Baseline Study Report of
Efficient and Accountable Local Governance (EALG) Project

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Abbreviations

BBS	Bangladesh Bureau of Statistics
CCA	Climate Change Adaptation
CC	Citizen's Charter
CSO	Civil Society Organisation
DRM	Disaster Risk Management
EALG	Efficient and Accountable Local Governance
FGDs	Focus Group Discussions
GoB	Government of Bangladesh
HH	Household
ICT	Information and Communications Technology
KII	Key Informant Interview
LGI	Local Government Institution
LGRD	Local Government and Rural Development
LGSP	Local Government Support Project
MP	Member of Parliament
NID	National Identity
NP	Non-Project
PELG	Policy for Effective Local Governance
PFM	Public Finance Management
PRI	Policy Research Institute of Bangladesh
SC	Standing Committee
SDG	Sustainable Development Goal
SRS	Simple Random Sampling
SSNP	Social Safety Net Program
SUZP	Strengthening Upazila Parishad
SUP	Strengthening Union Parishad
ToR	Terms of Reference
UP	Union Parishad
UPS	Union Parishad Survey
UZP	Upazila Parishad

Executive Summary

1. Background and Scope of the Study

The weakening of the local government institutions over many decades has led to serious deficiency in local government institutions (LGIs) capacity to deliver services, maintain financial accounts properly, and engage with citizens and other stakeholders with regard to service delivery and project implementation. There may be some good practices of local governance in Bangladesh, but they are simply too few, spotty, and largely not systematic. The combination of very limited revenue base and strict limits on access to financing, have essentially prevented the development of properly functioning LGIs with proper strategies for service delivery and citizens' participation in local government operations.

Against this backdrop, the UNDP has undertaken a baseline study to develop baseline data regarding the different aspects of governance situation at the Upazila Parishad (UZP) and Union Parishad (UP) levels. The study aims to assess the governance situations in selected project areas as well as the capacity of respective UZPs and UPs to render their mandated responsibilities especially in delivering services to the citizen. The overall objectives of the baseline study are to assess the pre-project governance and development conditions in the EALG project UZPs and UPs with a comparison to control UZPs and UPs.

The Baseline Study is expected to generate baseline information or benchmark data relating to different aspects of service delivery and governance situation at UP and UZP levels in both project (treatment) and control areas. The benchmark information may be used to assess possible scope for and impacts of the Efficient and Accountable Local Governance (EALG) project. For this, a set of indicators were identified, and data were collected through the baseline field surveys. The main scopes of the survey include:

(a) **At the Household level:** Household/Citizen's knowledge and perception about the activities of UP, and related planning, budgeting and auditing; Household participation in UP activities/programs such as Ward Shava, open budgeting meeting, standing committee meetings and others; Perception of households about transparency and accountability on service delivery and governance of the UP and UZP and also on Women empowerment and gender equality.

(b) **At UP and UZP levels:** Basic information about UPs and UZPs and their activities, including, monthly meetings and Ward Shavas (WSs); formation of Standing Committees (SCs) and holding of meetings; UP and UZP planning, budgeting and auditing; and performance of UPs and UZPs in terms of service delivery and governance.

2. Survey Methodology

The baseline survey was designed to collect information related to three major issues namely (i) strengthening UZP, (ii) strengthening UP and (iii) Policy for Effective Local governance (PELG). The list of indicators or variables were identified in consultation with the officials of the Ministry of Local Government, Rural Development and Cooperatives (LGRD&C) and the UNDP to generate baseline data by undertaking surveys regarding different aspects of governance situation at UZPs and UPs. The baseline survey information may be used for monitoring progress with SDG implementation/achievements as well as to assess the impacts of ELAG project for mid-term or final evaluation.

The survey area is comprised of treatment groups and control groups. The treatment group includes 8 districts namely Chandpur, Faridpur, Sunamganj, Patuakhali, Khulna, Rajshahi, Rangpur and Netrokona, from 8 administrative divisions of the country. For control groups, another 8 districts: Comilla, Rajbari, Sylhet, Barguna, Jhenaidha, Natore, Gaibandha, and Mymensingh were selected from 8 divisions by matching with the districts of the treatment groups. A rigorous matching procedure—using the UZGP evaluation database by computerized matching process was followed based on specific matching criterion to select the districts for the control groups.

The following four different approaches/methods were followed for collection of data: Household survey (citizen's knowledge and perceptions about UP and UZP operations); Institution surveys (Union and Upazila Parishad); Key Informant Interviews (KIIs); and Focus Group Discussions (FGDs). For data collection, three different sets of questionnaires were prepared, which were: Household survey questionnaire (perception and participation of households in UP and UZP programs); UZP survey questionnaire (for assessing activities and performances of UZP as benchmark data); UP survey questionnaire (for assessing activities and performances of UP as benchmark data). For qualitative data collection, the following methods were followed: Key Informant Interviews (KIIs) at UP level with UP and UP Members, UP Secretary, Female members, Teachers, local NGO workers etc.; KIIs at UZP level with UNOs, Project Implementation Officers (PIO), officials of line departments, media and NGO workers, and local political leaders. FGDs were held with the UP and UZP officials and community leaders/ representatives.

3. Key Lessons

While the agenda for establishing empowered and decentralized LGIs is a substantially more challenging and higher-level policy agenda, the inter-connection can be easily seen by looking at the key lessons learnt from baseline survey results presented in detail in Chapters 3, 4 and 5. The main lessons are:

- The government has put in place several laws and regulations and templates and manuals which, if followed diligently, could provide an adequate basis for establishing a good functioning system for the UPs and UZPs in treatment and control areas.

- Despite these laws and regulations, there are severe deficiencies in most areas, mostly due to lack of compliance resulting from lack of proper understanding of the issues, resource to ensure compliance and service delivery and staffing constraint, but also due to the absence of monitoring and evaluation.

- There is wide gap between the perceptions of the citizens or households and the perceptions of the UP and UZP authorities. The opinions expressed at the FGDs and KIIs generally go well with the views expressed by the Households. At the same time the UP and UZP authorities and line ministry officials at the UZ level are more focused on completing the processes for releasing of funds and fulfilling the legally mandated requirements.

- Many of the Committees and stakeholder consultations, including ward shavas are primarily done on a pro-forma basis without serious follow-up measures to reflect the views of the stakeholders. The systematic absence of meeting minutes does not allow anyone to track down what issues were discussed in the meetings and what were the follow-ups to these meetings or stakeholder consultations.

- Rules and regulations are necessary but not sufficient conditions for ensuring a sound and well-functioning UP and UZP systems. Without systematic efforts to improve awareness among stakeholders including citizens, without strengthening capacity and staffing profile in essential areas related to project implementation, PFM and service delivery, without an adequate feedback loop and monitoring system and enforcement mechanisms by the supervising government institutions, UPs and UZPs will continue to pay lip service to these rules and regulations with no substantive progress at the ground level.

- Addressing the resource constraint requires actions on three fronts: allocating more financial autonomy to UP and UZPs to raise domestic resources; improving their administrative capacity for collecting the tax and service charges; and ensuring the timeliness and predictability of budget transfers from the national government.

- An effective system of monitoring, evaluation, and follow up are essential to make UPs and UZPs work effectively. This requires capacity strengthening at both the UP and UZP levels and at the supervising division of the Ministry of LGRD&C.

- Almost all UPs have ICT centers that are run by private sector operators who are local residents and provide a range of services to local citizens at reasonable costs. The UPs, supported by the A2I project of the government provide internet connectivity and space for operating the UP ICT service centers, generally within the UP complexes or in buildings close by. The UP authorities should take advantage of this facility for strengthening their own budgeting, accounting and financial management practices necessary to do good PFM.

4. Major Survey Findings

Based on household (HH) surveys:

- HH awareness about functions and responsibilities of the UPs is still limited at 23.3% although the proportion of HHs who have benefitted from UP services have remained significant at 41% with modest variation between project and control areas.

- About 5.2% HH respondents reported that they participated in awareness raising programs (Dowary, early marriage, tree plantation, terrisom etc.) organized by UPs including in the form of rallies.
- The survey results indicate that about 7.3% HH members of the project UPs and 9.5% HH members of the control UPs ever attended Ward Shavas (WSs). About 32% respondents (out of those who attended WSs) raised problems or issues to discuss in the WSs.
- Only 2.1% HH respondents of the treatment UPs and 4.6% respondents of control UPs were aware about the UP Standing Committees (SCs) and about 31% respondents who were aware of the UP SCs at some point of time attended UP SC meeting.
- Only 4.6% HH respondents of the project UPs and 4.7% respondents of the control UPs were aware about UP annual development plan while only 4.4% HH respondents were aware about UP five-year plans.
- About 3.9% respondents were aware about UP annual budget and open budget meeting as well as only 25.4% HH respondents of project UPs and 39.5% of control UPs (amongst the respondents who were aware about open budget meeting) ever participated in the open budget meetings.
- About 42.7% households of treatment UPs and 45.6% respondents of the control UPs were aware about UP tax assessment system.
- More than 40% of HH respondents were satisfied with service delivery and governance of UPs while 30.8% of HH respondents were satisfied with the UZP service delivery.

Based on survey of UP authorities:

- In 60% of UPs monthly meetings were held regularly implying that in 40% of the UPs monthly meetings were not conducted regularly. In regard to holding Ward Shavas (WSs), 42.9% project UPs were holding two WSs in each ward during last year while 33.3% of control UPs reported holding of two WSs during the same period (based on responses from UP authorities).
- About 82% of UPs in both treatment and control areas reported that they formed all the SCs. The UP authorizes also reported that on average about 15.2% local people were aware about the existence of UP SCs and their activities.
- About 71.4% UPs in project areas and 33.3% UPs in control areas had prepared their annual development plans. While almost all UPs (91%) in treatment and control areas had prepared their five-years plans.
- According to the UP authorities' responses, about 27.3% UPs had mainstreamed local resilience plan into five-year plans.
- Almost all UPs (90.9%) in treatment and control areas had prepared their annual budget timely. About 42.9% UPs of the treatment areas and 50% UPs of the control areas reported that they had conducted open budget meetings in the process of preparing and finalizing the annual budgets.
- About 27.3% UPs allocated funds in the budget for women development while only about 6% UPs allocated funds regularly for water and sanitation purpose.
- More than 87% UPs in treatment areas and 79% UPs in control areas reported that they were implementing schemes for and by women at the UP level.

- Only 14.3% project UPs mentioned that they implemented scheme relating to Climate Change Adaptation (CCA) or Disaster Risk Management (DRM) at their UPs. Over all 81.8% UPs mentioned that they did not implement any scheme on CCA or DRM in their UPs.
- About 51.3% UP authorities in the treatment areas and 41.4% UPs in the control areas observed that governance and service delivery of the UPs were very good.

Based on survey of UZP authorities:

- About 91% UZPs had formed standing committees (SCs) on the other hand only 9% of the UZPs had approved Terms of References (ToRs) for all the committees.
- The monthly meetings of UZPs were held regularly in only about one-quarter of UZPs (27.3%) with a very little difference between treatment and control areas.
- Altogether, 54.5% of the treatment and control UZPs claimed to have prepared annual development plans for their respective UZPs.
- About 83.3% UZPs of treatment areas and 50% UZPs of the control areas reported that they prepared their budget each year while only 18.2% UZPs in both areas had released budget on time and 36.4% released not timely.
- Only 36.4% of both the treatment and control UZPs mentioned that they held budget meeting with the participation of UZP members, elite persons and civil society organizations (CSOs) etc.
- About 58% of treatment UZPs and 45.5% of control UZPs have included citizens, CSOs and local media in UZP committees.
- A very large proportion of UZPs have Facebook accounts (80%) and only 10% UZPs have Twitter accounts.
- Only 16.7% of treatment UZPs and none of the control UZPs adopted public engagement strategies in monitoring their quality of service delivery.
- More than 84% male and 58% female respondents in the project areas were either very satisfied or satisfied with the quality of service delivery by their UZPs. Satisfaction level of poor and marginalized people were significantly lower at 41.7% and 50% respectively in treatment areas.
- About 82% UZP respondents were of the view that there was coordination between various relevant authorities and institutions.

5. Key Recommendations

Based on the detailed analysis of survey results presented in Chapters 3,4 and 5 and drawing from the comparative analysis including the findings of FGD and KIIs presented in Chapter 6, the main recommendations for UP and UZP reforms are noted below. Given the institutional weakness, and the nature of reforms or measures, implementation of the proposed reforms can only be possible in phases over the medium and long term.

Need for administrative and fiscal decentralization: Sustained long-term progress with UP and UZP reforms will only be possible with the establishment of a system of accountable, empowered and decentralized system of local governance. This is a major political economy

question that has to be resolved at the highest policy-making level of the national government. While this decentralization process is a medium to long-term one, in the near-term civil society discourse with elected representatives from the UPs and UZPs, government, and Members of Parliament may be initiated to foster greater awareness among the stakeholders.

A number of pragmatic steps may be considered for strengthening PFM standards at the UP and UZP levels in the near term. The main focus should be on deepening of the current budget preparation process. At the UP and UZP levels, this will entail the following:

(i) requiring these institutions to go beyond the pro-forma process by recording minutes of the ward level consultations and a summary of which of the recommendations were incorporated in the budget (if any) and the reasons for doing so;

(ii) requiring both institutions to prepare and submit six-monthly/mid-year budget statements/updates with proposals for corrective measures;

(iii) strengthening the capacity of the UNO's office to evaluate the UP budget proposals and formally approve the budget in consultation with the UPs; and

(iv) enhancing further the role of female members of UPs in the operations of the UPs.

Strengthen supervision and monitoring capacity of Local Government Division (LGD) of the Ministry of Local Government, Rural Development and Cooperatives (LGRD&C). In the absence of a formal mechanism of supervision, monitoring, evaluation and enforcement of PFM rules and regulations, little or no progress will be possible. As such, monitoring and supervision capacities of LGD will have to be substantially strengthened. If these responsibilities are to be delegated at a lower level (such as the office of the UNO for overseeing the activities of the UPs) then the capacity of that unit will have to be strengthened as well. LGD will need to monitor the effective implementation of that delegated responsibility.

Improving the understanding about budget and plans. UP and UZP officials should be trained and mandated to use the budget and 5-year plan documents as policy documents to achieve certain developmental objectives. For the budget this will entail monitoring of budget execution process on a quarterly basis, at the beginning and eventually on a monthly basis for the relevant officials to undertake corrective measures during the fiscal year. The training programs offered through the Local Government Training Institute under the LGRD&C may have to be carefully reviewed for the contents of the training materials. Some collaboration with institutes like Bangladesh Institute of Public Finance (BIPF) and Bangladesh Institute of Governance and Management (BIGM) may also be helpful.

Expand the UP resource base. At present the government shares a very small part of the land transfer tax with the UPs (only 1% of the revenue collected in the local land registration office). This proportion may be very easily increased to at least 10% of the revenue collected from land registration offices for transferring to the UPs and UZPs from where the tax has been collected. This measure alone can significantly increase resource availability for the UPs and UZPs. This is an administrative measure and can be implemented without delays if the government so desires.

Strengthen revenue collection efforts. Although ward-wise tax assessment and collection registers are generally maintained by UPs, they must also prepare statement of outstanding taxes. The budget and the annual and quarterly statement of accounts should be displayed in the notice board and UP/UZP websites for public inspection and dissemination. In this respect, the government and the World Bank (in the context of LGSP-III) may consider explicitly linking local revenue performance to matching funds from the government and the World Bank LGSP-III. International experience shows that LGI authorities should have legal authority to impose taxes of certain types and also have authority to impose penalties for non-payment of taxes in the form of interest charged at above market interest rates and fines for delays in settling tax obligations.

Strengthen UP and UZP audits and broaden the scope of audits to areas such as compliance with regard to service delivery and engagements with stakeholders. Audit of the UP and UZP operations need to be strengthened in meaningful and practical ways.

Improve service delivery. The strategies to improve service delivery will require efficient and effective response to the dynamic needs of the citizens. This means that the institutions would need to run their activities in partnership with all stakeholders, and one that focuses on promoting the advancement of the private sector and citizens through a well-managed policy and regulatory environment. The major strategies for improving service delivery will require improvements along the following lines:

- ➢ Setting tone at the top: **A Paradigm Shift from "Service Provider" to "Development Manager"** by focusing beyond the traditional role and scope with vision to enhance productivity through re-engineering of service rendering processes.
- ➢ Go beyond the pro-forma one-time consultation process and establish institutionalized systems and mechanisms for optimal public participation in decision-making.
- ➢ Facilitate physical and social planning, basic services, environmental protection, local economic development, pro-poor settlements upgrading etc. in a consultative manner.
- ➢ Expanded use of IT technologies and sustaining the IT based administration and service delivery monitoring. Partnering with other players and outsourcing of services will help this process.
- ➢ Dealing with governance issues, corruption and improving accountability,
- ➢ Offering value for money--the service fees charged by the Ups and UZPs should reflect the quality of service delivered
- ➢ Need based criteria as the basis for central government budget allocation for UPs and UZPs

The suggested reforms are quite ambitious and demanding, given the current state of administration, service delivery and governance at the LGIs across Bangladesh. It will require sustained efforts through training and motivational programs, resources and incentives for the UPs and UZPs to adopt such good practices. Development partners together with the MOF and MoLGRD&C may consider extending financial and technical support in imparting such change management and in developing customized accounting software for the UPs and UZPs for

standardized accounting/record keeping, timely reporting and in ensuring transparency and accountability.

Strengthen use of ICT at UP and UZP levels. Access to wider range of services would however require coordination with the relevant line ministries and agencies along with ensuring availability of updated information from the relevant sources. If a villager wants to have information on a particular crop disease, the relevant extension service centers of the Ministry of Agriculture should be able to provide expert advice instantly for the farmers to benefit from such services. If the land records data are fully digitized, citizens can receive copies of land records from the UP ICT centers without going through the highly corrupt and inefficient land management offices.

The Baseline Survey provides valuable information in terms of views of the rural households, and of the UP and UZP authorities. The wide difference in the perceptions between the households on the one hand and the UP and UZP authorities on the other hand needs to come down significantly and steadily over the medium and long term. Achieving the SDG objectives will require much more efficient service delivery at the local government levels and international experience shows that it would only be possible if Bangladesh government can strengthen the operations at all levels of LGIs, including UPs and UZPs. Narrowing the differences in perceptions among the stakeholders in terms of improved service delivery and fiscal management will go a long way towards improved service delivery by the LGIs. The recommendations made above may go a long way toward realizing this objective. Periodic monitoring of perceptions of citizens and comparing those with the findings of the baseline survey will provide indications about progress made over the years in terms of service delivery envisaged under the SDG.

CHAPTER 1

INTRODUCTION

1.1   Background

1.1.1   Development Context

Bangladesh has recorded impressive development performance since independence. Starting from a per capita income of about $100 and a poverty incidence of 75% plus in the early 1970s, Bangladesh has met the criteria for a developing middle-income country (LMIC) status in 2015. Per capita income grew to $1600 in FY2017 and the incidence poverty fell to 24.3% in 2016. Further gains made on all fronts since then with the current per capita GNI at $1909 in FY2019. Remarkable improvements have been made in human development that have put Bangladesh ahead of most other LMIC. Despite these impressive performance, an estimated 40 million people still live below the poverty line. Maternal mortality rates are persistently high, and the incidence of child malnutrition remains high. Access to quality education, healthcare, safe drinking water and sanitation is seriously constrained, particularly in the rural areas. There is also evidence of growing income and poverty disparities within and across regions. The divisions of Rangpur, Barisal, Khulna, and Rajshahi show higher poverty and lower income growth than the divisions of Chattogram, Dhaka and Sylhet.

There are several factors that hinder progress in the delivery of basic services. A major determining factor is the absence of well-functioning local government institution (LGI). International experience suggests that basic services such as education, healthcare, water, sanitation and local level law and order are best delivered through local government institutions with broader participation of citizens. Historically, local government bodies as formal institutions with elected representatives were developed during the British time. The colonial structure of local governments—focusing primarily on Union and District Councils--continued broadly during the Pakistan and much of the Bangladesh period, with occasional tweaks. However, the truly representative local government system has not functionally flourished in the post-colonial era. Local governance has been a victim of the centralization process and infighting between national/central and local political power play. As centralization accelerated over time, the local government institutions were neglected and became virtually ineffective or very weak. Over several decades since the independence of Bangladesh, public service delivery system got increasingly centralized, contributing to ineffective service delivery. The service delivery process at the local government levels has seen very little or virtually no participation of local representatives or citizens.

The centralization of resource mobilization without constitutionally or legally mandated distribution of revenues to local bodies has led to the centralization of service delivery. No systematic efforts were made in recent decades to improve local government bodies except for the establishment of the Upazila Parishad (UZP) system in 1990s. Evan after the establishment of the UZP system, it was essentially used as an extension of the central administration since there was no elected representatives at the UZ level until 2009 when the first election was held for electing UZP (elected body) at the initiative of the then caretaker Government. After the election of UZ representatives, the elected bodies were neither empowered nor encouraged to take initiatives for service deliveries and mobilize revenue to finance service delivery.

The weakening of the local government institutions has deteriorated to the extent that major local government bodies like the large City Corporations in Dhaka and Chattogram suffer from serious service delivery bottlenecks and the quality of service delivery is generally very poor, despite their immense potential in revenue generation. It is primarily because these city corporations/municipalities could not generate the needful revenues. Their taxation authority and tax base have been limited and their operational structure has not been modernized. They have no major avenues for resource mobilization, except for budgetary transfers.

To maintain financial discipline, LGIs are not allowed to issue bonds or borrow from the banking system or other sources without the approval from central authorities. The combination of non-existent or very limited revenue base and strict limits on access to financing, has essentially prevented the development of properly functioning LGIs with proper strategies for revenue mobilization, budget processes with citizens' participation, and appropriate accounting and monitoring mechanisms for execution of the budget.

Several factors constrain the effective functioning of the LGIs, including lack of political, administrative and financial autonomy, weak governance, poor capacities, and lack of citizen's participation in LGI activities. Accordingly, a comprehensive reform of LGIs is a huge challenge in political economy. This will eventually need to be addressed as Bangladesh aspires to seek upper middle-income status by FY2031 and higher income status by FY2041. Hon. Finance Minister in his FY2018-19 Budget Speech addresses this issue by stating that "I strongly believe that it is possible to accelerate the growth rate to 10 per cent in Bangladesh. However, this certainly calls for decentralization of power. The articles 59 and 60 of the Constitution make provisions in this regard. This agenda should be taken up for implementation immediately after next election while all participating parties should articulate their concept and programmes in election manifesto. It should be understood that each of our districts in terms of population and area is bigger when compared to those of over 60 countries of the world. It would never be possible on the part of district governments to deliver services and undertake best development initiatives unless the powers and functions are decentralized".

This statement clearly articulates the vision of the government but will take a long time if there is political will to do so. In the meanwhile, the government continues to channel significant amount of resources to these entities through budget transfers. The efficient use of these resources is very important especially considering the tight fiscal situation of the government. It is also understood that achievement of the SDG will require broadening of public service delivery and improving the quality of services at the LGI levels.

1.1.2 Structure and Legal/Constitutional Mandates of Local Governance in Bangladesh

The local government system in Bangladesh has evolved within a three-tier framework – Union Parishad (UP), Upazila Parishad (UZP) and Zila Parishad (ZP) - first envisioned in the colonial-era Bengal Local Government Act of 1885. This however does not mean that an effective three-tier local government system is actually operational. The institution at the primary tier i.e. the Union Parishad (UP), has had the most robust presence by virtue of institutional continuity as an elected body.

The Local Government (Upazila Parishad) Act 1998 and subsequent amendment in 2011 placed 17 government departments under the UZP and clear provisions were made for compulsory reporting of activities by other departments not categorically transferred. Similarly, the Local Government (Union Parishad) Act 2009 made 13 field level extension officials of 7 ministries transferable to the UPs. However, despite these initiatives, functional integration is yet to be achieved as desired and directed

in the legal framework. All government departments and extension officials are still operating under the central government structure, as local officials of the central government accountable only to the concerned ministries and agencies of the Government of Bangladesh.

Articles 11, 59 and 60 of Bangladesh Constitution provide directions on Local Government. The Constitution of Bangladesh underscores the importance of local governance. The Constitution clearly provides for local governments at various administrative tiers. However, the Constitution does not provide definitive directions regarding the distribution of roles and functions between local government institutions (LGIs) and field administration of the central government neither does it offer guarantee clauses that would constitutionally empower the local government system.

In the absence of a legal framework for revenue and expenditure assignments to the LGIs, the national budget primarily decides the expenditure allocations and resources are transferred to LGIs on an annual cycle. The resource transfers are made through the Ministry of Local Government and Rural Development and Cooperatives (LGRDC). LGIs have a limited number of assigned revenue sources, the most important of which is the property or holding tax. But total revenue collection at LGI levels in Bangladesh is less than 0.2% of GDP, primarily because the property/holding tax valuations and tax rates are set by the national government at very low levels. Total expenditure managed by LGIs is about 1.1% of GDP. The gap between LGIs own revenues and expenditure shows the heavy dependence of LGIs on the national budget for survival.

Although 1.1% of GDP is a relatively small amount, these outlays help finance a number of very important basic services that have strong implications for health and poverty reduction. These include water supply, sanitation, drainage, waste management, local roads, rural roads and small irrigation schemes. Therefore, the quality and effectiveness of this spending have a determining influence on these services. An important determinant of the quality of LGI spending is the underlying public finance management (PFM) practices.

1.1.3 Understanding the Context of the Study

Strengthening local governance has been a key focus of Bangladesh Government and various other development partners. UNDP has been working with the Government of Bangladesh to strengthen the local governance system in Bangladesh for more than a decade, supporting projects of LGIs to play an important role in reforming Union Parishad (UP) and Upazila Parishad (UZP) tiers of government. The Efficient and Accountable Local Governance (EALG) project's objective is to strengthen the capacity of local governments and other stakeholders to foster participatory local development through improved service deliveries which should help achieve the objectives outlined in the SDGs. Following are the SDGs goals and targets pertaining to local governance:

- **Goal 1:** End poverty in all its forms everywhere

  Goal 1 is to end extreme poverty in all forms and dimensions by 2030. This involves targeting the most vulnerable, increasing access to basic resources and public services, and supporting communities affected by conflict, natural and climate-related disasters.

- **Target 1.3:** Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

- **Goal 4:** Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all

- **Goal 5**: Achieve gender equality and empower all women and girls

- **Goal 6:** Ensure availability and sustainable management of water and sanitation for all

- **Target 11.b**: By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, and holistic disaster risk management at all levels

- **Goal 15**: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss

- **Target 16.7**: Ensure responsive, inclusive, participatory and representative decision-making at all levels

Given the strong relationship between strengthened local governance and citizen's participation and achievement of the SDG goals specified above, this project has these three main components:

1. Strengthening UZP
2. Strengthening UP
3. Policies for Effective Local Governance

1.1.4   Linking the Challenges of Local Governance and SDG with the Baseline Study

In order to holistically approach this project, it is vital that all the major issues to be covered through the baseline surveys are directly or indirectly linked to establish benchmarks and subsequent monitoring of progress in terms of realizing the SDG targets of the Government of Bangladesh. Such a benchmark data set will help create a proper context and basis for future monitoring and policy analysis/evaluation. Without identifying/diagnosing the major challenges of local governance and resolving them in order to achieve the related SDGs, the methodological approach of the project will not be appropriate.

Table 1.1 below outlines all the major components of SDGs which relate to local governance, the challenges of local governance in Bangladesh in the context of the relevant SDGs, and some major indicators that we may consider for the evaluation process.

Table 1.1: SDG Targets, Local Governance Challenges and Related Indicators

SDGs Goal/ Target	SDGs Goal/Target description	Local Governance Challenges in Bangladesh	Some Indicators to consider
Goal 1	End poverty in all its forms everywhere. This involves targeting the most vulnerable, increasing access to basic resources and services, and supporting communities affected by conflict and climate-related disasters.	Data on poverty and economic marginalization—based on proxy means or other methods of selection—are not available yet, and when available, should be verified with the relevant LGIs.\nA large number of vulnerable families/groups are often excluded from support programs and service deliveries.	- Number of ward meetings of the ward committees each year for validating and updating the list of poor families at the Ward level of UPs.\n\n- Number of meetings that LGIs hold with citizens on performance of social safety net programs (SSNP) in their respective jurisdictions.\n\n- Indicators for monitoring the performance of local government support projects (LGSPs) in improving quality of poverty alleviation programs
Target 1.3	Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable	Bangladesh is currently providing social protection through 150+ programmes which are managed by numerous ministries and agencies. Independent operations of so many programs have led to substantial mis-targeting and wastage of resources. GOB has in the meantime adopted a new and comprehensive National Social Protection Strategy. However, it is yet to be implemented.	- Measure the current coverage of the poor through various social protection programs and household surveys.\n\n- Household perceptions about current social safety net programs, which can be re-evaluated over time.\n-With the introduction of the new and more comprehensive life cycle based social safety net program the government has already adopted for future implementation.
Goal 4	Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all	Bangladesh has made notable progress in certain areas of education (especially primary and secondary) sector. In particular, it has achieved gender equality at the primary and secondary levels, access to education has improved, school dropout rates have declined significantly at the primary level (although still not at optimal level). Nevertheless, major problem remains in terms of quality of education. Participation of LGIs in school management and other training programs are notably lacking, local authorities' power in managing schools with a view to improve performance is	- Standard measures/indicators of inclusiveness, equitable access to education system, and quality of education will be employed.\n\n- Perception of households about quality of education can be surveyed to serve as the benchmark for future improvement in quality.\n\n- The ratio of LGI representatives in school boards could be an indicator for local level participation in the delivery of education to the school going children.

SDGs Goal/ Target	SDGs Goal/Target description	Local Governance Challenges in Bangladesh	Some Indicators to consider
		virtually absent. Education system is highly centralized.	
Goal 5	Achieve gender equality and empower all women and girls	Gender equality has been achieved at the primary and secondary school levels. However, female students need better opportunities for higher education and in post-graduation phases. However, participation of women at LGIs and in receiving service deliveries remain inadequate. Most service delivery programs are not controlled by the LGIs. Female representatives via quota system is implemented but representations at other LGIs needs to be evaluated.	- Participation of women members in LGI meetings/committees. Women participation in various programs, meetings and campaigns. - Ratio of women in school boards - Ratio of women in social protection deliveries etc. could be potential indicators.
Goal 6	Ensure availability and sustainable management of water and sanitation for all	There is virtually no sewage system or running water in most rural areas. Although open defecation has been eradicated, the quality of sanitation still needs to be improved. LGIs may play a rigorous role in this service delivery. Attached with sanitary and clean water is the healthcare sector, which is also centralized.	- Household baseline surveys to determine access to clean and non-arsenic water and pucca sanitary system. - Support received by households from the government in improving their access to clean water and good sanitation. - Participation of LGIs in access to services such as water, sanitation
Target 11. b	By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic	Bangladesh is a climate change and natural disaster-prone region. LGIs can play a major role in resilient and adaptation mechanism and policy formulation. At local government levels there are reforestation committees, disaster reduction committees and migration/labor bureaus. However, the holisticness and the mandate of LGIs in areas of environment, climate change, water management and disaster risk management are at most minimal.	- Performance of Union Disaster Management Committee - Improvement of infrastructure facilities and whether those are climate resilient and consistent with local needs - Citizen's perceptions about government's plans regarding the SDG 11.b.

SDGs Goal/ Target	SDGs Goal/Target description	Local Governance Challenges in Bangladesh	Some Indicators to consider
Goal 15	disaster risk management at all levels Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss	Bangladesh is a climate change and natural disaster prone region. Local government can play a major role in better protecting the environment. At local government level there are reforestation committees. However, the holisticness and the mandate of LGIs in areas of environment, and climate change is very weak. LGIs may be empowered to better manage the ecosystem they are better aware of the local topography and sustainable livelihoods.	- State of forests and land degradation in the localities surveyed. - Perceptions about Forestation/Plantation programmes. - Areas reforested in past 10 years in the survey areas - Extent of degradation of land through brick fields, sale/removal of top soil, etc.
Target 16.7	Ensure responsive, inclusive, participatory and representative decision-making at all levels	Although LGIs themselves are not very empowered or well-resourced, inclusiveness of the LGIs needs to be evaluated. Are the backward sections' inclusion and gender parity being achieved in decision making at local level? What is the effectiveness of women quota system at local representations needs to be evaluated.	- Budget preparation (women and poor participation) Performance of local government support projects (LGSP) - Village court performance in resolving local disputes outside the court system - Training programs of LGI officials - Ratio of LGIs in various decision-making committees at national level

1.1.5 Challenges at Local Governance Level

The weakening of the local government institutions over many decades has led to serious deficiency in LGIs capacity to deliver services and maintain financial accounts properly. There may be some good practices of local governance in Bangladesh, but they are simply too few, spotty, and largely not systematic. The combination of non-existent or very limited revenue base and strict limits on access to financing, have essentially prevented the development of properly functioning LGIs with proper strategies for revenue mobilization, budget processes with citizens' participation, and appropriate accounting and monitoring mechanisms for execution of the budget. Moreover, lack of resources and legal mandate have led to the conspicuous absence of LGIs from the basic areas of services delivery to the local citizens. Unlike the experience in many other countries, basic services such as education and health are managed by the central government in Bangladesh and LGIs and local elected representatives have very little role in ensuring quality of such basic services.

The current local governance framework, although quite restrictive for the LGIs, provides some room to operate. Hence, pending fundamental reforms in the form of devolution of power/authority to the LGIs for most local level service deliveries, the reform process should focus on areas/activities which can be legally supported under the current framework. The key issue is how can the LGIs improve their functions within the current legal framework and financing arrangements, by identifying specific issues and fixing them. For example, improving the quality of management at local public schools at the primary and secondary levels through the presence of elected local government officials should be the way to go. Currently the governing bodies of local schools are primarily chaired by Members of Parliament (MPs) or their representatives, and less so by the elected officials of LGIs. LG representatives could play a more significant role in school governing bodies and selection of poor families for social protection related support from the government. There is no role of LGI representatives in the healthcare sector; this can be reformed by increased role of LG representatives in the management of local healthcare centres and hospitals. LGIs need more mandated role, especially in sectors such as healthcare, education and local infrastructure development.

Although the lack of resources available to LGIs remains a major constraint for local governance and service delivery, there is still need for accountability of available resources at LGI levels. There is need for policy support from the government to establish effective local government irrespective of tiers. This support has could be in the context of the SDGs, engagement with LGIs with a view to making them effective and will be important for achieving the goals and targets of SDG as mentioned previously. This baseline survey/study project will clearly establish where the state of local governance is and which way the LGIs should be heading, especially in the context of SDG and other national plans targets. The baseline survey results will provide the framework and basis for measuring progress, in terms of selected indicators at regular intervals, towards the SDG goals.

1.2   Objectives of the Study

Against this backdrop, the UNDP has undertaken a baseline study to develop baseline data regarding the different aspects of governance situation at the UZP and UP levels. The study aims to assess the governance situations in selected project areas as well as the capacity of respective UZPs and UPs to render their mandated responsibilities especially in delivering services to the citizen. The overall objectives of the baseline study are to assess the pre-project governance and development conditions in the EALG project UZPs and UPs with a comparison to control UZPs and UPs. The specific objectives of the baseline survey are to:

- Collect baseline data regarding different aspects of the governance situations at UZP and UP level, including public service delivery status of UZPs and UPs, citizens' perception and community perceptions about UZPs and UPs, citizen' access, participation to UZPs and UPs functions, and transparency and accountability of UZPs and UPs.
- Gather gender-related information and gender-disaggregated data for gender analysis
- Develop appropriate control groups based on valid statistical methodologies
- Generate a set of benchmarks that will help assess the results and achievements of EALG project in the mid-term and/or final evaluation
- Conduct initial analysis of the data collected, including comparison between treatment groups and control groups
- Conduct short gender analysis of the data collected
- Provide programmatic recommendations on what needs to be considered in project implementation based on the data analysis conducted in this study

1.3   Scope of the Study

The Baseline Study is expected to generate baseline information or benchmark data relating to different aspects of service delivery and governance situation at Union and Upazila levels in both project and control areas. The benchmark information may be used to assess possible scope for and impacts of the Efficient and Accountable Local Governance (EALG) project. For this, a set of indicators were identified, and data were collected through the baseline field surveys. The main scopes of the survey include:

a) At the Household level:
* Household/Citizen's knowledge and perception about the activities of Union Parishad (UP), UP planning, budgeting and auditing.
* Household participation in UP activities/programs such as Ward Shava, open budgeting meeting, standing committee meetings and others
* Perception of households about transparency and accountability on service delivery and governance of the Union Parishad and also on Women empowerment and gender equality.
* Households knowledge and perception about Upazila Parishad (ZP) and its activities.

b) At Union Parishad (UP) level:
* Basic information about UP and its activities, including, monthly meetings and Ward Shava (WS).
* Formation of Standing Committees (SCs) and holding of meetings.
* UP planning, budgeting and auditing and
* Performance of UP in terms of service delivery and governance

c) At Upazila Parishad (UZP) level:
* Basic information about Upazila and its activities
* Formation of various SCs and holding of meetings
* UZP planning, budgeting and auditing
* Transparency, accountability and right to information
* Performance of service delivery and governance of UZP including line departments etc.

1.4   Organization of the Report

This report is divided into seven chapters. The first chapter (Chapter 1) is deal with the background and the context of the study. Chapter 2 discusses the survey methodology which include data collection methodology and quality controls, data processing and analysis, limitations etc. The following chapter presents household's perception about governance of UP and UZP while Chapter 4 deals with the assessment of UP activities by the UP officials. Chapter 5 assesses various aspects of governance and service delivery of UZP. The key findings of the household, UP, and UZP surveys--by combining FGDs and KIIs based on triangulation approach of analysis, i.e. comparative analyses--are presented in Chapter 6. A short gender analysis is also presented in the same chapter of this report. Concluding observations and recommendations, along with the key findings based on the surveys and FGDs and KIIs are highlighted in the final chapter end of the report (Chapter 7).

CHAPTER 2

SURVEY METHODOLOGY

The baseline survey was designed to collect information related to three major issues namely (i) Strengthening Upazila Parishad (SUZP), (ii) Strengthening Union Parishad (SUP) and (iii) Policy for Effective Local governance (PELG). The list of indicators or variables were identified in consultation with the officials of the Ministry of Local Government, Rural Development and Cooperatives (LGRD&C) and the UNDP to generate baseline data by undertaking surveys regarding different aspects of governance situation at UZPs and UPs. The baseline survey information may be used for monitoring progress with SDG implementation/achievements as well as to assess the impacts of ELAG project for mid-term or final evaluation. This chapter discusses technical approach followed in undertaking the surveys, coverage area and the target population, method of data collection, preparation of survey instruments, mobilization of field staff and imparting training, data processing and data analysis. The detailed sampling design and selection of samples for the baseline survey is presented in the Annexure 1 of this report.

2.1   Technical Approach for Undertaking the Study

In the baseline survey both qualitative and quantitative data were collected in order to assess the baseline situation in the treatment and control areas. Quantitative data were collected through structured questionnaires at household and institutional levels (UP and UZP). Selected number of Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs) were conducted to gather an in-depth understanding of the issues related to UP and UZP activities. For the quantitative and qualitative data collection from a broad-based sample a probability-based sampling design was followed to select the sample households as well as the institutions. Two sets of sample households: one set from "Treatment Groups" another set from "Control Groups" were selected for comparison and measuring the changes between the benchmark and the mid-term or final evaluation.

In case of qualitative data collection related to the activities of UZPs and UPs, particularly about governance and service delivery, were undertaken in selective UPZs and UPs in 8 treatment and 8 control districts.

2.2   Survey Area and Target Population

The survey area is comprised of treatment groups and control groups. The treatment group includes 8 districts namely Chandpur, Faridpur, Sunamganj, Patuakhali, Khulna, Rajshahi, Rangpur and Netrokona, from 8 administrative divisions of the country. For control groups, another 8 districts: Comilla, Rajbari, Sylhet, Barguna, Jhenaidha, Natore, Gaibandha, and Mymensingh were selected from 8 divisions by matching with the districts of the treatment groups. A rigorous matching procedure— using the UZGP evaluation database by computerized matching process was followed based on specific matching criterion to select the districts for the control groups.

Study Population: In the baseline survey, the following category of population were included for collection of both quantitative and qualitative data:

- Households (different categories of population: - poor, non-poor, educated, uneducated, marginalized people etc.)
- Current UP chairmen and members by gender
- UP secretaries and members of the Standing Committees of the UP
- Upazila chairs, Vice-chairs, UNOs, Upazila Level Officers (At least from 2 to 3 transferred departments)
- Members of the Standing Committees
- Projects/Program officials
- Community level population, representative from NGOs, civil societies, community leaders and concerned citizens

The household survey covered 3800 sample households selected from 112 mouzas of both treatment and control areas in 8 administrative divisions. A total of 40 upazila parishads (UZP) and 72 UPs were selected as samples in UZP and Union Parishad surveys for collection of data. To collect qualitative information 15 KIIs and 8 FGDs were conducted in treatment and control areas.

2.3   Method of Data Collection

Personal interview method using data collection instruments was used for collection of both quantitative and qualitative data from the field.

The following four different approaches/methods were followed for collection of data:

i.   Household survey (citizen's perceptions)
ii.   Institution surveys (Union and Upazila Parishad)
iii.   Key Informant Interviews (KIIs) and
iv.   Focus Group Discussions (FGDs)

For data collection, three different sets of questionnaires were prepared, which were:

i.   Household survey questionnaire (perception and participation of households in UP and UZP programs)
ii.   Upazila Parishad survey questionnaire (for assessing activities and performances of UZP as benchmark data).
iii.   Union Parishad survey questionnaire (for assessing activities and performances of UP as benchmark data).

For qualitative data collection, the following methods were followed:

i.   Key Informant Interviews (KIIs) at UP level, UP Members and Secretary, Female members, Teachers, local NGO workers etc.
ii.   Key Informant Interviews at UZP level with UNO, Project Implementation Officer (PIO) officials of line departments, media in workers, NGO workers, local political leaders, etc.
iii.   Focus Group Discussions (FGDs) with UP and UZP officials and community leaders/ representatives.

A total of twenty enumerators were engaged for collection of data through household surveys, UP and UZP surveys within 5 to 6 weeks. Supervision was done by deploying 7 supervisors in the field to ensure quality of enumeration and data quality control as well.

