SETU GOVERNANCE FRAMEWORK

Social and Economic Transformation of the Ultra-Poor

CARE BANGLADESH

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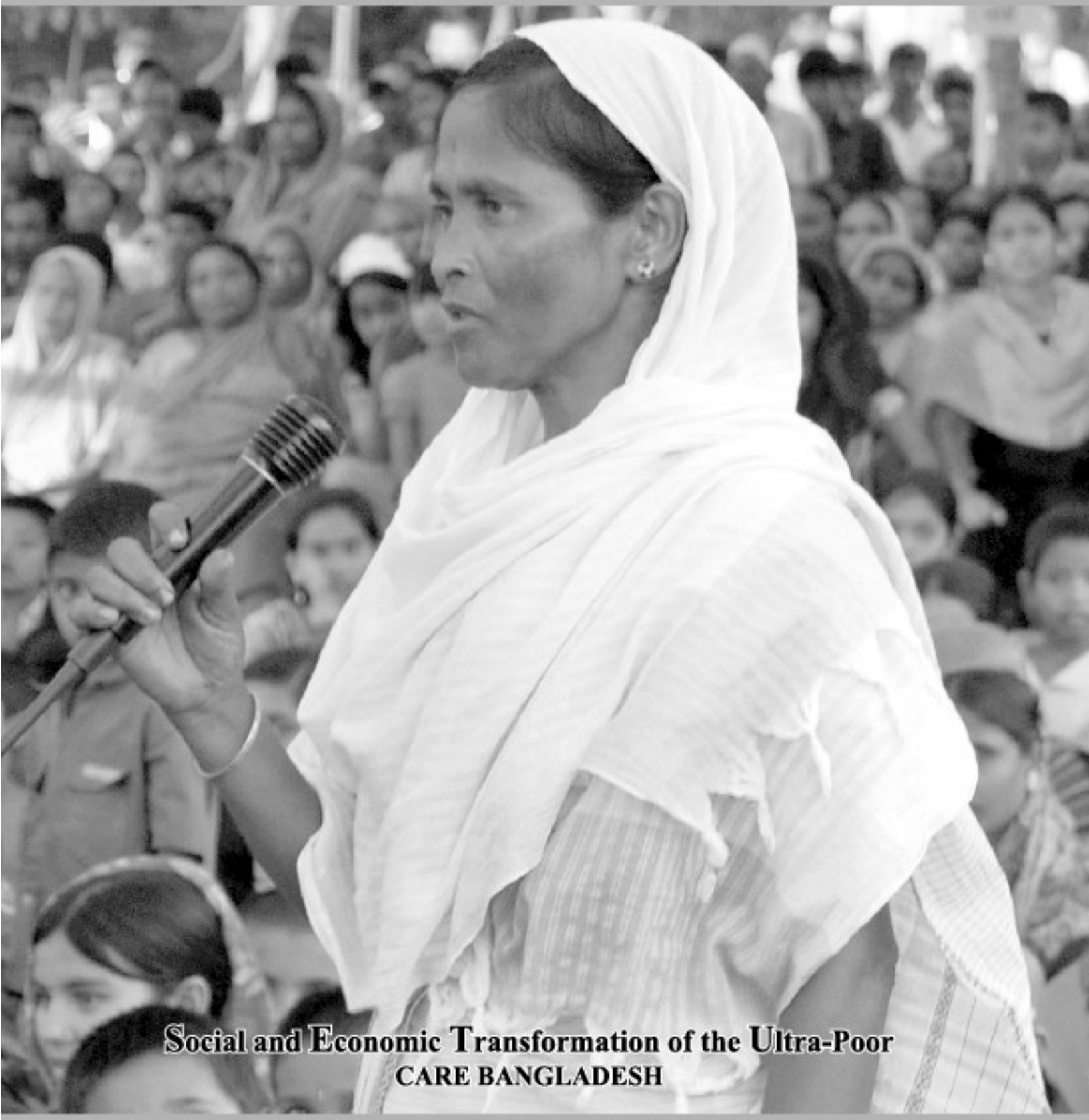

Social and Economic Transformation of the Ultra-Poor

CARE BANGLADESH

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Funded by shiree/eep: a GoB and DFID partnership.

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SETU GOVERNANCE FRAMEWORK

The Social and Economic Transformation of the Ultra-Poor

June 2009[1]

1. Purpose of framework

The Governance Framework for the Social and Economic Transformation of the Ultra-Poor project (henceforth "SETU") was developed during a four day workshop with project staff drawing on their collective experience of governance programming from the Nijeder Janiya Nijera Project. This framework provides a way to model what the project intends to do. It differs from conventional logic models because it recognises that multiple, nonlinear events lead to change. The framework draws on the tenets of a methodology known as Outcome Mapping, which focuses on outcomes as behavioural change. Outcomes are defined as changes in the behaviour, relationships, activities, or actions of the people, groups, and organisations with whom the project works directly. The outcomes can be logically linked to the activities and strategies of the project, however the changes observed may not be caused by them; hence making only assertions of contributions and not attribution, differing from conventional, linear logic models such as logical frameworks. Furthermore Outcome Mapping also recognises that development is essentially about people relating to each other and their environment, hence focusing design and assessment away from development as a change in state to changes in the behaviours, relationships, actions or activities of actors. This is highly relevant for governance work, which is concerned with relationships between different actors governing how power operates and resources are distributed (see section 4 for further elaboration). By deepening SETU's thinking about the types of behavioural and relational changes it would like to see, and then what it can do as a project to contribute to these, this framework alters the way it sees its goals and assesses its performance. In other words strengthening the capacity of the Union Parishad (UP) as a project output actually indicates a change in state (such as improved policy environment) however this really means that the Union Parishad body has a different set of skills and knowledge and also uses these capacities, which is actually about a resultant change in behaviours and actions of the UP.

The Governance Framework of SETU will help guide the project answering the following four questions: **Why?** (What is the vision to which the project will contribute?); **Who?** (Who are the project's direct stakeholders it seeks to influence?); **What?** (What are the changes that are being sought?); and **How?** (How will the project contribute to the change process?).

