



**MONITORING AND EVALUATING BEHAVIOUR CHANGE  
AMONGST ILLEGAL WILDLIFE PRODUCT CONSUMERS**

**GOOD PRACTICE GUIDELINES** FOR

**SOCIAL AND BEHAVIOURAL CHANGE COMMUNICATIONS  
PRACTITIONERS AND COMMUNICATIONS PROFESSIONALS**

**TRAFFIC**  
the wildlife trade monitoring network



A Rhino horn cut into smaller pieces to be sold by weight by a traditional medicine practitioner in Hanoi, Viet Nam © Robert Patterson / WWF

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# ACKNOWLEDGEMENTS

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These Guidelines have been prepared in response to a recognized need identified through the “Changing Behaviour to Reduce Demand for Illegal Wildlife Products” Collaborative Action Planning workshop. They are intended to provide an accessible reference guide to help those implementing Social and Behavioural Change Communications (SBCC) initiatives for conservation impact, to use Monitoring and Evaluating (M&E) approaches that improve understanding around impact measurement, as well as what is working and what is not, and how SBCC initiatives can be adjusted accordingly.

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# ORIENTATION AND OVERVIEW

**Social and Behaviour Change Communications (SBCC) has become a popular framework for actions to reduce the demand for illegally traded wildlife products. SBCC is a well-established field in public health and development arenas, and involves a process typically encompassing effort across three inter-related domains;**



Conservation and consumer-oriented communications, attempting to raise awareness of the threats to endangered wildlife, or using social marketing tactics to influence the purchase, consumption and use of products from them, are now often characterized as employing an SBCC approach. Divergent practice is currently evident however, amongst conservation professionals in relation to the monitoring and evaluation employed to inform SBCC initiative design, measure progress or establish impact.

We're just starting to plan our evaluation. Which methods should we consider?



All of them.



Source : © Chris Lysy / freshspectrum.com

While much consumer research is being conducted, SBCC Monitoring and Evaluating (M&E) methodologies and survey protocols/design are not yet sufficiently harmonized across the sector and the potential for duplication persists. In addition, there is increasing recognition that few initiatives are establishing baselines, conducting attitudinal analysis or assessing the 'resonance' as well as 'reach' of their messaging.

Complexities compounding this include considerations involving attribution of impact, achieving substantial or statistically robust enough sample sizes for surveys to have relevance in countries the size of China for example, and the reconciliation of self-reported data (e.g. consumer research) with that more objectively verifiable (e.g. market research).



*Changing behaviour to reduce demand for illegal wildlife products: workshop proceedings. TRAFFIC 2016.*

**The mechanisms for achieving adequate rigour to enable appropriate reporting by Parties into CITES Resolutions and similar Decisions, is also of concern.**

Further, as the behaviours being evaluated are clandestine and conducted covertly given their illegality, pledged changes are challenging to prove, evidence or quality assure. Evaluation should also be informing the adaptive management of SBCC messages, messengers and mechanisms, as well as testing assumptions underpinning Theories of Change, but inadequate resources (both financial, and in terms of skills, understanding and knowledge) are a limiting factor.

Discussion around the need for good practice guidelines occurred amongst participants at the “Changing Behaviour to Reduce Demand for Illegal Wildlife Products” workshop in 2016. The 100 or so members of the SBCC “Community of Practice” established through this workshop, represented 60 organizations and diverse professional perspectives, united by their stake, passion, interest and mandate in applying SBCC for conservation impact. The “Good Practice Guidelines” presented here aim to respond to their requests, recommendations and requirements for support in addressing SBCC M&E challenges.

The audience for these Guidelines is therefore SBCC practitioners who may have a grounding in M&E, but not necessarily experience in behaviour change impact measurement, especially as this relates to illegal behaviour.

# HOW PRACTICAL AND FEASIBLE IS IT TO DEVELOP STANDARDIZED METHODOLOGIES TO GATHERING CONSUMER INSIGHTS?

## KEY BENEFITS OF STANDARDIZED METHODOLOGIES



### Ability to compare data

- Complexity and breadth of the topics that need to be researched and understood in relation to demand; e.g. different psychological, social, cultural, political and economic factors influencing market segmentation and consumer choice
- Lack of expertise to develop such standards



- Ability to increase sample sizes and undertake more in-depth research with the right audiences (esp. actual consumers) and thus:**
- Better understand consumers, and the motivations, triggers and drivers for their purchasing preferences, user intentions and buyer behaviour
  - Increase confidence in the data and statistical robustness
  - Provide a foundation for collaborative approaches to behavioural change messaging, and thus amplified impact



### Increased efficiency in work delivery and fund investment

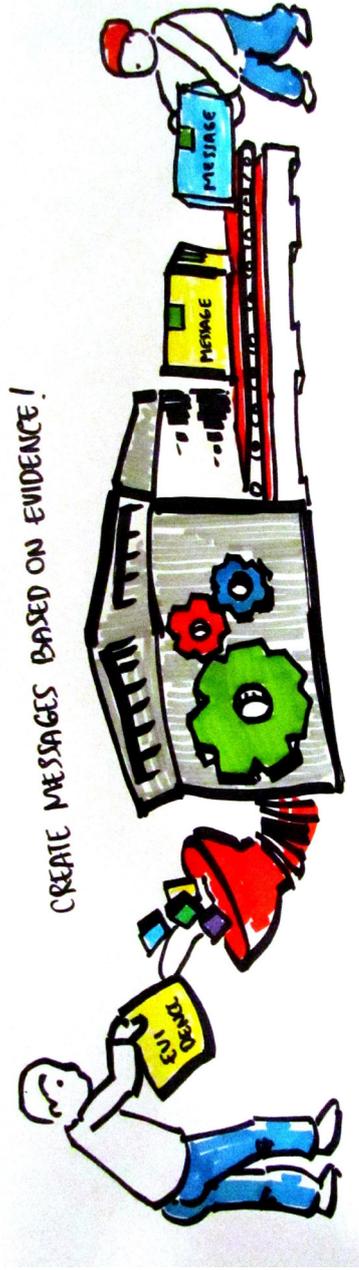
- Competing interests and prioritisation of organizations, donors and target countries

## SPECIFIC BARRIERS

- Possible legal restrictions for data sharing
- Reticence to share insights between organizations

## HOW TO ADDRESS BARRIERS

- Establish an advisory panel of research experts.
- Develop a best practice toolkit, decision-trees about which research approaches to use when, and typologies/ templates for Community of Practice reference.
- Work with businesses, academia and governments to explore obtaining consumer data via standardized approaches: e.g. national household survey data, census, annual polls of consumers by Consumer Councils, etc.
- Establish a repository (i.e. within the Wildlife Consumer Behavioural Change Toolkit) for sharing methodologies, research data/results and analysis, to ensure this is accessible to all in the community.
- Make open-access research a requirement for funding.
- Explore partnerships and potential advisory group approaches to survey design with research organizations, private sector and e.g. universities in order to ensure robust approaches and promote innovation.
- Agree the knowledge gaps that need to be filled.
- Begin bridging those knowledge gaps by identifying the collaborations and partnerships that need to be developed in order to do so, in the first instance.



## SPECIFICALLY, THE “GUIDELINES” INTEND TO SUPPORT SBCC PRACTITIONERS IN;

- ✓ Designing a robust research framework
- ✓ Selecting appropriate survey methodologies
- ✓ Considering chronology and sequencing for consumer research
- ✓ Understanding how to “Mix Methods” and ensure adequate cross-referencing between subjective (consumer research) and more objectively verifiable (market research) data
- ✓ Identifying appropriate question framing, ordering and how to avoid common biases
- ✓ Determining who the target audience is and how many to engage (i.e. sample size)
- ✓ Countering common pitfalls (e.g. such as scaling).

## SPECIFICALLY, THE “GUIDELINES” ARE NOT INTENDED TO;

- ✗ Provide a substitute for engaging relevant expertise where required (e.g. statisticians)
- ✗ Act as a “manual” or “how to” resource for every aspect of the research process
- ✗ Provide technical reference material to prescribe reporting into e.g. CITES mechanisms
- ✗ Advance the field of SBCC M&E, for academics and others with a more theoretical interest
- ✗ Explore more advanced facets of SBCC M&E; such as experimental design techniques, counterfactual thinking, causal chains, general elimination theory, and similar.

