



# Ethical Aspects of Fieldwork

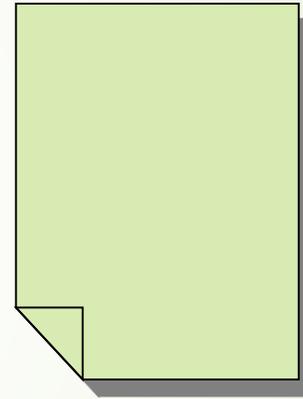
(with a focus on participatory research)

Michael Schönhuth, University of Trier © 2020

# Warm-Up Exercise

“This is where I  
call home”  
(mein  
Zuhause)

- Get a picture/ a visual impression:



- Topic: „This is where I call home “
- Material: Piece of paper,
- Time: max. 5 minutes
- no definitions, just a rough picture !

# I. Before You Start Field Research

## Tips:

- *Review the existing empirical (field) literature on your topic*
- *What were the limitations of those studies?*
- *What were the problems they faced?*
- *Will you be able to avoid the same?*

- ▶ When we *choose a research question*, that very *opening move* contains ethical concerns. These ethical concerns are directed primarily towards our *general audience* for whom this study will be of interest.
- ▶ How can we predict some of the possible ethical pitfalls before we even start our research endeavour?. (PERCS 2018)

# Prediction of Possible Threads

## Responsibility to Yourself

**Tip:**

There are *Risk Assessment sheets* with questions in form of *checklists* online, which can be answered to be aware of security measures to be taken; f.ex.:  
School of Anthropology  
(University of Oxford):

[https://anthro.web.ox.ac.uk/sites/default/files/anthro/documents/media/risk\\_assessment.docx?time=1561457271](https://anthro.web.ox.ac.uk/sites/default/files/anthro/documents/media/risk_assessment.docx?time=1561457271)

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- *Ethnographic research has its adventures and fascinations. But it also poses specific risks for researchers.*
- *Make a thorough risk assessment before entering into longer field research to places you don't know good enough, to predict such risks!*
- *"If dangers come to pass that might gravely affect one's physical or psychological health, responsibility towards oneself means that one should seriously consider terminating the research"* (<https://www.medicalanthropology.de/english/ethics/>)

# Anticipating Harms

## („Do-No-Harm“)

### Exercise:

- Take your own or a hypothetical field project
- Hypothesize *one worst-case scenario* which could happen through your presence/research steps in the field. How might you deal with them?
- Then *develop* less dramatic and *more realistic scenarios*. How might you deal with them?
- It might help to place yourself in various roles in the social setting, playing the role of the participant (a child, mother of 4 kids, minority member, homeless person) and not just the researcher. (PECRS 2018)

### Good reads:

- *Do-No-Harm*-prerequisites in anthropological research: cf. AAA 2012 <http://ethics.americananthro.org/ethics-statement-1-do-no-harm/>.

- “Among the most serious harms that [one] should seek to avoid are *harm to dignity, and to bodily and material well-being of people*, especially when research is conducted among *vulnerable populations*.”
- When it conflicts with other responsibilities, *this primary obligation can supersede the goal of seeking new knowledge* and can lead to decisions to not undertake or to discontinue a project.
- Determining harms ...must be sustained throughout the course of any project.“ (AAA 2012)
- → Try to anticipate the long-term effects of your research on individuals or groups
- → Avoid undue intrusion!
- → *Bother, even if your informants won't!*

# The Ethics of Reciprocity

*Together in the restaurant:*



*Are you paying jointly (one bill for all) or separately?*

*Which rules do apply, where & when?  
In Germany? In your country/ other  
countries*

- When doing fieldwork, we are not only asking people to take time to work with us, we are also asking them *to trust us*.
- Each relationship we build with an informant is different, but all are *implicitly reciprocal*.
- Identifying exactly what our obligations are to our informants is perhaps the most crucial step we take in ensuring we act ethically. (PERKS 2018).
- *Think Point: What sorts of reciprocity do you know?*

# The Ethics of Reciprocity

*If you are invited to somebody's home?*



 <https://creativecommons.org/2017/09/05/invitation-join-cc-open-education-platform/>  
[https://d15omoko64skxi.cloudfront.net/wp-content/uploads/2017/09/6476689463\\_affd5e415b\\_z.jpg](https://d15omoko64skxi.cloudfront.net/wp-content/uploads/2017/09/6476689463_affd5e415b_z.jpg)

*Which rules do apply, where, when?*

# The Ethics of Reciprocity

The sociocultural dimension of people's participation in community-based projects:  
The system of owed gratitude - „*utang na lob*“ in the Philippines



Factory laborers quarters, with cane areas  
of Hacienda Luisita 1929 Andrew

Migneault, Public Domain, 

<https://commons.wikimedia.org/w/index.php?curid=82932350>

- Hierarchical system of mutual, often lifelong, but informal *relationships of favor and obligation* between a *patron and his clients* – *translated by locals* to development experts and institutions (reciprocity offer: ‘*participation*’ of the clients in project activities for ‘*lifelong*’ social caretaking & favours by the project)
- *consider the consequences for clients when the project ends, and researchers / experts leave the country...*

Source: Teves, Lurli. 2000. The sociocultural dimension of people's participation in community-based development: the role of patron-client system in the Philippines. Witzenhausen.

# The Ethics of Reciprocity

## Obligations to Informants

### Good reads:

- On ethical implications of being offered a stolen gift. Stone, Rose: „Hot Gifts.“ Ethical Dilemma. Stones Response and readers discussion  
<https://www.americananthro.org/ParticipateAndAdvocate/Content.aspx?ItemNumber=1809>
- On ethical implications of a “Shared Cultural Ownership“ cf. . La Folette, Laetitia (ed.) 2014: Negotiating Culture. Heritage, Ownership, and Intellectual Property. Boston: University of Massachusetts Press.

### Buzzgroup:

- *The Golden Rule principle of treating others as you want to be treated applies to most ethical questions, but here it is particularly useful as a starting point:*

### Buzzgroup:

- *What would be a fair return for assistance?*
- *If you were the informant, what would you expect from the researcher you were working with?.....:*
- *Direct Compensation?*
- *Maintenance of contact after project ends?*
- *To share all data with you?*
- *Others you know or have heard of?*
- *Did they work?*

# Unethical reciprocity offers: Gender and Fieldwork Access

## Trying to do fieldwork in an androcentric-dominated environment

(Diss.: Johnson, Lisa. (forthc.) Moves, Spaces and Places: Roots, Pathways and Trajectories of Jamaicans...)

- *“However from the beginning of my research phase I faced major difficulties in **approaching men as a female researcher.***
- *It was complicated to... talk to men – asides from discussions surrounding their careers – or to build up trustworthy professional relationships in general. Men will small talk about work or hobby-related topics, but it was **impossible to discuss private aspects of their lives openly.***
- *It was extremely hard to get contact with men in **semi-public social spaces** without **being flirted or ensnared** in the androcentric-dominated [world].” [‘Tit-for tat’-offers]*
- **Think Point:** *how would you have (re)acted in her place as a female researcher in the field?*

# Rights to confidentiality and anonymity

## Tips:

- *Researchers should take appropriate measures relating to the storage and security of records during and after fieldwork;*
- *Researchers should use - where appropriate - the removal of identifiers, the use of pseudonyms and other technical solutions in field records and in oral and written forms (whether or not this is enjoined by law or administrative regulation! (ASA 2014)*
- *Care should be taken not to infringe uninvited upon the 'private space' (as locally defined) of an individual or group.*

- “Informants and other research participants should have the right *to remain anonymous* and to have their *rights to privacy and confidentiality* respected.
- However, privacy and confidentiality present *ethnographers, working across cultures*, with particularly difficult problems, given *the cultural and legal variations* between societies
- Also there are various grades in which the *research role of the ethnographer* may be realized by some or all of participants or *may even become 'invisible' over time.*” (ASA 2014)

# Public Space – Private Space

*Human Universal – cultural variations*



Funeral procession of Buddhist monks before lighting the pyre for cremation in Don Det, Laos Basile Morin © CC BY-SA 4.0



Christian funeral procession by car in Brighton and Hove, East Sussex, England, 2009 © Public Domain

*? Think Point: Did you come across situations, where you encountered surprising “unusual” borders between public and private/personal spaces working across cultures?*

# Rights to confidentiality and anonymity

## Local Traditions - Ethical Dilemmas – Buzz Group



© Schönhuth 2002 (South India)

- You are on a walk back from an interview in one of the villages that opened up their doors for your field research.
  - You come across this hut, near the village garbage dump. Inside there is a young mother with her newborn child. *You are irritated!*
  - Your key informant explains, that this is a postnatal seclusion hut, where the woman – according to the local tradition - has to spend three months separated from the community, because of her *'impure condition'*. Some villages have left the tradition, in others, like yours, village elders are strong to keep it against *'modernist influences'*.
  - You know a journalist in town who regularly blames local politicians for not doing anything against women's rights violations in the countryside.
- *Should you inform the journalist? Should you go to the police; Should you discuss the topic with the local elders? Or should you respect your hosts and their morals and keep silent?*
- *Think of the consequences for the different stakeholders involved. Are there behaviour alternatives?*

# Rights to confidentiality and anonymity

## Think Points:

- What could be “overriding ethical reasons” not to honour guaranteed confidentiality?
- Can you think of actors for whom it might be especially difficult to guarantee privacy without so distorting the data as to compromise scholarly accuracy and integrity?
- Do you know cases, *where anonymization failed?*

- *“If guarantees of privacy and confidentiality are made, they must be honored - unless they are clear and overriding ethical reasons not to do so.” (ASA 2014)*

## Good reads:

- On the issue of anonymisation of research partners. Sue-Ellen Jacobs, “Case 6: Anonymity *Revisited*”: <http://ethics.americananthro.org/ethics-statement-3-obtain-informed-consent-and-necessary-permissions/>:
- and: “Case 5: Anonymity *Declined*,” in Handbook on Ethical Issues in Anthropology, ed. Joan Cassell and Sue-Ellen Jacobs, <https://www.americananthro.org/LearnAndTeach/Content.aspx?ItemNumber=12923&RDtoken=16518&userID=5089&navItemNumber=731>.
- PERCS 2018. Ethical Hypothetical #18: Under- aged Drinking (embarrassing revelations). <https://www.elon.edu/u/academics/percs/resources/ethics/scenarios/>

