



Ethical Aspects of Fieldwork

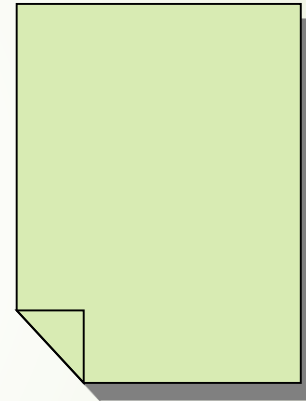
(with a focus on participatory research)

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 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=1561457271658

- *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!*
- *“Should such dangers come to pass during the research, responsibility towards oneself means that one should seriously consider terminating the research”* (<https://www.medicalanthropology.de/english/ethics/>)

The Ethics of Reciprocity

Obligations to Informants

Tip & Questions:

- *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:*
- *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?*

- 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).
- *Buzz Group: What would be a fair return for assistance?*

Anticipating Harms

(„Do-No-Harm“)

Buzz-Group Exercise:

- Take one (real/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)

- “Social sciences may not place people in physical danger in the same way that medical research might, but *we can cause changes among those with whom we work*.”
- How will we attempt to protect the reputations of our participants? Could our work cause disruption in the community, or interfere with other ongoing plans?” (PERKS 2018).
- Questions might be embarrassing, if they expose things that either others or the person itself would not like to be confronted with
- *Try to anticipate the long-term effects of your research on individuals or groups*
- *Avoid undue intrusion!*
- *Bother, even if your informants won’t!*

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 1999)*
- *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 1999)

