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GUIDELINES FOR STRATEGIC ENGAGEMENT
Experience-based Guidelines for Non-governmental Organisations

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Do You Want To…

- Connect with citizens and Union Parishads effectively to leverage impact on the ground?
- Ignite citizens to leverage ‘untapped’ resources and institutionalise citizen groups for improving services and good governance?
- Inspire and encourage Union Parishads to lead programmes and ensure quality services?
- Adopt transparency and accountability in your own organisations, that is, NGOs/CSOs?
- Accept challenges to innovate, customise, replicate and accelerate development solutions?

If your answer is ‘yes’, then these brief guidelines are for you.

These guidelines will help you to think innovatively about the points of engagement in which ‘we and the supporting partners, especially NGOs’, can work collaboratively to make the most effective use of every moment, when we encounter multiple stakeholders.
# ABBREVIATIONS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
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<tbody>
<tr>
<td>BCC</td>
<td>Behavior Change Communication</td>
</tr>
<tr>
<td>BDT</td>
<td>Bangladesh Taka</td>
</tr>
<tr>
<td>CapDev</td>
<td>National Basic Capacity Development Framework</td>
</tr>
<tr>
<td>CARE</td>
<td>Cooperative for Assistance and Relief Everywhere</td>
</tr>
<tr>
<td>CBOs</td>
<td>Community-based organisations</td>
</tr>
<tr>
<td>CCC</td>
<td>CBO Coordination Committee</td>
</tr>
<tr>
<td>CRP</td>
<td>Community Resource Person</td>
</tr>
<tr>
<td>CSO</td>
<td>Civil society organisation</td>
</tr>
<tr>
<td>DASCOH</td>
<td>Development Association for Self-Reliance, Communication and Health</td>
</tr>
<tr>
<td>DPHE</td>
<td>Department of Public Health Engineering</td>
</tr>
<tr>
<td>HLP</td>
<td>Horizontal Learning Program</td>
</tr>
<tr>
<td>IDE</td>
<td>International Development Enterprises</td>
</tr>
<tr>
<td>IEC</td>
<td>Information, education and communication</td>
</tr>
<tr>
<td>IWRM</td>
<td>Integrated Water Resource Management</td>
</tr>
<tr>
<td>JICA</td>
<td>Japan International Cooperation Agency</td>
</tr>
<tr>
<td>LGD</td>
<td>Local Government Division</td>
</tr>
<tr>
<td>LGI</td>
<td>Local government institution</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-government organisation</td>
</tr>
<tr>
<td>NILG</td>
<td>National Institute of Local Government</td>
</tr>
<tr>
<td>SDC</td>
<td>Swiss Agency for Development and Cooperation</td>
</tr>
<tr>
<td>SDSD</td>
<td>Sustainable Solutions for the Delivery of Safe Drinking Water</td>
</tr>
<tr>
<td>UDCCM</td>
<td>Union Development Coordination Committee Meeting</td>
</tr>
<tr>
<td>UISC</td>
<td>Union Information and Service Centre</td>
</tr>
<tr>
<td>UNO</td>
<td>Upazila Nirbhahi Officers</td>
</tr>
<tr>
<td>UP</td>
<td>Union Parishad</td>
</tr>
<tr>
<td>UPZ</td>
<td>Upazila</td>
</tr>
<tr>
<td>URT</td>
<td>Upazila Resource Team</td>
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</tbody>
</table>
ACKNOWLEDGEMENTS

‘Guidelines for Strategic Engagement: Experience-based Guidelines for Non-governmental Organisations’ is a product resulting from an analysis of the 18 years of learning of the ‘Development Association for Self-Reliance, Communication and Health’ (DASCOH), an international non-governmental organisation (NGO), now a national NGO, located in Barind area of Bangladesh.

We are grateful to citizens of Union Parishads and their local government representatives, such as chairmen, members, women members and also UP secretaries of Chapai Nawabganj, Rajshahi and Sunamganj districts for sharing their insights, thoughts and comments on DASCOH’s inputs in their area, to capture and analyse learning for preparing these guidelines.

The support of Upazila elected representatives, Upazila Nirbahi Officers (UNOs) and support from the National Institute of Local Government (NILG) and Local Government Division (LGD) senior officials for giving us suggestions on how to package these guidelines is much appreciated.

We also convey our gratitude to all members of community-based organisations (CBOs), staff and consultants of DASCOH for assisting us in collecting and collating various data and information, as well as in conducting sample surveys for preparing these guidelines and making them evidence-based.

We are also thankful to all the people, professionals, friends and institutions who encouraged us and helped us finalise these guidelines in an effective manner, who were directly or indirectly associated with this analysis.

Finally, our thanks and gratitude also go to the Swiss Agency for Development and Cooperation (SDC), for providing all necessary support to the authors to analyse, review and prepare these guidelines.

Lastly, special thanks goes to the NILG for accepting and publishing these guidelines as one of the products of the institution.

We will be happy if these guidelines are useful for NGO sector colleagues.

Kabir M. Ashraf Alam
Santanu Lahiri
The launching of the National Basic Capacity Development Framework for Union Parishads enabled the National Institute of Local Government (NILG) to progressively change its role from delivering training towards ensuring quality training and extend partnership with non-governmental organisations (NGOs) to utilise their resources within the National Resource Pool.

In addition to that, incorporating horizontal learning within the demand responsive training further assisted NILG to learn about existing good practices that are being learned and replicated by the Union Parishads from their peers. As a result, NILG is now in a unique position to learn various achievements and challenges that exist to provide support for ensuring effective capacity building and, thus ensure improved basic services at the grassroots level.

I personally had the opportunity to visit some of the Union Parishads to see their respective good practices and conduct a dialogue with citizens, national building agencies and local representatives. I am personally happy to have observed many good practices. I am confident that if these are strategically shared and their replication is facilitated, we can achieve our development goals more effectively.

Against this backdrop, the NILG’s attempt to develop ‘Guidelines for Strategic Engagement: Experience-based Guidelines for Non-governmental Organisations’ is a big step forward towards assisting NGOs to engage more effectively with Union Parishads.

This is the first edition and in future more steps will be added by drawing on the experiences of other NGOs to make this unique guideline more comprehensive.

We firmly believe that these guidelines will contribute to establish a strong, responsible and accountable system of mutual collaboration between NGOs and Union Parishads.

We expect that it will be useful to not only NGOs and Union Parishads, but also to a wider community of actors engaged in improving local governance in Bangladesh.

In this respect, I would like to take this opportunity to congratulate the National Institute of Local Government (NILG) and Swiss Agency for Development and Cooperation (SDC) for taking the initiatives for publication of this important guidelines. I also would like to thank both authors, Mr Kabir M. Ashraf Alam and Mr Santanu Lahiri, all other contributors and peer reviewers for their assistance in the publication of these guidelines.

I hope this book will be appreciated by sector colleagues in Bangladesh and elsewhere.

Date: August 20, 2014

Monzur Hossain
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Part D: Summary of Guidelines 71

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These ‘Guidelines for Strategic Engagements: Experience-based Guidelines for Non-governmental Organisations’ (NGOs) are basically meant for NGO professionals and field workers. However, professionals and field workers from community-based organisations (CBOs), elected representatives from Union Parishads (UPs), officers from line agencies and natural leaders will also benefit from this booklet. This booklet is also meant for those who wish to support development projects or programmes and ensure good governance for the people of Bangladesh.

The UPs are the main focal agencies responsible for ensuring good quality services and good governance for all citizens in rural Bangladesh. As per the Union Parishad Act, 2009, UPs have 39 dedicated functions to perform by operationalising 13 standing committees, and establishing and operationalising ward committees at every ward level. This enormous task requires two kinds of support.

The first is support for capacity building, which is assigned to the National Institute of Local Government (NILG). The NILG is assigned to train more than 70,000 elected representatives of UPs, Upazila Parishads (UZPs) and Pourashavas. It is impossible to address capacity building of all the trainees simultaneously. Therefore, in collaboration with sector partners and through a joint partnership framework, the NILG developed a National Basic Capacity Development (CapDev) Framework, a unified course curriculum for both government and non-government projects and programmes, followed by establishing a Resource Pool consisting of almost 150 professionals from both government and non-governmental organisations.

The CapDev refers to two kinds of capacity development: (a) core training, which is a supply-driven training programme by organising training for trainers at Upazila level. Then Upazila Resource Teams (URT) train UP representatives with support from the Resource Pool; and (b) demand responsive training, which consists of accredited/specialised training and peer/horizontal learning (www.horizontallearning.net). In accredited training programmes, the NILG works closely with various NGOs to provide back-up support to UPs. Therefore, the NILG’s interaction with NGOs is progressively improving leading to an enriched mutual experience.
The **second most important activity** of UPs is how to be **effectively engaged** with NGOs, CBOs and line agencies to ensure quality of services and good governance to overcome the ‘lack of local resources’.

The NILG, while reviewing and analysing the Development Association for Self-Reliance, Communication and Health’s (DASCOH) ‘Sustainable Solutions for the Delivery of Safe Drinking Water (SDSD) Project – supported by the Swiss Agency for Development and Cooperation (SDC) – found some interesting solutions to address the two issues mentioned above.

**Snapshot:**

**DASCOH’S intervention in Barind and other areas during 1998–2014**

- **January 1998–March 2004:** The Swiss Agency for Development and Cooperation (SDC) supported the Water and Sanitation (WatSan) Partnership Project (WPP) through the Development Association for Self-reliance, Communication and Health (DASCOH), with Co-operative for Assistance and Relief Everywhere (CARE) and International Development Enterprises (IDE) as partners. It was an innovative project, meant to improve sustainable access and use of affordable water and sanitation facilities in Rajshahi and Chapai Nawabganj districts in Bangladesh. This phase presented evidence of the effectiveness of community management in making lasting changes in 640 villages with a population of 495,364 (as per village profile 2003), within and beyond the water and sanitation sector.

- **April 2004–December 2008:** The ‘Sustainable Solutions for the Delivery of Safe Drinking Water’ (SDSD) Project was launched with the objective of contributing to equitable and sustainable access to jointly managed water resources and sanitation through improved local governance. The main thrust of the project was to improve local governance along with ensuring delivery of safe drinking water supply and sanitation services as an entry point.

- **January 2009–December 2012:** The SDSD Project tried to consolidate lessons learnt in 17 Unions of Chapai Nawabganj and Rajshahi districts in Barind area, and to extend it to 25 Unions in Sunamganj district.

The NILG felt that it would be strategic to capture these five key ingredients as guidelines and share them with NGOs and UPs to promote awareness. When these guidelines are followed, it could drastically improve the existing situation and relationships between UPs and NGOs, which would eventually help to accelerate the pace of development.