# Pseudonymization and Anonymization

## Tips:

- *the anonymity of critical questionnaires (this includes options for answers regarding the refusal of a measure requested by the government) is urgently required;*
- *if necessary, even the re-identification of interlocutors for subsequent interviews has to be eliminated.*
- *If repeated studies have been explicitly requested, the questionnaires have to be accordingly 'depoliticized.'* (AGEE 2001)

- “It is no problem to mention the name of a silversmith and his village in a research report about kinds of silver jewelry.
- If one deals with the relationship between a community and a nation as a whole, it might be necessary to maintain anonymity of whole towns – if not to change the geographical locations (e.g. Syria, Morocco, Afghanistan, Sudan, Iran, etc).
- A town of 2,350 inhabitants and 20% Christians as well as 10% Druses will be identified by the national secret intelligence agency within 10 minutes. If one adds a quotation by a sixty-year-old village sheikh who criticizes the government, the expert is likely to cause this person to be imprisoned very quickly.
- Possibly, one could conceal important, though compromising statements by representatives of target groups as ‘general ‘scientific results’.” (AGEE 2001)

# Learning Local Norms of Conduct



Christian communion in Frankfurt © CC

- As fieldworkers, we are guests in someone else's community, and we should be attentive to the etiquette that governs their interactions.
- We could unintentionally alienate our potential participants by violating certain local customs, such as talking to children prior to getting their parents.' consent, or "talking shop" in a local tavern where workers go to leave their working day behind.
- How can we ensure that we are aware of local norms for behavior? (PERCS 2018)

- →Ethics Dilemma Group Exercise



## Ethical Dilemma: whether or not to participate in a religious ceremony that you are observing

### **Buzz Group: Evaluating the Options**

- What are the degrees of harm that will ensue if you choose one path or the other?
  - Is sitting quietly less risky than joining in?
  - Or vice versa?
  - Can you avoid an either/or dilemma and identify a compromise that allows you to avoid offending either side? (PERKS 2018).
- You are working with a local church congregation and are present during many of their religious ceremonies. You are not a member of the church. Everyone is clapping and singing while you sit quietly in your pew. Eventually, everyone moves to the altar to accept communion.
  - You don't want people to think you do not approve of the way they worship, nor do you want people to think you presumptuous by participating.
  - Do you participate in the ceremony by clapping and singing and eventually receiving communion?
  - Or do you remain a quiet and detached observer? (PERKS 2018)
  - *Evaluating the options ; Fieldworkers weigh in, see:*  
<https://www.elon.edu/u/academics/percs/resources/ethics/scenarios/>

# When do you need an ethics vote from DFG? (So far...)



- For the social sciences (sociology, political science, economics, social and cultural anthropology, educational science and related subjects), the submission of an ethics vote is generally required *if patients are involved* in the study
- An ethical statement is expected, and a vote of ethics may be required, if: the investigation involves *vulnerable groups*, such as persons with reduced ability to give consent. Source: [https://www.dfg.de/foerderung/faq/geistes\\_sozialwissenschaften/](https://www.dfg.de/foerderung/faq/geistes_sozialwissenschaften/)
- *This will change... (new EC GDPR 2018; ERC guidelines) !!!*

# EC/ERC Ethics Self Assessment (2019)

## 2.1 Ethics issues checklist

Section 2: HUMANS	YES/ NO	Page	Information to be provided	Documents to be provided/kept on file
Does your research involve human participants?	<input type="checkbox"/>	<input type="checkbox"/>	1) Confirm that <b>informed consent</b> has been obtained.	1) Informed Consent Forms + Information Sheets.
If YES: - Are they volunteers for social or human sciences research?	<input type="checkbox"/>	<input type="checkbox"/>	1) Details of the recruitment, inclusion and exclusion criteria and informed consent procedures.	1) Copies of ethics approvals (if required).
- Are they persons unable to give informed consent (including children/minors)?	<input type="checkbox"/>	<input type="checkbox"/>	1) Details of the procedures for obtaining approval from the guardian/legal representative and the agreement of the children or other minors. 2) What steps will you take to ensure that participants are not subjected to any form of coercion?	1) Copies of ethics approvals.
- Are they vulnerable individuals or groups?	<input type="checkbox"/>	<input type="checkbox"/>	1) Details of the type of vulnerability. 2) Details of the recruitment, inclusion and exclusion criteria and informed consent procedures. These must demonstrate appropriate efforts to ensure fully informed understanding of the implications of participation.	1) Copies of ethics approvals.
- Are they children/minors?	<input type="checkbox"/>	<input type="checkbox"/>	1) Details of the age range. 2) What are your assent	1) Copies of ethics approvals.

- **Ethics is given the highest priority in EU funded research:** all the activities carried out under *Horizon 2020* must comply with ethical principles and relevant national, EU and international legislation;
- Consider that ethics issues arise in many areas of research (also social sciences, *ethnography*, etc.);
- If your proposal raises one of the issues listed in the *ethics issue checklist*, you must complete the *ethics self-assessment*;
- **Ethics also matter for scholarly publication.** Major scientific journals in many areas will increasingly require ethics committee approval before publishing research articles;
- Consider involving/appointing an *ethics* adviser/advisory board.

➤ [https://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/ethics/h2020\\_hi\\_ethics-self-assess\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf).

# EC/ERC Ethics Self Assessment (2019)

## Informed consent

Participants must be given an *informed consent form* and detailed *information sheets* that:

- ▶ are written in a language and in terms they can fully understand
- ▶ describe the aims, methods and implications of the research, the *nature of the participation and any benefits, risks or discomfort* that might ensue
- ▶ explicitly state that participation is voluntary and that anyone has the right to refuse to participate and to withdraw their participation, samples or data at any time — without any consequences ...

Participants *must normally give their consent in writing* (e.g. by signing the informed consent form and information sheets).

- ▶ *If consent cannot be given in writing*, for example because of illiteracy, *non-written consent must be formally documented and independently witnessed.*

## EASA's Statement on *Data Governance* in Ethnographic Projects (2018)



*Good reads:*

- “*Informed Consent*” in anthropological research: <http://ethics.americananthro.org/ethics-statement-3-obtain-informed-consent-and-necessary-permissions/>;
- The debate on “*Informed Consent Without Forms*”: C. Fluehr-Lobban (1994): Informed Consent in Anthropological Research: We Are Not Exempt. *Human Organization* 53 (1): 1-10.

- 1. Ownership: *Ethnographic materials are coproduced [...]. A such, they cannot be fully owned or controlled by researchers, research participants or third parties.* The use of standard intellectual property licenses and protocols may not apply to all ethnographic materials.
- 3. Consent: Ethnographic participation in a social milieu can lead to *situations [for which] it is often impossible to obtain prior informed consent.* [...] In contexts of violence or vulnerability, written consent may violate research participants’ privacy and confidentiality, and even put them at risk.
- 4. Custodianship: Researchers have a scientific and ethical responsibility [...] that is usually negotiated with research participants. These *forms of custodianship [...] cannot always be anticipated or pre-formatted.*

## Modifying the Informed Consent Process in Ethnographic Studies

### - The Oral Consent Card – University of Virginia Vice Presiden for Research

“...where the participant may be uncomfortable with a form and/or unable to use it, the **Oral Consent Card** provides all of the elements required for consent in a bullet format so that the researcher can refer to each point as he or she is obtaining consent from the participant.”

<https://research.virginia.edu/irb-sbs/consent-templates>

#### PLEASE MAKE SURE THAT:

- People understand they are taking part in a research project. They understand what you are asking of them, and they freely consent to participate. You have their permission to use the information you gather about them in the ways you intend.
- People understand what kinds of information you are collecting and what materials you will be carrying away from your interactions with them. They understand how the information will be used in your study and if there is a possibility that the information will be used in future studies.
- People know when you are collecting personal identifying information about them and that you will respect their wishes to have their identity acknowledged or kept confidential.
- People understand the risks they incur in participating in your research and what you are doing to minimize them.
- People know whether their involvement in your research brings them any benefits.
- People know they can opt out of your study at any time, and that they can request that any materials implicating them be destroyed. They know they are free to remain silent any topic.
- People know that there is someone they can ask if they have any questions or concerns about your research. You should provide them with your contact information, your local advisor's contact information (where applicable), and the IRB-SBS contact information (where applicable).

<https://research.virginia.edu/sites/vpr/files/SBS%20Consent/IRB-SBS%20Oral%20Consent%20Card.docx>

## Ethical Dilemma: Ethnography & Local Institutional Review Boards (IRBs)

- *"My analysis highlights how being an ethnographer entails deliberate and methodical forms of **surrendering to the unpredictable and the unexpected**. Such an apprenticeship (...) entertains a complicated relationship with the **growing hegemony of the research protocols of audit cultures**.[...]"*
  - *Responding (and being held accountable for my answers) to questions that presuppose methods that do not belong in what I consider sound ethnographic practice has required making difficult moral and scientific compromises."* (Donzelli 2019, 17f)
- February 16, 2015, a new message appears in my electronic mailbox. I skim it quickly. A paragraph immediately catches my eye:
  - [...] *We would need to know more specifically about the ethnographic interviewing — how will you recruit participants, what will you tell them about your work, what are the possible risks for participating [...]*
  - In the follow up "Checking In On Your Research Study" emails I receive from my University's IRB, I am periodically asked to fill in the "Continuing Review of Ongoing Research Form," which contains a set of simple and straightforward questions such as:
  - *"Have you started recruiting participants? If so, detail how many.*
  - *Have any participants withdrawn from the study? If so, detail how many and reason for withdrawal, if known.*
  - *Have there been any changes to your protocol? If so, re-submit the protocol with changes indicated, and any modified informed consent and/or assent forms.*
  - *Have there been any complaints, unexpected events, or protocol deviations related to the research? If so, detail them here."* (Donzelli 2019,2)

