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## Appendix B: Formative Research Tools

### IDI OUTLINE

#### Demographic variables

- Name
- Gender
- Age
- Occupation
- Level of education
- Literacy
- Rent (if tenant)/income from plot (if landlord)

#### **Plot-Plot**

*Objective: To get essential information about the size of the community of plot members, relationships within flats/rooms, and the length of time that plot members have had to form alliances.*

*Instruction: Record information in form of tables below.*

1. Within flat/room relationships:
  - Ask about the number of adults inside each flat/room. If one of the individuals is the landlord, put 'LL' in parentheses as well. Next, get the number of kids in the room, and write down the number in the appropriate column. Finally, write down how long those in the flat/room have lived on the plot.

Flat/Room Number	Number of Adults	Relationships among adults	Number of children	Length of Residence
1	3 (LL)	Spouses, Niece	3	2 months
2	2	Sisters	2	2 years
3	1	N/A	2	6 months
Etc.				

2. Between flat/room relationships:

- Did anyone in the plot know each other before coming to live on the plot? If yes, write 'Prior' and ask about what type of relationship (e.g., friends, coworkers, co-churchgoers).
- Is anyone a friend of anyone else on the plot? If yes, a double-headed arrow between the adults with description of the link as 'friends'.
- Does anyone work in the same place as someone else on the plot? If yes, a double-headed arrow between the adults with description of the link as 'co-workers'.
- Does anyone go to church in the same place as someone else on the plot? If yes, a double-headed arrow between the adults with description of the link as 'church-goers'.
- If anyone has ever eaten in anyone else's house, draw one-headed arrow from guest to host. On the arrow, write 'Shared meal'.

Flats/Rooms Involved	Relationship type
1,4	Prior: Friends
2,4	Brothers
3,5	Shared meal
Etc.	

### **Social Capital Scale**

*Objective: To measure the degree of cohesion within plots.*

*Instruction: Use smiley/frowny face to measure responses.*

1. Say Kw100 dropped out of your pocket on the plot. Do you think it would be returned to you if someone on your plot found it?
2. Can the people on your plot work together towards a common goal?
3. I am willing to help people on my plot who are in need.
4. You have to be careful dealing with people on your plot, because they might take advantage of you.
5. In this plot, I trust people of my own tribe more than others. (More likely to rent to?)
6. I could leave my child with someone else on the plot for a few hours if I needed to.
7. Do plot residents ever work together to improve the plot?
8. Do plot residents contribute money for improving the plot?

9. I am willing to contribute time to improving sanitation on the plot.
10. I am willing to contribute money to improving sanitation on the plot.
11. How much can you trust in people on other plots in your neighborhood?

### **Toilet History**

*Objective: To understand life history of toilets on a plot.*

*Instruction: For each toilet on the plot, ask the following questions; probe for any interesting stories!*

#### Construction

1. When was this toilet built?
2. Why was it built then?
3. Who made the decision to build it?
4. Who did the actual digging/building?
5. Where did the materials come from?
6. How long did it take to construct?
7. How much did it cost?
8. What was the situation before that? Was there another toilet on the plot before that?

#### History of change

1. Has this toilet been changed since it was built? What changed? Why?

2. Has the pit filled since you've been here? When? What happened after it filled?
3. Has this toilet ever flooded? What happens when it floods?
4. Has it ever been repaired?
5. Has it ever been emptied? If so, when? How (manually, by truck)?

#### Cleaning

1. Who cleans it and when?
2. Does it stay clean this way?
3. Is there a rota? Can I see the rota? If not written, how do you know whose responsibility it is today? What happens if the responsible person goes away?

#### Use

1. What things go into the hole? (Menstrual pads, child faeces, diapers, other?)
2. What sorts of activities besides elimination can happen inside the toilet (bathing, laundry, changing menstrual materials, storing stuff)?

