Envisioning a City without Sexual Violence: Utilizing Participatory Action Research for Action Planning

Facilitator’s Guide

A Training Curriculum by the NYC Alliance Against Sexual Assault

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Introduction

In 2008, the New York City Alliance Against Sexual Assault conducted a participatory action research (PAR) needs assessment in three NYC communities. This represented the first phase in gathering information to develop prevention projects as part of Project ENVISION, a multiyear pilot project designed to mobilize communities for primary prevention of sexual violence. This facilitator’s guide and accompanying toolkit are designed for conducting research on prevention of any issue. While many of the examples are given for sexual violence prevention, information on how to structure the activities and exercises for other topics is also provided.

This facilitator’s guide and toolkit helps examine the community issue deeply from the individual and community perspective. Through this approach community members are active in the defining and identification process of the issue. This is extremely important for primary prevention activities as the Alliance believes the more active the community involvement in discussing, defining, and researching the problem, the more effective the primary prevention planning and interventions will be.

While the Alliance believes “evidence-based” prevention models are important, it also believes that communities must be active in developing those models. This facilitator’s guide and toolkit are not about doing the exact same thing in many different communities; they are about developing jointly with communities the approach to take. They recognize that each community and each issue as it affects that community may be different. They rely on the assumption that for truly sustainable primary prevention initiatives, people and communities must be involved from the very beginning and have ownership over the process. These materials encourage more “practice-based evidence-making” and moving slightly away from overreliance on purely academic solutions.

The facilitator’s guide is laid out into eighteen modules and is coordinated around a fourteen-day training program for community researchers. The beginning of this facilitator’s guide highlights how to get started using a PAR model for primary prevention and how to best utilize this facilitator’s guide and accompanying toolkit.

Module 1 highlights how to talk about prevention and to engage with community researchers on the action research project. Module 2 explains the guiding principles of the participatory research process and discusses the necessary research reviews and research ethics that accompany participatory research. Module 3 explores the uses of secondary data sources to understand the scope of the particular issue in the community. Module 4 gives a very brief introduction to the format of the research—focus groups. Facilitating focus groups will be revisited in more depth in Module 13. Module 5 lays the foundation for research documentation which will also be covered in each tool module.

Modules 6 to 12 cover the qualitative tools that can be used in the PAR. These include listing and ranking, the strategy diagram, the problem tree, interrelationships diagram, the vignette and community mapping. Modules 13 and 14 go more in-depth into facilitating focus groups and
conducting unstructured interviews. Module 15 covers the quantitative tool of the street intercept survey.

Modules 16 to 18 represent three separate days of training that are conducted after the data collection period. Module 16 focuses on the facilitation of group data analysis and meaning-making. Module 17 focuses on reporting back the data to the community and engaging in a larger reflection cycle at the community level. Last, but most important, is Module 18, which explains how to use the participatory research for action planning to prevent sexual violence.
Getting Started

This facilitator’s guide and example toolkit are designed to help community groups conduct participatory action research (PAR) for primary prevention planning. It is important to read the entire facilitator’s guide and to look at the example toolkit before starting to plan your project.

Structure
Before getting started you will want to think about the structure of your project. Often there will be an individual or organization that is the “initiator” of the project. Thus, the project may start with the initiator but move onto a different structure once more people become involved. Project ENVISION started with the NYC Alliance Against Sexual Assault, a capacity-building organization, as the initiator but moved to a community coalition structure.

A coalition structure involves a group of community members (“community” can be defined as a geographic community as in the case of Project ENVISION or as a community of interest) who lead the project, including planning the research, feedback to and monitoring of community researchers, analyzing the data, reporting back to the community, planning for prevention and evaluation.

For more information on coalition-building, please see the Alliance’s Toolkit …

A decision to utilize another structure, such as an organizational-led or researcher-led structure, is always a possibility. This facilitator’s guide utilizes the coalition structure as the base. If using another structure, adapt the material to suit those needs.

Designing a PAR project for primary prevention
This facilitator’s guide will highlight how to design and train others to use a PAR approach to prevention planning. Use the examples given from Project ENVISION, but adapt the tools for the specific project. When developing key research questions, keep in mind which tools will help to provide answers.

Community Researchers
This facilitator’s guide is designed to train community researchers to conduct PAR for primary prevention planning. Project ENVISION trained graduate students to be the community researchers, who helped develop the tools, and collected and analyzed the data. Community researchers can be part of the coalition or they can be members of the community that are not part of the coalition or project.

There are several things to keep in mind when selecting community researchers:
1. Payment: Project ENVISION did not pay community researchers, instead it used graduate students who received credit for their work. If the project is not using student interns it is important to consider paying the community researchers. It is important for retention of community researchers to offer benefits for their participation.
2. **Screening of community researchers.** It is important to have an interview and application process for the community researchers if they are people that the community coalition doesn’t already know. This is especially true in researching sensitive topics such as sexual violence. Key questions to ask include:
   a. reasons for wanting to be a community researcher,
   b. what they hope to gain,
   c. what they are nervous or unsure about,
   d. what work/research experience they already have, and
   e. what their time constraints are.
For an issue such as sexual violence, many of the community researchers may be survivors. It is important to assess whether this project will be beneficial or too upsetting for their healing process. It is a good idea to follow a similar protocol used for selecting rape-crisis advocates, which includes: a one-on-one interview and small group pretraining with role-playing.

3. **Time constraints.** It is important to understand the time constraints of the community researchers. This is especially an issue if they are volunteering and less of an issue if they are getting paid for their research work. If using graduate student interns as researchers, be cognizant of major exam times and the end of their placement related to the research plan and schedule. It is very important that community researchers are able to make every training session. If they miss a training session there must be an opportunity for them to make up that session.

4. **From the community.** Community researchers should come from the community they will be working with. If the coalition cannot find researchers from the community it is important that the coalition train the researcher on the history and culture of the community.

5. **Speak the language of the community.** If working in a bilingual or multilingual community, it is important to recruit community researchers who have these skills. The training in this facilitator’s guide is in English so one would need to recruit community researchers that are comfortable with English. Many of the Project ENVISION tools are also available in Spanish. To get a copy of these Spanish language tools email: info@svfreenyc.org.

6. **Always over-recruit.** Recruit for 25–50% more community researchers than are in the research plan. If the plan calls for having four community researchers, recruit for five or six positions. Issues may arise that require the researchers to leave the project and it is important not to be understaffed, especially toward the end.

**Training**
This facilitator’s guide covers all aspects of the training of community researchers. A couple of important considerations prior to starting training include:

1. **Decide on the management structure:** How will researchers be supervised? How will the data-collection process be monitored? The training of the community researchers in
Project ENVISION was done by the lead training organization (the Alliance), which also took the responsibility for day-to-day management and oversight of the community researchers. A recommended structure includes:

a. **Biweekly team meetings:** This could be a half-day meeting in which representatives from the coalition, the managing organization, and the community researchers are present. The meeting could start with presentations by each of the researchers on any new focus groups, interviews, or surveys they conducted through the week. This could be followed by immediate questions that arose during this research and could wrap up by discussion on the research and support for the community researchers. These meetings can be the place where community researchers hand in their written data documentation reports. This provides a very clear structure for data documentation and ensures that community researchers are able to keep on top of the process. It also allows the community coalitions to take part in the iterative reflection on the research and provides the space for the trainer/research manager to address any questions or concerns.

b. **Community coalition meetings:** Schedule community coalition meetings every month where the researchers present all the findings to date and involve the coalition in an iterative reflection process around the data. This is highlighted in more detail in Module 2.7.

2. **Create a policy for making up training sessions:** There will likely be training sessions that community researchers are unable to attend. It is important to try to create a complete schedule with all training dates that is presented/discussed at the first session. It is also useful to have a policy in place regarding make-up sessions. Make-up sessions can be a burden on the trainer if they are overused and, thus, there should be a policy about the number of sessions researchers are permitted to miss.

3. **Provide support for researchers:** It is important to provide one-to-one support for the community researchers as a place for them to debrief with the research manager. This is especially true with sensitive topics such as sexual violence. It is important that the community researchers are able to talk about their experiences and process some of the information they are hearing. The person with whom they do these debriefings should be trained in handling these issues.
1 Primary Prevention

Overview of Primary Prevention

Planning Primary Prevention

Training on Primary Prevention:
1.1: Information about the Project (1 hour)
1.2: Introduction to the Training and Toolkit (30 minutes)
1.3: Introduction to the Issue (30 minutes)
1.4: Prevention Frameworks (2 hours, 30 minutes)
Overview of Primary Prevention

What Is Prevention?
According to the Prevention Institute, prevention is “a systematic process that promotes healthy environments and behaviors and reduces the likelihood or frequency of violence against women occurring [or public health issue].” (Prevention Connection Wiki, 2008.) According to the Merriam-Webster dictionary, to prevent “implies taking advance measures against something possible or probable,” and “to deprive of power or hope of acting or succeeding,” as well as “to keep from happening or existing.” (Merriam-Webster, 2008.) Therefore, prevention involves stopping something before it occurs.

Prevention Frameworks
The following are many different frameworks for looking at prevention. These frameworks were useful in examining sexual violence prevention and may be useful in prevention around other key issues.

The Public Health Model
Most of the current funding for prevention initiatives is given by the Centers for Disease Control and Prevention (CDC), the United States public health institution. The CDC and many practitioners of primary prevention utilize the public health model as a guide for prevention programming.

Figure 1: The Public Health Model

(Source: CDC, 2008.)

The public health model (Figure 1) begins with defining the problem. This often involves research, and is crucial for understanding how to prevent the problem. The second step is to identify risk and protective factors. A risk factor is something that’s likely to increase the chances that a particular event will occur. Protective factors are the opposite—they lessen the likelihood of negative consequences from exposure to risk. The model is used to identify
potential risk and protective factors for perpetration of sexual violence. The third step in the model is to develop and test prevention strategies, and the last step is to scale-up effective strategies.

The public health field recognizes three levels of prevention: primary, secondary, and tertiary.

1. **Primary Prevention**: Includes activities to inhibit the development of a disease or condition before its onset. Using a sexual violence example, this includes activities that take place before sexual violence has occurred to prevent initial perpetration or victimization.

2. **Secondary Prevention**: Activities are aimed at early disease detection, thereby increasing opportunities for interventions to prevent progression of the disease and emergence of symptoms. An example in the sexual violence field is the immediate rape-crisis response after violence has occurred in order to manage the short-term consequences experienced by a victim.

3. **Tertiary Prevention**: Reduces the negative impact of an already established disease by restoring function and reducing disease-related complications. This could include long-term responses after sexual violence has occurred to deal with the lasting consequences for victims, or treatment interventions for sex offenders (Prevention Connection Wiki, 2008).

The public health model is rooted in collective action and sees sexual violence prevention as everyone’s responsibility. Instead of utilizing previous approaches to prevention that place responsibility on women to stop being victimized, the public health approach is to stop perpetration before it occurs and, thus, shifts responsibility back to perpetrators and society in general (CDC, 2004).

**The Ecological Model for Sexual Violence Prevention**

The ecological model for sexual violence prevention (Figure 2) explains the occurrence of an issue or condition and helps identify potential prevention strategies across four interconnected levels: individual, relationship, community, and societal. This model prompts that public health issues do not occur in a vacuum, but instead, have many interrelated factors that cause them to occur in our society. In order for primary prevention strategies to be effective, they must take into account the inter-relatedness of the different levels.

*Individual-level influences* include personal beliefs, attitudes, behaviors, or characteristics that influence health status. Factors that influence an individual’s behavior choices that lead to perpetration of sexual violence might include substance use/abuse, attitudes and beliefs that support sexual violence, hostility toward women, and childhood history of sexual abuse or witnessing of family violence (Dahlberg and Krug 2002 as cited in CDC, 2004).

*Relationship-level influences* are a person’s family, friends, and peers who have the potential to shape a person’s behaviors and range of experiences. An example might be peers that place pressure to perpetrate sexual violence.
Community-level influences are factors that increase risk based on community and social environments and include an individual’s experiences and relationships with schools, workplaces, and neighborhoods (CDC, 2004). This can include policies and environments that tolerate sexual violence.

Societal-level influences include larger scale influences on health, such as economic policies, or religious and cultural beliefs. In this example, these are larger, macro-level factors that influence sexual violence, such as gender inequality, religious or cultural belief systems, and social norms that create or sustain a society that is tolerant of sexual violence (CDC, 2004).

The Spectrum of Prevention

The spectrum of prevention (Figure 3) identifies multiple levels of intervention that encourage practitioners to move beyond the perception that prevention is solely about teaching healthy behaviors.

The six levels of the spectrum of prevention include: Strengthening individual knowledge and skills; promoting community education; educating providers; fostering coalitions and networks; changing organizational practices; and influencing policy and legislation.

These levels are complementary and, when used together, result in greater effectiveness than would be possible by implementing a prevention strategy on any level on its own (Prevention Institute, 2008). This framework allows for comprehensive programming that can address the multilevel factors contributing to the issue.
**Community Readiness Model**

Community readiness is the degree to which a community is prepared to take action on a health or social justice issue (Oetting, *et al.*, 1995). The community readiness model (Figure 4) is a method for assessing a community’s readiness to develop and implement prevention programming (Tri-ethnic Center for Prevention Research, 2008). It can be used as a research tool to assess readiness across a group of communities or as a tool to guide prevention efforts in a single community.

Community readiness does not mean that some communities are ready while others are not. Rather, communities differ in the degree to which they are ready for action. If a community is at a low level of readiness, efforts will need to be made toward improving the level of readiness. If a community is at a mid- or high-level, that community can begin designing an action agenda.
Assessing community readiness for primary prevention of sexual violence was a key component of Project ENVISION. After conducting a literature review and interviews with researchers and practitioners, five factors were identified as indicators of readiness for primary prevention of sexual violence. These factors are applicable to other public health issues, as well:

1. **Key champion(s):** Community leader(s) who are committed to prevention and have interest in supporting the prevention demonstration project;
2. **Supportive climate:** Significant segments of the community express support for prevention efforts and feel that prevention is the community’s responsibility; community members are actively involved in implementing, evaluating, and improving prevention efforts;
3. **Potential for a strong, action-oriented coalition:** A successful community-mobilization project depends on a strong coalition, advisory group, or network of diverse leaders who possess problem-solving skills, community influence, and are able to take action;
4. **Community cohesion:** A cohesive community is one where, “there is a common vision and a sense of belonging; the diversity of people’s backgrounds and circumstances is positively valued; and strong and positive relationships are developed in the workplace, in schools, and within neighborhoods.” (See Community Selection Manual)
5. **Resources for primary prevention:** Any broad community change effort requires resources—in the form of human, financial, physical, and other capital. Particularly needed are resources that come from reliable local sources that are expected to provide ongoing support, as well as a commitment to resource development.

**Community Development Model**

The community development model (Figure 5) is action that helps people to recognize and develop their ability to organize to respond to shared problems and needs. It encourages the utilization of community assets to promote social justice and help improve the quality of community life (Scottish Community Development Centre, 2008). One aspect of a community development approach is community mobilization. In Project ENVISION, community mobilization refers to the organization of community members for the purpose of developing and implementing prevention programs that are tailored to specific community conditions.

**Figure 5: Community Development Model**

(Source: Scottish Community Development Centre Website—scdc.org.uk)
The framework of Project ENVISION is strengths-based and opportunity-focused and influenced by the community development framework. To succeed in a prevention initiative and progress toward a positive vision—such as a city where sexual violence is no longer perpetrated—requires a shift away from focusing on problems, toward recognizing inherent opportunities, where the final outcome is a healthier, more equitable community. This facilitator’s guide and toolkit seek to build on existing strengths and work within inherent interests of communities.
Planning Primary Prevention

This facilitator’s guide and toolkit closely follows the public health model of primary prevention and will guide and assist, step-by-step, through the first three steps of the model:

**Defining the Problem/Issue:** This facilitator’s guide and toolkit allows examination of the issue more deeply from both the individual and the community’s perspective, an approach in which community members are active in the defining and identification process. This is extremely important for primary prevention activities, as the more active the community involvement in discussing, defining, and researching the problem, the more effective the primary prevention planning and interventions will be.

**Identifying Risk and Protective Factors:** This guide and toolkit allows communities to utilize participatory tools to identify community-specific risk and protective factors as well as opportunities for intervention at multiple levels of the spectrum of prevention. This process helps to narrow the focus and priorities for prevention in a community.

**Develop and Test Prevention Strategies:** This guide and toolkit gives communities and coalitions the tools with which to start talking about different primary prevention strategies. It provides the who, what, when, where, why, and how of potential prevention strategies in the community. What this facilitator’s guide and toolkit do not do is prescribe a set of prevention interventions. The Alliance believes that an effective community prevention strategy depends on the active involvement of that community and the assets and resources available.
Training on Primary Prevention

The curriculum presented is a guideline to use when training community researchers but can also be used for developing other presentations to the community. The outline and time allowances are suggested and should be adapted based on individual circumstances. All of the training components of this guide assume the logistical details of the participatory action research project has been fully planned out before engaging in training.

1.1 Introduction to the Project

Learning Objectives
By the end of this session, participants should:

- Understand the goals and objectives of the project,
- Learn the project structure, and
- Understand the history of the project.

Materials
- Microsoft PowerPoint presentation

Preparations
- Develop PowerPoint presentation for project

Time
- 1 hour

Learning Activities

Activity 1: Project Presentation and Discussion

The training of community researchers should begin with a presentation on the project background and overall project goals. The following topics should be covered in the presentation:

- The history of the project: What is the background or history that lead to development of the project?
- The reason for the project: Why does this issue require prevention?
- The timeline and phases of the project. For example, in Project ENVISION, the following table was given to participants to highlight the phases of the project:
The presentation should then highlight each phase more in-depth and how the community researchers will be involved.

The presentation should also talk about the methodology, or how the communities were selected.

It would be useful to present a logic model that details the goals and outcomes of the participatory action research project.

It is important to highlight the structure of the project.

Lastly, allow space for participants to ask questions.

Facilitator’s Note: For more details on how to plan these project components, see the “Planning to Use Participatory Action Research” section of Module 2.
1.2 Introduction to the Toolkit

Learning Objectives
By the end of this session, participants should be familiar with the layout of the toolkit and have an overview of the training schedule.

Materials
- Each participant should have a complete copy of the accompanying toolkit
- Handout: Training schedule

Preparations
- Training facilitators should spend several days developing the toolkit and the facilitator’s guide (see introduction).
- Photocopy and hand out the training schedule to participants

Time
- 30 minutes

Learning Activities

Activity 1: Learning about the Toolkit (Presentation)

This is a presentation outline to be edited and changed according to each individual project. It is important ascertain that participants have a complete toolkit and can look through it during this presentation.

Overview
- Highlight that this is a modular toolkit and each module has several sessions. Each of these sessions can last anywhere from 15 minutes to several hours.
- Spend time looking at the table of contents.
- Have participants view some of the participatory tools so that they notice commonalities across tools, including: 1) introduction to the tool, 2) instructions on how to facilitate the tool, and 3) guidelines on how to organize the data for analysis and interpretation.
- Highlight that participants will have plenty of practice field-testing these tools during the course of the training.

The Introductory Modules
- Discuss the first module that will be covered.

The Quantitative Tools
- If your project includes both quantitative and qualitative data collection, highlight the quantitative tools now and note when the participants will be trained on those sections.

The Qualitative Tools
• Show participants where in the toolkit they can find the qualitative tools.

The Data-Collection Format
• Briefly explain that the participatory tools will be used in either an interview setting, a focus group or, in the case of the street intercept survey, outdoors in the community (or another format that you choose for your project
• Show participants where in the toolkit to find out more information about these formats.

Analysis, Interpretation, and Action
• Highlight to participants the last sections of the toolkit on analysis, interpretation and action planning.

Activity 2: Review of the Training Schedule

Training Schedule
• It is important to develop a complete training schedule for participants AHEAD of the first session so they can plan to attend all training sessions.
• Highlight the dates set aside for field-testing and for data collection.
• Print the locations of each training day and the start and finish time on the schedule.
• Reiterate to participants that they should be on time to trainings and the policy for missing training days (see “Getting Started” section).

Questions
• Provide space to explore questions on either the structure of the toolkit or the training schedule.
• It is best to have participants hold any tool-specific questions until you get to that module in the training.

Facilitator’s Note: One of the most important things to do throughout the course of the training is refer participants back to the toolkit. It is important that they regularly refer back to the toolkit between trainings and that they use it as a resource.
1.3 Introduction to the Issue

Learning Objectives: By the end of this session, participants should be familiar with the definitions and concepts related to the issue you are exploring.

Materials:
- Each participant should have a complete copy of Module 1 in the accompanying toolkit.
- Flipchart paper
- Markers

Preparations:
- Flipchart paper with the heading “What is [topic] (i.e., sexual violence, HIV/AIDS, racism, etc.)?”
- Flipchart paper with the heading “[Organization/Coalition definition of Issue] (i.e., Alliance Definition of Sexual Violence)” (do not show this flipchart paper until partway through activity 1)
- Markers for participants

Time: 30 minutes

Learning Activities

Activity 1: What Is [Issue]?

Prepare a flipchart paper with the heading “What is [issue] (i.e., sexual violence)?” Explain to participants that we are working to prevent the issue, but first we need to discuss what it is. Ask participants the question “What is [issue]?” Have participants list their answers on the flipchart paper. You can probe for discussion by asking additional questions, such as, “What does [the issue] include?” “How can we know whether to call something [the issue]? What criteria does it need to fulfill?”

Once all participants have listed their answers, begin by examining the answers and asking “Are some of the answers on the page similar?” “Which of the answers are the same thing?” Have participants view the similarities and differences in the answers.

A good working definition of prevention is necessary. Show participants the flipchart paper with the organization or coalition’s definition of the issue. Point out participant ideas that are incorporated into the definition. Ask participants what they think. Discuss whether to use this definition of the issue for the project or if changes need to be made.
1.4 Prevention Frameworks

Learning Objectives: By the end of this session, participants should:

- Understand the history of the issue in their specific place,
- Be able to define prevention of the issue,
- Understand various prevention frameworks, and
- Become familiar with the prevention framework being used.

Materials:

- Each participant should have a complete copy of Module 1 (in accompanying toolkit).
- Flipchart paper
- Markers
- PowerPoint

Preparations:

- Organize leaders from the issue field to come in and talk about the history of the issue/movement. This should be an informal discussion with chairs organized in a circle and the leaders talking about how the issue/movement started (and/or how people became involved in prevention around the issue) and its trajectory.
- Have many markers available for participants to use.
- Prepare flipchart paper with the title: “What is prevention?”
- Develop and upload “Prevention Frameworks” PowerPoint presentation.

Time: 2 hours, 30 minutes

Learning Activities

Activity 1: History of the Issue (1 hour)

Arrange ahead of time to have two to three leaders from the issue field/movement to come and speak about how the movement was started in your specific place (for example, for sexual violence, have a rape crisis counselor come in and talk about the rape crisis movement and its work on prevention). This should be an informal discussion in which participants are free to ask questions and to learn about the history of the movement. Ask the leaders to focus on:

- How they came to be involved in the movement,
- What precipitated or spurred the movement to start (or specific actions to be taken),
- What the original goals of the movement were,
- What the movement has accomplished for women, men, and children in the last 30 years, and
- The current issues involved in the field.

Thank the leaders for spending time sharing their experiences.
Activity 2: What Is Prevention? (20 minutes)

Prepare a flipchart paper with the heading “What is prevention?” Explain to participants that understanding the purpose and meaning of prevention is very important. Ask participants the question “What is prevention?” Have participants list their answers on the flipchart paper. Probe for more discussion by asking additional questions such as, “How does time fit into the definition of prevention—can different things be prevented at different times?” (These questions are aimed to prepare participants for the discussion of primary, secondary and tertiary prevention.) “Who is [issue] prevention aimed at (i.e., who is sexual violence prevention aimed at)?” “What are different avenues to prevention of [issue]?” Ask participants to point out any similarities between answers.

Now tell participants that many of the answers they gave fit into different frameworks for prevention, which they will cover in depth.

Activity 3: Prevention Frameworks Presentation/Discussion (1 hour, 30 minutes)

The following are ideas to include in the presentation and discussion of prevention. The specific issue field may have very different frameworks/theories for why the issue occurs. Explore these during the presentation or utilize the general prevention frameworks listed in the “Introduction to Primary Prevention” at the beginning of this module.

Below is an example of a PowerPoint presentation that was developed for this section by the Alliance:

Slide 2: What Is Prevention?
• According to the Prevention Institute, prevention is “a systematic process that promotes healthy environments and behaviors and reduces the likelihood or frequency of violence against women occurring.” (Prevention Connection Wiki, 2008.)
• To prevent “implies taking advance measures against something possible or probable;” “to deprive of power or hope of acting or succeeding;” and “to keep from happening or existing” (Merriam-Webster, 2008).

Slide 3: Focus on Sexual Violence Prevention
• Funding for rape crisis programs has shifted to an increasing focus on prevention.
• The field has responded and is in an intensive and creative phase to get back to the roots and work to end sexual violence before it ever occurs.
• The rape crisis programs and the state and local coalitions and alliances are leading this effort in coordination with state health departments and the Centers for Disease Control and Prevention (CDC).

Slide 4: Public Health Prevention Model
• The sexual violence prevention movement is being led by the CDC, which is the United States’ public health institution.
• The public health framework is characterized by:
  ○ A population-based approach.
- Benefits for the largest group of people possible.
  - Collective action.
  - A community-oriented approach that takes the onus from victims and advocates and encourages the entire community (women, men, and youth) to prevent sexual violence.
  - Starting with research and defining the problem.
  - Identifying potential risk and protective factors for perpetration-reducing risk factors and increasing protective factors.

Slide 5: Public Health Model
This slide shows the public health model. The public health model begins with defining the problem. This often involves research and is crucial for understanding how to prevent the problem. The second step is to identify risk and protective factors. A risk factor is something that’s likely to increase the chances that a particular event will occur. Protective factors are the opposite—they enhance the likelihood of positive outcomes and lessen the likelihood of negative consequences from exposure to risk. The third step in the public health model is to develop and test prevention strategies and the last step is to scale up effective strategies.

Slide 6: The Levels of Prevention
The public health field also recognizes three different levels of prevention:
- Primary Prevention: Activities that take place before sexual violence has occurred to prevent initial perpetration or victimization.
- Secondary Prevention: Immediate responses after the sexual violence has occurred to deal with the short-term consequences of violence.
- Tertiary Prevention: Long-term responses after sexual violence has occurred to deal with the lasting consequences of violence and sex offender treatment interventions.
- This project is focused on primary prevention.

Slide 7: The Socio-ecological Model
- The ecological model explains the occurrence of violence against women and helps identify potential prevention strategies.
- This model has four levels: individual, relationship, community, and societal.
  - Examines norms, behaviors, circumstances, and attitudes at each of the four levels.
- In order for sexual violence prevention strategies to be effective, they must take into account the inter-relatedness of the different levels.

Slide 8: Socioecological Model
This is the socioecological model from the CDC’s Website. They have examined each level of the model according to sexual violence prevention:
- Individual risk factors for perpetration:
  - Being male
  - Witnessing marital violence as a child
  - Absent or rejecting father
  - Being abused as a child
  - Alcohol use
• Risk factors at the relationship level:
  o Marital conflict
  o Male control of wealth and decision-making in the family
• Factors at the community level:
  o Poverty, low socioeconomic status, unemployment
  o Associating with delinquent peers
  o Isolation of women and family
• Factors at the society level:
  o Norms granting men control over female behavior
  o Acceptance of violence as a way to resolve conflict
  o Notion of masculinity linked to dominance, honor or aggression
  o Rigid gender roles

These are potential factors at each level. Not everyone who has these factors becomes a perpetrator. This is where protective factors come in.

Slide 9: Spectrum of Prevention
• Developed by the Prevention Institute: preventioninstitute.org
• Identifies multiple levels of intervention and encourages people to move beyond the perception that prevention is about teaching healthy behaviors.
• Six levels for strategy development:
  o Strengthening individual knowledge and skills
  o Promoting Community Education
  o Educating Providers
  o Fostering Coalitions and Networks
  o Changing Organizational Practices
  o Influencing Policy and Legislation

Slide 10: Spectrum of Prevention, Continued
• These levels are complementary and when used together produce a synergy that results in greater effectiveness than would be possible by implementing any single activity.
• At each level, the most important activities related to prevention objectives should be identified.
• As these activities are identified, they will lead to interrelated actions at other levels of the Spectrum.

Slide 11: Spectrum of Prevention, Continued
This slide highlights the six levels of the spectrum of prevention.

Slide 12: Community Readiness Model
• The community readiness model is an innovative method for assessing the level of readiness of a community to develop and implement prevention programming. It can be used as both a research tool to assess distribution of levels of readiness across a group of communities or as a tool to guide prevention efforts at the individual community level (Tri-ethnic Center for Prevention Research, 2008).
Community readiness is the degree to which a community is prepared to take action on a particular health or social issue (Oetting, et al, 1995).
Interventions must be challenging enough to move a community forward, but efforts that are too ambitious are likely to fail because community members will not be able to respond (Plested, et al, 2005).

Slide 13: Community Readiness Model
This slide highlights the nine stages of community readiness:
- Denial/resistance (“sexual violence does not exist in the community”)
- Vague Awareness (“maybe it exists?”)
- Preplanning (“sexual violence does exist and is a problem”)
- Preparation (“something should be done about sexual violence in the community”)
- Initiation (“XYZ is being done to stop sexual violence”)
- Stabilization (“XYZ to stop sexual violence has been occurring for a while”)
- Confirmation/expansion (“UV in addition to XYZ should be done to end sexual violence”)
- High level of community ownership (“a grassroots organization to continue doing UV and XYZ will exist in this community”)

Slide 14: Community Development Framework
- Community development is action that helps people to recognize and develop their ability and potential and organize themselves to respond to problems and needs which they share. It supports the establishment of strong communities that control and use assets to promote social justice and help improve the quality of community life (Scottish Community Development Centre, 2008).
- One aspect of a community development approach is community mobilization.
  - With respect to this initiative, community mobilization refers to the organization of communities for the purpose of developing and implementing programs that are tailored to prevent a specific issue.

Slide 15: Community Development Model
Purpose—People want to live in healthy communities in which they:
- Have positive prospects for their future,
- Feel able to be who they are, and
- Experience respect, equal and fair treatment, and are free from violence.

Focus—To achieve this people want to be in a community that:
- Creates wealth and gives everyone access to its benefits,
- Cares for all its members, when they need it, throughout their lifespan,
- Provides an environment that is safe and attractive,
- Enables people to express and celebrate creativity and diverse cultures, and
- Enables everyone to participate in decision that affect their lives.

Methods—To support contribution to the creation of such a community, community development promotes:
- Opportunity for people to learn and develop their own skills,
- Those who may be excluded or disadvantaged,
- Involvement with organizations that can tackle their needs and represent their interests, and
- Engagement and dialogue between communities and agencies.

Slide 16: Alliance Model
- The Alliance has taken pieces from all of these models to create its own prevention framework. Specifically, this prevention framework follows seven principles:
  - Focused on norms change
  - Comprehensive and multidisciplinary
  - Participatory, grounded in participatory action research
  - Engaging community leaders as agents of change
  - Stage-specific
  - Solutions-based and positively focused
  - Integrated and collaborative

Slide 17: The Alliance Model
This slide graphically depicts the Alliance model, which uses pieces from other models and those unique to it (being grounded in participatory action research and community mobilization).

Slide 18: Questions?
- A lot of theoretical and large-picture frameworks for sexual violence prevention have been covered. Are there any thoughts on the models and/or frameworks?
2 Participatory Research

Overview of Participatory Research

Planning Participatory Research

Training on Participatory Research:
2.1: Introducing the Toolkit (1 hour)
2.2: Introduction to Participatory Action Research (2 hours, 20 minutes)
2.3: Research Ethics: Informed Consent and the IRB Process (1 hour, 40 minutes)
2.4: Overview of the Participatory Tools (30 minutes)
2.5: Field Supervision and Data Management: Team Meetings (1 hour)
2.6: Coalition Meetings (25 minutes)
Introduction to Participatory Action Research

Participatory Action Research
One of the cornerstones of the community development model is meaningful participation and involvement of the community. This is also a cornerstone of participatory action research (PAR), in which members of the community being studied have an active role in the research process.

Action research is a process in which learning (research) is used to enable action to be carried out more effectively and, at the same time, learning occurs through action, through lessons learned by trying (Fisher, 2004). Action research can be defined as

A process in which a group of people with a shared issue of concern collaboratively, systematically and deliberately plan, implement and evaluate actions. Action research combines action and investigation. The investigation informs action and the researchers learn from critical reflection on the action (Fisher, 2004).

Figure 6: The Action Research Model

Action research is often presented as a cyclical process with repeated cycles of planning, action, evaluation and re-planning. It is an iterative process, meaning that, unlike other applied research, the action and research can happen at the same time. Research questions may change with different cycles (Fisher, 2004), for example, beginning with a general theme such as, “what are the community conditions that lead to sexual violence?” and following with research that explores more specific questions in-depth.

(Source: Kemmis & McTaggart, 1988)
Planning to Use Participatory Action Research

Structure
Prior to beginning the participatory action research, the community group, lead organization or community coalition (depending on your structure) will need to map out some of the structural details of the research, specifically:

- The definitions of community or where and with whom you will research.

Project ENVISION began with the Alliance training RCPs to conduct key stakeholder interviews in communities across NYC to determine community readiness for prevention (see Module 1). Three communities in three distinct geographic locations were determined to have a high level of readiness. The boundaries of each community were based on Zip codes, as this is how the NYC Department of Health organizes their community research, and on input from community stakeholders.

“Community” can be defined by geographic location or by community of interest (i.e., people related to schools, or young health professionals, stay-at-home mothers, etc.). It is important to help narrow down the focus of the research by having this discussion before the research begins.

- The ‘structure’ of the participatory action research—Who will do the research? How will it be organized? Who will researchers report back to? Who will supervise researchers and facilitate reflection about the research process?

Even though this is a community-based project, it is very important to have a structure in place that everyone can refer back to. Project ENVISION was initiated by service providers but very quickly became community-led, which was supported by the community coalition structure set in place by the Alliance at the start of the project (Figure 7). The community coalition was comprised of local rape crisis program staff, community residents, and other members of the community invested in primary prevention of sexual violence.

The Alliance learned that there was little need or interest for a top-level steering committee in the early stages of the research. Each community coalition became an almost independent entity, thus eliminating the need for the steering committee. The Alliance was seen as the logistical and training organizing partner in the process and took responsibility for the training of the community researchers and any capacity-building or information requests from the coalitions.

Each coalition was different in structure. Some preferred more laid back leadership styles and co-ownership; others preferred more traditional meeting structures. The structure of the coalitions was determined by the coalition members, themselves, and any coalition-building activities were supported by the Alliance.
Institutional Review Boards: PAR Is Research

One of the major logistical components of any research project is the Institutional Review Process. An Institutional Review Board (IRB) is an administrative body established to protect the rights and welfare of human research participants recruited to participate in research activities that are conducted under the auspices of the institution with which it is affiliated. IRBs have the authority for all research activities to:

- Approve or disapprove
- Require modifications
- Assess violations
- Investigate subject complaints
- Conduct continuing reviews

Many nonprofit organizations, like the Alliance, are too small to have their own IRB. Nevertheless, the Alliance upholds research ethics and ensures that all of our studies receive approval through a pay-for-service IRB located within a nonprofit organization affiliated with the Department of Health.

Through an IRB, research projects are reviewed at one of three levels, depending on the level of risk to the human subjects. Federal guidelines define the categories of review, which are:
• Exemption
• Expedited review
• Full review (convened meeting)

One of the main IRB responsibilities is to identify and determine that risks to the research participants are minimized. The term “risk” involves two dimensions: the magnitude of harm and the probability of harm. When assessing the level of risk involved in the study, the IRB takes both of these definitions into account. The IRB must determine that risks to research participants are reasonable in relation to the anticipated benefits of the study. They must also ensure that research participants are informed of any reasonable, foreseeable risks or discomforts.

Furthermore, the IRB oversees the informed consent process of a study. *Informed consent is not a single event or just a form to be signed—rather it is an educational process that takes place between the researcher and the prospective participant.*

The basic elements of the informed consent process include:
- Full disclosure of the nature of the research and the subject’s participation
- Adequate comprehension on the part of the potential subject, and
- The subject’s voluntary choice to participate.

Every research study has an informed consent form stamped with IRB approval. The consent form must include the following categories:
- Research description
- Risks
- Benefits
- Alternatives
- Confidentiality
- Compensation
- Contacts
- Voluntary Participation

**How does an IRB fit with the Iterative Research Process of PAR?**

ANY change to a research protocol or tools must be approved by the IRB through a modification process. How does this work with the iterative PAR process in which tools and the data collection process are constantly changing based on the data? There are two ways in which we have sought to merge these two contradictory processes:
- Built-in flexibility to research tools (unstructured interviews and focus groups, additional questions, open formatting and structuring, etc.)
- Set times to incorporate changes through modifications. After piloting the PAR tools for Project ENVISION, the Alliance submitted modifications to the IRB for any changes made.

It is important to highlight that patience is needed throughout the process and to be cognizant of iterative changes and submit multiple changes at once to expedite amendment procedures.
Steps for applying for IRB approval for your community-based research:

1. **If you are a small community-based organization or a community group, you will need to find an IRB.** Some places to look include:
   - Hospitals: Many of the service providers involved in Project ENVISION were hospital-based rape crisis programs. One of these programs could have submitted the entire project to their IRB for approval.
   - Public Health Associations and Organizations: Larger public-health organizations have their own internal IRBs. Often, these IRBs will provide fee-for-service to smaller organizations. This may require a Memorandum of Understanding between your group and the organization or some other form of agreement as to price, protocol, etc. This is what the Alliance did for Project ENVISION.
   - Universities: All universities have IRBs. If a professor is part of your community group involved in the research, you may be able to use the university IRB.

2. **Find out the deadlines and turnaround times for submission of IRB applications.** This is very important as some IRBs only meet quarterly! Find out how much time it will take before your research can start and how quickly you need to put together the application. Always add extra time to your calculations as the IRB may have questions or request changes.

3. **Obtain the IRB application and instructions that are specific to your IRB.** Each application form will be different. If it is a hospital-based IRB it may be geared toward more clinical research but you will still have to use that form! You will also need to find out if your IRB has training requirements. Most IRBs require that the Principle Investigator and Co-Investigators (*i.e.*, people who will be getting informed consent) take an online course on research ethics (usually free and takes about three to four hours). Some IRBs will want to meet with the Principle Investigator so that they can ask questions directly. Each IRB is different and requires careful research into their specific requirements.

4. **If you have any questions, ask the IRB office OR someone that has used that IRB before.** The application and process looks daunting but it doesn’t have to be. The most daunting task is to become familiar with the language of the IRB. When in doubt about how to fill out the application, ASK the IRB office. You can also track down someone that has used that IRB for social science research (as opposed clinical research or large-scale research projects) and ask them to read over your IRB application and consent forms.

5. **Anticipate and provide information that the IRB wants to know.** IRBs will be especially concerned with the way data and the identity of research subjects will be protected. Asking for a waiver of written consent (*Number 8, below*) is a good way to protect the identity of community members as you will not have their names or any identifying information about them.

6. **All your research tools and flyers have to be submitted with the application.** Any communication/recruitment materials (flyers, invitations to focus groups, etc) for the research will have to be submitted to the IRB with the application.
7. **Carefully write consent forms (you may have different forms for focus groups, interviews and surveys, depending on your research plan).** The IRB is responsible for your consent forms and once the study is approved they will stamp the consent forms with the approval date. It is important to use these stamped consent forms in your research. Included in this facilitator’s guide are three example consent forms that were used for Project ENVISION. Use these as a starting point and adapt these for your own IRB and project.

8. **Ask for a waiver of written consent.** If you are not collecting identifying information (name, address, etc.) but are just talking to community members about prevention strategies, you may want to consider asking for a waiver of written consent. This means that participants can give you their verbal consent but will not need to sign anything—which is useful for protecting their identity. You must indicate on your IRB application if you wish to apply for a waiver of written consent and your reasons why.

9. **Find out the process for modifications to your research tools and application.** Any change to a research protocol or tools must be approved by the IRB through a modification process. Know ahead of time the policy and procedures for making modifications to your approved IRB study. Try to build flexibility into your protocol by keeping some of the research tools open (unstructured interviews and focus groups, additional questions, open formatting and structuring, etc.). You can also set specific times to incorporate changes through modifications (include this in your research schedule to make modifications after the training/piloting, e.g.).

10. **Keep renewing your IRB as long as you are working with the data.** Your IRB approval will last for 12 months from the date of the approval (not the date of submission). You will need to have an active IRB approval as long as you are collecting research or working with the data (including writing up summary reports to be shared with the communities, in the case of Project ENVISION). Renewals will last for another year, and you can renew as many times as you need to. At the time of renewal they may require a cover note or explanation for the renewal and how many people you have conducted the research with so far (and they may want this by gender and other subcategories—so keep track!)
Sample Consent Forms

Interview Informed Consent Form

Purpose
The New York City Alliance Against Sexual Assault, the city’s rape crisis programs and community members have come together to form coalitions in the Lower East Side, the South Bronx and Williamsburg to develop community-based sexual violence prevention programming. We are interested in finding out more about your community. We are conducting research with many people to find out about community assets, priorities and conditions. We are inviting you to participate in an interview to find out your views on the topic.

Duration
This interview will last approximately 1 to 1-and-½ hours.

Risks
Talking about sexual violence can make some people uncomfortable.

Benefits
This will help us to develop programming to end sexual violence in NYC.

Alternatives
The Alternative to participating in this interview is to decline participation.

Confidentiality
No one except the interviewer will know that you took part in the research. The interview will be tape recorded. The tapes will be used to write down and document the information that you share during the interview. We will not record your name or any other personal information.

Contact
If you have any questions about this study or would like to speak to someone in Spanish, please contact ___________. You may also call [the Principal Investigator] at ________. Additional comments and concerns can be addressed to [IRB office] by calling _________________.

Voluntary Participation
Your participation in this interview is voluntary.

Compensation
You will receive no payment or honorarium for taking part in this interview.

Questions
I have been given a chance to ask questions about this research project. My questions have been answered to my satisfaction.

Copy
I have received a copy of this consent form.

Consent
I have provided oral consent to participate in this interview.
Focus Group Informed Consent Form

Purpose
The New York City Alliance Against Sexual Assault, the city’s rape crisis programs and community members have come together to form coalitions in the Lower East Side, the South Bronx and Williamsburg to develop community-based sexual violence prevention programming. We are interested in finding out more about your community. We are conducting research with many people to find out about community assets, priorities and conditions. We are inviting you to participate in a focus group to find out your views on the topic.

Duration
If you agree to take part in the research, you will be in 1 focus group, lasting approx. 1-2 hours.

Risks
There is a small chance that what people talk about in the group will make you feel uncomfortable. We will not be collecting your names so that no one will know you participated in the research besides the people in this room.

Benefits
This will help us to develop programming to end sexual violence in NYC.

Alternatives
The Alternative to participating in this discussion group is to decline participation.

Confidentiality
No one except the group facilitators and the other group members will know that you took part in the research. We will not be collecting your names. Note-takers will write down opinions and how group members are behaving during the sessions. We will not record your name or any other personal things about you during the group. **We ask that everyone in this room not reveal outside the group, any information they may have heard in the group.** Even though we will ask people in the group not to reveal anything to others, we cannot guarantee this.

Contact
If you have any questions about this study or would like to speak to someone in Spanish, please contact _________. You may also call [the Principal Investigator] at ___________. Additional comments and concerns can be addressed to [IRB office] by calling ________________.

Voluntary Participation
Your participation in this discussion group is voluntary.

Compensation
We will provide snacks for this discussion group.

Questions
I have been given a chance to ask questions about this research project. My questions have been answered to my satisfaction.

Copy
I have received a copy of this consent form.

Consent
I have provided oral consent to participate in this discussion group.
Street Survey Informed Consent Form

Purpose
The New York City Alliance Against Sexual Assault, the city’s rape crisis programs and community members have come together to form coalitions in the Lower East Side, the South Bronx and Williamsburg to develop community-based sexual violence prevention programming. We are interested in finding out more about your community. We are conducting research with many people to find out about community assets, priorities and conditions. We are inviting you to participate in a short survey to find out your views on the topic.

Duration
This survey will take approximately five to ten minutes.

Risks
Talking about sexual violence can make some people uncomfortable.

Benefits
This will help develop programming to end sexual violence in NYC.

Alternatives
The alternative to participating in this survey is to decline participation.

Confidentiality
No one except the interviewer will know who took part in the research. No one will ask for names or any other identifying information during the survey.