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**The Guidelines are structured around three main sections, each representing a stage in the SBCC M&E process, ordered by the chronology in which each stage is likely to be conducted:**

**Baseline:** *The starting point for various values, from which to measure the impact of an SBCC initiative.*

**Formative research:** *Research conducted in order to inform intervention design, focus, tactics and approach; for example, including the messages, messengers and mechanisms chosen to change choice.*

**Summative research:** *Research conducted in order to assess intervention impact; at the performance, outcome, objective and goal level, in terms of message resonance as well as reach, and to support adaptive management refinements in the intervention design cycle.*

*Note: The use in these Guidelines of the terms “formative” and “summative” are not intended to contradict or cause confusion with their particular meanings within the spheres of academia and education.*

# COMMON CONSIDERATIONS

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**Baseline, formative and summative research, should all be conducted with common considerations:**

- 1** | Set **clear aims**, objectives, research scope—be transparent about M&E limitations
- 2** | Ensure **ethical standards** are established and upheld at all times.
- 3** | Ensure **relevant permissions** (e.g. from governments to conduct social science research of any kind) are secured, and engage additional expertise (such as that concerning statistics) where required
- 4** | Adopt a **mixed methods approach**, and triangulate data where feasible and timing allows
- 5** | Explore opportunities to **streamline approaches / synergise / share** with others where possible

**Finally**, these Guidelines are intended to be a “live document” and feedback is welcome from the SBCC practitioners in the Community of Practice, around which aspects are helpful, which are less so and why, and what further information could be provided.

Additional examples of success factors or lessons learned are also welcome. These can be shared through the “Monitoring and Evaluation” Discussion Forum on the Wildlife Consumer Behaviour Change Toolkit [www.changewildlifeconsumers.org](http://www.changewildlifeconsumers.org).

We look forward to hearing from you, thank you for your interest in SBCC M&E!

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## A. COLLECTING BASELINE DATA

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As well as gaining a set of values from which you can assess SBCC initiative impact, baseline data will also provide initial insight into the behaviours and audiences to prioritize and target, thus a foundation for formative research. Baseline and formative research can occur in a combined process if conducted in a sequential manner. This and other aspects of definition and scope form the focus for this section.

### 1 | WHAT IS A BASELINE?

**A baseline is simply the starting point from which to measure SBCC initiative impact.**

For example, if the ambition of your SBCC initiative is to change knowledge, attitudes, intention and behaviour amongst a target audience, baseline research would establish the pre-initiative values for these.

Examples of baseline data include the number of people currently buying/using, or intending to buy/use, illegal wildlife products (IWP), or a proportion of these as a percentage of an overall sample. Identifying the prevalence of the consumption behaviour across a sample is often a critical component, as is the type of consumption—e.g. destructive (i.e. ingestion) or more durable? Which specific commodities are involved? Additional aspects could include the amount of IWP being bought/used (i.e. the frequency of the consumption behaviour x the volume of product being consumed).

### 2 | HOW DO YOU DEVELOP A BASELINE?

**Surveys are a typical research tool through which to collect baseline data.**

When surveying people in relation to illegal or controversial topic areas however, the risk for survey “response bias” is high (i.e. respondents tell you what they think they should, rather than the truth). Tactics to reduce this risk, include projective questioning (asking the respondent to comment on how those in their personal or professional networks behave); “stated preference methods”; Unmatched Count Technique; or similar. These and other approaches to survey methods are discussed further in the next section.

Surveys should be conducted with an adequate number of people to provide reliable

insights, be statistically significant and facilitate analysis across the sample (more information on sample size in the next section).

Surveys generate attitudinal data, which it is recommended are combined with other research methods, in particular those that generate something more observable or “objectively verifiable”. For example, desk-based research into IWP seizures, field data such as poaching pressure on populations known to be targeted primarily to supply demand; as well as market research, for example into the number of offers for sale of IWP, in virtual or physical markets.

The most robust baseline data would be that which demonstrates the number of IWP actually bought. However, due to the clandestine nature/covert manner in which IWP purchase occurs, this is often challenging to conduct and therefore not considered a practical approach for SBCC practitioners here.

Juxtaposition of data from several sources, including consumer research and market research, should be considered as “gold standard” in establishing an accurate baseline.

### 3 | WHAT QUESTIONS SHOULD BE ASKED?

**Baseline data should provide insight into the following:**

- **BEHAVIOUR TO TARGET:** For example, the type of IWP purchased, gifted or used; when, where and how; for what purpose. Consumption could be “destructive” in nature (i.e. whereby consumers have to replace the product over time, such as with rhino horn bought for ingestion) or “durable” (i.e. whereby people would conduct a one-time purchase—for example, ivory for a piece of art or jewellery). Distinct perceptions and attitudes may be driving these different types of consumption, which in turn also influence the frequency of IWP use/replacement.
- **AUDIENCE TO TARGET:** Market research (i.e. counting the number of IWP on sale in certain markets) will often identify a candidate group of people with which to conduct baseline research—for example, city dwellers in Thailand. A baseline survey will help you identify a subset of these to target according to what your SBCC initiative priorities are. For example, if you are interested in reducing the demand for ivory in Thailand,

your baseline survey will help to identify socio-economic and psycho-demographic data for this audience, and crystalize a subset of those who might be the most accessible, capable of influencing others, and personally willing and able to act—for example, beauty boutique SME owners in Bangkok, Thailand, who acquire small ivory pieces such as bangles and beads, for personal adornment, on a reasonably routine basis.



Once insight into the behaviour and audience to target is established, some will then also seek to identify a specific baseline value for the target audience alone; i.e. the percentage of the target audience currently conducting the behaviour, rather than the prevalence of the behaviour across the entire baseline survey sample. Being able to do this depends on the financial resources and time available.

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Based on these priorities, examples of key questions to ask in a baseline survey include:

- **Have you ever bought [x IWP]? Have you ever used [x IWP]?**
  - **If yes:** How many times have you bought/used [x IWP] in the past 10 years/5 years/3 years/the past 12 months/would consider buying it in the future. Roughly how much [x IWP] do you buy/use each time (i.e. invite the respondent to describe this value in weights if possible, rather than times per month, prices or similar)

- **What prompts you to buy / use?** E.g. price; special occasion (probe); promotion by a friend/family member; professional circumstances (probe); physical prompts such as illness, fatigue or other malaise (probe); receive as a gift from others (probe).
  
- **Do you intend to buy/use [x IWP] in the future? When? Where? How?**
  
- **What influences your choice of IWP?** Do you consider price? Quality? Availability/ scarcity of the IWP? What other product attributes do you consider? Investment potential? Durability?
  
- **Do you research the best place to buy the IWP** e.g. look online, on social media forums or consumer interest sites, or by talking to friends/family/colleagues?
  
- **Do you agree strongly, agree somewhat, disagree somewhat or disagree strongly?**
  - I enjoy buying luxury items for family and friends
  - I like buying luxury items for my home or myself
  - I would like to furnish my home with beautiful objects
  - I like owning things of value, such as fine jewellery or artwork
  - I like receiving gifts of fine jewellery, artwork, or other luxury-type items

