Global Practice for Urban, Disaster Risk Management, Resilience and Land

GUIDANCE NOTE ON
COMMUNITY PARTICIPATION IN SLUM UPGRADING
ANNEXES

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Global Platform for Sustainable Cities

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Contents

Abbreviation

ABCO	Area-Based Community Organization
CAP	Community Action Plan
CBO	Community Based Organization
CDC	Community Development Council
CIUP	Community Infrastructure Upgrading Program
COLODE	*Comités Locaux de Développement* - Local development committees
CPT	Community Planning Team
GRM	Grievance Redress Mechanism
KISIP	Kenya Informal Settlement Improvement Program
KPI	Key Performance Indicators
LIA	Low-Income Area
MIS	Management Information System
MOS	*Du Maître d'œuvre Social* – Social Project Manager
NGO	Non-Governmental Organization
PAD	Project Appraisal Document
PEEDU	*Projet Eau, Electricité et Développement Urbain* - Water, Electricity, and Urban Development Project
PID	Project Information Document
PIU	Project Implementation Unit
PST	Project Support Team
POM	Project Operation Manual
PNPM	*Program Nasional Pemberdayaan Masyarakat* - National Program for Community Empowerment Program
SEC	Settlement Executive Committee
SEP	Stakeholder Engagement Plan
SNP	Slum Networking Project
SIAP	Settlement Improvement Action Plan
SPCO	Specific-Purpose Community Organization
TOR	Term of Reference
TST	Technical Support Team
UDPNUP	Urban Development and Poor Neighborhood Upgrading Project
UUPCRS	Upscaling Urban Poor Community Renewal Scheme
VUUP	Vietnam Urban Upgrading Project

Annex 1. Institutional Arrangement

As is the case for any development intervention, slum upgrading involves a range of actors with varying roles and responsibilities. A strong coordination mechanism that facilitates effective communications vertically and horizontally is critical for applying a systematic approach to facilitating community participation. Figure 4 visualizes common actions that occur at three levels of governance – national, regional/city and sub-city/local/project – in support of slum upgrading and highlight opportunities for active participation. This Annex first describes this generic institutional arrangement for slum upgrading and focuses on social intermediaries and community-based organizations as facilitators of community participation.

Figure 1. Slum upgrading activities at national, municipal/city and local/project levels
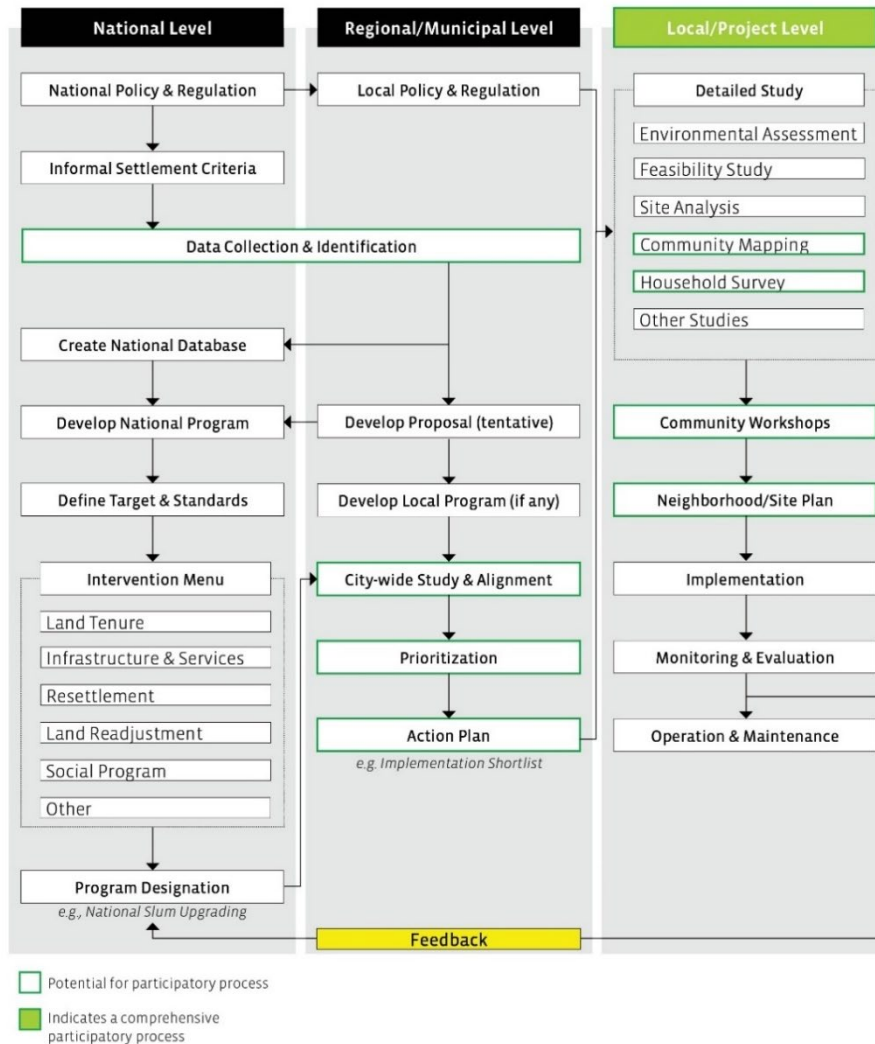
National level

