BIBLIOGRAPHY OF WHO MEASURES CHANGE

SOURCES AND READINGS ON PARTICIPATORY MONITORING AND EVALUATION OF COMMUNICATION FOR SOCIAL CHANGE

COMPILED BY WILL PARKS FOR THE COMMUNICATION FOR SOCIAL CHANGE CONSORTIUM

Contents

This Tool aims to provide you with further references on HIV/AIDS, Communication and PM&E. Suggested material is taken from the internet, books and journal articles.

The following topic areas are covered:

DISCLAIMER:
THIS TOOL IS NOT A COMPREHENSIVE COLLECTION
BUT AN ONGOING COMPILATION OF RESOURCES

1. COMMUNICATION FOR SOCIAL CHANGE

Deane, J. and Gray-Felder, D., *Communication for Social Change: A Position Paper,* **1999. New York: The Rockefeller Foundation.**

Created following exploratory meetings with practitioners and academics addressing the question of how communication for development issues can be better sustained, this publication argues that participatory approaches to communication need to be revitalized and put to greater use in current communication practice. It reports on the Rockefeller Foundation's meeting in Cape Town, South Africa in which definitions, terminilogy, indicators and assessment of communication for social change was agreed upon.

Fraser, C. and Restrepo-Estrada, S. 1998. *Communicating for Development: Human Change for Survival.* **London: I.B. Tauris Publishers.**

Arguing that widespread changes in human attitudes and behaviour are vital to ensure a secure, sustainable future, this book focuses on using communication processes for facilitating those changes. The authors show through analysis of specific projects throughout the world how communication has been used to mobilize societies, to facilitate democratic participation, and to help people acquire new knowledge and skills.

Gumucio-Dagron, A. 2001. *Making Waves: Stories of Participatory Communication for Social Change.* **New York: The Rockefeller Foundation.**

This report is a collection of fifty "case stories" of people across the world – living in poor communities across the world – seizing control of their own life stories and beginning to change their circumstances of poverty, discrimination and exclusion. Cases were selected for their use of communication of social change principles. The examples show that participatory communication can adopt different forms according to need, and that no blueprint model can impose itself over the richness of views and cultural interactions.

Gumucio-Dagron, A. Text from unpublished article,

2004. *Communication for Social Change: A key for participatory development.* **Guatemala City: CFSC Consortium, Inc.**

John Hopkins University, 2003. *How to mobilize communities for health and social change resource list.* **Baltimore: Johns Hopkins University, Bloomberg School of Public Health Center for Communication Programs (CCP).**

An alphabetical bibliography on community mobilization containing references between 1980-2002, produced from the Health Communication Partnership, Johns Hopkins, Bloomberg School of Public Health.

Khadka, N. B., 2000 'The participatory development communication paradigm: Communication challenges and change,' *Australian Journal of Communication,* **27 (3), 105-122.**

The importance of a participatory development communication paradigm has been recognized in light of criticism of the development communication paradigm, which is based on modernization and dependency theory. The participatory development communication paradigm is assumed to involve full participation of stakeholders in the design, development, implementation and evaluation stages of a project. This paper demonstrates the challenges of achieving full participation of people in a communication program based on a case study of projects undertaken in Nepal.

Minkler, M., Ed. 1999. *Community Organizing and Community Building for Health.* **New Brunswick: Rutgers University Press.**

Premised on the belief that community organizing and community building must occupy a central place in community health education, health promotion, and related fields in the 21st century, this book advocates for the adaptation and use of community organizing principles and methods in response to a host of public health issues, such as HIV/AIDS, violence, and legal and illegal substance abuse. It also advocates for a "purer" approach to community organizing – a process through which communities are helped to identify common problems or goals, mobilize resources, and in other ways develop and implement strategies for reaching the goals they collectively have set. In the latter process, the professional's role is one of helping to create the conditions

in which community groups, rather than outside experts, can determine and set the health agenda and then act effectively to help transform their lives and the life of their community. Also discusses community building – an orientation to community that is strength-based rather than needs-based and stresses the identification, nurturing, and celebration of community assets.

PANOS. 2003. *Giving voice: practical guidelines for implementing oral testimony projects*. **London: PANOS.**

The manual is a practical companion to the PANOS book *Listening for a Change*, which explored the ideas behind the methodology and looked at different examples of oral testimony and development. The training manual is based on several years experience of working at community level, often with groups with no previous experience. It will be particularly useful for the coordinator or project manager of a potential oral testimony project. Throughout the publication there are checklists, summaries of key points, and ideas for discussion which have been designed to be photocopied and used or adapted as handouts for interviewers and/or participants in a training workshop.

Servaes, J. Jacobson, T.I. and White, S.A. Eds., 1996. *Participatory communication for social change. Communication and Human Values*. **New Delhi: Sage Publications.**

A collection of 15 essays on participatory communication, divided into sections on general theoretical perspectives, methodologies, and case studies.

Servaes, J. Ed., 2003. *Approaches to Development: Studies on Communication for Development*. **Paris: UNESCO, Communication and Information Sector.**

This multi-author compendium offers interesting insights and examples to prove that the field of communication for development is alive and kicking.

Soul City, 2001. Social Change: *The Soul City communication experience*. **Johannesburg: Soul City.**

An evaluation of the fourth series of Soul City, a mass media health promotion intervention which uses television, radio and print media. The fourth series includes a partnership with National Network on Violence Against Women (NNVAW) to extend the advocacy, community action and support components

of the programme. The evaluation of the fourth series is wide-reaching and complex, consisting of a number of linked studies, and is among the largest of its kind in the field of health communication worldwide. The Soul City 4 evaluation comprehensively and systematically investigated and documented the impact of Soul City 4 at a number of levels; data consistently and strongly supported the conclusion that Soul City 4 had led to social and behavioural changes. It had also contributed to people maintaining positive behaviour when it already existed.

Thompson, B., Coronado, G., Snipes, S. A. and Puschel, K., 2003. 'Methodologic advances and ongoing challenges in designing community-based health promotion programs,' *Annu. Rev. Public Health*, **24 (3), 15-40.**

Researchers have supported community intervention trials as a means to achieve sustainable change in health behaviors. This paper reviews the challenges of and advances made by community intervention trials.

UNFPA. 2002. *Communication for Development Roundtable Report: Focus on HIV/AIDS communication and evaluation. November 26-28, 2001, Managua, Nicaragua. Organized by UNFPA with The Rockefeller Foundation, UNESCO, and The Panos Institute*. **New York: UNFPA.**

White, S.A. with Nair, K.S. and Ascroft, J., Eds. 1994. *Participatory Communication: Working for change and development*. **New Delhi: Sage Publications.**

Divided into four parts, the authors defend participation as the basis of real democracy and call attention to the difficulties related to the participatory process. Part 1 provides different perspectives on participation. Part 2 considers participatory approaches and models. Part 3 looks at participatory decision making and action. Part 4 focuses on participatory message making. The book shows that participation is not a panacea or a total solution for social change. Also clarifies the role of dialogical communication as a crucial tool for participation.

2. Internet Sites

http://www.communicationforsocialchange.org

The Communication for Social Change (CFSC) Consortium is a network of people and organizations dedicated to the belief that innovative communication processes are critical to development of poor and historically marginalized communities The Consortium seeks to increase the capacity of communication specialists, development workers, aid agencies, nonprofit organizations and communities to use communication for social change concepts in order to improve the lives of those who have been long excluded.

http://www.communicationforsocialchange.org/body-of-knowledge.php

This is a comprehensive, searchable body of knowledge about communication for social change and its principles of voice, dialogue, equity and participant-driven sustainable change …developed by the Communication for Social Change Consortium.

http://archives.healthdev.net/sea-aids/

SEA-AIDS is a regional forum established by The Foundation du Present to encourage debate and information sharing, guided by principles of respect and tolerance. The aim of The Foundation du Present is to distribute community-based information to forge local to international consensus on HIV/AIDS. This web page is up to date archive of HIV/AIDS information for people who are living or working with HIV/AIDS within the Asia and Pacific region.

http://archives.healthdev.net/af-aids/

AF-AIDS a regional forum established by The Foundation du Present to encourage debate and information sharing guided by principles of respect and tolerance. This web page is an up to date archive of HIV/AIDS information for people who are living or working with HIV/AIDS within the Sub-Saharan region.

http://www.actionaid.or/resources/Impactassessment/impact.shtml

Site contains information on two CDRoms which are available free. CDRoms include films of village and town community alliances in Sierra Leone and Malawi, and report on three years' research on people's representation. The objective of the research was to facilitate resource poor communities to analyse and represent their own needs and priorities. The Community Alliances took their tapes to negotiate with government and donors. The CDRoms can also be obtained from SServices@actionaid.org.uk.

http://www.aidspan.org

Aidspan is a United States non-profit organization whose mission is to provide an independent voice to the Global Funds activities in the fight against AIDS, tuberculosis and malaria. Global Fund is a public and private partnership to distribute billions every year in new and established programs against AIDS, tuberculosis and malaria through grants. In addition Aidspan works with developing countries to assist in the process of grant application submitted to the Global Fund.

http://www.aegis.org

Aegis is a grassroots non-profit and educational corporation dedicated to the information dissemination on HIV/AIDS, believing education is the key in the battle against HIV/AIDS. This site has an HIV Daily Briefing with the latest news updated hourly.

http://www.cadre.org.za/

The Centre for AIDS Development, Research and Evaluation (CADRE) is a South African non-profit organisation working in the area of HIV/AIDS social research, project development and communications. CADRE's website provides access to a wide range of contemporary HIV/AIDS social research, conference papers, communication materials, Journ-Aids and links to HIV/AIDS organisations.

http://www.cdc.gov

The CDC is a major operating component of Department of Health and Human Services, an American federal agency with a public health and safety focus. It aims to offer credible information to enhance health decisions and promote health in partnership with other health

agencies. This website has A-Z index of health and safety topics including HIV/AIDS and provides professional and general information, guidelines, research and national statistics.

http://www.eldis.org

This international development webpage contains a wide range of information, online resources and links with other development organizations, documents, library catalogues and website databases.

http://www.iaen.org

The International AIDS Economic Network's focus is to reduce the economic impact of HIV/AIDS and promote cost effective measures through the provision of data, tools and analysis.

http://www.ids.ac.uk/sourcesearch/source.htm

"Source" is an international information support centre designed to strengthen the management, use and impact of information on health and disability. Source contains three major databases: bibliographic; contacts; and newsletters and journals. The bibliographic database gives references to over 22,000 health and disability information resources. These include books, manuals, reports, posters, videos and CD-ROMs. Many materials are from developing countries and include both published and unpublished literature not easily accessible elsewhere. A particular useful resource for PM&E can be found at:

http://www.ids.ac.uk/sourcesearch/cf/ bsubjectdirectory.cfm ?No=sd&display=basic &Search=QL_impact04DK&title=Impact%20a ssessment%20in%20complex%20developme nt%20situations

This is a list of key resources that address the challenges of assessing the impact of development interventions. There is a focus on the impact of information products, services and projects. An additional selection of materials looks at development impact from a 'network' evaluation perspective – by tracking changes in relationships over time, and comparing this to what might be expected from a project's objectives.

http://www.interaction.org/evaluation/resources.html

This webpage has established a bibliography of evaluative resources on international development written between 1978-2000.

http://www.ird.ne/partenariat/rense/homeuk.html

This website contains global articles and Internet sites related to monitoring and evaluation of international development. This site welcomes articles for addition to the current database.

http://www.kff.org

The Henry J Kaiser Family Foundation is a non-profit, private organization that focuses on major health issues including HIV/AIDS. This website targets the academic community and provides information for policy makers, media and the general public. This organization conducts research and communication programs often in partnership with other organizations.

http://www.mande.co.uk

A very useful collection of monitoring and evaluation resources, news, updates, and internet discussion groups.

http://www.unaids.org/EN/default.asp

UNAIDS is a joint venture of the nine United Nations organizations working in 100 countries advocating global action on the HIV/AIDS pan-epidemic. It pro motes prevention of HIV transmission, the reduction of the epidemic's impact on individuals and communities and provides care for those with HIV/AIDS. UNAIDS aims to: provide leadership and advocacy; provide information to guide global action: involve the civil society; track the epidemic and evaluate the effectiveness of interventions.

http://www.worldbank.org

A sub-division of the United Nations, The World Bank Group's mission is to eliminate world poverty using development initiatives for low to middle income countries. It offers technical advice, policy assistance, low interest loans/interest free credit and grants to developing countries, focusing on community

driven projects that lead to empowerment. The World Bank is the largest external sponsor of HIV/AIDS projects and recently launched the Multi-country HIV/AIDS Program (MAP's) to provide resources to civil organizations in the fight against HIV/AIDS.

http://who.int

This is the established international United Nations agency for health governed by 192 member states through the World Health Assembly. The WHO mission is for all people to attain the highest possible level of health through leading global and national policy, research and technical support. An important initiative is the 'Three by Five' that aims to provide HIV/AIDS treatment for 3 million people by the year 2005.