**Further examples of questions are provided in *Table 1*, overleaf.**

# QUESTIONS TO ASK

TOPIC AREA	INDICATOR QUESTIONS	BEHAVIOURAL QUESTIONS																																																													
<p><b>Luxury goods consumption</b></p>	<p><b>Attitudes</b> Thinking about luxury-type items such as jewellery, artwork, decorative items, carvings, I would like to understand which kinds of materials you like them to be made of. For each type of material that I mention, please tell how much you like that material when it comes to luxury goods for yourself or when buying for others, whether or not you currently own anything made from this material. Would you say you “like it a lot”, “you like it”, or “you don’t like it”?</p> <table border="1" style="width: 100%; text-align: center;"> <thead> <tr> <th style="background-color: #444; color: white;">I like it a lot</th> <th style="background-color: #444; color: white;">Like it</th> <th style="background-color: #444; color: white;">Don't like it</th> </tr> </thead> <tbody> <tr><td>Real Crystal</td><td></td><td></td></tr> <tr><td>Real Gold</td><td></td><td></td></tr> <tr><td>Real Jade</td><td></td><td></td></tr> <tr><td>Real Ivory</td><td></td><td></td></tr> <tr><td>Real Diamond</td><td></td><td></td></tr> </tbody> </table> <p>Now I would like to read you a series of statements. For each one, please tell me how much you agree or disagree that the statement describes you. Do you agree strongly, agree somewhat, disagree somewhat or disagree strongly?</p> <ul style="list-style-type: none"> <li>• I enjoy buying luxury items for family and friends</li> <li>• I like buying luxury items for my home or myself</li> <li>• I would like to furnish my home with beautiful objects</li> <li>• I like owning things of value, such as fine jewellery or artwork</li> <li>• I like receiving gifts of jewellery, artwork, or other luxury-type items</li> </ul>	I like it a lot	Like it	Don't like it	Real Crystal			Real Gold			Real Jade			Real Ivory			Real Diamond			<p><b>Past buying behaviour</b> Do you own or have you bought anything made of:</p> <ul style="list-style-type: none"> <li>• Real Crystal</li> <li>• Real Gold</li> <li>• Real Jade</li> <li>• Real Ivory</li> <li>• Real Diamond</li> </ul> <table border="1" style="width: 100%; text-align: center;"> <thead> <tr> <th style="background-color: #444; color: white;">Own</th> <th style="background-color: #444; color: white;">Bought in last 12 months</th> <th style="background-color: #444; color: white;">Ever bought</th> </tr> </thead> <tbody> <tr><td>Real Crystal</td><td></td><td></td></tr> <tr><td>Real Gold</td><td></td><td></td></tr> <tr><td>Real Jade</td><td></td><td></td></tr> <tr><td>Real Ivory</td><td></td><td></td></tr> <tr><td>Real Diamond</td><td></td><td></td></tr> </tbody> </table> <p><b>Intention to buy</b> For each of these materials, how likely will you be to purchase anything in the next 5 years?</p> <table border="1" style="width: 100%; text-align: center;"> <thead> <tr> <th style="background-color: #444; color: white;">Very Likely</th> <th style="background-color: #444; color: white;">Likely</th> <th style="background-color: #444; color: white;">Not sure</th> <th style="background-color: #444; color: white;">Unlikely</th> <th style="background-color: #444; color: white;">Very Unlikely</th> </tr> </thead> <tbody> <tr><td>Real Gold</td><td></td><td></td><td></td><td></td></tr> <tr><td>Real Jade</td><td></td><td></td><td></td><td></td></tr> <tr><td>Real Ivory</td><td></td><td></td><td></td><td></td></tr> <tr><td>Real Diamond</td><td></td><td></td><td></td><td></td></tr> </tbody> </table>	Own	Bought in last 12 months	Ever bought	Real Crystal			Real Gold			Real Jade			Real Ivory			Real Diamond			Very Likely	Likely	Not sure	Unlikely	Very Unlikely	Real Gold					Real Jade					Real Ivory					Real Diamond				
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Table 1

## 4

### WHEN SHOULD A BASELINE BE CONDUCTED?

As mentioned previously, baseline data should be attained prior to any SBCC initiative activity delivery—i.e. including press briefings launching the initiative. It is also worth considering in advance when follow-up research will be conducted. Annual surveys are useful to establish and monitor trends, but can be expensive. “Survey fatigue” may also arise at this rate in small communities. Follow-up every two years may therefore be more suitable or appropriate.

## 5

### ADDITIONAL CONSIDERATIONS

The next section explores sampling methods and data analysis techniques in more detail. Additional considerations worth mentioning here, include:

- **Plan to mitigate bias.** A critical aspect of how bias can affect the responses of participants, relates to the “social norms” (what is socially acceptable) of the society in which respondents reside. For example, “social desirability bias”<sup>1212</sup> could play a large role if conducting research about an individual’s tendency to use IWP. Those in a friendship group where the use of IWP is “cool” may over-inflate their own usage. In contrast, those from a group where IWP use is not considered socially acceptable, or where the behaviour itself may be embarrassing in some way (i.e. IWP use as an aphrodisiac) may under-report their own use as a result.
- **Unintended consequences.** The survey design and question framing employed in your baseline should be considered carefully so as not to produce a counter-productive effect. For example, a baseline survey might ask a respondent to indicate if they agree or disagree that rhino horn can enhance sexual ability, but if you ask non-users, consider whether you are introducing the idea of a new use-type to them. The case study below highlights the risk of asking leading questions, and of developing a SBCC initiative that actually increases consumption of the product you are trying to stop people using.

## CASE EXAMPLE :

### BEWARE OF UNINTENDED CONSEQUENCES

The Scottish government developed an initiative called “Know the Score”. They wanted to make young people aware of the dangers of taking cocaine. The main message of the campaign focused on the link between cocaine use and heart attacks to deter use. As part of the evaluation, a survey was conducted pre- and post-initiative. Through this it was identified that 11% of respondents indicated they were more likely to now take cocaine, mainly due to young people associating heart attacks with older people (i.e. therefore, they had a low perception of risk).

- **Sharing survey plans and data.** Many organizations are now conducting consumer research—there is a “Space for Sharing” on the Wildlife Consumer Behaviour Change Toolkit Discussion Forums, for those who might be interested in avoiding duplication when commissioning research, or interested in pooling resources to maximize sample sizes, or otherwise make effort to harmonize data collection protocols and survey methodology as research proceeds.

## 6 |

### A SUMMARY . . .

- Baseline research, should be conducted prior to the start of any SBCC initiative activity delivery.
- Baseline research tools, such as surveys, should establish the set of values from which SBCC initiative progress can be measured, and also provide initial insight into the behaviours and audiences to target. Baseline data can include how prevalent IWP purchase, gifting and use are across the survey sample, both in terms of those currently engaging in these behaviours, as well as those who report intending to do so in the future. Useful supplementary information can include how frequently the behaviour is engaged in, and the amount of IWP bought/used through this, plus the product attributes sought when doing so. This provides a foundation for much more in-depth research into similar aspects, during the formative research stage (see next section).
- Baseline surveys should be conducted with an adequate number of people to provide reliable insights, be statistically significant and facilitate analysis across the sample.

- Baseline surveys will provide self-reported or attitudinal data, which is useful to cross-reference against that which is observable or “objectively verifiable”. A “Mixed Methods” approach to establishing a baseline, would include comparing insights arising through consumer research processes (such as that in the surveys), with insights arising from sources such as market research, tracking fluctuations in availability/offers for sale of products in virtual or physical market places or seizure data. Trafficking and poaching data may also be considered, for well monitored populations of animals killed primarily to supply demand in specific markets.
  
  - **Some examples of key questions to ask in baseline surveys, include:**
    - Have you ever bought [x IWP]? Have you ever used [x IWP]?
    - If yes: How many times have you bought/used [x IWP] in the past three years?/ When was the last time you bought/used [x IWP]? Roughly how much [x IWP] do you buy/use each time (i.e. invite the respondent to describe this value in weights if possible, rather than times per month, prices or similar)
    - What prompts you to buy/use? E.g. price; special occasion (probe); promotion by a friend/family member; professional circumstances (probe); physical prompts such as illness, fatigue or other malaise (probe); receive as a gift from others (probe).
    - Do you intend to buy/use [x IWP] in the future? When? Where? How? Why?
- 

## FURTHER INFORMATION

### DEVELOPING AND CONDUCTING A BASELINE

- USAID Measuring Efforts to Combat Wildlife Crime: A Toolkit for Improving Action and Accountability: [http://pdf.usaid.gov/pdf\\_docs/PA00KQR6.pdf](http://pdf.usaid.gov/pdf_docs/PA00KQR6.pdf)
- Measure Evaluation: Behaviour Change Communication:  
 [https://www.measureevaluation.org/prh/rh\\_indicators/crosscutting/bcc](https://www.measureevaluation.org/prh/rh_indicators/crosscutting/bcc)
- Evaluating Behaviour Change Campaigns: NSMC: [http://www.waterwise.org.uk/data/Evaluation\\_Masterclass\\_/Patrick\\_Ladbury\\_The\\_NSMC\\_Case\\_study\\_Evaluating\\_campaigns\\_experience\\_from\\_the\\_health\\_sector.pdf](http://www.waterwise.org.uk/data/Evaluation_Masterclass_/Patrick_Ladbury_The_NSMC_Case_study_Evaluating_campaigns_experience_from_the_health_sector.pdf)
- Discussion Forum on measuring the impact of DR initiatives:  
 <http://www.changewildlifeconsumers.org/forums/forum/monitoring-evaluation/>

## B. CONDUCTING FORMATIVE RESEARCH TO INFORM SBCC INITIATIVE DESIGN

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### 1 | WHAT IS FORMATIVE RESEARCH?

Baseline research precedes formative research and the two are distinct processes, but they can be conducted sequentially if desired. While the baseline survey provides the values from which to measure SBCC initiative impact, and initial insights into target behaviours and audiences, formative research will provide a much more detailed picture of the latter. The focus for formative research is to identify the messages, messengers and mechanisms to employ in SBCC initiative design.

#### **Formative research is thus:**

- ✓ **Exploratory, and conducted at the start of the SBCC initiative;** to inform choices made around the messaging, messengers and mechanisms (i.e. behaviour change theory, balance of advocacy, social mobilisation or BCC employed, communication channels, etc) used to change knowledge, attitudes and practice—or IWP purchase, gifting and use i.e. consumer behaviour
- ✓ **Often conducted to build an in-depth profile or “consumer archetype”** for the target audience, in relation to the behaviour being changed through the SBCC initiative; to attain insight into the factors which influence or trigger their behaviour; the “benefits” and “barriers” relevant to adopting the new behaviour; most effective ways to reach and influence them etc.

