Analyzing the Social Impacts of Disasters

Volume I: Methodology

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INTRODUCTION

Background and purpose of the approach

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. The updated PDNA methodology[1] launched in 2014 has also placed an increased emphasis on understanding the social impacts of disaster (i.e. how the men and women within households and communities have been affected and the local capacity for response) and how recovery and reconstruction efforts can be made more responsive.

The present Post-Disaster Social Impacts Analysis methodology and tools outline a rigorous and systematic qualitative methodology that can be used to capture post-disaster social impacts across thematic areas. They are intended as a resource for: (i) Governments engaged in PDNAs; (ii) Governments who wish to conduct post-disaster social impact analysis outside the PDNA framework - where shorter, more focused assessments covering only specific sectors are undertaken; and (iii) as a resource for international development partners and civil society organizations participating in such assessments.

The methodology and tools also provide practical guidance on identifying and monitoring the effectiveness of recovery efforts in the medium to longer term. 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.

Table 1: 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 (when national or international partners are requested to implement the assessment on behalf of Government)
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	**Preparation** • Preparing a field guide • Putting together a research team **Fieldwork procedures** • Sampling respondents • How to use research instruments • Triangulating data • Managing data • Research ethics • Safety	Research partners Social impact analysis task teams
Analysis	Analysis steps Enabling good analysis	Research partners Social impact analysis task teams

[1] https://gfdrr.org/pdna-volume-b

How to use these tools

The tools are in two volumes.

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 institutions overseeing post-disaster assessments.

Chapter One, 'Why Analyze the Social Impacts of Disasters', introduces social impact analysis (including gender analysis), outlines the rationale for analyzing the social impacts of disasters. It presents case studies from the Philippines, Myanmar and Thailand where Social Impact Analysis was undertaken as part of the PDNA and helped to shape the recovery program.

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 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) methodology[2] 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 include a more detailed analysis of the macro effects of disaster on human development through the PDNA Volume B, launched in 2014. [3] The latter includes guidance on a set of 18 thematic areas as outlined in Table 2 below. Importantly, this additional guidance draws attention to the importance of using qualitative research methodologies to collect data on disaster impacts.

The social impact analysis aims to build on and complement this updated PDNA methodology by providing assessment teams with the practical tools needed to conduct rigorous qualitative analysis across sectors and thematic areas. In effect the SIA pick-up where the PDNA guidance leaves off focusing on the "how to" implement such qualitative analysis in a post-disaster context and often very compressed time-frame. The SIA tools are intended to provide Government with information on for example: (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 the women and men from affected communities, key priorities, and the needs of vulnerable groups as they relate to key sectors and cross-sectoral themes (such as disaster risk management or governance for instance); and (iii) community dynamics, social risks and their effects on recovery.

The use of qualitative research methods would allow, for example, assessment teams to complement information collected on the resources necessary to rebuild schools and replace destroyed school equipment, with an understanding of 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. This understanding of how affected people relate and why they employ the survival strategies they do is critical for designing better recovery programs but difficult to gauge using primarily quantitative methodologies alone.

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. An overview of the role of social impacts analysis within the PDNA framework is outlined in Table 2. Qualitative research methodologies can also help to illuminate the 'why' and

[2] Please see for additional details and training materials on the DaLA methodology http://www.gfdrr.org/gfdrr/node/69
[3] https://gfdrr.org/pdna-volume-b

'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; gender-differentiated disaster impacts; structural exclusion and governance 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 early warning information, especially for sensitive issues such as emerging conflict, corruption increases in domestic/sexual violence within communities or other forms of social risk.

Understanding how disasters and post-disaster aid efforts affect local patterns of life, social structures and institutions and social/gender relations 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.

Women's invisibility in socio-economic analysis

Tracking the impacts of disaster on women and on gender roles and relations is critical, but data on these issues is 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 is simply not disaggregated by gender, leaving information gaps. For example, after the 2004 Asian earthquake/tsunami, a lack of understanding of traditional matrilineal land and house ownership systems in parts of Sri Lanka led to the registration of male household members as the home owners on damage assessment databases, rather than the female owner. These databases were later linked to housing reconstruction cash support programs (Lyons *et al* in IFRC, 2010). The design of SIA methodologies can ensure that information about intra-household dynamics is captured, that the voices and perspectives of women and men are heard equally, and that particularly vulnerable and marginalised groups of men and women are identified.

Conducting such qualitative analysis 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.

Table 2: Complementarity between SIA methodology and PDNA thematic areas

Sector/Theme	Potential Partners to Government	Key Information Areas	Main Methodology/Approach	SIA Elements
Productive Sectors:				
Agriculture, Livestock, Fisheries & Forestry	• World Bank • FAO • WFP	• Damage to infrastructure/assets • Disruption of service delivery and availability/access to goods and services • Risks to/impact on livelihoods & food security • Impact on poverty, especially rural • Impact on household/personal income	• Sustainable livelihoods framework (human, natural, financial, social and physical capital) • ECLAC/DaLa	• Factors influencing capacity of households to access basic goods/services (eg markets, inputs, credit & loans, food, fuel, etc) • Changes to household level livelihoods sources & income • Coping strategies to meet livelihoods needs • Socio-cultural dynamics and power relationships related to livelihoods and food security, including any past crises
Employment, Livelihoods & Social Protection	• ILO	• Changes to individual and household employment, income, assets and consumption patterns • Disruption to productive value chains (local & regional) • Disruption to social protection (SP)/social safety net (SSN) mechanisms and institutions • Overall impact on socio-economic vulnerability	• FAO/ILO Livelihoods Assessment Toolkit • ECLAC/DaLa	• Analysis of household labor force and non-labor income sources (eg rent, remittances, etc) • Analysis of informal sector issues and needs • Socio-economic characteristics of vulnerable affected people/households • Functionality/coverage of existing SP & SSN mechanisms/institutions; newly emerging needs
Manufacturing	• World Bank	• Damage to infrastructure and assets • Losses/changes in production flows (eg temporary or permanent halt to production,	• ECLAC/DaLa	• Analysis of debt and credit issues for micro-enterprises/informal sector • Analysis of impact on personal/household income (if not done by Human Development