### Good read:

- Donzelli, Aurora. 2019. Discovering by Surrendering: for an Epistemology of Serendipity. Against the Neoliberal Ethics of Accountability. In: *Antropologia*, Vol. 6, Numero 1 n.s., aprile.
- <https://www.ledijournals.com/ojs/index.php/antropologia/article/download/1529/1425>

# From Known knowns to unknown Unknowns

*The Ethnographic Experience – How to grasp the emic point of view*

## Johari Window

	Known to self	Not known to self
Known to others	Arena	Blind Spot
Not Known to Others	Façade	Unknown

- **Unknown unknowns:** How is our research design *leaving us open to surprise*, to learning something *unexpected*, to understanding our topic *from the various perspectives of the people in the community we are studying?*
- → *the emic point of view...*



Donald Rumsfeld Former secretary of State , USA © cc

Watch the Rumsfeld video on known knowns and unknown unknowns on youtube: <https://www.youtube.com/watch?v=REWeBzGuzCc>



# The emic point of view



[http://commons.wikimedia.org/wiki/File:Fraum%C3%BCnster\\_-\\_Chagallfenster\\_-\\_Grossm%C3%BCnster\\_-\\_Stadthausquai\\_2010-09-03\\_19-30-44\\_ShiftN.jpg](http://commons.wikimedia.org/wiki/File:Fraum%C3%BCnster_-_Chagallfenster_-_Grossm%C3%BCnster_-_Stadthausquai_2010-09-03_19-30-44_ShiftN.jpg)



[http://commons.wikimedia.org/wiki/File:Fraum%C3%BCnster\\_-\\_Chagallfenster\\_2010-08-27\\_17-04-16.JPG](http://commons.wikimedia.org/wiki/File:Fraum%C3%BCnster_-_Chagallfenster_2010-08-27_17-04-16.JPG)

- „*Studying culture is like studying a church window: From the outside you can analyze its setting, demarcations, structure, form, components, texture.*
- *But only from the inside you will understand its stories, its meaning, and the reasons, why people are touched by it ...“ (Ghanain Proverb)*
- *Do you know of, or have you already taken use of a research approach, which allows for such an „emic“ perspective?*

# How we can open up our minds for the unknown unknowns

## *The “Art” of Abductive Reasoning*

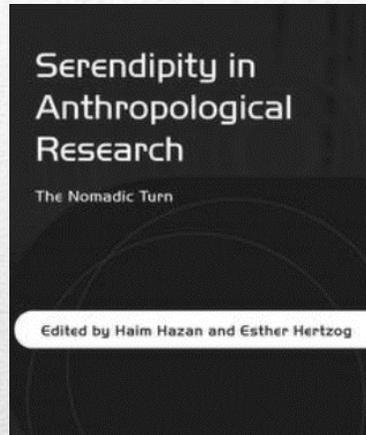


Reichertz, Jo. 2009. Abduction: The Logic of Discovery of *Grounded Theory*. Forum Qualitative Research 11, 1, Art. 13. <http://www.qualitative-research.net/index.php/fqs/article/view/1412/2902>

- *“The liberation from the current pressure to act is the basic condition without which the boat will not get into motion [...]. “The sailor does not take with him on his journey: his previous knowledge of an interpreted world. What remains on shore are the firm convictions of the constitution of nature, of sociality and also of logic. Only perceptions are taken along on the journey, not their hitherto proven interpretation”*
- *Beyond deductive and inductive reasoning: at the beginning there is surprise or even real shock, that one's own explanatory patterns can no longer be viable and guide action in the field - as a prerequisite for the valid discovery of the ‘new’...* (Jo Reichertz 2014: 57).

## Time & Serendipity

*"A (field research?) project starts with the project doing nothing"*



Serendipity:

“the occurrence of an unplanned fortunate discovery“ *(also seen as a potential design principle for online activities that would present a wide array of information and viewpoints, rather than just re-enforcing a user's opinion”...)*

<https://en.wikipedia.org/wiki/Serendipity>

- At the end of the 1990s, an experienced project manager published a paper entitled: *"A project starts with a project doing nothing"*. A newly launched project should not spend money or pursue project goals, but only arrive, listen, learn and establish networks locally, so that by the end of the first year decisions could be made, how to adapt or reformulate original goals.
- The message: program work in culturally unknown contexts has the best chance of success if in the beginning the pressure to act and the outflow of funds is removed from the system and a position is adopted which makes incomprehension a prerequisite for new insights...
- *How realistic is that in your research setting?*
- *Do you know methods which try to combine “rapid” and “relaxed”?*

# What and how much can we promise?

## Tips:

- One way to *avoid one-time guarantees* is to ensure that you *don't engage in one-time fieldwork*. In other words, your work with participants should generally extend beyond a single interview, even if it simply means a thank you note or a follow up phone call.
  - Maintaining some degree of contact makes it much easier to alert participants to any important changes in the project.
  - There will also be times when the research focus changes but you feel it does not affect the initial consent that participants gave. *Before assuming too much*, you may want to *check with one or two of your closest participants*. (PERCS 2018)
- In our *“informed consent”* statements, we often outline what participants will be asked to do, what they will receive in exchange, and how we will protect their confidentiality.
  - But as the conditions around us change, we may discover that we cannot adhere to all of the things we promised.
  - Further, it may become evident that we have discovered new questions that are more central to our understanding.
  - How can we keep our participants abreast of our current thinking and the shifts in our research questions or practices? How can we think of *“informed consent”* as being an *ongoing process of negotiation* rather than a one-time guarantee? (PERCS 2018);

# Representation of Researcher's Identity

## Tips:

- Before going into any fieldwork site, think carefully about how you will present yourself. Even in situations where you present yourself at face value, you'll need to think about how to describe what you're doing.
- Practice your introduction before entering the field.
- Not revealing your researching role might be most appropriate, if you "*study up*" (elite) power structures (cf. Laura Nader.1974. Up the Anthropologist).

- Researchers in "*underground*" settings, but also in *investigative elite research* have often disguised their identities or purposes ("*wallraffen*"): someone studying radical political groups may not be accepted as a researcher, but might be welcomed if they posed as a new recruit.
- *Is this deception ever warranted?*
- *Are there ways we can gain the information we need without hiding our purposes?*
- (PERCS 2018); Examples: IBM-organizational ethnography; Witchcraft in Northern Ghana (Schönhuth)

## Learning Local Needs and „Giving Voice“

- Have you identified any problems in the community that might usefully be addressed by your work?
- Are people in the community already working to solve particular problems that your research can contribute to?
- *How can your research give voice* to groups of people who have not been heard before? *Are there ways for you to get their voices heard?* (PERCS 2018)

- Learning local knowledge and service needs: As we work within a community, we may discover things that the community itself does not recognize in any systematic way, but which could be improved with our knowledge/help.
- How can we make our work useful to those we work among, who can most effectively put this new information to positive use? (PERCS 2018)

# Participants Involvement

## Participatory Research Methods

- *Participatory Action Research (PAR)*
- *Protagonist Driven Ethnography*
- *Community-Based Participatory Research (CBPR)*
- *Participatory Video /Photovoice*
- *Reality Check Approach*
- *Participatory Rural Appraisal*
- *...and more*

Think of the following expressions:

- *Test Person (german: "Proband")*
- *Interviewee*
- *(Key) Informant*
- *Interlocutor*
- *Research Participant*
- *Research Collaborator*
- *Co-Researcher*
- *Principal Researcher*
- **Which roles are associated with them?**
- **What kinds of research approaches do you know, that try to involve participants?**

# PART II: Into The Field

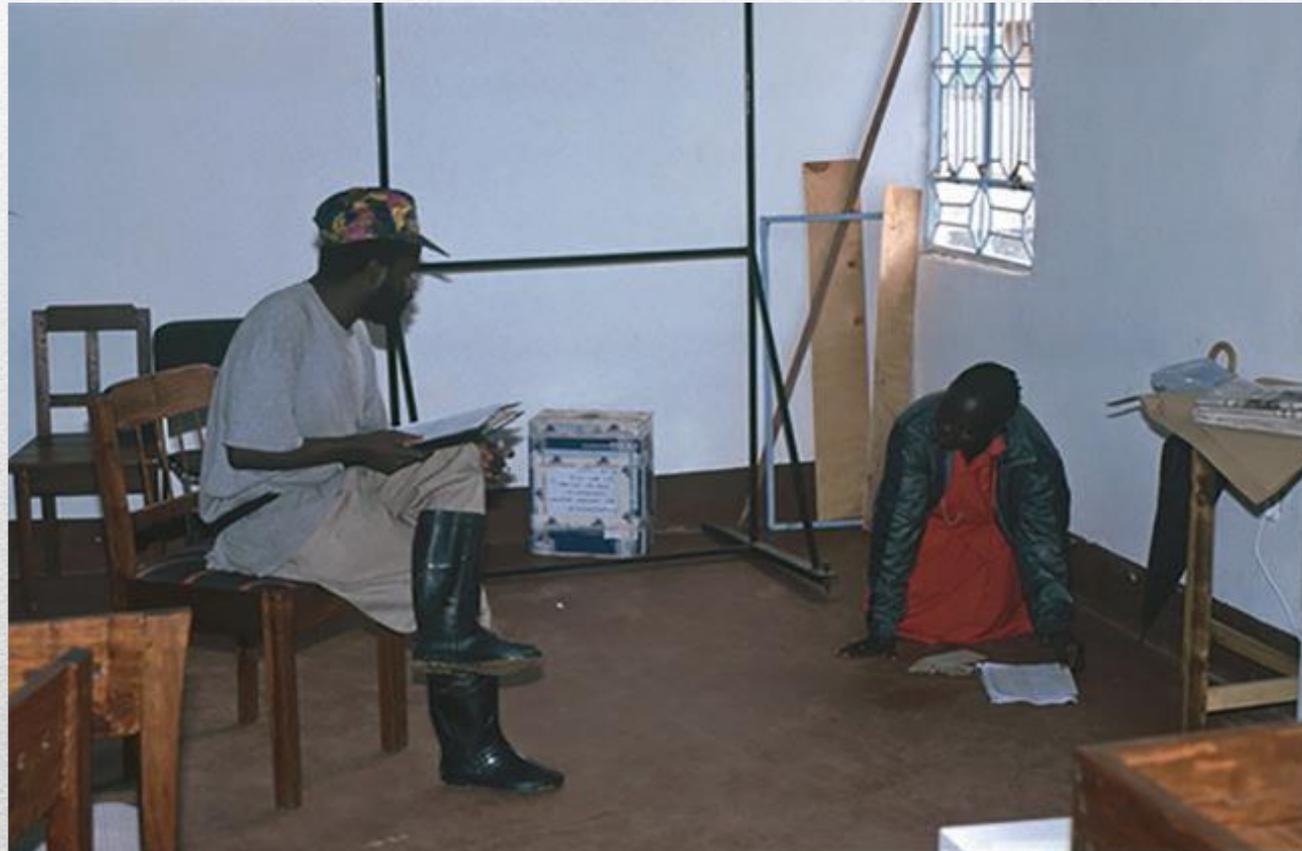
## Participatory Methods in Community Based (Agricultural) Research



