



O'ZBEKISTON RESPUBLIKASI  
IQTISODIYOT VA MOLIYA  
VAZIRLIGI

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# INTERGRATED COMMUNITY DEVELOPMENT PLAN MANUAL

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The views and conclusions presented reflect only the point of view of the authors and are not the official position of the Government of the Republic of Uzbekistan, UNDP in Uzbekistan, as well as the Islamic Development Bank and OPEC Fund for International Development.

# TABLE OF CONTENTS

<b>ABBREVIATIONS</b> .....	<b>5</b>
<b>1   INTRODUCTION</b> .....	<b>6</b>
1.1. Objective of the Manual .....	8
1.2. Application scope .....	8
1.3. Structure of the Manual .....	8
1.4. Definitions .....	9
<b>2   COMMUNITY DEVELOPMENT PLANNING PRINCIPLES</b> .....	<b>10</b>
2.1. Programme approach .....	11
2.2. Bottom-up approach .....	12
2.3. Proportional representation .....	13
2.4. Foresight into mid-to-long term development .....	15
2.5. Sectoral approach for investments .....	16
2.6. Synergies with adjacent territories .....	18
2.7. Compliance with national and sub-national development planning .....	19
2.8. Link to the budget planning process .....	20
2.9. Sustainability of investments .....	21
<b>3   FACILITATION ROLE AND WORK PRINCIPLES</b> .....	<b>24</b>
3.1. Neutrality .....	25
3.2. Engaging community .....	26
3.3. Asking questions instead of giving answers .....	27
3.4. Competencies of facilitators .....	29
3.5. Knows how to use tools of CDP development .....	30
<b>4   METHODS AND TOOLS IN CDP ELABORATION</b> .....	<b>32</b>
4.1. Desk review .....	34
4.2. Meetings .....	35
4.3. Visual observations .....	35
4.4. Community mobilization workshop .....	36
4.5. Tools in CDP elaboration .....	36
<b>5   CARRYING OUT CDP ELABORATION</b> .....	<b>38</b>
Step 0: Preparation .....	41
Sub-step 1: Mobilizing facilitation and support team .....	41
Sub-step 2: Identification of scale of available resources .....	42
Sub-step 3: Defining time schedule and work organisation .....	43
Step 1: Presentation to region and district .....	44
Sub-step 1: Preparation for the meeting .....	44

Sub-step 2: Holding the meetings .....	45
Step 2: Creation of district working group .....	46
Sub-step 1: Forming of working group .....	46
Step 3: Data collection about the community .....	47
Sub-step 1: Collection of statistical and spatial data .....	48
Sub-step 2: Collection of policies related data .....	48
Step 4: Community mobilization workshop .....	49
Sub-step 1: Invitation to discussion .....	50
Sub-step 2: Identification of development problems .....	52
Sub-step 3: Voting for priorities .....	53
Sub-step 4: Forming initiative group .....	54
Step 5: Finding solutions with initiative group .....	55
Sub-step 1: Preparation for the meeting .....	55
Sub-step 2: Holding the meeting .....	56
Step 6: Visual and technical inspection .....	57
Sub-step 1: Inspection of objects proposed as development priorities .....	58
Sub-step 2: Identification of alternative solutions .....	58
Sub-step 3: Cost and impact estimation for alternatives .....	59
Step 7: Technical alignment with district working group .....	60
Sub-step 1: Preparation for the meetings .....	61
Sub-step 2: Holding the meetings .....	61
Step 8: CDP elaboration .....	62
Sub-step 1: Elaboration of strategic part of CDP .....	63
Sub-step 2: Elaboration of Operational part of CDP .....	75
Step 9: CDP presentation to community and district .....	79
Sub-step 1: Preparation for the meetings .....	80
Sub-step 2: Holding the meetings .....	81
Step 10: Monitoring and evaluation of implementation .....	81
Sub-step 1: Monitoring of implementation .....	83
Sub-step 2: Evaluation of implementation .....	85
Step 11: Regular CDP Review .....	86
Sub-step 1: Review of the Strategic part .....	87
Sub-step 2: Review of the Operational part .....	88

<b>ANNEXES .....</b>	<b>.90</b>
Annex 1: Check list for implementation of CDP elaboration .....	91
Annex 2: Suggested data for socio-economic analysis .....	92
Annex 3: CDP template .....	93

# ABBREVIATIONS

<b>CDP</b>	Community Development Plan
<b>HR</b>	Human resources
<b>IT</b>	Information technologies
<b>IsDB</b>	Islamic Development Bank
<b>NGO</b>	Non-governmental organization
<b>OPEC</b>	Organization of the Petroleum Exporting Countries
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>WB</b>	World Bank

# 1 | INTRODUCTION







In August 2022 Joint Project of the Ministry of Economy and Finance of the Republic of Uzbekistan and UNDP Component B “Engineering Services and Strengthening Capacity in Infrastructure Management” of the “Sustainable Rural Development” financed by Islamic Development Bank and OPEC Fund for International Development (thereinafter – Project) was launched. It is a joint initiative of the UNDP Uzbekistan, the Ministry of Economy and Finance of the Republic of Uzbekistan and being implemented with financial support of the Islamic Development Bank (thereinafter- IsDB) and OPEC Fund for International Development to create favourable living conditions for rural residents and ensure their access to basic infrastructure, socio-economic services including access to health and education.

Objectives of the Project are as follows:

- Strengthening the capacity of local communities to identify and represent their interests and needs;
- Training representatives of local architectural and design institutes and regional construction departments;
- Capacity building of the construction sector and architectural design to implement innovative IT solutions and digital transformation from a gender perspective;
- Involving local communities in decision-making processes.

The Project aims at rising living standards of about 710 000 rural people of 170 makhalla communities in 20 districts of the Republic of Karakalpakstan, Bukhara, Navoi and Khorezm regions by improving road and transport infrastructure, engineering and communication networks, power supply system, application of resource-saving, income generation and environmentally friendly technologies in construction and renovation of social facilities such as

kindergartens, secondary schools and rural clinics through strengthening participatory local governance processes.

Each sub-project selected by the community should achieve following main goals:

- Enhancement of living standards of the population of community;
- Income generation opportunities for the population of community.

Besides that it is planned that around 10,000 people will be trained through capacity building activities both in communities and local institutions with >30% women/youth participation.

Intergrated Community Development Plan Manual (thereinafter – CDP Manual) is supported by IsDB Project and aimed to guide the elaboration of CDPs.

## 1.1. OBJECTIVE OF THE MANUAL

The primary objective of the CDP Manual is to serve as a reference guide in CDP elaboration process to assist the stakeholders involved and ensure programme based, integrated, and forward-looking territory development document through utilizing bottom-up approach and engagement of local community.

The CDP Manual serves the operational purposes:

- Guides local facilitators, community initiative group and other stakeholders through the process of elaboration of CDP;
- Prepares operational input for sub-projects that will serve as instruments for CDP implementation.

## 1.2. APPLICATION SCOPE

The key audience of this CDP Manual is local communities of Uzbekistan and local facilitators assisting the communities in elaboration of CDPs. CDP Manual could be used for initial elaboration of CDP and update of CDP. This Manual could be also used by the local and regional authorities as well as international donors and NGOs in their support of community development approaches.

## 1.3. STRUCTURE OF THE MANUAL

The CDP Manual is structured as follows:

- Introduction Chapter explaining the overall objective of the Manual, scope and applicability, as well as definitions;
- Chapter on Community Development Planning Principles;
- Chapter on Facilitation Role and Work Principles;
- Chapter on Methods and Tools in CDP Elaboration summarizing the application of the methods and relevant tools in collection of data and carrying out the analysis;
- Chapter on Carrying out CDP elaboration, describing steps for the process.

## 1.4. DEFINITIONS

<b>CDP</b>	Community Development Plan: programme-based, integrated, and forward looking territory development document elaborated for the territory of the local community through utilizing bottom-up approach and engagement of local community
<b>CDP elaboration</b>	Process of elaboration of CDP for local community covering all programme cycle and whose main elements are engagement of the local community and bottom-up approach
<b>Local community</b>	Total population of the local community living in particular administrative area whose territory's CDP elaboration is concerned
<b>Initiative group</b>	Representatives of the local community selected based on proportional representation principle acting as consultative and task force body in CDP elaboration
<b>IsDB</b>	Islamic Development Bank, development partner and a financing donor to Uzbekistan supporting development and implementation of CDPs under rural development project
<b>Facilitators</b>	Trained specialists assisting the local community in elaboration of CDP by organizing the overall CDP elaboration process, engaging the stakeholders, performing the drafting process
<b>PIU</b>	Project Implementation Unit of Ministry of Economy and Finance of the Republic of Uzbekistan whose main responsibilities relate to provision of assistance in implementation of CDP and its sub-projects
<b>District working group</b>	Working-level body encompassing representatives of public authorities concerned – owners of public infrastructure, representatives for territory development function
<b>Public infrastructure</b>	Any object of infrastructure for public use or restricted-use infrastructure object in ownership of public authorities. For the purposes of this document, public infrastructure can also include equipment necessary for provision of public services
<b>Development problems</b>	Issues and challenges identified by community representatives that are addressed in CDP
<b>Sub-project</b>	Operational configuration of development problem, having an objective, targets, activities, budget, implementation provisions

# 2 | COMMUNITY DEVELOPMENT PLANNING PRINCIPLES



This Chapter summarizes the key principles that are important in elaboration and management of the CDP, as well as provides explanatory base on interpretation and correct application of the principles.

## 2.1. PROGRAMME APPROACH

Territory development is most commonly planned through an integrated territorial development programmes. In international best practice it is accepted as a preferred option in comparison with individual projects based approach.

Programme is considered as a set of coordinated interventions aiming at a certain strategic objective and having defined results, encompassing a budget framework, implementation, monitoring, reporting, and evaluation arrangements. Thus, the concept of the programme goes beyond a pure collection of projects – it has to have an overall objective and results set, as well as processes and arrangements related to programme cycle.

Programme approach in development planning usually encompasses overall strategy and objectives for the development and leads to the identification of key priority areas / sectors that are critical for the development of territory and need to be addressed through the programme within a certain period of time. In contrast, project-based approach leads to identification of key critical interventions that need to be addressed, managing and implementing those as single projects with a defined objectives, budget, and implementation provisions.

Community development is a long-term process, requiring clear objectives, integrated actions aiming to succeed the objectives set, budget framework covering the whole perspective, etc. Programme



approach allows to plan in longer term, provide the strategy and required complexity of actions, totality and flexibility of financial framework instead of approach where development and implementation of individual project is in focus.

Elements of principle	Explanation
<p><b>Objectives and targets</b></p>	<p>The programme objectives should state the goals what will be achieved through the implementation of the programme.</p> <p>The programme must have a list of objectives (traditionally, 1 general objective and 3-5 specific objectives) and targets (5-10 indicators with current levels and desired levels at a specified time in the future).</p> <p>These elements provide overall direction for all actions under the programme and serve as criteria for relevance of any action.</p>
<p><b>Single underlying strategy</b></p>	<p>In order to arrive to objectives and targets, a coherent, integrated and coordinated view to current strengths and weaknesses and future potentials and risks of the territory must be created.</p> <p>It will lay-out the approach to achieving objectives and targets, as well as serve as a check on how achievable those objectives and targets are.</p>
<p><b>Programme level budget framework</b></p>	<p>For a programme to be realistic in its expectations, objectives, and targets, it must have clear understanding of available resources, mostly in the form of financial resources.</p> <p>All sources of funding must be included in the overall budget and counter-faced with estimated costs of the programme where possible.</p>
<p><b>Common implementation framework and arrangements</b></p>	<p>In order to be able to achieve a programme must have implementation chapter describing all stages of implementation and responsible bodies for each step – or at the very least a method to identify the responsible bodies when a decision on specific action (or investments or sub-project) is to be taken.</p> <p>Without implementing arrangements, every action will start from a blank page and resulting in wasting time and resources and creating opportunity for mistakes.</p>
<p><b>Common monitoring and evaluation framework and arrangements</b></p>	<p>For the programme author / owner (and for the financiers, like IsDB) to learn of success of the programme, monitoring arrangements must be established.</p> <p>Oftentimes, monitoring starts during implementation, when it is already too late: situation changed and data about conditions before interventions is not available. Therefore, monitoring arrangements must be established and start their operations during elaboration of the programme / CDP.</p> <p>Meaningful on-going or ex-post evaluation to assess implementation results, efficiency, effectiveness, etc. is only available if qualitative monitoring data are available, therefore monitoring has significant importance for programmes.</p>

## 2.2. BOTTOM-UP APPROACH

Elaboration of the CDP is a participatory process, where facilitators assist the communities in analysing their needs and opportunities and deciding on priorities for their development.

Undoubtedly, the state, regional and district authorities have significant influence on local development, but they must remain within their competencies and allow citizens of communities to make important decisions on the local level.

It is therefore an important principle of the CDP that the people of communities have the right to participate in the decisions that affect their lives directly. This is not only underpinned by the ideals of democracy, but also bring improvements in quality to the CDP process:

- Citizens add value to the CDP process through local knowledge and ability to identify needs and find ways to address their needs;
- Equal participation process also builds trust in the community through cooperative strategies of problem solving and discussion;
- Participatory approach and trust among citizens of community can also be valuable in the implementation stage when monitoring can partially be carried out by the community.

For the participatory process to be successful great care needs to be devoted to equal participation, as described in the principle below.

Elements of principle	Explanation
<b>Initiative is originated by citizens</b>	<p>It is important to realise that citizens of communities have much greater amount of information than facilitators, Project's other experts or representatives of district, regional or national authorities just through living in their community.</p> <p>The role of the CDP process is to allow them to locate this knowledge and select the most meaningful insights into their social, economic, and environmental situation. Facilitation enables the community to help themselves as opposed to performing analysis and prioritisation of investments for them.</p>
<b>Needs of citizens are the focus</b>	<p>Any analytical or prioritisation work must be performed with a perspective of needs and opportunities of citizens of community – it is up to them to identify and verify the needs, opportunities and investment priorities with the assistance of facilitators.</p> <p>Facilitators and other Project's experts must be careful not to influence the analysis or selection process.</p>
<b>Citizens prioritise the investments</b>	<p>Likewise in the prioritisation stage, citizens of community must have a leading role and should not be influenced by facilitators or international best practice.</p> <p>A strong example here could be environmental needs. If those needs are not identified by the community representatives, they can be surfaced by the facilitators. Yet if the community does not recognise environmental needs and prefers to focus its investments on other areas, the Project and facilitators must respect choices of the community.</p>

### 2.3. PROPORTIONAL REPRESENTATION

Equality is about the equal value and rights of all people. No one should be discriminated against on the basis of gender, age or other characteristics. Gender equality and inclusion are an end in themselves, but they are also important for sustainable development, and a prerequisite for eradicating poverty.

Proportional representation refers to a type of representation where sub-groups of inhabitants are reflected proportionately, in decision-making or any other participatory process. It is a way to bring diversity of the community into its micro-model enabling the process (i.e. allowing to work with a manageable group of representatives) all the while not losing the characteristics and potentially opinions of all groups that need to be represented.

The main characteristics of inhabitants of community are as follows: gender, age, education levels, labour force status, ethnicity, as well as place of residence. This could also be the input for identifying the characteristics for community micro-model for identification of sub-projects and initiative group.

In the context of composition of inhabitants who are invited for identification of development priorities and composition of the initiative group, proportional representation could be considered as synonym for fair representation, as the accuracy of the identified community members directly impacts the decisions regarding CDP.

Elements of principle	Explanation
<p><b>Characteristics</b></p>	<p>Key characteristics to address while identifying groups to be represented are:</p> <ul style="list-style-type: none"> <li>• Age,</li> <li>• Gender,</li> <li>• Education level,</li> <li>• Employment status,</li> <li>• Place of residence.</li> </ul> <p>These are to be taken into account when composing any representation of the community (initiative group, community meeting or any other). A single person falls into many groups, and can be viewed as representing them all – but a balance must be struck to ensure all key groups are adequately represented in the composition.</p>
<p><b>Giving voices to groups in communities</b></p>	<p>Representatives of some groups naturally are viewed as more important, more reliable, paid more attention. This might be due to cultural or historic reasons.</p> <p>While the CDP process must be respectful of the cultural and historical traditions, all groups must be given voices, and it is the job of facilitators to ensure this by giving the opportunity to speak or asking direct open questions to less-active groups.</p>
<p><b>Avoiding concentration of support on a single group</b></p>	<p>Practical outcome of domination of a certain group in a community might be concentration of analysis and support on needs of this more powerful group, while leaving other needs ignored.</p> <p>It is important to remember that the needs promoted loudest might not be the most important needs for development of the community as a whole.</p>
<p><b>Identifying most important needs</b></p>	<p>Giving voices to less-heard groups of citizens might result in a wider variety of development needs and opportunities to be analysed and prioritised. Number of the beneficiaries (volume of target group) also is among key measurements for the community needs selection.</p> <p>While on the surface it creates a higher work-load to the facilitator and the initiative group, this can be expected to produce a more robust CDP and better-justified list of priority investments / sub-projects.</p>



## 2.4. FORESIGHT INTO MID-TO-LONG TERM DEVELOPMENT

Socio-economic development analysis is an integral part of any territorial development strategy, just as the environmental analysis is. Socio-economic development is measured through indicators, such as income, business activity, life expectancy, literacy, levels of employment, etc. Socio-economic development analysis provides critical inputs for justifying the development needs.

Similarly environmental analysis is based on its key indicators and creates a set of development needs to be addressed by the CDP process.

Both these analysis areas must also be made future-proof within the CDP process. Foresight into medium- to long-term situation, needs and legal requirements is necessary within the planning process. Some of the foresight components might be extrapolation of existing development trends, some might come from less-structured anticipation of the future needs – but all of those must be identified and verified within the initiative group and the district-level work group to be fed into the CDP.

Elements of principle	Explanation
<b>Time limitations</b>	<p>The CDP must be time-specific, i.e. while elaborating the CDP it must be clear what time it will cover and there must be at least some clarity about what comes after this iteration of the CDP (a new CDP, district level plan, or there will be nothing).</p> <p>This information about validity and sustainability of the CDP will be useful in identifying the most important investment and development needs and prioritising among those.</p>
<b>Development planning for future</b>	<p>While elaborating the CDP it is important to take the timeframe in mind and propose and prioritise the needs as they will manifest at the time of completion of the CDP investments not at the moment of drafting the CDP.</p> <p>Some areas might see magnitude of needs grow (e.g. due to positive demographic trends schools might require more capacity in 5 years than today), some other needs might diminish (e.g. remote work and study might decrease demand for public transportation).</p> <p>The CDP and its sub-projects must satisfy not only current levels of needs, but also future needs.</p>
<b>Extrapolation of current trends</b>	<p>The simplest solution to foresight in analysis and needs is extrapolation of existing trends. By taking data for any indicator over the last few years one can construct an extrapolated trend into the next 5 or 10 years.</p> <p>This method might be more reliable in some areas (demography) and less reliable in others (trade balance), but can be used if analyst understands its limitations.</p>
<b>Complex foresight solutions</b>	<p>More complex solutions involve:</p> <ul style="list-style-type: none"> <li>• In-depth analytics of economic and environmental network effects to identify most significant change factors;</li> <li>• Micro-level analysis of main economic actors in the community, district, and the regions;</li> <li>• Analysis of legal and policy framework to foresight future priorities and requirements;</li> <li>• And others.</li> </ul>

## 2.5. SECTORAL APPROACH FOR INVESTMENTS

Public investments are often grouped together irrespectively of the type of investments or economic or policy area the investment is taking place in. This might lead to sub-optimally generic approach to identification of needs, formulation of solutions, and attraction of funding sources.

More specific approach to this work is advisable. It is proposed to determine areas / sectors of investments and focus analysis as well as development planning on the priority sectors. This can be identified via definition of main development problems or via identification of most significant economic / employment sectors.

Identification of key sectors for analysis is necessary to enable more focused approach to analysis – and to the steps following: selection of alternative solutions, elaboration of sub-projects, identification of ownership of investments and relevant target groups, and targeting the source of funding, which could be most appropriate and motivated to finance the specific needs.

