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TOWARDS AN EVALUATIVE FRAMEWORK FOR PUBLIC PARTICIPATION IN NGOs

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Euclid Mafemani Mathye

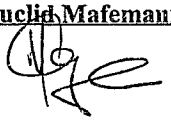
A Discourse submitted to the Department of Town and Regional Planning, Faculty of Architecture, University of the Witwatersrand, Johannesburg in partial fulfillment of the requirements for the Degree of Master of Science in Development Planning.

Johannesburg, 1998.

DECLARATION

I declare that this discourse is my own. It has not been submitted previously for any degree or examination in any other University.

Euclid Mafemani Mathye



1998- 10- 07

University of the Witwatersrand , Johannesburg, 1998

DEDICATION

I dedicate this discourse to my family for their support.

Special thanks to my mother for everything.

ACKNOWLEDGEMENTS

* I would like to thank the Almighty God for his strength.

* Also thanking my supervisor Mr Brian Boshoff for his constructive guidance and advises. Without him I would not have managed.

* Not forgetting my family, friends, relatives and class mates.

INKOMU ! !

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CHAPTER ONE

1. INTRODUCTION

" Public participation has become an ubiquitous concern in international and local development work, affecting even the largest donor agencies" (Carroll, 1992: 79). To achieve such a participative approach , some of the authority of the central governments has to be delegated to local organisations or NGOs. Such agencies or non -governmental organisations have to prove their willingness to learn from and support local experience and initiatives. Effective participation implies involvement not only in information collection, but in analysis, decision making, implementation (Wright and Nelson, 1995: 160).

Non governmental organisations have become the relied upon entities in provision of development in most countries. NGOs are viewed to be able to provide services where government lack the expertise or unwilling. NGOs are preferred for their close ties with the communities in which they work and their reputation for not working for political and economic power, but for the just society.

Because of this very nature of NGOs , it is expected that people will be involved in development projects. Since participation has become accepted and recognisable objective in development programmes and projects, the issue of its evaluation has come into question (Oakley 1991). That is it has to be established as to whether it is achieved or not. Evaluation is an important component of the project cycle , but for evaluation of participation there is little, if not existing at all of practical guidelines of how to evaluate participation. It is for this reasons that most development projects are less likely to succeed as the communities are not involved in those projects , and there is no evidence to identify such exclusions.

Therefore, this discourse tries to highlight the importance of including citizens within development activities and the need to verify such inclusions through evaluation programmes. For the above to be possible and effective , the discourse will provide the practical guidelines for conducting such evaluations. This is done through the discussion of

a conceptual public participation framework which include the criteria for evaluation.

2. STATEMENT OF PURPOSE OF DISCOURSE

This discourse considers the interventions of Non Governmental Organisations (NGOs) in both rural and urban communities. Many NGOs have, as one of their objectives , citizen involvement of the community in which they work. However, such public participation does not always occur ,or rather there is no clear evidence of whether is sustained or not. Therefore , the discourse provides planners and \ or others with a mechanism or means to evaluate NGOs efforts at public participation. It will also highlight the main areas which need to be addressed in public participation. This evaluative framework can also facilitate and ensure that participation is efficiently and effectively practised to its fullest potential. The framework would also help to identify whether NGOs are merely paying lip service regarding participation.

This evaluative framework would in another way be another form of public participation, as the evaluator will be required to be directly involved not only with the NGOs, but mostly and importantly with the communities. Thus the contents of the framework will be the guiding principles in effectively observing the true and genuine practice of participation. This participation evaluation framework is deemed necessary , as participation is mostly said to be taking place by the project agencies(NGOs), whereby at the end little or none at all is done to find the validity of such a claim. Mostly, this inability by concerned authorities or planners to ensure that such a claim is validated can be attributed to the lack of mechanisms or knowhow of what to evaluate and how to conduct such evaluations, hence the formulation of such a conceptual framework of evaluating participation.

3. METHOD OF STUDY

The method of study is based on data gathered from the literature. This includes information on public participation, development NGOs and evaluation.

4. OUTLINE OF DISCOURSE

Chapter two follows with the definition of public participation. The following are the aspects discussed with regard to the whole concept of public participation : the logic of public participation, demerits of public participation, the rationale for public participation and lastly, the possible problems encountered in public participation.

Chapter three consists of a discussion of NGOs issues and concepts. This chapter consist of the definitions and types of NGOs in development , NGOs and participation, NGOs strengths and weaknesses.

Chapter four follows with a discussion of the concept of evaluation and its importance. The reader is introduced to the kinds of evaluations to be taken into cognisance when evaluating.

Chapter five introduces the reader to a conceptual evaluative framework. It highlights types of evaluation practices , factors leading to lack of evaluation programmes and evaluation issues and concerns. The remainder of the chapter consist of an evaluative framework and outline the evaluative criteria. The evaluative criteria pinpoints indicators to be observed within the communities in order to determine whether people have been involved by NGOs in its projects. In a nutshell, it is a checklist of criteria to look for in assessing public participation. The tools or measuring devices for such an evaluation have been outlined in short.

Chapter six discusses evaluative criteria's implications to for planning. As a basis the chapter discusses different approaches to be used and roles planners have to assume in order to ensure effective citizen involvement in development activities. Planning

CHAPTER TWO

PUBLIC PARTICIPATION

1. Definition of public participation

Public participation has a wide array or diversity of meanings. As a result, the term and concept of participation is often fraught with difficulties and has an inexhaustible variety of practical expressions and objectives (Fagence, 1977). As the body of literature on public participation has grown, a variety of terms to describe public participation has evolved over the years. The following definitions support the above. According to Oakely (1991), participation can be interpreted in the following ways: with regard to rural development, participation includes peoples involvement in decision making process, in implementing programmes, their sharing in the benefits of development programmes and their involvement in efforts to evaluate such programmes. In this instance, the participants become owners of the development process.

Secondly, community participation is regarded as an active process by which beneficiary or client groups influence the direction and execution of a development project with a view to enhancing their well-being in terms of income, personal growth, self reliance or other values they cherish.

According to Carroll (1992) participation can be direct or indirect, it can range from simple to day-to-day tasks to broad political processes. However, as generally understood, it means the direct face to face involvement of citizens, usually the disadvantaged, in decisions that affect their own welfare (Midgley, 1986).

Bergdall (1993) has provided a number of the following different definitions of participation as published by the International Labour Office (ILO):

(a) participation is considered a voluntary contribution by the people so one or another of the public programmes supposed to contribute to national development but the people are not expected to take part in shaping the programme or criticising the content;

(b) participation means in its broadest sense, to sensitise people and, thus, to increase

the receptivity and ability of rural people to respond to development programmes, as well to encourage local initiatives

(c) popular participation in development should be broadly understood as the active involvement of people in the decision making process in so far as it affects them;

(d) community involvement means that people, who have both the right and duty to participate in solving their own health problems, have greater responsibilities in assessing the health needs, mobilising local resources and suggesting new solutions, as well as creating and maintaining local organisation;

(e) participation is considered to be an active process, meaning that the person or group in question takes initiatives and asserts his/her or its autonomy to do so; and

(f) the organised efforts to increase control over resources and regulative institutions in given social situations, on the part of groups and movements of those hitherto excluded from such control.

The above statements provide a glimpse of the many conflicting values and perspectives within current discussion about participation.

Apart from distinguishing between definitions of participation, there is one major form of differentiation which involves distinguishing between participation as a means or an end (Oakely et al 1991). Participation as a means, implies the use of participation to achieve some predetermined goal or objective. This might be explained by saying that the local people are used or involved only for the benefit of the project only thus reaching the goals and objectives of the project by the development agency. This may be a means to improve project effectiveness through the use of local information to specify correctly problems and needs, improve solutions, avoid misunderstandings and enable the NGOs to reach more people. Project efficiency may be attained if participation involves the beneficiaries contributing labour and other resources. In all these situations participation seems to be an input into development projects.

Participation as an end as different to as a means, is essentially a process which unfolds over time and whose purpose is to develop and strengthen the capabilities of people to intervene more directly in development initiatives. Such a process may not have

predetermined measurable objectives or even direction.
It may have an intrinsic merit, if it increases self-esteem, confidence, and the individual's sense of power. Thus it may be seen as a basic human need. Participation as an end is an active and dynamic form of participation which enables people to play an increasing role in development activities even after a particular project has ceased (Oakely et al 1991).

2. The Basic premise of public participation

It is of necessity to highlight or identify the basic underlying principle of factors/issues which best explain public participation. In essence, these basics/principles describe elements of citizen participation. This requires a more complete explanation of the different things characterized in a definition/s of public participation. Thus, it identifies more full all the elements of the concept of public participation that are logically stated in the definition. In this regard, participation requires the direct, face-to-face involvement of citizens in social development and ultimate control over decisions that affect their own welfare.

Empowering the poor should be a priority in community participation for them to also take part in the development process. Also, since participation must take place on a direct interpersonal basis, the unit for participation, and the primary forum for the expression of views, must be the small local community (Midgley et al, 1986:10). Information availability provision is also important as it can be used by underrepresented or relatively unorganised groups to enable them to participate more effectively in the planning process. People should be informed (Forester, 1989:30)].

There is also a need to consider how participation is to be achieved in practice. This makes it imperative to make a distinction between voluntary and coercive participation.
But, genuine and true participation require the voluntary and democratic involvement of people in contributing to the development efforts, sharing equitably in the benefits derived therefrom and decision making in respect of setting goals, formulating policies and planning and implementing economic and social development programmes (Midgely 1986).

These principles of genuine participation suggests, therefore that, the community participate in a social programme if the poorest groups participate in choosing the development projects, involved in decision making in the process of implementation and equally receiving or getting the benefits from such programmes.