© Schönhuth 1997

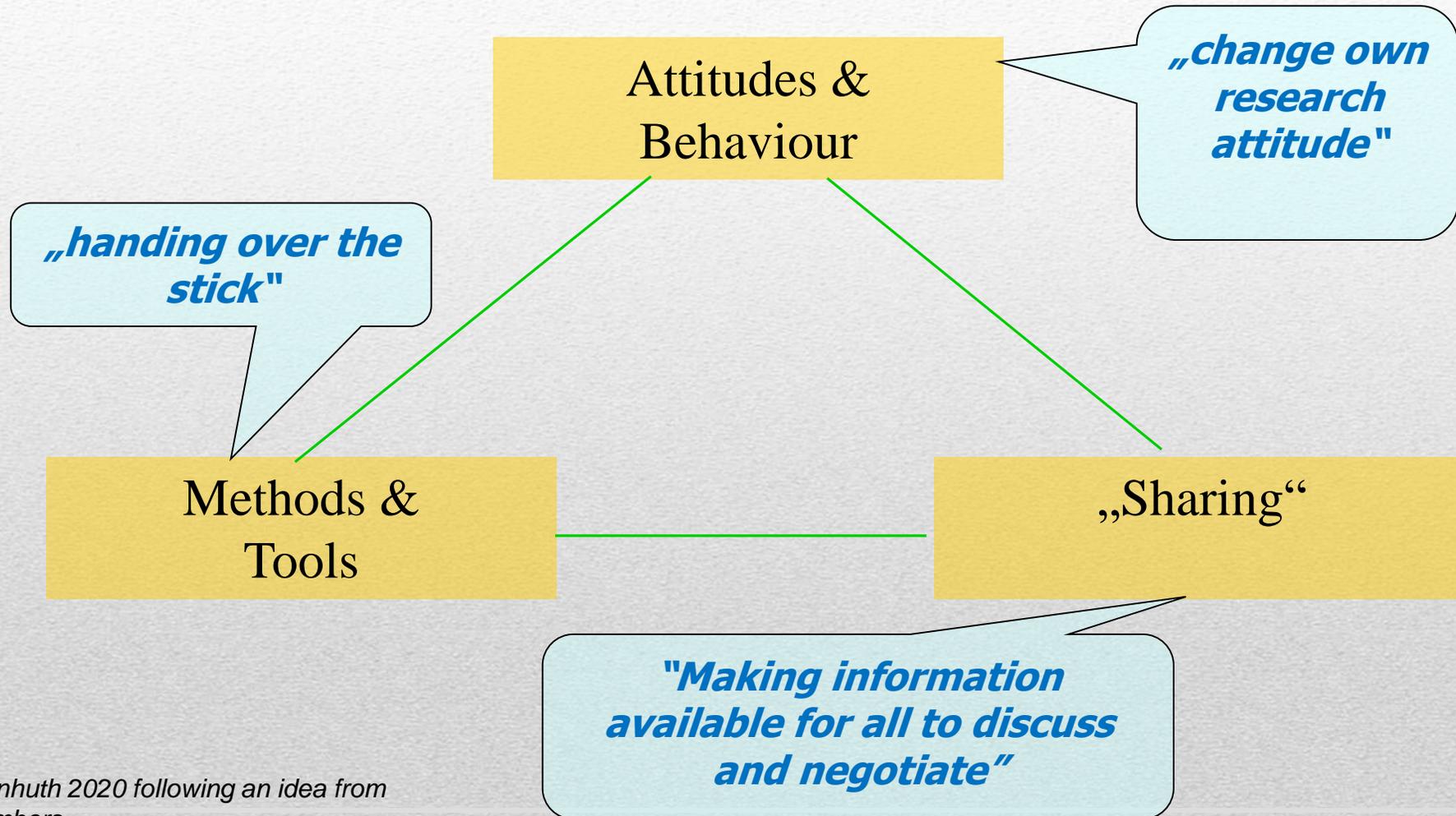
## Participatory Methods in Community Based Research

### *The researcher and the village woman: A Role Play*

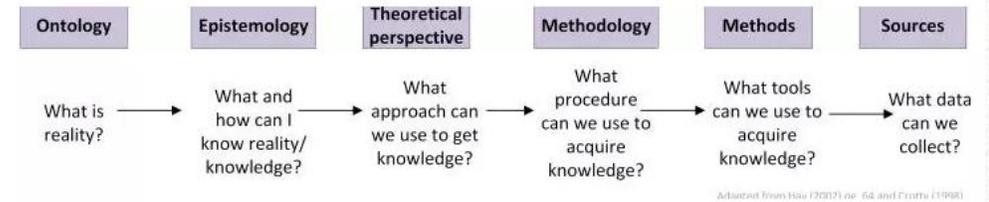


© Schönhuth 1997

# Changed perception of roles in participatory research



# Research Paradigms



	Positivism	Postpositivism	Critical theory	Constructivism	Participatory
<b>Ontology</b> What is real?	A single observable reality exists and can be apprehended	<b>Critical realism:</b> Reality exists but can only be imperfectly and probabilistically apprehended	<b>Historical realism:</b> Reality is shaped by social, political, economic, gender values; and clarified over time	<b>Relativism:</b> Local realities co-constructed by society	<b>Participative reality:</b> Reality is subjective and co-created. It can be apprehended through subjective experience and action
<b>Epistemology</b> What is knowledge? What can be known about reality?	<b>Objectivist:</b> Knowledge of reality is possible through value neutral, impartial observation	<b>Objectivist:</b> As for positivist, but community perceptions needed for holistic understanding	<b>Transactional/subjectivist:</b> Knowledge is subjective, value mediated and context specific	<b>Transactional/subjectivist:</b> Knowledge is socially constructed	<b>Critical subjectivity:</b> Shared experience, participatory analysis and action is used to build socially constructed knowledge and self-awareness of reality as susceptible to transformation
<b>Methodology</b> How can knowledge about reality be produced?	<b>Experimental:</b> By observation and methods for verification of hypotheses	<b>Modified experimental:</b> Methods to test falsification of hypotheses	<b>Dialogic/dialectical:</b> Through inclusion of subjective meanings	<b>Hermeneutical/dialectical:</b> Through shared meaning and social construction	<b>Political participation</b> in collaborative action inquiry; primacy of the practical; grounded in shared experience

Fields in which we can direct questions to the *nature of reality* and our *knowledge production*:

- **In the ontological field:** What do we define as real or existing? *How do we distinguish "real" from "unreal"?* Is there a common basis?
- **In the epistemological field:** How do we obtain knowledge about ourselves and the world? *"How do we know?"* Which senses or logics do we trust?
- **In the methodological field:** *How can we produce knowledge* about reality? Which strategies and procedures do we use?

Source: Adapted by authors from Heron and Reason (1997); Guba and Lincoln (2005) and Lincoln et al. (2011) Loewenson et al. 2014:21

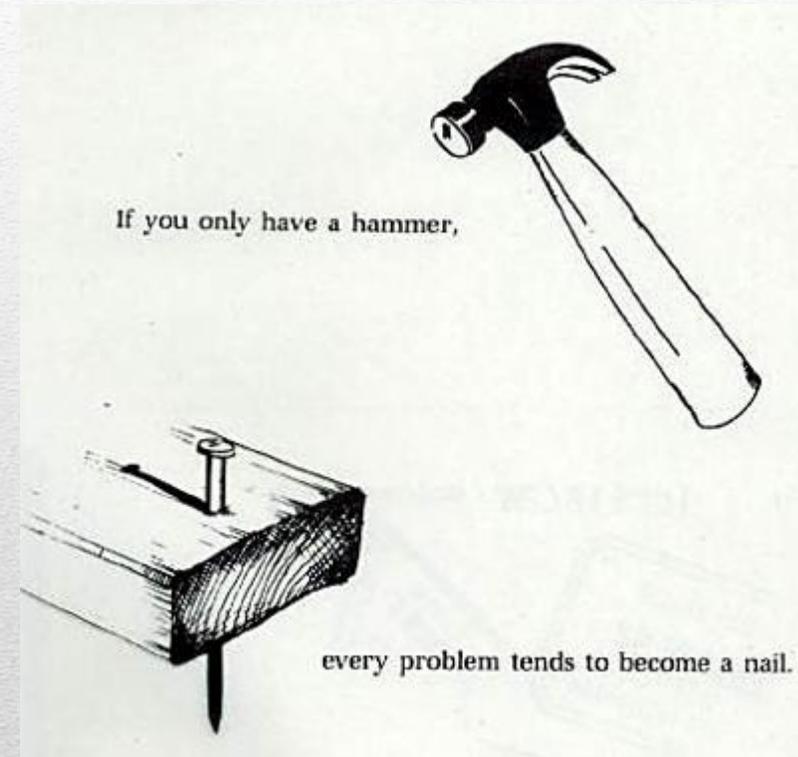
## *Participatory Methods in Community Based Research*

The basic Think Point for evaluating the “participatory” element in participatory research:

- who involves whom,
- at what stage of research,
  - of what,
  - in what form,
  - and to what end,
- with what consequences,
  - for whom

## Participatory Methods in Community Based Research

### The Toolbox



*Participatory Methods in Community Based Research*

A Video Tutorial (20')



**Questions of Difference: PRA, gender and environment. A Training Video (PAL)**

Irene Guijt

Two hours of thought-provoking images in the overview and case studies can be used to stimulate discussion and lead into class-based exercises.

