



# **CARE BANGLADESH GOVERNANCE TECHNICAL STRATEGY DOCUMENT**

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## TABLE OF CONTENTS

	Page
Background .....	3
The Conventional Wisdom .....	4
Problem Analysis: Impact Groups and Governance .....	8
Governance Outcomes and Strategies .....	9
Relevance of Approaches across Impact Groups .....	12
An Advocacy Agenda .....	12
How to use the Governance Technical Strategy Paper .....	13
Linking to Indicators in the CO Impact Measurement & Learning System .....	14
Hypotheses for Testing .....	14
Key Partners and Sources of Technical Assistance .....	15
Key References and Resource Persons .....	15
Annexes:	
A. Co-financing to UP: Guiding Principles .....	16

## 1. Background

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The purpose of this paper is to share within and beyond CARE Bangladesh (BD) best practices within the organization on governance. CARE BD began a transition to rights based approaches in 2001. In practical terms this has meant building the capacity for deeper social analysis to understand the underlying causes of poverty and ways to address them and achieve greater and lasting impact on the lives of the poorest and most marginalized populations in Bangladesh. CARE BD has constructed a strategic programming framework to guide its programming within a program approach over the next 10-15 years to ensure greater coherence of programming and to enable us to be more accountable to significant and positive change in the lives of the poorest and most marginalized. The strategic programming framework has defined four long term programs focused on population groups: Socially, economically and politically marginalized women, Extremely Poor People in Rural Areas, Marginalized groups in urban areas; The most vulnerable people and communities prone to disasters and environmental change.

To support the four impact statements defined in CARE BD's programming framework technical strategy papers outline CARE BD's experience and practice in strategic areas which cut across the theories of change for the impact statements. Weak governance has been identified as an underlying cause of poverty and marginalization in all four CARE BD's impact statements. It is also seen as an important domain of change in the impact statements. The question of why some people suffer from lack of access to resources and opportunities compared to others is essentially a political question. Resource allocation and access (the symptoms of poverty, as it were) are essentially about power, influence and political contest. Poverty is therefore created and maintained through the operation of unequal power relations, which result in the unequal distribution of wealth and assets. Therefore a central premise of CARE's approach is that in order to eradicate poverty we must address both power relations and the resulting structural or systemic causes underlying poverty. Building on this conceptualization there are two important arguments for why governance matters. Firstly participation (and within this political participation) is seen as a right with intrinsic value in itself. Secondly, experience has taught us that **development results are more relevant, far-reaching, and sustainable if people are able to engage** in the management of those public affairs that affect their lives. Furthermore, there is evidence to show that there is greater success in reducing poverty and inequality in the long term if **governments are capable, inclusive and accountable to their citizens** and that people are able to actively engage in governance processes.

This paper is a culmination of a series of discussions in CARE BD undertaken from November 2008 to June 2009, drawing on the experiences across CARE BD's governance projects (in particular Nijeder Janiya Nijera, SHOUHARDO, SHARIQUE). The purpose of this Technical Strategy Paper on Governance is to define the basic principles of CARE BD's governance programming, ensuring the sharing of best practice and coherence across projects, strengthening future programming and the shift to a program approach. By consolidating the strategies and approaches and principles of governance programming facilitates the development of a common understanding among CARE BD staff (both new and existing) of how the organization works to promote good governance. In this way Technical Strategy Papers can be seen as a guide for project development, and on-boarding for new and existing staff on best practice in this area. The Technical Strategy Paper will ensure cohesion of CARE BD work with the strategies of other stakeholders, in particular the Government of Bangladesh, ensuring clarity on CARE BD's contribution to the achievement of national goals and plans for poverty eradication, helping to identify possible partnerships locally and nationally for promoting good governance.

## 2. The Conventional Wisdom on the Relationship of Technical Area to Human Development

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In order to ensure consistency of understanding, here we lay out CARE's definition of governance, good governance and other governance related terms. We also provide a conceptual framework of governance used across the CARE federation in the forthcoming Governance SII.

### 2.1 Governance and rights

CARE adopted a rights based approach (RBA) in 1999; this approach is relevant to our governance work. What does this mean? The RBA pushes us to ensure that the goal against which we measure success or failure of our governance work would not simply be economic prosperity but rather the extent to which opportunities for all to lead long, healthy, creative lives, while enjoying a decent standard of living with freedom, dignity and self-respect are met. Further, our rights based approach requires that the vulnerable and the marginalised (particularly women) take centre stage in the measurement of our impact – in terms of their voice, their participation and whether their priorities define political and economic agendas. Our RBA also requires that any development goals be framed as legally enforceable entitlements with both claim holders and corresponding duty-bearers (at the core of which we find citizens and state) and that governance is the process of negotiated development that takes place between them.<sup>1</sup>

### ***Governance and Good Governance: terms and definitions we have used in this strategy***

In its broadest sense, **governance** is the exercise of power in the management of public affairs. Governance is the sum of the many ways individuals and institutions, public and private, manage their common affairs. Governance is a dynamic, political process through which decisions are made, conflicts are resolved, diverse interests are negotiated, and collective action is undertaken. The process can draw its authority from formal written codes that have the power to enforce compliance, as well as from informal processes based on unwritten but broadly accepted cultural norms, or from the charismatic leadership of an individual.

*[Adapted from the Global Commission on Governance Definition]*

For CARE, **good governance** is the effective, participatory, transparent, equitable and accountable management of public affairs guided by agreed upon procedures and principles, to achieve the goals of poverty reduction and increasing social justice.

**Why is Good Governance important:** Core to our understanding of poverty is the fact that one of its underlying causes is failing, weak or bad governance. So, good governance is an outcome in itself (and relates directly to international human rights standards), research has shown that good governance also leads to improved developmental outcomes (which is core to our vision and mission). In fact, we *believe that sustainable development is only possible in contexts where good governance exists.*

### 2.2 The Importance of Context

This framework sets out to help us understand and explore governance in a given context. It would be over ambitious to imagine that the framework reflect the complexities of governance in all the contexts in which CARE works. However, it is important to note that both history and context are of vital importance to the way power is exercised in public affairs.

Power relations are characterized by the ability of a group or individual to:

- Exercise influence over the decisions and actions of another group or individual

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<sup>1</sup> Adapted from: "Supporting Human Rights and Governance: A background paper on conceptual and operational approaches, Jo Beall, David Lewis and Carla Sutherland, London School of Economics"

- Serve the interests of themselves, which may nor may not serve the interests of the other groups or individuals.<sup>2</sup>

Power is exercised both formally and informally, visibly and invisibly. Understanding power relations in a given context is complex and can carry risk, and yet, addressing weak governance requires that the way power is exercised changes and if we are to influence transformational social change we need to understand the environment in which we are operating.

### **2.3 Understanding the framework**

On the following page we provide a schematic representation of governance. It is designed to help readers explore and understand governance in a given context. At the core of the framework is **negotiated development** between **citizen and state** at various levels (local through to national). As mentioned above, central to CARE's interest in governance are the procedural outcomes of governance itself and also developmental outcomes that result from improvements in governance procedures and instruments. The process of negotiated development relates to the equitable fulfillment of citizens rights (both political and civil, as well as economic, social and cultural).

A precondition for good governance is capacity. In the simplest terms capacity is the ability to do something. In the case of the state, capacity is the ability to provide political goods and public services. The state needs rules to govern itself, to govern those under its jurisdiction, resource to fund its action and the ability to ensure compliance. There are four core capacities of state: legal capacity (regulation and dispute resolutions); extractive capacity (taxation); administrative capacity (or public sector) and coercive capacity (externally and internally – the military and the police). CARE clearly has a role in developing and reinforcing the capacities of state and citizen in its work.