At the national level, a ministry or agency in charge of housing, land, public works, urban development, or infrastructure is usually a program or project promoter and directly engages with external partners such as the Bank. Horizontally, it collaborates and coordinates with other national stakeholders through a special

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taskforce or committee. A clear platform for coordination such as a special taskforce is essential for multi-sectoral efforts like slum upgrading. Key responsibilities of the national stakeholders include:

1. Prepare policies and regulations for slum upgrading and guide relevant infrastructure investment, especially those that are handled by national agencies. The national program can also set principles and provide a framework for community participation in upgrading;
2. Coordinate horizontally with national-level entities through the task force to ensure synergy between various high-level development initiatives;
3. Allocate fund, manage resources, and provide technical supports for other stakeholders particularly at the city and project level; and
4. Monitor and evaluate project implementation, which will provide feedback for scaling up a initiatives into a sustainable program.

Key features of a coordinating agency for slum upgrading:

- ✓ An **institutional mission and mandate** that legally allows the agency to play the coordinating role
- ✓ **Core technical capacity** in at least some of the disciplines involved and willingness to procure any elements that may be missing
- ✓ A good track record of **experience in area-based urban planning and management**
- ✓ **Authoritativeness** that makes it likely that other agencies will agree to work under its coordination
- ✓ A **good image and reputatio**n for past achievements that make it a strong advocate and catalyst of resource mobilization for the program
- ✓ **Internal motivation and incentives** to seek a coordinating role and play it effectively.

Source: Imparato and Ruster (2003), p.179

City level

Municipalities, and in some cases, regional governments work with the national government or take own initiatives to design and implement slum upgrading projects. In a centralized government system, the guidance and direction from the center tends to be followed. In a decentralized system, municipalities usually have more autonomy and authority in shaping its urban development, including for slum areas. Where municipalities may have their own slum upgrading initiatives and resources, they need to be aligned with other slum upgrading projects in the country – for a standalone city-initiative, it is important to make this linkage back to the national framework. Key responsibilities of the city stakeholders are:

1. Collect data of slum areas in the city and prepare database;
2. Align slum upgrading projects with city plans;
3. Develop selection criteria and prioritize informal settlements for the program;
4. Set up a project implementation unit;
5. Engage with communities throughout design and implementation; and
6. Coordinate with national and other stakeholders.

In general, city officials have better understanding of slum areas in their city and more opportunities to engage with local communities and organizations, which are important for laying the foundation for community participation. NGOs, if existing, could play a major role at the project level in delivering physical and community development. Program/project management unit usually engages NGOs with strong presence in local communities. Those with relevant experience and adequate capacity can be selected to carry

out part or whole of the project in coordination with the local government units, like in the Philippines' Upscaling Urban Poor Community Renewal Scheme Project (UUPCRS). Such selection should sometimes be approved by the task force or committee at the national level.

Project level

Project level stakeholders are those directly involved in upgrading specific settlements and can vary in different context. Stakeholder mapping is critical for a slum upgrading project to recognize everyone involved at this level and develop appropriate engagement strategies. The most important stakeholder is a participating community itself who should be at the center of this participatory process. A community is not simply a project beneficiary but a development partner who has something to offer. Community members should organize themselves, for example, into a community-based organization (CBO), for their representation and effective engagement. Community and CBO are among the focus of this guidance note and will be discussed further in the following sections.

1.2 Social Intermediaries

Citizen/community participation, although underlined in principle, is not always fully embedded in development planning and implementation practices. Facilitating community participation in slum upgrading beyond consultation requires an enabler to navigate the institutional arrangement depicted in Figure 2 and be a sustainable platform dedicated to that purpose.

Effective social intermediaries can play such role of an enabler, providing socio-technical supports in the slum upgrading process, linking social and technical spheres, and bridging participating communities with the authorities. Various entities can perform as a social intermediary or provide socio-technical support – NGOs, private firms, municipal departments, or even universities or research institutes – with core qualities as described below.