### 2 | WHAT METHODS SHOULD BE USED

**Numerous methods can be employed in relation to formative research, and several should be.**

Secondary data may provide the first level of insight. Sources of secondary data could include past consumer research (several datasets are available at [www.changewildlifeconsumers.org](http://www.changewildlifeconsumers.org)), as well as other forms of published or grey literature. Online portals for accessing academic research, such as ResearchGate or Google Scholar (where this is available), can also enable direct contact with authors.

National statistics, census or “big data” could complement secondary data, but is likely to be extremely difficult to acquire. Those managing social media or e-commerce sites, or physical retail outlets with marketing teams, may be willing to share information about the IWP consumers or constituents who are expressing an interest in purchasing. But this is likely to be “commercial in confidence” information and not shared in the public domain easily. Many countries also carry out a national level assessment of their citizens, but unless you are already a government entity and the use of data for such purposes has been made explicit up-front, it is also likely to be challenging to acquire and difficult to use.

Typically, formative research methods include a mix of secondary data (including past consumer research and academic published or grey literature), alongside a mix of quantitative and qualitative assessments. Approaches to quantitative and qualitative assessments include:

- ✓ Observation
- ✓ In-depth interview
- ✓ Focus group discussions
- ✓ Door-to-door interviews
- ✓ Face-to-face through street intercepts
- ✓ Telephone
- ✓ Online
- ✓ Purchase panel
- ✓ Electronic audience measurement

Talking in-depth to representatives of the potential SBCC target audience, through focus groups or individual interviews, can occur alongside surveys with a larger number of the same group of people, or a wider sample of the population. Observational approaches are also extremely valuable and should be pursued if time and resources allow—i.e. watching what people actually do, so that this can be reconciled against and “ground-truth”, what they say they will do. The two can be quite different.

## FOCUS ON : QUANTITATIVE RESEARCH



Quantitative research is usually collected through surveys, which build on those used for baseline data. In simple terms, quantitative research is useful when you need to know “how many?” For example, how many people are influenced through a certain TV channel or religious group? Quantitative research through surveys can be conducted face-to-face, over the phone, through the Internet, or even by post. All methods have pros and cons to be considered, per *Table 2* below.

### PROS AND CONS OF DIFFERENT QUANTITATIVE DATA COLLECTION METHODS

METHODS	COST	RESPONSE RATE	TIME
Face-to-face through doorstep surveys	\$\$\$\$	High	High
Face-to-face through street intercepts	\$\$\$	Moderate	High
Phone	\$\$	Moderate	Medium
Internet	\$	Poor	Low

*Table 2*

Postal surveys are rarely done now, as the response rate is usually very low and you have no guarantee that the intended person at the address is the one completing the survey. Internet hosted surveys are often the most cost effective and efficient option, due in part to the sensitive nature of the topic being surveyed.

As with all research it is better to engage an independent in surveying consumers (to avoid the bias of people telling you what they think conservation groups wish to hear). Although those being commissioned are likely to suggest the survey design and question framing (but not methods) for you, the following factors are worth considering as you work with them on this.

## A WRITING YOUR SURVEY QUESTIONS



There are some common mistakes that keep survey questions from being effective. Examples are highlighted in Table 3, below;

COMMON MISTAKES	EXAMPLE OF POOR PRACTICE	EXAMPLE OF GOOD PRACTICE
<b>Leading questions</b>	Some people are against buying, selling and using ivory products. Would you buy, sell and use ivory products? (This is encouraging the respondent to answer “no”)	Would you or would you not use elephant ivory for the following reasons ... <ul style="list-style-type: none"> <li>• As a gift for business contact or for government official</li> <li>• As a demonstration of personal taste or fashion sense</li> <li>• To demonstrate social status</li> <li>• As a personal gift to a family member or friend</li> <li>• To preserve history and pass on a longstanding tradition</li> <li>• As a financial investment or strategy to earn money</li> </ul>
<b>Double barrel questions</b>	Would you purchase, gift or use wildlife products such as elephant ivory and Tiger bones?	<ul style="list-style-type: none"> <li>• Would you buy elephant ivory? When? Why?</li> <li>• Would you buy Tiger bones? When? Why?</li> </ul>
<b>Ambiguous questions</b>	Have you or someone you know consumed pangolin scales and other TCM treatments involving wild species in the past?	Have you ever purchased Pangolin scales? If so, did you buy them for yourself or someone else? When did you buy them? When did you use them? Would you buy them again? If so, why?

Table 3

**When writing or reviewing proposed survey questions, the following are critical to help avoid bias:**

- **Frame questions in a fully neutral way.** For example, rather than ask “If a friend/colleague recommends rhino horn when you are out drinking, telling you it will help to reduce your hangover, how likely would you be to use it?” Instead ask: Please indicate which statement relates most to your friends/colleagues: “My friends/colleagues do/do not take rhino horn when drinking” and then ask: “What is your insight into why?”
- **Consider the order of questions/avoid “cross-question influence”.** Subtle examples of this include asking respondents whether they agree that the government should lead in changing IWP behaviour, and then subsequently asking whether the respondents support the upcoming ban on the sale of those products. Or including a large number of animal welfare/environmental protection options against a few others, as the reasons in a multiple-choice response for non-consumption, and then later asking how people feel about cruelty.
- **Clarify terms and language.** In the English language alone, “consumption” can convey purchase, use, gifting, ingestion and inheritance, or other forms of IWP acquisition. Those who buy IWP are not always the same as those who use them, and somebody who reports owning a product may simply have received it as a gift. “Ever ownership” is also a frequent yet unhelpful classification in survey questions, as owning pre-Convention ivory or inheriting a piece from a family member is very different to regularly buying ivory jewellery. Respondents may have several use types for single commodities as well—rhino horn can be in a household to display status, ensure one is prepared in case a loved one needs it to treat a serious illness, ward off “heat in the blood” or cure a hangover. One person in the household may thus have bought the rhino horn, while more than one other may use it.

**It is also worth exploring whether you can pre-test your survey prior to full implementation.**

This can be with a small group of your target audience (around 5–10) in the first instance to ensure the survey flow is correct, timing is not too long, and misunderstandings have been avoided. Ideally, the survey would then be piloted with a larger sample of the target audience, perhaps 10–50 people. Pilot surveys can also be conducted to run power analyses and test

different question formulations, as well as to train a data collection team. However, this is often not practical for those on limited budgets or operating on tight timescales, despite being a common approach in academia and in some commercial circles.

## B SELECTING YOUR SURVEY SAMPLE

There are several ways to ensure the survey sample is appropriately representative of the target audience.



**“Random sampling”** is often seen as one of the most robust methods. This means that members of the target audience have equal chances of being selected for the survey (rather than they are randomly selected). Random sampling is regarded by many as the best approach to selecting the survey sample, but it can be very costly and not feasible on a limited budget.

**A “convenience sample”** can present an alternative in this instance. This is a non-probability sampling technique, where subjects are selected because of their convenient accessibility and proximity to the researcher. However, this can lead to a biased sample, so a more appropriate alternative, might be “stratified sampling”.

**A “stratified sample”** is made up of different “layers” of the target audience, for example, selecting samples, at random, from different age groups. The sample size for each layer is proportional to the size of the “layer”.

### SAMPLE EXAMPLE

#### USING RHINO HORN, A MOTHER’S PERSPECTIVE

If you wanted to understand a mother’s attitudes towards using rhino horn if their children are unwell, you might want to work with hospitals to conduct a survey with mothers of sick children. To make sure the survey is accurate, you will need a range of mothers with children of differing ages (the “layers”). To work out how many you would need from each layer you need to calculate:

*Sample size for each layer = size of whole sample/size of population × size of layer*

The participants from the layers should be selected at random.

Finally, a “quota sample” might also be an option. As with a convenience sample, this is a non-probability sampling method. It is similar to stratified sampling in that “layers” (groups) are developed, and a predetermined number of individuals are sampled within each. However, you do not select the sample at random, and therefore it may not be fully representative of the target audience.

## C WORKING OUT SAMPLE SIZE

Sample size depends on various factors, in particular the homogeneity and size of the overall target audience. Online calculators are available to help determine sample size, such as:

<https://www.surveysystem.com/sscalc.htm>

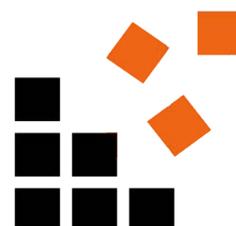


Table 4 provides an indication of sample size in relation to error margins. Error margins are based on an assumed prevalence of a behaviour in a target audience, as a rough indication.

