



Analyzing the Social Impacts of Disasters

Volume II: Tools

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INTRODUCTION

Purpose & audience of the tools

These tools provide guidance on conducting post-disaster social impact analysis. They are aimed primarily at early recovery and reconstruction actors from governments, the international community and civil society who participate in the PDNA and longer-term post-disaster monitoring. They are also intended as a resource for government institutions and other actors who wish to conduct post-disaster social impact analysis outside the PDNA framework, for example in countries where the government has not requested the support of the international community to manage its disaster response.

How to use these tools

The tools are in two volumes. They are accompanied by a policy note and summary note.

Policy Note & Summary Note

The **Policy Note** is aimed at government and PDNA coordinators. It provides a snapshot overview of social impact analysis and its relationship with PDNAs. The **Summary Note** is aimed at social impact task teams. It provides a more detailed summary of these tools for those with limited time.

Volume I: Methodology

Volume I is aimed primarily at teams conducting social impact analysis and local research partners, but also has guidance for PDNA coordinators and government.

Chapter One, 'Why Analyze the Social Impacts of Disasters', introduces social impact analysis, outlines the rationale for analyzing the social impacts of disasters and presents case studies from the Philippines and Myanmar.

Chapter Two, 'Getting Started', outlines the overall steps and decisions involved in post-disaster social impact analysis.

Chapter Three, 'Research Design', identifies the steps involved in research design. It provides guidance on scope and sampling, introduces the main research instruments, and identifies key research domains.

Chapter Four, 'Fieldwork', identifies the steps involved in conducting fieldwork. It guides the local partner on preparing a field guide and on fieldwork procedures, including detailed guidance on interviewing, conducting focus groups and surveys, managing and storing data, and research ethics and safety.

Chapter Five, 'Analysis' identifies the steps involved in synthesizing, analyzing and presenting data. It highlights common issues that may arise and presents experiences of conducting post-disaster social analysis from Myanmar and the Philippines.

Volume II: Tools

Volume II is aimed at teams conducting social impact analysis and local research partners. It contains further practical and operational resources.

Chapter One introduces some background concepts in social analysis.

Chapter Two is a more detailed overview of the research domains.

Chapter Three is a sample outline for a research field guide.

Chapter Four contains sample data formats for conducting fieldwork.

Chapter Five contains a sample terms of reference and budget and information on contract and grant modalities.

CHAPTER ONE:
KEY CONCEPTS IN SOCIAL ANALYSIS

Key concepts

In order to conduct social impact analysis, it is useful to understand some basic concepts in social analysis and how they relate to disaster recovery. Definitions and approaches to some of the concepts vary. These tools thus take a simplified approach:

Social capital refers to the networks and norms of trust and reciprocity among people that enable them to act collectively to pursue shared objectives.¹ After disasters, people rely on social capital to help one another rebuild their lives and communities: for example, they may offer one another shelter, look after one another's children, volunteer their free time to rebuild community infrastructure, or organize themselves to advocate for their community's needs among aid providers. Research on disasters has shown that the level of social capital is one of the strongest predictors of the speed and effectiveness of post-disaster recovery.² Social capital can, however, be damaged by certain types of aid interventions, such as those in which people are resettled into disparate communities where they know few people or where some social groups are perceived to be unfairly benefiting over others.

Social cohesion refers to the nature and extent of social and economic divisions within a particular society.³ It is closely related to social capital. Socially cohesive communities tend to be ones whose members feel some sense of belonging and community, and either share values or a tolerance for one another's differences, but do not need to be homogenous or always harmonious. They usually have low levels of perceived social and economic inequity. After disasters, socially cohesive communities may find it easier to face the collective challenge of rebuilding. The aid effort may, however, damage social cohesion by creating perceived inequalities among groups, which can lead to wider social problems.

Collective action refers to people acting together to pursue a shared end. This, however, can be hard to achieve: it can be difficult to get individuals to join others in providing a good the entire community can use, such as a public road or bridge, because doing so costs time, money or energy and people may be tempted simply to benefit without contributing. If enough people make this calculation, it can mean the good is not provided. However, this is less likely in small or socially cohesive communities where people know and trust each other, feel some social obligation to contribute, and expect that others will reciprocate. After disasters, affected communities face the collective challenge of rebuilding their physical infrastructure and other aspects of their communities. They may be asked to contribute their labor and time to this effort. People are more likely to do this in communities with higher levels of social capital and cohesion.

Social inclusion/exclusion refers to the extent to which people have equitable access to the things that benefit their communities, including markets, public services, decision-making processes and community life.⁴ Socially inclusive societies tend to be ones whose

¹ A distinction is usually made between 'bonding' social capital, which links similar individuals, and 'bridging' social capital, which links dissimilar individuals, crossing social boundaries such as ethnicity, income or religion.

² See Daniel P. Aldrich. "The Power of People: Social Capital's Role in Recovery from the 1995 Kobe Earthquake" *Natural Hazards* (2010) and Daniel P. Aldrich, *Fixing Recovery: Social Capital in Post-Crisis Resilience* June 2010

³ See Easterly, W., Ritzan, J., & Woolcock, M. *Social Cohesion, Institutions and Growth*. Washington DC: Center for Global Development Working Paper no. 94, August 2006.

⁴ See Asian Development Bank. *Handbook on Social Analysis*. Manila: Asian Development Bank, 2007.

members feel valued and respected. Conversely, social exclusion can mean people are shut out of the social, political, economic and cultural systems that make up the social fabric of their communities. After disasters, aid interventions may increase social inclusion by ensuring that all community members, not simply elites, are able to participate in aid decision-making and benefit from aid programs. They may also, however, unintentionally create social exclusion by promoting the needs of certain groups over others. If the wider community is not involved in these decisions, this can lead to social cleavage and division. Programs targeted at particular groups may promote social inclusion along some dimensions but promote social exclusion along others.

Participation refers to people taking part in decisions about the things that affect them. Disaster recovery involves a number of decisions, including about what to rebuild where and in what order, what kinds of targeting methods should be used, which community members are able to benefit from aid programs and how aid programs are run. If affected community members are able to participate in those decisions, it makes it more likely that the programs will meet local needs and fit with local realities. It is important, however, that projects make an effort to ensure that community elites do not dominate decision-making. Poorer community members may lack the time, ability or information necessary to participate in such projects and represent their interests effectively, as more of their time is taken up trying to make ends meet.

Institutions refer to the formal and informal rules and norms that govern how people behave. These 'rules of the game' are distinct from, but underpin, **organizations**, which are groups of people who organize themselves for some purpose, such as prayer groups, farming cooperatives, credit unions, sporting clubs, schools and village councils. The strength of local institutions and organizations are an important determinant of how well communities are able to recover from disaster, organize themselves and represent their needs, but they can also serve as a mechanism for social exclusion. Local institutions and organizations may also be affected by the disaster and aid effort. For example, young people may be extremely active in the aid effort, which may affect the wider 'rules of the game' and give them a more prominent position in their communities.

CHAPTER 2:
SAMPLE RESEARCH TOPICS

Objectives

This chapter outlines in detail some of the research topics that can be included in a social impact analysis study. It is important to note that:

- Not all research topics are expected to be included in each study. The social impact task team and local partner should decide which to include when determining the scope of the study.
- This is not intended as an interview guide. Instead, during training, the research team should devise a questioning strategy to enable them to get the information outlined in the research topics. This strategy will differ by context and according to cultural norms and therefore cannot be pre-determined by this guidance note. After researchers and the local partner have devised a questioning strategy, the **question probes** they identify should be include in the revised field guide.⁵
- The data formats for the study should be designed once the research topics have been selected. It is important that they are consistent with the research topics. The sample data formats included in this guidance note are for a specific social impact study so should be used as a rough guide only.

