
Process Assessment: Improving H.A.B.I.T. Intervention

Annexure

Vinaya Padmanabhan, Ruhi Saith and Shruti Viswanathan

Table of contents

Annex A	Research questions mapped against ToC assumptions	3
A.1	Research questions of Objective 1 mapped to key assumptions in the ToC ...	3
A.2	Research questions of Objective 2 mapped to key assumptions in the ToC ...	4
Annex B	Definitions in use in the report	6
Annex C	Linking research questions to methods	7
Annex D	Household observation tool	10
Annex E	Household tool	15
E.1	General guidelines	15
E.2	Community meeting	15
E.2.1	Probes	15
E.3	Household meeting	16
E.3.1	Probes	16
E.4	On the household toilet	16
Annex F	Facilitator tool	17
F.1	General information	17
F.2	Community intervention	17
F.2.1	Probes	17
F.3	Household meeting	18
F.3.1	Probes	19
F.4	Other questions	19
Annex G	Sample size and characteristics	21
G.1	Sample size	21
G.2	Sample characteristics	21

Annex A Research questions mapped against ToC assumptions

The assumptions in the ToC are given below:

Key assumptions

- KA 1: Facilitators are trained properly and deliver the programme with fidelity
- KA 2: Attendance at community meetings
- KA 3: Presence of HOUSEHOLD members during HOUSEHOLD visits
- KA 4: Increase in the intention to use (given correction of mental models) is not hampered by other barriers to intention
- KA 5: HOUSEHOLD are committed enough to put money regularly in the lockbox and the amount is sufficient to serve the purpose of allaying anxiety
- KA 6: HOUSEHOLD put into practice the discussion on addressing some of the barriers to use, allowing for the developing of the habit amongst those who have the intention
- KA 7: Increase in the translation from increased intention to habitual use is not hampered by other barriers to use

Objective 2 of the process evaluation relates to testing the assumptions in the ToC.

The research questions under Objective 1 cover assumptions 1, 2, 3 in the ToC as shown in A.1 below. We test the remaining assumptions (assumptions 4, 5, 6 and 7) in the theory of change by asking the following research questions:

1. To what extent do households adopt practises prescribed by the interventions (such as lock box)?
2. To what extent are there other barriers (apart from pit filling and pit emptying) to intention and use?

These questions are mapped against the key assumptions in A.2 below.

A.1 Research questions of Objective 1 mapped to key assumptions in the ToC

Key assumptions	Research questions
KA 1: Facilitators are trained properly and deliver the	To what extent are facilitators competent/ have the appropriate skills to deliver the program? (communication skills, technical capabilities, skills in engaging and responding to participants)

**programme
with fidelity**

**KA 2:
Attendance at
community
meetings**

To what extent is the intervention relevant for participants? Do they attend the household and community interventions?

**KA 3:
Presence of
household
members
during
household
visits**

To what extent is the intervention relevant for participants? Do they attend the household and community interventions?

A.2 Research questions of Objective 2 mapped to key assumptions in the ToC

**Key
assumptions**

Research questions

**KA 4: Increase
in the intention
to use (given
correction of
mental
models) is not
hampered by
other barriers
to intention**

To what extent are there other barriers (apart from pit filing and pit emptying) to intention and use?

**KA 5:
Households
are committed
enough to put
money
regularly in the
lockbox and
the amount is
sufficient to
serve the
purpose of
allaying
anxiety**

To what extent households adopt practises prescribed by the interventions (such as lock box)?

To what extent do these practises contribute to habit formation?

**KA 6:
Households
put into
practice the
discussion on
addressing
some of the
barriers to use,
allowing for
the developing
of the habit
amongst those
who have the
intention**

To what extent households adopt practises prescribed by the interventions (such as lock box)?

**KA 7: Increase
in the
translation
from increased
intention to
habitual use is
not hampered
by other
barriers to use**

To what extent are there other barriers (apart from pit filing and pit emptying) to intention and use?

Annex B Definitions in use in the report

In this report, we have used the following definitions for the sub-components of the analytical framework.

Adherence or Fidelity: Adherence or fidelity refers to the extent to which implementers conform to the implementation protocol. Studying adherence would involve checking whether the implementation adheres to a manual or a pre-existing protocol.

Competence: Competence is defined as the skilfulness in the delivery of the intervention. The difference between quality of delivery and competence is that the former (quality of delivery) is limited to the skills of the facilitator, while the latter (competence) refers to the whole intervention. Studying competence would involve looking at communication skills, technical capabilities, and skills in responding to participant questions.

