ASSESSING CAPACITY FOR COMMUNITY-BASED DEVELOPMENT
A PILOT STUDY IN TAJIKISTAN

Mary McNeil and Kathleen Kuehnast with Anna O’Donnell

December 2004
Acknowledgments

This paper is the result of the World Bank Institute’s pilot study of a new methodological approach for assessing community capacity. The study was conducted in the Central Asian country of Tajikistan in the summer of 2003 with the support of Counterpart International’s country office in Dushanbe.

We extend our appreciation to the Government of Tajikistan for their interest in the pilot study, and their willingness to participate in stakeholder meetings on the pilot’s design and results. We would like to thank Counterpart International for the coordination of the project and their identification of an excellent group of researchers. We appreciate the diligent work of the lead trainers, Janna Ryssakova and Christina Vladu, who demonstrated their expert training skills in making a diverse group of researchers into a team. David Mikosz provided invaluable assistance in organizing multi-stakeholder workshops in Tajikistan, and in conducting interviews with a wide range of stakeholders leading up to the pilot’s implementation.

The pilot was developed with the support of the Tajikistan country team and ECCSD. We would like to thank Dennis de Tray, Director, ECCU8, Cevdet Denizer, Country Manager, Tajikistan, and Lilia Burunciuc, Country Program Coordinator, ECCU8, for allowing us to undertake the pilot, as well as Tajikistan’s NSIFT (National Social Investment Fund) for co-hosting the results of the multi-stakeholder workshop in Dushanbe in October 2003. In WBI we would like to thank Michele de Nevers for providing support and financial resources to the project, and to Guy Darlan for his inputs on the conceptual design of the CENA methodology. Nora Dudwick (ECSSD) and Michael Woolcock (DEC) kindly reviewed earlier drafts of the report and made valuable suggestions on its structure and content. Additional resources in support of the pilot were provided through the WBI-CESI-SDC partnership on community empowerment and social inclusion.

Finally—but most importantly--the authors would like to extend our thanks to the excellent team of Tajik researchers who undertook a difficult task during a long, hot summer in Tajikistan: Alisher Rahmonberdiev, Barno Kurbanova, Sanavbar Khudoidodova, Jamila Saidova, Firuz Saidov, Kiomiddin Davlatov, Kakhramon Bakozoda, Mahina Mirzoeva, and Dilorom Rakhmatova. Their skill and dedication enabled the CENA pilot to become a reality, and to begin to help us better understand life within Tajik communities.

Mary McNeil
Kathleen Kuehnast
December 2004
Table of Contents

Acknowledgments

Abbreviations and Acronyms

Executive Summary

1. The Role of Capacity Enhancement in Development
   - The Capacity Enhancement Needs Assessment

2. Methodology
   - The CENA Matrix: A Qualitative Tool with a Quantitative Edge

3. Lessons Learned

4. Results of the CENA Pilot Study

Annex 1: Tajikistan: Country, Context and Background

Annex 2: The CENA Matrix

Annex 3: Comparing Tajik Communities and their Stakeholders

Annex 4: Information about the Six Pilot Communities

Annex 5: CENA Study Guide

Annex 6: Participants, CENA Review Workshop

Annex 7: Glossary of Terms

Bibliography
### Abbreviations and Acronyms

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBO</td>
<td>Community-Based Organization</td>
</tr>
<tr>
<td>CDD</td>
<td>Community Driven Development</td>
</tr>
<tr>
<td>CLD</td>
<td>Community Linked Development</td>
</tr>
<tr>
<td>CENA</td>
<td>Community Empowerment Needs Assessment</td>
</tr>
<tr>
<td>CESI</td>
<td>Community Empowerment and Social Inclusion</td>
</tr>
<tr>
<td>NGO</td>
<td>Nongovernmental Organization</td>
</tr>
<tr>
<td>TM</td>
<td>Task Manager</td>
</tr>
<tr>
<td>WBI</td>
<td>World Bank Institute</td>
</tr>
</tbody>
</table>
Executive Summary

This paper presents the design and field testing of an instrument for the ongoing work of the World Bank Institute (WBI) in the area of capacity assessment. The approach piloted here, a Capacity Enhancement Needs Assessment (CENA), is a participatory assessment designed to evaluate existing capacity within key stakeholder groups, identify capacity gaps and weaknesses, and recommend possible remedies. To help measure the effectiveness of ensuing capacity building programs, a set of impact indicators is developed as part of the assessment.1 WBI has initiated CENAs in Nigeria, Tajikistan, Ghana and Burkina Faso in an attempt to develop viable assessment tools to better guide the Institute in meeting the training and capacity building needs of a client country, and in improving implementation of World Bank operations.

The CENA approach is action-oriented and relies on development actors to carry out their own needs assessments and propose remedial activities. In particular, the CENA focuses attention on the institutional environment in the thematic area identified, that is, the set of formal and informal rules, procedures and arrangements that contribute to the provision of incentives for productive action.2 In addition, emphasis is placed on the relational aspects between institutions and communities, between local and central government, and between and among donors and NGOs involved in a country.

Global research and analytical work on the theme of participatory development undertaken by the Bank and other development agencies supports the CENA approach, and points to the need for several ingredients to be in place for successful scaling up of community-based initiatives. These include improved capacity at the community level, but also an enabling institutional environment that is responsive to community needs. In developing countries, scaling-up focuses the agenda on more transparent and accountable governance at the national and local levels, as well as a legal and regulatory framework that recognizes community groups and protects them from arbitrary regulation, oversight and rent-seeking. Good information flows are also essential, as are continuity of efforts over time to bring about sustainable change in behavior and attitudes.

In Tajikistan, the pilot study tested the CENA methodology within the community stakeholder group, and focused on the communities’ perceptions of other stakeholders. The diagnostic developed—the CENA Matrix—was based on a number of indicators that quantified data

---

gleaned through a qualitative assessment process. To implement the CENA Matrix (see Annex 1), local researchers conducted a qualitative assessment in six communities in Tajikistan, using a variety of rapid assessment tools, including individual interviews, focus group discussions, and Venn diagrams. As a research team, they then analyzed the results of the community assessments and using a set of 73 indicators, assigned scores on a scale of “one to four” (“one” representing low capacity, “four”--representing high capacity) assessing the community in relation to each indicator. The intention of this rating system in theory enables a community to monitor capacity enhancement over time, and sets a baseline against which capacity improvements can be measured.

Because of the methodology used—and unlike many assessment projects—the CENA Matrix required that local researchers were trained in analytical thinking and decision-making skills, as well as in evaluation methods. The local research team became integral in the development of a set of indicators for the stakeholder group. Once the final indicators had been decided upon, the assessment was field tested in six different communities located in Dushanbe, Faizabad, and Kulyab districts in which a World Bank Education Modernization Project was soon to become active.

The results of the six-community pilot of the CENA Matrix (see pg. 23) offer information on a wide range of learning strategies with which to enhance local community capacity in Tajikistan. For example, the pilot suggests that there is a lack of understanding among various stakeholder groups--including communities, local government, NGOs/CBOs, and the national government--about one another, as well as a lack of dialogue between these groups. Rather than coordinating with each other, they tend to work in isolation, and therefore miss opportunities in which to share useful information or policy perspectives. Strengthening communication among these stakeholder groups is potentially important for dispelling the notion that community development can occur without regional or national support, or can be implemented only by NGOs.

The pilot study, therefore, begins to paint a picture of the local and relational context in which communities in Tajikistan operate. For example, social capital appeared quite high in many of the communities but the arena in which relationships were the weakest is with local governments. The results could assist in defining learning programs that first address capacity gaps within local and central government stakeholders, as well as the flow of information between public institutions and communities.

The CENA Matrix as a tool could also be tailored to meet more specific sectoral needs—such as in community-based education and health initiatives—by identifying and making use of sectorally specific indicators. What is useful about the CENA Matrix implemented in Tajikistan is that it was a pilot that analyzed qualitative data through a process of giving numerical weight to a range of indicators, all of which were analyzed by local researchers. Such numerical weights are often
missing in the area of capacity enhancement in general and, specifically, in the measurement of empowerment and citizen strengthening. When coupled with qualitative information, these indicators offer a snapshot of capacity gaps that can be easily identified and compared across time for each of the six communities. The CENA Matrix represents an effort to both identify appropriate indicators and to measure capacity against those indicators in a field that traditionally has suffered from a lack of appropriate tools.

Finally, while this pilot study tested the CENA matrix within communities as a means of assessing communities’ perceptions about their strengths and limitations, the authors recognize the importance of understanding capacity enhancement needs of the various other stakeholder groups—the local government, NGOs, the donor community and the national government (see Annex 1). Further conceptual work is recommended to refine this approach to needs assessment, or what anthropologists call “studying up,” that is, the problem of studying groups who have more power than the researcher(s). Engaging local teams in interviewing local and national government officials requires a different set of research skills than working among community members. While a preliminary check list to identify capacity gaps at local and central government levels is mentioned here (Annex 3), recognition is given to the need to further develop the CENA methodology to capture the capacity gaps and weaknesses among those stakeholders—stakeholders who perhaps have the most crucial role to play in ensuring community-based development efforts are successful, sustainable, and broadly based.

This report begins by summarizing WBI’s change of course away from conventional training models to its new emphasis on capacity enhancement initiatives, and offers a more comprehensive description of the CENA process. Section Two outlines the methodologies used in the pilot study. Section Three proposes lessons learned from the CENA process. Section Four presents the findings of the CENA Pilot. The CENA Matrix and other background materials are in Annexes 1-7.
1. The Role of Capacity Enhancement in Development

Consistent with the overall World Bank Group (WBG) move toward closer client orientation, the World Bank Institute (WBI) over the past years has been shifting its focus from training individuals to enhancing in-country capacity by tailoring its programs to the specific needs and priorities of client countries. Country focus implies continuity and depth in WBI’s engagement with clients and operational programs. This new country focus is aimed at increasing the efficacy and impact of WBI’s assistance and ensuring that these results are sustainable. Training and other learning products continue to be central in WBI’s package of assistance, but they are increasingly conceived as part of a menu of services that includes diagnostics and advisory work, strengthening of in-country learning organizations and service delivery institutions, and consulting on capacity enhancement issues.

Capacity enhancement activities aim to achieve two critical objectives: (i) to upgrade the knowledge and skills of development actors, and (ii) to ensure that the new knowledge and skills are effectively applied in carrying out the development agenda. In order for a project to succeed in the long run without the continual presence of the donor community, capacity must exist at the local level. Yet we know from years of development experience that “it takes capacity to build capacity,” and therein lies one of the major challenges of capacity enhancement.3 The development of a client country’s capacity depends on the country’s intentions, resources and capabilities. This includes the available capacity of its infrastructure, technological and financial means, as well as human resources. A country must also have an enabling institutional environment that allows for development to flourish. In addition, capacity enhancement depends on the motivation and incentives built into the institutional environment to encourage behavioral changes. These may include financial benefits, professional merit, recognition, or winning votes.4

It also means communities must have the capacity to acquire and use knowledge.5 The acquisition of this knowledge depends largely on the environment in the country itself. For example, information channels are weak, and uni-directional (i.e., top-down) in Tajikistan. Without adequate knowledge of, for example, budgets or local level initiatives, communities cannot learn about what is available. This use of knowledge, however, depends on the community itself. The community must

---

3 Based on informal discussions with Heather Baser, UNDP, 2001.
5 WBI’s Community Empowerment and Social Inclusion (CESI) learning program was designed to create the conditions that enable the poor and the excluded to drive their own development. It has developed tools and methodologies for building the capacity of communities, local government and national government in areas that promote more broad-based participation and empowerment of civil society and community groups.
apply the knowledge it has to perform certain tasks, or to upgrade its skills. Thus, an assessment must look at a variety of stakeholder groups in order to understand not only what the community itself is capable of, but also to understand what the community could be capable of, given better information flows.

THE CAPACITY ENHANCEMENT NEEDS ASSESSMENT (CENA)

One of the most important implications of WBI’s shift away from conventional training approaches toward long-term capacity enhancement is that it becomes imperative to find ways to accurately identify the training needs of a country. To test appropriate methodologies and to determine client country needs, WBI has been piloting an approach called Capacity Enhancement Needs Assessment (CENA) over the last two years. The CENA is a participatory assessment designed to evaluate existing capacity, identify capacity gaps and weaknesses, and recommend possible remedies. To help measure the effectiveness of ensuing capacity building programs, a set of impact indicators is developed as part of the assessment.6

DEFINITION OF CAPACITY

The definition of capacity used in this study is that capacity is the ability to access and use knowledge to perform a task. Since capacity is specific to the task performed, the focus becomes which task is being performed, by whom, and for what. To improve capacity, or capacity enhancement, is inherently about “focusing on performance in carrying out change.”

A thematic CENA is designed to identify existing capacity within a particular topic area or cross-cutting theme, and to use that assessment to design a multi-year strategy of capacity building activities that measurably raises capacity in that specific area. This may involve a range of actors as well as sectors. For example, for effective community development to take place, local organizational skills and capacity must exist within communities for them to identify, design and implement their own development projects. But for this to be scaled up, this capacity must exist alongside an open, receptive government—both local and national—that is ready to (a) devolve authority and power downward, and (b) hold itself accountable to citizen/community members’ demands. Thus, both community strengthening and institutional reform are needed for community development to be effective and sustainable beyond the pilot stage.

---

A Community Empowerment CENA, therefore, seeks to identify the capacity of local level actors (within civil society and government) to undertake the above, and to measure that capacity based on a key list of indicators. A baseline survey is then conducted to assess a capacity “starting point,” and to identify gaps to be addressed by a comprehensive learning program. A thematic CENA is done in close consultation with and at the request of World Bank operations. This strong link with operations enables the capacity building initiatives to be sustained over a period of time as components of specific projects (and therefore hopefully to improve those projects). The capacity built is an important output of sectoral projects that goes beyond the implementation of the specific loan. It also serves to build local human and institutional capacity that exists beyond the presence of a Bank lending instrument. While a thematic CENA can be designed to be cross sectoral, it can also be specific to particular projects that have a CDD focus, such as rural health and education projects, and, in particular, small-scale infrastructure projects.

Finally, the CENA takes the approach that the **point** and **timing** of capacity building interventions are essential, as is the need to adequately assess the **demand** for capacity building efforts. It also recognizes that a more fundamental approach is required to capacity building rather than that undertaken on a project-by-project basis. As a precursor to a comprehensive strategy, the CENA is intended to provide qualitative data (including baseline data) with numerical weighting upon which a strategy can be developed, and as a rallying point around which a larger consortium of actors can agree to act.

### ENHANCEMENT NEEDS ASSESSMENT (CENA)

- A tool to measure capacity of key stakeholders in a systematic way;
- Enables the Bank and other donors to think cross-sectorally when targeting capacity enhancement objectives;
- Sets a baseline for measuring capacity over time;
- Micro level: Upfront information about communities for project design; and
- Macro level: Policy input at national level and cohesive strategy among donors.

## 2. Methodology

To address the capacity needs of various stakeholders and individual communities, the World Bank Institute (WBI) designed and piloted a Capacity Enhancement Needs Assessment (CENA) in Tajikistan from May through August 2003. The aim of the pilot CENA was twofold: to conduct a qualitative analysis of capacity for community driven development (CDD), and to test a tool, the “CENA Matrix,” for monitoring change in capacity over time.
Several activities were completed leading up to the launch of the CENA pilot. These included a WBI fact-finding mission to Tajikistan between April 2 and 14, 2003, during which interviews with the main stakeholders in CDD efforts were conducted. A second mission was undertaken in May 2003, when a team of local researchers was selected through a competitive process, and then trained extensively in qualitative research methods. A part of the training process was to allow for the local research team to modify and refine the CENA Matrix indicators and to develop questions in which to gather relevant data for the matrix. Training of the research team became a capacity building activity in which the researchers not only learned better skills for collecting data, but also acquired further analytical skills to assist them in completing the matrix based on the qualitative data. The tools included interviewing techniques, focus group discussions, Venn diagramming, and PRA methods. This information was then synthesized and the research team completed the matrix through an analysis of field data. On May 18, 2003, a multi-stakeholder workshop was held in Dushanbe on the CENA approach. The workshop was attended by 45 representatives of Government (local and central), NGOs, CBOs, and the media. (List of participants in Annex 4).

During July and August 2003, the needs assessment field research was conducted in the districts of Dushanbe, Faizabad and Kulyab. The selection of six study communities (see Figure 2) in these districts was in part based on inputs from the initial stakeholder consultation meeting, and also took into account projects already underway in Tajikistan. Initially, the focus of the pilot was only in the capital city of Dushanbe, but the focal area was broadened to include the districts of Kulyab and Faizabad, since some capacity building efforts were already underway in these locations, (including the Tajik Education Modernization Project), and that testing the CENA Matrix in three different districts would provide the best comparison basis for this pilot study. Both interview and focus group discussion participants were selected through purposive sampling. As noted above, the pilot study primarily drew its participants from community members, and also from NGO and local government stakeholder group representatives.

