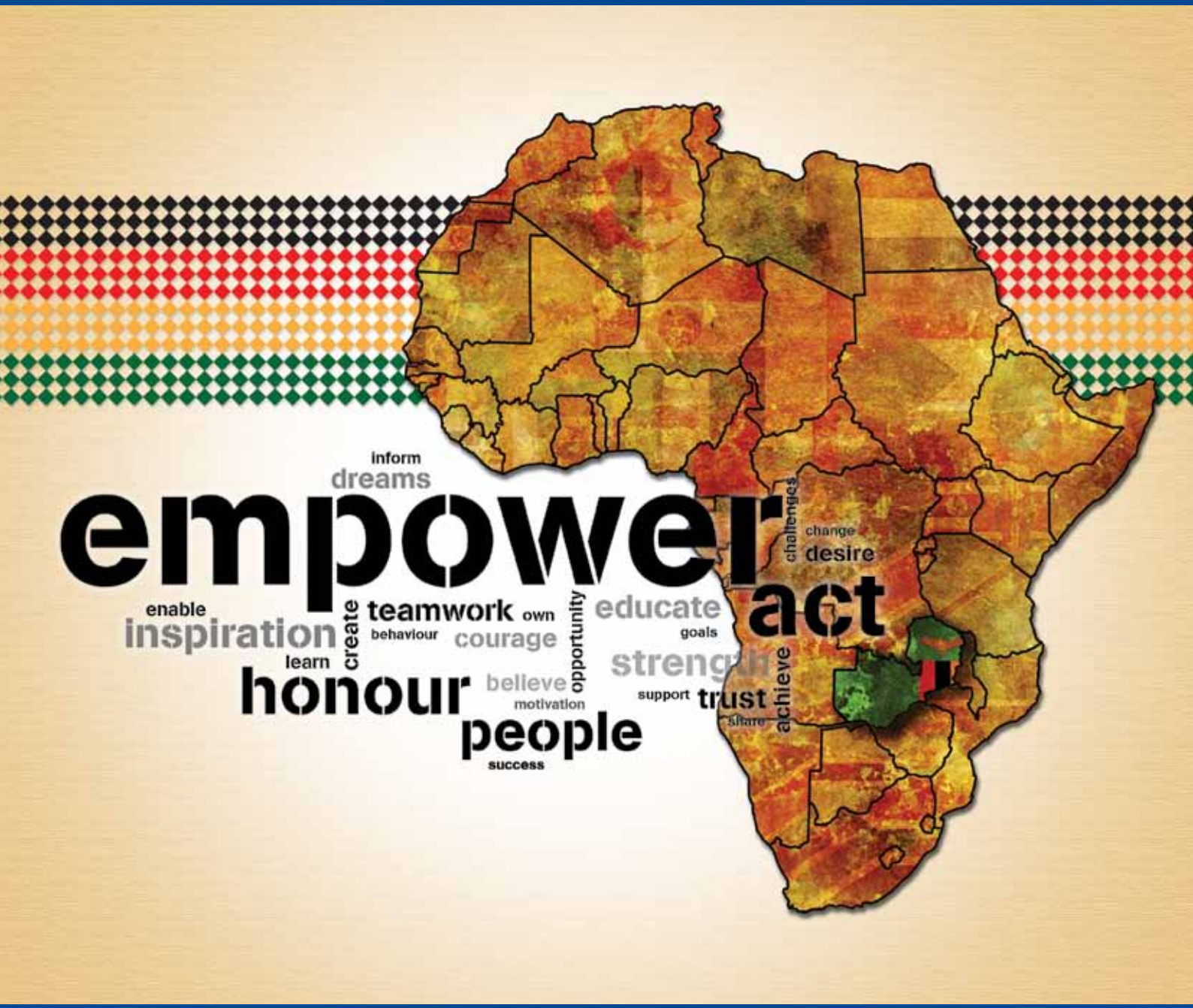
UNDERSTANDING FORMATIVE RESEARCH: Methods, Management, and Ethics for Behaviour Change Communication



FACILITATOR'S GUIDE

Understanding Formative Research: Methods, Management, and Ethics for Behaviour Change Communication

Facilitator's Guide 2012

USAID Communications Support for Health Project

Lusaka, Zambia

Acknowledgements

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Welcome

This facilitator's guide is intended to support the delivery of the Understanding Formative Research: Methods, Management, and Ethics for Behaviour Change Communication Training. The training was developed by the USAID-funded Communications Support for Health Project in Zambia. The objective of this training is to enhance the knowledge and skills of participants conducting formative research to inform the development of strategic behaviour change communication strategies and campaigns. Specifically, after attending the training, participants should be able to

- Define formative research and its role in strategic behaviour change communication plans;
- Describe the components of a formative research plan;
- Explain qualitative and quantitative methodologies for formative research and their application; and
- Discuss challenges and approaches to managing formative research processes.

The following pages will provide facilitators and training coordinators with guidance for preparing, conducting, and evaluating the training.

Overview of the Training

The training will take place over a four-day period. Each day will be organised into three types of activities:

- Sessions—walking through the curriculum in the PowerPoint slides with the use of handouts. Sessions will also include participant discussions and exercises specific to the curriculum;
- Tea breaks and lunch—providing an hour for lunch each day, as well as morning and afternoon tea breaks; and
- Energisers—offering activities to give participants a little break and help them refresh for the subsequent sessions.

The sessions include

- Lectures—presentation of the curriculum content.
- Group discussions and participatory exercises—opportunities for participants to share their experience and put the curriculum content into action.
- Daily reporting—participants give an overview of the previous day's highlights.

The training also incorporates an evaluation component, including

- Pre- and post-tests to assess change in knowledge of formative research, and
- Daily evaluations to gather immediate feedback on the training.

The facilitators should meet during the evening after each day of the training to discuss the findings from the daily evaluation and make adjustments to the subsequent training days, as possible. The training team should also meet after the completion of the training to discuss the pre- and post-test findings, daily evaluations, and overall feedback from the training.

Training Highlights

Participants will learn about the formative research process, from the initial planning to the dissemination and implementation of findings. The curriculum also provides detailed information on the management of a formative research study.

This training gives participants a chance to practice applying knowledge and techniques addressed in the curriculum in a setting monitored by a trained researcher. Participants work in small groups to make some key formative research decisions in response to a scenario pertaining to safe motherhood behaviours. Safe motherhood involves a range of issues, such as antenatal care and newborn nutrition, which training participants may be familiar with. The small groups will meet throughout multiple sessions to address different aspects of the research planning process specific to the scenario and training curriculum.

In the participatory exercise process, participants will practice assessing each other's work and offering solutions for improving any glitches or inconsistencies in the research design.

Participants will also get a glimpse into behaviour-centred programming and its relation to formative research.

Interactive Adult Learning

Although the training consists of a clearly defined curriculum, a primary objective is to incorporate the participants' experiences and knowledge into the discussion as much as possible. As illustrated in the slide guidance, each new topic in the sessions begins with a discussion of the participants' experiences. The facilitators need to create an environment in which participants feel comfortable and are continuously encouraged to share their stories, ideas, and lessons learned related to formative research.

While much of the training is delivered through interactive sessions, the real learning happens during the exercises—particularly the research group exercise focused on the safe motherhood scenario. As research groups apply the training content to the scenario, they see how practical application of the formative research principles plays out in study design. Facilitators will be available during the exercises to assist groups, as needed.

During the "report outs," participants give feedback and suggestions on their colleagues' research designs. This technique helps groups to identify gaps or issues in the research design and improve their designs based on the feedback. This practice in critical thinking will help both managers and field researchers to examine and plan research study protocols and tools after the training.

Skills and Experience Needed To Facilitate

Training skills: This guide is designed for experienced trainers who have a good understanding of how to apply the formative research principles to studies geared towards strategic behavioural health communications. The training curriculum assumes that trainers have experience and comfort in giving interactive presentations and in facilitating large- and small-group discussions.

Formative research experience: Facilitators who have conducted and designed formative research studies for communications purposes will be most equipped in leading this training.

Materials Preparation

All of the materials you need for conducting the training are included in the facilitator guide and the CD-ROM. The CD-ROM includes the following materials:

- Facilitator guide
- Presentation slides
- Participant guide and supplemental materials
- Pre- and post-tests
- Daily evaluation forms
- Sign-in sheet
- Certificate of training completion

This guide provides instruction on the timing of each activity, purpose and objectives, methodologies, materials needed, implementation, and key discussion points. The key discussion points highlight the topics or issues that are most important to address in each of the sessions.

The slide guidance includes both verbatim text for a sample presentation and instructions that a facilitator needs in order to understand the content and the order for the presentation. The instructions are in bold font. Preferably, the script should not be read aloud during the presentation. Instead, the facilitator should review the script prior to the training and adjust or rephrase it to make it feel as natural as possible when delivering the training. Facilitators should also include other content or personal experiences as they find useful.

When the equipment and infrastructure allows, present the PowerPoint slides using a computer and LCD projector. If a computer and projector aren't available, consider printing all or a selection of slides on transparencies and show them to the group using an overhead projector. Facilitators should test the equipment and identify a training team member to help troubleshoot in case of an equipment failure. If it is not possible to project the slides, the participants can follow the sessions using their booklets, which contain copies of the PowerPoint slides.

Review the participant materials before the training to become completely familiar with what participants will be using during and after the training.

The facilitator and participants will also need the following materials during the training:

- Flipchart,
- Markers,
- Tape,
- Pens or pencils,
- Notepads or pieces of paper,
- Notecards or sticky notes,
- Football,
- Name tags,
- Participant booklets and CD-ROMs,
- Registration list,
- Sign-in sheet, and
- Participant number to be used for the pre- and post-tests.

Room Set-Up

Depending on the size of the group of participants, facilitators and training coordinators may need to arrange to use a room that allows space for all of the participants and is conducive to small-group exercises. Participants will find a desktop or table space useful when they need to take notes during the sessions and exercises. They will also need to be able to see the speakers, the slides or other projections, and the flipchart. The set-up should allow for participants to work in small groups and be able to see and hear each other easily. If possible, arrange the room with multiple round tables to facilitate the exercises.

Run-Through

To ensure that the activities go smoothly, facilitators and training coordinators should run through the training to determine the training team members' roles and responsibilities. As mentioned above, facilitators should not plan to read the speaker script word for word to the participants. Reading directly from the script throughout the training may not result in an interactive environment. Rather, use the script and instructions as guidance on what you can say, which important points and questions to address, and how you should facilitate the exercises.

Keep in mind that the pace of the different training activities is critical. The slide guidance includes suggested timing for each session slide, group exercise, energiser, and break. The sessions, in particular, can become unnecessarily longer if the facilitator doesn't practice for pacing. Many of the sessions have a large number of slides to be presented in a short amount of time.

Interaction is built into the sessions in an organised manner. The script includes many questions to engage participants. The facilitator should try to solicit participant responses that are relatively short and to the point. The instructions indicate when an activity requires a longer period of time for the participants to respond.

To keep the pace of the training and stay on the topic at hand, facilitators may need to respond to participant questions that are easy to address immediately and save other questions for later in the training. Facilitators can create a "parking lot" of questions to respond to later by writing them on a flipchart as a reference.

Training Agenda

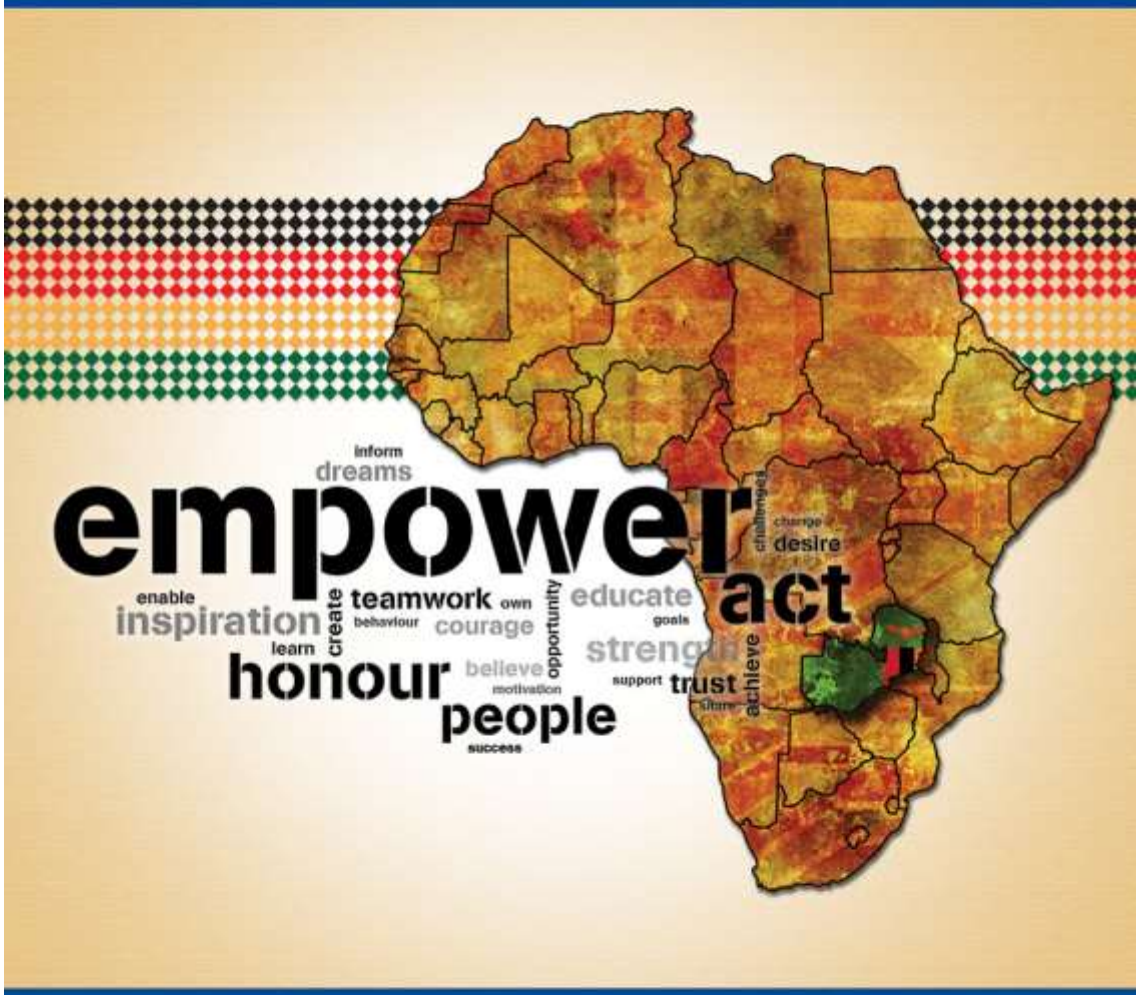
DAY 1		
Begin	**End**	**Activity**
8:30	**9:00**	Registration
9:00	**9:45**	**Session 1:** Workshop Introduction
9:45	**10:00**	Pre-test
10:00	**11:00**	**Session 2:** Behaviour-Centred Programming
11:00	**11:30**	Tea Break
11:30	**12:45**	**Session 3:** Defining Formative Research
12:45	**13:45**	Lunch
13:45	**14:15**	**Energiser 1:** Where in the World?
14:15	**15:15**	**Session 4:** Foundations of the Formative Research Plan
15:15	**15:45**	Tea Break
15:45	**16:45**	**Session 4:** Foundations of the Formative Research Plan (Continued)
16:45	**17:00**	Daily Evaluation

DAY 2		
Begin	**End**	**Activity**
9:00	**9:15**	Reporters
9:15	**10:15**	**Session 5:** Audience Segmentation
10:15	**11:00**	**Session 6:** Formative Research Methodologies
11:00	**11:30**	Tea Break
11:30	**12:30**	**Session 6:** Formative Research Methodologies (Continued)
12:30	**13:30**	Lunch
13:30	**14:00**	**Energiser 2:** How Do You Stack Up?
14:00	**15:45**	**Session 7:** Formative Research Tools
15:45	**16:15**	Tea Break
16:15	**17:15**	**Session 8:** Data Collection
17:15	**17:30**	Daily Evaluation

DAY 3		
Begin	**End**	**Activity**
9:00	**9:15**	Reporters
9:15	**11:30**	**Session 9:** Data Analysis and Report Writing
11:30	**12:00**	Tea Break
12:00	**13:00**	**Session 9:** Data Analysis and Report Writing (Continued)
13:00	**14:00**	Lunch
14:00	**14:30**	**Energiser 3:** Three Common, One Unique
14:30	**15:15**	**Session 10:** Research Ethics
15:15	**15:45**	Tea Break
15:45	**17:15**	**Session 11:** Management of Formative Research
17:15	**17:30**	Daily Evaluation

DAY 4		
Begin	**End**	**Activity**
9:00	**9:15**	Reporters
9:15	**9:45**	Post-test
9:45	**10:30**	**Session 12:** Workshop Closing

SESSION 1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courage
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support
trust
share
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change
desire
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people
success

Administrative Task 1: Training Registration

TIME: 30 minutes

SET-UP:

- Table outside of the training area; and
- Two to three staff members to check in the participants, depending on the number of participants.

MATERIALS:

- Participant booklets and CD-ROMs,
- Blank name tags,
- Markers,
- Registration list,
- Sign-in sheet for each day, and
- Participant number for the pre- and post-tests.

Session 1:
Workshop Introduction

TIME: 45 minutes

PURPOSE:

- To provide an introduction to the training and welcome the participants.

OBJECTIVES:

- To discuss the training agenda, methodology, and objectives;
- To provide an opportunity for participants to introduce themselves;
- To assess and address participants' expectations for the information and skills they will get as a result of the training; and
- To set the tone for a healthy learning environment.

METHODOLOGIES:

- Lecture
- Questions and answers
- Small-group exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers
- Tape

KEY DISCUSSION POINTS

- The goal of the training is to enhance participants' knowledge and skills in formative research for communications purposes. Mention that you understand that some participants may have more experience than others in research, and strongly encourage participants who have experience to share their stories, ideas, and recommendations for conducting research throughout the training. Stress that everyone is there to learn from one another.
- Ask participants to be candid about their expectations for the training and their reactions to the agenda and training methodology.
- Encourage participants to talk with each other about their backgrounds and objectives for attending the training.

SLIDE 1.1

TIME: 1 minute

[Once the participants have taken their seats, start the session.]

Welcome to the "Understanding Formative Research" workshop! We're so glad that all of you could join us.

My name is **[Insert your name.]** and I will be one of the workshop facilitators. I'm also joined by my colleagues **[Insert the names of the other facilitators.]** who will also be facilitating the workshop with me.

I'm sure that some of you may already know each other. I have met some of you as you were registering but, since we will be spending a lot of time together this week, I think it would be great if we could start off by introducing ourselves so we have an idea of who our colleagues are.

This workshop is going to cover a range of topics on how to plan for and manage formative research studies. You all should have received a participant package complete with a workshop booklet and CD-ROM. This booklet will help guide you through the workshop and the CD-ROM contains lots of materials that you can refer to after the workshop.

Does anyone have any questions before we begin with Session One? **[Acknowledge and respond to questions.]**

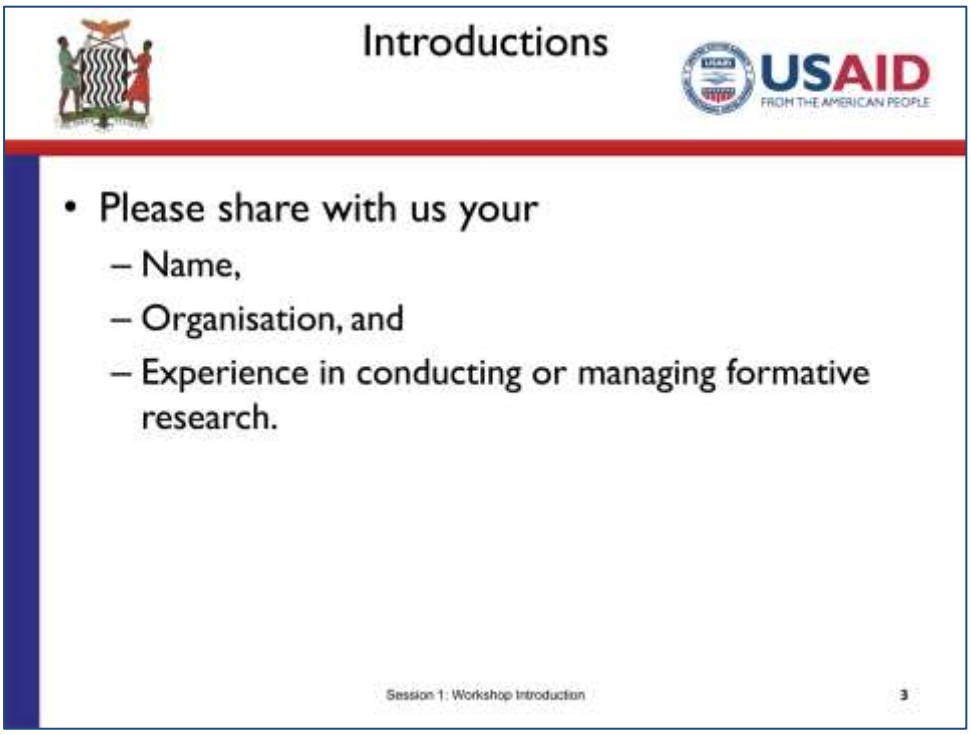
[Change to slide 1.2.]

SLIDE 1.2

TIME: 1 minute

Now, let's begin with the first session of our workshop. In this session, we're going to get to know each other a little bit. We'll also talk about what t.

[Change to slide 1.3.]



SLIDE 1.3

TIME: 8 minutes

I have three points of information I would like you to share with us: your name, your organisation, and your experience conducting or managing formative research.

Before you get concerned by this last point, I do want to let people know that we are not expecting you to be an expert at either conducting or managing formative research. That's why you're here, right? To learn more about research! I'm guessing, however, that many of you have worked in and around formative research and that you may know more than you give yourself credit for. During this workshop we're going to be asking you, the participants, to share what you have done in response to different situations that come up in formative research. We've found that some of the best learning comes out of the experiences of our colleagues. So just let us know what type of research you have done and in which countries. If you haven't done any, don't be shy about saying that, either. We're all here to learn!

[Wait for all participants to introduce themselves.]

Thank you, all of you! I'm looking forward to getting to know you better and sharing our experiences with formative research.

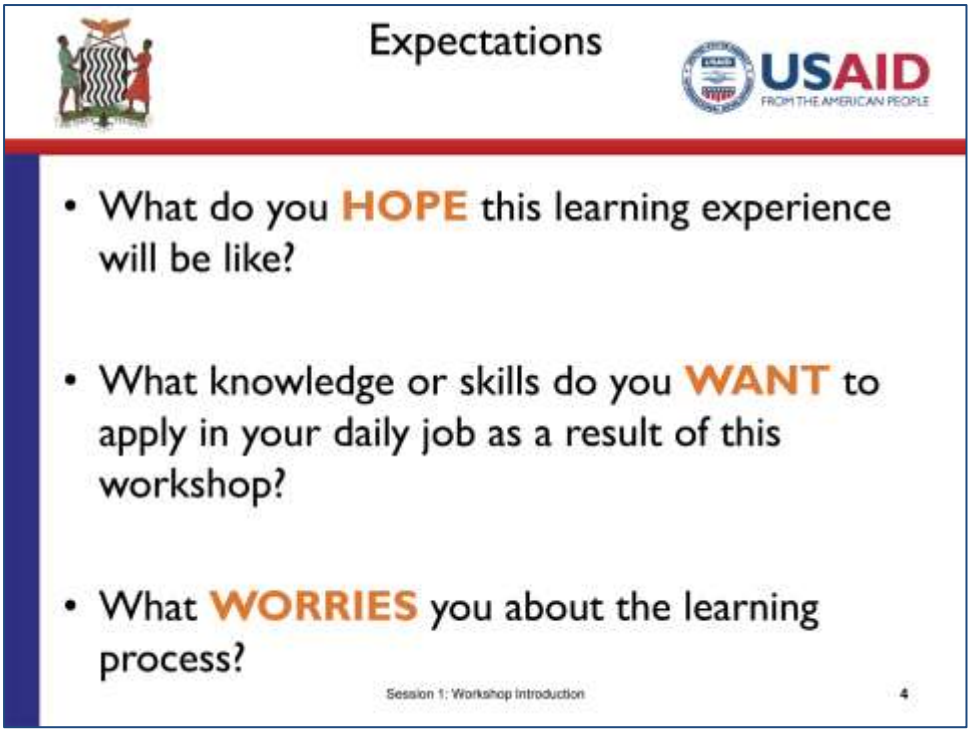
This morning's introduction session is going to cover a number of different topics and will set the stage for the rest of the workshop to go smoothly. Specifically

- We will be discussing our expectations of the workshop;
- We'll go over the objectives of the workshop (we hope these are pretty close to the expectations!);
- We'll work together to create some ground rules;
- We will review the full agenda and the methodology we'll be using in the workshop; and
- And we will be asking everyone to take a pre-test.

We also have a full set of slides and handouts for all of the sessions in the workshop. We're hoping that having these materials already printed out for you will make it easier for you to take notes if you would like to do so, or to just listen and not have to write anything if you would prefer to take that approach. I know that different people have different approaches to learning, so please do what you think is best for you.

We'll be explaining each of the topics I just mentioned more in-depth in a moment, but before we move on, does anyone have any questions?

[Change to slide 1.4.]



SLIDE 1.4

TIME: 15 minutes

I would like for us to take a few minutes to discuss your expectations of this workshop. We're going to do this in groups of three, so please take a look around you and form yourselves into clusters of three. Feel free to move your chairs around so that you can talk to each other comfortably.

Once you are in your small groups I would like you to discuss the three questions I have up here on the slide. **[Read slide.]**

We're going to pass out some flipchart paper and markers. Please go ahead and write your responses on the paper—it doesn't need to be word for word, but please try to capture the main ideas you discuss. After about five minutes, we'll have a representative from each group share your responses with the rest of the group.

So, go ahead and move your chairs around and discuss these three questions. Be sure, also, to decide who will report your answers to the group. You have about five minutes.

[Allow five minutes for groups to discuss the questions. End the exercise earlier than five minutes if it appears that all of the groups have completed the exercise.]

Alright—who would like to start? **[Acknowledge the volunteer or select a group to begin reporting.]** Why don't you tell us what you discussed in relation to these questions?

[Be sure to reflect back and summarise what you are hearing; acknowledge things that will be covered. Make note of things that may NOT be covered in the workshop, but hold those for the end, to be mentioned only if they came up in more than one group or if one group mentions that, for example, its heart's desire is to learn to moderate focus groups. Otherwise, emphasise what WILL be covered.]

Thank you very much, all of you, for those excellent summaries. This exercise always helps us, as facilitators, to know what to emphasise amongst all the things we are going to present. Obviously we can't cover everything in one workshop, but I did hear a lot of things that we will be covering. Some of the things I heard are not a part of the objectives of the workshop but, depending on the time, we may have the opportunity to touch on them. **[Address concerns.]**

[Change to slide 1.5.]

SLIDE 1.5

TIME: 4 minutes

We do have some "official" objectives for this workshop. Can I have a volunteer to read the current slide? **[Select volunteer.]**

In designing this workshop we had to make some tough decisions on what to include and what to leave out if we didn't want to be here for three weeks.

One of the things we discussed in-depth was the difference between *conducting* formative research yourself and *managing* it. This workshop is not intended to teach participants how to conduct formative research. There are many other workshops and trainings for that. However, we do want you to know how to manage the research process. This includes choosing the most appropriate methodology, knowing how to use formative research to inform your communications campaign planning, understanding how to handle human participant protections processes (such as Institutional Review Boards), and recognising if the tools and proposed research are likely to give you the information you will need to design an effective communications campaign.

Does anyone have any questions before we move on to the agenda and methodology?

[Acknowledge responses and respond. Change to slide 1.6.]

SLIDE 1.6

TIME: 7 minutes

Let's move on to the agenda and methodology. All of you should have a copy of the agenda in your workshop booklets. Can you please open your booklets to the agenda page?

We've organised each day into three types of activities:

- **Sessions**—These will be where we go through the materials included in your booklet and have discussions about the content. We'll do a lot of discussing and sharing of experiences during this time.
- **Tea breaks and lunch**—Everyone's favourite part of workshops, right? We've scheduled an hour for lunch each day, as well as morning and afternoon tea breaks. I know it's important to get up and move around in order to keep concentration high during the sessions.
- **Energisers**—Even with tea breaks I know our energy can lag at certain times of the day. We've scheduled some of what we're calling "energisers" to help wake us up and get the brain whirring again.

I hope that, by scheduling different types of activities, we can keep our brains fresh and energy levels high for learning.

As I mentioned, the sessions are where we will concentrate on content. Each of these sessions will be broken up into

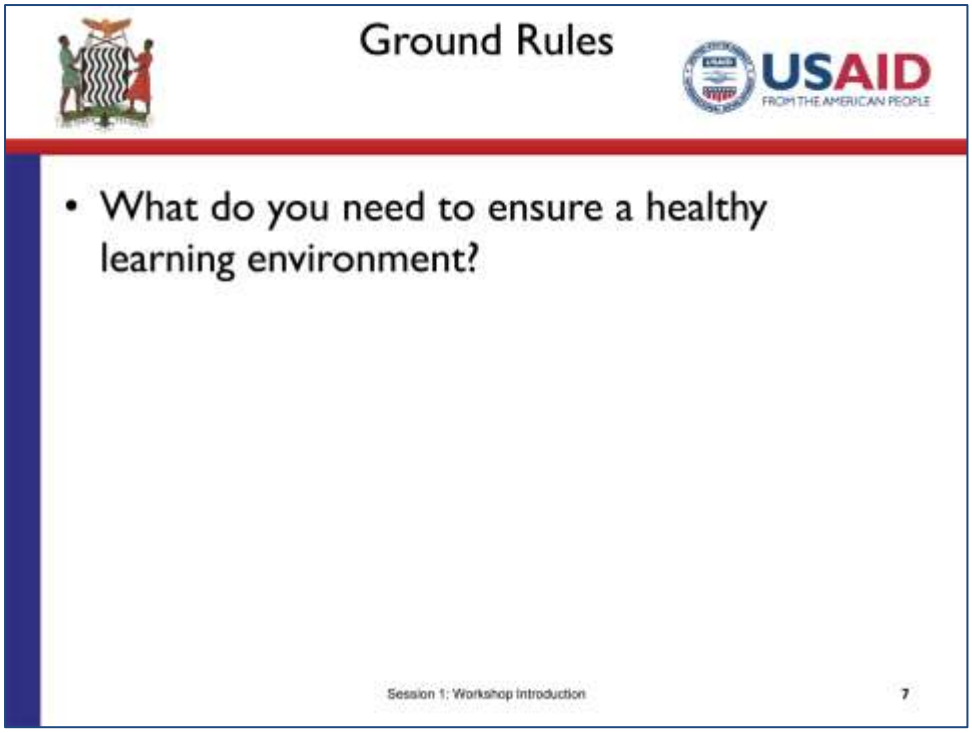
- **Lectures**—This is where we as facilitators get to present content to you and ask questions to get you thinking.
- **Group discussions and participatory exercises**—I'm sure we have a lot of expertise in the room. We have a ton of pooled experience, and I'd really like to hear from you about what you have seen or done that has worked well and maybe some things that haven't worked well. I'm sure we can all learn from your experiences and ideas.
- **Daily reporting**—Each morning we will have a team give an overview of the previous day's highlights. Each day's learning builds on what we learned the day before, so I want to make sure you don't forget what we've just learned. I've found that having different people present and summarise is a good way to help fix it in the presenter's mind as well as remind those who are listening. We've got a lot to cover and it can be difficult to take it in all at once.

We also want feedback from you on how things are going. We will be having pre-and post-tests to see how your thinking about formative research may have changed as a result of the workshop.

We will also have daily evaluations. This is where we would like to hear from you on how things are going. For example, how was the pace of the day? Were the sessions too long and the tea breaks too short? Are there important concepts that aren't quite clear yet and that we should spend some more time on? This is where you can let us know those types of things.

Does anyone have any questions on the structure, learning process, or feedback mechanisms for the workshop? **[If yes, address the questions. If no, proceed to the next slide.]**

[Change to slide 1.7.]



SLIDE 1.7

TIME: 10 minutes

I've found that it's always helpful to set some ground rules at the outset. The ground rules don't have to be anything long or complicated but, in my experience, setting ground rules does help the process to go more smoothly.

What ground rules would you like to have for this training session? What do you need to ensure a healthy learning environment?

Let me give you an example of a ground rule I really like:

[Pick one.]

- Don't have side conversations during the sessions. Not only will we miss out on the wonderful things you have to say, but side conversations make it difficult for others to hear.
- Be respectful of others' opinions and experience. Your experience or opinions may be different, but that can be discussed respectfully.
- Try to stick to the times set in the agenda.
- Start on time.
- Participate.

[Write rules on flipchart paper as they are suggested. As the paper is filled, tape it up at the front of the room.]

Does anyone have questions about anything we've covered so far in this introductory session? **[Answer participant questions or ask other participants to answer the questions.]**

That's the end of Session 1. Thanks so much for your participation.

We're going to take about 15 minutes now to take our pre-test. I'm going to hand them out to everyone now. Please answer the questions completely and just turn them over when you are finished so that I can tell when we are ready to move into the next session. This is not like the tests you had in school that you are going to be graded on. It's one of the tools we use to help evaluate the course and what you may or may not have learned by attending the workshop.

[End the session and move on to the pre-test.]

Administrative Task 2: Training Pre-Test

TIME: 15 minutes

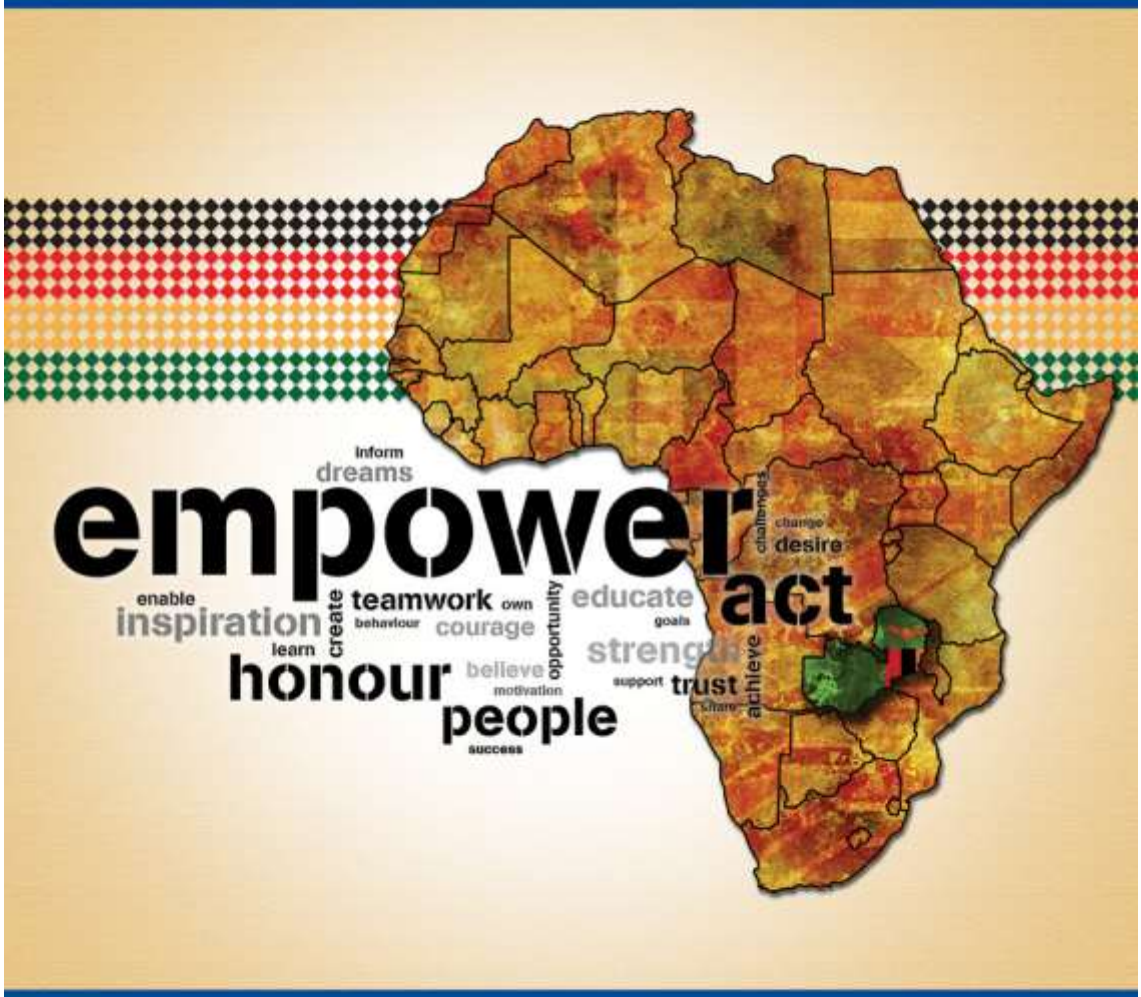
PROCESS:

1. Explain that the purpose of the pre-test is to measure participant knowledge of formative research before the training, and their responses will be compared to their responses to the post-test. Explain that the evaluation team will compare the responses to assess the change in participants' knowledge as a result of the training.
2. Distribute the pre-test forms.
3. Ask participants to label the tests with the number they received in registration.
4. Tell participants they will have 10 minutes to complete the form.
5. Remind participants not to write their names on the form.
6. Ask participants to turn their forms face down when completed.
7. Collect all completed forms and store to review later.

MATERIALS:

- Pre-test forms
- Pens or pencils

SESSION 2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support
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success

Session 2

Session 2:
Applying a Strategic Framework:
Behaviour-Centred Programming Overview

TIME: 60 minutes

PURPOSE:

- To provide an overview of behaviour-centred programming and its role in formative research.

OBJECTIVES:

- To define behaviour and strategy,
- To list six steps in behaviour-centred programming strategy,
- To explain why behaviour should be put first, and
- To discuss the types of activities that can change behaviour.

METHODOLOGIES:

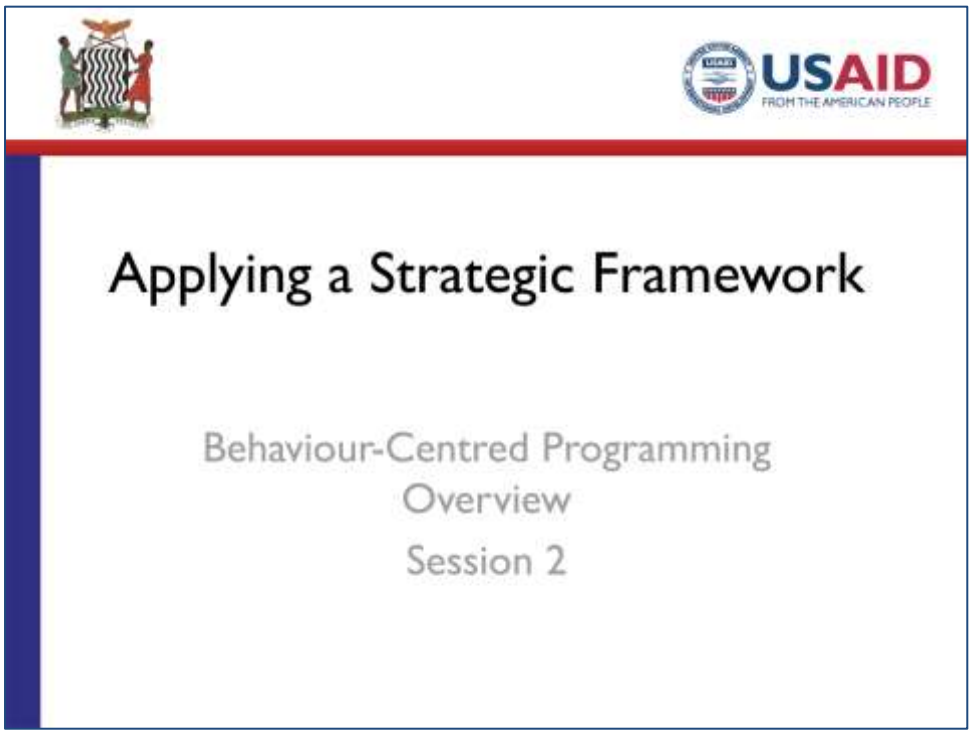
- Lecture
- Questions and answers

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers
- Tape

KEY DISCUSSION POINTS

- Tell participants that this session is simply a glimpse into behaviour-centred programming to give them a sense of its role in formative research. The session is not meant to be a comprehensive look at behaviour change communication.



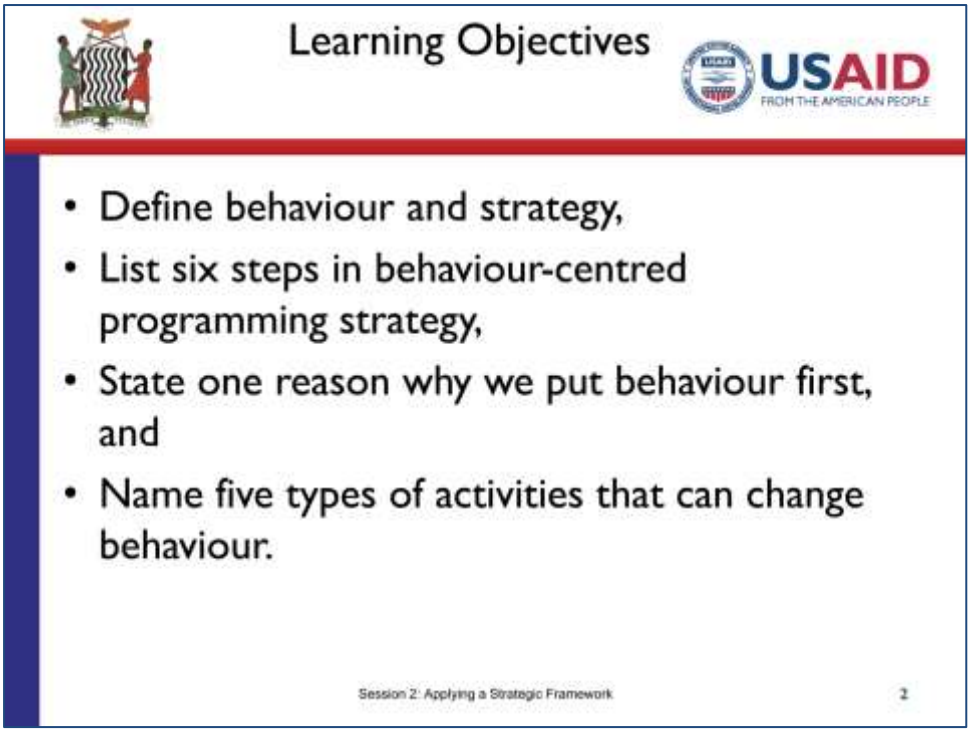
SLIDE 2.1

TIME: 1 minute

[Once the participants have taken their seats, start the session.]

In this session, we will discuss applying a strategic framework of behaviour-centred programming to your formative research.

[Change to slide 2.2.]



SLIDE 2.2

TIME: 6 minutes

Our learning objectives of this session are to

- Define behaviour and strategy,
- List six steps in behaviour-centred programming strategy,
- State one reason why we put behaviour first, and
- Name five types of activities that can change behaviour.

The word "behaviour" has been used frequently in the discussion so far, but no one has yet defined just what is meant by the term.

What makes something a behaviour? **[Acknowledge responses and write them on a piece of flipchart paper. Ensure that there is general agreement on a definition that includes the following elements: It is an ACTION. It is specific, concrete, and measurable.]**

[Change to slide 2.3.]

SLIDE 2.3

TIME: 7 minutes

Please take a careful look at these words. Which of them would you define as a behaviour? Why these? **[Acknowledge responses.]**

[Change to slide 2.4.]

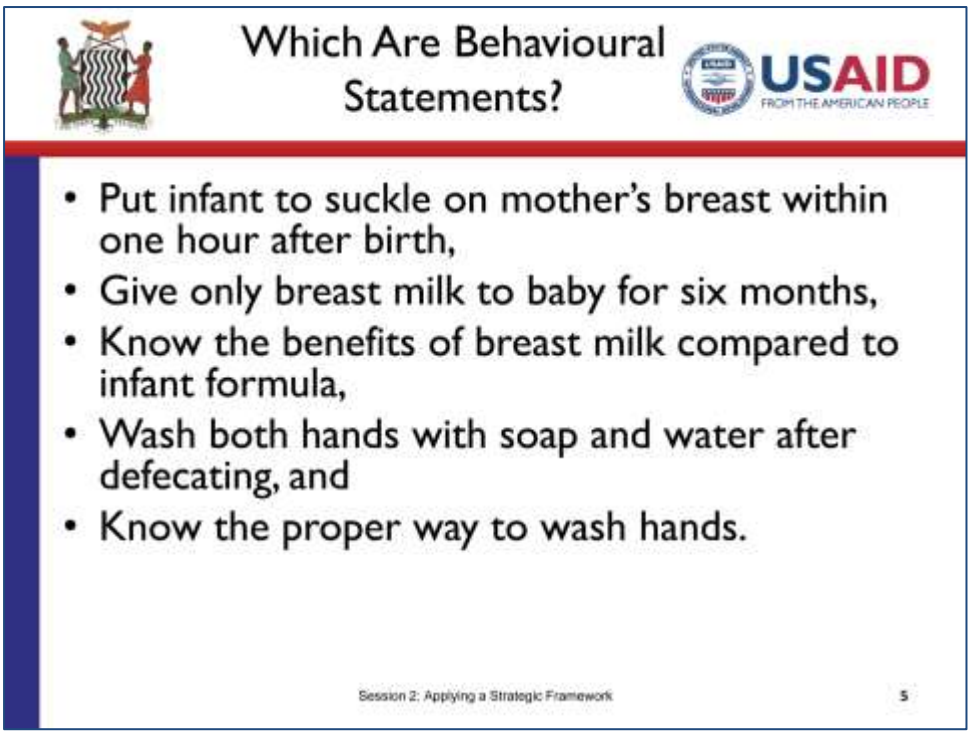
SLIDE 2.4

TIME: 6 minutes

Here you will see that wash, attend, participate, explain, feed, and put are all behaviours, while think, feel, and know are NOT behaviours.

Does anyone disagree with this selection? Why? **[Acknowledge responses.]**

[Change to slide 2.5.]

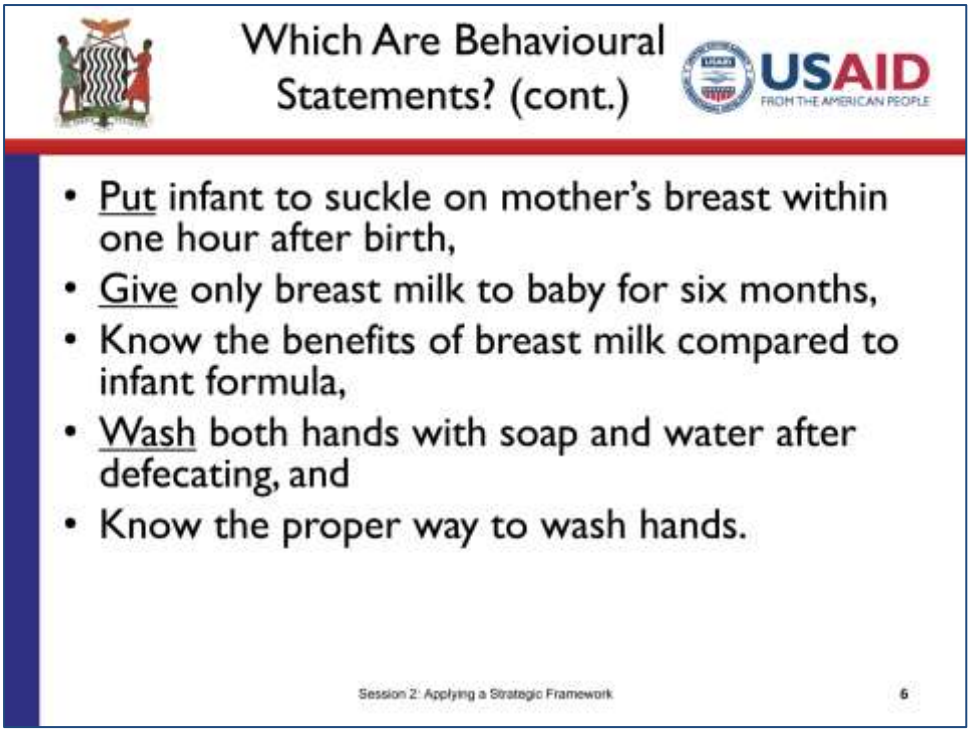


SLIDE 2.5

TIME: 6 minutes

Which of these statements are behaviours and which are not? Why? **[Acknowledge responses.]**

[Change to slide 2.6.]



SLIDE 2.6

TIME: 10 minutes

You'll see that the statements that begin with "put," "give," and "wash" are identified as behaviours. These statements contain behaviours because they describe concrete, measurable actions, whereas the other two statements describe internal processes that cannot be measured or observed unless an action is carried out. For example, you cannot measure whether someone KNOWS how to do something unless the person either tells you how to do it or, better yet, shows you how to do it. Therefore, "know how to" is not measurable and, therefore, is not a behaviour.

Why should we put behaviours first? **[Acknowledge responses.]**

Individual and collective behaviours are critical to ensuring an intended health outcome. For example, for newborn health and nutrition, a key behaviour is breastfeeding—more specifically, immediate breastfeeding. The behaviour entails a mother (or midwife or mother-in-law) putting the baby to the breast to begin suckling within an hour after birth.

Behaviours are the "bottom line" in health programmes. Simply having the knowledge is not enough—there is a gap between knowing something and doing the right thing about it or even knowing HOW to act on it. The ACTION is what makes a difference in the health outcome. For example, knowing that breast milk is the best source of nutrition for young

children will not directly affect health; however, immediate and exclusive breastfeeding will!

The word "strategy" is also one that we frequently discuss but rarely define. Can I have two to three volunteers to define what the word "strategy" means as it relates to health communications? **[Acknowledge responses and take notes on the flipchart.]**

Does anyone have any comments on these definitions of a strategy in health communications? Anything you would add or take away? **[Acknowledge responses.]**

[Change to slide 2.7.]

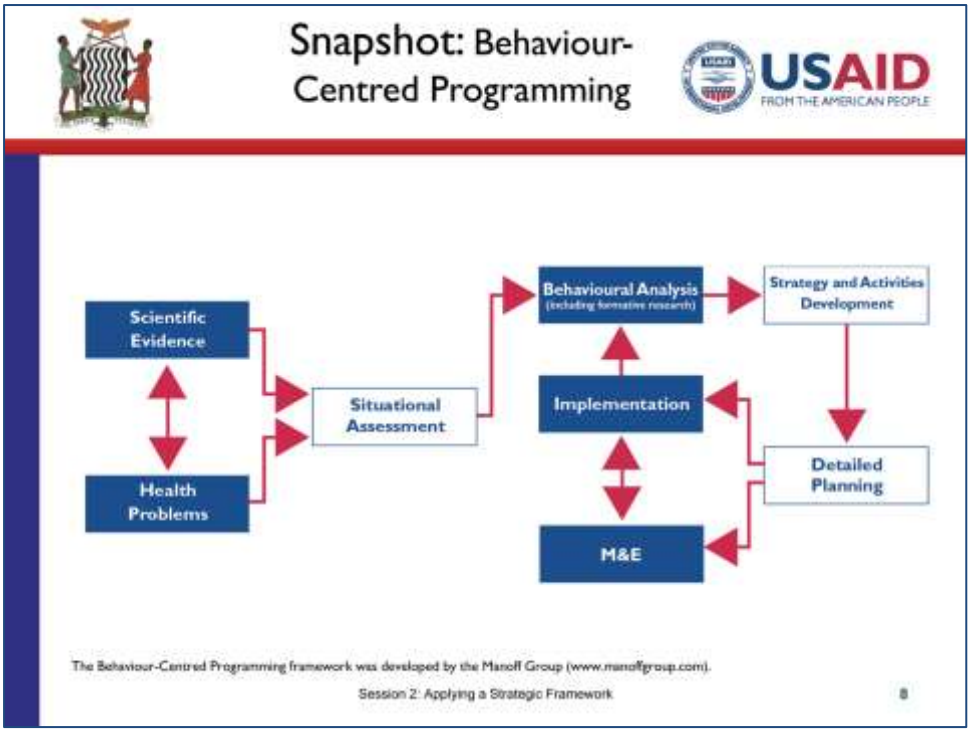
SLIDE 2.7

TIME: 6 minutes

How is this definition different from the one we have identified? **[Acknowledge responses.]**

A strategy is a plan to achieve a particular goal or result. It is driven by evidence, includes multiple but tightly integrated channels as well as stakeholder groups, and has a focus on impact (both evaluation of impact and use of a process in which the target audience is not just a passive recipient, but also has a voice in creating the direction of the communication.) It should help ensure that programme activities and communication messages are "on strategy" and not merely planners' personal ideas.

[Change to slide 2.8.]



SLIDE 2.8

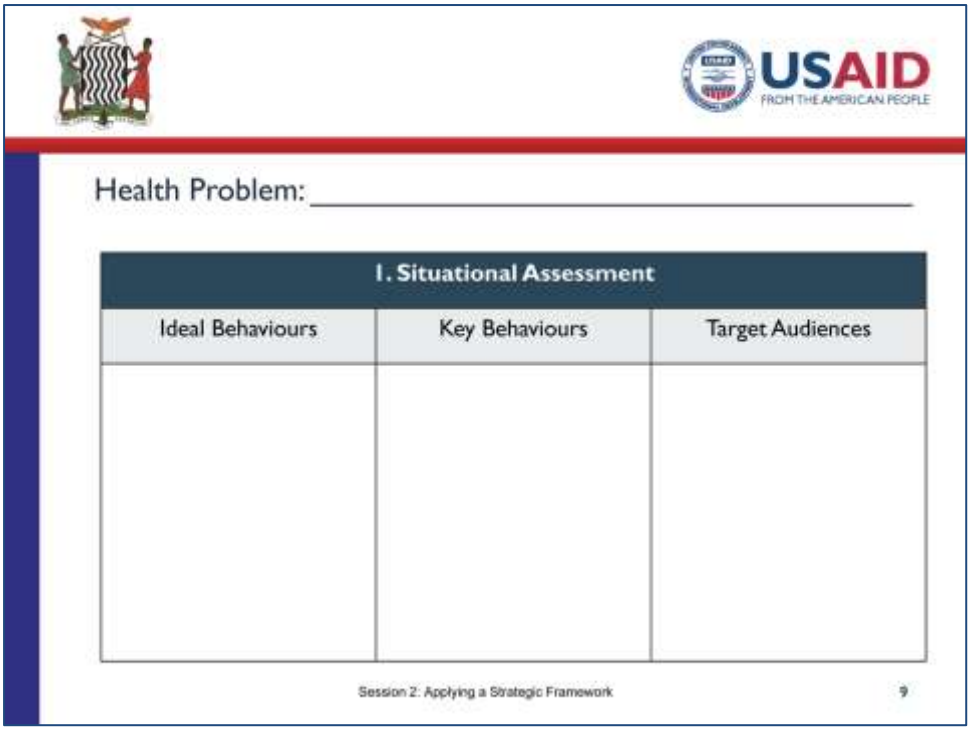
TIME: 4 minutes

The process that we are about to review in this training is simply a way to think about, organise, and plan health communications that takes into account the most current thinking about information, education, and communication (IEC) and behaviour change, and behaviour change communications. We are building upon other approaches, such as the "P-Process" that was introduced to many health communications experts in Zambia by Johns Hopkins University. We want to be clear that we are not asking people to completely discard their previous approaches if they have found them to be useful in developing EFFECTIVE health communications but, rather, to consider what we will be reviewing as a way to expand or build upon these other approaches.

Please take a look at the Behaviour-Centred Programming diagram on this slide. This diagram represents all of the various steps you will go through in developing an intervention.

Please refer to this diagram as we move on to the next slides that show more detail on each of the steps.

[Change to slide 2.9.]

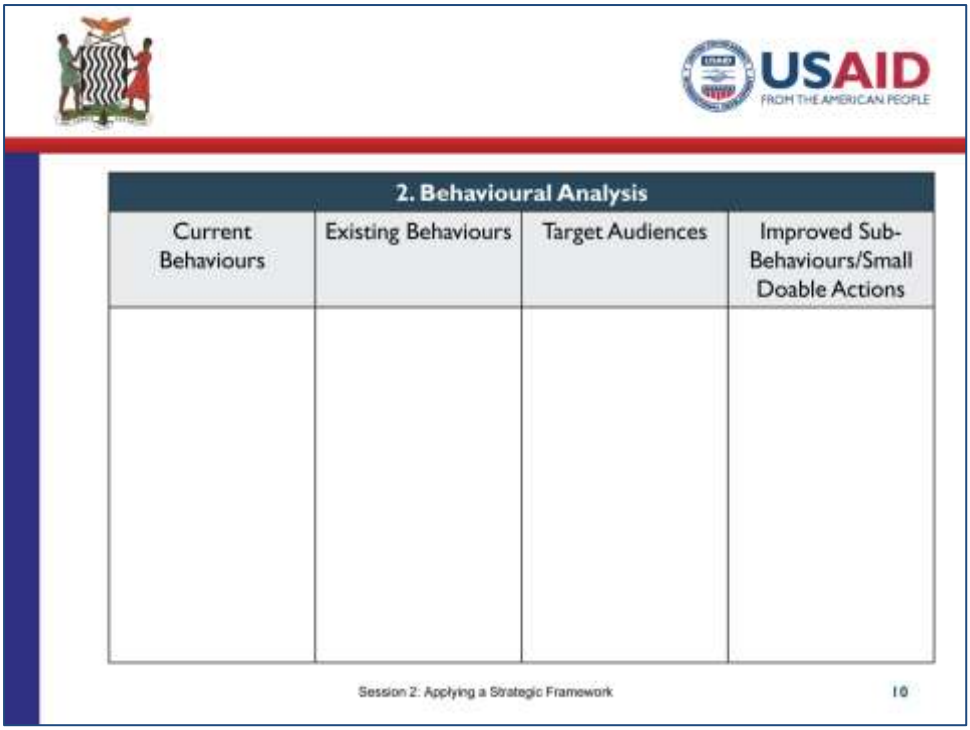


SLIDE 2.9

TIME: 2 minutes

You will first identify a health problem and then do a situational assessment, which consists of looking at the scientific evidence to determine a list of ideal behaviours, then choosing priorities from those ideal behaviours to determine the key behaviours, and then making an initial determination of who might be the target audiences.

[Change to slide 2.10.]



SLIDE 2.10

TIME: 3 minutes

The next step is to conduct a behavioural analysis that consists of research on those key behaviours to really understand them—Are people already doing them? Why or why not? What barriers exist? What motivations exist to people practicing them? Are there any improvements people can make that will help get them closer to the ideal than they currently are, even if it doesn't get them all the way? These questions are only illustrative of the kind that will be asked. You will go into much more detail later in the training on how to come up with questions you need answered, how to answer them, and how to use the answers.

[Change to slide 2.11.]

SLIDE 2.11

TIME: 2 minutes

Once analysis of the behaviours in question is complete, you can then move on to defining the programme by clearly stating a programme goal, determining your behavioural objectives, and narrowing down the identity of the final target audience.

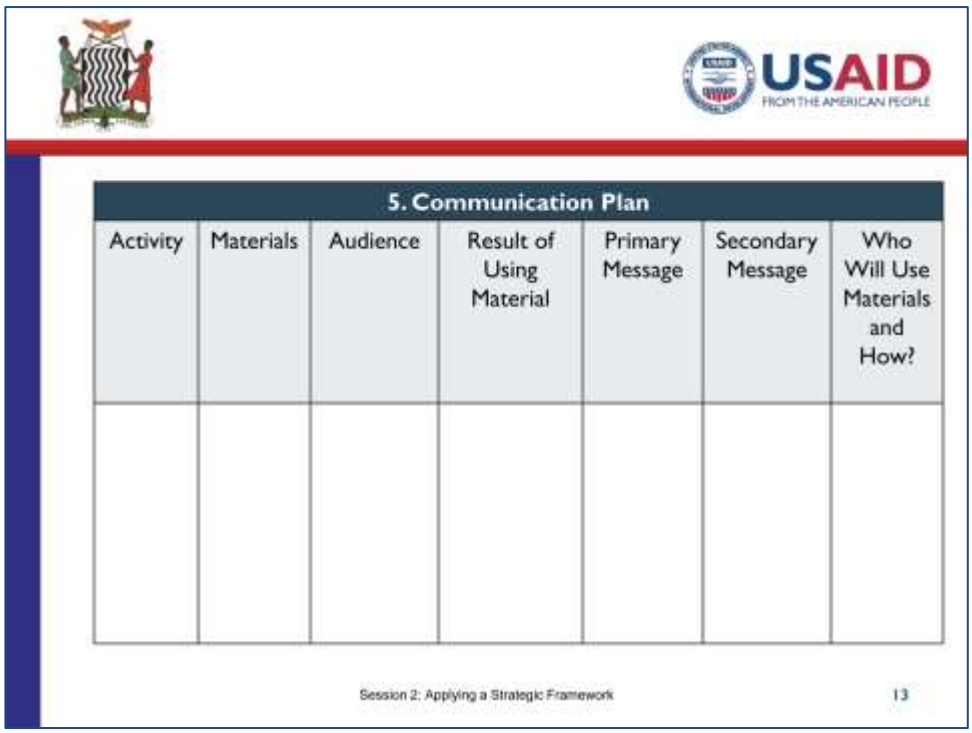
[Change to slide 2.12.]

SLIDE 2.12

TIME: 2 minutes

The next step is to develop the strategic activities for the programme, including planning for communications (by which we mean behaviour change communications such as interpersonal communications, posters, campaigns, and theatre) and also conducting other activities like community mobilisation, training and capacity building, and logistics.

[Change to slide 2.13.]

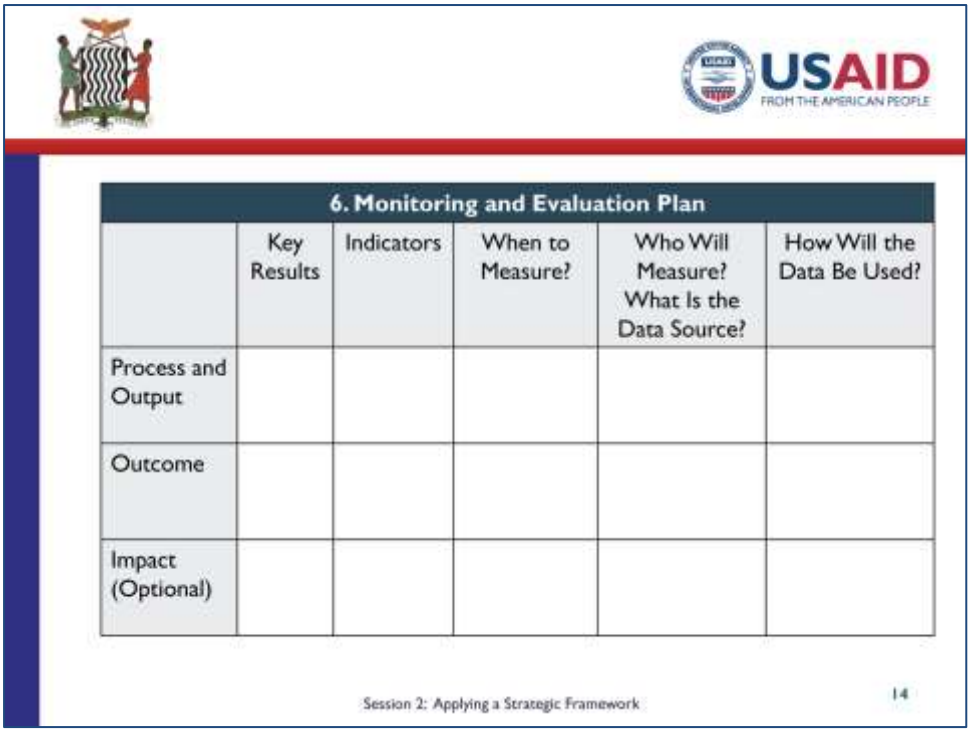


SLIDE 2.13

TIME: 2 minutes

The next step in the planning process is to take the Communication column from Section 4 of the Behaviour-Centred Programming Strategy matrix and expand it to create the communications plan, which helps define exactly what materials (such as posters, drama performance scripts, and radio spot scripts) need to be developed to accomplish the communication activities. Review the Communications Plan matrix.

[Change to slide 2.14.]



6. Monitoring and Evaluation Plan

	Key Results	Indicators	When to Measure?	Who Will Measure? What Is the Data Source?	How Will the Data Be Used?
Process and Output					
Outcome					
Impact (Optional)					

Session 2: Applying a Strategic Framework 14

SLIDE 2.14

TIME: 3 minutes

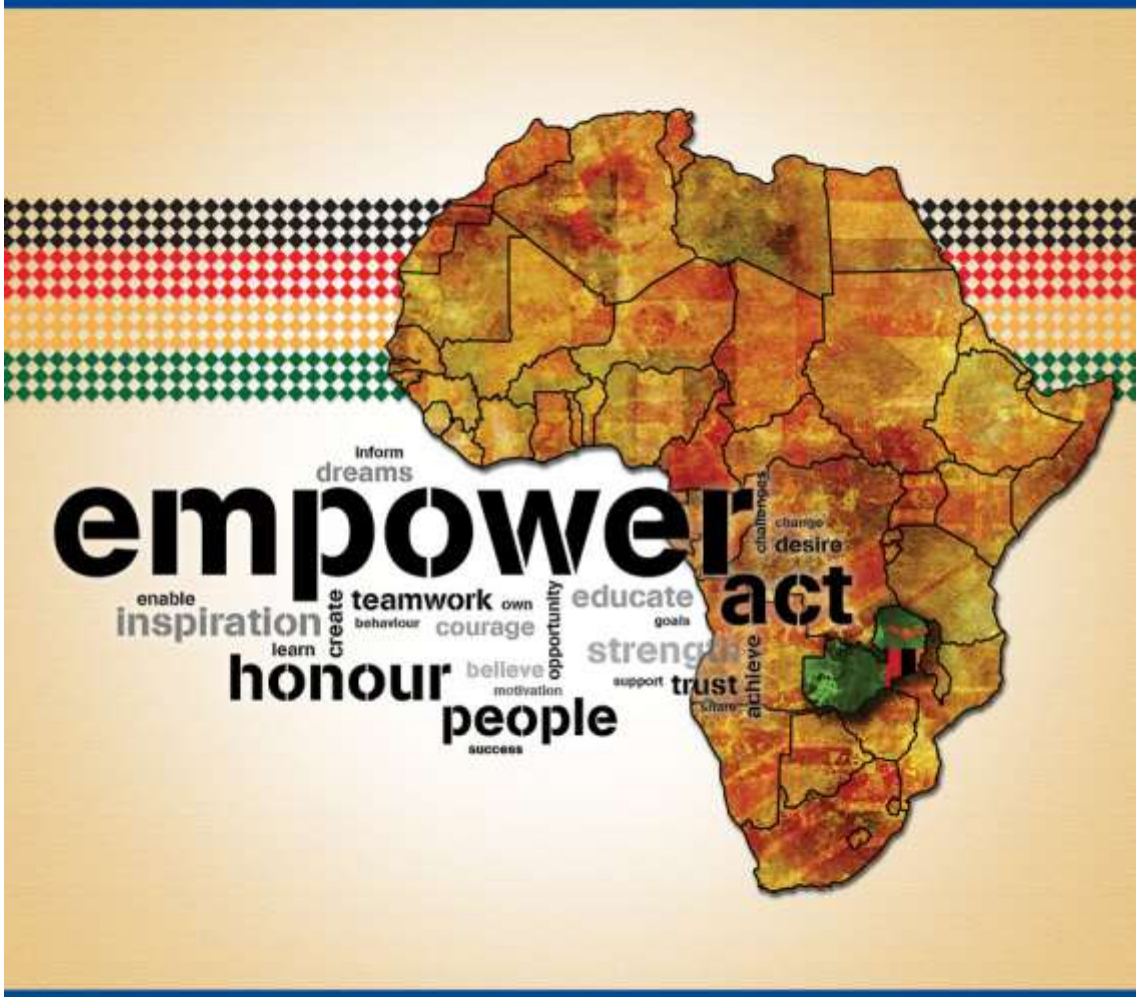
The final step in the planning process is to create a Monitoring and Evaluation (M&E) plan. The M&E plan helps you focus on exactly what you will be monitoring and evaluating, who will be collecting the data, where they will be collecting the data, and how the data will be used. It is important to be clear that M&E needs to be planned from the very beginning of the process and carried out throughout the life of your intervention.

