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Bridging Research and Policy: An Annotated Bibliography

Maja de Vibe, Ingeborg Hovland and John Young

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Maja de Vibe

Ingeborg Hovland

John Young

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Acknowledgements

Introduction

This annotated bibliography contains summaries of 100 documents from various streams of literature relevant to the issue of 'Bridging Research and Policy'. It is part of ODI's Bridging Research and Policy Project. In order to facilitate access to the various summaries, the bibliography has been divided into three key themes that roughly, though not completely, correspond to the three dimensions elaborated in the framework paper 'Bridging Research and Policy: Context, Links and Evidence' (Emma Crewe and John Young, 2002).

Since several good overviews of the literature on the research-policy link already exist (Sutton, ODI, 1999; Keeley and Scoones, IDS, 1999; Neilson, IDRC, 2001; Nutley, Walter and Davies, ESRC, 2002; Lindquist, forthcoming, 2003 from IDRC), this annotated bibliography does not seek to replicate existing work. It aims instead to add value in two respects: Firstly, new subject areas have been included, such as social psychology, marketing communication, and media studies. Secondly, where appropriate the mainstream literature has been supplemented with alternative viewpoints that in some way seek to challenge the status quo.

The first section of the bibliography provides a narrative overview of the literature within the three themes and sub-themes. The second section contains the summaries, organised in alphabetical order, by author. The third section provides three indexes:

Index A – by key themes (page 63)

Index B – by academic discipline (page 68):

1. Anthropology (including cultural studies and social anthropology)
2. Development management
3. Information and knowledge management
4. Marketing (including social/political marketing and marketing communication)
5. Media and communication
6. Organisational management
7. Political science (including political economy and policy studies)
8. Research methodologies
9. Social psychology
10. Sociology

Index C – alphabetical by author (page 73)

Narrative Summary

Bridging research and policy

Traditionally, the link between research and policy has been viewed as a linear process, whereby a set of research findings is shifted from the 'research sphere' over to the 'policy sphere', and then has some impact on policy-makers' decisions. At least three of the assumptions underpinning this traditional view are now being questioned. First, the assumption that research influences policy in a one-way process (the linear model); second, the assumption that there is a clear divide between researchers and policy-makers (the two communities model); and third, the assumption that the production of knowledge is confined to a set of specific findings (the positivistic model).

Literature on the research-policy link is now shifting away from these assumptions, towards a more dynamic and complex view that emphasises a two-way process between research and policy, shaped by multiple relations and reservoirs of knowledge (see e.g. Garrett and Islam, 1998; RAWOO, 2001). This shift reflects the fact that this subject area has generated greater interest in the past few years, and already a number of overviews over the research-policy linkage exist (e.g. Keeley and Scoones, 1999; Lindquist, forthcoming 2003; Neilson, 2001; Nutley, Walter and Davies; 2002; Stone, Maxwell and Keating, 2001; Sutton, 1999). However, there is still a limited number of case studies (but see for example Ryan, 1999; Puchner, 2001).

Following Carol Weiss (1977), it is widely recognised that although research may not have direct influence on specific policies, the production of research may still exert a powerful indirect influence through introducing new terms and shaping the policy discourse. Weiss describes this as a process of 'percolation', in which research findings and concepts circulate and are gradually filtered through various policy networks. Some of the current literature on the research-policy link therefore focuses explicitly on various types of networks, such as policy streams (Kingdon, 1984), policy communities (Pross, 1986), epistemic communities (Haas, 1991), and advocacy coalitions (Sabatier and Jenkins-Smith, 1999). Another angle taken by the research-policy literature focuses on guiding researchers towards increasing the impact of their research (Coleman, 1991; Porter and Prysor-Jones, 1997; Ryan, 2002).

The traditional question could be phrased: 'How can research be transported from the research to the policy sphere?' Now, however, the question concerns research uptake pathways: 'Why are some of the ideas that circulate in the research/policy networks picked up and acted on, while others are ignored and disappear?' The answer to this seems to lie in a combination of several determining influences, which can broadly be divided into three areas:

1. The political context
2. The actors (networks, organisations, individuals)
3. The message and media

1   The Political Context

The research/policy link has effects on political decisions and actions. In turn, the research/policy link is shaped by the political context. Furthermore, the policy process and the production of research are in themselves political processes, from the initial agenda-setting exercise through to the final negotiation involved in implementation. In some cases the political strategies and power relations are obvious, and are tied to specific institutional pressures. For example, ideas may be picked up and used because those specific ideas are more likely to secure funding for a project. Similarly, ideas circulating in the research/policy networks may be discarded by the majority of staff in an organisation if those ideas elicit disapproval from the leadership.

The political context also consists of broader macro formations – 'discourses' or 'paradigms' – that may exert a powerful influence over which ideas are noticed and which are ignored. It may be helpful to view these formations as divided into three layers (following Raymond Williams): the dominant discourse, the residual discourse, and the emerging discourse. Ideas and concepts may be picked up and used because they are compatible with the dominant policy discourse, and therefore serve to confirm and support present approaches. Other ideas may be recognised as stemming from a residual discourse, and may therefore be used because of their familiarity, or dismissed as 'old-fashioned'. Yet other ideas may be noticed because they shape an emerging and alternative discourse, and may thus be used by those who wish to challenge dominant ideas.

Other authors might be skeptical of the idea that there is only one 'dominant discourse', and might be more prone to focus on the interaction between several societal structures and human relationships, or the considerable 'room for manoeuvre' that exists both at a micro level (for example, at different moments of the policy process), and at a macro level (for example, in the present 'information age').

1.1 The policy process

The idea of a coherent 'policy process' provides a useful narrative for anyone involved in producing or attempting to influence policies. The notion of a linear policy process is perhaps the easiest to conceptualise and act on, and also the most amenable to providing explanations for policy failures (Clay and Schaffer, 1984). However, the recent theme within social science of 'who is telling the story, and why' has also filtered through to the literature on the policy process, and the story of a linear policy process is increasingly seen to serve certain interests, and is further discredited as one of the less realistic narratives (see overviews by Sutton, 1999; Keeley and Scoones, 1999). Counter-narratives are more prone to stress the political nature of the implicit assumptions and discourses embodied in policy (Roe, 1991; Wood, 1985); the unpredictable and experimental life of policies (Clay and Schaffer, 1984; Rondinelli, 1993); and the sometimes weak link between policy-making and practice (Lipsky, 1979; Mosse, in van Ufford and Giri, forthcoming).

1.2 The current policy discourse

There are several ways of analysing a strong policy consensus and possibilities for voicing alternative views. A few of the more frequently cited authors on this topic are Gasper and Apthorpe (1996) on 'discourse analysis', Hirschman (1970) on 'exit, voice and loyalty', Williams (1973) on 'dominant, residual and emergent formations', Lukes (1974) on the 'three dimensions of power', and Chomsky

(1987) on the 'framework of possible thought'. These provide a few of the possible approaches that can be taken to develop an understanding of the current policy discourse.

The post Cold War-order has produced a remarkably consensual policy discourse within development. The fall of the Soviet Union meant that liberal democracy and neo-liberal economics became seen as the only realistic options for macro policy. At the same time the 1990s saw a reaction against SAPs and the purely economic agenda of the Washington Consensus, and as a result the Post-Washington Consensus emerged, emphasising the social aspects of development, the political environment, and the role of institutions. This led to policies concerning good governance, civil society and social capital, all of which fit well with the broader aims of liberal democracy and neo-liberal market policies (Leftwich, 1994; Mosley, Harrigan and Toe, 1995; Stern and Ferreira in Kapur et al., 1997).

The rise and rise of NGOs in this period has brought a strong focus on participation, empowerment and partnership (Henkel and Stirrat, in Cooke and Kothari, 2001). Although many NGOs may have a different rationale and motivation from the Bretton Woods institutions, their practical recommendations to a large extent mirror the macro policy discourse in areas such as building local institutions, supporting civil society, and strengthening social capital.

1.3 The information age

The information age is variously described as a globalisation process that is inclusionary and democratising (Giddens, 1990) or, alternatively, as an exclusionary dynamic that reinforces unequal global power structures (Castells, in Carnoy et al., 1993).

Within this context, the production of research in itself becomes a political process, which can potentially serve the interests of Western positions (Mohanty, 1988), or contribute to the privatisation of information and the erosion of the public sphere (Elliot, in Boyd-Barrett and Newbold, 1995). This does not only apply to research originating in the West but also to the political strategies and relations surrounding the 'Third World intelligentsia' (Franco, in Williams and Chrisman, 1994).

The effect of globalisation can also be seen in relation to the emphasis on transnational nature of development policy co-ordination reflected also in the changes in form and structure of advocacy networks attempting to influence policy in relation to the debate of an emerging 'global civil society' (Kaldor, Anheimer and Glasius, 2002).

2 The Actors (Networks, Organisations, Individuals)

The research/policy link is played out in the interface between the surrounding (political) structure and the actors involved: networks, organisations/institutions, and individuals. Actors perceive and remember circulating ideas in different ways, and choose to use, to store or to discard ideas on the basis of various criteria. One of the first theories about such criteria was the rational economistic model, or cost/benefit analysis. Another early theory was behaviourism's stimulus-response model.

Since then several other approaches have emerged, providing different explanations as to why some ideas are accepted, embraced and internalised instead of others. Although the explanations vary, many of them in some way touch on the importance of elements previously ignored or labeled 'irrational', such as cultural values and understandings (both of organisations and of individuals), the part played by informal and 'non-linear' decision-making processes, and the role of emotional dynamics such as anxiety and memory (again, both in organisations and individuals).

The response to new ideas is also determined by existing views. It may be relatively easy for networks, organisations and individuals to pay attention to research and ideas that conform to their current views and approaches. Usually, it is more difficult to respond to new alternative ideas, especially if these are in some way challenging and require some change. The change required might be divided into two types: core changes and secondary changes. Core changes affect an organisation or individual's identity and values, and this kind of change is not likely to take place without a crisis or very strong pressure. Secondary changes affect operational procedures, practices and resource distribution, and are more likely to happen as a result of the influence of new ideas and research.

2.1 Networks and inter-organisational linkages

In the wider context of attempts to define the role of the state in neo-liberal economic theory, and the emphasis on good governance and sector-wide programmes, networks have established themselves as patterns of relations that are well suited to current policy processes (Keck and Sikkink, 1998). They also relate well to the present ideas of partnership and trust. In the literature on network management, the starting point is often a view of policy-making as negotiation over 'public action'. Networks are seen as a relatively efficient means of handling such negotiations, and keywords are therefore competition, coordination and cooperation (Kickert et al., 1997; Robinson et al., 1999). From a management perspective, the role of networks in responding to new ideas is largely a question of whether new ideas succeed in the official negotiation process or not. Thus, given the power relations involved in agenda-setting, networks can easily serve to reproduce already dominant ideas, and are therefore sometimes described as efficient means of 'public management' (see for example Kickert et al., 1997) or means of 'knowledge sharing' (Struyk, 2000).

An alternative stream of literature emphasise the informal nature of networks, arguing that networks are not a means of 'public management', but rather a potent means of challenging public management through generating multiple unofficial and creative policy 'interpretations' (Stacey, in Albert, 1995). Over time these informal interpretations become institutionalised, but once they are recognised as official policy, the networks will already have started generating new unofficial ideas. This perspective – associated with chaos theory – is more prone to emphasise the informal and non-linear aspect of negotiation processes over ideas, rather than the official narratives of competition, coordination and cooperation.

2.2 Organisational management, learning and change

Mary Douglas (1986) introduced the idea that every institution has its own 'thought-world' – its past experiences, symbols, trusted ideas, and ways of remembering and honouring these. This is worth bearing in mind when considering why some organisations are more able than others to pick up and use new ideas – for three reasons.

Firstly, it allows us to think of organisations as to some extent human in their decision-making processes (Levitt and March, 1988). Organisational decisions are not automatically more rational than individual decisions, and organisations, like people, can act in seemingly irrational ways. In an attempt to capture this realisation, organisational literature has embraced the concept of organisational culture and identity (see for example Smircich, 1983). It must be noted that Douglas has also been criticised for the perhaps facile conflation of individual and organisational dynamics.

Secondly, the notion of an institutional thought-world highlights the fact that there is more to organisations than meets the eye. Organisational change is not only an issue of changing the visible formal procedures, but is rather a complex dynamic between formal and informal processes (Hailey and Smillie, 2001). Since informal processes are less visible and predictable, organisational change requires that the leadership is skilled both in observing organisational patterns, and in providing support for staff when change inflicts on informal systems.

Thirdly, the organisational thought-world neatly pinpoints the interaction between organisations and individuals. The institutional thought-world can have a strong consensual effect on the way its members perceive and react to new ideas, i.e. a consensus-generating function (Douglas, 1986) and even a fashioning of individual identity (Carr, 1998). The institutional thought-world can also provoke feelings of disempowerment and protest among its members, and can constitute 'resistant subjects' and saboteurs (chapters by Clegg and Lanuez and Jermier, in Jermier et al., 1994).

2.3 Social psychology – perception and decision-making

The link between research and policy is, at various stages of the process, shaped by individuals and the way in which they perceive new ideas and choose to react. There are several theories within social psychology that attempt to explain which factors determine individual perception and decision-making. Broadly speaking these theories can be divided into three main approaches, corresponding to the three views in the classic nature/nurture debate within psychology and sociology.

- The first approach views 'nurture' as primary – or, using Tilly's (2000) terms, the first approach stresses the importance of socially acquired ideas. People react to new ideas based on the beliefs, concepts, values and ideas that they have already acquired from their environment. The models for decision-making outlined by Beach (1997) largely fall into this category: the recognition model, the narrative model, the incremental model, and the moral/ethical model.

- The second approach privileges 'nature'. According to this perspective, people's perception of new ideas, and their reactions and decisions, are for a large part determined by instinctive needs that all people are born with, e.g. needs for control and security. Several of the psychological theories of learning and development (as outlined by e.g. Collin, in Beardwell and Holden, 2001) rest on the assumption that people – from a very early age – have different instinctive preferences for how they learn (activists, reflectors, theorists, and pragmatists).

- The third approach builds on a nature/nurture dialectic in which individuals both shape and are shaped by their environment. Tilly (2000) calls this the 'relations' approach because it sees individual perception and decisions as the outcome of interpersonal and inter-group dynamics. Beach's (1997) discussion of how people attempt to align their frames of understanding with other people's frames might be an example of a relations approach.

3   The Message and Media

The degree of attention paid to circulating ideas is also determined by the way that those ideas are presented. There are many academic fields that provide interesting contributions in this regard, including the literature on interpersonal communication, advocacy and marketing communication, media communication and IT, and knowledge management and research relevance. These fields have gradually shifted away from various linear theories of communication (sender – message – channel – recipient) towards more interactive models. The focus on interaction implies that there is no longer a hierarchical and clearly defined relationship between the 'sender' and 'recipient', but rather that both parties in a communication process occupy sender and receiver roles at different stages. Moreover, both parties contribute to the content and meaning of the message. In other words, the message is not fixed, but changes as it circulates between the different parties, since different actors will understand and respond to the message in different ways.

The shift in focus away from the primacy of the sender, towards the importance of the interactive response, has a lot to say for the research/policy link. Ideas may be picked up by actors precisely because the actors respond to some ideas rather than to others. Whether or not a circulating idea is able to elicit an engaged response from actors depends on a range of factors, such as the degree of actor identification with the idea, the associated meanings evoked by the idea, the reaction to the technological format of the idea, or the perceived credibility of the idea.

3.1 Knowledge management and research relevance

As knowledge is increasingly seen as an asset in its own right, a new field of study has emerged on 'knowledge management', or even 'information accounting' (McPherson, 1994), to complement the already established field of 'innovation diffusion theory' (Rogers, 1995). Knowledge management often focuses on the way information is handled within an organisation or network. It offers recommendations on how researchers might disseminate their findings more effectively within policy networks (Saywell and Cotton, 1999; NCDDR, 1996), or how NGOs might use information as an important resource in advocacy work (Edwards, 1994; Meyer, 1997).

This literature can also be seen in relation to sociological and anthropological reflections on knowledge as a social process. Knowledge is not a fixed entity that is passed unscathed from one stage to the next, from researchers to policy-makers, or from NGOs to politicians. Instead knowledge is a site of contestation (Long and Long, 1992), and knowledge management is embedded in various power relations (Agrawal, 1995).

This has implications for research as a site for knowledge production. Research does not consist of a set of neutral and objective messages, but shapes and is shaped by the context and different power relations. Research becomes a site of contestation for example when different methods produce different stories about reality. This expands the horizon of knowledge management to include not only methodological concerns (which research methods and information systems are most appropriate in which contexts) (Bryman, 2001), but also normative and ethical questions about who decides whether knowledge is 'representative', how can researchers remain accountable to the groups that they produce knowledge about, and whose interests do information systems serve (see chapters by Fine et al., and Kennis and McTaggart, in Denzin and Lincoln, 2000).

3.2 Interpersonal communication and advocacy

Although most ideas in the information age are communicated in written form, often electronically, the interpersonal aspect of communication is still extremely important. Firstly, face-to-face exchange of ideas has an influence both on the way we perceive the ideas (they may seem more, or less, credible depending on the way we perceive the other person) and on whether we remember the ideas and make use of them. Secondly, even electronic communication is based on the notion of interpersonal relations. When a person reads or receives a message, she or he will be influenced by either a real or imaginary image of the 'other person' who wrote or sent the message.

This personal aspect of communication means that a wide range of factors come into play in addition to the spoken or written words, and our understanding and evaluation of the message is duly influenced by these other factors. This is summed up in Watzlawick's (1978) phrase 'one cannot not communicate'; people, as opposed to machines, notice and respond to everything, ranging from the way the other person is dressed, to the tone of their voice, or the lay-out of the document they are reading. Moreover, people have 'irrational' emotions, and personal memories and experiences can play a large part in the way we respond to a new idea. Psychoanalytic theories explain this in terms of transference and projection (Chodorow, 1999). Not only the perception of ideas, but also the 'acting out' of these ideas is shaped by interpersonal relations. Goffman (1990) introduced the concepts of front and back-stage performances to explain why people will voice slightly different opinions in different contexts, and present themselves and their ideas in different ways depending on the audience. 'Official' versions of ideas can differ substantially from the back-stage versions, and some groups will not have access back-stage.

The literature charting NGOs' increasing involvement in campaigning and advocacy work moves the analysis of interpersonal communication up to a macro level (see e.g. Chapman and Fisher, 1999; Edwards and Gaventa, 2001). This raises issues not only of how one presents oneself, but also of how one claims to represent others. Questions of legitimacy and downward accountability become important.

The research/policy link is in the advantageous position of being able to draw on both micro and macro perspectives of interpersonal communication and advocacy, as its field ranges from individual output and opinions to macro concerns for the distribution of ideas, power and resources on a global level (cf. Hudson, in Lewis and Wallace, 2000).

3.3 Marketing communication

Following the marketing assumption that products are bought on the basis that they provide solutions to problems (Lambin, 1996), it might be suggested that ideas are often picked up and used because they too are seen to provide solutions to a particular problem at a particular time. This leads on to the question of why people perceive certain products/ideas as 'solutions' rather than others, and what makes information about a certain product/idea 'stick' in people's minds (Gladwell, 2000, has termed this the 'stickiness factor').

The literature on marketing communication provides some interesting insights on this issue. One of the main principles of marketing is to get people to respond (Kotler et al., 1999; Varey, 2002). Once a person or group responds to a product/idea they are engaged in the communication process, and are far more likely to remember and potentially use the product/idea. There are several factors that elicit a response from people. Kotler et al., (1999) divide these into rational (cost/benefit), emotional (stirring up positive or negative emotions), and moral factors (appealing to a sense of right and

wrong). Importantly, a response – whether on rational, emotional or moral grounds – often refers to the associated meanings of the product/idea, rather than the product/idea in and of itself. As advertising experts realised a long time ago, people respond much more strongly to the associations of a product rather than the product itself, and therefore advertisements aim to sell associations, meanings, an image, and the identity that comes with it (Williamson, in Marris and Thornham, 1996).

