THE REALITY OF RESEARCHING COMPLEX PROBLEMS: THE POSSIBILITIES, BENEFITS AND CHALLENGES OF THEORY INFORMED PRACTITIONER-BASED ACTION RESEARCH

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FOR PANEL 'WHAT DO PRACTITIONERS REALLY NEED FROM ACADEMICS? SEARCHING FOR BEST PRACTICES'

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Section 1: INTRODUCTION

'I came to theory because I was hurting, the pain was so intense that I could not go on living. I came to theory desperate wanting to comprehend, to grasp what was happening around and within me. Most importantly I wanted to make the hurt go away, I saw in Theory a location for healing' (Hooks, 2014)

A quote from a radical black feminist, such as Bell Hooks, is probably not the first thing that you think of when exploring the subject of researching complexity. As a sector we are all familiar with the concept of 'theories of change' and in my previous role of an M&E officer 'logical frameworks' and 'theories of change' were my bread and butter. But this quote speaks to me, as it highlights not just the functional but the transformational impact that theories can have. In truth, prior, during and after my study, I have utilised theory to conceptualise my experience and to heal myself.

Like an increasing number of individuals, I took a non-conventional path into academia. Before starting a PhD in international social work I was trained as an engineer and engaged as a practitioner working on humanitarian programmes in Cambodia and Malawi.

Whilst there is not the time or space to highlight these experiences here, it is fair to say it mark. I didn't do a PhD for academic Kudos, I did a PhD because I believe it would afford me the time and space to reflect on my experience and the opportunity to create knowledge that might create a real change.

In this presentation I discuss my personal experience of using theoretical tools for real-world research and practical transformation. In retrospect, I can see that like Bell Hooks, I was also utilising theory as mechanism for coping and understanding the humanitarian world.

As will be discussed in my research I adopted practitioner-researcher, through this process I acquired unique insights into complexity but also faced personal challenges which changed the way I viewed my own work and research.

Whilst I completed my study two years ago, an 80,000-word thesis or a twenty 20minute presentation can't do justice to what I learnt and the impact that the experience had upon my life and the lives of those involved. But for the sake of trying to demonstrate the power of theory-in-practice and opportunities to enhance outcome validity, I will try.

My research did not take place in a humanitarian setting, I believe it raises important questions in regard to practitioner-academic relationships and the need to critically explore 'theories of change' whilst situated in context. What are theories of change? Do they really inform our work? are we making assumptions based upon particular ways of knowing? and do we really understand the reality of trying to utilize these in practice?

Section 2: BACKGROUND / CONTEXT

Accountability

Accountability, refers to how you are held to account, is a subjective and nuanced term which gained prevalence and populated in the 1980's and 1990's. Generally, it can be considered as

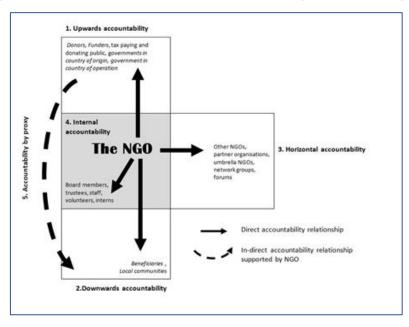
'how you ensure and demonstrate responsible action' (Adelaine, 2016)

Whilst the mention of the word 'accountability' often brings people's thoughts to donor and financial accountability, historic events in the humanitarian sector highlight the importance of a more holistic view (O'Dwyer and Unerman, 2008).

In 1994, failures in aid delivery forced attention on 'beneficiary accountability' (Eriksson et al., 1996). In last year attention on the treatment of staff (Amnesty International, 2018) and sexual exploitation of vulnerable communities (Oxfam, 2018) has forced attention towards accountability to staff and core values. Something known as 'internal accountability'.

As Mulgan highlights, 'the scope and meaning of *accountability* has been extended in a number of directions well beyond its core sense of being called to account for one's actions' (Mulgan, 2000:555). Today we also consider ex-ante accountability; we consider not just how to report responsible action, but how accountability standards and frameworks can be utilised to ensure responsible action (McGee and Gaventa, 2010).

As an aid worker accountability was problematic, I was torn in multiple directions I had to ask: What is responsible action? what am I accountable for? Who am I accountable to? How can I measure / demonstrate responsible action? How can I maintain and ensure (not just measure) responsible action?



(Adelaine, 2016)

In reality tensions and conflicts emerge when practitioners have to juggle accountabilities. Ebrahim asserts that 'what is missing from much of the debate on accountability is an integrated look at how organizations deal with multiple and sometimes competing accountability demands' (2003:815).