1. Socioeconomic Impacts

FOCUS AREA: SOCIOECONOMIC IMPACTS

1. Socioeconomic composition

- Livelihood groups
- Wealth categories
- Vulnerable groups

2. Livelihoods recovery

Impacts on assets, livelihood strategies and outcomes for key groups, such as:

- Farmers
- Fishers
- Casual laborers
- Traders
- Commerce & industry

3. Local economic structure

- Markets
- Debt & credit
- Land

4. Household coping strategies

- Reducing expenditure
- Migration & resettlement
- Remittances

This focus area analyzes how the disaster and relief and recovery effort affect the assets, capabilities and ability to recover of different socioeconomic groups within affected communities. This includes impacts on how different socioeconomic groups are progressing in recovering their livelihoods; impacts on why they are progressing the way they are, including impacts on markets, debt and credit, and land; and impacts on what households are doing to cope with the disaster's impact, including reducing expenditure and migrating

⁵ An example of how to tailor the research domains to suit context and devise a questioning strategy, complete with 'question probes' for each research domain, can be found in the field guide for the social impact assessment conducted in the Philippines. It can be downloaded at http://www.pdf.ph/downloads/PDNA/PDNA-Social_Impact_Assessment_FINAL_20100725.pdf.

in search of work. It also includes impacts of the disaster and relief and recovery effort on vulnerable groups.

1. Socioeconomic composition

This topic examines how the disaster and relief and recovery effort have altered the socioeconomic composition of affected communities. It aims to map the primary livelihoods and different wealth categories as a starting point from which to examine impacts on livelihood recovery, the local economic structure and household coping strategies.

1.1 Livelihood groups

- *Livelihood groups in affected communities.* The aim here is to identify a breakdown of these groups both before and after the disaster. Combined with the wealth categories outlined below, this information will be used as the basis for examining the livelihoods recovery ability and coping strategies among different socioeconomic groups. It outlines the main livelihood activities of different groups of people over the course of the year, the proportion of people seeking their primary livelihood through that activity, and the basic details of that activity.⁶ Guidance on how to gather this information is given in the annexes.

1.2 Wealth categories.

- *Wealth categories.* The aim here is to identify a wealth breakdown of different groups in affected communities, both before and after the disaster. What are the different wealth categories within that community? What does it mean to be 'rich', 'medium' or 'poor'? What differentiates people in those categories? What kinds of houses do they live in, what clothes do they wear and what food do they eat? Guidance on how to gather this information is given in the annexes.

1.3 Vulnerability

- *Vulnerability.* The aim here is to identify a 'vulnerability map' in affected communities before and after the disaster, in order to identify which the most vulnerable groups are in a way that is not pre-determined. Who do community members believe are the most vulnerable or marginalized in their communities? Why are they considered vulnerable? Has this changed since the disaster and if so how?

2. Livelihoods recovery

This topic uses the socioeconomic groups identified above to identify the impact of the disaster on people's ability to recover their livelihoods. For each of the main livelihood & wealth groups identified in a particular community, the aim is to understand the impact of the disaster and relief and recovery effort on:

- *People's assets and resources* (human resources such as labor, physical resources such as livestock, boats and farm equipment, financial resources such as savings and credit, and natural resources such as land, which may be depleted by the disaster but partly replaced by appropriate livelihoods aid)
- *How people use* those resources to earn a livelihood (what strategies they employ and how they are able to use their assets, for example, the number of acres of farmland they plant, which is affected by the price of *inputs* and the availability of resources)

⁶ E.g. in Village 1, 50% of people seek their primary livelihood through farming of rice and cassava.

- *What people are able to earn* from their use of their assets (for example, the amount of profit a farmer makes, which is affected by the price of her inputs, her production yield, her access to markets, the cost of transport, how much she is able to sell and what price she is able to get for her products).

The sub-topics will depend on the livelihood groups that exist in the community. Some common livelihood types are listed below, along with associated research areas:

2.1 Farmers

For different kinds of farmers, differentiated by wealth:

- *Productive assets*: How have the disaster and relief and recovery effort affected the assets of farmers? Have they lost family members who work the farms, livestock, farm equipment, access to arable land or their savings or loans? To what extent has the relief and recovery effort helped replace these assets? Are farmers in debt? (Debt and credit are examined in further detail separately). Has the kind of livelihoods aid provided to farmers helped them?
- *Livelihood strategies*: This aims to understand how the disaster and relief and recovery effort have affected how farmers are using their existing assets. Are they planting less of their key crops because the price of seed, fertilizer or labor has gone up? Is this normal and seasonal, or only since the disaster? Are they planting less because they have to spend money to service their loans? Key quantitative information to get is the price of producing their crop (fertilizer, seed, labor and land use).
- *Earnings*. This aims to understand how the disaster and relief and recovery effort have affected farmers' livelihood outcomes. Have farmers' yields gone down? Are they making less profit because the price of transporting their goods to market has increased, because they have less of their crop to sell or because the price of their crop has decreased in the market? Key quantitative information to get is the total yield for their main crops, the costs of selling it (e.g. transport) and the price they are able to get for it.

2.2 Fishers

For different kinds of fishers, differentiated by wealth:

- *Productive assets*: How have the disaster and relief and recovery effort affected the human, physical, natural and financial assets of fishers? Have they lost boats, motors, fishing nets and cash? Has the disaster affected their access to streams and rivers? Has fishing-related livelihood aid been effective?
- *Livelihood strategies*: Have fishers changed how they put their assets to use? Are they catching different kinds of fish? Have they shifted from catching fish to trawling for crabs and mussels?
- *Earnings*. This aims to understand livelihood outcomes. Are fishers earning less, and why? Have fishing yields dropped? Are they selling lower-cost types of fish? Has the price of the fish they are selling dropped?

2.3 Laborers (agricultural and non-agricultural)

- *Assets*: How have the disaster and relief and recovery effort affected the human, physical, natural and financial assets of laborers? Have they been injured by the disaster? Have they had less time to work because they are too busy trying to repair their homes?
- *Employment*: Have laborers been able to find as much work since the disaster? Have farmers affected by the disaster been able to afford fewer laborers? Have factories damaged by the disaster reduced their hiring?

- *Earnings.* Have the earnings of laborers changed? Has the price of their labor gone up or down? How has this affected their earnings?

2.4 Petty traders/micro-enterprises

- *Productive assets:* How have the disaster and relief and recovery effort affected the human, physical, natural and financial assets of traders and people who run micro-enterprises? Has the disaster damaged their stock of goods? Has it damaged the place where they sell their goods or, if they sell in different places, how they get their goods to market? If they run a micro-enterprise, for instance making fish paste or soybean cakes, has any of their equipment been destroyed? Have their savings been destroyed? Has livelihoods aid helped them?
- *Livelihood strategies:* Have petty traders and people who run micro-enterprises changed their livelihood strategies? Do they have the same access to supply that they did before the disaster? Have the prices of wholesale goods or their raw materials gone up? Has the cost of transporting goods changed? Have they changed what they sell or produce? Why and how?
- *Earnings.* Are petty traders and owners of micro-enterprises making less profit than before? Have prices of their goods changed? Are they selling less than before?

3. Local economic structure

This topic examines how the disaster and relief and recovery effort have affected wider aspects of the local economic structure, including markets, debt and credit, and land. This enables researchers to understand how different parts of the local economy interact and why different socioeconomic groups may be affected in different ways by the disaster and relief and recovery effort.

3.1 Markets

- *Impact on markets.* This aims to understand the impact of the disaster and relief and recovery effort on how markets function. Where and how do producers in communities (farmers, fishers, small business owners) typically sell the things they produce? Has their access to these markets been reduced, for instance because the road to the market is destroyed? Has the cost of transporting goods to markets changed? Has the disaster or relief and recovery effort changed the way that producers get information about prices, for instance by destroying telecommunications infrastructure or by providing producers with new types of information technology? Have prices in the market for key goods changed?

