

**Upazila Governance & Development Project (UGDP)**  
**Local Government Division**  
**DPHE Bhaban**  
**14, Shahid Captain Monsur Ail Sarani**  
**Kakrail, Dhaka-1000**

**Terms of Reference**  
**for**  
**Selection of Consulting Firm for 5th Performance Assessment**  
**of Upazila Parishad, 2020**

**1. GENERAL**

**1.1 Background of the Service**

Having steered steadfastly toward decentralization over the years, the Government of Bangladesh (GoB) identifies strengthening local governance as an important element of its nation-building. The country's long-term development plan, "Outline Perspective Plan of Bangladesh 2010-2021," acknowledges the critical role of Local Government Institutions (LGIs) in promoting rural development and alleviating poverty. It envisions further devolution of power, functions, and fiscal authority to LGIs in the long term. The current mid-term development plan, that is "the 7th Five Year Plan," also clearly upholds that reinforcing local governance is a high priority in Bangladesh.

Bangladesh employs a three-layer local government system: Zila Parishad, Upazila Parishad and Union Parishad. Being a middle tier local government unit, Upazila Parishad occupies an increasingly significant position in the decentralized service delivery in Bangladesh and notably its institutional basis has been consolidated in recent years. The Upazila Parishad Act was enacted in 1998 and subsequently amended later in 2011. The Annual Development Program (ADP) has been enhanced for Upazila Parishads. However, despite the strong commitment of GoB, institutional strengthening of Upazila Parishads is still a far-reaching undertaking. Compared with Union, governance at the Upazila level still has many challenges. For one, linkage between Union Parishad and Upazila Parishad remains weak particularly in development coordination.

In light of the above, a yen-loan project, Upazila Governance and Development Project (UGDP) has been implemented to enhance the capacity of Upazila Parishads to carry out their mandates and public services delivery to the citizens more effectively. UGDP is designed to gradually expand its coverage of Performance Based Allocation (PBA) of the additional development funds to Upazilas during its project period (2015/16-2020/21), in the manner starting with 100 Upazilas and adding another 100 consecutively in the following years.

The Project Management Unit (PMU) for UGDP, established in 2016 and is charged with the responsibilities to implement and supervise all the activities of UGDP. For the 5th round, UGDP hopes to become able to select all 492 target Upazilas through a survey and assessment of current performance (FY 2019-20) of all Upazila Parishads in Bangladesh.

**1.2 Objective of the Service**

The objectives of the performance assessment survey of Upazila Parishads (the Work) are to collect data of performance indicators for conducting performance assessment of all Upazila Parishads and to rank them according to the performance scores.

The selected firm (hereinafter, the Firm) will form the Survey Team, which will work under the supervision of PMU. The Survey Team will be responsible for collecting and analysing the data of performance indicators in order to assess the performance of Upazila Parishads and for preparing reports.



### 1.3 Target Area

The target area covers all Upazila Parishads in Bangladesh.

### 1.4 Year of Data Collection

The data to be collected are mainly the information on Upazila administration of fiscal year 2019-20.

### 1.5 Duration of the Service

The Service shall be carried out tentatively from the first day of August 2020 until the end of December 2020. This duration includes Stage 1 to 4 in the first four months, and Stage 5 for additional one month.

## 2. WORKS TO BE PERFORMED

### 2.1 Scope of the Service

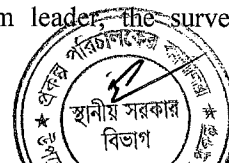
The scope of the work is outlined in the following. Details will be given in Request for Proposal (RFP) and Performance Assessment Guidelines. The Service is divided into following five stages.

#### a) Stage 1 - Preparatory Work

- The following activities are included;
  - Preparation and submission of Inception report (Draft and Final) (Final: Output 1);
  - Kick-off Meeting of the key personnel of the Firm with UGDP for receiving brief explanation on the Survey and the feedback on the Draft Inception Report;
  - Receiving relevant documents (reference documents and samples of evidence documents) through the orientation for TL, DTL and Divisional Surveyors;
  - Pre-testing at the field level;
  - Training of surveyors by TL, DTL and Divisional Supervisors of the survey team;
  - Schedule arrangement with Upazila Parishads;
  - Preparation of questionnaire sheets and surveyors' guides (a part of Performance Assessment Guidelines) and finalization of them in consultation with UGDP;
  - Preparation of ID cards of the Divisional Supervisors and Surveyors; and
  - Receiving the endorsement letters from the LGD.