Elements of principle	Explanation
<b>Identify key sectors to be analysed</b>	<p>Identification of key sectors can be organised via analysis of strengths and analysis of weaknesses. Both approaches are valid and often can work successfully together.</p> <p>By strengths one can understand existing well-performing sectors of economy (agriculture or mining) or natural reserves (wetlands, rivers, ore locations) – all of these can justify a closer look at the underlying policy area or sector of economy.</p> <p>Likewise, weaknesses can be problematic environmental situation, high unemployment, comparatively high levels of certain illnesses, deterioration of certain economic sectors due to natural conditions or legal environment – all of these justify in-depth analysis of relevant policy areas and economic sectors.</p>
<b>Perform in-depth analysis of key sectors:</b>	<p>Once key sectors and policy areas identified an in-depth analysis of those needs to be performed with adequate analytics tools and data relevant for the specific area:</p>
<b>Economic analysis</b>	<p>Economic analysis will be focusing on traditional economic indicators:</p> <ul style="list-style-type: none"> <li>• Output in the form of GDP or taxable sales,</li> <li>• Value added or other profitability indicators,</li> <li>• Levels of tax revenues divided by type of tax,</li> <li>• Employment and labour market participation in general,</li> <li>• Investments including FDIs,</li> <li>• Trade flows either between the regions of Uzbekistan or international trade.</li> </ul>
<b>Social analysis</b>	<p>Social analysis is focusing on societal issues:</p> <ul style="list-style-type: none"> <li>• Structure of population in terms of gender, age, education, and employment status,</li> <li>• Demographic characteristics and social-care pressure,</li> <li>• Health status including snapshot and longer-term tendencies,</li> <li>• Fertility indicators, as well as data about family structures,</li> <li>• Levels of education in the community,</li> <li>• Any mismatches between education and employment.</li> </ul>

Elements of principle	Explanation
<b>Environmental analysis</b>	<p>Within environmental analysis three main categories are reviewed and assessed:</p> <ul style="list-style-type: none"> <li>• Existing environmental infrastructure (water provision and waste-water treatment, household waste collection and treatment, industrial waste collection and treatment, including dangerous and hazardous waste) and any deficits identified in it,</li> <li>• Historical and modern existing levels of pollution and their sources, application of polluter-pays principle, and ways to isolate and treat the historic pollution sites,</li> <li>• Nature protection issues including analysis of biotopes and their protected status, sources of risks to natural diversity and ways to protect it.</li> </ul>
<b>Climate change</b>	<p>Climate change analysis starts with identifying negative impacts of climate change on the socio-economic development of the community or natural life around it: both current situation and future projections need to be taken into account.</p> <p>The other direction of analysis includes solutions to prevent and minimise the climate change within the responsibility of the community: improving energy-efficiency of homes, public buildings and communal lighting systems, decreasing use of outdated and inefficient vehicles, other ways to decrease CO2 emissions by the community, its citizens and businesses.</p> <p>Third and final direction of analysis is adaptation: identifying ways to modify life and economy in the community to enable improvements in quality of life and efficiency of businesses in the new climate conditions. Those can be reusing water, monitoring for storms, planting less water-sensitive strains of existing cultured plants or switching to other types of agriculture products, etc.</p>
<b>Agriculture</b>	<p>Analysis of agriculture includes:</p> <ul style="list-style-type: none"> <li>• Identification of main agriculture activities,</li> <li>• Analysis of main products,</li> <li>• Estimating current levels of value added and assessing opportunities to raise the value added by deeper-processing the products or improving marketing,</li> <li>• Analysis of available labour force and used technologies and assessment of potential improvements in these areas by training staff or investing in new technologies,</li> <li>• Impact of climate or pollution on the sector and its productivity.</li> </ul>
<b>Mining</b>	<p>Mining traditionally must be analysed from two perspectives:</p> <ul style="list-style-type: none"> <li>• Benefits of mining must be assessed including: employment, output, export and taxation effects of continuing or developing mining in the community,</li> <li>• Negative externalities of mining in the form of pollution and climate change effects must be identified and analysed honestly to ensure compliance with current and potential future legal requirements.</li> </ul>

Elements of principle	Explanation
<p><b>Processing industry</b></p>	<p>In many ways, analysis of processing industry can be an extension of analysis of agriculture or mining – processing often is the next step in value-chain of these primary sectors of economy. Processing industry’s development might depend on some of these factors:</p> <ul style="list-style-type: none"> <li>• Availability and reliability of raw materials to process,</li> <li>• Access to technologies needed to start processing industry,</li> <li>• Quality and numbers of educated / trained labour force to be employed,</li> <li>• Access to trade and export routes,</li> <li>• Identification of potential market for processed goods.</li> </ul>
<p><b>Services</b></p>	<p>Services often are considered the pinnacle of the economic development, where both inputs and outputs are intangible and money is made from air. But service-based economy counts to a very large degree on underlying base of economic development provided by primary and secondary sectors of economy.</p> <p>At the same time, resource-rich countries like Uzbekistan must not necessarily strive to change structure of their economy too fast without considering fully-utilising their resource base in high value-added production. Low density of population also makes development of service-rich economy more complex.</p> <p>More traditional services like tourism or logistics might be considered in some communities, while most communities under CDP probably will not base their economic growth on service-sectors.</p>

**2.6. SYNERGIES WITH ADJACENT TERRITORIES**

The CDP process can only adequately assess needs and opportunities of the community by putting it in the greater geographical context of the neighbouring communities, the district, and the region as a whole. This chain should be inter-linked to each other for overall area-based development.

Other communities might have an overlapping economic and labour-force specialisation, which might suggest alternative specialisation for the community working on its CDP: e.g. one would not try and develop a nature resort in a community whose neighbour plans to launch an open-pit coal mine; alternatively two communities specialising in the same narrow economic niche might find themselves lacking labour-force.

Neighbouring communities might also have certain overcapacities in their infrastructure and public service objects, which might make some development ideas unnecessary or obsolete in the community elaborating its CDP – and free its resources to focus on other alternative sub-projects: e.g. a near-by community with a large hospital and polyclinics might enable one or more neighbouring communities spend their resources on areas other than healthcare; similar logics applies with sports infrastructure, vocational schools, and other types of infrastructure at scale.

IsDB Project in elaboration of CDP is utilizing the clustered CDP approach that encompasses more wholistic vision towards the planning of infrastructure development – simultaneously looking at several adjacent communities and considering the synergies.

Elements of principle	Explanation
<b>Existing infrastructure available to citizens of the community</b>	<p>When elaborating socio-economic and environmental analysis attention must be paid to existing infrastructure in adjacent territories available for use to citizens of the community working on its CDP. In many cases, existing infrastructure and service centres might have capacity or even mandate to serve members of surrounding communities.</p> <p>One way to perform this analysis is to inquire where certain public services and needs are covered currently. Another approach would be to carry out independent identification of public infrastructure and service objects in surrounding territories (and inform citizens of the community about opportunities provided by those).</p>
<b>Development plans of adjacent territories</b>	<p>Part of investment / sub-project prioritisation process must be analysis of alternatives, which must include awareness of plans of neighbouring communities (and possibly also the district and the region) to identify their plans to avoid overlaps and overcapacities. If two near-by communities build vocational schools with identical specialisation simultaneously it may not be anyone's fault – but it still would be inefficient spending of public resources.</p> <p>Negotiating potentially overlapping plans for infrastructure objects might not be easy and facilitators are advised to invite representatives from the district, the region, or even from a relevant line-ministry to assist in discussions.</p>
<b>Common development priorities</b>	<p>While the CDP is elaborated and adopted on the level of the community, certain degree of dialogues with the neighbours, the district, and the region is advisable.</p> <p>Partly it is justified by pure administrative rationale of overlapping development competencies of various governance levels. But to a larger degree it is to do with rationalisation of public investments and infrastructure of common use for all citizens of the district or even the region.</p> <p>It could be rational to use the CDP process to develop dialogue across governance levels to identify common needs and ways to satisfy those with one larger-scale infrastructure object as opposed to many small-scale duplicates.</p>

## 2.7. COMPLIANCE WITH NATIONAL AND SUB-NATIONAL DEVELOPMENT PLANNING

Every planning document exists in a strict hierarchy of planning: regional plans must accommodate the national-level plans, districts must comply with plans by regions and the country, and the community plans must accommodate and coordinate with all of the above: country, region and district.

National level strategies define the policy framework and objectives in respective policy sectors, while 5-years regional development programme defines the investment strategy at regional level. The district level does not have a general planning document, but many sectoral plans have geographically-specific forecasts of investments into infrastructure.

These documents must be analysed and respected in elaboration of the CDP to ensure strategic compliance and avoid making obsolete investments due to incoherence with the regional and national planning.

Elements of principle	Explanation
<p><b>Contributing towards national and regional objectives</b></p>	<p>As a part of the national system of governance, local level must contribute towards regional and national objectives, so understanding and complying with the regional and national plans is mandatory.</p> <p>CDPs not in line with the higher-level documents should not be adopted and can be cancelled by authorities on higher levels at any time due to failures of compliance.</p>
<p><b>Content synergies</b></p>	<p>It is important that the CDPs are in line with the regional and national documents content-wise: e.g. if the national authority decided to avoid pollution by closing mining, a CDP should not propose new mining operation or opening a vocational school for miners; likewise, if the national standard foresees mandatory waste-water treatment, no new public building (school, policlinic, etc.) can be built without in-door plumbing.</p>
<p><b>Ensure coherence of overall network</b></p>	<p>On a more basic level, compliance to higher-level plans is necessary to ensure working connection to region and national networks. Here coordination is necessary in geographic (where local networks connect to regional), temporal (when the networks become operational) and capacity (what volume of service is available from local to regional networks) dimensions.</p> <p>This is relevant for such types of networks as transport, power-supply, communication technologies, and others. Some networks are less scale-reliant, but may still be needing connections on district level, e.g. water infrastructure, waste-water treatment, solid-waste collection and recycling, etc.</p>

## 2.8. LINK TO THE BUDGET PLANNING PROCESS

Most of the CDP-supported investments include creating or reconstructing public infrastructure, which means that utilisation and maintenance of this infrastructure is responsibility of public bodies. This mandates coordination with budget planning to ensure necessary resources (salaries of new staff, operational costs, maintenance costs, subsidies to cover socially-relevant costs) are planned in a timely manner.

Quite often in developing countries donor-financed (or loan-financed) programmes dedicated to territorial development are key investment financing – they provide the bulk of investment-type financing in comparison with the national sources. Therefore, close coordination and interrelation with the national and sub-national budget planning processes is needed to plan the co-financing, running and maintenance costs, avoid double funding.

Abovementioned means that coordination with all relevant fiscal authorities are necessary to ensure availability of financing, as well as coordination in terms of the budget cycle: CDP facilitators and the PIU specialists must know and account for the timeframe of budgetary decisions to ensure sub-projects are green-lit when their financial sustainability is ensured.

Elements of principle	Explanation
<b>Avoiding double funding</b>	<p>Double funding refers to situation where the same costs for the same activity are funded twice (or more) through the use of public funds or donor financing. It is not acceptable for use of public resources.</p> <p>Infrastructure supported by IsDB within CDP could be eligible also for financing from the national sources. However, if the particular infrastructure object and particular its costs are chosen for support within one financial source, another funding source could not support the same costs.</p> <p>The easiest way to coordinate the elimination of double funding would be at level of infrastructure objects, however quite often donor- and loan-financing and / or other public financing is foreseen only for a certain categories of costs – e.g. construction related costs are eligible, equipment costs are not eligible. In those cases delineation should take place at the level of costs, not infrastructure object.</p>
<b>Complementarity to public expenditures</b>	<p>Often times support for certain investments is only available to some types of costs (e.g. donor or lender finances construction but not operation of new school). This requires timely and coordinated planning of complementary costs in relevant budgets.</p> <p>Similarly regarding the running costs and maintenance costs for any infrastructure, built e.g. roads, power lines, water pipes, education buildings – appropriate costs for the upcoming years need to be budgeted in advance.</p> <p>In order to ensure such coordination many conditions need to be fulfilled:</p> <ul style="list-style-type: none"> <li>• Relevant authorities identified and contacted,</li> <li>• All involved stakeholders discussed and agreed,</li> <li>• Timeframe of investments outlined and respected,</li> <li>• Costs estimates produced, verified and adhered to.</li> </ul>
<b>Provision of co-financing</b>	<p>In international practice it is quite common that a particular infrastructure object is being financed by donor resources only if a national, regional or local partner (e.g. owner of infrastructure) co-finances the project to a certain required share / percentage. It means that based on the project co-financing arrangements expenditures need to be planned in the budget of the beneficiary body (e.g. municipality, utility company, NGO, etc).</p>

## 2.9. SUSTAINABILITY OF INVESTMENTS

Sustainability consists of fulfilling the needs of current generations without compromising the needs of future generations, while ensuring a balance between economic growth, environmental protection, and social well-being.

In the context of CDP, sustainability could be viewed from various aspects:

- Environmental considerations in ensuring sustainability of natural resources and prevention of climate change,
- Project results' sustainability associated with infrastructure ownership and financing future maintenance costs,
- Well-being of the local community and opportunities CDP could propose to citizens of the community,
- Practical opportunities of using infrastructure and public service objects by staffing them with qualified personnel, etc.

Elements of principle	Explanation
<p><b>Financial sustainability</b></p>	<p>Utilisation and maintenance of every infrastructure object or equipment requires financial resources for various purposes:</p> <ul style="list-style-type: none"> <li>• Operational costs, e.g. electricity, water services, access to internet, salaries of personnel;</li> <li>• Maintenance costs, including small-scale upkeep (e.g. repainting the walls) and larger-scale repairs every few years;</li> <li>• Ultimately some savings need to be made to eventually replace the infrastructure (1-30 years) or equipment (3-10 years).</li> </ul> <p>In order to achieve financial sustainability, responsibility for these costs needs to be clearly assigned to a body or institution that is committed and capable of meeting those costs. Traditionally such financial responsibility comes together with the ownership of the infrastructure: e.g. an institution who by law is an owner of a school will maintain its building and pay salaries to teachers. Examples of such institutions are:</p> <ul style="list-style-type: none"> <li>• National level (line ministries and agencies),</li> <li>• Regional or district (territorial administrations and their agencies, utility companies),</li> <li>• Local level (communities, NGOs or firms).</li> </ul>
<p><b>Economic sustainability</b></p>	<p>In order to ensure financial sustainability, often investments look for economic rationale and sustainability of revenues. Many key infrastructure objects can generate revenue from their direct functions or as a side-effect of using infrastructure.</p> <p>Traditional examples of revenue-generating infrastructure are water utility company, who charges citizens and firms for provision of water, or power company charging for provision of electricity. In these cases it is important to make sure that the tariffs charged are sufficient to support operation, maintenance and make reserves. If the tariffs are set at inadequately low level (often the case in developing countries), alternative sources of financing must be identified.</p> <p>Objects that are not expected to generate revenue from main operations (schools, polyclinics, bus-stops, etc.) may look for supplementing revenues by renting out space for private businesses e.g. cafes, shops, pay-processors, etc.</p>
<p><b>Social sustainability</b></p>	<p>The ultimate goal of the CDP is to improve quality of life of citizens of communities, therefore social sustainability is a key principle in elaborating and implementing the CDP. Areas to assess are:</p> <ul style="list-style-type: none"> <li>• Health,</li> <li>• Education,</li> <li>• Employment,</li> <li>• Geographic mobility.</li> </ul> <p>All these issues need to be analysed at the level of the CDP and at the level of the sub-projects.</p>



Elements of principle	Explanation
<b>Environmental sustainability</b>	<p>Environmental sustainability of natural or built environment, resulting from introduction of new infrastructure object and increase or change of citizens' activity around it, which can have adverse effects on air, land, water, and wildlife or the inhabitants of the ecosystem must be assessed when prioritising investments.</p> <p>Need for energy efficient and low-carbon solutions for the proposed infrastructure are important in respect to environmental sustainability and climate change prevention.</p> <p>It might be the case that a proposed investment can have a very positive effect on economic development, but adverse impact on environment. Most adverse environmental impacts also have a direct link to public health and quality of life issues.</p>
<b>Labour force sustainability</b>	<p>Labour market situation is also one of the key factors to consider, so staff availability to be assessed too.</p> <p>Even a large country like Uzbekistan does not have endless supply of highly qualified personnel to run all the schools, colleges, polyclinics, hospitals, libraries, service centres, and other objects that can be built with the IsDB, WB or other support.</p> <p>Consultations with line-ministries or other relevant bodies (e.g. universities) must be held before committing to build more schools, hospitals, polyclinics, etc. Facilitators or key-team of the Project are expected to organise the discussions to ensure coordinated approach.</p>

# 3 | FACILITATION ROLE AND WORK PRINCIPLES



Facilitation is an integral part of CDP elaboration process. The process of facilitation aims to solve community development problems through elaboration of CDP by encouraging the exploitation of skills through different tools implemented by the facilitator.

Role of facilitation encompasses variety of aspects – mentoring and learning activities, data collection and analysis provision, community mobilization furthering, ensuring the coordination between the community and public authorities. In CDP elaboration facilitation is carried out by local facilitators.

**Facilitation** – the act of **helping other people** to deal with a process or reach an agreement or solution **without getting directly involved** in the process, discussion, etc. (*Cambridge Dictionary*)

Facilitation is the process or fact of **making something possible or easier**. (*Oxford Dictionary*)

**Facilitate** – to make (something) easier; **to help** (something) **run more smoothly** and effectively. (*Britannica Dictionary*)

This Chapter is summarizing the key principles that are important in facilitation work for CDP elaboration.

### 3.1. NEUTRALITY

Neutrality can be used broadly to describe individuals or organizations in relationship to any kind of dispute – not favouring either side. In the context of CDP elaboration this principle most commonly relates to the behaviour of facilitators: facilitators, even when deeply involved in CDP elaboration, maintain neutral attitude towards the choices of community in respect to their needs, development priorities, preferred solutions, underlying considerations, etc.

The task of facilitator involves fair representation of the situation, ensuring awareness of community regarding pros and cons for solutions, all the while staying aside from expressing his / her personal opinion and imposing his / her personal views on any of the elements of the CDP. Facilitators are not members of the CDP communities and therefore are not entitled to express their opinion or influence the choices.

Elements of principle	Explanation
<p><b>Provides the facts, not opinions</b></p>	<p>Facilitator will likely have an opinion about the decision or direction the group should take to address a problem. However, facilitator should always stay neutral on content while actively managing the process.</p> <p>To arrive at group decisions, facilitator could present the data, facts, benchmarking information, in order to allow the group to take informed decisions.</p>
<p><b>Does not favour either side</b></p>	<p>Facilitators should not express their preference towards one solution or priority against another – even less so if two groups of citizens of community have opposing opinions or priorities.</p> <p>The role of facilitator is to precisely document decisions of the community without influencing those.</p>
<p><b>Assists in formulating opinion of the community</b></p>	<p>Facilitator must ensure that the community takes clear decisions, and facilitators may need to assist citizens of the community to formulate and articulate these decisions by the following means:</p> <ul style="list-style-type: none"> <li>• Formulating the needs investments try to satisfy,</li> <li>• Specifying objects of needs and investments,</li> <li>• Clarifying precise geographical location for the future infrastructure,</li> <li>• Establishing realistic time-frame for investments,</li> <li>• Identifying costs of investments and costs of operation and maintenance.</li> </ul>

### 3.2. ENGAGING COMMUNITY

Since facilitators cannot and are not allowed to produce the CDP themselves, they must obtain main inputs from the community. This necessitates establishing and maintaining good working relationship with the community.

Members of the community must be informed about reasons for elaborating the CDP and opportunities its implementation provides.

Good working relationships are important not only for elaboration of the CDP, but also in the stage of implementation – citizens of the community must participate in supervision of implementation, assist in monitoring, and take active role in eventual revisions of the CDP. For this to work, facilitators must maintain frequent contact with the initiative group and eventually call the community meetings.

Elements of principle	Explanation
<b>Knowing leadership of the community</b>	The most productive way to engage the community in conversation and discussion is to receive buy-in from leadership of the community. There are two types of leaderships: formal leaders (chairperson of the mahalla and their team) and informal leaders or leaders of opinion (elders of the community).
<b>Close relationship with the initiative group</b>	<p>Relationships refer to fostering, at every opportunity possible, a solid foundation of trust, common understanding and vision, and inter-relationships with initiative group and community altogether.</p> <p>While building relationships is the core of much of facilitation and process, it is often also an important soft skill that facilitators need to take into account. This involves ensuring all interests are respected and given due consideration, communication is effective and on-going (and often one on one), and group processes and conflict are managed effectively.</p>
<b>Maintaining active contact</b>	<p>Active contact with initiative group and community refers to efficient communication, organisational and exchange of information processes.</p> <p>Processes concerned are focused on how the engagement effort is structured to ensure that facilitators reach the goals and the logistical design of overall engagement plan. Aspects of the processes include the discussion methods, procedures, meeting format and tools being used during a meeting or discussion.</p>
	<p>Processes also include the style of the interaction (e.g. group discussion, panel discussion, presentation, etc.), the group dynamics of participants and the climate established for the meeting. Facilitators should pay attention to processes to better ensure all participants contribute to the outcome of the meeting.</p> <p>In building and maintaining active contact it is important to apply the basic principles for any communication – inform in advance, provide time schedule, take into account the reasonable feedback time, formulate the questions understandably for target group, etc.</p>
<b>Involving the whole community</b>	<p>Facilitators need to acknowledge that CDP should respond the needs of the whole community, and they need to strive to ensure fair and full representation of the community by involving representatives of all groups of citizens in the community.</p> <p>Traditionally, most active and opinionated members of the community tend to be male and older age persons. Facilitators must engage women and youngsters in the discussions and enable them to voice their needs and priorities, so that all opinions are heard and taken into account while formulating the CDP for the community.</p>

### 3.3. ASKING QUESTIONS INSTEAD OF GIVING ANSWERS

Questioning is a technique often used by facilitators during workshops, meetings or one-on-one mentoring or coaching as an alternative to presenting information and answers. Questioning is about asking the individual or group a question, or series of questions, to enable them to find their own solutions to the challenges they face, thus supporting the

principle of neutrality and engaging of community. To be capable for asking the questions, facilitators need to have good understanding of issues as well as applying CDP elaboration methods and tools.

Questioning has several benefits over the more traditional way of presenting information or solutions to a group:

- **Depth of learning:** by having to work out the answer for themselves group participants learn more deeply. A series of well-chosen questions enhances learning and encourages a depth of thinking that a presentation does not often achieve.
- **Interaction:** asking questions throws the spotlight back onto the group. It asks participants to think through the answers for themselves. It creates more interaction, and can lead on to a higher quality of discussion. In other words it can be more participatory and empowering and produce better results.

Elements of principle	Explanation
<b>Formulating the right questions</b>	<p>It is important that the facilitators come with the well-prepared set of questions to meetings of the initiative group of the whole community. While many questions might be standard across communities, some communities may have specific situations (e.g. large employer left the area, significant environmental challenges, explosive demographic growth, etc.) that need to be addressed.</p> <p>At the same time, asking data-related questions is impractical: facilitator must come to the meetings with all the relevant data on hand (key economic, social, demographic and environmental indicators, main geographical distances, etc). This information can be used to formulate additional questions to the community: e.g. are they not worried that they have lower employment level than neighbours, are they informed about the environmental pollution, etc.</p>
<b>Listening to answers</b>	<p>Learning to ask questions will not only cause facilitators to slow down and listen better, it will also give them time to think about how to respond more accurately and appropriately to the questions being asked by the community representatives.</p> <p>It may give facilitators more insight into what the other person is really asking than might be clear from the first impression.</p>
<b>Coming with follow ups or providing additional insight</b>	<p>Attentive listening to answers and developing dialogue will enable facilitators to produce additional questions (or statistical data requests) to produce deeper insights into the needs of the community and their understanding of the needs.</p> <p>In dialogue with community one might find that statistics is not entirely representative (e.g. significant numbers are employed informally or in another district and therefore are not included in the data available), or might require linking environmental data to health data in order to demonstrate importance of environmental pollution to the community in a more understandable form.</p> <p>Be mindful that many follow ups might require additional desk work and extra meetings with the community.</p>

### 3.4. COMPETENCIES OF FACILITATORS

It is often said that the chain is as strong as its weakest link. The CDP process relies heavily on quality of the work facilitators perform. It is therefore important to ensure that facilitators have the necessary knowledge, skills, and competencies to do their work at the best possible quality.