<https://pubs.iied.org/6100PALIIED/>

### Participatory Methods in Community Based Research

## Matrix Ranking

### Group-Exercise

items

	 COBBLER	 FAMARRIND	 LEAF PATE	 MUSTARD APPLE	 BRICK MAKING	 FIREWOOD	 FONGLMEA
 TIME CONSUMPTION	○○○	○○○	○○○	○○○	○○○	○○○	○○
 PROFITS	○○○	○○○	○○○	○○○	○○○	○○○	○
 LABOUR	○	○○	○	○	○○○	○	○
 LOAN	○○	-	-	-	-	-	-
 HARD WORK	○○	○○	○○	○○○	○○○	○○○	○○

criteria

- Basic principle: Ranking/scoring in groups works best when participants have similar backgrounds or depend on the same resources

- Which items would you like to be compared (no more than 5). Choose items, you all have comparable knowledge of. Make a list.
- For each item discuss in your group: what is good / positive about it, what is it particularly suitable for, what else...; what would be negative characteristics...
- List criteria (not more than 5-7); find generic terms for similar criteria. Turn negative criteria into positive ones (e.g. for fruit: "spoils quickly", change to: "durability").
- Create a matrix (e.g. x-axis for items y-axis for criteria)
- Take your beans and score the items according to each criterion. (Decide whether this process should be consensus-oriented or by individual voting...)

# Matrix Ranking

WELT-UNDSCHAU D/R/S: Montag, 12

...aber der des Ochsen, auf dem jener unter dem Namen Europa zu reiten pflegte. Richtig ist wahrscheinlich die Einschätzung, im Kopfe des B.N. Jelzin mache sich der Geist des B.A. Stolyzin heimisch, der vor 80 Jahren Rußland kapitalistisch machen wollte. Er muß aber häufig gegen den Weingeist kämpfen, der sich von Zeit zu Zeit bei Boris N. breit macht. Hier und da sind wir auf Arbeitshypothesen angewiesen, zum Beispiel: Berlusconi und das Pferd des Soldatenkaisers Caligula, das von jenem zum Konsul ernannt wurde; Mollenmann und Mollenmann; Mitterrand und Louis XIV.; Bill Clinton und General Tsching Kaisehek, reif für die Insel... Andererseits will keiner in den Lob des John Major schlafeln. So muß der bar-jeligen Geistes weitermachen. Auch Rudolf Scharping wartet noch, und zwar auf Babels Geist, der entgegen anderslautenden Gerichten nicht in der Uhr des Verbliebenen tickt. Vielmehr hat er sich kürzlich im Erich-Ollenhauer-Haus geniest und Caesars Worte zu seinen Mörder Brutus drohend zitiert. Bei Philipp sehen wir uns wieder. Seitdem reagieren die Sozialdemokraten immer so Geist. Philipp liegt im ehemaligen Jugoslawien. CAROLUS

**Für „Lipjoschka“ taugt das Mehl aus Brüssel nicht**  
Die EU liefert den weißen Stoff nach Kirgistan, doch vor Ort richtet die milde Gabe mehr Schaden als Heil

Von Gemma Pörzgen (Brixlegg)

Vor dem Anknüpfeschalter am Flughafen von Alma Ata drängen sich die Abfahrer, jeder recht ein Schild in die Höhe mit dem Namen der Organisation, dessen Mitglied er erwartet. Taxis, UNDP, USAid, Rotes Kreuz. Jeder zweite Passagier der Luftkassens-Maschine, die alle zwei Tage Frankfurt am Main mit der kasachischen Hauptstadt verbindet, gehört einer internationalen Organisation an. Bis 1991 zählten die zentralasiatischen Republiken Kasachstan, Usbekistan, Kirgistan, Tadschikistan und Turkmenistan zur „Zweiten Welt“. Doch seit dem Zusammenbruch der UdSSR werden sie als Entwicklungsländer eingestuft und haben

...behält werden sollen. Doch der schöne Plan auf dem Papier hat in Wirklichkeit seine Tücken: An Mehl fehlt es auf dem zentralen Basar von Bischkek nicht, im Verkauf ist aber nur der kirgisische weiße Puder. Alles zu hohen Preisen. Die Polizei hat verboten, das belgische Mehl zu verkaufen“, sagt ein Händler. Aber sein Bekannter könne „zu levo“, also schwarz, einige Säcke besorgen. Džapar Borombajew, der zuständige Polizeibeamte bestätigt, daß auf allen Märkten der Hauptstadt der Verkauf von jabelgischem Mehl verboten sei. „Es ist doch humanitäre Hilfe, damit soll doch keiner auf dem Basar Geschäfte machen.“ Bei den meisten anderen Geber- und Hilfsorganisationen vor Ort stößt die EU-Mahlhilfe auf Skepsis oder sogar Ab-

...ausprobiert, es ist eben Konditormehl, es eignet“, meint einer der Für das kirgisische „Esk“ nehmen sie lieber gebe es auf den Basaren. Auf solche Probleme räumt Destrebek ein, „sowas ist tatsächlich schwierig auseinanderzubehalten. In Säcken geliefertes Mehl wird von Familien fast identisch dürfen sie nicht verkaufen auf dem Basar sei zwar geprüft und worden, aber über die drittmittels Fladenbrot offenbar keiner nach-

Heimisches Mehl gibt es auf dem Basar in Bischkek zu hohen Preisen, und für das traditionelle Fladenbrot ist der Stoff aus der EU nicht geeignet. (Bilder)

## "For Lipyoshka, flour from Brussels is no match":

- ...Even in a private bakery in the backyard, bakers don't respond well to "Belgian" flour: We tried it, it's good flour, but it's confectionery flour, more suitable for cakes, says one of the young men. For the Kirghiz flat bread "lipjoschka", they prefer to use their own. The quality of the flour has been tested and found to be good, but apparently nobody has thought about whether it can be used to bake traditional flat bread, the EU representative said." (from: FR 12.6.1995)

## Rapport Building

### Tips:

- In your behavior, try not to serve expected patterns of power. Make clear, why the informant is important to the study (*he/she is the knowledgeable, you are the learner*)
- How can you prove that you are trustworthy? (*Simply telling them won't cut it.*)
- Recognize that this takes time. Don't rush things.
- Regular contact breeds trust. (*PERCS 2018*)



Spontaneous entertainment program on the day of arrival in the field for interested onlookers, Tanzania. (© Schönhuth 1997)

*Have You got experiences of how to build rapport in the field?*

### “Hanging around professionally”

*Have at least one day in the beginning, or times in between, where you have no schedule, no agenda, just hanging or strolling around, looking, watching, showing interest, talking to people, giving a helping hand....*



*Discovered by chance: Tanzania map laid out with stones in the schoolyard. Finding: Participatory instruments using natural materials and placed on ground are a locally adequate visualization method. © Schönhuth 1997*



*A mixed youth group in the village has joined to clean the yard in front of the village community centre from bushes and rubbish. Knowledge from the accidental conversation: there is an active, organized youth in the village, who can be integrated into village development processes. © Schönhuth 1997*

“hanging around professionally”



*Oxen hauling timber; - corn and sunflowers in the background. Findings from the conversation with the farmer: Wood is a precarious and contested good (the forest is located beyond the village boundary). Topic of conversation: Who has access to the resource, who buys, who distributes it? Corn and sunflowers indicate an earlier "intercropping" project; the village could apparently already benefit from "development interventions" Do good or bad memories prevail? © Schönhuth 1997*

# Participatory Methods in Community Based Research

## Community Mapping Exercise



Community Map  
Zakovrazhinio, Siberia

For an exercise in India:



[https://www.youtube.com/  
watch?v=zOM5rLV\\_E8Q](https://www.youtube.com/watch?v=zOM5rLV_E8Q)

© Schönhuth 2000

## Participatory (3D) Modelling/PGIS



*Ogiek Peoples visualising their traditional spatial knowledge on a 1:10,000 scale participatory 3D model, Nessuit, Mau Forest Complex, Kenya, [https://en.wikipedia.org/wiki/Participatory\\_3D\\_modelling#/media/File:Pic\\_367\\_nessuit.JPG](https://en.wikipedia.org/wiki/Participatory_3D_modelling#/media/File:Pic_367_nessuit.JPG). (© Rambaldi);*

Video on the Process:



<https://www.youtube.com/watch?v=TXiAr-zi8CE&list=UUOQOrfRjCnoK1rC31AaG09A&index=22>



### Participatory Methods in Community Based Research



© Schönhuth 1997

#### Handing over the stick

- In the *Pairwise ranking* of possible village projects with women, *the facilitator first holds the pointing stick*, everyone stands stiff and watching.
- In the second picture the participants are sitting, the facilitator is kneeling (*at eye level*).
- In the third picture, *one of the participating village women* holds the pointing stick and *leads the ranking*. This trial lasted 45 minutes.