		etc) • Existing loans, credit worthiness, insurance issues		Impact - HDI -team)
Commerce	• World Bank	• Damage to infrastructure/assets • Possible decline in sale of goods/ services & increased operational costs	• ECLAC/DaLa	• Analysis of informal traders
Tourism	• World Bank	• Damage to infrastructure and physical assets (accommodation & restaurants) • Possible decline in sale of goods/services and increase in operational costs	• ECLAC/DaLa	• Estimate cost of decline in employment as related to personal or household income
Sector/Theme	**Potential Partners to Government**	**Key Information Areas**	**Main Methodology/Approach**	**SIA Elements**
Social Sectors:				
Housing & Settlements	• World Bank • IASC Shelter Cluster (input)	• Characteristics of housing sector • Damage to infrastructure and physical assets • Changes in flow of income/revenue • Coping mechanisms & recovery sources/capacity • Immediate/recurring risks facing population needing shelter/housing • Needs identified by population	• ISDR/WB Handbook for Post-Disaster Housing and Community Reconstruction • SIA methodology	• Analysis of land-related issues (eg tenure, use, administration) including statutory, customary, religious and informal tenure types • Social and cultural structures for housing & settlements • Household finances, livelihoods & credit • Coping mechanisms and risks
Health	• World Bank • WHO • European Union	• Damage to infrastructure and assets • Disruptions to service delivery, including access to and changes in demand for services	• Combination of ECLAC/DaLa, PAHO and WHO methodologies	• Health vulnerability mapping • Assessment of access to services • Data collection/analysis of sexual & gender based violence

		• Vulnerability & health risks of affected population		
Education	• UNICEF/ multi-agency education sector working group (lead)	• Damage to infrastructure and assets • Disruptions to service delivery, including access to services • Human resourcing issues • Child protection & social risk issues	• International Network for Education in Emergencies Minimum Standards • ECLAC/DaLa • Oxfam Participatory Community Vulnerability Analysis • Good Enough Guide	• Child protection and social risk data gathering & analysis • Assessment of access to services
Culture	• UNESCO	• Damage to infrastructure and assets • Disruptions to service delivery, including access to services (may include discriminatory practices towards certain groups) • Impact of disaster on dynamic features and processes of relationship between affected people and their cultural assets (includes customs and traditions related to housing, health livelihoods, SP and nutrition)	• UNESCO methodologies	• Analysis of impact of disaster on access to cultural assets, practice of customs and traditions

Sector/Theme	Potential Partners to Government	Key Information Areas	Main Methodology/Approach	SIA Elements
Infrastructure Sectors:				
Water, Sanitation & Hygiene	• UNICEF	• Damage to infrastructure and assets • Disruptions to service delivery, including access to services • Capacity of communities/CSOs to restore/strengthen their WASH roles and functions • Competition & conflict issues	• Global IASC WASH cluster methodological guides • UNICEF/WHO methodological guides • Includes a focus on disaster's impact on WASH-related MDGs	• Analysis of governance and social risk issues • Analysis of WASH-related disaster impact on community capacity • Assessment of access to services
Community Infrastructure	• Other infrastructure or social sector teams (sub-set of infrastructure sectors)	• Damage to community managed (micro) infrastructure and assets (eg marketplaces, footbridges, solar home systems, community radio) • Disruptions to service delivery, including access to services • Impact on livelihoods in affected communities • Capacity of communities/CSOs to restore micro-infrastructure	• Mixed quantitative & qualitative primary data collection methods (in PDNA sectoral guide)	• Analysis of governance and social risk issues • Analysis of infrastructure-related disaster impact on livelihoods and community capacity
Energy & Electricity	Not defined in guidelines			
Transport	• World Bank	• Damage to infrastructure and physical assets • Possible decline in sale of goods/services and increase in operational costs	• ECLAC/DaLa	• Estimate household costs related to changes in transport access/cost
Telecommunications	• World Bank	• Damage to infrastructure and physical assets • Possible decline in sale of goods/services and increase in	• ECLAC/DaLa	• Analysis of impacts of changes to access/costs for telecom services on individuals/households