Capacity will determine the quality of the procedures and institutions of governance. These procedures and institutions are essentially the informal and/or formal relationships that exist between state and citizen. They are important because it is through them that development outcomes are negotiated. The relationships take place in informal and formal procedures and institutions and between formal and informal actors. We can hold up the procedural outcomes listed above against each of them to assess their quality.

The diagram below shows the ways in which governance takes place in a given context. It is important to note that the relationship between government and state takes place at various levels (whether in a small village between the local council and a woman's group; or between organized civil society and state during a national PRSP process). Procedures and actors will differ in a given context and at a given time since governance is not static, but dynamic.

On the left hand side of the diagram we see that in any given context there are formal actors through which power is exercised and that link state and citizen. These are formally incorporated and regulated organizations. There are also formal procedures and institutions where power is exercised and where state and citizen can engage with one another. On the right hand side are informal actors and procedures and institutions for state citizen interaction.

We have separated out the processes and actors in governance across formal and informal spheres. Of course, in practice it is not this simple. In many contexts formal coexists with informal. For example, formal processes such as elections are 'officially' carried out according to accepted norms and standards. But at the same time, 'behind the scenes' informal processes such as the purchasing of votes (corruption), the cursing of candidates (witchcraft) and the protection of existing patterns of exclusion and power (neo-patrimonialism) continue.

Equally, a formal actor may act according to formal regulations or within informal processes that fall outside its formal role. In both domains, an actor can be promoting good inclusive, just

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<sup>2</sup> See Discussion Paper: Governance, East and Central Africa Regional Strategy, July 2003

governance or the interests of a specific group or individual. The divide is therefore not simple, however, it does help us understand and explore the difference between the desired processes and the way that these processes actually happen. In fact, it could be argued that the difference between the formal discourse relating to governance and the actual informal practice – the degree to which they reflect one another – is an indicator of the existence of good governance in itself.

The formal or informal status of an actor or a process is not an indication of their legitimacy or effectiveness in terms of negotiated development outcomes. The outcome of the processes will depend more on the intentions and capacity of the actors involved (i.e. whether they are seeking to serve their own interests or those of broader society) than their status on a formal to informal continuum. This is why the procedural outcomes are helpful, because they give us a standard against which to judge the quality of governance processes in a given context.

It is the quality of the interactions between state and citizen that happen within formal and informal processes and through formal and informal processes and actors that is of great interest to us in our work, because we assume that when they improve (in terms of procedural outcomes), development outcomes also improve. Development outcomes will therefore depend upon the quality of these processes and actors.

In good governance we would see actors who respect the rule of law, have the capacity to act, seek the participation of those they represent or serve in decision making, are transparent, accountable and equitable. We would also see processes that are open to full and equitable participation, respectful of the rule of law, transparent and accountable to those they seek to serve.

Here are some examples of formal and informal governance processes:

<b><i>Formal</i></b>	<b><i>Informal</i></b>
Election	Communal rights
Budgeting	Protest/demonstration
Parliamentary debate	Lobbying
Taxation	Belief systems e.g. witchcraft
Judicial process	

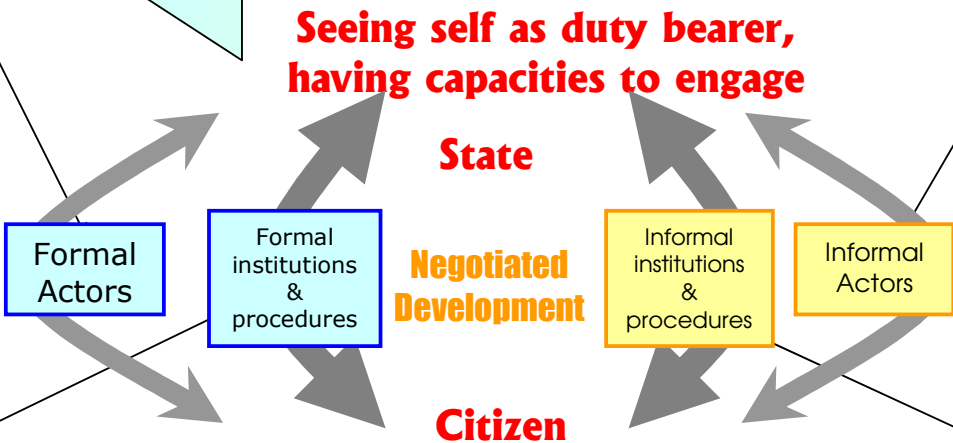
**Figure one: Governance Framework**

**Procedural outcomes of Good Governance:** Participation, Accountability, Transparency, Capacity, Equity, Respect for Citizen Equality

Formal processes may reflect or contradict the informal processes and vice versa. The extent to which the informal processes correspond to and influence formal processes is of interest when exploring governance in a given context.

In governance, formal actors support or hinder state citizen relations. Formal Actors are those that are formally incorporated or regulated in a given context. For example: Corporations, donors, parliament, religions, Non-Governmental Organizations, civil society, the media, the army, the police etc

In governance, informal actors support or hinder state citizen relations. Informal actors are those that act outside of formal regulation, for example social movements, ethnic groups, caste groups, religious groups, civil society, etc.



In governance formal institutions and procedures are where interaction can take place between state and citizen as a part of formal government process in a given context. Procedures might include: election, lobbying, legislation, parliamentary debate, judiciary, budgeting, taxation, service provision, the media, security, etc. The notion of institution goes beyond that of an organization to include a practice or norm such as the rule of law, or freedom of speech, or equality before the state.

Informal institutions and procedures are where interaction between state and citizen take place outside of formal processes. Institutions might include cultural practices and beliefs such as collective rights; community systems of social protection; group organization and solidarity. Informal procedures might include protest, lobbying, etc.

Actors and processes can shift between formal and informal domains. For example a church can work as a formal provider of services and benefit from state investment; it can also act as an organizer of protest. Media might also be informal or formal.

**Substantive outcomes of good governance:** poverty reduction, increased access to services and resources, improved quality of services

### **3. Problem Analysis: Impact Groups and Governance**

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Governance has been identified as an underlying cause of poverty in CARE Bangladesh's four Impact Statements, as well as an integral part of the domains of change, for achieving the visions for each impact group. This section will outline the problem analysis for impact groups<sup>3</sup> highlighting the intersection between underlying causes of poverty and governance. This will be followed by a more detailed analysis of the constraints to governance in Bangladesh and opportunities for improving governance, drawing on a previous analysis workshop.

#### **3.1 Extreme Poor Impact Group**

##### **Impact Vision:**

People in the "lowest" category of the well-being ranking (as assessed by poor rural communities), especially those people trapped in a set of unequal power relations, sustainably overcome the barriers that prevent the fulfillment of their rights.

##### **Overlap of Underlying Causes of Poverty and Governance:**

- **Social inequalities:** these inequalities shape the different forms of exploitation, dependence, discrimination, and marginalization through institutionalized norms, values and behaviors. These informal institutions ensure decision making powers and control are predominantly concentrated in the hands of power-holders – elites. The poor are to a large extent dependent on exploitative relationships with local elites.
- **Weak governance at all levels:** the participation and voice of the extreme poor and poor is limited due to constraints of opportunity and capacity, and societal norms; formal systems of governance are highly centralized, strongly hierarchical, and lacking in systems and procedures for ensuring transparency and accountability. As such these formal systems are vulnerable to corruption and abuse of rights, such as the implementation and enforcement of pro-poor policies designed to ensure access to resources and services.