3.2 Debt & credit

This examines the impact of the disaster on the indebtedness of different livelihood and wealth groups and on the availability and cost of credit. It covers such topics as:

- *Purpose of borrowing.* This examines why different groups borrow and the impact of the disaster and relief and recovery effort for this. Are people borrowing for food, education, health, housing, and working capital or to repay previous loans? Has this changed? How? Are people borrowing to repair their houses? Are they borrowing more to meet basic food needs?
- *Sources of borrowing.* This aims to understand where people are borrowing from and whether this has changed since the disaster. Are people borrowing from friends? Relatives? Pawnshops? Informal moneylenders? Shops or small businesses? Traders in

the market? Banks and other formal moneylenders? NGOs or other relief and recovery providers?

- *Terms of borrowing and cost of credit.* This aims to understand the terms of borrowing for different kinds of loans. What are the interest rates? Do these differ according to the size of the loans, and how? Do these differ if borrowers have collateral? What are the usual loan terms and implications of default? Do people have to repay daily, weekly, monthly, yearly, seasonally or with some other method? Do the terms of borrowing differ by type of borrower or creditor?
- *Loan sizes and indebtedness.* How much do different livelihood and wealth groups borrow? Has this changed since the disaster? What is the typical loan size? What is the total indebtedness of different groups?
- *Consequences of default.* What happens if borrowers default on their loans? Does their land and other collateral get seized? Are creditors flexible with the loan terms? Do borrowers know their creditors? Do social relations among borrowers and creditors affect how flexible creditors are?
- *Availability of credit.* Have the disaster and relief and recovery effort changed the availability of credit? Are creditors less able to offer loans because their borrowers are less able to repay previous loans? Are relief and recovery programs offering loans?
- *Coping with rising debt.* If borrowers are having difficulty with rising indebtedness, how are they coping with this? If creditors are having difficulty, how are they coping?

3.3 Land

This aims to understand the impact of the disaster and relief and recovery effort on land use, access and management, if not already gathered during interviews with farmers. It includes such topics as:

- *Land condition.* What is the condition of land normally used for farming? Is it still possible to farm it? Have some people stopped using their land because of its condition?
- *Land yields.* Have yields from the land decreased because the soil quality has decreased? If so, how are farmers coping with this?
- *Land use rights.* Have farmers retained their right to use land? Has land been taken from smaller farmers and given to bigger farmers, companies or business-people? Are people worried they will lose their land rights? Have the families of farmers who died retained their land-user rights? Have there been any land disputes?

4. Coping strategies

This aims to understand how different livelihood and wealth groups have coped with the impact of the disaster and relief and recovery effort on their households. It includes such topics as:

4.1 Reducing household expenditure & other coping strategies

- *Household expenditure.* Have different groups reduced their household expenditure as a result of the disaster? How? Have they reduced their food intake? Have they tried to cope in other ways, for instance by selling livestock, taking children out of school or borrowing more money?

4.2 Migration & resettlement

- *Resettlement & relocation.* Have people had to be resettled because of disaster damage (other than for work)? If so, what resettlement assistance have they received? Do they

prefer the current location? Are they able to pursue the same livelihoods as before, and what changes to employment and livelihoods have they received? How do they feel about safety and security in the new location? If community members have moved with them, has community cohesiveness changed?

- **Migration.** Have people left the community in search of work elsewhere? If so, have they gone far? Have they found work? Are particular kinds of people leaving, such as men or women, young or old, skilled or unskilled? Have people taken jobs that may put them at risk?
- **Remittances.** Have the remittances that households are receiving changed (increased or decreased)? What are their sources? Do remittances now form a higher proportion of household income?

II. Impacts on Social Relations & Cohesion

This focus area analyzes how the disaster and relief and recovery effort affect social relations at community level and among communities. This includes the impact on the social composition of affected communities, impacts on the roles of and relations among different social groups, and impacts on social capital and cohesion.

FOCUS AREA: IMPACTS ON SOCIAL RELATION AND COHESION

1. Social composition, roles & relations

- Gender
- Age
- Religion & ethnicity
- Caste

2. Social capital & cohesion

- A. Social capital
- B. Social cohesion

1. Social composition, roles and relations

This topic examines the impact of the disaster and relief and recovery effort on the social composition of affected communities and the social roles of and relations among different groups. These groups can be differentiated in several ways, including along gender, age, class, religion, and ethnic and caste lines. However, not all of these categories will be relevant in all post-disaster settings. Although gender and age are usually salient, it is unnecessary to explore caste in societies without a caste system. In religiously or ethnically homogenous societies, it may not be necessary to explore religious or ethnic impacts in much depth, though they should still be covered at least briefly to allow any changes in perceptions of religion and ethnicity to be monitored.

1.1 Gender

- **Gender composition.** This aims to understand the impact of the disaster on the gender composition of affected communities. Were disproportionate numbers of women or men killed by the disaster? Has the number of households led by widows or widowers increased? Have marriage patterns changed? Has the disaster affected ages and rates of remarriage or divorce? Has the disaster led to disproportionate migration of women or men out of the community in search of work or spouses outside the community?
- **Gender roles:** This aims to understand the impact of the disaster on gender roles, both within households and outside the home. Are men and women taking on different roles

within the household? For example, are men taking on what are traditionally thought of as 'women's' duties? Have the disaster and relief and recovery effort affected men's and women's roles outside the home? Are men and women seeking new forms of work, and if so, does this put them at risk of gender-based exploitation? Has the role of women and men in the relief and recovery effort affected wider gender roles?

- *Gender relations*: This aims to describe changes in gender relations since the disaster and relief and recovery effort. Do men and women report any changes in gender relations as a result of the cyclone or relief and recovery effort?
- *Gender-based violence*: This aims to understand how the disaster and relief and recovery effort have affected gender-based violence. Have the disaster or relief and recovery effort led to an increase in gender-based violence, for example through any exacerbating impact of psychosocial trauma or economic hardship?

1.2 Age

- *Age composition*. This aims to understand the impact of the disaster on the age composition of affected communities. Did disproportionate numbers of children or the elderly die? Were disproportionate numbers of children or the elderly left without caregivers? If so, how are communities coping with this? Have disproportionate numbers of working-age adults left their communities in search of work? What has been the impact of this on the families they have left behind?
- *Age roles*: This aims to understand the impact of the disaster and effort on the social roles of different age groups. Has the change in the age composition of affected communities led younger or older people to take on new tasks? Have younger or older people played a more prominent role in the relief and recovery effort than they might do otherwise?
- *Age relations*. Have changes in the age composition and age roles affected the way that different age groups relate to one another?

1.3 Religion

- *Religious composition*. This aims to understand impacts on the religious composition of affected communities. Did disproportionate numbers of members of one religion die, for example because they lived in a different part of the community than others? Have there been any other changes in religious composition as a result of the disaster and relief and recovery effort? Have people increased their level of religious observance as a result of the disaster or converted to other religions after seeing members of those religions participate in the relief and recovery effort? Has there been an increase in inter-religious marriage?
- *Religious roles*. Have there been any changes in the roles of religious figures within the community as a result of the disaster and relief and recovery effort? For example, are religious figures spending a greater proportion of their time on aid-related and community affairs?
- *Religious relations*. Have there been any changes in relations among religious groups as a result of the disaster or relief and recovery effort? Are religious groups active in providing relief and recovery assistance? Have they provided relief and recovery assistance to affected people regardless of religion? Are some religious groups receiving more relief and recovery assistance than others, and if so, how has this affected relations among religious groups? Have people from different faiths been helping one another?

