in identifying and securing commitment from members of Government to participate in this research. An important opinion/view-point is thus missing in the data.

On the second methodological limitation regarding sample size, a total of nine (9) respondents were recruited, which could be challenged as too small for a qualitative study of this nature.

A subsequent section of this Chapter (Section 3.8: *Validity and Reliability*) addresses the potential limitations in sample size in detail and argues that the recruited sample was indeed small, but sufficient from both an internal and external validity perspective.

A summary of the key reasons for this finding were substantiated as follows:

- the limited number of respondents is a direct result of the emerging nature of Social Marketing as a market development mechanism for the Private Sector - and the consequent limited number of available experts who can contribute appropriate knowledge or experience on the discussion;
- the depth of data obtained from the sample sufficiently answered the research questions guiding this study; more specifically, as an exploratory study the sample size was sufficient to identify a broad variety of themes which future studies of a more confirmatory nature could use as a basis for consideration in the selection of evaluation frameworks and indicators.
- data collection in the study was closed at nine (9) subjects as this was the point at which convergence occurred – whereby existing themes had begun to be repeated by participants with similar professional backgrounds and emergence of new themes had begun to tail off.

Encouragingly, within the recruited sample a spread was achieved across a variety of professional sectors relevant to exploring the concept of Social Marketing as a market development mechanism - such that the findings presented in Chapter 4 are arguably valid in the context of formative research which other studies of a more confirmatory nature can build upon.

3.8. Validity and Reliability:

3.8.1. Internal Validity:

O'Connor and Netting (2005) raise concerns about the objectivity of the qualitative inquirer, particularly how to ensure the factual accuracy of the data gathered. To ensure that the researcher was not distorting the subjects' responses, thick open-ended descriptions were elicited from subjects.

A semi-structured interview format was used to guide each subjects thinking and to foster a shared agreement between the researcher and subject on the framework and each category of indicator (O' Connor and Netting 2005).

The interview structure was grounded in theoretical categories of social marketing evaluation, enabling the researcher to cross-reference the indicators inductively identified in the interview with a supporting theoretical description (Bryman and Burgess 1994).

This was achieved by drawing on the logical framework approach to programme planning and evaluation (Jackson 2000) and by making reference – where needed in the interviews – to a table of several log-frames populated with Social Marketing inputs (Appendix 2).

The social marketing inputs were drawn from the literature review (Mckenzie-Mohr and Smith 1999; Chapman and Patel 2004; Green and Kreuter in Croyle 2005; Nichols 2006) and adapted to Jackson's (2000) log-frame template by the researcher.

3.8.2. External validity:

It was intended that the findings of this study be applicable across multiple Social Marketing programmes and countries, which necessitated a high degree of external validity.

Albeit that the generalizability of qualitative findings tends to be limited, it has been shown that the functionalist paradigm of qualitative research allows for a phenomenon examined in a particular setting to contribute to the development of knowledge applicable to a wider universe (O'Connor and Netting 2005) and that the interpretivist paradigm is suitable .

To improve external validity, the sample was designed to maximise variation in responses, by including subjects with experience across a broad variety of developing country target audiences and Social Marketing actors (Academic; Private Sector; Multi-lateral and Donor Organisations). Through data triangulation, the researcher was able to extract perceptions of Social Marketing evaluation from several different perspectives and settings (Seale 1999).

Further, all transcripts of the interviews were coded and analysed using a content analysis technique. Using counts to understand how frequently a theme was identified enabled deductive analysis for the purposes of greater external validity (Krippendorff 2004).

3.8.3. Validity of Sample:

In this research a total of nine (9) In-Depth Interviews were conducted. Albeit a relatively small sample size, the validity of the sample and the robustness of the data that emerged from the interviews can be substantiated relative to the following criteria:

(1) Sufficiently answered the research question: In qualitative research the optimum sample size is determined by the degree to which incoming data adequately answers the research question (Marshal 1996).

In the context of this study, validity is considered with respect to the degree to which each Research Question identified in the literature review was adequately answered.

Research Question 1: What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention as a market development approach for the Private Sector?

This was an exploratory study designed to contribute descriptive knowledge on the use of frameworks and indicators for determining the effectiveness of Social Marketing interventions as a market development approach.

As an exploratory study, the objective was to identify themes from participant responses which future studies of a more confirmatory nature could use as a basis for consideration in the selection of evaluation frameworks and indicators.

As a means of identifying considerations for future studies, the sample size was sufficient in being able to elicit a broad range of expert opinions – and to identify a broad variety of themes/suitability criteria.

Presented in Chapter 4 of this research are a broad variety of themes that were identified as a means by which to determine the suitability of an M&E framework for the private sector.

Encouragingly, the themes that emerged from the interviews both referred to, and enhanced, the criteria already identified in the literature review.

Research Question 2: Which M&E framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

The set of evaluation criteria identified above were populated into a matrix which served as a tool by which to conduct an inductive evaluation on the suitability of the PSI PERForM framework as an M&E framework.

By this means it was possible to develop insight into the strengths and limitations of the PSI PERForM framework as a potential M&E tool for the Private Sector to consider.

Where the literature review had highlighted a knowledge gap with respect to the identification and application of suitable M&E frameworks within this area (London 2008a, 2008b), the sample size was sufficient to elicit a depth of information and a variety of suitability criteria that could be used as a starting point in closing this gap.

The suitability criteria that populated the matrix were identified via both subjective (emerging from interview responses) and objective (existing in the academic literature) approaches.

As a means of identifying a broad base of subjective criteria from respondents, the sample size achieved its objective, particularly when complemented with a broad set of objective/theoretical criteria identified in the literature review.

Considered without the objective/theoretical criteria, there would likely have been validity concerns about the extent to which the subjective criteria that emerged from the research were sufficient to answer Research Question 2; however the design of the study set out to avoid this limitation by combining both theoretical and subjective criteria.

Research Question 3: Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

Findings on Research Question 3 were not as expected: there was a shared tendency by respondents to question the design of Research Question 3 given prior responses to the previous Research Questions.

Respondents consistently suggested that, where each type of behaviour is likely to require a unique under-lying behaviour change theory (Fishbein et al. 2000), it is not appropriate to try identify generic indicators applicable across all types of behaviour change projects.

Albeit that the responses to question 5 were not as expected, the respondents' shared tendency to resist describing a set of potential indicators was consistent with the nature of responses submitted to the earlier questions in the study. Ulin et al. (2005) assert that a logical relationship between findings and consistency in the nature of explanations builds

confidence in the truth of findings, by showing that respondents have an accurate understanding of the concept under discussion.

This finding provides a good basis to suggest that the sample size was large and representative enough to gain a credible understanding of the limitations inherent in Research Question 3.

(2) Convergence of opinion: The point at which little new information is obtained from additional interviews is the point where a researcher can be reasonably confident that the source of information has been saturated to the point of redundancy (Glaser and Strauss 1967 in Ulin et al. 2005).

Data collection in the study was closed at nine (9) subjects: this being the point at which existing themes had begun to be repeated by participants with similar professional backgrounds and emergence of new themes had begun to tail off.

(3) Maximum variation sample: An appropriate sample size depends on the completeness of data obtained (Rubin and Rubin 1995 in Ulin et al. 2005). The Interpretivist qualitative perspective that guided this research works off the assumption that reality is subjective and multiple as seen from different perspectives; thus the intention of the researcher was to source a wide variety of different perspectives on the issue in order to collect information that is representative of a range of individual experiences (Ulin et al. 2005).

The aim of the researcher under the Interpretivist paradigm was to identify and explore the widest range of potential themes - and to consider these with respect to different stakeholder perspectives.

Participants were recruited along Curtis et al.'s (2007) definition of the types of stakeholders involved in a PPP using Social Marketing to achieve health behaviour change outcomes.

This entailed interviewing participants from a variety of different sectors - Academia, NGOs and Implementing Agencies, Private Sector and Donor/Multi-lateral organisations – each of whom represented a stakeholder grouping with specific interests.

Given the variety of stakeholders represented in the sample, the researcher was able to extract perceptions of Social Marketing evaluation from several different perspectives and settings. By deliberately selecting participants from a variety of fields triangulation of data was possible. This ensured consistency with the recommendations for external validity made by Seale (1999).

Evidence of data triangulation is provided in Appendix E.

The lack of respondents from Government in this study does limit the extent to which a maximum variation sample could be achieved. Further such studies should bear this in mind.

(4) Nature of population: Buse and Walt (2000), Mayoux (2005) and Curtis et al. (2007) submit that PPPs and collaborative health behaviour change partnerships are an emerging field.

There is thus a limited local (South African) and global (international) population of potential subjects with either the requisite experience (critical case) and/or knowledge (key informant) from which to draw a substantial sample.

Indeed, to achieve a valid sample, the researcher had to look internationally to complement the local sample.

A sample size of nine (9) is considered valid relative to the nature of the expert population available.

3.8.4. Reliability:

The use of structured interviews served to standardise data collection techniques across all subjects - therein enhancing the reliability of the qualitative research.

To enable future researchers to conduct interviews using a similar method and procedure, each interview was documented in terms of subject, time, day and place and audio recordings (where not prohibited by use of telephone) and transcriptions of each interview were obtained.

CHAPTER 4: PRESENTATION OF RESULTS

4.1. Introduction

This chapter presents and describes the results of the research, which entailed conducting qualitative In-Depth Interviews with a sample of experts within the fields of Social Marketing, Commercial Marketing, Behaviour Change programming and M&E.

Responses to the interviews are presented below in a summarised format by means of tables that correspond to the respective research questions identified within the literature review.

Visual presentation of themes and sub-themes for each respective question in the discussion guide can be found in the Appendix (Appendices I to M).

A further interpretation of the results relative to the findings in the literature review is discussed in Chapter 5.

4.2. Profile of Respondents

The researcher had planned to interview a sample of respondents whom, together, would be representative of the multiple sectors involved in planning and/or implementing Social Marketing projects involving a change in health behaviour.

The sampling criterion, as planned in Chapter 3 of the research, was defined along the lines suggested by Curtis et al. (2007) and required drawing respondents from the following professional backgrounds: Donor and Non-Profit Agencies, Academia, Private Sector and Government.

Through field-work, a representative sample from Donor Agency, Academia, Civil Society and Private Sector was achieved.

Suitable members of Government within South Africa and Southern Africa – those people with sufficient experience in planning behaviour change programmes and/or public private

partnerships implementing behaviour change programmes that would qualify them as experts - were either reticent to participate, had moved on within Government structures and could not be traced, or did not respond to invitations to participate in this study within the adequate time frame allocated to conducting field work.

The results contained in this research are thus biased towards responses obtained from the following participant profiles: Academia, Donor Agency, Civil Society and Private Sector.

4.3. Results Pertaining to Research Question 1

Research Question 1:

What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention as a market development approach for the Private Sector?

A range of both positive and negative criteria were obtained from the interviews, referring to both existing knowledge about Social Marketing evaluation (knowledge identified in the literature review) and to new knowledge about the criteria that would be of relevance to the Private Sector.

Together, these criteria provided a base of knowledge from which to develop a screening matrix for evaluation of potential Social Marketing M&E frameworks, presented in Appendix G.

A discussion on the application of this matrix is included in Chapter 5.

The first two questions in the discussion guide were designed to address Research Question 1 and set out to identify a range of criteria with which to determine the suitability of Social Marketing M&E frameworks for the Private Sector.

The intention was to collate the criteria and develop a screening tool for the Private Sector to use in identifying suitable M&E frameworks with which to understand the effectiveness of Social Marketing interventions as a market development approach.

Question 1 in the discussion guide addressed Research Question 1 and was deliberately designed to be broad in nature - in order to provide a diverse platform of suitability criteria sourced from a variety of different respondent perspectives.

The intention of asking this question up-front in the discussion guide was to throw open the respondent's thinking with respect to monitoring and evaluation of behaviour change/social marketing programmes.

The researcher wanted to tap into personal experiences of participants – to access their expert knowledge (Terre Blanche and Kelly in Terre Blanche and Durrheim 1999) - and thus needed to avoid a situation wherein participant responses were too early framed by the PSI PERForM framework, which formed the focal discussion framework of the interview.

With this objective in mind, Discussion Guide Question 1 aimed to identify broader criteria for determining suitability of research frameworks, by drawing on each respondent's professional experiences.

Discussion Guide Question 1 read as follows:

> ***Reflecting on your own professional experience can you please tell me what you perceive to be the key criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention?***

The question elicited two different thematic strands:

- the first stand contained themes relating to key success criteria to look for when selecting a suitable Social Marketing M&E framework.
- the second strand contained themes relating to key pitfalls to screen against when selecting a Social Marketing M&E framework.

Nine (9) themes were identified relating to key success criteria and six (6) themes relating to common pitfalls to screen against. These are presented in Table 15 and Table 16 respectively, whilst a top-line summary of they themes is presented in the form of a mind-map in Figure 17.

Themes were identified through the qualitative analysis process described in Chapter 3 entailing a process of iteratively reading, coding, displaying and reducing data (Ulin et al. 2005).

A visual presentation and more granular explanation of the various themes identified from Discussion Guide Question 1 can be found in Appendix I in the form of a mind map.

Table 15: Respondent Perceptions of the Criteria for Determining Suitability of Behaviour Change Evaluation Frameworks

Key Success Criteria for an Effective Social Marketing M&E Framework:
• **Designed Around Decision-Making Needs:** o One needs to consider "M&E as a management-level tool" that can guide implementation and influence decision-making. o Within a Private Sector context particularly managers are often faced with a mass of research and information "that is never used". A need to "package" results in order to encourage managers to use research findings. o "Data needs to make sense to policy makers" o M&E practitioners need to make research information "accessible and readily available" otherwise the user will not have the time to digest and/or use the information. o A suitable framework recognises that "different levels of the log-frame have different stakeholders" (owing to lower levels being more heavily implementation oriented than higher levels). o Bring "different stakeholders in at each level of the log-frame to confirm whether the interpretation of the indicator is that which was intended". o "You need to consult with all types of stakeholders" in order to identify a range of appropriate indicators that can meet the different user requirements "at each stage of the log-frame". Otherwise "you run the risk" of measuring against a conceptual framework that is "impractical to implement" or "not concerned" with stakeholders' desired outcomes.

- There are “time limitations” in designing M&E frameworks. As a result the indicators that one extracts are either “not interpreted consistently” across different stakeholder groups, or different stakeholders feel they “have been omitted from the process”.

- **Is Designed around an Under-lying Theory of Change:**
  - Behaviour is often “aligned with an underlying discourse”: such that a “given behaviour requires a particular theory of behaviour change”.
  - Social marketing/behaviour change interventions “need to be based on a sound theory of change” and use the theory to set out “a causal relationship” between an activity and a required behaviour
  - “You have got to really understand the behaviour” when designing behaviour change frameworks.
  - The biggest challenge is “how do we develop a theory that is appropriate” to a given behaviour.
  - When planning M&E you “need a conceptual framework around how to implement” that is relevant to the behaviour and context at hand.

- **Need for a Standardized Reporting Framework:**
  - Interpretation of indicators tends to be influenced by a person’s “scope of influence”/”background”/”frame of reference”. Interpretation thus tends to vary by person.
  - “International standards” need to apply in selecting indicators, but there should be room to enable tweaking to local client needs/context.
  - “Ambiguous definitions”: different systems use the same label for indicators but the semantic intention of these indicators may vary widely between systems. Creates a risk of “a false positive” wherein people think they are running a good project relative to comparative systems, but not necessarily.
  - Key for success of a framework in a multi-national private sector context would be “standardization of research” processes, frameworks and indicators across countries, as “quality of research in third world countries varies hugely” and comparative country performance needs to be compared on a like-for-like basis.
  - “Need an auditing process internally” to ensure consistency in M&E systems across countries and provinces.
  - Beware “Report Fatigue” in M&E. For NGOs with multiple funders “our experience in funding organizations is that it proves onerous for these types of NGOs to meet different reporting requirements of each funder”.
    - It would be more practical “to harmonise reporting requirements”.

- **Behaviour is Placed in Context of a Target Audience:**
  - Behaviour must “placed in context” of the target audience and “be reported relative to the population characteristics of the intended target audience”

- "Cross population analysis" is required in order to determine the effectiveness of an intervention across different population characteristics.

- **Links Activities to Outputs:**
  - A suitable framework finds "a way to link marketing activities to the OAM methodology" in order to understand which type of activities and communication messages are relevant to a given target audience.
  - Makes use of social marketing best-practice: Opportunity, Ability, Motivation (OAM) categories was referred to by several respondents as a best-practice model in social marketing projects.

- **Designed to Measure both Outcome and Implementation:**
  - "A lot of what goes wrong lies in the gap between planning and implementation. You need to ask yourself: did you do what you said you would do?"
  - "Processes need to be congruent with the types of indicators user is looking at":
  - A suitable framework gives "you an idea of what went wrong in the implementation relative to intended outcome": "I suggest… measuring process, not just outcome"

- **There is Flexibility to Measure Interventions at Multiple Levels within Society:**
  - Many behaviour change theories/frameworks "only focus on the individual level of behaviour", but "you need to look at the environment in which the individual exists"
    - Individual behaviour can be "influenced by household, community, society and national factors" in addition to those factors internal to an individual.
  - For any given social marketing intervention try to identify and measure "risk factors at the individual, community, society and national level" – the "micro, meso and macro levels" – and "address these as the focus of the intervention".
  - Look for frameworks that consider "eco-social theory" or "social epidemiology" (the study of the distribution of health outcomes and their social determinants).
    - The social epidemiology perspective "emphasizes social conditions as fundamental causes of disease".
  - Design an intervention targeted to change a behaviour "within the locus of control of the individual" - anything "more complex" requiring change at multiple "socio-epidemiological levels" becomes difficult to influence outcomes.
    - The "best that one can do to influence health status" is to "go for the lowest common denominator" and design an intervention around the smallest, most defined change possible at the individual level.

- **Determines Attribution:**
  - In an environment in which there are likely to be a variety of organisations implementing behaviour change projects "you need to understand what your specific impact is".

- Without a clear link between activities, outputs and impact you run the risk of incorrectly attributing a project/activity to successful behaviour change and increase the risk of re-funding/rolling out the incorrect project/activity.

- **Captures Learnings:**
  - In M&E line managers tend to be primarily concerned with "reporting to superiors" and as a result tend to focus effort on "chasing indicators".
    - There is a risk that "you miss the learning and knowledge creation" that comes out of development projects.
    - A suitable framework ensures "learnings are captured for the next project".
  - A "periodic meta-analysis of projects" is needed as a basis of adjusting M&E policy around learnings of projects.
  - "If you are completely serious about measuring impact you need to be open to researching beyond quantitative data"
    - Quantitative information needs to be" augmented with qualitative experiences" that is useful for "capturing learnings".

The key finding from the themes presented above was that a generic framework - that can be applied across multiple types of Social Marketing programmes and target audiences – appears to be limited in application.

Table 16: Respondent Perceptions of the Common Pitfalls in Social Marketing M&E Frameworks that Need to be Screened for.

Common Pitfalls to Screen for in Social Marketing M&E Frameworks
• **A Tendency to Measure Process to the Detriment of Results:** o Within M&E there is a tendency towards "process orientation" – focusing on the process of research planning, data collection and analysis - versus focusing on applicability of information to decision-making. ▪ "Beware measuring whether the implementation was successful versus whether the implementation had the desired result". o There is a discrepancy between "getting the data versus using the data" that is not widely recognised in conducting research and reporting findings. o There is a difference between "In-bound process" versus "Outbound process". The former traditionally emphasizes "reporting of data" as a measure of success, which is more about getting the data (in-bound) than about the using the data. There is a need to shift to an "outbound" focus, by emphasizing the use-ability of information. o A common pitfall is a failure to recognise that "indicators are a tool for decision-making; not just reporting".

- There are “different applications of the concept of results-based management”, relating to a focus on process versus impact – and a lack of consensus on the results-based management process within M&E.
- There is a need for M&E practitioners “to understand the wider business context”/value chain in which M&E takes place – in order to improve the impact and relevance of research to decision-makers.
- M&E should ideally operate through its own series of processes – “the results-based management process” – but this bigger cycle tends not to be recognised by M&E practitioners in conducting research and reporting.
- Relative to the wider results-based management process, M&E practitioners tend to focus on the core components of research (such as research design, data capture, analysis and reporting) to the detriment of other processes that are of importance to the effective use/impact of M&E findings within an organisation.

- **A Failure to Define User Needs:**
  - There tends to be a difference in informational needs between “management and executive level” in an organization:
    - Executive decision-makers tend to want information at the “Aggregate level” whilst operational managers tend to want information at a more detailed “Unit-level”.
    - Managers require information that can guide implementation of projects; executives require information that relates to public reporting and/or macro-level decision-making purposes.
  - It is necessary to “define user needs” prior to selection of a research framework and/or indicators, as there are implications in terms of type of data that is collected.
  - Without defining user needs one ends up with a situation where “M&E, by design, often can not deliver intended results”
  - At an analysis level “there are limitations to the extent that one can perform analysis at both a Unit-Level (micro/event specific) and Aggregate-Level (macro) of data”.
    - Aggregation of data needs to be planned in up-front into the design of the framework, because “you can’t disaggregate from an aggregate level – and you reduce the quality of Unit-Level capture when aggregating”.
  - “Commercial marketers” (as potential users of social marketing research) are “looking for a simple top-line benchmarking tool” that can show behavioural differences before versus after an intervention; rather than “a detailed” diagnostic explanation.

- **Sole reliance on Behaviour Change Communication:**
  - Within social marketing programmes it is essential to “understand the limitations of communication” as an activity in and of itself.

        - It is not widely understood that behaviour change communication is “not necessarily going to achieve behaviour change on its own”:
        - Behaviour Change Communication using “mass media is a small component of behaviour change” and is but “one technique” for influencing attitudes.
        - Measuring communication effectiveness on its own “does not reflect the extent” of actual behaviour change.
    - “You need a holistic measurement system” that uses all aspects of the marketing mix (product/price/place/promotion).
        - Marketing communication needs to complemented with relevant “structural support” (other types of activities) in order to achieve behaviour change.
    - A suitable framework is designed with an understanding of “the limitations of communication” and includes more “structural” activities.
    - There needs to be a way to “link social marketing activities to the OAM” (opportunity; ability; motivation) methodology, to ”curb expectations about the role of communication” as a change agent - and identify other types of interventions that can be evaluated.
    - The same activities in a different context will not necessarily achieve the same intended impact. “Realist Evaluation” asserts that in order to determine which activities to perform within an intervention you need to look at:
        - “Context” - The context in which the behaviour takes place, wherein context is determined by target audience/segmentation.
        - “Mechanism” – The thing that drives behaviour change
        - “Outputs” - Determined by an under-pinning theory of change.