Please refer to the quick guide on your CD-ROM when you have a chance for further guidance on behaviour-centred programming.

Now, let's take a 30-minute break for some tea.

[End the session and break for tea.]

SESSION 3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dreams
empower
enable
inspiration
create
teamwork
own
behaviour
courage
learn
honour
believe
motivation
opportunity
educate
goals
strength
support
trust
share
achieve
challenges
change
desire
act
people
success

Session 3:
Defining Formative Research

TIME: 75 minutes

PURPOSE:

- To establish a common understanding of the importance of formative research and the purpose of a research plan.

OBJECTIVES:

- To define formative research,
- To describe the purpose of a formative research plan, and
- To list the main sections of a formative research plan.

METHODOLOGIES:

- Lecture
- Questions and answers
- Small-group exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart and markers
- Sticky notes

KEY DISCUSSION POINTS

- Assess the participants' concept of and purpose for formative research and try to establish a common understanding based on the curriculum;
- Stress the need for formative research in developing campaigns to ensure that the campaigns effectively address the common motivators and barriers to healthy behaviors; and
- Highlight the critical need for a comprehensive research plan that includes the information outlined in the curriculum. Incorporate any personal experiences or lessons learned related to the importance of the plan, as appropriate.

SLIDE 3.1

TIME: 3 minutes

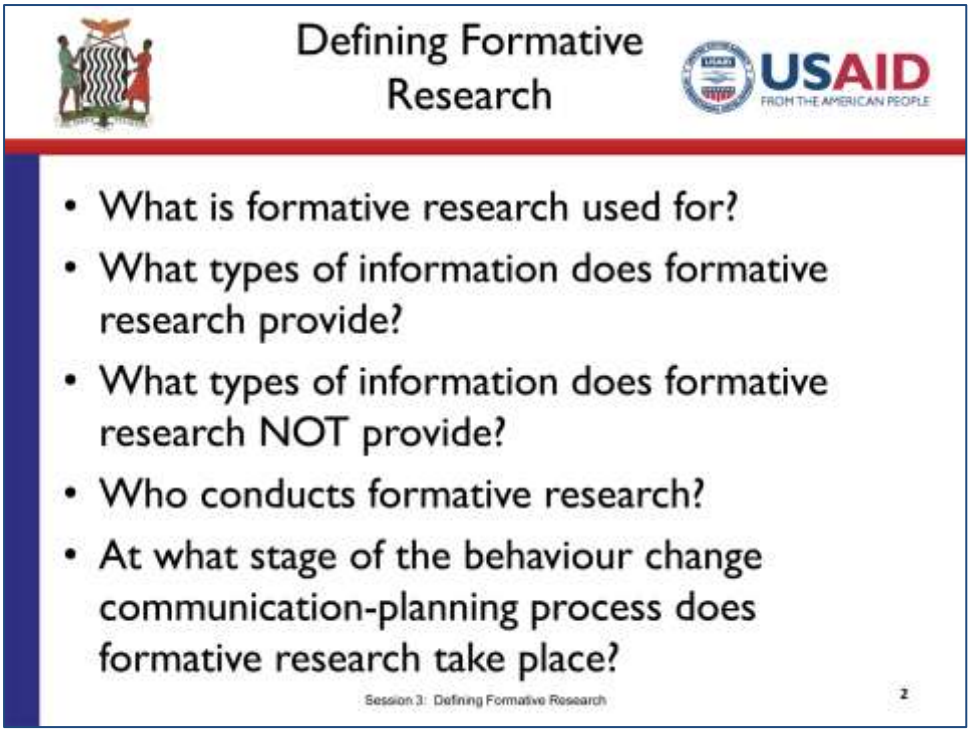
[Once the participants have taken their seats, start the session.]

In this session, we will be discussing the definition of formative research, determining for what and how this type of research can be used, and presenting a framework for planning formative research.

How many of you would say you are familiar with the term "formative research"? I'm guessing that at least a few of you are interested in formative research, or you wouldn't be here. Can I have a volunteer to give me an idea of what we mean by formative research? **[Acknowledge responses.]**

Anyone else? What do we mean when we say formative research? **[Acknowledge responses.]**

[Change to slide 3.2.]



SLIDE 3.2

TIME: 20 minutes

One way I've found helpful to understand the idea of formative research is to look at it from several different angles. That's what we're going to do now. I'd like you to break into groups of three again and discuss the following questions:

[Read points on the slide.]

I know these questions could take a long time for us to discuss, but for right now I'm going to limit us to about five to seven minutes. That's only about a minute or so per question, so see how many of these questions you can get through.

[Allow participants to break into groups. After about seven minutes, continue with the presentation.]

OK—now that you've had the chance to discuss this in your small groups, let's see what types of answers you came up with. We'll go through the questions one by one. I'd like a lot of input here, as I'm sure that many of you have different ideas.

First off:

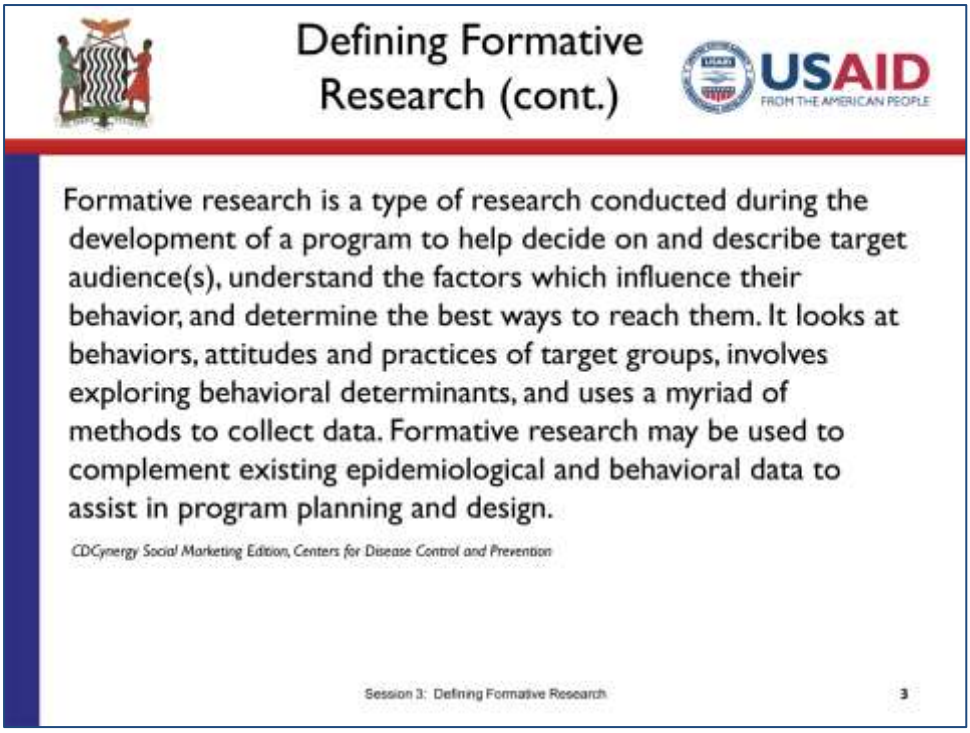
- What is formative research used for?

What did you come up with?

[Ask for volunteers. If none are forthcoming, select someone and ask what his or her group came up with. After several responses, proceed to the next question, asking what the groups had discussed.]

- What types of information does formative research provide?
- What types of information does formative research NOT provide?
- Who conducts formative research?
- At what stage of the behaviour change communication-planning process does formative research take place?

[Change to slide 3.3.]



SLIDE 3.3

TIME: 3 minutes

Here's one definition of formative research that was put together by the Centers for Disease Control and Prevention (CDC) in the United States.

Can I have a volunteer to read this slide for us? **[Select volunteer.]**

That covers a lot of ground, doesn't it? Let's break that down a little.

[Change to slide 3.4.]

SLIDE 3.4

TIME: 3 minutes

Formative research can help you with some very specific objectives.

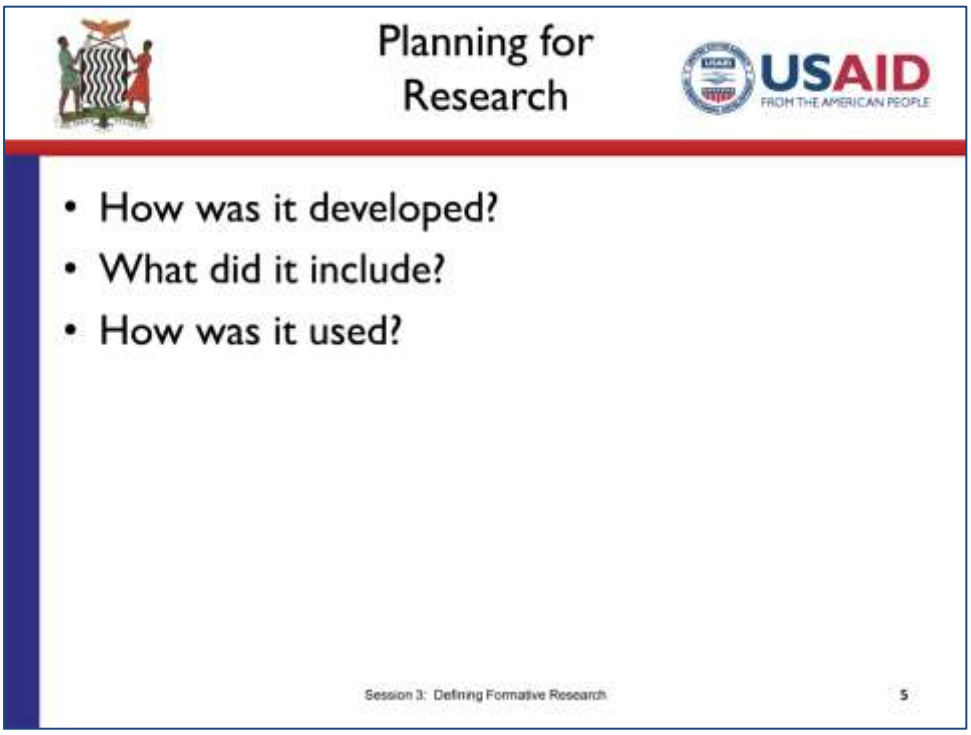
It can help you understand motivators and barriers to desired behaviours. What makes people do what they do? Why are some behaviours that are so good for us so very difficult to convince people to take up?

Formative research can help you create messages and programmes that are specific to the needs of the community. There are a lot of behaviour-change programmes out there, and a lot of informational programmes, too. But, unless you understand the barriers and motivators *in your specific area*, formative research won't help you to adopt someone else's programme. You could be copying a programme that worked wonderfully in some other place, but if it does not address the barriers and motivators in your catchment area, there is a very high likelihood that you will be wasting your money.

Formative research can help ensure that messages and programmes are appropriate, acceptable, and feasible. I'm sure we can all think of behaviours that may be ideal but are just so difficult that hardly anyone puts them into practice. You need to do some research before you begin your programme to find out whether the behaviour you are promoting is possible for most of the people you want to target.

That brings us to our last point on this slide: Formative research can help you define your target audience or audiences, determine how best to reach that audience with your message, and identify how frequently you will need to deliver that message to them.

[Change to slide 3.5.]



SLIDE 3.5

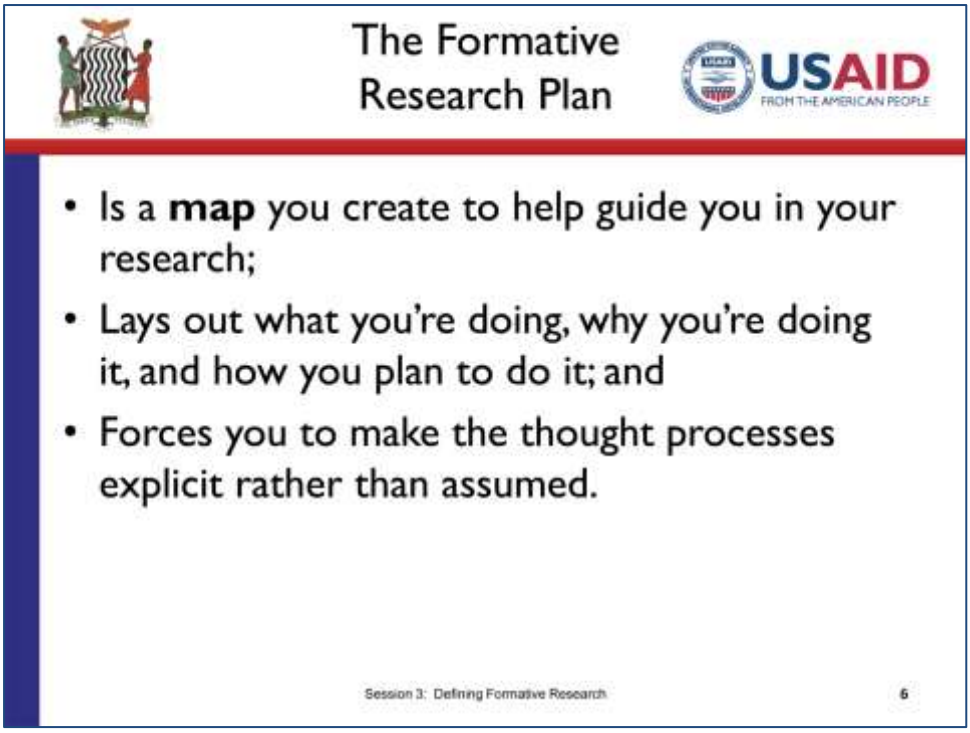
TIME: 5 minutes

Like many things in life, if formative research is going to be done well, it needs to be done in a systematic way. This means you need to plan for it.

I know from your introductions that some/many of you have conducted formative research in the past. How many of you have prepared a formative research plan? I'd like to hear from you about the process of developing the plan, the types of things you included in your plan, and the ways it was used. **[Acknowledge responses and probe as necessary.]**

We will be discussing the formative research plan in-depth during this workshop. We'll be using it as a framework from which to better understand formative research methodologies and the process of planning, conducting, and managing the formative research.

[Change to slide 3.6.]



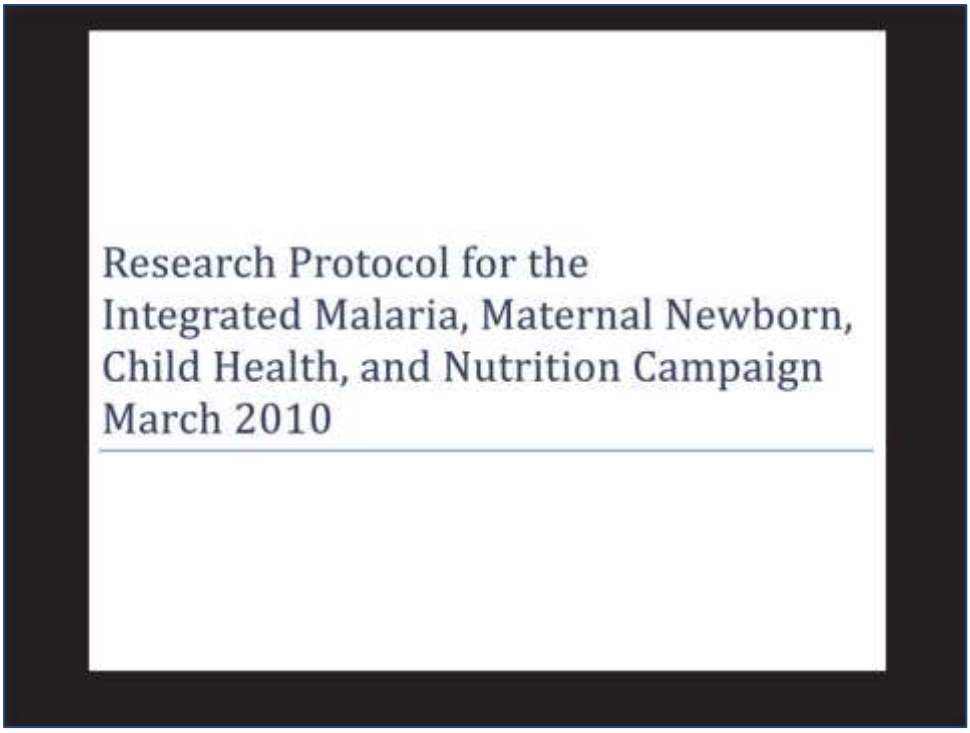
SLIDE 3.6

TIME: 2 minutes

The formative research plan can be looked at as a map you create to help guide you in your research. It lays out the process you are going through in your research so that everyone has the same understanding of the goals of the project.

I don't know about you, but I've been on some trips where we thought we knew where we wanted to go and why we were going there, but apparently we didn't communicate very well. We ended up either lost or having different ideas of what we were supposed to be doing once we got to our destination. Writing out a formative research plan forces you to lay out your objectives so that there are fewer chances for assumptions that can be confusing for everyone involved in the project. It forces you to make your thought processes explicit rather than assumed.

[Change to slide 3.7.]

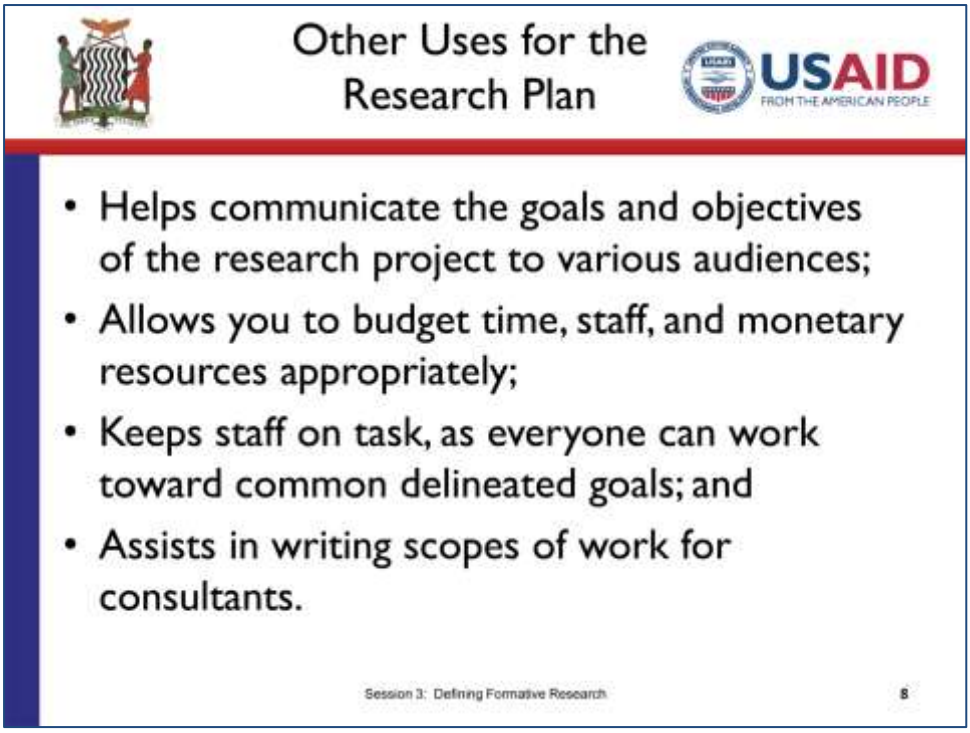


SLIDE 3.7

TIME: 1 minute

There is an example of a research plan on your CD-ROM. Please be sure to use to it as a reference after the workshop.

[Change to slide 3.8.]



SLIDE 3.8

TIME: 6 minutes

As I was talking about in the previous slide, having a formative research plan forces you to think through decisions for the research from start to finish. This is very helpful when it comes time to communicate the goals and process of the research to someone else. This could be to other in-office staff, your donor, other partners, the Ministry of Health, community leaders, or an ethics review board.

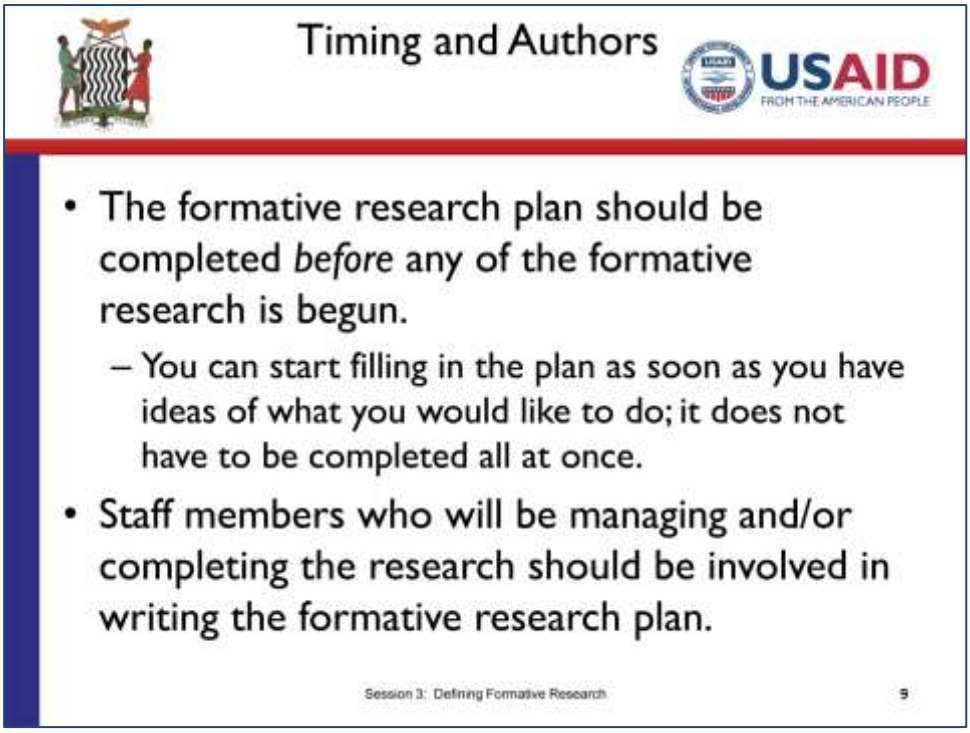
Knowing what resources you need to complete the research and reach your goals allows you to budget time, staff, and money appropriately. Doing your research plan well will help you tremendously in managing all of these processes.

Once your staff time has been budgeted, the formative research plan can also help keep staff on task—everyone should be clear on his or her role in the process and the goals to which you are working. This helps in developing the research tools (if you all know what your research questions are, this should help to minimise staff trying to add additional, unrelated questions into the instruments), as well as your analysis, since you know how to prioritise the information you find.

A well-written research plan can also help you in hiring and writing scopes of work for consultants. Both you and they will know what you hope to accomplish in the research.

[If appropriate] I know we have several people here who have worked on formative research plans. What experiences have you had with them? What other ways have you used a formative research plan, other than what we have already mentioned?

[Change to slide 3.9.]



SLIDE 3.9

TIME: 5 minutes

Now that we have an idea of what a formative research plan is and how it can be helpful to you in managing your programme, let's get into when it should be written and who should write it.

This first point is very important: The formative research plan should be completed BEFORE any of the formative research is begun. This means before you have sent anyone out to the field to recruit participants and definitely before you interview anyone. It is important to define your research questions and decide how you are going to answer those research questions before you send people out into the field to begin any type of research. There are several reasons for this. One is related to budgets—I don't know of many projects that have the money to conduct unnecessary research. You certainly don't want to waste any of your precious resources conducting research that half of your team (or your partners or donors) considers unnecessary.

A second reason has to do with ethics review boards. We'll get into this much more in-depth later, but I'll give you the summary now. Unfortunately, there have been researchers in the past who have not been very ethical in their research. They conducted research in a way that harmed people or took advantage of them. In part because of this, any research conducted with money from the U.S. government has to be approved by something called an Institutional Review Board, frequently called an IRB. Many research organisations in the

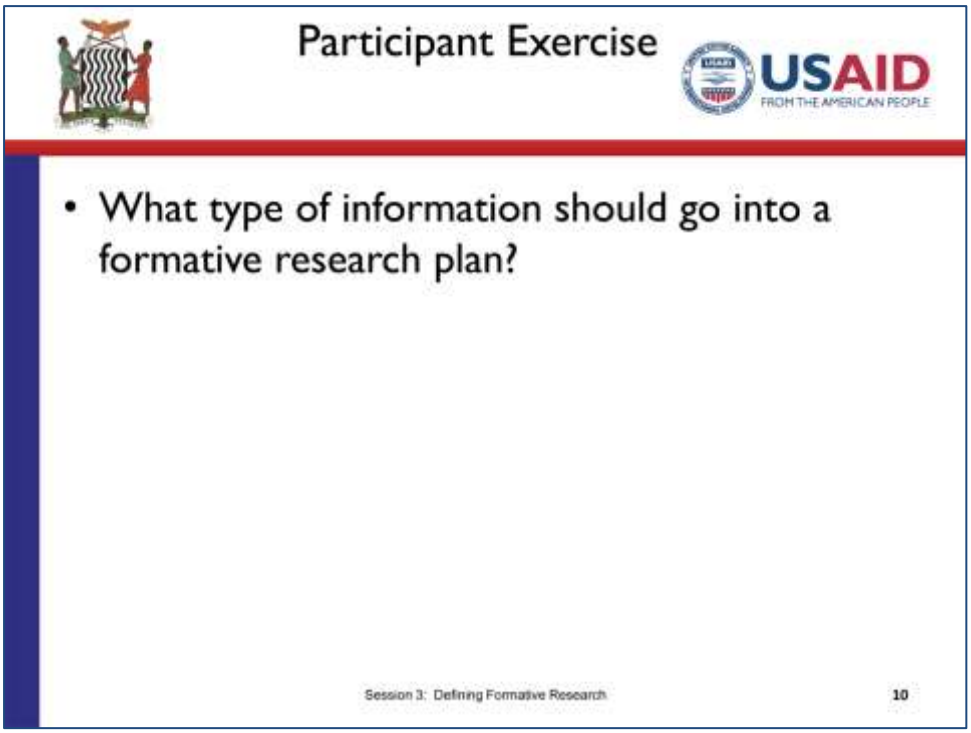
United States have their own IRBs. The IRB reviews the research protocols, the research questions, and the methodology to make sure that people are not being harmed or taken advantage of. *If research is conducted without IRB review, the company managing the programme can have its funding revoked.* If that happens, your project could come to an immediate, screeching halt.

I know that writing out a complete plan can seem intimidating. You don't have to write the plan all at once. During this workshop we're going to go through a formative research plan outline and talk about the various sections and what should go into them. You can start with this outline and fill it in little bits at a time, as soon as you have ideas of what you would like to do.

The outline also makes it possible for you to assign different sections to various staff members who will be involved in the research itself. We highly recommend that staff members who will be managing and/or completing the research also be involved in writing the formative research plan. This will help staff members to think through the process and become familiar with the goals and the process of the research you will be conducting.

So, let's talk about the different elements of the research plan itself.

[Change to slide 3.10.]



SLIDE 3.10

TIME: 20 minutes

[Distribute sticky notes.]

We'll go more in-depth about the contents of a formative research plan in the next session. But, right now I'd like us to brainstorm a bit on the types of information that should go into a research plan.

We're passing around some sticky notes. I would like each of you to take about five minutes to jot down the types of information that you think should be included in the plan. Write each type of information on a separate piece of paper. If you need more paper, just raise your hand and we'll bring some over to you.

[Allow five minutes for groups to complete the exercise. End the exercise earlier than five minutes if it appears that all of the groups have completed the exercise.]

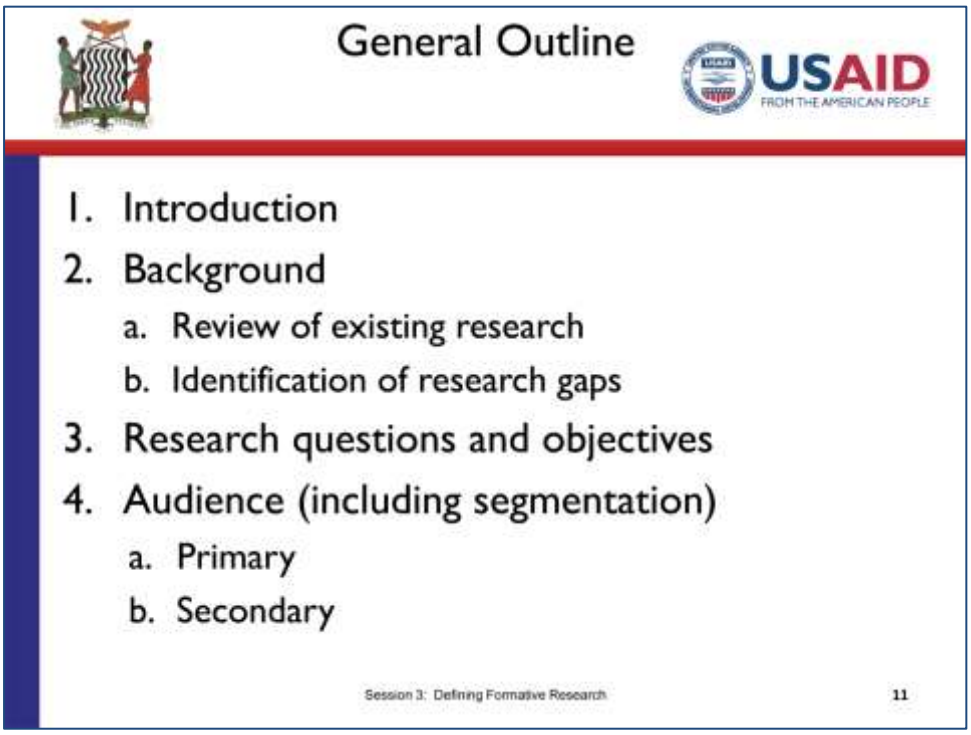
OK—it looks like our five minutes are up. Let's look at what we came up with. Let's start over here. **[Indicate the front/back/side of the room.]** Can you please read what you have on your sticky notes? Why don't you come up here? As you read them, please stick them on a different section of this flipchart paper we have here in front.

Who's next? **[Indicate next person.]** What do you have for potential content in a formative research plan? Please read them out loud for us. If you have something similar to what **[Insert the name of first participant.]** already has up here, go ahead and put your sticky note next to his/hers so that we're starting to group responses.

[Continue exercise as above.]

It looks like we've got a lot of content up here! Let's go through the formative research outline that we put together and see how the two lists compare.

[Change to slide 3.11.]



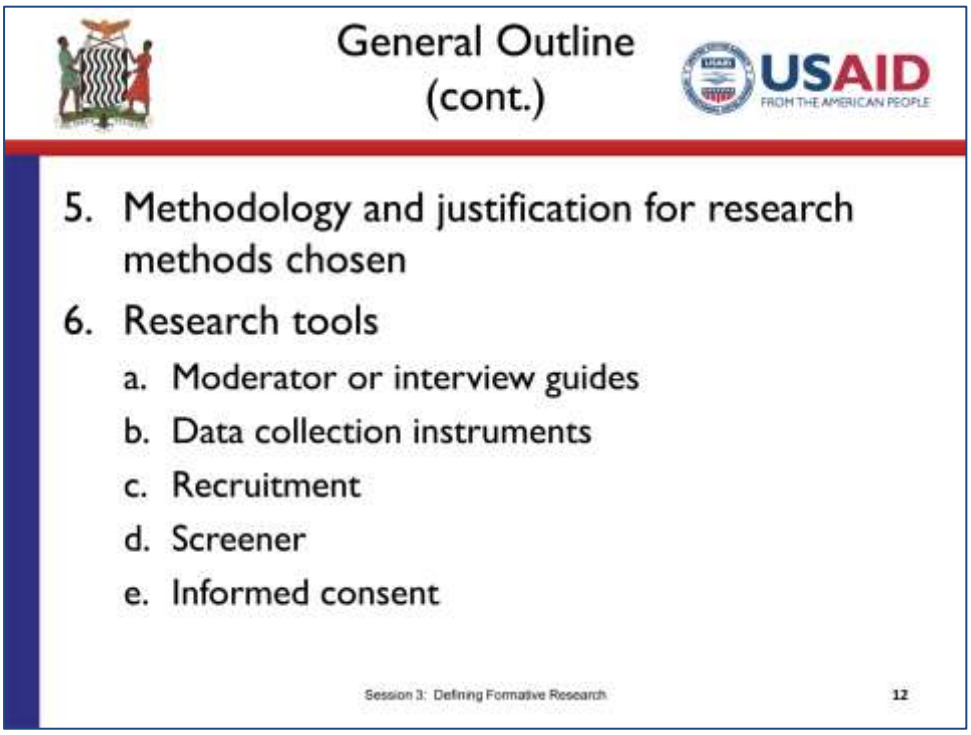
SLIDE 3.11

TIME: 1 minute

This is the first page of our general outline. We will get into the specifics of each of the sections later, but for now let's just review the major headings. You may want to open your booklets so that you can follow along and also so that you can see the outline in its entirety rather than broken up across several slides.

[Read this and the next two slides.]

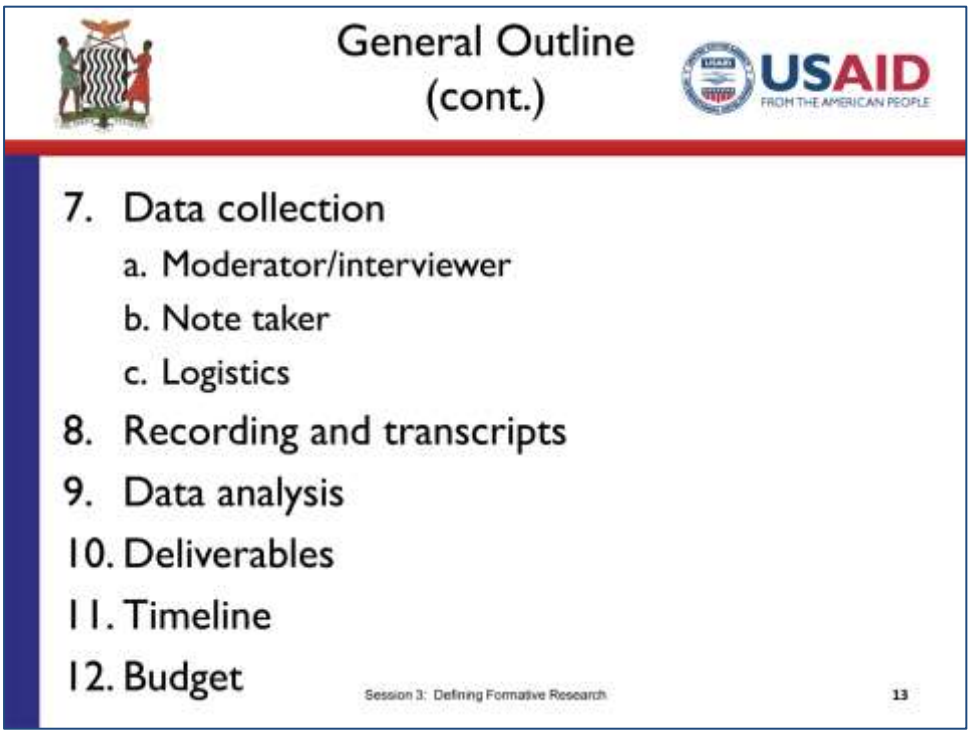
[Change to slide 3.12.]



SLIDE 3.12

TIME: 1 minute

[Read the slide. Change to slide 3.13.]



SLIDE 3.13

TIME: 5 minutes

So what do you think? How did this outline compare to our grouping of sticky notes over here? **[Acknowledge responses.]**

Was there anything missing from this outline that was captured on the sticky notes? **[See if anything is mentioned and if it is, whether it falls into one of the general outline sections.]**

Is there anything missing from our sticky-note outline that is included in the general outline on the slides?

[If anything is missing:] Why do you think it might be important to include that information in a formative research plan? Does anyone have any questions about the information covered in this session?

[Answer participant questions or ask other participants to answer the questions.]

Thank you so much for your participation this morning—We're going to take a break for lunch.

[End the session and provide instructions about lunch locations(s) and options, as well as what time to be back for the next session.]

Energiser 1:
Where in the World?

TIME: 30 minutes

PROCESS:

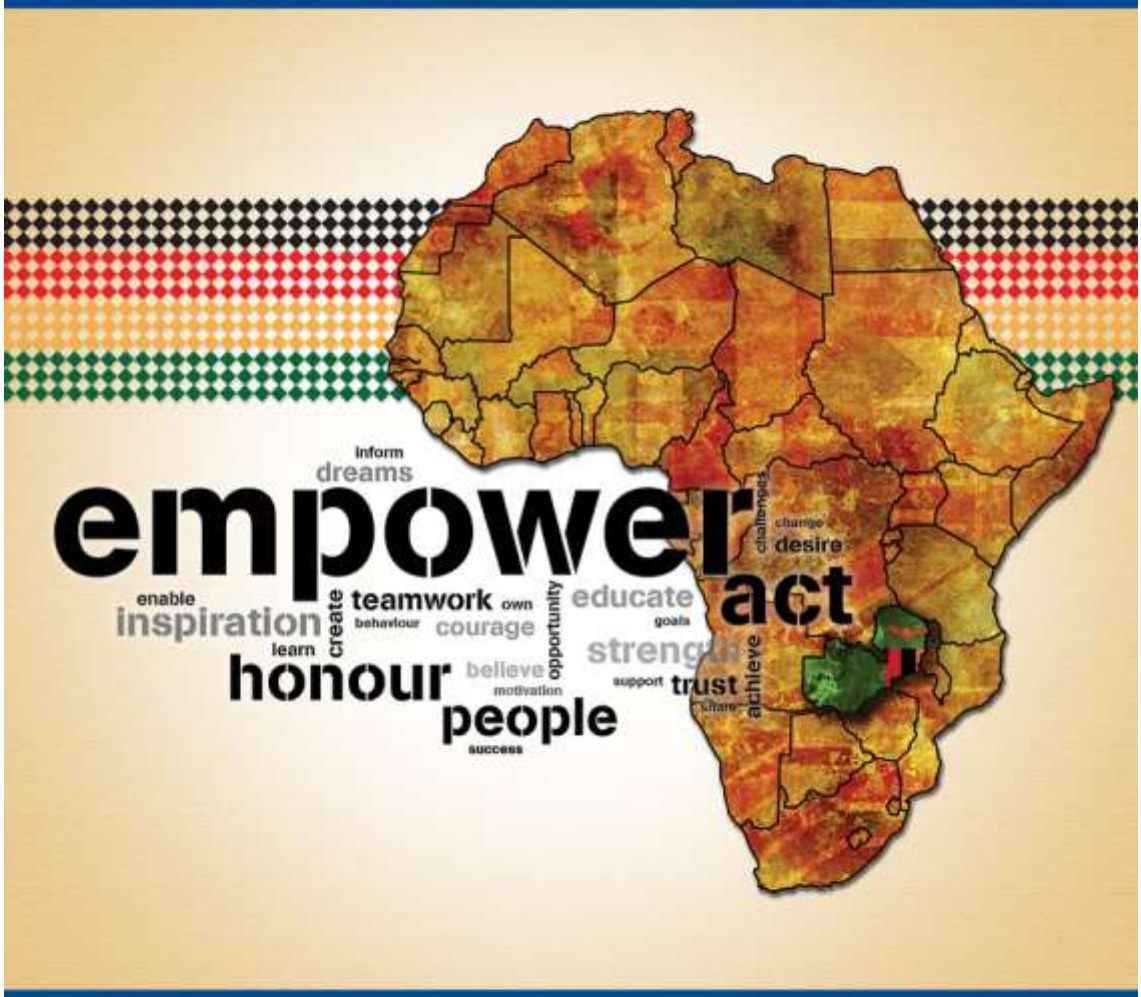
1. Ask each participant to think of three clues that describe, but do not reveal, a place they have dreamed of visiting. One of the clues must be a physical motion.
2. Allow five minutes for participants to think of their clues.
3. Ask each participant to reveal his or her clues. The rest of the group must guess where in the world they are describing.

ENERGISER 1

TIME: 4 minutes

[Follow the instructions on the previous page.]

SESSION 4


inform
dreams
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challenges
change
desire
act
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inspiration
create
teamwork
own
behaviour
courage
opportunity
educate
goals
learn
honour
believe
motivation
support
trust
share
achieve
people
success

Session 4:
Foundations of the Formative Research Plan

TIME: 120 minutes

PURPOSE:

- To provide detailed guidance on how to develop the background and research questions and objectives sections of the formative research plan.

LEARNING OBJECTIVES:

- To describe the content of the introduction and background sections of a formative research plan,
- To explain the importance and process of developing research questions and objectives, and
- To write research questions and link them to research objectives.

METHODOLOGIES:

- Lecture
- Questions and answers
- Large-group exercise
- Scenario exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart and markers
- Tape

KEY DISCUSSION POINTS

- Check with participants to make sure they understand how to create research questions. If necessary, offer to go over any part of this process with participants individually during one of the breaks.
- Emphasise that the safe motherhood scenario is meant to be a realistic example of the steps they would need to take to conduct formative research. Ask participants to think about their experiences in conducting research. Do they foresee any challenges in developing a plan for the scenario? What strategies do they recommend to address the challenges?

SLIDE 4.1

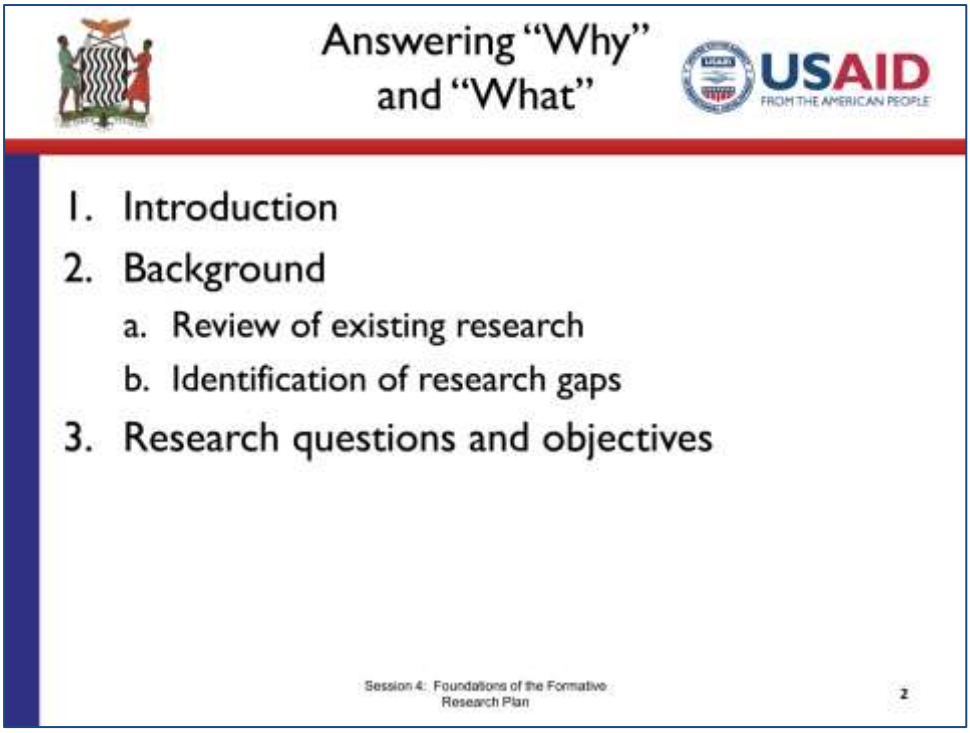
TIME: 1 minute

[Once the participants have taken their seats, start the session.]

As I mentioned in the previous session, we're going to be looking closely at the various sections of the formative research plan to help us better understand the formative research process.

In this session, we will be looking at the foundations of the formative research plan. These are the introductory sections that help to answer the questions "Why are we doing this research?" and "What exactly are we researching?"

[Change to slide 4.2.]



SLIDE 4.2

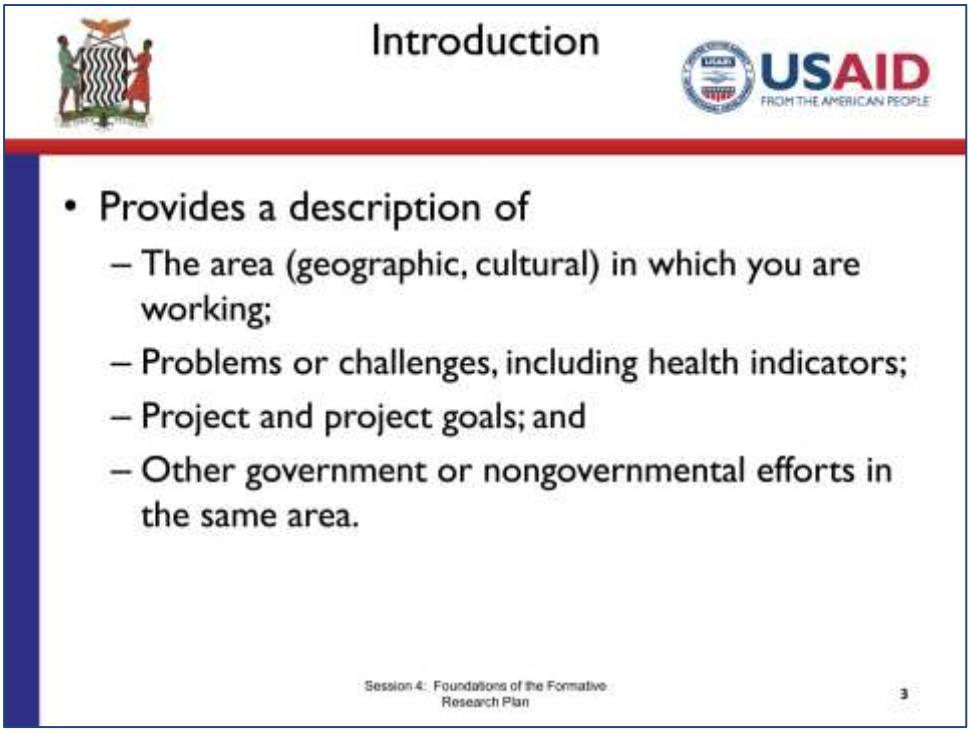
TIME: 2 minutes

In this session, we will look at three particular sections of the research plan: First, the introduction, then the background and, finally, the research questions and objectives.

The very first section in the formative research plan is the introduction. What do you think should be the aim of the Introduction section? What types of content do you think would be included in an introduction?

[Pause to allow for participant response; acknowledge responses.] Thank you. What else do you think should be included? **[Acknowledge responses.]**

[Change to slide 4.3.]



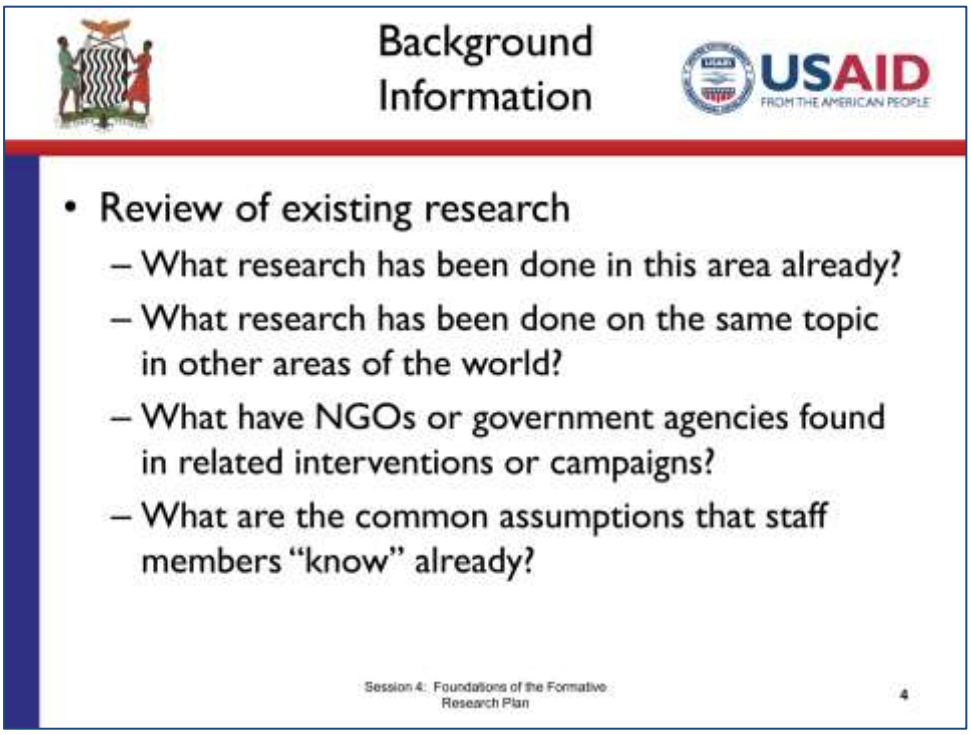
SLIDE 4.3

TIME: 1 minute

The types of things (or content) that we typically include in our introductory sections are

- A description of the area (including geographic and cultural aspects) in which you are working;
- A description of the problem or challenges the area or your project is facing, including health indicators;
- A description of the project and project goals; and
- A description of other government or nongovernmental organisation (NGO) efforts in the same area. It's a good idea to establish whether you are the only group working in the area you have described or if you are working in partnership with others.

[Change to slide 4.4.]



SLIDE 4.4

TIME: 4 minutes

You will also want to include a Background section. This covers two critical areas—a review of existing research and an identification of research gaps.

A review of existing research shows that you have looked at what might already be out there. After all, why should you go to the time and effort to do this research if someone else has already done it and provided the answers to your questions? That would not be a good use of time or funds.

A Review of Existing Research section should include answers to the following questions:

- What research has been done in this area already?
    - For example, if you are working on a malaria project, what research has been done on malaria in your project area?
    - What research has been done on the same topic in other areas of the world?
    - You may want to replicate the studies in your geographic area.

- What have NGOs or government agencies found in related interventions or campaigns?
    - You (and they) may find it helpful to pick up where they left off.
- What are the common assumptions that staff members "know" already?
    - I'm guessing that, if your project staff have worked in the intervention area that you are targeting, they know a lot about the subject already. We don't want to discount that knowledge . . . however, without testing it you don't know whether those assumptions are true. You may wish to make the case that certain things have been "common knowledge" among staff, and that you want to test these assumptions. After all, those assumptions might be correct for a certain segment of the population, but not for others.

This research may or may not be in the published literature. It's always a good idea to start there, but you will also want to use your contacts to find out who has done similar projects and to ask them what research they used or did for that project. This type of research is what is known as "grey literature." This term refers to papers, reports, technical notes, or other documents produced and published by governmental agencies, academic institutions, and other groups that are not distributed or indexed by commercial publishers. Many of these documents are difficult to locate and obtain, but they may be just what you need.

Sometimes the effort you take in this section can yield some surprising results. Can anyone give me an example of some surprising research you discovered while preparing a formative research plan? **[Acknowledge responses.]**

[Change to slide 4.5.]

SLIDE 4.5

TIME: 30 minutes

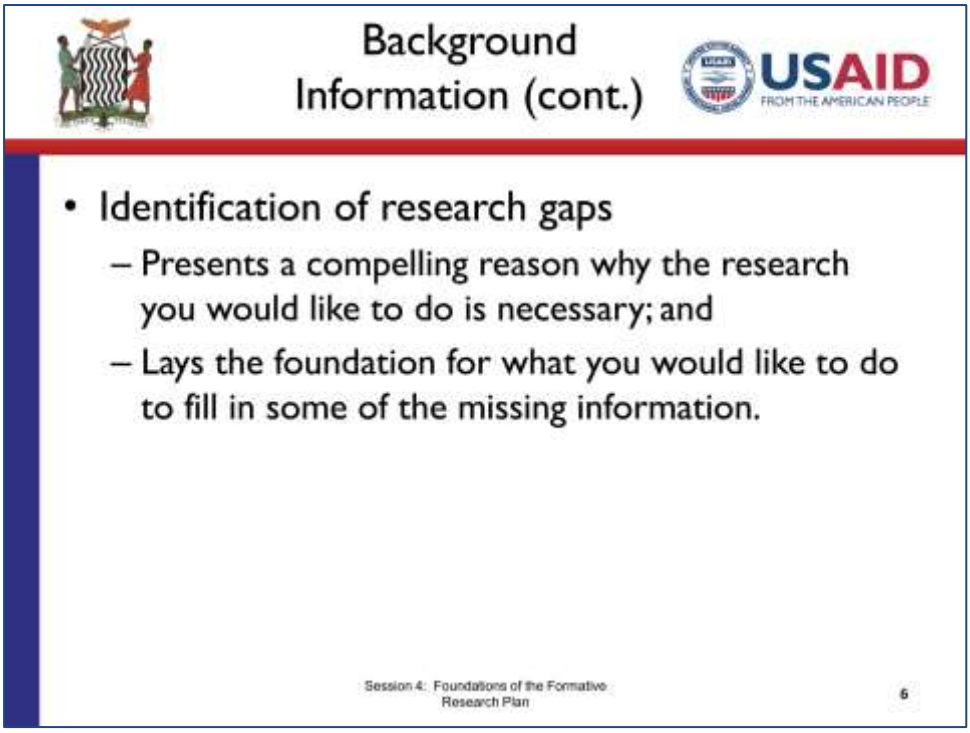
I'd like you to break up in groups of **[three or five]** and spend a few minutes talking about your experience in identifying existing research. What successes have you had? I'll give you about 10 minutes.

[Allow 10 minutes for groups to complete the exercise. End the exercise earlier than 10 minutes if it appears that all of the groups have completed the exercise.] Now that you've had the opportunity to discuss your successes, I'd like you to discuss some of the challenges you have come across. If you have found a way to address any of those challenges, please discuss those as well.

I'll give you about 10 minutes again, and at the end of the 10 minutes I'd like one person from each group to report back to the rest of us on what you've discussed. **[Allow 10 minutes for groups to complete the exercise. End the exercise earlier than 10 minutes if it appears that all of the groups have completed the exercise.]**

Which group would like to go first? **[Allow each group to report on what it discussed.]**

[Change to slide 4.6.]



SLIDE 4.6

TIME: 5 minutes

Once you have reviewed the existing research, you can identify whether there are any research gaps that justify conducting your formative research. This is ideally where your research would fit in. Say, for example, that much research has been done on insecticide-treated mosquito nets and how to get people to purchase them, but there has been little research on how to get people to re-treat those mosquito nets once a certain period of time has passed.

By presenting what has been done and the gaps in the research, you are providing a justification for what you would like to do.

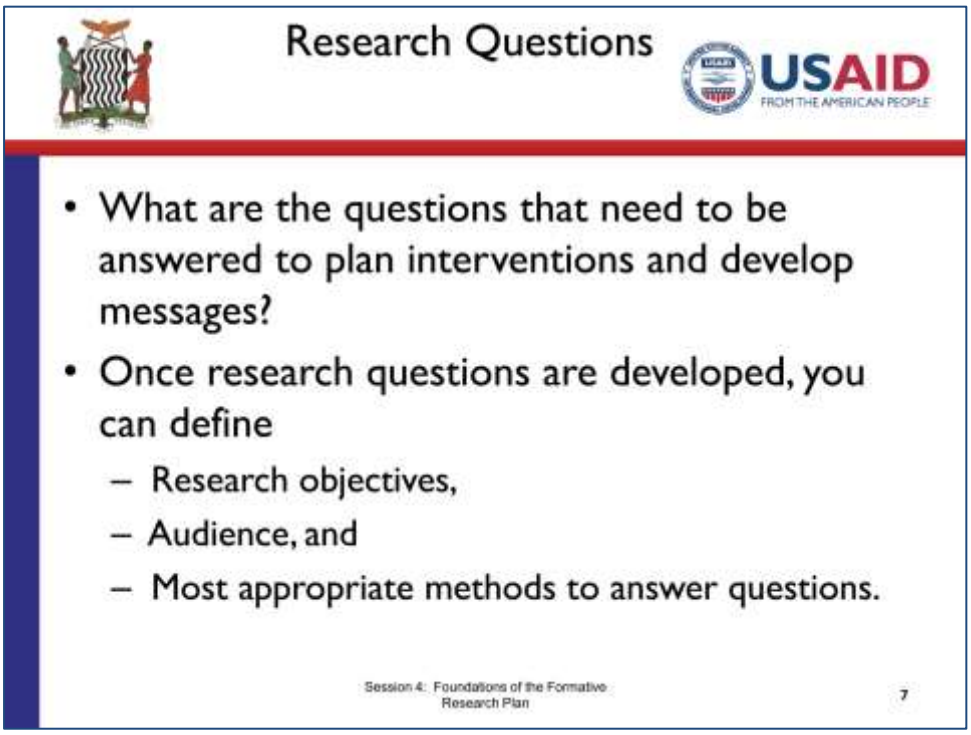
Your goal is to present a compelling reason why the research you would like to do is necessary. The background information lays out the problem. The Review of Existing Research section begins to lay out what has already been done to address the problem and lays the groundwork for what you would like to do to fill in some of the missing information. After all, why would the government or donors pay for you to do this research if someone else has already done it?

Maybe much research has already been done on mothers and what motivates them to breastfeed, but no one has really looked at the influence of grandmothers and their attitudes on breastfeeding. In some areas of the world, what the grandmothers say has a great influence on birth plans and child feeding. If you can show that this is an area that has not been explored and might have an impact on the behaviour you want to affect, you have your justification for doing your research.

What types of research gaps have you identified while preparing formative research plans? Can anyone give me some examples? **[Acknowledge responses.]**

I encourage you to take a look at one of the handouts on your CD-ROM. It's a list of resources for research that could inform the background section of your research plan.

[Change to slide 4.7.]



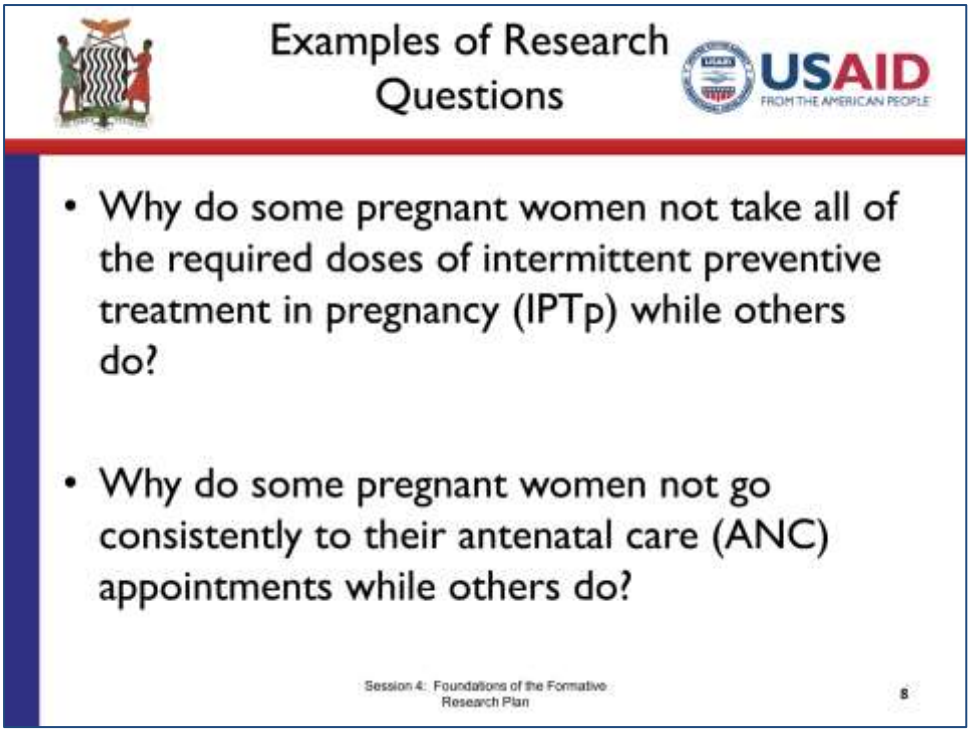
SLIDE 4.7

TIME: 1 minute

Now that we have answered why we want to conduct a formative research study, we need to define what we will study. Developing research questions helps define what information we need in order to plan interventions and develop messages and materials.

Research questions are what link the existing research and gaps in research to the research objectives. You will use the research questions to help determine your research objectives and the most appropriate methods to answer your questions, as well as your target audiences. We'll get more into research objectives later so that you can see how the two interrelate.

[Change to slide 4.8.]



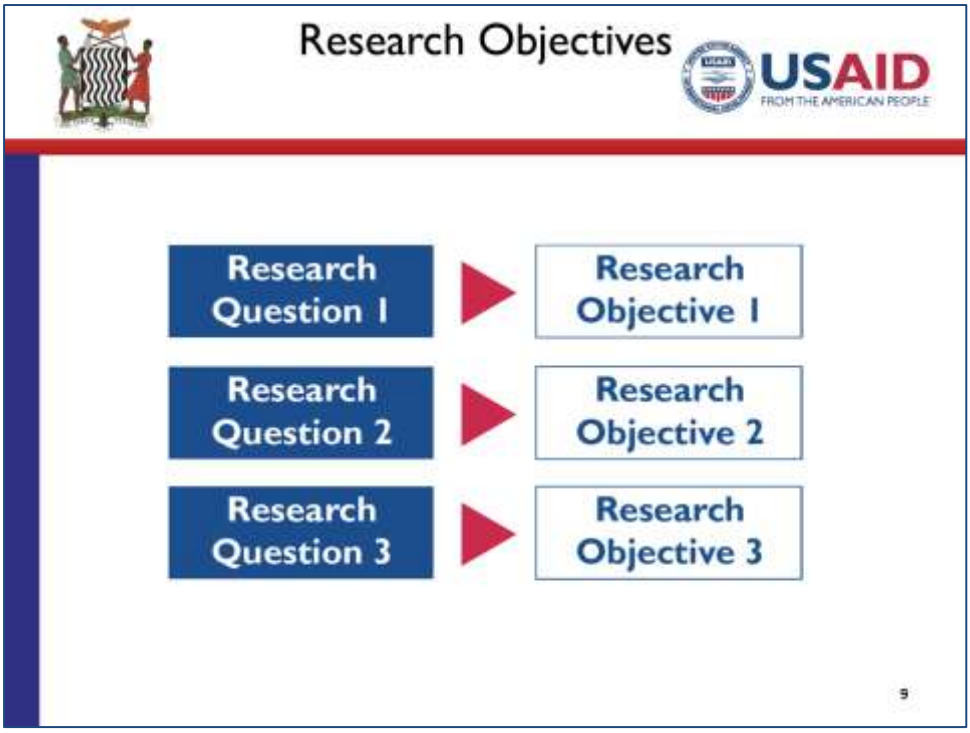
SLIDE 4.8

TIME: 5 minutes

Research questions are actual questions that you still need to have answered to develop your intervention, even after you have reviewed the existing literature. After you have reviewed the existing literature, ask yourself: Do we have all of the information we need to develop our campaign? What do we still not know about the target audience? Do we understand the barriers the target audience experiences in performing a desired behaviour? Do we understand what factors are helpful?

Write down the questions that you still have, even after reviewing the existing research. Note: If you don't have additional questions to answer—that is, if the existing research has provided you with all the information you need—then you do not need to conduct additional research.

Here are some examples—note that since these are questions, they each end with a question mark. **[Read examples from slide 4.8.]** What other examples of research questions can you come up with? **[Write the suggestions on the flipchart as they are mentioned. If they are worded as statements, have the participants help each other reword them as questions. Change to slide 4.9.]**



SLIDE 4.9

TIME: 1 minute

Once you have a list of research questions you would like your formative research to answer, then it is easy to develop the research objectives. Each research question should have an objective that is directly linked to the research objective. The objective should clearly reflect what you're asking in the question.

[Change to slide 4.10.]

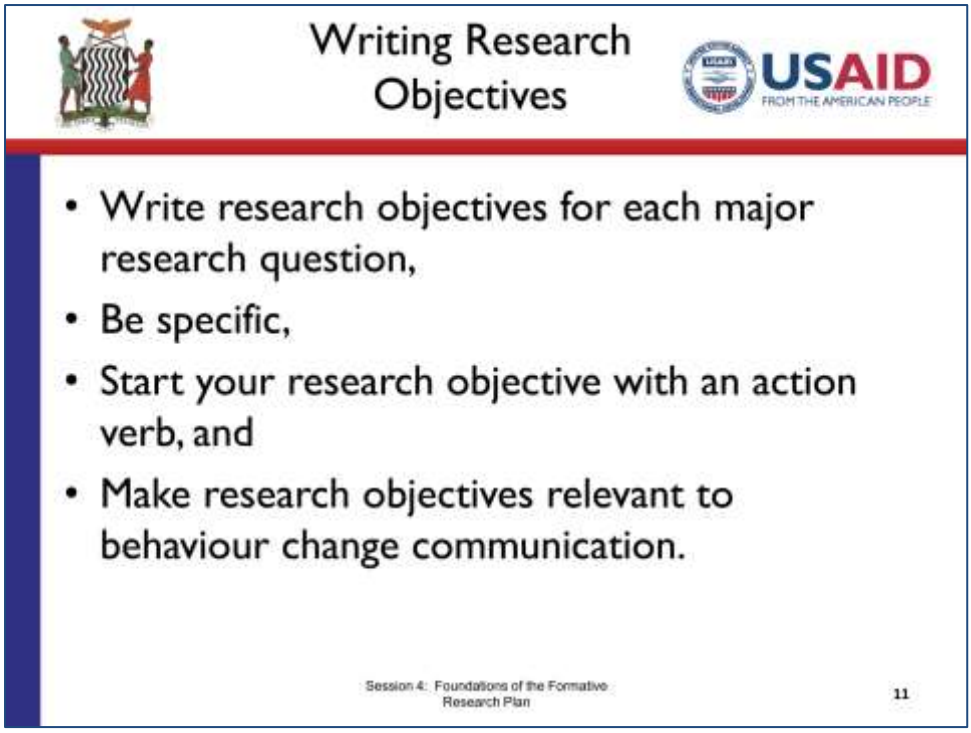
SLIDE 4.10

TIME: 3 minutes

Research objectives are a very important component of your formative research plan—being specific about what you are investigating can save you time and money by limiting effort in areas that will not help move you towards your goal of answering the specific questions you laid out in the previous step. Research objectives are closely linked to research questions.