#### **Plot Observation**

*Objective: To record major physical features of the plot.*

*Instruction: Go take a look and take pictures of any latrine (from all sides and inside, as well as from a distance), as well as of any other major structures.*

*Record the following information:*

#### Housing

*Latrine:*

1. What kind of superstructure is there?
2. What kind of slab is there?
3. Is there any way being used to reduce odor?
4. Is it a sitting toilet?
5. Can it be emptied? Manually or via truck?
6. Does it appear clean?
7. Are there cleaning products present? If not, can the respondent show you cleaning products for the toilet?
8. Is there a place to wash hands anywhere on the plot? Are soap and water present at the hand-washing place?

*Garbage pit*

*Water source*

[Can have respondent do demonstration of what they normally do after using the latrine, watching for handwashing]

**Toilet Improvement Ranking Exercise**

*Objective: To rank the kinds of improvements that could be made to a toilet in terms of their importance to the respondent.*

*Instruction: Lay out all the options below in front of the respondent. Say 'These are various ways in which a toilet can be improved. Which one is the **most important to you?**' Have them make a choice and then ask 'why?'. Then ask 'Which*

*is next most important to you?' Again ask 'Why?' about each choice, until all have been chosen.*

1. *Protection from sun/rain*: Leaky roof → Fixed roof
2. *Access restriction*: Latrine door without lock → Door with lock
3. *Financing*: Small amount of money available → More money available thanks to 'merry-go-round' jackpot (to be used to improve toilet)
4. *Comfort/disability access/Reduce contamination*: Squat toilet → Toilet seat
5. *Anti-bacterial clean*: Concrete floor cleaned with water/broom → Concrete floor cleaned with smell-reducing soap product
6. *Cleanability*: Rough dirt floor → Smooth tile floor
7. *Hand hygiene*: Latrine without handwash facility just outside → Latrine with handwash facility just outside
8. *Functioning maintenance system*: Unclean toilet (faeces on ground) → Clean toilet (e.g., thanks to working rota system)
9. *Pit longevity [collapse avoidance]*: Unlined pit → Plastered pit (during construction)
10. *Smell reduction*: No ventilation pipe → Ventilation pipe
11. *Pit life extension [emptiability]*: Full pit → Pit being emptied by pump
12. *Privacy*: Hole in wall (with person watching from outside) → Solid walls
13. *Manners*: Leaking into neighbouring plot → Not leaking
14. *Waste disposal*: People disposing of menstrual pads/diapers in pit → disposal system present (e.g., bucket with lid)



*[Show informant the ranking they have made; ask if they want to make any changes; record these changes]*

### **Motive Mapping Exercise**

*Objective: To link improvement techniques to motives for doing the improvement.*

*Instruction: Select the top-ranked improvement. Put all the motive pictures out next to the improvement. Get a reason for why each response might occur as a consequence of making that improvement to a latrine. Ask 'Which of these would motivate you most to actually do the top improvement'? Get a ranking.*

1. Church elder says 'Everyone in the community will admire you for doing that!' (Status/Respect)
2. Spouse/child (as appropriate for informant) says 'I love you for doing that!' (Love)
3. Landlord says to him/herself 'That was disgusting; I did well!' (Disgust)
4. Neighbour says 'You showed you are like the rest of us; well done!' (Affiliation)
5. Landlord says to him/herself "I've really made the plot nicer now; I did well!" (Create)
6. Landlord says to him/herself "I really showed some skill doing that; I did well!" (Play)
7. Church elder says 'That was the right thing to do; well done!' (Justice)

8. Landlord says to him/herself 'Now my child will be safe!' (Nurture)

### **Ostrom Exercise**

*Objective: To understand the potentials for conflict or cooperation on the plot.*

*Instructions: Ask the following questions; make sure to probe for stories or examples after any original response of interest. Only prompt with examples after asking the question as it is printed here.*

#### **A Clearly Defined Boundaries**

- 1 Is it easy to make sure that those who are not plot members do not use the resources you enjoy on the plot? *Prompt:* for example, use your garbage pile for their waste, or steal water?
- 2 Is there a way to exclude people from using the toilet? *Prompt:* for example, a lock? Is it effective? Why/why not?
- 3 What aspects of building, repairing, or cleaning the toilet are the responsibility of the tenants? Of the landlord?
- 4 Do the tenants and landlord work together to maintain any part of the toilet?
- 5 Are there improvements to the toilet that the landlord and tenants would both pay for?