- **Manipulation of Indicators:**
    - Indicators have limits beyond which their reliability for decision-making is questionable.
        - There is a need for “intelligent use of data”. Understand the limitations of indicators with respect to intended use.
        - It is not wise to try “manipulate fit of indicators” to fit a different use and/or a different stakeholder’s needs.
        - “Do not mix and match indicators” (match different types of indicators on an ad-hoc basis). The results are often not valid for decision-making.

- **Understand the Professional Background of Person Designing M&E Framework:**
    - Within M&E of behaviour change programmes there is a “fragmented nature of M&E” and a “lack of coherent terminology”.
        - M&E professionals come from different professional backgrounds. An economist versus a psychologist versus a marketing professional will

consider different criteria.
        - As a result, even when just focusing on one type of behaviour, there are “too many theories of change”.
    - The background of the person responsible for designing the M&E framework determines the nature of the indicators required and the “limitation of the model”.
        - Understand the paradigm influencing the design of an M&E framework before considering its applicability to your own requirements.

- **Ethical Concerns:**
    - In many programmes aimed at changing health behaviour there can be “ethical” or “legislative” issues that limit the type of data that can be obtained.
    - The use of “indirect measures” may be required in these circumstances which can tend to limit “the extent to which actual behaviour is measured”.
    - The following examples were provided:
        - In a hand-washing with soap behaviour change programme, country managers have found it difficult to gain access to households, particularly in circumstances where the required behaviour takes place around the latrine.
        - In an HIV/AIDS behaviour change programme, researchers have struggled to conduct direct measurement of behaviour change owing to government restrictions placed on testing level of HIV/AIDS knowledge within South Africa.

The key finding from the discussion on M&E pitfalls to screen against was that there is a need to guard against using M&E frameworks that are not appropriately designed around meeting stakeholder decision-making needs. Again, but this time in a different context, the finding was that a generic M&E framework would not necessarily be suitable to all stakeholders.

Discussion Guide Question 2 further addressed Research Question 1 and was designed to encourage respondents to think about the Private Sector as a role player in development. The question intended to elicit criteria with which to determine the suitability of M&E frameworks from a Private Sector in development perspective.

Discussion Guide Question 2 read as follows:

What additional considerations do you feel need to be taken into account when selecting a framework with which to determine the effectiveness of Private Sector investments in development?

The question elicited six (6) themes – presented in Table 17 - in relation to specific criteria for determining the suitability of a behaviour change research framework.

A visual presentation of themes from Discussion Guide Question 2 is presented as a mind-map in Appendix J.

Table 17: Respondent Perceptions of the Additional Criteria that Need to be Considered when Determining the Suitability of M&E Frameworks from a Private Sector Perspective.

Additional Criteria to be Considered for the Private Sector as a Development Actor:
• **Conflicting Paradigms of Thought:** o Within a Private Sector context "M&E has to play multiple roles": to "show what the benefit of the investment is for the company" and to show "what the benefit of the project is for the beneficiary". o There is a question on whether both paradigms can be captured sufficiently in one M&E framework.
• **Sharing of Learnings:** o Several respondents laid a criticism against the Private Sector's approach to research and reporting on social investments: ▪ "the Private Sector needs to be more critical of their Corporate Social Investment (CSI) projects". ▪ corporate reporting tends to "PR-friendly". o Results put forward are "biased to the positive" which limits the degree to which "constructive learnings" can be taken out of the intervention and "shared with development partners". ▪ PR-friendly reporting "reduces opportunities to capture and share learnings". ▪ A "vital component of knowledge is missing" that could be used "to improve future interventions".
• **Impact Sustainability:** o A concern that the Private Sector appears to have limited interest in "the broader development context beyond the Corporate Social Investment (CSI) project going at

the time":

- "Do you understand the full spectrum of development agencies, where you fit in, where your limitations are - and what are you hoping to influence within the system?"
- "If an intervention ends, will the intended new behaviour continue?": there needs to be consideration given to what happens "beyond the withdrawal of the corporate from the project".
- "When corporations invest in a CSI project and then step back and leave, moving on to another investment, there is a lack of continuity that threatens the sustainability of the programme as a whole".
- Key to the success of a development project is on-going commitment of key post holders. Within organizations with rapid staff turnover this poses a challenge to the sustainability of projects, as leadership changes.

- **Organisational Sustainability:**
  - "There is an internal context and an external context": where the internal context refers to an NGO/development agencies ability to sustain itself as an organisation and the external context refers to the development impact of the organisation.
  - Organisational sustainability entails designing a system to achieve sufficient "cost recovery" and/or "funding" in order "to cover staffing and material inputs".
  - Withdrawal of Private Sector funding of smaller NGOs/implementing agencies carries a risk of affecting "the organisation's capacity to continue monitoring along the lines of what was initially intended".
  - Several respondents urged for the Private Sector to consider a development partner's "organisational sustainability" – and subsequent ability to "have an impact" - as an item to be considered in an M&E framework.

- **Differences in Decision-Making Processes:**
  - One of the challenges in conducting M&E in a partnership situation between the private and public sectors is in meeting the respective needs of "what is enough for the private sector AND what is enough for the public sector":
    - The Private Sector has become deliberately less bound by research in making a decision and can thus move on to implementation relatively quickly; whilst a multi-lateral development organization is bound by a need to produce evidence prior to implementation.
    - There is a difference between a "good enough version" versus the "proof of version".
  - On the con side for the Private Sector "speed of roll-out reduces ability to conduct quality M&E": the faster you scale-up/replicate/roll-out a project the more difficult it is to measure.

- **M&E Capacity:**
    - Capacity is “a big issue” when conducting M&E and effects “the quality of M&E”.
        - Within a corporate the M&E “knowledge base of staff and capacity is limited”
        - “M&E is a mixture of skill and experience, it is not something you can simply manufacture”. As a result “there is not enough technical staff”.
    - In companies “the CSI/CSR manager takes on multiple roles” (ranging from social investment strategy, to grant allocation, to managing CSI projects and M&E thereof).
        - This “places real constraints” on the “quality of M&E conducted” as “time available” and “background knowledge required” is not sufficient.
    - If development agencies and governments - “both of whom are likely to have relatively bigger spending budgets” and more “internal M&E skill” than companies - are struggling to measure “behaviour change” and “development impact”, then “it is unlikely” that the Private Sector will be able to conduct effective impact evaluation.
    - “At a CSI level I am confident that corporates can progressively improve the M&E of their investments. However, I have concerns about the feasibility of conducting effective M&E at the brand level within a business”.
        - Marketing/Brand Managers “are already faced” with internal reporting requirements relating to their “brands and market”: there were questions raised about the practicality of adding on another research requirement in the form of social marketing evaluation.

The key finding from Discussion Guide Question 2 is that there are a set of underlying tensions between the Private Sector’s need and development stakeholders’ needs in conducting M&E of Social Marketing interventions. These tensions need to be taken into account when designing suitable M&E frameworks for the Private Sector.

Tensions relate to specific conflicts between:

- the Private Sector’s need for positively framed Public Relations outcomes versus the development sector’s need to critically investigate and share both positive and negative findings amongst stakeholders;
- differences between time-frames of investment/involvement in a development programme, such that the Private Sector tend to be focused on shorter time-frames that are not necessarily beneficial to the broader development context.

- differences in decision-making processes, such that the Private Sector tends to be quicker in bringing projects to the field, whilst the development sector tends to require a longer term planning phase.
- differences in core competencies and M&E capacity, such that the capability of Private Sector employees to conduct effective M&E of social marketing programmes needs to be enhanced prior to effective M&E frameworks being designed from within the Private Sector.

Through Questions 1, 2 and 3 in the discussion guide, a broad variety of potential suitability criteria were identified in relation to answering Research Question 1.

The criteria obtained from the interviews referred to both existing knowledge about Social Marketing evaluation and to new knowledge about the criteria that would be of relevance to the Private Sector.

Together, these criteria provide a base of knowledge from which to develop a screening tool for evaluation of potential Social Marketing M&E frameworks. Such a tool was compiled drawing on the findings of this research and on the findings in the literature review – and can be found in Appendix G.

A discussion on the application of this tool to one potential M&E framework (the PSI PERForM framework) is included in Chapter 5.

4.4. Results Pertaining to Research Question 2

Research Question 2:

Which M&E framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

Question 3 in the discussion guide explored Research Question 2 and focussed specifically on the PSI PERForM framework - as one of the potential Social Marketing evaluation frameworks identified in the literature review.

By critically discussing the suitability of one particular framework (the PSI PERForM framework) from a variety of stakeholder perspectives, the intention was to reveal both the relevance/limitations of that framework and to identify further criteria for determining suitability of M&E frameworks within a Social Marketing context.

The key findings on Research Question 2 were that respondents called into question various aspects of the PSI PERForM framework which would preclude a recommendation for the framework to be considered as entirely suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

Several guidelines were identified through respondent answers to this question that would point future researchers in a direction on what would be suitable aspects of the PSI PERForM framework to replicate and non-suitable aspects of the framework to avoid when designing an alternate model.

After having introduced the PSI PERForM framework into the interview and, once the respondent had confirmed an understanding of the framework, Question 3 in the discussion guide was asked.

Discussion Guide Question 3 reads as follows:

In your own opinion to what extent do you perceive the PSI PERForM framework as a suitable means of evaluating the effectiveness of Social Marketing interventions for the Private Sector?

The question elicited thirteen (13) themes – presented in Table 18 - in relation to perceived suitability of the PSI PERForM framework within a Social Marketing context.

The themes were clustered into three (3) strands, as follows:

- Suitable aspects of the PSI PERForM framework
- Challenges in using the PSI PERForM framework
- Limitations in using the PSI PERForM framework.

A visual representation of the results from question 3 is presented as a mind-map in Appendix K.

Table 18: Respondent Perceptions of the Suitability of the PSI PERForM Framework to Evaluate Social Marketing Programmes.

Suitable Aspects of the PSI PERForM Framework:
• **Broad Use of Contemporary Social Marketing Theory:** o The PSI PERForM framework is "broadly tied" to academic theory, in making use of Opportunity, Ability, Motivation (OAM) social marketing theory. o "There needs to be a way to link marketing activities to the OAM methodology" as a basis of selecting activities that are relevant to a specific target audience: ▪ The majority of respondents felt the PSI PERForM framework shows this conceptual link. o Concerns about the PSI PERForM framework being "too broad level" and "not tied to a specific behavioural context".
• **Segmentation:** o Consideration is given to defining target audiences and measuring outputs of a project relative to "Population Characteristics": ▪ Would enable "cross-population analysis".
• **Caters for a Rounded Set of Activities:**

- Within the Activity level of the PSI PERForM framework there is room for programme managers to consider types of activities beyond behaviour change communication.
  - Mention was made of Product, Price, Place and Promotion.

Challenges of using PSI PERForM framework:

- **Difficulties Determining Attribution:**
  - Across many types of development interventions change at the "desired outcome level is very difficult to measure": "There are still questions on how to attribute higher order changes due to a programme"
  - Where the PSI PERForM framework indicates a "need to track the broader implications of health changes on society" at the outcomes level, respondents questioned whether it is feasibly and/or practical to link a social marketing intervention to wider societal change along the lines suggested by the PSI PERForM framework.
  - Behaviour change programmes in general "struggle to show success", because it is "difficult to measure and define project attribution at the outcome level" of a log-frame.
  - In practice "a lot of organisations end M&E at the output level of the log-frame." As a result they often do not know whether behaviour has actually changed. They know what they have done, because M&E measures activities, but do not know whether there is an impact.
  - There is "little coherence" within the M&E field on "what needs to be done to measure impact", with "lots of methodological fights on Impact Evaluation".
  - At the Impact level, feedback was that measuring "Use" (of either a product or service) tends to be relatively easier to measure than changes in "Risk-Reducing" behaviour.
- **Feasibility of Conducting Impact Evaluation:**
  - Impact evaluation (2nd level from top in PSI PERForM framework) is "expensive to conduct": it is "expensive to quantify changes" and "to track indicators over time".
    - Impact evaluation is thus "conducted infrequently".
  - Concerns about being able to practically conduct research at the impact level of the PSI PERForM framework, owing to difficulties in determining attribution between one specific social marketing intervention and its wider impact at a societal level.
    - It is "easier to measure short-term impact" of a project but it becomes "progressively more difficult" as one moves out in time.
  - Questions on the feasibility of impact evaluation and of measuring "high level indicators" for a small organization: smaller research budgets and less M&E resource "make it difficult to measure at both a higher order and project level".
    - These respondents felt that smaller companies should focus their M&E resource at a project level.
- **Setting The Bar Too High:**
  - "Behaviour change M&E frameworks seem to be failing because setting the bar for

success to high".

- "I know of no intervention that has reliably gone higher than the second level" (the Impact level of a log-frame)
- Behaviour change programmes do not tend "to show an impact at the top level" (at the Outcome level of a log-frame).

- "You are only in control up to output" within a behaviour change project.
- Behaviour change programmes "should limit them-selves to measurement of behaviour change as the ultimate outcome of the programme".
  - "A lot of organisations end M&E at the output level of the log-frame."
  - "I recommend tracking from the intended impact level down in the log-frame"
- "What you ideally want is the design and evaluation a project to be results-orientated – at the output level".
- If the ultimate outcome of social marketing programmes is measured "at the behavioural level", "more behaviour change programmes will show better effect".

Limitations in Using the PSI PERForM Framework:

- **Not academically validated:**
  - PSI PERForM framework has received "wide coverage in donor-funded reports" but one should not consider funding and use of a model that has "not been academically validated".

- **Questions on Feasibility of a Generic Framework:**
  - "You have got to really understand the behaviour" when designing and selecting a suitable behaviour change framework.
  - "You need to be specific": behaviour change frameworks will often need to change with the specific behaviour at hand.
  - A generic framework may be "limited in application" across multiple types of required behaviour.
  - Different micro/meso/macro contexts will tend to target different types of behaviour – requiring different types of behaviour/change theory.

- **Vested Interests:**
  - PSI as a non-profit organisation is funded by donor money and, as such, is "contracted to prove a point"
  - Caution was urged in taking behavioural change "data from PSI at face value", owing to a concern over data being "massaged" to prove a point: it is within PSI's own interests to show that social marketing works well relative to other types of development interventions.

- **What is the Under-lying Theory of Change?**
  - Respondents questioned the extent to which the PSI PERForM framework is "aligned

with an underlying discourse": social marketing interventions "need to be based on a sound theory of change".
    - A concern about the PSI PERForM framework being "too broad level" and "not tied to a specific behavioural context": a "given behaviour requires a particular theory of behaviour change"
    - Look for "a causality model" when deciding on an appropriate M&E framework for behaviour change interventions: in which "a stated theory is used to effect a stated change".
    - Respondents could see that Rothschild's (1999) OAM model is used in the PSI PERForM framework, but "the allocation of the PSI bubbles seems to be random across OAM criteria":
        - there were concerns that the allocation of behavioural change constructs was "not grounded in an under-lying theory of change themselves".
    - The PSI PERForM framework seems to be "comprised of a random grouping of models, with no direct cause-effect": there are components of the PSI PERForM framework that "may be useful… to consider", but the framework in its totality does "not stipulate the exact causal relationship" needed in a behaviour change project.
    - Questions on the use of PSI PERForM framework as a generic M&E framework across different target audiences and health issues: "you need to be specific".
- **Quantitatively focused:**
    - Quantitative information needs to be" augmented with qualitative experiences" to ensure learnings are captured.
    - Several respondents felt that the PSI PERForM framework appears to lean primarily towards a quantitative approach to M&E and questioned whether qualitative data could be effectively integrated to ensure capturing of learnings.
- **A Psycho-Social Focus:**
    - PSI PERForM framework seems to be "weighted towards psycho-social criteria".
- **Applicability to Other Types of Behaviour:**
    - Questions raised on the applicability of the PSI PERForM framework "to other types of behaviours" beyond health: such as sustainable behaviour/measuring environmental impact.

Results from Discussion Guide Question 3 indicate a critically balanced assessment of the PSI PERForM framework by respondents, with both positive and negative aspects identified.

With respect to the positive criteria discussed, respondents perceived the PSI PERForM framework to be a suitable tool for structuring the conceptual linkages of a Social Marketing

project, by showing how specific Social Marketing activities (such as interventions around Price, Product, Place and Promotion) relate to intended behavioural outputs and ultimate human development outcomes.

In juxtaposition, there were also several challenges and limitations identified about using the framework. The most voiced concern (in terms of frequency of mention by each respondent and commonality of reference across respondents) was a perceived limitation in the framework's attempt to act as a generic measurement tool for application across a variety of different types of Social Marketing interventions.

In addition, there were concerns about the practicalities of conducting effective evaluation of interventions at the higher levels of the PSI PERForM framework (the outcome and impact levels), given cost and resource requirements to determine accurate attribution.

Building on this view-point, several respondents voiced the need to take into account practical limitations in conducting impact evaluation (particularly) and suggested that a more suitable framework would limit measurement at lower levels of a log-frame (such as output and activities). Doing so would enable a limited, but useful degree of comparative evaluation of respective Social Marketing interventions initiated by the Private Sector.

In essence, respondents called into question various aspects of the PSI PERForM framework which would preclude a recommendation for the framework to be considered as entirely suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

Several guidelines were identified through respondent answers to this question that would point future researchers in a direction on what would be suitable aspects of the PSI PERForM framework to replicate and non-suitable aspects of the framework to avoid when designing an alternate model.

4.5. Results Pertaining to Research Question 3

Research Question 3:

Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

Questions 4 and 5 in the discussion guide address Research Question 3 and were designed to investigate potential indicators with which to populate Social Marketing evaluation frameworks in a market development context.

The key finding in relation to Research Question 3 was that there is a need to customise indicators around the specific context and target audience in which behaviour takes place and on the nature of the underlying framework used. Generic indicators do not apply to Social Marketing interventions.

Given the need to customise indicators around a specific behaviour, there was limited benefit to be found in using the PSI PERForM framework as a platform on which to discuss potential Social Marketing indicators. For the same reason, a limited number of indicators were identified that directly link Social Marketing interventions as a human development initiative (on the one hand) with market development outcomes (on the other).

Question 4 in the discussion guide uses the PSI PERForM framework, a framework already under discussion, as a platform with which to begin the discussion on suitable indicators.

Discussion Guide Question 4 reads as follows:

In your opinion what are potential indicators for monitoring and evaluating Social Marketing programmes using the PSI PERForM log-frame?

Where respondents struggled to provide answers unprompted, respondents were urged to consider potential indicators at the respective outcome, impact, output and activity levels (levels one, two, three and four) of the PSI PERForM log-frame.

The question elicited twelve (12) themes – presented in Table 19 - in relation to potential indicators with which to populate the PSI PERForM framework.

The analysis process for question 4 is presented in Appendix L.

Table 19: Respondent Perceptions of Potential Indicators for Monitoring and Evaluating Social Marketing Interventions using the PSI PERForM Framework.

Emergent Criticism of Question By Respondents:
• **Framework Determines Indicators:** o "The challenge is not in identifying indicators but on framework selection" o Within this study there is "too much focus on indicators and not enough critical thought given to the framework". o "If your model is wrong your indicators are wrong". o There is a need "to focus more heavily on framework selection" prior to indicator identification. o "Conceptualization is key": indicators are flawed without guidelines for selection.
• **A Need for Customized Indicators:** o It is important to consider "what is the context that surrounds the indicator?" o The choice of indicators "all depends on the area you are looking at": different behavioural requirements and target audiences will require different indicators. o Interpretation of indicators is "determined by a person's scope of influence" o "Context is critical"; "Everything is context based"; "What is the context that surrounds the indicator?"; the choice of indicators "all depends on the area you are looking at". o Generic indicators are "not necessarily applicable" across all behaviour change projects: each behaviour and project requires "specific" measurements. o "I am a strong believer in research to fit the task": pick behaviour change indicators relevant to the project at hand. o Indicators should be selected to complement the "project logic", such that activities link directly to the underlying theory driving the project. o "You need to select an underpinning theory" and build a programme around that: a log-frame reveals "how your theory of change is to be implemented". o Indicators for health at all levels of the log-frame "change according to the health risk at hand". o Universal indicators for HIV/AIDS behaviour change research "have been put forward by UNAIDS", but generally indicators must be project/behaviour specific.

Where respondents had – in answer to previous questions in the interviews - questioned the feasibility of using a generic framework for application across different types of behaviour change projects, respondents now criticised the nature of Discussion Guide Question 4, by re-affirming that indicator selection is dependent on the nature of the underlying framework used.

The key finding from Discussion Guide Question 4 is that there is a need to customise indicators around the specific context in which behaviour takes place: such that suitable indicators depend on the type of behaviour required and the profile of the target audience.

Placing this finding in context of Research Question 3 – which aimed to identify which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector – it was found that suitable indicators can not be determined independent of the specific organisational, behavioural and target audience context in which the project takes place.

Question 4 in the discussion guide was flawed in seeking to identify a broad set of generic indicators for use across multiple Social Marketing interventions.

Question 5 in the discussion guide was designed to throw open respondent thinking beyond the PSI PERForM framework, to identify a broader set of potential indicators that could be used to populate a social marketing evaluation framework for the Private Sector's specific requirements when investing in development projects.

Discussion Guide Question 5 read as follows:

Reflecting on your own experiences, what other types of indicators do you feel are suitable for the evaluation of Social Marketing interventions as a market development approach for the Private Sector?

Analysis on the question elicited thirteen (13) themes – presented in Table 20 - in relation to indicators that are potentially suitable for the evaluation of social marketing interventions as a market development mechanism.

A concept map of the themes for question 5 is presented in Appendix M.

Table 20: Respondent Perceptions of Other Suitable Indicators for Monitoring and Evaluating Social Marketing Interventions

Screening Criteria:
• **Criteria for selecting indicators:** o "We use the DVARP acronym as a check list for selecting indicators": ▪ D = Directly Related (no proxies) ▪ V = Verifiable (the indicator must have a means of verification) ▪ A = Adequate ("enough but not too many") ▪ R = Reliable (measures what you want to measure) ▪ P = Practical to measure
• **Selecting a feasible number of indicators:** o As there are "complexities that can arise in data-collection", there is a need to "control the number of indicators" included in research. ▪ "I recommend using two to three indicators per output". o "You can't measure everyone on everything": set limits to what is measured. ▪ A suggestion is take "a highly selective market and build a more comprehensive understanding of the market using more qualitative factors". ▪ Consider using "a smaller sample size but go into more depth", as opposed to "a larger sample size with a few indicators". o Research "Budget" determines the number of indicators within your study. ▪ There is a need for budget control: the more indicators the more expensive the research and the "less likely" research would be adopted in a private sector context. o "You need to understand the decision-makers information need" when populating a log-frame with indicators. ▪ "If the client wants a Toyota do not waste money and give them a Mercedes" ▪ Understand the "trade-offs your client is willing to make within the data" ("depth versus breadth" of information) and structure indicators around "your client's expectations and budget"
• **Consistency/Reliability:** o In order to conduct "longitudinal comparisons" there is a need for "consistency in indicators". ▪ There is a need for indicators that can be "standardized over time".