		operational costs • Analyze need for temporary subsidies to compensate for higher telecom costs for individual/household users		
Sector/Theme	**Potential Partners to Government**	**Key Information Areas**	**Main Methodology/Approach**	**SIA Elements**
Cross-Cutting Sectors/Themes:				
Governance	• World Bank • UNDP • European Union	Analysis of non-sector specific governance issues: • National recovery management • Aid management (national/internat'l) • Restoring local governance functions • Maintaining rule of law(affected areas)	• World Bank SIA • UNDP Institutional and Context Analysis Protocol	• Identification of disaster impacts on social relations, local institutions, leadership • Analysis on equity, efficiency and effectiveness of government management of recovery process and aid distributions • Social risk analysis (institutions and actors)
Environment	• Not defined in guidelines	Analysis of non-sector specific environment issues: • Physical damage to environmental resources and associated losses • Environmental effects caused by disaster, relief and planned recovery assistance • Disaster coping mechanisms that impact on the environment • Access of stakeholders to environmental resources, especially vulnerable groups • Institutional impacts • Environmental drivers for future disasters	• UNEP/IASC Global Early Recovery Cluster: Environmental Needs Assessments in Post-Disaster Recovery • ECLAC/DaLa	• Analysis of pre/post-disaster community/household access to environmental resources and coping mechanisms • Analysis of human dimensions of environmental risk drivers

Disaster Risk Reduction	• World Bank • European Union • Other UN agencies	Analysis of non-sector specific DRR issues: • Disaster effects on DRR institutions & early warning/risk info. systems • Damage to disaster mitigation schemes (eg dykes, flood breaks) • Country's exposure to hazards, vulnerability to disaster impacts, capacity to reduce disaster risks	• PDNA chapter: based on various UNDP, ISDR, World Bank and other methodologies	• Analysis of relationship between socio-cultural structures and processes and disaster risk (eg poverty, gender, social exclusion, etc)
Gender	• World Bank • Other UN agencies (not defined in guidelines)	Inform data gathering, analysis and planning for all sectors and cover non-sector specific gender issues: • Overall analysis of gender differences in disaster effects/impacts and access to relief/recovery resources • Estimation of economic value of damage and loss related to women's productive and reproductive roles	• ECLAC/DaLA • Various tools for Gender Analysis	• Collection of gender-disaggregated data and analysis of gender differences in disaster effects and impacts at community and household levels

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, disability and caste; the informal and formal rules, incentives and social norms that govern how people interact and behave; the means of managing the social risks and protection needs that may be generated as a consequence of the disaster;[6] 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.[7]

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 men and women 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:

- **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, including increased or decreased social risks? This includes impacts on social capital and cohesion and impacts on the social composition of

[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] The annexes to Volume II include a guidance note on assessing social risk.

[7] See World Bank. *Social Analysis Sourcebook*. Washington DC: World Bank, December 2003.

affected communities and relations among social groups differentiated by factors such as gender, ethnicity, age, religion, disability and, if relevant, caste.

- **Relief, Recovery & Accountability**: How do the women and men of 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. It also includes any increased or decreased risks of crime, violence or social unrest, resulting from the disaster/disaster response.

📖 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 three countries

Three examples of where social analysis has been incorporated into the post-disaster response of the international community are Myanmar, the Philippines and Thailand. In all three 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, men and women'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 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.

Thailand

In 2011, Thailand suffered the worst floods in more than a half century. The floods inundated more than six million hectares of land in 66 of the country's 77 provinces, and affected more than 13 million people from July through December 2011.

A PDNA was conducted including a targeted Social Impacts Analysis (SIA). The SIA was implemented in the three flood-affected provinces between 7-25 November 2011 by a World Bank team on behalf of the Ministry of Social Development and Human Security and the Department of Disaster Prevention and Mitigation. The SIA team, supported by the gender expert, carried out most of the sex-disaggregated data collection and gender analysis.

The SIA had a number of key gender-related findings such as: limited post-disaster collection of sex-disaggregated data, a lack of consultation on gender-specific needs and limited female participation in post-disaster decision-making bodies. This had led to a lack of opportunity to access schemes to replace lost farm assets and obtain temporary employment, as well as a lack of gender-sensitive approaches to the design of relief and early recovery programming. Women constituted a higher proportion of the poor with similar credit access issues to men.

As a result of these findings, the PDNA recommended the implementation of labor intensive public works' programs for the vulnerable and marginalized affected population following a gender sensitive design to ensure women had access to the work opportunities generated, including setting specific gender targets to ensure that 50 percent of beneficiaries were women. It also recommended the provision of gender-sensitive training and technical assistance through extension workers to support affected households' to transition to more diversified (and, hence, more disaster- and climate- resilient) livelihoods.

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

The Social Impact Assessment (SIA) is the initial assessment of the likely social impacts of disaster. It forms a baseline for future social impacts monitoring. The assessment is led by Government and will often be implemented by national actors or by a combination of national actors and international development partners at the request of Government. If Government has decided to conduct a PDNA, a PDNA planning mission will take place to set up an overall management structure and team and determine: (i) the PDNA's scope, (ii) terms of reference, and (iii) assessment methods, including the use of the SIA approach.

This is closely followed by the PDNA itself, which usually takes between three to 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.