1.4 Ethnicity

- *Ethnic composition.* This aims to understand the impact of the disaster and relief and recovery effort on the ethnic composition of affected communities. Did disproportionate numbers of members of one ethnic group die? Have there been any other changes in ethnic composition as a result of the disaster and relief and recovery effort? For example, has there been an increase in inter-ethnic marriage?
- *Ethnic roles.* This aims to understand the impact of the disaster and relief and recovery effort on ethnic roles. Have members of one ethnic group been particularly active in the relief and recovery effort? Have there been any changes in the roles of different ethnic groups as a result of the disaster or relief and recovery effort: for example, are different ethnic groups doing jobs they might not normally do?
- *Ethnic relations.* This aims to understand the impact of the disaster and relief and recovery effort on relations among ethnic groups. Do community members report any positive or negative changes in inter-ethnic relations? Has relief and recovery assistance been provided to all people regardless of ethnicity? Are some ethnic groups perceived to be unfairly benefiting over others? If so, what is the impact of this?

1.5 Caste⁷

- *Caste composition.* This aims to understand the impact of the disaster and relief and recovery effort on the caste composition of affected communities. Did disproportionate numbers of particular castes die? If so, which ones? Has the disaster affected marriage patterns among members of different castes?
- *Caste roles.* This aims to understand the impact of the disaster and relief and recovery effort on caste roles within affected communities. What role have members of particular castes played in the recovery effort? Have people been playing roles they would not normally play? If so, how? What do community members think of this? Do people think any changes will persist?
- *Caste relations.* This aims to understand the impact of the disaster and relief and recovery effort on relations among different caste groups. Have certain caste groups been particularly active in the relief and recovery effort? Has relief and recovery assistance been provided to all people regardless of caste? Do community members think certain caste groups are unfairly benefiting over others, or that particular caste groups are neglected? If so, what is the impact of this?

2. Social capital and cohesion

This topic examines the impact of the disaster and relief and recovery effort on social capital and cohesion. It aims to understand whether changes wrought by the disaster and relief and recovery effort have altered either the norms and networks of trust among community members or the level of community and social tension, and is closely related to the sub-topic on inter-group relations above.

2.1 Social capital

- *Strength of social capital:* This aims to understand the strength of social capital in affected communities. Since the disaster, have people been helping one another to rebuild their lives, and in what ways? Have people shared their shelter and food with one another and lent their money, time, labor or equipment to the recovery effort, or is there a sense that people are 'in it for themselves'? Have people helped rebuild community infrastructure? Have people worked together to provide assistance for those

⁷ This should be investigated if relevant to context.

who are particularly vulnerable? If refugees or displaced people have arrived in the community since the disaster, have they been welcome into the community?

- *Changes in social capital:* This aims to compare the strength of social capital in affected communities before and after the disaster. Has the experience of going through the disaster together, and participating in rebuilding, changed the norms and networks among community members that enable them to get things done? If people have acted collectively to rebuild their communities, has this approach to solving problems spilled over into other areas of community life? Do people belong to more associations, organizations and other groups than they did before the disaster?
- *Social capital and displacement.* If people have been displaced by the disaster or have had to migrate in search of work, has this affected social capital? Do people find aspects of their lives harder because they can no longer rely on friends and neighbors to help them? What is the impact of this on their wellbeing?

2.2 Social cohesion

- *Impacts on inequality.* This aims to understand if the disaster or relief and recovery effort have increased or decreased wealth disparities in affected communities. How many people have regained their previous economic position? Have people been able to recover their livelihoods at the same rate? Are there now greater or fewer disparities among social groups? How does this manifest itself?
- *Deprivation.* This aims to understand the impact of the disaster and relief and recovery effort on hardship and deprivation. Are some groups struggling considerably compared to others? Have they experienced a persistent lack of food, shelter and other basic goods?
- *Conflict, crime & violence.* This aims to understand the impact of the disaster and relief and recovery effort on conflict, crime and violence. Have levels of crime, violence or conflict changed since the disaster? If so, why? Has aid inequality caused social tension? Has deprivation caused some people to loot or steal from one another? Have levels of violence risen due to post-traumatic stress or other psychosocial trauma?

III. Relief, Recovery & Accountability

This focus area analyzes the recovery effort as experienced by affected communities. It examines how those affected by disaster perceive, participate in and negotiate their interests regarding the aid effort. The underlying aim is to identify any emerging aid-related issues and enable the aid effort to be more responsive to local circumstances. This involves understanding the following topics:

FOCUS AREA: Relief, Recovery & Accountability

1. Overall patterns of relief and recovery assistance

- Levels and types of relief and recovery assistance
- The impact of aid on recovery
- Needs and shortfalls
- Contributions, aid dependency and burden
- Relief and recovery assistance & disaster risk

2. Relief and recovery targeting

- How relief and recovery assistance is targeted
- Aid equity
- Vulnerability and marginalization

3. Process of relief and recovery assistance

- Aid decision-making
- Aid distribution
- Aid information
- Aid negotiation

1. Overall patterns of relief and recovery assistance

This topic describes what and how much relief and recovery assistance has been delivered; what impact it has on recovery; needs and shortfalls; community contributions, dependency and burden; and the relationship between relief and recovery assistance and disaster risk.

1.1 Levels & types of relief and recovery assistance

- *What relief and recovery assistance has been received:* The aim is for researchers to list all relief and recovery assistance that affected communities have received and classify it into types such as 'health' and 'education'. During the first round of monitoring, researchers should list all relief and recovery assistance communities have received since the start of the relief and recovery effort. During subsequent rounds, researchers should list all relief and recovery assistance received since each previous round of monitoring. A sample relief and recovery assistance matrix can be found in the annexes to this guidance note.
- *How much relief and recovery assistance has been received:* The aim here is for researchers to classify communities into those that have received 'low', 'medium', or 'high' levels of relief and recovery assistance to enable later analysis. In order to do this, researchers need some way of quantifying relief and recovery assistance received. If each aid provider has shared information on the value of their relief and recovery assistance to affected communities, it may be possible to attach a monetary value to the total relief and recovery assistance received in each community. However, this is rare and so usually a proxy must be found. Often affected communities keep records of the *types* of relief and recovery assistance received. In contexts where the levels of relief and recovery assistance received within each type vary little among affected communities, adding up the *number of types of relief and recovery assistance* received can thus often be a useful proxy for assessing how much relief and recovery assistance has been received and thereby classifying affected communities into those that have received 'low', 'medium' and 'high' levels of relief and recovery assistance. If the levels of relief and recovery assistance received within each type *do* vary significantly among communities, researchers should note as much detail as possible about relief and recovery assistance received and later make a judgment call about how to classify communities.

1.2 The impact of relief and recovery assistance on recovery

- *How relief and recovery assistance has affected recovery:* The aim here is for researchers to gather enough information so that they can later assess whether relief and recovery assistance has been a strong determinant of recovery. To do this, researchers will need information on not only how much relief and recovery assistance has been received, but (a) how fast communities are recovering and (b) other factors that might help determine the speed of recovery, namely the level of damage and remoteness from urban centers. The speed of recovery is hard to measure objectively, so researchers will have to note as much detail as they can about recovery signs (such as the number of houses rebuilt) and come to a perceptions-based judgment about how to classify communities into 'slow', 'medium' or 'fast' recovery once they have visited other research locations. Classifications about the level of damage can also be perceptions-based, but ideally will be made based

on a proxy. The number of deaths can be a proxy where this correlates with the overall scale of damage. Where it does not, the proportion of dwellings destroyed can be used.

1.3 Community needs & shortfalls

- *Community needs and priorities:* The aim here is to understand what affected communities themselves feel they need. The easiest way to do this is to ask community members to rank the top three community priorities and needs. During the first round of research, researchers should ask community members to rank the top three priorities and needs both immediately after the disaster and at the time of the research. During subsequent rounds, researchers should ask community members about current priorities and needs. If affected communities cannot agree on community needs, researchers should note such disagreement.
- *Needs & shortfalls:* The first round of research should explore whether both the amount and type of relief and recovery assistance received has matched community priorities and whether there are any shortfalls in relief and recovery assistance. Subsequent rounds of research should focus on changes since the previous round.
- *Community preferences over the form of relief and recovery assistance:* The aim here is to understand whether and why community members prefer cash, credit or in-kind relief and recovery assistance.