For the politics of participation to be admitted in development planning, firstly the question of who participates should be asked. This means that , it should be taken into consideration that people are not homogenous and that requires special mechanism to bring in relatively disadvantaged groups. Ideally the process of decision making should take into account the inputs of all those who have a legitimate interest in the matter at hand (Coppock and Sewell 1989). The second, regards the level of participation. This points out the involvement of the local people in implementation is not enough for a fully participatory project, they should also take part in management and decision making.

3. The Logic of participation

Several writers have distinguished between authentic/genuine participation and pseudo-participation.

For example, Ascroft and Nair (1994), explained their two levels of participation in the following fashion:

1. Pseudo-participation, categorised as:
   Domestication, which involves informing, therapy and manipulation.
   Assistencalism, which includes placation and consultation.
2. Genuine/Authentic participation
   Co-operation, refers to partnership and delegation of power.
   Citizen control-meaning empowerment.

Pseudo-participation limits community involvement to implementation or the ratification of decisions already taken by external bodies (Midgley, 1986).

Pseudo-participation and genuine participation are conspicuously different from each other. Hence, "people's participation in development in which control of the project and decision making power vests with planners, administrators, and the community's elite is pseudo-

participation. When the development bureaucracy, the local elite and the people (poor) are working co-operatively throughout the decision making process and when the people are empowered to control the action to be taken, there can then be said to be genuine participation" (Ascroft and Nair, 1994:17).

Arnstein (1969) is one of the pioneers of Citizen participation. She distinguishes eight forms of public participation on a ladder shown in figure 1 below. Arnstein`s ladder focused on the redistribution of power as an essential element in meaningful citizen participation. Arnstein says that the ladder is a simplification, but helps to illustrate the point that there are significant gradations of citizen participation, and also shows how ineffectual participation can take place.

8 7 6	Citizen Control Delegated Power Partnership	Degree of Citizen Power
5 4	Placation Consultation	Degree of Tokenism
3 2 1	Informing Therapy Manipulation	Non-Participation

Figure 1. Arnstein's ladder of citizen participation (1969)

Following is the step to step illustration of the ladder (Arnstein,1969):

Manipulation: In this stage , people are placed on so called "rubber stamp" advisory committees for the purpose of engineering the support of people. Manipulation is a distortion of public participation by the powerholders.

Therapy: There is an underlying assumption by powerholders that powerlessness is synonymous with mental illness, and it is in this respect that they subject to powerless people to clinic group therapy. It represents a curative rather than a preventative approach to solving problems , since it attempts to cure people of their pathologies rather than

prevent things that cause the pathologies.

Informing: This is the first step towards some genuine form of citizen participation. However, it deals only with a one way flow of information- that of powerholder to citizen and does not compensate for some form of feedback from the citizens.

Consultation: This involves inviting citizens` opinions, in the sense of asking their concerns and ideas , but frequently does not go any further in that it does not assure the citizens that their ideas will be implemented.

Placation: It is at this level that citizens begin to have some degree of influence, though tokenism is still apparent . The "poor" are placed on boards of community action agencies, but they are often outfoxed and outvoted by the power elite groups.

Partnership: At this rung of the ladder, power is in fact redistributed through negotiation between citizens and powerholders. They agree to share planning and decision- making responsibilities through such structures as joint policy boards, planning committees and mechanisms for resolving impasses. After the ground rules have been established through some form of give and take, they are not subject to unilateral change.

Delegated Power: At this rung , negotiations between public officials and citizens can result in the latter achieving dominant decision making authority over a particular program.

Citizen Control: At this rung , citizens have full charge of policy and managerial aspects of a particular program, and are able to negotiate conditions under which other citizens may change them.

In broad terms , stages one to five show how partenalistic authorities deal with the community. Stages six to eight (the upper rungs), are consistent with community based development, this is ,it devolves power to citizens.

However, there are criticisms levelled against Arnsteins` ladder. It has been criticised for ignoring significant stumbling blocks to achieving genuine participation, amongst others

such as paternalism , resistance to power redistribution from the side of the powerholders. On the havenots side, it ignores inadequacies of the poor community`s political socio-economic infrastructure and knowledge base , plus difficulties of organising a representative and accountable citizen group in the face of futility, alienation and distrust.

According to Wright and Nelson (1995), there are the following three ways in which 'participation' is used. The first two serve as warnings of the dangers associated with them regarding participation.

(a) as an cosmetic label, whereby it is used to make whatever is proposed to appear good;

(b) describes a co-opting practice, to mobilise local labour and reduce costs. This is a process of seeking to gain control over grass-roots movements and to manipulate them for the state's/agencies own ends; and

(c) used to describe an empowering process which enables local people to make their own decisions. This is one of the most positive and required uses of participation in development process.

From the above interpretations of participation, it becomes equally important to relate participation to development projects, which leads to a suggestion by some other writers of key stages in this process. Paul (1987) in his World Bank discussion paper, identified the following methods of participation:

(a) information sharing participation - a process of informing intended beneficiaries by an agency - about the project and so flows of information and control are both in downward direction;

(b) consultation - information flows are more equal, with the agency often making use of local knowledge, however control is still from the top down;

(c) decision making - participation beneficiaries have some control over the process; and

(d) initiating action - both information and control flows are primarily upward, from the beneficiary group to the agency, but the donor agency regains some degree of control.

While all the above have contributed to the explanation and added richness to the concept of participation, it could be argued that "essentially there are three broad inter- pretations of participation" (Oakley et al, 1991, p.8).

* Participation as Contribution. According to the basic needs approach, contribution is a logical means of eliciting community participation since people generally act on the basis of self interest.

"The dominant interpretation of participation in development projects in the Third World sees participation as implying voluntary or other forms of contributions by rural people to predetermined programmes and projects: (Oakley, 1991, p.8).

However, participation also contributes in the social development of the people. A clear explanation of the statement on social development will be provided in the next section about the rationale of public participation.

* Participation as Organisation - to allow members of the community equal access to project benefits.

Organisation of the people is viewed as a fundamental instrument of participation. That is, active participation of the poor can only be brought about by adequate people's organisations.

Bergdall (1993) regards organised structures as voluntary associations where people organise together in order to mobilise the potential of their collective power. The existence of people's organisations is one of the primary underlying principles of promoting authentic participation, in that organisations are intended to serve as a mechanism for increasing the voice of rural people in development discourse.

* Participation as Empowering

Empowerment is the ability of individuals to influence all decisions taken at all levels and in all spheres which affect their lives and their capacity to initiate action to enhance their quality of life (Nelson & Wright, 1995:188).

Empowering according to Oakely (1991) is the development of skills and abilities to enable

rural people to manage better, have a say in or negotiate with existing development delivery systems.

Empowering involves transfer of power to the local people, to decide upon and to take action which they believe are essential to their development. Therefore this process of transfer of power is implicit in participation as people are directly involved.

4. Demerits of public participation

Some planners and \ others argue that public participation has some potential risks and costs, that subject it to failures, which then suggests that public participation should be done away with, basing their argument on the following points:

- project start up are delayed by negotiations with people
- leads to increases in staff to support public participation
- the possibility that when consulted, people might oppose a project
- unpredictable participatory methodology
- over involvement of less experienced people

However, it has been proved that the demerits of public participation are outweighed by the merit in all development projects, as people are mostly willing to be involved thus resulting in success of such projects.

5. The Rationale for public participation

Protagonists of public participation provides several key reasons for its necessity. Firstly, it is argued that public participation provides an equal opportunity to influence the decision making process; secondly, it counteracts the sense of powerlessness in the poor; and thirdly, it contributes to the social development of the people.

Conyers (1982) mentions three critical reasons for public participation, namely:

(a) a means of gaining insights into local conditions and needs of the people - without such basic information , plans are unlikely to be succesful

(b) individuals are likely to be committed to plans if they are involved in the

preparatory stages

(c) it is a basic democratic right that people should be involved in their development - people centered planning participation implies an active role within the decision making process

5.1 Social development

Participation is not only one of the goals of social development but an integral part of the social development process. According to Midgley (1986) social development is facilitated if people participate fully in making decisions that affect their welfare and implementing these decisions.

Participation creates a sense of community which gives meaning to human existence and fosters social integration. The above, means that through public participation inequalities are reduced thus bringing excluded groups with an equal chance, equal information, and equal technical resources into the development process.

5.2 Efficiency

Participation implies that there is a greater chance that resources available to development projects will be used more efficiently. Participation is also cost-effective since, if rural people are taking responsibility of a project, then less cost, outside resources will be required.

5.3 Effectiveness

As participation allow people to have a voice in determining objectives, support project administration and make the local / indigenous knowledge, skills and resources available will allow them to feel the project as theirs and eventually try everything in their power to make the project as effective as possible.

5.4 Self reliance

Essentially, this term refers to the positive effects on people of participating in development projects. Through participation, people will be self reliant, meaning that they will be able to do things for themselves, maintain self confidence, make independent decisions - either as individuals or within the context of a collective group to which each member has voluntarily allied himself/herself (Burkey 1993).

Self reliance comes from within, but directed outwards, through social relationships, which is manifested/acquired through interaction, hence participation.

Public participation is a "good thing" Oakely (1991:17), in that it breaks away isolation and allows people to have influence on development and also independence and control of their lives.

5.5 Sustainability

On a more general level, sustainability refers to continuity and sees participation as fundamental to developing a self-sustaining momentum of development in a particular area. Once people are empowered and self reliant they are able to maintain the project by utilising the skills acquired through project's life span.