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

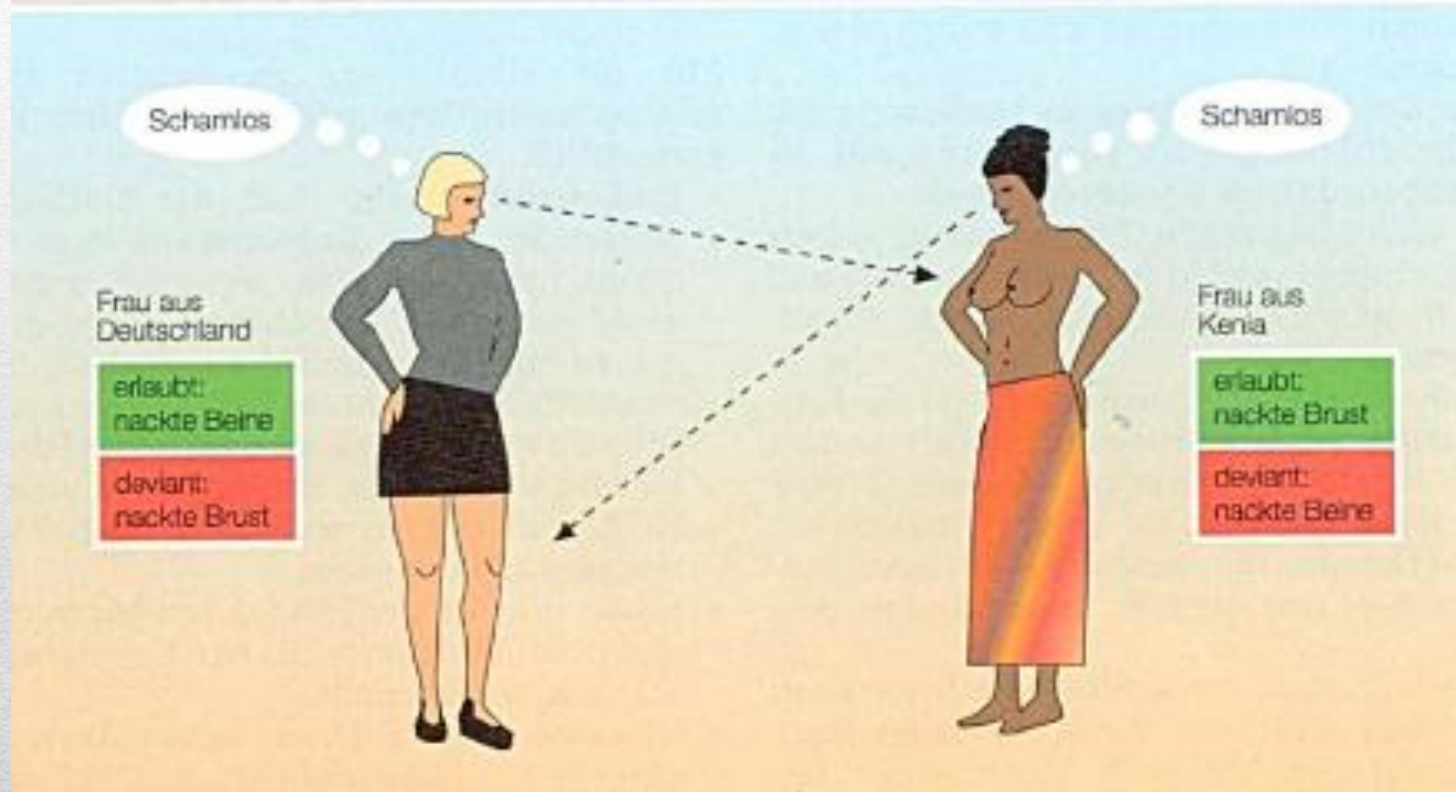


Christian funeral procession by car in Brighton and Hove, East Sussex, England, 2009 © Public Domain

? Did you come across situations, where you encountered surprising “unusual” borders between public and private/personal spaces?

Public space – Private space

Same morals – different perspectives



Rights to confidentiality and anonymity

Questions:

- 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 1999)

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)

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)

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 informed consent 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.

Quelle:
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)



- 1. Ownership: *Ethnographic materials are coproduced* [...]. As 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 President for Research
Human Research Protection Program

“...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>

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 (Nader 1974).

- Researchers in *"underground" settings, but also in investigative elite research* (*"wallraffen"*) have often disguised their identities or purposes: 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?
- *Does your research give voice* to groups of people who have not been heard before? Are their concerns being addressed within the community? If not, *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.
- 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?**

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...



<https://www.youtube.com/watch?v=REWeBzGuzCc>

Donald Rumsfeld Former secretary of State , USA © cc

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_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 our minds up 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 1999: 57).

Time & Serendipity

"A project starts with the project doing nothing"



Serendipity:

"finding something when looking for something else, thanks to an observant mind".

- 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 agricultural research settings?*
- *Do you know methods which try to combine "rapid" and "relaxed"?*

PART II: Into The Field

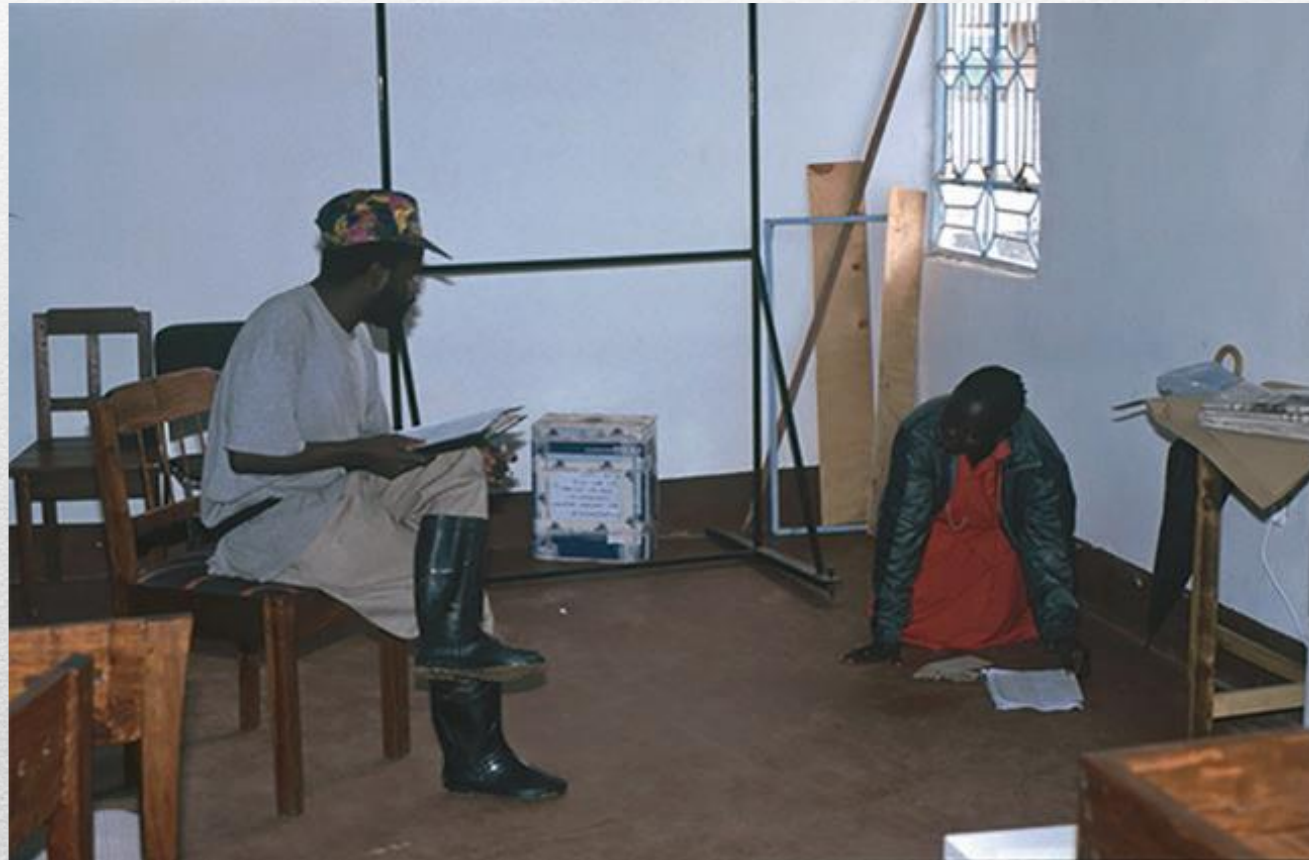
Participatory Methods in Community Based (Agricultural) Research