1.4 Community contributions, aid dependency & burden

- *Community contributions to the relief and recovery effort:* The aim here is to understand the nature and extent of community contributions to the recovery effort. Are community members expected to contribute their money or labor to rebuilding projects that benefit their communities, such as public roads or bridges? Do certain social groups contribute more than others? If so, why?
- *Aid burden:* If community members do contribute to relief and recovery projects, what are their feelings about this? Are they happy to contribute, or do they feel it places undue burden on them? Does the method of decision-making over who contributes what affect how positively or negatively they view their contributions?
- *Aid dependency:* The aim is to understand the extent to which community members are dependent on relief and recovery assistance for survival, or whether they fear this taking place over the course of the relief and recovery effort.

1.5 Relief and recovery assistance and reducing future disaster vulnerability

- *Emergency preparedness:* The aim here is to assess how relief and recovery assistance has affected community disaster preparedness. Did affected communities have disaster preparedness plans in place before the disaster? Has this changed?
- *The impact of relief and recovery assistance on disaster risk:* Has the community managed to build back in ways that reduce their vulnerability to future disasters? What do they feel would reduce their vulnerability in future?
- *The impact of relief and recovery assistance on the wider environment:* The aim here is to understand if the relief and recovery effort has positively or negatively affected the community environment in ways that might alter future vulnerability to disaster.

2. Aid targeting

This topic examines what mechanisms are used to target relief and recovery assistance, whether this excludes particular groups, how community members feel about any

perceived inequalities in aid provision, and whether the targeting methods used have had any unintended consequences.

2.1 Mechanisms for targeting relief and recovery assistance

- *What targeting mechanisms are used:* The aim is to list and describe the different targeting mechanisms used by relief and recovery projects. For instance, do the projects target all community members, or particular sub-groups, such as women, widows and widowers, or those below a certain income bracket? Who decides on these targeting mechanisms, and how do they differ by project and by village?
- *Community perceptions of targeting mechanisms:* The aim is to understand what community members think of the targeting mechanisms used. Do they believe the mechanisms are fair? Which mechanisms do they prefer and why? Do different groups within the community prefer different kinds of methods? What has been the impact of the targeting mechanisms used?

2.2 Aid equity among communities

- *Equity of aid distribution within communities:* The aim is to describe how relief and recovery assistance has been distributed within communities (this is closely related to relief and recovery assistance targeting, but describes how relief and recovery assistance has actually been distributed, rather than how relief and recovery assistance has been intended to be distributed: corruption or other problems with relief and recovery assistance may mean there is a difference). Who has benefited from relief and recovery projects? Have some people not benefited, and why? Have some groups received significantly more than others? Have those who have received more relief and recovery assistance shared it with those who received less? Has any relief and recovery assistance been targeted to particular groups but actually distributed to others? Why? Has some relief and recovery assistance only gone to certain social groups, such as those of a particular ethnicity?
- *Aid distribution & displacement:* This aims to understand how displacement affects aid distribution. Are there displaced people in the community? If so, has special relief and recovery assistance been allocated for them? Has this affected relations between the displaced group and the host community?
- *Community perceptions of aid distribution:* The aim is to understand the range of community views concerning aid distribution. What do community members feel about the way relief and recovery assistance has been distributed? Do they feel it has been fair? If so, why? If not, why not? If community members disagree, why?
- *Consequences of aid targeting and distribution:* The aim is to understand whether the distribution of relief and recovery assistance has had any intended or unintended consequences. For example, has it brought community members closer together or created any kind of unintended social cleavage? Are there cases of people who have received disproportionately high levels of relief and recovery assistance sharing it with those who are equally needy? Conversely, are there cases where aid distribution has caused social tension? If so, how?

2. Aid equity among communities:

- *Equity, perceptions & consequences of aid distribution among communities:* This aims to understand how relief and recovery assistance has been distributed across the communities studied, what community members think about this (for instance, do they

feel they have received less relief and recovery assistance than neighboring communities and why?), and whether there have been any intended or unintended consequences to such distribution.

2.4 Marginalization and vulnerability

- *Community perceptions of marginalization and vulnerability:* The aim is to understand what community members feel are the most marginalized and vulnerable groups within their community, both before and after disaster. For example, do people commonly perceive widows, widowers, orphans, women, young people, the elderly, the disabled or the displaced to be ‘marginalized’ or ‘vulnerable’, or are do they think of vulnerability differently?
- *Sources of vulnerability.* This aims to understand some of the sources of marginalization and longer-term vulnerability in affected communities and the extent to which the disaster represents an opportunity for empowering vulnerable groups.
- *Marginalization and the relief and recovery assistance effort:* This aims to understand whether the relief and recovery effort has met the needs of the more ‘marginalized’ members of communities. Have such community members received any special relief and recovery assistance? Do they want special relief and recovery assistance? Has the provision of any special relief and recovery assistance had unintended consequences, for instance by making marginalized groups feel more socially isolated? Do community perceptions of what it means to be ‘marginalized’ differ from the understandings of aid providers over marginalization?

3. The process of relief and recovery assistance

This topic examines the process of aid delivery. It examines how relief and recovery assistance is being delivered and who is involved; whether aid information is made available and how; who participates in what kinds of decisions about relief and recovery assistance; and how affected communities and aid providers deal with aid-related complaints and problems.

3.1 Aid decision-making

- *How aid decisions are made:* The aim is to understand how aid-related decisions are made. Are affected communities involved in making decisions about the relief and recovery assistance they receive, including about how to allocate resources, identify aid beneficiaries, decide what kinds of targeting methods should be used, and decide where, when and how to rebuild roads, bridges, schools and other community infrastructure? If not, how are those decisions made?
- *Who participates in aid decisions:* If community members participate in aid decision-making, the aim is to understand who within a particular community participates. Do all community members participate, or are some kinds of community members more active than others? Do particular social groups, such as men or women, youth or the elderly, ethnic, religious and racial groups or poor or rich people, dominate decision-making? Are some social groups excluded from decision-making? What role have formal leaders, such as local government officials, had in the process?

3.2 Aid management & distribution

- *How aid is managed and distributed:* The aim is to describe how relief and recovery assistance is managed and distributed. Is a local committee set up to manage relief and

recovery assistance coming into the community? If so, do aid providers each set up their own committees? How does the process work?

- *Who participates in managing and distributing relief and recovery assistance:* The aim is to describe who within a particular community participates in managing and distributing relief and recovery assistance. Which actors have played the main role? Do particular social groups participate more than others? What has been the role of women, young people, community elders, religious leaders or newly formed local relief and recovery assistance committees? What has been the role of formal leaders, including local government officials?

3.3 Aid information

- *Aid information & transparency:* The aim is to understand how affected community members get information about aid. Do relief and recovery providers make information about aid publicly available, and how? To what extent do community members have and understand aid-related information? Do people know how decisions about relief and recovery assistance, including who is able to benefit, are made? Do they receive information about aid-related financial flows? Do they know where to find information if they do not already have it, and what happens when they look for it?

3.4 Aid negotiation

- *Advocacy & representation:* The aim is to understand how affected individuals, and affected communities as a whole, advocate for themselves and represent their interests relating to the relief and recovery effort. For example, what do people do if they feel their community needs a well or a school? Do they organize themselves to advocate for their needs with local government or aid providers?
- *Complaints and problems:* The aim is to understand how affected community members deal with any aid-related problems that arise. Have there been any aid-related problems? If so, what has the community done to deal with them? Has the problem been resolved? Has the problem spilled over into other areas of community life? For example, if one group feels that another group is unfairly benefiting from aid, has it affected social relations among those groups?

4. Other issues

4.1 Other issues

- *Other issues:* The aim is to capture any other issues that may arise that are not captured in the list of topics above. For example, have affected communities experienced any special problems related to the aid effort? How have these been resolved?

