



Analyzing the Social Impacts of Disasters Volume I: Methodology

World Bank

Global Facility for Disaster Reduction and Recovery

June 2011

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INTRODUCTION

Background

The strength of any post-disaster aid effort depends on how well recovery programs respond to the needs and dynamics of affected communities. The methodology used by Post-Disaster Needs Assessments (PDNAs) is well suited to help determine and quantify the extent of damage and loss caused by disaster. Less focus, however, has been placed on understanding **the social impacts of disaster** (i.e. how households and communities have been affected and the local capacity for response) and how recovery and reconstruction efforts can be made more responsive.

World Bank and UN teams have been working on refining the methodology to measure the human impacts of disasters. The present set of tools are intended to contribute to this effort as a resource for governments, international development partners, civil society organizations and others who participate in PDNAs. They provide practical guidance on identifying and monitoring the social impacts of disasters and the effectiveness of recovery efforts in order. They aim to increase the range of information available to governments during recovery and to enable reconstruction efforts to be more participatory, transparent, and responsive to local needs.

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 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.

Table: Purpose of Tools

Chapter	Guidance on:	Primary audience
Why Analyze the Social Impacts of Natural Disasters?	Why to incorporate social analysis into the PDNA & ongoing monitoring	Government & PDNA coordinators
Getting Started	Key steps & decisions Finding a research partner Timing	Government & PDNA coordinators Social impact analysis task teams
Research design & preparation	Scope & sampling Research domains Overview of research instruments	Social impact analysis task teams Research partners
Fieldwork	<p>Preparation</p> <ul style="list-style-type: none"> • Preparing a field guide • Putting together a research team <p>Fieldwork procedures</p> <ul style="list-style-type: none"> • Sampling respondents • How to use research instruments • Triangulating data • Managing data • Research ethics • Safety 	Research partners Social impact analysis task teams

Chapter	Guidance on:	Primary audience
Analysis	Analysis steps Enabling good analysis	Research partners Social impact analysis task teams

These tools build on and complement existing assessment methodologies for related areas. These assessment methodologies tend to be aimed at either the humanitarian phase of disaster relief or at specific sectors of longer-term development and reconstruction. The UN-designated humanitarian global cluster leads are responsible for ensuring preparedness and leading sector-specific assessments during the humanitarian phase, although there might be some variation on specific leads at country level.¹

Table: Global Cluster Leads for Humanitarian Response

Sector	Agency
Camp Coordination & Camp Management	IOM (Disaster-induced IDPs) UNHCR (Conflict-induced IDPs)
Early Recovery	UNDP
Education	Save the Children (Co-Lead) UNICEF (Co-Lead)
Emergency Shelter	IFRC (Disaster situations) UNHCR (Conflict-induced)
Emergency Telecommunications	WFP
Food Security	FAO (Co-Lead) WFP (Co-Lead)
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection	UNHCR
Water, Sanitation & Hygiene (WASH)	UNICEF

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 institutions 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 analysis task teams. It provides a more detailed summary of these tools for those with limited time.

¹ Humanitarian assessment methodologies include the IFRC Vulnerability and Capacity Assessment, UNICEF's Multi-Sectoral Rapid Assessment, OCHA's Needs Analysis, the Prevention Consortium's Community Risk Assessment Toolkit, UNHCR's Tool for Participatory Assessment in Operations, and Oxfam's Impact Measurement and Accountability Good Enough Guide. Sector-specific methodologies for longer-term development and reconstruction include the Save the Children Household Economy Approach and the FAO/ILO Livelihood Assessment Toolkit.

Volume I: Methodology

Volume I: Methodology is aimed primarily at teams implementing social impacts analysis and local research partners, but also includes 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: Tools is aimed at social impact analysis task teams and local research partners. It contains further practical and operational resources.

Chapter One introduces key 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 sample terms of reference and budget as well as information on contract and grant modalities.

CHAPTER ONE:

WHY ANALYZE THE SOCIAL IMPACTS OF DISASTERS?

Enabling local realities to drive recovery and reconstruction

In recent years, the PDNA/RF has become the primary tool through which national governments, supported by the international community, assess the physical, economic and human impact of disasters and identify recovery needs and priorities

PDNAs use two complementary methodologies. PDNA teams are trained in and use the Damage and Loss Assessment (DaLA) methodology² developed by the Economic Commission for Latin America and the Caribbean (ECLAC). The DaLA methodology provides an overview of the damage, loss and macroeconomic impact of disaster and is well suited at capturing most of the 'what' and 'where' of a disaster response. It identifies and quantifies the extent of damage and loss caused by both natural and human-made disasters, estimating the losses in social sectors (the affected population; housing and human settlements; education and culture; and health); infrastructure (energy; drinking water and sanitation; transport and communications); economic sectors (agriculture; trade and industry; tourism); and the overall cross-sectoral and macroeconomic effects of disaster (environment; impacts on women; damage overview; macroeconomic impacts; and employment and income). The methodology uses government national accounts and statistics as a baseline for assessing the damage and loss caused by disaster.

In addition, the PDNA assesses human recovery needs, taking into account the impact of disaster on human development, and identifying the resources needed for recovery and reconstruction in key sectors. Recently, the United Nations Development Programme's Bureau for Crisis Prevention and Recovery (BCPR) has, in partnership with UN agencies and the World Bank, led an effort to strengthen the Human Recovery Needs Assessment (HRNA) aspect of PDNAs through the inclusion of the analysis of the macro effects of disaster on human development. Like the DaLA, such analysis consists primarily of a quantitative analysis of pre- and post-disaster development pathways, but uses human development indicators such as the Human Development Indicators and Millennium Development Goals as benchmarks³. The aim of the revisions is to strengthen the approaches used to assess the human impacts of disasters.

Social impact analysis aims to complement the current PDNA methodology and to provide a better understanding of the full impact of disaster on affected communities. By itself, the current methodology does not adequately identify: (i) cross-cutting issues, such as governance, social accountability and negative coping strategies, that do not fit neatly within one particular sector; (ii) the perspectives of affected communities, key priorities, and the needs of vulnerable groups; and (iii) community dynamics and how these affect recovery. For example, it may identify the resources necessary to rebuild schools and replace destroyed school equipment, but overlook other factors that prevent people from returning their children to school, such as a rise in the cost of transport or a need for children to work farms because other adult family members have died. Understanding how affected people relate and why they employ the survival strategies they do is critical for designing better recovery programs but is difficult to gauge using primarily quantitative methodologies alone.

² Please see for additional details and training materials on the DaLA methodology <http://www.gfdr.org/gfdr/node/69>

³ Human development is defined by the HRNA effort as 'measures to revitalize people's abilities to realize their potential to lead productive, creative lives in accordance with their needs and interests'.

Ensuring that the current methodology is systematically complemented by qualitative, field-based social analysis can help identify other needs to give a more complete picture of the 'what' of a disaster response so that adequate funding can be directed at the social priorities of affected communities. It can also help illuminate the 'why' and 'how' of disaster recovery. In particular, it can help institutions responsible for leading the recovery effort to obtain information that would remain hidden using the current methodology alone. This includes insights on local perceptions of need; structural exclusion issues that need to be factored into designs; feedback on on-site design and performance; more tailored priority setting; insights into what simple measures in the recovery process could contribute to positive social change, and information on early warning, especially for sensitive issues such as emerging conflict and corruption.

Understanding how disasters and post-disaster aid efforts affect local patterns of life, social structures and institutions is vital to the success of any aid effort. It enables post-disaster assistance to draw on local capacities and fit with local needs and institutions of affected areas, thereby promoting social cohesion and development and helping ensure that affected communities themselves drive the recovery effort.

Conducting such assessment as part of the PDNA/RF enables any resource needs that arise from this understanding to be incorporated into consolidated appeals for assistance. Although social analysis is often conducted in the aftermath of disaster by academics, local and international NGOs and other institutions, it is rarely incorporated into the 'official' assessment of need captured by the PDNA/RF. Incorporating social analysis into the PDNA/RF process enables the resource needs captured to be incorporated into governmental recovery and reconstruction programs and used as a basis for resource allocation or additional resource mobilization through donor conferences and other fundraising forums.

Monitoring the social impacts of disasters over time also enables the longer-term impacts of disaster to be identified and fed back into the recovery effort. These impacts are usually not visible immediately after the disaster, but are nevertheless critical to the lives of affected people. Identifying them as they emerge enables preventative and corrective action to be taken where needed to improve the recovery effort.

What is post-disaster social impact analysis?

For the purposes of these tools:

- Post-disaster **social impact analysis** is the process of monitoring, analyzing and managing the social consequences of disasters and post-disaster aid efforts.⁴ Such analysis consists of both **social impact assessment** and **social impact monitoring**:
- A **social impact assessment (SIA)** is the initial assessment of the likely social impacts of the disaster. It can further serve as a **baseline** for future monitoring. It should be conducted as part of the PDNA where one exists.
- **Social impact monitoring (SIM)** consists of ongoing monitoring of the social impacts of the disaster and aid effort, using the initial social impact assessment as a baseline.

The parameters of social analysis more widely defined can be broad: 'social' aspects of people's lives can include, among other things, how community members live, work and relate to each other; how they practice their beliefs and participate in cultural and community life; and how they negotiate their political systems and institutions.⁵ Entry points for social analysis include the study of the assets, capabilities and relationships among social groups, differentiated by factors such as age, religion, ethnicity, gender and caste; the informal and formal rules, incentives and social norms that govern how people interact and behave; the ways that development projects and other policy interventions affect the interests of different social groups and stakeholders and participation in such projects; and the ways different social groups are vulnerable to and manage external shocks, including conflict, economic downturn and disaster.⁶


This set of tools takes the same broad approach but defines social impact analysis more narrowly in accordance with its focus on disaster recovery. It concentrates on the social and socioeconomic aspects of people's lives most closely connected to their efforts to rebuild their lives and communities. This includes how people manage the collective challenge of recovery; how the disaster and aid effort affect the assets and capabilities of different socioeconomic groups and their ability to recover their livelihoods; and how the disaster and aid effort affect social relations and community institutions. The research domains can be organized into four areas:

⁴ Non disaster-specific social impact assessment is a broad field aimed at monitoring and managing the likely social consequences of policy and development interventions in order to minimize their negative impacts and maximize their positive benefits. According to the International Association of Impact Assessment (IAIA), Social Impact Assessment (SIA) 'includes the processes of analyzing, monitoring and managing the intended and unintended social consequences, both positive and negative of planned interventions (programs, plans, projects) and any social change processes invoked by those interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment'.

⁵ For example, see International Association for Impact Assessment (IAIA). *International Principles for Social Impact Assessment*. Fargo: IAIA, 2003

⁶ See World Bank. *Social Analysis Sourcebook*. Washington DC: World Bank, December 2003.