- Contemporary research databases enable “cross-tabulations of data” - that can “drill down to detailed diagnosis” of reasons for performance successes/failures within a project.

- **Qualitative versus Quantitative:**
  - “If completely serious about measuring impact you need to be open to researching beyond quantitative data, which is often too reliant on self-reporting”.
    - Be prepared to “move beyond indicators” and bring in qualitative data that “infers changes”.
    - “I like to include indicators that are reflective” – for example, “anthropological observation” data - as opposed to solely focusing on “statistical observation” data.

Types of Indicators to be Wary of:

- **Number of products distributed:**
  - Indicators that measure “number of products delivered” to market do not directly infer “a change in behaviour” or “correct use” of the product.
    - One respondent provide the following anecdote: In Malawi, where an HIV/AIDS campaign was being evaluated on “number of condoms distributed”, it was observed that there were children playing soccer with a “nice big bouncy ball made of thousands of condoms”.
  - A suggestion is to look for on-the-ground/“observed” data as a “reliable source” of behavioural information: for example, “percentage of households with soap in bathroom” versus “observed hand-washing before meals”.

- **Indicators Measuring Changes in Attitude and/or Knowledge:**
  - “There is limited evidence showing a direct link between increased knowledge and changed behaviour”.
    - One respondent referred to findings from a study conducted by the Inter-Agency Task Team (IATT) in which a meta-review was conducted of HIV/AIDs prevention projects targeted at young people and “no randomized control trial has shown a link between sex education and changed behaviour”.
  - “Attitude” and “Knowledge” are “not guarantees of behaviour”.
  - “Attitude is a likely pre-cursor to behaviour, but not a given”
  - There are constraints to measuring Attitude and Knowledge, as these are “dynamic variables” that change by occasion and over time.

- **Self-Reported Behaviour:**
  - Self-reported behaviour – for example, claimed frequency of using a condom - does not appear to be a reliable means of determining behaviour change.
  - Avoid “self-reported behaviour”, “perceptual indicators” and “indicators that do not measure observed behaviour”.

- "Whatever you do don't create perceptual indicators": avoid using indicators that are based on a respondent's "perceptions of own competence".
- Focus rather on testing "a respondent's understanding of the tenets of the new behaviour" and "encourage responses tied to an under-pinning theory of behaviour change".

- Self-reported behaviour has "reliability issues" because of "the researcher effect" (respondents trying to please researcher) or "recall effect" (accuracy of respondent's memory).
- "You need health indicators that are the truest reflection of behaviour:
  - "You need some form of observational data to infer behaviour".

Other Potential Indicators:

- **Fidelity of Implementation:**
  - "A lot of what goes wrong lies in the gap between planning and implementation".
  - "Did you do what you said you would do? Did implementation match planning?"
  - Try to evaluate the Fidelity" of implementation.

- **Personal Risk Assessment:**
  - "Personal risk assessment" is important to consider as an indicator within a health context.
  - One respondent referred to the "Health Belief Model" of behaviour change, explaining that the theory suggests that "people's behaviour is applicable to the risk they see to themselves."

- **Habit Formation:**
  - "Habit formation" is a theory of behaviour change commonly used in the commercial marketing field that is becoming more widely used in the social marketing interventions. Requires indicators that cater for effectiveness of behavioural "Cues".
  - In order to so, suitable indicators would be based on the assertion that information communicated to the target audience needs to be relevant to that person's context ("Personally Salient").

- **Financial Audit:**
  - There is a need for indicators "as a means of audit": between planning and implementation is "a funding gap" that requires indicators to measure "the flow of money" (to determine whether donor money reaches the intended beneficiaries on the ground).
  - Several respondents referred to anecdotal evidence suggesting that between money leaving donor organisations and reaching beneficiaries, implementing agencies consume the bulk of distributed money.

- **Social Networks:**
  - o "Behaviour change at the individual level is not necessarily independent of changes at a community level".
  - o "The only thing more infections than a disease is behaviour change".
  - o "Behaviour change is infectious".
  - o Referring to "smoking cessation", one respondent referred to a study that found that there is a "viral effect to quitting".
  - o Consider using indicators that capture "social networks" – mapping social networks, tracking behaviour changes and identifying nodes/a nexus for achieving behaviour change within the network.

- **Enabling Products/Services:**
  - o A guiding principle for the Private Sector in a social marketing context should be "Social Innovation" – which would require indicators that measure whether an innovation enhances "affordability" and "relevance" of products to the bottom of the pyramid.
  - o There is scope for the Private Sector to focus on developing "enabling products and technologies" – products and technologies that specifically encourage positive behaviour change.
  - o Indicators that measure the extent to which innovation enables a target market at the BoP, with respect to whether a product/service creates "skills to move up the pyramid".

The key finding from Discussion Guide Question 5 is that there are a range of general criteria that can be considered when deciding on whether an indicator is suitable for a given framework.

These selection criteria range from common mistakes to avoid, as well as recommended considerations to follow, when determining what a suitable indicator may be.

There were limited findings on indicators that directly link Social Marketing interventions as a human development initiative (on the one hand) with market development outcomes (on the other).

4.5.1. Conclusions Regarding Research Question 3

In answering Research Question 3, responses to Questions 4 and 5 in the Discussion Guide indicated that it is neither appropriate, nor practical, to try to attempt to identify a generic set of indicators with which to evaluate Social Marketing programmes as a market development approach for the Private Sector.

The reason for this is that, given the inherent uniqueness of a behaviour and its epidemiology (causes), it is necessary to customise indicators around a specific behavioural and societal context.

The majority of respondents felt that it is not feasible to attempt to identify a universal set of indicators that are suitable for inclusion in a Social Marketing M&E framework.

Nevertheless, through responses to the Question 5 in the Discussion Guide, it was possible to identify a set of broad guidelines that could be used by future studies in selecting indicators with which to measure the effectiveness of a Social Marketing project as a market development mechanism.

CHAPTER 5: INTERPRETATION OF RESULTS

5.1. Introduction

Interpretation of the research results was based on an analysis of qualitative findings obtained from the In-Depth Interviews, in which a broad range of viewpoints were obtained by interviewing experts from a variety of different professional backgrounds (Donor Agency; Non-Profit; Private Sector; Academia).

Interpretation of results involved communicating the essential ideas that emerged from the research, identifying ways that the themes, sub-themes and findings from the literature review fit together - and what it all means in the context of the under-lying research problem (Ulin et al. 2005).

For each research question explored in the study, findings were discussed by commenting upon responses as they relate to that question, in order to suggest what these findings mean in the specific context of this research.

Consistent with the Interpretivist design of this research, responses were considered in the context of the social, cultural, political and physical environments of the respondents who participated in the study (Ulin et al. 2005).

By this means, interpretation of results was conceptually structured as follows:

• To identify and discuss where the view points of different respondents converged.
• To highlight differences in opinion and discuss these with respect to each respondent's professional background to understand how/why respondents differed in opinion.
• To highlight unique perceptions and discuss these with respect to respondent context, to identify what contextual factors led to the respondent thinking so.

Throughout, results were compared to and contrasted with findings in the literature review.

5.2. Interpretation of Findings on Research Question 1

Research Question 1:
What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention?

A broad variety of suitability criteria were identified from responses to the two different questions designed into the discussion guide to investigate Research Question 1.

These specific findings were classified as theoretical notes in accordance with the research design and then populated into a suitability matrix, to complement a set of objective suitability criteria identified in the literature review.

By this means an evaluation matrix was developed (located in Appendix G) which formed the major output of the research in answering Research Question 1.

The intention was to develop an evaluation matrix that could be applied as a screening tool to inductively evaluate the suitability of potential M&E frameworks. Of relevance to this research, the screening tool would subsequently facilitate answering Research Question 2.

Discussion Guide Question 1 read as follows:

Reflecting on your own professional experience can you please tell me what you perceive to be the key criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention?

The key finding from this question is that there appears to be an inherent tension between the desire for a standardised framework on the one hand and a requirement for a contextually relevant, customised conceptual framework on the other.

With the former, respondents from the Private Sector (being those respondents from the Private Sector who have had experience in PPPs that made use of Social Marketing principles as a development tool) were looking for a replicable M&E system that could be used to

standardise research processes internationally. Such as tool would be particularly useful for MNCs who run multiple projects concurrently over an international foot-print and need to determine relative effectiveness of each.

The purpose of a standardised tool would be to:

1. minimise risk of "*ambiguous definitions*" causing confusion in interpretation of M&E findings (Respondent from Private Sector background)
2. enable multi-country and multi-programme comparisons (bench-marking).

In contrast, respondents from Donor Agency, Academic, Development Consultancy and Non-Profit backgrounds (who tended to have deeper experience in M&E than respondents from the Private Sector) pointed to the practical limitations of developing a universal M&E framework.

The main thrust of the latter view-point was that, in a Social Marketing programme, there is a need to apply a theory of behaviour change that matches a given behaviour and social context.

"*You need to develop a theory that is appropriate*"
(Respondent from a Private Sector Consulting Background)

Different contexts tend to require different types of behavioural stimulus in order effect change - and thus require different theories of change.

The finding is consistent with that of Fishbein et al. (2000) who submit that different behaviour change theories need to be used when identifying behavioural determinants.

The implication for this research is that Private Sector approaches to M&E aiming for standardisation, albeit that these may have been successfully applied to improve organisational effectiveness around a profit motive, may not necessarily be applicable when managing and evaluating behaviour change programmes around a development motive.

Where a respondent from the Private Sector advocated the need for Social Marketers to customise behaviour change communication around the profile of a specific target audience, so too it would seem that there is a need to customise M&E frameworks around the specific behaviour and social context targeted.

The concept of a tension, as suggested above, did not explicitly emerge from findings within the literature review. Chapman (2004) advocates to make use of a common over-arching framework with which to structure the planning and evaluation of Social Marketing interventions.

In light of the responses to this research, it is suggested that the frameworks that were identified through the literature review are broad level conceptual models that need to be customised according to the required behaviour and target audience.

The ability of the frameworks identified in the literature review to act as a generic tool across multiple contexts - as desired by respondents from the Private Sector - appears limited. A suitable Social Marketing M&E framework is thus not necessarily one that will meet the Private Sector's ideal for standardisation.

Another theme - specifically referred to by respondents who are regularly involved in the M&E of development programmes (those respondents from Donor Agency; Non-Profit; Development Consultancy; Academic backgrounds) - was to be aware of the professional background of the person designing the research framework.

"An economist versus a psychologist versus a marketing professional will draw on different paradigms of thought that will affect the nature of indicators selected."

(Respondent from NGO background)

This theme, which a respondent from a Donor Agency background termed the "*fragmented nature of M&E*", is consistent with Hamann's (2006) assertion that different perceptual lenses tend to be applied by each stakeholder to the concept of corporate citizenship and social impact.

The implication, when identifying criteria with which to determine suitability of a behaviour change M&E framework, is that *suitability* (as a term in and of itself) needs to be critically examined and considered relative to the behavioural and/or developmental context in which the programme is taking place.

Again, what emerges is that there appears to be limited scope for a generic framework that can be applied across different types of social marketing programmes - particularly when different theoretical approaches are applied.

Additional themes that emerged in response to discussion guide question 1 follow.

The first theme to be discussed considers a suitable framework to be one that contains a socio-epidemiological analysis, defined as an understanding of the social conditions influencing an observed behaviour and/or health outcome (Poundstone, Strathdee and Celentano 2004).

Within this, a further sub-theme emerged that had broad consensus amongst respondents: a suitable Social Marketing M&E framework recognises that in planning social marketing programmes there are risk factors affecting the vulnerability of an individual that can stem from either a household, community and/or national level. Activities can be targeted at each of these levels within society, as a conduit through which to influence behaviour change at the individual level.

> *"Interventions can be targeted at either a micro, meso or macro level"*
>
> (Respondent from Donor Agency background)

The interpretation is that, where Social Marketing interventions can be designed around activities targeted at multiple levels within society, a suitable framework should cater to what one respondent from a Donor Agency background termed "*eco-social*" theory.

By having the flexibility to measure a variety of activity types at various levels within society a suitable framework should be able to measure their linkages to behavioural outputs and health outcomes at the individual level.

This is consistent with the findings of Price (2001) and Chapman and Patel (2004) in the literature review, whilst a respondent from a Donor Agency background referred to a relevant socio-epidemiological study by Poundstone et al. (2004).

There was a second sub-theme that contained a word of caution by respondents from Private Sector and Donor Agency backgrounds: in order to reliably determine impact of a Social Marketing intervention, measurement should be at only one pre-specified level within society (individual, household, community or national) for any given project evaluation.

Anything more complex - requiring measuring change at multiple socio-epidemiological levels – appears to be difficult to determine from an impact perspective.

The suggestion by respondents in this research would indicate that a suitable M&E framework needs to define and set limits to measurement on a strategy by strategy basis.

The interpretation is that there is an ideal M&E framework and a practical framework. An ideal framework measures an intervention comprehensively at all levels within society but may not produce meaningful information for decision-makers. A practical type of framework produces limited but meaningful information to decision-makers.

Half of the respondent sample submitted that a suitable of M&E framework for the Private Sector would likely be the latter, because in a trade-off between breadth versus depth of data, richer data enables more accurate decision-making.

"*My recommendation is focus on a smallest common denominator*"

(Respondent from NGO background)

The second macro-level theme that emerged on this topic was a need for careful selection of a relevant theory of behaviour change and for appropriate integration of that theory into the M&E framework.

On theory selection, a majority of respondents from all professional backgrounds considered the Opportunity, Ability and Motivation (OAM) concept to be a best-practice approach by which to structure M&E of Social Marketing interventions. This finding is consistent with Rothschild (1999) and Andreason (2002) in the literature review.

On integration of the OAM theory into an M&E framework, respondents recommended that a suitable framework would establish cause-and-effect links between implemented activities and required changes at the behavioural level.

This finding is aligned with that of Chapman and Patel (2004), who encourage Social Marketers to find a means by which to help better understand the correlations between Social Marketing activities and observed target audience behaviour.

A similar sub-theme – that emerged from responses to question 2 in the discussion guide - had to do with attribution. Responses were clustered around two criteria of relevance to this discussion:

- one of which had to do with determining the impact of a specific activity within a project;
- the other which had to do with discerning a project's impact relative to other interventions and organisations operating in the same geographic context.

For both, the implication for this research is that a suitable M&E framework establishes a clear link between activities implemented on the ground with outputs delivered at the behavioural level.

Without these types of linkages, there is a risk of incorrectly attributing an activity to successful behaviour change and of re-funding and/or rolling out a project with questionable impact.

"*You want to avoid the risk of a false positive*"

(Respondent from NGO background)

This finding resonates with that of Weiss (1998) and Clark et al. (2004) in the literature review, the latter who stress the importance of determining impact as that portion of the total outcome of a project which occurs as a result of a specific activity - above and beyond what would have happened if the activity had not taken place.

Another macro-level theme that was common to both questions 1 and 2 in the discussion guide - and which was commonly referred to by respondents irrespective of background - was to avoid sole reliance on advertising and/or marketing communication as an activity within a Social Marketing intervention.

"*Mass media is a small component of behaviour change*"

(Respondent from NGO background)

The interpretation is that a suitable framework plans in, and measures the effect of, a variety of types of activities related to the marketing mix (Product; Price; Place; Promotion) - not just communication.

The academic literature would support this interpretation: Rothschild (1999) suggests using an integrated mix of education, marketing and law to bring about behaviour change; Figueroa et al. (2002) provide 6 types of catalysts with which to initiate behaviour change; Davies et al. (2005) submit that marketing, through a mix of Product, Price, Place, Promotion, can be used as a lever to enhance motivation and to create opportunities to act; whilst Nichols (2006) refers to the four P's of the marketing mix as being necessary in a Social Marketing perspective.

In order to identify what type of activities to include in a framework, the majority of respondents were in consensus in recommending that there needs to be a way to:

"*...Find a way to link your marketing activities to the FOAM (Project Focus; Opportunity; Ability; Motivation) Social Marketing methodology*"

(Respondent from Private Sector background).

This recommendation has strong linkages with previous sub-themes mentioned in this Chapter and is aligned with the academic literature: Rothschild (1999) finds that classifying target audiences according to their level of OAM enables behaviour change programme managers to determine what type of strategy an intervention should employ.

A fourth macro-level theme on suitability is a requirement to properly understand and define user needs – as the nature of information produced by an M&E framework appears to correspond with the practical use thereof.

Respondents from Non-Profit and Private Sector development consultancy backgrounds were the primary interview source for this theme. The feedback was that there tends to be a difference in informational needs between management and executive level in an organization, with the former requiring implementation-oriented information and the latter being more interested in aggregated reporting data.

The implication for this research is two-fold: a suitable M&E framework is either one that is planned around identifying and meeting multiple user requirements within an organisation; or, there is a need for a separate framework for each type of user.

According to Ligteringen and Zadek (2005), successful implementation of corporate citizenship initiatives is thwarted by a lack of alignment between strategic reporting indicators and performance measurements designed for operational or management levels. Based on this finding in the literature, it is suggested that a suitable M&E framework for Social Marketing programmes in the Private Sector would be one that captures both operational and strategic concerns.

This interpretation is consistent with Price (2001), who submits that a suitable M&E framework captures both the demand and supply-side factors of a Social Marketing

programme - defined respectively as measuring the Impact of a programme (the strategic concern) and the Effectiveness of a programme (the operational concern).

In one related sub-theme respondents with a Private Sector background indicated their preference for a benchmarking tool that can show behavioural differences before versus after an intervention rather than a diagnostic explanation.

"*I would think that a suitable framework* (for the Private Sector) *is one that can provide top-line, cross-country comparison rather than a detailed explanation"*

(Respondent from Private Sector background)

Another sub-theme related to a need to place observed behaviours in context of the target audience required to perform the behaviour. This enables a programme manager to conduct a comparative analysis of the effectiveness of the programme relative to similar behaviour change interventions across different target audiences and countries.

Comparing this finding to that of Chapman and Patel (2004) in the literature review – who submit that a good Social Marketing framework is one that is evaluable and comparable – it would seem that a suitable behaviour change evaluation framework contains:

1. "*segmentation"* (Respondent from Private Sector background) / *population demographics*" (Respondent from NGO background);
2. has the flexibility to cater to the different behavioural profiles of different target audiences.

There was a general consensus amongst respondents that there needs to be alignment between what is planned in a Social Marketing programme and what is actually implemented. A suitable framework provides some form of process evaluation to examine the steps taken to implement the programme.

"*A suitable framework gives you an idea of what went wrong* (relative to intended outcome)"

(Respondent from NGO background)

This finding is consistent with the literature: Price (2001) argues that M&E needs to measure both supply and demand-side factors in a Social Marketing programme; Thorogood and Coombes (2004) urge researchers to focus on aspects of delivery within a programme in order to provide a more detailed understanding of how and why an intervention failed/succeeded in its achieving objectives; in Croyle (2005) it was mentioned that frameworks should measure both process and outcome.

A fifth macro-level theme - that was commonly referred to by respondents from all types of professional background excluding the Private Sector - involved a need to capture learning from development projects and to share learning between other types of organisations involved in development work.

In order to build an understanding amongst development practitioners of which types of approach are/are not working, a commonly referred to recommendation was:

1. to conduct "*a periodic meta-analysis"* of development interventions (Respondent from Development Consultancy Background);
2. to make increasing use of qualitative data in order to "*augment quantitative findings*" (Respondent from NGO background).

The interpretation of this finding is that Social Marketing is a young and evolving field in which practitioners still appear to be in the process of developing a best practice approach to managing programmes. As such, there is a need to adopt a collaborative approach - as suggested by Brugmann and Prahalad (2007) - in order to determine which type of projects have the highest pay off for the poor.

The implication for this research is that a suitable framework incorporates measures that encourage managers to capture and share learning with other development organisations.

Where Easterly (2006) submitted that the Private Sector has an adaptive, trial-and-error approach to managing projects that is likely to prove effective in developing interventions that are of benefit to the poor, findings from responses to this research suggest that this

approach needs to be further complemented with a mind-set of collaboration - in order to further improve development response.

Indeed, where Mayoux (2005) found that progress in Private Sector development approaches has been slow to date, an interpretation of responses to this question indicates that greater sharing of experiences may catalyse progress in this area.

Question 2 in the discussion guide further addressed Research Question 1 and was designed to encourage respondents to think further about the Private Sector as a role player in development. The question intended to elicit criteria with which to determine the suitability of Social Marketing M&E frameworks from a Private Sector perspective specifically.

Discussion Guide Question 2 read as follows:

What additional considerations do you feel need to be taken into account when selecting an M&E framework with which to determine the effectiveness of Private Sector interventions as a development actor?

Responses to this question revealed a macro theme relating to concerns by a majority of respondents on whether a commercial paradigm - as endorsed by Private Sector organisations - can be aligned with a development outcome.

The first concern (sub-theme) related to an apparent tension between the expected role of M&E by Private Sector and the required role of M&E by Development stakeholders. It would seem that M&E in Private Sector development initiatives has to play multiple roles: to show what the benefit of the investment is for the company and to show what the benefit of the project is in terms of development.

Respondents from Non-Profit backgrounds questioned whether both paradigms can be sufficiently captured in one M&E framework; whilst respondents from the Private Sector mentioned difficulties in doing so.

Relating this finding to the literature, Tuppen and Zadek (Slater 2004) submit that a suitable framework for the Private Sector needs to conceptualise the linkages between a company's core profit motivation with the company's impact on the economic growth of a country and on the broader externalities of human development.

The interpretation is that the need to measure broader externalities is in contrast to the traditional business-centric approach of solely measuring the financial impact - profit, investments and labour productivity. Based on the Private Sector's current paradigm of thought, unless a Social Marketing programme is directly aligned with core Private Sector profit-making activities, it appears to be difficult to conceptualise the linkages in an M&E framework between a company's core profit motivation and human development.

As such, it would seem that a conflict of interest prevails that can prevent the Private Sector effectively measuring the effectiveness of Social Marketing as a development approach.

The second concern (sub-theme) - on whether a commercial paradigm can be aligned with a development outcome – is discussed in the context of a need for development partners to collaborate and share learning.

Several respondents (notably, excluding those from the Private Sector) raised a concern about the Private Sector's approach to reporting on social investments. It was felt that the Private Sector tends to publish findings that are less self-reflexive than donor-funded development initiatives tend to be.

"*The Private Sector's approach in publicising results is often PR friendly*"
(Respondent from NGO background)

This view is endorsed by London (2009), who suggests that companies fail to present the full range of perils and promises that their BoP activities generate.

These same respondents were of the opinion that positively biased reporting by the Private Sector limits the degree to which constructive learning can be taken out of an intervention by

other types of development organisations – and the extent to which future development interventions can be improved.