Regrading quality checking, the quality control team consisting of field coordinators and supervisors carried out quality control checks to ensure quality and reliability of collected data. At least 5-10 percent households with respondents were asked to be revisited and interviewed by the supervisors to monitor the validity and quality of information. But in reality, at the initial stage of data collection, the field supervision was not done properly which was observed by the UNDP field monitoring team in Sunamganj, Rajshahi and Rangpur districts. The monitoring team found various types of mistakes and manipulation of data in the filled in questionnaires. The PRI team also visited some survey areas to monitor the field work and found significant mistakes and irregularities. In this context PRI and UNDP has decided to redo the enumerations in areas which were done at this point. Additional and new supervisors were deployed at the field level with a fresh round of training programs to complete the field level data work. Based on UNDP and PRI field monitoring experience, the whole data collection programme was recast/revised and, along with the replacement of enumerations and deployment new field supervisors, efforts were made to ensure error free data collection. As a result, the field work was extended from 19 December 2018 to 20 February 2019.

2.4   Preparation of Survey Instruments

The survey instruments such as questionnaires, checklists, control forms/listing forms for the baseline survey were developed through a number of process. A total of the following 5 different types of draft questionnaires and checklists were designed on the basis of the objectives of the baseline survey:

    i.   Draft questionnaire for Household Survey
    ii.   Draft questionnaire for Union Parishad
    iii.   Draft questionnaire for Upazial Parishad
    iv.   Checklist for KIIs at Union and Upazila levels
    v.   Checklist for FGDs at Union and Upazila levels

To conceptualize the objectives of the study, relevant documents, reports, literature etc. of LGI, LGD and others were reviewed for properly designing the data collection instruments and data collection method as well. The three draft questionnaires (for household, Union and Upazila Parishad Surveys) were reviewed by the representatives of UNDP, EALG project officials and PRI research team to assess its suitability and validity in line with the objectives of the survey. By incorporating the suggestions and feedbacks of UNDP and EALG project authority, the draft questionnaires were revised for field pretesting. A field pretesting was done at Singair Upazila, Manikganj district in November 2018 in order to ascertain the time length of interview, suitability of questions, and sequential flows to develop instruction and training manuals, and survey procedures. The pretested questionnaires were thoroughly reviewed and modified and then placed in the joint meeting of the representatives of UNDP, EALG project and PRI. Based on threadbare discussion/deliberations, the draft questionnaires were again revised and sent to the UNDP/project authority for approval. After getting the clearance from UNDP the questionnaires and other survey instruments were finalized for data collection from the primary sources (see Annexure-2).

The questionnaires were populated with the relevant questions with a view to covering or mapping the desired indicators/variables mentioned in Box-1 and thereby realize the objectives of the baseline survey. A few listed variables were not considered for making questions due to in appropriateness or irrelevancy.

Table 2.1: Selected indicators of baseline survey findings

Component	Indicators	Treatment area	Control area	All
Component 1: Strengthening Upazila Parishad (UZP) Outcome indicators	1. Percentage of citizens satisfied with the services of UZP (disaggregated by men/women, poor/non-poor) 　　Male 　　Female 　　Poor 　　Non-poor 　　Marginalized people	 83.4 58.3 41.7 29.2 50.0	 81.3 56.3 43.8 43.8 31.3	 82.5 57.5 42.5 25.0 42.5
	2. Percentage of UZP that received and monitored local plans and budgets by at least three transferred departments	14.3	-	10.0
	3. Percentage of UZP who adopt engagement strategies in their planning and service monitoring	16.7	-	10.0
	4. Percentage of women councilors in selected UZPs who report they can participate effectively in debates and are able to influence council decision making	45.8	31.3	46.0
	5. Percentage of UZP who have improved expenditure against the budget	14.3	-	9.1
Component 1: Strengthening Upazila Parishad (UZP) Outputs indicators	6. Terms of References (TORs) for UZP Committees approved and introduced into UZP regulatory framework.	14.3	-	9.1
	7. Percentage of Upazila undertake initiatives on SDGs localization	28.6	75.0	45.5
	8. Percentage of Upazila and local functionaries coordinate their activities at the District Development Coordination Committee- time to time	42.9	50.0	45.5
	9. Public Financial Management (PFM) manual prepared and piloted- Not yet	71.4	75.0	72.7
	10. Percentage of reccociles their accounts regularly	28.6	25.0	27.3
	11. Percentage of UZP that publish their budget timely	14.3	25.0	18.2
	12. Upazila Act amended with mandatory UZP committee provision for inclusion of citizens, CSO and local media and practiced in all selected UZPs (No. of UZPs and amendment)	58.3	45.5	51.9
	13. Percentage of Upazila have active Facebook and Twitter accounts (percentage in project area)	66.7	100.0	80.0
	14. Percentage of citizens in the selected UZPs are aware of UZP activities and key priorities in the annual budget	-	-	-
	15. Percentage of women vice chair and councilors trained and active in the Women Development Forum and % of men sensitized	28.6	-	22.2
	16. Percentage of UZP schemes implemented under the leadership of women vice-chairs/women representatives	71.4	50.0	63.6

Component	Indicators	Treatment area	Control area	All
Component 2: Strengthening Union Parishad (SUP) Outputs indicators	1. Percentage of UPs implemented activities related to Climate Change Adaptation (CCA) and Disaster Risk Management (DRM) as stipulated in their development plans	14.3	-	9.1
	2. Percentage of UPs formed standing committees and made them functional	85.7	75.0	81.8
	3. Percentage of UPs held open budget session	42.9	50.0	45.5
	4. Percentage of UPs ensured participation of poor and marginalized citizen at Ward Shava and open budget session.	42.9	50.0	45.5
	5. Percentage of UPs developed local climate resilience plan during the project period	Na	Na	Na
	6. Percentage of UPs mainstreamed local resilience plan into their Five-year development plan	14.3	50.0	27.3
	7. Percentage of CCA and DRM schemes implemented by UPs in partnership with CBOs, including youth and marginalized groups	14.3	-	9.1
	8. Percentage of development schemes at UP level implemented for and by women	87.2	79.3	83.8
	9. Percentage of budget allocation by UPs earmarked for women responsive development initiatives	28.6	33.3	27.3
	10. Percentage of UPs involved and/or worked together with CSOs in organizing social audit.	14.3	25.0	18.2
Component 3: Policy for Effective Local Governance (PELG) Outcome indicators	1. Percentage of people from different ethnic group attended in open budget/Ward Shava.	42.9	50.0	45.5
Selected monitoring and evaluation indicators	1. Percentage of children in first grade of primary school who attended pre-school during the previous school year	22.9	31.0	25.6
	2. Percentage of women who at least once in a weak, read newspaper/magazine, listen to the radio, TV and internet	7.4	10.5	8.4
	3. Percentage of women who use computer and know how to use internet	2.2	1.3	1.9
	4. Percentage of women involved decision making process of HH matters	50.4	38.5	53.1
	5. Percentage of household visited UP office during last one year	51.2	43.1	48.6
	6. Percent of HH members visited UP digital centre for getting service	16.1	22.9	18.4
	7. Percentage of household members gone to UP village court for settlement at local disputes	14.9	13.1	14.3
	8. HH members ever participated in WS	7.5	9.5	8.2
	9. Percentage of household woman members participated in was meeting	5.4	5.0	5.3

Component	Indicators	Treatment area	Control area	All
	10. Percentage of people participated in ward shava by category (male, female, poor, non-poor and socially marginalized people):			
	Male	99.6	95.0	94.7
	Female	5.4	5.0	5.3
	Socially marginalized people	9.8	9.5	9.7
	11. Percentage of household have perception/knowledge about functions and duties of UP	24.2	21.6	23.3
	12. Percentage of household having knowledge about UP standing committee	2.1	4.6	2.9
	13. Percentage of people aware about annual and UP open budget meeting	6.5	1.3	3.9
	14. Percentage of female participate in open budget meeting	32.6	25.8	29.9
	15. Percentage of household ever of received UP services	40.4	42.0	41.0
	16. Percentage of households beneficiary of SSNP	24.8	22.4	24.0
	17. Percentage of people/household aware about citizen's charter (CC) and seen in or outside UP office.	8.4	11.2	9.3
	18. Percentage of household members know about annual plan of UP	4.6	4.7	4.6
	19. Percentage of household know about UP five-year plan	4.6	4.1	4.4
	20. Percentage of household members having bank accounts	24.8	19.1	22.9
	21. Percentage of household awareness about UP tax assessment exercise	41.3	45.6	42.7
	22. Percentage of household respondent who visited UZ in 3 months	16.0	12.7	14.9
	23. HH respondents perception on UZP service delivery and governance good	29.5	33.5	30.8
	24. Respondents knowledge about function and duties of UZ chairman	9.8	8.5	9.4
	25. Percentage of household satisfaction about the performance of UP about governance and service delivery.	43.2	38.0	41.5
	26. Percentage of household received allowances/ benefited from SSNP.	24.8	22.4	24.0
	27. Percentage of UP holding monthly council meeting	50.0	75.0	60.0
	28. Percentage of UP holding 2 WSs in each ward during last year	42.9	33.3	40.0
	29. Percentage of UP formed all Standing Committees	85.7	75.0	81.8
	30. Percentage of UP prepared annual budget timely	85.7	100.0	90.9
	31. Percentage of UP has budget allocation for women development	28.6	33.3	27.3
	32. Percentage of UP has prepared annual plan	71.4	33.3	60.0
	33. Percentage of UP has prepared five-year plan	85.7	100.0	90.9

Component	Indicators	Treatment area	Control area	All
	34. Percentage of UP mainstreamed local resilience plan into their 5-development plan	14.3	50.0	27.3
	35. Category of people attended in Ward Shava (%)			
	Male	95.4	90.7	93.1
	Female	4.6	9.3	6.9
	Poor	11.5	15.3	13.4
	Non-poor	85.5	84.7	86.6
	Socially marginalized people	2.6	1.8	2.1
	36. Percentage of UP implemented any scheme for and by women	87.2	79.3	83.8
	37. Opinion about overall performance of UP regarding governance and service delivery: good	51.3	41.4	47.1
	38. Percentage of UP arranged meetings/rallies for awareness of people regarding various service delivery and social protections.	87.2	75.9	82.4
	39. Percentage of UZP formed standing committees	85.7	100.0	90.9
	40. Percentage of UZP has prepared annual plan	57.1	50.0	54.5
	41. Percentage of UZP has prepared five-year development plan	42.9	75.0	54.5
	42. Percentage of UZP prepares annual budget	83.3	50.0	70.0
	43. Percentage of UZP holding budget meeting	57.1	-	36.0
	44. Percentage of UZP adapted public engagement strategies for service monitoring	16.7	-	10.0
	45. Percentage of UZP which prepared citizen's charter and displayed that in office for the public	100.0	100.0	100.0
	46. Percentage of UZP has Facebook accounts.	66.7	100.0	80.0
	47. Category of HH respondent satisfied with UP service delivery and governance			
	Male	44.4	39.9	42.9
	Female	25.9	16.9	22.4
	Both sexes	43.2	38.0	41.5
	Non-poor	18.7	16.9	18.1
	Poor	21.1	19.4	20.6
	Total	39.8	36.4	38.7
	48. Category of HH respondent have good perception on UZP service delivery and governance			
	Male	29.5	34.3	31.1
	Female	29.0	24.8	27.3
	Both sexes	29.5	33.5	30.8
	Non-poor	14.0	13.7	13.9
	Poor	15.5	19.8	16.9
	Total	29.5	33.5	30.8

2.5   Mobilization of Filed Staff and Imparting Training

PRI engaged a firm having a pool of enumerators and supervisors for data collection from the field. A total of 20 enumerators were engaged for data collection within five to six weeks from the 16 selected districts. A comprehensive 2-day training program was organized in the second week of December 2018 on (i) household listing operation and selection of sample households from the sample mouzas; (ii) data collection through household surveys; and (iii) data collection from UP and UZP surveys as well as qualitative inquiries (FGDs and KII). A total of 28 enumerators and supervisors participated in the 2-day training at PRI office, Dhaka.

The training program for the enumerators and supervisors consisted of lectures, classroom practices, group discussions and mock interviews (i.e., practice of filling in questionnaires by interviewing one another). Team members assigned for collecting the qualitative data were given training on how to collect qualitative information through FGDs and KIIs. After the training the enumeration kit bags were provided to each enumerators.

2.6   Data Processing and Data Analysis

Manual editing and coding of all filled-in questionnaires were done with the help of experienced data processing personnel (editors and coders). They checked blanks, inconsistencies, wrong information etc. in filled-in questionnaires. After consultation with the seniors and experienced staff and, if necessary, validity checking from the respondents through telephone calls, wrong entries were corrected/edited. Coding of open ended questions was done by preparing appropriate code lists.

After manual editing and coding, all filled-in questionnaires were ready for data entry into computer. It may be mentioned here that the data processing activities were done on a flow basis to maintain the timeline of the baseline study. After getting the completed filled-in questionnaires from the field, those were forwarded to the data processing unit/firm outsourced by PRI.

A database software in CS Pro Package or STATA was used with built-in editing facilities that allowed range checking and logical checking. After the cleaning of raw data, the quantitative data of household, UP and UZP surveys have been used as benchmark data. Based on these data, necessary statistical tables have been generated for computation of various rates and ratios to assess/measure the status of the various indicators to be used for monitoring as well as mid/final evaluation. Qualitative findings from FGDs and KIIs were also compiled, analyzed and summarized according to standard guidelines.

2.7   Limitations

Data collection from rural households through the Household Survey was much easier than the institution survey i.e. UP and UZP surveys of the Baseline Survey. The survey team did not face any significant difficulty to conduct KIIs and FGDs in the selected UPs and UZPs of the project and control areas. The only problem was to find out and get the eligible person for KIIs and to arrange time and venue with appropriate persons/authorities for FGDs.

The UP survey was relatively easier than the UZP survey. There was easier access to the UP functionaries except UP chairmen, who were more pre-occupied with other commitments. However, in the case of UZP survey the survey teams faced a lot of difficulties to get information on various aspects of UZP regarding governance and service delivery from specific officers or elected representatives. It was very hard to reach the UZP chairmen and also the male vice-chairmen. The women vice-chairs were relatively easier to reach out to. Without earlier appointments or contacts through other sources it was quite impossible to get to the UZP functionaries.

The Upazila Nirbahi Officer (UNO) was the most appropriate person to provide the necessary information. In most cases, the survey team found him very busy or unavailable. In the UZP survey, data were collected by interviewing various Upazila officers, such as Upazila engineers, social welfare officers, Upazila statistical officers, head clerk of the UNO, personal assistants of the UZP chairmen, and women vice-chairs. As a result, there might have been some inconsistencies in data and metadata that were collected.

CHAPTER 3

HOUSEHOLDS' PERCEPTION TOWARDS GOVERNANCE OF UNION AND UPAZILA PARISHAD

This chapter presents information and analyzes data on household's perception towards various aspects of UP and UZP activities and households familiarities with those. An attempt has been made to assess households'/citizens' perception about the quality of services provided by the two important grass root level local government tiers--UP and UZP. Household's opinion about the activities and the key functionaries (chairman, vice-chairmen, members and others) of the UP and UZP are also presented here based on the Household Survey findings.

3.1   Household and Respondent's Profile

This section presents the coverage of the sample Household Survey, Respondent's profile, household composition, housing characteristics, assets ownership structure and having access to ICT etc. Of the 3800 households selected for the sample survey (3792 HHs interviewed), the survey team ensured that all household heads were available for the purpose of the survey by seeking their presence which was possible due to the rural settings and call backs.

Table 3.1: Number of Samples for Household Survey by Division

Division	Treatment area		Control area		Total	
	No. of Psu/mouza	No. of HHs	No. of Psu/mouza	No. of HHs	No. of Psu/mouza	No. of HHs
Dhaka	10	319	4	156	14	475
Chattagram	10	319	4	156	14	475
Sylhet	10	319	4	156	14	475
Rajshahi	10	319	4	156	14	475
Khulna	10	319	4	156	14	475
Barisal	10	319	4	156	14	475
Rangpur	10	319	4	156	14	475
Mymensingh	10	319	4	156	14	475
Total	**80**	**2552**	**32**	**1248**	**112**	**3800**

The proportion of male eligible respondents/head of household was as high as 93.1 percent.

Table 3.2: Household Respondent's Profile and Household Composition

Characteristics	Treatment area	Control area	All
i. Sex of HH head (%)			
Male	93.6	91.9	93.1
Female	6.4	8.1	6.9
ii. Average Age by Broad age groups (%)			
below 15 years	-	-	-
15 – 29	8.3	7.9	8.1
30 – 39	23.2	26.9	24.4
40 – 49	26.9	26.1	26.6
50 – 59	21.8	21.5	21.7
60+	19.8	17.6	19.1
iii. Average household size (no. of persons)	4.9	4.8	4.9
iv. Mean age of HH head (years)	46.2	45.5	46.0
v. Level of education of respondent of HH (%)			
Cannot read and write	40.7	55.1	45.4
Up to class-V	29.7	22.5	27.3
Class VI to X	17.6	12.4	15.9
SSC/HSC or equivalent	8.5	5.7	7.6
Degree and above or equivalent	3.2	4.0	3.5
Other	0.4	0.2	0.3
vi. Average monthly income (Tk.)	9,711	9,680	9,701
vii. Average monthly expenditure (TK)	9,709	8,848	9,426
viii. Economic status of HH (%)			
Non-poor/Rich	11.6	18.2	13.7
Middle class	33.4	23.7	30.2
Low income/Poor	45.1	47.4	45.9
Ultra-poor	9.9	10.7	10.2

About 93.1 percent households were headed by male and 6.9 percent were female head HH. But according to national estimate the proportion of female headed household was as high as 13 percent (BBS, 2017). Average household size is 4.9 which is bit higher than that of national level (4.2 in 2017, BBS). In terms of level of education, about 45.4 percent of household heads were illiterate, and 7.6 percent HH heads had SSC/HSC or equivalent level of qualification.

Average monthly household income (TK 9,711) and expenditure (TK 9,709) were higher in treatment areas as compared to the control areas. However, the reported monthly income and expenditure were much less than those of BBS estimated national averages (monthly income TK 13,353 and expenditure TK 14,156 in rural area, HIES, 2016, BBS). The lower than national average HH income and expenditure in the treatment and control areas could be explained by the fact that the focus of the survey was on remote rural areas. The relatively high consumption expenditure relative to income is possible because of the fact that for the very poor households a large part of their consumption is supported by transfers received from various government social safety net programs (SSNP). As shown in Table 3.6 below, 24% of HHs in the survey areas were beneficiaries of SSNP.

Table 3.3: Major Occupation of Household Head /Respondents

Main occupation	Treatment area (%)	Control area (%)	All (%)
Agriculture (farm)	36.7	40.7	38.0
Non-farm agriculture	0.9	1.2	1.0
Business	20.0	13.1	17.8
Service	8.7	8.9	8.8
Day labour	27.2	24.5	26.3
Unpaid family worker and others	4.8	7.4	5.6
Housewife/students	1.7	4.2	2.5

Majority of HH heads were involved in agriculture (39.0%) followed by day laborers employed in both farm and non-farm activities (26.3%) and small business (17.8%). The difference between treatment and control areas in terms of main occupations of households are not much except in business occupation.

3.1.1 Housing Characteristics

Table 3.4 provides information regarding housing and other household amenities being enjoyed by the households to assess the living condition of household members. It is observed that 10.5% houses are pucca (main house where HH head lives), 20.9% of houses are semi-pucca, and a much large proportions were kutcha (66.5%). Treatment areas generally have better housing standards, although the degree of variation is not very wide between the control and treatment areas.

Table 3.4: Selected Housing Characteristics of Sample Households

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Type of housing structure[1]			
Pucca	11.4	8.7	10.5
Semi-pucca	21.7	19.7	20.9
Kutcha	64.2	71.0	66.5
Jupri/others	2.7	1.0	2.1
ii. Type of fuel used for cooking			
Wood	59.1	59.7	59.3
Dung/leaf/straw etc.	39.3	38.3	37.7
Natural gas/LPG	2.8	1.4	2.3
Kerosene	-	0.1	0.1
Electricity	0.7	0.5	0.6
Coal and others	-	-	-
iii. Source of house lighting			
Electricity	76.5	90.5	81.1
Solar energy	17.9	5.1	13.7
Kerosene	5.4	4.4	5.1

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[1] Pucca: A housing structure is called pucca if the roof, wall and floor are made of brick, cement, sand, rod etc. Semi-Pucca: If wall and roof of the housing structure is made of bricks cement and C.I. sheet is called semi-pucca structure.
Kutcha: Housing structure is constructed by straw, bamboo.

Characteristics	Treatment area (%)	Control area (%)	All (%)
Other	0.3	-	0.2
iv. Source of drinking water			
Pipe/supply water	1.7	0.9	1.4
Tube well	93.3	98.7	95.1
Indra/well	0.2	0.1	0.2
Pond/river/canal	4.0	-	2.7
Other	0.7	0.3	0.6
v. Tube well tested for arsenic			
Yes	46.6	37.9	43.8
No	53.4	62.1	56.2
vi. Who conducted arsenic tests:			
Household owning tube well	7.2	22.0	11.4
NGOs	35.2	39.5	36.4
LGI	42.6	24.3	37.4
PHE division	15.0	14.2	14.8
vii. Type of toilet used by HH:			
Sanitary	43.0	53.2	46.4
Pucca toilet (water sealed)	8.1	5.4	7.2
Pucca toilet (not water sealed)	16.2	11.1	14.6
Kutcha (temporary)	31.1	29.5	30.6
Open space/no toilet	1.7	0.7	1.4

More than 90% of households in control areas have access to electricity for lighting purpose and the corresponding figure for treatment areas is somewhat lower but still respectable at 76.5%.   Most household not having access to electricity from the national power grid maintained by the Rural Electrification Board (REB), are also enjoying electricity lighting through solar panels. Only 5% of rural household are using kerosene or other fuels to lighten their homes at night.

Households with access to clean drinking water is also very high. More than 96% of HHs either have tube well or piped supplied water. Use of traditional sources for drinking water (Indira/well and pond/river/canal) is very low at about 3%. The difference between the treatment and control areas is not that significant, although a higher percentage of HHs in treatment areas have access to piped water. Given the prevalence of arsenic contamination of tube well water across Bangladesh, it is observed that only slightly over one-third of HHs have tested their tube wells for arsenic contamination and the remaining two-thirds are yet to do so. More HHs in treatment areas have done arsenic testing of their tube wells compared with HHs of control areas. NGOs and LGIs have played important roles in testing tube wells for arsenic and the LGIs in treatment areas have done a better job in arsenic testing of tube well compared with LGIs in control groups. Thus, a greater proportion of HHs in treatment areas had to test their tube well using their own resources.

About half of HHs use sanitary toilet and together with kutcha and pucca toilets almost 99% of rural HHs are using some form of toilet in Bangladesh. This is in line with the national levels with 96.25 percent HHs using Kutcha & Pacca toilets according to HIES 2016 (BBS). The main challenge in this area will be to eliminate use of open space for toilet purpose and increase the proportion of pucca toilet (water sealed) through intervention programs. Elimination of the remaining 1% HHs still using open space should be done through free or very low-cost

distribution of pucca (water sealed) toilets to these very poor families and by conducting education campaigns through the LGIs and NGOs at local schools and villages.

3.1.2 Socio-Economic Condition of Households

Table 3.5: Household having bank account and number of income earner

Characteristics	Treatment area	Control area	All
i. Household having bank account (%)			
Yes	24.8	19.1	22.9
No	75.2	80.9	77.1
ii. No. of bank accounts in the household (No.)			
No. of bank accounts	781	291	
Mean no. of bank accounts/HH	1.24	1.22	
iii. No. of income earner			
Male	5348	1477	6825
Female	1912	88	2000
Total	7260	1565	8825
Average earner/HH	2.85	1.2	2.3

About 24.8 percent households of the treatment areas and 19.1 percent households of the control areas having their bank accounts (Table 3.5). Some HHs have more than one accounts and accordingly the average number of bank account per HH in the treatment and in control areas are found to be 1.24 and 1.22, respectively.

The average number of income earner per household in treatment areas at 2.85 is significantly higher than the corresponding average for the control group (1.2) pointing to significant difference in the average number of income earners per HH between the two sample groups. This difference is partly attributable to a very low female participation in the work force in the control group compared with the other.

Table 3.6: Beneficiaries of Social Safety-Net Programs (SSNPs) and Access to Health and Education

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Household beneficiary of SSNP:			
Yes	24.8	22.4	24.0
No	75.2	77.6	76.0
ii. Distribution of SSP beneficiaries among different programmes			
Old age allowance	24.5	20.1	23.2
Widow allowance	13.3	8.2	11.7
Maternity allowance	8.5	1.8	6.5
VGD/VGF/TR etc.	39.4	61.3	46.1
Disability allowance	4.6	5.4	4.8
Freedom fighter	2.2	0.7	1.8
Other	7.4	2.5	5.9
iii. Household has enrolled their children (<7 years) in pre-primary school:			
Yes	22.9	31.0	25.6
No	51.0	46.4	49.5
Not applicable	26.1	22.5	24.9

Almost one quarter of HHs are beneficiaries of different SSPs and difference in the proportion of HHs between the treatment (24.8% of HHs) and control (22.4% of HHs) groups are not that significant (Table 3.6 and Figure 3.1). It may be pointed out that, according to Household Income and Expenditure Survey 2016, BBS, as high as 34.5% HHs received benefits from SSNP in rural areas (Table 41 preliminary report of HIES, 2016). The beneficiaries are receiving support from a wide range of SSPs. The most widely accessed SSP support program includes Vulnerable Group Development (VGD) programme, Vulnerable Group Feeding (VGF) programme, and Test Relief (TR). Almost half of the total HHs surveyed who are receiving SSP support currently benefit from VGD/VGF/TR. The dependency s particularly higher in the control groups with more than 61% of beneficiaries in the control groups having access to these programmes. The second most accessed programme is old age allowance with almost one quarter of SSP beneficiaries being dependent on this kind income support. It is also worth noting that a much higher proportion of control group HHs are receiving SSP benefits in the form of widow allowance, maternity allowance, and freedom fighter allowance.

The proportion of households sent their children (<7year) to the pre-primary school was 25.6%, with somewhat higher proportion of control group HHs sending their kids to pre-schools (31%), compared with treatment groups. Excluding the HHs not having pre-school age kids, almost two-thirds of HHs within the whole sample are not sending their kids to pre-school programmes.

Figure 3.1: Distribution of Beneficiaries of SSNPs Across the Sample Households in Treatment and Control Areas
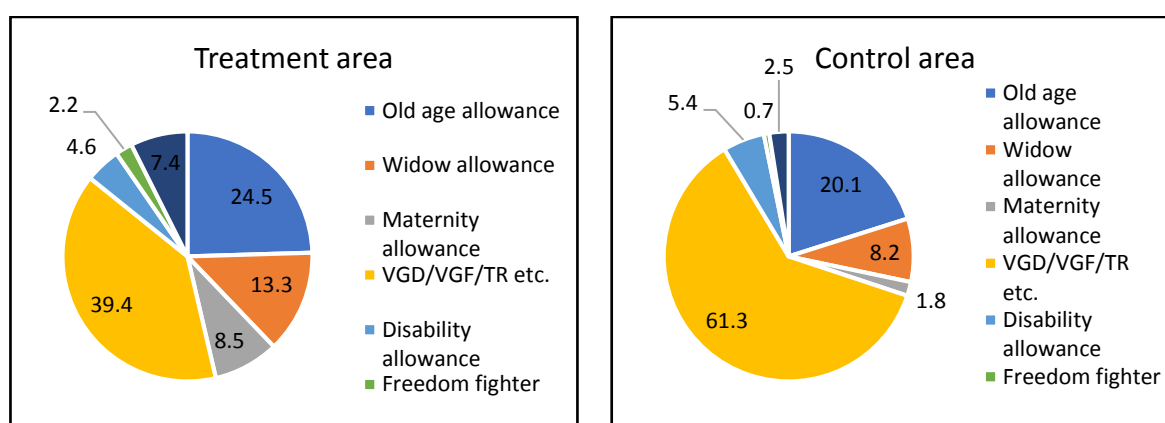
3.1.3 Ownership of Household Assets and ICT Equipment

There is wide variation in the land ownership among HHs across the treatment and control areas. While more than three-fourth of HHs own land in treatment areas, the corresponding figure is only 56.5% in the control areas (Table 3.7). This lack of land ownership in the control areas is also reflected in the much larger of proportion of households in control areas with marginal land holdings. Almost one quarter of HHs with land ownership have less than 5 decimals (0.05 acre) of land, most probably nothing more than the land on which their houses have been constructed/located. About 60% of HHs have less than one acre of land, which is similar across both sample groups and also resembling the land ownership scenario across Bangladesh.

Table 3.7: Household having own land

Household having own land	Treatment area (%)	Control area (%)	All (%)
i. Household having own land (%)			
Yes	77.4	56.5	70.5
No	22.6	43.5	29.5
ii. Size of land holding (acre)			
<0.05	15.1	23.3	17.8
0.05 – 0.99	61.7	57.9	61.1
1.00 – 2.49	16.2	14.8	15.7
2.50 – 7.49	5.1	2.9	4.4
7.50+	1.0	1.1	1.1

Survey questions related to selected HH equipment show that rural HHs use of some electrical equipment like electric fans and radio/TV has reached to 40% with small variation between the two sample groups. With access to electricity increasing rapidly across Bangladesh, HHs with electricity in rural areas increased to almost 90% contributing to the surge in use of electronic appliances and mobile sets by the HHs. The ownership of radio/TV (mostly TV) has increased to more than three-fourth of HHs have bed room/drawing room furniture and more than one-fifth of HHs have bicycles for local transportation. Use of motor cycles is becoming popular in local transport but still remains low at 6%-7% of HHs in the sample areas. The distribution of households having own assets in treatment and control areas is found to be not much different.

About 95% of HHs have at least one member owning a simple mobile phone. However, the proportion of HHs owning a smart phone still remains modest at about 16%, although HHs having access to internet was limited to only 3.7%. HHs owning laptops/computers was still limited at 0.9 percent.

Table 3.8: Selected household assets and ICT equipment

Type of assets	Treatment area		Control area		All	
	% of HH having assets	No. of assets	% of HH having assets	No. of assets	% of HH having assets	No. of assets
Type of assets:						
Radio/TV	39.4	1021	44.2	531	40.3	1552
Refrigerator/freezer	11.4	302	16.2	209	13.0	511
Electric fan	70.4	3453	85.5	1980	75.3	5433
Washing machine	0.1	6	0.3	8	0.2	14
Micro oven	0.3	10	-	-	0.2	10
Sewing machine	7.3	213	4.6	70	6.4	283
Bed/drawing room furniture	76.9	4252	72.1	1777	75.3	6029
Bicycle	23.7	685	17.1	241	21.5	
Motor cycle	5.9	160	5.1	69	5.7	
Car	1.0	27	1.9	24	1.3	
ICT equipment:						
Simple mobile phone	96.9	3648	92.6	1734	95.5	5382
Smart mobile phone	17.4	569	15.2	249	16.2	818
Laptop/computer	0.7	18	1.3	16	0.9	34
*HH access to internet**	3.5	101	3.9	74	3.7	175

Note * means number of internet user household.

3.2   Awareness of UP Activities

Hundred percent household respondents of the treatment and control areas knew the names of their UP chairman and Ward members (Table 3.9). This information is encouraging because it gives a basic idea about the level of awareness of respondents/household about their elected-UP representatives. This awareness developed through intense campaigns made by candidates for Chairman and ward members during the recent UP elections. The campaigns are usually done by candidates visiting village homes, widespread pasting of posters with their respective election symbols, extensive campaigns through loud speakers, visiting local mosques, and village markets and tea stalls.

Table 3.9: Awareness about Union Parishad

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Can tell the name of UP chairman:			
Yes	100.0	100.0	100.0
Don't know	-	-	-
ii. Can tell the name of ward member:			
Yes	99.9	100.0	99.9
No	0.1	100.0	0.1
iii. Visited UP during last year:			
Yes	51.2	43.1	48.6
No	48.8	56.9	51.4
iv. Visited UP digital centre for getting service:			
Yes	16.1	22.9	18.4
No	83.9	77.1	81.6

It is also encouraging to observe that almost of half of the HHs visited their respective UP offices during last year and there is no big difference between treatment and control areas in this regard. It is also noteworthy that as high as 18.4 percent respondents visited UP digital centers for getting services. The proportion of respondents in control areas who visited digital centers in their UPs was much higher (22.9 percent) the proportion of treatment area HHs (16.1 percent).

Table 3.10: Awareness of Households about Functions and Responsibilities of UPs

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondent awareness about functions and responsibilities of UP:			
Yes	24.2	21.6	23.3
No	75.8	78.4	76.7
ii. UP services ever received by respondent/HH:			
Yes	40.4	42.0	41.0
No	59.6	58.0	59.0

HH awareness about functions and responsibilities of the UPs is still limited at 23.3%, although the proportion of HHs who have benefitted from UP services have remained significant at 41%, with modest variation across the two samples. It appears that HHs did not have knowledge about the functions and responsibilities of the UPs but a significant proportion of HHs have received services

provided by the UPs. After all, UP system in Bangladesh is a very old system going back to more than one century when it was established by the British colonial power as part of improving local governance.

Figure 3.2: Awareness of Household Respondents about UP Activities/Services
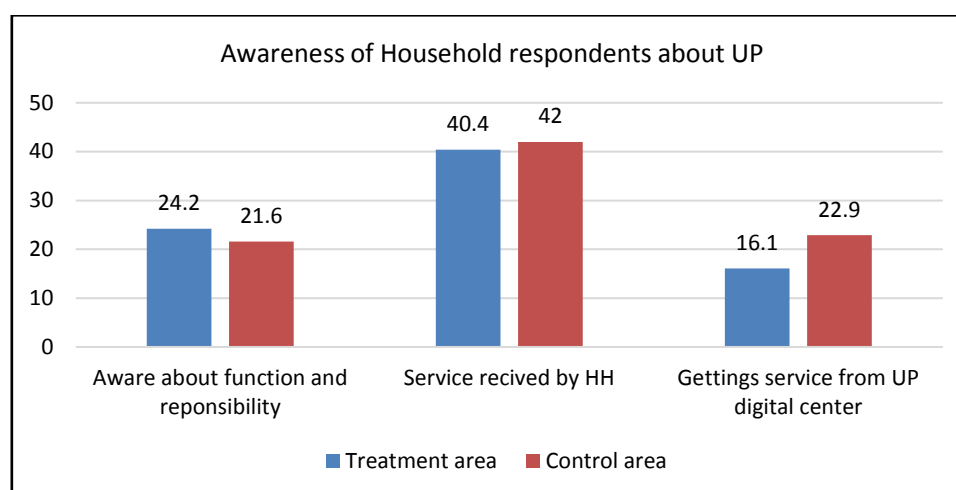
A breakdown of the HHs awareness and services received by them indicates that most HHs are aware of the fact that UPs issue certificates for birth, citizenship/nationality, and trade licenses and most of them have also used such services. A relatively small part of the HH samples are aware of other activities performed by the UPs such as selection of beneficiaries and processing (as appropriate) of social protection programs like VGD, VGF and Test Relief. This is not surprising because only those HHs who are generally receiving such benefits through these social protection programs are aware of them. Less than 20% HHs are aware that UPs also engage in constructing or maintaining rural roads, culverts and drainage system. Knowledge about other services offered by UPs are rather limited among the HHs.

Table 3.11: Respondent's Awareness and Type of Services Received from the UPs

Characteristics	Awareness of respondent		
	Treatment area (%)	Control area (%)	All (%)
i. Awareness of respondents about type of service delivery of UP:			
a) Allowance like VGD, VGF, TR, etc. information of SSNP, disability card	27.4	24.9	26.5
b) Different certificates, license such as nationality certificate, trade license	68.6	73.6	71.1
c) Land related issue	4.0	3.0	3.7
d) Services like distribution of tube well, sanitary latrine, supply of seed, fertilizer, health services etc.	6.3	2.9	4.6
e) Construction of roads, culverts, drainage etc.	18.5	12.1	16.1
ii. Type of service received:			
a) Birth/nationality certificates	84.2	79.8	82.1
b) Allowances: VGD/VGF/TR	11.3	15.5	13.4
c) Agriculture training	0.3	0.3	0.3
d) Receiving relief materials	4.0	2.5	3.7
e) Allownness: maternity	3.9	0.1	2.7

Characteristics	Awareness of respondent		
	Treatment area (%)	Control area (%)	All (%)
f) Arbitration service from village court and others	2.7	2.2	2.5

Note: Multiple responses, so these are not expected to add up to 100%.

3.2.1 Citizen Charter and Right to Information

The local government Act 2009 has made it mandatory for the UPs to display the Citizen's Charter (CC) containing the list of services offered by the UPs, conditions under which such services are to be offered to citizens, and waiting period for receiving such services. UPs were given support to prepare and install the CC at the UP premises with the objective of making UP activities transparent and making UP authorities accountable to the citizens.

Table 3.12: Awareness of Citizen's Charter and Right to Information

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondent aware about Citizen's Charter at UP office:			
Yes	8.4	11.2	9.3
No	91.6	88.8	90.7
ii. Respondent seen CC in displaying at UP premise:			
Yes	46.9	39.8	44.0
No	53.1	60.2	56.0
iii. HH respondents ever applied for information from UP:			
Yes	46.0	45.1	45.7
No	54.0	54.9	54.3
iv. Respondent received information from UP			
Yes	87.4	82.4	85.8
No	12.6	17.6	14.2

The survey findings however indicate that 8.4% of the HH respondents in the project UPs and 11.2% of HHs in the control UPs heard about CC. On the other hand, 46.9 percent of the household respondents who knew about CC in project UPs and 39.8 percent of the respondents who knew about CC in control UPs informed that they saw the CCs at the UP offices. A large majority (90.7 percent of the respondents) in both project and in control UPs expressed their ignorance about the CC. It is also good to find that almost 86% of HHs in the total sample noted that they have received information from the UPs when they sought such information.

The reasons for such a low response from the household survey related to CC could be due to (a) respondents never considered the CC as an important thing to know, (b) due to illiteracy, or (c) lack of awareness regarding CC etc.

Right to information is one of the pre-conditions of the democratic society and as such right to information (RTI) Act can be effective if it is utilized properly at the UP level since the local government body is involved in distributing so many different types of allowances to the general people under different Social Safety Net Programs (SSNP). An attempt has been made to assess the right to information at the UP level through the household survey. It is observed

that 46.0 percent household members in treatment areas and 45.1 percent of respondents in control areas were applied to UP for information of various kinds. On the basis of the respondents' applications 87.4 percent of respondents in project UPs and 82.4 percent respondents in control UPs got their information from the UP. It should be noted that in most cases that requested information was with regard to their personal needs and not necessarily with regard to operations of the UPs.

3.3   Household Participation in UP Activities

This section presents information relating to household participation in different UP programs and activities such as attending in general meeting and rallies organized by UPs, participation in Ward Shava (WS), budget and planning, and others. The survey data reveal that 11.3 percent households in the treatment UPs and 13.0 percent household of the control areas attended the UP meetings. The proportion of household respondents who attended UP meetings in the total sample size was 11.8 percent, of which 7.4 percent attended WSs.

Table 3.13: Household Respondents Participated in Meetings and Rally

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondents' participation in meetings:			
Yes	11.3	13.0	11.8
No	88.7	87.0	88.2
ii. Respondent's participation by type of meeting:			
Ward Shava	6.8	9.2	7.4
Budget meeting	2.6	0.6	2.0
Planning meeting	1.6	3.0	2.1
Others	0.3	0.2	0.3
iii. Participation of respondent on awareness raising program:			
Yes	6.2	3.2	5.2
No	93.8	96.8	94.8
iv. Respondents participated by type of rally organized by UP: **			
Dowry/early marriage	42.4	61.5	46.8
Adult education	1.5	-	1.5
Tree plantation	18.2	7.7	15.8
Terrisom/ Drugs	34.1	38.5	35.1
Others	16.7	15.4	16.4

Note: ** Multiple answers recorded, so these are not expected to add up to 100%.

About 6.2 percent or 157 household respondents of the treatment areas and 3.2 percent respondents of control areas reported that they participated in awareness raising programs organized by UPs including in the form of rallies. Out of those who participated in awareness raising programs, it was observed that 46.8 percent participated in rallies relating to dowry or early marriage followed by drugs/terrorism (35.1%). In absolute terms, the numbers of HHs participating in these awareness raising activities were relatively modest.

Figure 3.3: Participation HH Respondents in Awareness Raising Programs
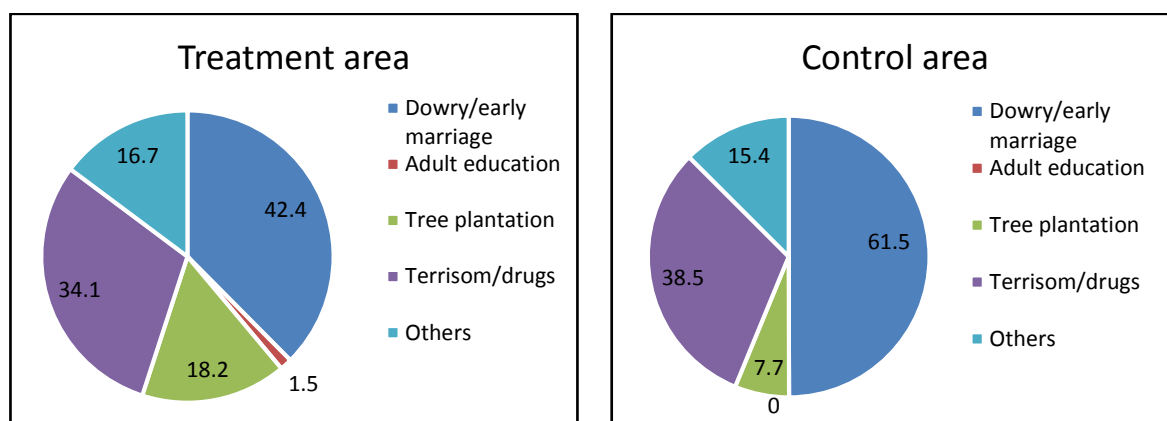
3.3.1 Participation in Ward Shava

Ward Shava (WS) is one of the popular programs of the UP. Ward Shava has created an opportunity for community participation in decision making and direct face to face interaction between the UP functionaries and the community people. WS has also created a culture of accountability and transparency among the UP functionaries.