- **Socioeconomic Impacts:** How do the disaster and aid effort affect the assets, capabilities and ability to recover of different social groups? This includes impacts on the local socioeconomic structure, including how people work and earn a living; impacts on people’s access to capital; impacts on managing land and other resources; and impacts on how people cope, including through migration.
- **Impacts on Social Relations and Cohesion:** How do the disaster and recovery effort affect social relations at community level? This includes impacts on social capital and cohesion and impacts on the social composition of affected communities and relations among social groups differentiated by factors such as gender, ethnicity, age, religion and, if relevant, caste.
- **Relief, Recovery & Accountability:** How do affected communities perceive, participate in and negotiate their interests regarding the relief and recovery effort? This includes overall patterns of relief and reconstruction support; targeting, equity and vulnerability; the process of delivery; decision-making and the resolution of problems related to the implementation of relief and reconstruction efforts.
- **Community and Institutional impacts:** How do the disaster and recovery effort affect community organizations and the rules, incentives and social norms that govern how people interact and behave? This includes impacts on relations between community members and leaders and the impact on community and inter-village organizations.

 More detail on these research domains can be found in Chapter Three, ‘Research Design’ and Volume II.

The underlying aim of such post-disaster social analysis is to enhance the effectiveness of post-disaster recovery efforts by ensuring that they are more socially responsible. It aims to ensure that recovery efforts at a minimum do no harm, but ideally help strengthen social capital and thereby the speed and effectiveness of the recovery effort.

Evidence from two countries

Two examples of where social analysis has been incorporated into the post-disaster response of the international community are Myanmar and the Philippines. In both cases the analysis helped identify issues that would otherwise have remained hidden, enabling corrective action to be taken.

The Philippines

In September and October 2009, Tropical Storm Ondoy and Typhoon Pepeng hit the Philippines, affecting Metropolitan Manila, neighboring Rizal province and Central and Northern Luzon. Almost 1,000 people died. 9.3 million people were affected. Damages and loss were extensive, estimated at USD 4.35 billion, almost 2.7 per cent of GDP.

After the disaster, a social impacts assessment was conducted as part of the Post-Disaster Needs Assessment. The analysis highlighted key issues that would not have been captured using the standard PDNA methodology alone. These findings centered around governance, social accountability, people’s coping strategies and impacts on vulnerable groups. For example, the assessment found that affected communities, particularly farmers and small-scale businesses, had experienced severe disruptions to livelihoods. As a result, disaster survivors had begun to take up unskilled work. The study also found evidence of negative

coping strategies, increased household debt, and a lack of information about potential sources of assistance and the reconstruction effort.

As a result of the assessment, a set of interventions was incorporated into the PDNA reconstruction framework. These included both short and long-term measures, including cash transfers for vulnerable groups, community block grants to establish basic services, trauma counseling for severely affected individuals and systematic consultation to help relocate affected communities.

Myanmar

In May 2008, Cyclone Nargis hit the Delta region of Myanmar, killing approximately 140,000 people and severely affecting 2.4 million people. The cyclone caused an estimated USD 4 billion in damage and loss, equivalent to about 21 per cent of GDP.

After the disaster, the Government of Myanmar, the United Nations and ASEAN set up a Tripartite Core Group (TCG) to oversee the disaster response. The TCG, supported by the World Bank and Asian Development Bank, conducted a Post-Nargis Joint Assessment (PONJA) to assess cyclone damage and loss. The PONJA included an analysis of the social impacts of the cyclone. This was the first time that a social impacts assessment was of disaster was included as part of the formal assessment of damage and loss. Social impact analysis was also included in the ongoing monitoring system set up by the TCG.

The research identified key issues that would not otherwise have emerged. These included aid shortfalls and issues with aid equity, complaints mechanisms and some inappropriate livelihoods aid. It also found that affected villagers faced a problem of spiraling debt and a credit crunch, which, through its impact on landowning farmers, caused a decrease in village employment.

As a result of the findings, donors, UN agencies and international and local NGOs in Myanmar focused attention on aid effectiveness and local socioeconomic structures, and the TCG included a USD 50 million budget request to help address rural indebtedness and livelihoods in its Post-Nargis Recovery and Preparedness Plan.

CHAPTER TWO:
GETTING STARTED

Objectives

This chapter provides an overview of the steps needed to analyze the social impacts of disasters and discusses some common issues and trade-offs faced in getting started.

Social impact assessment

A social impact assessment is the initial assessment of the likely social impacts of disaster. It forms a baseline for future social impacts monitoring. It can be conducted by the government or other national actors or, if the government has requested a PDNA, by the PDNA team. The steps involved are:

- If the government itself is not leading the assessment, PDNA coordinators should **consult government** and work in partnership with its disaster recovery structures
- **Consult & inform the Inter-Agency Standing Committee (IASC) clusters for Humanitarian Assistance:** ensure that the work is plugged into the UN and civil society coordination system
- **Consult other relevant partners**, including international and local NGOs, donors, the private sector, community-based organizations and others active in the recovery effort;
- **Arrange funding & operations:** set a budget, secure resources, arrange contracting
- **Hire a research partner** if possible: this can be a research institution or NGO
- **Design the research:** decide on scope, sampling methods, research domains & instruments
- **Support research partner to write a field guide & train researchers,**
- **Support research partner to conduct fieldwork and analyze findings**

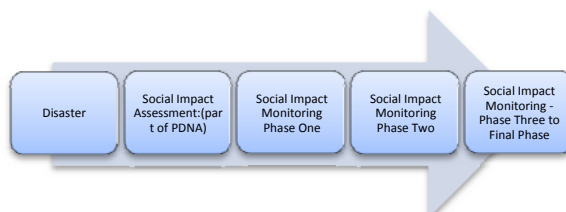
If the government has requested a PDNA, a PDNA planning mission will take place to set up a management structure and team and determine the PDNA's scope, terms of reference, and assessment methods. This is closely followed by the PDNA itself, which usually takes about five weeks. During the planning mission, PDNA coordinators can help ensure that social impact assessment takes place by building it into the PDNA's terms of reference, budget and planning structure and linking it to the government's disaster structures. Doing so enables any resource needs arising from the assessment to be captured within the official assessment of damage and loss and helps ensure that its findings can inform the overall recovery strategy. To maximize the effectiveness of the assessment, PDNA coordinators should encourage the social impact and DaLA teams to hold regular discussions, share data, and find ways for the exercises to be mutually reinforcing: for example, by ensuring that any quantitative data gathered can be disaggregated by social factors such as gender and age, and using some of the qualitative findings of the social impact assessment to illuminate the causes of some of the quantitative trends emerging from the DaLA.

Social impact monitoring

The social impacts of disasters usually take time to emerge so should be tracked over time as part of the overall post-disaster monitoring framework. Such monitoring usually takes place in rounds. The timing and number of these rounds varies by context. They should be far apart enough so that communities do not suffer research fatigue and so that research teams have time to conduct fieldwork and analyze and disseminate the findings. Usually six months to a year is an appropriate interval.

Because such analysis aims to identify emerging issues in order to improve the reconstruction effort, it may be necessary to time the rounds of monitoring after certain rounds of large programs or policy interventions have been implemented. The task team should maintain a good dialogue with government and development partners to use the social analysis most effectively and ensure that recommendations are acted upon.

Figure 1: Example of data cycle for post-disaster analysis exercise:



Key steps

Table: Key Steps in Post-Disaster Social Impact Analysis

Steps	Social Impact Assessment	Social Impact Monitoring
Write Terms of Reference, arrange funding & contracting	Ensure availability of resources with PDNA team. The budget should include funds for an editor.	Ensure availability of resources.
Create research schedule	Dependent on PDNA needs. Usually 4-5 weeks is available for preparation, research design, fieldwork, analysis & write-up.	See sample research schedule.
Select local partner & agree scope of PDNA team participation in fieldwork & analysis	Select local partner that can be mobilized quickly with good research skills. National colleagues can usually help identify the right partner.	Local partner should be a respected research institution will strong local knowledge & experience.
Identify scope, site selection & research domains	Do so in coordination with PDNA coordination team	Based on social impact assessment.
Write field guide for study	Very little time will be available to write a full field guide. The field guide should thus highlight the priority areas & identify what information should be gathered as a minimum in each site	Field guide should be written by local partner with guidance from social impact monitoring task team
Select & train research team	Local partner will pull together research team within short time frame. Research team should have strong local networks.	Researchers should have good social science, local language, writing & analysis skills.
Pre-test field guide in some locations	Usually very little time for this with PDNA. Pre-testing has to be limited: field guide has to be amended while conducting research	Pre-test field guide to test questions and approaches
Revise field guide	Very little time usually available	Revise based on pre-test
Conduct fieldwork	Because very little time is available, will need to ensure adequate budget to have enough researchers to cover all locations at once.	Local partner will conduct fieldwork with guidance & support from social impact monitoring task team
Analyze & present findings	Incorporate findings into PDNA	Local partner will analyze with support from task team

Finding a research partner

It is important to select and involve the right local research partner early. Usually this will be a local university, think tank or non-governmental organization with social science research experience. It may also be a research consultancy firm. The research partner will be responsible for writing the field guide, hiring and training researchers, conducting fieldwork, analyzing data and writing the final report, all with guidance and support from the social impact task management team.

The ideal partner has social assessment experience, strong local networks in research locations, a knowledge of the affected region, an understanding of community development, and good data analysis and writing skills. The task team should allocate enough resources to find the right kind of partner. Qualitative research skills and experience are important, but not the only factor. It is more important to have a research partner who can put together a research team with good listening skills, sensitivity to local cultural, social and political dynamics, humility, and a respect for affected community members than it is to have a partner with impressive experience community settings, such as in market research or academia. Qualitative research skills can be taught, but will be used effectively only by the right people.

The capacity of research partners may vary. In some settings, particularly ones where civil society, academic and research institutions have been degraded through poverty, conflict or isolation, it can be hard to find partners with the right local networks and sensitivity who nevertheless have excellent research, data analysis and writing skills. In these cases, the task team should work closely with the research partner on all aspects of preparation, fieldwork, analysis and writing to help build the capacity of the research partner and ensure quality control. Enough time and money should be allocated to ensure that this is possible.

Even in places with good local capacity, it can be hard to find a research partner with good research and community fieldwork skills: often, good research institutions lack community experience, and NGOs with good community experience lack good research skills. For PDNAs, speed matters: it is important to have a research partner who can implement quickly. The social impact task team should in this case play a complementary role and be ready to provide whatever skills such a local partner lacks. PDNA coordinators should ensure that social impact task teams have this mix of skills.

Timing

Social impact assessment

Table: Sample timeline for conducting a social impact assessment as part of a PDNA⁷

Day/Week	Task
Week 1	Liaise with PDNA team, government & other partners Write Terms of Reference Prepare budget Select local partner
	Decide on research design Prepare field guide (some of this may be done in advance if time allows)
	Pre-test field guide
	Revise field guide based on pre-test

⁷ This is a sample timeline only: the precise timeline will depend on the time available for the PDNA.

Day/Week	Task
Week 2	Fieldwork starts
Week 3	Fieldwork ends
	Preliminary site reports from research partner to help with PDNA inputs
Weeks 4-5	Preparation of PDNA social assessment inputs & revisions from local partner/researchers
After PDNA	Longer report from local partner/researchers can come out

The timeline for conducting a social impact assessment depends on the PDNA timeline, budget, the scale of the disaster and the sample size. Usually, little time is available, so the social impact task team should balance timeliness and quality. They should ensure that the relief effort is well underway before undertaking the research to avoid using resources that are needed for the immediate humanitarian effort.