3. Community Development, Gender, and Participation

Botes, L. and van Rensburg, D., 2000. 'Community participation in development: nine plagues and twelve commandments', *Community Development Journal,* 35 (1), 41-58.

Community participation in development projects has been investigated intensely by both development thinkers and practitioners over the past few decades. This article outlines impediments and guidelines for successful participatory development through an analysis of the South African urban upgrade, assessing the dynamics of community participation.

Brock, K., 1999. *"It's not only wealth that matters – it's peace of mind too": a review of participatory work on poverty and illbeing*. Washington, D.C.: World Bank.

As part of the *Consultations with the Poor* project, this paper examines participatory work conducted in 23 countries outside of national Participatory Poverty Assessments. This study explores micro level analysis of poverty and wellbeing and participatory work being undertaken in this area by NGOs, research institutes and advocacy organizations.

Cernea, M.M., Ed. 1991. *Putting People First: Sociological Variables in Rural Development*. Oxford: Oxford University Press. Second Edition.

A classic text arguing that people are – should be – the starting point, the centre, and the end goal of each development intervention. "Putting People First" criticizes the neglect of social or cultural dimensions, the rigidity of blueprint thinking in project design, the focus on commodities rather than on the social actor, the disregard for local knowledge, and the indifference toward people's grassroots institutions and organizations. Draws on case studies of irrigation, settlement and involuntary resettlement, livestock, fishery, forestry, and rural road projects. Includes discussions participation and evaluation.

Guijt, I. and Shah, M.K. Eds. 1998. *The Myth of Community: Gender Issues in Participatory Development*. London: Intermediate Technology Publications.

Does a partnership between gender and participation offer opportunities for more equitable development? What opportunities for learning might result? Generally participatory approaches have suffered from a lack of awareness about the implications of gender issues, a lack of appropriate gender methodologies and often organizational disinterest. Even when women's participation has been actively sought, development practitioners have generally assumed that if women were present during community discussions they were able to express their opinions or, when discussions were held separately with women, that their concerns were integrated into dominant decision-making structures. Acknowledging that this is not necessarily the case has meant developing methods that allow for the more meaningful involvement of women, better gender analysis and learning to deal with the conflicts that can arise in such processes. However it is not only the field of participatory development that is at fault. Gender specialists have often failed to translate conceptual issues into practical implementation. This book explores such problems and offers case studies and guidance on how those engaged in participatory development and gender analysis can better understand social differences in communities and integrate this understanding into their work and organizations.

IIRR. 1996. *Recording and using indigenous knowledge: A manual.* International Institute of Rural Reconstruction, Silang, Cavite, Philippines. http://www.panasia.org.sg/iirr/ikmanual/

Indigenous knowledge (IK) is a valuable resource for development. Under certain circumstances it can be equal to or even be superior to the know-how introduced by outsiders. Development efforts should therefore consider IK and use it to best advantage. Although more and more development professionals have come to realize the potential of IK, it remains a neglected resource. A key reason for this is the lack of guidelines for recording and applying IK. Without such guidelines, there is a danger that IK will become just another

empty buzzword of the sort that litters the history of development efforts. This manual aims to overcome this constraint. It provides government and non-government rural development workers with the information and tools they need to integrate IK into their development work. The design of the manual allows for easy copying and use of the materials in training. The authors hope that this manual will facilitate the use and conservation of indigenous knowledge for the benefit of people and their communities.

Kanji, N., 2003. *Mind the Gap: Mainstreaming gender and participation in development*. London: International Institute for Environment and Development (IIED) and the Institute of Development Studies (IDS).

Gender mainstreaming in development has been supported by feminists and advocates of women's rights. While development organizations claim to incorporate gender issues in development policy and practice, the author questions the extent to which gender mainstreaming has in fact been implemented. This paper reviews the lesson learned from gender mainstreaming in development to assist those trying to institutionalize participation in the policy and practice of development organizations.

Kelly, K. J. and van Vlaenderen, H., 1996 'Dynamics of participation in a community health project', *Social Science & Medicine*, 42 (9), 1235-1246.

Participation is now widely incorporated into community development projects, however little is known about the relational and communicative interactions between community developers and beneficiaries. This paper investigates participatory relationships in a community health development project. Based on interviews conducted with project participants, this study analyses project dynamics within different modes of participation. Authors conclude with recommendations to alleviate problems identified in the study.

Kloos, H., 1998. 'Primary health care in Ethiopia under three political systems: Community participation in a war-torn society', *Social Science & Medicine*, 46 (4-5), 505-522.

Primary health care development in Ethiopia is examined by the author under the political rule of emperor Haile Sellassie, socialist ruler Mengistu Haile Mariam and the rule of Meles Zenawi, a self-proclaimed supporter of democracy and free market economies.

Mubyazi, G.M. and Hutton, G. 2003. *Involving the community: participation in health planning, resource allocation and service delivery*. EQUINET: Network for Equity in Health in Southern Africa .

This study, commissioned by Southern African Regional Network on Equity in Health (EQUINET), reviews the evidence for community participation in health, in terms of community contribution to health planning, resource allocation, and service delivery. The review of the literature shows that studies have some difficulty in proving the success or failures of community participation schemes due to the different perspectives about community participation and different approaches in implementing public participation. One key conclusion drawn by the authors is that, while this study gives an overview of important elements for community participation, it is crucial to understand that these elements must be put into practice through the appropriate channels. Community participation mechanisms only work under certain circumstances. They believe that the diversity of meaning, or interpretations, of the concept "community participation" poses a challenge both in theory and practice. They believe this challenge exposes the need to have a framework for undertaking a sound analysis such as the one developed recently by EQUINET.

Mosse, D., Farrington, J. and Rew, A. Eds. 1998. *Development as Process: Concepts and Methods for Working with Complexity*. London: Routledge.

Narayan, D., Patel, R., Schaffi K., Rademacher A., and Koch-Schulte S., 1999. *Can anyone hear us? Voices from 47 countries*. Washington, D.C.: World Bank.

This paper draws upon 78 Participatory Poverty Assessment (PPA) reports compiled in 47 countries around the world in the 1990s. The authors address common themes emerging from these reports, which are based on discussions with men, women and other stakeholders. The authors draw five conclusions from their study of common patterns of poverty: poverty is multidimensional; households collapse under the stress of poverty; the state has been

ineffective in reducing poverty; informal networks have provided more support to the poor than NGOs; and the fabric of social security for the poor is unraveling.

Narayan, D., Chambers, R., Shah, M. and Petesch, P., 1999. *Global synthesis: consultations with the poor*. Washington, D.C.: World Bank.

Based on research undertaken in 23 countries as part of the *Consultations with the Poor* project, this study attempts to incorporate the voices of the poor into the World Bank's *World Development Report, 2000/1*. The study identified the psychological impact of poverty using participatory methods to listen to the poor. According to the findings, the majority of the poor see themselves as worse off today than in the past. Negative experiences with the government are common and despite the high regard for NGO programs the poor find their own organizations more dependable. Gender relations have also become strained with violence against women on the increase. Part 1 of this study describes how poor people view wellbeing and illbeing. Part 2 describes five problems that trap people in a cycle of poverty: corruption, violence, powerlessness, incapacity and subsistence living. The authors address these problems by discussing the implications for policy and directions for change.

Ndekha, A., Hansen, E.H., Molgaard, P., Woeld, G and Furu, P., 2003. 'Community participation as an interactive learning process: experiences from a schistosomiasis control project in Zimbabwe,' *Acta Tropica*, 85 (3), 325-338.

A project to control schistosomiasis through application of the plant Phytolacca dodecandra was implemented in Guruve District, Zimbabwe, between 1994 and 1998. Local communities in this area were encouraged to grow plants which are toxic to snails of schistosomiasis. Despite the willingness of 97% of the community to take part, only a few households participated in the project. This paper investigates the reasons behind this lack of community participation despite a high level of support for the project.

Rahman, S. H., Mohamedani, A. A., Mirgani, E. M. and Ibrahim, A. M., 1995. 'Gender aspects and women's participation in the control and management of malaria in central Sudan,' *Social Science & Medicine*, 42 (10), 1433-1446.

Based on information collated by the Blue Nile Health Project (BNHP) established in 1980, this study tracks the involvement of women in the control and management of malaria in central Sudan. The study demonstrated the significant role women play in the motivation, organization and health education of communities, and the concern of recipient women in regard to self-protection and family management of malaria. Women constituted 75% of all health instructors and 40% of project beneficiaries involved in BNHP. The authors conclude that BNHP was very successful in recruiting women into the project and may serve as an example for other African countries hoping to increase female participation in health education programs.

Tikare, S., Youssef, D., Donnelly-Roark, P. and Shah, P., 2001. "Chapter 7: Participation" In *Poverty Reduction Strategy Sourcebook, Volume 1 – Core Techniques and Cross-Cutting Issues.* Washington D.C: World Bank.

This chapter provides guidance on the planning and implementation of a participatory process in the context of Poverty Reduction Strategy Papers. It provides options for designers and participants in the planning and implementation of macroeconomic-level participation, including formulation of the initial participation framework, an overview of the participatory process, the role and nature of the participation action plan and detailed examples and guidelines for incorporating participatory processes into the PRSP. Case studies and technical notes are provided.

UNDP- World Bank Water and Sanitation Program South Asia Region. 1998. *Improving User Participation to Increase Project Effectiveness: Community Action Planning in an Adaptive Project - NWFP community infrastructure project*. UNDP – World Bank Water and Sanitation Program South Asia Region.

This field note outlines findings from Process Monitoring of the Community Infrastructure Project (CIP) implemented in Pakistan.

Whitehead, A. and Lockwood, M., 1999. *Gender in the World Bank's poverty assessments: six case studies from Sub-Saharan Africa*. Geneva: United Nations Research Institute for Social Development.

This paper investigates World Bank Poverty

Assessments (PAs) in four sub-Saharan African countries from a gender perspective. The authors demonstrate a lack of consistency of gender analysis evident in PAs conducted and the absence of gender analysis in poverty measurement guidelines. The authors conclude that despite evidence illustrating the different ways in which men and women experience poverty, these findings have had little impact on poverty assessment research led by the World Bank.