#### **3.2 Marginalized Women Impact Group**

##### **Impact Vision:**

The "most" socially, economically and politically marginalised women will be empowered.

##### **Overlap of Underlying Causes of Poverty and Governance:**

- **Lack of access and control over resources and decisions:** access to and control over resources is mediated by social relations that exist in all institutions – markets, the state, communities. The limited choices and opportunities women have to develop their physical, economic and social assets are fundamental to understanding marginalization.
- **Unequal gender power relations:** patriarchal systems of beliefs, values and structures socialize the capacities and attitudes of men and women. The pervasiveness of this socialization can lead girls and women to voluntarily accept these inequalities. The result is that many social, economic and political spaces are effectively off limits to women.
- **Masculine systems and structures:** power relations between men and women are the product of institutional practices. There is a need to scrutinize the rules and assumptions that shape institutions, policies and laws and to analyze the latter for their contributions to the goal of gender equality

#### **3.3 Constraints to governance in Bangladesh:**

A more detailed analysis was conducted on the specific constraints to rural governance<sup>4</sup> in Bangladesh, using the categorizations in the governance framework in figure one. The capacities of the **Union Parishad** (UP) are very weak. It lacks a clear vision of development and poverty reduction. They have limited functional authority over service providers, and the latter are accountable only vertically to higher levels of line departments and are not accountable to elected representatives or to citizens. They also have limited financial authority and are resource poor, limiting their ability to respond to and address the causes of poverty in their union. Further, there is weak solidarity and organization among the **extreme poor** due to geographic spread and also the exploitative relations

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<sup>3</sup> As at 30<sup>th</sup> March 2009 the most developed impact groups are extreme poor and marginalized women.

<sup>4</sup> A similar exercise will need to be conducted for urban impact statement to ensure there is a good understanding of causes of weak urban governance.



that the extreme poor are often trapped in with elites. They do not constitute a self-conscious and organized social group, and do not have a platform or forum to raise their voice to the UP, upazilla and district. Their low social status and self esteem are major obstacles to their participation, as is the opportunity cost they face by participating.

**Formal institutions** are not generally pro-poor. The UP does not have any formal mandate to include them in its decision making processes. Government rules at best encourage token participation of citizens in general and in practice the extreme poor and women are generally marginalised from these spaces. Formal governance systems are often complex and confusing and are also anti-poor due to deliberate information with-holding, require higher levels of literacy and personal connections to decision makers. These formal institutions are a product of a long history dating back to colonial rules, and reflect a centralising tendency of control and decision making. However there are some positive changes expected through the Local Government Act which needs to be monitored.

**Informal institutions** often act to inhibit the participation and further marginalise the extreme poor and particularly women. The mutually reinforcing and overlapping power of economic elites, social elites and political elites marginalizes the extreme poor and women. Patronage underpins social structure and hierarchy with the extreme poor trapped in exploitative relations, and the patronage system affects the control and distribution of public resources. Formal elites rely more on informal elites for votes, hence they serve the interests of elites rather than citizens, and informal practices such as vote purchasing and vote bank politics reduces the accountability of the elected body to the extreme poor. There is also a mind-set within the formal systems that the extreme poor are just passive recipients of social safety net programmes, and that this is a charitable act rather than the fulfilment of governmental obligations as primary duty-bearers. These formal systems are shaped by masculine power relations, whereby the limitations on participation of extreme poor women are further inhibited by the operation of the social norms of patriarchy. The reality of poverty and marginalisation for extreme poor women differs significantly to that of an extreme poor man due to these norms, as does the barriers to their equal citizenship and political participation. It is essential for this strategy to respond to these differences in marginalization and citizenship.

### **3.4 Opportunities for local governance in Bangladesh**

There are currently changes underway in local governance in Bangladesh, particularly focused on reforms of the Upazilla Parishad level of government, with plans to institute an elected government body at this level. A number of different policies and laws have been enacted and are planned for the coming year. It is important for CARE Bangladesh to analyze and understand the implications of these changes to its projects, and to its governance strategy.

There are also new policies and governmental strategies related to khas land allocation and targeting support to poor people, hence CARE Bangladesh must keep abreast of these changes in the policy environment understanding the impact they could have on the poor.

## **4. Governance Outcomes and Strategies**

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Governance (as understood previously) is essentially concerned with the relationship between state and citizen. The weaknesses identified in section 3 capture the problematic nature of relationships between state and citizens, particularly extreme poor and marginalized citizens in Bangladesh, who are for the most part invisible to government, their exclusion often the result of elite behaviors and the collusive relationships between formal and informal elites. While aiming to improve the capacity of the UP to respond to the poor is essentially a change in the “state” or condition of the UP, this in reality corresponds to changes in UP behaviors and their relationships with the extreme poor. Hence this framework attempts to diverge from conventional strategies, which tend to focus more on changes in “state”, and instead adopt a deeper and more sustainable strategy which aspires to changes in behaviors, relationships and activities of key stakeholders. For each impact group<sup>5</sup> the critical stakeholders are outlined, and then the outcome changes presented articulating the behavioral and relational changes that CARE Bangladesh’s governance programme (projects and initiatives) seeks to

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<sup>5</sup> As at 30<sup>th</sup> March this is the Extremely poor people impact group and the Socially, Economically, and Politically Marginalized Women impact group

contribute to, and finally the strategies and their attendant basic principles which can act as a guide to future projects across CARE Bangladesh's portfolio.

#### **4.1 Extremely Poor People Impact Group**

##### **Stakeholders:**

The key stakeholders identified as essential to influence through CARE Bangladesh's governance programming are:

- Extreme poor
- Elites and land owners and local leaders – social and religious
- Union Parishad
- Upazilla Parishad
- Poor people's own groups and organizations
- Government sector
- Donors

##### **Outcome Changes:**

Outcome changes are the changes in behaviors, relationships and activities that CARE Bangladesh aims to contribute to through its programming in order to improve governance and address this critical underlying cause of poverty in the programme shift.

**Extreme Poor:** are able to access information about government services and resources, and can also access these. The extreme poor recognize the value of, and engage in, collective solidarity actions. They are able to demand their rights and entitlements, negotiating with local government. They recognize their own capacities and ability to organize to solve their own problems, and as such through their own organizations emerging from the grassroots, they are able to link to duty-bearers and represent the extreme poor in formal structures. They are able, through their organizations, to articulate their own vision of development and initiatives.

**Poor people's representative organizations:** have emerged from the alternative leadership from the poorest segments of society through collective solidarity processes. These organizations are able to represent the poorest in key positions and committees, and act as a collective pressure group on local government accountability. These organizations demonstrate strong democratic values and processes, linked to their formal structures.

**Elites and Landowners:** recognize the value of pro-poor development, demonstrating a pro-poor mindset, and respect for democratic practices, and the participation of the extreme poor in development activities<sup>6</sup>.

**Union Parishads:** recognize the value of the participation of the extreme poor in planning and decision making, creating opportunities for their inclusion through implementing participatory governance mechanisms and inviting the extreme poor into these spaces (e.g. functionalizing standing committees in the UP, participatory budgeting). The UPs demonstrate a pro-poor mindset, developing plans and allocating resources to the interests of the extreme poor; and are able to articulate a vision of poverty eradication. They also make information more available and decision making processes transparent, displaying citizen charters, and budgets.

