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

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.

<table>
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<th>Tips:</th>
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<tr>
<td>• Review the existing empirical (field) literature on your topic</td>
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<tr>
<td>• What were the limitations of those studies?</td>
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<td>• What were the problems they faced?</td>
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<td>• Will you be able to avoid the same?</td>
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How can we predict some of the possible ethical pitfalls before we even start our research endeavour? *(PERCS 2018)*
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/)
I. Before You Start Field Research

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)

- “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!

Good reads:

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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?
I. Before You Start Field Research

The Ethics of Reciprocity

If you are invited to somebody’s home?

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

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…

I. Before You Start Field Research

The Ethics of Reciprocity

Obligations to Informants

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?

Good reads:
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?
“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 particular difficulties for 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)

Tips:

1. Researchers should take appropriate measures relating to the storage and security of records during and after fieldwork;
2. 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)
3. Care should be taken not to infringe uninvited upon the ‘private space’ (as locally defined) of an individual or group.

I. Before You Start Field Research

Rights to confidentiality and anonymity
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


*Think Point:* Did you came 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

- 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?
I. Before You Start Field Research

Rights to confidentiality and anonymity

Think Points:

- What could be “overiding 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:
“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)
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

- 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?

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).

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/

- *This will change...* (new EC GDPR 2018; ERC guidelines) !!!
EC/ERC Ethics Self Assessment (2019)

- **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.

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<tr>
<th>Ethics issues checklist</th>
<th>Section 2: HUMANS</th>
<th>YES/ NO</th>
<th>Page</th>
<th>Information to be provided</th>
<th>Documents to be provided/kept on file</th>
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<tbody>
<tr>
<td>Does your research involve human participants?</td>
<td>☐</td>
<td>☐</td>
<td>1) Confirm that informed consent has been obtained.</td>
<td>1) Informed Consent Forms + Information Sheets.</td>
<td></td>
</tr>
<tr>
<td>Are they volunteers for social or human sciences research?</td>
<td>☐</td>
<td>☐</td>
<td>1) Details of the recruitment, inclusion and exclusion criteria and informed consent procedures.</td>
<td>1) Copies of ethics approvals (if required).</td>
<td></td>
</tr>
<tr>
<td>Are they persons unable to give informed consent (including children/minors)?</td>
<td>☐</td>
<td>☐</td>
<td>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?</td>
<td>1) Copies of ethics approvals.</td>
<td></td>
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<tr>
<td>Are they vulnerable individuals or groups?</td>
<td>☐</td>
<td>☐</td>
<td>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.</td>
<td>1) Copies of ethics approvals.</td>
<td></td>
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<tr>
<td>Are they children/minors?</td>
<td>☐</td>
<td>☐</td>
<td>1) Details of the age range. 2) What are your assent</td>
<td>1) Copies of ethics approvals.</td>
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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.*
I. Before You Start Field Research

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

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.

Good reads:
I. Before You Start Field Research

Modifying the Informed Consent Process in Ethnographic Studies

- The Oral Consent Card – University of Virginia Vice President 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).


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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:

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I. Before You Start Field Research

From Known knowns to unknown Unknowns

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

- **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...

Watch the Rumsfeld video on known knowns and unknown unknowns on youtube: https://www.youtube.com/watch?v=REWeBzGuzCc
The emic point of view

• “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

- “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).

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”? 

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
I. Before You Start Field Research

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)
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?

(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

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

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II. Into the Field

Participatory Methods in Community Based Research

*The researcher and the village woman: A Role Play*
Changed perception of roles in participatory research

Methods & Tools

Attitudes & Behaviour

„handing over the stick“

„Sharing“

„Making information available for all to discuss and negotiate“

„change own research attitude“
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?
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
The Toolbox

If you only have a hammer, every problem tends to become a nail.
II. Into the Field

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/
II. Into the Field

Participatory Methods in Community Based Research

Matrix Ranking
Group-Exercise

- 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...)

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

Have you got experiences of how to build rapport in the field?
II. Into 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? © Schöhuth 1997
II. Into the Field

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
II. Into the Field

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. (© Rambaldi);

Video on the Process:

YouTube
https://www.youtube.com/watch?v=TXiAr-zii8CE&list=UUOQ0rRjCnoK1rC3jAaG09A&index=22
© Schönhuth 2020
"Resource-flow chart of a 2-person household in a Russian-German village in Siberia" (Schönhuth 2014), creation time approx. 70 min.
II. Into the Field

Participatory Methods in Community Based Research

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.
II. Into the Field

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

- 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;

For those who read German:
Schönhuth/Jerrrenrup. 2019. Partizipation und nachhaltige Entwicklung:

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]
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....
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.”

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).
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).

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

The Ethics Square

Balancing ethical „accountabilities“ in ethnographic research

Research participants
- honouring trust
- avoiding intrusion
- confidentiality
- informed consent
- reciprocity
- anticipating harms
- involvement

Sponsors, Funders Employers
- roles, rights, obligations (TORs)
- negotiating research space
- relations with gatekeepers
- research integrity vs. income/career

Community of Scholars
- reputation of the discipline
- considerations for previous research
- interests of local scholars/ researchers
- sharing research materials locally
- collaborative/ team research
- legal/ administrative constraints

The Public / Audiences
- readers / users
- public science
- (political) lobbying?

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(based on Antweiler 2001/Schönhuth2003)
III. Balancing Accountabilities

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)
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*).

National /local Codes

Ethical Code for Agricultural Extension (Uganda)

- **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[...]

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 ethically justifiable limitations of the dissemination of research results cf.: http://ethics.americananthro.org/ethics-statement-5-make-your-results-accessible/
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)
"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

- 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 follow, whose rules would you like to follow? Are there options for negotiation? How do you (de-)construct your field? (see also: Garner 2005)

Good reads:
The messy experience of 'immersion' vs professional status and textual production

III. Balancing Accountabilities

“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)
Literature

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
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