Coverage or reach: Coverage or reach refers to whether or not the intended audience comes into contact with the intervention

Dose: Dose refers to the quantity of the intervention.

Participant responsiveness: Participant responsiveness measures how far participants respond to, or are engaged by, an intervention. Studying participant responsiveness would involve speaking to participants about the relevance or outcomes of an intervention.

Quality of delivery: The quality of delivery is the way the facilitator delivers the programme.

These definitions are from the following sources: Carroll et al (2007) and BMJ (2015).

Annex C Linking research questions to methods

Research question	What constitutes knowledge	Data sources and methods	Justification
<p>To what extent was the content of the intervention delivered as designed?</p> <p>To what extent was the coverage of the intervention (frequency and composition of community and household meetings) delivered as designed?</p>	<p>Perspective of researcher and facilitator</p>	<p>Interviews with facilitators</p> <p>Interviews with HH</p> <p>Interviews with senior WVI officials</p>	<p>Interviews will provide information on whether the intervention went according to plan, and what deviations were made in terms of content, coverage and timeline</p>
<p>To what extent are facilitators competent/ have the appropriate skills to deliver the program? (communication skills, technical capabilities, skills in engaging and responding to participants)</p>		<p>Perspective of researcher and facilitator</p>	<p>Observation of the intervention</p> <p>Interviews with facilitators</p> <p>Also, perhaps</p> <p>Interviews with senior WVI officials</p>
<p>What adaptations were made to the intervention on the field? Why were they necessary?</p>	<p>Perspective of the facilitator</p>	<p>Perspective of the facilitator</p>	<p>Based on challenges, facilitators will reveal how they adapted the intervention, and why. Some of these adaptations may be</p>

<p>To what extent do facilitators understand the purpose of the intervention and its benefits?</p>	<p>Perspective of the facilitator</p>	<p>Interviews with facilitators</p>	<p>a response to the social context.</p> <p>In order to communicate effectively, facilitators have to understand the purpose of the intervention. Interviews with them will reveal to what extent they understand the purpose.</p>
<p>In what ways do the participants engage with the intervention?</p>	<p>Perspective of the researcher</p>	<p>Observation</p>	<p>Observation of the HH and community intervention will reveal whether participants are engaged, specifically whether they interrupt with questions or comments and are attentive.</p>
<p>To what extent do households adopt practises prescribed by the intervention (lockbox)?</p>	<p>Perspective of the researcher</p>	<p>Observation</p>	<p>Observation of the household and toilet will reveal whether they have the lockbox, agarbathi, calendar and chalkboard from the first household visit, and whether they are using these.</p>
<p>What are the facilitators feedback on the intervention? How would they have designed it differently?</p>	<p>Perspective of the facilitator</p>	<p>Interviews with facilitators</p> <p>Also, perhaps</p> <p>Interviews with senior WVI officials</p>	<p>Interviews with facilitators will reveal how the intervention could have been better suited either to their needs or the social context</p>
<p>How has the context influenced the intervention?</p>	<p>Perspective of the facilitator</p>	<p>Interview with facilitator</p>	<p>Interviews with facilitators will reveal whether specific schemes/social relations have influenced the</p>

intervention and in
what ways.



Annex D Household observation tool

Household observation checklist

Date of Observation

Name of Observer

Name of District

Name of Block

Observation of facilitator

Engaging with all members

Yes/No Notes:

Follows talking points

Yes/No Notes:

Follows order of intervention

Yes/No

Notes:

Facilitator allows all family members to speak

Yes/No

Notes:

Facilitator can anticipate key concerns/questions

Yes/No

Notes:

Facilitator answers questions competently

Yes/No

Notes:

Observation of household members

All HH members present?

If not, how many adult males and adult females (out of total number of each) are present?

Yes/No

All members engaged/look interested

Yes/No

HH members ask questions

Yes/No

HH members discuss problems with facilitator

Yes/No

Observation of the household

**Presence of
lockbox**

Yes/No

Money in lockbox

Yes/No

**Presence of chalk
board and tick
marks indicating
use**

Yes/No

Presence of poster

Yes/No

**Presence of
agarbathi and
mosquito coils**

Yes/No

Annex E Household tool

E.1 General guidelines

One person could be selected as the person questions are directed to; but answers especially related to activities etc will largely have to be based on consensus. Do note any opposing point of view

Try to use monitoring sheets beforehand to track if the household has attended the last community meeting, and who in the household has attended the last meeting. Also check if the household has had at least one household visit

E.2 Community meeting

How many members are there in the household? Were all of them present for the household meeting just now? Were all of them present for the earlier household visit? (Probe Why? Why were some not present?)