[1] *This is the output of a workshop conducted in March 2009 with the SETU team facilitated by CARE UK Governance Advisor, Roopa Hinton*

2. The evolution of SETU from Nijeder Janiya Nijera

SETU emerged as a project from the experience and expertise developed during Nijeder Janiya Nijera (henceforth "Nijera"); a pilot project exploring methodologies for integrating rights based approaches into work with the extreme poor. This pilot project was implemented by Social Development Unit of CARE Bangladesh in eight unions, and developed strong processes for empowering the extreme poor and marginalized groups, based on the principles of demonstrating and developing the individual and collective capacities of the extreme poor, particularly building their own leadership skills and their solidarity and relationships with one another. To develop the governance framework for SETU it is important to understand the learning and experiences of Nijera.

Some of the successes in Nijera were the formation of the Natural Leader (NL) Forum which brought natural leaders[2] (NLs) from within the union together. This Forum allows for sharing of experiences and practices, quickening the spread of solidarity. The inclusion of NLs in UP decision making processes, particularly the allocation of Vulnerable Group Development (VGD) and Vulnerable Group Feeding Programme cards (government-run social safety net programmes), was also a high point for the project, as it has led to a clear perception that the targeting of these types of government safety nets has improved. Increasingly now groups of the extreme poor are gaining access to khas land from the UP, through the negotiation and facilitation of the NL Forum. Some of the challenges the project faced were around sustaining the solidarity generated by early collective actions such as community-led total sanitation (CLTS), finding ways to continue to mobilise people was essential. A review of project progress in 2007 also found that still a large number of poor and extreme poor were not participating, and so they re-strategised around how to involve those that migrated or who are disabled, or other categories of the poor that were struggling to participate meaningfully. Spontaneous collective action is now taking place, and NLs are taking on a more facilitative outside of their immediate communities. In the Unions where more targeted work has been done with Union Parishads (UPs), for example Botlagari Union and Rajendrapur Union of Rangpur Sadar Upazilla, the UP has been observably more pro-poor, targeting their services to the poorest. The NL Forums and collective action groups have increased people's mobility, their skills and confidence, and there are starting to be shifts in social position of many of the extreme poor, including women.

As mentioned before more targeted work has been done with the UP in Botlagari Union, integrating them into the community solidarity work from the beginning, and working to build their capacity and skills to engage with the extreme poor and create opportunities for their participation. This initiative has been called the Botlagari Good Governance Pilot. In the other Nijera Unions the UPs have been involved often at a later stage after the solidarity building process, and more around specific issues such as the provision of sanitation slabs. However in Botlagari the intention has been around creating a more accountable and inclusive form of local governance in the union. The workshop participants compared the two approaches: Nijera-only unions, and the Botlagari Union which has combined both community empowerment with participatory governance, assessing the progress of these two models in encouraging political participation. There was a strong feeling that in Botlagari Union there has been much more progress towards real participation of the extreme poor and poor in decision making processes.

[2] *Natural Leaders are from various groups within the community and emerge through collective action initiatives as leaders that move the initiative forward. These are people who are outgoing, inspire others, and have a desire to work for the common good*

3. Governance in SETU logframe

The project purpose of SETU is that: Women and men of 20,000 extreme poor households in Northwest Bangladesh are empowered to collectively address the causes of their economic, social and political exclusion. In this project poverty is understood as the deprivation of certain capabilities and freedoms (following Amartya Sen). SETU seeks to graduate people out of poverty by expanding the pool of capabilities and freedoms of these people integrating economic, social and political dimensions of empowerment. Governance is an integral part of SETU's project logic, which emphasises the need to facilitate collective action by the extreme poor and institutionalization of poverty reduction initiatives by the local state. It features in SETU's three-year project outputs:

Output 1:
Extreme poor women and men are mobilised to actively engage in processes of community led development defined by self-determined needs and priorities *(Social Inclusion)*.

Output 2:
Extreme poor women and men are supported to participate in and benefit from the economic opportunities through improved access to markets and dignified employment *(Economic Empowerment)*.

Output 3:
Union Parishads are supported to develop improved capacity, downwards accountability and responsiveness for engaging with and meeting the development needs of extreme poor men and women *(Pro-poor Governance)*.

Output 4:
The capacity of project stakeholders for working with the extreme poor and for influencing wider policy-making processes is increased *(Learning and Influencing)*.

Governance is a relational concept, capturing the power relations and their inherent inequities in decision making processes, which govern the management and use of public resources. Hence governance sits not just within the output concerned with enhancing UP capacity (Output 3), but also within the other outputs through which extreme poor women and men's capacities to participate are enhanced by enhancing their social inclusion and economic opportunities. Building the skills and capacities of the UP is not enough alone to result in the types of behavioural changes needed in the local state to achieve pro-poor developmental outcomes

4. Conceptualising Governance[3]

For CARE International, governance is the exercise of power in the management of public affairs; 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.[4]

Core to the substance of governance is the relationship between **state and citizen**[5]. Governance is not limited, however, to government. Governance characterizes the rules and institutions that manage public affairs in matters of the state, but also private business, civil-society, and the relations among them.

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.

How does governance happen?
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, resources to fund its actions 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).

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 citizen takes place at various levels (whether in a small village between the local council and a women'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.

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[3] This section is adapted from the Global Governance Research Framework for the Strategic Impact Inquiry on Governance written by Allison Burden.

[4] Adapted from the Global Commission on Governance Definition

[5] It is important to note that citizenship has often been politicized. Therefore here we refer to the broadest sense of the word - that is relating to civilians or ordinary people who are living in the territory.

On the left hand side of the diagram 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.

The framework separates 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 or particularism) 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 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.