World Bank. 1996. *The World Bank participation sourcebook*. Washington, D.C.: World Bank.

This source book assists World Bank task managers to support participatory processes in economic and social development. It brings together key elements of participation and examples of participatory approaches in World Bank operations, to guide readers through the various steps of participatory planning and decision-making, describing a range of participatory methods.

World Health Organization (WHO). 1999. *Community participation in local health and sustainable development: a working document on approaches and techniques*. Copenhagen: WHO. European Sustainable development and Health Series: 4.

Written by a wide range of health and non-health professionals from 12 European cities, this working document aims to offer both practical guidelines and a strategic framework for those professionals wanting to engage in community participation in local health and sustainable development. This paper discusses the concept of community participation and common community participatory methods described within a five category action-planning model.

Yassi, A., Fernandez, N., Fernandez, A., Bones, M., Tate, R.B., and Speige, J., 2003. 'Community participation in a multisectoral intervention to address health determinants in an inner-city community in central Havana', *Journal of Urban Health: Bulletin of the New York Academy of Medicine*, 80 (1), 61-80.

Community participation is now recognised to be central to the success of community-based health interventions. This paper reviews the Plan Cavo Hueso multisectoral intervention implemented in Cuba between 1995 and 1999, which involved programs to improve housing, infrastructure and enhance social

and cultural activities. This paper explores a qualitative study consisting of household surveys and workshops, to evaluate the community participatory process of the project. Authors conclude that despite formal leaders central role in the intervention, the involvement of community-based organizations throughout the intervention process mobilised community participation and created linkages between organizations critical to the success of the program. Furthermore, lessons learned from this experience in Cuba should be applied to health interventions worldwide.

4. HIV/AIDS AND HIV/AIDS COMMUNICATION

Abt Associates South Africa Inc. 2000. *The impending catastrophe: A resource book on the emerging HIV/AIDS epidemic in South Africa*. **Parklands: LoveLife.**

Over three million people are thought to be HIV infected in South Africa. The majority of infections occur amongst young people, and in particular women. This paper provides an overview of the impact of HIV/AIDS on those most at risk and the impact of the epidemic on households and the national economy. This paper presents opportunities for targeted HIV prevention programs in South Africa for younger generations reaching sexual maturity and addresses implications for the education and training sector.

Adeyi, O., Hecht, R., Njobvu, E. and Soucat, A., 2001. *AIDS, Poverty Reduction and Debt Relief: A Toolkit for Mainstreaming HIV/AIDS Programmes into Development Instruments*. **Geneva: UNAIDS/World Bank.**

This paper begins by outlining the benefits of a more prominent position for HIV/AIDS in Poverty Reduction Strategy Papers (PRSPs) and Heavily Indebted Poor Country (HIPC) agreements. The benefits include increased political interest in HIV/AIDS, funding and results from national HIV/AIDS programs. This paper aims to serve as a tool kit to train country teams, NGOs and donor agencies on how to develop materials on HIV/AIDS programs for PRSPs and HIPC documents.

AIDSCAP (n.d.) *Making Prevention Work: Global Lessons from the AIDS Control and Prevention (AIDSCAP) Project* **1991-1997. Arlington: Family Health International.**

Documents the experience of one of the world's largest international HIV/AIDS prevention projects, which was implemented by FHI and its partners in 45 countries. It describes lessons learned during AIDSCAP, with examples and project profiles, in 10 technical and programmatic areas: behavior change communication, improving prevention and treatment of sexually transmitted diseases, prevention marketing, policy development, behavioral research, evaluation, gender and HIV/AIDS, management, AIDS care and support, and cross-border interventions.

Aggleton, P. and Parker, R. 2002. World AIDS Campaign 2002-2003. *A conceptual framework and basis for action: HIV/AIDS stigma and discrimination*. **Geneva: UNAIDS/02.43E.**

Amon, J., Brown, T., Hoyle, J., Mac Neil, J., Magnant, R., Mills, D., Pisani, E., Saidel T., Sow, C.K., 2000. *Surveys BSS: Guidelines for Repeated Behavioral Surveys in Populations at Risk of HIV*. **Arlington: Family Health International.**

Changing risk behaviours is an important part of preventing HIV infection. Risk behaviours include condom use, number of sexual partners and the age that young people become sexually active. Behavioral surveillance surveys (BSS) track HIV risk behaviour over time and have made a significant contribution to informing national responses to HIV. This document serves as a guideline to BSS to act as a comprehensive reference for public health officials. BSS guidelines cover the importance of behavioural surveillance, the survey process, choosing populations, sampling, analysis issues, selecting and adapting questionnaires, data analysis and use, and indicators.

Ananth, P., and Koopman, C., 2003. 'HIV/AIDS knowledge, beliefs, and behavior among women of childbearing age in India'. *AIDS Educations and Prevention*. **15 (6), 529-546.**

The rate of HIV infection has reached roughly 4 million people throughout both rural and urban India. Despite these figures, 68% of sexually active women rarely use condoms during intercourse. This paper addresses the relationship between condom use and HIV/AIDS knowledge and beliefs amongst women of childbearing age in India. Measuring knowledge of HIV transmission amongst women living in four major Indian cities, this study investigates local opinion in relation to HIV testing prior to pregnancy and abortion for HIV-seropositive pregnant women. The authors recommend intervention measures be implemented to dispel common misconceptions regarding HIV transmission, increasing awareness of contraceptive use and HIV testing and promoting choices available to seropositive women.

Awasum, D., Sienche, C., and Obwaka, E., 2001. *Break the silence, talk about AIDS*. **Baltimore: Johns Hopkins University, Bloomberg, School of Public Health, Center for Communication Programs (CCP).**

Authors contest that young African men see football players as role models and often emulate their behavior. Role models and peer pressure utilized an HIV/AIDS awareness campaign implemented between the Confederation of Eastern and Central African Football Associations (CECAFA) and John Hopkins University Populations Services Project (JHU/PCS) during the 1999 Youth Soccer Tournament in Nairobi, Kenya. A mass media campaign ran with tournament soccer players and prominent community leaders discussing HIV/AIDS. The authors' quantitative research determined that the campaign had a positive impact on the fans and players participating in the tournament.

Blake, M., and Babalola, S., 2002. *Impact of a male motivation campaign on family planning: Ideation and practice in Guinea*. **Baltimore: Johns Hopkins University. Bloomberg School of Public Health, Center for Communication Programs (CPP), Field Report No 13.**

Guinea is characterized by low contraceptive use and an increase HIV/AIDS rate within a deficient health system. John Hopkins University designed a Behaviour Change Communication (BCC) program to increase the prevalence of contraceptive use as part of a larger family planning and reproductive initiative through advocacy, and a multimedia campaign. Community participation was ensured through Communication Design and Evaluation System (CODES). Religious leaders were targeted to ensure program support and married men to increase spousal communication and family planning services. Using an ideation model, analysis found that communication between married couples increased significantly, as did contraception knowledge but there not a statistically insignificant increase in contraceptive use

Bouey, P., Saidel, T., and Rehle, T., 1998. *AVERT Version 1.0 – April 1998: A Tool for Estimating Intervention Effects on the Reduction of HIV Transmission*. **Arlington: Family Health International.**

AVERT, designed and developed by Family Health International's AIDS Control and Prevention (AIDSCAP) Project, calculates the impact of prevention interventions on the transmission of HIV through sexual intercourse. This tool kit has been prepared as a guide for people with minimal experience in modeling. It offers a simple tool for the computer program, designed to calculate the reduction rate of HIV infection over a given period of time following an intervention.

Campbell, C., and MacPhail, C., 2002. '**Peer education, gender and the development of critical consciousness: participatory HIV prevention by South African youth**.' *Social Science & Medicine*, **55 (2), 331-345.**

Processes underlying successful participatory peer education as an HIV-prevention strategy are still little understood. This paper aims to outline a framework for conceptualizing these processes drawing on notions of social identity, empowerment and social capital. Based on a critical study of a South African school-based peer education program, the authors identify key preconditions for program success. The case study demonstrates the way in which programs are undermined through gender inequality, didactic teaching approaches, poor adult role models and poverty. Authors conclude by recommending social and community initiatives to ensure program success.

Coulson, N., 2002. *Developments in the use of the mass media at the national level for HIV/AIDS prevention in South Africa*. **Placed on http://www.comminit.com**

The effective use of the mass media is a critical component of HIV/AIDS prevention. In South Africa there are three major programmes that utilise the national mass media platform for HIV/AIDS prevention. These are the Beyond Awareness II campaign, the multimedia edutainment programme Soul City and the youth programme loveLife. Beyond Awareness II finished in October 2000 and subsequently the Department of Health has commissioned a new consortium, the AIDS Action Team (ACT), to deliver the next phase of government HIV/AIDS communication.

International developments in this field have ensured that there are now models of best practice to help ensure the appropriate application of health promotion and communication theory to this field. Overall,

there are strengths and weaknesses in the application of theory and research in South African campaigns. A number of recommendations are made in this paper to help improve the sharing of expertise across programmes, behavioural surveillance, the utilization of the mass media to impact on community action, the needs of rural communities and the role of health workers.

De Wet, H., Everett, C. edited by Pothier, S. and Soal, S. 2003. *Positive Organization: Living and Working with the Invisible Impact of HIV/AIDS – a resource for NGOs.* **South Africa: Community Development Resource Association. http://www.cdra.org.za/Library%20and%20Resources /Nuggets.htm**

What will it take to build organizations that are robust enough to absorb the impacts of the HIV/AIDS epidemic, while providing humane, stable workplaces? A practical resource for NGOs, this booklet contains six sections: (1) A conceptual overview of the epidemic; (2) A research report into the experiences of South African NGOs affected by the epidemic; (3) A guide to the South African legal and policy framework; (4) Methodology for NGOs adapting to the HIV/AIDS environment; (5) A practical toolkit for responding to HIV/ AIDS; (6) An annotated bibliography and references to key websites. The sections can be read individually or in sequence, and contain valuable information and lessons for organizations affected by the impact of HIV/AIDS – which increasingly means all organizations.

Family Health International/Elizabeth Glaser Pediatric AIDS Foundation. 2003. *Baseline Assessment Tools for Preventing Mother-to-Child Transmission (PMTCT) of HIV.* **Family Health International and Elizabeth Glaser Pediatric AIDS Foundation.**

Cheap and effective interventions to prevent mother-to-child transmission (PMTCT) of HIV are not widely available in developing countries. This paper presents assessment tools to assist the integration of PMTCT interventions with existing maternal and child health services in a developing country context. The assessment tools are designed to determine the capacity of health services to adopt PMTCT interventions, identify any gaps that may be preventing the effective integration of PMTCT programs and provide guidance for maintaining, monitoring and evaluating PMTCT interventions.

Ford, N., Odallo, D., Chorlton, R. 2003. 'Communication from a Human Rights Perspective: Responding to the HIV/AIDS Pandemic in Eastern and Southern Africa', *Journal of Health Communication,* **8 (6).**

Geary, C. W., Tchupo, J., Johnson, L., Cheta, C. and Nyama, T., 2003. 'Respondent perspectives on self-report measures of condom use', *AIDS Education and Prevention,* **15 (6), 499-515.**

Research into HIV infection and condom use to support intervention and prevention programs has relied on self-report data. The lack of association between condom use and infection has lead researchers to question the validity of self-reported data collection. This study aims to assess the accuracy of self-reported condom use through interviews with female participants in a microbicide clinical trial.