Core qualities of social intermediaries for slum upgrading[1]

1. Genuine interest in the urban poor, demonstrated by a track record of development activities in low-income urban areas and ability understand and adjust to community dynamics
2. Strong professional team with essential skills: social workers, social scientists, engineers, architects, planners, economists, project managers, and communication experts
3. Strong conflict resolution and negotiation skills on the part of all team members, regardless of their professional background
4. Culture of interdisciplinary teamwork
5. Specific experience in and access to necessary methodology and tools (or willingness to hire specialists with the requisite know-how and experience)
6. Knowledge of the local cultural and political context and ability to partner effectively with its key actors
7. Use of a proactive, problem-solving approach and mental and organizational openness with flexibility to accommodate changing needs and circumstances.

Role of social intermediaries

Social intermediaries or facilitators are expected to engage with communities and support them throughout the slum upgrading process, by providing socio-technical support and connecting them with the government,

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[1] Imparato, I., & Ruster, J. (2003). Slum upgrading and participation: Lessons from Latin America. The World Bank.

contractors and other service providers. The following table[2] summarizes social and technical support that intermediaries can provide at each stage of a slum upgrading project.

Table 1. Role of social intermediaries during the slum upgrading process

Stage	Focus
Initiation	• Gathering basic information to define the entry points for participation • Analyzing alternatives and developing a participatory strategy
Planning	• Eliciting and organizing participation in planning, i.e., communication strategy • Participatory information gathering and analysis • Participatory evaluation of needs and demands • Discussing and negotiating alternatives • Participatory planning of proposed interventions • For community managed activities: conducting intense training activities

Implementation	• For contractor-managed works:
	  ○ Ensuring continuous and adequate information flow
	  ○ Coordinating contractors and communities to plan work phases
	  ○ Supporting households affected by specific work fronts and resettlement
	  ○ Planning for moving families to temporary shelter and later back into their own homes
	  ○ Managing accident prevention and general troubleshooting
	• For community-managed works: providing technical and administrative assistance to works execution
	• Socio-economic, civic activities
	  ○ Promoting responsible attitude toward consumption of water and energy, disposal of solid waste, and payment of bills and taxes
	  ○ Preventing/managing new informal land occupation in area, especially risky/hazardous areas and land set aside for community uses
	  ○ Helping communities manage microcredit schemes and providing technical assistance for home improvement and generation of employment and income
	  ○ Health and environmental education

Post-Implementation	• For sustainability of investments:
	  ○ Monitoring use of project benefits (e.g. promoting correct use of new infrastructure) and operation/maintenance of infrastructure
	  ○ Promoting care and maintenance of public spaces and urban equipment
	  ○ Awareness-raising regarding rights and access to appropriate authorities

Institutional arrangements with social intermediaries

Depending on who plays the role of a social intermediary and how its relationship is with other key actors, different institutional arrangements emerge. Scenarios presented below describe different relationships and arrangements between the government (national or city/municipal) as a project promoter, contractors to deliver on infrastructure and service improvement, communities as beneficiaries and owners of improvement and a social intermediary to provide socio-technical support, based on several case studies in Latin America.[3]

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[2] Ibid.
[3] Ibid.

1. City government providing socio-technical support
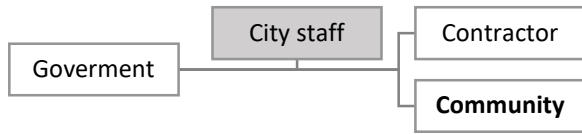
Community engagement and provision of socio-technical support can be managed in-house by the project promoter. This model is common for projects initiated by a national or local government who may have a local presence and knowledge of the local context. The upgrading program in Bolivia and Mexico used this arrangement, where the social department staff of the municipality acted as community liaison/socio-technical support provider. However, they can be technically weak and subject to political influence, which can undermine the intention of a participatory approach to empower communities. Organizations outside the government administration could retain a greater degree of autonomy and independence from any political pressure. This allows them to focus on representing the community and their needs. Further, government employees or contract workers have multiple responsibilities and are often unable to fully dedicate to community engagement and provide adequate support to the community.
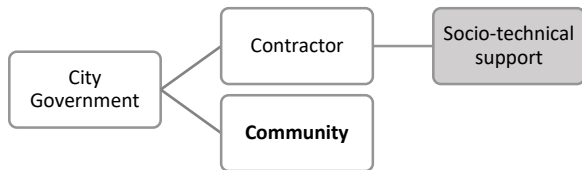
2. Socio-technical support services mobilized by contractors

Socio-technical support providers can be hired by construction contractors, where the cost of such support is included in the overall construction cost. Contractors may be willing to burden this cost when they see the significance of social support for ensuring smooth construction, as shown in the favela upgrading program in Guarapinga, Brazil. In this case, construction firms were initially reluctant to accept the need of socio-technical support but *"are now the first to admit that nothing could have been done without it"* (Imparato and Ruster 2003, p. 102). This model is also often used in the context where the government's experience and capacity are limited in carrying out effective community engagement.

