



**LOCAL GOVERNANCE  
SELF-ASSESSMENT**  
Guidelines for Facilitators

# Local Governance Self-Assessment Guidelines for Facilitators

The use and sharing of information contained in this document is encouraged, with due acknowledgement of the source.

#### **Contributors**

Matthias Boss, Advisor, Intercooperation

Nirjharinee Hasan, Former Regional Coordinator, SHARIQUE

Prashanta K. Tripura, Former National Coordinator, SHARIQUE

Tirtha Sarathi Sikder, Regional Coordinator, Intercooperation

#### **Design, Layout and Printing**

INTENT, [www.intentdesign.net](http://www.intentdesign.net)

#### **Photos**

Christian Poffet, [www.poffet.net](http://www.poffet.net)

(except small pictures on page 7, 10, 19, 22 and left picture on page 15 by Intercooperation)

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Intercooperation

House No. 2F NE (D)

Road No. 73 (G)

Gulshan-2, Dhaka-1212

Bangladesh

[info@intercooperation-bd.org](mailto:info@intercooperation-bd.org)

[www.intercooperation-bd.org](http://www.intercooperation-bd.org)

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## Introduction

Local government promises to be more responsive to people's demands, more effective in service delivery and more accountable when citizens participate in local governance.

Wider participation in decision-making processes by citizens can be achieved through public meetings, grievance procedures, civil society group activities, opinion surveys, elections, and media involvement. There is no one specific form, nor a certain mix of processes that can guarantee successful democratic local governance.

Thus the Local Governance Self-Assessment tool, as developed by Intercooperation's Local Governance Programme, SHARIQUE<sup>1</sup> has to be seen as one among many tools that can contribute to build empowered citizens' participation and accountability into local governance.

The tool is designed to be used at community and Union Parishad levels. It has educational value for those participating, to understand better what local governance is concerned with. Furthermore, it allows the participants to voice their opinion in regard to the current situation of governance in their Union and finally encourages the citizens and the Union Parishad to take action to improve on the current situation of local governance functioning.

Part one of the guidelines explains the process of conducting a Local Governance Self-Assessment exercise with citizens and part two explains how to utilize the tool with the Union Parishad.

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*1. Many people contributed to the development and revision of the tool as presented in this document. By conducting field tests, Field Facilitators, Team Leaders and Project Officers of SHARIQUE helped refine the tool significantly. Finally, the enthusiasm and interest displayed by community members and Union Parishad representatives who have taken part in self-assessment exercises conducted so far has confirmed the usefulness of such a tool.*





## PART 1

COMMUNITY LEVEL  
LOCAL GOVERNANCE  
SELF-ASSESSMENT





## 1. Overview

The citizens' Local Governance Self-Assessment is conducted by organising community meetings. These meetings can be held at different levels, at village, ward or greater ward level. The meetings give the opportunity to be involved in assessing local governance functioning to different actors and a wider public, particularly those belonging to the most vulnerable groups. In this way they can influence the action plans of community groups and the Union Parishad to improve the local governance situation in the Union.

## 2. Objectives

The main objective of the community level Local Governance Self-Assessment is an educational one. However, it does not stop there. The self-assessment exercise is also meant to mobilize the people into action to address issues and contribute to better functioning of governance in their Union.

The following are the objectives that need to be kept in mind:

- i. Make the people of the communities aware of local governance issues;
- ii. Give the people the opportunity to voice their opinion;
- iii. Influence the Union Parishad's Local Governance Improvement Plan;
- iv. Mobilize citizens to get active in initiating and supporting activities to improve local governance;
- v. Use the outcome as baseline information for the community, the Union and projects.

### 3. Participants

It is important to make sure that interested people representing key actors take part in these meetings. The number of participants should not exceed 35 to ensure active participation and meaningful discussions.

The participants should include:

- Community Based Organisation (CBO) representatives
- Local business people
- Youth (adolescents)
- Traditional leaders
- Ordinary citizens (farmers, housewives etc)
- Union Parishad member of the ward (as guest, not participant)
- Union Parishad women member of the greater ward (as guest, not participant)

Women, poor and other people of marginalized groups should be encouraged to participate. Participants must not be invited on the basis of their support of any political party or elected council member. It is therefore important to leave the invitation process to the CBO and not to any member of the Union council.

### 4. Facilitators

Community members facilitate the meetings. Ideally such persons would have experience in facilitating meetings. Community facilitators of other projects should be considered as well as gifted young persons (youth facilitators). These facilitators have to be oriented and trained in advance. The Partner NGO (PNGO) Field Facilitator needs to accompany the community facilitators in conducting the sessions.



## 5. Process overview

- Welcome and introduction (10 minutes)
- Identify and discuss roles of different actors regarding local governance (30 minutes)
- Identify key local governance issues (10 minutes)
- Evaluate local governance issues (90 minutes)
- Define priorities that need improvement (45 minutes)
- Assign responsibilities for forwarding assessment results (10 minutes)
- Feedback and closing (10 minutes)



### Tips for planning the exercise

- Identify the community group interested in organizing the Local Governance Self-Assessment and brief the group regarding the exercise and the relevant logistical arrangements.
- Community group must invite a cross section of the local society (village, ward or greater ward) to take part in the exercise.
- Identify and brief the facilitators. The use of youth facilitators is encouraged.
- Prepare posters, markers, flashcards, etc.

