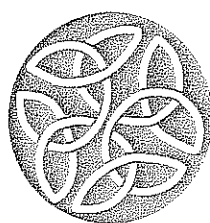


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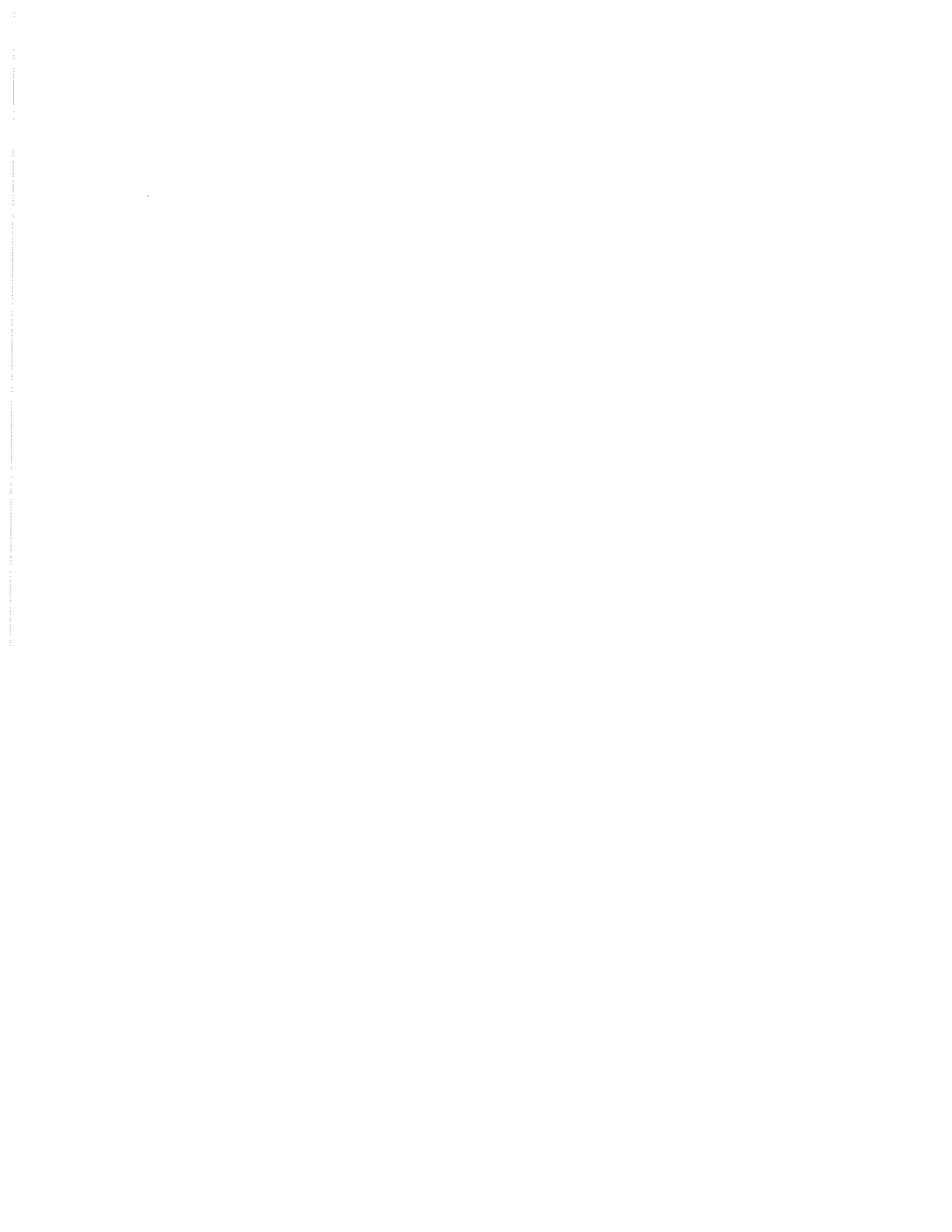
Collaborative Action for Health and  
Social Change

A workbook



Community  
Health  
Promotion  
Coalition

Marcia Hills, R.N., Ph.D.  
Jennifer Mullett, Ph.D.





# ACKNOWLEDGEMENTS

## **CONTENT SPECIALISTS**

Marcia Hills, R.N., Ph.D.  
Professor, School of Nursing &  
Director, Community Health Promotion Coalition

Jennifer Mullett, Ph.D.  
Assistant Professor, Faculty of Human & Social Development &  
Research Scholar, Community Health Promotion Coalition

**UNIVERSITY OF VICTORIA,  
VICTORIA, B.C. CANADA**

**COMMUNITY HEALTH PROMOTION COALITION, FACULTY OF HSD,  
UNIVERSITY OF VICTORIA  
VICTORIA, B.C. CANADA**

The authors wish to acknowledge the contribution of the BC Health Research Foundation for their commitment and support to the development of community based research and evaluation in British Columbia. We are particularly thankful to the dedicated work of Chris Crossfield and Dick Witney in these efforts.

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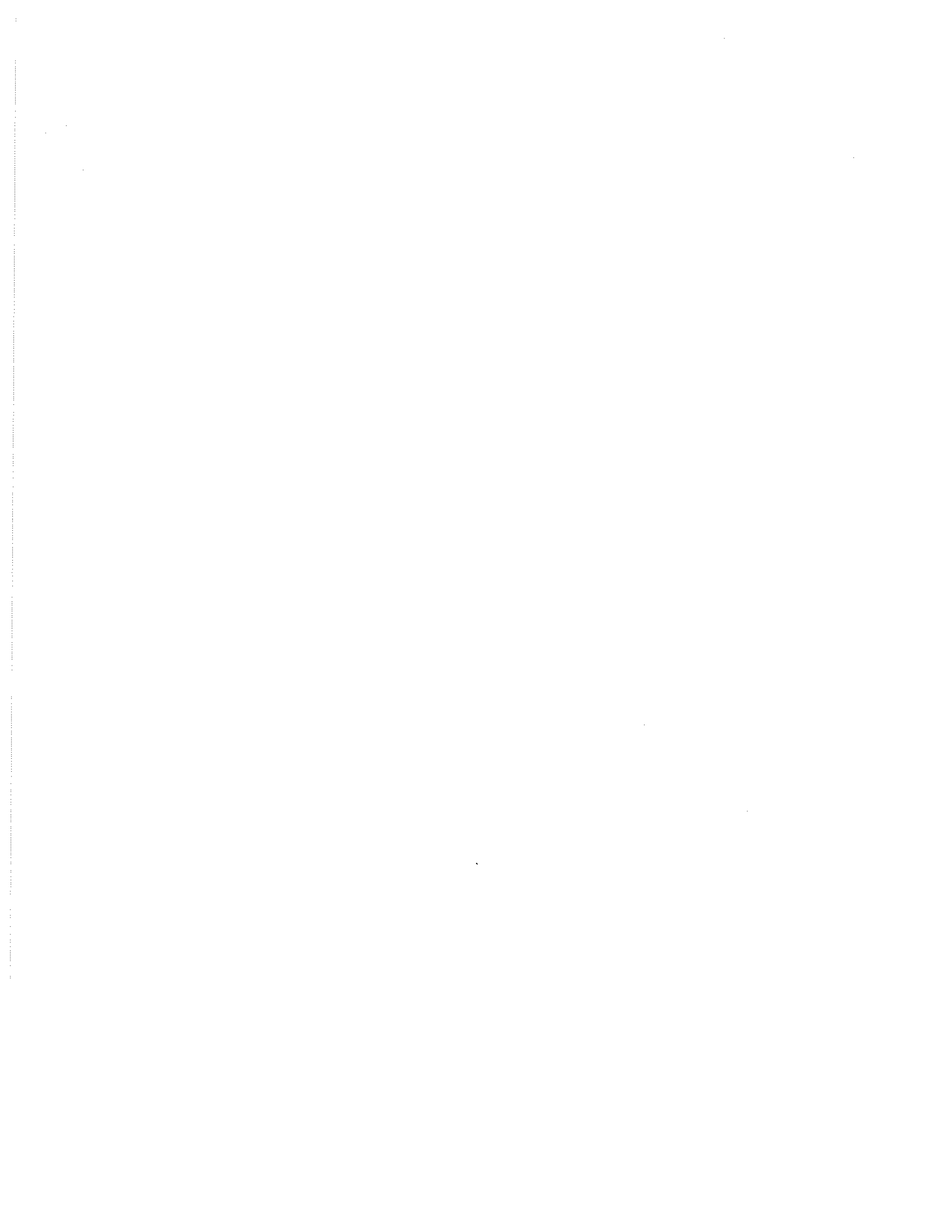
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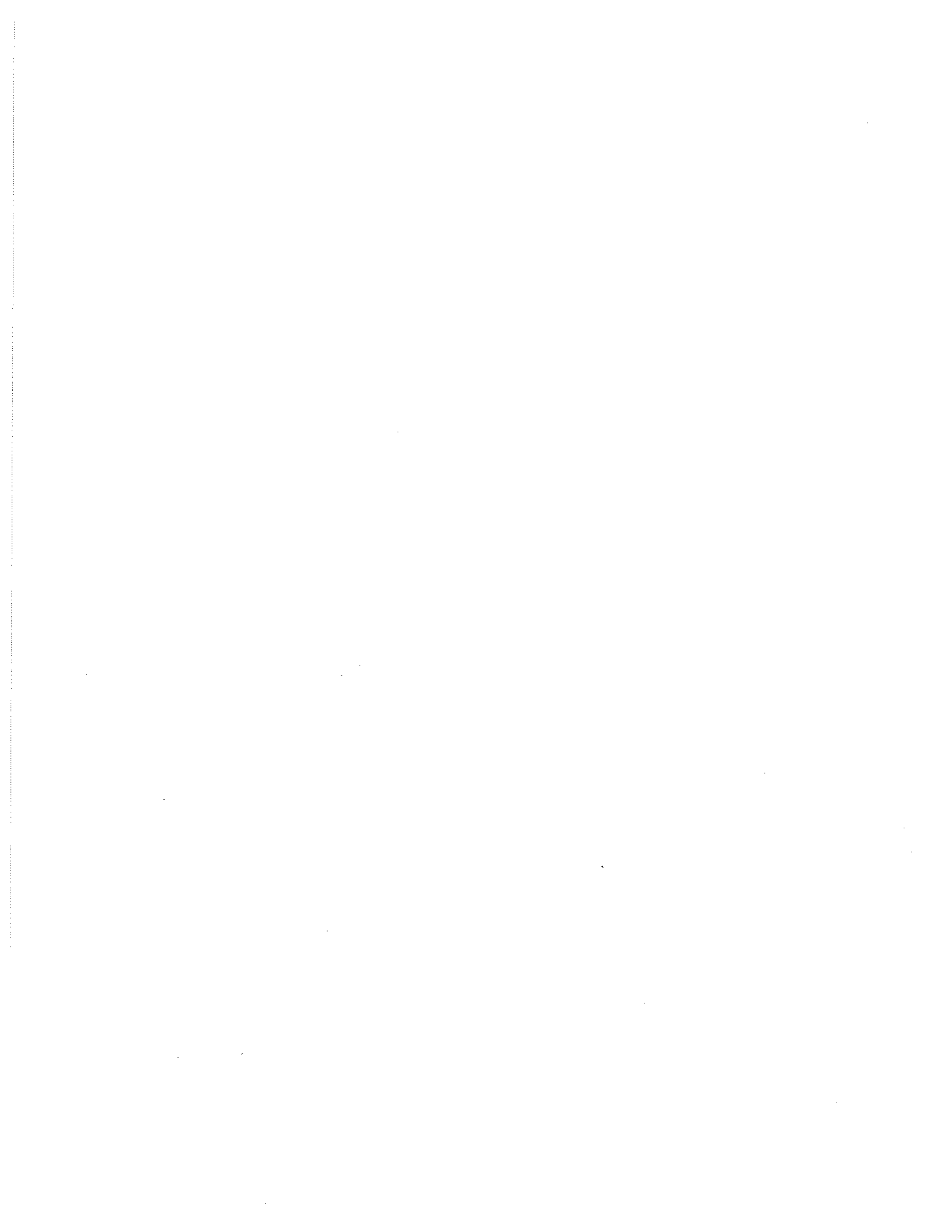
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## WORKBOOK OVERVIEW