### SAMPLE SIZE AND ERROR MARGINS

RESPONDENTS NEEDED AT ERROR OF +3%, +5%, +10%			
Group	+3%	+5%	+10%
500	345	220	80
1,000	525	285	90
5,000	910	370	100
10,000	1,000	385	100
100,000 +	1,100	400	100

Table 4

Practical choices often have to be made because of available time and budget, depending on the size of your sample. It is worth considering what will and won't be acceptable therefore, when using the data, according to the margin of error implied as a result. Generally speaking, the smaller the sample size, the larger potential margin of error. Sample size should thus be considered alongside ensuring that the sample is appropriately representative of the target audience.

A final note is also made here, regarding “scaling-up” results. Often, the temptation is to scale-up what 10% of 1,000 people tell you, as being representative of 10% of all those in the national population. However, in real terms, this would make 100 people indicative of a broader trend amongst e.g. 1.3 billion people in China. Clearly, such approaches are not a responsible way to represent data and should therefore be avoided. Representative data can indicate wider trends, but there should be a robust statistical foundation for this, which should be made clear alongside associated statements.

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## **D ANALYSING SURVEY DATA** (beyond statistical analysis)



**Common data analysis techniques include:**

- **Frequencies and percentages:** In essence, obtaining frequencies by taking the number of respondents who selected each response choice for a question and computing percentages by dividing these frequencies by the total number of responses to the question.
- **Cross-tabulation:** Computing cross-tabulations to see relationships between responses for two survey questions.
- **Correlations:** Considering correlations that might indicate whether a statistically significant positive or negative relationship exists between two continuous variables.
- **Chi-square:** Typically used with data that falls into mutually exclusive categories (such as gender), rather than continuous numerical data.

- **Filtering:** Selecting a specific subset of data to view. Unlike a cross tabulation, that compares two questions, a filter will allow you to examine all questions for a particular subset of the responses. For example, if women aged 40–50 answered they use rhino horn when they feel unwell, you can look at how they answered other questions and try and find patterns or trends that help define why a person answered the way they did.
- **Regression Analysis:** Determining what factors have led to a particular outcome is called regression analysis. The regression means you're working backwards from the result to find out why a person answered the way that they did. This can be based on how they answered other questions as well.
- **Path Analysis:** Path analysis is a straightforward extension of multiple regression. Its aim is to provide estimates of the magnitude and significance of hypothesised causal connections between sets of variables. All the relationships in the path diagram must be capable of being tested by straightforward multiple regression. The intervening variables all have to serve as dependent variables in multiple regression analyses. Therefore, each of them must be capable of being treated as being on an interval scale.
- **ANOVA:** Used to compare differences of means among more than two groups, by looking at variation in the data and where that variation is found. ANOVA compares the amount of variation between groups with the amount of variation within groups.



## FOCUS ON : QUALITATIVE RESEARCH



Whilst quantitative research assessments through surveys illuminate what is happening, with who and how frequently, qualitative research assessments using other approaches help ascertain why. Qualitative research approaches can include focus groups, and in-depth individual and “pairs/friendship” interviews. All approaches typically involve only small numbers of people, thus percent values do not arise—10% of ten people is only 1 and not a basis for representing your target audience as a whole.

Focus groups and interviews can nevertheless provide important ways through which to generate a much more in-depth picture of the target audience and behaviour than arises through baseline surveys. Discussion can generate important insights into what motivates the target audience, explore ideas and increase understanding around their attitudes, values, habits and lifestyle choices—often beyond those relevant to IWP, which can help to reveal “hooks” on which to “hang” SBCC messaging. Hearing explanations as to why they hold certain beliefs—in their own words—can often be critical in informing choices around key phrases or expressions to use, when small differences can have a big impact in terms of influencing alternative consumer choices and buyer behaviour change.

**As with surveys, there are several aspects to consider when conducting qualitative research:**

## A WRITING QUALITATIVE RESEARCH QUESTIONS



Qualitative interviews usually start with very open-ended questions, and those “non-threatening” in nature. As the discussion continues, further insight can be gained by “probing” some of the initial responses received, by asking “why” questions.

- What few words come to mind when you hear the words Tiger bone?
  - **Probe through a follow-up question:** Why do those words come to mind?

- In the past year, have you seen, read or heard anything in the news related to Tiger products?
  - **Probe:** What have you seen, read or heard? When you heard that message, how did it make you feel? Why did it make you feel like that? Do you think those messages are truthful? Why? Who did the messages come from? Do you trust certain sources of information more than others?

In order to make participants feel more relaxed about the discussion, and comfortable in “confiding” in honest and full answers with the interviewer, “projective questions” can be used for sensitive topic areas such as IWP. For example, instead of asking something that sounds moderately accusatory, such as “Why do you buy Tiger bone?”, ask “why do you think some people buy Tiger bone” or “some people buy Tiger bone, why do you think that is?”

Interviewers (or moderators, for focus groups), may also choose to frame questions around a group, instead of a specific person. For example, asking about the respondents’ peer network, colleagues or familial/social circles, instead of the respondent specifically. Additional approaches that can be incorporated include “iterative questioning”, where the researcher returns to matters previously raised, and extracts related data through rephrased questions.

## WHAT TO AVOID

### WHEN DEVELOPING IWP SPECIFIC RESEARCH QUESTIONS

- Asking questions that emphasize the rarity or high-value of IWP—this may encourage people to buy now while they still can. Similarly, avoid reinforcing a perception of efficacy in TM for IWPs.
- Asking questions that suggest it is either a social norm, or an aspiration, to buy some types of IWP.
- Talking about immorality or shaming the public for buying IWP—this will just make them answer how they think they should answer, as opposed to what they really believe.

## B TACTICS TO IMPROVE HONESTY



All potential participants should elect to be in the research; i.e. they should be given the opportunity to refuse to participate at the start of the focus group/interview, to help ensure data collection only comes from those genuinely willing to take part and prepared to offer responses freely. Participants should be encouraged to be frank from the outset of each session, and the person collecting the data should state from the start:

*“There are no right or wrong answers and everything you tell me is confidential. I am not here to judge in any way, just to hear your views and opinions.”*

The researcher must then stay neutral throughout the interview, and should not give their own opinions or comments positively or negatively to anything the person says, instead just remain interested in what they are being told. This is a skill and qualified professionals should be engaged wherever possible—conservation groups should typically not conduct research of this type.

## C AVOIDING BIAS



Leading on from the above: an impartial interviewer or focus group moderator/facilitator, should be engaged to conduct qualitative research. Although the opportunity to “observe” is often offered, representatives from the group commissioning the research should not be visible to participants (i.e. sitting in the “background”) if they are likely to be identified to as representing a conservation interest.

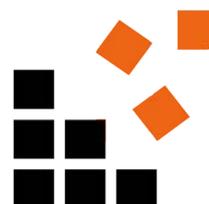
Some research companies offer a more sophisticated service whereby focus groups can be conducted in rooms with a one-way mirror; observers then sit behind the glass unseen.

Careful consideration also needs to be given to how the interviewer or focus group facilitator introduces the research purpose—clearly, it is absolutely necessary to be fully transparent, open and honest with respondents about how their responses will be used, but any ultimate conservation purpose should be framed as neutrally as possible; for example, highlighting

responses will be used to inform SBCC information and education materials, rather than a “Kill the Desire” campaign to save elephants. Those who collect the data should also be distinct from those analyzing it, to help improve the overall integrity of the research findings.

## D GETTING THE RIGHT SAMPLE SIZE

Unlike surveys, there is no formula for working out how many people to engage in qualitative research approaches. Instead, you usually keep interviewing until you keep hearing the same things from respondents. This is called the “**data saturation**” point.



## E DATA ANALYSIS

In order to analyse the data correctly, the interviews should be recorded and then transcribed verbatim. Notes or memory are not a substitute due to the substantial risk of biasing the findings.

Identifying the most overarching common or key themes can present a useful initial entry point.



To do this, review the transcripts more than once and record e.g. what people talked about the most; how themes tended to flow into or relate to one another; and identify what the majority of people are saying. Focusing on what the outliers say could be misleading, unless they are e.g. somebody who has recently stopped or started use of IWPs.

A lot of data can of course be difficult to manage, but software is available to support this. By using a programme, the information attained will always be linked to the source it came from—i.e. so you do not need to remember which interviewee said what. Where translation is required it is worth transcribing the discussions verbatim in the language they were conducted in, and then translating from the transcript word-for-word.

As with the different survey methods, there are pros and cons to the different qualitative methods that might be employed (*Table 5*). An additional consideration is that focus group discussions can often be used to get a feel for “typical” behaviour and motivations, but should be facilitated tightly in order to avoid “Groupthink”—where groups often go off topic.