It also is important to link the social impact task team to the relevant United Nations (UN) clusters that have been put in place to respond to the disaster, both to coordinate post-disaster assessments and share post-disaster research information.[8]

To maximize the effectiveness of the assessment, PDNA coordinators should encourage the social impact and sectoral PDNA 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 PDNA. Key steps in the consultation process are outlined below:

- **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**

Social impact monitoring

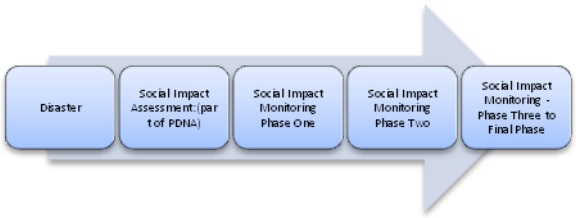
The social impacts of disasters usually take time to emerge so should be tracked over time as part of the overall post-disaster monitoring framework. Such monitoring usually takes place in rounds. The timing and number of these rounds varies by context. They should be far apart

[8] The UN-Inter-Agency Standing Committee's (IASC) cluster or 'One Response' system is activated after major crises, including natural disasters, to assist governments to develop a coordinated and cohesive humanitarian response with UN agencies, international organizations, and local/international NGOs. The number of sectors and thematic areas covered depends on the context but can include health, education, water and sanitation, shelter, food security and protection among others.

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 & contract	Ensure availability of resources with PDNA team. Budget should include funds for editor.	Ensure availability of resources.
Create research schedule	Dependent on PDNA needs. Usually 3-5 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, as well as 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 (NGO) with social science research experience. It may also be a research consultancy firm. The research partner will be responsible for preparing the field guide, hiring and training researchers, conducting fieldwork, analyzing data and writing the final report, all with guidance and support from the team managing the social impact analysis.

The ideal partner has social assessment experience, strong local networks in research locations, knowledge of the affected region, an understanding of community development, and good data analysis and writing skills. The assessment 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, gender and political dynamics, humility, and a respect for affected community members than it is to have a partner with impressive experience in 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 assessment 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.

It can be particularly challenging to identify a suitable research partner to work in locations characterized by high levels of crime, social tension or other forms of insecurity, such as disaster-affected urban areas controlled by gangs or organized criminal networks. In this context, strong local knowledge of, and an established trust relationship with, the affected communities is a key consideration in selecting a local research partner. The partner also must be perceived to be neutral by the communities and act in an unbiased way. Most often, this will mean working with a local NGO or civil society organization (CSO) that is active in the area; the NGO/CSO likely will need technical support on qualitative research techniques.

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; both may lack gender-based analysis skills or conflict analysis skills (for situations where this is needed). 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.

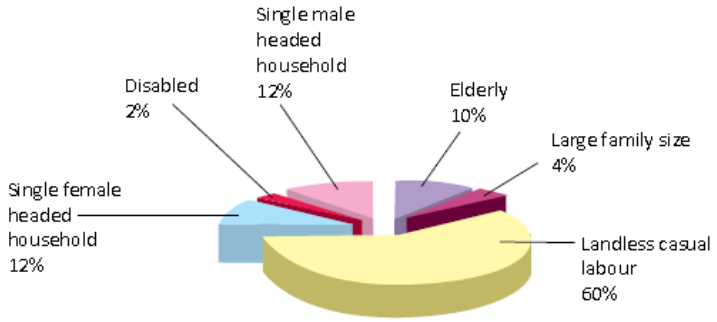
The inclusion of gender expertise on the core assessment team - as illustrated by the case study from Thailand in chapter 1 - can significantly improve the quality of gender analysis in PDNAs, provided that the expert is senior, highly experienced, and skilled in influencing and advocacy strategies. The gender expert can participate in the initial PDNA planning and orientation work, as well as assist the sectoral/thematic/SIA team members with the gender analysis. S/he can be sourced locally or internationally, subject to the availability of appropriately qualified personnel.

Case Study: The Red Cross/Red Crescent in Myanmar

Following Cyclone Nargis in Myanmar in 2008, the International Federation of Red Cross and Red Crescent Societies (IFRC) conducted multi-sector Village Tract Assessments to assess livelihoods recovery needs across 13 cyclone-affected townships. An IFRC recovery specialist provided training and technical support to the Myanmar Red Cross Society (MRCS) to design and carry out a needs assessment that was sensitive to social and gender differences in the disaster's impact; this drew from the preliminary findings of the JONGA regarding emerging differential impacts (see Myanmar case study in chapter 1).

The MRCS formed volunteer teams to carry out the assessments, ensuring that 30-40 percent of those recruited were women. The teams utilized both pre-existing and newly taught participatory assessment techniques and skills to incorporate the perspectives of men and women from socially marginalized groups into their understanding of urgent community needs: this included holding specific focus group discussions and key informant interviews with representatives from these groups. The MRCS staff, assisted by the IFRC recovery specialist, helped the teams to interpret the findings of the assessments and designed a cash-for-work program that reached out to 178 villages in 67 village tracts.

As a result of the use of a social/gender sensitive approach to needs assessment and design, the project achieved high overall coverage of vulnerable groups including:



The targeting of assistance within groups, such as landless casual laborers, was further differentiated based on gender differences in need and access to recovery resources.

Source: IFRC, 2010. *A practical guide to Gender-sensitive Approaches for Disaster Management*. Kuala Lumpur: IFRC, pp 53-57.

Timing

Social impact assessment

Table: Sample timeline for conducting a social impact assessment as part of a PDNA[9]

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
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. If conducting the research in a context of elevated social tensions or insecurity, additional time should be allowed for community preparatory consultations to ensure safe access to communities.