“Bare minimum” social impact assessment

In some circumstances, there may be too little time or money to contract a research partner to conduct a full social impact assessment. In these cases, PDNA coordinators can conduct a ‘bare minimum’ social impact assessment by including someone with community research experience on the team who gathers whatever social impact information is available. At a minimum, this person should conduct some direct community interviews, gather available research from other sources, and triangulate the information received to identify some preliminary trends. The information can then be included in the PDNA with the necessary methodological caveats. For example, after the earthquake in Yogyakarta in 2006, the World Bank included an IFRC representative on their team with strong community research skills and made informal agreements with local and international NGOs who were already conducting social research to share preliminary data. The team gathered and triangulated whatever data was available and included the preliminary findings into the PDNA, along with the appropriate caveats. Although this was not a full assessment, it helped capture information on the social priorities of affected communities, which would otherwise have been excluded.

The task team should ensure that they do as much preparatory work as possible before the social impact assessment takes place. If an international entity rather than government or other national actors is leading the assessment, it should ensure that as the task team has as high a proportion of national staff as possible. This will both contribute to a high quality assessment and, because they are likely to have stronger local knowledge and networks, will cut down on the preparation time needed.

Usually, the social impact task team will need to submit their inputs into the PDNA before the local partner has been able to analyze all the data from the fieldwork. The local partner or research team will thus need to supply the task team with preliminary site reports early to form the basis of their inputs. These inputs can then be crosschecked and revised with the local partner or research team as further data are analyzed. The social impact task team may want to consider asking the local partner to have an editor as part of the team.

Social impact monitoring

The length of each round of monitoring depends on the sample size, distance from research locations, and the size of the research team. The research partner needs enough time to draft a field guide, train researchers, pre-test the field guide, finalize the methodology, conduct the fieldwork, debrief findings, prepare initial reports, and analyze and present data.

The length of fieldwork depends on the scope of the study, the physical difficulty of doing research and the availability of respondents. Usually, it takes a team of three researchers at least two or three days to conduct fieldwork within each research location. It may take longer in remote, rural, or spread-out settlements. The research team should avoid local festivals, harvests, religious days or other time periods when respondents are likely to be too busy to participate.

Contexts differ, so in creating a research schedule, the task team and research partner should be guided not by rigid timelines from previous social impact analyses but by an analysis of their context and objectives. It is critical to build in enough time for good quality reflection and data analysis: this is often as long as the fieldwork itself.

A sample timeline for a social impact analysis exercise with twelve researchers (four teams of three⁸) covering 40 research locations (eight pre-test locations and 32 other locations), spending two to three days in each research location is as follows.

Table: Sample timeline for social impact monitoring

Social impact monitoring (each round)		Time allocated
Administration (concurrent with preparation)	Draft TOR (budget, field sites), secure budget, select & contract local research partner	3 days
Preparation	Local partner writes field guide based on social impact assessment field guide	1 day
	Refresher training	1 day
Fieldwork (40 villages)	Phase 1 (4 teams x 5 villages)	10-15 days
	Debrief & preparation of 'location reports'	5 days
	Phase 2 (4 teams x 5 villages)	10-15 days
	Debrief & preparation of 'location reports'	5 days
	Data analysis & preparation for final report	5-10 days
	Final report	10-15 days

⁸ There should be a minimum of two people per team, though if budget permits three or four is preferable. If there are fewer than three or four, the number of days in each research site will have to be increased.

CHAPTER THREE:
RESEARCH DESIGN

Objectives

This chapter explains some key steps and decisions involved in research design, including:

- Understanding how to determine the scope of the analysis
- Choosing the right methodology for selecting research sites
- Identifying the main research domains and tailoring them to context
- How to choose the right mix of research instruments to suit your context

To prepare for fieldwork, the local partner will need to write a field guide so that researchers understand the research methodology and fieldwork procedures (guidance on this is in the next chapter). Before doing so, the task team must make some decisions about the scope of the study, site selection and the research domains.

Scope

The study should ideally cover all the main research domains and be kept as comprehensive as possible to form a baseline for future monitoring. However, time and budget limitations may prevent this, and if other actors are already conducting assessments on similar topics, task teams should avoid doubling up. In these cases task teams will need to decide what areas to prioritize in coordination with government and other partners. They should be guided by the context of the disaster: for instance, if few people have been killed and the social composition of affected communities has changed little, the socioeconomic impacts of the disaster are likely to be stronger than the social impacts and so deserve greater attention. Other aspects of the context also affect scope. For example, in the Philippines, several affected community members had been relocated, so the research teams asked about relocation-related issues in greater depth than in the social impact study in Myanmar, where there was little relocation.

Table: Research domains

Focus area	Description
Socioeconomic impacts	This analyzes how the disaster and recovery effort affect the assets, capabilities and ability to recover of different socioeconomic groups within affected communities. This includes impacts on <u>how</u> different socioeconomic groups are progressing in recovering their livelihoods; impacts on <u>why</u> they are progressing the way they are, including impacts on markets, debt and credit, and land; and impacts on <u>what</u> households are doing to cope with the disaster's impact, including reducing expenditure and migrating in search of work.
Social impacts	This analyzes how the disaster and recovery effort affect social relations within and among affected communities. This includes: the impact on the social composition of affected communities; the roles of and relations among different social groups, including impacts on women and gender roles; and social capital and cohesion.
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 relief and recovery effort, in order to identify any emerging recovery-related issues.
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

Focus area	Description
	community leadership. This includes impacts on relations among community members and leaders and the impact on community and inter-village organizations.

In addition to gathering information on the main research domains, researchers will also need to gather information to help classify communities. A list of such information can be found in Volume II of this guidance note. It includes information such as the pre-disaster population, the number of deaths, the level of physical damage, and geographical information. It is also vital when collecting new data that they gather standardized, quantifiable, consistent information across villages to help draw out patterns when later comparing communities studied.

Each of the focus areas can be broken down into different topics, outlined at the end of this chapter. Researchers should gather basic information on each topic to enable them to compare the different communities studied. Once researchers they have gathered a basic level of detail on each, they may investigate particularly salient issues in more depth.

Many of the social and socioeconomic impacts of disaster and recovery efforts take time to emerge and continue to evolve over time. Although social impact assessments are conducted not in the immediate aftermath of disaster but in the early recovery phase, information on some of the research topics may be inconclusive. For these domains, researchers should treat the information gathered during the social impact assessment as a baseline for future monitoring.

Sampling of research sites

The methodology for site selection applies some quantitative techniques to qualitative research. Quantitative research usually seeks to generalize findings from a representative sample to an entire population through statistical inference. Post-disaster social analysis does not do this: understanding social phenomena from the perspective of affected people is hard to do through primarily quantitative methods. However, it does attempt to ensure that the sample is as representative as possible and includes some ‘control’ communities unaffected by the disaster and recovery effort. This enables researchers to be sure that any emerging findings are not unique to one ‘outlier’ community and that, even if they cannot be generalized through statistical inference, they are robust enough for the purposes of policy recommendations, especially when triangulated with other available quantitative data from the PDNA and other surveys.

Box: Site selection in Myanmar

In Myanmar, communities differed by the level of disaster damage and primary livelihood. Those who designed the study selected eight of the most affected townships and ensured that the number of villages selected per township roughly correlated with the degree of damage. Within each township, and across the whole sample, villages were selected according to their primary livelihood. Finally, across the entire sample, but not necessarily within each township, villages were selected to provide diversity in the level of disaster damage. 40 villages were in the sample, including four control villages.

Designing such a methodology involves several steps. The first is to identify the salient ways in which communities in the affected area differ from each other. In Myanmar, these were the degree of disaster impact, primary livelihood, proximity to urban centers and

geography. In other contexts, other factors might also be salient, such as whether the affected communities are in conflict zones. The second is to choose a sample large enough to reflect these major elements of difference and representative enough to ensure a diverse set of experiences along these elements of difference. Doing this requires using all available information from government, UN or other databases. The third is to include control locations in the study. These should be locations unaffected by the disaster or recovery effort. Including them will help analysts to identify what findings appear to be linked to the disaster or recovery effort. The control locations of the social impact assessment should be the same as those for the social impact monitoring.

Some disasters cause widespread displacement: the original community may be uninhabitable, and many of its people moved elsewhere. If researchers are selecting such a research site, they should treat the community as a collection of people rather than as a physical site, and when conducting fieldwork seek out members of the original community in their new locations. If most of the community have moved together (for example, to a camp for IDPs or to a new host community), it will usually be possible to identify and interview them, though interviewing IDPs in such settings brings extra ethical responsibilities, particularly around confidentiality. If community members have scattered widely, researchers will need to make a judgment about whether it is feasible and practical to identify and interview a cross-section of community members in their new locations.

Research instruments

Research instrument	Description
In-depth interviews	<ul style="list-style-type: none"> • Can be structured, semi-structured or unstructured • Unstructured interviews allow respondents to voice their own perspectives and enable unexpected issues to emerge • Structured interviews allow more standardized information to be gathered, but may prevent investigating particular issues in more depth • A semi-structured approach tends to work best for social impact analysis: researchers have a structured interview guide but can emphasize certain questions if necessary. Less experienced researchers should follow the guide in a more structured way.
Focus group discussions & informal group discussions	<ul style="list-style-type: none"> • Provide a means for quickly getting a range of views on a subject. • Are good for issues around norms, values and the views of particular groups to be explored. Focus group discussions are structured, and the participants are carefully chosen to represent a particular group. • Informal group discussions are less structured than focus groups
Participant observation & informal interviewing	<ul style="list-style-type: none"> • Informally talking to and observing people are important ways of understanding community dynamics. People tend to talk more freely. • Good for trying to understand social relations between groups and community power dynamics
Short surveys	<ul style="list-style-type: none"> • Good for obtaining broad, representative information fast • Good for obtaining data that are important to quantify, such as debt totals and interest rates. • Can also include open-ended questions.

Social impact analysis relies on mostly qualitative research instruments⁹. The right mix of instruments will depend on what information is already available and the scope of and time available for the study. To identify the appropriate mix of instruments, the task team and research partner should match each instrument with the information sought. For example, information on vulnerability is usually best obtained through in-depth interviews, whereas quantitative information on debt is best obtained through a simple survey.¹⁰ Researchers will need to ensure that there are enough in-depth interviews and informal group discussions to enable new, complex or sensitive information to come to light, but that these are complemented by focus group discussions to provide comparative information.

Box: Further resources on research design

Some useful resources on research design include:

- Judy L. Baker (2000). *Evaluating the Impacts of Development Projects on Poverty: A Handbook for Practitioners*. Washington, DC: World Bank.
- Ravi Kanbur (ed.) (2002). *Q-Squared: Qualitative and Quantitative Methods of Poverty Appraisal*. Delhi: Permanent Black.
- Leslie Kish (1965). *Survey Sampling*. New York: John Wiley and Sons.
- Vijayendra Rao and Michael Woolcock (2003). "Integrating Qualitative and Quantitative Approaches in Program Evaluation", in Francois J. Bourguignon and Luiz Pereira da Silva (eds.) *Evaluating the Poverty and Distributional Impact of Economic Policies*. Washington, DC: World Bank.
- Carole H. Weiss (1998). *Evaluation*. Upper Saddle River, NJ: Prentice Hall.

⁹ Some of the information gathered, such as prices and interest rates, is quantitative, but is gathered using qualitative methods.

¹⁰ Because of time constraints, short surveys are rarely used during PDNA social impact assessments, but can be employed during follow up social monitoring to get more comprehensive, comparative information.