This has interesting implications for the question of why researchers and policy-makers pick up on certain ideas rather than others, since ideas are also 'packaged' in associated meanings, an image, identities, and normative ideals. Ideas may thus succeed in eliciting responses – or fail to elicit any response – precisely because of these factors rather than the content of the idea itself. These insights are also starting to be picked up in the literature on social and political marketing (Bedimo et al., 2002; Buurma, 2001; Lefebvre, in Bloom and Gundlach, 2001; Maarek, 1995; Price, 2001).

3.4 Media communication and IT

Media studies have gradually moved away from a focus on cultural hegemony (how the media communicates dominant representations) to a more interactive model that emphasises the active role of the audience (Newbold, in Boyd-Barrett and Newbold, 1995). The interactive model rejects the view that the audience receives a message and understands it in the same way that the 'sender' intended it to be understood. Rather, every pronounced message is accompanied by a number of 'silent messages' (Mattelart and Mattelart, 1998), and the audience actively interprets these and fills in the gaps. There are several theories about the influences on what the audience uses to fill the gaps and thus reconstruct the message. Some emphasise the process of identification as audience members seek to 'find themselves' in the message (see overview by Allor, in Boyd-Barrett and Newbold, 1995). Others underline the importance of the audience's existing cultural and political beliefs, and past experiences (Philo, in Marris and Thornham, 1996).

There are also several 'silent messages' in the technological format of the messages. Technology is not a neutral tool that efficiently transmits information from one place to another. Bourdieu (1991) has long been recognised for his insight that all language and communication is inseparably tied up in power relations. Recent literature similarly emphasises that both media and information systems are embedded in cultural and social relations (Norris, 2001; Volkow, in Avgerou, 1998), and that technology is 'translated' in different ways between contexts (see McMaster et al., 1997 on actor-network theory). This means that the cultural surroundings and social relations – whether in an organisation, a network or in the wider society – will shape the way media technology and IT are perceived and used (or not used; cf Peterson, 1998, on the failure of IT in public bureaucracies in Africa). In turn, this has profound effects on the way that communicated messages are perceived.

Summaries in Alphabetical Order by Author

Agrawal, A (1995) Dismantling the Divide Between Indigenous and Scientific Knowledge

This article discusses the current focus – especially within 'people-centred' development – on the use of indigenous knowledge as a significant resource. Although Agrawal recognises that the challenge to the monopoly enjoyed by 'Western' (scientific) knowledge is long overdue, he criticises the assumption implicit in the new indigenous knowledge discourse that there is a clear divide between indigenous and Western knowledge. This dichotomous classification of knowledge is bound to fail for two reasons. Firstly, each body of knowledge is so heterogeneous that it cannot be clearly separated from the other. Secondly, the indigenous versus Western classification assumes that knowledge is a fixed system (in time, space and content). Instead, Agrawal argues that knowledge creation is a fluid process that evolves in close interaction with the changing (political, institutional, cultural, economic) context. Moreover, knowledge changes depending on the interests it serves and the purposes for which it is used. Therefore, different strategies for systematising and disseminating knowledge will not be 'neutral', but will benefit different social groups.

Publisher: Development and Change 26(3): 413–439
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Anthropology

Allor, M (1995) Relocating the Site of the Audience

Several theoretical approaches have been critical of the 'passive recipient audience' that is implied by a linear approach to media communication. These critical approaches all analyse how the original meaning of the message is changed in the process of communicating it to an audience. As the audience engages with the message, they mould it and fill in gaps, so that the message in the end acquires specific but widely different meanings.

1. Political economy shifts attention away from the purely personal level and onto a social level, viewing communication as something that circulates within (and serves to sustain) social structures. In engaging with the circulating communication, audiences simultaneously create meanings on two planes: meanings for themselves, and meaning for capital.
2. Post-structuralist/psychoanalytic theory focuses on the way that communication is a process of subject formation. When an audience is presented with a text, the process of reading is a process of identifying and investing in certain identities.
3. Feminist criticism has developed reader-response theory, which starts from the observation that 'the reader' is not an ideal type; readers are different in terms of gender as well as a range of other variables. Therefore, a communicative text will evoke widely different and unpredictable responses from the various readers. Reader-response theory claims that the text has no stable meaning in itself, but instead is given different meanings in the interaction with the reader.
4. Cultural studies examine the production of dominant representations in the media (the process of encoding), and the audience's response to these representations (the process of decoding). Rather than assuming that the audience passively accepts the dominant representations, cultural studies posits that the audience actively interprets them through different responses, ranging from adoption to questioning or resistance. The responses are determined at several levels by the audience's cultural meanings, sub-cultures, social location, social practices, individual identities, and fantasies.

Publisher: In Boyd-Barrett, O and Newbold, C (eds.) Approaches to Media, A Reader. Arnold, London
Key theme: Message and media/Media communication and IT
Academic discipline: Media and communication

Anheimer, H, Glasius, M and Kaldor, M (2001) Introducing Global Civil Society

The authors argue that global civil society both feeds on and reacts to globalisation. Like global civil society, 'globalisation' is also a new concept with different meanings. In every day usage it tends to refer to the spread of global capitalism. In the social science literature it is usually defined as growing interconnectedness in political, social, and cultural spheres as well as the economy, something which has been greatly facilitated by travel and communication (see Held et al., 1999). It is also sometimes used to refer to growing global consciousness, the sense of a common community of mankind (Shaw, 2000; Robertson, 1990).

On the one hand, globalisation provides the bedrock for global civil society, the supply side of the phenomenon that pushes it on. There does seem to be a strong and positive correlation between what one might describe as 'clusters of globalisation' or areas of what Held et al., (1999: 21–5) call 'thick globalisation' and clusters of global civil society.

On the other hand global civil society is also a reaction to globalisation, particularly to the consequences of the spread of global capitalism and interconnectedness. Globalisation is an uneven process which has brought benefits to many but which has also excluded many. It is those who are denied access to the benefits of global capitalism and who remain outside the charmed circle of information and communication technology who are the victims of the process and who organise in reaction: the demand pull of global civil society. They are now also linking up with those in the North who form a new kind of solidarity movement.

This new form of activism takes place against the background of the 'development industry' and the spread of INGOs in the South for service delivery and development assistance. But is not only the range and density of INGO networks that matter in relationship to globalisation. Our studies of specific global issues show that global civil society is best categorised not in terms of types of actors but in terms of positions in relation to globalisation. All three of the issue chapters in the Yearbook adopt a similar categorisation of global civil society actors, as shown in the Table 1.4.

One way of defining or understanding global civil society is as a debate about the future direction of globalisation and perhaps humankind itself.

(Excerpt taken from the Centre for Civil Society webpage www.lse.ac.uk/Depts/ccs/)
Publisher: Global Civil Society 2001, Oxford University Press
Key theme: Political context/Information age
Academic discipline: Political science

Beach, L R (1997) The Psychology of Decision-Making: People in Organisations

The book presents an overview of the psychology of decision-making. The author broadly characterises decision making as a sequence of events: diagnosis, action selection, and implementation.

The book describes a number of different naturalistic models that have emerged:

- Recognition models (the role of situation recognition and policy in guiding behaviour).
- Narrative models (the roles of scenarios, stories, and arguments for understanding the past and present, forecasting the future and justifying decision making).
- Incremental models (emphasis on remedying what is wrong with the present situation and incremental implementation, with its focus on decision cycles driven by feedback about progress).

- Moral or ethical models (the role of morals and ethics in both proscribing unacceptable courses of action and in prescribing actions that the decision maker is obliged or committed to undertake).

The author also presents a theory – image theory – that seeks to capture the four naturalistic models together with some additional issues from previous theories. The image theory assumes that decision makers come to the decision with a store of knowledge that conveniently can be divided into three categories, the three images. These are knowledge about what truly matters (beliefs and values), what constitutes a desirable future (goals), and how to go about securing the future (plans).

One of the themes of the book is the importance of framing, which serves to tie an event to the decision maker's ongoing experience, thereby endowing the event with meaning. Because every decision is seen ultimately as a social decision, people make efforts to understand others' frames. When they perceive differences between those frames and their own, they make efforts to align the frame, through discussion and persuasion. The author further argues that when people have a history of shared experience, they tend to frame situations similarly in the first place. In the same way, organisations' cultures, the beliefs and values shared, can promote similar frames and therefore contribute to coordinated decision making.

The author describes the organisational version of the image theory as similar to that of the individual. Thus, knowledge about the organisation's culture is part of the individual's value image, knowledge about the organisation's vision is part of the individual's trajectory image, and knowledge about the organisation's strategic plan is part of the individual's strategic image. When making decisions for and about the organisation, the framing assures that these organisationally relevant parts of the individual's knowledge contribute to the decision process.

Publisher: Sage, London
Key theme: Actors/Perception and decision making
Academic discipline: Social psychology

Bedimo, A L, Pinkerton, S D, Cohen, D A, Gray, B and Farley, T A (2002) Condom Distribution: A cost-utility analysis

Objective: To explore the cost-effectiveness of a condom distribution programme. Methods: We conducted a cost-utility analysis of a social marketing campaign in which over 33 million condoms were made freely available throughout Louisiana. Surveys among 275,000 African Americans showed that condom use increased by 30%. Based on the estimated cost of the intervention and costs of HIV/AIDS-associated medical treatment, we estimated the quality-adjusted life years (QALYs) saved, and number of HIV infections averted by the programme. Results: The programme was estimated to prevent 170 HIV infections and save 1909 QALYs. Over $33 million in medical care costs were estimated to be averted, resulting in cost savings. Sensitivity analyses showed that these results were quite stable over a range of estimates for the main parameters. Condom increases as small as 2.7% were still cost-saving. Conclusion: Condom distribution is a community-level HIV prevention intervention that has the potential to reach large segments of the general population, thereby averting significant numbers of HIV infections and associated medical costs. The intervention is easy to scale up to large populations or down to small populations. The financial and health benefits of condom social marketing support making it a routine component of HIV prevention services nationally.

(Abstract from INGENTA)
Publisher: International Journal of STD and AIDS 13(6): 384–392

Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Berkout, F and Scoones, I (1999) Knowing how to change. Environmental policy learning and transfer

New knowledge, changing expectations and practical experience are being applied by policy actors at many different levels, in a process of 'adaptive social learning'. Yet learning runs into numerous obstacles and blockages. Knowledge is seen as a key ingredient of learning and shifts in understanding may arise from multiple sites, resulting in either more fundamental reframing of policy problems, sometimes challenging long-held conventional wisdoms, or more incremental changes focused on more marginal instrumental changes. Whatever its source, new knowledge and the prospect of change that it brings, frequently threatens existing policy relationships and structures of power. Responses to scientific and practical knowledge are highly differentiated. Stephens identifies two processes which she names 'snowballs' (the accumulation of research impacts within policy elites) and 'whispers' (the reinterpretation of research findings in broader constituencies). Environmental policy learning is most effectively achieved by adopting a more flexible and iterative model of the policy process.

Publisher: Science and Technology Policy Research (STPR), UK
Full document: www.id21.org/society/insights30editorial.html
Key theme: Political context/Policy process
Academic discipline: Development management

Bourdieu, P (1991) On Language and Symbolic Power

Bourdieu has had a significant impact on media studies because of his argument that relations of communication are always, inseparably, power relations. The agents or institutions involved in communication have different degrees of 'symbolic power', i.e. the power to make people see and believe certain visions of the world rather than others. Those with relatively high symbolic power are able to present visions that people will conform to, or are even able to transform visions. The symbols used (the cultural codes, the buzzwords, the presentation, etc) serve the function of creating consensus and 'glueing' society together. However, the symbols will always serve the interests of some groups rather than others, thus anyone who is able to launch or control symbols will also have (political) power. The result is that any communication is closely linked to the relative symbolic power that the communicator has to 'construct visions of reality'.

Publisher: Polity in association with Basil Blackwell, Cambridge
Key theme: Message and media/Media communication and IT
Academic discipline: Sociology

Brown, D L (1995) Managing Conflict Among Groups

The importance of effective conflict management in organisations is increasing, symptomatic of global trends. Relations among groups in organisations can be characterised by too much or too little conflict, depending on their task, the nature of their differences, and the degree to which they are independent. This proposition suggests that conflict managers should strive to maintain some appropriate level of conflict, rather than automatically trying to reduce or resolve all disagreements. Power differences between groups promote fear and ignorance that result in reduced exchange of information between groups, and the potential for explosive outbursts, escalating conflict, or escalating oppression. Evening the odds, at least in psychological terms, may be a prerequisite to effective intervention in such a situation. Managers must cope with fear, ignorance, and their consequences to effectively manage conflicts between unequal groups.

Societal differences institutionalised in the larger society may further complicate relations among groups in organisations by introducing environmental events and long histories of tension. Managing such differences may require invocation of environmental pressures and the development of counter-institutions that help the organisation deal with the effects of systemic discrimination in the larger society. Environmental developments produce the seeds for organisational conflicts, but they also offer clues to their management.

Publisher: In Kolb, D A, Osland, J and Rubin, I M (eds.) The Organisational Behavior Reader 6th Edition, Prentice-Hall International
Key theme: Actors/Organisational management
Academic discipline: Organisational management

Bryman, A (2001) Social Research Methods

Bryman's comprehensive discussion of different research methods covers both quantitative and qualitative approaches, as well as issues raised by attempts to break down the divide between the two. In his chapter on qualitative research, he suggests several criteria for evaluating the findings. The traditional criteria, borrowed from quantitative approaches, are reliability and validity:

- Reliability: The degree to which a study can be replicated (external reliability), and the degree of consensus among the research team (internal reliability).
- Validity: The degree to which findings can be generalised (external validity), and the degree of congruence between the researcher's observations and theoretical ideas (internal validity).

Alternative criteria, developed specifically for qualitative research, are trustworthiness and authenticity. Each of these has several sub-criteria.

Trustworthiness:

- Credibility: The research has taken multiple accounts of social reality into consideration, for example through triangulation (using more than one research method, source of data, and theoretical perspective).
- Transferability: Qualitative studies are not expected to be generalisable in the same way that quantitative studies are. However, qualitative studies should provide readers with the possibility of transferring findings where appropriate. This can be done through producing 'thick descriptions' (following Geertz) that take into account the details that surround an event and the several layers of understanding.
- Dependability: The degree to which all stages of the research process (problem formulation, selection of participants, fieldwork notes, data analysis decisions, etc) are transparent and open to questioning. This is facilitated by researchers keeping complete and accessible records.

Authenticity:

- Fairness: The degree to which the research fairly represents different viewpoints from the social setting under research.
- Ontological authenticity: The degree to which the research helps members of a social setting to better understand their own environment.
- Educative authenticity: The degree to which the research helps members to understand the perspectives of other members.
- Catalytic authenticity: The degree to which the research acts as impetus for social action.

The authenticity criteria have on the whole not been influential. They can be associated with action research.

Buurma, H (2001) Public Policy Marketing: Marketing exchange in the public sector

Customer-oriented governments may use marketing tools to match their policy 'products' with citizens' requirements. However, these tools are not based on exchanges since governments, apart from cost recovery, do not demand any reciprocation for their products. The concept of public policy marketing could enable governments to 'sell' their policies to citizens, based on non-commercial marketing exchanges specific to the context of public administration. Then, social behaviour should be considered citizens' reciprocation contributing to social effects the government has aimed for. Thus public policy marketing, though not yet tested in practice, can be expected to improve the implementation of those governmental policies in which citizen conduct is critical to success.

Carr, A (1998) Identity, Compliance and Dissent in Organizations: A Psychoanalytical Perspective

Much of the literature in organisation theory has yielded an image of the individual which could be called 'skilfully partial'. The viewpoints talk 'about' human agency without having a view 'of' human agency, turning what is a 'process' into an 'object'. Other viewpoints raise the same dichotomy, without an underlying theoretic about the dynamic between the two. An example of this difficulty is apparent in the literature that seeks to address the issues of compliance and dissent in organisations. There is little in the way of explanation of the psychodynamics that are involved. This paper puts forward an explanation of compliance and dissent in organisations and explains how these issues are very much intertwined with the dynamic processes involved in the construction of individual identity. This explanation recognises the importance of individual experiential histories, including those that are specifically institutionally fashioned, such as gender and the primacy of work. Drawing upon psychoanalytical theory (with some of its Frankfurt School and other variants), an essential lens is provided through which the issues of compliance and dissent can readily be viewed and understood. Results from recent studies are used to illustrate this different perspective, and the psychodynamics that are put forward are discussed in terms of further implications for the field.

Castells, M (1993) The Informational Economy and the New International Division of Labour

Globalisation has been seen as an expansionary and inclusionary process. Castells argues that it is now becoming an exclusionary process, due to the nature of the emerging global informational economy. The highest value-added links in the chain of global production are concentrated in core areas, along with the highest value production of information. These core areas cut across the traditional First/Second/Third World divide, as the information age has made it possible to link core areas in the 'First World' with metropolitan core areas in the 'Third World'. The reason that this is now an exclusionary process is because other areas, which might previously have been exploited by

the international division of labour, are now becoming irrelevant in the dynamics of the informational economy. Castells calls these irrelevant areas the 'Fourth World', and argues that they can be found both in the 'First' and in the 'Third World'.

Publisher: In Carnoy, M, et al., The New Global Economy in the Information Age. Macmillan, London
Key theme: Political context/Information age
Academic discipline: Political science

Chapman, J and Fisher, T (1999) Effective Campaigning

International non-governmental organisations are devoting more energy to policy influence work without knowing much about what makes a campaign effective. Based on research conducted by the new Economics Foundation, and focusing on case studies of child labour in India and the promotion of breast feeding in Ghana, they recommend: (i) effective campaigns require a long-term commitment and take place at many different levels: international, national/regional, and grassroots. To achieve the reach and mix of skills required, collaboration is essential while individuals (or champions) with drive and commitment are also key; (ii) campaigns are not enough on their own; implementation and change at the grassroots should never be assumed and require additional activity; (iii) a narrow focus can be effective in getting an issue formulated but problems caused by poverty are more complex; if the campaign is not widened out at a later stage it is unlikely to achieve effective change; (iv) effectiveness is an art not a science: but organisations can learn from past and present experience using frameworks and other evaluative processes. In evaluating different structures for collaboration, they identify three types: 'pyramid' (quick, helps get access to top level of policy, but can ignore grassroots), 'wheel' (slow but good for information exchange and development of centres of specialisation), 'web' (like a wheel but with no focal NGO, could be too slow for campaigning).

Publisher: New Economics Foundation, London
Key theme: Message and media/Interpersonal communication and advocacy
Academic discipline: Political science

Chodorow, N (1999) The Power of Feelings: Personal Meaning in Psychoanalysis, Gender, and Culture

Psychoanalytic theories about how we communicate take as their starting point the different ways in which we create 'personal meaning' when dealing with events. Humans have the need to gain a sense of meaning and to manage new experiences that may be threatening. This is done through drawing on our inner world, which harbours an array of possible reactions built on past experiences and emotions. This inner reality is brought into interpersonal communication through transference and projection.

First, transference can be described as 'the private language of the self', meaning that every person imbues present relationships with feelings and reactions from past relationships. Second, projection is the process whereby a person projects her/his own emotions or beliefs into the other person. This is also called projective identification, as it makes it easier for us to identify with the other person, thus facilitating communication for us. However, projection also serves to confuse communication, since the other person is not always aware of which emotions or beliefs are attributed to them, and in turn they engage in their own process of projection.

In sum, all people use transference and projection in order to create personal meaning when communicating with someone else. An awareness of these processes may throw light on why people experience relationships and messages so differently. It also highlights the importance of attempting to understand the 'private language' of the person one is communicating with.