3. Social intermediary hired by the government
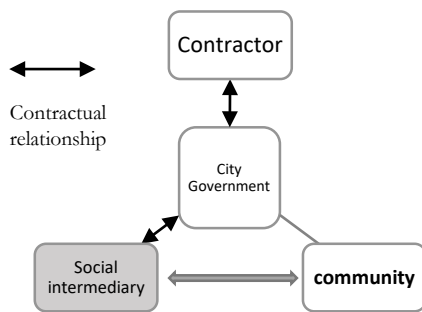
Social intermediary can be hired by the government (city or national). This is a common practice in a context where the importance of socio-technical support for slum upgrading has been widely acknowledged, and the market has evolved to address the limitation of in-house staff providing it. Governments as project promoters often suffer from lacking credibility in delivering on promises, gaining resident's apathy, and providing adequate channels for information and communication. Social intermediary organizations are hired for their skills and experiences in engaging with and providing services to informal settlements. For instance, Diagonal Urbana, a private company specialized in participatory planning and community mobilization, was hired by the municipality in Cingapura (and by the contractors in Guarapinga as mentioned in the previous model). They worked closely with municipalities, social workers, and construction firms and helped communities incorporate their demand and concerns in the slum

upgrading program. For the City without Slum program (KOTAKU) in Indonesia, the government recruited individual facilitators, and trained and deployed them to sites to work with several communities. These facilitators are typically locals (but not necessarily from within the community) with relevant background and social or technical expertise. Recruiting local facilitators also reduces logistical challenges while also help the program better reach the communities.

4. **Social intermediary hired by the community**
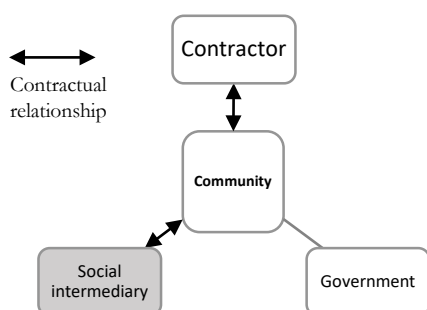
Social intermediary can also be hired by the community, particularly in a bottom-up model where communities have full or most control over slum upgrading. In this case, communities usually select contractors themselves as well. An established community organization is necessary for this model. Once hired, socio-technical support providers have a contractual relationship with the community, while collaborating with the government, contractors and other service providers. The government may assist or facilitate the process, for example, by providing a list of socio-technical support providers to communities for their consideration. Community groups in Mutirao project in Sao Paulo, Brazil, developed a strong professional relationship with the socio-technical support providers through contracts. This relationship, which is not exclusive to this model, is crucial in extracting local knowledge and supporting meaningful participation. In this model, there is also healthy competition among providers, which leading to reasonably priced and quality services on offer. Alternatively, social intermediary may be hired from within the community, but this model may not be ideal since outside intermediaries are often recognized as more reliable, less personally involved and better at bridging the program with the community. They can offer broader outlooks regarding the context.

A longer timeframe for socio-technical supports is highly desirable for enhancing project's sustainability and engendering cultural or collective behavior changes. However, socio-technical supports provided during the project development rarely extend to the post-implementation phase. For sustaining the level of community participation, organizing communities and building the capacity of community organizations or community leaders should be considered as part of the project.

Community Facilitation in the Urban Development and Poor Neighborhood Upgrading Project (UDPNUP) in Congo

The UDPNUP will establish a Coordination Committee in each participating city, chaired by the mayor and including district mayors, representatives of decentralized government ministries, the municipal technical services departments, the private sector, NGOs and community-based organizations, and neighborhood representatives. To help municipalities to better involve populations in upgrading activities, the project will fund recruitment of community facilitators, to be supervised by a focal point in each municipality. Local development committees (Comités Locaux de Développement, COLODEs) are established informally in each project neighborhood benefiting from PEEDU (Water, Electricity, and Urban Development Project – *Projet Eau, Electricité et Développement Urbain*) financing. They will be replicated in neighborhoods targeted by the UDPNUP and will serve to channel for community participation in the selection and design of infrastructure and services, supported by community facilitators.

The project allocated US$ 3.6 million to one of its subcomponents for community facilitation, consisting of several activities as below to ensure full participation and engagement of communities in various stages of the project.

1. **Community facilitators.** Hired consultants or NGOs will assist residents of targeted neighborhoods (and subsequently other neighborhoods, to be identified) to fully participate and engage in all aspects of upgrading design, from data collection and needs identification in investment planning and implementation to O&M. The intensity of the facilitation support provided will vary according to the level of advancement of activities. While the facilitators will support the beneficiaries, they will not replace the residents in dialogue with the municipalities and central government, and the residents will remain fully in the driver's seat throughout the process. It will be part of the community facilitators' mandate to (i) ensure the involvement of vulnerable groups in selection of investments and (ii) contribute to developing the capacities of municipal staff involved in the process. See Annex 2 for the link to the Terms of Reference (TOR) for facilitators.