Gregson, S. Tereira, N., Mushati, P., Nyamukapa, C., and Campbell, C., 2004. 'Community group participation: Can it help young women to avoid HIV? An exploratory study of social capital and school education in rural Zimbabwe', *Social Science & Medicine,* **58 (11), 2119-32.**

Despite increasing knowledge of HIV/AIDS in southern Africa, young women remain at high risk of infection. This paper contends that successful HIV prevention programs are dependent on participatory approaches and in particular the membership of target program beneficiaries in community groups. A link between participation in community groups and successful avoidance of HIV infection is demonstrated in a survey undertaken in rural eastern Zimbabwe. The authors conclude that while the success of these groups is dependent on a range of factors, the promotion of community groups may be an effective HIV prevention strategy.

International Center for Research on Women, 2002. *Understanding HIV-related Stigma and Resulting Discrimination in Sub-Saharan Africa.* **Research Update, June.**

Johns Hopkins University, 2002. *HIV/AIDS communications strategies.* **Baltimore: Johns Hopkins University, Bloomberg School of Public Health, Center for Communication Programs (CPP).**

John Hopkins University, School of

Public Health established the Center for Communication Programs in 1988 to provide expertise in the design, monitoring and evaluation of health communication projects and to identify the role communication plays in individual and group behaviour changes using a model that outlines social, cognitive and emotional factors. This document highlights the work of CPP by country involvement.

Kesby, M., 2000. 'Participatory diagramming as a means to improve communication about sex in rural Zimbabwe: a pilot study,' *Social Science & Medicine*, 50 (9), 1723-1741.

Poor communication between men and women in regard to sexual relations is believed to be a contributing factor in the rapid spread of HIV/AIDS in sub-Saharan Africa. This pilot study assessed the use of participatory methods and visual diagramming in facilitating communication between men and women on sexual health issues. The research conducted with women from rural Zimbabwe was a successful use of participatory methods and techniques and will be applied to a study involving men in the future.

Lamptey, P. R., Zeitz, P. and Larivee, C., 2000. *Strategies for an Expanded and Comprehensive Response (ECR) to a national HIV/AIDS epidemic: A handbook for designing and implementing HIV/AIDS programs*. Arlington: Family Health International.

Countries have been increasing the delivery of HIV/AIDS interventions and programs in response to the urgent need for expanded and comprehensive responses (ECR) to the pandemic. This handbook is designed to assist countries respond to this need based on lessons learned from the past two decades of worldwide HIV/AIDS interventions. Brining together contributions from experts on HIV/AIDS interventions and programs, the handbook presents strategies for developing an ECR to meet a diversity of needs. The handbook is divided into eight modules for implementing an ECR, highlighting challenges involved and strategies for dealing with these challenges.

Lamptey, P. R. and Gayle, H. D., Eds. 2001. *HIV/AIDS prevention and care in resource-constrained settings: A handbook for the design and management of programs*. Arlington: Family Health International.

After 20 years of HIV/AIDS work, it is now recognised that responses to the AIDS pandemic must be culturally relevant and constitute a comprehensive and sustained fight against the pandemic. This handbook describes basic tools that can be applied in most resource-constrained countries to increase the scope of effective responses to HIV/AIDS. These include the design and management of effective programs, reducing risk and vulnerability within communities, strengthening STD management and services and the management and support of people living with HIV/AIDS.

Mantell, J.E. et al. 1995. *Evaluating HIV Prevention Interventions*. New York: Plenum.

Mathews, C., Everett, K., Binedell, J. and Steinberg, M., 1995. 'Learning to Listen: Formative Research in the Development of AIDS Education for Secondary School Students,' *Social Science & Medicine*, 41 (12), 1715-1724.

Approaches to AIDS education in South Africa have been a point of contention between various education sectors and stakeholders. The confusion over what constitutes an effective program highlights the need for formative research into this area. This paper describes formative research on AIDS education programs conducted between 1991-1992 in a Cape Town secondary school. The authors discuss research methods, difficulties encountered, results and value of the research undertaken.

Parker, W., Dalrymple, L. and Durden, E. 1998. *Communicating Beyond AIDS Awareness: A Manual for South Africa*. Department of Health, South Africa: Beyond Awareness Consortium.

This manual provides an overview of communications with a special emphasis on the HIV/AIDS epidemic in South Africa. It is part of a broader effort to encourage deeper involvement in action around HIV/AIDS and to create effective, long-term solutions to the epidemic. In 1997/98 the HIV/AIDS Directorate of the Department of Health commissioned a Beyond Awareness communications campaign that included a range of activities that were dedicated to forming a solid foundation for AIDS action. These included this manual as well as a catalogue of AIDS materials available nationally, a series of multilingual leaflets on

key topics, and several other materials.

Peres, C. A., Peres, R.A., da Silverira, F., Paiva, V., 2002. 'Developing an AIDS prevention intervention for incarcerated male adolescents in Brazil,' *AIDS Education and Prevention*, 14 (5), supp 36-44.

This paper investigates AIDS knowledge, attitudes and practices among incarcerated male adolescents in Brazil. This study aims to develop an AIDS prevention program based on data collected in the largest complex for incarcerated male adolescents in São Paulo, Tatuapé and qualitative data collected on the development and implementation of AIDS programs.

Pratt, C. B., Ha, L. and Pratt, C. A., 2002. 'Setting the public health agenda on major diseases in Sub-Saharan Africa: African popular magazines and medical journals, 1981-1997,' *Journal of Communication*, 8 (4), 889-904.

HIV/AIDS received considerable media attention in sub-Saharan African magazines and medical journals during the period 1981-1997, while other nonstigmal diseases, such as malaria and tuberculosis, received considerably less. This paper investigates the amount of media coverage of infectious diseases in sub-Saharan Africa and the implications of these findings for African media organisations and public health agencies.

Program for Appropriate Technology in Health (PATH) 2002. *Developing Materials on HIV/AIDS/STIs for Low-Literate Audiences*. Arlington: Family Health International.

High levels of illiteracy within marginalised communities, and in particular amongst women, limit access to information on HIV/AIDS. Despite this, HIV/AIDS program planners have developed alternative methods of communicating messages and issues regarding HIV/AIDS by using visual aids and techniques. This paper is designed to provide program planners with the tools to develop educational materials for low-literate audiences.

Rehle, T., Saidel, T., Mills, S. and Magnani, R. Eds. Not dated. *Evaluating Programs for HIV/AIDS Prevention and Care in Developing Countries: A Handbook for Program Managers and Design Makers*. Arlington: Family Health International.

This handbook is a guide to evaluating HIV prevention and care programs designed for program managers and decision makers of service delivery programs. Bringing together the experiences of scientists, program designers and implementers, universities, community-based organizations, the private sector and governments, the handbook provides practical guidelines for the evaluation of programs related to the sexual transmission of HIV.

Sambisa, W. and Chibbamulilo, P. M., 1999. 'A report on the Mini-Participatory Learning and Action (PLA) Exercise in Zambia,' *A qualitative study of reproductive health needs and service utilization by youth in Lusaka, Zambia: report of a Mini-Participatory Learning and Action (PLA) Exercise*. Lusaka, Zambia: John Snow Inc./Service Expansion and Technical Support (JSI/SEATS) Project.

This report investigates the use of reproductive health services amongst Zambian youth. The authors undertook a baseline study of youth reproductive health needs and services available in Lusaka, in anticipation of the implementation of two new services. The objectives of this study were to increase awareness of needs, to increase understanding of the services already available, to provide a forum for community mobilization, to develop a vision to launch the project and to provide information to ensure effective implementation of the project. The data and methods, findings and implications of this baseline study are outlined in this report.

Singhal, A. and Rogers, E., 2003. *Combating AIDS: Communication Strategies in Action*. New Delhi: Sage Publications.

Synthesizes critical lessons about effective HIV/AIDS prevention programmes, with emphasis on communication strategies. The authors feel that despite the growing AIDS crisis, the world is making poor use of behaviour change and communication strategies for HIV/AIDS prevention. The book focuses on communication strategies that could mobilise political action, target high-risk groups, and overcome stigma. The authors have also described and analysed the value of entertainment-education strategy in HIV prevention and care, highlighting the use of popular, long-running television and radio soap operas to engage audiences emotionally and create a forum for public debate and

discussion.

The Synergy Project, 2002. *The HIV/AIDS APDIME (Assessment, Planning, Design, Implementation Monitoring, and Evaluation) Programming Toolkit.* **(a CD-ROM). To order free copies of the CD-ROM go to: http://www.synergyaids.com**

Tambashe, B. O., Speizer, I. S., Amouzou, A., and Djangone, A. M. R., 2003. 'Evaluation of the Psamao "Roulez Protégé" Mass Media campaign in Burkina Faso,' *AIDS Education and Prevention***, 15 (1), 33-48.**

Evaluates the impact of the Prévention du SIDA sur les Axes Migratoires de l'Afrique de l'Ouest Roulez Protégé mass media campaign in Burkina Faso. In particular, the study assesses the media campaign's influence on truck drivers' use of condoms and discussions of HIV/AIDS.

The Henry J. Kaiser Family Foundation. 2004. *HIV/AIDS Policy fact sheet: global funding for HIV/AIDS in resource poor settings.*

This paper reviews global spending on HIV/AIDS in developing countries, provided by donor governments, multilateral organizations, affected countries, non-government organizations and the private sector.

UNAIDS, 2000. *National AIDS Programmes: A guide to monitoring and evaluation.* **Geneva: UNAIDS/00.17E.**

UNAIDS/PennState. 1999. *Communications Framework for HIV/AIDS: A New Direction.* **Geneva: UNAIDS.**

Describes the findings and recommendations of a series of international participatory workshops examining the adequacy of existing communications theories and models for HIV/AIDS in Africa, Asia, Latin America and the Caribbean. The major finding was that five domains of context are virtually universal factors in communication for HIV/AIDS preventive health behaviour – government policy, socioeconomic status, culture, gender relations, and spirituality. The framework recognizes that individual health behaviour is a component of this set of domains, rather than the primary focus of health behaviour change.

Volk, J. E. and Koopman, C., 2001. 'Factors associated with condom use in Kenya: A test of the health belief model,' *AIDS Education and Prevention***, 13 (6), 495-508.**

Cultural beliefs and knowledge of HIV and condom use are investigated in this study based in Kisumu, Kenya. This paper demonstrates the low level of condom use amongst sexually active men and women and the impact of HIV/AIDS knowledge on dispersing stigmatizing beliefs in relation to the origin and spread of the disease. Authors conclude that future HIV/AIDS intervention efforts must be directed towards removing barriers to condom use and addressing stigmatizing beliefs associated with the disease.

Webb, D. and Elliot, L., 2002. *Learning to Live: Monitoring and evaluating HIV/AIDS programmes for young people.* **London: Save the Children Fund.**

A handbook written primarily for Save the Children Fund international programme and project staff but is useful for staff of other agencies. It aims to help staff understand the main concepts behind M&E, and how these can be applied to HIV/AIDS-related projects that focus on children and young people.

Welbourn, A. 2000. Strategies for Hope. Placed on: http://www.eldis.org

This paper, commissioned for UNESCO, outlines the Stepping Stones training package which aims to enable discussion on difficult but important issues in HIV prevention. The author discusses the limitations of conventional Information, Education and Communication (IEC) approaches to HIV prevention and describes Stepping Stones, one approach which 1) is more holistic in recognizing the location of HIV in a broader sexual and reproductive health (SRH) context; 2) emphasizes the importance of a gendered perspective throughout; and 3) works on the basis that, with good facilitation, ordinary community members are those most able to develop the best solutions for their own sexual health needs.