Publisher: Yale University Press, New Haven
Key theme: Message and media/Interpersonal communication and advocacy
Academic discipline: Social psychology

Chomsky, N (1987) The Manufacture of Consent

Chomsky argues that US policies are shaped by and in turn shape a 'framework of possible thought'. This framework consists of various tacit doctrines, (such as the idea underpinning US foreign policy that Nicaragua poses a threat to the US). These doctrines are all the more effective in 'engineering consent' because they are not debatable; certain terms (e.g. 'peace', 'security') seem so persuasive and self-evident that opposition to them is unthinkable. Chomsky claims that dissident views are so easily relegated to the periphery in US policy making precisely because these views are not able to communicate with policy makers within the framework of possible thought, and are therefore dismissed as impossible or morally dubious ('anti-peace', 'anti-security').

This highlights the necessity of understanding the framework and terms within which policy is made thinkable, if one is to challenge a policy consensus.

Publisher: In The Chomsky Reader (edited by Peck, J). Serpent's Tail, London
Key theme: Political context/Current policy discourse
Academic discipline: Political science

Clay, E J and Schaffer, B B (1984) Room for Manoeuvre: An Exploration of Public Policy in Agricultural and Rural Development

Clay and Schaffer start from the assumption that policies can actually make a difference and that there are different policy choices; i.e. there is room for a manoeuvre. However, this does not mean that policy is a case of linking intentions to implementation. In fact, Clay and Schaffer point out that there is frequently a gap between policy aims and outcomes, and they claim that this clear divide is upheld because it enables the group on each side (decision-makers versus implementers) to blame the other group for policy failures.

They conclude by emphasising the importance of self-awareness in the policy process, in order to avoid the decision/implementation dichotomy and to encourage responsible action at all stages of the process. They also note the danger – especially in rural development – that policy making may become 'a mystique of elites' (p.192), and therefore it is important to engage with the groups in question. Finally they comment that 'the whole life of policy is a chaos of purposes and accidents' (p.192); however, this is not seen as an excuse for irresponsibility, but rather is used as an argument for increased responsibility.

Publisher: Heinemann Educational Books, London
Key theme: Political context/Policy process
Academic discipline: Development management

Clegg, S (1994) Constitution of the Resistant Subject

The two general ingredients in this chapter are the relation between the interconnection of power relationships and the constitution of subjectivity. One way of expressing this is through the construction of a continuum of 'the degree of intensiveness/extensiveness of the power relations constitutive of the subject'. Drawing on the chapters in this volume it is possible to identify at least three aspects of this dimension of power and subjectivity. There is, first, the question of individual organisation. How coherently organised is the individual, in terms of their subjectivity, as a reflexive agent in power relations? How coherently organised is the individual as one who seeks to enrol, translate, interest or oppose others in their projects? Does the subject have sufficient self-cognisance to be able to exercise this agency? Second, at the mid-point, there is the question of social organisation. To what extent is the subject able to draw upon resources of social organisation greater than the self, such as familial networks or an ecology of local community networks? Third, the most extensive point is the question of solidaristic organisation: to what extent can the subject draw upon consciously organised resources of a social movement or collective organisation in the pursuit of their agency? Or, to put the question in another, equally appropriate way, to what extent does power constitute the resources of human agency in terms of self, significant and generalised others?

(Summary taken from chapter)
Publisher: In Jermier, J M, Knights, D and Nord, W R (eds.) Resistance and Power in Organisations. Routledge, London
Key theme: Actors/Organisational management
Academic discipline: Organisational management

Coleman, D (1991) Policy Research – Who Needs It?

The relationship between government policymaking and policy research changes over time and between governments. It seldom follows the orderly sequence of logical events which researchers may like to imagine. In attempting to understand the relationship between the creation of knowledge and its use by policymakers, it is essential to understand the needs and behaviour of politicians, the pressures upon their time and the wide range of channels of information, informal as well as formal, open to them and to their immediate advisers. Social policy research, partly because of its frequent ambiguity and partiality, is particularly likely to be ignored by its official consumers in government. Some social and economic questions are probably not capable of effective testing by research other than by governments putting policies into effect on a national scale. Evaluation of such experiments is difficult. More attention needs to be paid to the marketing of ideas by pressure groups and think tanks. Governments can shop around for acceptable advice from a wide range of sources outside academic life. Except in highly consensual political cultures, the only decisions which are made primarily on the basis of research findings are politically unimportant ones. In considering the role of policy research it is essential to keep the primacy of politics firmly in mind.

(Abstract taken from article)
Publisher: Governance 4(4): 420–455
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Collin, A (2001) Learning and Development

The article starts with a series of definitions of learning which essentially rest on the view that the acquisition of knowledge facilitates change in perceptions and practice. These attributes are increasingly important in the information age where people are expected to deal with change and new technology, and become more skilled in problem solving and creative thinking.

One theory of learning (associated with Kolb) sees it as an integrated cognitive and affective process, moving in a cyclical manner through concrete experience, to reflective observation, to abstract conceptualisation, to active experimentation in decision-making and problem solving.

However, many people have a preference for a particular phase and do not complete the cycle. Honey and Mumford, building on Kolb's phases, identify four learning styles: 'Activists' learn best when they are actively involved in concrete tasks; 'reflectors' learns best through reviewing and reflecting upon what has happened and what they have done; 'theorists' learn best when they can relate new information to concepts or theory; and 'pragmatists' learn best when they see relevance between new information and real-life issues or problems.

Theories of learning are often linked to theories of (life-span) development. Erikson's model of personal development outlines different stages that each individual passes though. The critical factor driving change from one stage to the next is the experience and resolution of a 'crisis'. Kegan develops a similar model which highlights that each transformation involves risk, a move away from familiarity towards uncertainty.

Publisher: In Beardwell, I and Holden, L (eds.) Human Resource Management: A contemporary approach. Pearson Education, Harlow
Key theme: Actors/Perception and decision making
Academic discipline: Social psychology

Douglas, M (1986) How Institutions Think

Mary Douglas' seminal book is an anthropological study of the basis for collective action through institutions. She moves away from the rationalist choice model that privileges the decision-making of sovereign individuals, and which would view organisational decisions as the outcome of negotiations between powerful individuals within the organisation. Instead she argues that organisational decisions are largely shaped by the institutional 'thought-world'. All institutions generate their own world of images, symbols, ideas, and past experiences, and people in the institution to some degree must accept this thought-world in order to function. Thus individuals' decisions in an institution are largely shaped by the institution as a whole. Moreover, the institutional thought-world orders experience and memory, and exercises a relatively large degree of control over the way its members perceive and react to new ideas. In Douglas' term, institutions exercise 'social control of cognition'.

Publisher: Syracuse University Press
Key theme: Actors/Organisational management
Academic discipline: Anthropology

Edwards, M (1994) NGOs in the Age of Information

In this article, Edwards links the rise of NGOs within the development field to the emergence of the information age, and poses the question of whether NGOs have a comparative advantage in linking information, knowledge and action in an efficient and relevant way. He suggests that NGOs have a distinctive competence in this area due to three factors: 1. NGOs have direct access to fieldwork and local accounts. 2. NGOs usually have offices that span the different levels of the global system, and therefore information can flow easily between the grassroots, NGO local offices, NGO headquarters, and NGO lobbying activity in global centres. 3. NGOs' value base implies a democratic approach to communication that emphasises openness, sharing and non-hierarchical communication channels.

NGOs rely on their distinctive competence in handling information for four main purposes. The first and second purposes concern their own management systems and strategic plans, and their processes of institutional learning. The third purpose is for advocacy. NGOs have realised that they have a far

greater chance to influence government and donor policy if they are able to make systematic use of grassroots information in their advocacy work. The fourth purpose is one of accountability. NGOs face increasing pressure to evaluate the impact of their work and to stand accountable to various stakeholders, both upwards to donors and downwards to the communities in which they work. The danger with multiple accountabilities is that upwards accountability may carry more weight than downwards accountability, which in turn may result in a one-way information flow away from the field rather than in both directions.

Edwards reviews possible barriers to information use in NGOs: internal organisational obstacles; problems with representativity and the images that are used; and the gap between raw information and knowledge. Possible solutions include organisational decentralisation, viewing information as an integral part of all organisational processes, emphasising the need for information to be relevant, and taking advantage of the opportunities provided by IT.

Edwards, M and Gaventa, J (eds.) (2001) Global Citizen Action

Edwards introduces this edited volume by pointing out that with the move away from the 'Washington consensus' we have new ideas about what partnership requires: strong social infrastructure (including social capital); pluralistic governance and decision-making; partnerships between public, private and civic organisations; and public support for international institutions. As global governance becomes less state-based, the role of civil society is certain to grow. But many NGOs are criticised for being unaccountable, illegitimate, and dominated by elites. NGOs with no membership depend on research, experience and good links with partners to justify their growing role as advocates. There is greater consensus on some campaigns (e.g. debt, landmines) than others (trade, environmental, labour rights) due to conflicting interests. Better links are needed between local and global levels, but it is also important, he advises, to build coalitions at national levels rather than leapfrogging to officials in Brussels, for example. Information technology could allow more democratic and horizontal coalitions and networks. On the other hand, since globalisation means that certainty about solutions has become even more elusive, better research and dialogue is needed.

The various contributions assess efforts to influence the IMF or World Bank, and run global campaigns to change development or corporate policy, and draw out the lessons learned. In one chapter, Brown and Fox identify the key components of successful campaigns: (i) make the campaign fit the target (different types of coalition and leadership are needed depending upon whose interests are at stake); (ii) open up cracks in the system (e.g. identify sympathisers within the key organisation); (iii) impact comes in different forms (so success and failure should be measured by many different indicators); (iv) create footholds that give a leg up to those who follow (e.g. it is easier to influence policy than ensure it is implemented but at least a policy standard creates leverage); (v) leveraging accountability requires specifying accountability to whom (it is easier to dismiss NGOs that can not point to genuine and specific grassroots constituencies); (vi) power and communication gaps in civil society need bridges ('chains' of relatively short links can work more effectively); (vii) the Internet is not enough to build trust across cultures (face-to-face negotiation is required to create trust); (viii) small links can make strong chains (a few key individuals can bridge chasms).

Patel, Bolnick and Mitlin write about housing rights to illustrate how a focus on local concerns and processes, with international support, can be a potent recipe for influencing policy at all levels.

Harper asks 'Do the Facts Matter?' and demonstrates why they do. In a bid to raise profile and funds, NGOs are tempted to exaggerate and simplify conclusions drawn from research and thereby risk their credibility and undermine the efforts of others engaged in delivering more complex messages. By demanding a total ban on child labour, for example, Christian detracted attention away from organisations, like Save the Children Fund, who were recommending more complex strategies. In some instances a ban has led to young girls seeking more abusive forms of work such as street trading and prostitution. Chapman argues that different structures of collaboration are useful for different purposes: a 'pyramid' can be dynamic and quick at getting access to the top; a 'wheel' is good for developing specialisation and exchanging information.

Gaventa concludes that the lessons for global citizen action are that: (i) a diversity of approaches should be embraced, (ii) action is needed at local, national and international levels with links between them, (iii) networks and partnerships should be grounded in local realities, (iv) learning should include participatory research and sophisticated policy analysis, (v) internal forms of governance should be participatory, transparent and accountable.

Publisher: Lynne Rienner, Boulder
Key theme: Message and media/Interpersonal communication and advocacy
Academic discipline: Political science

Elliott, P (1995) Intellectuals, the 'information society' and the disappearance of the public sphere

Elliott argues that the information society is not the democratic force that it is claimed to be. The information society is seen as a process of democratisation by those who emphasise the increased access to information and the expanded possibilities of two-way communication. Elliott points out that access to information does not just depend on having the physical technology. Access is a matter of power relations and the uneven distribution of rights and ability to mobilise one's rights. The present increase in information availability is linked to an increase in the privatisation of information, meaning that information is no longer a right but a commodity. The information for which there is highest demand – or which is demanded by the most powerful consumers – will be produced, rather than information which is demanded by marginal groups or which runs counter to the interests of the powerful actors in the information market. Therefore, Elliott suggests that the information society is not a democratising force, but rather an erosion of the public sphere. It represents a shift away from a society where people were involved as political citizens, to a society where people are involved as consumption units.

Publisher: In Boyd-Barrett, O and Newbold, C (eds.) Approaches to Media, A Reader. Arnold, London
Key theme: Political context/Information age
Academic discipline: Political science

Fine, M, Weis, L, Weseen, S and Wong, L (2000) For Whom? Qualitative Research, Representations, and Social Responsibilities

This essay is one of the opening chapters in Denzin and Lincoln's comprehensive 'Handbook of Qualitative Research'. It engages with questions on how research represents the lives of the poor in a time when the poor are increasingly becoming subjects of scrutiny by dominant institutions (the state and its liberal policies, as well as the Third World development regime). This presents a new set of dilemmas for the present generation of researchers, including questions of how to influence public consciousness, how to link personal stories with social structures, and how to reframe both the helpless-victim as well as the degenerate-victim images. The chapter explicitly states its normative

approach, which is centred on how to use research for the sake of social justice. They give several suggestions on how this can be done:

- The researcher needs to reflect on her or his own standpoint. This has the benefit of moving away from the myth of the impartial observer, but at the same time carries the risk of flooding the text with the Self rather than the Other.
- Researchers need to be aware that they are usually instinctively drawn towards 'great stories' such as the unusual, the exotic, the bizarre, or the violent. At the same time researchers tend to look for stories that confirm their own understandings. This dual bias brings with it the danger of presenting an end product that over emphasises the extremes of the narratives.
- The research has a greater chance of being representative if it attempts to combine 'big stories' (about the historical, cultural, political, economic circumstance of one group) with individual/ life stories (to show effects at a personal level and to bring out some variation within the big story).
- Research should ideally draw upon a range of methods in order to triangulate the findings. Different research methods will reveal different versions of the story that the researcher is telling.
- The researcher is usually in the privileged position of being mobile and thus having the opportunity to leave a research site, group or topic after a period of time to carry on with something else. This poses questions of accountability. Ideally, this requires that the researcher adequately informs the research group of how the research will be used, invites the research group to critically review the research findings, strives to stay accountable to them, and furthers their cause through channels that she or he has privileged access to. In practice, however, there are several obstacles to this.
- Researchers should consider to what extent their analyses conform to or challenge the dominant discourse. In turn, this means considering how the research might potentially be understood or misunderstood by policy-makers from different political camps.

Publisher: In Denzin, N and Lincoln, Y (eds.) Handbook of Qualitative Research (2nd edition). Sage Publications, Thousand Oaks
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Research methodologies

Franco, J (1994) Beyond Ethnocentrism: Gender, Power and the Third-World Intelligentsia

In a brief review of the development of the Latin American intelligentsia over the past half-century, Franco notes that they have been constituted by a metropolitan and masculine discourse that they have adapted to in order to catch the 'metropolitan attention'. Not only has their intellectual production relied on representations of women as symbolic virgins, mothers or whores, but the entire process of intellectual production has been characterised by traits typically associated with masculinity, such as public space, mobility, activity, and immortality. Thus research has been occupied with the public and with (modern) production, rather than the private and reproduction, and this has served to subordinate not only women but also the indigenous groups. Moreover, the act of research and intellectual production becomes characteristic of 'the masculine' through being framed as a quest for immortality and a confrontation between the pursuer and the pursued (i.e. the writer and the reader).

When Latin American intellectual research has been revolutionary in character, this too is viewed as eminently masculine, since the revolutionary is associated with the ideal-type militant who suppresses feelings of weakness, and who is in many ways the diametric opposite of the feminine. The revolutionary and counter-hegemonic discourses of the intelligentsia are built on conservative and hegemonic gender relations. In sum, the constitution of the Latin American intelligentsia, in interaction with the metropolitan attention, has served to embed the production of knowledge in the sphere of domination and masculinity.

Publisher: Williams, P and Chrisman, L (eds.) Colonial Discourse and Post-colonial Theory, A Reader. Harvester Wheatsheaf, New York
Key theme: Political context/Information age
Academic discipline: Political science

Garrett, J L and Islam, Y (1998) Policy Research and the Policy Process: Do the twain ever meet?

This paper aims to contribute to the development of methodologies for evaluating the impact of social science on policy choices and outcomes. Since it is almost impossible to trace a precise pathway from specific research effort to policy decisions, evaluation of the impact of social science research institutes should: (i) evaluate the quality and timeliness of research output, the contribution of research to the policy debate, and the potential (rather than actual) impact of the research on policy; (ii) evaluate contributions of research to 'enlightenment', and not only to policy change; (iii) take into account the diverse ways in which research findings enter and influence the policy process, (iv) perform evaluations over time to capture the different ways and different points in time at which research influences policy actors and processes.

Research does not influence policy in a linear sequence. Outputs go into a general pool of information that influences policy-makers; often they use it to help them define the scope of problems and possible responses rather than dictate specific solutions. Information is sometimes better received if produced internally by an internal 'sponsor'. To make an impact researchers have to understand policy-makers' needs and how they make decisions; get the format, style and timing right for the audience; make sure that the research is useful and rigorous; encourage public debate to build up a consensus of opinion for action.

Publisher: Gatekeeper Series no. 74. International Institute for Environment and Development
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Gasper, D and Apthorpe, R (1996) Introduction: Discourse Analysis and Policy Discourse

Gaspr and Apthorpe provide a comprehensive overview of different approaches to policy as discourse. Their starting point is to see policy discourse as 'argumentation', rather than as objective and scientific statements. In other words, policies are ways of putting forward an argument about what a particular situation (or what the world) is like, and what should be done about it.

Discourse analysis encompasses several strands. Some of the most important points from these various streams include:

- Policy discourse inevitably frames problems in a certain way, i.e. includes some aspects rather than others. This approach to discourse analysis might focus on the specific concepts, tropes and frames used in policies.
- Policy discourse determines (and is determined by) a larger set of 'rules' about what is sayable and thinkable. (For example, it is thinkable that participation is a good thing, but it is less thinkable that participation is a bad thing.) This approach might focus more widely on the stories and narratives that sustain policies, and the explicit or implicit rules of validation.
- Policy discourse is not 'just words' but has material effects, as a change in discourse will have an effect e.g. on the distribution of resources.

The idea of 'emancipatory reading' is introduced. Discourse analysis which focuses both on the text and the context of policies can serve to draw attention to the argument that the policy is putting forward (often under the cloak of neutrality and objectivity). This in turn can open up for debate and increase the room for manoeuvre within policy-making.

Publisher: European Journal of Development Research 8(1): 1–15
Key theme: Political context/Current policy discourse
Academic discipline: Anthropology

Giddens, A (1990) The Consequences of Modernity

Modernity is inherently globalising. Giddens examines the globalising process through a sociological lens, concentrating on the way social life is ordered across time and space (time-space distanciation). Globalisation has rapidly increased the level of simultaneous local involvements and the interaction across distance, meaning that the local is shaped by other local events and by the global, and the global is shaped by multiple locals, at a much more intense rate than ever previously. This creates a sense of 'one world', which has several effects. The global production process has spread out to include all parts of the world in a global division of labour. This has enabled the diffusion of production and communication technologies worldwide. It has also brought about shifts in the global distribution of production and communication (for example, some of the advanced capitalist market-economies of the West are now deindustrialising). The macro shifts brought about by globalisation reach down to the local level through conditioning our way of perceiving the world and transforming 'knowledge'; modernity in its present form would not be possible without, for example, the pool of knowledge that we know as 'the news'.

Publisher: Polity Press, Cambridge
Key theme: Political context/Information age
Academic discipline: Sociology

Gladwell, M (2000) The Tipping Point: How Little Things Can Make a Big Difference

This journalist's analysis of what makes social epidemics happen draws on history, marketing research and psychological studies. His main point is that small features can 'tip' a small trend into a huge craze. A few individuals can make a big difference if they have the necessary qualities. The following characters are usually key:

- *connectors* – networkers, they know who to pass information to and are respected so will have influence on key players;
- *mavens* – information specialists, they acquire information and then educate others (a personality type that is considered indispensable to marketing);
- *salesmen* – powerful, charismatic and, most importantly, persuasive individuals: they are trusted, believed and listened to where others would be ignored.