Another reason for public participation is a pragmatic one which emerges out of a failure of plans and decisions to identify public preference (Sowell, 1977).

It is difficult for one to understand the needs and preferences of the community when he is removed from it. Therefore any plan or decision making requires the mutual learning process in which the planner can learn to understand the community from their point of view.

6. Possible problems encountered in public participation

1. The resistance of the power holders to allow their power to be distributed to the people for fear of losing control.
2. The complexities of issues and difficulty in reaching consensus in a diverse society.

3. The question of legitimacy of community organisations, and whether or not they reflect the interests of the entire community.
4. The general apathy among the public.
5. The question of who to involve and when.
6. The effective transmission of information.

7. Conclusion

Public participation has many forms and definitions which require people to be taught of good participation techniques. People should be trained in order to realise their needed efforts and potentials in development projects. Government has seem to be unable or do a little to ensure effective participation of citizens. This failure may be attributed to its bureaucratic nature , which often unable officials to interact with the people. Ideally for effective citizen involvement there is a need to involve grassroots organisations which can identify and understand communities. In this regard people will be able to actively be involved and realise their potentials. Such organisations would not be bureaucratic and would embrace the communities as part of them, therefore the level of apathy among the people will be eliminated. The following chapter tries to discuss such possibility.

CHAPTER THREE

NON-GOVERNMENTAL ORGANISATIONS : ISSUES AND CONCEPTS

1. Definition of NGOs

NGOs are well known for being difficult to define, hence, many different definitions of NGO have been coined by different people. Each and every definition is based on the subjectivity of the writer. Therefore for the purpose of this discourse, the following worldwide definitions are quoted:

NGOs are a distinct class of organisations that depend on energy and resources given freely by their members and supporters, because they believe in organisations/missions, not because of political imperatives or economic incentives (Korten and Brown, 1989). Conceptually NGOs are private service rendering institutions, which are non-profit oriented.

Carroll (1992) described the grassroots support organisation (GSO) and membership support organisation (MSO) as the broad spectrum of NGOs, which are involved directly in grassroots work. A GSO is defined as a civic developmental entity that provides service allied support to local groups of disadvantaged rural or urban households and individuals. An MSO has similar attributes to the GSO, as it also provides services allied to local groups, although it represents and is accountable to its base membership.

According to Cernea (1988), NGOs are private organisations that pursue activities to relieve suffering, promote the interest of the poor, protect the environment or undertake community development. This definition places NGOs under the first generation of NGOs as proposed by Korten.

Van der Kooy (1992) defined NGOs as "voluntary organisations, relatively independent, altruistic, established privately with the objectives of rendering assistance and relief, and of

transferring resources to promote, directly or indirectly, development at grassroots level". Non-governmental organisations (NGOs), as the term itself explains, are not owned by the government.

Jeppe made a distinction comprise of NGOs and PVOs (private voluntary organisations) between organisations which operate at international, national and regional levels, and organisations originating from the same community they are operating on. Such smaller organisations are called Community Organisations (COs).
Examples of COs are: the Village Development Organisation (VDOs), Traditional Mutual Assistance Organisation (TAOs), Limited Community Organisation (LCOs) and Civic Organisations (CIOs) (See Table 2). The above terms are used for private sector organisations executing development and/or mobilizing functions.

CATEGORY		IN COMMUNITIES
A	NGOs	NGOs Private Voluntary (PVOs)
B	Community Organisations (COs)	VDOs (Village Development Organisations) Traditional Mutual Assistance organisations (TAOs) Limited Community Organisation (LCOs) Civic Organisations (CIOs)

Table 2. Jeppe (1992)

2. Classification/types of NGOs

A major difficulty with the term "NGO" is that it represents a mixture of all kinds of organisations. It can be used to represent everything ranging from political action committees, welfare organisations to sports clubs. However, at its broadest, the definition of NGOs embraces everything outside the public and private commercial sectors (Farrington & Lewis, 1993).

Korten (1990) distinguishes four generations of NGOs, as illustrated in Table (3). The first generation of NGOs are charitable relief organisations which deliver basic services, such as food, health care and shelter to the poor. This generation is characterised by international voluntary action assisting in cases of war, natural disasters.

The second generation of NGOs strategies aim at developing the capacities of the community to become self-reliant in order to better meet their own needs.

The third generation, is those NGOs focusing on facilitating sustainable policy changes on a regional or natational levels.

Korten's fourth and last generation, are those NGOs which foster development through collective action of individuals or groups. People participate voluntarily in different social groups to carry development forward.

		GENERATION		
	FIRST Relief & Welfare	SECOND Community Development	THIRD Sustainable Systems Development	FOURTH People's Movements
Problem Definition	Shortage	Local Inertia	Institutional and Policy Constraints	Inadequate Mobilizing Vision
Time Frame	Immediate	Project Life	Ten to Twenty Years	Indefinite Future
Scope	Individual or family	Neighbourhood or Village	Region or Nation	National or Global
Chief Actors	NGO	NGO plus community	All relevant public and private institutions	Loosely defined networks of people & organisations
NGO Role	Doer	Mobilizer	Catalyst	Activist/Educator
Management Orientation	Logistics Management	Project Management	Strategic Management	Coalescing and Energizing Self-managing networks
Development Education	Starving Children	Community self-help	Constraining policies and institutions	Spaceship Earth

Table 3. Korten 1990. Four Generations of NGOs

Clark (1991) classified/divided NGOs into six schools:

1. *Relief and Welfare agencies* involved mainly with charitable relief functions which deliver basic services such as food, shelter and health care. These types of NGOs

are mainly in operation in case of natural disasters, famine or war.

2. *Technical innovation organisations*, are NGOs which operate their own projects to foster new approaches to problems/development, and which tend to remain specialised in their chosen field.
3. *Public service contractors* who perform services on behalf of the government. They are usually called parastatals eg. DBSA, IDT (in the S.A. situation).
4. *Popular development agencies* are NGOs involved which concentrate on development such as self help, social development and grassroots democracy (community work).
5. *Grassroots development organisations* are locally based organisations. They tend to comprise of the smallest aggregation of individuals or households that regularly engage in some joint development activity as an expression of collective interest.
6. *Advocacy groups and networks*, are organisations which have no field projects but exist primarily for education and lobbying. Thus they are concerned with humanitarian and social activities.

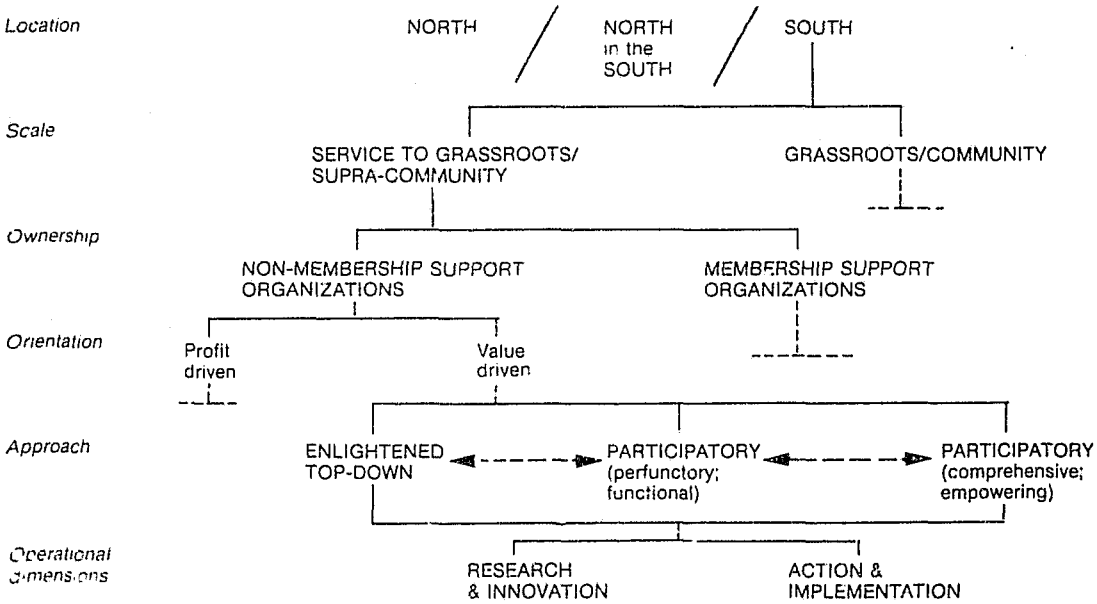
Grassroots development organisations, public service contractors and popular development agencies, are amongst those which are mostly involved in local development.

A distinction is made between NGO based on location of their activities. Cernea (1988) distinguished between International, National and local NGOs.

Northern/International organisation, are those which define their area of work as encompassing countries other than the home country. These are often powerful and influential in their own right.

Southern/National NGOs represent an intermediate level. They forge links between the beneficiaries and often remote levels of government, donor and financial institutions (Carrol, 1992).

Grassroots/Local NGOs, which are also referred to as grassroots organisations, that grow out of local communities and are committed to having an impact on their constituents lives. The local or grassroots NGOs happen to be the most important in that they are directly involved with the people, and their aim is the complete development of the people though involving them in the whole development programme.



Farrington(1993): NGOs Diversity

3. Importance of NGOs in Development

NGOs become important in situations where government programmes are either limited, don't exist or ineffective. Governments are usually not flexible in rendering services, leading to unsustained development, hence:

"there is general agreement today that the efforts and resources of government alone are not enough for sustained. There is also general agreement that individuals acting on their ..annot deal with the scale and complexities of the development challenges facing so..ieties. .. societies come to terms with these limitations, many turn to citizen or..anisations and non-profit interest groups (NGOs) with the expectation that they assume greater responsibilities" (Buiten, (1992:50).