The SDC supports both the NILG and DASCOH. Once this idea was shared with it, the SDC helped mobilise resources to carry out an in-depth study and prepare these guidelines in collaboration with the NILG (which is now being published by the latter).

It should be noted that these five guidelines do not limit the guidelines within these five factors. These five are the most important. When the NILG comes across more evidence-based cases from other NGOs, it will keep adding those factors too in future editions.
The NILG is interested in carrying out similar studies for other NGOs in the future to capture more elements of success and include them in future editions of such guidelines.

**Key ingredients of success**

1. Citizen engagement
2. Tap ‘untapped’ local resources
3. Working through local government institutions (LGIs)
4. Accountability
5. Innovation with clear entry and exit strategy
1: Citizen engagement: Citizen engagement is commonly referred as the “two-way interaction between citizens and governments or the private sector that give citizens a stake in decision-making, with the objective of improving development outcomes.” The spectrum of citizen engagement includes government sharing information with citizens, and citizens drawing on this information to take action and communicate, including providing feedback to government, both solicited and unsolicited. Key to this definition is the responsiveness of government to citizen voice. While the scope of citizen engagement includes consultation, collaboration, participation and empowerment, these typically imply a one-way interaction. The end game for citizen engagement is to improve the accountability of governments and service providers, thus closing the feedback loop.

Citizen engagement initiatives can assist in many ways. Some of them are:
- Improve outcomes of improved services.
- Reinforce for sustaining the improved services.
- Increase transparency and citizen trust in UPs.
- Raise the frequency and quality of responsiveness of UPs.

In this book, the definition of citizen engagement has been narrowed down, and linked to its impact on improving development outcomes that are being ensured by UPs with support from NGOs.

2: Tap ‘untapped’ local resources: Poverty and unemployment are key issues in rural Bangladesh, as in other developing countries. Therefore, just engaging with citizens may help to establish the credibility of an NGO but that does not touch the core element of ‘real success’ until it helps them tap their own unutilised and untapped resources. For example, DASCOH assisted citizens to organise and form Village Development Committees (VDCs). Thereafter, once they gained experience on how to work with UPs and how to assist them, DASCOH helped them to upgrade these VDCs into CBOs. Out of these groups, DASCOH selected persons with the most potential and trained them as Community Resource Persons (CRPs) and engaged them in field level activities with small remuneration. Later, DASCOH helped CBOs to form an association and get registered. Therefore, the nature of upgradation, from unorganised to an organised form, is key to tap ‘untapped’ local resources, which helps UPs to realise that these groups are quite useful. Therefore, the Parishads dedicated office space for them within UP office premises and started allocating some UP work to them. When arsenic testing was carried out in Meherpur Sadar, the CRPs were hired and sent to Meherpur from Chapai Nawabganj Sadar Upazila. Currently more than 471 CBOs – in other words, more than 4,500 field professionals – are on board to serve the community. Similarly, DASCOH also helped to create an enabling environment where the number of local entrepreneurs increased from zero to 300 in Chapai Nawabganj Sadar and Rajshahi Sadar areas. This is the key element of tapping untapped local resources. Step 2 describes this in detail.

3: Working through local government institutions: How an NGO works with any UP is quite important – it may work for a UP; it could work through a UP; or it could work with a UP. Step 3 explains the differences between these three and what needs to done for any NGO to effectively engage with any UP.
4: **Accountability:** There is a well-known proverb: “Charity begins at home.” It is extremely important that an NGO practices what it preaches. During field missions, one common phenomenon reported by citizens, UPs, Upazila officers and natural leaders to the mission team was that DASCOH’s overall support activities, monetary transactions and recruitment process for selecting CRPs for the SDSD Project were transparent. This has reinforced the conception that DASCOH is working as an ‘honest broker’ for these areas, the citizens and UPs by taking them into confidence. The key ingredient through which DASCOH demonstrated its transparency and accountability are highlighted in Step 4.

5: **Innovation with clear entry and exit strategy:** The key role of an NGO is to be innovative yet practical, and, without creating parallel systems, strengthen existing systems. In addition, it is important to know how to enter and when to exit in various support roles. Most NGOs have not planned their exit or phase out strategy; whereas DASCOH did it regularly and effectively. It phased out its support activities in 2003 (those that it used to do in 1998) and also phased out from another set of activities (of 2003) in 2011. How to do this is explained in Step 5.
1: REVISIT UNDERSTANDING OF CITIZEN ENGAGEMENT

- Revisit the understanding of ‘citizen engagement’ related to your engagement.
- Read experiences and case studies from the field.
- Self-assessment: Where are you in the citizen engagement ladder?
- Go through simple indicators to make sure you are on track for citizen engagement.
Revisit understanding of ‘citizen engagement’ related to your engagement.

Definition: Civic engagement refers to the ways in which citizens participate in the life of a community to improve conditions for others or to help shape the community’s future. This term has been used primarily in the context of development of basic services and ensuring good governance. In this book, the definition of citizen engagement has been narrowed down, and linked to its impact on improving development outcomes that are being ensured by union parishads with support from NGOs.

Types of civic engagements: Civic engagement can take many forms – from individual volunteerism to organisational involvement to electoral participation. It can include efforts to directly address an issue, work with others in a community to solve a problem or interact with the institutions of representative democracy. Another way of describing this concept is the sense of personal responsibility individuals feel to uphold their obligations as part of any community.

Bangladesh’s context: In Bangladesh, in the context of UPs and Pourashavas, the key actors are highlighted in Figure 2, those who need to be engaged with citizens to seek their perceptions and aspirations while making any plan, project or programme for development of that specific community.
Benefits of civic engagement in local government:

- Attaining successful outcomes on sensitive issues, which helps elected officials avoid choosing between equally unappealing solutions.
- Developing better and more creative ideas and solutions.
- Implementing ideas, programmes and policies faster and more easily.
- Transforming demanding customers into involved citizens.
- Building a community within a UP.

Volunteering at the local level:

- Government reaches into the lives of every citizen every single day. At the local level, communities ideally work together toward common goals that are perceived to be helpful to the citizens' overall well-being. The goals can be numerous and varied, as are the mechanics of achieving those goals. Working together in this way is called civic engagement.
- Volunteering personal time to community projects is an aspect of civic engagement that is widely believed to support the growth of a community as a whole. In nearly any given community there are services that governing bodies may not be able to fully fund and volunteers become necessary. Food pantries, community clean-up programmes and the like can bolster efforts to create a strong community bond. It also helps to inform volunteers where more work is needed in their area.

Community collaboration:

- Community collaboration includes democratic spaces where people of like interests can get together to discuss concerns for particular issues. It gives them a place and means to make the changes they think necessary. These spaces can be a resource centre, such as CBO associations, school boards and similar settings where citizens can go to get information regarding their community (upcoming changes, proposed solutions to existing problems, etc). It also means creating a place where citizens' voices are heard and they are given the opportunity to provide their personal inputs in governmental decisions regarding public interest.
- Once citizens are properly engaged by LGIs and supporting agencies through proactively sharing information, citizens' engagement increases to develop citizen understanding regarding ongoing and upcoming development activities and modus operandi. This helps to further increase citizens' engagement for stronger demand vis-à-vis responsibility of sharing own resources in local governance initiatives and development.
Table 1. Clarifying the definition of citizen engagement

<table>
<thead>
<tr>
<th>Citizen engagement</th>
<th>Not citizen engagement</th>
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<tbody>
<tr>
<td>Involves citizens (individuals, not representatives) in policy or programme development, from agenda setting and planning to decision-making, implementation and review.</td>
<td>Engages exclusively the leaders of stakeholder groups or representatives.</td>
</tr>
<tr>
<td>Requires two way communication regarding policy or programme change (interactive and iterative): between government and citizens; among citizens; and among citizens and civil society groups.</td>
<td>Constitutes participation in a programme where no decision-making power is granted regarding the shape or course of the policy or programme.</td>
</tr>
<tr>
<td>Aims to share decision-making power and responsibility for those decisions.</td>
<td>Involves participants only in last phase of policy development.</td>
</tr>
<tr>
<td>Includes forums and processes through which citizens come to an opinion which is informed and responsible.</td>
<td>Seeks approval for a pre-determined choice of alternatives.</td>
</tr>
<tr>
<td>Generates innovative ideas and active participation.</td>
<td>Intends to fulfill &quot;public consultation obligations&quot; without a genuine interest in infusing the decision with the opinions sought.</td>
</tr>
<tr>
<td>Contributes to collective problem solving and prioritisation.</td>
<td>Includes public opinion polls and many focus group exercises.</td>
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<tr>
<td>Requires that information and process be transparent.</td>
<td></td>
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<tr>
<td>Depends on mutual respect between all participants.</td>
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</table>
Experiences and case studies from the field

Table 2. Citizen engagement: Expectations and DASCOH’s response to UPs in Barind and Sunamganj areas

<table>
<thead>
<tr>
<th>Expectations</th>
<th>DASCOH’s response to UPs</th>
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<tbody>
<tr>
<td>LGIs and NGOs provide timely, accurate and useful information on public/</td>
<td>• DASCOH’s support to UPs</td>
</tr>
<tr>
<td>Expectations</td>
<td>DASCOH’s response to UPs</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Strengthen public understanding related to ongoing and upcoming plans and</td>
<td>• DASCOH helped to promote UPs to initiate GO-NGO- Meetings, which was eventually</td>
</tr>
<tr>
<td>programmes of local government, line agencies and development partners.</td>
<td>recognized as Union Development Coordination Committee Meeting between GO, NGO and</td>
</tr>
<tr>
<td></td>
<td>communities.</td>
</tr>
<tr>
<td></td>
<td>• Gender framework analysis carried out through all CBOs.</td>
</tr>
<tr>
<td></td>
<td>• ‘Inclusion of all’ ensured in all CBOs.</td>
</tr>
<tr>
<td></td>
<td>• Assisted UPs to select CBO representations in all Ward Committees.</td>
</tr>
<tr>
<td></td>
<td>• More than 446 CBOs were formed in selected UPs in Rajshahi and Chapai Nawabganj.</td>
</tr>
<tr>
<td></td>
<td>• CBOs’ Association established (for community collaboration) and registered at UP and</td>
</tr>
<tr>
<td></td>
<td>Upazila level.</td>
</tr>
<tr>
<td></td>
<td>• UP allocated room within UP Complex for CBO association to establish linkage with</td>
</tr>
<tr>
<td></td>
<td>their development activities.</td>
</tr>
<tr>
<td>Generate stronger demand for participation and collective decision making.</td>
<td>• DASCOH mentored CBOs which played a catalytic role to encourage citizens and others</td>
</tr>
<tr>
<td>Citizen also take responsibilities for sharing own resources in local</td>
<td>to play proactive roles.</td>
</tr>
<tr>
<td>governance initiatives and development.</td>
<td>• More citizens participated in Ward Committee meetings and Open Budget meetings, which</td>
</tr>
<tr>
<td></td>
<td>was reflected by rapid increase in collection of household tax at UP level.</td>
</tr>
<tr>
<td></td>
<td>• Citizens pay for handpump registrations and water quality testing on a ‘pay and test’</td>
</tr>
<tr>
<td></td>
<td>basis.</td>
</tr>
<tr>
<td></td>
<td>• Citizen representatives participate in horizontal learning process to assist in</td>
</tr>
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<td></td>
<td>prioritisation and replication of good practices.</td>
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</table>

The above are some examples for NGOs of how to be engaged with citizens through UPs.
Case study: A woman leader

Rokeya Begum: From community volunteer of SDSD project to elected member of UP

The story of Rokeya Begum, aged 44, presents a classic example of the transformation of a simple citizen who had the will power and ability to do good for her community but lacked the relevant knowledge. She lives with her husband in Fakir Para village of Baliadanga Union in Chapai Nawabganj Sadar Upazila. When the WatSan Partnership Project came to work in her community and formed a Village Development Committee (VDC) that later turned into a CBO, Rokeya took this opportunity to become a community resource person (CRP) for Fakirpara.