Tiny adjustments to information, whether conveyed in an advertisement or television programme, can make all the difference to what he calls the 'stickiness factor'. He points to psychological research that shows that most people can remember up to *seven*-digit numbers but no more, that the presenters make a bigger impression if they outline no more than *three* points, and that organising more than *150* people to work effectively is an uphill struggle. Different presentations stick for different audiences and only piloting it will reveal how they will react; pre-school children loved the mixture of fantasy animals and real people in Sesame Street despite psychologists' predictions that they would find it confusing. Finally, he describes the 'power of context': small environmental

changes can have a big impact of people's behaviour, e.g. crime dropped dramatically in New York following a campaign to get rid of graffiti in the subway.

Publisher: Little, Brown and Company, London
Key theme: Message and media/Marketing communication
Academic discipline: Media and communication

Goffman, E (1990) The Presentation of Self in Everyday Life

Goffman's focus on micro-sociology has contributed several useful concepts to the study of why people act the way they do in different situations. He notes that people present several 'versions' of themselves in everyday life depending on the context, as if they were engaged in different performances for different audiences. He also notes that some of these performances are directly contradictory, and that in fact people will be at pains to sustain a certain impression in one context only to knowingly counter it when the context changes. Goffman compares this to play-acting, where an 'official' version is acted out front-stage, while a wholly different performance plays itself out when the actors come back-stage and step out of their formal roles. Back-stage is the place where the official audience cannot gain access, and where secrets can be said out loud.

Goffman's ideas have proved durable and have been applied to several fields where communication is involved, including the behaviour of communities in PRA exercises.

Publisher: Penguin, Harmondsworth
Key theme: Message and media/Interpersonal communication and advocacy
Academic discipline: Sociology

Haas, E B (1991) When Knowledge is Power: Three Models of Change in International Organisations

Frequently, informal networks are as important in linking research and policy, and effecting policy change, as formal structures. Informal networks may take the form of advocacy coalitions, or friendly relationships between researchers and decision-makers. Haas adds an important point to this list by introducing the concept of 'epistemic community'. An epistemic community consists of colleagues who share a similar approach, or a similar position on an issue. They maintain contact with each other across their various locations and fields, thus creating valuable channels for information flow. These informal fora can be used to discuss and pass on alternative perspectives on current issues, and if the network comprises prominent and respected individuals, pronouncements from these can force policy-makers to engage with an issue. The conclusion is that such an epistemic community provides a potent means of circumventing tedious public bureaucracies or the normal chain of command, and it is also a counter-balance to the conservatism of policy networks.

Publisher: University of California Press
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Hailey, J and Smillie, I (2001) Managing for Change: Leadership and Strategy in Asian NGOs

This book is about how some of the most successful non-governmental development organisations in the world are managed. It deals with issues of growth, leadership and context, and questions the usefulness of Western management doctrine. The case studies highlight the important role of learning for the success and growth of NGOs. But the book questions the myth that NGOs are intrinsically learning organisations. This is no simple process, and neither a formulaic one, readily adaptable from

blueprints and manuals. Rather it is seen as an ongoing informal process of action learning supported by formal training, research and other management systems. Organisational learning is described as a dynamic process that integrates the informal (dialogue, reflection and learning by doing) and the formal (training courses, seminars, commissioned research, evaluations and documentations), with learning as both an incremental and an experiential process.

In terms of the development of strategy, it is pointed out that fundamental strategies frequently take sharp turns in directions as the result of a catharsis within the organisation, or one created by external forces, and also in some cases as the result of opportunistic and entrepreneurial strategies. The emergent and adaptive reality of strategy-making notwithstanding, NGOs everywhere are pressed, especially by donors, for explicit, long-range strategic plans. This is a throwback to the rationalist school of planning, and the authors emphasise that formal strategy is not the magic bullet many have made it out to be, largely due to the volatile environment in which NGOs operate as well as the trade-offs that exist between processes and individuals

Publisher: Earthscan, London
Key theme: Actors/Organisational management
Academic discipline: Development management

Henkel, H and Stirrat, R (2001) Participation as Spiritual Duty: Empowerment as Secular Subjection

Henkel and Stirrat examine the 'new orthodoxy' within development that has as its mantras 'participation' and 'empowerment'. This orthodoxy is shared not only amongst NGO practitioners, but also amongst bilateral donor governments and multilaterals. One of the interesting points about this orthodoxy, however, is that there is no systematic ideology sustaining it; i.e. different groups in the development world are embracing participation and empowerment for different reasons, and based on different rationales. The new orthodoxy of participation and empowerment is characterised by several cross-cutting trends: a preference for bottom-up approaches; an assumption that people can escape poverty if they are empowered; a focus on the marginal (women, the poor, ethnic minorities); a celebration of 'indigenous knowledge'; a distrust of the state; and trust in NGOs.

The authors trace the long theological and moral history of participation in the West, and suggest that even though participation today appears completely secularised, it nevertheless has many traits and associations that can be likened to religious experiences. As an illustration of this they outline Robert Chambers' beliefs in 'the primacy of the personal' and 'new professionalism'.

Henkel and Stirrat argue that the ways in which participation and empowerment are operationalised within development today, serve to incorporate people into a 'modern' Western mindset (with overtones of centuries of Western theology and philosophy). Moreover, participatory and empowering projects often (inadvertently) place people under closer surveillance, both as 'participants' in a development project and as 'good citizens' of a state. In both cases the surveillance is seen as an effort to change not only people's behaviour, but also their hearts and minds. They conclude that although participation and empowerment are marketed as a radical shift away from ethnocentrism and the 'bad sides' of modernity, it is more useful to see this new orthodoxy as part of the current manifestations of the modernisation process.

Publisher: In Cooke, B and Kothari, U (eds.) Participation, The New Tyranny? Zed Books, London
Key theme: Political context/Current policy discourse
Academic discipline: Anthropology

Hirschman, A O (1970) Exit, Voice and Loyalty

Hirschman maps out three possible courses of action for people (whether in the family, a social circle, a firm, an organisation, or a state): exit, voice, or loyalty. Loyalty refers to the choice or pressure to conform to existing structures, policies and practices. Voice is the act of criticising aspects of the status quo in order to try and change it 'from the outside', while still remaining within the larger structures. Exit is the option of leaving in order to move to an alternative organisation or state.

Policies can be shaped and influenced through all three strategies of exit, voice or loyalty. Certain policies or policy domains may be more responsive to one of the three rather than the others. Thus the potential influence of each of the courses of action depends on the context. However, an organisation or policy field needs both voice and exit in order to change and stay healthy, and Hirschman ends with the suggestion that his book may hopefully encourage the strategies of exit and voice.

Publisher: Harvard University Press, Cambridge, Mass.
Key theme: Political context/Current policy discourse
Academic discipline: Political science

Hudson, A (2000) Making the Connection: Legitimacy Claims, and Northern NGOs International Advocacy

The article broadly deals with the shift of NGOs from a 'development as delivery' to a 'development as leverage' approach. Although advocacy takes a variety of forms – from careful research and policy advice, to parliamentary lobbying, to public campaigning and development education – the overall goal is described as the attempt to alter the ways in which power, resources, and ideas are created, consumed and distributed at a global level, so that people and organisations in the South have a more realistic chance of controlling their own development. As UK NGOs increasingly move into advocacy and policy work, they have to respond to a variety of challenges concerning issues of legitimacy and related issues of accountability, governance, and effectiveness. Legitimacy questions concern, first, the right of the NGO to speak to its target audience, perhaps on behalf of other groups or interests; and second, the wisdom of NGOs moving closer towards an advocacy focus.

The author argues that in order to substantiate their claims to legitimacy, NGOs need to map out their legitimacy chains. When legitimacy is claimed on the basis of representation, systems of accountability need to be in place. When legitimacy is claimed on the basis of expertise and experience, the relevance of southern operational experience to northern advocacy needs to be demonstrated. In relation to this they have encountered challenges and criticisms. These challenges question the effectiveness of their advocacy work, their legitimacy as advocates for development, their accountability to those they are perceived as representing, and the suitability of their governance structures for a development-as-leverage approach. Some of the criticisms claim that they are not representative organisations in any obvious sense and poorly accountable.
Legitimacy is pointed to as important as it increases the persuasiveness of advocacy, which increases its effectiveness. The author also suggests that southern partners and supposed beneficiaries are increasingly questioning the legitimacy of northern NGOs advocating, supposedly on their behalf. At the same time many NGOs defend their right to take positions on issues of international development as long as they were developed though 'real dialogue' with southern partners. NGOs claimed legitimacy for their advocacy work on a variety of bases: history; organisational structures; principles, rights and values; and southern roots, and many NGOs carefully avoided claiming to speak for the South or represent the South. The strength of their legitimacy claims is seen to depend on the ability of the NGO to demonstrate the links, or legitimacy chains, between their operational

work and experience in the south and their advocacy work. Many NGOs are currently thinking about how to develop more synergistic relationships between their operational work and their advocacy. The author points out, however, that in general NGOs have been slow to restructure their organisations in order to ensure appropriate downward accountability for advocacy and influencing.

Publisher: In Lewis, D and Wallace, T (eds.) New Roles and Relevance. Development NGOs and the Challenge of Change. Kumarian Press, Hartford
Key theme: Message and media/Interpersonal communication and advocacy
Academic discipline: Development management

Hulme, D and Edwards, M (1997) NGOs, States and Donors: An Overview

In the opening chapter of their collection of essays on NGOs, states and donors, Hulme and Edwards chart the rise of NGOs. Their opening question is whether the popularity of NGOs reflects genuine recognition of their alternative approaches and special relationship with the grassroots, or, conversely, whether the popularity is rather a sign that NGOs have now become fully institutionalised into the mainstream 'development industry'.

They link the NGO revolution to the wider 'associational revolution' of the past couple of decades. They also place the rise of NGOs in the context of the 'New Policy Agenda' (comprising neo-liberal economics and liberal democracy) adopted by Northern development agencies and donors in the 1990s, following the World Bank's lead. Under the New Policy Agenda, NGOs have several comparative advantages as efficient service deliverers, credible vehicles for democratisation, and components of civil society.

The close link between the New Policy Agenda and NGOs illustrates the close relationship between (Northern) donors and NGOs. Hulme and Edwards point out that there is a continuous danger of cooption involved when one party funds the other, and that even though many NGOs pride themselves on behaving independently of their donors, on balance it is clear that donors have far greater influence over NGOs than vice versa.

Publisher: In Hulme, D and Edwards, M (eds.) NGOs, States and Donors: Too Close for Comfort? Macmillan, London, in association with Save the Children
Key theme: Political context/Current policy discourse
Academic discipline: Development management

Humphreys, P (1998) Discourses Underpinning Decision Support

The fundamental task facing the decision maker is how to decide to go about developing a prescription for action and get it implemented. The desire to take some action is generated from a feeling that there is a lack (or gap) between the actual state of affairs (as perceived by the decision maker) and some imaginable preferred state. The article presents a brief outline of the kind of discourse which informs and constrains the operations at each of the five levels of the decision making process along a continuum feeling – thinking/discussing – commitment to action.

- Level 5: (top level): Exploring what needs to be talked about within a 'small world' defined by the decision makers 'unconscious thinking' about the decision problem.
- Level 4: Use of problem expressing discourse.
- Level 3: Developing the structure of the problem within a frame.
- Level 2: Exploring what-if questions
- Level 1: Making best assessments.

The article attempts to challenge the way in which textbook accounts of decision-making normally concentrate on modelling the decision problem while viewing participants in the decision-making as mere accessories. Humphreys goes through various early decision-making theories, tracing this view of participants as accessories: The legacy of 'scientific management' is described as the perpetuation of the idea in management thinking that the organisation is something that can be acted upon or transformed by management, also promoting management-centrism and the juridico-discursive model of power. The 'Human Relations School' tempered the above approach, with a theory about the need to release the autonomous subjectivity of the worker in such as way that it aligned with the aspirations of the enterprise. This instigated a change of understanding of the operation and power in organisations to something approaching a Foucauldian perspective, where power is understood as continuous, disciplinary and anonymous.

In both these approaches, the structure is assumed to be pre-defined, and the history of how these structures came about is generally ignored. Humphreys argues that it is necessary to recognise that these structures are negotiated by the participants in the decision making process, and to beware of the cases where the history of the constitution of these discourses is naturalised.

Publisher: In Berkeley, B et al., (eds.) Context-Sensitive Decision Support. Kluwer Academic Publishers, Boston
Key theme: Actors/Perception and decision making
Academic discipline: Social psychology

Keck, M and Sikkink, K (1998) Activists beyond borders: advocacy networks in international politics

In their book on the emergence of networks as mode of operation for advocacy groups in international politics Keck and Sikkink deal with central issues of the network structure. They assess the importance of the construction of 'cognitive frames', and of alignment of frames and the fitting of issues appropriately depending on the context. They see the networks as both structured and structuring, with focus on what they call the Boomerang pattern.
The boomerang pattern consists of the following idea that Transnational Advocacy Networks are most likely to emerge around issues where; (i) the channels between domestic groups and their governments are blocked, hampered or inefficient; and where (ii) activists or 'political entrepreneurs' believe that networking will further their missions and campaigns, and actively promote networks; with the third element of (iii) conferences and other forms of international contact that create arenas for forming and strengthening networks.

The authors also assess the number of complications and tensions that might be related to the operation of these networks. Furthermore they also look at the different kinds of methods used by the networks, grouping them in four: (i) information politics (ii) symbolic politics (iii) leverage politics (iv) accountability politics.

Publisher: Cornell University Press
Key theme: Actors/Networks and inter-organisational linkages
Academic discipline: Development management

Keeley, J and Scoones, I (1999) Understanding Environmental Policy Processes: A Review

Policy is an inherently political process, rather than an instrumental execution of rational decisions, where planning and implementation overlap. Different models are useful for analysing different contexts: e.g. the linear model is useful for understanding environmental policies whereas an emphasis on negotiation and incrementalism is more appropriate when looking at rural resource

management. They point to Foucault-inspired idea that policy is discourse, only understood if you look at the relationship between knowledge and power, whereby a political problem is recast in the neutral language of science. Their critique of technocracy, with its scientifically-driven policy making, is that it glosses over the difficulties of choosing experts and works against democracy. Science is value-laden socially-constructed knowledge and the result of competition between interest groups. The scientific enterprise involves universalising, removing uncertainties, and hiding assumptions. Given the growing public distrust of institutionalised science, greater reflexivity in the interactions between scientific institutions and the public makes sense.

They review different ways of looking at policy change: (i) as interactions between different groups with differing political interests – whether it is between competing groups, classes, or within the state (or bureaucracies more generally). A case study of bureaucratic politics within the World Bank illustrates how effective policy making is constrained (page 17); (ii) actor-oriented approaches: policy communities and networks, interfaces, actor-network, epistemic communities, entrepreneurs/saboteurs; (iii) as discourse, which is an ensemble of ideas communicated through practices via coalitions, narratives, tropes, rhetoric etc. The differences between these approaches is elegantly summarised (page 27–9). They try to fuse the best of all three: 'structure and agency continuous and recursively interact'. As to the future, building on the explosion of participatory methods, they argue for new forms of participatory democracy with more inclusionary and reflexive policy making.

Publisher: IDS Working Paper 89, Institute of Development Studies (IDS), Sussex
Full document: http://server.ntd.co.uk/ids/bookshop/details.asp?id=494
Key theme: Political context/Policy process
Academic discipline: Political science

Keeley, J and Scoones, I (2000) Knowledge, power and politics: the environmental policy-making process in Ethiopia

This article casts light on how policy decisions are made in Ethiopia. It reveals a complex environment in which policy debates are not resolved as a result of rational choices but are often fudged as conflicts rage among ever-shifting networks of scientists, donors, ideologues and bureaucrats. The study traces controversies characterising the evolution of rural development policies. Those clinging to the original Maoist inspiration of the ruling party argue that mass-mobilisation schemes can combat the long-term challenge of soil erosion. Others promote policies to increase incentives for farmers to invest in their own land. Some look to off-the-shelf modern Green Revolution technologies to avert the recurrent food crises, while others argue for low external input solutions based on the principles of conservation agriculture.

The study looks at the types of knowledge about natural resources from which policy conflicts emerge and how positions get established, challenged and excluded. Seemingly regardless of the regime in power, agricultural extension policies in Ethiopia have offered more of the same: external inputs (seeds and fertiliser) linked to credit programmes and mass mobilisation to check erosion. The SG-2000 programme, launched in 1995 with support from the World Bank and international scientists, chimed with a huge, ultimately unsuccessful, World Food Programme food-for work scheme to build bunds and plant seedlings. In a political climate dominated by a government staking its credibility on achieving food security, little space remained available for different views on agricultural extension.

Ethiopia today, like past regimes, tends to authoritarianism, hierarchy, centralised rule and lack of transparency. However, despite a political culture inheriting a bureaucratic mind-set antithetical to

bottom-up policies, debate goes on. More recently alternative types of policy process – participatory and inclusive – have begun to emerge. The paper concludes by suggesting why these are happening in some parts of Ethiopia but not others.

Other key features highlighted are:

- The surprising commonality between policies of Green Revolution and environmental rehabilitation enthusiasts, united by a misplaced belief in over-population and impending chaos.
- Ideas of environmental degradation, which are central to policy narratives in Ethiopia, need to be examined much more critically than is often the case.
- Significant differences, as regionalisation policies come on stream, between Tigray (where participatory approaches belatedly find an audience) and elsewhere where (much resented) top-down orthodoxy prevails.
- When actor networks are tightly formed and impenetrable, no amount of rational argument will budge a policy from its pedestal.

The findings suggest that external actors and policy makers should:

- recognise that funding of successful NGO participatory projects, together with the imaginative creation of networks around these activities can create new policy spaces, and help reshape official thinking
- seize opportunities presented by decentralisation to promote effective and appropriate local interventions.

(Summary taken from id21)
Publisher: The Journal of Modern African Studies 38(1): 89–120, Cambridge University Press
Full document: www.id21.org/society/s2ajk1g1.html
Key theme: Political context/Policy process
Academic discipline: Development management

Kennis, S and McTaggart, R (2000) Participatory Action Research

Participatory action research was originally an alternative 'philosophy' of social research that emerged out of movements for community empowerment and development as social transformation (cf. Freire and Latin American liberation theology). The approach was a reaction to conventional social research, which was seen to sustain rather than challenge the status quo, and which served the interests of the wealthy and powerful rather than 'ordinary people'.

Some key features of participatory action research are:

- There is a continuous dynamic between action and reflection.
- The link is made between the individual participant and larger social processes.
- The research process is 'owned' by the whole group, and it is assumed that social problems are best analysed and dealt with by the community rather than individual researchers.
- The research examines social practices, and is geared towards the practical aspects of putting knowledge into use. Reality is investigated in order to change it.
- The research process is seen as emancipatory in that it enables people to gain more control over their own lives, rather than being subordinate to limiting social structures.

Participatory action research has branched out into several streams (action research, action learning, participatory research, PRA, etc), many of which see it more as a methodological tool rather than a philosophy of social transformation. Thus the label 'participatory/action research' does not necessarily imply that the research has been carried out with the normative aim of social justice; it

could equally well imply that the researcher needed an efficient method of gathering data and/or the conferred legitimacy that such a label brings. Kennis and McTaggart conclude that what makes participatory action research 'valuable research' is not the particular technical methods used, but a demonstrated concern with the relationship between theory and practice.