© Schönhuth 1997

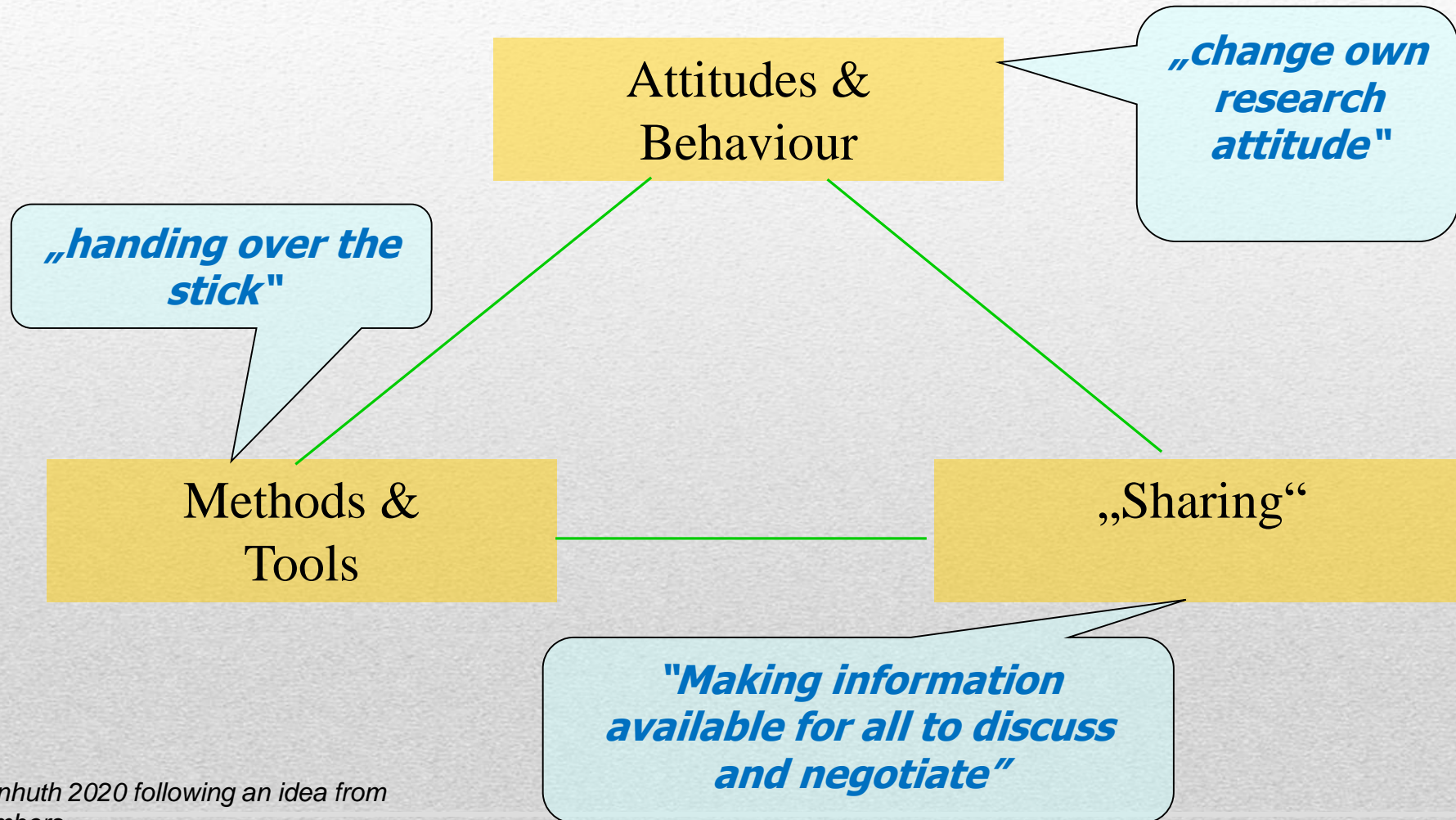
Participatory Methods in Community Based Research