Participatory Methods in Community Based Research

Handing Over The Research Tool – “Photovoice”



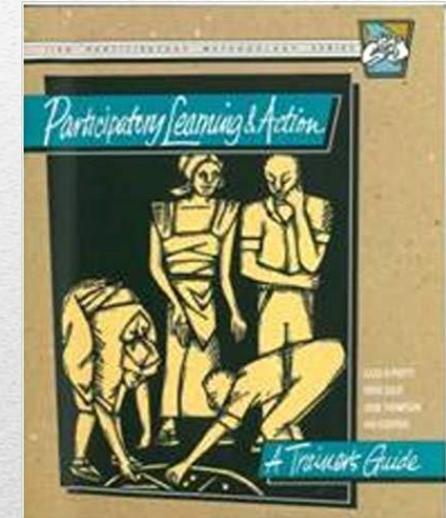
„Photovoice“ - Indian laundrymen take pictures after a short Introduction to the technology of their life reality. (© Jerrentrup 2012)

# Participatory Methods Handbooks



For those, who read German:  
Schönhuth, / Jerrenrrup.2019.  
Partizipation und nachhaltige  
Entwicklung:  
[https://www.springer.com/de/  
book/9783658278533](https://www.springer.com/de/book/9783658278533)

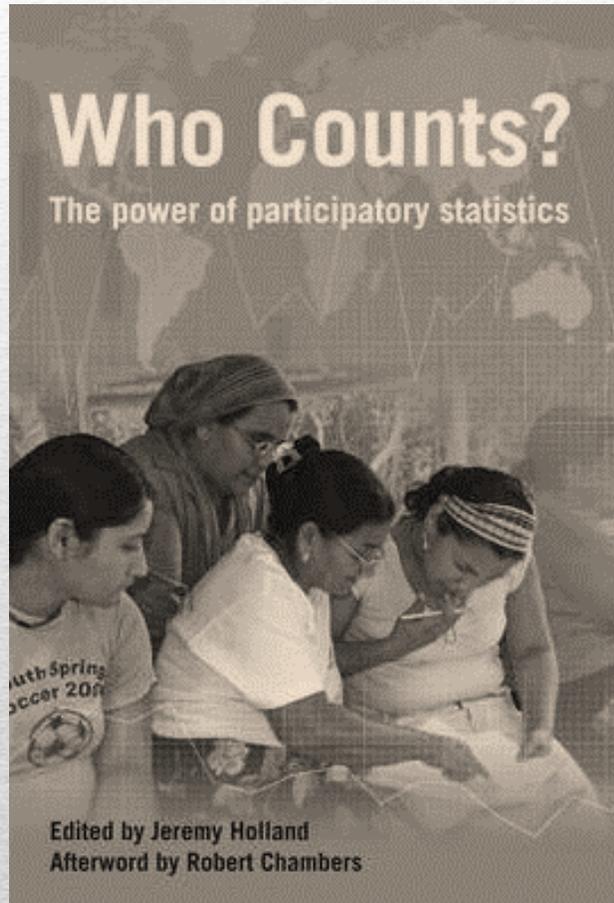
- ActionAid's Networked Toolbox;
- Anyaegbunam et al. 2004;
- Chevalier/Buckles 2019a;
- Kumar 2002;
- Loewenson et al. 2014;
- Mukherjee 2002;
- Narayanasamy 2009;
- Pretty et al. 1995;



- Pretty, J. N., I. Gujit, J. Thompson und I. Scoones. 1995. Participatory Learning & Action. A Trainer's guide. London: IIED. <https://pubs.iied.org/pdfs/6021IIED.pdf>.

# Pitfalls of Participatory Statistics

## *Elite-Domination in Sampling Processes*



- „From 2012 to 2014 I was conducting fieldwork in villages in Malawi. [...] The village headman was very welcoming and seemed open to me conducting research in ‚his‘ village.
- [...] We facilitated a participatory social mapping exercise. By the end of two weeks, the map had gone through several iterations, and most residents seemed to agree that it was a relatively accurate representation of their village. [...]
- Using the social map, I asked a family categorised as one of the poorer households if they would be willing to host me so that I could immerse myself and better understand their daily lives. I ended up staying several nights with this family and began to see a different village.
- As I retraced my steps, I learnt that the ‚residents‘ I had spoken to, had all been ‚planted‘. When I was doing a transect walk to every fourth household, the village headman, his assistants and the ‚plants‘ had always been several steps ahead of me, informing residents that they would answer my questions in their place. I discovered that all my ‚independent‘ interviews had actually been conducted with members of the Mbumba – the family network of the village head.“ [Shah 2017, S. 47–52]

# Example of (Rapid) Participatory Research

## *Health Research in village communities, Uganda I*



© Byansi 2013 (with permission by the author)

- From July to September 2009, a multidisciplinary team led a participatory Health research projects in six fishing communities on Lake Victoria in Uganda. It was about finding new ways to treat HIV-vulnerable groups and to involve them as actively as possible in prevention research to be included. The core team consisted of a social planner, a Medical Anthropologist and six research assistants/ inside (three women, three men) with experience in HIV/AIDS prevention
- 14 days before the actual research, the team leaders visited two research sites, observed people in their everyday activities and held informal discussions to get a feel for suitable research methods and to establish first contacts with local leaders and networks. It became clear that for the empirical goal of winning vulnerable persons like fishermen, sex workers or bar girls, day visits by the research team would not be sufficient.
- Team leaders decided that the whole team should be to spend four days and nights in the field and that team members with fishing background should give a hand to fishermen in their work. Participatory methods (social maps, actor and decision diagrams, seasonal calendar, ranking and scoring techniques) were tested near Kampala in the field and partially adjusted. Key informant and focus group interviews and participant observations were mainly made when working with the fishermen, drying the fish with the women and during stays in restaurants and public video halls....

# Example of (Rapid) Participatory Research

## Health Research in village communities, Uganda II



© Byansi 2013 (with permission by the author)

- The informality of the methods and the familiarity of some team members with the local context helped - despite the sensitive topic - to access the people concerned. It turned out that the HIV risk is mainly one of unprotected sexual contacts between sex workers and customers with an unknown HIV serostatus and affected women referred to such contacts for making their living. Informal conversations also revealed other reasons, such as the longing for sexual satisfaction, camaraderie, support, security and love, or seeking comfort from an ongoing abuse that they have been subjected to.
- The participatory approach showed that people are quite capable of collecting development-relevant data themselves, and to find viable solutions for them on this basis. With the help of local management structures and network actors, sensitizing public activities were launched with music, dance and plays, training of social workers, establishing of village dialogues, or slogans on boats and empty walls.
- The key to understanding the importance of HIV prevention has been the direct experience that participatory research can provide them with understandable and practical insights into previously unknown relationships and direct improvements in access to HIV prevention and treatment resources.
- Maintaining activities remains a challenge according to the authors, *“...but the fact that communities have begun to use their potential to influence and share their experiences within their networks can be seen as evidence, that a process of self-empowerment has begun.”* Byansi, P. K. et al. 2013. Reflections on participatory HIV prevention research with fishing communities, Uganda. *PLA Notes* 66, 93–90. <https://pubs.iied.org/pdfs/G03662.pdf>

# Example of Transdisciplinary Participatory Research

## Participatory research in major transnational projects



The poster for the TRAFIG project features a central graphic of a globe with orange and blue dots indicating research sites. The text is organized into sections: 'Partners' lists 12 international organizations; 'Contact' provides details for Dr. Benjamin Etzold at BICC; and the main title 'TRAFIG' is prominently displayed. A blue circle at the bottom left contains the contact information. The bottom right of the poster includes the project's subtitle and a funding acknowledgment from the European Union.

**Partners**

BICC (Bonn International Center for Conversion), Germany  
Project Coordinator

Addis Ababa University, Ethiopia  
Aristotle University of Thessaloniki, Greece  
CMI (Chr. Michelsen Institute), Norway  
Dunelm University Kees, Austria  
Dignity Kiwaza – Community Solutions, Tanzania  
FIERI (Forum of International and European Research on Immigration), Italy  
ICMPD (International Centre for Migration Policy Development), Austria  
SHARP (Society for Human Rights & Prisoners' Aid), Pakistan  
Leiden University, The Netherlands  
University of Sussex, United Kingdom  
Yarmouk University, Jordan

**Contact**

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**TRAFIG**  
Transnational Figurations of Displacement

Connectivity and Mobility  
as Solutions to  
Protracted Refugee Situations

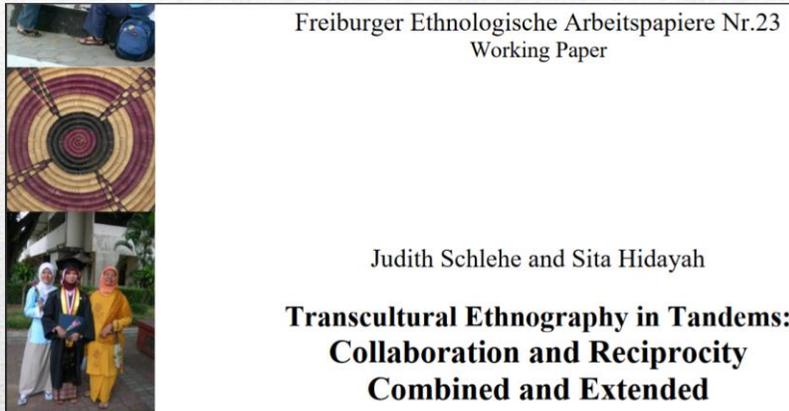
This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant No 822453

- TRAFIG, Transnational Figurations of Displacement, an EU-funded Horizon 2020 research and innovation project. 12 partner organisations investigate long-lasting displacement situations at multiple sites in Asia, Africa and Europe
- In addition to classical survey methods and qualitative survey instruments (*expert interviews, semi-structured and biographical interviews, focus groups*), different PLA methods (*Timeline, Transect, Needs Ranking, Force Field Analysis, Venn Diagram*) are used.
- The field phase, which lasts up to eleven months, is concluded by “*multi-stakeholder community consultations*”, in which participating actors (refugees, aid organisations, other key actors) discuss their assessments of the empirical research results and agree on joint measures.
- They are modelled on the so-called *Barza (inter-) communautaires*, cross-community meetings that are traditionally used in the VR Congo to settle inter-group conflicts. For more information: (TRAFIG Transnational Figurations of Displacement) at: <https://trafig.eu>; Etzold et al. 2019).

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# Example of Transcultural Research Tandems

## Research in transcultural tandems



*Elaborate more about possible advantages, pitfalls but also structural inequalities that might remain in such transcultural research tandems!*

- shared between the anthropological institutes in Yogyakarta (Indonesia) and Freiburg i. Br. within the framework of the university training.
- Two students from each universities conduct research on a common research topic; four to six weeks in Indonesia and then just as long in Germany. The change of the "outsider-insider" roles of being "local expert" and "foreign learner", linked with a common research interest of both research partners , provide for conditions which during the research can leverage the hegemonic power of interpretation of western research traditions. (cf. Schlehe and Hidayah 2013; Heybrock 2018).