## 6. Session plan

### Session 1

#### Welcome and introduction to the Local Governance Self-Assessment exercise (10 minutes)

It is important that the participants understand the purpose of the self-assessment exercise and know what to expect when taking part in the meeting. They should know that the self-assessment exercise serves as a tool for the community to voice their opinion regarding local governance functioning and helps to identify areas in which the community and the Union Parishad can take initiative to improve the current situation. Furthermore, the participants can expect to learn more about what local governance is about. For instance that local governance is as much about the Union Parishad as it is about the citizens and other actors. That is why the self-assessment exercise is not limited to the functioning of the Union Parishad.

Besides explaining the purpose of the exercise and clarifying the expectations, the programme of the meeting should be presented, highlighting briefly the different steps and the time-frame.



#### Tips for facilitators:

- A person from the community group organizing the self-assessment exercise could welcome the participants and explain the purpose and the programme.
- Union Parishad representatives could be given the opportunity to give a short talk (five minutes) highlighting the importance of the self-assessment exercise.
- The programme of the day should be written on a poster paper and displayed in a place where it will be visible to all participants.
- Meeting norms should be discussed and written on a separate poster paper.

## Identifying and understanding the roles of the different actors in regard to local governance (30 minutes)

The first stage in the Local Governance Self-Assessment by communities is to help the participants to understand that local governance is not only about the Union Parishad but that there are many more actors in the Union that play an important role in regard to local governance. Flashcards with pictures of all important categories of actors should be pasted on a board. The participants must then be invited to explain from their own understanding what roles these actors play in the Union regarding local governance. The following are the group of actors that feature on flashcards: the (i) Union Parishad, (ii) community organizations/citizens, (iii) traditional leaders/institutions (e.g. the elite, religious leaders), (iv) government line agencies, (v) private sector, (vi) support organisations (NGOs).

It is important for the participants to understand that these groups have different roles to play in regard to local governance.

- i. The Union Parishad has a political mandate to manage the local government authority through mobilization and allocation of the financial resources needed to implement projects. For communities to successfully oversee Union Parishad activities depends largely on the capacity and willingness of the Union Parishad to put in place inclusive and transparent mechanisms that allow local people to participate.
- ii. Traditional leaders/institutions (e.g. the elites and religious leaders) - by virtue of their powerful influence over local people - have the responsibility and capacity to stimulate popular participation.
- iii. Community organisations, which are a form of organized citizens, have the role to mobilize local people around community development actions and to act as watch dog of the Union Parishad and the government line agencies.
- iv. Government line agencies act on behalf of the central government and are responsible for delivering central government services to the local people.
- v. The private sector has an economic role to play by providing goods and services to the market. It depends on the environment that is provided by the Union Parishad as well as the central government.

The participants can be invited to (re-) arrange the flashcards and draw connecting lines to illustrate the current importance and relationship between the actors. The aim is that participants understand the different roles which different actors play. Actors are not meant to compete with each other for power but are all equally important to achieve good local governance in the Union.



**Tips for facilitators:**

- Place flashcards on a board and let the participants identify which flashcard relates to which category of actors.

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- Discuss the importance and role of the different actors in regard to local governance.

---

- Let participants arrange the flashcards to illustrate importance of different group of actors and their relationship.

---

- Let participants illustrate the current and the ideal relationship between these actors. Use one color to illustrate the current situation of relationships, by drawing thin dashed lines for weak relationship and thick lines for strong relationships. Use another color for doing the same for the ideal relationships.

**Session 3**

**Identifying key local governance issues (30 minutes)**

This session serves as an introduction to the evaluation of local governance issues. The participants should understand that local governance is not only about what the Union Parishad does but also about how the people fulfill their responsibilities as citizens. This is why the participants will be invited to evaluate local governance functioning in regard to the two broad categories of:

- (i) How well is the citizens' participation in regard to governance (demand for good local governance)?
- (ii) How well does the local government function (supply of good local governance)?

Once these two broad categories are understood, one or two sample questions of the questionnaire can be discussed in the plenary and instructions given for the group work that follows



**Tips for facilitators:**

- Discuss that good local governance depends on how well all different actors fulfill their roles and that one large area of interest includes how well citizens participate in regard to governance and how well the Union Parishad functions.

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- Discuss with the participant one question from each category, to make sure they understand the nature of the questions.

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- Explain to them how to rate the different questions, emphasizing that they should give honest opinions and are not meant to please somebody or to punish somebody by their scoring.

### Evaluating local governance issues (90 minutes)

The twenty key issues that form the core of the self-assessment exercise are then evaluated in smaller groups. The groups need to be constituted in a way that allows participants to be as free as possible to voice their individual opinion. Hence there should be at least separate groups for men, women and the youth while it should be made sure that people belonging to the Union Parishad are not included in any group and are also not able to distract the participants from giving their honest opinion.