**Upazilla Parishad:** recognizes the value of the participation of the extreme poor in planning and decision making, creating spaces for this participation, for example through participatory budget. They are able to articulate a vision of poverty reduction, and take initiatives to generate resources

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<sup>6</sup> It is important to note that there are some concerns within different quarters of CARE Bangladesh regarding investing too much effort and resources into elites, such as landowners, as they have tended to be highly inconsistent in demonstrating a pro-poor attitude and have tended to co-opt NGO and government resources for themselves and their kin. However they are powerful actors at the local level and cannot be ignored for risk of causing conflict in their relations with the extreme poor. It is important to balance these two competing issues and to define a middle position for engaging and including elites. In Nijera Nijeder Janiya Project elites have been incorporated in some analysis work, and also identified as possible local experts that have knowledge or resources which could benefit the extreme poor collective action groups, however they have not benefitted from resource transfers and extensive time and energy of staff has not been placed on focusing on this stakeholder. This may be an important approach to be systematized where possible in CARE Bangladesh's projects and initiatives to reduce the resources (staff and money) spent on elites.

through taxation and central government pools, to deliver this plan. The Upazilla will also be able to coordinate among service providers to ensure accountability and transparency of service provision to the extreme poor, ensuring their issues are addressed. They will commit to greater transparency of budgets, plans and decisions, such as through displaying citizen charters and opening up budget discussions. Finally the Upazilla will be able to mitigate the influences of MPs in their decision making processes.

**Government Line Departments (Nation Building Departments):** will recognize the value of greater accountability and responsiveness to the extreme poor, and engage in activities to reach them. They will be able to account to the extreme poor, creating greater opportunities for the extreme poor to participate in defining service delivery objectives and providing feedback on quality of service provision. They are able to resource the Union Parishad with line department staff, resulting in the one stop services' delivery at the Union office.

### **Programming Strategies:**

These are the strategies that have been identified as important for achieving the outcome changes articulated above. These programming strategies provide a high level view of how these changes can be achieved and some of the key principles underlying the strategies. They can act as a guide for project and initiative design, monitoring and evaluation.

#### **i. Community Solidarity Building:**

An essential strategy is to build solidarity among the impact group, strengthening their linkages with each other, and hence their collective power to organize for common interests, negotiate with power-holders and access resources and services from duty-bearers.

Some principles underlying this include:

- Identifying common interest groups
- Participating in collective initiatives
- Local leadership building/ leaders from the poorest
- Linkage building with outside actors
- Institutionalizing community mobilization through Community Based Organizations (CBOs) and Village Development Committees (VDCs) and EKATA groups (village women's rights groups)<sup>7</sup>
- Capacity building of emerging community leaders and their organizations through cross learning visits, using local experts from within communities to facilitate knowledge creation and capacity building (for example for collective economic activities) and encouraging information sharing between collective action groups
- Networking with similar interest groups (creating crucial mass), through formal or informal federation of interest groups or facilitating meetings and visits.

Central to this strategy and principles are building **leadership** out of the extreme poor and marginalized themselves, generating **community solidarity** through collective actions around common interests, identifying knowledge and expertise from within communities using **local experts** to guide collective actions. In this way the strategy seeks to strengthen the resilience and capacities (both collective and individual) of the extreme poor, and empower them as decision makers in their own rights. This type of activity can be undermined by any number of factors, and the activities of NGOs have also been identified as weakening solidarity of the extreme poor through activities such as micro-credit. Hence it is important for CARE Bangladesh's programming work to intentionally empower the extreme poor through this process, and to closely monitor the impact of programming on empowerment and the sustainability of solidarity of the

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<sup>7</sup> Some interesting observations were made during the workshop regarding the EKATA groups. These have been very successful at mobilizing women and raising critical issues of women's rights in their communities. However they have not had as much success in engaging men even from among the extreme poor, and mobilizing them around women's rights. This can have an unintended consequence of causing conflict and tension at the local level, and also situating women's rights only within the interests or mandate of women rather than as a social issue with a wider base of ownership. It may be important to find ways to link EKATA groups to other representative organizations of the extreme poor, such as VDCs or the Natural Leader Forums in SETU, or make them a sub-set of these groups and encourage male participation. There is a body of work in the CARE federation on targeting men in VAW work, which could prove useful to draw on in relation to the operation of EKATA groups.

extreme poor. These are good guiding principles for all work around organizing and working with community groups, regardless of the sectoral focus.

**ii. Strengthening Union Parishad Capacities:**

- Building the capacity of the UP, raising awareness on roles and responsibilities, and facilitating mind-set change regarding the extreme poor, and greater pro-activity and development planning. It is important to state that this kind of mindset change is not possible simply through presentations, trainings and workshops, but instead requires time and close facilitation of CARE staff. One possible principle is to integrate the UP into work with the extreme poor from early on, identifying the poorest areas in the union with them, including them in the analyses stages with communities, and also conducting poverty and power analyses with them to build their understanding of the underlying causes of poverty and marginalization.
- Participatory budgeting (including participatory bottom-up planning) ensuring the inclusion of the all sectors of society, in particular the extreme poor and women.
- Strengthening Standing Committees and other UP committees, in particular ensuring that the extreme poor and marginalized women occupy the co-opted positions on the committees.
- Resource generation and utilization is critical to strengthening the capacity of the UP to achieve poverty reduction. There are three main ways to support resource generation outlined in the strategy.
  - Co-financing (see Annex 1)
  - Assist to access LGSP fund from Upazilla
  - UP Taxation<sup>8</sup>
- Creating spaces for state-citizen dialogue, such as Ward Sabhas, to establish the imperative for public accounting for actions, and to provide opportunities to citizens to feedback to the UP.
- CARE Bangladesh to enter into formal partnerships with UP (MOU), to empower them as partners
- Assist UP to establish functional linkages with local service providers
  - Ensure regular presence of service provider through regular coordination meeting and provide feedback
  - Facilitate the establishment of one stop service delivery at the UP compound
  - Include Upazilla service providers in the union participatory spaces such as participatory budgeting processes, and Gram Sabhas to increase their understanding of local issues.

Underpinning these interventions and best practices outlined here is the idea of an “all-of-Union” approach or Union-wide approach where CARE BD would partner with the UP body and work to enhance its capacity to engage its citizens, respond to the interests and demands of the poorest and most marginalized, and to be accountable to citizens. A number of CARE BD projects have adopted an “all-of-Union” approach, namely the Botlagari Good Governance Pilot in Nijeder Janiya Nijera and SHARIQUE. While this does not mean working with every para in the Union, it has however involved seeking to engage the poorest para in each of the Wards (in the case of Nijera), and creating a ground swell of citizen pressure for accountability, transparency and responsiveness. This approach meant that the project was able to work with the UP body as a whole and with each UP Member engaging them in poverty analysis and community empowerment elements from the beginning. The success of this is that over time their ownership of these processes can be seen to increase moving the initiative towards a sustainable outcome in the Union.

**iii. Enabling Linkages with the Upazilla:**

- Strengthen regular coordination meetings at the Upazilla level involving all departments, ensuring that there is regular feedback, progress analysis and monitoring.
- Support the prioritization of development activities and rational allocation of resources through line departments, and supporting these development actions by facilitating the generation of funds and resources from local community
- Advocate for pro-poor policy and resource allocation.

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<sup>8</sup> SHARIQUE has developed experience of attempting to improve taxation collection through a participatory taxation analyses. Further experiences in Nijera have found that as UPs become more transparent and inclusive in their planning and budgeting processes, and through the use of natural leaders to collect tax, there have been increases in payment of taxes.

In this strategy it is important to find ways to create linkages between the upazilla level service providers and citizens, ensuring accountability of service providers to citizens. This level of government is currently undergoing significant changes, it is important to be clear on what those changes will mean for the CARE Bangladesh Governance Strategy. This must be monitored during the coming year to understand its implications.