Whilst I had previously studied disaster management, when I came to managing an emergency response I rapidly learnt that the textbooks didn't cover the reality of my world.

So when I was given the opportunity to study I choose to focus my attention on accountability. I wanted to bring the reality of practice to life, I wanted to understand my own experience and I wanted to create a practical solution. My aims were as follows:

Aims

Aim 1: To explore an NGO practitioner's experience of managing multiple accountabilities within a practice-based setting.

Aim 2: To identify a functional way in which NGO accountability may be enhanced.

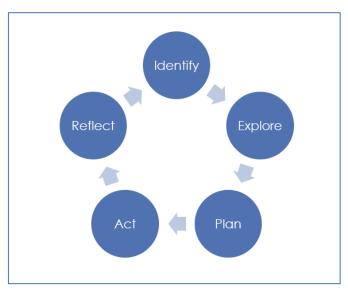
Section 3: METHODOLOGY

Action Research

Fendt and Kaminska-Labbé highlight that there is longstanding and intense awareness 'that the output of theory often fails to have an impact on what practitioners do' (2011:218). In the 1940's Kurt Lewin purposely developed a methodology that he hoped would bridge the theory-practice gap; he called this methodology, action research. The point of action research for Lewin was to 'achieve a closer interaction between social research and praxis' (Johansson and Lindhult, 2008:98). Famously stating that there is 'nothing so practical as a good theory' (1951:169).

Action Research should not be considered as a singular definite methodological approach, but rather a methodological genre, with a huge range of variations and interpretations. In my methodological approach I utilise several variations.

One aspect that that is common in nearly every type of action research is a cyclical process of action and reflection. For many action researchers, the distinguishing feature of action research is 'the active and deliberate self-involvement of the researcher in the context of his/her investigation' (McKay and Marshall, 2001:47).



Classical Pragmatism & Dewey

Dewey

Authors such as Coghlan and Brannick (2005) assert that action research in its traditional sense comes from the work of Kurt Lewin (Lewin, 1946, Lewin, 1948, Lewin, 1951). However, Boog proposes that whilst Lewin is often credited with coining the phrase *action research*, it is, in fact, the work of Dewey that is the first that can be labelled as action research (Boog, 2003:429).

From all of the different action research approaches I could have picked from I was particular drawn to Dewey's work In the 1920s Dewey, James Herbert Mead (1863–1931) and Addams Jane Addams (1860 – 1935) worked alongside each other within a settlement house for European immigrants and women. Dewey, Mead and Addams aspired to develop pragmatism as an approach to philosophy that would improve 'people's social and democratic participation in society. In particular Dewey aspired to develop pragmatism as an approach to philosophy that would improve 'people's social and democratic participation in society and to establish social equality and social justice' (Boog, 2003a:429).

Grand theories and mirrors

Drawing from the work of Peirce (1878) Dewey asserts that mind and matter, the subjective and empirical cannot be separated. He argues that human interaction with the world is so complex, and every context so unique that the creation of grand theories and blueprints is impossible. Even if you were to know something in one context, to prove that our theory or blueprint was correct, it would not be correct in a different context.

For this reason pragmatists don't tend to make conclusions, they make warranted assertions. Bracketed assertations about what might work or might be true, but which would need further exploration.

Dewey believe that the purpose of philosophy and research was not to put a mirror up to the world, to reflect it, but rather the purpose of philosophy and research is to change the world.

Armchairs

Dewey was particularly sceptical of philosophers who engage in 'armchair speculation' to create utopian ideals without offering practical means of arriving at such a point. He stated that many philosophers do not face the 'hard tangled realities that confront us' (Bernstein, 1971:202). Dewey lived and breathed his belief in the inextricable relationship between theory and action, for him the only way to generate knowledge was through Action.

Theoretical Maps

Dewey often used the metaphor of a map to explain theory. He explains that whilst a map it is intended as a conceptual tool for understanding reality, the map itself is not reality. Dewey states that 'maps are propositions and they exemplify what it is to be propositional. [...] Like a chart, indeed, like any physical tool or physiological organ, a proposition must be defined by its function' (Dewey, 1938:146). Pragmatists treat theories as instruments, 'to be judged by how well they achieve their intended purpose. The content of a theory or concept is determined by what we should do with it' (Hookway, 2013:14).