IV. Community & Institutional impacts

This focus area examines how the disaster and relief and recovery effort have affected the wider 'rules of the game' within communities and the impact on community leadership. This includes impacts on relations among community members and leaders and the impact on community and inter-village organizations.

FOCUS AREA: COMMUNITY & INSTITUTIONAL IMPACTS

1. Organizations & institutions

- Organizational & institutional mapping

- Role of organizations and institutions in disaster recovery & aid
- Organizations, institutions & social groups

2. Leaders & institutions

- Leadership profiling
- Relations among leaders
- Institutional change: voice & accountability
- Background & potential of leaders

1. Organizations

1.1 Organizational and institutional mapping

- *Mapping and profile of organizations and institutions.* The aim here is to identify the key social, religious, political, economic and other types of organizations active in the community, as well as the broader institutions and traditions that exist. Which of these are formally recognized organizations, and which are 'informal' or traditions? Which are more important? Is there any competition or conflict among them? Which institutions or organizations are linked to institutions and organizations outside the village, and how?

1.2 Role in disaster recovery

- *Role of organizations & institutions in disaster recovery.* The aim is to understand what role these organizations and institutions have played in disaster recovery, in order to understand whether this has changed their role in the community and their importance relative to other organizations. This should include the role of local authorities in the recovery effort.

1.3 Organizations, institutions & social groups

- Are some organizations and institutions more important to certain social groups within communities? Do some social groups have greater access to organizations or institutions that enhance their assets and enable them to recover more quickly from the disaster? For example, are richer members of the community members of credit unions that offer cheaper credit than is available for poorer people?

2. Leaders & institutions

This topic examines the importance of leadership in aid effectiveness and social life at the community level, and the impact of the disaster and recovery effort on community leadership. Good leaders have the capacity to 'activate' or undermine social capital, and disasters may affect community leadership through the impact of *aid* (the increase in contact with external institutions and increases in resource flows that may follow after a disaster); *socioeconomic changes* (the impact of livelihood and economic changes on the community leadership profile) and *social changes* (the impact of the possible increased role of community leaders in mediating and handling aid-related social tension, post-disaster trauma, aid dependency and other issues).

2.1 Leadership profiling

- *Leadership profiling.* This aims to understand what the different types of leaders in villages are, such as political, social and religious, and what role they play (delivering and accessing aid, resolving social disputes, linking to higher level leaders). This includes

formal and informal leaders. In conducting leadership analysis, the guiding principle is to focus on actual power and influence on an individual, rather than the formal title they hold. Who are the most important leaders in the community?

2.2 Relations among leaders

- *Leadership relationships.* Are some leaders more 'senior' or important than others, do leaders have followers? Are there any conflicts between leaders? How are the community's leaders links to higher levels of administration or other communities? Are formal or informal leaders more important?

2.3 Institutional change: community members & leaders

- *Community members and leaders.* How do people demand things from their leaders? Are women/youth more aware and active in village development? Are new leaders emerging? What has happened to the old leadership? Are the village leaders capable of playing the role that is expected of them? Has the relationship between community members and local authorities changed, and how? What do people do when they are dissatisfied with their leaders?

2.4 Background of community leaders & ability to play a more active role

- *Background of community leaders.* What is the social profile of community leaders? Are the rich the main leaders, or are there leaders from other groups, such as laborers, women, or youth? What do people think are important qualities in a leader? Do different groups rely on different leaders?

CHAPTER 3:
SAMPLE FIELD GUIDE OUTLINES

Objectives

This chapter provides some sample outlines for a field guide. Field guides are aimed at researchers. They provide an overview of the research design and detailed guidance on fieldwork.

Box: Outline for Field Guide for Philippines Social Impact Assessment Conducted as Part of PDNA

Social Impact Assessment Sample Field Guide Outline

1. Introduction (explains overview of study)
2. Objectives
3. Work Plan
4. Outputs
5. Methodology
6. Site Selection
7. Qualitative Research Methods (Participation Observation, FGDs, Interviews)
8. Main Themes
9. Suggested Questions (including question prompts for researchers)

Box: Outline for Field Guide for Myanmar Social Impact Monitoring Round 3

Part I. Introduction (*explains overview of study & timeline*)

- Background
- Objectives
- Work Plan

Part II. Assessment Topics (*explains research domains*)

- Focus Area 1: Aid and Delivery
- Focus Area 2: Socio-economic Challenges
- Focus Area 3: Social & Institutional Dynamics
- Focus Area 4: Leadership at the Village Level

Part III. Methodology (*explains methodology & gives guidance on fieldwork*)

- Site Selection
- Village Procedures
- Research Instruments
- Research Ethics
- Safety

Part IV. Fieldwork Outputs (*explains what fieldwork outputs are expected*)

- Village Data Sheet
- Village Summary Sheet & Case Studies
- Village Report
- Institutional Case Study

- Case Studies

Part V. Analysis & Final Report (*explains what analysis is expected & gives outline for report*)

Appendix A. Detailed Research Questions (*derived from research domains*)

Appendix B: Interview Strategies & Tips (*gives detailed interview guidance*)

Appendix C1: Village Data Sheet (*pre-prepared data format*)

Appendix C2: Village Summary Sheet (*pre-prepared data format*)

Appendix C3: Interview Notes Form (*pre-prepared data format*)

Appendix C4: FGD Notes Form (*pre-prepared data format*)

CHAPTER 4:
SAMPLE DATA FORMATS

Objectives

This chapter provides some sample data formats for a social impact study. It is important to note that the local partner should design data formats once the research topics have been finalized. The data formats should match the research topics provided, and may be modified once researchers have completed the pre-test of the research.

The sample data formats that follow are adapted from one of the rounds of social monitoring conducted in Myanmar. Researchers were asked to complete the following fieldwork outputs for each research site:

	Type of format	Number
1.	VILLAGE DATA SHEET	1 per village
1.1	Background information	
1.2	Current situation: <ul style="list-style-type: none"> Demographic, ethnic & religious breakdown 	
1.3	Facilities in village: <ul style="list-style-type: none"> Basic information on health, education, religious buildings, distance to market 	
1.4	Occupational profile: <ul style="list-style-type: none"> Breakdown of households according to primary occupation 	
1.5	FGD/key informant interview summary sheet	
1.6	Case study summary sheet	
1.7	Aid & Development Matrix <ul style="list-style-type: none"> List of all development assistance in the village since the last monitoring round (1 year) 	
1.8	Village institutions matrix <ul style="list-style-type: none"> Description of all different institutions, organizations and associations that are recognized in the village 	
2.	VILLAGE SUMMARY SHEET & CASE STUDIES	1 per village
2.1	Needs & priorities <ul style="list-style-type: none"> Top five priorities of different social and occupational groups 	
2.2	Livelihoods recovery <ul style="list-style-type: none"> Differentiated by livelihoods group: farmers and fishers 	
2.3	Debt & sources of credit <ul style="list-style-type: none"> Summarized data from FGDs of farmers and other groups 	
2.4	Case studies	3-4 per village
3.	FGD & INTERVIEW NOTES	
3.1	Focus Group Discussion Notes Form <ul style="list-style-type: none"> Including detailed information on debt & credit 	1 per FGD
3.2	Key Informant Interviews	1 per interview
4.	VILLAGE REPORT	1 per village
	Short narrative report	
5.	INSTITUTIONAL CASE STUDY	1 per village
	Institutional report & schematic map	

1. Community data sheet

Community Location: Village/Urban Neighborhood name:
Village/Urban Neighborhood code :
Location (sub-district/municipality/town/city/province/state):

1.1 Background Information (to be filled from previous rounds of monitoring)

(If rural): Level of remoteness from urban center: (High/Low/Medium):

(If urban): Distance of neighborhood from town center:

Main sources of livelihood/primary livelihoods:

Level of affectedness by disaster (none, low, moderate, high):

Approximate death toll:

1.2 Current situation:

Population:

Number of households:

Average household size:

Proportion of house owners/renters/other:

Main ethnic group:

Other ethnic groups (%): (list all)

Main religious group:

Other religious groups (%): (list all)

Number of orphans:

Number of female-headed households:

Number/proportion of households who have left to resettle elsewhere:

Number/proportion of households who have arrived (resettled from elsewhere):

1.3 Facilities in the community

Religious building:

School or health facilities:

Other (e.g. water purifiers, hydroelectric systems):

Distance to nearest market:

1.4. Occupational profile (current):

Primary Livelihood	Approx number of Households
Large farmers (+ 20)	
Medium (10-20)	
Small farmers (10 and less)	
Landless Laborers	
Commercial fishers (Medium as well as big)	
Subsistence Fishers (Small Fishers)	
Factory workers	
Petty traders	
Other occupations (list) 1. 2. 3. 4.	