Each group of maximum eight persons should be supported by one person, who is literate, ideally with some knowledge on the topic and who can lead the group. The group leader first presents the question using the corresponding flashcard and initiates the discussion about what the ideal situation would look like regarding that issue. Once participants all agree on what the question means and what the ideal situation would look like, they make their individual ranking regarding the current situation. The ranking is done on a common poster paper on a score from one to six (see annex II).

Once all issues are assessed, the group should discuss the scoring and decide on a maximum of four issues that they would like to see improved.





#### **Tips for facilitators:**

- Before dividing the participants into groups make sure that everybody understands the process of assessing the different questions.

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- Group the people into homogeneous groups making sure not to offend/discriminate anybody by the terminology used (use terms such as "common" citizens instead of "poor farmers", etc.)

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- No group should have more than eight members to make sure that interaction can easily take place.

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- Instruct the group leaders in advance and hand out the material to them (questions, answer sheets, markers etc.).

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- Make sure that the groups discuss each question first and then let every individual put her/his ranking for that one question, before moving on to the next question.

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- Engage persons of the Union Parishad in some other activity or discussion to make sure that they do not interfere with the ranking done by the groups.

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- Let the groups sit far apart to make sure that they are not disturbed by each other or influenced in their scoring.

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Session 5

### Defining priorities that need improvement (45 minutes)

Once all groups have assessed the different issues and the members of the groups have come to a common understanding on what issues they would like to see improved, their assessment posters are displayed somewhere for the whole plenary to see. Each group then presents the issues they want to see improved to the plenary, explaining the reason for the ranking and why they view these issues as a priority to work on.

After each presentation the people in the plenary are asked to give their views. After all the presentations the plenary is asked to draw up a priority list of five or six issues that need improvement. The participants further have to decide, whether it would be the role of community groups or the Union Parishad to work on these issues. The issues to be addressed by community groups and those by the Union Parishad should be forwarded accordingly.



#### Tips for facilitators:

- After displaying the assessments of the groups encourage the participants to go around and look at the assessment of the other groups.
- Make sure that participants get equal opportunity to contribute in the discussion and decision making process.
- Ensure that the decisions taken are truly owned by everybody involved in the self-assessment exercise.

### Assigning persons who are responsible for forwarding defined priorities to community groups and the Union council (10 minutes)

The plenary finally chooses three representatives that will present the results of the self-assessment exercise to community groups that could take up activities to improve issues. There should be a representative from each group, hence a woman, a man and an adolescent. These people have the task of compiling the assessments of all the groups and present the key findings and the defined priority issues to the interested community groups.

Where organized clusters of community groups (like Cluster Platforms of the LEAF project) exist, representatives of the clusters can be given the responsibility to present the findings of the self-assessment exercise to the Union Parishad. Where this is not the case, the chosen representatives will also have the task to present the results to the Union Parishad. The Union Parishad representative attending the self-assessment exercise should initiate a meeting with the whole Union Parishad in which the chosen community representatives can make their presentation. Similarly, the representatives of community groups present should initiate a meeting with their group in which the prioritized issues could be presented and discussed.



#### Tips for facilitators:

- Assist the chosen representatives with compiling and preparing their presentations.
- Make sure that the present Union Parishad representative takes the responsibility to fix a meeting with the Union Parishad, in which the results of the self-assessment exercise can be presented.

## Feedback and closing (10 minutes)

The participants need to be informed about what will happen next with their assessment. It is important that all participants understand, what they can and what they cannot expect to happen as a result of this self-assessment exercise. It needs to be clearly communicated that their assessment and priority issues will be presented to the Union Parishad and to interested community groups which should encourage them to take these governance issues into consideration when preparing their annual plans (of action).

Two men, women and youth will then be asked to give a short verbal feedback in regard to what has been their major learning from the event. The leader of the community group that has organized the Self-Assessment exercise will be asked to close the meeting.



### Tips for facilitators:

- It is important to give the participant a feeling of achievement at the end of the meeting and clarity in regard to realistic expectations.
- The next steps should be clear to everybody.
- The organizing community group should be thanked for all the efforts they put into making the meeting a success.

## What comes next?

As explained above, the outcome of the Local Governance Self-Assessment at the community level will serve as an input for the planning process of community groups and the Union Parishad. The community groups are meant to take up some of the suggested priority issues in their annual plans. The planning process for LEAF Community Based Organisations and Cluster Platforms is outlined in a separate manual for field facilitators titled 'LEAF - Annual Plan of Operation Method'. The Union Parishad is also supposed to take the results of the self-assessment exercise by community members serious and use it as a basis next to their own self-assessment for developing their Local Governance Improvement Plan. The process of how the Local Governance Improvement Plan is elaborated is explained in part two of these guidelines.



## PART 2

UNION PARISHAD LEVEL  
LOCAL GOVERNANCE  
SELF-ASSESSMENT  
AND ELABORATION OF LOCAL  
GOVERNANCE IMPROVEMENT PLAN



## 1. Overview

The Local Governance self-assessment at Union Parishad level is organised by the Union Council, to assess the local governance functioning in the Union. The meeting will give the representatives of the Union Parishad as well as other actors at this level the opportunity to reflect on the current situation of local governance and use the insight gained to elaborate a plan how to improve the situation.