This is the reason that NGOs represent the voices and efforts of communities and organised interest groups to tackle a variety of development concerns.

NGOs play a major role in promoting development in that they cover a wide spectrum of development-related activities, responsible to their donors and to the communities they work for (Van der Kooy, 1992).
NGOs render assistance and relief, and transfer resources to promote, directly or indirectly development at the grassroots level.

NGOs are not bound by bureaucracy, but they perform for the community's intersests, thus, they will often have the support of local communities, and can therefore work out and achieve more than could normally be done from an official point of view; for, NGOs not weighed down by bureaucracy, they happen to be innovative and flexible. The independence and autonomy enjoyed by NGOs, enables them to remain free from po''ical pressure, and to by-pass inefficient and corrupt government structures and local elites.

Honey (1992) further credits NGOs as having the capacity to support a people-centred approach to development and to mobilise and organise human rather than financial resources for development. They are small and confused, and can react quickly to changing situations, as they attract committed staff who are willing to work under difficult circumstances.

Jeppe (1992) described factors which favour the development role of NGOs as follows:

* NGOs are more readily able to counter feelings of alienation, lack of ability and apathy because of their concentration on participation and promotion of human interests. Thus NGOs are part of the community in which they serve.
* Because of the NGOs legitimacy they are able to mobilise and strengthen local institutions, thereby promoting the co-operation of the people in the communities with existing local institutions. Through organisations people are able to mobilise the potential of their collective power.
* Another special role or contribution by NGOs is their capacity to act as facilitators

for community interest by providing information, mediation and intercession with government agencies and charitable institutions.

4. NGOs and participation

Of late NGOs have been viewed as unbureaucratic, hence relied upon to bring development to the people and that gives them the capacity to promote local participation.
A truly people's participation process cannot happen spontaneously, due to the existing power relations, at all levels. But requires a catalyst or change agent (Burkey, 1993). In this regard the NGO can represent the change agent. However, the "change" agent who can remedy the situation should be able to work with the poor, identifies with the interests of the poor and has faith in the people (Wignaraja (1984). That is, the NGO and leadership must be people - centred. An organisation trying to promote participatory development cannot be bureaucratic, and unless the leadership is genuinely committed to democratic participation within the organisation, it cannot promote participation among the poor (Burkey, 1993).

For genuine participation, NGOs should not be characterised by the tradition of trying to transmit, enforce and deposit their knowledge, as if development is a oneway process. People should be treated as "subjects, and not as objects or recipients of change" (Umtali in Burkey:1993:76).

Generally and widely accepted NGOs have unique features which make them to be more preferred, and that again gives NGOs to have comparative advantages. Heyden (1986) argues that NGOs comparative advantages are: their ability to deliver emergency relief or development services at low cost, to many people in remote areas ; then rapid, innovative and flexible responses to emerging financial and technical assistance needs at grassroots level; their long standing familiarity with social sector development and poverty alleviation; their experience with small scale development projects; as well as those requiring a high degree of involvement by, and familiarity with the concerned target group.

5. NGOs strengths and weaknesses

The 1980s has seen a continued growth in NGOs. The NGOs have a number of advantages over government agencies in development work. For example, NGOs can be helpful where government is either not interested or unable to work in a particular area, or where government lacks the technical or other skills required to support the process (Oakely et al, 1991). Therefore it is of utmost importance to have NGOs as change agents in development.

The following reasons may explain such strengths.

- NGOs have the capacity to reach the rural poor and to reach out remote areas.

This is because the NGOs are driven by values rather than the quest for political or economic power. They tend to focus on poorer communities that have few basic resources or infrastructure, where government programmes either are limited, don't exist, or are ineffective (Cernea, 1988).

- NGOs have the capacity to promote local participation, as they are often themselves part of the population whose involvement is sought. (Cernea, 1988:16).

They work with community groups as partners, emphasising self help initiatives and local control of programmes. They empower people , as they act as facilitators of human development or conscientisation. They empower people, as they act as facilitators of human development or conscientisation. Thus, they develop a process of critical awareness building among the rural poor.

- NGOs have a capacity to operate on low budgets, as they are often small in size, and "less money is spent on administration and more on actual help" (Fowler, 1991).
- NGOs have the capacity to innovate and adapt (Brown & Korten, 1989). "Being part of the community in which they serve and oriented towards promoting initiatives, NGOs have a comparative advantage in identifying needs and building upon existing resources" (Cernea, 1988).
- Another advantage of NGOs is their ability to mobilise funds for development from local and international sources (Jeppe, 1992:171).

It has been argued above that NGOs have a considerable number of advantages over government agencies in implementing local development. However, it should be acknowledged that NGOs themselves have some limitations on their side. The following limitations have been identified:

* Limited replicability. NGO activities depend on a highly motivated and culturally sensitive staff, and where staff authencity and motivation cannot be replicated, the activities themselves cannot be replicated (Cernea, 1988).
* Limited self-sustainability. Many NGO sponsored projects are not designed so that in the future they can sustain themselves with little or no outside aid to the beneficiary communities (Cernea, 1988). Thus the local people are not taught to be self reliant.
* Limited technical capacity due to lack of sufficient managerial skills.
* Lack of adequate funding is one of the impediments to NGOs activities.
* Lack of co-ordinating between different NGOs. NGO projects are often implemented individually within the same region or country, and that hinders the establishment of countrywide or region wide programmes.

6. Conclusion

However, NGOs activities need to be associate in order to strengthen their performance through identification of possible flaws. Without evaluation, NGOs might not perform to its outmost ability as it will be assumed that all is well and see need for new strategies and improvements. NGOs can also evaluate themselves without waiting for outside assessment. This will help them to clearly understand their position regarding development matters, this is, whether meet their objectives or not.

CHAPTER FOUR

EVALUATION : ISSUES AND CONCEPTS

This chapter serves to introduce in broad what evaluation encompasses. It is a general introduction of evaluation meaning, issues and concepts. It provides an introduction the broad set of research activities essential from designing, implementing and appraising the utility of social programmes. Evaluators in this sense are engaged in developing and testing innovative initiatives designed to ameliorate and control social problems and in refining and assessing the effectiveness and efficiency of programmes already in place (Freedman & Rossi, 1995). That is, the work of evaluation researchers influences social policies and guide effort to improve the lives and social environment of community members.

Evaluation is the term most commonly used to describe the process of assessing performance against objectives. At their best, evaluation techniques should be able to assess performance results against objectives, and benefits against costs, and in so doing identify strengths and weaknesses in a way which have a positive impact on the effectiveness of projects and programmes. A further point which emerges from the literature on social development is that evaluation is a continuous process which can promote organisation learning, and not a discrete exercise which excludes the intended beneficiaries (Marsden & Oakely, 1990). This means that the evaluator throughout the evaluation process should be/is in direct contact with the people affected, be they the project staff or the community, and the process should benefit the people morally or even materially.

In the context of new and ongoing programmes, evaluations help to determine the degree to which the programmes are effective - that is, how successfully they are providing their included target populations with the resources, services and benefits envisioned by their sponsors and designers.

According to Patton (1990), evaluation research has identified five basic stages in its process:

1. Finding out the goals of the programme.
2. Translating the goals into measurable indicators of goal achievement.
3. Collecting data on the indicators for those who have been exposed to the programme.
4. Collecting similar data on an equivalent group that has not been exposed to the programme.
5. Comparing the data on programme participants and controls in terms of goal criteria.

Relating the above stages of evaluation specifically to public participation evaluation in NGOs one can say that the first two stages require the evaluator to find out whether a particular NGO has set people's development as one of its goals or not. Stages three and four requires the evaluator to conduct interviews with project participants and beneficiaries but also with community members not participating in or benefiting from the project. This will be possible as the NGO would have clearly specified its target group in case of involvement within the community.

In the last stage the evaluator would check if the programme has satisfied the evaluative criteria he has set, based on the outcomes and position of the public after the project has come to an end.

1. KINDS OF EVALUATION

Qualitative and Quantitative Evaluation Analysis

Evaluation looks at quality and quantity. This section will explore these two different fields of evaluation and also shows how important are all of them in the evaluation process. This creates a need for evaluation to have different methods for such evaluation types.

1.1 Qualitative evaluation

Qualitative evaluation consists of aspects that are hard to count or measure, but which

influence programme success or failure in important ways. These include: people's behaviour, abilities, qualities, attitudes, values and motivations, and how they relate to one another and to the programme. Such factors are important because they help to explain why a programme in a particular place proceeds in a particular way, and why it has particular strengths and weaknesses, problems and solutions, expected and unexpected outcomes (Feurnstein, 1989).

Qualitative methods consis of , an in-depth open ended interviews, direct observation and written documents, as methods of collecting data. The data from interviews consists of direct quotations from people about their experiences, opinions, feelings and knowledge. The data from observations consists of detailed descriptions of people's behaviours, action and document analysis yields excerpt, quotations, reports, personal diaries etc. (Patton, 1990:10). In essence data for qualitative analysis typically come from fieldwork.
Qualitative methods permit the evaluator to study selected issues in depth and detail, and the evaluator is the instrument of measuring.

1.2 Quantitative evaluation

Every evaluation deals to some extent with things that can be counted and/or measured e.g. it can be a number of people involved in a programme, number of products or services produced. These numbers, amounts and quantities are often described as the quantitative aspects of evaluation (Feurnstein, 1989). Validity in quantitative research depends on careful instrument construction to be sure that the instrument what is supposed to measure (Patton, 1990:14). That is, the focus is on the measuring instrument. Meanwhile reliability is concerned with whether a particular technique, applied repeatedly to the same object would yield the same result.