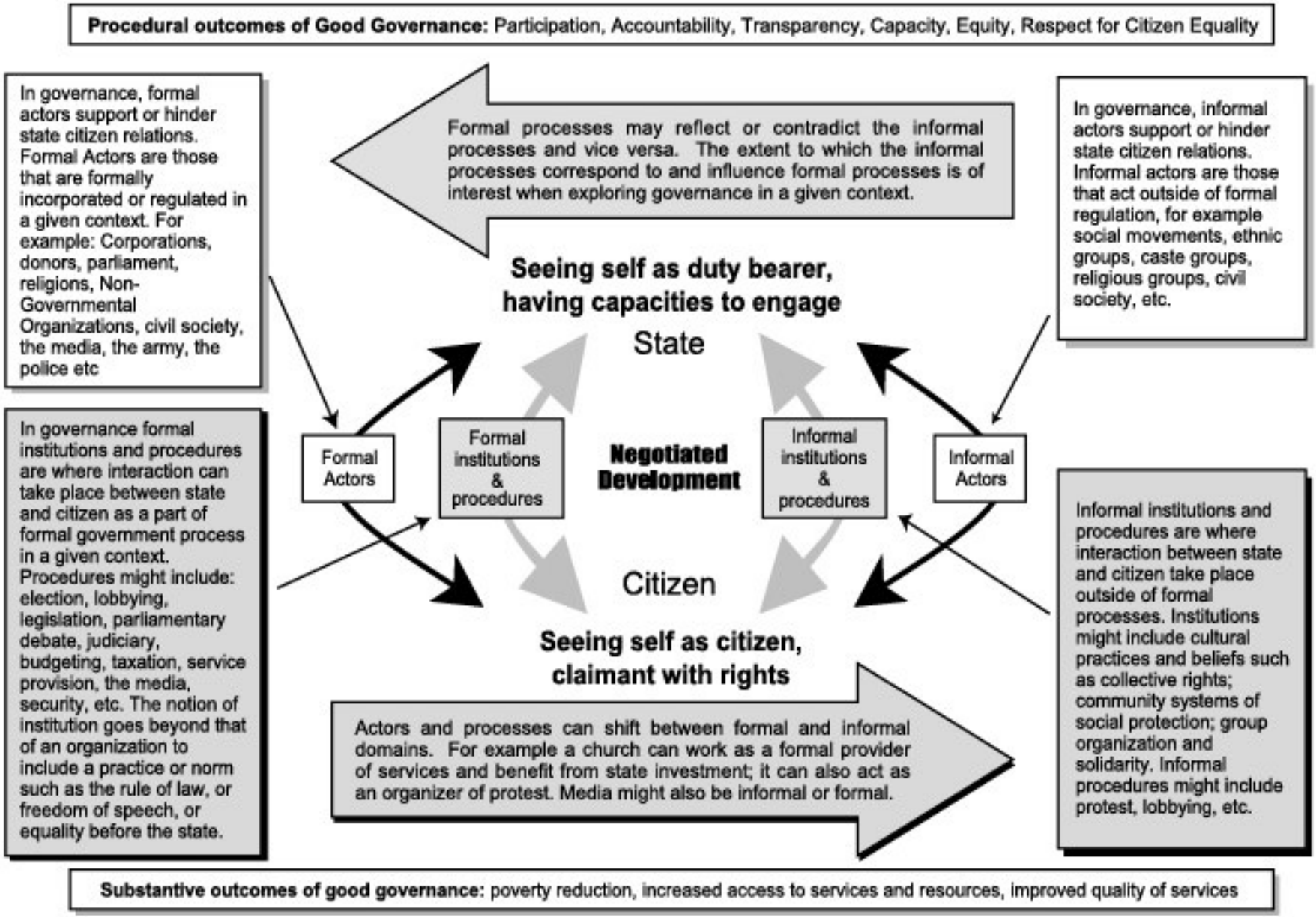
It is the quality of the interactions between state and citizen that happen through formal and informal processes and actors that is of great interest to us in our work, because we assume that when they improve (in terms of procedural outcomes), development outcomes (substantive outcomes) also improve.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

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

CARE Governance Framework



5. SETU Governance Framework

This section outlines the change model in SETU (see Annex 1 for an overview) for contributing to the realisation of rights of extreme poor women and men and the institutionalisation of pro-poor governance processes in the local state. This framework supports the wider implementation of SETU guiding the strategies and activities utilized particularly for output 1 and 3 described above. It is grounded in the complex realities in which the project is implemented, and as such represents the model through which SETU will contribute to wider social change.

This framework provides a guide to the detailed design of project activities (as outlined through the vision, outcome challenges, and strategies), and it also gives guidance through these same elements to the monitoring and evaluation of the project's contribution to the behavioural and relational changes that it seeks (see Annex 2 for further discussion of monitoring and evaluation using Outcome Mapping).

a. Vision Statement:

The vision statement for the Governance Framework is:
There will be an increase in the dynamism and deepening of democratic processes and practices within the Union, resulting in greater participation, and ownership of development processes by poor and marginalised citizens, particularly women; and greater accountability, transparency, and inclusivity (particularly of women leaders in UPs) in public decision making. Through community empowerment and solidarity among the extreme poor (based on their own skills, knowledge and experiences), a tranche of leaders will emerge from within these strata of society, advocating for the realisation of rights of the poorest and most marginalised. The emergence of this alternative leadership from the poor and extreme poor, and their strong, well organised associations proactively engaging and participating in policy spaces (acting as a citizen pressure group), will transform the social, economic and political relationships which maintain their poverty, low social position and social exclusion. Furthermore, the Union Parishads will have their own vision and plan of poverty eradication and development, spontaneously and proactively ensuring the participation of citizens, particularly extreme poor, in planning and monitoring processes; and bringing in service providers (government and private) to respond to the interests of the poorest, especially women.

b. Outcomes Challenges:

Outcome Challenges were articulated for the key project stakeholders identified. These are stakeholders that the project wants to influence directly, seeking to change their behaviours, attitudes or relationships with others. Outcome challenges capture how the stakeholder will be behaving and relating to others if the project has achieved its full potential as a facilitator of change. The outcome challenge incorporates multiple changes as changes in people, groups and organisations cannot be understood in isolation from one another; moreover to achieve long lasting development outcomes, it is important that multiple changes are taking place, which are often interrelated logically and even sequentially.

The stakeholders[6] identified for the SETU Governance Framework were:

- Extreme poor and poor
- Organisations of the extreme poor
- Union Parishad

Outcome Challenge 1: Extreme Poor and Poor

The project intends to see empowered extreme poor and poor people, especially women, who are able to participate in formal and informal decision making spaces. These communities are able to analyse their contexts and the causes of their vulnerability and exclusion, and to develop plans and strategies to address these causes, including conducting advocacy with power-holders (local government and elites) to solve these issues. These communities recognise the skills, expertise and abilities within themselves to solve their own problems, and are also recognised by others, including elites and UP body, as having these capacities. Hence a reciprocal relationship with the UP bodies will be formed, leading to the realisation of their rights and entitlements, and in turn their fulfilment of their obligations as citizens (obeying law and order, taxation). The extreme poor and poor are able to access power-holders and influence formal and informal decisions, through close relationships with the UP and also through their representation in community organisations, such as NL Forum, Para Unnayan Committees, and community-based interest groups. These communities recognise the importance of respect for women's rights and opinions, raising their issues in formal and informal spaces, such as shalish.