This Community-Based Research and Evaluation Workbook has been designed to enable individuals to enhance their community-based research and evaluation skills. It is intended for individuals who are involved in conducting or using the findings from community-based research, or who are interested in learning how to do so. Specifically, the workbook is intended to:

- provide opportunities for community members, students and decision-makers to learn the essentials of planning, and conducting a community-based research or evaluation project, including the ethical and methodological considerations;
- provide the fundamentals of writing research and evaluation proposals for funding
- contribute to existing strengths and capacities for conducting community-based research and evaluation activities, and;
- facilitate networking opportunities to stimulate potential research activities at the community level.

**This workbook consists of four introductory-level sessions:**

1. Community-Based Research and Evaluation: Philosophy, Principles and Pragmatics
2. Community-based Research and Evaluation: Planning a Project
3. Methodologies and Methods for Community-Based Research and Evaluation
4. Writing Collaborative Research Proposals with Communities

Session 1 provides an orientation to the philosophy, and principles of community-based research, and, an introduction to the fundamental steps involved in planning a research or evaluation project. Sessions 2, 3, and 4 are also introductory-level and explore in greater depth specific topics introduced in Session 1.

This workbook contains an introduction, an agenda, notes on key points, group activity instructions and worksheets, our thoughts and reflections, copies of information contained on overheads, a glossary of common terms as used in this course series, and a suggested reading list.

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## COURSE PHILOSOPHY

The philosophy of this course is based on the belief that learning is maximized in situations that are self-determining, experience-based, and interactive. This philosophical orientation requires that the participants' experiences and needs guide the content and the process of the course. The facilitator and participants are viewed as co-learners, participating collaboratively in a teaching/learning process that is characterized by mutual trust, respect and an honouring of the ideas that each person contributes.

Some of the activities you will participate in include:

- Exercises and discussions done in small groups;
- Mini-wraps — sharing of information;
- Discussions with facilitator in an open group.

## SESSION 1

# Community-Based Research and Evaluation: Philosophy, Principles and Pragmatics

---

### OVERVIEW

This introductory session offers an overview of the elements and process of research and evaluation planning. This module has been designed as an orientation to the process of community-based research and evaluation with an emphasis on *planning* an effective research or evaluation project. It will introduce you to concepts and more complex research and evaluation issues that you will explore in greater depth in subsequent sessions.

Participation in this session will allow you to examine and share your personal experiences and perceptions of research and to build a greater understanding of what is involved in planning a community-based research or evaluation project. You will also have an opportunity to share research interests and to plan a community-based research or evaluation project with your peers.

You will be introduced to some of the fundamental skills required for conducting research with community partners, such as involving stakeholders in research, defining the research question, choosing methods for gathering data, and interpreting and communicating results. At the end of this session, you will have explored some of the more important issues in developing community research and evaluation and will have practiced applying the fundamentals of research/evaluation planning.

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### DESCRIPTION

The session will involve participants who share a common interest in learning more about community-based collaborative research and evaluation, but who may have a very different understanding and experience of doing research/evaluation. The session will be practical and interactive and you will participate in a variety of guided learning activities.

This session provides a systematic overview of planning for community-based research and evaluation. It addresses key components of the research process, that include:

- Defining and implementing the principles of community-based research and evaluation;
- Adhering to the ethical principles for community-based research and evaluation;

- Involving the community and forming partnerships during the research/evaluation process;
- Identifying the purpose of the research and defining the research question(s);
- Identifying a methodology, choosing a research method and selecting procedures for gathering data;
- Selecting strategies for for managing and analyzing data;
- Communicating results.

---

## LEARNING OPPORTUNITIES

In this session, you will have an opportunity to:

- share personal experiences and perceptions of research;
- learn how to ensure community involvement in the research process;
- recognize the scope of activities involved in planning and implementing a research/evaluation project within a community;
- understand the potential role(s) of stakeholder groups in community-based research/evaluation projects;
- become familiar with issues and principles of ethical research/evaluation;
- practice planning a community-based research/evaluation project;
- learn to write a research/evaluation proposal with a community group.

---

## SESSION ONE AGENDA

- 9:00 — 9:30** Welcome, Participant Introductions, and Introductory Comments
- 9:30 — 10:00** Community-Based Research: What it is and what it is not
- 10:00 — 10:30** Defining Community-Based Collaborative Action Research and Evaluation
- 10:30 — 10:45** **BREAK**
- 10:45 — 11:45** Ethics in Community-Based Research
- 11:45 — 12:00** Process Evaluation: Wishes and Pluses
- 12:00 — 1:00** **LUNCH**
- 1:00 — 3:00** Planning a Community-Based Collaborative Action Research Project
- 3:00 — 3:45** Small Group Presentations
- 3:45 — 4:00** Evaluation & Closure

## SESSION SUMMARY

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
9:00– 9:30	30 min	<b>TOPIC 1:</b> Welcome, Course Overview, and Introductions	<p>Provide overview of the sessions and put in the context of the course</p> <p>Introduce participants to structure of course, goals, topics, course philosophy; set ground rules.</p>	<p>Facilitator introductions, welcome, etc.</p> <p>Participant Introductions:</p> <ul style="list-style-type: none"> <li>• in pairs, complete Participant Information sheet on page 17</li> <li>• introduce partners to the larger group, with info from Participant Worksheet</li> <li>• facilitator records participants' expectations on flipchart, links to agenda</li> </ul> <p>Description of training series and this session</p> <ul style="list-style-type: none"> <li>• facilitator presents overview of training series, puts Session 1 in context</li> <li>• facilitator describes course philosophy, principles of learning</li> <li>• facilitator reviews day's activities: learning opportunities, session agenda</li> </ul> <p>Establishing ground rules for group participation</p> <ul style="list-style-type: none"> <li>• read suggested guidelines for group discussion on page 19-20</li> <li>• observe interactions that occur between now and morning break and consider what general guidelines for group discussion would help maximize your learning</li> <li>• after break, on flipchart provided, record at least one guideline for group discussion that is important to you</li> </ul>	<ul style="list-style-type: none"> <li>• Course Introduction</li> <li>• Participant Introductions</li> <li>• Program Overview</li> <li>• Session Structure</li> <li>• Session goals</li> <li>• Define Community-Based Research</li> <li>• Guidelines for Participation</li> <li>• Learning Opportunities</li> </ul>

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
9:30– 10:00	30 min	<b>TOPIC 2:</b> Community-Based Research: What it is and what it is not	Introduce and define the concept of community-based research.  Provide forum for participants to express their concerns and preconceptions about research.  Explore the benefits of community-based research.	Discussion: examining the resistances and benefits to doing research <ul style="list-style-type: none"> <li>• write one drawback/fear/resistance or one benefit to doing research on each wax card; fill out as many cards as you like</li> <li>• put cards on appropriate flipchart – “Resistances/Fears/Drawbacks” or “Benefits”</li> <li>• read others’ responses</li> <li>• with facilitator, group cards according to similar themes</li> <li>• discuss, as a whole group, the main points presented</li> </ul>	<ul style="list-style-type: none"> <li>• Definition of Community- Based Research</li> </ul>
10:00– 10:30	30 min	Defining Community- Based Collaborative Action Research and Evaluation	Explore definitions of community-based research.  Identify characteristics of community-based research.  Explore relationship between community- based research and community development.	Defining community-based research (CBR) <ul style="list-style-type: none"> <li>• use notes on benefits of research to identify characteristics of CBR</li> <li>• generate list of key characteristics that distinguish CBR from other research</li> </ul> Distinguishing community-based research and community development <ul style="list-style-type: none"> <li>• in pairs, create list of essential characteristics of community development</li> <li>• large group discussion: relationship between CBR and community development</li> </ul>	<ul style="list-style-type: none"> <li>• Fears and resistances to research</li> <li>• Benefits of research</li> </ul>
10:30– 10:45	15 min	<b>Break</b>			

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
10:45– 11:45	60 min	TOPIC 3: <b>Ethics in Community- Based Research</b>	Expand participants' awareness of ethical considerations in doing community-based research. Give participants opportunity to explore ethical issues. Help participants examine relevant case studies and identify three key ethical issues they will need to consider during planning for community-based research projects: volunteerism, confidentiality, and anonymity.	Read context, Principles of Ethical Research, and Ten Ethically Questionable Practices in Community-Based Research on pages 29-31.  Examining ethical issues by considering case study <ul style="list-style-type: none"> <li>• discussion of fundamental ethical principles</li> <li>• in groups of 3-5 people, discuss case study and identify ethical issues that would need to be considered in planning the research</li> <li>• outline ethical issues on flipchart and brainstorm possible solutions</li> <li>• present ethical issues and plans to address them to large group</li> <li>• review principles of ethical research in context of small group presentations</li> </ul>	<ul style="list-style-type: none"> <li>• Ethical issues in research</li> <li>• Important ethical principles</li> </ul>
11:45 – 12:00	15 min	Process Evaluation: Wishes and Pluses			
12:00– 1:00	60 min	<b>Lunch</b>			
1:00– 3:00	120 min	TOPIC 4: Planning a Community-Based Collaborative Action Research Project	Participants work through main steps involved in planning a community-based collaborative action research project  Participants consider and define appropriate involvement of the community at each step of the research planning process	Planning a community-based research project <ul style="list-style-type: none"> <li>• read Four Key Steps in Planning a Community-Based Research Project, pp. 41-43</li> <li>• facilitator will review steps in planning a community-based research project</li> <li>• form groups of 3-5 people based on interest in a particular community issue</li> <li>• work through steps 1-4 and associated worksheets on pp. 43-59</li> <li>• graphically illustrate research plan and present to larger group</li> <li>• in large group, debrief experiences of planning the research</li> </ul>	<ul style="list-style-type: none"> <li>• Importance of solid process for planning research</li> <li>• Importance of involving community stakeholders</li> </ul>

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
3:00-3:45	45 min	Small Group Presentations			
3:45-4:00	15 min	<b>TOPIC 5:</b> Session Summary and Closure	Summary of key learnings.  Participants debrief, provide feedback about experience of the session, and do written evaluation.	Summation of features of evaluation  Brief discussion of participants' experience of session  Participants complete written evaluation of session	<ul style="list-style-type: none"> <li>• Summary of day</li> <li>• Ethical considerations</li> <li>• Key steps in planning a research project</li> </ul>



# TOPIC 1

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## COURSE OVERVIEW AND PARTICIPANT INTRODUCTIONS

### PURPOSE

- To provide an overview of the Community-Based Research/Evaluation Course and provide an overview of the day.
- To introduce participants to the structure of the course and workbook, the goals, the topics, and the course philosophy, and to set ground rules for the week.