Both qualitative and quantitative data can be collected in the same study. And they are important in evaluation because material development and the development of people's consciousness and their organisation does (and must) go together. This meaning that measures qualitative and quantitative analysis are not mutually exclusive.

However, both qualitative and quantitative evaluation analysis have been criticised, whereby the advocates of qualitative data argue that quantitative data, emphasizes opn numerical representation which disregard human beings, claiming that a better understanding of casual processes can be obtained from intimate acquaintance with people and their problems and the resulting qualitative observations qualitative data are expensive to gather, are highly subject to interpretation, and usually contain information that is not uniformly collected across all cases and situations.(Patton, 1990 in Friedman and Rossi, 1993).

According to Murphy and Torrance (1987), evaluators do not only live in the real world of development programmes. Their work produces information which functions as a resource for the promotion of particular interests and values. Evaluation involves making judgements about the good. Evaluators are committed to a political stance, as their selection of roles, goals, audiences, issues and techniques provides their political allegiances. To substantiate this, Murphy and Torrance (p.43-45) categorised evaluations into the following :

1.3 Bureaucratic evaluation

It is said to be an unconditional service to those governmental agencies which have major control over the allocation of development resources. In this regard, the evaluator accepts the values of those who hold office and provides information which will help to accomplish policy objectives.

The evaluator acts as a management consultant, and his criterion of success is client satisfaction. His techniques of study must be credible to the policymakers and not lay them to public criticism. He is not independent and does not control the use of information provided by him.

1.4 Autocratic evaluation

This is a conditional service to those governmental agencies which have major control over the allocation of development resources. It offers external validation of policy in exchange

for compliance with its recommendations.
Its values are derived from the evaluators' perception of the constitutional and moral obligations of the bureaucracy.

1.5 Democratic evaluation

This type of evaluation involves the provision of information to the whole community about the characteristics of a programme. The democratic evaluator recognises value pluralism and seeks to represent a variety of interests. The basic value is to inform citizens and act as a middleman between groups which want knowledge from each other. His techniques of data gathering and presentation must be accessible to everyone. That is he uses simple language for everyone to understand and participate.
The key concepts of democratic evaluations are "confidentiality", "negotiation" and "accessibility".

There are two broad types of evaluation which are timing oriented. That is they are differentiated according to the period and time in which they are undertaken. Such types are called ex-ante or a priori evaluations and ex-post evaluations.

1.6 Ex-ante evaluations

The above is done before and during the programmes implementation. That is, they are conducted during the planning and developmental stages of a programme and is an integral aspect of goal setting. These types of evaluation are formative, in that they aim at discovery and rely largely on an inductive approach (from particularto general). Ex-ante evaluation is process oriented, and not concerned with outcomes. In the planning and design phases, the ex-ante benefit analysis may be undertaken on the basis of a programmes anticipated costs and benefits.

Ex-ante evaluations are most important for those programmes undertaken that will be difficult to abandon once they have been put into place or that require extensive

commitments in funding and time to be realised (Freedman and Rossi, 1993:394).

The evaluation focus on impact and costs to benefits ratios, but often such assessments are limited to examinations of service delivery. In such cases, the evaluation centres on monitoring questions, such as whether or not appropriate target groups are served and the extent to which programme staff and management are meeting commitments with respect to the quality and quantity of services delivered (Riddel, 1995). Ex-ante designs allow a greater opportunity to examine previous work in the relevant social programme and evaluation areas.

Ex ante evaluations accuracy is challenged on the basis that they run risk of seriously under or overestimating net benefits as they are not based upon empirical information.

1.7 **Ex-post evaluations.** have an opportunity to undertake a wide range of summative approaches. That is, they attempt to verify through measurement the relationship between experimental variable (i.e. the programme) and the dependent variable (i.e. goals and outcomes) (Rutman, 1977). The ex-post evaluations are primarily conducted after the programme. That is, they are product oriented. It takes place after the programme is over and aimed at determining whether programme goals have been met. In broadterms, the ex-post evaluations are done for the following:

* to show the main achievements or failings;
* show where and how changes need to be made;
* show how strengths can be built upon;
* help those involved to see their wider context and implications of their own work. (Fuernstein, 1986).

The real demand and challenge has in ex-post and ex ante evaluations respectively, simple because they are stages of the overall assessment of the whole projects, whereby it has to be determined as to whether the goals and objectives of such a project will and\or has been achieved and if not it is the basis of all the corrections and modifications needed.

CHAPTER FIVE

EVALUATING NGOs : A CONCEPTUAL EVALUATIVE FRAMEWORK

As has been already stated in the first chapter,the discourse is intended to assist planners/or others in the overall evaluation of public participation in NGOs, this chapter will be providing with such an evaluative framework. Thus evaluative criteria will be outlined. Before such an evaluative framework be discussed it is deemed necessary that, field and desktop evaluation processes be discussed as the processes in which the evaluation process will be based upon.

1. Field evaluation

This type of field evaluation involves the evaluator to be directly within the project area. Salmon (1989) calls field evaluation as "a participant observation" for an evaluator to be within the project area, allows him or herself to understand conditions in that particular project area, as it requires close personal contact and open conversational interviews in an atmosphere of mutual confidence. Thus, "participant observation evaluation" involves some amount of genuinely social intervention in the field with the subject of the study (or evaluation), some direct observation or relevant events, some formal and a great deal of informal interviewing, some systematic counting, some collection of documents - an open endedness in the direct the study takes (Salmon, 1989).

The primary objective of field evaluation is seen by many writers as to provide project managers with useful and timely information to help them make decisions that will improve the projects performance. The second objective is to elicit contributions from beneficiaries to policy formulation. Third, the approach should generate insights and findings that while preliminary can serve as hypotheses for more rigorous research.

Through the field evaluation approach, the method of data collection can range from "quick and dirty" techniques of visual inspection and information discussion through to more

detailed techniques drawing on interviews with intended beneficiaries, project staff and key informants; meaning knowledgeable local people project records and relevant secondary study (Everitt and Hardiker, 1996).
Field evaluation tends to focus mainly on conversational interviewing, which is intended to increase the reliability and relevance of evaluation and hence its utility to decision makers in the development field.

The primary strength of participant-observer evaluation is in the assessment by the evaluator of people's perceptions in relation to a planner or ongoing project. It uses both quantitative and qualitative techniques as it recognises the need to reach out to the people in such a way they may speak freely about their own concerns. "Openness is the stance, closeness to the people is the position" (Salmon, 1989:126). Field evaluators sound out the opinions and reactions of the people who are expected to benefit from the project interventions and also who do not participate in or benefit from the project.

1.1 Critique of Field Evaluation

However, it should be acknowledged that the field of evaluation has some limitations, as it might prolong the whole process of evaluation as it obviously (from the above stipulated points) involves a lot of fieldwork. Another point is that field evaluation might encounter some problems or obstructions caused by the people within the project themselves. Examples of such problems could be an unwillingness to co-operate with the evaluator from both sides (NGOs and communities).

Another possible problem is that, some qualitative aspects cannot be noticed immediately as they involve "changes which occur in nature, growth, behaviour (peoples consciousness) of the project group as a result of the project activities" (Oakely, 1991:249). Field evaluation is recommended for the purpose of this discourse as it is itself participatory, because of its emphasis on interaction the with project group.

2. Desktop evaluation

Desktop evaluation is conducted by professionals and / or others within the office domain, this include laboratories, research institutions - such as universities. That is, desktop evaluation is done theoretically rather than practically. Because of the very nature of the desktop evaluation, qualitative data is likely to be overlooked, as it mostly relies on information derived from documents, whereby no clear feelings of the people are heard. Desktop evaluation is therefore characterised by detachment and distance from the people. However, it should be noted that desktop evaluation can include qualitative data in ex- ante evaluations as it rely on past or present documents which might contain qualitative information.

3. Needs/Reasons for such an evaluative framework

Public participation has recently become a buzzword in the development arena. That then prompts almost every development agency (NGO) or government to claim to be involving citizens in its developmental projects or activities. But the problem is that, mostly pseudo-participation is evident. But it little has been done at all to validate such claims of citizen involvement within such agencies. Therefore, to overcome such non-existence or less evaluative programmes, adequate public participation evaluative criteria need to be stipulated.

NGOs also want to help people take control of their own lives and improve their conditions. NGOs also need to develop their own skills, technical assistance and other services. Therefore, they need methods to measure their progress towards all these goals. In broad terms, evaluation involves asking and answering questions such as :

Does it work?

Does it achieve what was intended?

Is it worthwhile?

Is it worth the resources, money and time spent on it?

Is it good, bad or good enough? (Everitt, 1996)

All the above questions demand the generation of evidence about the practice, policy or programme being evaluated, and also necessitate the making of value judgements about that practice, a process made more explicit, accountable and critical if informed with evidence. Therefore it is important that practice is evaluated and that social welfare organisations become evaluative. Policies and practices in social welfare agencies can never be self justifying, hence "evaluation should not be interpreted as being incompatible with a search for indicators of impact and effectiveness that allow conclusions to be derived about the strengths and weaknesses of NGOs in different sectors of activity" (Hardiker and Everitt, 1996:51).

However, it should be acknowledged that NGOs which focus predominantly or exclusively on qualitative indicators, are likely to be subject to evaluator bias, since there are no clearly specified means of verifying the findings of such evaluations.

4. Possible factors contributing to lack of evaluation programmes

Firstly, it should be established that no-one feels comfortable being evaluated and almost everyone wants to be seen as successful. Those being evaluated will try to make their NGO look good. Evaluators might find it difficult to see through such appearances (Edgell, 1987).