Research objectives can be thought of as a goal statement defining what you need to do to answer your research question. For example, if your research question is, "Why do some pregnant women not take all doses of IPTp during pregnancy while others do?" your research objective may be something along the line of "Investigate barriers and facilitators for women to take all doses of IPTp during pregnancy in the _____ district of Zambia."

From the research objectives you can then decide the audience, methods, topics, and questions to be included in the instruments, how to structure the analysis, and the information that is the most important to include in your report. **[Change to slide 4.11.]**



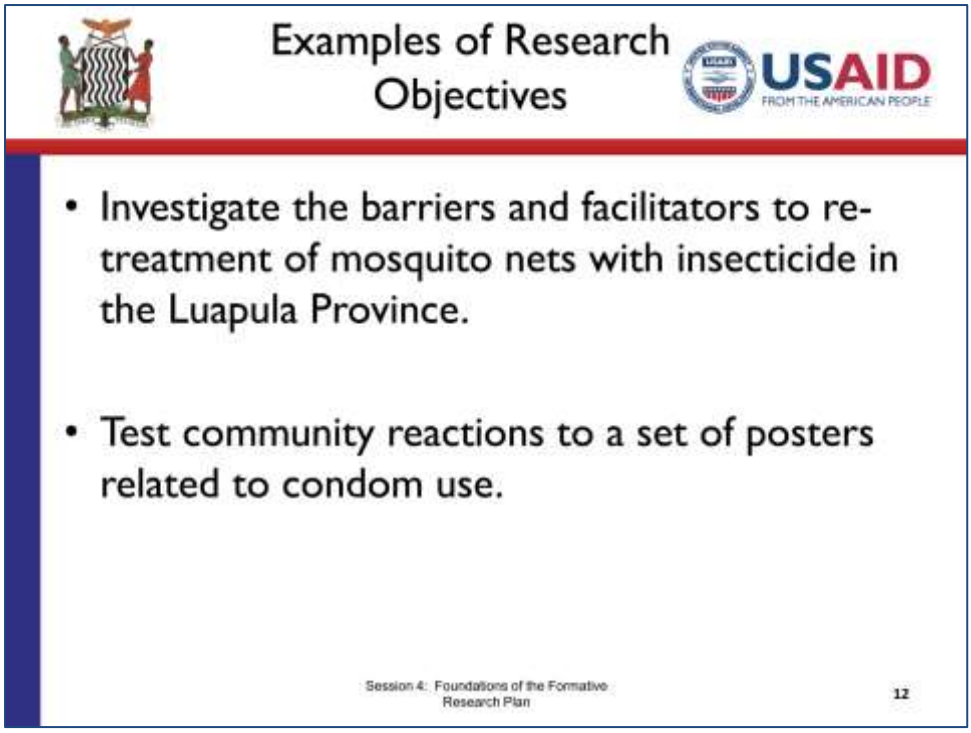
SLIDE 4.11

TIME: 2 minutes

You may have a number of research questions, and you should write an objective for each. Be as specific as you can. It's helpful if you can start your research objective with an action verb. By "action verb" I mean a word that demonstrates what you are going to do. Some examples of action verbs are

- Investigate
- Test

If you are working on a behaviour change communication project, then your research objectives should be related to behaviour change communications. For example, stating that you want to investigate the relationship between public transportation routes and women attending antenatal clinics may be very interesting. But, unless you are working on a programme to get the buses to go closer to the clinics, your findings will not be very applicable to a communications project. You could, however, state that you want to investigate what women know and feel about using public transportation if you have a goal of getting them to use the buses that already go from their village or town to the health clinics. Let's look at some examples of research objectives. **[Change to slide 4.12.]**

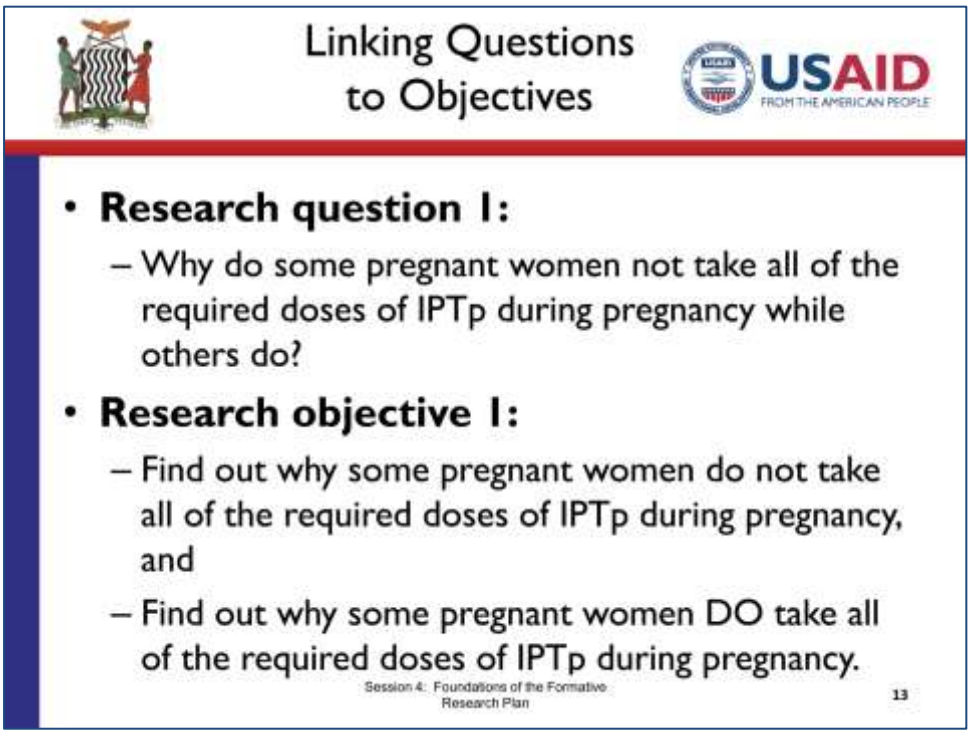


SLIDE 4.12

TIME: 1 minute

[Read the slide.]

[Change to slide 4.13.]



SLIDE 4.13

TIME: 4 minutes

Now, let's look at linking research questions to objectives. What do you think of these questions and objectives?

- What makes them specific?
- Do they start with an action verb?
- How relevant are they to behaviour change communication?

[Acknowledge responses.]

Before we continue with the rest of the session, let's take a 30-minute break for some tea.

[Once the participants have finished their break and taken their seats, restart the session.]

[Change to slide 4.14.]

SLIDE 4.14

TIME: 50 minutes

Now, please turn to page 139 of your booklet. You will see some background information on issues related to safe motherhood behaviours. We're going to use this information as a starting point for a scenario in which you'll go through different exercises preparing for a formative research study. You're going to break into groups of three or four participants to form your research group. You're going to stay in your groups for the remainder of the training. I'm going to walk around the room to help you form your groups. **[Continue with the training once the groups have been formed.]**

Now, I'd like each of the groups to take a couple of minutes to think of a name for their group.

[Allow 2 minutes for groups to name themselves.]

Going around room, what name have you selected for your group? **[Allow each group to share its name.]**

Now that you've named your groups, we're going to move forward with our exercise. Your first task is to read the background information. This should take you about 15 minutes.

[Allow 15 minutes for groups to read the background information.]

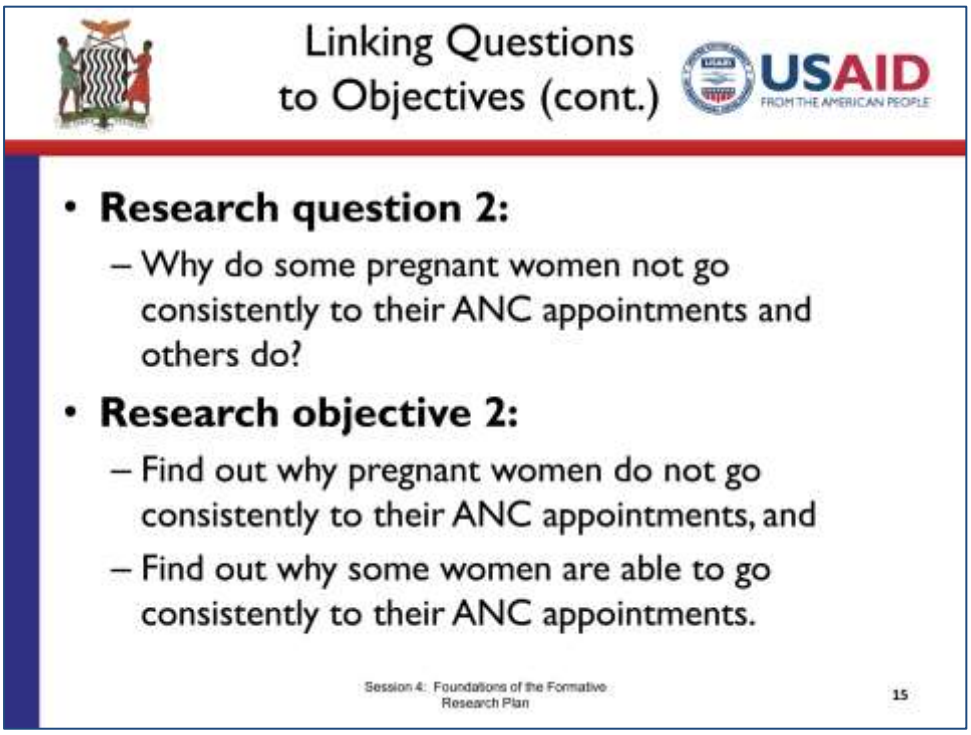
Now you're going to work with your research group to write one research question for a study that would help gather information on safe motherhood. You will then need to come up with two to three research objectives for your research question. This should take you about 20 minutes. Use the chart on page 177 of your booklet. You'll use this chart for more exercises related to this scenario.

[Allow 20 minutes for groups to complete the exercise. End the exercise earlier if it appears that all of the groups have completed the exercise. Make sure to walk around the room and check with the groups to see if they need help with defining their research question and objectives—they will be building on these for the following scenario exercises.]

Which group would like to volunteer to report their results first?

[Acknowledge and write responses on a flipchart. Designate a flipchart sheet for each group. The flipchart sheets should be taped to the wall for writing the results from subsequent scenario exercises. Once all of the groups have reported their results, ask the whole group to comment on the results and revise the research questions and objectives based on what the whole group thinks is best. The discussion should take about 10 minutes.]

[Change to slide 4.15.]



SLIDE 4.15

TIME: 5 minutes

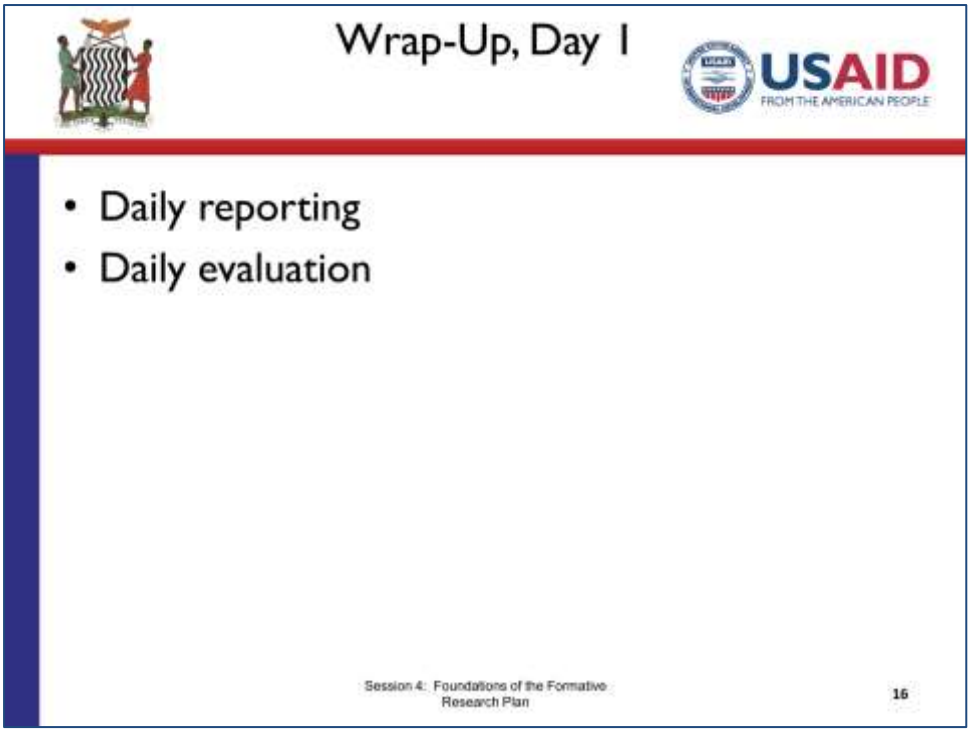
Thank you everybody for your ideas on research questions and objectives for our safe motherhood scenario. Here is another example of a research question and objectives for the scenario. How about this research question and its objectives?

- What makes them specific?
- Do the objectives start with an action verb?
- How relevant are they to behaviour change communication?

[Acknowledge responses.]

Please review other sample research questions and objectives on page 143 of your booklet when you have a chance. Does anyone have any questions about the information we covered in this session? **[Answer questions or ask other participants to answer the questions.]**

[Change to slide 4.16.]



SLIDE 4.16

TIME: 5 minutes

As I mentioned in the introduction, tomorrow morning we will have a group summarise the major points from today's sessions. Can I get a group to volunteer for that? We'll only need you to take about five minutes to help us remember what we learned today.

While you are thinking about that, I also have some evaluation forms for you to fill out. These evaluations are anonymous. We do this so that we know if we are going too fast or too slow, or if we need to take more time to cover certain subjects in greater detail.

[End the discussion and move on to the daily evaluation.]

Administrative Task 3: Day One Evaluation

TIME: 15 minutes

PROCESS:

1. Explain that the purpose of the daily evaluation is to gather feedback on Day One of the training. Tell participants that the training team will meet in the evening to discuss the daily evaluations and will make decisions to alter the training for the following days, as feasible.
2. Distribute the daily evaluation forms.
3. Tell participants that they will have five minutes to complete the form.
4. Remind participants not to write their names on the form.
5. Ask participants to turn their forms face down when completed.
6. Collect all completed forms and store them to review later.

MATERIALS:

- Daily evaluation forms
- Pens or pencils

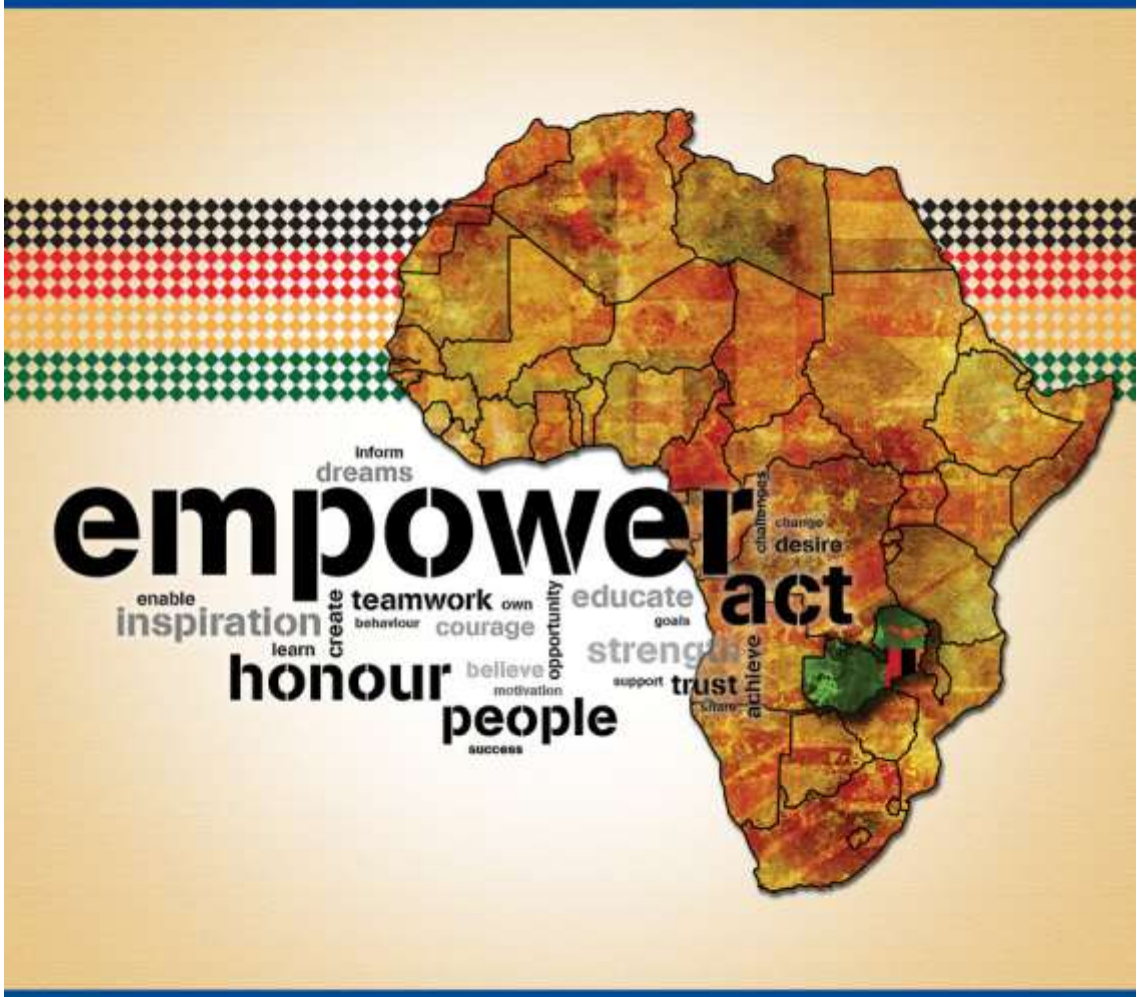
Administrative Task 4: Day Two Reporting

TIME: 15 minutes

PROCESS:

1. Remind participants that the purpose of the daily reporting is to summarise what the group discussed the day before.
2. Ask the participant who volunteered yesterday to come up to the front of the room and provide the daily report.
3. Ask the other participants if there is anything they would add to the report.

SESSION 5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dreams
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opportunity
educate
goals
strength
support
trust
share
people
success
challenges
change
desire
act
achieve

Session 5:
Audience Segmentation

TIME: 60 minutes

PURPOSE:

- To provide detailed guidance on how to develop the audience segmentation section of the formative research plan.

LEARNING OBJECTIVES:

- To describe the importance of segmenting audiences,
- To define primary and secondary audiences, and
- To list at least three factors to consider when segmenting audiences.

METHODOLOGIES:

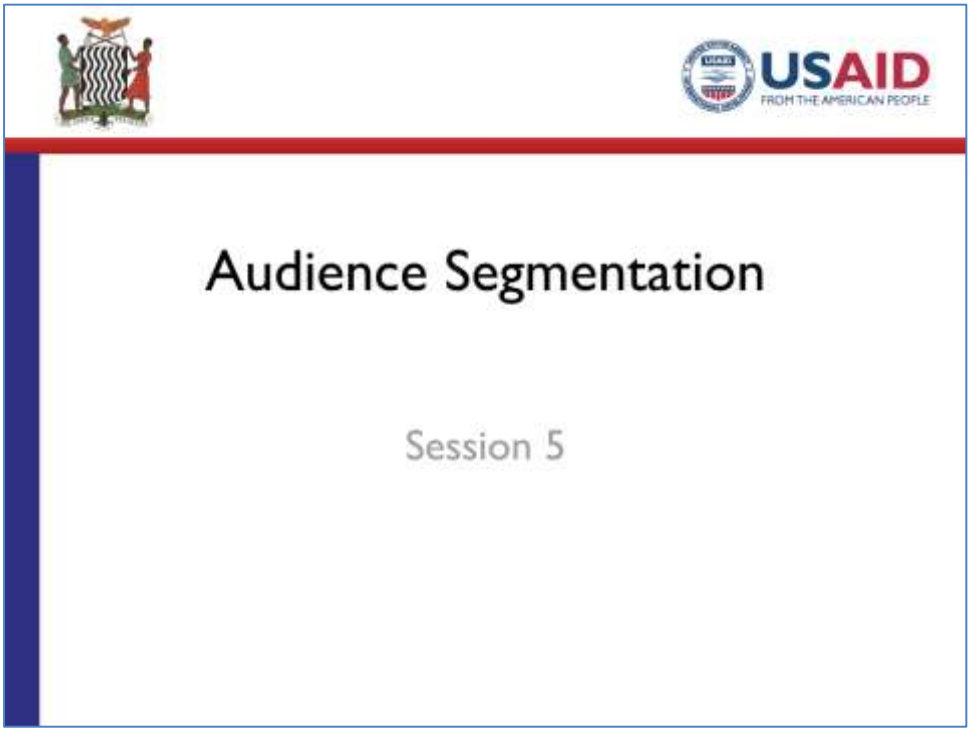
- Lecture
- Questions and answers
- Scenario exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers

KEY DISCUSSION POINTS

- Stress the importance of being strategic about selecting and segmenting audiences. Remind participants to connect the research questions and objectives to the audiences to ensure that they are asking the right questions from the right audiences.



SLIDE 5.1

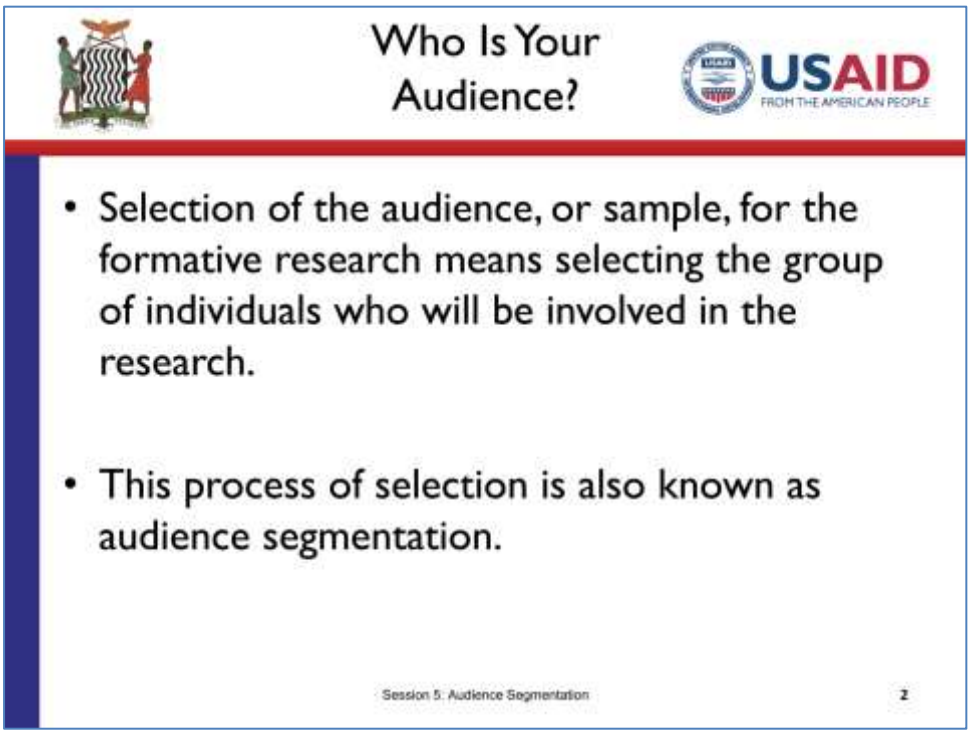
TIME: 1 minute

[Once the daily reporting has been completed, start the session.]

Good morning, and welcome to Day 2 of our formative research training!

In this session we are going to describe audience segmentation. This is the fourth section in the formative research plan.

[Change to slide 5.2.]



SLIDE 5.2

TIME: 3 minutes

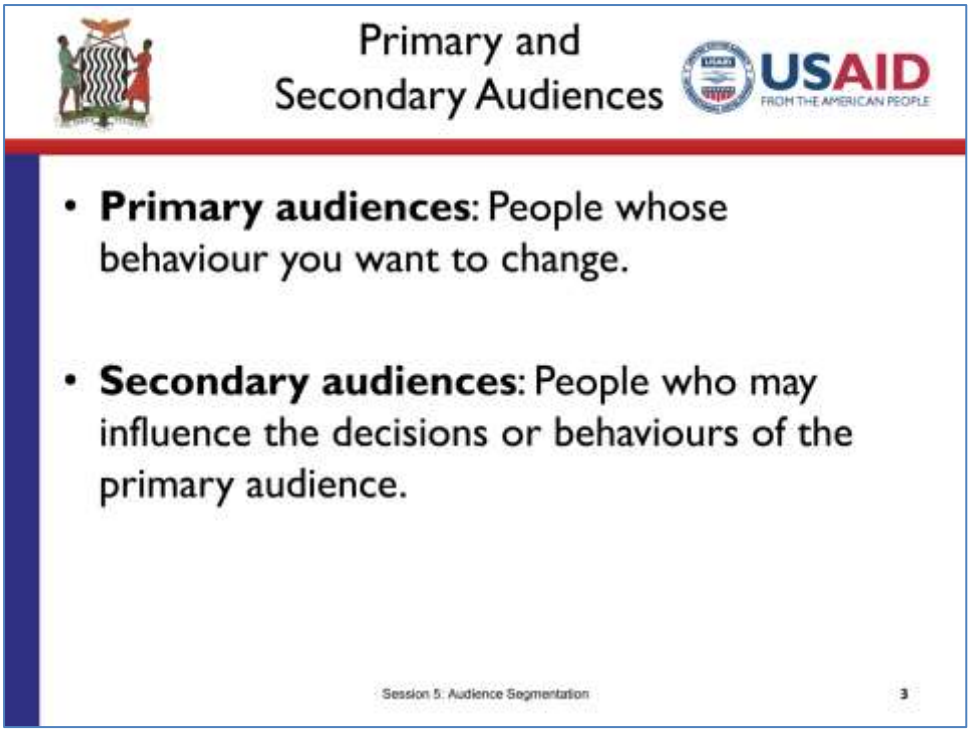
When you are doing research it is extremely important to make sure you are doing the research with the right people. Selecting your audience means selecting the group of individuals who will be involved in your research.

Can someone give me an example of an "audience" in formative research?

[Acknowledge responses.]

Essentially, an audience can be looked at as the correct people to answer your research questions.

[Change to slide 5.3.]



SLIDE 5.3

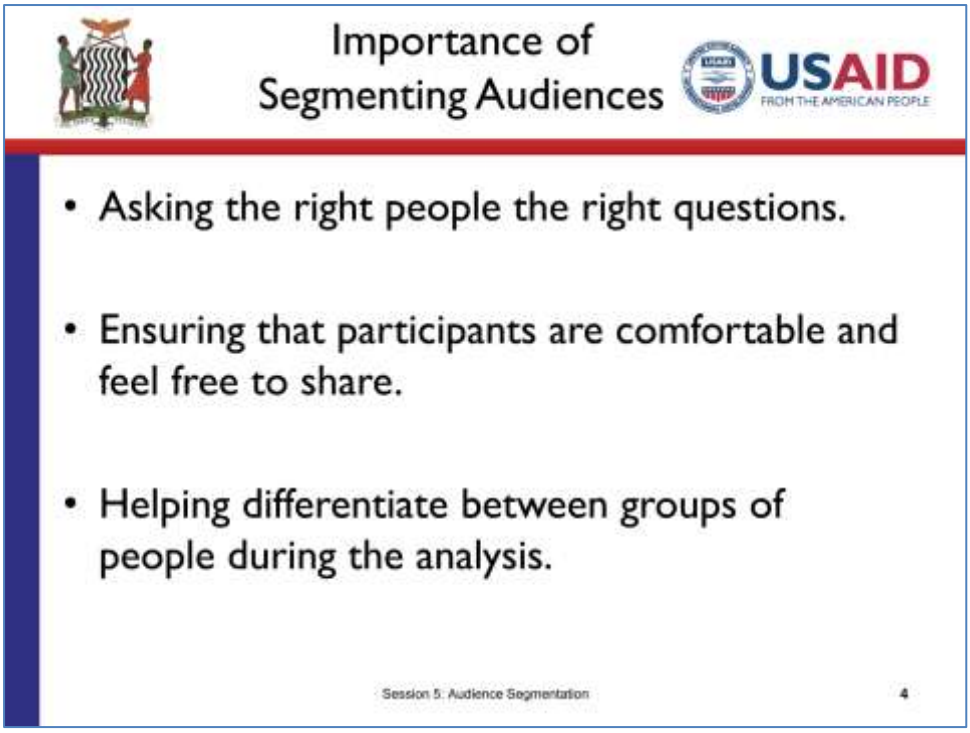
TIME: 3 minutes

The audience is made up of the group of individuals you will involve in your research. This may be broken down into primary (the most important) and secondary audiences.

Primary audiences are those people whose behaviour you want to change, or (sometimes) those people who are already doing the behaviour you like and who can tell you how they manage to do it. Secondary audiences are those people who influence the decisions or behaviours of the primary audience.

For example, if you are researching the barriers and facilitators to antenatal care in a certain area, you may have several audiences: women who use antenatal care and women who don't. You may also have other audiences, such as mothers-in-law or grandmothers. Your audiences can include anyone involved in the decision-making for the behaviour you are researching.

[Change to slide 5.4.]



SLIDE 5.4

TIME: 12 minutes

When we look at audiences we do something called "segmenting." Can I have a volunteer or volunteers to tell the group what we mean by "audience segmentation?"

[Acknowledge responses.] Yes, segmenting your audience basically means to break up your audience in different ways. By segmenting correctly, you can ask the right people the right questions. Going back to the example of antenatal care—if you are looking at why people don't use antenatal care, you will need to ask people who do not receive the care. If you would like to know what motivates women to use antenatal care and go to all of their appointments … who do you need to talk to? **[Acknowledge responses.]** Why? **[Acknowledge responses.]**

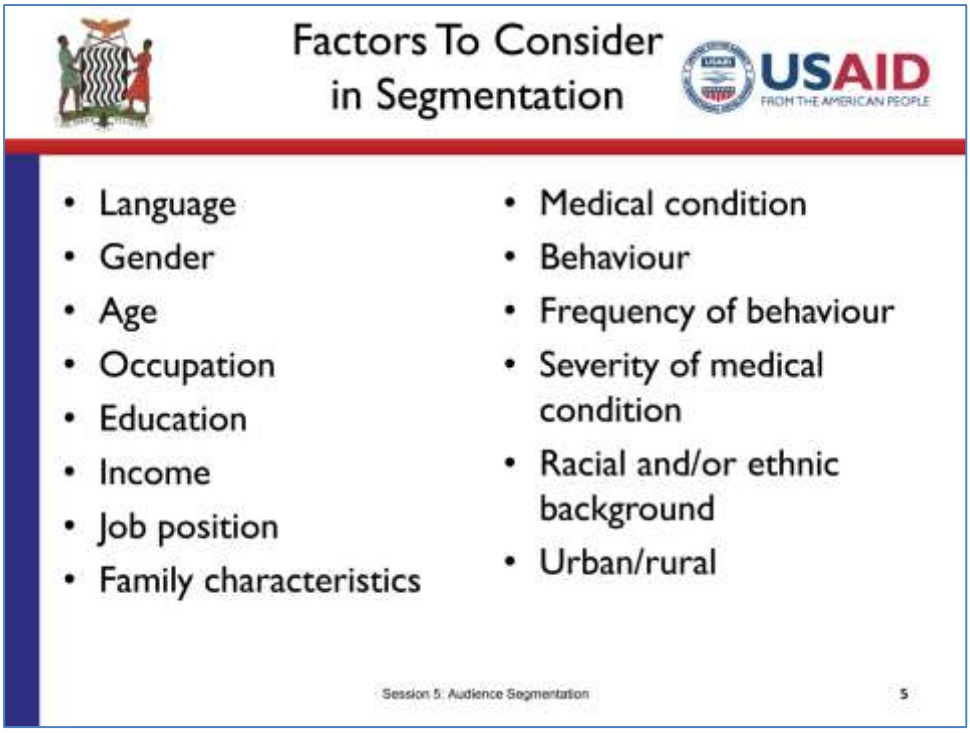
Segmenting your audience also increases the possibility that your participants are comfortable and feel free to share. For example, if you would like to know how women feel about their treatment at a health centre, would it be a good idea to have a mixed group of women and health care providers? **[Acknowledge responses.]** What are some reasons that might not be such a good idea? **[Acknowledge responses.]**

Segmenting your audience makes it much easier to differentiate between groups of people during the analysis. For example, you might find that women of one cultural or ethnic background are fine with the way they are treated at the health centre. Maybe another

group is not. It's best to segment beforehand so that you can see trends more clearly and can probe to see if, indeed, there are any differences. Sometimes people assume that there will be differences and there are not. If you segment properly to ensure that you are asking the right people the right questions, and you make sure that people are comfortable in responding, you are then in a good position to assess whether there are differences between segments of your audience population.

Can you give me some examples of factors to consider in segmentation? **[Acknowledge and write responses on a flipchart.]**

[Change to slide 5.5.]



SLIDE 5.5

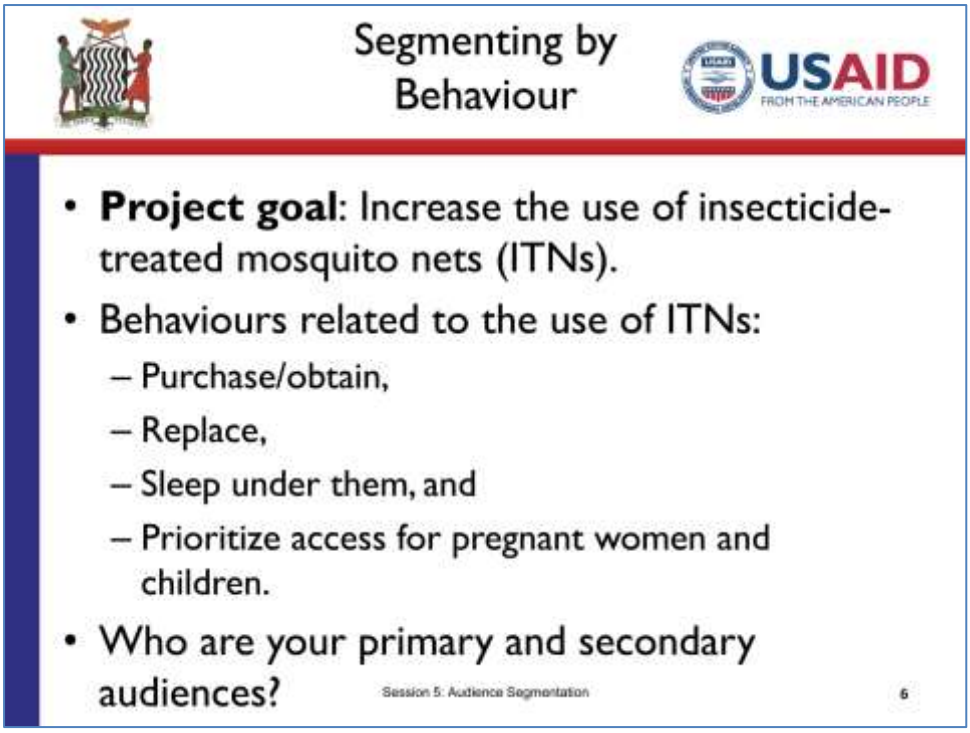
TIME: 5 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

Here are some factors that are frequently considered when segmenting audiences for formative research. How does this compare or contrast with what we came up with over on the flipchart? **[Acknowledge responses.]**

Age, gender, race/ethnicity, language, religion, and geographical location can frequently be factors in the decisions people make. Though this may not determine your primary and secondary audiences, these factors should be considered in your segmentation plan.

[Change to slide 5.6.]



SLIDE 5.6

TIME: 11 minutes

Audiences can also be broken out by specific behaviour. This is where it is helpful to have specific research objectives. For example, if it is your project's goal to increase the use of ITNs, you need to decide which behaviour you would like to promote or research.

Let's talk about this for a minute or two. What are some behaviours that are related to the use of ITNs? **[Acknowledge and write responses on a flipchart.]**

Now, let's talk about the different audiences that may be related to these behaviours. What audience would you look at for this behaviour? **[Probe: People who already have nets? Those who need to buy nets? Pregnant women? Husbands of pregnant women?]**

Different behaviours require different audiences. For example, with regard to the use of ITNs, would you like

- People who don't have nets to buy them?
- People who have nets to re-treat them?
- Those who have nets to sleep under them?
- Families to give pregnant women and children priority in sleeping under nets?

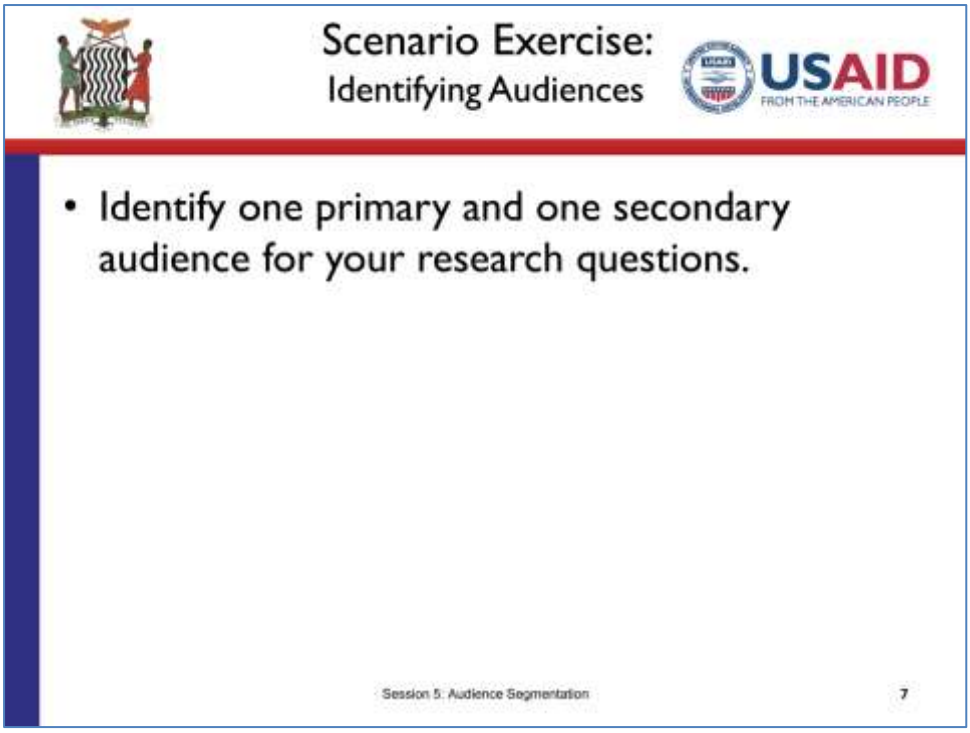
The answers to these questions will drive your audience. If you answer that you would like families without nets to buy them, then your audience will be families without nets. If you would like families with nets to re-treat them, then your audience will be families with nets who have not re-treated in X amount of time.

Behaviours can also help you segment your secondary audiences. In the cases above where you want families without nets to buy them, you would not want to limit your audience to families without nets. They *will* be your primary source for finding out about barriers to buying nets. You will most likely also want to find facilitators to buying nets—what makes some families buy nets when others don't? So, families who HAVE purchased nets may be an important audience as well.

Community leaders can frequently be an important secondary audience. They can frequently be a source of information on community norms and values.

When considering your audience, other factors may need to be considered as well.

[Change to slide 5.7.]



SLIDE 5.7

TIME: 25 minutes

We're going to practice identifying some audiences.

I'd like you to work in your research groups. We're going to be looking back at the research questions and objectives you developed in the last exercise and begin looking at audiences that you would want to focus on for those research questions. Go back to your scenario chart with your questions and objectives.

I would like each of you to identify one primary and one secondary audience for the assigned research. Let's spend five minutes working on that, and then I would like you to report out what you have come up with. Once you have come up with your audiences, please go ahead and write it on the flipchart paper your group has been working on.

[Allow groups five minutes to complete the exercise. End the exercise early if all of the groups have completed the exercise earlier than five minutes.]

OK. Let's see what we have. Let's start over here. What did you have for your primary audience? **[Wait for group response. Ask for participant feedback.]** How about your secondary audience? **[Wait for group response. Ask for participant feedback.]**

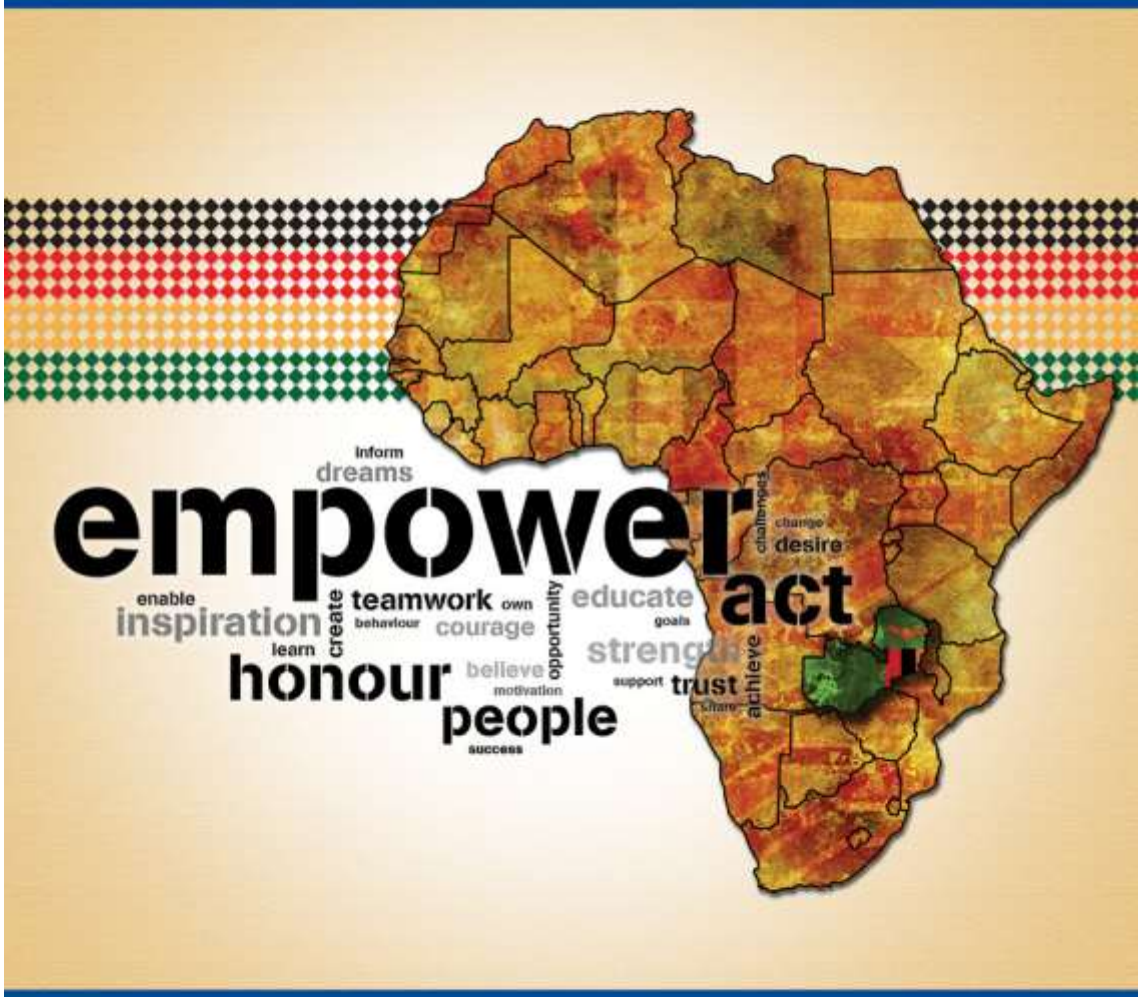
[Continue until all of the research groups have reported.]

Thank you, all of you, for the work you have put into this exercise. It looks like it's about time to wrap up this session. Does anyone have any questions about the information covered in this session? **[Acknowledge responses. Ask other participants to respond if appropriate.]**

Before we move on to the next session, let's take a five-minute break.

[End the session.]

SESSION 6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believe
motivation
support
trust
share
achieve
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success

Session 6:
Formative Research Methodologies

TIME: 105 minutes

PURPOSE:

- To provide an overview of qualitative and quantitative methodologies for formative research.

LEARNING OBJECTIVES:

- To explain the difference between qualitative and quantitative research methods,
- To list three formative research methodologies,
- To describe an advantage and disadvantage of one formative research methodology, and
- To explain at what point in the formative research the method of trials of improved practices can be applied.

METHODOLOGIES:

- Lecture
- Questions and answers
- Large-group exercise
- Research group exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart and markers
- Football

KEY DISCUSSION POINTS

- Underscore the importance of selecting the right methodology for the questions the research needs to answer, while keeping in mind the available resources and timeline. Tell participants to consult with their coworkers for recommendations on methodology.
- Remind participants that every method has its own advantages and limitations. It may be useful to use different methods to get the most out of the research.

SLIDE 6.1

TIME: 1 minute

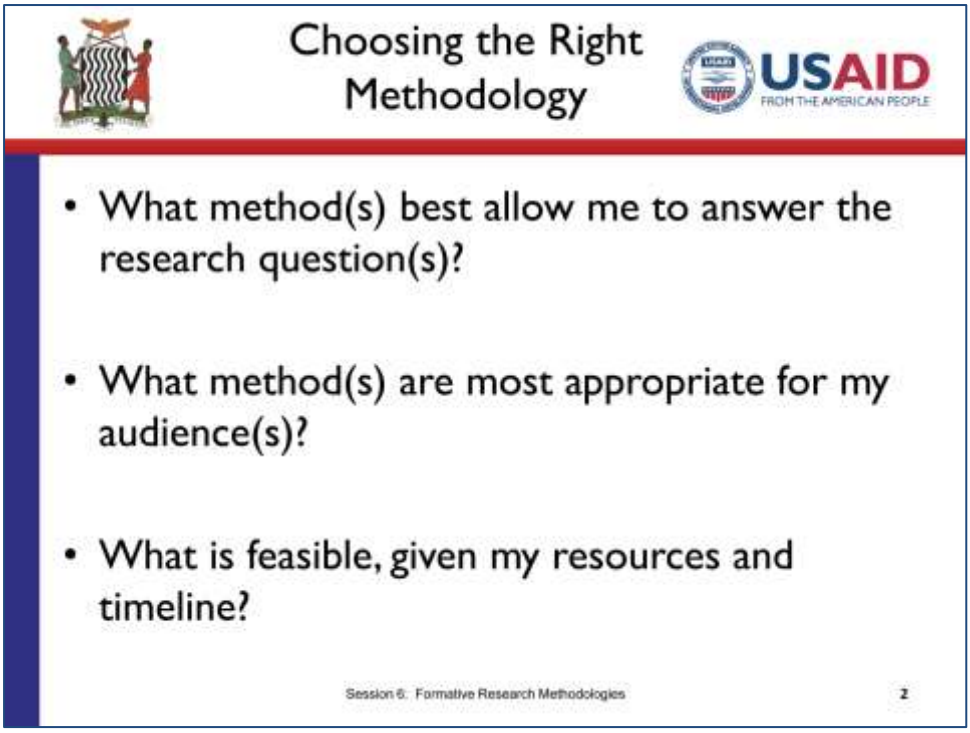
[Once the participants have taken their seats, start the session.]

This session is on methodology, and it is the longest session of the training.

Both qualitative and quantitative research have their place in formative research in developing-country settings. However, because this training is focused on research for behaviour change programming, it focuses almost entirely on qualitative research.

That being said, it is important to understand the differences and strengths of qualitative and quantitative research so that you know when to use each methodology. That's part of what we're going to be discussing today.

[Change to slide 6.2.]



SLIDE 6.2

TIME: 2 minutes

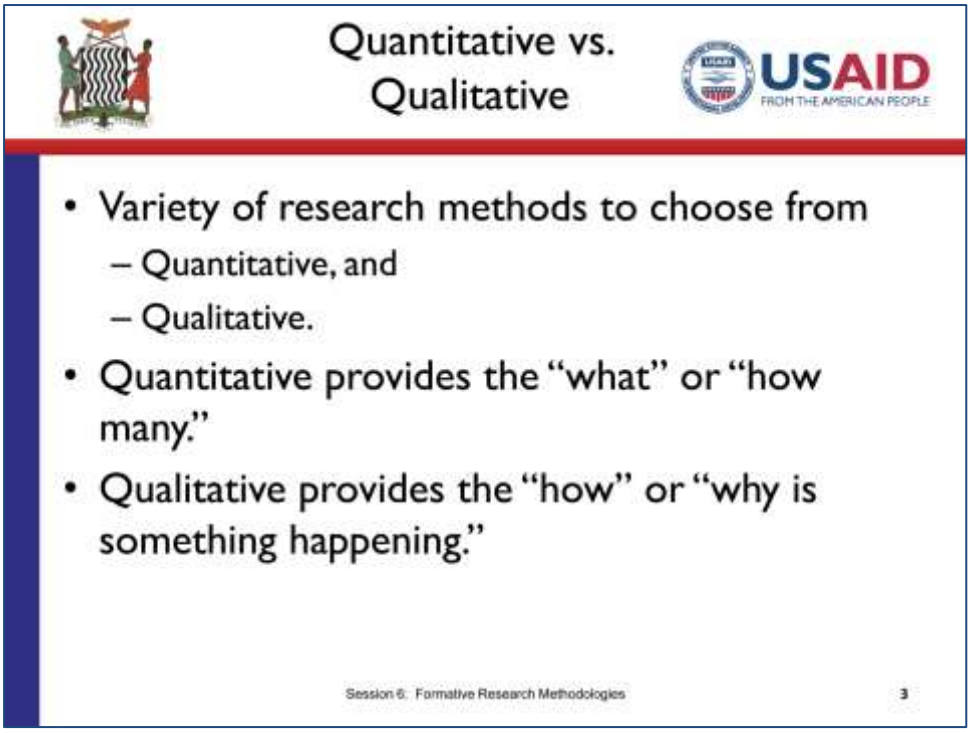
The methodology you choose should be driven by your research questions and the audience you want to reach.

Anytime you want to know "how many," that is quantitative. The question "Why?" can best be answered by qualitative research.

For example, "How many health providers are providing family planning counselling?" would be good for quantitative methods (such as a survey). But the question "Why are women not using a family planning method?" is best answered by qualitative research.

The depth of your research (the number of people you talk to) can be affected by your resources and timeline. To make your research usable, you need to set a minimum number of people to talk to for both methodologies.

[Change to slide 6.3.]



SLIDE 6.3

TIME: 5 minutes

Qualitative and quantitative research are sometimes presented as if they were in conflict with each other. In reality, they can and should be used hand in hand, with one informing the other.

Quantitative research tells you the "what"—the numbers, the data, the statistics. It does NOT always tell you the "why." Qualitative research is especially suited to answer the "why."

Let's talk some more about some of the differences. I know that we have participants who have worked with both methodologies. Let's note some of the differences on the flipchart papers. I'll title this paper "Qualitative" and the other one "Quantitative." **[Write "Qualitative" on one paper and "Quantitative" on the other.]** What are some of the characteristics of each? What are they good at? What are they NOT good at? **[Acknowledge and write responses on the flipchart.]**

[Change to slide 6.4.]

Quantitative vs. Qualitative (cont.)

Qualitative Methods	Quantitative Methods
Focus groups, in-depth interviews.	Surveys.
Inductive process used to formulate theory.	Deductive process used to test pre-specified concepts and constructs.
Open-ended questions.	Closed-ended questions.
Text-based (Data = text).	Number-based (Data = numbers).
More in-depth information on a few cases.	Less in-depth but more breadth of information across a large number of cases.
Unstructured or semi-structured response options.	Fixed response options.
Not statistically based.	Statistically based; statistical tests used for analysis.
Validity and reliability can be largely based on the skill and rigor of the researcher.	Validity and reliability largely based on the measurement devise/instrument/number of people interviewed.
Time expenditure lighter on the planning end and heavier during the analysis phase.	Time expenditure heavier on the planning phase and lighter on the analysis phase.
Less generalisable.	More generalisable.

Session 6: Formative Research Methodologies 4

SLIDE 6.4

TIME: 10 minutes

In this slide we have something of a "cheat sheet" comparing qualitative and quantitative methods of research. For a closer look, turn to page 146 in your booklet. Let's compare it to what we came up with over here on the flipchart papers. We'll start with the QUALitative Methods column.

What do you see on this slide that isn't included on our list? **[Acknowledge responses.]**

What is on our list that you don't see listed on this chart? **[Acknowledge responses.]**

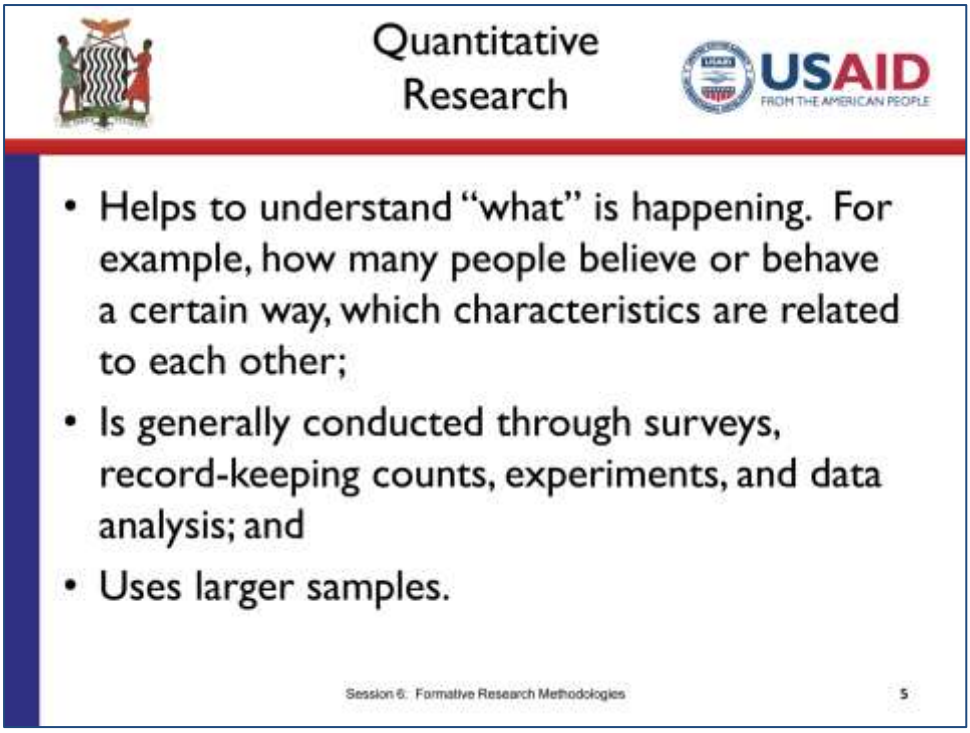
Now, let's move over to the QUANtitative column. What do you see on this slide that isn't included on our list? **[Acknowledge responses.]**

What is on our list that you don't see listed on this chart? **[Acknowledge responses.]**

What has been your experience? When have you used QUANtitative research? What types of questions were you trying to answer? **[Acknowledge responses.]**

How about QUALitative research? When have you used it and what types of questions were you trying to answer with your research? **[Acknowledge responses.]**

[Change to slide 6.5.]



SLIDE 6.5

TIME: 8 minutes

Let's go a little bit more in-depth on each of these methods of research. We'll start with quantitative.

Quantitative research is based on statistics. Statistics are what shows that you have a problem, and it can to a certain extent show you where the problem lies. For example, how many people believe or behave a certain way? Which characteristics are related to each other? This information should be included in the Background section of your formative research plan.

Quantitative research is generally conducted through surveys, in record-keeping counts at clinics and hospitals, by health projects, or during experimental interventions and operations research. Usually, to be considered reliable, these surveys have to include a large number of people. There are formulas and ways of figuring out how many people need to be surveyed to make the results reliable and useful. We're not going to get into that today.

The most common sources for statistical information related to health include the Demographic and Health Surveys (DHS) (such as the Zambia DHS that is available in hard copy and online) or local knowledge, practice, and coverage surveys.

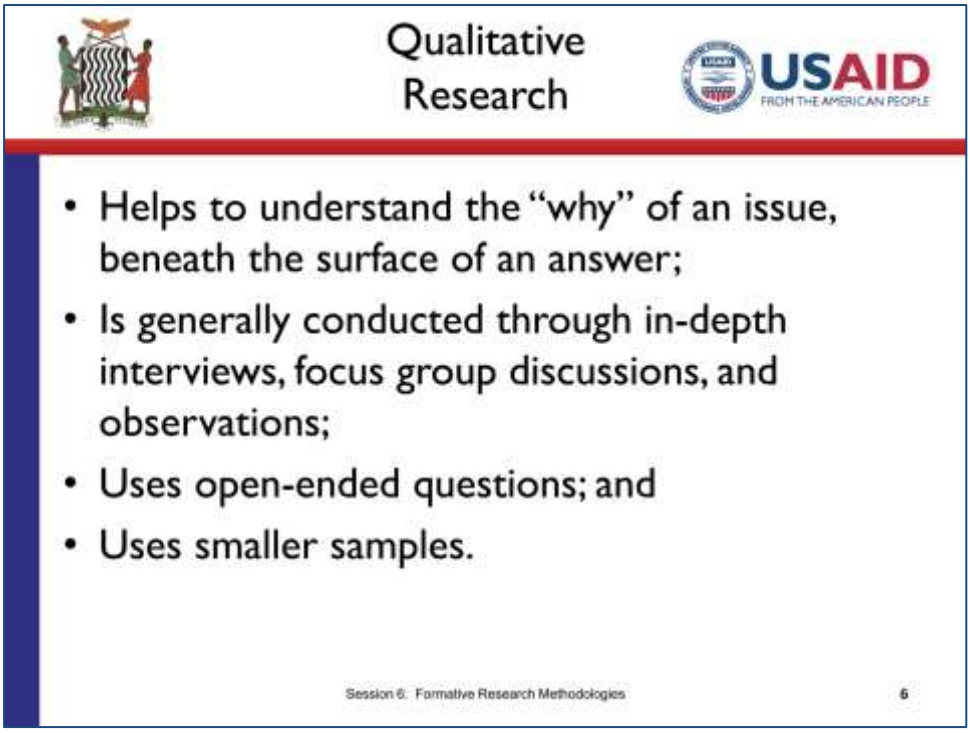
What other sources of quantitative data are available? Where have you found statistical data that have been helpful to you? **[Acknowledge responses.]**

Depending on how it is done, quantitative research may or may not provide you with the level of information you need. For example: You may know from survey research that 50 percent of the community uses ITNs. You may need to do further research to determine *which 50 percent.*

You will need to comb through the data and find out—How can the users or nonusers be segmented? Geographically? Maybe the families on the east side of the village use ITN, but those on the west side across the river do not. By socioeconomic status? Maybe some people cannot purchase them. How about by gender or ethnicity? You want to find that out, because knowing which 50 percent uses and which does not will be of great help in determining your audience for an intervention on ITNs.

If the statistics you have do not provide that level of granularity, you may want to perform a rapid community survey to find out. Unfortunately, we don't have time to get into that in this workshop, but I do want you to know that quantitative research can be very helpful in pointing you to the audience you want to reach, or it can be a good jumping off point to do further research—either quantitative or qualitative.

[Change to slide 6.6.]



SLIDE 6.6

TIME: 4 minutes

If quantitative gives you the "what," then qualitative helps you answer the "why." Let's go back to our example of the ITNs: Your quantitative research has shown that 50 percent of your catchment area uses ITNs and that you are lucky enough to know which 50 percent that is. So, you have the "what." But *why* is it that half of the community uses ITNs and half does not? What are the factors that influence use or nonuse? Those are questions for qualitative research, and you will need to answer them in order to create an effective behaviour change program.

Qualitative research seeks to understand the answers to research questions from the perspective(s) of the local population. It is especially valuable in finding culturally specific information about the local values, opinions, behaviours, and social contexts of particular populations. Qualitative research is generally conducted through in-depth interviews, focus group discussions, and direct observation.

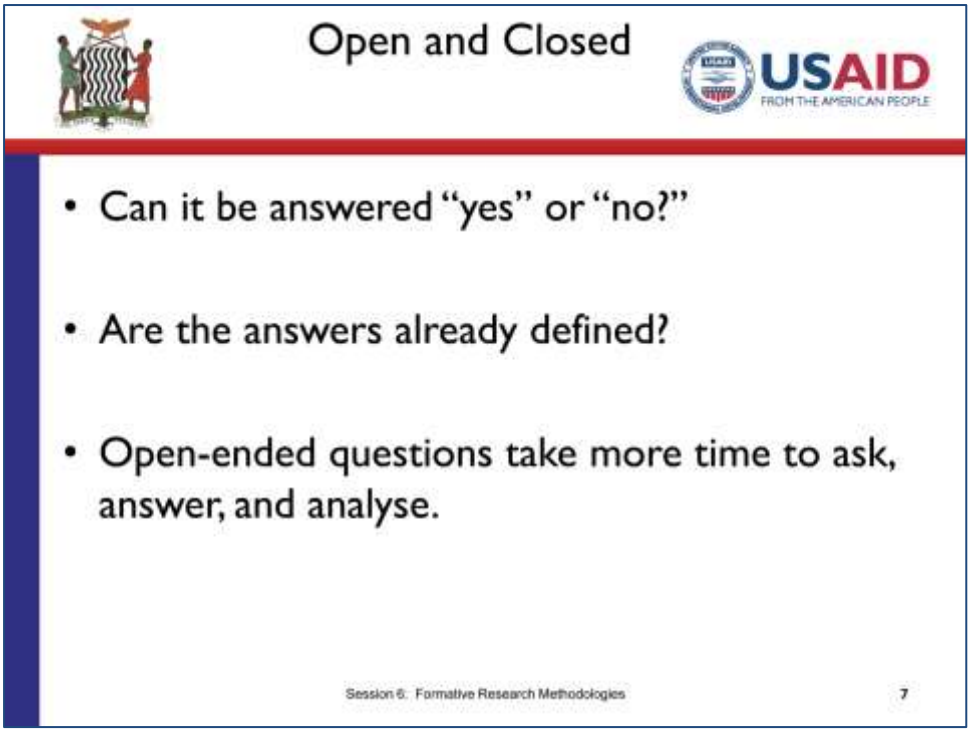
In contrast to quantitative research, qualitative research uses open-ended questions.

With qualitative research, you will be using a much smaller sample than with quantitative research. However, because each of the responses is so much more detailed than with quantitative research, the time needed to conduct (and also to analyse) this type of research should not be overlooked when you are creating your timeline.

Qualitative research cannot be used for everything. Just as with quantitative research, qualitative research has limitations. It cannot be used as a basis for M&E indicators, which are almost entirely statistically based. When I refer to M&E indicators, I mean, for example, the number of new infections by age, gender, and geographic location annually.

If you are looking for numbers, you will need quantitative research. What qualitative research CAN do is to go behind the numbers and get into the motivators for those behaviours or the barriers for non-behaviours that your quantitative research tells you are present in your community.

[Change to slide 6.7.]



SLIDE 6.7

TIME: 5 minutes

In the previous slides you saw the term "open-ended" questions.

We'll get into open- and closed-ended questions more in the next session, but since it's such an important concept, I'm going to introduce it here.

Can someone tell me the difference between an open-ended and a closed-ended question? **[Acknowledge responses.]**

One way to define an open-ended question is: a question that cannot be answered by "yes" or "no." Another way to look at it is: a question that does not have a predefined response. For example, "Did you eat breakfast this morning?" is a closed-ended question, because a person can answer it with a "yes" or a "no." A survey question for which you have provided a choice of responses is also a closed-ended question. For example, "What fruit did you eat yesterday—mango, banana, or papaya?" A respondent can only choose one of the answers you've already provided.

An OPEN-ended question is one that cannot be answered with “yes” or “no” and that you have not already picked categories for response. It invites respondents to share their thoughts and opinions on something. For example: “Can you please describe what your breakfast was like this morning?” This can be followed by probes such as “What about fruit?” or “How does this compare to the breakfast you normally eat?”

Open-ended questions take a lot of time. Whether you are asking an individual or a group, you need to be prepared to let people talk and to be able to draw them out if they are only giving very short answers in response to your questions.

[Change to slide 6.8.]

SLIDE 6.8

TIME: 13 minutes

In this section, we will be discussing three important qualitative formative research methodologies: individual in-depth interviews (commonly known as IDIs), focus group discussions (FGDs), and trials of improved practices, or TIPs.

There are, of course, more than three methodologies for qualitative research. But, since we're here for only a few days rather than a few weeks, we're going to concentrate on these three methodologies.

Before we get into those in-depth, however, we're going to do a quick exercise to help us see the breadth of qualitative methodologies available. I'd like all of you to stand up. Let's arrange ourselves in a circle. I've got the football, so I'll start by naming a formative research methodology. For example, "In-depth interviews." I'll pass the football to someone else **[Toss football.]** and that person now needs to name another method. **[Pause to let participant name a method; prompt, if necessary.]**

Now YOU pass the ball to someone else and that person will name a methodology. Let's see how many we can come up with!