The researcher and the village woman: A Role Play

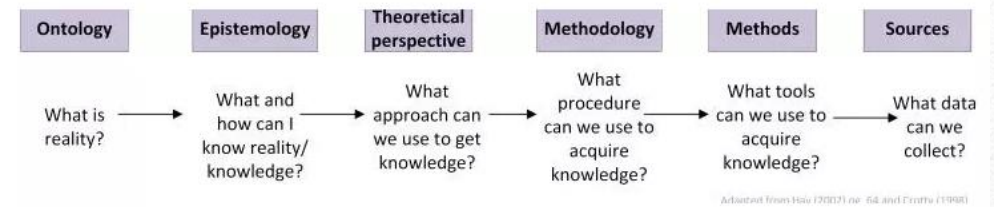


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Changed perception of roles in participatory research



Research Paradigms



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

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

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?

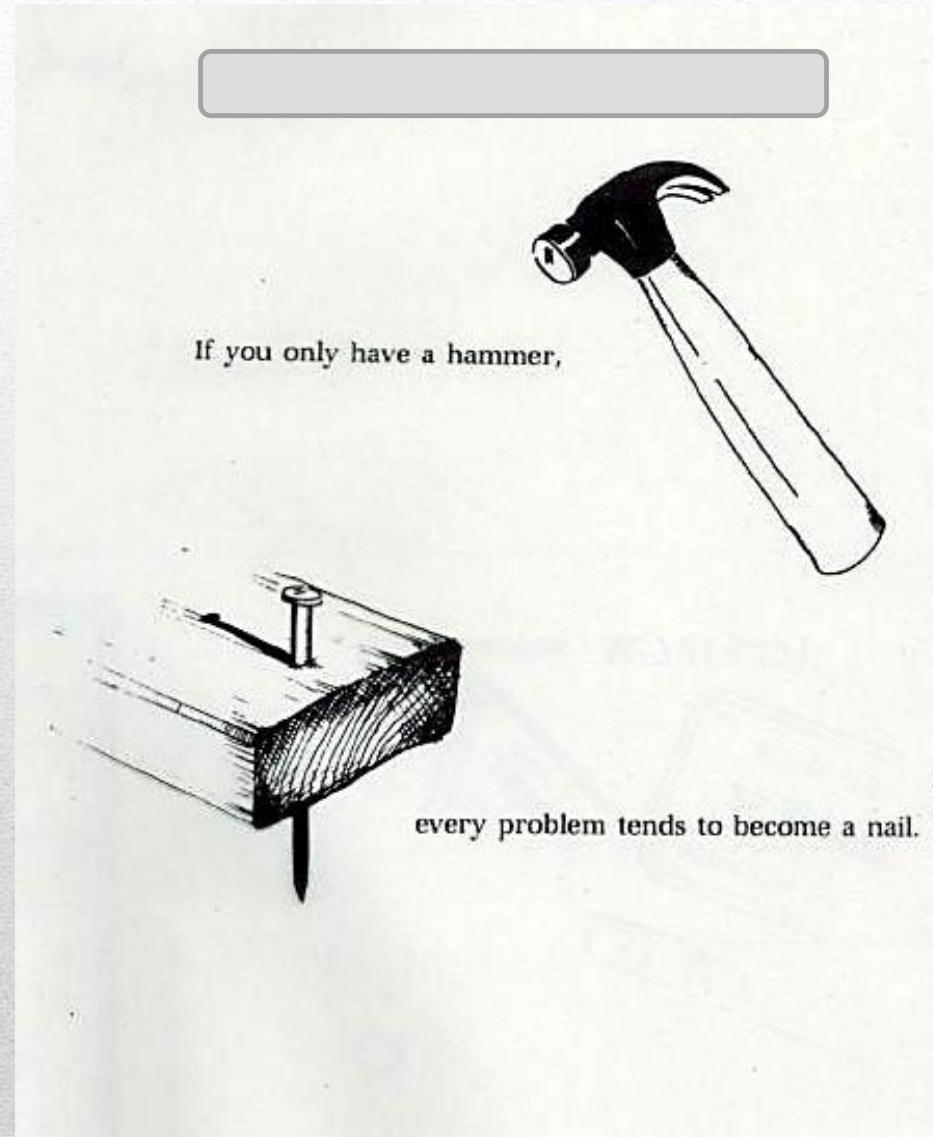
Participatory Methods in Community Based Research

The basic question 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')



Participatory Methods in Community Based Research

Matrix Ranking

items

	 COBBLER	 FAMARIND	 LEAF PATE	 CUSTARD APPLE	 BRICK MAKING	 FIREWOOD	 FONGFEMA
 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 Kopf des B.N. Jozin mache sich der Geist des B. A. Stolyin 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 Sozialenkaisers Calligula, das von jenem zum Konsul ernannt wurde; Mollermann und Mollermann, Mitterrand und Louis XIV.; Bill Clinton und General Technang Kaisebek, reif für die Insel...