The CENA Matrix: A Qualitative Tool with a Quantitative Edge

The diagnostic tool, the CENA Matrix, identified a set of indicators that examined information flows (both formal and informal), existing institutions on the community level, community perceptions of and knowledge about other stakeholder groups, and existing governance structures. Community

---

7 For background on the methodology of the CENA matrix, please refer to the CIVICUS research of Finn Heinrich Volkhart, CIVICUS-- Civil Society Index: Assessing and Strengthening Civil Society Worldwide, Johannesburg: CIVICUS, 2004.
capacity indicators were developed to capture the communities’ perceptions of each of the four major stakeholder groups: communities, local government, national government, and NGOs (see Annex 2).

For example, under community structure, the first indicator assessed is the “Existence and functionality of community organizations.” There are six sub-categories in which to examine this particular capacity. These sub-categories examine traditional, informal and formal organizations and the extent of involvement the community has with them. A score of 1, 2, 3 or 4 is assigned to each sub-category. “One” represents very low capacity and a “4” represents very high capacity. The responsibility for translating the qualitative responses into numerical data resided with the team researchers. Researchers debated and analyzed the information gathered not only through individual interviews and focus group discussions, but also through direct observation. The field-tested version of the CENA Matrix had 73 different indicators (see Annex 2 for updated version).

**Figure 1: Example of CENA Matrix**

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Existence and functionality of community organization</td>
<td>What is the level of community participation in formal, informal and traditional community organizations?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Traditional organizations</td>
<td>How many traditional organizations?</td>
<td>None</td>
<td>Less than two traditional organizations</td>
<td>Three to five traditional organizations</td>
<td>More than five traditional organizations</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.2 Involvement in traditional organizations</td>
<td>What percentage of community members belong to more than one traditional organizations?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td>Rapid Assessment</td>
</tr>
</tbody>
</table>

The CENA Matrix allows a community to assess strengths and limitations, and potentially sets the framework for comparing capacity strengths and limitations in communities. One implication of the pilot study is that the community assessments may be shared with other communities, and participatory capacity building might begin through the discussion of what has worked and not worked in each individual community, therefore, allowing less developed communities to learn from more experienced communities through the capacity building exercise. The tool also allows for assessing the capacity of a community over time, and to map how a community’s efforts to build capacity are actually faring. In addition, the structure of scoring carries an implicit exit strategy with it: the indicators reflect a spectrum of capacity, and when the highest level of capacity has been reached (score 4), the project’s likelihood of sustainability is increased, and operations can exit.
Enhancing the capacity of communities to manage their own development poses multiple challenges. One of the challenges is to more fully engage the poor and the excluded in community development efforts so that they might create their own organizations or enhance already existing informal and formal institutions through which they more effectively address their needs and concerns. This empowerment approach to development enables the poor to contribute their knowledge and resources to activities, and to work in better collaboration with local and national government on improving their situation.

Understanding the capacity of any given community to enhance itself is not an easy undertaking. Multiple variables exist that must be considered in tandem with the dynamics between these variables. This CENA assessment endeavors to approach a community as the intersection of relationships (or stakeholders) between community members, local government officials, civil society, and national government actors. Not only are the relationships between these stakeholders important, but also the structures, informal and formal rules, legal system, financial opportunities and barriers, and other factors, all play an important role in whether or not a community has capacity to better itself and its members. Therefore, the primary objectives of the Community Empowerment Needs Assessment include to:

1. Identify the extent of existing local level capacity, particularly among the poor and socially excluded;
2. Identify the social, political and economic barriers that prohibit or limit the participation of the poor or excluded in community activities;
3. Identify the different strengths and limitations of each stakeholder group; and
4. Develop a multi-year plan of action based on this analysis.

To achieve these objectives, the following activities were undertaken:

- Designed a detailed assessment that addresses the type of skills and information needed by each of the stakeholder groups in the Dushanbe vicinity, including communities, local government, civil society, and national government (see the CENA Capacity Index);
- Organized a multi-stakeholder dialogue in each location to gather different perspectives from participants on the CENA initiative;
- Wrote a summary of findings and recommendations for capacity enhancement for community empowerment for each location, and also synthesize these findings and recommendations into a final report.

The Needs Assessment requested information on the following concerns:

For community stakeholders:

1. Provide demographic information on each community: gender, age, ethnicity, and resource base;
2. Identify the extent of local community development efforts already underway;
3. Identify the community context (the socio-political, institutional, legal and fiscal situation);
4. Identify which individuals and organizations have the most respect in the community;
   Evaluate their relationships with other local leaders;
5. Identify the civil society organizations working in the community (name, length of time, purpose, results);
6. Identify how community members access information (radio, newspapers, television, Internet, etc.). (Is there a demographic trend?);
7. Identify the degree to which it is socially acceptable for women to participate in public forums; in addition, identifies the extent of female leadership in communities;
8. Identify examples of communities taking collective action on community problems;
9. Identify the types of alliances between villages and communities;
10. Identify the types of linkages the community has with local and state government authorities;
11. Identify which individuals or organizations have access to and/or the ability to mobilize resources;
12. Identify the extent of community knowledge of market, income-generating and livelihood strategies (micro and macro); and
13. Identify existing mechanisms to deal with conflicts arising in managing and maintaining community services.

For local government stakeholders:
1. Identify the extent to which information regarding budgets is shared with citizen groups;
2. Identify the number and kind of mechanisms for public discourse between local government and community groups;
3. Evaluate the extent of decentralization of political and fiscal responsibility to local/municipal government level;
4. Identify government-sponsored accountability mechanisms for the delivery of public services;
5. Identify how information is disseminated among community members;
6. Identify which local government officials are appointed/elected with citizen input; and
7. Identify who decides which needs of the village should be addressed.

For civil society stakeholders:
1. Identify which informal and traditional institutions exist in the village and their function;
2. Identify the extent to which these institutions play a role in community activities;
3. Identify the number of NGOs or other informal organizations in the community;
4. Identify its international partners;
5. Indicate the length of work experience in the community;
6. Identify the material and technical capabilities;
7. Identify the skill level and professional experience of the staff;
8. Evaluate the image of the organization in the community; e.g., is it respected, trusted;
9. Evaluate the capacity of the NGO to work with local authorities and other interested parties—partnership capacity;
10. Evaluate the level of understanding of the regional problems and needs;
11. Identify the extent of regional coverage;
12. Evaluate the transparency in which the NGO manages its activities;
13. Identify its strengths and limitations; and
14. Characterize the international donor community’s involvement in the community. Offer a detailed history of this relationship if relevant.

For national government stakeholders:
1. Evaluate the level of devolution of authority (political and fiscal) to local levels;
2. Identify the number and type of public forums in which policies are discussed with civic groups;
3. Evaluate the existence of “freedom of information” legislation;
4. Evaluate the existence of controls on media; and
5. Identify which laws impede community action and activities.

METHODS
A combination of methods was used for the assessment. These included group interaction techniques, participatory action workshops, formal/informal discussions with key stakeholders, community/participant dialogues, participation theory and principles in practice regarding resource management, conflict resolution, identification and solution of problems, etc., structured interviews with open-ended questions, secondary data sources, and documented reviews.

CHOOSING SITES
A total of six pre-identified sites were investigated. Nine researchers were divided into working triads. Each triad did extensive research in two of the six communities.

CHOOSING STAKEHOLDERS FOR INTERVIEWS
Interviewees represented the various stakeholder groups—community members, local government officials, civil society, and national government (or individuals who may have direct experience with the government).
CONDUCTING INTERVIEWS

At each site, the three-member team conducted a total of 16 interviews with representative stakeholders. Selection of the community interviewees included different age groups, gender, and ethnicity, and reflected the basic demographics of the community. Each interview lasted about two or three hours.

CONDUCTING FOCUS GROUP DISCUSSIONS (FGDs)

Three FGDs were conducted at each site. Each session lasted approximately 2-3 hours.
FGD 1: Non-poor, mixed age and gender
FGD 2: Poor, mixed age and gender
FGD 3: Special group: Pick a group that stands out as different from the rest of the community. This group can be mixed poor/non-poor

OUTPUTS

The research resulted in 16 narrative interview reports from each community and three FGD reports from each community. There was one community summary required that summarized the findings from each community. The research triad completed the capacity index.

- **FGD and Interview Reports:** Detailed description and analysis of each FGD discussion and of each interview.
- **Community Summary:** A 5 to 8 page summary of analysis from each community that described and analyzed patterns and trends, compared and contrasted with other communities.
- **Capacity Index Matrix:** Completed for each community. The scores tabulated and visually charted.

3. Lessons Learned

The CENA Pilot Study in Tajikistan yielded important lessons learned both in terms of methodology and process-related concerns.

- Because of the extremely limited time frame in which the project had to be implemented, the study would have benefited greatly from additional time for training the research team in order to devise and refine the Matrix indicators.
• Ideally, the initial assessment should yield useful data that would then be incorporated into the final Matrix. One example of how an initial assessment would have improved the overall results is that the pilot studies yielded significant information about the impact of migration on communities in Tajikistan. Had there been a preliminary assessment period built into the process, these types of pertinent issues would have been identified and distilled. The research team in turn could have then constructed the Matrix based on the results of the preliminary assessment.

• In addition, research teams needed on-site mentoring and daily input from the project coordinator to answer relevant questions and to deal with research problems. The researchers needed more time to compare and contrast communities, and in some cases, needed to return to the communities to verify information gained through the assessment process.

• Midway through the research project, a workshop was convened for the researchers to debrief on the results to date, and to write preliminary summaries to send back to Washington. This type of workshop proved to be one of the most useful training sessions, as it contributed toward a shared understanding of the Matrix among researchers, and served to bring the Task Team Leader up-to-date at a critical point on the research process.

• Improvements to the methodology for future iterations of the CENA must address the “inter-rater reliability” (IRR) factor, that is, how can we do survey research if different respondents (perhaps from different cultures, countries, or ethnic groups) understand questions in completely different ways, or if investigators mean one thing and respondents think they mean something else? How can we develop accurate measures of complicated concepts which we can define only by example (“you know it when you see it”), and when attempts to produce more concrete questions tend to be more concrete but no more valid? (see King, et al 2004). One approach may be to adopt a strategy known as “anchoring vignettes”, that simply offers everyday examples to accompany each numerical response. These are (usually brief) descriptions of hypothetical people or situations that survey researchers can use to correct otherwise interpersonally incomparable survey responses. The new idea underlying anchoring vignettes, according to Gary King and his colleagues, is to measure directly, and then subtract off, the incomparable portion. To do this, respondents are asked for self-assessments of the concept being measured along with assessments, on the same scale, of each of several hypothetical individuals described in anchoring vignettes. Since the actual (but not necessarily reported) levels for the people in the vignettes are, by the design of the survey, invariant over respondents, the only reason answers to the vignettes will differ over respondents is interpersonal incomparability.
4. Results of the CENA Pilot Study

The results of the CENA matrix pilot study offer insightful comparisons between six highly diverse communities. Where similarities exist, country-based training programs can be more generic; where differences exist, more directed training modules must be put into place. The CENA matrix helps identify both ends of the continuum, allowing for more strategic and cost-effective training programs.

Figure 2: Characteristics of the CENA Pilot Communities:
The following findings highlight the results gleaned by using the CENA Matrix to evaluate the capacity of six pilot communities. (Annex 3 offers more in depth information about each community.)

**1. ACCESS TO INFORMATION ABOUT COMMUNITY ACTIVITIES OCCURS THROUGH INFORMAL CHANNELS.**
Information about activities occurring in a given community is primarily conveyed through informal means, in that most people learn about community events, problems or activities by word of mouth, through social networks or gossip. Very little information is conveyed through formal means (i.e., television, newspapers, bulletin boards, radio) about community activities. Although the rule of informality is still primarily the case for how communities find out about national activities, communities, nevertheless, seem to gather a great deal of information about the government through formal channels.

**Figure 4: Information Networks by Community**

*Figure showing information networks by community, with bars indicating different types of information and communities.*

*Implications for learning strategies:*

The finding may be indicative of the need to enhance the informal channels of communication of both the national and local governments and to increase the capacity of social networks within communities. Possible avenues for more effective communication initiatives are community bulletin boards, formal town meetings, or hand-written announcements. These approaches may help ensure that more community members have access to information, and that the information is transparent and relevant to their needs.

**2. DIALOGUE BETWEEN COMMUNITIES AND OTHER STAKEHOLDERS IS GENERALLY LOW, ESPECIALLY BETWEEN COMMUNITIES AND NGOS.**

Communities appear to be fairly isolated and primarily concerned with their own day-to-day problems. They nevertheless seem to have more awareness of one another than they have actual dialogue with one another. As noted above, few formal channels of communication exist in communities for finding out about the activities of other stakeholders, and much fewer opportunities exist for dialogue. The only exception is that all of the six communities have limited* formal access
to information through television or radio to learn about national government activities. In both the Kulyab and Faizabad districts, they rated their dialogue as fairly positive with national government, whereas their dialogues with local government and NGOs were rated very low.

(*electricity permitting)

**Figure 5.1: Community Dialogue and Awareness of Stakeholders**

![Graph showing dialogue and awareness]

**Implications for learning strategies:**

There is a need for NGOs to improve their capacity to establish good dialogue/relationships with communities. This could be accomplished through further training on listening skills, community development, understanding diversity and preferred patterns of informal communication channels at

---

**Figure 5.2: Community Dialogue with Other Stakeholders**

![Graph showing dialogue with different stakeholders]
the community level, as well as sponsoring stakeholder meetings, town meetings, and through NGOs acting as a communication conduit for the various stakeholders by sponsoring sharing forums.

3. THE EXISTENCE OF COMMUNITY ORGANIZATIONS DOES NOT NECESSARILY REFLECT THE INVOLVEMENT OF COMMUNITY MEMBERS IN THESE ORGANIZATIONS.

Although each of the six communities appears to have an average of three or less community organizations, involvement rates in these organizations are not consistent among the six communities. The lowest involvement rates are reported in the two Kulyab communities, which may reflect that these communities have only a few people involved in these organizations. The Dushanbe–Sharaf Community offers a different picture in which low participation in community organizations does not necessarily mean that there is a lack of social engagement. Instead, it reflects that about 95 percent of the labor force in Sharaf is employed in the bakery business, and the business provides an environment for a sense of unity and mutual trust.

Figure 6.1: Community Organizations and Involvement
**Figure 6.2: Community Organizations and Involvement by Region.**

**Figure 6.3: Community Organizations and Involvement in Kulyab-Tuto**

**Implications for learning strategies:**

Although community organizations may be a logical stakeholder group to target for capacity building of CDD, the number of organizations in any given community does not necessarily reflect active community participation. It is therefore important to analyze the quality of community participation, and the nature of the relationships from various vantage points, e.g., through employment opportunities or religious activities.
4. PERCEIVED INEQUALITIES DIFFER IN EACH COMMUNITY, BUT IN ALL OF THE COMMUNITIES THERE IS CONSENSUS THAT LITTLE OR NO ETHNIC INEQUALITY EXISTS. GREATEST PERCEIVED INEQUALITIES ARE RELATED TO HUMANITARIAN AID AND LAND DISTRIBUTION.

Given the five years of civil war in Tajikistan (1992-1997), the fact that ethnic inequality is considered almost non-existent is noteworthy. Where inequities were noted were in land distribution (Faizabad—Taknazari), humanitarian aid distribution (Kulyab—Lohuti), gender problems (Kulyab—Tuto), and social issues (Kulyab—Tuto). For instance, through focus group discussions in Lohuti, humanitarian aid did more to increase distrust within a community than to actually aid the community. The problem of humanitarian aid distribution appears to be a contentious one and may require more refined and sensitive capacity building approaches.

Figure 7: Perceived Inequalities by Community

Implications for learning strategies:

Perceived inequalities as an indicator of poor community capacity may have many implications for sector work, and may require an increase in community-based organizational capacity to oversee the implementation of such programs. Furthermore, a need exists to increase capacity at the NGO, local and national government levels to design and implement appropriate social assistance services (i.e., provide support to local and national government in aiding cultures for success.) Clearly, monitoring and evaluation efforts need to better target the mechanisms for humanitarian aid and land distribution, establishing what degree of transparency exists in the community. Gender inequality is
also rated as problematic in four of the five communities. Women’s access to and participation in community organizations needs to be enhanced and monitored throughout the project.

5. ACCESS TO BASIC SERVICES VARIES GREATLY IN THE SIX COMMUNITIES.

The six communities greatly differ when it comes to access to basic services. In four of the communities, almost no access to gas exists (Dushanbe—Hoyate Nav, Dushanbe—Sharaf, Faizabad—Lolagi, and Faizabad—Taknazari). The most vulnerable of the six communities is Kulyab—Lohuti, where access to water is also negligible, as well as access to health services. Problems of access must be incorporated into an overall CDD framework for the country. Identifying access issues as opportunities as where to intervene is important, but also as potential fracture points in the community structure and relationships.