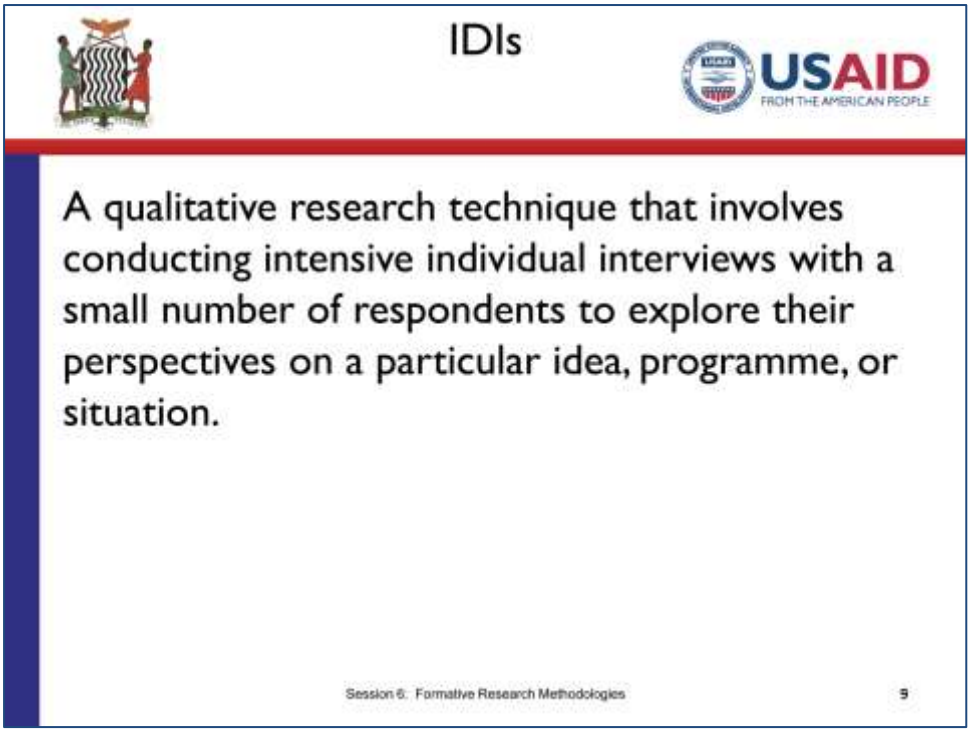
[Answers can include the following:

- **Individual in-depth interviews (IDIs),**
- **Focus group discussions (FGDs),**
- **Trials of improved practices (TIPs),**
- **Participatory rural appraisal/participatory learning and action,**
- **Observation,**
- **24-hour recall, and**
- **Cognitive interviews.]**

[After the group can no longer think of additional methodologies.] Thank you, all of you, for your work on that exercise. As I mentioned, it would take a much longer workshop to cover all of the methodologies we just mentioned so, for the rest of this session, we're going to discuss the three methodologies listed on the slide—IDIs, FGDs, and TIPs. We're going to go over their characteristics, uses, and advantages, and the limitations of each. But, let's take a tea break now and continue with the session in 30 minutes.

[Once the participants have returned from the break and taken their seats, continue with the session.]

[Change to slide 6.9.]



SLIDE 6.9

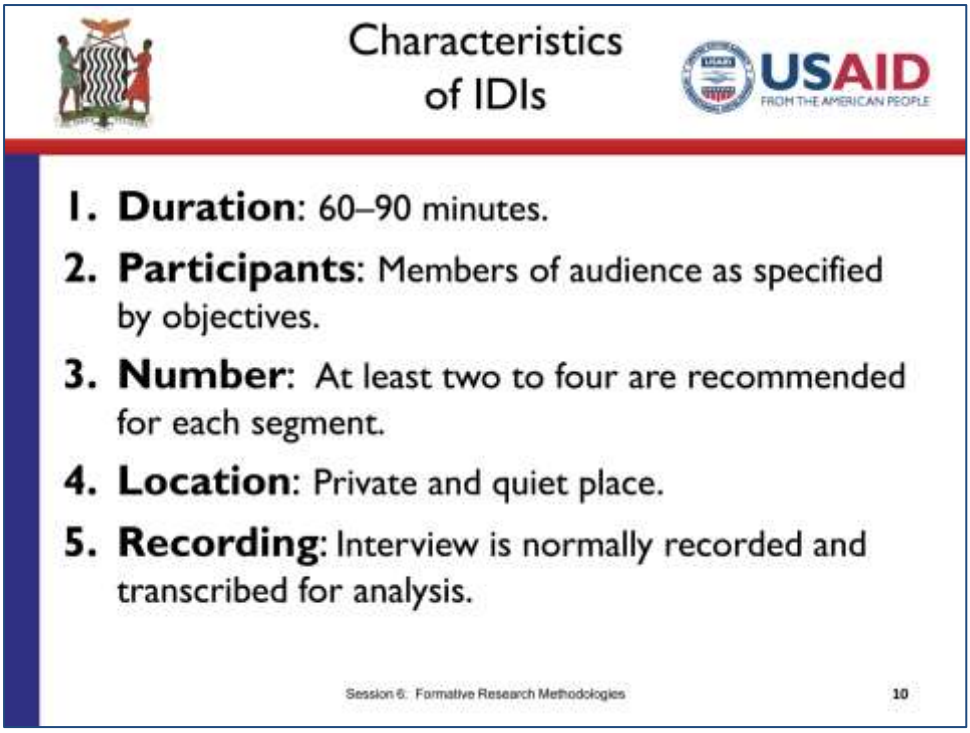
TIME: 3 minutes

What is an IDI? An IDI is an individual in-depth interview. IDIs are conversational interactions designed to understand a respondent's perspectives, experience, and insights on a particular topic.

IDIs use a prepared interview guide with a set of questions to ask each person being interviewed. The order of the questions frequently changes between interviews, depending on how a participant responds, but specific questions are prepared beforehand so that you are sure to ask the questions that will address the research objectives you have identified.

What experience have you had with IDIs? How have you used them? **[Pause and allow participants to respond. Probe with questions such as "What research question were you trying to answer?" "What worked well?" "What didn't work well?"]**

[Change to slide 6.10.]

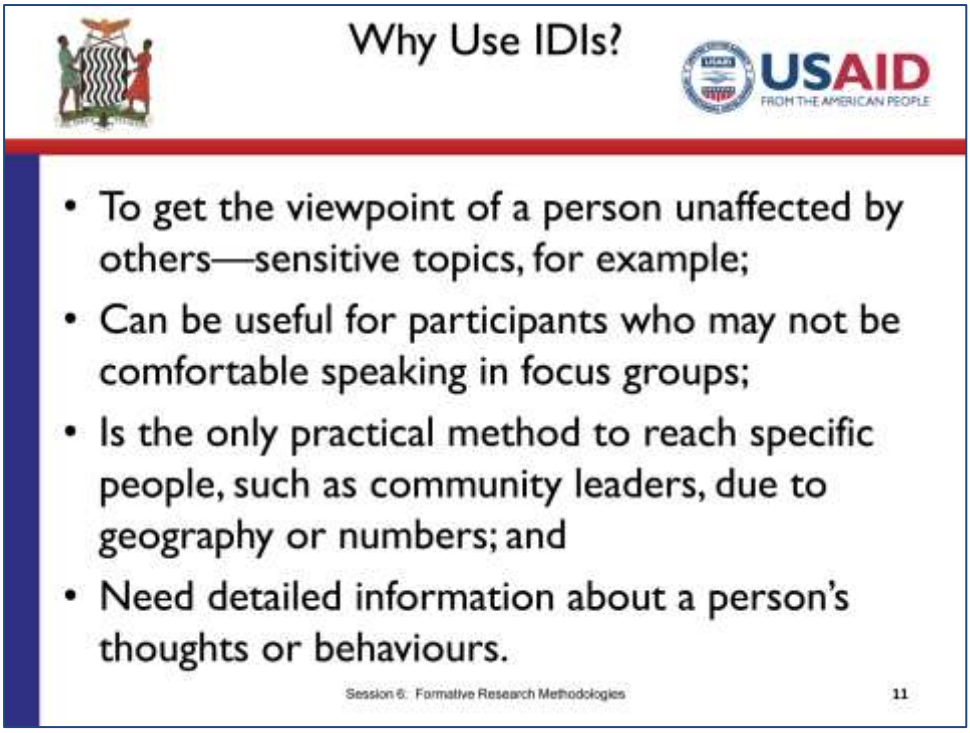


SLIDE 6.10

TIME: 2 minutes

This slide shows some common characteristics of IDIs. In general, an IDI can last from 60 to 90 minutes. Longer than that and it is quite likely that both of you will be very tired. It is important to recognise that and also to respect the time of the person you are interviewing. Some IDIs can be shorter than an hour but, in general, they will need to be at least 40 minutes long to make it worth your effort. Your participants should be members of the audience as specified by your objectives, and it is best to interview at least two of each of your segments. So, for example, if your audience is segmented by gender and by ethnicity or language group, you will want to make sure you have at least two women and at least two people from each language group.

Privacy can be very important in an IDI. For example, if you are asking about health practices that may be fairly private, the people being interviewed may not want other people to overhear what they are saying. It is best either to have a private room, where there is little chance of being overheard, or to conduct the interview far enough away from other activities that participants can speak without being worried about someone else overhearing. Interviews are normally recorded and transcribed for analysis. Sometimes a note taker is present as well. **[Change to slide 6.11.]**



SLIDE 6.11

TIME: 5 minutes

Individual interviews are commonly used for several reasons:

- When you want the viewpoint of one person unaffected by others. If the topic is highly sensitive or inflammatory, this can be especially important.
- You can use IDIs when people may not be comfortable speaking in focus groups. If you are discussing sensitive topics—reproductive health or abuse, for example—it is highly likely that participants will not share information in a group. You will need to talk to them one on one.
- IDIs may be the only practical method to reach a group, such as political leaders or community leaders. This can also be true for populations where it would be difficult to coordinate focus groups (due to geography or numbers or a combination of the two). Interviews can be conducted in person or by telephone, when appropriate.
- IDIs are the most appropriate methodology when you would like to find out detailed information about a person's thoughts or behaviours, since the methodology gives you the opportunity to probe extensively.

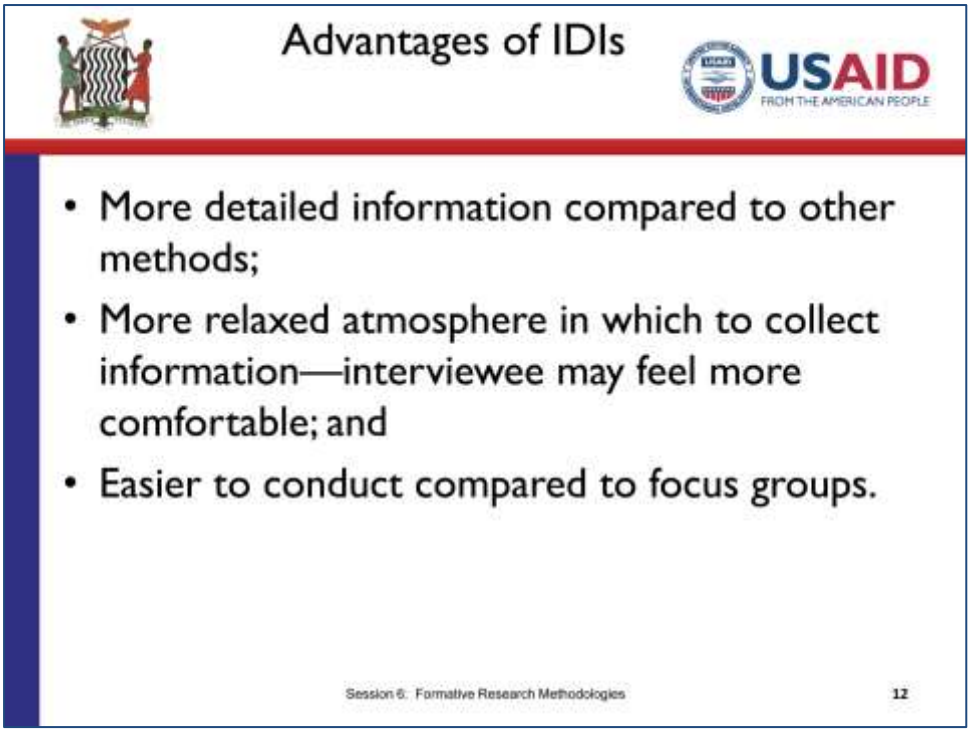
IDIs can be used in a number of different ways. You can use them to

- Gain detailed information about a person's thoughts or behaviours,
- Explore new issues in-depth,
- Provide context to other data,
- Access participants who may not be comfortable speaking in focus groups, or
- Refine questions for future surveys.

Can anyone think of other ways it would be helpful to use an interview methodology? **[Acknowledge responses.]**

What do you see as the advantages or limitations of IDIs? Let's write them on this flipchart paper. **[Create a list as participants mention advantages/disadvantages.]**

[Change to slide 6.12.]

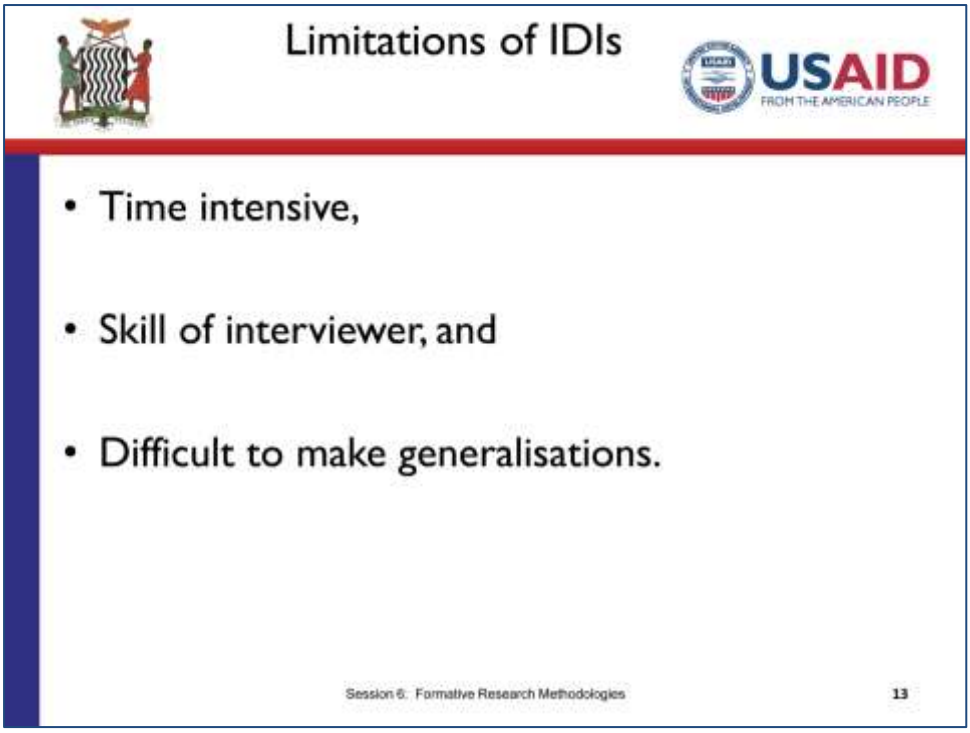


SLIDE 6.12

TIME: 2 minutes

I know we came up with an initial list of advantages. Let's see how our list compares to the slide. **[Compare/contrast the list you just created with the list on the slide.]**

[Change to slide 6.13.]



SLIDE 6.13

TIME: 2 minutes

Now let's look at some of the limitations of an interview methodology and see how our list compares. **[Compare and contrast the list on the slide with the list you just created.]**

The last point refers to the responses you get from participants – whether they provide a complete picture of what you're asking about, whether they're leaving out any important information, and ultimately if they feel comfortable enough to be open and candid in their response. This limitation really applies to all research involving human participants.

[Change to slide 6.14.]

SLIDE 6.14

TIME: 2 minutes

Has anyone here ever served as an interviewer for an in-depth interview? **[Acknowledge responses.]** Anyone else? What skills did you need to do an in-depth interview? **[Acknowledge and write responses on a flipchart.]**

Thank you for sharing that experience with us. Interviewers need to have a lot of skills to conduct an IDI successfully. They should be able to

- Quickly create interviewer/participant rapport;
- Adapt to different personalities and adjust their interviewing styles to suit each individual participant;

[Change to slide 6.15.]

SLIDE 6.15

TIME: 1 minute

- Emphasise the participant's perspective (treat the participant as the expert, keep the participant from interviewing you, be an engaged listener, demonstrate a neutral attitude); and
- Probe for additional information. Some interviewees talk a lot, and others do not. Knowing when and how to probe is a skill that is especially important in order to get to the data you need to answer your questions.

[Change to slide 6.16.]

SLIDE 6.16

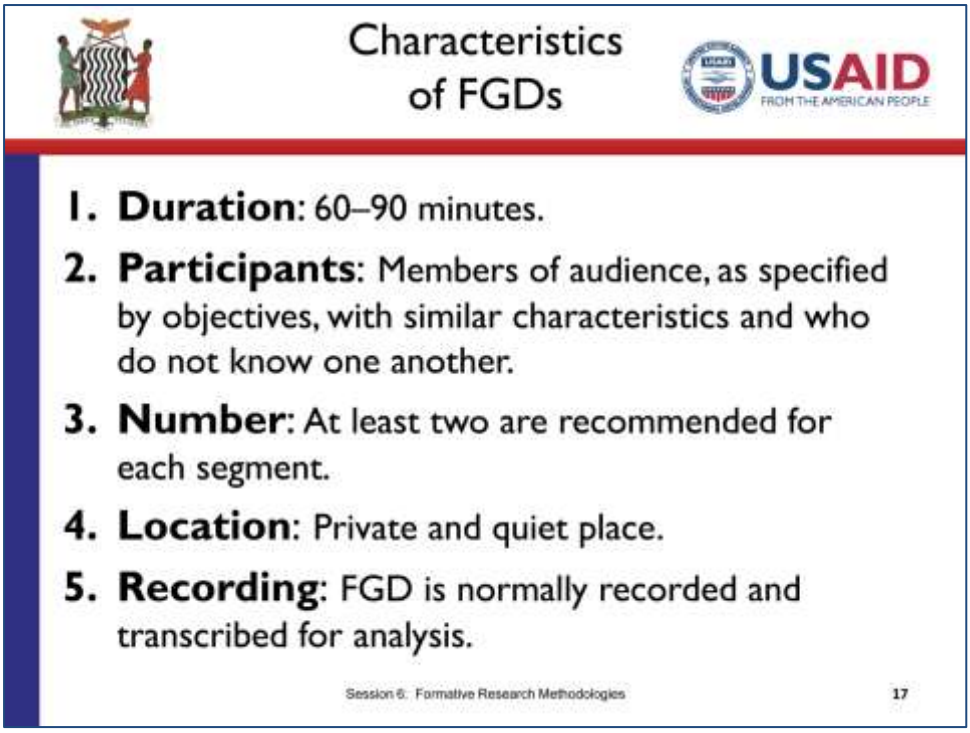
TIME: 4 minutes

Let's move into the second methodology we're going to cover in this session: focus group discussions (FGDs). Focus groups are probably the best known qualitative method and involve a discussion among six to eight individuals who are together in a room. A focus group is a structured group discussion on a specific topic.

I'd like to see who here has participated in an FGD as a participant. Can you please raise your hands? How about as a moderator? Raise your hand if you've been a moderator of a focus group discussion. How about a note taker in a focus group discussion? And, finally, who has been involved in an FGD as an observer?

What was your experience in those roles? **[Acknowledge responses.]**

[Change to slide 6.17.]



SLIDE 6.17

TIME: 5 minutes

In general, focus groups last from 60 to 90 minutes. As with IDIs, you can go longer than that, but it can get very difficult to keep the participants' attention after 90 minutes.

Your participants should be members of the audience you have specified by the objectives and should have similar characteristics (race, gender, language, age, etc.). In most cases, it is best to have people who do not know each other. This can help prevent them from being unduly influenced by what the person they know says or thinks. It can also help them feel freer to express their opinions if they do not think that they will be seeing their fellow participants regularly.

As with the IDI, it is best to hold at least two focus groups with each of your identified segments. So, for example, if your audience is segmented by gender and by ethnicity or language group, you will want to make sure you have at least two groups of women and at least groups from each language group. One of the reasons we do this is to help separate the dynamic of the group from the findings. For example, if you are testing a new communication product and your first focus group tells you that they don't like it, you don't really know if your product really is bad or if several people in the group didn't like it and influenced the others to also say they didn't like it. If your next group says that they don't like it either, you can be reasonably sure that you need to go back to the drawing board.

However, if the first group says they didn't like it and the second group says they did, you may be dealing with an issue of group dynamics in one of the focus groups. In this situation, you will most likely need to either conduct another focus group or follow up the focus groups with some IDIs.

There are a great many methods and techniques that a skilled researcher can use in a focus group, depending on the goals of the project. The main reason for selecting a group discussion environment is that the researcher is interested in what people say to each other and the impact of the group on opinions. A focus group allows a researcher to compare and contrast experiences and opinions. You can do this by saying, for example: "I see that so-and-so had this happen to her. How does this compare to your experience?"

It is not always possible to coordinate a group meeting of six to eight individuals who are in your research audience. In this case, it is possible to hold "mini-focus groups" with three to six individuals. The information and dialogue gathered through mini-groups is potentially not as rich as through a full focus group, but it can be easier to coordinate and may be more feasible in some situations.

Now that we've had the opportunity to discuss focus groups, what do you see as some potential advantages and limitations of this methodology? What has been your experience? **[Write "Advantages" on the top of one flipchart paper and "Limitations" on the top of another; write participant comments on the appropriate paper as they are mentioned.]**

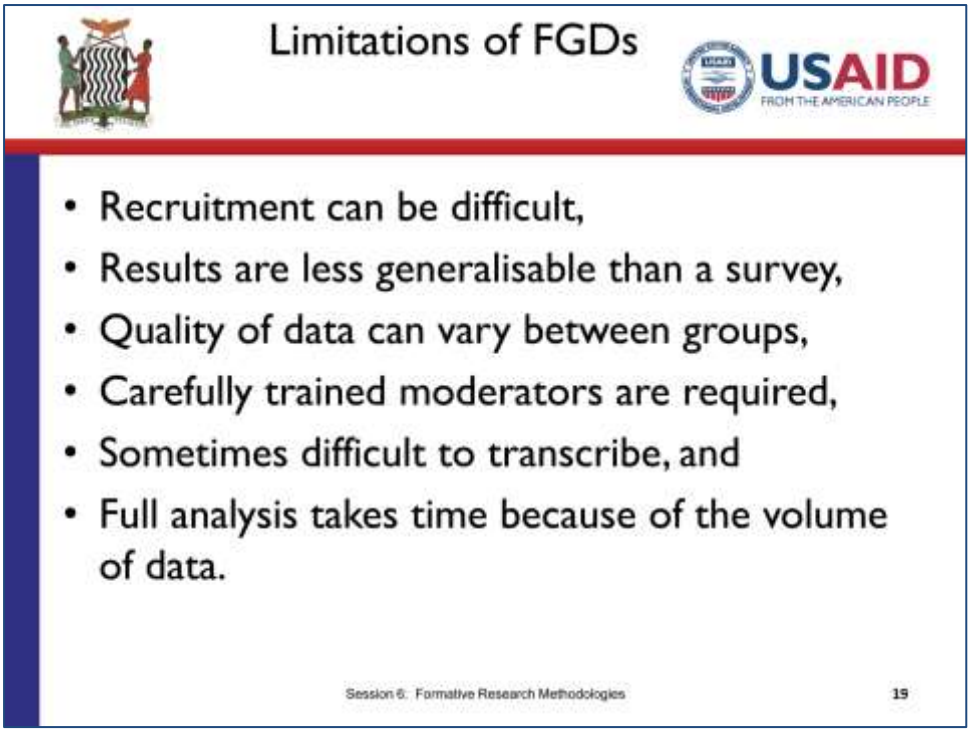
[Change to slide 6.18.]

SLIDE 6.18

TIME: 2 minutes

Let's see how our list compares to the one we have here on this slide. What differences do you see? **[Compare and contrast the list on the slide with the list you just created.]**

[Change to slide 6.19.]

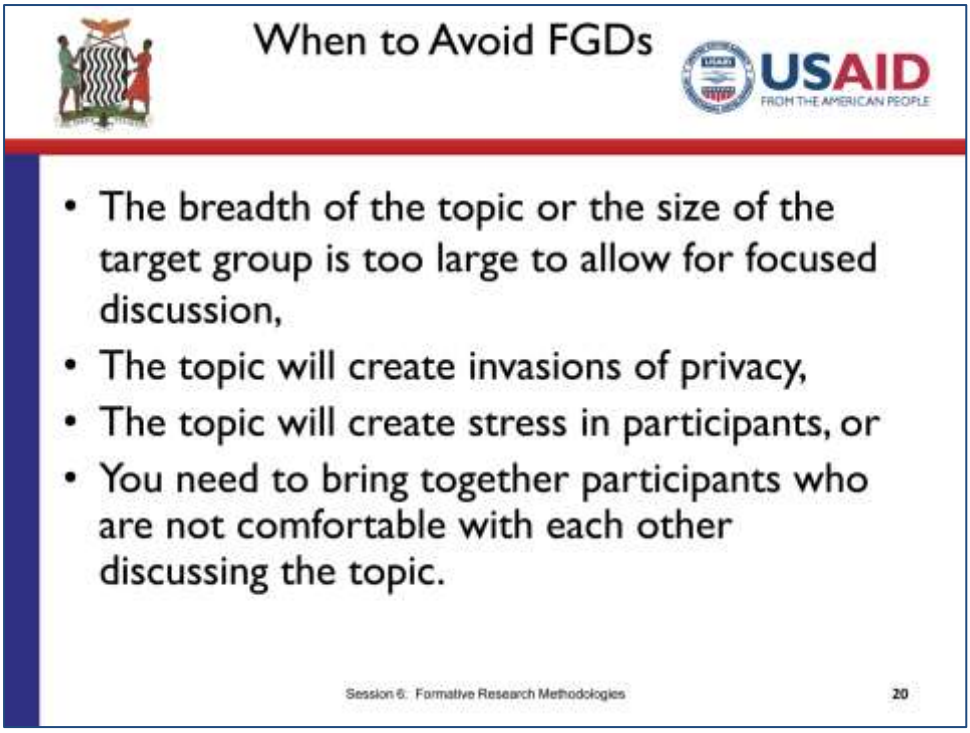


SLIDE 6.19

TIME: 2 minutes

Now let's look at our list of limitations and see how it might be different. **[Compare and contrast the list on the slide with the list you just created.]**

[Change to slide 6.20.]

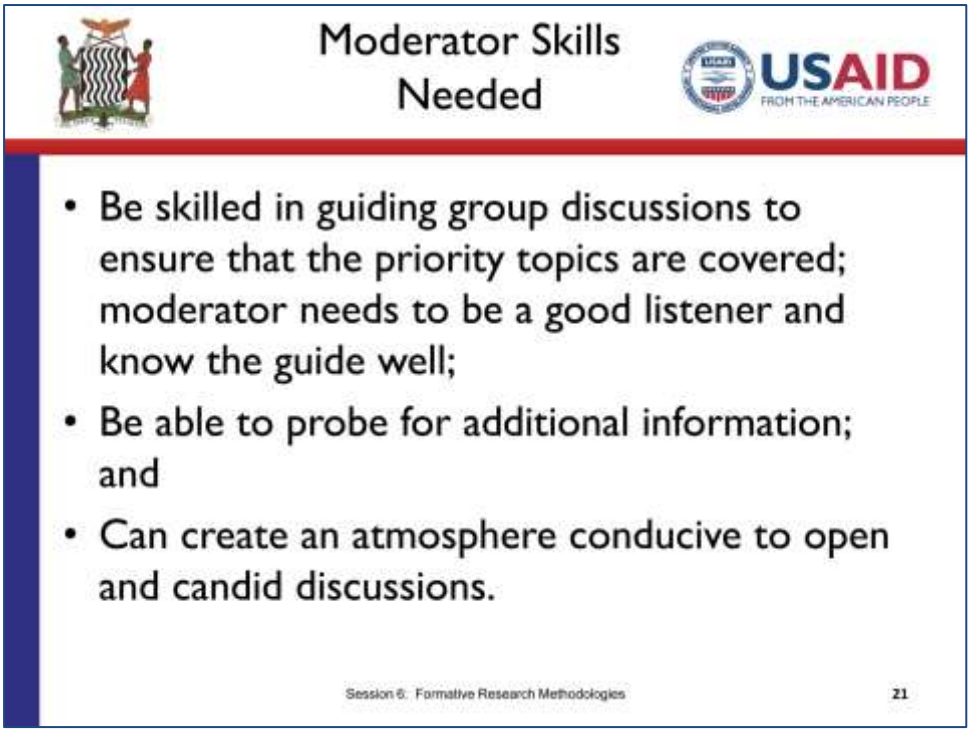


SLIDE 6.20

TIME: 2 minutes

There are situations when you should avoid using focus groups. Some of those situations are listed on this slide. **[Read the slide.]** What other situations can you think of that would not be appropriate for using a focus group methodology? **[Acknowledge responses.]**

[Change to slide 6.21.]

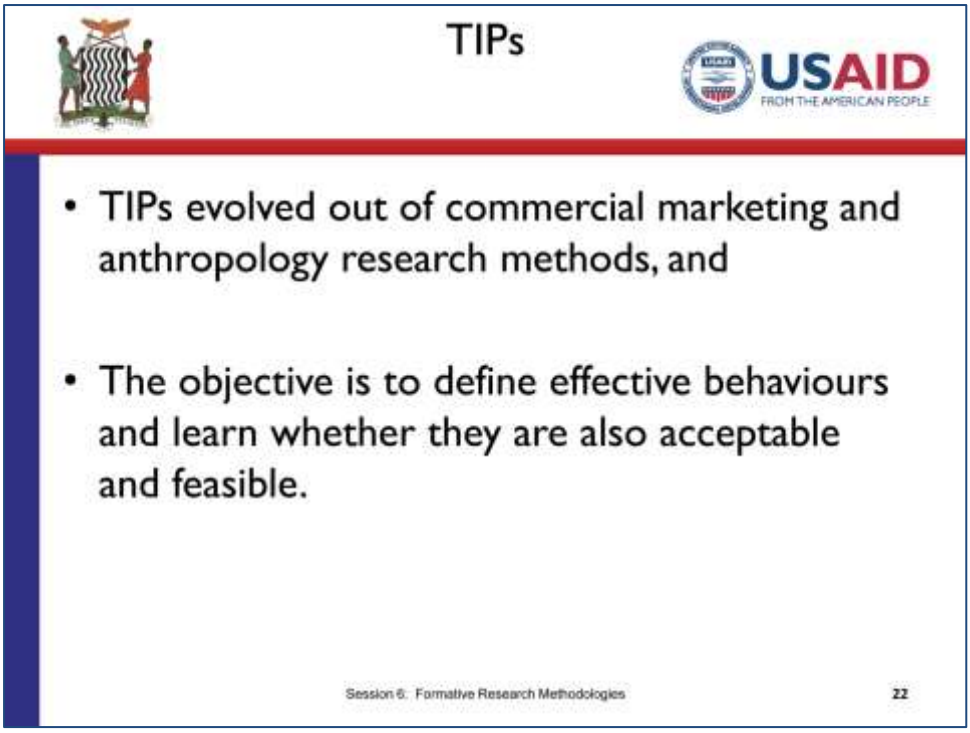


SLIDE 6.21

TIME: 2 minutes

Let's talk for a few minutes about moderator skills. Many times the amount of information you can get from a focus group will depend on the skill of your moderator. We have a short list of skills here on the slide. **[Read the slide.]** What skills would you say a good focus group moderator needs to have? You can expand on some of the skills listed here on the slide, or you can mention something else you've seen in your experience. **[Acknowledge responses.]**

[Change to slide 6.22.]



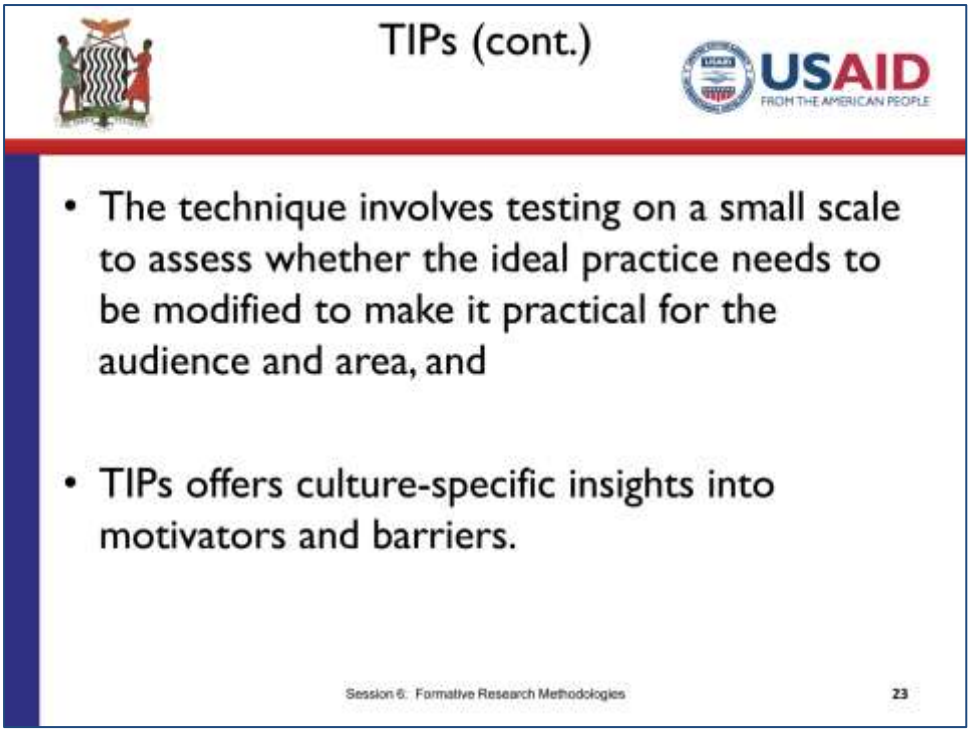
SLIDE 6.22

TIME: 1 minute

Next we're going to talk about Trials of Improved Practice, also known as TIPs. This might be new to many of you. Have any of you heard of it? Can you provide us with a brief overview of the methodology?

The TIPs methodology evolved out of commercial marketing and anthropology research methods. The objective of TIPs is to define effective behaviours and learn whether they are also acceptable and feasible. For example, it may be ideal for every woman to attend six prenatal appointments ... but that may not be feasible in many situations. The question that TIPs address, then, may be to ask how prenatal attendance can be improved. Would it be acceptable for women and feasible for them to attend four prenatal sessions?

[Change to slide 6.23.]

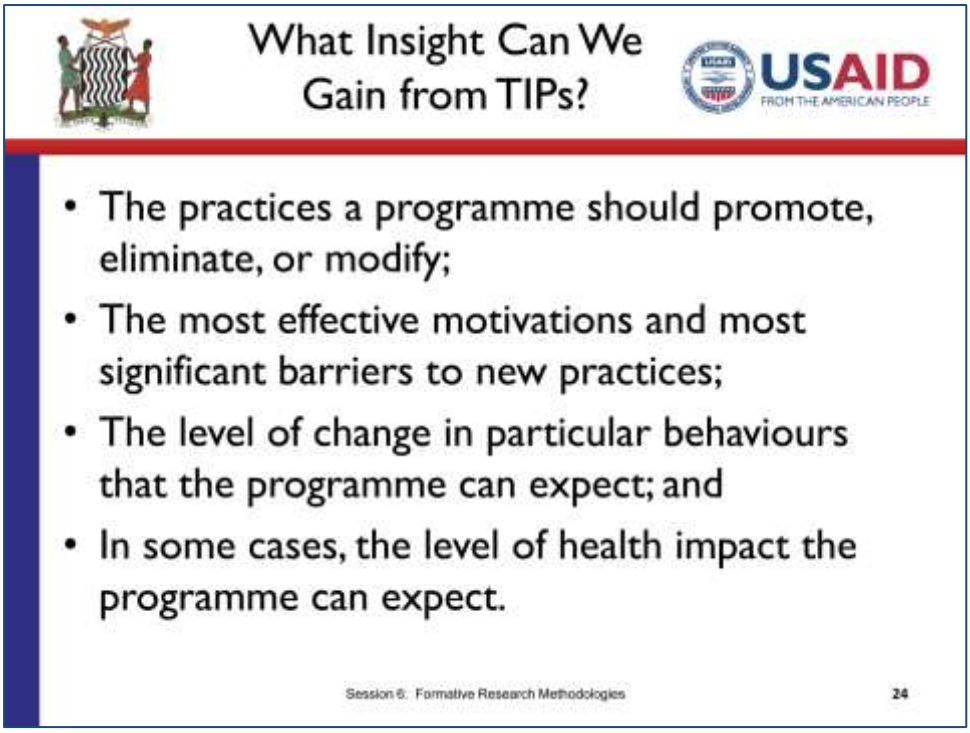


SLIDE 6.23

TIME: 1 minute

The actual technique of TIPs involves testing on a small scale to assess whether the ideal practice needs to be modified to make it practical for the audience and area. Trials offer culturally specific insights into motivators and barriers.

[Change to slide 6.24.]



SLIDE 6.24

TIME: 2 minutes

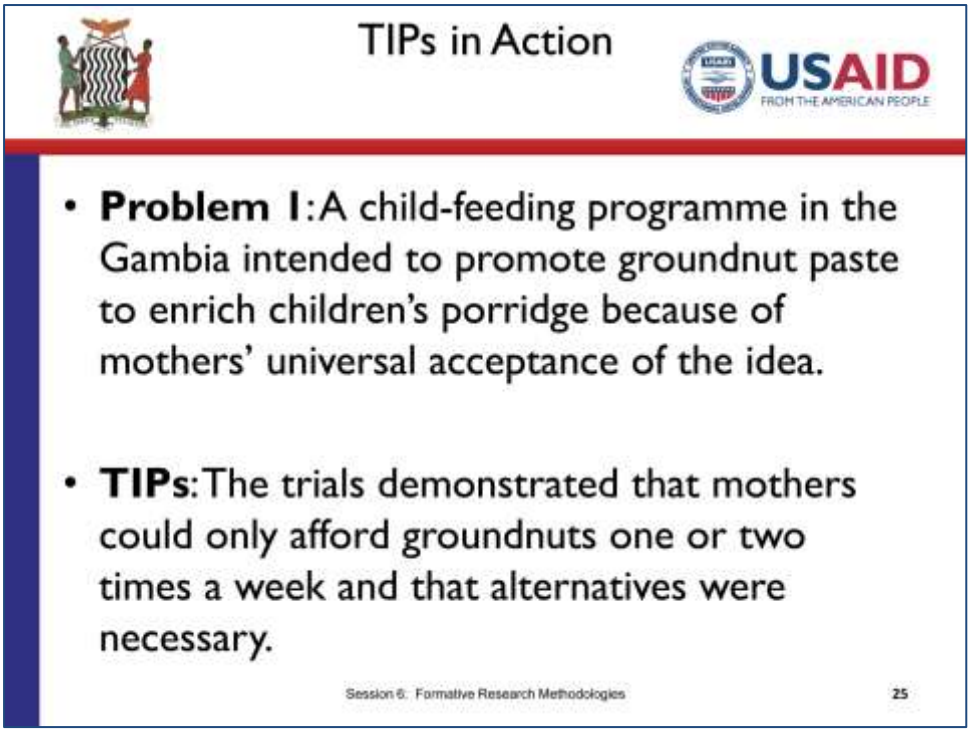
Through TIPs, planners learn from families, providers, or communities. They can learn

- What practices the programme should promote, eliminate, or modify;
- What the most effective motivations and most significant barriers to new practices are; and
- What level of change in particular behaviours the programme can expect.

In some cases, planners can learn what level of health or nutrition impact the programme can expect.

In many cases, trials are the *only* reasonable way, other than learning from programme failures, to gauge the acceptability of a practice or product and determine the best ways of promoting it. Trials are the best way to anticipate and prevent problems in their acceptability and proper use.

[Change to slide 6.25.]



SLIDE 6.25

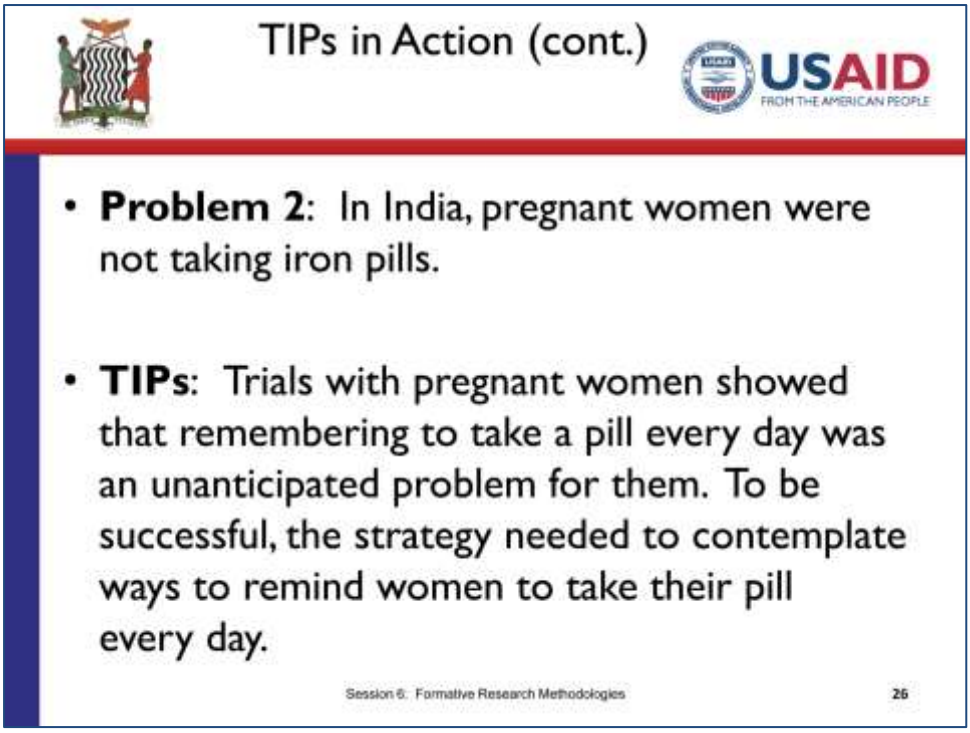
TIME: 2 minutes

Let's look at a few examples of how TIPs were used in programme planning:

Problem 1: **[Read the "Problem" section of the slide.]**

When the programme planners conducted a trial asking mothers to use groundnut paste to enrich the children's porridge, they found that mothers could only afford groundnuts one or two times a week and that alternatives were necessary.

[Change to slide 6.26.]



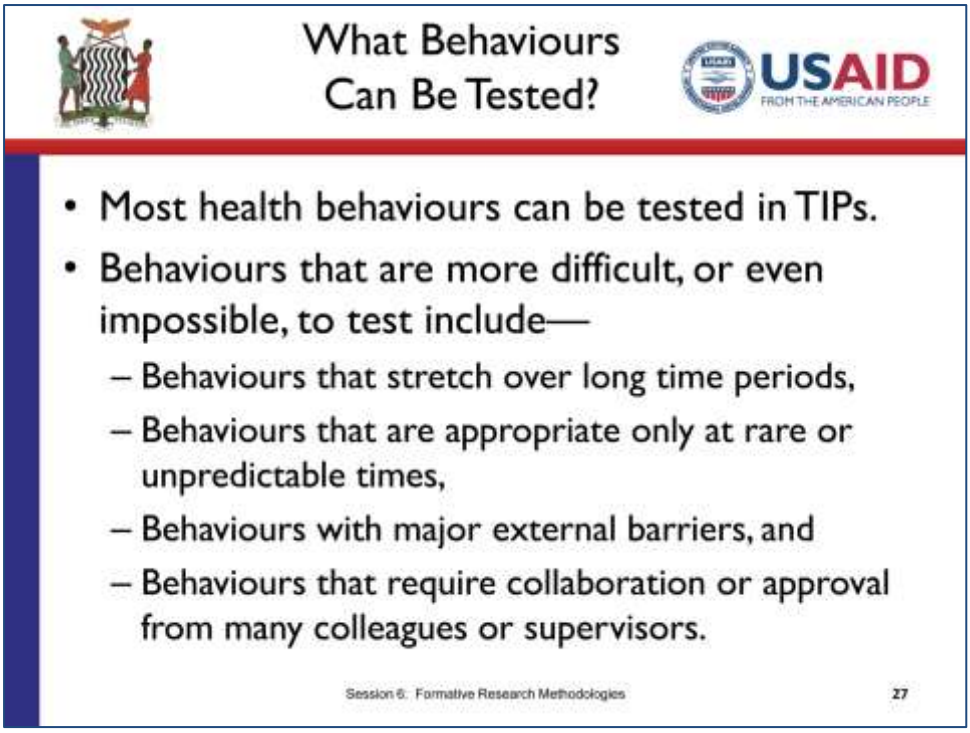
SLIDE 6.26

TIME: 1 minute

[Read the problem statement.]

[Read the TIPs statement.]

[Change to slide 6.27.]



SLIDE 6.27

TIME: 3 minutes

Most health behaviours can be tested in TIPs. Can you think of any examples where doing a trial may be helpful? **[Acknowledge responses.]**

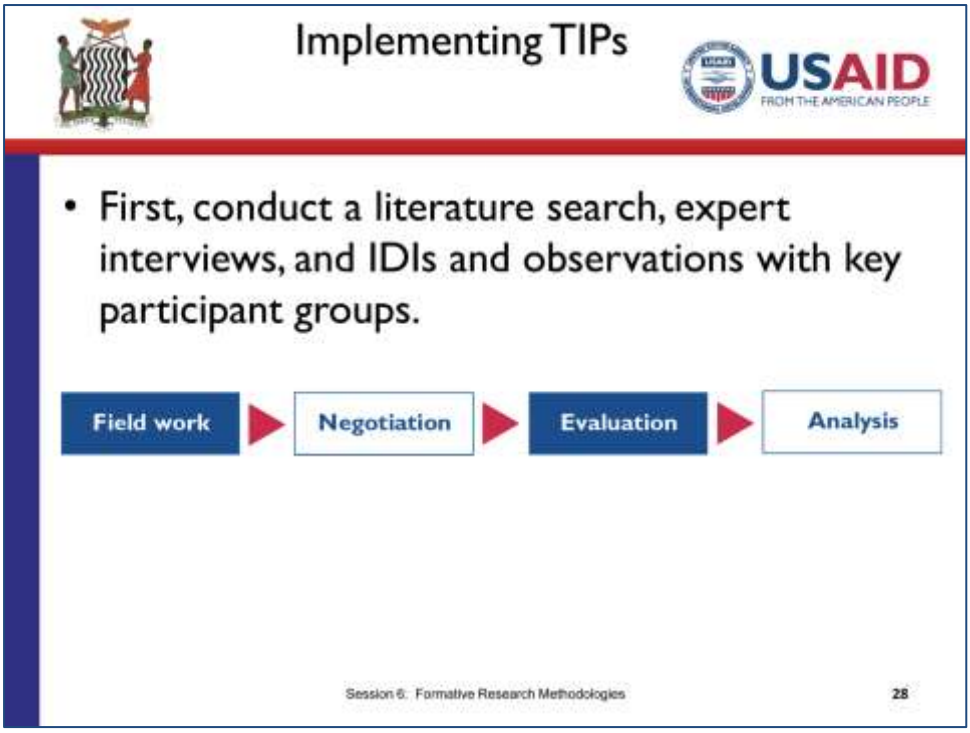
Some behaviours can be difficult to test. These include

- Behaviours that stretch over long time periods
    - For example, get your child fully immunised by age one, breastfeed your child for at least two years.
- Behaviours that are appropriate only at rare or unpredictable times
    - For example, appropriate care-seeking for obstetrical emergencies or communities helping with emergency transport during emergencies.
- Behaviours with major external barriers
    - For example, if a behaviour is the result of a poor policy, perhaps it may be better to turn attention to the policy rather than focus on the behaviour.

- Behaviours that require collaboration or approval from many colleagues or supervisors
    - Unless those colleagues and supervisors are also involved in the trial, that can be difficult to test.

Behavioural changes that are difficult or not possible to test in TIPs can be explored through other methods, such as IDIs or FGDs.

[Change to slide 6.28.]



SLIDE 6.28

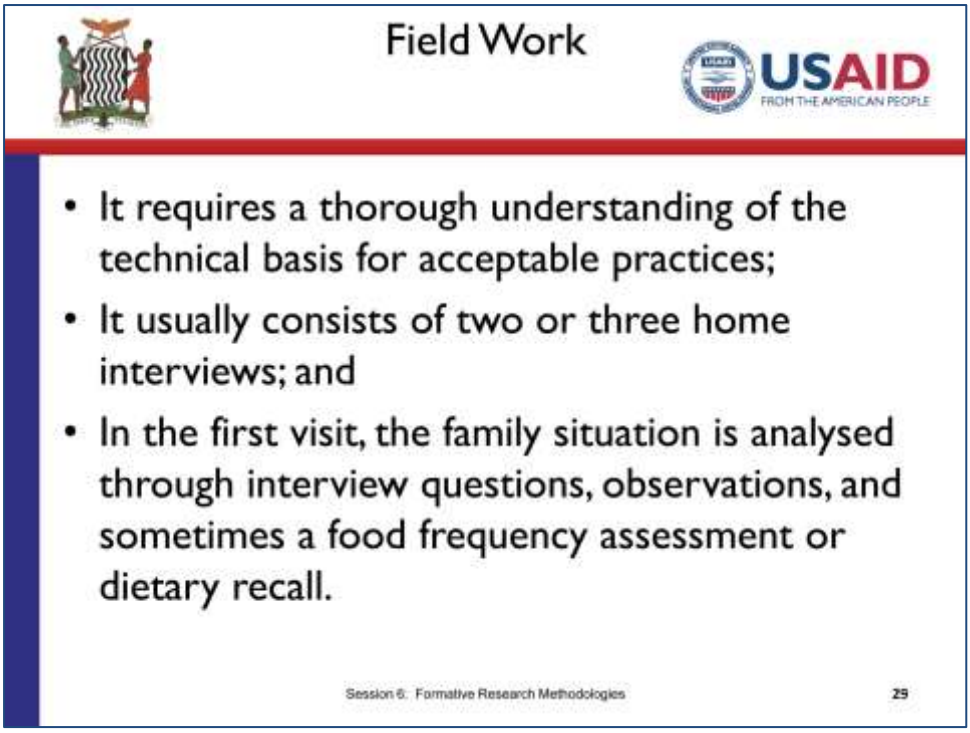
TIME: 1 minute

TIPs are normally included in the second phase of the formative research process, after a literature search, expert interviews, and (often) IDIs and observations with the key participant groups.

Based on the results, the research team designs the TIPs—they designate the types of participants and the sampling plan and develop counselling and motivation guides for the problem practices of interest.

There are four phases to TIPs: Field Work, Negotiation, Evaluation, and Analysis.

[Change to slide 6.29.]



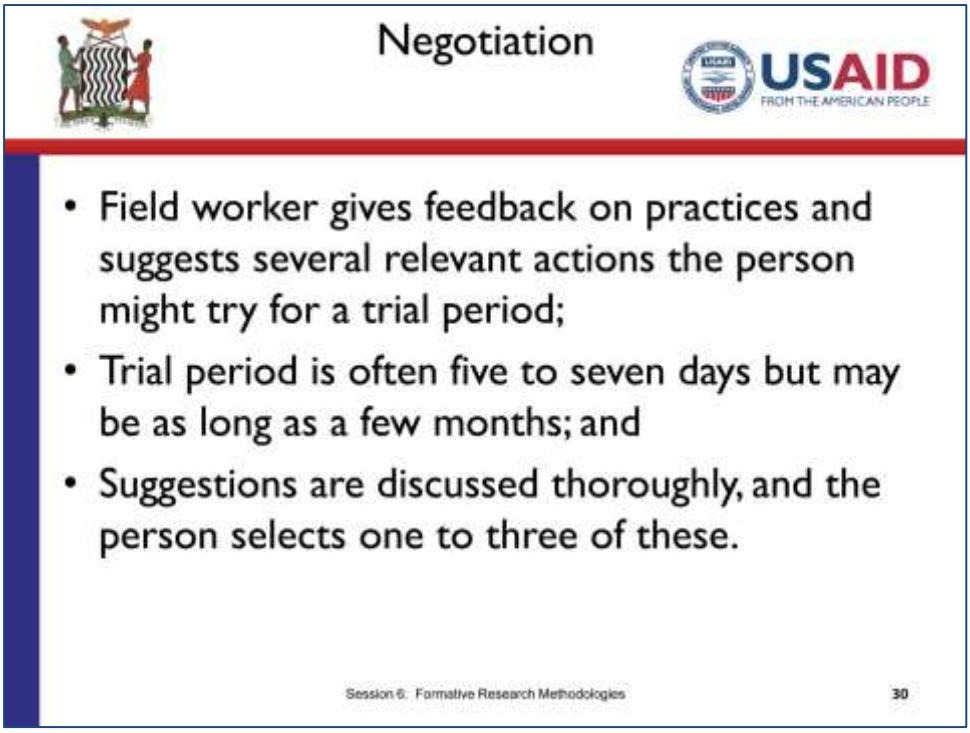
SLIDE 6.29

TIME: 1 minute

Field work is the first phase of TIPs. It requires a thorough understanding of the technical basis for acceptable practices. This ensures that the options discussed with families and their suggestions can be evaluated.

Field work for TIPs usually consists of two or three home interviews. In the first visit, called the assessment, the family situation is analysed through interview questions, observations, and sometimes a food frequency assessment or dietary recall.

[Change to slide 6.30.]

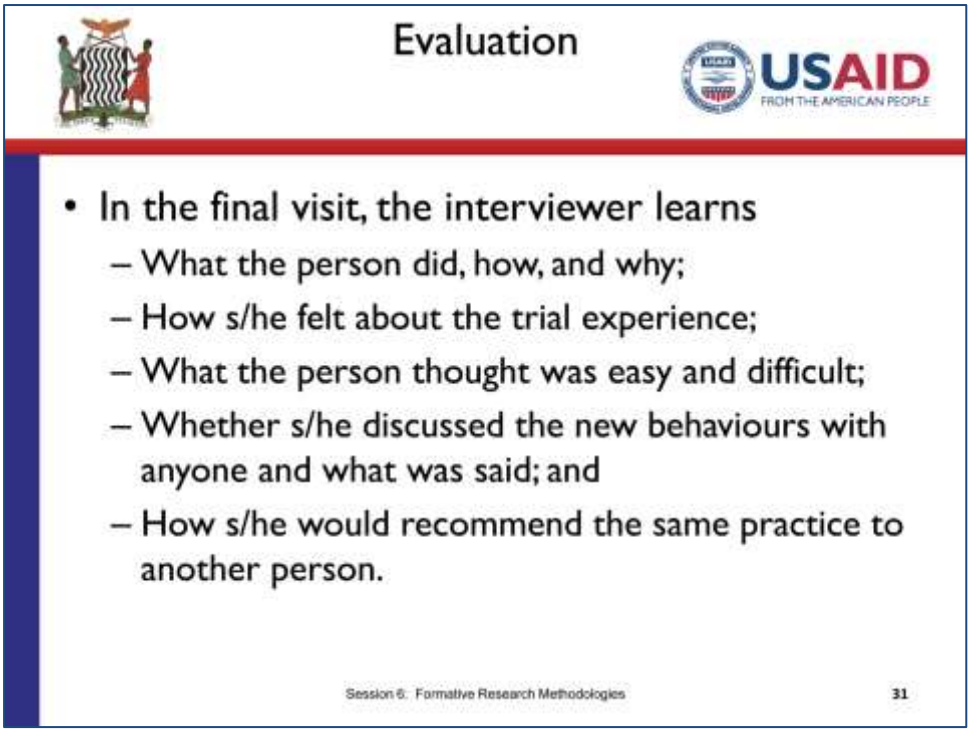


SLIDE 6.30

TIME: 1 minute

After the assessment visit, the field worker conducts a negotiation visit. During this visit, the field worker gives feedback to the person on his or her practices (both on what is being done well and areas where he or she might improve) and suggests several relevant actions he or she might try for a trial period. This period is often five to seven days but may be as long as a few months. These suggestions are discussed thoroughly, and the person selects one to three of these ideas for trial.

[Change to slide 6.31.]



SLIDE 6.31

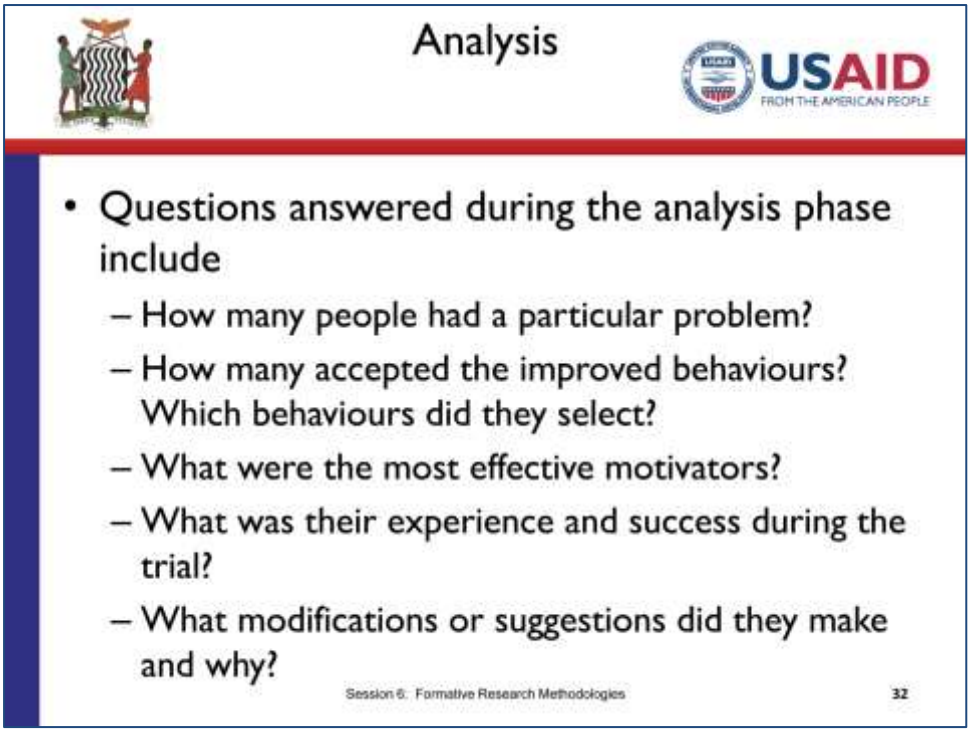
TIME: 2 minutes

In the final visit, called the evaluation visit, the interviewer learns

- What the person did, how, and why;
- How he or she felt about the trial experience;
- What was easy and what was difficult;
- Whether he or she discussed the new behaviours with anyone and what was said; and
- How he or she would recommend the same practice to another person.

What kinds of information do you think might be learned during the analysis of the TIPs findings? **[Pause and allow participants to respond.]**

[Change to slide 6.32.]

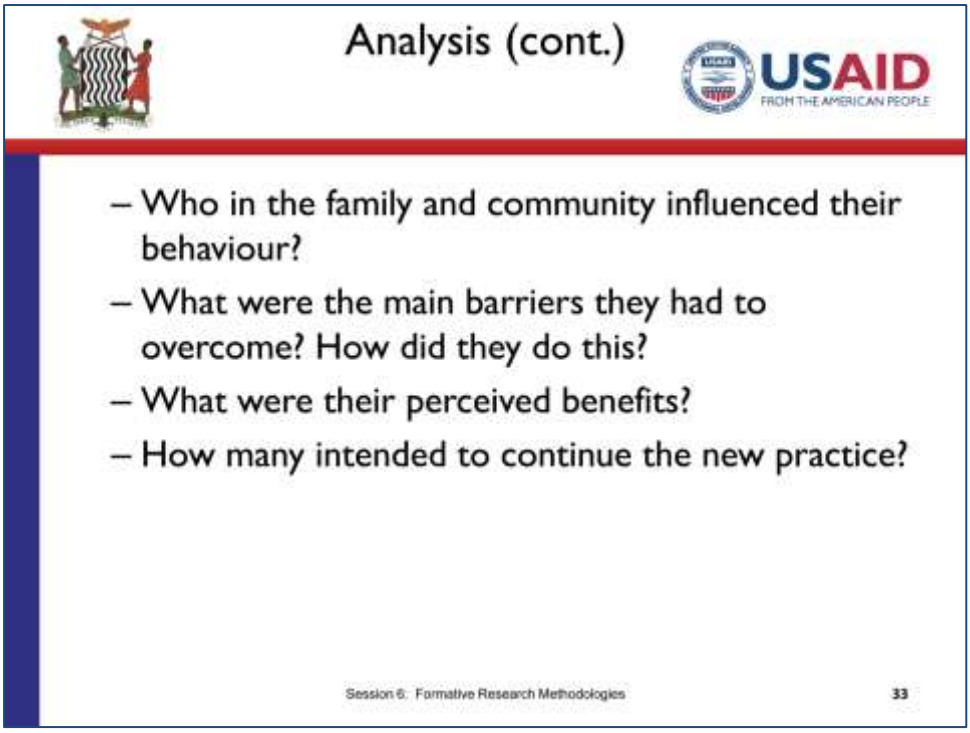


SLIDE 6.32

TIME: 1 minute

Analysis in TIPs is fairly straightforward. Some of the questions that you would want to answer in an analysis of the trial are **[Read the slide.]**

[Change to slide 6.33.]



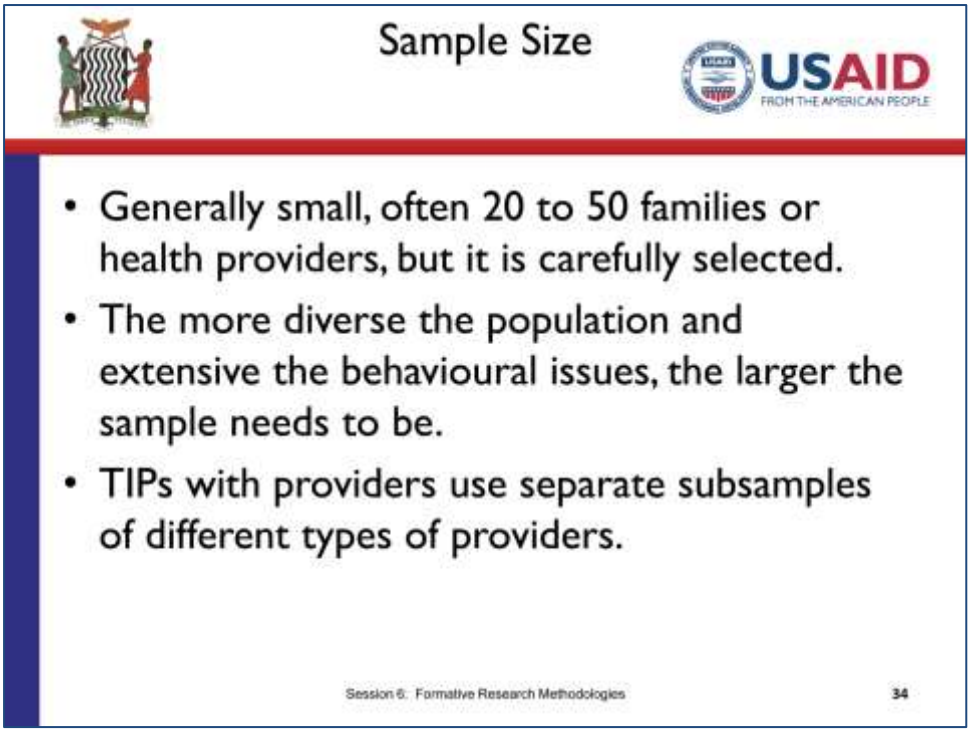
SLIDE 6.33

TIME: 1 minute

Other questions that you will want to answer are **[Read the slide.]**

After the analysis you can take what you learned and apply it to developing your behaviour change program.

[Change to slide 6.34.]



SLIDE 6.34

TIME: 1 minute

The TIPs sample is generally small, often 20 to 50 families or health providers, but it is carefully selected. The more diverse the population and extensive the behavioural issues, the larger the sample needs to be.

[Change to slide 6.35.]

SLIDE 6.35

TIME: 2 minutes

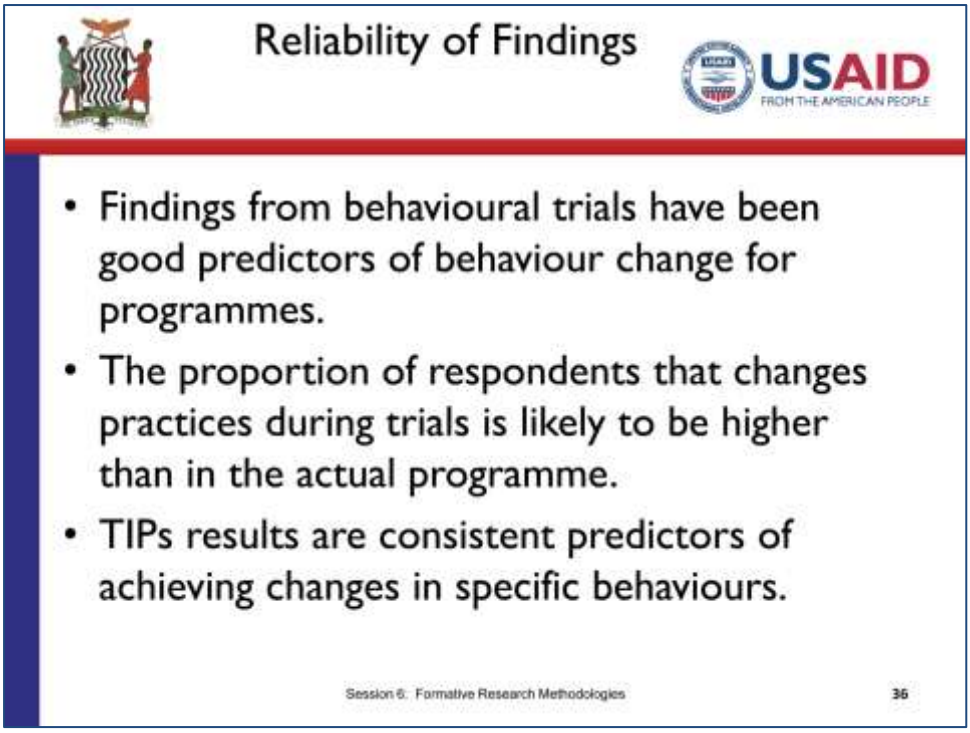
Most trials last about a week, but the length of the trial varies depending on the nature of the behaviours being studied as well as on practical considerations.

For example, a trial on attending an upcoming National Immunisation Day needs to last only one day.

In contrast, the trials for using insecticide-treated bed nets lasted several months in Zambia to learn about families' willingness to continue to use nets even after the high season for mosquitoes ended. To learn about families' willingness to re-dip their nets, trials would have to last six months or more, which is not practical in most circumstances.

Trials on male participation in family planning in Pakistan lasted four months, with researchers interviewing various family members at several points in time to learn about intra- and extra-family discussions, feelings, and practices.

[Change to slide 6.36.]



SLIDE 6.36

TIME: 3 minutes

Over the past 20 years, the findings from behavioural trials have been good predictors of behaviour change. Although it is possible—it might even be likely—that the proportion of respondents that changes practices during trials is higher than in the actual programme, the TIPs results are consistent predictors of achieving behaviour change.

