



## Conducting Formative Research



## Why Formative Research?

- Foundation of evidence-based sanitation marketing initiatives
- Process and tools to answer questions
- Answers will improve effectiveness of program

The foundation of any sound sanitation marketing program is formative research. Formative research follows a process and includes a set of tools that can be used to help answer questions such as:

- What are current defecation practices and how satisfied are people with these?
- Under what circumstances is open defecation acceptable?
- Who is responsible for cleaning the toilet and how often does this happen?
- What are the most desirable features of a sanitation facility and how much are people willing to pay for these?
- Who are the major players in the supply chain? What are the opportunities to strengthen it?

Answers to these questions increase the likelihood that a sanitation marketing program is effective and reaches its objectives.



## Learning Objectives

- Understand why formative research is important
- Know the main research steps
- Be aware of how research has been used in sanitation marketing initiatives



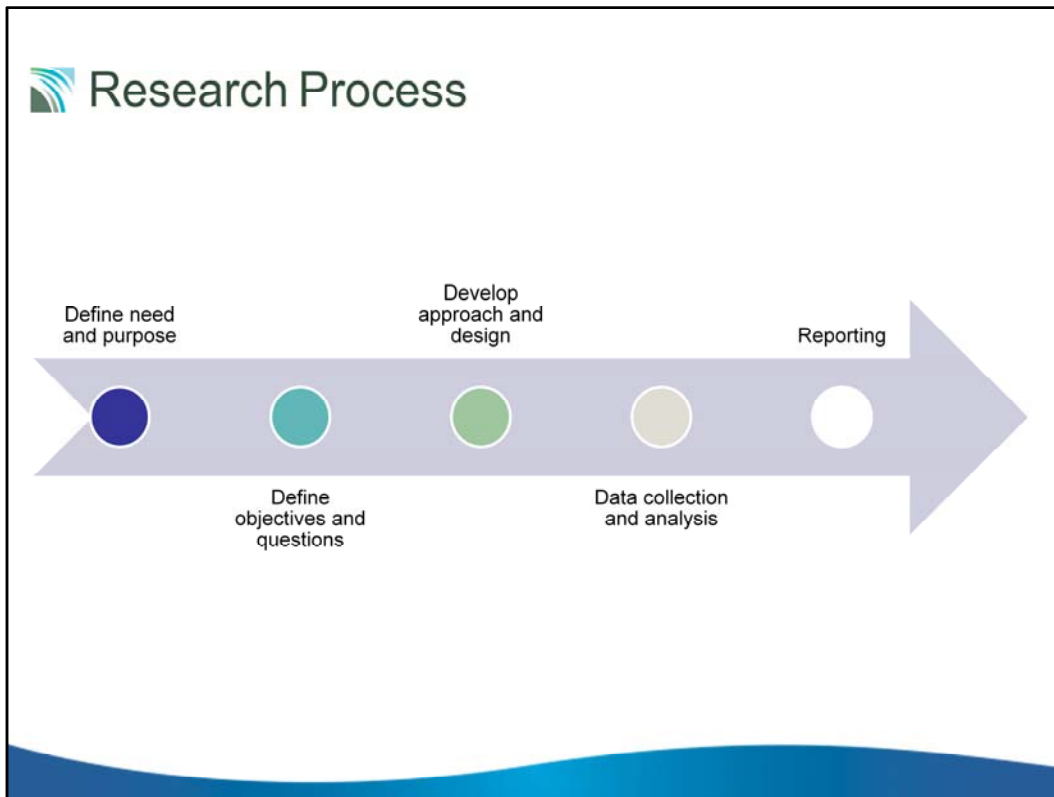
The learning objectives for this module include understanding:

Why formative research is important.

The steps to follow to produce quality research.

How research is used in sanitation marketing programs.

This module will not make you an expert researcher but it can help you better manage the research process so that you have the information needed for decision-making.



- First, define the need and purpose of the research. What do you need to know? How will you use the information?
- Next, define the research objectives and questions.
- Once you are clear on objectives and questions, develop the approach and study design.
- The next step is data collection and analysis.
- Finally, presentations and reports are prepared to document and disseminate the research findings.



## Define the Need and Purpose

Work “backward” What decisions are needed? What information is needed to make those decisions?

Possible research questions:

- *What are household members’ prior experience with sanitation facilities?*
- *What features and benefits are more desired by households?*
- *What products/services are currently available in the community?*

Let’s take a closer look. The first step is to work out what decisions need to be taken and what information is needed to make those decisions. In order to develop a sanitation marketing strategy, it may be critical to identify what products and services must be readily accessible as a result of the program. Some research questions might include:

- *What are household members’ prior experience with sanitation facilities?*
- *What features and benefits are more desired by households?*
- *What products/services are currently available in the community?*



## Define the Need and Purpose

- Tap secondary data sources ... *information obtained from existing research*
- Often need to conduct primary research ... *information obtained directly from source*

The information needed may be available in existing documents and databases or from other organizations. This is known as *secondary research*. In some cases, secondary data may be recent and complete. Additional research may not be necessary. More commonly, *primary research* is needed to gain additional information. Primary research is information obtained directly from the source, such as a survey of households or local suppliers.