[6] *An additional stakeholder was identified, the Gram Unnayan Committees (and the Ward Unnayan Committees) however there was little agreement within the workshop participants about whether these community organisations should continue to form a central part of the project activities. A more elaborate discussion of this community organisation is presented in Annex 3.*

Outcome Challenge 2: Representative Organisations of the Poor and Extreme Poor (NL org, PUCs interest groups)

The project intends to see organisations of the extreme poor-Natural Leader Forum, Para Unnayan Committees, and Interest Groups - emerging from the empowerment of the poor and extreme poor communities, promoting community leadership, especially of women. These organisations will work towards the development of their communities, and act as facilitators within their communities, organising and inspiring poor and extreme poor women and men to work collectively in the para and across paras to promote development. They also act as information sources for the poor and extreme poor on rights and services. They are seen as the contact point for outside actors. These organisations will have gained the recognition of their communities and local elites as leaders, so arbitrating over shalish in their communities; and of local government so that they can participate pro-actively in public decision-making as representatives of the poor and extreme poor, influencing the policies of UP. They are also able to clearly articulate a vision of development for their para, ward and Union, and to implement this vision, so contributing to citizen-centred advocacy in policy spaces and acting as a pressure group on UP performance. These community organisations will recognise their role in monitoring UP performance constantly, mobilising communities to hold government to account. Finally, they recognise the importance of self-evaluation and accountability to the communities which they represent.

Outcome Challenge 3: Union Parishad

The project intends to see Union Parishads that have a vision of poverty eradication and development (both long and short term). They will recognize the importance of engaging and developing relationships with citizens (and their representative organisations), and will actively create and sustain spaces for citizen participation, particularly the poorest and women (and their leaders), in the joint planning, implementation, and monitoring of development plans and local decision making. They show openness to real citizen influence on policies through formal mechanisms such as standing committees, and also ensuring the inclusion of the alternative leadership from the poorest (NLs) and the participation and dignified position of women in these formal committees), so ensuring resources and opportunities are identified and channelled to the poorest. The UP bodies will recognise their responsibilities to deliver services and resources to citizens, in particular the extreme poor, developing mechanisms to systematically ensure the realisation of rights and government entitlements to this group. These UP bodies will monitor and conduct self-evaluation of their role in poverty eradication and actively search feedback from the poor and extremely poor (e.g. monitoring processes and public forum for debate). The UP bodies will work as a team; and will empower the women UP Members to lead local development.

c. Progress Markers

Progress Markers are the milestones of change for each of the outcome challenges, demonstrating the changes that the project would like to bring about or at least contribute to. They show the complexity of change associated with each stakeholder and also the information that the project can gather to monitor its achievements towards the outcome challenge. Progress Markers advance in degree along a pathway from changes the project would expect to see as an early response to its basic and early activities, to what it would like to see the stakeholders doing, to what it would love to see them doing if the project was having a profound influence. In this way the project can trace what has been accomplished, and also regularly monitor the success of its strategies, adjusting the project more regularly than the usual monitoring and evaluation process allows. In addition to more conventional evaluation methodologies that will be required for donor compliance, the progress markers lend themselves to a process of more qualitative, action research, allowing a more timely response to successes and challenges facing the implementation of the project (see Annex 2 for more details).

Outcome Challenge One
Expect to see extreme poor and poor (especially women):

i. Emerging as local leaders and taking on responsibilities in their communities for social development;
ii. Engaging in local collective social action for generating solidarity with one another;
iii. Conducting regular discussions among the poor and extremely poor of local issues and potential solutions;
iv. Beginning to establish grassroots (para-level) organisations and interest groups around particular collective actions, such as honey cultivation or vegetable cultivation, formalising the collectivity of their initiatives.

The project would **like to see the extreme poor and poor (especially women):**

v. Attaining greater understanding of the causes of exploitation and discrimination and the steps which can be taken to mitigate these;
vi. Participating in participatory spaces (such as standing committees) and representing the interests of the poor in these spaces;
vii. Acquiring greater confidence that they can change their own lives;
viii. Negotiating with the UP and power-holders to collectively access available local resources.

The project would **love to see the extreme poor and poor (especially women)**:

ix. Monitoring rights violations in their communities, and advocating to secure the interests of the poorest at various levels (Gram, UP, and Upazilla);

x. Addressing violence against women in their communities;

xi. Acting as responsible citizens, fulfilling their obligations as rights-holders such as taxation;

xii. Influencing shalish decisions in their communities;

xiii. Overcoming or challenging exploitative relationships with power-holders;

xiv. Controlling and influencing the decisions that affect their lives, both public and private.

Note: Another change was articulated at this level but removed. This was that a large number of extreme poor have come up at least one class gradation. This is however a change in state rather than a change in behaviour or relation. The ultimate purpose of this framework is to achieve this change in state brought about by the changes in behaviours articulated in the progress markers for each of the stakeholders.

Outcome Challenge Two[7]

The project would **expect to see the representative organisations of the extreme poor and poor:**

i. Identifying problems of their communities and taking the initiative to solve these;

ii. Assisting the extreme poor to organise and access local resources such as khas land, canal side land, safety net resources;

iii. Analysing issues of their communities and forming collective action groups around these issues or opportunities (particularly economic opportunities.

The project would **like to see the representative organisations of the extreme poor and poor:**

iv. Establishing greater solidarity within the organisation;

v. Articulating plans and solutions to solve issues and contribute to poverty eradication;

vi. Identifying local resources available for use by the extreme poor;

[7] *See also Annex 4 for the output of a planning session with the Natural Leaders Forum executive body to identify the progress markers for the Botlegari Union NL Forum.*

vii. Supporting the formation of small collective social and economic action groups;

viii. Establishing communication linkages with various actors, such as UP and local elites;

ix. Influencing pre-budget/budget processes to secure the interests of the poor and extreme poor;

x. Advocating for the rights and entitlements of the extreme poor and poor at various levels (gram, UP, upazilla);

xi. Participating in and leading social development work in their Union.

The project would **love to see the representative organisations of the extreme poor and poor:**

xii. Articulating a vision and plans for development in the union to effectively utilise resources and opportunities;

xiii. Proactively advocating for rights realisation and entitlements of the extreme poor at various levels (ward, UP, Upazilla), including demanding new opportunities and resources from the UP;

xiv. Participating in and influencing budgeting and planning processes of UP and Upazilla to promote the interests of the extreme poor;

xv. Establishing more formalised internal governance processes for enhanced sustainability and accountability.