## 2. Objectives

The main objectives of the Union Parishad level local governance assessment are to raise the level of awareness and understanding of the participants in regard to different local governance issues and to encourage the Union Parishad to take initiatives to improve local governance functioning. Apart from these objectives the results of the assessment can be used as baseline information for the Union Parishad itself as well as for projects.

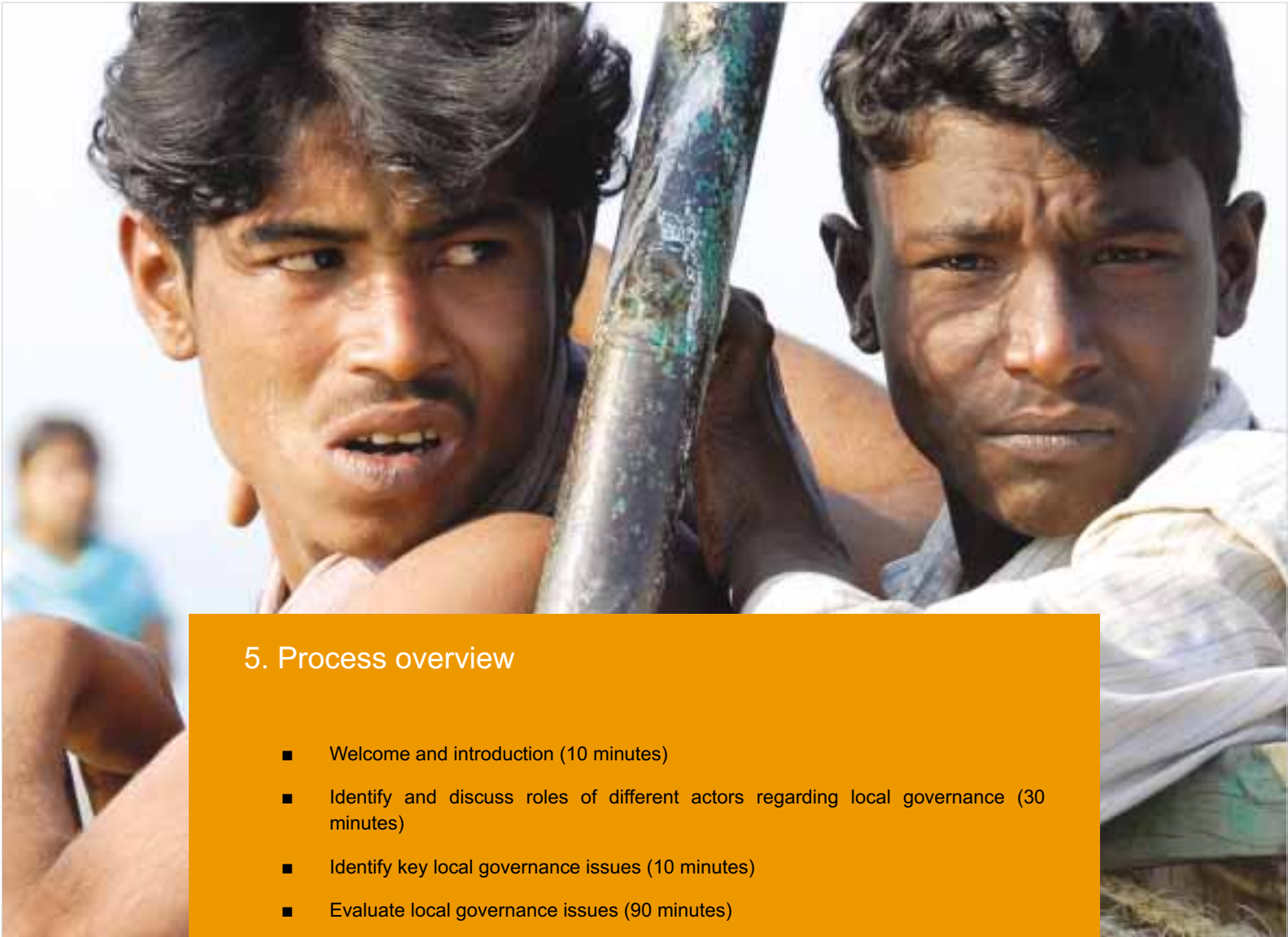


### 3. Participants

The participants should represent different actors at the Union Parishad level. It is crucial that the Union Parishad chairman, Union Parishad members and secretary attend the meeting, since they will have to act upon the results of the self-assessment exercise. Furthermore the co-opted members of the thirteen Standing Committees should participate. Additionally, central government line agency officials that work in the Union need to be invited to take part as well as some representatives from community organizations, the private sector and traditional leaders. The people from these last three categories can be seen as persons who can make the link between the citizens and the Union Parishad. The number of participants should not exceed 35 to ensure active participation and meaningful discussions.

### 4. Facilitators

The meetings have to be facilitated by one or more Partner NGO facilitators. These facilitators should have experience in facilitating such an exercise and also be well informed about issues relating to local governance functioning.