Did all of you attend the community meeting as well? (Probes: were there people in the family who did not attend, why?). Did all of you sit through the whole community meeting? How long was it?

When was the last community meeting? Do you remember what happened at the meeting?

E.2.1 Probes

What were the activities conducted? How did you find these activities Why or why not?

French drain demo: Do you remember this activity? Do you think you learnt anything from this activity?

Card game: Do you remember this activity? Do you think you learnt anything from this activity?

Agarbathi and mosquito coil: Do you remember this demo? Do you use agarbathi and mosquito coil in your toilet? Why or why not?

Demonstration of decomposed matter: Do you think you learnt anything from this activity? How did it feel to handle decomposed matter? Was this activity necessary?

Did a lot of people attend? Which community were they from? Did both men and women attend? What age groups came? Was there a lot of discussion during the meeting?

Did people ask questions? What were the questions? Did the facilitator answer them?

Did you find it difficult to sit through the whole meeting? Why or why not?

In your opinion, what was the main purpose of the community meeting?

<Bridge discussion on community meeting with that on the household meeting – Now we will discuss the household meetings related to this issue>

E.3 Household meeting

Do you remember the last household visit you attended? What was the meeting about? What activities were conducted then? Was it like the meeting that just got over? Are there any activities that are different?

The facilitator just conducted some activities –how did you find these? Why or why not?

E.3.1 Probes

What were the activities conducted? How did you find these activities? Why or why not?

Card game: How did you find this?? Did you learn anything new from this?

Pit emptying and pledge poster: How did you find this? Did you learn anything new from this?

Calendar and lock box: Do you have the calendar put up? Do you mark it every day? Who marks it? Why or why not? Do you have a lock box? Do you put money in it? How much? Why or why not? What are you going to use the money for? How long are you planning to continue this for? *<Ask for the lock box and shake it to assess whether there is money inside>*

You did not ask any questions. Did you have any questions that you wanted to ask? You asked several questions. Do you feel the facilitator answered the questions?

Did you find it difficult to sit through the whole meeting? Why or why not?

Are there benefits to having several meetings one after the other? What are the advantages/disadvantages?

Do you have any feedback for the facilitators? How can they conduct the meeting differently? Do you think these meetings have any use?

In your opinion, what was the main purpose of the household meeting?

<Now let us talk about your household toilet >

E.4 On the household toilet

Do many households in this village have a toilet? I saw your toilet when we entered./ do you have a toilet? When did you construct it? What prompted you to construct it? Did you use government funds or your own funds to construct it?

Is it working? Why or why not? Do all members of the family use it? Who uses it the most and who uses it the least? Do you have to repair/renovate it often?

What are the reasons some of you do not use it? What would need to change for you to use it?

Annex F Facilitator tool

F.1 General information

How long have you been working as a community facilitator? How long have you been working with WVI? आप एक सामाजिक कार्यकर्ता के रूप में कब से काम कर रहे हैं? आप wvi के साथ कब से जुड़ हुआ है?

Since when have you been associated with the 3ie intervention? When did this intervention start? आप कब से जुड़े हुए हैं 3ie intervention/programme के साथ? ये कब शुरू हुआ था?

Can you give me a background of what 3ie intervention is about? What is your role?

Have you worked on sanitation issues before? Is this an interest area for you? Why or why not? क्या आपने पहले स्वच्छता के मुद्दों पर काम किया है? क्या ये मुद्दे आपके लिए दिलचस्प हैं?

Did you receive any training from WVI before the intervention? (probe: training modules, were they useful? What topics are you trained on? Were you satisfied? Is there something else you would have liked to know before you started?) क्या आप पहले किसी training programme के लिए गए थे?

What information were you given before you started? (probes: Do you have to do any preparation before conducting field visits? Is there something else you have liked to know before you started?)

Did you receive any document on how to conduct the intervention? (Probes: what documents, are they easy to understand?)

F.2 Community intervention

Can you describe how you facilitate the community intervention?

F.2.1 Probes

How do you identify members for the intervention? How do you motivate them? Do you have difficulties motivating them?

From what social groups do people come? Are there some social groups that are more willing to attend than others? Do both males and females attend? What age groups attend?

Where in the village does the intervention usually happen?

Are there challenges in making participants sit through the whole meeting?

What challenges do you face in organizing the intervention?

Can you describe the activities you conduct during the intervention?

F.2.1.1 French drain demo

How do you feel about this activity? Is it necessary?

Where do you find the sand or rocks for this?