#### **B Congruence between Rules and Local Conditions [can probably drop this after a few interviews]**

- 1 What rules did the landlord lay down about how to live on the plot when you first arrived? [If landlord: What rules do you normally give to a new tenant about how to live on the plot?] *Prompt:* for example, about how to manage the common area?
- 2 Do households pay more rent based on the number of adults or children in the household?
- 3 Do households that make more use of the toilet have to contribute more to its upkeep or repair or improvement?
- 4 Do households pay more rent if the toilet is improved?
- 5 Do you feel that any of the arrangements/rules on the plot are unjust/unfair?

C Collective-Choice Arrangements

- 1 Has the landlord ever called the tenants together to discuss anything (positive or negative!)?
- 2 Have the tenants ever gone together to talk to the landlord for any reason (positive or negative!)?
- 3 Has anyone helped the landlord to do anything on the plot? If so, What sort of help was given? Why? How often?
- 4 Have the tenants ever helped each other to do anything on the plot? If so, What about? What was the outcome?
- 5 Has the landlord ever asked the tenants' opinion before taking some action on the plot? In that case, did the landlord follow the opinion of the tenants?

- 6 Are there conditions under which someone can exclude themselves from their responsibilities on the plot? *Prompt:* for example, not contribute to the maintenance of the toilet when called away?

D Monitoring

- 1 Does anyone ever watch what others are doing around or inside the toilet?  
Why?
- 2 Does anyone ever go to the toilet just to see its condition? Why?
- 3 Do plot residents ever gossip about other plot residents? If so, what are some topics of discussion? Has gossiping ever lead to problems on the plot?

E Graduated Sanctions

- 1 Has the landlord ever punished a tenant for not being responsible (including verbal scolding, financial penalty)? *Prompt:* for example, not cleaning the common area?
- 2 Does the level of punishment always reflect how bad the action by the tenant was? *Prompt:* for example, if it was just not cleaning the toilet, did the landlord only complain, but when it was not paying the rent, did the landlord take more severe action?
- 3 Have there been times when an initial action by the landlord (such as a complaint) escalated to something more severe (such as an argument or fight)?  
Have the tenants ever had a conflict amongst themselves (such as an argument or fight)?

F Conflict-Resolution Mechanisms

1 Is there any way to resolve a dispute between a landlord and a tenant? *Prompt:* for example, an outside authority like the local chairman? Do you feel that these institutions are fair? Is it difficult to access these institutions due to distance, cost, or time delays?

2 Is there any way to resolve a dispute between two tenants? *Prompt:* for example, take the argument to the landlord? Do you feel that these institutions are fair? Is it difficult to access these institutions due to distance, cost, or time delays?

[*Note:* if there are any stories from Section 5 on Graduated Sanctions, make sure to probe about how the conflict was resolved – for example, ‘In the fight you mentioned, what happened? Did anyone step in to stop it? Was anyone hurt’ etc.]

G Minimal Recognition of Rights to Organize

1 Are there any local laws or rules that regulate what a landlord can do on their plot? *Prompt:* for example, remove a tenant?

2 Are there any local laws or rules about when a tenant can leave a plot? *Prompt:* for example, before the end of their contract? Without paying rent due?

H Appropriate Coordination among Relevant Groups (i.e., with other institutions)

- 1 Are there people or companies that provide emptying services around here?  
Have they been used to empty a latrine on this plot? Manual or pumping truck?  
How much did it cost?

### **Finances/Decision-making**

*Objective: To understand the history and types of uses of financing, particularly with reference to sanitation, by the respondent.*

*Instructions: Ask the following questions; make sure to probe for stories or examples after any original response of interest.*

- 1) What is the most expensive thing you have ever bought? How did you save money for it? Who made the decision to buy it? Anyone else involved in the decision? Did they/you have to negotiate with anyone to get permission to buy it? Did they/you voluntarily consult with anyone for their advice?