Table: Key research topics in post-disaster social analysis

This breakdown of topics describes the kind of information researchers should seek. **It is not intended as an interview guide:** interview questions should be simple and open-ended. For example, to obtain information on how aid distribution has affected social relations, a researcher might start by asking how recovery assistance has been distributed, what community members think of this, and what they think the effects of aid distribution has been on their communities. Advice on interview techniques can be found in Volume I, Chapter Four, ‘Fieldwork’.

Key domain	Key topics to understand
FOCUS AREA ONE: SOCIOECONOMIC IMPACTS	
<p>Socioeconomic groups</p> <p>1. What are the key groups within the community?</p> <ul style="list-style-type: none"> • Livelihood groups • Wealth categories • Vulnerability categories 	<p>Key topics:</p> <ul style="list-style-type: none"> • How have the disaster and relief and recovery effort affected the livelihood, wealth & vulnerability breakdown of affected communities?
<p>Livelihoods recovery</p> <p>2. How are different socioeconomic groups recovering, including the most vulnerable? Impacts on:</p> <ul style="list-style-type: none"> • Assets • Livelihood strategies • Livelihood outcomes <p>for key groups, such as farmers, fishers, casual laborers & traders, including groups identified as vulnerable</p>	<p>Key topics:</p> <p>For the key occupational/wealth groups within the community, what have been the impacts on:</p> <ul style="list-style-type: none"> • People’s assets and resources (e.g. the livestock, machinery & savings of farmers) • How people use those resources (e.g. changes how much land farmers have been able to sow and how many laborers they hire) • Earnings & outcomes (e.g. changes in farm yields, farm gate prices & profits for farmers) <p>Has livelihoods assistance been appropriate for the local context & sufficient? How have groups identified as vulnerable been affected? Has livelihoods assistance met their needs?</p>
<p>Local economic structure</p> <p>3. Why are different groups recovering the way they are? Structural factors including:</p> <ul style="list-style-type: none"> • Markets • Debt & credit • Land 	<p>Key topics</p> <ul style="list-style-type: none"> • How have the disaster and relief and recovery effort affected how people gain access to use and use markets and how markets function? • What have been the impacts on indebtedness & the availability and cost of credit? Have there been changes in why & from whom people borrow, interest rates & other borrowing terms, loan sizes and indebtedness, the consequences of default and availability of credit? • How does this differ across socioeconomic groups, including the most vulnerable? • What are some of the underlying factors that contribute to longer-term vulnerability? How have these affected how vulnerable groups are recovering? • What has been the impact on the condition of land, land use rights & land tenure?

<p>Household coping strategies</p> <p>4. What are different groups doing to cope?</p> <ul style="list-style-type: none"> • Reducing expenditure • Migration • Remittances • Negative coping strategies 	<p>Key topics:</p> <p>What have different types of households done to cope with their changed circumstances? This might include:</p> <ul style="list-style-type: none"> • How have different types of households changed their expenditure? • Have different categories of people started to migrate in search of work elsewhere? • Have people’s relatives increased the remittances they send? • Is there evidence of negative coping strategies—i.e. those that hurt people in the long term—such as people selling their productive assets, such as land or livestock?
<p>FOCUS AREA TWO: IMPACTS ON SOCIAL RELATIONS AND COHESION</p>	
<p>5. What have been the impacts on the social composition of affected communities and the roles of and relations among different social groups? Groups include:</p> <ul style="list-style-type: none"> • Gender • Age • Religion/ethnicity • Caste 	<p>Key topics:</p> <p>For gender, age, religious, ethnic & caste groups:</p> <ul style="list-style-type: none"> • How has the social composition of affected communities been affected? (e.g. disproportionate numbers of women, children & the elderly dying; disproportionate numbers of young women leaving to seek work in factories) • How have the roles of different groups been affected? (E.g. men performing more child-care, young people and not simply village elders participating in relief and recovery committees) • How have relations among different groups changed?
<p>6. What have been the impacts on social capital & cohesion, both within and among communities?</p> <ul style="list-style-type: none"> • Social capital • Social cohesion: inequality & deprivation; conflict, crime & violence? 	<p>Key topics include:</p> <ul style="list-style-type: none"> • How strong is social capital? Have the disaster and relief and recovery effort affected how people work together and their capacity to act collectively (e.g. to rebuild their communities) • Is the community more or less united than before the disaster? Have levels of inequality or deprivation gone up? • Have there been any changes in inter-community relations? • Have there been any changes or cases in conflict, crime or violence, including gender-based violence?

FOCUS AREA THREE: RELIEF, RECOVERY & ACCOUNTABILITY

<p>7. What are the overall patterns of relief and recovery, including relief and recovery levels & types, needs & shortfalls & community contributions to the relief and recovery effort?</p> <ul style="list-style-type: none"> • Levels & types of relief and recovery assistance received • Needs & shortfalls • Community contributions, dependency & burden 	<p>Key topics:</p> <ul style="list-style-type: none"> • How much & what kind of relief and recovery assistance has been received? • What kind of non-disaster related aid has been received? • Has relief and recovery assistance met with local needs & are there shortfalls? • How has relief and recovery assistance affected recovery? • What is the nature & extent of community contributions to the relief and recovery effort? Do people feel any aid burden or dependency?
<p>8. How has relief and recovery assistance been targeted? Has it met the needs of the most vulnerable groups or led to any perceived inequalities?</p> <ul style="list-style-type: none"> • Types of targeting mechanisms used • Relief and recovery assistance distribution & equity • Marginalization & vulnerability 	<p>Key topics:</p> <ul style="list-style-type: none"> • What kinds of targeting methods are used, and what are community perceptions of them? • Does aid targeting meet the needs of vulnerable & marginalized groups? • Has aid targeting led to any perceived inequalities in relief and recovery provision? If so, what are the consequences?
<p>9. Who participates in and makes relief and recovery decisions, and how do affected groups resolve complaints & negotiate their interests?</p> <ul style="list-style-type: none"> • Relief and recovery decision-making • Relief and recovery management • Relief and recovery information • Relief and recovery negotiation 	<p>Key topics</p> <ul style="list-style-type: none"> • Who makes relief and recovery decisions, and how? • How is relief and recovery assistance delivered & managed? What social & socioeconomic groups participate? • What information on relief and recovery assistance is available? • How do affected communities advocate for themselves? How do they deal with relief and recovery-related complaints?

FOCUS AREA FOUR: COMMUNITY & INSTITUTIONAL IMPACTS

10. What role do the key community organizations & institutions play in relief and recovery assistance and livelihoods?

- Organizational & institutional mapping
- Role of organizations and institutions in disaster recovery & relief and recovery assistance
- Organizations, institutions & social groups

Key topics

- What are the key social, religious, political, economic and other types of organizations and institutions active in the community, what kinds of social groups belong to them, and how do they relate to each other?
- What role do these organizations & institutions play in relief and recovery assistance? Has this changed their wider importance?
- Do some social groups have greater access to organizations 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?
- What has been the role & capacity of local authorities in the recovery effort?

11. What has been the impact on local leadership and the ways community members interact with their leaders?

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

Key topics

- What is the 'leadership composition' of the community (e.g. religious, political and social leaders) and what role do they play in the relief and recovery assistance effort, helping resolve disputes and representing their community to the outside world?
- Are some leaders more important than others? Are there conflicts among leaders?
- What
- Are new types of leaders emerging, and has the relief and recovery effort affected this? Are community members satisfied with their leaders? Have people's expectations of leaders changed?
- What is the social profile of leaders? Are they able to play a more active role in relief and recovery?
- Has the relationship between community members and local authorities changed? How?

CHAPTER FOUR:

FIELDWORK

Objectives

This chapter explains how to conduct post-disaster social impact analysis fieldwork.¹¹ The chapter includes guidance on:

- How to prepare for doing fieldwork
- What to do upon arrival in field locations
- How to sample respondents in field locations
- How to conduct interviews, focus groups, participant observation and surveys
- How to manage, record & triangulate data
- How to uphold standards of research ethics and safety

Preparation

1. Prepare a field guide¹²

The research partner should prepare a field guide with the support of the task team. This provides an overview of the research design and guides researchers on how to conduct fieldwork. It also identifies what fieldwork outputs are expected and contains pre-prepared data formats for researchers to use during interviews. The field guide should be structured so that any reader would be able, with some basic training, to conduct fieldwork and return with the desired inputs for the PDNA or social monitoring study. The lower the capacity of the research team, the more prescriptive the field guide should be. Researchers who have little experience, however, will need detailed and structured guidance to ensure consistency and quality in fieldwork.

2. Put together & train a research team

The task team should support the research partner in selecting and training the research teams. Doing this well is critical. In qualitative research, the skills and sensitivity of the researcher greatly affect the quality of the information received: the researcher must be able to build trust interview skillfully to get the desired information. The research partner should select researchers with the right mix of social science, interviewing, data management, analysis and writing skills. Ideally, the team should reflect the gender, age, ethnic and religious make-up of the communities studied and be able to speak local dialects.

The research team is usually split into smaller groups for fieldwork. There should be at least two and ideally three or four researchers for each community. Researchers should have an open, genuine and respectful attitude towards community members.

Training should take place before each round of research. A half-day overview of the research domains may suffice for teams experienced in qualitative research; otherwise up

¹¹ Much of the information in this chapter has been based on field guides developed for previous rounds of social assessment and monitoring in Myanmar and the Philippines. Each iteration of these field guides was improved for subsequent rounds.

¹² Sample field guide outlines can be found in Volume II.

to three days of training may be needed. The purpose of the training is both to train researchers in qualitative research methodologies and social impact analysis and also to engage them in identifying detailed research ‘questions’ based on the research domains.

Fieldwork

1. Overview of steps

Table: Overview of Fieldwork Steps

Stage	Suggested steps
Before arriving	Gather background data
Arrival & accommodation	Introduce research aims to local leader Arrange accommodation
Initial community meeting	Discuss general trends in community Gather further background data & preliminary data Plan research within community
Interviews, focus group discussions and surveys	Introduce research aims to any interviewees Conduct in-depth interviews, FGDs, informal interviews and informal group discussions Engage in participant observation Conduct simple survey if necessary Record data and take notes while interviewing
Consolidating & triangulating data	Consolidate data ‘Triangulate’ data while in fieldwork location
Feedback	Get feedback from community members on the research to improve later rounds
Leaving	Inform local leader of completion of research

Before arriving

Before arriving at the site, researchers should gather as much background information as they can about the research locations. This may involve visiting local government offices to gather pre-disaster statistics and background information on topics such as pre-disaster demographics, local economies and sources of livelihood, existing development programs and other resource inflows into communities, any previous disasters, and any relevant local history, including of conflict.

The research partner is usually responsible for making the necessary travel, administrative and logistical arrangements. In some settings, it may be necessary to obtain government permits to do research. In the aftermath of disaster, such travel may be physically tough, and resources such as food, water and shelter may be scarce: researchers should plan accordingly. Before conducting fieldwork, the research partner should ensure that all appropriate security arrangements are in place.