### CONTEXT

Read the program description, the session overview, and the learning opportunities outlined on pp. 1-3. You will have an opportunity to ask questions about these issues during the introductory learning activity.

### KEY POINTS

- Course introduction
- Participant introductions
- Program overview
- Session structure
- Session goals
- Define community-based research
- Guidelines for participation
- Learning Opportunities

# Learning Activity 1: Getting Acquainted

## **ENDS-IN-VIEW:**

*To provide opportunities for participants to share their background and interests and to get to know each other.*

1. The facilitators will introduce themselves and make a few introductory comments.
2. The facilitator will invite you to pair up with someone that you don't know. You will spend ten minutes getting to know each other by completing the worksheet on the following page of your workbook.
3. You will be asked to introduce your partner to the larger group. You may be asked to share who your partner is, where she/he works or the organization she/he represents, and any experiences that she/he has had with community-based research and evaluation. In addition, you will be asked to share from the sheet what that person hopes to learn from, and what they will contribute to, the session. The facilitator will record these responses on a flip chart and comment on the group's expectations and the plans during the day to meet these expectations.
4. The facilitator will present an overview of the Course. Opportunity will be provided for questions.
5. The facilitator will briefly describe the course philosophy and principles of learning and review the day's activities (purpose of course, learning opportunities, agenda for the day).

---

**PARTICIPANT INFORMATION SHEET**

**My full name and the community I work in is...**

**What I expect to learn...**

**My concept of research is...**

**If I won the  
lottery, I would...**

**My biggest concern  
about doing research is...**

**What I expect to contribute...**



# Learning Activity 2: Establishing Ground Rules for Group Participation

## **ENDS-IN-VIEW:**

*To identify guidelines for group participation that will assist in establishing a safe learning environment.*

1. Read the suggestions for effective group discussion on the next page. The facilitator will guide a discussion on effective group interaction.
2. Between now and the morning break observe the interactions that occur between you and the other participants and the facilitator.
3. Consider what general guidelines for group discussion you want to have in place to maximize your learning.
4. When you return from your break, on the flip chart provided, write at least one guideline for group discussion that is important to you.

---

## **SUGGESTIONS FOR EFFECTIVE GROUP DISCUSSION**

Combs (1965) suggests that for learning to be maximized facilitators and learners must have opportunities to establish guidelines for the ways they will work together. Combs presents the following suggestions for effective group discussion:

- ◆ Maintain an attitude of searching for a solution. You are trying to find the best answer, not trying to convince other people. Try not to let previously held ideas interfere with your freedom of thinking. Be on guard against the effect of your own prejudices. You will find this difficult but highly rewarding.
- ◆ Speak whenever you feel moved to do so (and have the right of way, of course) even though your idea may seem incomplete. If the answers were all known, there would be no point in exploring.
- ◆ Cultivate the art of careful listening. You can practice this by trying to formulate in your own mind the gist of what a previous speaker has been saying before adding your own contribution.

- ◆ Try to stay with the group. Discussion which strays too far afield may kill the topic at hand. Avoid introducing new issues until the decks are clean of the business under discussion.
- ◆ Talk briefly. Saying too much may cause people's minds to wander so that they miss the value of what you wish to express.
- ◆ Avoid long stories, anecdotes, or case studies which only illustrate a point. It is ideas, beliefs, implications, and understandings which are the meat of a discussion. Listening to one person after another tell long tales of "what happened to me" can quickly destroy a good discussion.
- ◆ Be as sympathetic and understanding of other people's view as you can. If you disagree, say so, but avoid the appearance of being belligerent or threatening other people.

## TOPIC 2

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### COMMUNITY-BASED RESEARCH/EVALUATION: WHAT IT IS AND WHAT IT IS NOT

#### PURPOSE

- To introduce and define the concept of community-based research.
- To provide a forum for participants to express their concerns and preconceptions about research/evaluation.
- To explore the possible benefits of community-based research.

#### CONTEXT

Many community groups have negative experiences of being involved in research/evaluation projects. At times communities feel that they have been used by the researcher or taken advantage of. Many individuals report that once the research was completed they never heard about the results or about any outcomes that might have occurred as a result of the research. Have you had this type of experience?

In addition, there tends to be different views about what constitutes community-based research/evaluation. How is community-based research/evaluation different from or the same as other forms of research? How is community-based research/evaluation different from or the same as community development?

#### KEY POINTS

- Definition of community-based research
- Fears and resistance to research
- Benefits of research

## Learning Activity 3: Examining the Resistances and Benefits to Doing Research/Evaluation

### **ENDS-IN-VIEW:**

*This learning activity provides participants with opportunities to discuss their perceptions of the benefits and drawbacks of, or resistances to, doing research/evaluation.*

1. Using the wax cards provided by the facilitator, write one drawback/fear/resistance or one benefit to doing research per card. Use large felt pens so that it is easy for others to read at a distance. The facilitator will provide an example.
2. Fill out as many cards as you like.
3. Once you have completed the wax cards, put them up on the appropriately entitled flipchart - "Resistances/Fears/Drawbacks" or "Benefits".
4. As the cards are being put up, read others' responses.
5. With the facilitator, group cards according to similarity. (e.g. "Fears" - takes too long, not enough time, etc.)
6. The facilitator will lead a discussion with the whole group on the main points presented.

# Learning Activity 4: Defining Community-Based Research/Evaluation

## **ENDS-IN-VIEW:**

*This learning activity provides opportunities for the group to explore definitions of community-based research/evaluation and to identify the salient characteristics of community-based research and evaluation.*

1. Using the notes generated from the previous learning activity, examine the benefits to doing research. The facilitator will assist in identifying the characteristics of community-based research that are embedded in these comments. This should lead to a definition of community-based research.
2. The facilitator will lead a discussion to generate a list of the key characteristics that distinguish community-based research from other forms of research.

---

## **OUR THOUGHTS AND REFLECTIONS**

The process of community-based research/evaluation is becoming increasingly important in the health care field as communities are being required to take greater ownership of and control over decisions affecting health matters. There are several essential characteristics that distinguish community-based research and evaluation from other forms of research. These are:

- ◆ the community is involved at all stages of the research process
- ◆ community-based research is intimately connected to a real problem in the community
- ◆ community-based research focuses on addressing practical problems and there is a practical application of the research results
- ◆ community-based research focuses on societal change.

Therefore, our definition of community-based research/evaluation is:

Community-based research/evaluation is a collaboration among community groups, decision-makers and researchers for the purpose of creating new knowledge or understanding about a practical community issue in order to bring about change. The issue is generated by the community and community members participate in all aspects of the research process. Community-based research/evaluation therefore is collaborative, participatory, empowering, systematic and transformative.

# Learning Activity 5: Community-Based Research/ Evaluation and Community Development: Two Sides of the Same Coin?

## **ENDS-IN-VIEW:**

*This learning activity provides opportunities for the participants to explore the relationship between community-based research/evaluation and community development.*

1. Working with the person sitting next to you, jot down on a piece of paper, what you consider to be the essential characteristics of community development.
2. Think about what we have been discussing about community-based research/evaluation. What characteristics do these processes have in common? What would distinguish these two processes from each other?
3. The facilitator will lead a discussion on the relationship between community-based research/evaluation and community development.

---

## **OUR THOUGHTS AND REFLECTIONS**

There is often much confusion between community-based research and evaluation (CBR&E) and community development. The two processes have much in common. Both involve participatory processes with community participation and both are concerned with change.

The main distinction of community-based research/evaluation is the carefully organized search, inquiry, or examination of an issue or question, that is characterized by the systematic collection and analysis of data to create *new* knowledge or understanding. The emphasis in community-based research is on the co-creation of knowledge to bring about change. In contrast, community development *uses* knowledge or information, but its emphasis is on strategizing for change in a predetermined area.

Also, there is confusion between CBR&E and other forms of community research. CBR&E does research and evaluation with communities, not *on to* or *about* them.

In summary, the characteristics of community-based research that distinguish it from other forms of research and from community development are that community-based research:

- ◆ is a planned, iterative systematic process
- ◆ is relevant to the community
- ◆ requires community participation
- ◆ focuses on problem-solving
- ◆ focuses on societal change
- ◆ is concerned with making sustainable contributions to the community

### **PLANNED SYSTEMATIC PROCESS**

Community-based research/evaluation is a systematic process requiring careful planning of each stage. Most community practitioners begin the research/evaluation process by asking questions about their programs, the needs of their clients, the effectiveness of their work, whether new ideas are feasible, what options are available as solutions to existing community problems, and so on. These are potential research or evaluation activities. Community-based research and evaluation (CBR&E) is used to formalize the process of exploring a community issue by working with the community to conceptualize the issue or problem as a researchable question and to systematize the process by which information or "data" is collected, analyzed, and presented as results.

### **RELEVANT TO THE COMMUNITY**

Because the research or evaluation issue arises from the community it has a high degree of relevance to the community. CBR&E focuses the research/evaluation endeavour in the context of daily work activities in order to solve problems and help make those activities more effective and ultimately more satisfying. The research or evaluation should result in decision-making by the end users of the information (i.e. individuals, community agencies, health units, program managers, etc.) or provide information which is in some other way directly useful to the community in which it is initiated.

CBR&E involves asking questions such as:

- ◆ What are the practical problems we are facing in our work in the community?
- ◆ What are some questions and concerns regarding the community and health-related activities within that community?
- ◆ What issues are the focus of community attention?

Questions such as these guide the selection of meaningful research /evaluation topics and provide for the development of appropriate research questions for community-based research/evaluation.

## **REQUIRES COMMUNITY PARTICIPATION**

The community must be actively involved in and understand the research/evaluation process. The research/evaluation is driven by a partnership between the community, decision-makers and researchers, and tends to be multi-disciplinary in nature. It is a collaborative effort involving the community at all stages of the research process through appropriate partnerships. The level of community involvement may vary at each stage of the research, but CBR&E involves joint responsibility and decision-making during every step. It requires the researcher(s), decision-makers and the community stakeholders to share power and control of decision-making throughout the process.

In a community-based research and evaluation process, the distinction between the researcher and the researched is minimized or eliminated. This does not necessarily mean that all research team members always do exactly the same thing or that everyone is responsible for exactly the same “tasks”. Rather, CBR&E demands a form of collaboration that is based on mutual respect and trust that maximizes the unique contributions of each team member and that incorporates shared responsibility for the research or evaluation. It includes responsible reporting of the research results that is sensitive to the community's needs and desires, as well as those of academics.