The more true-to-life a trial can be, the more it will reveal. As much as possible, the counselling and other supports to new behaviours in TIPs should be provided in the actual programme you are planning. If people are unwilling or unable to carry out new practices even with good, intense counselling during TIPs, there is little reason to expect better results in the programme itself.

Please review the handout on page 147 of your booklet that includes a diagram to help you select the best method for your research study. That brings us to the end of Session 6. Do you have any questions about the information we covered in this session? **[Answer participant questions or ask other participants to answer the questions.]**

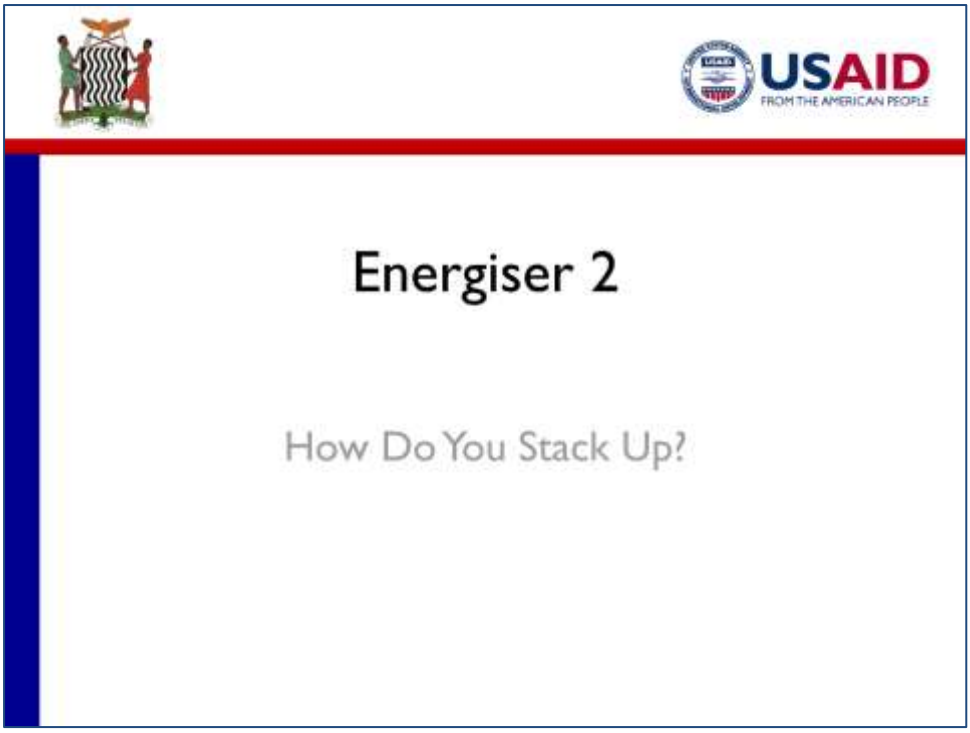
[End the session and provide instructions about lunch locations(s) and options, as well as what time to be back for the next session.]

Energiser 2:
How Do You Stack Up?

TIME: 30 minutes

PROCESS:

1. Explain to participants that you will be conducting an energiser exercise in which they will line up lowest to highest, from left to right, according to different criteria. Tell them that they will arrange themselves in a line four times based on the criteria WITHOUT TALKING. If the participants do not figure it out within a few minutes of the exercise, tell them they can use gestures to determine the line-up.
2. Ask participants to line up according to their shoe size.
3. Ask participants to line up according to the number of their siblings.
4. Ask participants to line up according to the number of their children.
5. Ask participants to line up according to the number of years they have been at their current place of employment.

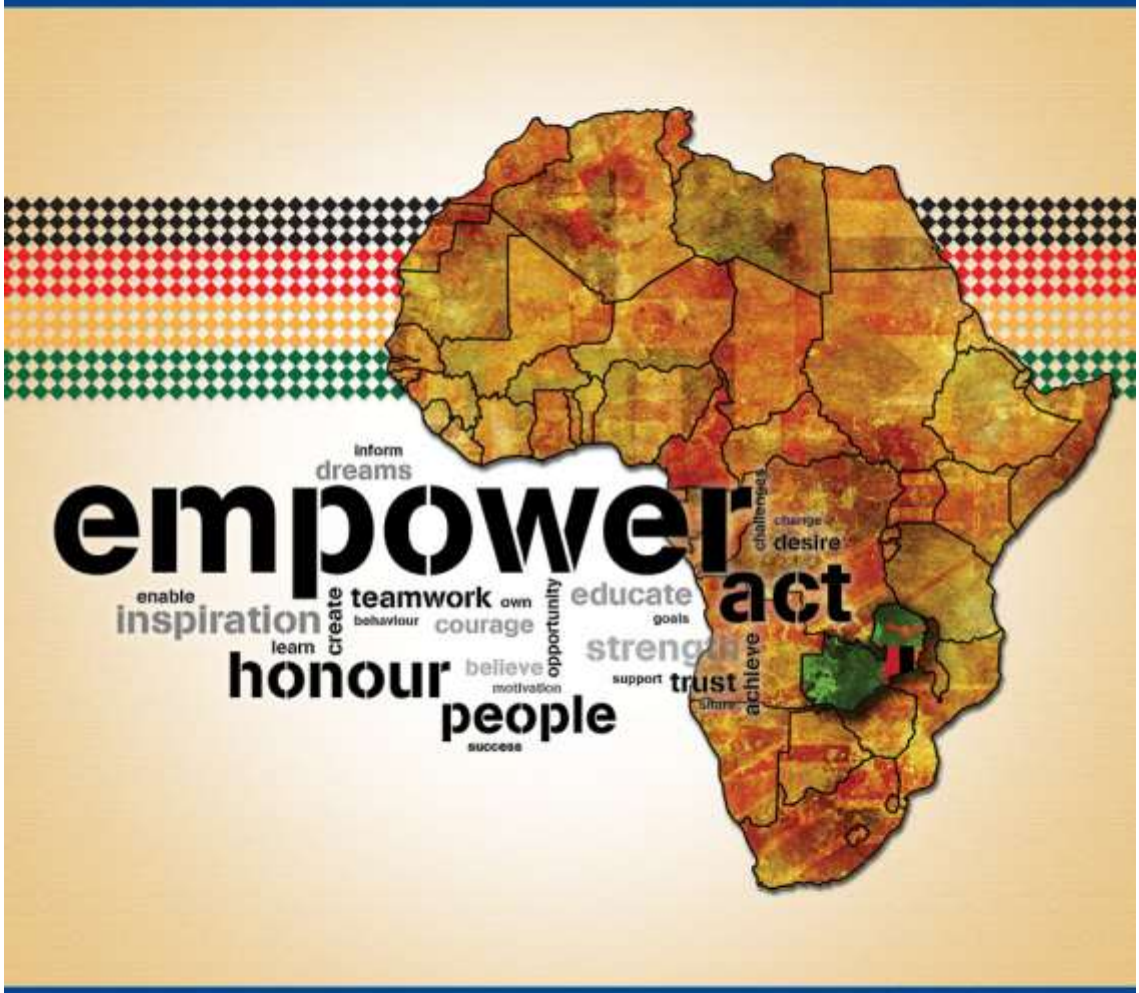


ENERGISER 2

TIME: 30 minutes

[Follow the instructions on the previous page.]

SESSION 7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goals
learn
honour
believe
motivation
strength
support
trust
achieve
people
success

Session 7:
Formative Research Tools

TIME: 105 minutes

PURPOSE:

- To provide an overview of the tools used in focus group discussions and in-depth interviews and guidance on creating open-ended questions.

LEARNING OBJECTIVES:

- To describe the content of a moderator or interview guide,
- To explain the purpose of a screener,
- To discuss the importance of informed consent,
- To identify the difference between closed- and open-ended questions, and
- To develop open-ended questions.

METHODOLOGIES:

- Lecture
- Questions and answers
- Small-group exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers

KEY DISCUSSION POINTS

- Check with participants to make sure they understand how to create open-ended questions. If necessary, offer to go over the process with participants individually during one of the breaks.
- Highlight the importance of developing a screener that reflects the search criteria and includes clear instructions for recruiters.
- Stress the need to obtain informed consent from all research participants to ensure that they understand the purpose and content of the research study, and their rights as participants.

SLIDE 7.1

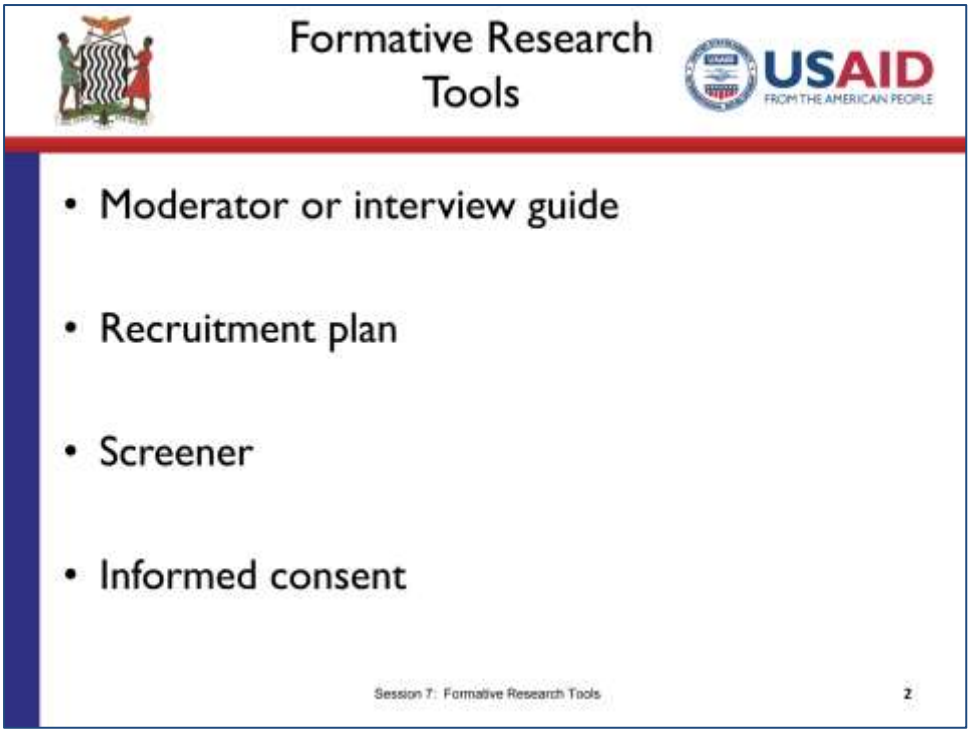
TIME: 2 minutes

[Once the participants have taken their seats, start the session.]

In this session, we will be reviewing the tools that you will need to carry out formative research activities. These tools include the moderator or interview guide, recruitment plan, screener, and informed consent form. We will discuss what is important to include in these tools. We will also spend some time on how to write interview and focus group questions.

What tools have you used in the past when conducting research? **[Acknowledge responses. Probe: Have you used a moderator or interview guide? A recruitment plan? A screener? An informed consent form?]**

[Change to slide 7.2.]



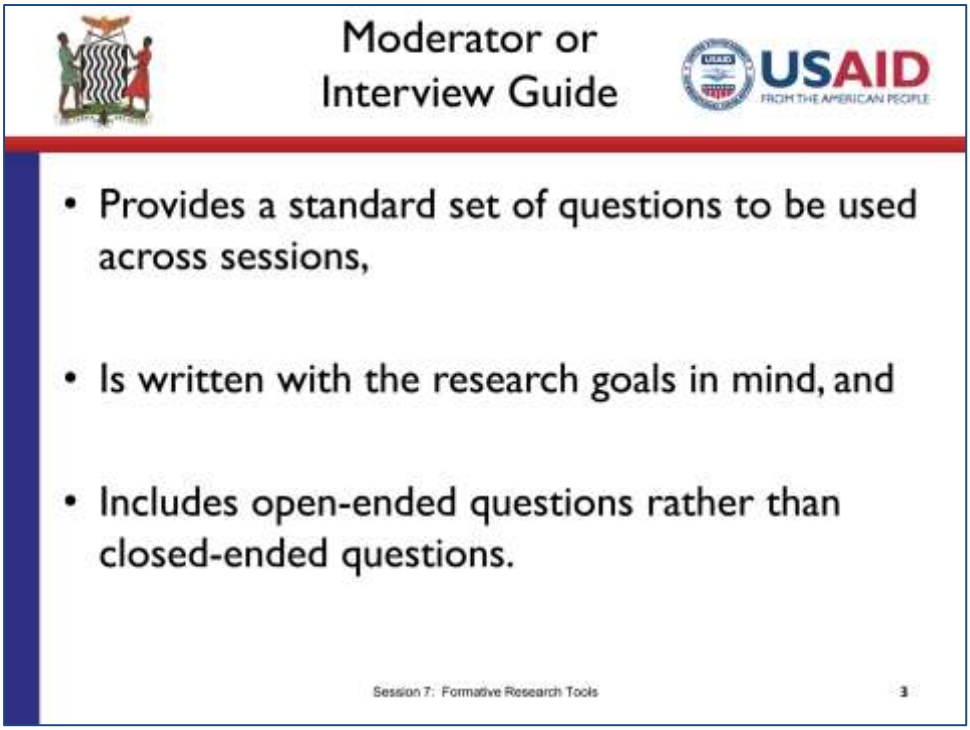
SLIDE 7.2

TIME: 2 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.] Here we have a list of tools used in formative research.

Let's begin with the moderator or interview guide. Can anyone tell me what the purpose of the guide is? **[Acknowledge responses.]**

[Change to slide 7.3.]



SLIDE 7.3

TIME: 2 minutes

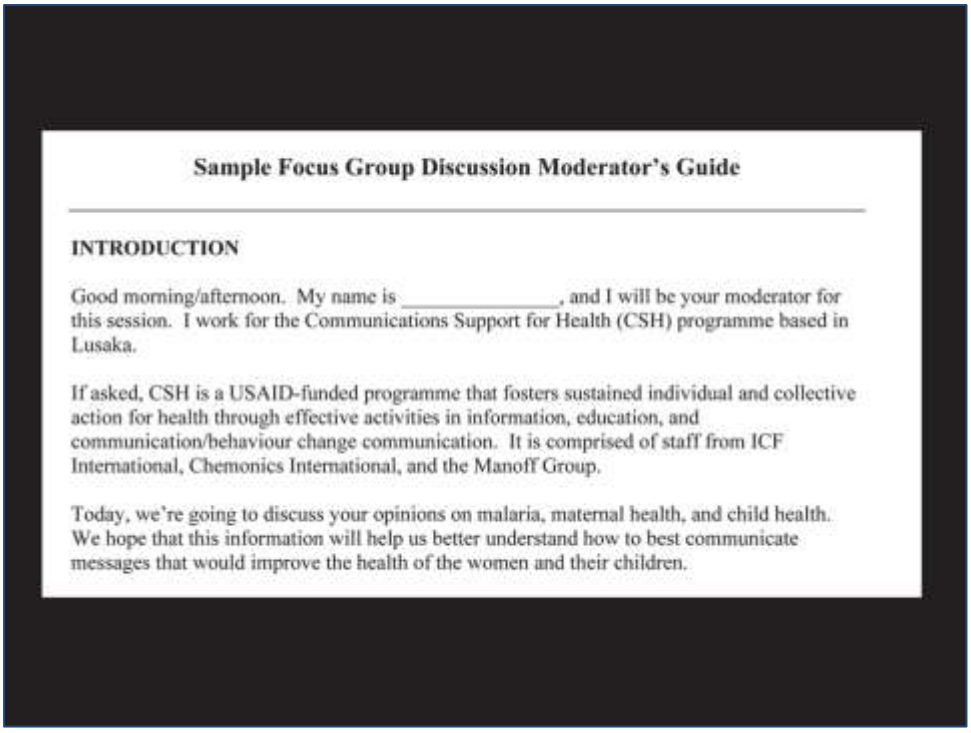
[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.] The purpose of the moderator or interview guide is to provide a standard set of questions to be used in FGDs and IDIs. Using a guide that has the same questions for each segment helps researchers to compare responses across different groups and individuals. This is particularly useful for comparing the responses of those who do a particular behaviour and those who do not.

The guide should also be written with the research goals in mind. We'll discuss this point in more detail later in this session.

The guide should include open-ended questions rather than closed-ended questions. As we talked about in an earlier session, open-ended questions provide more information than closed-ended questions and help to answer "why" or "how" a person or group does or does not practice a particular behaviour.

Now, let's go a little more in-depth about what these questions entail.

[Change to slide 7.4.]



Sample Focus Group Discussion Moderator's Guide

INTRODUCTION

Good morning/afternoon. My name is _____, and I will be your moderator for this session. I work for the Communications Support for Health (CSH) programme based in Lusaka.

If asked, CSH is a USAID-funded programme that fosters sustained individual and collective action for health through effective activities in information, education, and communication/behaviour change communication. It is comprised of staff from ICF International, Chemonics International, and the Manoff Group.

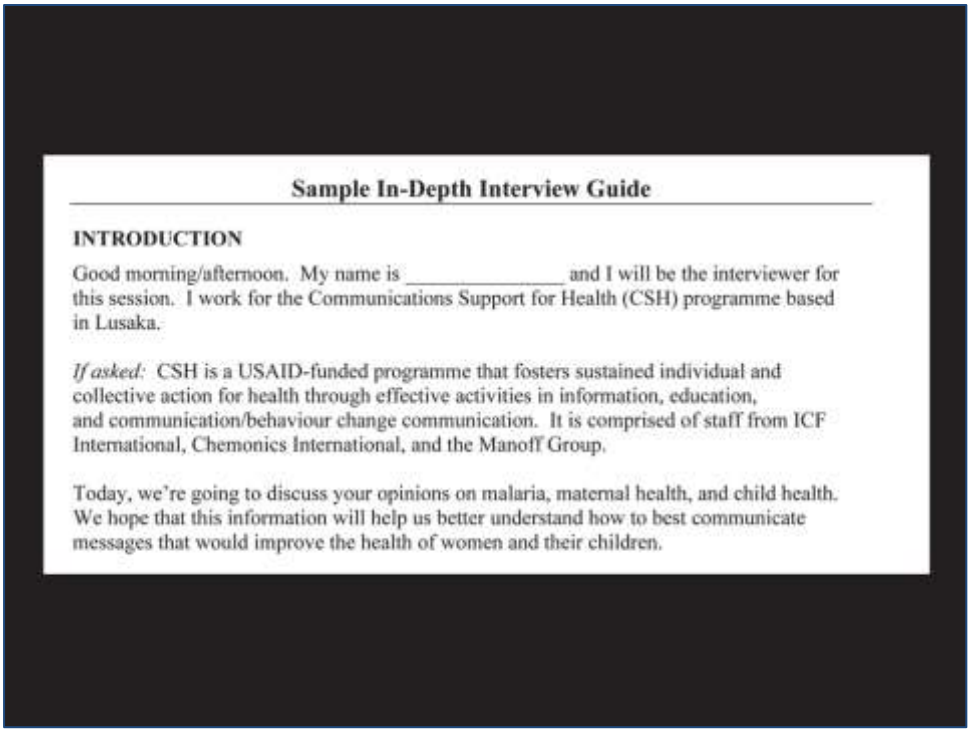
Today, we're going to discuss your opinions on malaria, maternal health, and child health. We hope that this information will help us better understand how to best communicate messages that would improve the health of the women and their children.

SLIDE 7.4

TIME: 1 minute

Look at the sample moderator guide for focus groups on your CD-ROM the next time you're preparing for a focus group study.

[Change to slide 7.5.]



Sample In-Depth Interview Guide

INTRODUCTION

Good morning/afternoon. My name is _____ and I will be the interviewer for this session. I work for the Communications Support for Health (CSH) programme based in Lusaka.

If asked: CSH is a USAID-funded programme that fosters sustained individual and collective action for health through effective activities in information, education, and communication/behaviour change communication. It is comprised of staff from ICF International, Chemonics International, and the Manoff Group.

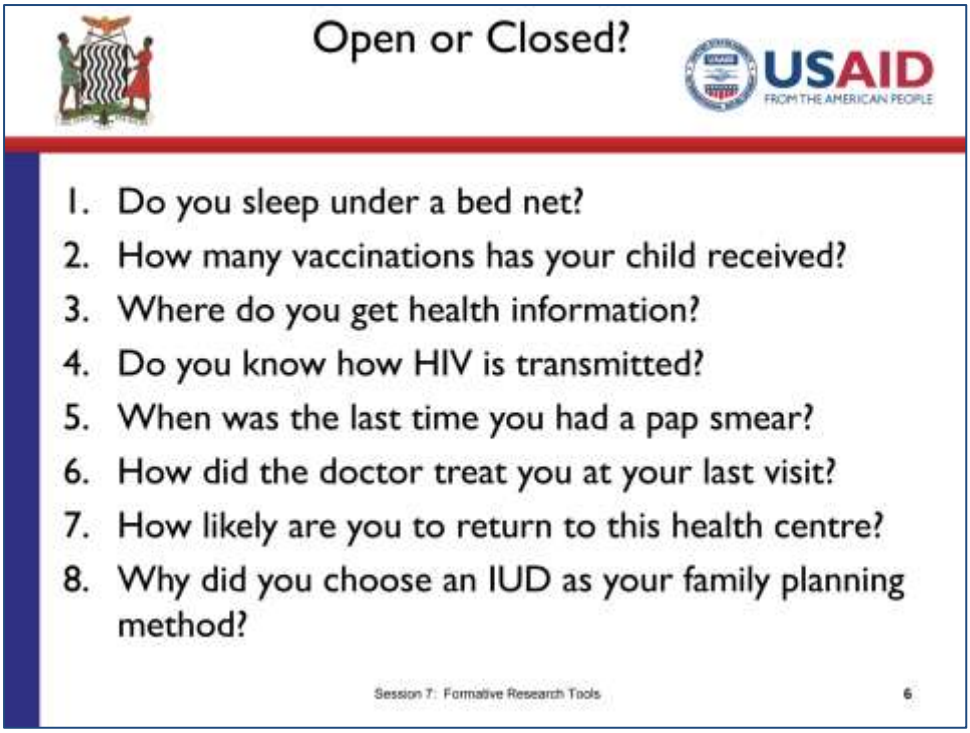
Today, we're going to discuss your opinions on malaria, maternal health, and child health. We hope that this information will help us better understand how to best communicate messages that would improve the health of women and their children.

SLIDE 7.5

TIME: 1 minute

There's also a sample interview guide on your CD-ROM for your reference.

[Change to slide 7.6.]



SLIDE 7.6

TIME: 12 minutes

So, as we discussed, moderator or interview guides should always include open-ended instead of closed-ended questions.

Can anyone remind me of the difference between open-ended and closed-ended questions? **[Acknowledge responses.]**

[If necessary, provide information that was not mentioned by the group in response to the previous question.] Closed-ended questions limit the responses of participants in focus groups and interviews. For example, participants are only allowed to choose from a pre-existing set of answers, including yes/no, true/false, or a set of defined multiple responses such as ranking their satisfaction from one to 10.

Open-ended questions do not give respondents the answers to choose from. Instead, they are phrased in a way so that participants are encouraged to explain their answers and reactions. These types of questions provide more detailed information and help to identify unexpected findings.

We're now going to do an exercise working on open-ended and closed-ended questions. With your group, please review the questions on this slide. Review these questions very carefully and decide with your group members whether each question is open-ended or closed-ended. At the end of the exercise, your group should have eight answers—one for each question. You'll have five minutes to complete the exercise.

[Allow five minutes for groups to categorise the questions. End the exercise earlier than five minutes if it appears that all of the groups have completed the exercise.]

Now, let's go through each question and talk about whether they are open-ended or closed-ended. Which group would like to volunteer and tell us whether "do you sleep under a bed net?" is an open-ended or closed-ended question?

[Go through each question and encourage different groups to give their answers. Use this answer key: (1) closed, (2) closed, (3) open, (4) closed, (5) closed, (6) open, (7) closed, (8) open.]

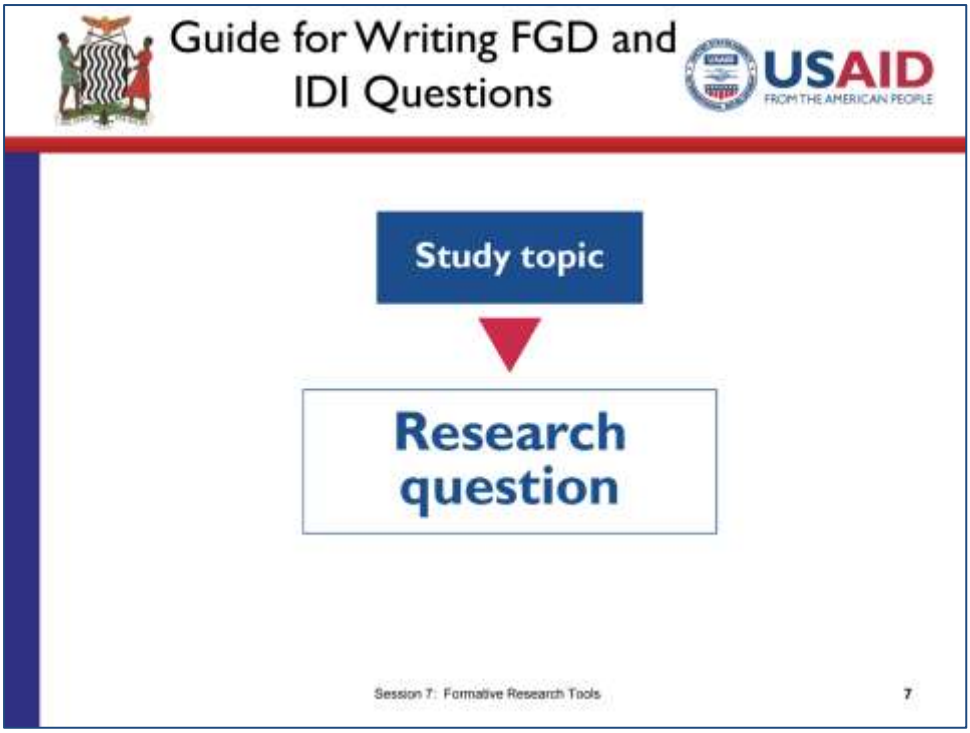
Now that we've had time to go over examples of open-ended and closed-ended questions, let's talk about some of your experiences when writing questions for a moderator or interview guide.

For those of you who have experience with developing guides, what successes have you had? Give us some examples of studies you have done that have gone well because of how you developed your guide. **[Acknowledge responses.]**

Now, tell us about any difficulties you have had with developing guides. **[Acknowledge responses.]**

Thank you for your input. It's always good to hear what has gone well and not so well so that we can learn from each other's experiences. If you want to see more tips on writing open-ended questions, take a look at the handout in your booklet on page 148.

[Change to slide 7.7.]



SLIDE 7.7

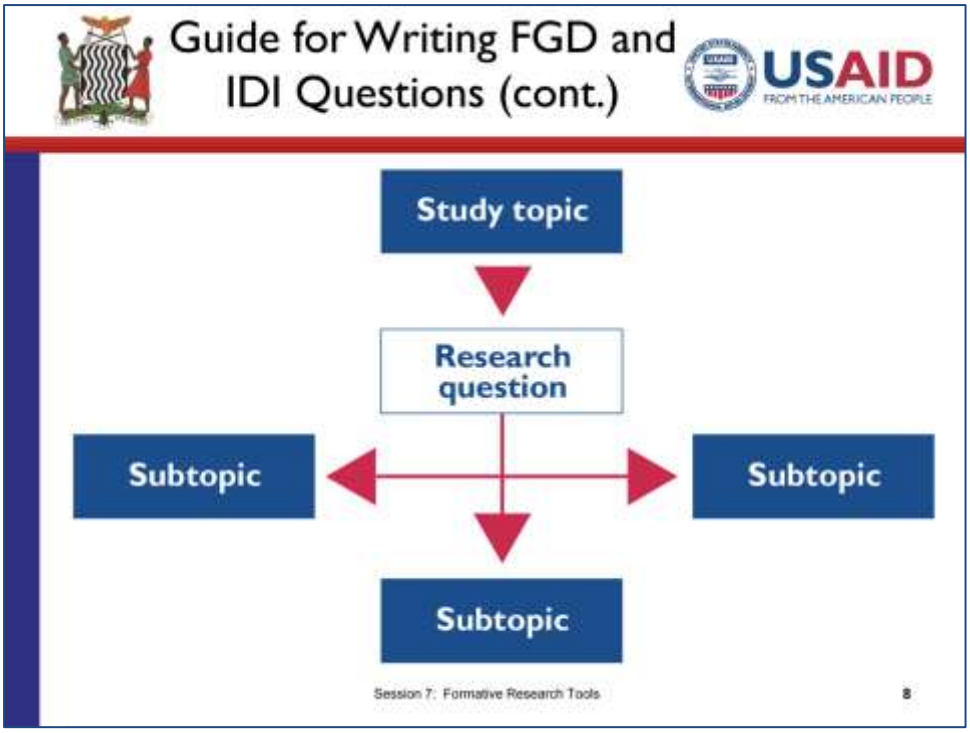
TIME: 1 minute

Let's move into how to write focus group and interview questions.

Let's start with talking about the general process for developing your questions—and then we'll get into examples and specifics.

As I touched on earlier, you always want to start developing your guide by thinking about your research questions. You should be including questions in your guide that, in the end, will draw out information to help you answer those research questions.

[Change to slide 7.8.]



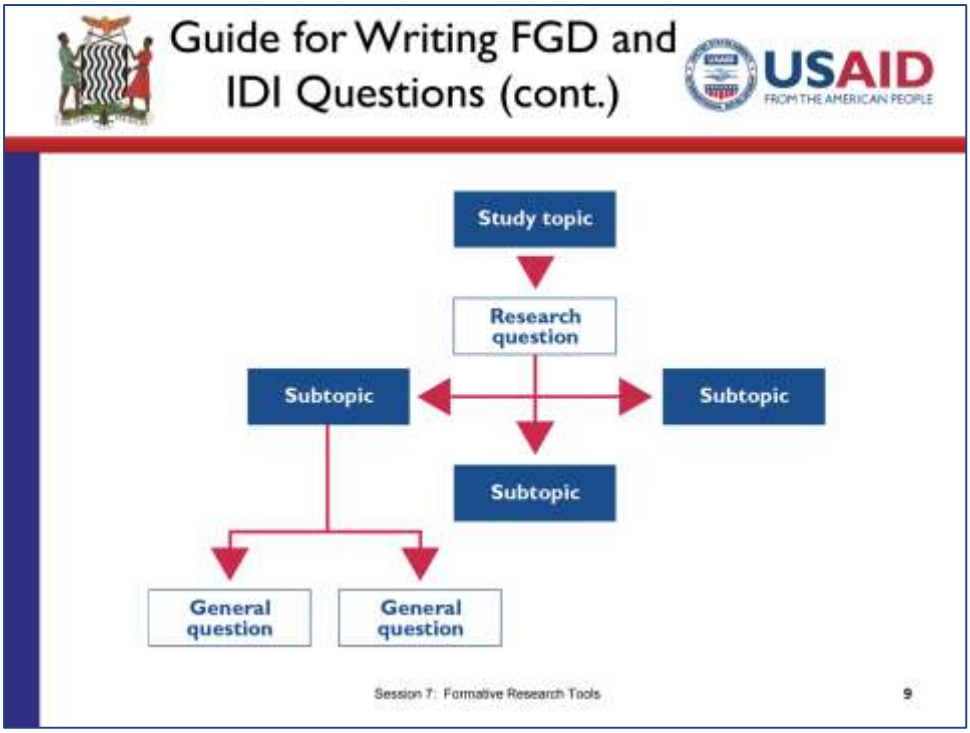
SLIDE 7.8

TIME: 1 minute

By their nature, research questions can be fairly broad. These are big questions!

It can be helpful to break the research questions down further into subtopics you want to explore. By "subtopics," I mean basic chunks or categories of information that you want to investigate in order to answer your research question.

[Change to slide 7.9.]

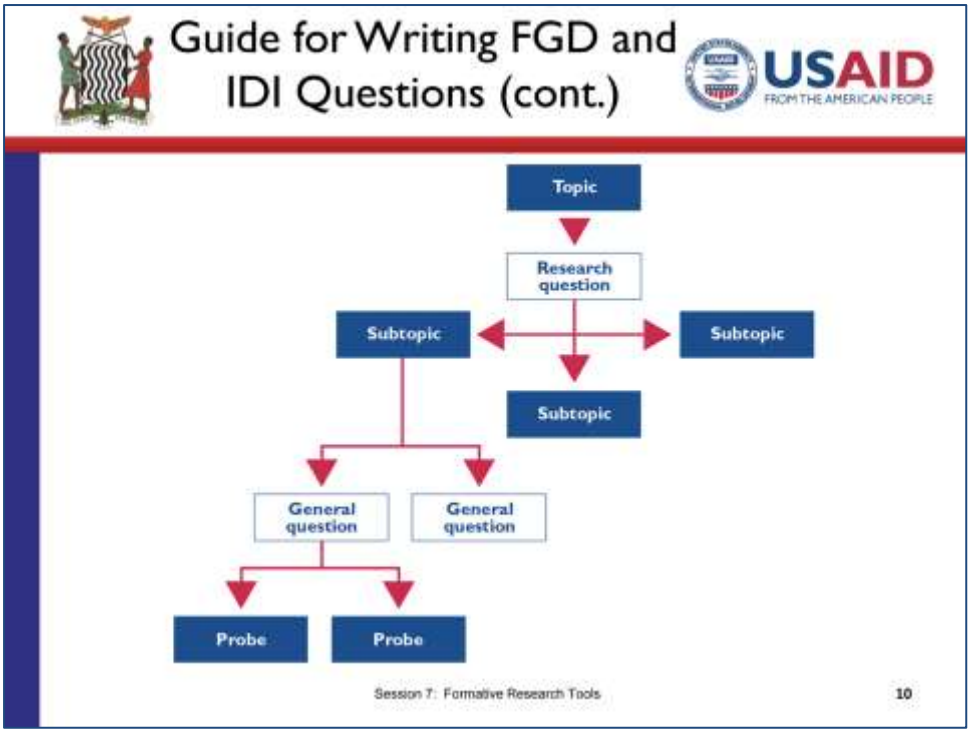


SLIDE 7.9

TIME: 1 minute

For each subtopic, you'll want to begin with general questions. These are broad questions on that subtopic that you would use as your main or leading questions in your focus group or interview guide.

[Change to slide 7.10.]



SLIDE 7.10

TIME: 1 minute

The next level of questions is called probes. These are questions you have in your guide in case the general question was not fully answered or you would like clarification or more specifics on an answer that was vague.

[Change to slide 7.11.]

SLIDE 7.11

TIME: 2 minutes

Let's look at an example of what I mean. Let's say you are developing a campaign to encourage women to breastfeed their babies exclusively up to the age of six months. Depending on the context, you may have several research questions, such as:

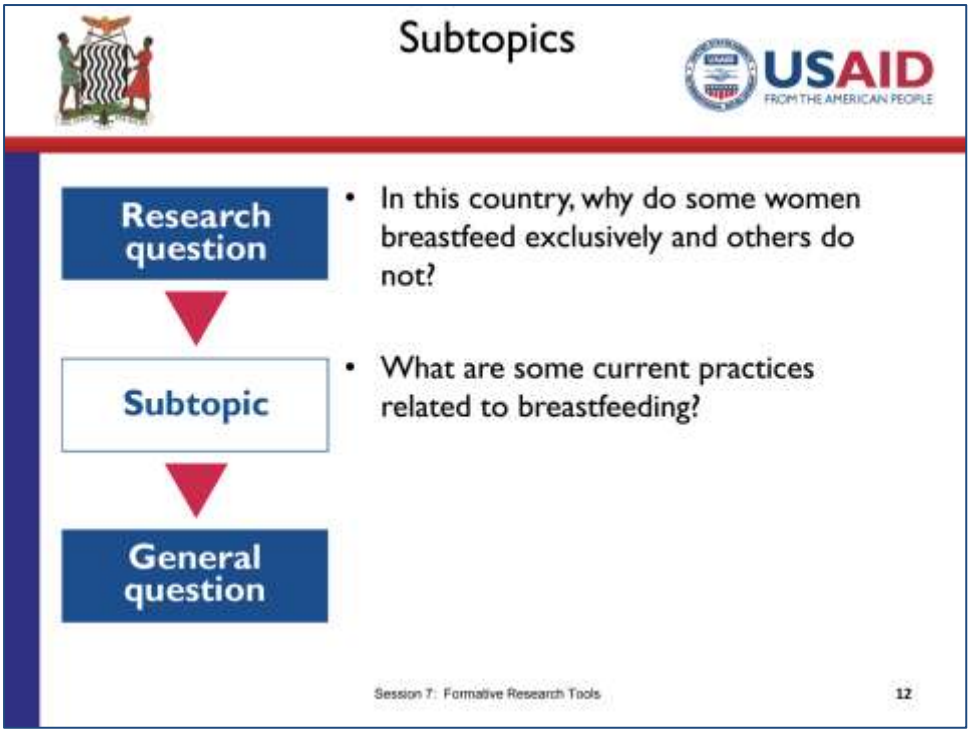
In this country, why do some women breastfeed exclusively and others do not?

Why do some women breastfeed for longer than others?

Who is important to reach with breastfeeding messages, and what is the best way to reach them?

You should write your focus group moderator's guide or interview guide according to those research questions.

[Change to slide 7.12.]



SLIDE 7.12

TIME: 3 minutes

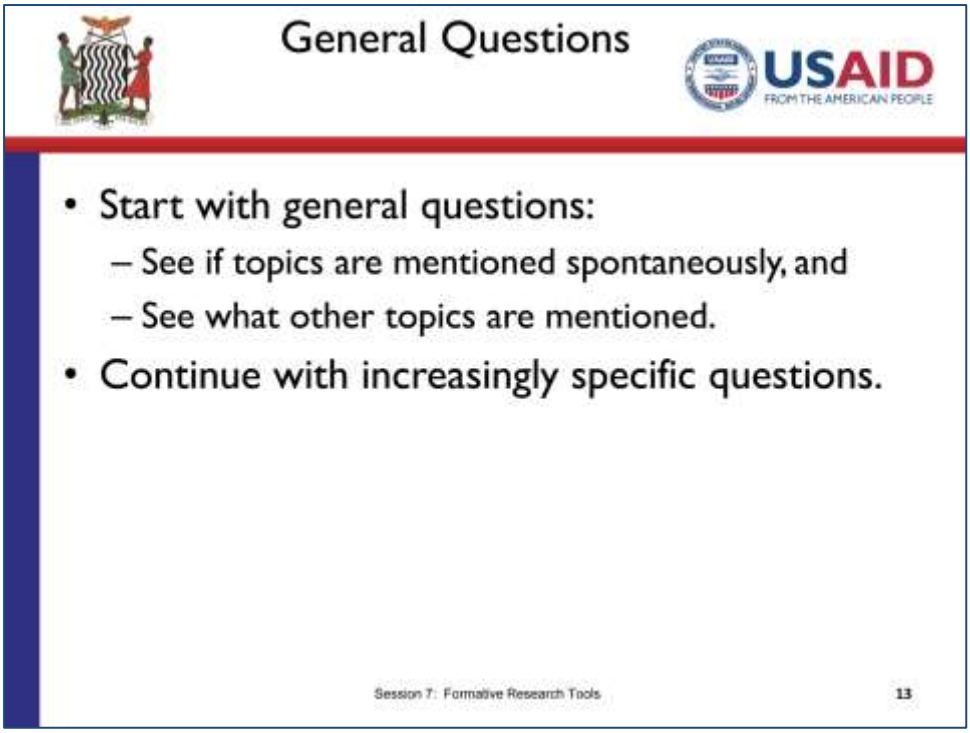
Let's take this example a little further. Your first research question has to do with why some women breastfeed and others do not. Hopefully some of this may have come out in your literature search, but if it did not, or if you have incomplete information, you'll want to explore that more here.

What do you need to know in order to understand why some women breastfeed exclusively and others do not? **[Acknowledge responses.]**

One of the things I like to have very clear is what people are doing now. So the first section of your guide could be related to the subtopic of current practices.

The next step is to develop general questions under that subtopic. Let's look at a few principles for developing those questions.

[Change to slide 7.13.]

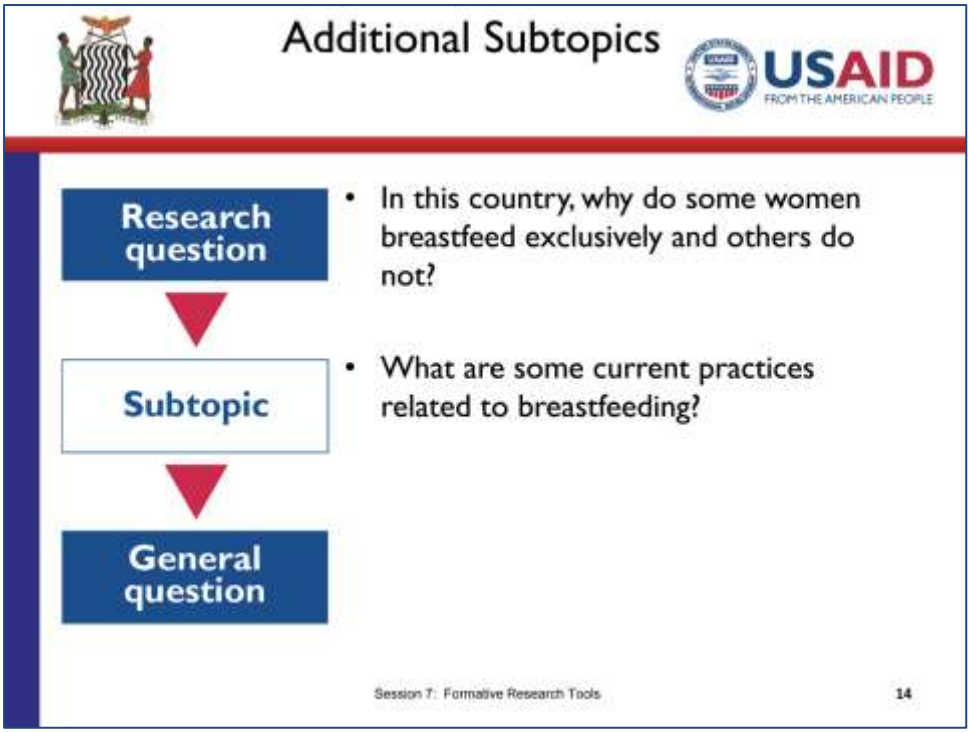


SLIDE 7.13

TIME: 1 minute

In qualitative research it's good practice to start with general questions and move to more specific ones. There are several reasons for this. First of all, you want to see if the subtopics you came up with are mentioned spontaneously. If they are mentioned without prompting, you are assured that this is something important to the audience and not that they are thinking of it only because you suggested it to them. Second, the people you are interviewing may come up with categories you had not thought of at all, and you want to make sure you won't miss that information by getting too specific too fast. Starting with general questions lets people warm up and discuss things that you as the researcher might not have considered. If you ask specific questions too quickly, these other topics are much less likely to come out.

[Change to slide 7.15.]



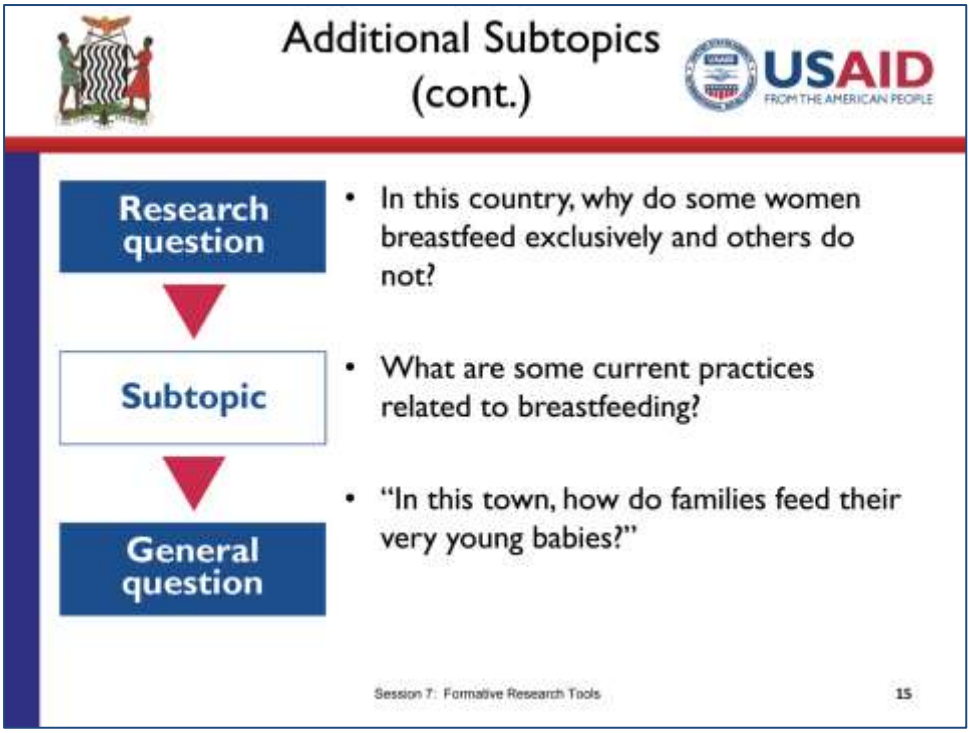
SLIDE 7.14

TIME: 1 minute

Going back to the original research question and subtopic—In this country, why do some women breastfeed exclusively and others do not? We already have one subtopic—current practices.

What would be some good general questions you could ask to explore the subtopic of current practices? **[Acknowledge responses and write them on a piece of flipchart paper.]**

[Change to slide 7.15.]



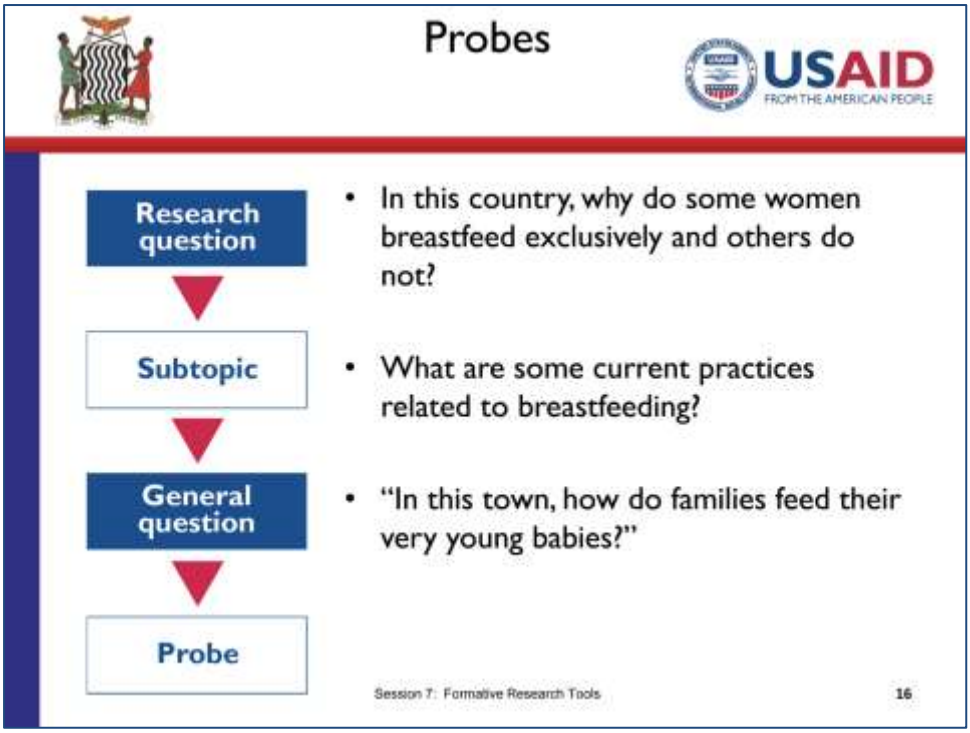
SLIDE 7.15

TIME: 1 minute

One good general question under the header of current practices may be, "In this town, how do families feed their very young babies?"

That question helps to fill out the picture of current practices, which in turn should give you insight into why some women breastfeed exclusively and others do not.

[Change to slide 7.16.]



SLIDE 7.16

TIME: 5 minutes

The next step in the process is to develop probes for your general question.

There are a number of ways this general question could be answered, and most likely you are going to need to have some follow-up questions prepared. These are called probes. Some people are very informative when interviewed and talk on and on without being prompted. Most are not. Write your interview guide as though the people you will be interviewing are not very forthcoming and you need to continue guiding the conversation and prompting them to talk. As you are writing your research guide, try to think of all the questions you might need to ask to get the information you need. These questions can also be very helpful in getting a talkative interviewee back on topic, if necessary.

Let's assume that the answer to the question on current practices is something along the lines of, "It depends."

How helpful will that answer be when you are doing your analysis? **[Acknowledge responses.]**

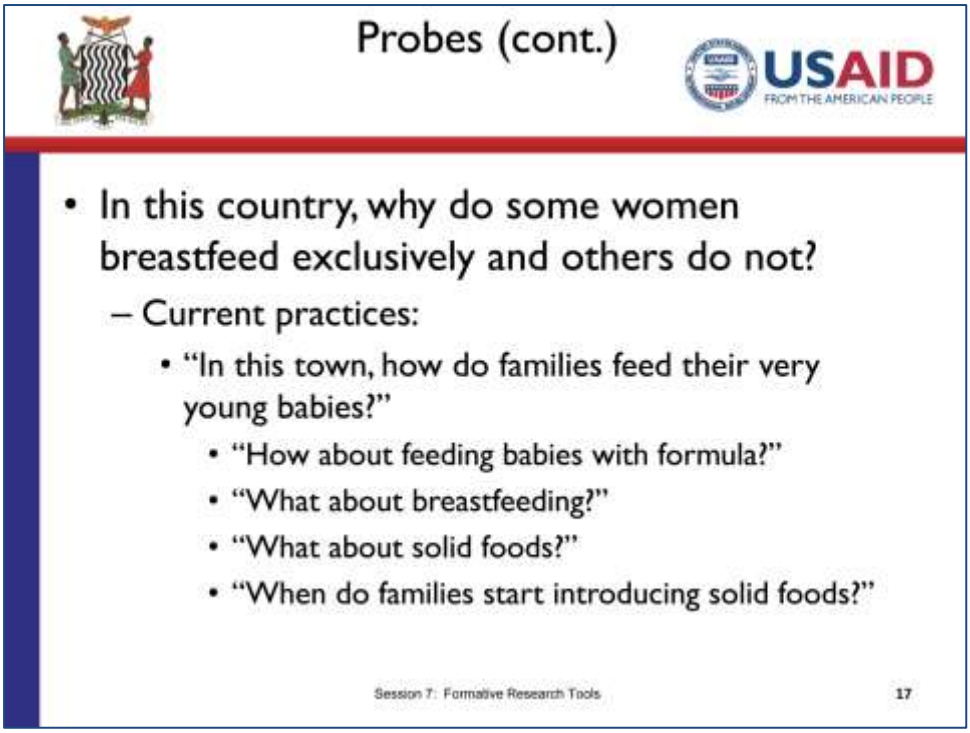
That's right—it won't be very useful at all. This is one of the ways that qualitative and quantitative research are different. In quantitative research, when you get an answer you move on to the next question. In qualitative research, you do not want to move on to the

next topic until you have answers that will help you answer your research questions and will be helpful in your analysis of the research findings.

Since "It depends" is not very helpful in answering your research question or the question on current practices, what should you do? **[Acknowledge responses.]**

This is where you will use your series of follow-up questions or probes. While much of the probing will depend on the skill of your researcher, you want to think about the topics you would ideally like people to bring up in answering the question. If they don't bring it up, you have your probes ready.

[Change to slide 7.17.]



SLIDE 7.17

TIME: 5 minutes

For this question, you may want to ask probes such as:

"How about feeding babies with formula?"

"What about breastfeeding?"

"What about solid foods?" You could follow that up with, "When do families start introducing solid foods?"

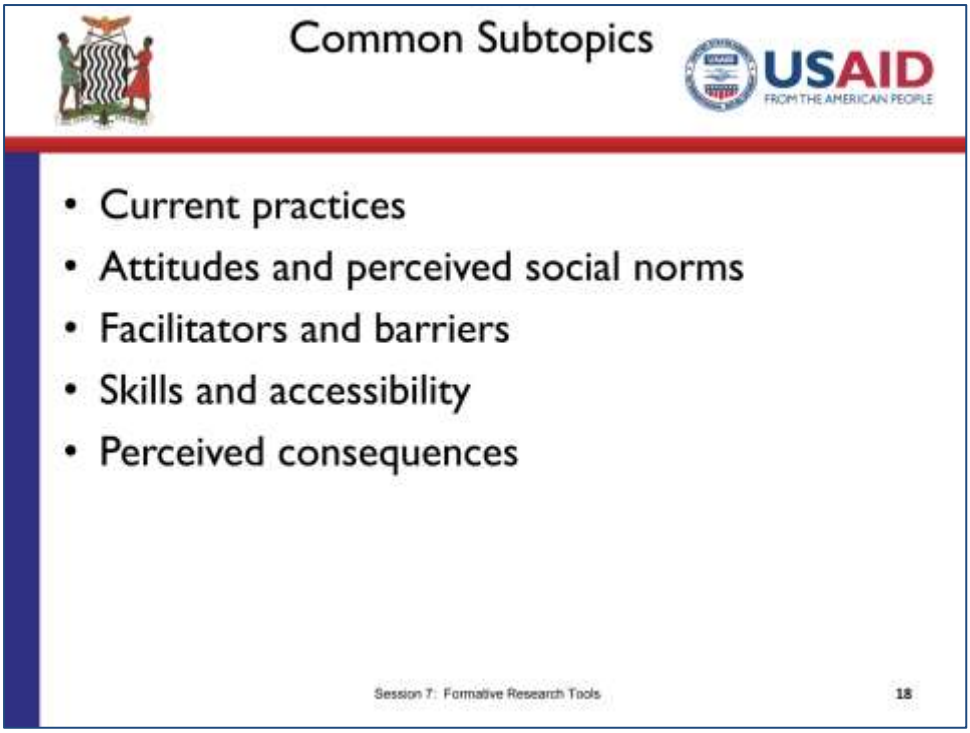
A good probe (though an unscripted one) would be, "What does it depend on?" If for some reason your interviewer didn't think that fast to ask the follow-up question, you still have the other probes ready.

Do you see the cascade we're starting to develop here? All of the probes help you answer the general question. The general question should relate to your subtopic (in this case, current practices), and your subtopics should be areas you want to explore in order to answer your research question.

What other probes can you come up with that would help round out the picture of current practices regarding infant feeding? **[Acknowledge the responses and write them on flipchart paper.]**

"Current Practices" is the subtopic on this slide. What other subtopics might you want to explore as you are trying to answer your research question? **[Acknowledge the responses and write them on flipchart paper.]**

[Change to slide 7.18.]



SLIDE 7.18

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

When you are doing research on behaviours and what motivates people to stop or start a behaviour, several subtopics frequently show up.

One important aspect that we've already discussed is current practices. You'll probably also want to explore attitudes and perceived social norms. By this I mean: What do people think about the behaviour in question (in this case, breastfeeding)? What are the attitudes towards related behaviours, such as formula feeding? Who approves or disapproves of the behaviour?

Facilitators and barriers include how hard or easy it is for women to breastfeed exclusively, and what makes it either harder or easier. Skills and accessibility can be very similar to facilitators and barriers. What type of skill does someone need to do the behaviour you are promoting? How accessible is it?

You'll also want to look at the perceived consequences for doing or not doing the behaviour. Perceived consequences include things such as: What do people think are the good or bad things that will happen as a result of doing a certain behaviour? (What are the good things

that happen if I breastfeed exclusively? What are the bad things that happen if I breastfeed exclusively?

You can think of these subtopics as headers in your interview guide. These headers will also help you group findings when it comes time for analysis.

[Change to slide 7.19.]

SLIDE 7.19

TIME: 15 minutes

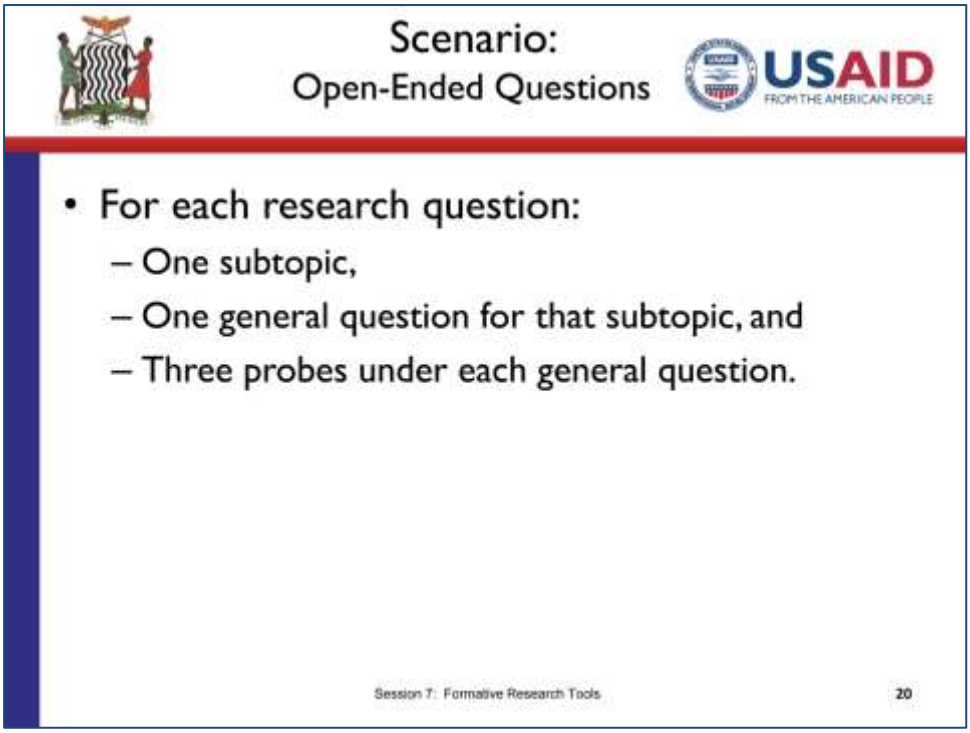
Let's take a deeper look into some of the other subtopics. **[Assign a remaining subcategory to each of the research groups.]**

In your groups, see if you can come up with one or two general questions under your subtopic, and then write out three to four probes as follow-ups to those questions. I'd like you to write your suggestions on a sheet of flipchart paper. We'll work on this for about 10 minutes, and then I would like one person from each group to present what you've come up with for your general questions and probes.

[Allow 10 minutes for groups to write out their questions. End the exercise earlier than 10 minutes if it appears that all of the groups have completed the exercise.]

Which group would like to volunteer to go over its questions first? **[Ask each group to report its results. After each group presents, ask the participants to comment, revise, or add to the groups' results.]**

[Change to slide 7.20.]



SLIDE 7.20

TIME: 20 minutes

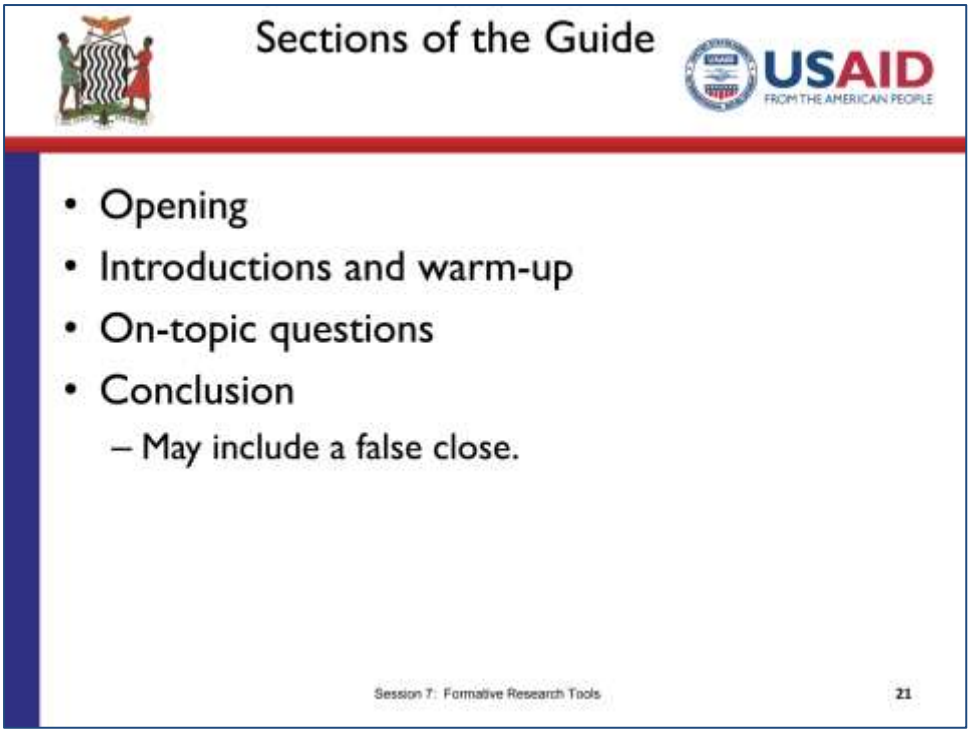
Now, let's go back to our safe motherhood scenario and practice developing interview questions using the process we just talked about. Please go back to your scenario chart. Working with your group members, use the chart to help you go from your final research question from the scenario through your probing questions. You will need to add to the chart one subtopic, one general question for the subtopic, and three probes.

Your group will have 10 minutes to complete the exercise.

[Allow 10 minutes for groups to fill out the chart. End the exercise earlier than 10 minutes if it appears that all of the groups have completed the exercise.]

Which group would like to volunteer to go over its research question, subtopics, general questions, and probes first? **[Ask each group to report its results. After each group presents, ask the participants to comment, revise, or add to the groups' results.]**

[Change to slide 7.21.]



SLIDE 7.21

TIME: 4 minutes

We're now going to review the sections that are commonly included in the moderator or interview guide. The guide usually consists of at least four parts.

The opening provides information to participants on who the researcher is and why you are conducting the research. The moderator will review the informed consent and ground rules for participants in the interview or focus group. Ground rules may include statements like "There are no right or wrong answers" or "Participants in focus groups need to respect one another at all times."

In the introductions and the warm-up, the moderator will begin the session with easy questions to get everyone comfortable with talking in the interview or FGD. The questions can be something unrelated to the research topic, such as their name and favourite food, or they could be related to the topic, such as their name and the number of mosquito nets the participants have in their households and for how long they have had them.

In the On-Topic Questions section, you will include questions that are most relevant to your research.

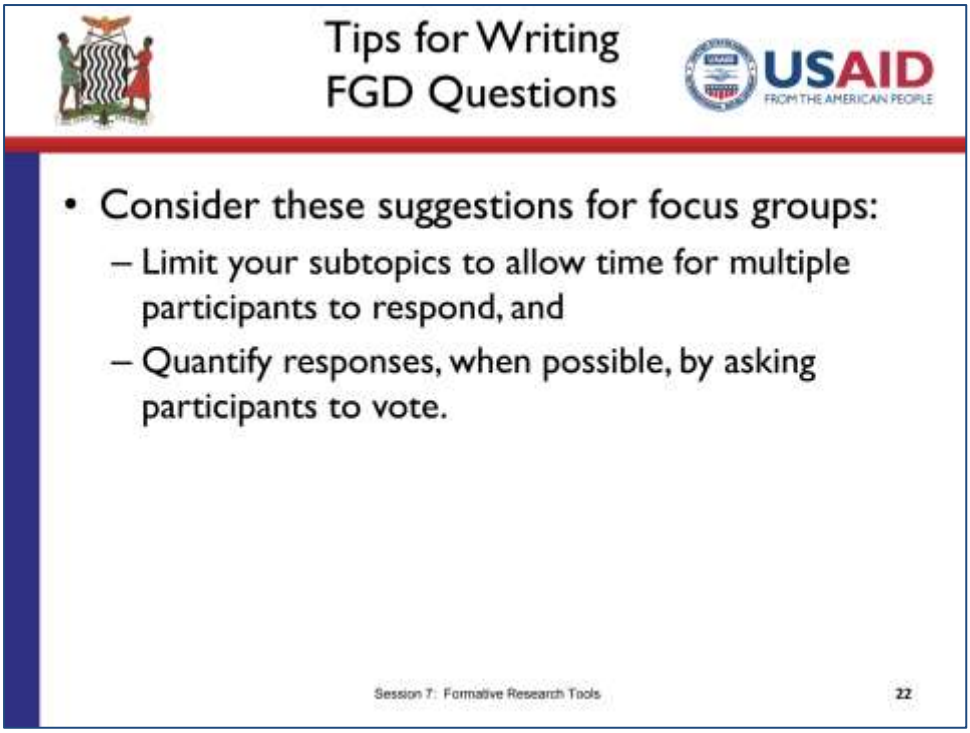
Lastly, in the conclusion, you thank the participants for their time and end the discussion. The conclusion may or may not include a false close. A false close is when the moderator

will step away from the group to ask an observer if there is anything he or she should follow up on before ending the interview or group discussion. The moderator may ask participants to complete an exercise on their own while he or she steps away. For example, a moderator could provide pen and paper to the participants and ask them to draw an image that would be useful for a poster about encouraging safe sex. This information can also add to the research findings.

Now, let's move on to the recruitment plan. Has anyone ever developed a recruitment plan for research? **[Acknowledge responses.]**

What information is included in a recruitment plan? **[Acknowledge responses.]**

[Change to slide 7.22.]



SLIDE 7.22

TIME: 2 minutes

There are other tips to keep in mind when developing questions for focus groups. You should limit your focus group questions to approximately six principal questions for a 90-minute focus group. This assumes you will spend about 10 minutes going over each question with the participants.

Also, focus groups offer opportunities to gather opinions from multiple participants and possibly get a group consensus on a particular topic or product. It can be common for one or two participants to drive the discussion, so it can be helpful to ask all participants to vote for their preference. This technique is most helpful when testing campaign messages or materials.

[Change to slide 7.23.]

SLIDE 7.23

TIME: 6 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.] A recruitment plan explains how participants will be identified and enrolled in a research study.

In addition to what you already mentioned, a recruitment plan includes several items and questions you will need to ask of yourself:

- Criteria for exclusion or inclusion in focus groups or interviews.
- Number of people to be recruited. This can help you to double-check whether your plan is feasible or overambitious and will inform your budget and timeline.
- Method of recruitment. Where will you find your participants? Will you post a sign-up sheet in high-traffic areas or facilities that provide services to your target audience, such as health centres? Will you advertise in newspapers or other communication channels? Will you use a paid recruitment service? Will you use an intermediary such as a community leader, health clinic, or religious leader? Please note: If you do use an intermediary he or she should not observe the focus groups or interviews to protect the identities of your participants.