Publisher: In Denzin, N and Lincoln, Y (eds.) Handbook of Qualitative Research (2nd edition). Sage Publications, Thousand Oaks
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Research methodologies

Kickert et al. (1997) A Management Perspective on Policy Networks

The article deals broadly with the idea of policy networks as an opportunity for public policy making. It starts by explaining the move away from an anti-statist approach to an increasing recognition of the need for government involvement. It is, however, also clear that government cannot reclaim its post-war welfare state position as the central governing authority in society. These observations necessitate reflection upon the relation between government and society. In social science this reflection has contributed to the rise of a new idea which is becoming increasingly popular: the concept of policy networks.

The concept 'policy network' connects public policies with their strategic and institutionalised context: the network of public, semi-public, and private actors participating in certain policy fields. The main argument of the book is that public policy is made and implemented in networks of interdependent actors. Public management should therefore be seen as network management, and interdependency is the key word in the network approach. Interdependency is based on the distribution of resources between various actors, the goals they pursue and their perceptions of their resource dependencies. Information, goals and resources are exchanged in interactions, these are frequent and some formalisation and institutionalisation occurs. The policy networks take shape around policy problems and/or policy programmes.

The authors seek to move away from the network analyses that focus on the failure and incompetence of governments. They rather focus on the potentials of policy networks for problem resolution and governmental steering. Network management is described as an example of governance and public management in situations of interdependencies. It is aimed as coordinating strategies of actors with different goals and preferences with regard to a certain problem or policy measure, within an existing network of inter-organisational relations. Network management aims at initiating and facilitating interaction processes between actors, creating and changing network arrangements for better coordination.

Publisher: In Kickert, W, Klijn, E H and Koppenjan, J F M (eds.) Managing complex networks. Sage, London

Key theme: Actors/Networks and inter-organisational linkages
Academic discipline: Development management

Kingdon, J W (1984) Agendas, Alternatives, and Public Policies

Kingdon argues that it is necessary to take into account the agenda-setting process that surrounds and determines the policy-making process itself. Kingdon builds his framework around the 'garbage can' model of decision-making (developed by Cohen, March and Olsen in the early 1970s), which views organisations as choices looking for problems, and solutions looking for issues, rather than

vice versa. Kingdon identifies four factors that influence the movement of choices and solutions within the agenda-setting process:

1. The problem stream denotes which issues are recognised as significant social problems. Citizens, groups and journalists work actively within this stream to trigger interest in problems.
2. The policy stream refers to which advice is regarded as 'good advice'. This changes in tandem with the problem stream and with external events.
3. The political stream: both the problem stream and the policy stream operate within a political environment characterised by elections, changes in government, changes in political champion causes, and changes in public opinion.
4. Policy windows occur when there is an opening for new views. This is usually triggered by a major event such as a crisis, a new international agreement, budget negotiations, or a priority-setting exercise. Policy windows provide the opportunity to have alternative issues and solutions considered seriously.

In short, critical factors in this model of agenda-setting are timing, chance and external influence. Problems and solutions may disappear or float to the top of the streams in a somewhat random manner, which means that important decisions can be taken in various places and with varying interest in relevant research. However, the role of external influences also indicates that research that is circulated within policy networks may have a significant impact when it chances to address an emerging issue at the right time and place.

Publisher: New York: Harpers Collins
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Kotler, P, Armstrong, G, Saunders, J and Wong, V (1999) Principles of Marketing, 2nd Edition

The book provides a comprehensive introduction to marketing, using a practical and managerial approach. Marketing is described as a process containing much more than selling or advertising, with new challenges emerging constantly. Five main philosophies that guide marketing management are outlined. These are: Production concept (goal to bring down prices, making products more affordable); Product concept (higher quality products); Selling concept (promotion matters); Marketing concept (determining needs and wants of target markets, comparative advantage); Societal marketing (determine needs and wants, and customer satisfaction).

On societal marketing: Determine the needs and wants of the target market, and then deliver satisfaction in a competitive way, improving the consumer and the society's well being. This is a new market philosophy, and questions the standard marketing approach in the face of environmental, inequity and poverty problems. It tries to look at both consumer wants and long-run welfare. This approach calls on firms to balance consumer wants, firm profits, and society welfare. Firms should have ethical and environmental policies, and back these up with action, and sometimes there is a call for ethical auditing exercises. There is furthermore a call for the need for debate and counterarguments in the media, as well as a need for regulation.

Societal marketing is also described as one of five principles of enlightened marketing, together with: Consumer-oriented marketing (the whole operation from the customer's point of view); Innovative marketing (real and innovative improvement to product and marketing); Value marketing (improving long term value of products, rather than short term sale focus); Sense-of-mission marketing (the company should define its mission in broad social terms).

Steps in developing effective communication: Identify the target audience (this determines the next choices of strategy). Determine the communication objectives (be aware of the different stages the buyer passes through awareness, knowledge, liking, preference, conviction and then purchase). Design the message. Generally three types of appeals are used: rational (showing that the product will fulfil the buyer's self-interest and give expected benefit), emotional (stirring up negative or positive emotions), or moral (appealing to the buyer's sense of right and wrong). Select the message format and the message source. Use eye-catching and novel images and tools, and bear in mind that who promotes the message can have a significant impact.

The main idea is to get people to respond, and they will do so if they are motivated and if they see a benefit. Therefore it is important to identify the benefits that you see the consumer having from the product. It is important to put this message across in a memorable way, tapping on the motivations that drive human consumption: functional, pleasure, self-identity, image, admiration, and altruism. Also the message can build on an in-depth knowledge of the consumer's own experience with the product.

Publisher: Prentice Hall Europe
Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Lambin, J (1996) Strategic Marketing Management

The book starts from the assumption that marketing is both a business philosophy and an action-oriented process. Marketing is explained as rooted in the market economy and functioning of the firm (improve market opportunities, achieve target market share), with the main role seen to be the organisation of exchange and communication (supply/demand). Furthermore the book emphasises the need to shift focus from marketing to market-driven management, in a context of increased competition. With the process of globalisation, more competition, and better educated consumers, mass-marketing techniques are coming of age, and customised marketing is seen as necessary. This includes sensitivity to environmental and ethical demands and socio-cultural specificities. Marketing should, importantly, be viewed as a process integrating different functions and not a separate entity within the organisation.

Purchasing behaviour is seen as rational within the principle of limited rationality, i.e. within the bounds of individual's cognitive and learning capacities. For the buyer the product is seen as the solution to a problem (process of problem solving). Products are seen to have a core functional value, and a set of secondary values or utilities. The advertising information is important in clarifying risk/value as relative to other products. There are various forms of buyer response to marketing: gonitive (retained information and knowledge), affective (attitude and evaluation), and behavioural (action).

The four main communication tools are: personal selling, advertising, sales promotion and public relations. The communication process is outlined as follows:

Sender → Encoding → Media message → Decoding
Noise (Distortion)
↑ Feedback ← Response ← Receiver ↓
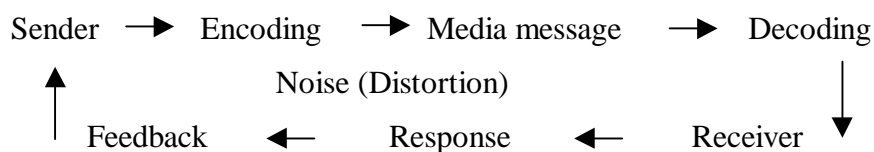
Publisher: McGraw-Hill, UK
Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Lanuez, D and Jermier, J M (1994) Sabotage by Managers and Technocrats – Neglected patterns of resistance at work

The central thesis of this chapter is that some managers and technocrats have sufficient motive to sabotage the production of goods and services. We begin by citing illustrative examples of episodes of managerial and technocratic sabotage. In reviewing the existing literature we find that low or reduced personal control and the experience of negative affect at the workplace underlie many acts of sabotage. We examine major societal and organisational forces that have eroded and redefined the power and privileges of managerial and technocratic positions and find that managers and technocrats have experienced increasing powerlessness and insecurity. We draw on neoclassical economics, managerialist literature and modern social-class analyses to establish the plausibility of the central thesis. As the interests, values and motives of managers and technocrats drift further from alignment with those of capital elites who desire to maximise profit, a willingness to engage in forms of deep opposition is more probable. Although it may seem counter-intuitive, we argue that for reasons similar to those of workers, some managers and technocrats resist capitalist domination by selecting sabotage responses. In closing sections, a typology of managerial/technocratic sabotage is presented.

(Summary taken from chapter)
Publisher: In Jermier, J M, Knights, D and Nord, W R (eds.) Resistance and Power in Organisations. Routledge, London
Key theme: Actors/Organisational management
Academic discipline: Organisational management

Lefebvre, R C (2001) Theories and Models in Social Marketing

The article outlines the origins of the theory of social marketing, and describes more in detail the current key theoretical approaches used in the field of social marketing. The theories presented in the article are only some of the ones in use, and have a health bias, due to this being the area where social marketing has been taken the furthest. Behavioural change is a complex process, with dozens of theories, and often too focused on individual processes. Social marketing is not an alternative to individual behaviour change strategies; rather it is a process to increase the prevalence of specific behaviour among target audiences. Other theories that also need to be looked at by social marketers include: motivational theories to inform message development, social network theories to inform message dissemination, organisational development to inform coalition and partnership development and management, political theories to inform policy alternatives.

The Health Belief Model: This model was originally designed to better understand why people did not participate in health projects, and its tenets have found their way into social marketing projects. As social marketers make choices about the theoretical models they use in their programs, this model of understanding different predictors of various types of behaviours is useful. This has particularly been the case in relation to addressing issues for at-risk populations who might not perceive themselves as such, through the use of fear- or anxiety-arousing messages.

Theory of Reasoned Action: This theory is organised around the construct of behavioural and normative beliefs, attitudes, intentions and behaviour. The most important predictor of subsequent behaviour is one's intention to act, influenced by one's attitude towards engaging in that behaviour. In social marketing this theory is applied, but often implicit and incomplete. Subjective norms and referent, for example, are often important to social marketing programs, even though the theoretical model might not be specifically used, and there is often little focus on how to change the attitudes towards the behaviour.

Social cognitive theory: This theory explains behaviour in terms of triadic reciprocality in which behaviour, cognitive and other interpersonal factors, and environmental events all operates interacting determinants of each other. Changes in any of these three factors are hypothesised to render change in the others. A key concept in this theory is observational learning. In contrast to earlier theories this one views the environment as reinforcing and punishing behaviour, but also as a milieu where one can watch actions of others and learn about the consequences of their behaviour. The theory is seen as one of the most comprehensive attempts to explain human behaviour, and points to the need to focus on attention, retention, production and motivational processes for effective learning and performing of new behaviours.

The Transtheoretical Model of Health Behaviour Change: This is more popularly known as the 'stages of change' model, and has become one of the more frequently used models in social marketing, applied by some as the theoretical model for marketing social change. The model emerged from an analysis of leading theories of psychotherapy and behaviour change in which ten distinct processes of change were identified. These suggest certain interventions that will be most appropriate for moving people through stages of change. Some of these include consciousness raising, self-re-evaluation, social liberation, and helping relationships. The most popular tools from this model however are the stages themselves: precontemplation, contemplation, preparation, action, maintenance, termination. What the model attempts to drive home to social marketers is that few people are ready for action-oriented programs, and time must be invested to allow for people to move through the earlier stages.

Diffusion of Innovations Theory: One of the points coming out from this theory is the fact that there are different types of adopters of innovations in every target audience that are represented in certain proportions and have unique motivations for adopting new behaviour. This is complemented further by the focus on determinants of speed and extent of diffusion of innovations, and on the relative effectiveness of different methods of dissemination of innovation. So far these ideas have not been used to a large extent in social marketing, however, it has a value given that it is one of few population-focused models available to social marketers. This involves a view of behavioural change not just taking place at an individual level, but that there are indeed processes available to manage widespread behaviour change.

Publisher: In Bloom, P N and Gundlach, G T (eds.) Handbook of Marketing and Society, Sage Publications, London – New Delhi
Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Leftwich, A (1994) Governance, the State and the Politics of Development

In this article, Leftwich outlines the current 'good governance' agenda as advocated by the World Bank. He starts off by tracing the events that led to an interest in good governance: the experience of structural adjustment programmes (SAPs) in the 1980s and the questions of why they did not achieve everything that they set out to do; the expansion of the neo-liberal approach to include not only economic issues but also specifically political ones; the collapse of communism and the subsequent 'monopoly' enjoyed by Western liberal democracy; and finally, the impact of pro-democracy movements.

Leftwich divides the good governance agenda into three aspects. The 'systemic' aspect of good governance deals with the rules governing the distribution of power, and advocates a political system with a minimal state that provides the enabling environment for an open market and democracy. The 'political' aspect specifies more closely what this means: free and regular elections, checks and

balances on power, structures of accountability, and pluralism. The 'administrative' aspect outlines the need for reliable and accessible information, efficient and accountable public services, and a transparent public administration.

Leftwich concludes that everybody can agree that the good governance agenda comprises many 'good things', but he argues that the project as a whole is nevertheless rather naïve because it fails to recognise that good governance is a function of state capacity. He criticises the current version of good governance for relegating the state to a peripheral role of creating an 'enabling environment', and suggests that this turns the good governance agenda into a universal, managerial, and illusory 'fix-it'.

Levitt, B and March, M G (1988) Organisational Learning

This paper reviews the literature on organisational learning. Organisational learning is viewed as routine-based, history-dependent, and target-oriented. Organisations are seen as learning by encoding inferences from history into routines that guide behaviour. Within this perspective on organisational learning, topics covered include how organisations learn from direct experience, how organisations learn from the experience of others, and how organisations develop conceptual frameworks or paradigms for interpreting that experience. The section on organisational memory discusses how organisations encode, store, and retrieve the lessons of history despite the turnover of personnel and the passage of time. Organisational learning is further complicated by the ecological structure of the simultaneously adapting behaviour of other organisations, and by an endogenously changing environment. The final section discusses the limitations as well as the possibilities of organisational learning as a form of intelligence.

Lindquist, E A (1988) What Do Decision-Models Tell Us About Information Use?

Lindquist has argued that organisations or networks, for that matter, are often in different decision modes – routine, incremental, or fundamental. Each involves a different level of scrutiny and debate over the integrity of its policy underpinnings: (i) routine decision regimes focus on matching and adapting existing programs and repertoires to emerging conditions, but involves little debate on its logic and design, which is built into the programs and repertoires; (ii) incremental decision-making deals with selective issues as they emerge, but does not deal comprehensively with all constituent issues associated with the policy domain; and (iii) fundamental decisions are relatively infrequent opportunities to re-think approaches to policy domains, whether as result of crisis, new governments, or policy-spillovers. Where fundamental decisions are concerned, it is important to note that that they are anticipated and followed by incremental or routine regimes. There is a connection to this line of thinking with the agenda-setting model described just above. Decisions emanating from the 'choice opportunities' that arise as policy windows open, however briefly, may involve either limited or significant change, or perhaps none at all.

If one believes that the vast majority of decision-making in a policy area over time is routine or incremental, then there is a built-in bias against the use of research by policy-makers. There will be

greater interest in useful data and analysis that deals with incremental issues as they arise, and the findings from ongoing research must achieve influence through enlightenment and percolation. Conversely, the greatest demand for, and receptivity to, research comes in anticipation of fundamental policy decisions, or following sharp regime shifts.

(Summary taken from Lindquist, forthcoming, Discerning Policy Influence: Framework for a Strategic Evaluation of IDRC-Supported Research. To be published by IDRC. p. 19–20)
Publisher: Knowledge in Society 1(2): 86–111
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Linnerooth, J (1987) Negotiating Environmental Issues: A role for the analyst?

A fundamental element of environmental policy making is negotiation. Even in the adversarial environment of the United States, regulatory agencies and other governmental decision makers implicitly negotiate problem definitions and solutions with public stakeholders to avoid costly court battles. These interactions are developing into more explicit negotiation forums with the growing awareness that all participants can reduce procedural costs through direct cooperation rather than confrontation. In the US, new institutions to accommodate negotiated policy making are therefore evolving; these institutions are kin to the pluralistic committee structures found in much of Europe. More cooperative forms of environmental policy making presents a challenge and an opportunity to analysts. How can traditional forms of expertise, including the fact-finding and strategic decision aids, be adapted to support the participants of a negotiation or even to improve the outcome of a negotiated settlement? A challenge for designers of systems of 'decision support' is to find the relevant links for adapting these systems to provide 'negotiation support'.

In linking these concepts, it is important to understand the interrelationship between decision making and negotiation, and particularly the institutional contexts in which they occur. This paper will examine three separate contexts selected to illustrate the diversity of both concepts and ultimately the diversity of tools that can potentially provide support. The first context is a multi-party, adversarial process where the stakeholders interact only through indirect negotiation and where decisions are taken in more formal court proceedings; the second context is an organisational decision setting where positions are again implicitly negotiated, but internal to the organisation; the third context is an explicit, around-the-table negotiation where the parties have a shared interest in reaching an agreement. This latter context shows the successful use of a computer model in providing support for a negotiation. This success, however, is tempered by the rather novel conditions surrounding the case, and cannot be easily transferred to other negotiation contexts. It is shown that political tradition and institutions can severely constrain, as well as present opportunities, to the use of many types of decision and negotiation aids.

(Summary taken from chapter)
Publisher: In Hawgood, J and Humphreys, P C (eds.) Effective decision support systems. Gower, Aldershot
Key theme: Actors/Perception and decision making
Academic discipline: Social psychology

Lipsky, M (1980) Street-level Bureaucracy: Dilemmas of the Individual in Public Services

Lipsky examines what happens at the point where policy is translated into practice, in various human service bureaucracies such as schools, courts and welfare agencies. He argues that policy implementation in the end comes down to the people who actually implement it (teachers, lawyers, social workers). They are the 'street-level bureaucrats', and they exercise a large amount of influence

over how public policy is actually carried out. Lipsky suggests that they too should be seen as part of the policy-making community.

He discusses several pressures that determine the way in which street-level bureaucrats implement policies. These include the problem of limited resources, the continuous negotiation that is necessary in order to make it seem like one is meeting targets, and the relations with (nonvoluntary) clients. Some of the patterns of practice that street-level bureaucrats adopt in order to cope with these pressures, are different ways of rationing the services, and ways of 'processing' clients in a manageable manner.

Lipsky concludes that there are potentially means of changing street-level bureaucracies to become more accountable to 'clients' and less stressful for the 'bureaucrats'. One of the ways of doing this, he suggests, is to move research from the ivory tower and onto the street, for example through conducting research while running a social work centre at the same time.

Publisher: Russell Sage Foundation, New York
Key theme: Political context/Policy process
Academic discipline: Sociology

Long, N and Long, A (eds.) (1992) Battlefields of Knowledge

This collection of essays explores 'knowledge encounters' in everyday life through an actor-oriented analysis, i.e. an analysis that privileges actors' agency and also their different understandings of the world. By extension, this means that any intervention in everyday life – such as policy implementation – will be continuously negotiated and re-constructed by the various actors involved.

'Battlefields of Knowledge' provides an important contribution to the way knowledge is viewed. Usually, knowledge is seen as a fixed entity (a list of facts, a set of recommendations), and there is a clear divide between knowledge and action. The chapters in 'Battlefields of Knowledge', however, view knowledge as a site of contestation and struggles over meaning. Any research ('knowledge for understanding') or practical intervention ('knowledge for action') becomes imbued with various different associations by the actors. The research/policy process is therefore not a case of meaning transfer (as if knowledge were passed unscathed from one stage to the next), but rather a case of meaning transformation (as the knowledge interacts with different actors and acquires new meanings).

Publisher: Routledge, London
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Anthropology

Lukes, S (1974) Power: A Radical View

In his seminal book, Lukes outlines three dimensions of power. The first dimension is the power of A to influence the behaviour of B. This exercise of power is observable and is tied to public conflicts over interests. It is played out in public decision-making processes. Dahl's classical study, 'Who Governs?', defines power in this way.
The second dimension is the power of A to define the agenda, and thus to prevent B from voicing her/his interests in the public negotiation and decision-making process. Potential issues and conflicts are not brought into the open, to the benefit of A and to the detriment of B. This exercise of power can be both overt and covert.