## PROS AND CONS OF DIFFERENT QUALITATIVE DATA COLLECTION METHODS

METHODS	COST	RESPONSE RATE	TIME
Focus groups	\$\$	High	Moderate
Individual/paired interviews	\$\$\$	High	High

Table 5

### GAINING EMOTIONAL INSIGHT

When developing SBCC messaging in particular, it is helpful to have specific insight into the target audiences' emotions around the issue being addressed. People do not always make rational decisions, but rather more often based on an emotional reaction to something. Therefore, part of formative research should be into which emotional and logical arguments work best with consumers.

#### Examples of some emotional messages developed are:

- Saving elephants is part of protecting the environment. If the elephant is extinct in the future, our environment will be out of balance.
- Ivory comes from elephants and is made from an elephant tusk. As tusks don't fall out on their own like teeth, people kill elephants to remove their tusk.

However, it is also important to mix these emotional focused questions with logical argument questions, in order to improve the quality of insight arising.



### 3 | USING FORMATIVE RESEARCH TO BUILD A “CONSUMER ARCHETYPE”

The data arising through baseline surveys and formative quantitative and qualitative assessments, can subsequently be used to develop a “synthesis” of the IWP consumer. Developing such a “synthesis” is common practice in both social and commercial marketing, and intended to generate a composite personality representing key attributes for the target audience, rather than a real person. Often the “synthesis” is called a “consumer archetype”, but the term “pen portrait” can also be used.

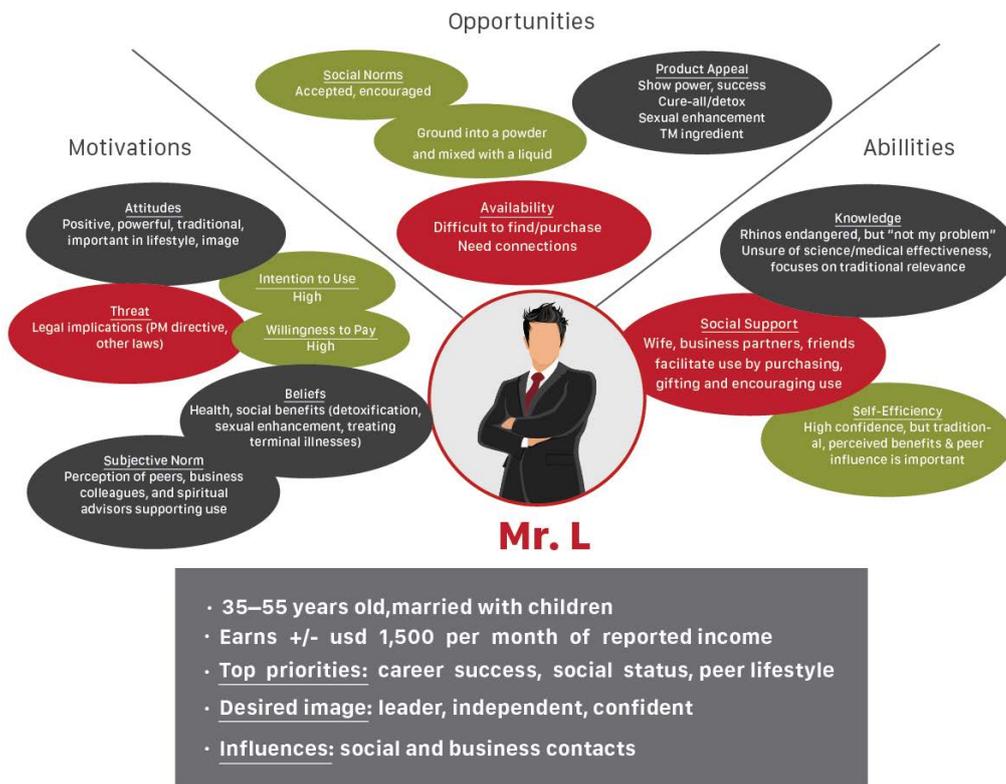
Consumer archetypes are useful in helping to focus the mind around the most effective messaging, messengers and mechanisms to employ in your SBCC initiative. Consumer archetypes should flow from the data to ensure they are fully grounded in the research evidence and embedded in a real facet within the local consumption culture and context. It is often useful for stakeholders from this consumption culture and context to help review draft archetypes to both improve accuracy, but also ensure they are appropriate and respectful, and do not make simple or “snap” judgements about the personalities they represent.

Consumer archetypes typically have a name and an age, and information responding to the following questions (which should therefore be included in formative research approaches):

- Where do they live? Who do they live with?
- What work/study do they do?
- Who is their peer group? Who do they trust? Who do they look up to? Who inspires them?
- What are their beliefs? What are their ambitions?
- What do they like doing in their free time?
- What are their attitudes towards the problem you are addressing (for example, Tiger

product consumption)? Have they bought Tiger products before? If no, why not? If yes, for what purpose? Do they know Tiger product consumption is illegal? If yes, what do they think of this (i.e. good/bad, needed/not needed, etc.)?

- What would motivate them to change their behaviour?
- What social media channels to they use?



## FORMATIVE RESEARCH TO BUILD A CONSUMER ARCHETYPE FOR MALE CLIENTS OF FEMALE SEX WORKERS IN VIET NAM

While HIV prevalence in Viet Nam is relatively low, prevalence among male clients of sex workers is disproportionately high. Frequency of commercial sex is common among Vietnamese men. With funding from USAID, a non-profit organization called PSI developed a behaviour change campaign with a primary goal to reduce new HIV infections among most-at-risk populations, including sex workers and their male clients. PSI conducted formative qualitative and quantitative research to gain further insight into understanding the male client's behaviour of seeking sex with Sex Workers and the key determinants of condom use with female sex workers. The qualitative research was used to compile a profile of the target audience, "Tuan".

“Tuan” was described as a middle-income man in his early 30s who likes to socialize and drink with his friends and while doing so, often has sex with sex workers. While he regrets having sex with them, he feels he cannot resist the social pressure from the group and fears rejection if he does. The program team used “Tuan” to guide their SBCC strategy.

## 4 | A SUMMARY . . .

- Baseline research precedes formative research and the two are distinct processes, but they can be conducted sequentially if desired. While the baseline survey provides the values from which to measure SBCC initiative impact, and initial insights into target behaviours and audiences, formative research will provide a much more detailed picture of the latter in particular. The focus for formative research is to identify the messages, messengers and mechanisms to employ, in SBCC initiative design.
- Numerous methods can be employed in relation to formative research, and several should be. Typically, formative research methods include a mix of secondary data (including past consumer research and academic published or grey literature), alongside a mix of quantitative and qualitative assessments. Quantitative research assessments through surveys illuminate e.g. what is happening and how frequently, while qualitative research assessments using approaches such as interviews and focus groups, help ascertain *why*.
- Ensuring a sample that is both large enough to generate statistically significant data, and representative of the target audience, is critical with quantitative surveys. Avoiding common biases through careful research design (e.g. in terms of question flow, context and similar) and question framing, is also critical in helping to avoid common biases and improve the level of insight and honesty attained in research respondents answers.
- Key questions to ask include those open-ended in nature; in particular;
  - What do you think about... ?
  - Why / what influences your impression... ?
  - How can this be changed... ?

- Baseline and formative research data can be used to develop a “synthesis” of the IWP consumer. This “consumer archetype” is a composite personality representing key attributes for the target audience, rather than a real person, and is a useful step in

## FURTHER INFORMATION

### CONDUCTING FORMATIVE RESEARCH THROUGH QUANTITATIVE AND QUALITATIVE APPROACHES

- USAID Measuring Efforts to Combat Wildlife Crime: A Toolkit for Improving Action and Accountability: [http://pdf.usaid.gov/pdf\\_docs/PA00KQR6.pdf](http://pdf.usaid.gov/pdf_docs/PA00KQR6.pdf)
- Understanding Formative Research; Methods, Management and Ethics for Behaviour Change Communication: <http://www.thehealthcompass.org/sbcc-tools/understanding-formative-research-methods-management-and-ethics-behaviour-change>
- UNICEF – The ORC #2: SBCC Formative Research and Analysis:  
 <http://www.comminit.com/unicef/c-capacity-2.html>
- World Bank Water and Sanitation Program, Sanitation Marketing Toolkit: Formative Research: <http://www.wsp.org/toolkit/conducting-formative-research>
- Discussion Forum on measuring the impact of DR initiatives:  
 <http://www.changewildlifeconsumers.org/forums/forum/monitoring-evaluation/>