Note: at this level a number of the progress markers were also changes in state rather than behaviour. The underlying assumption of governance work is that through the changes in behaviours and relationships articulated in this framework that these changes in state would be achieved:

- *Changes in social and economic situation because they themselves have solved problems;*
- *Income has increased.*

Outcome Challenge Three

The project would **expect to see the Union Parishad:**

i. Recognising the emerging leadership from the poor and extreme poor and assisting them to achieve their planned collective activities;

ii. Reactivating standing committees;

iii. Committing to distribute public resources to the extreme poor and poor using community groups to improve targeting;

iv. Preparing a list of the extreme poor in their union;

v. Analysing the underlying causes of poverty.

The project would **like to see the Union Parishad:**

vi. Creating spaces and opportunities for citizen, especially extreme poor and their leaders, participation in decision making;

vii. Ensuring the regular, timely and effective operation of Standing Committees;

viii. Including women Members in decision making processes;

ix. Making information on UP plans (including budgets), services and resources available to the public;

x. Evaluating their own performance and development work;

xi. Articulating a short-term vision to overcome poverty based on their poverty analysis.

The project would **love to see the Union Parishad:**

xii. Articulating a long-term vision of development for poverty eradication;

xiii. Including extreme poor, particularly NLs and women, in participatory spaces, such as standing committees, recognising the NLs as a resource in the Union;

xiv. Institutionalising spaces for public participation in decision making, and monitoring of UP accountability and transparency;

xv. Developing linkages with Government of Bangladesh service providers and private sector to channel services and resources to the extreme poor;

xvi. Women Member playing a leading role in the decision making of the UP body.

d. Strategies

The strategies articulate how the project intends to achieve the outcome challenges. The strategies and their related activities can be understood in terms of those that are targeted at the individual level of the stakeholder (individuals, group or organisation), or at other stakeholders that are relevant (but again at the level of "the individual"), or those strategies and activities which seek to change the enabling environment in which the stakeholder exists.

Outcome Challenge One: Poor and Extreme Poor:

Strategy	Individual-level of Stakeholder	Other Actor	Enabling Environment
Empowering the poor and extreme poor	Facilitating the analysis of the extreme poor and poor of the causes of their poverty and vulnerability using tools such as the poverty analysis, power analysis, and well-being analysis. Triggering collective action among the extreme poor and poor using appropriate entry points such as CLTS, savings groups, Road Construction, and collective economic activities. Collective action at early stages is most effectively implemented when it yields visible outcomes quickly.	Formation of Para Unnayan Committees (PUCs), NL Forum across the Union and interest groups to build greater solidarity.	Conduct mass gatherings across Unions to raise awareness of the different types of collective action initiatives being implemented by the poor and extreme poor. This encourages sharing of ideas and practices as well as encouraging similar triggering in other areas.
Improving collaboration and communication between extreme poor and UP	Developing the leadership capacities of natural leaders (emerging community leaders) to participate in formal spaces, such as standing committees, and in informal decision making processes such as shalish. (This also relates to the leadership capacity building covered under outcome challenge 2 with the NL Forums)	Facilitate quarterly workshops with the UP and extreme poor, particularly natural leaders, to allow sharing of activities of these para and to create a pressure for UP to commit to supporting these activities. These workshops contribute to a change in mindset and attitude of the UP towards the poorest.	See also the strategies under outcome challenge 3 regarding creating enabling environment for participation.

Outcome Challenge Two: the representative organisations of the extreme poor and poor (NL Forum, PUCs, Interest groups)

Strategy	Individual-level of Stakeholder	Other Actor	Enabling Environment
Strengthen the capacities and internal governance of these community organisations, particularly NL Forum	Capacity building of NLs, providing foundation training for NL Forums Cross visits between NL Forums to share best practice Supporting the NL Forums to develop a vision of their role in their communities and Union and of development and poverty reduction, encouraging the evolution of this role and vision.Regular planning and progress monitoring through monthly meetings, quarterly monitoring and reflective learning and process reconstruction. Support mid-term review and planning processes.	Working with natural leaders to facilitate them to support other extreme poor and poor, triggering collective action, mobilising extreme poor and organising them to participate in development processes.	Working with natural leaders to support them to influence shalishkar for fair arbitration which serves the poor.
Encouraging participation in decision-making	Build capacity of NLs and NL Forum to advocate to the UP through influencing Standing Committees, raising voices of the extreme poor in participatory spaces such as the Gram Sabha and advocacy to influence larger development processes.		Providing regular feedback about UP's roles and responsibilities, particularly around responding to the demands of the extreme poor and poor by participating in spaces (formal and informal) such as scorecard evaluation and scoring. Establishing linkages with service providers to facilitate access of the extreme poor to services