Table 3.14: Respondents' Participation in Ward Shava

Characteristics	Treatment area	Control area	All
i. Household member ever participated in Ward Shava (%):			
Yes	6.8	9.2	7.4
No	92.5	90.5	91.8
ii. Average number of participations in WS:	2.0	1.8	1.9
iii. Category of people participated in WS (%):			
Male	94.6	95.0	94.7
Female	5.4	5.0	5.3
Socially marginalized people (of those attended)	9.8	9.5	9.7
iv. Problem/issue raised by participants (%)			
Yes	34.1	28.1	31.6
No	65.9	71.9	68.4
v. Opinion on WS is an effective way of community level participation for local development (%):			
Very much effective	14.5	-	8.5
Effective	45.3	60.2	51.5
Neither effective nor ineffective	36.3	37.5	36.8
Ineffective	3.9	2.3	3.3
vi. Satisfaction of respondents on WS programs (%)			
Very satisfied	7.8	0.8	4.9
Satisfied	55.3	57.8	56.4
Neither satisfied nor unsatisfied	34.1	38.3	35.8
Unsatisfied	2.8	3.1	2.9

The survey results indicate that 6.8 percent household members of the project UPs and 9.2 percent household members of the control UPs ever attended Ward Shavas. More than 90% of HHs never attended the WSs. The average number of participation in WSs amongst those who attended the WSs was 2.0 in project areas and 1.8 in control areas. It is observed from the above table that out of those who attended the WSs, less than 5% was female. This low level of female participation is not unexpected but disappointing. Of those attending the WSs, less than 10% were from socially marginalized HHs.

It is interesting to see that 31.6 percent respondents (out of those who attended WSs) raised problems or issues to discuss in the WSs, which is encouraging indicating fairly active participation of local people. Opinion of respondents on effectiveness of WSs and the level of satisfaction of the respondents may also be seen in Table 3.14 above. About 60.0 percent respondents who attended the WSs opined that WS programs were effective and only 3.3 percent respondents viewed them as ineffective. As high as 7.8 percent respondents of the project areas and 0.8 percent respondents of the control areas reported that they were very satisfied with WS programs.

3.3.2 Participation in UP Standing Committee

Standing Committees (SCs) have a key role in supporting the UP to take effective decisions. Standing committees are the vehicle of civil engagement as local people are members of the committees. There are supposed to be 13 SCs in each UP and each SC is comprised of 5-7 members and led by an elected councilor/member.

The survey findings indicate that only 2.1 percent household respondents of the treatment UPs and 4.6 percent respondents of control UPs were aware about the UP SCs. About 31.0 percent respondents who were aware of the UP SCs at some point attended UP SC meeting. The difference almost double between the percentages of respondents attending UP SC meetings between the treatment and control UPs.

Table 3.15: Participation of Household Respondents in UP Standing Committee

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Awareness of respondent on UP standing committee			
Yes	2.1	4.6	2.9
No	97.9	95.4	97.1
ii. Respondent ever attended SC meeting out of those who were aware of UP SCs:			
Yes	41.5	21.1	30.9
No	58.5	78.9	69.1

3.3.3 Awareness of Women Development Forum

One of the objectives of forming Women Development Forum (WDF) was to strengthen inter LGI linkages between UP and UZP and pursue advocacy on women's issues with LGI and respective parishads. The present study shows that 3.6 percent household respondents of the treatment UPs were aware about WDF compared to only 1.6 percent respondents in control

areas. A very large proportion (97.0 percent) of household respondents both in treatment and control areas were not aware about WDF. Amongst the respondents who were aware about WDF, 60.4 percent knew that the UP-female members were also members of WDF. Out of the total survey population, this represents less than 2%.

Table 3.16: Awareness of Respondents about WDF

	Characteristics	Treatment area (%)	Control area (%)	All (%)
i.	Awareness of respondent about WDF			
	Yes	3.6	1.6	3.0
	No	96.4	98.4	97.0
ii.	Respondent knows about membership of UP female member for WDF out of total respondents			
	Yes	2,4	0.5	1.8
	No	97.6	99.5	98.2

3.4   UP Planning, Budgeting and Auditing

This section highlights household respondents' knowledge, opinion and their involvement in various UP activities such as annual and five-year development plan, UP annual budget formulation process along with open budget meetings, size of annual income along with their sources and expenditures with detailed budgetary allocations, auditing of UP accounts, adequacy of collection of UP revenues including holding tax etc. Female participation in various UP activities are also discussed here.

3.4.1   Annual and Five-Year Development Plans

Union parishads were supposed to prepare an annual and five-year development plans. These plans were expected to be prepared in a participatory manner so that the local people's aspirations get reflected in the planning documents.

Table 3.17: Respondents Awareness about Annual and Five Year Development Plans

	Characteristics	Treatment area (%)	Control area (%)	All (%)
i.	Awareness of respondent about annual development plan:			
	Yes	4.6	4.7	4.6
	No	95.4	95.3	95.4
ii.	Awareness of respondents in UP five year plan:			
	Yes	4.6	4.1	4.4
	No	95.4	95.1	95.6

The survey results indicate that only 4.6 percent household respondents of the treatment UPs and 4.7 percent respondents of the control UPs were aware about UP annual development plan. Altogether 175 respondents (4.6%) out of the total sample size of 3792 know about UP annual development plans. Thus, more than 95% of HHs were not aware about the annual plan.

In regard to five-year plans of the UPs, very similar findings were observed. Only 4.4 percent respondents were aware about UP five-year plans and 95.6 percent were not aware about preparation of UP five year plan.

3.4.2   Open Budget Meeting

The UP Act (2009) makes it compulsory for the UPs to organize open budget session/meetings. A participatory open budget process is an eligibility requirement for receiving UP Governance Performance (UPGP) grants. According to survey results, it is observed that about 3.9 percent household respondents were aware about UP annual budget and open budget meeting as well.

Table 3.18: UP open budget meeting

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Awareness of respondents about UP annual budget and open budget meeting:			
Yes	6.5	1.3	3.9
No	93.5	98.7	96.1
ii. Respondents ever attended or participated in the budget meeting			
Yes	25.4	39.5	32.4
No	74.6	60.5	67.6
iii. Respondent who participated in budget meetings raised issue and discussed it in budget meeting			
Yes	17.6	25.8	19.7
No	82.4	74.2	80.3
iv. Any issue raised by respondents accepted in the budget meeting			
Yes	26.1	25.8	26.0
No	73.9	74.2	74.0
v. Respondent has seen female participants in the open budget meetings			
Yes	32.6	25.8	29.9
No	67.4	74.2	70.1
vi. Those who attended open budget meetings, did they observe female participants raising any issue for discussion in the budget meeting			
Yes	26.7	-	17.4
No	73.3	100.0	82.6
vii. Respondents level of satisfaction on the open budget meeting out of those who participated in open budget meetings:			
Very satisfied	2.2	-	1.3
Satisfied	24.4	9.7	18.4
Neither satisfied nor unsatisfied	73.3	90.3	80.3
viii. Opinion of respondents about who should be involved in budget preparation process of UP:**			
Male	55.8	61.7	57.8
Female	47.3	53.9	49.5
Youths	41.0	43.0	41.7
Poor people	32.2	25.7	30.0
Socially marginalized people	32.2	18.3	27.6
Do not know	15.0	17.7	15.9
No comment	8.4	9.1	8.6

Note: ** Multiple responses.

Amongst the respondents who were aware about open budget meeting of which about 25.4 percent household respondents of treatment UPs and 39.5 percent or only 32 respondents of control UPs ever participated in the open budget meetings.

About 32.6 percent or 15 out of 46 respondents participated of the treatment areas and 25.8 percent or 8 out of 31 respondents participated of the control areas reported that they had seen female participants in the open budget meetings. It is important to that local females attend open budget meetings. A total of 76 respondents or 2.0 percent expressed their level of satisfaction on open budget meeting. It is interesting to note that most of the household respondents who took part in the open budget meetings did not have any definite positive opinion about the meetings. Only 19.7% of participating HHs had expressed their higher satisfaction with the proceedings and outcomes of the open budget meetings.

3.4.3   Auditing of UP Annual Income and Expenditures

The importance of auditing for effective local governance is well recognized. Auditing plays a crucial role in ensuring proper utilization of budgetary revenues following strictly the allocations envisaged in the expenditure plan of the annual budget. From the household survey it appeared that local people had a very low level of awareness (only 0.7 percent) in general about the audit of UP budgets both in the project and control areas.

Table 3.19: Auditing of UP Annual Income and Expenditure

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Awareness of respondents on auditing of annual income and expenditure			
Yes	0.9	0.2	0.7
No/don't	99.1	99.8	99.3
ii. Out of respondents who were aware of UP audits, what percentage knows about auditing of UP annual income and expenditure for FY17 and FY18:			
Yes	6.4	3.3	4.8
No	80.0	78.9	79.5
Don't know	13.6	17.8	15.7
iii. Respondent's level of satisfaction about UP audit programs out of those who are aware of UP annual audits:			
Very satisfied	8.2	-	6.9
Satisfied	9.1	-	7.4
Neither satisfied nor unsatisfied	55.4	65.9	57.4
No comment	27.3	34.1	28.3

Only 0.7% household respondents out of 3792 mentioned that they knew about auditing of UP annual income and expenditures of 2016-17 and 2017-18. A very large percent of respondents of both project and control UPs (99.3%) did not know about auditing of UP annual income and expenditure during last two years. Those who are familiar with the UP audit process, a small proportion (14.3%) were satisfied with the audit programs.

Table 3.20: Participation of Citizens in UP Planning, Budgeting and Auditing

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondents opinion on increasing participation of common people in preparing annual UP plan:			
Necessary to increase	83.6	82.2	83.1
Present system is alright	5.9	2.1	4.7
Not necessary	0.5	0.5	0.5
No comment	10.0	15.2	11.7
ii. Respondents opinion on increasing participation of common people in preparation of UP annual budget:			
Necessary to increase	78.4	80.8	79.2
Present system is alright	7.0	2.8	5.6
Not necessary	1.7	0.6	1.3
No comment	12.9	15.7	13.8
iii. Respondents opinion on increasing participation of common people in income-expenditure auditing:			
Necessary to increase	75.6	81.9	77.6
Present system is alright	9.1	1.9	6.8
Not necessary	1.6	0.6	1.3
No comment	13.7	15.6	14.3

As regard citizen's opinion on participation in UP planning, budgeting and auditing process, most respondents felt that greater participation of citizens will be necessary in the areas of annual UP plans (83%), UP annual budgets (79%), and in annual income and expenditure auditing of UPs (77%).

By law, UPs are required to have their tax assessment done, maintain documents and update the tax assessment every five year to enhance the tax base or for any other revision. Generally, it is the routine process regarding holding tax assessment of the UPs. It is evident from the survey findings that a significant proportion of households of the treatment (42.7%) and control (45.6%) UPs were aware about UP tax assessment system.

Table 3.21: UP Tax Assessment

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondent awareness about UP tax assessment			
Yes	41.3	45.6	42.7
No/ don't know	58.7	54.4	57.3
ii. Household agreed about UP tax assessment exercise of their holding			
Agreed	81.5	69.5	77.7
Not agreed	2.6	5.0	3.4
No comment	15.0	25.5	18.9
iii. Household paid holding tax (%)			
Yes	29.2	20.3	26.2
No	70.8	79.7	73.8

About 81.5% households in the treatment areas and 69.5% households in the control areas were in agreement with their holding tax assessments done by the UPs. The proportion of HHs who do not agree with the UP assessment of holding taxes by the UPs was only 3.4% percent for

the whole sample population. As regards tax compliance, the survey findings reveal that about 29.2 percent households in the treatment UPs and 20.2 percent households in the control UPs paid holding tax.

Holding tax is rightly identified by the HHs as the largest source of revenue (77.4% of HHs). This survey projects the HHs perception about the tax structure of the UPs.

Table 3.22: Major Source of Revenue Collection by the UPs

Source of revenue collection	Treatment area (%)	Control area (%)	All (%)
Holding tax	81.4	69.2	77.4
Leasing from shop/rental income	7.6	0.7	5.3
Ferry ghat leasing	4.7	2.3	3.9
Rental	7.3	0.9	5.2
Trade license	7.1	8.4	7.5
Birth/nationality certificates	6.5	6.3	6.4
Do not know	11.3	25.9	16.1

Note: Multiple answers so the totals will not add up to 100%

3.5   Women Empowerment and Gender Balance

Sustained increase of women empowerment is one of the key objectives of the local government institutions. Both in the annual and five-year development plans of the UPs are required to give due importance on women empowerment and gender equality. As a result, it is an objective of the national plans that a greater percentage of women are engaged in income generating activities and identify them as income earners of their families. The survey results however indicate that in only 4.2% HHs of the treatment UPs and 3.4% HHs of the control UPs women were found to be engaged in income generating activities.

Table 3.23: Female household members involved in income generating activity

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Female HH member involved in income generating activities			
Yes	4.2	3.4	4.0
No	95.8	96.6	96.0
ii. Number of females involved	107	43	150
iii. Average monthly income of female			
≤TK 5000	72.0	81.4	74.7
TK 5000+	28.0	18.6	25.3

The average monthly income of 72.0% female income earners in treatment UPs were reported to be less than Tk. 5000 and the corresponding proportion for control UPs was 81.4%. Only one quarter of income earning women were earning more than Tk. 5000 per month.

Table 3.24: Household Female Members Having Bank Accounts and Own Mobile Phones

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Female HH member having bank account			
Yes	8.0	2.6	6.2
No	92.0	97.4	93.8
ii. Female HH member having bKash account			
Yes	6.9	4.2	6.0
No	93.1	95.8	94.0
iii. Female HH member having bank and bKash account			
Yes	11.3	6.0	9.6
No	88.7	94.0	90.4
iv. Female HH member having own mobile telephone			
Yes	33.9	35.0	34.2
No	66.1	65.0	65.8

Financial deepening, access to finance and financial independence for female members of the sample HHs still remains very limited. Only 9.6% of the HHs have female members with both bank and bKash accounts. In addition, 6.2% of HH female members have bank accounts and another 6.0% of HH female members have bKash accounts in their own names.

Based on the survey, a relatively larger proportion of female household members have their own cell telephones. The proportion of females having mobile phone in control UPs was found to be somewhat higher (35.0%) compared with the control UPs at 33.9%.

3.5.1   Women Beneficiary of SSNP

About 14.7% household respondents of the treatment areas and 12.5% respondents of the control areas reported that there were female members in their households who were eligible for support through SSNP.

Table 3.25: Female Household Member Eligible and Beneficiaries of SSNP

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Female HH member eligible for inclusion in SSNP			
Yes	14.7	12.5	14.0
No	85.3	87.5	86.0
ii. Women currently beneficiary of SSNP who are reported eligible			
Yes	33.2	26.3	31.2
No	66.8	73.7	68.8

Out of those who indicated that they have female members who could be eligible for SSNP benefits, 33.2% or 124 household respondents in the treatment UPs and 26.3% or 41 respondents of control UPs mentioned that they had female member in their households who were currently beneficiaries of SSNP. Overall less than 5.0% or 165 of households had a female member who has been receiving SSNP benefits in the whole sample area. The incidence of female beneficiaries of SSNP is significantly higher in the treatment areas (4.9%) compared with only 3.3% of HHs in control areas.

3.5.2 Women Participation in Decision Making Process

According to survey results, about 50.4% female household members of the treatment UPs and 58.5% female household members of the control UPs participate or involved in the decision-making process of their household matters. Elderly female household members, generally mother or the wife of household heads are involved indecision making process like marriage, education of their children and even purchase of assets and durable goods for the households.

Table 3.26: Women's Participation in Decision Making Process

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Women participation in decision making process of HH matters			
Yes	50.4	58.5	53.1
No	49.6	41.5	46.9
ii. Women HH member knows how to use laptop/computer			
Yes	2.2	1.3	1.9
No	97.8	98.7	98.1
iii. Women HH members including wife of HH head ever read newspaper/magazine			
Almost every day	1.1	0.3	0.8
At least one day in a week	7.4	10.5	8.4
Not at all	91.6	89.2	90.8

About 2.2% women members of the HHs in treatment areas and 1.3% women members in control areas were using laptops/computers. This gives us an indication about the degree of digitalization penetration in rural areas, especially among the rural women. It is also interesting to know that 8.5% of HHs have female members who read newspapers and magazines at least once a week, and the corresponding figure is even higher in control areas (10.8%). Due to lack of access to daily newspapers/magazines, only 0.8% women read newspapers/magazines daily. The proportion of women who never read newspapers/magazines is however extremely high at more than 90% according to the survey results.

3.5.3 Women Participation in Ward Shava

In principle, Ward Shavas (WSs) or Ward Meetings act as a platform for ensuring active engagement of different categories of local people. An attempt has been taken through the household survey to assess women's participation in WSs held in treatment and control areas.

Table 3.27: Women's Participation in Ward Shavas

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Women household member attended WSs			
Yes	5.4	5.0	5.3
No	94.6	95.0	94.7
ii. Number of time she attended the Ward Shavas during the year			
Once a year	81.2	98.4	86.5
Twice in a year	18.8	1.6	13.5

Less than 6.0% of women HH members attended the WSs in treatment areas and in the control areas the level of attendance at WSs was bit lower at 5.0%. In other word, only 138 female HH members from 2545 HHs in treatment areas and 62 female HH members from 1247 sample HHs of control areas participated in WS. However, those women who attended the WSs, most of them attended only once in the WSs.

3.6   Perception of Respondents about UP Governance

This section presents information regarding opinions and suggestions of HH respondents on selected UP activities such as (i) making list for SSNP beneficiaries; (ii) preparation of distribution list of relief materials and other benefits; (iii) performance on service delivery and governance, (iv) specific programmes of UP like annual plan, annual budget and infrastructure development; etc.

3.6.1   Transparency about Beneficiary Selection

UPs play an important role in distribution of various allowances and relief materials under different government programs like SSNP (including VGD, VGF and TR) to eligible citizens. Almost 30% of respondents in the whole sample area were of the view that selection of SSNP beneficiaries were done in very transparent or transparent manner. About it is disturbing to note that almost one-fourth of the HH respondents in the project areas, including 29% of respondents in the control areas noted that selection of beneficiaries for SSNPs and relief operations were 'not transparent'. Almost half of the sample HHs however did not express any opinion or did not know about the issue, which is not surprising perhaps due to the fact that they were well off and not eligible for SSNP benefits.

Table 3.28: Respondent's Opinion on Beneficiary Selection

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondents' opinion about selection of beneficiary for SSNP:			
Very transparent	2.5	0.7	1.9
Transparent	25.9	31.4	27.7
Not transparent	29.0	15.5	24.5
No comment	13.2	15.5	14.0
Don't know	29.4	37.0	31.9
ii. Opinion of respondent for making list in distributing relief goods:			
Transparent	9.3	17.5	12.0
Barely transparent	23.6	14.4	20.5
Not transparent	17.5	15.2	16.7
No comment	29.0	35.6	31.2
Don't know	20.7	17.2	19.6

As regard public opinion about listing of persons eligible for receiving relief materials and actual distribution of relief about 10% respondents felt that the process was transparent and another 20% of HHs felt that process was somewhat fine/workable. About 17.5% HH respondents in the treatment areas and 15.2% respondents in the control areas were of the view that the process of preparing the list and distribution of relief goods was no transparent. Almost

half of the HHs either had no comments or did not know about the processes involved in these areas perhaps because SSNP was not relevant for them.

3.6.2 UP Service Delivery and Governance

More than 40% of HH respondents were satisfied with the service delivery and governance of UPs. This is rather surprising because for the UPs with very limited resources, achieving this level of citizen's satisfaction is rather impressive. The proportion of HHs expressing their dissatisfaction with UP activities was rather modest at below 10%. However, it is noteworthy that more than 40% of respondents had no comments on the quality of services offered by the UPs which is a reflection of general public apathy about the activities of UPs since those probably do not touch their daily life. This situation is also reflected in the percentage of HHs who did not use village courts for dispute resolution. More than 85% of HHs either did not use village courts or did not think village courts would be relevant for resolution of their disputes.

Table 3.29: Opinion of Respondent on UP Governance

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Household member turned to village court for justice			
Yes	14.9	13.1	14.3
No	61.1	62.8	61.6
Not Applicable	24.0	24.1	24.1
ii. Respondent' level of satisfaction with UP service delivery and governance:			
Very satisfied	3.4	1.6	2.8
Satisfied	39.8	36.4	38.7
Neither satisfied nor unsatisfied	11.9	3.4	9.1
Unsatisfied	8.8	7.9	8.5
No comment	36.1	50.7	40.9
iii. Respondent's level of satisfaction with activities (planning, budgeting, service delivery etc.) of UP:			
Very satisfied	2.1	0.5	1.6
Satisfied	19.4	33.4	24.0
Neither satisfied nor unsatisfied	14.4	4.9	11.3
Unsatisfied	5.9	5.9	5.9
Don't know	42.7	48.7	44.7
No comment	15.6	6.7	12.6
iv. Category of HH respondent satisfied with UP service delivery and governance:			
Male	44.4	39.9	42.9
Female	25.9	16.9	22.4
Both sexes	43.2	38.0	41.5
Non-poor	18.7	16.9	18.1
Poor	21.1	19.4	20.6
Total	39.8	36.4	38.7

Note: Non-poor includes rich and middle income HHs; poor includes poor and ultra-poor HHs.

Figure 3.4: Level of Satisfaction of HH Respondents with UP Service Delivery and Governance
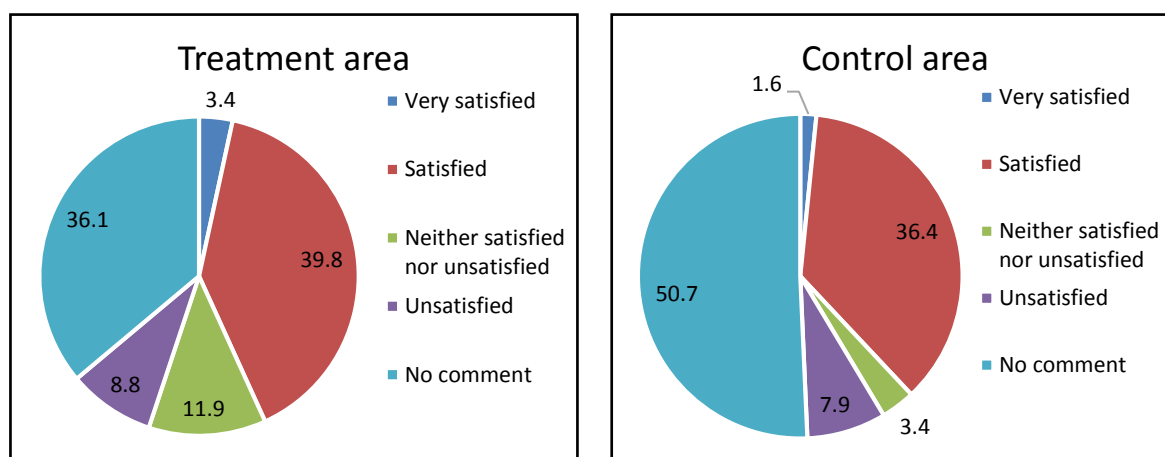
The following table presents opinion of the household respondents about the activities of the UP which were considered as good for the local people.

Table 3.30: Opinion of Respondents on UP Activities Related to Social and Economic Development of Local Citizens

List of good activities as expressed by respondents	Treatment area (%)	Control area (%)	All areas (%)
Doing drug free	6.3	5.1	5.9
Stopping dowry and early marriage	2.9	2.2	2.6
Improvement of roads and culverts	64.1	52.4	60.4
Helping poor people	7.8	7.3	7.6
Repairing of schools and madrasas	1.1	1.9	1.3
Health and education	10.0	1.7	7.4
Electricity	2.3	3.6	2.7
Village court/arbitration	1.6	1.2	1.5
Others	12.1	30.5	19.5

3.7 Upazila Governance and Service Delivery

This section presents household respondents' awareness and knowledge about UZP activities and quality of governance, such as functions and responsibilities of UZP functionaries, development planning, budget formulation process and its execution, citizen charter and right to information, quality of services of the Upazila line departments, service delivery by UZP etc. To understand respondent's perception and knowledge and also about their participation in the UZP Parogrammes, a number of relevant questions were asked to HH respondents as part of the HH surveys and their findings are presented below.

3.7.1 Perception about UZP

People need to visit UZ headquarters to receive certain essential services rendered by government departments/agencies at the UZ level. These services generally include land related issues with land registration office (an outfit of Land Ministry), health related issues with UZ health complexes, education related issues with UZ education department, Fisheries

and livestock related issues with UZ fisheries office and UZ veterinarian officer, law and order issues with U Police Stations, and many more. The survey results indicate that 14.9% HHs visited their UZ headquarters in the last three months. The proportion of respondents visiting UZ headquarters in treatment and control areas were almost close. On average they visited UZ headquarters 1.8 times in last three months.

Table 3.31: Respondents' Upazila Visit

Characteristics	Treatment area	Control area	All
i. Respondent who visited UZ in the last three months (%):			
Yes	16.0	12.7	14.9
No	84.0	87.3	85.1
ii. No. of visit in last three months (average no.)	2.0	1.6	1.8
iii. Reasons of visiting UZ (%): **			
Land related works	33.4	38.3	34.8
Health related issue	58.5	48.7	55.7
Family planning	11.0	12.3	11.4
Education related works	11.7	7.1	10.4
Fisheries and livestock related works	16.4	9.7	14.5
Project related works at UZ	4.2	2.6	3.7
Resolve local conflict	11.0	7.1	9.9
Banking services	7.6	3.2	6.3
Law and order	13.6	16.9	14.5
Sports and culture related works	14.6	1.3	10.8
Others	8.6	4.5	7.4

Note: ** Multiple answers, so these are not expected to add up to 100%.

As regards the purpose of their visits, the highest proportion (55.7%) was found to be related to health services followed by land related works (34.8%) and law and order (14.5%). The other reasons for visiting UZ headquarters were for banking services (14.5%), family planning (11.4%), and seek advice on fisheries and livestock (14.5%).

Households were also asked to evaluate the quality of services rendered by the line departments at the UZ level on a 5-point scale. They mostly graded the quality of services provided by the line departments at the UZ level as very poor. There is no difference in quality of services in both project and control Upazilas (see annex table). The following table shows the quality of service rendered by the line departments in terms of good and average quality.

Table 3.32: Respondents Views About Quality of Services of Line Departments

Type of services /line department	Treatment (%)		Control (%)		All (%)	
	Good	Average	Good	Average	Good	Average
Law and order	36.6	10.1	28.5	1.3	34.3	7.6
Communication and infrastructure development	27.0	6.6	15.2	0.6	23.7	5.0
Agriculture and irrigation	25.8	6.9	8.9	3.2	21.1	5.8
Secondary and madrasha education	34.2	6.6	11.4	3.8	27.8	5.8
Primary and mass education	36.9	6.9	12.7	3.2	30.1	5.8
Health and family welfare	55.8	7.4	32.9	9.5	49.4	8.0
Youth and sports	30.0	6.9	10.1	2.5	24.4	5.7
Women and children development	27.8	6.4	6.3	1.9	21.8	5.1
Social welfare	25.6	6.1	8.9	0.6	8.9	20.9
Freedom fighter	31.2	5.7	5.7	1.3	24.1	4.1

Type of services /line department	Treatment (%)		Control (%)		All (%)	
	Good	Average	Good	Average	Good	Average
Fisheries and livestock	27.3	7.4	7.0	0.6	21.6	5.5
Rural development and cooperation	30.1	7.4	9.5	1.9	24.8	5.8
Culture	26.3	7.9	7.6	2.5	21.1	6.4
Forest and environment	25.8	7.4	4.4	0.6	19.8	5.5
Observation, monitoring and controlling of market prices	25.6	7.6	4.4	-	19.6	5.5
Finance, budget, planning and mobilization of local resources	27.3	7.4	9.5	0.6	22.3	5.5
Public health, sanitation and supply of safe drinking water	31.2	7.9	13.3	1.3	26.2	6.0
Land related issue	26.5	7.4	6.3	-	1.6	20.9
Others	30.7	6.6	5.1	-	2.8	23.5

Note: Regarding quality of service provided by the line departments at Upazila level, there were five quality scores: very good-1, good-2, average-3, bad-4 and no comment-5. In this table are percentage of good score and the average quality score are presented. Detailed data may be seen in the annex table.

3.7.2 Functions and Duties of UZP Officials and Access to Them

In terms of functions and duties of UZP functionaries (chairman and vice-chairmen), only 9.8 percent household respondents mentioned that they knew the functions and duties of UZP chairman and 7.2 percent knew about the duties of the women vice-chair. Of the respondents who knew the functions and duties of the chairman of which 7.3 percent were able to mentioned few responsibilities and duties such as "perform routine works, issuing license, project implementation, etc.

Table 3.33: Respondents' Perception About UZP Functionaries and Access to Them

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondents knowledge about functions and duties of UZ chairman:			
Yes	9.8	8.5	9.4
No	90.2	91.5	90.6
ii. Respondent's knowledge about functions and duties of UZ women vice-chair:			
Yes	7.2	5.5	6.6
No	92.8	94.5	93.4
iii. Possible to meet UZP officials if necessary:			
Yes	80.4	62.2	74.4
No	19.6	37.8	25.6
iv. To whom it is easier to meet**:			
UZ chairman	64.9	76.1	68.6
Vice-chairman	87.7	90.2	88.6
Women vice-chair	82.9	92.7	86.2
UNO	93.8	94.5	94.1

Note: ** Multiple answers, so these may not add up to 100%.

Only 7.2% respondents in treatment areas reported that they knew about the functions and duties of the women vice-chair of the UZP. The figure is even lower in control areas. In terms of access to respective UZP officials, more than 80% of the respondents in treatment areas who usually visit UZ headquarters said that they could meet their UZP officials if necessary. It is found that amongst the officials, UNOs were perceived to be the most accessible persons to the local people.

3.7.3 Knowledge and Participation in UZP Activities

It is revealed that only 9.5% HH respondents of the treatment UZs and 7.2% of the control UZs mentioned that they knew about various developments projects of the UZP but interestingly most of them could not cite the name of any development project without read out by the enumerators.

Table 3.34: Respondent's Idea and Their Participation in UZP Activities

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondent knows about various UZP development projects			
Yes	10.6	7.2	9.5
No	89.4	92.8	90.5
ii. Respondent knows about UZ project selection and implementation			
Yes	1.4	0.6	1.2
No	98.6	99.4	98.8
iii. Respondent ever attended in Upazila budget meeting:			
Yes	1.4	1.6	1.5
No	98.6	98.4	98.5
iv. Respondent know about the size of UZP budget of – 2018-19:			
Yes	0.9	0.9	0.9
No	99.1	99.1	99.1

Only 1.4% of the respondents in treatment UZs and 0.6% in control areas knew about UZ project selection and implementation of development plans of their own UZs. It is also observed that only a small proportion (1.2%) of the respondents knew about selection and implementation of UZ projects in both treatment and control areas.

A very large majority (98.5%) of the respondents from both control and treatment areas never attended any UZP budget meeting. Nearly 1.5 percent of them who attended in the UZP budget meeting participated in budget discussion based on survey findings. Only 0.9 percent respondents knew about the size of the UZ budget in 2018-19.

3.7.4 Perception Towards Citizen Charter and Right to Information

Only 7.5 percent of the respondents in project areas and nearly 1.3 percent in control areas were aware about having UZ citizen charter. This ignorance of the local people may be due to inadequate publicity by the UZ authorities and the government in general.

Table 3.35: Perception of Respondents Towards Citizen Charter and Right to Information

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Perception of respondent on UZP having citizen charter			
Yes	5.0	4.6	4.9
No/Don't know	95.0	95.4	95.1
ii. Respondent ever tried to get information from UZP			
Yes	22.6	15.5	20.2
No	77.4	84.5	79.8
iii. Respondent got information from UZP			
Yes	89.7	84.5	88.4
No	10.3	15.5	11.6

Only one-fifth of respondents ever tries to get information from UZPs in their respective areas. However, those who tried to obtain information close to 90% of them received their desired information from the UZ offices.

3.7.5   Service Delivery and Transparency of UZP Activities

The following Table (Table 3.36) presents citizen's perception about service delivery, governance and transparency associated with the major activities of UZPs. It is revealed that close to 30% of HHs were satisfied or extremely satisfied with the UZP service delivery. Another two-thirds of the respondents were either unhappy or felt ambivalent (neither happy nor too unhappy) about the quality of service delivery.

Table 3.36: Respondents' Perception about Service Delivery and Governance of UZP

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Respondents' perception on UZP service delivery and governance:			
Very good	3.7	1.3	2.9
Good	25.8	32.2	27.9
Neither good nor bad	30.2	37.9	32.7
Not good	40.4	28.5	36.5
ii. Respondent perception about transparency of major UZP activities:			
Transparent	25.7	25.3	25.6
Not transparent	15.3	20.4	17.0
Don't know	59.0	54.3	57.4
iii. Category of HH respondents have good perception on UZP service delivery and governance:			
Male	29.5	34.3	31.1
Female	29.0	24.8	27.3
Both sexes	29.5	33.5	30.8
Non-poor	14.0	13.7	13.7
Poor	15.5	19.8	16.9
Total	29.5	33.5	30.8

Note: Good perception includes both very good and good.

As regards transparency, about one-fourth of the respondents in both treatment and control areas characterized the UZP activities as transparent. Those who considered UZP activities as

non-transparent represented less than one-fifth of the total HH sample. Almost 60% of respondents did not have any opinion because they may not have any interaction or exposure with the UZPs and their activities.

3.7.6   Expectation and Suggestion on UZP Programs

Respondents were asked a number of questions about the roles that UZPs should play for development of the UZs. In response almost half of the respondents underscored the importance of infrastructure construction in the UZs. The second most important issue identified by the respondents was improvement in the quality of education, followed by improvement of healthcare.

HHs made a number of recommendations to improve service delivery by the UZPs. Among those the most important one was better roads and communication (27%), better health services (17.3%), easy and faster service delivery (13.1%), and maintenance of law and order (11.2%). As regard strengthening UZPs, the respondents suggested to allocate more fund to UZPs for development activities (23.2%) and increase the skill level of UZP staff so that they can provide better services and implement activities of UZPs more effectively.

Table 3.37: Suggestions for Strengthening UZP and Expectations of Citizens

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Major suggestions of respondents on development of local area by UZP:			
Construction and development of infrastructures	53.4	40.4	49.2
Development of quality education	23.8	9.7	19.3
Improve health and sanitation	7.2	4.3	6.3
Provide more relief to poor people	6.8	5.4	6.3
Establish more hats and bazars and marketing agri. products	4.5	2.6	3.9
Others	3.8	31.9	12.5
ii. Major expectation of service delivery from UZP:			
Provide essay and fast delivery services	13.3	12.8	13.1
Development of roads and communications	31.9	17.7	27.0
Keep law order situation	9.8	12.3	11.2
Establish good educational institutions	7.2	4.0	6.1
Arrangement of health services	19.9	12.3	17.3
iii. Some suggestions for strengthen UZP:			
Increase more skilled manpower	24.8	9.9	19.4
Allocate more fund	25.3	20.1	23.2

CHAPTER 4

ASSESSMENT OF UNION PARISHAD GOVERNENCE

The Union Parishad Survey (UPS) was a part of the Baseline Survey of the EALG project which covered a total of 68 out of 72 sample Union Parishads (UPs) from both 16 treatment and control districts of eight administrative divisions. Of the total sample Union Parishads, 40 Unions were selected from treatment groups or project Unions and the remaining 32 Union Parishads were selected from control areas for the purpose of comparison. Qualitative information was also collected on a limited scale in some sample UPs through focus group discussions (FGDs) and Key Informant Interviews (KIIs). Data collection in the context of this survey was not straight forward because there was no specific person associated with UP activities who could answer all the relevant questions. Accordingly, a number of UP functionaries such as UP chairmen, UP male and female members, and UP Secretary were interviewed, as available and needed, for collection of data and gathering of information.

This chapter presents information on various aspects of UP activities, with particular focus on governance and service delivery based on the survey data. Findings of the quantitative survey data are to be discussed simultaneously with the qualitative information if available and relevant in order to provide a comprehensive analysis of UP activities and performance.

4.1 Selected Information on the UPs

The survey results indicate that 97.1 percent UP chairman were male on the basis of the 68 sample Union Parishads and four UPs were considered as non-response/not available. Regarding educational qualification of the UP chairman, about 10.3 percent were below SSC, 50.0 percent had SSC/HSC or equivalent passed, followed by 35.3 percent who had educational qualification degree and above or equivalent. There was no illiterate UP chairman in the survey areas.

Table 4.1: Selected information of sample Union Parishad

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Sex of UP chairman (%):			
Male	97.4	96.6	97.1
Female	2.6	3.4	2.9
ii. Educational qualification of UP chairman (%):			
Below SSC	2.6	20.7	10.3
SSC/HSC or equivalent	56.4	41.4	50.0
Degree and above or equivalent	35.9	34.5	35.3
Other	5.1	3.4	4.4
iii. Average tenure as of work UP chairman (year)	5.9	6.4	6.0
iv. UP functionaries who received training on UP Act 2009 (%):			
Chairman	84.6	79.3	82.4
UP Secretary	97.4	86.2	92.6

The average tenure of work as UP chairman in treatment and control UPs were 5.9 and 6.4 years, respectively. About 41.2 percent UP chairman of the treatment UPs and 33.3 percent chairmen of the control UPs reported that they served 6-10 years as chairman of the Union Parishad (see annexure table). In terms of training received, 82.4% UP chairmen and 92.6% UP Secretaries had received training on UP Act 2009 during their tenure of service.

As part of capacity building of the UP officials, a number of training sessions were organized by the different agencies like NILG, UZP, NGOs and other line agencies of the government. The LGSP of the World Bank also organized training programs for UP functionaries. The following table shows the different types of training received by the UP functionaries.

Table 4.2: Training Received by the UP Functionaries in Key Areas of UP Act 2019

Areas of training	Treatment area (%)		Control area (%)		All area (%)	
	Chairman	UP Secretary	Chairman	UP Secretary	Chairman	UP Secretary
Mandatory activity on UP	51.3	56.4	48.3	44.8	50.0	51.5
Financial management	59.0	79.5	48.3	75.9	54.4	77.9
Open budget	48.7	61.5	58.6	65.5	52.9	63.2
Local resource mobilization	30.8	41.0	31.0	48.3	30.9	44.1
Women development	33.3	41.0	24.1	37.9	29.4	39.7
Scheme formulation and implementation	56.4	61.5	62.1	69.0	58.8	64.7

In terms of areas of training, majority of UP chairmen and UP Secretaries of both treatment and control UPs were provided trainings on mandatory activities of UPs, financial management of UPs, and on the open budget process. About 31% percent UP chairmen received training on local resource mobilization and utilization and the proportion was significantly higher for UP secretaries. The highest proportion (77.9%) of UP secretaries received training on financial management. There is however significant scope for increasing further the percentage of UP officials receiving training on relevant issues. In particular, training on women development for the UP chairmen was very limited with less than one-third of them receiving training on women development.

4.2   Holding Monthly Meeting and Ward Shava

4.2.1   Holding Monthly UP Council Meeting

The survey results indicate that in 60% of UPs monthly meetings were held regularly and in 40% UPs monthly meetings not conducted regularly. On average, 79.1% monthly meetings were chaired by UP chairmen in treatment UPs while on average 17.9 percent monthly meetings were presided by the panel chairmen. The difference of holding monthly meetings between treatment and control UPs which were presided by chairmen were not significant.

Table 4.3: Holding Monthly UP Council and General Meetings

Monthly and general meeting	Treatment area (%)	Control area (%)	All (%)
i. Holding monthly UP council meeting on specific agenda (%):			
Yes, regularly	50.0	75.0	60.0
Not, regularly	50.0	25.0	40.0
ii. Monthly UP council meetings presided by whom in last year (2017-18) (%):			
UP chairman presided	79.1	82.4	80.6
Panel chairman presided	20.9	17.6	19.4
iii. Holding of general meeting on SSNP and other issues during last year (%):			
Yes	82.1	96.6	88.2
No	17.9	3.4	11.8

Note: Based on information given by UP functionaries and there was no scope to verifying this information.

It appears from Table 4.3 that 50% UPs from treatment areas and 75% from control areas regularly conducted monthly council meeting. About 82% UPs of treatment areas and 96.6% UPs of the control areas reported that they conducted general meetings on SSNP and other issues during last year. There are some reservations about the quality of discussions and the issues covered in these UP meetings, because in most cases no minutes were kept by the UP authorities.

Table 4.4: An Overview of Monthly UP Council Meetings During Last Year (2017-18)

Issues	Treatment area (%)	Control area (%)	All (%)
Holding average number of UP monthly council meetings during last year	12.0	11.0	11.5
Average number of members attending the council meetings	7.4	8.2	7.8
Women UP members attending and participating in discussions	100.0	50.0	81.8
Average number of decisions taken per meeting by UPs	3	2	2
Resolutions/minutes of the meeting documented and circulated among the members			
Yes	57.1	50.0	54.5
No	42.9	50.0	45.5
Implementation status of the decisions			
Good	66.7	50.0	60.0
Neither good nor bad	33.3	50.0	40.0

On average 12 general meetings were organized by the UPs in treatment areas and 11 meetings in control areas (Table 4.4). On average 2 to 3 decisions were taken per UP meetings. An overview of monthly council meetings held during the last fiscal year (2017-18) in treatment and control areas indicates that almost half of the meetings were not documented and circulated among the members of the committees. This is very high despite the fact that it was simply based on impressionistic answers provided by the UP authorities. A more rigorous investigation done in the context of other surveys indicated that most of the UPs did not maintain minutes of most or all of the meetings and there was no systematic follow up to the decisions taken in the

UP meetings. This gives rise to the concern that these meetings may not be very effective in terms of implementation of the decisions taken by the Councils.

4.2.2 Holding of Ward Shavas

The UP Act 2009 emphasizes the importance of arranging Ward Shavas (WSs) in every Ward of the UP. WSs could be used as a platform of UPs where stakeholders discuss and set their agenda for inclusion of projects/activities in the annual development plan of the UP. Based on responses from UP authorities, 42.9% treatment UPs were holding two WSs in each ward during last year while 33.3% of control UPs reported holding of two WSs during the same period. It may by mentioned that, according to rules, at least two WSs are to be organized in each ward every year. This low level of compliance as reported by the UPs was due to the fact that cross examinations and verification of proper documents were performed during the validation surveys related to this issue. The concerned stakeholders (not part of the UP authorities) who observed that WSs were not held in some Wards and in most instances not conducted and documented properly with minutes.