Evaluators usually overlook qualitative data and focus on projects' material outcomes. Public participation in development is likely to result in qualitative gains, which makes this evaluative criteria to be mostly based on qualitative analysis from the people.

* Lack of adequate evaluative techniques and enough time to implement them automatically do away with the whole evaluative programme needed.
* Evaluations are not done in that they are seen as undermining the trust between the donor and the recipient. This is viewed in the light that most evaluations are done to satisfy the accountability requirements of programme sponsors.
* NGOs usually do self evaluation, which is biased, as they focus on NGO staff or leaders involved in the projects and don't interview non-leader beneficiaries,

people not participating in the project, other community organisations and government agencies in the same area. This therefore brings a suggestion that the evaluator must conduct interviews with project participants and beneficiaries but also with community members not participating in or benefitting from the project. The evaluator must interview NGO managers but also junior and field staff (Symington, 1991).

5. Self and external evaluation by NGOs

It is deemed necessary to make a distinction between self and external evaluation as a basis for highlighting the need for conducting evaluations within NGOs.

Firstly, in self evaluation by NGOs, such an evaluation is something done in privacy, whereby the system is relatively unaffected by control or interference from outside. The service, then, could truly be characterised as one based on hunch rather than evidence. Because of lack of evidence truth or myth cannot be differentiated (Murphy and Torrance, 1987). This can lead to a situation wheret the service is perpetuated and sustained at every level by a belief that all is well - all is assumed to be well because so few are questioning in depth. Self evaluation often relies on deductive approach have predetermined goals which mostly happen to be achieved (bias).

Secondly, external evaluations are often framed as formative, and largely relies on inductive approach.

External evaluations tend to emphasize the objectivity of the evaluator, as s/he is independent and not influenced too much by programme staff or funders and less likely to be biased and more able to be objective.

6. Evaluating participation : issues and concerns

It has already been stated in the previous chapter that participation requires a combination of qualitative and quantitative methods, as material development and the development of people's consciousness and their organisation does (and must) go together. But due to the "process" nature of participation as opposed to a "project" nature with predetermined objectives, qualitative methods are necessary for interpreting the results of participation programmes. Thus ,the successful evaluation of participation requires the holistic approach found in the use of qualitative methods(Bergdall, 1993: 83)

For the purpose of qualitative analysis, Oakley suggests that evaluating participation is best conducted when an evaluator has several occasions to monitor activities over an extended period of time. Therefore, regular and continuining contact is needed when participation is understood to be a dynamic process rather than a static project. Oakley also argues that evaluation of participation requires a high degree of familiarity between the evaluator and the subjects of the evaluation.

But such familiarity is usually shunned in traditional evaluations because of the perceived need to preserve objectivity (Bergdall,1993). This however negates the possibility of observing subtle changes. Qualitative evaluation demand participation and commitment of the evaluator and discourages detachment and distance characteristics of other approaches to evaluation (Oakley 1990 in Bergdall, 1993).

Oakley notes the differences between evaluation of participation and participatory evaluation. He says that evaluation of participation is the evaluation of a discrete process , whilst participatory evaluation is a form or technique of evaluation which is relevant in evaluation exercises across the sectors in development. Participatory evaluation in this context is a technique which is line with the discourses' proposed evaluation framework as it also involve field evaluation. Thus it involves interaction with the people , the evaluator in a way participates in the project. Participatory evaluation is a process technique of evaluating participation.

However, some writers have acknowledged that the process of evaluating participation is faced with some difficulties. A primary problem is that participation has often been regarded as a "means" for achieving development objectives rather than as a particular "end" in itself. Participation is thereby subjected to criteria and measures that are far more appropriate for traditional "project" evaluation than the evaluation of an on- going "process" (Bergdall,1993:80). Qualitative analysis or evaluation becomes difficult as it is also difficult to measure intangible factors, and that requires indicators unique to each other.

7. Evaluative Criteria / framework

Critical evaluation ensures that NGOs' efficiency and impact in terms of their perfomance are measured. In this context, the focus of the criteria will be on public participation as an objective in almost all NGO activities. In order to measure the evaluative criteria, the evaluator must conduct interviews with project participants and beneficiaries but also with community members not participating in or benefiting from the project. The evaluator must interview NGO managers but also junior staff and staff not directly involved with the project group.

People will be centre- stage in that "evaluation of participation essentially seek to understand how people are progressing as a result of development projects"(Oakley,1991:268).

The following is a checklist of criteria, which shows areas to look for in assessing public participation.

INDICATORS	EVALUATION CRITERIA \ MEASUREMENT	MEASUREMENTS
		TECHNIQUES
Qualitative	1. Empowerment 2. Self reliant 3. Knowledge/Information 4. Conscientization	* Questionnaires * Likert scale * Records and reports * Observations * Interviews
Quantitative	1. Organisations	

The above Table provides the different qualitative and quantitative indicators to look for in evaluation of participation in NGOs. That is, for the NGO to be declared as practising true participation the above attributes should be prevalent within the community. The table also provides the tools or techniques for measuring such indicators. These measurement tools and where, how they are used is highlighted in the following paragraphs.

7.1 **Empowerment**

Empowerment has become one of the attributes mostly likened to public participation. It is seen as the outcome of every public participation activity. It is therefore declared that without empowering the people , a development project lacks the attribute of a true participation or citizen involvement. There are many different definitions of empowerment by different people. Weber(1994) defines the word "empower" as to give power or authority to, to give ability to , enable, permit-implies that power can be given to another.

According to Solomon(1994), empowerment is a process whereby a social scientist engages in a set of activities with the client -that aim to reduce the powerlessness that has been created by negative valuations based on membership of stigmatised group. It involves

identification of the power blocks that contribute to the problem as well as the development of the power and implementation of specific strategies aimed at either the reduction of the effects from indirect power blocks or the reduction of the operations of direct power blocks.

Empowerment is the ability of individuals to influence all decisions taken at all levels and in all spheres which affect the lives and their capacity to initiate action to enhance their quality of life(Nelson and Wright,1995:188) . It is for the relevance of this discourse to cite this definition of empowerment , according to Smit,1982, that empowerment is a process in which a person or a community becomes better placed to satisfy their needs. In this discourse it can be said that NGOs are evaluated to find out whether they have acquired what the definition above implies.

Importance of empowerment

It is argued that empowerment has three dimensions : the development of a more positive sense of self , the construction of knowledge and capacity for more critical comprehension of the web of social and political realities of one`s environment ,and the cultivation of resources and strategies , or more functional competence for attainment of personal and collective goals (Lee,1994).

Empowerment practice seeks to create community with clients in order to challenge with them the contradictions faced as vulnerable, hurt or oppressed persons in the midst of an affluent and powerful body. This implies that through empowerment people are transformed, through consciousness raising to see alternatives. According to Conger and Kamango, the process of empowerment leads to a situation in which an individual`s power needs are met. They say the following: individuals power needs are met when they perceive that they have power or when they believe they can adequately cope with events, situations, and \or the people they confront.

On the other hand, individuals power needs are frustrated when they feel powerlessness or when they believe that they are unable to cope with the physical and social demands of the

environment. Therefore , it is necessary to empower people through development strategies. Hence, powerlessness is an obstacle to development for two reasons : (Bryant and White, 1994). Firstly, it affects the distribution of benefits: " events have shown that benefits tend to go to those in power. The fact that those who are poor are also the powerless has a great deal to do with the amount of inequity that continues to exist - powerlessness reduces the demands and pressures on political leaders, and without such demands leaders are unlikely to focus on distributional issues.

Secondly, development means increasing peoples' capacity to make choices about their future. Without the sense of personal efficacy , without any experience in expressing their needs, without an awareness of where to go with their demands, individuals can hardly develop such a capacity. As a result of these two reasons, empowerment is crucial to occur.

Criteria \ Measurement

It is important that NGOs intervene in people's lives through their activities. An intervention process is considered an empowering process if it achieves the following: *
it enhances the feelings of self -efficiency of the community and \ or lessens the feelings of powerlessness such that the community is enabled to satisfy their own needs to a greater extent

* it enable people to determine their own needs and take action
* skills and knowledge are transferred which enable the community members to manage future projects on their own.
* make people control and influence (participants can advise and to decide)
* the intervention makes a long term difference to the community's welfare

The above points assume that intervention is the task of an intervening organisation and that empowerment means a shift in the power balance between a disadvantaged community and the environment in which they live.
To evaluate the above , observations , questionnaires and interviews can be applied.

Through the above tools, the evaluator should look at the following:

* whether there is some training on various fields for community members for skills transfer and knowledge
* whether power has been delegated to them, for people to control and influence

7.2 Information \ Knowledge

Information is an important aspect of community involvement . This requires strong communication links to be established between the (NGOs) and the community. The contents and form of communication have to be adjusted to the conditions of the population. Information is seen as source of power in that it can be used by the underrepresented or relatively unorganised groups to enable them to participate more effectively in the planning process(Forrester,1989:30). This is the typical advocacy planning perspective . It seek to redress inequalities of participation and distribution by bringing excluded groups into political process with an equal chance, equal information , and equal technical resources.

Knowledge is important in public planning participation , in that people are informed and become familiar with their situations. Therefore, knowledge becomes as essential element in resource allocation and lack of information often leads to confusion and contradiction (Pye,1971). Limited access to information disempower people. Therefore it is important to relay information, most importantly which is undistorted so that it is accessible and understandable to the people in order to make people aware of the development process and be able to discover and understand the problem facing them.