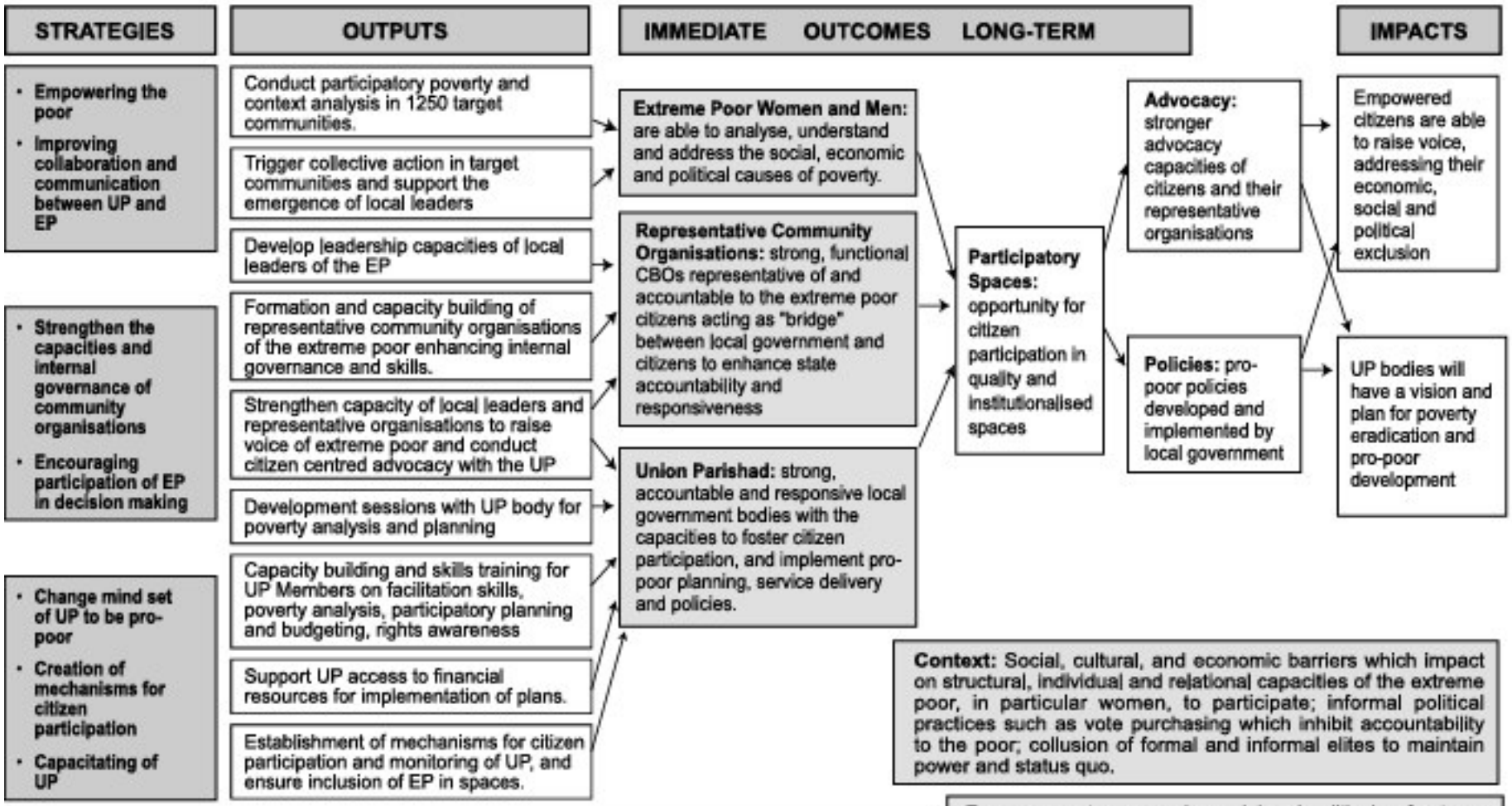
Outcome Three: Union Parishad

Strategy	Individual-level of Stakeholder	Other Actor	Enabling Environment
Change the mind-set of the UP to be pro-poor and inclusive of citizens	Conduct self-assessment and citizen assessment of governance in the Union, resulting in the development of Governance Improvement Plans Capacity building of UP through workshops, meetings, training, cross visits and learning and sharing of practices. This aims to change the attitudes and mindset of the UP towards poor people. Facilitating participatory poverty analysis with the UP to enhance their understanding of the causes of poverty. Ensure the participation of the UP in the identification of the poorest para and the analysis, triggering and collective action processes with extreme poor communities, assisting the emergence of new leaders. Facilitate the UP to select citizens from the extreme poor to participate in formal spaces such as standing committees. Encourage UPs to include NLs in decision making processes	This mindset change will also be encouraged by the extreme poor demonstrating their leadership capacities.	

Outcome Three: Union Parishad

Strategy	Individual-level of Stakeholder	Other Actor	Enabling Environment
Creation of mechanisms for citizen participation	Ensure that UPs commit to channelling resources to the poorest	Interest group formation at the para level PUC and interest groups identify the resources assisted by UP and NLs	Creation of mechanisms to ensure the participation of NLs in the targeting of government services and resources such as VGD, VGF and other safety net programmes. Creation of mechanisms for citizen participation. **Participatory budgeting** including citizen participation in planning processes at the Ward level and open budget sharing and monitoring led by the UP. **Monitoring of UP performance** by citizens and self-evaluation by the UP. **Reactivating standing committees** and ensuring the inclusion of the poorest including women on the committees. Conduct regular **Gram Sabhas** at the Ward level to encourage UPs to share information on their activities.
Facilitate the UP to develop a long-term vision of development	Facilitate the UP to develop a vision of pro-poor development and act to accomplish the vision UP co-financing of their budget to support them to implement their development plan Support the UPs to identify and apply for the central government grants they can apply for such as the Local Government Support Programme (LGSP) Encourage the UPs to develop relationships with service providers and private sector to ensure service delivery to the extreme poor.	The development of a long-term vision for poverty eradication by the NL Forum will encourage the UP to develop a pro-poor vision too.	

Annex 1 SETU Governance Framework: Change Model



Theory of Implementation:

By understanding causes of poverty, the extreme poor can be active agents in poverty eradication, challenging unequal power relations. Through collective action local leaders from the poorest strata will emerge who are able to facilitate poverty eradication activities, conduct advocacy and hold local government accountable. Collective association is critical for empowerment, giving the poor the confidence and amplifying their voice in negotiations and advocacy with duty-bearers. Finally both increased UP capacity and skills and changes in UP mind-set towards fulfilling their obligations as duty-bearers coupled with the creation of spaces for participation are essential for building greater accountability and responsiveness of local decision making.

Empowerment - economic, social and political - of extreme poor citizens is built through collective mobilisation and collective agency of these citizens themselves, allowing them to raise voice and challenge unequal power relations. Further more capable government bodies, coupled with participatory spaces which create the opportunity for sustainable citizen participation in decisions and monitoring government will lead to more accountable, responsive policy making and implementation, ultimately leading to improved planning for poverty eradication.

Annex 2: M&E and Outcome Mapping [9]

Outcome Mapping builds an understanding of changes in the development setting of a project as well as monitoring and assessing the strategies and activities of a project. It can also be used to understand if the project is set up to learn from these assessments and adapt to the changes in the operating environment, looking more at organisational concerns. In this way it can bring together both process and outcome monitoring. By bringing these three elements together it focuses on how the project facilitates change rather than on how it causes change, looking at contribution and not attribution, and also on organisational efficiency and effectiveness for facilitating this change.

Outcome Mapping offers a way to gather data and encourage reflection on

- The progress of external partners towards the achievement of outcomes (what progress markers have been achieved? What evidence demonstrates this change in behaviour, or relationship?)
- The internal performance of a project/programme (what mix of strategies are we employing? Are our partners satisfied? How can we improve?)
- The project's functioning as an organisational unit (how are we doing in helping our partners/ are we learning from experience?)