Figure 8: Access to Basic Services by Community

<table>
<thead>
<tr>
<th>Community</th>
<th>Access to Water</th>
<th>Access to Electricity</th>
<th>Access to Gas</th>
<th>Access to Education</th>
<th>Access to Health Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kulyab-Lohuti</td>
<td>1</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>Kulyab-Tuto</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Faizabad-Lolagi</td>
<td>2</td>
<td>4</td>
<td>1</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Faizabad-Taknazari</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Dushanbe-Sharaf</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Dushanbe-Hoyate Nav</td>
<td>3</td>
<td>4</td>
<td>1</td>
<td>3</td>
<td>1</td>
</tr>
</tbody>
</table>

Implications for learning strategies:
In the design of CDD projects, the degree of community access to basic services needs to be integrated into project design, and geared toward the specific needs of the community. Gender should be integrated into the training module, since women are often the designated members of a community who must access such services (gas, water, electricity) for cooking, cleaning, and hygiene concerns.
6. COMMUNITIES PERCEIVE A LOW LEVEL OF CORRUPTION AT THE COMMUNITY LEVEL, WHEREAS THEY PERCEIVE MORE PROBLEMS AT THE LOCAL AND NATIONAL GOVERNMENT LEVELS.

Although each of the six communities do not perceive corruption occurring within their own community per se, they indicate a concern for potential corruption situations among the local government. In part, this perception of corruption may imply that there is a low trust level, lack of knowledge about local government, low capacity, or indeed, actual experiences of corrupt behaviors on the part of public officials at local levels. The perception of corruption at the national government level is also high, but is perceived as having less of an impact on potential CDD projects, than corruption at the local government level.

**Figure 9: Perceived Corruption by Community**

![Perceived Corruption by Community](image)

**Implications for learning strategies:**

The training program can build on the apparent trust that community members have for one another, and enhance their skills in proactively seeking information about local and national government programs. Training strategies for civil servants in national and local governments should also emphasize the need for information and transparency at the local level. The perceptions of community members should not be ignored, since whether right or wrong, will have an influence on whatever project or program is implemented in the district.
7. COMMUNITY RELATIONSHIPS WITH NGOS AND CBOS EITHER DO NOT EXIST, OR HAVE MINIMAL CONTACT, WITH THE DISTRICT OF FAIZABAD BEING THE EXCEPTION.

Although a general awareness exists about NGOs in a community, the level of knowledge and any relationship with a NGO appears minimal. Faizabad--Taknazari demonstrates more awareness of the NGO activities, in part because NGO Faizabad has been highly active in the district. By contrast, Kulyab—Lohuti has very little understanding about what NGOs do and any relationship to the community. With such variation from one community to another, each community should be considered separately in terms of their relationships to each of the other stakeholder groups.

**Figure 10: Stakeholder NGO/CBO Lohuti vs. Taknazari**

*Implications for learning strategies:*

Learning programs should focus on improving the capacities of collaboration of NGOs with local governments, and to become better informed about national policies as a means to becoming a better enabler of information flows to communities. NGOs can thus improve their ability to play a pivotal role in complementing local governments’ capacity to disseminate information and increase access to funds. Although to date CDD practices almost always include NGOs or CBOs, they are not necessarily the only means for participatory capacity building. Therefore, community relationships with NGOs and CBOs must be considered individually, and capacity-building opportunities must address the specific needs of each community. NGOs may not always be the best venue for CDD activities in a community. Dushanbe--Sharaf offers a relevant example of a community with little NGO activity but high social engagement as the result of initiating a community bakery. Direct employment opportunities may be a better means of activating CDD potential than grants given...
directly to NGOs. NGOs should examine their own participatory practices and be aware of their own limitations when talking about community development and empowerment. Training in organizational development might be needed for NGOs applying the wrong practices in communities (i.e., generating inequality when distributing humanitarian aid).

8. COMMUNITY RELATIONSHIPS WITH NATIONAL GOVERNMENT SHOW NOTABLE DIFFERENCES.

Some of the communities indicate that they have a positive relationship with the national government, whereas others have little or no relationship whatsoever. Again, it is difficult to generalize about community relationships with this stakeholder group, and therefore this should be done community by community. Nevertheless, how to improve awareness and communications to and from the national government is an important entry point to begin a dialogue with the community. Communities in general do not perceive that the national government, as a stakeholder group, is as important as local government. The graph below shows the wide variation between Dushanbe-Sharaf and Faizabad-Lolagi in their perceptions of the national government.

Figure 11: National Government Stakeholder Lolagi vs. Sharaf

Implications for learning strategies:

Communities and national government need to find more viable shared communication pathways. Government could:

- Use more informal and traditional channels for disseminating information
- Support locally elected officials in developing local consultations and information with feedback at national level
- Support enabling environment for locally run media.
One way other countries have begun to bridge the gap is by design and use of the national “best community improvement project.” Communities compete for grant monies based on the design of their project. Training for government officials on how to set up a national contest, how to ensure transparency in the process, and how to follow up on the actual results, should be considered.

9. COMMUNITIES PERCEIVE LOCAL GOVERNMENT AS HAVING EXCELLENT ACCESS TO INFORMATION AT THE RAYON AND NATIONAL LEVELS.

Community relationships with local governments are generally weak. The communities see minimal effort at decentralization of local government activities, nor do they offer very high scores for leadership capacity among the local government. The exception is Dushanbe--Sharaf community, which perceives that collaboration with local government and local organizations as positive. This may reflect the fact that 95 percent of Sharaf is employed by a community-based bakery, and may explain the overall positive outlook this community has toward other stakeholders. By comparison, Kulyab-Lohuti, with its two splintered communities, perceives local government and local organizations as having very little capacity and minimal collaboration with one another.

Figure 12: Local Government in Sharaf and Lohuti
Implications for learning strategies:

Relationships between communities and local governments may be best enhanced through common goals or projects. Structuring strategic dialogues between these two stakeholder groups may lay the groundwork for important and relevant community initiated projects.

10. INTERNAL AND EXTERNAL LABOR MIGRATION HAS BOTH POSITIVE AND NEGATIVE IMPACTS ON COMMUNITIES IN TAJIKISTAN, AND MAY HAVE IMPORTANT IMPLICATIONS FOR COMMUNITY DEVELOPMENT

The issue of migration was identified through the qualitative interview process, and is not reflected in the CENA Matrix. This discrepancy points out how important the triangulation of data is for identifying new and serious trends.

Internal migration appears to have a larger impact on urban communities in Dushanbe, where 600,000 inhabitants are registered, but the actual population is estimated at one million. Many people migrate to Dushanbe in search of jobs because of more intense poverty in the rural areas. Villagers often migrate together, yet marry people from their original village, and therefore tend not to readily assimilate or integrate with their new neighbors.

The external migration issue is more complicated. IOM estimates that 800,000 Tajiks have left for Russia. About 60-70 percent of the men who migrate work on building sites and earn $250-400 a month. The formal bank transfers of this income only began in 2002, and already have reached $89 million by the end of 2003. It is estimated that the total money coming into the country may be around $600 million, nearly three times the Tajik State budget. Most money sent back home is not invested but used for immediate consumption.

The implications for external and internal migration on community development include brain drain from the rural areas, as well as a general loss of young and capable men in the urban regions. The impact of migration on families is significant, given the fact that women become the head of household and must deal with many issues that were formerly taken care of by men. On the other hand, those families that have someone working abroad may benefit financially. Nevertheless, social economic differences emerging in communities may increase social stress.
Annex 1

Tajikistan: Country, Context and Background

Tajikistan, one of the poorest countries in the world, is emerging from a decade of civil conflict and difficult economic reforms. In addition, communities have been disrupted by the collapse of infrastructure, high unemployment, and increasing migration abroad. Approximately 70 percent of the population lives below the poverty line. The lack of access to education, health care, water, various energy resources, and transport is particularly evident in rural areas where 65 percent of the population lives.8

Communities under the Soviet socialist umbrella received large entitlements, but after 1992 they were faced with surviving on their own and relying primarily on their own resources and social capital. Because the national government has had its own political battles, and local governments have had limited authority to act, a number of communities have become more directly involved with international donors, which has expanded these communities’ capacity to act on their own behalf. But little capacity building has occurred at the local government level, and so without the linkages between communities and local government, sustaining community enhancement is more difficult.

Figure 1: Map of Tajikistan

---

8 Such an assessment should also work closely with the World Bank’s Poverty Reduction Strategy Papers (PRSP), as both assessments are complementary. Yet a PRSP does not look at existing capacity or capacity gaps that are crucial to sustaining community level projects in the long run. This is when the CENA is particularly useful.
Development assistance has attempted to tackle the huge infrastructure and institutional problems facing Tajikistan’s highly centralized and hierarchical government. But the top-down governmental reforms have had difficulty keeping pace with the increasing poverty and economic hurdles. Therefore over the past several years, the Bank and other international donors, such as the Aga Khan Foundation, Mercy Corps, Counterpart International, Caritas, UNDP, and ACTED, have initiated projects in Tajikistan with Community Driven Development (CDD) components. In part, the emphasis on CDD is due to a lack of national government presence in many regions and the overall weakness of local administrations. The emergence of new NGOs throughout the country also suggests potential capacity for CDD.

The World Bank’s Country Assistance Strategy (CAS) for Tajikistan identifies community-driven development (CDD) as one of its three driving themes, citing weak institutional capacity and a lengthy process of institutional rebuilding needed at the center. The aim of CDD is to bring the poor into the processes of project implementation, management and monitoring. In order to do this, the donor community must have a clear picture of the capacity of a community, for instance, to manage and monitor water pumps before the project is rolled out. Lack of capacity to maintain or monitor the project increases the likelihood that the project will not be sustainable beyond the donor’s tenure in the village.

If a community lacks capacity, then an objective of CDD is to enhance the capacity to a point that the community will be able to sustain the project in the long run. This takes not only a change in the community members’ perception of their own community, but also the way communities view institutions. Communities must learn to evaluate their relative strengths, and must also learn to demand accountability from their representatives in government.

---

9 We define CDD according to the World Bank’s working definition as a mechanism that gives control of decisions and resources to community groups. These groups often work in partnership with demand-responsive support organizations and service providers including elected local governments, the private sector, NGOs, and central government agencies. CDD is a way to provide social and infrastructure services, to organize economic activity and resource management, to empower poor people, improve governance, and enhance security of the poorest.

10 Tajikistan CAS-03.

11 One development response has been to promote Community Driven Development, which has attempted to bring decision making to the community-level. It is based on the premise that empowering communities by giving them control over resources will ensure better distribution and better targeting of the poor. This approach views people not as beneficiaries per se, but as assets and partners in the development process. Experience demonstrates that given clear rules of the game, access to information, and appropriate support, poor men and women can effectively organize to provide goods and services that meet their immediate priorities. Not only do poor communities have greater capacity than generally recognized, they also have the most to gain from making good use of resources targeted at poverty reduction.
## Annex 2

### The CENA Matrix

#### Capacity Index: Scoring Matrix

**Stakeholder: Community**

**1. Community Structure**

*Version 2 (10.16). Revised 9/12/03*

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Existence and functionality of community organization</td>
<td>What is the level of community participation in formal, informal and traditional community organizations?</td>
<td>None</td>
<td>Less than two traditional organizations</td>
<td>Three to five traditional organizations</td>
<td>More than five traditional organizations</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.1 Traditional organizations</td>
<td>How many traditional organizations?</td>
<td>None</td>
<td>Less than two traditional organizations</td>
<td>Three to five traditional organizations</td>
<td>More than five traditional organizations</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.2 Involvement in traditional organizations</td>
<td>What percentage of community members belong to more than one traditional organization?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.3 Informal organizations</td>
<td>How many informal organizations exist?</td>
<td>None</td>
<td>Less than two informal organizations</td>
<td>Three to five informal organizations</td>
<td>More than five informal organizations</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.4 Involvement in informal organizations</td>
<td>What percentage of community members belong to more than one informal organization?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.5 Formal organizations</td>
<td>How many formal organization exist?</td>
<td>None</td>
<td>Less than two formal organizations</td>
<td>Three to five formal organizations</td>
<td>More than five formal organizations</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>1.6 Involvement in formal organizations</td>
<td>What percentage of community members belong to more than one formal organizations?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>----------------------</td>
<td>----------</td>
<td>----------</td>
<td>---------------</td>
<td>-----------------</td>
</tr>
</tbody>
</table>

| 2. Linkage with local governments | What is the nature and quality of relations between community and local governments? |
|-----------------------------------|---------------------------------------------------------------------------------|----------------------|----------|----------|---------------|-----------------|
| 2.1 Awareness of local governments activities | What percentage of community members know about local government activities? | None or less than 10% | 10%-30% | 30%-65% | More than 65% | Rapid Assessment |
| 2.3 Dialogue between local government and community members | What percentage of the community members interact with local government on community development issues? | There is no meaningful dialogue between community members and NGO and CSO | Local government seeks to dialogue with a relatively broad range of communities | Local government dialogue with a small subset of communities only | Mechanisms are in place to facilitate systematic dialogue between local governments and community members | Rapid Assessment |

| 3. Linkage with national government | What is the nature and quality of relations between community and national governments? |
|-----------------------------------|---------------------------------------------------------------------------------|----------------------|----------|----------|---------------|-----------------|
| 3.1 Awareness of national government's activities | What percentage of people know about the activities of national government? | None or less than 10% | 10%-30% | 30%-65% | More than 65% | Rapid Assessment |

| 4. Linkage with NGO and other civil society organizations | What is the level of awareness about NGO and civil society organizations in the community? |
|-----------------------------------|---------------------------------------------------------------------------------|----------------------|----------|----------|---------------|-----------------|
| 4.1 Awareness of NGOs and other civil society organizations | What percentage of people know about NGOs and other civil society organizations? | None or less than 10% | 10%-30% | 30%-65% | More than 65% | Rapid Assessment |
| 4.2 Dialogue between NGO and other Civil Society Organizations (CSO) and community members | What percentage of the community members interact with NGO and CSO? | There is no meaningful dialogue between community members and NGO and CSO | NGO and CSO seek to dialogue with a relatively broad range of community members | NGO and CSO dialogue with a small subset of communities only | Mechanisms are in place to facilitate systematic dialogue between NGO/CSO and community members | Rapid Assessment |

<p>| 5. Access to information | How do most people get information? |
|--------------------------|-----------------------------------|----------------------|----------|----------|---------------|-----------------|</p>
<table>
<thead>
<tr>
<th>5.1a Information on community activities</th>
<th>What is the most frequently used media for getting information on community activities?</th>
<th>None or less than 10% of the community members get information from radio/television/newspapers</th>
<th>10%-30% of the community members get information from radio/television/newspapers</th>
<th>30%-65% of the community members get information from radio/television/newspapers</th>
<th>More than 65% of the community members get information from radio/television/newspapers</th>
<th>Rapid Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1b Information on community activities</td>
<td>What is the most frequently used media for getting information on community activities?</td>
<td>None or less than 10% of the community members get information from community billboards/gossip</td>
<td>10%-30% of the community members get information from community billboards/gossip</td>
<td>30%-65% of the community members get information from community billboards/gossip</td>
<td>More than 65% of the community members get information from community billboards/gossip</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>5.2a Information on national activities</td>
<td>What is the most frequently used media for getting information on national activities?</td>
<td>None or less than 10% of the community members get information from radio/television/newspapers</td>
<td>10%-30% of the community members get information from radio/television/newspapers</td>
<td>30%-65% of the community members get information from radio/television/newspapers</td>
<td>More than 65% of the community members get information from radio/television/newspapers</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>5.2b Information on national activities</td>
<td>What is the most frequently used media for getting information on national activities?</td>
<td>None or less than 10% of the community members get information from community billboards/gossip</td>
<td>10%-30% of the community members get information from community billboards/gossip</td>
<td>30%-65% of the community members get information from community billboards/gossip</td>
<td>More than 65% of the community members get information from community billboards/gossip</td>
<td>Rapid Assessment</td>
</tr>
</tbody>
</table>
## Capacity Index: Scoring Matrix

**Stakeholder: Community**

### 2. Community actors and their environment

**Version 2 (10.16). Revised 9/12**

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Leadership experience in the community</strong></td>
<td>What is the extent of leadership experience in the community?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Local leaders response to community needs</td>
<td>How effectively do local leaders respond to community needs?</td>
<td>Local leaders are totally out of touch with community needs</td>
<td>Leaders recognize issues but do not take up community concerns</td>
<td>Leaders seek to take up crucial concerns of the community but lack capacity to do so</td>
<td>Leaders are very effective in taking crucial concerns to the community</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td><strong>1.2 Public trust</strong></td>
<td>To what degree are leaders trusted by communities?</td>
<td>A small minority of the members (&lt;25%) has trust in local leaders.</td>
<td>A greater minority of community members (25-50%) has trust in local leaders</td>
<td>A small majority of community members (50-75%) has trust in local leaders</td>
<td>A large majority of community members (&gt;75%) has trust in civil society actors</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td><strong>2. Accountability of community leaders to their constituents</strong></td>
<td>To what extent are the community leaders accountable to their constituents?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Awareness of the public activities of the community leaders</td>
<td>What is the level of communication between community leaders and community members?</td>
<td>There is very little communication</td>
<td>There is limited communication</td>
<td>There is moderate level of communication</td>
<td>There is significant level of communication</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td><strong>3. Social diversity and gender balance</strong></td>
<td>What is the degree of social diversity and gender balance in the community?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Inclusion of women in community activities</td>
<td>Do women get equal opportunities to participate in community activities?</td>
<td>Women are excluded from community activities</td>
<td>Women are largely absent from community activities</td>
<td>Women are somewhat involved but are overall under-represented in community activities</td>
<td>Women are equitably represented in community activities</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>3.2. Inclusion of poor and minorities in community activities</td>
<td>Do the poor and minorities get equal opportunities to participate in community activities?</td>
<td>Poor and minorities are excluded from community activities</td>
<td>Poor and minorities are largely absent from community activities</td>
<td>Poor and minorities are under-represented in community activities</td>
<td>Poor and minorities are equitably represented in community activities</td>
<td>Rapid Assessment</td>
</tr>
<tr>
<td>4. Ability to mobilize financial and in-kind resources</td>
<td>What is the ability of the community to mobilize financial and in-kind resources?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Community's experience in mobilizing financial and in-kind resources.</td>
<td>Are there examples of community mobilization of financial and in-kind resources?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>There are no examples of communities to mobilize resources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Preliminary efforts have been made by community but only a small fraction of community was involved and impact is extremely limited</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Some mechanisms for community resource mobilization are in place but only some members of community are involved and impact is limited</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Mechanism for resource mobilization are in place and function quite effectively</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Rapid Assessment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