2. **Training for neighborhood representatives and city focal points.** Neighborhoods will elect resident representatives to participate in all aspects of upgrading activities. These representatives will receive training to understand basic planning concepts and technical, financial, and economic aspects of infrastructure design and maintenance. Each project city will nominate a focal point person to participate in the same training activities and provide adequate incentives and logistical means to their nominated focal points to participate in project activities, especially given that many consultative activities will take place outside of normal working hours.

3. **Community facilitation activities.** These activities include workshops, press releases/conferences, and other mass communication activities, meetings and focus group discussions, and production of information materials and publications as well as communication campaigns on socio-environmental issues, hygiene, and sanitation.

4. **Training and assistance to develop new income-generating activities for project affected persons.** This training and assistance does not include resettlement compensation, which is financed by the government.

Source: PAD

1.3 Community Based Organizations

In addition to social intermediaries, Community based organizations (CBOs) play a critical role for participatory slum upgrading as an effective platform for residents to channel their voices and engage with other actors. A CBO may have existed in a settlement and can be categorized into an area-based community organization (ABCO) that covers a broad development agenda for the area or a specific-purpose community organization (SPCO) that focuses on a special issue.[4] ABCOs are important partners because they usually have a significant membership base as well as comprehensive knowledge of the area of interest. In comparison, SPCOs are generally smaller and more agile, compact, and focused on a specific problem as illustrated by mothers' groups, parents' school support groups, environmental groups, faith-based organizations and others. Involving both types of organizations at different stages of the project could facilitate strong participation of various community members.

Many slum upgrading programs require communities to form a CBO as one of the conditions to participate in the program, since this indicates the degree of readiness to participate. An organization that represents a

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[4] Ibid.

slum community in upgrading is commonly referred to as a (neighborhood) committee, council, or association. Once formed, they are expected to participate actively in planning and implementing the project. Additionally, they are responsible for gathering information, mobilizing community, quality control, and manage lending activities -- these specific tasks should be agreed upon beforehand. The following box explains how the Kenya Informal Settlement Improvement Program (KISIP) established a Settlement Executive Committee (SEC) in neighborhoods supported by the project for upgrading.

Settlement Executive Committees (SECs)

KISIP required their beneficiaries to form a Settlement Executive Committee (SEC), which was one of the selection criteria indicating community readiness to participate. SECs comprised at least 33 percent women and included representative of vulnerable and marginalized groups (e.g., youth, elderly, disabled) (KISIP PAD, p.10). Landlords and tenants typically made up the largest number.

The SECs led the community in developing a vision and upgrading plan for the settlement and subsequently, approved design and implementation plan before progressing. SECs were supported with extensive capacity building to fully participate in environmental management, monitoring impacts, and maintaining the infrastructure to ensure project sustainability. The role of SECs across project steps were:

1. Initiation: Documenting and reporting community's view, disseminating information to the community, and coordinating stakeholders.
2. Implementation: Identifying existing resources within the community, updating the community of the project progress, and accompanying technical staffs.
3. Monitoring and evaluation: identifying issues and problems and communicating them with the relevant stakeholders.
4. SECs also contribute to sharing knowledge and lessons learned for future implementation.

In practice, SECs faced some challenges in carrying out their role, including inadequate facilitation, such as office space and equipment and lack of incentives to dedicate time to the activities as membership is voluntary. Therefore, it is important to design a system that acknowledges the role of SECs and legitimizes their operation. Additionally, SECs are also exposed to political interference that could affect meaningful participation and complicate the effort to accommodate the diverse stakeholder interest.

Potential members of a neighborhood committee
• Landlords/Homeowners
• Tenants
• Business owners
• Older people
• Women
• Youth
• People with disabilities
• Religious leaders
• Local leaders
• Facilitators
• Local officials

A community organization usually comprises of diverse members of the community, typically 15-20 representatives elected by residents. In the Ahmedabad Slum Networking Project (SNP), a CBO (residents' association) represents 200 households and comprises 9-12 executive members (Das and Takahashi 2009). In Afghanistan's National Solidarity Program (NSP), a neighborhood group of 200-250 households forms a Community Development Council (CDC) (French et al. 2019). They are elected by the residents and mandated to undertake neighborhood upgrading and community development initiatives. The composition of the committee is important to ensure equal participation of various groups, especially in consideration of the local culture and particular attention to vulnerable groups. For example, the National Program for Community Empowerment (PNPM) in Indonesia supported gender sensitive meeting arrangements to successfully boost female participation in Aceh. The Afghanistan Participatory Slum Upgrading typically has separate male and

female CDCs for each neighborhood, where they prepare their own plans separately and later share and agree on sub-projects for the neighborhood.