Andererseits will keiner in den Leib des John Major schlüpfen. So muß der bar-jeliche Geistes weitermachen.

Auch Rudolf Scharping wartet noch, und zwar auf Bebel's Geist, der entgegen anderslautenden Gerüchten nicht in der Uhr des Verbleibenen tickt. Vielmehr hat sich seiner kürzlich im Erich-Ollenhauer-Haus gezeigt und Caesars Worte zu seinen Mörder Brutus drohend zitiert: „Bei Philippi sehen wir uns wieder.“ Seitdem reagieren die Sozialdemokraten immer so schreckhaft. Philippi liegt im ehemaligen Jugoslawien.

CAROLUS

**is möchten mehr
einwohner Neuseelands bestehen fort**

... zu machen. Und sie haben ihr Ziel erreicht, wie aus einer von der Regierungspartei (NP) in Auftrag gegebenen Studie hervorgeht. Themen wie Arbeit, Bildung und Gesundheit sollen demnach sogar hinter der Maori-Problematik rangieren.

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 (Bischkek)

Vor dem Ankunftschalet am Flughafen von Alma Ata drängen sich die Abholer. Jeder deckt ein Schild in die Höhe mit dem Namen der Organisation, dessen Mitglied er erwartet. Tacis, UNDP, USAid, Rotes Kreuz. Jeder zweite Passagier der Lufthansa-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

... sind, kann aber Importe aus Kasachstan wegen Devisenmangels kaum finanzieren. Nachdem die Welternährungsorganisation (FAO) vor einer Hungersnot warnte, startete die Europäische Union (EU) Ende 1994 ein Hilfsprogramm, bei dem Kirgistan mit rund 40000 Tonnen Mehl beschickt wird – ein Teil von einer Million Tonnen Nahrungsmitteln, die auch nach Aserbaidschan, Armenien, Georgien, Moldawien und Tadschikistan gehen. „Die ökonomische Transformation kann nicht gelingen, wenn es an Grundnahrungsmitteln fehlt“, plaudern die Organisatoren.

„Es handelt sich nicht um humanitäre, sondern eine strukturelle ökonomische Hilfe“, betont Denise Dastrebeck, der im Auftrag der EU die Hilfslieferung vor Ort

... es ausprobiert, es ist oben Konditormehl, es eignet“, meint einer. Für das kirgisische „Eik“ nehmen sie lieber gebe es auf den Basaren. Auf solche Probleme räumt Dastrebeck ein, „sen tatsächlich schwiegen auseinander, wurde in Säcken gelie Familien fast identisch dürfen sie nicht verk sollen auf den Basar sei zwar geprüft und worden, aber über die distriertes Fladenbrot offenbar keiner nach

„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:

- Be honest.
- Reverse the power structure by making it clear why the informant is important to the study (*he/she is the knowledgeable, you are the learner*)
- Identify possible reasons the person might not trust you. How can you prove to them you are trustworthy? (*Simply telling them won't cut it.*)
- Recognize that this takes time. Don't rush things.
- Brief, regular and frequent contact can often do far more than lengthy, sustained interaction, especially at first. Consistency breeds trust.



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”



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. (© Rambaldi);

Video on the Process:

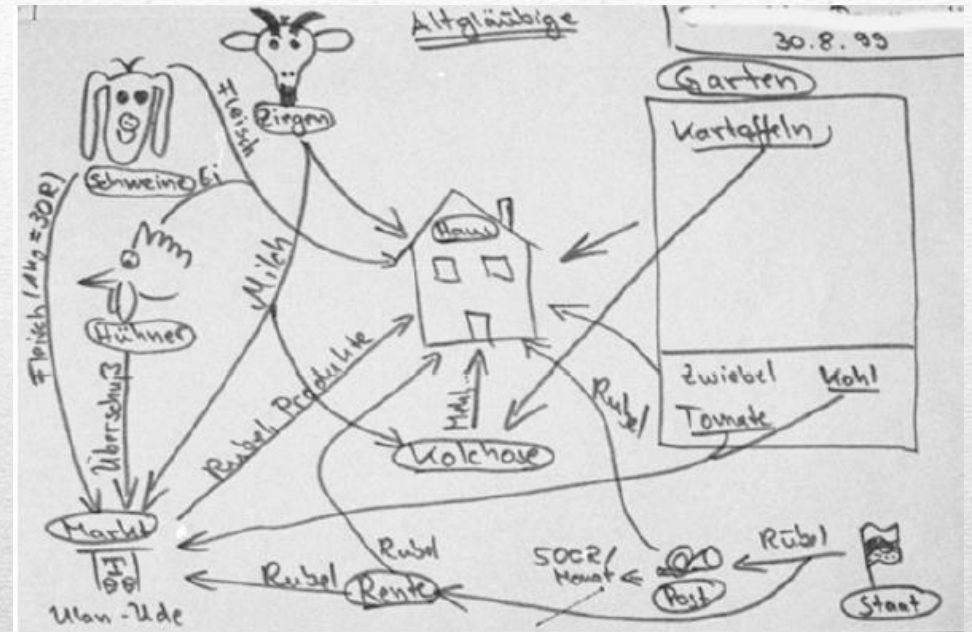


<https://www.youtube.com/watch?v=TXiAr-zi8CE&list=UUOQOrfRjCnoK1rC31AaG09A&index=22>

Resource Flow Chart



"Resource-flow chart of a 2-person household in a russian-german village in Siberia" (Schönhuth 1999), creation time approx. 70 min.



Resource flow chart of a Old Believer household near Ulan Ude/Lake Baikal (Schönhuth 1999). Creation time approx. 50 min.; linguistic communication almost exclusively via language dictionary

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)

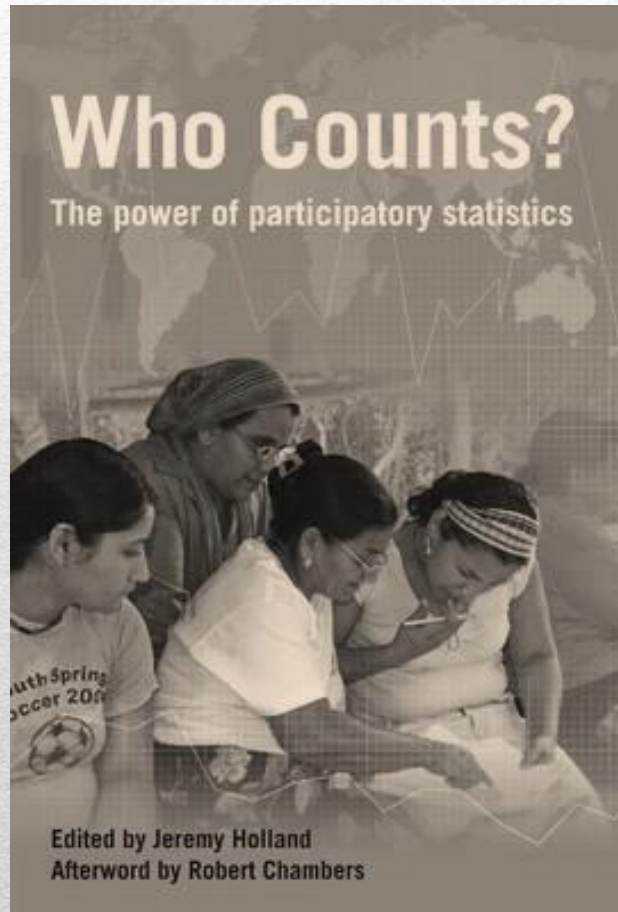
Participatory Methods Handbooks



- 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;

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]

Examples of Participatory Research

Health Research in village communities, Uganda I



- 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....

Examples of Participatory Research

Health Research in village communities, Uganda II



- 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>

Examples of Participatory Research

Participatory research in major transnational projects



The poster for the TRAF'G 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 'TRAF'G Transnational Figurations of Displacement' is accompanied by the subtitle 'Connectivity and Mobility as Solutions to Protracted Refugee Situations'. A small EU logo and funding information are at the bottom left.

Partners

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

Addis Ababa University, Ethiopia
Aristotle University of Thessaloniki, Greece
CMI (Chr. Michelsen Institute), Norway
Dunhuo University Keras, 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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contact@trafig.eu