"A lot of M&E… results tend to be more aligned with what the M&E can deliver to the donor than with what the M&E can deliver to the beneficiaries"

(Respondent from Academic background)

The interpretation is that - where there is a growing recognition that the Private Sector has a stake as a partner in development (Buse and Walt 2000; Slater 2004; Easterly 2006) - there is a need for the Private Sector to look critically at the way in which it disseminates development-related information. Sharing learning, both good and bad, from project experience is a form of collaboration with other types of development partners.

The academic literature provided an array of reasons for why the Private Sector should collaborate with other types of development partners: the scale and complexity of social problems required to develop BoP markets requires a combination of resources, bringing together the complementary skills and inputs of the private sector and civil society (Fox et al. 2002); companies and civil society are increasingly working together to co-create markets in the BoP (Buse and Walt 2000; Brugmann and Prahalad 2007);

Brugmann and Prahalad (2007), in particular, submit that governance structures and business models for both companies and Civil Society *are* changing to enable growth through development of the BoP. The findings in this study build on those by Brugmann and Prahalad (2007), to suggest the need for companies to be willing to change the way they disseminate information to be both PR-Friendly and contain self-reflective information that would be of benefit to continuous learning.

The third concern (sub-theme) in regard to different paradigms between the Private and Development sectors was an apparent difference in the decision-making processes between Non-Profit versus Private Sector organisations. This theme emerged specifically from interviews with respondents from the Private Sector – being those people who had experience working in PPPs that made use of Social Marketing approaches for development.

Based on these responses it would seem that - owing to a need to report to Donors - Non-Profit organisations tend to operate over a much long planning cycle than the Private Sector; whilst the latter has become deliberately less bound by research in making a decision and can thus move on to implementation relatively quickly. What emerges is a tension between a "*good enough version*" of M&E and a "*proof of version*" of M&E.

The implication is that a suitable M&E framework for the Private Sector operating in a multi-sector partnership (PPP) would likely be more robust than that which would normally be required by the Private Sector and that - within a partnership between Private and Public sectors - there are stages at which the Public Sector partner will want to test more than the Private Sector partner.

Easterly (2006) argues that the slower planning focus of development organisations is not beneficial for the poor and that the Private Sector approach is more responsive to meeting poor people's needs. Similarly, one respondent submitted that there is a dichotomy within the Public Sector on M&E, described as follows:

> "*They* (Multi-lateral Organisations and Government) *can't put anything out into the field until it is proven to work, but then you look at what they are doing in the field and it is very difficult to find whether it was proven to work*"
>
> (Respondent from Private Sector Background)

While the academic literature finds that the Private Sector decision-making cycle is quicker and enables a relatively quicker development response, one respondent felt there is a con to this approach in that the faster a project is replicated/rolled out the more difficult it is to measure. This increases the risk of incorrectly investing in a project that does not have a good pay-off for the poor.

Based on a combination of findings from the literature review and from the in-depth interviews, the suggestion is that the concept of a suitable framework should change relative to the life of a programme.

Toffolon-Weiss et al. (1999) submit that a suitable framework structures the respective phases of project planning, implementation and evaluation - and in Croyle (2005) it was found that a suitable framework enables the broadest spectrum of evaluation possible covering Formative evaluation, Process evaluation, Impact evaluation and Outcome evaluation.

The suggestion arising from responses to this research is that suitability could be judged as follows: a "*good enough version*" may be suitable for the planning and implementation phases of the programme; and a "*proof of version*" of M&E for the impact and outcome evaluation phases of the programme.

Another sub-theme in regard to conflicting paradigms of approach relates to an apparent difference in investment horizon between Private Sector and Development organisations.

The majority of respondents felt that the Private Sector has a limited awareness or interest in the sustainability of development programmes beyond a company's own investment horizon. There is opportunity to pay greater consideration to what happens beyond the withdrawal of a company from a development project and to consider:

"*the broader development context beyond the Corporate Social Investment (CSI) project going at the time*"

(Respondent from Private Sector Background)

The first implication is that, when designing M&E frameworks for the Private Sector in development, there needs to be an understanding of the full spectrum of organisations working in development - such that a company can define what role it will play with respect to these other organisations and define what it is hoping to influence within the system.

By this means the Private Sector can understand how their absence/presence affects the sustainability of the development programme as a whole – and trigger a systemic effort to find a replacement agent to take up the void created upon leaving.

Where Benner et al. (2004) and Prahalad (2005) submit that the Private Sector can be seen to form part of a wider symbiotic eco-system or network for creating and capturing value within the BoP, it is recommended that - when designing M&E frameworks for the Private Sector - there needs to consideration given to a longer time frame than the project itself to ensure sustainability of impact. This time-frame may extend beyond that initially envisioned by the Private Sector when entering into such projects.

Another theme that emerged from responses to this question – that was referred to by respondents from all types of background - had to do with concerns on M&E capacity within the Private Sector, specifically constraints around:

1. "*time available*" to conduct M&E (Respondent from NGO background);
2. and "*background knowledge required*" to conduct M&E (Respondent from Donor Agency background).

The interpretation is that companies appear to be in a situation that requires them to make use of M&E frameworks and processes that require a highly specified skill in a resource poor context. There is a concern by respondents over the feasibility of conducting effective M&E within a Private Sector context.

In order to be able to determine whether Social Marketing interventions are an effective market development approach for the Private Sector, companies need to critically evaluate their own M&E capacity. Respondents in this research suggested that a suitable Social Marketing M&E framework would be out of the Private Sector's current competence to implement.

Based on the findings in this research it is recommended that companies consider co-opting relevant resource to conduct the type of M&E required to determine the effectiveness of their Social Marketing programmes.

5.3. Interpretation of Findings on Research Question 2

Research Question 2:

Given a variety of potential evaluation frameworks which framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach?

Question 3 in the discussion guide explored Research Question 2 and focused specifically on the PSI PERForM framework, as one of the potential Social Marketing M&E frameworks identified in the literature review.

Respondents were encouraged to draw on their responses to the earlier interview questions as a reference point with which to discuss the suitability of the PSI PERForM framework.

By critically discussing the suitability of one particular framework (the PSI PERForM framework) from a variety of stakeholder perspectives, the intention was to reveal both the relevance and limitations of that framework.

In so doing, the aim was to determine whether the PSI PERForM framework can be considered as a suitable Social Marketing M&E framework with respect to answering Research Question 2 – and if not, what criteria from that framework should be replicated and/or avoided when evaluating an alternate framework.

An inductive evaluation was conducted on the suitability of the PSI PERForM framework by drawing on responses to Discussion Guide Question 3 and discussing these findings with respect to the evaluation matrix developed as an output of Research Question 1.

The evaluation of the PSI PERForM framework on this suitability matrix forms the centre-point around which the interpretation of findings on Research Question 3 are structured. The evaluation of the PSI PERForM framework is located in Appendix H.

It should be noted that the evaluation in Appendix H is entirely interpretive and that, whilst attempts were made to ground the interpretation in findings from both the literature review and the in-depth interviews, there is a risk of researcher bias.

A critically balanced assessment of the PSI PERForM framework was provided by respondents (with both positive and negative aspects identified).

The key finding in relation to Research Question 2 is that respondents called into question various aspects of the PSI PERForM framework which would preclude a recommendation for the framework to be considered as entirely suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

Talking to the positive criteria first, respondents perceived the PSI PERForM framework to be a suitable tool for structuring the conceptual linkages of a Social Marketing project, by showing how specific Social Marketing activities (such as interventions around Price, Product, Place and Promotion) relate to intended behavioural outputs and ultimate human development outcomes.

The interpretation is that the structure of the PSI PERForM framework, which is designed around a log-frame narrative as suggested by Jackson (2000), appears to be particularly effective in showing these linkages.

Building on this finding, most respondents (bar one from the Private Sector who had not been exposed to OAM methodology before) felt that the PSI PERForM framework effectively integrates Rothschild's (1999) OAM methodology, which both the respondents and the academic literature considered best practice in Social Marketing programme design.

Respondents from Donor Agency, Academic and NGO backgrounds cautioned that there is a risk of the PSI PERForM framework becoming "*too broad leve*l" (Respondent from Development Consultancy background) and becoming "*limited in application*" (Respondent from Donor Agency background) if not applied to a specific behaviour and target audience.

To this end, consideration of OAM criteria relative to Population Characteristics (level 3 in PSI PERForM framework) was interpreted by most respondents as a positive criterion of the framework, recognising the need to customise the design of Social Marketing activities according to geographic and/or target audience context.

In juxtaposition, there were also several challenges and limitations identified about using the framework. The most voiced concern (in terms of frequency of mention by each respondent and commonality of reference across respondents) was a perceived limitation in the framework's attempt to act as a generic measurement tool for application across a variety of different types of Social Marketing interventions.

In addition, there were concerns about the practicalities of conducting effective evaluation of interventions at the higher levels of the PSI PERForM framework (the outcome and impact levels), given cost and resource requirements to determine accurate attribution.

Building on this view-point, several respondents voiced the need to take into account practical limitations in conducting impact evaluation (particularly) and suggested that a more suitable framework would limit measurement at lower levels of a log-frame (such as output and activities). Doing so would enable a limited, but useful degree of comparative evaluation of respective Social Marketing interventions initiated by the Private Sector.

After a prompt from a respondent who wished to remain unidentified on this point, it was noted that Price (2001), Davies et al. (2005), Chapman and Patel (2004) each have been (or currently are) professionally associated with PSI as an organization.

This observation is relevant in light of the fact that, as an organization dependent on Donor funding, it is within the PSI's own interests to show that Social Marketing works well relative to other types of development interventions and that publications on the PSI PERForM framework may be positively biased.

"*You have to bear in mind that it is very likely that PSI is contracted to prove a point*"

(Respondent who wished to remain unidentified on this quote)

This finding further highlights the need for an independently and academically validated Social Marketing M&E framework and suggests that the PSI PERForM framework needs to be validated prior to wider adoption by the Private Sector.

Another theme to emerge from responses to this question was a limitation of the PSI PERForM framework in determining attribution of a project at the higher order levels of the framework (levels 1 and 2 from the top).

There was consensus amongst respondents that the limitation was not to do with the PSI PERForM framework specifically, but more to do with the fact that:

> "(Attribution at the) *desired outcome level is very difficult to measure*"
>
> (Respondent from Private Sector Development Consultancy background).

Indeed behaviour change programmes tend:

> "*…to struggle to show success, because it is difficult to measure and define project attribution at the outcome level* (of a log-frame)".
>
> (Respondent from a Donor Agency background)

Whilst Weiss (1998) argues that there is a need to determine attribution within programme evaluations, respondents raised concerns about being able to practically conduct research at the Impact level of the PSI PERForM framework (2nd level from top of the framework).

The interpretation is that, in general, there are difficulties in determining attribution between one specific social marketing intervention and its wider impact at a societal level. Often it may be more feasible to:

> "*…end M&E at the Output level of the log-frame* (3rd level from top of the PSI PERForM framework)"
>
> (Respondent from NGO Background)

5.4. Interpretation of Findings on Research Question 3

Research Question 3:

Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

Questions 4 and 5 in the discussion guide address Research Question 3 and were designed to investigate potential indicators with which to populate Social Marketing M&E frameworks.

Question 4 uses the PSI PERForM framework as a platform with which to begin the discussion on potential indicators.

Question 4 reads as follows:

In your opinion, what are potential indicators for monitoring and evaluating Social Marketing programmes as a market development mechanism using the PSI PERForM log-frame?

There was an emergent criticism by a majority of respondents on the design of question 4 in the discussion guide. This finding led the interpretation of the research in an un-expected direction.

The criticism was seeded in responses to earlier questions in the interview, the essence of which concerned perceived limitations around the use of a generic M&E model in a Social Marketing context.

In question 1 of the discussion guide, respondents were in consensus that a generic M&E framework is not necessarily suitable when applied across a variety of different types of Social Marketing interventions – owing to the need to apply different behavioural change theories to different behaviours and target audiences.

In question 3 of the discussion guide, respondents by and large rejected the PSI PERForM framework as a potential generic M&E framework owing to a perception of the framework being:

1. "*too broad level*" (Respondent from Development Consultancy background)
2. and "*limited in application*"(Respondent from Donor Agency background)

Again, the feedback from respondents was that a suitable framework needs to be more adaptable to context.

Building on these findings, in question 4 of the discussion guide the majority of respondents were reticent to discuss potential indicators for monitoring and evaluating the PSI PERForM framework - or any other framework for that matter - on the basis of two themes respectively discussed below.

The first theme related to the fact that the M&E framework selected determines the type of indicators applied.

The interpretation is that both framework and indicator selection should be determined by a theory of change under-pinning the programme. As such, there is a sequential process in designing M&E of a Social Marketing programme, outlined as follows:

(1) a required behaviour is first identified;
(2) a behavioural change theory is then selected;
(3) a relevant framework is selected to complement the behavioural theory;
(4) indicators are selected to complement the "*project logic*" (Respondent from an NGO background), such that indicators link directly to the under-lying theory driving the project.

The implication for this research is that the design of question 4 in the discussion guide was flawed.

> *"If your model is wrong your indicators are wrong."*
>
> (Respondent from a Donor Agency background)

Building on this theme, the finding is that too much focus has been given to identifying indicators in this research. Several respondents suggested that it would be more applicable to further investigate the suitability of the underlying framework first.

"*There is* n*ot enough critical thought given to the framework.*"

(Respondent from a Donor Agency background).

The second theme builds on the first. Where each type of behaviour is likely to require a unique underlying behaviour change theory (Fishbein et al. 2000), there is a need to ask:

"*What is the context that surrounds the indicator?*"

(Respondent from a Private Sector consulting background)

In doing so, a suitable approach is to then customise indicators around that context. The choice of indicators thus:

"…all depends on the area you are looking at."

(Respondent from Donor Agency background).

This finding has resonance with the literature review. Owing to a large variety of health issues and the requirement to cater to the needs of different target audiences per country, Chapman and Patel (2004) found that one set of evaluation metrics does not necessarily apply to all behavioural change programmes. Indeed, this would serve to explain the large variety of indicators discovered during the literature review.

The interpretation for the purposes of this research is that generic indicators are not applicable across all types of behaviour change projects: each behaviour requires a specific set of measurements. For example, indicators for health change according to the health risk at hand.

Albeit that the responses to question 4 were not as expected, the respondents' shared tendency to resist providing a set of potential indicators was consistent with the nature of responses submitted to the earlier questions in the study. Ulin et al. (2005) assert that a logical relationship between findings and consistency in the nature of explanations builds confidence in the truth of findings, by showing that respondents have an accurate understanding of the concept under discussion.

The interpretation is that there is a good basis on which to suggest that the results obtained from questions 1-4 in the discussion guide have credibility - and provide useful insight into the design of M&E frameworks and subsequent selection of suitable indicators.

The key finding in relation to Research Question 3 then is that universal indicators do not necessarily apply to M&E of Social Marketing interventions and can not necessarily be applied across all types of behaviour change projects. Each project requires specific measurements, owing to the unique epidemiology of diseases and the dynamic nature of factors affecting risky behaviour.

Expert knowledge specific to either the target audience, development context and or behaviour would be required in order to identify relevant indicators for a given project.

It can be interpreted that it becomes ever more difficult to compare the effectiveness of Social Marketing programmes relative to each other - and relative to other types of development interventions - given constraints in being able to compare like-for-like indicators across different projects.

In other words, it becomes difficult to determine whether investment in Social Marketing interventions targeted at changing one type of behaviour are more effective than interventions targeted at another behaviour.

Similarly, it becomes difficult to compare the effectiveness of an investment in a Social Marketing intervention that aims to reduce the incidence of a risky behaviour, relative to an

investment in another type of development project: for example, a small and micro enterprise development initiative that aims to improve income security for the poor.

The implication in terms of the research problem guiding this study is that - in order to determine whether Social Marketing is an effective market development approach for the Private Sector - there are constraints that first need to be overcome. These constraints relate to limited potential of a generic M&E tool across behaviour change interventions.

In order to resolve the limitations, the interpretation of findings from this research is that there is opportunity for the Private Sector to focus its M&E resources on comparative evaluation at the Impact and/or Outcome level of a log-frame, which tend to measure shifts in macro-level poverty alleviation goals - such as the Millenium Development Goals (MGDs) – and can be commonly defined across different types of development interventions.

"Owing to the wide variety of projects they grant funds to, some donors like the Global Fund only measure from the Impact level upwards"

(Respondent from NGO and Academic Background)

Drawing on the literature review, the suggestion then is for the Private Sector to further investigate Impact assessment frameworks such as the Impact Value Chain (Clark et al. 2004) or the Base of the Pyramid Impact Assessment Framework (London 2008).

Both of the above frameworks subscribe to concepts which are consistent with the BoP perspective:

(1) of blended value - the idea of creating value through social, environmental and financial means (Tuppen and Zadek in Slater 2004)
(2) and of creating mutual value - for both society and the Private Sector (London 2008b).

Impact assessment models may give the Private Sector a stronger indication of comparative return on investment of different types of development projects; whilst models such as the PSI PERForM framework (Chapman 2006) and the Precede-Proceed Model (Green and

Kreuter 1999) appear to yield a more in-depth understanding of planning, process and output concerns within a Social Marketing project specifically with limited comparative ability.

In attempting to use Impact assessment frameworks this research highlighted a challenge: consistent across the in-depth interviews with respondents who had academic and/or professional experience in M&E (6 respondents) was the finding that the practice of M&E is currently divided on how to evaluate Impact.

"*Impact evaluation is the hole* (in current M&E practice)"

(Respondent from a Private Sector consulting background)

A question of capacity was raised by a respondent from an academic background: where donor and academic organisations with core competencies in M&E are still working towards understanding how to conduct effective Impact assessment, how can one expect the Private Sector to do otherwise?

The interpretation is that there is scope for the Private Sector to co-opt the required competencies to conduct Impact assessment via collaborations with Academic, Donor and/or Non-Profit Organisations. This would be consistent with literature on multi-sectoral partnerships (London et al. 2005; Weiser et al. 2005). Indeed, the new competencies that emerge through such collaborations can be viewed as a source of future competitive advantage (Brugmann and Prahalad 2007).

Question 5 in the discussion guide was designed to build on question 5 and to throw open respondent thinking beyond the PSI PERForM framework - in order to identify a broader set of potential indicators that could be used to populate an M&E framework that captures the efficacy of Social Marketing as a market development mechanism.

Question 5 read as follows:

Reflecting on your own experiences, what other types of indicators do you feel are suitable for the evaluation of Social Marketing interventions as a market development approach for the Private Sector?

As with question 5, the responses to question 6 in the discussion guide tended to be framed by responses to earlier questions in the in-depth interviews. Whilst respondents did go on to suggest a range of potential indicators, these suggestions were made in the context of a prior recommendation to consider indicators in context of a specific behaviour, target audience or intervention.

"Structure your indicators around your objectives."

(Respondent from Private Sector Consulting Background)

There were three macro themes that emerged through responses to question 5 in the discussion guide, broadly summarised as:

- Potential screening criteria to use when determining suitability of indicators
- Types of indicators to avoid in M&E of Social Marketing interventions
- Types of indicators to consider in M&E of Social Marketing interventions

The first macro theme comprised of a variety of suggestions from respondents on how to ensure indicators are suitable for M&E purposes.

It was observed that respondents from Donor, Academic and NGO backgrounds were able to provide thicker descriptions of screening criteria to consider than those respondents from corporate backgrounds.

There is thus a bias in this discussion towards covering indicators from an academic and/or development perspective, to the detriment of eliciting deeper feedback on how the Private Sector evaluates whether a market development mechanism has been effective.

From responses to Question 5, there appears to be a need to complement indicators that provide quantitative data with qualitative content, in order to develop an M&E framework that effectively captures the uncertain and/or indirect effects of a Social Marketing initiative.

On the need for quantitative data, the majority of respondents talked of a need for indicators that can be standardised over time - enabling longitudinal comparisons of project effectiveness and cross-tabulations of data fields to explore potential hypotheses of change.

"We have a database that enables cross-tabulations of data so that you can drill down to detailed diagnosis".

(Respondent from NGO Background)

Explaining the need for qualitative data, all respondents talked of a need for richer, more descriptive data that can be used to infer changes in behaviour and environment.

"If completely serious about measuring impact you need to be open to researching beyond quantitative data, which is often too reliant on self-reporting. I like to include indicators that are reflective, such as anthropological observation data".

(Respondent from Academic and NGO Background)

The desire for qualitative data appears to be particularly pertinent in the area of impact evaluation, where there is a need to understand how an organization affects the broader externalities of human development (such as social and environmental outcomes) in addition to the traditional business-centric approach of measuring the financial impact of activities on a company (Tuppen and Zadek in Slater 2004; London 2009).

Where companies are only beginning to understand, quantify and report the economic link between company growth and resultant poverty reduction (Slater 2004), there is a need for data that can provide a more holistic approach about market development mechanisms.

London (2008a, 2009) recommends that managers of BoP initiatives take a learning-oriented approach to assessing impact, by factoring in dimensions beyond economic well-being. There is thus opportunity to consider the use of indicators that measure how a venture affects well-being as a holistic concept: for example, including the BoP stakeholder's economic situation, life capabilities, and relationships.

Based on responses to Question 5, the recommendation for the Private Sector is that, when developing an M&E framework for either a Social Marketing project or market development initiative - in which there is a need to better understand linkages between projects and communities (Tuppen and Zadek in Slater 2004) and specifically the multiplier effects of a project (London 2009) - it is prudent to start with a smaller, more defined target market, from which it is easier to elicit rich descriptive findings and to build a comprehensive understanding of the market dynamics.

*"The challenge is that you can't measure everyone on everything. Consider using a smaller sample size but go into more depth.... (*as opposed to) *a larger sample size with a few indicators".*

(Respondent from Private Sector)

Another sub-theme addressed the number of indicators to include in an M&E framework.

Three respondents (two from an NGO background and one from a Private Sector background) referred to a need to customise the nature of indicators in an M&E framework around the specific needs and expectations of the framework's end-user.

"You need to understand the decision-makers expectation and budget (when populating a framework with indicators)*. If the client wants a Toyota do not waste money and give them a Mercedes. Understand the trade-offs your client is willing to make within the data between depth versus breadth of information.*

(Respondent from NGO)

This finding is consistent with the finding in Discussion Guide Question 1, in which a suitable M&E framework was identified as one that accurately meets the end user's decision-making needs. Where a suitable M&E framework adapts around the decision-maker's requirements, so too then should the nature and quantity of suitable indicators.

The second theme to emerge from responses to question 6 in the discussion guide was around types of indicators to be wary of when populating a Social Marketing M&E framework within a market development context.

It was observed that responses tended to focus on indicators to avoid when trying to measure behaviour change in a Social Marketing project; in juxtaposition, there was little mention made of types of indicators to avoid when measuring the effectiveness of a market development mechanism for the Private Sector.

A qualitative researcher is obliged to be aware of and document his/her own role in the research process by applying reflexivity on biases and assumptions that might have influenced the collection and interpretation of information (Ulin et al. 2005).