## **PROBLEM-SOLVING FOCUS**

Community-based research and evaluation is designed to illuminate and solve practical problems, that is, issues which have been identified by the community as being important to the life/health of that community. CBR&E uses knowledge gained through the research and evaluation process to make decisions about how to improve or change practice or programs to better meet the community needs. Often, the research or evaluation is used to influence decision-making at a program or policy level, so community-based research and evaluation can benefit the community not only by the results generated on a specific issue but also in relation to the identification of future actions and policies.

## **FOCUSES ON SOCIETAL CHANGE**

Unlike conventional research, which focuses on prediction or understanding alone, community-based research seeks to bring about change. It is premised on the fact that engaging in a participatory collaborative research process, and being involved the decision-making about that process, is empowering and transforming. Engagement in the process allows people to develop new ways of thinking and behaving and practicing.

## **SUSTAINABLE CONTRIBUTIONS TO THE COMMUNITY**

Communities should be “better off” as a result of participating in a research or evaluation project. With many research and evaluation projects the interest for the idea ends when the project ends. In contrast, CBR&E is designed to make contributions to the community after the project ends. This may be in the form of a new program, or a newly available service, or workshop materials or information pamphlets that have been created. Most significantly, engaging in CBR&E, provides community members with new skills and knowledge and enhances the community’s capacity to engage in future research or evaluation

## TOPIC 3

---

### ETHICS AND COMMUNITY-BASED RESEARCH

#### PURPOSE

- To expand participants' awareness of ethical considerations in doing community-based research.
- To give participants an opportunity to explore the ethical implications of a variety of issues and situations that may arise in community health research.
- To help participants examine relevant case studies and identify the three key ethical issues – volunteerism, confidentiality and anonymity - that they will need to consider when planning community-based research/evaluation projects. Other associated ethical issues will also be examined.

#### CONTEXT

Research ethics provide the researcher with a system of moral values or principles to guide decisions in planning the research/evaluation process, and include conforming to accepted professional standards of conduct.

Ethical principles are particularly important in community-based health research/evaluation where participants and/or their personal data and comments may be readily identifiable. In community-based research/evaluation, ethical research/evaluation includes respecting the community and honoring its involvement and ownership of the project.

The principles of ethical research/evaluation deal primarily with ensuring confidentiality and preserving anonymity and volunteerism. Related to these are the principles of privacy, right to know, right to withdraw, conflict of interest, informed consent, responsible gathering of personal data, and responsible reporting of research results.

#### **Confidentiality**

Researchers must describe the process they will use to ensure that information collected will be treated confidentially. This can be particularly difficult when working in small communities. In some projects it can be a non-issue because of the nature of the collaboration and the project.

#### **Anonymity**

Participants may want to remain anonymous to others who have access to the information collected. The researchers must describe how they will ensure

that all identifying characteristics of individuals will be removed from the data.

### **Volunteerism**

Researchers have the responsibility to inform participants of their rights throughout the research project.

Participants must feel free to withdraw from the research at any time.

### **KEY POINTS**

- Ethical issues in research
- Important ethical principles

---

## **OUR THOUGHTS AND REFLECTIONS**

### **ETHICS**

A system of moral values or principles, including conforming to accepted professional standards of conduct.

### **TEN PRINCIPLES OF ETHICAL RESEARCH**

- 1) Confidentiality
- 2) Anonymity
- 3) Volunteerism
- 4) Privacy
- 5) Right to Know
- 6) Right to Withdraw
- 7) Conflict of Interest
- 8) Informed Consent
- 9) Responsible Gathering of Personal Data
- 10) Responsible Reporting

---

## OUR THOUGHTS AND REFLECTIONS

### TEN ETHICALLY QUESTIONABLE PRACTICES IN COMMUNITY-BASED RESEARCH

1. Involving people without their consent.
2. Coercing or pressuring people to participate.
3. Withholding information about the true nature of the research.
4. Otherwise deceiving participants.
5. Inducing participants to commit acts which diminish their self-esteem or cause embarrassment.
6. Violating rights of self-determination (e.g. in studies seeking to promote individual change).
7. Exposing participants to physical or emotional stress.
8. Unnecessarily invading the privacy of participants (e.g. asking about income).
9. Withholding benefits from some participants (e.g. in comparison group).
10. Treating participants unfairly, without consideration or respect.

# Learning Activity 6: Examining Ethical Issues in Community- Based Research and Evaluation

## **ENDS-IN-VIEW:**

*This learning activity provides participants with the opportunity to apply their knowledge of ethics to a case study.*

1. The facilitator will lead a discussion on the three most fundamental ethical principles - confidentiality, anonymity, and volunteerism.
2. Form groups of 3-5 people. The facilitator will ask your group to work on one of the case studies described on the following page. Discuss the case study and identify the ethical issues that would need to be considered in planning the research/evaluation. Outline the ethical issue(s) on a flipchart and brainstorm how you might deal with these ethical issues. Use the questions and guidelines provided for ethical community-based research on pages 35-38 to review your case study.
3. You will be asked to present your ethical issues and approaches for planning the research to the larger group. Encourage the other participants to ask you questions about the ethical considerations related to your case study and your plans for dealing with these issues.
4. The facilitator will review principles of ethical research from an overhead or flipchart and briefly discuss these in the context of their small group presentations. The facilitator will ask you to consider the following questions:
  - Which ethical considerations might be most affected by the community-based nature of the research/evaluation?
  - Which ethical issues are you most likely to encounter in your community?
  - At what point in the research/evaluation planning process should ethical issues be considered? Who has this responsibility to ensure that ethical issues are discussed and ethical principles are followed?
  - What is the role of the stakeholder groups in dealing with ethical concerns?

### **CASE STUDY #1**

You are a community development worker who wants to do a research project with a group of youth who live on the street. These youth range in age from 12-18 and many have had no contact with their parents for at least six months. How will you ensure that the ethical issues involved in this research will be dealt with?

### **CASE STUDY #2**

Focus groups are proposed for a maternity care study. Mothers who have recently given birth to a child will be contacted and asked to express their experience of their maternity care. The focus groups will be videotaped. The local health unit (and similar ones throughout the province) has the names and addresses of every woman who has given birth recently. You have access to these records. What ethical issues must you consider?

### **CASE STUDY #3**

You run a volunteer agency that provides aid and services to frail elderly people in the community. You want to find out if the interactions between the elderly clients and the volunteers are suitable, respectful, and congenial. What ethical issues must you consider when evaluating your program?

### **CASE STUDY #4**

Patients are discharged from a psychiatric hospital to your care in a community-based program. The hospital wants you to monitor their progress in your facility and report back to them every 4 months. How will you ensure that this monitoring is done in an ethical way?

### **CASE STUDY #5**

As part of the agreement for your funding for an educational AIDS program for teens, you have been asked to demonstrate the effectiveness of your program. What ethical principles apply to this evaluation?



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## ETHICAL QUESTIONS FOR THE COMMUNITY-BASED RESEARCHER

- ◆ As a researcher, if I provide extra services to the place or people where the research/evaluation is to take place, am I just being a good guy or am I putting subtle pressure on them to engage in the research/evaluation project and allow me access to people and data that I might not otherwise get access to?
- ◆ Are participants truly free to take part, or not? Will participating avoid any negative situations?
- ◆ Do participants really know what they are letting themselves in for? How 'informed' is their informed consent? Will the research create any negative consequences in the community?
- ◆ Have I, as a researcher, taken steps to fully protect participants from any direct effects of participating in this study? What am I doing to ensure that the study and its reporting maintains my guarantee of confidentiality? I did give that guarantee, didn't I?
- ◆ What if participants in the study do great things, and voluntarily put in a lot of time and effort, and the study is really worthwhile - will participants get credit for their contributions?
- ◆ I have guaranteed confidentiality and anonymity. I discover, in the course of the study, instances of malpractice, or unethical conduct, or notable inefficiency. Shall I maintain my promise of confidentiality anyway?
- ◆ What responsibility do investigators have for the knowledge they acquire? Are they just hired hands doing the bidding of the boss?



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## GUIDELINES FOR CONDUCTING ETHICAL COMMUNITY-BASED RESEARCH/EVALUATION

Arriving at ethical decisions when doing community-based research/evaluation is often a complex tension-producing task for many researchers. Ignoring ethical issues is hazardous from a legal point of view and drastically reduces the credibility of your research/evaluation project. It may result in alienation of members of your community. Therefore, it is very important to be aware of the ethical principles and practices. You may find it helpful to consult with others colleagues, stakeholders, and sometimes specialists in ethics and research/evaluation to ensure that you are proceeding ethically. Funded research/evaluation usually requires approval by an ethics review committee. The following contains suggested guidelines for ensuring ethical research practices are applied in your project.

◆ **Observe protocol.**

Ensure that you have consulted appropriate persons, committees and authorities and have reached agreements about the conduct of your research/evaluation project. You need to follow the approved procedures of any institutions or agencies involved in the research project and may need to follow specific cultural customs with some groups.

◆ **Involve participants.**

Encourage others who have a stake in the findings you envisage to help shape the form of the project.

◆ **Negotiate with those directly affected.**

Some may want to be directly involved; others may want to have a continuing part to play. As a researcher, try to consider the wishes and responsibilities of others.

◆ **Report progress.**

Take all reasonable steps to keep your on-going work visible and open to suggestions, so unforeseen ramifications and glitches can be considered. Anyone involved or affected by your research/evaluation project should be able to either make a suggestion that is listened to, or lodge a protest.

◆ **Obtain explicit authorization before you observe or gather data from anyone.**

◆ **Obtain explicit authorization before examining files, correspondence, memos or other documentation.**

Don't make copies of documents unless authorization to do so has been granted.

◆ **Negotiate accounts of other points of view.**

For example, participants who have consented to be interviewed should have a chance to negotiate the summarization, interpretation, or meaning of their accounts. Informants and document writers should have opportunities to revise reports in the name of accuracy, fairness, and relevancy.

◆ **Negotiate descriptions of people's work.**

When you give participants' descriptions of their work, allow them to confirm or challenge you on the grounds of relevancy, fairness, and accuracy.

◆ **Obtain explicit authorization for quotations.**

◆ **Negotiate formats and contents for various levels of release.**

It is often easy to get approval for release of an executive summary of research, and much more difficult to get approval for release of the full report.

◆ **Accept responsibility for maintaining confidentiality and volunteerism (and anonymity where appropriate).**

◆ **Retain the right to report your work.**

If you meet the criteria of fairness, accuracy, and relevancy, and the accounts do not unduly expose or embarrass those involved, then your report should not be subject to veto or suppression.

◆ **Make the procedures and principles governing your research work binding and known.**

All people involved in the project must agree to the principles and procedures before the work begins. Participants must be aware of their rights throughout the process. For example, do all participants know that they have the right to withdraw from the research process at any point without any form of indirect or direct censure or penalty?