"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 gender-sensitive 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 with affected men and women, 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 Post-Disaster Assessment team included an IFRC representative 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 incorporated 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 SIA 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 national actors has been requested to carry out the assessment on behalf of Government, it should ensure that the 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 team will need to submit their inputs into the PDNA before the local research partner has been able to analyze all the data from the fieldwork. The local partner or research team will thus need to supply the team with preliminary site reports early to form the

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

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 team may want to consider asking the local partner to have an editor as part of their 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, access issues (in situations of social tension or conflict) 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 three[10]) 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

[10] 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 assessment 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 are likely to prevent this, and if other actors are already conducting assessments on similar topics, task teams should avoid doubling up.

Teams will need to decide what areas to prioritize and should be guided by the context of the disaster: for instance, if few people have been killed or injured 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. On the other hand, if many people have been killed and/or permanently disabled, there will be a need to focus on the social and socio-economic impacts for the affected households. 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, by gender and age, within affected communities. This includes impacts related to: how different socioeconomic groups are progressing in recovering their livelihoods; why they are progressing the way they are, including impacts on markets, debt and credit, and land; how the disaster has impacted on intra-household livelihoods roles and contributions; and what households are doing to cope with the disaster's impacts, such as reducing expenditure, migrating in search of work, removing children from school, etc.
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, including social risks (eg crime, violence, social unrest).
Relief, recovery & accountability	This focus area analyzes the recovery effort as experienced by the men, women and children - including those socially marginalized - within 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 has affected the wider 'rules of the game' within communities and the

	impact on community leadership. This includes impacts on relations among male and female community members and leaders, as well as the impact on community and inter-village organizations. The potential for future tensions or conflicts within or between communities also is assessed.

In fragile or conflict-affected states, or places experiencing high levels of social tension, greater attention may need to be given to social risk issues within each of the four research domains. To make this decision, background information should be gathered for the disaster-affected areas and country on pre-existing social tensions (demonstrations, riots, conflicts between groups), inter-personal and community violence (eg gender based/domestic violence, murders, etc), and law and order issues (eg crime rates, civil disobedience, etc). This information should be supplemented with current reporting on social concerns or tensions that have arisen as a result of the disaster response to date; this information can be gathered through secondary literature searches, the UN IASC protection cluster (and other clusters - see footnote 8), government and non-governmental areas working in these areas, and media sources.

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 the companion Volume II to this methodology. 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 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 not conducted in the immediate aftermath of a disaster but during 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. Researchers should also investigate useful secondary sources of information to complement the data collected, such as evaluations of previous disaster impacts and responses or previous studies on social and gender issues in the affected country, where available.

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 for PDNA (PONJA) 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-affected areas or fragile states; or affected by high levels of law and order problems (eg poor urban communities experiencing gang rivalry). 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 at government level, as well as from the 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.

In locations affected by social tensions or violence, it may be difficult to access an adequate minimum sample of affected field sites or groups. The selection of sites may require careful negotiations with the risk that access still may be refused at the local level upon arrival at the site. The team may have to supplement whatever primary data is available with secondary data, interviews with organizations that represent the interests of these groups, and/or coverage from the control areas. In some cases, arrangements will need to be made in advance for a security escort.

Some of the areas/groups that can be particularly hard to reach when assessing social risk include:

- Those directly affected by sexual, gender-based and other forms of violence;
- Those whose mobility is restricted, due to physical circumstances or socio-cultural norms (eg older persons, women/girls, disabled, etc);
- Minority groups;
- Migrant workers (especially if residing or working illegally in the country);
- Pre-existing refugee camps/populations in the affected area;
- Informal settlements/slums, especially those affected by gangs/organized crime;

The processes of selecting sites and groups to cover, as well as fieldwork preparation, will need to be informed by local knowledge of the safest and most widely used methods of reaching these individuals and communities.

Research instruments

Research instrument	Description
In-depth interviews	• 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	• 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 and preferable for discussing sensitive topics.
Participant observation & informal interviewing	• 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 • Good for ensuring the privacy and safety of people when discussing sensitive subjects.
Short surveys	• 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 instruments.[11] 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 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.[12] Informal interviews and group discussions are usually the best instruments for gathering information on conflict issues. 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.

The collection of sex-disaggregated information and analysis of gender-differentiated impacts is a core element of social impact analysis. The SIA research design and field manual will need to include key gender-related questions. The sex and age of focus group discussion and interview participants should be noted on data collection forms, as well as any differences or similarities in the inputs made by women and men. Where institutional partners have been engaged, they may not have strong gender-related capacities. In these cases, a gender specialist may need to provide support and guidance on the drafting of field guides, hiring and training of researchers,

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

[12] 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.

conduct of fieldwork, data analysis and writing of the final report in order to ensure the quality of the gender-based analysis. The annexes to Volume II of the SIA guidelines include a specific guidance note on incorporating gender considerations into SIAs and PDNAs.

Box: Further resources on research design

Some useful resources on research design include:

- Dyan Mazurana, Prisca Benelli, Huma Gupta and Peter Walker (2011). *Sex and Age Matter: Improving Humanitarian Response in Emergencies*. Feinstein International Center, Tufts University, August 2011.
- 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.
- UNHCR (2006). *The UNHCR Tool for Participatory Assessment in Operations*. Geneva: UNHCR. [social risk]