In order to enable the strong core of facilitators to do their best work it is not enough to select highly motivated and qualified facilitators during the hiring process. Many of the steps the CDP Manual provides for have never been implemented in Uzbekistan before, so there might not be persons qualified to perform those steps in the labour market.

This means that the Project must be prepared to invest in human capital of the facilitators once they are hired and start their work.

Elements of principle	Explanation
<b>Needs for both soft and hard skills</b>	<p>Competencies that refer to the job-related knowledge and abilities are commonly known as hard skills, while soft skills are personal qualities that facilitate the overall working process.</p> <p>While the hard skills can be tested during the hiring process and even can be inferred from obtained education diplomas, soft skills must be checked and improved during the work process.</p> <p>Soft skills are more difficult to observe and test, but those can be as important or even more significant in some types of work than the hard skills – managing a difficult discussion might prove to be more important than knowing the construction code by heart.</p>
<b>Desire to develop competencies</b>	<p>Since it has been established that likely nobody possesses all necessary knowledge and skills to perform the work of facilitator to the fullest, motivation to learn and grow becomes a driving factor in success of a facilitator.</p> <p>Facilitators therefore must be selected for motivation to develop and those already hired must be explained the benefits of growing professional qualifications and be motivated to pursue those.</p>
<b>Techniques</b>	<p>Tools, approaches and techniques used in work with facilitators are traditional set:</p> <ul style="list-style-type: none"> <li>• Module-based trainings,</li> <li>• On-the-job trainings with more experienced colleagues,</li> <li>• Coaching and mentoring for motivated staff.</li> </ul> <p>All of those must be applied to already very carefully selected core of facilitators what are employed in the procedure targeting open and motivated persons.</p>

Elements of principle	Explanation
<p><b>Communication</b></p>	<p>One of the most important competencies of facilitators is communication. It is because most of their job involves performing the function of communicating between various stakeholders in the system:</p> <ul style="list-style-type: none"> <li>• Citizens of communities,</li> <li>• Leadership of relevant mahallas,</li> <li>• Authorities at the district and region level,</li> <li>• Representatives of businesses and CSOs / NGOs.</li> </ul> <p>In communication, not only carrying the message is important, but also receiving and understanding the information. Oftentimes there is a tendency for alpha-types to self-select for these publicly exposed jobs. Therefore the Project must seek to teach them the listening part of the communication competence:</p> <ul style="list-style-type: none"> <li>• Asking open questions,</li> <li>• Active listening to others,</li> <li>• Speaking with mirroring intonations,</li> <li>• Leading groups through explanations not authority.</li> </ul>

### 3.5. KNOWS HOW TO USE TOOLS OF CDP DEVELOPMENT

Facilitators commonly must have a deep understanding of the issues or problems, around which they are facilitating. Effective facilitators use their understanding of the issue, meeting purpose and expected outcomes along with process skills and tools, to help the groups they are working with engage in effective dialogue, understand the information and decisions they are considering and develop plans for group action.

This means that all facilitators must be very comfortable with the analytical tools of the CDP elaboration and implementation:

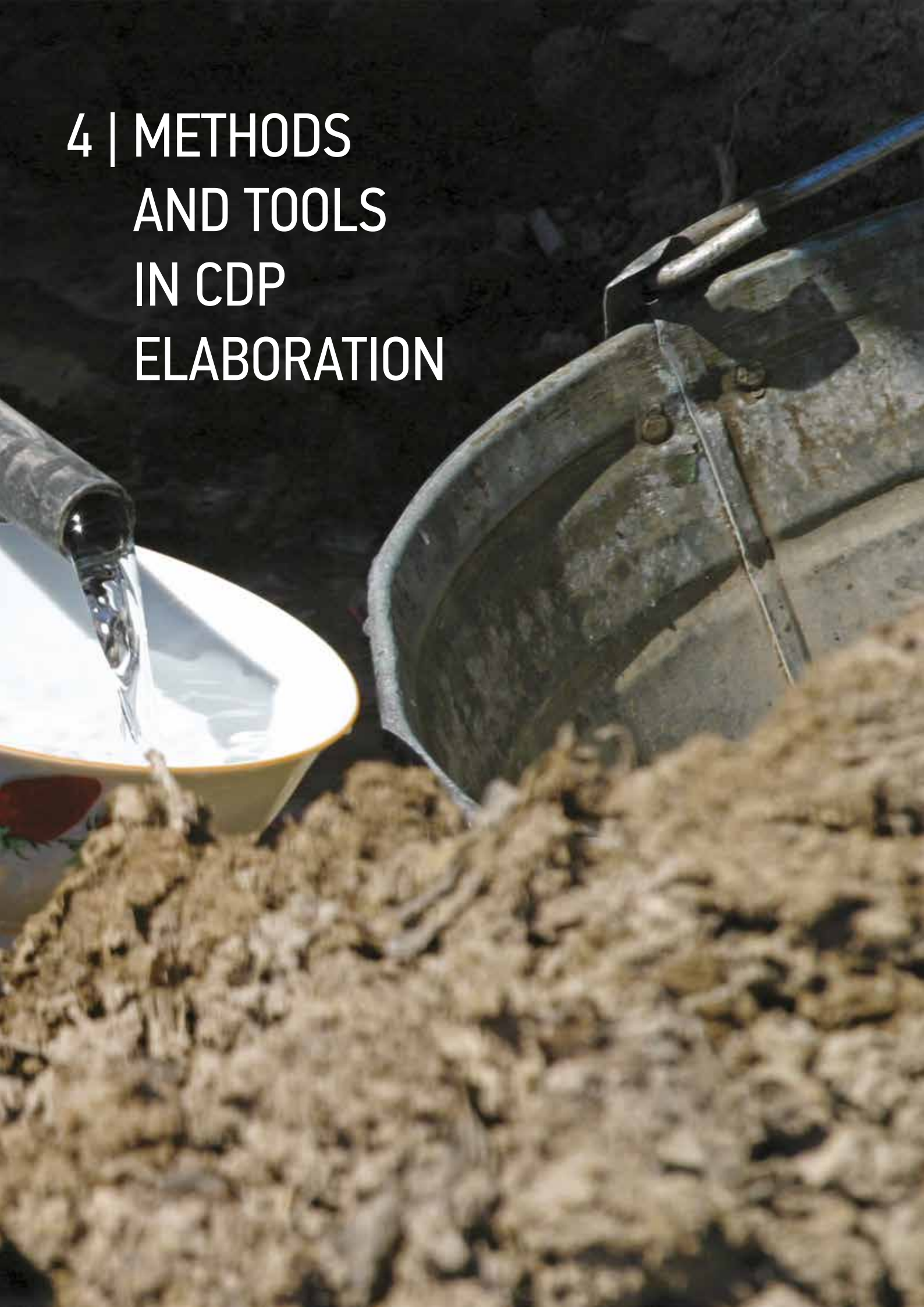
- Statistical data sources,
- Logical linkages between the data,
- Managing the discussions in large groups,
- Decision-making methods (mapping, problem gallery, matrix, calendaring, log-frames, etc.),
- Budgeting and costing,
- Construction and supervision.



Elements of principle	Explanation
<b>Analytical skills</b>	<p>Analytical skills are abilities to deconstruct information into smaller categories in order to draw conclusions. Analytical skill consists of categories that include logical reasoning, critical thinking, communication, research, data analysis and creativity.</p> <p>These competencies being developed at work performance level are crucial for facilitators to function effectively and accordingly, supporting manifesting all the rest of the principles.</p>
<b>Skills for applying the specific methods</b>	<p>CDP elaboration encompasses a set of specific methods where facilitator need to be fluent in both analytical skills and also leading the discussion and taking decisions:</p> <ul style="list-style-type: none"> <li>• Mapping the community,</li> <li>• Problem gallery,</li> <li>• SMART,</li> <li>• SWOT,</li> <li>• Participatory rural appraisal,</li> <li>• Logical frameworks, etc.</li> </ul>
<b>Drafting skills</b>	<p>Facilitators must be highly articulate in their writing, because their ultimate product is the text of the CDP, which must be clear to a reader without any additional explanation or previous knowledge about the community.</p> <p>Writing must be as economical as possible: short sentences containing useful data and clear conclusions – across all three domains: in describing the analysis, decision-making process, and decisions taken.</p>
<b>Financial literacy</b>	<p>Financial literacy is key element of facilitating the CDP elaboration and implementation. Facilitators compensate weaknesses of representatives of communities – and financial literacy (costing and budgeting) are among key weaknesses community representatives demonstrated.</p> <p>Facilitators must be able to help formulate the needs and alternative investments in the language of financial flows – and then must translate these into explanations understandable to initiative groups and community meetings.</p>



# 4 | METHODS AND TOOLS IN CDP ELABORATION



This Chapter characterizes the primary methods that are used in CDP elaboration. Altogether there could be identified 4 main methods in carrying out the elaboration of CDP:

- Desk research;
- Workshops (and group work);
- Visual observations;
- Bi-lateral, multi-lateral meetings (incl. interviews).
- The choice for the method depends on the feasibility to get the data or information by applying the particular method, as well as the characteristics of searched data or information (e.g. facts, assessment, attitude).

The most common tools applied for problem identification and finding of the solutions during CDP elaboration are as follows:

- Community mapping;
- Gallery of problems;
- Root cause analyses;
- SWOT;
- Risk management;
- SMART goals establishment;
- Helicopter view tool;
- Statistical tools.

The tools are specific towards the different processes and analysis elements in elaboration of CDP.

## 4.1. DESK REVIEW

### Objective and scope

The desk review is an important part of the CDP elaboration – by collecting, organizing and synthesizing available information, the facilitators and other stakeholders gain an understanding of the concepts in play, overall context, priorities and trends, and equally important, identifies gaps to further address during the workshops, meetings and visual observations.

Desk review activities include scanning the sources, collecting statistics, analyzing secondary data, and creating a reference list so that all documents are organized and easily accessible.

### Relevance

The method would be highly relevant and used as a primary method for:

- Search of socio-economic and environmental statistics;
- Search for spatial data;
- Search of data on use of utilities and services;
- Search of data on public infrastructure;
- Search of data for public health and public education;
- Search for different maps and poverty maps of the communities and districts;

- Search for government and donor investment programmes;
- Search of policy objectives and targets.

Desk research would support the preparation for meetings with public authorities, initiative group, community representatives by identification of the questions that could not be answered through the examination of sources.

Advantages and disadvantages

- Diverse applicability;
- Ease of access of information;
- Easy to generalize and make conclusions;
- May not answer specific questions or do not contain specific information;
- May be out of date information and data.

## 4.2. MEETINGS

### Objective and scope

The meetings with stakeholders are considered as primary method for data selection, with the objective to collect information and perceptions directly from the selected population of stakeholders, e.g. community representatives, initiative group, other engaged parties. The method could be important for collecting the attitudes, perceptions, etc., as well as in cases where codified data are not available.

Meetings may cover all types of stakeholders and be especially valuable when the opinions, attitudes, etc. data need to be gathered.

### Relevance

The method would be highly relevant and used as a primary method for:

- Identifying the development priorities, objectives, prioritization of investments;
- Searching for additional data.

### Advantages and disadvantages

- Allows to codify perceptions and opinions;
- Allows in-depth assessment of issues, underlying reasons, historic perspective;
- Extracting additional information;
- Uncover ideas and issues that initially may not have been considered;
- Highly time consuming;
- Risk of personal bias.

## 4.3. VISUAL OBSERVATIONS

### Objective and scope

The main objective of the visual observations is to capture the sufficient information on the condition of the public infrastructure in scope for CDP support.

### Relevance

The method could be relevant for collecting information on the current technical condition of infrastructure, depreciation and safety. Specialists in construction area could be suggested as most suitable in applying the method.

### Advantages and disadvantages

Provides reality based justified data on technical condition close to real time;

- Easy use for making general conclusion;
- Specialist conclusion is important for in-depth expertise;
- Additional expertise may be needed for exact conclusion.

## 4.4. COMMUNITY MOBILIZATION WORKSHOP

### Objective and scope

Community mobilization workshop is a longer interactive meeting or session designed to create a specialized result. It is a structured, organized way for groups of people to collaborate. It is considered as a primary method for CDP elaboration, as is most suitable for the work with a community representatives. The method could be used for idea generation, discussion of proposals.

### Relevance

The method is used to identify and explore how people think, what are their concerns, how do they think about the development perspective of the community.

### Advantages and disadvantages

- Work with larger target group;
- Understand met and unmet needs
- Identify needs, priorities;
- Hear stakeholders’ feedback in their own words and voices;
- Time and costs consuming;
- Experienced facilitator is needed;
- Careful attention should be paid to representation to attribute the results towards the all population.

## 4.5. TOOLS IN CDP ELABORATION

Variety of the tools could be applied in carrying out of CDP elaboration. Most of the tools are specific towards the CDP elaboration steps. The summary on tools is provided in table below.

<b>Community mapping</b>	Community mapping is a tool supporting application of bottom-up approach in identification of the community development priorities. The method is based on the visual mapping of community territory identifying the main public infrastructure, characterising characterizing their interlinkages and concluding on gaps.
<b>Gallery of problems</b>	Gallery of problems are another tool supporting application of bottom-up approach in identification of the community development priorities and ranking them. The method is based on identification of the list of public infrastructure that needs to be up-graded or constructed. Once the list is identified, it is possible to assign the priority rank for each infrastructure object. through the voting process.
<b>Root cause analysis</b>	Root cause analysis is a systematic process for identifying “root causes” of problems or events and an approach for responding to them. The method is based on the basic idea that effective management requires more than merely “putting out fires” for problems that develop, but finding a way to prevent them. The tool is applicable for defining the solutions.

<b>SWOT</b>	SWOT (strengths, weaknesses, opportunities, and threats) analysis is a framework that could be used to carrying out territory analysis. SWOT focuses both on internal and external factors, as well as current and future potential. One needs to keep the analysis accurate by avoiding pre-conceived beliefs or grey areas and instead focusing on real-life contexts.
<b>SMART</b>	SMART is a method for setting and assessing the goals in respect to the certain qualities, i.e. Specific, Measurable, Achievable, Relevant, and Time-Bound. Defining these parameters as they pertain to goal helps ensure that objectives are attainable within a certain time frame. The tool most commonly is applied for setting of development objectives and targets.
<b>Helicopter view</b>	Helicopter view is a tool that provides an overview of a situation without any details. Application of the helicopter view would be suggested in conceptualization of the current situation in respect to development needs and objectives, provide broader context and interrelations of proposed development strategy.
<b>Risk management tools</b>	<p>Risk management tools allow the uncertainty to be addressed by identifying and generating metrics, parameterizing, prioritizing, and developing responses, and tracking risk. These activities may be difficult to track without tools and techniques, documentation and information systems.</p> <p>Classical risk assessment could be carried out in respect to the proposed implementation schedule of the sub-projects.</p>
<b>Statistical tools</b>	Statistical tools support the identification of the micro-model for community representation in order to allow ensuring the proportionality principle. They contribute towards the identification of the categories of population and cumulative variables to construct the proportional membership of the initiative group and community workshops.

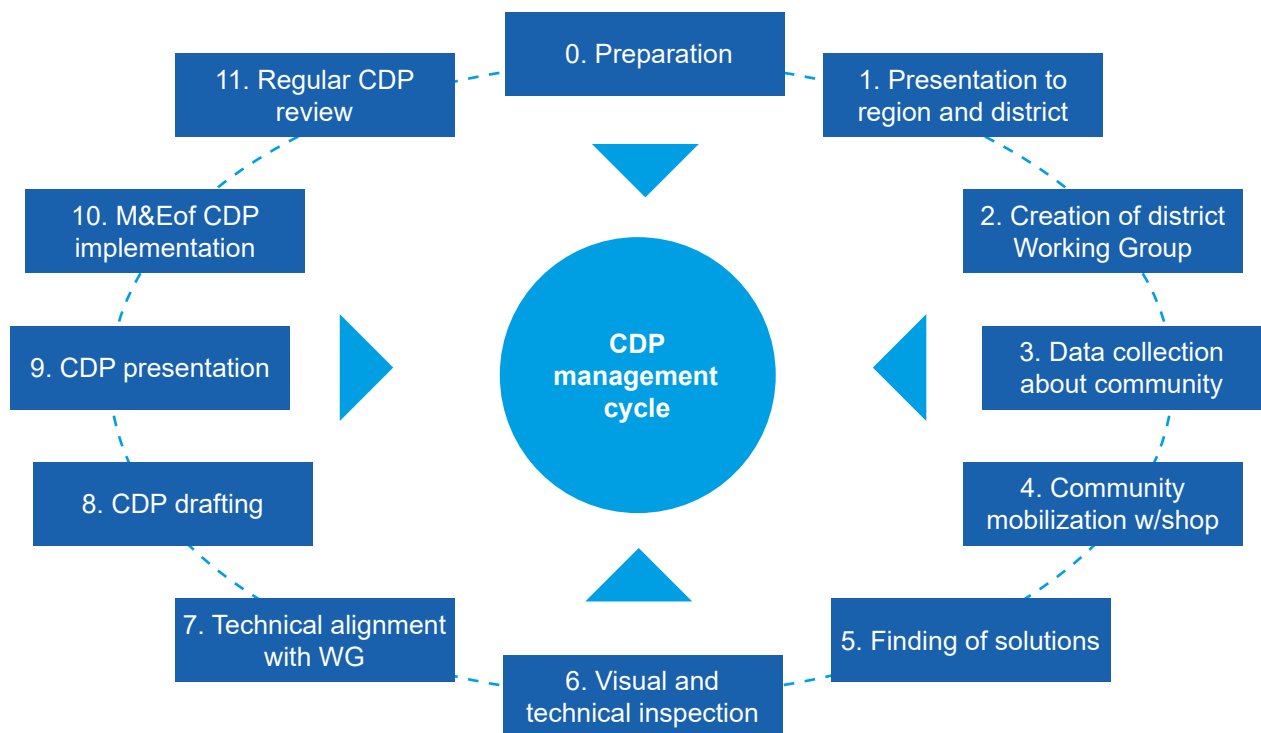




# 5 | CARRYING OUT CDP ELABORATION



Step-by-step guide on practical application of CDP Manual is structured into 12 steps forming the CDP management cycle. Each step involves several sub-steps. In elaboration of CDP steps to be performed sequentially.



Altogether CDP elaboration process could take up to 4-6 month period, however the duration strongly depends on the scope and complexity of the document (e.g. cluster CDP vs individual community CDP, sectors covered, sub-projects identified). The duration estimated for each step is an approximate orientation for the CDP Manual users and could vary from CDP to CDP.

Annex 1 provides the check-list on implementation of the steps in CDP elaboration.

## STEP 0: PREPARATION

<b>Objective</b>	Prepare for successful performance of elaboration of CDP, organising the team, laying out objectives, and planning the work
<b>Expected timeline</b>	1-2 weeks
<b>Inputs needed</b>	Facilitation staff hired
<b>Methods</b>	Desk work
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Facilitators assigned and ready for action</li> <li>• Work Plan, incl. time schedule developed</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Communities</li> </ul>

### Preparatory arrangements

Once agreed on elaboration of CDP for a particular local community, the preparation work for organisation of the process could be launched. It focuses on mobilizing facilitators, identifying the resources available and creating the Work Plan.

In case the decision is taken on elaboration of cluster-CDP, encompassing several adjacent communities into a single CDP for territorial development, preparation step should take into account all related aspects to increase work efficiency.

## SUB-STEP 1: MOBILIZING FACILITATION AND SUPPORT TEAM

<b>Expected timeline</b>	Up to 1 week
<b>Outputs</b>	Facilitators assigned and ready for action

### 1. Assigning key responsible facilitator for CDP

Facilitators are the key actors in supporting elaboration of CDP in local communities. A key responsible facilitator for elaboration of the CDP should be assigned. It is recommended to assign also a deputy responsible facilitator for the CDP.

Criteria for assigning of the key facilitator mainly should be based on the principle for balancing of workload between all facilitators. In case of elaboration of both, cluster-CDPs and CDPs for single communities, takes place in parallel, it would be recommended to balance both types of CDPs between the facilitators as key responsible actors to even out the workload as much as possible.

### 2. Assigning the support team

Support team could include community mobilization specialists, IT specialists, engineers, drivers, public relation specialists, and other staff of IsDB Project whose support would be required and useful in assisting the facilitators in elaboration of CDP. It could be expected that support team simultaneously serves elaboration of more than one CDP.

### 3. Carrying out trainings

It is crucial that facilitators (and the support team) have appropriate competencies and skills in elaboration of the CDP, including the soft skills related to inter-personal qualities and hard competencies that are job-related knowledge and abilities, allowing to perform certain specialist tasks.

Organised module-based trainings traditionally are considered the main instrument for managing the competency increase process where variety of competencies needs to be targeted. It is

recommended that facilitators should pass the mandatory trainings – e.g. interpersonal skills, coaching, facilitation, and application of the CDP Manual. On-the-job trainings could be also suggested for newly-hired facilitators, shadowing their senior colleagues in their work. Certain knowledge management solutions can also be considered, e.g. Telegram-chats, common clouds, and regular seminars.

## SUB-STEP 2: IDENTIFICATION OF SCALE OF AVAILABLE RESOURCES

<b>Expected timeline</b>	Up to 1 week
<b>Outputs</b>	Time and resource inputs identified

### 1. Time available

It would be advised, first of all, to consider on time period that would be allowed for elaboration of the CDP, as most of other resources are subordinate to the time period.

The timeframe must be realistic, i.e. it must be realistically possible to elaborate high-quality CDP within this time period, allowing time for the work of facilitators, discussions with the community (initiative group and community meetings), collaboration with national, regional and district authorities. Certain reserve of at least 10% of the originally planned time needs to be allotted to the process.