**iv. Advocate for a pro-poor national policy environment**

- Policy advocacy through networking and alliances for pro-poor budget allocations, pro-poor policies, safety net programmes and khas resources distribution
- Best practice sharing for policy planning and implementation
- Advocacy for continuous decentralisation
- Advocate to allocate revenue which has been collected from khas beels (water bodies) in the locality for pro-poor development programme. These revenues currently go to district.

**v. Conduct advocacy with donors:**

- Sensitize and educate donors to understand context specific programming for the poorest
- Allocating more funds for the poorest that focuses on mainstreaming governance

Other key stakeholders to target to achieve sustainable changes are:

- Members of Parliament
- divisional line departments
- national line departments
- private sector

These stakeholders have an important impact on the nature of governance and its inclusivity in Bangladesh. CARE Bangladesh's interventions must take these actors influence into account even if it does not target them directly. Alternatively this may be an area for further development of the strategy.

**Summary of Strategy**

Governance is not simply about government or focusing on formal systems and processes, but as a relational concept must also address power inequities existing in both the formal and informal realms. This is about expanding notions of citizenship to include those currently outside the social contract between state and citizen, and hence focusing more on state legitimacy to its citizens than purely state effectiveness. These strategies find various ways to improve downward accountability of state to its citizens, concentrating on both the role of elected representatives and also state functionaries in what are known as Nation Building Departments (Line Ministries), recognizing that this requires a change in political culture in the state and among political leaders, and a concurrent change in democratic principles among citizens, with the latter exercising their rights and fulfilling their obligations. The enfranchisement of the extreme poor and marginalized groups such as women, religious and ethnic minorities is not possible, however, in the absence of efforts to challenge the exploitative economic, social, and political relations which have and continue to keep them outside of civil society.

<b>Strategy &amp; Principles</b>	<b>Experience within CARE Bangladesh</b>	<b>Experience in CARE</b>
Community Solidarity Building	Empowerment processes through analysis, self-realisation and collective action ( <i>Nijera/SETU</i> and <i>SHOUHARDO</i> )	<p><b>Nepal:</b> Governance Literacy Classes: Utilizing the REFLECT (Regenerated Freirean Literacy through Empowering Community Technique) methodology of non-formal education in order to empower marginalised citizens to claim their rights and enhance their active and meaningful participation in decision-making.</p> <p><b>Peru: Governance in the Andes (GOA) and Participatory Voices (PV):</b> Working with indigenous poor women to raise awareness of their own needs for culturally appropriate services.</p> <p><b>Rwanda: HIV/AIDS:</b> Vulnerable groups conduct analyses to understand vulnerabilities, using the Stepping Stones methodology they explore power relations and causes of vulnerabilities and identify the services and support they need.</p> <p><b>Sierra Leone: ENCISS:</b> Working with youth to work out issues and tensions and how to ameliorate these.</p>
Strengthening Union Parishad Capacities	<p>Inclusivity of participatory spaces – participatory budgeting processes, Gram Sabhas, UP Evaluation processes (<i>Nijera/SETU</i>)</p> <p>Resource mobilization – participatory taxation tool (<i>SHARIQUE</i>)</p> <p>UP analysis capacity building – participatory poverty and context analysis (<i>SETU</i>), participatory gender analysis (<i>SHARIQUE</i>), participatory governance analysis and Governance Improvement Plans (<i>SHARIQUE</i>)</p> <p>Functional linkages with NBD service providers (<i>SHARIQUE</i> and <i>SHOUHARDO</i>)</p> <p>Co-financing of UPs (<i>SHARIQUE</i>)</p> <p>Strengthening Standing Committees (<i>Nijera/SETU, SHARIQUE, SHOUHARDO</i>)</p> <p>UP Capacity building (<i>Nijera/SETU, SHARIQUE</i>)</p>	<p><b>Angola: Participatory Integrated Development Planning:</b> The PIDP entails the creation of municipal forums, through which the municipal authorities consult with multiple stakeholders and prepare a long-term development vision, goals and objectives, medium-term sectoral programmes and annual operational plans.</p> <p><b>Ecuador: Transparency Initiative:</b> Assessing information at municipality level and national level with local partner Quito Honesto.</p> <p><b>Ethiopia: Community Scorecard in HIV service delivery:</b> A Community Scorecard process has been implemented in twelve kebeles facilitating vulnerable communities to analyze the issues with service delivery quality, and bringing communities and service providers together through facilitated dialogues.</p> <p><b>Peru: GOA:</b> Participatory budgeting with municipalities.</p> <p><b>Sierra Leone: ENCISS:</b> Conducting capacity building of local government on participatory policy planning. Also ENCISS has brought together different</p>

		actors through the National Dialogue on what it means to be Sierra Leonean.
Enabling linkages with Upazilla	Upazilla Coordination Meetings (SHOUHARDO)	
Advocate for a pro-poor national policy environment	National Networking and dialogue with Government on local governance ( <i>SHOUHARDO</i> )	<p><b>Angola: PIDP:</b> CARE Angola has advocated for the scaling up of the PIDP model.</p> <p><b>Peru: GOA:</b> Advocacy has been done for the scaling up of the Governance Agreements at regional level to the national level.</p> <p><b>Peru: ForoSalud:</b> ForoSalud is a major Peruvian civil society network. It is seen as a way for building consensus among widely differing interests within Peruvian civil society in health. CARE Peru's partnership has supported ForoSalud to develop principles of good practice and to facilitate civil society engagement and advocacy in the formulation of national legislation, for instance through proposing a Law on Rights and Responsibilities of health Services Users. Further training on health rights and citizen's capacity development on advocacy has raised the "voice of the poor" to regional and national policy dialogues.</p>
Conduct advocacy with donors		<b>Ghana/ Rwanda/ Tanzania:</b> Part of the National Aid Platform.

## **4.2 Marginalised Women Impact Group**

### **Stakeholders:**

The key stakeholders identified as essential to influence through CARE Bangladesh's governance programming are:

- Marginalised women and women's own solidarity groups
- Head of women headed households
- Men
- elected members of UP councilors, (Local government unit) and women members
- Local women leaders of grassroots level and poor people's organizations
- Head of women headed NGOs
- service providers at UP and upazilla level and municipal
- Ministry of Women Affairs and Social Welfare (MoWSA)
- Women members of Parliament
- Members of private sector – especially garments, agriculture, poultry
- NGOs working for women's empowerment
- Donors participating women's empowerment issues
- Women's network

### **Outcome Changes:**

Outcome changes are the changes in behaviors, relationships and activities that CARE Bangladesh aims to contribute to through its programming in order to improve governance and address this critical underlying cause of poverty in the programme shift.

**Marginalized women and their leaders:** will be able to analyze the underlying causes of poverty and the gender specific causes of their exclusion, and develop solutions to these, improving their self-esteem and self-belief will increase. They will recognize the value and importance of gender equity, particularly of the marginalized within the marginalized such as sex workers. An alternative leadership will emerge from marginalized women, who will organize and mobilize marginalized women to claim their rights. These leaders will act as local advocates negotiating with duty-bearers. These leaders and women will be able to develop strong relationships with men, encouraging changes in behaviors at the individual and institutional level to promote gender equity.

**Men:** will recognize the importance of respect for women's rights, opinions and participation in decision making (both public and private), raising their issues in formal and informal spaces, and advocating for individual and systemic behavioral changes towards women.

**Poor people's representative organizations:** will recognize and support the emergence of women leaders; and men and women will demonstrate positive change in mind sets towards women's rights.