- Incentives. Will you pay the participants to take part in your focus groups or interviews? Will the incentive be monetary or another commodity? How do you decide what is a reasonable payment in your area? You do not want to provide too high of an incentive because you don't want high-risk individuals to participate simply for the incentive. What, if anything, will you pay the recruiter? When is it acceptable to pay a recruiter? Will there be a difference in the incentive based on research location, audience, or methodology? Some participants may be harder to recruit than others. In general, the harder it is to recruit a participant, the more necessary it may be to provide an increased incentive.
- Transportation. Will you pay for or provide transportation to the interview or focus group?
- Timing. What times will you conduct the focus groups or interviews? During the day? In the evening, after work hours? Will the timing vary for different target audiences based on when they will be most likely to attend?
- Daycare. Will you pay for or provide daycare for children of participants?

Why is it important to have a recruitment plan? **[Acknowledge responses.]**

Now, let's discuss the participant screener.

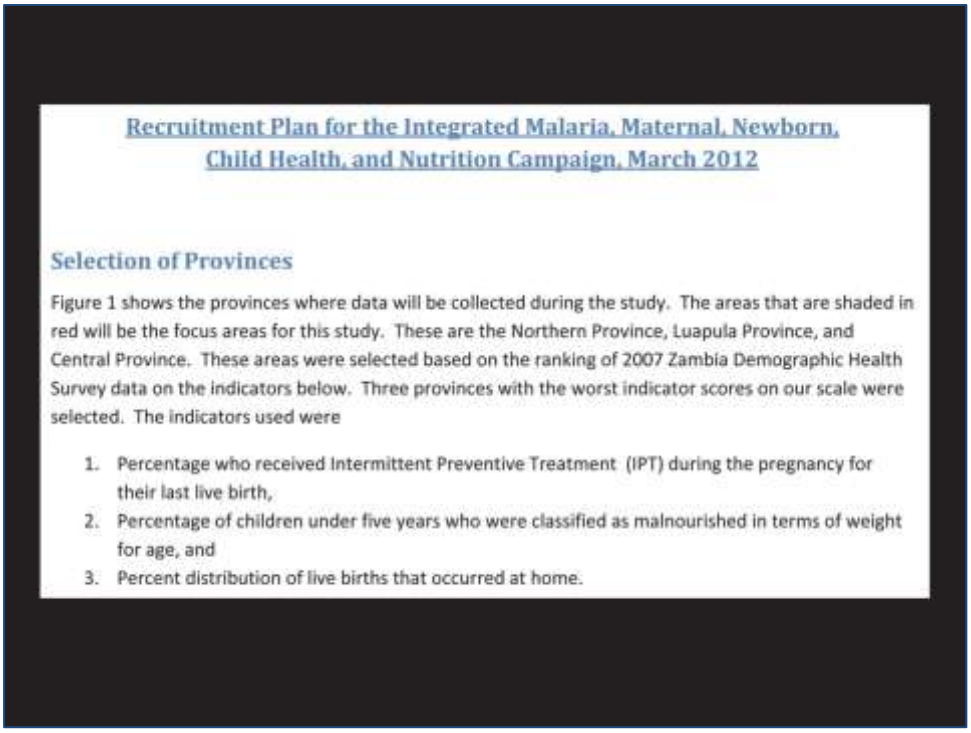
Who can tell us what a screener is? **[Acknowledge responses.]**

Has anyone developed a screener? **[Acknowledge responses.]**

What is the screener used for? **[Acknowledge responses.]**

How is a screener used? Who uses the screener? **[Acknowledge responses.]**

[Change to slide 7.24.]

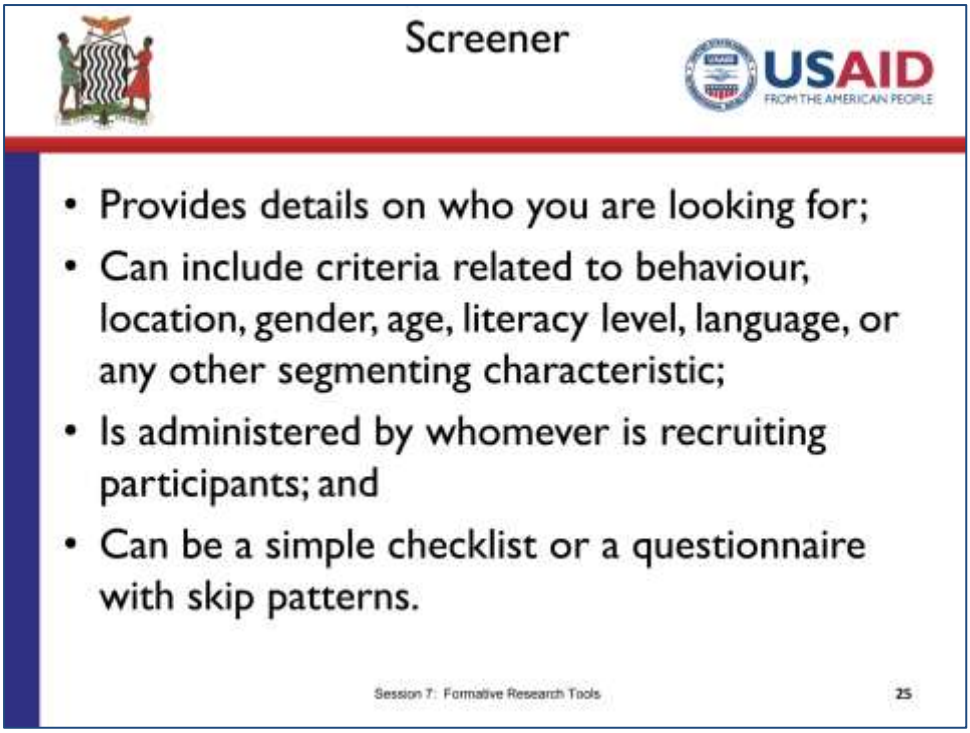


SLIDE 7.24

TIME: 1 minute

There's also a sample recruitment plan on your CD-ROM that should give you an idea of the information needed to prepare for recruitment.

[Change to slide 7.25.]



SLIDE 7.25

TIME: 4 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous questions.] In addition to the information you've already mentioned, a screener provides details on people you are looking for. Screeners state explicitly what characteristics you would like or not like to be represented in your focus groups or interviews. For example, a screener might state that "participants must be between the ages of 18 to 24."

Your criteria may be related to behaviour, such as whether they go to a health clinic, whether they are near transportation, or how far they live from a specific town. Criteria might also include gender, age, literacy level, language, or any other segmenting characteristic.

Screeners are used by whomever is recruiting participants. Providing the recruitment details and criteria in a written form helps recruiters to concentrate their efforts on recruiting individuals who are most appropriate and useful for your research. A screener is a tool that can help reduce levels of personal bias among recruiters. For example, recruiters may be tempted to recruit participants whom they have recruited recently for other research studies to make their search easier. But, most screeners contain a question excluding participants who have participated in a research study recently, usually within six

months, to prevent including participants who may be biased themselves from participating in another study too recently.

A screener can be a simple checklist, or it can be a questionnaire with skip patterns that help guide the recruiter to know which questions to ask based on responses to questions given earlier in the screener. An example of a skip pattern question is asking mothers whether they got antenatal care when pregnant. Mothers who answer "yes" would continue with the next question in the screener, which would ask at what points in their pregnancy they got care. Mothers who answer "no" would skip the question on the timing of antenatal care and would continue with another question later in the screener.

Now, let's discuss informed consent.

Can someone tell me what is meant by informed consent? **[Acknowledge responses.]**

[Change to slide 7.26.]

Sample Screener for Pregnant Women

General Recruiting Criteria

- Must be adult females (16–49 years).
- Must be currently pregnant.
- Must not have participated in a focus group or in-depth interview within the last six months.

Notes

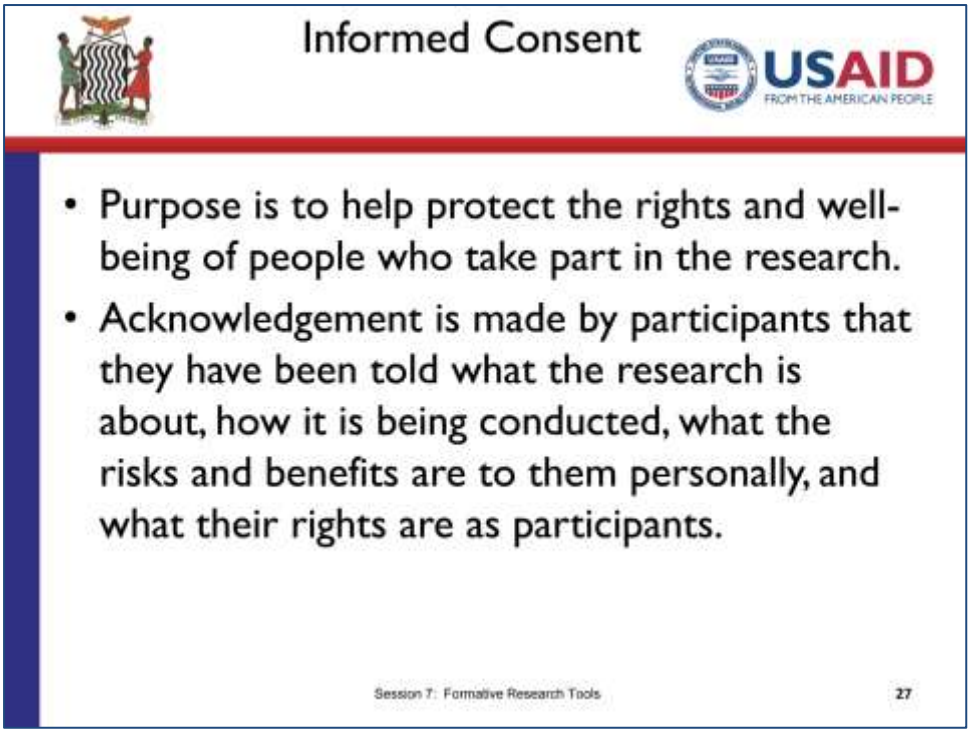
- Please recruit 10 women between 16–24 years of age and 10 women between 25–49 years of age.
- Participants will receive ZMK 50,000 cash for participating.
- Participants will receive refreshments.
- Each focus group and interview will last approximately 90 minutes.
- All focus groups and interviews will be audiotaped.
- The identity of the focus group and interview participants must remain confidential.
- No more than one female can be recruited from the same household or family.

SLIDE 7.26

TIME: 1 minute

Review the sample screener on your CD-ROM. When reviewing the screener, be sure to refer to the sample research plan to see how the audience selection in the plan is reflected in the questions of the screener.

[Change to slide 7.27.]

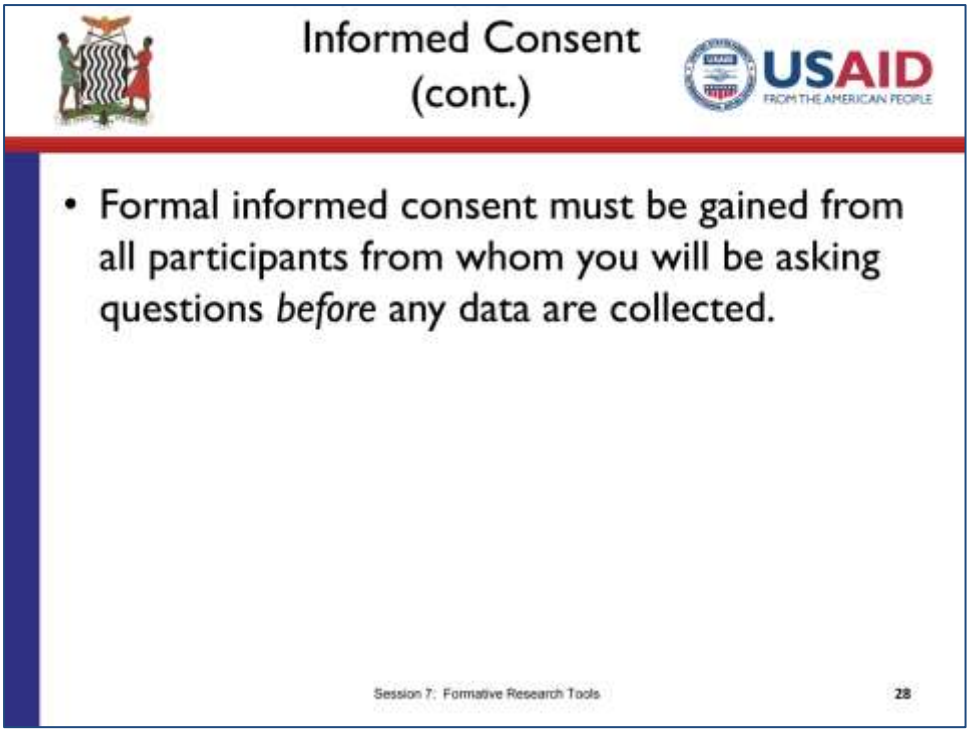


SLIDE 7.27

TIME: 1 minute

[If necessary, discuss points on the next two slides that were not mentioned by the group in response to the previous question.] The purpose of informed consent is to help protect the rights and well-being of people who take part in research. Researchers should make sure that participants fully understand what the scope and focus of the research are, how it is being conducted, what the risks and benefits are to them personally, and what their rights are as participants.

[Change to slide 7.28.]

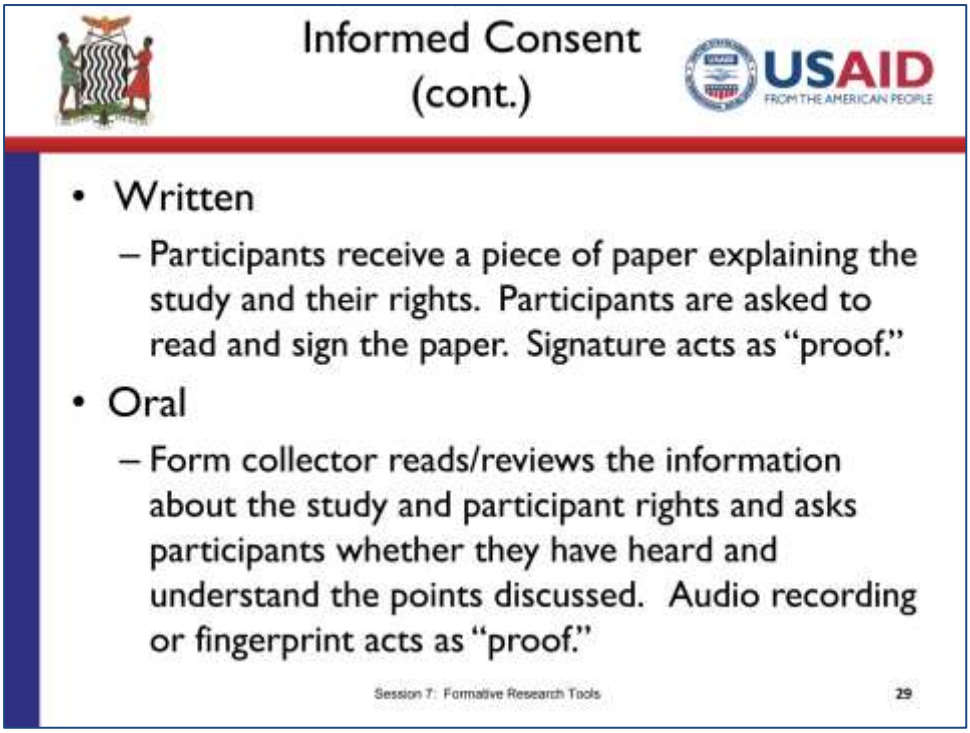


SLIDE 7.28

TIME: 1 minute

Formal informed consent must be obtained from all participants from whom you will be asking questions before any data is collected from them—other than information necessary for screening participants.

[Change to slide 7.29.]



SLIDE 7.29

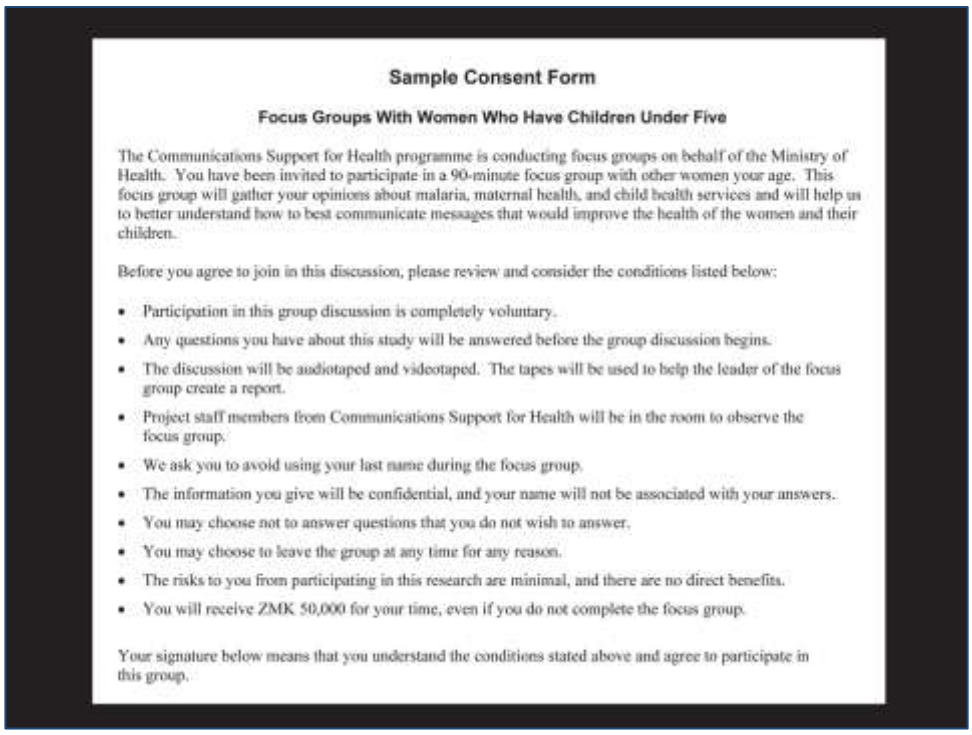
TIME: 2 minutes

Informed consent can be written or oral.

Written informed consent involves giving participants a piece of paper describing the purpose of the research, type of methodology, amount and kind of incentive provided, and length of the interview or focus group. It also stresses to participants that their participation is completely voluntary and that their identities will remain confidential. Each participant will read and sign the consent form.

With oral informed consent, the person who is collecting informed consent forms reads out loud the same information that is presented in the written format to participants. The form collector will ask participants whether they have heard and understood the information. With the written informed consent, the signature on the paper acts as proof that you have obtained consent. For the oral consent, after you have read the contents of the consent form, you should audio record participants giving their consent. They will need to state their name and say out loud that they understand and agree to the terms of the study. You can also ask participants to press their thumb into an ink pad and then at the bottom of the form as a way to provide proof of their consent.

[Change to slide 7.30.]



Sample Consent Form

Focus Groups With Women Who Have Children Under Five

The Communications Support for Health programme is conducting focus groups on behalf of the Ministry of Health. You have been invited to participate in a 90-minute focus group with other women your age. This focus group will gather your opinions about malaria, maternal health, and child health services and will help us to better understand how to best communicate messages that would improve the health of the women and their children.

Before you agree to join in this discussion, please review and consider the conditions listed below:

- Participation in this group discussion is completely voluntary.
- Any questions you have about this study will be answered before the group discussion begins.
- The discussion will be audiotaped and videotaped. The tapes will be used to help the leader of the focus group create a report.
- Project staff members from Communications Support for Health will be in the room to observe the focus group.
- We ask you to avoid using your last name during the focus group.
- The information you give will be confidential, and your name will not be associated with your answers.
- You may choose not to answer questions that you do not wish to answer.
- You may choose to leave the group at any time for any reason.
- The risks to you from participating in this research are minimal, and there are no direct benefits.
- You will receive ZMK 50,000 for your time, even if you do not complete the focus group.

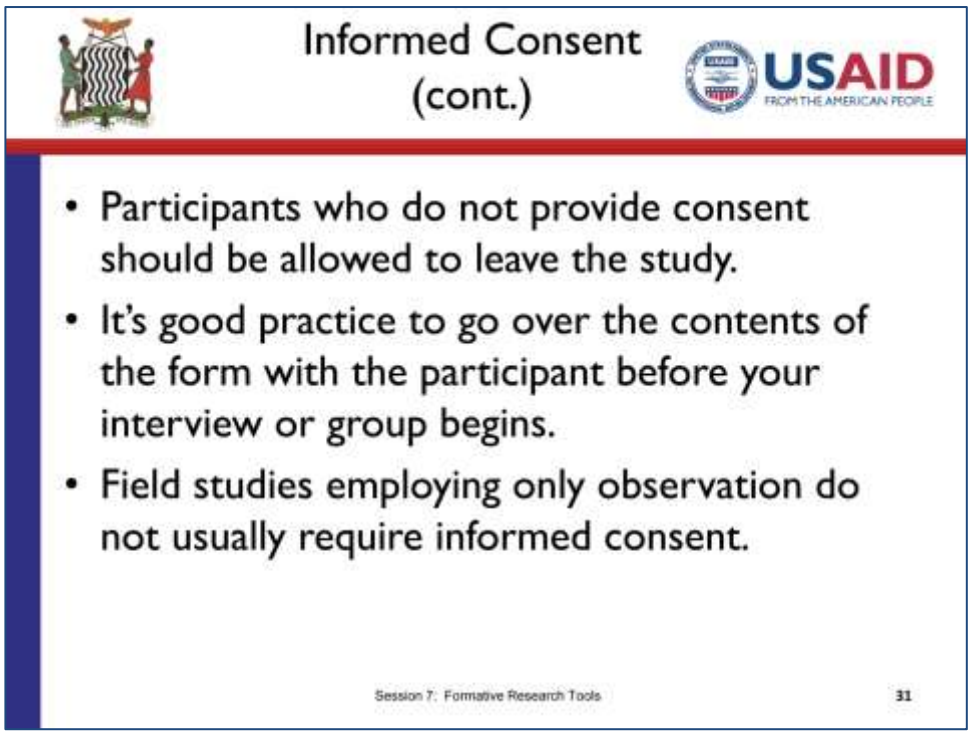
Your signature below means that you understand the conditions stated above and agree to participate in this group.

SLIDE 7.30

TIME: 1 minute

Take a look at the sample consent form on your CD-ROM. It provides a great example of the type of information and language that's important to include in your consent forms.

[Change to slide 7.31.]



SLIDE 7.31

TIME: 2 minutes

If a potential participant chooses not to give consent to participate in the research, that person should be allowed to leave the study. Do not try to convince the person to stay—participation should be completely voluntary.

Regardless of whether a participant has signed a written form or given oral consent, it is good practice to go over the contents of the informed consent with the participant before you begin the interview or focus group. Ask participants whether they have any questions or concerns about the consent information or participation in the research study.

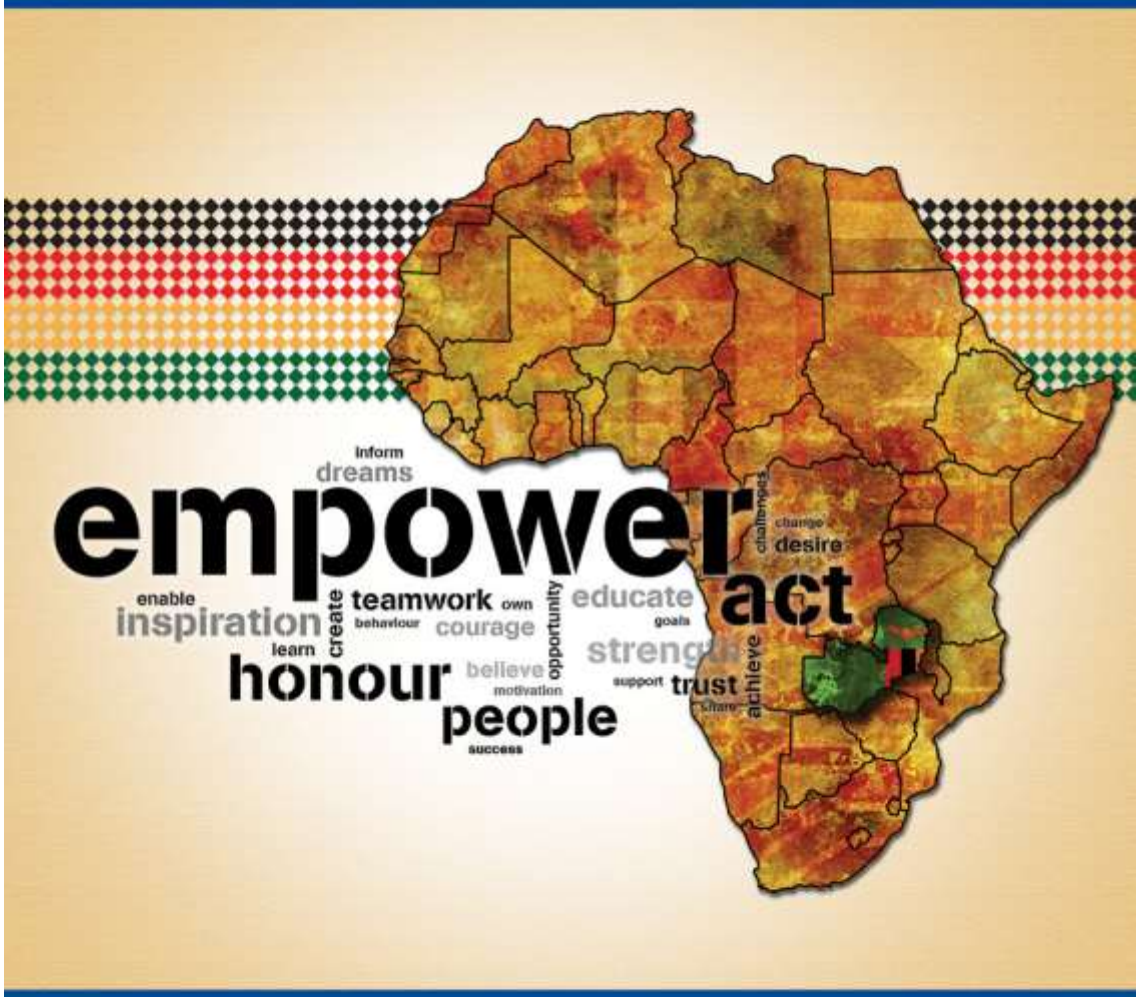
Keep in mind that field studies employing only observation do not usually require informed consent.

This concludes the session on formative research tools. Does anyone have any questions on what we discussed in this session? **[Acknowledge responses. Ask other participants to respond, if appropriate.]**

This is the end of Session 7. Let's break for 30 minutes for some tea.

[End the session and break for tea.]

SESSION 8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honour
believe
motivation
support
trust
share
achieve
people
success

Session 8:
Data Collection

TIME: 60 minutes

PURPOSE:

- To provide information on the various elements to consider when planning for data collection.

LEARNING OBJECTIVES:

- To list two data collection tools,
- To explain what logistics must be taken into account during data collection, and
- To describe options for recording focus groups and in-depth interviews.

METHODOLOGIES:

- Lecture
- Questions and answers
- Small-group exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers

KEY DISCUSSION POINTS

- Explain that the training is not meant to train the participants on how to be a moderator or a note taker. Instead, the training will provide information on the skills needed to handle these tasks to help inform how to select members of a research team.
- Remind participants that there are several options for recording data and to always consider available resources and the timeline when selecting the options.

SLIDE 8.1

TIME: 5 minutes

[Once the participants have taken their seats, start the session.]

In this session we will discuss two important data collection elements—the moderator or interviewer and the note taker. We'll also talk about logistics, recording data, and transcriptions.

Please keep in mind that this is not training in how to be a moderator or a note taker. That being said, we will go over the skills a person needs to handle these roles well. Our goal is to help familiarise you with the abilities required for these roles so that you can make good hiring or contracting decisions related to data collection.

Let's think back to what we discussed earlier about moderators and interviewers. What skills do you think a moderator or interviewer should have? **[Acknowledge responses.]**

[Change to slide 8.2.]

SLIDE 8.2

TIME: 8 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

Ideally, moderators and interviewers should be trained in conducting participatory qualitative research. This would include how to guide group discussions to ensure that the priority topics are covered, how to probe for additional information and/or get people to explain their thoughts and opinions, and how to create an open atmosphere for candid discussions.

Moderators and interviewers should also be fluent in the language in which the research is being conducted. This includes being aware of common sayings or adaption of the language for cultural reference.

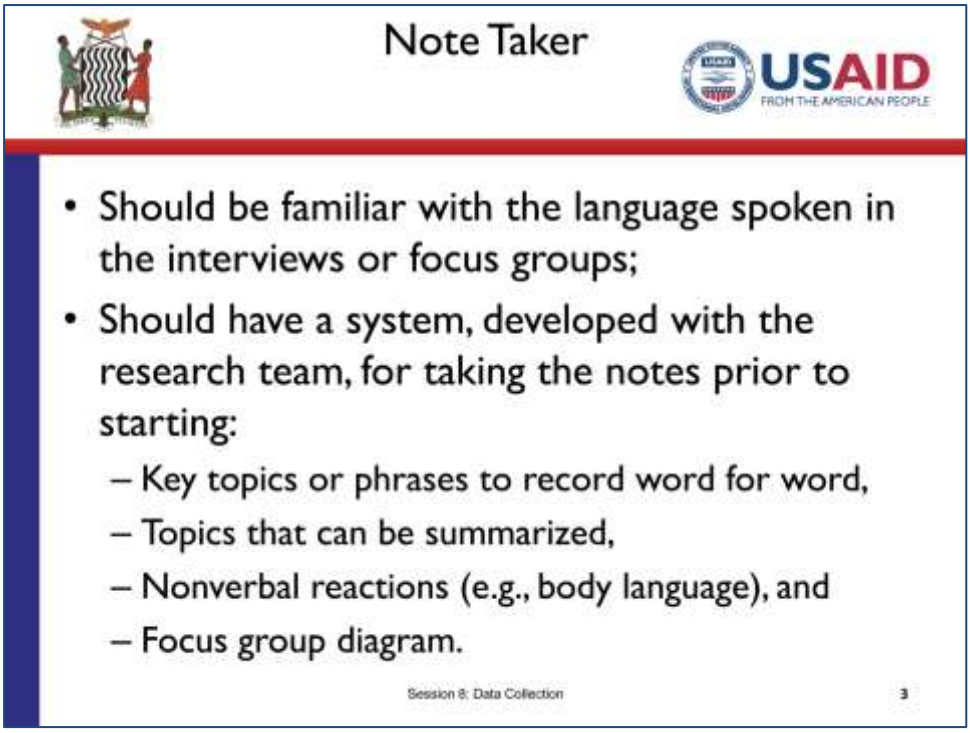
Although moderators and interviewers should also be familiar with the topic at hand, they do not need to be experts in the topic you're researching, because conducting research is not providing health education. Moderators and interviews are meant to gather information about a topic, not provide information.

Does anyone have any questions about the skills required in a moderator or interviewer? **[Respond to questions.]**

Let's go ahead and talk a bit about the qualities of a good note taker. What skills do you think a note taker should have? **[Acknowledge responses.]**

What kind of information is important for a note taker to capture? **[Acknowledge responses.]**

[Change to slide 8.3.]



SLIDE 8.3

TIME: 15 minutes

[If necessary, discuss points on the next two slides that were not mentioned by the group in response to the previous question.]

A good note taker should be able to tell the difference between the key topics or phrases that need to be recorded word for word and those that can be summarised. Note takers should also be prepared to record any nonverbal reactions, such as body language. For example, did someone cringe, or are several participants shaking their heads yes or no?

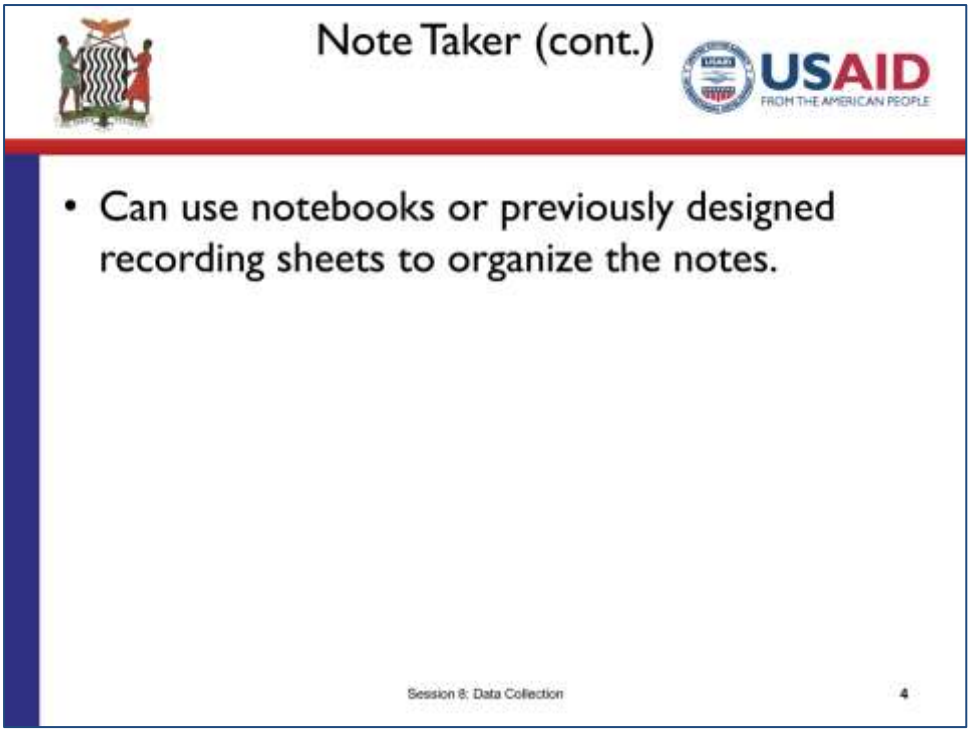
Note takers usually create diagrams to help them identify individuals in a focus group, and we're going to practice that right now. Working with your group members, use a notepad and create a note taker diagram for the workshop participants. Each group will have five minutes to draw their diagram.

[Allow five minutes for groups to draw the diagram. End the exercise earlier than five minutes if it appears that all of the groups have completed the exercise.]

Which group would like to volunteer to show their diagram first? **[Ask each group to show its diagram to the group. If groups include labels on their diagrams, ask groups to explain the labels.]**

Diagrams should use labels, numbers, and/or identifying characteristics such as gender. The note taker can use the numbers or labels to mark off the comments of each of the participants in his or her notes. Adding identifying characteristics will also help to identify potential trends in specific audience segments when analysing the data. These potential trends will help design the audience segmentation of future studies to determine whether the trend continues. For example, with the help of a diagram, researchers may find that mixed focus groups with men and women testing a poster on child nutrition identify a potential difference in how men and women respond to the images in the poster. A next step would be to test the poster in focus groups that separate men and women to see if they have the same responses as in the first focus groups.

[Change to slide 8.4.]



SLIDE 8.4

TIME: 4 minutes

How can note takers capture the focus group and interview information? **[Acknowledge responses.]**

One way that we have found helpful is when note takers can use notebooks or previously designed recording sheets to organise their notes. This can provide them with a framework for filling in participant responses to certain questions.

Does anyone have any additional questions or comments on the role of the note taker?

Let's move on to the logistics of collecting data. In your experience, what logistical details should be defined before fielding research? **[Acknowledge responses.]**

[Change to slide 8.5.]

Sample Note Taker Template

Date:	**Method:**
Time:	**Number of Participants:**
Location:	**Moderator:**
Segment:	**Note Taker:**

Section 1		
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
Section 2		
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
Section 3		
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
Section 4		
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]
[INSERT ONE QUESTION AND CORRELATING PROBES]	[INSERT NOTES ON PARTICIPANT RESPONSES TO QUESTIONS]	[INSERT NOTES ON OBSERVATIONS]

SLIDE 8.5

TIME: 1 minute

We've included a template of a recording sheet on your CD-ROM. Use this as a starting point and change the structure of the template as needed to best meet the needs of your research study.

[Change to slide 8.6.]

SLIDE 8.6

TIME: 10 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

There are several logistical details that you need to address when preparing for your data collection.

The team should visit the collection sites and determine where the participants and research team members will be seated. For example, if you are gathering opinions on a specific organisation, and representatives of that organisation will be observing the data collection, place them in an area that cannot be seen by the participants but will allow the representatives to listen and/or watch the discussions. Keep in mind that you always need to inform the participants that the representatives are present.

You should prepare a list of materials that will need to be purchased and brought to the research site, such as batteries and notebooks.

In most cases you will need to plan ahead for how you will pay participant incentives. You may also need to arrange for transportation and refreshments, depending on the time of day you will be talking to people.

Lastly, conduct a run-through of the interviews or FGDs to make sure that the moderator or interview guide flows smoothly. You will want to be sure that the moderator guide includes only questions that make sense when asked out loud and that help answer the research questions. A run-through will also help the team decide whether the interview or focus group can be completed within the allotted time limit.

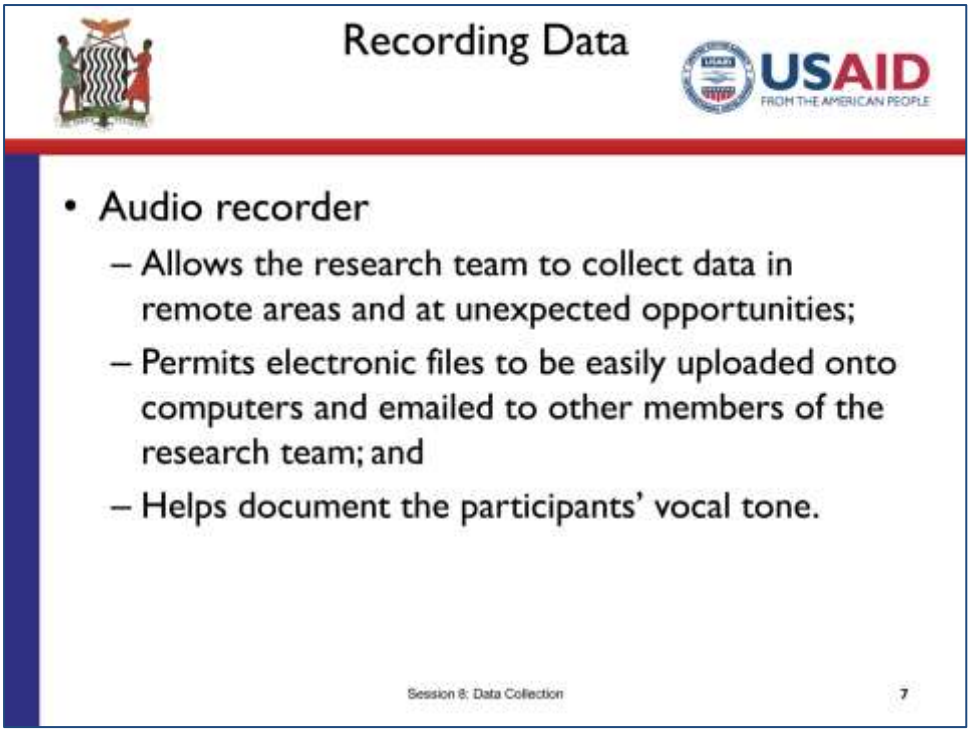
You can see an example of a checklist used to help organise the logistics of a research study on page 171 of your booklet.

I know some of you here have conducted this type of research. What has been your experience? Would you like to share any other points on logistics and things you will need to plan for ahead of time? **[Acknowledge responses.]**

Now, let's move on to recording your data.

What are the options for recording qualitative data? **[Acknowledge responses.]**

[Change to slide 8.7.]



SLIDE 8.7

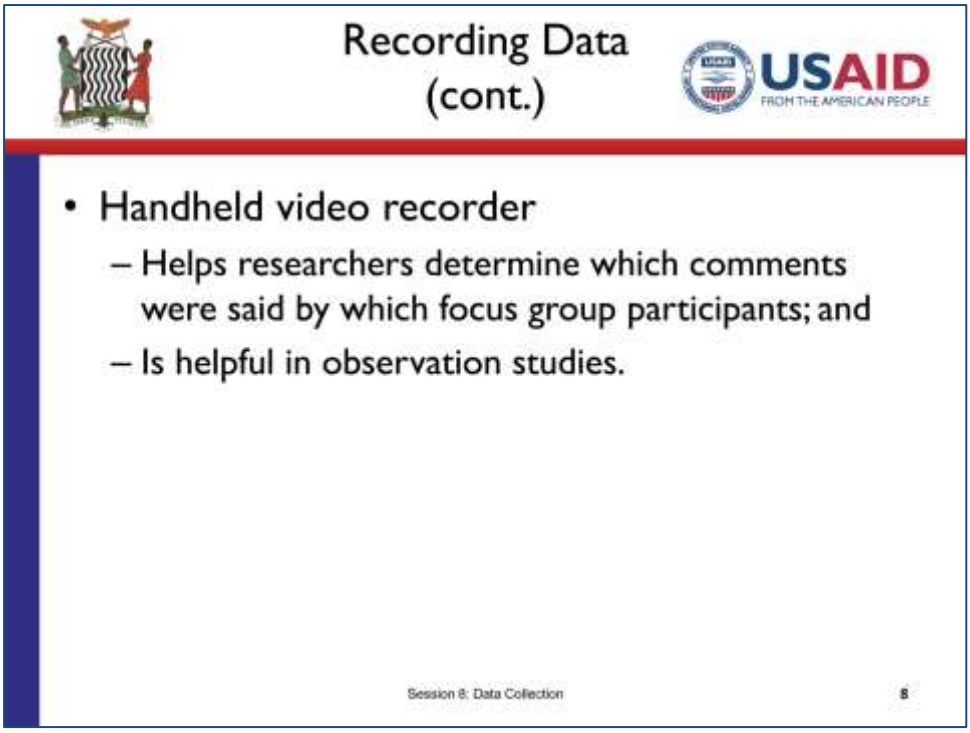
TIME: 2 minutes

[If necessary, discuss points on the next few slides that were not mentioned by the group in response to the previous question.]

There are a few options that are used frequently for recording data.

A portable recorder is simple to use and relatively inexpensive compared to more high-tech audio recording systems. It will allow the research team to collect data in remote areas and at unexpected opportunities. Portable recorders can be digital, or use audio cassettes. If you use digital recorders, electronic files can be easily uploaded onto computers and emailed to other members of the research team who are interested in listening to the discussion. Whether you use digital recordings or a tape recorder with a cassette, audio recordings will help document the participants' vocal tone when discussing specific topics. The recordings can also be used to create transcripts or to supplement the notes taken during the interview or focus group itself. Be sure to have more than one recorder available in case of technical difficulties.

[Change to slide 8.8.]



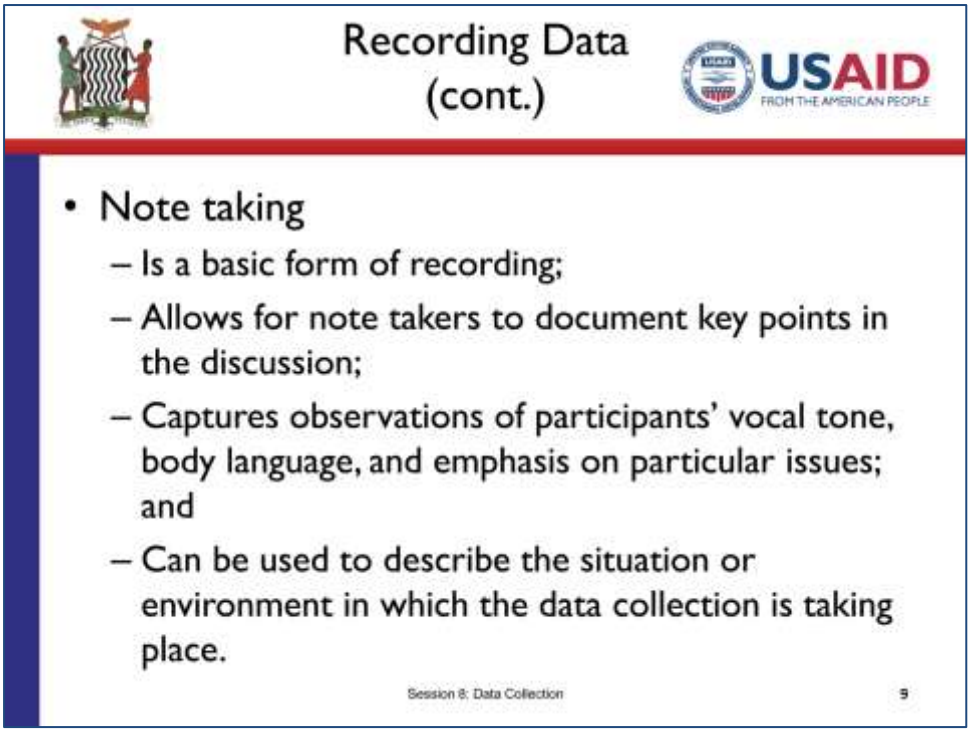
SLIDE 8.8

TIME: 2 minutes

A handheld video recorder is also simple to use and can be relatively inexpensive. Video recording is particularly helpful for focus groups to help the researchers determine which comments were said by which participants. That is especially important when analysing the data. Video recording would also be helpful in observation studies.

For both options, check the devices before beginning the focus groups or interviews to make sure they are working properly and that there is enough data space and battery power to record the whole interview or group. Always bring extra batteries in case you need to change them.

[Change to slide 8.9.]



SLIDE 8.9

TIME: 6 minutes

Note taking is a basic form of recording that allows note takers to document key points in the discussion. Note takers can write down observations of a participant's vocal tone, body language, and emphasis on particular issues, as well as a description of the setting or environment in which the data collection is taking place. Note takers for focus groups can use simple techniques such as creating a seating diagram, as we already discussed, to help organise the comments by participant. While it's a good idea for note takers to capture as much as they can during the actual interview, these notes can be fleshed out when they review the audio and video recordings.

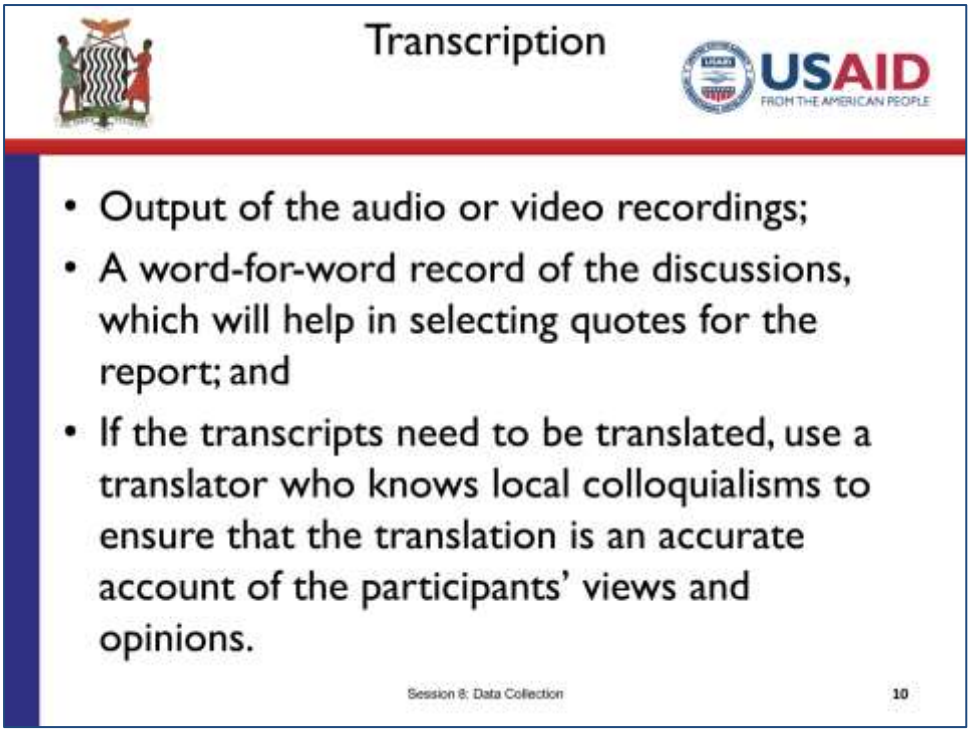
Our last topic in this discussion is about the transcription of audio recordings. Can anyone tell me

What are transcriptions? **[Pause to allow participants to answer.]**

Who creates them? **[Acknowledge responses.]**

How are they used? **[Acknowledge responses.]**

What are their limitations? **[Acknowledge responses. Change to slide 8.10.]**



SLIDE 8.10

TIME: 5 minutes

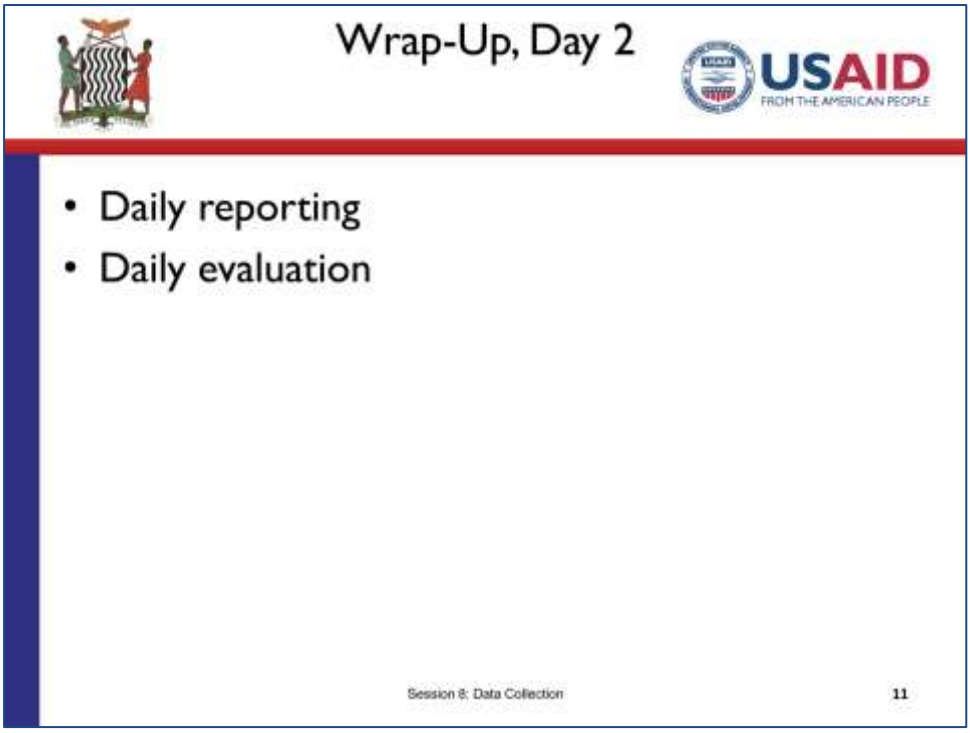
[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous questions.]

Transcriptions create word-for-word records of the discussions, which will help in selecting quotes for reports. The recordings of the interviews or discussions are typed out. This makes it much easier to analyse the data and for someone who was not present to know exactly what was said. There is an example of a transcript on your CD-ROM.

How can you handle a situation where the data will be reviewed by someone who speaks a language other than the one in which the research was conducted? **[Acknowledge responses.]**

The best way to handle this is to have the transcripts translated. If you cannot find a translator who is fluent in the language of the interview and knowledgeable of local colloquialisms, then members of the research team should translate the transcripts or notes to ensure that the translation is an accurate account of the participants' views and opinions.

[Change to slide 8.11.]



SLIDE 8.11

TIME: 2 minutes

As we did this morning, tomorrow morning we will have a group summarise the major points from today's sessions. Can I get a group to volunteer for that? We'll only need you to take about five minutes to help us remember what we learned today.

While you are thinking about that, I also have today's evaluation forms for you to fill out.

[End the session and move on to the daily evaluation.]

Administrative Task 5: Day Two Evaluation

TIME: 15 minutes

PROCESS:

1. Remind participants that the purpose of the daily evaluation is to gather feedback on Day Two of the training. Remind participants that the training team will meet in the evening to discuss the daily evaluations and will make decisions to alter the training for the following days, as feasible.
2. Distribute the daily evaluation forms.
3. Tell participants that they will have five minutes to complete the form.
4. Remind participants not to write their names on the form.
5. Ask participants to turn their forms face down when completed.
6. Collect all completed forms and store them to review later.

MATERIALS:

- Daily evaluation forms
- Pens or pencils

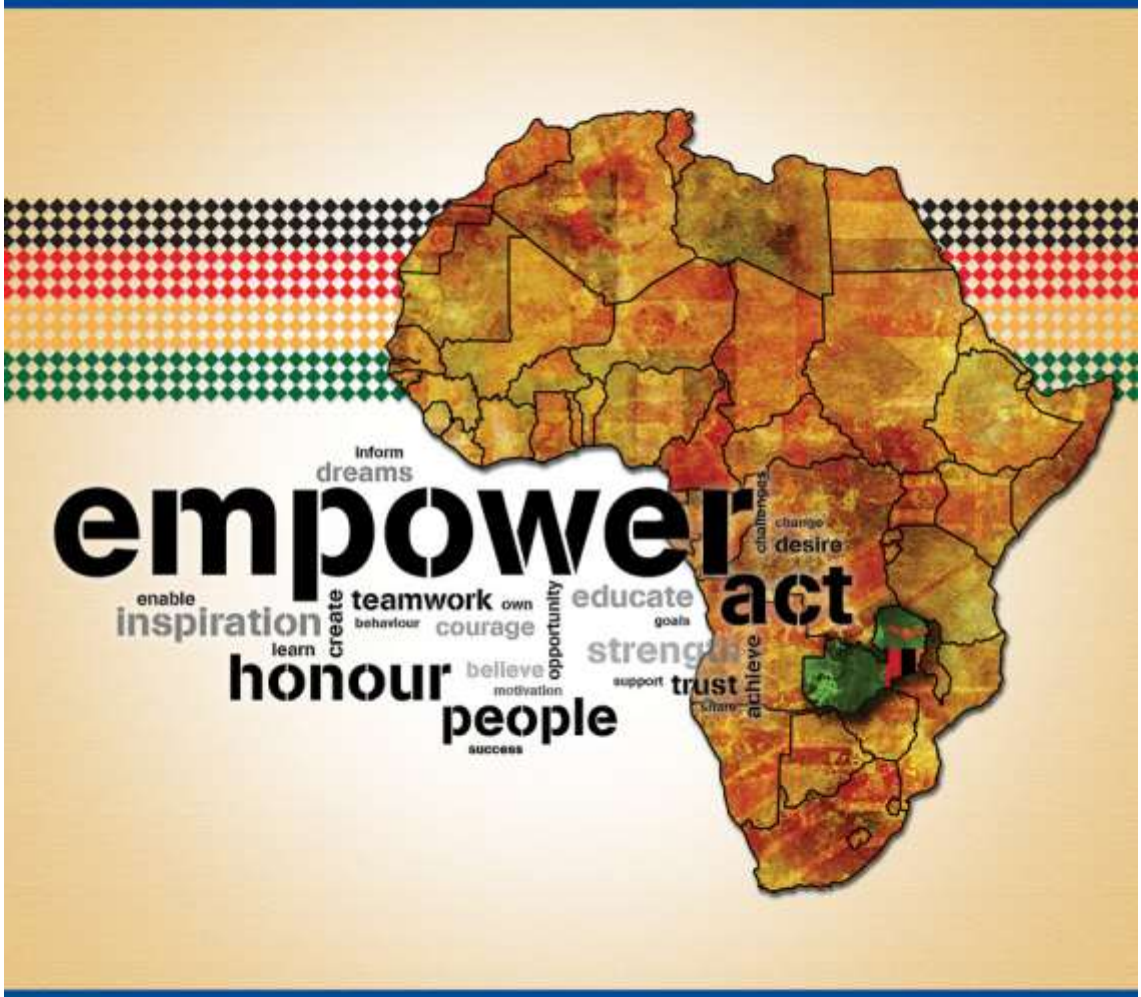
Administrative Task 6: Day Three Reporting

TIME: 15 minutes

PROCESS:

1. Remind participants that the purpose of the daily reporting is to summarise what the group discussed the day before;
2. Ask the participant who volunteered yesterday to come up to the front of the room and provide the daily report; and
3. Ask the other participants if there is anything they would add to the report.

SESSION 9


inform
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enable
inspiration
create
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courage
opportunity
educate
goals
learn
honour
believe
motivation
support
trust
share
achieve
people
success

Session 9:
Data Analysis and Report Writing

TIME: 195 minutes

PURPOSE:

- To provide guidance on how to conduct effective data analysis and write an informative report.

LEARNING OBJECTIVES:

- To describe the purpose of data analysis,
- To describe the base, intermediate, and advanced levels of analysis,
- To name two types of qualitative research reports, and
- To explain how best to present research findings in a report.

METHODOLOGIES:

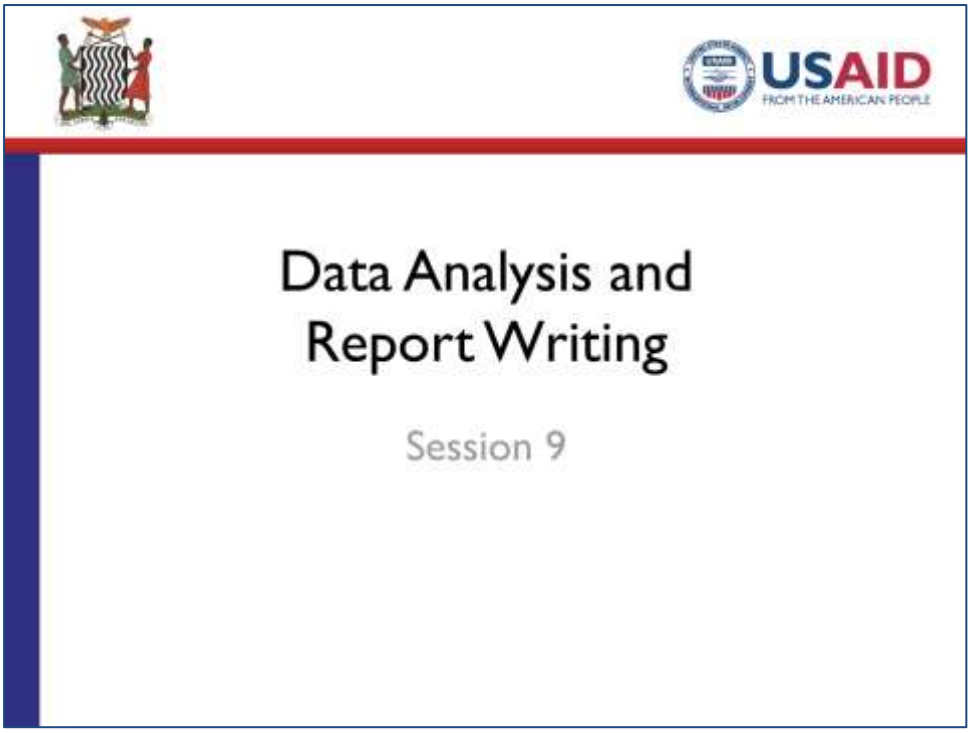
- Lecture
- Questions and answers

MATERIALS:

- PowerPoint presentation slides

KEY DISCUSSION POINTS

- Ensure that participants understand they need to consider their analysis when selecting project staff and creating a budget and timeline. For example, if they plan to use qualitative software, they need to identify someone with the necessary skills and account for the time and funds required to complete the analysis.
- Highlight that an analysis must be good, as outlined in the curriculum, for the research conclusions and recommendations to be taken seriously by the funding organisations, partners, and other stakeholders.



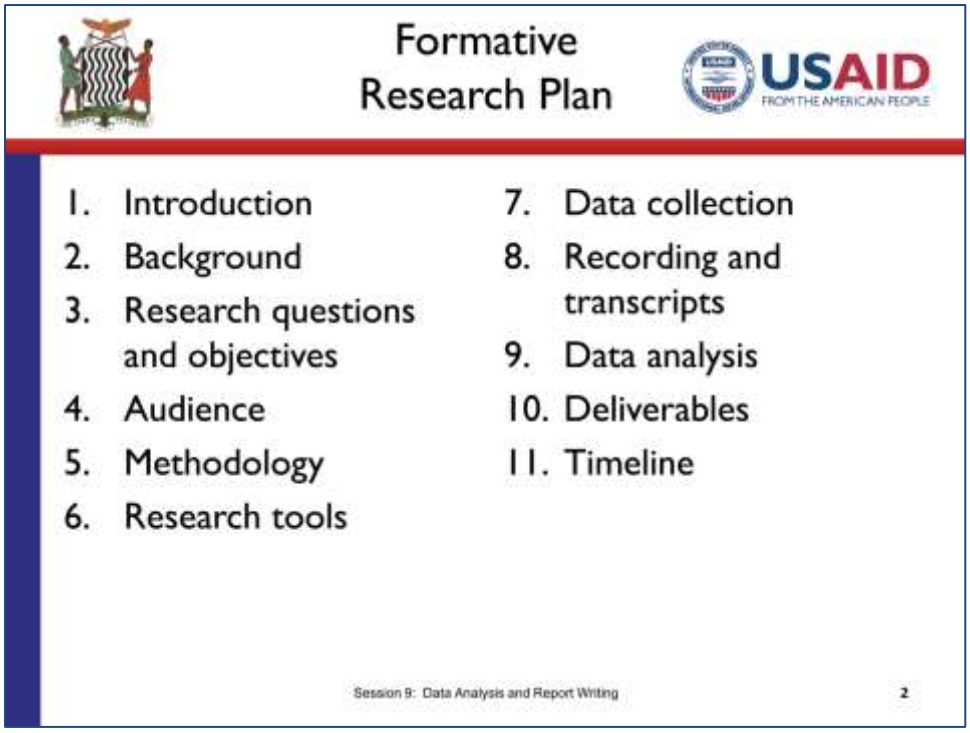
SLIDE 9.1

TIME: 1 minute

[Once the participants have taken their seats, start the session.]

Hello everybody, and welcome to Day 3 of the training—the final day. In this session, we will discuss data analysis and report writing—including the different levels of analysis, analysis process, and guidance on reporting results.

[Change to slide 9.2.]



SLIDE 9.2

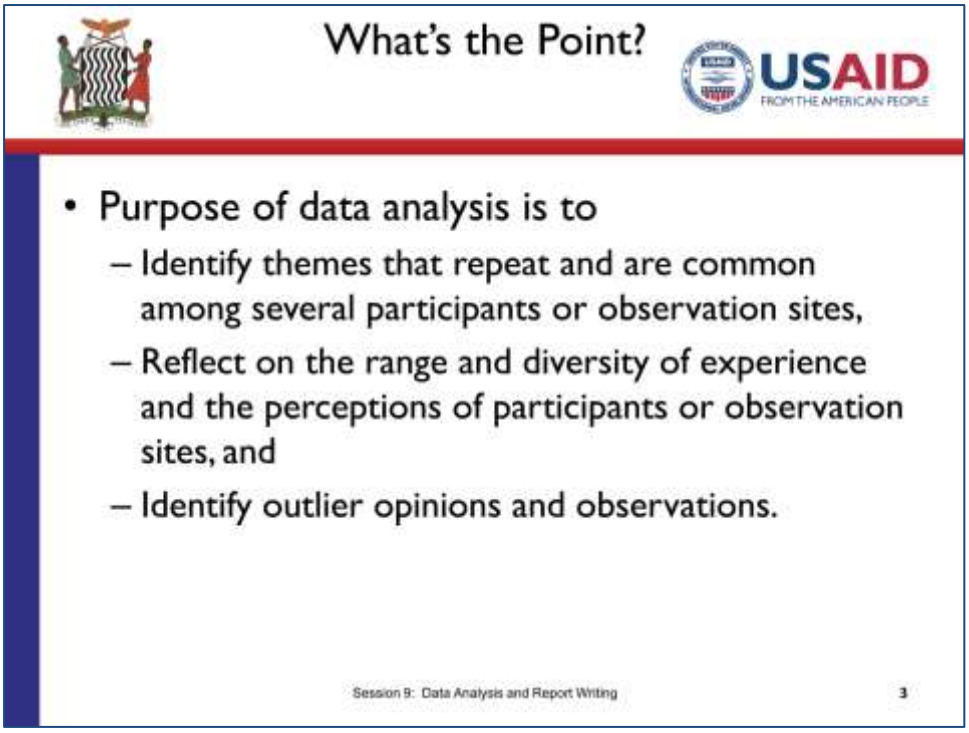
TIME: 3 minutes

Let's think back to the sections of the formative research plan that we discussed earlier. As you can see, we are here in section nine of the plan, the analysis. Which of these other sections do you think drive the analysis phase? Or, put another way, which of these sections should you always have in your head as you are doing the analysis? **[Acknowledge responses.]**

[If necessary, provide the answer to the above question.] Remember that the research questions always drive the analysis.

What do you think is the purpose of the data analysis? **[Acknowledge responses.]**

[Change to slide 9.3.]



SLIDE 9.3

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

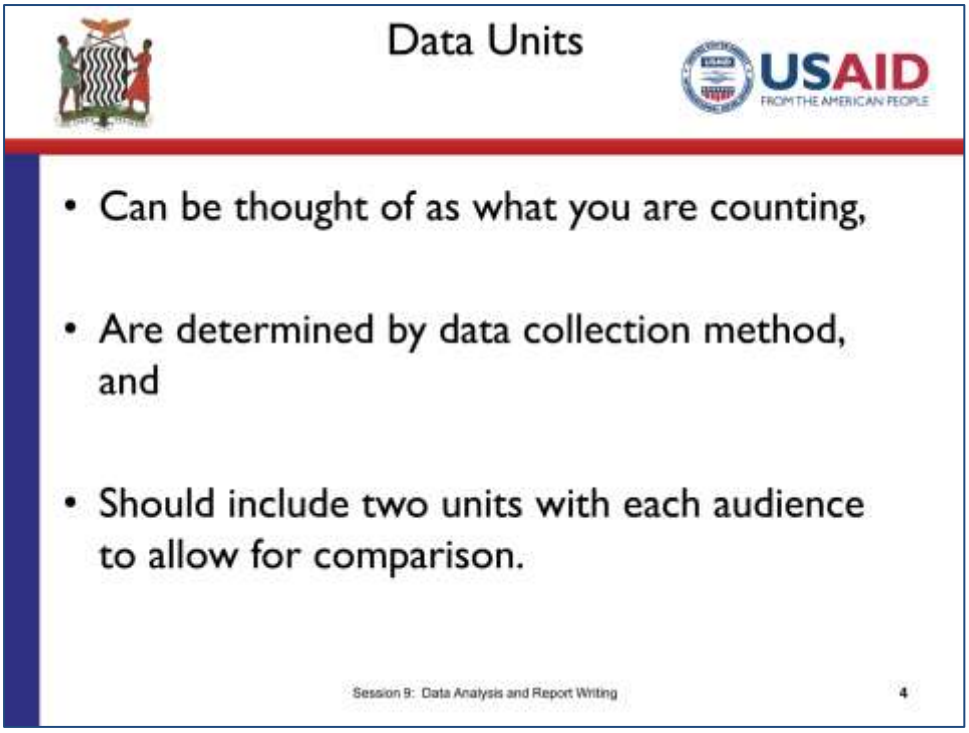
Essentially, the point of the data analysis is to answer your research questions. For example, if your research questions are related to why some women go to all of their antenatal care appointments and some do not, then in your analysis you state that you conducted research related to why some women attend all of their antenatal care appointments and others do not. The body of the report is a discussion of what you found out.