A significant consideration is risk of overlapping tasks and processes: if a facilitator or another stakeholder can be expected to be occupied with other important tasks (elaboration or implementation of other CDPs, data collection and reporting duties, other work-related items), extra time needs to be allocated to both processes to accommodate for task-switching.

### 2. Critical cost categories and resources available

Identification of the scale of available resources is important in order to tailor the realistic and feasible Work Plan for the CDP elaboration.

Identification of the cost categories and costs must be the next step in resource planning. For the resource identification the following categories of resources could be considered:

1. Necessity for equipment: computers, other office equipment (e.g. screens and projectors for presentations), mobile phones, internet and other communication tools	Identify costs for purchasing or renting (if more convenient and financially-beneficial) and running costs of equipment
2. Necessity for premises (e.g. for desk-work of facilitators, for organizing meetings with community population and initiative group)	Identify whether there will be necessity to cover renting costs for offices and premises for organizing public events
3. Required transportation to visit the communities as well as regional and district authorities	Identify possible solutions for transportation (e.g. public transportation, transportation provided by Project staff) and the respective costs
4. Required awareness and publicity for the CDP process: local level awareness and for regional and national publicity	Identify the costs that will be needed for raising the awareness on CDP elaboration: <ul style="list-style-type: none"> <li>• in community (posters, leaflets, background roll-ups, etc),</li> <li>• costs supporting the public discussions (e.g. coffee breaks),</li> <li>• and regional and national publicity (online and legacy publications, photo and video materials, press-conferences)</li> </ul>

### SUB-STEP 3: DEFINING TIME SCHEDULE AND WORK ORGANISATION

<b>Expected timeline</b>	2-3 days
<b>Outputs</b>	Work Plan, incl. time schedule developed

#### 1. Characteristics for work organisation

The Work Plan for carrying out the CDP elaboration with concrete milestones needs to be created for all steps of the process. The plan must lay out the steps and underlying tasks necessary to achieve objectives of the process and include schedules for all key activities.

The resources required to carry out the tasks of Work Plan should also be added. The Work Plan needs to quantify the financial, personnel, operational, time and technological resources that will be needed.

If any significant delays or changes in implementation of the Work Plan are identified along the way of elaboration of the CDP, the Work Plan needs to be updated to continue to be a realistic and reliable document.

#### 2. Develop the schedule

To prepare the Work Plan, the facilitators should firstly agree on basic activities within each step necessary to implement during the CDP elaboration, by answering the following questions:

What are the essential tasks and activities within each step for the CDP elaboration? (NB: facilitators are expected to rely on this Manual to come with most answers.)

Which of these tasks and activities trigger performance of the rest of the list, and how are they inter-dependent?

How elaboration and implementation of a Work Plan for a particular CDP impacts the Work Plans of the rest of CDPs that are in elaboration stage?

In case elaboration of several CDPs is planned in parallel (several cluster CDPs or several single community CDPs) for the same facilitators, it could be recommended to develop a joint Work Plan reflecting together the tasks that would provide more comprehensive view on resources and activities.

When the key activities within concrete steps have been determined, it is important to consult with communities the proposed schedule. After the discussion on planned activities the detailed Work plan could be developed, defining the expected results, the required resources, indicators of success, the timing for the implementation.

Computer programs such as Microsoft Project can be used to create the Work Plan. One can use a special Gantt chart tool or more simply, the MS Excel worksheet to create a work plan.

Activity	Start date	End Date	Duration	Completion	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6
Task A					1 2 3 4 5 6 7 8 9 10 11					
Task 1.1	01.marts.21	07.marts.21	7	50%	■					
Task 1.2	08.marts.21	21.marts.21	14	60%		■				
Task 1.3	22.marts.21	28.marts.21	7	20%			■			
Task 1.4	22.marts.21	04.apr.21	14	70%			■	■		
Task B										
Task 1.1	01.marts.21	07.marts.21	7	15%	■					
Task 1.2	01.marts.21	22.marts.21	21	30%	■	■				
Task 1.3	22.marts.21	11.apr.21	21	55%			■	■		

## STEP 1: PRESENTATION TO REGION AND DISTRICT

<b>Objective</b>	Awareness-raising with representatives of relevant authorities at regional and district level
<b>Expected timeline</b>	1 week
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Work Plan</li> <li>• Basic information about the community</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Desk work</li> <li>• Presentation</li> <li>• Follow-up conversations</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Presentation carried out</li> <li>• Any follow up questions clarified</li> <li>• Good working contact established</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Project staff</li> <li>• PIU</li> <li>• Regional and district authorities</li> </ul>

### Objectives and principles

Once it is decided on elaboration of CDP and the Work Plan for its development is established, it is recommended to carry out awareness-raising meetings with the public authorities concerned at regional and district level.

The aim of meeting is to inform and engage the stakeholders and to set up district working group to support CDP development process.

## SUB-STEP 1: PREPARATION FOR THE MEETING

<b>Expected timeline</b>	3 days
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Stakeholders identified</li> <li>• Meeting scheduled</li> <li>• Presentation developed</li> </ul>

### 1. Identifying the stakeholders

Identify regional and district authorities relevant for territorial planning and development, especially focusing on public infrastructure and public services:

- Economic development unit at the district administration,
- Investment planning and management unit at the district administration,
- Environment authorities at regional and district level,
- Providers of public services and utilities at regional and district level:
  - ▶ social assistance,
  - ▶ healthcare,
  - ▶ education,
  - ▶ water and wastewater management,
  - ▶ transport infrastructure and public transportation
  - ▶ power supply.

- Work to identify specific representatives of the institutions to be invited / seconded to collaborate with the CDP process.
- Some of these representatives will constitute the district level working group to collaborate with throughout elaboration and implementation of the CDP.

## 2. Scheduling and organising the meetings

Find appropriate time for the meetings by contacting all persons delegated as representatives of their respective institutions. Inform the institutions about the purpose of the meetings.

Organise (premises, equipment, hand-out materials, background roll-ups, photographer, press, coffee-break) and host two meetings:

- 1-hour meeting with representatives of the region;
- 1.5-2 hours meeting with representatives of the district.

## 3. Developing a presentation

Elaborate a power-point presentation covering the main aspects of the CDP process. Use the standard elements applicable to any CDP and complement them with specific information about the community the CDP is elaborated for.

The following content can be used as guidance:

- Project in brief,
- Objective and principles of CDP elaboration,
- Elaboration process: main steps and interrelations,
- Roles and responsibilities of involved stakeholders,
- Timeframe of the process: elaboration and implementation,
- Infrastructure in scope (all possible types of infrastructure that could be supported),
- Specific information on geography, needs and resources of the community,
- Tentative budget for implementation of the CDP.

### SUB-STEP 2: HOLDING THE MEETINGS

<b>Expected timeline</b>	2 days
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Presentation carried out</li> <li>• Any follow up questions clarified</li> <li>• Good working contact established</li> </ul>

#### 1. Carrying out the meetings

Demonstrate the presentation and proceed through the presentation slowly to ensure everyone involved can follow and understand. Be mindful of different levels of previous exposure and experience in planning economic and infrastructure development among participants.

Be prepared to answer most frequently asked questions from the participants. It is advised to be flexible and answer some questions during the presentation, while leaving longer discussions in the end for a separate Q&A session.

In the meeting with district authorities emphasize the mandate of the district working group and the representatives of authorities to nominate the participants. Provide the due date for submission of nominations. Consider all relevant district authorities (involve regional level authorities in especially justified cases) to be represented in the working group. It is necessary to ensure that all potential owners of the infrastructure to be built or reconstructed within the

CDP process are represented. Potential financiers of operational and maintenance costs of infrastructure and public services objects also need to be represented. The group must be established on the level of individuals, not organisations: continuity of work through participation of the same persons in all meetings is the objective. Make sure to collect contact information of all participants of the meeting to use for future reference: e.g. to organise follow up meetings, to invite them to join the working group, to prove that representatives of certain institutions were informed about the CDP process, etc.

## 2. Post-meeting activities

Share summary of the meeting using the contact-information collected. Remind participants of the meeting that they are always welcome to contact you and your colleagues for any clarifications or information.

Share contact-information of all participants of the meeting among themselves to ensure improved exchange of information in the future.

## STEP 2: CREATION OF DISTRICT WORKING GROUP

<b>Objective</b>	Establish a credible sounding board to verify socio-economic and environmental analysis of the CDP, identification of needs and feasibility of priorities and sub-projects
<b>Expected timeline</b>	1-2 weeks
<b>Inputs needed</b>	Nominations for working group by relevant district authorities
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Desk work</li> <li>• Workshop</li> </ul>
<b>Outputs</b>	District working group operational
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• District authorities responsible for the territorial development and planning, provision of public services and utilities</li> </ul>

### Purpose and objectives

District working group is a body encompassing representatives of the district authorities responsible for territorial development and planning, as well as provision of public services and utilities. The sectoral scope should cover all possible CDP investment areas.

The working group is designed to coordinate the investment foreseen in CDP with other public sources, take care about planning of ownership issues for potential infrastructure, plan the related assets, equipment, personnel in order the infrastructure build would be fully functional.

## SUB-STEP 1: FORMING OF WORKING GROUP

<b>Expected timeline</b>	Up to 2 weeks
<b>Outputs</b>	District working group operational

### 1. Engaging representatives

Following the awareness-raising meeting where engaged parties were asked to nominate / delegate the representatives for the working group, summarize the nominations / selections and contact data for the representatives for the district working group.

Check the nominations against the main criteria – each involved institution is represented, participants represent working level staff, contact details are provided.



Inform the working group members on operation of the working group and invite them for orientation workshop-training.

## 2. Orientation workshop

The main purpose of the orientation workshop is to explain the role and mandate of the group. The meeting is expected to last up to 2 hours.

The meeting must have the following steps:

Information about CDP (elaboration cycle and timescale, covering all communities of the district where CDP elaboration will take place, data sources, potential investment types and areas);

Introduction of representatives of district authorities, their competence and experience;

Discussion about possible blank-spots of the current composition of the working group (areas of potential future analysis and investments that are not covered by current composition and necessary additional authorities to be included);

Methods of collaboration and preliminary time-frame.

## STEP 3: DATA COLLECTION ABOUT THE COMMUNITY

<b>Objective</b>	Collect data on community to prepare for work with community and initiative group, gather input data for elaboration of territory analysis of CDP
<b>Expected timeline</b>	3-4 weeks
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Statistics</li> <li>• Spatial information (general layout, available maps of community)</li> <li>• Related documents</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Desk work</li> <li>• Data request for specialised information</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• District level data gathered</li> <li>• Mahalla passport developed</li> <li>• Spatial maps gathered</li> <li>• Socio-economic data gathered</li> <li>• Policy documents gathered</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Regional and district authorities</li> </ul>

### Data collection

Data collection is the process of gathering and measuring information on variables of interest, managing it in the right format that enables further analysis and research. The methods used for data collection could relate to statistics, document and record research, interviews, surveys, direct observations, etc.

It should be emphasized that there is relevance for gathering data that would feed into the analysis of community (see Step 8). Data fields (and data splits) that are not required by analysis need not to be gathered.

It is recommended to record the data sources. Where possible, it is advisable to provide web links to the data used.

## SUB-STEP 1: COLLECTION OF STATISTICAL AND SPATIAL DATA

<b>Expected timeline</b>	3-4 weeks (parallel with Sub-step 2)
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• District level data gathered</li> <li>• Mahalla passport developed</li> <li>• Spatial maps gathered</li> <li>• Socio-economic data gathered</li> </ul>

### 1. Collection of district level data

To provide a broader context, it is advised to collect the key district level data. This includes district map, data on area of the district territory, geography, population, cities and the rest of inhabited places.

District level data should be provided also on the main infrastructure – such as transport infrastructure, education infrastructure, health infrastructure, water and sanitation infrastructure, power supply infrastructure.

To characterize the health condition of the population, it is advised to collect health related data – the key diseases, their dynamics.

### 2. Developing mahalla passport

Mahalla passport is summarizing the key characteristics of community. The key data about community are to be gathered in mahalla passport template. Those include data on community area, inhabitants, and most important infrastructure objects (as available from the most recent sources).

### 3. Main socio-economic data

Socio-economic data include a vast array of information on local community - inhabitants, health and disease, literacy and education, standard of living and poverty, labour force and employment, status of women and gender empowerment, population parameters relevant to birth, mortality and migration, ecology and environmental, business activity, agriculture development, transport and communications, utilities available, etc.

Those data categories are crucial for socio-economic analysis and should feed into the CDP community analysis (see Step 8). It is important to gather the data in dynamics, e.g. covering 5-10 years period in the past in order to be able to judge about the trends and tendencies.

The suggested data fields to be gathered are annexed to the Manual (see Annex 2).

### 4. Mapping of mahalla

Collection of spatial data on community provides the information on typology of land-use and identifies the location of infrastructure. Spatial data can be processed and analyzed using Geographical Information Systems.

All major objects of infrastructure and public services must be clearly located on the maps. Likewise, in the future steps of CDP elaboration, any desirable elements of infrastructure must be located on the map in the process of defining the sub-project passport.

## SUB-STEP 2: COLLECTION OF POLICIES RELATED DATA

<b>Expected timeline</b>	3-4 weeks (parallel with Sub-step 1)
<b>Outputs</b>	Policy documents gathered

## 1. Compiling policy documents in scope

Policy documents are documents approved by an authorised political leadership (President, Government, Parliament, regional authorities, district authorities, etc.) describing future policy content and choices made to achieve development goals. Those could be comprehensive policy documents covering all territory of the country and economy sectors, specific sector policy documents, specific reform planning documents, specific territory development related documents, etc.

Most important policy documents that need to be gathered are those who relate to specific policies to be covered by CDP (e.g. education, health, water management, roads infrastructure) and those directly addressing the development of particular territory and investment strategy (e.g. 5-years regional development programme that defines the investment strategy at regional level).

The purpose of collection of the policy documents would be ability to conceptualize the CDP investments with the higher policy documents.

## 2. Compiling territory development documents of adjacent communities

Plans of adjacent communities also must be identified and sourced to be used in the CDP elaboration. It is done in order to put the CDP of this community in the larger geographical context and avoid externalities presented by others, as well as not to create negative externalities for neighbours.

### STEP 4: COMMUNITY MOBILIZATION WORKSHOP

<b>Objective</b>	Identify the development issues and challenges of the community by ensuring the bottom-up approach and proportional representation of the community
<b>Expected timeline</b>	2-3 weeks
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>Data on residents of community</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>Statistical methods for defining representation micro-model</li> <li>Community mapping</li> <li>Gallery of problems</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>Development priorities selected</li> <li>Initiative group formed</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>Facilitators</li> <li>Community members</li> <li>Initiative group</li> </ul>

#### Purpose

Community mobilization workshop is the main forum where the community development priorities are identified. Based on community development priorities investment sub-projects are proposed further in CDP elaboration process.

Community development priorities are proposed based on bottom-up approach – i.e. initiative comes from the representatives of the community participating in the workshop. In order to ensure fair representation of diversity of the development issues and challenges, proportional representation of community population in the workshop is proposed based on the community micro-model representation.

**SUB-STEP 1: INVITATION TO DISCUSSION**

<b>Expected timeline</b>	1-2 weeks
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Community representation micro-model developed</li> <li>• Participants invited to workshop</li> </ul>

**1. Scheduling the workshop**

Find appropriate time for the workshop by contacting the community leadership and consulting on the best options, taking into account the necessity to ensure proportional representation principle.

Inform community leadership about the purpose of the meeting – i.e. identification of the development priorities of the community that will be addressed by CDP and the optimal length of the meeting – e.g. 2-hour event.

It is highly recommended to explain the key underlying principles in elaboration of the CDP – bottom-up, proportional representation, etc. and the required input from the community leadership in identification of the participants of the workshop. Address the issue regarding the need for identifying the residents of the community and their characteristics.

Follow with organisational issues – organize premises, equipment, background roll-ups, photographer, and coffee-break.

**2. Representation of community residents**

Proportional representation of the community (see for detail Chapter 2.3) is main principle that should be ensured in the organisation of workshop and selection of its participants. Therefore, micro-model for the community representation need to be defined and community members representing the groups of population identified.

The key characteristics of community inhabitants would include six categories - gender, age, education level, employment status, ethnicity and place of residence. Each of the categories has a limited number of dimensions where each dimension could be attributed to every inhabitant of the community by a single variable.

Category	Dimensions		Allocation principle
	Number	Variable	
Gender	2	Female Male	Proportional to inhabitants' gender structure
Age	4	18-30 31-45 46-60 61+	Proportional to inhabitants' age structure
Education level	4	Higher education Vocational education Secondary education Below secondary education	Proportional to inhabitants' education structure

Category	Dimensions		Allocation principle
	Number	Variable	
Employment status	5	Employee Employer Student Unemployed Pensioner	Proportional to inhabitants' employment status
Ethnicity	2	Uzbek Other	Proportional to inhabitants' ethnicity
Place of residence	According to the number of streets	Street A Street B Street (..) Street n	Proportional to the number of streets

To define the micro-model for the proportional representation of the community, it is required to identify the residents of the community in respect to each category and variable. To represent the diversity of the community, it is advised to gather data on as many categories as possible. Most likely accessing of gender, age, place of residence data, as well as ethnicity would be comparably easier in comparison with education and employment related data.

The number of variations to be calculated is multiplication of variables of the categories used. For example, if there are used category of gender and category of age having 2 and 4 variables each, the total number of variations would be 8; if there are used categories of gender, age and place of residence having 2, 4 and n variables each, the total number of variations would be 8n (depending on the number of streets).

Once categories and variables are identified against the residents and variations are sorted, it requires calculation of the proportion of residents representing particular variation against the whole population.

As a next step the optimal number of the participants need to be set in order to select the representation micro-model.

In ideal proportional representation micro-model the number of representatives for each variable should correspond to its proportional value. The possibility that the micro-model of the community would proportionally mirror the community increases if the sample (participants of event) is increased. Therefore for the main discussion forums, e.g. workshop for identification of the development priorities, it is suggested to invite at least 50-60 participants.

An example for definition of the micro-model for representation is provided below.

Community resident	Categories			Number of residents per variation	Proportion of variation against total population	Number of representatives for micro model
	Gender	Age	Place of residence			
Name, surname	M	31-45	Street A	3	3 / TP *100%	Proportion of variation against total population * Number of participants to be invited
Name, surname	M	31-45	Street A			
Name, surname	M	31-45	Street A			
Name, surname	F	46-60	Street A	2	2 / TP*100%	Proportion of variation against total population * Number of participants to be invited
Name, surname	F	46-60	Street A			
Name, surname	[..]	[..]	[..]			
Name, surname	[..]	[..]	[..]			

It is recommended to develop the micro-model for representation in MS excel, allowing to use sorting and logical functions.

### 3. Invitation of participants

Once the micro-model for proportional representation is defined for the target number of participants, inhabitants of community fitting the profile need to be identified and invited to participate in the workshop.

One of easier options for the selection of participants would be applying of random select function within each variation. Another option would be manual selection of the participants from each variation by involving mahalla leadership, women representative, youth representative and informal leaders of community in identification of process.

The invitation to the meeting for the selected participants must be communicated with the appropriate lead time of at least one week. The invitations need to include preliminary information about the CDP process and objectives of the meeting.

## SUB-STEP 2: IDENTIFICATION OF DEVELOPMENT PROBLEMS

<b>Expected timeline</b>	1 day
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Development priorities selected</li> <li>• Initiative group formed</li> </ul>

### 1. Introduction

Workshop starts with introduction of its objectives, work arrangements and explanation of the methods applied (i.e. community mapping and gallery of problems).

Participants are divided into groups of 8-10 people in each. Room is organized in order to provide discussion and drafting space for each group. Flipchart paper and colour markers are provided for each group.

### 2. Applying community mapping

Community mapping is the first method being applied with an aim to visually map the development issues in the community. Groups of participants are asked to map the main community objects and visually describe the development challenges – e.g. problematic streets and roads, education infrastructure, health infrastructure, etc.

Each group is asked to present the map developed, putting emphasis of the location of infrastructure and the main issues identified, thus highlighting the relative importance of the development issues for the infrastructure and spatially linking the objects (e.g. accessing streets to schools, hospital, etc.).

### 3. Applying gallery of problems

Gallery of problems is the second method being applied for identification of the development priorities. It requires for each of the groups to identify up to 5 most urgent development problems that would be proposed as priorities to be solved within CDP. Facilitator should explain the purpose of the exercise – to consider each participant to propose issues and challenges that for him/her negatively affect the life in the community from the various of aspects, e.g. infrastructure quality and accessibility, access to services, business opportunities and employment opportunities, skills and competences. Once considered individually, the group should discuss the proposals between themselves and come up with up to 5 most common issues.

Once discussed within a group, development issues are presented by each of the groups and listed into a common list on the screen, blackboard, flipchart etc. In case the issue is mentioned by several groups, it is listed only once. In the end the list of all identified development problems are formed.

Most commonly the development problems will be listed as infrastructure objects – e.g. school, kindergarten, polyclinic, roads. For further voting purposes it is important that every infrastructure object is understood as a concrete object – exact school (if there are several schools in community), exact kindergarten, etc.

### **SUB-STEP 3: VOTING FOR PRIORITIES**

#### **1. Casting votes**

All problems raised by the community workshop should go through voting process. Its purpose – to identify the highest ranking priorities that are common for larger proportion of the residents of the community. 3-5 priorities that receives highest ranking will be transferred into the sub-projects.

Once the complete list of development problems is identified (see Sub-step 2), community members participating in the workshop are asked to cast their votes for a limited number of problems identified, i.e. 3 objects.

Voting bulletins must be prepared with a number that is attributed towards an infrastructure object. Altogether number of sets of bulletins corresponding the number of workshop participants need to be prepared.

Community members shall cast their votes anonymously, putting into a casting box the bulletins for their preferences.

#### **2. Counting and recording of votes**

Votes cast are being counted publicly. Invite representatives of the community to participate in vote counting for transparency purposes.

The facilitator utilises a transparent procedure of counting the votes: does the counting on the presidium table in front of all participants. Facilitator records resulting ranking of problems on the flipchart next to the presidium table so that all participants of the workshop can see the results.