Further, legal recognition of CBOs is an important requirement for them to create formal agreements with other stakeholders, especially with the project promoter and service providers. Formal agreements allow CBOs to have clear authority and responsibilities and increase transparency and accountability. The box below shows the elements of a contract that can be considered in working with CBOs.

Elements of a Well-Designed Contract

- Effective and termination dates
- Rights and responsibilities of the parties
- Goods and/or services to be delivered
- Calendar of activities
- Price of goods and/or services and links between deliverables and payments
- Reporting requirements and performance indicators
- Payment and surety mechanisms
- Dispute resolution mechanisms
- Appropriate representatives of the parties

Notably, community organizers spend significant time and resources in carrying out their tasks. The project should develop a clear compensation and reimbursement mechanism to make sure that their effort is rewarded (in kind and/or financially). Compensation can be based on the time spent for specific tasks, such as a fee per questionnaire for data collection, time spent for leading community meeting and producing the minutes, etc.

Annex 2. List of Relevant Projects and Documents

Region	Project ID	Project Name	Document
World Bank Projects			
AFR	P162901	Djibouti Integrated Slum Upgrading Project	- PAD
	P113542	Kenya Informal Settlement Improvement Program	- PAD - POM - SUP
	P167814	Kenya Informal Settlement Improvement Program II	- PAD - POM - VMGF - ToR for Planning Consultant
	P172862	Rwanda: Advancing Citizen Engagement Project	- PID - SEP
	P165017	Rwanda Urban Development Project II	- PAD
	P146933	Republic of Congo Urban Development and Poor Neighborhood Upgrading Project	- PAD - POM (part 2 and part 3) - ToR for Social Project Manager Consultant - Urban Upgrading Note
	P070736	Tanzania Community Infrastructure Upgrading Program	- CUP
EAP	P070197	Vietnam Urban Upgrading Project	- PAD - POM
	P113904	Mekong Delta Region Urban Upgrading Project	- PAD - POM
	P159397	Scaling Up Vietnam Urban Upgrading Project	- PAD
	P154782	Indonesia National Slum Upgrading Program	- PAD - ToR for MIS Consultant
	P125405	Indonesia National Program for Community Empowerment	- PAD - POM
ECA	P174316	Kyrgyz Republic Village Improvement Project	- PID - Learning Note
	P104994	Bishkek and Osh urban Infrastructure Project	- POM
	P115460	Kyrgyz Urban Infrastructure Project	- POM
MNA	P172246	Saudi Arabia Urban Development and Management Programmatic RAS	- Guidelines
LAC	P159843	Argentina Metropolitan Buenos Aires Urban Transformation project	- PAD - POM
	P159929	Argentina Integrated Habitat and Housing Project	- PAD
	P146460	Jamaica Integrated Community Development Project	- PAD - POM
External Projects			
AFR		Kinshasa Participatory Slum Upgrading Program	
		Kigali City Wide Slum Upgrading	
EAP		Thailand CODI and Baan Mankong	
SAR		Afghanistan Participatory Slum Upgrading	
		Ahmedabad Slum Networking Project	
LAC		San Jose (FUPROVI) Urban Low-Income Housing Program	
		Sao Paulo Guarapinga Program	
		Medellin Proyecto Urbano Integral (PUI)	

2.1 Engagement Modality in Various Slum Upgrading Projects

Project	Description	Implementing Agency and Social Intermediaries	Engagement modality
Kenya Informal Settlement Improvement Program	Improving living conditions in informal settlements through (1) strengthening institutions and program management, (2) enhancing tenure security, (3) investing in infrastructure and service delivery, and (4) planning for urban growth.	The Ministry of Housing (MoH) is the executing agency, with a project coordination team (PCT) created for coordination. The selected municipalities implement the activities and M&E at the settlement level.	1. Settlement Executive Committees (SEC) was established and participated in project design and implementation. 2. A community resolution is submitted to the municipality and the MoH. 3. Project implementation teams worked with SECs as well as NGOs and CBOs
Jamaica Integrated Community Development Project	Enhancing access to basic urban infrastructure and services & improving community safety. Implemented in 18 inner-city communities with high levels of poverty and crime.	Implemented by the Jamaica Social Investment Fund (JSIF), a limited liability company established as part of the National Poverty Alleviation Strategy.	Community Liaison Officers worked with community members, NGOs and CBOs as well as government authorities.
Vietnam Urban Upgrading Program	Series of urban upgrading projects: Low-income communities contributed to the project through land, labor and otherwise.		Communities were engaged through consultants hired for developing community upgrading projects and municipal/city governments.
Indonesia National Slum Upgrading Program	Communities are given resources and technical assistance to implement their priority sub-projects.		Government hired community and technical facilitators managed by consultants.
Sao Paulo Guarapinga Program		Department of Housing of the Municipality & Diagonal Urbana (private consulting firm)	
Afghanistan Participatory Slum Upgrading			The Community Development Council's represent the community to participate in the planning and implementation process
Ahmedabad Slum Networking Project		Local agencies and NGOs implement the project	
Djibouti Integrated Slum Upgrading Project	1. Developing strategic framework for slum upgrading and prevention 2. Participatory upgrading investments in selected urban areas	1. ARULOS (Agency for Slum Upgrading and Social Housing) are delegated by the MoH to oversee implementation. ARULOS may delegate the execution of certain tasks to the relevant institutions 2. Community facilitators are stationed at each slum area	1. Extensive consultation at different project stages to inform prioritization and validate the proposed plans. 2. Establish the Community Development Fund to support micro-projects and capacity building.