Arrival & accommodation

Upon arrival at the fieldwork site, the research team will need to introduce themselves and the aims of the research to the local leader or administrator, who is usually the village or municipality head. They should confirm that it is acceptable to conduct fieldwork and make arrangements to stay in the community if possible. At this meeting, the researchers should make plans to hold focus groups, as the local leader is usually able to help arrange them. Research teams should be aware, though, of bias introduced when people in positions of

authority arrange meetings for them. They should ensure that they spend enough time in the fieldwork site to sample a good cross-section of the population independently.

Initial community meeting & participant observation

Researchers should start by getting a general introduction to the community, getting a sense of the social 'map' of the community, identifying key informants, and making arrangements to hold focus groups. A good starting point is usually to hold a meeting with key leaders, which is open to the wider community (if possible, the meeting should be held outdoors or in a public community space of some kind to enable interested community members to join). During this meeting, the research team can ask general questions about changes in the village since the disaster or since the last assessment round. This helps researchers understand some of the community's background and identify what issues to focus on during fieldwork. It also helps to build trust with community members. Researchers should manage expectations about the fieldwork and make it clear that the community will not receive relief or recovery assistance as a result of the fieldwork.

This meeting is an important opportunity to gather preliminary information on the village, including changes in the demographic profile, aid received, an identification of livelihood and wealth groups, and a list of community institutions. Such information may be amended on the basis of further discussions in the fieldwork location.

Researchers should not rely on this meeting alone to identify informants, especially if they sense that there is tension among local leaders and community members. It is important to get a range of perspectives among research participants and to identify some respondents independently to get a better cross-section of views.

In urban areas, where social and socioeconomic relationships tend to be complex, it can be more difficult to identify people with whom to talk directly. Researchers can use this initial meeting to draw a 'social map' of the urban area and to identify different urban groups with which to talk as a starting point.

Interviews, focus group discussions & short surveys

Most time at the research site will be spent interviewing respondents and conducting FGDs. Researchers should ensure they cover a cross-section of the community and address the main research domains. It may also be necessary to conduct a short survey, for instance to gain comparative information on interest rates or the price of goods in the market. This can be done towards the beginning of the fieldwork, as it may identify issues on which to focus during the focus group discussions and interviews.

New issues may emerge during fieldwork, investigating which requires new interviewing strategies. Researchers should take an ongoing problem-solving attitude and take opportunities to discuss findings with each other and exchange opinions on how to obtain useful information on particular topics.

Data sharing, consolidation & analysis

Researchers should leave time to share and write up data formats while doing fieldwork. This enables researchers to identify emerging issues and investigate them further if necessary. It is better to conduct and write up a few good focus groups and interviews than to attempt to do more at the expense of quality. It is important to allow sufficient time for consolidation to address gaps in understanding or develop case studies.

Feedback and wrap-up

Researchers should allocate time to get feedback from community members on the conduct of their fieldwork to enable them to improve any future rounds of research and to answer any questions community members may have. Before leaving the community, they should thank respondents and the community leader for their time.

2. Sampling respondents

How researchers select respondents within communities depends on their objectives and research instruments.

For interviews, focus group discussions and informal interviews, researchers should use 'purposive' non-probability sampling: they should select respondents based on criteria that enable them to interview a good cross-section of the population. In doing so, the research team should first identify the selection criteria: they should identify what social and socioeconomic groups exist in the community and in what proportion, and on this basis identify what types of people they to get a good cross-section of community perspectives. At a minimum, they should ensure that they interview elites and non-elites, men and women, and young and old people. They should also interview the main livelihood groups and groups commonly perceived as vulnerable, such as widows, disabled people and extremely poor people. An example of this is as follows:

Box: Key informants at community level

- Formal leaders, such as the village or municipality/neighborhood head
- Informal leaders, such as village elders and religious leaders
- Other actors who are involved in relief and recovery decisions within the community
- Farmers ('large', 'medium' and 'small')
- Fishers (commercial or 'big' fishers, subsistence or 'small' fishers)
- Landless laborers
- Petty traders and owners of community micro-enterprises
- Factory workers
- Those in other occupations
- Renters
- Groups identified as 'vulnerable' by the community. These are often, but not always, disabled people, poor single-headed households, and the elderly.
- Young women
- Young men
- Migrants/recent arrivals
- Ethnic or religious minorities
- Members of different caste groups

Different respondents are likely to have knowledge of different research topics. When they do not, they will usually be able to recommend other informants. This is called 'snowball' sampling. Researchers should try to get a range of perspectives on the same topics so that they can later 'triangulate' and cross check their findings.

Researchers may use simple or stratified random sampling for simple surveys, depending on what they are trying to learn. Usually they will be trying to get information, such as on

total indebtedness or interest rates, which they will want to break down either by livelihood or wealth group. If so, they should use stratified sampling, in which the population is first broken down into those groups and then randomly sampled within them. Researchers should be aware, however, that if the disaster has killed community members, any register of households in the community that would normally form the basis of a sampling frame is likely to be out of date. They should therefore work with the village head or other knowledgeable community member to amend it, or identify another kind of frame that can be used, such as a local government tally of surviving households.

3. Interviews, focus groups, participant observation & surveys

When to use what research instruments

Any good social impact analysis exercise uses a mix of in-depth interviews, focus group discussions, informal discussions, participant observation and simple surveys to obtain data. Different research instruments have different purposes. Focus group discussions are good for getting a range of views on a topic, covering a great deal of ground fast, and observing group dynamics. In-depth interviews typically cover fewer issues, but are able to delve further into those issues to gain a deeper understanding of the subject matter, and are better for discussing sensitive topics. Participant observation and informal interviews are useful ways to observe community dynamics and gain a more complete picture of context. Simple surveys are good for obtaining simple, concrete data on discrete topics such as local wage rates, prices and interest rates.

Research instrument	Good for
In-depth interviews	<ul style="list-style-type: none"> • Obtaining in-depth information on a variety of topics, especially sensitive ones such as emerging corruption, social tension or domestic violence • Obtaining information from less powerful people, whose voices might be ‘drowned-out’ in group discussions by people who are richer or more prominent, articulate, or educated. • Examining marginalization and vulnerability and assessing household coping strategies.
Focus group discussions	<ul style="list-style-type: none"> • Getting a wide range of perspectives on a topic in a short amount of time • Observing group dynamics and gaining an understanding social norms. • Obtaining information on the impacts of the disaster and relief and recovery effort on particular groups of people, e.g. casual laborers • Obtaining information on issues that face the wider community, such as changes to land management and use.
Informal discussions & participant observation	<ul style="list-style-type: none"> • Understanding social relations between groups & a more in-depth understanding of topics that emerge. • Getting information on sensitive topics • Gathering ‘unspoken’ information from the way people act and interact
Simple surveys	<ul style="list-style-type: none"> • Getting fast, standardized information on topics such as household debt, savings & interest rates

When choosing the mix of research instruments and devising a method for recording data, the research team should bear in mind the need to collect and record consistent, standardized information across communities to help later identify patterns in the analysis. For example, they should identify criteria for classifying communities into ‘levels of damage’ and for classifying groups socioeconomically (such as classifying farmers according to the number of acres they own). This will help later in disaggregating and comparing data.

How many interviews & focus groups to conduct

The number of interviews and focus groups to conduct depends on the information being received, the size and heterogeneity of the community, and time and budget constraints. Ideally, researchers should interview and conduct focus groups until they are not gaining any new insights and have understood the full range of perspectives on the topic at hand¹³. However, time and budget constraints usually prevent this. If the fieldwork is in communities that are at the lowest level of government administration (usually a village or urban neighborhood), three to four researchers conducting approximately one and a half to two days of research is usually enough to capture the range of perspectives in the community: it is often the point after which there are noticeable diminishing returns.

During one typical round of social impact monitoring in Myanmar, research teams conducted approximately five or six formal interviews, four focus group discussions and two to three informal discussions in each village. They did not conduct a survey. The research covered 40 villages. This meant that approximately 1500 community members in total participated in the research as respondents.

Table: Mix of research instruments used in one round of social impact monitoring

Research instrument	Approximate number in each site	Approximate number of participants	Number of sites	Total number held	Number of respondents
Formal in-depth interviews	5-6	1	40	222	222
Focus group discussions	4	6-8	40	159	1100
Informal discussions	2-3	1-3	40	102	200

How to conduct in-depth interviews

Choosing an interview approach

There are several choices involved in conducting in-depth interviews. These include how structured to make the interview, and whether to have many shorter interviews or a few in-depth interviews. The capacity of the research team affects the suggested approach to interviewing. Capable researchers should use a semi-structured approach, where they have familiarized themselves with a list of guiding questions but do not have to cover all ground and are free to pursue particular issues in depth as they arise. Capable researchers should use a more structured approach to ensure that they gather at least the minimum required information.

Usually, conducting a few in-depth interviews yields richer information than conducting several short, 'shallow' interviews. However, because time is limited, the research team should ensure that they are conducting enough interviews or focus groups to cover a good cross-section of the community.

Research teams should avoid interpreters if possible. The pauses necessary for translation limit the natural feeling of an interview and can make respondents feel awkward and formal, which may prevent them from offering new insights. It is usually better to train someone who speaks the local language to conduct the interview than to do it through an intermediary.

¹³ This is usually called 'theoretical saturation'.

Conducting the interview¹⁴

Interviews should be conducted at a convenient time for respondents and in a neutral, private environment in which the respondent feels comfortable. Often this is in people's homes. Interviews with women should be conducted when their partners are not home, ideally by a female researcher. It is also best not to let the community leader arrange interviews, as this may introduce perceived bias.

Box: Interview tips for social impact monitoring¹⁵

	Tip	Description
1.	Ask open-ended questions	Ask open-ended questions (that usually begin with "How", "Could you tell me about", "What did you think") rather than questions that require a yes or no response.
2.	Ask follow-up questions and probes to get more information	This enables participants to provide the complete set of information on each question. Direct probes include "Could you tell me more", "How did this happen?" "How do you feel about?" "Could you give me an example?" Indirect probes include neutral expressions such as "I see," and "Interesting..."; and repeating what participants have said.
3.	Get concrete incidents, not theories	Ask for a specific incident rather than a generalization. Stories and 'cases' enable researchers to understand the underlying community dynamics. Use phrases such as "Could you talk me through what happened" and "Think back to..."
4.	Keep questions 'neutral'	Do not lead the respondent to a certain answer or put words in her mouth. E.g. instead of saying "Do you think some families did not want to be relocated because there are no services in the new area?" ask, "Why do you think some families did not want to be relocated?" The respondent should speak far more than you.
5.	Let respondents bring up for the issues you are seeking to explore	In most cases, do not ask directly about what you want. Ask more general questions that give an opportunity to talk about what you want to hear.
6.	Do not assume what you are hearing is always true.	Verify information you hear from multiple sources (triangulation). Get perspectives from all sides
7.	Take time ...	A first meeting is partly about establishing an interviewing partnership & building trust. Time spent talking about 'unimportant' things is never wasted.
8.	... But keep focused	You are not writing ethnography about all elements of culture. Selectively record relevant information
9.	Interview a cross-section of the population	Often you get the best information from the most unexpected source. Be wary of turning to authorities and 'experts'—ordinary people are usually more helpful
10.	Record respondents' own words	They are probably more revealing (and more powerful) than your own. This is especially true when writing mini-case studies/boxes.
11.	Keep the analysis separate	Do not mix analysis and evidence taking in notes. Developing theories and typologies is for later.
12.	Write-up notes as soon as possible	Take good notes during the interview or straight after. Always write up your notes on the same day. If you work in pairs, one person asks questions while another takes notes.