The third dimension is the power of A to define what counts as a grievance, and to mould B's perceptions and preferences in such a way that B accepts that she/he does not have any significant grievances. The power to shape people's thoughts and desires is the most effective kind of power, since it pre-empts conflict and even pre-empts an awareness of possible conflicts. This dimension of power can be played out for example in processes of socialisation, the control of information, and the control of the mass media.

Publisher: Macmillan, London
Key theme: Political context/Current policy discourse
Academic discipline: Political science

Maarek, P J (1995) Political Marketing and Communication

The book provides a thorough introduction to political marketing, its history, foundation, stages, tools and their application as shown in politicians' public relations efforts and electoral processes. Furthermore the book covers campaign organisation, strategies and tactics, as well as media relations in general on a local as well as a global level. The author also discusses the effects of political marketing on political discourse, public opinion and voter participation.

Publisher: John Libbey, London-Paris-Rome
Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Mattelart, A and Mattelart, M (1998) Theories of Communication, A Short Introduction

The first formal model within information theory was Claude Shannon's mathematical model of communication, developed in the 1940s, which laid out a linear schema of production, transmission, channel, receiver, and destination. This model views technology as an instrument that is merely inserted into (human) calculations, plans and predictions. The reaction to the mathematical model came when social science researchers started emphasising the circular nature of communication. Even the smallest situation of interaction is determined by so many variables that a linear schema can only obscure more than it clarifies, and instead they suggest analysing interaction through looking at different levels (such as the communication between the actual elements of the message, the communication embodied in the human/social relations involved, the communication implied by previous messages, the communication of the message in relation to wider society). This approach argues that it is also necessary to take into account the large amount of 'silent' messages that surround every pronounced message, such as the implicit understandings of gestures, space, linguistic codes, time, ways of relating, and ways of disagreeing or reaching agreements. From this perspective, both the 'sender' and the 'receiver' are equally important actors.

Publisher: Sage Publications, London
Key theme: Message and media/Media communication and IT
Academic discipline: Media and communication

Maxwell, S (2000) Is Anyone Listening?

This paper starts from the observation that there is a lot of research activity, with an uncertain impact on policy. It briefly reviews various inputs into the debate on research/policy linkages, and highlights the need to understand the policy process and to attempt to see issues from the policy-makers' perspective. This includes the need to develop a more thorough understanding of policy that includes policy implementation; 'policy is what policy does'. It also touches on ways of making use of 'policy narratives' and 'epistemic communities', as well as entrance points into the literature on

campaigning. The paper concludes that if researchers are to have an impact on policy, they need to build up an understanding of how policy is made and how it is implemented.

Publisher: Paper prepared for GDN annual meeting in Tokoyo, December 2000. GDNet
Full document: (http://nt1.ids.ac.uk/gdn/tools/respol.htm)
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

McMaster, T, Vidgen, R T and Wastell, D G (1997) Technology Transfer: Diffusion or Translation?

Diffusion theory developed in the 1960s and has had considerable influence on the way both marketing and technology transfer have been analysed. Diffusion theory assumes that an innovation (idea, practice, object, or technology) is communicated outwards through social systems, and that it is a matter of time before the innovation becomes widely accessible. The speed at which the innovation is diffused depends on its perceived advantages, its compatility, its comprehensibility, and also on the efficiency of the communication channels. The mass media provides a manifold intensification of this process. Diffusion theory has been challenged by more recent theories, such as actor-network theory (often associated with Bruno Latour), which stress the concept of translation rather than diffusion. Actor-network theory distances itself from the view that innovation and technologies are stable entities that are passed from person to person and then put into use. This view predicates a separation between 'society' and 'technology', where technologies are seen as independent of the different people they are transferred between. Instead, actor-network theory sees technologies as parts of networks between actors. The technologies only 'make sense' when used by an actor, and this actor will always have certain interests and roles. When technologies are transferred within and between actor-networks, they make sense in different ways depending on the way they are translated by the actors, and the way they used to sustain or challenge the network.

Publisher: In McMaster, T, Mumford, E, Swanson, E B, Warboys, B and Wastell, D, (eds.) Facilitating Technology Transfer through Partnership. Chapman and Hall, London, on behalf of IFIP.
Key theme: Message and media/Media communication and IT
Academic discipline: Anthropology

McPherson, P K (1994) Accounting for the Value of Information

Traditionally, value has been accorded to whatever could be measured in monetary terms. Therefore it is difficult to incorporate the value of information into traditional accounting and institutional practices, given that information is an intangible asset and non-quantifiable in conventional economic terms. This tension is becoming all the more apparent as information, intelligence and knowledge are rapidly gaining importance relative to fixed assets. The value of information lies, for example, in reducing uncertainty and risk, and in improving coordination and efficiency.

McPherson argues that it is necessary to develop methodology for assessing the value of information within a system, as a rigorous method of accounting for information value will help convince those who still adhere to the traditional view of value in monetary terms. He draws up a model for assessing information value, which emphasises integrated value and multi-dimensional spatial thinking. His article shows the importance of handling information as a valued asset both in its own right, and as an integrated aspect of all other assets/technologies.

Publisher: Aslib Proceedings 46(9): 203–215
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Information and knowledge management

Meyer, C (1997) The political economy of NGOs and information sharing

To a large extent, information sharing is what nongovernmental organisations (NGOs) do, and the costs of sharing information are falling dramatically. Joining politics and economics, this paper builds an analytical framework to illuminate how these falling costs are affecting information-intensive NGOs in Latin America. Case studies describe the various information-sharing outputs and inputs of nonprofit, NGO production. I argue that the participatory activity of NGOs affects both political and economic realms, and that as the costs of sharing information fall, NGOs will be a more powerful link in the changing balance between states, markets, and civil society.

(Abstract from World Development)
Publisher: World Development 25(7): 1127–1140
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Development management

Mohanty, C T (1988) Under Western Eyes: Feminist Scholarship and Colonial Discourses

Mohanty examines how research on women in the Third World has been shaped by the interests and standpoint of Western feminists who have taken the West as the primary referent. The research on Third World women has frequently been characterised by representations of 'the Third World Woman', a monolithic and passive subject who is variously presented as the victim of male violence, the universal dependant, trapped in the patriarchal family, or subordinated by religious doctrines. The Third World Woman serves as Other not only to men, but also as Other to the implicit self-representations of Western women. While the Third World Woman is ignorant, poor, tradition-bound, sexually constrained, and generally lacks agency, the Western woman is educated, modern, has control over her body, and the freedom to make her own decisions. Mohanty seeks to show that while Western feminist researchers may draw legitimacy from being members in a 'global sisterhood', thus implying that they are well suited to represent Third World women and have the same interests as them, this covers over the vast differences between different groups of women and the power relations between these groups. She concludes that (feminist) scholarship is inherently political, and that it is necessary to challenge the ideology that portrays research as a 'disinterested' inquiry.

Publisher: Feminist Review 30: 65–88
Key theme: Political context/Information age
Academic discipline: Anthropology

Mosley, P, Harrigan, J and Toe, J (1995) Aid and Power – Second Edition The World Bank and Policy-based Lending

In the introduction to the second edition the authors point out some of the recent changes of importance in terms of the operation of the World Bank and its role in shaping the development arena and discourse. They point to the fact that the World Bank can be diagnosed as an institution which suffers from a chronic ambiguity of, and conflict between, objectives. Over time it moves uneasily between four major roles.

These, the authors argue, are (i) a financial intermediary between world capital markets and its own borrowers – 'the bank as a bank'; (ii) an instrument for the advancement of the interests of the rich countries who are its majority shareholders; (iii) an evangelist seeking changes in the beliefs and behaviour of developing countries' governments; and (iv) an agent for the net transfer of resources from rich to poor countries.

The authors argue that in the last 15 years the Bank has placed increasing focus on the role as evangelist, with the introduction of policy-based lending with the aim to influence policy more effectively. In a nutshell the story presented in the book, argues the authors, is about the conflict between objectives (iii) and (iv) in the context of adjustment lending.

Publisher: Routledge, London
Key theme: Political context/Current policy discourse
Academic discipline: Political science

Mosse, D (forthcoming) The Making and Marketing of Participatory Development

Mosse briefly outlines two traditional views of development policies: the instrumental view of policy as problem solving, and the critical view that perceives policy to be a cover for state or institutional power. These views both ask how policy influences and shapes practice. Mosse argues that it is more useful to ask the reverse, i.e. how practice sustains and protects policies. Through analysing the making of a participatory rural development project in India, he shows that the policies did not primarily serve the function of guiding action. Rather, they served the vital function of interpreting and legitimising the action that was taken. In other words, the policies were not turned 'downwards' to implementation and field activity, as commonly assumed, but instead were turned 'upwards' as validating codes in relation to higher policy authorities.

The representations used in policy (in this case the system of representations surrounding 'participatory development') may even be seen as commodities that are marketed upwards and outwards because this is the recognised currency to be used in exchanges with donors. In this way policies can be used to secure funds and to garner higher political support. Policies as systems of representations are also able to present one coherent version of reality. Although several divergent voices and versions exist on the ground, policy as a system of representations is able to cover over these differences and can thus define the project as a 'success' – a necessary criteria for the project to be able to carry on.

In sum, Mosse suggests that the policy process is not a process where policy is followed by practice. Rather, the policy process is a matter of practice needing to be followed up by policies, both in order to interpret as well as justify the practice. Policies should be understood as interpretive frameworks rather than as guides to action. Mosse concludes that 'For policy to succeed it is necessary it seems that it is *not* implemented, but that enough people firmly believe that it is.'

Publisher: In Quarles van Ufford, P and Giri, A K (eds.) A Moral Critique of Development: In Search of Global Responsibilities. Routledge, London and New York.
Key theme: Political context/Policy process
Academic discipline: Anthropology

NCDDR (1996) Review of the literature on dissemination and knowledge utilisation

They offer some useful frameworks about the use of knowledge: (i) conceptual (which changes attitudes), instrumental (changes practices), strategic (achieves goals, such as increase in power); (ii) spread (one-way diffusion of information), choice (process of expanding access to sources), exchange (interactions), implementation (increasing use of knowledge or changing attitudes and practice). Ideas about how knowledge diffuses have not greatly changed over the years, for example, that there is a cultural and needs gap between researchers and users, but information technologies have transformed practice. The notion of learning taking place on a blank slate still prevails in many schools, whereas constructivist theories point out the obvious fact that learners filter knowledge through pre-conceived ideas and people make sense of ideas based on their prior experience. People

change their beliefs only when serious discrepancies emerge in their thinking and practice. The source of information is more important than the content, for example people accept information more readily from those they trust, e.g. dairy farmers trust each other more than experts. Comprehensibility has more impact than quality. They also summarise key ideas from social marketing, e.g. audience segmentation (dividing your audience into different groups and designing different information, training, rewards etc.). Identity and cultural differences will also play their part in deciding how information will be received.

Neilson, S (2001) Knowledge Utilisation and Public Policy Processes: A Literature Review

For many social science researchers, influencing policy makers and/or decision makers is an intended result or expectation of their research. Development researchers are no exception, least of all because they want to know if their research has had an impact on people's everyday lives in terms of poverty, food insecurity, malnutrition or environmental sustainability. As a result, IDRC's Evaluation Unit is undertaking a study that will examine these main questions: (i) what constitutes policy influence in IDRC's experience; (ii) to what degree and in what way has IDRC-supported research influenced public policy; and (iii) what factors and conditions have facilitated or inhibited the public policy influence potential of IDRC-supported research projects. This study will serve two main purposes: (i) to provide learning at the program level which can enhance the design of projects and programs to increase policy influence where that is a key objective; and (ii) to create an opportunity for corporate level learning which will provide input into strategic planning processes as well as feedback on performance.

As part of the study, this paper presents the main bodies of work that address the issue of research influence on policy. A considerable literature exists detailing the nature of policy processes, and on whether and how research does or does not inform public policy. There are numerous frameworks and/or models found within the literature to help explain or represent knowledge utilisation in decision-making, as well as frameworks explaining how policy change occurs. The first section of the literature review presents an overview of the knowledge utilisation literature including its views on the use of knowledge and research in decision-making. The two most enduring findings from this literature are discussed: (i) Caplan's theory regarding the behavioural differences or 'cultural gap' between researchers and policy makers; and (ii) Weiss' 'enlightenment function' of research. As well, various ideas and meanings of 'research' and 'use' are also considered. The second section provides a synopsis of the various policy process frameworks. These include: (i) linear; (ii) incrementalism; (iii) interactive; (iv) policy networks; (v) agenda-setting; (vi) policy narratives; and (vii) policy transfer.

Each of these conceptualisations has different implications for the extent to which research is able to influence policy, and for how research could be designed to influence policy. Moreover, each has different implications for who are considered to be the main decisions makers in society, and/or to whom the research should be addressed. Further, while much of this literature reflects Northern or developed country settings, some acknowledges the diversity of policy contexts throughout the world.

The final section of this paper will address a number of issues. Few studies examine issues related to research quality and/or completeness in terms of considering the analysis in relation to policy development. Additionally, the notion of perceived influence brought forth by Diane Stone looks at

the use of inappropriate evaluation indicators, political patronage and the selective use of research for legitimisation rather than policy development (Stone, personal communication, 2001). Krastev's concept 'faking influence' also recently emerged which addresses issues related to the idea that perhaps it is not the strength of the research institution of or the research itself, but the weakness of the other players that allows for 'policy influence'. This posits the question, has this research, or research institution, truly influenced policy, or is the research being utilised merely because policy makers need solutions and these are the only available solutions? The issue of quality, along with the issues of perceived influence and faking influence, lead us to question whether policy influence should always be construed as a positive development outcome? Finally, this paper explores issues associated with two new areas, which for the purpose of this paper will be called generally as 'new policy fields' and 'new policy environments'. New policy fields covers those fields related to such things as information and communication technologies (ICTs), genetics and tobacco control. New policy environments that encompass policy fields which may not be considered as new (i.e., economics, environment, health and education), but are being developed in newly independent states (e.g., Ukraine, countries in Central Asia). The question here is how the policy processes in these areas work to either facilitate or inhibit the use of research in new policy fields or new policy environments.

Newbold, C (1995) Approaches to Cultural Hegemony within Cultural Studies

Newbold briefly charts the rise and decline of the hegemony approach within media studies/cultural studies. Media studies focused primarily on psychological and sociological frames in the 1960s and 70s, studying the effects of media on audience attitudes and behaviour. Since then it has expanded its scope, in interaction with cultural studies, to also include analyses of the wider cultural environment within which media operates. The cultural effects theory suggests that the media is embedded in the relations that constitute a particular society, working both to produce and reflect powerful interests and social structures.

One of the big debates within this field has been concerned with the extent to which the media is an ideological instrument that serves the interests of the elites, or whether it provides strategic spaces for resistance and change of social systems. One approach to this question uses Gramsci's concept of hegemony, and views the media as communicating a dominant version of culture as if no other version existed, i.e. portraying a certain vision of society as though it were simply 'natural' and not a product of historical and political processes. This applies both to the symbolic codes used in media communication, as well as to the way in which media communication is generated. The 'naturalisation' of the codes and the production process pre-empts further questioning. However, media studies/cultural studies has brought this debate further by including a human experience approach, which recognises the struggle over meaning involved, and the polysemic nature of the message. The media may communicate culture, but this is not simply a process of pushing out the dominant culture. Rather, the communication of culture is a process whereby culture is experienced and lived out by the audience; culture, according to Raymond Williams, constitutes 'structures of feeling'.

Key theme: Message and media/Media communication and IT
Academic discipline: Media and communication

Norris, P (2001) Digital divide? Civic engagement, information poverty and the internet in democratic societies: Can the Internet change the national distribution of power and income?

Will the Internet transform conventional forms of democratic activism, or only serve to reinforce the existing gap between the technologically rich and poor? Will it level the playing field for developing societies, or instead strengthen the advantages of post-industrial economies? Will parties, interest groups, and governments use the Net to encourage interactive participation, or will the technology be used as another form of 'top-down' communications?

This book argues that the political role of the Internet reflects and thereby reinforces, rather than transforms, the structural features of each country's political system. In some, voluntary organisations and community groups mobilise people into politics. In others, citizens often become active via strong mass-branch party organisations. In yet others, grassroots social movements involve people in protest politics, such as direct action to protect the environment. The Net becomes a common resource which different agencies can use in the attempt to generate public support and to influence the policy process. The Internet thereby alters the mobilising structure, providing new points of access into the political system, creating new possibilities for collective action, organisational linkage across distances, and informal networks.

Part I of the book sets out the theoretical framework in the Internet Engagement Model which suggests that use of the new technology can be understood as the product of resources (like time and money), motivation (like interest and confidence) and the structure of opportunities (such as how social networks and political actors use the Internet). It locates the discussion within broader theories of social communications and civic engagement. It distinguishes the global divide meaning inequalities of Internet access between countries, the social divide between groups within societies, and the democratic divide between those online who do, and do not, use political resources on the Internet. Chapters 2 and 3 then discuss the trends in global access to the internet and the social divisions in the online community, including gaps of gender, class and generation.

Part II compares the structure of opportunities for political use of the Internet, in terms of the news environment, political parties and campaigns, civic society and the government. Part III then examines the impact of attention to the Internet for news and political engagement, considers the major explanations of net civic engagement, and evaluates the main policy options for reducing the digital divide.

Much of the focus is on OECD countries, especially the United States and the 15 member states of the European Union.

(Summary taken from http://ksghome.harvard.edu/~.pnorris.shorenstein.ksg/book1.htm)
Publisher: John F. Kennedy School of Government (KSG), Harvard University
Key theme: Message and media/Media communication and IT
Academic discipline: Political science

Nutley, S, Walter, I and Davies, H (2002) From Knowing to Doing: A framework for understanding the evidence-into-practice agenda

This overview paper aims to map out the terrain of research utilisation and evidence-based practice (RU/EBP) through examining six inter-related areas.

1. Types of knowledge. RU/EBP does not just require know-how, but also know-who and know-why. This type of knowledge is often based on more tacit understanding – such as 'craft expertise' – rather than explicitly systematic investigation.

2. Types of research utilisation. It is emphasised that research may be used in different ways, ranging from instrumental use that results in practical/behavioural change, to conceptual use that results in changes in understanding and attitude. Conceptual change is perhaps the most important impact that research can have long-term.

3. Models of the process of utilisation. The shift from a linear model of research/policy linkages ('research into practice') to a multi-dimensional model ('research in practice') is echoed in the shift from researcher-as-disseminator to practitioner-as-learner.

4. Conceptual frameworks. Different conceptual frameworks are often used implicitly to frame the RU/EBP problem in a specific way. The paper briefly outlines six possible conceptual frameworks: diffusion of innovations, institutional theory, managing change in organisations, knowledge management, individual learning, and organisational learning.

5. Main ways of intervening to increase evidence uptake. Broad-based approaches to securing long-term change face three key challenges: cultural challenges when dealing with multiple cultures; logistical challenges arising from difficulties with information systems and access to resources; and contextual challenges linked to differences in learning among different groups.

6. Different ways of conceptualising what RU/EBP means in practice. Four different 'types' or dimensions are suggested: i) the evidence-based problem solver, who has an individual and day-by-day, case-by-case focus; ii) the reflective practitioner, who uses observational data to learn from the past and adjust for the future; iii) system redesign, which emphasises the importance of reshaping total systems, often in a centrally driven way; iv) system adjustment, which refers to system level 'single-loop' learning.