## Balancing ethical „accountabilities“ in ethnographic research



© Michael Schönhuth 2020  
(based on Antweiler  
2001/Schönhuth2003)

## Relations With and Responsibilities Towards Funders, Governments and Gatekeepers

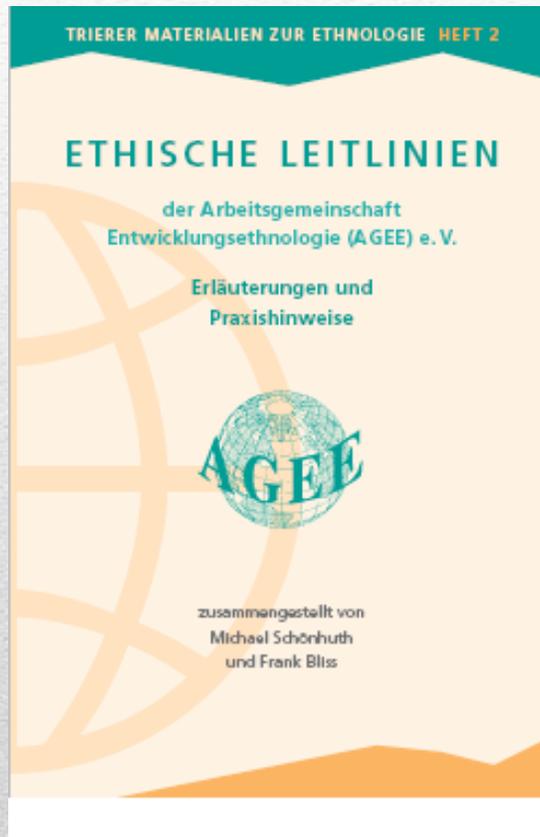
Researches should *negotiate research space* concerning:

- Full disclosure of the sources of funds, personnel, aims and purposes of the research;
- *Respect* for their professional expertise and the integrity of their research results;
- their ability to *protect the rights and interests of research participants*; to make all ethical decisions in their research; and their (and other parties') rights in data collected, in publications, copyright and royalties.  
(ASA 2014)
- *Additional days in the field... (why?)*

Ethnographers should clarify in advance the respective roles, rights and obligations of sponsor, funder, employer and researcher:

- not to promise or accept of conditions which would be contrary to professional ethics or competing commitments. Where conflicts seem likely, they should *refer sponsors* or other interested parties *to relevant professional guidelines*;
- Whilst respecting gatekeepers' legitimate interests, researchers should adhere to the *principle of obtaining informed consent from their direct interlocutors*.
- Researchers should *be wary* of inadvertently *disturbing the relationship between subjects and gatekeepers* since that *will continue long after the researcher has left the field*. (ASA 2014)

## Ethical Guidelines of the Working Group for Development Anthropology



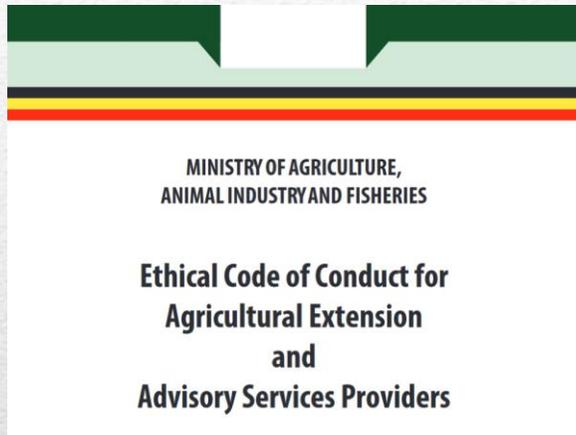
2001 Ethical Guidelines of the Workgroup Development Anthropology (AGEE) e.V.

### Frame of Reference:

- negotiate minimum standards of professional ethics in the contract guidelines ('Terms of Reference') with contracting authorities before a contract is awarded, which they can refer to in case of conflict (*basis for negotiation*);
- to have a yardstick for ethically conscious and justified decisions and actions during the assignment (*guideline*);
- to be measured against these guidelines by colleagues, clients and local groups after the assignment (*benchmark*).
- Download English Version: [http://www.uni-trier.de/fileadmin/fb4/ETH/Aufsaeetze/Schoenhuth2001\\_Ethical\\_Guidelines\\_of\\_the\\_workgroup\\_development\\_anthropology.pdf](http://www.uni-trier.de/fileadmin/fb4/ETH/Aufsaeetze/Schoenhuth2001_Ethical_Guidelines_of_the_workgroup_development_anthropology.pdf)

# National /local Codes

## Ethical Code for Agricultural Extension (Uganda)



<http://agriculture.go.ug/wp-content/uploads/2019/04/Ethical-Code-of-Conduct-for-Agricultural-Extension-and-Advisory-Services-Providers.pdf?fbclid=IwAR2nzdBr1V9jkm-Qy1EeXwW2NtrFHx66GbaMHXeKSFvcVkiPbwGY9P1DGfi>

- **Target users of the ethical code:** individuals and organizations offering Agricultural Extension and Advisory Services (AEAS) to farmers and other actors in agricultural value chains in Uganda.
- **Integrity:** All AEAS providers *should follow government policies and regulations*; ...should not engage in sexual or intimate behaviour or relationships with their clients; ...desist from actions that confer a personal benefit outside their terms of employment.
- **Diversity&Inclusion:** recognise that *some farmers or clients are more vulnerable* and may require additional support and assistance; strive *to communicate* with farmers or clients in a *manner they can understand* by avoiding technical jargon and using a language which some of them do not understand; ...*avoid* favouritism, political biases, religious sectarianism and *tribalism*.
- **Cultural&Gender Sensitivity:** dress code, conduct, and other behaviour should be *sensitive to the farmer's or client's beliefs, values and practices*; *employ approaches and methods that promote access to services by men, women, male and female youth as well as the various ethnic categories of farmers or clients*[....]

Good read: Mitchell, t.& P. Bailey. 2015. Ethics in Agricultural Sciences.

## Data Management and Ethics in Ethnographic Research – New Developments (2020+)



- Ethnographic research [...] is conceived as an open process that is situation- and observer-dependent. *Interlocutors are not conceptualized as “study participants”* and are rarely recruited as samples; rather, they are regarded as members of a social context to which they grant researchers access and to whom they have rights. ...Collaborative forms of knowledge production and representation are increasingly being developed. Accordingly, the relationship ...is understood as a mutual trusting relationship, which forms the fragile basis of many field research projects. ... The dgv ... *does not support a uniform, unconditional obligation to archive and make available data for subsequent use*"( dgv 2018).
- **2. Archiving:** In ethnographic research “data” are always part of a social relationship. As such, it may not always be possible to archive or store research materials, (or it will) require specific technical features (e.g. different roles for access, editing, sharing or privacy) not available in most institutional repositories.
- **5. Embargo:** Researchers have a special duty to consider controlling third party access to ethnographic materials and retain the rights of embargo and confidentiality over those materials that cannot be anonymized or turned into data entries.

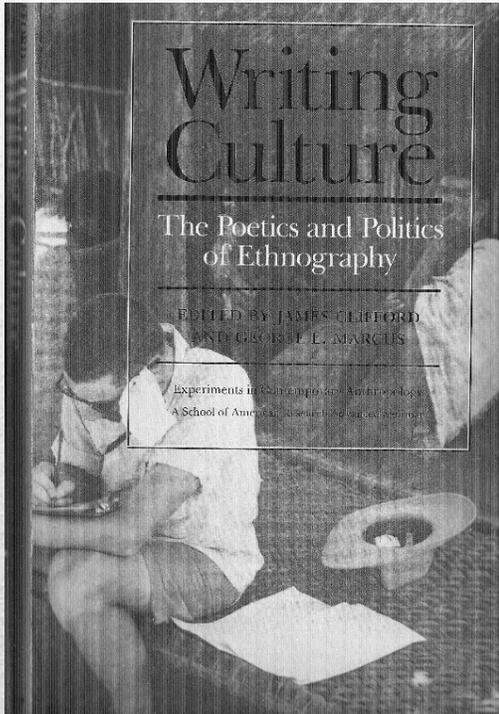


#### Good reads:

- on the the essential protection of raw data cf. <http://ethics.americananthro.org/ethics-statement-6-protect-and-preserve-your-records/>
- on the ethically justifiable limitations of the dissemination of research results cf.: <http://ethics.americananthro.org/ethics-statement-5-make-your-results-accessible/>
- on the problematic of long-term data archiving. Cf. Pels, Peter et al. (2018).

# Writing Culture: Power Differentials in Writing

## *"The Poetics and Politics of Ethnography"*

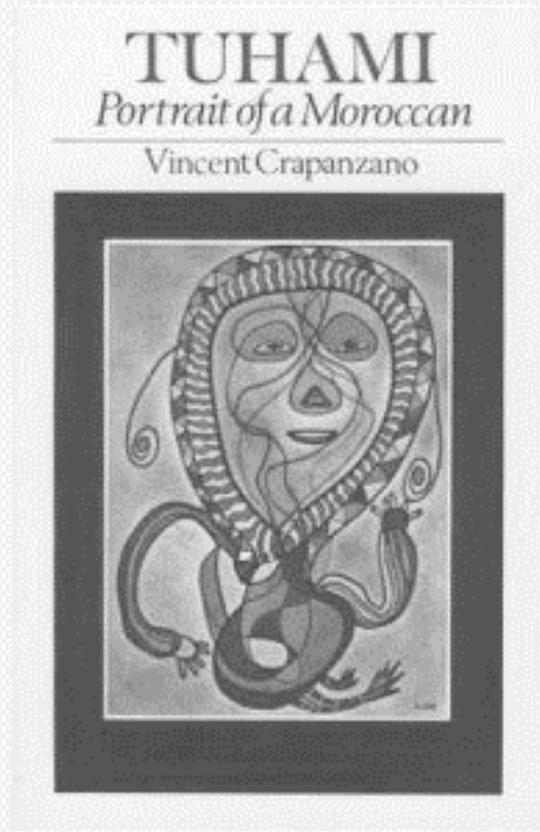


*Writing Culture. The Poetics and Politics of Ethnography.* EDITED BY JAMES CLIFFORD ... Stephen Tyler, Talal Asad, George Marcus, James Clifford).