#### b) Stage 2 - Data Collection

- The performance indicators of each Upazila should be collected by visiting respective Upazilas one by one, using the questionnaire to be provided by PMU. The performance indicators consist of four (4) precondition indicators for screening and sixteen (16) indicators for ranking by scoring.
- The Survey Team shall be comprised of at least two surveyors, and the two will make a survey at each Upazila together. A list of surveyors' names, indicating the survey team, shall be prepared.
- The detailed visiting schedule to each Upazila, including which survey team will visit which Upazila at when, shall be elaborated in the survey plan. The survey plan shall be realistic to ensure the smooth implementation of the survey. For instance, at least two (2) days which exclude the moving time shall be basically required for the survey per Upazila.
- Prior to the visit in each Upazila, a visit at district level is recommended for facilitation of the survey with the cooperation and coordination from the district administration (DC and DDLG).
- The Survey Team shall conduct an interview survey and collect evidence of performance indicators based on the questionnaires to be provided by PMU. All the data filled in the questionnaires must be proved by collating with official and approved documents in writing or by official websites, and photocopies of those documents should be compiled as the proof. Without the accompaniment of any official evidences, the data collected for the questionnaires will be regarded as unacceptable for the Work. The Survey Team shall use printed questionnaires with signatures of the survey team leader, the surveyor and the



responsible person of Upazila Parishad (both Chairperson or Vice Chairperson of Upazila Parishad and UNO or his/her representative) on it. The detailed procedure of the collection of performance indicators will be explained and be instructed by PMU before launching the Work.

- At each Upazila, the two-surveyors' team is required to conduct an exit meeting to confirm the outputs from the survey among the important stakeholders at the Upazila levels. A copy of the questionnaire signed by the Upazila Parishad Chair/s and UNO needs to be left for their offices.
- For each Upazilas, all relevant evidence documents are required to be copied and to be submitted at the end of the survey.
- The Firm submits Interim Report (Output 2).

**c) Stage 3 - Data Aggregation and Analysis**

- Based on the data collected from each Upazila Parishad, the performance assessment shall be conducted through conversion into performance indicators. PMU will provide the data entry and indicator formats (Microsoft Excel sheets, for details, please see Attachment 3).
- The Firm will fill the data entry format after the data cleaning. This is expected to be done simultaneously while the Stage II -Data Collection goes on.
- Using the provided auto-calculation sheet for indicators, the Firm will make a summary sheet of indicators of Upazilas nation-wide, with their nation-wide ranking.
- Base on the nation-wide ranking sheet, the Firm will then prepare two sheets; 1) Sheet of Upazilas that passed preconditions, and 2) Sheet of Upazilas that did not pass the preconditions. Each sheet is to be re-arranged according to the alphabetical order of division & districts. For both, a column for district-wise ranking is going to be provided.
- According to the PMU's instruction of selection, the Firm will make the result sheet of selected Upazila Parishads that may count 492 as highest.
- After scoring, the Firm will submit the above-noted tables in both Bangla and English languages in the provided formats in Microsoft Excel (Output 3).

**d) Stage 4 - Preparation of Final Report**

- Based on the above-noted service, the Firm will elaborate Draft Final Report.
- The Firm will be required to have at least one meeting with PMU for discussion and clarification of written contents of Draft Final Report and Newsletters. The number of meetings would be added when needs arise. Communication by e-mails will also be required before and after the expected meeting/s. The items needed to be included in Draft Final Report and Final Report are to be advised in the RFP for those applicants who are short-listed.
- Through discussions, modification, adjustment and correction of Draft Final Report will be done. Only after the agreement on the modification, adjustment and correction of Draft Final Report, the Firm will submit Final Report in electric and hard copies (Output 4).
- Numbers of the requested copies of Draft Final Report & Final Report are to be advised in the RFP.
- Compiled data sheets also need to be submitted in electronic and hard copies.

**e) Stage 5- Printing and Publication of Newsletters**

- According to the format provided by PMU, the Firm will prepare the draft of the Newsletters that shows the Result of 5th Performance assessment in English and Bangla. This activity is based on the LGD's approval of the selected Upazilas.
- After approval of the Draft Newsletters by PMU, it would be processed for printing.
- The activity includes followings;
  - Designing,
  - Formatting,
  - Editing,
  - Translation,



- Printing, and

- Publication.

- The newsletter is expected to be printed and published through the local governance related Newsletter media.
- Total 4,000 copies printed in four (4) colours (3,000 copies in Bangla and 1,000 copies in English) to be submitted to PMU.

## 2.2. Additional Information on Scope of Work and the Contract

The following items need to be noted by the Firm in relation to the scope of the service and the contract.