37
## Capacity Index: Scoring Matrix

**Stakeholder: Community**

### 3. Community Access

Version 2 (10.16). Revised 9/12

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Rapid Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Equality in the community</strong></td>
<td>What is the extent of equality in the community?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Fairness in the distribution of land</td>
<td>What percentage of the community is satisfied with the distribution of Land</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Fairness in the distribution of Humanitarian Aid</td>
<td>What percentage of the community is satisfied with the distribution of Humanitarian Aid</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Social equality</td>
<td>What percentage of the community believes there is social equality in the community</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Gender equality</td>
<td>What percentage of the community believes there is gender equality in the community</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Ethnic equality</td>
<td>What percentage of the community believes there is ethnic equality in the community</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td><strong>2. Employment in the community</strong></td>
<td>What is the rate of employment in the community? (Official and estimated unofficial rates)</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>2.1 Rate of employment and sections of society that are officially (and unofficially) employed</td>
<td>What percentage of community are employed?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Are women and youth employed?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------------------</td>
<td>----------------------</td>
<td>---------</td>
<td>---------</td>
<td>--------------</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 3. Access to basic services

**Does the community have access to basic services?**

#### 3.1 Basic services present in the community

**What percentages of the community have access to basic services-water?**

<table>
<thead>
<tr>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
</table>

**What percentages of the community have access to basic services-electricity?**

<table>
<thead>
<tr>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
</table>

**What percentages of the community have access to basic services-gas?**

<table>
<thead>
<tr>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
</table>

### 4. Access to education and health services

**Does the community have access to education and health services?**

#### 4.1 Education and Health Services present in the community

**What percentages of the community have access to education?**

<table>
<thead>
<tr>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
</table>

**What percentages of the community have access to health services?**

<table>
<thead>
<tr>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
</table>

### 5. Income from illegal sources

**Does the community derive income from illegal sources?**

#### 5.1 Illegal sources of income

**What percentages of the community derive income from illegal sources**

<table>
<thead>
<tr>
<th>More than 65%</th>
<th>30%-65%</th>
<th>10%-30%</th>
<th>Less than 10%</th>
</tr>
</thead>
</table>

### 6. Corruption

**What is the perception of corruption at the community, local government and national government officials levels? (Define corruption in local terms.)**
| 6.1 Corruption at the level of community, local government and national government | What percentage of the community members are considered corrupt? | More than 65% | 30%-65% | 10%-30% | Less than 10% |
### Capacity Index: Scoring Matrix

**Stakeholder: Community**

#### 4. Community Social Capital

Version 2 (10.16). Revised 9/12

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Rapid Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Social Capital</td>
<td>What is the evidence of the presence of social capital among community members?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Community's trust in informal/traditional organizations</td>
<td>What percentage of community members trust the informal/traditional organizations?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>1.2 Community's trust in each other</td>
<td>What percentage of community members trust each other?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>2. Community Participation</td>
<td>Exposure to participation in 'community based' activities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Experience in community based activities</td>
<td>Does the community have experience in community based activities?</td>
<td>None</td>
<td>1-3 years</td>
<td>3-5 years</td>
<td>More than 5 years</td>
<td></td>
</tr>
<tr>
<td>3. Community based credit-programs</td>
<td>Does the community have experience in community based credit programs (CBOs)?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Presence of community based credit programs</td>
<td>What percentage of community have experience with community based credit programs (CBOs)?</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
</tbody>
</table>

---

12 Based upon the design of the CIVICUS tool, see Finn Heinrich Volkhart, (2004) CIVICUS Civil Society Index: Assessing and Strengthening Civil Society Worldwide, Johannesburg: CIVICUS.
<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Rapid Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Collaboration with Central government</td>
<td>What is the degree of autonomy from central government?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Budgetary decisions</td>
<td>What is the extent of autonomous budgetary decision making on the part of local government</td>
<td>Local government never makes budgetary decisions</td>
<td>Local government sometimes makes budgetary decisions</td>
<td>Local government usually makes budgetary decisions</td>
<td>Local government always makes budgetary decisions</td>
<td></td>
</tr>
<tr>
<td>1.2 Local policies</td>
<td>To what extent are local policies being developed?</td>
<td>There is no policy development at the local government</td>
<td>Local government is beginning to develop local policies</td>
<td>Local government follow a standard approach for local policy development</td>
<td>Local government always develops local policies</td>
<td></td>
</tr>
<tr>
<td>1.3 Elected leadership positions</td>
<td>What percentage of local government leadership positions are elected?</td>
<td>None of the local government leadership positions are elected</td>
<td>Less than 10% of the local government leadership positions are elected</td>
<td>10%-50% of the local government leadership positions are elected</td>
<td>More than 50% of the local government leadership positions are elected</td>
<td></td>
</tr>
<tr>
<td>2. Decentralization of local government to local communities</td>
<td>What is the degree of decentralization of local government to local community level?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Local government activities</td>
<td>What percentage of local government activities are decentralized?</td>
<td>None of the local government activities are decentralized</td>
<td>Less than 10% of the local government activities are decentralized</td>
<td>10-50% of the local government activities are decentralized</td>
<td>More than 50% of the local government activities are decentralized</td>
<td></td>
</tr>
<tr>
<td>2.2 Accountability</td>
<td>To what extent are local government leaders accountable to their constituents?</td>
<td>Local government leaders are never accountable</td>
<td>Local government leaders are accountable 10% of the time</td>
<td>Local government leaders are accountable 50% of the time</td>
<td>Local government leaders are accountable 100% of the time</td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>-----------------------------------------------------------------</td>
<td>---------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>3. Access to information</td>
<td>What is the level of local government's access to information about rayon level and above administration activities?</td>
<td>To what extent does the local government unit know about rayon or national level activities?</td>
<td>Local government unit is never informed about rayon or national level activities</td>
<td>Local government unit is informed about rayon or national level activities 10% of the time</td>
<td>Local government unit is informed about rayon or national level activities 10-50% of the time</td>
<td>Local government unit is informed about rayon or national level activities on a regular basis</td>
</tr>
<tr>
<td>3.1 Information about rayon level or national level activities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Collaboration between local government and local organizations</td>
<td>What is the level of collaboration between local government and local organizations?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Local governments awareness of and involvement in community based activities</td>
<td>How much awareness of and involvement does local government have in community based activities?</td>
<td>Local government is not aware and involved in community based activities</td>
<td>Local governments are aware and involved in community based activities less than 10% of the time</td>
<td>Local governments are aware and involved in community based activities 10-50% of the time</td>
<td>Local governments are aware and involved in community based activities more than 50% of the time</td>
<td></td>
</tr>
<tr>
<td>4.2 Transparency in local government’s activities</td>
<td>To what extent is there demonstrated transparency in local governance activities?</td>
<td>Local governance activities are not transparent</td>
<td>Local governance activities are transparent less than 10% of the time</td>
<td>Local governance activities are transparent 10-50% of the time</td>
<td>Local governance activities are transparent more than 50% of the time</td>
<td></td>
</tr>
<tr>
<td>5. Capacity and leadership</td>
<td>Does local government have well qualified staffs?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Staff hiring practices</td>
<td>Does local government exercise fair hiring practices?</td>
<td>No</td>
<td>Less than 10% of the time</td>
<td>10-50% of the time</td>
<td>More than 50% of the time</td>
<td></td>
</tr>
<tr>
<td>5.2 New leadership experience</td>
<td>What is the extent of new leadership experience in the local governments?</td>
<td>Local government does not have experience of new leadership</td>
<td>Local government has experienced new leadership less than 10% of the time</td>
<td>Local government has experienced new leadership 10-50% of the time</td>
<td>Local government has experienced new leadership more than 50% of the time</td>
<td></td>
</tr>
<tr>
<td>-------------------------------</td>
<td>--------------------------------------------------------------------------</td>
<td>----------------------------------------------------------</td>
<td>-----------------------------------------------------------------</td>
<td>-----------------------------------------------------------------</td>
<td>-----------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>5.3 Community member's trust over local governance leaders</td>
<td>What is the level of community member's trust over local governance leaders?</td>
<td>Community members do not trust local government leaders</td>
<td>Less than 10% of the community members trust local government leaders</td>
<td>10-50% of the community members trust local government leaders</td>
<td>More than 50% of the community members trust local government leaders</td>
<td></td>
</tr>
<tr>
<td>5.4 Perceived corruption at local government level</td>
<td>What percentage of the local government staff are corrupt?</td>
<td>More than 50% of the local government staff are corrupt</td>
<td>10-50% of the local government staff are corrupt</td>
<td>Less than 10% of the local government staff are corrupt</td>
<td>Local government staff is not corrupt</td>
<td></td>
</tr>
<tr>
<td>6. Women in local governance</td>
<td>What is the level of women's participation in local government?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1 Women's participation in decision making at the local governance</td>
<td>What percentage of women participate in decision making at the local governments?</td>
<td>Women do not participate in decision making at the local government</td>
<td>10-30% of the women participate in decision making at the local government</td>
<td>30-65% of the women participate in decision making at the local government</td>
<td>More than 65% of the women participate in decision making at the local government</td>
<td></td>
</tr>
</tbody>
</table>
# Capacity Index: Scoring Matrix

**Stakeholder: National Government**

**Version 2 (10.16). Revised 9/12**

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Description</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
<th>Score 4</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Awareness of community based activities</td>
<td>What is the degree of awareness of community based activities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1. Information about community based activities</td>
<td>What percentage of community based activities are known to the national government</td>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>1.2 Communication between national government and communities</td>
<td>What is the extent of communication between national government and communities for community based activities?</td>
<td>There is no communication</td>
<td>There is limited communication</td>
<td>There is a moderate level of communication</td>
<td>There is a significant level of communication</td>
<td></td>
</tr>
<tr>
<td>2. Support for community based activities</td>
<td>What is the extent of support from national government for community based activities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1. Existence of special committees or ministries that support community based development</td>
<td>Do the ministries have special committees to support community based activities?</td>
<td>There are no special committees at ministries to support community based activities</td>
<td>Ministries are planning to establish committees to support community based activities</td>
<td>Ministries have established committees to support community based activities</td>
<td>Ministries have committees that actively support community based activities</td>
<td></td>
</tr>
<tr>
<td>3. Coordination with international donor communities</td>
<td>What is the extent of interaction between national government and international donor communities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 3.1. Interaction with international donor organizations

<table>
<thead>
<tr>
<th>Question</th>
<th>National government officials meet with international donor organizations to discuss community based development?</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is no meaningful dialogue between national government and donor organizations regarding community based activities.</td>
<td></td>
</tr>
<tr>
<td>National government seek dialogue with donor organizations on an ad hoc basis regarding community based activities.</td>
<td></td>
</tr>
<tr>
<td>National government dialogue occasionally with donor organizations regarding community based activities.</td>
<td></td>
</tr>
<tr>
<td>National government dialogue regularly with donor organization regarding community based activities.</td>
<td></td>
</tr>
</tbody>
</table>

### 4. Transparency in government activities

**What is the extent of transparency in government activities?**

#### 4.1. Support for transparency

<table>
<thead>
<tr>
<th>Question</th>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
<tbody>
<tr>
<td>What percentage of national government officials feel the need establish transparency in its activities?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 4.2 Measures to establish transparent

<table>
<thead>
<tr>
<th>Question</th>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the government made any provision to ensure transparency?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>There is no mechanism for ensuring transparency.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>There is limited mechanisms for ensuring transparency communication.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>There is a moderate level of mechanisms for ensuring transparency.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>There are significant mechanisms for ensuring transparency.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 5. Awareness and willingness to address legal constraints facing community based development

#### 5.1 Awareness of legal constraints

<table>
<thead>
<tr>
<th>Question</th>
<th>None or less than 10%</th>
<th>10%-30%</th>
<th>30%-65%</th>
<th>More than 65%</th>
</tr>
</thead>
<tbody>
<tr>
<td>What percentage of the national government officials are aware of the legal constraints facing community based development?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2 Willingness to address legal constraints facing community based development</td>
<td>What percentage of the national government officials are willing to address the legal constraints facing community based development?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>None or less than 10%</td>
<td>10%-30%</td>
<td>30%-65%</td>
<td>More than 65%</td>
<td></td>
</tr>
<tr>
<td>Indicator</td>
<td>Description</td>
<td>Score 1</td>
<td>Score 2</td>
<td>Score 3</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------</td>
<td>---------</td>
<td>---------</td>
<td>---------</td>
</tr>
<tr>
<td>1. Awareness about local government practices and national government policies related to decentralization</td>
<td>What is the degree of awareness about local government practices and national government policies related to decentralization?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Awareness of national government's policies related to decentralization</td>
<td>What is the extent of NGOs/CBO's awareness on national government's policies related to decentralization?</td>
<td>None or less than 10% of the NGOs/CBOs are aware of government's policies related to decentralization</td>
<td>10%-30% of the NGOs/CBOs are aware of government's policies related to decentralization</td>
<td>30%-65% of the NGOs/CBOs are aware of government's policies related to decentralization</td>
</tr>
<tr>
<td>1.2 Awareness about local government's practices with regard to decentralization</td>
<td>What is the extent of NGOs/CBO's awareness on local government's practices related to decentralization?</td>
<td>None or less than 10% of the NGOs/CBOs are aware of local government's practices related to decentralization</td>
<td>10%-30% of the NGOs/CBOs are aware of local government's practices related to decentralization</td>
<td>30%-65% of the NGOs/CBOs are aware of local government's practices related to decentralization</td>
</tr>
<tr>
<td>2. Collaboration between NGOs, CBOs and local governments</td>
<td>What is the extent of collaboration between NGOs, CBOs and local governments?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Exchange of information</td>
<td>What is the extent of information sharing between NGOs/CBOs and local governments?</td>
<td>NGOs, CBOs and local governments do not meet or share information</td>
<td>There is limited number of meetings between NGOs, CBOs and local governments</td>
<td>There is occasional meeting between NGOs, CBOs and local governments</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>------------------------------------------------</td>
<td>------------------------------------------------</td>
</tr>
<tr>
<td>2.2 Support from local government to the activities of NGOs &amp; CBOs</td>
<td>What is the extent of support from the local governments to the activities of NGOs &amp; CBOs?</td>
<td>Local governments are not involved in any way in the activities of NGOs &amp; CBOs</td>
<td>Local governments provide limited support to NGO/CBO activities</td>
<td>Local governments provide support when necessary to NGO/CBO activities</td>
</tr>
<tr>
<td>3. Relationship between civil society organizations and local governments</td>
<td>What is the extent of interaction between CSOs and local governments?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Dialogue between CSOs and local governments</td>
<td>Do the CSOs dialogue with local governments?</td>
<td>There is no meaningful dialogue between CSOs and local governments</td>
<td>Local governments dialogue with a limited number of CSOs</td>
<td>Local governments dialogue with a relatively broad range of CSOs</td>
</tr>
<tr>
<td>4. Exposure to international organizations</td>
<td>What is the extent of exposure of the NGO/CBOs to international organizations?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1. Awareness about the activities international organizations promote</td>
<td>What is the extent of awareness about the activities international organizations promote?</td>
<td>None or less than 10% of NGO/CBOs are aware of the activities international organizations promote</td>
<td>10%-30% of NGO/CBOs are aware of the activities international organizations promote</td>
<td>30%-65% of NGO/CBOs are aware of the activities international organizations promote</td>
</tr>
<tr>
<td>4.2 Support from international organizations</td>
<td>What is the extent of NGO/CBO's experience with support from international organizations?</td>
<td>None or less than 10% of NGO/CBOs have received support from international organization for its activities</td>
<td>10%-30% of NGO/CBOs have received support from international organization for its activities</td>
<td>30%-65% of NGO/CBOs have received support from international organization for its activities</td>
</tr>
</tbody>
</table>

| 4.3 Dialogue with international organization | What is the extent of interaction between NGO/CBOs with international organization? | None or less than 10% of the NGO/CBOs meet regularly with international organizations | 10%-30% of the NGO/CBOs meet regularly with international organizations | 30%-65% of the NGO/CBOs meet regularly with international organizations | More than 65% of the NGO/CBOs meet regularly with international organizations |

| 5. Resource control | What is the extent of balance of resource control between intermediary organizations and local communities? | Control of resources by intermediary organizations | What is the extent to which intermediary organizations control resources? | None or less than 10% of intermediary organizations collaborate with local communities regarding resource expenditure and management | 10%-30% of intermediary organizations collaborate with local communities regarding resource expenditure and management | 30%-65% of intermediary organizations collaborate with local communities regarding resource expenditure and management | More than 65% of intermediary organizations collaborate with local communities regarding resource expenditure and management |

| 6. Training and skill of staff | What is the skill level and extent of training staff of NGO/CBO have received for community based activities? | 6.1 Training of staff | What percentage of staff have been trained to be involved in community based activities? | None or less than 10% have been trained to be involved in community based activities | 10%-30% have been trained to be involved in community based activities | 30%-65% have been trained to be involved in community based activities | More than 65% have been trained to be involved in community based activities |

| 6.2 Skill of staff | None or less than 10% skilled to be involved in community based activities | 10%-30% skilled to be involved in community based activities | 30%-65% skilled to be involved in community based activities | More than 65% skilled to be involved in community based activities |
Annex 3
Comparing Tajik Communities and their stakeholders