[Adapted from Kemmis, S. and McTaggart, R. (1981). *The Action Research Planner*. Geelong, Victoria: Deakin University Press, 34, 438]

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## **OUR THOUGHTS AND REFLECTIONS**

As a researcher and participant, you need to be sensitive to ethical issues at all stages of the research/evaluation project. Community-based research and evaluation introduces some unique ethical challenges. However, due to the participatory nature of community-based research/evaluation, it should be easier to ensure that participants are fully informed about the nature of the research/evaluation, the research/evaluation process and the outcomes of the research/evaluation.

Awareness of potentially questionable research/evaluation practices and familiarity with general guidelines for conducting ethical research/evaluation will help you to plan and conduct an ethical community-based research/evaluation project.

## TOPIC 4

### PLANNING A COMMUNITY-BASED RESEARCH OR EVALUATION PROJECT

#### PURPOSE

- To create an opportunity for participants to become familiar with and work through the main steps involved in planning a community-based research or evaluation project.
- To give participants a chance to consider and define appropriate involvement of the community at each step of the research planning process.

#### BACKGROUND

By carefully planning your community-based research/evaluation project, you will help ensure that your research is relevant, useful, and credible. A good research/evaluation plan defines specifically the purpose of the research/evaluation, the question(s) to be answered, and what, how and from whom information will be collected. The plan also describes how information will be analyzed and results communicated.

The following steps are important to consider when planning a community-based research/evaluation project:

1. Ensuring Research/Evaluation is Relevant - Involving Community Stakeholders
2. Identifying the Purpose of the Research/Evaluation and Developing the Research/Evaluation Question(s)
3. Choosing a Research/Evaluation Methodology, and Selecting Strategies (Methods) for Gathering and Analyzing Data
4. Communicating Results (Dissemination)

Each of these steps is described on the following pages, and is developed in further detail by the completion of Learning Activity 7.

#### KEY POINTS

- Importance of solid process for planning research
- Importance of involving community stakeholders

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## OUR THOUGHTS AND REFLECTIONS

### FOUR KEY STEPS IN DEVELOPING A COMMUNITY-BASED RESEARCH PLAN

1. **Ensuring Research is Relevant - Involving Community Stakeholders**

Research/evaluation is perceived to be relevant if it addresses issues in which the community has some interest, if the research/evaluation process itself is of benefit to the community, and if the research/evaluation results are interpreted and communicated in such a way that the community can put them to use.

  - ◆ The term 'community stakeholder' is used to include all those individuals and groups who are either involved in the research/evaluation, have an interest in the research/evaluation, or are affected by the research/evaluation. In all cases, the term 'research/evaluation' is meant to include both the research process and its results.
  - ◆ Research/evaluation results may be perceived as useful by some and ignored or criticized by others. These perceptions may depend on understanding and appreciation of the concept of research/evaluation, though more often may reflect the failure of the research/evaluation output to answer (appropriately) their specific question(s).
  - ◆ The needs of the 'users' must be taken into consideration in planning community-based research/evaluation. They will guide the research/evaluation question, goals, objectives, and methods. They will also guide interpretation and communication of results.
2. **Identifying the Purpose of the Research and Developing the Research Question**
  - ◆ This is often the most challenging and essential task of research/evaluation planning.
  - ◆ Clearly stating the research/evaluation question makes the remainder of the research/evaluation process relatively straight forward. Omitting this step leads to frustration and confusion, frequently necessitating a backtrack to this point, for clarification of the question.
  - ◆ It is critical that researchers and stakeholders agree on the research/evaluation purpose and question before proceeding further with the research/evaluation plan.
  - ◆ As part of your evaluation of the research plan, it is important to continue to seek clarification of the research/evaluation question throughout the research/evaluation process. This is one of the cyclical

steps that will be reiterated as input is received from the community stakeholders.

### **3. Choosing a Research Methodology and Selecting Procedures for Gathering and Analyzing Data**

- ◆ The research/evaluation question will influence the choice of measurements and methods.
- ◆ The appropriateness of any one method not only depends on the specific question being asked, but on principles of ethics, on the availability of resources and on the needs of the community.
- ◆ Focus on what will best answer your research/evaluation question - whatever will give you the richest source of information.
- ◆ Use more than one method - frequently, a number of different methods can be applied to the same research/evaluation question, each revealing different aspects of the issue. Ultimately, using multiple methods should produce results which converge on the same understanding.
- ◆ A variety of factors will influence your choice of methods. Some of these factors are convenience, budget, values, and time constraints.
- ◆ Various methods are available for gathering data - i.e. interviews, observation, focus groups, self-report, journals, etc. Some of these methods are more appropriate for community-based research than others. Methodologies and methods are covered in detail in Session 3, "Methodologies and Methods for Community-Based Research and Evaluation".
- ◆ There are a number of ways of analyzing data. The way the data is analyzed depends to some extent on the method used to collect it.

### **4. Communicating Results**

Interpreting and communicating research/evaluation results are explicitly connected to the purpose of the research/evaluation, to the stakeholder interests, and to the principles of research/evaluation ethics.

The goal of community research/evaluation is to change things, so the results must be made available to those who can use them effectively. This may be another community health worker who deals with similar clients in another context; or it can be other practitioners dealing with the same issue in other parts of the country. It could also be program directors or policy makers who can make informed decisions based on the results of good research/evaluation.

Suggest forums through which these groups can be reached with the results. (Note: academic journals may be the least useful placement of the research/evaluation report.) E.g. community meetings, local television programs, newspaper articles, newsletters, professional association meetings, community forums, etc.

# Learning Activity 7: Developing a Community-Based Research Plan: An Overview

## **ENDS-IN-VIEW:**

*This learning activity will provide participants with opportunities to practice developing a plan for an actual research project.*

### **Four key steps in planning a community-based research/evaluation project**

- 1) Ensuring research/evaluation is relevant - Involving community stakeholders
- 2) Identifying the purpose of the research and developing the research question
- 3) Choosing a research methodology and selecting strategies for gathering and analyzing data
- 4) Communicating results

1. The facilitator will review the four steps involved in planning a community-based research/evaluation project.
2. The facilitator will assist participants to identify a community issue for which they would like to develop a research/evaluation plan.
3. Groups of 3 to 5 people will be established based on people's interest in the identified research/evaluation projects.
4. Considering the discussion to date and the principles outlined in the "thoughts and reflection section" above,
  - a) Identify what steps will be taken to ensure that the community will be fully engaged in the research/evaluation process and decision-making.
  - b) Discuss and clarify the purpose of the research/evaluation and write a research/evaluation question(s).
  - c) Describe what methods you will use to collect the data.
  - d) Describe how you will disseminate the results

5. Each group will 'graphically illustrate' their research/evaluation plan and present it to the whole group. Drawing your research/evaluation plan engages you in a creative process and tends to make the group have more fun with their ideas.
6. During this activity, the facilitator will circulate amongst the groups to make sure that they are on track and are not getting stuck by spending too long on any one topic. The facilitator will use this opportunity to answer questions, clarify concepts and ensure a continued focus on involving the community in the research/evaluation plan.
7. Each group will be asked to present its illustrated research/evaluation plan to the whole group.
8. Questions from participants will be encouraged.
9. The facilitator will debrief the groups' experiences of planning the research/evaluation in the large group.

#### **WHY DRAW?**

- ◆ See the whole
- ◆ See the connections
- ◆ Make ideas visible
- ◆ Remove/share ownership
- ◆ Use different part of the brain/body
- ◆ Provide a focal point
- ◆ It's fun

## **TOPIC 5**

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### **SESSION SUMMARY**

#### **PURPOSE**

- To provide a summary of the key learnings and a sense of closure for the day.
- To give participants an opportunity to debrief the day, to verbally provide feedback about their experience of the session.
- To do a written evaluation.

#### **KEY POINTS**

- Summary of day
- Ethical considerations
- Key steps in planning a research project

## Learning Activity 8: Summary and Closure

1. The facilitator will briefly summarize the key learnings of the day.
2. You will be asked to share your experience of the session. This might be done by using a sentence completion activity (i.e. "One word which best describes my experience today is..." or "Something I will take away from today and use in my work is...") or by having a general group discussion.
1. The facilitator will provide time for participants to complete the Session Evaluation worksheet on the next page, to be handed in prior to leaving.

## Worksheet 4

1. After today, if you were asked to describe 'good' research/evaluation, what are five adjective or phrases that you would use?
2. In terms of applying these ideas to your work, what did you learn today that stands out as most important?
3. What aspects of the session seemed least relevant to you?
4. Describe how your thinking about research has changed over the course of the day.
5. What suggestion would you make for future sessions?
6. Please write one or two sentences, or list five adjectives/phrases, that describe the skills of the facilitator.

## SESSION 2

# Community-Based Research and Evaluation: Planning a Project

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### OVERVIEW

Building on the overview from the previous session, this session will permit you to plan, in depth, an actual community-based research/evaluation project that you might implement in your community or work setting.

Over the next two sessions a research/evaluation planning framework will be used to assist you in developing your plan.

This session focuses on the application of the principles of CBR&E to a practical, relevant project of your choosing. You will use your knowledge of CBR&E principles to develop and demonstrate how you will conducting research/evaluation with community partners, considering such aspects as involving stakeholders in research, defining the research question, choosing methods for gathering data, and interpreting and communicating results.

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### DESCRIPTION

You will work in small groups with others who have similar interests but each of you will work on your own research/evaluation project. The session will be practical and you will participate in a variety of guided learning activities.

This session provides a review of planning for community-based research/evaluation and an opportunity to explore, in depth, a community-based research/evaluation issue. For your chosen project you will address key components of the research/evaluation process, including:

- Implementing the philosophy and principles of CBR&E;
- Adhering to the ethical principles for community-based research and evaluation;
- Forming partnerships and maintaining participation of the community during the research process;
- Identifying the purpose of the research and defining the research question(s);
- Choosing a research methodology and selecting strategies for gathering data;
- Selecting strategies for managing and analyzing data;

- Communicating results.

The facilitator will invite you to suggest ideas for a research project. Some of the activities you will participate in include:

- Exercises and discussions done in small groups;
- Mini-wraps — sharing of information;
- Discussions with facilitator in open group.

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## LEARNING OPPORTUNITIES

In this session, you will have an opportunity to:

- reflect on the learning from the previous session
- develop a research/evaluation plan in an area of interest;
- learn how to ensure community participation in the research/evaluation process;
- recognize the scope of activities involved in planning and implementing a research project with a community;
- understand the potential role(s) of stakeholder groups in community-based research/evaluation projects;
- apply the principles of ethical research/evaluation.

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## SESSION TWO: TENTATIVE AGENDA

<b>9:00 – 9:15</b>	Welcome, Check In, and Overview of the Day
<b>9:15 – 10:00</b>	Review of Key Concepts from Session 1: Principles of Community-Based Research and Ethical Considerations
<b>10:00 – 10:30</b>	An Introduction to the Planning Process for CBR&E
<b>10:30 – 10:45</b>	<b>BREAK</b>
<b>10:45 – 11:15</b>	Learning Activity 10, Step 1: Ensuring Research is Relevant: Involving Community Stakeholders
<b>11:15 – 12:00</b>	Learning Activity 10, Step 2: Identifying the Purpose of the Research and Developing the Research Question
<b>12:00 – 1:00</b>	<b>LUNCH</b>
<b>1:00 – 1:30</b>	Learning Activity 10, Step 3: Choosing a Research Methodology and Selecting Strategies for Gathering and Analyzing Data
<b>1:30 – 3:30</b>	Learning Activity 10, Step 4: Communicating Results
<b>3:30 – 3:45</b>	<b>WORKING BREAK</b>
<b>3:45 – 4:00</b>	Closure and Session Evaluation

## **TOPIC 6**

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### **WELCOME AND REVIEW**

#### **PURPOSE**

- To provide an overview of the day.
- To provide an opportunity for reflection on session 1.