The analysis should identify themes that have emerged throughout the research. Are you hearing the same type of thing from several different groups? That's a theme that should be mentioned in the analysis.

On many occasions you will hear <u>different</u> things from different people. Sometimes this can be segmented according to your audience. Are you hearing one thing from health providers, for example, and something else entirely from women? Then your report should mention that different types of people appear to see things differently, and it should explain how the participants see things differently.

Unfortunately, things don't always break out so very neatly. There will be times when the majority of participants say one thing but a few say another. You should still mention the opinion of the few, but do state that this is a minority opinion.

[Change to slide 9.4.]



SLIDE 9.4

TIME: 15 minutes

Preparing for and conducting qualitative data analysis requires organising and analysing data by *data unit*. Data units can be thought of as what you are counting. This, in turn, is based on your data collection method.

So let's get into what this means for you in your data analysis. Can anyone tell me, what is the unit in a focus group study? **[Acknowledge responses.]**

[If necessary, provide the answer to the above question.] The unit in a focus group study is one group. In your report you would most likely have an introduction stating that you conducted X number of focus groups. So, the focus group itself is what you are counting, and it is the unit of analysis as well.

This means, when analysing and reporting the data, you do not draw conclusions from individual participants in the groups, but rather from the group as a whole. For example, a focus group report could read, "Half of the groups demonstrated a preference for the second poster option."

You can still mention what individual people in a group said—you will certainly want to have quotes supporting the themes you have in your report, but you can't draw conclusions by "cherry picking" individuals from within the groups. This also gets back to the need for good

moderation skills. If an individual in a group looks at your poster and says, "I don't like it. It's ugly," you can't really do a whole lot with that unless the moderator checks with the rest of the group on what they think as well. "I heard that one person thinks it's ugly. What do the rest of you think?" This can help you draw conclusions as to what the group thinks, rather than just the individual.

This also means that you really can't compare and contrast segments within your groups. For example, if you hold focus groups with men and women participating in the group together, you can't say that the men liked it and the women didn't. The men and the women are a part of the same data unit—the focus group. If you want to compare what women thought to what men thought, you would have to have groups with men and separate groups with women. You can then compare those data units.

As we mentioned in another session, this shouldn't keep you from noticing potential trends. Keeping with the example of the men and women in the same focus group, you may notice that the men in the group tend one way and women tend another way. This could be your rationale for re-segmenting and conducting further research—with men in one group and women in the other.

Does anyone have any questions about the concept of the focus group as the data unit?

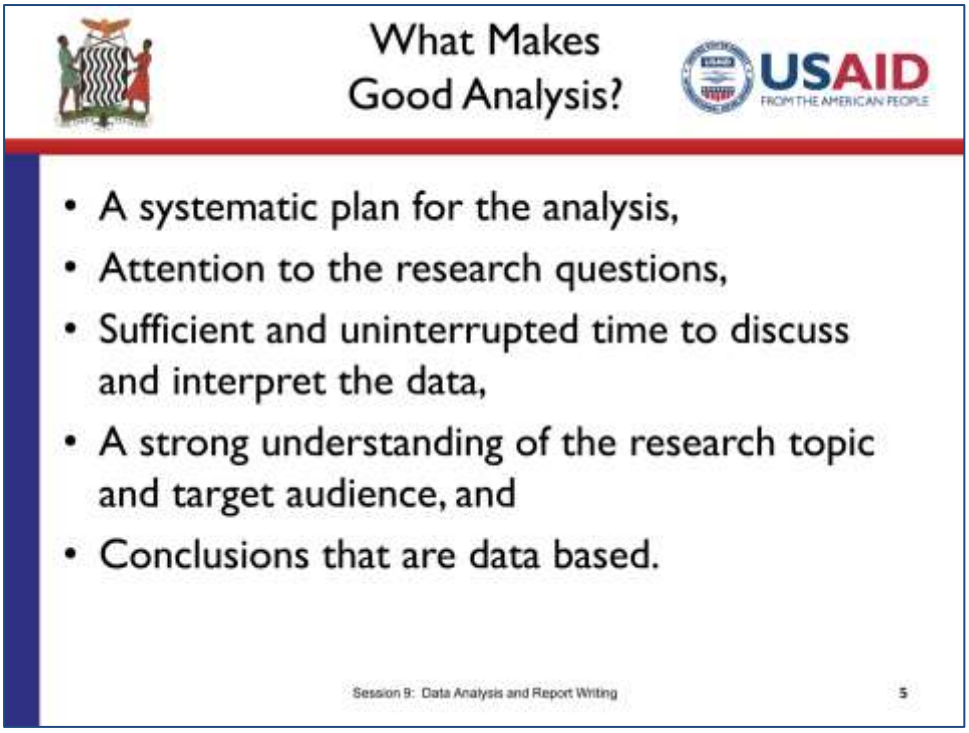
Let's talk a bit about interviews. What is the data unit in an interview study? **[Acknowledge responses.]**

[If necessary, provide the answer.] The unit in an interview study is one person, or one interview. This means, when analysing and reporting the data, you refer to the individual participants in your conclusions. For example, an interview report could read, "Half of the participants demonstrated a preference for the second poster option."

All studies must include at least two units with each target audience to allow for comparison between different audiences. For example, if you are conducting focus groups with women who got antenatal care and with those who didn't, you should conduct at least two groups with women who got care and two groups with women who didn't. This standard makes it possible to tell if any inconsistencies in opinions are outliers. If you only conduct one group, it's difficult to tell if what you heard in a group or interview is an actual finding, or if that one group or one person didn't happen to like it.

In order to draw conclusions in a qualitative research study, you should be looking for patterns in responses. One data unit can't provide you with much of a pattern.

Now, let's dig deeper into data analysis. What do you think makes for a good analysis? **[Acknowledge responses. Change to slide 9.5.]**



SLIDE 9.5

TIME: 7 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

A lot of things go into the analysis. At a minimum, good analysis must

- Be systematic in going through the data. You can do this in several ways—for example, you can read all transcripts one at a time or you can go through responses by question. What you want to avoid is coming up with conclusions before you have considered all of the data. That being said, not all of the data may pertain to the research question. If this is the case, then that part of the data does not need to be analysed.

- A good analysis should be based on the data. It's best to involve the research team to verify the findings. This also helps to limit personal bias, since they might have seen things in the data that you did not.

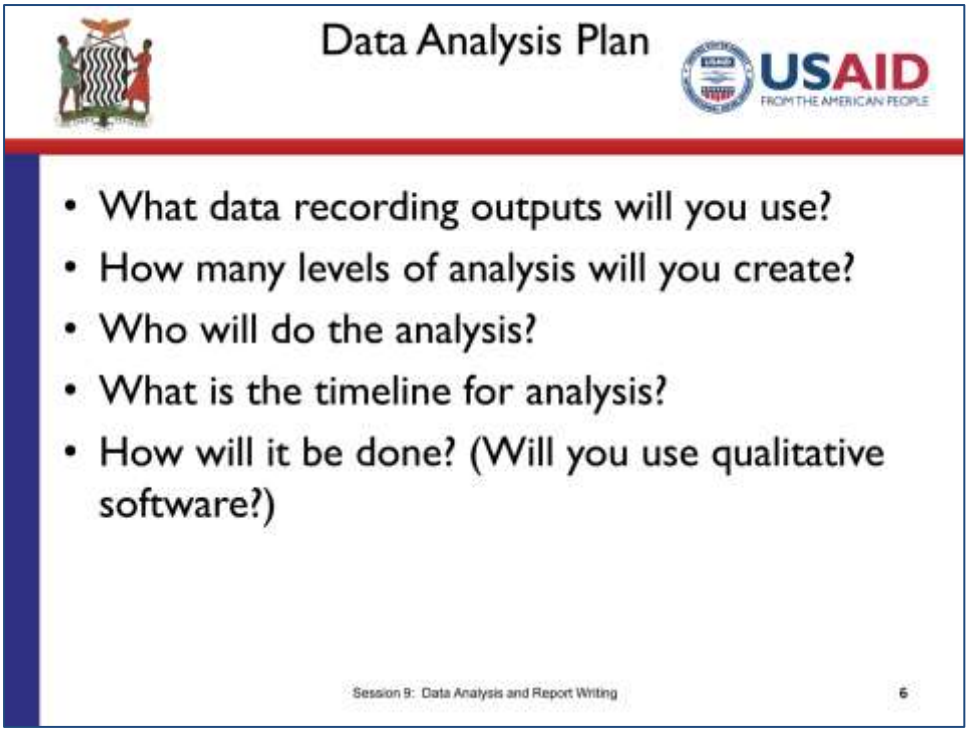
- A good analysis takes time and, depending on how many and what types of data units you have, it can take a lot of time. Be sure to plan for this at the timeline stage and when you and your team are discussing and interpreting the data.

- A good analysis must be rooted in a strong understanding of the research topic and target audience. If you do not know the audience or the topic at all, it may be difficult to interpret the raw data or to make recommendations coming out of the research.

Let's talk for a minute or two about planning for data analysis. At what point in your formative research plan should you start thinking about analysis? **[Acknowledge responses.]**

What topics related to analysis do you think you should consider before beginning your research? **[Acknowledge responses.]**

[Change to slide 9.6.]



SLIDE 9.6

TIME: 2 minutes

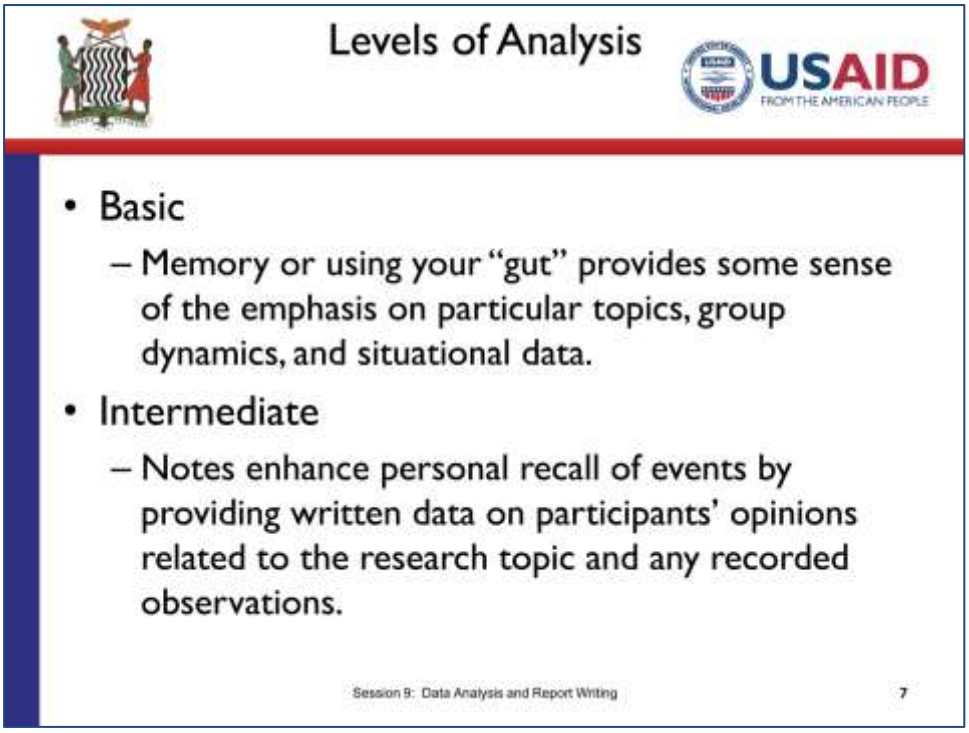
The data analysis plan is something that you will need to think about before you begin your research. You should include information on what outputs you will use in the analysis. For example, will you be using the tapes to produce transcripts or only notes? If you are producing transcripts, will it be your team transcribing the tapes or will you be hiring that out to another company? These decisions will affect both your timeline and your budget.

You will also need to plan for how many levels of analysis you will provide. We'll be getting into the levels of analysis in the next slide—essentially you need to know whether you will be writing a quick turnaround summary report and an in-depth report, or only an in-depth report. Again, this will affect your timeline and budget.

Who on your team will be tasked with providing the analysis? What is the timeline in which they will need to produce it?

Will you be using any qualitative research software for the analysis (such as ATLAS.ti or NVivo)? Again, this decision can impact both your timeline and your budget, so it is best to have these questions answered and included in the formative research plan before the research starts.

[Change to slide 9.7.]



SLIDE 9.7

TIME: 3 minutes

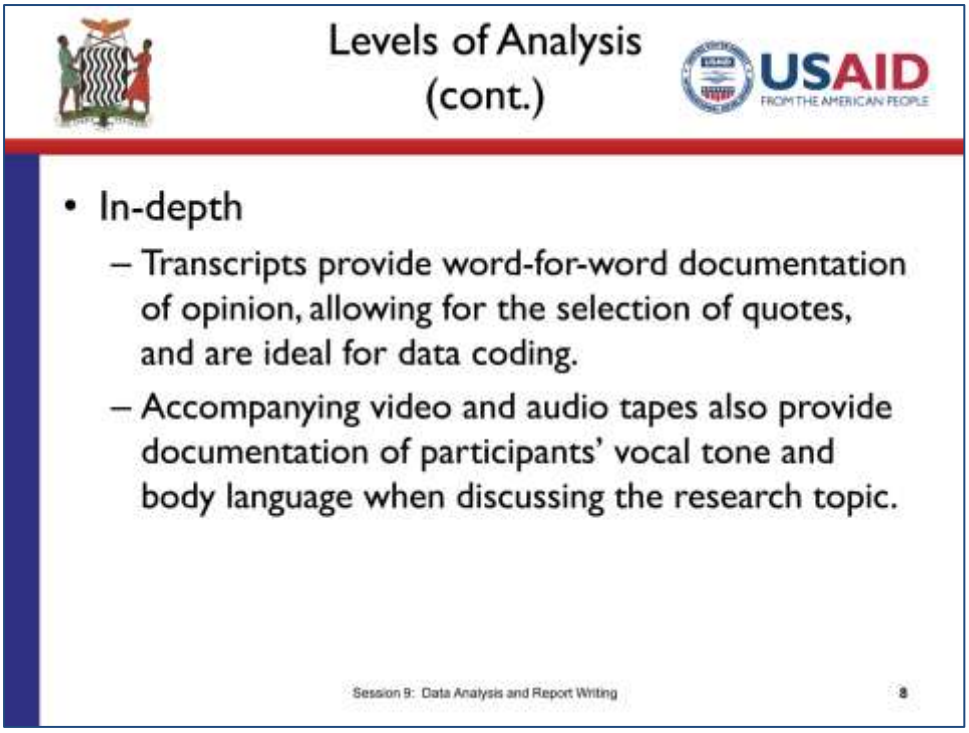
As I mentioned briefly in the previous slide, there are essentially three levels of data analysis: basic, intermediate, and in-depth.

The first level is basic. Basic analysis focuses on using your memory or your "gut" to provide some sense of the emphasis on particular topics, group dynamics, and situational data. Many times after conducting several focus groups or interviews, you have a pretty good idea of where the results are trending and what people think about certain subjects. Using only your memory, it's possible to come up with some very basic analysis—for example, "People appeared to like the message of the poster and responded well to it. In general, they preferred picture A over picture B. Many commented that the woman in picture B appeared to be very unhappy."

Keep in mind, however, that since you are using only your memory, this form of analysis is the most easily biased. If you are writing an initial report using only your memory, it is best to check in with others on your team to make sure they saw things the same way you did.

The intermediate analysis uses notes to enhance personal recall of events. Using written data on participants' opinions, as well as any recorded observations, can help to limit bias and allows you to provide a higher level of detail in your report. For example, "Eight out of 10 people interviewed said they liked the tagline on the poster. Seven people preferred picture A, with several commenting that the woman in picture B looked too sad. The two who said they didn't like the message of the poster said that they would prefer something a bit more direct."

[Change to slide 9.8.]



SLIDE 9.8

TIME: 5 minutes

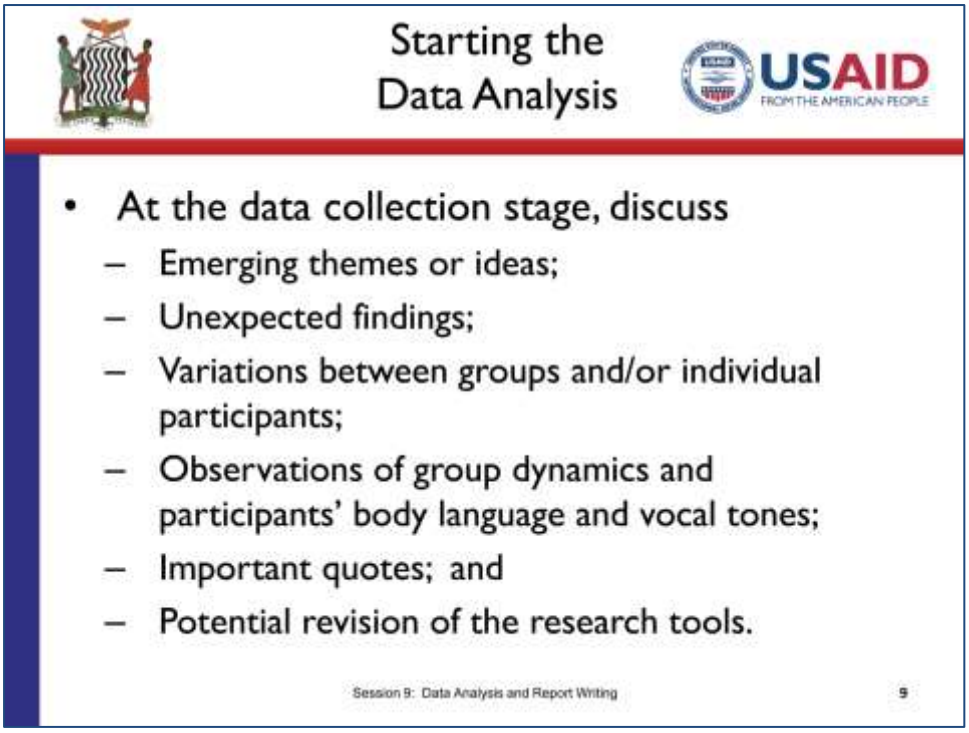
In-depth data analysis is the most detailed. It uses transcripts that provide word-for-word documentation of opinion and comments, allowing you to select quotes or use data-coding programmes. Video and audio tapes also provide documentation of participants' vocal tones and body language.

In-depth data analysis is the most comprehensive level of analysis. It is also the most expensive and can take the most time. Because you are using transcripts in forming your analysis, it is potentially the least biased of the three levels, since even note taking can be biased.

Does anyone have any questions on the levels of analysis? **[Acknowledge responses.]**

Let's move into the data analysis process. There are several steps in the data analysis process. The first step begins during the data collection stage. By data collection stage I mean while you are in the midst of doing your interviews or focus groups. I'd like you to think about your most recent experiences with analysing data. What, if any, data analysis steps did you take at the data collection stage?

[Acknowledge responses. Change to slide 9.9.]



SLIDE 9.9

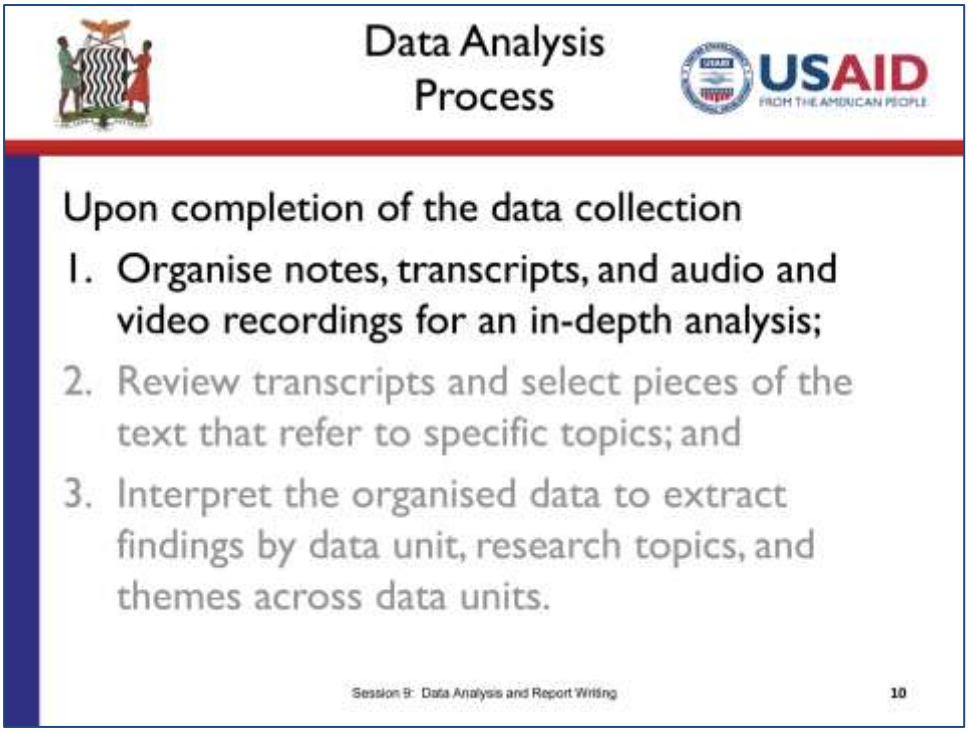
TIME: 2 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

On the slide we have a list of possible things you and your team can discuss and take note of at the data collection stage. Whenever possible, debrief with the research team throughout the data collection process—perhaps after each focus group or day of interviews. In the debriefings, discuss emerging themes or ideas, unexpected findings, differences in opinion between groups and/or individual participants, observations of group dynamics and participants' body language and vocal tones, important quotes, and potential revision of the research tools.

By potential revision of the research tools, I mean—Do you need to add another question to your guide? For example, if, after your first day of data collection, you note that a lot of people are commenting on something you didn't expect, you may want to add a question about that in your next interviews.

[Change to slide 9.10.]



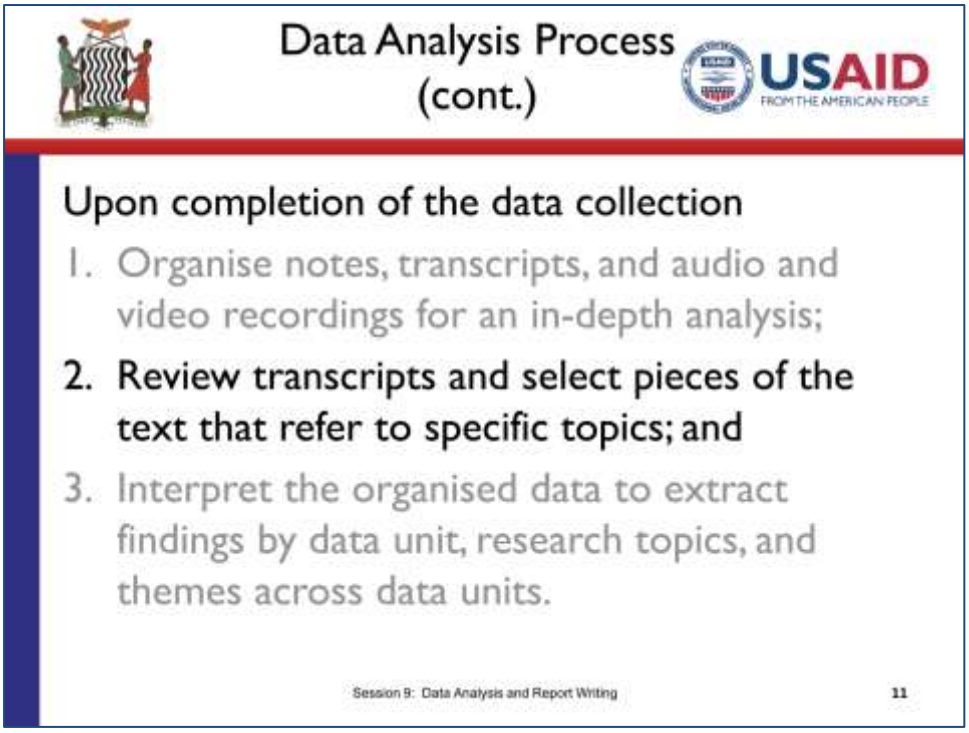
SLIDE 9.10

TIME: 1 minute

After you complete the data collection, you need to organise the notes, transcripts, and audio and video recordings to begin the in-depth analysis. Organising the data will help you identify the most commonly discussed topics and emerging themes.

There are several ways you can do this. I would suggest first organising the data by audience. For example, if you have done interviews with women who have used antenatal care and interviews with those who have not, gather all of your notes and transcripts related to each audience into a separate pile.

[Change to slide 9.11.]



SLIDE 9.11

TIME: 10 minutes

You can then begin reviewing the transcripts or notes related to each audience and marking sections of the text that refer to specific topics. This is sometimes referred to as coding.

There are several ways to do this. Assuming you'll receive electronic transcripts, one approach is to use a computer to copy and paste selections from the electronic version of the transcripts into another document, organised by topic. For example, all of the comments related to barriers to antenatal care could be pasted into one section of the new document and all of the participant comments about facilitators to the use of antenatal care could be pasted into another section. This makes it easy to see at a glance what people across the groups or interviews have said and to notice any differences between audience segments.

In addition to, or in place of, organising the text with a computer, you can cut and tape pieces of the printed transcripts or notes to a wall to organise them by group or topic.

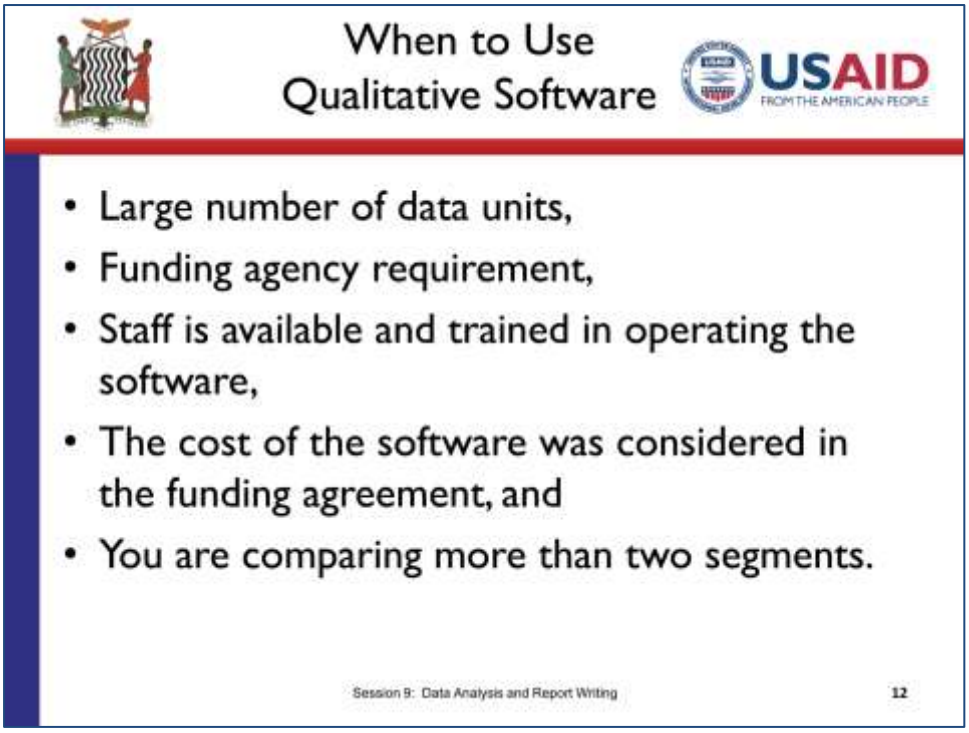
Another way to do this is to hand-mark your notes or transcripts with pens, pencils, or coloured markers. For example, you could mark all of the comments related to barriers in red and facilitators in green, or whatever other colours you choose. Or you could simply mark the transcripts with a pen or pencil—underline sections in the transcript or draw brackets around sections and write your code (such as "barrier," "facilitator," or "fear") in the margin. Then, when you are writing the analysis, you can easily find the sections of your notes or transcripts related to common themes. Clearly mark quotes that illustrate a theme with a large asterisk so that you can find them when you are writing your analysis and you can include them in your final report.

The important thing is for this to be done systematically so that all of the data is reviewed and categorised. Sometimes you may need to go back and do this process more than once. Although ideally you should have an idea of themes from your discussions during the data collection phase, it's quite common for other sub-themes to emerge as you're reading the transcripts. In that case, you will want to go back through your earlier notes or transcripts to code or categorise the content in those files as well so that you don't miss anything.

Does anyone here have experience in using any qualitative analysis software such as ATLAS.ti or NVivo? **[Acknowledge responses.]**

In what situations do you think it would be best to use qualitative research software?

[Acknowledge responses. Change to slide 9.12.]



SLIDE 9.12

TIME: 3 minutes

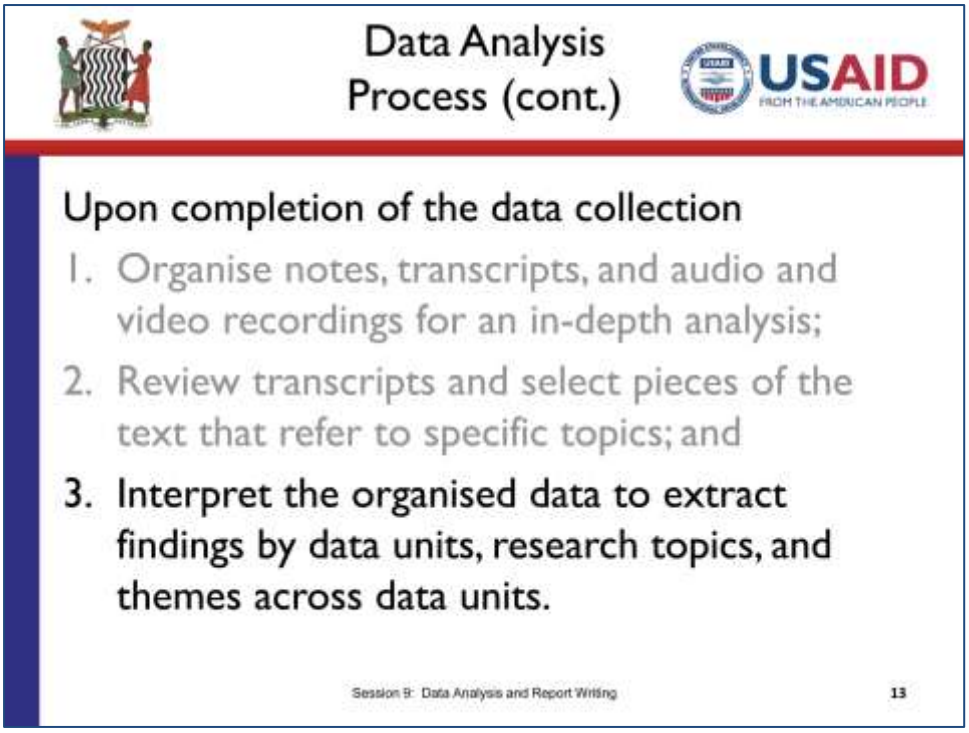
[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

Your team should consider using qualitative software if there are large numbers of data units—I would say 10 or more. You may want to consider qualitative research software if it is required by the funding agency to provide data in qualitative software files, if staff is available and trained in operating the software, and if the cost of the software was considered in the funding agreement. Software can also be useful if you would like to compare more than two segments in your research, as the programmes can help you organise the data for easy comparison.

Although using qualitative software can make the analysis process more exact and easier to identify findings and themes by running queries, it requires a lot of time setting up your data codes. Working with qualitative software is not always intuitive, so staff also need to get complete training on the software and need to have time budgeted to allow them to get used to the programme.

With these time and cost factors, it may not be worthwhile to use software if you are doing fewer than six groups or interviews. If you are considering using software, you certainly need to plan for that far in advance to allow for the extra time that may be needed to get used to the analysis programmes.

[Change to slide 9.13.]



SLIDE 9.13

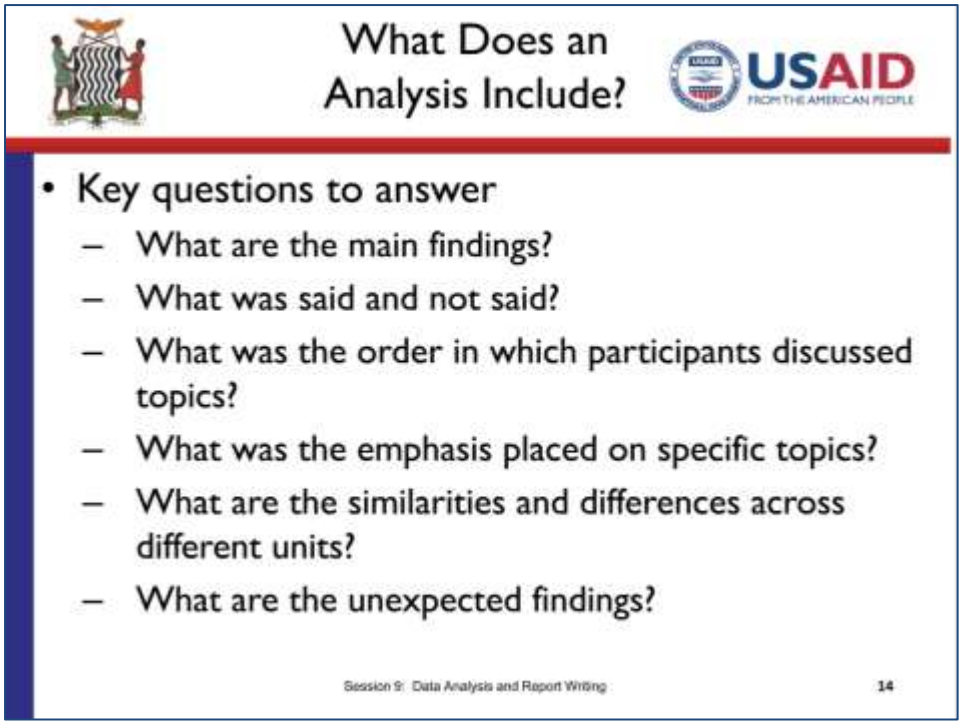
TIME: 1 minute

The last step in the data analysis process is to look through all of the text you have coded and sorted and present it in an organised way in a report. This section of the report is called "Findings," and it summarises what you found out in your research. This can include

- What are the main findings?
- What was said and not said?
- What was the order in which participants discussed topics?
- What was the emphasis placed on specific topics?
- What are the similarities and differences across different units?
- What are the unexpected findings?

Let's look at each of these things a bit more closely.

[Change to slide 9.14.]



SLIDE 9.14

TIME: 10 minutes

- What are the main findings?

The main findings should include constants that emerged in each topic area. This includes things such as likes and dislikes and recurring themes. For example, if you are looking at barriers, you could say something such as, "Women mentioned that it can difficult for them to attend all of their antenatal care appointments for a variety of reasons, including a, b, and c." You can then go on to explain what the women said about a, b, and c.

- What was said and not said?

At times you may want to note what was NOT said. For example, if the common assumption is that women do not attend their appointments because of transportation difficulties but that did not come out in your research, you may want to state that. Hopefully your moderator will have probed for this by asking something such as, "What about transportation?" You can then say in your report that "no one brought up the issue of transportation until the moderator specifically asked about it, and even then the majority of participants did not think it was a large factor."

- What was the order in which participants discussed topics?

The order in which people mention things can sometimes denote the importance they attach to it. In most cases, the most important things will be mentioned first. If throughout your research you continually notice that certain factors come up before others, you will want to note this in your report.

- What was the emphasis placed on specific topics?

The amount that was said on particular aspects of a topic can indicate how strongly people feel about a subject. If they talk a lot about the subject, it can sometimes show that the subject is very important or that they have strong opinions on it. Conversely, if it is simply mentioned and then dropped, that usually means that whatever was mentioned may not be as important as the other factors coming up. Again, this is where your skilled moderator comes in. It can be important to ask, "What do the rest of you think about X?" If no one says much, then you know it is a lower-level factor than something that people all want to discuss. Be sure to note these details in your report.

- What are the similarities and differences across different units?

If you are segmenting by audiences, this is where you would want to compare and contrast opinions and groups. For example, you might find that medical providers think that women don't come in because of the cost. In contrast, you may find that women say they don't come in because they believe they are treated rudely by the medical staff. These are very different opinions. Be sure to note that in your report!

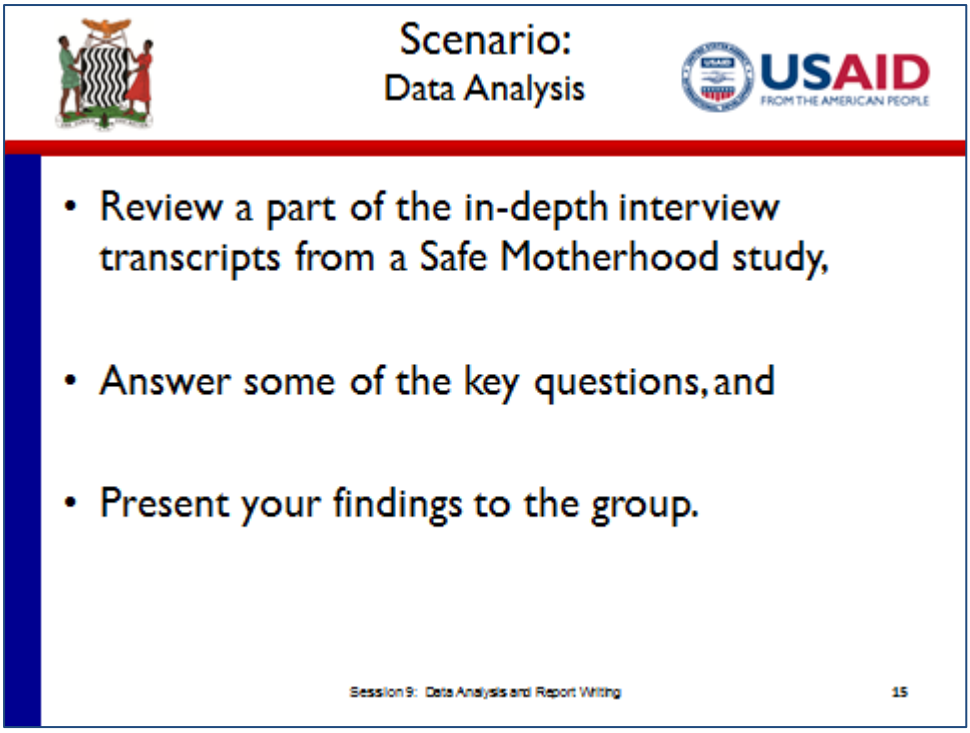
- What are the unexpected findings?

At times you may find out something that wasn't on your radar at all. These findings can be especially important to note so that you and your staff can consider them in the future.

Has anyone here written a report on qualitative research? **[Acknowledge responses.]**

What level of analysis did you provide? **[Acknowledge responses.]**

[Change to slide 9.15.]



SLIDE 9.15

TIME: 105 minutes

Let's practice analysing data from in-depth interviews that were conducted as part of a study on Safe Motherhood. This exercise will take about an hour and a half and will include multiple steps. Don't worry, we'll have a tea break a little more than halfway through the exercise to give ourselves a little breather.

In the first part of the exercise, each group will review and analyse some qualitative data. Each group will get a different set of data. Then, each group will present their findings based on the data. In the next part, each group will review a set of data analysed by another group. They will then provide feedback on the findings presented by another group. In the last part of the exercise, we'll look across the different sets of findings to identify any other trends. It might sound a little complicated at first, but it should make more sense once we begin.

Now, let's get started. Please turn to page 149 in your booklet. There you will see three different sections. Each includes parts of transcripts from Safe Motherhood interviews – each focusing on issues specific to antenatal care. The three different sections include one with mothers who have accessed antenatal care, one with fathers of young children, and one with health care providers. I'm going to assign each research group one of these sections to focus on for this exercise. **[Assign each group with one section of transcript.]** Please take five minutes to read through your assigned transcript section.

[Allow five minutes for the participants to read through their assigned section of the transcript.]

OK, now that everyone has had a chance to read through their transcript sections, let's move on to analysing the data described in the transcripts. Work with your groups to go through your assigned transcripts and answer some of the key questions we've just discussed, such as:

- What are the main findings?
- What was said and not said?
- What was the emphasis placed on specific topics?
- What are the similarities and differences across different units?
- What are the unexpected findings?

Each member of the group should write down the answers to these key questions on their individual pads of paper or booklets so you can look at them after this training for an example of how to use transcripts to identify trends in health behaviours. Each group will also want to identify one member to orally present your findings to the whole group. Your group will have 45 minutes to analyse your transcripts, identify your key findings, and prepare your speaking notes to present your findings to the whole group.

Does anyone have any questions before we begin? **[Answer the participant questions.]**

[Allow 45 minutes for the groups to complete their analysis. Tape a separate sheet of flipchart paper for each of the groups. As the groups present their findings, write them down on that group's sheet of flipchart.]

Great, now let's begin reporting out your findings. Which group would like to go first? **[Allow each group to report and write its findings on the flipchart sheets as it speaks.]**

Thank you, everyone. That was a lot of work. Before we continue with this exercise let's take a 30 minute tea break.

[Allow 30 minutes for the tea break. Once the participants have returned to their seats, continue with the exercise.]

Now, I'd like us to take a step back and allow each of you to provide feedback on these findings. To do this, you too will need to review the different transcript sections. I'm now going to assign a different set of transcripts for each of the groups to review. **[Assign each group a different section of transcripts to review.]**

Working on your own, I'd like you to read through the notes and see if you agree with the group findings and if you would do anything to it. You won't be able to conduct a thorough

analysis as you just did with your previously assigned notes section but, rather, just do a brief review. This brief review is similar to what project managers may do. You'll have 10 minutes to conduct your brief review.

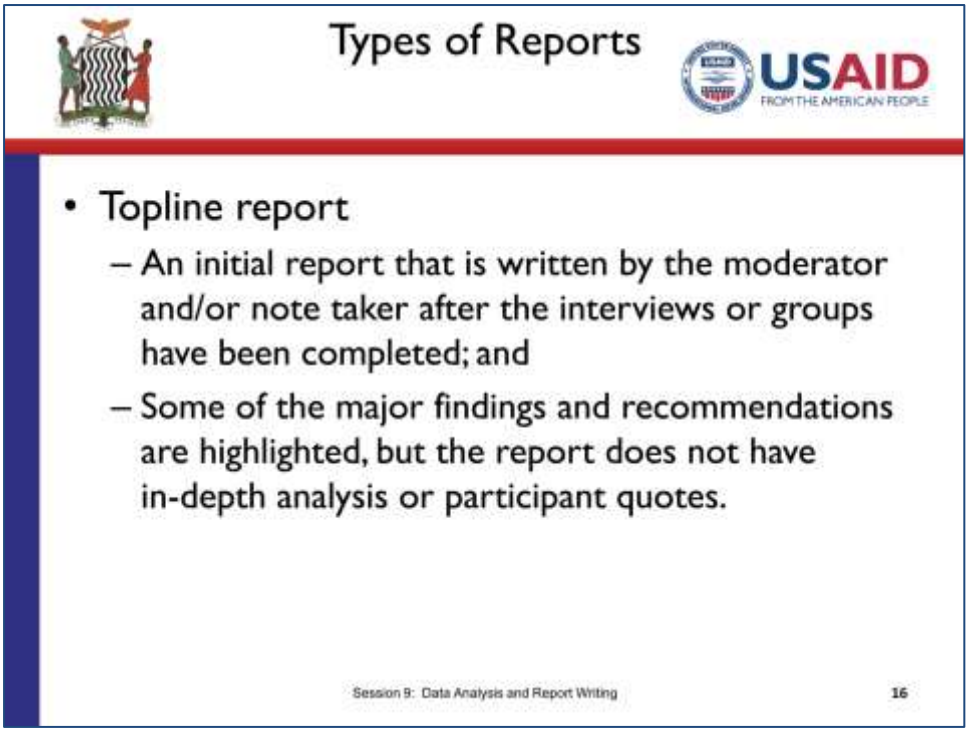
[Allow 10 minutes for the participants to conduct their brief review.]

Ok, now let's review our group findings that we have up on these flipchart sheets. **[Review each flipchart sheet of findings and ask the following questions directly to the whole group.]**

What feedback do you have on the findings? Do you agree or disagree? Is there anything you would add? **[Acknowledge responses. Ask the research group that provided the findings to respond to other participant questions. Add any additional feedback on the findings that was not addressed by the group.]**

Now, let's look across these findings. As you probably noticed, there are three different populations who took part in this study. Do you see any similarities or differences among these groups? **[Acknowledge responses. Add any additional insights that were not mentioned by the group.]**

[Change to slide 9.16.]



SLIDE 9.16

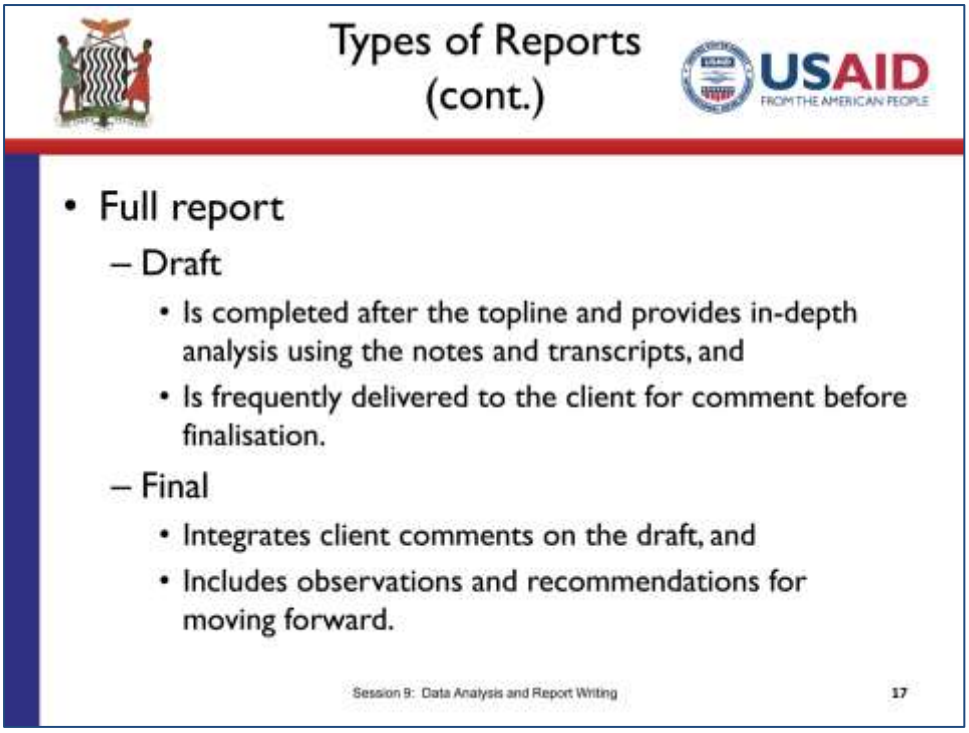
TIME: 2 minutes

Data analysis findings can be presented in a series of different reports with different levels of analysis. These reports may be delivered to the funding organisation or used only by your staff, but keep in mind that the point of the report is to synthesise information so that project managers and implementers can use it to develop or revise programmes and resources based on the research findings.

Reports frequently fall into one of two categories: a topline and a full analytical report.

The first category is a topline report. A topline report is an initial report that is completed by the moderator and/or note taker after the interviews or groups are completed. This report usually provides a "gut-level" analysis and highlights some of the major findings and recommendations. It does not include in-depth analysis or participant quotes. This type of report is a good way for researchers to note their initial impressions of the research. It can be written using the notes from the groups before the transcripts are prepared. A topline report can also provide a helpful check-in with funders and partners who are wondering about the results of the research.

[Change to slide 9.17.]



SLIDE 9.17

TIME: 1 minute

The second category is a full report, which is much more in-depth than the topline report.

A draft full report is completed after the topline report and provides in-depth analysis using the notes and transcripts. This report is frequently delivered to the funding organisation for comment before finalisation. It should look as close to the final report as possible. The only thing you should need to do to make it final is to integrate any comments you receive from your funding organisation.

A final report integrates those comments and can include client observations and recommendations for moving forward. In some cases, if approved by the funding organisation, the final report may be published or disseminated to partners and other stakeholders.

[Change to slide 9.18.]

SLIDE 9.18

TIME: 1 minute

Take a look at the sample full report on your CD-ROM after the workshop. It should give you a good idea of what the end product should look like.

[Change to slide 9.19.]

SLIDE 9.19

TIME: 2 minutes

So what's in a full report? The next two slides show the general sections usually included in a full report. Let's go through them.

The executive summary is about one page long and provides a brief introduction to the research study and a summary of the key findings and recommendations.

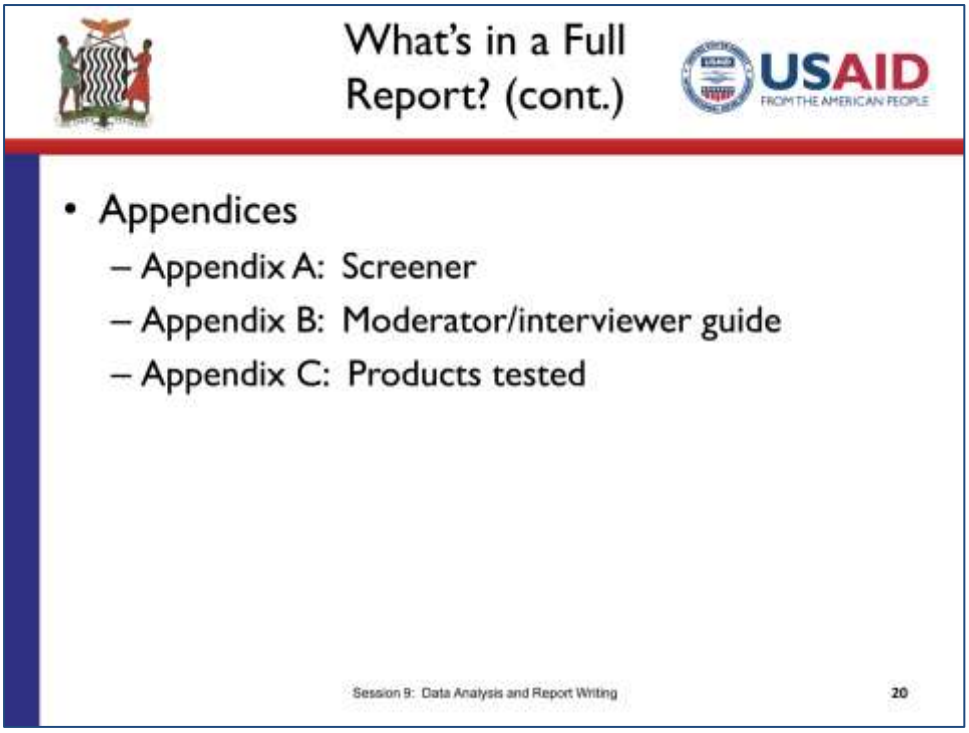
The introduction provides background information on the research issue and funding organisation. This section usually highlights the research questions.

The methodology section clearly describes how you did the research (interviews and/or focus groups), participant segmentation, recruitment and screening, consent procedures, how the groups were moderated or the interviews conducted, and data analysis processes. This section should also mention any limitations to the research study, which all studies have. For example, focus groups can vary considerably, with each group tending to assume unique characteristics.

The findings section describes both the key and outlier findings using quotes and diagrams or tables. This should be the longest section of your report.

The conclusions summarise the key findings across the different segments, subtopics, and data units.

[Change to slide 9.20.]



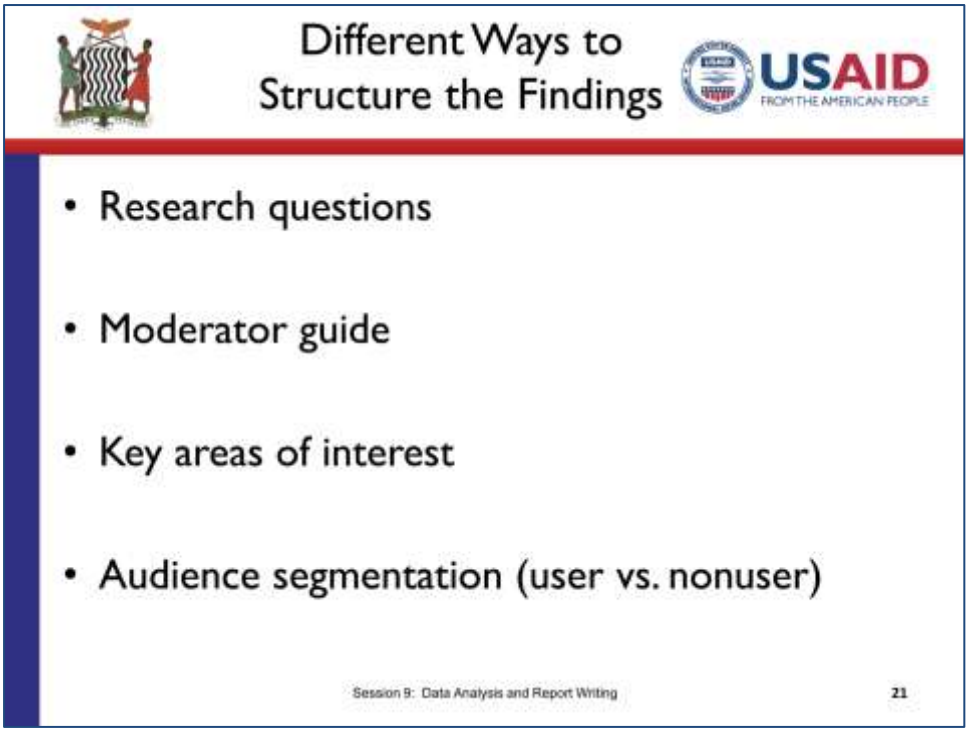
SLIDE 9.20

TIME: 1 minute

The appendices include the formative research tools, the demographic information of participants (which is sometimes also included in the methodology), and copies of any materials reviewed by participants.

As I mentioned, the findings section will be the core of your report. We've already talked about the types of things to include in your findings, so now let's look at some ideas on how you can structure that section.

[Change to slide 9.21.]



SLIDE 9.21

TIME: 3 minutes

The findings section could be organised by

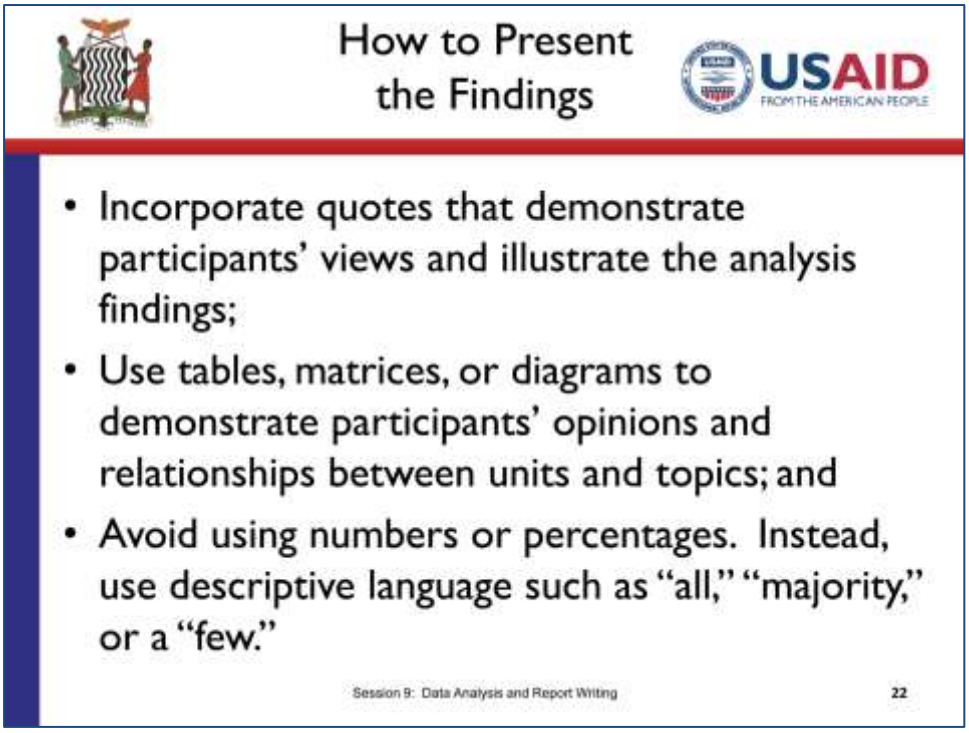
- Research questions;
- Questions in the moderator guide;
- Key areas of interest pertaining specifically to the research topic; or
- Audience segmentation (for example, women who use antenatal care compared to women who do not).

In some cases, it may be useful to pick a few of these ideas to structure your report. For example, your team may decide it would be best to structure the findings section by the research questions, and then under each research question break out the findings by audience segmentation. This technique helps to clearly demonstrate the differences in opinion in the different audiences specifically related to the research questions.

Probably the easiest way to structure this section would be by the questions in your guide, as that is the order in which the information will most likely be presented in your transcripts and notes. Usually your moderator or interview guide is already broken down by topic and subtopic.

Now we will discuss things to keep in mind as you are presenting your findings in the report.

[Change to slide 9.22.]



SLIDE 9.22

TIME: 10 minutes

Always try to incorporate quotes that demonstrate participants' views and illustrate the analysis findings. Transcripts are particularly useful when selecting quotes. It's your job to synthesise the results of the research in the report, and the impact of that synthesis will be even stronger if you can find quotes to illustrate the point in the participant's own words.

Using tables, matrices, or diagrams is also very effective to demonstrate participants' opinions and relationships between units and topics. Although used mostly in quantitative research reports, visuals depicting the data can be used when the data allow for it. For example, if you are testing preference for a particular material, you can ask interview participants to vote and display the results in a table or pie chart.

In presenting the analysis of focus groups, avoid using numbers or percentages. Instead, use descriptive language such as "all," "majority," or "few." Remember that the unit of analysis is the focus group, not the individual. If you are doing a large number of interviews, you can use percentages, as the data unit is the interview.

Those of you who said you had written a report on the results of qualitative research, tell us

- What steps did you take to write a full report?
- Who was the audience for the report?
- Who participated in the writing and revisions?
- How long did it take to write and revise?
- What type of support did you need to write and finalise the report?

[Acknowledge responses.]

[Change to slide 9.23.]

SLIDE 9.23

TIME: 4 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

As in the case of the analysis, writing the report is a process. Before you start writing the report, create an outline that clearly lays out the sections of the report and major findings from the analysis.

Meet with the research team to review and comment on the outline and make sure that you cover the main points of the analysis and methodology. Then you can begin to write the report by filling out the finalised outline as a framework. As you write the report, review the transcripts to identify quotes that most clearly and concisely demonstrate your key findings. You may want to consider different ways to present the findings with tables, diagrams, and matrices. Lastly, before you submit the draft report to the funding agency, meet with the research teams to review and discuss the report and revise it based on their feedback.

Does anyone have any questions about the information covered in this session? **[Answer participant questions or ask other participants to answer the questions. End the session and provide instructions about lunch locations(s) and options, as well as what time to be back for the next session.]**

Energiser 3:
Three Common, One Unique

TIME: 30 minutes

PROCESS:

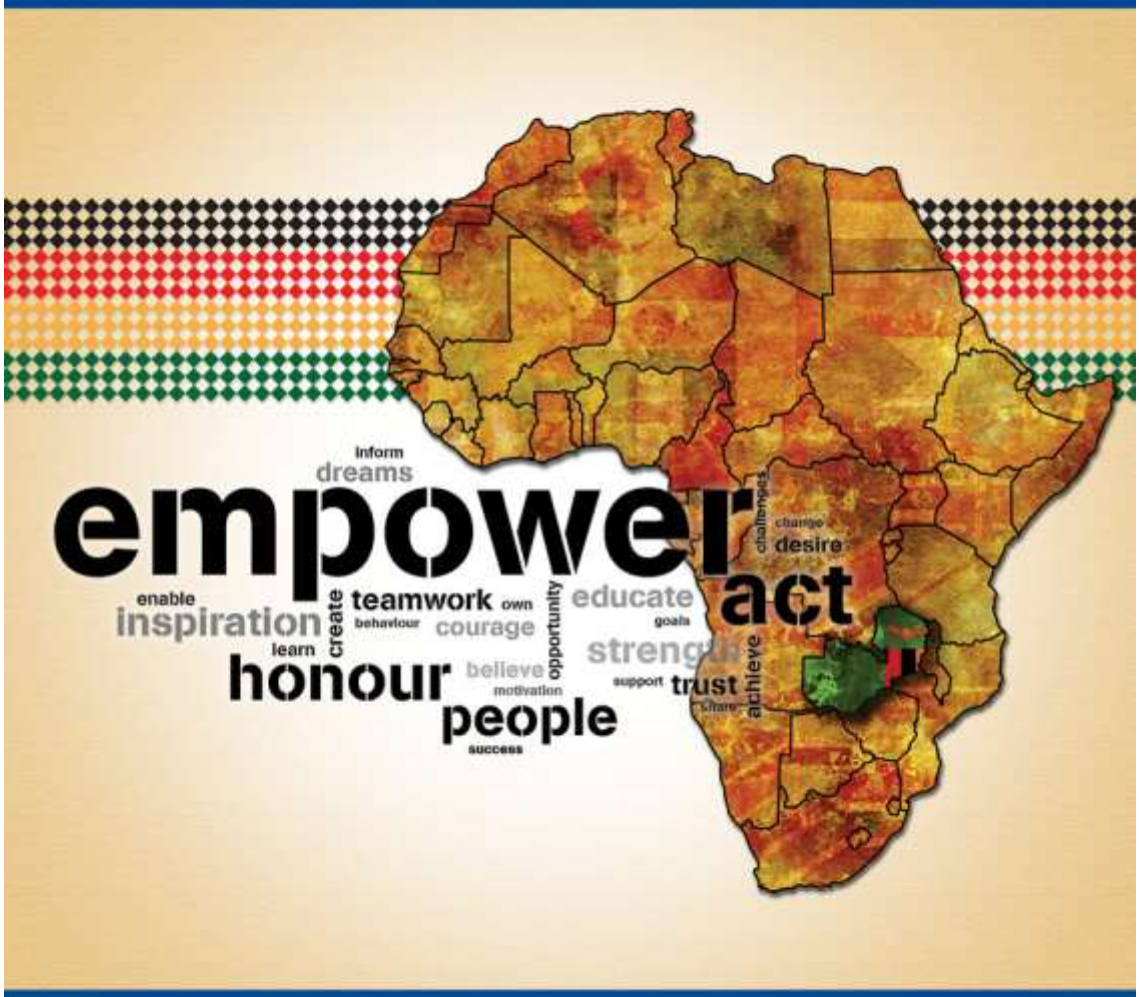
1. Explain to participants that you will be conducting an energiser exercise and they need to split up into groups of three.
2. Ask participants to conduct their own qualitative research and find three things that all people have in common. The group must then find one thing that is different about them.
3. When the groups have finished their discussions, ask them to select one member to report out their results.

ENERGISER 3

TIME: 30 minutes

[Follow the instructions on the previous page.]

SESSION 10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dreams
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courage
opportunity
educate
goals
learn
honour
believe
motivation
support
trust
share
achieve
people
success

Session 10:
Research Ethics

TIME: 45 minutes

PURPOSE:

- To provide information on the importance of research ethics and the responsibilities of the research team.

LEARNING OBJECTIVES:

- To list and describe one fundamental principle of research ethics, and
- To describe the role of an Institutional Review Board (IRB).

METHODOLOGIES:

- Lecture
- Questions and answers
- Scenario exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers

KEY DISCUSSION POINTS

- Mention that inclusion of vulnerable audiences should be taken into consideration for the budget and timeline. For example, a study including minors will take more time and personnel resources to recruit and obtain parental consent.
- Stress that any research that is conducted with human subjects must be approved by the organisation's IRB. If research is conducted without IRB review, the organisation conducting the research can lose its funding.

SLIDE 10.1

TIME: 1 minute

[Once the participants have taken their seats, start the session.]

In this session, we will discuss the importance of research ethics and the responsibilities of the principal investigator and research team.

[Change to slide 10.2.]

SLIDE 10.2

TIME: 2 minutes

Four core principles form the universally accepted basis for research ethics.

Respect for persons requires a researcher's commitment to making sure research participants maintain their autonomy or independence. In situations in which their autonomy or independence is reduced, as in the case of focus groups where multiple participants are in the presence of one another, researchers must protect people from being exploited by participating in the research or from being mistreated by other participants. Researchers need to respect the opinions and privacy of research participants and make sure that participants respect each other. Adherence to this principle ensures that people will not be used simply as a means to achieve research objectives. For example, at the start of focus groups, moderators should stress to the participants that they need to respect each other's opinions and privacy—and that it is OK to disagree with each other as long as they are respectful in how they speak to each other.

Beneficence requires a researcher's commitment to minimising the risks associated with research, including psychological and social risks, and maximising the benefits for research participants. For example, studies examining sensitive topics such as HIV/AIDS need to have a clear plan for how they will reduce any discomfort and provide support services for individuals impacted by the disease.

[Change to slide 10.3.]

SLIDE 10.3

TIME: 3 minutes

Justice requires a researcher's commitment to ensuring a fair distribution of the risks and benefits resulting from research. Those who take on the burdens of research participation should share in the benefits of the knowledge gained. Or, to put it another way, the people who are expected to benefit from the knowledge should be the ones who are asked to participate.

Some bioethics have suggested a fourth principle of respect for communities. Respect for communities requires a researcher's commitment to respect the values and interests of the community in research and, wherever possible, to protect the community from harm. For example, working with communities of different religions may have different guidelines in how men and women can interact. In some communities, women may be restricted from talking to male researchers. So, the research team must be respectful of the community and send a female team member to conduct the research with the women.

This last principle is, in fact, fundamental for research when communitywide knowledge, values, and relationships are critical for gathering open, candid, and honest responses from participants.

The next question is, then, who is a research participant? **[Acknowledge responses.]**

[Change to slide 10.4.]