### a) Spot and Sample Checks

- The PMU may, at its own discretion and without any recourse or information to the Firm, conduct spot checks and sample checks to ensure that the work of enumeration is being carried on rigorously and with due regard to the principles of the exercise, both in letter and spirit.

### b) Penalties and Negative Impact on candidacy for further procurement opportunities

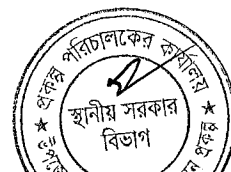
- The PMU shall impose penalties on the Firm if PMU found the Firm's activities have not been carried out in the manner contractually agreed.
- In case of serious cases found against the manner contractually agreed, the Firm is to be excluded from any subsequent contracts with PMU.
- The Firm shall pay to PMU liquidated damages of zero point five (0.5) percent of the Contract Amount per fortnight, i.e. fifteen (15) days up to a maximum of 20 percent of the total Contract Amount for a delay in performance of the service or delivery of the Outputs, which the Firm is responsible for completing within the period set in both "2.3 Reports and Materials to be submitted" and "6. PAYMENT MODALITIES" in this TOR. The penalties will be imposed after the delay of a fortnight for each output as noted in "2.3 Reports and Materials to be submitted".
- The Firm shall not be liable for payment of liquidated damages if the delay of performance of the Service or delivery of the Output is the result of factors outside of the Firm's control, provided that the Firm informs PMU immediately upon learning of such delay, and PMU acknowledges and authorizes in writing such delay.
- Even after the completion of the service by the Firm, PMU has the right to execute further investigations in order to ensure the credibility of the survey results in case of any complaint made by any parties (including Upazila Parishads and their personnel). When the subject for the complaint is confirmed being under the responsibilities of the Firm, PMU has the right to take an action that may cause a negative impact on candidacy of the Firm for further procurement opportunities.

### c) Criteria for evaluation

- The consulting firms will be evaluated in accordance with the PPR 2008.
- The selection method will be 'Quality and Cost Based Selection (QCBS)' as per PPR 2008 which stipulates the appointment of the consultant. Detailed information will be in RFP.

### d) Eligibility of Firm

- Given that this endeavor involves fielding of complex survey modules on a national scale, it is imperative that the Firm must have a well-established track record in undertaking such complex surveys in Bangladesh.
- The Firm must have at least five (5) years' experience in professional areas with similar type of study (in collecting data through interview). Documents/certificate should be available for completed or ongoing similar nature of activities.



- *The Firm must have at least three (3) numbers of experience for such type of surveys that are related to local government with user certificate in letter head pad of the organization in last five years.*
- *The Firm must include staff with demonstrable expertise in designing (both sampling and survey instruments) and administering complex surveys of households, communities and other institutions in the local level of Bangladesh.*
- *The Firm must have financial capability (last 3 years Audit Reports), administrative and logistics strength (attachment of updated organizational profile).*
- *The Satisfactory completion of providing of similar services of minimum BDT 80 (Eighty) lacs in last three years. Consulting firm should submit updated income Tax clearance certificates (2019-2020) Trade license (2019-2020), VAT and other certificates (if required). Consulting firm should submit Bank Solvency Certificate in current year from any scheduled Bank of Bangladesh.*

### 2.3 Reports and Materials to be submitted

The major reports/materials to be submitted as the outputs of the Service are as seen in the next table.

**Table 1: Output with the Tentative Date and Format (Due Date as Tentative)**

Output	Due Date (Tentative)	Format
Output 1: Inception Report	Draft Inception Report: 05 August 2020 Final Inception Report: 13 August 2020	Hard & electronic copy
Output 2: Interim Report	Final output: 15 October 2020	Hard & electronic copy
Output 3-1: Set of Data Sheets (Draft)	Draft output: 21 October 2020	3-1: Electronic copy
Output 3-2: Set of Data Sheets (Final) with the Questionnaires and Proof Data (collected documents)	Final output: 09 November 2020	3-2: Electronic copy (Data Sheets) with Hard copies of Questionnaires and Proof Data
Output 4: Final Report	Draft output: 22 November 2020 Final output: 30 November 2020	Hard & electronic copy
Output 5: Newsletters	Draft output: 15 December 2020 Final output: 31 December 2020	Layout: Size: 15"x10", Paper: Art paper, Page Number: 12 Colors: Four Colors Total: 3,000 in Bangla and 1,000 in English

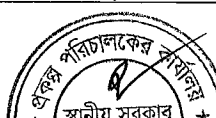
Other materials shall be required during the survey, if necessary.

### 3. TEAM COMPOSITION

The minimum qualification and experience required for survey team members are summarised in the next table. They work for the activities in Stage 1 to Stage 4.