An assessment of the supply chain often requires primary research because the private sector may not make data available for competitive reasons.



## Define Research Objectives & Questions

- Focus study on areas needed to support decision-making
- Cornerstone of terms of reference for consultant
- Serve as check-list and reference
- Guide discussions around research methods, questionnaires, and analysis
- See *Keep in Mind: Formulating Research Questions*

The next step is to clearly define research objectives and questions.. Research objectives and questions help focus the study on the areas needed to support decision-making and help you avoid collecting “nice to know” but at the end of the day useless information. Research objectives and questions form the cornerstone of the terms of reference for a consultant. They serve as a checklist and reference throughout the process and guide discussions between you, stakeholders and the consultant around research methods, questionnaires and analysis.

Spend time developing the research objectives: they are the foundation for the entire study. See *Keep In Mind* for tips on how to formulate good research questions.



## Understanding Behavioral Determinants



A research objective of particular interest to sanitation marketing is to identify the factors that influence open defecation or other behaviors in a given population. These factors are called *behavioral determinants*. WSP and partner organizations developed a framework called **SaniFOAM** to help guide research. It groups behavioral determinants based on whether they affect people's opportunity, ability, and motivation to behave in a certain way. Say you want to learn what people think about open defecation. The research objective would be to determine if and how social norms influence open defecation. Some research questions could be:

- *Under what circumstances, if any, is it acceptable to defecate in the open?*
- *At what age are children expected to start using a toilet?*

To learn more about SaniFOAM, see Tools & Resources.





## Develop Study Approach and Design

- Approach may include qualitative and/or quantitative methods

*...qualitative methods include focus group discussions, in depth interviews, observations*

*... quantitative methods target a larger sample size and use a standardized research instrument*

Once you are clear on your research objectives and questions you can begin procuring the consultant, usually a firm, to develop the study approach and design, and conduct the research. Key steps include developing the terms of reference, reviewing proposals, and contracting the consultant. See sample terms of reference in Tools & Resources.

The study may include qualitative or quantitative methods or a mix of both. For example, if you want to understand how households prioritize expenditures, qualitative methods such as focus group discussions or in-depth interviews are appropriate. But if you need to determine the size of the population segment that is willing to pay for a given sanitation facility, a representative survey is a better method.



## Develop Approach and Study Design

- Develop the study protocol
- Review research instruments such as questionnaire
- Pre-testing is essential

*... summarizes background and purpose of study, and research objectives, questions, and methods*

One of the first critical deliverables of the consultant is to develop the study protocol. The protocol is a document which summarizes the background and purpose of the study, the research objectives and questions and the methods to be used including a discussion of sample size and other technical details.

Next, the consultant should develop research instruments such as the questionnaires and discussion guides. Take an active role to review these. Keep in mind that all research instruments must be pre-tested with a small sample of the population before fieldwork begins. For additional tips, see Keep in Mind.



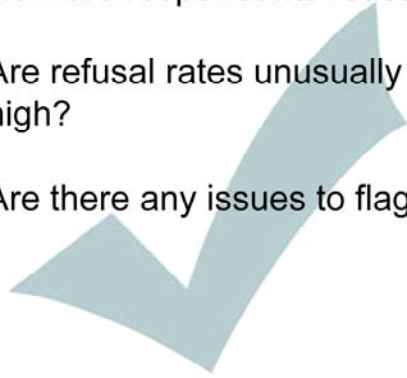
## Data Collection and Analysis

Is data collection progressing on schedule?

How are respondents reacting?

Are refusal rates unusually high?

Are there any issues to flag?



During the data collection phase, keep track of progress. Ask the consultant questions such as:

Is data collection progressing on schedule? If not, what measures will you take to get back on track? How are respondents reacting? Are refusal rates unusually high? Are there other issues to flag?

Once data has been cleaned and entered, data analysis will begin. Of course, in an ideal scenario, the data analysis plan was determined with the consultant during the research design phase. If you haven't done this yet, start now.



## Reporting

### Topline Results

- Summarize key findings
- Often available shortly after data entry
- Can be quickly fed into program design and decisions

### Final Report

- Several iterations
- Do not underestimate level of effort

A standard practice in consumer and market surveys is to have the consultant present top-line results, a summary of key findings. Topline results can be available shortly after data entry and sooner than a report. They often provide critical information that can be quickly fed into program design or support other decisions. They also allow the program manager to request additional analyses and guide the final report writing.

A “live” presentation of the topline results is strongly recommended – consider including the wider team such as government partners and implementing agencies who may be on board. The final report is likely to take several drafts: do not underestimate the level of effort involved.



## What's Inside: Formative Research

- Chapter 2, *Introductory Guide to Sanitation Marketing*
- Case Study on the Research Process
- PDF of this presentation
- Key Terms, Keep In Mind
- Additional Tools & Resources

This completes the overview. To learn more, please explore the entire module. You'll find the corresponding chapter, key terms and tips to keep in mind, and additional tools and resources.