Criteria \ Measurement

In this regard areas to look into include :

* nature of project group meetings
* levels of explanation and discussion
* people's involvement in group discussions

* adequacy to communication from project team

Therefore , measurement should be based on the following questions through the use of the Likert scale and a questionnaire for evaluation code sheet containing value scores.

(a) does the community understand information ?

(b) can the community take a decision on the basis of information ?

(c) does the decision reflect the opinion of at least the majority of population ?

(d) do the community opinions and decisions reach the authorities in the correct form? (Through group representatives)

Through the Likert scale (to be explained in a later section) the following can be assessed:

* for nature of project meetings . equity and democracy , representativeness, decisions taken by group members .
* for adequacy to communication : use of simple language , clear and straight forward

Another assessment can be done through conducting workshops to ensure that communities have understood the issues the way they should and ensuring that development take place. This is another form of observational analysis.

7.3 Self reliance

Citizens involvement success can be assessed by the degree to which activities have improved people's abilities to be self reliant. Self reliance is doing things for one's self, maintaining one's own self confidence, making independent decisions - either as an individual or within the context of a collective group to which each member has voluntary allied herself or himself (Burkey,1993,51).

NGOs should aim at enabling local people to run the programmes or projects as soon after the NGO as possible . Thus the aim should be to set in motion and maintain self reliant development. NGOs intervention in this regard is important , as self reliance comes from within , but is directed outwards.

Self reliance is based on social relationships, so is the task of the development NGO to

ensure that people come together and voluntarily pool their efforts and their resources in small groups. To evaluate if self reliance has been established, the NGO should, have left the project at least one or two years before(Tendler,1982: 162).

7.4 Conscientisation

The greatest contribution that the development NGO can make through citizen involvement is to help the poor regain their confidence in themselves. Conscientisation means the stimulation of self- reflected critical awareness in people of their social reality and of their ability to transform that reality by their conscious collective action (Burkey,1993:55). According to Burkey(1993), the first step in achieving genuine participation is a process in which the rural poor themselves become more aware of their situation, of the socio-economic reality around them, of their real problems, and what measures they themselves can take to begin changing their situation.

This process of awakening, raising of levels of consciousness, or conscientisation, constitutes a process of self transformation through which people grow and mature as human beings. In this sense participation is a basic human need.
To evaluate self reliance , the NGO should have left the project at least one or two years before , evidence being that the local people should be able to run the projects on their own , people should be independent from outside help and be able to initiate their own projects. Observations can be an essential tool for evaluating the above.

7.5 Organisations

Organisations within the communities are important in that they allow members to equal access to project benefits. Organisation of the people is viewed as a fundamental instrument of participation. Community organisation is concerned with direction than destination, with involvement than with interpretation, with encounter than with exposure. It is important on the part of the NGOs to ensure that people are organised in order to initiate and nourish a process in which all the people of a community are involved, through their representatives

, in identifying and taking action in respect of their own problems. The emphasis is on co-operative work among the various groups in the community to the end that they may develop capacity to work together in dealing with the problems as they arise in the community.

Local organisations are the primary vehicles of solutions for local communities . Community organisations indicate the natural way or process by which the institutions, organisations and roles of people in a community are interrelated, developed and changed.

People and agencies have to be mobilised, organisations influenced, and plans and programs of community scope developed and implemented. Oakley (1991), organisation is a critical dimension, it is vital as a mechanism by which rural people can relate or gain access to existing development services. Therefore, peoples organisations serve as a bridge, a vehicle or receiving mechanism whereby rural people can participate in development.

The idea of building co 'ectivity is essential to the helping process. Collectivity involves the process of merging energy of individuals into a whole. The collective provides an opportunity for support, mutual aid ,and collective action on behalf of the whole(Parsons,1989). Groups may focus on conscious raising , help to individuals , social action, social support, and development of skills and competence in order to help members facing oppression gain equality and justice(Garvin,1985). Therefore, the underlying principle in the whole idea of organisations, is that , the people (poor) should retain genuine control over their own organisations to maintain power. NGOs should be seen to be interacting with the organisations but not controlling them.

Organisational indicators \ measurement

* percentage of adults within a project area who have some knowledge of the existence of the project organisation.
* percentage of adults who are formal members of the organisation.
* frequency of attendance at project organisation.

* democracy and equality in organisation
* extent to which organisations is theirs versus engineered by the NGO

The records(attendance, diary) and reports will be essential in this regard as they will provide with the continuous accounts of events as they unfold.

For development NGOs to be truly or genuinely facilitating public participation, its activities should be within the following criterion:

* Familiarisation: This implies more time to be spent by the field staff in living with the people , getting to know them and their community.
* Awareness- building: Often called conscientisation -the process of discussion, reflection, questioning and analysis together with the people so that they become aware of their world and how it works. This implies the continuing interaction of the project staff with the communities.
* Organisational training: Agency staff should encourage people to organise themselves into groups. In conjunction with these groups, agency staff should assist in arranging amongst others, informal, practical training in group dynamics, simple book-keeping and accounting, proposal writing ,etc.
* External legitimacy: NGOs should assist people`s groups in establishing and maintaining acceptance legitimacy with local officials. (Burkey, 1993)
* Facilitation : NGO staff should act as enablers of facilitators and should not try to organise people, but wait for people to organise themselves.

8. Explanation of measurement tools

Qualitative variables are difficult to measure but be assessed only through certain indicators and specifically design tools. For those variables to be observable they must first be translated into observable terms. To achieve this the variables have to be operational, meaning to have operations or indicators to be used to determine the quality or quantitative category observed regarding a particular variable. Operational definitions point the way to how a variable will be measured (Babbie 1986). For the purpose of this discourse the following will be measurement devices.

8.1 **Likert scale**

This is a measurement technique based on the use of standardised response categories, for example: "strongly agrees", "agrees", "disagrees", "strongly disagrees", or is "undecided". It is then given a value score, with five response categories, scores 0 - 4 or 1-5 might be assigned, taking the direction of the items into account. Each respondent would then be assigned an overall score representing the summation of the scores he or she received for responses to the individual items. The Likert method is based on the assumption that an overall score based on responses to the many items reflecting a particular variable under consideration provides a reasonably good measure of the variable. Such overall scores are used in an item analysis to select the best items, and then each item become correlated with the large , composite measure. Therefore, items that correlate highest with the composite measure are assumed to provide the best indicators of the variable (Babbie 1986).

8.2 **Questionnaires and Interviews**

A Questionnaire can be used in evaluation of participation. The use of a structured questionare will be relevant to the qualitative and quantitative aspects of participation. In the qualitative aspects, a questionnaire could be used to verify the extent of particular changes which are beginning to emerge or has emerged. The use of such questionnaires require to emphasise on open ended questions, in order for participants to narrate and describe.

Measurement can also be done through a questionnaire for evaluation code sheet containing value scores. This involves evaluating performance of indicators through numerical value.

Observational methods can also be employed which will include attending project groups meetings , workshops and also relying on information from reports and records. which will help to provide with the continuous accounts of events as they unfold. They can be diaries, attendance registers ,which can mainly be available from the NGO responsible in the area.

9. **Conclusion**

To achieve all of the above the NGO and its leadership must be people directed. An

"organisation trying to promote participatory development cannot be bureaucratic and have a rigid hierarchical structure. The NGO itself should be democratic in order to avoid participation being a mere catchword without genuine meaning. Unless the leadership is genuinely committed to democratic participation within the organisation, it cannot promote participation among the poor" (Burkey, 1993: 75)

CHAPTER SIX

IMPLICATIONS FOR PLANNING

A Public participation evaluative framework poses a challenge to planners and or NGOs to assume specified roles which they believe will enhance the practice of a true citizen participation in development projects. To attain a genuine nature of public participation the framework again demands that NGOs (planners) employ specific planning approaches which are in line with its aim, that is public participation. In a nutshell, NGOs and planners have to identify with those planning approaches and roles to satisfy the requirements or criteria set out by the framework.

The above poses a serious challenge for planning, as Muller (1995) states " planning does not in itself have the capacity to empower communities , it does have the capability to enable processes of emancipation and empowerment to be perceived and realised, through planning methods and processes". This can be interpreted as meaning that , planning in itself is not in a position to realise the needs of the communities, but depends on planners through the use of appropriate planning methods and procedures it has provided, hence planning`s aim is to release human abilities through its approaches to broaden the field of opportunity and to enlarge human ability. Planning has the capability to promote the attainment of the attributes of democracy by means of goal oriented guidance(Muller 1982).

1. Promotive planning

It has been highlighted in the second chapter that public participation has different meanings and communities are not homogenous. For people to understand and see their role in development programmes they have to be trained. Development NGOs and planners need to invest in citizen training and education , especially leadership training where they can be taught of proper participation techniques.

It has been noted from Arnstein`s ladder of citizen participation that people tend to be passive and not participate in development process. People should be made aware of their potentials to do away with apathy , which happens to place obligation on planning to promote the advancement of deprived groups. Promotive planning becomes essential in this regard as its purpose is to release human abilities , to broaden the field of opportunity and enlarge human dignity. According to Muller (1995) , under the conditions characterised by apathy, the function of planning is that of providing the initial " push " of instigating programmes of awareness of what is practically possible.

This responsibility means that a planner should act as a catalyst in the process of human development facilitating self sufficiency, through a transactive process of mutual learning on the one hand , and of progressive advancement of disadvantaged groups away from dependency on the other(Labum-Peart 1992 in Tembani,1995). In this regard the notion of mutual learning becomes relevant, as it is difficult to understand the needs and preferences of a community when one is removed from it.