## 5. Process overview

- Welcome and introduction (10 minutes)
- Identify and discuss roles of different actors regarding local governance (30 minutes)
- Identify key local governance issues (10 minutes)
- Evaluate local governance issues (90 minutes)
- Define priorities that need improvement (45 minutes)
- Elaborate Local Governance Improvement Plan (60 minutes)
- Feedback and closing (10 minutes)



### Tips for planning the exercise

- It can be expected that the Union Parishad is aware of the idea of conducting a self-assessment exercise since this would have been discussed during the project inception meeting.
- Discuss with the Union Parishad chairman and other members the purpose of the self-assessment exercise, the procedure and ask them to invite the participants and organize the self-assessment exercise.
- Prepare posters, markers, flashcards, etc.

## 6. Session plan

### Session 1

#### Welcome and introduction to the Local Governance Self-Assessment exercise (10 minutes)

It is important that the participants understand the purpose of the self-assessment exercise. They should know that it first of all serves as a tool for the Union Parishad to analyze and understand better the current situation of local governance functioning in the Union and identify areas in which the Union Parishad can contribute to improve the current situation.

The participants should understand that local governance is as much about the Union Parishad as it is about the citizens and other actors, hence, the assessment is not limited to the functioning of the Union Parishad. Some clarification could also be given in regard to what the participants can expect from the meeting. This may be learning more about what local governance is about, voicing their opinion regarding the current functioning of local governance and contributing to developing an action plan regarding areas of local governance that the Union Parishad commits itself to address.

Finally, the participants should be given an overview of the programme of the meeting, highlighting briefly the different steps and the time-frame.



#### Tips for facilitator:

- The Union Parishad chairman could welcome the participants and explain the purpose of the meeting and the programme.
- List and clarify participants' expectations.
- The programme of the day should be written on a poster paper and displayed in a place where it will be visible to all participants.
- Meeting norms should be discussed and written on a separate poster paper.



## Identifying and understanding the roles of the different actors in regard to local governance (30 minutes)

The first stage in the Union Parishad Local Governance self-assessment is to help the participants to understand that local governance is not only about the Union Parishad but that there are many more actors in the Union that play an important role in regard to local governance. Flashcards with pictures of all important categories of actors should be displayed and the participants invited to explain what different role these actors play in the Union regarding local governance. The following are the groups of actors that feature on flashcards: the (i) Union Parishad, (ii) community organizations/citizens, (iii) traditional leaders/institutions (e.g. the elite, religious leaders), (iv) government line agencies, (v) private sector, (vi) support organizations (NGOs).

It is important for the participants to understand that these groups have different roles to play in regard to local governance.

- i. The Union Parishad has a political mandate to manage the local government authority through mobilization and allocation of the financial resources needed to implement projects. For communities to successfully oversee Union Parishad activities depends largely on the capacity and willingness of the Union Parishad to put in place inclusive and transparent mechanisms that allow local people to participate.
- ii. Traditional leaders/institutions (e.g. the elites and religious leaders) by virtue of their powerful influence over local people have the responsibility and capacity to stimulate popular participation.
- iii. Community organisations - which are a form of organized citizens - have the role to mobilize local people around community development actions and to act as watch dog of the Union Parishad and the government line agencies.
- iv. Government line agencies act on behalf of the central government and are responsible for delivering central government services to the local people.
- v. The private sector has an economic role to play by providing goods and services on the market and depends on the environment that is provided by the Union Parishad as well as the central government.

The participants can be invited to (re-) arrange the flashcards and draw connecting lines to illustrate the current importance and the relationship between the actors. The aim of this is, that participants understand the particular roles which different actors play and that these actors are not meant to compete with each other for power but are all equally important to achieve good local governance in the Union.



#### Tips for facilitators:

- Place flashcards on a board and let the participants identify which flashcard stands for which category of actors.

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- Discuss the importance and role of the different actors in regard to local governance.

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- Let participants arrange the flashcards to illustrate importance of different group of actors and their relationship.

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- Let participants illustrate the current and the ideal relationship between these actors. Use one color to illustrate current situation of relationships by drawing thin dashed lines for weak relationship and thick lines for strong relationships. Use another color for doing the same for the ideal relationships.

### Session 3

#### Identifying key local governance issues (30 minutes)

This session serves as an introduction to the evaluation of local governance issues. The participants should understand that local governance is not only about what the Union Parishad does but also about how the people fulfill their responsibilities as citizens. That is why the participants will be invited to evaluate local governance functioning in regard to the two broad categories of:

- i. How well is the citizen's participation in regard to governance?
- ii. How well does the local government function?

Once these two broad categories are understood, one or two sample questions of the questionnaire can be discussed in the plenary and instructions given for the group work that follows.



#### Tips for facilitator:

- Discuss that good local governance depends on how well all different actors fulfill their roles and that one large area of interest includes how well citizens participate in regard to governance and how well the Union Parishad functions.

---

- Discuss with the participant one question from each category, to make sure they understand the nature of the questions.