World Bank, 2003. *Education and HIV/AIDS: A Sourcebook of HIV/AIDS Prevention Programs.* **Washington: World Bank.**

Despite the impact of HIV/AIDS on the education sector, good education is an effective way of helping young people

prevent HIV infection. Young school children have the lowest prevalence of HIV infection, which is indicative of the "social vaccine" of HIV education programs in schools. This sourcebook supports the design and implementation of HIV/AIDS prevention programs targeted at school-age children through practical examples of such programs.

5. Assessment, Monitoring, Evaluation, Participatory Monitoring and Evaluation

Anon (n.d.) *Poet's user manual. Participatory organisational evaluation tool.* **Education Development Centre and PACT Inc.**

Poet is an organizational capacity assessment and consensus tool designed specifically for civil organizations and their partners. This self-assessment tool can be used to assess organisational capacity, divergent viewpoints and to implement and evaluate change by a single organization or as a cohort to benchmark against sister organizations. Scoring systems by staff of seven key capacity areas are utilized to evaluate organizations.

Aubel, J., 1999. *Participatory program evaluation manual: involving program stakeholders in the evaluation process,* **Maryland: Child Survival Technical Support (CSTS) and Catholic Relief Services.**

This manual is a practical guide to planning and conducting a participatory evaluation determining the success of child survival programs. A detailed 20-step guide breaks this process into sequential and manageable portions from project design to evaluation, also addressing logistical and administrative issues. The participatory evaluation focuses on past program dilemmas and the implementation of successful strategies to be used in a future action plan. In the final chapter, the author lists several useful references on qualitative data collection methods, group interviews/focus group discussions, rapid assessment procedures, participatory reflection and learning, participatory learning and action, group dynamics/group facilitation skills, and participatory evaluation/program evaluation.

Aubel, J. 2004. *Participatory Monitoring and Evaluation for Hygiene Improvement. Beyond the*

toolbox: What else is required for effective PM&E? **Washington, D.C.: Environmental Health Project, Strategic Report 9.**

Under the auspices of the Environmental Health Project, the author conducted a literature review on participatory monitoring and evaluation in water supply, sanitation and hygiene sector. Purposes of the review were: (1) to examine existing methods and tools for monitoring hygiene improvement activities by communities for use in decision-making at the community level; (2) to develop recommendations for improvement or development of community-focused tools for hygiene improvement activities, taking into account the strengths and limitations of existing materials; (3) to analyze the organizational constraints and challenges to institutionalizing PM&E in hygiene improvement programs; and (4) to formulate recommendations to support the institutionalization of PM&E in hygiene improvement programs.

Aubel, J., Diagne, M., and Tourle, I., 2004. 'Senegalese grandmothers promote improved maternal and child nutrition practices: the guardians of tradition are not averse to change,' *Social Science & Medicine***, in Press.**

Senegalese grandmothers and older women play a significant role in maternal child health matters. Despite this most community nutrition/health programs concentrate on women of reproductive age (WRA). This paper discusses the benefits of an action research nutrition education project promoting improved nutritional practices related to pregnancy through an education program designed for grandmothers. Utilizing a participatory communication/empowerment education approach, the project provided evidence that programs targeted at grandmothers and older women in the community have a positive impact on WRA practices.

Bainbridge, V., Foerster., Pasteur., Pimbert., Pratt G., and Arroyo I.Y., 2001. *Transforming Bureaucracies: Institutionalising participation and people centred processes in natural resource management – an annotated bibliography.* **London: International Institute for Environment and Development (IIED) and Institute of Development Studies (IDS).**

This annotated bibliography was designed

by the International Institute for Environment and Development (IIED) and the Institute of Development Studies (IDS) for natural research teams. The bibliography includes 388 references on organisational change and the institutionalization of participation in natural resource management.

Barton, T., 1997. *Guideline on monitoring and evaluation: How are we doing?* **Kampala: Care-Uganda.**

The author's aim is to demystify the monitoring and evaluation of CARE development projects and put forward practical guidelines developed in Uganda. This manual is designed for CARE field personnel involved in project management. Topics discussed include project cycle evaluation, key concepts of monitoring and evaluation, target populations, types and timing of evaluation, sampling, analysis and presentation of results, and instituting a future management plan.

Bertoli, S., 2000. A promising practice for increasing active collaboration and use of information by teams. *Child Survival Connections,* **1(1), 13-16.**

While USAIDS promotes project participatory evaluation, the author finds the area of child survival projects is greatly ignored. The author discusses the benefits of a Child Survival Technical Support Project (CSTS), a practical 20 step process involving project staff in all stages of program evaluation. Bertoli concludes that despite the considerable time involvement of CSTS, it encourages a team spirit, develops project cycle skills and empowers staff in identifying lessons learned for future project improvement.

Bhattacharyya, K., Murray, J., Amdie, W. et al 1998. *Community Assessment and Planning for Maternal and Child Health Programs: A Participatory Approach in Ethiopia.* **Arlington, Va.: Basics Support for Institutionalizing Child Survival (BASICS) project, for the US Agency for International Development.**

Blackburn, J. and Holland, J. Eds., 1998. *Who changes? Institutionalizing participation in development.* **London: Intermediate Technology Publications**

Drawing on experiences from key development agencies around the globe, "Who Changes?" focuses on the institutional change needed to make participation a reality. In addition to exploring the main concerns of development professionals involved in PRA practices, the reader is provided with a checklist of practical considerations to guide them through this complex field.

Bock, J. G., 2001. 'Towards participatory communal appraisal,' *Community Development Journal,* **36 (2), 146-153.**

This article investigates persistent communal violence in developing countries and the tools used by aid agencies to foster communal harmony. The two most commonly used tools include an *impact assessment tool* to screen project proposals and the application of *participatory rural appraisal* during project development. The author argues that a communal tension/harmony dimension should be incorporated during program design, adopting a *participatory* approach rather than an *assessment* approach.

Bradley, J. E., Mayfield, M. V., Mehta, M. P., Rukonge, A., 2002. 'Participatory evaluation of reproductive health care quality in developing countries,' *Social Science & Medicine,* **55 (2), 269-282.**

Participation of stakeholders in the field of health is becoming increasingly important as participatory approaches are applied by development organizations and practitioners. However stakeholder involvement in the project cycle remains limited to short-term inputs and is rarely incorporated into long-term monitoring and evaluation activities. This paper analyses participatory approaches used by EngenderHealth, an international reproductive health organization, to collaborate with local stakeholders. Authors conclude that real change will only occur if participatory techniques are applied throughout the development process, ensuring outcomes based on the needs of project beneficiaries.

Chambers, R. 1991. 'Shortcut and Participatory Methods for Gaining Social Information for Projects.' In *Putting People First: Sociological Variables in Rural Development.* **Cernea, M.M. (ed). Pp.515-537. Oxford: Oxford University Press.**

Chambers, R., 2000. 'Remarks at the Pan African workshop on participatory approach and HIV/AIDS,' **Mwanza: Tanzania. 16 June 2004.**

This paper investigates participatory approaches in the context of HIV/AIDS

programs. Emphasizing a focus on lessons learned, diversity and the speed, scale and quality of the development process, Chambers argues that participation should equate to communities defining their own approach and choosing their own indicators. The author concludes that change in attitude and behaviour is most important in the development process.

Christiaensen, L., Hoddinott, J. and Bergeron, G., 2001. 'Comparing village characteristics derived from rapid appraisals and household surveys: A tale from Northern Mali,' *The Journal of Development Studies*, 37 (3), 1-20.

Techniques used in information gathering are investigated in this article, through a comparison of information obtained using participatory appraisal techniques with household surveys from a locally administered census. Authors conclude that community maps and household surveys reported contradictory findings as a result of the social dynamics between researchers and respondents.

Cornwall, A. and Jewkes, R., 1995. 'What is participatory research?' *Social Science & Medicine*, 41 (12), 1667-1676.

Health research in developing and developed countries is increasing reliant on participatory methodologies. The application of conventional research methodologies has been replaced by local knowledge serving as the foundation of health research. This paper reviews participatory approaches used in health research and the location of power in the research process.

Cornwall, A., 1997. *Roundshaw participatory health needs assessment – Final Report*. [online] Merton, Sutton and Wandsworth Specialist Health Promotion Service. Available from: http://www.ids.ac.uk/ids/particip/research/health/roundshawrp.pdf

This participatory health needs assessment was designed to measure Roundshaw Estate resident's views of their wellbeing and how to improve their quality of life. Carried out by a team of residents, health, housing and youth service workers using Participatory Appraisal methodology, the assessment identifies key areas of concern raised by residents.

Cousins, J.B. and Earl, L. Eds., 1995. *Participatory Evaluation in Education: Studies in Evaluation Use and Organizational Learning*. London: The Falmer Press.

Participatory evaluation in education is an approach that involves teachers and educational administrators as partners with researchers in a broad range of school and school-based evaluation tasks with the explicit goal of using such data to improve practice. By presenting a set of original studies and a critical analysis of them, the book illustrates the variations in approach to participatory evaluation, conditions that support it, its viability within the culture of the schools and school systems, and its likely impact defined in terms of the use of research data and organizational learning.

Dart, J. 1999. 'A Story Approach for monitoring change in an agricultural extension project.' Paper presented at the Conference of the Association for Qualitative Research, Melbourne, July, 1999.

In the field of program evaluation, recognition of problems associated with the use of quantitative performance indicators has set the stage for alternative or supplementary approaches. There have been strong murmurs of interest about the use of "performance stories" for monitoring social change programs. To date little research has been done in this area.

A Story Approach was implemented across a statewide dairy extension project in Australia an attempt to overcome some of the difficulties associated with monitoring the project impact. This paper describes the method of the Story Approach and highlights some experiences gained during the 12-month trial of the process with the Target 10 dairy extension project. It is argued that this approach can constitute an appropriate and credible process for monitoring change, can help to promote organisational learning, and can be a rewarding and enjoyable process for the participants.

Dart, J. and Davies, R. (In press) *A manual on the use of the Most Significant Changes Approach to Monitoring*.

Builds on 8 years of experience with what has been called a "monitoring without indicators" method, in Australia, Asia, Latin America and

Africa. Chapter headings will be: 1. The Most Significant Changes (MSC) Approach. 2. Implementing the MSC approach, 3. Getting started: raising interest, 4. Defining Domains of Change, 5. Collecting Stories, 6. Selecting Stories, 7. The pivotal role of feedback, 8. The verification of stories, 9. Secondary analysis and reporting, 10. Troubleshooting, 11. The value of the MSC approach. 12. The evolution of the MSC approach.

Davies, R. 1998. 'An evolutionary approach to facilitating organisational learning: An experiment by the Christian Commission for Development in Bangladesh.' Swansea: Centre for Development Studies.

The first section of this paper outlines the Most Significant Change methodology by detailing the steps involved in its operation in Bangladesh. This is followed by a summary of the state of the monitoring system as of March 1995, a year after the first steps were taken to establish it. A series of contrasts are then made between this participatory monitoring system (PMS) and what are described as orthodox approaches to project monitoring. Questions are then raised about the evaluation of monitoring systems. Finally, an interim conclusion about the value of the experiment is stated, and two issues for further exploration are identified. This paper has been published, with some variations, in Mosse, D.. Farrington, J., and Rew, A. 1998. *Development as Process: Concepts and Methods for Working with Complexity*. London. Routledge/ODI, pages 68-83; and in *Impact Assessment and Project Appraisal*, 16(3): 243-250.