TRAF'G
Transnational Figurations of Displacement

Connectivity and Mobility
as Solutions to
Protracted Refugee Situations

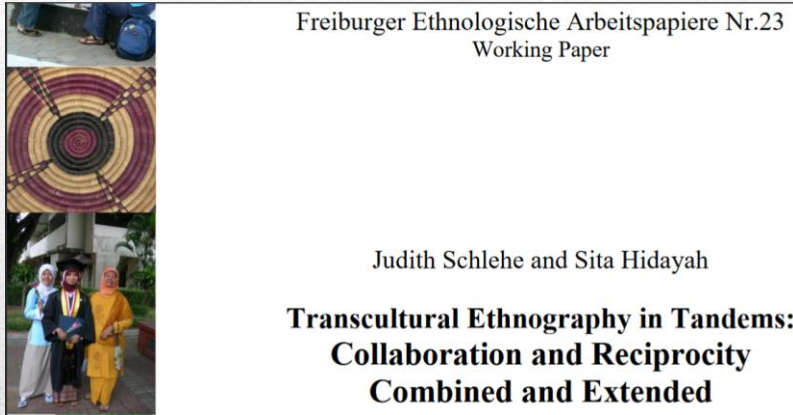
Design: Hermann Grottel, Bonn - #Bonn@Bonn123

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).

Examples of Participatory Research

Research in transcultural tandems

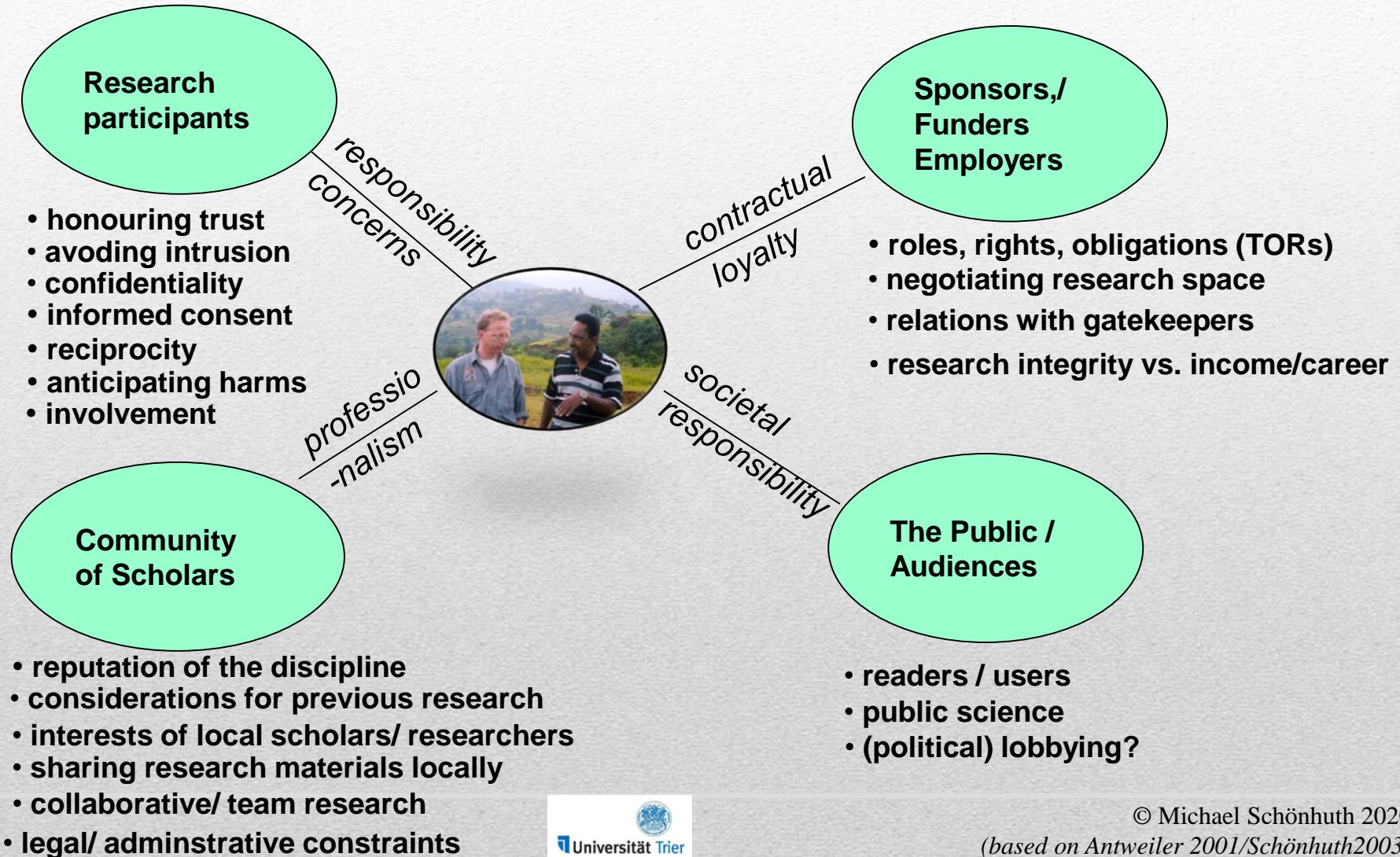


- shared between the anthropological institutes in Yogyakarta (Indonesia) and Freiburg i. Br. within the framework of the university training.
- Two students from each universities conduct research on a common research topic; four to six weeks in Indonesia and then just as long in Germany. The change 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).