As a form of self-reflection on the nature of responses to this question, it is possible that the researcher did not probe respondents hard enough during the in-depth interviews - in order to elicit potential indicators with which to measure and/or avoid in measuring a market development mechanism.

There was a motivation for not doing so, if that was indeed the case, underscored by the following assumption and interpretation: it was interpreted that respondents were providing a narrow set of answers because they were struggling to marry the two disparate paradigms of Social Marketing as a human development initiative (on the one hand) and Social Marketing as a market development mechanism (on the other).

This view would likely be endorsed by Slater (2004) and London (2008b), each of whom submit that there are currently limited frameworks with which to structure and measure the indirect and non-immediate linkages between Private Sector activities and poverty/quality of life within the BoP.

To effectively discuss both paradigms requires boundary straddling, which the researcher may not have managed effectively during the in-depth interviews, thus allowing respondents

to provide answers that fit their individual professional backgrounds, but did not necessarily meet the objectives of the research.

Sub-themes tended to cluster around a need for validity and reliability of behaviour change indicators.

Respondents across all professional backgrounds were in consensus that there is a need to directly observe a change in behaviour in order to measure it. Inferring a behaviour change using indicators that are associated with - or assumed to lead to - a specific behaviour is not reliable as these types of indicators do not take account of whether a behaviour actually takes place.

"Try to use observed data as much as possible when measuring the effectiveness of behaviour change projects, as this is more a reliable source of information. For example: if an indicator is 'percentage of households with soap in bathroom' in a hand-washing campaign, this is really an indirect measure of behaviour and only infers that behaviour has changed. It does not capture whether the soap is actually being used or whether soap is being used correctly at the right moment in time to prevent the spread of germs. Rather aim to measure hard data such as 'observed hand-washing before meals'"

(Respondent from Private Sector)

Similarly, there are reliability issues in using indicators that are based on self-reported behaviour by a target audience, as an evaluation becomes dependent on the claimed frequency of using a product/service associated with a positive behaviour.

Self-reported behaviour has reliability issues because of "*the researcher effect*" (Respondent from Donor Background), in which respondents try to please the researcher with an appropriately designed answer, or "*a recall effect*" (Respondent from Academic and NGO Background) in which there are questions over the accuracy of a target audience's memory when behaviours happened in the past or were by nature habitual and/or required low involvement by the audience.

"Whatever you do don't create perceptual indicators that are based on a respondent's perception of his own competence.... Focus rather on testing the respondent's understanding of the tenets of the required behaviour"

(Respondent from Academic and NGO Background)

The last issue of reliability related to the inclusion of indicators based on theoretical assumptions that can not be proven right or wrong either way. All respondents suggested that the Knowledge, Attitude, Belief (KAB) model of behaviour change is commonly used but necessarily valid or reliable. There appears to be limited evidence showing a direct link between increased knowledge and changed behaviour, whilst attitude and knowledge are not guarantees of behaviour.

"Attitude is a likely pre-cursor to behaviour, but not a given"

(Respondent from Academic Background)

"If you look at a recent study conducted by the Inter-Agency Task Team, a meta-review was conducted of HIV/AIDs prevention projects targeted at young people and it was shown that no randomized control trial has shown a link between sex education and changed behaviour."

(Respondent from Donor Agency)

The interpretation is that, where the Private Sector seeks to develop new business models, value chains and price-value trade-offs in order to target the BoP (Prahalad 2005), there is a need for the Private Sector to be open to the use of new types of indicators that can provide richer information on the target audience's behaviour patterns.

For example, in addition to the traditional marketing metrics used by business (such as retail distribution or household penetration of a product/service), one needs to complement such data with information on whether these products/services are being accurately used – or used at all.

The third theme to emerge from question 6 in the discussion guide referred to various types of indicators that respondents considered appropriate to measure a Private Sector Social Marketing intervention targeted at the BoP.

It was observed that few respondents referred to indicators that directly address the linkage between Social Marketing interventions as a behaviour change tool (on the one hand) and behaviour change programmes as a market development approach for the Private Sector (on the other hand).

Responses that came closest to providing insight into this area tended to be submitted by respondents from the Private Sector, with one exception being a respondent from a Donor agency background. This observation can be understood relative to findings in the literature review.

Whilst London (2008b) argues that the traditional development mindset is to view the poor as beneficiaries, grounded in a paradigm of dependence of the poor, Easterly (2006) describes the Private Sector as having a stronger motivation than traditional development players (such as Donors and Government) to seek value creation opportunities for the poor, owing to the BoP's perceived market potential as paying customers.

Based on the literature, respondents from the Private Sector would likely be more pre-disposed to discussing market-related linkages of development interventions.

These responses notwithstanding, the depth of data elicited from all the interviews in this research yielded a limited quantity of indicators that can be subsequently used to address the desired linkages between Social Marketing as a behaviour change mechanism (on the one hand) and as a market development mechanism (on the other).

The interpretation of this paucity of data on indicators for measuring effectiveness is that, whilst multi-sector collaborations involved in Social Marketing interventions as described by Curtis et al. (2007) are growing in incidence, there is still limited understanding of how to go about measuring the effectiveness of these programmes for the Private Sector as participant.

London (2008a, 2008b) argues that data indicating effectiveness of market development approaches are currently anecdotal at best. This research would suggest similarly.

In order to address this gap, there is a need for future research to consider alternative impact evaluation frameworks, such as the Impact Value Chain (Clark et al. 2004) and the BoP Impact Assessment Framework (London 2008a).

In looking at the content of responses to Question 5 in the discussion guide, three respondents from the Private Sector saw a need to include indicators that capture the efficacy of the Private Sector as "*a social innovator*" (Respondent from Private Sector), based on the premise that a central role for the Private Sector as a poverty reduction agent is in developing innovative business models that create the opportunity for people living at the BoP to participate in the market economy.

> *"I think an exciting area to emerge is what the World Bank terms 'enabling technologies'...* (being) *products or services that help people living at the Base of the Pyramid to improve their lives"*
>
> (Respondent from Private Sector)

This view is consistent with that of Prahalad (2005), Easterly (2006) and London (2008b), who endorse the view that the Private Sector can tap competencies in customer-oriented innovation to develop product/service interventions that can improve the lives of people living at the BoP, whilst simultaneously capturing financial value for businesses.

One of these respondents saw a need for the Private Sector to capture and assess the efficacy of commercial marketing competencies in identifying consumer insights and developing related marketing mixes (price; marketing communication; distribution; product/service) that drive the adoption of behaviour change within the BoP.

> *"I think the focus should be on building relevant consumer insights and using these to design social innovations that provide these consumers with the skills to move up the pyramid"*
>
> (Respondent from Private Sector)

As to what types of indicators to consider for measuring social innovation, Plescia and Newton-Ward (2007) suggest measuring whether a product makes a behaviour easier to perform, as an indication of whether a social innovation increases disposition towards changing behaviour change.

More specifically, Chapman and Patel (2004) recommend measuring distribution (geographical coverage) of the product/service and the extent to which access to a needed product/service has been improved for the BoP (accessibility).

In essence, the indicators discussed by respondents related to addressing potential barriers acting to inhibit a behaviour change, as described by the Academy for Educational Development (1998).

Given the variety of indicators that could be selected for this purpose, one respondent from the Private Sector recommended the need for a conceptual framework to structure the design, selection and evaluation of Social Marketing activities. Rothschild's (1999) OAM framework was referred to an applicable tool.

"I would suggest that there is a need to include indicators that capture the degree to which a Social Marketing project changes a target audience's opportunity, ability and motivation to behave as outlined in the OAM model"

(Respondent from Private Sector)

The interpretation is that there are broad underlying commonalities in the types of indicators suggested by respondents, which relate to addressing the Opportunity, Ability and Motivation (OAM) of a target audience to behave. The literature review provided a range of potential indicators that could be considered to populate M&E frameworks in this regard. It remains for programme designers to adapt and match indicators to the specific nature of a Social Marketing intervention.

Consistent across responses from Private Sector respondents, was the suggestion that M&E of Social Marketing interventions focus on measuring the efficacy of activities involved in the development of the full marketing mix: specifically product, price, promotion and place.

The interpretation is that, when planning M&E of Private Sector Social Marketing programmes targeted at the lower income sector, there needs to be room allocated to indicators that capture the effectiveness of the marketing mix in impacting the lives of the BoP. Specifically, there is a need for indicators that assess how well the BoP is reached by Social Marketing activities, in terms of coverage, reach and accessibility.

Turning to the respondent who recommended investigating the Private Sector's existing strength in consumer understanding as a means of designing behaviour change interventions and communication – the literature would suggest there is merit in measuring these activities.

Curtis et al. (2007) and Duhigg (2008) stress the value of the Private Sector's approach in developing effective behaviour change communication, in offering a unique customer-centric approach relative to communication previously produced by the Development Sector.

There appears to be an opportunity to investigate indicators that can measure the effectiveness of a target audience insight relative to a behavioural outcome – such that the habits, cues and consumer insights identified through Private Sector consumer understanding processes are linked to behavioural outcomes by a consumer.

The link between activities and behavioural output was addressed well by respondents from NGO, Academic and Donor backgrounds - who tended to discuss a need for indicators that capture the process of behaviour change planning and conceptualisation, as opposed to the commercial aspects of marketing mix development.

The nature of these responses focused on incorporating measures that represent specific theories of behaviour change and/or levers by which to facilitate behaviour change.

Specific recommendations were to consider indicators that capture the essence of different behaviour change approaches involving "*personal risk assessment*" (Respondent from NGO background), "*habit formation*" (Respondent from Private Sector background) and "*social networking*" (Respondent from Donor background).

The last sub-theme related to process control and project management of Social Marketing interventions, with respondents from all professional backgrounds describing a need for indicators to provide a means of audit - ensuring the fidelity of implementation of planned activities.

> *"A lot of what goes wrong lies in the gap between planning and implementation"*
>
> (Respondent from NGO Background)

Given the limited findings on indicators that address the linkage between Social Marketing interventions as a potential market development approach for the Private Sector, there remain questions about what to measure in determining the effectiveness of social marketing interventions as a market development approach.

The interpretation is that Social Marketing as a market development approach appears to be in its early days of development, with neither Private Sector nor Development Sector stakeholders fully understanding each other's fields of operation to the extent that a clear M&E framework with supporting indicators has been developed.

This view would be endorsed Chapman and Astatke (2003) who - through a meta-analysis of Social Marketing projects - submit that there are gaps in the knowledge base about Social Marketing. Specifically, their finding was that that little is known about whether Social Marketing's effect on perceived benefits for the public is relatively higher or lower than that of other types of health/development interventions.

Social Marketing practitioners tend to be employees of donor funded organisations, NGOs and other such development organisations – and follow a paradigm of thought that relates to behaviour change in relation to human development objectives; whereas corporate employees

appear to tend to follow a paradigm focused on market development opportunities and identifying unmet customer needs within those markets (Prahalad 2007)

There appears to be a need for wider collaboration between the various parties in order to further conceptualise the linkages between Social Marketing activities as a human development endeavour and Social Marketing activities as a market development endeavour.

Whilst Buse and Walt (2005), London et al. (2005) and Brugmann and Prahalad (2007) have observed increasing collaboration between the Private Sector and Development Sector organisations, this research indicates that the Private Sector is still some way off fully conceptualising and measuring the effectiveness of these collaborations.

There is scope for further multi-sectoral collaboration, as a platform on which to understand which M&E frameworks – and thus which indicators – are required to determine the relative effectiveness of Social Marketing interventions as a market development mechanism for the Private Sector.

CHAPTER 6: CONCLUSIONS, LIMITATIONS AND RECOMMENDATIONS

6.1. Introduction

The intention of this research was to determine the effectiveness of Social Marketing programmes implemented by the Private Sector and targeted at lower income segments – commonly referred to as the Bottom/Base of the Pyramid (BoP) (Prahalad and Hart 2003; Prahalad 2005; Karnani 2006; London 2009).

In providing a context for the research, a literature review found that growth opportunities for companies in developing countries (Prahalad and Hammond 2002; Prahalad 2005; Hammond et al. 2007) provide a sound business case for the Private Sector to invest in projects that catalyse the social and economic development of lower income populations within these countries (Nelson and Prescott 2003; Prahalad 2005; London 2009).

An important finding of the literature review was that there is an opportunity to create self-sustaining and scalable approaches to develop these markets that are grounded in the concept of mutual value creation – creating benefits for both business and the BoP as a customer base (London 2008b).

Social Marketing was identified as one potential market development mechanism for the Private Sector (Chapman and Astatke 2003), as an approach that uses an integrated set of strategies in addition to commercial marketing activities (Rothschild 1999; Davies et al. 2005) to achieve positive and societally beneficial behaviour change.

A knowledge gap was identified in the literature, in that there is limited understanding of whether Private Sector initiatives targeted at the BoP are effective at reducing poverty (London 2008a, 2009). Specifically, little is known about whether Social Marketing's effect on perceived benefits for the public is relatively higher or lower than that of other types of health/development interventions (Chapman and Astatke 2003).

The research problem guiding this study aimed to address this knowledge gap: to determine whether Social Marketing is an effective market development approach for the Private Sector relative to other types of market development approaches.

A further review of the academic literature explored how to evaluate the effectiveness of Social Marketing interventions and revealed that various evaluation frameworks and indicators are available (Green and Kreuter 1999; Clark et al. 2004; Chapman and Patel 2004; London 2008a), but that there is a lack of clarity on which is suitable to meet the reporting requirements of both a behaviour change and Private Sector market development paradigm.

In order to resolve the underlying research problem, exploratory research was required to identify suitable Social Marketing M&E frameworks and accompanying indicators that could be used by the Private Sector to determine the comparative effectiveness of Social Marketing as a market development approach.

The research took the form of a qualitative exploratory enquiry and set out to:

1. Identify criteria with which to determine suitability of an M&E framework to a Private Sector market development context (Research Question 1);
2. Make a reasoned judgement about the extent to which one of the frameworks identified in the literature review (the PSI PERForM framework) is suitable as a Private Sector market development M&E framework (Research Question 2)
3. Identify suitable indicators that could be used in the evaluation of Social Marketing programmes as a Private Sector market development approach (Research Question 3).

6.2. Conclusions of the Study

Key findings in relation to each Research Question identified through the literature review were as follows:

6.2.1. Research Question 1

Research Question 1:

What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention as a market development approach for the Private Sector?

A broad variety of potential suitability criteria were identified in relation to answering Research Question 1. These criteria referred to both existing knowledge about Social Marketing evaluation (knowledge consistent with the academic literature) and additional knowledge about the criteria that would be of relevance to the Private Sector specifically in designing a Social Marketing M&E framework.

Together, these criteria provided a base of knowledge from which to develop a screening matrix for the Private Sector to use in determining the potential a Social Marketing M&E framework to a market development paradigm.

The screening matrix, presented in Appendix G, was a major output of the research in answering Research Question 1.

The intention was to develop an evaluation matrix that could be applied as a screening tool to inductively evaluate the suitability of potential M&E frameworks identified in the literature review - which facilitated answering Research Question 2. Findings on the application of this tool are discussed below in the summary of findings for Research Question 2.

The key findings in relation to Research Question 1 were as follows:

- A generic Social Marketing M&E framework appears to have limited scope, as respondents in this research suggested that there is a need to customise such frameworks around the specific behaviour required and audience targeted. There are underlying behaviour change theories required for each type of behaviour and each target audience profile that requires customised M&E frameworks.

- Where Social Marketing interventions can be designed around activities targeted at multiple levels within society, a suitable framework should have the flexibility to measure a variety of activity types at various levels within society and should be able to measure their linkages to behavioural outputs and health outcomes at the individual level.
- There are a set of underlying tensions between the Private Sector's need and development stakeholders' needs in conducting M&E of Social Marketing interventions. These tensions need to be taken into account when designing suitable M&E frameworks for the Private Sector. Tensions relate to specific conflicts between:
    - the Private Sector's need for positively framed Public Relations outcomes versus the development sector's need to critically investigate and share both positive and negative findings amongst stakeholders;
    - differences between time-frames of investment/involvement in a development programme, such that the Private Sector tend to be focused on shorter time-frames that are not necessarily beneficial to the broader development context.
    - differences in decision-making processes, such that the Private Sector tends to be quicker in bringing projects to the field, whilst the development sector tends to require a longer term planning phase.
    - differences in core competencies and M&E capacity, such that the capability of Private Sector employees to conduct effective M&E of Social Marketing programmes needs to be enhanced prior to effective M&E frameworks being designed from within the Private Sector.

The implication, when identifying criteria with which to determine suitability of a behaviour change M&E framework, is that *suitability* (as a term in and of itself) needs to be critically examined and considered relative to the behavioural and/or developmental context in which the programme is taking place.

6.2.2. Research Question 2

Research Question 2:

Which M&E framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

An exploratory qualitative study into one of the frameworks identified in the literature review (the PSI PERForM framework) served as a platform on which to open up a discussion on what is a suitable framework for evaluation of Social Marketing interventions in a market development context – and identified criteria for determining suitability.

The research then examined the structure of relationships between the PSI PERForM framework and the suitability criteria identified through Research Question 1. By combining both the objective suitability criteria identified in the literature review and the subjective criteria elicited from the In-Depth Interviews, a suitability matrix was developed and used to conduct an inductive evaluation of the PSI PERForM framework.

Based on the view-points of a sample of stakeholders, drawn from a variety of professional backgrounds, it was shown that – notwithstanding a range of positive criteria - the PSI PERFoRM framework has practical limitations that need to be considered in deciding whether to use the framework more widely in the evaluation of Social Marketing interventions, particularly as a market development approach for the Private Sector.

The key finding in relation to Research Question 2 is that respondents called into question various aspects of the PSI PERForM framework which would preclude a recommendation for the framework to be considered as entirely suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

Results indicated that there are several challenges and limitations to using the PSI PERForM framework as a generic evaluation framework when trying to determine the impact of Private Sector Social Marketing programmes.

Respondents called into question the extent to which the PSI PERForM framework is suitable to determine the effectiveness of Social Marketing interventions as a market development approach for the Private Sector.

The implication is that alternate M&E frameworks other than the PSI PERForM framework need to be investigated for suitability on the criteria identified by respondents above.

Several guidelines were identified that would point future researchers in a direction on what respondents considered suitable aspects of the PSI PERForM framework that could be replicated in an alternate model, and on what respondents considered unsuitable aspects of the PSI PERForM framework that should be avoided when designing an alternate M&E model.

6.2.3. Research Question 3

Research Question 3:

Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?

In determining to what extent the findings on Social Marketing evaluation indicators obtained from this study can be used in the evaluation of other Social Marketing programmes by the Private Sector, the following finding applies:

There was an emergent criticism by respondents of the design of questions 4 and 5 in the discussion guide: it is neither appropriate nor practical to try to attempt to identify a generic set of indicators with which to evaluate Social Marketing programmes.

The selection of indicators is dependent on the type of M&E framework adopted. The key finding on Research Question 3 is that too much focus was given to identifying indicators in this research. Several respondents suggested that it would be more applicable to further investigate the suitability of the underlying framework first.

The reason for this is that, given the inherent uniqueness of a behaviour and of its causes, it is necessary to customise indicators around a specific behavioural and societal context.

The majority of respondents felt that it is not feasible to attempt to identify a universal set of indicators that are suitable for inclusion in a Social Marketing M&E framework. The implication in terms of the research problem guiding this study is that - in order to determine whether Social Marketing is an effective market development approach for the Private Sector - there are constraints that first need to be overcome. These constraints relate to limited potential of a generic M&E tool across behaviour change interventions.

In order to resolve the limitations, there is opportunity for the Private Sector to focus its M&E resources on comparative evaluation at the Impact and/or Outcome level of a log-frame, which tend to measure shifts in macro-level poverty alleviation goals - such as the Millenium Development Goals (MGDs) – and can be commonly defined across different types of development interventions.

The suggestion is for the Private Sector to investigate Impact assessment frameworks such as the Impact Value Chain (Clark et al. 2004) or the Base of the Pyramid Impact Assessment Framework (London 2008) and to consider how these might be adapted to a Social Marketing context.

A series of general guidelines were identified that could be used by future studies in selecting suitable indicators with which to populate a Social Marketing M&E framework designed for the Private Sector. The guidelines, presented in Chapter 4 and discussed in Chapter 5, would be of use in avoiding common mistakes in indicator selection and use identified by respondents in this study.

The key recommendation is that, when developing an M&E framework for a Social Marketing project as a market development initiative, there is a need to better understand the linkages between a project and the BoP community (Tuppen and Zadek in Slater 2004) and specifically the multiplier effects of a project (London 2009).

In order to begin to identify multiplier effects, a learning-centred approach is required (London 2008b) in which both quantitative and qualitative data is captured and analysed.

To do so, respondents in this research suggested it is prudent to start with a smaller, more defined target market, from which it is easier to elicit rich descriptive findings and to then build a comprehensive understanding of the market dynamics.

Given the limited findings in this research on indicators that address the linkage between Social Marketing interventions as a potential market development approach for the Private Sector, there remain questions about what to measure in determining the effectiveness of Social Marketing interventions as a market development approach.

The interpretation is that Social Marketing as a market development approach appears to be in its early days of development, with neither Private Sector nor Development Sector stakeholders fully understanding each other's fields of operation to the extent that a clear M&E framework with supporting indicators has been developed.

There appears to be a need for wider collaboration between the various parties in order to further conceptualise the linkages between Social Marketing activities as a human development endeavour and Social Marketing activities as a market development endeavour.

Whilst Buse and Walt (2005), London et al. (2005) and Brugmann and Prahalad (2007) have observed increasing collaboration between the Private Sector and Development Sector organisations, this research indicates that the Private Sector is still some way off fully conceptualising and measuring the effectiveness of these collaborations.

There is scope for further multi-sectoral collaboration, as a platform on which to understand which M&E frameworks – and thus which indicators – are required to determine the relative effectiveness of Social Marketing interventions as a market development mechanism for the Private Sector.

6.3. Summary of Conclusions

Through findings on Research Questions 1 and 2, this research's major contribution was in identifying a range of criteria by which to determine whether an M&E framework suitably takes into account the conceptual linkages required to determine whether Social Marketing interventions are an effective market development approach for the Private Sector. These criteria were compiled in the form of a suitability matrix that is presented in Appendix G.

The research then went further, by trying to specifically identify which M&E framework could be used in subsequent M&E of Social Marketing interventions as a market development approach for the Private Sector. Through an evaluation of the PSI PERForM framework on the above suitability matrix, it was found that that framework is limited in its suitability.

There remain questions about the types of indicators required to conduct M&E of Social Marketing interventions as a market development approach for the Private Sector. Findings on Research Question 3 indicate that it is neither feasible, nor good practice, to try to develop a generic set of indicators for use across multiple types of behaviour change interventions.