Dayal, R., van Wijk, C., and Mukherjee, N., 2000. *Metguide methodology for participatory assessments with communities, institutions and policy makers: linking sustainability with demand, gender and poverty*. Washington D.C.: UNDP-World Bank Water and Sanitation Program.

The Methodology for Participatory Assessments (MPA) presented in the *Metguide* is a tool for project planners and service providers to engage with consumers and ensure the inclusion of marginal groups in service delivery. Developed by the Water and Sanitation Program as part of the Participatory Learning and Action initiative, the MPA was designed to encourage consumer participation in the service delivery process, in particular by including gender and poverty sensitive

participation throughout the project cycle.

Deepa, N. and Srinivasan, L. 1994. *Participatory Development Tool Kit*. Washington, D.C.: The World Bank.

A package of user-friendly participatory methods intended to assist in the planning, monitoring and evaluation of development projects. Clear, simple explanations of how to prepare and use each tool are provided.

De Koning, K. and Martin, M. Eds. 1996. *Participatory Research in Health: Issues and Experiences*. Johannesberg: National Progressive Primary Health Care Network.

Presents experiences and reflections of academics and practitioners, both from North and South, who are using participatory research in the field of health. Contributors examine training and practice, drawing on experiences from Africa, Asia, and Latin America, as well as the USA, Britain and Europe. Questions of equity in terms of gender, race and class come to the fore, as do insights into the qualities, skills and attitudes required of practitioners.

Development Bank of Southern Africa, the African Development Bank, and the World Bank. 2000. *Monitoring and Evaluation Capacity Development in Africa. Selected Proceedings from a Seminar and Workshop*. Johannesberg: Development Bank of Southern Africa.

The main objectives of the Johannesberg 2000 Seminar and Workshop were to: (1) define the requirements and capabilities of M&E in the context of good governance and accountability for better results; (2) familiarize the participants with the development, requirements and uses of M&E systems; (3) present ways of designing and conducting cost-effective evaluations of issues such as human development, gender, human rights, governance and corruption, environment and infrastructure, through new approaches including participation and the sharing of local knowledge; (4) build professional teams using national M&E associations and networks; and (5) develop a collaborative strategy and infrastructure for a pan-African M&E network, which could review and evaluate sound practices with a view to adopting them in Africa.

Earle, L. 2004. *Creativity and Constraint – Grass-Roots Monitoring and Evaluation and the International Aid Arena*. **London: INTRAC.**

The publication captures the dynamics and discussions of INTRACs fifth international conference on monitoring and evaluation, held in April 2003 in the Netherlands. Much enthusiasm was generated at the conference by presentations of innovative and participatory monitoring and evaluation practice from the South. However, there are still barriers to the acceptance of flexible and responsive monitoring and reporting in the field. The first section of the publication addresses theoretical concerns, in an attempt to understand the background to this current impasse. The second section is devoted to short case studies of innovative M&E experiences. These case studies illustrate the circumstances under which it has been possible to break away from traditional forms of M&E and how obstacles to more reflexive approaches are overcome.

Estrella, M. and Gaventa, J., 1998. *Who counts reality? Participatory monitoring and evaluation: A literature review*. **Brighton: IDS. Working Paper 70.**

Introducing key principles, applications, tools and methodology of participatory monitoring and evaluation (PM&E), this literature review investigates PM&E experiences from around the world and in a variety of contexts. The authors raise issues and challenges, and suggest future directions for research into PM&E.
http://www.worldbank.org/participation/pme/webfiles/IDSwp70_PME.pdf

Estrella, M. Ed. 2000. *Learning from Change: Issues and experiences in participatory monitoring and evaluation*. **London: Institute of Development Studies.**

Brings together a broad range of case studies and discussions between practitioners, academics, donors and policy makers. Explores conceptual, methodological, institutional and policy issues in participatory monitoring and evaluation.

Fakih, M., Rahardjo, T., Pimbert, M., Sutoko, A., Wulandari, D. and Prasetyo T., 2003. *Community Integrated Pest Management in Indonesia: Institutionalising Participation and People Centred Approaches*. **London: International Institute for Environment and Development (IIED) and the Institute of Development Studies (IDS).**

Following the Green Revolution devastation and subsequent pest outbreak affecting Indonesian agriculture, the government implemented Community Integrated Pest Management (CIPM) programs throughout regional areas. Utilizing participatory research methods, this study investigates the level of Community IPM institutionalization through an examination of policy reform, social and environmental impacts and organisational change within the government and international support agencies.

Fetterman, D., 1995. 'In response to Dr. Daniel Stufflebeam's: empowerment evaluation, objectivist evaluation, and evaluation standards: where the future of evaluation should not go and where it needs to go, October 1994, 321-338', *Evaluation Practice*, **16 (2), 179-199.**

Empowerment evaluation is an approach designed to assist programs evaluate themselves. This paper is a response to Dr Stufflebeam's representation of empowerment evaluation published in *Evaluation Practice*. It aims to dispel myths associated with this innovative approach to evaluation.

Fetterman, D. and Eiler, M., 2001. *Empowerment evaluation and organisational learning: A path toward mainstreaming evaluation*. **St Louis: American Evaluation Association.**

Empowerment evaluation is designed to improve programs based on principles of self-evaluation and reflection. Adopted by a multitude of programs and settings, it makes use of evaluation concepts and techniques to develop self-determination and improvement. This paper undertakes to reveal why this evaluation approach works by understanding the process involved.

Fetterman, D.M. 2001. *Foundations of Empowerment Evaluation*. **Thousand Oaks: Sage Publications.**

Empowerment evaluation is the use of evaluation concepts, techniques, and findings to foster improvement and self-determination. It employs both qualitative and quantitative methodologies. Although it can be applied to individuals, organizations, communities, and societies or cultures, the focus is usually on programs. Empowerment evaluation is designed to help people help themselves and improve their programs using a form of self-

evaluation and reflection. This book shows readers when to use empowerment evaluation and how to more effectively use its three steps (developing a mission statement; taking stock by identifying and prioritizing the most significant program activities; and charting a course for future strategies to accomplish program goals). Author illustrates these steps with four case examples, ranging from hospital to educational settings. Also includes concerns about the use of empowerment evaluation and the relationship between collaborative, participatory, stakeholder, and utilization-focused evaluation with empowerment evaluation.

Fetterman, D.M., Kaftarian, S.J. and Wandersman, A. 1996. *Empowerment Evaluation: Knowledge and Tools for Self-Assessment and Accountability*. Thousand Oaks: Sage Publications.

Brings together evaluators working in academia, government, nonprofit organizations, and foundations to explore empowerment evaluation. Book begins with an in-depth examination of this type of evaluation as it has been adopted in academic and foundation settings. The focus then shifts to the various contexts in which empowerment evaluation is conducted. Contributors provide down-to-earth tools and technical assistance need to conduct empowerment evaluation. Serves to strengthen the links between empowerment evaluation and community capacity building.

Feuerstein, M-T. 1986. *Partners in Evaluation: Evaluating Development and Community Programmes with Participants*. London: MacMillan.

Pre-1990 but a pioneering text nevertheless. The author discusses the conceptual and methodological issues related to PM&E illustrated by plenty of real world examples.

Gajanayake, S. and Gajanayake, J. 1993. *Community Empowerment: A Participatory Training manual on Community Project Development*. Illinois: Office of International Training and Consultation, Northern Illinois University.

Germann, D., Gohl, E., GTZ and GATE / German Appropriate Technology Exchange (GATE) / Information and Advisory Service on Appropriate Technology (ISAT). 1996. *Manuals on participatory monitoring*.

Short, simply written pamphlets explaining methods and justifications for participatory monitoring

Gilliam, A., Davies D., Barrington, T., Lacson, R., Uhl, G. and Phonix U., 2002. 'The Value of engaging Stakeholders in Planning and Implementing Evaluations,' *AIDS Education and Prevention*, 14 (3), 5-17.

Successful HIV prevention programs have been linked to participatory evaluation. The Centers for Disease Control and Prevention (CDC) has incorporated participatory evaluation through the development of a framework for its programs. This paper illustrates the framework used by the CDC in four studies where the participatory process was included in evaluation planning, implementation, development of action plans and dissemination. Stakeholders involved in the four studies conclude that participatory evaluation increased the benefit of their programs despite shortcomings evident in the evaluation process.

Gosling, L. 2003. Toolkits: *A practical guide to monitoring, evaluation and impact assessment. New Edition*. London: Save the Children Fund UK.

Designed to promote a systematic approach to planning, reviewing and evaluating development work, Toolkits has proved popular and useful to countless development workers around the world. Covering the whole process of monitoring, evaluation and impact assessment, it includes a range of practical tools that can be adapted to suit different circumstances. This new edition, which has been substantially revised and updated, brings a common sense approach to recent developments in monitoring and evaluation. A new chapter looks at impact assessment - an area of increasing importance to both practitioners and donors. There is also a new chapter and tool on monitoring and evaluating advocacy. This practical guide will of use to anyone involved in development work.

Gubbels, P. and Koss, C. 2000. *From the Roots Up: Strengthening Organizational Capacity through Guided Self-Assessment*. Oklahoma: World Neighbours.

This guide provides a set of practical tools and methods for organizational capacity building through the guided self-assessment

approach. It focuses on the practical aspects of participatory processes, combining, adapting and creating exercises, planning workshops, preparing for the fieldwork, working with facilitators, and the analysis and documentation process. The self-assessment exercises range from the key concepts, such as a common understanding of capacity building, to those exploring baseline information, activities, performance and impact, internal organizational issues, relationships, viability, autonomy, the larger context, and strategies for prioritization of actions. The approach is based on the principle that ongoing self-assessment and learning is integral to being a healthy organization.

Hailey, J. and Sorgenfrei, M. 2004. *Measuring Success: Issues in Performance Measurement*. London: INTRAC.

This paper responds to the current climate in which NGOs are under pressure to invest in evaluation and impact assessment. Funding constraints, calls for accountability, and concerns about quality and effectiveness have led to demands for more sophisticated performance measurement strategies. The authors chart how, historically, performance measurement systems have undergone similar evolutions in the public, private and non-profit sectors – from product to process orientation; from quantitative to qualitative methods and indicators. The development and relief arena presents its own challenges, as it is characterized by complexity, unpredictability and continuous change. This paper flags key issues for practitioners such as how to choose appropriate approaches, how to apply them in a culturally sensitive way, how to ensure stakeholder participation and how to mobilize adequate resources.

Holland, J. and Blackburn, J. 1998. *Whose Voice? Participatory research and policy change*. London: Intermediate Technology Publications.

Based on the premise that relevant and sustainable policy-making requires local voices to be heard. Local perceptions and priorities must be listened to and addressed, and participation by 'beneficiaries' ensured early and meaningfully in decision-making at policy, programme and project levels. Divided into 3 parts, the book draws upon a workshop convened at the Institute of Development

Studies, University of Sussex, May 1996, that considered the participatory processes by which local voices are projected to policy-makers and local realities reflected in policy decisions. Part 1 explores thematic or sectoral case studies in which participatory methods and approaches have been used to influence policy. Part 2 concentrates on Participatory Poverty Assessment, an approach largely introduced by the World Bank designed to bring local poverty and policy analysis into the policy process through the cross-sectoral lens of poverty. Part 3 discusses key issues arising during the workshop including: the channels through which local voices are projected to policymakers; the nature of the research process itself; and participation, policy change and empowerment.

Hulme, D., 1999. *Impact assessment methodologies for microfinance: theory, experience and better practice*. Institute for Development Policy and Management, Manchester: University of Manchester.