Therefore any plan or decision making requires the mutual learning process in which the planner can learn and understand the community from their point of view. It is thus a prerequisite for promotive planning that the planner not be told but taught by the local population of their aspirations and capabilities and that the understanding so gained be verified through continuous dialogue with them (Muller 1995). Furthermore , the planner must remain distant from actual decision making involvement - he must neither represent the affected community nor advocate on its behalf. Ultimately the planner must willingly accept the resolutions reached by the community and be prepared to promote their decisions to effectuate them(Muller 1982).

2. Transactive planning

Planners have technical tools, and until planners and local people sit together and share ideas, the advancement and empowerment of deprived communities cannot be realised.

That is , the barrier between planners and their clients have to be closed , and this requires the transactive style of planning which is also in response to the widening gap in communication between planners and their clients.
Transactive planning is line with the fourth rung on Arnstein's ladder that is consultation. This involves inviting citizens opinions in the sense of asking their concerns and ideas. However, it should not be a mere tokenism, these ideas and concerns should be regarded as valid and implemented.

The dangers of tokenism is that if people can realise it they might withdraw from the project and that might subject it to fail. Transactive planning implies that the language used between the planner and clients should be clear and understandable to all , and that restructure the relationship between the planner and the client. Transactive planning assumes the life of dialogue and therefore mutual learning, and understanding of each other from their points of view. In mutual learning , the planner and client each learn from the other, that is the planner from the client's personal knowledge, the client from the planner's technical expertise (Friedman 1973). In this process, the knowledge of both undergoes a major change as dialogue makes it possible to discover a new understanding of the possibilities for change.

Through transactive planning process, knowledge becomes central as an important aspect in public planning participation in that people are informed and become familiar with their situations. Limited access to information disempowers people , but with the new knowledge they get they are able to act. NGOs and planners should take into consideration indigenous knowledge of the communities, that is , indigenous knowledge versus NGOs knowledge should be communicated.

3. Advocacy planning

According to Davidoff (1973) the solution lies in empowering the people , achieved through the means of professional supporting for competing claims. What is needed is the representation of a particular group , especially the poor , marginal or disadvantaged. The

planner should act as an educator , informing the people he represents to clarify their ideas and to give expression to them, informing these people of their rights , the general operations of the programmes likely to affect them.

Groups or organisations allow members of the community equal access to project benefits and they are viewed as a fundamental instrument of participation as people organise together in order to mobilise the potential for their collective power. Organisations require planners to act as facilitators, mediators and advocates and should not help in forming them rather wait for the people to organise them. Within the organisations is where political and social values are to be examined and debated. Acceptance of these position means rejection of prescriptions for planning which would have the planner act solely as a technician. Such organisations requires the planner to represent them and their needs, meaning that the planner should assume the role of an advocate.

Advocacy planning requires the planner to engage in the political process as the advocates of the interests of such groups or individuals who are concerned with proposing policies for the future development of the community(Davidoff 1973). For NGOs to involve people in their activities they will understand and know their interests , and ultimately they will be in a position to advocate for their needs and what they deem proper. The welfare of all and the welfare of minorities are both deserving support , planning must be so structured and so practice as to account for this unavoidable demand of the public interest(Davidoff 1973, 279). Further, an advocate planner has a job of informing other groups, including public and private agencies, of the conditions, problems and outlook of the group he represents. The most important function is to carry the proposals of this group.

Advocacy planning stresses the need for public participation as the planner or agency has to affirm their position in language understandable to his client and to the decision makers he seeks to convince. An advocate planner cannot function without the community being involved, as his main role is to plead for his own and his client`s view of the good society. For Davidoff , the advocate planner would be more than a provider of information,

an analyst of current trends, a simulator of future conditions, and a detailer of means.

Through the very nature of advocacy planning people will feel the whole development process as belonging to them and be accountable and responsible for the whole project. People would identify with the planner as part of them, who is taking their interests further. The advocate role of the planner brings planning closer to the people.

The question of who participates as one of the basic premise of public participation is again aroused in advocacy planning theory. Advocacy planning acknowledges that people are not homogenous , thus requires a special mechanism to bring all different groups within the participation framework. Decision making should take into consideration inputs of all those who have a legitimate interest in the matter at hand. This is evident in advocacy`s planning emphasis on pluralism. It take the view that plans must take into account the interests of all social groups however conflicting.

They therefore reject the notion of a single best solution and of a general welfare(Udy 1992). That is for development NGOs and planners they should include all the sections of the communities, which implies that all the interested parties should be free to participate. Within the project groups , NGOs and planners should listen to the views of all parties and not be biased towards the elites and men only as it is the case in many development projects where development is absorbed mainly by the most powerful within the society. This pluralist stance of advocacy planning also applies to the evaluators of participation.

As has been stated in the previous chapter , the evaluator must interview people within the NGO itself, senior and junior staff and also staff not directly involved with the project group and people not benefiting from the project. These can be supported by Peattie in Mazziotti (1974) " advocate planners take the view that plan is the embodiment of particular group interests , and therefore they see it as important that any group which has interests at stake in the planning process should have those interests articulated". Within the advocacy process , the planner also assumes a mediatory role, as he or she is subject to face to face negotiations involving teams representing key stakeholding interests and

impartial mediator.

NGOs have been said to be advatangeous in developing rural and urban communities as they are often part of the population whose involvement is sought. They are driven by values rather than quest for political or economic power. This value oriented stance implies that the planning approaches used should be normative in nature. Normative planning requires public planning to be based on moral foundations. This clearly shows the need for people`s involvement in planning, for morals and values are inherent only in people. NGOs and planners are bound to act normatively , thus create a good life for ordinary people as they are not bound by bureaucracy , but acting out of goodwill.

NGOs have the duty to act as social reformers and have a unitary conception of the public interest , that is , believing that there are public goals (Harper and Stein 1992). Normative planning implies that because NGOs are part of the communities they serve and oriented towards promoting initiatives, they are ultimately required to recognise the morals and values of that community.

4. SWOT Analysis

It is of the interest of this discourse to provide the assessment of the above proposed public participation evaluative framework. The assessment is aimed at highlighting key issues and concerns associated with such an evaluative tool. The SWOT analysis has been deemed to be an appropriate mechanism to perform such a function as it will summararly indicate all the issues. SWOT analysis consist of strengths, weaknesses, opportunities and threats.

4.1 Strengths

The strengths in this sense imply those which are from the framework itself - those that help it to function. The strengths of the framework are as follows :

* It help to identify pseudo -participation in practice.

* It identifies attributes to look for in the whole concept public participation.
* It can be used by the development NGOs to perform self evaluation.
* It can be used as the guiding principles towards the attainment of genuine participation.
* It enables the evaluator to gain first hand information as it involves close contact with the people in the project (it is participatory in nature).
* It enables the evaluator to observe subtle changes.

4.2 Weaknesses

Weaknesses imply to the factors from within the framework which negates its proper function.

* Too much time will be spent on using it
* It does not provide conclusive mechanisms to measure qualitative aspects
* The objectivity of the evaluator is not guaranteed

4.3 Opportunities

Opportunities in this regard imply to the advantages that might be enjoyed from outside when it is in use.

* Regards participation as a dynamic rather than static process.
* It can be used by NGOs for self evaluation.
* The evaluator might get support from the communities as they the evaluation to be in their favour.

4.4 Threats

Threats imply factors from outside which can render the evaluative framework undesired.

* NGO staff might not co-operate with the evaluator , as they might view the evaluation as intimidating or interrogative.
* It can be faced with diverse aspects o participation to look for and engage
* Difficulty in measuring intangible aspects (self esteem, empowerment, conscientisation).

5. Conclusion

Public participation has long been a buzzword in the planning fraternity, and has gained

much support from development agencies , government and its agencies and the people on the ground themselves. The protagonists of public participation came up with many different reasons for its necessity. Amongst others , they argue that it provides an equal opportunity to influence the decision making process and counteracts the sense of powerlessness in the poor, hence the emphasis is on the empowerment of the communities by development NGOs and other development related agencies.

Conyers(1982) strongly attest to the strong need of participation by indicating that it is the democratic right of the people to be involved in their development . She maintains that planning should be people centred which implies an active role within decision making. All this warrants the involvement of people through giving them power and ability to run their project and not depending on outside help forever. NGOs have been seen as the entities which can provide with all the requirements and needs of the people in the development field. But there is a need to assess if whether they are performing their duties adequately for the well being and social good of the communities.

To satisfy public interests they have to involve the communities in order to know and understand their interests. An evaluative framework or criteria is seen as an adequate mechanism to assess such responsibility by others not involved in such NGOs projects. These evaluative framework comprise of qualitative and quantitative attributes such as empowerment, self reliance, conscientisation, knowledge or information and organisations. These are indicators of public participation in communities which form the basis of such an evaluative criteria. People are central in participation of evaluation as the aim of such evaluation is to determine how people fare with their development through developmental NGOs. Interviews , questionnnaires, Likert scales, reports are the recommended measurement tools for this purpose.

Further the framework can be used by the NGOs themselves for self evaluation to assess their own progress regarding public participation. So this evaluative framework should not be seen as interrogative or checking the competency of NGO staff.

But to achieve all this requires the employment of adequate planning theories and for

planners to assume relevant roles which can lead to the proper involvement of the people and also the emancipation and empowerment of communities. Together with the process of participation, there is a need for a process which can facilitate a holistic approach to the problems of community , taking into account the full range of human and community needs and potentials in their environment. This implies that an adequate planning method must be flexible and adaptable to accommodate factors of either a qualitative and quantitative nature having to do with inter- relationships that are perceived during planning(Weitz, 1979). Therefore , the participatory, mediatory, advocacy , transactive , promotive and normative processes of planning are particularly apt means of promoting the advancement of deprived communities (Muller, 1995)

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