Contact
If any questions about this study arise or anyone would like to speak to someone in Spanish, please contact ___________. The [principal investigator] at ___________ is also available. Additional comments and concerns can be addressed to [IRB office] by calling ___________.

Voluntary Participation
Participation in this study is voluntary.

Compensation
There is no payment or honorarium for taking part in this study.

Questions
I have been given a chance to ask questions about this research project. My questions have been answered to my satisfaction.

Copy
I have received a copy of this consent form.

Consent
I have provided oral consent to participate in this survey.
2.1 Introducing the Toolkit

Learning Objectives: By the end of this session, participants should be familiar with the layout of the toolkit and have an overview of the training schedule.

Materials:
- Each participant should have a complete copy of the toolkit

Preparations:
- It is important that you prepare a complete toolkit for the community researchers. Included in this facilitator’s guide is the sample toolkit that Project ENVISION used. You can adapt this and create a toolkit for community researchers that covers the topic and scope of your own PAR project. It is important that this toolkit is complete and available to participants during this session and that this toolkit also includes the detailed training schedule.

Time: 1 hour

Learning Activities:

Overview and Discussion on Toolkit (30 minutes): Walk participants briefly through the toolkit. It is important to emphasize that they should regularly refer to the toolkit throughout the training and research. Also walk participants through the training schedule. Allow time for participants to ask questions.
2.2 Introduction to Participatory Action Research

Learning Objectives: By the end of this session, participants should:

- Understand the expectations of the participatory action research training,
- Be able to define participatory action research,
- Understand the history and main uses of participatory action research,
- Understand the misuses of participatory action research, and
- Develop guiding principles for your own participatory action research.

Materials:
- Flipchart paper
- Flipchart easels
- Markers
- PowerPoint OR copies of Presentation

Preparations:
For Activity 1: Group Expectations
- Prepare flipchart paper with the question “What are your expectations for this training and for the project” written at the top. Leave room for respondents to answer.
- Have many markers available for participants to use.
- Prepare flipchart paper with the title: “Organization/Coalition expectations and objectives for the training and the project” that includes the following items in a list format (use this list to help develop your own):
  o Attend all training sessions
  o Learn to use participatory research tools
  o Conduct research in sensitive and ethical manner
  o Follow the participatory action research guiding principles (we will discuss later today)
  o Work effectively with other team members throughout the project
  o Contribute to group learning in the team and also in the larger community coalition
  o Think critically about data collected and how to help guide the program planning process
  o Have fun!

Keep this flipchart hidden until after participants reveal their expectations for the training and the project.

For Activity 2:
- Prepare flipchart paper with the question “What Is Participatory Action Research?”

For Activity 3:
- PowerPoint is needed for this presentation
For Activity 4:
- Prepare flipchart paper with the heading “Possible dangers and problems with participatory action research.”
- Have many markers available for participants to use.
- Prepare flipchart with the title “Some possible dangers and problems with participatory action research” that includes the following in a list format (you may need to put this on two sheets):
  - Going too quickly may lead to superficiality
  - Desire for only statistics and quantitative data
  - Failure to involve community members
  - Lack of rapport with the community
  - Failure to listen and lack of humility and respect
  - Seeing only part of a situation or problem and not seeing the full picture
  - Making value judgments about others
  - Generalizing based on too little information or too few informants
  - Overlooking the most marginalized in the community
  - Lecturing instead of listening and learning
  - Raising expectations in the community
  - Imposing “our” ideas, categories and values without realizing it
  - Lack of long-term commitment to doing the action projects
  - Lack of diverse stakeholder involvement
  - Does not influence policy or policymakers (stays at the local level)

Keep this flipchart paper hidden until after participants conduct their brainstorming. Utilize this flipchart to generate new ideas and to see comparisons.

For Activity 5:
- 3 flipchart easels OR several pieces of flipchart paper for each of the three groups.
- Three sets of markers

**Time:** 2 hours for all activities

**Learning Activities:**

**Icebreaker (10 minutes):**
Have participants split off in pairs of two. Tell participants to introduce themselves to their partner (name, what they do, where they live, why they choose to become involved with this project, etc.) and something unusual or unique about themselves. Have the other partner do the same. Allow 4-5 minutes for the introductions. Bring everyone back into the group and have people introduce their partner to the larger group. Do this until everyone has been introduced (4-5 minutes).

**Activity 1: Group Expectations (20 minutes)**
Trainer prepares a flipchart paper with the question “What are your expectations for this training and for the project”? Trainer asks participants what expectations they have regarding the training. Have participants write down everything they say on the flipchart paper. Then the trainer reveals the training objectives and expectations from the organization or coalition. The
trainer and participants then discuss their expectations and add other objectives if necessary. Mention that the flipcharts will be used to help evaluate the training course at the end.

**Facilitator’s Note:** This is an important session. Lack of clear expectations and objectives could lead to misunderstandings between trainers and participants later in the training course. If the expectations of the trainees do not match closely with the training plan, try to adjust the plan to better fit the needs of the trainees OR talk with the trainees that this may not be what they were thinking.

**Activity 2: What Is Participatory Action Research? (15 minutes)**
Prepare flipchart paper with the question “What is participatory action research?” and ask participants to brainstorm. Other probing questions can be “What comes to mind when you hear the words *participatory action research*?” Or “What do you think participatory action research entails?” List ideas from group on the chart paper. This activity will lead into the presentation. Throughout the presentation, you may want to reference participant ideas brought up during this activity.

**Activity 3: History & Overview of Participatory Action Research Presentation (15 minutes)**
Below is a sample presentation for this section, please adapt this for your own training, the last slide can lead directly into Activity 4. Whatever information you include in the presentation should be provided for participants in their toolkit.

Slide 1: title slide

Slide 2: History of Participatory Research—Northern Tradition
Kurt Lewin and his colleagues in organizational research developed participatory research in the 1940’s. They developed the cycle that is still widely used today. It expanded beyond organizational research to business and psychology and began to impact the research field.

Slide 3: History of Participatory Research—Southern Tradition
The participatory research field really began to take off in the 1970s after several critiques and was influenced by more radical researchers. Their critiques were that participatory research still did very little to change power balances, social norms and structural problems. They began to utilize participatory action research to explore social norms, prominent discourses and the inequitable distribution of power in society with the goal of changing the fundamental structure of society. They began to include the most “invisible” members of society in the research and challenged the research/researched paradigm. These critiques opened the door for many other voices in the participatory action research field including feminist and post-modern voices.

Slide 4: Types of Participatory Research
There are many different names and forms of participatory research including: participatory action research (PAR), community-based participatory research (CBPR), participatory rural appraisal (PRA), participatory urban appraisal (PUA), participatory learning and action (PLA), etc. We use the term participatory action research (PAR) but we recognize it as being very similar to community-based participatory research (CBPR). CBPR is used more frequently in the
field of public health and by funders while PAR is still used in the development field and internationally.

Slide 5: What Is Community-Based Participatory Research?
From the Kellogg Foundation:
Community-based participatory research is a “collaborative approach to research that equitably involves all partners in the research process and recognizes the unique strengths that each brings. CBPR begins with a research topic of importance to the community, has the aim of combining knowledge with action and achieving social change to improve health outcomes and eliminate health disparities.”

Slide 6: The Overall Action Research Model
There are many ways to present the action research model. What is important to note is that the process is iterative and circular (as opposed to linear). The first step is diagnosing or finding out about and defining a problem. This is the current phase of our project. The next phase is the action-planning phase, then taking action, evaluating and learning and perhaps re-planning and re-diagnosing. It is important to note that this entire process is participatory and should include many different voices.

Slide 7: The Research Process
This is a more detailed examination of the first phase of research. The research process involves information gathering, problem definition, instrument design, data collection, collective interpretation of results and developing action steps. This is the process that will occur this year and that you as community researchers will be involved in!

Slide 8: Principles of Participatory Research
Listed here are some main principles of participatory research. We can see that you came up with many of these during the previous exercise and some that aren’t listed here:
- Recognizes community as a unit of identity
- Builds on strengths and resources (looks at assets and not just needs)
- Facilitates partnership in all research phases
- Promotes co-learning and capacity building
- Seeks balance between research and action

Slide 9: Principles of Participatory Research Continued
- Emphasizes local relevance and the ecological (or multi-layered) perspective that recognizes multiple determinants or causes for a problem.
- Is a cyclical and iterative process
- Disseminates findings and knowledge to all
- Involves long term process and commitment

Slide 10: Discussion Questions
- What are some possible dangers and problems with participatory research?
- What are some things that researchers might do that doesn’t follow the principles of participatory research?
Facilitator’s Note: This slide leads directly into Activity 4.

Activity 4: Dangers and Problems with Participatory Action Research (20 minutes)
Prepare flipchart paper with the heading “Possible Dangers and Problems with PAR.” Ask participants “What are the possible dangers and problems with participatory action research?” Have participants list their answers on the flipchart. Once participants are finished brainstorming, compare this list with the already developed list (see preparations at beginning of this session).

Activity 5: Developing Guiding Principles (1 hour)
After the last exercise, ask the question “how can we address some of these potential pitfalls?” Explain to the participants that they are going to work in groups to come up with a list of guiding principles for conducting participatory action research. These guiding principles should address the common pitfalls and also include ethical ways to conduct research. Split participants into their teams (two people to each team) and give each team flipchart paper to write their guiding principles on. Participants will have 20 minutes for the activity and can meet anywhere in their groups.

Once groups have come back together in the larger group ask “what were the guiding principles that your group came up with?” Have each group present their guiding principles to the larger group. After the last presentation, tell the group that we want to combine all these guiding principles into one list to use from this point on. Ask the group if there are any guiding principles that are the same and can be combined. After combining principles, ask the group if the current list represents the list they want to use. Is there anything they want to add? Anything they want to change? Once finished, tell the group you will type up these principles and distribute them to everyone at the next training session. Congratulate the group on a job well done (and break here if continuing on with the module).
2.3 Research Ethics

**Facilitator’s Note:** This section may change according to your own situation; adapt the presentation to fit your needs.

**Learning Objectives:**
By the end of this session, participants should:
- Understand the main principles of research ethics in relation to PAR,
- Be able to list the main components of the informed consent process,
- Learn how to conduct an informed consent process prior to research,
- Understand how to keep the PAR process iterative within the IRB structure, and
- Understand the basics of the IRB process and its importance in conducting ethical research.

**Materials:**
- PowerPoint presentation
- Copies of consent forms
- Small note cards, one for each participant
- Pens for participants

**Preparations:**

For Activity 1: Research Ethics and Informed Consent Presentation
- PowerPoint is needed for this presentation
- Load presentation on computer

For Activity 2: Practice Introducing Self and Project
- Hand out note cards and pens to participants prior to exercise

For Activity 3: Practicing Informed Consent Process
- Area in the front of the room for participants to facilitate informed consent process with other participants in a circle facing the presenter
- Flipchart paper to write down answers to questions

**Time:** 1 hour, 40 minutes

**Learning Activities:**

**Activity 1: Research Ethics Presentation (1 hour)**
This presentation includes 21 slides.

Slide 1: Title Slide
Slide 2: Definitions
It would be useful to start out by giving a disclaimer that a lot of the language that will be presented is very technical but that this is the language of research ethics and IRBs and it would be useful for participants to familiarize themselves with this specific language.

- A human subject is an individual about whom an investigator conducting research obtains data through intervention or interaction with the individual (such as focus group, surveys, interviews, etc.) or identifiable private information (medical record review, etc.).
- Research is a systematic investigation designed to develop or contribute to generalizable knowledge.

Slide 3: Principles of Research Ethics
These are the pillars of current research ethics:
- Respect for persons: Voluntary and informed consent and protection of vulnerable populations
- Beneficence: Possible benefit to participant maximized, possible harm minimized
- Justice: Fair and equitable division of research burdens and benefits

Slide 4: Ethical Abuses Lead to Regulations
- Nazi science (1933–1945)
- Tuskegee syphilis study (1932–1972)

Note: Ask participants if they know about these two ethical abuses.

Slide 5: Principle Ethics Codes
- Nuremberg code: A set of research ethics principles for research with human subjects that came out of the trials of Nazi science. The basic tenants include:
  - Informed consent
  - The experiment should yield results for the good of society
  - Clinical trials should be based on animal experimentation
  - The research should be developed to avoid all unnecessary physical and mental suffering
  - The degree of risk should never exceed the humanitarian importance of the problem
  - The research subject should be able to drop out of the study at any time.
- Declaration of Helsinki: developed by the World Medical Association, as a set of ethical principles for the medical community regarding human experimentation. Main tenants include:
  - The rights to make informed decisions regarding participation in research, both initially and during the course of the research.
  - While there is always a need for research, the subject's welfare must always take precedence over the interests of science and society.
  - The protection of vulnerable individuals and groups calls for special considerations.
- Belmont Report: developed by the United States Health and Human Services in part to the Tuskegee Study. Main tenants include:
Respect for persons: protecting the autonomy of all people and treating them with courtesy and respect and allowing for informed consent;

Beneficence: maximizing benefits for the research project while minimizing risks to the research subjects; and

Justice: ensuring reasonable, nonexploitative, and well-considered procedures are administered fairly (the fair distribution of costs and benefits.)

- Common Rule: are regulations governing Institutional Review Boards and are the baseline standard of ethics by which any government-funded research in the US is held, and nearly all academic institutions hold their researchers to these statements of rights regardless of funding.

Slide 6: Current Ethical Rules Derived from Codes

- Well being of subject takes precedence
- Written informed consent
- Participant is free to stop at any time
- Research approved by ethics committee
- Sensitive data on individuals protected
- No coercion to participate
- Continuing review of approved research

Slide 7: Institutional Review Board

Institutional Review Board (IRB) is an administrative body established to protect the rights and welfare of human research participants recruited to participate in research activities that are conducted under the auspices of the institution with which it is affiliated. IRBs have the authority for all research activities to:

- Approve or disapprove
- Require modifications in
- Assess violations
- Investigate subject complaints
- Conduct continuing reviews

Alliance IRB is located at Public Health Solutions (formerly MHRA).

Slide 8: IRB Levels of Review

Research projects are reviewed at one of three levels, depending on the level of risk to the human subjects. The federal guidelines that define the categories of review, which are:

- Exemption
- Expedited review
- Full review (convened meeting)

This research project will be reviewed at a full IRB meeting due to the sensitive nature of the topic and the wide range of respondents we will be talking to.

Slide 9: Risk

Risk is a term used frequently in research ethics. The IRB is primarily responsible for assessing risk.
IRB Responsibilities:
- Identify risks
- Determine that risks are minimized
- Determine that “risks to subjects are reasonable in relation to the anticipated benefits”
- Determine that subjects are adequately informed about “any reasonable foreseeable risks or discomforts.”

Slide 10: Informed Consent Process
Informed consent is not a single event or just a form to be signed—rather it is an educational process that takes place between the researcher and the prospective subject.

The basic elements of the consent process include:
- Full disclosure of the nature of the research and the subject’s participation
- Adequate comprehension on the part of the potential subject, and
- The subject’s voluntary choice to participate

Slide 11: Activity
Facilitator’s Note: Conduct Activity 2 (described below) at this point.

Slide 12: Elements of Informed Consent
- Research description
- Risks
- Benefits
- Alternatives
- Confidentiality
- Compensation
- Contacts
- Voluntary Participation
  But put into language that is easy to understand (this is IRB language)!

Slide 13: Procedures for Obtaining Consent
- Subject must have the legal and mental capacity to give consent
- Sufficient opportunity is provided to consider
- The possibility of coercion or undue influence is minimized
- Language understandable to the subject population

Slide 14: Waiver of Written Consent
- Written informed consent is not necessarily appropriate for all research, especially research in the social and behavioral sciences
An IRB may waive the requirement for the researcher to obtain a signed consent form for some or all subjects if it finds
- The research presents no more than minimal risk;
- The research involves procedures that do not require written consent when performed outside of a research setting;
The principle risks are those associated with a breach of confidentiality concerning the subject’s participation in the research; and

The consent document is the only record linking the subject with the research.

Facilitator’s Note: The Alliance has obtained waivers of written consent for all our participatory action research projects and you can use our examples as precedents in your own IRB applications.

Slide 15: Special Protections for Vulnerable Populations

- Federal regulations involving human subjects research include specific protections for children, pregnant women, and fetuses, and prisoners

We will not be conducting research with any vulnerable populations

- We will work with an adult only population (18 years and older).

Slide 16: Our Informed Consent Form

- Review our informed consent forms (both for groups and individuals)
- We are asking only for verbal consent

Facilitator’s Note: Conduct Activity 3 (described below) at this point.

Slide 17: After IRB Approval: Amendments

We will have the opportunity to change any of the research through amendments to our IRB.

- ANY change to a research protocol by the principal investigator or the sponsor.
- How does this work with the iterative PAR process?
  - Built-in flexibility to research tools (unstructured interviews and focus groups, additional questions, open formatting and structuring, etc.)
  - Changes to consent form will halt all research until approved
  - Changes to specific tools will only halt their use until approved.
  - Patience throughout the process
  - Be cognizant of iterative changes and submit multiple changes at once to expedite amendment procedures.

Slide 18: Tools and Consent Form

- As they are presented to you is what will be submitted to the IRB.
  - We will make changes based on our discussion today.
- Field-testing may bring up changes that need to be made.
  - First round of changes after field-testing as needed. (includes minor changes in phrasing and major changes such as new questions, etc.)
  - Tools are designed to be flexible to respond to the iterative PAR process
  - You will have the flexibility to respond to participants and go in new directions to the research BUT you cannot change tools unless there is the built-in flexibility (unstructured tools)
  - You can skip some questions (and not ask them) but you cannot ask new questions (unless they have been approved)
Slide 19: Homework
- As a coinvestigator in the study, you will need to complete the following online course and print the course completion certificate and bring it to the next training day:
    - This course will take three hours to complete
    - You must login/register (you can return to complete modules)
    - Institutional Affiliation: put “other” and list “nonprofit”
    - Best describes your role: put “other” and list “community researcher”
    - Your discipline: Behavioral research

Activity 2: Practice Introductions (10 minutes)
Split the group into pairs. One person will introduce themselves and the research project to their partner as if they were approaching them on the street. After the introduction, the partner will write down what they liked about the introduction on a note card. Have the participants switch partners and the person that hasn’t done the introduction yet introduces themselves and the project to their new partner. Have this new partner write down what they liked about the introduction. Come back together as a group and have everyone share what they liked about the introductions. Collect the note cards and let participants know that you will type these up so that they have some guidelines and notes for the future.

Facilitator’s Note: This exercise is particularly important because participants need to feel comfortable introducing the project to complete strangers. This exercise will also help you grasp the extent to which they understand the project and whether more time should be spent on project specifics.

Activity 3: Facilitating the Informed Consent Process (45 minutes)
Have the group review both the individual and group consent forms. Ask each participant to lead the group through the entire consent process. One at a time the participants will go to the front of the room and pretend the group is a focus group getting ready to begin.

After each participant tries this, ask them and the group:
- What did you like about your introduction? What did the group think?
- What do you want to improve? What do you get stuck on? What did the group think?
Write this information down on flipchart paper for future training.

Facilitator’s Note: The participants do not need to read the consent form word-for-word but they should cover all the areas in a conversational manner. Also note whether they allow enough time for people to respond. Encourage other participants (i.e. the focus group) to ask questions and to pretend they are the research subjects. Elicit any feedback from the group on the consent form and any language they would like to change. It is also very important that participants understand they must obtain consent from everyone…this will always be the first step. Sometimes they will be obtaining informed consent from an individual and sometimes from a group. There should be separate forms for each.
2.4 The Participatory Tools

Learning Objectives: By the end of this session, participants should:
- Understand the structure of the research, and
- Have an overview of the tools they will be facilitating.

Materials:
- Blank note cards (78 blank cards will be needed)
- “Overview of Tools” handout (6 copies on colored paper) that defines each PAR tool that will be used in the research process
- “Research Questions” handout (6 copies)—you will need to create this handout based on your project’s research questions

Facilitator’s Note: Give the “Overview of Tools” and the “Research Questions” handouts to participants after the group exercise discussion.

Preparations:
- Prepare a set of note cards
  - Label each note card with a number, starting with the number 1, AND one definition from the “Overview of Tools” handout (Example: “1. A quantitative method in which a specific geographic feature (such as a block or park) is used as the sampling unit. Every eligible person that is in the sampling unit is approached to complete a survey or interview”).
  - Complete one note card for each definition and set these aside.
  - Now on another set of note cards write the following titles, one per note card (only create cards for the PAR tools you will be using in your study, defined on your “Overview of Tools” handout):
    - Street Intercept Survey
    - Scope Survey
    - Listing and Ranking
    - Strategy Diagram
    - Problem Tree
    - Interrelationships Diagram
    - Vignette
    - Interviewing (Unstructured)
    - Focus Groups
    - Community Mapping
  - Keep each set of cards separate (one set of titles, one set of definitions)
  - Create as many sets of these title cards/definition cards needed for all researchers to work in pairs, each pair using one set.
  - Create the “Research Questions” handout based on the research questions for your project. This handout will include a matrix, with the research questions listed down the left hand side and the corresponding PAR tools used to answer each questions listed across the top (see example, below).
Time: 30 minutes

Learning Activities:

Activity 1: Overview of Tools (20 minutes):
Give each team of 2 researchers a set of definitions cards/title cards. Instruct participants to match the tool description to the tool name. Give participants 15 minutes for this activity. After all teams are finished, read aloud the tool names and have teams give the definitions. Give participants the “Overview of Tools” handout and explain that these are the tools we will be using in this research.

Activity 2: Overview of Research Questions (10 minutes)
Now give participants the research questions handout. This handout highlights the research questions on the left hand side and details the tools that will answer those questions in the chart.

For example, the research questions posed by Project ENVISION in each of the three pilot communities were:
- What is the scope of sexual violence?
- What are the root causes of sexual violence?
- What are the community assets?
- What are the opportunities for prevention?
- What are the prevention priorities?

The handout should look like the one on the following page, but adapted for you research questions and tools.
The table below highlights the use of each of the PAR tools to address the research questions.

<table>
<thead>
<tr>
<th>Scope of SV</th>
<th>Street-Intercept Survey</th>
<th>Scope Survey</th>
<th>Focus Groups</th>
<th>Interviews</th>
<th>Mapping</th>
<th>Secondary Data Collection</th>
<th>Strategy Diagram</th>
<th>Problem Tree</th>
<th>Listing and Ranking</th>
<th>Interrelationships Diagrams</th>
<th>Vignette</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Conduct Scope Survey at end of each Focus Group</td>
<td>Yes</td>
<td>Conduct Scope Survey at end of mapping sessions</td>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Root causes of SV</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Community assets</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community opportunities for SV prevention</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prevention priorities</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2.6 Field Supervision and Data Management

Learning Objectives: By the end of this session, participants should:
- Understand the importance of communicating with their field supervisor, and
- Understand the structure and preparation needed for team meetings.

Materials:
- PowerPoint is needed for the presentation.

Preparations:
- Load the PowerPoint presentation on the computer

Time: 1 hour

Learning Activities:

Activity 1: Presentation and Discussion
This presentation should cover the basics of the structure, management and timeframes of the research. Key topics to cover in this presentation include:

- The research questions,
- The research schedule or timeframe,
- The data collection plan (how many people to include in the research, how many focus groups, how many surveys, etc.),
- If you plan to pilot or field-test the tools and what the field-testing schedule will be and who will be supervising and debriefing with the researchers,
- Information on supervisory team meetings,
- Information for the researchers on the coalition meetings and what to prepare for coalition, report-back meetings,
- The full training schedule with dates and times and
- Contact information for key coalition members or community members involved in the research.

Provide space for participants to ask questions and to provide feedback on the structure and timeframe.
2.7 Coalition Meetings

This module assumes a community coalition structure. If you have a different structure for the participatory action research, you can skip this module. As with all the other modules, adapt the material to suit your specific community group.

**Learning Objectives:** By the end of this session, participants should:
- Understand the structure of the community coalitions, and
- Learn how to prepare for and facilitate monthly coalition meetings.

**Materials:**
- PowerPoint is needed
- Community Data Sheet handout

**Preparations:**
- Load PowerPoint on the computer
- Develop a Community Data Sheet handout
- Make sure this handout is in the accompanying toolkit

**Time:** 1 hour

**Learning Activities:**

**Activity 1: Structure of Coalition Meetings Presentation and Discussion (25 minutes)**
In this section you can highlight the structure of the coalition meetings. For example, Project ENVISION planned to have community researchers meet every three to four weeks with their community coalition for two hours. The dates and times were chosen by the coalitions. It was planned that at these meetings, the community researchers would present the data collected to date, questions that have arisen and generate discussions with the coalitions. The plan was to use a report back template for these meetings that included the following agenda:

Report Back on Recent Community Data
- Present updated Community Data Sheet (see handout, below)
- Make enough copies for all community coalition members
- Present coalition with research documentation reports from each session/interview
  - Present one copy of documentation in a folder
  - Send electronic copies to community coalition members as requested
- Talk a bit about the process
  - How is data collection going? Did you have a great session or a really tough one?
  - Discuss with the group. Are you having problems recruiting for a specific group?

Coalition discussion
- These questions are used to generate discussion:
- Initial thoughts about the newly collected data?
- Are there any groups you would like to hear from that we haven’t already?
- Is there a way to help us with the data collection (i.e. helping set up focus groups/interviews, etc)
- Is there anything you find surprising or confusing?
- Is there anything else you want to find out?
- Based on the information we have collected so far, what are your thoughts about developing prevention programs? (go by levels of the spectrum of prevention to generate more thoughts)

Wrap-Up: Set next date and time and action plan based on discussion

This is part of the iterative or constant reflection process that is a part of participatory action research. It is important if you use the coalition model (and particularly if the community researchers are not coalition members themselves) to have regular feedback and discussion meetings with the coalition during the research.

Activity 2: How to Present Data at Coalition Meetings (35 minutes)
Develop a Community Data Sheet for your project. On the next page is a sample Community Data Sheet. Develop your own Community Data Sheet according to your research questions and the PAR tools you are utilizing throughout the research process. It is useful to include instructions (seen below, in blue) for the purposes of training the community researchers.
Community Data Sheet

Community:_________________________  Updated on: _________________

# of respondents to date: ____________

This should include ALL the respondents from all focus groups and interviews conducted to date.

Scope of Sexual Violence:

_____% CSA (n/total)  _____% Know someone (n/total)

_____% ASA (n/total)  _____% Think SV is a problem in community (n/total)

_____% IPV (n/total)  _____% believe neighbors know each other well (n/total)

_____% SV at Work (n/total)  _____% believe neighbors would intervene in a street fight (n/total)

Scope data is from the Scope Survey—record the total number of people that said ‘yes’ to experiences of the specific form of sexual violence (n) and divide that by the total number of people who completed a scope survey (total) to get a percentage.

Street Intercept Survey data is from the Street Intercept Survey—record the total number of people that said ‘yes’ to these questions (n) and divide that by the total number of people who completed these questions in the street intercept survey (total) to get a percentage. NOTE: your total can include people that completed these questions but did not complete the entire survey.

Root Causes of Sexual Violence (focus groups):
Top 3 causes of SV mentioned in focus groups:

<table>
<thead>
<tr>
<th>#1</th>
<th>Individual Level</th>
<th>Relationship Level</th>
<th>Community Level</th>
<th>Society Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>#2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>#3</td>
<td></td>
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</tr>
</tbody>
</table>

This data comes from focus groups, using the strategy diagram, listing and ranking exercises and problem trees. If they come from the listing and ranking and problem tree exercises, you will have to put them in the appropriate categories (individual, relationship, community, etc.). The #1 answer is the one given most frequently by respondents in the various exercises. You may need to group together answers that are similar for this table.
Root causes (street-intercept surveys):

_____% (n/total) Gender inequality

_____% (n/total) power and control

_____% (n/total) people viewed as exploitable

_____% (n/total) lack of education

_____% (n/total) perps not held accountable by CJ

_____% (n/total) poverty

_____% (n/total) unhealthy relationships

_____% (n/total) traditional gender roles

_____% (n/total) SV in the media

_____% (n/total) unhealthy comm. about sex

_____% (n/total) lack of communication

_____% (n/total) seen as “private matter”

_____% (n/total) alcohol and substance abuse

_____% (n/total) witnessing and experiencing abuse as a child

Observations/Notes:

This is space for the researcher to make observation/notes related to root causes of sexual violence. This can include interesting conversations, unusual root causes that are heard and any heated discussions. You can add as many notes and observations as you want.

Participant Quotes:

This is space for the researcher to include participant quotes that are relevant to the root causes of sexual violence.
Community Assets:
Top 3 community assets as identified in the community:

#1___________________________________________
#2___________________________________________
#3___________________________________________

Observation/Notes:

This data will come from both the community mapping and listing and ranking exercises. The top 3 community assets are those mentioned most frequently. Refer to the module on community mapping for a definition of community assets. Community assets named in other exercises can also be added to this section.

Participant Quotes:

This is space for the researcher to record observations/notes for the section of community assets. This can include interesting conversations about people, organizations and other assets in the community, unusual assets that are heard and any heated discussions. You can add as many notes and observations as you want.

Prevention Priorities:
Top 3 prevention priorities identified by community members:

#1___________________________________________
#2___________________________________________
#3___________________________________________

Observation/Notes:

This data will come from the listing and ranking exercise when you ask: “What forms of sexual violence are most common in COMMUNITY NAME?” and/or “Who do you think is most affected by sexual violence in COMMUNITY NAME? Data for this section can also come from the vignette exercises, the street intercept survey or other tools. In this section, we are looking for the priorities for prevention. In other words, what does the community identify as the priority (e.g. teen dating violence, child sexual abuse, workplace sexual harassment, etc)?

Participant Quotes:

This is space for the researcher to add participant quotes that are relevant to the section of community assets.
Community Opportunities and Strategies for SV Prevention (Focus Groups):

<table>
<thead>
<tr>
<th>#1</th>
<th>Strengthening Individual Knowledge and Skills</th>
<th>Promoting Community Education</th>
<th>Educating Providers</th>
<th>Fostering Coalitions and Networks</th>
<th>Changing Organizational Practices</th>
<th>Influencing Policy and Legislation</th>
</tr>
</thead>
<tbody>
<tr>
<td>#2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>#3</td>
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</tbody>
</table>

This section utilizes the Spectrum of Prevention and will provide data to the Community Coalitions for prevention planning. This data will come from all tools but specifically from the vignettes, the strategy diagram and the problem tree (the solutions flowers and/or a solutions tree). Ideas may also come up in interviews. The key is to organize the community ideas and strategies into the various levels of the spectrum. For example, if several community members have talked about having workshops with parents so that they can talk to their kids about sexual violence, you can put this under “Promoting Community Education” AND under “Strengthening Individual Knowledge and Skills”. It is ok for ideas to overlap into sections. The #1 box is for the most frequently cited answer for each level of the spectrum. This chart will also show you where you may be lacking information. You can then refocus interviews or focus groups to gather this information (by using prompts or asking questions). For example, say you are missing information on what the community thinks regarding “influencing policy and legislation” for sexual violence prevention. You may decide to focus several interviews on this topic or to use prompts in the strategy diagram or vignettes to gather this information.
Community Opportunities and Strategies for SV Prevention (Street-Intercept Surveys):

___% (n/total) early childhood approaches  ___% (n/total) family-based approaches  ___% (n/total) school-based approaches
___% (n/total) projects for substance abuse  ___% (n/total) workplace projects  ___% (n/total) public campaigns
___% (n/total) working w/men & boys  ___% (n/total) new laws for offenders  ___% (n/total) antiSV institutional policies
___% (n/total) working w/existing projects  ___% (n/total) working with the media  ___% (n/total) training youth workers
___% (n/total) training health professionals  ___% (n/total) working w/existing projects  ___% (n/total) working w/religious groups
___% (n/total) working w/other coalitions  ___% (n/total) training community members

Observations/Notes:

This is space for the researcher to add observations/notes for the section of community opportunities and strategies for SV prevention. This can include interesting conversations, possible strategies and any passionate and/or heated discussions. You can add as many notes and observations as you want.

Participant Quotes:

This is space for the researcher to add participant quotes that are relevant to the section of community opportunities and strategies for SV prevention.
Was there additional information that came up during the course of the focus groups, street intercept surveys and interviews that you think would be useful for action planning? Put this information here. Also, were there any particularly informative group sessions or interviews? You can put the graphical write-up or sections from the write-up here. Remember that the Community Coalitions will have all of the complete documentation reports and the goal is to give an overview of the research such that you can work together to direct the research so that it is most useful for action planning. We will revisit all of the data during the data analysis phase.
3 Utilizing Secondary Data

Overview of Using Secondary Data

Planning to Use Secondary Data

Training on Secondary Data:
3.1: Scope Data Sources (5 minutes)
3.2: Conducting Outreach and Searches for Secondary Data Sources (20 minutes)
Overview of Using Secondary Data

Secondary data is data that has already been collected and made available by other sources and is useful in gathering more information about a specific issue. While community level data is hard to find, there may be some sources of data that are useful for planning purposes. For example, in Project ENVISION, one of our main research questions is ‘what is the scope of sexual violence in the community’? By ‘scope’ we mean the prevalence, incidence and nature of sexual violence experienced by members of the community.

Secondary data can come in many forms including large-scale surveillance data, often collected by city agencies, to smaller community-based research reports.

Planning to Use Secondary Data

When planning to use secondary data, it is important to keep in mind:

1. What type of data you are looking for. It is easy to get sidetracked and spend a lot of time looking for anything that is available. It is good to hone right from the beginning on what type of data you would like to supplement your group’s own research.

2. It is helpful to get basic community data such as the total population in your community (if that is easily available) and other key characteristics (age breakdown, gender, etc.)

3. One of the most important things to keep in mind when considering secondary data is whether the “community” as defined (e.g., Zip code, community district number, census tract, etc.) is the same in the secondary data source. If so, use the data. If not, don’t use the data.

There are many places you can look for secondary data including:

1. **Local or state Department of Health.** They may be able to provide general community health data as well as data relevant to the issue you are researching. Best to search online first and then call to inquire about the data they have available.

2. **Your local Department of Education** may have data related to young people in the community.

3. **Other town, city, county or state agencies** may provide data that will be useful to your project. For example, Project ENVISION contacted the NYC Fire Department to see if they had data on the number of sexual assault patients transported by ambulance to hospitals in the community in the last year.
4. **Local organizations.** Send an email or reach out to local organizations to see if they have conducted their own research or know of sources they could share.

5. For an estimate of a public health issue at the community level you can use **national-level data.** For example, there is nationally representative data on the prevalence and incidence of adult sexual assault. These rates can be applied to neighborhood population numbers to arrive at a sexual violence estimate for each specific community.

   There are generally two sources for this nationally collected data: 1) the National Violence Against Women Survey (NVAWS): ojp.usdoj.gov/ij/pubs-sum/172837.htm and 2) the National Crime Victimization Survey (NCVS) at ojp.usdoj.gov/bjs/cvict.htm. Each of these sources has slightly different measurements of sexual violence. It is important that if you apply nationally representative data estimates to local population numbers that you clearly state that these are estimates.
3.1 Scope Data Sources

**Learning Objectives:** By the end of this session, participants should be familiar with the various sources for secondary data on the research topic.

**Materials:**
- Each participant should have a copy of the data sources handout in their toolkit.

**Preparations:**
- You will need to prepare ahead of time a list of sources of secondary data for the community researchers to place in their toolkit (data sources handout).

**Time:** 5 minutes

**Learning Activities:**

**Activity 1: Scope Data Sources**
Refer participants to the scope data sources in their toolkit.
3.2 Conducting Outreach and Searches for Secondary Data Sources

Learning Objectives: By the end of this session, participants should be familiar with the contact sources for secondary data and with conducting additional searches for secondary data.

Materials:
- PowerPoint is needed for this session

Preparations:
- Prepare a presentation on the different sources of secondary data for your topic and how to access them.

Time: 20 minutes

Learning Activities:

Activity 1: Conducting Outreach and Searches for Secondary Data Sources Presentation
This presentation should include:
- General community data and where to find it.
- Issue specific data sources and how to access them.
- Youth specific data sources (if this applies).
- National data sources on your topic.

Facilitator’s Note: Depending on the amount of data available for your issue, you can create a secondary data worksheet for community researchers to fill out. A sample worksheet developed for Project ENVISION is below. It is important as a facilitator to start the secondary data collection process before this training session as some sources may require personal contact and the community researchers may be new to this field. It helps if the facilitator makes an initial contact for any data that is not publically available.
Community Scope Overview: Secondary Data Worksheet (Example)

Community Name: ____________________ UHF#____________

Zip codes:____________________________ Community Board #____________

Overview:

_________ Total number of people living in (community) in 2000.

___% of residents born outside the United States.

___ % Asian _____%Black ______% Hispanic _____%White _____% Other

_______% living below the poverty line.

_____% rate their health as fair to poor

NYC DOHMH neighborhood health highlight: _____________________________

_____% of residents living and working in this county/neighborhood

_____% of residents who lived in the same house/apartment five years ago.

Prevalence and Incidence of Sexual Violence:

______% of high school aged youth reported ever being forced to have sex in (year of most recent YRBS data)

______% girls _______% boys

Using nationally representative data, it is estimated that _______________ of the residents of _______________ have been raped in their lifetime (indicate whether NVAWS or NCVS).

Using nationally representative data, it is estimated that _______________of the residents of ______________ were raped last year (indicate whether NVAWS or NCVS).

Using nationally representative data, it is estimated that ________________of the residents of ______________ were sexually abused before the age of 18 (indicate data source).

________% of women (and/or men) in ____ reported being frightened for the safety of themselves, their children or friends because of threats of an intimate partner (Community Health Survey, year).
______% of women (and/or men) in __________ reported having sustained injuries such as bruises, cuts, a black eye, or broken bones as a result of behavior of an intimate partner in the last 12 months (Community Health Survey, Year).

Response and Services:

The NYC DOE reports that ______ sexual offenses (including: ) were reported in (community) public schools by students in grades K-5.

The NYC DOE reports that ______ sexual offenses (including: ) were reported in (community) public schools by students in grades 6-8.

The NYC DOE reports that ______ sexual offenses (including: ) were reported in (community) public schools by students in high school.

Our community has ______(#) of SAFE programs at: (list hospitals).

From January 2008 to present, __________(#)) sexual assault patients were seen in our community’s SAFE programs.

According to the NYS DOH, __________(#) patients were seen in community /borough emergency departments for the primary reason of sexual assault (SPARCS data).

According to the FDNY, __________ (#) sexual assault patients were transported to emergency departments in this community.

Our community has ______ (#) of rape crisis programs at: (list programs).

From January 2008 to present, _________ (#) clients were seen for counseling at community rape crisis programs.

According to the NYPD, __________ (#) rapes were reported this year to precinct(s) in this community.

According to the NYC DOH, __________(#)) women were killed by an intimate partner in 2005 in this community /borough.

_______ (%) of these cases had children who were exposed to the femicide.

Other Data:
4 Overview of Focus Groups

Introduction

Training:
4.1 Overview of Focus Groups (30 minutes)
Overview of Focus Groups

A focus group is a group of people brought together to focus on a particular issue, so that a cross-section of ideas are represented. For Project ENVISION, focus group participants included anyone 18 years or older who is a member of the specific community. Focus groups typically include 6–8 people and last approximately 1.5–2 hours.

Traditional focus groups include a moderator who guides discussion using a set of predetermined questions: Participants generally sit around a table and discuss the questions asked by the moderator. In contrast, participatory focus groups feature activities that encourage participation and that are open and flexible to the iterative community process. Participatory focus groups also allow researchers to be responsive to the community coalitions or lead organizations initiating the needs assessment, who may request in-depth exploration of specific topics throughout the study.

Participatory focus groups will use combinations of the tools presented in this guide. All of the tools presented, aside from interviews and street surveys, can be conducted in a focus group setting.

The participatory focus group tools explained in this guide were developed by the Alliance and first piloted in our study, Bringing the Global to the Local: Using Participatory Research to Address Sexual Violence with Immigrant Communities in NYC.

Facilitator’s Note: This module is a very basic introduction to focus groups. Much more detailed information on planning and facilitating focus groups will be given in Module 13, after all the participatory tools (Modules 6–12) have been explained.
4.1 Overview of Focus Groups

**Learning Objectives:** By the end of this session, participants should have an overview and basic understanding of focus groups.

**Materials:**
- If it’s possible to find a video clip of a traditional focus group show that to participants.
- PowerPoint

**Preparations:**
- Find a short five-minute video clip of a focus group (some are available on YouTube or you may have a video of a focus group to show participants)
- Prepare to show this video clip on a computer or within your PowerPoint presentation.
- Upload “Focus Group Introduction” PowerPoint presentation

**Time:** 30 minutes

**Learning Activities:**

**Activity 1: Overview of Focus Groups: Presentation (30 minutes)**

Slide 1: Title Slide

Slide 2: Definition
- A focus group is a group of people brought together to focus on a particular issue, so that a cross-section of ideas are presented.
- In this research, members of a focus group may include anyone 18 years or older who is a member of the specific community.
- Focus groups typically include 6–8 people and last approximately 1.5–2 hours.

Slide 3: Traditional vs. Participatory
- Traditional focus groups include a moderator who guides the discussion according to a focus group guide (a set of predetermined questions)
  - Participants generally sit around a table and discuss the questions.
- Participatory focus groups include constructing activities within a focus group and being open and flexible to the iterative community process.
  - Grouping together some of the tools you will learn.
    - Activities that encourage participation.
    - Activities that build on participant responses
  - Being responsive to the community coalitions and what they want to learn.

Slide 4: Clip of Traditional Focus Group
- This is a clip of a traditional focus group held with [explain situation as best as you can tell].
  - The goal of the focus group was to find [enter goal here].
Facilitator’s Note: Spend approximately 10 minutes discussing the clip and the participants’ experiences with traditional focus groups. Be sure to reiterate that your study will utilize participatory focus groups, and that you will cover focus groups more in-depth after you explore some of the participatory tools (Modules 6–12). This activity will lead directly into module 5.

- What are your thoughts of this focus group?
- What are your thoughts of the moderator?
5 Research Documentation

Overview of Research Documentation

Planning to Document Research

Training on Research Documentation:
5.1 The Importance of Documentation (1 hour, 30 minutes)
5.2 The Basics of Research Documentation (1 hour)
Overview of Research Documentation and Planning to Document Research

Documentation is one of the most important steps in research and often doesn’t get as much attention as it deserves. Documentation includes recording what participants said in the research process. Below are several different types of documentation with the benefits and disadvantages of each.

1. Best Practice Documentation: Best practice for documentation includes following the high standards set by traditional research. Best practice includes:
   a. Audio recording all focus group sessions and interviews,
   b. Immediately transcribing word-for-word what is on the audio recording by session,
   c. Collecting and writing up the flipchart papers for each session,
   d. Including the flipchart papers write-up with the transcription of the focus group session.
   e. Including a short write-up from the community researchers of the session on their general impressions and notes about the group from their perspective.
   f. Assessing which sections of the community data sheet were covered in the focus group/interview session for planning of future sessions.
   g. Presenting data back at regular intervals to the community coalitions.

2. Second Best Option: Note-Takers: Transcription is a highly valuable way to document focus group and interview sessions but it also requires a lot of time. A 1.5-hour focus group session may take anywhere from 8–15 hours to transcribe depending on the number of participants and the structure of the session. An alternative to capturing data without audio-recording includes having a note-taker at each and every focus group and interview session. This note-taker will handwrite or type (only if this is not disruptive to the group or facilitator) as the focus group session/interview is taking place. The note-taker tries to write down as much as possible from the conversation including participants’ own phrasing and words. The note-taker can also document participant behavior, long silences, body language and other nonverbal cues given in the focus groups. It is important if there is a note-taker that they type up their notes as soon as possible after the session (ideally directly after), as the longer they wait to type up the notes, the more they will forget. The note-taker should have the facilitator look at the notes and add edits. The note-taker can also refer to the flipchart paper for reference. It is advisable to include a short reflection (half page) paper from the community researchers on the session. Community researchers can still do the last two items from the Best Practice Documentation including checking-in regularly on where they are at with the community data sheet (are they covering all the research questions?) and reporting back to the community coalitions.
3. Not advisable: Flipchart Paper Only Documentation. It is especially tempting to use only the flipchart papers for documentation of the research. This is not advisable as many of the tools will include only a couple of words to express on the flipchart paper what a participant has said. Without extra documentation it will be impossible to represent what all the participants said and the nuances and context given to their answers. Therefore, it is highly advisable that you do not rely solely on the flipchart papers for documenting the data.
5.1 The Importance of Documentation

Learning Objectives: By the end of this session, participants should:
- Understand the importance of timely documentation of participatory action research,

Materials:
- Focus group video used in Module 4
- Paper and pens or laptop computers

Time: 1 hour, 30 minutes

Learning Activities:

Activity 1: What do you remember? (1 hour 30 minutes)
Tell participants that this module is going to focus on documentation. Hand participants a pen and paper or a laptop and tell them to work individually for 20 minutes to document the focus group they saw in the video from the last training session. They should write-up the discussion as best as they can remember.