Table 4.5: Performance in Terms of Holding of Ward Shavas (WSs)

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Holding 2 WSs in each Ward during last year			
Yes	42.9	33.3	40.0
No	57.1	66.7	60.0
ii. Type of measures taken to ensure participation of various category people in WS: **			
Informed through concerned UP member	85.7	100.0	90.9
Announcing through mikes/drums	42.9	50.0	45.5
Invite selected people by sending messengers	28.6	25.0	27.3
Announcement at hat-bazar, masque	42.9	25.0	36.4
iii. Category of people attended in WS			
Male	95.4	90.7	93.1
Female	4.6	9.3	6.9
Poor	11.5	15.3	13.4
Non-Poor	88.5	84.7	86.6
Socially marginalized people	2.6	1.8	2.1
iv. Issues raised by female participants in WS was adequate:			
Yes	14.3	-	9.1
Not adequate	57.1	75.0	63.6
Neither adequate nor inadequate	28.6	-	18.2
No comment	-	25.0	9.1

Note: ** Based on multiple responses

About 85.7 percent treatment UPs and 100.0 percent control UPs reported that they informed the concerned people through their respective Ward members to ensure their participation in the WSs. Invitations issued to selected persons requesting them to attend the WSs was 28.6% in treatment UPs and 25% in control UPs. Female participation in the WSs was rather limited

with less than 7% of the participants being female. Furthermore, participation of socially marginalized people (2.1%) and poor (13.4%) were low given that much of the activities of the UPs should be focused on improving the lives of marginalized and poor people. This lack of diversity as manifested through the very low participation of female, socially marginalized and poor must change over time through close monitoring of UP activities.

4.3 Formation of Standing Committees and Others

Standing Committees (SC) have a key role in supporting the UPs in taking effective decisions. It is a platform within each UP through which all members of the UP are expected to play their respective roles in the decision making and development management processes at the local level. SC also aims to act as a forum where women members could play vital role in UP activities thereby contributing to empowerment of women leadership at grass-root level. SCs are also serve as vehicles for civil engagements as local people are also members of the Committees. UP Act 2009 section 45 provides the legal basis for UP SCs. There are 13 Standing Committees in each UP. An SC is led by an elected member/councilor and requires to have 5 to 7 members. Each committee can co-opt citizens or professional persons, but such members don't have voting rights. Each SC has to meet once every two months, but emergency meetings can be arranged any time. The core functions of the SCs are to: a) monitor the activities of service providers and give feedback to the general people based on their needs and demands; b) give planning support to the service delivery providers and monitor the implementing process; and c) provide regular reports within two-month intervals to the UP authorities covering the activities of the committee, decisions taken by the committee, and observations on their monitoring. The UPs also form other committees such as procurement committee, scheme supervision committee etc. according to their needs[2].

4.3.1 Formation of Standing Committees and its Awareness

Article 45(1) of the UP Act 2009 mandates the UPs to form 13 Standing Committees (SCs) on specified areas, for the purpose of discharging its functions effectively. Accordingly, UPs formed SCs on the basis of Article 45(1) but the names or titles of the SCs were not identical in every UP.

About 82% of UPs in both treatment and control areas reported that they formed all the SCs. All UPs have formed at least one SC, while 9.1% UPs formed only some SCs (instead of all types of SCs as required by Law) in their UPs. Officials of almost all the UPs mentioned about the formation of the SCs, however, it is widely believed that these are mostly on paper for the purpose of fulfilling official/legal obligations with limited operational significance and impact.

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[2] Final Report Impact Assessment of UZGP and UPGP, 2017

Table 4.6: Formation of UP Standing Committees

Formation of standing committees	Treatment area (%)	Control area (%)	All (%)
Formed all Standing Committees	85.7	75.0	81.8
Some Committees were formed	14.3	-	9.1
Not yet formed any SC	-	25.0	9.1

The following table presents the type of UP SCs formed, committees headed by gender, and the average number of meetings held during last year (2017-18). It appears that the number of meetings conducted by various SCs were not very encouraging although at least six meetings were supposed to be conducted for every SC in each year.

Table 4.7: Types of SCs Formed and the Average Number of Meetings Held During Last Year

Type of Standing Committee (SC) formed	Treatment area		Control area	
	Average no. of meetings held	Sex of the head of SC (% of male head)	Average no. of meetings held	Sex of the head of SC (% of male head)
Primary and mass education	4.7	40.0	4.5	66.7
Women, children welfare and sports	4.7	70.0	4.3	33.3
Environment protection and plantation	4.2	82.5	2.9	100.0
Social welfare and disaster management	4.2	100.0	4.0	66.7
Rural water, sanitation and drainage	3.8	100.0	1.8	100.0
Law and order	4.7	82.5	4.2	100.0
Rural infrastructure development and maintenance	4.2	100.0	3.1	100.0
Tax assessment and collection	4.9	100.0	4.3	100.0
Health, family planning and epidemic control	4.5	66.7	4.3	66.7
Birth-death registration	4.5	100.0	4.6	66.7
Audit and accounts	4.3	75.0	4.5	100.0
Finance and establishment	5.0	75.0	5.0	100.0
Agriculture and other development work	4.6	100.0	4.5	100.0

In accordance to the UP Act, one-third of the UP Standing Committee ought to be headed by women UP member. But the survey data reveal that both in the treatment and control areas the number of female committee heads were generally much less than one third. A large number of committees were only headed by male members. Nevertheless, in areas such as primary and mass education, women, children welfare and sports, and health and family planning the percentage of women heads in SCs in both treatment and control UPs were one-third or more.

Table 4.8: People's Awareness about UP Standing Committee

People awareness of up standing committees	Treatment area (%)	Control area (%)	All (%)
Percentage of people aware about UP SCs	13.9	17.2	15.2
Cannot say	78.9	72.2	75.9
No comment	7.2	10.6	8.9

It appears from the survey data (Table 4.8) that local people are not much aware about the existence of SCs and their activities. The awareness level is little higher in the project areas as

compared to the control areas, but the average level of awareness was only 15.2%. This low level of awareness supports our earlier statement based on field level feedbacks that many UPs only formed the SCs on papers, and even the UP members were not much familiar with the functions and activities of the SCs.

4.3.2 Formation of Other Committees at UP Level

As per their requirements, UPs may form other Committees. There are Committees at the UP level which are formed to undertake special functions like project supervision, budget committee, etc. to conduct different types of activities in parallel with the UP SCs. The Committees are more or less similarly active both in UPs located in project and control areas. Information were collected from the sample UPs about what other Committees were in existence at the UP level.

Table 4.9: Existence of Other Committees at the UP Level

Types of other committees in Union level	Treatment area (%)			Control area (%)			All area (%)		
	Have committee	Sex of committee head (Male)	Sex of committee head (Female)	Have committee	Sex of committee head (Male)	Sex of committee head (Female)	Have committee	Sex of committee head (Male)	Sex of committee head (Female)
Scheme supervision committee	79.5	96.8	3.2	81.5	100.0	0.0	80.3	98.1	1.9
Union Development Coordination Committee (UDCC)	89.7	94.3	5.7	88.9	87.5	12.5	89.4	91.5	8.5
Procurement committee	51.3	100.0	0.0	70.4	94.7	5.3	59.1	97.4	2.6
Budget committee	79.5	96.8	3.2	88.9	91.7	8.3	83.3	94.5	5.5
Planning committee	79.5	90.3	9.7	81.5	81.8	18.2	80.3	86.8	13.2
Resource mobilization committee	35.9	85.7	14.3	70.4	73.7	26.3	50.0	78.8	21.2
Others	17.9	57.1	42.9	17.9	57.1	42.9	16.7	63.6	36.4

The highest number of UPs (89.4%) had Union Development Coordination Committees (UDCC) and a similarly high percentage of UPs had Budget Committees (83.3%), Scheme Supervision Committees (80.3%), and Planning Committees (80.3%). The proportions of UPs having procurement committees (59.1%) and Resource Mobilization Committees (50%) which are two important areas however were significantly less.

Most of these committee heads were male, with percentage of female committee heads ranging between 1.9% (scheme supervision committee) to 21.2% (Resource Mobilization Committee) of committees.

4.3.3 Knowledge about Women Development Forum

The survey results indicate that 100.0% of UPs of treatment areas and 50.0% UPs in control areas had knowledge about UZ Women Development Forum (WDF). It is also observed from the table that 85.7% of UPs had female members who were also members of the UZ WDF in treatment areas and for control areas the corresponding figure was 66.7%. It may be mentioned here that the core objectives of WDF are to enhance the capacity of the elected women representatives/members for better contributions at the LGIs through greater responsiveness, contributions to local socio-economic development, and establishment of networks with various Civil Society Organizations (CSOs) for addressing gender issues.

Table 4.10: Knowledge of UP about Women Development Forum

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UP has knowledge about WDF:			
Yes	100.0	50.0	81.8
No	-	50.0	18.2
ii. UP female member was a member of WDF:			
Yes	85.7	66.7	80.0
No	14.3	33.3	20.0

4.4 UP Planning, Budgeting and Auditing

The section deals with both annual budgets and five-year plans of the UPs of treatment and control areas. The annual budget showing the sources of income/revenue and allocation of expenditures of the UPs are supposed to be discussed in open budget meetings before finalization of annual budget. The questionnaires related to this issue focused on whether the UPs had organized open budget meetings with the participation of various categories of local people such as, poor, non-poor, male, female, socially marginalized people etc. with a view to determine the participatory approach to budget formulation. The major source of income of the UPs, including transfers from the central government and development partners under different projects, and major types of expenditures are also discussed in this section. Auditing of annual income and expenditures and involvement of CSOs in auditing process are also highlighted here.

4.4.1 UPs Annual and Five-Year Plans

By regulations, UPs are supposed to prepare an annual- and five-year plans. These plans are expected to be prepared in a participatory manner so that local people's aspirations get reflected in the planning documents. From the survey data it appear that 71.4% UPs in treatment areas and 33.3% UPs in control areas had prepared their annual plans.

Table 4.11: Percent of UPs Having Annual and Five-Year Plans

Annual and five-year plan	Treatment area (%)	Control area (%)	All (%)
i. UP has prepared annual plan			
Yes	71.4	33.3	60.0
No	28.6	66.7	40.0
ii. UP has prepared five-year plan and being implemented:			
Yes	85.7	100.0	90.9
No	14.3	-	9.1
iii. UP has mainstreamed local resilience plan into their five-year development plan			
Yes	14.3	50.0	27.3
No	71.4	50.0	63.6
Don't know	14.3	-	9.1
iv.			

It is also seen from the survey that almost all UPs (91%) in treatment and control areas had prepared their five-year plans. UP authorities were categorically asked to produce their annual and five- year plans at the time of interview/data collection to ensure validity of their claims and to determine the look and quality of these documents. Most of the annual and five year plans were 3-5 page documents containing primarily the name of schemes with tentative budget allocation over the 5-year period. These documents were prepared to fulfill the legal obligations and, in most cases, the UP authorities did not have any idea about the purpose and issues to be covered in these important documents.

Table 4.12: Coverage of Major Sectors in Five-Year Plans

Major contents in five year plan	Treatment area (%)	Control area (%)	All (%)
Communication and infrastructure development	100.0	100.0	100.0
Education	97.4	96.3	96.9
Agriculture	92.1	85.2	89.2
Fisheries and livestock	84.2	74.1	80.0
Sports and culture	86.8	77.8	83.1
Forest and environment	84.2	79.8	81.5
Scheme for ultra-poor	89.5	88.9	89.2
Tree plantation	86.8	70.4	80.0
Programs for socially marginalized people	86.8	74.1	81.5
Grants for the disabled persons	86.7	63.0	76.9
Others	26.3	14.8	21.5

If we look at the nature of schemes included in the five-year plans, it is found that the highest priority was given to transport and communication related infrastructure schemes. This is true for both treatment and control UPs. From the survey it comes out that almost all UPs had focused on schemes covering a broad range of sectors which are considered important by the rural households.

4.4.2 Union Parishad Budget

By law, UPs are required to prepare their budget following the formats provided by the government clearly showing their income from different sources and expenditures on different programs and operations of the UPs for a given fiscal year. The budget document should enable the UPs to make a forecast amount of revenue and transfers from different sources to meet their budgeted expenditures. Table 4.13 presents the information related to UP annual budgets and the process of finalizing the budget. From the survey data it appears that hundred percent UPs of treatment and control areas reported that they had prepared their annual budget on time.

Table 4.13: Preparation and availability of UP annual budget

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UPs prepared annual budget timely:			
Yes	85.7	100.0	90.9
No	14.3	-	9.1
ii. UPs held open budget meetings to prepare and finalize the annual budget:			
Yes	42.9	50.0	45.5
No	57.1	50.0	54.5
iii. UPs invited females, poor, and socially marginalized people to participate UP budget meetings:			
Yes	42.9	50.0	45.5
No	57.1	50.0	54.5
iv. Suggestions given by the poor and marginalized people ever accepted in the budget meetings:			
Yes	60.0	-	33.3
No	40.0	50.0	44.4
Don't know		50.0	22.3

It may be noted here that UP Act 2009 has made it mandatory for the UPs to have the annual budget approved by Union Parishad in its general monthly meeting before sending it to the UNO by 31 May of a given fiscal year. The UP Act makes it mandatory for the UP authorities to organize open budget sessions as part of the budget preparation and finalization process. Furthermore, a participatory open budget process is an eligibility requirement for the UPs to receive Union Parishad Governance Project (UPGP) grants.

About 42.9% UPs of the treatment areas and 50.0% UPs of control areas reported that they had conducted open budget meetings in the process of preparing and finalizing the annual budgets. 45.5% UPs also mentioned that they invited different categories of people (females, poor, socially marginalized people etc.) to participate in their open budget meetings. These positive feedbacks from the UPs notwithstanding, the fact that less than five percent of people (poor females marginalized people based on KIIs and FGDs) of such background participated in budget discussions was not encouraging. Local people tend to participate in the open budget meetings to express their opinion on the schemes/projects and also to provide constructive feedbacks. By attending open budget meetings, people can judge how their demands were incorporated in the budget. However, the fact that no systematic minutes are taken and kept in

files there is no way to verify whether the citizens' recommendations from the open budget meetings were indeed reflected in the budget document. It is generally believed that, at the UP level very few eligible people actually participate in the open budget meetings and such meetings are organized just to comply with government leagal requirements.

Table 4.14: Allocation of Funds for Women Development and for Water and Sanitation

Selected component of the annual budget	Treatment area (%)	Control area (%)	All (%)
i. Allocation of fund in UP budgets for women development			
Yes	28.6	33.3	27.3
No	71.4	66.7	72.7
ii. UP has regular programs for clean water supply and sanitation			
Yes	2.6	10.3	5.9
No	97.4	89.7	94.1

The survey indicates that 27.3% UPs allocated funds in the budget for women development and only about 6% UPs allocated funds regularly for water and sanitation. The survey findings indicate that 28.6 percent UPs of the treatment areas and 33.3% UPs of the control areas allocated funds in the budget for women development (Table 4.14).

4.4.3 Sources of Income and Annual Budget

It is known that Union Parishad's budgetary outlays are funded from three sources: (i) grants from the central government budget and from donor supported projects; (ii) 1% of the land transfer tax collected at the local land office which is transferred to UPs to pay for their expenses; and (iii) own sources of revenues including holding tax. From the survey findings, it appears that government contribution in terms of basic block grant constitutes the major part of UPs' budget in both the project and control areas. The sources of UP income are now very limited, particularly after the creation of UZPs. The UZPs are now leasing out all the local hats and bazars, water bodies, ferry ghats etc. These major sources of income were previously collected by the UPs. Holding tax (chawkidari tax) is now the main source of income of the UPs, followed by leasing and rental income from shops and establishments.

Table 4.15: Major Sources of UP Income

Major sources	Treatment area (%)	Control area (%)	All (%)
Holding taxes	86.5	86.2	86.4
Leasing and rental of shops and establishments	11.8	10.4	12.6
Others	2.7	3.4	3.0

As part of the transfers from the budget, UPs also receive grants from the World Bank's Local Government Support Project III (LGSP III). In order to improve performance of the UPs in terms of public financial management and service delivery, LGSP grants are divided into two parts: one basic grant that the UPs get irrespective of their performance and the performance grants which UPs get on the basis of their evaluated performance based on identified criteria.

It may also be pointed here that according to survey results out of the total income of the UPs 54.5% income of the UPs originate from LGSP grants.

Table 4.16: Union Parishads Get Grants Under LGSP III Project

(in 000 Tk.)

Period	Treatment area			Control area		
	Basic grant	Performance grant	Total grant	Basic grant	Performance grant	Total grant
FY2016-17	50733	13857	64590	39108	11378	50486
	(78.5)	(21.5)	(100.0)	(77.5)	(22.5)	(100.0)
FY2017-18	66864	23710	90574	46486	7184	53670
	(73.8)	(26.2)	(100.0)	(86.6)	(13.4)	(100.0)

Note: Figures in parenthesizes indicate percentage.

The performance grants represent about 22% of the total grant for both treatment and control area UPs. It is observed that both block and performance grants were higher in FY17-18 compared with FY16-17, indicating an upward trend. The annual budgetary revenue income and expenditure of the UPs for last two years may be seen in Table 4.17 below. On average, annual budget of the UPs was found to be Tk. 11.5 lac in treatment areas and in the control areas the average amount was Tk. 14.9 lac in FY17-18.

A comparative picture of average annual budget, income and expenditures of the UPs of both in project and control areas for FY17-18 is shown in Table 4.17.

Table 4.17: Annual Average Budget Income and Expenditures of UP FY18

(in 1000 Tk.)

Period	Treatment Area		Control Area	
	Budgetary revenue	Budgetary Expenditure	Budgetary revenue	Budgetary Expenditure
FY2017-18	11687	10391	13377	13098

It is observed from the table that there is not much difference between treatment and control areas in terms of average annual budget allocation or annual income and expenditure pattern. Furthermore, since UPs operate on a hard budget constraint, actual expenditures are always less than the budgeted amounts. It must be noted in this context that UP budgets are generally overstating the actual revenue and spending because the budgetary revenues are always highly optimistic and significant shortfalls are regular phenomena. In the event, as revenues are much lower than budgetary projections, expenditures are also significantly cut in line with the revenue shortfall.

4.4.4 Auditing of UP Income and Expenditures

The importance of auditing for effective local governance is highly recognized, some preliminary information about auditing of UP's income and expenditures were collected in the survey. It appears that three-fourth of UPs in both treatment and control areas had involved local civil society organizations (CSOs) in performing social audits of their budgetary operations.

Table 4.18: Auditing of UP income and expenditures

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UPs have involved CSOs in organizing social audit:			
Yes	14.3	25.0	18.2
No	85.7	75.0	81.8
ii. UP has done audit of income and expenditure for last two years			
Yes	94.9	93.1	94.1
No	5.1	8.9	5.9

UP audits are also performed by the central government through the office of the Comptroller and Auditor General (CAG) of Bangladesh and by the private sector auditors engaged by the World Bank under the LGSP III project. The survey findings suggest that about 94.9% of the treatment areas' UPs and 93.1% of the control areas' UPs had been audited by one of these auditors in the last two fiscal years (i.e. FY16-17 and FY17-18).

4.5   UP Service Delivery

This section presents information about some activities and programs mostly performed by UPs relating to service delivery such as displaying of citizen charter, holding meetings, seminars and rallies for increasing awareness on social problems/issues, providing various essential certificates and trade licenses, coverage of Social Safety Net Programs, supply of clean water and sanitation, testing of arsenic in tube well water etc. Effectiveness of services provided through village courts and UP functions for the welfare of local people are also discussed here.

4.5.1   Citizen Charter and Holding Meetings/Rallies

According to UP Act 2009, it is mandatory for a UP to display a Citizen Charter (CC) that contains the list of services available, conditions and waiting period for receiving such services. For this, UPs have been given support to prepare and install Citizen's Charter at the UP premises with the objective of making UP activities transparent and accountable to the local people.

Table 4.19: UP citizen charter and holding meetings/rallies

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UP prepared and displayed Citizen's Charter for public			
Yes	76.9	79.3	77.9
No	23.1	20.7	22.1
ii. UP arranged meeting/rallies for raising awareness on various service delivery			
Yes	87.2	75.9	82.4
No	12.8	17.2	14.7
Have a plan	-	6.9	2.9

About 80% of UPs in both treatment and control areas informed that they have prepared and put on display the Citizen's Charters in the UP premises. Although very good number of UPs

were found displaying the Citizen's Charter in their premises. This claim by the UPs have been endorsed by 82.1% household respondents in project UPs and 67.9% of the respondents in control UPs, who saw the Citizen's Charters at their UP offices (Table 5.11). Developing community awareness on various UP services delivery is one of responsibilities of the Union Parishad. Field survey data revealed that 87.2 percent UPs in treatment areas and 75.9 percent UPs in control areas arranged meetings on various service delivery issues.

4.5.2 Distribution of Tubewell and Arsenic Testing

Distribution tubewells to the poor people and sinking of tubewells for the local community people and time to time testing of arsenic is one of the important services provided by the UPs.

Table 4.20: Supply of Tubewells and Testing of Arsenic in Tubewell Water by UPs

Supply of tubewell and arsenic testing	Treatment area (%)	Control area (%)	All (%)
i. Distribution of tubewells for drinking water			
Yes	92.3	96.6	94.1
No	7.7	3.4	5.9
ii. UP has ever tested arsenic in tubewell water			
Yes	69.2	58.6	64.7
No	30.8	41.4	35.3

The survey findings indicate that 92.3% UPs in the treatment areas and 96.6% UPs in the control areas have distributed tubewells for drinking water of the common people at the community level. About 65% UPs at least once tested arsenic in tubewell water in their jurisdictions. However, the UP authorities also noted that it was not part of their regular program of activities and they also observed that arsenic testings were generally done by the Public Health Engineering Department (PHED) of the government.

4.5.3 SSNP and Village Court

Social Safety Net Programs (SSNP), including distribution of reliefs and different kinds of allowances (VGD, VGF, TR, etc.), are very important services provided by the UPs. Common people are aware of these functions of the UPs. The following table shows various kinds of allowances and the number of beneficiaries at UP level.

Table 4.21: Percent of UPs Distributing/Providing Various Types of Social Safety Net Services and the Beneficiaries

Type of social safety net services	Treatment area (%)		Control area (%)		All (%)	
	Yes (%)	No. of beneficiaries	Yes (%)	No. of beneficiaries	Yes (%)	No. of beneficiaries
Old age allowance	89.7	9529	79.3	6450	85.3	15979
Disabled allowance	87.2	2220	72.4	1752	80.9	3972
Window allowance	89.7	4460	75.9	2401	82.3	6861
Freedom Fighter allowance	41.0	156	41.4	158	41.7	312
Maternity allowance	89.7	2651	41.4	1506	83.8	4157
VGD/VGF/TR	89.7	202617	86.2	22,598	88.2	225215
Others	12.8	206207	6.9	5	10.3	216212

Note: yes (%) means percentage of UPs.

It is observed from the above table that all the programs were running in the UPs of both treatment and control areas. In general, it is observed that the proportion of UPs in treatment areas providing all kinds of services were higher than the UPs of the control areas. In terms of number of beneficiaries under various social safety net programs, treatment UPs were found to be relatively higher as compared to the UPs in control areas.

Table 4.22: Performance of Village Courts

Issues	Treatment areas		Control areas		All	
	FY16-17	FY17-18	FY16-17	FY17-18	FY16-17	FY17-18
No. of case recorded	887	1367	714	968	1601	2335
Average no. of case recorded per UP	22.7	35.0	24.6	33.4	23.5	34.3
Percent of case disposed off	88.1	86.3	54.6	89.0	69.7	87.4
No case recorded/ not applicable	22	14	0	6	22	20

Establishment of village court at UP level is one of important step for good governance by ensuring speedy trial and resolution of disputes. Information were collected regarding the performance of the village courts through the UP survey. It was found that village courts primarily provide arbitration-type services and more people were turning to village courts in FY18, compared with the previous year. It appears from the tabulated survey that a total number of 1367 of cases were recorded of which 86.3% were disposed of during FY17-18 in the treatment area UPs. The number of cases disposed-off in the control area UPs were less at 54.6% in FY16-17, but improved markedly to 89% in the following year. It was also found that village courts in the UPs have been in existence for quite some time, but they were mostly non-functional.

4.6 Performance of UP

Information were collected on certain activities performed by the UPs to assess their performance through the Union Parishad Survey. The survey results indicate that under the LGSP III program, on average 11.5 projects were implemented by the UPs in treatment areas and 8.5 projects were implemented by the UPs in control areas in FY18. In terms of pace of project implementation, all UP authorities felt that project implementation under LGSP were either very good or good. The percentage of UPs with very good implementation rate was somewhat higher in the treatment areas compared with control areas.

Table 4.23: Implementation of LGSP Supported Projects and Poverty Alleviation Programs, FY18

Item	Treatment area (%)	Control area (%)	All (%)
i. Progress of implementation of LGSP supported projects:			
No. of projects implemented	450	247	697
Average no. of projects implemented:	11.5	8.5	10.2
Very good	53.8	41.4	48.5
Good	46.2	58.6	51.5
Neither good nor bad	-	-	-
Bad	-	-	-
ii. Progress of implementation of LGSP supported poverty alleviation program:			

Item	Treatment area (%)	Control area (%)	All (%)
Average no. of poverty alleviation program implemented per UP	10	8	9
iii. Performance of implementation of LGSP supported projected:			
Satisfactory	82.1	58.6	72.1
Barely satisfactory	17.9	37.9	26.5
Not satisfactory	-	3.4	1.5

The average number of poverty alleviation programs implemented by the UPs in treatment areas was 10 (ten) as compared to 8 (eight) programs implemented by the UPs in control areas.

Table 4.24: Types of Scheme Implemented for Women Development and Climate Change Adaptation

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Any scheme implemented for and by women at the UP level:			
Yes	87.2	79.3	83.8
No	10.3	17.2	13.2
Don't know	2.6	3.4	2.9
ii. Any scheme implemented for CCA or DRM by UPs:			
Yes	14.3	-	9.1
No	85.7	75.0	81.8
Don't know	-	25.0	9.1

More than 87% UPs in treatment areas and 79% UPs in control areas reported that they were implementing schemes for and by women at the UP level. 12% of UPs did not undertake any schemes for women and an additional 2.9% UPs did not even know about any scheme implemented for and by women at their UPs. Only 14.3% project UPs in treatment areas mentioned that they implemented schemes relating to climate change adaptation (CCA) or disaster risk management (DRM) at their UPs. Overall 81.8% UPs mentioned that they did not implement any scheme on CCA or DRM in their UPs. A small proportion 9.1% of UPs did not know about implementation of CCA or DRM scheme at their Unions.

4.6.1 Formation of UDMC and Development of Infrastructure

The survey findings indicate that 15.4% UPs of treatment areas and 13.8% UPs of control areas formed Union Disaster Management Committee (UDMC). On average 3.2 meetings were held per Union in treatment UPs and 1.9 meetings were held in control UPs.

Table 4.25: Formation of UDMC and development of infrastructure

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Formation of Union disaster management committee (UDMC)			
Yes	15.4	13.8	11.7
No	84.6	68.2	85.3
ii. No. of meetings held of UDMC:			
Average number of meeting held per Union in performance of UDMC	3.2	1.9	2.1
Performance of the UMDCs: Good	15.2	16.0	15.5
Neither good nor bad	75.8	76.0	75.9
Bad	9.1	8.0	8.6
iii. Development of infrastructure as per needs of the local people:			
Yes	92.3	82.8	88.2
Not sure	5.1	3.4	4.4
Don't know	-	13.8	5.9
No comment	2.6	-	1.5

In this context, 15.2 percent UPs of the treatment areas and 16.0 percent UPs of the control areas mentioned good performance of the UDMC. But overall 76.0 percent UPs observed that performance of the UDMCs were neither good nor bad and 8.6 percent mentioned bad performance.

As regard development of infrastructure, as high 92.3% UPs of treatment areas and 82.8% UPs of control areas informed that infrastructures were being developed as per needs of the local people. Only 4.4% UPs mentioned that they were not sure about that.

4.7   Perception of UP Authorities about Service Delivery and Governance

The survey data reveal that 42.9% UPs of the treatment areas and not a single UP in control areas noted that they was very aware and effective regarding service delivery and governance issues at the UP level. On the other hand, overall 63.6 percent UPs were neither agreed nor disagreed about their effective service delivery and governance.

Table 4.26: Opinion of UPs about Service Delivery and Governance

Issues	Treatment area (%)	Control area (%)	All (%)
i. Opinion of UPs about awareness and effective regarding service delivery and governance:			
Agreed	42.9	-	27.3
Neither agree nor disagree	57.1	75.0	63..6
Disagree	-	25.0	9.1
No comment	-	-	-
ii. Opinion about overall performance of UP regarding governance and service delivery:			
Very good	51.3	41.4	47.1
Neither good nor bad	46.2	51.7	48.5
Not good	2.6	6.9	4.4

About 51.3% UP authorities in the project areas and 41.4% UPs in the control areas observed that governance and service delivery of the UPs were very good. Overall 48.5% UP authorities were of the view that governance and service delivery in their UPs were neither very good nor bad, indicating that there is scope for further significant improvement in governance and service delivery.

Table 4.27: Opinion About Tree Plantation and Degradation of Soil/Land

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Opinion of UPs about areas of tree plantation at UP level in the last 10 years:			
Total area (Acre)	277	550	827
Average area of tree plantation per Union (in acres)	7.1	19.0	12.2
ii. Opinion of UPs on extent of degradation of land through river erosion, flooding, brick fields, removal of top soil etc:			
Average percentage of land	11.4	9.4	10.5

The treatment UPs on average brought 7.1 acres of land under tree plantation while for the UPs in control areas the average was 19 acres. Land degradation and land loss are major problems due to both man-made and natural calamities. According to the UP authorities, about 10.5% land had been degraded due to the various factors including river erosion, brick fields, removal of top soil etc.

4.7.1 Co-ordination Between UP and UZP

A certain level of coordination is necessary between UP and UZP for undertaking and implementation of various development schemes/project for the welfare of local people. These two tiers of local government now play important roles in rural development as well as the balanced development of the country. In the survey, UPs were asked about co-ordination between UPs and UZP in performing their duties. More than 92% UPs in treatment areas and 96.6% UPs in control areas observed that they do coordinate with each other, as appropriate/necessary. About 6% UPs mentioned that there was no coordination in real sense.

Table 4.28: Opinion About Coordination of Work between UP and UZP

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Coordination of work between UP and UZP:			
Yes	92.3	96.6	94.1
No	7.7	3.4	5.9

The following issues were flagged by the UP authorities during the survey which may be considered for improvement /increased coordination between UPs and UZPs:

- Each local institution should perform their functions and duties as per existing rules, regulations, circulars etc.

- Formal and informal meetings and visiting of UZP and UP offices by the functionaries are to be increased
- UPs should cooperate and take advices from the UZPs in implementing the schemes.
- UZPs should not influence UPs to carry out programs which are of no interest to the UPs.
- Relationship between the functionaries of UPs and UZP are to be uphold.

CHAPTER 5

ASSESSMENT OF UPAZILA PARISHAD GOVERNANCE

As a part of baseline survey of EALG project, a "Upazila Parishad (UZP) Survey" was also conducted in a total of 40 UZs from 16 districts of 8 administrative divisions of which 24 UZPs were from treatment or project areas and the remaining 16 UZPs were from control areas so that a comparison can be made. Due to functions and governance structure of the UZPs, quantitative and qualitative information were collected from various sources including UZP chairman, UZP vice-chairman, women vice-chair, Upazila Nirbahi Officer (UNO), office assistant/head clerks etc. by using structured survey questionnaires. Qualitative information was also collected in selected UZPs through FGDs and KIIs. Data collection for this survey was a bit challenging mostly due to non-availability of appropriate respondents and the quality/reliability of the data/information. The short comings of this survey have been briefly explained as limitations of the baseline survey in Chapter 2, section 2.7.

This chapter presents and analyzes various aspects of UZP functions, its governance structure and service delivery on the basis of the baseline survey. Findings of the quantitative survey data are discussed simultaneously with the qualitative information received through FGDs/KIIs and other means in order to put together a comprehensive picture of UZP activities including its overall governance and service delivery.

5.1 Level of Education and Training of UZP Functionaries

Sixty percent UZP chairmen had graduate degree and above levels of education followed by SSC/HSC or equivalent (32.5%). Training always plays a vital role to enhance the institutional and individual capacity for effective and efficient management of service delivery. The purpose of providing general and specialized trainings is to help the UZP functionaries in enhancing their understanding of legal, administrative and institutional functions. Almost all UZP functionaries received training during the last two fiscal years (i.e. in FY17 and FY18). It appears from the survey that, there are significant differences between chairmen and women vice chairmen and between treatment and control area UZPs in terms of receiving trainings.

Table 5.1: Level of Education and Major Types of Training Received by UZP Functionaries

	Treatment area (%)		Control area (%)		Total (%)	
i. Level of education of UZ chairmen:						
Below SSC	12.5		-		7.5	
SSC/HSC and equivalent	33.3		31.3		32.5	
Degree and above	54.2		68.8		60.0	
ii. UZP functionaries in office:						
Chairman	100.0		100.0		100.0	
Women vice chair	91.7		93.8		92.5	
Vice-chairman	100.0		100.0		100.0	
iii. Major types of training received by UZP Chairmen and women vice-chairmen	Chairman	Women vice-chair	Chairman	Women vice-chair	Chairman	Women vice-chair
Standing committee	71.4	-	100.0	-	85.5	-
Finance and office management	66.7	-	50.0	33.3	58.3	16.7
Upazila manual of LGD	60.0	14.3	100.0	25.0	75.0	19.8
Gender related issues	50.0	28.6	-	28.6	28.6	28.6
Early marriage	-	28.6	-	28.6	-	28.6
Budget and planning	87.5	-	50.0	-	68.7	-
Women Development Forum (WDF)	60.0	28.6	50.0	28.6	55.0	28.6
Sustainable Development Goals (SDG)	100.0	-	50.0	-	75.0	-
ADP	100.0	50.0	-	-	50.0	50.0
LGSP	-	-	50.0	-	25.0	-
Dowry	50.0	33.3	-	-	41.2	11.7
Violence Against Women and Children	50.0	16.7	-	-	35.0	11.4
Health and education	50.0	14.3	-	-	35.0	9.0

The table above presents an overview of different types of training received by the UZP chairpersons and women vice-chairs. It appears that 28.6% of women vice-chairs received training on gender related issues, early marriage, and women development forum (WDF). There appears to be significant scope for training for elected representatives on the wide ranging issues they need to deal with. The need for training increases with every election cycle as new chairpersons and vice chairs are elected in many jurisdictions.

5.2   Availability of Secondary Legislative Instruments in UZP and Awareness

It is observed that UZP manual, UP operational manual and budget preparation guideline etc. were available in all treatment and control UZ offices. RTI Act and procurement guidelines were also available in all sample UZPs except a few control UZPs. About 29% UZPs in treatment areas reported that they had the guideline for preparation of annual plan against 25.0% in control areas.

Table 5.2: Availability of Secondary Legislative Instruments at UZP Office and Having By-Laws

Type of Legislative instruments	Treatment area (%)	Control area (%)	Total (%)
i. Legislative instruments:			
UZP manual	85.7	75.0	81.8
UP operational Manual	71.4	50.0	63.6
Guideline for budget preparation	71.4	25.0	54.5
Guideline for preparation of 5 year plan	71.4	-	45.5
Guideline for preparation of annual plan	28.6	25.0	27.3
RTI Act	57.1	25.0	45.5
Tendering guideline	42.9	25.0	36.4
Procurement guideline	71.4	75.0	72.7
Planning book	28.6	50.0	36.4
Others	14.3	-	9.1

5.2.1   Awareness of WDF Members on LG Acts/Rules

The UZP Survey finds that in both treatment and control areas, the members of Women Development Forum were aware of various Acts/Rules related to UZP while the overall rate of awareness is seen somewhat higher in treatment areas compared to that in control areas.

Table 5.3: Awareness of WDF Members About Government Acts/Rules

Local government acts/rules	Treatment area (%)	Control area (%)	Total (%)
UZP Act 2009	42.9	25.0	36.4
UZP Act 2011 Amendment	28.6	25.0	27.3
UZP Budget Act 2010	14.3	25.0	18.2
UZP Revenue Utilization	14.3	-	10.0
UZP Manual	28.6	-	20.0

5.3   Formation of Standing Committees and Holding General Meetings

UZ committees are important for making UZP more effective and efficient in delivering public services. According to Upazila Act 2011 (amended), committees have to be formed with vice-chairs as the chair persons of the committees. This sub-section presents various aspects of UZ Standing Committees (SC) such as formation of committees, number of meetings held, decision making by the Committees, and their implementation. The survey result indicates that about 91 percent UZPs has formed Standing Committees.

Table 5.4: Formation of Standing Committee

Formation of Standing Committee	Treatment area (%)	Control area (%)	Total (%)
Yes	85.7	100.0	90.9
No	14.3	-	9.1

Table 5.5: Information about UZ Standing Committees

Name of committees	% of UZP has formed SC		SC headed by female		Average no. of meetings held in last year		Avg. no of decisions taken/meeting		Percent of decisions implemented	
	T	C	T	C	T	C	T	C	T	C
1. Law and order	100.0	100.0	-	-	3.6	3.0	5.9	3.9	78.0	79.0
2. Infrastructure development	100.0	100.0	-	-	2.8		5.3	3.1	92.0	66.0
3. Agriculture and irrigation	99.2	98.9	20.0	12.5	2.7	3.0	3.7	2.1	79.0	79.0
4. Secondary and madrasa education	100.0	100.0	40.0	25.0	2.5	3.0	4.1	2.2	83.0	82.0
5. Primary and mass education	100.0	100.0	75.0	62.5	2.6	2.7	3.6	2.1	70.0	79.0
6. Health and family welfare	100.0	100.0	80.0	75.0	2.7	2.9	3.6	1.9	66.0	69.0
7. Youth and Sports	100.0	100.0	40.0	37.5	2.2	2.8	3.0	2.1	71.0	74.0
8. Women and children development	100.0	100.0	80.0	75.0	2.6	2.7	3.9	2.3	77.0	67.0
9. Social welfare	95.7	93.8	20.0	25.0	2.6	2.8	3.7	2.0	67.0	74.0
10. Freedom fighter	100.0	100.0	20.0	25.0	2.6	2.7	3.9	2.5	82.0	66.0
11. Fisheries and livestock	95.7	100.0	60.0	62.5	2.3	2.5	3.6	2.3	69.0	67.0
12. Rural development and cooperatives	97.4	93.8	80.0	75.0	2.7	2.7	3.7	2.4	77.0	70.0
13. Culture	97.4	100.0	60.0	62.5	2.1	3.0	3.1	1.9	71.0	74.0
14. Forest and environment	97.4	93.8	-	12.5	2.3	2.8	3.4	2.6	77.0	40.0
15. Monitoring and controlling of market price	100.0	93.8	-	12.5	1.7	2.2	1.5	2.1	26.0	49.0
16. Finance, budget planning and mobilization local resources	95.7	100.0	80.0	62.5	1.9	2.6	2.1	1.2	36.0	29.0
17. Public health, sanitation and supply of clean water	100.0	-	52.2	50.0	2.0	3.0	2.3	2.2	45.0	40.0

Note: T denotes treatment areas and C denotes control areas.

Table 5.5 presents detailed about the formation of the standing committees. It is observed that SCs were formed in almost all (86%) UZPs in treatment areas and hundred percent in control areas. Only in a few UZPs comprising less than 15% of treatment UZPs some less important committees were not formed.

While all the SCs are to be headed by vice chairs, the proportion of female vice chairs was high/respectable, generally ranging between 21% to 87%. It is also observed that, in about 80% cases the chairpersons of two committees, namely women and children development and health and family welfare were women. The SCs are supposed to meet at least once in every two months, i.e. at least 6 times in a year (as per the UZP Act). The survey findings indicate that some of the committees met twice and most of the committees met only once during last year (FY18). In terms of holding SC meetings, treatment UZPs' performance was relatively better than the control UZPs. It is also observed from the survey results that in treatment areas, one or two decisions on an average were made in the meetings and about 68.8% of these decisions were implemented during the period. It is interesting to notice that communication and infrastructure development committees are more vibrant/active than other committees in terms of number of decisions taken and their implementation due to significance attached to these activities in the UZP budgets and in their operations.

5.3.1 TORs for UZP Committees Approved and Introduced

The survey of UZPs indicated that only 9 percent of the UZPs have approved Terms of References (TORs) for all the SCs. This is obviously a weakness and ignorance on the part of UZPs that more than 90 percent of the UZPs do not have approved TORs for all the SCs to function properly. It is observed form the table that as high as 63.6% UZPs in the whole sample area reported that TORs of all and some committees were approved and introduced in the regularity framework. The difference between the treatment areas and control areas was very large.

Table 5.6: TORs of Upazila Committees Approved and Introduced into Regulatory Framework

	Treatment area (%)	Control area (%)	All (%)
Approving of TORs and introduced in regulatory framework:			
Yes, all the committees	14.3	-	9.1
Yes, for some committees	42.9	75.0	54.5
Not at all	42.9	25.0	36.4

The main reasons for not approving the TORs were lack of initiatives on the part of the UZPs, and attributable to factors like not properly preparing the draft TORs and not formally placing the drafts in appropriate meetings for approval.

5.4   Holding UZP Meetings

The survey findings indicate that monthly meetings of UZPs were held regularly in only about one quarter of UZPs with very little difference between the treatment and control areas. About 73% respondents reported that they had prepared the relevant working papers for the meetings. The irregularities in holding the meetings and the virtual absence of meeting agenda and minutes of the meetings casts doubts about the quality of discussions held during the meetings and the follow up on implementation of the decisions taken during the meetings. In many instances, the meetings are held without formal agenda and there is no formal follow up mechanism.

Table 5.7: Holding of UZP Meetings

Characteristics	Treatment area (%)		Control area (%)		All (%)	
i. UZP meetings held:						
Yes	28.6		25.0		27.3	
No	71.4		75.0		72.7	
ii. Working papers prepared for the meeting:						
Yes	85.7		50.0		72.7	
No	14.3		50.0		27.3	
iii. Agenda of the meeting prepared:						
Yes	85.7		100.0		90.9	
No	14.3		-		9.1	
iv. Who calls UZP meeting:						
UZ chairman	75.0		81.3		77.5	
UZ vice chairman	-		6.3		2.5	
Women vice-chair	25.0		12.5		20.0	
Other (UNO and others)						
v. Number of general meetings held in each year:	2016-17	2017-18	2016-17	2017-18	2016-17	2017-18
Average number of meetings held per Upazila in a year	12	12	12	12	12	12

Upazila Chairpersons called most of the UZP meetings (78%) and the proportion of UZP Chairmen calling such meetings is somewhat higher for the control UZPs (81.3%). Women vice-chairs also called another 20% of the meetings, which is respectable. The incidence of

women vice-chairs calling the meetings was particularly higher in treatment UZPs (25%). The remaining few meetings were called by UZ vice chairman.

From the table it is appeared that the average number of meetings held per year was as high as 12 during FY17 and FY18. There was no difference in terms of number of meetings between treatment areas and control areas. It is learnt from the survey that generally the UNOs called the meetings in consultation with the UZP chairmen. The irregularities in holding the meetings, lack of record keepings on the discussions held during the meetings, and their implementation status are generally considered to be the major issues hindering the evaluation of the impact of these meetings.