Adelaine's (2016) Multi-Dimensional Action Research Methododology

My exploration of Action Research and of Dewey's concept of theoretical maps, drew me to the conclusion that to learn I had to construct and trial my own theoretical map in practice.

Identify & Explore

Whilst I had a general understanding of accountability, my literature review was utilised as part of the action research process to identify and explore the issue. I also engaged in several informal discussions with NGO practitioners. In summary the issues highlighted were as follows:

- ▶ There are frequently different interpretations of what accountability is
- ► Certain accountability actors are much more influential than others
- ▶ Beneficiaries and young people are often marginalized when it comes to accountability
- There is general agreement that participation in knowledge creation, project design, monitoring & evaluation would be beneficial but there are widespread accounts of struggle to accomplish this.
- ▶ Beneficiary involvement tends to be tokenistic and frequently unethical

For every issue identified I explored relevant theories and assertions on high to address these issues.

Plan

My identification of issues regarding accountability made it clear that one of the major issues was the distortion between the power of different actors. To address this issue I decided to create a practice model (Participatory Inquiry in Practice) which was specifically designed to enhance young people's stake as accountability stakeholders.

The model incorporated aspects of Youth-led Action Research and integrated participatory design, monitoring and evaluation. Informed by systems theory, critical theories, participatory theories, social action, the practice model PIP most closely resembled an approach known as social action (Fleming and Boultan, 2006).

Act

In order to trial the model my study took place in Uganda, with a local partner Organisation Uganda Youth Development Link (UYDEL). Over a period of a year and a half, I adopted the role of practitioner-researcher, working with young women in the slums of Kampala and exploring the subject of NGO accountability.

I negotiated with the partner organisation that I should work as a practitioner alongside two local facilitators. Each week I met with the facilitators to reflect on our practice and upon PIP the practice Model. Session reflections were also undertaken after every session with young people.

I spent over a year working in two different 'slum areas' of Kampala. Two groups of 10 young woman (15-25) located in different urban areas of Kampala. 96 x 3 hr. practical sessions conducted

Reflect

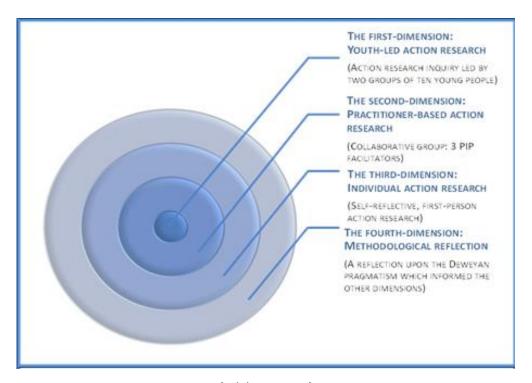
To facilitate the reflection process a follow-up visit was conducted six-months after my original departure. I revisited both sites, interviewed key stakeholders, conducted FGDs with young people and negotiated dissemination of research & prelim findings Data collection

Data Collection

I adopt a multi-dimensional approach to action research, which consists of *individual*, *practitioner-based* and *youth-led* forms of action research

- ▶ 1st Dimension: research and tools designed by <u>young people</u> (knowledge generated through implementation of PIP the practice model: young people's own learning / research and knowledge created and owned by the young people involved)
- ▶ 2nd Dimension: Session planning and session reflection sheets, weekly <u>collaborative</u> planning & review meetings (knowledge generated through collaborative reflections on PIP the practice model)
- ▶ **3rd Dimension:** Diary, field notes, session summaries, monthly reports, annual reflections, semi-structured interviews, session observations, document analysis (knowledge generated by independent and post-event reflection of PIP the practice model)

- ▶ 4th Dimension: Follow-up visit, focus group discussions, semi-structured interviews (knowledge generated by a 6-month follow up and a reflection on the methodological approach)
- At all levels my analysis focused upon change, inhibitors and levers



(Adelaine, 2016)

Section 4: WARRANTED ASSERTIONS

The Young People's Journey

- ▶ 3 Quantitative youth-led surveys, designed, conducted and analyzed
- ▶ Unique insights into youth unemployment & Urban crime
- ▶ Young people utilized newly generated knowledge for writing project proposals
- ► Young people co-created dissemination and advocacy material created. Research presented at NGO and UN conference
- ► Young people facilitated beneficiary feedback sessions with peers

Findings

Practice level considerations	Strategic level considerations
Implementation had to be context sensitive	Participatory approaches offer opportunities for enhancing all forms of accountability
Change was non-linear and unpredictable: uniformity was not possible	A nuanced approach to power and empowerment is necessary to understand and enhance equality in accountability