Facilitator’s Note: do not replay the video for participants. The key message from this exercise is that it is easy to forget what people say when you don’t write it down. This exercise works particularly well if there is a small time gap from when they saw the video (after lunch or the next day).

After 20 minutes bring everyone back into the larger group and ask for a volunteer to read their report. Continue on and have everyone read their reports. Now ask the group the following questions.

Allow five to ten minutes discussion for each question:
1. What obstacles did you encounter in writing up the focus group?
2. What aspects did you like about the reports of other people?
3. Do you find any part of any of the write-ups confusing or unclear? Explain?

Document the answers to questions 1 and 2 on flipchart paper.
5.2 The Basics of Research Documentation

Learning Objectives: By the end of this session, participants should:
- Develop guiding principles for research documentation

Materials:
- Flipchart paper
- Markers

Time: 1 hour

Learning Activities:

Activity 1: What is important? (1 hour)
Split the group in teams of two or three people and give each group a flipchart paper and markers. Have teams brainstorm and come up with a list of guiding principles for writing up research. Ask the group to think about the following questions while making their list:
1. What do you think is important in writing up a research session?
2. What do you think would be the dos and don’ts of writing up research?

Have teams spend 20 minutes in their groups.

Now have the groups come back together and present their guiding principles to each other. After everyone has presented, ask groups what they thought of each other’s lists. Would they add something to their list from another team? What and why?

Highlight the following Dos and Don’ts of a note-taker if they are not raised by the teams:
- Do try to capture as much as possible in the notes
- Do try to use a participants’ own words or language
- Do try to write notes on body language and the nonverbal cues
- Do try to be inconspicuous when writing notes
- Do pay attention
- Do try to highlight heated discussions or disagreements among participants
- Do try to capture personal stories and experiences
- Do type up the notes as soon as possible
- Do confer with the facilitator after the session on the notes
- Do share the information with the community coalitions
- Do be friendly and display active listening
- Don’t interrupt participants or the session
- Don’t infer meaning or emotions into the notes (just write what is said)
- Don’t distract participants (loud typing, writing, etc.)
- Observe, don’t participate
- Don’t write down people’s real names or organizations in the final typed up version
- Don’t be late
6 Listing and Ranking

Overview of Listing and Ranking

Planning to Use Listing and Ranking

Training on Listing and Ranking:
6.1: Introducing Listing and Ranking (30 minutes)
6.2: Facilitating Listing and Ranking (1 hour, 25 minutes)
6.3: Documenting the Data (20 minutes)
Introducing Listing and Ranking

Listing and ranking is a tool that utilizes the participatory research concept of reversing leadership roles where participants become experts with valuable knowledge to offer. This tool uses a democratic voting process so that every voice is heard, not necessarily only those who are loudest, most opinionate or the most talkative. Listing and ranking is used widely in participatory urban appraisal (PUA) and participatory action research projects.

The exercise begins with any question you want to explore. The participants are asked to write their ideas on a piece of flipchart paper. They are encouraged to draw symbols or pictures if they are not comfortable writing or cannot write. In some instances participants may not want to write their answers, in that case the facilitator can write the answers that participants say aloud.

When there are no more answers being shared, the facilitator moves onto the next step, asking participants to “clump” together any similar responses—those that they feel represent the same idea. Once participants have identified the distinct responses on the flipchart page, each participant will rank the three responses they believe are the most important for answering the question. Participants give three “tic marks” to the issue they think is the most important, two marks to the second most important, and one mark to the third. The facilitator will then count all the marks to determine which are the top three most important answers to the question.

Listing and ranking is particularly useful at the start of a participatory focus group. The “listing,” or brainstorming, activity allows for a range of responses to the given question. The “ranking” activity allows participants to prioritize those answers that are most important to them in answering the question.

Listing and ranking can also be utilized as a secondary activity to explore, in depth, an issue or idea raised in the previous activity. Say, for example, that a problem tree (Module 8) was conducted to find out the root causes of sexual violence and one of the root causes listed was “societal attitudes.” A follow-up exercise to gather more information would be to conduct listing and ranking with the question: “What are the societal attitudes that contribute to the sexual violence?”
Planning to Use Listing and Ranking

All that is needed to plan for the listing and ranking exercise is a set of questions you plan to use. They can be questions on anything related to the issue you are covering. It is important to select questions that:

- Can result in a list of answers,
- Generate answers that can be prioritized, or “ranked” in importance,
- Help to answer your project’s main research questions.

Project ENVISION utilized the following listing and ranking questions:

Scope:
- What forms of sexual violence are most common in COMMUNITY NAME?

Root causes:
- What are the main causes of sexual violence in COMMUNITY NAME?
- Why do you think people perpetrate sexual violence in COMMUNITY NAME?

Community assets:
- What are the strengths of COMMUNITY NAME?
- Why do you like living in COMMUNITY NAME?

Prevention priorities:
- Who do you think is most affected by sexual violence in COMMUNITY NAME?

In Module 6.2, you will be training participants how to facilitate the listing and ranking exercise. Here is the step-by-step guide for you to model during your facilitation training:

Facilitation Step-by-Step Guide

Step 1: Prepare Flipchart Paper
Prepare the flipchart paper ahead of time by writing the question at the top of the paper. Make sure to post the flipchart paper where all participants can see it and write on it.

Step 2: Explain the Activity

Example Explanation:
“We are going to start by exploring causes of sexual violence. The question for the activity is: What are the main causes of sexual violence in [community name]? We are going to start by brainstorming and listing anything that comes to mind when you hear this question. When you think of something, say it aloud for the whole group to hear and come and write it on the paper. You can write it with words or you can use pictures or other symbols. We are going to brainstorm for a few minutes and then we will look and see which of the answers we feel is most important for answering the question. So, let’s begin! What do you think are the main causes of sexual violence in [community name]?”
Step 3: Facilitate, do not Participate
You can encourage participants to write their own answers on the flipchart paper or do it for them. If you write their answers just make sure you write word-for-word what they say OR if you paraphrase make sure to check-in with the participant if that captures what they were saying. Don’t jump in with your own answers; instead, encourage participants and let them do the teaching!

Step 4: Clumping
After all the ideas have been exhausted or when your predetermined amount of time has passed, begin the next step of the exercise which is “clumping” or grouping together answers that are essentially the same thing.

This is also a participatory activity. Do not clump anything together on your own; instead ask participants “are there any answers on the paper that are the same thing? Ensure that the answers are in fact the same thing and not just vaguely similar. If they are different or represent different aspects of the same issue, do not clump them together.

The purpose of the clumping exercise is to ensure that when the time comes for voting, that participants will be voting on different responses to the question.

Step 5: Voting
After the clumping phase, explain that the voting will now take place. You might say,

“Now you’ll each vote on what you think are the most important answers to the question. Using a marker, I want you to put three marks, like this (show participants) next to the answer that is your number 1 answer, put two marks next to your second answer and one mark next to your third answer. Once everyone has voted, we will count up the marks and find out which are our three answers as a group. Again, put three marks next to your number 1 answer, put two marks next to your second answer and one mark next to your third answer. Who would like to start?”

Once all the participants have voted, have participants help you count up the number of marks next to each answer. Put this number next to the answer. Circle the top 1, 2 and 3 choices.

Transitioning and Wrap-Up
The listing and ranking is often the beginning activity and it is very easy to transition to another exercise. For example if you wanted to transition to the interrelationships diagram after the listing and ranking exercise, you could say “Now we are going to examine the top five answers more in-depth and see how they relate to each other”.

If the listing and ranking exercise is the last exercise, you can wrap-up by asking the group “does the top choice surprise you? What are your thoughts? Did you like the exercise?” Asking participants about both the content and process is a useful way to wrap-up. Finally, thank participants for their time and reiterate how helpful their participant has been.
6.1 Introducing Listing and Ranking

Learning Objectives: By the end of this session, participants should have an overview and basic understanding of the listing and ranking tool.

Materials:
- Flip chart paper
- Markers

Preparations:
- Prepare the main questions for listing and ranking that you will be using in the research.
- Put each question on the top of a flipchart paper.

Time: 30 minutes

Learning Activities for Training:

Activity 1: Learning by Participating (30 minutes)
Each of the participatory tools will start out with a ‘learning by participating’ exercise where you, as the facilitator, take the group through the tool as if they were participants in the research project. It is important to be as realistic as possible in these role-playing exercises as facilitator.

First explain to the group that they are going to participate in a listing and ranking exercise. List the question on flipchart paper and say it aloud to the group. Have participants brainstorm and say responses. Write their answers on the flipchart paper exactly as they say them. Keep going until all ideas are exhausted.

Now ask participants if any of the answers are so similar that they really mean the same thing. Clump or pair those answers together. Next, tell participants that they are going to vote for their first, second and third choices on the list to answer the question. Give a marker to each participant and have them mark their top three choices. For their first choice they will put three tick marks by the answer, for their second choice they will put two tick marks and for the third choice they will put one tick mark. Once everyone has voted, tally up the tick marks (with the highest being the #1 choice) and write the number by the answers. Together with participants, highlight which answers were chosen as #1, #2 and #3.

Conclude the exercise by asking the group “does the top choice surprise you? What are your thoughts? Did you like the exercise?”
6.2 Facilitating the Listing and Ranking

Learning Objectives: By the end of this session, participants should feel confident facilitating the listing and ranking tool.

Materials:
- Flip chart paper
- Markers
- Handout: “Listing and Ranking Questions”

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Tips for Facilitating the Listing and Ranking’ and write underneath this heading:
  - Briefly explain the exercise
  - Write the question on the top of the paper
  - State the question out loud
  - Open up for comments/discussion
  - Write down answers word-for-word
  - Check-in with participants if you need to paraphrase
  - Combine similar answers (“clumping”)
  - Explain voting process
  - Give each participant a marker
  - Have participants come up to flipchart paper and mark their top choices
  - Tally up votes
  - Wrap-up with discussion
- Make enough copies of the handout “Listing and Ranking Questions” for each participant. This handout should include the research questions that the project will be exploring.

Time: 1 hour 25 minutes

Learning Activities:

Activity 1: Explaining the Tool (10 minutes)
Post the “Tips for Facilitating the Listing and Ranking” on the wall. Walk through each step. Remind participants that the listing and ranking tool is a good first tool to use in a group session. It can also be used after other tools to gather more depth or to get wider answers. Give participants the handout “Listing and Ranking Questions” and read through the form. Highlight again to participants that the listing and ranking tool can be used to explore answers to any or all of the project’s research questions.

Activity 2: Facilitating the Tool (1 hour)
Divide participants into two groups. Choose a volunteer from each team who will be the facilitator. Have each team pick a question from the ‘Listing and Ranking Questions’ handout
and write it at the top of their flipchart paper. Have each facilitator begin the exercise with their team. Monitor each team and take notes for feedback. After 10 minutes, stop the activity and ask each facilitator how they felt. Provide feedback. Now switch facilitators in each group and continue with the exercise for 10 minutes. Once the 10 minutes is up, stop the groups and gather feedback from your facilitators and give your comments. Continue this way until everyone in the group has had a chance to facilitate for 10 minutes. If the group finishes the exercise before everyone has had a chance to facilitate then start again with a new question.

**Activity 3: Facilitating the tool with another group** (15 minutes)
Now mix up the teams and separate into larger groups, selecting one person to facilitate a new listing and ranking question in each group. Allow the groups to go for 15 minutes. Then stop the groups and move onto Module 6.3.
6.3 Documenting the Data

Learning Objectives: By the end of this session, participants should feel be able to organize and document the listing and ranking data.

Materials:
- Flip chart paper used in the previous listing and ranking exercises
- Markers
- Handout: “Listing and Ranking Write-Up Examples”
- Flipchart paper

Preparations:
- Make enough copies of the handout “Listing and Ranking Write-Up Examples” for each participant. You can refer to the examples provided here.
- Prepare flipchart paper with the heading: “Documenting the Data” and under that write:
  - Label ALL papers IMMEDIATELY with:
    - Date of activity
    - Location of activity (e.g., YMCA, Lower East Side)
    - The number of participants
    - Facilitator’s Name
    - The number of pages (write “1 of 3 pages,” etc.)
  - Keep papers for write-up
  - Tape-record session (if you decide to tape-record)
  - Note taker to take notes during activity
  - Write up research documentation report within 2 days after the group.
  - After write-up, give original flip chart paper and tapes to research manager (or specify person’s name)

Time: 45 minutes

Learning Activities:

Activity 1: Labeling (10 minutes)
Have each team gather all their listing and ranking papers. Explain to them how to label the papers by going through the “Organizing the Listing and Ranking Data” flipchart. Have participants label their papers. Observe the labeling and provide suggestions as needed.

Activity 2: Writing-Up the Data (10 minutes)
Give participants the handout “Listing and Ranking Write-Up Examples,” going through each one. Tell participants that these are examples of how to write-up the flipchart data (they should also write-up the conversations). Answer any questions that participants may have. Emphasize that they need to take notes of the discussion that took place during the activity and to write that up as well.
**Listing and Ranking Write-Up Examples**

**Example 1:** From Project ENVISION.

```
“What are some common forms of Sexual Violence in the South Bronx?”

<table>
<thead>
<tr>
<th>Common forms of sexual violence: RANKED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sexual Harassment: 3</td>
</tr>
<tr>
<td>Unwanted Physical Touching: 2</td>
</tr>
<tr>
<td>*Marital Rape: 6</td>
</tr>
<tr>
<td>*Teen Dating Violence: 11</td>
</tr>
<tr>
<td>Attempted/Completed Rape: 2</td>
</tr>
<tr>
<td>Drug Facilitated Sexual Assault: 2</td>
</tr>
<tr>
<td>*Prostitution (Forced + other): 4</td>
</tr>
<tr>
<td>Female Genital Mutilation: 0</td>
</tr>
<tr>
<td>Pre-meditated/Contemplating: 0</td>
</tr>
</tbody>
</table>

Sexual Harassment
(Looks/Body language by Men toward Women and Children)(Verbal Abuse)

Looks/Body language by Men toward Women and Children

Verbal Abuse

Physical Touching

Marital Rape

Teen Dating Violence

Rape (Unwanted penetration with object(s))

Drug facilitated Sexual Assault

Forced Prostitution (Pimping)

Pimping

Unwanted penetration with object

Female Genital Mutilation/Cutting

Stalking -> Leading to Rape (Voyeurs; Peeping Toms)

Voyeurs; Peeping Toms
```
**Example 2:** From the Alliance’s Youth Action Council. Note the write-up of discussion from the session.

<table>
<thead>
<tr>
<th>What is sexual violence??</th>
<th>Notes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Physically or verbally making someone uncomfortable /// /// = 8</td>
<td>When doing the clumping of their answers, participants thought that there was a difference between “trying to force sexual actions on someone” and “rape”. However, after a brief discussion with the facilitator they concluded that all their answers were actually different from each other.</td>
</tr>
<tr>
<td>Inappropriate comments with sexual content /// = 3</td>
<td>When it comes to prostitution, one of the students referred to it as “forcing someone to have sex for money”. They had a brief discussion on trafficking.</td>
</tr>
<tr>
<td>When someone tries to force sexual actions on someone /// /// /// = 9</td>
<td>In the context of sexual violence a couple of students thought that “physically or verbally making someone uncomfortable” was a more general idea of what SV is, and that included all the other answers.</td>
</tr>
<tr>
<td>Rape /// /// /// /// // = 14</td>
<td></td>
</tr>
<tr>
<td>It is a disease that spreads among young people // = 2</td>
<td></td>
</tr>
<tr>
<td>Prostitution /// = 3</td>
<td></td>
</tr>
<tr>
<td>Child sexual abuse/incest /// = 3</td>
<td></td>
</tr>
</tbody>
</table>
7 Strategy Diagram

Overview of the Strategy Diagram

Planning to Use the Strategy Diagram

Training on the Strategy Diagram:
7.1: Introducing the Strategy Diagram (45 minutes)
7.2: Facilitating the Strategy Diagram (1 hour, 20 minutes)
7.3: Documenting the Data (20 minutes)
Overview of the Strategy Diagram

In the strategy diagram, participants begin by discussing the causes of the issue or problem you are exploring, and then discuss opportunities for prevention at the individual, relationship, community, and society levels (based on the Ecological Model). You can transition from a listing and ranking exercise to the strategy diagram, if you’re listing and ranking exercise asked a question such as, “What is the most common form of [issue/problem] in the community?”

Participants start at the left and brainstorm responses to each question as a group. This provides an opportunity for group discussion about concrete steps for action.

| Listing and ranking goes here | What do you think causes ________? (insert from listing and ranking) | How can ________ be prevented with individuals and in relationships? | How can ________ be prevented in communities and society? | How can we implement these strategies in COMMUNITY NAME? |

The development of the strategy diagram is based on research by Moser and McIlwaine (2000) on participatory urban appraisal techniques for violence prevention. The authors explain that “coping strategies refer to the short-term measures people have to take to avert violence. Solutions are usually longer term and tend to be associated with actions of outside agencies and organizations” (Moser and McIlwaine, 2000). The strategy diagram was developed to be both specific in its focus and comprehensive in its conception of prevention strategies.

This research tool allows participants to think about prevention beyond the common, automatic responses to the question of “how to prevent,” which often focus only on response strategies rather than on prevention. This tool allows participants to identify an alternative terminology that encourages innovative and positive solutions in different areas: education, outreach, and awareness.
Planning to Use the Strategy Diagram

The facilitator’s role in the strategy diagram exercise is crucial in initiating the discussion, encouraging participation, and moving through the different strategy boxes. During discussion, facilitators become *observers* and do not interfere except to facilitate discussion.

In Module 7.2, you will be training participants how to facilitate the strategy diagram exercise. Here is the step-by-step guide for you to model during your facilitation training:

**Facilitation Step-by-Step Guide**

**Step 1: Prepare Flipchart Paper**
Prepare one flipchart paper *per box* on the strategy diagram. The papers should be placed next to each other as they are in the strategy diagram. Make sure to post the flipchart paper where all participants can see it and write on it.

**Step 2: Explain the Activity**
Begin the exercise by explaining the activity.

**Example Explanation:**
“We are going to explore opportunities for sexual violence prevention in [community name]. If we look back at our listing and ranking exercise, we determined that [top-ranked form of sexual violence] was the most common form of sexual violence in our community. Let’s begin by brainstorming the causes of [top-ranked form of sexual violence] and then move on to strategies for preventing it on the individual level, and also by our community and society. When you think of something, say it aloud for the whole group to hear and come and write it on the paper. You can write it with words or you can use pictures or other symbols. So, let’s begin! What do you think causes [top-ranked form of sexual violence]?

**Step 3: Start with Listing and Ranking Activity**
The strategy diagram might begin by referring back to a listing and ranking exercise examining a specific part of the issue you are researching. See Module 6 for specifics on facilitating the listing and ranking exercise.

**Step 4: Facilitate, do not Participate**
You can encourage participants to write their own answers on the flipchart paper or do it for them. If you write their answers just make sure you write word-for-word what they say OR if you paraphrase make sure to check-in with the participant if that captures what they were saying. Don’t jump in with your own answers, instead encourage participants and let them do the teaching!
Step 5: Moving Through the Strategies
Work through each flipchart paper *one at a time*. Make sure participants vocalize and explain their answers so that everyone can hear. There may be discussion that comes up during this exercise. It is important to either tape-record or have a dedicated note taker during the session.

Keep participants moving through the strategies. If they seem to get stuck, you can move on to the next “box” and come back to the earlier one if you have time. Decide ahead of time how much time you want to spend overall on the activity and move through the boxes accordingly.

Transitioning and Wrap-Up
The strategy diagram is often preceded by the listing and ranking exercise. You can transition between the two by saying “As a group we choose ________ as the top answer in this listing and ranking exercise. Now we are going to examine, in-depth, different strategies for preventing ________ by using a tool called the strategy diagram.”

Wrap up the strategy diagram asking the group, “What do you think about the strategies we came up with? What are your thoughts? How do you feel after this activity?” Asking participants about both the content and process is a useful way to wrap-up. Finally, thank participants for their time and reiterate how helpful their participant has been.
7.1 Introducing the Strategy Diagram

**Learning Objectives:** By the end of this session, participants should have an overview and basic understanding of the strategy diagram tool.

**Materials:**
- Flip chart paper
- Markers

**Preparations:**
- Prepare one piece of flipchart paper for each of the questions below.
- Prepare and hang the flipchart paper in the order below:

| Top answer from listing and ranking (Module 6) goes here | What do you think causes ______? (insert from listing and ranking) | How can ______ be prevented with individuals and in relationships? | How can ______ be prevented in communities and society? | How can we implement these strategies in COMMUNITY NAME? |

**Learning Activities:**

**Activity 1: Learning by Participating (45 minutes)**
Explain to the group that they will participate in a strategy diagram exercise and begin with the question “What do you think causes ______?” In the blank, write the top answer determined by the listing and ranking exercise conducted in Module 6. Participants can write their own answers on the flipchart or you can write them for them. Keep going until all ideas are exhausted. Move onto the next question, “How can ______ be prevented on an individual and relationship level?” Stress that “relationships” can mean any type of relationship, not just romantic relationships. It can include parent/child, teacher/child, relatives, friends, etc.

Spend approximately 10 minutes on each of the four questions.
7.2 Facilitating the Strategy Diagram

Learning Objectives: By the end of this session, participants should feel confident facilitating the strategy diagram tool.

Materials:
- Flip chart paper
- Markers
- Handout: “Strategy Diagram Format”

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Tips for Facilitating the Strategy Diagram’ and write underneath this heading:
  - Briefly explain the exercise
  - Prepare all flipchart papers ahead of time
  - Start with a listing and ranking exercise
  - State the questions out loud
  - Utilize the #1 response from L&R for the strategy diagram
  - Open up for comments/discussion
  - Either have participants write their answers or write them word-for-word for them
  - Make sure participants vocalize their answers
  - Encourage discussion
- Make 8 copies of the handout “Strategy Diagram Format,” which shows the participant the questions to explore through this exercise. These questions will be based on your project’s research questions.

Time: 1 hour, 20 minutes

Learning Activities:

Activity 1: Explaining the Tool (10 minutes)
Post the “Tips for Facilitating the Strategy Diagram” on the wall. Walk through each step. Tell participants that the strategy diagram can follow the listing and ranking exercise. Give participants the handout “Strategy Diagram Format” and read through the questions to be explored. Highlight again to participants that we can the strategy diagram can be used with different questions that need to be explored more in-depth.

Activity 2: Facilitating the Tool (1 hour, 10 minutes)
Divide participants into two groups. Choose a volunteer from each team who will be the facilitator. Have each team’s facilitator prepare the flipchart papers, each utilizing a different form of the issue or problem your project is exploring (e.g., verbal sexual harassment, acquaintance rape, etc). Have the facilitator for each team start the exercise with their team. Monitor each team and take notes for feedback. After 10 minutes, stop the activity and ask each facilitator how they felt. Provide feedback. Now switch facilitators in each group and continue
with the exercise for 10 minutes. Once the 10 minutes is up, stop the groups and gather feedback from your facilitators and give your comments. Continue this way until everyone in the group has had a chance to facilitate for 10 minutes.
7.3 Documenting the Data

Learning Objectives: By the end of this session, participants should feel be able to organize and manage the strategy diagram data.

Materials:
- Flip chart paper used in the previous strategy diagram exercises
- Markers
- Handout: “Strategy Diagram Write-Up Examples”
- Flipchart paper

Preparations:
- Make copies of the handout “Strategy Diagram Write-Up Examples.” You can refer to the examples provided here.

Time: 20 minutes

Learning Activities:

Activity 1: Labeling (10 minutes)
Have each team gather all their strategy diagram flipchart papers. Have participants label the flipchart papers. Observe the labeling and provide suggestions as needed.

Activity 2: Writing-Up the Data (10 minutes)
Give participants the handout “Strategy Diagram Write-Up Examples.” Answer any questions that participants may have. Emphasize that they need to take notes of the discussion that took place during the activity and to write that up as well.

Remind participants that after they have written up their notes take the major themes from that strategy diagram and add these to the “Community Data Sheet”. Be sure to save the updated Community Data Sheet with a new date and to record that date at the top of the sheet. Share this immediately with your partner in case they need to add more information (and so that you are both working from the same copy). Finally, give the original flip chart paper to the research manager or the coalition.
Strategy Diagram Write-Up Examples
Example 1: From Project ENVISION

What do you think causes sexual violence?
No vocabulary: Not being open to talking about it. If people don’t talk about it, it keeps it hidden more and that might perpetuate more violence because it’s so kept under the cover. 
Shame within family and community: it’s cyclical, sometimes because of shame we don’t want to talk, but we don’t realize that by not talking it perpetuates the cycle. 
Power dynamics in relationships: connected to gender roles and how we think about who has the power in a relationship and who deserves to have their needs met and when. 
It’s accepted in society: girls are taught that guys can smack them in the behind and that society is ok with that. 
Song lyrics: Facilitator asks, they are causing sexual violence? Participant responds “I think it contributes.” If these things are already out there, song lyrics contribute to it. 
Criminal justice system: it plays a role. It’s so complicated in order to get justice for victims, it reduces the possibility that woman will report it and that when they do, their perpetrators will be charged for it. It treats women very hostily, and it’s disempowering. When they go to court they relive it again, they become the victim again. They don’t get the kind of justice they think they should get. Participant asks, “what kind of justice do they get?” Sometimes the perpetrator gets a “slap on the wrist” and the woman hears “maybe you brought it on yourself.” “The justice doesn’t fit the crime and the woman lives with that the rest of their life.” Trauma really affects your memory and victims start to look uncredible when they are still processing their experience and it’s unclear in an objective way to the interviewer or prosecutors. 
Facilitator mentions that this sounds like a conversation about the cycle of violence but we want to focus our conversation on the causes of SV. Are there any more thoughts on the causes? Where does it start? What’s causing it in the first places? 
That’s tough because it started a very, very long time ago, and at this point it is cyclical, all these things contribute and it teaches us something. It teaches victims something, it teaches perpetrators something. It teaches women whether or not they deserve what they receive. 
All of this can get to an idea of roots, because even though it perpetuates we can still find points to tackle. 
Facilitator describes the goal of prevention and ties it in to the strategy diagram’s focus on strategies

How can sexual violence be prevented with individuals?
Open up discussion: with students, age-appropriate discussions to give them the vocab. to identify what’s happening to them. See the signs, protect herself. 
Facilitator asks, how do we prevent with the individuals who might be perpetrators of S.V.? I think that could apply to the potential perpetrators too—they might realize this is not right, that could infringe on someone’s rights. They can identify their actions before they do it. 
Break the Taboo: (Facilitator summarized this point by labeling it “Break the Taboo) When we don’t talk about an issue it keeps it in the dark and empowers it—gives power to those forces. “Open, honest discussions…on a regular basis,” not taboo, a regular part of our dialogue as a community—a mother, a parent talking honestly to her
child about what it means for somebody to touch you. Often, We’re not comfortable having those conversations with young people or anybody because it’s such a taboo kind of topic. One participant comments that people who will become perpetrators sit in workshops and still go out to be that perpetrator, even though they are the most vocal in that workshop. So how do we get to them before they get to that point? Facilitator responds, “this is a hard question!” and the group agree. “That’s a norm for that person. This is what they see, this is what they know”

Kids need comfortable relationship with an adult/parent: someone they trust to have that conversation with. Focus on rehabilitating the perps: that could help somewhere along the line with preventing it in the future. But I don’t know how that would prevent it….so they don’t do it again? So they can identify other potential perpetrators and help prevent them from perpetrating.

Facilitator asks if this might be a good place to start the next question...

**How can sexual violence be prevented in communities & society?**

Work with children: It seems like a lot of people who perpetuate SV have experienced it in their lives, so it seems like preventing it definitely starts with the children/young people. If we can prevent it from happening to them, then we can stop that cycle from happening.

Support and healing for victims: If we can provide support and healing then we can help stop the cycle. “We can’t allow anyone to fall through the cracks”

Facilitator reminds group, “let’s focus on prevention—you’ve touched on the discussion that must occur before SV happens, so let’s relate the comm./society list to those ideas.”

The media: point out what kind of objectification is happening in the media, maybe discouraging certain bands or magazines, tv shows, about “who’s the prettiest…”

See SV as a huge problem (regardless of race and class): Society has to see something that is more serious, they don’t see it as such a big crime. “I think women of color or poor women, it’s not taken as seriously when they experience it. Women who are more affluent experience it—it’s taken more seriously.”

One participant asks “so they aren’t given the same treatment in the justice system—where else do they experience this? “Among their own peers”…it gets minimized, men still dominate, and women are not placed on the same level as men.

Until society sees us as equal, we are still going to be treated that way. One participant asks, “A cop might see a couple and side with a guy, does that happen more often with couples of color than with white couples?” From reports I’ve heard, it doesn’t really matter, I think no. Although in communities like Springfield and Bed-Stuy I hear about both people being arrested, both the man AND the woman, like they’re both disorderly.

Facilitator asks to stay focused on sexual violence and asks what is happening in those communities and societies to cause that?

Gender roles: power dynamics, “it’s about the way that we see women and the way we see their role in relationships and society” “the treatment of women as children or property” Facilitator summarizes, “Gender Roles have to change.”
We need healthy relationships: the way that we talk to each other and treat each other. When we are seen as sex objects nothing is going to change, “we’ve always been seen as less than.” “Women are for making babies, this is our purpose in life,” “until we’re seen as a person things are not going to change” (Facilitator writes: women need to be seen as a human being.)

Open dialogue: that it’s geared toward both sexes. We know that women are probably more likely to be victims, but young boys are also at risk—seeing victims as being both genders.
Rethinking accountability: with teachers, clergy, etc. (and other people in positions of power)

How can we implement these strategies in Williamsburg?

Having workshops: about treating people equally, designated for young women about how to not be a victim.
Women’s groups, Men’s groups: how a young man conduct himself, how he should treat women. And for women—how to respect a young man, and herself. Who: teachers, trained facilitators, train parents, train teenagers to respond to what they hear is going on…a variety of leaders. El Puente does workshops with men and women about these issues.
Widespread Mandatory trainings: Visit every school, all ages, train those teachers. Facilitator asks, “how to make it mandatory”…you have to talk to the government. It’s easier with our school, just this one school in particular, sitting with the leadership and talk about why it’s important. Maybe El Puente can serve as a model and encourage other schools or the Board of Ed. Maybe bring the model to after school clubs, it might be easier to do there. Just to start.
Public Art: we do murals all over the place that everyone can see just walking down the street. It’s a way to break the taboo. Theatrical performances, this is something that el Puente does with a group working on issues around HIV currently
Marches, vigils: bring awareness to the issue by doing demonstrations
Churches: get community members involved, they have food pantries and soup kitchens and lots of people can get involved. Epiphany (south 9th, berry and bedford), Transfiguration (250 Hooper), first Spanish Presbyterian (161 south 3rd, driggs and Bedford) and two others (Draggs between south first and south second) (south first between driggs and Bedford)
Senior citizens centers: (201 south 4th st) they get violated also. The most vulnerable are the seniors and the children. Facilitator asks, what would we do with the seniors?
Give them the same tools and show them what are the flags. And a lot of seniors are care takers and guardians for children—give them the tools to work with these young people in their care. It’s good for them to be aware and we should help them to step in. a lot of students are raised by their grandparents.
Concerts: more respectful and social justice-oriented. So kids can get excited about substantial content in the lyrics, as far as social justice goes. Some big thing that everyone could have fun with. Facilitator asks is there something already happening that we could tap into? In the summer there are events at McCarren park, it’s open, family-friendly, there are film screenings and concerts. People bring a blanket and sit in the park and enjoy the activities…there are all kinds of families from the neighborhoods. In August or September there is School Fest, where parents learn about day care, head start, etc in the neighborhood. Northside Town Hall—another comm.-based org. run by Susan Anderson
Partnerships with other orgs: Right Rides, Make the Road, Los Sures (comm.-based housing org)
8 Problem Tree

Introduction to the Problem Tree

Planning to Use the Problem Tree

Training on the Problem Tree:
8.1: Introducing the Problem Tree (45 minutes)
8.2: Facilitating the Problem Tree (1 hour)
8.3: Documenting the Data (20 minutes)
Overview of the Problem Tree

The problem tree is a simple tool to examine the perceived causes and effects of different problems. It is used widely in participatory urban appraisal (PUA) and participatory action research (PAR) projects. Three variations of the problem tree can be conducted in participatory focus groups:

1. **The Problem Tree**
   On a sheet of flipchart paper, a tree is drawn with roots and branches. In the trunk of the tree is written the problem or issue. Participants begin by discussing the “root causes,” then the effects. Root causes are written along the roots of the tree and the effects are placed in the branches.

2. **The Problem Tree, Followed by another Problem Tree**
   After completing a problem tree, participants can go on to complete another problem tree utilizing one of the root causes as the problem. This will allow more depth into the root causes. For example, in the picture above, one of the root causes is “media.” You could use “sexualized violence in the media” as the new “problem” and put it in the trunk of the tree. Participants would then go on to list the root causes and effects of this new problem.

3. **The Solutions Tree**
   After completing one problem tree, participants can complete a “solutions tree”. This would take the opposite of the problem—the *solution*—and place it in the trunk of the tree. Ask participants to think about what the lack of the problem would look like in a positive form (is it a society with equitable relationships?, etc.). In the roots, participants list things that would make the solution happen, and the effects of the solution in the leaves. The most important part of this exercise is working with participants to find out what they would place in the trunk of the tree.

The solution tree was developed by the Alliance to start thinking in “positive” terms about prevention and about the issue of sexual violence. One of the great hurdles in thinking about sexual violence prevention is to move away from the framework of trying to stop a bad behavior to thinking about “what do we want to promote”? “What does a world without sexual violence look like?” “What is the opposite of sexual violence?”
Planning to Use the Problem Tree

The facilitator’s role in the problem tree exercise is crucial in initiating the discussion, encouraging participation, and moving through the parts of the tree or “problem.” Once the participants start doing the analysis, the facilitators become observers and do not interfere except to facilitate discussion.

In Module 8.2, you will be training participants how to facilitate the problem tree. Here is the step-by-step guide for you to model during your facilitation training:

Facilitation Step-by-Step Guide

Step 1: Prepare Flipchart Paper
Prepare the flipchart paper ahead of time by drawing a tree with roots and leaves on the paper. It does not have to be perfect. You should try to fit the entire tree on either one or two pieces of paper. Write the “problem” (or leave space for the solution if you are doing the solutions tree) in the trunk of the tree. Make sure to post the flipchart paper where all participants can see and write on it.

Step 2: Explain the Activity
Begin the exercise by explaining the activity.

Example Explanation:
“We are going to start by exploring __________ more in-depth. You can see I drew a picture of a tree. In the trunk of the tree is the “problem”. We are going to start by brainstorming and listing the “roots,” or root causes of this problem. When you think of something, say it aloud for the whole group to hear and come and write it on the paper in the roots of the tree (or let them know if you will write it for them). We are going to brainstorm for a few minutes on the root causes and then we will look at the effects of the problem, which are the branches of the tree. So, let’s begin! What do you think are the root causes of ____________?”

Step 3: Start with the Roots
Begin with the roots or causes of the “problem” in the problem tree. Have participants spend time brainstorming the root causes before moving onto the effects of the problem.

Step 4: Facilitate, do not Participate
You can encourage participants to write their own answers on the flipchart paper or do it for them. If you record their answers, be sure to write word-for-word what they say OR if you paraphrase, make sure your words capture what they said. Don’t jump in with your own answers; instead, encourage participants and let them do the teaching!
Step 5: Move to the Top of the Tree
Have participants thoroughly brainstorm the root causes before moving onto the effects. There may be discussion that comes up during this exercise. Be sure to tape-record the activity OR have a note taker jot down the main discussion points on a piece of paper and use that in the write-up of the session.

If participants seem to get stuck, or if they have exhausted all the ideas, move onto the next section. Decide ahead of time how much time you want to spend overall on the activity.

Transitioning and Wrap-Up
The problem tree can be preceded by the listing and ranking exercise or by other activities. You can transition to the problem tree by saying “Now we are going to examine ____________ more in-depth by exploring the causes and effects.”

You can also transition from the problem tree into a solutions tree. You can transition to the solutions tree by saying “Now we are going to work on a mirror of this tree. Instead of a problem tree we are going to look at a solutions tree. What would the solution to [the issue or problem] be? Or what is the opposite of [the issue or problem]?”

You can also transition from the problem tree to another problem tree to go more in-depth into an issue. You would take one of the root causes in the first problem tree and list it in the trunk of the second problem tree and continue with conducting the activity.

If the problem tree is the last exercise, you can wrap-up by asking the group “What do you think about causes and effects we came up with? What are your thoughts? How did you like the problem tree activity?” Asking participants about both the content and process is a useful way to wrap-up. Finally, thank participants for their time and reiterate how helpful their participant has been.
8.1 Introducing the Problem Tree

**Learning Objectives:** By the end of this session, participants should have an overview and basic understanding of the problem tree tool.

**Materials:**
- Flip chart paper
- Markers

**Preparations:**
- Prepare three pieces of flipchart paper with the picture of a tree including roots, the trunk and branches
- Markers

**Time:** 45 minutes

**Learning Activities:**

**Activity 1: Learning by Participating (45 minutes)**
Before explaining the problem tree exercise, participants will complete as a group. Start with the question, “What do you think are the root causes of [issue/problem listed in the trunk]?” Have participants brainstorm and share responses. They can write their own answers or you can write them, but be sure to check-in with the participant if you paraphrase their response. Record answers in the “roots” of the tree. Keep going until all ideas are exhausted. After covering the root causes, move on to the question, “What are the effects of [issue/problem listed in the trunk]?” Have them write their answers in the “branches” of the tree. Keep going until all ideas are exhausted.

Explain to participants that they can follow-up the problem tree with a second problem tree. Take one of the “root causes” from the problem tree that participants just completed. Write it in the trunk of the blank tree and use this as the new problem. Spend approximately 5 minutes on this tree to demonstrate the way in which a second problem tree can explore a “root cause” in more depth.

Also describe the way a “solutions tree” can be used as a follow-up activity. Ask participants “What is the opposite of [issue/problem listed in the trunk]?” This is perhaps the most difficult step of the solutions tree and may require some discussion. Once the group agrees on the “solution,” ask, “what root causes would contribute to this solution?” Have participants place these in the roots of the tree. Next ask “what are the effects of this?” Have participants place these answers in the branches of the tree. Spend approximately 15 minutes on this tree.
8.2 Facilitating the Problem Tree

Learning Objectives: By the end of this session, participants should feel confident facilitating the problem tree tool.

Materials:
- Flip chart paper
- Markers
- Handout: “Three Variations of the Problem Tree”

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Tips for Facilitating the Problem Tree’ and write underneath this heading:
  - Briefly explain the exercise
  - Prepare all flipchart papers ahead of time
  - Start with a “problem” and put it in the trunk of the tree
  - State the questions out loud (roots, effects, solutions and people/orgs to help)
  - Open up for comments/discussion
  - Have participants write their own answers OR write them down for them
  - If you write the answers always ‘check-in’ with participants to ensure you have captured what they said
  - Encourage discussion
  - Follow-up with another tool or a second problem tree (or the solution tree)
- Make 8 copies of the handout “Three Variations of the Problem Tree,” using the description provided above in the section, “Introduction to the Problem Tree.”

Time: 1 hour

Learning Activities:

Activity 1: Explaining the Tool (5 minutes)
Post the “Tips for Facilitating the Problem Tree” on the wall and walk through each step. Explain to participants how the problem tree can precede or follow any of the other tools in a focus group. Give participants the handout “Three Variations of the Problem Tree” and point out how a second problem tree can be used.

Activity 2: Facilitating the Tool (55 minutes)
Divide participants into two groups. Choose a volunteer from each team who will be the facilitator. Have each team’s facilitator prepare the flipchart and begin the exercise with their team. Monitor each team and take notes for feedback. After 10 minutes, stop the activity and ask each facilitator how they felt. Provide feedback. Now switch facilitators in each group and continue with the exercise for 10 minutes. Once the 10 minutes is up, stop the groups, gather feedback from the facilitators, and provide your comments. Continue this way until everyone in the group has had a chance to facilitate.
8.3 Documenting the Data

Learning Objectives: By the end of this session, participants should feel be able to organize and manage the problem tree data.

Materials:
- Flip chart papers used in the previous problem tree exercises
- Markers
- Handout: “Problem Tree Write-Up Examples”
- Flipchart paper

Preparations:
- Make copies of the handout “Problem Tree Write-Up Examples.” You can refer to the examples provided here.

Time: 20 minutes

Learning Activities:

Activity 1: Labeling (10 minutes)
Have each team gather all their problem tree flipchart papers. Have participants label the flipchart papers. Observe the labeling and provide suggestions as needed.

Activity 2: Writing-Up the Data (10 minutes)
Give participants the handout “Problem Tree Write-Up Examples” and review each example. Answer any questions that participants may have. Emphasize that they need to take notes of the discussion that took place during the activity and to write that up as well.

Remind participants that after they have written up their notes, they will need to take the major themes from that problem tree and add these to the “Community Data Sheet.” Be sure to save an updated Community Data Sheet with the date and to share this immediately with your partner in case they need to add more information (and so that you are both working from the same copy). The original flip chart paper should be given to the research manager or the coalition.
Problem Tree Write-Up Examples
Example 1: From Project ENVISION

SEXUAL VIOLENCE

Light brown = Root Causes
Green = Effects
Example 2: From Project ENVISION

What are the EFFECTS of sexual violence?

Sadness, PTSD, STDs and HIV, Trust, Embarrassment, Fear, Physical Injury,
Ostracism, Pain, Incarceration, Continued violence, Cycle of abuse, Personal sexual issues,
Stereotypes, Shame for victim, Lack of sympathy for victims, Too taboo to discuss, Blame, Heal,
Mental Illness, Guilt, Sexual violence, Anger, Think it’s ok

What are the ROOT CAUSES of sexual violence in Williamsburg?

Perpetrator was abused, Gentrification, Objectification of women, Sexual addiction, Powerlessness Ego/Power,
Anger, Pre-natal alcohol consumption, Social standards, Mental Illness, Family, Alcohol/drug abuse,
Cultural differences, Lack of Education, People don’t know their rights, Repeat Offender, Fear,
Inability to distinguish between right & wrong, Boundaries, DNA, Poverty

Discussion about Root Causes

Fear: on the part of the victim—being in that position. Fear to speak up, fear to push back. It could probably go both ways—there might be fear related to gentrification; the perp might be acting out on fear of loss of territory.

Social standards: ties in with fear. Fear of speaking up because it might hurt someone or you might be accused of lying

Ego: power seems to drive a lot of perps. They think they can get away with it…a power trip, like a high.

Previous abuse: sexually abused, beat, abandoned. Usually people who abuse were abused. It’s a “power trip” to do that to another person. Or if not abuse, maybe they weren’t nurtured as a child.

Genetics: embedded in DNA. A rooted trait. Damage to the part of your brain that distinguishes right from wrong…the inability to distinguish between right and wrong (especially as a result of fetal alcohol syndrome)

Substance abuse: alcoholism, addiction. Also sexual addiction

Mugging: turns into rape when they’re trying to get money

Poverty: the current economic crisis causes stress
Gentrification: people who have lived there don’t like that the neighborhood is changing. The influx of new people, resistance to change…

Cultural differences: lead to misunderstandings about what the situation is between people, for example when two people are alone or what a look means…“like boundaries.”

Objectification of women: in the media, that idea that women aren’t people but prizes to be won

Powerlessness: sexual violence is often a display of power and the perpetrator might be experiencing powerlessness in other parts of his life and the victim might be experiencing powerlessness

Lack of Education: in terms of people knowing their rights (of perps and victims)

Discussion about Effects

Ostracism from friends and family: on the part of the victim

Continued perpetration (as a result of lack of education)

Cycle of abuse: when someone experiences that violence they pass on that legacy. (Facilitator suggests that some of the roots might surface as effects…like mental illness)

Personal sexual issues: the victim might be affected sexually, might not want to have sex again for a long time

Stereotypes: might lead to erroneous conclusions about why it’s happening in an area. The stereotypes might cover up a whole host of explanations for violence, like social norms. If someone is from a certain race or culture that they are more prone to sexual violence. (Facilitator prompted discussion and social norms is identified as a root cause, here.) Also that victims who dress promiscuously are more likely to be assaulted…also a stereotype. And so often this is not the case. The group has heard of women being shamed for this.

Shame: it’s like shaming someone for being hit by a bus

A lack of sympathy for victims—it’s still such a taboo issue. There’s so much stigma

Blame: on the part of perps by society, and the part of the victim…they blame themselves and those who “helped them get into that situation.”