#### **3. Output**

The final output of the voting process is that all development problems are voted by all participants of the community workshop. Resulting from the count, all identified development problems are ranked based on the number of votes they have received.

The sequence of development problems should be interpreted as community's common priority level of the issue. Based on the number of votes, the facilitator explains to the community members that the 3-5 top-voted problems can now be considered the priority problems of this community.

The facilitator explains the next steps in the process: verification based on desk work and on-spot visits, elaboration of solutions, verification of solutions with the authorities of the district and the region, verification of solutions with the community. Facilitator also indicates a provisional timeframe for all the steps.

## SUB-STEP 4: FORMING INITIATIVE GROUP

### 1. Composition of initiative group

At the end of workshop community initiative group needs to be formed from the inhabitants of community. Similarly as for participants of the workshop, micro-level representation model should be applied for the selection of the initiative group members. Taking into account that the initiative group members will total around 10-15 participants, it would be suggested to remain with a part of most crucial categories, thus allowing the feasibility of a model for a small sample.

Category	Dimensions		Allocation principle
	Number	Variable	
Gender	2	Female Male	Proportional to inhabitants' gender structure
Age	4	18-30 31-45 46-60 61+	Proportional to inhabitants' age structure
Place of residence	According to number of streets	Street A Street B Street (..) Street n	Proportional to the number of streets

It would be recommended to approach the participants of the workshop for participation in the initiative group based on the place of residence, as the rest of categories could be easier attributable for selection of the initiative group members.

Participation in initiative group should be voluntary. Not only participants of the workshop could become members of the initiative group – any inhabitant of community willing to contribute could be part of it. However, it is recommended to avoid membership in the initiative group the residents who potentially could have a conflict of interest (e.g. employees of public authorities represented in district working group).

Names, surnames and contact information should be collected for initiative group members. It would be recommended to collect data how initiative group members correspond to categories that underlie the proportional representation principle. The members of the initiative group are recorded, as well as their contact information.

The head and the deputy head of the initiative group should be selected by the initiative group members based on the gender equality principle.

### 2. Trainings for initiative group

While citizens of the community are not expected to become policy planning specialists, they need certain basic understanding of the CDP process to meaningfully participate in it. The training programme should include explanation of main concepts and processes, so that when citizens are involved in the work they understand which stage of the process they are in and what will follow.

The training module can be limited to a half-day session (4 hours) followed by an informal exchange of opinions over an extended coffee-break.

It is to be expected that citizens forming the initiative group will change over time, and original members might forget or misunderstand some of the CDP elements from training – therefore,



facilitators are expected to be prepared to refresh the concepts at the beginning of each of the initiative group meetings.

## STEP 5: FINDING SOLUTIONS WITH INITIATIVE GROUP

<b>Objective</b>	Define objectives and targets, develop SWOT, consult and discuss with initiative group alternative solutions for development problems
<b>Expected timeline</b>	1 week
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Community analysis carried out</li> <li>• Technically feasible alternatives</li> <li>• Costing for alternatives</li> </ul>
<b>Methods</b>	Workshop
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Objectives set</li> <li>• SWOT developed</li> <li>• Agreement on alternatives for development problems to be transposed into sub-projects</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Initiative group</li> </ul>

### Objective

Facilitators through the interaction with the initiative group need to ensure definition of the objectives and targets for CDP, as well as SWOT. Based on the identified development problems, alternative solutions for development problems need to be consulted and discussed with initiative group.

Keeping the key stakeholders, and the initiative group being the most important of them, is necessary to make sure all stakeholders keep involved and see their opinions valued used in practice.

In order to receive meaningful feedback two main pre-conditions are key:

- Members of the initiative group need to be motivated to participate in the conversations,
- Facilitators must make sure that the initiative group understands the proposed solutions before providing feedback.

### SUB-STEP 1: PREPARATION FOR THE MEETING

<b>Expected timeline</b>	Up to 3 days
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Organization and preparation for meeting ensured</li> <li>• Presentation developed</li> </ul>

#### 1. Scheduling and organising the meeting

The meeting on definition of the objectives and targets for CDP, SWOT and alternative solutions for development problems could be organized once the Community mobilization workshop is carried out. It could be 3-4 hours interactive workshop.

Prior holding the meeting facilitators need to ensure that initiative group members are informed about the priority problems identified and key issues discovered in data analysis – and may be exposed to a fresh perspective to their own situation.

Previously identified members of the initiative group must be informed about the meeting time and place at least one week, preferably two, ahead of the meeting. The meeting needs to

have clear agenda and objective that all participants are informed about together with the invitation. If there are any draft documents elaborated, those also need to be disseminated to the participants with a at least one week lead-time.

## 2. Developing a presentation

Facilitator must find an appropriate and adequate manner of presenting the draft documents to the initiative group. It is not prudent to rely that most participants of the meeting had the time and motivation to make themselves acquainted to the disseminated documents, therefore the presentation must be detailed enough but not unreasonably difficult to follow.

A traditional manner is a power-point presentation laying out main items on the agenda and providing basic background information. The presentation might skip issues that are well-known to citizens of the community and instead focus on less-known and more challenging issues (often socio-economic issues are well-known, while environmental and climate items are less well understood).

Presentation whose purpose would be to orientate the initiative group members for definition of the objectives and targets and SWOT could cover:

- underlying considerations for CDP objectives and targets,
- key priority problems identified,
- main socio-economic data,
- main data characterizing the infrastructure,
- main data on environmental issues.

Making a presentation of investment opportunities / sub-projects is considerably less-challenging. It is proposed that every item follows the same basic structure to allow to follow and compare sub-projects:

- title of the sub-project,
- possible location on the map,
- needs met by the investment,
- connection to CDP objectives,
- connection to strategic framework,
- ownership of the object,
- estimated volume of investment,
- estimated running costs of the object and their source,
- number of beneficiaries.

If the sub-project has feasible alternative solution, this solution also must be presented in the same manner immediately after the slides on the proposed sub-project.

### SUB-STEP 2: HOLDING THE MEETING

<b>Expected timeline</b>	Up to 2 days
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Objectives set</li> <li>• SWOT developed</li> <li>• Agreement on alternatives for development problems to be transposed into sub-projects</li> </ul>

## 1. Carrying out the meeting

In the meeting of the initiative group facilitator follows the elaborate presentation in demonstrating and explaining the considerations and looks for feedback from the members of the initiative group.

When moderating the discussion on definition of the CDP objectives and targets and elaboration of SWOT, facilitator should follow the considerations described in Step 8 regarding the setting of objectives.

When presenting analysis, focus must be on verifying the previously identified development needs and engaging citizens in discussion on needs identified by the facilitator (items that might not be previously known to the citizens). Objective of the debate is to arrive to the definitive list of development needs and their justification to be included in the Strategic part of the CDP.

When presenting the alternatives, the focus must be on verification of compliance with development needs – asserting that the proposed investment can in fact satisfy the need and at the same is feasible. Only once this is established, the debate on financial compliance (ability to finance as many sub-projects as possible and which of the identified sub-projects to be financed) must start. Objective of the discussion here is to construct the prioritised list of sub-projects to be included in the Operational part of the CDP.

## 2. Post-meeting activities

Share the resulting drafts of the CDP chapters based on decisions taken in the meetings.

Inform about the next steps and their time-frame based on the current progress.

Remind participants of the initiative group that they are always welcome to contact you for any clarifications or information.

## STEP 6: VISUAL AND TECHNICAL INSPECTION

<b>Objective</b>	Identify deficiencies in existing infrastructure, technically feasible solutions for proposed development priorities, develop implementation alternatives, and estimate costs
<b>Expected timeline</b>	3-4 weeks
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Technical standards on infrastructure</li> <li>• Standard costs for construction and materials</li> <li>• Construction price deflators</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Visual inspection</li> <li>• Technical inspections</li> <li>• Meetings with relevant specialists</li> <li>• Elaboration of technical documentation</li> <li>• Elaboration of cost estimates</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Technically feasible alternatives</li> <li>• Costing for alternatives</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Engineers</li> <li>• Facilitators</li> <li>• Sectoral specialists from the district working group</li> <li>• Operators of existing objects</li> <li>• Community representatives</li> <li>• Mahalla administration</li> </ul>

## Verification of infrastructure

In order to help the community to identify and formulate sub-projects and possible alternatives, it is necessary to conclude on the technical condition of the infrastructure objects that were proposed as priorities for CDP in the workshop. This requires carrying out technical and visual verifications of the infrastructure objects.

Verification of infrastructure needs is ensured through assessment of the technical documentation available and visual and technical inspection, with participation of engineers and relevant specialists (local, district and regional) accompanying facilitators and initiative group members, as well as representatives of line ministries.

This work includes assessment of the mechanical strength of constructions, depreciation and safety of all parts of the buildings and engineering communications, as well as energy efficiency. For services an in-depth analysis of quality and reliability of services must be performed..

### SUB-STEP 1: INSPECTION OF OBJECTS PROPOSED AS DEVELOPMENT PRIORITIES

<b>Expected timeline</b>	1-2 weeks
<b>Outputs</b>	• Inspections performed

#### 1. Desk inspection

Desk inspection includes review of the technical documentation available – construction project, documentation on repair works, assessments of technical condition of buildings, energy efficiency audits, etc. All of the discovered items must be compared and contrasted with the existing standards laid out in the construction code.

For services and equipment used in provision of services, desk review consists of analysing documents on provided services and utilised resources, as well as comparison to established standards.

Purpose of review aims at identifying the main preliminary conclusions on technical condition on the infrastructure.

#### 2. On-the-spot visit

Visual observation of the infrastructure buildings complements the verification of the documentation and allows to check the compliance with the technical documentation. If required, additional inspection could be initiated in order to conclude on feasibility of further solutions regarding the infrastructure.

For services, the inspection includes verification of quality and reliability of services through observation of the service in the field, and through interviews with the providers of services and representatives of the community and the mahalla administration.

### SUB-STEP 2: IDENTIFICATION OF ALTERNATIVE SOLUTIONS

<b>Expected timeline</b>	1 week
<b>Outputs</b>	Technically feasible alternatives identified

#### 1. Verification of needs and priorities

Two types of inspections must produce conclusions enabling the facilitators with assistance of relevant specialists to clearly formulate the needs of the community in a way of sub-project ideas and ways to satisfy those needs via infrastructure, equipment or service improvements.

E.g. when visiting a secondary school prioritized for CDP investment by the community workshop specific needs and development issues can be discovered:

- the school has insufficient capacity and needs to be expanded,
- the school's building is non-compliant with the current construction code and new building must be constructed,
- the school has no in-door toilets and needs to have new plumbing constructed,
- the school has no gym or stadium and those need to be built,
- the school has no specialist study-rooms (chemistry, physics, IT, etc.) and those need to be constructed and / or equipped.

Also, there could be a conclusion from the verification that the priority object identified in workshop does not have any specific investment needs – i.e., it is appropriate for operation in respect to its condition, capacity, demand. In those cases the particular sub-project should not be proposed for implementation.

## 2. Alternative solutions and technical feasibility

Based on conclusions from verification of the infrastructure, buildings, equipment and services, all technically feasible solutions for infrastructure need to be identified:

- Renovation, partial renovation, demolishing and construction of new infrastructure;
- Provision of equipment in the current building or a new one;
- Improvement of existing services infrastructure / equipment or a new one.

The feasibility of alternative solutions could depend not only on the conclusions of the technical verification of the existing infrastructure, but also on other conditions – such as, availability of appropriate land to construct a new infrastructure (quite often the outdated infrastructure could not be demolished before start of construction of new one – continuity of education process should be ensured, etc.).

## SUB-STEP 3: COST AND IMPACT ESTIMATION FOR ALTERNATIVES

<b>Expected timeline</b>	1 week
<b>Outputs</b>	Costing for alternatives carried out

### 1. Identification of budget

It is suggested to start with the identification of the total costs and the possible financial source. The source could be related to both national public funding and donor financing. It is advised to consult the experts from the line ministries in order to clarify the opportunities.

For identification of the budget available for implementation of the CDP sub-projects it is important to identify not only the total financial amount needed, but also the conditions set for the financing – timeframe for spending, eligibility rules for cost categories, need for co-financing.

Funding could be limited to a certain requirement for cost disbursement time periods which means that alternative solutions that goes beyond the time period would not be feasible for implementation (e.g. alternatives requiring several construction seasons could not be valid due to the time requirements).

Similarly also regarding the eligibility for the costs – financial sources could have limitations regarding the certain cost categories or certain type infrastructure objects.

Some of the financial sources could require attraction of the co-financing that means that investment financing is accessible upon the fulfilling the co-financing requirement from the own sources.

## 2. Costing the alternatives

Costing should be provided for all technically feasible alternative solutions for the priorities identified in order to allow the comparison of the solutions for the provisional sub-projects.

Where possible standard construction projects should be used and standard costs could be applied for the cost categories, using construction price deflators, based on the number of construction seasons concerned.

The alternative solutions for prospective sub-projects together with costing should be prepared for further consultations with initiative group.

## 3. Impact estimation

Different alternatives addressing the same development priority could have different impact on community. It would be recommended to prepare impact assessments for alternatives in respect to target audience concerned, key environmental considerations, etc.

For comparison of alternative solution towards the impact to the community the following criteria could be used:

- Number of inhabitants concerned by the alternative solution,
- Number of inhabitants and businesses concerned by the alternative solution.

For example, if there are several alternatives for addressing the transport priority (repair or construction of internal roads), water supply priority, and not all needs could be covered immediately, it would be worth to consider the amount of the target group that are being addressed by implementing a particular solution.

The alternative solutions for prospective sub-projects together with impact comparison should be prepared for further consultations with initiative group.

## STEP 7: TECHNICAL ALIGNMENT WITH DISTRICT WORKING GROUP

<b>Objective</b>	Consult and discuss with working group alternative solutions for development priorities, draft text for CDP
<b>Expected timeline</b>	1 week
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Technically feasible alternatives</li> <li>• Costing for alternatives</li> </ul>
<b>Methods</b>	Meeting
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Agreement on feasibility of alternatives for development priorities to be transposed into sub-projects</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Working group</li> </ul>

### Objective

Once certain elements of the draft CDP are developed, they need to be consulted with the working group. Facilitators need to ask for feedback on the drafted parts to improve them, if needed, or verify them and consider them finalised to be included in the draft CDP.

## SUB-STEP 1: PREPARATION FOR THE MEETINGS

<b>Expected timeline</b>	Up to 3 days
<b>Outputs</b>	Organization and preparation for meeting ensured

### 1. Scheduling and organising the meetings

Tentatively 3-5 meetings with the working group must be planned in addition to the introductory meeting, when the working group is formed and the process is launched.

When discussing the Strategic Part of the CDP, members of the working group could be a very useful source of additional data and information on the socio-economic and environmental situation in the community.

When discussing the Operational part of the CDP, most attention needs to be paid to compliance with regional and national strategies and with working plans of the district-level authorities.

Delegated members of the working group must be informed about the meeting time and place at least two weeks ahead of the meeting. The meeting needs to have clear agenda and objective that all participants are informed about together with the invitation. If there are any draft documents elaborated, those also need to be disseminated to the participants with at least one week lead-time.

### 2. Developing a presentation

Discussion on the Strategic part of the CDP (tentatively 1-2 meetings) will seek to either verify existing analysis or to complement it by providing missing data and information. For this, the missing parts must be stressed as opposed to papered over in the draft disseminated before the meeting.

When discussing the Operational part of the CDP (tentatively 2-3 meetings) detailed information on proposed sub-projects must be provided to the members of the working group. The items to discuss in the meeting are as follows:

- Verifying the proposed sub-projects ability to address the identified needs,
- Discussing the development sub-projects in the context of the district (region and state) development,
- Checking technical feasibility of the proposed sub-projects,
- Estimating or verifying costing of the proposed sub-projects,
- Discussing the financing choices in the context of the district investment plans.

## SUB-STEP 2: HOLDING THE MEETINGS

<b>Expected timeline</b>	Up to 2 days
<b>Outputs</b>	Agreement on feasibility of alternatives for development priorities to be transposed into sub-projects

### 1. Carrying out the meetings

In the meeting of the working group facilitator follows the elaborated presentation in demonstrating and explaining the draft chapter of the CDP and looks for feedback from the members of the working group.

When presenting analysis chapters, focus must be on verifying the previously identified development needs and filling-out missing bits of information and data. The target of the debate is to finalise the analysis based on the best available data.

When presenting the investment opportunities, the focus must be on technical and financial feasibility of sub-projects. Target of the discussion is to prepare the most impactful prioritised list of sub-projects to be included in the Operational part of the CDP.

## 2. Post-meeting activities

Share the resulting drafts of the CDP chapters based on decisions taken in the meetings. Remind colleagues of any additional data and information they undertook to submit at defined deadlines.

Inform about the next steps and their time-frame based on the current progress.

Remind participants of the working group that they are always welcome to contact you for any clarifications or information.

## STEP 8: CDP ELABORATION

<b>Objective</b>	Elaborate a draft CDP for discussions
<b>Expected timeline</b>	2-3 weeks
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Data on various socio-economic and environmental aspects</li> <li>• Access to representatives of the community</li> <li>• Access to key infrastructure authorities</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Desk work / data analysis</li> <li>• Verification meetings</li> </ul>
<b>Outputs</b>	First draft CDP
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Community representatives</li> <li>• Infrastructure authorities</li> </ul>

### CDP content outline

CDP consists of the strategic part, where analysis is performed and strategic directions are defined, and the operational part, where investment priorities and sub-projects are proposed and justified.

Broad outline of CDP are as follows:

<b>Introduction</b> <ul style="list-style-type: none"> <li>• Brief information about CDP</li> <li>• IsDB Project information</li> <li>• Methodology</li> <li>• Steps in CDP</li> </ul>	
<b>(A) Strategic Part</b>	
Objectives and targets	Defining overall objective and specific objectives related to the development of the territory and addressed by CDP
<b>Brief information about the district</b> <ul style="list-style-type: none"> <li>• General information about the district</li> <li>• District map</li> <li>• Information about existing infrastructure</li> <li>• Health condition data</li> <li>• Information about target communities in scope</li> </ul>	Encompassing the key characteristics of the district the target community / communities belong to.



<b>Community in scope</b> <ul style="list-style-type: none"> <li>• Short information about community</li> <li>• Map of community</li> <li>• Socio-economic analysis</li> <li>• Infrastructure analysis</li> <li>• Environment analysis</li> </ul>	Encompassing the key characteristics on administrative division, location, inhabitants, type of territory; Analysing the business environment and employment related aspects and trends; Analysing the basic infrastructure state of play and gaps Analysing key climate and environment related aspects
<b>SWOT</b>	Summarizing the main conclusions from the analysis of the territory
<b>General list of problems identified</b>	Summarizing the development problems identified according to the area concerned
<b>Priority problems</b>	Providing the list of priority problems and solutions
<b>(B) Operational part</b>	
<b>Justification</b>	Providing justification for sub-project
<b>Sub-project passport</b>	Summarizing the key features of the sub-project
<b>Links to overall territorial development</b>	Providing links to overall territorial development
<b>Sustainability</b>	Describing sustainability aspects related to sub-project results to overall territorial development
<b>Target groups</b>	Identifying and measuring the target groups
<b>Impacts of investments</b>	Assessing the social, economic and environmental impacts
<b>Budget framework</b>	Summarizing the estimated costs, financial sources for all sub-projects

## SUB-STEP 1: ELABORATION OF STRATEGIC PART OF CDP

### 1. Setting objectives of community development

Close cooperation with community initiative group should be ensured throughout the setting of objectives for CDP. It could take place in form of workshop.

The objective of a programme is a broad statement of the programme goal, and it addresses the longer-term outcomes or impacts that the programme seeks to achieve. The ultimate objectives could relate to improved welfare and local socio-economic development of citizens through better access to basic services in the communities.

The overall objective is further operationalised via 3-5 specific objectives related to key areas of problems or interventions. The specific objective is a statement highlighting the aspect what is the most important area that the CDP will be tackling and what specific changes focusing on the achievement of a given objective are expected to happen. The specific objective provides guidance and direction for the whole CDP, facilitates planning, motivates personnel, and helps to evaluate and control outcomes.

Specific objectives of the individual communities are to be determined based on the analysis of existing situation in services (gas, electricity, transport, water, sanitation, health, education, etc.), identifying current needs and projecting future needs of the citizens of the community. Situations as well as current and future needs may vary across communities, so specific objectives need to be defined individually. Generally 3-5 specific objectives are recommended to keep the focus on the most important issues for development of the community.

When defining the specific objectives and distinguishing them from the overall strategic outline / ultimate objective remember that:

- The strategic outline is broad; the specific objectives are narrow;
- The strategic outline are of general intentions; the specific objectives are precise;
- The strategic outline is mainly abstract and intangible; the specific objectives are concrete and tangible.

The level of objectives must be further made clearer and instrumental by introducing 3-7 targets of development indicators related to development areas and main socio-economic or environmental problems.

For defining and testing of the proposed definition of the specific objectives, it is recommended to use the widely used criteria “SMART”.

<b>S</b>	Specific and clear: Avoid ambiguity, to ensure the objectives is meaningful
<b>M</b>	Measurable: Knowing when you have “reached your destination”
<b>A</b>	Achievable and attainable: Objectives should be realistic, not speculative
<b>R</b>	Relevant: Evidence-based, addressing the real problem
<b>T</b>	Timely: To convert objectives into concrete plans, objectives, cannot be open-ended; it makes sense to set clear time limits

## 2. Brief information about district

The purpose of the provision of the district level data is putting into the context the CDP of particular cluster communities or an individual community in relation to the location, administrative territory, inhabitants, infrastructure, etc.

### 2.1. District map

Provide the administrative map of the district, identifying the key infrastructure and geographical objects and key density points.

### 2.2. General information about the district

General information about the district provides the broader context for location of the target communities in respect to location, administrative division, inhabitants and territory.