Outcome Mapping unites process and outcome evaluation. Therefore it is well suited to the complex functioning and long-term aspects of international development programmes where outcomes are intermeshed and cannot be easily segregated from one another. Outcome Mapping encourages the project or programme to link itself to processes of transformation. A critical aspect of this methodology is that it allows the project to see the interrelationships which result in change rather than seeing development as static "things".

The design of monitoring and evaluation system should be aware of the amount of time and level of effort that is realistically possible. Monitoring should not be considered in isolation from the other work that the project is doing. Outcome Mapping requires people to collect data and reflect on the project's work. This makes it possible to plan for the future. The frequency of these reflection meetings needs to be timed to the goals, schedule and work pattern of the project. Outcome Mapping was designed primarily as a learning tool and so while an external monitor can be used to collect data it is not possible to contract out the learning and feedback mechanisms.

Setting Monitoring Priorities: It is tempting to collect data on a whole range of issues, however this may not be practical or desirable. The first task is to define what they will monitor on an ongoing basis and what they will evaluate in depth in the future.

Monitoring tools: outcome journals, and strategy journal.

The ***outcome journal*** uses the outcome challenges and their associated progress markers to monitor change processes that the project intends to contribute to. These can be quantified at each point or reflected on more qualitatively depending on the drivers of the monitoring system.

Strategy journals record data on the strategies being employed to encourage change in the stakeholders. It can be tailored and customised to suit the project's requirements however the standard format includes the resources allocated (inputs), the activities undertaken, a judgement on their effectiveness, the outputs and any required follow-up.

Further information can be found at http://www.idrc.ca/en/ev-62236-201-1-DO_TOPIC.html

[9] *This annex is adapted from IDRC Guide on Outcome Mapping*

Annex 3: Community Structures: From Nijera to SETU

In the Botlagari Good Governance Pilot Project discussed earlier a number of community structures were established, in particular the Natural Leader Forum (NL Forum) and the Gram Unnayan Committees (GUCs) which are like Village Development Committees, and associated with these Ward Unnayan Committees were also established. The NL Forum is a union-wide organisation comprised of natural leaders from all the targeted para, meeting to discuss issues and share experiences. They have developed into a force within the union, being sought out by the UP to participate in decision making. As natural leaders they all come from the poor and extreme poor strata, and often previously highly marginalised communities, and represent the interests of the extreme poor. They recognise their role as leaders in the union, and the responsibility that comes with representing the interests of their peers.

The GUCs alternatively are cross-class structures representing the geographical unit of the gram (village). Natural leaders often participate in the GUCs as well, and thus many of the developmental activities of the NLs also feature in the work of GUCs. However the fact that in most if not all of the GUCs the leadership come from the elites of that area, and as such these community organisations can be very easily co-opted by elites, formal and informal. There are many good examples of positive development work taking place through the efforts of the GUCs; however there are also examples of elites using the GUCs to increase their access to resources and power. There are some very clear advantages of the GUCs, as they have given union-wide coverage of citizen-side demand, bringing the cross-section of society into discussions with the UP, as such making it possible to establish innovative models of citizen participation in allocation decisions for government resources. In the absence of a union-wide organisation such as this, it might prove difficult to adequately ensure the participation of citizens, such as NLs, in allocation decisions for paras or grams that they are not from.

However there is also a challenge or risk to investing too much energy and resources into these elite dominated community organisations. A challenge in development practice in Bangladesh is to ensure that elites that dominate social, economic and political life do not also co-opt the resources of NGOs. There is some hesitancy in replicating these gram and ward unnayan committees in SETU. The discussion certainly identified some positive roles that they can play, however the vision for this organisation replicated much of what the project is trying to achieve through the NL Forum, in other words creating a citizen pressure group for UP accountability, however the NL Forum has a legitimacy of being formed from the extreme poor and poor strata of society.

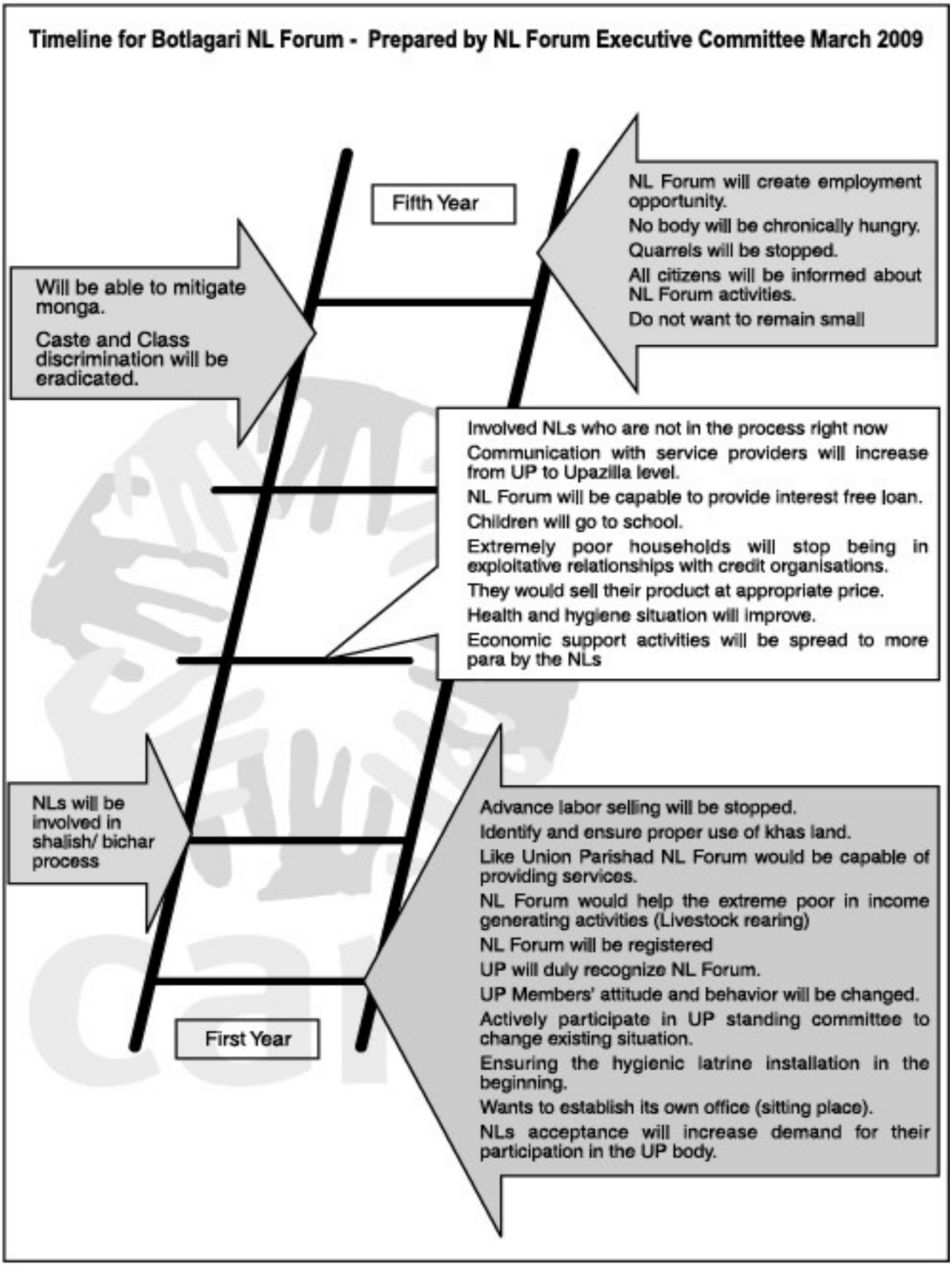
Another important function that the GUCs have performed has been to organise the annual Gram Sabha meetings, in conjunction with the UP. In the absence of this level of organisation, it will be necessary for SETU to place this responsibility on another actor. The most logical would likely be the UP body itself in collaboration with the NL Forum and the inclusion of PUCs in presentations during the Gram Sabha assemblies.