Annex 3. Sample Documents from Slum Upgrading Projects

3.1 Outlines of the Community Upgrading Plan from Mekong Delta River Urban Upgrading Project

1. **Introduction**
a. Overview of the project in the city
b. Overview of the socio-economic conditions of the LIAs (1/2 page)

2. **CUP implementation process** (from 1 - 2 pages)
Present clearly steps for implementation of the CUP, clarify objectives and expected outputs in each step.

3. **Community consultation: Process and outputs (about 6 pages)**
a. Describe activities related to supply/dissemination of project information to the people at the initial stage of the project
    i. Information provided to local people
    ii. Method of information dissemination
b. Summary of the discussions and outputs (1st community meeting)
    i. Number of participants (man/women, number of the poor
    ii. households according to criteria of the MOLISA)
    iii. Representatives
    iv. Focus of discussion
    v. Outputs/major proposals
    vi. Summary of the utilization of the outputs for next meetings/related
    vii. project activities
c. Summary of the discussions and outputs (2nd community meeting)
    i. Number of participants (man/women, number of the poor
    ii. households according to criteria of the MOLISA) (if any)
    iii. Representatives
    iv. Presentation of the collected socio-economic information of LIAs to local people
    v. Community consultation activities
    vi. Focus of discussion
    vii. Outputs/major proposals
    viii. Summary of the utilization of the outputs for next meetings/related project activities
d. Summary of the discussions and outputs (3rd community meeting)
    i. Number of participants (man/women, number of the poor households according to criteria of the MOLISA) (if any)
    ii. Representatives
    iii. Discussion on the expectations and the local people possible contributions to the project. Agreements with the local people on exemption of contribution, etc. must be clarified.
    iv. Focus of discussion
    v. Outputs/major proposals
    vi. Summary of the utilization of the outputs for next meetings/related project activities
e. Include the table of comparison between the initial proposal (planned) and the final outputs which have been achieved by community consultation, which will clarify the role of local people during the consultation process.

4. **Technical standards (Design and details of technical standards included in the annexes)**

5. Budget
a. Forms of community's contribution
    i. Ability of voluntary contribution
    ii. Contribution by labor, etc.
    iii. Ability of poor households and vulnerable group contribution.
    iv. (Clarify how much is contribution of 3-5% - how much/household or
    v. per capita. How much the contribution (%) in compare with the
    vi. household's income, particularly poor/vulnerable households
b. Solutions for poor/vulnerable households of the project
c. Management mechanism for financial contributions

6. Social impacts

7. Environmental impacts

8. Implementation plan

9. Community level management structure

10. Operation and Maintenance Plan
    i. Issues of discussion and agreements with the community on estimated costs, the community's contribution, and households subjected to exemption/reduction (the estimated O&M costs are provided by the local management agency?)
    ii. Plan for training on community monitoring and management skills. According to this plan, the community monitoring committee should be established.

Annexes
    i. Memos (of the meetings with community).
        It is not necessary to include all minutes of meetings in the report. Only one sample of the minutes with name of participants and their signatures are included, the minutes and questionnaires will be included in a separate annex.
    ii. Technical standards
    iii. Maps

3.2 The Community Upgrading Plan in Tanzania CIUP

The Community Upgrading Plan (CUP) in Tanzania Community Infrastructure Upgrading Programme (CIUP) Phase II is prepared by a consultant, whose scope of work include the following:

1. Development and Finalization of the Community Upgrading Plans (CUPs) in consultations with municipal councils, communities, relevant central government agencies, local authority departments, utility companies and the World Bank
2. Environmental Impact Assessment to include Environmental Management Plan and the Resettlement Action Plan for the selected communities
3. Development and finalization of the Detailed Engineering Designs, Cost Estimates to 10% accuracy and Bid documents using World Bank formats including drawings suitable for constructions and technical specifications, all using the CIUP Operation Manual.
4. Finalize CIUP Investment Program providing details of all interventions including those related to capacity building and their corresponding detailed costs.
5. Develop CIUP Phase II Implementation Plan