**Table 2: Survey Team Members**

SN	Position	Qualification and experience
1	Team Leader	<ul style="list-style-type: none"> <li>• Post-graduate degree in Social Sciences, Education, Economics, Statistics or related field.</li> <li>• Minimum of 10 years relevant professional experience in research.</li> <li>• Strong experience in conceptualizing and implementing verification studies within the context of Bangladesh.</li> <li>• Excellent communication and report writing skills.</li> </ul>
2	Deputy Team	<ul style="list-style-type: none"> <li>• Post-graduation degree in Social Sciences, Education, Economics, Statistics,</li> </ul>



SN	Position	Qualification and experience
	Leader cum Data Management Expert	<ul style="list-style-type: none"> <li>computer science or related field.</li> <li>Minimum 5 years of experience as a survey manager/Master Trainer.</li> <li>Having 5 years professional experience of data management in similar type of assignment.</li> </ul>
3	Divisional Supervisors (8)	<ul style="list-style-type: none"> <li>Masters' degree in Social Sciences, Education, Economics, Statistics, computer science or related field.</li> <li>Minimum 5 years of experience as a research surveyor.</li> <li>Having field level experience as a supervisor for data collection.</li> <li>Having practical experience of data check, clearance and compiling.</li> </ul>
4	Field Surveyors (80)	<ul style="list-style-type: none"> <li>Minimum of bachelor degree.</li> <li>Minimum 3 years of experience as a research surveyors/ assistant.</li> <li>Preference will be given to the persons having field level data collection experience.</li> </ul>
5	Data Entry Operators (2)	<ul style="list-style-type: none"> <li>Minimum of bachelor degree.</li> <li>Minimum 3 years of experience in data input.</li> </ul>

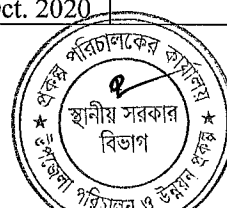
Experts of the Firm shall commute to the office of PMU as and when required, in order to maintain close communication with PMU, according to the schedule of the Service and work volumes at certain points.

#### 4. WORK SCHEDULE

The following Table presents the work plan of the Service by stages.

**Table 3: Work Plan of the Service (Time Frame as Tentative)**

Task	Activities to be Performed	Time Frame (Tentative)	Outputs
<b>1</b>	<b>Preparatory Work</b>	01-26 Aug. 2020	
1.1	Output 1-1: Draft Inception Report (IR)	05 Aug. 2020	1-1: IR hard and electronic copy
1.2	Briefing to Team Leader (TL), Deputy Team Leader (DTL) & Divisional Supervisors	09 Aug. 2020	
1.3	Receiving relevant documents through the orientation	09 Aug. 2020	
1.4	Output 1-2: Final Inception Report	13 Aug. 2020	1-2: IR hard and electronic copy (*)
1.5	Pre-testing in Two (02) Upazilas	17-18 Aug. 2020	
1.6	Training of surveyors	23-24 Aug. 2020	
1.7	Arrangement of Visits to Upazilas		
1.7.1	Preparation and submission of Field Schedule Plan to the PMU		
1.7.2	Collection of Letter of LGD by the PMU requesting each Upazila to extend necessary cooperation to the surveyors	By 26 Aug. 2020	
1.7.3	Dispatching the LGD letter to each Upazila along with Performance Assessment Indicators for their preparedness		
1.8	Orientation for Data Entry Operator and Data Managers	19 Aug. 2020	
<b>2</b>	<b>Data Collection</b>	31 Aug.-29 Oct. 2020	
2.1	Surveyors' preparation and start journey to respective Upazila	30 Aug. 2020	
2.2	Start Field work for data collection as per performance indicators questionnaire and guidelines	31 Aug.-29 Oct. 2020	
2.3	Surveyors leaving Upazila after data collection	By 30 Oct. 2020	
2.4	Progress review meeting with PMU during Stage 2	03, 13, and 24 Sep., 15 Oct. 2020	



Task	Activities to be Performed	Time Frame (Tentative)	Outputs
2.4	Progress review meeting with PMU during Stage 2	03, 13, and 24 Sep., 15 Oct. 2020	
2.5	<i>Output-2: Interim Report</i>	15 Oct. 2020	2: Hard & electronic copy (*)
3	<b>Data Aggregation and Analysis</b>	02 Oct. 2020 -04 Nov. 2020	
3.1	Input and Tabulation of Collected Data	02 Sep. -29 Oct. 2020	
3.2	Analysis of Collected Data	15 Sep. -29 Oct. 2020	
3.3	<i>Output-3-1: Data of Performance Indicators-Draft</i>	01 Nov. 2020	3-1: Electronic copy
3.4	Progress review meeting with PMU during Stage 3	05 Nov. 2020	
3.5	<i>Output-3-2: Data of Performance Indicators- Final</i>	09 Nov. 2020	3-2: Electronic copy (*)
4	<b>Preparation of Final Report</b>	10-30 Nov. 2020	Final Report
4.1	Preparation of Draft Final Report	10-19 Nov. 2020	
4.2	<i>Output-4-1: Submission of Draft Final Report</i>	23 Nov. 2020	4-1: Hard copy & electronic copy
4.3	Discussion meeting with PMU on Draft Final Report	26 Nov. 2020	
4.4	<i>Output-4-2: Submission of Final Report, data sheet</i>	30 Nov. 2020	4-2: Hard copy & electronic copy (*)
5	<b>Printing and Publication of Newsletters</b>	01-31 Dec. 2020	
5.1	Preparation of Newsletters	01-10 Dec. 2020	
5.2	<i>Output-5-1: Submission of Newsletters (Draft)</i>	17 Dec. 2020	Hard Printed copies and Electronic copy
5.3	Discussion meeting with PMU on Draft Newsletter	20 Dec. 2020	
5.4	<i>Output-5-2: Submission of Newsletters (Final)</i>	31 Dec. 2020	Hard Printed copies and Electronic copy (*)

Note: The star marks (\*) in the column of Outputs show the relevance with the payment modalities (Table 4).

## 5. SUBMISSION OF EOI

Expression of Interest (EOI) shall include the following items.

### 1) Legal Status of the firm

- Year of Registration,
- Updated income Tax clearance certificates (2019-2020)
- Updated Trade license (2019-2020)
- VAT and other certificates e.g. incorporation (if required).

### 2) Experience of the firm

- Number of years' experience in professional areas of similar type of survey.
  - Number of similar type of surveys in last 5 years with evidence.
  - Number of work in local government sectors in last 5 years with evidence.
- (Eligibility of Firm as per 2.2. Additional Information on Scope of Work and the Contract).

### 3) Financial Soundness of the firm

- Audit and Accounts Records (audit report of last 3 years)
- Average Annual Turnover of last 3 years (in BDT lac)

### 4) Institutional Soundness of the firm

- Office Space
- Equipment and logistics



## 5) Key Professionals' Qualifications

- Brief Explanation on the qualification of expected team members (for TL, DTL and Divisional Supervisors), (Minimum qualifications as per Section 3. Team Composition)

## 6. PAYMENT MODALITIES

The source of Fund is JICA & GoB and payments would be output basis. The Tax and VAT would be deducted at source as per GoB rules.

The timeline is tentatively set under the condition that the contracted working schedule begins on 1 July 2020. Dates in the column of Timeline is applicable only when the Firm achieved to deliver the Outputs as noted in Table 1 and Table 3.

**Table 4: Payment Modalities**

Sl. No.	Key Deliverables	Timeline (Tentative)	Relevant Activity	Payment Modality
1	Output 1: Inception Report (hard copy after the agreement with the PMU)	(13 Aug. 2020)	1.4	10 % of the total contract amount
2	Output 2: Interim Report	(15 Oct. 2020)	2.5	30% of the total contract amount
3	Output 3: Set of Data Sheets (Final) as electronic copy with Questionnaires and Proof Data as hard copies	(09 Nov. 2020)	3.5	25% of the total contract amount
4	Output 4: Final Report after acceptance of Draft Final Report by the PMU	(30 Nov. 2020)	4.4	25% of the total contract amount
5	Output 5: Completion the printing and delivery of Newsletters after acceptance of Draft Newsletters by PMU	(31 Dec. 2020)	5.4.	10% of the contract amount

## 7. SUBMISSION OF PROPOSAL

For submission of EOI, two copies (one original and one duplicated) have to be submitted. Request for Proposal (RFP) document (Based CPTU format) will be given to the short-listed firms following the evaluation of EOI. Proposals shall include;

- Technical proposal: The technical proposal should include (i) brief explanation about the Consultancy firm with particular emphasis on previous experience in this kind of work; (ii) understanding of the TOR and the task to be accomplished including methodology; (iii) profile of the key persons to be involved in undertaking the assignment; (iv) work plan with a proposed timeline (suggesting approximate dates for field visits, their duration, and team members).
- Financial Proposal: The financial proposal should provide cost estimates for services rendered including daily consultancy fees accommodation and living costs; transport cost; stationeries, and supplies needed for data collection; enrichment workshop etc. The financial proposal shall be exclusive of IT, VAT and all other direct and indirect tax, as applicable.

## 8. ATTACHED DOCUMENTS AS REFERENCE FOR PROPOSAL PREPARATION

This TOR includes the followings for reference.

### Appendix 1: List of Indicators for PA (simplified tables)

#### 1-1. Preconditions Indicators

#### 1-2. Performance Indicators

### Appendix 2: Sample pages of Questionnaire for Interview (only the first three pages out of 16 pages in total)

### Appendix 3: Outputs of Data Analysis (Image)

#### 3-1: Table of all Upazilas with National and District Ranking (only the first part)





**3-2: Data Entry Sheet as an example (only the first part)**  
**Appendix 4: Recommended List of Contents of Draft Final Report (DFR) and Final Report (FR)**

**(Md. Mohsin)**  
Project Director (Additional Secretary)



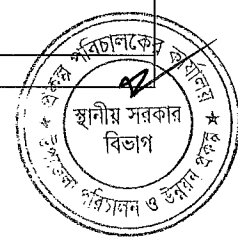
## Appendix 1: List of Indicators for PA (simplified tables)

### 1-1. Preconditions Indicators

Indicators	Means of Verification
<b>1. Status of Upazila Parishad meetings</b>	
1.1. Upazila Parishad (UZP) meetings are held regularly	Minutes of UZP meetings of the last Fiscal Year (FY)
1.2. UZP meetings are held with proper attendance	Attendance lists of UZP meetings of the last FY
<b>2. Status of Standing Committees</b>	
2.1. Upazila Committees (or Standing Committees (SCs), as previously known) are established	Minutes of UZP meetings indicating decisions on the establishment of Upazila Committees or Upazila Committee member lists
2.2. Upazila Committees are functioning	Minutes of Upazila Committee meetings held in the last FY
<b>3. Existence of Budget and Development Plans</b>	
3.1. Annual Budget is prepared and approved	Annual Budget
3.2. Development Plan is prepared	Development Plan
<b>4. Status of ADP Implementation and Reporting</b>	
4.1. ADP reports are prepared	ADP reports for the last 3 FYs
4.2. ADP reports are sent to LGD	Copy of letters sent to LGD

### 1-2. Performance Indicators

Indicators	Means of Verification
<b>1. Institutional Capacity</b>	
1.1. Upazila Committees meetings are properly held and recorded	(1) Notices for Upazila Committee meetings or decision of fixed dates of Upazila Committee meetings (2) Minutes of Upazila Committee meetings
1.2. NBD officers attend respective Upazila Committee meetings	Attendance lists of Upazila Committee meetings during the last FY
1.3. Project Selection Committee (PSC) is established and functioning	Minutes of PSC meetings PSC's recommendations to UPZ meetings
1.4. Development proposals are submitted from Union Parishad, UDCC (Union Development Coordination Committee), Upazila Committees and NBDs	Number of proposals from various sources ("Unions", "UDCC", "Upazila Committees", "NBDs" and "Others")
<b>2. Financial Management Capacity</b>	
2.1. Annual Budget is prepared and approved as stated in UZP Act	Minutes of UZP meetings (Date of final approval by Upazila Parishad)
2.2. Asset register is properly maintained and updated	Asset register (for immovable and movable assets)
2.3. Annual Financial Statement is prepared	Annual Financial Statement
2.4. Gap between the initial budget and the actual expenditure is minimized	Annual Budget (Initial)
<b>3. Planning and Budgeting Capacity</b>	
3.1. Five-Year Development Plan with priority project list is prepared	Five-Year Development Plan book
3.2. Development fund is used as per UZP Development Fund Using Guidelines 2014	ADP List and interview with Upazila Engineer (Number of sectors covered)
3.3. Development project sites are inspected by Upazila officers	Site Inspection Checklist and interview with UNO and Upazila Engineer
3.4. Upazila Project Proposal (UPP) is prepared for each project and discussed at Upazila Committees or Upazila Parishad meeting	UPP documents
<b>4. Transparency and Accountability</b>	
4.1. Union Development and Coordination Committees (UDCC) are held in each Union Parishad	UDCC minutes at Upazila Parishad
4.2. Annual Budget and Annual Development Plan are displayed for public scrutiny on notice boards and websites	Notice board, Website (Annual Budget and Annual Development Plan)
4.3. Information Focal Point is assigned and such assignment is made public	Notice board and/or Website (Appointment)
4.4. Citizen Charter is published	Notice board and/or Website (Citizen Charter)



**Appendix 2: Sample pages of Questionnaire for Interview (only the first three pages out of 16 pages in total)**

The questionnaire sheet file (digital) is to be provided to the Firm after the contract agreement.

**The 1<sup>st</sup> Page**

**Upazila Governance and Development Project (UGDP)**

***5th Performance Assessment, 2020-21***

Date (dd/mm/yy) \_\_\_\_\_ SI No \_\_\_\_\_ : (CODE: \_\_\_\_\_ )

Division \_\_\_\_\_ (CODE: \_\_\_\_\_ , District \_\_\_\_\_ ) (CODE: \_\_\_\_\_ )

Upazila \_\_\_\_\_ (CODE: Division-District-Upazila Code : \_\_\_\_\_ )

Number of Union \_\_\_\_\_ Number of Pourashava \_\_\_\_\_

**I. Part 1**

**I-1. Status of Upazila Parishad (UZP) Meeting**

**Precondition 1.1. Upazila Parishad (UZP) meetings are held regularly.**

(1) How many UZP meetings were held in FY 2019-20

Evidence: Approved Minutes of Upazila Parishad meeting held in FY 2019-20

Note: Maximum number is 12 (once a month).

Only monthly meetings should be counted. Do not count special meetings.

- Number of meeting minutes

	Number
	A1

**Precondition 1.2. UZP meetings are held with proper attendance**

(2) How many UZP members are there in your Upazila?

Evidence: Attendance lists of Upazila Parishad Meetings held in FY 2019-20

Note: Members of Upazila Parishad Meeting:

**Voting Members**

- Chairman (1) and Vice Chairs (2)
- Women Members
- Chairmen of Union Parishad, and Mayors of Pourashava

**Non-Voting Members**

- Upazila Nirbahi Officer (UNO)
- Officers of Nation Building Departments (NBDs)

- Number of UZP members

	Number
	B1

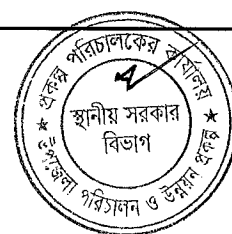
(3) How many members in total attended in UZP meetings held in FY 2019-20?

Evidence: Attendance lists of Upazila Parishad Meetings held in FY 2019-20

Note: Only UZP members shall be counted.

- Total Number of Attendance

	Number
	B2



**I-2 Status of Upazila Committees**

**Precondition 2.1. Upazila Committees are established.**

(1) How many Upazila Committees have been established?

Evidence:

1. Minutes of Upazila Parishad Meeting regarding decision on the establishment of Upazila Committees
2. Minutes of respective Upazila Committee meetings
3. Official document with signature of authorized person (Chairman, Vice Chair, UNO, Upazila Engineer, or other relevant NBD officers)

Note:

There are possibilities that officers recognize "Upazila Committee" as "Standing Committee".

Members of Upazila Committee:

- Vice Chair (as Chairman of Upazila Committee)
- Women members
- Chairman of Union Parishad and Mayor of Pourashava
- Officers of National Building Department (NBD) from related sector

	Yes / No
- Law and Order	C1
- Communication and Physical Infrastructure Development	C2
- Agriculture and Irrigation	C3
- Secondary and Madrasa Education	C4
- Primary and Mass Education	C5
- Health and Family Welfare	C6
- Youth and Sports Development	C7
- Woman and Children Development	C8
- Social Welfare	C9
- Freedom Fighters	C10
- Fisheries and Livestock	C11
- Rural Development and Cooperatives	C12
- Culture	C13
- Environment and Forestry	C14
- Market Price Observation, Monitoring and Control	C15
- Finance, Budget, Planning and Local Resource Mobilization	C16
- Public, Health, Sanitation and Pure Drinking Water Supply	C17
- Total Number of established Upazila Committees	Total number C18

Note: The provided data entry sheets include the auto-calculation functions for C18.



**Precondition 2.2. Upazila Committees are functioning.**

(2) How many Upazila Committee meetings were held in FY 2019-20?

Evidence: Minutes of Upazila Committee meetings held in FY 2019-20

Note: Only regular meetings should be counted. Do not count special meetings.

	Number
- Law and Order	D1
- Communication and Physical Infrastructure Development	D2
- Agriculture and Irrigation	D3
- Secondary and Madrasa Education	D4
- Primary and Mass Education	D5
- Health and Family Welfare	D6
- Youth and Sports Development	D7
- Woman and Children Development	D8
- Social Welfare	D9
- Freedom Fighters	D10
- Fisheries and Livestock	D11
- Rural Development and Cooperatives	D12
- Culture	D13
- Environment and Forestry	D14
- Market Price Observation, Monitoring and Control	D15
- Finance, Budget, Planning and Local Resource Mobilization	D16
- Public, Health, Sanitation and Pure Drinking Water Supply	D17
	Number
- Total Number of Upazila Committee meetings	D18
- Total Number of Upazila Committee Covered by Meetings	D19

Note: The provided data entry sheets include the auto-calculation functions for D18 and D19.

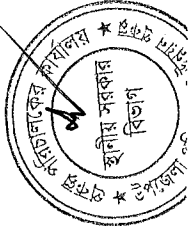


### Appendix 3: Outputs of Data Analysis (Image)

#### 3-1: Table of all Upazilas with National and District Ranking (only the first part)

The data sheet file (digital) is to be provided to the Firm after the contract agreement. There will be some other sheets that need to be prepared prior to this table (see below, Appendix 3-2.). All the sheets used for compiling the data to make the table also need to be submitted. The ways of calculation of indicators are advised in the Performance Assessment Guidelines that is to be provided by PMU. A set of sheets with auto-calculation functions (from the entry sheet to this indicator sheet) are available for the Firm. The list of divisions, district, Upazila codes are also provided.

Sl.	Diname	Upaname	Result of 4th Performance Assessment															Record in Past																		
			Precondition Indicators					Performance Indicators										Scores			Ranking / Selection															
			U/P Meeting held regularly	U/P meeting attendance	Committees establishment	Committees Functioning	Annual Budget Prepared	Development Plan Prepared	ADP reports are prepared	ADP reports sent to LGD	Committees held and recorded	NBD attendance to Committees	PSC Functioning	Development Proposals	Annual Budget Preparation	Asset register	Annual Financial Statement	Gap bet. Budget and Expenditure	FYP with project list	ADP allocation to sectors	Project Inspection	U/P Prepared	UDCC	Transparency and Accountability (each column total 04 marks)	Information Focal Point	Citizen Charter	Obtained Score (Total Score 100)	Counting Preconditions	Precondition Passed	Rank-Nationwide (Passed & Not Passed)	Rank in District	Upazilas Selected as 4th Round	Total Score in 1st PA	Total Score in 2nd PA	Total Score in 3rd PA	
1																																				
2																																				
3																																				
4																																				
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## Appendix 4: Recommended List of Contents of Draft Final Report (DFR) and Final Report (FR)

The following list shows the minimum contents of the DFR and the FR.

Photos with simple explanation of activity, date and venue
List of Contents
Abbreviation
Abstract
1. Introduction (for explaining framework of the survey)
1.1. Background of the Survey
1.2. Objectives of the Survey
1.3. Summary of composition of survey team
1.4. Summary of working schedule
2. Implementation Process of the Survey
2.1. Main approaches undertaken
2.2. Practical methods for collecting data
2.2.1. Pre-testing of Questionnaire and Adjustment
2.2.2. Training for Field Surveyors
2.2.3. Interviews and Data Collection by Field Surveyors
2.2.4. Actual Schedule of the Movement of the Field Surveyors and Divisional Supervisors
2.2.5. Specially noted assistance by Divisional Supervisors and Deputy Leaders at Fields
2.2.6. Data clearance, Input and Management
3. Data Analysis
3.1. Overview with summary table of indicators of all Upazilas
3.2. Analysis based on Comparison by Divisions
3.3. Analysis based on Comparison by Districts in each Division
3.4. Extracted features on well and not-well performed indicators
4. Conclusion and Recommendations
4.1. Findings based on the analysis
4.2. Recommendations
Annex 1: Completed questionnaire
Annex 2: Completed Data entry Sheets
Annex 3: Result of performance assessment 2020-21
Table 1: Table of all Upazilas with National and District Ranking
Table 2: Table of Upazilas which passed and not passed preconditions with division & district sorting
Table 3: Table of Upazilas which need special considerations
Annex 4: Operational Guidelines for 5th PA

Note for 2.2.4. Actual Schedule of the Movement of the Field Surveyors and Divisional Supervisors: this is not the same with “1.3. Summary of composition of survey team” , or “1.4. Summary of working schedule”. The Firm needs to develop the field work plan in the Draft Inception Report and the Final Inception Report, and then the actual schedule of the movement of surveyors and supervisors needs to be presented in a table or in a chart.

Note for Annex 1: A set of completed questionnaire sheets as samples need to be submitted in electronic and hard copies with the DFR and the FR.

Note for Annex 2: A set of filled data entry sheets need to be submitted in electronic and hard copies with the DFR and the FR. The format of data entry sheets are to be provided to the Firm at the commence of the service.

Note for Annex 4: the guidelines with up-dated questionnaire are to be provided to the Firm after the contract agreement.