Accountability depended on people	Change was subject to, and resulted in, complexity
Small things mattered	Attention to process is needed to Understand and enhance accountability
Power emerged in subtle ways	Accountability systems need to acknowledge and support the human dimension
Group work, the capacity building, supporting skill development was important	Participatory approaches offer opportunities for enhancing all forms of accountability
Commitment to values was essential for responding to emergent challenges	A nuanced approach to power and empowerment is necessary to understand and enhance equality in accountability
Implementation had to be context sensitive	Change was subject to, and resulted in, complexity
Change was non-linear and unpredictable: uniformity was not possible	Attention to process is needed to Understand and enhance accountability
	Accountability systems need to acknowledge and support the human dimension

Complexity unveiled

My role as a practitioner-researcher enabled me to see complexity in a manner that is not usually evident. In constructing a practice-model I had aimed to locate theories of practice that increased the voice of young beneficiaries and which had an overall positive impact upon accountability. My original practice model was partially premised upon systems theories that argued that greater awareness and connectivity would be beneficial. I had aimed to construct guidance, toolkits and manuals that would aid other practitioners.

However, the two sites were so different I couldn't generalise anything. The issues that affected the young people's lives and the causes of these issues were so different. Every activity I tried had a different outcome each time I tried it.

Whilst there had been positive change overall, I noted how change tended to be episodic and non-linear. How we worked was subject to unpredictable events. No carefully how much you planned and no matter how many times you had done a certain activity, there was no way to predict events.

The original model was strongly premised on systems theory. It didn't work, the subject of accountability was too complex; there were too many moving factors; we could identify, let alone map all of the stakeholders; and each site was unique. A blueprint not possible or recommended what we realized was that adaptivity needed.

Initially, I despaired at my findings. I couldn't create a blueprint or a guide for practice. What enabled us to work effectively was the process on focus, our regular reflection and ability to be adaptive. When I came across Boulton's et al. (2015) book on complexity (highlighted in box1), it was like I was looking at a mirror of my experience. Instead of systems theory I recognized that what we experienced was typical of what can be defined as a 'complex issue' and the practice we developed echoed what is recommended by complexity theorists. I realised that effectively I and the local facilitators had dropped systems theory and had decided to run with complexity.

Systemic & synergistic

- ► There are multiple interacting causes
- ► There are multiple and interacting outcomes

Historical & Path dependent

- ► Context Sensitive What happens, what changes, is affected by the local details
- ► The context itself is dynamic and changing during the project

Emergent

- ► Interventions may have unintended consequences
- ▶ New factors can emerge that were not expected or planned

Episodic

► Change is episodic, it happens in 'fits and starts'

Box 1: (Boulton et al., 2015)

As Dewey points out, 'problems are constantly changing and, therefore, require conceptual tools which must be constantly refashioned to meet the new demands' (Flowers and Murphy cited in Shields, 2006:23). The process of practitioner-based action learning allowed me not only to test theories of change, but it enabled me to continually refine and develop my model of practice.

PIP the Practice Model 2.0

The data I gathered, from journaling; collaborative discussions with my co-facilitators; observations; document analysis; key-person interviews and focus group discussions allowed me to re-design the original practice model. Themes emerged on subjects of power, process and complexity.

In light of my findings I developed a reworked version of the practice model within my final dissertation. Numerous changes were made with an account of why. Of particular note were the following:

- A nuanced approach to power
- ► Greater support and recognition of the role of facilitators required
- ► A blueprint not possible or recommended, adaptivity needed
- ► Relevance of <u>complexity theory</u>, not systems theory

Section 5: PRACTICAL REALITIES

Collaborative Working

Facilitating Action Research in this way required collaboration with multiple actors, not just the partner NGO. Research stakeholders included:

- Uganda Youth Development Link (Head Office & staff facilitators)
- The UK's Economic & Social Research Council (ESRC)
- De Montfort University (supervisors, ethics committee)
- Makerere University (University & Local Supervisor)
- Uganda National Council for Science & Technology (UNCST)
- Local Leaders
- Administrative Leaders

- Local Community
- Young People

The process of collaboration was complex and led to an initial false start. In 2011 negotiations begun with a UK based NGO; however, after a scoping visit was undertaken in June 2011 a decision was taken to cease collaboration after large-scale organisational changes impacted upon discussions. As Roper highlights 'the potential for academic–NGO collaboration is enormous, but such collaboration is far more difficult than it appears on the surface, even when collaborators share a commitment to, and values that support, a particular cause or issue' (Roper, 2002:338). Following the breakdown of this original collaboration a decision was made to negotiate partnership from within Uganda so that the suitability of the collaboration could be assessed first-hand. Garrett argues that 'despite apparent benefits, explicit collaborations between research and operational organisations are not common. Institutional perceptions throw up barriers to working together' (2010:295).