## C. CONDUCTING SUMMATIVE EVALUATION TO ASSESS SBCC INITIATIVE IMPACT

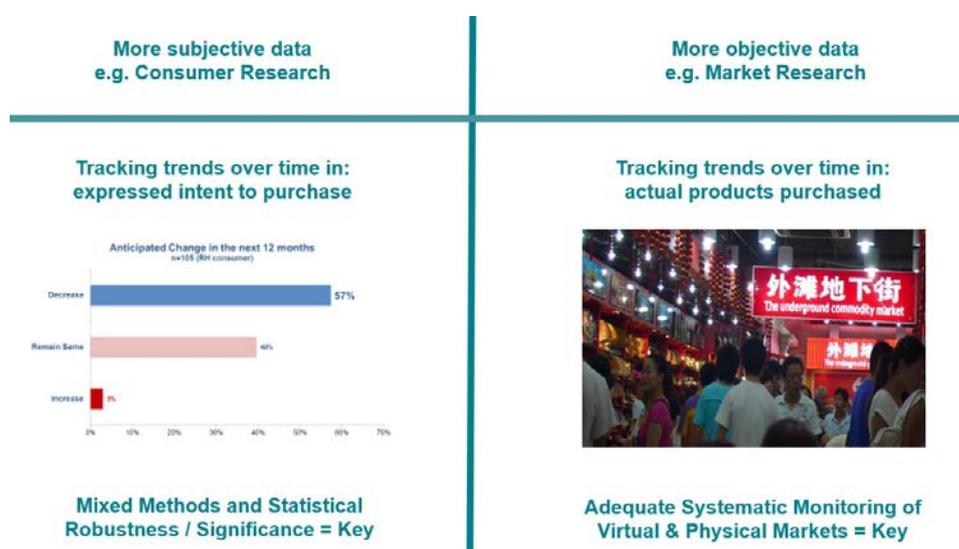
### 1 | WHAT IS SUMMATIVE EVALUATION?

Summative evaluation is research assessing the impact of the SBCC initiative.

Impact should be considered in terms of SBCC initiative “resonance” (i.e. the extent to which the initiative delivered against aims, objectives and ambition, and changed the target audience’s behaviour/influenced knowledge, attitudes, values, intention and practice) not just “reach” (i.e. direct and indirect outreach, as well as social network nodes, ties and pathways of influence).

Summative research should thus primarily seek to generate data that can be compared against baseline values; e.g. regarding the number of people still buying/using, or intending to buy/use, IWP. As for the baseline, therefore, summative evaluation data will often be expressed as a percent value amongst the survey sample. In this manner, values for the prevalence of the consumption behaviour can be compared pre- and post- initiative; ultimately ideally contributing towards a “time-series”.

As with baseline data, summative evaluation should seek to cross reference “subjective” or attitudinal data arising through e.g. consumer research surveys, against that more “objectively verifiable” arising through e.g. market research.



The most expansive summative evaluation processes may also assess impact along the trade route. For example, assess the extent to which changes in key markets for major commodities/IWP are impacting on trafficking and poaching in transit and range States respectively. Increasingly, conservation practitioners seek to move towards this “gold standard”, to test important assumptions around the theories of change underpinning work tackling wildlife crime. This is important but largely beyond the scope of these Guidelines, thus the focus of other papers elsewhere.

This summarises what summative evaluation is. In terms of what summative evaluation does; assessing SBCC initiative impact in terms of “reach” and “resonance” is critical in helping to;

- Assess progress in contributing towards broader conservation impact
- Inform adaptive management refinements of the SBCC initiative
- Attain data for reporting to donors, SBCC initiative messengers/partners and other stakeholders
- Support others in the SBCC Community of Practice to improve efficiencies and enhance impact, by sharing information and evidence about what works and what doesn't in changing IWP consumer behaviour

## 2 | WHEN DO YOU CONDUCT SUMMATIVE EVALUATION?

Summative evaluation is typically conducted at the end of an implementation cycle. This relates to previous remarks regarding when “follow-up” on the baseline should occur.

To recap: annual research is good practice, but may not be feasible within tight budgets and timelines. Thus, every two years may be more realistic. This will also avoid “survey fatigue” in small communities, but may not allow for rapid enough revisions in messaging, messengers or mechanisms if these are required.

### 3 | WHAT METHODS SHOULD BE USED?

As for previous stages, a mix of methods should always be used. In particular, however, it is critical that the element of summative evaluation that will be used to compare progress against the baseline data, should repeat exactly the methods employed in generating that data.

For example, effort should be made to ensure surveys are conducted with people from the same socio-demographic group, in the same locations, using the same questions, at the same time of year, and same methods. This may be challenging to achieve but should be attempted.

**Additional methods to support summative evaluation of SBCC initiative success factors and lessons learned include;**

DATA TYPE	QUANTITATIVE	QUALITATIVE
Data sources	<ul style="list-style-type: none"><li>• Survey</li><li>• Audits</li><li>• Tracking data</li></ul>	<ul style="list-style-type: none"><li>• Stakeholder interviews</li><li>• Individual interviews with members of the target audience</li><li>• Case examples/vignettes</li></ul>

The majority of SBCC initiative delivery cycles and recognized processes, emphasize the importance of evaluation to inform refinements to messages, messengers and mechanisms.

**Some of the graphics illustrating these are presented overleaf to illustrate this and provide sources of further information.**

**FIGURE 1:**  
**THE COMMUNICATIONS FOR CHANGE SBCC C-PLANNING FRAMEWORK**



**Source:** Adapted from Health Communications Partnership, *P-Process Brochure*, CCP at JHU (2003); McKee, Manoncourt, Chin, Carnegie, *ACADA Model* (2000); Parker, Dalrympie, and Durden, *The Integrated Strategy Wheel* (1998); AED, *Tool Box for Building Health Communication Capacity* (1995); National Cancer Institute: *Health Communication Program Cycle* (1989)  
<https://c-changeprogram.org/sites/default/files/SBCC-Framework-%28for%20web%29-10.20.pdf>

FIGURE 2:

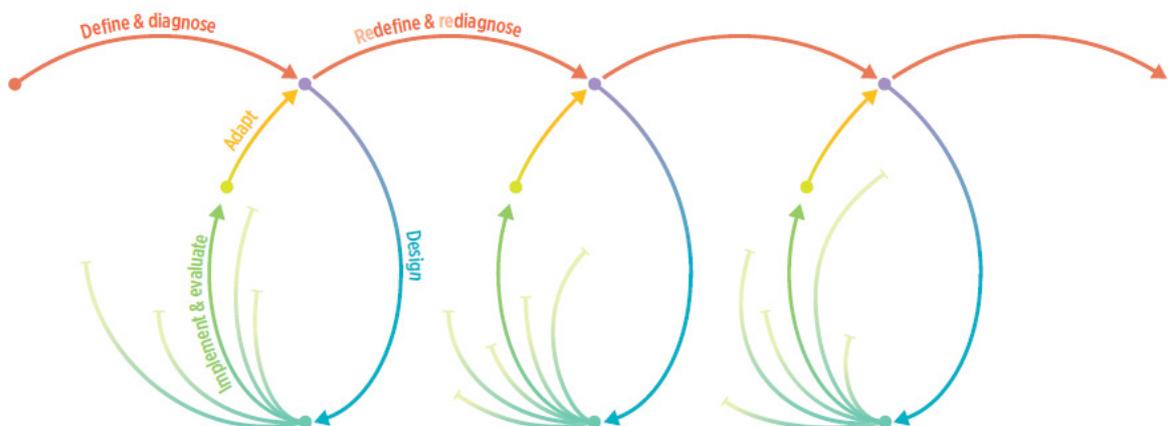
**THE CONSERVATION MEASURES PARTNERSHIP OPEN STANDARDS FRAMEWORK**



Source: <http://cmp-openstandards.org/>

FIGURE 3:

**THE INTERVENTION DESIGN CYCLE, WDR 2015 “MIND, SOCIETY AND BEHAVIOUR”**



Source: WDR 2015 team.

Source: <http://cmp-openstandards.org/>

## 4

### A SUMMARY . . .

- Summative evaluation is research assessing the impact of the SBCC initiative. Impact should be considered in terms of SBCC initiative “resonance” (i.e. the extent to which the initiative delivered against aims, objectives and ambition, and changed the target audience’s behaviour/influenced knowledge, attitudes, values, intention and practice); not just “reach” (i.e. direct and indirect outreach, as well as social network nodes, ties and pathways of influence).
- Summative research should seek to generate data that can be compared against baseline values; e.g. regarding the number of people still buying/using, or intending to buy/use, IWP. As for the baseline, therefore, summative evaluation data will often be expressed as a percent value amongst the survey sample. In this manner, values for the prevalence of the consumption behaviour can be compared pre- and post- initiative; ultimately ideally contributing towards a “time-series”.
- The element of summative evaluation that will be used to compare progress against the baseline data, should repeat exactly the methods employed in generating that data. As with baseline data, summative evaluation should also seek to cross reference “subjective” or attitudinal data arising through e.g. consumer research surveys, against that more “objectively verifiable” arising through e.g. market research.