¹⁴ Good advice on conducting in-depth interviews can be found in Weiss, Robert. *Learning from Strangers: The Art and Method of Qualitative Interview Studies*. New York: Free Press, 1995.

¹⁵ Taken from Field Guide for the second round of Social Impact Monitoring in Myanmar, 2009

	Tip	Description
13.	Do not ask specifically about tensions and conflicts.	Instead, ask about difficulties and challenges in the community. Tensions and conflict are normal, and are present in every society. Paint things in a positive way—do not make it seem like you are making judgments. The focus is on how issues are dealt with and how groups relate to each other, not on particular disputes or problems.
14.	Quality not quantity	A few good interviews are better than several poor ones. Take time to write up everything relevant
15.	Work as a team	If you are working in pairs, decide who is leading the interview (take it in turns). Never interrupt each other.

Authority figures should not be present when researchers are interviewing ordinary community members: this can prevent respondents from being frank about issues facing their communities. Sometimes this is difficult: authority figures may feel obliged to show researchers around and may not be aware of the impact their presence can have on the interview. If researchers cannot directly explain their need to have one-on-one interviews (for example, if they feel it would lessen trust or put respondents in a difficult position), they can try various other techniques to ensure privacy. A common one is for the research team to split up and for some researchers to hold discussions with authority figures while others walk independently around the community to interview other respondents. Another is to conduct interviews in places where few people are likely to visit. For example, in one village in Myanmar, researchers were able to hold a sensitive in-depth interview in the local burial ground, which the respondent herself suggested would give them privacy because other community members feared ghosts.

The interview should be conducted naturally. Typically, the best way to do this is in pairs, with one researcher conducting the interview and the other taking notes. This ensures that the flow of the interview is not disrupted. Researchers should be sensitive to any social and cultural differences between themselves and respondents. Building a good rapport with respondents is essential. Sharing some personal information at the start of the interview is often a good way to do this. Researchers should be open, humble and natural in their attitude. In post-disaster contexts where people may be living with little, it can be easy to see disaster survivors simply as ‘poor people’, defined only by their poverty, marginalization or status as disaster survivors, and when there is pressure to obtain good data, it can be easy to see respondents merely as instruments for obtaining data rather than as people who have been generous enough with their time and energy to participate in the research. Researchers should avoid this.

Box: Gender in post-disaster social impact analysis

Disasters often disproportionately affect women. They may kill a higher proportion of women than men, and if income-earning spouses die, widows can face a double burden of family, household and income-earning responsibilities. Displacement, disaster-related migration, family changes and psychosocial trauma in women’s communities can make them more vulnerable to gender-based violence, and conditions in camps and temporary shelters can constrain privacy and safety. At the same time, women work alongside men in repairing and rebuilding their communities, and are often the most active in community organizing for relief distribution and recovery. Although men are usually still the key decision-makers about aid, disasters can nevertheless be a catalyst for strengthening women’s roles in community public life.

Tracking the impacts of disaster on women and on gender roles and relations is critical, but data on these issues are often scarce or inconclusive. Research on wider issues that affect women, such as livelihoods, may be framed in a way that ignores gender issues or simply not disaggregated by gender, leaving information gaps. Social impact analysis can help fill these gaps. In-depth interviews and women-only focus groups are particularly useful mechanisms for getting information on the impact of disaster on gender. Such analysis, however, presents challenges: even in such settings, women may be unwilling to discuss issues such as gender-based violence. Researchers should thus take steps to maximize the validity of their findings. These include ensuring that interviews with women are private, that interviews contain questions on gender-related issues, such as safety and security conditions in camps, that female researchers conduct women-only focus groups and that they protect the confidentiality of respondents. They should also be careful during the analysis stage with attributing causation to the phenomena they observe. If the data are weak or inconclusive (for example, if the team find few changes in gender-based violence despite hearing anecdotally of such changes), they should simply state what they have found while noting the limitations of the research and that such phenomena are often under-reported.

Before starting the interview, researchers should familiarize themselves with their field guides so that they understand the research topics and guiding questions. In the interview, they should try to put the field guide away so that the interview can take place in a relaxed atmosphere. They should think about what topics the respondent might know about, and have a plan of what they want to cover in the interview, but with enough flexibility to be able to amend the questioning line if the respondent starts offering unexpected insights.

How to record and write up an in-depth interview

Researchers have to make a choice about how to take notes during an interview. Some people prefer to take extensive notes during the interview, which enables them to remember everything that is said and record the respondent's actual words. This, however, can add an element of artificiality: rather than giving the impression of a conversation, it reminds respondents that they are being interviewed, which may prevent them from talking about sensitive issues. Others often take no notes at all during the interview, leaving the note taking and write-up until later. The advantage of this is that informants are most likely to be at ease; the disadvantage is that it is easy to forget key elements of the interview.

Experience suggests that an in-between approach, in which one researcher interviews and another takes notes, ideally on pre-prepared data formats, is likely to work best. If this is not possible, the researcher can take some notes and write them up fully after the conversation. Researchers should in either case write up a more detailed account of the interview as soon as it is concluded. If for some reason this is not possible, they should complete their write up at the end of the day or, if the interview is at night, the following morning. Note-takers should try to record as much of what respondents are saying directly as they can. This will help in later analysis and in separating quotes, facts and conclusions.

If interviews have to be conducted individually, the interviewer may want to use a tape-recorder. Tape recorders, however, should be used responsibly and with discretion. Researchers should always ask the permission of respondents before using one, should explain clearly how the data will be used and stored, and should only continue using the tape recorder if they feel the respondent is comfortable.

How to conduct focus group discussions

Putting together a focus group

Shortly after arriving in the village, the research team should decide which focus groups to prioritize. They should do so using basic community data to try to ensure that the major groups are covered. For example, at least one focus group should be held with landless laborers if they comprise over half of community members. Similarly, if the community has a significant number of resettled people, focus groups should be held both with original residents and recent arrivals. Researchers should usually plan to conduct at least four focus group discussions in each research site. It is essential for focus groups to have homogenous respondents, such as all medium farmers, all landless laborers or all women, and for no significant power differentials to exist among those in the group.

Researchers should identify the discussions they want to organize towards the beginning of their site visit and arrange them directly or through a trusted key respondent. A good way to do this is to use an existing network. For example, if researchers need to hold a focus group with poor women and most poor women in the community are members of savings and loan groups, they may invite the whole savings and loan group. In subsequent rounds of research, researchers should try to do focus groups with the same groups that were interviewed in previous rounds.

Six to eight people are ideal: large groups become difficult to handle. A good FGD may take two to three hours. Researchers should conduct the FGD at a convenient time for respondents: this is usually in the afternoon or evening. Focus groups should be held in a neutral location, usually in the house of one of the respondents or a community building.

The researchers should have a list of questions prepared to help structure the discussion. Usually about ten to twelve questions works best: many more can make the focus group become more a 'ticking the box' exercise rather than a genuine discussion.

How to conduct a focus group¹⁶

Researchers should conduct the focus group in pairs, with one moderator and one note-taker. It usually works best for a woman to moderate discussions with women's groups. In highly gender-segregated societies, it may be necessary for both the moderator and note-taker to be female. Before beginning, the moderator should have a questioning route prepared and ensure that all necessary supplies, such as water, large sheets of paper and pens, are available. It usually works best for people sit in a circle or some other informal arrangement.

The moderator should open by introducing herself, explaining the purpose of the research and explaining any focus group procedures. She should address openly any expectations from participants that the research might lead to additional resources to avoid creating expectations that the research team cannot fulfill. Usually, it works best to start questioning with general, neutral questions to help build trust and create a natural atmosphere. As the discussion proceeds, the moderator should try to steer the discussion to keep on topic and

¹⁶ Detailed advice on preparing for and conducting focus group discussions in social analysis can be found in Krueger, M. and Casey, M, "Designing and Conducting Focus Group Interviews" in Krueger et al. *Social Analysis: Selected Tools and Techniques*. Washington, DC: World Bank, Social Development Paper Number 36, June 2001.

ensure that a range of views are heard. Many of the interview techniques for focus groups are the same as those for in-depth interviews: moderators should use open-ended, neutral questions, ask probing questions, and focus on concrete incidents. However, because focus groups involve several people, the moderator's task is more complex: she has to observe group dynamics, try to draw out all group members, ensure that the main subject areas are covered, and maintain a conversational atmosphere and comfortable pace.

How to record and write up a focus group

At the beginning of the focus group, the note-taker should record who is present and the location and atmosphere of the focus group, taking down as many details as possible. The note-taker should mark who has said what in response to each question. It is helpful for the note-taker to have pre-prepared data formats on which to record information.

The note taker should also record overarching topics during the session on a large sheet of paper. In literate groups, this enables participants to check that the researchers have understood their information. It is usually better not to record names on this paper, as it may make people nervous. The note taker can also use maps, drawings and other visual aids that do not require literacy. Note takers should write up their notes immediately after the focus group or as soon as possible afterwards.

How to conduct participant observation & informal discussions

Researchers are always working while doing fieldwork: observation and discussion continues even if they are not doing formal interviews. Informally talking to people and observing relations within the community are a less structured but equally important way for researchers to increase their understanding of the assessment focus areas.

Box: Tips on conducting participant observation and informal interviewing

- **Stay alert.** Constantly think of how what you see relates to what you want to find out.
- **Build relationships**—Build trust with community members. This is vital to get good information.
- **Spend time with community members**—eat with them, talk with them in the evenings—and you will learn a lot. The evenings, in particular, are a key time to have long informal talks with people.
- **Walk around**—do not just go straight from interview to interview. Take a walk around the village. Record what you see and, if doing more than one monitoring round, how things have changed.

Participant Observation

Whereas the other research tools rely on spoken answers as a source of data, participant observation derives insight from observed actions. Researchers should notice the different informal relationships and structures of the communities they are in. They should observe people's attitudes and ways of acting. These are all key sources of data. The following are suggestions for things to observe:

- The physical setting
- Human and social environment
- Activities and behaviors
- Informal interactions
- Forms of non-verbal communication

These techniques should be used at all times but are especially useful at getting information from ‘marginalized’ and ‘silenced’ groups, who may not feel confident being formally interviewed, but may be happy to chat informally.

Researchers should record their observations and notes. Some people find it useful to keep a short daily diary recording their observations, which can be a useful reference point for future rounds of research.

Informal interviews & discussions

During fieldwork there will also be opportunities to conduct group informal discussions. In such casual discussions, participants tend to be more relaxed, which can help in obtaining information. Opportunities for conducting such interviews include:

- Talking to one’s hosts in the evening after dinner
- Talking to people while helping them prepare food
- Talking to people while being shown around the community
- Going to the market and talking to shoppers and traders
- Talking to farmers and laborers in the field
- Talking to boatmen on the docks or while being ferried down rivers
- Talking to people while eating at the local tea-shop

When a significant amount of information is obtained through informal discussions, it usually works best for researchers to record the results using the FGD data format. Otherwise, they should keep a separate record of what they have learned.