Table: Key research topics in post-disaster social analysis

This breakdown of topics describes the kind of information researchers should seek; all information collected should be broken down by sex and age to the extent possible. **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	
Socioeconomic groups **1. What are the key groups within the community?** • Livelihood groups • Wealth categories • Vulnerability categories	**Key topics:** • How has the disaster and relief and recovery effort affected the livelihood, wealth & vulnerability breakdown of women and men in the affected communities? • How has the disaster and relief and recovery effort affected the gender division of labour within poorer households?
Livelihoods recovery **2. How are different socioeconomic groups recovering, including the most vulnerable?** Impacts on: • Assets • Livelihood strategies • Livelihood outcomes for key groups, such as farmers, fishers, casual laborers, commercial/industrial workers & traders, including groups identified as vulnerable	**Key topics**: For the key occupational/wealth groups within the community, what have been the impacts on: • Men's and women's assets and resources (e.g. the livestock, tools & equipment & savings of household members engaged in farming/food production; the stock of small shopkeepers) • How men and women use those resources (e.g. changes to how much land farmers have been able to sow and how many laborers they hire; changes to availability of space to run a trade or business) • Earnings & outcomes (e.g. changes in farm yields, farm gate prices & profits for farmers; changes to profit margins for small/micro-businesses in urban areas; temporary/permanent factory closures) • Has livelihoods assistance been appropriate for the local context & sufficient? • How have groups identified as vulnerable been affected? Has livelihoods assistance met their needs? • Have there been any other recent economic shocks, such as increases in the prices of essential goods, that have placed stress on the coping capacities of lower income households?
Local economic structure **3. Why are different groups recovering the way they are?** Structural factors including: • Markets • Debt & credit • Land & property rights	**Key topics** • How has the disaster and relief and recovery effort affected how women and men (including youth and older people) gain access to 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 women/men 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?

Key domain	Key topics to understand
	• 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/property rights & land tenure(by gender) including for renters and residents of informal settlements, as well as for people voluntarily or involuntarily resettled?
Household coping strategies **4. What are different groups doing to cope?** • Reducing expenditure • Migration • Remittances • Negative coping strategies	**Key topics:** What have different types of households (including male and female members) done to cope with their changed circumstances? This might include: • 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 (eg land, livestock), taking children out of school or increasing consumption of drugs or alcohol? • Have some households/communities been temporarily or permanently displaced from their former places of residence? What are they doing to cope with, or adapt to, life in their current place of residence?
FOCUS AREA TWO: IMPACTS ON SOCIAL RELATIONS AND COHESION	
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: • Gender • Age • Religion/ethnicity • Caste • Migrant status	**Key topics:** For gender, age, religious, ethnic & caste groups: • How has the social composition of affected communities been affected? (e.g. disproportionate numbers of women, children &/or the elderly dying; disproportionate numbers of young women leaving to seek work in urban centers; large number of newly disabled; more female-headed households, etc) • How have the roles of different groups been affected? (E.g. men performing more child-care, more women becoming the primary breadwinner; young people rather than village elders participating in relief and recovery committees; increased number of unemployed youth) • How have relations among different groups changed?
6. What have been the impacts on social capital & cohesion, both within and among communities? • Social capital • Social cohesion: inequality & deprivation; conflict,	**Key topics include:** • How strong is social capital? Has 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

Key domain	Key topics to understand
crime & violence?	deprivation gone up? • Have there been any changes in inter-community relations? • Which disaster-affected groups have been identified by state/local authorities as being most in need of social protection? Which are most exposed to risks of abuse or exploitation? • How have formal and informal social protection and law/justice institutions been affected by the disaster? • How functional and active are civil society organizations in the disaster-affected areas? • Have there been any changes to levels/types of conflict, crime or violence, including gender-based and domestic violence? How safe do people feel in the place where they currently reside? • Has the disaster led to large numbers of IDPs sheltering in displacement camps, with host families or elsewhere? What specific social risks do IDPs face? How are land governance and property rights systems responding to their situation (eg discriminatory or fair resettlement policies and practices?)

FOCUS AREA THREE: RELIEF, RECOVERY & ACCOUNTABILITY	
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? • Levels & types of relief and recovery assistance received • Needs & shortfalls • Community contributions, dependency & burden	**Key topics**: • 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 local needs or are there shortfalls? If yes, has this led to increased competition over scarce resources within or between communities? • How has relief and recovery assistance affected recovery and coping capacities? • What is the nature & extent of community contributions to the relief and recovery effort? Do people feel any aid burden or dependency?
8. How has relief and recovery assistance been targeted and delivered? Has it met the needs of the most vulnerable groups or led to any perceived inequalities? • Types of targeting mechanisms used • Relief and recovery assistance distribution & equity • Marginalization & vulnerability	**Key topics**: • What kinds of targeting methods are used, and what are community perceptions of them? • Does aid targeting, including relief/recovery beneficiary registration systems, meet the different needs of men and women and of vulnerable & marginalized groups? Are there any groups who lack access to the registration process and/or recognition as affected people (eg migrant workers, informal settlers)? • Are there any problems in accessing some affected sites (eg security, legal status, physical isolation)? • Has aid targeting or distribution led to any perceived or actual inequalities in relief and recovery provision? If so, what have been the consequences? • Have external donors positively or negatively influenced the type, level or distribution of relief and recovery assistance?
9. Who participates in and makes relief and recovery decisions, and how do affected groups resolve complaints & negotiate their interests? • Relief and recovery decision-making • Relief and recovery management • Relief and recovery information • Relief and recovery negotiation	**Key topics** • Who makes relief and recovery decisions, and how? • How is relief and recovery assistance delivered & managed? Which social & socioeconomic groups participate and which do not? • What is the level of capacity of state and local authorities to effectively and equitably respond to the needs and preferences of all affected people? • How is information on relief and recovery assistance provided and are communication mechanisms used that are accessible to men, women and marginalized groups (eg youth, disabled, migrants, etc)? • How do affected communities, including women and marginalized groups, advocate for themselves? How do they deal with relief and recovery-related complaints? • Have there been any cases of leaders or influential people actively seeking to manipulate relief and recovery assistance to advantage certain groups or individuals over others?