#### **CONTEXT**

Session 1 provided opportunities for the exploration of the principles and philosophy of CBR&E. In addition, ethical principles for conducting CBR&E and an overview of the planning process was introduced. Reflecting on this previous learning is critical so that these conceptual understandings can be applied to planning a specific research/evaluation project.

# Learning Activity 9: Checking In and Reflection

## **ENDS IN VIEW**

*To provide participants with opportunities to get better acquainted and to reflect on previous learning.*

1. The facilitator will facilitate an opening circle, asking each participant to reintroduce themselves and to describe one reflection they have from session one.
2. The facilitator will note issues raised and following the opening circle will facilitate a discussion to clarify or further explore relevant issues.

# Learning Activity 10: Developing a Research/Evaluation Plan: Taking a Closer Look

## **ENDS IN VIEW**

*To provide participants with opportunities to develop a comprehensive research/evaluation plan for a project that they might conduct.*

This learning activity is longer and more complex than those completed previously. By working through the activities described from page 57 to page 71, you will work through the four key steps of planning a community-based research project in a detailed, comprehensive manner.

1. Refer to pages 57-71 of your workbook. Each day there will be time for you to work with your group on planning a specific research/evaluation project.
2. The facilitator will assist you to work through the activities outlined in the workbook. First review the key points in each step, then follow the group activity instructions and complete the worksheets for each planning component. Try to avoid getting bogged down at any one step. Brainstorm ideas and move on to the next step.
3. At specified times the facilitator will reconvene the large group to deal with the issues arising in each of the small groups and to use these issues as examples to discuss the challenges of planning a CBR&E project.

<b>Step 1</b>	<b>Ensuring Research/Evaluation is Relevant: Involving Community Stakeholders</b>

**REMEMBER:**

- Research is perceived to be relevant when:
  - it addresses issues in which the community has some interest
  - the research/evaluation process itself is of benefit to the community
  - the research/evaluation results are interpreted and communicated in such a way that the community can put them to use
- The term 'community stakeholder' includes all individuals and groups who are either involved in the research/evaluation, have an interest in the research/evaluation, or are affected by the research/evaluation. In all cases, the term 'research/evaluation' is meant to include both the research/evaluation process and its results.
- Consider the needs of the users in planning community research/evaluation. Their needs will guide the research/evaluation question, goals, objectives, methods, and the interpretation and communication of results.
- Identify the people who need to be involved in defining or refining the purpose of the research/evaluation by knowing who is asking for the research/evaluation, who will be affected by the research/evaluation (either during the research/evaluation process or by the results), who will potentially use the results, and who will make decisions based on the research/evaluation.
- Some may perceive the research/evaluation results as useful; others may ignore or criticize them. Participants' negative perceptions may stem from their lack of understanding or appreciation of the research process, though more often negative perceptions may reflect the failure of the research outcomes to answer (appropriately) their specific question(s).

## INSTRUCTIONS:

1. By completing the following points and filling out Worksheet 5 on the following page, you will consider the following questions:
  - Who is asking for the research/evaluation? How do they want to use it?
  - Who will use the research/evaluation results?
  - Who else could be affected by the research/evaluation (by either the process of research/evaluation itself, or by the results)?
  - What decisions might be made based on the results?
2. Determine which stakeholders should be involved to ensure that the research/evaluation question is appropriate; the research/evaluation can be conducted effectively; and results will be useful. List the key stakeholders on the worksheet. In columns 2 and 3, describe the interests of key stakeholders and their possible uses of the research/evaluation results.
3. What is the focus of the research/evaluation? How does this focus fit with the identified interests? Are any accommodation or revisions necessary? Remember that you can't be all things to all people. Answer the question on the worksheet.
4. Explore the ramifications of omitting the consultative process. What will happen if stakeholders are consulted or involved during the research/evaluation process? What if they aren't involved in clarifying or defining the purpose of research/evaluation? On the worksheet, list some words which describe the ramifications of omitting and including consultation.



**Worksheet 5**

STAKEHOLDERS	INTERESTS	BENEFITS OF RESULTS/PROCESS
How does the research accommodate for these interests and results?		
<b>RAMIFICATIONS OF OMITTING/INCLUDING CONSULTATIONS WITH STAKEHOLDERS</b>		
Omitting	Including	



<b>Step 2</b>	<b>Identifying the Purpose of the Research/Evaluation and Developing the Research/Evaluation Question</b>
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**REMEMBER:**

- Identifying the purpose of the research/evaluation and developing the research/evaluation question is often the most challenging and essential task of research/evaluation planning.
- Clearly stating the research/evaluation question makes the remainder of the research/evaluation process relatively straightforward. Omitting this step leads to frustration and confusion, frequently researchers backtrack to this point for clarification of the question.
- In developing or refining the purpose of the research/evaluation, it is important that you involve all interested parties, such as those who can provide information, or people using research results.
- Researchers and stakeholders must agree on the research/evaluation purpose and question(s) before proceeding further with the research/evaluation plan.
- Review with community stakeholders the potential uses of the research/evaluation results; review the current environment. What will help to support use of the results?
- Continue to seek clarification of the research/evaluation question throughout the research/evaluation process.
- Once the research/evaluation question is clarified, undertake a literature review or determine through other inquiries if similar studies have been done. How were they done? Examine results and ways they were used.

## **INSTRUCTIONS:**

1. Answer questions 1-4 on Worksheet 6 to help you to identify the specific purpose of your research/evaluation project and to develop your research/evaluation question.
2. Invite all stakeholders (participants) to collectively and collaboratively develop and clarify the statement of purpose, to complete point 5 on the worksheet.
3. Develop the fundamental research/evaluation question(s). These question(s) should be directly related to the purpose and focus of the research/evaluation project. Write out this research/evaluation question (point 6), using clear and specific language.

## Worksheet 6

1. What do we want to know?
2. Why? What is the relevance of the research/evaluation to your organization and to community stakeholders?
3. Who cares? Who is interested and where does the idea originate? Is the research/evaluation of concern to most of the community, or only a special interest group?
4. How will it be used?
5. State the purpose of the research:
6. State the research/evaluation question(s):



<b>Step 3</b>	<b>Choosing a Research/Evaluation Methodology and Selecting Strategies for Gathering and Analyzing Data</b>

**REMEMBER:**

- To answer the research/evaluation question(s), you will need to work through the following steps:
  - a) Identify the information needs. What information is needed to answer the research/evaluation question(s)? From whom do you need to collect information?
  - b) Choose methods. Which methods will best answer the question?
  - c) The most commonly used data collection methods are existing records (such as medical charts, census data, meeting minutes), observations, interviews, narrative accounts, focus groups, questionnaires, journals, narrative accounts, taped interactions, self reports, and multiple procedures.
- The research/evaluation question will influence your choice of methods and strategies for collecting data.
- Understand the demands and constraints of the various research/evaluation methods. Your choice should be influenced by the requirements of each method and the ability of the method to supply the right kind of information from the right sources (people, records, situations).
- A variety of factors will influence your choice of methods and data collection procedures. Some of these factors are the ability to involve stakeholders, convenience, budget, values, ethics, time constraints, and potential uses of the research/evaluation.
- The appropriateness of any one method depends on a number of factors, including the specific question being asked, the principles of ethics, the availability of resources, and the needs of the community.
- Focus on what will best answer your research/evaluation question, whatever will give you the richest source of information.
- Use more than one method. A number of different methods can frequently be applied to the same research/evaluation question, each revealing different aspects of the issue. Ultimately, using multiple methods should produce results that converge on the same understanding.

## INSTRUCTIONS:

Use Worksheet 7 to help you to identify the information needs and possible methods for collecting this information.

1. Transcribe your research/evaluation question(s) from Worksheet 6 to column 1 on Worksheet 7. In column 2 of Worksheet 7, list all the information that could assist you in addressing each question. What do you need to answer each question? Do this (for now) without consideration for constraints of availability or feasibility.
2. Discuss which research/evaluation method is most likely to get you the kind and quality of data that you require. What might be some of the restrictions and potential difficulties with each method? Describe to each other examples of information that are collected in the course of your work, such as systematic filing of information, keeping records of meetings with clients and other activities, recording notes at meetings, tracking of hours spent on an activity, etc. Brainstorm other strategies for collecting data (e.g. observation, focus groups, interviews, questionnaires, self-reports, etc.) and decide which ones will be most suitable for this research/evaluation project. Give special consideration to the strategies that most enable active involvement of stakeholder/community groups. Fill in column 3 on Worksheet 7 with specific methods for collecting data for your research /evaluation questions.
3. The method used for generating data influences how that data will be analyzed. Select an appropriate procedure for analyzing the data collected and complete column 4 on worksheet 7.

**Worksheet 7**

1	2	3	4
<p><b>Research /Evaluation Questions:</b></p> <p>What do we want to know?</p>	<p><b>Information Needs:</b></p> <p>What do we need to answer this question?</p>	<p><b>Methods for Collecting Data:</b></p> <p>How will we get this information? What strategy will we use?</p>	<p><b>Data Analysis Procedures:</b></p> <p>What methods will we use for analyzing the data? (e.g., thematic analysis, discourse analysis, coded responses)</p>



<b>Step 4</b>	
	<b>Communicating Results</b>

**REMEMBER:**

This stage of community research/evaluation is an important and often neglected aspect of planning the research/evaluation process.

- Interpreting and communicating research/evaluation results are explicitly connected to the purpose of the research/evaluation and to the stakeholder interests, and are influenced by principles of research/evaluation ethics.
- Personal and social values influence and possibly bias interpretation of research/evaluation results.
- Communicate research/evaluation results according to the needs of each stakeholder. In other words, customize what should be communicated and how to communicate it for each group.
- Be sure to identify all those who should be informed of the results. This may include a range of people (i.e. funders, those who requested research, research sample and other participants, decision-makers, media, etc.). The goal of community research/evaluation is to change things, so the results must be made available to those who can use them effectively. This may be another community health worker who deals with similar clients in another context; it may be other practitioners dealing with the same issue in other parts of the country. It could also be program directors or policy makers who can make informed decisions based on the results of good research/evaluation.
- Suggest forums through which these groups can be reached with the results e.g. community meetings, local television programs, newspaper articles, newsletters, professional association meetings, community forums, etc. (Note: academic journals may be the least useful placement of the research report).
- A checklist for information to include when reporting results of your research/evaluation is included on the following page for your use. Add any types of information you think are important to include when communicating results. What other things should be considered? Done?