In the 12 years that she has been working as a volunteer with VDC/CBO, she received training in rural leadership development, governance and gender, IWRM and CBO Fund Management, from the WatSan Partnership Project and SDSD project which enhanced her leadership skills. Her mobilisation and motivation of the community resulted in the development of the villagers, especially the women.

In the UP election of 2011, the community offered her candidature for the reserved member seat of the Union. Though hesitant to do so initially, she stood for election and was elected as a member with a huge margin of victory. After the election, she mentioned that the SDSD Project has played a major role in her journey from a community volunteer to an elected member of the UP and hopes to utilise her tenure to serve the weakest section of the people.
Self-assessment: Where are you in the citizen engagement ladder? Respond to this simple questionnaire survey to gauge where you stand.

Figure 4: Ladder of citizen engagement

SPECTRUM OF ENGAGEMENT ACTIVITIES

<table>
<thead>
<tr>
<th>INFORM</th>
<th>CONSULT</th>
<th>INVOLVE</th>
<th>COLLABORATE</th>
<th>EMPOWER</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public participation goal</strong></td>
<td>To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.</td>
<td>To obtain public feedback on analysis, alternatives and/or decisions.</td>
<td>To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.</td>
<td>To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.</td>
</tr>
<tr>
<td><strong>Example</strong></td>
<td>Inform citizen and union parishads regarding missions from Dhaka/third party monitoring to be carried by funding agency to evaluate the performance of the project.</td>
<td>Union Parishads consultation with their respective citizen at ward level and union level while planning and budgeting during Open Budget meetings, in which fund provided by DASCOH is also integrated.</td>
<td>Union Parishads with support from DASCOH share with citizen the format for monitoring to oversee the quality of installation of hand pumps and provide ‘clearance certificate’ to local entrepreneurs for obtaining their payment from union parishads.</td>
<td>Develop Rural Piped Water Supply Scheme in Ranihati Union Parishad where citizen also co-financed for the scheme and also had a stake in this overall improved service delivery with facilitation and collaboration with DASCOH, RDA and others.</td>
</tr>
</tbody>
</table>
### Citizen engagement scale: Some facts and figures.

**Table 3. DASCOH inputs towards citizen engagement**

<table>
<thead>
<tr>
<th>Key indicators</th>
<th>2007</th>
<th>2009</th>
<th>2011</th>
<th>2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Have you assisted local communities to establish any association/strengthen the existing local community associations?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>2. If yes, how many per year in one UP?</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>3. Have you carried out any gender analysis at community level?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>4. What percentage of gender balance shift has been observed in your target area per village in one year?</td>
<td>10%</td>
<td>25%</td>
<td>30%</td>
<td>40%</td>
</tr>
<tr>
<td>5. Are your activities disability inclusive?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>6. Are your activities hard to reach citizen inclusive?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>7. How many times are Ward Sabhas organised on an average in your targeted UPs?</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>8. Is there any CBO association at the UP level?</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>9. Is this association registered?</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>10. Is it located within UP premises?</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>11. Is there any association of CBO in your Upazila level?</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>12. Is this association registered?</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>13. Is it located within Upazila premises?</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>14. Is there any training carried out for CBO members by your organisation?</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>15. How many days’ training and for how long for one CBO on an average per year?</td>
<td>10 days</td>
<td>30 days</td>
<td>30 days</td>
<td>30 days</td>
</tr>
</tbody>
</table>
16. What is the average percentage of households which have paid holding tax in last two years?

| Percentage | 10% | 60% | 100% | 100% |

17. Are there any other provisions for citizens/households to pay charges to UPs?

<table>
<thead>
<tr>
<th>Provision</th>
<th>No</th>
<th>Yes</th>
<th>Yes</th>
<th>Yes</th>
</tr>
</thead>
</table>

18. If yes, what are these charges and for what?

<table>
<thead>
<tr>
<th>Charge</th>
<th>Arsenic testing</th>
<th>Arsenic testing HP registration</th>
<th>Arsenic testing HP registration</th>
</tr>
</thead>
</table>

19. Is your organisation a member of HLP?

| Yes | Yes | Yes | Yes |

20. If yes, do citizens participate in the HLP?

| Yes | Yes | Yes | Yes |

Table 4. DASCOH inputs towards citizen engagement – the timeline

<table>
<thead>
<tr>
<th>Year</th>
<th>Key activity performed for citizens</th>
</tr>
</thead>
<tbody>
<tr>
<td>2005</td>
<td>Dialogue with citizens</td>
</tr>
<tr>
<td>2006</td>
<td>Formed village development groups (VDCs)</td>
</tr>
<tr>
<td>2007</td>
<td>Reformed VDCs as community-based organizations (CBOs)</td>
</tr>
<tr>
<td>2008</td>
<td>Mentored and oriented CBOs for activation</td>
</tr>
<tr>
<td>2009</td>
<td>Worked with CBOs</td>
</tr>
<tr>
<td>2010</td>
<td>Provided back-up support to CBOs</td>
</tr>
<tr>
<td>2011</td>
<td>CBOs working by themselves and seeking assistance when required</td>
</tr>
<tr>
<td>2012</td>
<td>Assisted to establish CBO Coordination Committees</td>
</tr>
<tr>
<td>2013</td>
<td>Organised UP melas (fairs)</td>
</tr>
<tr>
<td>2013</td>
<td>Assisted CBOs to sign agreement with UPs</td>
</tr>
<tr>
<td>2014</td>
<td>CBO associations formed at UP and Upazila level</td>
</tr>
</tbody>
</table>
Use these simple indicators to ensure you are on track for citizen engagement.

‘Must do’ actions
These are compulsory actions for citizens towards government. However, the strategy is making these actions easy and bringing them to the doorsteps of citizens, thereby making it easier for them to fulfil their duties. For example, household tax payment is a compulsory duty of citizens. However, organising tax mela, tax rebate week, etc, are instruments which can help local government to assist citizens to fulfil their compulsory ‘must do’ activities. Therefore, points to remember are:

- Establishing VDCs/CBOs/Citizen Forums.
- Organising UP mela/Tax mela/Tax Rebate Week.
- Giving special grant to Ward Committee achieving fastest 100% tax payment.

‘Should do’ actions
These are the activities which are not ‘must do’ for citizens, but if they participate in a dialogue then operationalising the project/programme will be easier, such as, joining in dialogue for annual plan and budget meetings, development of local by-laws, planning for new projects, etc. Therefore, points to remember are:

- Reward 10 best ideas for inclusion in annual plan and budget, which have minimum budget implications but ensure better governance and/or services.

‘Can do’ actions
If citizens are enthusiastic and proactive, then they can resolve many existing issues. In Bangladesh the best example of that is ensuring open defecation free villages, which has happened due to citizens’ initiative and passion. The success of any local government institution (LGI) depends on how it can mobilise these ‘untapped’ resources as ‘key resources’ for development. Therefore, points to remember are:

- Special reward to Wards for maximum percentage of casting votes without any violence.
- Special reward to Ward Committees for most number of citizens attending in half yearly Ward meetings.
2: LEVERAGE ‘UNTAPPED’ RESOURCES

- Read case study on how to tap ‘untapped’ local resources.
- Understand how to trigger these ‘tapping’ mechanisms.
What do we mean by local resources?

Local resources that are connected with development of UPs are:

Local human resources: In Bangladesh, many NGOs are supporting various projects at community level, UP level as well as Upazila level since the last two decades. As a result of that many local people (local human resources) have been able to establish themselves as natural leaders, local entrepreneurs and generate local resources to support various development work. However, often these people are utilised only for time-bound projects during project implementation. Upon completion of the projects, they don't have any further opportunities to contribute. The entire Community-Led Total Sanitation (CLTS) projects are led by people who, after a village upgrades from 'open defecation' to open defecation free' status, are not contacted anymore. In five years almost 90 million people moved from 'open defecation' to 'open defecation free' status. This itself shows how many people were then mobilised to carry out the CLTS campaign. However, now most of them are untapped and thus, waste of great human resources. Presented here is a case study from DASCOH to show how an NGO helped organise such resources into an organised resource pool.

Indigenous knowledge (IK): This is the local knowledge that is unique to a given culture or society. IK contrasts with the international knowledge system generated by universities, research institutions and private firms. It is the basis for local-level decision making in agriculture, health care, food preparation, education, natural resource management, and a host of other activities in rural communities.

Natural resources: Materials or substances occurring in nature which can be utilised for economic gain.

These guidelines focus only on local unorganised human resources.
How to tap ‘untapped’ local resources.

Case study: Institutionalising untapped resources

Background: It is often assumed that all communities need the same package and mechanisms for increasing their capacities. Conventional wisdom states that after receiving a support package, the community is incapable of continuing its development work independently. It is, therefore, important to measure capability of the community before and after the support package to avoid false claims of group or community sustainability.

For instance, DASCOH carries out needs assessment for specific communities and, on that basis, offers CBOs the most important five key institutional development areas to support. This makes it easier for the community to internalise them to transfer such skills and experiences within itself through these CBOs, through DASCOH’s partner NGOs by organising training, workshops, exchange visits, on-the-job-coaching and supervision. Resource materials (training manuals, IEC and BCC manuals) are developed and tested. Thus, DASCOH, partner NGOs, CBOs and citizens mutually learn and enrich their experiences and wisdom.