Guilt: on the part of the perpetrator
9 Interrelationships Diagram

Introduction to the Interrelationships Diagram

Planning to Use the Interrelationships Diagram

Training on the Interrelationships Diagram:
8.1: Introducing the Interrelationships Diagram (50 minutes)
8.2: Facilitating the Interrelationships Diagram (2 hours, 20 minutes)
8.3: Documenting the Data (20 minutes)
Overview of the Interrelationships Diagram

An interrelationship diagram is an analysis tool that allows a group to identify the cause-and-effect relationships among critical issues. It is used frequently in research modeling and management, as well as quality improvement planning.

The interrelationships diagram is useful for this research because it explores the interrelated factors which contribute to the issue/problem being explored. It helps participants to distinguish between factors that are “drivers,” or strong root causes of an issue, and those that are effects, or “outcomes,” which indicate areas around which to measure prevention program success. This is particularly useful for prevention program planning, as we can focus on the strongest drivers, or causes, of the issue.

Planning to Use the Interrelationships Diagram

In Module 9.2, you will be training participants how to facilitate the interrelationships diagram. Here is the step-by-step guide for you to model during your facilitation training:

Facilitation Step-by-Step Guide

Step 1: Prepare Flipchart Paper
Prepare a piece of flipchart paper (flip the paper so that the long end runs along the top) using the root causes named in the previous exercise (problem tree, listing and ranking). Place the 5 most common, or top-ranked root causes from that exercise in circles on the flipchart paper (see the example, below). Label each cause with a letter, A-E. Along the top of the paper, write the question asked in the previous questions (for example, “What are the root causes of sexual violence?”) Post the flipchart paper on the wall where all participants can see and write on it.

You will also need to prepare a “key” that explains the notations used in this exercise. On a flipchart page, label the key as shown below. You will need to fold over or cover the notation with numbers (on the right side of the key) so that is not visible at the start of the exercise.
Step 2: Explain the Activity
Begin the exercise by explaining the activity.

Example Explanation:
“We are going to start by exploring the cause-and-effect relationship between these root causes more in-depth. You can see I put each root cause from our previous activity in circles on the page. We will look at two root causes at a time: For each pair, we will decide if there is a cause and effect relationship between the two issues. If there is, which is the cause and which is the effect? We will draw an arrow from the cause to the effect. If we think it is a strong causal relationship, we’ll draw a solid line. If we think it is a weak causal relationship, we will draw a dashed line. If there is no cause-and-effect relationship, we will not draw a line. There can not be any double-headed arrows. We must decide as a group which is the cause, and which is the effect. So, let’s begin with pair A and B. Do you think A causes B, or is B the cause of A? Or, is there no cause-and-effect relationship between the two?

Step 3: Compare Each Circle
Beginning with pair A and B, work through the relationships in sequence, two at a time. For each pair of issues, determine if there is:
- No cause/effect relationship,
- A weak cause/effect relationship, or
- A strong cause/effect relationship.

If the group decides there is a cause/effect relationship, determine which issue is the cause and which is the effect. Draw an arrow from the issue that is the cause to the issue that is influenced. For strong relationships use a solid line. For weaker relationships, draw a dashed line. Although
some relationships may seem evenly balanced, always determine which the stronger influence is and draw the arrow in that direction. Never draw two-headed arrows. Where the group decides there is no relationship, no line will be drawn between the two.

Once the group determines the relationship between circle A and circle B, move onto circle A and circle C and examine these two issues, followed by A and D, and A and E. Next, you will move onto the relationships between circles B and C, B and D, B and E, and so on. Examine each possible pair of two to determine if there are any causal relationships. An example is given below (Note: this example explores relationships between 7 root causes rather than the 5 root causes suggested here).

**Step 4: Facilitate, do not Participate**
In this exercise, it is easier if the facilitator draws the arrows according to what the group thinks. Don’t jump in with your own answers, instead encourage participants and let them do the teaching!

**Step 5: Tabulate ‘In’ and ‘Out’ Arrows**
After all the relationships have been discussed, uncover the section of the “key” that explains how to tabulate the number of ‘In’ and ‘Out’ arrows for each circle. Count solid lines as 1, dashed lines as ½, and no line as 0.

A high number of outgoing arrows indicate that an issue is a “driver,” or strong root cause of the issue/problem being explored. Drivers might be the issues to address first in a prevention project to get the most far-reaching results. A high number of incoming arrows indicate that an issue is
an effect, or an “outcome.” These issues may serve as areas around which to measure prevention program success.

In this example, “insecurity/lack of self-esteem” and “experiencing abuse in childhood” have the highest number of outgoing arrows is. These may be the root causes around which the community coalition can focus prevention programming. Alcohol and drug abuse have the highest number of incoming arrows. These are outcomes, or effects, and may be areas around which the coalition can measure improvement when prevention programming is implemented. Remember:

**High Number of Outgoing Arrows = Driver or Root Cause**

**High Number of Incoming Arrows= Outcome**

**Transitioning and Wrap-Up**
The interrelationships diagram can follow the listing and ranking exercise or the problem tree. The interrelationships diagram can also be followed by the strategy diagram tool. In this case, you would take the issue with the highest incoming arrows and start in box three of the strategy diagram to think about how to prevent that issue (e.g. how can childhood abuse be prevented at the individual and relationship level? How can childhood abuse be prevented at the community and society level?)

If interrelationships diagram is the last exercise, you can wrap-up by asking the group “What do you think about the issue we identified as the main driver? Were you surprised? How did you like the interrelationships diagram activity?” Asking participants about both the content and process is a useful way to wrap-up. Finally, thank participants for their time and reiterate how helpful their participant has been.
9.1 Introducing the Interrelationships Diagram

**Learning Objectives:** By the end of this session, participants should have an overview and basic understanding of the interrelationships diagram tool.

**Materials:**
- One previous listing and ranking exercise
- Flip chart paper
- Markers

**Preparations:**
- Prepare a piece of flipchart paper (flip the paper so that the long end runs along the top) using the root causes named in the previous listing and ranking. Place the five most common, or top-ranked root causes from that exercise in circles on the flipchart paper (see the example given in “Planning to Use the Interrelationships Diagram”).
- Prepare a “key” that explains the notations used in this exercise. On a flipchart page, label the key with the type of arrow, and the associated value (1, ½, 0), that is used to determine the cause-and-effect relationships. You will need to fold over or cover the values along the right side of the key so that they are not visible at the start of the exercise (see the example given in “Planning to Use the Interrelationships Diagram”).

**Time:** 50 minutes

**Learning Activities:**

**Activity 1: Learning by Participating (50 minutes)**
Before explaining the interrelationships diagram tool, we are going to complete one with the entire group. Explain to the group that we are going to do an interrelationships diagram and begin by showing them the flipchart paper with the circles. Tell participants that in each circle, the root causes of the issue/problem are listed. Tell participants that we will examine how these root causes are interrelated.

Beginning with pair A and B, work through the relationships in sequence, two at a time. For each pair of issues, determine if there is:
- No cause/effect relationship,
- A weak cause/effect relationship, or
- A strong cause/effect relationship.

If the group decides there is a cause/effect relationship, determine which issue is the cause and which is the effect. Draw an arrow from the issue that is the cause to the issue that is influenced. For strong relationships use a solid line. For weaker relationships, draw a dashed line. Although some relationships may seem evenly balanced, always determine which the stronger influence is.
and draw the arrow in that direction. **Never draw two-headed arrows.** Where the group decides there is no relationship, no line will be drawn between the two.

Once the group determines the relationship between circle A and circle B, move onto circle A and circle C and examine these two issues, followed by A and D, and A and E. Next, you will move onto the relationships between circles B and C, B and D, B and E, and so on. Examine each possible pair of two to determine if there are any **causal relationships.**

After all the relationships have been discussed, uncover the section of the “key” that explains how to tabulate the number of ‘In’ and ‘Out’ arrows for each circle. Count solid lines as 1, dashed lines as ½, and no line as 0.

A high number of outgoing arrows indicate that an issue is a “driver,” or strong root cause of the issue/problem being explored. Drivers might be the issues to address first in a prevention project to get the most far-reaching results. A high number of incoming arrows indicate that an issue is an effect, or an “outcome.” These issues may serve as areas around which to measure improvement when prevention program is implemented.

Spend approximately 40 minutes on the interrelationships diagram (30 minutes on the relationships and 10 minutes on tallying the results and discussion).

Explain to participants that the interrelationships diagram can follow the listing and ranking exercise or the problem tree. This exercise can also be followed by the strategy diagram tool. In this case, you would take the issue with the highest incoming arrows and start in box three of the strategy diagram to think about how to prevent that issue (e.g., how can childhood abuse be prevented at the individual and relationship level? How can childhood abuse be prevented at the community and society level?)
9.2 Facilitating the Interrelationships Diagram

Learning Objectives: By the end of this session, participants should feel confident facilitating the interrelationships diagram tool.

Materials:
- Two to four previous problem tree flipcharts
- Flip chart paper
- Markers
- Toolkit Module 9

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Tips for Facilitating the Interrelationships Diagram’ and write underneath:
  - Briefly explain the exercise
  - Prepare the flipchart paper from the problem tree or listing and ranking
  - Examine A and B for cause and effect
  - If no cause and effect, go on to the next two
  - If cause and effect exists, ask the group if it is strong or weak
  - For strong cause and effect use a solid arrow
  - For weak cause and effect use a dashed arrow
  - Tell participants there are no double headed arrows (choose which direction)
  - After having examined all pairs, tally up incoming and outgoing arrows
  - Dashed arrows count for 0.5 and solid arrows for 1
  - Explain that those with the most outgoing arrows are root causes and those with the most incoming arrows are outcomes
- Make sure participants have toolkit Module 9 to refer to helpful examples

Time: 2 hours 20 minutes

Learning Activities:

Activity 1: Explaining the Tool (10 minutes)
Post the “Tips for Facilitating the Interrelationships Diagram” on the wall. Walk through each step. Note that the facilitation tips are very similar for each of the tools covered so far. Tell participants that the interrelationships diagram can follow both the listing and ranking tool and the problem tree. It can, in turn, be followed by the strategy diagram. Have participants read through and reference Module 9 in the Toolkit.

Facilitator’s Note: Participants can help prepare the “key” for this exercise by folding a piece of flipchart paper in half. On the left side, participants can write “strong cause/effect, weak cause/effect and no cause/effect,” with the appropriate arrows placed alongside the labels. On the
right side, have participants write the values that correspond to each arrow (1, ½, 0), along with the note:

- High Number of Outgoing Arrows = Driver, or strong root cause
- High Number of Incoming Arrows= Outcome

This right side of the flipchart should only be revealed during the last part of the exercise.

Activity 2: Facilitating the Tool (1 hour)
Divide participants into two groups. Choose a volunteer from each team who will be the facilitator. Give each team a previous problem tree flipchart paper. Have each team’s facilitator prepare the interrelationships diagram flipchart by writing the top-ranked root causes into each blank circle. Monitor each team and take notes for feedback. After 10 minutes, stop the activity and ask each facilitator how they felt. Provide feedback. Now switch facilitators in each group and continue with the exercise for 10 minutes. Once the 10 minutes is up, stop the groups and gather feedback from your facilitators and give your comments. Continue this way until everyone in the group has had a chance to facilitate for 10 minutes.

Activity 3: Practicing Transitions between Tools (1 hour, 10 minutes)
Split participants into two groups and have them start with a listing and ranking exercise with the question “What are the root causes of ______?” Have each team record the top five answers in the interrelationships diagram. Have them complete the interrelationships diagram and then continue onto the strategy diagram starting in box three. Have each person in the team facilitate for 15 minutes before handing over to another facilitator (you may need to yell out when it is time for people to switch). After 1 hour stop the groups and begin a debriefing discussion and ask about transition between the tools. Provide feedback to the groups and have participants provide feedback for each other.
9.3 Organizing the Data

Learning Objectives: By the end of this session, participants should feel be able to organize and manage the interrelationships diagram data.

Materials:
- Flip chart papers used in the previous interrelationships diagram papers
- Markers
- Handout: “Interrelationships Diagram Write-Up Examples”
- Flipchart paper

Preparations:
- Make copies of the handout “Interrelationships Diagram Write-Up Examples.” Refer to the example given below.

Time: 20 minutes

Learning Activities:

Activity 1: Labeling (10 minutes)
Have each team gather all their interrelationship diagram flipchart papers. Have participants label the flipchart papers. Observe the labeling and provide suggestions as needed.

Activity 2: Writing-Up the Data (10 minutes)
Give participants the handout “Interrelationships Diagram Write-Up Example.” Answer any questions that participants may have. Emphasize that they need to take notes of the discussion that took place during the activity and to write that up as well.

Remind participants that after they have written up their notes, they must record the major themes from the interrelationships diagram in the “Community Data Sheet”. Be sure to save the Community Data Sheet with a new date and share this immediately with your partner in case they need to add more information (and so that you are both working from the same copy). Afterwards, participants should give the original flip chart paper to the research manager or the coalition.
**Interrelationships Write-Up Example:**

**Example 1:** From Project ENVISION

The Root Causes of Sexual Violence

![Diagram showing interrelationships between root causes and outcomes.]

**Key**
- Strong causal relationship
- Weak causal relationship
- No causal relationship
- No Line

**Discussion:**

A & B: Yes, a relationship between them, B to A. A weak relationship, but there is a relationship. B causes A.

B & C: I would see a string between C to B; when I feel weak I would build myself up to go out and drink. I would put a super cause there, double bold line. (“Lack of empowerment” is a strong cause of “Alcohol abuse.”)

C & D: It seems to me they come from somewhere but not each other.

D & E: There is [an association] if you grow up in an ignorant community, then there is a connection. Facilitator asks which is the cause. I see both arrows, that it is a self-perpetuating thing. The groups thrive because there is a sense of security there. I think there is still some choice there. They could almost be the same thing. I think they can go together, but I don’t necessarily think that you have to be ignorant to be in a homogenous group. (“Ignorance of harm” and “No challenge to homogenous groups” are not causally associated.)

E & A: I feel like there is so much vagueness to it. I think there is a causal relationship; if you are in a group, you feel safe, you can say anything you want—E to A. It’s more crude than that, they see it as their right to abuse others. Women are considered to be the objects of sex, women are there to have sex with, and its there on so many fine levels because of the culture that we grow up in. It’s too big to say that there is a causal relationship.

A & C: C to A. A causal relationship, weak.

A & D: I would say that ignorance leads to an assumption of consent. Strong D to A.

B & D: Yeah, if you way that alcohol is going to cloud your judgment, I think ignorance causes alcohol abuse. Not knowing what you can handle. The group decides there is no causal relationship between “Ignorance of harm and ‘Alcohol Abuse.’”

B & E: No causal relationship.

C & E: Yes, there is a cause. I think no challenge, when you feel disempowered. The group reinforces that. A lack of empowerment leads to no challenge. C causes E.
10 Vignette

Overview of the Vignette

Planning to Use a Vignette

Training on the Vignette:
10.1: Introducing the Vignette (1 hour)
10.2: Facilitating the Vignette (2 hours, 30 minutes)
10.3: Documenting the Data (20 minutes)
Overview of the Vignette

Vignettes are simply stories used to generate discussion. The exercise allows participants to examine a situation from a third-person perspective and asks questions that help identify knowledge, attitudes and behavior that contribute to a community issue or problem.

A third-person vignette also encourages open discussion about an issue without participants fearing personal disclosure or implicating themselves in the situation. Open-ended stories are useful for exploring people’s attitudes and perceptions about an issue, and for exploring their ideas about prevention.

The Alliance developed a general and broad vignette that could be tailored by community researchers to create a community-specific scenario. The questions that follow the vignette explore possible prevention strategies across the Spectrum of Prevention (see Module 1). The Alliance used the vignette as a participatory tool in the pilot study, Bringing the Global to the Local: Utilizing Participatory Research to Address Sexual Violence with Immigrant Communities in NYC.

Planning to Use a Vignette

The vignettes developed for Project ENVISION include discussion questions aimed at different levels of the Spectrum of Prevention. Those questions can be adapted for your own vignette.

If you are planning to use a vignette in your research, it is important to keep in mind:

- **Develop a story with enough details for discussion but not too much detail**—one of the few drawbacks about using vignettes is that participants can get too entrenched in the details and this can actually hamper discussion. Remind research participants that the vignette serves as an example to generate discussion.

- **Develop a story around an issue you want to explore**—Craft a story that reflects the specific community conditions you want to learn more about.

- **Make the story believable**—it is important to make the story realistic and believable, this will help participants to discuss the realities of the story in greater depth.

- **Craft a fictional story**—reassure participants that the story is completely fictional, do not use real names or people in your story. Your story can, of course, draw from real-life examples but make sure it is an amalgamation of examples or that details are changed significantly from a real-life story.

- **Have community researchers and coalitions draft the stories**—it is important that the community researchers and coalitions have a hand in drafting the stories, just as they do with the other research tools.
Carefully consider the discussion questions—you can use the template below to help guide questions to fit in the Spectrum of Prevention. It is important to allow enough time for discussion and not ask too many questions. Using one of the following four scenarios is good for a 30 minute to 1 hour discussion. Depending on the time available, you may be able to go explore more than one scenario OR you can divide your participants into smaller groups to focus on multiple scenarios.

In Module 9.2, you will be training participants how to facilitate the vignette. Here is an example vignette, created by Project ENVISION community researchers to explore strategies across the Spectrum of Prevention. It is followed by discussion questions and facilitator instructions that you may refer to during your facilitation training:

Example Vignette: From Project ENVISION

“A group of parents and concerned community members have come together to address a serious concern. Several female students at a neighborhood middle school report having been pressured by their male classmates to engage in sexual activity that makes them uncomfortable. Some of the girls described situations in which they were forced to have sex, and were made to feel embarrassed or even threatened when they said no. The parents and community members want to understand what causes sexual violence in the first place. They want to increase safety for young people by preventing sexual violence before it occurs, but they do not know where to start...”

Scenario 1: The parents decide to focus on strengthening individual knowledge and skills to prevent sexual violence:

1. What are some of the individual factors that can cause someone (middle school students) to pressure their classmates into sexual activity?
2. What knowledge do the middle school boys need to prevent this?
3. What skills for the middle school boys could be strengthened to prevent this?

Facilitator Instructions:
Place two pieces of flipchart paper side by side. Ask participants to list responses to Q1 on the sheet on the left and then to list corresponding responses to Q2 and Q3 on the sheet on the right. In Q2 and Q3, encourage participants to respond to each factor they listed in Q1.

Scenario 2: The parents [community group] decide to focus on promoting community education to prevent sexual violence:

1. What areas should the parents focus on?
2. What should the parents do first?

Facilitator Instructions:
Record strategies for promoting community education on flipchart paper. When participants have finished brainstorming, discuss Q2.
Scenario 3: The parents decide to educate providers and professionals to prevent this from happening:
   1. Which providers and professionals should the parents work with?
   2. What should the education entail?

   *Facilitator Instructions:*
   Place two pieces of flipchart paper side by side. Ask participants to list responses to Q1 on the sheet on the left and then to list corresponding responses to Q2 on the sheet on the right. In Q2, encourage participants to share ideas for *each* response that they had given in Q1.

Scenario 4: The parents decide to change organizational practices and to focus on policies and legislation to prevent this:
   1. Which organizations should the parents work with?
   2. What organizational practices should they change?
   3. What policy or legislation is missing that would help prevent this from happening?

   *Facilitator Instructions:*
   Place two pieces of flipchart paper side by side. Ask participants to list responses to Q1 on the sheet on the left and then to list corresponding responses to Q2 on the sheet on the right. In Q2, encourage participants to share ideas for *each* response that they had given in Q1. Create a new flipchart page to record responses to Q3.
10.1 Introducing the Vignette

Learning Objectives: By the end of this session, participants should have an overview and basic understanding of the vignette tool.

Materials:
- Vignette handout
- Flip chart paper
- Markers

Preparations:
- Prepare one flipchart paper with the heading “Possible causes of [issue]?”
- Prepare three flipchart papers and hang them side by side for to record responses to Scenario 1:
  - At the top of the first flipchart paper write, “Individual Factors for [issue]”
  - At the top of the second flipchart paper write, “Knowledge to build/strengthen to prevent this”
  - At the top of the third flipchart paper write, “Skills to build/strengthen to prevent this”
- Make enough copies of the vignette to hand out to everyone in the group. You may use the vignette and scenarios provided in “Planning to use a Vignette” as a reference.
- Have enough markers for participants to use

Time: 1 hour

Learning Activities:

Activity 1: Learning by Participating (1 hour)
Before explaining the vignette tool, we will complete one as a group. Begin by passing out the vignette and reading it aloud to all participants.

Facilitator’s Note: Create (or adapt) a sample vignette to use in this introduction to the tool. In the next module, participants will create a vignette to use in their communities with community-specific data.

Read the vignette out loud to the group. Begin the discussion by asking participants: “What are some of the possible causes of [issue]?” Have participants list their ideas on flipchart paper. If the group gets stuck you can probe with additional questions, for example, “What makes someone perpetrate sexual violence against someone else?” “Consider factors at the individual, relationship, community and society levels.”

After participants have generated a list of possible causes, split the participants into two groups. Now we will focus on several different scenarios. Each group is given two different scenarios and questions to discuss to complete the vignette exercise.
Facilitator’s Note: There should be a training facilitator to work with each group. If there is only one training facilitator take the entire group through all four scenarios (or how ever many scenarios you have time for).

Each group facilitator should prepare flipchart paper according to the two scenarios they will use for discussion (either 1 and 2, or 3 and 4). Instructions for facilitators are given in the example in the section “Planning to use a Vignette,” above. Guide the group through the questions.

After the exercise, ask participants how they felt about the story and about the discussion questions. Tell participants that in the next Module, they will be creating their own community-specific vignettes.
10.2 Facilitating the Vignette

Learning Objectives: By the end of this session, participants should feel confident facilitating the vignette tool.

Materials:
- Vignette handout

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Tips for Facilitating the Vignette’ and write underneath this heading:
  - Briefly explain the exercise
  - Handout vignette
  - Read vignette out loud to participants
  - Begin with first listing exercise (you can paraphrase the questions to help participants brainstorm)
  - Hand over the stick and have participants write on flipchart paper or write down answers for them but always ‘check-in’ if you paraphrase
  - If there are two facilitators split group into two
  - Go through scenarios (deciding how many to do based on the time you have)
  - Prepare flipchart paper for scenarios
  - Take detailed notes of discussion
  - After exercise debrief with participants
    - What did they think
    - Did they like the exercise
- Make sure participants have toolkit Module 10 to refer to during this module.

Time: 3 hours

Learning Activities:

Activity 1: Explaining the Tool (30 minutes)
Post the “Tips for Facilitating the Vignette” on the wall. Walk through each step. Emphasize that the facilitation tips are very similar for each of the tools covered so far.

Tell participants that this tool is most easily done with two facilitators, one for each group, but can be facilitated by one person and revised to include only the number of scenarios that time permits.

Remind participants that facilitators should prepare the flipchart papers for this tool in advance. The facilitator should begin by reading the vignette and scenarios out loud before moving into discussion.
For discussion questions that build on one another (like those in Scenario 1) the facilitator should begin by fully listing out the responses to question 1 and then move to questions 2 and 3, encouraging responses to those questions that correspond to each response listed in question 1. For example, participants list the following individual factors in response to question 1: dysfunctional family, mental disorder, and low self-esteem. For question 3 you might ask, “What skills should we build or strengthen to prevent dysfunctional family dynamics?” “What skills should we build or strengthen to address mental disorders that lead to sexual violence?” “What skills should we build or strengthen to prevent low self-esteem?”

Tell participants that the vignette can follow the listing and ranking tool, but in many ways it is a stand-alone tool that follows the spectrum of prevention for possible prevention activities. Remind participants to read through and reference Module 10 in their Toolkit.

**Activity 2: Creating a Community Specific Vignette (1 hour)**
Have participants split into the teams with which they will be conducting their community research. Give them the sample vignette and have them utilize their Community Scope Overview data—and any other ideas from their own experiences and discussions with the coalitions—to create their own community-specific vignette. The scenarios should remain similar to the example provided in this guide. After all teams have completed their vignette, have each team read their vignette to the group.

Copy the vignettes from participants before they leave the training to have a master copy.

**Activity 3: Facilitating the Tool (1 hour, 30 minutes)**
Divide participants into two groups. Choose a volunteer from each group who will be the facilitator. Have the group facilitators prepare the vignette flipchart paper, with one person preparing flipcharts for scenarios 1 and 2, the other for scenarios 3 and 4. Have the facilitators for each group start the exercise by reading their vignette out loud and beginning discussion on their first scenario. Monitor each team and take notes for feedback. After 15 minutes, stop the activity and ask each facilitator how they felt. Provide feedback. Now switch facilitators in each group and continue with the exercise for 15 minutes. Once the 15 minutes is up, stop the groups and gather feedback from your facilitators and give your comments. Continue this way until everyone in the group has had a chance to facilitate.
10.3 Documenting the Data

**Learning Objectives:** By the end of this session, participants should feel be able to organize and manage the vignette data.

**Materials:**
- Flip chart papers used in the previous vignette exercise
- Markers
- Handout: “Vignette Write-Up Examples”
- Flipchart paper

**Preparations:**
- Make copies of the handout “Vignette Write-Up Example,” provided below.

**Time:** 20 minutes

**Learning Activities:**

**Activity 1: Organizing the Data (10 minutes)**
Have each team gather all their vignette flipchart papers. Have them label the flipchart papers. Observe the labeling and provide suggestions as needed. Have one group label the introduction vignette exercise as well.

**Activity 2: Writing-Up the Data (10 minutes)**
Give participants the handout “Vignette Write-Up Example.” Answer any questions that participants may have.
Vignette Write-Up Example
Example 1: From Project ENVISION

Facilitator reads vignette aloud

<table>
<thead>
<tr>
<th>Williamsburg Vignette</th>
</tr>
</thead>
<tbody>
<tr>
<td>A group of parents and concerned community members have come together to address a serious concern. Several female students at a neighborhood middle school report having been pressured by their male classmates to engage in sexual activity that makes them uncomfortable. Some of the girls described situations in which they were forced to have sex, and were made to feel embarrassed or even threatened when they said no. The parents and community members want to understand what causes sexual violence in the first place. They want to increase safety for young people by preventing sexual violence before it occurs, but they do not know where to start…</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Scenario 1: What are the factors that can cause INDIVIDUALS to perpetrate sexual violence?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Showing off: “cool not to be a virgin”, “notch on the belt”</td>
</tr>
<tr>
<td>Violent video games/media: “what they see, I love rap but it’s the videos and the songs. it’s that genre of music, videos with girls—video hos”</td>
</tr>
<tr>
<td>Opportunity: “if they are at a party, a girl gets drunk and there is alcohol, could cause opportunity for a guy to perpetrate sexual violence.”</td>
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<tr>
<td>Alcohol: “there is still right and wrong and regardless of alcohol, they should know the difference. Inhibitions are lowered. It’s a risk factor to drink alcohol.”</td>
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<tr>
<td>Lack of parental guidance/supervision: “latch key kids, alone, no parents. Related to opportunity, but in a society where both parents are gone all the time, there might not be parental guidance to teach the kids right from wrong”</td>
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<tr>
<td>Date rape: “there is a lot of date rape, they think they have a right, there is a sense of entitlement if it is their girlfriend”</td>
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<tr>
<td>Poverty: “I think it is related to the lack of parental guidance and supervision.”</td>
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<tr>
<td>Gender segregation/racial segregation: “In France, in high schools, they have to sign a document before they start school saying they will be respectful, if they don’t they have to leave school. It’s like there is some sort of gender segregation here compared to France. Boys and girls are not talking to each other. It devalues the other. Class segregation because of private schools and public schools.”</td>
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<tr>
<td>Lack of respect: “It’s really hard for me to think of the middle age school boy perspective. I feel like it’s not so hard, I see this every day, when they come out of schools, the most noticeable to me are peer pressure, the bravado, the showing off.”, “I lived near a middle school and I don’t think that teachers and officers are giving the respect to the children, they shout at them. There is no respect for the young men and groups of young men, everybody is automatically suspicious of them. I cross the streets sometimes, when I see a group of young men.”</td>
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<table>
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<tr>
<th>Scenario 2: Knowledge and skills the group could promote to prevent perpetration?</th>
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<tr>
<td>Peer pressure: “redirect the kids in another way, help them to have other outlets, prove manhood other ways, it’s scarce I think for them to have sports in schools, there is no energy outlet for them. They are all pent up. Sports, drama, creative outlets, the energy &amp; pressure, prove manhood in other ways”</td>
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Lay ground rules: “specifically say it’s not ok, openly talk about it, the community, the parents, the teachers, the peer mentors, nominate potential leaders, if you gave them a platform”.

Awareness: “Assemblies, Kids don’t respond well to hearing about consequences so it’s hard to do that. What about a celebrity that the group of teens respects, it depends on what race. If Beyonce showed up, they would listen, Kanye West. A universal role model. A celebrity or a huge sports star. We talk about big things, but what about little things that we can do, a dialog, I wish it was a thing that teachers talked about everyday in school. In NYC schools, the teachers have trouble talking about it because they won’t get anything else done. You can say, you shouldn’t speak like that to suzie, but what then. If the parents are involved around what’s going on in a real way.”

Facilitator asks, “What about knowledge?”

“It needs to start earlier than high school”

Respect for women: “verbal respect, physical respect, emotional respect”

Sex education: “I don’t even know if they do that any more. In Ireland, it was a school by school thing, patchy and not universal. Maybe they need to be more focused on making it real, less taboo to talk about the realities. Work with the girls and make them feel better about saying “no” and self-defense courses.”

Exposure to other media, other types of things: “if all they are exposed to is media that objectifies women. There is nothing wrong with being sexy, but that is different than objectifying women. Women have a right to wear what they want and be sexual, it doesn’t give boys the right to harass women. Teach feminism. Teach boys about women’s rights.

Counseling, guidance: “kids need someone cool to talk to.

Universal healthcare: “if everyone has access to mental health services they can get help before they perpetrate.”

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**Scenario 3: Promoting community education.**

Universal healthcare: “they don’t have to think of it as a burden to have mental health issues, they can get access to help.”

Involve parents: “have parent evenings where the focus of discussion is to prevent sexual violence, what they can talk to their kids about, encourage them to discuss sv with kids.”

Teach feminism in school: “gender studies, a curriculum.” Facilitator asks who writes curriculums. Find volunteers. Get people like [the Alliance, researchers] to do it. Neighborhood mentors, high school grads.”

Sports: “I wonder if sports and things need to be in schools? Couldn’t we get the community more involved? If we organize around getting the community to be involved in after school programs. The after school hours are when crime happens.”

Change school hours: “Change school hours to 9-5 so kids have less time out of school and are on a schedule like parents. If we get enough loud angry teachers involved and school personnel, they have more power to change in the schools.”

Consequences: “Create more consequences for sv, even sexual violence. Is expulsion a good consequence? If we are just excluding the perp, we are leaving them to continue perpetration. What do we do?” Facilitator asks what punishments work? Take away privileges, like driver’s license, curfew.”

Facilitator asks: Who should we be talking to about this? Talk to kids, groups of students. DARE was a massive disaster, it didn’t work for any of us.”
11 Community Mapping

Overview of Community Mapping

Planning to Use Community Mapping

Training on Community Mapping:
11.1: Introducing Community Mapping (2 hours)
11.2: Facilitating the Community Mapping (1 hour)
11.3: Documenting the Data (1 hour, 15 minutes)
Overview of Community Mapping

Similar to primary prevention, community asset mapping is positively-focused. Community mapping includes looking at the positive points about a community (assets and strengths) vs. looking at only the problems and needs.

Assets may be persons, physical structures, natural resources, cultural events, institutions, business or informal organizations. They are the tangible and intangible resources of the community.

Community asset mapping can include:
- Identifying the assets and strengths of a community (identifying assets),
- Utilizing a map or lists to convey this and other community information
  - What are the assets in the community
  - Where are they located

After the mapping process, groups can use identified assets and strengths to build relationships within the community for primary prevention (mobilizing assets). Furthermore, community members and organizations can strengthen and utilize identified assets for prevention of the issue (managing assets).

Why utilize community asset mapping? It is useful to conduct community asset mapping:
- When you don't know what the assets of the community are. This may be especially true when you are new to a community.
- When the community includes talented and experienced citizens whose skills are valuable but underutilized.
- When you want to encourage residents to take pride in and ownership for prevention.
- When you want to strengthen existing relationships and build new ones that will promote successful community development in the future.

Development of Community Mapping

The assets-based approach was pioneered by John Kretzmann and John L. McKnight in a seminal manual titled: Building Communities from the Inside Out: A Path Toward Finding and Mobilizing a Community’s Assets.

The graph below taken from The Community Asset Mapping, Mobilisation and Management (CA/M) Approach: A Case Study by Mwansa Saidi and Geci Karuri.
On this graph we can see the phases of a project beginning with initiation (which is the phase we are in now), which entails gathering data in order to plan. The second phase is production or beginning the prevention projects. The third phase is operation or the longer-term life span of the projects.

From the graph, we can see that community mapping can be conducted across the entire cycle of the projects. For us, this means that we can continually conduct community mapping across the entire project to identify new and changing assets. We see that mobilizing assets can begin the moment they are identified and continues with a peak in the beginning of the prevention projects as community members and groups become more involved. Managing assets really peaks during the long-term and is related to the sustainability of the projects and the community connections. Throughout this research process, it is important to think about asset mapping, asset mobilization and asset management.
Planning to Use Community Mapping

The facilitator’s role in the community mapping process is crucial in initiating discussion, encouraging participation, and facilitating the mapping. Once the participants start doing the analysis, the facilitators become observers and do not interfere except to facilitate discussion.

Setting Up the Community Mapping Session Step-by-Step Guide

Step 1: Identify Location, Date and Time
You can conduct community mapping anywhere people from the community have gathered. You can do community asset mapping at:
- Meetings
- Focus groups
- Workshops
- On the street

Community mapping can be conducted in either a formal or informal focus group setting. Community mapping is perhaps the easiest tool to use in an informal setting. If you decide to use an informal setting, pick a public location or space where you can spread the map out and people can write on it.

Once you have identified a location, pick a date and time for the community mapping process. You should allow at least 45 minutes for the mapping.

Step 2: Identify Potential Participants
Everyone can do community mapping! You can conduct an informal focus group and identify participants in public locations or you can conduct a formal focus group. For the formal focus group, consult with community coalition members to find out if there are specific people you should contact for the community mapping process.

Facilitation Step-by-Step Guide

Step 1: Prepare Map, Materials and Flipchart Paper
Prepare the flipchart paper ahead of time by writing each of the following headings on one piece of flipchart paper: 1) Physical assets, 2) People assets, 3) Institutional/Group assets, 4) Cultural assets, and 5) Parking lot. Place these pieces of flipchart paper next to one another. Make sure to post the flipchart paper where all participants can see it. The flipchart paper should be affixed to a wall or a flipchart easel to allow participants to write on the paper.

You will need a large piece of paper that can serve as the map OR if you are able to get a large aerial map of the community or a street-map, that can be very useful. You can either laminate the map and have participants write on it with dry erase markers or you can use small stick-it notes (a different color for each type of asset) and give a bunch of these to each participants to place on the map with their answers. It is important to have some semblance of a map before beginning the exercise, even if it is a big piece of paper with some basic streets drawn in.
Step 2: Explain the Activity
Begin the exercise by explaining the activity.

Example Explanation:
“We are going to start by exploring <community name?>. You can see I have a map of the community. We are going to look at the strengths or “assets” of the community. This can be either a physical asset such as a beautiful park, a people asset such a talented community artist, an organizational asset such as a local community-based organization or a cultural asset such as a great cultural celebration. We will start with physical assets and mark them on the map. So, let’s begin! What are the landmarks of the community?

Step 3: Start with Physical Assets
Tell participants that we will begin by brainstorming physical assets. Participants should say out loud their ideas and map them at the same time. As the facilitator, you should put the ideas on the flipchart paper marked physical assets. Participants can mark the physical asset with a dot, a sticky piece of paper, with abbreviations or with a picture. However they choose. Some of the physical assets might already be present on the map. Participants should still list these assets and outline them on the map.

Participants should use one specific color such as a green marker for marking all physical assets. Begin by asking participants two main questions: “What are the landmarks of the community?” and “What are the public open spaces (parks)?” Have participants brainstorm and mark their answers on the map. If participants do not know enough information about something or have a general question, put this on the “parking lot” flipchart paper for follow-up later. Continue by asking participants: “What are the other physical assets of the community?”

Step 4: Hand Over the Markers
This is one of the tools where everyone can be active in writing down their answers and where roles of leadership are reversed and participants become experts with valuable knowledge to offer. Don’t jump in with your own answers, instead encourage participants and let them do the mapping.

Step 5: Map People Assets, Organizational Assets and Cultural Assets

People Assets
After the physical assets, move participants along to identifying people assets by asking: “Who are the key champions for the issue [i.e. sexual violence prevention]?” “Who are the community activists?” and “Who are the community leaders?” This may be the hardest part of the exercise because knowledge of individuals may be limited. Encourage them to think back to their communities and people they know. What are their skills and assets? Reassure participants that this list will grow as the project progresses. List the people on the flipchart paper (map it if participants know their physical location). Refer to your copy of the “Community Assets Inventory” to provide guidance to the group if they get stuck.
Organizational Assets
Most of the time will be spent on identifying organizational or group assets as this is often easiest and the first place to start. Begin by asking participants: “What are the associations, organizations, and institutions that exist in the community?” Get as complete a list as possible. Have participants map the organizations (to the best of their ability—it doesn’t have to be perfect) as they say them with a specific color marker. Again, they can be creative in how they map the organizations and groups.

After a sizable list exists, ask the participants more questions to elicit information: “What social gatherings exist that enable people to learn about what is happening in the community?” “Where are the organized spaces for interaction where people can learn about, discuss, and act on community challenges?” and “What are some catalytic organizations that spur discussion on community challenges?” Refer to the “Community Assets Inventory” to help generate more ideas.

Cultural Assets
Lastly, we will be mapping cultural assets. These can include cultural events and beliefs that play an important role in community members’ lives. Start by asking “What are the long-term customs, behaviors, and/or cultural activities that have meaning to individuals and to the community?” These are often intangible assets and may not be able to be mapped. They should be listed on the flipchart paper for cultural assets.

Step 6: Parking Lot
Participants may have questions or may be unsure of answers or specifics of an organization or person, for all of these put them on a separate sheet of flipchart paper called the “parking lot”. This is where we can “park” certain questions or issues to follow-up on later. This also allows the notetaker to keep a very visual display of questions or issues that came up in the group.

Transitioning and Wrap-Up
After the mapping process, spend approximately 15–30 minutes debriefing. It is important to allow enough time for this otherwise the mapping process may be overwhelming and meaningless to participants. For the debriefing section, the facilitator should do the following:

- Examine the map with participants. Do any patterns emerge? Are certain types of assets all located in one area or are they spread out? Is there one type of asset that was easier to identify? Are there assets we need to learn more about?
- Examine the parking lot issues and develop a plan of action to address them. Assure participants that the community researchers will follow up on some of these issues.
- Opportunities for prevention. To end the session, conduct a round-robin and go around the room and ask each participant to tell everyone: 1. One thing they learned from the community asset mapping that they didn’t know before and 2. What they think might be an opportunity for prevention (either making connections, or strengthening and utilizing assets) in this community?
The community asset mapping exercise can be preceded by another exercise such as listing and ranking. You can transition to the community mapping by saying “Now we are going to examine and map some of the strengths and assets of <community name>.”

You can also transition from the community asset mapping into other tools such as the strategy diagram. You can transition by saying “Now we are going to examine how we might utilize some of these strengths for preventing and ending sexual violence”

**Community Assets Inventory**

Here is a list of some possible community assets taken from the Community Toolbox (ctb.ku.edu/en/tablecontents/sub_section_main_1043.htm). Check to see if participants identify some of these assets. If they get stuck, offer guidance on providing types of possible assets.

**Physical:**
- Landmarks
- Parks
- Natural resources

**People:**
- Community activists
- Community organizers
- Key Champions
- Key decision makers (policymakers and others)
- Volunteers

**Groups/Organizations:**
**Grassroots or citizens' associations:**
- All local neighborhood organizations
- Community centers
- Seniors’ groups
- Local officials, politicians, and leaders

**Institutions**
- Local public schools, universities, and community colleges
- Public hospitals or clinics
- Any publicly funded or private educational institution
- State or federal agencies
- Municipal libraries
- Police officers and other emergency personnel

**Community-based organizations**
- Housing organizations
- Food kitchens and emergency housing shelters
- Halfway houses, substance abuse homes, domestic violence shelters
• Churches
• Clinics and counseling centers
• Advocacy groups for violence prevention, environment, drug abuse reduction, youth involvement, etc.

Private sector
• Banks
• Chamber of commerce
• businesspersons’ associations
• Local businesses

Cultural
• Cultural holiday observation events
• Cultural events
• Cultural traditions and customs
11.1 Introducing Community Mapping

Learning Objectives: By the end of this session, participants should have an overview and basic understanding of community mapping.

Materials:
- Flip chart paper
- Large community maps
- Clear plastic dry erase surface
- Markers (including lots of green, red, purple and blue markers)
- Facilitator copy of “Community Assets Inventory”

Preparations:
- Prepare five pieces of flipchart paper with the following headings:
  o Physical Assets
  o People Assets
  o Institutional/Group Assets
  o Cultural Assets
  o Parking Lot
- Add more flipchart paper as necessary (be sure to include headings on all flipchart paper)
- Arrange community map with clear overlay on a table(s) just large enough to hold the map and provide a solid writing surface for all areas of the map
- Arrange chairs around this table ensuring that each chair can access the map OR have participants stand around the table for the session (the goal is to ensure that everyone participates).

Time: 1 hour, 45 minutes

Learning Activities:

Activity 1: Brief Overview of Community Mapping Presentation (30 minutes)
Give a brief presentation to the community researchers on the basics of community mapping. Below is a template of the information provided under “planning to use community mapping” section but divided out into slides for a presentation. Use this as a template or adapt for your specific project:

Slide 1: Title Slide

Slide 2: WHY community mapping?
- Similar to sexual violence prevention, community asset mapping is positively focused.
- Community mapping includes looking at the positive points about a community (assets and strengths) vs. looking at only the problems and needs.

Why?
Because those assets and strengths can be used to meet those same community needs (such as sexual violence prevention); they can improve community life.

Community assets and strengths can help end sexual violence.

Slide 3: WHAT is community mapping?
- Community mapping can include:
  - Identifying the assets and strengths of a community (identifying assets),
  - Utilizing a map or lists to convey this and other community information
    - What are the assets in the community
    - Where are they located
- WHAT about after the mapping process?
  - Use identified assets and strengths to build relationships within the community for sexual violence prevention (mobilizing assets)
  - Strengthen and utilize identified assets for sexual violence prevention (managing assets)

Slide 4: Community mapping is one part of the process

On this graph we can see the phases of a project beginning with initiation (the phase we are in now) which is gathering data in order to plan. The second phase is production or beginning the prevention projects. The third phase is operation or the longer-term life span of the projects. Community mapping can be conducted across the entire cycle of the projects. For us, this means that we can continually conduct community mapping across the five year project cycle to identify new and changing assets. We see that mobilizing assets can begin the moment they are identified and continues with a peak in the beginning of the prevention projects as community members and groups become more involved. Managing assets really peaks during the long-term and is concerned with sustainability of the projects and the community connections. We will keep in mind asset mapping, asset mobilization and asset management throughout this project.

Slide 5: What is a community asset?
- Assets may be persons, physical structures, natural resources, cultural events, institutions, business or informal organizations.
They are the tangible and intangible resources of the community

Slide 6: **Who** does community mapping?
- **Everyone** can do community mapping!
- For this project:
  - We started with the community mapping by doing transect walks in the community,
  - We will go through the mapping process today, and
  - The community researchers will also conduct community asset mapping.

Slide 7: **When** do you conduct community mapping?
- When you don’t know what the assets of the community are. This may be especially true when you are new to a community.
- When the community includes talented and experienced citizens whose skills are valuable but underutilized.
- When you want to encourage residents to take pride in and ownership for sexual violence prevention
- When you want to strengthen existing relationships and build new ones that will promote successful community development in the future.

Slide 8: **Where** do you conduct community mapping?
- **Anywhere** people from the community have gathered
- You can do community asset mapping at:
  - Meetings
  - Focus groups
  - Workshops
  - On the street

Slide 9: **How** do you conduct community mapping?
- Start by brainstorming with a group of people by asking the following questions:
  - Physical:
    - What are the landmarks of the community?
    - What are the public open spaces (parks)?
    - What are the other physical assets of the community?
  - People:
    - Who are the key champions for sexual violence prevention?
    - Who are the community activists?
    - Who are the community leaders?