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## OUR THOUGHTS AND REFLECTIONS

### COMMUNICATING RESULTS OF COMMUNITY-BASED RESEARCH

- ◆ What should be included?
  - description of the focus and purpose of research/evaluation, research/evaluation questions
  - description of the involvement of interest groups in the research/evaluation process, including relevance of the research/evaluation to the community
  - research/evaluation methodology and data gathering and analyzing procedures and reasons for the choices
  - constraints, such as time, money, etc., that affected choices made in research/evaluation design, planning, implementation, etc. - trade-offs between ideal and real from a research perspective
  - types of analyses done, including rationale and findings
  - conclusions which may be drawn from findings - description of how the research/evaluation question may be answered and any consensus or disagreement on interpretation of results
  - limitations of the research/evaluation project
  - recommendations about the application and/or use of the research/evaluation results - what does it mean for the community, organization, etc?
  - reactions to results by various interest group representatives
- ◆ What form should reporting take?
  - executive summary only?
  - long, in-depth formal report?
  - informal written report?
  - visuals?
  - verbal presentations?
- ◆ Who needs to be informed?
- ◆ How can/will results be used?

**INSTRUCTIONS:**

1. Develop your communication strategies by completing items 1-3 on Worksheet 8 on the following page.
2. Draft and outline a communication plan for your research project under item 4 of the worksheet.



## Worksheet 8

1. Refer back to Worksheet 5 (p. 59) and review the use of results identified according to community stakeholders. Ask stakeholders to recommend (or, if they are not present, recommend for them) the format they would find most valuable (e.g. case studies, graphs, video tapes, guidebooks, etc.).
2. Identify others who would find the information useful.
3. Review the checklist for communicating results (pp. 70).
4. Draft a plan for communicating the results of your research project.



# Recommended Reading List

- Abbey-Livingston, D., & Abbey, D. (1991). Enjoying research? A "how to" manual on needs assessment. Toronto: Ministry of Tourism and Recreation, Province of Ontario.
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- Byrd, M. (1995). The home visiting process in the contexts of the voluntary vs. required visit: Examples from fieldwork. Public Health Nursing, 12, 196-202.
- Cerney, L. (1995). Youth injury prevention project (2<sup>nd</sup> report). Skeena Health unit.
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- Fawcett, S.B. (1991). Some values guiding community research and action. Journal of Applied Behaviour Analysis, 24, 621-636.
- Glanz, K., Lewis, F., & Rimer, B. K. (1991). Health behavior and health education: Theory, research, and practice. San Francisco: Jossey-Bass Publishing.
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- Neuman, W. L. (1994). Social research methods: Qualitative and quantitative approaches. Toronto: Allyn and Bacon.
- Patton, M. (1990). Qualitative evaluation and research methods. Newbury Park, CA: Sage.
- Segal, P., et al. (1995). Measuring empowerment in client run self-help agencies. Community Mental Health Journal, 31, 215-227.
- Steckler, A., Eng, E., & Goodman, R. M. (1992). Integrating qualitative and quantitative evaluation methods. Hygie X, 1991/2, 16-20.
- Wallerstein, N., & Sanchez-Merki, V. (1994). Frierian praxis in health education: Research results from an adolescent prevention program. Health Education Research, 9, 105-118.
- Windsor, R., Baranowski, T., Clark, N., & Cutter, G. (1994). Evaluation of health promotion, health education and disease prevention programs. Toronto: Mayfield Publishing Co.
- Woodward, C., & Chambers, L. W. (1991). Guide to questionnaire construction and question writing. Toronto: Canadian Public Health Association.

## SESSION 3

# Methodologies and Methods for Community-Based Research and Evaluation

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### OVERVIEW

This session prepares participants to choose methodologies and methods that are consistent with the philosophy and principles of community-based research and evaluation. The basics of community-based research/evaluation and ethics are reviewed. In addition, a methodology, and a range of research methods particularly suited for community-based research and evaluation are presented. You will have opportunities to examine this methodology and these methods and their suitability for specific research and evaluation purposes.

In this session, you will be introduced to an iterative participatory, action oriented, methodology that is particularly useful when doing community-based research and evaluation. Also, you will develop an understanding of the critical factors to consider in choosing a research method and in selecting appropriate strategies for generating data. You will examine the strengths and limitations of some of the more frequently used methods and data collection strategies, such as case studies, interviews, and focus groups. You will have an opportunity to work with peers on mini-projects where you will practice selecting methods for research and evaluation projects of interest to you and your community.

This session is not meant to be comprehensive in teaching all potential methods suitable for community-based research and evaluation, however, it will introduce you to some essential methodological concepts and issues in regard to choosing methods for community-based research and evaluation. This session will hopefully foster a healthy attitude about doing research and show you how research, practice, and change are interrelated. It will orient you to the most relevant research methods and frequently used strategies for gathering/generating data; and will provide you with suggestions about helpful resources on research methods. By the end of this session, you will have practiced choosing research methods and assessing the feasibility and suitability of different methods for a defined research and/or evaluation project.

Evaluation is a specialized form of research. Community-based evaluation and community-based research that is not evaluation share common research methodologies and methods, those that are covered in this session. Consequently, what you will learn about "research methods" or "research methodologies" (or simply "methods" or "methodologies") will be pertinent to your projects and experiences whether they are "research" or "evaluation".

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### DESCRIPTION

This session will introduce participants to an appropriate methodology and related methods for community-based research and evaluation.

The following topics will be addressed:

- review of key concepts from session 1: principles of community-based research and ethical considerations - specifically in the context of choosing methods
- differences between paradigms, methodology and methods
- specific methods for gathering data: observation, interview, focus group, journals/self-report, document review, multiple methods
- choosing methods within the context of an overall research and/or evaluation plan.

The facilitator will invite you to contribute your personal experiences with research methods and you will have the opportunity to work on a practical project, selecting methods for a community-based research or evaluation topic. Some of the activities you will participate in include:

- exercises and discussions in small groups
- mini-presentations
- discussions with the facilitator in open group.

Materials provided for participants include this workbook and some handouts. This section contains an introduction to the session, an agenda, notes on key points, group activity instructions and worksheets, information contained on overheads, a glossary of common terms as used in this session, a suggested reading list, and a session evaluation form.

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## LEARNING OPPORTUNITIES

In this session, you will have an opportunity to:

- share personal experiences with research/evaluation methods;
- review the focus of community-based research/evaluation and examine ethical considerations in the context of various research methods;
- explore the differences between paradigms, methodologies, and methods;
- explore factors which influence the choice of research/evaluation methods;
- examine choice of research/evaluation methods in the context of the over-all community-based research plan;
- practice selecting methods for a research/evaluation project of interest to you and your community; and
- practice planning a community-based research/evaluation project.

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## SESSION THREE: TENTATIVE AGENDA

- 9:00 – 9:15** Welcome, Check In, and Overview of the Day
- 9:15 – 10:00** Review of Key Concepts from Session 1 & 2: Principles of Community-Based Research/Evaluation and Ethical Considerations
- 10:00 – 10:30** An Introduction to Paradigms, Methodologies, and Methods for Community-Based Research and Evaluation
- 10:30 – 10:45** **BREAK**
- 10:45 – 11:15** Paradigms, Methodologies, and Methods *cont.*
- 11:15 – 12:00** How to Choose Methods for Community-Based Research and Evaluation Projects
- 12:00 – 1:00** **LUNCH**
- 1:00 – 1:30** Evaluation of Morning and Q&A Session
- 1:30 – 3:30** Case Study Critique and Debrief
- 3:30 – 3:45** **WORKING BREAK**
- 3:45 – 4:00** Closure and Session Evaluation

## SESSION SUMMARY

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
9:00– 9:15	15 min	<b>TOPIC 7:</b> Welcome, Check in, & overview of the day	Acquaint participants, discuss learning expectations, identify what participants can contribute.  Prompt participants to reflect on and express their experiences with various research methods, and share research interests.	Check In: *share experiences with research methods, and research interests ◦ in large group, discuss learning needs identified in pairs;	<ul style="list-style-type: none"> <li>• Learner expectations shared and matched with day's activities</li> <li>• Discussion on 'learn', 'contribute'</li> <li>• Experiences with 'research'</li> </ul>
9:15– 10:00	45 min	<b>TOPIC 8:</b> Concept review – principles of community-based research and ethical considerations	Review principles of community-based research.  Discuss characteristics of community-based research and the ethical principles to consider.	Discussion: characteristics of CBR and implications for choice of methods • review characteristics of community- based research (p 87-89) • group discussion: how characteristics of CBR influence choice of methods  Review of ethics and community-based research • read review of ethical principles and ethically questionable practices ◦ in pairs, discuss experiences of dilemmas relating to ethics and methods • bring one question about ethics to the larger group for discussion	<ul style="list-style-type: none"> <li>• Principles of CBR</li> <li>• Ethical principles</li> </ul>

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
10:00– 10:30	30 min	<b>TOPIC 9:</b> Understanding the influence of paradigms in selecting methodologies and methods	Explore differences between paradigms, methodologies, and methods, and develop awareness of inter-relatedness of these concepts.  Understand how choosing methods fits into the overall research plan.	Discussion: worldviews, research paradigms, methodologies, and methods <ul style="list-style-type: none"> <li>• facilitator presents overview of differences between paradigms of research, methodologies, and methods</li> <li>• participants explore their position in relationships to concepts presented</li> </ul>	<ul style="list-style-type: none"> <li>• Terminology</li> <li>• Interrelationships of paradigms, methodologies, and methods</li> </ul>
10:30– 10:45	15 min	<b>Break</b>			
10:45– 11:15	30 min	<b>TOPIC 9:</b> <b>continued:</b> Developing an action-oriented, participatory methodology	Explore methodological choices in community-based research	Discussion: developing an action-oriented, participatory methodology <ul style="list-style-type: none"> <li>• facilitator will give examples of participatory, action-oriented methodologies</li> <li>• form small groups; discuss how examples fit/don't fit with each participant's worldview, whether methodological examples violate principles of community-based research</li> </ul>	<ul style="list-style-type: none"> <li>• Methodological choices in community-based research</li> </ul>
11:15– 12:00	45 min	<b>TOPIC 10:</b> Choosing methods for community-based research projects	Provide overview of methods commonly used in community-based research.  Understand factors to consider when choosing methods for your research project, and practice selecting research methods based on these factors.	Read descriptions of 6 commonly used methods for collecting data (pp. 102-110)  Discussion: factors influencing the selection of appropriate research methods <ul style="list-style-type: none"> <li>• consider how characteristics of CBR and ethical principles influence choice of research methods</li> <li>• facilitator will lead discussion about how to choose a research method</li> <li>• brainstorm: other factors that may influence choice of research method</li> <li>• prioritize checklist of factors that influence method selection (p. 115)</li> </ul>	
12:00– 1:00	60 min	<b>Lunch</b>			

TIME	DURATION	TOPIC	PURPOSE	PROCESS	KEY POINTS
1:00-1:30	30 min	Evaluation of morning, Q & A			
1:30-3:30	120 min	<b>TOPIC 10: continued:</b> Case study critique	Gain experience synthesizing concepts by applying them in a case study.	Case study critique • form small groups; read case study (p. 123) & discuss	• Synthesize concepts
3:30-3:45	15 min	<b>Working Break</b>			
3:45-4:00	15 min	<b>TOPIC 11: Closure and session evaluation</b>	Summary of key learnings, closure of day.  Point out supplementary material in appendices.  Participants provide feedback on the session.	Group discussion: most important points of day  Facilitator: summary and closing remarks  Participants complete written evaluation of session	• Supplementary materials (Appendices)  • Feedback

## TOPIC 7

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### SESSION OVERVIEW

#### PURPOSE

- To have participants express their learning expectations, and identify what they can contribute to the session.
- To prompt participants to reflect on and express their experiences with various research methods, and to identify similarities and differences amongst other participants.
- To provide an opportunity to share research and evaluation interests.