Figure A.1: Community

STAKEHOLDER: COMMUNITY
Figure A.2: Local Government

STAKEHOLDER: LOCAL GOVERNMENT

Local Government: Dushanbe-Hoyate Nav
- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership

Local Government: Dushanbe-Sharaf
- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership

Local Government: Faizabad-Taknazari
- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership

Local Government: Faizabad-Lolagi
- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership

Local Government: Kulyab-Tuto
- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership

Local Government: Kulyab-Lohuti
- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership
Figure A.3: National Government

**STAKEHOLDER: NATIONAL GOVERNMENT**

National Government: Dushanbe- Hoyate Nav

National Government: Dushanbe-Sharaf

National Government: Faizabad- Taknazari

National Government: Faizabad- Lolagi

National Government: Kulyab- Tuto

National Government: Kulyab- Lohuti
Annex 4

Information about the Six Pilot Communities

Dushanbe- Hayote Nav

The Mahalla “Hayote Nav” (“new life”) is located in Dushanbe’s Frunze District, one of the least developed areas despite its location in the center of the capital. According to the indigenous population of the mahalla, it was founded in 1933 within a rural district, which later was renamed “Stalinobod District”. The first residents were Dushanbe Tajiks and a few Kazakh families, and their livelihood was cotton-growing. Later, when Dushanbe expanded, the mahalla ended up almost in the center of the capital. Despite its location, the lifestyle and mindset of the mahalla remains rural. During the meetings and discussions, residents referred to their mahalla as “kishlak” (village), not as “street”, like most Dushanbe residents do.

Population: 1,910 (average household size 7.2).

The mahalla is split into 3 smaller neighborhoods:
- The north-west part is Karotegini Tajiks (Karotegin is situated in the south-east of Dushanbe);
- The south-east part is mainly Uzbek
- The central part has a mixed ethnic population.

Gender Composition: 41% male and 59% female. Of the total number of women 15% are widows.

Ethnic Composition of mahalla:
- 1,298 Tajiks (68%)
- 573 Uzbeks (30%), majority of which are Urguts (a Region in Uzbekistan);
- 38 Other (2%- Russians, Moldavians and Kazakhs).

Water Resources. The Hisor Channel to the north provides water to the mahalla, and another river exists in the east. These rivers serve both as potable and irrigation water sources. They are not accessible to the entire mahalla; pumps are needed to provide water to the remaining residents.

Land Resources: Total area of the personal plots is 2.8 thousand sq. meters, 1.0 thousand sq. meters of which are irrigated. Total dwelling space is 68,95 thousands sq. meters.
**Information Networks:** About 80 percent of the mahalla population has TV sets; less than those—radio. Along with these sources of information, there are other informal sources: neighbors, relatives, market, tea-house (chaikhanas), street, mosque and other public places. Some of the residents said they believe more in informal sources of information, rather than formal.

**Community Strengths:**

Women are considered active members of the mahalla. Most decisions, however, are still carried out by men. The reason given for this was that when men congregate for prayers, they often begin informal discussions of local problems and sometimes resolve these problems jointly. Women take a very active role in other public discussions, such as at the school. Women’s leadership ability is often seen as merely assisting males in public celebrations and resolving family conflicts between women.

**Community Constraints:**

**Community Organizations:** The community organizations are, for the most part, perceived to be ineffective. Reasons given for this included the difficult economic situation; potential leaders have little time to spend on community activities when their families are going hungry.

**Communication with authorities:** Communication remains a major weakness of the community. Relations with national government authorities occurs in a top-down manner and there is one-way accountability. Most communication takes place through the Mahalla chairman, who reports the mahalla’s problems during regular meetings with the District Hukumat. There are no formal communication or feedback mechanisms.

**Lack of leadership:** According to mahalla residents, the mahalla has a powerful, and yet untapped, resource in its people. Their perception is that the mahalla chairman is responsible for realizing social capital. During the discussions, most residents stated that the chairman lacks the leadership skills to mobilize human resources. Other potential leaders in the community lack skills or formal acknowledgement, without which it is difficult to mobilize the community.

**Household Expenditures:** Mahalla residents suffer from basic economic hardship. One focus group drew a diagram of basic expenditures and about 75 percent of their incomes is spent on food.
There is little left over for basic goods and services, like hospital visits and school books. Socio-economic stress causes labor migration, especially among men. Table 1.1 summarizes the results.

**Figure B.1.1: Summary of Household Expenditures as Identified by Focus Group 4**
Figure B.1.2: Dushanbe-Hoyate Nav

Community: Dushanbe-Hoyate Nav

- Community Organizations
- Community Involvement
- Social Capital
- Access to basic services
- Employment
- Equality in the community
- Ability to mobilize resources
- Accountability of community leaders
- Formal Information on Community Leadership Experience in the Community

Local Government: Dushanbe-Hoyate Nav

- Collaboration with Central Government
- Decentralization of Local Government
- Women in Local Governance
- Capacity and Leadership
- Access to Information
- Collaboration with Local Organizations

National Government: Dushanbe-Hoyate Nav

- Awareness of Community Based Activities
- Awareness and Willingness to Address Legal Constraints facing CBD
- Transparency
- Support for Community Based Activities
- Coordination with International Donors

NGO/CBO: Dushanbe-Hoyate Nav

- Awareness of Local and National Government Decentralization
- Resource Control
- Training and Skill of Staff
- Relationship of CSOs with Local Governments
- Exposure to International Organizations
Dushanbe- Sharaf

The Mahalla “Sharaf” (“glory”) is located in the Frunze District of the capital, Dushanbe. Despite its location, it is one of the least developed districts: factories are running at 25 percent of capacity, unemployment is high, and access to services is limited. The Mahalla “Sharaf,” however, is an example of a community with a high level of social capital, and is relatively developed in comparison with other mahallas.

**Population:** 1,065 (average household size 7.6 persons)

**Gender Balance:** 728 men (45%) and 877 women (55%).

**Other:** Number of children under 14 years old: 570 of which are orphans. There are 4 World War veterans; 3 Afghan war veterans and 12 war invalids.

**Ethnic composition of the mahalla:**

- Uzbek- about 55%, mostly Ferghana and Urgut Uzbeks (Regions in the South Uzbekistan)
- Tajiks- about 44%
- Others- (Russian, Uyghurs, and Tatar (1 person))- about 1%. Russian families mainly consist of aged people, which is the main reason they have not left.

Despite diversity in the mahalla’s ethnic composition, nobody could recollect any ethnic conflicts.

**Migration:** During the civil war, the mahalla didn’t suffer much from migration. Community members cite this as a reason for high levels of motivation and commitment to improve life in the mahalla. The community uses local financial and/or material contribution to solve its problems with no dependence on external resources. Because of relatively low unemployment rates, only about 50-70 residents emigrated over the last ten years. This amounts to 5-7 people annually, versus 200 – 300 from other mahallas.

**Unemployment:** Of the total population (1,065), 71 work in the state sector, 900 are employed in the private sector, 423 are entrepreneurs and 311 are registered as unemployed. The main occupation of mahalla residents is baking; the local bakery employs 95 percent of the total labor force. The remaining 5 percent are officially working outside of the mahalla, in different private firms or state organizations, but, because of low salaries, usually contribute to the bakery after work. The bakery also employs children and often contracts to the officially unemployed.
**Education.** Children attend Secondary School number 25, not far from the mahalla. The school is bilingual: lessons are in Tajik and in Russian. According to the mahalla residents, the school functions at an adequate level: it has instructors for nearly all subjects, students have enough textbooks, and there are computer classes.

**Health Care.** The mahalla population has access to basic health care, although surgery and health care are fee-based and expensive. Residents have access to a maternity ward, and home-births are relatively rare. Tuberculosis is not a problem in this mahalla.

**Electricity supply/access:** This mahalla has regular access to electricity. There are several electric transformers here (approximately one for each of the 10 – 15 families), because all the bakery’s workshops are run with electricity. The mahalla pays special attention to this issue: the Mahalla Committee has even appointed its electricity inspector, who deals both with consumers and state services and assists if wires are damaged or transformers burnt. Currently the state electric company urges mahalla residents to replace high voltage lines with underground cables. The mahalla has already started working on this, despite incredibly high prices for these types of the cables (1 meter= ~US $5).

The other electricity-related issue is to replace the wooden electrical poles since about 20 have rotted. To find new poles and set them requires financial resources. Currently, the mahalla is looking for any feasible sources of support to solve this issue, including mobilization of existing internal resources (mainly financial). They realize that it makes no sense to wait for somebody from outside to do this for them.

**Provision of gas:** The first attempt at laying gas pipes to the mahalla was made in 1993 with expected support from Dushanbe. Lack of financial resources quickly brought the project to a halt. Today, the mahalla residents have access to gas, thanks to community leaders like Hakimova Bibijamol (See box).

**Potable water:** The mahalla has access to potable water from the north reservoir.

---

**Leadership Spotlight: Hakimova Bibijamol**

Hakimova Bibijamol is described as a strong leader, and has been instrumental in bringing gas to the mahalla. She took up a collection (both financial and material), contributed her own funds, and revived a project to bring gas to the mahalla residents. Today, most of the job is done: 3,500 meters of pipe have been laid. Mahalla residents pay Bibijamol a small fee to hook up to the gas pipe. Bibijamol thinks she will get a return on her investment, because many residents have expressed interest in using gas for baking purposes, instead of electricity.
**Community Strengths:**

**Social Capacity:** The mahalla “Sharaf” is like a very large workshop: more than 95 percent of its adult population is employed in the industrial bakery. This means that the mahalla residents enjoy a high level of trust and mutual support. This facilitates mobilization of resources and social capital and conflict resolution. The local bakery enforces a sense of community since it requires a high level of common responsibility and mutual support. Households work together both in the bakery and to maintain electric transformers.

**Market Knowledge:** There is a good understanding of how the market works in the mahalla “Sharaf,” and there are 411 small business enterprises registered, including functioning bakery workshops and unemployment office. The mahalla residents possess marketing experience, and capacity and skills for the local market.

**Community Constraints:**

**Lack of Integration:** On the flip side, most resident have little knowledge of events outside of their mahalla; busy work lives leave few residents with time to attend events in neighboring communities, and most do not read newspapers. Only pensioners have close relationships with other mahallas.

**Conflict Triggers:** The residents of “Sharaf” identified several conflict triggers in their mahalla, including corruption and access to basic services. Table 1.1 summarizes the results and looks at programs or initiatives already in place to deal with them. The results show that while community members work to inform their representatives of problems, very few mechanisms are in place to deal with a potential conflict.

**Table B.1.2: Problems Identified in Sharaf and Measures Taken towards Resolving them**

<table>
<thead>
<tr>
<th>Types of services</th>
<th>Areas of Potential Conflict</th>
<th>State sector mechanisms/ measures taken towards conflict resolution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provision of Health Services</td>
<td>Lack of the clear and regulated fees on all types of services</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td></td>
<td>Low competency of doctors/ specialists; “for-fee medical university”</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td></td>
<td>Theft and sale of medical humanitarian aid</td>
<td>Informed. Lack of control over the drug stores</td>
</tr>
<tr>
<td>Service Area</td>
<td>Problem Description</td>
<td>Current Status</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>--------------------------------------------------------------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>Education services</td>
<td>Inadequate equipment in health facilities.</td>
<td>Little progress indicated: International donors assist.</td>
</tr>
<tr>
<td></td>
<td>Lack of teachers in primary subjects</td>
<td>Informed.</td>
</tr>
<tr>
<td></td>
<td>Illegal extortions and lack of clear and regulated fees for services</td>
<td>No increase of the teachers’ salaries</td>
</tr>
<tr>
<td></td>
<td>Insufficient access to textbooks, sale of the donated books</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td></td>
<td>Low quality of higher education</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td>State sector social services</td>
<td>Imposed types of different and unnecessary for-fee services</td>
<td>No mechanisms of participation in decision-making</td>
</tr>
<tr>
<td>(registry office, social protection,</td>
<td>Extortions from everybody, including invalids</td>
<td>No feedback, monitoring and evaluation mechanisms</td>
</tr>
<tr>
<td>pensioners services, allowances, health</td>
<td></td>
<td></td>
</tr>
<tr>
<td>commissions, privileges)</td>
<td>Illegal extortions for services offered</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td></td>
<td>Services- accessible to anybody on fee basis. (Sale of health, invalidity and marriage certificates, etc)</td>
<td>No cross-check mechanisms to assess resolutions of the health certification commission and two-way communication with clients</td>
</tr>
<tr>
<td>Public Utility services</td>
<td>Poor potable water quality, resulting in different water-borne diseases</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td>(pipe water, gas, electricity, garbage</td>
<td>Irregular gas supply, resulting in preventable accidents (explosions, gas-poisonings)</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td>removal, etc.)</td>
<td>Illegal requirements for electricity services</td>
<td>Informed, but no measures taken</td>
</tr>
<tr>
<td></td>
<td>Unreliable garbage collection, late and irregular transportation.</td>
<td>Informed, but no measures taken</td>
</tr>
</tbody>
</table>
Figure B.2: Dushanbe-Sharaf
Faizabad- Taknazari:

About 73,000 people live in the Faizabad District. Ethnic composition of the district is homogenous, i.e. over 99 percent of the population are Tajiks. The district is divided into 5 djamoats, and 72 kishlaks. There is one mahalla committee per kishlak. The kishlak Taknazari is the largest in the Djamoat Mehrobod. Most people work on the collective farm (300 people) or on one of 32 individual farms (142 people).

**Population:** 1,400 (Average household size 10.4)
**Gender balance:** 49% male and 51% female
**Demographic:** 42% under 14 years, 55% 14-60, 3% over 60
**Ethnic Composition:** 100% Tajik (only one Uzbek woman)

**Resources:** Besides land resources, there are two flourmills, one oil refinery, a private grocery store, one school through 9th grade with 275 students, and a first aid station.

**Unemployment:** The main problem for the community is the high level of unemployment for both women and men. Presently, factories and companies are working at 10-15 percent of capacity; of 300 men who used to work at the local factory, only 30 remain employed today, and the collective farm Mehrobod employs not more than 30 women. Over 130 men, or an average of two men per household, are labor migrants to the Russian Federation.

**Education.** The school’s building is outdated, and in the winter there is no heat. There is no gymnasium or cafeteria, and the windows are covered with polythene. The toilet is broken, and during breaks children have to go home. There are no textbooks, desks or chairs. Because the school has no bars on the windows, they cannot lease computers from the district Department of Education. About 90 percent of students are children from poor families.

**Electricity:** The results of the survey showed that at present over 90 percent of electricity supply lines of the kishlak are in a state of disrepair. The electric grid was constructed over 40 years ago and has not been repaired regularly, leaving it very susceptible. About 35 households on the outskirts of the kishlak don’t have electricity at all. The community somehow maintains the power system, but they need material resources. To solve some of these problems, the community organizes volunteers from the community on a regular basis (“hashar”). These groups carry out partial repairs of the local school and the electrical system. Their main obstacle is lack of material resources.
**Health.** The first aid station is unable to dispense aid at the moment. The building is caving in, and is unheated in the winter. There is a lack of water, medical equipment and medicine.

**Land.** The leader of the djamoat is in charge of allocating land for building houses and for garden plots. The decision, however, is made by the hukumat chairman, claiming to represent the djamoat chairman. Most members of the community are not satisfied with land distribution.

**Community Strengths:**

**Mahalla Committee:** The mahalla committee is very active in conflict resolution, organization of work programs, and mobilization of resources. It is not, however, a legal entity, which results in legal problems for independent initiatives organized by the mahalla committee for problem-solving, property ownership, receiving resources and funds, and interaction with other organizations. The community uses only financial resources collected in a specially established fund, generated from mandatory contributions of community members as well as voluntary contributions of wealthy people of the village. The funds are primarily used for urgent activities necessary for the community, support of some needy community members, assistance in carrying out weddings and funerals, etc. The abilities of the fund are limited, and problems requiring large financial and material expenses are funded by the state or international organizations.