Slide 10: **How** to conduct community mapping continued
- Institutions/Groups:
  - What are the associations, organizations, and institutions that exist in the community?
  - What social gatherings exist that enable people to learn about what is happening in the community?
Where are the organized spaces for interaction where people can learn about, discuss, and act on community challenges?

What are some catalytic organizations that spur discussion on community challenges?

- Cultural:
  - What are the long-term customs, behaviors, and/or cultural activities that have meaning to individuals and to the community?

Try to name as many assets as you can think of.

Slide 11: How to conduct community mapping continued

- After naming the assets, the next step is to map them if possible
  - You might not be able to physically map some of the “people” and “cultural” assets
  - If more information is needed, add this to the “parking lot” paper for follow-up

- After mapping the assets:
  - Look for patterns in location
  - Develop a plan for mobilizing assets
  - Community researchers reaching out to people/organizations for focus groups
  - Visiting different locations

Slide 12: Let’s Start!

- Now, let’s start mapping!
  - Green markers = physical assets
  - Red markers = people assets
  - Purple markers = organizations/group assets
  - Blue markers = cultural assets

Activity 2: Learning by Participating (1 hour)

Tell participants that we will begin by brainstorming physical assets. Participants should say out loud their ideas and map them at the same time. The facilitator will put the ideas on the flipchart paper marked physical assets. Participants can mark the physical asset with a dot, with abbreviations or with a picture. However they choose. Some of the physical assets might already be present on the map. Participants should still list these assets and outline them on the map. Participants should use a green maker for marking all physical assets. Begin by asking participants two main questions: “What are the landmarks of the community?” and “What are the public open spaces (parks)?” Have participants brainstorm and mark their answers on the map. If participants do not know enough information about something or have a general question, put this on the “parking lot” flipchart paper for follow-up later. Continue by asking participants: “What are the other physical assets of the community?” Spend five minutes on the physical assets portion.

**Facilitator’s Note:** Depending on the resources you have, the actual mapping may look differently. You can use sticky notes, laminated maps, blank sheets or whatever tools and resources you have. Get creative and have participants help you recreate the map of their community.
After the physical assets, move participants along to identifying people assets by asking: “Who are the key champions for the issue [sexual violence prevention]?” “Who are the community activists?” and “Who are the community leaders?” This may be the hardest part of the exercise because knowledge of individuals may be limited. Encourage them to think back to their community readiness assessments and who they have talked to or worked with in the community. Reassure participants that this list will grow as the project progresses. List the people on the flipchart paper (map if they can their physical location). Refer to your copy of the “Community Assets Inventory” to provide guidance to the group if they get stuck. Spend 10 minutes on identifying people assets.

We will spend the most time on identifying organizational or group assets as this is often easiest and the first place to start. Begin by asking participants: “What are the associations, organizations, and institutions that exist in the community?” Get as complete a list as possible. Have participants map the organizations (to the best of their ability—it doesn’t have to be perfect) as they say them with a purple marker. Again, they can be creative in how they map the organizations and groups. Ask participants to draw on data from their transect walks. After a sizable list exists, ask the participants more questions to elicit information: “What social gatherings exist that enable people to learn about what is happening in the community?” “Where are the organized spaces for interaction where people can learn about, discuss, and act on community challenges?” and “What are some catalytic organizations that spur discussion on community challenges?” Spend 30 minutes on this portion of the mapping.

Lastly, we will be mapping cultural assets. In a community as diverse as NYC, we must take into account the cultural assets that are resources in the community. These can include cultural events and beliefs that play an important role in community members’ lives. Start by asking “What are the long-term customs, behaviors, and/or cultural activities that have meaning to individuals and to the community?” These are often intangible assets and may not be able to be mapped. They should be listed on the flipchart paper for cultural assets. Spend 15 minutes on this section.

**Activity 3: Debrief (30 minutes)**

After the mapping process, spend approximately 30 minutes debriefing. It is important to allow enough time for this otherwise the mapping process may be overwhelming and meaningless to participants. For the debriefing section, the facilitator should do the following:

- Examine the map. Do any patterns emerge? Are certain types of assets all located in one area or are they spread out? Is there one type of asset that was easier to identify? Are there assets we need to learn more about? (10 minutes)
- Examine the parking lot issues and develop a plan of action to address them. Assure participants that the Alliance and community researchers will follow up on some of these issues. (10 minutes)
- Opportunities for prevention. To end the session, conduct a round-robin and go around the room and ask each participant to tell everyone: 1. One thing they learned from the community asset mapping that they didn’t know before and 2. What they think might be an opportunity for prevention (either making connections, or strengthening and utilizing assets) in this community? (10 minutes)
11.2 Facilitating the Community Mapping

Learning Objectives: By the end of this session, participants should feel confident facilitating the community mapping process.

Materials:
- Flip chart paper for groups
- Large community map
- Clear plastic dry erase surface
- Markers (including lots of green, red, purple and blue markers)
- Facilitator copy of “Community Assets Inventory”

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Facilitating Community Mapping’ and write underneath this heading:
  - Arrange room or space for easy access to marking on the map
  - Briefly explain the exercise
  - Prepare all flipchart papers ahead of time
  - Have community map on hand or recreate the basics
  - Have system for marking on community map (clear overlay paper or sticky notes)
  - Start with brainstorming on physical assets
  - Continue with brainstorming on other assets
  - State the questions out loud
  - Write participant answers on flipchart paper
  - Have participants “map” their answers
  - Encourage discussion
  - Put questions for follow-up on “parking lot” flipchart paper
  - Debrief by examining map

Time: 1 hour

Learning Activities:

Activity 1: Explaining the Tool (5 minutes)
Post the “Tips for Facilitating Community Mapping” on the wall. Walk through each step. Emphasize that the facilitation tips are very similar for each of the tools covered so far. The difference with community mapping is that participants will “map” the resources in the community. This exercise is less about opinions and more about what resources exist in the community. Highlight the importance of having participants map their own answers and also making sure they vocalize their answers for the whole group to hear (and so the facilitator can write it on the flipchart paper). Tell participants to emphasize the reason for community mapping: to best utilize and strengthen community resources.

Activity 2: Facilitating the Tool (55 minutes)
Divide participants into two groups. Choose a volunteer from each team who will be the facilitator. Have each team’s facilitator prepare the flipchart papers with the five headings: 1) Physical assets, 2) People assets, 3) Institutional/Group assets, 4) Cultural assets, and 5) Parking lot. Have the facilitator for each team start the exercise with their team with a specific neighborhood or community in mind. Monitor each team and take notes for feedback. After 10 minutes, stop the activity and ask each facilitator how they felt. Provide feedback. Now switch facilitators in each group and continue with the exercise for 10 minutes. Once the 10 minutes is up, stop the groups and gather feedback from your facilitators and give your comments. Continue this way until everyone in the group has had a chance to facilitate for 10 minutes. If the group finishes the exercise before everyone has had a chance to facilitate then have them start a debrief session.
11.3 Documenting the Data

Learning Objectives: By the end of this session, participants should feel be able to organize and manage the community mapping data.

Materials:
- Previous class “mapping” examples
- Markers
- Handout: “Managing Assets Worksheet”
- Flipchart paper

Preparations:
- Make copies of the handout “Managing Assets Worksheet”

Time: 1 hour, 15 minutes

Learning Activities:

Activity 1: Organizing the Data (15 minutes)
Have each team gather all their community mapping flipchart papers. Observe the labeling and provide suggestions as needed.

Instruct participants that if they utilized sticky notes to map the assets the most useful thing they can do is to first take several close-up photos of the map before they move it. Try to keep all the sticky notes in place before rolling up the map (perhaps by applying extra tape).

Activity 2: Writing-Up the Data (1 hour)
Give participants the handout “Community Mapping Write-Up Examples”, going through each one. Highlight that the “map” in community mapping is a great way to visually represent community data. Other information can be added to the map as well (from the other exercises). Emphasize the majority of the data will be available on the actual map and on the flipchart paper but to keep notes of any important conversation or discussion that took place during the activity and to write that up as well.

Label Assets and Insert Information into the “Managing Assets” Worksheet
The sticky notes placed on the map to locate assets should be numbered according to asset type. Start with a physical asset sticky note and label it G1 (green denotes physical assets). It does not matter which asset you start with. Give each physical asset its own number starting with G1 and continuing on with G2, G3, G4, G5, etc. After they have numbered all the physical assets, begin with the people assets. Red denotes people assets. Start with one asset and label it R1. Continue on with labeling the people assets with R2, R3, R4, R5 until all the people assets have been labeled.
After people assets, start labeling organizational/group assets. Yellow denotes these type of assets. Begin with an organization/group that has been mapped and label it Y1. Again, it does not matter where you start. Continue to give each group/organization its own number by labeling Y2, Y3, Y4, Y5 and so on, until all the organizational/group assets have been labeled. Finally, start with the cultural assets and begin labeling them with B1 (blue), B2, B3 and so on. Continue labeling until all the cultural assets have a number. Not only should you label the assets that were mapped by the group but also the assets that are mentioned in the “Parking Lot” flipchart paper.

Once they have labeled all of the information, the next step is to enter the information into the ‘managing assets’ worksheet. This worksheet has a separate table for the four types of assets (physical, people, organizational/group and cultural). The first column contains the numbers they have just labeled (G1, R1, Y1, B1, etc.).

**Facilitator’s Note: Have participants use the map they created in this module to fill in the Assets Worksheet. Make sure they have some time on each section of the worksheet.

To start, find G1 on the map, and insert the name of the asset (example: ‘Washington Square Park’) in the column labeled ‘Name of Asset’. In the next column insert any information that was learned through the mapping session on this asset (example: A lot of young people hang out at Washington Square Park). Finally, insert any follow-up notes. Follow-up notes might be located in the ‘parking lot’ flipchart paper or might have come up during conversation (example: research upcoming events in Washington Square Park). Once you have finished with G1, move onto G2, G3, etc. until all the physical assets have been inserted into the worksheet.

After finishing the physical assets, move onto the next table for people assets. Find the asset labeled R1 and insert the name of the person. Move onto the next column and insert any information about that person that was discussed in the mapping session. And finally, insert any follow-up notes. Continue onto R2, R3, R4, etc until you have inserted all the information that was mapped.

Now move onto organizational/group assets. Find the asset labeled Y1 and insert the name of the organization or group into the ‘Name of Asset’ column. Then move onto the next column and include any information obtained from the mapping session or subsequent research on this organization or group. Lastly, include any follow-up notes.

The last table represents the cultural assets. Find the asset labeled B1. It is important to note that cultural assets may not have been “mapped” but they will appear in the notes from the mapping session. Similarly to mapped assets, you should give a number to the notes pertaining to separate cultural assets. List the name of the cultural asset in the column labeled “Name of Asset”. Remember that cultural assets can be events, behaviors, and/or traditions. Next insert any information learned about the asset. Finally, document any follow-up notes in the last column. Continue on with B2, B3, B4, etc. until all the cultural assets have been included in the table.
Managing Assets Worksheet

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12 Scope Survey

Overview of the Scope Survey

Planning to Use a Scope Survey

Training on the Scope Survey:
12.1: Introducing the Scope Survey (15 minutes)
12.2: Facilitating the Scope Survey (3 hours, 20 minutes)
12.3: Documenting the Data (45 minutes)
Overview of the Scope Survey

The scope survey is used to ascertain the prevalence of a specific public health or social issue in the groups of people who participate in the action research. The tool is designed as a confidential, self-administered tool so that researchers are not able to match surveys to participants.

Participants of all focus groups in Project ENVISION completed a confidential picture survey to assess their experience with sexual violence. To address scope, the picture survey targets four forms of sexual violence experienced by: sexual violence as a child (consistent with the WHO definition as a girl under the age of 15), sexual violence as an adult, sexual violence in the home by an intimate partner, and sexual violence while working or at a job.

Participants were asked to mark whether or not they had experienced each of the four forms of sexual violence at some time in their lives. Participants placed their surveys into envelopes, which were mixed together to ensure anonymity.

This proved to be a useful tool for determining group prevalence of sexual violence victimization.

Development

The design of this survey was based on a study conducted by the World Health Organization (WHO), which assessed health and domestic violence against women and girls in several countries. In most sites, the WHO found a higher reported prevalence of sexual violence when prevalence was measured using an anonymous pictorially based method of reporting. This is consistent with other studies that found that respondents often find it easier to disclose highly stigmatized information using anonymous formats (WHO, 2005).

Using these findings, we developed our survey to represent pictorially the questions that a research facilitator reads aloud, and assuring participants that their answers would remain anonymous, even to the researchers. In addition, the use of pictures renders this survey a low-literacy tool, which may prove to be an effective format for lower literacy or non-native English speaker communities.

This tool was piloted during 2006 in six focus groups with immigrant women in French, Spanish and English during the pilot study entitled: *Bringing the Global to the Local: Utilizing Participatory Research to Address Sexual Violence with Immigrant Communities in NYC.*
Planning to Use a Scope Survey

Depending on the issue you are exploring in your research you can utilize the scope survey as a template and make your own survey (using scope or other questions). You can do this anonymously as presented below or if your issue isn’t sensitive, you can do it as a group. You can develop a picture-based survey as presented below or a longer, more in-depth survey—it all depends on your community and the action research you are engaged in.

Facilitating the scope survey
You can use the scope survey at the end of every focus group. Allow at least 10-15 minutes before wrapping up the session to conduct the survey. When introducing the survey, you should emphasize that it is anonymous. Tell participants they should not write their names on the survey and that we will be combining the surveys for the group and will not be able to link a survey back to anyone. A sample introductory script is below.

Scope Survey Introduction
“Thank you everyone for your participation so far. We have one last exercise to do with you. This is a silent exercise. There is no discussion for this survey. Right now my co-facilitator is handing out a piece of paper with some pictures on it, an envelope and a pen. It is important that you don’t write anything down on the paper until I lead you through the questions. It is also important that you use the pen we have provided because this survey is anonymous. This survey is about your personal experiences with sexual violence. It will be very brief and does not ask for any details. We are looking for the prevalence, or scope, of sexual violence that exists among our focus group participants. This quantitative data will complement the detailed qualitative data we are gathering in the focus groups. It is completely volunteer and anonymous, if you prefer to not do the survey you don’t have to. Are there any questions?”

Facilitating the Scope Survey

Step 1: Hand out Scope Surveys and Materials
Hand out a scope survey, a manila envelope and a pen to each participant.

Step 2: Read the Questions:
Read aloud the questions, with a matter-of-fact-tone, trying not to make this an emotional or drawn out exercise. Leave a 30–45 second space between each question. Read the questions clearly and slowly making sure you are consistent in the way you ask each question.

The Questions:
Protocol for Question #1
On the top of this page is a picture of a group of children.
Before you were 15 years old?

Yes  □  No  □

You can answer this question whether you are a man or a woman. Underneath this picture, you will see the words ‘yes’ and ‘no.’

I would like you to put a mark in the box below the word ‘yes’ if someone has ever touched you sexually, or made you do something sexual that you didn't want to, **before you were 15 years old**. Please put a mark in the box below the word ‘no’ if this has never happened to you.

**Question #2**
Next to #2 is a picture of a **person**.

After the age of 15?

Yes  □  No  □

Underneath this picture, you will see the words ‘yes’ and ‘no.’

I would like you to put a mark in the box below the word ‘yes’ if someone has ever touched you sexually, or made you do something sexual that you didn't want to, **after you were 15 years old**. Please put a mark in the box below the word ‘no’ if this has never happened to you.

**Question #3**
Next to #3 is a picture of a **home**.

By a husband, wife, boyfriend, girlfriend, or partner?
Yes  No

Underneath this picture, you will see the words ‘yes’ and ‘no.’

No matter what you have already told me, I would like you to put a mark in the box below the word ‘yes’ if a husband, wife, boyfriend, girlfriend or partner has ever touched you sexually, or made you do something sexual that you didn't want to.

Please put a mark in the box below the word ‘no’ if this has never happened to you.

**Question #4**
Next to #4 is a picture of a workplace.

While working or at a job?
Yes  No

Underneath this picture, you will see the words ‘yes’ and ‘no.’

I would like you to put a mark in the box below the word ‘yes’ if someone has ever touched you sexually, or made you do something sexual that you didn't want to, while your were working or at a job. Please put a mark in the box below the word ‘no’ if this has never happened to you.

**Step 3: Gather Scope Surveys**
After all participants have finished, gather all the manila envelopes and put them in a larger manila envelope. Continue on with the wrap-up of the session.
12.1 Introducing the Scope Survey

Learning Objectives: By the end of this session, participants should have an overview and basic understanding of the scope survey.

Materials:
- Scope survey handout
- Manila envelopes
- Pens

Preparations:
- Make enough copies of the scope survey to hand out to everyone in the group
- Hand out one manila envelope to each participant
- Hand out one pen to each participant

Time: 15 minutes

Learning Activities:

Activity 1: Learning by Participating (15 minutes)
Before explaining the scope survey, we are going to complete one with the entire group. Follow the directions in the previous section to administer the survey with the training participants.

**Facilitator’s Note: This activity should follow along with learning about another tool. Directly after introducing another tool, introduce the scope survey so that participants can learn to put this after other tools.
12.2 Facilitating the Scope Survey

Learning Objectives: By the end of this session, participants should feel confident facilitating the scope survey.

Materials:
- Scope survey protocol handout

Preparations:
- Prepare one piece of flipchart paper with the heading: ‘Facilitating the Scope Survey’ and write underneath this heading:
  - This should happen at the end of every focus group
  - Explain briefly that we will be doing a very short and anonymous survey
  - Hand out questions
  - Hand out manila envelopes
  - Hand out pens
  - Explain that this survey will ask participants about personal experiences with sexual violence
  - Explain that this survey is anonymous and tell participants they should not write their name on the paper
  - Read the protocol for each question
  - After all questions are completed have participants put the survey in the manila envelope
  - Collect all envelopes and mix them together in a larger envelope
    - The larger envelope should be labeled with the focus group date, facilitators, community and number of participants
  - The scope survey will always be the last part of a focus group
    - Thank everyone for his/her participation
    - Tell them more about the community coalitions
    - Ask if they want to become involved
- Make sure participants have copies of Module 12 of the toolkit
- Make enough copies of the scope survey and protocol for participants.

Time: 3 hours 20 minutes

Learning Activities:

Activity 1: Explaining the Tool (20 minutes)
Post the “Tips for Facilitating the Scope Survey” on the wall. Walk through each step. Emphasize that the survey is anonymous. Mix all the surveys together in the end in a large labeled manila envelope. Emphasize that it is important to keep the groups’ scope surveys together and appropriate labeled. Tell groups that they will calculate the percentage of people who have experienced sexual violence in each focus group. Explain that once the researchers
have analyzed the surveys and recorded the percentages, they should give the hard copies of the surveys to the coalitions or lead organization for backup.

Also highlight the importance of time management as a facilitator. They should leave at least 15 minutes at the end for conducting the scope survey and for thanking people for their participation.

Also emphasize to the group that they should do a scope survey for EVERY focus group and that it should always be the last exercise. Once the scope survey is finished, it is important to thank participants for their time, tell them about the community coalition’s work and invite them to become involved either by attending the town hall meeting or by becoming a member of the coalition.

**Facilitator’s Note: Community researchers may feel uncomfortable facilitating this exercise because it asks people about their own experiences with sexual violence. It is important to remind the community researchers that if the researcher demonstrates a level of comfort in asking the questions, it will likely make participants feel more comfortable. Practicing the introduction and facilitation tool will help the community researchers feel more comfortable.**

**Activity 2: Facilitating the Tool (3 hours)**

Explain that we will now practice facilitating a tool of their choosing followed by the scope survey. Each participant will have the chance to facilitate a tool for 30 minutes and the scope survey for 10 minutes. Each facilitator must choose a different tool to facilitate.

Divide participants into two groups. Choose a volunteer from each team who will be the first facilitator. Have each team’s facilitator prepare the exercise. Have the facilitator go through their tool with the team. Instruct the facilitator that they should monitor the clock and wrap-up the exercise after 30 minutes and move into doing the scope survey. The trainer should monitor each team and take notes for feedback. After 40 minutes, stop the activity and ask each facilitator how they felt and check in to see if they managed their time and were able to complete the scope survey. Provide feedback. Now switch facilitators in each group and have them facilitate a new tool and the scope survey. Once the 40 minutes is over, stop the groups and gather feedback from your facilitators and give your comments. Continue this way until everyone in the group has had a chance to facilitate for 40 minutes. Highlight the importance of time management and wrapping up the exercise (or moving it along) to fit the time constraints of the group. Also highlight the importance of the thank you at the end (since the scope survey is the last exercise) and to encourage participants to become involved if they are interested.
12.3 Documenting the Data

Learning Objectives: By the end of this session, participants should be able to organize and manage the scope survey data.

Materials:
- Scope surveys used in previous exercise
- Manila envelopes
- Pens

Time: 45 minutes

Learning Activities:

Activity 1: Organizing the Data (15 minutes)
Ask each participant to gather all their scope surveys from the previous activity. Instruct them to combine the scope surveys into a large manila envelope and label the envelope according to the format desired (with date, number of people, location of focus group, facilitator’s name). Instruct participants to put this information on the front of the manila envelope as well as on every page of the enclosed scope surveys.

Emphasize to participants the importance of keeping all the scope surveys from each focus group in their own manila envelope. Make sure the manila envelope is labeled appropriately.

Activity 2: Writing-Up the Data (30 minutes)
Tell participants that the best way to manage the scope survey data is either through excel or manually. They should calculate a frequency for each question in the group in the form of a percentage.

Step 1: Calculate Group Frequencies
You should calculate a frequency for each question for the group by using the total number of people in the group as the denominator (e.g., 8) and using the number of people who answered “yes” as the numerator (e.g., 4). Record these numbers. Then to calculate a percentage, divide the numerator by the denominator and calculate this number as a percent (e.g., 4/8 = .5 or 50%). Continue writing up the results in this way for each question. It is important to both calculate and record the “frequency” and the percent because the frequency will be used to calculate an overall percentage for each question.

Step 2: Add this Information to the Focus Group Report and Save
Include this information at the end of the write-up report for the focus group session.

Step 3: Add Information to Community Data Sheet
After you have finished tabulating frequencies, add this information to the “Community Data Sheet.” You will be recording the total number of people from the group that answered “yes” to each question as well as the total number of people who completed the scope survey. These
numbers will be added to the existing numbers and a new overall frequency should be calculated. You should save the Community Data Sheet with a new date and to put the updated date on the top of the sheet and share this immediately with their partner in case they need to add more information (and so that you are both working from the same copy).

**Facilitator’s Note: Have participants calculate the frequencies for their example scope surveys.**
13 Facilitating Focus Groups

Overview of Participatory Focus Groups

Planning Focus Groups

Training on Focus Group Facilitation:
13.1: Developing a Participatory Focus Group (2 hours, 25 minutes)
13.2: Facilitating Formal Focus Groups (3 hours, 30 minutes)
13.3: Documenting the Data (30 minutes)
Overview of Focus Group Facilitation

Participatory focus groups are groups of people assembled for a discussion. In participatory focus groups, the discussion is an active one that flows from the respondents’ discussion instead of being entirely predetermined. The facilitator is a co-learner and helps facilitate the participation process but does not try to focus the group toward a specific pre-determined outcome.

Planning an Agenda
Participatory focus groups allow you as the facilitator the flexibility to develop agendas based upon the respondents and the discussion. While it is useful to develop the participatory agenda ahead of time, you can also respond to the discussion in the moment and change your agenda. Many of the tools presented in this guide can be mixed and matched together to create a focus group agenda. There are several things to keep in mind when developing a focus group agenda including:

- **The Timeframe:** You will have an idea once you set up the focus group how much time you will have with participants. It is very important not to go over the time promised to participants. You can set up a focus group to last anywhere from 30 minutes to two hours. If you plan anything over two hours you may begin to lose the attention of participants. The timeframe will be one of the best indicators of what tools you will be able to use in a focus group, as some tools take longer to facilitate than others.

- **The Audience:** It is important to keep the audience in mind when developing the agenda. You can utilize tools that will be well suited to your audience. For example, if you will be having a focus group with policymakers, utilizing some of the strategy and visioning tools such as the strategy diagram and the vignette may be especially suited to them. Likewise, if you are meeting with community members who may or may not be literate, you should utilize more discussion based participatory tools such as the interrelationships diagram or the vignette. Knowing your audience will help you choose the best tools for the group.

- **The Location:** You should find out as much as possible about the location before the focus group session. The location may also influence your choice of tools. For example, will it be possible to have two groups? If not, you might want to forego the two-group version of the vignette.

- **The Information Gathered to Date:** Your focus group agenda should be influenced by the information you have gathered to date and the requests of the Community Coalition. For example, if you have gathered a lot of diverse data on root causes but very little in-depth data on strategies for prevention, you may want to switch to more strategy specific tools such as the strategy diagram, the street intercept survey, interviewing and the vignette.
Combining Tools
All of the tools presented can be combined to create specific focus group agendas. The following represents various combinations of tools that can be used together based on the questions used in Project ENVISION. This is not an exhaustive list but represents various examples and depending on your research there may be other combinations that work as well.

For an overview of root causes:

L&R with Q: What forms of sexual violence are most common in COMMUNITY NAME? + PT with “Sexual Violence” listed in the tree trunk as the problem.

Key:
L&R = Listing and Ranking
SD = Strategy Diagram

For an in-depth analysis of root causes (and also opportunities for prevention):

L&R with Q: What are the main causes of sexual violence in COMMUNITY NAME? + ID with top 5-6 voted causes in the L&R.

PT with “Sexual Violence” listed in the tree trunk as the problem. + ID with all the roots listed in the PT.

L&R with Q: What are the main causes of sexual violence in COMMUNITY NAME? + PT with top cause identified in the L&R put into the trunk of the PT to examine the root causes of this root cause.

For an overview of community assets:

L&R with Q: Why do you like living in COMMUNITY NAME? + CAM covering as many asset types as time allows.

CAM covering all asset types.

Key:
L&R = Listing and Ranking
CAM = Asset Mapping
V = Vignette
SD = Strategy Diagram
ID = Interrelationships Diagram
PT = Problem Tree
ST = Solutions Tree
For an in-depth analysis of community assets and opportunities for prevention:

**L&R** with Q: What are the strengths of COMMUNITY NAME? + **SD** starting with the second box

**CAM** covering as many asset types as time allows. + **V** with community specific story.

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For an overview of prevention strategies:

**SD** starting with second box

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For an in-depth analysis of prevention strategies related to a specific form of sexual violence:

**V** with community specific story. + **ST** with storyline of the vignette listed in the trunk of the tree.

**L&R** with Q: What forms of sexual violence are most common in COMMUNITY NAME? + **ST** with main form as identified in the L&R listed in the trunk of the tree.

**L&R** with Q: What forms of sexual violence are most common in COMMUNITY NAME? + **V** with community specific story.

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For an analysis of prevention strategies across the spectrum of prevention:

**L&R** with Q: What forms of sexual violence are most common in COMMUNITY NAME? + **V** with spectrum of prevention.
For an overview of prevention priorities:

| L&R with Q: Who do you think is most affected by sexual violence in COMMUNITY NAME? | + | PT with the sexual violence of the group listed in the L&R put in the trunk of the tree. |

For an in-depth analysis of prevention priorities:

| L&R with Q: Who do you think is most affected by sexual violence in COMMUNITY NAME? | + | PT with the sexual violence of the group listed in the L&R put in the trunk of the tree. | + | ID with the root causes listed in the PT. |

| OR | SD focused on group identified in the L&R. |

V with spectrum of prevention.
Planning Focus Groups

Developing a Participatory Focus Group: Step-by-Step Guide

Step 1: Identifying Participants for the Focus Group
The first step is to identify who you want to be in the focus group. This information can come from three sources:

1. From the organizations, groups and people listed in the community asset mapping,
2. From ideas generated from the Community Coalition, and
3. Your own research on groups, organizations and people within the community.

You should develop a list of 20–25 groups to reach out to for focus groups.

Step 2: Outreach and Relationship-Building
Recruiting for focus groups takes a considerable amount of time, energy and persistence. You can conduct outreach via phone and/or email. Wherever possible, you should try and get specific contact information for individuals. Ask the community coalitions or initiator of the project if they have specific contacts. Once you have the specific contact information, you can write an email to this person explaining the project and the focus group.

If you are unable to get a specific contact person, write to as many people as possible in the organization. You can conduct web research to find emails of appropriate or call and ask the receptionist who the best person to talk to would be.

If you are reaching out to people within an organization, it is recommended that you email them first to tell them about the project and the focus group and follow-up by calling if they do not respond. Ideally, you should include specific dates and times that you are available to conduct the focus group in the initial email to reduce the amount of emailing required to set up the focus group.

Below is a sample email or phone script for the initial outreach. If possible, include the name of the person who is linked to the person you are contacting. For example, “Judy Smith at the Community Space office suggested I contact you. She told me about the great work your organization is doing in Newcastle…”

Keep contacting people until you hear a definite NO or YES. People often forget to reply or may be thinking about it. Do not feel like you are bothering people. If you are, they will most likely tell you. Be persistent. Be prepared to spend a lot of time emailing and calling people. This is NORMAL for arranging focus groups—

Sample Email or Phone Script for Initial Outreach
This sample script was used for Project ENVISION, use this as a template to develop your own script.

Dear _______.

Dear _______.
My name is .............. . I am a community researcher with the COMMUNITY NAME community coalition. This coalition was formed this year with the main goal of ending sexual violence in COMMUNITY NAME. Coalition members include the NYC Alliance Against Sexual Assault, NAMES OF RAPE CRISIS PROGRAMS ON COALITION, community members and other community organizations and groups.

We are at the very beginning and are reaching out to other members of the community to gather opinions on the causes of sexual violence and where to start our work.

I’m contacting you to see if we could set up a time to come and hold a focus group with members of your organization (OR to see if you would be interested in attending a focus group/interview).

The focus group can last anywhere from 30 minutes to 2 hours and we have some participatory activities for brainstorming about the causes of sexual violence, prevention priorities in the community and community assets. We can provide snacks for the participants and can also talk about services available in the city. We can also distribute a “health map” which is a foldable pocket sized subway map on one side and a comprehensive list of counseling resources on the other side for participants.

I was wondering if you/your organization would be available for a focus group on any of the following dates? INSERT DATES AND TIMES. I can also come during normally scheduled community group times, classes and/or staff meetings.

I look forward to hearing from you!

Warm Regards –

Once you have a personal contact that is interested, plan the details of the focus group with them as soon as possible including the date, time, location, expected number of participants, room set-up, preferred snacks and language of the focus group.

Keep in constant touch with your contact especially if the focus group is planned far in advance. You can do this by sending reminder emails about the focus group; working with them to finalize logistics. Or just find a reason to email them, just to keep you in their mind. One example might be to send them notices of events they might be interested in, etc.

**Step 3: Develop Agenda**

Part of developing an agenda is to decide if you are going to facilitate the focus group on your own or as a team (also note that you will need a notetaker unless you audio record the sessions). Some of the vignettes may require two facilitators. Next, develop an agenda based on the group and your feedback from the community coalition. Using the examples provided in this module, develop a draft agenda of activities. Keeping in mind that you may need to be flexible on the day of the focus group to allow for discussion or to build upon participant responses.
Step 4: Develop Logistical Plan
There are several logistical pieces that should be planned prior to the focus group. These include: food, room set-up, transportation and materials.

You can provide food for longer focus groups, specifically snacks or beverages. You will need to consider who will buy the snacks or food and how much you want to spend. Also, you will need to figure out how to get the food to the focus group site and if you need additional supplies (napkins, plates, cups, etc). Lastly, you should ask your contact ahead of time if food would be a good idea in the space. Some spaces do not allow food or beverages.

Room set-up is also an important logistical arrangement that will need your consideration. Ask your contact ahead of time about the room. Try to arrange the space so that participants can move around easily and access the flipchart papers. You can do this by arranging flipchart papers on the wall. You can also ask your contact if they have a flipchart easel available for your use. You should plan on arriving at least 20–30 minutes early to arrange the space and prepare your flipchart papers.

You will also need to make a plan of all the materials you will need for each exercise. You should bring enough of the following materials for all participants (and some extra):
- Focus group consent forms
- Any handouts you have
- Scope Surveys
  - Manila envelopes
  - Pens
- Flipchart paper
- Working markers
- Coalition sign-up sheet

If you are co-facilitating the focus group, be very clear with your partner about who is bringing what to the focus group. Try to prepare the flipchart papers and pack all of the needed materials ahead of time.

Beginning the Focus Group: Step-by-Step Guide

Step 1: Starting the Focus Group
As a facilitator, it is your responsibility to start and end on time. Try not to start late. Respect those who have arrived on time. If only a few people have arrived, start with a brief introduction, the ground rules and maybe an icebreaker and do the consent after more people have arrived. If people have arrived after you do the consent form, begin with the exercise and instruct participants what to do and get them started and pull the latecomers aside and go through the informed consent process with them.

Step 2: Introductions
The introduction should be the first part of the focus group. The introduction includes:
- Welcoming people to the focus group and thanking your personal contact,
• Giving a brief introduction of yourself and any other facilitators or community coalition members, and
• A brief introduction of the Community Coalition or the people involved in planning your project.

Example Introduction from Project Envision:
I’d like to welcome everyone today and thank you so much for agreeing to meet with us. My name is ............. . I am a community researcher with the COMMUNITY NAME community coalition. This coalition was formed this year with the main goal of ending sexual violence in COMMUNITY NAME. Coalition members include the NYC Alliance Against Sexual Assault, NAMES OF RAPE CRISIS PROGRAMS ON COALITION, community members and other community organizations and groups. I would also like to introduce my colleague, ____________________, who is also a community research. (OR, I would like to introduce________________ who is a member of the community coalition, OR I would like to introduce____________ who works at the NYC Alliance Against Sexual Assault.)

We are at the very beginning and are reaching out to other members of the community to gather opinions on the causes of sexual violence and where to start our work as a coalition. Your ideas will be very helpful to us as we begin this process. We would also like to invite those who are interested in joining the coalition. We have monthly meetings and will be deciding as a group an action plan to end sexual violence in COMMUNITY NAME.

Step 3: Informed Consent
After the introduction, you can move on directly to the informed consent. In the informed consent process, you will tell the participants about and will follow the informed consent form. It is important to remember to tell participants how long the focus group will last.

Getting informed consent is MANDATORY. You should always go through this process prior to the research. Below is a sample script based off of Project ENVISION’s informed consent form.
Example Informed Consent:
As I mentioned earlier, we are conducting research to find out how to end sexual violence in COMMUNITY NAME. We are conducting many discussion groups such as this one to talk about where you think we should start, what you think causes sexual violence and what the strengths of COMMUNITY NAME are that can help in achieving this goal.

This discussion group may be unlike any other group you have attended in that it will be an active discussion. We will be using diagrams and charts and may be moving around quite a bit. The goals is to have everyone share their thoughts and to learn from one another.

This discussion group will last ________ (put in specific time). We will do our best to end on time. In this group we will be focusing on ___________________________ by doing an activity called the _______________________ (list specific activities here). Though we are flexible and can explore things that come up in conversation.

There are no wrong answers here. We are interested in each of your views, so we hope that you will each feel free to say what you think. Talking about sexual violence can sometimes be hard. We will not be asking about personal experiences during the discussion but we will ask you to complete an anonymous survey at the end of the discussion group. This survey will be completely anonymous and we will not be able to link it back to anyone in this group. If you are uncomfortable about answering a question or completing the survey, it’s OK to say so and not answer the question or do the survey.

If for any reason you feel uncomfortable or upset, either during or after the discussion group, you can speak to my colleague or me after the discussion group. I can arrange for you to speak with sexual violence counselors. We will give everyone an information card with telephone numbers of several organizations that offer free counseling services in New York City.

No one except the group facilitators and the other group members will know that you took part in the research. We will be taking notes during the discussion. We will not record your name or any other personal things about you during the group. We ask that everyone in this room not reveal outside the group, any information they may have heard in the group. Even though we will ask people in the group not to reveal anything to others, we cannot guarantee this.

We have snacks and drinks available for you if you want during the discussion. Your participation in this research is voluntary. If for any reason you don’t want to or can’t participate, please let me know now.

The sheet of paper I handed out titled “Consent Form” includes all of the information I just mentioned. It also includes phone numbers you can call if you have questions about the study.

Does anyone have any questions about the research? Or anything that I have mentioned?

You do not have to sign anything to participate. You just have to let me know verbally if you would like to participate.
Step 4: Ground Rules
You can transition directly from the informed consent process into the ground rules. Ground rules ensure that everyone is on the same page and can help ensure a smooth focus group. The ground rules should be written out ahead of time on flipchart paper and displayed throughout the focus group. As a facilitator, it is important for you to come up with your own ground rules. You can also ask participants if they have additional ideas to add to your ground rules.

Example 1: Ground Rules
- Only one person talks at a time.
- Confidentiality is assured. “What is shared in the room stays in the room.”
- It is important for us to hear everyone’s ideas and opinions. There are no right or wrong answers to questions – just ideas, experiences and opinions, which are all valuable.
- It is important for us to hear all sides of an issue – both the positive and the negative.
- It is important for women and men’s ideas to be equally represented and respected.
- You do not have to answer any questions that make you feel uncomfortable.
- No side conversations because it interferes with individual’s full participation in the group discussion and also makes it difficult to take notes of the discussion

Here are two different example ground rules:

Example 2: Ground Rules
- We will treat everything that is said in the group as confidential
- We will give respect to each other by listening to what is being
- Everyone’s view will be treated with respect—even when his or her view is very different from our own.
- Participate to the fullest of your ability

Step 5: OPTIONAL: Icebreakers
Your focus groups may include participants that already know each other. For example, you may be holding focus groups at staff meetings or with already existing groups. BUT it is possible that you will conduct focus groups with people who do not know each other. In this case, it is best to begin with an icebreaker.

When designing your icebreaker, think about the “ice” that needs to be broken.
- If you are bringing together like-minded people, the “ice” may simply reflect the fact that people have not yet met.
- If you are bringing together people of different backgrounds, cultures and outlooks for work within your community, then the “ice” may come from people’s perceptions of each other. (Mind Tools, 2008)
You’ll need to handle these differences sensitively. *Only focus on what’s important for the focus group.* (Remember, you want to break some ice for the focus group, not uncover the whole iceberg!)

It’s always best to focus on similarities rather than differences. Ideally, the icebreakers for the focus group should last no more than 15 minutes.

*Sample Icebreakers*

Many of the following icebreakers come from mind tools (mindtools.com/pages/article/newLDR_76.htm). You can utilize these or use your own!

- **True or False:** Ask your participants to introduce themselves and make three or four statements about themselves, one of which is false. Now get the rest of the group to vote on which fact is false. As well as getting to know each other as individuals, this icebreaker helps to start interaction within the group.

- **Interviews:** Ask participants to get into twos. Each person then interviews his or her partner for a set time while paired up. When the group reconvenes, each person introduces their interviewee to the rest of the group.

- **Ball Challenge:** This exercise creates a simple, timed challenge for the team to help focus on shared goals, and also encourages people to include other people. The facilitator arranges the group in a circle and asks each person to throw the ball across the circle, first announcing his or her own name, and then announcing the name of the person to whom they are throwing the ball (for the focus group, you should use first names only) When every person in the group has thrown the ball at least once, it’s time to set the challenge – to pass the ball around all group members as quickly as possible. Time the process, then ask the group to beat that timing. As the challenge progresses, the team will improve their process, for example by standing closer together. And so the group will learn to work as a team.

- **Word association:** This icebreaker helps people explore the breadth of the area under discussion (i.e. sexual violence). Generate a list of words related to sexual violence or prevention. Write all suggestions on the board, perhaps clustering by theme. You can use this opportunity to introduce essential terms. This icebreaker can also be a useful tool in understanding community definitions of either sexual violence or prevention.

- **Where Your Name Comes From:** Ask participants to tell a short story about where their name comes from.

- **What You Love:** Pass around a ball of string or a roll of ribbon. Have participants cut any amount of the string/ribbon as they want. Once everyone has cut his or her string. Have participants go around and wrap the string/ribbon around their finger. For each time they wrap it around their finger, they should say one thing that they love.
The Role of the Facilitator

The role of a facilitator includes:
- Prepare all materials ahead of time
- Obtain verbal consent to participate from participants
- Introduce the research
- Keep participants focused, engaged, attentive and interested
- Monitor time and use limited time effectively
- Use prompts and probes to stimulate discussion
- Plan a flexible agenda
- Politely and diplomatically enforce ground rules
- Make sure everyone participates and at a level that is comfortable
- Limit side conversations
- Encourage one person to speak at a time
- Be prepared to explain or restate questions
- Diffuse and pre-empt arguments
- Wrap-up and thank participants for their time

The Role of the Note-Taker

The role of a Note-taker includes
- Bring all necessary materials to the focus group
- Materials to record the focus group, including writing utensils (more than one, in case a pencil breaks or a pen runs out of ink) and a lot of paper
  - Bring a flip chart as well as markers of different colors for recording information (as needed) on a flip chart or dry erase board.
  - Note: if a dry erase board will be used in place of a flip chart, be sure that dry erase markers are available or that you bring this type of marker.
  - Tape for affixing flip chart pages to the wall, as needed.
  - Ensure that ground rules for the focus group are written clearly and neatly on a flip chart (it may be helpful to do this beforehand)
  - Assist the facilitator in arranging the room (e.g., seating, flip chart stand and paper, placement of the ground rules, etc.)
  - Record discussion, major themes, ideas, comments and observations regarding group dynamics
  - Label all flipchart paper after the focus group has ended
- You are primarily an observer and will not participate in the focus group.

Not all focus groups will have a note-taker. You should figure out ahead of time if you will use a note-taker or will audio record sessions. If you plan to audio record sessions you must ask participants in the beginning if this is ok. If it is not, you should have a back-up plan. If there is no note-taker, then the facilitator is also responsible for labeling all the materials and writing down the notes from the focus group. You may find it useful to discretely take notes or jot down memory aids during discussion periods.
Step-by-Step Guide to Facilitation

Step 1: Introduce the Activity
The first step is to briefly introduce the activity. For example, “we are going to begin by doing a brainstorming and ranking exercise.” Refer to the tool modules for specific ways to introduce each activity.

Step 2: State the Question(s) Clearly
After the brief Overview of the activity, you should clearly state the questions that will be answered for the activity and write them on flipchart paper.

Step 3: Open it up to the Group
After you state the question, open up the discussion to the group. Encourage people to participate.

Step 4: Write Participant Responses
You can choose to either have participants write their own responses on the flipchart paper or you can write them as they say them. It will depend on the comfort level of your group as this will involve participants getting up and going to the flipchart paper.

If you write down participants’ answers be sure to write word for word or if you need to paraphrase to check-in with them that you have captured what they’ve said.

If you have participants write their own answers make sure they also vocalize their responses. Sometimes participants will just start getting up and writing answers but this does not help the group process. Instead, participants should say out loud their answer so that everyone can hear as they are writing it down.

Step 5: Active Listening
Good listening is key to conducting focus groups that will result in the collection of useful information. Being a good listener means being an “interested” listener. This is done by demonstrating that you are paying attention to what participants are sharing, staying neutral, and practicing appropriate silence.

During the focus group, you should practice active listening. Active listening involves not only hearing what someone is saying, but also noticing body posture and facial gestures (i.e., any changes in nonverbal behavior) that might provide cues as to the appropriate or necessary ways to engage participants. It is important to show participants you are listening to what they are saying. Some ways to do this include:

- Leaning forward slightly
- Looking directly at participants while they are speaking,
- Encouraging participants that their ideas are good, or
- Nodding at appropriate times

These behaviors also help participants to be more engaged. On the other hand, looking away, yawning, or frequently checking your watch will most likely make participants feel that you are
not listening. If participants suspect that you are not listening to them, they may take their role of sharing expert knowledge less seriously and may not elaborate or provide much detail with their answers.

**Step 6: Facilitation NOT Participation**
Facilitate, don’t participate. It’s easy to start giving ideas for root causes or on other questions. This should be avoided. However, participants may ask for your opinion. This can be sidestepped by saying “I’m not really sure what the answers are, that’s why we are reaching out to lots of people. We want to get as many ideas as possible.”

Try to feel comfortable with “quiet spaces”. This can be done by not jumping in too much. The silence may mean that the participants are thinking about the question.

It is important to stay neutral even if you have strong opinions about the topic. People may express opinions you don’t agree with. Our goal is not to educate people to think the way we think but to gather information about what the community thinks. Try to be as neutral as possible and not express your emotions. You can always debrief with others involved in the project afterwards.