#### FURTHER INFORMATION

##### SUMMATIVE EVALUATION

- USAID Measuring Efforts to Combat Wildlife Crime: A Toolkit for Improving Action and Accountability: [http://pdf.usaid.gov/pdf\\_docs/PA00KQR6.pdf](http://pdf.usaid.gov/pdf_docs/PA00KQR6.pdf)
- Communication for Change SBCC Toolkit Module 5: Evaluating and Re-planning: [https://c-changeprogram.org/sites/default/files/sbcc\\_module5.pdf](https://c-changeprogram.org/sites/default/files/sbcc_module5.pdf)
- Discussion Forum on measuring the impact of DR initiatives:  
 <http://www.changewildlifeconsumers.org/forums/forum/monitoring-evaluation/>

## CONCLUSIONS AND NEXT STEPS

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**As previously mentioned, these SBCC M&E Good Practice Guidelines are intended to be a “live document” and feedback is welcome from the SBCC practitioners in the Community of Practice, around which aspects are helpful, which are less so and why, and what further information could be provided.**

Additional examples of M&E success factors or lessons learned are in particular welcome. These can be shared through the “Monitoring and Evaluation” Discussion Forum on the Wildlife Consumer Behaviour Change Toolkit in the first instance.

This draft of the Guidelines, as well as the remaining “gaps” identified (notably those around a “Manual” or “How To” resource for additional aspect of the research process, and a technical reference material to prescribe reporting into e.g. CITES mechanisms), will also form the focus of discussion during an “Expert Roundtable” at the Oxford Martin Program on Illegal Wildlife Trade 2017 Symposium. An additional focus for discussion will be how practitioners can be supported further to implement these Guidelines moving forward.

The Symposium will focus overall on “Evolving Perspectives on the Demand for Illegal Wildlife Products” and be held in Oxford, UK, 25–27th September, 2017.

**Questions on any aspect of these Guidelines should be directed to:**  
**[www.changewildlifeconsumers.org/contact/](http://www.changewildlifeconsumers.org/contact/)**

# ANNEX. CONSUMER RESEARCH CHECKLISTS

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## THINGS TO CONSIDER WHEN COMMISSIONING CONSUMER RESEARCH

- 1 | Exploring what other research has already been conducted, or is being commissioned:**  
New research should always seek to fill gaps in knowledge or build on previous insight. Conversations should also be conducted with others in the SBCC Community of Practice in order to reduce duplication, avoid overlap and harmonize approaches and explore synergies where possible. Resources and approaches may be combined between those commissioning research of a similar scope and nature within the same project years or reasonably consistent timeframes.
- 2 | Developing a clear project brief or Terms of Reference (ToR).** The ToR should be used in the tendering process and include background information about the research scope, purpose and context, clarifying clearly the objectives and what the research should reveal. ToR should also specify the resources available to conduct the work. Example ToR are available at: [www.changewildlifeconsumers.org](http://www.changewildlifeconsumers.org)
- 3 | Investigating appropriate costs—**Determining how much you should accept for a proposed cost can be difficult. Being aware of the general market price for similar research can help. It is also important to keep in mind that spending a minimal amount does not mean it is cost efficient. Considerations should focus on quality and research outcomes.
- 4 | Selecting a suitable company.** Different groups specialize in different skills and research areas, and choosing the ones that suit the nature of the project will be important. Conducting some research about the expertise and experience of the applicants and their approach in the market can help when shortlisting which companies to interview.
- 5 | Interviewing the shortlisted applicants.** Once applications are received, shortlisted candidates can be invited to present their proposed approach to taking on the research. This is an opportunity to discuss the nature of the research in detail, and to clarify expectations about methodology, scope, approach, critical path activities and the review and sign-off process anticipated. The applicants should be able to present a sample of their past work, audited accounts and a description of how they will source relevant permissions to proceed

from any State entities relevant to the territory in which the research would be conducted. Ethical considerations and treatments should also be made clear. Discussion can then occur around the written research proposal detailing description of the scope of the research, data collection techniques, other technical specifications, approach to data analysis and reporting, budget estimate and timeframe.

**6 | Securing references or peer review feedback on the applications.** A second opinion might be useful when thinking about company accountability or price negotiation.

**7 | Ensuring a clear written agreement or a contract.** This outlines the responsibilities of the parties (the contractor and contractee), the expected deliverables, mutually agreed timeframe and budget, clarification of term of payment, and other contractual issues. The contract details the term and condition of the research and should provide a basis in which the research is to be conducted and identify any potential disputes.

**8 | Using a 'collaborative approach' with the contractor.** Sometimes, project specifications of the tendering process can limit valuable contribution on part of the independent agency. To ensure high quality outputs, maximize the opportunities to work in developing the research together and encourage suggestions from the researchers for alternative methods. Furthermore, make sure to engage those directly involved in carrying out the research (as opposed to involving only those in high managerial position who may have minimal interaction in the actual implementation) from the start of research planning period if possible.

## FURTHER INFORMATION

### WHAT SHOULD YOUR RESEARCH PROVIDE INSIGHTS INTO OR REVEAL?

- Further understanding around the social profile of buyer, user and intender groups, as well as those that influence them: in particular, considering psychodemographics, socio-economics, lifestyle choices beyond those just in relation to wildlife product consumption.
- Understanding of the candidate target audiences' awareness, knowledge, intention and attitudes towards consumption generally, as well as specific wildlife products i.e. the perceived values and benefits of these products, plus wildlife conservation issues more broadly.

- Identification of the usage or buying intentions, including reactions to product pricing: what are the key drivers or barriers to product purchase? What are the motivations to use or the perceived utility of wildlife products? What determines perceptions of quality and what are the key product attributes sought, where, how frequently and why?
- What messaging would influence buyer, user and 'intender' groups to not consume - can ten message options be tested, to ascertain which one is perceived to be influential?
- Identification of the triggers (be they situations, circumstances, people or otherwise) for purchase and use i.e. when, where, how often and how the products are used or bought.
- Identification of influencers of buyer, user and 'intender' groups: who are their circle of influence and when, where and how their usage or purchase are determined?
- The most effective means of communication for target audiences. What are their preferred communication channels, including mass and social media, and face to face?
- Understanding of their lifestyles and values including, for example, their ambition and aspiration, peer group, and spiritual beliefs such as those around wildlife products.
- Understanding of the motivations and obstacles for their behaviour change; can a 'barriers and benefits' analysis be conducted in line with social marketing approaches more broadly?
- Identification of possible alternatives that could be promoted to buyer / user and 'intender' groups instead of illegal wildlife products.

## QUESTIONS TO ASK A POTENTIAL RESEARCH COMPANY

- 1 | **Does the company have offices or native speaking staff** in all the countries in which the survey is required? If not, how will work be managed and what will be expected from the Partnership and/or Project Manager (PM)?

- 2 | Can a guarantee be given to the management** of what's necessary with securing the relevant permits and government authorisation? Will anything be expected of the Partnership/PM in this regard?
- 3 | How will it be ensured that the survey will generate 'significant' insights?** I.e. in terms of ensuring, the use of a mix of methods – e.g. quant and qual component and adequate sample size that would be representative of the target audience and statistically significant in a country the size of e.g. China?
- 4 | How will the sample be selected?** I.e. What parameters are anticipated at this stage (i.e. age/income/urban-rural locations, etc.) and how much guidance will be expected from the Partnership/PM to refine these?
- 5 | What efforts will be made to quality-assure the integrity of self-reported responses?** I.e. What consideration will be given to e.g. cross-question influence; question framing; translation issues arising from potentially ambiguous terms or response categories; regression analysis processes; etc.
- 6 | Aspects of the consumption of some wildlife products** may be 'passive' in nature on the part of the actual consumer – i.e. the person who ingests the product. How can the survey or sample be designed to accommodate for this?
- 7 | If there were challenges conducting telephone/internet-based quantitative assessments,** how would the methodology be adapted as a result?
- 8 | The provision of raw data,** as well as a written narrative report, rather than a generic PPT based set of recommendations regarding communication approach that could be adopted as a result of the findings will be expected. Furthermore, it is anticipated that at least one round of review and refinement will be required on the final report. Are there any changes that need to be made to the bid as a result of these specifications?
- 9 | A body of research and recent survey on the consumption of wildlife products in target markets exist already.** How will the existing information be utilised or built on? Are there any cost savings as a result taking existing research into account?accommodate for this?

**TRAFFIC**  
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