Did you have any problems conducting this activity? If so how did you alter implementing it?

F.2.1.2 Card game

How do you feel about this activity? Is it necessary?

Did you have any problems conducting this activity? If so how did you alter implementing it?

F.2.1.3 Agarbathi and mosquito coil demo:

Do you think participants understand the aim of the activity?

Was there any resistance to using these items?

Did you have any problems conducting this activity? If so how did you alter implementing it?

F.2.1.4 Demonstration of decomposed matter:

How do you feel about this activity? Is it necessary?

Are there challenges to making participants handle decomposed matter? Do you think participants understand the aim of the activity? Did you have any problems conducting this activity? If so how did you alter implementing it?

In your opinion, do participants engage? Probes: do participants listen to all the information? Or do they get distracted? Which activities do they engage more in? Which activities do they engage less with? Why do you think this is so?

To what extent do you think participants understand the intervention? Are some parts easier to understand than others? Which parts are easier to understand? Why do you think this is so?

Are there any challenges in explaining the activities? the activities – French drain, card game -- with the audience?

Are there some people who speak more than others? Who are they? If so how do you deal with it?

Do you think participants act on the information you give? Why or why not?

How long does one community meeting usually take?

F.3 Household meeting

Can you describe how you facilitate the household intervention?

F.3.1 Probes

Which members attend the meeting? Are there some members who talk more than others?

Are there any challenges in making them sit through the whole meeting?

Do you think the information you share is useful for them?

Card game: Do you think participants understand the aim of the activity?

Pit emptying and pledge posters: Do families have this put up? Are they being used? Do you think they understand the purpose of this?

Calendar and Lockbox: Do families have the calendar put up? Are they being used? Do you think they understand the purpose of this?

Are there any challenges in explaining/conducting the activities? If so how do you alter explaining about it /implementing it?

In your opinions, do participants engage at the HH level? Probes: do participants listen to all the information? Or do they get distracted? What activities do they engage with more? Why do you think this is so?

To what extent do you think participants understand the intervention? Are some parts easier to understand than others?

Do you think participants act on the information you give? Why or why not?

F.4 Other questions

In your opinion, are there any strategies to ensure that participants are listening?

Do participants ask questions at the HH/community meetings? What kind of questions have they asked? Are the participants of the HH/community meetings satisfied with the answers?

Have there been instances where there are questions that you cannot answer? What are these? How do you respond then?

In your opinion is there a benefit to having both household and community meetings? Is one more effective than the other?

In your opinion, is there a benefit in repeating these meetings? How many times?

There are various government schemes to promote sanitation as well. Have they influenced the intervention in any way? Probe: role of swachchagrahis, SBM, Lohia Bharat Mission

What feedback do you have for the intervention design?

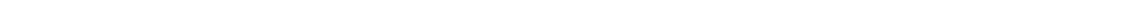
If you had an opportunity, how would you have designed the intervention differently? (Probe: would the facilitator have addressed any other barriers)

Do you think these interventions could influence use? Are there any other barriers because of which they may still not use the toilets?

Which village are you going to next? How do you schedule your visits? (Probes: do you follow a field plan etc, do you get directions from WVI's Patna office)

Are there challenges related to travel to these villages, or access issues? How do you overcome them?

From your perspective, has there been any change in the coverage or timeline of the intervention? Why?



Annex G Sample size and characteristics

G.1 Sample size

	Per treatment village	Total sample (X 4 treatment villages)
Observation of community meetings	1	4
Observation of household visits	3	12
Semi structured interview with facilitators	1	4
Semi structured interview with households	3	12
Semi structured interviews with WVI	2	N/A

G.2 Sample characteristics

Name of village	District	Number of intervention households	Proportion of households where one-member practises	Demographic characteristics
-----------------	----------	-----------------------------------	---	-----------------------------

				open defecation	
Dhutauli	Khagaria	12	1%	<p>Average family size is 5.7</p> <p>100% Hindu population</p> <p>58.3% SC and 41.7% OBC</p> <p>Average household size 5.6</p>	
Tealuchch	Khagaria	12	83.3%	<p>58.3% Muslim households</p> <p>25% SC and 75% OBC</p> <p>Average household size is 7</p>	
Bhola Bigha	Nawada	15	100%	<p>100% Hindu population;</p> <p>80% percent of the households are OBC; 13.3% SC and 6.7% ST respectively</p> <p>Average household size is 6.7</p>	
Budhol (Budhol and vijaynagar) and Katir (ward 8 and 9)	Nawada	10	30%	<p>100% Hindu population</p> <p>80% from the General category and 20% OBC</p>	