1.5 Focus group discussions/key informant interviews in the village

Types	FGD (No of people)	<i>Key informant (Who)</i>
1. Large Farmers		
2. Medium Farmers		
2. Small Farmers		
3. Landless/labor		
4. Commercial (large) fishers		
5. Subsistence fishers		
6. Factory workers		
7. Petty traders		
8. Women		
9. Youth		
10. Other occupation		
11. Migrants		
11. Other (details)		

1.6 Case study summary sheet

Issues and discussant group	Case study
1.	
2.	
3.	
4.	

1.7 Aid and Development Matrix (since last water festival)

Name of the scheme/program	Scheme 1	Scheme 2	Scheme 3	Scheme 4	Scheme 4	Scheme 5
Types of Scheme						
When started and finished						
Supporting organization (give details):						
Patterns of delivery (give details, coded if possible)						
Local implementation organization, committee or persons						
Level of assistance (external)						
Community contribution: who mobilizes, who is responsible & how						

Intended beneficiaries						
How decisions are made (beneficiary selection, project designs, inputs) details						
Any other notes						

Patterns of aid Delivery:

Donor to committee to villagers

Donor to committee (via village leader) then to villagers

Donor to village elder then to villagers'

Donor to village leader, then to villagers

Donor to committee via village tract leader = then to villagers

Donors to religious leader then to villagers

Donor to committee via religious leaders – then to villagers

Donor to villagers

Other

1.8 Village Institutional Matrix

A. Name of Committee/Organization					
Type of organization: (brief description)					
Main roles					
Currently active or inactive					
Link outside the village (is the organization linked to others outside the village e.g. a national network or township level association?)					
Composition (no. of members) A. Committee members B. Total member (if relevant)					
Group leaders (e.g. president, chairperson)					
Other office bearers E.g. General secretary, treasurer...)					

Leader selection (Is leader or president nominated, selected and if so by whom)					
When established? (When did the committee or group first come into existence)					
When was the leader of the committee selected					
Who does the group represent? Women, whole village, students...					
How decisions are made (monthly meeting, committee meeting or informal meeting, are any records kept?)					
Any notes					

2. Community summary sheet

This summary sheet aims to capture some of the key issues in the community, record some basic data, and to ensure that the team have covered all the main aspects of the SIM during their time in the village.

2.1 Needs & Priorities:

	Needs identified by leaders	Farmers (small and medium)	Fishers	Laborers	Women	Other (Specified) e.g. youth, petty traders, factory workers, particular 'vulnerable groups'
1.						
2.						
3.						
4.						
5.						

2.2 Livelihoods recovery

(Add pages for different livelihood groups using this as a sample)

	Farmers	Fishers
Inputs/costs	Fertilizer price: (bag) Labor: (day rate) Diesel: (Gallon) Seeds: (Basket)	
Outputs & price/earnings/salary	Yield Monsoon: Summer: Price Monsoon: Summer:	<i>Fish Price (NAME AND PRICE)</i>

	Farmers	Fishers
Key Constraints (e.g. access to credit and markets, crop disease, soil deterioration, decline in product prices)	List in order of importance	

2.3 Debt & Sources of Credit

2.3.1 Borrowers: Use this table as a sample for different livelihood & wealth groups who borrow. For example, the table for farmers might look like this:

Livelihood group	(e.g. Small Farmers)	(e.g. Medium Farmers)	(e.g. Big Farmers)
Interest rates			
Level of Debt Maximum			
Minimum			
Sources of credit (From whom)			
Number of creditors			
Average level of debt			
Purpose of loan			
Required amount (working capital)			
Maximum loan size			
Repayment methods (seasonal, monthly, daily, other)			
Repayment methods (Cash, in kind, both)			

2.3.2 Lenders

Use this sample table for different types of institutions who lend, e.g. for big farmers, rice millers, banks, private lenders.

Lender Category:	(e.g. Bank)	(e.g. Moneylender)	
Purpose of Lending (E.g. food, working capital, health, education, social, religious)			
Main customers (E.g. farmers, fishers, laborers, others)			
New customers (Types)			
(%) of new customers			
Source of capital (E.g. friends, relatives, banks, pawn shops, other)			
Interest rates (with Collateral)			
Interest rates (without collateral)			

Interest Rate for small loans (define first)			
Interest Rate for large loans (define first)			
Maximum loan amount			
Minimum loan amount			
No. of customers			
Money in Circulation			

As part of the community summary, the team should provide the following:

- KI interview notes
- FGD sheets
- Case studies
- Summary of issues relating to 1) socioeconomic impacts 2) social impacts, 3) relief, recovery and accountability, and 4) community and institutional impacts
- Summary case of community institutions

2.4 Case studies

The team will also be required to select and document any important case studies in the community. The team leader will be responsible for the selection of case studies and the allocation of responsibilities to members of the groups for documentation. Attention needs to be given to ensuring that direct quotations are used where relevant and highlighted appropriately.

Steps in writing a case study:

- Make a list of what you want to convey to your reader. What information should be at the beginning and end? Keep in mind that the final report includes all the responses to the research questions.
- Think of the story in terms of “chapters”.
- Sort key material into blocks and organize the blocks in a sequence.
- Diagram the pattern of the story.
- Write an outline. Draw a tree and fill in the branches.
- Seek a natural order for the story: narrative, chronological, pyramid, problem and solution...
- Give yourself a specified amount of time to write. When your time is up, assess where you are headed with the story.
- When writing the text of the report:
- Give information in the lead that will make the reader ask a question. Answer with information that sparks a new question. Continue until all questions are answered.
- Provide evidence for every assertion or statement you write by putting in the basis of that statement (e.g., direct quotes, statistics).
- Write headings for each section and sub-section. Choose headings that are precise, and descriptive of the contents.
- Hold the reader by the hand by writing a short introduction (e.g., a 2-3 sentence introduction) to each section.

Present your findings along the focus areas of the research project and other themes that may emerge during the research. This way, concepts and empirical data complement each other.

3. FGD & interview notes

3.1 Focus Group Discussion Cover Sheet:

- Code No:

- Researchers present:

- Interviewer(s):

- Note-taker(s):

- Date:

- Time:

- Length (hours, minutes):

- Where held: Village:

- Township

Location/Place:

- Type of FGD : (Women, large farmers, small farmers, laborers, other occupations, etc.)

- Others present who did not participate:

	Identity	Age	Gender	Ethnicity	Religion	Current livelihood (landholding, assets and other secondary occupation)	Any changes in livelihood over the last year (increased, decreased of land or assets)	Current HH debt (cash and in kind)	Creditors (list all in order of debt size)	Purpose of borrowing
1										
2										
3										
4										
5										

Credit source table

Type of lenders	Interest rate	Repayment (seasonal, monthly)	Repayment type (cash or in kind)	Is collateral required	Note (any extra money to get loans?)