5.5   Development Plan, Budget, Income, Expenditure and Auditing

This section provides information about annual and five-year development plan, annual budget and auditing of annual income and expenditures of the sample UZPs. The major sources of income and heads of expenditures of UZPs, the size of annual development plans along with allocation of funds, SDG prioritization in the budget etc. are also discussed in this section.

5.5.1   Annual Development Plan and Five-Year Plan

All UZPs claimed that they have the guideline for preparation of annual development plan. It may be noted here that the UZP manual clearly envisaged that the UZPs are required to prepare five year plans and separate annual development plans. The legal framework also suggests that annual plans are to be prepared based on the five-year plans and there should not be changes or major deviation without valid reasons between these two documents (Upazila Parishad Act 2009, amended in 2011).

Table 5.8: Preparation of annual development plan and five year plan

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UZP have annual development plan:			
Yes	57.1	50.0	54.5
No	42.9	50.0	45.5
ii. UZP have planning and budgeting guidelines:			
Yes	42.9	25.0	36.4
No	57.1	75.0	63.6
iii. UZP officials given training on development plan and budgeting guidelines:			
Yes	28.6	25.0	27.3
No	71.4	75.0	72.7
iv. UZP has prepared five-year development plan:			
Yes	42.9	75.0	54.5
No	57.1	25.0	45.5
v. Reasons for not preparing FYP:			
Lack of skilled personnel	66.7	100.0	83.3
Others	33.3	-	16.7

Most treatment and control UZPs (together 54.5% of respondents) claimed to have prepared annual development plans for their respective UZPs (Table 5.8). Reviews of these documents indicate that these are not comprehensive development plans, rather can be characterized as a stock taking of annual demand lists of different UZPs. This may be a reflection of capacity constraint on the part of UZPs and lack of understanding about the characteristics of an annual development plan. Less than half of UZP officials have received training on preparation of development plans and application of budgeting guidelines and may be due to this reason, it is difficult for them to prepare a detailed annual development plan. Most UZPs also had planning and budgetary guidelines with higher compliance at treatment UZPs (71.4%) compared with control area UZPs (60.4%).

Most UZPs (as high as 54.5%) in the total sample area had prepared five-year plans, with even higher compliance rate (75%) for control UZPs. Review of five-year plans indicate that these documents do not meet the standards of five five-year plans but merely compilations of projects which could be implemented over the medium term. Lack of skilled man power (83.3%) and other factors including lack of resources (16.7%) were mentioned by the UZPs as the main reasons for not preparing he five-year plans and meeting the standards for such documents.

The number of schemes/projects with allocation of fund by type of schemes in the annual development budget for FY18 is shown in Table 5.9. The highest allocation of fund was for universal primary eradication and eradication of hunger and poverty followed by universal primary education.

Table 5.9: Information about Annual Development Plan of Sample Upazila, 2017-18

Type of scheme/project	Treatment area		Control area		All	
	No. of schemes	Total allocation (000Tk.)	No. of schemes	Total Allocation (000Tk.)	No. of schemes	Total Allocation (000Tk.)
SDG localization	75	11693	16	1862	91	13555
Eradication of hunger and poverty	51	6531	41	64105	92	70636
Universal primary education	91	176157	34	26122	125	132279
Women empowerment, gender equality	10	271	7	1853	17	2125
Reduction of child and maternal mortality	12	1129	6	1216	18	2396
Development of reproductive health	8	575	5	1015	13	1590
Controlling HIV/AIDs, malaria and other diseases	21	1573	13	795	34	2368
Global partnership for development	12	3846	25	10176	37	14022
Average no. of scheme and allocation to UZs	12.2	280.6	9.2	4466.4	15.0	6288.7

Note: Row-wise total allocation may be different due to independent rounding

5.5.2 Preparation of Annual Budget

The survey results indicate that 50 percent of the UZPs in the control areas have prepared their budget each year and the corresponding figure for treatment areas was much higher at 83.3

percent. It may be noted that the 2009 Upazila Act requires the UZPs to prepare budgets for their fiscal operations. The UZP budgets are prepared with the participation of officials of the line ministries/departments and active participation UP chairmen, and the budgets are to be approved in UZP meetings.

Table 5.10: Preparation of Annual Budget

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UZP prepares budget each year:			
Yes	83.3	50.0	70.0
No	16.7	50.0	30.0
ii. Reasons of not preparing annual budget:			
Lack of skilled manpower	40.0	50.0	45.0
No instructions from upper level	40.0		45..0
Other	20.0	50.0	10.0
iii. Appropriate procedures were followed in budget preparation:			
Yes	57.1	50.0	54.5
No	42.9	50.0	45.5
iv. UZP releases budget timely:			
Always on time	14.3	25.0	18.2
Yes, but not timely	42.9	25.0	36.4
Does not	42.9	50.0	45.5
v. Opinion about engaging skilled personnel for preparation of annual budget:			
Yes	71.4	75.0	72.7
No	28.6	25.0	27.3
vi. Holding budget meeting at UZP:			
Yes	57.1	-	36.4
No	42.9	100.0	63.6
vii. Who attended the meetings:			
a) Members/official of UZP	61.9	64.3	62.9
b) Elite persons and CSOs	33.3	28.6	31.4
c) Selected male and female persons	4.8	7.1	5.7

It is indicated form the table that 50% of the control UZPs and 57.1% of treatment UZPs claimed to have followed the standard procedures for budget preparation along the lines mentioned in the UZP Mannal. The government has formulated rules prescribing the procedures to be followed in making the UZP budget. According to the rules, known as Upazila Parishad Budget Rules 2010 (Formulation and Approval), the budget is to have two parts-namely revenue account and development account. When respondents were particularly asked about the whole procedure, the responses did not completely match with their claims.

Only 18.2% of UZPs in the sample areas submitted their budgets on time, despite clear legal obligations for doing so on time for all UZPs. About 36% to 46% of UZPs did not submit their budgets timely or did not submit at all. The UZPs which did not prepare annual budget on time, noted the lack of skilled personnel as the main reason for the delay. As high as 73% of UZPs underscored the importance of engaging skilled personnel for preparation of annual budgets. It is also learnt during the survey that there was no specific person or team designated to prepare annual budgets of the UZPs. Various UZP and other officials are involved with the budget

preparation process. For example, UZP chairman, vice chairman, UNO, office assistant/clerk, UZ engineer or LGED accountants, PIO were involved in the preparation of UZP budgets.

As regard holding of budget meetings, only 36.4% of both the treatment and control UZPs mentioned that they held budget meeting with participation of UZP members, elite persons and CSOs and other locally important male and female persons.

5.5.3   Budget Analysis of UZP

Open budget and participatory planning can play important roles in improving resource allocation and local development. Only 9.1% of sample UZPs mentioned that open budget and participatory planning mechanisms in UZP Act were piloted, adapted and replicated in the UZP budget preparation process. About four-fifth (81.8%) of the UZPs not yet adopted and replicated open budget and participatory planning mechanisms.

Table 5.11: Annual Budget Preparation

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UZP Act piloted, adapted and replicated in UZPs			
Yes	14.3	-	9.1
Not yet	71.4	100.0	81.8
Don't know	14.3	-	9.1
ii. Integration of at least 3 line departments' budget with UZP budget:			
Yes	14.3	25.0	18.2
No	85.7	75.0	81.8
iii. UZP received local planning and budgets of at least 3 line departments for monitoring:			
Yes	14.3	-	10.0
Not yet	57.1	100.0	70.0
Don't know	28.6	-	20.0
iv. SDG have given priority in the budget:			
Yes	28.6	75.0	45.5
No	71.4	25.0	54.5

The survey findings indicate that 14.3% of treatment UZPs have integrated at least three line departments/ministries' budgets with UZP budgets. However, the integration level was virtually absent in control areas. This shows that the three line departments have not been fully transferred to the UZPs. Incorporation of line department budgets in the UZP budget is important for making UZP budget a complete document. Nearly 46% UZPs have given priority to sustainable development goals (SDG). However, there was wide difference between the treatment and control UZPs.

Table 5.12: UZP Revenue, Expenditure and PFM Issues

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. UZP improved expenditure against the budget:			
Yes	14.3	-	9.1
Progressing	28.6	25.0	27.3
Not yet	57.1	75.0	63.6

	Treatment areas		Control areas	
ii. UZP prepared public financial management (PFM) manual and piloted:				
Yes	-		-	-
Under Progress	-		-	-
Not yet	71.4		75.0	72.7
Don't know	28.6		25.0	27.3
iii. UZP reconciles their accounts regularly:				
Yes, regularly	28.6		25.0	27.3
Yes, not regularly	28.6		75.0	45.5
No	28.6		-	18.2
Don't know	14.3		-	9.1

Only less than 10 percent (9.1) of the UZPs reported that they improved expenditures against the budget. Preparation and use of Public Finance Management (PFM) in UZP fiscal operations are important instruments to improve and maintain proper finance management system at the UZP level. It is disappointing to note that not a single UZP claimed to have prepared PFM manuals and piloted that in their fiscal management operations. Some gains notwithstanding, it is disappointing to observe that most of the UZPs have not yet started the preparation of PFM manuals and piloting or even did not know anything about this issue.

Reconciliation of UZP accounts is very important in terms of transparency and accountability. About 28.6% of treatment UZPs and 25% of the control UZPs reconciled their accounts regularly. Another 45.5% of UZPs in the whole sample area claimed to reconcile their accounts but not on a regular basis as mandated by law. It is disturbing to note that more than 28% of UZPs in treatment areas did not reconcile their accounts.

5.5.4 Source of Revenue Income, Expenditure and Auditing

Analyzing the average size of annual budgets of the treatment and control UZPs, it is found that the average annual budget of treatment UZPs was higher than that of control UZPs.

Table 5.13: Sources of Revenue/Income and Major Heads of Expenditure

(in 000 TK.)

Characteristics	Treatment areas		Control areas	
	FY16-17	FY17-18	FY16-17	FY17-18
i. Annual budget of UZP (%):				
<50 Lac TK.	37.5	50.0	25.0	31.2
50.0-150.0	16.7	8.4	31.2	25.0
150.1-200.0	8.3	8.3	-	12.5
200.0+	37.5	33.3	43.8	31.3
ii. Major head of average revenue income (%):				
Income from house/ office rent	1101 (2.3)	1213 (2.4)	1596 (6.1)	1691 (5.9)
Lease income from hat-bazar, water bodies, ferry ghat etc.	5619 (11.4)	5696 (11.6)	4985 (19.2)	5462 (19.1)
All kinds of taxes	8262 (16.8)	15294 (31.1)	4375 (16.9)	9285 (32.5)
Registration fees and others	3215 (6.5)	4832 (9.8)	5590 (21.6)	2550 (8.5)
Development grants from GOB	31055 (63.3)	22031 (44.9)	9360 (36.1)	9574 (33.5)
Total income	49252 (100.0)	49066 (100.0)	25906 (100.0)	28562 (100.0)
iii. Major heads of expenditure (%):				

	7090 (45.2)	8872 (45.3)	5287 (38.8)	5680 (17.0)
Revenue expenditure (wage, salary, allowance, operational cost, utility bills etc.)	7090 (45.2)	8872 (45.3)	5287 (38.8)	5680 (17.0)
Development expenditures (construction, repairs, etc.)	8602 (54.8)	10702 (54.8)	8325 (61.2)	27816 (83.0)
Total expenditure	15692 (100.0)	19574 (100.0)	13612 (100.0)	33496 (100.0)

Note: Figures in parenthesis indicate percentage. Totals may slightly differ due to independent rounding.

From the budgetary table it is revealed that the most important source of earning for UZPs is transfers from the central government. come from lease of hats/bazars/water bodies/ferry ghats etc. which constitute about 45 percent of the total revenue income followed by renting (%) of houses (commercial/residential). The sources of revenue collection by UPs (rental income, lease income and all kinds of taxes) was not significant as compare to total revenue.

These main two sources are reported by all Upazilas. Registration fee and others are third source of income for some Upazilas. On the other hand, major revenue expenditure heads are honorarium of UZP functionaries and salary of Upazila staffs (% of the total expenditure). Revenue income has been found to be _% of the development expenditure (ADP) in 2016-2017 and _% in 2017-2018. Thus revenue-ADP ratio remained almost the same in 2016-2017 and 2017-2018 indicating there is no change in revenue generation in sample Upazilas.

Table 5.14: Auditing of Annual Income and Expenditure

	Treatment area (%)	Control area (%)	All (%)
Auditing of annual income and expenditure:			
Yes	41.7	62.5	50.0
No	58.3	37.5	50.0

About half of the UZP budgets are reported to have been audited during the past two fiscal years (FY17 and Fy18. The incidence of audits is much higher in control UZPs (62.5%) compared with treatment area UZPs (41.7%). At this pace on average all UZPs would be audited at least once in every four years.

5.6 Transparency, Accountability and Right to Information

This section provides information mainly on transparency, accountability and right to information of the citizens both in treatment and control UZPs on the basis of the survey findings. These issues are very important in terms of ensuring good governance and improved service delivery at the gross root level.

5.6.1 Citizen Charter (CC)

The survey of UZPs found that all control UZPs had prepared CC and the proportion of UZPs in treatment areas having CCs is somewhat lower at 87.5% since 3 UZPs did not prepare CCs. The three UZPs not having CCs noted three different reasons for not having the Charters: under preparation; not given any importance to it; and intend to prepare but not yet done so. On the other hand, all 16 control UZPs had CC.

Table 5.15: Availability of Citizen Charter

		Treatment area		Control area		All	
		Number	Percent (%)	Number	Percent (%)	Number	Percent (%)
i)	Have citizen charter (CC):	24	100.0	16	100.0	40	100.0
	Yes	21	87.5	16	100.0	37	92.5
	No	3	12.5	-	-	3	7.5
ii)	Reasons for not preparing CC:						
	Not yet prepared	1	33.3	-	-	-	33.3
	Not given importance	1	33.3	-	-	-	33.3
	Did not think necessary	-	-	-	-	-	-
	Under preparation/process	1	33.3	-	-	-	-
	Other	-	-	-	-	-	33.3

5.6.2 Rights to Information (RTI)

Rights to information (RTI) Act has been enacted in order to make public service accountable and transparent. Easy access to information is also a pre-condition for transparency and strengthening freedom of speech at all levels.

Table 5.16: Right to Information (RTI) and Its Implementation at UZP Level

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. An officer has assigned to provide information:			
Yes	83.3	81.3	82.5
No	16.7	18.8	17.5
ii. Reasons for not designating an officer:			
Did not know that an officer has to be appointed	50.0	100.0	71.4
Did not think it necessary	-	-	-
No any instructions from LGD	25.0	-	14.3
Other	25.0	-	14.3
iii. Provision of getting information in RTI Act:			
Yes	100.0	100.0	100.0
No	-	-	-
iv. No. of applications received for getting information during last year (2017-18):	413	257	670
Average/UZP	17.2	16.1	16.8
v. No. of applicants received information last year (2017-18):	383	203	586
Percent of applicant received information	92.7	79.0	87.4

In 82% of sample UZPs an officer was designated for RTI purposes. There was not much difference between treatment and control UZPs in this respect. It is learnt that Upazila Statistical Officer was mostly designated for this task. The UZPs which did not designate any officer for this purpose attributed this situation t a number of factors like: (i) the authorities did not know that an official must be designated as the RTI contact person; (ii) they did not receive or seen any instruction from LGD; (iii) other unspecified reasons.

As regard RTI performance, it is observed on average about 17 applications were received per UZP in the most recent year, out of which 87% requests were disposed off in the year.

5.7   Transparency and Accountability

This section is highlighting certain issues on transparency and accountability in functioning the UZP activities based on the survey findings. About 58% of treatment UZPs and 45.5% of control UZPs have included citizens, civil society organizations (CSOs) and local media in UZP committees dealing with specific matters.

Table 5.17: Transparency Through Social Media

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Inclusion of CSO, local media, citizen in UZP committee:			
Yes	58.3	45.5	51.9
No	20.8	-	11.4
Don't know	20.8	54.5	37.7
ii. UZP having active Facebook, Twitter account:			
Yes, both	-	-	-
Only Facebook	66.7	100.0	80.0
Only Twitter	16.7	-	10.0
No account	16.7	-	10.0

The proportion of UZPs which did not include citizens, CSOs and local media is very high for the treatment areas (41.6%). A very large proportion of UZPs have Facebook accounts (about 80%) which is a very positive development. However, questions remain to what extent these social media are used by the UZPs for maintaining open communications with the constituents.

Table 5.18: Accountability Measures of UZPs

Characteristics	Treatment area (%)	Control area (%)	Total (%)
i. UZP adapted public engagement strategies for service monitoring			
Yes	16.7	-	10.0
No	83.3	100.0	90.0
ii. Perception of people about main activities and key priority areas of annual budget			
Less than 25%	16.7	25.0	20.0
25-40%	37.5	18.8	30.0
41-50%	12.5	18.8	15.0
51-70%	20.8	18.8	20.0
More than 70%	4.2	18.8	10.0
Do not know	8.3	-	5.0
Average			
iii. UZP and its functionaries coordinate their activities with DDCC:			
Yes, always	-	-	-
Yes, time to time	42.9	50.0	45.5
Yes, occasionally	28.6	25.0	27.3
No coordination	14.3	-	9.1
Don't know	14.3	25.0	18.2
iv. Average no. of times coordinate in a year:	6.6	5.6	6.2

In the survey findings, it is found that only 16.7% of treatment UZPs and none of the control UZPs adopted public engagement strategies in monitoring their quality of service delivery. The

proportion of citizens in the UZPs who were aware of UZP activities and the key priority areas of annual budgets was not high enough. On an average, less than 40% of households in 50% of UZPs were aware of the key priority areas of the budget and major activities of UZPs.

Co-ordination between UZP functionaries and the District Development Co-ordination Committees (DDCCs) was somewhat satisfactory with 45.5% of UZPs time to time with coordinating with DDCCs, and another 27.3% UZPs coordinating occasionally with the DDCCs. Only 9.1% of UZPs did not do any coordination with the DDCC counterparts. On average, UZPs and its functionaries coordinated with counterpart DDCCs more than 6 times in a year.

5.8   Service Delivery, Governance and Gender Equality

This section deals with information on selected service deliveries and governance of the UZPs based on the survey findings. The performance of UZPs is also discussed here based on the surveys on gender equality and coordination between UP and UZP. Furthermore, suggestions for improving service delivery and strengthening UZP operations based qualitative survey data are presented here.

5.8.1   Service Delivery by the UZPs

More than 84% male and 58% female HH respondents in the treatment areas were either very satisfied or satisfied with the quality of service delivery by their UZPs. The corresponding figures for control areas were more than 81% for male and 56% for female. Satisfaction level of poor and marginalized people were however significantly lower at 41.7% and 50%, respectively in the treatment areas. The corresponding figures for control areas were also lower at 44% and 31%, for the poor and marginalized persons, respectively (Table 5.20).

Table 5.19: Level of Satisfaction of People on Service Delivery by Types of Households

Area and type of people	Level of satisfaction on service delivery (%)				
	Very satisfied	Satisfied	Neither satisfied nor un-satisfied	Unsatisfied	Very unsatisfied
Treatment area:					
Male	29.2	54.2	16.6	-	-
Female	25.0	33.3	33.3	4.2	4.2
Poor	12.5	29.2	41.7	16.7	-
Non-Poor	16.7	12.5	50.0	20.8	16.7
Marginalized people	12.5	37.5	16.7	29.2	4.2
Control area:					
Male	18.8	62.5	18.8	-	-
Female	25.0	31.3	37.5	-	6.3
Poor	18.8	25.0	50.0	6.3	-
Non-poor	12.5	31.3	50.0	6.3	-
Marginalized people	12.5	18.8	56.3	-	12.5
All:					
Male	25.0	57.5	17.5	-	-
Female	25.0	32.5	35.0	2.5	5.0
Poor	15.0	27.5	45.0	12.5	-
Non-poor	12.5	12.5	42.5	32.5	12.5
Marginalized people	12.5	30.0	32.5	17.5	7.5

All UZPs in both treatment and control areas have regular schemes/ programmes for supply of clean water and sanitation for the local people. From the survey results, it was observed that implementation of projects under the Local Government Support Project (LGSP) were satisfactory (87.5%) in the treatment UZPs compared with the same for control UZPs (75%).

Table 5.20: Performance of Service Delivery and Implementation of Project

Characteristics	Treatment areas (%)	Control areas (%)	All (%)
i. Programs in annual budget for clean water supply and sanitation:			
Yes	100.0	100.0	100.0
No	-	-	-
ii. Performance of implementation of LGSP projects:			
Very satisfactory	29.2	25.0	27.5
Satisfactory	58.3	50.0	55.0
Neither satisfactory nor unsatisfactory	12.5	25.0	17.5

The proportion of neither satisfactory nor unsatisfactory were 12.5% and 25%, respectively for treatment and control UZPs in case of implementation performance of LGSP schemes.

5.8.2   Formation of UZP Disaster Management Committees (UDMC)

Most UZPs have formed Upazila Disaster Management Committees (UDMC) in both treatment and control areas. The UDMC of control Upazilas held on average 13 meetings during 2017-18 against 11meetings of the treatment Upazilas.

Table 5.21: Performance of Upazila Disaster Management Committees, FY18

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Formation of UDMC:			
Yes	95.8	93.8	95.0
No	4.2	6.2	5.0
ii. Holding no. of meetings/year in 2017 -18:			
Average no. meeting/year	13	11	12
iii. Performance of UDMC			
Good	66.7	75.0	70.0
Neither good nor bad	33.3	25.0	30.0

The survey results indicate that in 70% of the sample UZPs, performance of UDMCs was, with moderately better performance in the control areas.

5.8.3   Performance in Terms of Selected Activities

On average 6 general meetings were held in each year on social safety net programmes and other issues under the treatment UZPs compared with 9 meetings under control UZPs.

Table 5.22: Performance of Selected Activities at Upazila Level

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Holding of meeting on SSNP in each year:			
Average no. of meetings held in each year	6	9	7
ii. No. poverty alleviation projects implemented with LGSP:			
No. of projects implemented	12	8	10
No. of projects under implementation	12	7	10
Project not yet implemented			
iii. UZP functionaries (UZC/UZVC) belong to managing committees of local educational institutions:			
No. of institutions	125	139	254

The average number of poverty alleviation projects already implemented under the LGSP was higher in the treatment UZPs (12) compared to the control UZPs (8). Almost similar number of projects were under implementation in the treatment and control area UZPs. It is also observed that many UZP functionaries belonged to various managing committees of local educational institutions.

5.9   Women Development Forum (WDF) and Role of Women Vice-Chair

The survey results indicate that less than one fourth of women vice-chairs in both treatment and control areas received training on activities related Women Development Forum (WDF). But none in the control areas received such training. About one-third of women vice chairs were found to be somewhat active over the whole sample area. In three-fourth of UZPs women members/councilors were also found to be active, and most of the remaining women members/councilors were somewhat active. Regular participation of women members/councilors was very low at 31.3% in control areas, and the corresponding figure for the treatment areas was somewhat better at 45.8%. More than 60 percent UZPs (63.6%) have implemented at least one scheme under the leadership of women vice chairs or women members. This figure appears high because the period covered implicitly was very long and includes occurrence of even one small project implemented under the leadership of a single woman vice chair or councilor since the UZP system came into operation. The perception of FGD participants is that women vice chairs and councilors can and should be much more active in the UZP activities and it would be imperative on the part of the UZP Chairpersons to ensure and encourage greater involvement of women vice chairs and councilors in the activities of the UZP.

Table 5.23: Women Development Forum and Participation of Members

Item	Treatment area (%)	Control area (%)	All (%)
i. Women vice-chair trained:			
Yes	28.6	-	22.2
No	71.4	100.0	77.8
ii. Women vice-chair active in WDF:			
Yes, very active	-	-	-
Yes, somewhat active	42.9	-	33.3
Not active	28.6	100.0	44.4
Don't know	28.6	-	22.2
iii. Women members/councilors active in WDF:			
Yes, active	70.8	75.0	72.5
Yes, somewhat active	20.8	25.0	22.5
Not active	4.2	-	2.5
Don't know	4.2	-	2.5
iv. Women councilors attend council's meetings and participate efficiently in debates and influence decision making process:			
Yes, always	45.8	31.3	40.0
Yes, occasionally	45.8	56.3	50.0
Not at all	4.2	12.5	7.5
Don't know	4.2	-	2.5
v. Any UZP scheme implemented under leadership of women vice-chair / women representative			
Yes	71.4	50.0	63.6
No	28.6	25.0	27.3
Don't know	-	25.0	9.1

5.10   Co-Ordination Between UZPs and UPs

There are functional relationships between these two important local government tiers. Chairmen of UPs within an UZ are also ex-officio members of the UZP. As they are the majority in the UZP, their opinions often matter much. According to the survey results, 81.8% UZP respondents were of the view that there was coordination between these two institutions. Nearly one-fifth of respondents in survey areas (18.2%) felt that there was no coordination between the two tiers of the local government.

Table 5.24: Coordination of work between UP and UZP

	Treatment area (%)	Control area (%)	All (%)
Coordination of work:			
Yes	85.7	75.0	81.8
No	14.3	25.0	18.2

To improve the level coordination between the UPs and UZPs, the following suggestions were made by the UZP authorities:

- The priority list of schemes submitted by UPs to UZP should be considered with sincerity.

- There should be no intervention by UZP on UPs development planning.
- Increase allocation of funds to the UPs by the UZPs.
- Increase administrative support by the UZPs to the UPs.
- Arrange more trainings for the UP functionaries by the UZP or LGD officials.
- Formal and information working relationships to be increased between the UZP and UPs.
- Stop interference from upper level.
- Take actions against bribery between the tiers.

5.10.1 Suggestions for Improvement of Service Delivery and Strengthening of UZP Activities

Some suggestions were given by the respondents for improvement of service delivery and strengthening of UZP which are given below:

Regarding improvement of service delivery by UZP to general people:

- UZPs should clearly assess the types of services needed for the common people through holding meetings/workshops
- UZPs should take necessary steps to mobilize resources for extension of services
- UZPs should identify which services are needed by the people and prioritize them
- Taking necessary measures or putting in place mechanisms to improve service delivery
- Evaluating and monitoring of the quality of existing services provided by the line departments, and taking necessary measures to improve services and increase implementation speed
- More window or avenues may be opened for better service delivery by the line departments

Strengthening of UZPs

- Holding UZP meetings regularly
- Increase the authority and power of elected representatives of the UZPs and UPs
- Improve coordination between the MP, UZP, UNO and UZP Chairman, and between UZP Chairman and UZP vice chairs.
- Increase allocations for UZPs
- Abolish the advisory role of the MPs
- Take initiative to make transfers and integrate budget of line departments more effectively
- Increase the staff of UZPs
- Stop unnecessary interference from higher levels of the government

CHAPTER 6

DATA COMPARIBILITY, GENDER ANALYSIS, AND FINDINGS FROM KIIs AND FGDs

6.1   Comparability of Data Analysis

This chapter analyzes the key aspects of the findings from the three field level surveys described in Chapters 3 to 5. In those chapters, issues related to quality of service delivery, governance, PFM management, and knowledge about the operations/activities of UPs and UZPs in treatment and control areas have been analyzed based on the data obtained through household, UP, and UZP surveys. Household surveys were used to capture citizens' perceptions toward different aspects of UP and UZP activities/responsibilities. Apart from quantitative and qualitative data collection through the above-mentioned three components of the Baseline Survey, Focus Group Discussions (FGDs) and Key Informant Interviews (KIIs) were also conducted in certain UPs and UZPs of the treatment and control districts to get better and comprehensive understanding on the activities of the UPs and UZPs.

A comparative analysis is also attempted in this Chapter to provide a better understanding of the major programs of the UPs and UZPs based on a triangulation approach entailing comparison of survey results related to similar issues and reflecting upon the findings of FGDs and KIIs. For user's convenience and for the sake of comparability, data analysis information on various issues of UPs and UZPs have been presented in tabular form to the extent possible. Household respondents' knowledge, participation and perception regarding UP and UZP operations and activities along with their performance in terms of service delivery and compliance have been analyzed in this chapter. This chapter also analyzes gender issues including women empowerment at the UP and UZP level in terms of capacity building, gender main streaming, female participation in household, UP and UZP activities, and gender focused planning and resource allocation.

6.1.1   Holding Monthly Council Meetings and Ward Shavas at the UP Level

Survey of UP authorities indicates that monthly UP council meetings were held regularly and the outcomes were found very satisfactory both in treatment and control areas in terms of holding average number of meetings per year, participation of women members in the meetings, average number of decisions taken and the status of implementation of the decisions of the council meetings during the reference years of the survey (FY2017-18). Similar observations were also received regarding the holding of regular monthly meetings by the UPs through FGDs at UP level. However, only a few FGD discussants were able to mention the key decisions and new schemes which were taken with regard to construction of roads and culverts and any social programs/campaigns etc. Similar opinions were also expressed in the KIIs on holding of general monthly meetings by the UPs both in treatment and control areas.

Holding Ward Shava (WS): The Household Survey findings indicate that only 6.9% of households in the whole sample area attended the WSs in their respective areas. Out of those who attended 95% were male and less than 10% were socially marginalized people. The categories of people who participated in the WSs, based on Household Survey and UP Survey has been presented in Table 6.1 for comparability purpose. The percent of different categories of people who attended the WSs in treatment and control UPs shows fairly similar trend. The FGDs also revealed that only 5-10% people in treatment areas knew about the UPs having standing committees. The FGD participants also observed that very few people knew about the UP-Standing Committees.

6.1.2 UP Planning, Budgeting and Auditing

The comparative findings relating to UP annual and five-year plans based on Household Survey, UP Survey, FGDs and KIIs are presented in Table 6.1. HH survey indicated that only 6,5% of households were aware of the annual budgets of the UPs, while the survey of the UP authorities indicated that 100% of households were aware of the UP budget indicating very wide gap in the perceptions of the households and the UP authorities. Similarly, with regard to income and expenditures of the UPs in next two years, only 0.7% of the households were aware of these issues.

UP annual budget and open budget meeting: Preparation of the annual budget and holding open budget meetings before its finalization are mandatory according to the UP Act. Information on the selective indicators of the UP annual budget based on FGDs, KIIs and UP and Household Surveys have been presented in Table 6.1 both for treatment and control UPs.

6.1.3 Transparency and Accountability

According to HH survey 29.6% HH respondents were of the view that UPs were transparent about making the list of beneficiaries and distribution of relief. Only 12% of households also believed that the list of beneficiaries for distribution of social protection benefits were done fairly. During the FGDs/KIIs the participants were also of the view that not more than 30% of the beneficiaries were fairly selected by the UP authorities.

6.1.4 Performance of UPs Towards Governance & Service Delivery

According to UP Survey results, 41.5% of households were satisfied with governance and service delivery of the UPs. However, 95.6% of the UP authorities were happy with the performance of the UPs in terms of governance and service delivery, indicating once again a wide difference in the perceptions of the stakeholders. Even more wide variation is observed in terms of awareness about the Citizen's Charter. Only 4.9% of households were aware of Citizen's Charter while UPs were of the view that in 95.6% of UPs the Charters are in prominent display and awareness have been created about the Citizen's Charter through campaigns.

6.1.5 Comparability of Data with UZP Findings

This sub-section discusses comparative findings obtained through UZP Survey, FGDs, KIIs and the perception of citizens based on Household Survey. These are not to be strictly comparable, but the stakeholders may get some ideas about the issues or on the indicators. When household survey indicates that only 9.5% of households were aware of various plans/programs of the UZPs, there is certainly need for more work to be done by the UZPs on this front.

6.1.5.1 Planning, Budgeting and Auditing

Formation of Standing Committee (SC) and holding meetings: Hundred percent UZPs formed the SCs in due time according to their official reporting. It may be noted here that it was difficult to check the records on this issue by the survey team. In FGDs, a large majority of participants observed that SCs were formed, and only few of them mentioned that they were not sure whether all the SCs were formed in their UZPs.

6.5.1.2 Planning, Budgeting and Auditing

While all UZPs prepared annual budgets and 87.5% of them have had their open budget meetings according to UZP authorities, only 1.5% of households were aware of UZP budgets. As UZPs are relatively new institution this wide gap in information/perceptions is not surprising. However, a lot more work needs to be done in making the citizens aware of the UZP fiscal operations and increase household participation in open budget meetings.

6.1.5.3 Transparency and Accountability at UZPs

More than 90% of UZPs claimed that they have made efforts to disseminate the contents of the Citizen's Charter of the UZPs to the citizens, only 4.9% of households were aware of UZP Citizen's Charter. More than 30% of households were satisfied with service deliveries by the UZPs, majority of the FGD/KII participants were of the view that the quality of service delivery was average or just about acceptable.

In terms of satisfaction with implementation of the LGSP project. 82.5% of UZPs were satisfied with their implementation record. However, the FGD/KII participants felt that the implantation quality was just average for the UZPs.

Table 6.1: Comparison of Data on Selected Indicators of UPs and UZPs

(in Percent)

Major Issues/ Program of UP	Selected Indicators	HH Survey	UP Survey	UZP Survey	KIIs/FGD
1. Awareness and participation of local governance programs (UP): • Monthly meeting and Ward shava	1. Awareness of HHs about functions and responsibilities of UP.	23.3	-	-	-
	2. HHs participated in UP meeting	11.8	-	-	-
	3. UPs holding monthly council meetings regularly	-	60.0		• Almost everybody opined that monthly UP meetings were held regularly
	4. UPs holding two Ward shavas (WS) for each Ward in a year.	-	40.0	-	• Most participants were of the view that WSs were hardly conducted • A few respondents were not even familiar with the concept of WS
	5. HHs participated in Ward Shava	6.9	-	-	• Occasionally WS conducted by UP members because of compliance
	6. Category of people participated in Ward shava:				
	Male	94.7	93.1	-	• Mainly males
	Female	5.3	6.9	-	• Few poor women were also present
	Socially marginalized people	9.7	2.1	-	• Participation of marginalized people was negligible in the meetings
	7. Issues raised by female participants in WSs was adequate	-	9.1	-	• Not adequate, according to participants of FGDs and KIIs
• Formation of Standing Committee	8. UPs formed Standing Committees (SC)	-	81.8		
	9. HHs aware about UP Standing Committee	2.4	15.2	-	• Nobody knew about SC • Some one opined that may be few people knows about SC
					•
• Annual & Five Year Plan	10. HHs aware and UPs prepared annual Plan	4.6	60.0	-	• Most of them mentioned that UPs had prepared annual plans
	11. UPs prepared Five Year Plan	4.4	90.9	-	• Most UP authorities participates knew about five year and annual plan of the UPs, but very few HHs and some FGD

Major Issues/ Program of UP	Selected Indicators	HH Survey	UP Survey	UZP Survey	KIIs/FGD
					participants were aware of them.
	12. HHs participated in preparation of annual plan	33.7	-	-	
	13. HHs participated in preparation of UP Five Year Plan	41.0	-	-	
	14. UPs having scheme for empowerment of women in UP's annual and five Year plan	-	27.3	-	• They did not know about any scheme for women empowerment in UP annual and five year plans
• Annual budget and holding budget meeting	15. UPs regularly prepared annual budget	-	90.9	-	• Some or less than 25% participants knew that UPs prepare annual budget
	16. HHs aware about UP annual budget and open budget meeting	6.5	-	-	• None of the participants ever heard about open budget meeting
	17. UPs organized open budget meetings for preparation and finalization of annual budget	-	45.5	-	• Everybody opined that there was no open budget meeting
	18. HHs respondents participated in the open budget meeting	50.0	45.5	-	
	19. HHs aware about auditing of income-expenditure of UP of last two years	0.7	-	-	• Nobody knew about auditing of UPs' income and expenditure accounts
• Perception about transparency, accountability	20. HHs perception about transparency and selection of beneficiaries for SSNP	29.6	-	-	• Selection was not fair and transparent • 70% selection was done based on political and other grounds
	21. HHs perception about fairness of making list for distribution of relief materials	12.0	-	-	• About 30 percent cases fair selection was done
	22. HHs perception about UP governance and services delivery good	41.5	27.3	-	• 30% considered UP performance as usual • Others had no opinion --Neither good nor bad
	23. UPs prepared citizen's charter and displayed for the public	4.9	77.9	-	• Nobody knew about citizens' charter
• Performance about	24. UPs implemented scheme for and by the women	-	83.8	-	-

Major Issues/ Program of UP	Selected Indicators	HH Survey	UP Survey	UZP Survey	KIIs/FGD
governance and service delivery	25. CCA and DRM schemes implemented by UPs in partnership with CBOs including youth and NGOs	-	9.1	-	-
	26. UPs formed UDMC	-	85.3	-	• Nobody knew about formation of UDMC
	27. UPs organized meetings/ rallies for social issues for awareness of people	5.2	82.4	-	• 100% respondents observed that UPs organized rallies/meetings on social issues
	28. UPs perception about their good performance towards governance & service delivery	-	45.5	-	• Neither good nor bad
	29. HHs awareness about different plans of UZP	4.0	-	-	
2. Awareness and participation of local governance • Formation of Standing Committee	30. HHs awareness about various plans/programs of UZP	9.5	-	-	• Large majority of respondents mentioned that all SCs were formed
	31. Formation of SC by UZP	-	-	90.9	•
• Planning, budgeting and auditing	32. UZP prepared annual development plan	-	-	54.5	• 80% mentioned that UZP have annual plan
	33. UZP prepared Five Year Plan	-	-	54.5	• Majority mentioned that UZPs have five year plans
	34. UZP prepared annual budget	-	-	70.0	•
	35. UZP holding open budget meeting	-	-	36.4	• In FGD majority of the discussant mentioned that budget meeting was held but on time or not known
	36. HHs participated in UZP budget meeting	1.5	-	-	-
	37. HHs participated in budget meeting discussion/debt	26.1	-	-	-
	38. UZP prepared and published their budget timely	-	-	18.2	• Majority mentioned about timely preparation of UZP budget
• Transparency, accountability	39. UZP having citizen charter and awareness of HH	4.9	-	92.5	-

Major Issues/ Program of UP	Selected Indicators	HH Survey	UP Survey	UZP Survey	KIIs/FGD
• Performance of UZP towards governance and service delivery	40. Perception of HH/citizens about performance on governance & service delivery of UZP	27.9	-	-	• Majority of the participants mention average level of performance or so so
	41. citizens satisfaction with the UZP services	30.8	-	-	-
	42. Perception of UZP about performance of implementatio n of LGSP support projects	-	-	82.5	• Average

Note: "-"represents nil; "NA" Not available/applicable

6.2 Gender Analysis

This section presents a short gender analysis on the basis of data collected from the three surveys, namely Household Survey, UP Survey, and UZP Survey under the overall Baseline Survey for the EALG Project. This section mainly highlights the following issues as part of the gender analysis and based on the survey findings:

- Capacity building
- Gender main streaming
- Female participation
- Gender focused planning and resource allocation
- Women empowerment etc.

Data from the three component surveys have been put together and analyzed by pulling out the relevant issues/questions.

6.2.1 Capacity Building

Training plays an essential role in capacity building by improving understanding of the relevant issues and facilitating skill development of people. Table 6.2 shows the proportion of UP members who received training on various areas by gender.

Table 6.2: Percent of UP Members Who Received Training by Gender

Selected areas of training	Treatment area (%)		Control area (%)		All (%)	
	Male	Female	Male	Female	Male	Female
Mandatory programs	33.3	33.3	17.2	17.2	26.5	26.5
UP financial management	35.9	33.3	27.6	20.7	27.6	27.9
Open budget	28.2	28.2	44.8	31.0	26.5	26.5
Mobilization of local resources and utilization	25.6	20.5	24.1	17.2	32.4	27.9
Women development	25.6	64.1	10.3	48.3	19.1	87.4
Scheme preparation and implementation	28.2	28.2	34.5	31.0	30.9	29.4

It may be pointed out that trainings were imparted to the UP and UZP functionaries for understanding and their corresponding roles. It is known that Union Parishad Governance Project (UPGP) and Upazila Governance Project (UZGP) organized a number of general and specialized trainings for women during the project period. Different organizations such as NILG, DPHE, NGOs and other line agencies of the government organized a number of training on planning, budgeting and leadership skills for the elected female members of the UPs.

The UP survey indicates that a total of 245 of UP members received training of which 115 or 46.9% was male and 53.1% was female. The higher proportion of UP female members (54.0%) in project UPs received training than in the control UPs (51.1%). It may be pointed here out of 68 UP chairmen only two were female, accounting for only 2.9% of the positions.

The incidence of training was higher at the UZP level. A large proportion (91.3%) of women vice-chairs received training on UZP manual and social issues during their tenure. The proportion of women vice-chairs of the control UZPs was found higher (93.8%) than the proportion (91.7%) of the UZPs (Table 5.1).

Table 6.3: Knowledge of the Members of WDF on LG Acts/Rules

Type of LG Acts/rules	Treatment area (%)	Control area (%)	All (%)
i. UZP Act 2009:			
Yes	42.9	25.0	36.4
No	57.1	75.0	63.6
ii. UZP Act 2011 (amended):			
Yes	28.6	25.0	27.3
No	71.4	75.0	72.7
iii. UZP Budget Act 2010:			
Yes	14.3	25.0	18.2
No	85.7	75.0	81.8
iv. UZP revenue utilization rule:			
Yes	14.3	-	10.0
No	85.7	100.0	90.0
v. UZP manual:			
Yes	28.6	-	20.0
No	71.4	100.0	80.0

Note: Members of WDF are all females.

It is observed form the above Table 6.3 that about one third members of the WDF have received training on major LG Acts/Rules.

6.2.2 Gender Mainstreaming

Gender mainstreaming is one of the key aspects of all the LGSPs at UP and UZP levels. Most local government projects are being implemented with an aim to ensure gender streaming primarily through effective training programs, equal participation of men and women in decision making process, and gender focused planning at UZP and UP levels. The Table below presents a snapshot of gender streaming on selected issues based on the UP and UZP surveys.

The survey findings indicate that 14.3% of respondent in treatment areas and zero percent in control areas were of the view that women participated in ward shavas adequately by raising different issues for discussion. It is found that more than one fifth of female councilors in WDF were very active and another 72.5% were somewhat active (Table 6.4).

Table 6.4: A Snapshot of Selected Issues on Gender Streaming

Issues	Treatment area (%)	Control area (%)	All (%)
i. Opinion about participation of women and raised issues in Ward Shava:			
Adequate	14.3	-	9.1
Neither adequate nor inadequate	28.6	-	18.2
Not adequate	57.1	75.0	63.6
No comment	-	25.0	9.1
ii. Opinion about activeness of female councilors in WDF:			
Yes, very active	20.8	25.0	22.5
Yes, somewhat active	70.8	75.0	72.5
Not active	4.2	-	2.5
Don't know	4.2	-	2.5
iii. Opinion about female councilors effectiveness and influencing decision making process in council meetings:			
Yes, always	45.8	31.3	40.0
Yes, occasionally	45.8	56.3	50.0
Not at all	4.2	12.4	7.5
Don't know	4.2	-	2.5

As high as 45.8% percent female councilors of WDF in treatment areas were always found effective and influencing the decision-making process in council meetings of the UZPs based on the opinion of respondents. In terms of effectiveness of women councilors, treatment areas were better than the control areas and it was perhaps due to the impact of intervention of LGSP projects.