The finding was that there is a need to contextualise the selection of indicators in the underlying M&E framework, and in turn, to customise the design of the M&E framework around the specific behaviour required and target audience involved.

The implication of this finding in the context of the research problem guiding this study, is that there is a need to first identify a M&E framework that suitably captures both Private Sector market development and Development Sector human development objectives. Thereafter, it would be feasible to begin to identify potential indicators with which to populate that framework.

As its final contribution, this study used the PSI PERForM framework as a platform for identifying and discussing potential evaluation indicators - and identified several screening criteria to aid future researchers in determining the suitability of potential indicators.

6.3.1. Final Remarks

The implication of findings in this research is that in order for the Private Sector to compare the effectiveness of Social Marketing as a development mechanism relative to other development approaches, further research into Social Marketing M&E frameworks is first required.

From the findings in this research it can be interpreted that it becomes ever more difficult to compare the effectiveness of Social Marketing programmes relative to each other and relative to other types of development interventions – particularly given constraints in being able to compare like-for-like frameworks and indicators across different projects.

The implication - in terms of the research problem guiding the study - is that in order to determine whether Social Marketing is an effective development approach for the Private Sector, there are constraints involved in conducting comparative evaluations of different types of Social Marketing projects that need to be overcome.

The constraints relate to inherent limitations around the use of a generic M&E tool in a behavioural context. In order to resolve these constraints, the findings in this research point to a need for the Private Sector to focus attention on comparative evaluation at the Impact and/or Outcome level of a log-frame, which a respondent in this research termed the "*the hole*" in current M&E practice.

Two Impact evaluation frameworks identified in the literature review were the Impact Value Chain (Clark et al. 2004) and the Base of the Pyramid Impact Assessment Framework (London 2008a). Albeit, that both of these frameworks do not explicitly cater to a Social Marketing context, these could serve as a starting point for further enquiry and adaptation.

This research contributed to the existing body of knowledge by showing that - whilst the academic literature has shown a convincing business case for Private Sector involvement in development (Nelson and Prescott 2003; Easterly 2006) and in the BoP (Prahalad 2005; Hammond et al. 2007) - companies appear to be some way off internalising the linkages between core business practice and the broader externalities of human development (Tuppen and Zadek in Slater 2004; London 2008a; London 2009) that are required in order to make their investments in development projects sustainable.

Similarly, whilst Buse and Walt (2005), London et al. (2005) and Brugmann and Prahalad (2007) have observed increasing collaboration between the Private Sector and Development Sector organisations, this research indicates that the Private Sector is still some way off fully conceptualising and measuring the effectiveness of these collaborations.

There appear to be practical paradoxes that are making this transition difficult. Of direct relevance to this research is that the Private Sector's desire for a *standardised* M&E framework that can be used to bench-mark and set control standards multi-nationally is not practical in a development context – particularly so in a social marketing context. Respondents from Academia, Non-Profit and Donor Agencies who took part in this study drew on their professional experiences to assert the need for a *customised* framework within behaviour change programmes.

6.4. Limitations of Study

The study made use of a cross-sectional design aiming to capture expert opinion and best practice in Social Marketing evaluation at a given point in time. A cross-sectional design is representative of knowledge at that point of time - as knowledge progresses there will be limitations in the extent to which findings can be generalized longitudinally.

This study did not consider the costs of introducing, implementing, monitoring and reporting social impact metrics within a company - which may be too onerous for small and medium

sized enterprises to adopt. The focus of this study is, therefore, likely to be of more practical use to large companies and MNCs.

There are many ways to approach reporting; not all types are suitable for all companies (Holme and Watts 2000). The need for social reporting is thus context-specific, being dependent on a company's strategic vision and whether there is a company culture that is supportive of engagement with stakeholders on sustainability issues (Holme and Watts 2000).

As such, any evaluation system developed for one company, may not be applicable within another. One should be wary in assuming the universality of findings from this study.

There were two (2) potential methodological limitations in the sample recruited for this research that could have negatively effected validity of findings:

- The first had to do with limitations in achieving a maximum variation sample;
- The second involved limitations in sample size.

On the former, an appropriate sample size depends on the completeness of data obtained (Rubin and Rubin 1995 in Ulin et al. 2005). The Interpretivist qualitative perspective that guided this research works off the assumption that reality is subjective and multiple as seen from different perspectives: the aim of the researcher under the Interpretivist paradigm is to explore the widest range of potential themes and to consider these with respect to different stakeholder perspectives (Ulin et al. 2005).

The intention of the researcher in this study was to source a wide variety of different perspectives on the issue of Social Marketing as a development mechanism for the Private Sector, in order to collect information that was representative of a range of individual experiences.

Participants were recruited along Curtis et al.'s (2007) definition of the types of stakeholders involved in a PPP using Social Marketing to achieve health behaviour change outcomes. This entailed interviewing participants from a variety of different sectors - Academia, Government, NGOs and Implementing Agencies, Private Sector and Donor/Multi-lateral

organisations – each of whom represented a stakeholder grouping with specific interests (Curtis et al. 2002).

Despite showing evidence of attempts at data triangulation (Appendix E) appropriate respondents were recruited for all stakeholder categories except Government. There were repeated and prolonged barriers to Government participation, discussed in Chapter 3 of this report. An important view-point was thus missing from this research, which future studies of a similar nature should seek to address.

Discussing the second methodological limitation, a total of nine (9) respondents were recruited, which could be challenged as too small for an exploratory qualitative study of this nature.

A discussion on internal validity in Chapter 3 of this report argued that the recruited sample was sufficient from both an internal and external validity perspective, for the following reasons:

- **Nature of population:**

Buse and Walt (2000), Mayoux (2005) and Curtis et al. (2007) submit that PPPs and collaborative health behaviour change partnerships are an emerging field. The emergent nature of the field of Social Marketing as a market development mechanism means that there is a limited local (South African) and global (international) population of potential subjects with either the requisite experience (critical case) and/or knowledge (key informant) from which to draw a substantial sample.

Indeed, to achieve a valid sample, the researcher had to look internationally in order to complement the local sample. A sample size of nine (9) is considered valid relative to the nature of the expert population available in the field of Social Marketing.

- **Sufficiently answered the research questions:**

In qualitative research the optimum sample size is determined by the degree to which incoming data adequately answers the research question (Marshal 1996).

In the context of this study, validity was considered with respect to the degree to which each of the three (3) Research Questions identified in the literature review was adequately answered.

This was an exploratory study designed to contribute descriptive knowledge on the use of frameworks and indicators for determining the effectiveness of Social Marketing interventions as a market development approach. As an exploratory study, the objective was to identify themes from participant responses which future studies of a more confirmatory nature could use as a basis for consideration in the selection of evaluation frameworks and indicators.

As a means of identifying a set of criteria for future studies to use in determining the appropriateness of Social Marketing frameworks, the sample size was sufficient: in being able to elicit a broad range of expert opinions and to identify a broad variety of themes/suitability criteria.

- **Convergence of opinion:**

The point at which little new information is obtained from additional interviews is the point where a researcher can be reasonably confident that the source of information has been saturated to the point of redundancy (Glaser and Strauss 1967 in Ulin et al. 2005).

Data collection in the study was closed at nine (9) subjects as this was the point at which existing themes had begun to be repeated by participants with similar professional backgrounds and emergence of new themes had begun to tail off.

The key assertion is that the limited number of respondents in this study was a direct result of the emerging nature of Social Marketing as a market development mechanism for the Private

Sector; consequently there are a limited number of experts available who can contribute appropriate knowledge or experience on the discussion.

Encouragingly, within the sample recruited for this study a spread was achieved across a variety of professional sectors relevant to exploring the concept of Social Marketing as a market development mechanism. The implication is that the findings presented in Chapter 4 were arguably valid in the context of exploratory and formative research which other studies of a more confirmatory nature can build upon.

Lastly, a qualitative researcher is obliged to be aware of and document his/her own role in the research process by applying reflexivity on biases and assumptions that might have influenced the collection and interpretation of information (Ulin et al. 2005).

As a form of self-reflection on the nature of responses in this research, it is possible that the researcher did not probe respondents hard enough during the in-depth interviews in order to elicit a wider set of criteria with which to determine suitability of a potential M&E framework and indicators to a market development context.

There was a motivation for not doing so (if that was indeed the case) driven by the following assumption: it was interpreted that, in those circumstances where respondents struggled to provide suggestions on suitability criteria, these respondents were struggling to marry the two disparate paradigms of Social Marketing as a human development initiative (on the one hand) and Social Marketing as a market development mechanism (on the other).

This view would likely be endorsed by Slater (2004) and London (2008b), each of whom submit that there are currently limited frameworks available that effectively conceptualise and measure the indirect and non-immediate linkages between Private Sector activities and poverty/quality of life within the BoP.

To effectively discuss both paradigms requires boundary straddling, which the researcher may not have managed effectively during the in-depth interviews; thus, allowing respondents

to provide answers that fit their individual professional backgrounds, but which may not necessarily have met the objectives of the research.

6.5. Recommendations for Future Research

The study focused on the identification of an M&E tool for the Private Sector to use in evaluation of Social Marketing interventions, but did not include an evaluation of whether such a tool is suitable for use within the Private Sector. This could be the basis for further research into this topic.

In order to determine the usefulness of the proposed tool for the Private Sector, a process of "Backward Research" is recommended (Andreason 1985).

Backward Research is a planning process that brings the users of research and the researcher together to pre-test a mock-up final report to determine whether it is useful for decision-making (Andreason 1985).

It is suggested that users of such research within the Private Sector would be:

1. Marketing Managers, Brand Managers and Market Researchers who are responsible for evaluating branded Social Marketing interventions aligned with a Brand Social Mission.
2. Similarly, Marketing Managers, Brand Managers and Market Researchers who are responsible for evaluating CRM campaigns
3. CSR managers with an interest in sustainability reporting.

Andreason (1985) suggests that Backward Research encourages dialogue and, in doing so, reduces the chance of producing a tool that is not found to be useful by the intended users. In addition, where the scope of the data collected is defined by the users, this eliminates the risk of collecting data that is never analysed nor used (Andreason 1985).

The second recommendation for further research is that there is scope to investigate alternate Social Marketing M&E frameworks (other than the PSI PERForM framework) on the suitability matrix developed in this research.

Such research would work towards developing and/or identifying an M&E framework that could be used by the Private Sector to determine whether Social Marketing is indeed an effective market development approach – or whether alternate approaches should be considered.

The third recommendation for future research is based on the findings of Chapman and Astatke (2003) who submit that there are gaps in the knowledge base about Social Marketing - specifically, that little is known about whether Social Marketing's effect on perceived benefits for the public is relatively higher or lower than that of other types of health/development interventions.

This knowledge gap has implications in measuring the cost-effectiveness of Social Marketing interventions relative to other possible types of development interventions (Chapman and Astatke 2003).

Future research could focus on measuring the comparative cost-effectiveness of Social Marketing interventions relative to other development interventions – as a basis for informing Private Sector investment in future Social Marketing interventions.

REFERENCES

Andreasen, A. R. (1985) Backward Market Research, *Harvard Business Review,* 63(May-June), pp. 176-182.

Andreason, A. R. (2002) Marketing Social Marketing in the Social Change Marketplace, *Journal of Public Policy and Marketing,* 21(1), pp. 3-13.

Arndt, C. and Lewis, J. D. (2000) The Macro Implications of HIV/AIDS in South Africa: A Preliminary Assessment, *International AIDS Economics Network (IAEN) Symposium on "The Economics of HIV/AIDS in Developing Countries"*, p. 24, Durban, South Africa.

Bagozzi, R. P. (1975) Social Exchange in Marketing, *Journal of the Academy of Marketing Science,* 3(4), pp. 314-327.

Benner, T., Reinicke, W. H. and Witte, J. M. (2004) Multi-sectoral Networks in Global Governance: Towards a Pluralistic System of Accountability, *Government and Opposition,* 39(2), pp. 191-210.

Binney, W., Hall, J. and Shaw, M. (2003) A Further Development in Social Marketing: Application of the MOA Framework and Behavioural Implications, *Marketing Theory,* 3(3), pp. 387-403.

Brugmann, J. and Prahalad, C. K. (2007) Co-creating Business's New Social Compact, *Harvard Business Review,* 85(2), pp. 80-90.

Bryman, A. and Burgess, R. E. (eds.) (1994) *Analysing Qualitative Data*, Routledge, London.

Buse, K. and Walt, G. (2000) *Global Public-Private Partnerships: Part 1 - a new development in health?*, World Health Organisation, Geneva.

Buzan, T. and Buzan, B. (2003) *The Mind Map Book,* BBC Worldwide Limited, London.

Cabanero-Verzosa, C. (2003) *Strategic Communication for Development Projects: A Toolkit for Task Team Leaders*, World Bank Group, Washington DC.

Chapman, S. (2003) *Project TRaC: Tracking Results Continuously*, Population Services International, Washington DC.

Chapman, S. (2004) 'Evaluating Social Marketing Interventions', In Thorogood, M. and Coombes, Y. (eds.), *Evaluating Health Promotion,* 2nd ed., Oxford University Press, Oxford, pp. 93-110.

Chapman, S. (2006, 3rd February 2006) *A New Way in HIV Prevention: Research Techniques Use Evidence for Making Decisions in India Campaign,* last accessed 25th July, 2008, from *<http://www.globalhealth.org/reports/text.php3?id=229>*.

Chapman, S. and Astatke, H. (2003) *Review of DFID Approach to Social Marketing. Annex 5: Effectiveness, Efficiency and Equity of Social Marketing*, DFID Health Systems Resource Centre, London.

Chapman, S. and Patel, D. (2004) *PSI Behavior Change Framework "Bubbles": Proposed Revision*, Population Services International, Washington DC.

Clark, C., Rosenzweig, W., Long, D. and Olsen, S. (2004) *Double Bottom Line Project Report: Assessing Social Impact in Double Bottom Line Ventures Method Catalog*, Columbia Business School Research Initiative on Social Entrepreneurship, New York.

Croyle, R. T. (2005) *Theory at a Glance: A Guide for Health Promotion Practice*, National Institute of Health, Bethesda.

Curtis, V., Garbrah-Aidoo, N. and Scott, B. (2007) Masters of Marketing: Bringing Private Sector Skills to Public Health Partnerships, *American Journal of Public Health,* 97(4), pp. 634-641.

Davies, J., Chan, C. and Vibha. (2005) *Final Evaluation Report: Social Marketing Strategies for Maternal and Child Health in the States of Uttaranchal and Jharkhand, India October 2002-May 2005*, No. HFP-A-00-02-000432-00, Population Services International, Washington DC.

Dawar, N. and Chattopadhyay, A. (2000) Rethinking Marketing Programs for Emerging Markets, William Davidson Institute, University of Michigan Business School, Ann Arbor, Michigan.

Duhigg, C. (2008) 'Warning: Habits May Be Good for You', *New York Times,* 13th July.

Dyllick, T. and Hockert, K. (2002) Beyond the Business Case for Corporate Sustainability, *Business Strategy and the Environment,* 11(2), pp. 130-141.

Easterly, W. (2006) Planners vs. Searchers in Foreign Aid, *Distinguished Speakers Program, Asian Development Bank*, Manila, Philippines.

Figueroa, M. E., Kincaid, D. L., Rani, M. and Lewis, G. (2002) Communication for Social Change: An Integrated Model for Measuring the Process and Its Outcomes, *The Communication for Social Change Working Paper Series*, The Rockefeller Foundation, New York.

Fishbein, M., Triandis, H. C., Kanfer, F. H., Becker, M., Middlestadt, S. E. and Eichler, A. (2000) 'Factors Influencing Behaviour and Behavior Change', In Baum, A. S., Revenson, T. A. and Singer, J. E. (eds.), *Handbook of Health Psychology*, Lawrence Erlbaum Associates, Mahwah, New Jersey, pp. 3-16.

Fox, T., Ward, H. and Howard, B. (2002) *Public Sector Roles in Strengthening Corporate Social Responsibility: A Baseline Study*, The World Bank, Washington DC.

Global Alliance for Improved Nutrition (2009, 17th July 2009), last accessed 17th February, 2009, from http://www.gainhealth.org/about-gain.

Gray-Felder, D. and Dean, J. (1999) *Communication for Social Change: A Position Paper and Conference Report*, Rockefeller Foundation, New York.

Green, L. W. and Kreuter, M. W. (1999) *Health Promotion Planning: An Educational and Ecological Approach*, McGraw-Hill, New York.

Hamann, R. (2006) Can business make decisive contributions to development? Towards a research agenda on corporate citizenship and beyond, *Development Southern Africa*, 23(2), pp. 15-195.

Hamel, G. and Prahalad, C. K. (1996) *Competing for the Future*, Harvard Business School Press, Boston.

Hammond, A., Kramer, W. J., Tran, J., Katz, R. and Walker, C. (2007) *The Next 4 Billion: Market Size and Business Strategy at the Base of the Pyramid*, The International Finance Corporation and World Resources Institute, Washington DC.

Hart, S. L. and Prahalad, C. K. (2002) 'The Fortune at the Bottom of the Pyramid', *Strategy + Business Magazine*, pp. 1-14.

Hart, S. L. and Sharma, S. (2004) Engaging Fringe Stakeholders for Competitive Imagination, *Academy of Management Executive*, February(1), pp. 7-18.

Holme, R. and Watts, P. (2000) *Corporate Social Responsibility: Making Good Business Sense*, World Business Council for Sustainable Development, Geneva.

Hosein, E. N. (2008) *Summer Institute on Integrated Marketing Communication for Behavioral Impact (IMC/COMBI) in Health and Social Development July 6-26 2008*, last accessed 16th February, 2008, from http://steinhardt.nyu.edu/scmsAdmin/uploads/001/103/IMC%20Application%202008.pdf.

Huberman, A. M. and Miles, M. B. (2002) *The Qualitative Researchers Companion*, Sage Publications, California.

ING-Barings (1999) *The Demographic Impact of AIDS on the South African Economy*, ING-Barings, Johannesburg.

Institute of Development Studies (2008), last accessed 3rd July, 2008, from www.eldis.org/healthsystems/mda/index.htm.

International Fund for Agricultural Development (2005) Report on Roundtable on Microfinance and Livelihoods *Roundtable on Microfinance and Livelihoods*, IFAD Field Presence Unit, Bhopal, India.

Jackson, B. (2000) *Designing Projects and Project Evaluations Using the Logical Framework Approach*, IUCN, Geneva.

Karnani, A. (2006) *Mirage at the Bottom of the Pyramid: How the Private Sector can help alleviate Poverty*, Stephen M. Ross School of Business, University of Michigan, Ann Arbor, Michigan.

Krippendorff, K. (2004) *Content Analysis: An Introduction to its Methodology*, Sage Publications, California.

Leedy, P. D. and Ormrod, J. E. (2005) *Practical Research: Planning And Design*, 8th ed., Prentice Hall, New Jersey.

Ligteringen, E. and Zadek, S. (2005) *Executive Briefing: The Future of Corporate Responsibility Codes, Standards and Frameworks*, Global Reporting Initiative and AccountAbility, Amsterdam.

Ligteringen, E. and Kell, G. (2006) *Making the Connection: The Global Reporting Initiative Guidelines and the United Nations Global Compact Communication and Progress*, Global Reporting Initiative and The United Nations Global Compact, Amsterdam.

London, T. (2008a) The Base of the Pyramid Impact Assessment Framework: Understanding and Enhancing Value Creation, *Working Paper Series*, William Davidson Institute, University of Michigan, Ann Arbor, Michigan.

London, T. (2008b) *Development Through Innovative Business Models: The Base of the Pyramid, Markets, and Value Creation for the Poor*, last accessed 21st June, 2009, from http://www.gtz.de/de/dokumente/en-konferenz-innovative-geschaeftsmodelle-base-of-the-pyramid-research-initiative-2008.pdf.

London, T. (2009) 'Making Better Investments at the Base of the Pyramid: A Framework for Impact Assessment', *Harvard Business Review*, p. 12.

London, T., Rondinelli, D. A. and O'Neill, H. (2005) 'Strange Bedfellows: Alliances between Corporations and Non-Profits', In Shenkar, O. and Reuer, J. (eds.), *Handbook Strategic Alliances*, Sage Publication, Thousand Oaks, California, pp. 353-366.

Marshall, M. N. (1996) Sampling for Qualitative Research, *Family Practice*, 13(6), pp. 522-525.

Mayoux, L. (2005) Marrying Jekyll with Hyde? Trans-national Enterprises, Pro-Poor Development and Sustainable Ethical Learning, *WISE Discussion Draft*, Women in Sustainable Enterprise Development, Swindon, UK.

McCue, S. and Jarvis, M. (2005) *Business Action for the MDGs: Private Sector Involvement as a Vital Factor in Achieving the Millenium Development Goals*, The World Bank Group, New York.

McKenzie-Mohr, D. and Smith, W. (1999) *Fostering Sustainable Behavior: An Introduction to Community-Based Social Marketing*, New Society, Gabriola Island, B.C.

Meekers, D. (1998) The Effectiveness of Targeted Social Marketing to Promote Adolescent Reproductive Health: The Case of Soweto, South Africa, *PSI Research Division Working Paper No. 16*, p. 35, Population Services International [PSI], Research Division, Washington DC.

Mukabana, R.W., M., Kannady, K., Kiama, G. M., Ijumba, J. N., Mathenge, E. M., Kiche, I., Nkwengulila, G., Mboera, L., Mtasiwa, D., Yamagata, Y., Van Schayk, I., Knols, B., Lindsay, S. W., Caldas de Castro, M., Mshinda, H., Tanner, M., Fillinger, U. and Killeen, G. F. (2006) Ecologists Can Enable Communities to Implement Malaria Vector Control in Africa, *Malaria Journal*, 5(9), p. 14.

Nelson, J. and Prescott, D. (2003) *Business and the Millenium Development Goals: A Framework for Action*, The International Business Leaders Forum, London.

New Economics Foundation (2004) *Measuring Social Impact: The Foundation of Social Return on Investment*, New Economics Foundation (NEF), London.

Nichols, C. (2006) *A Social Marketing Perspective: Exercise, Fitness, and Health*, last accessed 13th April, 2008, from <http://www.canadainmotion.ca/canada/common/pdfs/presentations/tuesday/chris_nichols_social_marketing_keynote.pdf>.

Novartis Foundation for Sustainable Development (14th July 2009), last accessed 13th February, 2009, from http://www.novartisfoundation.org/page/content/index.asp?Menu=3&MenuID=233&ID=520&Item=44.3.

O'Brien, P. D. (2008, 20th March 2008) *Speech by Philip D. O'Brien, Regional Director for the UNICEF Regional Office for Geneva: Address to commemorate the World Water Day, Geneva, Switzerland, 20 March 2008*, last accessed 12th June, 2008, from http://www.who.int/water_sanitation_health/hygiene/iys/obrien/en/index.html

O'Connor, M. K. and Netting, F. E. (2005) A Defense and Justification of Qualitative Research, *First International Congress of Qualitative Enquiry*, University of Illinois, Illinois.