FGD CODE:

Speaker	Content	Topic AD/SE/SI	Notes/ Comments

3.1 Interview information:

Code No:

Researchers present:

Interviewer(s):

Note-taker(s):

Date:

Time:

Length (hours, minutes):

Where held: Village:
 Township:

Location/Place:

People present:

Respondent:

Occupation/identity (if applicable):

Age:

< 15		41-50	
15-21		51-60	
22-30		> 61	
31-40			

Gender:

Ethnicity:

Religion:

INTERVIEW CODE:

Speaker	Content	Topic	Notes/ Comments

4. Site report

At the end of the fieldwork in each community, teams should meet to discuss the key issues in the community related to the research questions. This short narrative report can use bullet points or detailed notes to highlight the major issues for analysis. This report should be attached to the Community Summary Sheet.

5. Institutional report

In each village, the team will produce an institutional report discussing:

- Which of the institutions in the village are the most important and why?
- Are different institutions involved in social and aid related issues?
- How do different institutions relate to each other?
- Are some institutions more important to different social groups?
- What are the critical events that have influenced the current institutional profile in the village?

As part of the report, the team should include a schematic map on institutions in the village.

CHAPTER 5:
ADMINISTRATION

1. Sample terms of reference

Context

This describes the disaster and outlines some of the social impacts that may be emerging. It outlines what happened, where and when, and how many people died, lost their homes, were displaced or otherwise affected. It describes some of the immediate social impacts that may be apparent. These may include the loss of family members and friends; loss of housing, property and other assets; loss of livelihoods; and exposure to increased risk for vulnerable groups, such as women, children, displaced people and persons with disability. It may also include positive stories, such as of communities coming together to help each other, a spirit of volunteerism, and generous participation by civil society and the private sector.

The section explains that analyzing how the disaster and aid effort have affected local patterns of life and livelihoods, social structures and institutions is vital to develop plans to deliver post-disaster assistance effectively, and point out that the success of early and longer-term recovery will depend on the extent to which programs fit with the needs and institutions of affected areas. Well-designed programs that draw on local capacities and are built on an understanding of local realities not only help to address key needs but can also strengthen local institutions and practices in ways that enhance development and social cohesion.

Objective

This explains that the objective of the assessment is to analyze the direct and potential longer term social impacts of the disaster and recovery effort at community level to inform: (i) early recovery efforts, (ii) and the development of longer term public policy and reconstruction interventions.

Implementation Arrangements

This describes the implementation of the social assessment, identifying who will lead the assessment (e.g. which government department) and with whom they will coordinate. It also identifies other stakeholders that have a mandate to conduct related work and who will therefore be consulted. This section also describes which local partner will carry out the assessment, and with whom they are collaborating to do so, if relevant. It describes how the research teams will be composed.

Activities and time-line

This describes the timing and steps involved in the assessment. A sample timeline is as follows:

Date	Activity
October 23-29	Briefing on PDNA Preparation of field instruments and field guide, report templates/guides Orientation/Workshop of Research Teams Coordination with NGO-field partners Initial site visits/Courtesy calls
October 29-30	Testing of field instruments
November 2 - 7	Fieldwork: key informant interviews, focus group discussions, walkthroughs Write-up interview reports, FGD highlights

Date	Activity
	Field documentation
November 9 – 20	Write-shop of research teams Consolidation and analysis of data
November 20	1 st draft of the social impact report and field site report 5-6 PowerPoint slides and 5/6 page summary for PDNA
November 23	Final summary report (5/6 pages for PDNA)
December 4	Final Social Impact Assessment Report

This section also identifies the methods of data collection to be used, for example key informant interviews with individual households, government officials, civil society representatives and other stakeholders, focus group discussions, informal discussions and participant observation. It explains that implementation of the assessment will be guided by a field guide, and list the main components of the field guide.

Budget

This gives basic details of the proposed budget.

Deliverables

This identifies key dates and deliverables. For example:

Date	Deliverable
October 28	Detailed work plan, including final field site selection and revised field guide
November 20	Individual field site reports Draft social impact assessment report PowerPoint presentation and draft of summary report for inclusion in PDNA
November 25	Final summary report for inclusion in PDNA
December 4	Final social impact assessment report

Reporting Arrangements

This describes the person to whom the local partner will report.

2. Budgets & finance

Table: Sample budget lines for social impact study

ITEM	NUMBER	UNIT	UNIT COST	UNIT TOTAL	AMOUNT
SALARIES AND HONORARIA					
Project Director					
Project Manager					
Research Assistants					
Editor					
Team Leaders					
Field Researchers					
Field Researchers with additional survey work load					
Field Researchers with additional translation work load					
Total					
RESEARCH EXPENSES AND OFFICE SUPPLIES					
<i>Research Supplies and Equipment</i>					
Paper, ink, interview notebooks, folders, pens					
Digital recorders					
Rechargeable batteries and chargers					
Reproduction of research instruments					
Production of materials for public dissemination					
Software					
<i>Meals</i>					
Consultations with civil society on research design					
Training (for research teams)					
Pre-test for focus groups (if participants are given meals)					
Focus groups (if participants are given meals)					
Community feedback sessions					
Presentation of preliminary findings					
Presentation of final research findings					
Research meetings					
<i>Tokens (if given to participants)</i>					
Pretest key informant households, focus group discussions and survey participants					
Key informant households					
Focus group discussions					
Survey					
<i>Field allowances</i>					
Recruitment					
Pilot testing					

ITEM	NUMBER	UNIT	UNIT COST	UNIT TOTAL	AMOUNT
Site visits					
Fieldwork					
Survey					
Training					
<i>Transportation</i>					
Fieldwork					
Recruitment/training/pre-tests/site visits					
<i>Accommodation</i>					
Fieldwork					
Recruitment of team/site visits					
Training of field researchers					
<i>Communications</i>					
Office phone bill					
Mobile phones:					
• Project Director					
• Project Managers					
• Team Leaders					
• Field researchers					
Internet					
• Team Leaders					
• Field researchers					
Courier					
<i>Insurance</i>					
Insurance					
Subtotal					
ADMINISTRATIVE COST					
Project administration					
Bookkeeping & account services					
Office space					
Other					
Subtotal					
TOTAL					

3. Contract & grant modalities

A technical proposal for a social impact analysis study varies according to what is required by the institution funding the study. Typically, however, it will include the following kind of information:

1. Technical Proposal Submission Form

This usually takes the form of a cover letter from the local partner to the institution funding the research.

2. Consultant's Organization and Experience

2.1 Consultant's Organization

Here the local partner should describe their organization and its aims.

2.2 Consultant's Experience

Here, the local partner should describe its experience in conducting similar research projects. This should include a narrative description of the project and its research domains and a description of the services provided by the local partner.

3. Description of Approach, Methodology and Work Plan for Performing the Assignment

3.1 Technical Approach and Methodology

The local partner should describe here the research objectives of the study, the proposed focus of the research, the research domains and data sets that will be collected, the framework and research methodology for the study, the proposed approach to site selection, the sites to be included in the study, the research instruments to be used, the approach to sampling respondents in research locations, and the deliverables to be prepared. The local partner should outline the composition of the research teams and the methods of documentation that will be used.

4. Team Composition and Task Assignments

Here the local partner should list the proposed staff members who will work on the study, including the firm to which they belong, their areas of expertise, the position to which they will be assigned, and their responsibilities.

5. Curriculum Vitae (CV) for Proposed Professional Staff

Here the local partner should provide curriculum vitae details for professional staff members who will work on the study. This should include the project director, project managers and editor, but does not have to include support staff, such as clerical staff.

6. Staffing Schedule

Here the local partner should present a staffing schedule showing the number of staff hours that will be contributed by month. For professional staff, this should be indicated individually; for support staff it should be indicated by category (e.g. field researchers, clerical staff).

7. Work Schedule

Here the local partner should provide a proposed calendar. This should include the key deliverables and steps involved in the study, including delivery of reports and other

benchmarks. The local partner should also indicate the key deliverables and a payment schedule.

8. Vendor Eligibility Certificate

This is for the local partner to indicate their eligibility for the contract (e.g. that they have not been disbarred).

The contract should be signed and dated.