1. Prompts:

- i. If you have a mobile phone, how did you finance that purchase?
  - ii. If you have a TV, how did you finance that purchase?
- 2) What is the maximum amount you have ever saved? How long did it take you to save this amount? Where did you keep the money? What did you eventually do with it?
  - 3) Ever had a bank account? When? What for? Which bank? Do you know anyone (else) who has a bank account? Who?

- 4) Ever used 'merry-go-round'? How many people were involved? Who were they? How much was the stake? How often were the payouts? What did you buy with your winnings?
- 5) Ever used a microfinance institution? If so, what did you buy with the proceeds? Do you know anyone who has used microfinance?
- 6) Ever had a subsidy from the government? What was the subsidy for? Did you have to prove eligibility? If so, how? Did you have to pay any part back?
- 7) When you have to make a decision about what to do with a large amount of money, do you consult anyone? Who?
- 8) What if the choice is about –
  - A personal item like clothing?
  - A household item like a TV?
  - [Landlord only:] A plot-related item like a new toilet?
- 9) Can you recall any time when you wanted to buy something but couldn't because someone else said you couldn't?
- 10) Has there been any time when you told someone else that they couldn't buy something? Why? Did they buy it anyway?

### **Forced Choice Dilemma 1: ('1-2-3-4 Game')**

*Objective: To force respondent to choose between options that express particular values (e.g., egalitarianism; social class differences).*

*Setup:* The government says they will give every plot two latrines. But they have two different plans:

For Landlords:

- 1) Landlord gets a toilet worth 3, while tenants get one worth 4.
- 2) Landlord gets a toilet worth 2, while tenants get one worth 1.

You must choose which investment scheme the government will implement on your plot. Which do you choose? Why?

For Tenants:

Two different kinds of plots on which you could live:

1. Landlord gets a toilet worth 3, while tenants get one worth 4.
2. Landlord gets a toilet worth 2, while tenants get one worth 1.

Which kind of plot do you choose to live on?

### **Forced Choice Dilemma 2: ('3-1-2-2 Game')**

*Objective: To force respondent to choose between options that express particular values (e.g., egalitarianism; social class differences).*

*Setup:* The government says they will give every plot two latrines. But they have two different plans:

For Landlords:



1. Landlord gets a toilet worth 3, while tenants get one worth 1.
2. Landlord gets a toilet worth 2, while tenants get one worth 2.

You must choose which investment scheme the government will implement on your plot. Which do you choose? Why?

For Tenants:

Two different kinds of plots on which you could live:

1. Landlord gets a toilet worth 3, while tenants get one worth 1.
2. Landlord gets a toilet worth 2, while tenants get one worth 2.

Which kind of plot do you choose to live on?

**OPTIONAL:**

### **Social Network Analysis**

*Objective: To understand the respondent's social relationships.*

*Instruction: Record information in form of table below.*

- First prompt:
  - Ask for first names of the 'most important people to you now'
- Second prompt:
  - 'Other people less important to you?'
  - After get some names, ask:
    1. Anyone else from work?
    2. Anyone else from church?

3. Anyone else from plot (make sure you prompt about other plot members!)

- Third prompt:

- ‘Other people even less important to you?’

- ‘Special link’ prompts:

- If you had to borrow money, who would you go to? Have you done so before?  
Have you lent money to anyone?
- Would get assistance from in a medical emergency
- Give advice to
- Get advice on parenting from

**NOTE:**

If a landlord, mark individual’s name with ‘LL’.

Also note that some ‘Special links’ are purely abstract – where they would do something – but in other cases, describe actual past events.

Importance	Name	Relationship	Special link
Most important			
	Norma	Mother	Parenting advice
	Jean	Sister	Gave advice on job choice
	Etc.		
Less important			

	Francis	Neighbour	Lent money; Medical emergency
	Jamia	Pastor's wife	
	Levy (LL)	Friend	Plot member
	Etc.		
Least important			
	Bob	Friend	Plot member
	Etc.		