Microfinance programs, or small, low interest loans for developing countries, are increasingly implemented to reduce poverty and further economic development. The benefits of microfinance, however, are controversial and future impact assessments (IA) should be conducted. The author establishes three approaches to evaluation: scientific method, humanities traditions and participatory learning and action (PLA); and contends that there is no gold standard to impact assessment. Each IA should be tailored to the project it is evaluating utilizing a multi-paradigm approach.

Ibrahim, MA., 1991. *Information Drain: The obstacles to research in Africa*. International Institute for Environment and Development (IIED). Gatekeeper series No.SA32.

Ibrahim undertook a study to observe the use and dissemination of locally generated information in Nigeria between 1974-1987. The author concluded that Nigerian scientists were more likely to request an article published in a developed country rather than those published locally. The author hypothesized that this partly due to the erratic and unreliable Nigerian publishing service.

International Center for Research on Women/ Engender Health. (No date). A Participatory Approach to Adolescent Reproductive Health in Nepal. [online] International Center for Research on Women in

partnership with EngenderHealth, New ERA and BP Memorial Health Foundation. Available from WWW: www.fhi.org/…/Participatory+Approach+Nepal.pdh

This paper briefly outlines the implementation and evaluation process and methodology of a community-based participatory approach to improving the reproductive health of Nepalese adolescents.

International Development Research Centre (IRDC) (No date). *Outcome Mapping*. http://www.idrc.ca/evaluation/outcome.html

A methodology called "Outcome Mapping" was developed by IDRC which characterizes and assesses the contributions development programs make to the achievement of outcomes. Outcome Mapping can be used at the program, project, or organizational level.

International Institute for Sustainable Development (IISD) (No date). *Appreciative Inquiry*. http://www.iisd.org/ai/

Through nearly a decade of fieldwork in five African countries, IISD has developed a sustainable livelihoods model that builds on local strengths by identifying and reinforcing the adaptive strategies that local people often develop to maintain their livelihoods in adverse circumstances. To enhance its livelihood approach, the institute is now testing a new community development method called appreciative inquiry.

International Water and Sanitation Center (IRC). 2001. *Methodology for participatory assessments. Helping communities achieve more sustainable and equitable services.* **[online] Available from WWW: http://www.wsp.org./publications/eap_mpa_helping.pdf** **Water and Sanitation Program East Asia and the Pacific.**

Water and Sanitation Program (WSP) and the IRC conducted participatory assessments of communities that have successfully maintained a water service for a given period. The aim was to explore the relationship between program approaches (participatory or demand responsive) that achieve equitable sustainable services. Methodology Participatory Assessment (MPA) analyzed gender and poverty data assessing service use and benefit. Gender and poverty sensitive communities provided a more sustainable

and equitable service in a demand responsive approach. The authors advocate MPA as an integral part of community driven projects.

IRC. 2003. *Sustainability planning and monitoring in community water supply and sanitation: A guide on the Methodology for participatory assessment (MPA) for community driven development programs* **(Eds) Mukherjee N, C Van Wijk C. [online] Available http://www.wsp.org./publications/mpa%202003.pdf Washington D.C.: The World Bank.**

This document has been updated and expanded from the original 1999-2002 MPA metaguide for monitoring and evaluation equal and sustainable community water service. MPA has evolved into a method that is integrated throughout the project cycle to include mainstreaming gender and to improve social equity in large-scale projects. This is a detailed document discussing application of the MPA method and consolidating information from case-studies. In addition, it discusses potential application to other development programs.

Israel, B. A., Schulz, A. J., Parker, E. A., and Becker, A. B., 1998. 'Review of community-based research: assessing partnership approaches to improve Public Health', *Annual Review Public Health***, 19,173-202.**

Community-based research in public health is founded on integrated knowledge of community members, organisational representatives and researchers. This paper defines the key principles, scientific contextual position, uses and challenges of community-based research in public health.

James, R. 2001. *Practical guidelines for the monitoring and evaluation of capacity-building: experiences from Africa***. London: INTRAC, OPS No.36.**

Capacity building and monitoring and evaluation have become two of the most important priorities of the development community during the last decade. Yet they have tended to operate in relative isolation from each other. In particular, capacity building programmes have been consistently weak in monitoring the impact of their work. This publication aims to help NGOs and donors involved in capacity building to develop appropriate, cost-effective and practical systems for monitoring and evaluation. While not under-estimating the complexity of this

tasks, this publication puts forward some practical guidelines for designing monitoring and evaluation systems based on experiences with three organizations in different parts of Africa.

Marsden, D., Oakley, P.Pratt, B. 1994. *Measuring the Process: Guidelines for Evaluating Social Development*. London: INTRAC.

Based on an 1st Evaluation Conference which was organised by INTRAC and brought together both practitioners and academics, this book is a unique attempt to set out the guidelines for evaluating social development processes.

This book is intended primarily as a practical guide for undertaking the evaluation of social development projects, and combines a theoretical overview of the concepts involved with insights into the planning and implementation of evaluation. Three substantial case studies of evaluations are provided from Colombia, India and Zimbabwe, and an extensive literature review is also included. This book is the follow-up to Evaluating Social Development Projects, David Marsden and Peter Oakley (eds.), (Oxfam Development Guidelines No. 5, 1990). It builds on the conceptual developments of the earlier volume, and includes a review of the various approaches to evaluation, but the focus of the current book is primarily on the practical applicability of these developments for undertaking the evaluation of social development.

Mebrahtu, E. 2004. *Putting Policy into Practice: Participatory Monitoring and Evaluation in Ethiopia*. London: INTRAC.

This book focuses on eight international NGOs (INGOs) engaged in rural development interventions in Ethiopia. The author investigates their attempts to employ participatory monitoring and evaluation (M&E) systems as a means of assessing and thereby strengthening local participation. The findings suggest that perceptions of participation vary considerably between different hierarchical levels. The story that unfolds offers valuable insights into the current myths and realities of M&E within INGOS and shows how standard models of practice play out in particular cultural contexts.

McGee, R. with Norton, A., 2000. *Participation in Poverty Reduction Strategies: a synthesis of experience with participatory approaches to policy design, implementation and monitoring*. Brighton: Institute of Development Studies, Working Paper 109.

Reviews the experience to date in applying participatory approaches to macro-level policy formulation, implementation and monitoring, with a view to supporting country-led facilitation of inclusive and high-quality participation in the Poverty Reduction Strategy process. The participatory experiences are drawn from research initiatives, donors' country strategies, aid coordination processes, policy advocacy campaigns, institutional change processes, budgetary analysis and formulation, and citizens' monitoring mechanisms.

Narayan-Parker, D. 1993. *Participatory evaluation: Tools for Managing Change in Water and Sanitation. World Bank Technical Paper 207*. Washington, D.C.: The World Bank.

The author elaborates on the concept of participatory evaluation and guidelines for using participatory methods in evaluation. Emphasis is given to the development of M&E indicators for water and sanitation projects. Examples from the real world are used to illustrate specific points.

Narayan-Parker, D. and Rietbergen-McCracken, J., 1998. *Participation and social assessment: tools and techniques*. Washington, D.C.: The World Bank.

This resource kit has been developed to support the adoption of participatory approaches in World Bank-supported projects and studies. The kit consists of modules on social assessments, stakeholder analysis, participatory methodologies and participatory monitoring and evaluation. The kit is intended for staff and trainers both within and outside the World Bank, providing practical guidance and case examples on methods and applications.

Noponen, H., 1997. 'Participatory Monitoring and Evaluation – A Prototype Internal Learning System for Livelihood and Micro-Credit Programs.' *Community Development Journal*, 32:1, pp.30-48.

Presents the prototype of an internal learning system created for development organizations operating group-based savings and credit

programs with poor women in India. The system is designed around pictorial diaries of change or 'learning diaries' in the woman's life that she could keep, reflect upon, and share with credit program staff in a feedback process. Members keep track of changes in their life as they occur in their 'learning diary' and they share this with their group in monthly meetings. Participation is on an ongoing basis as the pictorial diaries are in constant use as a learning tool and are integrated into the routine administrative meetings, training sessions and celebration functions for groups, clusters and program staff. Other non-pictorial elements include savings and loan accounts, basic administrative records, and financial sustainability indicators. The author explains the logic, structure and mechanics of the system and presents illustrations to highlight key elements of the system. Preliminary results of field tests are also discussed.

Norton, A., Bird, B., Brock., K. Kakande., M. and Turk, C., 2001. *A rough guide to PPAs: Participatory Poverty Assessment. An introduction to theory and practice.* **Brighton: Overseas Development Institute (IDS).**

PPAs are increasingly utilized in public policy for poverty reduction by integrating the perspective of those affected by poverty. Authors have written a practical guide for targeting those development practitioners wanting to influence public policy in developing country government. The authors' aim is to avoid presenting a rigid blueprint, but rather to provide essential considerations for informed decision-making, increasing effectiveness of public action directed at poverty reduction.

Oakley, P. Ed., 2001. *Evaluating Empowerment: Reviewing the Concept and Practice.* **London: INTRAC.**

This book is based on the 4th Evaluation Conference on the Evaluation of Social Development held in Oxford in April 2000. It comprises a number of commissioned papers by Peter Oakley, Anisur Rahman, Musimbi Kanyoro and Frits Wils as well as papers presented by participants. Also includes regional presentations from Southern Africa, Asia, Central America and the Middle East and institutional statements by DFID, SIDA, ActionAid and Cordaid. Concludes by drawing together participants perceptions in terms of the current state of practice in the monitoring

and evaluation of empowerment.

Papineau, D. and Kiely, M.C. 1996. 'Participatory evaluation in a community organization: fostering stakeholder empowerment and utilization.' *Evaluation and Program Planning***, 19:1, pp.79-93.**

Pasteur, K., and Blauert, J., 2000. *Participatory monitoring and evaluation in Latin America: Overview of the literature with annotated bibliography.* **Brighton: Institute of Development Studies (IDS).**

In an attempt to contribute to the discussion of Participatory Monitoring and Evaluation (PM&E) in Latin America, this paper includes an overview of PM&E literature, discussion of the literature within a broader context, reflection on PM&E and an annotated bibliography.

Patton, M.Q. Ed. 1990. *Qualitative evaluation and research methods.* **Second Edition. Newbury Park (CA): Sage Publications.**

In a classic text, Patton describes the essential concepts of qualitative methodology, including problem identification, participant observation, interviewing, document analysis, triangulation, data analysis, and reporting. The text is filled with useful examples.

Patton, M.Q. 1997a. *Utilization-Focused Evaluation.* **Thousand Oaks, California: Sage Publications.**

Patton, M. Q., 1997b. 'Toward distinguishing empowerment evaluation and placing it in a larger context.' *Evaluation Practice***, 18 (2), 147-163.**

A review of *Empowerment Evaluation: Knowledge and Tools for Self-Assessment & Accountability* edited by David M. Fetterman, Shakeh J. Kaftarian and Abraham Wandersman. This paper discusses the need to distinguish empowerment evaluation from participatory, collaborative, stakeholder-involving, and utilization-focused approaches to evaluation.

Prennushi, G., Rubio, G., and Subbarao, K., 2001. "Chapter 3: Monitoring and Evaluation" In *Poverty Reduction Strategy Sourcebook, Volume 1 – Core Techniques and Cross-Cutting Issues.* **Washington D.C.: World Bank.**

This chapter provides guidance on the development of a monitoring and evaluation

(M&E) system to assess the effectiveness of poverty reduction strategies. The guide outlines the process of establishing a poverty monitoring system, identifies types of evaluations, and offers guidance on building capacity and the role of non-governmental actors in M&E.