Strategy: Promoting sustainability means supporting groups until they have reached a satisfactory level of capacity. Therefore, problem identification, prioritisation, resource mobilisation, planning, implementation, monitoring, evaluation, effective linkage and resource tapping are key elements, which CBOs learn in a step-by-step manner. Thus, CBO development is an evolutionary process. It takes time to internalise, reflect and consolidate their learning and experiences. On many occasions when there was ‘no project’ or ‘no funding’ for DASCOH, then too it continued to provide support and connect with CBOs to make sure progressive improvement was not hampered.

Salient features of CBOs:

- The community chooses the name of its CBO.
- A community of 10 to 300 households can form a CBO.
- A CBO has 20 to 30 members.

Membership:

- Willingness to participate in voluntary activities.
- Equitable representation of poor, women and natural leaders.
- Members live within the community.
- Membership acceptable to the wider community.

Structure:

Each CBO has a constitution and officials:

- Chairman
- Vice-chairman
- General Secretary
- Assistant General Secretary
- Treasurer
- Members

The structure varies. Existing village organisational norms are considered when forming or reforming a representative CBO.

Constitution:

- Name of the CBO.
- Objective of the CBO.
- Structure of the CBO.
- Criteria for membership.
- Role and responsibilities.
- Working area.
- Financial management.

Retention and replacement of membership.

CBOs play a vital role in improving services at the local level. In many instances, they are also included within the and UP Standing Committee Union Parishad and Upazila level, many CBO members often receive part-time assignments by registered CBOs, which further creates interest to be a member of CBOs within the UPS.
UPs under Chapai Nawabganj Sadar Upazila practice community-based planning through CBOs and implement water supply facilities through private entrepreneurs following all government procedures. DASCOH disburses development funds directly to the Parishads’ accounts; the CBO collects and deposits users’ contributions into the same accounts. Users and CBOs are also taking part in monitoring the quality of the facilities being implemented by private entrepreneurs.

As a result, many private entrepreneurs have evolved. In 2003 there was no local entrepreneur, whereas, in 2008 total number of local entrepreneurs was more than 150 and 2013 the number was more than 250. This has further helped UPs to delineate their roles and step back from being involved in actual implementation, which has strengthened transparencies, accountability and good governance in the respective Unions.

**Timeline of DASCOH’s activities**

1998: Local NGO selection, staff recruitment and training on the approach, and formation process of village development committees (VDC).

1999: Mobilisation and formation of VDCs.

End of 1999 to 2002: Continuation of mobilisation and formation of VDCs. Capacity building of partner NGOs by DASCOH staff and of VDCs by partner NGO staff. Delayed implementation in some areas due to devastating flood in 1998.

2002 to 2003: Hand over responsibility and activities to partner NGOs and VDCs, so that they can utilise the new capacities while still supported by partner NGO staff. The four key elements of this implementation period were: Learning by doing, Tailored support, Movement building and Quality assurance.

2004 to 2008: Build CBOs from VDCs; hand over responsibility and activities to VCRP, CBO and Union Parishad (UP). The elements of this implementation period were: formation of CBOs, strengthening capacity of UP; dialogue between UP and CBO for negotiated co-financed services; gender analysis; improvements in governance (accountability and transparency); water safety planning; community ownership, operation, maintenance and management of drinking water and sanitation facilities; stimulation of private sector and strengthening of UP and CBO capacity to manage contracts (development of procurement, financial management and monitoring systems within CBO and UP).

2009 to 2012: Form CBO Coordination Committee and hand over all CBOs to the Coordination Committee. Each CBO nominated two representatives as general body of the CBO Coordination Committee and the general body elected/selected executive committee of the CBO Coordination Committee. DASCOH has signed an MoU with all 17 CBO Coordination Committees and formally handed over the responsibility for functioning of the CBOs for sustainable development.
When the LGI representatives of nine Upazilas (Sreepur, Khansama, Rajarhat, Tarash, Shyamnagar, Chowgacha, Karimganj, Magura Sadar and Rangamati Sadar) visited the area under the Horizontal Learning Program (HLP), they were motivated by this good practice and initiated its replication in their respective areas. The scoping mission of the LGSP team, which visited UPs of Chapai Nawabganj Sadar, highly admired the approach of UPs supported by DASCOH, which is now commonly practiced in all UPs through LGSP and LGSP-II Projects.

**Understand how to trigger this ‘tapping’ mechanism.**

Sustainable development is the key factor while working within communities and through LGIs. Therefore, once the problem statements are identified and prioritised, it is then a challenge of how to address the key problem, whether it is being addressed by the project or programme.

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**Case study: Self-reliance**

**Md. Yasin Ali Sarder**, a resident of Buzrekour village of Subhodanga Union under Bagmara Upazila, Rajshahi district, has been involved with a community-based organisation (CBO) since 2005. It gave him an opportunity to observe the lack of quality of construction work of platforms and tubewell installation closely. He was shocked by the sub-standard construction done by the contractor, and dreamt of being a contractor to ensure good quality work. As a community resource person (CRP), he learnt much about construction, quality of materials and workmanship from the training provided by the Development Association for Self-Reliance, Communication and Health (DASCOH). The contractor used inferior materials and workmanship, depriving people of good work. Since these were activities of their Union, the desire to get quality work was common.

To improve quality, Md. Yasin Ali discussed the issue with Union Parishad (UP) and DASCOH personnel, on how to get the work as well as what conditions are needed to be a contractor. According to their advice, he enlisted as a contractor with the UP – the first step to becoming a contractor. He was awarded a small job on an experimental basis. His commitment to work following norms and maintaining quality satisfied the authorities. Now as an established contractor, he works with different government departments of Bangladesh, especially with the Local Government Engineering Department (LGED). His commitment, honesty and decision to work as a CBO member and CRP has given him the opportunity to live life with dignity in society.

Unemployment is an issue, as is lack of manpower. Therefore, it is quite important to develop a strategy on how turn a ‘win-lose’ situation into a ‘win-win’ situation. Once local employers are empowered and able to support the UPs, then the issue of unemployment as well as lack of manpower diminishes.
Figure 5: Tapping mechanisms of ‘untapped resources’ by DASCOH

Unorganised natural leaders scattered within communities

Formation of Village Development Committees for men
Formation of Village Development Committees for women

Formation of community-based organisation (CBO) with men and women

Identify Community Resource Persons (CRPs) to support CBOs

Registration of CBOs and trained CRPs on special skills

Formation of network of CBOs within Union Parishad and register as NGO and obtain space within UP Office

Unorganised local resources
Organised non-formal local resources
Organised, structured and formal local resources

Moving from unorganised ‘untapped’ to organised ‘local resources’
Use these simple indicators to ensure you are on track for tapping ‘untapped’ local resources.

‘Must do’ actions
These are compulsory actions for tapping untapped resources:

- Prepare a roster of local natural leaders with mapping their skills and experiences on tacit learning
- During planning ‘tap’ these local natural leaders and also plan with them on their ‘development objectives’.
- Make sure prior to your project ends a system is develop for them to market their skills and local wisdom.

‘Should do’ actions

- Prioritise and provide training to improve their skills and knowledge
- Include them in local exposures
- Provide floors to them in meetings and discussion to strengthen their confidence and articulation.

‘Can do’ actions

- Assist them to organise and develop a network or platform for mutual learning
- Connect them with other development partners
- Utilise them as local consultants to support similar activities in other areas within the scope of project.
WORKING THROUGH LOCAL GOVERNMENT INSTITUTIONS

3: ASK THE BASIC QUESTION
- How to operate?
- Experiences of DASCOH while working through local government institutions.
- Where do you stand?
How to operate?

Any NGO can engage with UPs, Pourashavas or other LGIs in three ways:

1. NGO can work for LGIs.
2. NGO can work with LGIs.
3. NGO can work through LGIs.

The above three engagements are quite different from each other:

- When working for LGIs, NGOs may or may not be consultants for the work with LGIs. In such cases, these engagements are only during events or discussion during tea breaks.
- When NGOs work with LGIs, a partnership is formed. Both parties know who will do what and are quite interdependent of each other.
- In the case of working through LGIs, NGOs direct their funds to LGIs and then work as partners. Trust and transparency are key elements for continuing relations.

To cite DASCOH’s case: Since 2005 it has worked through UPs and directly disbursed their funds to the Parishads. This is reflected in the UPs’ budgets, and UPs are accountable for that. Once any NGO works in this manner, then the engagement with LGIs can evolve up to maximum level.

Guidelines for working through LGIs:

The key steps for working through LGIs are:

1. Disburse the fund directly to LGIs and make sure that the disbursed funds are reflected in UP’s annual budget.
2. Assist LGIs to improve their own source revenues so that in the long run they operate with their own source revenues.
3. Assist LGIs to enhance the quality of services by encouraging them to integrate social accountability tools within their service delivery system.
4. Assist UPs to take lead and gain recognition in national and regional forums, whenever and wherever possible.

If these steps are followed, the results and impacts of inter-agency (LGI and NGO) trust will be enhanced.

Experiences of DASCOH of working through LGIs.

- Disburse the fund directly to LGIs and make sure that the disbursed fund are reflected in UP’s annual budget.

Since 2005, DASCOH has transferred its funds directly to UPs, which is reflected in the UP’s annual budget. This is displayed on the UP’s billboard and Annual Budget and Expenditure booklet. This good practice was picked up by other UPs through the HLP to assist them to carry
out dialogue with their development partners. As a result, some development partners have already started practices similar to DASCOH’s, that of disbursing their funds directly to UP to reflect in their annual budget.

- Assist LGIs to improve their own source revenues so that LGIs can utilise their own fund to sustain improved services.

Annual planning through participatory planning and open budget discussions helps to increase own source revenues. This further helps when funds from development partners are directly disbursed to the UP. UPs use their budget for improving services, which further motivates citizens to pay their holding tax to obtain more benefits of other services from UPs. It is interesting to notice that the collection of holding tax progressively increases once the overall envelop of annual budget increases in the Chapai Nawabganj Sadar area.

- Assist LGIs to enhance the quality of services by encouraging them to integrate social accountability tools within their service delivery system.

The role of a UP is not to provide service delivery but to ensure the quality of service delivery. It doesn't matter who delivers the services. This shift in the UP’s role was observed when UPs started focussing to ensure ‘service for all’ in case of ‘arsenic testing and mitigation’ process in Chapai Nawabganj with support from DASCOH.

- Assist UPs to gain recognition and take lead in national and regional forums, whenever and wherever it is possible.

When UPs are recognised for their achievements and contributions at the regional and national level, it helps them to take ownership and assume leadership roles in the project. On almost every occasion, DASCOH facilitates UPs to share their own achievements in regional and national forums, which helps the UPs to build better relations with DASCOH and eventually helps to increase their confidence and ownership for the entire process of development.
Figure 6 is an example of how DASCOH initiated direct disbursement of funds to UPs. As mentioned in ‘Snapshot: DASCOH’s intervention in Barind and other areas during 1998–2014,’ the SDSD Project was focused on supporting delivery of safe drinking water supply and sanitation during 2004–2008. Thus, during that period, disbursement for UPs was high. During the consolidation phase of the SDSD from 2009–2012, DASCOH was only supporting the rehabilitation of some water points and, thus, disbursement was less during this phase – DASCOH focused more on institutionalising the lessons learnt within the UP system.