**Women’s Council:** The Women’s Council is mainly engaged in conflict resolution, distribution of information about reproductive health among women, and mobilizing women to public work - “hashars”. Although according to its status, women’s committee is an independent organization, it interacts with the chairperson of the mahalla committee on almost all issues. At present, over 70 percent of men, mainly heads of the households, are working as labor migrants Many women became leaders of the households because their husbands are temporarily absent and they actively participate

---

**A Community works together:**

Until 1999, the community’s main problem was the lack of potable water. People drew their water from canals, and, as a result, about 60 percent of the local population was consistently sick with typhoid fever and other infectious diseases. The community members headed by the chairman of the mahalla council applied to the National Social Investment Fund of Tajikistan (NSIFT). NSIFT Representatives assessed the mahalla, conducted seminars and met with community members. The community members contributed 20 percent of the overall project costs, and elected a “water committee” to monitor work done by construction organizations. Today, the community has clean potable water, and the number of typhoid cases has dropped off dramatically. The project has proven itself to be sustainable and the community itself maintains and repairs the water system.
in general meetings and discussions conducted in the mosque. Women also actively participate in public works. For example, during implementation of NSIFT water supply project, almost all women dug trenches and were active implementers of that project.

**NGO Faizabad:** NGO Faizabad has been active in the Djamoat Mehrobod, with a population of over 3,000. They have brought in international donors and organizations to aid in solving problems of potable water, founding women’s sewing factories, and distributing humanitarian aid. Presently, NGO Faizabad is working on a beekeeping development project in the district, with the help of international donors. In addition, the NGO Faizabad works to educate women and girls in the district through seminars and workshops. Since its inception, NGO Faizabad has involved over 2,000 people in its projects.

**Community Constraints:**

**Conflicts over Resources:** Land is the main resource in the community, but access to it is limited. The leader of the djamoat is in charge of allocating land for building houses and plots of land attached to the house. These decisions are made only by the chairperson of the district hukumat upon representation of the djamoat chairperson. Community leaders, including chairperson of the mahalla, do not have legal authority to manage land resources, because the mahalla council is not a legal entity.
Figure B.3: Community Faizabad Taknazari

Community: Faizabad- Taknazari

- Community Organizations
- Community Involvement
- Social Capital
- Access to basic services
- Employment
- Equality in the community
- Ability to mobilize resources
- Accountability of community leaders
- Formal Information on Community Leadership Experience in the Community

Local Government: Faizabad- Taknazari

- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Collaboration with Local Organizations
- Women in Local Governance
- Capacity and Leadership

National Government: Faizabad- Taknazari

- Awareness of Community Based Activities
- Support for Community Based Activities
- Transparency
- Coordination with International Donors
- Awareness and Willingness to Address Legal Constraints facing CBD

NGO/CBO: Faizabad- Taknazari

- Awareness of Local and National Government Decentralization
- Collaboration with Local Government
- Resource Control
- Relationship of CSOs with Local Governments
- Exposure to International Organizations
- Training and Skill of Staff
Faizabad- Lolagi:

The kishlak, or village, of Lolagi is one of five villages in the Djamoat Vashgird (pop. 5,000). Before the civil war, over 340 people were employed in a factory for breeding pedigree poultry, and over 200 employees worked at the poultry factory. Lolagi was built in 1978 to house the employees of these factories. At that time, over 50 percent of the total population were of European nationalities (Russians, Germans, etc.). Today, these factories have virtually shut down. During Soviet times, Lolagi was considered an urban-type community; local infrastructure, housing and communal services were in excellent condition. Today, much of the existing infrastructure is in a state of disrepair.

**Population**: 3,500 (Average household size 10.3)

**Gender Balance**: Not Available

**Ethnic Composition**: 95% Tajik, 3% Uzbek, and 2% Russian.

**Unemployment**: The level of unemployment in the community is very high, especially among women and youth. Before the civil war, two big poultry factories employed approximately 600 people. Most were highly skilled specialists (electrical engineers, mechanical engineers, veterinarians, etc.) Today, these factories are closed; only about 10 people work there as guards ensuring equipment security. Only 5 percent of community members are considered employed (mainly as teachers, health workers and technical personnel of the factories), and the majority of the male population works in Russia (estimated at 300-350 people).

**Potable water**: One of the main problems for the community is the limited access to potable water. Before the beginning of the civil war the community members had access to potable water from deep wells using high-powered pumps. The poultry factories were in charge of water extraction and pump maintenance. During the civil war, constant electricity outages caused the pumps to fall into a state of disrepair. The factories later could not repair the pumps because of financial and material constraints. Today, water is supplied every other day for 20-30 minutes. In the winter, constant electricity outages mean that water is almost not supplied at all.

**Water for irrigation**: There is limited water for irrigation in the community, so most people cannot even grow anything in small plots for their own use. The community members say that although they live in the rural area they buy agricultural products at the market.
**Electricity:** Before the civil war, the community enjoyed all municipal services: central heating, water supply and sewer systems. Most of these services exist only sporadically today, and many residents complain that their reinforced concrete houses are impossible to heat in the winter.

**Education:** The secondary school is one of the best in the district, with about 700 students. The school's main problems are: classrooms are not heated during the winter, there is a lack of school supplies, and there are no foreign language teachers.

**Health:** Over 70 percent of women give birth at home, because of the high costs associated with a visit to the hospital. A rural ambulance (SVA) provides a therapist, gynecologist-obstetrician, nurse and medical attendant work. Due to the low quality of potable water two years ago the majority of community members had typhoid fever. At present this disease is almost eliminated. Such diseases as goiter, infectious diseases, especially among children, malaria and anemia among women are widespread. Almost all children have been inoculated.

**Polygamy:** The results of the survey carried out in the community showed that there are cases of polygamy in the community. Some people explain as a necessary practice due to the wife’s inability to have children, while others blame the high level of labor migration among male population. But almost all respondents noted difficult economical conditions of the majority of families as the main reasons.

**Community Strengths:**

**Social Capital:** The study showed that the community has experience of mobilization of financial and material resources but dishonesty of the previous chairperson of the mahalla committee had negative impact on the level trust in such forms of problem solving. The former chairmen of the mahalla committee collected money from community members several times but used it mainly for personal purposes and never reported to community members. When the new chairperson was elected the situation started to change for the better, as seen with the construction of a new water supply pipe. People started to gradually understand that they can solve their own problems only by mobilizing financial and material resources.
Sense of Ownership: When people elect their leader themselves, then they are somewhat responsible for his actions and follow him. The example is the current chairperson of the mahalla committee who was elected by the people, and he successfully implemented a potable water project. The issue of project’s sustainability will depend on who will be the owner of these projects.

Mobilization of Resources: The community has the capacity to mobilize financial and material resources. They have highly skilled specialists in all areas and in comparison to other communities more people have higher education, including women.

Community Constraints:

Integration: The results of the study showed that the level of integration among the community and other villages is almost non-existent. The main reason for this is that the population of this kishlak are migrants from other regions of the country. This community differs greatly from other communities of Faizabad district. People from different regions live in this community and each group has its traditions and customs, some more traditional and religious than other. This affects the formation of a consolidated community that is able to successfully solve its problems.

Community Needs: Who Knows Best?
One of the most pressing issues in Lolagi was the lack of potable water. One international organization hoped to address this issue, and constructed a water pipe from the spring, about 2 km away from the kishlak. About six months after the completion of the project the spring dried out. Many community members think that using spring water in the kishlak was not sustainable, since springs depend on rainfall in the winter. The community members were not consulted, and as a result, the project was not sustainable. Currently a new pipeline is being constructed to bring water from a neighboring kishlak, about 8 km away. The community started to lay pipes using “hashar” method.
Figure B.4: Community Faizabad-Lolagi

- **Community: Faizabad-Lolagi**
  - Community Organizations
  - Community Involvement
  - Linkage with Local Government
  - Linkage with National Government
  - Linkage with NGO/CSO
  - Formal Information on Community Leadership Experience in the Community
  - Accountability of community leaders
  - Ability to mobilize resources
  - Equality in the community
  - Employment
  - Access to basic services

- **Local Government: Faizabad-Lolagi**
  - Collaboration with Central Government
  - Decentralization of Local Government
  - Access to Information
  - Collaboration with Local Organizations
  - Capacity and Leadership
  - Women in Local Governance

- **National Government: Faizabad-Lolagi**
  - Awareness of Community Based Activities
  - Awareness and Willingness to Address Legal Constraints facing CBD
  - Transparency
  - Coordination with International Donors

- **NGO/CSO: Faizabad-Lolagi**
  - Awareness of Local and National Government Decentralization
  - Collaboration with Local Government
  - Training and Skill of Staff
  - Relationship of NGOs with Local Governments
  - Exposure to International Organizations
Kulyab- Tuto

According to residents, the village Tuto was established more than 40 years ago. Most people believe that the name of the village originated from the word “tutho” (mulberry trees) – trees that at that time were growing everywhere. The basic livelihood of residents at that time was gardening, silkworm breeding, cattle breeding, and growing grain crops. Today, the village Tuto part of the Bakhlobi Jamoat (District), whose office is located in the village.

**Population**: 1,744 (Average household size 8.3)
**Gender Balance**: 49% male and 51% female.
**Ethnic Balance**: 96% Tajiks, 4% Uzbek

On the whole, relations with Uzbeks are friendly, and there is no history of conflict of any kind on ethnic grounds.

**Land**: The kishlak residents rent 340 ha of land to cultivate agricultural crops on non-irrigated slopes of hills in a radius of 1.5-4 kilometers. Wheat and flax are the staples in the locale. People also raise cattle. This year one family started beekeeping.

**Water**: Access to water resources is rather limited. People pump water from an artesian hole. During Soviet times, 10 artesian holes provided water to the kishlak residents. Today, most pumps are broken, and the kishlak lacks the financial and technical means to repair them. The problem was partially solved in 2001 with the help of international organizations, but problems remain, especially for those families who live far from the water line.

**Gas**: More than 90 percent of households of the village are supplied with natural gas. Residents worked together to lay the pipeline from the nearby brick plant to the village.

**Electricity**: At present all households are supplied with the electric energy.

**Other**: A primary health unit, a secondary school, and two mosques are present in the kishlak along with the Tebalay Tenant-Farmer Association, the Jamoat, dekhkan farms, and the Internal Affairs Unit. The cooperative “Guldast,” which produced pottery, is currently not operational. The nearby brick factory employs 40 people.
**Community Strengths:**

**Social Capital:** Kishlak residents worked together to design a water project, together with the help of the National Social Investment Fund of Tajikistan (NSIFT). The most active residents of the kishlak were selected into the initiative group called the «Water Committee». Their responsibilities will include mobilization of the community, working out the water supply system blueprints, and post-project servicing of the water-pipe. Currently members of the committee are supervising the work of the construction brigade laying pipes on the territory of the village Balkhobi.

**Local Leaders:** The village residents especially respect Menglikulov Allayor, an Uzbek by nationality. Under his guidance the community has mobilized and during two months the community organized laying gas lines to the village on their own initiative. Even today, residents remember this successful mobilization as an example of the community’s ability to jointly solve local problems.

**Community Constraints:**

**Labor Migration:** Lack of jobs, low family income and expensive life cause that the majority of the population of the village lives in poverty. In spite of that the level of labor migration in the village is not high. During the assessment it was revealed that not more than 5 percent of the adult residents of the village, mainly men, have gone in search of job to Russia. There is only one woman among labor migrants.

**Corruption:** The majority of the village residents complained about the order of distribution of the humanitarian aid. Each of the leaders said that humanitarian aid is distributed directly by the representatives of international organizations among the limited number of beneficiaries, whom they determine themselves. In light of this, discontent over distribution mechanisms is high. Leaders risk losing the confidence of the community members. Formal leaders are also not trusted.

**Community Driven Development: A Case in Point**

The recent project to provide gas to the kishlak took place without any involvement from international organizations. An initiative group of the community’s most active members was formed, regardless of their social and financial status and ethnic origin. The plans were laid out step-by-step in consultation with the Mahalla Committee, the Tenant-Farmer Association, and the Jamoat. Each household’s contribution (both material and labor) was determined, and the entire community mobilized successfully for the project. Community members cite this as an example of cohesion and commitment to a joint effort to meet vital needs of the community.

The work was accomplished 3 years ago with the involvement of practically all members of the community. So far, the project has proven to be sustainable. Every resident is responsible for their own section of the gas-line.
Figure B.5: Community Kulyab Tuto

Community: Kulyab-Tuto

- Community Organizations
- Community Involvement
- Linkage with Local Government
- Linkage with National Government
- Linkage with NGO/CSO
- Formal Information on Community Leadership Experience in the Community
- Accountability of community leaders
- Employment
- Social Capital
- Equality in the community
- Ability to mobilize resources

Local Government: Kulyab-Tuto

- Collaboration with Central Government
- Decentralization of Local Government
- Access to Information
- Coordination with Local Organizations
- Capacity and Leadership
- Women in Local Governance
- Coordination with National Government

National Government: Kulyab-Tuto

- Awareness of Community Based Activities
- Awareness and Willingness to Address Legal Constraints facing CBD
- Support for Community Based Activities
- Transparency
- Coordination with International Donors

NGO/CSO: Kulyab-Tuto

- Awareness of Local and National Government Decentralization
- Training and Skill of Staff
- Resource Control
- Relationship of CSOs with Local Government
- Collaboration with Local Government
- Exposure to International Organizations
Kulyab- Lohuti

The city of Kulyab is located 202 km to the south-east of the capital Dushanbe. It is one of the oldest cities in Tajikistan (nearly 2700 years), and is divided into 36 mahallas and communities, one of which is the mahalla Lohuti. There are different stories as to the original name of the mahalla Lohuti. Some say that in the past it was called Tamoshteppa (“Inspection Hill”), because of the view it provided of the whole city. Others say it was called Guzari Zovut (“factory street”) because of the oil factories, and others still Kup Chanor (Uzbek for “Many Plane Trees”).

In 2002, Lohuti was divided in two parts over disagreements in humanitarian aid distribution. Mahallas Lohuti-1 and Lohuti-2 are situated in the south edge of Kulyab city. The mahallas consist of one street. There is no accurate data on the total population: since the mahalla was divided, neither vakil has managed to collect accurate data on the number of people living in the mahalla.

The research team estimates the following:

**Lohuti-1:**
- **Population:** 1,181 (Average household size: 7.3)
- **Gender Balance:** 54% male and 46% female
- **Ethnic Composition:** Mostly Tajik, about 4% Uzbek and one Mordovian woman
- Relationships with Uzbeks is friendly. It was noted that: “Many Uzbeks have turned into Tajiks”.

**Lohuti-2:**
- **Population:** 898 (Average household size: 8.2)
- **Gender Balance:** 52% male and 48% female
- **Ethnic Composition:** Mostly Tajik. There is no data on the number of Uzbeks living in the mahalla, but relations are considered friendly.

**Water:** Access to water resources is very limited. People of mahalla are supposed to get water that runs from the village Telabay (located nearby in Muminabad district) and from the Jangalboshi source that supplied with water the whole city of Kulyab. But since independence, water supply has been limited. Residents consider the problem of water supply their most pressing need, not only for their mahalla, but also for surrounding communities.

“Water is life. Don’t you ask how much land I have, ask instead how much water I have...”. -Tajik Proverb
Land: Land is considered a pressing problem as well. There are 2-3 families, and sometimes more living on one small plot. There is little opportunity to grow anything because of the lack of water.

Electricity: Everyone in the mahalla has access to electricity, but supply is subject to frequent power outages.

Gas: 33 percent of the mahalla population has access to gas.

Education: There is a secondary school which was built in 1965. There are 1,961 students, 59 percent boys and 41 percent girls, who study in three shifts. The principal of the school noted that enrollment in school begins to decline after 6th grade, because students are often expected to work and help their families financially.

Healthcare: There are no healthcare facilities in the area of the mahalla, and there are only two hospitals in the city of Kulyab. Most community members rarely visit either of these clinics, because of the high costs associated with doctors’ visits. The majority of deliveries happen at home.

Marriage between Relatives: Marriages between relatives are a wide-spread phenomenon, according to respondents in the mahalla. In Lohuti, there are about 10 such families. Mostly this is done as a means of reducing the high costs of a wedding; when the wedding is celebrated between family members, they will often agree to lower dowries, or fewer people.

Unemployment: Under the Soviet Union, a number of factories operated in the city of Kulyab, including a cotton ginnery, a textile factory, a dairy factory and a bakery. Since the demise of the Soviet Union, the total number of jobs has fallen from 21,000 to 9,000. Many inhabitants of the mahalla Lohuti have lost their jobs when factories closed. Today, the main source of income is temporary work, such as loading in the market place or reselling goods. Women work as housewives, cleaners, maids, dish-washers and tailors. Many unemployed youth hawk goods around residential areas. Commodity circulation has ground to a halt. Lack of jobs, low income and increasingly expensive living costs have resulted in extreme poverty for many community members.