- The power of personal experience in the field (*"the witness"*: "I saw it with my own eyes!")
- The ability to interpret (*"the interpreter"*)
- The textual authority towards informants and recipients (*"the writer"*)
- „*Ethnographic work has indeed been enmeshed in a world of enduring and changing power inequalities, and it continues to be implicated. It enacts power relations. But its function within these relations is complex, often ambivalent, potentially counterhegemonic.*” (James Clifford in *Writing Culture*)

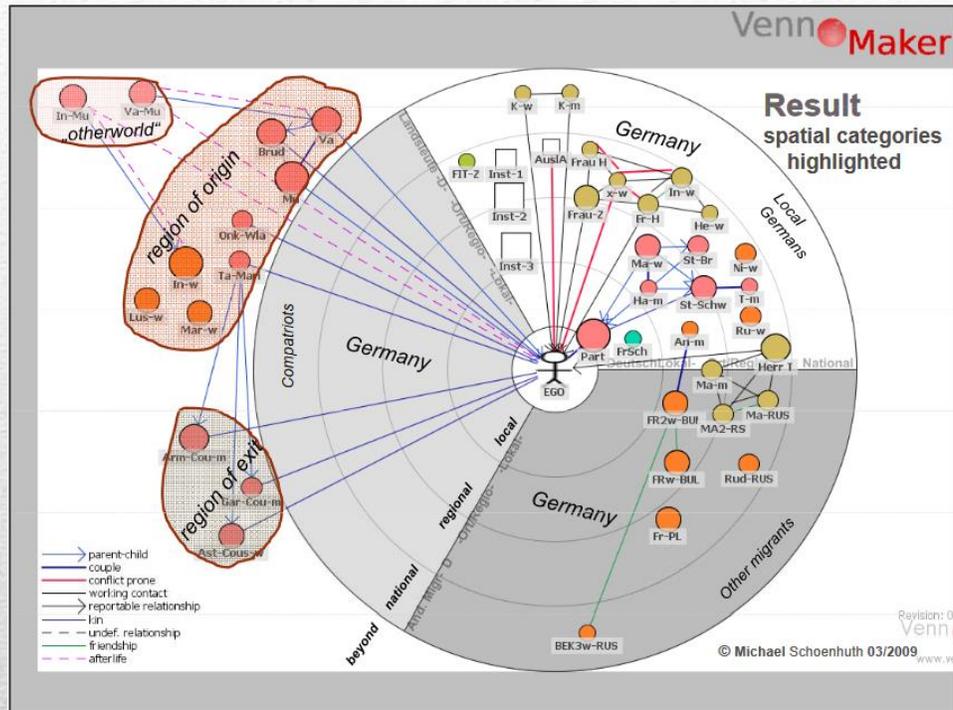
# Positioned Ethnography

*Dialogic Forms of Ethnography: Visualization of one's own representations in the text*



- "Crapanzano's portrayal of the Moroccan cattle herder Tuhami is constructed over large parts in the form of a dialogue.
- Again and again there are passages in which Crapanzano reflects on how his subjective view structures the process of cognition.
- He also tries to make visible how he constructs Tuhami's representation in the text."

## Ethnographic fieldwork in the global world



Network Sociograms to clarify actors/stakeholders in the field  
 Software (open access): <http://www.vennmaker.com>

 **YouTube** [https://youtu.be/\\_8FjqaXaiUs](https://youtu.be/_8FjqaXaiUs)

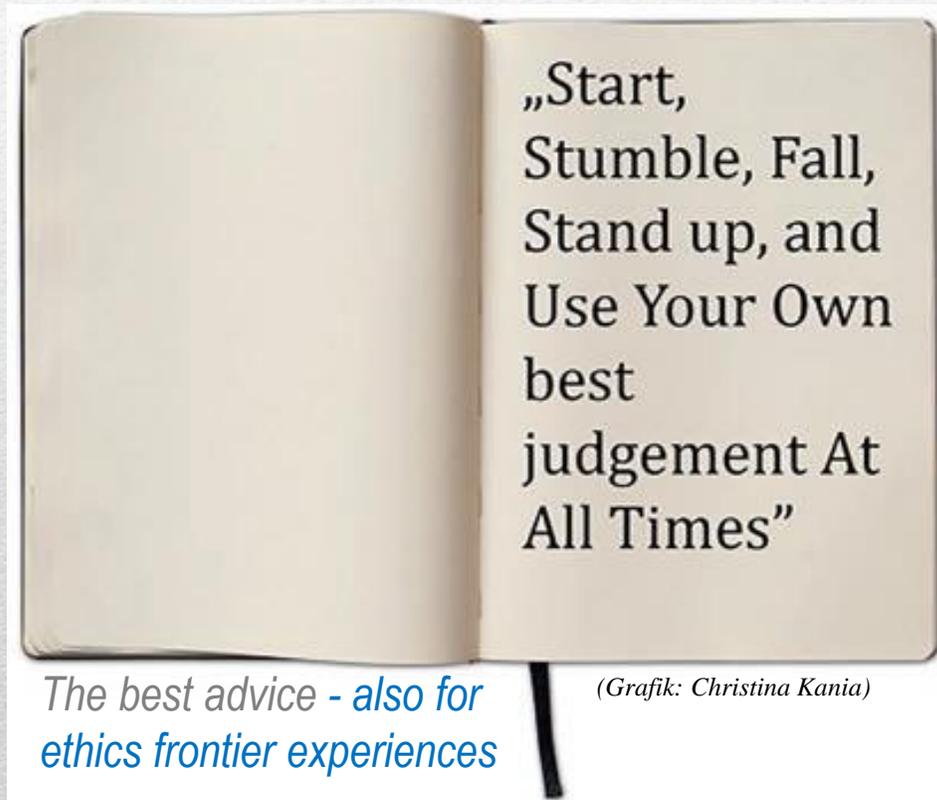
#### Good reads:

- On “Competing Ethical Obligations” in field research cf. <http://ethics.americananthro.org/ethics-statement-4-weigh-competing-ethical-obligations-due-collaborators-and-affected-parties/>

- More and more ethnographers find themselves working in complex field settings. Going global for ethnographers has meant working with and between a range of individual and at times institutional actors.
- Multi-sited research, research in interdisciplinary contexts, with applied or transfer-oriented project components, mixed teams, research between countries, institutions, organizations, each with different expectations, (ethical) rules, regulations and governance structures shape today's research endeavors.
- *Think point: Who are the main actors/ gatekeepers that structure or impinge on your chosen area of research? Whose rules do you have to -, whose rules would you like to follow? Are there options for negotiation? How Do you (de-)construct your field?* (see also: Garner 2005)

*Good read: Mark-Anthony Falzon 2009 ed.: Multi-sited ethnography : theory, praxis and locality in contemporary research. Farnham.*

## The messy experience of 'immersion' vs professional status and textual production



- *“Fieldwork, however much one plans, tends to be a messy experience. Doing ethnography requires participation, risks, mistakes and plain luck (both good and bad).”*

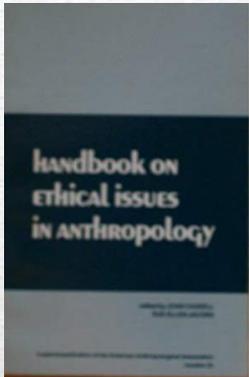
(Garner 2005)

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# Ethical Dilemmas: Cases and Solutions

Handbook on Ethical Issues in Anthropology; ed. by Joan Cassell and Sue-Ellen Jacobs, 1987: Cases and Solutions <https://www.americananthro.org/LearnAndTeach/Content.aspx?ItemNumber=12912&RDtoken=38123&navItemNumber=731;userID=5089>.



*The 12 cases are presented in a format that asks the reader to solve each dilemma. The solutions used by the anthropologists will follow. Some readers disagreed with the "solution" presented by given fieldworkers. Their comments are also included:*

**Case 1: To Medicate or Not to Medicate**

**Case 2: Who Owns the Field Notes?**

**Case 3: Witness to Murder**

**Case 4: Hiding a Suspect**

**Case 5: Anonymity Declined**

**Case 6: Anonymity Revisited**

**Case 7: Robbers, Rogues, or Revolutionaries: Handling Armed Intimidation**

**Case 8: The Case of the Missing Artifact**

**Case 9: "Hot" Gifts**

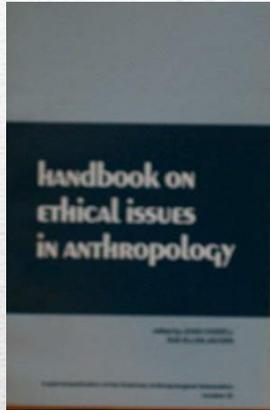
**Case 10: Professor Purloins Student's Work: Her Recourse?**

**Case 11: The Case of the Falsified Data**

**Case 12: Possible Conflict of Interest**

# Ethical Dilemmas: Cases and Solutions

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*Questions concerning possible courses of behavior. Comments by anthropologists and ethicists recruited by Joan Cassell for publication in Anthropology Newsletter follow each case.:*

**Case 13: The Suspect Questionnaire**

**Case 14: The Hazardous Consent Forms**

**Case 15: The Case of the Egyptian Travel Agent**

**Case 16: What's in That Bottle? What's in That Pipe?**

**Case 17: The Case of the Damaged Baby**

**Case 18: "A Little Thing Like Plagiarism"**

**Case 19: Backstage Maneuvers**

**Case 20: Power to the People**

**Case 21: Ethical Dilemmas and Moral Responsibilities**

**Case 22: Forbidden Knowledge**

**Case 23: Slow Code**

**Case 24: Site Unseen**

**Case 25: The Runaway Wife**