Question for consideration	Aspects of analysis
<b>Administrative division &amp; subordination</b>	Identify belonging to specific territorial administrations: <ul style="list-style-type: none"> <li>• Region (oblast),</li> <li>• Number of communities in the district</li> </ul>
<b>Inhabitants</b>	Identify the total number of permanent inhabitants; Identify density of population and key density points
<b>Natural resources</b>	Identify access / availability of natural resources: <ul style="list-style-type: none"> <li>• Mineral (oil, gas, coal, metals, gams),</li> <li>• Agricultural vegetation (cotton, maize, rice, wheat, silk),</li> <li>• Meat and milk agriculture (steppes, fields, meadows),</li> <li>• Natural (rivers, lakes, mountains)</li> </ul>
<b>Type of territory</b>	Identify the type of territory by: <ul style="list-style-type: none"> <li>• Classifying the terrain (maintains, steppes, deserts),</li> <li>• Intensity of construction (urban, rural, depopulated),</li> <li>• Access to important natural resources (rivers, lakes, etc.)</li> </ul>

## 2.3. Information about existing infrastructure

Information about the existing infrastructure summarizes the data on district level infrastructure that is supposedly used by inhabitants of the district and serves broader target audience than a single community.

Question for consideration	Aspects of analysis
<b>Roads</b>	Identify the main roads in the district, their length
<b>Railroads</b>	Identify the railroads in the district (if any)
<b>Airports</b>	Identify the airports located in district (if any)
<b>Education establishments</b>	Identify education institutions of all types located in the district, provide the number of students
<b>Health infrastructure</b>	Identify health institutions of all types (hospitals, polyclinics) located in the district
<b>Culture infrastructure</b>	Identify culture institutions of all types (culture centres, libraries, etc.) located in the district

## 2.4. Health condition data

Information about the health condition of the inhabitants of the district addresses the main diseases the inhabitants suffer from. There could be provided the total number of the current diseases for the inhabitants of the district and the actual annual cases.

## 2.5. Information about target communities

The information about the target communities provides the summary about the communities in scope of CDP. Based on the passport of mahalla, describe the location and territory, number of residents and households, key points of density.

## 3. Community in scope

The territory where investment projects will take place is defined as administrative territory of the local community (mahalla, qishlaq).

However, almost all investments can be expected to have impact on a wider territory: neighbouring communities, their administrations, and business (factories, farms, SMEs) situated in the vicinity. This wider territory needs to be taken into account when analysing and prioritising investments.

It is recommended facilitators do perform the analysis and verify the conclusions with initiative group. It could take place in form of workshop.

### 3.1. Short information about community

The analysis of the territory starts with identification of overall characteristics of the territory of the local community, by incorporating of basic facts on community territory.

Question for consideration	Aspects of analysis
<b>Administrative division &amp; subordination</b>	Identify belonging to specific territorial administrations: <ul style="list-style-type: none"> <li>• Region (oblast),</li> <li>• District (rayon),</li> <li>• Historical belonging to common administrative units with neighbouring communities</li> </ul>

<b>Location</b>	Identify the location by giving: <ul style="list-style-type: none"> <li>• GPS location data,</li> <li>• Identifying near-by large towns (how far in km, and compass direction),</li> <li>• Putting the location in the context of known natural objects (mountains, hills, rivers, lakes, deserts)</li> </ul>
<b>Inhabitants</b>	Identify the total number of permanent inhabitants; <ul style="list-style-type: none"> <li>• Identify key composition parameters of the community:                         <ul style="list-style-type: none"> <li>• Age,</li> <li>• Genders,</li> <li>• Labour status,</li> <li>• Social status (employed, retired, unemployed, children, students, socially-supported),</li> <li>• Education level;</li> </ul> </li> <li>• Identify density of population and key density points if the community is not homogenous;</li> <li>• Identify demographic trends by setting out data on:                         <ul style="list-style-type: none"> <li>• Natural population growth (births and deaths);</li> <li>• Migration-related population growth (inward and outward, permanent and seasonal)</li> </ul> </li> </ul>
<b>Natural resources</b>	Identify access / availability of natural resources: <ul style="list-style-type: none"> <li>• Mineral (oil, gas, coal, metals, gams),</li> <li>• Agricultural vegetation (cotton, maize, rice, wheat, silk),</li> <li>• Meat and milk agriculture (steppes, fields, meadows),</li> <li>• Natural (rivers, lakes, mountains)</li> </ul>
<b>Type of territory</b>	Identify the type of territory by: <ul style="list-style-type: none"> <li>• Classifying the terrain (mountains, steppes, deserts),</li> <li>• Intensity of construction (urban, rural, depopulated),</li> <li>• Access to important natural resources (rivers, lakes, etc.)</li> </ul>

### 3.2. Map of community

Provide the administrative map of the community, identifying the key infrastructure and geographical objects and key density points.

### 3.3. Socio-economic analysis

Socio-economic development analysis is an integral part of any territorial development strategy. Socio-economic development analysis provides critical inputs for justifying the development needs.

Socio-economic analysis is the main part of the analytical work on the CDP and includes all key information to prepare and justify the decision about development directions and priority investments.

#### 3.3.1. Businesses

Existence of appropriate business activity allows the community members to generate necessary income. Major benefits of business in the local economy include a boost in employment and discretionary income in the community, tax income increases and a loyal customer base for

businesses, especially those who are services oriented. Presence of various types of sectors of economy allows diversifying the income, thus minimizing the dependence on a single industry.

Question for consideration	Aspects of analysis
<b>Activity</b>	Identify number of businesses / employers registered in the community; Identify number of businesses / employers active in the community; Pro-rate numbers of businesses / employers by the size of the population; Benchmark the rate of activity against neighbouring communities, region, the country
<b>Main sectors</b>	Identify key sectors of economy in community by: <ul style="list-style-type: none"> <li>• Number of businesses / employers,</li> <li>• Number of employees,</li> <li>• Volume of turnover</li> </ul>
<b>Comparative advantages</b>	Identify any advantages the territory has for specific economic sectors: <ul style="list-style-type: none"> <li>• Natural resources,</li> <li>• Access to transport routes,</li> <li>• Human resources (current and future labour force),</li> <li>• Historical specialisation</li> </ul>
<b>Actions</b>	Propose potential development directions in business generation and promotion

### 3.3.2. Employment

Employment represents the main source of income generation for majority of population. Availability of labour force, as well as its qualification defines the supply side, while existence of the employers and industry sectors represented to accumulate the workforce form the demand side. Therefore, employment analysis is of key importance for elaboration of the CDP.

Question for consideration	Aspects of analysis
<b>Opportunities</b>	Identify number of filled work places in the community; Identify numbers / rates of unfilled vacancies; If any vacancies are long-term identify reasons for failing to fill those
<b>Inefficiencies</b>	Identify the current unemployment rate; Benchmark it against neighbouring communities, region, the country; Identify key relevant characteristics of unemployed persons
<b>Incomes</b>	Identify levels of incomes in the community; Analyse distribution of incomes; Benchmark it against neighbouring communities, region, the country
<b>Social pressure</b>	Identify rates of supported persons per each employee; Identify expected rates of supported persons per each employee in the next 5-10 years based on current demographic and labour trends; Benchmark it against neighbouring communities, region, the country
<b>Education and skills</b>	What are education and skills of inhabitants? How the education and skills comply with labour market needs?
<b>Actions</b>	Propose potential development directions in employment promotion

### 3.4. Infrastructure analysis

Infrastructure is the area where most of the investments of CDP will take place, which makes this part of the analysis most important for the purposes of financial impact of the CDP.

#### 3.4.1. Education infrastructure

Access to qualitative education infrastructure is among key preconditions for future generations to get a competitive education, and further get access to higher value added labour market. Buildings, classrooms, laboratories, and equipment – i.e. education infrastructure - are crucial elements of learning environments in schools. There is strong evidence that high-quality infrastructure facilitates better instruction, improves student outcomes, and reduces dropout rates, among other benefits.

Analysis of education infrastructure includes schools and kindergartens mostly, and some centres of extracurricular activities for children if such exist, like sports and hobby sections.

Question for consideration	Aspects of analysis
<b>Availability</b>	Identify existing education infrastructure (both public and private): schools, kindergartens, hobby centres etc.  Analyse whether all necessary services are provided in the vicinity (3 km): <ul style="list-style-type: none"> <li>• School,</li> <li>• Kindergarten</li> </ul>
<b>Quality</b>	Identify physical condition of buildings and infrastructure: <ul style="list-style-type: none"> <li>• Quality and depreciation,</li> <li>• Compliance to existing construction standards</li> </ul>
<b>Coverage</b>	Analyse if the existing infrastructure allows carrying out of education process: <ul style="list-style-type: none"> <li>• Standard classrooms,</li> <li>• Specialised classrooms (physics, chemistry, housework, IT),</li> <li>• Dining hall,</li> <li>• Wardrobe,</li> <li>• Toilets,</li> <li>• Gym,</li> <li>• Sports stadium,</li> <li>• Assembly hall</li> </ul>
<b>Accessibility</b>	Confirm that the education infrastructure is accessible for children with disabilities: <ul style="list-style-type: none"> <li>• Access ramps,</li> <li>• Lifts</li> </ul>
<b>Capacity</b>	Identify the number of children attending the school and the number of children the school was designed to educate;  Identify the number of children attending the kindergarten and the targeted number of children the kindergarten is foreseen for
<b>Intensity</b>	Identify number of shifts the school operates (one or more);  Identify number of children forced to travel to schools in other communities (3 km or more);  Identify number of children forced to travel to kindergartens in other communities (3 km or more)

Question for consideration	Aspects of analysis
<b>Future-proofing</b>	Identify future (5-10 years) demand for education infrastructure: <ul style="list-style-type: none"> <li>• Based on demography (intensity of demand),</li> <li>• Based on curriculum (IT classrooms, WiFi access)</li> </ul>
<b>Actions</b>	Propose development actions to the identified issues

### 3.4.2. Health infrastructure

Public health infrastructure in communities provides the necessary foundation for all basic public health services - from vaccinations to chronic disease prevention to emergency preparedness efforts. Health infrastructures are considered to be “critical” infrastructures in many countries because of the close interrelation with not only the quality of life of people and life expectancy, but also the quality of labour force, business activity and ultimately the economy of the country. Often people only become concerned with their health and relevant healthcare provision only in the advanced age, but qualitative primary healthcare and prevention might prove more efficient.

It should be noticed that the quality of health infrastructure and the health service provided to a large extent depend critically of other public utilities – e.g. quality of roads to reach the hospitals / polyclinics/ emergency points, power supply, water supply, and others.

Question for consideration	Aspects of analysis
<b>Availability</b>	Identify if the community has primary health institution (polyclinic); Identify if the community has the secondary health institution (hospital)
<b>Quality</b>	Identify physical condition of buildings and infrastructure: <ul style="list-style-type: none"> <li>• Quality and depreciation,</li> <li>• Compliance to existing construction standards</li> <li>• Identify necessary infrastructure elements: <ul style="list-style-type: none"> <li>• Wardrobe,</li> <li>• Registration,</li> <li>• General practitioner’s room,</li> <li>• Specialists rooms,</li> <li>• Bio-hazardous waste room,</li> <li>• Toilets.</li> </ul> </li> <li>• Identify any shortcomings due to inappropriate planning or depreciation</li> </ul>
<b>Coverage</b>	Identify scope of healthcare services provided in the community: <ul style="list-style-type: none"> <li>• Paediatrics,</li> <li>• Therapist,</li> <li>• Dentist,</li> <li>• Specialist care</li> </ul>
<b>Accessibility</b>	Confirm that the health infrastructure is accessible by patients with disabilities: <ul style="list-style-type: none"> <li>• Access ramps,</li> <li>• Lifts</li> </ul>
<b>Capacity</b>	Identify capacity of visitors the infrastructure is foreseen for and the actual number of visitors

<b>Intensity</b>	Identify average waiting time of the patients in days (up to 1 day for primary health and up to 3 days for specialist – or more); Estimate future intensity based on demographic outlook 5-10 years
<b>Actions</b>	Propose remedial and development actions to the identified issues

### 3.4.3. Power supply infrastructure

Electricity is the blood-flow of the modern life and often neither work, nor studies, nor leisure are fathomable without it. Power supply infrastructure cannot be taken for granted in planning development of communities. It enables the operation of businesses and makes possible access to variety of utilities. The importance and quality of power supply will increase intensifying the e-governance and public services.

Power infrastructure consists of the equipment and services necessary to take electrical energy generated from various sources (hydroelectric dams, fossil fuel, nuclear, solar, wind, geothermal, and biomass power plants) or electrical energy stored by energy storage systems and transmit. For the purposes of community development the key analysis aspects should be focused on existence of the access to the power supply, adequacy of its capacity, continuity of operation, depreciation of infrastructure.

Question for consideration	Aspects of analysis
<b>Availability</b>	Identify availability of permanent power supply to the community: <ul style="list-style-type: none"> <li>• Public buildings,</li> <li>• Businesses,</li> <li>• Households;</li> <li>• Identify legality of the main power installations with the power authority</li> </ul>
<b>Capacity and reliability</b>	Compile data on adequacy of power capacity to be delivered for needs of: <ul style="list-style-type: none"> <li>• Public buildings,</li> <li>• Businesses,</li> <li>• Households;</li> <li>• Compile data on power outages (1 black out a month or more)</li> </ul>
<b>Quality</b>	Identify physical condition of infrastructure: <ul style="list-style-type: none"> <li>• Quality and depreciation,</li> <li>• Compliance to existing construction standards</li> </ul>
<b>Forecast</b>	Assess future development plans (public services and private business, households) for future demand for electricity supply
<b>Actions</b>	Propose development actions to the identified issues

### 3.4.4. Drinking water and sanitation infrastructure

Access to drinking water and sanitation could be considered as basic pre-conditions for life. It is not only the quality of living standard, but also closely related with health of population. Poor hygiene, inadequate quantities and quality of drinking water, and lack of sanitation facilities cause people to various diseases and even die from preventable diseases.

Access to drinking water and sanitation are crucial for proper operation of the health infrastructure – hospitals and polyclinics, important for education infrastructure, as well as often interrelated to choice of the location of businesses.



The analysis focuses both on existence of the centralized and decentralized infrastructure.

Question for consideration	Aspects of analysis
<b>Availability of water supply</b>	Identify availability of permanent drinking water supply to the community; Identify means of supply – centralized / decentralized; Identify legality of the main drinking water supply installations with the utility authority
<b>Coverage of water supply</b>	Identify share (%) of coverage of inhabitants with access to drinking water; Benchmark against average in the region, rural areas, in the country
<b>Reliability of water supply</b>	Compile data on water supply outages (1 black out a week or more) Identify drinking water source and estimate its sustainability
<b>Quality of water</b>	Identify compliance of quality of drinking water with the standards: <ul style="list-style-type: none"> <li>• Chemical indicators,</li> <li>• Biological indicators</li> </ul>
<b>Loss of water</b>	Obtain data on loss of water in the water supply system of the community from the utility authority
<b>Use of water</b>	Obtain data on use of water (m <sup>3</sup> per person per year) in the community from the utility authority; Benchmark against average in the region, rural areas, in the country
<b>Availability of sanitation</b>	Identify availability of sanitation infrastructure in the community; Identify solution – centralized / decentralized; Identify legality of the sanitation installations with the utility authority
<b>Coverage of sanitation</b>	Identify share (%) of coverage of inhabitants with sanitation installations Benchmark against average in the region, rural areas, in the country
<b>Actions</b>	Propose remedial actions to the identified issues

### 3.4.5 Irrigation infrastructure

By irrigation infrastructure is understood water service infrastructure for the purposes of delivering water for the primary purpose of it being used for land irrigation. In an arid and landlocked country like Uzbekistan, irrigation is a highly serious matter of economic development yet oftentimes irrigation infrastructure is informal: not registered and not maintained by utility authorities. It makes it difficult and therefore even more important to put right.

Question for consideration	Aspects of analysis
<b>Availability</b>	Identify availability of permanent irrigation infrastructure in the community; Identify legality of the permanent irrigation infrastructure with the utility authority
<b>Coverage</b>	Identify share of productive land with access to irrigation infrastructure; Benchmark against average in the region, rural areas, in the country
<b>Reliability</b>	Compile data on water supply outages in the irrigation systems (1 black out a moth or more) Identify irrigation water source and estimate its sustainability
<b>Usage</b>	Obtain data on use of water (m <sup>3</sup> per km <sup>2</sup> per year) in the community from the utility authority; Benchmark against average in the region, rural areas, in the country
<b>Actions</b>	Propose remedial actions to the identified issues

### 3.4.6. Main transport infrastructure (roads) and services

Access to transport infrastructure and transportation services can be crucially important for economic development and quality of life in communities: receiving production materials and shipping out the produce, visiting high-level public services, and just connecting to the world cannot be overestimated.

Question for consideration	Aspects of analysis
<b>Roads</b>	Identify main road arteries near-by and assess access to these roads from the community; Identify solutions for traffic safety for inhabitants of community (e.g. road crossings for pedestrians in critical locations, bus stops and access to those, etc.); Estimate positive and negative impacts on economic development and socio-economic improvements in the community from access or lack of access to the main roads
<b>Railroads</b>	Identify railroads near-by and assess access to these railroads from the community (railroad stops, access to the stops, bus transportation to stops, etc.); Estimate positive and negative impacts on economic development and socio-economic improvements in the community from access or lack of access to the railroads
<b>Public transportation</b>	Identify public transportation infrastructure and services linking the community to development centres (neighbouring towns and cities); Estimate positive and negative impacts on economic development and socio-economic improvements in the community from access or lack of access to the public transportation
<b>Actions</b>	Propose development actions to the identified issues

### 3.4.7 Local roads, streets, and bridges

Local transport infrastructure includes local level roads and bridges on those roads, and streets in settlements.

Quality of local transport infrastructure might also be very important for individuals, especially less mobile members of the society: retirees and children. This part of the infrastructure is also often in the direct responsibility of the community, and therefore can be an important priority for CDP.

Question for consideration	Aspects of analysis
<b>Roads</b>	Identify local roads in the territory of community and in near proximity; Assess their quality and identify maintenance / reconstruction needs
<b>Streets</b>	Identify and describe streets of the community, their overall length and quality; Identify and describe the traffic safety aspects on the streets, e.g. side-walks, crossing-lights, visibility solutions, road-bumps, etc.; Identify maintenance / reconstruction needs of main streets (central streets and streets with higher traffic intensity), Lighting the main streets
<b>Bridges</b>	Identify bridges in the community; Assess their quality and identify maintenance / reconstruction needs
<b>Bus and railroad stops</b>	Identify local transportation infrastructure (bus and railroad stops) in the community; Assess their quality and identify maintenance / reconstruction needs or gaps in infrastructure
<b>Actions</b>	Propose remedial actions to the identified issues

### 3.4.8. Telecommunication and internet infrastructure

Telecommunications infrastructure relates to facilities and networks employed to transmit and receive information by electronic means.

Access to modern means of communication is especially important when a community has an ambition to climb up the value chain, so telecommunication services become more important nowadays and need to be assessed in the CDP and appraised as one of investment priorities.

Question for consideration	Aspects of analysis
<b>Availability</b>	Identify telecommunication services available to the citizens and businesses of the community
<b>Coverage</b>	From the service providers (or from a sample-based survey) estimate rate of coverage of telecommunication and internet services; Benchmark it against other communities in the region, rural areas, the country
<b>Reliability</b>	From the service providers (or from a sample-based survey) estimate rate of blackouts (1 hour a week or above)
<b>Quality</b>	From the service providers (or from a sample-based survey) assess the quality / speed of the available connections (target the minimal broadband speeds minimum of 25 Mbps download and 3 Mbps upload)
<b>Actions</b>	Propose development actions to the identified issues

### 3.5. Environmental analysis

Analysis of environment problems relate to issues directly faced by the citizens of the community and some issues less visible but still important for sustainable development in the long-term.

#### 3.5.1 Climate change

While climate change is a relatively slow global process, its impacts can be identified locally, which leads to awareness and motivation to take local actions in the area. Such actions might be reflected in the CDP.

Question for consideration	Aspects of analysis
<b>Contributors</b>	Identify most significant contributors to the climate change in the community: <ul style="list-style-type: none"> <li>• Coal power station / heating station,</li> <li>• Large factory with outdated technology,</li> <li>• Mining company in fossil fuel sector;</li> <li>• Estimate remedial actions for the identified risk sources</li> </ul>
<b>Impacts</b>	Identify significant sufferers of negative climate impact: <ul style="list-style-type: none"> <li>• Water-intensive agriculture,</li> <li>• Citizens with respiratory illnesses;</li> <li>• Estimate remedial actions to the identified target groups</li> </ul>

#### 3.5.2 Pollution

Environmental pollution is another less often considered factor, but is extremely potent area of public investments. Even small-scale interventions can significantly improve quality of life of citizens. Some examples of pollution relate to absence of cattle burial grounds and sites for the removal of household and construction waste.

The three major types of pollution are air pollution, water pollution, and land pollution.

Question for consideration	Aspects of analysis
<b>Contributors</b>	Identify most significant contributors to environmental pollution in the community: <ul style="list-style-type: none"> <li>• Large factory with outdated technology,</li> <li>• Mining company,</li> <li>• Waste polygon,</li> <li>• Historically polluted sites;</li> <li>• Estimate remedial actions for the identified risk sources</li> </ul>
<b>Impacts</b>	Identify significant sufferers of negative climate impact; Estimate remedial actions to the identified target groups

### 3.5.3 Nature protection

Natural world around the communities can often be taken for granted, but even most resilient biomes must be protected in order to ensure their sustainability. Citizen-driven small-scale interventions linked to economic activity (farming and tourism) proved successful in other countries in the region.

Question for consideration	Aspects of analysis
<b>Contributors</b>	Identify most significant risks to nature protection: <ul style="list-style-type: none"> <li>• Large farms,</li> <li>• Large factories,</li> <li>• Resource-intensive business;</li> </ul> Estimate remedial actions for the identified risk sources
<b>Impacts</b>	Identify significant sufferers of negative climate impact: <ul style="list-style-type: none"> <li>• Animals threatened by the economic and social activity,</li> <li>• Threatened types of biomes (flora and fauna, locations);</li> </ul> Estimate remedial actions to the identified target groups

## 4. SWOT

SWOT analysis (strengths, weaknesses, opportunities and threats) provides a simple information management and analysis tool, which is applied to the proposed community territory. It analyses those factors the area faces which the CDP can directly influence; the strengths and weaknesses and the external factors; the opportunities and threats, which have direct CDP influence. It can be applied to the general territorial analysis informing the CDP and can also look in more detail at how a specific issue may be addressed.