However, the basic approach for direct disbursement of funds was continued till the SDSD Project ended in 2012. This is the spirit that needs to be adopted if any NGO would like to work through UPs.
Where do you stand?

It is most important to ask yourself: How we are being engaged with LGIs?
The type of engagement leads to ‘quality of ownership’ and ‘effectiveness of results’ and its sustainability. A simple matrix is given in Table 4.

<table>
<thead>
<tr>
<th>Input types</th>
<th>Result/Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGO works for LGIs.</td>
<td>Ownership of project by UP is negligible and that is why, generally, the life of outcomes of project assisted by this NGO persists till project persists.</td>
</tr>
<tr>
<td>NGO works with LGIs.</td>
<td>Ownership of the project by the UP is ongoing and that is why the UP takes some lead to sustain the outcomes even after project life is over.</td>
</tr>
<tr>
<td>NGO works through LGIs.</td>
<td>Ownership of project by the UP is maximum and that is why, from the beginning of the project, the UP makes sure that life of outcomes of project is sustained. Another good example is community clinics. In the early phase, UPs were not involved with community clinics and, therefore, were not interested in sustaining them. Now, a UP member is the Chairman of the community clinic. That is why UPs have started allocating their own budget to run community clinics more effectively.</td>
</tr>
</tbody>
</table>

Use these simple indicators to ensure you are on track for working through LGIs:

- Disburse the fund directly to LGIs and make sure that the disbursed funds are reflected in the UP’s annual budget.
- Assist LGIs to improve their own source revenues so that, in the long run, they operate with their own source revenues.
- Assist LGIs to enhance the quality of services by encouraging them to integrate social accountability tools within their service delivery system.
- Assist UPs to take the lead and gain recognition in national and regional forums, whenever and wherever possible.
Do we accept accountability?

ACCOUNTABILITY

4: LEARNING ABOUT ACCOUNTABILITY
- What are the key guidelines to be followed to demonstrate accountability of an NGO?
- Guidelines for measuring accountability.
What are the key guidelines to be followed to demonstrate the accountability of an NGO?

There are three key elements to demonstrate accountability and transparency of an NGO to LGIs and citizens. These are:

1) Proactive disclosure regarding inputs (activities), outputs and intermediate outcomes of the project/programme.

2) Procurement, engagement and election process of CRPs and vendors by an NGO for any work or service.

3) Acknowledgement of the inputs and support provided by citizens, CBOs, CRPs and LGIs.

DASCOH is quite effective in carrying out all the above in its project areas. For example, see the snapshot of the SDSD Project carried out by DASCOH.

**Guideline for measuring accountability.**

In line with the data presented, the mission team carried out force field analysis with all relevant stakeholders in Chapai Nawabganj regarding DASCOH’s overall effectiveness. The impressive results are highlighted Figure 7.
SDSD Force Field Analysis as of 2005

Step 1: First DASCOH’s staff (field and office staff) were asked to prepare a list of actors with whom they used to work in the beginning of the SDSD Project in 2005.

Step 2: In a flip chart four quadrants was drawn and marked as:
- Upper-left quadrant = Positive-active
- Upper-right quadrant = Positive-passive
- Lower-left quadrant = Negative-active
- Lower-right quadrant = Negative-passive
Step 3: DASCOH staff was requested to place each actor as per their own perceptions, where these actors were in 2005 with relation to DASCOH.

Step 4: After DASCOH staff indicated all actors in the quadrant, then another flip chart was drawn for the year 2012.

Step 5: Again DASCOH’s staff indicated all actors in new flip chart where they feel these actors are in 2012.

Step 6: Upon completion of these two charts, it was revealed that DASCOH’s perceptions on other actors have drastically changed and now DASCOH is working with more actors in an improved, enabling environment.

The effectiveness of any NGO depends upon how Unions are progressing.

Table 6 shows a scorecard developed by Unions and their stakeholders in connection with DASCOH’s interventions with UPs.

<table>
<thead>
<tr>
<th>Table 6. Scorecard of DASCOH’s interventions</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2005</td>
</tr>
<tr>
<td>Good governance, transparency and accountability</td>
<td>02</td>
</tr>
<tr>
<td>Coordination</td>
<td>00</td>
</tr>
<tr>
<td>Participatory planning</td>
<td>03</td>
</tr>
<tr>
<td>Tax assessment</td>
<td>01</td>
</tr>
<tr>
<td>Engaging service providers through tendering</td>
<td>04</td>
</tr>
<tr>
<td>Handpump registration</td>
<td>00</td>
</tr>
<tr>
<td>Direct Fund transfer to UPs by DASCOH</td>
<td>10</td>
</tr>
<tr>
<td>Other development</td>
<td>04</td>
</tr>
<tr>
<td>CBO Association formation</td>
<td>00</td>
</tr>
<tr>
<td>Generating employment</td>
<td>02</td>
</tr>
<tr>
<td>Women empowerment</td>
<td>02</td>
</tr>
<tr>
<td>Capacity development</td>
<td>02</td>
</tr>
<tr>
<td>Improving sanitation and hygiene</td>
<td>01</td>
</tr>
</tbody>
</table>

In addition, a detailed review was carried out regarding DASCOH and other development partners’ interventions with UPs. Figure 8 shows the outcomes. It clearly shows that the effectiveness of DASCOH has improved between 2005 and 2012.
These charts are highlighted here.

**Figure 8: Force Field Analysis: UP and other actor’s perception on DASCOH**

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**Step 1:** First UP functionaries were asked to prepare a list of actors with whom they used to work in 2005.

**Step 2:** In a flip chart four quadrants was drawn and marked as:
- Upper-left quadrant = Positive-active
- Upper-right quadrant = Positive-passive
- Lower-left quadrant = Negative-active
- Lower-right quadrant = Negative-passive

**Step 3:** UP functionaries were requested to place each actor as per their own perceptions, where these actors were in 2005 with relation to their work.

**Step 4:** After UP functionaries indicated all actors in the quadrant, then another flip chart was drawn for the year 2012.

**Step 5:** Again UP functionaries’ staff indicated all actors in new flip chart where they feel these actors are in 2012.

**Step 6:** Upon completion of these two charts, it was revealed that UP’s perception on DASCOH further improved from 2005 till 2014, though DASCOH’s project had already finished in 2012.
Table 7 shows a detailed diagnosis carried out regarding DASCOH’s interventions through UPs.

### Table 7. Detailed diagnosis

<table>
<thead>
<tr>
<th>Item</th>
<th>2005</th>
<th>2012</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes/no/number</td>
<td>Yes/no/number</td>
<td>Yes/no/number</td>
</tr>
<tr>
<td><strong>1. Governance, transparency, accountability</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) No. of UP general meetings held</td>
<td>174</td>
<td>204</td>
<td>95</td>
</tr>
<tr>
<td>b) No. of Ward Sabha held</td>
<td>0</td>
<td>153</td>
<td>153</td>
</tr>
<tr>
<td>c) No. of UPs where open budget declared</td>
<td>Yes/6 UPs</td>
<td>Yes/17 UPs</td>
<td>Yes/14 UPs</td>
</tr>
<tr>
<td>d) Display budget board available at UPs</td>
<td>Yes/11 UPs</td>
<td>Yes/17 UPs</td>
<td>Yes/17 UPs</td>
</tr>
<tr>
<td>e) Review budget and plan shared</td>
<td>1</td>
<td>17</td>
<td>0</td>
</tr>
<tr>
<td>f) UISC functional</td>
<td>0</td>
<td>17 UPs</td>
<td>17 UPs</td>
</tr>
<tr>
<td>g) Use poor list for safety net programmes</td>
<td>2</td>
<td>17</td>
<td>8</td>
</tr>
<tr>
<td><strong>2. Coordination</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) No. of UDCCM held and resolution available</td>
<td>0</td>
<td>78</td>
<td>21</td>
</tr>
<tr>
<td>b) Joint monitoring by UP and community done</td>
<td>0</td>
<td>17</td>
<td>17</td>
</tr>
<tr>
<td>c) Average no. of Standing Committee meetings organised in UPs</td>
<td>192</td>
<td>668</td>
<td>188</td>
</tr>
<tr>
<td><strong>3. Participatory planning</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Keep budget of people demand using ga (M) form</td>
<td>2 UPs</td>
<td>16 UPs</td>
<td>12 UPs</td>
</tr>
<tr>
<td>b) Implement people demanded project collect from ga (M) form</td>
<td>3</td>
<td>16 UPs</td>
<td>12 UPs</td>
</tr>
<tr>
<td><strong>4. Tax assessment</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Amount of holding tax</td>
<td>149,100</td>
<td>2,969,210</td>
<td>4,638,000</td>
</tr>
<tr>
<td>b) Amount of collected tax</td>
<td>63,158</td>
<td>1,328,876</td>
<td>110,000</td>
</tr>
</tbody>
</table>

(continued on next page)
<table>
<thead>
<tr>
<th>Item</th>
<th>2005</th>
<th>2012</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes/no/number</td>
<td>Yes/no/number</td>
<td>Yes/no/number</td>
</tr>
<tr>
<td>5. <strong>Recruit local contractor</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Advertise for enrolling contractor</td>
<td>6</td>
<td>17</td>
<td>08</td>
</tr>
<tr>
<td>b) No. of contractors enlisted</td>
<td>30</td>
<td>174</td>
<td>40</td>
</tr>
<tr>
<td>c) Awarded contract to enlisted contractor</td>
<td>0</td>
<td>6</td>
<td>3</td>
</tr>
<tr>
<td>6. <strong>TW registration service</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) TW registration continuing</td>
<td>No</td>
<td>17</td>
<td>6</td>
</tr>
<tr>
<td>b) Mechanic available and functional</td>
<td>–</td>
<td>17</td>
<td>6 UPs</td>
</tr>
<tr>
<td>c) Amount of registration fees collected</td>
<td>–</td>
<td>9,52,180</td>
<td>–</td>
</tr>
<tr>
<td>7. <strong>DASCOH direct fund transfer to UP</strong></td>
<td>17 UPs</td>
<td>17 UPs</td>
<td>No</td>
</tr>
<tr>
<td>8. <strong>Various development projects</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Road construction</td>
<td>17 UPs</td>
<td>17 UPs</td>
<td>17 UPs</td>
</tr>
<tr>
<td>b) Human development</td>
<td>7 UPs</td>
<td>17 UPs</td>
<td>17 UPs</td>
</tr>
<tr>
<td>c) Repair water supply source</td>
<td>No</td>
<td>17 UPs</td>
<td>5 UPs</td>
</tr>
<tr>
<td>d) Wastewater use for gardening/fish culture</td>
<td>No</td>
<td>4 UPs</td>
<td>No</td>
</tr>
<tr>
<td>e) Garbage management</td>
<td>No</td>
<td>6 UPs</td>
<td>6 UPs</td>
</tr>
<tr>
<td>f) Any others</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. <strong>CBO Coordination Committee (CCC)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Union-wise CCC formed and registered</td>
<td>No</td>
<td>Formed: 17 Registered: 3</td>
<td>8 CCC under process of registration</td>
</tr>
<tr>
<td>b) UP assigned work to CBO/CCC</td>
<td>No</td>
<td>17 UPs</td>
<td>No</td>
</tr>
<tr>
<td>c) CCC participates in UP planning process</td>
<td>No</td>
<td>17 UPs</td>
<td>17 UPs</td>
</tr>
<tr>
<td>d) CCC interacts with CBO and UP</td>
<td>No</td>
<td>17 UPs</td>
<td>10 UPs</td>
</tr>
<tr>
<td>e) Regular CCC meetings held</td>
<td>–</td>
<td>CCC of 17 UPs</td>
<td>CCC of 4 UPs</td>
</tr>
</tbody>
</table>