Preston-Whyte, E. and Dalrymple, L., 1996. 'Participation and action: reflections on community-based AIDS intervention in South Africa.' In De Koning, K. and Martin, M. (eds) *Participatory Research in Health: Issues and Experiences.* **Johannesberg: National Progressive Primary Health Care Network. Pp.108-118.**

A reflexive and critical evaluation of a drama-based AIDS education programme implemented in black secondary schools in Kwazulu. Teams of trained drama facilitators and community nurses visited secondary schools and presented AIDS information in the form of a play they themselves devised to suit local conditions. Thereafter, they work with the young people and teachers and help them compose their own dramatic presentations of the AIDS message. The results include not only student plays but poems, dances, and mimes. The authors acknowledge that neither the schools nor the wider community were consulted about the advisability either of introducing an AIDS education programme or of the manner in which it was done.

Pretty, J. N., 1995. 'Participatory learning for sustainable agriculture,' *World Development***, 23 (8), 1247-1263.**

As more agricultural professionals embrace sustainable agriculture, the need for new systems of learning based on participatory methods has become evident. This paper addresses issues involved in defining sustainable agriculture and the implications for agricultural professionals.

Pretty, J.N., Guijt, I., Scoones, I. and Thompson, J. 1995. *A Trainer's Guide for Participatory Learning and Action***. London: International Institute for Environment and Development (IIED).**

Primarily a trainer's guide but also presents a range of games and exercises of potential use to PM&E. Tools focus on group dynamics, listening and observation, analysis and reflection, conducting self-assessments, and action planning.

Rietbergen-McCracken, J. and Narayan-Parker, D. 1998. *Participatory tools and techniques: A resource kit for participation and social assessment***. Social Policy and Resettlement Division, Environment Department. Washington, D.C.: The World Bank.**

The resource kit aims to share information and experiences on participatory methods in order to support the adoption of participatory approaches in World Bank-supported projects and studies. The materials have been selected to provide core essential information about the different methods and applications, with the primary focus on providing practical guidance and case examples. The kit is written for two audiences: 1) World Bank staff interested in learning more about the use of participatory methods and social assessment; 2) trainers both within and outside the World Bank who are looking for support material to assist them in designing and delivering training events on participation and social assessment.

Roche, C., 1999. 'Methodological issues: using participatory tools.' In *Impact Assessment for Development Agencies. Learning to Value Change***. Oxford Publishing: Oxfam. 137-150.**

Participatory methods are commonly used by development agencies for impact assessment in the format of Rapid Rural Appraisal (RRA) or Participatory Rural Appraisal/Participatory Learning and Action (PRA/PLA). The author discusses the use of specific participatory tools, drawing on program case studies to illustrate the benefits and pitfalls of each method. Roche concludes that participatory tools were often used inappropriately, involving considerable participant time, and affecting the result's credibility. The author concludes that researchers need to ensure participatory tools are undertaken for essential research.

Robb, C. A. 2000. 'How the poor can have a voice in government policy,' *Finance & Development***, 37 (4), 22-25.**

Unsuccessful top-down approaches in sustainable poverty reduction have led the World Bank and IMF to support consultation with civil society in the development of poverty reduction strategies and programs. Policymakers have begun this process by adopting the participatory poverty assessments (PPA) research tool. PPAs utilize flexible methods to collect data, including

visual and verbal techniques, and through information sharing, analysis and action. This paper investigates the impact of PPAs on policymaking and the benefits of adopting a participatory approach in poverty reduction strategies.

Selener, D. 1997. *Participatory Action Research and Social Change*. New York: The Cornell Participatory Action Research Network, Cornell University, Ithaca.

Smith, M. F., 1999. 'Participatory evaluation: not working or not tested?' *American Journal of Evaluation*, 20 (2), 295-308.

A review of Cousins and Earl's edited book of readings on participatory evaluation (1995). This review appraises the level of participatory evaluation, as espoused by the editors, evident in case studies provided in the readings.

Srinivasan, L., 1993. *Tools for Community Participation: A Manual for Training Trainers in Participatory Techniques*. Washington, D.C.: PROWWESS/UNDP-World Bank Water and Sanitation Program.

This manual focuses on PROWWESS' field experience of adapting and building on the SARAR methodology (Self-Esteem, Associative strengths, Resourcefulness, Action planning, Responsibility) in the Water Supply and Sanitation Sector. It begins by describing community participation in development in a broad sense and how participatory training works. The manual then outlines the resource and logistical requirements for organizing a training workshop as well as how to design and evaluate the training itself. Post-workshop activities are also outlined. The main part of the manual is a description of participatory training methods that workshop participants can then use in their professional work. Methods range from establishing group dynamics to enhancing creativity using unserialized posters, from investigative techniques such as pocket charts and community maps to analytical methods such as card pile-sorting and mini-case studies. Participatory techniques to assist with planning, developing a sense of field reality, and theory on community participation are also described. Many of the techniques and activities included in the manual are described in a "how to" step-by-step fashion.

Stewart, S. 1995. *Participatory Rural Appraisal: Abstracts of sources. An Annotated Bibliography*. Development Bibliography Number 11. Brighton: Institute of Development Studies.

Stevens, P., and Hall, J. M., 1998. 'Participatory action research for sustaining individual and community change: a model of HIV prevention education,' *AIDS Education and Prevention*, 10 (5), 387-402.

This paper provides an overview of a participatory action research project involving HIV prevention education for lesbians and bisexual women. Merging participatory research methods, the project identified high-risk behaviour amongst the participants of the program. The authors outline the process of implementation and evaluation and outcomes that can be achieved through participatory action research.

UNDP. 1997. *Who are the Question Makers? A Participatory Evaluation Handbook*. New York: Office of Evaluation and Strategic Planning, United Nations Development Program.

This handbook has been designed by the Office of Evaluation and Strategic Planning for resident representatives, national and international staff, and junior professionals. Presenting an overview of participatory evaluation, a training module and case study, the handbook has been prepared to provide UNDP staff with an understanding of participatory evaluation and to facilitate the introduction of participatory evaluations into UNDP programming.

UNDP. 2002. *Guidelines for outcome evaluation: monitoring and evaluation companion series, #1*. New York: UNDP Evaluation Office.

The UNDP has developed outcome evaluation guidelines to complement the *Handbook on Monitoring and Evaluating for Results*. Designed for outcome evaluators, this publication provides a review of outcome evaluation and identifies differences between outcome and project evaluations. Methodology framework for conducting outcome evaluations is provided in the publication.

UNDP. 2002. *Handbook on monitoring and evaluating for results*. New York: UNDP Evaluation Office.

The UNDP has developed this handbook in efforts to improve the monitoring and

evaluation of development results. The handbook aims to align monitoring and evaluation systems with results-based management, in order to measure and track the outcomes of development interventions and strategies. Designed to support UNDP country offices, the handbook is also a useful tool for other organizations and independent evaluators engaged in development work and monitoring and evaluation.

Uphoff, N., 1989. *A field methodology for participatory self-evaluation of PPP group and inter-group association performance*. Food and Agriculture Organization of the United Nations (FAO).

This paper outlines a self-evaluation methodology for the People's Participation Programme (PPP) by evaluating PPP group reports and inter-group association activity in Ghana, Sri Lanka, Zambia and Zimbabwe. This methodology aims to assist PPP groups establish their own participatory self-evaluation capability and strengthen their ability to meet member's needs.

USAID. 1996. *Performance monitoring and evaluation tips. Conducting a participatory evaluation*. Washington D.C: USAID, Center for Development Information and Evaluation, No 1.

USAID is advocating participation in all aspects of development work, as it empowers those involved in the process. This article is valuable to those who have no or little or knowledge of participatory evaluation. The authors succinctly discuss the participatory evaluation concept, its advantages and disadvantages and appropriate use.

Wallerstein, N., 2000. 'A participatory evaluation model for healthier communities: developing indicators for New Mexico'. *Public Health Reports*, 115 (2-3), 199-204.

In 1992 the government of Mexico provided $200,000 towards a Healthier Communities initiative based in New Mexico. This paper provides an overview of a participatory evaluation model developed as part of the Healthier Communities program. The author outlines evaluation principles, research questions and findings establishing links between process, system impacts and improved health amongst target populations.

Wang, C., Burris, M. A. and Ping, X. Y., 1996. 'Chinese village women as visual anthropologists:

A participatory approach to reaching policymakers.' *Social Science & Medicine*, 42 (10), 1391-1400.

Photo novella provides rural women with cameras to record their lives and health needs from their own perspective, in order to improve collective knowledge of women's health and inform policymakers and the broader society of rural women's concerns. This paper assesses the ability of photo novella to influence policymakers based on the experiences of the Ford Foundation's Yunnan Women's Health and Development Program in China.

World Bank. 1996. *Monitoring and evaluation guidelines for World Bank-GEF International Waters Projects*. Washington D.C.: World Bank. International Waters Series, Paper no. 37.

These monitoring and evaluation (M&E) guidelines have been developed by the World Bank to assist staff and consultants working on international waters (IW) projects and serve as a reference for organisations and individuals involved in the design, implementation and evaluation of IW projects. This paper outlines technical aspects of M&E, with particular focus on environmental and socioeconomic performance indicators. The paper reviews the organisational aspects of M&E plans and strategies and concludes with guidance for their development.

World Bank. 1999. *Consultations with the Poor: Methodology Guide for the 20 country study for the world development report 2000/01*. Poverty Group, Washington D.C Poverty Reduction and Economic Management Network, World Bank.

This guide was developed for country teams undertaking the *Consultations with the Poor* study for the *World Development Report 2000/01*. The guide includes background information and guidance on the process of the study, time frames, issues explored, methodology preparation, the fieldwork process and reporting formats.

World Bank. 2002. *Monitoring & evaluation: some tools, methods & approaches*. Washington, D.C.: World Bank.

Monitoring and evaluation (M&E) is an important tool for improving development planning, service delivery and demonstrating results. This paper outlines M&E tools, methods and approaches in order to clarify M&E in the context of development activities. Included in this discussion are performance

indicators, the logical framework approach, theory-based evaluation, formal surveys, rapid appraisal methods, participatory methods, tracking surveys, impact evaluation, cost-benefit and cost-effectiveness analysis.

World Bank. 2002. *Sleeping on our own mats: An introductory guide to community-based monitoring and evaluation*. Washington D.C: World Bank Community-Based Monitoring and Evaluation Team.

World Bank evaluations show that community-based projects in Africa perform better than other projects in general, however only one in five are sustainable. In order to increase the sustainability of community-based projects World Bank staff and consultants, NGOs and government partners undertook participatory action-research in 26 communities in Niger, Benin and Cameroon. The aim of this research was to develop locally appropriate monitoring and evaluation (M&E) systems to assist communities to link M&E of their development activities to local development plans and community development. This paper outlines the findings of participatory action-research undertaken and the M&E system developed. The paper is designed to assist development practitioners train community development workers to support community-based M&E.
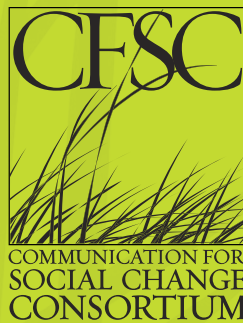
WHO and UNDP/World Bank. 1997. *The PHAST Initiative. Participatory Hygiene and Sanitation Transformation: A New approach to working with communities*. Geneva: World Health Organization.exi

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