6.2.3 Women Participation

The following table shows female participation in various meetings and discussions at UP and UZP levels. The UP Survey indicates that less than 5% local females participated in the Ward Shava in treatment UPs compared to 9.3% female participation in control UPs. In any event,

the participation levels were very low, and measures should be taken to improve the situation. The quality of interventions made by women participants were considered to be adequate or satisfactory in less than 10% cases, and most of the interventions by female participants were viewed as unsatisfactory, so so.

Table 6.5: Participation of Females in Ward Shavas and Open Budget Meetings

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Participation of local people in Ward Shava (WS):			
Male	95.4	90.7	93.1
Female	4.6	9.3	6.9
ii. Issues raised by female participants in WSs were adequate			
Yes	14.3	-	9.1
Not adequate	57.1	75.0	63.6
Neither adequate nor inadequate	14.3	25.0	18.2
No comment	14.3	-	9.1
iii. Women vice-chair trained:			
Yes	28.6	-	22.2
No	71.4	100.0	77.8
iv. Activeness of women vice-chair in WDF activities:			
Yes, very active	-	-	-
Yes, somewhat active	42.9	-	33.3
Not active	28.6	100.0	44.4
Don't know	28.6	-	22.2

It is also discouraging to note that that no Upazila women vice-chairs were very active in Women Development Forum activities and for the most part they were inactive.

6.2.4 Gender Focused Planning and Budgeting

Performance grant has created an incentive and positive obligation of UPs to prepare annual and five year plans where women empowerment occupied a significant focus.

Table 6.6: Allocation of Fund/Scheme in UP and UZP Annual Budgets for Development of Women

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Having scheme in UP annual budget for development of women:			
Yes	57.1	50.0	54.5
No	42.9	50.0	45.5
ii. UZP schemes implemented for and by women:			
Yes	71.4	50.0	63.6
No	28.6	25.0	27.3
Don't know	-	25.0	9.1
iii. UP schemes implemented for and by women:			
Yes	87.2	79.3	83.8
No	10.3	17.2	13.2
Don't know	2.6	3.4	2.9

The survey results indicate that 57% of treatment UPs and 50% of control UPs had schemes in their annual budget for development of women. Furthermore, UP and UZP schemes

implemented for and by women were also higher at both UP and UZP levels and across all sampling areas.

6.2.5 Women Empowerment

Empowerment of women is measured through increased participation of women in general meetings, Ward Shavas, standing committees, open budget meetings and women development forum (WDF). The local government institutions are continuously training the elected women representatives to increase empowerment of women through their participation and active engagement in various programs.

Standing Committee is a legal platform where women members could play a vital role in determining UP activities and thereby contribute to the empowerment of women at the grassroot level. According to the concerned section of UP Act 2009, at least one-third of the standing committee chair person to be reserved for the women members. The UP survey results however indicate that the proportion of standing committees headed by women were generally much less than the 33% target stipulated in the UP Act (Table 6.7).

Table 6.7: Type of UP Standing Committees Headed by Women

	Name of committee	Treatment area (%)	Control area (%)	All (%)
1.	Primary and mass education	60.0	33.3	45.5
2.	Women, children welfare and sports	50.0	66.7	45.5
3.	Environment protection and plantation	17.5	-	9.5
4.	Social welfare and disaster management	-	33.3	20.3
5.	Rural water, sanitation and drainage	-	-	-
6.	Law and order	17.5	-	9.1
7.	Rural infrastructure development and maintenance	-	-	-
8.	Tax assessment and collection	-	-	-
9.	Health, family planning and epidemic control	33.3	33.3	33.3
10.	Birth-death registration	-	33.3	33.3
11.	Audit and accounts	25.0	-	18.2
12.	Finance and establishment	25	-	18.2
13.	Agriculture and other development works	-	-	-

The UP surveys also indicate that elected UP female members actively participated in the Ward Shavas and open budget meetings. The participation women members had some indirect impact on participation of local household females in the Ward Shava and open budget meeting. Table 6.8 shows the participation of household women in Ward Shavas and open budget meetings. The very fact that only from 5% of HHs women members participate in WSs, is an indication of poor participation.

Table 6.8: Participation of Household Women Attending UP Meetings

Characteristics	Treatment area (%)	Control area (%)	All (%)
i. Women household member participated in Ward Shava:			
Yes	5.4	5.0	5.3
No	94.6	95.0	94.7
ii. Household women member participated in UP open budget meetings (amongst those participated):			
Yes	73.3	100.0	82.6
No	26.7	-	17.4
iii. Women household member participated in the discussion of UP open budget meeting (amongst the women who participated in WSs:			
Yes	73.3	100.0	82.6
No	26.7	-	17.4
iv. Female household member participated in household decision making process:			
Yes	50.4	58.5	53.1
No	49.6	41.5	46.9
v. Female HH member involved in decision making process at major HH issues:			
Children's welfare (Education, Marriage, Health etc.)	58.4	58.5	58.5
Generating income and assets	32.9	24.9	29.9
Others	8.7	16.6	11.6

The levels of participation of female household members in UP activities and programs as well as in their own household decision making process indicate women empowerment in the society and at institutional levels. The following table shows the types of Upazila standing committees and the proportions of those headed by female. Many UZP standing committees were headed by women, in some cases like health and family welfare and social welfare almost all SCs in treatment UZPs were headed by women.

Table 6.9: Percentage of Upazila Standing Committees Headed by Women

Name of committee	Treatment areas (%)	Control areas (%)
Law and order	-	-
Infrastructure development	-	-
Agriculture and irrigation	20.0	12.5
Secondary and madrasha education	40.0	25.0
Primary and mass education	80.0	62.5
Health and family welfare	100.0	75.0
Youth and Sports	40.0	37.5
Women and children development	80.0	75.0
Social welfare	100.0	75.0
Freedom fighter	20.0	25.0
Fisheries and livestock	20.0	25.0
Rural development and cooperatives	60.0	62.5
Culture	80.0	75.0
Forest and environment	60.0	62.5
Monitoring and controlling of market price	-	12.5
Finance, budget planning and mobilization local resources	-	12.5
Public health, sanitation and supply of clean water	80.0	62.5

The survey indicates that the socio-economic conditions of women in terms of involvement of women in income generating activities, having own bank and bKash accounts, ability to operate laptops, and reading newspapers or magazines at least once in a week were still quite low. The very low participation/involvement (4%) of rural household women in income generating activities across the whole sample area is still a major impediment in improving the socio-economic condition and status of female household members. Interventions would be needed in this area if Bangladesh really wants to empower the ordinary female household members.

Table 6.10: Socio-Economic Conditions of Female HH Members

Issues	Treatment area (%)	Control area (%)	All (%)
1. Female HH member involved in income generating activities	4.2	3.4	4.0
2. Female HH member have bank and bKash account	11.3	6.0	9.6
3. Female HH member have their own mobile phones	33.9	35.0	34.2
4. Female HH member knows how to operate laptop/computer	2.2	1.3	1.9
5. Female HH members read newspaper/magazines at least once a week	7.4	10.5	8.4

6.3   Findings from KIIs

In addition to collection of quantitative data for the Base line survey under the EALG project as described above, a number of Key Informant Interviews (KIIs) and Focus Group Discussions (FGDS) were conducted in selected sample areas at Union and Upazila levels. KII were attended by local notable persons including business leaders, social workers, school teachers, and UP and UZP functionaries (former and current) and line-department officials at the UZ level/UNO office. Eight KIIs on UP level activities and operations were conducted in six districts, and 5 UZ level KIIs were conducted in 5 districts (Table 6.11).

Table 6.11: Number of Key Informant Interviews Conducted at Union and Upazila Levels by District

District	Number of KIIs conducted at		Total	Remarks
	Union Level	Upazila Level		
Comilla	2	1	3	School Teacher, Businessman, Social workers, local leader, UP and UZP functionaries etc. were interviewed
Patuakhali	2	1	3	
Khulna	1	-	1	
Rajshahi	1	1	2	
Rangpur	1	-	1	
Netrokona	1	-	1	
Sylhet	-	1	1	
Barisal	-	1	1	
Total	**8**	**5**	**13**	

The participants were interviewed on selected issues of governance and service delivery of the two local government tiers, namely UP and UZP. The qualitative information collected on the specific issue are presented below in summarized from (Table 6.12).

Table 6.12: Feedback from KIIs

Issues Discuss	Feedback from KIIs
1.1 Holding regular UP council meeting and status of implementation of decisions:	• Almost everybody was of the view that monthly meetings of the UPs were conducted regularly, although sometimes the date of the meetings differed due to unavoidable reasons. • Implementation of decisions of the UPs were barely adequate (neither good nor bad) according to most of the discussants. • Few of them said that implementation status of decisions taken during the meetings was good but with long delays.
1.2 Holding ward shavas (WSs), who and how people participated in WSs:	• Everybody informed that WSs were almost never conducted at least twice in a year in each Ward. • Occasionally, WSs were conducted by the UP members because of compliance. • A few respondents (KIIs) were not familiar about Ward Shava. • Most of the respondents were of the view that UP members informed certain people of their choice in the Wards to attend in the meetings in informal ways. • Most people attending the WSs were male. • Only a few respondents (numbering 2) mentioned that a few poor women were also presented in the WSs.
1.3 Share of Participation of females and poor people in Ward Shavas:	• All respondents mentioned that so far they knew, the participation of females, poor and marginalized people were very limited in the Ward Shavas. • They noted that, UP members in most cases, did not give proper importance to holding the WSs in a proper manner. As a result, not many people representing the diversity of the community were invited and thus participation of poor, marginalized, and women were poor. • Ward members were reluctant to hold WSs according to several informants.
1.4 Preparation of Annual and Five-Year Plan by UP:	• Most of the KII respondents knew about annual plan of the UP and they observed that UPs prepared the annual plans regularly. • Some respondents did not know about the requirement that the UPs were to prepare five-year plans. • Some participants observed that some UPs had prepared their five-year plans. • KII participants did not know about any scheme for female empowerment in the UP annual plans.
1.5 Percentage of people who knew about Standing Committee (SC) and holding of SC meetings:	• Nobody knew about Standing Committee, not even an UP member who was interviewed. • They felt that perhaps only a few people might be informed about SCs. • The participants did know not about regular holding of SC meetings.

Issues Discuss	Feedback from KIIs
1.6 Whether UPs prepared annual budget and organized open budget meetings:	• Few respondents said that UPs prepared annual budget and some even did not know that. • All KII participants mentioned that they were not informed about open budget meetings organized by the UPs. • They also mentioned that they never heard about open budget meeting and did not know anything about the various categories of people who participated in those meetings. • Some former Chairmen and UP members also agreed about not conducting open budget meetings in their UPs
1.7 Opinion about UP holding tax, whether UP had done any audit of annual income and expenditure:	• They knew very little about holding tax. Someone mentioned that without informing the taxpayers some UPs had refixed/increased the annual holding tax. • Some (2 participants) observed that the taxpayers were never consulted before increasing the holding tax. • Nobody knew about auditing of annual income and expenditure of UPs.
1.8 Whether UP holding any meeting/rallies for awareness raising of people on social issues (early marriage, dowry, tree plantation), UP had citizen's charter and formed Disaster Management Committees:	• All the respondents (KIIs) mentioned that UP organized time to time meetings/rallies for observing national programs as well as for awareness raising activities. • Nobody knew about citizen's charter for the UPs, only a former UP Chairman said that UPs had citizen's charter. • None of the respondents knew about the formation of Union Disaster Management Committee.
1.9 Operation of UP service delivery (providing various certificates and others services) and developments of roads, culverts, drainage etc.:	• Most of them noted that the UPs provided all relevant certificates like: birth, nationality, trade license etc. without much delay. • Development of roads, culverts were very slow. UPs were doing some minor public work projects. • UP functionaries had much interest in distributing allowances and relief materials.
1.10 Opinion about the success in delivering various services and governance by UPs:	• Most of them described the service quality as barely adequate (neither good nor bad). • A few participants observed that the current service deliveries by UPs were good and they did not hear any major complaint against the UP functionaries.
1.11 Opinion about transparency in selection of beneficiaries for various allowances/ reliefs:	• This is an area where different types of irregularities generally occur and the UP functionaries are believed to be the main beneficiaries. • Everyone said that there was corruption in selection of beneficiaries. Only in 30 percent cases fair selections were done. In the other 70 percent cases, selection was done on the basis of political, nepotism, bribing etc. • The lack of transparency in the selection process, and the resulting selection of beneficiaries led to misdirected distribution of allowances and relief goods.

6.4 Findings from Focus Group Discussions (FGD) at UP and UZP levels:

FGDs were also conducted for collection of qualitative information on EALG project to supplement quantitative data collected through the Baseline survey. A total of 10 FGDs were conducted in 5 districts—Patuakhali, Khulna, Comilla, Rajshahi, and Faridpur. At the UP level, 6 FGDs were conducted in these 5 districts and 4 FGDs were conducted at UZP level in 4 districts (Table 6.13). The participants generally included line department officials, local leaders, school teachers and local media representatives.

Table 6.13: Coverage of Focus Group Discussions at Union and Upazila Level by District

District	No. of FGDs conducted at			Remarks
	Union Level	Upazila level	Total	
Patuakhali	2	1	3	Line department officials, media persons, local leaders, school teachers etc.
Khulna	1	-	-	
Comilla	1	1	2	
Rajshahi	1	1	2	
Faridpur	1	1	2	
	6	4	10	

The qualitative data on various issues of governance and service delivery based on focus group discussions at the UP level are presented below in summarized form (Table 6.14):

Table 6.14: Feedback from FGDs on UP Operations/Activities

Issues Discuss	Feedback from FGDs

2.1 Whether monthly meetings regularly held and decisions taken:	• All discussants noted that UP monthly meetings were regularly held and sometime panel chairman presided the meetings.
	• However, most participants could mention any decision of the meetings.
	• One former chairman and an UP member mentioned that monthly meetings were held regularly and some decisions were taken regarding:
	  (i) Stopping early marriage
	  (ii) Birth-death registration and
	  (iii) development works.

2.2 Knowing about holding Ward Shavas twice in a year and category of people participating in WSs	• Everybody had mentioned that Ward Shavas were not held twice in a year for every ward. • They occasionally heard about holding of Ward Shavas in some Wards. • Some discussants even mentioned that they never heard about holding of Ward Shavas. • Most of them could not mention about the categories of people participating in Ward Shavas. 20% participants said primarily male persons who were close to the UP members

Issues Discuss	Feedback from FGDs
	participated in the meetings. Participation of females were believed to be insignificant.
2.3 Whether females raised any local issues in Ward Shavas and participated in the discussions:	• Most of them mentioned they did not know about this matter. • A few discussants said that sometimes females participated in Ward Shavas and took part in the discussions.
2.4 Preparation of annual and five-year plan by UP:	• All discussants mentioned that UPs prepared annual Plans regularly. • Regarding five-year plan preparation, about 30% of participants knew about the requirement and preparation of five-year plans by the UPs and the remaining discussant had no idea about UP five-year plan.
2.5 Preparation of Annual UP budget and arrangement of open budget meeting:	• UPs prepared annual budgets regularly, as mentioned by all FGD participants. • Nobody mentioned that open budget meetings were arranged by the UP authorities for preparation of annual budget. • A former UP chairman had mentioned that open budget meeting was organized by the UP authorities.
2.6 Category of people who participated in open budget meetings and whether they took part in the decision-making process:	• Almost nobody knew about the categories of people participating in open budget meetings. • Only one former chairman said at that various categories of people including women attended the open budget meetings.
2.7 Service delivery of UP particularly certificates, water, sanitation, health & education and public works development:	• All the services provided by the UPs were graded to be at average level. • A few discussants mentioned/complained that there was no development of roads and culverts in their areas. • They did not know about UZP budget meeting.
2.8 Whether UP organized any social awareness raising program such as dowry, early marriage, tree plantation etc.:	• All discussants mentioned that UPs were doing such awareness programs on these and other issues in their respective jurisdictions. Besides, UPs organized various national programs and arranged rallies for observance of the national days/events.
2.9 Development/implementation of roads and other infrastructures:	• Most participants said that performance was average in terms of implementation of various projects. • A few participants also mentioned that performance of the UPs in this regard was not good at all.
2.10 Transparency about selection of beneficiaries of SSNP and relief materials.	• Most of the FGD discussants mentioned that the selection of beneficiaries of SSNP and reliefs materials were not transparent. The selection was done by considering political issues, nepotism and other factors. • A few however said that the selection of beneficiaries was almost fair and acceptable to the local people.

The qualitative data on various issues of governance and service delivery based on focus group discussions at the UZP level are presented below in summarized form (Table 6.15):

Table 6.15: Feedback from FGDs on UZP Activities

Issues Discuss	Opinion of FGD Participants on UZP Operations/Activities
2.3.1 **UZPs having legal documents and activities of WDF:**	• Most participants were of the view that all legal documents were there in the UZP offices. All the documents were in the UNO office but also were in UZP chairman's office. • Some of the discussant did not know about the nature of legal documents but that was quite natural. • Most discussants felt that the activities of the WDF were good.
2.3.2 **Annual and five-year plan of UZP and its preparation:**	• About 80% of the FGD discussants mentioned that UZPs had annual plans. • On asking who prepared the Plans and if anyone was present at the preparation stage of the annual and five-year plan, almost none of them was not able to provide positive answer. • Nobody knew who was responsible for preparing the plan. Some categorically mentioned they did not hear about five-year plan preparation by UZPs.
2.3.3 **Formation of Standing Committees and implementation of decisions taken by the committees:**	• Officials of the line departments/ministries mentioned that as far as they knew all Standing Committees were formed as per the legal requirements. • Other discussants however had very little knowledge about the Standing Committees and implementation of decisions taken by the various committees.
2.3.4 **Preparation of UZP annual budget; Participation in budget meetings; and female participation in the discussion:**	• UZPs prepared and released annual budgets, according to the chairpersons of the FGDs held at Debidwar, Patuakhali, Sader and Godagari Upazila. • Mainly members of the UZPs (all UP chairmen and officers of the transferred departments of the Upazila) and selected persons including media persons participated in the annual budget meetings of UZPs. • Females members also participated in the discussions and their suggestions and recommendations were also accepted.
2.3.5 **Participation of line-departments in budget meeting and auditing of income and expenditure:**	• More than 80% representatives of line departments participated in the budget meetings. • Auditing of income and expenditure of budgetary accounts were done somewhat casually. • Opinion of a few participants, other than line departments, had a mixed attitude regarding annual UZP budgets and auditing.
2.3.6 **Holding of general meetings by UZPs based on set agenda, and the proportion of local people who knew about the major programs of UZPs:**	• Most participants informed that general UZP meetings were held based on fixed agenda and minutes of the meeting were circulated amongst the concerned persons. • Almost everybody mentioned that less than 5% of citizens knew about the major programs of the UZPs.

Issues Discuss	Opinion of FGD Participants on UZP Operations/Activities
2.3.7 Perception of people about the service delivery by the UZPs and the line departments:	• Almost everybody mentioned that the level of service provided by the UZPs as well as the line departments were of average quality, except a very few line departments. • A few participants mentioned that service delivery was barely satisfactory and in some instances the services of some line departments were not acceptable by any standard.
2.3.8 Capacity of implementation of development programs, transparency and effectiveness of women vice-chairs of WDFs:	• All participants mentioned that the UZPs had capacity to implement development programs. • Transparency of programs was limited and all relevant information were not made available to the public. • Women vice-chairs were very effective in women development forum, according to all discussants.
2.3.9 Level of success and visibility of UZP programs, suggestions for strengthening the UZP for better service delivery:	• The level of success and visibility of UZP programs were not significant. The scope of works of the UZPs was very limited due to lack of resources, according to the discussants. • More resources should be mobilized and allocated to UZPs. • More freedom and power should be given to the UZP chairmen. • Interference and influence should be removed. • More manpower should be mobilized to strengthen implementation capacity of UZPs. • Co-ordination between MPs and UZP Chairmen and between UZP chairmen and UNOs should be increased.

A review of the observations made by KII and FGD participants indicate that there was wide gap between the perceptions of the UP, UZP and line department representatives and the perceptions of KII and FGD participants. The perceptions of households based on the HH surveys is somewhat akin to the perceptions of KII and FGD participants. There are wide gags in what is stated by the LGI officials and in many cases reported on paper, and what citizens perceive and believe in terms of operations/activities including service deliveries by the LGIs. The only way to reduce the perception gaps is to broaden the participation of citizens in the affairs of local government institutions.

CHAPTER 7

LESSONS AND RECOMMENDATIONS

7.1   Lessons Learned

The review of the local government institution (LGI) operations at the UP and UZP levels and their performance in terms of service delivery and financial accounting practices—as revealed through the HH, UP and UZP surveys, and FGD and KIIs done at selected places--paint a clear picture about the current state of UPs and UZPs in Bangladesh. Although some of the LGIs (particularly UPs and Zila Parishads) have been operating since the British time, the scope of their mandate in terms of service delivery and access to own resources have remained very limited. The original vision outlined in Bangladesh Constitution has remained unfulfilled. While the size of the public sector in Bangladesh has increased significantly, the whole process of public service delivery has remained centralized and in many ways is becoming more centralized over the years. There is also a growing dependency on central government transfers (including development partner supported programs like from LGSP III), which has reached such a level that in many instances LGIs are not focusing on finding ways and means to revitalize their domestic resource mobilization.

While the agenda for establishing empowered and decentralized LGIs is a substantially more challenging and higher-level policy agenda, the inter-connection can be easily seen by looking at the key lessons learnt from baseline survey results presented in detail in Chapters 3, 4 and 5. The main lessons are:

- The government has put in place several laws and regulations and templates and manuals which, if followed diligently, could provide an adequate basis for establishing a good functioning system for the UPs and UZPs in treatment and control areas.
- Despite these laws and regulations, there are severe deficiencies in most areas, mostly due to lack of compliance resulting from lack of proper understanding of the issues, resource to ensure compliance and service delivery and staffing constraint, but also due to the absence of monitoring and evaluation.
- There is wide gap between the perceptions of the citizens or households and the perceptions of the UP and UZP authorities. The opinions expressed at the FGDs and KIIs generally go well with the views expressed by the Households. At the same time, the UP and UZP authorities and line ministry officials at the UZ level are more focused on completing the processes for releasing of funds and fulfilling the legally mandated requirements, and much less focused on quality of service delivery and project implementation.
- Many of the Committees and stakeholders consultations, including ward shavas are primarily done on a proforma basis without serious follow-up measures to reflect the views of the stakeholders. The systematic absence of meeting minutes of these meetings

does not allow anyone to track down what issues were discussed in the meetings and what were the follow-ups to these meetings or stakeholder consultations.

- Rules and regulations are necessary but not sufficient conditions for ensuring a sound and well-functioning UP and UZP systems. Without systematic efforts to improve awareness among stakeholders including citizens, without strengthening capacity and staffing profile in essential areas related to project implementation, PFM and service delivery, and without an adequate monitoring, feedback from citizens and enforcement mechanisms by the supervising government institutions, UPs and UZPs will continue to pay lip service to these rules and regulations with no substantive progress.

- Addressing the resource constraint requires actions on three fronts: allocating more financial autonomy to UPs and UZPs to raise domestic resources; improving their tax and service charges for administrative capacities; and ensuring the timeliness and predictability of budget transfers from the national government.

- An effective system of monitoring, evaluation, and follow up are essential to make UPs and UZPs work effectively. This requires capacity strengthening at both the UP and UZP levels and at the supervising ministry of LGRD&C.

- Almost all UPs have ICT centers that are run by private sector operators who are local residents and provide a range of services to local citizens at reasonable costs. The UPs, supported by the A2I project of the Prime Minister's Office (PMO), provide internet connectivity and space for operating the UP ICT service center, generally within the UP complex or in a building close by. Yet, the UP authorities in most cases do not take advantage of this facility for strengthening their own budgeting, accounting and financial management practices necessary to do good PFM. This is a missed opportunity that must be taken advantage of.

7.2 Key Recommendations

Based on the detailed analysis of survey results presented in Chapters 3,4 and 5, drawing from the comparative analysis including the findings of FGD and KIIs presented in Chapter 6, and the lessons learned discussed in this Chapter, the main recommendations for UP and UZP reforms are noted below. Given the institutional weakness, and the nature of reforms or measures, implementation of the proposed reforms can only be possible in phases over the medium and long term. However, in certain areas the measures can be implemented by the authorities within a year or two (as identified below) if there is political will to do so.

Need for administrative and fiscal decentralization: Sustained long-term progress with UP and UZP reforms will only be possible with the establishment of a system of accountable, empowered and decentralized system of local governance. This is a major political economy question that has to be resolved at the highest policy-making level of the national government. In particular, the transferring of 3 line ministry operations to the UZPs, which is already politically committed, should be expedited without further delay. While this decentralization process is a medium to long-term one, in the near-term civil society discourse, with elected representatives from the UPs and UZPs, government, and Members of Parliament may be initiated to foster greater awareness among the stakeholders.

A number of pragmatic steps may be considered for strengthening PFM standards at the UP and UZP levels in the near term. The main focus should be on deepening of the current budget preparation process. At the UP and UZP levels, this will entail the following:

    (i)   requiring these institutions to go beyond the proforma process by recording minutes of the ward level consultations and a summary of which of the recommendations were incorporated in the budget (if any) and the reasons for not considering the other recommendations put forward by participants at the WSs;

(ii) requiring both UPS and UZPs to prepare and submit to UNO and Local Government Division six-monthly/mid-year budget statements/updates with proposals for corrective measures;

(iii) strengthening the capacity of the UNO's office to evaluate the UP budget proposals and formally approve the budget in consultation with the UPs; and

(iv) enhancing further the role of female members of UPs in the operations of the UPs by putting in place a monitoring and reporting system. Local Government Division and the office of the UNO should play a more active role in this regard including making the LGIs accountable for lapses.

Strengthen supervision and monitoring capacity of Local Government Division (LGD) of the Ministry of Local Government, Rural Development and Cooperatives (LGRD&C). In the absence of a formal mechanism of supervision, monitoring, evaluation and enforcement of PFM rules and regulations, little or no progress will be possible. As such, monitoring and supervision capacities of LGD will have to be substantially strengthened.   If these responsibilities are to be delegated at a lower level (such as the office of the UNO for overseeing the activities of the UPs) then the capacity of that unit will have to be strengthened as well.   LGD will need to monitor the effective implementation of that delegated responsibility. This is something that can be done by allocating properly trained manpower at the LGD for this purpose and also in collaboration with the MOF (especially on PFM issues).

Improving the understanding about budget and plans. UP and UZP officials should be trained and mandated to use the budget and 5-year plan documents as policy documents to achieve certain developmental objectives. For the budget this will entail monitoring of budget execution process on a quarterly basis at the beginning, and eventually on a monthly basis for the relevant officials to undertake corrective measures during the fiscal year. The training programs offered through the Local Government Training Institute under the LGRD&C may have to be carefully reviewed for the contents of the training materials. Some collaboration with institutes like Bangladesh Institute of Public Finance (BIPF) and Bangladesh Institute of Governance and Management (BIGM) may also be helpful.

Expand the UP resource base. At present the government shares a very small part of the land transfer tax with the UPs (only 1% of the revenue collected in the local land registration office). This proportion may be very easily increased to at least 10% of the revenue collected from land registration offices for transferring to the UPs and UZPs from where the tax has been collected.

This measure alone can significantly increase resource availability for the UPs and UZPs. This is an administrative measure and can be implemented without delays if the government so desires.

Strengthen revenue collection efforts at the UP level. Although ward-wise tax assessment and collection registers are generally maintained by UPs, they must also prepare statement of outstanding taxes. It must be ensured that the statements of outstanding taxes are prepared at least quarterly and efforts should be made to collect the large outstanding tax amounts before the fiscal year runs out. The budget and the annual and quarterly statement of accounts should be displayed in the notice board for public inspection and dissemination. In this respect, the government and the World Bank (in the context of LGSP-III) may consider explicitly linking local revenue performance to matching funds from the government and the World Bank LGSP-III. UPs, recording revenue growth beyond a certain level (say 15%), could be eligible to receive matching funds from the government and/or WB to encourage strengthened revenue efforts by the UP authorities.

Moreover, initiatives must be undertaken to improve citizens awareness to pay taxes and there should not be any scope for unwillingness on the part of the public representatives to collect taxes because of losing vote banks. International experience shows that LGI authorities should have legal authority to impose taxes of certain types and also have authority to impose penalties for non-payment of taxes in the form of interest charged at above market interest rates and fines for delays in settling tax obligations. None of the UPs and UZPs were found to impose any such penalties and interests on unpaid tax liabilities. In the absence such punitive measures, it is not surprising that most taxpayers ignore the tax notices and the UPs and UZPs are generally unsuccessful in realizing the accumulated tax arrears. Whether this is a legal issue or an enforcement issue should be looked at carefully and corrective measures may be introduced in the context of the next budget.

Strengthen UP and UZP audits and broaden the scope of audits to areas such as compliance with regard to service delivery and engagements with stakeholders. Audit of the UP and UZP operations need to be strengthened in meaningful and practical ways. Specific suggestions include:

- It must be ensured that physical verification of fixed assets is carried out at least once a year and fixed assets register be agreed/reconciled in the context of such verification. Moreover, Stock Register should be maintained in line with Rule: 32 of the of the Union Parishad (Accounts and Audit) Rules, 2012.

- The standing committees on audit and accounts at the UP and UZP levels should be made fully functional and accountable.

- The UPs should take necessary steps to implement prior audit observations.

- The quality of audits of UPs conducted by the chartered accountancy firms commissioned under LGSP needs to be strengthened as the quality of audits were found

to be weak and mostly superficial. The audits should be broad-based, including process related issues like formation of committees, holding of meetings, preparing detailed minutes of the meetings in specified formats, participation and leadership of women in the committees and in implementing local projects.

Improve service delivery. The strategies to improve service delivery will require efficient and effective response to the dynamic needs of the citizens. UPs and UZPs have to embrace strategies that can enhance productivity and improve the quality of services delivered. The strategies that touch on key requirements for improving service delivery are based on the concept of a 'lean' and inclusive government/management. This means that the institutions would need to run their activities in partnership with all stakeholders, and one that focuses on promoting the advancement of the private sector and citizens through a well-managed policy and regulatory environment. The major strategies for improving service delivery will require total quality management, organizational strategic management, training and development in UPs and UZPs along the following lines:

➤ Setting tone at the top: **A Paradigm Shift from "Service Provider" to "Development Manager"** by focusing beyond the traditional role and scope with vision to enhance productivity through re-engineering of service rendering processes.
➤ Go beyond the pro-forma one-time consultation process and establish institutionalized systems and mechanisms for optimal public participation in decision-making.
➤ Facilitate physical and social planning, basic services, environmental protection, local economic development, pro-poor settlements upgrading etc.
➤ Expanded use of IT technologies and sustaining the IT based administration and service delivery monitoring. Partnering with other players and outsourcing of services will help this process.
➤ Dealing with governance issues, corruption and improving accountability,
➤ Offering value for money--the service fees charged by the Ups and UZPs should reflect the quality of services delivered.
➤ Need based criteria—by replacing the current ad hoc and politically motivated process of allocation-as the basis for central government budget allocations for the UPs and UZPs.

The suggested reforms are quite ambitious and demanding, given the current state of administration, and quality of service delivery and governance at the UP and UZP levels across Bangladesh. It will require sustained efforts through training and motivational programs, access to more resources including additional trained manpower, and incentives for the UPs and UZPs to adopt good practices discussed above. Development partners together with the MOF and MoLGRD&C may consider extending financial and technical support in imparting such change management and in developing customized accounting software for the UPs and UZPs for standardized accounting/record keeping, timely reporting and in ensuring transparency and accountability.

Strengthen use of ICT at UP and UZP levels. The range of services provided by the ICT service centers at the UP level should be increased significantly along with their interface with

other government agencies like public health centers, agriculture extension service centers, land records, etc. ICT centers even at the UP level are performing well and gained significant popularity with the local service recipients. Access to wider range of important services would make the centers even more popular and serve useful purpose. The access to wider range of services would however require coordination with the relevant line ministries and agencies along with ensuring availability of updated information from the relevant sources. If a farmer wants to have information on a particular crop disease, the relevant extension service centers of the Ministry of Agriculture should be able to provide expert advice instantly for the farmer to benefit from such services. If the land records data are fully digitized, citizens can receive copies of land records from the UP ICT centers without going through the highly corrupt and inefficient land management offices.

The Baseline Survey provides valuable information in terms of views of the rural households, and of the UP and UZP authorities. The wide difference in the perceptions between the households and KII and FGD participants one the one hand and the UP and UZP authorities on the other hand needs to come down significantly and steadily over the medium and long term. Achieving the SDG objectives will require much more efficient service delivery at the village level and international experience shows that it would only be possible if Bangladesh government can strengthen the operations at all levels of LGIs, including UPs and UZPs. Narrowing the differences in perceptions among the stakeholders in terms of improved service delivery and fiscal management will go a long way towards improved service delivery by the UPs and UZPs. The recommendations made above may go a long way toward realizing this objective. Periodic monitoring of perceptions of citizens and comparing those with the findings of this baseline survey will provide indications about progress made over the years in terms of service delivery and citizens' participation envisaged under the SDG.

Annexure-1: Sampling Methodology of Baseline Survey

1. Background and Introduction

In line with the TOR, the Inception Report indicated that PRI is to develop the sampling frame for the baseline study based on a sound statistical method. Target Districts/UZs have already been selected by the UNDP, and a list of selected Districts/UZs/UPs has been provided to PRI. However, in the selected UPs, PRI need to choose the households whose data to be collected, using valid sampling methods. Sampling was done for 4 different groups, indicated as 'Household selected for baseline' in the diagram below. The TOR also indicated that the approximate sample size to be between 3,000 to 4,500 households, including treatment groups (TGs) and control groups (CGs), with the expected proportion of 2 (Treatment): 1 (Control).

As regards selection of CGs in non-intervention areas, as per TOR, PRI was to develop a valid matching methodology to select the control groups in non-project Districts. It needed to match the treatment Districts/UZs/UPs with the ones which have similar characteristics, based on the socio-economic and governance status. The matching methodology should also be based on robust statistical methods.

Details on the matching methodology, including the benchmarks/criteria of matching had been outlined in the inception report and also presented below, as appropriate, for completeness. Subsequent to the inception report, a number of approaches were considered for selection of CG Districts, UZs, UPs and mouzas/villages. This note describes the methodology used for selection of TG and CG, and the list of selected four types of UZs, UPs, and Mouzas/villages.

2. Selection Methodology

Sampling Frame: Sampling frame is pre-requisite for developing a sound and probability-based sampling method for selection of appropriate samples. In case of baseline study, two different lists--(1) a list of selected districts, UZs and UPs under EALG project as provided by the UNDP and (2) a list of the remaining districts, UZs and UPs of the country—have been used as sampling frames for selection of samples for the target and control groups, respectively. Treatment groups consisted of 3 different sub-groups and one sub-group was selected from the control groups. The four different sub-groups under the selected UZs and UPs of the treatment groups and control groups are the following:

Sub-group 1: for selection of sample households (HHs) from the TG UPs in the selected TG UZ of the targeted district.

Sub-group 2: for selection of sample HHs from non-TG UPs in selected TG UZ of the targeted district.

Sub-group 3: for selection of sample HHs from TG UPs in non-TG UZs in the targeted district.

Sub-group 4: for selection of sample HHs from non-TG UPs in selected non-TG UZ of the non-targeted district.

It may be pointed out that sub-groups 1 through sub-group 3 are under the targeted districts also known as treatment groups and only sub group 4 belongs to non-project/non-targeted districts known as control groups.

An equal number of HHs will be selected from the three different sub-groups 1-3 under the TG. HHs are considered as ultimate sampling units for the purpose of this study.

3. Selection of sample for household survey

Determining the sample size and the method of sample selection for the household survey is mentioned below:

Determination of sample size: In the TOR the approximated sample size was stated to be between 3000 and 4500 households, for treatment and control groups. For this project, given the recommended sample size and the resource availability, PRI has decided to go for a sample size of about 3750 households. The distribution of sample households between the treatment groups and control groups was proposed to be 2500 and 1250 households, respectively (as per the TOR which stated the ratio to be 2:1). Equal number of samples were to be selected for the 3 sub-groups in treatment groups. About 833 households will be selected from each of the sub-groups for the baseline study. The following table shows the units of districts, UZs, UPs and households which are used for distribution and selection of samples from the treatment and control groups.

Table A1: Number of Units to be Used for Sampling of Treatment and Control Groups

Level of Units	Treatment Groups	Control Groups	Total
District	8	8	16
UZ	16	16	32
UP	240	120	360
HH	2552	1250	3800

4. Method of selection of samples for treatment groups (TG)

For the sake of reliable estimates, a total of 40 UPs (about 17%) out of 240 selected UPs from TG were selected as samples for household survey. Similarly, out of the matched UPs, 16 UPs out of 120 UPs (13.3%) were selected as samples from CG for the baseline study. At least one UP was taken as sample from every selected UZs for both TG and CG. The methods of selection of samples from the TGs and CGs are briefly mentioned below:

- All 8 districts (Project) from 8 Divisions (i.e., 1 district from each division) had already been identified by UNDP as samples under TG for household survey. The Divisions and corresponding districts as identified by UNDP are listed in Table 3.
- Two identified UZs under EALG project from each targeted district (project) and 1 UZ (non-project) from the district (Project) had been selected by Simple Random Sampling (SRS) method. It means three UZs per district (Project) leading to the selection of a total of 24 UZs selected under TG. The UZ codes and the names of 24 UZs under TGs are shown respectively in columns 6 and 7 of Annex Table 1, under sub-group code 1.

- After selection of UZs (project) and UZs (non-project) of the district (project), two UPs from each selected UZs (project) and one UP from UZ (Non-Project) were selected using SRS method. That means a total of 5 UPs per district (project) were selected. The UP codes and names of these UPs are listed in Columns 8 and 9 respectively in Appendix Table 1, under sub-group code 2.
- Then two mouzas from each UP (Project) and UP (non-project) from each UZ (Project) and one mouza from each UP (Project) of UZ (Non-Project) were selected by SRS method. The names of all these UZ, UP and mouzas under sub-group 3 are listed in Appendix Table 1, with reference to sub-group code 3.
- After selection of mouzas an equal number of households (about 31-32 households) were selected per mouza/village by Systematic SRS method.

Table A2: Number of Sample in Treatment Groups by Division

Division	District	UZs			UPs				Mouzas				HHs
		UZP (P)	UZP (NP)	Total	UP (P)	UP (NP)	UP (p) of UZP (NP)	Total	UP (P)	UP (NP)	UP (P) of UZP (NP)	Total	
Dhaka	Faridpur	2	1	3	2	2	1	5	4	4	2	10	319
Chittagong	Chandpur	2	1	3	2	2	1	5	4	4	2	10	319
Sylhet	Sunamgang	2	1	3	2	2	1	5	4	4	2	10	319
Rajshahi	Rajshahi	2	1	3	2	2	1	5	4	4	2	10	319
Khulna	Khulna	2	1	3	2	2	1	5	4	4	2	10	319
Barisal	Patuakhali	2	1	3	2	2	1	5	4	4	2	10	319
Rangpur	Rangpur	2	1	3	2	2	1	5	4	4	2	10	319
Mymensingh	Netrokona	2	1	3	2	2	1	5	4	4	2	10	319
Total		16	8	24	16	16	8	40	32	32	16	80	2552

Note: (p) = Project, (NP) = Non-Project.

5. Selection of sample from control groups

As part of the selection of HHs from the control groups or strata, it was necessary to select the level of units (districts/UZs/UPs) in non-project districts, which were to be used as frame for control groups. For this purpose, PRI team had followed two different approaches for selection of districts, UZs, UPs and mouzas:

1. **First approach:** The UNDP had provided a comprehensive performance assessment database of 491 UZs. The listed UZs which have been ranked/assessed on the basis of their performance in terms of various indicators. We reviewed the database and found that the criteria were quite realistic and readily useable for the purpose of selecting the CG samples. We considered the index under "Rank in District" which were equal or very closed to the index of treatment district and UZs within the division for selection of samples as control group.

   Following this approach, we selected the 8 districts and 16 UZs from 8 divisions (List attached). The selection of mauza and UPs were done using simple random sampling method (SRS). The indicators contained in the UNDP database, as shown in Annex Table 2, were primarily related to financial management of the LGIs, their interactions with the citizens in terms of expenditure programs and citizen's charter, women's

participation in LGI operations, etc. Matching of districts and UZs based on this UNDP provided list was relatively straightforward.

2. **Second Approach:** The alternative approach was to undertake matching procedures based on demographic, geographic, socio-economic criteria for selecting the control groups in non-project districts. It may be noted that a total of 8 districts, 16 UZs and 16 UPs were to be selected for CGs by matching with treatment districts/UZs/UPs from all the administrative divisions of the country. Some socio-economic characteristics and governance status were applied for matching between level of units in TGs (districts/UZs/UPs) and level of units for CGs (districts/UZs/UPs).

In the context of the second approach, the matching had been attempted electronically by comparing data sets with the following matching criteria for districts (subject to availability of data), UZs and UPs:

A. The following socio-economic characteristics of UP were considered (subject to availability) for matching:
   a. Size of population or number of households in the UP
   b. Size of annual budget of UP
   c. Amount of annual revenue collection by UP
   d. Literacy rate
   e. School attendence
   f. Geographical area of UP
   g. Poverty rate
B. Matching criteria for selection of UZs originally considered were:
   a. Geographical area with number of UPs in the UZ.
   b. Number of HHs/population in the UZ
   c. Poverty rate
   d. Annual budget/revenue collection
   e. Literacy rate
   f. School attendence

C. Matching criteria originally considered for selection of districts were:

   a. Number of UZs in the district
   b. Number of HHs/population in the district.
   c. Geographical area of the district
   d. Annual budget/revenue of Zila Parishad
   e. Literacy rate
   f. Poverty rate
   g. School attendence

As anticipated, the selection and use of the matching criteria however were constrained by the availability of information on these selected criteria across UZ and UP. Since we could not get the annual revenue or budget data of the local government institutions (Zila Parishads, UZ Parishads and UPs), we dropped this criterion for the purpose of our matching exercise. A number of test runs were needed as part of the robust method of matching with suitable

characteristics for matching to identify the required number of districts, UZs and UPs under CG. At the beginning, we reviewed and compared all the remaining indicators for the selected sample areas from the TG by division, but we could not find suitable matching.