(continued on next page)
<table>
<thead>
<tr>
<th>Item</th>
<th>2005 Yes/no/number</th>
<th>2012 Yes/no/number</th>
<th>2014 Yes/no/number</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>10. Employment</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Linked with youth department</td>
<td>–</td>
<td>17 UPs</td>
<td>2 UPs</td>
</tr>
<tr>
<td>b) Perform income generating activities</td>
<td>–</td>
<td>3 UPs</td>
<td>3 UPs</td>
</tr>
<tr>
<td><strong>11. Women’s development</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Women’s participation in decision making process</td>
<td>3 UPs</td>
<td>17 UPs</td>
<td>17 UPs</td>
</tr>
<tr>
<td>b) Include women in different committees</td>
<td>–</td>
<td>17 UPs</td>
<td>17 UPs</td>
</tr>
<tr>
<td><strong>12. Skill development</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Secretary trained</td>
<td>17 yes</td>
<td>17 yes</td>
<td>17 yes</td>
</tr>
<tr>
<td>b) Maintain different documents correctly</td>
<td>4 yes</td>
<td>17 yes</td>
<td>17 yes</td>
</tr>
<tr>
<td>c) Information disseminated through UISC</td>
<td>-</td>
<td>17 yes</td>
<td>17 yes</td>
</tr>
<tr>
<td><strong>13. Sanitation and hygiene</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Hygiene session continuing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>i) Community</td>
<td>No</td>
<td>17 yes</td>
<td>8 yes</td>
</tr>
<tr>
<td>ii) School</td>
<td>No</td>
<td>17 yes</td>
<td>3 yes</td>
</tr>
<tr>
<td>b) Continuing latrine installation</td>
<td>No</td>
<td>17</td>
<td>13</td>
</tr>
<tr>
<td>c) Bill board/poster/flash card available</td>
<td>8 yes</td>
<td>17 yes</td>
<td>17 yes</td>
</tr>
<tr>
<td>d) Practicing hand washing</td>
<td>-</td>
<td>17 yes</td>
<td>6 yes</td>
</tr>
<tr>
<td><strong>14. Financial arrangement</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Name of agency/project directly disbursing funds to UP budget</td>
<td>DASCOH-SDSD project</td>
<td>DASCOH-SDSD project, LGSP</td>
<td>LGSP SHARIQUE-Under process</td>
</tr>
</tbody>
</table>

Use these simple indicators to ensure you are on track for accountability of NGOs:

- Proactive disclosure regarding inputs (activities), outputs and intermediate outcomes of the project/programme.
- Procurement, engagement and election process of CRPs and vendors by an NGO for any work or service.
- Acknowledgement of the inputs and support provided by citizens, CBOs, CRPs and LGIs.
INNOVATION WITH CLEAR ENTRY AND EXIT STRATEGY

5: BACK TO BASICS
- Case study on innovations.
- Entry and exit strategy.
Case study: Innovations

Innovation does not merely mean ‘new invention of technology’. Innovations could include any number of things, such as engaging with citizens or LGIs; linking up with and creating synergies between good practices; taking risks and thinking ‘out of the box’; and trying to do something for improving governance as well as services.

Pay-for-use arsenic testing and marking (that is, screening) at the UP level was introduced by the LGD/Japan International Cooperation Agency (JICA) project ‘Sustainable Arsenic Mitigation under Integrated Local Government System in Jessore’. This project equipped UPs to conduct arsenic tests with field kits. If the water is safe (unsafe), citizens receive green (red) receipts and the spout of their handpump is painted green (red). UPs charge BDT 50 per test, to enable purchase of the reagent necessary for future tests. UPs mobilised consumers, kept records of test results and reviewed progress in their monthly meetings. Under this project, six different mitigation options were also introduced, for example, well switching, deep tubewells, pond sand filters, dug well sand filters, arsenic iron removal plants and piped water supply.
Replication: The pay-for-use arsenic testing, marking and switching of tubewells, along with tubewell registration, is a completely a new idea (developed by the Chairman of Ranihati UP with support from DASCOH) which was implemented in Ranihati UP and other UPs. That helped to mobilise additional own source revenue to appoint a mechanic to ensure fixing of defunct tubewells and rehabilitate more than 20% tubewells that were previously non-functional. This led to, for the first time, an ‘arsenic mitigation ladder’ being fleshed out and acknowledged at the highest policy levels. This small, but important, measure proves that if a UP is creative and supported strategically by development partners, untapped resources can be revealed.

Water point registration is quite popular and registration of more than 28,000 water points have been carried out annually by more than 17 UPs in Rajshahi, Chapai Nawabganj Sadar and Jhikorgacha Upazilas.

**But are people really switching?** In Meherpur Sadar, the DPHE (with support from UNICEF and JICA) initiated sample testing at the point of consumption in households with sources heavily contaminated with arsenic. In the two villages of Uzalpur and Fotapur – where 77 and 37 sources, respectively, are contaminated with >200 ug/L arsenic – 100% and 50% of the households, respectively, were found to have switched from arsenic-contaminated to arsenic-safe sources.
How are these ‘tapping’ mechanisms triggered?
This was done by following ‘horizontal learning process and principles,’ which are highlighted here.

HLP principles
1. **Appreciate:** To realise our inherent value, strength and potential to overcome the limits that we often unconsciously impose on ourselves.
2. **Connect:** To break down the distinctions that separate us from the essence of our peers detracting from our collective well-being.
3. **Adopt/replicate/practice:** To start with those things that are already working in the field and enable learning through exposure to good practices within their local context.

HLP process
- UPs are encouraged to identify their good practices (with indicators) which are then validated by partner agencies and UPs.
- Member UPs select the good practices they wish to visit and learn from their peers in a spirit of appreciative inquiry.
- These UPs then prioritise, discuss with citizens and integrate these good practices into their annual plans and budgets.
- UPs are required to utilise their own resources for replication with the support of their peers within the network.

Why is this essential for a supporting agency?
Development is a dynamic process; it does not always depend on a set of ideas imposed from the top. It is important to encourage, connect and appreciate local leaders, local elected representatives and local youth to share new ideas and thoughts. They can only do that if they know there is no scope for criticism while sharing their crazy ideas. That enabling environment has to be fostered by development partners. Only then will local youth and leaders feel free to share ideas and local elected representatives can risk thinking outside the box. The process helps to develop confidence for creativity and taking risks by elected representatives, so that they can make an impact on the ground.
Another innovation that has been carried out by UPs with support from DASCOH is handpump registration. The annual registration of handpumps, both public and private, helps create an environment for ensuring the quality of water. Through this process the UP can regulate and ensure the safety and functioning of handpumps. This was initiated in Ranihati UP of Chapai Nawabganj by the SDSD Project supported by SDC through DASCOH. This good practice was shared and quickly spread among UPs. This approach generates the revenue necessary to hire a tubewell mechanic who can maintain the handpumps.

**Entry and exit strategy.**

It is vital to realise that if effective transfer of skills, technologies and understanding are provided to CBOs and UPs, then there is no reason to continue to support the same things year after year. It is, therefore, quite important from the beginning an exit strategy should be developed. The exit must have following factors:

**The exit strategy of the SDSD addressed the following major issues:**

a) Sustainable closing of field activities.

b) Closing offices with safeguarding assets.

c) Closing of financial transactions.

DASCOH has facilitated a strategic shift from providing hands-on support for water supply and sanitation technologies to support for good governance and governance of water supply and sanitation. This has helped build critical mass around UPs to phase out from technical support mechanisms. Prior to that, DASCOH assisted CBOs to register themselves and move in to the UP office to continue the support role.
The exit strategy of DASCOH with respect to collaboration with UPs.

Table 8. Sustainable closing of SDSD field activities: Joint Planning with UPs

<table>
<thead>
<tr>
<th>Sl</th>
<th>Event</th>
<th>Tasks</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stakeholder workshop (UP and communities) related to sensitisation and joint planning for phasing out (agreement will be drafted).</td>
<td>Workshop with each UP and drafted agreement</td>
<td>December 2011</td>
<td>Done in May-June 2012</td>
</tr>
<tr>
<td>2</td>
<td>Signing agreement with 17 UPs and 17 CBO Coordination Committees for continuing lessons learnt and good practices of the SDSD</td>
<td>Prepare agreement document between DASCOH-UP and DASCOH-CBO Coordination Committee</td>
<td>January 2012</td>
<td>March 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sign agreement with 11 UPs of Chapai Nawabganj</td>
<td>February 2012</td>
<td>Done in May-June 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sign agreement with 6 UPs of Rajshahi</td>
<td>February 2012</td>
<td>Done in May-June 2012</td>
</tr>
<tr>
<td>3</td>
<td>Hand over tubewells to DPHE by UPs</td>
<td>Prepare list of water points according to preferred format</td>
<td>December 2011</td>
<td>June 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Hand over the list of water points with formal official letter to DPHE to add the list in their register</td>
<td>December 2011</td>
<td>June 2012</td>
</tr>
<tr>
<td>4</td>
<td>Establish sustainable operation and maintenance of water sources to supply safe drinking water</td>
<td>Facilitate UPs to allocate funds in their annual budget for the salary of local mechanics</td>
<td>December 2011</td>
<td>Allocated in all 17 UPs in May 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Facilitate UPs to allocate funds in their annual budget for arsenic test, arsenic patient management and water point registration</td>
<td>December 2011</td>
<td>Allocated in all 17 UPs in May 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Facilitate UP to pay mechanics’ salary from UPs own funds</td>
<td>July onward 2012</td>
<td>17 UPs from July 2012</td>
</tr>
<tr>
<td>5</td>
<td>Replicate transparent procurement system in service delivery by UPs</td>
<td>Facilitate UPs to follow tendering process as per PPR and PPA in service delivery through LGSP project</td>
<td>December 2011</td>
<td>Follow RFQ in LGSP</td>
</tr>
</tbody>
</table>
Table 9. Closing SDSD Project offices with safeguarding assets