The key element of the SWOT is the analysis. This is a prerequisite for effective needs assessment and the setting of relevant objectives addressing the needs and opportunities of the area. To be effective a SWOT must therefore show an analysis of the implications of the identified factors for the area and its population. The analysis should provide a basis for prioritising the most important issues and actions and for allocating resources. This clearly indicates the need for strong and well-evidenced community participation in the process.

A good quality SWOT should connect the evidence base, the community engagement and the proposed programme. It therefore involves both quantitative and qualitative elements and ideally should involve relevant baseline or contextual indicators by which performance may be measured later. The SWOT illustrates potential linkages and connections between issues and

can identify opportunities to innovate in addressing these. It underpins the intervention logic of the CDP linking the needs and opportunities to the development of the CDP objectives. It provides the background against which the justification, relevance and adequacy of the CDP can be assessed.

Strengths	Weaknesses
Identify 3-5 key internal positive factors for development of the community	Identify 3-5 key internal negative factors for development of the community
Opportunities	Threats
Identify 1-3 key external positive factors for development of the community	Identify 1-3 key external negative factors for development of the community

## 5. General list of problems identified

This CDP chapter should encompass the all identified development problems. It is suggested to group the issues according to its intervention area. Altogether 4 areas could be recognized.

Area	Characteristics for the area
<b>Infrastructure development</b>	Problems that relate to public infrastructure development, e.g. transport infrastructure, education infrastructure, health infrastructure, etc.
<b>Provision of services</b>	Problems that relate to provision of services, e.g. internet, electricity, water supply, tourism, culture.
<b>Business environment</b>	Problems that relate to business activity, competitiveness, innovations, diversification of economy, social entrepreneurship, creation of workplaces, etc.
<b>Skills and competencies</b>	Problems that relate to insufficient level of skills and competencies of residents of the community to receive public services, facilitate integration into labour market, increase income level, provides opportunities for leisure time activities etc.

In optimal situation CDP should identify balanced list of problems across the areas – i.e. community has identified the problems related to all areas, not emphasizing only one area.

It is suggested to provide brief solution for each problem identified, possible financial source, as well as time horizon for addressing the problem. If relevant, the votes of community workshop the problem received could be added.

## 6. Priority problems

List of priority problems include the ranking of the problems based on its importance for the community. The key characteristics for each problem identified above should be provided, as well as the key operational arrangements to be identified in the Operational part of CDP.

## 7. List of initiative group

List of initiative group members provides the evidence of the residents that took part in elaboration of CDP. It is suggested to identify the head and deputy head, as well as all initiative group members, their occupation and contact details.

## SUB-STEP 2: ELABORATION OF OPERATIONAL PART OF CDP

Operational part encompasses the sub-projects that derive from the development problems identified in Strategic part.

For each of the sub-projects a number of steps must be followed to ensure it is well-prepared and other important aspects are analysed in sufficient detail.

Also, the sub-project must make a coherent set of investment priorities working harmoniously together as opposed to being a series of disparate unconnected investments that will not be able to meaningfully improve life of citizens of the community.

## 1. Justification of the sub-project

Naturally, every investment idea must be justified based on existing situation in the field and expected future development, demand, or risk. Use links to the Strategic part in justification of the sub-project: the more linked the sub-project is the greater its priority should be.

Question for consideration	Aspects of analysis
<b>Employment</b>	Assess whether the proposed sub-project has a positive link to employment promotion
<b>Business</b>	Assess whether the proposed sub-project has a positive link to business development
<b>Education</b>	Assess whether the proposed sub-project has a positive link to education
<b>Health</b>	Assess whether the proposed sub-project has a positive link to health and healthcare
<b>Power supply</b>	Assess whether the proposed sub-project has a positive link to power supply
<b>Drinking water and sanitation</b>	Assess whether the proposed sub-project has a positive link to drinking water and wastewater management
<b>Irrigation</b>	Assess whether the proposed sub-project has a positive link to irrigation
<b>Large-scale transportation</b>	Assess whether the proposed sub-project has a positive link to use of regional and national transportation
<b>Local transportation</b>	Assess whether the proposed sub-project has a positive link to local transportation
<b>Telecommunication</b>	Assess whether the proposed sub-project has a positive link to telecommunications
<b>Climate</b>	Assess whether the proposed sub-project has a positive link to climate
<b>Pollution</b>	Assess whether the proposed sub-project has a positive link to pollution
<b>Nature protection</b>	Assess whether the proposed sub-project has a positive link to nature protection

Provide 3 photos to characterize the current state of play.

## 2. Sub-project passport

In order to provide a concentrated and sufficiently detailed overview of the sub-project, a passport is proposed. It is an internationally used approach that can be presented to any potential investor, lender, donor, or international partner.

Question for consideration	Aspects of analysis
<b>Objective</b>	State the objective of the sub-project covering its results, target groups and justification
<b>Results</b>	Describe results of the sub-project in a SMART manner
<b>Timeframe</b>	Describe the timeframe of the implementation of the sub-project; NB: for best results use the implementation steps and identify their deadlines
<b>Duration</b>	Provide the net length of implementation of all activities of sub-project
<b>Investment budget</b>	Identify expected investment budget based on the solution preferred; NB: for best results use the implementation steps and identify their costs
<b>Implementation steps</b>	Describe in detail implementation steps of the sub-project, indicate responsible parties

## 3. Links to overall territorial development

Public investments do not take place in theoretical strategic papers, they are firmly placed in the real world. Identify spatial characteristics of the investment opportunity and put it into the context of the territory of the community.

Question for consideration	Aspects of analysis
<b>Location</b>	Identify the primary location of the sub-project's investments; Describe main elements of the territory that can influence success of the sub-project
<b>Alternative locations</b>	Identify alternative locations, where negative influences are minimised; Introduce changes to the sub-project if necessary
<b>Impact on adjacent territory</b>	Describe main elements of adjacent territory that can be positively or negatively influenced by the sub-project; Introduce mitigation measures to the sub-project if necessary

#### 4. Target groups

The public investments are expected to improve lives of citizens of the community. Sub-projects with greater improvement effects must be prioritised.

Question for consideration	Aspects of analysis
<b>Primary target group</b>	Identify the primary target group of the sub-project (name the group, estimate the volume); Describe influence of the sub-project on the target group
<b>Secondary target group</b>	Identify the secondary target groups of the sub-project project (name the groups, estimate the volume); Describe influence of the sub-project on the target groups
<b>Widening opportunities</b>	Assess alternatives that can enlarge the target groups benefiting from the sub-project; Introduce changes to the sub-project if necessary

#### 5. Sustainability of results

It is necessary to ensure the sustainability of results of the sub-project. This relates to variety of aspects of sustainability – sub-project results' sustainability associated with infrastructure ownership and financing future maintenance costs, well-being of the local community and opportunities CDP could propose to citizens of the community, environmental sustainability.

Question for consideration	Aspects of analysis
<b>Benefits for residents</b>	Identify the main benefits for residents of the community that will contribute towards their well-being
<b>Environmental sustainability</b>	Describe how the results of the sub-project would impact the environment
<b>Ownership of infrastructure</b>	Identify owner of the infrastructure; NB: if the infrastructure is reconstructed, it may be the existing owner or a new one
<b>Annual running costs</b>	Estimate annual running costs of the resulting infrastructure
<b>Responsible for sustaining of results</b>	Identify parties in charge for control of sustainability of results

#### 6. Impacts of investments

Investment priorities and sub-projects must not only be able to achieve their direct results (building or reconstructing an infrastructure object), but they also produce a series of impacts. Impacts arise over longer-term or as secondary results (e.g. reconstruction of a road might increase intensity of traffic and raise air pollution levels).

The impacts are usually divided into three groups: social, economic and environmental.

## 6.1. Social impact

Estimate potential impacts of the sub-project on the social development of the community and its citizens by analysing secondary effects that investment might have.

Question for consideration	Aspects of analysis
<b>Education</b>	Does the project contribute to improved quality of education of children and youth in the community? Does it harm it?
<b>Health</b>	Does the project contribute to improved health and quality of healthcare of citizens of the community? Does it harm them?
<b>Employment</b>	Does the project contribute to improving employment and income outlooks of citizens of the community? Does it harm them?
<b>Geographic mobility</b>	Does the project contribute to higher geographic mobility (labour and education) of citizens of the community? Does it harm it?

Sum up its positive and negative impacts and estimate overall assessment of the sub-project. NB: Each positive impact is assessed at +1, while each negative impact is ranked at -1.

## 6.2. Economic impact

Estimation of economic impact of investments traditionally is easiest to assess because in most cases number values can be estimated for most types of economic impact. Therefore, economic impact analysis becomes a relatively simple comparison of the economic benefits and costs.

Question for consideration	Aspects of analysis
<b>Incomes of the citizens</b>	Assess potential impact of the sub-project on revenues of citizens of the community; NB: If specific values are too complex to estimate, provide direction of impact (positive or negative)
<b>Savings to citizens / Cost of living</b>	Assess potential savings citizens of the community will gain from the sub-project; Assess any potential impact on cost of living to the community citizens; NB: If specific values are too complex to estimate, provide direction of impact (positive or negative)
<b>Public costs</b>	Estimate public costs resulting from implementation of the sub-project; NB: Usual source of the public costs are annual running costs of the investment, and maintenance costs (often arising every 3 years)
<b>Public revenues</b>	Estimate any impact on revenues of public authorities arising from implementation of the sub-project
<b>Savings in public expenditure</b>	Estimate any savings to public costs resulting from implementation of the sub-project

Sum up its positive and negative impacts and estimate overall assessment of the sub-project. NB: Each positive impact is assessed at +1, while each negative impact is ranked at -1.

## 6.3. Environmental impact

Environmental impacts are changes in the natural or built environment, resulting directly from an activity, which can have adverse effects on the air, land, water, and wildlife or the inhabitants of the ecosystem. Pollution, contamination, or destruction that occurs as a consequence of an



action, which can have short-term or long-term ramifications, is considered an environmental impact. Most adverse environmental impacts also have a direct link to public health and quality of life issues. Several successful reductions in pollution levels have been attributed to stricter regulations, including levels of carbon monoxide and more recent reduction in fine particulate matter.

Question for consideration	Aspects of analysis
<b>Climate change</b>	Assess potential impact of the sub-project on climate change
<b>Pollution</b>	Assess potential impact of the sub-project on generation or prevention of pollution
<b>Nature protection</b>	Assess potential impact of the sub-project on natural areas and protection of nature

Sum up its positive and negative impacts and estimate overall assessment of the sub-project. NB: Each positive impact is assessed at +1, while each negative impact is ranked at -1.

Summarize impact assessments from all three types of impacts and produce a resulting impact score for each of the sub-projects.

## 7. Budget framework of CDP

For the CDP management purposes it is advised to develop a single budget framework encompassing costs of all sub-projects, their split by years, cost categories, proposed financial source. That would facilitate financial management and supervision – planning of expenditures, monitoring of spending, redistribution of the financing.

No	Sub-project title	Total budget	Year n budget	Year n+1 budget	Year n+2 budget	Source of funding
1	Title of sub-project A					
2	Title of sub-project B					
	..					

## STEP 9: CDP PRESENTATION TO COMMUNITY AND DISTRICT

<b>Objective</b>	Introduce community and district working group with draft CDP and collect the feedback
<b>Expected timeline</b>	2 weeks
<b>Inputs needed</b>	Draft CDP
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Desk work</li> <li>• Discussions with the community</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Meetings carried out</li> <li>• Feedback gathered</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Facilitators</li> <li>• Community</li> <li>• Specialists from district and region</li> </ul>

### Objective and principles

Once the draft CDP is developed, it requires to be consulted with the key involved parties – initiative group and local community members altogether. The purpose for asking the feedback would be finding out community opinions about the document and improve it, if needed. Asking for feedback makes the target group involved and feel their opinions truly valued.

Another stakeholder that needs to be consulted is district level working group. The consultation would test the overall feasibility of sub-projects, elimination of double financing and prevention of sub-project implementation related issues.

Common principles for ensuring meaningful consultations relate to accessibility of the process, transparency and disclosure, fair interpretation and publication of the document.

## SUB-STEP 1: PREPARATION FOR THE MEETINGS

<b>Expected timeline</b>	Up to 1 week
<b>Outputs</b>	Meetings scheduled Preparation work carried out, incl. awareness and visibility, presentation

### 1. Scheduling and organising the meetings

Even the consultations on the draft CDP could be organized in various formats (remotely, in writing), it is suggested to organize in-person discussion with the target groups concerned.

Meeting with initiative group would serve as a preparatory event for the discussion with the community. Before or after meeting with district working group could be organized.

Find appropriate time for the meetings by contacting stakeholders involved – i.e. initiative group leadership, mahalla leadership and working group members.

Organise (premises, equipment, hand-out materials, background roll-ups, photographer, press, coffee-break) and host the meetings:

- 1.5-2 hours meeting with representatives of the district,
- 2-hours meeting with community initiative group,
- 2-hours meeting with representatives of the community.

### 2. Provide visibility for draft CDP and consultations

Before announcing the discussions, the good practice suggests timely (at least 1-2 weeks ahead) publication of the draft document, leaving enough time for review and consideration. This especially refers to the meeting with the participants of the community.

It is recommended to disseminate the information on draft CDP and consultations on document widely in community – using posters, publishing the link to the document on-line, encouraging and providing the opportunity for the inhabitants to ask the questions in advance (including anonymous option).

### 3. Developing a presentation

Elaborate a power-point presentations on draft CDP, tailoring them to the each target audience.

The following content can be used as guidance:

- Objective and principles of CDP elaboration,
- Elaboration process: main steps and timeframe,
- CDP objectives, targets, intervention areas,
- Main sub-projects,
- Implementation of CDP,
- Involvement of community and initiative group in CDP implementation.

## SUB-STEP 2: HOLDING THE MEETINGS

<b>Expected timeline</b>	1 week
<b>Outputs</b>	Meetings carried out Feedback gathered

### 1. Carrying out the meetings

Demonstrate the presentation and proceed through the presentation slowly to ensure everyone involved can follow and understand. Be mindful of different levels of previous exposure and experience in planning economic and infrastructure development among participants.

Also facilitators need to be mindful of different focal points of attention of the community and representatives of the district: while citizens of the community will mostly be interested in improvements in quality of their life, specialists from the district will mostly probably focus on technical feasibility of sub-projects. This needs to be anticipated and accommodated in the presentation and main messages.

Be prepared to answer most frequently asked questions from the participants. It is advised to be flexible and answer some questions during the presentation, while leaving longer discussions in the end for a separate Q&A session.

The immediate target of the meetings is to arrive to clarity about the desired final text of the CDP. The meetings cannot become drafting sessions due to time-limits and actual level of involvement of the partners, but facilitator must be aware of any changes or improvements to the CDP arising from questions, comments and opinions provided in the meetings with the initiative group and working group.

### 2. Post-meeting activities

Share the resulting text of the CDP based on agreements during the meetings using the contact-information collected. When you have not contact information (some community representatives might participate without an invitation), use the same publication channels used to publicise the draft CDP in the sub-step 1.

Remind participants of the meeting that they are always welcome to contact you and your colleagues for any clarifications or information.

## STEP 10: MONITORING AND EVALUATION OF IMPLEMENTATION

<b>Objective</b>	Carry out monitoring and evaluation of implementation of the CDP and its sub-projects in order to track the implementation progress, manage risks, obtain insights into effectiveness and efficiency of implementation, as well as feed the data into the next CDP cycle
<b>Expected timeline</b>	Throughout the CDP elaboration and implementation: 4 years
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• Administrative capacity</li> <li>• Monitoring arrangements</li> <li>• Evaluation arrangements</li> <li>• Clear legal obligations for all stakeholders</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Setting the SMART targets</li> <li>• Data collection</li> <li>• Regular reporting</li> <li>• Data analytics tools</li> <li>• Evaluation methodology</li> </ul>

<b>Tools</b>	Monitoring IT tool
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Monitoring framework</li> <li>• Monitoring data and reports</li> <li>• Evaluation reports</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• PIU</li> <li>• Project team</li> <li>• Facilitators</li> <li>• Regional and district authorities</li> <li>• Initiative group</li> <li>• Community</li> <li>• Mahalla leadership</li> </ul>

## Monitoring

Monitoring observes CDP implementation progress through generating quantitative and qualitative information. Monitoring should help to detect and quantify any deviation from initial plans and targets.

CDP implementation monitoring needs to be carried out at 2 levels – programme level and sub-projects level. Programme level monitoring refers to achievement of CDP objectives and targets, while sub-projects monitoring refers to the financial and physical implementation progress of sub-projects.

Indicators are the main instrument of monitoring. Indicators capture financial data, outputs and results. Although their limitations are acknowledged, they are an essential element in monitoring programme performance. Indicators should be clearly defined, closely linked to the activity, the measurement unit selected shall be indicated and periodically data need to be collected.

## Evaluation

Evaluation is a process where the monitoring data collected are analysed and the judgement on the effectiveness, efficiency, and impact achieved due to the implementation of a CDP or a certain set of its measures (e.g. sub-projects). In other words, evaluation of CDP in mid-term perspective could conclude on success of CDP implementation and achievement of objectives and targets set.

The evaluation could focus on aspects as follows:

- **Effectiveness:** the extent to which stated objectives and targets of the CDP are met – whether the CDP has achieved what it intended to achieve. The effectiveness is determined without reference to costs and means “doing the right thing”.
- **Efficiency:** a cost-related measure focusing on the optimal allocation of the resources (finance, etc.). The efficiency focuses on aspects for “doing the thing right”.
- **Impact:** the broader consequences from the implementation of the CDP, such as, economic impact, increase of well-being, satisfaction of inhabitants, etc. The impact is “the next step” after immediate implementation of sub-projects – items that became possible thanks to the implementation of the CDP and its sub-projects.

Various objectives of evaluation may require very different periods of monitoring to capture underlying data. Effectiveness formulated through output indicators may be evaluated from a comparatively short time perspective, some conclusions might be drawn from as short monitoring period as 6 months, unless seasonality needs to be accounted for. Efficiency especially if a number of different solutions is being tested might require a longer period

to allow for novelty of solutions – evaluation perspective is rarely below a year. Impact evaluations traditionally take a longer exposure to allow for secondary effects to be captured by monitoring data.

## SUB-STEP 1: MONITORING OF IMPLEMENTATION

<b>Expected timeline</b>	Throughout the CDP elaboration and implementation
<b>Outputs</b>	<ul style="list-style-type: none"> <li>Monitoring framework developed</li> <li>Monitoring data collected and regular monitoring reports produced</li> </ul>

### 1. Define the monitoring mechanism

There should be established monitoring mechanism to steer the implementation of CDP and its sub-projects. The key principles for the development of the monitoring framework for CDP implementation are as follows:

- SMART targets must be established during the CDP elaboration to enable the monitoring and evaluation of the CDP implementation by providing clarity on indicators and their baseline and desired values.
- Methodological clarity on calculation and recording of achieved values of the CDP level targets that leads to reliability of the values achieved.
- Availability of mechanisms for sub-project implementation progress monitoring that allow to monitor the financial and physical implementation progress and address the risks on a timely manner.
- Use of IT systems both for monitoring achievement of CDP targets, as well as monitoring of project implementation progress, incl. development of the platform, where the information will be updated on weekly basis for all stakeholders, following the monitoring.

The monitoring mechanism should encompass:

- Monitoring of milestones for reaching target values of indicators based on agreed regularity and data sources;
- Assessment of progress – e.g. on track, ahead, delayed, as well as suggested actions in case of deviations.

Indicators passports are commonly used tool to ensure clear methodological approach for calculating values of CDP-level targets reach. The approach allows to define explicit provisions for calculation of the achieved values, as well as strengthens accountability for achievement and justification of the target values reached.

Defining of the following elements for each target could be recommended:

<b>Title of the target / indicator</b>	Reflects the title of CDP level target as defined in CDP
<b>Rationale</b>	Describes the essence of rationale of the target set
<b>Target value to be reached</b>	Reflects the target value set in CDP
<b>Target value measuring period</b>	Defines the regularity the monitoring of achievement progress need to be carried out
<b>Due date for completion of the set target value</b>	Reflects ultimate period when the target value need to be reached as per CDP
<b>Base value</b>	Reflects base value of target set in CDP
<b>Base value measuring date / period</b>	Reflects measuring date of the base value of target set in CDP

<b>Methodology for calculation of the target value</b>	Describes methodology for calculation of the target value, incl. input data, data sources, calculation formula
<b>Type of target / indicator</b>	Identifies type of the target, i.e. whether it is project generated, statistical data, etc.
<b>Key responsible for entry of data</b>	Identifies the body and personnel responsible for monitoring data entry

In order to emphasize importance of the sub-projects implementation progress monitoring and timely identification of any deviations, especially for the larger scale construction projects, it would be recommended to develop a standard template for collecting regular project progress data, encompassing the basic physical and financial progress data.

It is recommended to set the targets in financial progress monitoring for the whole sub-project implementation process and monitor achievement of the progress on the regular bases (e.g. monthly basis, quarterly basis) for key elements characterizing the financial progress:

<b>Amount of financing for the signed contracts with suppliers / contractors</b>	Reflects the financial amount at sub-projects level that is contracted
<b>Amount of financing paid to suppliers / contractors</b>	Reflects the financial amount at sub-projects level that is paid to contractors and provisionally could be interpreted as a proxy for overall financial implementation progress

Similarly it would be recommended to develop a single template for the monitoring of the physical progress for the monitoring of more complex construction projects, regularly supervising the construction progress and comparing with the planned schedule of progress.