Labor Migration: Lack of jobs and low living standards caused economic migration. At the moment, about 3,500 people from the city of Kulyab have migrated abroad for work, mainly to Russia. According to

“what sense does it make if it does not provide food…”
-Focus Group member
the local administration, around 100 people from the mahalla Lohuti have left. Labor migrants mainly include men, but there are women among them as well.

**Community Strengths:**

**Information Networks:** There is no well-established system of access to public information. Most community members receive their information informally, i.e. from their neighbors, which creates a sense of community. Newspapers are expensive, and most community members said they were more concerned with questions of basic survival. Information on national government activities is mostly obtained via television, but frequent electricity outages mean that this information channel is unreliable. Many people have telephone communications that do not work very often.

**Community Constraints:**

**Humanitarian Aid:** The issue of Humanitarian Aid distribution is a contentious one in this region. Despite good intentions, humanitarian aid is often perceived not to promote further development of community, but to cause distrust, and distort community capacity. The results in Lohuti are lack of trust among community members, and local vakils who are replaced about every six months.

**Isolation:** Despite its location in a city, the mahalla Lohuti remains fairly isolated. It has a history of socio-economic decline. When community members cross the mahalla’s border-a bridge of the water drainage system- they say they are going to the city. In addition, the populations of both mahallas in Lohuti no longer communicate with each other, and do not attend the events of one other. Sometimes inhabitants of one side of the street do not know what is happening on the other side.

**Relations with Local Government:** Both parties lack the understanding of social partnership. The mahalla population go to local hukumat only in order to demand to resolve problems and authorities are unable to use the capacity of community and other civil society institutions for constructive interaction as opposite to confrontation.
Figure B.6: Community Kulyab Lohuti
Annex 5

CENA Study Guide

1. Background and Objectives

2. Fieldwork Guidelines

3. Methodology
   3.1 Choosing sites
   3.2 Choosing stakeholders for interviews
   3.3 Conducting interviews
   3.4 Conducting Focus Group Discussions (FGDs)
   3.5 Outputs

4. Scheduling field work

5. Conducting the interviews
   5.1 Preparing for the interview
   5.2 Conducting the interview
   5.3 How to begin the interview
   5.4 Interviewing techniques
   5.5 Note taking
   5.6 Reviewing the interview for write-up

6. Focus Group Discussions
   6.1 How to begin a FGD

7. Writing up interviews and summaries
1. Background and Objectives

Enhancing the capacity of communities to manage their own development poses multiple challenges within the Tajikistan context. One of the challenges is to more fully engage the poor and the excluded in community development efforts so that they might create their own organizations or enhance already existing informal and formal institutions through which they more effectively address their needs and concerns. This empowerment approach to development enables the poor to contribute their knowledge and resources to activities, and to work in better collaboration with local and national government on improving their situation.

Understanding the capacity of any given community to enhance itself is not an easy undertaking. Multiple variables exist that must be considered in tandem with the dynamics between these variables. This assessment endeavors to approach community as the intersection of relationships (or stakeholders) between community members, local government officials, civil society, and national government actors. Not only are the relationships between these stakeholders important, but also the structures, informal and formal rules, legal system, financial opportunities and barriers, and other factors, all play an important role in whether or not a community has capacity to better itself and its members. Therefore, the primary objectives of the Community Empowerment Needs Assessment include:

5. Identify the extent of existing local level capacity, particularly among the poor and socially excluded;
6. Identify the social, political and economic barriers that keep the poor or excluded from participating in community activities;
7. Identify the different strengths and limitations of each stakeholder group; and
8. Develop a multi-year plan of action based on this analysis.

To achieve these objectives, the following activities will be undertaken:

- Design a detailed assessment that addresses the type of skills and information needed by each of the stakeholder groups in the Dushanbe vicinity, including communities, local government, civil society, and national government (see the CENA Capacity Index);
- Organize a multi-stakeholder dialogue in each location to gather different perspectives from participants on the CENA initiative;
- Write a summary of findings and recommendations for capacity enhancement for Community Empowerment for each location, and also synthesize these findings and recommendations into a final report.
2. Fieldwork Guidelines

The Needs Assessment will address the following issues:

For community stakeholders:

14. Provide demographic information on each community: gender, age, ethnicity, & resource base;
15. Identify the extent of local community development efforts already underway;
16. Identify the community context (the socio-political, institutional, legal and fiscal situation).
17. Identify which individuals and organizations have the most respect in the community. Evaluate their relationships with other local leaders.
18. Identify the civil society organizations working in the community (name, length of time, purpose, results)
19. Identify how community members access information. (Radio, newspapers, television, Internet, etc.) (Is there a demographic trend?)
20. Identify the degree to which it is socially acceptable for women to participate in public forums. Also, the extent of female leadership in communities.
22. Identify the types of alliances between villages and communities.
23. Identify the types of linkages the community has with local and state government authorities;
24. Identify which individuals or organizations have access to and/or the ability to mobilize resources;
25. Identify the extent of community knowledge of market, income-generating and livelihood strategies (micro and macro);
26. Identify existing mechanisms to deal with conflicts arising in managing and maintaining community services.

For local government stakeholders:

8. Identify the extent to which information regarding budgets is shared with citizen groups;
9. Identify the number and kind of mechanisms for public discourse between local government and community groups;
10. Evaluate the extent of decentralization of political and fiscal responsibility to local/municipal government level;
11. Identify government-sponsored accountability mechanisms for the delivery of public services;
12. Identify how information is disseminated among community members;
13. Identify which local government officials are appointed/elected with citizen input;
14. Identify who decides which needs of the village should be addressed;

For civil society stakeholders:

15. Identify which informal and traditional institutions exist in the village; and define what they do;
16. Identify the extent to which these institutions play a role in community activities;
17. Identify the number of NGOs or other informal organizations in community;
18. Identify its international partners;
19. Indicate the length of work experience in the community;
20. Identify the material and technical capabilities;
21. Identify the skill level in отношении развития смысла сообществ and professional experience of the staff; качество процессов участия;
22. Evaluate the image of the organization in the community; e.g., is it respected, trusted?
23. Evaluate the ability/ прозрачность of the NGO to work with local authorities and other interested parties; partnership capacity;
24. Evaluate the level of understanding of the regional problems and needs;
25. Identify the extent of regional coverage;
26. Evaluate the transparency in which the NGO manages its activities;
27. Identify its strengths and limitations;
28. Characterize the international donor community’s involvement in the community. Offer a detailed history of this relationship if relevant.

For national government stakeholders:

6. Evaluate the level of devolution of authority (political and fiscal) to local levels;
7. Identify the number and type of public forums in which policies are discussed with civic groups.
8. Evaluate the existence of “freedom of information” legislation;
9. Evaluate the existence of controls on media;
10. Identify which laws impede community action and activities.
3. Methodology

A combination of methods will be used for the assessment. These will include group interaction techniques, participatory action workshops, formal/informal discussions with key stakeholders, community/participants dialogues, participation theory and principles in practice regarding resource management, conflict resolution, identification and solution of problems, etc., structure interviews with open-ended questions (where appropriate) secondary data sources and document reviews.

Envisage outcomes: A detailed report from each pre-selected community, and a synthesis of all the community reports.

Time Frame: Six weeks

3.1 Choosing sites

A total of six pre-identified sites will be investigated. The nine researchers will be divided into working triads. Each triad will do extensive research in two communities.

3.2 Choosing your stakeholders for interviews

Make sure your interviewees represent the various stakeholder groups—community members, local government officials, civil society, and national government (or those individuals who may have direct experience with the gov’t). Also, when choosing community members for interviews or focus group discussion that it is necessary to include a variety of age groups, men and women, poor and non-poor, and different ethnic groups that reflect the demographics of the community.

When you choose individuals to interview, use the following criteria:

- They must be willing to be interviewed
- They must be willing to speak openly and frankly
- They must be able to express themselves fully and easily
- They must have at least 1 to 3 hours of available time.

In each community a minimum of 16 interviews should be completed. The results of these interviews and focus group discussions will be compiled and analyzed by the research triad, which will also complete together the Capacity Index on each community.
3.3 Conducting interviews

At each site, the three-member team will conduct a total of 16 interviews with representative stakeholders. Selection of the community interviewees should include different age groups, gender, and ethnicity, and should reflect the basic demographics of the community. In practice, these may turn out to be household interviews, since often other people will be present in the house when you interview an individual. Each interview should last about 2-3 hours.

3.4 Conducting Focus Group Discussions (FGDs)

Three FGDs will be conducted at each site.
Each session should last approximately 2-3 hours.

FGD 1: Non-poor, mixed age and gender
FGD 2: Poor, mixed age and gender
FGD 3: Special group: Pick a group that stands out as different from the rest of the community. This group can be mixed poor/non-poor.

3.5 Outputs

The research should result in at least 16 narrative interview reports from each community and three FGD reports from each community. There will be one Community Summary required that will summarize the findings from each community. The research triad will fill out the Capacity Index together.

- FGD and Interview Reports: Detailed description and analysis of each FGD discussion and of each interview. Each report should be 3-5 single-spaced pages.

- Community Summary: A 5 to 8 page summary of analysis from each community that describes and analyzes patterns and trends, compares and contrasts with other communities.

- Capacity Index Matrix: This will be completed for each community. The scores should be tabulated and charted.
4. SCHEDULING FIELDWORK (approximately 23-25 days of field research)

Day 1       Team orientation to learn about the community, do necessary mapping, plan a research strategy

Day 2       SITE ONE
Focus group discussion #1
Focus group discussion #2
Detailed Written Reports

Day 3       Focus group discussion #3
Detailed Written Report
Four Individual Interviews
Detailed Written Reports

Day 4       Six Individual Interviews
Detailed Written Reports

Day 5       Six Individual Interviews
Detailed Written Reports

Day 6,7,8,9 Complete FGD and Interview Reports, complete Community Capacity Index Matrix, Summary of Community

Day 10      SITE TWO
Team orientation to learn about the community, do necessary mapping, plan a research strategy

Day 11      Focus group discussion #1
Focus group discussion #2
Detailed Written Report
Day 12  Focus group discussion #3
       Detailed Written Report
       Four Individual Interviews
       Detailed Written Reports

Day 13  Six Individual Interviews
       Detailed Written Reports

Day 14  Six Individual Interviews
       Detailed Written Reports

Day 15,16, 17, 18
      Complete FGD and Interview Reports, complete Capacity Index Matrix and as a team, write up summary

Day 19, 20, 21, 22, 23
      Nine Researchers work together on final report

5. CONDUCTING THE INTERVIEWS

Preparing for the interview

The Individual Interviews may be conducted by either one or two interviewers. In either case, one of the interviewers present must take detailed notes. Remember that the interview should follow the line of questions in the study guide listed above. The Community Capacity Index Matrix also should provide a guide to the issues and themes of the study, but it is NOT a questionnaire. Interviewers should familiarize themselves with the questions before the interview, but feel free to adapt the wording and the order of the questions to the context of the interview. The issues do not have to be covered in any particular order.

If other household members are present during the interview, their comments can be included in the report, as long as you make clear where the information comes from. In all cases, the interviewer should not take information for granted, or assume s/he understands the situation, but should repeatedly ask interviewees to clarify, elaborate, and provide details and examples.
Most important, the interviews should focus on the concrete experiences of the interviewees, rather than the interviewee’s opinions or wishes. Thus, whenever the interviewee expresses an opinion, the interviewer should probe to find out what actual experience this opinion is based on. Encourage the interviewee to “tell stories,” that is, detailed accounts of specific events which illustrate the answer to questions.

**Conducting the Interview**

Remember to use open-ended questions, and to let the interviewee guide the interview. Be sure to address the following questions: who, what, where, where, how, how much – and so what. When interviewees say something in a particularly interesting, expressive or insightful way, try to record their exact words.

**How to begin the interview**

The following is a suggested beginning to an interview. Say it in your own words, in your own way:

Community development depends on the abilities and interests of community members. We are interested in finding out what are the strengths and limitations of your community; how you think it could be improved to better help you and your family; what you think you could contribute to this effort; and how you perceive the interactions among community members, as well as with other institutions.

**Interviewing techniques**

**Introductions**

Begin by making your interviewee feel comfortable. Introduce yourself, be personal and authentic. Engage in a light conversation for several minutes before beginning with the more formal part of the interview. It may be that you will be offered tea and bread. Graciously accept, as it helps to create a more relaxed atmosphere. When you feel that the interviewee has become comfortable with your presence, you can begin by describing the study, your role, and the length of time you think the interview will take. Be sure to explain to them that their comments will contribute to an overall report, and that it will be impossible to identify any individual in this report. Answer any questions
that they might have about the study or your role in it. Allowing for an easy interchange of questions and answers may alleviate any unspoken anxiety they have about the interview.

- Maintain some eye contact or appropriate listening behavior
- Do not interrupt
- Do not argue with their opinions or try to convince them of another view.

Ways to ask questions during the interview

Avoid the use of vague terms

- When people use vague terms such as “occasionally,” “rarely,” “sometimes,” probe for more specific information: “What do you mean by “occasionally”? When you say “sometimes,” how often is that? When is the last time that happened?”

- When asking questions, do not use vague terms such as “Are you occasionally involved in community activities?” INSTEAD: “How many times a week do you meet with others in the community in an informal or formal manner?”

Probing: (encouraging the interviewee to provide more detail)

- Probe for concrete examples (e.g., “What makes you think that?”, “What do you mean?”, “And then what happened?”).

Examples:
  - Can you be specific? Can you give me an example?
  - What are you thinking about? What’s on your mind?
  - Or, say nothing and wait for the person to continue speaking.

Open-ended versus closed (yes/no) questions

- Ask open-ended questions: How has the winter been for you and your family?
- Avoid “yes/no” questions: Was this winter bad for you and your family (such questions allow the individual to answer yes or no, but do not encourage explanation).

Ask both narrow and broad questions: (the following are just examples to illustrate the idea)

Narrow: How many years ago was this road paved for the first time?
Broad: What were some of the most important changes (in people’s lives) that resulted from improvement of the road?

Ask both factual and normative (value) questions: (the following are just examples to illustrate the idea)

Factual: Can you tell me in detail how your wife found her present job?
Normative: What do you think about women working?
Normative: Are there certain kinds of work that are better for women?

Ask both direct and general questions: the following are just examples to illustrate the idea)
Direct  How often do you borrow money to buy food for your family?
When you do x, exactly what do you do?
In general  How often do most people who live near here have to borrow money to buy food
to feed their families?

Some Questions to Avoid:

Leading (when the wording of the questions suggests the “right” answer)

Don’t you think families with fewer children are better off?
Wouldn’t you agree that the city should pay people to clean up the streets?

Asking more than two (or more) questions in one sentence:
Do you think people are increasingly poor because they do not know how to save and spend their money wisely?

Note-taking

• Take notes during the interview (don’t wait until it is over).

• Record the exact words, phrases, grammatical usage, or odd speech patterns.

• Repeat back to the speaker – it might elicit more detail. “You think.?”
I = interviewee, DK = don’t know,

• Take note of interviewee’s facial expressions, non-verbal communication

Go back over your notes IMMEDIATELY after the interview. Fill in the gaps, abbreviations, use appropriate punctuation. If your team members are present, work with them to add notes regarding their perceptions and reactions.

Reviewing the Interview

• What new or unusual use of words or phrases did you notice?

• What new or special things did you learn about your research topic?

• What is NOT clear? What puzzles you?

• What new questions do you have now?

• What were you expecting to see or hear that you did not see or hear?

• What did you learn about the other person’s perspective or view?

• What new ways of leading the conversation / asking questions did you try?
(add your own critical questions to this list…)

6. FOCUS GROUP DISCUSSIONS (FGDs)

Each Focus Group Discussion should consist of 8 to 10 participants.

How to begin the FGD

The following is a suggested opening. Say it in your own words in your own way:

Enhancing the capacity of communities to manage their own development poses multiple challenges within the Tajikistan context. One of the challenges is to more fully engage the poor and the excluded in community development efforts so that they might create their own organizations or enhance already existing informal and formal institutions through which they more effectively address their needs and concerns. This empowerment approach to development enables the poor to contribute their knowledge and resources to activities, and to demand accountability for ineffective management and the misuses of resources and services.

*Remember:* Before the FGD begins fill out a Data Sheet for each participant on the form provided (see annex). Although all the following issues should be addressed, feel free to vary the order in which you bring them up.

7. WRITING UP THE INDIVIDUAL INTERVIEWS AND FGD’S

Each day you should complete the reports for each Individual Interview and each FGD. The final day at the second site the team should write an Oblast Summary Report (4-6 pages).

Upon completion of the Interview and FGD reports, please email these to Janna Ryssakova, Project Coordinator at Counterpart Almaty:

**Outputs: Interview and FGD Reports**

- Each report should be no less than 5-8 single spaced pages of narrative, including quotations.
- The DATA SHEET, matrices, and lists should be attached at the end of the report. Remember that the visuals are only tools to encourage discussion.
- Discuss the local terminology used by participants to talk about communities; include terms in the local language along with explanations of the term’s definition, meaning and social/cultural context.
• Be careful to describe the actual discussion rather than speculating; record differences of opinion rather than lumping all interviewees together.