Throughout the focus group, you can use phrases such as “thank you, that is helpful” or “thank you for that idea”. Comments such as “I can’t believe it!” or “You really think that?!?” are not appropriate remarks for a facilitator to make, because they infer your opinion and impose judgment on the participant, which will shut down discussion.

**Probing**
Probing helps to clarify what a respondent has said and to help get more detailed information on topics of interest. Examples of probes include:
- “Please tell me (more) about that…”
- “Could you explain what you mean by…”
- “Can you tell me something else about…” (Omni toolkit, 2008)

Probes help to keep respondents talking. A general rule to follow is to interrupt the respondents as little as possible. If you feel that you need to follow-up with something they said by using probes, make a mental note of it and ask them about it when they have finished their thought.

It is important to note that probing is not finishing a respondent’s thoughts or leading the respondent to answer in a specific way.

One of the goals of this research is to try and see things from the respondent’s perspective. Using probes for clarification helps you to gather good information while avoiding the assumption that you understand the meaning of a key word, phrase, or perspective of the interview respondent. Furthermore, clarifying questions and probes gives the interview respondent clues as to how specific you would like their answers to be by asking them for clarification, details, and examples.
The interviewer should not make assumptions about the opinions of the respondent. To help ensure that you are not assuming, make small steps in your questioning with simple questions, not big leaps. Say, for example, that a respondent lists “girls not understanding” as an answer in response to the question “what causes sexual violence in COMMUNITY NAME?”. You would want to probe by asking, “could you tell me what you mean by girls not understanding?” In this way you will get more detail and elaboration from the respondent and will keep you from making assumptions about what they have shared.

Using probes to clarify what the interview respondent has said reinforces the fact that the respondent has expert knowledge, based on their direct experiences with the topic that the researcher wants to understand. Good probes let the respondent know that you are listening to their answers and that you would like to know more detail about where they are coming from about the topic. This also helps to establish the rapport that is so important to the interview and focus group processes.

**Step 7: Time Management**

As a facilitator, it is your responsibility to start and end on time. Try not to start late. Respect those who have arrived on time. If only a few people have arrived, start with a brief introduction, the ground rules and maybe an icebreaker and do the consent after more people have arrived. If you have already begun the activities and someone new joins the group, continue with the exercise and pull the latecomers aside and go through the informed consent process with them.

As a facilitator, try to keep the focus group moving along. Check in with participants about time about half way through the focus group session. This is a good way to move forward even if you haven’t fully completed an exercise. For example, you can ask “how are we doing on time? It looks like we have 35 minutes left, even though we haven’t finished looking at the effects of sexual violence, let’s move on to examine the relationship of the root causes more in-depth.” Doing this allows you the space to jump in and guide the remaining time.

It is important to **end on time**, even if this means not finishing an exercise or the scope survey. After each focus group, use the information you gained about how long activities take to reassess future focus group agendas. In general, try to always leave 10-15 minutes at the end for the scope survey if you choose to do that tool and the wrap-up.

**Handling Difficult Situations**

**Various Focus Group Respondents**

*Know-it-alls*

Know-it-alls have an answer (and usually only one) to every question. For example: “The only thing that is going to end sexual violence in our community is to make sure that our young men have something else to do with their time. It’s that simple.” Some possible responses to this type of respondent might be: “That’s a really valid point, but we need to get everyone’s good ideas” or “What do others think? Are there other ideas on ways to end sexual violence?”

*Noncontributors*
The overall approach to working with quiet or non-contributing respondents is to state at the beginning that you would like everyone to participate. You can also ask generally during the group, “I’m very interested in hearing how other people are feeling about this issue”. The best approach for non-contributors is NOT to put them on the spot. Instead tools that work well for non-contributors include smaller group tools such as the vignette and tools that involve short answer and/or individual activity such as the listing and ranking and problem tree. If you have several non-contributors you may decide during your group to switch and do some of these tools.

Overcontributors
If someone is doing a lot of the talking, this may prevent others from contributing their thoughts, and limits the usefulness of the focus group. It is important to notice when this is happening and do what you can to try to make sure that other people have the opportunity to say things, even if they seem reluctant at first or insist that what is being said by others reflects what they would have said. If someone is dominating the conversation, you might want to respectfully acknowledge their contribution, and thank them, saying something like, “I really appreciate your comments.” Then make direct eye contact with other people and ask something like, “I’m very interested in hearing how other people are feeling about this issue” or “It’s very interesting to get a variety of perspectives, and I would like to hear from other people as well.” (Omni Toolkit, accessed 2008).

Situations

Side Conversations
If people are having conversations among themselves, it can disrupt the focus group by making the other participants feel uncomfortable, making it hard for people to hear what others are saying, and making it hard for the facilitator to focus on what is being said. You can address side conversations in the ground rules. Stress that it is very important not to have side conversations because it interferes with individual’s full participation in the group discussion and also poses challenges for recording the discussion.

If side conversations do occur during a focus group, do not stop the conversation abruptly. You might respectfully remind people of the ground rules and ask that people finish their conversations and rejoin the larger group discussion that is taking place.

This kind of disruption may also signal that it is time to take a break, and you may want to suggest no more than a five minute break (so that people can use the restroom – make sure people know where to go – or to stretch). It is important to make sure people know the time the focus group will reconvene and be proactive about bringing people back together.

Children
It is possible that community members, especially women, will need to arrange for child care in order to attend a focus group session. Find out ahead of time from personal contacts helping to coordinate the group if child care can be provided on site.

Tangents and Getting Off Track
Sometimes the conversation will start to stray away from the topics of the focus group. When this happens, you might take advantage of a pause and say, “Thank you for that interesting idea. Let’s continue our discussion of …. ” Another strategy is to orient the group to the time you have remaining for your discussion. You do not want the duration of the focus group to extend beyond the amount of time you communicated to participants. You can also use this as an opportunity to indicate that you want to be sure that you hear from others as well and refocus back on the original question.

No-Response
What do you do if no one responds to a question you ask? Ask yourself the following:

- Was the question too difficult for the participants to understand? Perhaps try asking the question in a different way.
- Is the tool too difficult for participants? If so, you can change tools. One idea might be to go back to listing and ranking or a problem tree.

The lack of response might be due to respondents not hearing you. Make sure participants heard you by repeating the question. Also, be sure to allow some time to pass before expecting a response. Maybe participants are just thinking.

No response might be an indicator that the topic has been exhausted. Are people tired of talking about the topic and/or do they have no more to say about a topic? You can approach this by asking, “Is there anything else that you would like to share? [pause] If not, we can move on to our next question.” This communicates to participants that this is their opportunity to contribute any additional thoughts and allows you to move on to the next topic more naturally and politely. If you think you haven’t gotten all of the information you want on that topic, rather than trying to force things, just be aware that there may be other opportunities throughout the focus group to explore the issues.

Another possible reason for nonresponsive participants is that they may be feeling uncomfortable about talking. This typically occurs at the beginning of a focus group and is less likely to occur when focus groups start with an icebreaker or the facilitator is able to set a comfortable tone and put people at ease in the beginning. If this continues to be an issue during the focus group you may need to back up and do a little work to make people feel more comfortable. You can do this in several ways. One way is to talk about easier topics such as things that you think participants may be more familiar with or comfortable talking about. Another way is to break participants into smaller groups. This is especially helpful for those who may feel bashful speaking in front of others.

Either way, you can remind participants that they don’t have to answer questions that make them feel uncomfortable. You can always take a step back and take the temperature of the group by asking “How does everyone feel about this question?” “How do people feel about discussing this issue in the group?”

Remember it’s okay sometimes to just wait it out. Be quiet for a moment and allow people time to think. Often, someone will speak up, either to answer the question or to ask a question that allows you to have a better understanding of the silence.
Transitioning and Wrap-Up

Part of facilitation includes piecing together parts of the focus group such as the:
- Intro
- Tools
- Scope Survey (if you decide to use this tool)
- Conclusion

Most of the tools build upon each other, which makes the transition easier. Be sure to have all materials prepared ahead of time or prepare them as you are facilitating (i.e. writing the question on the flipchart paper as you are saying it).

It is useful to utilize a transition phrase when moving from one tool to another. Phrases such as “Now that we have voted on the top form of sexual violence, let’s explore more in-depth what to do about it…” or “Now that we have examined the cause and effects of sexual violence, let’s look closer at the relationship between causes…”

At the end of the focus group, you should provide a brief wrap-up. This wrap-up should include expressing thanks to everyone for their participation and express how useful the focus group has been for the objective of finding out how to end sexual violence in the community.

You will then want to transition to speaking about the community coalition. At this point you can talk about any upcoming events and invite participants to join the community coalition if they wish.

Finally, you should hand out any information you brought with you.

After the Focus Group

After the focus group ends it is important to personally thank your contact if they are present. If they are not present, you should send a brief email thanking them for helping you set up the focus group.

One of the immediate tasks after the focus group is to hang around in case participants have questions. Once the participants leave make sure to clean up the space. Be sure to take all materials with you.
13.1 Developing a Participatory Focus Group

Learning Objectives: By the end of this session, participants should feel confident developing an agenda for a focus group session.

Materials:
- Developing a Participatory Focus Group: Agenda Worksheet
- Specific Situations: A Focus Group Development Worksheet
- Pens

Preparations:
- Copies of the “Developing a Participatory Focus Group: Agenda Worksheets”
- Copies of “Specific Situations: A Focus Group Development Worksheet”

Time: 2 hours 25 minutes

Learning Activities:

Activity 1: Developing a Participatory Focus Group (40 minutes)
Have participants split up into their teams. Instruct participants to develop two focus group agendas for the following time allotments:
- 30-minute focus group
- 1-hour focus group
- 1.5-hour focus group
- 2-hour focus group

Tell them to leave approximately 15 minutes open at the beginning for introductions, ground rules and informed consent process and 15 minutes open at the end for the scope survey (if you are using this tool) and conclusion. Have participants mark their agenda on the “Developing a Participatory Focus Group: Agenda Worksheet”. Give participants 20 minutes for the exercise.

After 20 minutes, tell participants to come back to the larger group. Ask one team volunteer to present their agendas. After the first category of 30 minutes, ask the other teams if they had different agendas. Have them share their agendas. Continue in this way until all the various agendas have been shared. Have participants turn in their agenda worksheet to you. Tell them you will type up the various combinations as an “agenda ideas” document and hand that out during the next training session.

Activity 2: Developing a Participatory Focus Group for Specific Situations (1 hour)
Now have participants split into different teams of two or three. Tell them we are going to create agendas for specific situations. Hand them the “Specific Situations” worksheet and give them 30 minutes to work through the situations, discuss with their partners and come to a consensus on an agenda that fits the situation.
Developing a Participatory Focus Group: Agenda Worksheet

Develop two focus group agendas for the given timeframes below.

*Example: 30-minute timeframe*
5 minutes: introduction and informed consent process
15-20 minutes: Listing and Ranking with the question “Who do you think is most affected by sexual violence in COMMUNITY NAME?”
5-10 minutes: scope survey and wrap-up

1. Two Agendas for a 30-minute timeframe
   a. b.

2. Two Agendas for a 1-hour timeframe
   a. b.

3. Two Agendas for a 1.5-hour timeframe
   a. b.

4. Two Agendas for a 2-hour timeframe
   a. b.
Specific Situations: A Focus Group Development Worksheet

Develop draft focus group agendas for the following situations:

1. You want to conduct an informal focus group outdoors in Union Square Park. You plan to approach people who are sitting around. You want something that will make people curious to join and something flexible that people can come and go as they please. You decide to spend approximately 30 minutes on an activity, perhaps more time if people are interested and available. Develop two different sample focus group agendas. For informal focus groups, you do not need to include the scope survey at the end.

   a. 
   b. 

2. You just met with the Community Coalition and they want to follow-up with what appears to be a community priority: addressing child sexual abuse. Specifically, they would like to get some ideas on how to do that. Plan a 1.5-hour focus group.

   a. 
   b. 

3. You have finally gotten through to the police precinct and they said you could come and conduct a focus group with several officers. They said you could have a 1.5-hour time slot to discuss sexual violence. Plan two sample agendas for this focus group.

   a. 
   b. 

4. You have managed to reach out to one of the only organizations that works with batterers and sexual offenders. You are planning to hold a focus group with the staff at one of their 2-hour staff meetings. Plan two sample agendas.

   a. 
   b. 

5. You will be holding a focus group with the student peer counselors at the local college. They are inviting you to their 2-hour evening meeting groups. There will be 20 student peer counselors at this meeting. They have asked you to spend the first hour with the group. Plan two sample agendas.

   a. 
   b.
6. The local Community Board is a big supporter of this project and has agreed to participate in a 1.5-hour focus group. Plan two sample agendas.

a. 

b. 

After 30 minutes, have groups come back to the larger group and share their results. The point of the exercise is that there are many different ways to obtain specific data and to mix and match the tools. The participants have the creative flexibility to develop participatory focus group agendas. But it will come out that specific tools are much better in some situations than others. You can discuss this as a group.

**Activity 3: Arranging the Focus Group Presentation (45 minutes)**

Below is a sample presentation on planning focus groups. You should include the information that is specific to your research and use this as a template to develop your own presentation.

Slide 1: Title Slide

Slide 2: Outreach for Formal Focus Groups

- You can conduct outreach via phone and/or email
  - Review the community maps from each group
  - Developing a list of 20-25 groups to reach out to
  - Email community coalition members to see if they have any contacts at these groups
- Write to specific contacts
- If no specific contact, write to as many people as possible in the organization.
  - Web research to find emails
  - Or call and ask receptionist who the best person to talk to would be.
- Recommend emailing first and then calling
- Include specific dates and times that you are available to conduct the focus group
  - This gives them something concrete to work with

Slide 3: Email/Phone Script

Dear ________.

My name is ___________ . I am a community researcher with the COMMUNITY NAME community coalition. This coalition was formed this year with the main goal of ending sexual violence in COMMUNITY NAME. Coalition members include the NYC Alliance Against Sexual Assault, NAMES OF RAPE CRISIS PROGRAMS ON COALITION, community members and other community organizations and groups.
We are at the very beginning and are reaching out to other members of the community to gather opinions on the causes of sexual violence and where to start our work.

I’m contacting you to see if we could set up a time to come and hold a focus group with members of your organization (OR to see if you would be interested in attending a focus group/interview).

The focus group can last anywhere from 30 minutes to 2 hours and we have some participatory activities for brainstorming about the causes of sexual violence, prevention priorities in the community and community assets. We would provide food to the participants and can also talk about services available in the city. We can also distribute a “health map” which is a foldable pocket sized subway map on one side and a comprehensive list of counseling resources on the other side.

I was wondering if you/your organization would be available for a focus group on any of the following dates? INSERT DATES AND TIMES. I can also come during normally scheduled community group times, classes and/or staff meetings.

I look forward to hearing from you!

Warm Regards –

Slide 4: Outreach
- The email/phone script is a sample of how to conduct the initial outreach
  - Feel free to change it as needed
    - Include the name of the person who is connected with the outreach person if applicable.
    - “Judy Smith at Community Space office suggested I contact you. She told me about the great work your organization is doing in Newcastle.…”
- Keep contacting people until you hear a definite NO or YES
  - People often forget to reply or may be thinking about it.
    - Being persistent is key!
    - Be prepared to spend a lot of time emailing and calling people….this is par for the course with arranging qualitative research

**Facilitator’s Note:** Share your personal experiences of outreach to set up focus groups. Highlight that persistence is key!

Slide 5: Relationship Building with Contact
- Once you have a contact that is interested, plan the details as soon as possible.
  - Date
  - Time
  - Location
  - Expected number of participants
  - Room set-up
  - Preferred snacks
• Language
  o Keep in constant touch with your contact especially if the focus group is planned far in advance.
    o Send reminder emails about the focus group
    o Nail down logistics
    o Find a reason to email them, just to keep yourself in their mind
      ▪ Send notices of events they might be interested in, etc.

Slide 6: Developing the Agenda and Plan
• Decide if you are going to facilitate the focus group on your own or as a team.
  o The Vignette should be facilitated by two people
• Develop an agenda based on the group and your feedback from the community coalition.
  o There may specific planning pieces that are missing that may be supplemented by various tools
• Develop a plan for the focus group
  o Transportation to the focus group
  o What you will bring

Slide 7: Logistics for the Focus Group: Food
• You can provide food as needed for the focus groups
  o Snacks
  o Beverages
• It is not necessary but may be appreciated
• You will have to buy the snacks ahead of time and be reimbursed by the Alliance
  o Keep your receipts
  o Try not to go over $20 per focus group
• Should figure out how to get food to the focus group site and if you need additional supplies (napkins, plates, cups, etc)
• Should ask your contact ahead of time if food would be a good idea in the space.

Slide 8: Logistics: Room Set-Up
• Ask your contact ahead of time about the room.
• Try to arrange the space so that participants can move around easily and access the flipchart papers.
  o Can arrange flipchart papers on the wall
  o Ask your contact if they have a flipchart easel available
• You should plan on arriving early to arrange the space and prepare your flipchart papers.

Slide 9: Logistics: Materials
• Make a plan of all the materials you will need for each exercise.
• You should bring enough of the following materials for all participants (and some extra):
  o Focus group consent forms
  o NYC Health Maps
  o Scope Surveys
    ▪ Manila envelopes
    ▪ Pens
Slide 10: After the Focus Group

- Thank your contact
  - In person at the end of the session
  - By email later
- Clean up the space
- Be sure to take all materials with you
- Hang around in case participants have questions
- Decide how long you want the workshop to go (3 hours? 4 hours?)
  - That will determine which methods you will be able to cover
- Think of how to divide participants into the research stations
  - Assign them or let them choose when they arrive OR allow them to choose once the session start?

Slide 11: Involvement of Coalitions in Research

- Monthly report back meetings
- In addition, let the coalitions know when you have focus groups
  - Ask if any of them want to come and observe
    - Limit observers to 1 person per group.
    - Involve them in explaining the coalition at the beginning and the end.
    - Touch base with them ahead of time and make sure they know the location
    - Have them meet you there early (you don’t want them to be late!)
    - Explain to them that they will only be able to observe and not participate
      BUT that you would love for them to share a bit about the coalition at the end.

Slide 12: Questions?

- Any questions?
- This information is covered in detail in your toolkit.
- We will have the chance to practice:
  - Setting up a formal pilot focus group
  - Setting up informal pilot focus groups
13.2 Facilitating Formal Focus Groups

Learning Objectives: By the end of this session, participants should feel confident facilitating a focus group.

Materials:
- Toolkit Module 13
- Flipchart paper
- Markers

Preparations:
- Make sure participants have the Toolkit Module 13
- Prepare sample ground rules on several pieces of flipchart paper. These will be discussed during slide 7 of the PowerPoint presentation. Write out each of the following ground rules on its own flipchart paper:
  - Ground rules
    - Only one person talks at a time.
    - Confidentiality is assured. “What is shared in the room stays in the room.”
    - It is important for us to hear everyone’s ideas and opinions. There are no right or wrong answers to questions—just ideas, experiences and opinions, which are all valuable.
    - It is important for us to hear all sides of an issue—both the positive and the negative.
    - It is important for women’s and men’s ideas to be equally represented and respected.
    - You do not have to answer any questions that make you feel uncomfortable.
    - No side conversations because it interferes with individual’s full participation in the group discussion and also makes it difficult to take notes of the discussion
  - Ground rules
    - We will treat everything that is said in the group as confidential
    - We will give respect to each other by listening to what is being
    - Everyone’s view will be treated with respect—even when their view is very different from our own.
    - Participate to the fullest of your ability

Time: 3 hours 30 minutes

Learning Activities:

Activity 1: Facilitation Skills: Presentation (2 hours)

This is a sample presentation used in Project ENVISION that is adaptable.
Slide 1: Title Page

Slide 2: What Is Covered

- The roles of the facilitator and note-taker in participatory focus groups
- How to lay ground rules and begin the focus group
- Key skills for facilitating a focus group including:
  - Listening skills
  - Maintaining neutrality
  - Encouraging participation
  - Not making assumptions
  - Probing
- How to handle specific participant behaviors
- How to transition between tools
- Time management
- This is a lot of information
  - It is also covered in-depth in your toolkit
  - Feel free to ask questions at any point

Slide 3: Roles: Facilitator

The role of a facilitator:

- Prepare all materials ahead of time
- Obtain verbal consent to participate from participants
- Introduce the research
- Keep participants focused, engaged, attentive and interested
- Pass the “stick” to participants
- Monitor time and use limited time effectively
- Use prompts and probes to stimulate discussion
- Plan a flexible agenda
- Politely and diplomatically enforce ground rules
- Make sure everyone participates and at a level that is comfortable
- Limit side conversations
- Encourage one person to speak at a time
- Be prepared to explain or restate questions
- Diffuse and pre-empt arguments
- Wrap-up and thank participants for their time

Slide 4: Roles: Note-taker

- Role of a Note-taker
  - Bring all necessary materials to the focus group
  - Materials to record the focus group, including writing utensils (more than one, in case a pencil breaks or a pen runs out of ink) and a lot of paper
    - Bring a flip chart as well as markers of different colors for recording information (as needed) on a flip chart or dry erase board.
    - NOTE: if a dry erase board will be used in place of a flip chart, be sure that dry erase markers are available or that you bring this type of marker.
Tape for affixing flip chart pages to the wall, as needed.
Ensure that ground rules for the focus group are written clearly and neatly on a flip chart (it may be helpful to do this beforehand)
Assist the facilitator in arranging the room (e.g., seating, flip chart stand and paper, placement of the ground rules, etc.)
Record discussion, major themes, ideas, comments and observations regarding group dynamics
Label all flipchart paper after the focus group has ended
You are primarily an observer and will not participate in the focus group.

Slide 5: Roles Cont.
• Not all focus groups will have a note-taker.
  o Figure out in your teams if you need a note-taker
    ▪ Useful for tools with multiple groups and lots of discussion like the Vignette
• If no note-taker
  o Label all materials
  o Write up notes from the focus group
  o Discretely take notes or jot down memory aids during discussion periods.
  o Make sure you audio record
• If audio-recording
  o Obtain consent from participants before you record anything!
  o Have a back-up plan if they decide they don’t want to be recorded
  o Make sure you have enough tapes/batteries, etc for the session
  o Check the tape-recorder discreetly throughout the session.

Slide 6: Ground Rules
• It is important to lay out some ground rules in the beginning to ensure a smooth focus group
  o These ground rules should be written and posted on a flipchart paper
• On the wall are sample ground rules charts—use the ground rules that are most comfortable to you as a facilitator.
  o Are there other ground rules you would add?

**Facilitator’s Note:** Spend about 10 minutes brainstorming additional ground rules with participants. Write down the additional ground rules on the flipchart paper.

Slide 7: Preparation
• Part of the facilitation includes preparation for the focus group
  o Try to gather from your contact information about participants and the room set-up.
  o Prepare all necessary materials ahead of time.
  o Plan on being early to the focus group site.

Slide 8: Introductions/Icebreakers
• Practice your introduction
  o Tell them who you are
  o Tell them about the research
  o Tell them about the Community Coalition
Tell them about agenda for the focus group (the time that will be spent, that it is participatory, etc.)
Go over the ground rules
Most of your focus groups will include participants that already know each other
  Focus groups at staff meetings
  Focus groups with already existing groups
BUT it is possible that you will conduct focus groups with people who do not know each other
  In this case, it is best to begin with an icebreaker
  In your toolkit is a list of sample icebreakers
  Ice breakers should take no more than approximately 10 minutes

**Facilitator's Note:** Spend about 25 minutes conducting some of the icebreakers in the list with the group. Ask the group if they have other icebreakers they want to share.

Slide 9: Facilitation: Listening
- Good listening is key to conducting focus groups that will result in the collection of useful information.
- Being a good listener means being an “interested” listener.
  - This is done by demonstrating that you are paying attention to what participants are sharing, staying neutral, and practicing appropriate silence.
- Practice Active Listening
  - Active listening involves not only hearing what someone is saying, but also noticing body posture and facial gestures (i.e., any changes in nonverbal behavior) that might provide cues as to the appropriate or necessary ways to engage participants.
- Show Participants You Are Listening
  - Signs that you are paying attention may include:
    - leaning forward slightly
    - looking directly at participants while they are speaking, or
    - nodding at appropriate times
  - These behaviors also help participants to be more engaged.
    - Looking away, yawing, or frequently checking your watch will most likely make participants feel that you are not listening.
    - If participants suspect that you are not listening to them, they may take their role of sharing expert knowledge less seriously and may not elaborate or provide much detail with their answers.

Slide 10: Facilitation: Encouraging Participation
- All of the tools we are using rely on participation.
- Either have participants write their own answers:
  - Have respondents write as much as possible
  - Encourage people to get up and move around when participating
- OR write their answers for them
  - Try to write their answers word-for-word
  - If you need to paraphrase then “check-in” with the respondent that you are reflecting what they said.
Try not to jump in too much
Facilitate, don’t participate.
  - It’s easy to start giving ideas for root causes or on other questions. This should be avoided.
  - Participants may ask for your opinion. This can be sidestepped by saying “I’m not really sure what the answers are, that’s why we are reaching out to lots of people. We want to get as many ideas as possible.”
Feel comfortable with “quiet spaces”
  - Quiet means people may be thinking about the question.

Slide 11: Facilitation: Neutrality
- It is important to stay neutral even if you have strong opinions about the topic
- People may express opinions you don’t agree with.
  - Our goal is not to educate people to think the way we think but to gather information about what the community thinks.
    - You may run across some negative attitudes about women or sexual violence in general
    - Try to be as neutral as possible and to not express your emotions
    - You can always debrief with your field supervisors and team partners to let off some steam.
- Use phrases such as “Thank you. That is helpful.”
  - Comments such as “I can’t believe it!” or “You really think that?!” are not appropriate remarks for a facilitator to make, because they infer your opinion and impose judgment on the participant, which will shut down discussion.

Slide 12: Facilitation: Probing
- Probing helps to clarify what a respondent has said and to help get more detailed information on topics of interest.
- Examples of Probes
  - “Please tell me (more) about that…”
  - “Could you explain what you mean by…”
  - “Can you tell me something else about…” (Omni toolkit, 2008)
- Keep respondents talking:
  - interrupt the respondents as little as possible
  - If you feel that you need to follow-up with something they said by using probes, make a mental note of it and ask them about it when they have finished their thought.
- Probing is not finishing a respondent’s thoughts
- Probing is not leading the respondent to answer in a specific way

Slide 13: Facilitation: Avoid Making Assumptions
- Seeing Things From The Respondent’s Perspective
  - Using probes for clarification helps you to gather good information while avoiding the assumption that you understand the meaning of a key word, phrase, or perspective of the interview respondent.
- Avoid Making Assumptions
Clarifying questions and probes gives the interview respondent clues as to how specific you would like their answers to be and asking them for clarification, details, and examples.

The opinions of the respondent should not be assumed by the interviewer.

- To help ensure that you are not assuming, make small steps in your questioning with *simple questions*, not big leaps.
- Example: Say a respondent lists “Girls not understanding” as an answer in response to the question “What causes sexual violence in COMMUNITY NAME?” You would want to probe by asking “Could you tell me what you mean by girls not understanding?” So as not to make an assumption of the answer.
- This way you will get more detail and elaboration from the respondent and will keep you from making assumptions about what they have shared.

Slide 14: Avoid Making Assumptions Cont.

- The Interview Respondent Is The Expert
  - Using probes to clarify what the interview respondent has said reinforces the fact that the respondent has expert knowledge, based on their direct experiences with the topic that the researcher wants to understand.
  - Good probes let the interview respondent know that you are listening to their answers and that you would like to know more detail about where they are coming from about the topic.
  - This also helps to establish the rapport that is so important to the interview process.

Slide 15: Facilitation: Handling Difficult Behaviors

- Know-it-alls
  - Know-it-alls have an answer (and usually only one) to every question.
    - Example: “The only thing that is going to end sexual violence in our community is to make sure that our young men have something else to do with their time. It’s that simple.”
  - Possible Response: “That’s a really valid point, but we need to get everyone’s good ideas.”
  - Possible Response: “What do other’s think? Are there other ideas on ways to end sexual violence?”

Slide 16: Non-Contributors

- Overall approach: state at the beginning that you would like everyone to participate.
- Hand a marker to someone who hasn’t participated yet.
- Possible Approach: Ask individual respondents directly “What are your thoughts on this question?”
- Possible Approach: “I’m very interested in hearing how other people are feeling about this issue”

Slide 17: Over-Contributors

- If someone is doing a lot of the talking, this may prevent others from contributing their thoughts, and limits the usefulness of the focus group.
• It is important to notice when this is happening and do what you can to try to make sure that other people have the opportunity to say things, even if they seem reluctant at first or insist that what is being said by others reflects what they would have said.

• It is important to have people say things in their own words as much as possible. If someone is dominating the conversation, you might want to respectfully acknowledge their contribution, and thank them, saying something like,
  - “I really appreciate your comments.”
  - Then make direct eye contact with other people and ask something like, “I’m very interested in hearing how other people are feeling about this issue” or
  - “It’s very interesting to get a variety of perspectives, and I would like to hear from other people as well.” (Omni Toolkit, accessed 2008)

Slide 18: Side Conversations
• If people are having conversations among themselves, it can disrupt the focus group by
  - Making the other participants feel uncomfortable
  - Making it hard for people to hear what others are saying, and
  - Making it hard for the facilitator to focus on what is being said.

• Address this in the ground rules
  - Stress that it is very important not to have side conversations because it interferes with individual’s full participation in the group discussion and also possess challenges for recording the discussion.

• If side conversations do occur during a focus group:
  - Do not stop the conversation abruptly
  - You might respectfully remind people of the ground rules and ask that people finish their conversations and rejoin the larger group discussion taking place

• This kind of disruption may also signal that it is time to take a break, and you may want to suggest no more than a five minute break (so that people can use the restroom – make sure people know where to go – or to stretch).
  - It is important to make sure people know the time the focus group will reconvene and be proactive about bringing people back together

Slide 19: Children
• It is possible that community members, especially women, will bring their children to focus group sessions.
• Try to find out ahead of time from your host contact if they expect there to be any children at the focus group.
• If yes, then you will need a second facilitator to help occupy the children with games so that their parents can participate in the focus group.
  - Preferably quiet games
    ▪ You can bring coloring books
    ▪ Have them draw pictures on extra flipchart paper
    ▪ Draw and cut out shapes from flipchart paper, etc.

Slide 20: Tangents and Getting Off Track
• Sometimes the conversation will start to stray away from the topics of the focus group.
When this happens, you might take advantage of a pause and say, “Thank you for that interesting idea. Let’s continue our discussion of …….”

Another strategy is to orient the group to the time you have remaining for your discussion. You do not want the duration of the focus group to extend beyond the amount of time you communicated to participants.

- You can also use this as an opportunity to indicate that you want to be sure that you hear from others as well and refocus back on the original question.

Slide 21: Nonresponsive

- What do you do if no one responds to a question you ask? Ask yourself the following:
  - Was the question too difficult for the participants to understand?
    - Try asking the question in a different way
  - Is the tool too difficult for participants?
    - If so, you can change tools
    - Go back to listing and ranking or a problem tree.
  - Make sure participants heard you by repeating the question
  - Are people tired of talking about the topic and/or do they have no more to say about a topic?
    - “Is there anything else that you would like to share? [pause] If not, we can move on to our next question.”
    - This communicates to participants that this is their opportunity to contribute any additional thoughts and allows you to move on to the next topic more naturally and politely.
    - If you think you haven’t gotten all of the information you want on that topic, rather than trying to force things, just be aware that there may be other opportunities throughout the focus group to explore the issues.

Slide 22: Nonresponsive, Cont.

- Are people feeling uncomfortable about talking?
  - This typically occurs at the beginning of a focus group
  - Is less likely to occur when focus groups start with an icebreaker or the facilitator is able to set a comfortable tone and put people at ease in the beginning
- If this continues to be an issue during the focus group
  - you may need to back up and do a little work to make people feel more comfortable
    - Talk about easier topics such as things that you think participants may be more familiar with or comfortable talking about
  - Remind participants that they don’t have to answer questions that make them feel uncomfortable.
    - You can always take a step back and take the temperature of the group
    - “How does everyone feel about this question?” “How do people feel about discussing this issue in the group?”
- It’s okay sometimes to just wait it out
  - Be quiet for a moment and allow people time to think. Often, someone will speak up, either to answer the question or to ask a question that allows you to have a better understanding of the silence.
Slide 23: How to Transition between Tools

- Part of facilitation includes piecing together parts of the focus group:
  - Intro
  - Tools
  - Scope Survey
  - Conclusion
- Most of the tools build upon each other which makes the transition easier.
  - Be sure to have all materials prepared ahead of time OR prepare them as you are facilitating (i.e. writing the question on the flipchart paper as you are saying it)
- Practicing transition phrases helps...
  - Now that we have voted on the top form of sexual violence, let’s explore more in-depth what to do about it…”
  - “Now that we have examined the cause and effects of sexual violence, let’s look closer at the relationship between causes…”

Slide 24: Time Management

- Manage time during the focus group
  - As a facilitator, it is your responsibility to start and end on time
    - Include in your introduction how long the focus group will be.
    - Try not to start late. Respect those who have arrived on time. If only a few people have arrived, start with a brief introduction, the ground rules and maybe an icebreaker and do the consent after more people have arrived.
    - If people have arrived after you do the consent form
      - Begin with the exercise and instruct participants what to do and get them started and pull the latecomers aside and go through the informed consent process with them.
  - Keep the focus group moving along
    - Check in with participants about time about half way through
    - This is a good way to move forward even if you haven’t fully completed an exercise
    - “How are we doing on time? It looks like we have 35 minutes left, even though we haven’t finished looking at the effects of sexual violence, let’s move on to examine the relationship of the root causes more in-depth.”
  - End on time!
    - Even if this means not finishing an exercise or the scope survey
    - Use the information you gained about how long activities take to reassess future focus group agendas.
    - Try to always leave ten to fifteen minutes at the end for the scope survey and the wrap-up.

Activity 2: Facilitation Tips and Role-Play (1 hour 30 minutes)
Instruct participants that you are going to start out by practicing introductions and how to start a focus group (introductions and informed consent). Walk through the paragraph on introductions in the toolkit with participants. Then split participants into two groups (one group may have to go to another room). Have each person in the group stand in front of the others and pretend as if
they are introducing the focus group. Make sure everyone gets a chance to do the mock introduction in their groups and make sure they are standing while the others are sitting. Allow 7-10 minutes for this. Call everyone back into the room and ask them how it was. Were there specific pieces of another person’s introduction that they liked? Ask participants what they think is important to tell in the introduction.

Now tell participants that they are going to do some role-playing. Each scenario will take approximately 15 minutes (spend about an hour on the role-playing in total). Hand each participant a folded piece of paper with their acting role inside. Tell them to keep this to themselves. Each person is going to practice facilitating a different tool you have covered so far. Afterwards, discuss with participants how best to handle the various situations that arise.

**Scenario 1:**
Choose one person to facilitate a strategy diagram on your specific topic (start in the second or third box)
Write out the roles on folded sheets of paper and hand to the other participants:

- Role 1: Act like a know it all: You think you have all the answers. Everything you say should sound like a fact.
- Role 2: Super quiet: Don’t say anything at all unless someone asks you a question directly.
- Roles 3: Act like yourself (be normal)
- Roles 4: Act like yourself (be normal)
- Continue the “Act like yourself” roles for the rest of the participants.

Have the facilitator start the conversation and keep it going for approximately 5-10 minutes. Stop the discussion at a good point and debrief with participants. What role did they think others were playing? How can they address ‘know-it-alls’ and ‘non-contributors’. Go through the toolkit for suggestions

**Scenario 2:**
Choose one person to facilitate a problem tree on your specific topic
Write out the roles on folded sheets of paper and hand to the other participants:

- Role 1: You are an over-contributor. You are very talkative. You have an opinion on everything and always state it. You are never quiet.
- Role 2: Side conversation: Part way through the conversation you start having a conversation with your neighbor about what you are going to do this week.
- Roles 3: Side conversation: Part way through the conversation you start having a conversation with your neighbor about what you are going to do this week.
- Roles 4: Act like yourself (be normal)
- Continue the “Act like yourself” roles for the rest of the participants.

Have the facilitator start the conversation and keep it going for approximately 5-10 minutes. Stop the discussion at a good point and debrief with participants. What role did they think others were playing? How can they address ‘over-contributors’ and the ‘side conversations’? Go through the toolkit for suggestions

**Scenario 3:**
Choose one person to facilitate a listing and ranking exercise
Write out the roles on folded sheets of paper and hand to the other participants:

- Role 1: Your role is to go off on a tangent. Start talking about something unrelated to the discussion.
- Role 2: Your role is to go off on a tangent. Start talking about something unrelated to the discussion (like something you saw on TV last week …whatever comes into your mind that is not really related to the topic)
- Roles 3: Act like yourself (be normal)
- Roles 4: Act like yourself (be normal)
- Continue the “Act like yourself” roles for the rest of the participants.

Have the facilitator start the conversation and keep it going for approximately 5-10 minutes. Stop the discussion at a good point and debrief with participants. What role did they think others were playing? How can they address participants that go off on ‘tangents’? Go through the toolkit for suggestions.

**Scenario 4:**
Choose one person to facilitate an interrelationships diagram on your specific topic.
Write out the roles on folded sheets of paper and hand *every* participant:

- Role: Non-responder. You are tired. You have been talking about this all day. You have nothing else to say.

Have the facilitator start the conversation and try to get it going. Stop the discussion at a good point and debrief with participants. What role did they think others were playing? How can they address participants that are not responsive? Go through the toolkit for suggestions.
13.3 Documenting the Data

Learning Objectives: By the end of this session, participants should feel be able to organize and manage the focus group data.

Materials:
- Toolkit Module 13
- Flipchart paper
- Markers

Preparations:
- Make sure participants have the Toolkit Module 13

Time: 30 minutes

Learning Activities:

Activity 1: Organizing the Data (15 minutes)
Explain to participants that it is important to organize their focus group notes as soon as possible after the session. They should also label all flipchart papers with the date, facilitator name, community and the number of participants.

Activity 2: Writing-Up the Data (15 minutes)
Direct participants to review module 12 in the accompanying toolkit for examples on how to write-up the data. They should include all the write-up for the tools used in one document for each focus group. This document should be labeled the same way the flipchart papers are labeled. Participants should take the major themes from each focus group and summarize these on the “Community Data Sheet”. They should also give the community coalition a copy of each focus group report for further details.
14 Unstructured Interviewing

Overview of Unstructured Interviewing

Planning to Use Unstructured Interviews

Training on Unstructured Interviewing:
13.1: Introducing Unstructured Interviewing (1 hour 30 minutes)
13.2: Facilitating the Unstructured Interview (3 hours)
13.3: Organizing the Data (45 minutes)
Overview of Interviewing

Unstructured vs. Structured Interviewing
Structured interviewing is where the researcher has an ‘interview guide’ with predetermined questions and order to the questions. Semi-structured interviewing also has an ‘interview guide’ but there is some flexibility as to the ordering of the questions. Unstructured interviewing does not have an interview guide. It is also useful as a starting point when little is known about the topic or for better understanding the respondent’s language. Unstructured interviewing allows respondent to direct the conversation and allows researchers to generate questions in response to interviewees’ narration (Zhang, 2006). The intention of unstructured interview is to expose researchers to unanticipated themes and to a better understanding of interviewees’ social reality from interviewees’ perspectives (Zhang, 2006).

Punch (1998) described unstructured interview as a way to understand the complex behavior of people without imposing any a priori categorization, which might limit the field of inquiry. This means that we are not coming to this research with hypotheses to test. We are open to learning about causes and social realities from the community’s perspective.

Because we want to hear from community members in their own words what they think about a specific issue, we recommend using unstructured interviewing. To make sense of a subject’s world, researchers must approach it through the subject’s own perspective and in the subject’s own terms. Unstructured interviewing allows us to do this and allows us to be responsive to the PAR process.

Not using predefined questions doesn’t mean that unstructured interviews are random and non-directive. Unstructured interviewing cannot be started without detailed knowledge and preparation, which is vital for achieving deep insights into people’s life. We will develop unstructured interviews based on the research questions to help guide the interviews.
Planning to Use Interviews

Setting Up the Interview

Step 1: Identify Possible Respondents
The first step is to identify community members and key informants for interviews. Who you interview should be guided by the community coalitions or the structure you have in place for your project. This is where you can start.

Interviewing is also a good tool for reaching out to community members who are too busy to participate in a focus group.

Step 2: Outreach
Outreach for interviews should be the same as outreach for focus groups. You can conduct outreach via phone and/or email. Wherever possible, you should try and get specific contact information for individuals (whether they are part of an organization or not). Once you have the specific contact information, you can write an email to this person explaining the project and the focus group.

A sample email or phone script for the initial outreach is presented in the previous module on Focus Group Facilitation. Feel free to change it as needed. If possible, include the name of the person who is connected with the outreach person if applicable.

Keep contacting people until you hear a definite NO or YES. People often forget to reply or may be thinking about it. Do not feel like you are bothering people. If you are, they will most likely tell you. Being persistent is key! Be prepared to spend a lot of time emailing and calling people.

Step 3: Determine Location for Formal Interviews
Try and conduct the interviews in a private space. The interviewee may want to conduct the interviews in their office or in a meeting space. You can also conduct interviews over the phone if an in-person meeting is not feasible.

Step 4: Conducting Informal Interviews
You can also ‘informally’ interview community members. Informal means that the interview is not set up beforehand and occurs in a public space or at a community event. Decide where you want to conduct an informal interview. Ask the respondent if you can interview them for 15 minutes or so about their opinions. Be sure to go through the informed consent process and give them a copy of the informed consent form.

Step 5: Develop the Interview Plan
You should have a clear plan in mind regarding the focus and goal of the interview based on the research questions. Is there a specific topic that the interviewee would know more about? For example, do they work with children? Should you focus on understanding prevention as it relates to child sexual abuse? The approach you take will depend on:

- Your interviewee, their skills and area of expertise, and
The information needed by the community coalition. If it is early on in the data collection process, it is much more open the different avenues you can take in an interview.

There is not a structured interview guide. Instead, you should try and build rapport with the respondents, getting them to open-up and express themselves in their own way. Questions should be open-ended and express little control over informant’s responses.

**Step 5: Decide How to Document the Interview**

If you can audio record the interview that is preferable. You should ask the participant when you go through the consent form if it is ok to audio record. Otherwise you should take notes during the interview and fill in those notes directly after the interview or you can have a note-taker.

**Role of the Interviewer**

An unstructured interview is like a conversation started by the researcher. The interviewer generates questions in response to the context and continues the conversation to directions related to the research questions. The interviewer is a “learner” in the conversation, trying to make sense of interviewees’ experiences from their point of view.
Example Unstructured Interview for Discussion

Researcher: Thank you for taking the time to speak with me. As I mentioned earlier, I am working with a community coalition that wants to end sexual violence in Newcastle and Pleasantville. But we want to learn more about the issue and talk to more community members about their thoughts. Do you think sexual violence is a problem in Newcastle and Pleasantville?

Community Member: I’ve never really thought about it before…I suppose it is. Maybe more in Pleasantville than Newcastle…I don’t know…

Researcher: Can you tell me a bit more about why it might be a larger problem in Pleasantville than Newcastle?

Community Member: Well, I guess, I remember hearing about some cases on the news…of women who have been raped….It’s really an awful thing, isn’t it? I just can’t imagine.

Researcher: These women you heard of on the news, were they younger or older women?

Community Member: They were definitely younger women, early 20’s I think….it seems as if it is much more common among young women.

Researcher: Do you remember who raped these women? Was it their partners or strangers?

Community Member: I remember one incident of a woman being raped and murdered by her ex-boyfriend. Really awful. She was just about to get married to another man who loved her and her ex-boyfriend became really jealous and killed her because of it….the whole community was in shock….her poor mother was besides herself.

Researcher: Do you know anything about the young man who raped her? You said he was very jealous….I wonder if there were also other reasons for him raping and killing her?

Community Member: Yes, it was very strange. He was well known in the community. Never did anything bad. He was in the local college. It seems strange that he would have done something like this…. But his friends did say he was very controlling of her….

Researcher: You had mentioned earlier that the community was beside itself when it heard of the rape and murder. Was there a lot of community support for the young woman’s family?
Community Member: Oh yes, there was a lot of community support. There was also part of the community that couldn’t believe it happened or that the young man did it….there was definitely that side of it….but I would say that most of the community supported her family.

Researcher: You had mentioned earlier that you think rape is more common among younger women….can you tell me a little bit more about this?

Community Member: Sure….it just seems to me that a lot more younger women….those in college….are being raped…..I mean, I don’t have numbers or anything but it just seems that they are experiencing it more…..

Researcher: Who do you think is raping these women?

Community Member: Definitely college guys….they are very rowdy….and drink too much and think that everyone wants them…..

Researcher: What do you think would be the best way to stop these college guys from raping?