Crucial element for the monitoring mechanism is assigning of key monitoring body responsible for supervision of CDP. PIU with its regional offices strikes as the most capable and adequate authority to undertake monitoring of the CDP implementation and amalgamating the data coming from various sources to analyse it regularly and feed into evaluation. Other stakeholders also need to be involved into the process:

- The Project Team and its facilitators,
- Regional and district authorities,
- Community, including mahalla authorities and the initiative group.

## 2. Collection of data and reporting

Collection of the monitoring data on CDP level targets and sub-projects implementation should correspond to the monitoring mechanism developed – i.e., data fields and templates, collection regularity, sources used, involved parties derive from the provisions set in monitoring framework.

Monitoring data shall be recorded and stored in a way that allows the bodies involved to perform the tasks related to monitoring and evaluation. Usually IT based tools are suggested as the best option. Robust automatic data collection and analysis tool does not only improve working efficiency of bodies directly involved, it can also be a very useful source of information for other authorities, e.g. line ministries, regional level institutions, in their policy analysis. It provides:

- Access to up-to date information on implementation at CDP level and sub-project level that allows to judge progress of delivery and manage the risks;
- On-line database all monitoring and reporting information and data are available to all relevant stakeholders, without the need to slow and expensive work on the paper archive.

Reporting on CDP and sub-projects implementation should be directed towards achieving goals defined in each CDP but also to achieving goals stipulated in national and regional

planning documents. These goals must be identified in the process of elaboration of CDPs and included into the monitoring system.

### 3. Monitoring data analysis

The purpose of analysis of monitoring data, from one side, would be assessment of the implementation progress, while, from the other side, it relates to the risks management in CDP and sub-projects implementation, allowing to adopt corrective measures that lead to timely implementation of programme and sub-projects and achievement of targets set.

The simplest analysis measurements for implementation progress assessment are conclusions on track, ahead and delayed that could be used universally both for CDP and sub-project level monitoring. It is important to suggested corrective actions in case of deviations in implementation.

Part of monitoring is also course-correcting based on monitoring data. PIU must be prepared to take corrective measures based on the monitoring information coming in, e.g.:

- Cancelling construction contracts if contractor does not perform to schedule or quality,
- Reallocating funding between sub-projects in cases of economies / cost overruns,
- Proposing to the communities to re-prioritise sub-projects if some of those cannot be implemented due to geographical, strategic, technical or financial reasons

## SUB-STEP 2: EVALUATION OF IMPLEMENTATION

<b>Expected timeline</b>	1-3 month (depending on complexity of evaluation topic and scope)
<b>Outputs</b>	Evaluation reports

### 1. Formulate the objective and scope of evaluation

Chose the type of evaluation: effectiveness, efficiency or impact. Trying to analyse all aspects in one effort might make the work more difficult and due to lack of focus and data limitations - unachievable.

Timeframe of evaluation work is important: effectiveness might be observable in the next quarter after investments were fully implemented; efficiency probably will need a longer lead time depending on the type of investments; impact will definitely require at least a year to pass since the investments were put in operation.

The more specific the objective of the sub-project, the easier it is to formulate the objectives and tasks of the evaluation. Evaluation must be targeted for the evaluation questions to be answered with any reasonable certainty.

### 2. Gather the data

Data is the lifeblood of evaluation, therefore quality of monitoring prior and after implementation of the CDP will define ability of evaluation to produce reliable conclusions.

Data must be available on all key aspects of investment needs or service provision. In essence, new iteration of situation analysis needs to be carried out. Some ad hoc data can be generated via interviews and surveys.

### 3. Develop conclusions

Objectives of evaluation to a large degree define the methodology to be applied. Availability of data or problems with it might demand significant corrections.

In any case, conclusions of evaluation must be directly underpinned by the data gathered and must be reliable for verification. In working on conclusions evaluator must strive to answer

evaluation questions as directly as possible and without introducing their own biases in drawing conclusion.

Conclusions and recommendations of evaluation must be as practical as possible – targeted to real-life solutions and improvements in the CDP process, both elaboration and implementation.

Naturally, evaluation is only useful if the relevant authorities are prepared to take lessons from evaluation conclusions and make appropriate revisions in implementation of the programmes. In this case it means course-correcting implementation of current CDPs or making changes to methodological approach and its delivery in elaborating new CDPs.

## STEP 11: REGULAR CDP REVIEW

<b>Objective</b>	Review CDP in respect to determine if it fits for purpose and all other content is relevant
<b>Expected timeline</b>	<ul style="list-style-type: none"> <li>• On a decided regular basis</li> <li>• Proposal: once in 1 year period</li> </ul>
<b>Inputs needed</b>	<ul style="list-style-type: none"> <li>• New prioritization of investments</li> <li>• New statistical data</li> <li>• Data on implementation of sub-projects</li> </ul>
<b>Methods</b>	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Workshop</li> <li>• Meetings</li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• Updated CDP document</li> <li>• Updated list of top priority sub-projects</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>• Community population</li> <li>• Initiative group</li> <li>• Facilitators</li> <li>• PIU</li> </ul>

### Concept of CDP review

Review by its substance is an assessment of various elements of document to validate status and actions required to maintain the actual status for the document content. CDP review process provides possibility to examine the document on a regularly scheduled basis to determine if it fits for purpose and all of its content is still relevant and feasible.

Review is performed in close cooperation between facilitators and the local community population and the initiative group as representatives of the community.

Frequency of review process should be regular and the period should correspond to dynamics of changes in community, socio-economic situation, financial stability, etc. It is proposed that the review is bi-annual: every two years the facilitator and the initiative group reassess all elements of analysis, needs and priorities.

Taking into account the hierarchy and interrelation of CDP parts, review should start with the Strategic part of the CDP, examining objectives, priorities, analysis of territory; and following with review of the Operational part of CDP and mainly the sub-projects. The up-date of Strategic part most commonly will cause changes in Operational part – e.g. identifying new needs and introducing of new priorities would lead to new sub-projects; however, it is also possible to have



some up-dates related to sub-project level without interfering with the Strategic part of the CDP – e.g. costs of sub-projects, implementation schedule need to be adjusted.

## SUB-STEP 1: REVIEW OF THE STRATEGIC PART

<b>Expected timeline</b>	2 weeks
<b>Outputs</b>	Updated Strategic part of CDP

### 1. Review of objectives and targets

Taking into account the overall characteristics of the general objective and specific objectives, it is not a common situation that within a mid-term review objectives of CDP have to be changed. Those could be changed only if a fundamental shift in defined development strategy is being proposed.

It is more common to adjust the targets set, introducing those that better characterize the substance of interventions, especially if new priorities are added. However, it needs to be admitted that repeated adjustment of target values is not considered as best practice in managing territory development documents – normally the targets are set once, their achievement is being monitored and risk management actions taken if necessary, instead of regular adjustment of target values to the real life situation and progress.

### 2. Review of priorities

Review of priorities could be considered as a backbone for up-date of the Strategic part of the CDP. It aims at examining the validity of the priorities identified. Initiative group should be asked questions regarding the relevance of performing this exercise. In case initiative group accepts carrying out the review of priorities, the process should mirror identification of the initial priorities of CDP – in terms of methods used, representation provisions, etc.

Practical outcome of the revision is usually a new version of the CDP, which might have different key needs, priorities and therefore new sub-project identified and prioritised as top investments to be implemented, or some existing sub-projects promoted to be financed.

It needs to be explained, how the change of priorities could impact the corresponding sub-projects whose implementation is already launched: started sub-projects might downsized, sub-projects that have not yet started might be cancelled or postponed – all in order to make space in the financial envelope for new priorities and their accompanying sub-projects.

### 3. Identification of new priorities

New development priorities could be proposed by the community inhabitants within the review of the CDP. The process should mirror identification of the initial priorities of CDP – in terms of methods used, representation provisions, etc. and could be done together with review of the already existing priorities or as a single process if review of priorities is not performed.

As a result of this process, new development priorities could be identified for the Strategic part of the CDP that accordingly need to be transposed into the sub-projects in the Operational part of the CDP.

## SUB-STEP 2: REVIEW OF THE OPERATIONAL PART

<b>Expected timeline</b>	2 weeks
<b>Outputs</b>	Updated Operational part of CDP, incl. list of top priority sub-projects

### 1. Review of sub-projects

Review of sub-projects is the main subject for CDP Operational part up-date. It could relate both to on-going sub-projects and investments whose implementation has not yet been launched. However, the scope of review for both categories and especially the actions taken could vary, taking into account implementation status quo.

In case the Strategic Part of the CDP has been adjusted, the review of the Operational Part should include the questions addressing the compliance between the strategy and the sub-projects:

Question for consideration	Aspects of analysis
Does the sub-project contribute towards CDP objectives and targets?	Review the connection to objectives of the filled out in the existing sub-project passport and see if the logical connections are still valid. If not, identify new logical connections to establish scoring of the sub-project. If the scoring is significantly lower, consider cancelling the sub-project.
Does the sub-project is still considered as priority of community?	Communicate results of the abovementioned analysis to the initiative group (and if necessary to the community meeting) to launch a new reassessment of the top priorities and sub-projects to be financed. Be prepared to re-prioritise the sub-projects - and plan ahead for practical CDP implementation steps in order to accommodate re-prioritisation in the optimal way.

In case the scope of the up-date is limited to the sub-projects, the most crucial questions to be considered would relate to the technical aspects of implementation.

Question for consideration	Aspects of analysis
Is sub-project objective still valid?	Is the objective of the sub-project still connected to objectives of the CDP?
Are sub-project results still valid?	Can the sub-project still achieve the results envisioned? Are the results still relevant in contributing to the targets of the CDP?
Is there a need for adjusting the ownership arrangements?	Does the envisioned owner still exist? Did the owner undergo significant changes in its competency or financial situation? Did it demonstrate interest and involvement in implementation of the sub-project up to now?
Is there a need for adjusting the implementation steps?	Are the planned implementations steps logical and relevant to the current situation? Have these steps proved to be practical and useful in other sub-projects?
Is there a need for adjusting the implementation timeframe?	Is the sub-project being implemented in accordance to the envisioned schedule? Can the current delays be caught-on or are they permanent? Are the delays long enough to spill-over into the next budgetary year / academic year?

Question for consideration	Aspects of analysis
Is there a need for adjusting the sub-projects budget?	<p>Can the sub-project be implemented within the original budget? Are there economies or cost overruns?</p> <p>In case of economies, consider using those to finance other sub-project in the same community.</p> <p>In case of cost overruns, identify potential sources of additional funding. Sub-project's owner is usually the first port of call in these situations.</p>
Is there a need for adjusting the sub-projects annual running costs?	<p>Are estimated running costs still valid?</p> <p>What is the cost inflation in the relevant sector in the last two years?</p> <p>In case of cost increases:</p> <p>Assess if the sub-project is still valid for financing under new conditions,</p> <p>Identify source of additional funding.</p>
Is there a need for adjusting the links to overall territorial development?	<p>Can the sub-project be implemented in the specified location?</p> <p>Does the location produce undesired externalities?</p> <p>Do other developments in the territory adversely impact sub-project and its results?</p>
Is there a need for adjusting the target groups?	<p>Are the planned target groups valid?</p> <p>Did the target groups find other ways to satisfy their needs while waiting for the sub-project to be implemented?</p> <p>Can new target groups be identified?</p>
Is there a need for adjusting the impacts of investments?	<p>Are the impact analysis elements still valid:</p> <p>Economic impact,</p> <p>Social impact,</p> <p>Environmental impact.</p>

## 2. Identification of new sub-projects

If the review of the Strategic part of the CDP resulted in new needs and priorities, identification of new sub-projects and provision of their description is necessary. The process should mirror identification of the initial sub-projects under the CDP – in terms of methods used, analysis and calculations performed, etc. For every new sub-project the process must produce passport of the sub-project by filling out all necessary information and carrying out all steps of impact analysis.

Scoring resulting from assessment of the new sub-project must be compared to up-dated scoring of existing sub-projects. If the new sub-project scores above some existing projects approved for financing, a decision needs to be discussed (in the same prioritization process, led by facilitators and supported by the community, mahalla, district, region, and relevant national authorities) and taken about substituting lower-scoring sub-projects with higher-scoring ones.

# ANNEXES

## ANNEX 1: CHECK LIST FOR IMPLEMENTATION OF CDP ELABORATION

No	Steps and sub-steps	Completed
<b>Step 0</b>	Preparation	
<b>Sub-step 0.1</b>	Mobilizing facilitation and support team	
<b>Sub-step 0.2</b>	Identification of scale of available resources	
<b>Sub-step 0.3</b>	Defining time schedule and work organization	
<b>Step 1:</b>	Presentation to region and district	
<b>Sub-step 1.1</b>	Preparation for the meeting	
<b>Sub-step 1.2</b>	Holding the meetings	
<b>Step 2:</b>	Creation of district working group	
<b>Sub-step 2.1</b>	Forming of working group	
<b>Step 3:</b>	Data collection about the community	
<b>Sub-step 3.1</b>	Collection of statistical and spatial data	
<b>Sub-step 3.2</b>	Collection of policies related data	
<b>Step 4:</b>	Community mobilization workshop	
<b>Sub-step 4.1</b>	Invitation to discussion	
<b>Sub-step 4.2</b>	Identification of development problems	
<b>Sub-step 4.3</b>	Voting for priorities	
<b>Sub-step 4.4</b>	Forming initiative group	
<b>Step 5:</b>	Finding solutions with initiative group	
<b>Sub-step 5.1</b>	Preparation for the meeting	
<b>Sub-step 5.2</b>	Holding the meetings	
<b>Step 6:</b>	Visual and technical inspection	
<b>Sub-step 6.1</b>	Inspection of objects proposed as development priorities	
<b>Sub-step 6.2</b>	Identification of alternative solutions	
<b>Sub-step 6.3</b>	Cost and impact estimation for alternatives	
<b>Step 7:</b>	Technical alignment with district working group	
<b>Sub-step 7.1</b>	Preparation for the meetings	
<b>Sub-step 7.2</b>	Holding the meetings	
<b>Step 8:</b>	CDP elaboration	
<b>Sub-step 8.1</b>	Elaboration of strategic part of CDP	
<b>Sub-step 8.2</b>	Elaboration of Operational part of CDP	
<b>Step 9:</b>	CDP presentation to community and district	
<b>Sub-step 9.1</b>	Preparation for the meetings	
<b>Sub-step 9.2</b>	Holding the meetings	
<b>Step 10:</b>	Monitoring and evaluation of implementation	
<b>Sub-step 10.1</b>	Monitoring of implementation	
<b>Sub-step 10.2</b>	Evaluation of implementation	
<b>Step 11:</b>	Regular CDP Review	
<b>Sub-step 11.1</b>	Review of the Strategic part	
<b>Sub-step 11.2</b>	Review of the Operational part	

## ANNEX 2: SUGGESTED DATA FOR SOCIO-ECONOMIC ANALYSIS

No	Data field	Static data	Data in dynamics
1	Size of territory	x	
2	Inhabitants		
	- Split by age		x
	- Split by gender	x	
	- Split by employment status	x	
	- Split by education	x	
	- Split by residential street	x	
3	Registered businesses		x
4	Key sectors of economy represented		
	- Number of businesses		x
	- Number of employees		x
	- Volume of turnover, mln UZS		x
5	Number of work places in community		x
6	Number of vacancies in community		x
7	Employment rate		x
8	Unemployment rate		x
9	Incomes of population (per year), mln UZS		
	- Split by income level		x
	- Distribution split		x

## ANNEX 3: CDP TEMPLATE

### Introduction

#### Brief information about CDP

*Provide 2-3 paragraph introductory information about CDP development purposes*

#### Information about Project

*Provide 2-3 paragraph information about IsDB Project objectives and support towards CDP elaboration*

#### Methodology

*Provide 1 paragraph information about approach, methods and tools used in CDP elaboration*

#### Steps in CDP elaboration

*Provide the list of steps carried out in elaboration of CDP*

## 1. STRATEGIC PART

### 1.1. Objectives and targets

*Overall objective*

<i>Define objective</i>
-------------------------

Specific objectives and targets

1	Define objective	Define target
2	Define objective	Define target
3	Define objective	Define target
4	Define objective	Define target
5	Define objective	Define target

### 1.2. Brief information about the district

#### 1.2.1. Map of the district

--

#### 1.2.2. General information about district

--

#### 1.2.3. Information about infrastructure

--

**1.2.4. Health condition data**

--

**1.2.5. Information about target communities**

--

**1.3. Community in scope**

**1.3.1. Short information about community**

Administrative division & subordination	Provide description
Location	Provide description
Inhabitants	Provide description and analysis
Natural resources	Provide description
Type of territory	Provide description

**1.3.2. Map of the community**

*Provide map*

**1.3.3. Socio-economic analysis**

Business	
<b>Business activity</b> Provide figures, reference years	Develop conclusions, provide trends
<b>Main sectors of economy</b> Provide figures, reference years	Develop conclusions, provide trends
<b>Comparative advantages</b> Provide figures, facts	Develop conclusions, provide trends
Employment	
<b>Work places</b> Provide figures, reference years	
<b>Inefficiencies</b> Provide figures, reference years	
<b>Incomes</b> Provide figures, reference years	
<b>Social pressure</b> Provide figures, reference years	



### 1.3.4. Infrastructure analysis

RESULTS	CONCLUSIONS
<b>Education infrastructure</b>	
<b>Availability</b> Provide data, facts	<i>Develop conclusions</i>
<b>Quality</b> Provide data, facts	<i>Develop conclusions</i>
<b>Coverage</b> Provide data, facts	<i>Develop conclusions</i>
<b>Accessibility</b> Provide data, facts	<i>Develop conclusions</i>
<b>Capacity</b> Provide data, facts	<i>Develop conclusions</i>
<b>Intensity</b> Provide data, facts	<i>Develop conclusions</i>
<b>Future-proofing</b> Provide data, facts	<i>Develop conclusions</i>

RESULTS	CONCLUSIONS
<b>Health infrastructure</b>	
<b>Availability</b> Provide data, facts	<i>Develop conclusions</i>
<b>Quality</b> Provide data, facts	<i>Develop conclusions</i>
Coverage Provide data, facts	<i>Develop conclusions</i>

<p><b>Accessibility</b> Provide data, facts</p>	<p><i>Develop conclusions</i></p>
<p><b>Capacity</b> Provide data, facts</p>	<p><i>Develop conclusions</i></p>
<p><b>Intensity</b> Provide data, facts</p>	<p><i>Develop conclusions</i></p>
<p><b>Future-proofing</b> Provide data, facts</p>	<p><i>Develop conclusions</i></p>

RESULTS	CONCLUSIONS
<b>Power supply infrastructure</b>	
<p><b>Availability</b> Provide data, facts</p>	<p><i>Develop conclusions</i></p>
<p><b>Quality</b> Provide data, facts</p>	
<p><b>Capacity and reliability</b> Provide data, facts</p>	
<p><b>Forecast</b> Provide data, facts</p>	

RESULTS	CONCLUSIONS
<b>Drinking water and sanitation infrastructure</b>	
<b>Availability of water supply</b> Provide data, facts	<i>Develop conclusions</i>
<b>Coverage of water supply</b> Provide data, facts	
<b>Reliability of water supply</b> Provide data, facts	
<b>Quality of water</b> Provide data, facts	
<b>Loss of water</b> Provide data, facts	
<b>Use of water</b> Provide data, facts	
<b>Availability of sanitation</b> Provide data, facts	
<b>Coverage of sanitation</b> Provide data, facts	

RESULTS	CONCLUSIONS
<b>Infrastructure</b>	
(..) Provide data, facts	<i>Develop conclusions</i>
(..) Provide data, facts	
(..) Provide data, facts	
(..) Provide data, facts	

### 1.3.5. Environmental problems analysis

RESULTS	CONCLUSIONS
<b>Climate change</b>	
<b>Contributors</b> Provide data, facts	<i>Develop conclusions</i>
<b>Impacts</b> Provide data, facts	

RESULTS	CONCLUSIONS
<b>Pollution</b>	
<b>Contributors</b> Provide data, facts	Develop conclusions
<b>Impacts</b> Provide data, facts	

RESULTS	CONCLUSIONS
<b>Nature protection</b>	
<b>Contributors</b> Provide data, facts	<i>Develop conclusions</i>
<b>Impacts</b> Provide data, facts	

#### 1.4. SWOT

Strengths	Weaknesses
Opportunities	Threats

#### 1.5 General list of problems identified

Area	#	Problem	Solutions	Brief description	Financial source	Time horizon	Votes
Infrastructure development	1						
	2						
	3						
Provision of services	1						
Business environment	1						
Skills and competencies	1						

### 1.6 Priority problems

Problem No 1	
Priority problem	
Area	
Solutions	
Target group	
Financial source	
Investment financing	
Implementation period	
Compliance with policy objectives	

### 1.7 List of initiative group

#	Participant	Position in initiative group	Employment position	Contacts
1				
2				
3				

## 2. OPERATIONAL PART

### 2.1. Sub-projects

Sub-project title (a)

JUSTIFICATION	
Brief description	Provide justification
Photos	Insert photos

PASSPORT	
Objective	Provide information
Results	
Timeframe	
Duration	
Investment budget	
Implementation steps	

LINKS TO OVERALL TERRITORIAL DEVELOPMENT	
Location	Provide justification, delete redundant areas
Alternative locations	
Impact on adjacent territories	

LINKS TO OVERALL TERRITORIAL DEVELOPMENT	
Location	Provide justification, delete redundant areas
Alternative locations	
Impact on adjacent territories	

TARGET GROUP	
Primary target group	Provide description, delete redundant areas
Secondary target group	
Widening opportunities	

SUSTAINABILITY	
Benefits for residents	Provide justification
Environmental sustainability	
Ownership of infrastructure	
Annual running costs	
Responsible for sustaining of results	

IMPACTS OF INVESTMENTS		
Social impact	Provide description	Provide assessment
Economic impact		
Environmental impact		

**Sub-project title (b)**

(..)

**2.2. Budget framework**

No	Sub-project title	Total budget	Year n budget	Year n+1 budget	Year n+2 budget	Source of funding
1	Title of sub-project A					
2	Title of sub-project B					
	..					
	TOTAL					



# **INTERGRATED COMMUNITY DEVELOPMENT PLAN MANUAL**

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