'Each sector will have its own priorities and may struggle to accept the different priorities of others, but a robust discussion explaining why a particular principle matters to one or other partner may go a long way to reconciling apparent differences and to achieving compromise' (Tennyson, 2005).

When establishing collaborations. I came to realise that my practice experience was exceptionally helpful. I understood the language utilised by NGOs and could navigate researcher mistrust. Korten (1990) argues that 'some NGOs actively espouse an ideological disdain for management of any kind, identifying with it the values and practices of normal professionalism, and placing it in a class with exploitation, oppression and racism' (Korten cited in Lewis, 2007).

Lack of sector and context understanding in conjunction with the very real potential for *research fatigue* may be reasonable grounds for practitioners to be sceptical of academics and academic research. As stated by Roper 'it is not unusual, particularly in activist or community-based NGOs, to find an anti-academic bias (Roper, 2002:341).

Whilst research negotiation was complex with organisations, it took several months to gain the trust of the young people involved as they had experienced research before, where their time and identity had been exploited. Trust had to be developed with not only myself but also with each other.

'The girls initially were mistrustful (of me and each other), they had no experience of team work, or being listened too seriously. Now the girls were showing definite signs of acting as a team, they are passionate about their subject choice'

Secondary Impact

Barr 2003 claims that 'professions work better together when they learn together' (McLaughlin, 2007). The secondary follow-up visit highlighted significant secondary impact experienced by all those involved.

- Two new businesses started, the business premise also provided accommodation for one young person
- ▶ Negotiated benefits of participation included English lessons. Young people acquired language skills and some young people became literate for the first time
- ► Notable increases in confidence and groupwork
- ► Enhanced status in the local community
- ► Improved relationships with local leaders
- ▶ Improved working practices, policies & procedures for the NGO partner
- ▶ Staff development and training for students at Makerere University

The Human Factor

As a social work researcher, I am trained to systematically engage in what is known as 'reflexive practice' a process which forces one to reflect upon the impact of personal power, politics, values and identity. As noted by reflexivity, is a process that requires researchers to reflect and be transparent about 'how research is affected, in terms of outcomes and process, by one's own position as a researcher' (Fox et al, 2007:186). As such, these topics were reflected within my journaling and readers will note that this critical reflection emerges within my discussion.

My Identity

In research identity matters, as trust and the honesty of those you engage will change dependent upon the identity of the researcher. Arguably in practice-based action research. It matters more than with traditional methodological approaches. In my research I purposefully employed co-facilitators, to work with me on my research, whose identity was similar to the young people's.

However, whilst in the UK I identify as a black or mixed heritage woman in Africa I am usually regarded as white. Over the duration of the research I noted that the young people initially referred to me as white but later shifted to calling me brown. I was never referred to as black. My privilege in education and British nationality was always apparent.

'For the girls, honestly, they still see you as someone who is better than them [...] You can't really blame them because you are a Muzungu, they see that you are from the UK and that's powerful, no matter what you do'

(Co-facilitator interview, Adelaine, 2016)

Whilst I do not have the time to deconstruct this issue here, it was also noted that I also felt that my identity as a mixed-heritage, working class woman also made me an outsider to expatriate aid workers, but helped me engage better with others.

Blurred lines

My professional identity was also significant. As I stepped between the role of academic and practitioner I and others became confused about my positionality. At times I forgot I was a researcher or didn't care that I was a researcher. My only saving grace in this factor was that I established systematic data collection processes that were maintained regardless. Part of the reason why I forgot my positionality as the demand on an individual being a practitioner researcher is huge.

'there is a limit to how much I can do. I feel like I have only just managed to keep my head above water'(Adelaine, 2016)

However, in truth things became blurred when I experienced trauma.

Emotional toil & toll

Over the course of my study, I experienced an armed robbery on my house, malaria, frequent illness caused by working in the slum areas, a motorbike crash, being tear gassed in a riot and the death of a young person. Through the practitioner side of my role and the 96 practice sessions I engaged in, I unavoidably developed an attachment to the young people involved. It was the death of the young person which crushed me and made me not want to continue.