Plescia, M. and Newton-Ward, M. (2007) Increasing the Public's Awareness: The Importance of Patient-Practitioner Communication, *NC Medical Journal*, 68(5), pp. 346-348.

Poundstone, K. E., Strathdee, S. A. and Celentano, D. D. (2004) The Social Epidemiology of Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome, *Epidemiologic Reviews*, 26(1), pp. 22-35.

Prahalad, C. K. (2005) *The Fortune at the Bottom of the Pyramid: Eradicating Poverty through Profit*, Wharton School Publishing, New Jersey.

Prahalad, C. K. and Hammond, A. (2002) Serving the World's Poor, Profitably, *Harvard Business Review*, 8(9), p. 10.

Price, N. (2001) The Performance of Social Marketing in Reaching the Poor and Vulnerable in AIDS Control Programmes, *Health Policy and Planning*, 16(3), pp. 231-239.

PSI Research Division (2006) *TRaC-M: Sex Workers in Dominica and Grenada; Men Who Have Sex With Men in St Lucia, St Vincent & the Grenadines and Trinidad & Tobago,* Population Services International (PSI), Washington DC.

Reidar, D. (2003) The Logical Framework: An easy escape, a straight-jacket, or a useful planning tool?, *Development in Practice,* 13(1), pp. 57-70.

Rogers, E. M. (2003) *Diffusion of Innovations*, Free Press, New York.

Rothschild, M. L. (1999) Carrots, Sticks and Promises: A Conceptual Framework for the Management of Public Health and Social Issue Behaviours, *Journal of Marketing,* 63(4), pp. 24-37.

Samans, R. (2005) *Partnering for Success: Business Perspectives on Multistakeholder Partnerships*, World Economic Forum, Geneva.

Scott, B., Curtis, V., Rabie, T. and Garbah-Aidoo, N. (2007) Health in our hands, but not in our hearts: understanding hygiene motivations in Ghana, *Health Policy and Planning,* 22(4), pp. 225-233.

Seale, C. (1999) *The Quality of Qualitative Research,* Sage Publications, London.

Sen, A. (1979) Personal Utilities and Public Judgements: or What's Wrong With Welfare Economics, *Economic Journal,* 89(September), pp. 537-558.

Sen, A. (1992) *Inequality Reexamined*, Clarendon Press, Oxford.

Slater, A. (2004) Global Reporting Initiative's Economic Performance Indicators: Measuring Impacts One Stakeholder at a Time, *AccountAbility Forum,* Spring(1), pp. 23-30.

Social Marketing Institute (2000, 17th March 2000), last accessed 3rd July, 2008, from http://www.social-marketing.org/sm.html.

South African Monitoring and Evaluation Association (2008), last accessed 2nd August, 2008, from www.samea.org.za.

Strand, J. and Rosenbaum, J. (1999) Focusing on the Behavior in Behavior Change, *9th Social Marketing in Public Health Conference*, Clearwater Beach, Florida.

Sullivan, T. M., Strachan, M. and Timmons, B. K. (2007) *Guide to Monitoring and Evaluating Health Information Products and Services*, Johns Hopkins Bloomberg School of Public Health, Baltimore, Maryland.

Terreblanche, M. T. and Durrheim, K. (1999) *Research in Practice: Applied Methods for the Social Sciences*, University of Cape Town Press, Cape Town.

The Global Public-Private Partnership for Handwashing with Soap (2007, July 2009), last accessed 16th November, 2007, from http://www.globalhandwashing.org/aboutus.htm

The Turning Point Initiative (2002) *Social Marketing Resource Guide*, New York State Department of Health, Albany, New York.

The World Bank Group (1996) *Performance Monitoring Indicators: A Handbook for Task Managers*, Operations Policy Department, The World Bank Group, Washington DC.

The World Bank (2006) *World Development Indicators 2006 online*, last accessed 12th November, 2008, from http://publications.worldbank.org/ecommerce/catalog/product?item_id=631625.

Thorogood, M. and Coombes, Y. (2000) *Evaluating Health Promotion: Practice and Methods*, Oxford University Press, Oxford.

Toffolon-Weiss, M. M., Bertrand, J. T. and Terrell, S. S. (1999) The Results Framework - An Innovative Tool for Program Planning and Evaluation, *Evaluation Review,* 23(3), pp. 336-359.

Ulin, P. R., Robinson, E. T. and Tolley, E. E. (2005) *Qualitative Methods in Public Health: A Field Guide for Applied Research*, Jossey-Bass, San Francisco, California.

Victora, C. G., Wagstaff, A., Armstrong Schellenberg, J., Gwatkin, D., Claeson, M. and Habicht, J. (2003) Applying an Equity Lens to Child Health and Mortality: More of the Same is Not Enough, *The Lancet,* 362(9379), pp. 233 - 241.

Wagstaff, A. (2002) Poverty and Health Sector Inequalities, *Bulletin of the World Health Organization*, 80(2), pp. 97-105.

Walker, D. (2003) Cost and cost-effectiveness of HIV/AIDS prevention strategies in developing countries: is there an evidence base?, *Health Policy and Plann**in**g,* 18(1), pp. 4-17.

Weiser, J., Burns, M., Polycarpe, M., Boguslaw, J. and Rochlin, S. (2005) *Part of the Solution: Leveraging Business and Markets for Low Income People*, The Ford Foundation, New York.

Weiss, C. H. (1998) *Evaluation: Methods for Studying Programs and Policies,* 2nd ed., Prentice Hall, New Jersey.

Wilhelm-Rechmann, A., Cowling, R. and Lefebvre, C. R. (2008) Furthering Implementation of Systematic Conservation Plans in the Eastern Cape, South Africa: Social Marketing, Behaviour Change and Land Use Planning, *Annual meeting of the International Congress for Conservation Biology*, International Congress for Conservation Biology, Convention Center, Chattanooga, TN.

Zaltman, G., Kotler, P. and Kaufman, I. (1972) *Creating Social Change*, Holt, Rinehart and Winston Inc., New York.

APPENDIX A

Example of a Development Log-frame Narrative

Note: objectionably verifiable measurements and assumptions are excluded from this table, as both measurements and assumptions would be populated once a specific project narrative had been determined.

A template log-frame narrative (Jackson 2000)	A World Bank Project Narrative (Adapted from World Bank Group 1996)
Overall Objectives	The development objective, which defines the project's success.
Project Purpose	Describes the project's real outcome—the intended impact that the project's outputs will have on the Beneficiary/institution/system in terms of changed behaviour or improved performance.
Results	Project Outputs - defined as what the project can be held directly accountable for producing. • The project's deliverables • The goods/services it will produce.
Activities	Components – defined as clusters of inputs and activities that define how the products/services will be delivered: • Inputs • Activities

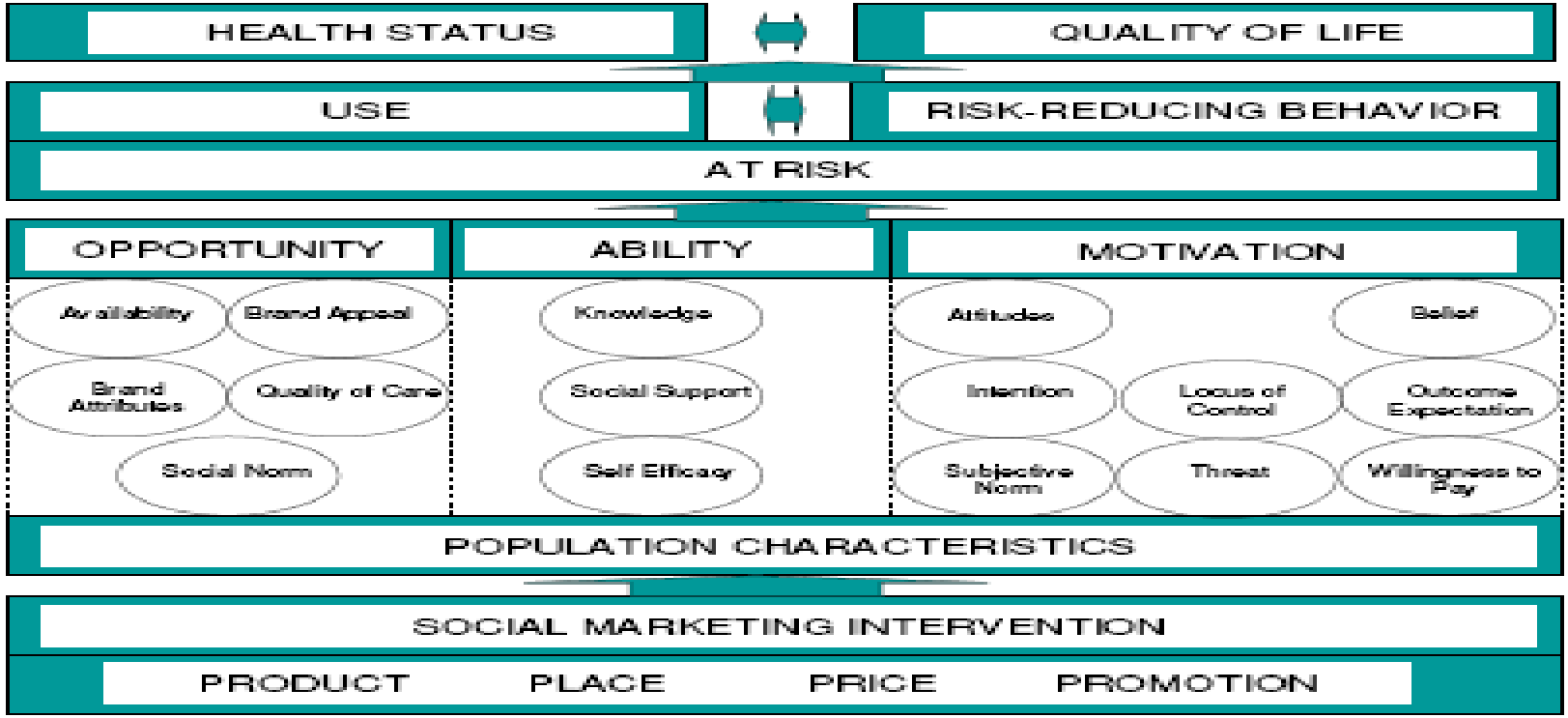
APPENDIX B

Summary of Social Marketing Log-Frame Narratives Identified in Literature Review

A generic log-frame (Jackson 2000)	The AED BEHAVE framework (Adapted from Nichols 2006)	The Community-Based Social Marketing framework (Adapted from Mckenzie-Mohr and Smith 1999)	The PSI PERForM frame-work (Adapted from Chapman and Patel 2004)	The Precede-Proceed framework (Adapted from Green and Kreuter in Croyle 2005)
Overall Objectives	What macro objective? • Health; Quality of life	• Environmental Sustainability; Health	• Health Status; Quality of Life	What Outcome? • Quality of Life
Project Purpose	What Specific Observable Action is required by the primary target audience?	• What behaviours should be promoted?	• Need • Product Use; • Risk-Reducing Behaviour;	Impact • Health Behaviour; Lifestyle; Environment
Results	What determinants impact on the target audience's action? Categorised as: • Barriers (inhibitors) keeping an audience from acting • Benefits (motivators) that would persuade an audience to act Entails identifying the target audience	• Who should the programme target? • What conditions will an individual face in deciding to adopt a new behaviour? Categorised as: • Internal factors • External factors	What determinants impact on the target audience's behaviour? Categorised as: • Population Characteristics • Opportunity; Ability; Motivation Classified as: • Behavioural Determinants	Process • Predisposing factors • Reinforcing factors • Enabling factors
Activities	What activities are targeted at the behavioural determinants? Activities aim to: • Maximise Benefits of behaviour change and Minimise Barriers to behaviour change Activities fall within the 4Ps of the marketing mix: • Product; Place; Price; Promotion	Tools of Change: • Commitment • Prompts • Incentives • Feedback • Norms • Fear • Social Diffusion	The 4Ps of the marketing mix: • Product; • Place; • Price; • Promotion	Implementation • Health Promotion

APPENDIX C

Visual Depiction of a Log-Frame Narrative for the PSI PERForM Framework



PSI PERFORM FRAMEWORK (CHAPMAN AND PATEL 2004: 5)

APPENDIX D

Consistency Matrix for Study

Research Problem: To determine whether Social Marketing is an effective market development approach for the Private Sector					
Sub-problems	**Source of Theory**	**Research Questions**	**Source of Data**	**Type of Data**	**Analysis**
What frameworks are available to evaluate the effectiveness of a Social Marketing intervention?	Green and Kreuter (1999) Rothschild (1999) Jackson (2000) Price (2001) Chapman (2003) Reidar (2003) Chapman and Patel (2004) Clark et al. (2004) Nichols (2006) London (2008a)	Research Question 1: What are the criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention as a market development approach for the Private Sector? Research Question 2: Which M&E framework is suitable to determine the effectiveness of Social Marketing	Exploratory qualitative in-depth interviews conducted under the interpretivist paradigm	Nomothetic to the extent enabled by a qualitative paradigm; Nominal (unordered) and subjective.	(1) Code sorting according to both observed and theoretical categories of suitability criteria (2) Interaction analysis of themes using Mind-Maps

		interventions as a market development approach for the Private Sector?			
What indicators are needed to evaluate the effectiveness of a Social Marketing intervention?	Green and Kreuter (1999) Thorogood and Coombes (2000) Fishbein et al. (2000) Price (2001) Cabanero-Verzosa (2003) Chapman (2003) Rogers (2003) Chapman and Patel (2004) Croyle (2005) Davies et al. (2005) Curtis et al. (2007) London (2008a, 2008b, 2009)	Research Question 3: Which indicators are suitable to evaluate the effectiveness of Social Marketing interventions as a market development approach for the Private Sector?	Exploratory qualitative in-depth interviews conducted under the interpretivist paradigm	Nomothetic to the extent enabled by a qualitative paradigm; Nominal (unordered) and Categorical (categorised according to the PSI PERForM log-frame format)	(1) Code sorting according to both observed and theoretical categories of suitability criteria (2) Interaction analysis of themes using Mind-Maps

APPENDIX E

Triangulation of Interview Participants for External Validity

Sample Definition:	Sampling Categories:	Sources of Subjects Triangulated for External Validity:	# of Interviews:
Representative Sample of Social Marketing Experts, designed along the criteria submitted by Curtis, Garbrah-Aidoo and Scott (2007)	Academic/Monitoring & Evaluation Expertise	South African Monitoring and Evaluation Association/Feedback Research and Analytics (South Africa)	1
	Private Sector	Unilever "In Safe Hands" programme – part of the Global Public Partnership for Handwashing with Soap (Tanzania; Ghana)	1
		Southern Hemisphere Development Consultants (South Africa)	1
		Unilever South Africa (South Africa)	1
	Multi-lateral and Donor Organisations	The World Bank (South Africa)	1
		Project Champion – A Unilever/Unicef Partnership for Health (International)	1
	Non-Governmental Organisations (NGOs)	Mindset Network (South Africa)	1
		Khulisa Management Services (South Africa)	1
		LoveLife Trust (South Africa)	1
	Government	Pre-Identified Participants and Potential Participants Identified Via a Snow-Balling Sampling Technique either did not Reply to Invitations, Refused or were Unable to Participate	0
TOTAL NUMBER OF PARTICIPANTS			**9**

APPENDIX F

The Research Instrument - In-Depth Interview Questionnaire

Section 1:

Discussion Guide Questions Corresponding to Research Question 1

1. Reflecting on your own professional experience can you please tell me what you perceive to be the key criteria for determining the suitability of an M&E framework when evaluating the effectiveness of a Social Marketing intervention?
2. What additional considerations do you feel need to be taken into account when selecting an M&E framework with which to determine the effectiveness of Private Sector interventions as a development actor?

Section 2:

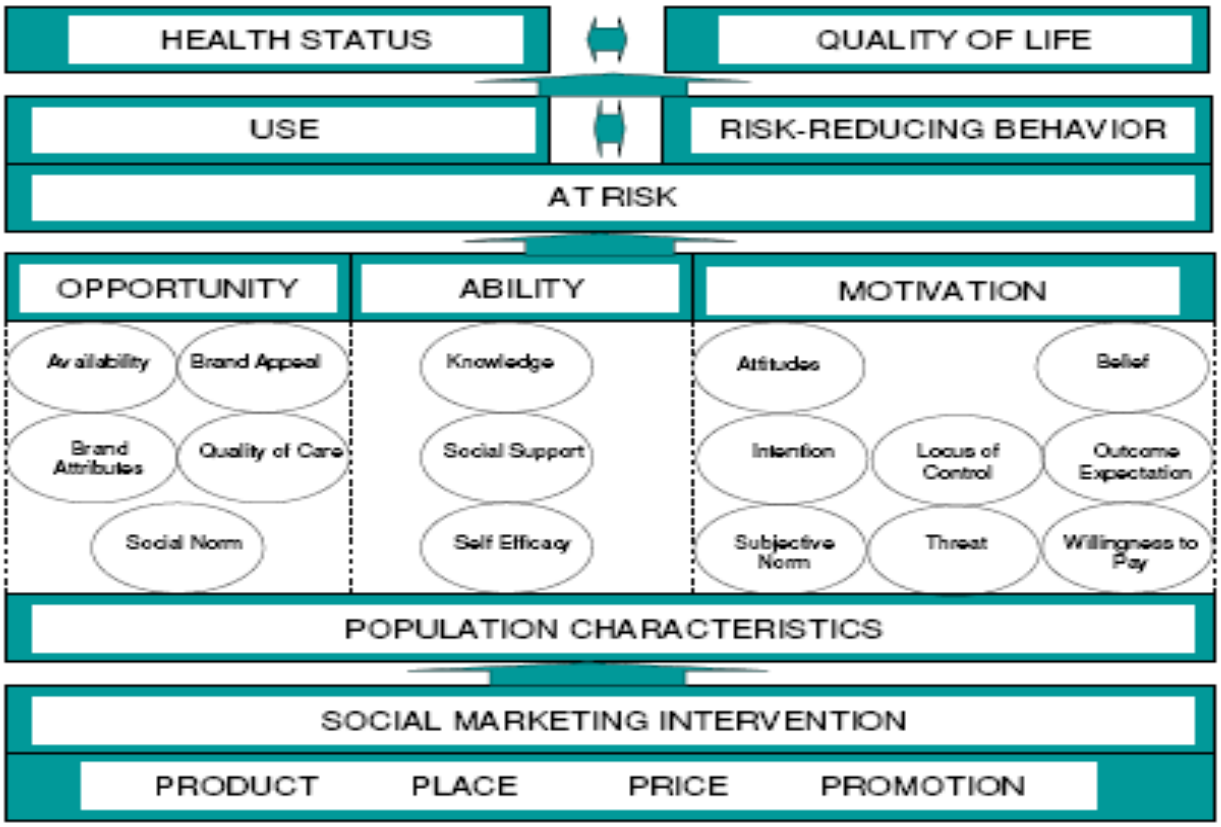
Discussion Guide Questions Corresponding to Research Question 2

Clarify the Framework Used to Structure the Interview:

Prior to asking Discussion Guide Question 3 the researcher clarifies each respondents familiarity with the logical framework (log-frame) approach to monitoring and evaluation, and discusses the log-frame approach where necessary until the respondent confirms understanding of the approach.

Thereafter the PSI PERFoRM framework is introduced and discussed, with the researcher clarifying each respondent's understanding of the framework (a diagram of the framework and explanatory text was emailed to each respondent prior to the interview).

Log-frame Discussed in Interview (The PSI PERForM framework):



3. In your own opinion to what extent do your perceive the PSI PERForM framework as a suitable means of evaluating the effectiveness of Social Marketing interventions?
    a. Researcher to probe the pro's and cons of the PSI PERForM framework.

Section 3:

Discussion Guide Questions Corresponding to Research Question 3

4. In your opinion, what are potential indicators for monitoring and evaluating Social Marketing programs using the PSI PERForM log-frame?
    a. Researcher to probe at an outcome, impact, output & activity level on the log-frame
5. Reflecting on your own experiences, what other types of indicators do you feel are suitable for the evaluation of Social Marketing interventions?

APPENDIX G

Summary of Criteria to Consider When Determining Suitability of a Social Marketing M&E Framework

The Evaluation Matrix below was developed as a research output in relation to Research Question 1.