• The reports should follow the suggested Capacity Index Matrix Format

The Interview Data Sheet should be translated into Russian and Tajik.
• 100 data sheets should be given to each team
INTERVIEW DATA SHEET

Fill out the following DATA SHEET for each individual interview, and for each focus group discussion participant. Questions 17=19 are intended only for the individual interviews.

1. Name of interviewer____________________
2. Date of interview_______________________
3. Place of interview (e.g. interviewee’s home; workplace, etc.)___________________
4. Explain the criteria for choosing this person to interview’______________________
5. First name or initials___________
6. Gender: Male or Female (circle one)
7. Age_______
8. Ethnicity___________
9. Marital status: Unmarried, married-- how many years married______, divorced, widowed (& how many years living as a widow), living in an unregistered marriage (circle one)/what years?_____
10. Number of biological children_________
11. Number of people living in household_________
12. Number of children under 18 years living in household__________
13. Is the household headed by a female or male?_____________
14. Level of education of interviewee_____________
15. Pre and post-transition occupation of interviewee ____________/___________
16. Employment status (official and unofficial) of interviewee _____________
   To be filled out only for individual interviews

17. Approximate socio-economic class of household (based on interviewer’s observations of house and possessions)_____________

18. Household resources (house, car, sheep, cows, chickens, land, garden plot, other)__________________________________________________________

19. Detailed description (several paragraphs) on the condition of the interviewee’s house/apartment and household possessions as compared to others in the community.
## Annex 6

**Participants, CENA Review Workshop**

### List of workshop participants on Capacity Enhancement Needs Assessment (CENA) on Community Empowerment in Tajikistan

**October 16, 2003**

<table>
<thead>
<tr>
<th>#</th>
<th>Name</th>
<th>Organization</th>
<th>Telephone #</th>
<th>E-MAIL</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Tatyana Bozrikova</td>
<td>Advisor of the President of the RT on Social Development and Public Relations</td>
<td>21 48 78</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Sherali Zardov</td>
<td>NSIFT</td>
<td>21-67-44; 21 60 23</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Akmal Dadajanov</td>
<td>NSIFT</td>
<td>21-67-44; <a href="mailto:akmal@nsift.tojikiston.com">akmal@nsift.tojikiston.com</a></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Abdulkosim Kotibov</td>
<td>NSIFT</td>
<td>21 60 93</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Maksud Muhuddinov</td>
<td>NSIFT</td>
<td>21-67-44; 21 60 23</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Firuz Saidov</td>
<td>The Chief of Socioeconomic Development Department, Strategic Research Center</td>
<td>27-59-80 <a href="mailto:fsaidov@cada.tajik.net">fsaidov@cada.tajik.net</a></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Dilorom Rakhmatova</td>
<td>Main Specialist of Socioeconomic Development Department, Strategic Research Center</td>
<td>24-12-49</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Djura Latipov</td>
<td>Director, Parents and Teachers Association</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Local Government, leaders of initiatives groups and communities

<table>
<thead>
<tr>
<th>#</th>
<th>Name</th>
<th>Position</th>
<th>Telephone #</th>
<th>E-MAIL</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.</td>
<td>Sojida Abdurakhmanova</td>
<td>Deputy Chairman of Hukumat, Hissor district</td>
<td>26-6-74; 25-3-02</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Umedjon Rahimov</td>
<td>Leader of Youth Initiative Group, jamoat Safina, Fayzobod district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Nuriya Rajabova</td>
<td>Deputy Chairman of Khukumat, Fayzabad district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Said Khuseinov</td>
<td>Community leader, jamoat Taknazari Fayzabad district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Safar Begmatov</td>
<td>Community leader, jamoat Balkhobi, Muminobod district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Partob Pudinaev</td>
<td>Community leader, jamoat Hayoti Nav, Dushanbe</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Dilshod Gulov</td>
<td>Community leader, jamoat Sharaf, Dushanbe</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name</td>
<td>Position/Role</td>
<td>Contact Information</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Tojiddin Shamsov</td>
<td>Community leader’s consultant (former leader), jamoat Sharaf, Dushanbe</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Abdujabbor Sattorov</td>
<td>Community leader, jamoat Lolagi, Fayzobod district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Abdullo Khalimov</td>
<td>Chairman of the Initiative group, jamoat Taknazari, Fayzabad district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Jabbor Yormatov</td>
<td>Community leader, jamoat Lohuti, Kulob</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Zubaid Boboev</td>
<td>Religious leader, Fayzabad district</td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Khumorbi Ibrohimova</td>
<td>Director of the Secondary School, Jamoat Balkhobi, Muminobod district</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**International, local NGO and donors’ organization**

<table>
<thead>
<tr>
<th></th>
<th>Name</th>
<th>Organization/Contact</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>22</td>
<td>Geoff Howse</td>
<td>USAID/AED Basic Education Sector Strengthening Peaks Project.</td>
<td>21 08 44; <a href="mailto:Jane@msdsp.automail.com">Jane@msdsp.automail.com</a></td>
</tr>
<tr>
<td>23</td>
<td>Jane Cooper</td>
<td>MSDSP</td>
<td>24 05 12; 24 74 18; 24 70 19; Fax 51 00 61</td>
</tr>
<tr>
<td>24</td>
<td>Kishwar Abdulalishoev</td>
<td>MSDSP</td>
<td>24 76 50</td>
</tr>
<tr>
<td>25</td>
<td>Jayne Barlow</td>
<td>AKF/Canada</td>
<td>(613) 237 2532, <a href="mailto:jayne@akfc.ca">jayne@akfc.ca</a></td>
</tr>
<tr>
<td>26</td>
<td>Linda Cloutier</td>
<td>First Secretary (Development) Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan, Turkmenistan Canadian Embassy</td>
<td>7 (3272) 50 11 51, Fax: 7 (3272) 58 24 93</td>
</tr>
<tr>
<td>27</td>
<td>Wendy Darby</td>
<td>AKF</td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>Andre Poulin</td>
<td>AKF</td>
<td></td>
</tr>
<tr>
<td>29</td>
<td>Mukim Mallaev</td>
<td>IFES</td>
<td>21 70 98; 21 80 51</td>
</tr>
<tr>
<td>30</td>
<td>Barno Gaibulloeva</td>
<td>CHF International</td>
<td>21 75 59; 24 85 11</td>
</tr>
<tr>
<td>31</td>
<td>Gulayozov</td>
<td>CAMP</td>
<td>21 02 27 27 94 22</td>
</tr>
<tr>
<td>32</td>
<td>Ismatullo Ismatulloev</td>
<td>FAO</td>
<td>24-43-42</td>
</tr>
<tr>
<td>33</td>
<td>Mahbuba Sheralieva</td>
<td>PIU Health</td>
<td>24 44 13</td>
</tr>
<tr>
<td>34</td>
<td>Sharipov Abduzarov</td>
<td>PIU Education</td>
<td>21 79 73; 23 45 83</td>
</tr>
<tr>
<td>35</td>
<td>Saodat Bazarova</td>
<td>World Bank</td>
<td>21-07-56</td>
</tr>
<tr>
<td>36</td>
<td>Ross Pavis</td>
<td>World Bank</td>
<td></td>
</tr>
<tr>
<td>37</td>
<td>Mary Mc Nail</td>
<td>WBI</td>
<td><a href="mailto:Mmcneil@worldbank.org">Mmcneil@worldbank.org</a></td>
</tr>
<tr>
<td>38</td>
<td>Cristina Vladu</td>
<td>WBI</td>
<td><a href="mailto:cvladu2002@yahoo.com">cvladu2002@yahoo.com</a></td>
</tr>
<tr>
<td>39</td>
<td>Ann O'Donnel</td>
<td>WBI</td>
<td></td>
</tr>
<tr>
<td>40</td>
<td>Janna Risakova</td>
<td>WBI</td>
<td>50-19-50</td>
</tr>
<tr>
<td>41</td>
<td>Malik Khokhar</td>
<td>WBI</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Name</td>
<td>Profession</td>
<td>Phone Numbers</td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------------------</td>
<td>---------------------------------</td>
<td>-----------------------------------</td>
</tr>
<tr>
<td>42</td>
<td>Safarbek Soliev</td>
<td>Social Scientist</td>
<td>21 78 79; 23 39 50</td>
</tr>
<tr>
<td>43</td>
<td>Zarrina Musaeva</td>
<td>Zdrav Plus</td>
<td>24 53 69; 21 82 44</td>
</tr>
<tr>
<td>44</td>
<td>Zilya Shomahmadova</td>
<td>Urban Institute</td>
<td>24 61 61; 21 77 26</td>
</tr>
<tr>
<td>45</td>
<td>Alisher Mahmudov</td>
<td>Counterpart International</td>
<td>21-75-59; 24-43-49</td>
</tr>
<tr>
<td>46</td>
<td>Nargis Valamatzade</td>
<td>OSI</td>
<td>21 19 58, 21 32 60</td>
</tr>
<tr>
<td>47</td>
<td>Abel Genevieve</td>
<td>Care International</td>
<td></td>
</tr>
<tr>
<td>48</td>
<td>Ziggy Garewal</td>
<td>Acted</td>
<td></td>
</tr>
<tr>
<td>49</td>
<td>Mahina Mirzoeva</td>
<td>Tajik State University of Foreign Languages</td>
<td>32 87 30</td>
</tr>
<tr>
<td>50</td>
<td>Kakhramon Bakozoda</td>
<td>Sociological Research Center &quot;Zerkalo&quot;</td>
<td>23 55 57</td>
</tr>
<tr>
<td>51</td>
<td>Kiomiddin Davlatov</td>
<td>Development Fund</td>
<td>21 83 52</td>
</tr>
<tr>
<td>52</td>
<td>Alisher Rahmonberdiev</td>
<td>NGO &quot;Manizha&quot;</td>
<td>23 33 84</td>
</tr>
<tr>
<td>53</td>
<td>Barno Kurbanova</td>
<td>Teacher of Gymnasium &quot;Dushanbe&quot;</td>
<td>35 56 48; 23 45 13</td>
</tr>
<tr>
<td>54</td>
<td>Sanavbar Khudoidodova</td>
<td>NGO &quot;Adabsaro&quot;</td>
<td>24 34 46</td>
</tr>
<tr>
<td>55</td>
<td>Jamila Saidova</td>
<td>State Pedagogical University</td>
<td>24 65 54</td>
</tr>
<tr>
<td>56</td>
<td>Maryam Abdurakhmanova</td>
<td>NGO &quot;Umed&quot;</td>
<td>24-22-30; 24-37-10</td>
</tr>
<tr>
<td>57</td>
<td>Sukhrob Rustamov</td>
<td>Dushanbe Civil Society Support Center</td>
<td>24-03-93; 24 82 22</td>
</tr>
<tr>
<td>58</td>
<td>Maryam Mirzoeva</td>
<td>NGO &quot;Faizbakhsh&quot;</td>
<td></td>
</tr>
<tr>
<td>59</td>
<td>Ibragim Tzvetkov</td>
<td>NGO &quot;Tajiktraining&quot;</td>
<td>24 85 11</td>
</tr>
<tr>
<td>60</td>
<td>Davlatmo Yusufbekova</td>
<td>Mercy Corps</td>
<td>21 08 60</td>
</tr>
<tr>
<td>61</td>
<td>Shokirjon Gadoev</td>
<td>Deputy Chairman of Hukumat Vahdat District.</td>
<td>2 23 34; 2 40 66</td>
</tr>
<tr>
<td>62</td>
<td>Andrea Burnoe</td>
<td>Counterpart International</td>
<td>24-85-11</td>
</tr>
<tr>
<td>63</td>
<td>Kibrio Jumaeva</td>
<td>UNDP</td>
<td></td>
</tr>
<tr>
<td>64</td>
<td>Tursunoi Isomiddinova</td>
<td>NGO “Nilufar”</td>
<td>24-20-57</td>
</tr>
<tr>
<td>65</td>
<td>Mavjud Khakimova</td>
<td>NGO “Munis”</td>
<td></td>
</tr>
<tr>
<td>66</td>
<td>Zaro Kurbonbekova</td>
<td>Counterpart International</td>
<td>21-75-59; 24-43-49</td>
</tr>
<tr>
<td>67</td>
<td>Madaminov Abdunabi</td>
<td>Privatization Center</td>
<td></td>
</tr>
<tr>
<td>68</td>
<td>Fattoeva Munavvara</td>
<td>Privatization Center</td>
<td></td>
</tr>
<tr>
<td>69</td>
<td>Shoista Shahimardonova</td>
<td>Translator</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>71</td>
<td>Anna Petrosyan</td>
<td>Translator</td>
<td></td>
</tr>
<tr>
<td>72</td>
<td>Khalikdjanova Lola</td>
<td>MIT Khovar</td>
<td></td>
</tr>
<tr>
<td>73</td>
<td>Sobirov Nozir</td>
<td>TV company &quot;Mir&quot;</td>
<td></td>
</tr>
<tr>
<td>74</td>
<td>Lyudmila</td>
<td>National TV of RT</td>
<td></td>
</tr>
<tr>
<td>75</td>
<td>Representatives</td>
<td>Newspaper &quot;Vecherniy Dushanbe&quot;</td>
<td></td>
</tr>
<tr>
<td>76</td>
<td>Representatives</td>
<td>Newspaper &quot;Asia plus&quot;</td>
<td></td>
</tr>
<tr>
<td>77</td>
<td>Representatives</td>
<td>Radio Broadcasting Company &quot;Vatan&quot;</td>
<td></td>
</tr>
<tr>
<td>78</td>
<td>Representatives</td>
<td>Newspaper &quot;Kurer Tajikistana&quot;</td>
<td></td>
</tr>
<tr>
<td>79</td>
<td>Representatives</td>
<td>Newspaper &quot;Harodnaya Gazeta&quot;</td>
<td></td>
</tr>
<tr>
<td>80</td>
<td>Representatives</td>
<td>Newspaper &quot;Tojikiston&quot;</td>
<td></td>
</tr>
</tbody>
</table>
# Annex 7

## Glossary of Terms

### Glossary of Terms Used

<table>
<thead>
<tr>
<th>TERM</th>
<th>DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>**(D)**jamoat (Tajik)</td>
<td>Administrative division consisting of kishlaks and headed by the chairperson (rais) who is elected on a general meeting by delegated representatives of kishlaks.</td>
</tr>
<tr>
<td>Dehot (Tajik)</td>
<td>rural area.</td>
</tr>
<tr>
<td>Diram</td>
<td>Tajik National currency. (1 somoni = 100 diram)</td>
</tr>
<tr>
<td>Domouullo</td>
<td>1. Religious leader; 2. Expert in Islam</td>
</tr>
<tr>
<td>Gashtak</td>
<td>Rotating meeting of a defined group of people (usually of the same social status)</td>
</tr>
<tr>
<td>Guzar (Tajik)</td>
<td>Part of the mahalla territory, usually a street; street (part of the mahalla): independent division subordinate to the chairperson of the mahalla. The chairperson (rais) of the guzar is elected by inhabitants of the guzar.</td>
</tr>
<tr>
<td>Hashar</td>
<td>Group(s) of people joint free work, traditional collective voluntary work for common needs among the peoples of Central Asia in rural areas.</td>
</tr>
<tr>
<td>Khukumat (Hukumat)</td>
<td>District/city administration, regional (oblast) and district government.</td>
</tr>
<tr>
<td><strong>Kishloq, Kishlak</strong> (Uzbek)</td>
<td>Rural settlement, village.</td>
</tr>
<tr>
<td>Mahalla</td>
<td>Neighborhood, social division consisting of streets (guzars) headed by the chairperson (rais) elected by the people. Self-managed community living in one place, usually consists of several streets or guzars.</td>
</tr>
<tr>
<td>Mahalla Committee</td>
<td>Community self-management organ (board), usually elected on the general meeting of the community members</td>
</tr>
<tr>
<td>Mosque</td>
<td>Muslim church</td>
</tr>
<tr>
<td>Navrouz</td>
<td>Moslem New Year, celebrated on March 21</td>
</tr>
<tr>
<td>Oblast (Russian)/ Viloyat (Tajik)</td>
<td>Administrative division consisting of districts and headed by the chairperson (hokim) appointed by the President.</td>
</tr>
<tr>
<td>Oila (Tajik)</td>
<td>Household consisting of parents (mother and father) and children. Sometimes grandparents are also included in the sense of this word.</td>
</tr>
<tr>
<td>PUSD</td>
<td>Public Utility Services Department</td>
</tr>
<tr>
<td>Raees (Rais)</td>
<td>Chairman, head of the administrative or social unit for example, raisi mahalla, guzar, kolkhoz, etc.</td>
</tr>
<tr>
<td>Rayon (Russian)/ Nohiya (Tajik)</td>
<td>Administrative division consisting of jamoats and headed by the chairperson (hokim) appointed by the President.</td>
</tr>
<tr>
<td>Somoni</td>
<td>Tajik National currency. (3.09 somoni = 1 US dollar)</td>
</tr>
<tr>
<td>Sumalak</td>
<td>National dish, made of raw wheat; usually prepared for Navrouz</td>
</tr>
<tr>
<td>Women Committee</td>
<td>Public Association of Women</td>
</tr>
</tbody>
</table>
Bibliography