How to conduct simple surveys

The local partner should design the survey with guidance and support from the social impact task team. The objectives of the survey should determine the sampling method and survey method, but in general a simple or stratified random sample of the affected community, combined with a simple response format composed mostly of structured response options (in which respondents have a limited choice of answers, such as choosing ‘yes’ or ‘no’ or choosing to put themselves within a particular range of household income) will suffice. Those designing the survey will need to take care to avoid bias in designing the questions, and should place the order of questions carefully to avoid one kind of question unduly influencing the other. It is critical that any survey instrument be pre-tested and refined—though during the PDNA stage this may take place in real-time due to time pressures.

4. Triangulating data

Different respondents are likely to have different perspectives on the same topics. They may remember the same concrete incident in different ways and offer facts that vary. Research teams should seek different perspectives on the same topics in order to ‘triangulate’ the information they receive: that is, to crosscheck what different people have said on the same topic to try to arrive at an understanding of what has happened.

5. Managing & storing data

Managing the volume of data gathered can be challenging. Often everything said and observed can seem important, and researchers can gather an enormous quantity of data.

Researchers should manage and organize their data well while on site to avoid having to do so later when faced with data from several research sites at once. Using pre-prepared data formats usually helps. If properly constructed, the formats enable researchers to compare information from different locations easily and provide a way to filter and organize data (some data format samples can be found in Volume II).

When taking notes, researchers they should keep analysis, quotes and observation separate: they should clearly highlight what community members have said directly and what they themselves think and observe. They should do a full write-up onto their pre-prepared data formats soon after the interview to enable them to see what they are missing, what needs to be ‘triangulated’, and what themes are emerging. Usually a simple coding system helps for later analysis.

Table: Example of data formats gathered in one SIM round

Format	Filled in where	Number of formats
Village data sheet, including: <ul style="list-style-type: none"> • Aid matrix • Institutional matrix 	In village	1 per village
Focus group discussion notes form	In village	1 per focus group discussion
Key informant interviews notes form		1 per key informant interview
Village summary sheet	Drafted in village	1 per village
Institutional case study	Drafted in village	1 per village
Village summary report	Drafted in village	1 per village
Case studies	Drafted in village	2-4 per village

6. Research ethics

Researchers should uphold high standards of research ethics and safety. This can be difficult: researchers may face ethical dilemmas at different stages of the research, which can be exacerbated by post-disaster conditions. In most cases there are no definitive answers, but researchers can make an informed choice by trying to adhere to the following principles:

- Respect participants
- Gain informed consent
- Be transparent
- Maintain neutrality
- Act responsibly and reciprocally
- Do no harm

It is critical that researchers are sensitive to the trauma that many post-disaster survivors experience. They should ensure that respondents are emotionally ready to participate in the research, and should avoid seeking out particularly traumatized people. They should allow time for respondents to speak about their personal experiences if necessary, even if unrelated to the research, and ensure that if necessary they can refer them to psychosocial support.

1. Respect participants

Respecting the affected community members who participate in the research is fundamental. It is the principle from which many of the others flow. Researchers should avoid a mindset in which they see community members merely as instruments for obtaining data. They should be aware that community members who spend time responding to research questions are busy people who could be doing something else with their time, such as cooking, cleaning, tilling fields or repairing their homes, but that, unlike the researchers, they are not paid for their time as research participants. They should remind themselves that community members may have lost friends, family members or possessions, that they are faced with the task of rebuilding their lives, and that it is likely they have had to devote time to many other assessments and processes, which not have brought visible benefits to their communities. Researchers should thus see community members as equal participants in the research, and treat them with the respect they would accord themselves.

2. Gain informed consent

Researchers should always get the consent of those who participate in the research. Community members should be informed about the aims of the research and either agree to participate or have a way to opt out. Their consent should be informed: it should be based upon knowledge of the research aims and of how the findings will be used. This enables them to make an informed decision about whether to participate.

Researchers should avoid creating an expectation that community members will receive relief and recovery assistance based on what they say. They should explain that the monitoring is intended to give feedback about the relief and recovery delivery process to decision-makers in order to improve the overall relief and recovery effort, but that they do not run programs or make resource decisions. This enables respondents to make an informed decision about whether to participate in the research.

3. Honesty & transparency

Researchers should be honest about their activities and intentions. This involves explaining the content, aims and uses of the research to respondents, clarifying what the community can expect from the research, and explaining any constraints the researchers face and what future engagement they expect to have with the community. They should assure respondents that their confidentiality will be protected and take steps to do so.

Sometimes this need to be transparent can create dilemmas. Researchers may fear that it may put community members at risk, for example in a conflict zone where telling people that the government will be informed about the findings may cause local armed groups to persecute community members for participating. Researchers may fear that if they advertise that they are studying sensitive subjects (such as social changes which might be perceived as 'negative'), respondents will withhold information about the local situation, thus compromising the validity of the findings.

If researchers feel that honesty will put people at risk, it is almost always better to stop doing the research: continuing under false pretences can put people at greater risk if the true aims of the research are later discovered. The safety of participants trumps the research itself. If, however, researchers feel that honesty will cause participants to withhold information, they should remain honest about the research but take other steps to build trust. Lessons from previous research include:

- Introduce the overall aims of the research, which include monitoring the ongoing needs in the village, the relief and recovery assistance they have received, as well as social changes.
- Do not immediately ask about “problems” or “negative impacts”. Instead, begin with general questions on what assistance has arrived and how the recovery process is going.
- Try to use sensitive language. For example, talk about “difficulties” rather than “mistakes”
- When asking more sensitive questions, keep in mind the context. People will feel more comfortable about sensitive topics in small, private groups where authority figures are not present.

4. Maintain neutrality

It is important that researchers maintain neutrality and do not allow their views to influence their fieldwork. Not only is remaining neutral important in order to ensure that researchers do not cause tensions (i.e. “do no harm”), but it is also important to remain objective and as true as possible to the situation on the ground. Researchers also need to remain aware of the biases of respondents. Researchers should check views that sound extreme with other respondents, since people sometimes allow personal grudges or other agendas to taint the information they offer.

5. Act reciprocally & responsibly

Researchers have a responsibility to act in a reciprocal way towards respondents. At a minimum, this involves sharing the research findings with them when the analysis is complete. This can usually be done during subsequent rounds of research.

6. Do no harm

Social research on development issues can have unintended consequences. Researchers have a responsibility to ensure that the research does not harm the individuals and communities that participate. Some potential scenarios where research could potentially ‘do harm’ include (but are not limited to):

- Where asking questions about tensions between groups reignites passions, and hence acts as a trigger for a reoccurrence of conflict;
- Where it is perceived that researchers have a political agenda
- Where the research creates expectations of future projects or benefits
- Where the research causes people to relive the disaster, causing stress and trauma

Researchers should thus be careful when doing interviews. If they feel tensions are rising too high, they should slow things down by asking questions about non-sensitive, ‘safe’ issues. They should make sure respondents do not see them as supporting one group over another. They should not under any circumstances make promises about benefits that individuals or groups will receive in the future.

7. Safety

Researchers have a responsibility not only to protect the safety of respondents but their own. If at any time they feel unsafe, they should withdraw, leave the area, and move to a different location. They should not worry if this constrains the research: safety is paramount.

CHAPTER FIVE

ANALYSIS

Objectives

This chapter explains how to analyze and present findings. It provides guidance on:

- What makes for good analysis
- How previous social impact analysis teams have conducted analysis

What makes for good post-disaster social impact analysis?

The aim of social impact analysis is to ensure that disaster recovery efforts reflect the changing needs and social realities of affected communities. To enable this, decision-makers need timely, clear, credible information. The quality of the information is thus critical, but so are its presentation, timeliness and integration into disaster recovery decision-making processes. Good analysis of post-disaster social research is thus:

Qualities	Characteristics
Credible	<ul style="list-style-type: none">• Data come from well-designed research with robust sampling methodologies and well-executed fieldwork. Research ethics upheld.• Research methodologies are explained• Findings are supported by the data• Process of analysis & reasoning is clear• Attention has been paid to any outliers; conclusions are not forced• Assumptions are made explicit• Limitations of data are conveyed• Details, complexity & richness of the data are conveyed• Findings have been triangulated with other data where possible• Research and analysis have been peer-reviewed
Timely	<ul style="list-style-type: none">• Findings from the social assessment are incorporated into the PDNA in a timely manner• Findings from the more complete social assessment report and follow-up social monitoring come out in time to inform decision-makers at key points in the recovery process (e.g. for donor conferences)• Findings are presented soon enough after research to inform & improve recovery effort
Understandable	<ul style="list-style-type: none">• Aim of the study & research domains are presented clearly• Findings are presented in a clear narrative• Findings can be understood by ordinary people: social science or development jargon is limited• Writing style is clear and concise
Actionable	<ul style="list-style-type: none">• Findings are integrated with results & monitoring frameworks and presented so that decision-makers can see what policy or program options they face

Enabling good analysis and presentation

During the initial **preparation** phase of the assessment cycle, the social impact task team should ensure that the research partner understands what is expected from the analysis and what time constraints exist. Creating a proposed report outline can help to structure the analysis from the outset. For the analysis to be useful, it should be released when its

impact is likely to be greatest. This is usually just before donor conferences, disaster anniversaries and other key events.

The challenge during the **design** phase of the assessment cycle is to strike a balance between structure and flexibility in research design. Imposing structure helps prevent researchers from gathering too much extraneous information during fieldwork, which makes analysis difficult. To research partner and team should identify the key research questions in advance and ensure they are simple, clear and limited in number. They should ensure that control locations are included in the sample, which enables them to better identify which findings are linked to the disaster or recovery effort, and should prepare data formats in advance. Designing data formats forces the teams to engage with how to categorize and organize data, which can be useful when conducting fieldwork. They should also come up with a simple coding system to help compare data and identify patterns. However, the research design has to be flexible enough to allow for new, surprising themes to emerge during fieldwork: it cannot be so constrained that it prevents researchers from observing trends of which they have not already thought. When working with less experienced research teams, it is best to err on the side of structure; more experienced qualitative researchers will be better able to manage fluidity during fieldwork.

Box: Research themes & sampling methodologies in the Philippines

After Tropical Storm Ondoy and Typhoon Pepeng in the Philippines, researchers conducting a social impact assessment as part of the PDNA familiarized themselves with the following research themes in advance of conducting fieldwork. This helped them later conduct the analysis:

- 1. Socioeconomic Impacts:** main changes in occupation; changes affecting vulnerable groups; coping strategies of main occupational groups; types of assistance provided; and existence of negative coping strategies
- 2. Social relations & cohesion:** changes in movements of households & relation to coping strategies; displaced groups & reasons for return or relocation; changes in community cohesion; key social networks relied on for relief & reconstruction
- 3. Local governance & accountability (similar to relief and recovery effectiveness & institutional impacts)**
 - **Local governance:** municipality disaster response; transparency; factors affecting relief allocation; community participation in relief and recovery effort; community needs & priorities
 - **Civil society:** civil society actors active in relief effort; nature of assistance; relationship to local government
 - **Community participation & social accountability:** resettlement decision-making process; living conditions in new settlements; information-sharing over resettlement & reconstruction; existence of community-based organizations in new settlements

Research was carried out in **19** locations in total: seven for Tropical Storm Ondoy, including one control site, and **12** for Typhoon Pepeng. For Ondoy, the locations were differentiated by whether they were lakeside or riverside and whether most of the people in them possessed security of tenure, factors which were expected to cause different disaster impacts:

	Formal (urban poor with security of tenure)	Informal (urban poor with no security of tenure)
Lakeside	1 location (national government resettlement site)	1 location
Riverside	2 locations (one local government resettlement site, one resettlement site)	2 locations
Control	1 location	

During **fieldwork**, researchers should maintain neutrality and separate their own direct observations from analysis while taking notes. They should be disciplined about writing up their interview notes soon after their interviews and collating, synthesizing and pulling data together while on site. This enables them to identify and fill any holes in their data. The research partner should ensure that researchers create standardized fieldwork outputs. In the third round of social monitoring in Myanmar, researchers filled out an aid matrix, an institutional matrix, a draft village summary sheet, a draft institutional case study, a village summary report and two to four case studies for each village, along with a notes form for each focus group and key informant interview. Having such standardized outputs enabled later comparison.