FOCUS AREA FOUR: COMMUNITY & INSTITUTIONAL IMPACTS	
10. What roles do the key community organizations & institutions play in relief and recovery assistance and livelihood restoration? • 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 than others to organizations that enhance their assets and enable them to recover more quickly from the disaster? For example, do more well off members of the community belong to 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 of the disaster 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), including by gender, and what role do they play in the relief and recovery assistance effort, helping resolve disputes and representing their community to the outside world? • Is leadership/ authority weak or contested in the community (eg by gangs or rival groups)? How has this affected the relief and recovery effort? • What support have leaders provided to ensure access to post-disaster support by women or marginalized groups? • Are some leaders more important than others? Are there conflicts among leaders? • 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.[13] 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 guide[14]

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 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 and conduct the 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.

Recruiting Female Researchers

Finding adequate numbers of female fieldwork personnel can be challenging. Some of the methods used to overcome this obstacle include:

- Utilizing trained male and female community facilitators from ongoing programs in-country, eg in Indonesia, male and female community facilitators from a World Bank-supported community-driven development operation assisted with post-disaster assessments in Aceh following the 2004 Asian tsunami (World Bank, 2009);
- Recruiting male and female students from local universities as an exercise to build fieldwork experience;
- Creating work conditions that are socio-culturally acceptable, such as allowing women to work in pairs or groups, to conduct their fieldwork during daylight hours or providing childcare arrangements; and
- Identifying local women's groups or Community Based Organizations (eg women's religious or community associations) that can do fieldwork in locations closer to their homes.

The research team is usually split into smaller groups for fieldwork. There should be at least two and ideally three or four researchers, preferably a mix of male and female, 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 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. Teams without experience in gender analysis skills will require gender analysis training and some technical support in this area.

In situations where social risk analysis is prioritized among the research domains, it is important to include conflict analysis among the skill sets of the research team and/or to provide technical support in this area (the World Bank's Global Center on Conflict, Security and Development is a potential resource). The team members should be sensitized to conflict issues and trained in how to conduct research on sensitive topics. Additionally, the training should go into greater depth on the subject of research ethics, as neutral approaches and the protection of the privacy and safety of research respondents take on an increased importance in highly sensitive situations. The team also will need to identify specific socio-culturally appropriate techniques for managing local sensitivities and exploring sensitive topics. Related to this, the team should avoid the inclusion of members with strong partisan views or who may be perceived as holding partisan views within the communities to which they will be sent.

'Bare Minimum' Social Risk Analysis

If conflict expertise or training is unavailable, the SIA team should:

- Gather available secondary information for disaster-affected area (eg reporting on: criminal activities, including sexual assault/domestic violence; governance issues; discrimination; post-conflict needs assessments in conflict-affected countries, etc).
- Consult with government, UN and civil society organizations which are monitoring or responding to social risk issues in the area (eg social welfare departments; ILO re migration and internally displaced people; WHO on psychosocial health; UNICEF re child protection issues; women's shelters; etc).
- Identify potential social risk issues meriting further investigation and consideration during the recovery planning process.

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 a representative cross-section of male and female 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 violence, social tensions or conflict. Meetings with local NGOs or community-based organizations can also be useful for obtaining insights into the local context and socio-culturally appropriate ways to conduct the research.

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. When conducting research in areas of known social tensions or conflict, protocols should be established in advance for managing interviews or other situations where there may be a risk of inadvertently being drawn into, or contributing to, these tensions (eg seen to be taking sides or favoring one group over another). For example, field workers can be put in an awkward position when requested to convey messages about the dissatisfaction of some community members with their political leaders.

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 the 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.

Local leaders may need to be sensitized to the importance of interviewing some groups and reassured of the objectivity and sensitivity to local context of the research team, especially in a context of social tensions. If permission to interview certain groups still is not granted by the leaders/administrators, this decision should be accepted and alternative field sites or options considered to obtain this information. Some options within the community may include observation or indirect investigation of the circumstances of this group through interviews with others in the community.

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). To the extent possible, the timing of the meeting should take into account when men and women carry out their main daily tasks to ensure that both can attend.

During the 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. The researchers also should clearly explain the purpose of the research, including the reasons for interviewing a representative cross-section of the local population and the approach being taken to doing this. This is particularly important in contexts where there may be hostility or jealousy between groups.

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. Additionally, some groups may not normally actively participate in such meetings, such as women or socially marginalized groups - though this varies greatly from place to place. 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 these issues requires new interviewing strategies. Researchers should be flexible and take an ongoing problem-solving attitude, making 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 a representative cross-section of male and female 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 need to interview 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
- Leaders of rival groups, in situations of pre-existing competition or tension over leadership roles or resources (eg gang or factional 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 and residents of informal settlements
- Groups identified as 'vulnerable' by the community. These are often, but not always, disabled people, poor single-headed households, ethnic minorities, and the elderly.
- Young women
- Young men
- Migrants/recent arrivals
- Ethnic or religious minorities
- Members of different caste groups

Both male and female key informants from each relevant category should be interviewed, including spouses who play ancillary roles in fishing, farming and other household livelihoods activities

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	• 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	• 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	• 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	• 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.