'I miss the young person that died, I liked her a lot, she was really funny and vibrant; the glue of the group. I keep on wondering if there was anything more I could have done. I feel guilty [...] it seems like the world doesn't care what happens to them, if they live or die. I wanted to stay longer with the girls and chatted to them for quite a

while after the end of the session. I didn't want to leave, my stomach turned with anxiety as I left the slum at the end of the day. Reality has hit, I don't know if they will be ok' (Adelaine, 2016)

Risk

Working in challenging environments in a less distant research role introduced risk factors for myself and others. When working in such contexts I recognised that sometimes there is no ideal solution.

'I am not happy with the location I use' (MR-S: Apr, 2012). The main problem in Makindye was in relation to the size of room available for group work. In Kawempe safety was a major concern; '[... it is] the best possible in the local area, nowhere in the slum is particularly safe'

The collaborative partnerships with I developed with community leaders, local NGOs and most significantly young people. Kept me safe, and enabled ethical research to be facilitated in areas where research is not normally possible.

However despite, numerous safeguards, very incidents occurred which had a personal physical and psychological impact upon myself and others involved.

'Turns out I narrowly missed a major riot yesterday. I was in the bus park at 1pm at around 11am the police were letting off live ammunition and tear gas'

'Woke up the other night to gun shots as my guard was scaring off intruders from attempted break-in number 4'

'Malaria symptoms started today. I was feeling quite sick, quite unenergetic and illprepared. I felt like fainting at parts of the session. I asked the girls if we could finish early and skip English, but the girls wanted this lesson so I continued'

Ethical Rigor

One of the main warnings I give to practitioner-based action research, or to any research in complex environments is that ethical Rigor needs to be considered. I assert that research undertaken in challenging contexts should not be undertaken without a comprehensive understanding of risk to all involved.

My research went through an ethics review procedure 7 times. An iterative process developed as a result. The continuous process of reflection integrated into the design allowed us to adapt our work to account for political strife and even Ebola outbreaks.

Adaptive safeguarding mechanisms were required to cope with the challenges which emerged. Almost accidentally, I developed an adaptive approach to risk and safeguarding as I integrated ethical reflections into all of my weekly meetings.

It was the processes and relationships I developed that kept myself and those involved safe. The intensive and comprehensive ethics process had an independent impact, the young people and local community recognised that care was being taken, that they were being seriously listened to in regards to their concerns. Furthermore, the process of bringing together different stakeholders to talk about their fears and concerns helped to establish relationships which were sustained beyond the life of the research.

My study incorporates exploring a new methodology with highly vulnerable children; in a post-conflict environment and developing country. As such ethics is a greater consideration and has required a lot of time, cost, consideration and dialogue. [..] If I

wasn't experienced working overseas, I think it might have been all too much (Adelaine, 2016)

Heikkinen *et al.* assert that the criterion is not that good research should be ethically perfect and faultless, but that 'research should be able to analytically approach ethical questions and to propose solutions to them' (Heikkinen et al., 2007:15).

Section 6: CONCLUSION

Whilst I had engaged in both research and practice previously, I had never done these things simultaneously. The experience changed the way I conceptualised both and gave me insights that I have never fully been able to communicate.

McTaggart asserts that what distinguishes action research from other research strategies 'lies in the commitment of action researchers to bring about change as part of the research act' (McTaggart cited in Brydon-Miller et al., 2003:15). The follow-up visit highlighted that the research process in itself had stimulated change and altered the life course of nearly everyone involved. It had what is referred to as outcome validity.

Traditional research tries to reflect reality, Action research tries to change reality. Dewey (1920) highlights the dangers of creating generalised solutions to complex problems; he states that these 'short-cut' solutions do not get rid of the problem, they only rid us of the feeling and consciousness of the problem. He states, that the first distinguishing characteristic of thinking is 'facing the facts – inquiry, minute and intensive scrutinizing, observation' (Dewey, 1920:140).

Individuals adopting a researcher – practitioner role are uniquely placed to acquire complex insights and to stimulate immediate change. However, any research in a complex environment is subject to additional stress factors. No amount of work can prepare you for every eventuality, you have to integrate adaptive processes in to the design.

Subsequent to my doctoral study, I have utilised the methodological approach in various contexts. Currently I work as a part of a team look at diversity and inclusion within NHS, utilises this approach to explore how to create systemic change in a complex organisation.

Recommendations

- Be more innovative regarding methodological approach
- Don't fear theory
- Blur the practitioner-academic lines
- Consider outcome validity
- Consider ethical rigor

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