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

The Ethics Square

Balancing ethical „accountabilities“ in ethnographic research



Relations With and Responsibilities Towards Funders 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 1999)
- *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 1999)

Ethical Guidelines of the Working Group for Development Anthropology

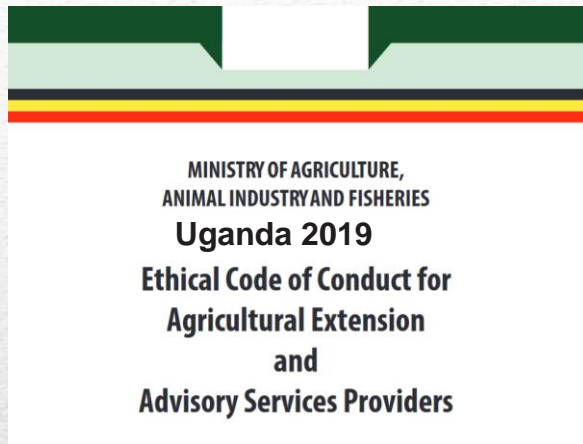


2001 Ethical Guidelines of the Workgroup Development Anthropology (AGEE) e.V.

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

Ethical Codes for Agricultural Research and Extension (*Uganda*)

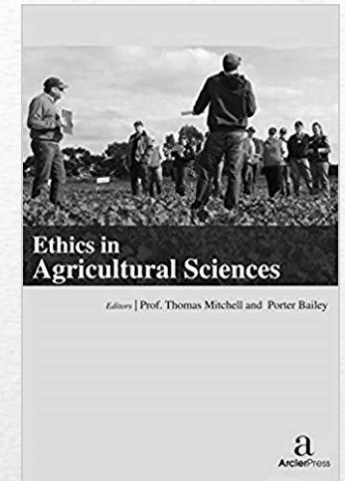


<http://agriculture.go.ug/wp-content/uploads/2019/04/Ethical-Code-of-Conduct-for-Agricultural-Extension-and-Advisory-Services-Providers.pdf?fbclid=IwAR2nzdBrlV9jkm-Qy1EeXwW2NtrFHx66GbaMHXeKSFvcVkiPbwGY9P1DGfI>



<http://www.tropentag.de/2005/abstracts/full/697.pdf>

- **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[....]



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.



Relations with own, host governments and colleagues



- *Conditions of access:* Researchers should seek assurance that they will not be required to compromise their professional and scholarly responsibilities as a condition of being granted research access.
- *Cross-national research:* Research conducted outside one's own country raises special ethical and political issues, relating to personal and national disparities in wealth, power, the legal status of the researcher, political interest and national political systems:
 - (a) Ethnographers should bear in mind the differences between the civil and legal, and often the financial, position of national and foreign researchers and scholars;
 - (b) They should be aware that irresponsible actions by a researcher or research team may jeopardise access to a research setting or even to a whole country for other researchers, both anthropologists and non-anthropologists. (ASA 1999)

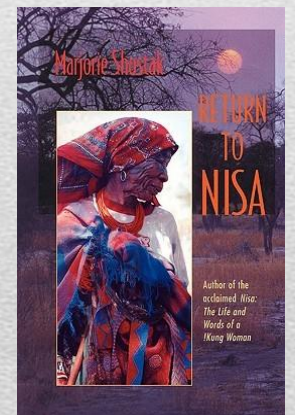
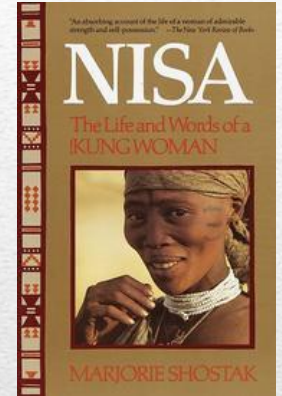
The Ethnographic Experience: Encounters and Re-Encounters



Marjorie Shostak in the Field (1979)

https://www.goodreads.com/photo/author/53628.Marjorie_Shostak

- **Nisa 1981:** The story of two women - one a hunter-gatherer in Botswana, the other a young American anthropologist: Can there be true understanding between people of profoundly different cultures?
- **Return to Nisa 1989:** tells of Shostak's rediscovery of the !Kung people ten years later and recounts the discomfort and confusion of fieldwork along with its fascination and lessons that inevitably follow when anthropologists (like her younger self) romanticize the !Kung.....



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