Focus group discussions and key informant interviews, should be conducted with a balanced cross-section by gender and age, whenever possible. This may include conducting women-only and men-only focus group discussions. Opportunities for women to participate have to be carefully designed, with particular attention to the time and access constraints of female-headed households, women in minority groups, or where cultural norms may restrict male-female interaction. In the latter context, women may need to interview women; for example, the Iranian Red Crescent has specifically trained female teams to conduct assessments and follow-up with female disaster survivors (IFRC, 2010). Local leaders may also need to be sensitized regarding the intent and importance of the consultations.

A similar approach needs to be taken to the design of opportunities to participate for other socially marginalized or conflict-affected groups, with particular attention to vulnerability to

social repercussions in the latter group. The use of informal interview techniques are usually preferable to focus group discussions and formal interviews in this context.

Collecting Information on Sensitive Topics

Discussing sensitive topics with men, women and male/female children - such as gender-based violence, substance abuse, local social tensions/conflicts or their reproductive or psycho-social health needs - can be difficult. A sufficient amount of time, confidentiality, trust and understanding of the socio-cultural context is required, along with specialized interview skills. Post-disaster SIA teams may not be able to meet these requirements, especially where survivors are living in cramped temporary conditions and the team members cannot speak the local language/dialect. Despite the constraints, it is important to identify such protection risks.

Some measures that can be taken to manage such issues include:

- Utilizing information collected through the IASC protection cluster;
- Forming partnerships with UN or international organizations with experience in these areas (eg UNFPA; WHO; UNICEF; Save the Children; International Red Cross and Red Crescent Movement; UNHCR - if disaster occurs in a refugee context; etc);
- Contracting data collection to local organizations with experience in these areas;
- Investigating which times and places are convenient and safe for holding consultations with women, men and girls/boys - including adolescents as a specific sub-group;
- Administering one-on-one, rather than household, survey questionnaires and adapting focus group discussion guides to focus on anecdotal and non-identifying information;
- Identifying private places to conduct one-on-one interviews and ensuring the confidentiality of the participant;
- Having members of the same sex and - where feasible - the same ethnic, language and age group, conduct the interviews; and/or
- Training SIA team members in interview techniques for sensitive topics.

All researchers 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.

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 hand[15]. 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 PONJA 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.

[15] This is usually called 'theoretical saturation'.

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

Additional guidance on how to conduct interviews, focus groups discussions, participant observation and on how to implement short survey is included in the companion Volume II of this methodology.

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: • Aid matrix • Institutional matrix	In village	1 per village
Focus group discussion notes form Key informant interviews notes form	In village	1 per focus group discussion 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 it unrelated to the research, and ensure that if necessary they can refer them to psychosocial support.

When conducting research on sensitive topics, such as social risk, the ethical standards of the team must be particularly rigorously maintained, in order to protect the respondents from any potential repercussions as a result of participating in the research and expressing their views. The expected ethical standards should be incorporated into the TOR and contract for the identified research partner. The research ethics section of the *Nargis SIM Field Guide Round 3* (March 2010) is an example of well-considered guidance to a research team.

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.

Further to this, socially marginalized community members, or people living within communities experiencing high levels of social tension or conflict, also may have valid concerns about participating in the study. Their views on a safe and acceptable form of participation, or decision not to participate, should be respected.

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 remain neutral 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	• Data come from well-designed research with robust sampling methodologies and well-executed fieldwork. Research ethics upheld, particularly those related to protecting the confidentiality of respondents. • Research methodologies are explained • Findings are supported by the data • Process of analysis & reasoning is clear • Analysis, especially of sensitive issues, is balanced and objective • 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	• 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	• 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	• 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, genders, 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? Are both men and women migrating?). 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.

Analyzing and Reporting on Social Risk

Assessing post-disaster social risk can be challenging, as the data available may be limited and the research topics often are socially or politically sensitive. When collating this information, it is important to first discuss the findings and recommendations with credible sources of knowledge and experience in managing such sensitivities in the disaster-affected area or country, as well as to ensure that they are drafted in a contextually-appropriate manner, ie in a way that does not contribute to elevating tensions or provoking reprisals.

The analysis should cover the types and levels of social risk, key contributing factors, challenges to and opportunities for promoting greater social cohesion, key stakeholder groups/institutions in this process, and specific recommendations for the recovery and reconstruction process. For instance, in a disaster-affected urban area identified as suffering from gang-related violence due to high youth unemployment and poor basic services, livelihoods recovery initiatives could include a specific focus on youth and/or gangs. Neighborhood associations also might be jointly engaged in restoring and improving education and health services.

When conducting analysis, researchers should bear in mind the policy and program implications of their findings. The information and programming options presented should be realistic and 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 or gay/lesbian/transgendered people in temporary shelters or to protect vulnerable groups from increases in post-disaster inter-personal violence (eg provision of stress counseling, restoration of domestic violence/rape refuges): block grants to communities and small-scale public works; and action on livelihoods, debt and other issues that disproportionately affect marginalized groups.

An overview some of the topics examined during the second round of social impact monitoring in Myanmar is included in Volume 2. It highlights in detail the conclusions reached by researchers and the analysis process used to reach those conclusions.