Community Member: Hmm….good question….um, I think getting the college more involved….you see, they can get away with anything and not get in trouble for it….so definitely some sort of punishment that is real….and maybe making the women more aware of the danger….yes, definitely, the women should be more wary of the parties thrown by these guys…..

Researcher: Thank you so much, this has been really helpful!

Community Member: Oh good, glad it has been helpful!

Researcher: As I mentioned earlier, we are gathering input from community members. Once we are finished with the information gathering, we will present what we have learned at a Town Hall Meeting at the city hall building, probably sometime in April. Would you be interested in attending?

Community Member: Sure…that would be really interesting…I am not sure what I am doing in April but I will try….
**Researcher:** Great! Here is a flyer with all the details…it would be great if you could join us. Also, if you are interested in joining the community coalition we have a mailing list of their upcoming meetings. Joining the group is completely up to you…they meet about once a month….

**Community Member:** I think I will pass on joining the coalition but I will try to make the town hall meeting…..

**Researcher:** No problem. Thanks again! It was really nice to talk to you!

**Discussion Questions:**
- At what points could the researcher have asked different questions?
- How would the outcome of the interview been different?
- How did the researcher go back to previous interviewee statements to continue the conversation?
- What did you like about this interview?
- What would you have done differently?
Facilitating the Interview

Step 1: Starting the Interview
As a facilitator, it is your responsibility to arrive on time to the interview. Map out ahead of time how to arrive to the location or what phone number to call.

Step 2: Introductions
The introduction should be the first part of the interview. The introduction includes:

- Thanking the interviewee for taking time to speak with you,
- Giving a brief introduction of yourself and the note-taker, and
- A brief introduction of the Community Coalition.

Example Introduction:
Thank you so much for taking time to speak with me today. As I mentioned in my email, my name is ............... . I am a community researcher with the COMMUNITY NAME community coalition. This coalition was formed this year with the main goal of ending sexual violence in COMMUNITY NAME. Coalition members include the NYC Alliance Against Sexual Assault, NAMES OF RAPE CRISIS PROGRAMS ON COALITION, community members and other community organizations and groups. I would also like to introduce my colleague, _________________, who is also a community research. S/he is going to take notes while we speak if that is ok with you? We won’t be using your name or organization name in any reports and what you tell me will be confidential [Note: more of this covered in the informed consent form].

We are at the very beginning and are reaching out to other members of the community to gather opinions on the causes of sexual violence and where to start our work as a coalition. Your ideas will be very helpful to us as we begin this process. We would also like to invite you if you are interested in joining the coalition. We have monthly meetings and will be deciding as a group an action plan to end sexual violence in COMMUNITY NAME.

Step 3: Informed Consent
After the introduction, you can move on directly to the informed consent. In the informed consent process, you will tell the participant about the research and will follow the informed consent form. It is important to remember to tell the interview about how long the interview will last. A sample informed consent script is presented in the module “Participatory Research” you can adapt this for an interview.

Step 4: Beginning the Conversation
The best way to start asking questions is to start broad and to get more specific as the conversation progresses. An example of a broad question is: How do you feel about the issue of sexual violence in COMMUNITY NAME?
The best way to ask questions is to allow people to answer in their own terms, voicing their own views, values and experiences. Leading questions are phrased to suggest a particular answer or to imply that one answer is expected or more correct. Can you find any leading questions in the example unstructured interview?

Example of Rephrasing Leading Questions

- **Leading Question:** Do you think sexual violence is a problem in Newcastle and Pleasantville?
  **Alternative Question:** How do you feel about the issue of sexual violence in Newcastle and Pleasantville?

- **Leading Question:** Do you remember who raped these women? Was it their partners or strangers?
  **Alternative Question:** Do you remember who raped these women? (leave out the leading part)

- **Leading Question:** You said he was very jealous….I wonder if there were also other reasons for him raping and killing her?
  **Alternative Question:** What do you think are some reasons why someone would rape someone else?
    - What do you think causes someone to rape another person?

- **Leading Question:** You had mentioned earlier that the community was beside itself when it heard of the rape and murder. Was there a lot of community support for the young woman’s family?
  **Alternative Question:** How did the community feel?
    - How did the community react?

**Step 5: Active Listening**

Good listening is key to conducting interviews and being able to keep the conversation going. Being a good listener means being an “interested” listener. This is done by demonstrating that you are paying attention to what participants are sharing, staying neutral, and practicing appropriate silence. Active listening is especially important in unstructured interviewing where you are building questions off of what a respondent says.

It is precisely because you need to practice active listening, that you should have a separate note-taker or record the unstructured interview. This will allow the facilitator to give their undivided attention to the respondent.

During the interview, you should practice active listening. Active listening involves not only hearing what someone is saying, but also noticing body posture and facial gestures (i.e., any changes in nonverbal behavior) that might provide cues as to the appropriate or necessary ways to engage participants.

You can jot down brief keywords while the respondent is talking to come back to in later questions.

**Step 6: Keeping the Conversation Going**
Memory Aides
Even though you will not have a structured interview guide, you can have “memory aides”. Memory aides can include:

- The research questions
- Questions you find particularly useful
- Questions asked in other interviews

It is often useful to have this handy to include in the interview as they fit or to make sure you are on track.

Probing
To probe means not to stop too soon when discussing an important topic. Ask the same question in a number of different ways to better understand beliefs and assumptions. Some ways to probe include:

- Can you tell me more about….
- Rephrase the respondents answer as a question
  - The community was beside itself?
- Earlier you said….
- What do you mean by….

Explore Inconsistencies
Sometimes respondents will appear to contradict their previous statements or explanations. This may reflect that all people hold some beliefs that are not completely consistent with their other beliefs. Or it could also be that they misunderstood the question. It is important to explore apparent inconsistencies to clarify a misunderstanding or to gain new information. You can use probing questions to explore inconsistencies.

Step 7: Strategic Pauses
It is important to include some pauses to allow the note-taker to catch up. These do not have to be overly long. Just be cognizant of the note-taker and do not rush through the questions.

Wrap-Up
Conversations generally tend to wind down. Use this as an indicator to wrap-up the interview by thanking the respondent for their time and reiterating how useful the information is for the community coalition.

If the interview is still going strong, utilize time as an indicator when to stop. You can say something like “This is a great conversation, unfortunately, it looks like we are running out of time. I am available for longer if you want to continue but I know you must very busy. What would you like to do?” This allows the respondent the opportunity to end the interview or to keep going. If they decide to keep going, agree on an extended length of time. For example, “I am so glad you want to keep talking about this issue, your opinions are very helpful to us. Do you want to continue for approximately 10 more minutes?”

After the Interview
Thank the participant again and make sure to take all your materials with you as you leave. It is useful to plan a 30-minute debrief with your partner to review the notes and add any other information to the notes.
14.1 Introducing Interviewing

Learning Objectives: By the end of this session, participants should have an overview and basic understanding of the interviewing process.

Materials:
- Interview worksheet
- Role play cards (small notecards with role play information)
- Pens
- Interview Consent Forms
- Flipchart paper
- Markers

Preparations:
- Prepare seven role play note cards with information on seven different types of people you are likely to interview (examples below):
  - Card 1: You are the founder of a car service organization, that picks up young women in Manhattan and bring them safely home late at night.
  - Card 2: You are a City Council member for the community; your primary interests are with affordable housing.
  - Card 3: You run an afterschool program for youth ages 11-15 at the local YWCA.
  - Card 4: You are a police officer working the beat in the local precinct.
  - Card 5: You are a Parent Coordinator at the local high school.
  - Card 6: You are the owner of a very liberal bookshop.
  - Card 7: You are a Social Worker at the local women’s shelter.
- Make enough copies of the interview worksheet to hand out to everyone in the group.
- Hand out pens to participants that may not have their own.
- Prepare a flipchart paper with the heading “Useful Questions” and post on the wall for activity 3.
- Have markers available for writing on the flipchart paper
- Hand out interview consent forms to all participants for them to use in their “mock” interview

Time: 1 hour 30 minutes

Learning Activities:

Activity 1: Creating Questions (20 minutes)
Explain to the group that we are now going to focus on interviewing and how to conduct unstructured interviews. We will talk more about the method later but first, we want to try it out. We are going to start with a scenario.

**Facilitator’s Note:** Develop a scenario that fits with your project.
**Example Scenario:** The scenario is that they have just had a great meeting with the Community Coalitions and have shared some of the community data. So far there have been a lot of community ideas and thoughts on preventing sexual violence and working with youth. However, we are still lacking ideas and thoughts on working with adults and children. They have asked you to explore more with community members about their thoughts on preventing child sexual abuse and adult sexual violence.

Now I would like everyone to pair up into teams of two.

**Facilitator’s Note:** If there are an uneven number of participants, have the facilitator pair up with someone or have one team of three.

I am going to give each of you a role-playing card. This is the persona you will act out in the interview. You can show your card to your partner. Now, I want everyone to write out 10 questions to ask your partner given what you know about them. As a general instruction, begin your interview by introducing yourself and the research and obtaining informed consent. Next start with general questions before getting more specific. The nice thing about an unstructured interview is that you can go with the flow of the interview. You are drafting questions but you can ask completely different ones during the interview to gather information. It is very important, however, to write down the questions you do ask. Try to take notes throughout the interview. Now I would like each of you to spend approximately 15 minutes drafting some sample questions. Please write them down on your interview worksheet.

**Activity 2: Learning by Participating (40 minutes)**

Explain to participants that now we are going to practice interviewing our partners. Remember, you have the flexibility to go with the flow of the conversation and you can use the questions you developed or you can use questions you think of on the spot. Those who will be acting, try to act the part of your character. Don’t worry if you don’t know what they would say, just guess.

You will have 20 minutes to interview your partner. After 20 minutes is up, we will switch partners and the other person will have a chance to interview a new partner for 20 minutes. After everyone has had a chance to interview someone and be interviewed, we will have a debrief session.

**Activity 3: Debrief from Interviewing (30 minutes)**

Now debrief with the participants. Ask the following questions:
- Did you feel comfortable with the unstructured format?
- How did it feel to interview someone?
- How did it feel to be interviewed?

Now prepare a flipchart paper with the heading “Useful Questions” and have participants share the questions their partner asked that they liked and found useful. List these questions on the flipchart paper (this flipchart will be used again in Module 14.2 activity 2). Explain to participants that it is useful to have a list of questions handy prior to the interview.
14.2 Facilitating the Interview

**Learning Objectives:** By the end of this session, participants should feel confident facilitating an unstructured interview.

**Materials:**
- Module 14 from the accompanying toolkit
- PowerPoint presentation
- Interview consent forms
- Interviewee notecards
- Flipchart paper
- Markers
- Community Data Sheet

**Preparations:**
- Upload PowerPoint presentation “Facilitating an Unstructured Interview”
- Make sure participants have toolkit Module 14
- Make sure participants have interview consent forms to use in their interview
- Prepare a notecard for each interviewee that participants will interview (example: Monica Martinez, Research Associate at the Safe Space, this interview will be conducted in Spanish).
- Prepare one flipchart paper with the heading “rephrased questions”
- Prepare two flipchart papers, one with the heading “Strengths” and the other with the heading “Work On”
- 8 copies of Community Data Sheet handout

**Time:** 3 hours

**Learning Activities:**

**Activity 1: Facilitating an Unstructured Interview Presentation (1 hour)**

**Facilitator’s Note:** Below is a sample presentation, please adapt to your specific project.

Slide 1: Title Slide

Slide 2: What Is Unstructured Interviewing?
- Punch (1998) described unstructured interview as a way to understand the complex behavior of people without imposing any a priori categorization, which might limit the field of inquiry.
  - This means that we are not coming to this research with hypotheses to test on specific causes of sexual violence. We are open to learning about causes and social realities from the community’s perspective.
• Rather, unstructured interviewing allows researchers to have conversations with interviewees and generate questions in response to interviewees’ narration (Zhang, 2006).
• The intention of unstructured interview is to expose researchers to unanticipated themes and to a better understanding of interviewees’ social reality from interviewees’ perspectives (Zhang, 2006).

Slide 3: Difference between Unstructured and Structured Interviewing
• Structured interviewing is where the researcher has an ‘interview guide’ with predetermined questions and order to the questions.
• Semi-structured interviewing also has an ‘interview guide’ but there is some flexibility as to the ordering of the questions.
• Unstructured interviewing does not have an interview guide and is similar to a conversation and allows respondents to guide the conversation in their own words.

Slide 4: Purpose of Unstructured Interviewing in this Research
• We want to hear from community members in their own words what they think about sexual violence prevention.
• We believe that to make sense of a subject’s world, researchers must approach it through the subject’s own perspective and in the subject’s own terms.
• Unstructured interviewing also allows us to be responsive to the community coalitions and explore different topics throughout the research process.

Slide 5: Unstructured Interviewing Continued
• Not using predefined questions doesn’t mean that unstructured interviews are random and non-directive.
• Unstructured interviewing cannot be started without detailed knowledge and preparation, which is vital for achieving deep insights into people’s life.
• You should keep in mind the research questions as the basis for what to explore during the interviews.

Slide 6: Research Questions
Here is a recap of the research questions:
• The Interviews will focus on the following broad research questions to gather information for action planning:
  o What is the scope of sexual violence in the community?
  o What are the community specific root causes of sexual violence?
  o What are the community assets?
  o What are the opportunities for prevention in the community?
  o What are the prevention priorities for community members?

Slide 7: Role of Interviewers
• An unstructured interview is like a conversation started by the researcher.
  o It depends on the interviewer to generate questions in response to the context and continue the conversation to directions related with the research questions.
• You should present yourself as a learner and a member of the community coalition (in addition to your role as a community researcher).
Helps with building rapport

Slide 8: Process of Unstructured Interviewing
- Step 1: Setting up the Interview
- Step 2: Gaining trust and building rapport
- Step 3: Facilitating the Interview
- Step 4: Note-taking

Slide 9: Step 1: Setting Up the Interview
- Set up interviews with community members and key informants.
- **Who** you interview should be guided by the community coalitions
  - Think back to the community mapping session at the RCTI.
    - Which groups did the community coalitions want to talk to and reach out to?
    - This is where you can start.
- Interviewing is a good tool for reaching out to community members who are too busy to participate in a focus group.
- You can also ‘informally’ interview community members.
  - Informal means that the interview is not set up beforehand and occurs in a public space or at a community event.
  - You will still need to obtain informed consent for informal interviews

Slide 10: Step 2: Building Rapport
- Self Representation
  - Unstructured interviews are two-way conversations with the least control from the interviewer.
  - The quality of the conversation is influenced by how the interviewer represents him or herself in the interview. The interviewer is a “learner” in the conversation, trying to make sense of interviewees’ experiences from their point of view.
- Try to understand the language and culture of the interviewees.
  - A primary focus of unstructured interviews is to understand the meaning of human experiences as it is described from the interviewee’s perspective.
  - Sexual violence may be defined in many ways—the point it to try and understand it from the interviewee’s perspective.

**Facilitator’s Note:** Include some personal experiences of research in which community members defined or used different language (one example could be that in Spanish there is no word for “sexual violence”).

Slide 11: Step 3: Facilitating the Interview
- You should have a clear plan in mind regarding the focus and goal of the interview
  - Based on the research questions
- There is not a structured interview guide. Instead, you should try and build rapport with the respondents, getting them to open-up and express themselves in their own way.
- Questions should be open-ended and express little control over informant’s responses.
• Ideally, the interview should be face to face in a quiet setting BUT you can also conduct phone interviews at the interviewee’s request.
• Each team should conduct a minimum of 20 interviews.
• The interviews can last anywhere from 15 minutes to 1.5 hours depending on your interviewee.

Slide 12: Examples
• Read the example of the unstructured interview
  o One person read the part of the researcher
  o One person read the part of the community member
• At what points could the researcher have asked different questions?
• How would the outcome of the interview been different?
• How did the researcher go back to previous interviewee statements to continue the conversation?
• What did you like about this interview?
• What would you have done differently?

**Facilitator’s Note:** This slide is the beginning of Activity 2 below.

Slide 13: Memory Aides
• Even though you will not have a structured interview guide, you can have “memory aides.”
• Memory aides can include:
  o The research questions
  o Questions you find particularly useful
  o Questions asked in other interviews
• It is often useful to have this handy to include in the interview as they fit or to make sure you are on track.

Slide 14: Avoid Leading Questions
• The best way to ask questions is to allow people to answer in their own terms, voicing their own views, values and experiences.
• Leading questions are phrased to suggest a particular answer or to imply that one answer is expected or more correct.
• Can you find any leading questions in the example unstructured interview?

Slide 15: Leading Questions
**How could we rephrase each of these leading questions?**

• **Researcher:** Do you think sexual violence is a problem in Newcastle and Pleasantville?
• **Researcher:** Do you remember who raped these women? Was it their partners or strangers?
• **Researcher:** You said he was very jealous….I wonder if there were also other reasons for him raping and killing her?
• **Researcher:** You had mentioned earlier that the community was besides itself when it heard of the rape and murder. Was there a lot of community support for the young woman’s family?
Slide 16: Rephrasing Leading Questions
- What do you think about the issue of sexual violence in Newcastle and Pleasantville?
  - How do you feel about the issue of sexual violence in Newcastle and Pleasantville?
- Do you remember who raped these women? (leave out the leading part)
- What do you think are some reasons why someone would rape someone else?
  - What do you think causes someone to rape another person?
- How did the community feel?
  - How did the community react?

Slide 17: Activity—Rephrasing Leading Questions
Let’s revisit the flipchart paper with the questions we found useful.
- Are any of them leading questions?
- How can we rephrase them?

Slide 18: Probing
- To probe means not to stop too soon when discussing an important topic.
- Ask the same question in a number of different ways to better understand beliefs and assumptions.
- Some ways to probe:
  - Can you tell me more about….
  - Rephrase the respondents answer as a question
  - The community was beside itself?
  - Earlier you said…. 
  - What do you mean by…. 
  - In the example interview, how did the researcher probe?
  - What different ways might the researcher have probed for more information?

Slide 19: Explore Inconsistencies
- Sometimes respondents will appear to contradict their previous statements or explanations.
  - This may reflect that all people hold some beliefs that are not completely consistent with their other beliefs.
  - It could also be that they misunderstood the question
- It is important to explore apparent inconsistencies to clarify a misunderstanding or to gain new information.
- You can use probing questions to explore inconsistencies.

Slide 20: Record Participant Words
- When taking and rewriting notes, reproduce the respondent’s own words and phrases as faithfully as possible.
  - You cannot record everything a person says in the interview.
  - Focus on new words or pieces of information and on subjects that seem unclear or confusing.
Very often, the particular words or phrases used provide valuable keys to understanding the culture.

- Notice in the interview that the respondent never uses the word ‘sexual violence’ and instead uses the word ‘rape’. After hearing this, the researcher starts using the word ‘rape’.
- How might the researcher explore terminology in this interview?

Slide 21: Step 4: Note-Taking

- Since it is very difficult for the interviewer to both conduct the interview AND take notes, two people should go on every interview.
  - One Interviewer
  - One note-taker
  - Trade off who does what role.
- The interviewer should introduce the note-taker.

Slide 22: Note-Taking

- The note-taker should document:
  - The interviewer’s questions
  - Answers from the respondent
  - Using respondent words and phrases
  - Capturing quotes when possible
  - Capturing main themes
- If it is not disruptive, the note-taker can take notes on a computer OR on a notepad and later transcribe the notes.
- For phone interviews, the interview can be done on speaker phone or conference call so that the note-taker can take notes.
- We have a speakerphone in our conference room that you can use with advanced notice.

Slide 23: Organizing Data

- Be sure to save the notes from the interview and label each page in the notebook or the computer file.
- Data should be labeled with:
  - Interviewer name
  - Date
  - Community Name
  - Type of Respondent
- Do not use respondent name instead use type such as “police officer, community-based organization staff member, community member, policymaker, etc.”
  - You can ask your field supervisor what is the best way to label the respondent type.

Slide 24: Summarizing Data

- You should write out all your notes for the interview report.
- For the Community Data Sheet, you will need to summarize the main information to fit on the form. The information should be summarized according to the research questions
  - Scope
  - Root causes
  - Community assets
• Prevention priorities
• Prevention opportunities

• Also utilize quotes and other information such as new terminology or language in the Community Data Sheet.

**Facilitator’s Note:** It may be useful to hand out copies of the Community Data Sheet again so that participants can see how the data from the interview will be summarized.

Slide 25: Activity

• Now we are going to conduct some more mock interviews with organizational staff members.
• Pair up into your teams and choose one person to interview and one person who will do the note-taking.
• The four people we will be interviewing are:
  • Monica Martinez (this interview will be done in Spanish)
  • Tricia Johnson, Program Director
  • Louise Bernard, Community Action Coordinator
  • Sam Smith, Health Policy Program Manager
• You will have approximately 20 minutes to prepare for a 40-minute interview.

**Facilitator’s Note:** Get together a handful of people that can volunteer to be interviewed during the training to help with the teaching.

This slide leads directly into Activity 3. During activity 3, float around the room and help participants as needed in thinking through a plan for their interview. Reassure participants that this is a “mock” interview and is for practice purposes only. Nevertheless, they should treat the facilitation and note-taking seriously.

Activity 2: Rephrasing Leading Questions (30 minutes)
Hand out the Example Unstructured Interview and ask for two volunteers: one to read the part of the researcher and the other to read the part of the community member. Once participants are finished reading ask:
• At what points could the researcher have asked different questions?
• How would the outcome of the interview been different?
• How did the researcher go back to previous interviewee statements to continue the conversation?
• What did you like about this interview?
• What would you have done differently?

Continue on with the lecture to slide 14 and ask participants: “Can you find any leading questions in the example unstructured interview?” Highlight these questions on your paper. Continue on to the next slide on which is listed four leading questions from the interview example:
- **Researcher:** Do you think sexual violence is a problem in Newcastle and Pleasantville?
- **Researcher:** Do you remember who raped these women? Was it their partners or strangers?
Researchers: You said he was very jealous….I wonder if there were also other reasons for him raping and killing her?

Researchers: You had mentioned earlier that the community was besides itself when it heard of the rape and murder. Was there a lot of community support for the young woman’s family?

Ask participants: “How could we rephrase each of these leading questions?” Write down their ideas on a flipchart paper with the heading “rephrased questions”. Continue listing rephrased examples until participants are finished. Continue on to the next slide (slide 16: Rephrasing Leading Questions), which has ideas for rephrasing. Compare these to participant’s ideas, complimenting participants on their rephrased questions.

On slide 17 is another activity. Go back to the flipchart paper from earlier with the “Useful Questions”. Ask participants if any of these questions are leading questions. If yes, have participants rephrase the questions. If no, have participants go back to their Interview Worksheet and ask them if there are any leading questions there. If yes, have them read the leading question to the group and have the group think of a way to rephrase the question so that it is not leading. Continue this activity until participants are able to demonstrate a good grasp of phrasing non-leading questions.

Activity 3: Preparing to Facilitate an Interview (20 minutes)
Now explain to participants that we are going to practice interviewing different people. Give each participant an interviewee information notecard and tell participants that this is the person they are going to interview. They should now spend 30 minutes preparing an interview guide for this person. Participants can work independently or with their team members on the questions. Each person will conduct their own interview.

Activity 4: Conducting an Unstructured Interview (40 minutes)
Set up participants with their interviewees in a private setting. Tell participants to meet you back in the training room in 40 minutes.

Activity 5: Debrief from the Interview (30 minutes)
Once all participants are finished with their interviews, begin the debriefing process by asking:

- Overall, how did the interview go?
- How did you feel facilitating the interview?

Now hang up two flipchart papers with the headings “Strengths” and “Work On”. Ask participants what they felt were the strengths of the interview they just conducted. List these thoughts on the “Strengths” flipchart paper. Once all participants have spoken, ask them what they felt was weaker or that needed work in the interview they just conducted. List these thoughts on the “Work On” flipchart paper. Encourage participants that they will have more practice conducting interviews and congratulate everyone on a job well done.

**Facilitator’s Note:** Check in with the interviewees after the training and ask them how they felt being interviewed. Try to gather from them “teaching points” and ways to help participants strengthen their interviewing skills.
14.3 Documenting the Data

**Learning Objectives:** By the end of this session, participants should feel be able to organize and manage the interview data.

**Materials:**
- Toolkit Module 13
- Flipchart paper

**Preparations:**
- Make sure participants have the Toolkit Module 13

**Time:** 30 minutes

**Learning Activities:**

**Activity 1: Organizing the Data (15 minutes)**
Explain to participants that it is important to organize their interview notes as soon as possible after the interview. They should write up the answers to their questions on the interview guide (and make sure all the questions they asked are listed). They should also label the interview guides with the date, interviewer, community and type of interviewee.

**Activity 2: Writing-Up the Data (30 minutes)**
Direct participants to review module 13 in the accompanying toolkit for examples on how to write-up the data. Explain to participants that for the time being we will be writing up the data and that at the end of data collection we will be analyzing the data collected by looking for major themes. A part of this process may occur during the write-ups on the “Community Data Sheets”. This is fine. Participants should be thinking of major themes from each individual interview and highlight any interviewee quotes that will help the planning process.

Also highlight the following steps for note-taking if needed (this should also be in the participant toolkit).

**Note-Taking**
If you are not recording the interview, you should have a note-taker. Since it is very difficult for the interviewer to both conduct the interview AND take notes, two people should go on every interview, one as the interviewer and one as the note-taker. It might be useful to trade off who does what role. At the beginning of the interview, the interviewer should introduce the note-taker.

If it is not disruptive, the note-taker can take notes on a computer OR on a notepad and later transcribe the notes. For phone interviews, the interview can be done on speaker phone or conference call so that the note-taker can take notes.
**Step 1: Write Down the Facilitator’s Exact Question**
You will need to write down the exact question asked by the facilitator in your notes. Make sure the notes are written after the corresponding question in your notes. If you did not get the exact question, do not hesitate to ask the facilitator to repeat him or herself.

**Step 2: Use respondent’s Words**
When taking and rewriting notes, reproduce the respondent’s own words and phrases as faithfully as possible. Very often, the particular words or phrases used provide valuable keys to understanding the culture. For example, in the example interview notice that the respondent never uses the word ‘sexual violence’ and instead uses the word ‘rape’. After hearing this, the researcher starts using the word ‘rape’.

**Step 2: Focus on Main Themes**
You cannot record everything a person says in the interview. Focus on new words or pieces of information and on subjects that seem unclear or confusing. Also think about the Community Data Sheet and how the respondents’ information could be included on that sheet. As the note-taker you might want to have a blank Community Data Sheet with you to fill out directly after the interview while the information is still fresh in your mind.

**Step 3: Try to Write Down 1-2 Direct Quotes**
While you will not be able to capture word for word what a respondent says. Try to capture 1-2 quotes throughout the interview. If the respondents says something that you want to capture as a direct quote, do not hesitate to ask them to repeat themselves. For example, after the respondent is finished you can say: “The sentence you just said was really great. Can you repeat it for me?” These quotes will be useful in the data analysis and in presenting the data back to the coalition.
15 Street Intercept Survey

Overview of the Street Intercept Survey

Planning to Use Street Intercept Surveys

Training on the Street Intercept Survey:
15.1: Introducing the Street Intercept Survey (20 minutes)
15.2: Conducting the Street Intercept Survey (1 hour 45 minutes)
15.3: Organizing the Data (45 minutes)
Overview of the Street Intercept Survey

A street intercept survey is a quantitative method in which a specific geographic feature (such as a block or park) is used as the sampling unit—meaning that we decide ahead of time through random methods which streets or in which areas we want to approach people to participate in the survey. Every eligible person that is in the sampling unit is approached to complete a survey or interview. This type of survey allows for random sampling in a geographic area.

This tool is useful if you are interested in the views, opinions and thoughts of community members in specific geographic areas. The street intercept survey is the ideal tool to gather these views from random members of the community. The random sampling lessens the probability that any findings were due to “chance” and increases our probability that findings are the opinions of community members. Furthermore, we can gather feedback from a larger number of community members than is possible with the other tools.

Survey Development
You can develop your survey using survey instruments or scales that already exist in your field. Or if those questions don’t already exist, you can collaboratively plan out the questions for your survey. The most important thing to remember in developing questions is to make sure they focus on answering your research questions.

Below are the sources that were used for the Project ENVISION survey, you can use this survey as a template in developing your own.

Sources for the Questions
The format of the street intercept survey, the format of the informed consent and the introductory questions were utilized from the WHO Multi-country Study on Women’s Health and Life Events Questionnaire Version 9.9 from the Report: WHO Multi-Country Study on Women’s Health and Domestic Violence Against Women: Initial Results on Prevalence, Health Outcomes and Women’s Responses. By Claudia Garcia-Moreno, Henrica A.F.M. Jansen, Mary Ellsberg, Lori Heise and Charlotte Watts. Available at: http://www.who.int/gender/violence/who_multicountry_study/en/.

The questions from this survey were developed after a comprehensive examination of the primary prevention literature. Several sources were particularly useful for the questions on the root causes of sexual violence and on the possible prevention strategies.

- Primary prevention of intimate-partner violence and sexual violence: Background paper for WHO expert meeting May 2–3, 2007 by A. Harvey, C. Garcia-Moreno and A. Butchart. This paper examines several primary prevention approaches to end sexual violence.

• Washington State Sexual Violence Prevention Planning Process Advisory Committee Meeting Notes, May 27, 2008. Available at: http://www.cted.wa.gov/DesktopModules/CTEDPublications/CTEDPublicationsView.aspx?tabID=0&ItemID=6330&MId=950&wversion=Staging. This document contains a comprehensive discussion of the root causes of sexual violence and links these root causes to potential strategies. While it is minutes from a planning meeting, the documented discussion helped spur the development of the street intercept survey question categories.

• Sexual Violence Prevention: Beginning the Dialogue by the Centers for Disease Control, 2004. This is a seminal piece on sexual violence prevention, which has not only influenced Project ENVISION as a whole but also the development of the street intercept survey. The document is available at: http://www.cdc.gov/ncipc/dvp/SVPrevention.htm.
Planning to Use Street Intercept Surveys

The first thing to determine is whether you want to collect quantitative data. Quantitative data is useful to help balance the qualitative data you will be receiving in the focus groups. The Street Intercept Survey can help you understand knowledge, attitudes and opinions about prevention at a large scale then you could accomplish through the focus groups. The focus groups can provide depth to the survey information. If you are able, it is ideal to balance your research with both qualitative and quantitative data.

Quantitative data presents different resource challenges—namely data management and analysis. This guide is not able to go into depth on quantitative data analysis. The best strategy is to identify people within your project structure or allies outside who have data management and analysis skills. This could be a position for a placement student from a graduate program or a way to engage with a local university or college. You may have these skills in the community that you can draw upon. The best thing to do is plan in advance how and who will handle the quantitative data from the survey.

Map Sampling

**Step 1: Obtain Map of the Area**
At the beginning of the project, you should have clearly defined your ‘community’. Now you will need to obtain several maps of spaces in which your community is located. If your community is a neighborhood or geographically defined, you can obtain maps off of yahoo or Google. If your community is defined as a community of interest, you will need to think and draw up a list of WHERE your community congregates or resides. If the action research is focused on young mothers, where can you find them? What places will they be?

**Step 2: Mark the Center of Your Map**
After you have printed (from Google or yahoo maps) or drawn up a pictorial representation of your community, find the center of the map. On Google or yahoo maps, this will be highlighted with a flag or marker.

**Step 3: Choose Random Numbers**
For this step we are going to use a random numbers table. There is one below or you can find more online. Look at your random numbers table. Randomly choose a starting place on the table (can be at the top, the middle, the end…anywhere!) Mark the starting place on the random numbers table with a pencil or pen mark.
We are looking for sets of three-digit numbers between 000 and 360 (360 is important because later we will use a protractor and 360 is the number of degrees in a circle). Choose the first 3-digit set of numbers you see (this may include a 0 at the beginning). It’s the first 3 digits in the row, continue across any “gaps”. When you reach the end of the row, the next digit is the one at the start of the next row.

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</tr>
</tbody>
</table>
EXAMPLE:
312 587 945 821 255 002 014 960 568 210 010 326

If we choose to start at the first 8, we would choose the first 3-digit number, which is 879. It is not between 0 and 360 so we would choose the next 3-digit number: 458. Again, it is not between 0 and 360 so we would choose the next 3-digit number, which is 212. This is between 0 and 360 and would be our first number. We continue on to find two other 3-digit numbers: 212, 025, and 014.

Continue on to the next 3 numbers and write these down. You should end up with 3 sets of 3 digit numbers between 0 and 360. (examples: 212, 025, 014). Now write these numbers on your sampling worksheet.

**Step 3: Choose Sampling Streets**

Now align the mark you made as the center of the map in the actual center. Now take your protractor and place it so that the middle of the straight part of the protractor is as parallel as possible to the bottom of the page. Now make a dot at each of your 3 digit numbers as they correspond to the protractor numbers (example: 017 would be at 17 degrees on the protractor). Now draw a straight line from the center dot to the protractor dot you just made.

Write down on the sampling worksheet every street that is intersected by that straight line. We will take the entire block, defined as the length of a street from one intersection to another intersection, through which the line passes. Do this for all 3 lines. These 3 groups of streets are the sampling frame for the street intercept survey.

**Facilitating the Survey**

**Step 1: Deciding on the Survey Plan**

It is important to always work in pairs for the street intercept survey. Though the researchers will be doing individual interviews (only one interviewer per respondent), they should be together on the same block conducting the survey. You should survey people within 2 hour or less time blocks between the hours of 8:00am to 3:00pm, Monday-Sunday. Document the times and dates that you conduct your surveys. Ensure that at least one of your data collection times is on a weekend to make sure to get a wide range of people. Move from block to block until all eligible participants have been interviewed or your allotted time ends.

**Step 2: The Approach**

Decide which demographic you want to interview. For Project ENVISION, every eligible person (over 18 who lives in the community and speaks either English or Spanish) was approached during the interviewing period and asked if they would like to participate in an anonymous
survey. The researchers aimed to interview 25 people total for each line or 100 people per Zip code. You can approach people anywhere along the sampling line.

In order to get a broad age range of respondents in the Project ENVISION Street Intercept Surveys, we set a quota for each Zip code to interview 15-20 people in each of the following groups per Zip code:

- Young men (18-25),
- Adult men (26-49),
- Adult men (50+),
- Young women (18-25),
- Adult women (26-49) and
- Adult women (50+).

You can utilize the sampling worksheet to keep track of the people and which age groups you have talked to.

The street intercept surveying method is designed to access all people on the street engaged in such activities as:

- Sitting on steps,
- Walking to or from work,
- Running errands,
- Performing job-related duties,
- Preparing to use public transportation,
- Participating in recreation, or
- Just “hanging out”.

When the interview period has begun, approach the first eligible respondent you see anywhere in the block. Utilize the script in the “informed consent” portion of the survey OR develop your own first introduction line. Be prepared to receive a lot of “I don’t have time” or “I am not interested” answers. For ALL refusals, record an estimate of the person’s age, sex and stated reason for refusal. This is EXTREMELY important, please do not skip this step.

**Avoiding Unsafe Situations**

Always conduct the survey in pairs on the same block and in the daytime.

You should avoid:

- Intoxicated persons,
- People exhibiting threatening behavior, or
- People presumed to be involved in a drug deal.

You can cut off the interview at any time if the respondent in any way exhibits these behaviors or you feel unsafe (this can include joking behavior on the part of the respondent that makes you feel uncomfortable). Please use your intuition.

Please also keep track if this happens (location, time and respondent age, sex and specifics about the encounter).
Step 3: Informed Consent
There is an informed consent script included in the survey. Please do not forget to offer respondents a copy of the consent form if they wish. Mark on the survey if they agree to be interviewed and sign that you have conducted the informed consent process. If you walk through the informed consent and the respondent does not want to take the survey, it is STILL important to sign that you have conducted the informed consent process that they did not want to participate and list the date, location and time and any information such as sex and approximate age group of respondent.

Step 4: Conducting the Survey

Administration Form
On the first page of the survey you can create an administration page. If this is the only page you fill out for the respondent, you can tear this page off and put a new cover sheet on the unused survey but you must keep this sheet for record purposes. What you want the administration page to include will vary according to project, but we recommend the following:

- Neighborhood: please spell out or use initials: H, M, W
- Zip code: please write out the entire Zip code
- Date: please write out the MM DD YY in the appropriate spaces
- Interviewer: please write out your initials (be consistent with your initials)
- Interview Number: Insert the number of the interview, which is the number of completed administration forms for that day so far per interviewer.

You can fill out all these sections ahead of time for a number of surveys to save time. There is a place to mark whether the survey was completed and the approximate minutes it took.

If the survey was not completed, make comments in the box to the RIGHT including details. There is a space for refusals. Please mark the reason for refusal in the column to the RIGHT please mark the person’s sex and approximate age for all refusals.

There is a space to mark whether you found out part way through that the person was ineligible. Please mark the reason why. We will have this survey in both Spanish and English. Please mark which type of survey you use and the language of facilitation. (i.e., you might use an English survey but facilitate in Spanish and vice versa).

The Survey
Please circle or mark respondents’ answers on the survey. Make sure your circles and marks on the survey are clear. If it helps you can mark the corresponding letter or number of the answer in the box to the right of the answer choices.

If your survey includes a long list of responses that you are asking people to choose from, it may be helpful to have laminated cards with the responses in large text, so that the respondent can look at them while you read the responses.

Step 5: Ending the Survey
Recruiting Community Activists
A question at the end of the Project ENVISION survey asks “Would you like to become involved with the community coalition?” If the respondent answers yes, have them add their name and email or phone number to the mailing list sign-up sheet. Ensure that you can read all the information while the respondent is still standing there. Hand this information over to the community coalition. Ensure respondents that this identifying information will be kept separate from their survey.

Thanking the Participant
Be sure to thank the participant for their time. Reiterate that the information and opinions they provided will help the community coalition’s action planning.

Handling Disclosures
For topics such as sexual violence, handling disclosures is an important skill to teach the community researchers for both the focus group and the surveys. Even though you may not be asking about direct experience, people might disclose their sexual violence experiences with you in the survey or at any point in the research process. It is important to develop a protocol for handling disclosures. An example protocol from Project ENVISION is:

In such a case, it is important to:
LISTEN: suspend the research for the time being and actively listen to the person.

ACKNOWLEDGE: what the person is telling you in a sensitive manner (do not ignore what they just told you!). You can say something like: “Thank you for sharing this with me, I know it takes tremendous courage to share your own personal experience.”

REFER: give the person a “health map” and point out the free counseling services available. You can say something like: “not everyone may want to go to counseling but I personally know the amazing women (and men) at this (or these) specific places and these services are free and I would highly recommend it. These are also the same individuals that are part of this community coalition I am on seeking to end sexual violence before it ever starts.”

CONTINUE OR END: Use your best judgment about whether to continue with the survey. If you choose not to, you can end by asking the last two questions on the survey to find out if they would like to become involved.

THANK THEM: Thank the respondent again for sharing with you and express again that you hope they will become involved by utilizing the free services or by joining the community coalition.
**Sample Street-Interceptor Survey from Project ENVISION**

“Envisioning a City without Sexual Violence: Utilizing Participatory Research for Action Planning”

Reminders:
1. Always complete the Identification section (you can fill some of this out before going into the field).
2. Be sure to always fill out an Administration form for every survey—even if someone refuses.
3. Make sure to signed the consent form if a person agrees to conduct the survey.
4. Read aloud to survey participants only what is in lower-case type.
5. Don’t skip or leave any questions blank (can mark DK, if respondent does not know)

**ADMINISTRATION FORM**

<table>
<thead>
<tr>
<th>IDENTIFICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEIGHBORHOOD</td>
</tr>
<tr>
<td>ZIP CODE</td>
</tr>
<tr>
<td>DATE</td>
</tr>
<tr>
<td>INTERVIEWER</td>
</tr>
<tr>
<td>INTERVIEW NUMBER</td>
</tr>
<tr>
<td>______________(MM)<strong><strong>(DD)</strong></strong>(YY)</td>
</tr>
<tr>
<td>____________(INITIALS)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INTERVIEW DETAILS</th>
</tr>
</thead>
<tbody>
<tr>
<td>COMPLETED SURVEY?</td>
</tr>
<tr>
<td>1. Yes [__]</td>
</tr>
<tr>
<td>Survey length [_____] minutes</td>
</tr>
<tr>
<td>Respondent gender (M/F) [____]</td>
</tr>
<tr>
<td>Respondent age [_____] years</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>2. No [__]</td>
</tr>
<tr>
<td>Refused (specify):</td>
</tr>
<tr>
<td>[__] No time</td>
</tr>
<tr>
<td>[__] Not interested</td>
</tr>
<tr>
<td>[__] Other:</td>
</tr>
<tr>
<td>________________</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>3. Not eligible [__]</td>
</tr>
<tr>
<td>Not eligible (specify):</td>
</tr>
<tr>
<td>[__] Under the age of 18</td>
</tr>
<tr>
<td>[__] Does not live in the neighborhood</td>
</tr>
<tr>
<td>[__] Does not speak English or Spanish</td>
</tr>
<tr>
<td>LANGUAGE OF SURVEY (English =1; Spanish = 2) [__]</td>
</tr>
<tr>
<td>LANGUAGE INTERVIEW CONDUCTED IN [__]</td>
</tr>
<tr>
<td>FIELD SUPERVISOR PRESENT? (Yes=1, No=2) [__]</td>
</tr>
<tr>
<td>FIELD SUPERVISOR SIGN OFF</td>
</tr>
<tr>
<td>----------------------------</td>
</tr>
<tr>
<td>NAME _____________________</td>
</tr>
<tr>
<td>DAY [<strong>] [</strong>]</td>
</tr>
<tr>
<td>MONTH [<strong>] [</strong>]</td>
</tr>
<tr>
<td>YEAR [<strong>] [</strong>] [<strong>] [</strong>]</td>
</tr>
</tbody>
</table>

INDIVIDUAL CONSENT FORM

Hi there, do you live in this neighborhood? My name is _______________ and I am working with The New York City Alliance Against Sexual Assault to conduct research on community violence here in _____<COMMUNITY NAME>______, and I’d like to hear your opinions if you are interested in participating.

I am conducting a very short survey to learn about community conditions and prevention priorities. I will share my findings with a community-based coalition that is working toward primary prevention of sexual violence here in _____<COMMUNITY NAME>______.

The survey takes approximately 5-10 minutes to complete. It is completely anonymous so no one except me will know that you took part in the research. You can stop at any time, or skip any questions that you don’t want to answer.

Of course, the survey is voluntary, but your opinions will be very helpful to the community coalition as we develop strategies for violence prevention in _____<COMMUNITY NAME>______.

Would you like to participate?

NOTE WHETHER RESPONDENT AGREES TO INTERVIEW OR NOT

[___] DOES NOT AGREE TO BE INTERVIEWED.

[___] AGREES TO BE INTERVIEWED

TO BE COMPLETED BY INTERVIEWER

I certify that I have read the above consent procedure to the participant.

Signed:

_____________________________________________SIGN EVEN FOR THOSE WHO DO NOT WANT TO PARTICIPATE
### SECTION 1. RESPONDENT AND HIS/HER COMMUNITY

If you don’t mind, I would like to start by asking you a little about yourself and <COMMUNITY NAME>.