Annex 4: Progress Marker Exercise with Botlagari Union NL Forum (26th March 2009)

This exercise was conducted with the NL Forum in Botlagari Union to identify the progress markers they felt were important and a timeline or plan for when these types of outcomes would be seen. This had the dual objective of sense checking the progress markers outlined in section 5c with the NLs present, but also to support their own institutional progress in their role as representatives of the extreme poor in the Union. This annex should be used in future work in this area as well.

Except to See	Like to see	Love to see
- NLs will be involved in shalish/ Bichar process. Advance labour selling will be stopped. Identify and ensure proper use of khas land. Like Union Parishad NL Forum would be able to provide service. NL Forum would help the extreme poor to conduct income generating activities (Livestock rearing). NL Forum will be formally registered. UP will recognize NL Forum. UP Members' attitude and behaviour will be changed. Actively participate in UP standing committee to change existing situation. Ensuring communities are open defecation free. Wants to establish its own office (sitting place). The acceptance and recognition of NLs leading to increased demand by UP body for their participation.	Involving NLs who are not in the process right now. Communication with service providers will increase from UP to Upazilla level. NL Forum will be capable of providing interest free loans. Children will go to school. Extremely poor households will get away from relationships with credit organisation. They would sell their product in appropriate price. Health and hygiene situation will improve. Economic support activities will be spread more in different para by the NL Forum. NL Forum will work together with UP to implement various development.	Will be able to mitigate monga. NL Forum will create employment opportunity. Nobody will suffer from chronic hunger. Quarrels will be stopped. All citizens will be informed about activities. Do not want to remain small all the time. Caste and Class discrimination will be eradicated.

There is a high degree of overlap in these progress markers with the ones articulated in section 5c. These progress markers tend towards more tangible outcomes, reflecting the analysis and understanding of the causes of poverty and exclusion in their communities. These are also of quite a high level, as the Botlagari Union NL Forum is much further along its evolution towards a formal organisation representing the poorest, hence their expectations and aspirations are that much more advanced than the ones in section 5c, which is to be expected. Another interesting observation is the fact that they see their role and reach expanding geographically, including NLs not in the process now (which means outside Botlagari Union), and also functionally, playing an economic welfare and service provision or facilitation role to help people graduate out of structurally unequal relations in informal politics (such as advance labour selling, caste and class discrimination), and in formal politics (such as exploitative relationships with credit institutions); and also relationally (such as forging relationships with higher levels of government to achieve their objectives).


Timeline for Botlagari NL Forum - Prepared by NL Forum Executive Committee March 2009
Fifth Year
NL Forum will create employment opportunity.
No body will be chronically hungry.
Quarrels will be stopped.
All citizens will be informed about NL Forum activities.
Do not want to remain small
Will be able to mitigate monga.
Caste and Class discrimination will be eradicated.
Involved NLs who are not in the process right now
Communication with service providers will increase from UP to Upazilla level.
NL Forum will be capable to provide interest free loan.
Children will go to school.
Extremely poor households will stop being in exploitative relationships with credit organisations.
They would sell their product at appropriate price.
Health and hygiene situation will improve.
Economic support activities will be spread to more para by the NLs
NLs will be involved in shalish/ bichar process
Advance labor selling will be stopped.
Identify and ensure proper use of khas land.
Like Union Parishad NL Forum would be capable of providing services.
NL Forum would help the extreme poor in income generating activities (Livestock rearing)
NL Forum will be registered
UP will duly recognize NL Forum.
UP Members' attitude and behavior will be changed.
Actively participate in UP standing committee to change existing situation.
Ensuring the hygienic latrine installation in the beginning.
Wants to establish its own office (sitting place).
NLs acceptance will increase demand for their participation in the UP body.
First Year

CARE BANGLADESH

Social and Economic Transformation of the Ultra-Poor

The Social and Economic Transformation of the Ultra-Poor (SETU) aims to empower 20,000 extreme poor households (women and men) in Northwest Bangladesh so that they can collectively address the causes of their economic, social and political exclusion. Starting from a definition of poverty as the deprivation of certain capabilities and freedoms (after Amartya Sen), this purpose statement reflects CARE's understanding of extreme poverty as powerlessness based on recognition of the ways in which the extreme poor are trapped in a set of unequal power relations and are unable to overcome the barriers that prevent the fulfillment of their needs and rights to achieve secure and sustainable livelihoods.

In SETU, Governance is considered as a relational concept, capturing the power relations and their inherent inequities in decision making processes, which govern the management and use of public resources. Hence governance sits not just within enhancing Union Parishad's capacity, but also within the other initiatives through which extreme poor women and men's capacities to participate are increased by enhancing their social inclusion and economic opportunities. Building the skills and capacities of the UP is not enough alone to result in the types of behavioural changes needed in the local state to achieve pro-poor developmental outcomes.

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