At the second stage, through various trials, out of the remaining six criteria, we found three criteria literacy rate, school attendance and upper poverty as usable for matching purpose. The matching exercise entailed computation of a composite index along the following lines/steps:

- Calculation of the mean and standard deviation (SD) of each indicator (literacy rate, school attendance and upper poverty)

- Calculation of the score and the corresponding composite index of the indicator in a two-step process as noted below:

Score= (Indicator-mean)/Standard deviation

Composite index=sum of the scores

After reviewing the two approaches and discussions with UNDP, the first approach was followed for matching to select the control districts UZP, etc.

Following the computation of the composite index (Appendix Table 3A), we used the composite index value for selection of districts and UZs which are very closely matched with the value of the treatment group's composite index. The list of matched districts, UZs and UPs is considered as the sampling frame for selection of samples for CG. We used the 2011 population census geo-file of BBS as the basic frame for selection of control areas as well as sample households.

- The selected 8 CG districts based on this methodology is shown in Annex Table 4. If UNDP was in agreement with the outlined selection procedure, we could select the sample UZs and UPs applying the methodology outlined above. Following the selection of 8 matched districts (Non-project), 16 UZs (Non-project) were selected, 2 UZs from each district by using the same matching criteria. Out of 120 Unions, 16 UPs were selected by matching, i.e. one UP from each selected UZs (Non-project) from the matched districts of 8 divisions.

- Then 2 mouzas were selected from each Union by Simple Random Sampling (SRS) method.

- Based on the selected mouzas, an equal number of households was selected by SRS to arrive at the required number of households per mouza. Table 4 shows the number of sample UZs, UPs, Mouzas and HHs in CG by division. The names of the selected Districts, UZs, UPs, and Mouzas and the number of jurisdictions covered under the survey are summarized below in Table A3.

Table A3: Number of Samples in CG by Division, District, UZs, UPs and Mouzas

Division	District	UZs	Ups	Mouza	HHs
Dhaka	1	2	2	4	156
Chittagong	1	2	2	4	156
Sylhet	1	2	2	4	156
Rajshahi	1	2	2	4	156
Khulna	1	2	2	4	156
Barisal	1	2	2	4	156
Rangpur	1	2	2	4	156
Mymensingh	1	2	2	4	156
Total	**8**	**16**	**16**	**32**	**1248**

Based on these considerations, a total of 16 districts from 8 divisions were covered under the baseline survey under both TG and CG. Within these selected 16 districts, 40 UZs, 72 UPs and 112 mouzas were under the purview of the HH survey for collection of baseline data from 3800 sample households. The total number of jurisdictions under each category of jurisdictions and the number of HHs by districts were covered under the baseline survey—including both TG and CG is provided in Table A4 below.

Table A4: Total Number of Samples for Baseline Survey by Divisions, Districts, UZs, UPs, Mouzas and Households

Division	Districts			UZs			UPs			Mouzas	HHs
	TG	CG	Total	TG	CG	Total	TG	CG	Total		
Dhaka	1	1	2	3	2	5	5	4	9	14	475
Chittagong	1	1	2	3	2	5	5	4	9	14	475
Sylhet	1	1	2	3	2	5	5	4	9	14	475
Rajshahi	1	1	2	3	2	5	5	4	9	14	475
Khulna	1	1	2	3	2	5	5	4	9	14	475
Barisal	1	1	2	3	2	5	5	4	9	14	475
Rangpur	1	1	2	3	2	5	5	4	9	14	475
Mymensingh	1	1	2	3	2	5	5	4	9	14	475
Total	**8**	**8**	**16**	**24**	**16**	**40**	**40**	**32**	**72**	**112**	**3800**

Note: (TG) denotes treatment group, (CG) denotes control groups.

A review of the two lists of CG districts indicate that except for two districts Barguna and Comilla, the other districts in the two lists are different. This is expected given the vastly different matching criteria used under the two methods of selection. PRI was guided by the UNDP in deciding which list of CG districts we would be selecting for the purpose of baseline survey. UNDP reviewed the two approaches of matching criteria and the selection of Districts/UZs/UPs under the two approaches, and suggested the first approach for selection of samples from control groups.

6. Institutional Surveys

In the institutional survey all the selected sample UZPs and UPs of HH Survey in treatment and control groups were under the purview of the institutional survey. Table A5 shows the number of sample areas for the institutional survey.

Table A5: Number of sample UZPs and UPs by Division

Division	District	UZPs			Ups		
		Treatment Groups	Control Groups	Total	Treatment Groups	Control Groups	Total
Dhaka	Faridpur	3	2	5	5	4	9
Chattrogram	Chandpur	3	2	5	5	4	9
Sylhet	Sunamgang	3	2	5	5	4	9
Rajshahi	Rajshahi	3	2	5	5	4	9
Khulna	Khulna	3	2	5	5	4	9
Barisal	Patuakhali	3	2	5	5	4	9
Rangpur	Rangpur	3	2	5	5	4	9
Mymensingh	Netrokona	3	2	5	5	4	9
Total		**24**	**16**	**40**	**40**	**32**	**72**

7. Qualitative surveys

Qualitative data also play an important role for efficient assessment of performances of the project activities. There are a number of social and behavioral issues (i.e., knowledge and attitudes of the beneficiaries) towards service and governance structure at HH or community levels which are important for evaluating the performance. To collect qualitative information, a number of KIIs and FGDs were conducted in treatment and control areas.

The Table below shows the number of KIIs and FGDs proposed at UP and UZP levels.

Table A6: Tentative Number of KIIs and FGDs at UP and UZP

Level	KIIs	FGDs
UP Level: UP (Project area)	3	2
UP (Non-Project Area)	3	2
Total of UP	6	4
UZP Level: UZP (Project Area)	2	2
UZP (Non-Project Area)	2	2
Total of UZP	4	4
All total	**10**	**8**

8. Key Informant Interviews

A total of 6 KIIs (Project and Controlled UPs together) were done including different classes of people, occupation and other local project officials to get their views, comments, opinions etc. about the status of UP governance and service delivery. A comprehensive checklist was developed for this purpose (see Annexure 5).

Moreover, a total of 4 KIIs (project and non-project area together) with the elected local UZP representatives, deputed line ministry/departmental officials at UZ level, and selected local citizens (school teachers, local businessmen, political leaders, NGO workers etc.) from the selected UZs to gather and assess their views, comments, opinions etc. on the status of UZP governance and services.

9. Focus Group Discussions

A total of 8 FGDs were conducted at both the UP and UZP levels in project and non-project areas with the members of the community. The participants included among others: the individuals who attended ward shavas, eminent citizens of the area, members of women development forums, socially marginalized citizens, elected women UP/UZP members etc. A separate FGD guidelines was used to conduct and record the discussion.

At the UZ level, four community level FGDs were conducted (two each) in selected control UZs and in treatment UZs. Community members were invited to participate in the FGDs.

Table A7: Selection of Samples in Treatment Group (Sub-group 1-3)

Primary Sampling Unit No.	Division Code	Division Name	District Code	District name	UZ Code	UZ Name	UP Code	UP Name	MZ Code	Mauza Name	No. of HH in each Mauza	Sub-Group Code (1-3)
1	2	3	4	5	6	7	8	9	10	11	12	13
001	30	Dhaka	29	Faridpur	10	Bhanga	79	Nasirabad	329	Duair	0729	1
002	30	Dhaka	29	Faridpur	10	Bhanga	79	Nasirabad	548	Koshabanga	0377	1
003	30	Dhaka	29	Faridpur	10	Bhanga	39	Gharua	819	Rajeshwardi	0355	2
004	30	Dhaka	29	Faridpur	10	Bhanga	39	Gharua	256	Choukighata	0480	2
005	30	Dhaka	29	Faridpur	56	Madhukhali	63	Korkodi	567	Kalagachhi	0105	1
006	30	Dhaka	29	Faridpur	56	Madhukhali	63	Korkodi	723	Naba Banagram	0072	1
007	30	Dhaka	29	Faridpur	56	Madhukhali	73	Noapara	608	Lakshmandia	0495	2
008	30	Dhaka	29	Faridpur	56	Madhukhali	73	Noapara	880	Samaskandi	0116	2
009	30	Dhaka	29	Faridpur	18	Boalmari	60	Moyna	180	Bil Sarail	0198	3
010	30	Dhaka	29	Faridpur	18	Boalmari	60	Moyna	570	Khail Para	0455	3
011	40	Khulna	47	Khulna	17	Dacop	52	Koilashganj	437	Harintani	0786	1
012	40	Khulna	47	Khulna	17	Dacop	52	Koilashganj	455	Kailashganj−2	1155	1
013	40	Khulna	47	Khulna	17	Dacop	69	Pankhali	756	Maukhali	0513	2
014	40	Khulna	47	Khulna	17	Dacop	69	Pankhali	597	Khatali	0376	2
015	40	Khulna	47	Khulna	75	Rupsha	81	TS Bahirdia	413	Gilatala	0196	1

016	40	Khulna	47	Khulna	75	Rupsha	81	TS Bahirdia	979	Tilak	0930	1
017	40	Khulna	47	Khulna	75	Rupsha	54	Naihati	418	Jabusa	1474	2
018	40	Khulna	47	Khulna	75	Rupsha	54	Naihati	750	Nehalpur	0711	2
019	40	Khulna	47	Khulna	94	Terokhada	40	Modhupur	608	Dakshin Kola	2647	3
020	40	Khulna	47	Khulna	94	Terokhada	40	Modhupur	609	Uttar Kola	1502	3
021	10	Barishal	78	Patuakhali	66	Kalapara	55	Champapur	135	Binam Katadia	0112	1
022	10	Barishal	78	Patuakhali	66	Kalapara	55	Champapur	171	Chalitabunia	0922	1
023	10	Barishal	78	Patuakhali	66	Kalapara	23	Mohipur	994	Yousef Pur	0931	2
024	10	Barishal	78	Patuakhali	66	Kalapara	23	Mohipur	804	Nizampur	0902	2
025	10	Barishal	78	Patuakhali	97	Rangabali	32	Chalitabunia	189	Chalitabunia	0676	1
026	10	Barishal	78	Patuakhali	97	Rangabali	32	Chalitabunia	283	Char Lata	0482	1
027	10	Barishal	78	Patuakhali	97	Rangabali	83	Rangabali	594	Jogir Haola	0737	2
028	10	Barishal	78	Patuakhali	97	Rangabali	83	Rangabali	270	Char Jamuna	0162	2
029	10	Barishal	78	Patuakhali	95	Patuakhali Sadar	27	Joinokathi	547	Keshabpur (Part)	1011	3
030	10	Barishal	78	Patuakhali	95	Patuakhali Sadar	27	Joinokathi	885	Sehakati	0954	3
031	50	Rajshahi	81	Rajshahi	12	Baghmara	50	Ganipur	618	Mahabbatpur	0440	1
032	50	Rajshahi	81	Rajshahi	12	Baghmara	50	Ganipur	888	Sekh Para	0110	1
033	50	Rajshahi	81	Rajshahi	12	Baghmara	44	Gobinda Para	157	Bilmalali	0186	2
034	50	Rajshahi	81	Rajshahi	12	Baghmara	44	Gobinda Para	280	Deopara	0543	2
035	50	Rajshahi	81	Rajshahi	53	Mohonpur	81	Royghati	643	Makimpur	0204	1
036	50	Rajshahi	81	Rajshahi	53	Mohonpur	81	Royghati	840	Pariladanga	0169	1
037	50	Rajshahi	81	Rajshahi	53	Mohonpur	54	Jahanabad	256	Bishahara	0486	2
038	50	Rajshahi	81	Rajshahi	53	Mohonpur	54	Jahanabad	333	Dhorsa	0975	2
039	50	Rajshahi	81	Rajshahi	34	Godagari	57	Matikata	688	Matikata	0878	3
040	50	Rajshahi	81	Rajshahi	34	Godagari	57	Matikata	811	Pirijpur	1020	3
041	60	Sylhet	90	Sunamganj	27	Dakshin Sunamganj	61	Patharia	262	Dakshin Sreenathpur	0237	1
042	60	Sylhet	90	Sunamganj	27	Dakshin Sunamganj	61	Patharia	893	Tehakia	0078	1
043	60	Sylhet	90	Sunamganj	27	Dakshin Sunamganj	33	Joykalas	195	Dumria	0578	2
044	60	Sylhet	90	Sunamganj	27	Dakshin Sunamganj	33	Joykalas	683	Panchashal	0594	2
045	60	Sylhet	90	Sunamganj	92	Tahirpur	64	Tahirpur	388	Jamalgar	0742	1
046	60	Sylhet	90	Sunamganj	92	Tahirpur	64	Tahirpur	840	Ratansree	0375	1
047	60	Sylhet	90	Sunamganj	92	Tahirpur	10	Balijuri	084	Bara Khala	0233	2
048	60	Sylhet	90	Sunamganj	92	Tahirpur	10	Balijuri	542	Madhabpur	0229	2
049	60	Sylhet	90	Sunamganj	50	Jamalganj	67	Jamalganj	404	Kamlabaj	2276	3
050	60	Sylhet	90	Sunamganj	50	Jamalganj	67	Jamalganj	760	Sachna	0895	3

051	2 0	Chattogram	13	Chndpur	45	Faridganj	8 9	Subidour (East)	652	Mantala	03 80	1
052	2 0	Chattogram	13	Chndpur	45	Faridganj	8 9	Subidour (East)	933	Subidpur	07 67	1
053	2 0	Chattogram	13	Chndpur	45	Faridganj	3 5	Dakshin Faridganj	247	Char Para	011 5	2
054	2 0	Chattogram	13	Chndpur	45	Faridganj	3 5	Dakshin Faridganj	758	Powa	121 1	2
055	2 0	Chattogram	13	Chndpur	47	Haimchar	71	Nilkamal	030	Char Rao	03 74	1
056	2 0	Chattogram	13	Chndpur	47	Haimchar	71	Nilkamal	065	Ishanbala	113 7	1
057	2 0	Chattogram	13	Chndpur	47	Haimchar	11	Uttar Algi Durgapur	005	Bhingulia	146 9	2
058	2 0	Chattogram	13	Chndpur	47	Haimchar	11	Uttar Algi Durgapur	075	Mahazampur	07 63	2
059	2 0	Chattogram	13	Chndpur	79	Matlab North	2 5	Islamabad	518	Jangal Islamabad	02 88	3
060	2 0	Chattogram	13	Chndpur	79	Matlab North	2 5	Islamabad	937	Sujatpur	05 90	3
061	4 5	Mymensingh	7 2	Netrokona	40	Kalmakanda	71	Nazirpur	366	Fakir Chanduail	02 08	1
062	4 5	Mymensingh	7 2	Netrokona	40	Kalmakanda	71	Nazirpur	383	Gakhajora	00 70	1
063	4 5	Mymensingh	7 2	Netrokona	40	Kalmakanda	5 9	Langura	422	Goragaon	05 83	2
064	4 5	Mymensingh	7 2	Netrokona	40	Kalmakanda	5 9	Langura	828	Radhanagar	02 87	2
065	4 5	Mymensingh	7 2	Netrokona	38	Khaliajuri	5 4	Krishnapur	787	Nazirpur Muradpur	02 99	1
066	4 5	Mymensingh	7 2	Netrokona	38	Khaliajuri	5 4	Krishnapur	980	Shyampur	017 5	1
067	4 5	Mymensingh	7 2	Netrokona	38	Khaliajuri	13	Chakua	282	Daudpur	015 6	2
068	4 5	Mymensingh	7 2	Netrokona	38	Khaliajuri	13	Chakua	831	Pathra	016 9	2
069	4 5	Mymensingh	7 2	Netrokona	18	Durgapur	2 5	Chandigarh	951	Telachi	015 5	3
070	4 5	Mymensingh	7 2	Netrokona	18	Durgapur	2 5	Chandigarh	961	Thapnarganti	015 8	3
071	5 5	Rangpur	8 5	Rangpur	42	Kaunia	5 4	Sarai	012	Arazi Bircharan Kahma	02 08	1
072	5 5	Rangpur	8 5	Rangpur	42	Kaunia	5 4	Sarai	621	Madamudan	05 51	1
073	5 5	Rangpur	8 5	Rangpur	42	Kaunia	2 3	Haragachh	640	Paikertari	012 4	2
074	5 5	Rangpur	8 5	Rangpur	42	Kaunia	2 3	Haragachh	290	Canaltari	03 22	2
075	5 5	Rangpur	8 5	Rangpur	58	Mithapukur	7 2	Milanpur	386	Jagannathpur	00 82	1
076	5 5	Rangpur	8 5	Rangpur	58	Mithapukur	7 2	Milanpur	692	Nidhirampur	02 90	1
077	5 5	Rangpur	8 5	Rangpur	58	Mithapukur	5 4	Emadpur	363	Emadpur	410 6	2
078	5 5	Rangpur	8 5	Rangpur	58	Mithapukur	5 4	Emadpur	705	Padma Pukur	07 78	2
079	5 5	Rangpur	8 5	Rangpur	27	Gangachhara	6 3	Kolkonda	490	Jitpur Sreeram	00 85	3
080	5 5	Rangpur	8 5	Rangpur	27	Gangachhara	6 3	Kolkonda	599	Kuribisha	129 7	3
081	10	Barisal Division	0 4	Barguna	09	Amtali	13	Amtali	712	Nachna Para	102 0	4
082	10	Barisal Division	0 4	Barguna	09	Amtali	9 6	Sonakata	073	Bara Nishanbaria Chak (Part)	255 7	4
083	10	Barisal Division	0 4	Barguna	19	Bamna	71	Dauatala	535	Gudighata	126 3	4
084	10	Barisal Division	0 4	Barguna	19	Bamna	9 5	Ramna	484	Golaghata	07 38	4
085	2 0	Chittagong Division	19	Comilla	40	Debidwar	10	Bara Shalghar	127	Bara Shalghar	120 9	4

086	20	Chittagong Division	19	Comilla	40	Debidwar	77	Rajamehar	649	Maricha	0571	4
087	20	Chittagong Division	19	Comilla	81	Muradnagar	10	Akubpur	585	Metanghar	2531	4
088	20	Chittagong Division	19	Comilla	81	Muradnagar	58	Purba Nabipur	338	Gunjar	1862	4
089	30	Dhaka Division	82	Rajbari	29	Goalandaghat	57	Debagram	158	Bethuri	0394	4
090	30	Dhaka Division	82	Rajbari	29	Goalandaghat	76	Ujan Char	804	Paschim Ujan Char	1537	4
091	30	Dhaka Division	82	Rajbari	47	Kalukhali	70	Mrigi	065	Banjana	0555	4
092	30	Dhaka Division	82	Rajbari	47	Kalukhali	85	Ratandia	630	Laskardia	0198	4
093	40	Khulna Division	44	Jhenaidah	71	Maheshpur	29	Kazirber	860	Samanta Gopalpur	3510	4
094	40	Khulna Division	44	Jhenaidah	71	Maheshpur	53	Natima	243	Dariapur	0678	4
095	40	Khulna Division	44	Jhenaidah	80	Shailkupa	31	Dudhsar	588	Kulchara	0816	4
096	40	Khulna Division	44	Jhenaidah	80	Shailkupa	75	Sarutia	681	Nabagram	0881	4
097	45	Mymensingh Division	61	Mymensingh	20	Fulbaria	11	Achim Patuli	871	Ramnagar	2915	4
098	45	Mymensingh Division	61	Mymensingh	20	Fulbaria	59	Kushmail	753	Kushmail Niugi	0942	4
099	45	Mymensingh Division	61	Mymensingh	65	Muktagachha	16	Baragram	118	Baragram	1787	4
100	45	Mymensingh Division	61	Mymensingh	65	Muktagachha	77	Mankon	857	Rampur	0376	4
101	50	Rajshahi Division	69	Natore	15	Baraigram	59	Jonail	336	Dwarikusi	2260	4
102	50	Rajshahi Division	69	Natore	15	Baraigram	83	Nagar	039	Atai	0337	4
103	50	Rajshahi Division	69	Natore	41	Gurudaspur	67	Moshinda	105	Bil Kathor	0493	4
104	50	Rajshahi Division	69	Natore	41	Gurudaspur	81	Nazirpur	191	Brindabanpur	0371	4
105	55	Rangpur Division	32	Gaibandha	82	Sadullapur	13	Banagram	395	Habibullahpur	0320	4
106	55	Rangpur Division	32	Gaibandha	82	Sadullapur	77	Kamar Para'	425	Hiali	0243	4
107	55	Rangpur Division	32	Gaibandha	91	Sundarganj	11	Bamandanga	615	Manmatha	2047	4
108	55	Rangpur Division	32	Gaibandha	91	Sundarganj	18	Chandipur	198	Chandipur	2569	4
109	60	Sylhet Division	90	Sylhet	08	Balaganj	33	Kuberali	530	Kuberali	0232	4
110	60	Sylhet Division	90	Sylhet	08	Balaganj	40	Goula Bazar	698	Nij Karanshi	0469	4
111	60	Sylhet Division	90	Sylhet	20	Bishwanath	52	Dasghar	103	Baruni	0502	4
112	60	Sylhet Division	90	Sylhet	20	Bishwanath	63	Khazanchigaon	596	Karma Kalapati	0271	4

Table A8: Selection of Samples in Control Group (Sub-group 4)

Primary Sampling Unit No.	Division Code	Division Name	District Code	District name	UZ Code	UZ Name	UP Code	UP Name	MZ Code	Mauza Name	No. of HH in each Mauza
1	2	3	4	5	6	7	8	9	10	11	12
081	10	Barisal Division	04	Barguna	09	Amtali	13	Amtali	712	Nachna Para	1020
082	10	Barisal Division	04	Barguna	09	Amtali	96	Sonakata	073	Bara Nishanbaria Chak (Part)	2557
083	10	Barisal Division	04	Barguna	19	Bamna	71	Dauatala	535	Gudighata	1263
084	10	Barisal Division	04	Barguna	19	Bamna	95	Ramna	484	Golaghata	0738
085	20	Chittagong Division	19	Comilla	40	Debidwar	10	Bara Shalghar	127	Bara Shalghar	1209
086	20	Chittagong Division	19	Comilla	40	Debidwar	77	Rajamehar	649	Maricha	0571
087	20	Chittagong Division	19	Comilla	81	Muradnagar	10	Akubpur	585	Metanghar	2531
088	20	Chittagong Division	19	Comilla	81	Muradnagar	58	Purba Nabipur	338	Gunjar	1862
089	30	Dhaka Division	82	Rajbari	29	Goalandaghat	57	Debagram	158	Bethuri	0394
090	30	Dhaka Division	82	Rajbari	29	Goalandaghat	76	Ujan Char	804	Paschim Ujan Char	1537
091	30	Dhaka Division	82	Rajbari	47	Kalukhali	70	Mrigi	065	Banjana	0555
092	30	Dhaka Division	82	Rajbari	47	Kalukhali	85	Ratandia	630	Laskardia	0198
093	40	Khulna Division	44	Jhenaidah	71	Maheshpur	29	Kazirber	860	Samanta Gopalpur	3510
094	40	Khulna Division	44	Jhenaidah	71	Maheshpur	53	Natima	243	Dariapur	0678
095	40	Khulna Division	44	Jhenaidah	80	Shailkupa	31	Dudhsar	588	Kulchara	0816
096	40	Khulna Division	44	Jhenaidah	80	Shailkupa	75	Sarutia	681	Nabagram	0881
097	45	Mymensingh Division	61	Mymensingh	20	Fulbaria	11	Achim Patuli	871	Ramnagar	2915
098	45	Mymensingh Division	61	Mymensingh	20	Fulbaria	59	Kushmail	753	Kushmail Niugi	0942
099	45	Mymensingh Division	61	Mymensingh	65	Muktagachha	16	Baragram	118	Baragram	1787
100	45	Mymensingh Division	61	Mymensingh	65	Muktagachha	77	Mankon	857	Rampur	0376
101	50	Rajshahi Division	69	Natore	15	Baraigram	59	Jonail	336	Dwarikusi	2260
102	50	Rajshahi Division	69	Natore	15	Baraigram	83	Nagar	039	Atai	0337
103	50	Rajshahi Division	69	Natore	41	Gurudaspur	67	Moshinda	105	Bil Kathor	0493
104	50	Rajshahi Division	69	Natore	41	Gurudaspur	81	Nazirpur	191	Brindabanpur	0371
105	55	Rangpur Division	32	Gaibandha	82	Sadullapur	13	Banagram	395	Habibullahpur	0320
106	55	Rangpur Division	32	Gaibandha	82	Sadullapur	77	Kamar Para'	425	Hiali	0243
107	55	Rangpur Division	32	Gaibandha	91	Sundarganj	11	Bamandanga	615	Manmatha	2047
108	55	Rangpur Division	32	Gaibandha	91	Sundarganj	18	Chandipur	198	Chandipur	2569
109	60	Sylhet Division	90	Sylhet	08	Balaganj	33	Kuberali	530	Kuberali	0232
110	60	Sylhet Division	90	Sylhet	08	Balaganj	40	Goula Bazar	698	Nij Karanshi	0469
111	60	Sylhet Division	90	Sylhet	20	Bishwanath	52	Dasghar	103	Baruni	0502
112	60	Sylhet Division	90	Sylhet	20	Bishwanath	63	Khazanchigaon	596	Karma Kalapati	0271

    (i)   Household Survey

(Confidential)
(For Statistical and Research Purposes only)

DPS# [ ][ ][ ][ ]

Government of the People's Republic of Bangladesh
Ministry of Local Government, Rural Development and Cooperatives
Local Government Division

Effective and Accountable Local Governance (EALG) Project
NILG Bhavan, Agargoan, Dhaka

Household Survey Questionnaire- 2018

A. Identification of Sample Household

Sl No.	Name and Address of the Respondent		Geo-Code	
1.	Name of Respondent			
2.	Division			
3.	Zila			
4.	Upazila			
5.	Union			
6.	Mouza			
7.	Type of area	Treatment groups-1 Control groups-2		
8.	Telephone number of respondent			
9.	Sample household number			

B. Instructions:

    i) Write all numbers in English
    ii) Fill-up the questionnaire with utmost sincerity
    iii) Give tick mark ☑ or in circle for the right answer (s)

Time of interview:
Date of interview: _____   _____

Interview Status: Complete _____ Incomplete _____ Refuse_____

C. Name of Enumerators and Supervisor

Signature with date

Name of Enumerator: _____   _____

Name of Supervisor: _____   Signature with date _____

Section I: Socio-economic Status of Household

1. Socio-demographic information of Household

SL. No.	Characteristics of Household/ head of household	Information /Code	Remarks/Codes
1	2	3	4
1.	Name of household head		
2.	Sex		Male-1; Female-2
3.	Age		Write in complete year
4.	Level of education (Highest class passed)		No education/Illiterate-1; Class I-V-2; Class VI-X-3; SSC & HSC or equivalent-4, Bachelor degree & above or equivalent-5, Others-6.
5.	Religion		Islam-1; Hindu-2; Buddist-3; Christian-4; Other-5
6.	Marital status		Married-1, Never married-2, Widow-3, Divorced/separeted-4, others-5.
7.	Main occupation (Maximum time spend) of household head		Agriculture (Farm) 1; Industry- 2; Business-3, Service-4, Day-labours-5, Unpaid family workers-6, Students , House Wife -7, other-8
8.	Number of household members		
9.	Economic status of HH		1.Rich, 2. Middle Class , 3. Lower Income, 4. Ultra Poor.

2. HH ownership of assets and durables

Code	Item	Yes	No	No. of Item
01.	Radio/TV	1	2	
02.	Refrigerator/freezer	1	2	
03.	Electric fan	1	2	
04.	Washing machine	1	2	
05.	Micro oven	1	2	
06.	Sewing machine	1	2	
07.	Bed/drawing room furniture	1	2	
08.	Bicycle	1	2	
09.	Motorcycle	1	2	
10.	Car	1	2	

3. HH Ownership of IT and Telecommunication devices and usage of services

Code	Item	Yes	No	No. of Units
1.	Simple Mobile Phone	1	2	
2.	Smart Mobile Phone	1	2	
3.	Laptop/computer	1	2	
4.	HH access to internet	1	2	

4. Type of housing structure (Main house of HH head)
   1- Pacca
   2- Semi-pacca
   3- Kutcha
   4- Jupri

(Goal 15- usage of renewable/non-renewable/bio-fuel by HH)

5. Type of fuel/ energy used for cooking in HH (Select more than one, if applicable)
   1- Wood
   2- Dung/ leafs/ straw etc.
   3- LPG/ natural gas
   4- Kerosene
   5- Electricity
   6- Coal & other

6. HH source of lighting
   1- Electricity from national grid
   2- Solar panel/solar mini grid (renewable)
   3- Kerosene
   4- Others (Please specify): ………………………………

(Goal 6: Ensure availability and sustainable management of water and sanitation for all and Goal 5: Achieve gender equality and empower all women and girls)

7. Main sources of drinking water for HH
   1- Pipe/supply water
   2- Tube well
   3- Dug well (kup)/indara
   4- Surface water (pond, river, canal etc.)
   5- Other (Please specify) _____

8. If tube well is the main source of drinking water, was the tube well water tested for arsenic?
   1- Yes
   2- No

9. If yes, who conducted the arsenic testing of the tube well water?
   1- Households owning tube well
   2- NGOs
   3- Local government institution
   4- Public health engineering department

10. What kind of toilet facility is used by the household?
    1- Sanitary
    2- Pucca toilet (water sealed)
    3- Pucca toilet (not water sealed)
    4- Kutcha toilet (permanent)
    5- Kutcha toilet (temporary)

6- Open space/no toilet
11. Who provided your sanitary latrine?
    1- UP/UZP
    2- NGOs
    3- Purchased by HHs themselves

(Goal 1- End poverty in all its forms everywhere and Goal 5: Achieve gender equality and empower all women and girls)

12. Does the HH/ any HH member own any land?
    1- Yes
    2- No

13. Household land ownership by usage and size

(Goal 1- End poverty in all its forms everywhere and Goal 5: Achieve gender equality and empower all women and girls)

14. Number of income earners in HH by sex
    1- Male
    2- Female

15. Yearly source of HH Income

	Agriculture (Selling of crops)	
	Selling of non-crops (timber, cattle/poultry, fisheries products etc.)	
	Wages & Salaries (service)	
	Business	
	House rent and other property income	
	Remittance and income from other family members	
	Other (dividend, interest, remittances, gifts etc.)	
	Total	

16. Monthly HH Expenditure

	Monthly food expenditure	
	Education	
	Health/Medical costs	
	Fuel costs	
	Transport and communication costs	
	House rent	
	Electricity and Water bill	
	Expenditure on mobile usage (top-up)	
	Personal expenses of HH members (Clothing, footwear & personal care)	

17. Does any member of this household have bank account?
    1- Yes
    2- No
18. If yes, how many household members have bank account?
    Number of member _____
19. Is the HH or HH members recipients of Social Safety Net Program (SSNP)?
    1- Yes
    2- No
20. If yes, what are the SSNPs your HH member receiving.
    1- Old age allowance
    2- Allowances for Widows
    3- Allowances for Pre-natal and Lactating Mothers
    4- VGD, VGF, Test Relief
    5- Disabled allowances
    6- Freedom fighter allowance
    7- Other (please specify) _____
21. Where do members of the HH usually go for treatment or medical attention? (multiple answer may be recorded)
    1- Govt. health workers
    2- Community clinic
    3- Upazilla health complex
    4- Private health practitioner/doctor
    5- Private health clinic
    6- Kobiraz/village herbal practitioners
    7- Homeopathy/ ayurvedic doctor
    8- Other (please specify) _____

(Goal 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all and

Goal 5: Achieve gender equality and empower all women and girls)

22. If there are children aged below 7 years in the HH, are the children enrolled in pre-primary schools?
    1- Yes
    2- No
    3- Not applicable

(Goal 1- End poverty in all its forms everywhere, Goal 5: Achieve gender equality and empower all women and girls and Target 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels)

Section 2: Knowledge about UP activities

23. What is the name of UP chairman
    1- Name: _____
    2- Don't know

24. What is the name of your UP member
    1- Name: _____

2- Don't know
25. Have you visited the UP office in the past one years?
   1   -Yes
   2   - No

26. If yes, Why you have gone there? --
      ----

27. Have you ever visited union digital centre (UDC) for getting their service?
   1- Yes
   2- No
28(a) Are you aware of the functions and responsibilities of UP?
   1- Yes
   2- No
28(b) If yes, what type of services are provided by UP to the local people?
      ………………………………………………………………………….
      ………………………………………………………………………….
28(c) Have you ever received any services from the UP?
   1- Yes
   2- No
28(d) If yes, what type of services you have received from UP?
      ………………………………………………………………………….
      ………………………………………………………………………….
29(a) Has the HH member heard about Citizen's Charter (CC)?
   1- Yes
   2- No
29(b) If yes, have you seen it displayed outside UP office?
   1- Yes
   2- No
30(a) Have you or your family members ever applied for getting any information such as birth registration, nationality certificate etc from UP?
   1- Yes
   2- No
30(b) If yes, have you got that information?
   1- Yes
   2- No

Section 3: Participation in UP activities

31(a) Have you ever participated in any UP meeting?
   1- Yes
   2- No
31(b) If yes, in what type of meeting you have participated (multiple answer may be recorded)?
   1- UP council meeting
   2- Ward Shava
   3- Standing committee meeting
   4- Open Budget meeting
   5- Planning meeting
   6- Meeting of the women development forum
   7- Other (specify)_____

32(a) Have you ever attended any meeting or rally on awarness program organized by UP (law and order, tree plantation etc.)?
    1- Yes
    2- No

32(b) If yes, what type of programme(s) was there?
    Please mention the name of programme/rally:……………………………………….

33(a) Have you or other HH members ever participated in any Ward Shava (WS)?
    1- Yes
    2- No (Go to Q34(a)

33(b) If yes, how many Ward Shava have you attended?
    Number of Ward Shava ....

33(c) What categories of people attended in the Ward Shava (WS)?
    By gender: (1) Male ....%   (2) Female ....%
    By income category   (3) Poor …...%   (4) Non-poor ......%
                       (iii) Scocially marginalized groups ….......%

33(d) Have you raised any issue or problem in the Ward Shava?
    1- Yes
    2- No

33(e) Do you think the Ward Shava is an effective way of community level participation for the local development?
    1- Very much effective
    2- Effective
    3- Neither effective nor ineffective
    4- Ineffective

33(f) Are you satisfied with the programmes/activities of the Ward Shava?
    1- Very satisfied
    2- Satisfied
    3- Neither satisfied nor unsatisfied
    4- Unsatisfied

34(a) Do you know about any UP Standing Committee (SC)?
    1- Yes
    2- No (Go to Q35(a))

34(b) If yes, have you ever participated in any meeting of the UP Standing Committee?
    1- Yes
    2- No

34(c) If yes, would you please let us know the name(s) of the standing committee which you have participated during last year/last time?
    Name of the standing committee ....

34(d) Are you satisfied with programs of the standing committee?
    1- Very satisfied
    2- Satisfied
    3- Neither satisfied nor unsatisfied
    4- Unsatisfied

35(a) Do you know about Upazila women development forum?
    1- Yes
    2- No

35(b) If yes, do you know any UP female member is a member of Upazila women development forum?
   1- Yes
   2- Do not know

Section 4: Knowledge about UP planning, budgeting income, expenditure and auditing

36 (a) Do you aware about UP annual planning process?
   1- Yes
   2- No (go to Q37(a))
36 (b) If yes, have you ever participated for preparation of UP annual plan?
   1- Yes
   2- No
36 (c) Are you satisfied with UP annual plan?
   1- Very satisfied
   2- Satisfied
   3- Neither satisfied nor unsatisfied
   4- Unsatisfied

37(a) Do you know about UP five year plan?
   1- Yes
   2- No (go to Q38(a)

37 (b) If yes, have you ever participated for preparation of UP five year plan?
   1- Yes
   2- No
37 (c) Are you satisfied with the UP five year plan?
   1- Very satisfied
   2- Satisfied
   3- Neither satisfied nor unsatisfied
   4- Unsatisfied

38 (a) Do you know about UP annual budget and open budget meeting?
   1- Yes
   2- No (go to Q39(a))
38 (b) If yes, have you ever participated in the UP open budget session?
   1- Yes
   2- No
38 (c) If yes, have you discussed about some issues on the budget in the open budget meeting?
   1- Yes
   2- No

38 (d) If yes, what were those issues:
      Mention issues ....

38 (e) Was or were those issues accepted in the open budget meeting?
   1- Yes
   2- No
38 (f) Have you seen any female member present in the open budget meeting of the UP?
   1- Yes
   2- No
38 (g) If yes, did the female members raise any issues?
   1- Yes

2- No

38 (h) Are you satisfied with open budget meeting
1- Very satisfied
2- Satisfied
3- Neither satisfied nor unsatisfied
4- Unsatisfied

39. What is your opinion about who are those should be involed for preparation of UP annual budget? (Multiple answers may be recorded)
1- Male
2- Female
3- Youth
4- Poor people
5- Socially marginalized
6- Do not know
7- No comment

40(a) Do you know about auditing of annual income & expenditure of the UP?
1- Yes
2- No
3- Do not know (go to Q41)

40(b) If yes, how do you know?
Please mention ....

40(c) Do you know about UP annual income-expenditure for the year 2016-17 and 2017-18 have been audited by the auditor?
1- Yes
2- No
3- Do not know

40(d) If yes, are you satisfied with the UP auditing system/program?
1- Very satisfied
2- Satisfied
3- Neither satisfied nor unsatisfied
4- Unsatisfied
5- Do not know

41. What is your opinion about participation of common people of the community for UP planning, budgeting and auditing programms:

41 (a) Increase participation of common people for preparation UP annual plan.
1- Necessary to increase
2- Present system okay
3- Do not know

41 (b) Increase participation of common people for preparation of UP annual budget.
1- Necessary to increase
2- Present system okay
3- Do not know

41 (c) Increase participation of common people for UP annual income-expenditure auditing.
1- Necessary to increase
2- Present system okay
3- Do not know

42. What are the name of main heads/sectors for revenue collection of UP?
Please mention (1)…………………………..
(2).......................................
(3)……………………………..

43. Does the HH know about UP's holding tax assessment?
    1- Yes
    2- No
    3- Not applicable/Don't know
44. If yes, is the HH agreed with the tax assessment exercise of their UP?
    1- Agreed
    2- Not agreed
    3- No comment

45. Does the HH pay holding Tax to the UP? If yes, please mention the annual holding tax paid to UP.
    1- Yes   Annual holding tax, Tk ....
    2- No

Section 5: Empowerment of Women and Gender Equality

46 (a)   Are there female HH members involved in income generating activities? If yes, please specify the occupation.
    1. Yes How many: _____ Occupation: _____
    2. No

46 (b) If yes, what is there number and occupation with the estimated monthly income earned by the female HH member?
1. No. of female earner----------------------
2. Occupation-------------------------------------
3. Monthly income (TK) -------------------------------

47. Do female HH members have any bank account and bKash account?
    1. Yes.   Bank Account- 11   bKash Account- 12
    2. No
48. (a) Is there any female member in your HH eligible for Social Safety Net Programs (SSNP)?
    1. Yes   Name of SSNP: _____
    2. No
48(b)   If yes, is she a beneficiary of the said SSNP program?
    1. Yes
    2. No
 49. (a) Does any female member of the HH participate in the decision-making process of the household issues?
    1. Yes
    2. No

 49.(b) If yes, What type of decision making process the female member is involved?-----------------
        ----
        ----
 50. Does any female HH member have their own mobile phone ?
    1. Yes
    2. No

 51. Do any female HH member know how to operate laptop /computer?
    1. Yes
    2. No

 52. How often does your wife/ or other female HH member read newspaper/magazine?

1. Almost every day
2. At least once a week
3. Not at all

53. (a) Do female HH member participate in the Ward Shava meeting ?
    1. Yes
    2. No

53(b) 12. If yes, how often do female HH member participate in the Ward Shava meeting?
    1. Once a year
    2. Once half a year

Section 6: Transparency, accountability and good governance of the UP

54. What is the HH's perception regarding fairness of Selection for the beneficials of SSNP's and relief programs?
    1- Very fair
    2- Fair
    3- Not fair
    4- No comment
    5- Do not know

55. What is the HH's perception regarding the transparency of the UP in making lists for distribution of relief materials to the deserving and eligible people?
    1- Very Transparent
    2- Somewhat transparent
    3- Not transparent
    4- No comment
    5- Do not know

56. Has the HH head or any HH member turned to the UP office/village court for justice or any arbitration?
    1- Yes
    2- No
    3- Not applicable

57. Is the HH satisfied with the governance and service delivery performance of UP?
    1- Very satisfied
    2- Satisfied
    3- Neither satisfied nor unsatisfied
    4- Unsatisfied
    5- No comment

58. Are you satisfied about the UP programmes (good governance, preparation of annual plan, annual budget, auditing or others service delivery)
    1- Very satisfied
    2- Satisfied
    3- Neither satisfied nor unsatisfied
    4- Unsatisfied
    5- Do not know
    6- No comment

59. According to you opinion what are those activities of the UP are useful for the locality?
    Name of programme/activities ....

60. What are those activities/programmes of the UP not good at all for locality according to your opinion?

    Please mention ....

61. What are your specific suggestions about increase participation in various UP programmes?
    a) Poor people ....
    b) Non poor people ....
    c) Female ....
    d) Socially marginalized people ....

Section 7: Information regarding Upazila Parishad Services

62. Do you visit Upazila?
   1- Yes
   2- No

63. If yes, how many times did you visit in last 3 months? ....times

64. Usually for what purpose do you visit Upazila? (Multiple answers may be recorded)
   1- Land related works
   2- Health service
   3- Family planning
   4- Education related works
   5- Fisheries and livestock related works
   6- Project related works in Upazila
   7- Resolve local conflict
   8- Receive banking service
   9- Law and order issue
   10- Sports and culture related works
   11- Others (Please specify....................)

65. If service received, then rate the quality of services provided by the line departments at Upazila level (on the basis of Q 63)

Code	Type of services	Score Rate (1-5) 1. Very good 2. Good 3. Average 4. Bad 5. Very bad
01	Law and order	
02	Communication and infrastructure development	
03	Agriculture and irrigation	
04	Secondary and madrasha education	
05	Primary and mass education	
06	Health and family welfare	
07	Youth and sports	
08	Women and children development	
09	Social welfare	
10	Freedom fighter	
11	Fisheries and livestock	
12	Rural development and cooperative	
13	Culture	
14	Forest and environment	
15	Observation, monitoring and controlling of market price	
16	Finance, budget, planning and mobilization of local resources	
17	Public health sanitation and supply of safe drainage water	

Code	Type of services	Score Rate (1-5) 1. Very good 2. Good 3. Average 4. Bad 5. Very bad
18	Land and related service	
19	Others (please specify ....)	