**Local government body (UP and Upazilla):** will create opportunities for marginalized women to participate in the councils and committees of the local government. Women Members will more actively participate and lead development processes, representing themselves rather than being represented by their husbands. The UP will influence the service line departments to be more responsive to the demands of women. Law enforcement agencies will be more accessible to women and supportive to the victims of VAW and will demonstrate a pro-women mind set change.

**NGOs:** will be more focused on marginalized women, acting as a catalyst to link marginalized women with different advocacy platforms and government dialogues. They will build alliances on women's empowerment advocacy and practice.

**Local elites and leaders:** will recognize and be supportive to gender equity and the inclusion of marginalized women for positive change.

**Ministry – women's affairs:** will target their resources towards marginalized women and be supportive to pro-poor policies.

**Women Parliamentarians:** will raise marginalized women's issues in the parliament and influence policy issues to promote pro-women policy formulation and implementation.

**Private Sector:** will create a women-friendly work environment; and create supportive rules and regulations within their organization.

**Donors:** will prioritize women's rights in their strategy papers.



**Programming Strategies:**

These are the strategies that have been identified as important for achieving the outcome changes articulated above. These programming strategies provide a high level view of how these changes can be achieved and some of the key principles underlying the strategies.

**i. Strengthen solidarity of marginalized women and their leaders:**

- Social and structural barrier analysis by marginalized women
- Community mobilization to address issues
- Facilitate collective action of marginalized women and their leaders to demand rights
- Capacity building on – leadership, resource mobilization, networking

The solidarity and emergence of women leaders plays an important role in changing the stereotypes and assumptions held about the decision making capacities of women. By collective action the women and their leaders are able to demonstrate the value of their contribution and their agency is improved. Important supporting principles for this are the analysis of the barriers and causes of exclusion by marginalized women, facilitating self- and collective-realization of the social, economic, and political structural and relational specific causes of their poverty and exclusion. Following from this carefully facilitated analysis phase is the movement to collective action among the women and their leaders to demand rights – social, economic and political rights. Through collective action women leaders will emerge and can be supported to develop their capacities – leadership, resource mobilization and ability to network.

This methodology in principle has much in common with the principles outlined for the Extremely Poor People Impact group under strategy i, however it is important to recognize that for this impact group, which includes the “marginalized of the marginalized” such as sex workers, that there will be a higher level of stigmatization and exclusion of these women based on their livelihood. Their poverty and vulnerability is tied up with their exclusion from society and hence attempts to build their solidarity and integrate them into decision making processes needs to find ways to change societal perceptions and prejudices.

It is important for this strategy and its ensuing principles to capture the specific interventions or approaches required to achieve solidarity within this marginalized group and then its integration into society and strengthening their formal linkages with duty-bearers.

Further it is important to also integrate men into this work as excluding them from attempts to build community solidarity and linkages among the poor could cause tensions in households and communities, risking increased violence against women. Further men are a critical stakeholder, whose behaviors must change to achieve greater gender equity, hence integrating them into solidarity building processes and gender relations analysis processes alongside women could encourage greater self-realization of the behavioral and relational changes required. Reflections on the EKATA methodology from SHOUHARDO has been highly positive regarding the internal solidarity of the women within the groups, however their integration with other critical stakeholders such as men was felt to be less positive. Finding ways to build the solidarity of marginalized women, while also encouraging strong interactions and solidarity between women and men is critical.

**ii. Strengthen local government accountability to marginalized women**

- Facilitate interactive discussions with the UP body on women’s empowerment, building awareness and buy-in to why women’s empowerment is important and also how to empower women.
- Facilitate UP to conduct participatory analysis of causes of women’s marginalization and exclusion and support the development of an action plan to mitigate these issues. This could be done jointly with emerging women and men leaders to ensure joint planning and accountability for the gender plan. This strategy supports key principles around joint planning and implementation of development issues.
- Activate Standing Committees and other UP committees and ensure the participation of marginalized women.
- Monitoring of UP performance by both the UP and citizens, ensuring that the performance standards or measurement criteria include a gender dimension, perhaps centered around jointly monitoring the implementation of the gender action plan developed after the participatory gender analysis. Inputs from SHARIQUE could be used as a tool for gender analysis. Another guiding principle to programming design is to ensure that monitoring is

grounded in holding the UP accountable for what it has committed to delivering, for example around promoting greater gender-based allocation of resources through participatory planning and budgeting processes, or the joint gender action plan. Monitoring of UP performance therefore includes both behavioral assessments of performance and also more tangible assessments of UP performance against joint plans.

- Enhance the capacity of women members in decision making, problem solving and financial management by organizing capacity building activities, and facilitate their inclusion in UP decision making processes.

A key element underlying this strategy and set of principles is that of enhancing the accountability of the UP and other local government actors to marginalized women. There are a number of prongs to this strategy, firstly enhancing the understanding of duty-bearers of the causes of marginalization particularly gender inequity to create a heightened level of understanding leading to action. Secondly, facilitating dialogue between the UP and marginalized women is another critical strand of the strategy, through joint analysis, planning, implementation and monitoring of a gender action plan in that union. Through joint planning there is a collective sense of responsibility (amongst men and women, and UP and citizens) for challenging and changing the power relations and structures which cause exclusion. Finally strengthening the formal structures and practices that have been put in place to improve representation of women, such as enhancing the capacity of women Members and their inclusion in decision making of the UP, and also formal committees such as Standing Committees.

### **iii. Linkage of marginalised women with local government**

- A network will be formed in which marginalized women, UP members and local leaders (particularly religious leaders) will participate and work together, conducting joint planning, reviews and monitoring of women's issues. This body will advocate to the higher authorities (Upazilla, District service providers) to mobilize resources.

### **iv. Linkage of marginalized women to national advocacy platforms**

- Women's groups (EKATA groups) and leaders from other poor people's representative organizations will be linked to regional and national women's platforms creating a linkage to social movements and platforms promoting women's' rights and empowerment.

## **Summary of Strategy**

There are some clear similarities between the strategies and principles outlined for this impact group as for the previous one, however it is important to be aware of the specificities facing marginalized women and the barriers they will experience to citizenship and participation compared to marginalized men. The suggestions of this strategy paper for both impact groups seem to be around supporting the conscientisation process of poor and marginalized men and women in rural and urban settings, and also of local government, to facilitate social change through collective action and greater joint responsibility of government and these target groups.

When working with marginalized women it is important to integrate men into the analysis, collective action and social change efforts, as without meaningful change in this stakeholder it will be impossible to achieve the desired outcomes at the household, community and institutional level, challenging masculine power relations in the formal and informal realms. Further the debate concerning elites becomes more nuanced with this impact group, as it may be considered essential to include religious local leaders and institutions in CARE's activities given the importance of religious and cultural beliefs in the causes of women's exclusion. However there are also risks to this strategy of privileging more fundamentalist views and interlocutors rather than the more moderate leaders. It is important therefore for CARE's projects and initiatives to consider the risks of different approaches to ensure not only that they are seeking to promote gender equity but also that they are trying to minimize the potential harm and risks this work can have.

Further, critical to this impact group is the need to create stronger linkages between CARE Bangladesh and also the marginalized women and national advocacy networks and platforms. By working in partnerships with others in these networks and also by expanding the inclusion and voice of these networks CARE Bangladesh will be more able to contribute to the desired outcomes.