SLIDE 10.4

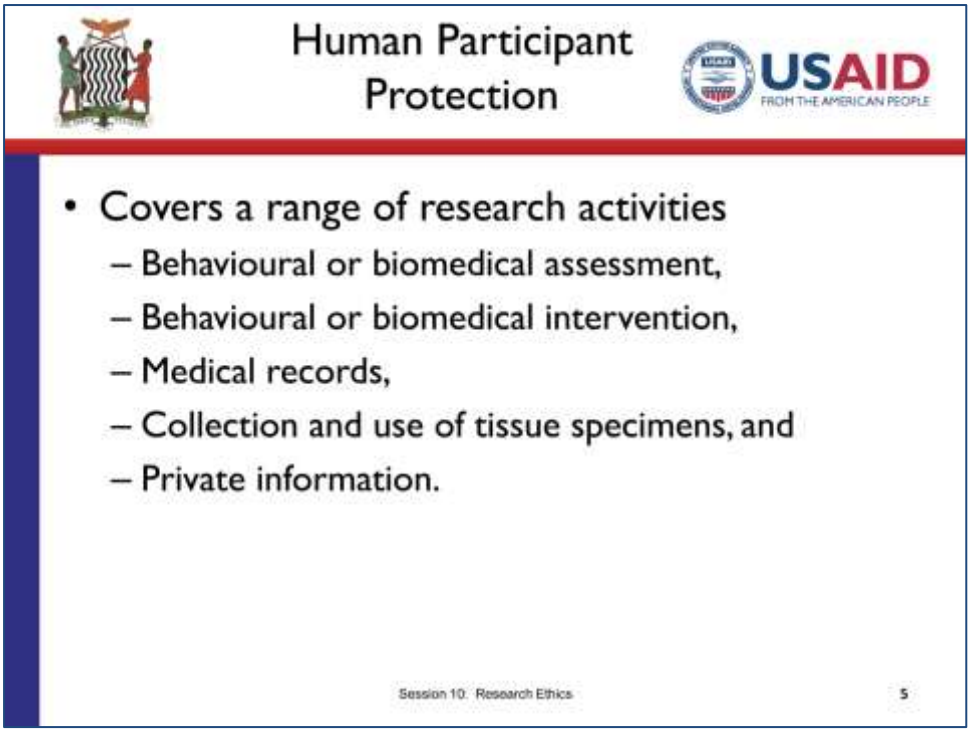
TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

A research participant is an individual about whom a researcher obtains data and identifiable information—for example, a pregnant woman who provides information on her antenatal care and can be identified by her first name and location.

When does research require human participant protection? **[Acknowledge responses.]**

[Change to slide 10.5.]



SLIDE 10.5

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

Human participant protection covers a range of research activities, including behavioural or biomedical assessment, behavioural or biomedical intervention, review of medical records, collection and use of tissue specimens, and review of private information.

Why is it important to protect human research participants? **[Acknowledge responses.]**

[Change to slide 10.6.]

SLIDE 10.6

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

Researchers have the fundamental responsibility to protect the rights and welfare of people participating in their research activities. It's also important to maintain the ethical values and principles of the underlying research you conducted in the past or reviewed in your literature review to inform your research plan. You need to protect the rights of participants in order to implement scientifically valid or evidence-based research that could be used to inform campaigns and programmes, as well as future research based on your findings. It's also important to calm the concerns of the participants, communities, funding organisations, and others interested in the research about the treatment of the participants and use of the research findings.

Who is responsible for protecting research participants? **[Acknowledge responses.]**

[Change to slide 10.7.]

SLIDE 10.7

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

All levels of government agencies, funding organisations, institutional review boards (IRBs), and the principal investigator and research team are all required to protect the rights and welfare of research participants.

What is the principal investigator responsible for? **[Acknowledge responses.]**

[Change to slide 10.8.]

SLIDE 10.8

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

The principal investigator is responsible for making sure that

- The study is properly designed,
- Participants meet eligibility requirements,
- The study has been approved by the IRB of the organisation conducting the research,
- Informed consent has been obtained from all of the participants,
- The protocol changes and adverse effects are reported to the IRB,
- The rights and welfare of participants are monitored throughout the recruitment and research process, and
- The research team is qualified and trained to conduct ethical research.

What are the other members of the research team responsible for?

[Acknowledge responses. Change to slide 10.9.]

SLIDE 10.9

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

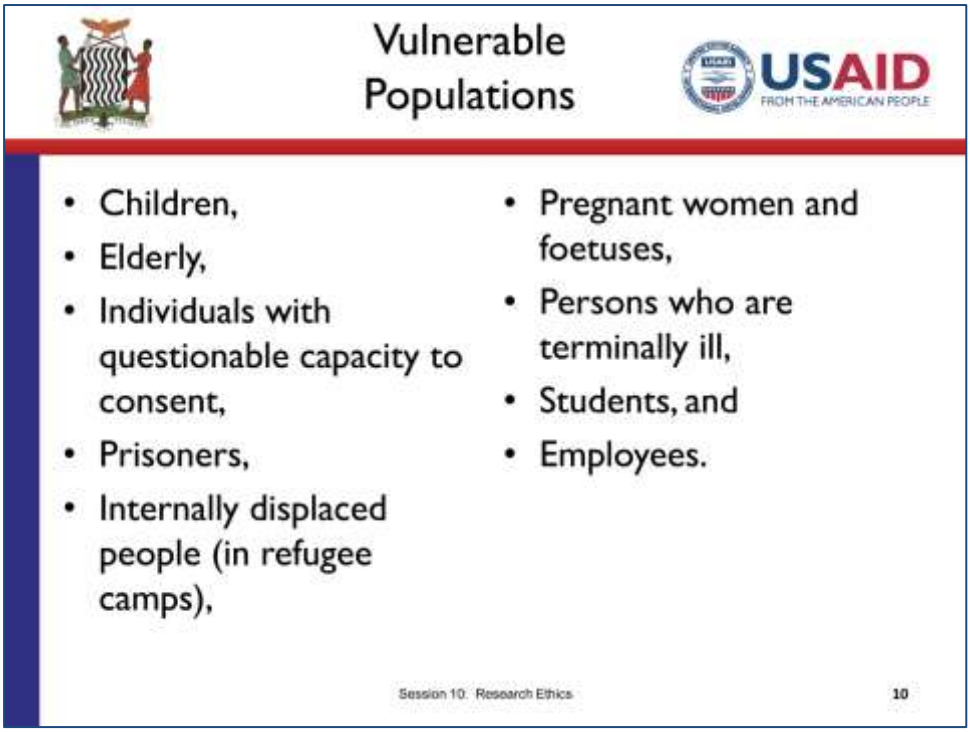
The research team is responsible for

- Participant recruitment, selection, and eligibility;
- The collection of participant information and data entry ensuring privacy and confidentiality; and
- The monitoring of participant rights and welfare throughout the study.

The principal investigator should ensure that the research team fully understands their responsibilities in supporting ethical research.

What are some populations that would be considered vulnerable in conducting research? **[Acknowledge responses.]**

[Change to slide 10.10.]



SLIDE 10.10

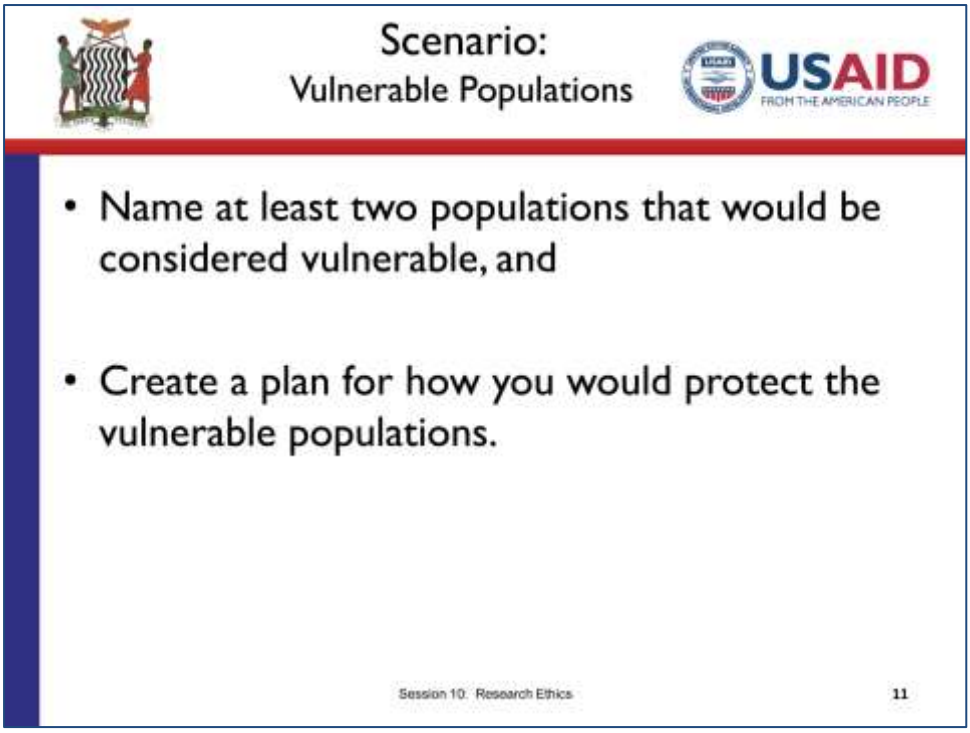
TIME: 2 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

There are some populations that are particularly vulnerable and may require additional protective measures when conducting research. These populations include children, individuals with questionable capacity to provide informed consent, prisoners, internally displaced people in refugee camps, pregnant women and foetuses, those who are terminally ill, students, and employees.

Keep in mind that all minors will need parental consent. This can complicate the recruitment process, especially if you're conducting research on a sensitive topic such as sexual health. At times, it can be difficult to find a parent who is willing to have his or her child participate in research. You also need to expect that it will take more time to recruit participants who are minors because of this factor.

[Change to slide 10.11.]



SLIDE 10.11

TIME: 15 minutes

Now, let's go back to our safe motherhood scenario. Pull out your scenario chart with your questions and audiences and use that to record your answers for this exercise. Each group has five minutes to review the scenario and the research questions and figure out which populations involved in the research would be considered vulnerable.

Once you've identified the vulnerable populations, write down a couple of sentences on your flipchart sheet about what you would do to protect these populations when conducting your research. For example, what type of information is important to include in your consent forms for each population? How will you protect their identities? What special considerations will there be for these populations in particular for protecting their safety and well being? Will you have any type of support onsite during and after your focus groups or interviews? Such as a counsellor?

[Allow five minutes for groups to identify vulnerable populations and plans to protect them. End the exercise earlier than five minutes if it appears that all of the groups have completed the exercise.]

Which group would like to tell us who their vulnerable populations will be and how they will protect their rights? **[Acknowledge responses. Ask each group to report its results.]**

Now, let's discuss the Institutional Review Board, also known as the Research Ethics Committee. Is anyone familiar with IRBs? Please share your latest experience with an IRB. **[Acknowledge responses.]**

What is the function of the IRB? What information does the IRB require? What authority does the IRB have? What does it mean to have IRB approval? **[Acknowledge responses.]**

[Change to slide 10.12.]

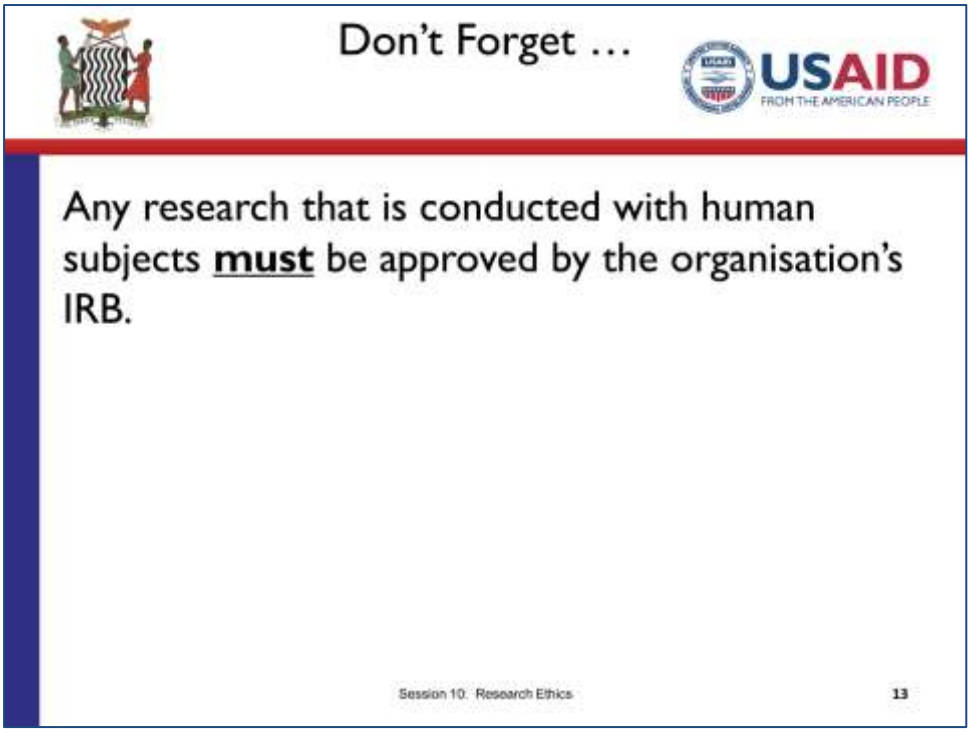
SLIDE 10.12

TIME: 1 minute

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous questions.]

The IRB, known as the Research Ethics Committee in Zambia, is a committee that has been formally designated to approve, monitor, and review biomedical and behavioural research involving humans with the aim to protect the rights and welfare of the research subjects. IRBs have the authority to approve, require changes to research plans before approval, or disapprove the research. The IRB performs critical oversight functions for research conducted on human subjects that are *scientific*, *ethical*, and *regulatory*.

[Change to slide 10.13.]



SLIDE 10.13

TIME: 3 minutes

Don't forget that any research that is conducted with human subjects must be approved by the organisation's IRB. This may mean that it is reviewed by the funder, by the implementing agency or consulting organisation, by a participating university, or by several of the above.

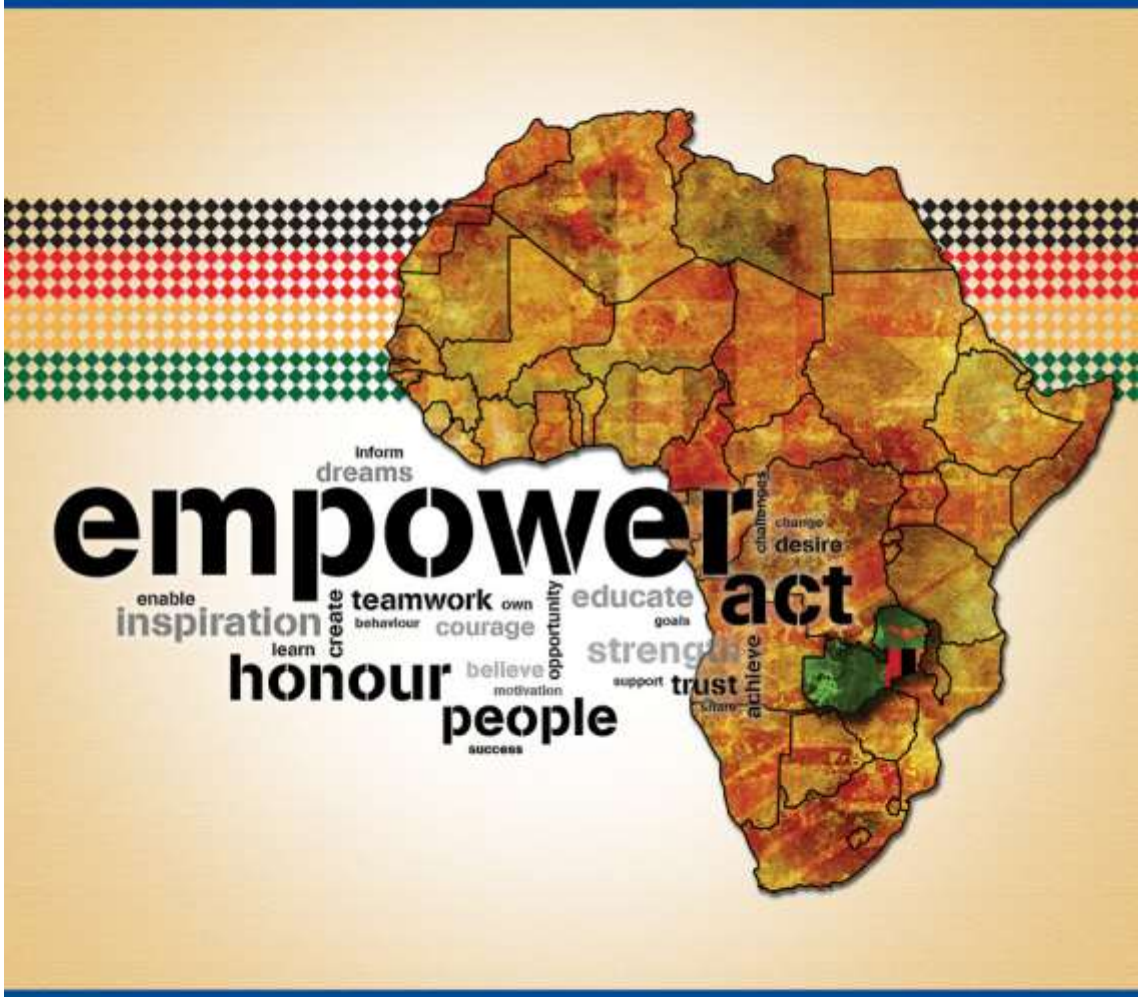
Remember that if research is conducted without IRB review, the organisation conducting the research can lose its funding. If that happens, your project could end immediately.

Does anyone have questions about the information covered in this session? **[Answer participant questions or ask other participants to answer the questions.]**

Before we continue the day with the next session, let's take 30 minutes for a tea break.

[End the session.]

SESSION 11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empower
change
desire
act
enable
inspiration
create
teamwork
own
behaviour
courage
opportunity
educate
goals
learn
honour
believe
motivation
support
trust
achieve
people
success

Session 11:
Management of Formative Research

TIME: 90 minutes

PURPOSE:

- To provide an overview of the management component of conducting formative research and the key issues to address in the planning process.

LEARNING OBJECTIVES:

- To name one step in the formative research process and discuss management issues that arise in that step,
- To list five tasks that should be included in formative research timelines, and
- To list four costs that should be included in formative research budgets.

METHODOLOGIES:

- Lecture
- Questions and answers
- Small-group exercise

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers
- Tape

KEY DISCUSSION POINTS

- Stress the importance of developing a budget and timeline that is realistic and accounts for issues addressed in the training.
- Highlight the importance of assessing the quality of the research, which should be conveyed to the funding organisations and partners and be taken into consideration when conducting the analysis.

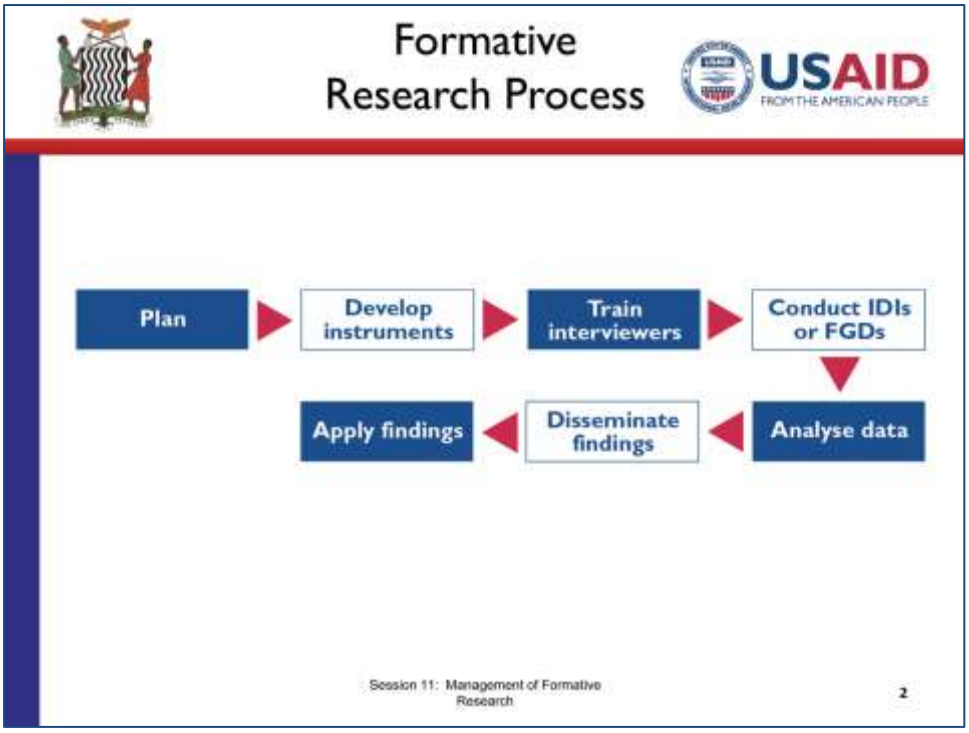
SLIDE 11.1

TIME: 1 minute

[Once the participants have taken their seats, start the session.]

In this session, we will discuss the management of qualitative research and overview of the formative research process.

[Change to slide 11.2.]



SLIDE 11.2

TIME: 15 minutes

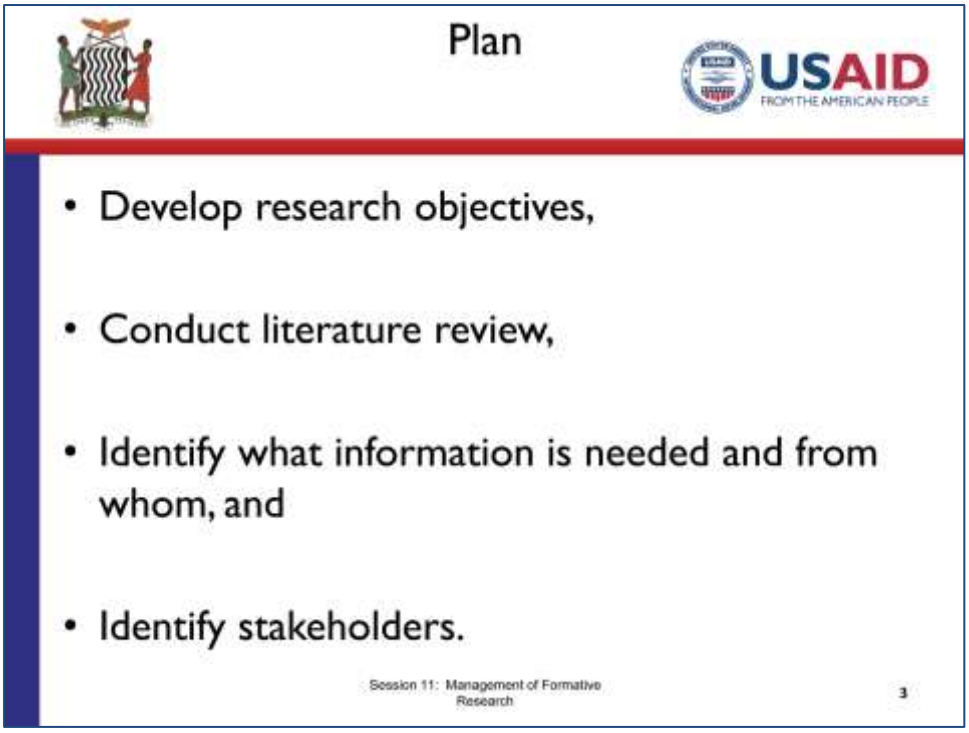
There are seven steps in the formative research process, most of which we have talked about in detail. The steps, in order, are to plan, develop instruments, train interviewers, conduct IDIs or FGDs, analyse data, disseminate findings, and apply findings.

We're going to spend most of our time in this session going over these individual steps. I'm going to assign each group with one step. Once I assign groups with their step, you will have five minutes to come up with a list of tasks that would be included in your step. I'm going to give each group a piece of flipchart paper to write your step on top and then list the tasks for the step. Each group will report out the list of tasks included in their step.

[Assign each group with a step in the process to identify tasks. Give each group a piece of flipchart paper. Allow five minutes for groups to create the lists of tasks. End the exercise after less than five minutes if it appears that all of the groups have completed the exercise.]

Can the group with the "plan" step go over its list of tasks? **[Acknowledge responses.]**

[Change to slide 11.3.]



SLIDE 11.3

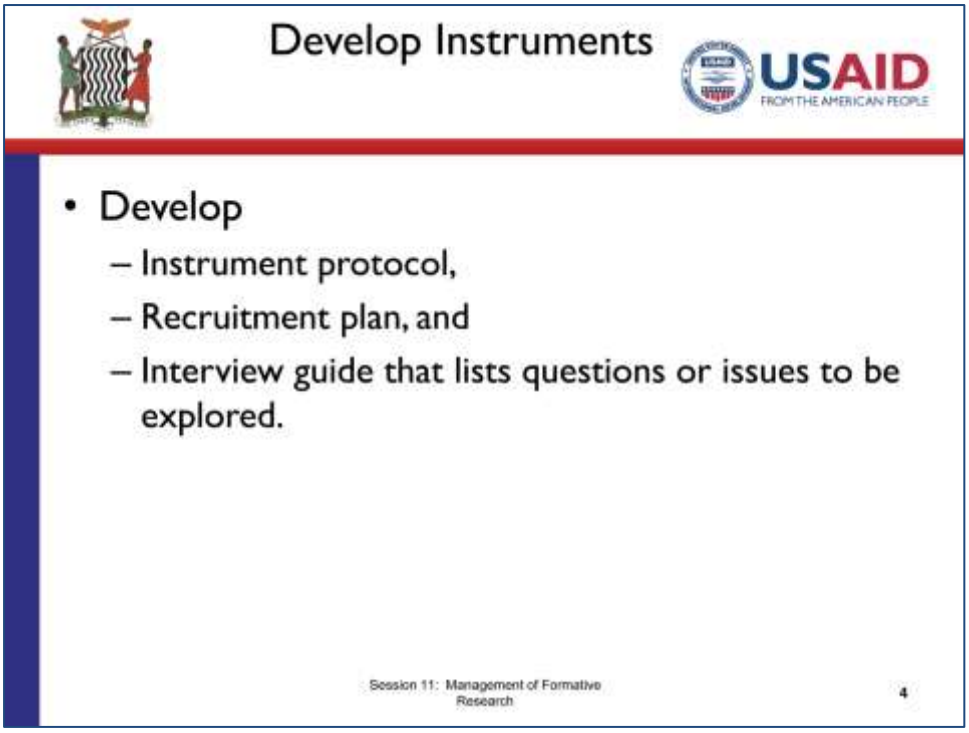
TIME: 4 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

Planning includes developing research objectives, conducting a literature review, identifying what information is needed and from whom, and identifying stakeholders. The planning stage also includes dealing with the possibility that there is a limited amount of information that is publically available about your research topic, which may make planning more challenging.

Can the group with the "develop instruments" step go over its list of tasks? **[Acknowledge responses.]**

[Change to slide 11.4.]



SLIDE 11.4

TIME: 4 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

You need to develop your instrument protocol, recruitment plan, and interview or moderator guide that lists questions or issues to be explored.

Can the group with the "train interviewers" step go over its list of tasks? **[Acknowledge responses.]**

[Change to slide 11.5.]

SLIDE 11.5

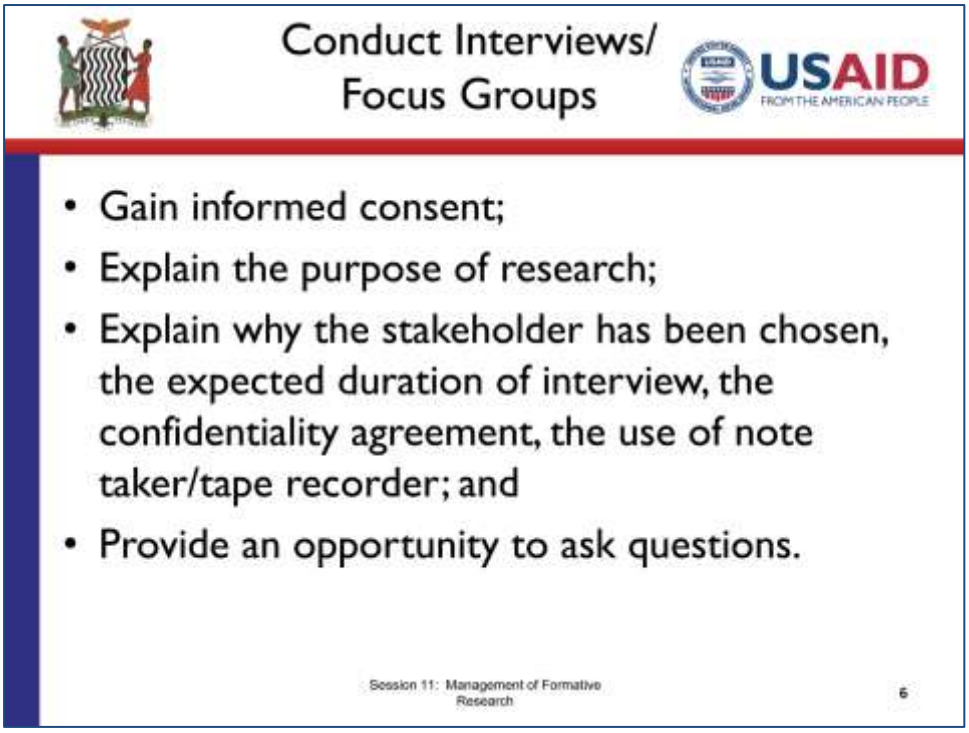
TIME: 4 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

Training or briefing interviewers or moderators entails first introducing your research objectives, reviewing the data collection techniques, reviewing the research instruments, practicing the use of the research instruments to ensure that the interviewers feel comfortable with the materials, and discussing any ethical issues that interviewers should keep in mind when conducting the research.

Can the group with the "conduct interviews and groups" step go over its list of tasks? **[Acknowledge responses.]**

[Change to slide 11.6.]



SLIDE 11.6

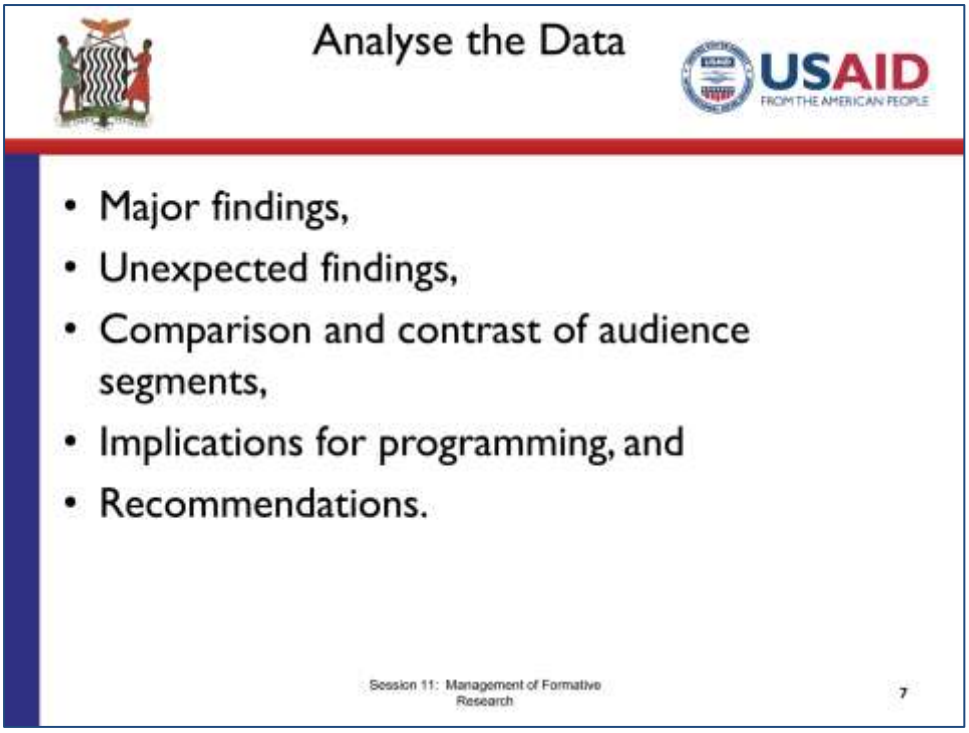
TIME: 4 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

When conducting interviews or focus groups, you should perform a number of tasks. These tasks—in order of when they should be taken—include obtaining informed consent; explaining the purpose of the research; and explaining the reason for stakeholder selection, the expected duration of the interview or group, the confidentiality agreement, and the use of the note taker and tape recorder. And, lastly, you'll need to provide the participant with an opportunity to ask questions about the research purpose, protocol, and any other issues he or she needs more information on.

Can the group with the "analyse the data" step go over its list of tasks? **[Acknowledge responses.]**

[Change to slide 11.7.]



SLIDE 11.7

TIME: 4 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

Analysing the data entails identifying major findings; unexpected findings; differences between audience segments; implications for programming; and recommendations for developing, revising, and/or implementing programmes or policies.

Can the group with the "disseminate findings" step go over its list of tasks?
[Acknowledge responses.]

[Change to slide 11.8.]

SLIDE 11.8

TIME: 4 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

It's good practice to disseminate findings to the research staff, clients, partners, and participants. The information you provide and the format in which you present it may differ by audience and its interests and need for the information.

Can the group with the "apply findings" step go over its list of tasks? **[Acknowledge responses.]**

[Change to slide 11.9.]

SLIDE 11.9

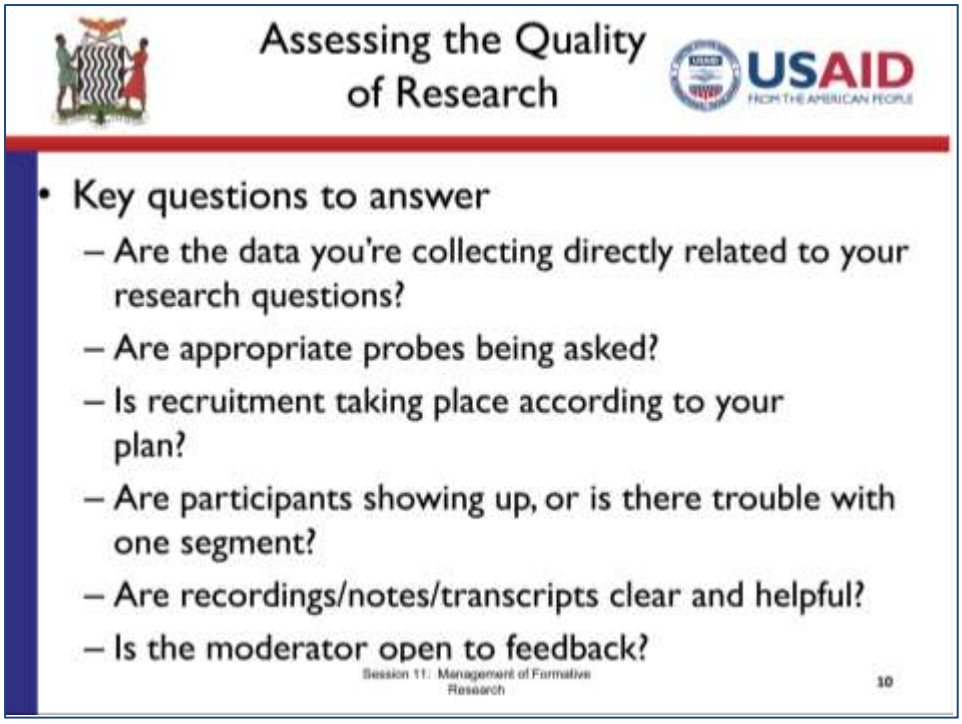
TIME: 2 minutes

[If necessary, discuss points on the slide that were not presented by the group.]

Finally, when applying your findings, you need to meet with your funding organisation, partners, and other important stakeholders to discuss the next steps based on the research findings. The next steps may be creating campaigns or materials using the results of the research or conducting more research to gain further insight. In the latter case, you would then start the research process at the "plan" step.

Depending on your research topic or whether you're in the very beginning stages of conducting formative research or testing drafts of campaign materials, you may create or revise campaign messages, materials, or communication strategies.

[Change to slide 11.10.]



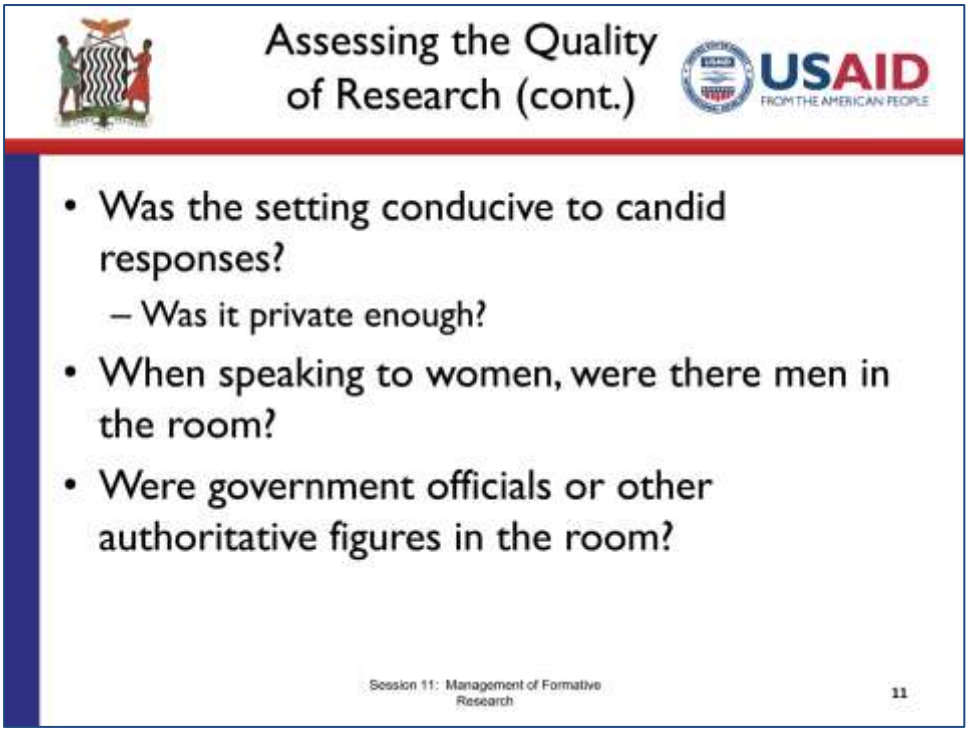
SLIDE 11.10

TIME: 1 minute

When discussing how to apply the research findings, it's essential to assess the quality of the research. You need to ask yourself and the research team questions such as:

- Are the data you're collecting directly related to your research questions?
- Are appropriate probes being asked?
- Is recruitment taking place according to your segmentation plan?
- Are participants showing up, or is there trouble with one segment?
- Are recordings/notes/transcripts clear and helpful?
- Is the moderator open to feedback?

[Change to slide 11.11.]



SLIDE 11.11

TIME: 5 minutes

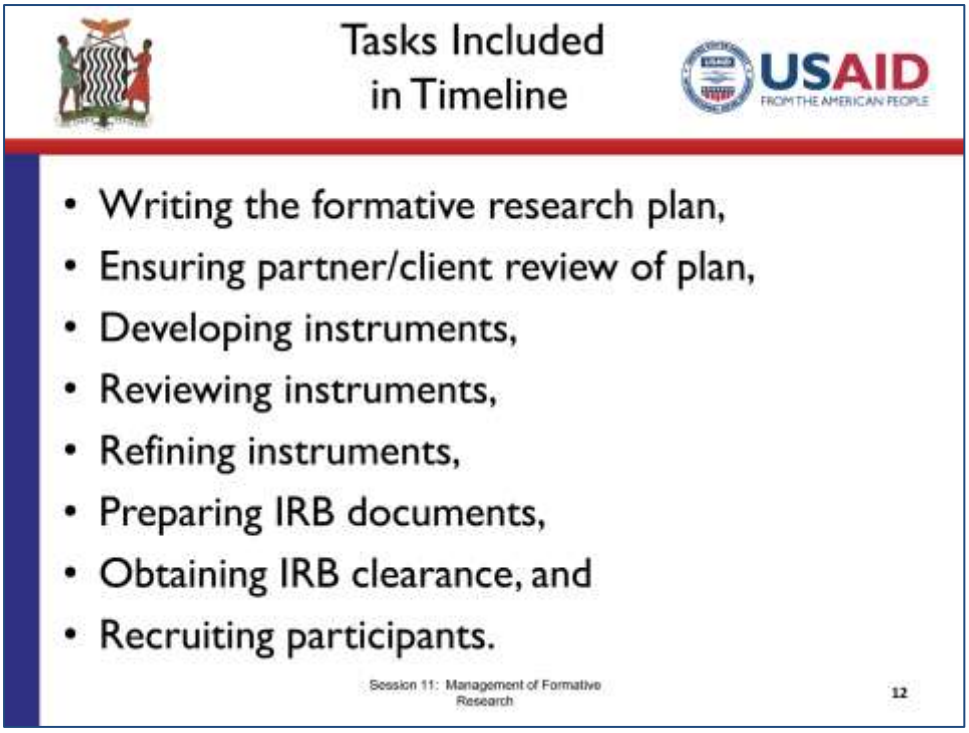
- Was the setting conducive to candid responses? Was it private enough?
- When speaking to women, were there men in the room?
- Were government officials or other authoritative figures in the room?

If the research environment was not conducive to candid and honest responses or truly representative of your target audiences, with proper recording of the research, you may need to consider that the data are skewed or insufficient and that the research may need to be conducted again.

Has anyone developed timelines for research studies? **[Acknowledge responses.]**

What tasks should be taken into account in a formative research timeline? **[Acknowledge and write responses on a flipchart.]**

[Change to slide 11.12.]



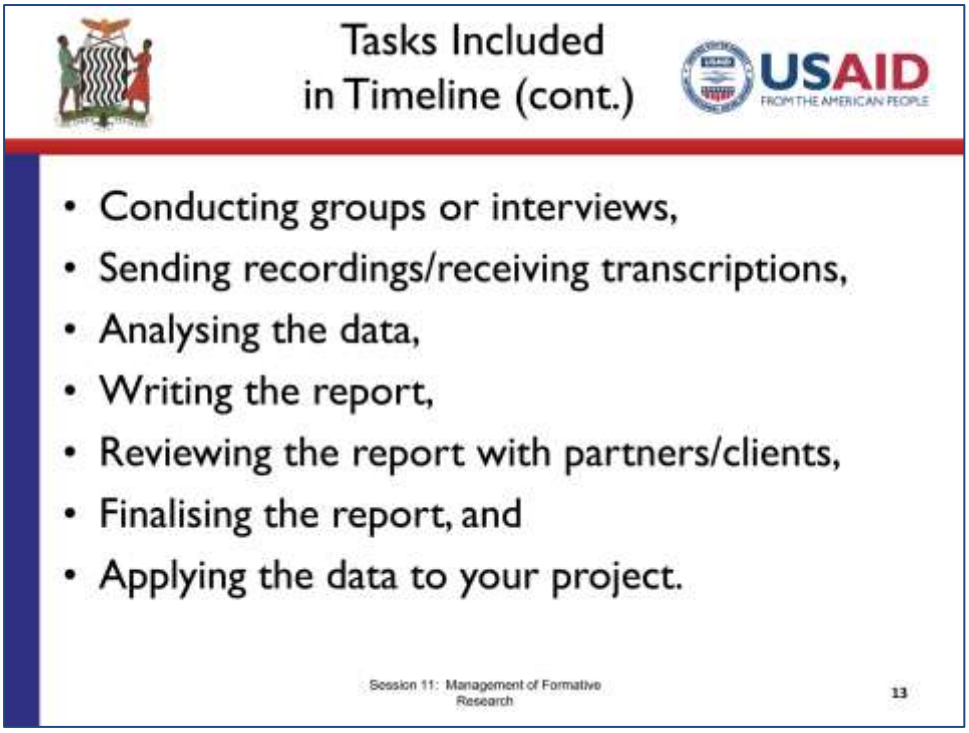
SLIDE 11.12

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

You can see a sample timeline on page 172 of your booklet. What are some challenges you run into when preparing a timeline? **[Acknowledge responses.]**

[Change to slide 11.13.]



SLIDE 11.13

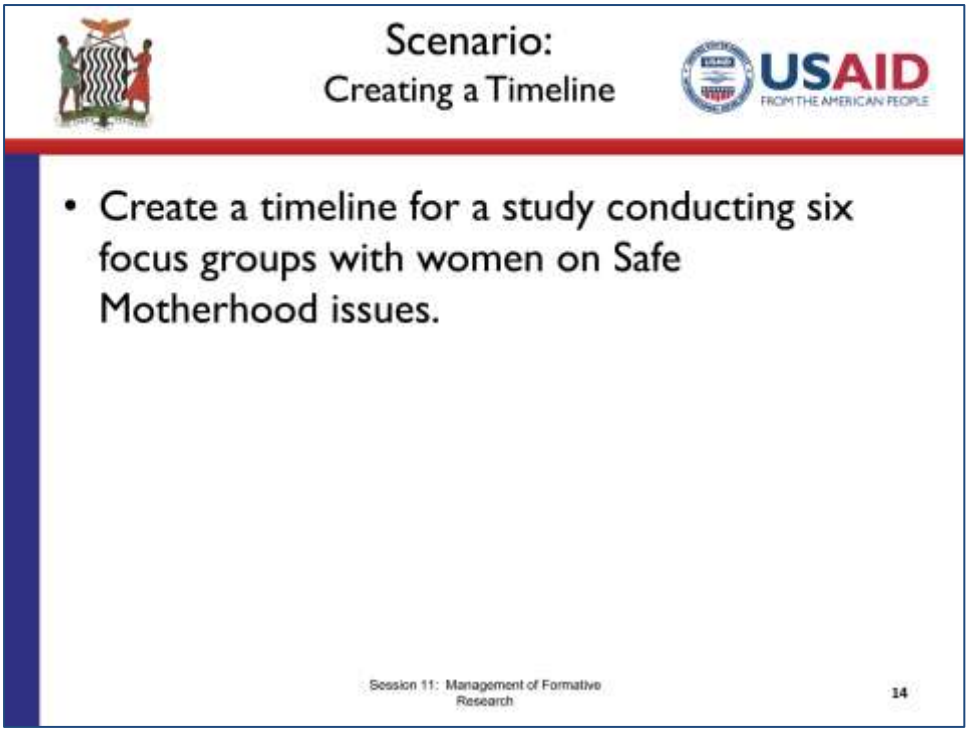
TIME: 5 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous question.]

When developing your timeline, it's incredibly important to be realistic in how much time will be required to do each task. Do not underestimate how much time the tasks will take. If you do underestimate the amount of time required, you will set unrealistic expectations for your funding organisations, which may affect your ability to carry out the research. For example, if you don't give enough time to recruit participants, you will not be able to conduct interviews or focus groups when scheduled. Consult with your research team about their past experiences with conducting specific tasks and work together to identify a realistic time of completion.

Has anyone developed budgets for research studies? **[Acknowledge responses.]** What costs should be taken into account in a formative research budget? **[Acknowledge responses.]**

[Change to slide 11.14.]



SLIDE 11.14

TIME: 30 minutes

Working with your research groups, develop a timeline that includes each of the tasks we've just discussed. For the purposes of this exercise, let's pretend you're conducting six focus groups with women to discuss topics related to Safe Motherhood. To help with your timelines, you'll see a blank gantt chart on page 173 of your booklet. A gantt chart is a useful way to create your timeline. The example timeline in your booklet is actually a gantt chart. Just as in any timeline, it shows the different project tasks and their due dates, but it also shows the start and end dates of each task. For this exercise, please list the tasks on the left side of the chart. These are the types of tasks we've just discussed that you would need to do to carry out your research study of six focus groups. To show the start and end dates of each task, shade in the areas in the chart to the right of each of the listed tasks.

Remember, your timelines should be realistic. You'll have 20 minutes to agree on a timeline with your group and to fill in a gantt chart.

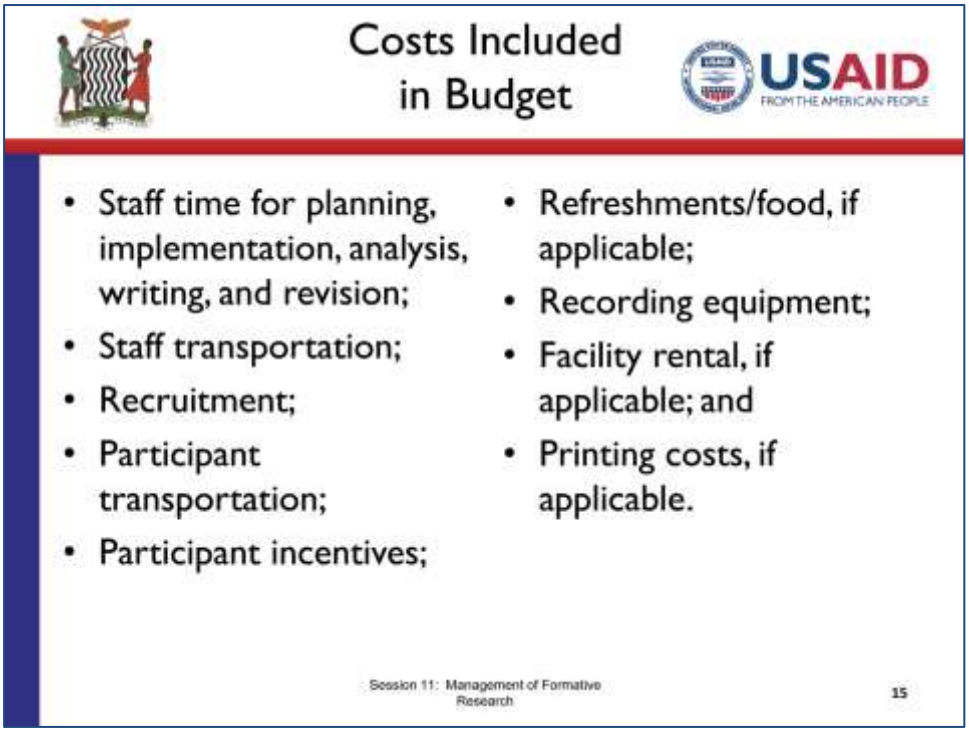
[Allow 20 minutes for the groups to develop their timelines. Walk around the room to make sure the groups understand how to use the gantt chart.]

Now, let's review each of the group timelines. Which group would like to present their timeline first?

[Ask each group to report how much time it thinks each task should take. Use the following tasks and corresponding time estimates as a guide to provide feedback. Be sure to point out if they are missing any tasks or if the start and end starts are not realistic.]

- **Writing the formative research plan (2 weeks),**
- **Ensuring partner/client review of plan (2 weeks),**
- **Developing instruments (1 week),**
- **Reviewing instruments (1 week),**
- **Refining instruments (1 week),**
- **Preparing IRB documents (1 week),**
- **Obtaining IRB clearance (4 weeks),**
- **Recruiting participants (2 weeks),**
- **Conducting groups or interviews (2 weeks),**
- **Sending recordings/receiving transcriptions (2 weeks),**
- **Analysing the data (2 weeks),**
- **Writing the report (2 weeks),**
- **Reviewing the report with partners/clients (1 week),**
- **Finalising the report (1 week), and**
- **Applying data to your project (depends on product).]**

[Change to slide 11.15.]



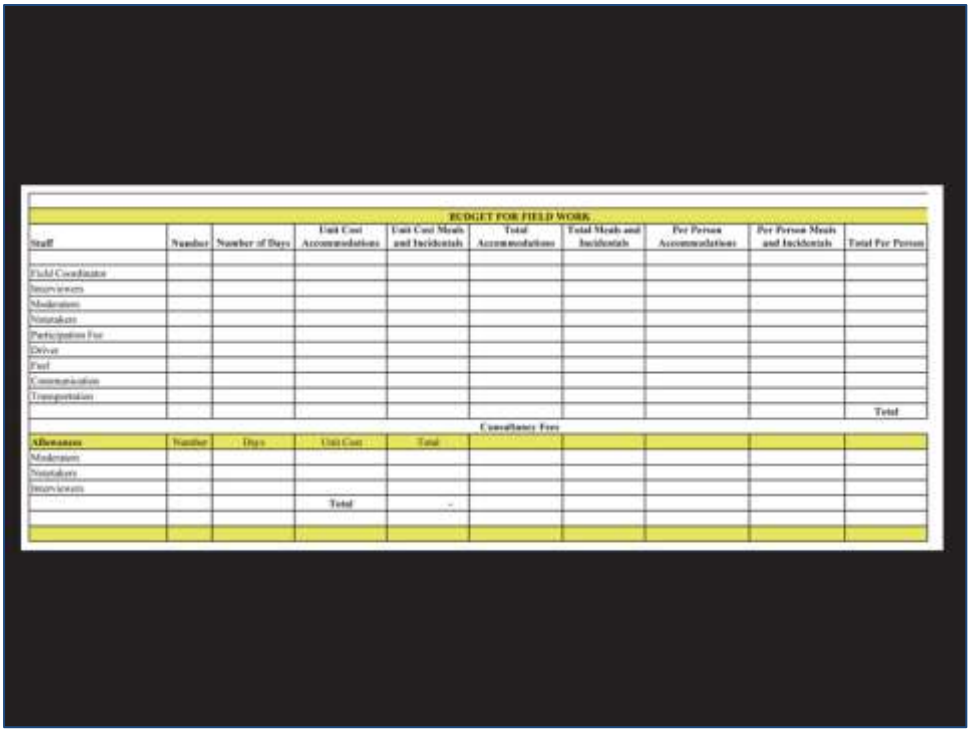
SLIDE 11.15

TIME: 3 minutes

[If necessary, discuss points on the slide that were not mentioned by the group in response to the previous questions.]

Identifying your costs and creating a budget for your research is vital for managing your funding and for justifying your expenditures to your funding organisations. Just like your timeline, your budget needs to be realistic. The costs of items such as the facility rental or recording equipment are easier to pinpoint than staff time spent on the project. Do not underestimate the amount of time needed for staff to oversee and conduct the research. Break out the costs for staff by task to help determine the total cost of staff time. Use budgets of other research projects to help inform your budget. Please take a look at the sample budget on page 174 of your booklet.

[Change to slide 11.16.]



BUDGET FOR FIELD WORK

Staff	Number	Number of Days	Unit Cost Accommodations	Unit Cost Meals and Incidentals	Total Accommodations	Total Meals and Incidentals	Per Person Accommodations	Per Person Meals and Incidentals	Total Per Person
Field Coordinator									
Interviewers									
Moderators									
Notetakers									
Participation Fee									
Driver									
Fuel									
Communication									
Transportation									
									Total

Consultancy Fees

Allowances	Number	Days	Unit Cost	Total					
Moderators									
Notetakers									
Interviewers									
			Total	-					

SLIDE 11.16

TIME: 1 minute

There's also a budget template on your CD-ROM that can help when you're creating and managing your budget.

Before ending this session, I wanted to stress that management is about planning—knowing your process, being realistic, negotiating your terms, and anticipating and reacting to potential issues. Do you have any questions about the information we covered in this session? **[Answer participant questions or ask other participants to answer the questions.]**

Our list item on today's agenda is the daily evaluation, let's go ahead and start that.

Administrative Task 7: Day Three Evaluation

TIME: 10 minutes

PROCESS:

1. Remind participants that the purpose of the daily evaluation is to gather feedback on Day Three of the training.
2. Distribute the daily evaluation forms.
3. Tell participants that they will have 10 minutes to complete the form.
4. Remind participants not to write their names on the forms.
5. Ask participants to turn their forms face down when completed.
6. Collect all completed forms and store them to review later.

MATERIALS:

- Daily evaluation forms
- Pens or pencils

Administrative Task 8: Day Four Reporting

TIME: 15 minutes

PROCESS:

1. Remind participants that the purpose of the daily reporting is to summarise what the group discussed the day before;
2. Ask the participant who volunteered yesterday to come up to the front of the room and provide the daily report; and
3. Ask the other participants if there is anything they would add to the report.

Administrative Task 9: Training Post-Test

TIME: 30 minutes

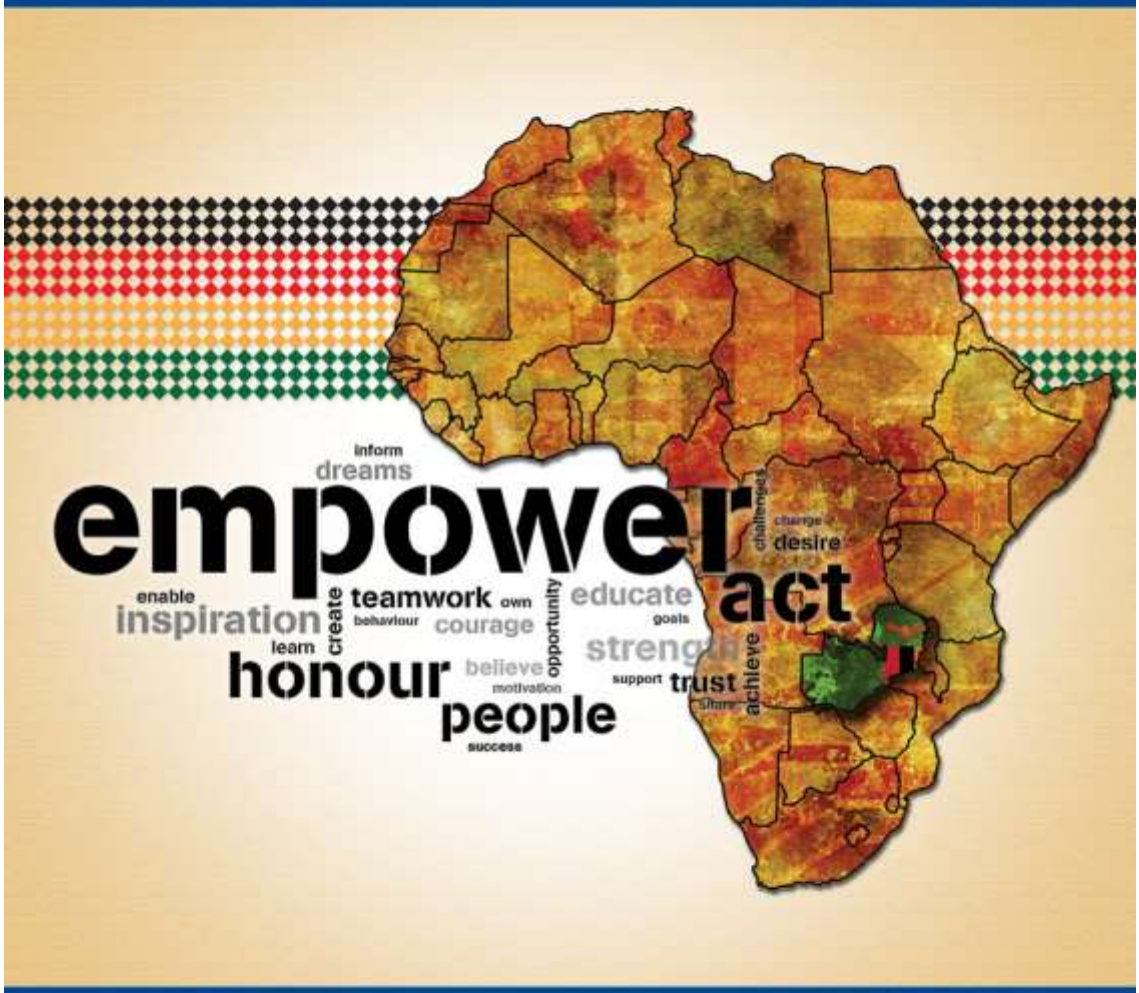
PROCESS:

1. Explain that the purpose of the post-test is to measure participant knowledge of formative research after the training, and their responses will be compared to their responses to the pre-test. Explain that the evaluation team will compare the responses to assess the change in participants' knowledge as a result of the training.
2. Distribute the post-test forms.
3. Ask participants to label the tests with the number they received in registration.
4. Tell participants they will have 10 minutes to complete the form.
5. Remind participants not to write their names on the form.
6. Ask participants to turn their forms face down when completed.
7. Collect all completed forms and store to review later.

MATERIALS:

- Post-test forms
- Pens or pencils

SESSION 12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own
behaviour
courage
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educate
goals
learn
honour
believe
motivation
strength
support
trust
achieve
people
success

Session 12:
Workshop Closing

TIME: 45 minutes

PURPOSE:

- To thank participants for their participation, reflect on the training, and award them with certificates of completion.

MATERIALS:

- PowerPoint presentation slides
- Flipchart
- Markers
- Certificates

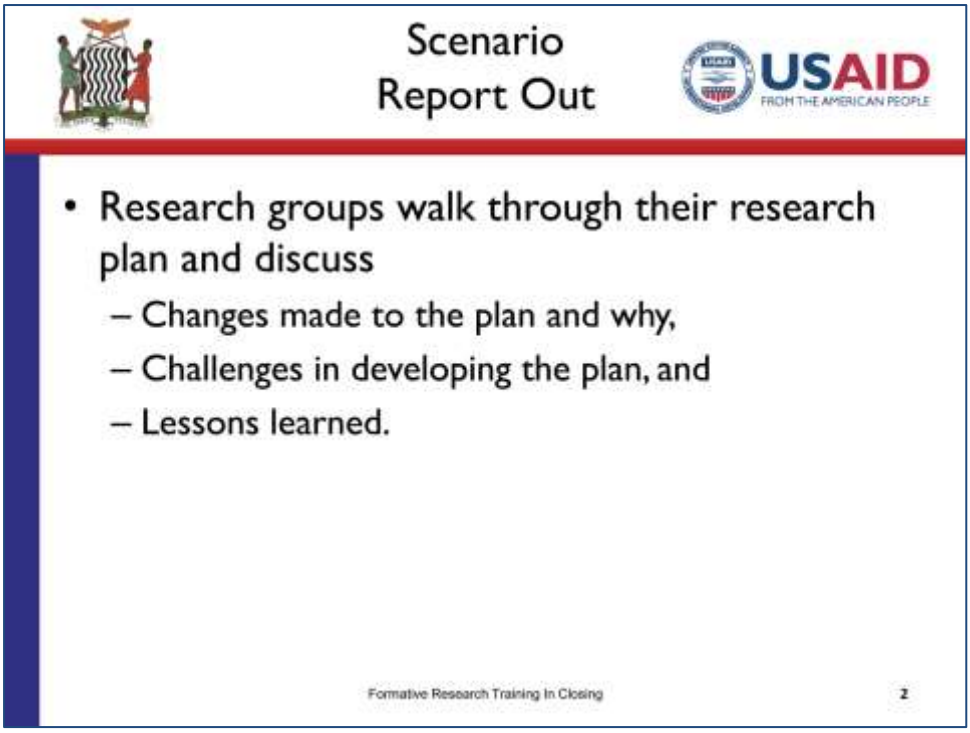
SLIDE 12.1

TIME: 1 minute

[Once the participants have taken their seats, start the session.]

Before we end the training and go our separate ways, we have a few more items to go over.

[Change to slide 12.2.]



SLIDE 12.2

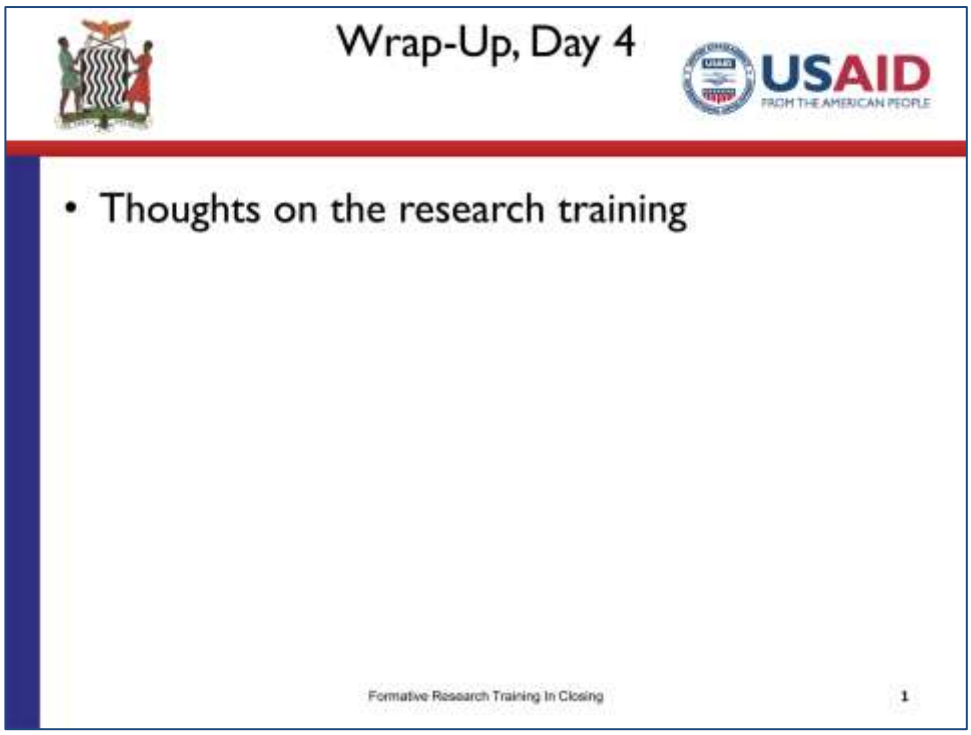
TIME: 30 minutes

I would like each research group to come up to the front of the room one at a time. Pick one member of your group to walk through your research plan, going over each of the concepts we practiced during the scenarios. Talk about the changes you made to your plan in the process and why you made those changes.

Then, I'd like to hear from each of the members about the challenges you faced as a group and on an individual level in developing your plan. Tell us whether you think these are challenges that could happen when you're preparing for research in the real world and how you think you would handle them. Also, tell us any lessons you learned—whether it was about the concepts addressed in the exercises, through working with your group, or about something else.

Which group would like to start? **[Give each group about 10 minutes to walk through its plans and discuss its thoughts about the scenario.]**

[Change to slide 12.3.]



SLIDE 12.3

TIME: 10 minutes

Now that we've finished our presentations and exercises for this training, we would like to get feedback from you one last time.

What information did you find most useful? **[Acknowledge responses.]**

How do you plan to use this information? **[Acknowledge responses.]**

What do you wish you got out of the training, but didn't? **[Acknowledge responses.]**

[Change to slide 12.4.]

SLIDE 12.4

TIME: 4 minutes

Thank you all for your time, and for sharing your experiences with formative research. We hope you've found this training helpful. We would like to award you with a certificate of training completion for all of your hard work. I'll call each of you up to the front of the room one at a time to pick up your certificates. **[Ask each participant to walk up to the front of the room to pick up his/her certificate.]**

Thank you again for your participation. Please be sure to use the training materials as a reference for planning your next research project.

If you have any further questions or thoughts on formative research processes, I encourage you to contact me and my colleagues. **[Write the contact information for the person who will be responding to questions about the training on the flipchart.]**

[End the session.]

NOTES

This publication was produced for review by the United States Agency for International Development (USAID). It was prepared by ICF International as part of the USAID, funded by Communications Support for Health, and implemented by Chemonics International.