---

- Explain to them how to rate the different questions, emphasizing that they should give honest opinions and are not meant to please somebody or to punish somebody by their scoring.

### Evaluating local governance issues (90 minutes)

The 28 key issues (see annex III) that form the core of the assessment are then evaluated in smaller groups. The groups need to be constituted in a way that allows participants to be as free as possible to voice their individual opinion. Hence there should be at least separate groups for men and women.

Each group of maximum eight persons should be supported by one person, who has above average knowledge on the topic and who can lead the group without dominating it. The group leader first presents the question using the flashcard and starts the discussion within the group about what the ideal situation would look like regarding that issue. Once participants all agree on the meaning of the question and what the ideal situation would look like, they are asked to indicate their individual opinion in regard to the current situation on the poster paper that lists the questions and gives the possibility to rank each question on a score from one to six (see annex III).

Once all issues are assessed, the group should discuss the scoring and decide on maximum six issues that they would like to see improved.





**Tips for facilitators:**

- Before dividing the participants into groups, make sure that everybody understands the process of assessing the different questions.

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- Group the people into homogeneous groups.

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- No group should have more than eight members to make sure that interaction can easily take place.

---

- Instruct the group leaders in advance and hand out the material to them (question / answer posters, markers, flashcards, etc.).

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- Make sure that the groups discuss each question first and then let every individual put their ranking for that one question before moving on the next question.

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- Let the groups sit far apart to make sure that they are not disturbed by each other or influenced in their scoring.

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### Defining priorities that need improvement (45 minutes)

Once all groups have assessed the different issues and the members of the groups have come to a common understand on what issues they would like to see improved, their assessment posters are displayed somewhere for the whole plenary to see. Apart from this the compiled issues identified in community level Local Governance self-assessments should also be displayed.

Each group then presents the issues they want to see improved to the plenary explaining the reason for the ranking and why they view these issues as a priority to work on.

After the presentations of each group a representative of a community organisation presents the compiled issues that have been identified in community level Local Governance self-assessments.

On the basis of these different proposals the participants are asked to draw up a priority list of maximum eight issues that the Union Parishad would take as a priority to improve upon. It is crucial that the Union Parishad chairman and a majority of members agree to that list, since it is they who will have to take responsibility to work on these issues.



#### Tips for facilitators:

- After displaying the assessments of the groups and the community self-assessments, encourage the participants to go around and look at these.
- Make sure that participants get equal opportunity to contribute in the discussion and decision making process.
- Ensure that the decisions taken are truly owned by the Union Parishad as well as others involved in the self-assessment exercise.

## Elaborating Local Governance Improvement Plan (60 minutes)

In this session the Union Parishad with the support of the other participants is meant to develop a Local Governance Improvement Plan (see annex IV), in which the different points are defined of how to improve local governance functioning in the Union. The basis for this are the agreed upon priority issues identified in the previous session.

In the Local Governance Improvement Plan the following points are defined:

- 1) Prioritised issues
- 2) Initiatives to be undertaken
- 3) Responsible persons, groups
- 4) Need for external support
- 5) Budget
- 6) Timeframe
- 7) Comments

It is important that the Union Parishad as a whole agrees on the elaborated Local Governance Improvement Plan and commits itself to implement it. The Union Parishad should also be aware that the required budget for the Local Governance Improvement Plan will need to be reflected in the overall budget of the Union.

The progress of the plan will need to be monitored in the monthly Union Parishad meetings.



### Tips for facilitators:

- Guide the participants in developing the Local Governance Improvement Plan.
- Give the responsibility to the Union Parishad secretary for writing the plan on a poster paper.
- Make sure that the proposed initiatives are realistic and can be implemented easily.
- Ensure that the timeframe is kept short (six to twelve months).

### Feedback and closing (10 minutes)

Before closing the meeting, the participants should be given the opportunity to give feedback on their experience of taking part in the Local Governance self-assessment exercise. This can be done by asking two men and women, representing different stakeholders, to give a short verbal feedback in regard to what has been their major learning from the event. A woman Union Parishad member can then be asked to close the meeting.



#### Tips for facilitators:

- It is important to give the participant a feeling of achievement at the end of the meeting.
- The participants should be thanked for participating and contributing to the meeting.












ANNEXES

## Annex I: General tips for facilitators<sup>2</sup>




1. **Prepare well**
  - Materials and logistics are ready.
  - The facilitator has studied the process and the content for discussion.
2. **Set the 'climate'**
  - Ensure two-way communication.
  - Give equal attention and respect to all the participants.
3. **Clarify objectives and procedures**
  - Explain the task to be accomplished at each step.
  - Ensure that everyone understands.
4. **Encourage everyone to participate**
  - Do not let individuals monopolise the discussion.
5. **Maintaining neutrality**
  - Keep group conversations focused on reaching the objectives without influencing the outcome.
6. **Keep the discussion relevant**
  - Re-establish meaningful discussion when conversation diverges from the key issue and becomes irrelevant.
7. **Efficient time management**
  - Endeavour to work within the framework.
8. **Encourage ideas**
  - Be supportive of idea sharing.