<table>
<thead>
<tr>
<th>Event</th>
<th>Tasks</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Closing offices</td>
<td>Notice to Chapai Nawabganj SDSD Project office (prepare and deliver letter intention to vacate, Dec 31, 2012)</td>
<td>November 2012</td>
<td>November 2012</td>
</tr>
<tr>
<td></td>
<td>Notice to UPs (prepare and deliver letter of intention to vacate office room from UP by 31 Dec 2012)</td>
<td>November 1, 2012</td>
<td>November 2012</td>
</tr>
</tbody>
</table>

Table 10. Closing of financial transaction related to SDSD Project in Rajshahi and Chapai Nawabganj

<table>
<thead>
<tr>
<th>Event</th>
<th>Tasks</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank accounts</td>
<td>Draft an official letter to UPs for closing bank accounts and assist in external audit in January-March 2013</td>
<td>November 30, 2012</td>
<td>November 2012</td>
</tr>
<tr>
<td></td>
<td>Assist UPs to write a letter to bank for closing the project account</td>
<td>December 15, 2012</td>
<td>December 2012</td>
</tr>
<tr>
<td></td>
<td>Close 17 UPs bank accounts and provide financial report</td>
<td>December 25, 2012</td>
<td>December 30, 2012</td>
</tr>
</tbody>
</table>

Simultaneously, DASCOH identifies gaps and as well as new areas of engagement, that is, assisting UPs and Upazilas in regulating integrated water resource management.

Use these simple indicators to ensure you are on track for innovation with clear entry and exit strategy:

- Risk to take innovation.
- Innovations: What is desirable to users?
- Innovations: What is possible with technology?
- Innovations: What is viable in the marketplace?
- Sustainable closing of field activities.
- Closing offices with safeguarding assets.
- Closing of financial transactions.
Guidelines for Strategic Engagement
PART B
Evidence of DASCOH’s Contribution to the Sector

DASCOH’S SDSD INTERVENTION TOWARDS SUSTAINABILITY

How did the SDSD Project mobilise the community (in particular, poor, disadvantaged and marginalised people) to claim their water and sanitation rights from UPs and other service providers?

Community Facilitators (Community Volunteers) are selected by the community and UPs, and are trained by the project to facilitate following initiatives at the community and UP level:

<table>
<thead>
<tr>
<th>Learning, experiences and implementation process of the SDSD Project related to community mobilisation</th>
<th>Documents/evidence available</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Strengthen capacity of community facilitator as volunteer to mobilise community</td>
<td>225 Community Facilitators in place of all 25 Unions and mobilising community</td>
</tr>
<tr>
<td>2. WatSan situation analysis by community</td>
<td>988 WatSan maps available in all <em>hatis</em> with households, water points, latrines, etc, marked category-wise</td>
</tr>
<tr>
<td>3. Gender situation analysis by community</td>
<td>988 used Gender Analytical Framework available in all <em>hatis</em> from 2011 to 2014 and drafted a gender report using this data</td>
</tr>
<tr>
<td>4. Disaster risk analysis and planning for risk reduction by community</td>
<td>988 DRR analysis and plans available in all <em>hatis</em></td>
</tr>
<tr>
<td>5. Village profile prepared by the community</td>
<td>988 village profiles, including households with poor, disadvantaged and marginalised people, with and without access to water and sanitation, are available in all <em>hatis</em></td>
</tr>
<tr>
<td>6. Participatory community planning</td>
<td>988 yearly plans and progress monitoring sheets available in all <em>hatis</em></td>
</tr>
<tr>
<td>7. WatSan Rights Committee formed and activated to claim their WatSan rights</td>
<td>WatSan Rights committee formation and activation process going on</td>
</tr>
</tbody>
</table>

(continued on next page)
### Learning, experiences and implementation process of the SDSD Project related to community mobilisation

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>Documents/evidence available</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td>Community WatSan demand compiled at Community Platform, placed at Ward Sabha (Ward Assembly) and prioritised</td>
<td>225 Ward Sabha meeting minutes available in all 25 UPs with WatSan demand</td>
</tr>
<tr>
<td>9.</td>
<td>Communities’WatSan demand incorporated in the UPs’ plans and budgets</td>
<td>UP plans and budgets available in all 25 UPs with WatSan budget allocation</td>
</tr>
<tr>
<td>10.</td>
<td>User groups for water supply and hygienic latrine selected by the community</td>
<td>User application available in all UPs</td>
</tr>
<tr>
<td>11.</td>
<td>Approval/non-approval of the application</td>
<td>Approval/non-approval by Water and Sanitation Standing Committee available at UPs</td>
</tr>
<tr>
<td>12.</td>
<td>Land for water point installation donated by users</td>
<td>Land donation certificate available at UPs</td>
</tr>
<tr>
<td>13.</td>
<td>Site for water points and hygienic latrine selected by user groups</td>
<td>Water points and hygienic latrine installed/constructed in the selected sites</td>
</tr>
<tr>
<td>14.</td>
<td>Partial cost of water points and latrine contributed by the users</td>
<td>Money receipt from UP available at user groups, cost sharing register and bank deposit slip available at UPs</td>
</tr>
<tr>
<td>15.</td>
<td>Contribution, if surplus, refunded by UP, and if deficit paid by community</td>
<td>Contribution refund/recollection document available at UP as well as CBOs</td>
</tr>
<tr>
<td>16.</td>
<td>Water point and offset pit hygienic installation/construction monitored by UP and community</td>
<td>Construction monitoring form available at UP as well as with CBOs</td>
</tr>
<tr>
<td>17.</td>
<td>Water point and offset pit hygienic latrine installation/construction completion certificate provided by users</td>
<td>Completion certificate available at UPs</td>
</tr>
<tr>
<td>18.</td>
<td>Arsenic test of newly installed water points by Community Volunteer (Arsenic Test Team)</td>
<td>Arsenic test result available with users as well as with UPs</td>
</tr>
<tr>
<td>19.</td>
<td>Water quality monitoring using test kit (microbiological, iron, manganese) by the project</td>
<td>Water quality monitoring report available</td>
</tr>
<tr>
<td>Learning, experiences and implementation process of the SDSD Project related to community mobilisation</td>
<td>Documents/evidence available</td>
<td></td>
</tr>
<tr>
<td>---</td>
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<td></td>
</tr>
<tr>
<td><strong>20.</strong> People in the community are encouraged to participate in various UP events</td>
<td>UP Standing committee, UDCC and Open budget meeting minutes available at UP</td>
<td></td>
</tr>
<tr>
<td><strong>21.</strong> Organising of hygiene promotion session within community by Community Facilitators</td>
<td>Hygiene promotion register available with Community Facilitators</td>
<td></td>
</tr>
</tbody>
</table>
| **22.** Hygiene promotion in primary schools | School teacher training report with participants list available at project office  
Trained teachers teach students about hygienic behaviour using guidelines |
| **23.** Disadvantaged and marginalised community selected for WatSan service | List of village with disadvantaged and marginalised people available (analyse village profile) |
| **24.** Union-wise CBO Coordination Committees formed and activated to claim their WatSan rights after phasing out of the project | CBO Coordination Committee exists and is functional in Rajshahi and Chapai Nawabganj district |
How is the Project strengthening capacity of UPs to deliver water and sanitation services more effectively, accountably, transparently and in a more inclusive manner?

All 25 UPs of Sulla, Derai, Jamalganj and Tahirpur Upazila are covered by the SDSD Project in Sunamganj district.

<table>
<thead>
<tr>
<th>Learning, experiences and implementation process of the SDSD Project related to strengthening capacity of UPs</th>
<th>Documents/evidence available</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Informal discussion with UPs on SDSD Project and its implementation strategy</td>
<td>Application with UP meeting minutes available to sign agreement with DASCOH to get involve in implementation of SDSD project</td>
</tr>
<tr>
<td>2. DASCOH-UP agreement for implementing the SDSD Project as per the latest Gazette UP (Contract) Rules 2012 in line with UP Act 2009</td>
<td>DASCOH-UP agreement available in both UP and DASCOH offices</td>
</tr>
<tr>
<td>3. Train UPs on their role and responsibility following UP training manual published by the NILG</td>
<td>Training report with participants list available</td>
</tr>
<tr>
<td>4. Train UPs on WatSan and DRR</td>
<td>Training report with participants list available</td>
</tr>
<tr>
<td>5. Train UP on open tendering process to deliver WatSan services involving private entrepreneurs</td>
<td>Training report available</td>
</tr>
<tr>
<td>6. Assist UP in open tender and WatSan service delivery</td>
<td>Newspaper advertisement, contractor enlistment, tender, contractor selection, award contract, work order available at UP</td>
</tr>
<tr>
<td>7. Increase revenue by selling tender schedule</td>
<td>Bank deposit slip available</td>
</tr>
<tr>
<td>8. Train UP secretary on transparent financial management (accounting, book keeping, vouchering, payment, etc)</td>
<td>All books of accounts available at UP</td>
</tr>
<tr>
<td>9. Assist UP in organising UDCC to establish downward accountability of UP as well as ensure services</td>
<td>UDCC meeting minutes available at UP</td>
</tr>
<tr>
<td>10. Affix stone plate and information board in the water point and latrine as public discloser to ensure transparency of the work</td>
<td>Stone plate and information board available in all water points and latrine installed</td>
</tr>
</tbody>
</table>
## Learning, experiences and implementation process of the SDSD Project related to strengthening capacity of UPs

<table>
<thead>
<tr>
<th>Learning, experiences and implementation process</th>
<th>Documents/evidence available</th>
</tr>
</thead>
<tbody>
<tr>
<td>11. Strengthen Standing Committee of the UPs</td>
<td>List of Standing Committee members and meeting minutes available at UP</td>
</tr>
<tr>
<td>12. Organise exposure visits to share and replicate good practices</td>
<td>Exposure visit report available at project office</td>
</tr>
<tr>
<td>13. Assist UP in organising Ward Sabha every year</td>
<td>Meeting minutes of Ward Sabha available at UP</td>
</tr>
<tr>
<td>14. Support UP in developing participatory plans and budgets through open budget session</td>
<td>Year-wise UP annual plans and budgets (budget book) available</td>
</tr>
<tr>
<td>15. Ensure public disclosure</td>
<td>Budget board of all 25 UPs available in public place</td>
</tr>
<tr>
<td>16. Direct fund disburse to project account to UP development account</td>
<td>Subsidiary cash book and bank statement available at UP</td>
</tr>
<tr>
<td>17. Water point and hygienic latrine site verified by UP water and sanitation Standing Committee</td>
<td>Approval/non-approval of users and site available at UP</td>
</tr>
<tr>
<td>18. Construction/installation of water points and offset pit latrine monitored by UP</td>
<td>Monitoring sheets available at UP</td>
</tr>
<tr>
<td>19. Community cost sharing collection, deposit in bank, refund if required, etc, management</td>
<td>Community cost sharing management register, bank deposit slip, etc, available at UP</td>
</tr>
<tr>
<td>20. Water and sanitation situation analysis using village profile data and decided for cluster approach</td>
<td>Village profile data available with criteria to select village for 100% water and sanitation coverage</td>
</tr>
<tr>
<td>21. Water point registration and increase revenue income to establish regulatory system</td>
<td>Water point registration card available at UP as well as with CBOs.</td>
</tr>
<tr>
<td>22. Establish sustainable operation and maintenance system of water points and latrines</td>
<td>Trained mechanics available and functional Users are oriented; training orientation report available</td>
</tr>
<tr>
<td>23. Organise exposure visit for UPs and encourage them to replicate good practices</td>
<td>Physical existence of hygienic latrine, AIRP, institutional latrine constructed involving local entrepreneur</td>
</tr>
<tr>
<td>24. Annual audit and financial review by third party</td>
<td>Annual audit and financial review report available at DASCOH and SDC</td>
</tr>
</tbody>
</table>
PART C
Effectiveness of DASCOH’s Interventions

The interventions of DASCOH discussed in the earlier pages lead to the following impacts on the ground.

<table>
<thead>
<tr>
<th>Sustainability factors</th>
<th>Answers obtained in the SDSD Project area</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Social sustainability</strong></td>
<td></td>
</tr>
<tr>
<td>How well do different user groups appreciate or value the services/systems?</td>
<td>All CBOs played more or less quite a proactive role in planning, implementing as well as O&amp;M of improved services</td>
</tr>
<tr>
<td>Is the system supported by informed social consensus?</td>
<td>Plans emerged from the village level, were integrated within Ward level, then were synergised at the Union level and were further discussed at open budget planning forums</td>
</tr>
<tr>
<td>Extent of community ownership from the beginning?</td>
<td>Community pays 20% of capital costs of the tubewell in advance to the Union and is fully involved in supervision, providing clearance to local contractors after completion of work and O&amp;M of water point</td>
</tr>
<tr>
<td>Were all neighbourhoods served?</td>
<td>Yes – all neighbourhoods are served</td>
</tr>
<tr>
<td>Were services affordable for poor/marginalised groups?</td>
<td>Services are affordable. However, if poor families exist then either well off families or the UP provide cross subsidies for poor families</td>
</tr>
<tr>
<td>How are poor paying for the registration fees?</td>
<td>All users pay. However, if poor families exist then either well off families or UPs provide cross subsidies for poor families</td>
</tr>
<tr>
<td><strong>Technical sustainability</strong></td>
<td></td>
</tr>
<tr>
<td>How appropriate and acceptable is the technology for the users?</td>
<td>The SDSD Project started with no hardware (handpump switching) intervention and then offered shallow, semi-deep and deep handpumps, which are well accepted by the people due to easy operational mechanisms</td>
</tr>
</tbody>
</table>

(continued on next page)
Is it supportable by skills available in the community for O&M?

<table>
<thead>
<tr>
<th>Is it supportable by skills available in the community for O&amp;M?</th>
<th>Now each Union has appointed one professional mechanic, free of cost, to operate and maintain the handpumps (for those who registered their handpumps) – 5,036 people have been trained as mechanics.</th>
</tr>
</thead>
</table>

**Institutional sustainability**

<table>
<thead>
<tr>
<th>Is there an institutional structure/organisation indicator in place to operate, manage and repair?</th>
<th>Earlier, the DPHE and/or UP used to plan, implement and operate the water points. Now a clearer institutional mechanism has emerged, where the UP plays the role of a ‘ensurer’ or ‘coordinator’, the DPHE plays the role of a technical supporter with NGOs (such as, DASCOH, NGO Forum, etc), local entrepreneurs play the role of service providers, and CBO members supervise O&amp;M with assistance from WatSan Standing Committee members and Upazila DPHE officers</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Does it have the necessary skills?</th>
<th>Through the SDSD Project, DASCOH provided them adequate training (for four options, that is, dug well, shallow handpump, semi-deep handpump and deep handpump, and also for arsenic testing and arsenicosis patient management).</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Does it represent voices of all groups of service users?</th>
<th>Yes – since voices of all groups are reflected in CBOs.</th>
</tr>
</thead>
</table>

**Financial sustainability**

<table>
<thead>
<tr>
<th>Are O&amp;M costs covered indicators by user payments?</th>
<th>Registration of handpumps is a unique idea of Ranihati Union, which has now been replicated by all 17 Unions. This yearly registration concept not only ensures better O&amp;M, providing a solution for financial stability, but also creates a continuous ownership for the improved services within the users. Even now UPs are also allocating funds from their own budgets for taping up O&amp;M costs for water services</th>
</tr>
</thead>
</table>
Are repair and replacement costs covered? Are users happy to pay for services? Are they satisfied with services?

During the mission, it was observed that users are quite happy (due to cross subsidy system) to pay for water point registration. The replacement costs for handpump spare parts are also paid by users, but mechanics' fees are free (for those who registered their handpumps). It is remarkable that even though water point registration per year increased from BDT 20 to BDT 100 in many places, people are still happy to pay.

Environmental sustainability

Does the operation of the services incorporate indicators for water resources and environmental management practices?

Marginal attempt has been made to utilise the waste water from platform either through creating a small ditch for pisciculture or a soak pit for water recharge. However, this has not been done in an extensive manner, though the initiative has started. A hand washing device was also developed and is being used in some houses. More efforts are needed to mainstream this.

Sustainability of the process

Community capacity building to manage and maintain services

Community choice in key decisions

CBOs have developed well; they are also coordinating at the Union level. The UP chairmen also provided a room in the UP complex for this 'coordination committee of CBOs'. Some coordination committees have already registered under Social Welfare and have started functioning in full mode. This will help to support CBOs after phasing off of SDSD Project by DASCOH.

Community ownership from the beginning

The CBOs start from the community with their initiatives. Therefore, community voice is built within the CBOs.

Leadership that allows voices of all to be heard

The concept of CRPs and mentoring them as leaders supports the movement of CBOs. It is noteworthy that in the last election in 2011, 34 CRPs contested as UP representatives and 27 CRPs were elected. This shows the growing leadership pattern in CBOs.
PART D
Summary of Guidelines

It is quite important to follow the five steps:
1: Citizen engagement
2: Tap ‘untapped’ local resources
3: Working with LGIs
4: Accountability
5: Innovation with clear entry and exit strategy

These five key Ingredients of success will enable NGOs to facilitate LGIs to ensure effective and quality service with good governance.

However, after following the above steps, it is also important to undertake another two important steps to ensure that support mechanisms are on track. These are:

- Mapping/collating/evaluating the evidence of NGO contribution to the sector.
- Evaluating the effectiveness of interventions.

These two steps should be undertaken every year to ensure that the NGO support programmes are on track.

Engagement strategy of NGOs with LGIs:
* Impressive engagement strategy: >15
* Good engagement strategy: >10
* Moderate engagement strategy: >5
* Needs attention: Between 5 & 0

Note: Please see the topics listed (points 1 to 20) on the next page. High scores mean that the NGO is better in engaging with UPs.
Citizen engagement
1. Establish VDCs/CBOs/Citizen Forums.
2. Organise UP mela/Tax mela/Tax Rebate Week.
3. Give special grants to Ward Committee achieving fastest 100% tax payment.

Tap untapped local resources
4. Prepare a roster of local natural leaders with mapping their skills and experiences on tacit learning.
5. During planning ‘tap’ these local natural leaders and also plan their development objectives with them.
6. Make sure, before your project ends, that a system has been developed for them to market their skills and local wisdom.

Working through LGIs
7. Disburse the fund directly to LGIs and make sure that the disbursed funds are reflected in UP’s annual budget.
8. Assist LGIs to improve their own source revenues so that in the long run they operate with their own source revenues.
9. Assist LGIs to enhance the quality of services by encouraging them to integrate social accountability tools within their service delivery system.
10. Assist UPs to take lead and gain recognition in national and regional forums, whenever and wherever possible.

Accountability
11. Proactive disclosure regarding inputs (activities), outputs and intermediate outcomes of the project/programme.
12. Procurement, engagement and selection process of CRPs and vendors by an NGO for any work or service.
13. Acknowledge the inputs and support provided by citizens, CBOs, CRPs and LGIs.

Innovation with clear entry and exit strategy
14. Risk to take innovation.
15. Innovations: What is desirable to users?
16. Innovations: What is possible with technology?
17. Innovations: What is viable in the marketplace?
18. Sustainable closing of field activities.
19. Closing offices with safeguarding assets.
20. Closing of financial transactions.

Once the above steps are followed, it can be ensured that ‘support programmes are moving towards sustainable development.’
REFERENCES


The Program Framework: November 1, 2011, to October 31, 2015, Horizontal Learning Program in Bangladesh. LGD and others, November 2011.

The Local Governance Communications Strategy Draft Final, supporting the Local Government Division, Ministry of Local Governance, Rural Development & Co-operatives, Government of Bangladesh, in Developing a Local Governance Communications Strategy, LGD, June 2012.


Note: The ideas for some illustrations and photos used on the cover page have been taken from the Google website.
The National institute of Local Government (NILG) has progressively changed its role from delivering training to ensuring quality training and enable non-governmental organisations (NGOs) to utilise their resources within the National Resource Pool. Incorporating horizontal learning within the demand responsive training further assisted the NILG to learn about existing good practices that are being learnt and replicated by the Union Parishads (UPs) from their peers. If they are strategically shared and their replication is facilitated, development goals can be achieved more effectively.

‘Guidelines for Strategic Engagement: Experience-based Guidelines for Non-governmental Organisations’ has been developed to assist NGOs to engage more effectively with UPs. It is a product resulting from an analysis of the 18 years of learning of the ‘Development Association for Self-Reliance, Communication and Health’ (DASCOH), an international non-governmental organisation (NGO), now a national NGO, located in Barind area of Bangladesh.

This is the first edition and in future more steps will be added by drawing on the experience of other NGOs to make this unique guideline more comprehensive. We firmly believe that these guidelines will contribute to establishing a strong, responsible and accountable system of mutual collaboration between NGOs and UPs.