Strategy	Experience in CARE Bangladesh	Experience in CARE
Strengthen solidarity of marginalized women and their leaders	Analysis, self-realization and collective action (Nijera/SETU, SHOUHARDO) EKATA groups (SHOUHARDO) Participatory gender analysis (SHARIQUE)	Balkans: Violence and masculinity project, working with young men to explore masculinity and violence and through awareness creation reduce gender-based violence.  Burundi: GBV: strengthening solidarity of women in relation to SGBV  Guatemala: Partnering with indigenous women's CBOs.  Nepal: Sahabhagita: Gender empowerment and natural resources management.  Rwanda: GBV: Clubs against violence.
Strengthen local government accountability to marginalized women	Creation and strengthening of participatory spaces (Nijera/SETU) Capacity building of women UP Members (SHARIQUE)	
Linkage of marginalized women with local government	Leadership capacities of women in grassroots organizations and their functional linkages to UP (Nijera/SETU)	
Linkage of marginalized women to national advocacy platforms		Guatemala: Supporting a national indigenous women's platform.

## 5. Relevance of Approaches across Impact Groups

These will be the most critical ones because they will cut across all impact groups. Highlight these here. Then summarize in a matrix below which approaches and practices contribute to which impact groups, emphasizing those that contribute to all.

1 – extreme poor people in rural areas, 2 – women, 3 – the most vulnerable in communities vulnerable to disaster, 4 – the most marginalized in urban areas

Approach or Practice	1	2	3	4
Approach 1: Community Solidarity Building	X	X		
Approach 2: Strengthening Union Parishad capacities	X	X		
Approach 3: Enabling linkages with the upazilla	X	X		
Approach 4: Advocate for pro-poor national policy environment	X			
Approach 5: Conduct advocacy with donors	X	X		
Approach 6: Strengthen solidarity of marginalized women and their leaders		X		
Approach 7: Strengthen local government accountability to marginalized women		X		
Approach 8: Linkage of marginalized women with local government		X		
Approach 9: Linkage of marginalized women with national advocacy platforms		X		

## 6. An Advocacy Agenda

This section presents the advocacy issues identified as relevant to governance and the impact groups, and the projects in which the evidence base exists. It is important to define following this strategy paper a way to take forward these advocacy issues, incorporating these into the work plans of key staff and projects.

Advocacy Issue			Rationale	Does evidence exist
Policy	Program	People (community)		
Enforcement of existing policies (standing committees, safety net programmes)		Extreme poor	There are policies that have already been enacted that could be interpreted positively in favor of the participation of the extreme poor. CARE Bangladesh's projects should work to hold government accountable to these policies.	A number of projects have been successful in reactivating standing committees (SHARIQUE, SHOUHARDO, Nijera) and in ensuring the participation of the extreme poor and marginalized women in these committees (Nijera)
Land reform /		Extreme	This is one of the most critical	At the national level

rights/ access to resources		Poor	issues facing the extreme poor in Bangladesh. Access to land is a defining source of economic, social and even political power, and lack of access reduces people to the margins of existence. Addressing the unfair distribution of public resources (land and water bodies) is a critical step	SHOUHARDO has had some involvement in awareness raising and advocacy. At the local level SHOUHARDO, Nijera have worked to increase access of extreme poor to khas lands.
Right to livelihoods		Extreme poor / Marginalized women / Disaster affected communities / urban poor	This could have relevance across the entire gambit of the programme shift, as it is about basic right to livelihoods or employment. This is related to the above issue of land rights for the extreme poor but could have wider impacts and cross overs as well.	
Decentralization Reforms			This is a crucial juncture for local governance in Bangladesh. CARE Bangladesh has extensive experience working in local governance and in empowerment processes. It could use its linkages through large scale national projects such as SHOUHARDO to share this experience and engage in dialogue with government on decentralization reforms.	SHOUHARDO, Nijera, SHARIQUE

## 7. How to use the Governance Technical Strategy Paper

The aim of the strategy paper was to set some guiding principles for current and future CARE Bangladesh projects on best practice governance programming. Hence this paper has critical implications for the mainstreaming of good governance in projects, programmes, and initiatives. Efforts to mainstream cross-cutting themes have often encountered significant obstacles, often around losing organizational focus on that theme, and learning about best practice. Drawing out these strategies and principles, and identifying the sources of information and knowledge within CARE Bangladesh, is the first step in mainstreaming, as it generates a documented shared understanding of governance and what constitutes good governance initiatives for current and future projects.

This strategy paper can be used in the **design** of new projects and initiatives. It provides guidance on the types of strategies that have proven effective when working with communities and individual citizens, with local government, and also on bringing these two actors together for enhanced dialogue and accountability. It also provides support to understanding the context in which projects operate better and finding ways to engage both formal and informal actors and processes during the design and implementation of a project.

The strategy paper can also be used in the **monitoring and evaluation**, and learning processes associated with ongoing projects, analyzing the impact of the project on enhancing participation of the most marginalized and the accountability of duty-bearers to these impact groups. Evaluation processes should take into account the formal and informal realms in the framework when attempting to understand the impacts that the projects have had.

Finally, the technical strategy paper has also outlined a number of **advocacy** issues, which draw on the expertise and experience within CARE Bangladesh. It is important that CARE Bangladesh find ways to take forward these issues bringing in actors across the organization to support them.

These uses of the governance technical strategy paper point to key organizational changes that are needed to mainstream this theme. It is not possible for this area to be housed within one project or programme area, but instead it should touch on and be incorporated by all. This makes the coordination, information sharing and dissemination, **knowledge management** and advocacy work more complex. Therefore a virtual team could be one format in which this work could be mainstreamed, building this organizational, rather than project-specific, responsibility into the job descriptions or work plans of key staff across the organization, from the range of projects that CARE Bangladesh implements. Knowledge sharing and learning could be facilitated then around the breakthroughs identified in the impact statements.

## 8. Linking to Indicators in the CO Impact Measurement & Learning System

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This section will be developed after the completion of the CO impact measurement and learning system. Develop a list of indicators currently used for each technical area.

Indicator	Rationale
<b>Process Indicators:</b>	
1	Xxx
2	Xxx
<b>Output Indicators:</b>	
1	Xxx
2	Xxx
<b>Impact Indicators:</b>	
1	Xxx
2	Xxx

## 9. Hypotheses for Testing

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The impact statements have identified the domains of change that CARE Bangladesh believes are important to achieve the impact vision. The theory of change does not describe what CARE will do, but CARE's belief on how change will occur. CARE believes that change within these domains will accrue incrementally. These changes can be measured through a set of agreed upon indicators which will allow CARE Bangladesh to track increasing trends over time. However it may also be possible that something happens that opens up the possibility for deeper, greater change in the lives of many more extremely poor people. This is a **breakthrough**. A breakthrough is a change that represents a leap forward that is not easily reversed. It could be a **structural** change or a change in policy, something positive that sets a **precedent** (a group of extreme poor gaining access to khas land for the first time in a particular union), or an **incremental** change that reaches a certain level or threshold from where it will be impossible to go back.

A breakthrough is a change that affects both the breadth of impact as well as the depth of impact. Because breakthroughs offer the opportunity to significantly increase impact it is important to recognize these opportunities and the reasons that the breakthrough took place (recognizing that this might not be due only to CARE Bangladesh's efforts). A breakthrough does not serve as a breakthrough unless it is recognized as one and acted on.

The breakthroughs are so important for this Strategy where they overlap with governance issues. In the extremely poor people in rural areas impact statement most of the breakthroughs are actually governance related, reflecting the need for enhanced participation, voice and mobilization of extreme poor citizens (Breakthrough one, two, four and five) or the increased capacity and accountability of UPs to the extreme poor (Breakthrough two and three).