## Annex II: Questionnaire - Local Governance Assessment at Community Level<sup>3</sup>




### How well is the citizens' participation in regard to local governance (demand side of local governance)?

| SN | Question  |  |  |  | ?             |
|----|---|---|---|---|---------------|
| 01 | How aware are you about your roles and responsibilities as citizens in relation to the UP?  | fully   | partly  | not at all  | I do not know |
| 02 | What is your level of participation in different public meetings in relation to the UP (village meetings, ward meetings, union level meetings)? | high  | medium  | none  | do            |
| 03 | How capable are you in explaining an issue rationally to the UP and to others?  | strong  | medium  | weak  | do            |
| 04 | How free are you to exercise your voter rights?   | free  | partly  | not at all  | do            |
| 05 | Do you pay your UP holding taxes regularly?   | regularly   | sometimes   | never   | do            |
| 06 | How effective are the existing CBOs in voicing the demands of extreme poor citizens to the UP?  | effective   | medium  | none  | do            |
| 07 | How successful are CBOs in your community in enlisting women, poor and marginalized in the UP committees?                                       | fully   | partly  | not at all  | do            |

### How well does the local government function (supply side of local governance)?

| SN | Question   |  |  |  | ?             |
|----|--|---|---|---|---------------|
| 08 | Do you think that elected members fulfill their roles and responsibilities?                            | fully   | partly  | not at all  | I do not know |
| 09 | Are UP office hours maintained?  | open every working day and timely   | open irregularly  | always closed   | do            |
| 10 | Does the UP notice board have up to date information?  | always up to date   | some-times up to date   | not at all up do date   | do            |
| 11 | How regularly are open meetings held in your ward for developing and reviewing the UP plan and budget? | regularly   | sometimes   | never   | do            |
| 12 | To what extent does your UP disclose its expenditures and income to the public?                        | fully   | partly  | not at all  | do            |
| 13 | How satisfactory is the performance of SCs/PICs?   | Satisfactory  | medium  | not at all  | do            |

3. Explanations given in the fields below the 'mood meter'-symbols are meant for the facilitator. They are not supposed to be written on the poster paper. The spaces will need to be kept empty for the participants to indicate their opinions in the form of tally marks.






| SN | Question  |  |  |  | ?  |
|----|---|---|---|---|----|
| 14 | How satisfied are you with services provided by the UP in regard to issuing certificates, registration, etc.?   | satisfied   | medium  | not at all  | do |
| 15 | What is your level of satisfaction with how the beneficiaries of safety net programmes (VGD, VGF, Old Age Pension, Widow Allowance, etc.) are selected?                           | satisfied   | medium  | not at all  | do |
| 16 | What is your level of satisfaction with services provided in the fields of: e.g. health, agriculture, family planning and access to public resources like khas land/water bodies? | high  | medium  | not at all  | do |
| 17 | How satisfied are you with the UP's support for women in the community? (e.g. respect towards woman citizen, salish/village court, skills training)                               | satisfied   | medium  | not at all  | do |
| 18 | How satisfied are you with resolutions of the village court?  | satisfied   | medium  | not at all  | do |

## Annex III: Questionnaire Local Governance self-assessment for Union Parishad Level<sup>4</sup>

How well does the local government function (supply for good local governance)?

| SN | Question  |  |   |   |   |   | ?             |
|----|---|--|---|---|---|---|---------------|
| 01 | What is the level of awareness of elected members regarding their roles and responsibilities?                           | very high  | high  | medium  | low   | not at all                                  | I do not know |
| 02 | Are UP meetings held regularly?   | always: each month   | most of the times: 10-11 per year   | sometimes: 6-9 per year   | rarely: 1-5 per year  | never: 0 per year                           | do            |
| 03 | Do all elected UP members participate in decision making?   | every body takes part  | most take part  | minority takes part   | only one or two take part   | only chair man                              | do            |
| 04 | Do UP women members have enough voice in the UP meetings?   | fully agree  | mostly agree  | partly agree  | hardly agree  | disagree                                    | do            |
| 05 | Are minutes of the UP meetings recorded, circulated and discussed?  | always   | most of the times   | sometimes   | hardly  | never                                       | do            |
| 06 | Are decisions of the UP acted upon?   | always   | most of the times   | sometimes   | hardly  | never                                       | do            |
| 07 | Are UP office hours maintained?   | open every day   | open 4 days a week  | open 2 to 3 days a week   | open 1 day a week   | never                                       | do            |
| 08 | Does the UP notice board have up to date information?   | up to date and adequate  | up to date but inadequate   | somewhat up to date but incomplete  | not up to date and incomplete   | no notice board                             | do            |
| 09 | Are registers and records kept and up to date?  | all 12 essential registers and important records are kept and up to date | all essential registers and important records are kept but not up to date | not all essential registers and important records are kept but up to date | not all essential registers and important records are kept and not up to date | no registers and important records are kept | do            |
| 10 | Are Standing Committees functioning?  | all 13 fully functional  | 8-12 functional   | 3-7 functional  | 1-2 functional  | only exist on paper                         | do            |
| 11 | Are Project Implementation Committees constituted as per rule and functional (projects are implemented timely by PICs)? | all  | most  | some  | few   | none  | do            |