Suitability Criteria:	Source of Criteria
Suitability Criteria Identified in the Academic Literature:	
Flexibility to use an integrated mix of Social Marketing strategies (education, marketing and law) in varying degrees according to context	Rothschild (1999)
Classifies target audiences according to their level of OAM – to determine what type of Social Marketing strategy (Education/Marketing/Law) an intervention should employ.	Rothschild (1999); Andreason (2002); Davies et al. (2005)
Can differentiate actual outputs of a programme from intended outcomes – and determine how the outputs correlate to outcomes	Clark et al. (2004).
Can determine Impact of a programme - as that portion of the total outcome of a project which occurs as a result of a specific activity - above and beyond what would have happened if the activity had not taken place.	Weiss (1998) and Clark, et al. (2004)
Captures both the demand and supply-side factors of a Social Marketing programme: by attempting to measure both the Impact of a programme (strategic concerns) and the Effectiveness of a programme (operational concerns)	Toffolon-Weiss et al. (1999); Price (2001); Ligteringen and Zadek (2005); Croyle (2005)
Provides users with flexibility, in being able to add/remove attributes according to the specific behavioural problem under evaluation.	Chapman and Patel (2004)
Describes the multiplier effects of a BoP venture, by showing the venture's impact on the economics, capabilities, and relationships of a target audience.	Adapted from London (2009)

Additional Suitability Criteria Identified through Responses to Questions 1 of Discussion Guide:	
Caters to multiple types of Activities (not only Behaviour Change Communication)	Rothschild (1999); Figueroa et al. (2002); Davies et al. (2005) Nichols (2006)
If the programme requires a change in health behaviour, the framework contains a socio-epidemiological analysis of social determinants impacting upon required health behaviour	Poundstone et al. (2004)
Had the flexibility to target an intervention at Micro, Macro, Meso Levels within society	In-Depth Interviews: Respondents from Non-Profit, Private Sector, Donor Agency, Academia
Focuses on behaviours within the "*locus of control*" of the individual.	In-Depth Interviews: Respondent from Donor Agency background
Has the flexibility to cater to different psychographic and socio-epidemiological profiles of different target audiences	Chapman and Patel (2004)
Measure correlations between activities, behavioural outputs and health outcomes respectively at the individual level within society	Chapman and Patel (2004)
Measurement should be at only one pre-specified level within society (individual, household, community or national) at any one time	In-Depth Interviews: Respondents from Donor Agency and Private Sector
Integrates a relevant theory of behaviour change specific to the required risk-reducing behaviour	In-Depth Interviews: Respondents from Donor Agency; Academia; Non-Profit and Private Sector
Integrates the objectives of a specific programme with Opportunity, Ability and Motivation (OAM) Social Marketing theory to determine relevant activities – and to measure the correlations between activities and observed target audience behaviour	Rothschild (1999); Chapman and Patel (2004).
Suitability Criteria for a Private Sector Organisation Conducting M&E on Development Projects (Question 2 of Discussion Guide):	
A "*top-line benchmarking tool*" that can show behavioural	In-Depth Interviews: Respondents

differences before versus after an intervention, rather than "a detailed" diagnostic explanation	from Private Sector
Incorporates measures that encourage managers to capture and share learning with other development organisations	In-Depth Interviews: Respondents from Non-Profit; Private Sector backgrounds
Conceptualises the linkages between a company's core profit motivation with the company's impact on the broader externalities of human development.	Tuppen and Zadek in Slater (2004)
Caters for "*Impact Sustainability*" – by defining what role a company will play within the development spectrum relative to other organizations and showing how the company's absence/presence affects the sustainability of the development programme as a whole.	In-Depth Interviews: mentioned by respondents from Private Sector; Academic; Non-Profit backgrounds

APPENDIX H

Inductive Evaluation on the Suitability of the PSI PERForM Framework Based on Criteria Identified in this Research

Suitability Criteria:	Supporting Motivation for Evaluation of PSI PERForM Framework
Flexibility to use an integrated mix of Social Marketing strategies (Education, Marketing and Law) in varying degrees according to context	Chapman and Patel (2004), who provide most of the literature on the PSI PERForM framework, make mention of the respective social marketing strategies of Law, Education and Marketing, but several respondents from Non-Profit and Academic backgrounds felt that the framework appears to be more geared towards Marketing and Education as a strategy, because of the emphasis on Product, Price, Place and Promotion as an enabler of the Social Marketing strategy.
Classifies target audiences according to their level of OAM – to determine what type of social marketing strategy (Education, Marketing, Law) an intervention should employ.	Referring to the academic literature not all factors influence all population groups in the same way (Rothschild 1999). The suggestion is that the PSI PERForM framework successfully uses target audience characteristics to inform the selection of a relevant strategy. This is achieved by measuring "*use*" and "*risk-reducing behaviour*" relative to an "*at risk*" population in the 2nd level of the framework and by categorizing OAM behavioural determinants relative to "*population characteristics*" in the 3rd level of the framework. One respondent referred to the PSI PERForM framework being reasonably consistent with "*Realist Evaluation*" principles (Respondent from Development Consultancy Background) in terms of defining the context in which the behaviour takes place by means of target audience segmentation.
Can differentiate actual outputs of a programme from intended outcomes – and determine how the outputs correlate to outcomes	Respondents raised concerns about the feasibility of conducting M&E on Social Marketing interventions at the Outcome level (1st level at the top of the PSI PERForM framework). Behaviour change programmes in general "*struggle to show success*" (Respondent from Academic background), because it is "*difficult to measure and define project attribution at the outcome level*" (Respondent from NGO background) of a log-frame. Where the PSI PERForM framework tries to track "*the broader implications of*

	health changes on society" (Respondent from Development Consultancy background) at the Outcome level, several respondents questioned whether it is feasible and/or practical to link a Social Marketing intervention to wider societal change along the lines suggested by the PSI PERForM framework.
Can determine Impact of a programme - as that portion of the total outcome of a project which occurs as a result of a specific activity - above and beyond what would have happened if the activity had not taken place.	There was consensus amongst respondents that measuring "Use" (of either a product or service) tends to be relatively easier to measure than changes in "Risk-Reducing" behaviour. At the Impact (2nd from top) level of the PSI PERForM framework, the interpretation is that the framework would appear to be limited in the extent to which Impact can be measured: Impact can be measured in the framework using a "number of units dispensed" perspective, but not necessarily in terms of actual "observed behaviour". Several respondents felt that "Use" needs to be considered "relative to the extent to which use led to a change in risk-reducing behaviour" – and that one should take caution against assuming that "up-take" of a product/service infers "*correct usage*" and/or "required" behaviour.
Captures both the demand and supply-side factors of a social marketing programme: by attempting to measure both the Impact of a programme (strategic concerns) and the Effectiveness of a programme (operational concerns)	The literature finds a suitable framework enables the broadest spectrum of evaluation possible spanning the life of the project (Formative; Process; Impact & Outcome evaluation) (Croyle 2005). Whilst respondents referred only to aspects of the evaluation spectrum in regard to the PSI PERForM framework – and little mention was made of whether the PSI PERForM framework caters to the full spectrum - Price (2001) argues that both demand and supply-sides are measured in the PSI PERForM framework. The interpretation is that there is limited grounds from the In-Depth Interviews on which to make an evaluation of the PSI PERForM framework on this particular suitability criteria.
Provides users with flexibility, in being able to add/remove attributes according to the specific behavioural problem under evaluation.	In the In-Depth interviews respondents from Private Sector & Non-Profit backgrounds questioned whether the PSI PERForM framework is applicable "*to other types of behaviours*" beyond health. Where Fishbein et al. (2000) submit that different types of behaviours require different types of behaviour change theory, there is a likelihood of changing behavioural determinants according to behaviour. The interpretation is that, relative to the suggestion of these respondents, the PSI PERForM framework

	has questionable flexibility in being able to add attributes according to the specific behavioural problem under evaluation.
Describes the multiplier effects of a BoP venture, by showing the venture's impact on the economics, capabilities, and relationships of a target audience.	By investigating changes in Motivation, Ability and Opportunity to behave (OAM), the PSI PERForM framework provides both a base-line understanding of the factors hindering/enhancing likelihood to change behaviour, and a descriptive understanding of how these factors changed over time with an intervention. The model thus reflects on the wider environmental and social inputs that influence behaviour change, but does not assess the wider environmental and social outputs and impacts of change.
Caters to multiple types of Activities (not only Behaviour Change Communication)	Within the Activity level of the log-frame (4th level from top in the PSI PERForM framework), there was consensus that the framework makes room for programme managers to consider a rounded set of activities beyond communication: Product, Price, Place and Promotion, but there was mention made of a need to consider "*Structural*" types of interventions in addition to the 4P's of the marketing mix.
The framework contains a socio-epidemiological analysis of social determinants impacting upon required health behaviour	Rothschild (1999) submits that the Opportunity, Ability, Motivation (OAM) model provides a methodology with which to capture all types of determinants impacting upon an individual's behaviour – be these internal or external to the individual. The inclusion of the OAM methodology into the PSI PERForM framework would infer that the framework aims to consider all determinants at all levels in society impacting upon behaviour. Perhaps in criticism, respondents from a Non-Profit and Academic background felt that the PSI PERForM framework appeared to be predominantly focused on psycho-social criteria and that there was room to consider broader societal determinants on an individual's health behaviour.
Had the flexibility to target an intervention at Micro, Macro, Meso Levels within society	With respect to a previous discussion on "*locus of control*", the suggestion was to identify indicators for at each level within society as per follows: • Micro level: consider indicators that measure factors within the locus of control of the individual or psychological factors such as "*self esteem*", "*self-efficacy*" and "*knowledge*".

	• Meso level: consider measuring against indicators that capture "*community norms*" and "*social support*" . • Macro level: consider indicators that measure changes within national laws or within government.
Focuses on behaviours within the "*locus of control*" of the individual.	There was a tendency by all respondents to infer that the PSI PERForM framework was designed around targeting a required behaviour at an individual and/or household level, owing to the measuring of "*use*" of a product/service and "*risk-reducing behaviour*". within the 2nd level of the framework.
Has the flexibility to cater to different psychographic and socio-epidemiological profiles of different target audiences	At the Output level (3rd from top in the PSI PERForM framework), all respondents felt that there was good consideration given to defining target audiences and measuring the performance of an activity relative to "*Population Characteristics*" – which would enable subsequent cross-population analysis.
Measure correlations between activities, behavioural outputs and health outcomes respectively at the individual level within society	Although, respondents from Non-Profit and Private Sector backgrounds felt that in order to truly determine the impact of a behaviour change project there may be a need to measure consequent change at the "*social and community level*", the majority of respondents felt that measurement should be on the "smallest common denominator" at the individual level.
Measurement should be at only one pre-specified level within society (individual, household, community or national) at any one time	Where it has already been argued that the PSI PERForM framework appears to rely on product/service "use" as a means of enabling a "*risk reducing behaviour*", the suggestion is that the framework is targeted primarily at measuring changes at the Individual and/or Household level within society. The suggestion is that the PSI PERForM framework is limited to measuring at the Individual and/or Household levels – and that M&E using this framework would not have the scope to take on simultaneous measurement at the Community and/or National level.
Integrates a relevant theory of behaviour change specific to the required risk-reducing behaviour	Whilst most respondents noted that Rothschild's (1999) OAM model has been integrated into the 3rd level of the PSI PERForM framework, most could not determine what the specific underlying theory of change was. This was partly because the PSI PERForM framework is not designed for any one specific behaviour. Half of

	the respondents felt that "*the allocation of the constructs* (bubbles)" was "*random across OAM criteria*" and thus "not grounded in an under-lying theory of change themselves.
Integrates the objectives of a specific programme with Opportunity, Ability and Motivation (OAM) social marketing theory to determine relevant activities – and to measure the correlations between activities and observed target audience behaviour	Half of the respondents in the In-Depth Interviews felt that the way in which the PSI PERForM framework makes use of the OAM model as a planning tool provides a good foundation by which to measure linkages between activities and target audience profiles and to conduct "cross population analyses". The interpretation is that there is a believable conceptual link. Several other respondents had concerns about the PSI PERForM framework being "*too broad level*" and "*not tied to a specific behavioural context*" – without which it is difficult to determine whether the framework is suitable on this criteria.
A "*top-line benchmarking tool*" that can show behavioural differences before versus after an intervention, rather than "*a detailed*" diagnostic explanation	Three respondents (from Non-Profit & Private Sector Development Consultancy backgrounds) felt that where contemporary research databases enable "cross-tabulations of data" that can "*drill down to detailed diagnosis*" of reasons for performance successes/failures within a project, there is a wealth of data that can be made available to decision-makers – and that where decision-makers are trained in a software programme that enables cross-tabulations (one respondent mentioned a programme called "*CUBE*") there is no longer a need for detailed diagnostic reporting; rather the user can customize research around individual needs. Based on this line of thinking and if such a software were to be used within the Private Sector the PSI PERForM framework can provide both a top-line function and a diagnostic drill-down function, depending on user requirements.
Incorporates measures that encourage managers to capture and share learning with other development organisations	As no respondent made direct reference to the PSI PERForM framework on this criterion, a subjective evaluation has been determined by comparing the PSI PERForM framework to definitions in the academic literature. Benner et a. (2004) and Prahalad (2005) submit that in a market-led development context each partner can be seen to form part of a wider symbiotic eco-system or network for creating and capturing value within the BoP. As such, it is suggested that a framework that makes mention of

	networks or a value chain could serve to indicate whether an M&E framework measures the value flows within an eco-system/network/PPP and could serve as a rough screening criterion for determining suitability of a framework. The suggestion is that there is no observable consideration given to the development spectrum within the PSI PERForM framework and that this gives cause to assume that the framework is not suitable in encouraging sharing of learnings between Private Sector organizations and their development partners.
Conceptualises the linkages between a company's core profit motivation with the company's impact on the broader externalities of human development.	The PERForM framework has been designed explicitly for PSI, a non-profit organization that uses donor funding to manage social marketing programmes (Chapman and Patel 2004). Whilst PSI uses commercial approaches to managing their programmes and endeavours to be self-sustainable through commercial sales of their products/services (www.psi.org), the PERForM framework does not provide for any observable/tacit link to the organisation's finances.
Caters for "*Impact Sustainability*" – by defining what role a company will play within the development spectrum relative to other organizations and showing how the company's absence/presence affects the sustainability of the development programme as a whole.	As per the "*sharing of learnings*" suitability criterion discussed above there was no direct mention made by respondents in the in-depth interviews to the PSI PERForM framework relative to the criterion of "*impact sustainability*". A subjective evaluation has been compiled by drawing on responses in the in-depth interviews from discussion guide question 3 (what additional M&E criteria need to be considered with the Private Sector in development?) and comparing these to the PSI PERForM framework. Half of the respondents raised a concern about "*If an intervention ends, will the intended new behaviour continue?*" The suggestion is that a suitable M&E framework on this criterion would contain a comparative opportunity cost analysis for a situation in which the Private Sector organization was not involved – as a basis of encouraging consideration of the broader development spectrum, an exit plan for the end of the project and a trigger point for hand-over to a new development partner. There is no observable response from the PSI PERForM framework on these criteria. The model would need to be tweaked in order to be suitable to a Private Sector organization investing in development.

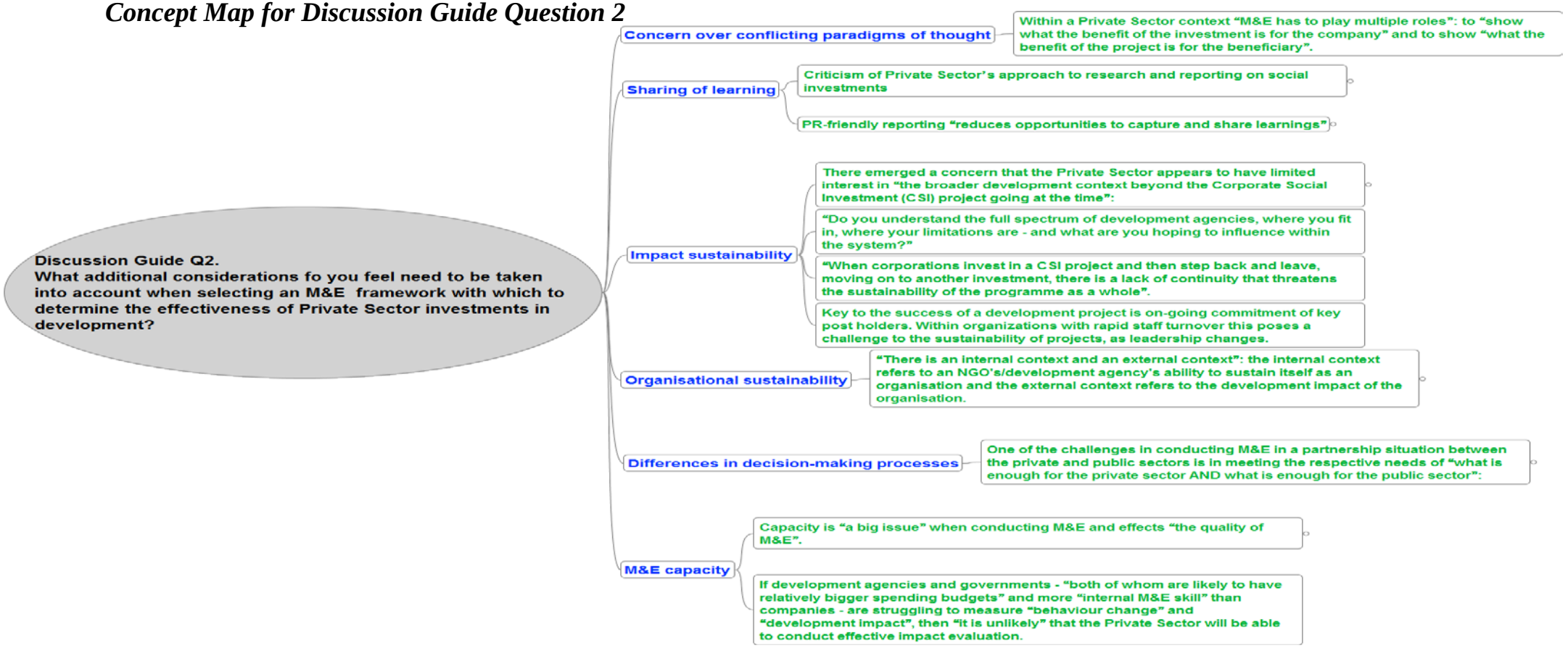
APPENDIX I

Concept Map for Discussion Guide Question 1



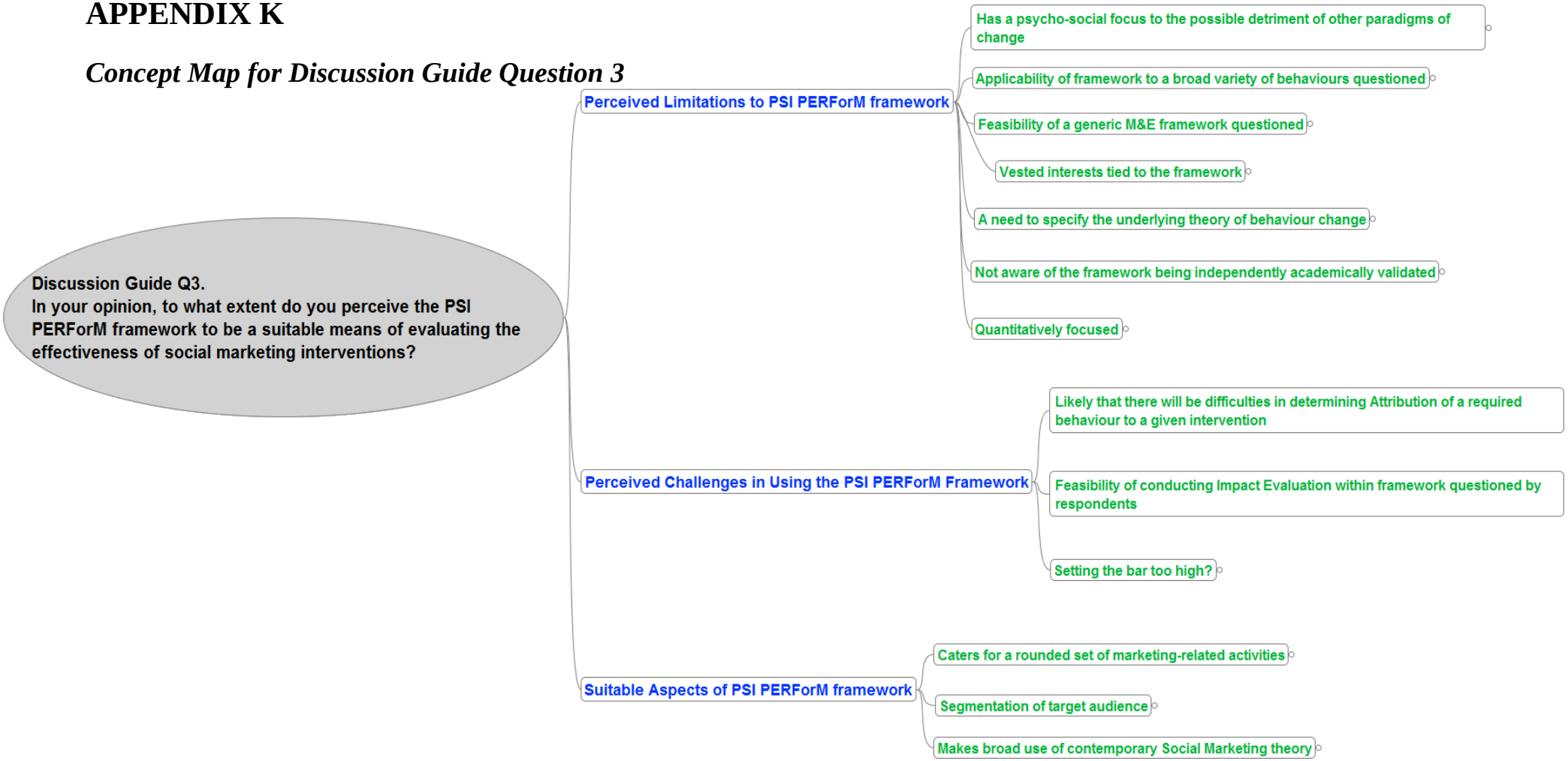
APPENDIX J

Concept Map for Discussion Guide Question 2



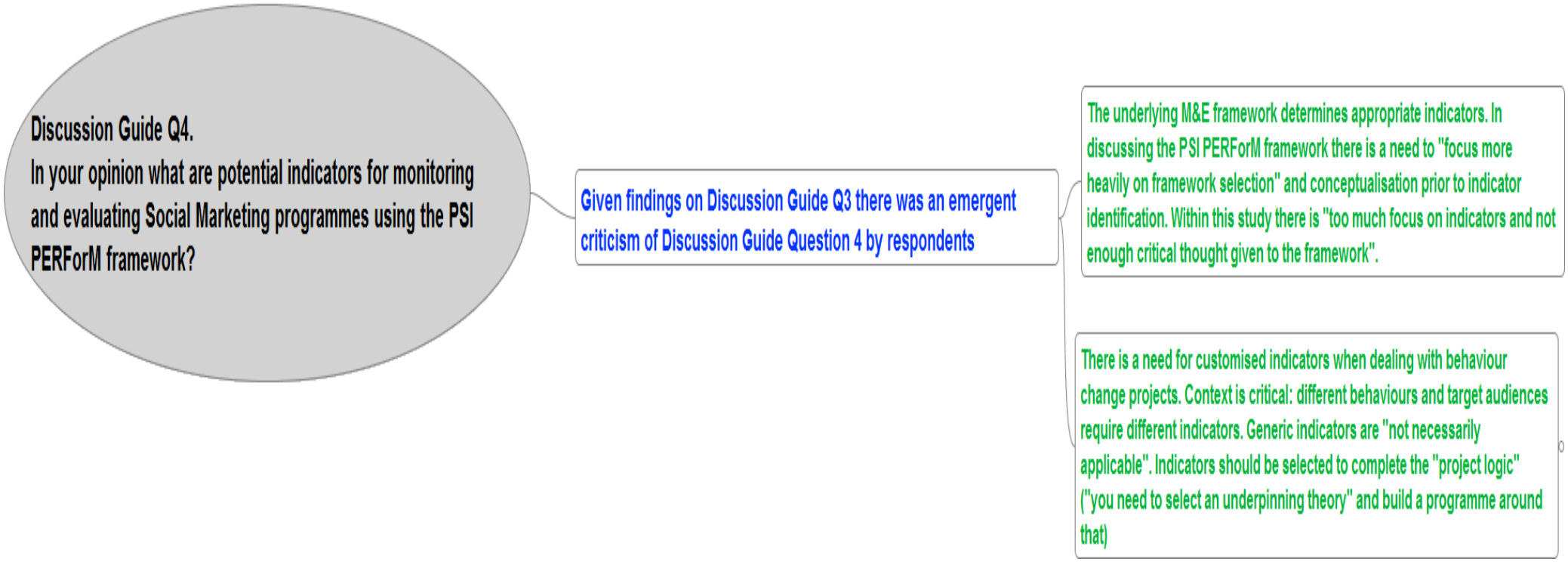
APPENDIX K

Concept Map for Discussion Guide Question 3



APPENDIX L

Concept Map for Discussion Guide Question 4



APPENDIX M

Concept Map for Discussion Guide Question 5