Peterson, S B (1998) Saints, Demons, Wizards and Systems: Why information technology reforms fail or underperform in public bureaucracies in Africa

Peterson asserts that the great potential of IT for public administrative reforms in Africa has not been realised, and reviews possible reasons for this. The focus is on both the actors involved and the importance of the cultural environment. He argues that information systems development is a highly personalised process, and therefore individuals can have significant impact both as promoters and as saboteurs. Thus he classifies the various actors as saints (pro-reform), demons (anti-reform), and wizards (IT specialists), and draws the conclusion that information systems development in Africa often fails because there are too few saints, too many demons, and inappropriate wizards. The cultural environment also plays a part. Since African bureaucracies may operate with personalised authority structures and a certain lack of continuity over time, introducing IT systems may be resisted by those who would lose power as information brokers, and reforms may be short lived.

This illustrates the highly contingent nature of information systems, and their embeddedness in surrounding political structures and human relationships. Changes in information systems cannot be pushed through without also considering the changes that will ensue in organisational lay-out, power structures, and cultural understandings. Peterson concludes that information systems development is a highly personalised, contingent and political process, and therefore should be treated as a craft rather than a science.

Key theme: Message and media/Media communication and IT
Academic discipline: Information and knowledge management

Philo, G (1996) Seeing and Believing

What leads people to accept or to reject the portrayal of an event in the news? Philo analyses a case study of the television news coverage of the Miners' Strike in the mid-1980s and the extent to which the news was believed to be 'true' by the audience. The news coverage selectively focused on violent incidents, portraying an image of the picket lines as primarily violent places. In Philo's general audience sample, 54% believed that picketing was indeed mostly violent. Some important reasons given by the audience for believing the television story were the perceived credibility of the source (historically and culturally mediated trust in the BBC), as well as the impact of the visual images – seeing is believing. However, the remaining 46% of the audience sample did not accept the story as it was portrayed by the news. One of the most important grounds for rejection was direct or indirect experience of the issue, e.g. through having driven past picket lines or through knowing miners. Another ground for rejection was comparison between the television coverage and other sources of information, such as newspapers. In addition, some people were sceptical due to their perception of the political agenda of the television news.

The portrayal of the miners' strike as violent stuck in the minds of over half the sample audience, strongly influenced by the visual images. Footage and photographs carry a lot of weight as credible evidence in information societies, and are seen as more 'neutral' or 'true' than written reports. However, this was not enough to make the news coverage stick as a credible story in all of the sample audience. In sum, how people understand and interpret news depends on the extent to which the news is compatible with their existing cultural/political beliefs, their direct and indirect experience, and their ability to compare the television account with various other accounts.

Key theme: Message and media/Media communication and IT
Academic discipline: Media and communication

Porter, R W and Prysor-Jones, S (1997) Making a Difference to Policies and Programs: A Guide for Researchers

This guide to researchers presents a practical and collaborative approach to the three-way communication between researchers, policy-makers and communities. It suggests specific actions that researchers may take to communicate more effectively at different stages of the research process (defining the questions, developing the proposal, conducting the study, communicating the results). Suggestions include: involve potential users in defining the questions, establish relationships of trust, clarify which decisions the research wants to influence, choose appropriate research methods, involve users in data collection and analysis, communicate the results in appropriate ways to the different groups involved, formulate clear recommendations.

Key theme: Bridging research and policy/Theory
Academic discipline: Development management

Price, N (2001) The performance of social marketing in reaching the poor and vulnerable in Aids control programmes

The article reviews evidence on the impact and effectiveness of condom social marketing programmes (CSMPs) in reaching the poor and vulnerable with information, services and products in the context of HIV/AIDS/STD prevention and control. Ideally, the success of CSMPs would be judged by whether they contribute to sustained improvements in sexual health outcomes at the population level. Given methodological and attribution difficulties, intermediary criteria are employed to assess effectiveness and impact, focusing on changes in behaviour (including condom use) among poor and vulnerable groups, and access by the poor and vulnerable to condoms, services and information. It remains difficult to reach definitive conclusions about the extent to which CSMPs meet the sexual health needs of the poor and vulnerable, due largely to reliance on sales data for CSMPs monitoring and evaluation.

CSMPs (like many health programme strategies) have traditionally collected little information on client profiles, health seeking behaviour, condom use effectiveness, and supply-side issues.

Recent data indicate that CSMPs are unlikely to be pro-poor in their early stages, in terms of the distribution of benefits, but as CSMPs mature, then the inequities in access diminish, followed by reduced inequities in condom use. The paper assesses the extent to which social marketing is effective in improving access for the poor and vulnerable using a number of variables. In terms of economic access, it is evident that low-income groups are particularly sensitive to CSMPs price increases, and that a cost-recovery focus excludes the poorest. Convenience is significantly improved for those who can afford to pay, and CSMPs appear to be addressing social and regulatory constraints to access. Conventional CSMP monitoring systems make it difficult to assess the effectiveness of behavioural change IEC strategies, although data on this dimension of social marketing approach are beginning to emerge.

Pross, P (1986) Group Politics and Public Policy

In examining the policy process in the Canadian system of parliamentary governance, Pross found that it was not sufficient to focus only on the decision-makers themselves. It is necessary to also take into account the various interest groups and even the larger milieu that has an interest in policy areas (such as health, transportation) and which exerts some kind of influence on the policy process. Pross introduced the concept of 'policy communities' to incorporate these diverse actors into the analysis. Within the policy community, he differentiates between the sub-government and the 'attentive public'. The sub-government consists of influential politicians, departments, strong interest groups, and relevant international organisations. The attentive public is made up by any actors with an interest in following current policy-making and implementation, such as less influential politicians and departments, smaller interest groups, journalists, academics, and citizens in general.

The most interesting difference between the sub-government and the attentive public, is that the sub-government actors and institutions have a vested interest in the existing order. Therefore they will usually support approaches that sustain the status quo. The attentive public, on the other hand, have a greater interest in being critical of the status quo, and are therefore more likely to produce creative ideas and novel approaches.

Puchner, L (2001) Researching Women's Literacy in Mali: A Case Study of Dialogue among Researchers, Practitioners, and Policy Makers

In this article Puchner reflects on the dialogue between her as a researcher in Mali and other practitioners and policy-makers. Her fieldwork in Mali revealed that the adult literacy programs she observed had little impact; few women became literate, and those who did learn to read did not gain any significant benefits from this. Puchner emphasised, in her research findings, that narrow literacy programs therefore need to be reconsidered and changed. However, she experienced that dialogue between her as a researcher and policy-makers and practitioners had little effect. In sum, the research/policy dialogue was insufficient to bring about change. Puchner holds herself responsible for this, and puts forward possible reasons and suggestions.

- First, the research topic and process was initiated by her, and therefore based on her interests, rather than being initiated by practitioners/policy-makers in Mali.
- Second, the traditional format of the dissertation she was required to write up is not amenable to communicating with practitioners/policy-makers, and the work of transforming it into shorter articles takes a long time. She reasons that she should have written it in a different format.
- Third, since she spent some of her time in Mali assisting practitioners, she understood the difficulty of their situation, and was therefore a bit more hesitant to make controversial or 'impractical' policy recommendations. This was also linked to cultural differences between her as an 'outsider' and the local practitioners/policy-makers.

She concludes that although her research may be of interest to other scholars in the field, it would be far more useful if the research contributed to practice and policy. In order to bring this about, there needs to be changes in the relationships between researchers, practitioners and policy-makers, so that each of them incorporates the others in their own projects.

RAWOO (2001) Utilisation of Research for Development Cooperation, Linking Knowledge Production to Development Policy and Practice

This collection of lectures examines the utilisation of research results from different angles. They draw on Carol Weiss' concept of 'knowledge creep' and highlight that research is not present as a ready packaged set of options for policy makers; rather, research is there as part of the constant information stream (Waardenburg). They wish to move away from the linear model of knowledge production, and instead draw up a model that charts interaction between promises, anticipation and feedback, realisation, and overlapping 'knowledge reservoirs'. The combined effect of this interaction results in the co-production of knowledge. One of the main challenges emerging from this model is to facilitate various actors' access to knowledge reservoirs (Rip).

Other models following on from this include the participatory and the interactive models of innovation processes. Both these models highlight the need for a shift from research centres to local users in order to bring about user-led innovation processes, which value trust relationships, mutual learning, and knowledge integration (Bunders). A case study from a community of slum-dwellers in India is presented. The case study shows that it is both possible and useful to use the community

itself as the site of knowledge production, which entails locating the design and execution of research processes within the community. The result in this case was a process where research and political advocacy by the community and its outside partners fed into each other (Patel).

The epilogue emphasises that the shift away from a linear model reflects the new mode of production of knowledge in our society. Research now has to be utilised through networks and dialogue. This point is brought home through reference to a study of research utilisation among a group of policy-makers. This study found that the one decisive factor influencing research utilisation was that the initiative had come from the policy-makers themselves and not from external researchers (Waardenburg).

Publisher: Publication no. 21, Netherlands Development Assistance Research Council, The Hague
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Riley, P (1983) A Structurationist Account of Political Culture

The theory of structuration is proposed as a means of studying organisational culture. This paradigm is used to investigate one of the most significant and fascinating aspects of culture – organisational politics. This study compares organisational political symbols from two professional firms – one routinised and one nonroutinised – in order to investigate the interrelationships of subcultures and to identify the structures that govern the political nature of organisational culture. The results suggest that organisational culture should be viewed as a system of integrated subcultures, not as a unified set of values to which all organisational members ascribe.

(Abstract from Administrative Science Quarterly)
Publisher: Administrative Science Quarterly 28(3): 414–437
Key theme: Actors/Organisational management
Academic discipline: Organisational management

Robertson, A F (1984) People and the State: An anthropology of planned development

In this book Robertson traces the emergence of the notion that development can be 'planned'. He maps the Western historical and cultural context of the current stress on planning, and shows how planning has now become one of the principal means of exercising political power, especially by modern states, and has been replicated almost all over the world. There are several interesting points to note regarding the present ubiquitous discourse of planning development. Firstly, planning was once a novel approach, but is now often regarded as routine and bureaucracy, and the political power relations involved are therefore often hidden. Secondly, although development policies differ across contexts, the wider notion that development can be planned is remarkably unitary; (at least in the early 1980s when Robertson wrote his book; there is now an increasing focus on process approaches to development).

A necessary precondition for planning is some degree of predictability. Development policies often 'produce' this predictability through using simplified models of reality. For example, Robertson explores the models of 'community' used in development, and finds that they often portray the community as a harmonious and homogenous group of people that will all react in the same way to an external stimulus (such as policy implementation). This model enables policy-makers to draw up coherent plans.

Robertson concludes with some reflections on the role of (anthropological) research in sustaining or challenging the discourse of planning. He suggests that research which aims to make certain groups

(e.g. slum-dwellers) intelligible to certain other groups (e.g. policy-makers, academics) is corrupt. Instead, research should attempt to engage in mutual explanation between groups, and broader explanations for popular use (e.g. making the planning process more accessible and amenable to change).

Publisher: Cambridge University Press, Cambridge
Key theme: Political context/Policy process
Academic discipline: Anthropology

Robinson, D, Hewitt, T and Harriss, J (1999) Why Inter-Organisational Relationships Matter

The chapter starts off by describing the way in which the development arena has moved from practices referred to as serial monogamy to more complex and polygamous behaviours. With more cooperation between aid agencies, a shift can be seen from aid-based to rules-based development. Attention is turned more towards defining sector-wide programmes and macro level change. In inter-organisational terms, this might be described as a move from interaction generated by operational needs, to attempts to build more enduring relationships. There are major challenges in place trying to make sense of the underlying politics of the notion of cooperation, with focus on the real conflicts of interest and agenda which persist in all areas, and how these are managed.

The process of negotiation over development lies at the heart of the idea of 'public action', as a broad idea covering the purposeful manipulation of the public environment by a range of actors. This perspective involves looking at what strategies for cooperation there are (collaboration, advocacy, opposition), and choosing between them, as well as the development of skills for working with the different strategies. The starting point is that there are three 'ideal' modes of inter-organisational relationships: competition (market, firms), coordination (state, government at all levels), and cooperation (civil society, NGOs, trade unions). The authors recognise that often there are significant overlaps between what might be considered state, market and voluntary organisations, and often they work together in various arrangements.

Competition: The institutional framework for organising competition is provided by the market, thus the World Bank is pointed out as one of the principal proponents of competition as the basis for development. The use of the term is broad, including competition for scarce resources, ideas, constituencies, values and definitions of needs.

Coordination: The most common notion of coordination is rule-regulated and hierarchically organised, generally associated with the state as a legitimate controller and coercer. In its positive sense, coordination by the state is based on the notion of a liberal state deriving its legitimacy through systems of elected representation. However, coordination, generally associated with hierarchies, is a relationship of power, which can be used or abused. Coordination has been a key form for organising development practice, but the context is changing, and the central actor, the government, has changed from all encompassing provider to that of a regulator.

Cooperation: Cooperation tends to be associated with voluntary organisations, as non-hierarchical and with all parties involved on an equal basis with each other. Cooperation assumes power based on knowledge, expertise, and/or contribution, rather than power derived from hierarchy. On its positive side it is seen as a process of consensus building and sharing in public action. However, as already indicated, talk of cooperation frequently disguises power relations in the name of equality.

Publisher: In Robinson, D, Hewitt, T and Harriss, J (eds.) Managing Development: Understanding Inter-organisational Relationships. Sage, London

Key theme: Actors/Networks and inter-organisational linkages
Academic discipline: Development management

Roe, E (1991) Development Narratives, Or Making the Best of Blueprint Development

Roe argues that development policies are often based on arguments, scenarios and narratives that do not stand up to closer scrutiny. Frequently the narratives are directly contradicted by experience in the field. In spite of this, the narratives persist and continue to inform policy-making. The most obvious reaction is to dismiss the narratives as myths or ideologies, and to call for more rational policy-making or a more learning-based process. However, Roe suggests that this will not have any great effect, because the ideals of rationality and learning would not automatically fulfil the needs that the narratives do, and thus are likely to be discarded in practice.

Instead, it is necessary to first try and understand why policy so often leans on narratives, and why policy-making apparently 'learns less and less' over time, before attempting to reform it. Narratives have several functions. Importantly, they are a way of dealing with the uncertainty and ambiguity that characterises development activity. There is a strong pressure to produce and reproduce simplifying narratives, especially in situations where difficult and ambiguous decisions have to be made. Narratives are able to transform a chaotic reality into an ordered and comprehensible sequence of events.

Roe suggests that the best way of reforming outdated narratives is to engage with them, either by trying to improve the narrative itself, or by introducing counter-narratives (i.e. making the best of blueprint development).

Publisher: World Development 19(4): 287–300
Key theme: Political context/Policy process
Academic discipline: Anthropology

Rogers, E (1995) Diffusion of Innovations

Rogers, perhaps the most widely known diffusion theorist, in his fourth book presents a comprehensive overview of issues and problems related to diffusion. These include the generation of innovations, socioeconomic factors, the innovation-decision process, communication channels, diffusion networks, the rate of adoption, compatibility, trialability, opinion leadership, the change agent, and innovation in organisations.

The book makes use of the important concepts of uncertainty and information. Uncertainty is the degree to which a number of alternatives are perceived with respect to the occurrence of an event and the relative probabilities of these alternatives. Uncertainty motivates an individual to seek information. Information is a difference in matter-energy that affects uncertainty in a situation where a choice exists among a set of alternatives. One kind of uncertainty is generated by an innovation, defined as an idea, practice, or object that is perceived as new by an individual or another unit of adoption. An innovation presents an individual or an organisation with a new alternative or alternatives, with new means of solving problems. But the probabilities of the new alternatives being superior to previous practice are not exactly known by the individual problem solvers. Thus, they are motivated to seek further information about the innovation to cope with the uncertainty that it creates.

Information about an innovation is often sought from near-peers, especially information about their subjective evaluations of the innovation. This information exchange about a new idea occurs through a convergence process involving interpersonal networks. The diffusion of innovations is essentially a

social process in which subjectively perceived information about a new idea is communicated. The meaning of an innovation is thus gradually worked out through a process of social construction.

(Taken from the book's preface)
Publisher: Free Press, New York
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Information and knowledge management

Rondinelli, D (1993) Development Projects as Policy Experiments: An adaptive approach to development administration

Rondinelli argues that most development policies are based on the assumptions that reality is manageable and that the future is predictable. This results in universal and 'technical' solutions to development 'problems', and therefore many policies are inappropriate and far removed from the reality they are trying to influence. Rondinelli suggests that a more helpful way of viewing development policies is to approach them as 'social experiments'. Experiments take into account the underlying uncertainty and the necessity of trial and error in order to learn. Experiments also take into account that the unexpected may happen, and that both problems and solutions may have to be redefined along the way. Policy-making then becomes less a matter of prediction and implementation, and more a matter of questions and discoveries. Rondinelli links this to wider concerns about the importance of continuous learning, flexibility, and opportunities for local ownership of the policy process.

Publisher: Routledge, London
Key theme: Political context/Policy process
Academic discipline: Development management

Ryan, J (1999) Assessing the impact of rice policy changes in Viet Nam and the contribution of policy research

The marketing and policy research on rice of the International Food Policy Research Institute (IFPRI) is described, and the conclusions and recommendations that emerged are discussed in the context of the decision-making processes in Viet Nam. From extensive interviews the author describes the perceptions of partners and stakeholders of the influence of the outcomes of the IFPRI project. They show that the research was regarded as being of high quality, independent, rigorous, and timely. A strong foundation of primary and secondary data gathering and analysis from Viet Ham gave the modelling work on policy options a high degree of credibility among key policymakers. Linking the spatial equilibrium model with income distribution analysis based on national household surveys allowed IFPRI to satisfy policymakers that relaxing rice export quotas and internal trade restrictions on rice would not adversely impact on regional disparities and food security and would have beneficial effects on farm prices and poverty. These were major concerns of policymakers prior to the project. The research on these and other policy options gave a degree of confidence to policymakers that relaxing the controls would be in Viet Nam's national interest. They made these decisions earlier than would have been the case without the IFPRI research. A framework for the evaluation of policy research and advice is described.

(Abstract taken from the paper)
Publisher: Impact Assessment Discussion paper 8. International Food Policy Research Institute (IFPRI), Washington, DC
Key theme: Bridging research and policy/Case studies
Academic discipline: Political science

Ryan, J (2002) Synthesis Report on Assessing the Impact of Policy-Oriented Social Science Research

This report from a conference on the impact of research, notes that the key factors determining the impact of research are: quality and perception as an honest broker; timeliness and responsiveness; long-term in-depth collaboration; receptive policy environment; primary and secondary empirical data and simple analysis; trade-offs between immediate and sustainable impacts; choice of partners; consensus for change among stakeholders; cross-country experience. One participant (at their conference) made the point that research is often used to confirm, rather than challenge, received wisdom while another claimed that the element of surprise increases the value of research. Another explained that when engaged in negotiation with policy-makers, it can be imperative to answer questions with research findings within hours or even minutes. Strengthening the research and policy capacity of developing country institutions was seen as a priority. A small consortium on Policy-Oriented Social Science Research, led by the International Food Policy Institute, was decided upon.

Publisher: International Food Policy Research Institute (IFPRI), Washington, DC
Full document: www.ifpri.org/impact/iadp15.pdf
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Sabatier, P and Jenkins-Smith, H C (1999) The Advocacy Coalition Framework: An Assessment

This chapter examines the link between research and policy in terms of an 'advocacy coalition' framework, which aims to take into account the importance of various coalitions between certain policy-makers, influential actors and pressure groups. The coalitions form on the basis of shared beliefs and values, as actors/institutions who share a similar perspective forge relationships with each other. Advocacy coalitions therefore consist of various different actors, including different government agencies, associations, civil society organisations, think tanks, academics, media institutions, and prominent individuals.