4. Explanations given in the fields below the 'mood meter'-symbols are meant for the facilitator. They are not supposed to be written on the poster paper. The spaces will need to be kept empty for the participants to indicate their opinions in the form of tally marks.

| SN | Question  |  |  |  |  |  | ?  |
|----|---|---|---|--|---|---|----|
| 12 | Are public meetings for developing the UP plan and budget held?                     | held in each ward and citizens priorities schemes                                 | only consultation meetings are held at ward level                                 | only public meetings are held at UP level  | no public meetings are held   | no involvement of citizen   | do |
| 13 | Is the budget of the UP made public (open budget)?                                  | budget is on display and shared in public meetings                                | budget is on display but not shares   | budget is not on permanent display   | budget is not on display but citizens can ask for access                            | budget is not disclosed   | do |
| 14 | How transparent is the UP in regard to procurement / awarding contracts?            | all citizens are informed   | most citizens are informed  | some citizens are informed   | very few citizens are informed  | no citizen is informed  | do |
| 15 | Is project implementation monitored with involvement of the community?              | always  | most times  | some times   | rarely  | never   | do |
| 16 | Is there an independent annual audit and are findings shared with the public?       | independent audit always done and shared  | independent audit always done but not shared                                      | independent audit irregularly done   | independent audit hardly done   | no independent audit  | do |
| 17 | Is tax assessment done according to rules?  | fully   | mostly  | partly   | hardly  | not   | do |
| 18 | What percentage of people required to pay tax, actually pay them?                   | 100 %   | 70 % +  | 40 % +   | 10 % +  | 0 % +   | do |
| 19 | Is the village court functioning as per rules?                                      | fully   | mostly  | partly   | hardly  | not   | do |
| 20 | Do women participate in the decision making of the village court?                   | fully   | mostly  | partly   | hardly  | not   | do |
| 21 | How accountable and transparent is the UP in regard to making its decisions public? | fully   | mostly  | partly   | hardly  | not   | do |
| 22 | Do UPs organize regular government/NGO coordination meetings?                       | always: each month  | most of the times: 10-11  | sometimes: 6-9   | rarely: 1-5   | never: 0  | do |
| 23 | What is the level of women's participation in coordination meetings?                | very high   | high  | medium   | low   | none  | do |
| 24 | What is the level of participation of poor/marginalized in coordination meetings?   | very high   | high  | medium   | low   | not at all  | do |

How well is the citizens' participation in regard to local governance (demand side of local governance)?

| SN | Question   | 😊😊        | 😊      | 😐      | 😞      | 😞😞   | ?  |
|----|--|-----------|--------|--------|--------|------|----|
| 25 | How aware are the citizens about their roles and responsibilities in making the UP functional? | fully     | mostly | partly | hardly | not  | do |
| 26 | What is the level of participation of ordinary citizens in general public meetings?            | very high | high   | medium | low    | none | do |
| 27 | What is the level of participation of women in general public meetings?                        | very high | high   | medium | low    | none | do |
| 28 | What is the level of participation of poor/marginalised in general public meetings?            | very high | high   | medium | low    | none | do |

Annex IV: Sample of flashcards



Flashcard to illustrate question 'How free are you to exercise your voter rights?'



Flashcard to illustrate question 'Does the UP notice board have up to date information?'



Flashcard to illustrate question 'Are UP office hours maintained?'





### **About Intercooperation**

Intercooperation (IC) is a leading Swiss not-for-profit organisation engaged in international development and cooperation. Intercooperation is both an implementing and an advisory organisation, providing professional resources and knowledge combined with social commitment. Intercooperation's expertise is grouped around three broad working domains:

- Environment and climate change
- Governance and Natural Resources
- Income and food security

In all its work, IC seeks to empower the poor and marginalised by supporting gender-balanced, equitable, rights-based development.

Intercooperation supports partner organisations in more than twenty developing and transition countries on mandates from the Swiss government and other donors. In South Asia, Intercooperation is present in Bangladesh, India, Pakistan, Nepal and Afghanistan.

### **About SHARIQUE**

Intercooperation has been mandated by the Swiss Agency for Development and Cooperation (SDC) to manage a local governance programme in Bangladesh called SHARIQUE. Through its local governance programme, Intercooperation works in a total of 130 Unions and 20 Upazilas in the districts of Rajshahi, Chapai Nawabganj and Sunamganj. The purpose of the programme is to empower the poor men & women and marginalised groups to claim their rights and entitlements, and to benefit from more effective service provision by the local governments.

The programme strengthens, on the one hand, the capacity of the Union Parishads and the Upazila Parishads to manage public affairs and resources in a more participatory and inclusive, transparent and accountable way. On the other hand, it strives to empower the poor men & women and marginalized groups to know their rights and responsibilities and negotiate their interests in local planning and decision making. The programme furthermore aims at utilizing its experiences and lessons to influence public debate, local governments and related national institutions, policy & regulations.

Intercooperation implements the programme with the following local partner NGOs: CNRS, MSP, RWDO, Sacheton, SNKS, SUS.

Funded by:

