

**MINISTRY OF ECONOMIC DEVELOPMENT AND POVERTY
REDUCTION OF THE REPUBLIC OF UZBEKISTAN**



**COMMUNITY MOBILIZATION
MANUAL**

Project Implementation Unit

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Acronyms

CPM	Community Participatory Monitoring
FP	Facilitating Partner
GoU	Government of Uzbekistan
MCA	Mahalla Citizens' Assembly
MDU	Mahalla Development Unit
MoED	Ministry of Economic Development and Poverty Reduction
O & M	Operations and Maintenance
RIDP	Rural Infrastructure Development Program
QDP	Qishloq Development Plan
QE	Qishloq Engineer
QF	Qishloq Facilitator
SC	Seasonal Calendar
WBA	Well Being Analysis

This community mobilization manual is intended for Senior/ Mid-level Government and Facilitating Partners staff, as well as the FP Master Trainers and Community Facilitators (Annexes as to how to conduct the exercises). It discusses not only what the Rural Infrastructure Development Program entails (Participatory Exercises, MDU Elections, and Qishloq Development Planning)), but also the processes various actors will be engaged in to ensure transparent, accountable and inclusive development processes. The main text outlines what is to be done and the annexes provide step by step guidelines for FP QFs and Government QFs to conduct the sessions in communities.

Rural Infrastructure Development Program Project Cycle



Project Cycle Details

1. Village Selection

2. Community Mobilization

- i. Community Introduction to Rural Infrastructure Development Program
 - a. Vision, Objectives, and Principles
 - b. Infrastructure Development
 - c. Inclusion and Poverty Reduction
 - d. RIDP in Practice: Role and Responsibilities of Key Actors
- ii. Understanding the Communities:
 - a. the MCA Passport
 - b. Public Resources Map

3. Mahalla Development Unit Elections

- iii. Pre-Election Activities
 - a. Large Meeting to Share Election Process
 - b. Establish Election Committee
- iv. Elections
 - a. General Election
 - b. MDU Office Bearer Election
 - c. OB Roles and Responsibilities

4. Resources / Socio-Economic Analysis

- v. Social Analysis
 - a. Well-Being Analysis
 - b. Seasonal Calendar (in some communities)
 - c. Health Analysis
 - d. Education Analysis

5. Qishlog Development Planning (QDP)

- vi. Community Development Planning
 - a. Introduction Participatory Community Development Planning
 - b. Review of Key Findings
 - c. Vision Building (Men and Women)
 - d. Translating the Vision into Milestones
 - e. Translating Milestones into Activities
 - f. Outline Top Priorities in Relation to Vision and Milestones

6. Sub-Project Implementation – to be covered in POM and Technical Manual

7. Strengthening Inclusive Local Institutions, Initiating Pro-Poor Collective Action, and Working towards greater Women's Participation

- a. Review Roles and Responsibilities of MDU
- b. Establish Rules of MDU Frequency of interaction, etc.
- c. Review QDP Vision, Milestones, and Activities and Determine MDU's Responsibility towards key Milestones and Activities
- d. Consider the human / physical / financial resources that will be needed to achieve the milestone (or part of the milestone).
- e. Create Timeline for Key Activities
- vii. Self-Help/ Interest groups
 - a. Create list of potential interest/ Self-help groups (parents and school children of primary school age;)
 - b. Mobilize and establish interest/ self-help
 - c. Work with 1-3 groups to each focus on a key area (milestone or partial milestone) and make plans to achieve these
- viii. Gender Mainstreaming at the Community Level
 - a. QFs to meet with young women from all neighborhoods and share all exercises completed so far and seek their inputs
 - b. QF discussion with women on key issues that concern them
- ix. Capacity Building of MDU for Project Implementation (**see different manual**)
 - a. Project team training
 - i. procurement
 - ii. project management
 - iii. ESS (ESFM, RPF)
 - iv. O and M

8. Monitoring, Evaluation and Social Audit

- x. Community Participatory Monitoring Committee
 - a. Establish Committee
 - b. Capacity Building of CPM Committee on RIDPCPM, Social Audit, and Score Cards
- xi. CPM Process
 - a. identify CPM Indicators
 - b. design CPM Plan
 - c. gather, analyze and report data
 - d. share findings in Public Meeting
- xii. Grievances Handling

- a. Ensure publicization of GHM (with phone hotline)
- b. Establish grievances box and Complaints Register

1. Village Selection

Village Selection for RIDP will be the responsibility for of the District Project Committees (DPCs). These will be established in each participating District and will consist of the members of district “Obod Qishloq” state program working group (shtab) who operate in accordance with the Presidential Decree No 3630 from 29 March 2018. The District Khokhims will be the Chairmen of DPCs.

Prior to village selection, the FP Chief Trainer (or PIU staff in Government implemented areas) will orient the DPC on the Program Operations Manual and the Social Manual and will present the vision, goal, and principles of the program, as well as the roles and responsibilities of the various actors.

Once the DPC has been ‘socialized’ in the RIDP program, the FP Chief Trainer and GoU PIU staff (in places where Government of Uzbekistan implements without FPs) will work in the selected districts with the District Project Committee to identify

1. Villages in which the state program "OBOD Qishloq" or "OBOD Markaz" is carried out will not be financed within RIDP;
2. Remoteness from the district center; Remoteness can vary depending on the regions and landscape (mountainous area, etc.) and/or accessibility (roads, etc.), climatic conditions (natural hazards etc.).
3. Villages with a relatively high percentage of households that do not have uninterrupted and reliable tap drinking water (compared to other villages in the district that have no state program and are remote)

See Annex 1 below for a detailed discussion. See Form 3.2 that outlines the scoring criteria (based on remoteness and access to drinking water) to select the villages in the relevant districts.

2. Community Outreach and Initial Mobilization

The Community Outreach and Initial Mobilization session is crucial to prepare communities to receive the Rural Infrastructure Development Program. The key components of this work are to share with the community the RIDP Vision, Objectives, and Principles, as well as the Infrastructure Menu, the Roles and Responsibilities of the various actors (Ministry of Economy and Industry, Regional and Districts Hakimiyats, Facilitating Partners, MCA and MDU, as well as the Citizens).

The introduction to the Community consists of a 3-hour session in which at least half of all households from each neighborhood should be represented. The session involves the use of various posters that outline the topics to be shared, so that QFs can systematically walk the community through each topic. Space should be provided for people to ask questions and to discuss the program. After each poster presented, the QFs should ask for volunteers amongst those present to summarize what they understood in their own words. This way, QFs can understand how clear their messages have come across and the participants have another opportunity to hear the information once more.

QFs should be aware that whilst this meeting should be very large, it will not cover all households and in subsequent meetings (for the Public Resources Map and the pre-election meeting), some of the topics on outreach will need to be re-visited.

The team of QFs (that covers six communities/qishloqs) can make 1 set of posters for their six villages, but some posters will need to be prepared to be left in communities. For the outreach session, the poster that outlines the infrastructure menu must be left in the community and this should be posted in an accessible, public place. **QFs See Annex 1 for the Posters for this Session.**

Outreach Session Content

Activity 1: Presenting the Vision, Objective, and Principles of RIDP (See Poster 1 in Annex 1)

Vision: The RIDP aims to contribute to the development of villages, improve the relationship between the Government and its people, strengthen citizens' participation in the development process, and reduce poverty by improving access to quality basic services. The Government will provide the resources to construct or rehabilitate infrastructure and provide the most important services. Communities will be able to choose from a menu that includes: rehabilitation or small scale construction of public and social infrastructure (including schools), drinking water and sanitation, roads, walkways, and footpath, road drainage and flood resilience of rural roads, bridges (up to 10 meters long), street lighting, solid waste management, antennas to provide wireless internet services, construction and rehabilitation of bus terminals and stops, and energy supply activities. The negative list includes housing construction and renovation or any investments that require physical displacement or resettlement of people; further, any sub-projects planned for protected areas, critical habitats or culturally- or socially-sensitive areas, along with sub-projects which might have impact on international waterways will be included on the negative list. Communities will prioritize the services they need most through a participatory process that involves all Mahallas in a Qishloq.

But the Government's work is only one part of the Rural Infrastructure Development Program; Mahalla Citizens' Assemblies (MCAs) and Mahalla Development Units (MDUs), and the people that live in communities have a large role to play. Much of the work – assisting the Government so that services reach each and every family, monitoring the contractors that build the infrastructure, ensuring inclusive consultations, and advocating for the poor – will depend on MCAs and MDUs. MCAs roles will be to represent their communities to the outside world, report to district Hakimiyats on RIDP Projects, help community members understand the program, and handover the infrastructure to relevant departments. The MDUs roles will be to ensure inclusive and pro-poor consultations for Qishloq Development Planning (QDP) with representation from all Mahalla in the Qishloq, facilitate inclusive meetings, understand and present the community analysis, oversee sub-project implementation, have membership in the sub-project tendering committee.

The RIDP is a partnership between Government and the Uzbek people, guided and supported by their elected representatives to reduce poverty together and uplift people living in villages. This means the Government and the people have responsibilities and the most important ones are: the Government will provide resources, support, advice and MCAs and MDUs will have the responsibility to function as participatory institutions through which elected men and women work together to ensure fair and equitable resources allocation and make sure that poor women, men

and children benefit from government schemes, programs, and services, just as the women, men, and children from families that are better off do. The inclusion of elected women members in MDUs and social analysis and planning sessions in the communities will be crucial to ensure that women's development needs are incorporated and addressed in the development process. This way, the services that the Government will address the most crucial development needs of all citizens in the participating communities so that they can live healthier lives, have the means to fulfill their potential, and raise educated children who will build a better future.

Objectives: The Rural Infrastructure Development Program aims to (i) improve the quality of basic infrastructure and services and (ii) strengthen participatory local governance in targeted rural villages. By channeling resources and support, the Government will ensure the means to develop selected villages and the MCAs and MDUs will lead the development process and make sure that all men, women, youth and children are included in development initiatives and activities. Communities will participate in planning and monitoring progress including the Government's provision of basic services. At the same time, MDUs will work with various groups (including poor families) to learn together and identify critical issues that prevent development or the uplift of certain groups of people and collectively find ways to address these obstacles.

Principles: The RIDP and the work of Government (at various levels), the elected bodies (MCAs and MDUs), the Facilitating Partners will be guided by the following principles:

1. Citizens and the Government of Uzbekistan will work together as partners for development
2. MCAs and MDUs will guide and oversee development in their communities, and account for the allocation and use of all external resources to the people whom they represent and to government and donors
3. Equitable and fair resources allocation and services delivery must be ensured and elite capture (locating resources or allocating funds for the benefit of a few) must be avoided
4. Social responsibility and integrity will be rewarded, and fraud and misuse of funds must be avoided and can lead to losing funding from Government
5. Development processes in communities will be participatory, inclusive, learning and action-oriented, transparent, and accountable
6. MDU elections must be transparent and fair
7. Qishloq Development Plans must take into accounts the needs and problems of women, as well as poor, marginalized and vulnerable groups

Infrastructure and Services Menu

The Government of Uzbekistan's Ministry of Economy and Industry (MoEI) will channel public funds to build new or rehabilitate existing public infrastructure. Communities will have access to a menu of basic services and can choose from the following:

Eligible investments in basic and climate-resilient infrastructure and services subprojects include: (i) rehabilitation of existing rural drinking water supply and sanitation systems to expand access through innovative, alternative models for rural drinking water supply and sanitation service delivery; (ii) retrofitting of public buildings for energy efficiency; (iii) rehabilitation of social infrastructure; (iv) rehabilitation of tertiary roads, walkways, and footpaths; (v) road drainage and strengthening the flood resilience of rural roads; (vi) bridge rehabilitation and construction (up to 10 meters long); (vii) street lighting upgrading; (viii) improvements to public spaces; (ix) solid waste management systems; (x) small-scale construction of public facilities; (xi) installation of antennas to provide wireless internet services; (xii) construction and rehabilitation of bus terminals and stops; and (xiii) energy supply activities.

The allocation of funds will be based on a rule of average allocation for Qishloq at the amount of \$124 per capita (the amount may change once the population in the selected villages is determined) that can be used to finance multiple subprojects identified in the Qishloq Development Plan (It is necessary that the QFs announce the funds allocated to each village from the first meeting, and make a poster with the allocated funds and leave it in the village). Qishloqs may pool resources to jointly finance investments where appropriate and in line with environmental and social safeguards policies. Sub-projects selected will be based on communities' own appraisals and analysis of infrastructure needs and their vision, followed by community analysis, planning (including sub-project prioritization), monitoring of the RIDP sub-projects, and maintenance of the public infrastructure will be achieved through inclusive, participatory, transparent processes that account for decisions downwards (to communities) and upwards (to government and donors).

The Importance of Inclusion and Poverty Reduction

Much of the rural infrastructure in Uzbek villages has fallen into disrepair and even disuse. As a result, some households do not have use of public infrastructure and services that are crucial to live healthy lives: e.g. drinking water and sanitation, pathways and roads to access services or transport people or goods in and out of communities, good drainage and solid waste management to keep communities clean and free from stagnant water, flood resilience to safeguard peoples' assets; safe electricity connections and street lighting. The poor are disproportionately affected by these gaps in services because they do not have the means to pay for these services on their own; whilst better off households can install handpumps, latrines, invest in drainage around their homes or land.

Roles and Responsibilities of Key Actors

This part of the session focuses on the Roles and Responsibilities of the Ministry of Economy and Industry, the Regional and District Hakimiyats, the MCAs and MDUs, the Citizens of the Selected Villages, the Facilitating Partners (Qishloq Facilitators and Qishloq Engineers), the Single Customer Services Engineering Company (SCS), Construction Companies.

Understanding Communities: the Work of QFs and QEs in the initial Roll-out

The purpose of this work is to collect key details about the community so that the number of voters can be identified (for the MDU election) and the number of Mahallas and their household counts can be determined. This will allow the community analysis work (including mapping, well-being analysis, health and education analysis) to be inclusive of all neighborhoods and households. The sequence of activities, following the 'Community Outreach and Awareness Raising of RIDP' outlined above, of FP QFs and Engineers will be as follows:

1. Review the MCA passport to obtain key data (part of visit 1):
 - a. # of households
 - b. # of school-age children
 - c. # of kindergarten-age children
 - d. # of hectares in private farm land
 - e. # of Pensioners
 - f. # of widows
 - g. # of disabled persons

- h. # out-migrants (this data will later need to be collected per Mahalla, so that these persons can be removed from electoral list)

(Note: depending on the community, some of the data in the MCA passport may or may not be entirely correct; but it is still the best starting point for QFs to get a broad sense of the community. Because of this, during the data will need to be checked/ triangulated. Data to be collected is outlined in the Household Survey Form 3.4.

2. Public Resources Map (Visit 2)

Mapping the village is a fundamental step in initiating a project / program's activity in a given locality. Such a map captures the physical location of resources: schools (public, private, religious), paved and unpaved roads, water sources, electricity lines, and so on, as well as elected representatives, and any organizations working in the community. The mapping process serves multiple purposes: a) to obtain basic statistics: # of households b) to efficiently, accurately, and transparently map public resources and key actors with community people, c) to observe the interactions between the MCA chairperson, secretary and other members and the interactions with their communities. Most importantly, this map can be used in the planning sessions to ensure equitable allocation of the RIDP development funds and to ensure that no particular neighborhood is favored in the planning process.

QFs see Annex 2 for step by step guidelines how to create a Public Resources Map in communities and Annex 3 for how to verify the information and finalize the map.

3. Mahalla Development Unit Elections

Definitions

Eligible Voters:

- Must be a Citizens of Uzbekistan
- Must be a minimum of 18 years of age;
- Must have a local ID (passport, driver's license, military ID, birth certificate) or if 2 of the Election Committee members verify that the person resides in the neighbourhood;
- Must have continuous residence in the given community for a minimum of 1 year immediately prior to the time of MDU elections (with the exception of those that have returned from an out-migration episode for whom the continuous residence requirement is relaxed to a minimum of 3 months);
- Must have his/her primary residence in the community.

MDU Membership Criteria:

- All criteria stated above for voter eligibility;
- Have sufficient time and willingness to work voluntarily as a MDU member;
- Must be willing to sign a commitment to fulfil the roles and responsibility of an MDU member
- Must hold no elected office at the provincial council or national assembly;

- Must be recognized within the community as someone who has good judgement and is honest, trustworthy, transparent and accountable in his/ her dealings;
- Must have leadership qualities
- Must be willing to work with any and all community members within the election unit he/she will represent and other MDU members from other units

Election Rules

- 1) Each neighborhood will have a minimum of 1 man and 1 woman as Election Committee member
- 2) For neighborhoods with up to 50 households, there will be one man and one woman MPC member. For neighborhoods with 51-100 households, there will be two men and two women, for 101-150 households, there will be three men and three women, and so on.
- 3) Election Committee should volunteer and cannot be elected as MDU members (because of conflict of interest)
- 4) Each household will be informed in writing ahead of time of the time and date of voting.
- 5) The roles and responsibilities of Mahalla Development Unit (MDU) will be posted in the community and presented at the pre-election meeting and copies will be provided to those that are elected
- 6) Each neighborhood will post a list of eligible voters/potential MDU members in a public place 2 days before the election. Election Committee members will be clearly marked as such so that people know they cannot vote for them
- 7) No campaigning or electioneering
- 8) Each voter will only vote in their own neighborhood
- 9) Voters can only vote for people who live in their own neighborhood
- 10) Voting booth will be open for 2 hours
- 11) Voting shall take place on a day that suits the community, including daily wage workers and people with low income or vulnerable households
- 12) There will be one ballot box for women MDU members and one ballot box for men MDU members in each neighborhood
- 13) Each ballot box needs to be empty at beginning of the election and checked by an Election Committee member
- 14) Election Committee members at the ballot boxes will use the neighborhood voter list to tick off who has voted and obtain signatures of the voters next to their names
- 15) If a person is not on the voter list, his or her name can be added with proper identification???
- 16) Each voter will write his/her own ballot and put it in the box
- 17) Each voter shall receive stamped, blank voter ballots
- 18) Voters will write the full name of one person on the ballot. (One name per ballot paper)
- 19) All completed ballots must go into the ballot box
- 20) 60% or more of all eligible voters in each neighborhood in the village must vote in order for the election to be valid
- 21) Election committee members and QFs will count the votes and announce the results the same day of the elections
- 22) The election boxes with the completed ballot should be brought to a central place (the mosque, for example) and all counting of votes will take place there

- 23) If the person with the most votes declines the position, then the position goes to the person with next highest number of votes
- 24) If 2 people get equal number of votes for one position – and they both want the position – there is a run-off election immediately
- 25) After elections, winners will introduce themselves to community
- 26) If there is time when winners are announced, newly elected MDU members will elect a chair, vice chair and secretary through secret ballot
- 27) The chair and vice-chair must be comprised of a man and a woman, and the secretary can be either a man or a woman
- 28) MDU members will have 3 year terms

The Election Process:

Elections will be organized by neighborhood with residents from each neighborhood in a village voting for 1 man and 1 woman to elect their Mahalla Development Unit (MDU) representatives. For each 50 households per neighborhood, there will be 1 additional man and 1 additional woman elected. Elections require several visits (2 pre-election visits and 1 visit on the day of the election) on the part of QFs (and engineers should assist) and a set of steps that must be followed (see below in detail). RIDP facilitators must fill out RIDP form 3.7 which documents the MDU election process and results, to be uploaded to the MIS.

4. Socio-Economic Analysis

Well-Being Analysis

Well-being analysis is fundamental to understand the community, its level of poverty, how different people experience poverty and marginalization. Well-being analysis is an important participatory method that captures people's perceptions of poverty and identifies different classes and interest groups with whom problems and desired activities can be explored. The well-being analysis outlined here is 'subjective', with each community defining its own criteria. However, the analysis outlined here, will allow the projects to use the exercise to identify its 'impact' population from the bottom two or three categories of households. (QFs: See Annex 5 for step by step instructions)

Seasonal Calendar

The seasonal calendar is a useful exercise to identify seasonally occurring problems that affect different groups, or the community as a whole. It can also be used to identify when different groups will be less busy, and which will be the most suitable time for embarking upon any selected activities. For our purpose, the seasonal calendar will be used to explore which crops the poorest households cultivate, when the peak labor seasons are, to establish the lean seasons, when there is no work and no income, and households' coping strategies during times of economic distress. You will also use the seasonal calendar to identify periods of the year when people are very busy and when you should limit the number of meetings you have and periods where you can work more intensely with the community.

This exercise is fundamental to understand how households that do not have sufficient land cope in time of crisis and whom they turn to for assistance. If well facilitated, the exercise can provide

insights into the relationship between the better off and poor. (QFs: See Annex 6 for step by step instructions)

Health Analysis

Health analysis is a useful way to explore health related effects on poor peoples' lives. Such effects include peoples' economic, social, physical, and mental well-being and may include days lost at work, costs associated with transport, medicine, hospital/ doctor's costs, taking loans to meet expenses, physical weakness that influences the ability to do non-remunerated work (reproductive tasks) and a cumulative degeneration of the body, inability to sufficiently provide for one's family, a sense of marginalization and vulnerability, and in some cases hopelessness and despair. Poor households often face periodic / chronic illnesses related to water-borne diseases as a result of non-potable drinking water. (Note better off and middle households are more likely to have the means to install hand pumps).

Uzbekistan's past practices around cotton production (chemicals, forced labor, non-investment in drinking water infrastructure, poor remuneration) have resulted in cotton pickers and workers having ill health. It is therefore important that in communities that are home to people who work in cotton as daily wage laborers that we explore their well-being in more detail than others. This will be an important part of the analysis that feeds into the community development plans. QFs: See Annex 7 for step by step instructions)

Education Analysis

Education Analysis is used to determine the number of pre-school (kindergarten) and school-aged children in each household and which school they attend and how far they travel to get there. The data will be collected or data collection will be supervised by the MDU members, who may ask volunteers to help them complete the forms. (QFs: See Annex 8 for step by step instructions)

5. Qishloq Development Planning

The objective of creating a Qishloq Development Plan (QDP) is to ensure that communities agree on a common long-term vision, as well as strategies and activities (in given time frame), to reach that vision. **The QDPs should be based on the various exercises that have been conducted with a large number of people (a cross-section) of the community (Resources Map and Well-Being Analysis), and smaller, more homogenous, groups (Health Analysis and Education Assessment).** (see QDP Poster below)

In a large meeting that includes all MCA and MDU members from all neighborhoods (there can be as many as 200 people present) the analyses are summarized and the main findings are agreed on by the MDU members. The main findings for each analysis are captured (e.g. # of neighborhoods/households with no drinking water, etc.) on one poster per exercise. In the planning group summarize the findings of the various analyses that should be captured on one large poster per analysis:

- Resources Map identify infrastructure/ services gaps in the community

- Well-Being analysis highlights the number of families that are poor and very poor and the characteristics of poverty in the community
- The Seasonal Calendar (conducted with representative groups of the poor category) highlights the coping mechanisms and strategies in time of unemployment or no income
- The Health Analysis highlights major health issues in the community
- The Education Assessment tells the number of pre-school and school-age children and their school situation

Vision building

After each poster presentation has been discussed and key issues agreed on, the larger group has a common understanding of the various dimensions of community issues and needs. The larger group is now divided into smaller groups and each group is asked to work up one vision statement, keeping in mind the presentations of the various analyses that were summarized. The various vision statements are then aggregated to create one vision.

Translating the Vision into Milestones

The vision is then broken down into measurable milestones (there must be milestones that have been created from the women's vision statements).

Criteria for Ranking Milestones:

1. # of people who are currently not benefitting from a service and who will benefit as a result of the investment
2. give priority to neighborhoods/ areas of the village that have been left out, for example, those that lack drinking water or safe electricity connections
3. at least one (if not more milestones) should be women's choice
4. Investment / milestone will not produce negative social or economic impacts for residents

Translating the Milestones into Activities (actors responsible)

QFs see Annex 9 for step by step Guidelines for the QDP session.

6. Strengthening Inclusive Local Institutions, Initiating Pro-Poor Collective Action, and Working towards greater Women's Participation

Strengthening Local Institutions

MDUs are newly formed institutions that cooperate with the MCAs to support village development, and they will require capacity building to perform their roles and responsibilities and establish rules of interaction and agree on frequency of interaction. They will also need to review the QDP and determine their responsibilities in relation to the QDP vision, milestones and activities that have been agreed with the community. To achieve the QDP they will also require considering how financial resources / support will be raised to achieve the communities' development objectives that are not funded by RIDP. Finally, MDUs need to establish a timeline for action and periodically review their progress.

An important part of the MDU institution building will be to ensure neighborhood representation and the ability of women MDU members to present the needs of women in the community. This will require the ability of women to raise their voices, be heard, and influence decision making. With this in mind, MDUs will annually conduct the Institutional Maturity Index Tool to assess the growth (maturity) of MDUs. The RIDP IMI is a self-evaluation tool that is designed to not only assess MDUs, but to be an educative process through which the elected MDU members engage in self-reflection to consider their interactions and their work.¹ MDUs should go through the self-evaluation process after 6 months of their creation (election) and then annually until the program ends. The responsibility of taking MDUs through the IMI process lies with QFs. (QFs: see Annex 11 for Step by Step Guidelines on this session)

Self-Help Groups

As QFs work in the community, they will find that there are certain issues that could be addressed by the community through forms of self-organization. The issues might vary from community to community, but are likely to include

- a) Adolescents or young men who did not do well in school or failed to sufficiently attend school to be confident in reading and writing
- b) A lack of kindergartens / day care and the RIDP QDP may not have sufficient funds to address this particular issue, as the community may have prioritized other infrastructure / services gaps
- c) Households/ persons that do not seek health services (such as vaccinations or treatment for certain conditions (this will come out in the health analysis)
- d) Households that have a poor diet and do not eat enough vegetables (see the common issue of anemia amongst women in the health analysis)

QFs should work with the MDU Male and Female Youth Sub-Committees to work together and address key issues that emerge in the analysis or discussion with the community or MDU members. (QFs: See Annex 12 how to facilitate this work.)

Gender Mainstreaming at the Community Level

Whilst Uzbekistan is relatively open when it comes to women's mobility and their interactions with the larger society, in some communities, young women (those that have married into the community) are often sheltered and generally do not attend public meetings. In other words, much of the work (RIDP outreach and awareness raising, social analysis, QDP process, etc.) is not shared with them and they are excluded from the meetings, as older women from their households generally attend. For this reason, women QFs should organize sessions with young women from the community (all neighborhoods) and present the work to them. This will include sharing the RIDP Vision, Objectives, and Principles, Roles and Responsibilities, Social Analysis findings, and the QDP. In addition, the work of self-help groups should be shared. The sessions must include space for women to comment on, add to, or provide feedback on the work done so far.

¹ The IMI is an adapted version of Norman Uphoff's 'Field Methodology for Participatory Self-Evaluation of the Peoples' Participation Program and Inter-Group Association Performance. See Uphoff, N. 1989. Human Resources and Agrarian Reform Division, FAO.

There should also be periodic sessions with young women to discuss key issues that concern them. These may include health, education, clean water. See Annex 21 for how to conduct these sessions.

The objective of this work is to involve young women so that they know what development activities are taking place in their community, enable them to provide their ideas, and allow them to raise their concerns. It is important that key issues are shared with MDU (unless these are sensitive, e.g. reproductive health --- in which case, the QFs should contact a woman doctor from the local health clinic to come and meet with the group). (QFs: See Annex 13 for step by step instructions)

7. Monitoring, Evaluation and Social Audit

Community Participatory Monitoring Teams and Their Work

Community Participatory Monitoring (CPM) is a community-level process, independent of the MCA or MDU through which beneficiaries are involved in monitoring project quality and holding locally elected councils accountable for the allocation of public funds and the management of Community Development Plans through transparent and accountable means, compliance with ESS.

Purpose of Community Participatory Monitoring

- Improve the quality of projects and reduce the risk of corruption.
- Ensure compliance in Social and Environmental Safeguards
- Improve transparency and accountability between MCA/ MDU, communities and other stakeholders.
- Create a feedback mechanism to take corrective actions.
- Enhance community capacity and skills in monitoring of projects.
- Empower the community to raise their voices, opinions, expectations and aspirations.

CPM Committee

- The CPM team will be a permanent body. The same members will serve on it during the lifespan of the MDU since there will be training investment.
- The team should be formed ensuring that all neighborhoods are represented and comprise of 10-12 people.
- There should be an equal number of men and women. They may monitor separately or together, but should share their findings.
- The team cannot include any MCA or MDU members as this is meant to serve as an independent monitoring mechanism.

The work of the CPM Committee

CPM Committee will monitor the work of MDUs every six months using 5 CPM monitoring forms that monitor Qishloq Planning, infrastructure / services menu being publicly posted, MDU members' meeting and minutes; score cards; Operations and Maintenance; labor recruitment and quality and workmanship of the infrastructure built.

The CPM will gather, analyze and report the data through a brief report and share their findings in a public meeting (the Social Audit meeting). (QFs: See Annex 10 for step by step instructions)

Social Audit

The Community Participatory Monitoring will facilitate the Social Audit every six months. The purpose of the Social Audit will be for the community (from all neighborhoods) to have the opportunity to hear an account of the resources allocation, and the overall achievements (in line with the QDP) of the MDU. The six-monthly social audits will ensure that the MDUs are transparent and accountable to the people who elected them.

The sections below outline the Social Audit Process and the QFs should assist the CPM to organize the Social Audit and be present when it takes place. The QFs should also assist the MDU to prepare their presentation to the community. This will take 1 entire visit (CPM preparations (presentation on the CPM findings on posters) and MDU preparations (see below on posters). After 2 Social Audits have been successfully conducted, the QFs can hand over the task entirely to the CPM. However, QFs should make sure that the Social Audits are conducted throughout the entire 3 years of their work in the community.

The Process of the Social Audit

The Social Audit process involves publicizing the date of the social audit, MDU presentations to a large public gathering, CPM team presentation on their monitoring findings, Community Response and Questions to MDU; Action Plan by MDU to address key issues and follow up progress in the next Social Audit. QFs: See Annex 14 for step by step instructions).

Annex 1: DPC Establishment, DPC Outreach, and Village Selection

FP Chief Trainers (GoU PIU staff): 2-3 Visits

Visit 1:

The Objective of the Visit: To establish the DPC, inform/ socialize the DPC about the Rural Infrastructure Development Program. This includes the Vision, Objective, Principles as well as the Infrastructure Menu, the Roles and Responsibilities of Key Actors, and discuss why Inclusion and Participation of all Community residents is important, to share an overview of the Program Operations Manual and the Social Manual and to support the DPC to select the villages for RIDP.

Preparation for the Session

Contact the Khokim's office and set a date and time for a meeting with the members of the district "Obod Qishloq" state program working group (shtab). The meeting will take roughly half a day. Inform the Khokim's office that you will establish the DPC, share relevant information about the RIDP and work with the newly formed DPC to select the villages in his district for the RIDP program.

For this work, the facilitating team should consist of at least 2 members (the Chief Trainer and one QF). The Chief Trainer will be the main facilitator of the meeting.

The materials required for this session are various pre-written posters (see content of the posters below) about the RIDP

- Vision, Objective, and Principles of RIDP
- Infrastructure and Services Menu
- Roles and Responsibilities of
 - Government of Uzbekistan (Ministry of Economy and Industry, Regional Hakimiyat, District Hakimiyat), Unified Customer Services Single Engineering Company
 - Mahalla Citizens' Assembly
 - Mahalla Development Unit (to be elected by the community)
 - Citizens
 - Facilitating Partners (Community Facilitator and Engineers)
- POM outline
- Social Manual outline
- Village Selection Criteria Form

Activity 1:

Step 1: Objective of the meeting:

Introduce yourself and co-facilitator and share the objective of the session: *To establish the DPC, inform/ socialize the DPC about the Rural Infrastructure Development Program. This includes the Vision, Objective, Principles as well as the Infrastructure Menu, the Roles and Responsibilities of*

Key Actors, and discuss why Inclusion and Participation of all Community residents is important, to share an overview of the Program Operations Manual and the Social Manual and to share with the DPC the village selection criteria for RIDP.

Step 2: Roles and Responsibilities of DPCs

Share with the members present the following Roles and Responsibilities:

- Conduct outreach and communicate the RIDP Objectives and Rules, including the Qishlok Selection Criteria, Eligible Investments, required participatory processes, and implementation timeline to MCAs
- Select Qishloqs for participation in RIDP based on the process and selection criteria detailed in the POM
- Work with MDUs to review subprojects proposed for RIDP financing in Qishloq Development Plans (QDPs) to confirm operations and maintenance (O&M) arrangements and that subprojects do not duplicate other investments by providing information on the investment plans for each sector/state program in the district for the next 2-3 years;
- Submit the list of selected subprojects to regional hokimiyats for SCS to carry out subproject design;
- Facilitate the handover in coordination with regional Khokimiyats of Project-financed infrastructure to relevant line departments for routine O&M

Allow 10 minutes for questions, note these down, and tell the group that as you share the details of the program, you will answer these questions

Step 3: Ask the Khokim to officially declare the group as the District Program Committee for RIDP.

Step 4: Present the RIDP Vision, Objectives, and Principles Poster (See Annex 2 below). Be sure to provide space for people to ask questions and answer as best as you can. Ask someone from the DPC to repeat the vision and objectives in their own words. This way the participants engage with the materials you are presenting. Allow 15 minutes for question and answers (putting questions aside that relate to topics you will cover below).

Step 5: Share the Infrastructure and Services Menu, noting that these are examples, not the entire list; be sure to present the negative list so that the DPC members are clear on what is not allowed (see Annex 2 for Negative List). Allow 15 minutes for Questions and Answers.

Step 6: Share the Roles and Responsibilities of

- Government of Uzbekistan (Ministry of Economy and Industry, Regional Hakimiyat, District Hakimiyat), Unified Customer Services Single Engineering Company
- Mahalla Citizens' Assembly
- Mahalla Development Unit (to be elected by the community)
- Citizens
- Facilitating Partners (Community Facilitator and Engineers)

Step 7: Share the POM outline: be sure to focus on how the POM is organized so that participants obtain an idea that the POM provides the rules of the program and where they can find information as needed. You will not have time to review the document in its entirety, but you can assist the

group to know how to find the answer they seek. Be sure to refer to annexes for ESS, Procurement, and Financial Management. Allow 15 minutes for Questions and Answers.

Step 8: Share the Social Manual: be sure to focus on how the Social Manual is organized so that participants obtain an idea that the SM is how to do implement the various social processes at the community level. Allow 15 minutes for questions and answers.

Step 9: Now that the DPC members have an overall sense of the RIDP, introduce the Village Selection Criteria

1. Villages in which the state program "OBOD Qishloq" or "OBOD Markaz" is carried out will not be financed within RIDP;
2. Remoteness from the district center; Remoteness can vary depending on the regions and landscape (mountainous area, etc.) and/or accessibility (roads, etc.), climatic conditions (natural hazards etc.).
3. Villages with a relatively high percentage of households that do not have uninterrupted and reliable tap drinking water (compared to other villages in the district that have no state program and are remote)

Share the Village Selection Criteria Forms (3.1 and 3.2) and set another date and time to work with the DPC on village selection in their district. In the meantime, ask them to conduct a meeting on their own to select the villages based on the criteria that you provided.

Visit 2: To select the villages that will participate in the RIDP

For this meeting, be sure to invite the DPC and Khokim

Meet with the DPC and ask one person to explain to you

1. In this district, what percentage of communities do not have "OBOD Qishloq" or "OBOD Markaz. If this percentage is less than 25 percent, then all villages that do not receive "OBOD Qishloq" or "OBOD Markaz can be included
2. If more than 25 percent of villages do not have "OBOD Qishloq" or "OBOD Markaz then review the DPC selection by remoteness using the district map. Review the criteria list. If the selection is clear cut with some of the villages that do not receive "OBOD Qishloq" or "OBOD Markaz being remote than complete the point scoring for remoteness and those villages that have most points will be selected; however, if more than 25 percent of villages are remote, then the next filter 'drinking water' will apply
3. If this filter has to be applied to village selection, you must note down the number of villages that need to be visited in the district to determine the status of water supply and to consider if they qualify for the program.

Note: In some districts you will be able to conclude village selection at this stage; whilst in some districts you may have to visit certain communities to determine the drinking water supply of the residents. In this case you will agree with DPC when you will complete this work and convene another meeting to share your findings.

Visit 3: to finalize the village selection for RIDP

Meet with DPC and share your findings from field visits to communities to finalize the village selection list. Make a presentation and share what you found (using the point system for the drinking water) and propose the villages that could possibly qualify on the basis of drinking water need.

Be sure that the Khokim is present in this meeting and that the DPC signs off the village list to be covered under RIDP. Protocol of this meeting (Form 3.1) will be issued by DPCas well as the list of participating villages should be sent to PIU management leadership for review to confirm that the selection process has been followed according to the POM.

Note: It is important to be sure that the process for village selection is followed so that any entity (villagers, MCA, PIU, etc.) that inquires review the selection and arrive at the same conclusion as the DPC.

Visit 3: Share the Village Selection with all MCAs in the District.

Ask the DPC to organize a meeting that includes all MCA Chairs from all villages in the District. (If the Chairs cannot attend, be sure to ask for the MCA Deputies or Secretaries to come in their stead). MCA members from Qishloks that are not selected should also be in this meeting.

Once the meeting has convened (the Chief Trainer should have a list of all Qishloks by name and should note which Qishloks are represented and which not. This data will be uploaded in the MIS. Those that are not present will have to be contacted later and the village selection should be shared with them), the DPC and Chief Trainer should present and explain the number of Qishloks that will be financed under RIDP in Year 1 and in subsequent years. The selection process, including the criteria, should be shared (Form 3.2). If one or more Qishloks are changed, there has to be a reasonable justification and this should be captured in the DPC protocol.

Annex 2: Community Outreach and Initial Mobilization Session

An Introduction to the Rural Infrastructure Development Program

Qishloq Facilitators (and Engineers): Visit 1, Session 1

The Objective of the Visit: Inform the community about the Rural Infrastructure Development Program. This includes the Vision, Objective, Principles as well as the Infrastructure Menu, the Roles and Responsibilities of Key Actors, and discuss why Inclusion and Participation of all Community residents is important.

Preparation for the Session

Contact the MCA Chairperson and set a date and time for a community wide meeting. Tell him/her that you will need 50 percent of each neighborhood household represented in this meeting and that it is about informing the community about the Rural Infrastructure Development Program and answering any questions that people have. Remind them that this meeting will take roughly 3 hours. Ask the Chairperson to identify a suitable outdoor place where a larger number of people can sit.

For this exercise, the facilitating team should consist of at least 2 members. The facilitating team should decide who will be the main facilitator (introducing the organization, their work and what is planned for the day and running the session), and the helper, the person who will help with writing cards, taking notes, facilitate groups, handle gate-keepers and children, etc.

The materials required for this session are various pre-written posters (see content of the posters below) about the RIDP

- Vision, Objective, and Principles of RIDP
- Infrastructure and Services Menu
- Roles and Responsibilities of
 - Government of Uzbekistan (Ministry of Economy and Industry, Regional Hakimiyat, District Hakimiyat), Unified Customer Services Single Engineering Company
 - Mahalla Citizens' Assembly
 - Mahalla Development Unit (to be elected by the community)
 - Citizens
 - Facilitating Partners (Community Facilitator and Engineers)

Activity 1:

Step 1: Introduce yourself and your team and share the objective of the session: *To Inform the community about the Rural Infrastructure Development Program. This includes the Vision, Objective, Principles as well as the Infrastructure Menu, the Roles and Responsibilities of Key*

Actors, and to have a discussion why Inclusion and Participation of all Community residents is important.

Step 2: Ask the participants to organize themselves into their respective neighborhoods. Give the participants some time to organize and ask someone from each neighborhood to give you a count of the number of households that are present.

Note 1: Be sure to complete form 3.3 (b) as to how many households from each neighborhood are present and ask the MCA Chair or Secretary to sign the form. Also be sure to take photos of the session and submit these to MIS.

Note 2: Be sure that all neighborhoods are represented with a sufficient number of households being present; ideally 50 percent of all households from each neighborhood attend this session. If there is less than 25 percent, you should reschedule the session and ask when would be a good time for all people, including those that sell labor to attend such a meeting.

Step 3: Once all the participants are settled and comfortably seated, present the RIDP Vision, Objectives, and Principles Poster with the Community. Be sure to provide space for people to ask questions and answer as best as you can. Ask someone from the community to repeat the vision and objectives in their own words; and ask all people why the principles you have outlined are important. This way the participants engage with the materials you are presenting.

Note 3: If there is a question that you do not know the answer to, say so, but also tell people that you will find the answer and provide it in your next visit.

Outreach Session, Poster 1:

Rural Infrastructure Development Program: Vision, Objective, and Principles

Vision: The RIDP will contribute to the development of villages, improve the relationship between the Government and its people, strengthen citizens' participation in the development process, and reduce poverty by providing basic services.

Objective: The RIDP aims to provide basic infrastructure and services in selected rural communities and engage communities in development planning and monitoring of services provision.

Fund Allocation: RIDP allocates at an average of USD 124 per person in each participating community (the amount may change once the population in the selected villages is determined).

Principles:

1. Citizens and the Government of Uzbekistan will work together as partners for development
2. MCAs and MDUs will guide and oversee development in their communities, and account for the allocation and use of all external resources to the people whom they represent and to government and donors
3. Equitable and fair resources allocation and services delivery must be ensured and elite capture (locating resources or allocating funds for the benefit of a few) must be avoided
4. Social responsibility and integrity will be rewarded and fraud and misuse of funds must be avoided and can lead to losing funding from Government
5. Development processes in communities will be participatory, inclusive, learning and

Step 4 Present the Infrastructure and Services Poster, as well as the Negative List Poster. Allow for questions and provide answers.

Note 4: These posters will remain in the Community and should to be posted on the Public Notices Board (this may be outside of the MCA office.

Outreach Session, Poster 2:

**Rural Infrastructure Development Program:
Infrastructure and Services Menu**

Eligible investments in basic and climate-resilient infrastructure and services subprojects include, but are not limited to:

- (i) rehabilitation of existing rural drinking water supply and sanitation systems to expand access through innovative, alternative models for rural drinking water supply and sanitation service delivery;
- (ii) retrofitting of public buildings for energy efficiency;
- (iii) rehabilitation of social infrastructure;
- (iv) rehabilitation of tertiary roads, walkways, and footpaths;
- (v) road drainage and strengthening the flood resilience of rural roads;
- (vi) bridge rehabilitation and construction (up to 10 meters long);
- (vii) street lighting upgrading;
- (viii) improvements to public spaces;
- (ix) solid waste management systems;
- (x) small-scale construction of public facilities;
- (xi) installation of antennas to provide wireless internet services;
- (xii) construction and rehabilitation of bus terminals and stops; and
- (xiii) energy supply activities.

Outreach Session, Poster 3:

Rural Infrastructure Development Program: Negative List

- Require permanent physical relocation or displacement;
- Will cause negative impact on income/livelihood resources;
- Involve any kind of forceful evictions of people;
- Negatively impact assets of individual(s) or household(s);
- Do not meet the required technical and quality specifications;
- Have negative environmental or social impacts that are irreversible, create cumulative impacts and/or cannot be adequately mitigated;
- Exclude the poor/marginalized population or otherwise vulnerable groups;
- Do not provide equal pay for equal work for women and men;
- Are financed, or scheduled to be financed, by the government or other development partners;
- Include the payment of compensation for land or asset loss from the proceeds of the World Bank financing;
- Finance the construction of any new dams or the rehabilitation of existing dams including structural and or operational changes;
- Finance private goods, government offices or religious buildings;
- Involve activities that use forced /child labor Involve activities that cause or lead to child abuse, child labor exploitation or human trafficking; No child under the age of 18 should work on the construction, rehabilitation or maintenance of a sub-project;
- Entail the purchase or use of drugs, military equipment or other potentially dangerous materials and equipment, including chain saws, pesticides; insecticides; herbicides; asbestos (including asbestos- containing materials); or other investments detrimental livelihoods including cultural resources;
- Involve development of new settlements or expansion of existing settlements in critical habitats, protected areas or areas proposed for certain levels of national protection (e.g., reserved forests).

Activity 2: RIDP's Focus on Inclusion and Poverty Reduction

Step 1: Ask the participants from each neighborhood to sit in a circle, provide markers and poster paper and ask them to discuss how poor, disabled, old people, youth and economic migrants experience services gap differently than people that have sufficient income. Let the groups work for 15 minutes on their own (be available however to explain things further, if there are questions). Ask them to write the key points on poster paper.

Step 2: When the time is up, ask someone from each neighborhood to come up to the front and present the main points of their discussion. After the 1st group has shared their points, the next groups should only state the points that have not yet been made.

Activity 3: Roles and Responsibilities of Key Actors

The Rural Infrastructure Development Program in Practice involves many different actors from Government, Communities, Engineering and Construction Companies and Facilitating Partners, each ministry / department/ actor has roles and responsibilities and if performed well, the work will enable for the RIDP to be delivered to communities equitably, transparently, with quality and in a timely manner. Present the Posters below

Outreach Session, Poster 4:

Rural Infrastructure Development Program: Roles and Responsibilities of the Government

Roles and Responsibilities of Government (Ministry of Economy and Industry)

- Provide financial resources and monitor their use
- Provide technical support to MCAs and MDUs
- Encourage and ensure consultation and participation in meetings and development activities by the poorest households (women who are heads of their households, families headed by disabled persons, and other vulnerable groups)
- Fund, oversee, and hold Facilitating Partners accountable to deliver quality work (not applicable in Jizzkah and Syrdarya regions)
- Oversee, guide, and monitor their staff in the regions and districts
- Provide policy input to improve RIDP program implementation
- Be responsive to the identified needs of MCAs and MDUs
- Identify best practices and organize learning sessions amongst Government and FP staff (at various levels) so that things that work well can be mainstreamed

Outreach Session, Poster 5:

Rural Infrastructure Development Program: Roles and Responsibilities of DPCs

- Conduct outreach and communicate the RIDP Objectives and Rules, including the Qishlok Selection Criteria, Eligible Investments, required participatory processes, and implementation timeline to MCAs
- Select Qishloks for participation in RIDP based on the process and selection criteria detailed in the POM
- Work with MDUs to review subprojects proposed for RIDP financing in Qishloq Development Plans (QDPs) to confirm operations and maintenance (O&M) arrangements and that subprojects do not duplicate other investments;
- Submit the list of selected subprojects to regional hokimiyats for SCS to carry out subproject design;
- Facilitate the handover in coordination with regional Khokimiyats of Project-financed infrastructure to relevant line departments for routine O&M

Outreach Session, Poster 6:

Rural Infrastructure Development Program: Roles and Responsibilities of the Elected Representatives and the People

Roles and Responsibilities of Mahalla Citizens' Assemblies

- Represent the development needs of their communities to the outside world
- Report to District Hakimiyats on the RIDP sub-projects
- Have a good understanding of the RIDP program and help community members to understand the program
- Handover completed infrastructure to the relevant Ministry or Department

Roles and Responsibilities of Mahalla Development Units

- Ensure inclusive consultations in the Qishloq Development Plan (QDP) process, with all neighborhoods, vulnerable people, etc.
- Ensure implementation of the QDP
- Facilitate inclusive meetings following QDP
- Understand the community analysis and QDP
- Oversee sub-project implementation to ensure good quality construction
- Monitor sub-projects
 - Timing
 - Construction materials, good workmanship, fair labor practices
 - Health and safety
 - Monitor and report on ESS compliance
- Monitor social implementation process
- Generate demand for key services (e.g. health)
- Mobilize people to contribute to development initiatives without external resources
- Participate in the Social audit
- Certify completion in terms of community expectations from the participatory process
- Monitor O&M compliance by the ministries or other actors and when appropriate, provide community O&M
- Raise funds and fund MDU activities
- Facilitate campaigns (e.g. clean up, education support for poor children)
- Be a member of the tendering committee
- Write minutes of weekly or bi-monthly meeting with main points

Roles and Responsibilities of the Mahalla Development Unit Youth (men and women) Sub-committees

- To provide the development perspectives of young men and young men in the community and to ensure that the views of youth are included in the development plans
- To assist self-help groups to plan their activities and mobilize resources if needed
- To assist the MDU to carry out their tasks
- To ensure that young people (men and women) are consulted and included

Outreach Session, Poster 7:

Rural Infrastructure Development Program: Roles and Responsibilities of Citizens

Roles and Responsibilities of Citizens

- Vote in the MDU elections
- Actively participate in the development process by taking part in the analysis, discussions and planning sessions conducted by QFs and MDUs
- Ensure that children attend school and all family members avail themselves of basic health services (e.g. vaccinations)
- Volunteer and contribute by using existing skills, talent and knowledge to contribute to externally funded activities and to design and implement development initiatives without external resources (e.g. assisting children and adolescents from poorer families to do well in school through tutoring and mentoring)
- Monitor MDUs (for fair and equitable resources allocation and inclusion of women and vulnerable groups)
- Support the disabled, weak, and marginalized to achieve a better quality of life

Outreach Session, Poster 8:

Rural Infrastructure Development Program: Roles and Responsibilities of the Community Facilitators and Engineers

Roles and Responsibilities of Qishloq Facilitators (FPs and GoU)

- Raise awareness of the Rural Infrastructure Development Program
- Facilitate Fair Elections
- Facilitate participatory exercises to feed into planning and support MDUs in creating participatory and pro-poor and inclusive Qishloq Development Plans
- Encourage and ensure consultation and participation in meetings and development activities by the poorest households (women who are heads of their households, families headed by disabled or elderly persons, and other vulnerable groups)
- Support MDUs to perform their roles
- Assess training needs of the MCAs and MDUs in mid-stream implementation and adjust refresher trainings
- Build capacity of MCAs and MDUs to perform their roles and responsibilities
- Facilitate pro-poor activities within the community
- Report misalignments in terms of RIDP implementation (corruption / collusion / theft / misbehavior)
- Follow ESMF guidelines

Roles and Responsibilities of Qishloq Engineers (FPs and PIU staff)

- Assist, support, and provide technical guidance to MDUs so that infrastructure projects outlined in the QDPs are appropriate, of high quality and lasting
- Conduct technical surveys
- Provide technical monitoring inputs during the construction/ rehabilitation work of infrastructure
- Report sub-project progress to MoEI
- Assist MDUs to create operation and maintenance plans and train them on these
- Assist and support MDUs in following environmental and social safeguards policies during planning and implementation of sub-projects
- Support MDUs in projects that are financed through internal village resources
- Support FP QFs in mapping, analysis, planning and other activities

Outreach Session, Poster 9:

**Rural Infrastructure Development Program:
Roles and Responsibilities of SCS**

Roles and Responsibilities of SCS

- Manage and provide technical support for the construction of facilities funded by centralized sources
- Render fair and transparent procurement for these services
- Procure the design and work contractors for sub-projects identified in the Qishloq Development Plan
- Ensure fair labor practices
- Ensure the construction of good quality sub-projects

Activity 4: Closing

After having answered all questions (or noted those that you cannot answer), you can close this session, thanking people for coming and letting them know that you will return in about 1 week and which day and time would be best. For the next session, you will work with them to create a Public Resources Map and it is important that at least half of households from each neighborhood are present. Be sure that you get agreement and take into consideration the work season (are daily wage workers busy in the field and what would suit them).

Activity 5: Understanding the Community: Reviewing the MCA Passport and Collecting Key Data

Step 1: Ask the MCA Chair and Secretary to take you to their office and show you the MCA passport. The data is posted on huge boards in their office. Spend some time going through everything with the MCA Chair and Secretary and find out about the community as much as possible by asking questions. Ask how the data is collected and take note of this (this will help you and the PIU understand how accurate or inaccurate the data might be).

Step 2: Now using Form 3.4 review the data that you need to collect from the MCA passport and note these in your notebook. This will feed into Form 3.4 which you will need to complete and submit to the PIU. Please note, however, that you first have to verify the information (see below) and this will be the first task of the newly elected MDU.

Step 3: Thank the Mahalla Citizens' Assembly Chair and Secretary (or any other staff who helped you) for their support and time.

Annex 3: Public Resources Map

(3 hours)

Qishloq Facilitators and Qishloq Engineers: Visit 2

The Objective of the Visit: a) Create a Public Resources Map that indicates all Public Resources and Facilities (mosques, madrassahs, schools, health facilities, roads, irrigation systems (canals), drinking water networks and pumps, electricity lines, etc.) and Actors (NGOs, Government programs, MCA members) and b) summarize the main findings of the Public Resources Map

(Note: do not map any privately-owned goods)

Activity 1: Create a Resources Map (150-180 minutes)

1. Preparations for the Community Public Resources Map

Contact the MCA Chairperson and remind him of the meeting time and date that you made during your last session in the community. Remind them that this meeting, in which you will make a map to indicate all the resources that are in the community, will take roughly 3 hours. Ask the Chairperson to identify a suitable outdoor place for the mapping process. This exercise requires a large space (best to do this outside, if it is not raining). It would be good to ask, if any other organization has ever created a map of the community, and if so, to request a copy. See what is on this map and what may need to be added and also check when the map was made to see if it is outdated. If there is a map, be sure to use it when creating the big map with the community.

For this exercise, the facilitating team should consist of at least 3 members, and more may be needed depending on the number of neighborhoods within the village. The facilitating team should decide who will be the main facilitator (introducing the organization, their work and what is planned for the day), who will help with writing cards, taking notes, facilitate groups, handle gate-keepers and children, etc.

The materials required for this exercise are white powder, idea cards and plenty of markers. On the day of the exercise, the facilitators should arrive early. Ask the participants who are early to assist you in preparing the place – seating arrangements, clearing any leaves or debris from the floor, etc.

2. The Facilitation Process of the Resources Map

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community

3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. For the Public Resources Mapping session you will need representation from all neighborhoods. Do not begin this session unless a considerable number of people from all neighborhoods are there. If they are not, ask people to go to the respective neighborhood to ask people to join
7. Do not accept food or drink in the community; kindly explain that this is against the rules
8. Always be respectful and treat all people as though they are **your** family;
9. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
10. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
11. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
12. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

Once most (if not all) participants have arrived, the main facilitator

- greets all the participants, introduce him/herself and his/ her team, and provide space for the participants to introduce their neighborhood to the facilitators: ask people to organize themselves by neighborhood and ask one person from each neighborhood group to summarize who is there: “we are from neighborhood X and there are XX people here to represent neighborhood X.
(Note: Be sure to take photos of the mapping process; you will need these to illustrate to the Government that the session was properly conducted)
- the main facilitator then explains **the objective of the session:**

“the purpose is to create a map of the physical and human resources within the village”.

A copy of the map should be provided to the new chairman of the MDU (who will be elected shortly), after the work has been processed. It is important to be very clear in the beginning the facilitators are not here to provide relief or hands-out, but that the findings of this exercise will help the Government to better structure its activities and development process of RIDP

- the participants are then asked to group themselves based on the neighborhoods in the village and form groups that will later on work independently on various sections of the

map (be sure to ask participants who join during the mapping to work with residents from their neighborhood)

- once the participants are organized, the facilitator asks some of the participants to volunteer and use chalk powder to draw an outline of the village on the ground (use sticks of chalk if indoors) and put the main roads, rivers, and the various sub-units, i.e. neighborhoods. The size of this outline should be 10X10 meters, so that there is plenty of space of all participants to work in the map and map their respective localities;
- once the outline has been drawn and key landmarks have been identified, so that people can orient themselves, the main facilitator should ask the participants if they agree with the outline, physical features, and neighborhood boundaries that have been indicated;
- after everyone is in agreement, the groups, consisting of the elected council members each representing their respective neighborhoods and anywhere from 10-30 ordinary people from each neighborhood begin to work together to put all public resources of their neighborhoods onto this map;
- Initially, each group brainstorms what resources are in their respective hamlets: mosques, the main road, big pathways, schools and health facilities (if any), water sources, electricity, culverts, markets (if any), and NGO presence (or former NGO presence), existing informal groups (gashtak), and so on and write these on idea cards (one point per card)
- These physical resources and development organizations are then placed on the large map on the floor for which the boundaries have already been drawn. They should be placed in the appropriate location, so that the map is accurate.
- For schools and health facilities, be sure to ask if neighboring communities have these facilities and if anyone in this communities uses them. Indicate these on the map (outside the village boundary and indicate the distance in km;
- Identify areas that are vulnerable to flooding;
- Finally, ask each group to spend a moment and discuss how many households reside in their neighborhood (be sure to define household: a group of people who share a common cooking pot and remind them of the difference between a compound and a household). Ask each group to write the number of households on a card and put it on the floor in the correct place of the map (be sure to review the number of households from the MCA passport and note any differences between what the community reports).
- once all the resources have been placed and the number of households have been noted on the map, all participants return back to their seats and neighborhood by neighborhood, one person from each neighborhood steps into the map of their own neighborhood and reads each card to all participants and makes sure that all agree with the physical resources, their location on the map, and the number of households that have been put.
- each group is asked to brainstorm and put each current elected MCA members in the proper location. **Note: once the MDU is elected, the new MDU members and MDU office bearer should be added in the resources map in a different color so that they can be distinguished.**
- It is also possible that various neighborhoods disagree about the location of key resources. In this case, the main facilitator should try to explore the reasons for the disagreement and find a way to obtain consensus;

Finally, thank the participants for the contribution today and remind them that a copy of this map will be provided to the MDU later on.

Note: the engineer should have been making a copy of the map on the ground in his notebook, so that when in the office later a large poster map can be created.

Activity 2: Plan your next meeting with the community (10 minutes)

At the end of the mapping process, inform the group present that your team would like to return and meet once more with a large number of people from the community, representing all neighborhood to hold the pre-election meeting for the MDU. Arrange a day that suits people and ask existing public authorities (MCA members) and ordinary residents to attend and to ensure good representation of each neighborhood.

In the Office (the next few days)

Activity 3: Process and Analyze the Information

Upon return to the office, you should use the copy of the map that has been made by one of the team members and create 2 large poster maps that each include a legend. It is important to be logical and consistent in terms of the symbols being used for the legend, so that the reader can easily understand each symbol and interpret the map. Finally, you should note the date the map was created and the names of the team members onto the map, so that those using the map can contact them should any questions arise.

Once the map has been created, look for trends. Community Facilitators should ask the following questions and discuss the answers. This will help to gain an understanding of the community and the challenges ahead (in the election or other processes):

- What do the physical and human resources patterns that have been mapped tell about the allocation of resources in the community?
- Does it indicate concentration of resources? If so, why do you think resources are concentrated: powerful persons have captured resources in their areas of residence? The community had limited funds and could not cover all areas of the community?
- Which areas in the community have water/ school/ roads / etc. and which do not?
- Once you know the community better, you will be able to see if lack of public resources is related to poverty.

These questions will undoubtedly point to patterns that indicate certain dynamics that you need to be aware of. If there is elite capture or marginalization, the map will illustrate this clearly. QFs should be aware of this and try to ensure that in the future these areas are not left out.

Things to Consider

- Through this mapping process you can tell about the dynamics between MCA and their community; did the chairman and certain members dominate the process and influence the drawing of boundaries or the placement of resources? Take note of who dominates and who supports whom, but to try to involve all participants in the process. Dividing people into groups to let them work on their neighborhoods is a key method to ensure participation from each neighborhood;

- Don't be too concerned with accuracy of main boundaries, a part of the mapping that can be difficult, but focus more on the accuracy of the physical and human resources that have been put;
- it is important to consider this map 'a working document' that needs to be verified by physically visiting each constituency and discussing its content with local residents to ensure to make any changes, if needed.

Be sure to give the resources map to the new MDU Secretary (once elected). When the map is presented, its potential uses should be discussed:

- a) a reference for the Community Development Process
- b) identify community areas/ neighborhoods/ pockets that lack key resources
- c) a reference for outsiders (NGOs, government agencies, private sector actors) so that MCA and MDU Chairpersons/ or other members can explain the lay out of the community and the resources they have and those that they don't have, but that are needed.
- d) plan for locations of election booth (easily accessible, public places for the voting table to be situated)
- e) a tool to lobby development actors (public, government or private) for additional resources

Both FPs, Qishloq Facilitators and Qishloq Engineers should make full use of this map and all other work that follows.

Annex 4: Public Resources Map Sharing and MCA Passport Follow up

(3 hours)

Qishloq Facilitators and Qishloq Engineers: Visit 3 (2 hours in a community meeting) (1 -2 hours with MCA)

The Objective of the Visit: a) Share the Public Resources Map with the Community and b) follow up on the MCA Passport

Preparations for the Visit:

Contact the MCA Chairperson and remind him of the meeting time and date that you made during your last session in the community. Remind them that in this meeting you will share the public resources map that you made with the community and obtain their feedback and verify that everything is correct. This community meeting will take 2 hours and people from all neighborhoods should be present. Ask the Chairperson if you will meet the community in the same place as before or another place. As with the map, the verification should have a large number of people from each neighborhood. Secondly, you will spend some time with the MCA Chairman and Secretary to review the MCA passport data in light of the resources map.

For this exercise, the facilitating team should consist of at least 2 members. The materials required for this work are the completed resources map. On the day of the exercise, the facilitators should arrive early. Ask the participants who are early to assist you in preparing the place – seating arrangements.

Activity 1: Share the Resources Map with the Community

After your greeting and thanking everyone for coming, ask the participants to organize themselves into their neighborhoods. Put the resources map poster on a wall and explain the legend of the map to the larger group and ask each neighborhood one by one to send one person to the map to present to the others what has been mapped. Take a pencil and add anything that has been missed or make any other changes that people propose. Be sure to get agreement from the larger group (from the neighborhood). Once you have completed each neighborhood, thank the larger group and let them know that the final copy of the map will be given to the MCA Secretary and will be kept in that office should anyone wish to see it.

Activity 2: Complete Resources Map Sections on Form 3.9

Using the Public Resources Map, complete the relevant sections of Form 3.9 (B.1, B.2, B.3, B.4, B.5, B.6, B.7).

Activity 3: Schedule the next meeting

Now ask the larger group with residents from all neighborhoods present and ask them when would be a good day and time to hold the pre-election meeting. Be sure to ask if all people (farmers, laborers, women with children) can attend both of the meetings. The date should be noted on the public notice board outside the MCA office.

Activity 4:

Visit the MCA office and meet with the MCA Chair and Secretary and review the MCA passport data that you collected and make sure that it matches the data reflected on the map: most importantly the # of neighborhoods and the # of households. If there is significant variation, you will need to identify the reasons and perhaps transect walk each street in each neighborhood to obtain a proper count.

Activity 5:

After all the data on the study of the MCA passport and the collected other data on the population of the village are ready, QFs should prepare a poster, given below, where the amount allocated for this village is reported. And on the next visit, it will be necessary to hang this poster in a conspicuous place accessible to the population of the village where they can get acquainted with this information.

**Government of the Republic of Uzbekistan
Ministry of Economic Development and Poverty Reduction**

Rural Infrastructure Development Program

Objective

To provide basic infrastructure and services in selected rural communities and engage communities in development planning and monitoring of service provision.

Budget

Participating communities will be provided with UZS. 1,330, 136.00 per person. In **XX MCA** there are XX number of people and the total amount of money for infrastructural investment will be UZS XX.

Infrastructure and Services Menu

Eligible investments in basic and climate-resilient infrastructure and services sub-projects include, but are not limited to:

- (i) Rehabilitation of existing rural drinking water supply and sanitation systems to expand access through innovative, alternative models for rural drinking water supply and sanitation service delivery
- (ii) Retrofitting of public buildings for energy efficiency
- (iii) Rehabilitation of social infrastructure
- (iv) Rehabilitation of tertiary roads, walkways, and footpaths
- (v) Road drainage and strengthening the flood resilience of rural roads
- (vi) Bridge rehabilitation and construction (up to 10 meters long)
- (vii) Street lighting upgrades
- (viii) Improvements to public spaces
- (ix) Solid waste management systems
- (x) Small-scale construction of public facilities
- (xi) Installation of antennas to provide wireless internet services
- (xii) Construction and rehabilitation of bus stops and terminals
- (xiii) Energy supply activities

Annex 5: Pre-Election Meeting

(3 hours)

Qishloq Facilitators and Qishloq Engineers: Visit4

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that you meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

Preparation for the Pre-Election Meeting

This session requires considerable preparation. Be sure to prepare all poster beforehand (see below) and bring 20 printed copies of the Election Committee Roles and the Election Rules. You will also need a copy of the Public Resources Map.

Activity 1: Hold the Pre-Election Meeting (120 - 150 minutes)

Note: a minimum of 60% of each neighborhood's households should be present

- greet all the participants, introduce yourself and your team, and provides space for the participants to organize into their neighborhoods. Ask ask one person from each neighborhood group to summarize who is there: "we are from neighborhood X and we are xx number of people. (Be sure to note down the number of people present for each neighborhood and complete Form 3.3 (b) and have it signed by the MCA Chair).

- the main facilitator then **explains the objective of the session:**

“the purpose is to share the Mahalla Development Unit election process, including the election rules, establish an election committee and explain their roles and responsibilities, determine the location of voting booth in each neighborhood, and set a date and time for the MDU election”

- remind the participants of the resources map and share with them the basics: Community X has X number of households
- remind them of the Mahalla Development Unit that will be elected with members from each neighborhood so that everyone in the community has representation (for each 50 households per neighborhood there will be 1 male and 1 female MDU member and there will be 1 male youth (18-30 years) and 1 female youth (18-20 years) representative per neighborhood)
- put up Poster 1 below and ask someone from the community who was in the Outreach meeting to come up and read the roles and responsibilities of the Mahalla Development Unit
- allow some time for discussion of these roles and responsibilities

Pre-Election Session, Poster 1:

Rural Infrastructure Development Program: Roles and Responsibilities of the Elected Representatives

Roles and Responsibilities of Mahalla Development Units

- Ensure inclusive consultations in the Qishloq Development Plan (QDP) process, with all neighborhoods, vulnerable people, etc.
- Facilitate inclusive meetings following QDP
- Understand the community analysis and QDP
- Oversee sub-project implementation to ensure good quality construction
- Monitor sub-projects
 - Timing
 - Construction materials
 - Good workmanship
 - Fair labor practices
 - Health and safety
 - Monitor and report on ESS compliance
- Monitor social implementation process
- Participate in Social audit
- Certify completion in terms of community expectations from the participatory process
- Monitor O&M compliance by the ministries or other actors and when appropriate, provide community O&M
- Raise funds and fund MDU activities
- Facilitate campaigns (e.g. clean up, education support for poor children)
- Be a member of the tendering committee

- discuss with the larger group to set a date and time for the voting to take place. Be sure to consider that daily agriculture workers can attend. You may have to have this meeting on a Friday or in the early evening. Once the date is agreed, write a large poster and put it in a public place (best to use the MCA office wall (outside).
- put up the Public Resources Map and ask people to sit in their neighborhood groups and discuss where the voting places should be located (they cannot be in private houses and should be in a relatively central place in each neighborhood. Once you agree, indicate the places with a symbol on the map.
- Explain to participants the voter eligibility criteria and remind them that any person who meets the criteria can vote in the MDU election (see Poster 2 below)

Pre-Election Session, Poster 2:

Uzbekistan Rural Infrastructure Development Program: Voter Eligibility and MDU Membership Criteria

Voter Eligibility

- Must be a citizen of Uzbekistan;
- Must be a minimum of 18 years of age;
- Must have continuous residence in the given community for a minimum of 1 year immediately prior to the time of MDU elections (with the exception of out-migrants for whom the continuous residence requirement is relaxed to a minimum of 3 months);
- Must have his/her primary residence in the community.

MDU Membership Criteria

- All criteria stated above for voter eligibility;
- Have sufficient time and willingness to work voluntarily as a MDU member;
- Must be willing to sign a commitment to fulfil the roles and responsibility of an MDU member
- Must hold no elected office at the provincial council or national assembly;
- Must be recognized within the community as someone who has good judgement and is honest, trustworthy, transparent and accountable in his/ her dealings;
- Must have leadership qualities
- Must be willing to work with any and all community members within neighborhood the election unit he/she will represent and other MDU members from other neighborhoods

- Engage people in the following exercises to break the routine of giving presentations: Ask each neighborhood group to take 15 minutes time and discuss 2 questions: 1) 'why it is important for all adults (those over 18 years old) to vote in this election'? and 2) 'what are

the most important activities that MDU members will perform'? Ask them to write the main points of their discussion on poster paper

- Ask 1 person from each neighborhood to present their poster
- Now, given the presentation on the most important tasks of an MDU member, brainstorm with the entire group about the qualities and characteristics that a MDU member should have to do their jobs well; write one card for each quality / characteristic and lay out all card in a sequence, cluster similar characteristics and ask someone from the larger group to read out the points that have been put (feel free to add if you think something has been missed)

Activity 2: Present the Election Rules (see Poster 2.1 and 2.2 below)

Pre-Election Session, Poster 3.1:

Rural Infrastructure Development Program:

Election Rules

- 1) Each neighborhood will have a minimum of 1 man and 1 woman as Election Committee member
- 2) For neighborhoods with up to 50 households, there will be one man and one woman MPC member. For neighborhoods with 51-100 households, there will be two men and two women (should we add more for neighborhoods with more households); and for each additional 50 households, 1 additional man and 1 additional woman will be elected
- 3) Election Committee should volunteer and cannot be elected as MDU members (because of conflict of interest)
- 4) Each household will be informed in writing ahead of time of the time and date of voting.
- 5) The roles and responsibilities of Mahalla Development Unit (MDU) will be posted in the community and presented at the pre-election meeting and copies will be provided to those that are elected
- 6) Each neighborhood will post a list of eligible voters/potential MDU members in a public place 2 days before the election. Election Committee members will be clearly marked as such so that people know they cannot vote for them
- 7) No campaigning or electioneering
- 8) Each voter will only vote in their own neighborhood
- 9) Voters can only vote for people who live in their own neighborhood
- 10) Voting booth will be open for 2 hours
- 11) Voting shall take place on a day that suits the community, including the poor or sell labor in daily wage work
- 12) There will be one ballot box for women MDU members and one ballot box for men MDU members in each neighborhood

Pre-Election Session, Poster 3.2:

Rural Infrastructure Development Program:

Election Rules (continued)

- 13) Each ballot box needs to be empty at beginning of the election and checked by an Election Committee member
- 14) Election Committee members at the ballot boxes will use the neighborhood voter list to tick off who has voted and obtain signatures of the voters next to their names
- 15) If a person is not on the voter list, his or her name can be added with proper identification.
- 16) Each voter will write his/her own ballot and put it in the box
- 17) Each voter shall receive stamped, blank voter ballots
- 18) Voters will write the full name of one person on the ballot (One name per ballot paper)
- 19) All completed ballots must go into the ballot box
- 20) 60% or more of all eligible voters in each neighborhood in the village must vote in order for the election to be valid
- 21) Election committee members and NGOs will count the votes and announce the results the same day of the elections
- 22) The election boxes with the completed ballot should be brought to a central place (the mosque, for example) and all counting of votes will take place there
- 23) If the person with the most votes declines the position, then the position goes to the person with next highest number of votes
- 24) If 2 people get equal number of votes for one position – and they both want the position – there is a run-off election immediately
- 25) After elections, winners will introduce themselves to community
- 26) If there is time when winners are announced, newly elected MDU members will elect a chair, vice chair and secretary through secret ballot
- 27) The chair and vice-chair must be comprised of a man and a woman, and the secretary can be either a man or a woman
- 28) MDU members will be elected for the RIDP period

Activity 2: Create the Election Committee

- Now that you have laid out the roles of the MDU, voter eligibility, MDU membership criteria and the election rules, you will need to form an Election Committee
- Now present the Roles and Responsibilities of the Election Committee so that when people volunteer, they know what they are volunteering to do

Pre-Election Session, Poster 4

Rural Infrastructure Development Program:

Roles and Responsibilities of Election Committee Members

- 1) Make the list of eligible voters from their neighborhood, based on household list provided by the MCA and post it in public places in their respective neighborhoods
 - 2) Post the election date and hours next to the eligible voting list
 - 3) Ensure the location of the ballot boxes is in accessible, public places
 - 4) Stop/prevent campaigning or electioneering
 - 5) Be present at the ballot box in their neighborhoods on the day of the elections and explain the process to community members
 - 6) Know and communicate how many men and women people in their neighborhood can vote for
 - 7) Demonstrate that the ballot boxes are empty before voting begins
 - 8) Use neighborhood voting list to confirm the eligibility of each voter
 - 9) Make sure people who vote initial their name
 - 10) Refer voters not in the neighborhood list to other neighborhoods to cast their vote
 - 11) Organize people into voter lines
 - 12) Ensure and maintain secrets ballot elections
 - 13) Ensure the voting time is maintained
 - 14) Transport the ballot boxes (with completed votes) to a central, agreed place immediately after voting is finished and sort and count the votes with the NGO when the voting time ends
 - 15) Verify that at least of 60% of eligible voters in each neighborhood participated in order for the election to be valid. If less than 60% of eligible voters voted, the election has to be re-organized.
 - 16) If 2 people get equal votes, put together an immediate run-off election
 - 17) After MDU members have been elected, conduct the secret ballot election with the newly elected MPC for the Chair, Vice Chair and Secretary
 - 18) Write the results of the election using a template (see Form 3.7)
- Allow for people to ask questions and provide the answers; if you do not know the answer to a question, note it down and tell that you will answer it next time you visit. Be sure to contact the PIU and ask the questions.
 - Now ask for 2 volunteers from each neighborhood (1 man and 1 woman) to serve as Election Committee members. These are persons who are literate, will not vote in the election, and will be diligent to ensure a fair and transparent process. There should be 2 persons per neighborhood. This way each man and each woman can be responsible for the voting stations in each neighborhood.
 - Note down their names and neighborhood.

Thank everyone for attending the meeting, ask them which day and time would be the best day to have the election (reminding them that at least 60 percent of all adults have to vote, so that the election is valid); be sure to agree with the group on a day and time.

Activity 3: Meet with the Election Committee Members (if there is no time for this, you may to have return on another day to have this meeting).

- Present the Roles and Responsibilities Poster to the Election Committee Members once more (be sure to provide them with a printed paper copy so they can review it at home)
- Allow 10 minutes for Questions and Answers
- Give 20 minutes time and ask the Election Committee members to plan and list down all the items they need and activities they have to do to prepare for the election
- Ask them to present their work plan and provide support as needed (their work plan should dissemination, putting the public posters, going door to door to remind people, etc.)
- Ask the election committee members to select one leader that will be your contact point. Be sure to provide your phone number and ask for his /hers. Let this person know that they can call you if they have questions.

Activity 4: Closing

- Thank the Election Committee Members and let them know that you will return at least one more time before the election to discuss any questions or issues they might have; be sure to set a date and time for this meeting. Be sure to ask the election committee members from each neighborhood to prepare a list of all eligible voters (Form 3.5) for their neighborhood and to strike out the names of those that have migrated out (to Russia or elsewhere outside or inside Uzbekistan).

Annex 6: MDU Pre-Election Meeting 2

(3 hours)

Qishloq Facilitators and Qishloq Engineers: Visit 5

The objective of the visit: To work with the Election Committee and finalize all preparations for the Election

Preparation for the Visit

Follow up and phone the MCA Chairperson and the key Election Committee member and remind him of the pre-election meeting time and date that you made during your last session in the community. Remind them that this meeting is crucial to ensure that all preparations are in place.

Be sure to bring all election rule posters with you; as well as the ballot materials (see Form 3.6 for the ballot paper form).

Activity 1:

Review all election rule posters once more with the Election Committee and make space for them to ask questions and get clarifications

Activity 2:

Review the public resources map and ask the two election committee members from each neighborhood to take note of the location of the ballot boxes

Activity 3:

Ask the 2 election committee members from each neighborhood to review their voter lists and be sure that all voters who have migrated out have been noted and are not counted as eligible voters in this election. This will be important because for the election to be valid, you will need 60 percent of eligible voters to have voted. The 60 percent should be calculated on the basis of those voters that currently reside in the community.

Thank the election committee members and ask them to meet you 2 hours ahead of the scheduled elections, so that they can set up their tables where voting will take place, to make sure they have all needed materials (pens, ballots, voter lists, etc.).

Annex 7: MDU Elections and MDU Office Bearer Elections

(6 hours)

Qishloq Facilitators and Qishloq Engineers: Visit6

The objective of the visit: To conduct the MDU election and conduct the Office Bearer Election

Preparation for the Visit

Follow up and phone the MCA Chairperson and the key Election Committee member and remind him of the election meeting time and date that you made during your last session in the community. Remind them that this meeting, in which the election will take place is crucial and that at least 60% of the all persons over 18 from each neighborhood must vote for the election to be valid.

For the election, the facilitating team should consist of at least 4 members, and more may be needed depending on the number of neighborhoods within the village (coordinate with other QFs and Engineers in your district and make sure you have a sufficient number of people present for the election). The materials required for this exercise are:

- a sufficient number of ballots (use Form 3.6)
- a sufficient number of election boxes (depending on the number and size of neighborhoods)
- sufficient number of pens,
- the 'election rule poster',
- a copy of the completed social map with election units that you facilitated a few days ago,
- a list of eligible voters for each neighborhood
- the posters that outline the roles and responsibilities of the Office Bearers and regular members
- three ballot boxes for the office bearers (one for Chairman, one for Secretary and one for Deputy Chairman)
- idea cards and plenty of markers. On the day of the election, the facilitators should arrive early.

Activity 1: Hold the Election (6 hours)

- Meet with the Election Committee at least 2 hours before the time for the election
- Walk them through the main rules again (using the poster) and use the resources map to remind them of the location for the election boxes.
- Provide each team (1 man and 1 woman) from each neighborhood with their election boxes (1 for men, 1 for women, 1 for male youth and 1 for women youth) and sufficient ballot papers (Form 3.6) and ask them to set up the boxes in their areas, reminding them of the times that were agreed. ; make sure there are sufficient number of pens
- Divide yourself to be sure that staff is moving around and checking all voting stations in each neighborhood. Monitor each election box by moving between them every ½ hour.

If you observe irregularities or activities that are not allowed, be sure to raise these and set things on track (these may include a lack of privacy while people are voting; person who try to influence people to vote a certain way, etc.)

- Once the time is up and people have finished voting, the Election Committee members should take the boxes to a centrally agreed place (no private house) and the QFs and QEs should assist in counting and tallying the votes. The Election Committee members will declare the winners of the election in each neighborhood
- Now, invite the elected members to come to a meeting. In this meeting only elected members should attend, and the meeting should be MCA office, or any other suitable public space.

Activity 2: Brief the newly elected members on their Roles and Responsibilities, including those of the Office Bearers (90 minutes)

- With the use of posters that outline the roles and responsibilities, QFs and QEs lay out the Roles and Responsibilities of the Office Bearers, regular MDUs Members (and leave the posters behind), and the MDU Youth Sub-Committee (men and women)

Roles of MDU members are:

- Ensure inclusive consultations in the Qishloq Development Plan (QDP) process, with all neighborhoods, vulnerable people, etc.
- Facilitate inclusive meetings following QDP
- Understand the community analysis and QDP
- Oversee sub-project implementation to ensure good quality construction
- Monitor sub-projects
 - Timing
 - Construction materials
 - Good workmanship
 - Fair labor practices
 - Health and safety
 - Monitor and report on ESS compliance
- Monitor social implementation process
- Participate in Social audit
- Certify completion in terms of community expectations from the participatory process
- Monitor O&M compliance by the ministries or other actors and when appropriate, provide community O&M
- Raise funds and fund MDU activities
- Facilitate campaigns (e.g. clean up, education support for poor children)
- Be a member of the tendering commit

Roles of the Office Bearers are:

Chairperson:

1. To steer, guide, and support the MDU
2. To ensure periodic MDU meetings and equal participation of all MDU members
3. To ensure participation and inclusion of all neighborhoods and all marginalized and vulnerable people in the community (including widows, the disabled and old)

4. To coordinate the development activities of the community
5. To maintain and ensure that the MDUs follows the operating rules outlined for MDUs in the RIDP Operations Manual
6. To support the MCA Executive Committee to lobby for development resources from various actors (government, NGOs and private sector)
7. To oversee the communities' monitoring of government services and to apply the score card system
8. To act as a guardian of RIDP public resources and oppose and stop corruption should it arise
9. To participate in district and provincial workshops and to share the communities development activities

Deputy Chairperson:

1. The Deputy Chairperson should be a woman (unless the MDU chairperson is a woman)
2. To coordinate women's development activities in the community
3. To serve as the main contact for women of the community with outside development actors
4. To ensure participation and inclusion of all neighborhoods and all marginalized and vulnerable people in the community (including widows, the disabled and old)
5. To support the MDU Chairman in his role as a guardian of all public resources and oppose and stop corruption should it arise
6. To participate in district and provincial workshops and to share the communities development activities
7. To act as chairperson in his/her absence

Secretary:

7. To prepare the agenda for MDU meetings, take minutes of the meetings, and record the signatures of all MDU members who are present
8. To maintain a notice board accessible to all men and women (coordinate with Deputy Chairperson) that share important programs, rules, activities with the community
9. To disseminate financial and other information through other available means in the community
10. To maintain all participatory exercises in good condition and accessible to all
11. To prepare MDU correspondence

Roles of the Mahalla Development Unit Youth (men and women) Sub-committees are

- To provide the development perspectives of young men and young women in the community and to ensure that the views of youth are included in the development plans
- To consult with and include young people to plan their activities and mobilize resources if needed
- To assist the MDU to carry out their tasks
- To ensure that young people (men and women) are consulted and included

Activity 3: Hold the Office Bearer Election (the same day as the Member Election)

(((Note: It is absolutely vital that all Officer Bearers are elected through secret ballots on the same day of the general election of the MDU. This is to avoid pressuring of MDU members by powerful persons to elect certain people into key positions.)))

MDU members through secret ballot elections vote for the Office Bearers (30 minutes)

- begin the OB election process by electing the MDU Chairperson: ask all members to write the name of the person they want as MDU Chairperson on a paper, fold it, and put it in the election box
- repeat this for each office bearer position, noting that if the Chairperson is a man, the deputy Chairperson must be a woman, the Secretary can be either a man or a woman
- Only declare the outcome, once all Office Bearers have been elected
- When the election process is completed announce the new Office Bearers
- Thank the MDU members and ask the Chairman to organize a meeting (with at least 60% of the community present) in the next few days. Be sure to take the phone numbers of all MDU members and provide your phone number to the MDU office bearers, so that they can phone you, should a meeting need to be changed or they want to convey any information to you.

Activity 4: New MDU members introduce themselves to the Community (1 hour)

- Ask all newly elected MDU members (including the youth members) to come together and introduce themselves the community, to each other and to the social organizers and engineers
- Ask each MDU members (including the youth members) to say a bit about themselves: how long has their family lived in the community; what do they do for work; what will be their most important priority as a MDU member.
- Once the introductions are completed, thank the community for their participation today and especially thanks the MDU members and the youth sub-committee members for their willingness to volunteer to serve as elected representatives and that you look forward to working with them.
- Agree on a time and date when you will meet all MDU members (including the youth members) (and all should be present in your next meeting); also ask the MCA members to join this meeting. This will be a half day event where you will begin the capacity building process of the MCA/ MDU and Sub-Committee. Be sure to ask the MCA and MDU chair where this meeting should be held. Everyone should be able to sit in a circle and have discussions.

Activity 5: Complete the MDU Election Form 3.7 ask the newly election MDU members and Election Committee Members to sign and complete the MDU Registration Certificate. Submit all documents to the PIU.

Annex 8: MDU Capacity Building: Leadership Skills

Qishloq Facilitators and Qishloq Engineers: Visit 7

(4 hours)

The objective of the visit: Build capacity of MCA, MDU, and MDU sub-committee men and women in how to conduct meetings, share information in a transparent manner, and how to become effective leaders

Preparations for the Training:

If possible you will conduct the training together with men and women, if this is not possible the male QF will work with men and the female QF will work with women.

Be sure to bring idea cards, pens, poster papers, scissors, and tape

Welcome the participants, be sure that they are comfortably seated and

Activity 1: How to conduct meetings (1 hour 15 minutes)

Step 1: Ask the larger group to form 4 groups (2 women groups and 2 men groups).

- Ask one male and one female group to brainstorm and discuss how an ideal meeting should be conducted. Be sure to remind them about key issues attendance, seating arrangements, productivity of the meetings and behavior of each attendee. Ask them to come up with key rules and write these on poster paper (20 minutes)
- In parallel, ask the other male and female group to brainstorm and discuss how decisions should be made (the role of the chair and the roles of the members), and how they should be documented and followed up. Ask them to come up with key rules and write these on poster paper

Step 2: Ask each group to present their poster paper (15 minutes). Take note of any differences between the two groups with the same topic and make some space for discussion amongst the larger group. (Be sure to remind people about key practices for a good meeting: sitting in a large circle so that people can see each other, listening to each other, respecting each other, making space or encouraging people to speak that are more shy, making sure everyone is comfortable with decisions that are made and if needed to discuss further, that decisions and action points are documented and followed up in the next meeting, etc.)

Step 3: Ask the 2 women groups to form 1 group and ask the male groups to form 1 group and ask each group to discuss for 15 minutes how differently men and women behave in public meetings. Ask each to present their posters and take some time to discuss the differences? Now ask the women group what men can do to encourage women to speak out and voice their views and ask the men's group what they can do to encourage women to speak out and voice their views. Note the answers on poster paper.

Step 4: Ask the larger group which of the rules they would like to adopt and follow during their tenure in office. (15 minutes) Be sure that they are written down in a legible manner and leave a copy in the MCA office

Activity 2: How to share information in a transparent manner in the community

Step 1: Ask the same 4 groups to form again. Ask each group to consider the key points to conduct a large meeting in the community. (15 minutes) (if needed, remind them of the neighborhoods, peoples' different levels of understanding, different level of power within the community (some have power, some don't), to make complex information simple, allowing someone from the audience to repeat what has been said in their own words, the use of visuals, summarizing key messages, seating arrangements, timing of meetings to allow everyone to attend; respectfulness of all, etc. Be sure they discuss why this is important. Ask them to make a poster presentation of the key points discussed.

Step 2: ask each group to present their posters and make space for discussion. (20 minutes)

Step 3: ask the larger group to consider which points they want to make into rules during community meetings. (20 minutes). For example, all meetings in Qishlok X held by MCA / MDU / or Subcommittees will ensure that all neighborhoods are represented with sufficient numbers of people; that the timings to hold meetings are suitable to women with children and those that work in agriculture or construction, that important messages are transmitted through visuals, and that key messages are posted on the notice board; etc.

Activity 3: Effective leadership skills

Step 1: ask the participants to form the same four groups as before and to brainstorm and discuss: what is good leadership in the context of the community (if needed, help the group and give them so pointers for discussion: group decisions vs leader decisions, listening to and hearing others, accountability over decisions, being pro-poor, sharing progress around the construction of RIDP, participating in social audits, motivating the community, delegating tasks to others, being a positive role model, caring about the well-being of all people in the community). Allow 30 minutes

Step 2: ask the participants to share their presentations. Allow 15 minutes

Step 3: ask the participants in plenary to discuss what they agree to adopt (allow 15 minutes) and note these on poster paper.

Close the session thanking the participants. Be sure to make a copy of the posters and leave the originals with the MCA . Put the date and time on the posters and ask the MCA chair to keep these in the office so that they can be reviewed when needed.

Annex 9: Well-Being Analysis

Qishloq Facilitators and Qishloq Engineers: Visit8

(3 hours)

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

The objective of the visit: Engage men and women of the community in a Well-Being Analysis

Activity 1: Create a Well-Being Analysis with the Community (3 hours)

The Process of the Well-Being Analysis:

1. Preparations for the Well-Being Analysis:

The exercise requires at least 3-4 facilitators. To be well prepared, you should obtain the list of households from the MDU members from each neighborhood and write one card for each head

of household. In other words, in a community with 500 Households, you should have 500 cards with the names of each head of household. (Note: make sure you indicate on the card if a household is woman-headed). (Be sure to keep the MCA Chair in the loop as to what you are doing).

By now, you should know the community well enough to know which is a suitable place in which all residents are comfortable (a neutral place, e.g. not in front of an elites' house), including the poorest and most vulnerable. Ask the MDU Chair to ask the MDU members to invite 30 percent of all households from each neighborhood to attend this meeting. The more people that can attend the better.

On the day of the exercise, the facilitators should arrive early and bring cards and markers.

The facilitators will see how many people are available and see the representation from each neighborhood; if there is obvious under-representation, MDU members should be asked to call people to the meeting. If the community is small (less than 100 people) then a large percentage of households (60-80 percent) can be present; if the community is large – say 300+ households – then the percentage of households will be smaller. Most importantly, there must be at least 20-30 persons from each of the community's neighborhood! It is also important to make sure that the people from each of the neighborhoods represent a cross section of the various socio-economic groupings. The latter is to avoid that only rich and middle people are representing their section of the community.

2. Facilitation Process in the Community:

Step 1 – Introduction and Objective

The facilitators²

- greet all the participants, introduce yourself and your team and provide space for the community residents to introduce each other to the facilitators (this can be done by neighborhood with one person from each neighborhood introducing him/herself and stating how many people are present from their neighborhood (note down the numbers and complete Form 3.9 (b) and ask for the MCA chair to sign it);
- explain the objective of the session:

“the purpose is to understand the economic and social condition of the residents of the community”

It is important to be very clear in the beginning that the findings of this exercise will help MoEI to better structure its activities and development process; (and helps us understand this village in relation to others)

- based on the map, you already know the neighborhoods, now ask people to organize themselves into the various neighborhoods/ sections in their community. If a neighborhood is not represented then the MDU member from that neighborhood should bring more people to the meeting. Be sure that the MDU members and MDU youth sub-committee

²A Well-Being Analysis is a complicated exercise and requires 3-4 people. The facilitating team should decide who facilitates and who helps to organize the information, so that all participants can clearly see what is being constructed. There should be 1 facilitator to deal with gate-keepers and 1 to engage the children.

members join their neighborhoods and participate in the exercise. This will ensure greater accuracy of the analysis).

- ensure that everyone is comfortably seated and able to participate

Step 2 – Establishing Categories

The 'main' facilitator

- begins the session by asking the people present, the following question 'all of you live in this village and all of you have to engage in livelihood activities to earn income and provide for your families, right? The question is do all of you have the same resources and labor power available to engage in your livelihood activities? In other words, are we all the same in terms of how we live? how much land we own ?, how we farm?, how much livestock we own?, what we do for work ?, what we eat ?, how much food we have throughout the year? what we wear? education of our children? the assets we own, type of house, etc.'; This will provide people with an idea of what you are trying to get at and will enable them to brainstorm about the types of differences that exist between people / households.

Please note that you must ask about key areas (that will be asked in all communities), which can be used as indicators: size of landholding (leased in and / or owned), number livestock, income (UZS per months), education of children, take / give loans, advance wages, remittances (which area/ country and how much per year).

- provide the participants with pen and cards and ask them to write the differences – these differences are called characteristics – on idea cards. At this point it is possible to already ask people about patterns – what are the different sizes of landholdings, livestock owned, types of houses, and so on. After completion of this part of the exercise, ask people to group these characteristics – size of landholding, livestock owned, type of house, type of food consumed, education, and so on.
- Based on the grouping of the characteristics, ask people how many socio-economic groups there are in the community and ask them to label these. Most likely, people will come up with categories – better off, middle, poor, very poor. You may not wish to put the labels rich, middle, poor, as people may not be comfortable, but it is important to have clearly established categories that are distinguishable from one another – you can call the groupings: 1,2,3,4 for A, B, C, D
- To ensure that everyone agrees, ask someone to read back the characteristics in each of the categories and give people the opportunity to make changes

Step 3 – Establishing the Socio-Economic Groupings

- Now, use the name cards that you prepared (one card with the head of each household's name colored by neighborhood) and give the household name cards to the relevant cards to the MDU members from each neighborhood and ask people from the specific neighborhood to place this name in one of the categories. It is important that for each household (name card), people discuss why the card is being placed in a particular category, making sure that there is agreement between the people from the relevant neighborhood and double checking with all others. At least 60 percent of the criteria outlined have to apply before a person's card can be put in the category. This process is likely to lead to additional characteristics, e.g. landless, wage workers, etc. This process will lead to debates amongst the participants and the facilitators should allow this debate

to continue and lead to a constructive conclusion. During this process, it is likely that new categories /classes, e.g. lower middle, extreme poor, upper middle, emerge, as some of the households do not fit the categories/ classes that have been established. These should be added and the name cards that do not fit into rich, middle, or poor, should be placed into the new categories;

- Be sure to distinguish Dekhan Farmers from those that are not.
- At the end of the exercise, the facilitator should inquire of the participants, if they wish to add anything or make changes and thank the participants for being generous with their time and inputs;
- Finally, all cards are numbered and coded in such a way that the categories with the characteristics and names of households can be reconstructed in the office.

Cautionary Measures to Consider during the Session

- It is likely that there will be individuals, who are powerful in the community, that will try to dominate / interrupt / or even control the session ('gatekeepers'). Such individuals will then try to steer the discussion in such a way that members of their own kin clan, or their laborers, sharecroppers, etc. get access to the resources that projects are bringing and subsequently they will take the credit for this. It is important to 'deal' with such individuals by taking them aside and doing an exercise or an interview that taps their knowledge of the locality, to remove them from the session
- It is also likely that people will try to put as many households as possible into the poor categories and you need to be aware of that. This is why it is so important that for each household you ask the larger group – not just one or two persons in that group – to discuss why this card should be placed into a particular category. The group should discuss most of characteristics of the particular category that they wish to put the card into. Remember, that at least 3-4-5 of the characteristics should apply (60%), if a card is placed into that category.
- Each community has a large number of small children, who are likely to disturb the session. It is important for each facilitating team to have one person that takes the children aside and plays games, or undertakes an exercise that looks at the community from the perspective of the children;
- It is important for the facilitators to ensure that men from all socio-economic groups participate and contribute to the Well-Being analysis and that there is interaction between the participations to determine in which category the name cards are to be placed and to collectively decide on the characteristics of each class grouping. This will ensure a more accurate analysis;

It is important that you double check this information and visit some of the households to observe and see if the position within the Well-Being category is correct or needs to be changed; Finally, thank the participants for the contribution today and remind them that a copy of this map will be provided to the MDU Secretary later on.

Activity 2: Plan your next meeting with the community (10 minutes)

At the end of the WBA process, inform the group present that your team would like to return and meet once more with a large number of people from the community, representing all neighborhood, so that you can share the WBA and obtain feedback. Arrange a day that suits people and ask existing public authorities – MCA and MDU, MDU Youth Sub-Committees, and ordinary residents to attend and to ensure good representation of the each neighborhood. At least 50% of all households from each neighborhood should be represented in your next meeting.

In the Office (the next few days)

Activity 3: Process and Analyze the Information

Once you have returned to the office, create a simple table on a large poster paper that has three columns: class, characteristics and names of households. The WBA table will be used in the community the next time you visit to share the outcome of the exercise and obtain feedback in terms of its accuracy. When finalized, a copy of this table should be provided to the MDU Secretary and a copy should be kept by the field office team.

Socio-Economic Grouping (# and % HHs)	Criteria – Definition of each Socio-Economic Grouping	Names of Head of Household
<u>High Income</u> # of HHs % of HHs	Landholding (leased or owned), profession (e.g. teacher, nurse, etc.) or type of work (construction, daily wage work) income per month, assets, livestock, type of house, educational level of children, access to medical treatment	
<u>Medium Income</u> # of HHs % of HHs		
<u>Lower Medium Income</u> # of HHs % of HHs		
<u>Low Income</u> # of HHs		

% of HHs		
<u>In-Need</u>		
# of HHs		
% of HHs		

The table provides a snapshot of the socio-economic structure of the community, i.e. how many households fall into which categories. The characteristics of the various socio-economic groups will tell you how members of the community define rich, middle, poor, very poor. For example, it may be land (or lack of), employment, type of house, capital inputs, selling physical labor, education, and so on. The well-being analysis allows you to see if wealth is concentrated – held by few households – or dispersed. It provides you with a sense of the size of landholdings of the rich, middle and poor and how various classes work the land, e.g. with tractor power, animal power, or by the hoe. It shows who owns tractors or livestock to plough and how is renting these and who cannot afford to rent. Similarly, it shows the kind of houses different classes live in, the type of education that children obtain, and so on. This exercise is crucial in that it opens up new areas of inquiry around farming or animal husbandry (and thus livelihoods), landownership and allocation of land, access to education, and so on. Other participatory exercises can be created to explore these in more detail in the future. Equally important, the poverty analysis provides you with the ability to identify your impact group in any given community and explore their lived conditions in greater detail.

In a later visit to the MDU and MCA, you will use the WBA Analysis poster to ask the MCA and MDU Chairmen and members to identify where they are in this socio-economic profile of the community.

Potential Uses of WBA Analysis

- Understand the socio-economic composition of the community and the extent of wealth and poverty and marginalization (the number of people in which groups and the number of landless, etc.
- Identify interest groups (widows, agricultural day laborers, etc.) for community led activities;
- Begin to get an understanding of the economic relations between rich and poor and middle and poor (who works for whom, etc.) and find ways to reduce these vertical dependencies;
- This participatory analysis can be used by MDUs to identify the poorest households in need of safety net schemes;

Annex 10: Health Analysis and WBA Verification

Qishloq Facilitators and Qishloq Engineers: Visit 9

**(1.5 hours for Health Analysis (parallel session)
(2.5 hours for WBA Verification (door to door))**

Facilitation Tips

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

The Objective of the Visit:

To conduct a health analysis exercise with men and women (separately) from poor households (1.5 hours)

This analysis must be conducted separately for men and women because men and women are generally not comfortable talking about health issues in front of the other gender.

Note: Use the Well Being Analysis findings (the names of poor household heads, and the names of poor women who are heads of their households) to identify your 8-10 male participants and 8-10 female participants (men and women should be from different households) for this exercise. For this exercise you will work with men and women who sell daily / contract wage labor in cotton and other crops. Call the MDU Chair and provide him a list of the names and ask him to invite men from poor households from each neighborhood to attend the meeting and women from poor households from all neighborhoods to attend another meeting.

1. Preparations for the Health Analysis Session with men and women

The health analysis exercise requires at least 2 facilitators (1 CF for men and 1 CF for women). Be sure to bring the WBA poster. On the day of the exercise, the facilitators should arrive early and bring cards and markers.

For the Seasonal Calendar you will need cards and markers.

For the WBA verification, you will need the WBA poster and your notebook.

Activity 1: Health Analysis

Step 1:

Meet with 8-10 men (from different households) and 8-10 women (from different households then the men's) living in different neighborhood. Be sure to organize the seating arrangements so that people sit in circle and can face each other and the facilitator.

Step 2:

Explain the objective of the exercise: 'We would like to learn from you about the most important health issues that you face'. The discussion will take around 1.5 to 2 hours. Can you spare that much time? Be sure that all people agree to stay. If someone tells they have only 1 hour, then best to let them leave in the beginning.

Step 3:

Brainstorm with the participants about all the health issues they face: examples that come up may be diarrhea / dysentery; asthma; pneumonia; fever; respiratory illnesses, etc. Once you have generated a list of illnesses with the participants, ask them to discuss amongst themselves and rank the top five illnesses in terms of its prevalence (i.e. how common it is).

Step 4:

Take each of the top five illnesses and start a matrix. Lay out the cards with the illnesses to the left (labeled illnesses), the begin another column titled symptoms, frequency (per year), average length of illness (days or weeks), season of illness, cause of illness and cost associated, and how the costs are covered (see below). Now take each illness and go through each sub-topic one by one and discuss. Be sure you write on cards the answer provided; when you have finished the top illness, move to the next. This way you complete the entire matrix. When finished be sure to read back the matrix to the group and get their agreement.

Health Analysis Matrix: EXAMPLE ONLY

Illness	Symptoms	Frequency	Average length of being ill	Season	Cause of illness	Cost associated (labor days lost; medical cost, transport cost to hospital)	If no savings, how are the costs met (loans, assistance from relatives, sale of assets, etc.)
Diarrhea							
Pneumonia							
Fever							
Skin diseases							

Step 5:

With the matrix completed, now discuss each illness once more by pointing to the cause that people have stated (poor drinking water or cotton harvest or poor hygiene and so on) and ask them how this illness could be avoided. Allow the group to discuss amongst themselves to come up with potential solutions.

Note: people may not know the exact cause of the illness, but since you are asking for seasons, you will be able to link this to what they are doing for work at that time or what is happening with the water (for example, you may find that when the cotton is irrigated and water drains into the drainage system, people experience a certain type of illness; or when cotton is picked they may have certain skin problems or fever or respiratory illness. So, people may not know what chemical in the cotton production is causing the illness, but they can link it to cotton. Once we know what the illnesses are, you can do some further work; you should meet with local health officials and present the findings to them and ask for their suggestions as to how these illnesses can be addressed (some may simply be a matter of vaccinations, some require better hygiene or certain foods (e.g. women's anemia). During the Qishloq Development Planning, you can share with them what health officials have noted and you can organize a session for the community where health officials come to speak to them and provide them with pointers about addressing the illnesses. You can then work with self-help groups to follow up. The main point here is that this work will be presented during the community development planning and this will draw attention to the MCA/ MDU and the larger public about the problems that some people in the community face and how some of these could be addressed through the program; whilst those that cannot be addressed through the funds from the program, they can be put in the community development plan to find other ways to address them.

Step 6:

When you have finished the solutions part, thank the group for their participation, tell them that you will prepare a poster with the information and review it with them and then make it available to the MCA.

Activity 2: Identification of Volunteers for the Education Analysis: ask the MDU members from each neighborhood to identify 4-6 volunteers (adolescents or young men and women who are bright and willing to give a few hours' time) to go door to door and complete a simple questionnaire about households' children. The work will take only a few hours and will be checked by teachers. Overall responsibility will be with the MDU members. You will meet them on your next visit and explain all details.

Activity 3: WBA Verification

Step 1: Use the WBA poster and randomly identify 5-10 households from each WBA category. (Note: you should verify 10% of all households. This means if you have 500 households in the community, you will need to verify 50 households or 10%). This is why there is a range noted above. Please calculate 10% from the total number of households, e.g.

$$500 \times 10/100 = 50 \text{ hh}$$

Now, divide the number of households to be verified by neighborhood, e.g.

$$50 \text{ hh} / 5 \text{ neighborhoods} = 10 \text{ households per neighborhood}$$

Step 2: During this and the next visit, complete the verification of the WBA. Stay in one neighborhood and visit 10 households (using the example above) and ask for the head of household or an adult to speak with. Ask the person if they could spare 10 minutes time for your and go inside and sit down with the person and explain that you conducted a WBA a couple of weeks back and this household has been selected for checking. Ask them the following questions:

- a) Do you lease or own land? How much?
- b) What assets do you have?
- c) Do you own livestock? If yes, please tell me how many cows, sheep, goats, etc.
- d) What is your primary source of income in this household?
- e) What is your monthly income?
- f) Do you have work all year?
- g) What is your educational level and that of your children?
- h) Where do you seek medical services?

The answers to these questions will allow you to understand if this household has been placed into the proper socio-economic grouping.

Note: if more than 10 of the 50 households you will verify do not fall into the socio-economic grouping that is in your WBA poster, you will need to consider a) did you define the categories correctly (or are there people in some category that actually fall into a different one). This will help you determine if you need to do the WBA again.

Annex 11: Education Assessment and WBA Verification (part 2)

Qishloq Facilitators and Qishloq Engineers: Visit 10

(1.5 hours for Education Assessment session with MDU Members)
(2.5 hours for WBA Verification (door to door))

The Objective of the Visit:

To brief and explain the education assessment to the MDU members, teachers and volunteers (1.5 hours)

To continue the verification of the WBA

1. Preparations for the Education Assessment Session with men and women

The Education Assessment discussion with the MDU members and teachers of the community requires 2 facilitators. On the day of the discussion, the facilitators should arrive early and meet the MDU and MDU Youth Sub-committee members from all neighborhoods in a pre-arranged location.

For the WBA verification, you will need the WBA poster and your notebook.

2. Sharing the Education Assessment Process with MDU members, teachers and volunteers

Activity 1:

Meet with the MDU members, teachers and volunteers and explain to them the work and provide them with the household education form, intermediate form and final form and explain the following:

- a. The objective of the Education Analysis is **to identify the number of pre-school and school aged children in each household, their ages, the schools they attend and the distance they travel to reach school**. There will be one questionnaire per households; one intermediate form per neighborhood (that aggregates all households per neighborhood) and one final form that aggregates all neighborhoods in the community.
- b. The Education Analysis will be completed by the community volunteers (youth) from each neighborhood (the larger the neighborhood, the more volunteers will be needed). It is important that volunteers from all neighborhoods are collecting the data to ensure inclusion.
- c. Volunteers should work in teams of two persons. It will be the MCA members' responsibility to ensure that for each household in the community (noted on the WBA – list for this was provided by the MCA), an education questionnaire is completed. It is the role of the teachers to make sure that the data is correctly collected and that the questionnaires are properly completed.

- d. Introduce yourself to the volunteers and agree on a timeline and obtain commitment by the volunteers (who sign a poster kept by the MCA Members. As with all exercises and findings, be sure that all instructions and explanations you provide are told by the volunteers/ teachers in their own words. This will help you see if your explanations and guidance has been understood. The data collection should take roughly a few hours for a couple of days in an average size community and 4-5 days in a large community. In an average size community, each volunteer team should survey 25 households and in a larger community, each volunteer team will survey around 50 households. It is best to identify about 30 young people who can work in 15 teams (each questionnaire should take no more than 15 minutes so that in roughly 6 hours, 25 questionnaires can be completed).
- e. Once all the questionnaires for one neighborhood have been completed, the volunteers with the help of the teachers, aggregate all individual questionnaire into one sheet (titled Intermediate Education Analysis Data Sheet – this will allow us and the MCA/ MDU to see neighborhood needs related to schools and kindergartens). Finally, you will aggregate all intermediate data sheets and complete the final education analysis community sheet.
- f. For each team of volunteers, you should verify at least 3 questionnaires; if more than 1 questionnaire is mistaken, than the volunteer team should be retrained and sent out once more to collect the proper data.

Activity 2: Briefing on the detailed questionnaires

- Before the briefing be sure to identify one or more teachers that will supervise the work
- Include the existing MDU members meeting and ask the MDU Chair to bring a list of all households by neighborhood
- For the briefing: use the actual one-page questionnaire and walk the group through it, going through each question (see excel sheets)
- Ask the MDU members to assign the volunteers to work in their neighborhoods and ask them to sit together and divide the neighborhood by streets and allocate streets per team
- Now divide yourselves so that you can take a group of volunteers and walk with them to different parts of the village to illustrate how the data will be collected; the teachers and MCA members should be present
- Knowing the size of the community (the questionnaire per household should take no more than 15 minutes) ask the larger group to **set a deadline** by when all volunteer teams will have completed their election units;
- Sit with the teacher and explain to him to how to aggregate the individual household survey sheets into the intermediate (neighborhood) survey sheets. (See Forms in Excel)
- Thank everyone for their voluntarism and support.

Annex 12: WBA Sharing and Seasonal Calendar

Qishloq Facilitators and Qishloq Engineers: Visit 11

Note: this exercise will only be conducted in 1 of the 6 communities under one pair of QFs

(1.5 hours)

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
Do not accept food or drink in the community; kindly explain that this is against the rules
6. Always be respectful and treat all people as though they are **your** family;
7. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
8. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
9. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
10. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

The objective of the visit:

To Share the WBA and obtain feedback from the community (1.5 hours)

For Male QFs: Create a Seasonal Calendar with men from poor households (1.5 hours)

For Female QFs: Create a Seasonal Calendar with women from poor households (1.5 hours)

Seasonal Calendar

Note: This exercise must be conducted separately with men from poor households. If women are engaged in daily wage work, the exercise can be repeated with women from poor households. Use the Well Being Analysis findings (the names of poor household heads, and the names of very poor women who are heads of their households) to identify your participants for this exercise.

Call the MDU Chair and provide him a list of the names and ask him to invite men from poor households from each neighborhood to attend the meeting and women from poor households from all neighborhoods to attend another meeting.

1. Preparations for the WBA Feedback Session and Seasonal Calendars with men and women

The WBA sharing and noting feedback exercise requires at least 2 facilitators. Be sure to bring the WBA poster. On the day of the exercise, the facilitators should arrive early and bring cards and markers.

The facilitators will see how many people are available and see the representation from each neighborhood; if there is obvious under-representation, MDU members should be asked to call people to the meeting. Be sure that the MDU Youth Sub-Committee members are invited to attend.

For the Seasonal Calendar you will need cards and markers.

Based on the well-being analysis, identify the households that do not own / lease land. From the list of cards, select 16-20 families from different neighborhoods. Now invite the main income earner for half of this group and women laborers for the other half. The Seasonal Calendar will be conducted with men and women separately. The group will be the participants of the exercise, and they can now be contacted (through the MDU Chair or member) and asked for a suitable time to meet with QFs. The exercise does not require large amounts of space nor preparation.

For this exercise, the facilitating team should consist of at least 2 persons (someone to handle gatekeepers will be key). The male QFs will work with men and female QFs will work with women.

Activity 1: Debrief on Well Being/ Poverty Analysis and obtain Feedback (90 minutes)

- Present the well-being analysis to the larger group and ask the following questions:
 - are there any characteristics that you want to add that are not here?
 - Is the categorization correct
 - From each neighborhood ask people to step forward and check that the names of household heads have been put in the correct groupings

When you have finished and people are satisfied that the WBA is correct, you can close this session. Be sure to ask those that were invited for the Seasonal Calendar to stay behind. The male CF will then work with the men from poor households and the female QF will work with women from poor households to create a Seasonal Calendar. When you return to the office, be sure to complete the well-being section in Form 3.9.

Activity 2: Create a Seasonal Calendar with men and women from poor households (identified during the well-being analysis). Be sure to conduct the exercises for men and women separately, in parallel (90 minutes)

Purpose of the Seasonal Calendar

The seasonal calendar is a useful exercise to identify seasonally occurring problems that affect different groups, or the community as a whole. It can also be used to identify when different groups will be less busy, and which will be the most suitable time for embarking upon any selected activities. For our purpose, the seasonal calendar will be used to explore the relationship between key crops and types of work activities available (e.g. planting, weeding, harvesting) and the wages paid. This will help you to understand the variation in wages during the year in various regions and the number of days that work is available in a given region. This way we can identify peak labor seasons are, establish the lean seasons, when there is no work and no income, and households' coping strategies during times of economic distress. This understanding will allow the MDUs to consider pro-poor activities.

The Process of Creating a Seasonal Calendar

1. The Facilitation Process of the Seasonal Calendar

Once most (if not all) participants have arrived, the main facilitator

- greets all the participants, introduces yourself and your team, and provides space for all participants to introduce each other to the facilitators; the main facilitator then **explains the objective of the exercise:**

“the purpose is to explore the relationship between cropping patterns and the availability of work and the implications on households’ livelihood security”

A copy of the exercise should be provided to the community, after the work has been processed.

- the exercise begins with participants creating ‘a picture’ of the rainfall and snowfall patterns. The first point is to establish how people view the year – at which months does the year begin – and laying out the months of the year with each month written on one card. Once the months have been laid out, the facilitators ask the participants to discuss which months have the highest rainfall and which months have the lowest rainfall. The highest rainfall is indicated above the card for that months through leaves (palms, sugar cane), sticks, or stones that are laid out in a line, with the length of the leaf or line indicating the amounts. The lowest rainfall (or no rainfall) may not have any leaves or stones. Once the ‘extremes’ are established, the group is asked to fill in the remaining months in relation to the highest and lowest rainfall/ snowfall;
- now the facilitator asks the participants to consider the rainfall / snowfall patterns and to discuss all the crops that are cultivated in the larger areas (not just in their community) (please only focus on key crops that provide employment to a considerable number of people) with each crop being noted on a card;
- each crop is then discussed in terms of when in relation to the rainfall / snowfall (and months) and how many months the crop is occupying the field;
- once each crop has been laid out in relation to the rainfall /snowfall patterns, the facilitator asks the participants to discuss each activity related to the crop (planting, weeding, harvesting) indicates each activity on the calendar and notes the wage rate and number of days that labor generally works on this activity.

- once the crop activities, wages and number of days are completed, the facilitator should ask for other income activities. As with the crops, these activities are indicated on the calendar, in relation to rainfall and the month of the year;
- now add up the number of days during the year that people have work and write a card noting this; ask people if they agree with this finding; if not, perhaps something was missed, and you need to keep probing to complete the calendar;
- the calendar that has been created is now discussed in terms of the implications work related to crops and the other income sources on monthly incomes;
- once the income pattern has been established, the participants are asked how they cope with the periods in which there is limited or no income; for each month in which there is no or limited income, the facilitator asks how do you obtain money to buy food?
- the respondents generally talk about borrowing money from friends, relatives, neighbors, taking advanced wages from landlords, cutting back food intake, reducing the quality of food, selling assets (livestock) and so on. Each of these strategies is now discussed. For example, if money is borrowed, the facilitator asks the terms and conditions from each source (e.g. interest to be paid, amounts available and so on). If food intake is reduced, the facilitator should ask the details: how many meals are consumed per day, who in the household eats less / more and why, how the diet changes during this time, and so on;
- the entire calendar is now presented by one of the participants providing the facilitator the opportunity 'to interview the diagram' further and clarify any details; this is also the point when all participants agree (if not, changes should be captured) on the exercise output;
- the note taker should have been making a copy of the matrix and other information that has been noted on cards;
- the participants are thanked for their contribution and reminded that a copy of the matrix will be provided to them;

In the Office (the next few days)

Activity 3: Process and Analyze the Information from the Seasonal Calendar Exercise

Upon return to the office, the team should use the copy of the seasonal calendar that has been made by the note taker and create a large poster, noting the date that the map was created and the names of the team members, so that those using the information in the future can contact them should any questions arise. An extra copy should be made to be provided to the community.

Once the poster has been created, look for trends. Asking the following questions will be useful to do this: How many days per year do people have work? Which crop provides the most work opportunities? With each work activity (planting, harvesting, etc.) how much does a wage earner earn and how does he earn total during the year? When are there time periods in which people have no income? How do they cope during this time? Whom do they depend on? What are the terms and conditions that are imposed by those that assist them? What are the implications of these terms and conditions on the households in terms of their overall food security? Are these conditions fair? Are there any hidden interest rates? For example, when landlords provide advanced wages, are these wages based on the low season or peak season and when households work to pay off the advanced wages, do they work in the peak season, when wages are high? Are these the rates that are then used to calculate the return of the monies advanced?

Now based on Seasonal Calendar findings complete Sections B points 26 through 36 in Form 3.9.

Things to Consider

- this exercise is straight forward and relatively easy to facilitate. It may be somewhat time consuming and the facilitator needs to keep track of time, making sure the work proceeds and the seasonal calendar is completed within a period of two hours (divide the session in your mind in to the various steps and consider how much time you will give to each session – so that you know where you should be after one hour).
- try to ensure that the participants are engaged and complete the exercise without much interference from the facilitators. It is best that they discuss among themselves. Be sure to intervene if there are persons who are dominating the discussion and not giving space for all to participate;
- although the exercise is relatively easy to facilitate, there may be challenges in terms of dealing with bystanders, whose presence makes it difficult for the participants to discuss the coping mechanisms, particularly, if there is assistance provided by better off households or landlords who exploit the vulnerability of the poor during the lean season. In this case, these 'gatekeepers' have to be engaged otherwise and kept away from the seasonal calendar discussion.

Potential Uses of the Seasonal Calendar

- the seasonal calendar is an important method to establish lean periods – weeks or months in which people do not have work and how they cope with the income shortages. The findings can be used by us to consider what needs to change in terms of avoiding coping mechanisms that provide future setbacks (taking loans, advanced wages, credit, selling assets, etc.).
- the exercise can also be adapted and used to explore changes in rainfall patterns over time and the resulting changes in cropping practices and how these might be improved to result in optimal yield.

Annex 13: Qishloq Development Pre-Planning Meeting with MDU Youth Sub-Committee (women and men)

Qishloq Facilitators and Qishloq Engineers: Visit 12

3 hours

The objective of this meeting is for the male QF and QE to meet with the MDU male Youth Sub-Committee and the woman QF to meet with the MDU women Youth Sub-committee to review all exercises and familiarize themselves with the findings of the exercise and to discuss the implications on development planning from the perspective of youth.

Preparations: For this visit, you will need to have all exercises that have been done so far, poster paper, pens and markers, and tape.

Activity 1:

Review all exercises with the men and women (in separate meetings). The male group can begin with the resources map, WBA and the women can begin with the Health and Education Analysis. Work with each group to summarize the analysis onto posters (see Annex 14 below how to summarize). Now ask the QE to go to the women's group and provide them with the Resources Map and the WBA and take the Health and Education Analysis from the women to the men. As before, work through the exercises and summarize main findings (see Annex 14 below). 2 hours

Activity 2:

Once the exercises have been summarized discuss with the 2 groups (separately) the implications on the well-being of the community and which groups (poor people, vulnerable people, young people) are particularly affected by the issues that have been identified. Ask the groups (men and women) from their perspective what sub-projects they believe important to address the communities needs and what activities the community can do on its own to address key issues that are not funded by RIDP. Note down on posters what each group has suggested and be sure to bring this with you for the QDP session that is coming up.

Annex 14: Qishloq Development Planning and Creation of CPM

Qishloq Facilitators and Qishloq Engineers: Visit 13

Note: QEs and QFs should know what is planned for communities in which they work, in terms of development planning. For example, what specific infrastructure is in the district and regional development plans to be funded by the Government and in what time frame. This information should be made available to the community at the beginning of the QDP session, so that people can make an informed decision during the prioritization.

6 hours

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

Objective of the Meeting: Create a Qishloq Development Plan (QDP) that is based on all the analysis that has been done. The QDP should be pro-poor and inclusive

Preparations for this Meeting

The exercise requires at least 4 facilitators. Be sure to bring all materials: the resources map, the well-being / poverty analysis poster, the seasonal calendar poster, the health analysis poster, and

the education assessment. This meeting should be held in a suitable place with lots of wall space and workspace.

NOTE: The objective of creating a Qishloq Development Plan (QDP) is to ensure that communities agree on a common long-term vision, as well as strategies and activities (in given time frame), to reach that vision. **The QDPs should be based on the various exercises that have been conducted with a large number of people (a cross-section) of the community (Resources Map and Well-Being Analysis), and smaller groups (Seasonal Calendar, Health Analysis) and the Education Assessment).** (see QDP Poster below)

Activity 1: Linking the Analysis to Planning (90 minutes)

- In a large meeting that includes all MCA and Mahalla Development Unit (MDU) members and representatives from all neighborhoods (there can be as many as 100 people present), ask those present and MDU members to form 5 groups (this should not be neighborhood groups). Ask the MDU Youth Male and Female Sub-Committee to join the groups from their neighborhoods. Each group should work on one exercise (see below) and create / review summary posters of the main findings.
 - Resources Map identify infrastructure/ services gaps in the community
 - Well-Being analysis highlights the number of families that are poor and very poor and the characteristics of poverty in the community
 - The Seasonal Calendar (conducted with representative groups of the poor category) highlights the coping mechanisms and strategies in time of unemployment or no income
 - The Health Analysis highlights the main illnesses that occur in the community
 - The Education Assessment highlights the number of children that are of school age. This poster should also include the issues for pre-school children.

In each group (each with a different exercise), one person (with the help of the Qishloq Facilitators) should present the poster and the group then works to summarize / discuss the main findings

Example of a Resources Map summary is as follows:

Note: be sure to let people come to their own conclusions. The text below is only an example to help facilitators understand what a summary poster might look like.

Community Sokhil has the following resources:

1. **Schools and Kindergartens/ Pre-school:** There are no schools and no kindergartens in Sokhil. The closest schools are 4-5 km distance from the center of Sokhil. Children have to walk to school, and this is unsafe because the main highway has no proper sidewalks. The schools in neighboring villages that the Sokhil children attend run two shifts and because of this some children have to attend school in the afternoon session. This means that in the winter children have to return home from school when it is already dark. Because of the risk of walking along the main highway, some parents do not send their children to school in the winter months. There is also no kindergarten/ pre-school in Sokhil and this creates problems for parents when they need to go out and work and pre-school children cannot benefit from the socialization that is needed to prepare them for school.

2. **Drinking Water:** Access and quality of drinking water for different neighborhoods varies. Some neighborhoods have access to water at their houses, and others do not. In some neighborhoods the water pressure in the pipeline is very low and there are handpumps to pump the water from the pipeline.
3. **Electricity:** there are xx transformers in the community and roughly half of all households' homes are connected to electricity by concrete poles. Roughly 25% have connections from wooden poles (this does not conform to specifications and presents risks in terms of fire). The remaining households are linked to the concrete or wooden poles through make-shift connections. This means all households are connected to electricity, but roughly half are not connected in a safe manner.
4. **Roads:** There is one paved road in Sokhil (the main highway). All other roads are gravel or dirt and some areas are subject to seasonal flooding. The main highway has no sidewalk, making it unsafe for children to go to school and they are in danger of being hit by cars. XX children were killed by such road accidents in the past few years.

Example Draft of a Well-Being / Poverty Analysis Summary Poster (that might include the following type of points):

Community Sokhil has the following socio-economic characteristics

1. Sokhil has XX number of households; of these roughly 5 percent fall into the high income group; just over 40 percent fall into the medium income group; just over 40% fall into the low income group; and just over 10% fall into in-need group.
2. The **in-need** households have no farm land, are unable to sell labor because of disabilities, old age; these households have no livestock; they have no assets except their homes.
3. The **low income** households have no access to farm land; have monthly income up to 300,000 UZS, some receive aid or social welfare, own no livestock, may do not have bathroom facilities, but bathe in make-shift arrangements in their rooms with buckets; the majority are daily wage workers;
4. The **medium income** households consist of dekhkan farmers with access to 1-2 ha of farm land, earn up to 1 million UZS per month, own 1-2 cattle, 1-2 sheep, and up to 10 chickens; live in houses with 3-4 rooms, some are teachers, doctors, public workers; most are college graduates; some are construction workers and earn ½ to 1 million UZS per month; some own cars.
5. The **high income** households, operate 40-70 ha, own cows, own cars, own tractors, studied at university, live in 2 story houses with 6-7 rooms, can afford treatment in private clinics.
6. More than half of the community people are not doing well economically and are poor and very poor
7. Over 10 percent are vulnerable
8. The income of the poor is and very poor is very low

Example Draft of a Summary Seasonal Calendar Poster (that might include the following type of points):

1. The main crop is cotton (provides the most labor days of any crop – roughly 160 days)

2. Wages in cotton are low throughout the year, but during harvest of cotton (roughly 20-30 days) workers earn more: on average XX per day
3. The busiest season in Sokhil (when people have no time to work with FPs or GO) is in the months of XX, XX, XX; People are more free to meet in the months of XX, XX, XX
4. The best time to hold meetings in XX months is XX, etc.

Example Draft of a Summary Health Poster:

The men and women and children Community Sokhil have the following illnesses on a frequent basis:

1. Women have
 - a. anemia causing dizziness, lethargy, anxiety, blurred vision;
 - b. Torch infections
 - c. Tape worms causing nausea, lethargy, no appetite
 - d. Hepatitis causing no appetite, lethargy, yellow eyes and body
2. Men have
 - a. Tapeworms (see above)
 - b. Diarrhea causing weakness, fever, etc.
 - c. Flu causing weakness
3. Children have
 - a. Tapeworms (see above)
 - b. Chicken pox
 - c. Etc.
4. Because of these illnesses, men and women lose days at work and therefore income, spend money on medicines and going to clinics.
5. To cover these costs, people may borrow/ loan money from relatives or sell food stocks that they may need in months when there is less income (winter)
6. Some illnesses can be avoided through vaccinations, improved water, better hygiene.

Example Draft of a Summary Education Assessment (that might include the following type of points):

There are XX number of school age children in Sokhil

The children of Community Sokhil:

1. Have to walk 5 kms (round trip) to school
2. Face danger on the main highway because cars drive fast and there is no sidewalk
3. May not go to school in the winter because the walk is so far and some children have to return in the dark (those that attend school in the afternoon shift)

Activity 2: Presentations of Summary Posters from each Group (5 Presentations)

- Ask each group to select a person who should present the summary poster
- After each presentation to the larger group, ask all those present if they agree with the findings (if someone does not agree, try to discuss why and what the objection is and if

the larger group agrees then add / edit the point; if not see if you can get the persons to agree; if not, be sure you have agreement from the majority of the people present

Activity 3: Vision building (60 minutes)

- After each summary poster presentation has been discussed and key issues agreed on, the larger group has a common understanding of the various dimensions of community issues and needs.
- Divide the larger group into smaller groups (**by neighborhood Mahalla**) and ask each group what they want to change about the findings they saw: ask each neighborhood group to write 5 cards (one idea on one card) of what they want to change based on the summary findings.
- Once the cards have been written by all neighborhood groups, the Qishloq Facilitators should sort the cards into topics (infrastructure/ services: school, kindergarten, water, roads, electricity, etc), health issues, wage issues and improving the economic situation of the low-income group, etc. Now, take some time with the MDU executive committee to take the cards and create a vision statement that involves all relevant topics and create a vision statement (for example, in 5 years: all children of Sokhil will attend a school in the village and have quality education, all people will have access to clean drinking water; all residents (including children) will have the proper vaccinations, and illnesses will be reduced, there will be improved targeting for government safety net schemes, etc.)
- The vision statement is then read to the larger group and all people present are asked if they agree.

A Sample vision statement might look as follows:

“Sokhil village will be a community where all children go to school in the village, have quality education, and where families are healthy, and conditions are safe”.

Note that this vision can be achieved only through multiple strategies: a school and kindergarten in the village, safe drinking water for all, vaccinations, deworming and improved hygiene, no unsanitary toilets, improved income (small businesses, livestock), safe electricity connections etc.

Activity 4: Translating the Vision into Milestones (60 minutes)

You are now ready to move into the planning phase. Break down the vision (use the cards that were used to write the vision) into measurable milestones (there must be milestones that have been created from the women’s vision statements). For example, take the vision statement that we used above:

“a community where all children go to school in the village, have quality education, and where families are healthy, and conditions are safe”

For this vision statement you would consider the terms educated children and healthy families. If you break down educated children with the group, you should come with:

- a. schools or school rooms for boys and girls of different ages in village Sokhil
- b. children attending schools on a regular basis and parents asking them to go to school

- c. teachers and others who literate in the community helping young men and young girls to improve their reading and writing skills (e.g. learning centers that operate in the evening)

for the part about healthy families:

- d. clean drinking water (for all families)
- e. good sanitation (safe confinement of excreta) to avoid illnesses related to feces contamination of food, hands, etc.; good hygiene behavior, etc.
- f. use of health services to treat basic illnesses, such as tapeworms and to obtain the proper vaccinations
- g. nutritious diet to address common illnesses such as anemia

for the part about safe conditions:

- h. sidewalks along the main highway to ensure safe movement of all people
- i. electricity connections/ poles that are up to the standards prescribed by Government

Activity 5: Identify the Milestones can potentially be met by RIDP (60 minutes)

Now take all various points you have put together to break down the vision into key areas and consider which areas the village will pursue and consider the Government's RIDP (school, drinking water, kindergarten, roads, electricity; and which milestones can be met on their own (health – getting vaccinations, changing hygiene behavior, etc.) and those that require other donors (other government programs, NGOs, etc.).

Based on a through i above, the following milestones could be created (remember you cannot pursue all with the RIDP money, but you can pursue the most important and the MDU with MCA can fundraise for infrastructure needed that RIDP cannot fund):

- all children attend school in the village and have quality education (possibly through RIDP)
- all pre-school children can attend kindergarten (possibly through RIDP)
- All families have access to clean drinking water (possibly through RIDP)
- Access to markets has improved because roads leading in and out of the village have improved (possibly through RIDP)
- All adults and children are vaccinated, dewormed, and have health check ups (GoU services)

These are just examples; they could be many more ways in which the vision that is the example provided here is achieved. The possibilities are multiple

When discussing the RIDP Fund and choosing which of the items on the menu to be chosen, the resources map and the findings on the poster should be discussed. The question: which of the infrastructure, should be prioritized on the basis of the findings and discussions. For instance, if

school, kindergarten, water, have been identified, the discussion should turn to: how and who in the community will benefit? How will this contribute to our vision and benefit most?

At this point, you should make space for the MDU Male Youth Sub-committee and the MDU Female Youth Sub-Committee to present their infrastructure choices 1,2, 3 and the development activities that the community including youth can do on their own.

Now, open up the meeting to the plenary and ask the citizens and MDU members to provide their feedback on the youth choices.

Now, use the below criteria to discuss in plenary which RIDP sub-projects should be prioritized, keeping in mind the discussion so far and the presentations of the MDU Youth Sub-Committees.

Criteria for Ranking Milestones that will be met by the RIDP Funds:

1. # of people who are currently not benefitting from a service and who will benefit as a result of the investment
2. give priority to neighborhoods/ areas of the village that have been left out; for example, those that lack drinking water or safe electricity connections
3. at least one (if not more milestones) should be women's choice
4. Investment / milestone will not produce negative social or economic impacts for residents

If, the community cannot agree on which infrastructure to fund based on the above criteria, then there should be a voting system, where each possible infrastructure is put on a card and all cards are laid out side by side and people vote individually, putting one vote per person. That means if there are 5 possibilities people can choose 1 possibility. The infrastructure with the highest number of votes is selected, and if there are sufficient funds, the infrastructure with the second highest funds can be prioritized as number two.

Be sure that all people or the majority of people agree to the infrastructure that has been selected.

Activity 6: Identify the Milestones that have to be met by other GoU programs, donors, NGOs

Once you have completed the milestones of the vision that can be met by RIDP funds, what is left in terms of infrastructure will require other actors, such as other Government programs, donors, etc. The MCA and MDU should lobby to obtain these resources.

Activity 7: Identify the Milestones that can be met by the Community on their own (60 minutes)

Once you have completed the investment grant part of your QDP, ask the community to consider what they can do on their own, without external funds, to achieve the vision. The qishloq facilitators should ask the various groups to brainstorm.

Examples might include:

- Teachers and other literate community members organize learning sessions for youth that want to improve their reading, writing, math, science or language skills. Teachers and others would work on a voluntary basis donating their time
- If the community does not build a kindergarten from the RIDP funds (opting for a school or other infrastructure), they may mobilize to have street-based/ neighborhood-based kindergartens where residents take turn watching the children, freeing up women to do other work
- Dekhan farmers provide advice to others to improve their crop yields or cultivate more vegetables so that poor families improve their nutrition
- Women with expertise and talent (embroidery, quilting, tailoring, livestock and poultry, kitchen gardening, farming) share their knowledge and support other women in learning, experimenting, innovating, etc.
- Persons who have 'social reach' lobby and advocate for marginalized and vulnerable groups to access resources (funds, inputs, advice) and networks (inputs, marketing, etc.)

Activity 8: Translating the Milestones into Activities with actors responsible) (60 minutes)

Once you have completed the investment grant and the community work that will contribute to fulfill the vision in the QDP ask the community groups to consider all milestones and the actors responsible that will take the lead on each milestone:

An activity list may look as follows:

1. Monitoring of RIDP Infrastructure construction (quality of materials, fair labor practices, etc) (MDU)
2. Learning Circles for young adults (Teachers)
3. Street-based kindergartens (temporary solution) (volunteer women from each street/ neighborhood)
4. Awareness raising, mobilization of all families to seek health services for adults and children, monitoring services usage (MDU with facilitators)
5. Self-help groups for food deficit farmers are created and supported by better off farmers in the community or from neighboring communities (Civil Society: men and women from poor families with experts providing guidance)
6. Support for poorer families to cultivate vegetables in home plots (dekhan farmers)
7. Self-help group for women who head their families and women from poor families work together, build on their skills and experiences and draw up plans for action (Civil society: can include all women who are interested, but must be pro-poor)

(((Note 1: Community Facilitators should work with MDU members during the QDP process to identify which milestones they want to take responsibility for. These will be people who show interest in key topics, advocate, are passionate, willing to take the lead, offer to help others, etc.

Activity 9: Creation of Community Participatory Monitoring Team

Given that in the QDP process a large number of community members from all neighborhoods are present, this is a good time to form the Community Participatory Monitoring Team. Ask people to sit in their neighborhood groups.

Step 1: Provide an overview to the larger group about the roles and responsibilities of the CPM Team

“Now that the community has elected a Mahalla Development Unit, which has clear responsibilities, has completed its social analysis, and has created a Qishloq Development Plan, with Milestones and Activities, we need to have a group of people, representing each neighborhood, that will

A) monitor

- a) the performance of the MDU to ensure that all the development plan is carried out equitably and transparently
- b) that MDU operates as a local development institution that represents the needs of all people.
- c) that MDU has frequent meetings in which all members can raise their voice
- d) RIDP infrastructure construction to ensure quality of materials and fair labor practices, and
- e) that Operations and Maintenance of the new infrastructure (by the relevant ministries) is being carried out to ensure the safe, efficient, and long-term functioning of the public facilities that are being built with RIDP funds

Allow the larger group to ask questions and answer as best as you can. (If you do not know the answers, note down the questions and contact the PIU for answers).

Step 2: Give 10 minutes time to the larger group to come up with characteristics / qualities of people who will work in the CPM and write down the three most important characteristics. When the time is up, ask them to present these neighborhood by neighborhood. QFs should consolidate the characteristics / qualities into one poster paper (with no repeats) to capture all points made by each neighborhood group and ask for a volunteer to read these out loud. Be sure you get agreement on the characteristics / qualities from the larger group.

Step 3: Again, working in their neighborhood groups, ask each group to discuss for 10 minutes and identify best persons (1 man and 1 woman) to serve on the CPM Team keeping in mind the characteristics / qualities they worked up.

Step 4: Ask each neighborhood to identify the 2 persons they have nominated and ask those nominated if they accept membership in the CPM. Take a poster paper and write the name of the community and district, the date and time, and title it: CPM. Write a statement that says: I will fulfill my role as a member of the CPM to serve my community to the best of my abilities, with integrity, honesty, and commitment. Ask each of the new members to print and sign their names onto this paper. The paper will remain with the MCA Chair and a copy (photo from your camera) will be with the QFs.

Step 5: Thank the new CPM Team members and make a date and time that you can meet them to work with them to build their capacity to achieve their work.

Activity 10: You can now let the larger group go but ask the MDU members to remain and set a time and date to meet with the MDU to explore the feasibility of the 3 sub-projects that have been selected. Thank the larger group for spending a considerable part of their day with you.

Qishlog Development Plan Format (Form 3.10)

Region: _____

Province: _____

District: _____

MCA ID: _____

MCA Name: _____

Date of start of the QDP process: _____ (dd/mm/yyyy)

Date of completion of preparation of this QDP: _____ (dd/mm/yyyy)

Part A1: Analysis Exercises Results: (Poster A1)

1. Resource Mapping:

Date Completed: _____

Approximate % of adult community population that participated: _____

Attach a photo of the map and/ or the summary findings

Summary Findings of Mapping Exercises:

- 1.
- 2.
- 3.
- 4.
- 5.

The summary findings should include: the number of children that attend schools in other villages, the number of families that have no drinking water, access to irrigation, access to roads, access to electricity, etc.

2. Well-Being analysis:

Date Completed: _____

Approximate % of adult community population that participated: _____

Attach electronic copy of the Well-Being Analysis and Summary findings

Summary Findings of the Well-Being Analysis

- 1.
- 2.
- 3.
- 4.
- 5.

(The summary findings should include the number of poor and very poor households;

3. Seasonal Calendar (where applicable):

Date Completed: _____

Attach electronic copy of 2 summary findings (one for men from poor households and one for women from very poor households)

Summary Findings

- 1.
- 2.
- 3.

- 4.
- 5.

(The summary findings should include the number of lean season months, the number of average work days that casual labor is available in agriculture and non-agricultural activities; the daily wage rates (of men and women)

4. Health Analysis

Date Completed: _____

Attach electronic copy of summary findings

Summary Findings

- 1.
- 2.
- 3.
- 4.
- 5.

(This summary findings should include the top 5 health issues for women, the top 5 health issues for men and the top 5 health issues for children.)

5. Education Analysis

Date Completed: _____

Attach electronic copy of summary findings

Summary Findings

- 1.
- 2.
- 3.
- 4.
- 5.

(This summary findings should include the number of school-age children, and the number of kindergarten-age children)

Part A2: The Community's Vision (Poster A2)

Vision: _____

Part A3: Milestones (Poster A3):

List 5 to 10 Milestones that the community will pursue to reach their vision.

- 1.
- 2.
- 3.
- 4.
- 5.

Part B: Qishlog Development Planning Results (Poster B):

Based on the Summary Findings of the Various Exercises, the community has created a vision with key milestones that if completed address the most urgent development needs. the Community will prioritize the following development needs and then classify them into the following categories: (A minimum of 5 and a maximum of 10 milestones each with a different priority can be listed totally.

Community Projects (Rural)

Sector	Subproject	Category 1: Can be undertaken by the community themselves with no external resources	Category 2: Can be financed under the RIDP	Category 3: Would need third party resources to implement
Education (School and Kindergarten)				
Drinking Water and Sanitation				
Public Buildings retrofitting for Energy Efficiency				
Energy Supply				
Social Infrastructure Rehabilitation				
Transportation – includes Roads and Bridge Rehabilitation				
Road Drainage and Strengthening Flood Resilience				
Street Lighting				
Public Spaces Improvements				
Wireless Internet Service				
Construction / Rehabilitation of Bus Terminals and Stops				
Other				

Annex 15: Review of Sub-projects Proposed for RIDP Financing with the DPC

Qishloq Engineer and Qishloq Facilitators Visit 14

At this stage of the RIDP project, the QFs and QEs will organize a meeting of the DPC to review sub-projects proposed for RIDP financing in the Qishloq Development Plans (QDPs) to confirm operations and maintenance (O&M) arrangements and that sub-projects do not duplicate other investments. The importance of this event is that it provides a clear example of social partnership and is another step in increasing the broad participation of the population and the role of the community in decision-making of socio-economic development at the district level, which is one of the strategic directions of the RIDP project. To do this, the RIDP will take the following steps:

Step 1: Organizing the DPC meeting

QFs and QEs, in cooperation with the deputy of the district Khokim (who is a chairperson of the DPC) will organize a DPC meeting with representatives of state agencies of basic and social infrastructure (healthcare, pre-school and primary and secondary school education, departments of water supply, gas and electricity, roads, etc.). The objective is to share the communities' decision and prioritization of sub-projects and for the DPC to confirm O&M arrangements and to double check that funding for the sub-projects decided upon by the community has not been allocated from other state investment programs.

Step 2: Presentation of the QDP in the DPC

QFs and QEs, together with representatives of the MDU (this should be the chair, vice chair and secretary), will participate in the DPC as delegates with the authority entrusted to them to represent and defend their community's QDP priorities in the DPC.

Delegates from the MDU, with the support of the QEs, will prepare flipcharts for the QDP's presentation and also a short speech/explanation (5-10 minutes) on the results (why are the subprojects to be completed first, second, third). They should include any supporting analysis (why the prioritization they have done is key).

After hearing the QDP's presentation (top three priorities), the DPC and representatives of district departments will discuss and review each sub-project to confirm O&M arrangements and that funding for the sub-project has not been allocated from other state investment programs. The QFs and QEs facilitate this process, while the QEs help present the performance of the MDU to ensure competent technical support for the presentation of QDP's sub-projects.

New construction of school or any other infrastructure can be financed only if the sub-project does not exceed the limit of the project funds allocated for one community and if the state or departmental budget is co-financed for material and technical equipment (staff units, furniture, equipment, etc., in strict accordance with the requirements of Sanitary Norms and Rules).

Annex 16: Finalize QDP and Share with Community

Qishlok Facilitators and Qishlok Engineers Visit 15

The QEs and QFs will now return to the community and work with the MDU to finalize the QDP and call for a meeting to share the final QDP in large gathering with people from all neighborhoods as well as the MDU youth subcommittees to explain to the community the QDP and the logic behind funding the sub-project that DPC has agreed to.

At this stage, the QFs and QE together with the MDU, organize a meeting of the community, observing the requirements for ensuring broad participation of the population. Together with the Office Bearers of the MDU who participated in the review of sub-projects in the DPC highlight the process of reviewing the QDP by DPC and read out the Protocol of consideration. Accordingly, they provide detailed information on each 1st, 2nd and 3rd sub-project and on projects that are included in the national development programs for the next 2-3 years.

The purpose of this event is to provide greater awareness and collective decision-making in order to finalize the QDP.

Step 1. Preparing a community meeting.

The steps and actions of the RIDP to prepare this event should be similar to the first meeting of the mahalla and ensure a large population of all representatives of the mahalla and neighborhoods. The venue should be approved by the MCA. It is also necessary to ensure the participation of a representative of the DPC and the relevant district departments, which will be directly related to the first three priority sub-projects selected in the DPC, in order to guarantee a better understanding of the process by the population of the mahalla.

Step 2. Presentation of the latest decisions on the PRC and consideration of the first three priority sub-projects.

At this stage, the QF and QEs, together with the MDU, should develop a module for the meeting and prepare the necessary tools (flipcharts, markers and handouts, if necessary), determine the roles and tasks during the meeting, and think about who will cover what to get maximum efficiency.

During this session, all three priority sub-projects are displayed on the flipchart, with a pre-allocated column for voting results.

Delegates from the MDU will prepare flipcharts with support of QFs and QE for this presentation and a short speech / explanation (5-10 minutes) on the review and conclusions of the DPC and relevant structures. QFs and QE, along with the timing belt needs to explain why the sub-project for implementation 1st why 2nd why 3rd, what has changed and why such decision was made.

Step 3. Vote and Confirm the final QDP and the sequence of revised priorities.

QFs and QE together with the MDU proceed to the final session of the meeting and enter the results of the vote on the adoption of this QDP in a pre-prepared flipchart. But to do this, they must give the population time and opportunity to discuss the transmitted information as well as answer / address any of their questions.

Annex 17: Community Participatory Monitoring

Qishloq Facilitators Visit 16

Introduction

The purpose of Community Participatory Monitoring is to enable the community to monitor the work of the MDU in terms of equitable and participatory development processes, their working as an institution (meeting frequency and dynamics), quality (materials and workmanship) of the infrastructure and fair labor practices as well as Operations and Maintenance.

The CPM will monitor the work of the MDU and the work of the construction company every six months. Note that there are 5 CPM monitoring forms. CPM Form 1 will be completed after 4-5 months of the establishment of the MDU, Form 2 will be completed six months after Form 1, Form 3 will be completed six months after Form 2, Form 4 will be completed six months after Form 3, and Form 5 will be completed six months after Form 4 and at the close of the project.

QFs and QEs should assist the CPM in the first few phases of monitoring. In time, the support of QF to the CPM will reduce.

The CPM Forms -- are easy to complete. See the Forms File Package on CPM

Form 1: has a focus on Qishloq Planning, infrastructure / services menu being publicly posted, fair and transparent elections, and MDU member meetings and the maintaining of minutes.

Form 2: has a focus on MDU meetings, planning and working, and the score cards being completed properly.

Form 3 has a focus on MDU meetings, planning and working, and the score cards being completed properly, as well as the quality of materials being used in the infrastructure construction, the workmanship, and the labor practices.

Form 4 has a focus on MDU meetings, planning and working, and score cards being completed properly, as well as the quality of materials being used in the infrastructure construction, the workmanship, and the labor practices.

Form 5 has a focus on Operations and Maintenance, labor recruitment, MDU meetings, planning and working, score cards being completed properly.

Please also note that shortly after each CPM form has been completed, the CPM should organize a 'Social Audit'. (see Annex 15). In the Social Audit, the CPM should share their findings with the MDU and the larger community. Social Audits will be organized every six months.

Preparation for the Visit to support CPM

Be sure to review the relevant CPM form before visiting the community. As usual, call the MDU Chairman and ask him to arrange for an appointment with the CPM.

At the beginning of your meeting, introduce yourselves and allow for introductions of the CPM / Grievances Committee Members. Now share the objective of the meeting:

To introduce the Community Participatory Monitoring Form 1 and to help the CPM Team complete the form.

Activity 1: (2-3 hours) – Review the relevant CPM form with the CPM answer any questions they have and assist them to complete the form. Be sure that you help them to physically verify each item/ issue that needs to be checked. For example, in Form 1: they need to look at the social map to ensure that all neighborhoods are included, and they need to check that all **PRA** posters are safely kept, etc. For forms 3 and 4, the engineer will have to work with the CPM team.

Annex 18: Strengthening Local Institutions: Working with MDUs

Qishloq Facilitators Visit 17

Preparation for this visit:

Be sure to contact the MDU Chair ahead of time and ask for a date and time that you could meet the entire MDU with all its members for a 2-3-hour meeting.

You will need the Poster with the MDU roles and responsibilities, poster paper and markers.

Greet the MDU members, introduce yourselves, and share the objective of the meeting:

To work with the MDU members to perform their roles and responsibilities and to help them come up with strategies, timelines, and to generally build good practices in terms of meetings and their interactions.

Activity 1: Review of Roles and Responsibilities of the MDU– 30 minutes

Ask the MDU Chair to present the Roles and Responsibilities Poster and allow some time for discussion. Provide some specific questions to the group, such as what are the 5 most immediate roles that you will need to work on. Ask the MDU members to agree on these and to develop a timeline with roles and responsibilities.

Activity 2: Review the QDP Vision, Milestones and Activities – 60 minutes

Ask the MDU Secretary to review the entire QDP. Be sure to include the posters that summarize each of the analysis that were completed (Resources Map, WBA, health analysis, etc.). This way people are reminded of the key issues that the community or certain groups in the community faces. Allow some time for discussion. Now ask the group, to consider each milestone and activity and ask for volunteers to take responsibility for moving forward on each milestone. Be sure that you have minimum 1 man and 1 woman (they can be from different neighborhoods) responsible for key milestones and ask them to come up with an action plan that includes timelines.

The teams responsible for non RIDP funded development outcomes in the QDP should include a strategy how they will lobby for resources to fund or how they will mobilize people to engage in the activity. Be sure you have timelines.

Activity 3: Follow up MDU Frequency and MDU Interactions – 30 minutes

Given all the work that needs to be done, the MDU should meet every two weeks (this is a general rule across all MDUs). Now provide some time and ask the group to brainstorm what will be the rules of interaction for the MDU. Ask men and women to sit separately and for each group to write a poster. To get the groups going ask the following questions:

- How have you been making decisions (by consensus, majority vote, or will the Office Bearers (Chair, Vice Chair, Secretary) make decisions?
- How do you ensure that everyone has voice and is heard?

- How do you ensure participation of all members?
- How do you ensure productive meetings?
- How do you ensure attendance to meetings?
- Who records the minutes and present these in the subsequent meetings for approval?
- How do you ensure follow up on activities that have been agreed upon?

Activity 4: Topics to be covered in MDU meetings – 30 minutes

Now that you have reviewed the roles and responsibilities, have reviewed the QDP and have asked them to make action plans and allocate responsibilities, worked out the rules of interaction, ask the group to come up with how an MDU meeting might be structured given the work that has to be done. Ask them to write this in a poster paper. Be sure that Topics include: each MDU team working on a specific milestone should present their progress to date and the challenges they face. In the MDU meetings, there must be room to discuss how to overcome the challenges.

Activity 5: Introduce the Institutional Maturity Index – 10 minutes

Let the group know that one of the activities that you will engage them in at a later date will be a self-assessment so that they can discuss their progress in terms of their work and how well they work together. This will enable them to assess their maturity as an institution over time and improve their work.

Annex 19: Establishing and Working with Self-Help / Interest groups

Qishloq Facilitators Visit 18

2 -3 hours

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

Working with self-help / interest groups is an important means to institutionalize collective action and enable those that are generally left behind in development processes to improve their lived conditions. As you work in communities, conducting the social analysis and assisting the community to create their QDP, you will find key issues that emerge. These may include poor education for young men and women from poorer families, lack of kindergartens (the community might fund these through RIDP, but the community may also prioritize other projects), people do not sufficiently use health services, or women from poor households may have certain vitamin deficiencies because of poverty or lack of knowledge, etc.

Below is a list of potential self-help activities. In parenthesis you will see key persons in the community that could work for and with such groups to achieve their goals.

1. Learning Circles for young adults (Teachers) MDU youth (male and females)
2. Street-based kindergartens (temporary solution) (volunteer women from each street/ neighborhood)
3. Awareness raising, mobilization of all families to seek health services for adults and children, monitoring services usage (MDU with facilitators and MDU Youth Sub-committees with facilitators)
4. Self-help groups for food deficit farmers are created and supported by better off farmers in the community or from neighboring communities (Civil Society: men and women from poor families with experts providing guidance)
5. Support for poorer families to cultivate vegetables in home plots (dekhan farmers)
6. Self-help group for women who head their families and women from poor families work together, build on their skills and experiences and draw up plans for action (Civil society: can include all women who are interested, but must be pro-poor; MDU Youth women youth-subcommittee)

Preparation for this session:

Using the Well-Being Analysis, identify around 50 people from the poor and very poor groupings and ask the MDU Chair to organize a meeting (be sure to ask when would be the best time for people to meet with you). Be sure that you have people of different ages (young men, middle aged men and women, and older men and women. (Note you will have a separate session for young women – See Annex 13 below).

You will need poster paper and markers for this session.

At the beginning of the meeting, introduce yourself and allow time for introductions for the participants. Be sure to check that all neighborhoods are represented. Now explain the objective of the meeting:

To learn more about the issues that poor people face and to discuss and come up with collective activities to improve address key issues in their lives.

Activity 1: Identify key issues that various groups face – 45 minutes

Ask the larger group to divide into groups: young men, middle aged women, middle aged men, and old women and old men. Give them 30 minutes time to brainstorm about the key issues they face: these might include lack of education, poor health, lack of sufficiently healthy food, lack of income, etc. Ask each group to write the main points on poster paper and ask each group to present their poster. You should keep in mind the various analyses (e.g. the health analysis that highlights the most frequent illnesses that people face).

Activity 2: Identify Self-Help Groups based on key issues – 45 minutes

Discuss each poster and ask the larger group what might be done about this. Be sure to ask: who might be an expert in the community that can perform the role of 'advisor' or teacher to help solve this. For example, if you find that poor households consume too few vegetables they could approach a dekhan farmer who is well known to grow the best vegetables and he could advise them; or if you find that young people feel they do not have sufficient education to be proficient in reading and writing, they could approach the teachers in the community to conduct learning circles for young adults to help them improve their reading and writing skills. The important point is that

each issue that can be improved by the community through the support from experts that reside there. So, at the end of this session, you should have a list of issues and key persons (by name) who will be asked to advise or support the group.

There might also be issues that require resources (e.g. most people may have good drinking water, but some pockets in the community do not, yet the RIDP funds were not allocated for water because there were other infrastructure / services gaps that affected more people). In this case, you should bring this point to the attention of the MDU, so that they can lobby for resources to address this gap.

Activity 3: Action Planning – 45 minutes

Now ask people if they would like to form 2-3 groups (or more) based on the issues they identified. If you have 3 issues – education for young men and women; poor diet; lack of kindergartens – ask people to organize themselves and join on of the groups based on their interest. Ask each group to come up with an action plan that includes:

- Objective of the group and desired outcome
- Identify others in their neighborhoods/ community that face the same issues to join the self-help group
- Identify experts to join the group and support them with expertise and advise or teaching
- Meeting Schedule and time line
- Activities to achieve their goal

Be sure each group makes a table for all activities with a time line and persons responsible. Each group should set a time for their next meeting and there should be clarity what must be achieved by the time of the next meeting. (See Annex 22 below for your follow up visits, where you will meet the self-help groups and support / advise them in their work).

Annex 20: Gender Mainstreaming

Qishloq Facilitators (women) – Visit 19, 20, 21

2-hour meetings

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that your meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

Working with women alone in groups allows them to speak out, share their ideas, and learn to overcome their hesitation about speaking in public and become more confident to express their ideas and views. Equally important, it sends a message that RIDP (the Government) would like for women to be equal partners in the community development process. Because young women tend to be marginalized, the RIDP is designed to include gender sessions. These should be conducted by women QFs to ensure no objection on the part of the community and that this important group of people is not left behind. The main work entails helping young women understand the development process and the key issues that their communities / or groups in the community face. Be sure to invite the MDU women's youth sub-committee members from all neighborhoods to all of these meetings.

Please note that young women are often burdened with much housework and childcare. So you should be sure that these sessions do not exceed 2 hours and are held at times of the day that women have some free time.

Preparation for these sessions:

Ask the MDU Vice Chair to speak to all MDU women members and to ask them to identify as many young women (those that have married into the community) as possible and to ask them to come to a meeting. Be sure to ask the MDU Vice Chair what would be a good day and time to hold such a meeting. (Note; if the MDU Chair is a woman, you should contact her to help you organize this meeting; otherwise it is the MDU Vice Chairperson). This meeting may be large: upwards of 50 women). At the end of this meeting you will arrange another date and time to meet them once more.

You will need poster paper and markers for this session.

At the beginning of the meeting, introduce yourself and allow time for introductions for the participants. Be sure to check that all neighborhoods are represented. Now explain the objectives of the meetings:

To share the RIDP Vision, Objective and Principles, the infrastructure menu, the roles and responsibilities of key actors, the social analysis and the QDP with young women from the community and to seek their inputs and ideas. To learn about their concerns and the issues they face. (Be sure to let them know that this will take 3 meetings)

Meeting 1:

Activity 1: Learning RIDP, part 1 – 30 minutes

Present the Vision, Objective, and Principles of the RIDP. After you have presented each poster, be sure to ask for volunteers from the participants to explain in their own words.

Note: you may want to ask the MDU women youth Sub-committee (if they are comfortable doing so) to present these materials, as they have been part of the process. This will contribute to their capacity to present in public)

Activity 2: Learning the RIDP, part 2 – 20 minutes

Present the Infrastructure Menu; allow for questions

Activity 3: RIDP's Focus on Inclusion and Poverty Reduction – 30 Minutes

Step 1: Ask women to form groups neighborhood-wise, provide markers and poster paper and ask them to discuss how poor, disabled, and old people experience services gap differently than people that have sufficient income. Let the groups work for 15 minutes on their own (be available however to explain things further, if there are questions). Ask them to write the key points on poster paper.

Step 2: When the time is up, ask someone from each neighborhood to come up to the front and present the main points of their discussion. After the 1st group has shared their points, the next groups should only state the points that have not yet been made.

Now, remind the group that the Government is concerned about poverty and wants to reduce poverty and this is why there is much focus on analysis and involving people in the process.

Activity 4: Learning the RIDP, part 3: 30 minutes

Present the Roles and Responsibilities of Key Actors. After each poster, ask for volunteers amongst the participants to summarize in their own words. Allow for questions and provide answers.

Activity 5: Closing and planning the next meeting – 10 minutes

Now thank the group for coming and close. Be sure to organize a day and time for the next meeting (leave at least 1 week space in between meetings)

Meeting 2 (at least 1 week later):

Be sure to begin the meeting with greetings, introductions of new people and the objective of the meeting:

The objective of this meeting is to share the social analysis and the QDP

Activity 1: Learning the Social Analysis – 1.5 hours

- a) Present the Resources Map and ask for volunteers to summarize what they see. Capture this on posters. (do they wish to add something?)
- b) Present the WBA and ask the women to summarize what they learned about the community, Capture this on posters. (is there something important – e.g. criteria that was missed?)
- c) Present the Health and Education Analysis and ask the women to summarize the findings – ask if there is something they want to add to the health analysis or education analysis?

Note: you may want to ask the MDU women youth Sub-committee (if they are comfortable doing so) to present these materials, as they have been part of the process. This will contribute to their capacity to present in public)

Activity 2: the QDP – 30 minutes

Present the QDP? Ask for volunteers to summarize in their own words. Answer questions and allow for discussion.

Note: you may want to ask the MDU women youth Sub-committee (if they are comfortable doing so) to present these materials, as they have been part of the process. This will contribute to their capacity to present in public)

Activity 3: Close the session and make a time for the next meeting (give it 2 – 3 weeks' time).

Thanks the group for their participation and agree on a day and time for the next meeting.

Meeting 3:

Be sure to begin the meeting with greetings, introductions of new people and the objective of the meeting:

To learn more about the issues that young women in the community face and to discuss and come up with collective activities to improve address key issues in their lives.

Activity 1: Identify key issues that young women face – 45 minutes

Ask the larger group to divide into smaller groups (by neighborhood): Give them 30 minutes time to brainstorm about the key issues they face: these might include lack of education, poor health, lack of sufficiently healthy food, lack of income, etc. Ask each group to write the main points on poster paper and ask each group to present their poster. You should keep in mind the various analyses (e.g. the health analysis that highlights the most frequent illnesses that people face).

Activity 2: Form a women's Self-Help Groups based on key issues – 45 minutes

Discuss each poster and ask the larger group what might be done about this. Be sure to ask: which women might be experts in the community that can perform the role of 'advisor' or teacher to help solve this. For example, if you find that poor households consume too few vegetables they could approach a dekhani farmer who is well known to grow the best vegetables and he could advise them; or if you find that young people feel they do not have sufficient education to be proficient in reading and writing, they could approach the teachers in the community to conduct learning circles for young adults to help them improve their reading and writing skills. The important point is that each issue that can be improved by the community through the support from experts that reside there. So, at the end of this session, you should have a list of issues and key persons (by name) who will be asked to advise or support the group.

There might also be issues that require resources (e.g. most people may have good drinking water, but some pockets in the community do not, yet the RIDP funds were not allocated for water because there were other infrastructure / services gaps that affected more people). In this case, you should bring this point to the attention of the MDU, so that they can lobby for resources to address this gap.

Activity 3: Action Planning – 45 minutes

Now ask the women if they would like to form a group that works together to the issues they identified. If you have 3 issues – education for young women; poor diet; lack of kindergartens – the group can work on these issues and coordinate with other self-help groups. Remember, one of the main points of this work is to gain acceptance for young women to be part of collective activities. Ask them to come up with

- Objective of the group and desired outcome
- Identify others in their neighborhoods/ community that face the same issues to join the self-help group
- Identify experts to join the group and support them with expertise and advise or teaching

- Meeting Schedule and time line
- Activities to achieve their goal

Be sure the group makes a table for all activities with a time line and persons responsible. Ask for volunteers to present the work. Be sure to check if the MDU women youth sub-committee members want to take the lead in some of this work.

Activity 4: Closing and time for next meeting – 10 minutes

Thank the group ask them to set a date and time for their next meeting and there should be clarity what must be achieved by the time of the next meeting. (See Annex 16 below for your follow up visits, where you will meet the women's groups and support / advise them in their work).

Annex 21: Social Audit

Qishloq Facilitators Visit 22
(further visits after 12 months and 18 months)

Introduction

The Community Participatory Monitoring Team (CPM) will facilitate a Social Audit after six months, focusing on the quality of the planning process, MDUs work and the QFs. The second Social Audit will take place after 12 months and will focus on the quality of the sub-project implementation and if it meets the community's expectations. The third Social Audit will take place 18 months after the MDU election and will include a focus on the quality of the sub-projects that have been completed and handed over. This final Social Audit will also look into the O&M arrangements. The purpose of the Social Audit will be for the community (from all neighborhoods) to have the opportunity to hear an account of the resources allocation in terms of infrastructure (QDP), the location of the infrastructure (in relation to the map which outlines the neighborhoods that do and do not have certain infrastructure and services, and the overall achievements (in line with the QDP) of the MDU, as well as the quality of the infrastructure, if it meets people's expectations and whether or not the infrastructure is being maintained by the relevant line ministry or the community (whichever is the appropriate arrangement). The social audits will ensure that the MDUs are transparent and accountable to the people who elected them and that the construction firms are doing their work properly.

The sections below outline the Social Audit Process and the QFs should assist the CPM to organize the Social Audit (using Form 3.11) and be present when it takes place. The QFs should also assist the MDU to prepare their presentation to the community. This will take 1 entire visit (CPM preparations (presentation on the CPM findings on posters) and MDU preparations (see below on posters). After 2 Social Audits have been successfully conducted, the QFs can hand over the task entirely to the CPM. However, QFs should be present in the final social audit (and if needed assist the community). Note that a broad range of community members should be presented and 50% of the community members should be women.

The Process of the Social Audit 1 (Topic MDU and QDP)

Activity 1: Share the Social Audit Process / Steps and Form 3.12 with MDUs and CPM so that all members are clear on their roles (1 hour)

Step 1 MDUs will

1. review their ToR (roles and responsibilities) with the community by presenting a poster
2. be prepared to present RDIP information: objective, principles, budget and menu to the community through posters
3. be prepared to present the QDP Milestones and the achievements so far in terms of RIDP– Government Investment Grant; RIDP other donors grants; RIDP community own initiative
4. share the following information (in a table) with the public:

- work completed (participatory activities – maps, WBA, health and education analysis and QDP); the QDP summary posters should be used to explain
- Infrastructure selected in QDP
- Expected date of construction started

Please note: if there are non- RIDP sub-project, i.e. funding from other donors, the MDU should report this in separate table.

5. The progress on any pro-poor or vulnerable group initiatives or collective actions

Step 2: CPM presents their findings

CPM will present their findings first based on their discussions with the community in terms of community satisfaction with the planning process, with the work of the MDU. (discussion should be based on form 3.12) CPM should put together a brief presentation

Step 3: Community Responds and asks questions

- The community members should be given a few minutes to sit neighborhood-wise
- The neighborhood groups then discuss for 15 minutes and come up with questions for the MDU members
- Each neighborhood identifies a person to present the questions
- The MDU members have an opportunity answer their questions

Step 4: Action Plan to Address Key Issues

- Serious issues that take time to be addressed, will be put into an action plan by the MDU members with time lines and persons responsible - in other words, any promises that the MDU members make will be documented and CPM will follow up to ensure the MDU implements its action plan
- The action plan will be put into a poster format and posted in public and signed by the Office Bearers (and FP QFs or GO QF will take a photo)

Follow up in the Next Social Audit Meeting (after 6 months)

In the next social audit meeting (six months later), the action plan will be reviewed and MDU members share their progress or explain why they have no progress or not sufficient progress.

Activity 2: MDU and CPM Team Agree on a Date, Time, and Place for the Social Audit (15 minutes)

Once the process of the Social Audit has been shared, the CPM and MDU agrees on a social audit meeting: the date, time and place. (Note: This meeting should be in a public place that all community members from all neighborhoods feel comfortable. The social audit cannot be held in a private place).

Activity 3: QFs support MDUs to prepare for the Social Audit; and QFs support CPM Team to prepare for the Social Audit (2 hours)

Work with each group – the MDUs and the CPM, but in a separate meeting to prepare. You could help them prepare the format; but they should complete the format as much as possible on their own, putting the data note above.

Activity 4: without QFs -- CPM publicizes the Social Audit date, time and place

Each CPM member should share with their neighborhood residents when and where the meeting will be held and a poster will be posted in a public place and a paper will be put on the Public Notice Board. Because of COVID 19 and the limited number of people that can meet, there may have to be 2-3 social audit meetings (example: 1 social audit for streets 1, 2, and 3; 1 social audit for streets 4, 5, 6, and 1 social audit for street 7, 8, 9. QFs should help the MDU to determine how many meetings will be needed.

On the day of the Social Audit meeting, the CPM members must ensure some (5-10) households from each neighborhood are represented in the meeting. If not, CPM and MDU members should go to each neighborhood and request for people to join.

Activity 5: On Social Audit Day

Follow all the steps outlined above in Activity 1 with MDUs presenting, then CPM presenting – using Form 3.12 and Community people ask questions, and MDU makes an action plan. (Form 3.12 is the basis for reporting and the completed Form needs to be provided to QFs.)

The Process of the Social Audit 2 (Topic MDU, DPC, and SCS)

Activity 1: Share the Social Audit Process / Steps and Form 3.14 with MDU, DPC and Contactors and CPM so that all social audit participants are clear on their roles (1 hour) (The Chief Trainers should visit the DPC to share the process; as well as the Contractors). This Social Audit should largely be conducted by MDUs with support from QFs and QEs.

Step 1: MDU will

1. present the QDP Milestones and the achievements so far in terms of RIDP– Government Investment Grant; RIDP other donors grants; RIDP community own initiative
2. The progress on any pro-poor or vulnerable group initiatives or collective actions
3. share the following information (in a table) with the public:
 - Infrastructure selected in QDP
 - Date of construction started

Step 2: DPC will

4. Explain the expenditures of Project related finances (this should be done presenting a poster)

Step 3: SCS will

5. Explain the expenditures so far
6. The work completed so far and the work that remains
7. Laborers hired (# of laborers and from which neighborhood), wages paid
8. Outline how they followed fair labor practices
9. How they followed ESS rules and regulations

This information should be presented in poster format

Step 4: CPM presents their findings

CPM will present their findings first based on their discussions with the community in terms of their satisfaction with MDU (participatory, inclusive, transparent), satisfaction with quality of the project so far, fairness of the labor process, timeliness of start date,

Step 5: Community Responds and asks questions

- The community members (along with the CPM Team members) should be given a few minutes to sit neighborhood-wise
- The neighborhood groups then discuss for 15 minutes and come up with questions for the MDU members
- Each neighborhood identifies a person to present the questions
- The MDU, DPC members and Contractors have an opportunity to answer their questions

Step 6: Action Plan to Address Key Issues

- Serious issues that take time to be addressed, will be documented by date and time and the issues and the persons /entities responsible will be noted. This will be put into an action plan by the MDU members with time lines and persons responsible - in other words, any promises that the MDUs, DPCs, or construction companies make will be documented and CPM will follow up to ensure the MDU implement their action plan and the MDU and MCA will ensure that DPC, and Contractors implements their action plan
- The action plan will be put into a poster format and posted in public and signed by the MDU Office Bearers (and FP QFs or GO QF will take a photo) , and the DPC will sign for their action plan and the Contractors will sign for their action plan.
- CPM to complete Form 3.12 and provide this to QFs.

Follow up in the Next Social Audit Meeting (after 6 months)

In the next social audit meeting (six months later), the action plan will be reviewed and MDU members share their progress or explain why they have no progress or not sufficient progress.

Activity 2: MDU and CPM Team Agree on a Date, Time, and Place for the Social Audit (15 minutes)

Once the process of the Social Audit has been shared, the CPM and MDU agrees on a social audit meeting: the date, time and place. (Note: This meeting should be in a public place that all community members from all neighborhoods feel comfortable. The social audit cannot be held in a private place).

Activity 3: QFs support MDUs to prepare for the Social Audit; and QFs support CPM to prepare for the Social Audit (2 hours)

Work with each group – the MDUs and the CPM, but in a separate meeting to prepare. You could help them prepare the format; but they should complete the format as much as possible on their own, putting the data note above. The DPCs and Contractors should prepare their own posters

Activity 4: without QFs -- CPM publicizes the Social Audit date, time and place

Each CPM member should share with their neighborhood residents when and where the meeting will be held and a poster will be posted in a public place and a paper will be put on the Public Notice Board.

On the day of the Social Audit meeting, the CPM members must ensure that a minimum of 60% of all households from each neighborhood are represented in the meeting (half should be women). If not, CPM and MDU members should go to each neighborhood and request for people to join.

Activity 5: On Social Audit Day

the first step will be to present the action plan from the last social audit and the MDU should share what they have done to address any issues (if any) that arose.

The audit then continues with the 5 steps outlined in Activity 1 above (**Social Audit 2**)

The Process of the Social Audit 3 (Topic MDU, DPC and SCS)

Activity 1: Contact the MDU, DPC and Contractors and provide the date of the planned final Social Audit and ask them to prepare as outlined below: (The Chief Trainers should visit the DPC and the Contractors to share the process and Form 3.15). This Social Audit should largely be conducted by MDUs with support from QFs and QEs.

Step 1 MDU will

1. present the QDP Milestones and the achievements so far in terms of RIDP– Government Investment Grant; RIDP other donors grants; RIDP community own initiative
2. The progress on any pro-poor or vulnerable group initiatives or collective actions
3. share the following information (in a table) with the public:
 - Infrastructure selected in QDP
 - Date of construction started
 - Date construction completed

Step 2 DPC will

4. Explain the expenditures of Project related finances (this should be done presenting a poster)
5. Discuss the O and M arrangements

Step 3 SCS will

6. Explain the expenditures so far
7. When the work was completed
8. Laborers hired (# of laborers and from which neighborhood), wages paid
9. Outline how they followed fair labor practices
10. How they followed ESS rules and regulations

This information should be presented in poster format

Step 4: CPM presents their findings

CPM will present their findings first based on their discussions with the community in terms of quality of the project, fairness of the labor process, completion rate of the sub-projects, and the operations and maintenance of the sub-projects)

Step 5: Community Responds and asks questions

- The community members (along with the CPM Team members) should be given a few minutes to sit neighborhood-wise
- The neighborhood groups then discuss for 15 minutes and come up with questions for the MDU members
- Each neighborhood identifies a person to present the questions
- The MDU, DPC members and Contractors have an opportunity to answer their questions

Step 6: Action Plan to Address Key Issues

- Serious issues that take time to be addressed, will be put into an action plan by the MDU members with time lines and persons responsible - in other words, any promises that the MDU members make will be documented and CPM will follow up to ensure the MDU implement their action plan and the MDU and MCA will ensure that DPC, and Contractors implements their action plan
- The action plan will be put into a poster format and posted in public and signed by the MDU Office Bearers (and FP QFs or GO QF will take a photo) , and the DPC will sign for their action plan and the Contractors will sign for their action plan.

Follow up in the Next Social Audit Meeting (after 6 months)

In the next social audit meeting (six months later), the action plan will be reviewed and MDU members share their progress or explain why they have no progress or not sufficient progress.

Activity 2: MDU and CPM Team Agree on a Date, Time, and Place for the Social Audit (15 minutes)

Once the process of the Social Audit has been shared, the CPM and MDU agrees on a social audit meeting: the date, time and place. (Note: This meeting should be in a public place that all community members from all neighborhoods feel comfortable. The social audit cannot be held in a private place).

Activity 3: QFs support MDUs to prepare for the Social Audit; and QFs support CPM to prepare for the Social Audit (2 hours)

Work with each group – the MDUs and the CPM, but in a separate meeting to prepare. You could help them prepare the format; but they should complete the format as much as possible on their own, putting the data note above. The DPCs and Contractors should prepare their own posters

Activity 4: without QFs -- CPM publicizes the Social Audit date, time and place

Each CPM member should share with their neighborhood residents when and where the meeting will be held and a poster will be posted in a public place and a paper will be put on the Public Notice Board.

On the day of the Social Audit meeting, the CPM members must ensure that a minimum of 60% of all households from each neighborhood are represented in the meeting (half should be women) . If not, CPM and MDU members should go to each neighborhood and request for people to join.

Activity 5: On Social Audit Day

The first step will be to present the action plan from the last social audit and the MDU should share what they have done to address any issues (if any) that arose.

The audit then continues with the 5 steps outlined in Activity 1 above (Social Audit 3). Form 3.15 needs to be completed by the CPM Teams and submitted to QFs.

Annex 22: Follow up / Support to MDUs; CPM Committee; Self-Help Groups

Qishloq Facilitators Visit 23, 24, 25
3-4 hours

Facilitation Tips:

1. Never, ever, hold a meeting in a private house
2. Be sure that you meeting place is acceptable to all groups and individuals in the community
3. Be sure to clearly explain the objective of the meeting and ask someone from the village to repeat the objective in their own language
4. Be sure to tell the participants how long this exercise will take
5. When finalizing the work, be sure to ask for agreement amongst the participants and ask them to raise their hand if they agree. If there are people who disagree, discuss and try to resolve the disagreement. If not, go with the majority decision.
6. Do not accept food or drink in the community; kindly explain that this is against the rules
7. Always be respectful and treat all people as though they are **your** family;
8. Be sure that you focus on setting the environment (a good space for all to sit or be comfortable; for all village participants to see each other and discuss)
9. Be sure you have assigned someone to handle gate-keepers (those that interfere and try to dominate). Take these people out of the session and ask them to share their knowledge about the village with you
10. Be sure you have assigned someone to take children out (if they disturb) and play a game with them
11. When closing a session, be sure to repeat the main points that all agreed on and obtain agreement from the larger group

In year 1, QFs will visit each community roughly 30 times. In areas where communities are close together, QFs may visit 2 communities in one day, in which case, they will have more available days per community. It is expected that each QF pair spend at least 4 days in the field (if the communities are relatively close and they can occasionally visit 2 communities in one day) or 5 days in the field (if the communities are spread out and the SOs can only visit one community per day).

Once the MDU has been elected, the analysis completed, QDPs created each pair of QFs will continue to work in their communities and conduct follow-up visits to the MDU, CPM/ Grievances Committee, and Self-Help Groups and any other meetings that need to be held.

Objective: Follow up visits for MDUs, CPM and Self-Help Groups

Follow-up visits are crucial and the activities below outline how a follow-up visit with a MDUs, committees and the Grievances and CPM committee should be conducted. The Self-help groups will especially need support.

Note: QFs must maintain a proper weekly schedule where each visit to communities is noted. Visits must be well prepared for, well-structured and follow the activities outlined in this training manual. Under no circumstances is a QF to visit one community more than 2x per week (unless there is an issue to be solved and meetings with various actors must be held).

Preparation: Be sure to bring Idea Cards, Pens, and Poster Paper. Contact the MDU Chairman and ask him to make appointments for you. Please also ask the MDU Chairman and other office bearers to be present.

Follow up visits should consider which activity is needed:

MDU

Activity 1: Follow up/ support to MDUs and Presentations by MDU members on their progress -- 1 hour

Ask the MDU members to present their progress and the challenges they faced. Each presentations should be 5 minutes and there should be 10 minutes for discussion. If an MDU team (remember you worked with them to form teams and take responsibility for key activities) has faced challenges, ask the larger group to brainstorm how these challenges could be overcome. Be sure you allow time for this.

Activity 2: Follow up / support to CPM (1.5 hours)

CPM

- a. Ask them to share with you, which CPM forms (3.11, 3.12, 3.13) they have completed (this will depend on where you are in the process. Review the form and make sure that it has been properly completed. If needed, support the CPM committee to complete the CPM process for the first form. In time, the CPM will be able to monitor on its own.

Self-Help Groups

Activity 3: Follow up/ support to Self-Help Groups and Presentations by Self-Help Groups on their progress – 1.5 hours

Ask each self-help group to present their progress and the challenges they faced. Each presentation should be 10 minutes and there should be 10 minutes for discussion. If a self-help group has faced challenges, ask the larger group to brainstorm how these challenges could be overcome. Be sure you allow time for this.

Young Women

Activity 4: Meet with Young Women and ask them to report on their Progress – 1.5 hours

Ask the women to present their progress and the challenges they faced. The presentation should be 10 minutes and there should be 10 minutes for discussion. If the group has faced challenges, ask all to brainstorm how these challenges could be overcome. Be sure you allow time for this.

Annex 23: Institutional Maturity Index

Qishloq Facilitators Visit 26 2 hours

Introduction

The Institutional Maturity Index Tool assesses the growth (maturity) of MDUs

The RIDP IMI is a self-evaluation tool that is designed to not only assess MDUs, but to be an educative process through which the elected representatives in MDUs engage in self-reflection to consider their interactions and their work.³ MDUs should go through the self-evaluation process after the first 6 months of their creation (election) and once each year thereafter until the program closes.

The responsibility of taking MDUs through the IMI self-evaluation process lies with FP and GO QFs

On IMI Frequency, the Actors involved, and the Time needed

The session for the MDUs will require about 2 hours. FP QFs should complete IMI sessions as part of other visits, where they complete other activities (follow up visits, for example).

Ideally, 100% of MDU members (men), (women) should be present and a minimum of 80 percent must be present.

On the Implementation of the Tool (for QFs)

Appointments and Planning: please call the MDU Chairperson (at least 1 week ahead and follow up by phone the day before the meeting) and ask him to give a time and day on which the entire MDU can spare 2 hours with you to meet.

The tool to be used (Form 3.17) is designed to help MDUs to self-assess their work and practices in a systematic way. Each topic / question and set of answers requires that the group reach agreement in providing an answer. During the discussion for each topic and answer, the participants should provide clear examples of why a certain answer fits the best. Each sub-topic question has four answers that follow roughly the same pattern: 3= is most satisfactory with little room for improvement, 2=satisfactory with some room for improvement, 1=unsatisfactory with considerable room for improvement and 0= very unsatisfactory with very much room for improvement.

Whilst the numbers and ratings are important, what is just as important is the discussion that the council or sub-committees have in order to arrive at the numbers. Always be sure to ask for examples. So if, a MDU wants to put 3 points for meeting attendance, they should provide examples of when everyone participated or when they did not, or examples of meetings where only a few people attended. If the top score of 3 cannot be justified, then the term most or some should be applied, reducing the points. If agreement cannot be reached, they the group should take a vote and the majority score should be recorded. This should be done for each question.

Be sure to be systematic.

³ The IMI is an adapted version of Norman Uphoff's 'Field Methodology for Participatory Self-Evaluation of the Peoples' Participation Program and Inter-Group Association Performance. See Uphoff, N. 1989. Human Resources and Agrarian Reform Division, FAO.

Part A: To introduce the IMI tool to the MDU, share the following with the MDU members when you begin the IMI exercise:

“As part of our and your learning, we would like to engage you in a self-evaluation after 6 months of being elected. The self-evaluation will help us understand how to better support you and it will help you understand where you are in relation in terms of a well-functioning MDU. The self-evaluation will take approximately 2 hours and we will be asking you to discuss amongst yourself and arrive at a rating in the following areas (topics)”:

- Meetings, decision-making, planning and follow up
- Accountability and Engagement with the Wider Community
- Resources Mobilization, Pro-Poor Achievements
- Transparency within the MDU
- Operations and Maintenance.

Each Sub-Topic will be scored so that the MDU can see how they are doing in each area of their work. Once completed, MDU should discuss in which Sub-Topic they are doing well and in which Sub-Topic they are not doing well. The session should conclude with action points how to address poor performance / improve.