The **analysis** stage involves synthesizing, filtering and comparing data. If the research design and fieldwork are good, such analysis should flow easily. It involves several processes. Researchers should read their fieldwork notes with an eye to what helps them answer the research questions. They should notice factors such as how many respondents have cited a particular theme and how often, what characteristics those who have cited it share (for example, all being landowning farmers), and whether it fits with other findings. They should note anything specific to the fieldwork site that might affect the findings, and pay attention to any outliers or exceptions in the data, which usually enrich and add nuance to the overall findings. They should look for and code things that help them categorize particular events or themes. Comparing codes can be a useful way of identifying patterns.

In identifying patterns, researchers should compare differences in patterns across different social and socioeconomic groups, fieldwork sites and variables such as the level of damage or relief and recovery assistance. (For example, are people migrating out of only badly damaged villages? Why do they say they are migrating? Does relief and recovery assistance affect this? Are those who are migrating only from a particular socioeconomic group, such as landless laborers?) Creating typologies can help to classify information, for example, by sorting aid-targeting methods into distinct, coded types. Researchers should also tabulate and analyze quantitative information they have received from surveys or focus group discussions, such as on debt and interest rates across different socioeconomic groups. Finally, they can use case studies and maps to help illustrate nuance.

When conducting analysis, researchers should bear in mind the policy and program implications of their findings, and present the information in such a way that the options are clear. This is particularly important when issues have emerged on which positive action can be taken to improve the recovery effort or contribute to positive longer-term social change, for example feedback mechanisms to improve accountability, measures to improve safety for women in temporary shelters, block grants to communities and small-scale public works, and action on livelihoods, debt and other issues that disproportionately affect marginalized groups.

Experience from previous social impact analyses

The table overleaf illustrates some of the topics that were examined during the second round of social impact monitoring in Myanmar. It highlights in detail the conclusions reached by researchers and the analysis process used to reach those conclusions.

Table: Analysis from Round 2 of Social Impact Monitoring in Myanmar

Domain	Key findings	Analysis
<p>Socioeconomic impacts</p>	<p>Assets, capabilities & livelihoods recovery of different socio-economic groups: Farmers, fishers, casual laborers and micro-enterprises were struggling to recover livelihoods. Farming yields had dropped, paddy prices had decreased, prices of farm inputs had varied, & livelihoods aid had been helpful but insufficient. There was some progress with restarting fishing, but less with fishing as a means of livelihood.</p>	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed data from interviews & FGD with farmers • Compared acres sown, yields per acre & total yields of monsoon & summer paddy across villages • Compared the level of damage to the drop in farming yields • Analyzed changes in farm gate prices of the two most common types of paddy grown • Analyzed wage rates for casual labor (one day and seasonal) and other inputs, e.g. the most common types of seed & fertilizer • Detailed livelihoods assistance received by farmers & reported on community perspectives on this assistance <ul style="list-style-type: none"> • Analyzed data from interviews and FGDs with fishers • Analyzed the proportion of fishing households being able to restart fishing • Analyzed changes in fishing yields and prices of common types of fish ('hilsa' and 'shrimp') <ul style="list-style-type: none"> • Analyzed data from interviews and FGDs with casual laborers • Case study of casual laborer • Analyzed wage rates & employment for casual laborers <ul style="list-style-type: none"> • Analyzed interviews with small enterprises, e.g. village grocery stores
	<p>Indebtedness of different socioeconomic groups: Villagers across socioeconomic groups faced the risk of a debt trap, which different groups being affected in different ways. Total indebtedness for farmers rose sharply; interest rates remained extremely high; and the credit supply had dwindled. Many farmers faced the risk of a debt trap. Fishers usually borrowed for working capital. Their debt totals had risen. Interest remained high but had changed little. Fishers were finding it difficult to cope with debt. Casual laborers borrowed primarily for food. Their debt totals & loan sizes had</p>	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed data from interviews and FGDs with farmers, fishers, laborers and small enterprises • Compared the reported purpose of borrowing, total levels of indebtedness, the average smallest and largest total debt & average, minimum & maximum interest rates with and without collateral across different occupational and socio-economic groups • Highlighted a case of a rice miller having to stop lending to show the impact of the disaster on the credit supply • Highlighted the cases of a farmer and fisher facing a debt trap • Highlighted a case showing occupational 'downsizing' shifts, with a shopkeeper becoming a casual laborer

Domain	Key findings	Analysis
	increased sharply. They faced higher interest rates for fishers and farmers. Small and medium sized enterprises also faced debt problems.	
	<p>Land ownership, land use & the occupational mix: Debt problems were beginning to cause a shift in livelihoods: farmers had begun to lose or sell land; fishers had begun to lose boats and engines to creditors; farmers & fishers were often 'downsizing' and becoming casual laborers. This was causing a knock-on effect on casual labor and increasing the risk of land conflict.</p>	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed interviews with different socioeconomic groups • Analyzed changing land tenure patterns across households • Traced the perspectives of community members on land use • Highlighted cases of losing farm land because of debt and of fishers changing their occupation
	<p>Migration: Little change in migration patterns</p>	N/A: Little reported migration in research sites
	<p>Credit market analysis: Researchers conducted a separate township-level study of credit markets showing that the credit supply had dwindled massively since the disaster. Money-lenders faced high levels of default and could no longer lend, which led to a decrease in credit supply</p>	Researchers analyzed interviews with gold shops, pawnshops, informal moneylenders, credit unions and other credit suppliers at township level.
Social impacts	<p>Social capital, collective action & conflict. Social capital was still strong, but was getting weaker in a few villages</p>	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed interviews with villagers capturing perspectives on community relations • Highlighted cases of mutual participation in the aid effort contributing to improved social capital • Identified reported levels of psychosocial wellbeing & stress & community perspectives on the causes of stress
	<p>Gender: Gender relations remained good but widows, widowers and orphans face the greatest challenges</p>	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed notes capturing community perspectives on gender • Compared changes in reported relations among villagers & women's groups • Identified themes of an increase in women's awareness of aid affairs & a double burden for orphans, widows & widowers across villages • Acknowledged a limitation in the data on gender-based violence, which was hard to gather data on

Domain	Key findings	Analysis
	Age: Relations among age groups continue to be strong	<p>Researchers:</p> <ul style="list-style-type: none"> • Compared young people’s involvement in the aid effort across villages • Compared changes in reported relations among young people & the elderly since the disaster
	Religion & ethnicity: The roles of religious leaders in the aid effort have changed somewhat	<p>Researchers:</p> <ul style="list-style-type: none"> • Acknowledged data limitations on inter-ethnic and inter-religious villages: there were too few heterogeneous ones to draw patterns • Analyzed notes from interviews & FGDs on the role of religious leaders in the aid effort & highlighted a case of religious involvement in aid for disaster survivors • Identified and highlighted a case of faith-based targeting causing social tension
Aid effectiveness	Aid received. Aid levels had dropped & were too low to enable disaster survivors to recover their livelihoods adequately. There had been a shift from emergency to longer-term assistance.	<p>Researchers:</p> <ul style="list-style-type: none"> • Compared changes in levels & types of aid across villages • Compared levels of aid with levels of damage & loss, proximity to urban centers, levels of aid received immediately after the cyclone, and speed of recovery
	Aid & recovery. The link between how damaged villages were and how fast they were recovering had weakened. Analysis suggested the level of aid was not the most important determinant of the speed of recovery.	<p>Researchers:</p> <ul style="list-style-type: none"> • Compared the level of aid with the speed of recovery.
	Priorities & shortfalls. Disaster survivors continued to prioritize livelihoods aid. Disaster survivors usually preferred cash or credit to in-kind assistance	<p>Researchers:</p> <ul style="list-style-type: none"> • Tabulated the top three reported village priorities • Identified the number of villages in which certain needs were identified as a top three priority • Analyzed changes in priorities from interview notes and FGDs • Compared levels of damage with reported needs and priorities • Identified preferences over cash, in-kind assistance and credit & why
	Aid & DRR. Increase found in the number of villages taking disaster risk reduction measures.	<p>Researchers:</p> <ul style="list-style-type: none"> • Tabulated the types of disaster risk activities adopted by villages • Compared the level of damage to the number of disaster risk measures taken
	Decision-making & targeting: Aid providers rather than aid recipients continued to make most aid decisions. Aid distribution was mostly	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed interview & FGD notes to understand the range of community views on aid decision-making and targeting

Domain	Key findings	Analysis
	through formal leaders and village emergency committees.	<ul style="list-style-type: none"> • Tabulated which actors were making aid decisions across villages (e.g. religious leaders, formal leaders, aid providers) • Tabulated & analyzed which actors were managing & distributing aid across villages • Created a typology of targeting mechanisms • Analyzed community views on vulnerability and marginalization • Highlighted case studies of the relationship between aid targeting, social tension & the existence of consultation • Highlighted a case study of participation in targeting & beneficiary selection
	Transparency, equity & complaints Levels of information shared about aid varied. A lack of clear information led to some cases of perceptions of misuse or aid conflict.	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed interview & FGD notes to understand villagers' views on equity, transparency & complaints • Tabulated & created a typology of information & transparency measures by village • Highlighted case studies showing the link between the lack of transparency and misuse, and the lack of transparency & social tension • Highlighted an outlier: 'good practice' in complaints resolution
	Community contributions & perceived burden. High level of community involvement in aid effort but low reported burden.	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed interview & FGD notes to understand range of community perspectives • Created a typology of different forms of community contribution (e.g. cash, labor, materials, operations & maintenance) and compared this to the reported level of burden across villages
Community & institutional impacts	Institutions & leadership: Relations among villagers and their leaders are similar to before	<p>Researchers:</p> <ul style="list-style-type: none"> • Analyzed notes from interviews & FGDs discussing villagers and leaders • Compared the roles of formal leaders, religious leaders and village elders in the aid effort across different villages to identify patterns in roles • Compared changes in reported relations among villagers and formal leaders, religious leaders & village elders across villages, noting limitations in data • Analyzed the link between villagers' perceptions of the aid effort & villagers perceptions of their leaders • Identified case studies of elite capture of aid and of transparency measures improving relations between villagers and formal leaders
	Inter-village interaction: Inter-village interactions had increased.	<p>Researchers:</p> <ul style="list-style-type: none"> • Compared changes in the frequency of inter-village interactions in business, administrative, social, religious, resource sharing and community infrastructure arenas • Explored links between perceived aid inequity & inter-village linkages