66. What is your perception about UZP Programs and your Satisfaction on activities of Upazila Parishad.

Code	Type of activities (Read to the respndents)	Do you have idea? 1. Yes 2. No	Satisfaction on activity 1. Very good 2. Good 3. Average 4. Bad 5. Very bad
01	Prepare five year plan and other development plans		
02	Implementation/coordination of different government agencies agenda		
03	Construction maintenance and repair of inter-union roads		
04	Selection & implementation of small irrigation projects		
05	Public health, nutrition and family planning service		
06	Sanitation, drainage and supply of safe drinking water		
07	Expand of Upazila wide education		
08	Maintenance and donate for secondary and madrasha education		
09	Expand and build of small industries		
10	Financing assistance to cooperative societies and voluntary organization		
11	Assistance to women, children, social welfare, youth and cultural activities		
12	Development of agriculture, livestock, fisheries and forestry		
13	Improvement of law and order		
14	Self employment and poverty reduction		
15	Coordination and assistance to development activities of Union Parishad		
16	Protect acid through abuse of children and women		
17	Protecting theft, robbery, use of narcotics, terrorism etc.		
18	Social welfare		
19	Disaster management		
20	Cooperation with other organization		
21	Encourage e-governance srvices		
22	Any duty imposed by government		

67. Do you know about responsibilities and duties of Upazila Chairman?
    1- Yes
    2- No

68. If yes, what types of duties and responsibilities do you know?

Sl No	Duties and responsibilities of Upazila Chairman	Do you have idea? 1. Yes 2. No
01	Day to day administrative matters	
02	Chair all Upazila parishad meetings	
03	Supervise all staffs	
04	Recruit staffs and take disciplinary actions if necessary	
05	Project preparation and implementation	
06	Keep record of Upazila Parishad related all data	
07	Signing contract	
08	Issuing license and permit	
09	Protect crime and resolving conflict	

Sl No	Duties and responsibilities of Upazila Chairman	Do you have idea? 1. Yes 2. No
10	Any duty imposed by govt.	
11	Proceed to court if necessary	
12	Monitoring vice-chairmans duities	

69. Do you know about different development plans of Upazila Parishad?
    1- Yes
    2- No

70. If yes, please provide information on annual development plan on the following issues

Code	Development plans	Satisfaction on activity 1. Very good 2. Good 3. Average 4. Bad 5. Very bad
01	Law and order	
02	Communication and infrastructure development	
03	Agriculture and irrigation	
04	Secondary and madrasa education	
05	Primary and mass education	
06	Health and family welfare	
07	Youth and sports	
08	Women and children development	
09	Social welfare	
10	Freedom fighter	
11	Fisheries and livestock	
12	Rural development and cooperative	
13	Culture	
14	Forest and environment	
15	Observation, monitoring and controlling of market price	
16	Finance, budget, planning and mobilization of local resources	
17	Public health, sanitation and supply of safe drinking water	

71. Do you know about the responsibility and duties of Upazila women vice-chair?
    1- Yes
    2- No

72. Does the Upazila Parishad (UZP) have a citizen's charter?
    1- Yes
    2- No
    3- Don't know

73. Do you know about different plans of UZP?
    1- Yes
    2- No

74. If yes, please mention the name of the development
    plans:…………………………………………….

75. Did you ever participated in any awareness program organized by UZP to address the following social problems?

Code	Social Program	1. Yes 2. No
01	Child Marriage	
02	Dowry	
03	Safe/ clean water	
04	Health and Hygiene	
05	Anti-terrorism	
06	Adult literacy	

07	Violence against women and children	
08	Tree plantation	
09	Other (specify)	

76. Have you ever attended Upazila budget meeting?
    1- Yes
    2- No
77. If yes, did you have any comment on the budget?
    1- Yes
    2- No
78. Do you know about project selection and implementation in the Upazila?
    1- Yes
    2- No
79. Do you know what is the budget of 2018-19?
    1- Yes
    2- No
80. Is it possible to see UZP official, if necssary?
    1- Yes
    2- No
81. If yes, whom is it easier to see?
    1- Upazila chairman
    2- Vice-chairman
    3- Women vice-chair
    4- UNO
    5- UP chairman
    6- Pourashava Mayor
    7- Women member (reserve seats)
82. What is your idea about the governance and service delivery of UZP?
    1- Very good
    2- Good
    3- So so
    4- Not good
83. Do you think that the major activities carried out by UZP are transparent?
    1- Yes
    2- No
    3- Don't know

84. Evaluation of Upazila chairman and vice-chairman's activities

Types of representative	Evaluation Scores (1-5) 1.Very good, 2.Good, 3. Average, 4. Bad 5. Very bad
Chairman	
Women vice-chairman	
Vice-chairman	

85. Have you tried to get information from Upazila Parishad?

    1- Yes   2- No

86. If yes, have you got it?

    1- Yes   2- No

87. What roles UZP can play for the development of your locality?

----

88. What other service do you expect from Upazila Parishad?

----

89. What are your suggestion for strengthen the Upazila Parishad?

(ii)   Union Parishad Survey

Government of the People's Republic of Bangladesh
Ministry of Local Government, Rural Development and Cooperatives
Local Government Division

Effective and Accountable Local Governance (EALG) Project
<u>NILG Bhavan, Agargoan, Dhaka</u>

Union Parishad Survey (UPS) Questionnaire- 2018

A. Identification and General Information of Union Parishad

SL. No.	Name and Address		Geo-Code	
1.	Union			
2.	Upazila			
3.	District			
4.	Division			
5.	Type of area	Treatment groups-1 Control groups-2		

B. Name and designation of information providers

SL. No.	Name	Sex (Male-1; Female-2)	Designation	Mobile No.
1.			UP Chairman	
2.			UP Member/ Panel Chairman	
3.			UP Female Member (reserve seats)	
4.			UP Secretary	
5.				

C. Instruction:

     i)   Write all numbers in English
     ii)   Before taking the interview please explain the objective of the survey to the respondents

Date of Interview : _____   Time of Interview: _____

Interview Status: Complete _____   Incomplete _____ Refuse _____

D. Name of Enumerators and Supervisor
Name of Enumerator:
_____   Signature with date _____
Name of Supervisor:
_____   Signature with date _____

Section 1: General Information of Union Parishad

1. Name of UP Chairman with sex _____ Sex: 1- Male, 2- Female
2. Education Qualification: 1. Below SSC, 2. SSC/HSC, 3. Degree and above, 4. Unable to read and write, 5. Other
3. Duration in the office as chairman: years_____
4. Number of village/ mouzas and households of the Union
   No. of village/ mouzas _____ No. of households _____
5. Annual budget of last and current year
   2017-18_____ 2018-19_____
6. Type of UP functionaries currently working in UP office

Sl. No.	Type of UP Functionaries	Male	Female	Total
1	Chairman			
2	UP Member			
3	UP female member (reserved seat)			
4	UP Secretary			
5	Dafader			
6	Gram Police			
7	Other (specify)_____			

Total

7. Training received on key areas of UP Act 2009 by UP functionaries (write code Yes-1, No-2)

Sl. No. (1)	Area of Training (2)	Chairman (3)	Male member (4)	Female Member (reserve seats) (5)	UP Secretary (6)	Other (7)
1	Training received on mandatory activity of UP					
2	Financial management					
3	Open budget					
4	Local resource mobilization and utilization					
5	Women development					
6	Planning, scheme formulation and implementation					
7	Foundation Tanning					
8	Other (specify)_____					

Section 2: Holding monthly meeting and Ward Shava

8. Does the UP hold monthly meeting regularly on specific agenda with quorum?
    1- Yes, regularly
    2- Not regularly
9. If yes, how many monthly meetings were presided by the UP chairman and the panel chairman during 2017-18?
    1- No. of meeting presided by the UP chairman _____
    2- No. of meeting presided by the panel chairman _____
10. What is the performance of the UP council meeting during last 12 months?

SL. No.	Item	Number/Performance
1	No. of meeting held	
2	Average number of members participated in the meeting	
3	Participation of female members and raised issues	Yes- 1 No -2
4	Average no. of decisions taken per meeting	
5	Regulation/ minutes of the meeting documented/ circulated to the concerned	Yes -1 No- 2
6	Status of implementation of the decisions	Good-1 Neither good nor bad-2 Bad-3

11. Were there two Ward Shava held in each ward of the UP during last year (2017-18)?
    1- Yes 2- No
12. If no, how many Ward Shava were not held during last year and why?
    No. of Ward Shava not held_____
    Reasons for not holding WS…………………
13. What did you do for ensuring participation of females, poor and socially marginalized people in the Ward Shava?
    1- Informed by their concerned UP member
    2- Miking/Drum beating
    3- Invite selected people
    4- Announce at mosque/local hat, bazar
14. Proportion of community people ever attended in Ward Shava (WS)

Sl. No.	Category of People Participated in WS	% of the total people attended
1.	Male	
2.	Female	
3.	Poor	
4.	Non- Poor	
5.	Socially Marginalized People	

15. What do you think about raising issues by female participants in Ward Shava is adequate?
    1- Yes
    2- Not adequate
    3- 50-50
    4- No Comment

16. Number of meetings held at union level in each year with the general people regarding the performance of SSNP (goal 1) and other issues
   1- No. of meetings held _____
   2- Not yet held/ Plan to hold meeting

Section 3: Formation of Standing Committee

17. Has the UP formed all the Standing Committees (SC) and holding meetings and made them functional?
   1- Yes, all committees
   2- Yes, some committees
   3- No

18. How many committees are formed by UP and what are those committees?
   No. of committees formed_____

SL. No.	Name of the committee	No. of meeting held	SC headed by male-1, female-2
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			

19. What proportion of community people aware about UP Standing Committees (SC)
   1- _____%
   2- Don't know
   3- No comment

20. What are the other type of committees in place at UP and headed by whom? (Pl. write code)

Sl. No.	Name of other type of committee	Yes-1 No-2	Committee head by (male-1, female-2)
	Ward Committee		
1	Scheme Supervision Committee		
2	Union Development Coordination Committee (UDCC)		
3	Procurement Committee		

4	Budget Committee		
5	Planning Committee		
6	Resource Mobilization Committee		
7	Other (spee by)		

21. Do you know about Women Development Forum at Upazila Level?
    1- Yes 2- No
22. If yes, is there any female member of your UP who is a member of the Women Development Forum?
    1- Yes 2- No

Section 4: Planning, budgeting, income, expenditure and auditing

23. Has the UP prepared annual plan?
    1- Yes
    2- No
24. Has the UP prepared and have 5 years plan?
    1- Yes
    2- No
25. If yes, what is the period of your current five year plan?
    Period of the plan _____

26. Has the UP mainstreamed local resilience plan into their 5-year development plan?
    1- Yes
    2- No
    3- Don't know
27. Is there any gender focus project i.e. women empowerment in annual and 5 year plan of the UP?

Sl. No.	Type of plan	Yes	No
1.	Annual plan		
2.	5-year plan		

28. If yes, what are the main coverage area in the 5 year plan?

Sl. No.	Item of Coverage	Included in the 5 year plan Yes-1, No-2
1	Infrastructure development	
2	Education	
3	Agriculture	
4	Women empowerment	
5	Scheme for hard core poor	
6	Sports and culture	
7	Program for socially marginalized people	
8	Environment	
9	Tree plantation	
10	Grand for the disabled	
11	Other (specify) _____	

29. Does the UP prepare the annual budget timely?
    1- Yes
    2- No
30. Does the UP held "Open Budget Session" to prepare and finalize the annual budget?
    1- Yes, regularly
    2- Yes, not regularly
    3- No
31. Has ever UP categorically invited females poor and socially marginalized people to participate in UP budget meeting?
    1- Yes
    2- No
32. If, yes, was there any issues/ suggestion raised by these categories of people during last budget meeting.

Sl. No.	Category of Participants	Yes-1	No-2
1	Female		
2	Poor People		
3	Marginalized people		

33. If yes, were there any suggestion/ comments ever accepted in the budget meeting?
    1- Yes 2-No 3- Don't know
34. Is there any budget allocation by UP marked for women responsive development initiatives?
    1- Yes
    2- No
35. UP has regular programe in the annual budget for clean water supply and sanitation (SDG goal 6)
    1- Yes
    2- No
36. What are the major sources of income?
    Please mention: 1) ……………………..
                       2) ……………………..
                       3) ……………………..
37. What is the total amount of funds received under LGSP-III grants by UP in past two years? (TK)

Year	Basic block grants	Performance based grants	Total (TK)
2016-17			
2017-18			

38. What is your annual budget, income and expenditure in past three years?

Year	Budget	Income	Expenditure
2015-16			
2016-17			
2017-18			

39. Has the UP involved and/ or worked together with CSO in organizing social audit?
    1- Yes

2- No
40. Has UP done audit of the income and expenditure for last two years (2016-17 and 2017-18)?
    1- Yes 2- No
41. If yes, what is the rank of the audit and type of objections, if any?
    Rank of the audit_____
    Audit objection(s)_____

Section 5: Service delivery and performance of UP

42. What is the performance of Local Government Support Projects (LGSP)?
    Number of projects implemented_____
    1- Very good
    2- Good
    3- Neither Good or Bad
    4- Bad
43. Number of local government support projects (LGSP) are being implemented or already implemented as poverty alleviation program (SDG goal 1)
    1- No. of poverty alleviation program implemented _____
    2- No. of programs over being implemented _____
    3- No program not yet implement
44. Type of SSNP programmes are being implemented in current year (2018-19) and number of beneficiaries.

Code	Type of SSNP	Programmes under implementation Yes-1 No-2	No. of beneficiaries
1	Old age allowance		
2	Disabled allowance		
3	Widow allowance		
4	Freedom Fighters		
5	Maternal allowance		
6	VGF/ VGD/ TR etc		
7	Others (specify)		

45. Performance of the LGSP Projects (Target 16.7)
    1- Satisfactory
    2- Neither satisfactory nor unsatisfactory
    3- Not satisfactory
    4- No Comment
46. Is/was there any development scheme at UP level implemented for and by women?
    1- Yes
    2- Not yet
    3- Don't know
47. Has there any Climate Change Adaptation (CCA) or Disaster Risk Management (DRM) scheme implemented by UP in partnership with CBOs, including youth and marginalized groups?
    1- Yes
    2- No
    3- Don't know
48. Is there any "Citizens Chatter" prepared by the UP and display for the public?

1- Yes
2- No

49. Do you ever arranged workshop/ meeting etc. for the awareness of the general people regarding various service delivery by UP?
   1- Yes
   2- Not yet
   3- Have a plan

50. Do you agree with the statement that UP is very proactive for service delivery and governance?
   1- Agree
   2- Neither agree nor disagree
   3- Disagree
   4- No Comment

51. What do you think about overall performance of the UP regarding governance and service delivery?
   1- Very good
   2- Good
   3- Neither good nor bad
   4- Bad

52. What is the performance of village court during last two years?

Code	Item	2016-17	2017-18
1	No. of cases filed		
2	No. of cases disposed off		
3	Not applicable/ filed any case		

53. Has UP ever distributed tubewells for drinking water of common people at community level?
   1- Yes 2- No

54. Has UP ever tested arsenic in tube-well water?
   1- Yes 2- No

55. How many UP members/chairman are now in school/madrasha's managing committees under the jurisdiction of the UP (SDG goal 4)
   Number UP representatives _____
   Number of educational institutions_____

56. Ratio of women representatives in various social protection deliveries at UP level (Goal 5)
   ----

57. Whether union disaster management committee (UDMC) formed (Target 11.6)
   1- Yes
   2- No

58. If yes, how many meetings held and the performance of UDMC (Target 11.6)
   1- Number of meetings held _____
   2- Performance of UDMC 1- good, 2- Neither good nor bad, 3- bad

59. Are the infrastructure facilities are improving at UP level according to local needs with keeping in view climate resilient and consistent (Target 11.6)
   1- Yes
   2- Not Sure
   3- No Comment

60. Areas reforested in past 10 years in the UP.
   Acre: _____

61. Extent of degration of land through brick fields, sale/removal of top soils and river erosion/ flooding (filling by sand) etc. (Goal 15)

_____% of total land area

62. Do you know is there any coordination between UP and UZP?
    1- Yes
    2- No

63. How coordination between UP and UZP can be improved?

    ----

64. How UP can provide good services to the people?

    ----

65. What is your suggestion for strengthening the UP?

(iii)   Upazila Parishad Survey

UZP #

Government of the People's Republic of Bangladesh
Ministry of Local Government, Rural Development and Cooperatives
Local Government Division

Effective and Accountable Local Governance (EALG) Project
NILG Bhavan, Agargoan, Dhaka

Upazila Survey Questionnaire-2018

A. Identification and General Information of Upazila Parishad (UZP)

SL. No.		Name and Address of Upazila	Geo-Code
1	Upazila		
2	District		
3	Division		
4	Type of area	Treatment groups-1 Control groups-2	

B. Name and designation of information providers

SL. No.	Name	Sex (Male-1; Female-2)	Designation	Mobile No.
6.			UZ Chairman	
7.			Vice-chairman	
8.			Women Vice-chairman	
9.			UNO	
10.				

C. Instruction:

   iii) Write all numbers in English
   iv) Before taking the interview please explain the objective of the survey to the respondents
   v) Put tick mark or circle the appropriate answer(s).

Date of Interview : _____   Time of Interview: _____

Interview Status: Complete _____   Incomplete _____   Refuse _____

D. Name of Enumerators and Supervisor

Name of Enumerator:_____   Signature with date _____

Name of Supervisor: _____   Signature with date _____

Section I: General Information of Upazila Parishad

66. Name and Qualification of UZP Chairman:
    Name: _____

Educational qualification: 1- Below SSC, 2- SSC/HSC or equivalent, 3- Degree & above or equivalent, 4- Read & write only, 5- Others

67. Area, number of household and population of Upazila
    Area: _____skm   No. of HHs: _____ No. of population: _____
68. Number of UPs and Pourashava in the Upazila
No. of UP: _____, No. of Pourashava: _____
69. Annual budgets of the UZP: 2017-18: Tk. -------------; 2018-19: Tk. -------------
70. No. of staffs currently working in UZP?
    1- No. of sanction posts: _____
    2- No. of staff currently working: _____
    3- No. of vacant post: _____
71. Type of training received by upazila parishad functionaries during 2017–18 and 2016–17

Code	Type and title of training	Chairman	Vice-chairman	Women Vice-chairman
1-				
2-				
3-				
4-				
5-				
6-				

72. Types of training received by women vice-chair (please circle)

Code	Topic/Issue	Yes	No
1-	Standing Committee	1	2
2-	Financial and office management	1	2
3-	Upazila manual of LGD	1	2
4-	Gender related issues	1	2
5-	Child marriage	1	2
6-	Budget and planning	1	2
7-	Women Development Forum (WDF) activities	1	2
8-	SDG	1	2
9-	Dowry	1	2
10-	Sexual harassment/ violence against women and children	1	2
11-	Health and education	1	2

Section 2: Upazila Parishad law/manual and effectiveness of Standing Committee

73. Which of the required secondary legislation instruments are available in Upazila Parishad? (multiple answers may be recorded)
    1- Upazila Parishad manual
    2- UP operational manual
    3- Guideline for budget preparation
    4- Guideline for preparation of five year plan
    5- Guideline for preparation of annual plan
    6- RTI Act
    7- Tendering guideline

8- Guideline for procurement
9- Planning book
10- Others (Please specify)_____

74. Whether the Upazila has bye-laws?
    1- Yes
    2- No

75. If no, what are the reasons?
    1-
    2-
    3-
    4-

76. Has any Standing Committee (SC) been formed?
    1- Yes
    2- No

77. If yes, please provide information about the following committee

Sl. No.	Name of Committee	Whether formed 1-Yes 2-No	Identity of chairperson of the committees (1-Male, 2-Female	How many meetings were held during the last one year? (2017-18)	How many decisions were taken during the last one year? (2017-18)	How many decisions were implemented?
1.	Law and order					
2.	Communication and infrastructure development					
3.	Agriculture and irrigation					
4.	Secondary and madrasha education					
5.	Primary and mass education					
6.	Health and family welfare					
7.	Youth and sports					
8.	Women and children development					
9.	Social welfare					
10.	Freedom fighter					
11.	Fisheries and livestock					
12.	Rural development and cooperative					
13.	Culture					
14.	Forest and environment					
15.	Observation, monitoring and controlling of market price					
16.	Finance, budget, planning and mobilization of local resources					
17.	Public health, sanitation and supply of safe drainage water					
18.	Others (Please specify)_____					

78. Holding number of general meetings of the UZP during 2016–17 and 2017–18
    1- 2016–17: No. _____
    2- 2017–18: No. _____

79. Awareness of Women Development Forum members about local government acts/rules

Code	Local Government Acts/Rules	Yes	No
1-	UZP Act 2009	1	2
2-	UZP Act 2011 Amendment	1	2
3-	UZP Budget Act 2010	1	2
4-	UZP revenue utilization rule 2014	1	2
5-	UZP manual	1	2

80. Are the Terms of References (ToRs) for Upazila Committees approved and introduced into regulatory framework?
    1- Yes, for all the committees
    2- Yes, for some committees
    3- Not at all

81. If no, the reasons for not approving of the ToRs? Please mention below.
……
…….

Section 3: Planning, budgeting, income, expenditure and auditing

82. Whether there is any annual development plan.
    1- Yes
    2- No
83. If no, what are the reasons?
    1-
    2-
    3-
84. Does the Upazila Parishad have development plan and budgeting guideline?
    1- Yes
    2- No
85. Were the officials given training on planning and budgeting guideline?
    1- Yes
    2- No
86. Information on Annual Development Program (ADP) related projects 2017-18.

Sl. No.	Type of Projects	No. of Projects	Allocation for projects (TK)
1.	Sustainable Development Goals (SDGs)		
2.	Eradication of hungry and extreme poverty		
3.	Universal primary education		
4.	Women empowerment and equality between male and female		
5.	Reduction of infant and material mortality		
6.	Development of material health		
7.	Combating HIV/AIDS, malaria and other diseases		
8.	Sustainable development		
9.	Global partnership for development		

87. Whether five year plan prepared.
    1- Yes
    2- No

88. If yes, in which year it was prepared and the period of the plan?
    1- Year of plan prepared_____
    2- Period of the five year plan_____
89. If no, what are the reasons?
    1- Lack of skilled manpower
    2- Lack of resources
    3- No instruction from upper level
    4- Others (Please specify)_____
90. Does the Upazila Parishad (UZP) prepare budget every year?
    1- Yes

2- No
91. If no, what are reasons?
    1- Lack of skilled manpower to prepare budget
    2- Lack of required resources for prepare budget
    3- No instruction from higher authority
    4- Others (Please specify)_____
92. Were the procedures properly followed in preparing budget?
    1- Yes
    2- No
93. Does the UZP publish their budget timely?
    1- Always on time
    2- Yes, but not timely
    3- Does not
94. Do you think the appointment of some skilled person is / are required to prepare budget?
    1- Yes
    2- No
95. Has the budget session been held?
    1- Yes
    2- No
96. Who did participate in the budget session?
    1-
    2-
    3-
97. Information regarding Upazila budget

Part	Code	Description	Budget for 2017-18 (TK)
Part-I (Revenue)	01	Received	
	02	Revenue	
	03	Grant	
	04	Total receipt (A)	
	05	Additional revenue expenditure	
	06	Revenue surplus/deficit	
Part-II (Development account)	07	Development grant	
	08	Others grants/revenue surplus	
	09	Total (B)	
	10	Total assets received (A+B)	
	11	Minus development expenditure	
	12	Total budget surplus/deficit	
	12	Plus initial balance	
	14	**Total budget balance**	

98. Has open Budget and Participatory Planning mechanisms in UP Act piloted, adapted and replicated in UZP Act?
    1- Yes
    2- No yet
    3- Don't know
99. Has the UZP received and monitored local plans and budgets by at least three transferred departments?
    1- Yes
    2- No yet
    3- Don't know
100.   Major sources of income of Upazila Parishad during 2016-17 and 2017-18.

Sl. No.	Major head of income	2016-17	2017-18
1.	Income from house rent of UZP		
2.	Income from hat-bazar, water bodies, farryghat etc.		
3.	All kind of taxes		

4.	Registration fees and others		
5.	Development grants from goverment		
	Total		

101.   Major heads of expenditure during 2016-17 and 2017-18 of UZP.

Sl. No.	Head of Expenditure	2016-17	2017-18
1.	Revenue expenditure (wages, salaries, allowance and house rent, utility bills and operational cost etc.)		
2.	Development expenditure (repair and maintenance construction, relief and others		
	Total		

102.   Whether the line departments have been integrated with the last year budget?
   1- Yes
   2- No

103.   Whether the Upazila Parishad has any own fund?
   1- Yes
   2- No

104.   If yes, what is the amount? _____Tk.

105.   Whether SDG have given the priority in the budget.
   1- Yes
   2- No

106.   Has this Upazila undertaken any initiatives on SDG localization (such as targeted people under SSNP, SDG Goals 4, 5, 6,11b)?
   1- Yes
   2- No

107.   Has the UZP improved expenditure against the budget?
   1- Yes
   2- Progressing
   3- Not yet
   4- Don't know

108.   Has the UZP Public Financial Management (PFM) manual prepared and piloted?
   1- Yes
   2- Under progress
   3- Not yet
   4- Don't know

109.   Does the UZP reconcile their accounts regularly in time?
   1- Yes, regularly
   2- Yes, not regularly
   3- No
   4- Don't know

110.   Has the income and expenditure accounts of UZP for 2016-17 and 2017-18 audited?
   1- Yes
   2- No

Section 4: Transparency, accountability and right to information

111.   Has the Upazila a citizen charter?
   1- Yes
   2- No

112.   If no, what are the reasons?
   1- Has not prepared yet.
   2- Has not given importance

3- Don't think necessary /not need
4- Under preparation/process
5- Others (Please specify)_____

113.   Has any officer been appointed to provide information to the citizens as per the Right to Information Act 2009?
1- Yes
2- No

114.   If, no, why has not been appointed?
1- Did not know, whether it is necessary to appoint
2- Did not think necessary
3- Was not any instruction from local government division
4- Others (Please specify)_____

115.   Is there any provision for Right to Information Act?
1- Yes
2- No

116.   How many applications have been received for information in last one year? _____Number

117.   How many applicants were provided the information applied for? _____ persons

118.   Does any counseling meeting hold during last year in Upazila Parishad?
1- Yes
2- No

119.   Does the working paper prepare for the Upazila Parishad meeting?
1- Yes
2- No

120.   Do the agendas of the meeting be prepared?
1- Yes
2- No

121.   Who does call the meeting of the parishad?
1- Local Member of Parliament
2- Chairman
3- UNO
4- Vice-chairman
5- Female Vice-chairman
6- Others (Please specify)_____

122.   Has the Upazila Act amended with mandatory UZP Committee Provision for inclusion of Citizens, CSO and local media and practiced in all selected UZPs?
1- Yes
2- No yet
3- Don't know

123.   Has the Upazila have active Facebook and Twitter accounts?
1- Yes, both accounts
2- Only Facebook account
3- Only twitter

124.   Has the UZP adopted public engagement strategies in their planning and service monitoring?
1- Yes
2- No

125.   What is your idea about percentage of citizens in this Upazila who aware of UZP activities and key priorities in the annual budget?
1- Less than 25%

2- 25%-40%
3- 41%-50%
4- 51%-70%
5- More than 70%
6- Don't know

126.   Is this UZP and its functionaries of at least 3 transferred departments coordinate their activities with the District Development and Coordination Committee?

1-   Yes, always coordinate

2-   Yes, time to time coordinate (as and when necessary)

3- Yes occasionally coordinate

4- Never coordinate

5- No comments

127.   If yes, how many times coordinated in a year?

Number:

Section 5: Service delivery, governance and gender balance

128.   What proportion of Citizens by gender and by economic status is satisfied with services delivery of UZP?

Code	Type of Citizen	Level of satisfaction				
		Very Satisfied	Satisfied	Neither satisfied nor unsatisfied	Unsatisfied	Very unsatisfied
1	Male	1	2	3	4	5
2	Female	1	2	3	4	5
3	Poor	1	2	3	4	5
4	Non-poor	1	2	3	4	5
5	Socially marginalized	1	2	3	4	5

129.   Has UZP regular programme in the annual budget for clean water supply and sanitation (SDG goal 6)?
1- Yes
2- No

130.   a) Is Women vice-chair trained?
1. Yes
2. No

65. b) Is the women vice-chair trained and active in the Women Development Forums?

1- Yes, very active
2- Yes, somewhat active
3- Not active
4- Don't know

131.   Is the women councilor/member trained and active in Women Development Forums?
1- Yes, active
2- Yes, somewhat active
3- Not active
4- Don't know

132.   Are the women councilors in UZP who report they can participate effectively in debates and influence council decision making process?
1- Yes, always

2- Yes, occasionally
3- Not at all
4- Don't know

133. Has any UZP scheme been implemented under the leadership of women vice-chair/women representatives?
    1- Yes
    2- Not yet
    3- Don't know

134. Number of meetings held at upazila level in each year with the general people regarding the performance of SSNP (SDG goal 1) and other issues.
    1- No. of meetings held _____
    2- Not yet held

135. Number of local government support projects (LGSP) are being implemented or already implemented in your Upazila as poverty alleviation programs (SDG goal 1)
    1- No. of poverty alleviation programs implemented _____
    2- No. of programs ever being implemented _____
    3- No program not yet implement

136. Number of UZP members and chairman who belong to school/madrasha's managing committees under the jurisdiction of the UZP (SDG goal 4)
    1- Number UZP representatives _____
    2- No. of institutions _____

137. Whether upazila disaster management committee (UDMC) formed (SDG Target 11.6)
    1- Yes
    2- Not yet formed

138. If yes, how many meetings held and the performance of UDMC (SDG Target 11.6)
    1- Number of meetings held _____
    2- Performance of UDMC   21- good   22- So so   23- bad

139. Performance of the LGSP Projects (Target 16.7)
    1- Very satisfactory
    2- Satisfactory
    3- Neither satisfactory nor unsatisfactory
    4- Unsatisfactory
    5- No comment

140. Is there any coordination between UP an UZP?
    1- Yes
    2- No

141. How coordination between UP and UZP can be improved?

    ----

142. How UZP can provide good services to people.

    ----

143. What are your suggestion for strengthen the UZP?

Annexure-3: House Listing Form

Government of the People's Republic of Bangladesh
Ministry of Local Government, Rural Development and Cooperatives
Local Government Division
Effective and Accountable Local Governance (EALG) Project
<u>NILG Bhavan, Agargoan, Dhaka</u>

Mouza/Village --------   Union-----------   Upazila-----------   Distirct------------

House Listing Form

SL. No.	Name of household head	Father's name	Main occupation of HH head

Annexure-4: Report of KIIs and FGDs at UP and UZP Levels

1. Key Informant Interviews (KIIs)

For collection of quantitative data for the Base line survey of the Efficient and Accountable Local Governance (EALG) project, a number of Key Informant Interviews (KIIs) were conducted in selected sample areas at Union and Upazila levels. KIIs were conducted in the following districts:

Annexure Table 1: Number of Informant Interviews conducted at Union and Upazila level by district

District	Number of KIIs conducted at		Total	Remarks
	Union Level	Upazila Level		
Comilla	2	1	3	School Teacher, Businessman, Social workers, local leader, UP function aries etc. were interviewed
Patuakhali	2	1	3	
Khulna	1	-	1	
Rajshahi	1	1	2	
Rangpur	1	-	1	
Netrokona	1	-	1	
Sylhet	-	1	1	
Barisal	-	1	1	
Total	8	5	13	

A total of 13 KIIs were conducted of which 8 were at the Union level and five were at the Upazila level. These persons were interviewed on selected issues of governance and service delivery of the two local government tiers namely Union Parishad and Upazila- Parishad. The qualitative information collected on the specific issue ares presented below in summarized from:

I.I Holding regular UP council meeting and status of implementation of decisions:
- Almost everybody were of the view that monthly meetings of the UPs were conducted regularly, although sometimes the date of the meeting was differed due to unavoidable reasons.
- Implementation of decisions of the UPs were barely adequate (neither good nor bad) according to most of the discussants.
- Few of them said implementation status was good but with long delays.

1.2 Holding ward shavas (WSs), who and how people participated in WSs:
- Everybody informed that Ward shavas almost never conducted at least twice in a year in each Ward.
- Occasionally, Ward shavas were conducted by the UP members because of compliance.
- Few respondents (KII) were not familiar about the Ward Shava.

- Most of the respondents were of the view that UP member informed certain people of his choice in the Ward to attend in the meeting in informal ways.
- Most people attending the WSs were male.
- Only a few respondents (numbering 2) mentioned that a few poor women were also presented in the WSs.

1.3 Share of Participation of females and poor people in Ward Shavas:
- All respondents mentioned that so far they knew, the participation of females, poor and marginalized people were very limited in the Ward Shavas.
- They noted that, UP members in most cases, did not give proper importance to holding the WSs in a proper manner. As a result, not many people representing the diversity of the community were invited and thus participation of poor, marginalized, and women were poor.
- Ward members were reluctant to hold WS opined by two informants

1.4 Preparation of Annual and Five Year Plan by UP:
- Most of the KII respondents knew about annual plan of the UP and they observed that UPs prepared the annual plan regularly.
- Some respondents did not know about the requirement that the UPs were to prepare five year plans.
- Some participants observed that some UPs had prepared their five year plans.
-
- KII participants did not know about any scheme for female empowerment in the UP annual plans.

1.5   Percentage of people who knew about Standing Committee (SC) and holding of SC meetings:
- Nobody knew about Standing Committee, not even an UP member who was interviewed.
- They felt that perhaps only a few people might be informed about know about SCs.
- The participants did not about regular holding of SC meetings.

1.6   Whether UPs prepared annual budget and organized open budget meetings:
- Few respondents said that UPs prepared annual budget and some even did not know that.
- All KII participants mentioned that they were not informed about open budget meetings organized by UPs.
- They also mentioned that they never heard about open budget meeting and about the various categories of people who participated in those meetings.
- Some former Chairman and UP member also agreed about not conducting open budget meetings in their UP

1.7   Opinion about UP holding tax, whether UP had done any audit of annual income and expenditure:
- They knew very little about holding tax. Someone mentioned that without informing the taxpayers some UPs had refixed/increased the annual holding tax.
- Some (2 participants) observed that the taxpayers were never consulted before increasing the holding tax.

- Nobody knew about auditing of annual income and expenditure of UPs.

1.8 Whether UP holding any meeting/rallies for awareness raising of people on social issues (early marriage, dowry, tree plantation), UP had citizen's charter and formed Disaster Management Committees:
- All the respondents (KIIs) mentioned that UP organized time to time meetings/rallies for observing national programs as well as for awareness raising activities.
- Nobody knew about citizen's charter for the UPs, only a former UP Chairman said that UPs had citizen's charter.
- None of the respondents knew about the formation of Union Disaster Management Committee.

1.9 Operation of UP service delivery (providing various certificates and others services) and developments of roads, culverts, drainage etc.:
- Most of them noted that the UPs provides all relevant certificates like: birth, nationality, trade license etc. without much delay.
- Development of roads, culverts were very slow. UPs were doing some minor public work projects.
- UP functionaries had much interest in distributing allowances and relief materials.

1.10 Opinion about the success in delivering various services and governance by UPs:
- Most of them described the service quality as barely adequate (neither good nor bad).
- A few participants observed that the current service deliveries by UPs were good and they did not hear any major complaint against the UP functionaries.

1.11 Opinion about transparency in selection of beneficiaries for various allowances/ reliefs:
- This is an area where different types of irregularities generally occur and the UP functionaries are believed to be the main beneficiaries.
- Everyone said there was a corruption in selection of beneficiaries, only in 30 percent cases fair selections were done. The other 70 percent selection was done on the basis of political, nepotism, bribing etc.
- The transparency in the selection process, and the resulting selection beneficiaries leads to misdirected distribution of allowances and relief goods.

2. Focus Group Discussion (FGD) at UP and UZP level:

Focus Group discussions were also conducted for collection of qualitative data on EALG project to supplement quantitative data collected through the Baseline survey. The following FGDs were conducted:

Annexure Table 2: Coverage of Focus Group Discussions at Union and Upazila Level by District

District	No. of FGDs conducted at			Remarks
	Union Level	Upazila level	Total	
Patuakhali	2	1	3	Line department officials, media persons, local leaders, school teachers etc.
Khulna	1	-	-	
Cumilla	1	1	2	
Rajshahi	1	1	2	
Faridpur	1	1	2	
	6	4	10	

The qualitative data on various issues of governance and services delivery based on focus group discussions at Union and Upazila levels are presented below in summarized form:

2.1 Whether monthly meetings regularly held and decisions taken:

- All discussants noted that UP monthly meetings were regularly held and sometime panel chairman presided the meetings.
- However, nobody could mention any decision of the meetings.
- One former chairman and an UP member mentioned that monthly meetings were held regularly and some decisions were taken regarding:
  (i) Stopping early marriage
  (ii) Birth-death registration and
  (iii) development works.

2.2 Knowing about holding Ward Shavas twice in a year and category of people participating in WSs

- Everybody had mentioned that Ward Shavas were not held twice in a year for every ward.
- They occasionally heard about holding of Ward Shavas in some Ward.
- Some discussants even mentioned that they never heard about holding of Ward Shavas.
- Most of them could not mention about the categories of people participating in Ward Shavas. 20% participants said primarily male persons who were close to the UP members participated in the meetings. Participation of females were believed to be insignificant.

2.3 Whether females raised any local issues in Ward Shavas and participated in the discussions:

- Most of them mentioned they did not know about this matter.

- Few discussants said that sometimes females participated in Ward Shavas and took part in the discussions.

2.4   Preparation of annual and five-year plan by UP:

- All discussants mentioned that UPs prepared annual Plans regularly.
- Regarding five-year plan preparation, about 30% of participants knew about the requirement and preparation of five-year plans by the UPs and remaining discussant had no idea about the UP five-year plan.

2.5   Preparation of Annual UP budget and arrangement of open budget meeting:

- UP prepared annual budget regularly, as mentioned by all FGD participants.
- Nobody mentioned that open budget meetings were arranged by the UP authorities for preparation of annual budget.
- A former UP chairman had mentioned that open budget meeting was organized by the UP authorities.

2.6   Category of people who participated in open budget meetings and whether they took part in the decision making process:

- Almost nobody   knew about the categories of people participating in open budget meetings.
- Only one former chairman said at that various categories of people attended in the open budget meetings.

2.7 Service delivery of UP particularly certificates, water, sanitation, health & education and public works development:

- All the services provided by the UPs were graded to be at average level.
- A few discussants mentioned/complained that there was no development of roads and culverts in their areas.
- They did not know about Upazila budget meeting.

2.8 Whether UP organized any social awareness raising program such as dowry, early marriage, tree plantation etc.:

- All discussants mentioned that UPs were doing such awareness programs on these and other issues in their respective jurisdictions. Besides, UP organized various national programs and arranged rallies for observance of the national days/events.

2.9 Development/implementation of roads and other infrastructures:

- Everyone said that performance was average in terms of implementation of various projects.
- A few participants also mentioned that performance of the UPs in this regard was not good at all.

2.10 Transparency about selection of beneficiaries of SSNP and relief materials.

- Most of the FGD discussants mentioned that the selection of beneficiaries of SSNP and reliefs materials were not transparent. The selection was done by considering political issues, nepotism and other factors.
- A few said that the selection of beneficiaries was almost fair and acceptable to the local people.

2.3 Focus group discussion at Upazila level:

2.3.1 UZPs having legal documents and activities of WDF:

- All legal documents were there in the Upzaila Parishad office. All the documents were in the UNO office but also were in UZP chairman's office.
- Some of the discussant did not know about the nature of legal documents but that was quite natural.
- Most discussants felt that the activities of the WDF were good.

2.3.2 Annual and five-year plan of UZP and its preparation:

- About eighty percent of the FGD discussants mentioned that UZPs had annual plans.
- On asking who prepared the Plans and if anyone was present at the preparation stage of the annual and five-year plan, almost all of them was not able to provide positive answer.
- Nobody knew who was responsible for preparing the plan. Some categorically mentioned they did not hear about five-year plan preparation by UZPs.

2.3.3 Formation of Standing Committees and implementation of decisions taken by the committees:

- Officials of the line departments/ministries mentioned that as far as they knew all Standing Committees were formed as per the legal requirements.
- Other discussants however had very little knowledge about the Standing Committees and implementation of decisions taken by the various committees.

2.3.4 Preparation of UZP annual budget; Participation in budget meetings; and female participation in the discussion:

- UZPs prepared and released annual budgets, according to the chairpersons of the FGDs held at Debidwar, Patuakhali, Sader and Godagari Upazila NIrbahi officers.
- Mainly members of the UZPs (all UP chairmen and officers of the transferred departments of the Upazila) and selected persons including media persons participated in the annual budget meetings of UZPs.
- Females members were also participated in the discussions and their suggestions and recommendations were also accepted.

2.3.5 Participation of line-departments in budget meeting and auditing of income and expenditure:

- More than 80% representatives of line departments participated in the budget meetings.
- Auditing of income and expenditure of budgetary accounts were done somewhat casually.
- Opinion of a few participants, other than line departments, had a mixed attitude regarding annual UZP budgets and auditing.

2.3.6 Holding of general meetings by UZPs based on set agenda, and the proportion of local people who knew about the major programs of UZPs:

- Most participants informed that general UZP meetings were held based on fixed agenda and minutes of the meeting were circulated amongst the concerned persons.
- Almost everybody mentioned that less than 5% of citizens knew about the major programs of the UZPs.

2.3.7 Perception of people about the service delivery by the UZPs and the line departments:

- Almost everybody mentioned that the level of service provided by the UZPs as well as the line departments were of average quality, except a very few line departments.
- A few participants mentioned that service delivery was barely satisfactory and in some instances the services of some line departments were not acceptable by any standard.

2.3.8 Capacity of implementation of development programs, transparency and effectiveness of women vice-chairs of WDFs:

- All participants mentioned that the UZPs had capacity to implement development programs.
- Transparency of programs was limited and all relevant information were not made available to the public.
- Women vice-chairs were very effective in women development forum mentioned, according to all discussants.

2.3.9 Level of success and visibility of UZP programs, suggestions for strengthening the UZP for better service delivery:

- The level of success and visibility of UZP programs were not significant. The scope of works of the UZPs was very limited due to lack of resources, according to the discussants.
- More resources should be mobilized and allocated to UZPs.
- More freedom and power should be given to the UZP chairmen.
- Interference and influence should be removed.
- More manpower should be mobilized to strengthen implementation capacity of UZPs.
- Co-ordination between MPs and UZP Chairmen and between UZP chairmen and UNOs should be increased.