*INSERT NAME OF COMMUNITY/NEIGHBORHOOD ABOVE AND IN QUESTIONS BELOW.*

<table>
<thead>
<tr>
<th>QUESTIONS AND PROBES</th>
<th>CODING CATEGORIES</th>
</tr>
</thead>
</table>
| 5. Do you currently live in COMMUNITY NAME? | YES……………………………1  
NO……………………………2  
IF NO, END SURVEY |
| 6. How old are you? | AGE [__] [__]  
IF UNDER 18, END SURVEY |
| 7. How long have you been living continuously in COMMUNITY NAME? | NUMBER OF YEARS [__] [__]  
LESS THAN 1 YEAR………00  
LIVED ALL HIS/HER LIFE….95 |
| 8. Do neighbors in COMMUNITY NAME generally tend to know each other well? | YES……………………………1  
NO……………………………2  
DON’T KNOW……………….8 |
| 9. If there were a street fight in COMMUNITY NAME would people generally do something to stop it? | YES……………………………1  
NO……………………………2  
DON’T KNOW……………….8 |
| 10. If someone in COMMUNITY NAME decided to undertake a community project would most people be willing to contribute time, labor or money? | YES……………………………1  
NO……………………………2  
DON’T KNOW……………….8 |
| 11. Where did you grow up?  
PROBE: Before age 12, where did you live longest? | THIS NEIGHBORHOOD………1  
ANOTHER NEIGHBORHOOD IN NYC…………………..2  
ANOTHER TOWN/CITY…….3  
ANOTHER COUNTRY……..4 |
| 12. Do any of your family members live in COMMUNITY NAME? | YES……………………………1  
NO……………………………2  
DON’T KNOW……………….8 |
| 13. Do you have any friends that live in COMMUNITY NAME? | YES……………………………1  
NO……………………………2 |
<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>14.</strong></td>
<td>Do you regularly attend a group or organization in COMMUNITY NAME?</td>
<td>DON’T KNOW………………..8</td>
</tr>
<tr>
<td></td>
<td>IF YES:</td>
<td>NONE………………………..1</td>
</tr>
<tr>
<td></td>
<td>What kind of group or organization?</td>
<td>CIVIC/POLITICAL/UNION…2</td>
</tr>
<tr>
<td></td>
<td>IF NO, PROMPT:</td>
<td>NONPROFIT/CHARITABLE.3</td>
</tr>
<tr>
<td></td>
<td>Organizations like women’s or community groups, religious groups or political associations?</td>
<td>SPORTS/ARTS/CRAFTS……4</td>
</tr>
<tr>
<td></td>
<td>MARK ALL MENTIONED</td>
<td>WOMEN’S ORG……………5</td>
</tr>
<tr>
<td></td>
<td>PROBE IF NECESSARY TO IDENTIFY TYPE OF GROUP</td>
<td>RELIGIOUS …………………6</td>
</tr>
<tr>
<td></td>
<td></td>
<td>SCHOOL GROUP……………7</td>
</tr>
<tr>
<td></td>
<td></td>
<td>OTHER__________________ 8</td>
</tr>
<tr>
<td></td>
<td>LIST NAME OF ORG/GROUPS:</td>
<td></td>
</tr>
</tbody>
</table>
As I mentioned earlier, I am part of the COMMUNITY NAME community coalition geared toward ending sexual violence in COMMUNITY NAME. By ‘sexual violence’ I mean any completed or attempted sexual act against a person’s will or against a person unable to give consent. Our first step as a coalition is to gather people’s views on why they think sexual violence happens in the first place.

### QUESTIONS AND PROBES

<table>
<thead>
<tr>
<th><strong>15.</strong> First, I want to ask do you think sexual violence is a problem in COMMUNITY NAME?</th>
<th><strong>CODING CATEGORIES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>YES……………………………...1</td>
<td></td>
</tr>
<tr>
<td>NO…………………………….2</td>
<td></td>
</tr>
<tr>
<td>DON’T KNOW……………….8</td>
<td></td>
</tr>
</tbody>
</table>

| **16.** Here is a list of many of the causes of sexual violence that people have thought of. We don’t know if these really are the causes of sexual violence. At this stage we are just gathering opinions. I will read through this list ….. | |
| --- | |
| **HAND PARTICIPANT THE ‘CAUSES’ RESPONSE CARD AND READ THROUGH THE FOLLOWING LIST:** | |
| a. Gender inequality and gender stereotypes | |
| b. Abuse of power | |
| c. Exploitation of vulnerable people (e.g. children or people with disabilities) | |
| d. Too much sex and violence in the media | |
| e. Lack of, or unhealthy communication about sex and sexuality | |
| f. Lack of education | |
| g. Punishments do not discourage perpetrators | |
| h. Sexual violence is seen as a “private matter” | |
| i. Dysfunctional, unhealthy relationships | |
| j. Alcohol and drug abuse | |
| k. Poverty and/or economic stress | |
| l. Witnessing or being a victim of violence as a child. | |
| Can you think of any additional causes of sexual violence that aren’t on this list? | **CODING CATEGORIES** |
| YES……………………………...1 | |
| NO…………………………….2 | |
| DON’T KNOW……………….8 | |
| IF YES, LIST ADDITIONAL CAUSES: |
| 17. | In your opinion, which are the 3 main causes of sexual violence in COMMUNITY NAME from this list?  

SHOW CAUSES RESPONSE CARD | 1\(^{st}\) cause: [ ] (List associated letter)  
2\(^{nd}\) cause: [ ]  
3\(^{rd}\) cause: [ ]  
OR additional cause:  
  
  
  I DON’T KNOW…………….8 |
|---|---|
| 19. | Which cause or causes do you think does NOT apply to COMMUNITY NAME?  
And why?  
SHOW CAUSES RESPONSE CARD | [ ] [ ] [ ] [ ]  
Explanation:  
  
  I DON’T KNOW…………….8 |
As I mentioned before, we are interested in preventing sexual violence before it ever occurs. We are unsure where to start and asking people’s opinions about what they think we should do.

<table>
<thead>
<tr>
<th>QUESTIONS AND PROBES</th>
<th>CODING CATEGORIES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>20.</strong> Here is a list of approaches other communities have used to reduce or prevent sexual violence:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>HAND PARTICIPANT PREVENTION CARD AND READ THROUGH LIST:</strong></td>
<td></td>
</tr>
<tr>
<td>a. Working with youth</td>
<td>YES…………………..1</td>
</tr>
<tr>
<td>b. Working with families</td>
<td>NO……………………2</td>
</tr>
<tr>
<td>c. Reducing alcohol and drug abuse</td>
<td>I DON’T KNOW…………8</td>
</tr>
<tr>
<td>d. Enforcing sexual harassment policies in the workplace</td>
<td>IF YES, LIST ADDITIONAL APPROACHES:</td>
</tr>
<tr>
<td>e. Public awareness campaigns</td>
<td></td>
</tr>
<tr>
<td>f. Working with young men and boys</td>
<td></td>
</tr>
<tr>
<td>g. New laws and tougher punishments for offenders</td>
<td></td>
</tr>
<tr>
<td>h. Changing the media</td>
<td></td>
</tr>
<tr>
<td>i. Training health professionals</td>
<td></td>
</tr>
<tr>
<td>j. Training community members</td>
<td></td>
</tr>
<tr>
<td>k. Working with religious groups.</td>
<td></td>
</tr>
</tbody>
</table>

Can you think of other ways to prevent sexual violence in COMMUNITY NAME?
21. From this list, which do you think are the top 3 ways to reduce or prevent sexual violence in COMMUNITY NAME? And why?

<table>
<thead>
<tr>
<th>Approach</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st</td>
<td></td>
</tr>
<tr>
<td>2nd</td>
<td></td>
</tr>
<tr>
<td>3rd</td>
<td></td>
</tr>
</tbody>
</table>

OR new approach, and why:

I DON’T KNOW…………….8

23. Which approaches from this list do you think would not work in COMMUNITY NAME? And why?

<table>
<thead>
<tr>
<th>Approach</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I DON’T KNOW…………….8

24. Do you know anyone (including family, friends or yourself) who has experienced sexual violence?

<table>
<thead>
<tr>
<th>Knowledge Status</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>I DON’T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>

25. Would you like to hear the results of our research when we are finished?

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>IF YES, GIVE PROJECT ENVISION POSTCARD</td>
<td></td>
</tr>
</tbody>
</table>

26. Would you like to become involved with the

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>YES</td>
<td>1</td>
</tr>
<tr>
<td>NO</td>
<td>2</td>
</tr>
<tr>
<td>I DON’T KNOW</td>
<td>8</td>
</tr>
</tbody>
</table>
community coalition?

NO........................................2

IF YES, GIVE PARTICIPANT POSTCARD AND OPTION TO JOIN MAILING LIST

Thank you so much for your time. This has been very helpful. Is there anything else you would like to share with me?

Thanks again and have a great day!

ADDITIONAL NOTES:
15.1 Introducing the Street Intercept Survey

Learning Objectives: By the end of this session, participants should have an overview and basic understanding of the street intercept survey.

Materials:
- Street intercept survey
- Laminated cards (if not applicable)
- Clipboards or hard writing surfaces
- Notecards

Preparations:
- Handout one “Questions” notecard to each participant for activity 1.
- Make copies (double-sided and stapled) of the street intercept survey and pass out five copies per person.
- If applicable:
  - Print enough copies of the “possible causes of sexual violence” card on a lightly colored paper for each participant and chop off the excess white space.
  - Laminate these copies of the “possible causes of sexual violence” card for participants.
  - Print enough copies of the “sexual violence prevention approaches” card on a lightly colored paper for each participant and chop off the excess white space.
  - Laminate these copies of the “sexual violence prevention approaches” card for participants.

Time: 20 minutes

Learning Activities:

Activity 1: Learning by Doing (30 minutes)
Before explaining the street intercept survey, we are going to complete one with our team members. Split the group into teams of two. Hand out one survey, one “possible causes of sexual violence” card and one “sexual violence prevention approaches” card to every participant. Have everyone briefly read through the survey and cards (allow 5 minutes for this).

Instruct each person to conduct the survey with the other person in his or her group. Tell participants that we will not be stopping to answer questions but to write down any questions they may have on their notecards. The goal of the exercise is to have everyone have a chance to conduct the survey with their team partner and to be prepared with questions for the Presentation. Allow approximately 10 minutes per partner.
15.2 Conducting the Street Intercept Survey

Learning Objectives: By the end of this session, participants should feel confident conducting the street intercept survey.

Materials:
- Street intercept sampling worksheet
- Random numbers table
- 3 Protractor Rulers
- 3 red fine tip markers
- 3 sharpened pencils
- Map of each Zip code
- PowerPoint
- Copies of PowerPoint presentation
- Referral information

Preparations:
- Upload presentation on PowerPoint—This presentation is a template and was used in Project ENVISION, revise this presentation according to your own community.
  - First visit http://showmyzip.com/index.php to view each Zip code area.
  - Then go to Google maps (http://maps.google.com) and print out a map for each Zip code ensuring all the street names can be read (the printing area of the show my Zip Website is not large enough to view all the streets in the Zip code).
  - Once you have the print outs use a heavy-tipped pen and outline on the map the Zip code boundaries using the ‘show my Zip’ Website as a guide. Then make two extra copies of each Zip code map.
  - Label the Zip code and community on the top of the page. Make sure each Zip code is on one sheet of paper.
- Make copies (single-sided and paper clipped not stapled) of the “street intercept sampling” worksheet for participants. Once participants have filled out these sheets, make a copy of each Zip code for a master copy.
- Make copies of the “random numbers table” for participants.
- Make copies of the PowerPoint presentation for participants
- Give participants referral information to hand out

Time: 2 hours

Learning Activities:

Activity 1: Explaining the Survey Presentation (30 minutes—not including slides marking activities 2 and 3)

This presentation is a template and was used in Project ENVISION, revise this presentation according to your own community.
Slide 2: What is a Street Intercept Survey?
• A quantitative method in which a specific geographic feature (such as a block or park) is used as the sampling unit. Every eligible person that is in the sampling unit is approached to complete a survey or interview.
• Allows for random sampling in a geographic area

Slide 3: Why Utilize a Street Intercept Survey?
• We are interested in the views, opinions and thoughts of community members in specific geographic areas. The street intercept survey is the ideal tool to gather these views from random members of the community.
• The random sampling lessens the probability that any findings were due to “chance” and increases our probability that findings are the opinions of community members.
• Can gather feedback from a larger number of community members than is possible with the other tools.

Slide 4: Our Research Questions
• Our main research questions at the community level are:
  • What is the scope of sexual violence?
  • What are the root causes of sexual violence?
  • What are the community assets?
  • What are the opportunities for prevention?
  • What are the prevention priorities?
• The street intercept survey will ANSWER the last four questions.

Slide 5: Sampling for the Street Intercept Survey: Group Activity
• Utilizes a Random Map Sampling Technique

Group Activity:
• Organize into your teams
• You should have 3 maps: one for each Zip code in your community
  • List the Zip codes for each community in bullet points here
• First, find the mark in the center of the map. This is highlighted in Google maps by a red flag. Highlight this on your map. If you do not have one, mark the approximate center with a mark.

**Facilitator’s Note:** This slide should lead into activity 2

Slide 6: Choosing Random Streets
• Now look at your random numbers table
• Randomly choose a starting place on the table (can be at the top, the middle, the end…ANYWHERE!) Mark your starting place on the table with a pencil or pen mark.
• Choose the first 3 digit set of numbers you see (this may include a 0 at the beginning). It’s the first 3 digits in the row, continue across any “gaps”. When you reach the end of the row, the next digit is the one at the start of the next row.
If we choose to start at the first 8, we would choose the first 3 digit number which is 879. It is not between 0 and 360 so we would choose the next 3 digit number: 458. Again, it is not between 0 and 360 so we would choose the next 3 digit number which is 212. This is between 0 and 360 and would be our first number. We continue on to find two other 3 digit numbers: 212, 025, and 014.

Slide 7: Random Sampling
•Continue on to the next 3 numbers and write these down.
•Continue on to the next 3 numbers and write these down.
•You should end up with 3 sets of 3 digit numbers between 0 and 360. (examples: 212, 025, 014)
•Now write these numbers on your sampling worksheet.

Slide 8: Sampling Continued
•Now take your protractor and align it so the middle of the straight part of the protractor (with the curve on top) is as parallel as possible to the bottom of the page.
•Now make a dot (on the edge of the Zip code area) at each of the three-digit numbers as they correspond to the protractor numbers (example: 017 would be at 17 degrees on the protractor)
•Now draw a straight line from the center dot to the protractor dot you just made

Slide 9: Sampling Continued
•Now write down on the worksheet every street that is intersected by that straight line.
•We will take the entire block, defined as the length of a street from one intersection to another intersection, through which the line passes.
•Do this for all 3 lines.
•These 3 groups of streets are the sampling frame for the street intercept survey.

Slide 10: Who to Approach?
•Every eligible person (over 18 who lives in the community and speaks either English or Spanish) will be approached during the interviewing period and asked if they would like to participate in an anonymous survey.
•Interview 25 people total for each line or 100 people per Zip code.
•You can approach people anywhere along the sampling line.

Slide 11: Who to Approach?
•In order to get a broad age range of respondents, we have set a quota for each Zip code to interview 15-20 people in each of the following groups per Zip code:
  •young men (18-25),
  •adult men (26-49),
  •adult men (50+),
  •young women (18-25),
  •adult women (26-49) and
  •adult women (50+).
• Utilize your sampling worksheet to keep track of the people and which age groups you have talked to.

Slide 12: How to Conduct?
• ALWAYS work in pairs for the street intercept survey.
• Though you will be doing individual interviews (only one interviewer per respondent), you should be together on the same block conducting the survey.
• The survey will only be done in 2 hour or less time blocks between the hours of 8:00am to 3:00pm, Monday-Sunday. Please do not conduct any surveys later than 3:00pm.
• Please document the times and dates that you conduct your surveys.
• Please ensure that at least one of your data collection times is on a weekend.
• Move from block to block until all eligible participants have been interviewed OR your allotted time ends.

Slide 13: Tips for Approaching People
• This method is designed to access all people on the street engaged in such activities as:
  • Sitting on steps,
  • Walking to or from work,
  • Running errands,
  • Performing job-related duties,
  • Preparing to use public transportation,
  • Participating in recreation, or
  • Just “hanging out”.

**Facilitator’s Note:** While we do not want to interrupt people at work, we can approach people who look like they are taking breaks or waiting for something.

Slide 14: The Approach
• Approach the first eligible respondent you see anywhere in the block you start one when the interview period begins.
• Utilize the script in the “informed consent” portion of the survey OR develop your own first introduction line.
• Be prepared to receive a lot of “I don’t have time” or “I am not interested” answers. This is NYC after all.
• For ALL refusals, record an estimate of the person’s age, sex and stated reason for refusal.
• This is EXTREMELY important, please do not skip this step.

Slide 15: Avoiding Unsafe Situations
• Avoid unsafe situations:
  • Always conduct the survey in pairs on the same block.
  • Always conduct the surveys in the daytime.
• Avoid:
  • Intoxicated persons,
  • People exhibiting threatening behavior, or
  • People presumed to be involved in a drug deal.
•You can cut off the interview at any time if the respondent in any way exhibits these behaviors or you feel unsafe (this can include joking behavior on the part of the respondent that makes you feel uncomfortable). Please use your intuition.
  •Please also keep track if this happens (location, time and respondent age, sex and specifics about the encounter).
•The probability of this happening is very low. Other street intercept surveys in urban areas on sensitive topics report an interviewer survey withdrawal rate of 0.04 or 4%.

Slide 16: Conducting the Survey: Administration Form
•First page is the cover sheet for the survey.
  •If this is the only page you fill out for the respondent, you can tear this page off and put a new cover sheet on the unused survey. BUT you must keep this sheet for record purposes.
•At the top of this page, you will find the following to fill out for EACH survey:
  •Neighborhood: please spell out or use initials: H, M, B, W
  •Zip code: please write out the entire Zip code
  •Date: please write out the MM DD YY in the appropriate spaces
  •Interviewer: please write out your initials (be consistent with your initials)
  •Interview Number: Insert the number of the interview, which is the number of completed admin forms for that day so far per interviewer.
•You can fill out all these sections ahead of time for a number of surveys to save time.
•There is a place to mark whether the survey was completed and the approximate minutes it took.
•If the survey was not completed, make comments in the box to the RIGHT including details.
•There is a space for refusals. Please mark the reason for refusal
  •In the column to the RIGHT please mark the person’s sex and approximate age for all refusals.
•There is a space to mark whether you found out part way through that the person was ineligible. Please mark the reason why.
•We will have this survey in both Spanish and English. Please mark which type of survey you use and the language of facilitation. (i.e., you might use an English survey but facilitate in Spanish and vice versa).

Slide 17: Informed Consent
•There is an informed consent script included in the survey. Please do not forget to offer respondents a copy of the consent form if they wish.
•Mark on the survey if they agree to be interviewed and sign that you have conducted the informed consent process.
•If you go through the informed consent process and they do not want to participate then you also need to sign that page.

Slide 18: The Survey
•Please circle or mark respondents’ answers.
•Please ensure this is clear (re-review the marks before turning it into your field supervisor). If it helps you can mark the corresponding letter or number of the answer in the box to the right of the answer choices.
• Be sure to have the “root causes” card and the “possible interventions” card handy for reference during the survey.
• Give these cards to the respondent for them to look at while you read the responses.
• We will laminate these cards for you.
• Ensure you get the card back from the respondent after they answer the question.

Slide 19: Recruiting Community Activists
• The last question asks “Would you like to become involved with the community coalition?”
  • If YES, have them add their name and email or phone number to the mailing list sign-up sheet. Ensure that you can read all the information while the respondent is still standing there. A coalition member will get in touch with them.

Slide 20: Handling Disclosures
• Even though we are not asking about direct experience, people might disclose their sexual violence experiences with you in the survey.
• It is important to keep in mind that this may be the first time the person is telling ANYONE about the experience.
• In such a case, it is important to:
  • LISTEN: suspend the research for the time being and actively listen to the person.
  • ACKNOWLEDGE: what the person is telling you in a sensitive manner (do not ignore what they just told you!). You can say something like: “Thank you for sharing this with me, I know it takes tremendous courage to share your own personal experience.”
  • REFER: give the person a “health map” and point out the free counseling services available. You can say something like: “not everyone may want to go to counseling but I personally know the amazing women (and men) at this (or these) specific places and these services are free and I would highly recommend it. These are also the same individuals that are part of this community coalition I am on seeking to end sexual violence before it ever starts.”
  • CONTINUE OR END: Use your best judgment about whether to continue with the survey. If you choose not to, you can end by asking the last two questions on the survey to find out if they would like to become involved.
  • THANK THEM: Thank the respondent again for sharing with you and express again that you hope they will become involved by utilizing the free services or by joining the community coalition.

Slide 21: Handling Disclosures: Group Role-Play
• Each of us will practice handling a disclosure in the one-on-one survey.
• Gather your chairs into a circle.
• We need one volunteer to start by being the interviewer.
• We need one volunteer to start by being the respondent.

**Facilitator’s Note:** This slide leads directly into Activity 3.

Slide 22: Organizing the Survey Data
• At the top of each survey page is a place for the survey ID.
• The survey ID is:
**Activity 2: Developing the Sampling Frame (30 minutes)**

In this activity, participants will develop the sampling frame for the street intercept survey.

**Facilitator’s Note:** You can either do this activity in the training OR ahead of time with the community coalition or do it with both the coalition and the researchers. It is essential that the facilitator practice doing this before teaching it as it can be slightly confusing.

Begin this exercise by having participants get into their teams. Hand each member of the team maps for each of the Zip codes in their community (Or whatever way you have of measuring the community). Also hand each person the ‘sampling’ worksheet, the random number table, and hand each team a protractor ruler.

Instruct participants to locate the approximate center of their Zip code map and to mark this spot if it is not already marked (Google maps will mark the center with a red flag). Now have the teams look at the random number table. This table is a list of randomly generated numbers. Have the team agree upon a starting number in the random numbers table. It can be ANY number on the table, ANYWHERE on the table. Choose only one starting place per team. Have the team mark this place with a pencil.

Now have the team start at their number and take the first three digits they come across. Ask the team if these three digits falls between 0 and 360 (360 is important because it is the number of degrees on the protractor)? If yes, have them record the number on their sampling worksheet. If not, have them take the next 3 digits. They should take the next three digits regardless if there is a gap between the numbers or the line ends (if the line ends, continue and take the next number of the beginning of the next line). Have participants continue this until they 3 separate numbers between 0 and 360. Have them record all three numbers on their sampling worksheet.

Have participants continue this for all three Zip code maps.

Now have participants take their protractor and place the center dot in the center of the protractor with the half circle facing up (the middle of the straight edge should be parallel to the bottom of the page). Now have participants mark on the map the location of their 3 numbers according to the protractor (for numbers over 180, have participants flip the protractor upside down and mark the number on the bottom side of the map).

Now have participants draw a straight line from the center dot through their protractor dot up to the edge of the Zip code map. Have participants do this for all three protractor numbers.
Now have participants write down ALL the streets that each line intersects on their sampling worksheet. Have them take the ‘block’ (the street from one intersection to another) that the line intersects. An example might be: Christopher Street between Greenwich Avenue and Waverly Place. Have them list the blocks for each line in the appropriate place on their sampling worksheet.

Let participants know this is the sampling framework for the street intercept survey. They will only be approaching people on these lines. Instruct participants that as a team, they will interview 25 people per line for a sample size of 100 people per Zip code (or however many you decide in your project).

Direct participants’ attention to the last page of the sampling worksheet. To get a broad representation of the age spectrum, we have developed a quota for age groups to fill out the street intercept survey:

- Young men (18-25),
- Adult men (26-49),
- Adult men (50+),
- Young women (18-25),
- Adult women (26-49) and
- Adult women (50+).

We want 15-20 people to be interviewed for each of the following groups per Zip code. The last section of the sampling worksheet is to help teams keep track of how many people they have interviewed in each age group.

Directly after this exercise, one of the facilitator’s should make a copy of each team’s sampling worksheets so that you can generate a master sampling frame copy.

**Facilitator’s Note:** It is very important that you make a copy of each team’s sampling worksheet before respondents leave the training to have the complete sampling frame.

**Activity 3: Handling Disclosures (1 hour)**
Cover the procedure for handling disclosures on slide 20. Handout 100 pieces of referral information (cards, leaflets or anything the researcher can give to respondents) to each participant.

For this activity, have participants move their chairs into a semi-circle. Ask for one volunteer to be the interviewer and one volunteer to be the respondent. The facilitator should take the respondent out of the room and let him or her know the scenario he or she should act out. The list of scenarios include:

- A survivor of child sexual abuse perpetrated by a family member,
- A survivor of child sexual abuse perpetrated by a family friend,
- A survivor of teen dating violence,
- A survivor of sexual harassment on the job,
- A survivor of stranger rape,
- A survivor of intimate partner violence from a former wife/husband, and
- A survivor of intimate partner violence who is still in the relationship.
Have the respondent re-enter the room and have the interviewer approach him or her as if they were on the street. Allow the two participants to role-play the scenario. The interviewer should begin the survey following all the consent procedures. The respondent can disclose at any point during the survey. Ensure that each participant has a chance to be the interviewer. Allow each role-play to last for approximately 3-4 minutes. Have the first role-play start at the beginning of the survey and subsequent role-plays can begin anywhere in the survey.

After each role-play, the facilitators should give feedback and open the circle for comments from other participants.
Street Intercept Survey Sampling Worksheet

1. Zip code: ________________________

   3-digit number: __________
   3-digit number: __________
   3-digit number: __________

Streets in sampling frame:
   1. Street between/at ________________________________
   2. Street between/at ________________________________
   3. Street between/at ________________________________
   4. Street between/at ________________________________
   5. Street between/at ________________________________
   6. Street between/at ________________________________
   7. Street between/at ________________________________
   8. Street between/at ________________________________
   9. Street between/at ________________________________
  10. Street between/at ________________________________
  11. Street between/at ________________________________
  12. Street between/at ________________________________
  13. Street between/at ________________________________
  14. Street between/at ________________________________
  15. Street between/at ________________________________
  16. Street between/at ________________________________
  17. Street between/at ________________________________
  18. Street between/at ________________________________
  19. Street between/at ________________________________
  20. Street between/at ________________________________
  21. Street between/at ________________________________

Continue on the backside of this page if there are more streets.
2. Zip code: ______________________

3-digit number: __________

3-digit number: __________

3-digit number: __________

Streets in sampling frame:
1. Street between/at________________________
2. Street between/at________________________
3. Street between/at________________________
4. Street between/at________________________
5. Street between/at________________________
6. Street between/at________________________
7. Street between/at________________________
8. Street between/at________________________
9. Street between/at________________________
10. Street between/at________________________
11. Street between/at________________________
12. Street between/at________________________
13. Street between/at________________________
14. Street between/at________________________
15. Street between/at________________________
16. Street between/at________________________
17. Street between/at________________________
18. Street between/at________________________
19. Street between/at________________________
20. Street between/at________________________
21. Street between/at________________________
22. Street between/at________________________

Continue on the backside of this page if there are more streets.
3. Zip code: ______________________

3-digit number: __________

3-digit number: __________

3-digit number: __________

Streets in sampling frame:
1. Street between/at_____________________________
2. Street between/at_____________________________
3. Street between/at_____________________________
4. Street between/at_____________________________
5. Street between/at_____________________________
6. Street between/at_____________________________
7. Street between/at_____________________________
8. Street between/at_____________________________
9. Street between/at_____________________________
10. Street between/at_____________________________
11. Street between/at_____________________________
12. Street between/at_____________________________
13. Street between/at_____________________________
14. Street between/at_____________________________
15. Street between/at_____________________________
16. Street between/at_____________________________
17. Street between/at_____________________________
18. Street between/at_____________________________
19. Street between/at_____________________________
20. Street between/at_____________________________
21. Street between/at_____________________________

Continue on the backside of this page if there are more streets.
15.3 Documenting the Data

Learning Objectives: By the end of this session, participants be able to organize and manage the street intercept survey data.

Materials:
- Surveys used in the exercise in Module 4.1
- Handout: The Community Data Sheet
- Flipchart paper
- Calculator

Preparations:
- Make 8 copies of the handout “Community Data Sheet”

Time: 45 minutes

Learning Activities:

Activity 1: Organizing the Data (15 minutes)
Have each team gather their street intercept surveys from the previous activity. Have them label the ID for each survey at the top of each page in the following format:
• The interviewer’s initials, the Zip code, the month (MM) and day (DD) and the interview number.
• Example: ID: HJ [10452] [1] [1] [0] [8] [06]

Observe the labeling and provide suggestions as needed.

Activity 2: Writing-Up the Data (30 minutes)
Give participants the handout “Community Data Sheet”, going through each section. Ask participants which sections directly correspond to the street intercept survey. Start with the beginning questions and write the questions on flipchart paper. Ask all the participants whether the survey they have has a yes or no. Mark only the yeses on the flipchart paper. Determine the (n) or total sample size (the number of completed surveys). Do not include ineligible or refusals in the n. Determine the ‘n’ for each question (whether the question was answered). Now as a group add up all the “yes” responses and divide by the “n” for that question. This is the frequency or percentage for each question. Transfer this information to the appropriate spot on the Community Data Sheet. Tell participants that they should do this for every question that appears on the Community Data Sheet. It is best to do this when you have completed all the street surveys. Answer any questions that participants may have.

**Facilitator’s Note:** This is the space to share with participants what the data analysis plan is for the surveys (outside researcher help, coalition member with quantitative skills, etc). It is important to have the person that will be doing the quantitative data analysis present and involved in planning this module’s training.
16 Group Data Analysis

Overview of Group Data Analysis

Planning for Group Data Analysis
Overview of Group Data Analysis

This module will only cover group qualitative data analysis. Unlike other modules, module 16 and 17 are to be used to structure joint time with the coalition and community researchers (as opposed to training the community researchers). This section does not cover quantitative data analysis. It is important if you plan to do quantitative analysis to have someone who is skilled at data analysis to help organize and analyze the street intercept and scope survey data in collaboration with the coalition.

One of the most unique and important aspects of Participatory action research is the co-ownership and co-analysis of data. Data analysis involves examining the data collected thus far and seeing if there are themes that are repeated across the data. This is done through small group reviews and cross-reviews of the data to ensure that there is agreement on the themes selected.

Group review of the data allows the coalition to jointly examine what has emerged through all the focus groups and interviews. This is part of the iterative process, which will show ways forward for action. There may be some unexpected findings that the group may want to learn more about—prompting more observation and research.
Planning for Data Analysis

The data analysis plan is made easier by utilizing the Community Data Sheet you created at the beginning of the project. Below is the Community Data Sheet that was developed for Project ENVISION. Each section is highlighted with the type of data that is included. This sheet makes the data analysis plan much easier for a group process by allowing groups to fill in the blanks with the key themes they identify from the focus groups and interviews and the quantitative data. Your sheet may look different but it is important to develop this in advance as it will aid the data collection and analysis process.

For the group data analysis process you will need:
- All the flipchart paper from all the focus groups
- All the data reports
- More empty flipchart paper
- Markers
- Empty community data sheets (or partially filled in with the scope and street intercept survey data)

Step-by-Step Group Data Analysis

Step 1: Schedule Several Days When Coalition Members and Community Researchers Can Meet for Data Analysis

Group data analysis takes time. Depending on how many focus groups and interviews were conducted you should plan several days for data analysis. It is best to break this up into manageable chunks of time. This can be done by focusing on a different section of the Community Data Sheet for each session. Data analysis can be really frustrating for some people and really exciting and thought-provoking for others. It’s best to play to the strengths and assets of individuals and have people in the coalition who like to organize data work with the community researchers on the analysis piece and the other people that like to discuss the themes come in for the report backs and larger group discussions.

Step 2: Introduction to Data Analysis

It is important to give a short introduction to data analysis for the group, especially if there are people from the coalition that aren’t as familiar with the Community Data Sheet.

First have the community researchers give a short presentation on the types of data they collected (how many groups, what exercises they used, show a few sample flipcharts). Then walk through the Community Data Sheet sections highlighting each section and what tools were used to collect data for that section. Instruct participants that they will be looking for larger themes that can fit into the frameworks presented in the Community Data Sheet. Then proceed to explain Steps 3 to 6 below.

Step 3: Split into Smaller Groups

You will want to have smaller subgroups look at the data. Ideally you should have no more than five people in a group. This will allow for everyone to participate and to keep the process to a manageable timeframe.
For example, Project ENVISION had two community researchers per neighborhood (3 different neighborhoods). So each team of two conducted their data analysis together. You may decide that you want to split groups by research question or section on the Community Data Sheet. Ideally the community researchers AND coalition members should be involved together in this process.

**Step 4: Review all the Data**
You will need ALL the data you have in the form of flipchart papers and research reports. Place all the flipchart papers side-by-side in the room you are meeting (or if you don’t have enough space you can lay them out on the tables as well). Have enough copies of all the research reports for each participant.

You will need to determine which research activities addressed the research question you are examining. For example, if you are looking at root causes, you will look at all the problem tree activities, the interrelationships diagrams, and potentially listing and ranking (depending on the question) and vignette (depending on the question).

**Step 5: Write Down Major Themes/Highlight Text**
The first step is to write down on a blank sheet of flipchart paper all the themes to answer your research question. For example, if you are in a sub-group that is looking at the root causes of the issue, you would have all the flipchart papers from the problem tree exercise and would begin listing all the root causes that participants mentioned on your own flipchart paper. Continue listing all the root causes that came up in any of the activities (interrelationships diagrams, vignette, listing and ranking, etc.). You should now have a very long list that covers all the research to date.

**Step 6: Discuss the Major Themes in the Sub-Group**
The next step is to examine whether any of the root causes listed can be combined (are they the same thing?) This is where the discussion will come in. Did participants mean the same thing when they said root cause X and root cause Y or are they two subtly different root causes? When in doubt, highlight the root causes and you can bring this back to the larger group for discussion.

You should also go back to the full research reports to get the context behind the root causes mentioned and not rely solely on the flipchart papers. Add any context next to the root cause on your list.

These are the ‘themes.’ Count how many times a specific theme was mentioned (it can either be in the same group or across groups—just how many total times it was mentioned). Put a number next to each theme with the total times it was mentioned.

Now place the top three themes in the Community Data Sheet. You will see that for our example of root causes the Community Data Sheet has separate categories for “Individual Level,” “Relationship Level,” “Community Level,” and “Society Level.” You may find it easier to list all the root causes as instructed above and to not categorize them by level until you are ready to put
them on the Community Data Sheet. You would then go through the root causes that were mentioned most frequently and determine at which level that root cause sits. You may need to look again at the research reports. Some root causes may sit across all levels. If this is the case simply put it in every level on your Community Data Sheet. If you have a question of which level a root cause may be on you can highlight the root cause and bring it back for discussion in the larger group.

You will do this for every section of the Community Data Sheet. Different sections may have different sources of data depending on your own project.

**Step 7: Present Back Your Findings to the Larger Group**

After each of the groups is done they will bring their findings back to the larger group. In presenting their findings, they can first show the flipchart paper that contains all the themes identified in all the groups. Then they can talk to the larger group about their process of combining or keeping separate specific themes and which themes were mentioned most frequently. Lastly, they can discuss with the group any difficulties they encountered in grouping or classifying the themes and the larger group can discuss and decide.

**Step 8: Write Up the Process and Themes Discussion**

The next step is for the group to identify who will write up the information they presented back to the larger group and the outcome of the discussions that took place. It is very important to document this information as well and will be useful in presenting back with the data.

**Step 9: Fill in the Community Data Sheet**

The last step is to fill in the Community Data Sheet with the themes agreed from the larger group discussion.
Community Data Sheet

Community: ______________________  Updated on: ____________________

# of respondents to date: ____________________

Scope of Sexual Violence:  Perceptions:

____% CSA (n/total)  ____% Know someone (n/total)

____% ASA (n/total)  ____% Think SV is a problem in community (n/total)

____% IPV (n/total)  ____% believe neighbors know each other well (n/total)

____% SV at Work (n/total)  ____% believe neighbors would intervene in a street fight (n/total)

Root Causes of Sexual Violence:
Top 3 causes of SV mentioned in community sessions:

<table>
<thead>
<tr>
<th>#1</th>
<th>Individual Level</th>
<th>Relationship Level</th>
<th>Community Level</th>
<th>Society Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>#2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>#3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This data is from the Scope Survey—you should fill out the total number of people that said ‘yes’ to experiences the specific form of sexual violence (n) and divide that by the total number of people who completed a scope survey (total) to get a percentage. You should put all of these numbers in the blank: % and (n/total).

This data is from the Street Intercept Survey -- you should fill out the total number of people that said ‘yes’ to these questions (n) and divide that by the total number of people who completed these questions in the street intercept survey (total) to get a percentage. You should put all of these numbers in the blank: % and (n/total). NOTE: your total can include people that completed these questions but did not complete the entire survey.

This data is from the strategy diagram. Some of this data may also come from listing and ranking exercises and problem trees. If they come from the listing and ranking and problem tree exercises, you will have to put them in the appropriate categories (individual, relationship, community, etc.). The #1 answer is the one given most frequently by respondents in the various exercises. You may need to group together answers that are similar for this table.
This data comes from the street intercept survey and corresponds to specific questions. You should calculate the percentage of respondents that agree with the root causes by taking the number of respondents that said “yes” to the question (n) and divide by the total number of respondents that answered the question (total). Put all three of these numbers in the blank: % (n/total)

Root causes from street-intercept surveys:

- ____% (n/total) Gender inequality
- ____% (n/total) traditional gender roles
- ____% (n/total) power and control
- ____% (n/total) SV in the media
- ____% (n/total) people viewed as exploitable
- ____% (n/total) unhealthy comm. about sex
- ____% (n/total) lack of education
- ____% (n/total) lack of communication
- ____% (n/total) perps not held accountable by CJ
- ____% (n/total) seen as “private matter”
- ____% (n/total) poverty
- ____% (n/total) alcohol and substance abuse
- ____% (n/total) unhealthy relationships
- ____% (n/total) witnessing and experiencing abuse as a child

Observations/Notes:

This is space for you as the researcher to put in observation and notes for the section of root causes of sexual violence. This can include interesting conversations, unusual root causes that are heard and any heated discussions. You can add as many notes and observations as you want.

Participant Quotes:

This is space for you as the researcher to put in participant quotes that are relevant to the section of root causes of sexual violence.

Community Assets:

Top 3 community assets as identified in the community:

#1___________________________________________
#2___________________________________________
#3___________________________________________

This data will come from both the community mapping and listing and ranking exercises. The top 3 community assets are those mentioned most frequently. Refer to the module on community mapping for a definition of community assets. Community assets that come up in other exercises can also be added to this.
Observation/Notes:

This is space for you as the researcher to put in observation and notes for the section of community assets. This can include interesting conversations about people, organizations and other assets in the community, unusual assets that are heard and any heated discussions. You can add as many notes and observations as you want.

Participant Quotes:

This is space for you as the researcher to put in participant quotes that are relevant to the section of community assets.

**Prevention Priorities:**
Top 3 prevention priorities as mentioned by community members:

#1____________________________________________

#2____________________________________________

#3____________________________________________

This data will come from the listing and ranking exercise when you use either of the following questions: “What forms of sexual violence are most common in COMMUNITY NAME?” and/or “Who do you think is most affected by sexual violence in COMMUNITY NAME? Data for this section can also come from the vignette exercises, the street intercept survey or other tools. In this section, we are looking for the priorities for prevention. In other words, where should we start our action? Is the prevention priority to work on teen dating violence OR to stop child sexual abuse OR to work to end sexual harassment in the workplace? What does the community identify as the priority?

Observation/Notes:

This is space for you as the researcher to put in observation and notes for the section of prevention priorities. This can include interesting conversations and any passionate and/or heated discussions. You can add as many notes and observations as you want.

Participant Quotes:

This is space for you as the researcher to put in participant quotes that are relevant to the section of prevention priorities.
Community Opportunities and Strategies for SV Prevention:

<table>
<thead>
<tr>
<th>Strengthening Individual Knowledge and Skills</th>
<th>Promoting Community Education</th>
<th>Educating Providers</th>
<th>Fostering Coalitions and Networks</th>
<th>Changing Organizational Practices</th>
<th>Influencing Policy and Legislation</th>
</tr>
</thead>
<tbody>
<tr>
<td>#1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>#2</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>#3</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

This section covers the Spectrum of Prevention and will provide data to the Community Coalitions for prevention action planning. This data will come from all tools but specifically from the vignettes, the strategy diagram and the problem tree (the solutions flowers and/or a solutions tree). Ideas may also come up in discussions and interviews. The key is to divide the community ideas and strategies into the various levels of the spectrum. For example, if several community members have talked about having workshops with parents so that they can talk to their kids about sexual violence, you can put this under “Promoting Community Education” AND under “Strengthening Individual Knowledge and Skills”. It is ok for ideas to overlap into sections. The #1 box is for the most frequently cited answer for each level of the spectrum. This chart will also show you where you may be lacking information. You can then refocus interviews or focus groups to gather this information (by using prompts or asking questions). For example, say you are missing information on what the community thinks regarding “influencing policy and legislation” for sexual violence prevention. You may decide to focus several interviews on this topic or to use prompts in the strategy diagram or vignettes to gather this information.
This information comes directly from the street intercept survey. You should calculate the percentage of respondents that agree with the possible approaches questions by taking the number of respondents that said “yes” to the question (n) and divide by the total number of respondents that answered the question (total). Put all three of these numbers in the blank: % (n/total)

___% (n/total) early childhood approaches  ___% (n/total) family-based approaches  ___% (n/total) school-based approaches

___% (n/total) projects for substance abuse  ___% (n/total) workplace projects  ___% (n/total) public campaigns

___% (n/total) working w/men & boys  ___% (n/total) new laws for offenders  ___% (n/total) anti-SV institutional policies

___% (n/total) working w/existing projects  ___% (n/total) working with the media  ___% (n/total) training youth workers

___% (n/total) training health professionals  ___% (n/total) working w/existing projects  ___% (n/total) working w/religious groups

___% (n/total) working w/other coalitions  ___% (n/total) training community members

Observations/Notes:

This is space for you as the researcher to put in observation and notes for the section of community opportunities and strategies for SV prevention. This can include interesting conversations, possible strategies and any passionate and/or heated discussions. You can add as many notes and observations as you want.

Participant Quotes:

This is space for you as the researcher to put in participant quotes that are relevant to the section of community opportunities and strategies for SV prevention.
Was there additional information that came up during the course of the focus groups, street intercept surveys and interviews that you think would be useful for action planning? Put this information here. Also, were there any particularly informative group sessions or interviews? You can put the graphical write-up or sections from the write-up here. Remember that the Community Coalitions will have all of the complete documentation reports and the goal is to give an overview of the research such that you can work together to direct the research so that it is most useful for action planning. We will revisit all of the data in the data analysis phase.

17 Reporting Back

A principle of participatory, community-based research is to share the findings with the community and acknowledge community “ownership” of the knowledge gained (Israel et al., 1998). Community researchers should not only share the findings with the community coalition, but also seek opportunities to share the findings with the greater community in which the research was conducted.

Another principle of PAR is that research leads to action. Findings from the research will inform all subsequent phases of your project:

- Prevention program design,
- Coalition building / Developing partnerships,
- Prevention program implementation, and
- Program monitoring and evaluation.

Community Researchers Reporting Back to the Community Coalitions

Community researchers should be reporting back regularly to the Community Coalitions as described in Module 2.7. It is also important to present the final Community Data Sheet with the entire coalition (not just those who may have participated in the group data analysis). Key steps to reporting back to the community coalitions include:

- **Complete the Community Data Sheet** with data from all focus groups and street-intercept surveys. Copies should be made for each member of the coalition.

- **Prepare flipcharts** to help illustrate the findings for coalition members and promote discussion. An example flipchart could utilize the Problem Tree format to report on the most commonly reported root causes of the issue in the “roots” and the prevention priorities in the “branches”. The community researchers might also consider preparing flipcharts that explain the Ecological Model and/or the Spectrum of Prevention, which were used to organize the research findings.

- **A chance to ask questions.** After sharing summary findings at coalition meetings, Community Researchers should give coalition members the chance to ask questions about the data or the PAR process, provide feedback and reactions to the findings, etc. All the questions should be documented.

Preparing for report-back to the community

The community researchers and the coalition members might consider the coalition meeting report-back as practice for reporting back findings to the greater community.
It is important to share research findings with the community. Reasons to do this include:

- “ownership” of the knowledge belongs to the community
- Getting community feedback on the findings will help the coalition to interpret them and learn how best to incorporate them into prevention programming

**Opportunities for sharing the data in the community**

Several ideas are presented below for sharing the data with the community:

- Print research summaries that graphically depict key findings and hand these out to community members and at community events.

- Coordinate a large community event to showcase the research summaries and gather community feedback. Examples include: setting up a table at an existing event, such as a weekly farmers market or craft fair; set a table up in a busy park where people are passing by on the weekends; look for announcements about other local events and coordinate coalition members to be there with research summaries and paper to collect feedback.

- Request a meeting with a local elected official that represents your community. The coalition can share the findings with them and request support for the prevention program that will be implemented in the community.

- Hold a press conference to announce the key findings and let community members know how they can get involved with the coalition.

- Attend a community board meeting and sign up to speak during the comments portion of the session. At this time coalition members can briefly share key findings and, afterwards, gather feedback from interested attendees. This is also a great opportunity for recruiting new coalition members.

- Invite other community coalitions or community groups working on prevention issues or other social justice issues to attend a special coalition meeting for discussing the research findings and building partnerships.
Next Steps

This manual was developed to provide community groups with a structure and tools to conduct participatory action research for prevention planning. The next step for the group is action planning. Once the group has the Community Data Sheet (and even before) ideas will start to flow on what to do for prevention. Each community’s action planning process will be different. Instead of providing a step-by-step guide to action planning, the Alliance has put together three case studies of community groups that have used community-level data gathered through this process to plan prevention programs in their communities. These case studies are used to stimulate ideas and for community coalitions to think innovatively about action planning for prevention.

References


Kretzmann, J., & McKnight, J.L. (1993). Building communities from the inside out: A path towards finding and mobilizing a community’s assets. Evanston, IL: Institute for Policy Research.


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