The hypothesis for testing here therefore is that these breakthroughs do lead to longer term (broader and deeper) changes, and to analyze and unpack why these breakthroughs occurred. The link can then be made between this analysis and the strategies and activities outlined in this Strategy, ensuring that knowledge is created and utilized on these breakthroughs, strategies and activities and that these influence future design and advocacy work of CARE Bangladesh (see section 7 on use of this Strategy Paper).

## 10. Key Partners and Sources of Technical Assistance

Develop a list of key partners in your technical work, with whom you would collaborate and/or take on an advocacy agenda. Say how they complement your work and why they are an important partner. Not every partner will have the same purpose or benefit to you. You should consider partners who are currently your partners or those with whom you have not yet taken up any engagement. Then name those organizations on whom you would rely for technical/operational assistance – this can be in measurement, training, research, or implementation.

- Identify the key/critical strategic (advocacy) and operational (program, M&E, financial/budgets, training) partners you have in your area of work. (Govt, UN, academic, NGO, Foundation etc)
- For each partner, you could prepare a Stakeholder analysis matrix.
- After the entire discussion, please develop an overall summary of the key points: a) Main strengths; b) Significant Barriers identified; c) Potential Risks of partnering or not partnering; d) Possible action.

Stakeholder name and contact	What strengths does this partner bring to support our work? (capacities, interests...)	What barriers /risks do/would you face in partnering with the agency?	What support/complementary role can we expect from the agency?	What support does the agency expect from us?	What outcomes can we expect if we partner with the agency?

## 11. Key References and Resource Persons

### 11.1 List of Key References

### 11.2 Key Resource Persons

Key Resource Persons and Contact Info	CARE's Prior Experience with Resource Person	Their Complementary Role / Expertise
Anowarul Haque	SETU Project Team Leader Joint responsibility for the Governance Technical Strategy Paper	Community Solidarity Participatory Governance
H.K Das	SHOUHARDO Team Joint responsibility for the Governance Technical Strategy Paper	Community Solidarity National Advocacy on legislation and Governance improvements
Roopa Hinton	Governance Advisor CARE UK	Participatory Governance Learning and Reflection

Annex A:

**Co-financing to UP: Guiding Principles:**

This document outlines a number of principles for providing co-financing to UPs.

**Principle one: Empowerment**

The aim of co-financing should be about empowering UPs to achieve their development vision. The need for this activity comes from the recognition that one of the major barriers to UP performance and responsiveness to citizens is their lack of financial resources. Additionally a very small amount of that budget is untied and available as a resource for UP planning. This strategy should therefore be a way to create a sense of ownership within the UP, and hence be about budget supplementing rather than projectizing the funds (where possible).

**Principle two: Gradual Process**

Given the inherent risks – both fiduciary and also democratically – that these funds may not be used appropriately, it is important that co-financing is seen as part of a longer capacity building process with UPs. It is important that UPs have the capacity to manage funds, plan and account for the usage of the funds, before additional support is provided. By linking co-financing to performance, the risk of misuse of funds can be mitigated as far as possible, additionally given that integral to performance standards is the idea of inclusive governance, ensuring the participation of extreme poor and marginalised groups in decision making processes, co-financing incentivizes broadening of democratic space at the grassroots, ensuring accountability of UP to citizens.

**Principle three: Performance based funding**

It is important for the decision to provide co-financing to be linked rigorously to the performance of the UP. Additionally if there is scope within the co-financing arrangement to have a sliding scale of financial support based on performance standards, in this way not overloading UP capacities to manage additional funds through large initial transfers but instead gradually increasing the funding provided. The criteria used to assess performance of UPs include:

- Regular tax collection

Taxation is a fundamental component of the social contract between state and citizen, and reflects the ability of UPs to collect tax from citizens and the fulfillment of citizens' responsibilities to pay taxes and follow state laws. Taxation has been traditionally undermined by a number of factors. Firstly the fact that many citizens perceive the UP as unaccountable and untransparent tends to create disincentives for taxation. Furthermore informal practices such as vote purchasing are very prevalent, tending to erode the social contract between state and citizen, as citizens are felt to have "sold" their rights and hence elected officials have dispensed with their democratic responsibilities and obligations at the start of their term through purchasing votes.

It is therefore an important indication of increased trust in the UP body and also in the redefinition of the social contract between state and citizen predicated on rights and obligations of state and citizens. It is also importantly a way in which UP's are able to generate additional funds to implement their development vision.

- Participatory budgeting

Participatory budgeting has at its heart the inclusion of citizens in planning and decision making, hence increasing the responsiveness and accountability of state to its citizens. It has fundamental components of participatory planning and budget formulation, and also participatory monitoring of budgets, ensuring openness and transparency of budgets. These two components taken together ensure citizen participation in planning and in monitoring. The openness of UP's can be seen by the public and popularized ways in which budgets and other development plans are communicated. For example this performance standard includes sub-indicators such as publishing budgets in the UP compound, to more innovative and far-reaching methods of popularizing budgets and plans. These indicators can be seen to be on a continuum of openness and inclusion, finding ways to reach the poorest and most marginalised actively through different innovations. **This continuum could be further defined by a sub-group within CARE Bangladesh, which I am happy to support.**



However it is important to be conscious of who participates in the opportunities facilitated by participatory budgeting. Often in Bangladesh it is the elites that are able to co-opt public spaces and decision making processes, hence participatory governance, including budgeting processes, must ensure the active participation of marginalised groups such as women and the extreme poor. Integral to this is the empowerment of these groups, as in the absence of real efforts to overcome the barriers which cause their poverty and exclusion they will not be able to participate as equals to elites and other informal power-holders.

This principle must be understood then as an inclusive process which fosters the inclusion of extreme poor citizens as well.

- Monitoring of UP performance and development activities

This criteria of performance requires that there are functioning mechanisms for monitoring performance, such as complaints mechanisms in operation with widespread awareness of what these mechanisms are and how they can be used. Further other participatory mechanisms could be in place to regularly monitor and feedback on UP performance, such as through report cards and score cards. Examples of this can be seen in the Botlagari Union Good Governance Project part of Nijera, where a system for UP self-evaluation and citizen evaluation of UP Members is conducted. This looks at the responsiveness, transparency and lack of corruption of UP Members, providing much more regular feedback on performance.

- Presence of a governance improvement plan based on a participatory self and citizen assessment of UP performance

This mechanism ensures that UP's have a clear plan of how to improve governance in their Union, and the steps required on their side to open up space for citizen participation, inclusion of the poorest and most marginalised, improving accountability (understood as responsiveness and transparency) of the UP body. The presence of these types of plans can be used to measure progress towards a level of performance needed for co-financing, as well as creating a platform for citizen monitoring of UP performance. There is experience within SHARIQUE on Governance Improvement Plans and a process for generating these. It may be worth adapting this process to also include the performance standards outlined here as well.

- UP development vision articulated and developed through consultation with extreme poor and marginalised groups

Another major gap in UP performance that has been identified is the lack of development vision at the UP level. For co-financing to be a strategic lever for improved governance and hence development outcomes in target UP, it needs to be accompanied by a clear development vision and plan, which was developed in consultation with citizens, particularly poor and marginalised citizens. Again the presence of a development vision and plan formulated through citizen participation is the end outcome of a longer strategy of UP capacity building and facilitation, however the progress of this indicator can be seen by the changes in the planning and vision articulated by the UP, the openness of the plan (is it openly displayed in the UP compound) and the process through which the vision and plan was formulated, in particular who was involved and whose voice heard.

#### **Principle four: Financial audit**

It is essential for there to be a formal mechanism of audit of UP expenditure through the UP itself or the Upazilla hiring an independent accountant. This type of mechanism can mitigate the risk of corruption and misuse of resources.