There are competing advocacy coalitions within each policy domain, and in general one of these coalitions will be dominant and wield greater power over the policy process than other coalitions. Sabatier and Jenkins-Smith argue that research findings will inevitably be shaped by the competition between the different coalitions. They also note that academics and think tanks have a far greater chance of being heard when there are like-minded influential politicians in the dominant advocacy coalition. When this is said, they see a productive and potentially influential role for research, particularly in assisting coalitions to produce better arguments and to monitor the claims of their opponents. While actors in advocacy coalitions do not usually relinquish their core values and beliefs, they are open to changes of 'secondary importance' such as specific policy formulations, and it is here that research has a role to play.

Publisher: In Sabatier, P (ed.) Theories of the Policy Process. Westview Press, Boulder
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Saywell, D and Cotton, A (1999) Spreading the Word. Practical guidelines for research dissemination strategies

This book offers a literature review of sources that have provided insights on research dissemination both in the UK and outside. They conclude that researchers should consider the potential impact of their outputs much more carefully before producing reports. They identify organisational, practical and psychological barriers to the effective dissemination of information and four explanations of how

information influences policy: the 'rational' model (making information available is sufficient); the limestone model (information trickles like water through porous rock), the gadfly model (information gets through because dissemination is prioritised as much as research itself), and insider model (researchers exploit links with policy-makers).

While they found that non-UK researchers planned a strategy for disseminating information, the UK researchers produced lengthy outputs for a homogenised audience with little strategy for influencing. There should be more consultation between information producers and users of research on the types of outputs and strategies required for dissemination. They argue for (and give examples of) the need for dissemination plans, designing different kinds of outputs for different audiences and considering dissemination from the beginning of a project rather than the end. Their very varied case studies illustrate which dissemination strategies work in which contexts, ranging from very practical advice about translating research outputs into local languages, to more abstract principles about how dissemination can be useful if seen as a process of mutual learning. They also offer specific suggestions to contractors and DFID as well as useful checklists of questions for researchers about planning effective dissemination, plus advantages and disadvantages of different dissemination 'pathways' (e.g., manuals, networks, briefs…).

Publisher: Water, Engineering and Development Centre, Loughborough University
Key theme: Message and media/Knowledge management and research relevance
Academic discipline: Information and knowledge management

Shankland, A (2000) Analysing Policy for Sustainable Livelihoods

While the sustainable livelihoods (SL) framework has proved a valuable way of structuring micro-level studies of livelihoods, it gives little guidance on how to link those findings with macro-level issues or with policy analysis. Bottom-up livelihoods analysis is often seen as too context-specific to guide policy making and top-down analysis misses the complexity. To bridge this gap, three elements are needed: (i) a model of interactions between policy and livelihoods, (ii) a clearer understanding of the role of social and political capital, (iii) an approach to policy analysis that draws on and feeds into SL analysis.

Shankland's suggestions about how to improve policy analysis are particularly useful. He emphasises the need to distinguish between institutions ('rules of the game') and organisations ('players') and analyse their relative strength as well as links with the public in respective countries. Implementation is part of the policy process, he argues. Policies are broad statements of intent, while policy 'measures' take specific forms, e.g. laws, projects. Policy making works quite differently in different sectors (e.g. scientific arguments are important in some, lobbying by professional groups are vital in others). Furthermore, local conditions and power relations often limit or distort the channelling of policy. The key characteristics of a policy measure are: design, commitment, resources, links (between 'champions' of the measure), and time. He also offers a checklist for analysing policy for sustainable livelihoods, with a detailed explanation of the questions, and suggested methodologies in an annex.

Publisher: Research Report 49, Institute of Development Studies (IDS), University of Sussex
Key theme: Political context/Policy process
Academic discipline: Development management

Smircich, L (1983) Concepts of Culture and Organisational Analysis

This paper examines the significance of the concept of culture for organisational analysis. The intersection of culture theory and organisation theory is evident in five current research themes: comparative management, corporate culture, organisational cognition, organisational symbolism, and unconscious processes and organisation. Researchers pursue these themes for different purposes and their work is based on different assumptions about the nature of culture and organisation. The task of evaluating the power and limitations of the concept of culture must be conducted within this assumptive context. This review demonstrates that the concept of culture takes organisation analysis in several different and promising directions.

(Abstract from Administrative Science Quarterly)
Publisher: Administrative Science Quarterly 28: 339–358
Key theme: Actors/Organisational management
Academic discipline: Organisational management

Stacey, R (1995) The Role of Chaos and Self-Organisation in the Development of Creative Organisations

Drawing on chaos theory (transported from the physical sciences to social science issues), Stacey discusses the possibilities of moving away from 'equilibria' models of organisation to models that focus on nonlinear networks. He argues that the 'nonlinearity' of networks – e.g. the spontaneous relations formed between people, the irregular sharing of information, the informal learning processes that occur through interaction, etc – is precisely what makes networks such valuable sites for innovation. In formal institutions, the networks that form often function as 'shadow organisations' that creatively interpret and modify official strategies. More importantly, the informal networks continuously generate new and alternative strategies. Those unofficial strategies that survive and are picked up by various actors through the informal channels and networks, will normally after a time become institutionalised, thus making them official. This reinforces the control of the formal management and provides some stability. However, new unofficial ideas and responses will already be forming. Stacey argues that this constant interaction between stable organisational elements and unstable informal networks is vital if an organisation wishes to succeed.

Publisher: In Albert, A (ed.) Chaos and Society. IOS Press, Amsterdam
Key theme: Actors/Networks and inter-organisational linkages
Academic discipline: Organisational management

Stern, N and Ferreira, F (1997) The World Bank as an 'Intellectual Actor'

Admirers and critics of the World Bank commonly agree on a surprising view of the institution: the principal function of each loan is to serve as an ideological Trojan horse. It is the critic who will term this ideological and having pejorative intent. The admirer will make the same point using different language, speaking of the Bank as not mere bank but a 'development agency', citing the technical assistance, training, and advice that it provides, as well as its contributions to development research. Both critics and admirers see loans as lever and packaging for the transmission of those ideas.

The chapter provides an examination of the Bank as a source and a transmitter of thinking on economic development. The main author (Stern) looks for originality and scientific power in the Bank's work as a creative centre of development studies. He also examines the way in which ideas about development have been part of the Bank's practical, operational life – including a large part of 'operations' that consists of doctrinal persuasion. Stern is unable to cite any significant, pioneering scientific contribution. Loosening the criteria, however, he speaks of the Bank's 'intellectual

leadership' with respect to structural adjustment during the 1980's. But Stern admits, the Bank's analytical role was not pathbreaking, the underlying theories and views were not new.

(From Introduction to Volume 2)
Publisher: In Kapur, D, Lewis, J and Webb, R (eds.) The World Bank – Its First Half Century.
Brookings Institution, Washington, DC.
Key theme: Political context/Current policy discourse
Academic discipline: Political science

Stone, D, Maxwell, S and Keating, M (2001) Bridging Research and Policy

This paper is about the relationship between research and policy – specifically about how research impacts on policy, and about how policy draws on research. It might be thought that the relationship is straightforward, with good research designed to be relevant to policy, and its results delivered in an accessible form to policy-makers – and with good policy-making securely and rationally based on relevant research findings. In fact, this is far from the case. As a taster, Box 1 gives ten reasons why the link from research to policy might not be straightforward.

Sometimes research is not designed to be relevant to policy. Sometimes it is so designed, but fails to have an impact because of problems associated with timeliness, presentation, or manner of communication. Sometimes (probably quite often) policy-makers do not see research findings as central to their decision-making. The relationship between research and policy is often tenuous, quite often fraught.

To observe as much is not new. There are literatures on the question in many social science disciplines – in political science, sociology, anthropology, and management, to name a few. Our purpose here is to review some of these literatures and to draw out the implications for both researchers and policy-makers. The starting point is a discussion of what is meant by 'policy' and the 'policy process'. The rational, linear model of policy-making – which summarises a logical sequence from problem definition, through analysis of alternatives, to decision, implementation, and review – is the traditional approach. We will see shortly what is wrong with this. Accordingly, the paper begins (Section 2) with a brief review of thinking on policy, presenting alternative models, and setting out a framework for thinking about the interaction between research and policy. It then deals successively with the challenge facing researchers (Section 3) and policy-makers (Section 4). Can the range of advice already offered to researchers be extended? And can policy-makers be helped by new ideas such as evidence-based policy-making and performance-based evaluations? The Conclusion (Section 5) draws these threads together, suggesting that the impact of research is uncertain and contingent on social and political context.

(Introduction taken from paper)
Publisher: An international workshop funded by DFID, Warwick University, 16–17 July
Full document: www.gdnet.org/pdf/Bridging.pdf
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Struyk, R (2000) Transnational Think Tank Networks: Purpose, Membership and Cohesion

This short paper provides a brief overview over issues related to think tank networks. Think tank networks are different from public policy networks in that think tank networks are usually made up of organisations with more or less the same interests and fundamental views. In this respect they are similar to epistemic communities. Think tank networks are typically characterised by webs of

relatively stable relationships and informal interactions based on these relations. They are also generally non-hierarchical, and attempt to pool and share resources in a mutual manner.

Struyk lists four criteria that can be used to classify different types of networks: (i) Objective. This can be for example efficient flow of knowledge among members, or specific spheres of influence; (ii) Incentives for participation. The costs involved can be miniscule, or can increase as members are required to attend conferences and contribute regularly. These different types of effort required also bring different types of benefits, ranging from access to information to greater visibility and influence; (iii) Basis for membership. Networks can be completely open, or restricted in various ways; (iv) Network coherence. This refers to the degree to which the network manages to build effective working relations and a sense of community amongst its members.

Struyk goes on to apply these criteria to various existing networks. He highlights the fact that two-thirds of the networks have a specifically regional focus, which may be an advantage as far as knowledge sharing and policy influence are concerned.

Publisher: Urban Institute, Washington DC
Key theme: Actors/Networks and inter-organisational linkages
Academic discipline: Development management

Sutton, R (1999) The Policy Process: An Overview

The paper offers an introduction to analysis of the policy process. It identifies and describes theoretical approaches in political science, sociology, anthropology, international relations and management. It then reviews five cross-cutting themes: a) the dichotomy between policy-making and implementation; b) the management of change, c) the role of interest groups in the policy process; d) ownership of the policy process; and e) the narrowing of policy alternatives. The paper concludes with a 21-point checklist of 'what makes policy happen'. A glossary of key terms is also provided. The key argument of the paper is that a 'linear model' of policy-making, characterised by objective analysis of options and separation of policy from implementation, is inadequate. Instead, policy and policy implementation are best understood as a 'chaos of purposes and accidents'. A combination of concepts and tools from different disciplines can be deployed to put some order into the chaos, including policy narratives, policy communities, discourse analysis, regime theory, change management, and the role of street-level bureaucrats in implementation.

Publisher: ODI Working Paper 118, Overseas Development Institute, London
Full document: www.odi.org.uk/publications/abswp118.html
Key theme: Political context/Policy process
Academic discipline: Political science

Tilly, C (2000) Introduction: Violence viewed and reviewed

In this brief introduction, Tilly outlines three broad approaches to explaining why people choose certain actions: the ideas approach, the behaviour approach, and the relations approach. Tilly concentrates on explanations of why people choose to use violence, but the three approaches are transferable to other areas as well.

1. The ideas approach stresses the importance of people's environment for how they perceive the world and choose to act. People acquire beliefs, values, rules, and goals from their environment, and consequently try to act out various socially acquired ideals.
2. The behaviour approach focuses on people's motives, impulses, aggressive drives, and general needs for domination, control, respect, and protection. Some proponents of this approach base

their arguments on evolutionary biology, while others refer more generally to psychological theories.

3. The relations approach highlight interchanges between persons and groups. They claim that people develop their identity and choices through various relations with others. This perspective privileges an inevitable degree of unpredictability and creativity in people's decision-making, since interpersonal or inter-group relations are inevitably dynamic.

Publisher: Social Research 67(3)
Full document: www.newschool.edu/centers/socres/vol67/673intro.htm
Key theme: Actors/Perception and decision making
Academic discipline: Sociology

Varey, R J (2002) Marketing Communication – Principles and Practice

The book takes an interesting look at traditional marketing communication theory and seeks to challenge the models used. It points to the relative stagnation in the understanding of communication issues in marketing theory, and the need to draw lessons from communication and cultural theory in order to arrive at a more useful and interesting approach to communications. The author is particularly critical of the linear transmission (transactional) approach to communication (as seen for instance in Kotler's work). Furthermore, he emphasises that communication must be seen as a social process consisting of individual and collective communicative activities, with tangible and intangible exchanges in social relationships by creating, maintaining or altering attitudes and/or behaviours. Whereas the traditional models emphasise individual behaviour, he points to the fact that identity, meaning and knowledge do not arise in the individual's mind in isolation from their environment.

Traditional marketing communication theory focuses on the individual, with a simple stimulus-response model. It considers primarily the effects of single messages or campaigns on identified individuals. Audiences are seen as passive, with no active interpretation or power to challenge the message content. Contemporised marketing communication theory focuses on cognitive and critical perspectives on the cultural effects of advertising on social reality, beliefs, values, knowledge claims, socialisation and hegemony. The theory assesses the cumulative effect of marketing communication as central to meaning production in our post-industrial consumer society. This implies a view of communities as interpretative using an interactive model. Meaning is not transferred or shared, but jointly produced in social 'interaction'.

In an assessment of the politics of communication models, the author argues that most of us are still operating in outmoded instrumental-technical modes of communication in pursuit of control. Communication is seen as a conduit for the transmission of information, but information conceptions only work in situations in which consensus of meaning, ideas, identities, and construction of knowledge can be taken for granted; far from the real world of today. The author argues, furthermore, that language is contextual, and that we are responsible for creating our own context for understanding. He also provides some indication as to what the key factors ensuring the success of communicating a message are: communicator credibility, communicator attractiveness, and communicator power.

Publisher: Routledge, London and New York
Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Volkow, N (1998) Strategic Use of Information Technology Requires Knowing How to Use Information

Information technology is often promoted as the solution to most of the information and communication problems that organisations face today. IT is marketed as a technology with the competitive advantage in terms of increasing productivity and communication efficiency, and in facilitating responsiveness. Volkow argues that these assertions are myths, and that use of IT is not enough to improve performance. She looks at the importance of the wider national context as well as the specific organisational history and management style. If organisations are to benefit from IT, they have to consider to what extent their structures and practices are geared towards handling information itself (quite apart from which technology is used), and how favourable the organisational culture is for learning from errors.

She also points out that information systems are social systems. Therefore information systems change must be developed in tandem with investment in the people who are to use the systems, because they are at least as important to ensure the efficient working of the system as the technology itself. The human element in the use of information and IT means that information systems are inevitably 'messy' processes, and this is best dealt with if the people concerned are viewed as valid contributors to the process, rather than attempting to rule them out through relying on top-down implementation models.

Publisher: In Avgerou, C (ed.) Implementation and Evaluation of Information Systems in Developing Countries. Proceedings of the Fifth International Working Conference of the International Federation for Information Processing (IFIP) IFIP WG 9.4
Key theme: Message and media/Media communication and IT
Academic discipline: Information and knowledge management

Watzlawick, P (1978) One Cannot Not Communicate

Watzlawick disputes the notion that communication is a deliberate exchange of information that only happens as a result of intentionality. Instead, he expands the concept of communication to include all behaviour in the (physical or virtual) presence of another person. The tacit dimensions of communication can be unintended, but still have an enormous impact on the reaction and subsequent behaviour of the other person. Behaviour can only be 'non-communicative' if there is no other person present in any way. Once another person is present in some way, all behaviour becomes communicative; hence the axiom 'one cannot not communicate'.

Publisher: Watzlawick interviewed by C Wilder, in Journal of Communication 28(4)
Key theme: Message and media/Interpersonal communication and advocacy
Academic discipline: Media and communication

Weiss, C (1977) Research for Policy's Sake: The Enlightenment Function of Social Research

For a long time the perception of how research related to policy was strongly influenced by linear and rational models, which focused on overcoming the distance between 'knowledge-producers' (researchers) and 'knowledge-consumers' (policy-makers). The assumption was that research is directly useful to policies, and therefore the solution lies in engineering the flow of knowledge from researchers so that it reaches policy-makers intact.

Weiss disputes the traditional model, and instead argues that social science research influences policy in other and less direct ways. Importantly, research introduces new concepts and thus incrementally alters the language used in policy-circles. Also, glimpses of new ideas and approaches may slightly alter the perception and understanding of policy-makers and advisors. Therefore, even though

research findings are not directly employed in a specific policy, they still on the whole exert a relatively powerful influence over the terms used and the way issues are framed and understood. Weiss calls this the 'enlightenment function' of research. She also introduces another visual image to describe the process, namely 'percolation', which refers to the way in which research findings and concepts circulate and gradually infiltrate policy discourse.

Publisher: Policy Analysis 3(4): 531–545
Key theme: Bridging research and policy/Theory
Academic discipline: Political science

Williams, R (1973) Base and Superstructure in Marxist Cultural Theory

Williams develops a model for examining cultural formations in a society, in order to explore the interplay between power relations manifested in cultural understandings (drawing on Gramsci's concept of hegemony) and in the everyday lived experience of these cultural understandings ('common sense'). Williams suggests that it is useful to approach this topic through looking for three different forms of cultural formations: dominant, residual and emergent. Dominant cultural formations control most of the field, but never all of it. Residual formations are carried over from the past and are usually rooted in religious or rural practices. Emergent formations are those that present previously unimaginable social practices (the classic example being the early feminist movement). Residual and emergent formations can be either 'alternative' or 'oppositional'. Alternative cultural suggestions seek to adapt to the general framework of the existing dominant formation, whereas oppositional trends seek – at least originally – to replace dominant practices.

Publisher: New Left Review 82
Key theme: Political context/Current policy discourse
Academic discipline: Political science

Williamson, J (1996) Decoding Advertisements

Since different product brands within any one category (deodorants, paper towels, chocolates, etc) are not actually very different, the first thing an advertisement must do is to create a differentiation. This is done through constructing an image attached to the commodity itself. The image (e.g. 'French chic') conjures up a range of properties that the commodity (e.g. a perfume) is then implicitly associated with. This is a process of transferring meaning from one realm and attaching it to a product. Advertisements attempt to transfer meaning for example through the way they locate images next to each other on a page. This meaning transference only works if the target group are able to understand the meanings of the implied associations (the associations of French chic), and are able to make the meanings their own (identifying with the ideal type as desirable, and making it confirm attributes of one's own identity). In sum, advertisements work because they do not attempt to sell a product; instead they sell an image, associations, meaning, ideal identity, and confirmed identity.

Publisher: In Marris, P and Thornham, S (eds.) Media studies, A Reader. Edinburgh University Press, Edinburgh
Key theme: Message and media/Marketing communication
Academic discipline: Marketing

Wood, G (1985) The Politics of Development Policy Labelling

Wood argues that all social communication makes use of 'labelling', and that development policies are themselves eminent examples of this. Policies ascribe labels to groups and situations (e.g. 'the poor', 'the landless', 'the women', etc), and this is an act of simplification that highlights one

dimension of people's lives while covering over several other aspects. To a certain extent, simplification and labelling are necessary in order to make sense of the world, and everyone who communicates uses labels. But it is important to be aware that labels are also elements of a power relationship in which whoever successfully imposes labels on a group has the means to (unwittingly) control and regulate the situation.

Therefore, when analysing a policy process or a policy domain, it is useful to examine firstly whose labels prevail, and secondly what type of policies the labels are seen to justify. In conclusion, Wood suggests that research could aim at 'democratising' the labels used in development policies in three ways. First, it is important to draw attention to those labels that enjoy a monopoly, and to examine whose labels they are. Second, it is often possible to identify contradictory elements within the policy labelling process, and such contradictions provide good opportunities for raising questions about the issue. Third, research can produce alternative labels in order to encourage debate and to support a more democratic policy process. Wood emphasises that this third step should ideally be undertaken together with the groups in question, i.e. the target group or 'beneficiaries' of the policy.

Indexes

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