#### CONTEXT

Many people are put off by the term 'research' because they either don't know very much about it, or they have had unpleasant or unrewarding experiences with experimental methods and mathematically oriented research procedures. Research can seem mysterious or irrelevant to the practical issues facing communities. It is helpful to think of research as a systematic way of gathering information about something you are interested in learning more about. In part, the research task is to apply common sense in a systematic way. The main research methods in community-based research and evaluation involve watching people and/or talking to them. Choosing appropriate methods requires consideration of ethical principles so that participants' rights are protected.

#### KEY POINTS

- Learner expectations shared and matched with day's activities
- Discussion on "learn" and "contribute"
- Articulate definitions of "community" Experiences with "research/evaluation"

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### **LEARNING OPPORTUNITIES FOR SESSION 3:**

- ◆ share experiences and perceptions of research/evaluation methodologies and methods
- ◆ review focus of community-based research and evaluation and ethical issues in the context of various research methods
- ◆ explore the differences among paradigms, methodology, and methods
- ◆ explore factors which influence choice of research/evaluation methods
- ◆ examine choice of research/evaluation methods in context of overall research/evaluation plan
- ◆ practice selecting methods for a research/evaluation project of interest to both researchers and their community.

# Learning Activity 11: Checking In

## **ENDS-IN-VIEW:**

*To provide opportunities for participants to share their experiences with different methodologies and methods.*

1. The facilitator will ask each participant to share an experience that you have had with various research/evaluation methods. Which research/evaluation method(s) are you most familiar with? Which have you experienced? Make sure to share the current research/evaluation project and identify what knowledge about research/evaluation methods you need to plan your project.
2. From this introductory activity individual expertise of group members will be identified so that other participants can utilize this knowledge as a resource while working on their research/evaluation project.
3. A list of research methods that relate directly to the research/evaluation projects that participants are working on will be generated from this discussion.

## TOPIC 8

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### CONCEPT REVIEW - PRINCIPLES OF COMMUNITY-BASED RESEARCH/EVALUATION AND ETHICAL CONSIDERATIONS

#### PURPOSE

- To review the principles of community-based research and evaluation that were presented in Session 1.
- To provide opportunities for participants to discuss the characteristics of community-based research/evaluation and the ethical principles to be considered when doing this type of research/evaluation.

#### CONTEXT

Although it is not possible to cover these issues fully in the context of this session, it is important to provide a quick review and to facilitate participants' discussions and questions about doing community-based research and evaluation.

#### KEY POINTS

- Principles of CBR&E
- Ethical principles

The characteristics of community-based research/evaluation and the ethical principles to be considered when doing community-based research or evaluation, both influence the choice of research methods to be used.

The influences and resultant choices will be covered in further detail in Topic 10.

# Learning Activity 12: Characteristics of community-based research/evaluation and implications for choice of methods

## **ENDS-IN-VIEW:**

*The purpose of this learning activity is to review the characteristics of community-based research and to discuss the implications of these characteristics for choosing methods for data collection.*

1. The facilitator will engage the group in a brief discussion about the characteristics of community-based research and evaluation by reviewing the points outlined in "Our Thoughts and Reflections", described below.
2. The facilitator will lead the group in a discussion about how the characteristics of community-based research and evaluation influence the choice of methods.

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## **OUR THOUGHTS AND REFLECTIONS CHARACTERISTICS OF COMMUNITY-BASED RESEARCH**

### **PLANNED SYSTEMATIC PROCESS**

Community-based research is a systematic process requiring researchers to carefully plan each stage. Most community workers begin research or evaluation by asking questions about their programs, the needs of their clients, the effectiveness of their work, whether new ideas are feasible, seeking solutions to existing community problems, and so on. These are potential research and evaluation activities; community-based research/evaluation formalizes the manner in which information or data is collected, analyzed, and presented as results.

### **RELEVANT TO THE COMMUNITY**

Community-based research or evaluation must have a high degree of relevance to the community. The research/evaluation should function as a useful tool that can be applied in the context of daily work activities to solve problems and help make those activities more effective and ultimately more satisfying. The research/evaluation should enhance decision-making by the end-users of the information, such as community agencies, health units, and

program managers, or should provide information that is in some other way directly useful to the community in which it is initiated.

Researchers need to ask questions, such as:

- ◆ What are the practical problems we are facing in our work in the community?
- ◆ What are some questions and concerns regarding the community and its health-related activities?
- ◆ What issues are the focus of community attention?

Questions such as these guide the selection of meaningful research/evaluation topics and provide for the development of appropriate research/evaluation questions for community-based research and evaluation.

## **COMMUNITY INVOLVEMENT**

In community-based research and evaluation, the community is actively involved in and understands the research/evaluation process. The process is driven by a collaborative partnership between the community and researchers, and tends to be multi-disciplinary in nature. At each research stage, the level of community involvement may vary, but the joint responsibility and decision-making does not. The researcher(s) and the community stakeholders share power and control of decision-making throughout the process.

In a community-based research/evaluation process, the distinction between the researcher and the researched may be minimized or eliminated. However, rather than demand equality of researcher and community participants, community-based research tends to emphasize each participant's unique strengths and their shared responsibility.

## **PROBLEM-SOLVING FOCUS**

Effective community-based research/evaluation is usually designed to illuminate and solve practical problems. This problem-solving focus means that the research/evaluation begins by identifying a problem or a practical issue that is important to the community.

The primary objective is frequently to guide decision-making, so effective community-based research/evaluation focuses on gains to the community through both the results and the research/evaluation process itself. Problem solving focuses on change by creating solutions for existing problems and identifying future actions and policies that will most likely contribute to the health of the community.

## **SUSTAINABILITY**

Community-based research/evaluation makes a lasting contribution to the community. It may lead to a new program, or information resources or the creation of community facilities. But most importantly, in contrast to orthodox research, community-based research/evaluation enhances the community's capacity, through acquired skills and knowledge, to engage in further research and evaluation.

## TOPIC 9

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### UNDERSTANDING THE INFLUENCE OF PARADIGMS IN SELECTING METHODOLOGIES

#### PURPOSE

- To explore the differences between paradigms, methodologies, and methods.
- To develop awareness of the inter-relatedness of these concepts.
- To understand how choosing of methods fits into the overall research plan.

#### CONTEXT

Researchers are influenced by the beliefs and values they have as people living in the world. The type of research in which they choose to engage and the research/evaluation questions they ask are influenced by the way they see the world and the personal explanations they give about how the world works. These beliefs, values, and explanations constitute a “paradigm” or “world view”.

The worldviews that researchers hold, strongly influence their choice of methodology for conducting research. Methodology is a framework for conducting research and is grounded in a theoretical perspective. The methodology, or theoretical framework that is chosen, further influences the decisions researchers make about the methods that they use to generate data.

Methods are tools, instruments, or ways of gathering or generating data (information). Research/evaluation methods are covered in Topic 10.

It is essential to maintain the distinctions between paradigms, methodologies, and methods, and to understand the relationship among these constructs in the research/evaluation process. Table 1 in Learning Activity 13 sets out some of these distinctions and relationships.

#### KEY POINTS

- Terminology
- Interrelationships of paradigms, and methodologies

# Learning Activity 13: Understanding your worldview and its relationship to methodologies

## **ENDS-IN-VIEW:**

*This learning activity will provide you with opportunities to examine a variety of worldviews and to clarify your own research/evaluation paradigm. Also, you will become more aware of the importance of using methodologies that are congruent with your worldview.*

1. The facilitator will provide a brief overview of the differences between paradigms of research/evaluation, methodologies, and methods by explaining how community-based researchers' paradigms or world views influence the methodology that they choose to use. The facilitator will use examples from his/her own experience as a community-based researcher, to describe his/her paradigm of research/evaluation, methodological framework, and methods generally chosen because of philosophical and theoretical orientations.
2. The facilitator will use the chart of the Characteristics of Community Based Research/Evaluation from Topic 2 & Topic 8 and Table 1 & 2 below to highlight the relationship between Paradigms, Methodologies and Methods for both research and evaluation. The related concepts of epistemology, ontology, methodology and axiology will be discussed, particularly in relation to community-based research and evaluation.
3. Participants will be provided with opportunities to explore their positions in relation to the concepts that are presented.

Table 1: Comparison of 3 Types of Research

	<b>Orthodox Research</b>	<b>Social Science</b>	<b>Community- Based Research</b>
<b>Paradigm</b>	Empiricist or positivist	Human science	Emancipatory paradigm
<b>View of Participants</b>	Subjects	Informants	Partners
<b>View of Researcher</b>	Methodologist	Facilitator	Social activist
<b>Values</b>	Objectivity	Subjectivity	Relational ontology (Dialectic of subjectivity/objectivity)
<b>Focus</b>	Facts and theories	Individual experiences	Collective understanding
<b>Purpose</b>	Empirical knowledge or Individual behavioral change	Meaning and understanding	Systemic change
<b>View of Research</b>	Collecting evidence	Explication	Transforming practice and structures

Table 2: CAE (described below) in Contrast to Other Forms of Evaluation

<b>Orthodox Evaluation</b>	<b>Social Science Evaluation</b>	<b>Emancipatory Evaluation (CAE)</b>
Participant as subject	Participant as informant	Participants as co-evaluators
Evaluator as methodologist	Evaluator as facilitator	Evaluator as social activist
Focus on individual	Focus on experience and meaning	Focus on collective
Behavioral change	Focus on understanding	Systemic change
Evaluation as collecting evidence	Evaluation as explication	Evaluation as transforming practice and structures

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## **OUR THOUGHTS AND REFLECTIONS**

How you define community-based research and evaluation will influence the methodologies that will be appropriate to use. Because we have chosen to define community-based research as an action process that focuses on change and involves community members fully in the process, we also choose to use participatory, action research/evaluation methodologies almost exclusively in our research and evaluations.

## Learning Activity 14: Developing an action-oriented, participatory framework

### **ENDS-IN-VIEW:**

*The purpose of this activity is to provide an opportunity for participants to explore frameworks in community-based research and evaluation.*

1. The facilitator will present several examples of participatory, action-oriented research/evaluation frameworks and will lead a discussion of the characteristics and assumptions embedded in these examples.
2. Working with a group of no more than four people, discuss the following questions:
  - How do the examples fit or not fit with your worldview?
  - What aspect of the presented example frameworks or models would you have the most difficulty with?
3. Consider the principles of community-based research listed in Topic 2 & reviewed in Topic 8. Are any of these principles violated in the examples that are provided?
3. Be prepared to share your opinions in the large group.