CUP Compilation entails the following process:

Steps	Contents	Activities
1	Introducing the project	• Meeting with community, introduce program and formation of Community Planning Teams (CPT) selected by community members • The CIUP Project Support Team (PST) has organized meetings for Technical Support Teams (TST) and CPT in each CIUP areas. • The CIUP – PST has also launched the program and has carried out trainings with the selected sub-wards to introduce contents, targets, principles, standards, methods, deadline of the project, enhancing capacity and skill, method of project implementation
2	Prioritization by community of infrastructure upgrading improvements	• Adopt participatory tools • Each community identifies their problems related to infrastructure • Each community identifies their needs for improvements • Each community prioritizes their infrastructure upgrading improvements
3	Collecting baseline information and identifying community's infrastructure needs and preference	• The CIUP – PST also introduced the consultant's team to TST and CPT, and the sub-ward governments and the community at large • Design appropriate socio-economic surveys, carry out surveys in the sub-wards with TST and CPT members participating. • Design infrastructure inventory and condition forms and carry out inventory and condition survey of existing infrastructure in the sub-wards with TST and CPT members participating. • Analyze data collected • Plot the community preferences and priorities on sub-ward maps • Plot the existing infrastructure on sub-ward maps

		• Finding out more information on the community status, needs and participatory abilities, experiences of communities towards the infrastructure improvement.
4	Formulating engineering options to satisfy community demands	• The consultant studies community demands in comparison with the existing levels of infrastructure services, designing standards, based on CIUP II Operational Manual and community abilities. • The consultant makes proposals for infrastructure upgrading including options • The consultant then matches or trims the extent of improvement with the $50 per person and $25,000 per hectare budget. • Need for any resettlement, relocation and compensation shall be identified at this stage and shall be avoided as far as it is possible.
5	Preliminary CUPs and community reviews and consultations	• These above proposals and costs are compiled into the Preliminary Community Upgrading Plans • The Preliminary CUPs are presented to first to CIUP – PIU, TST, CPT and the communities. The consultants show the route and alignments of the proposed infrastructure improvements. • In consultation meetings then the communities, CPT and TST review the Preliminary CUPs, the proposals and provide their comments. • The Preliminary CUPs with the community comments are then presented to the Municipal Council and City Council for review.
6	Final CUPs and community consultation	• Incorporate comments from community, TST, CPT, local authorities into the Final Community Upgrading Plans. • Consult communities, TST, CPT and the local authorities and ensure the scope of infrastructure is fully understood. • Consult communities on resettlement action plan • Consult communities on the operation and maintenance aspects • Consult with communities, TST, CPT and the local authorities and that the costs are fully understood and financing plan between he communities, local authority and the World Bank are understood and community contributions are known with clarity.

7	Community agreement	• Representatives of the local authority, consultants, ward leaders and communities, meet:
		   o To approve preliminary designs after having the community consultation.
		   o To agree selected options based on engineering designs, contribution level, and compensation policy.
		   o To agree on institution, operational organization, monitoring etc.
		• These above agreed contents would be expressed in the Final CUP.
		• The Local Authority, Consultants, Representatives of Local Authorities and Communities will sign an Agreement Minutes of the Final Upgrading Plan.
		• Contents of this Agreement Minutes would be disclosed publicly to every household.

3.3 Term of Reference for Social Project Manager Consultant in Congo UDPNUP

The UDPNUP is working on slum upgrading project in Pointe Noire, and it proposes to use the service of the Social Project Manager (du Maître d'œuvre Social – MOS). The MOS main objectives is to support the PMU in the implementation of upgrading activities and contribute to the project through efficient management of social dimensions. Specifically, the MOS will be involved in three components:

1. Social Engineering
    a. **Ensure community facilitation** of the urban restructuring process through the organization of workshops, press releases, meetings and thematic debates as well as other mass communication activities and communication campaigns on socio-environmental issues, hygiene and sanitation;
    b. **Inform and sensitize local popul**ations on:
        i. the nature, duration and extent of the work and the operations planned so as to avoid disruption and inconvenience related to the execution of the work;
        ii. the importance of the involvement of the populations, their participation and their support in the success of the work;
    c. **Train the populations** in community maintenance of equipment, by equipping them with intervention capacities for the sustainable preservation of infrastructure and urban equipment;
    d. **Anticipate the social impacts** of the project on the population and the surrounding urban fabric;
    e. Contribute to an integrated and intersectoral **design of the project**.
2. Project Owner Assistance
    o Assist the delegated contracting authority in **dealing with issues with a strong social dimension**;
    o Develop, propose and contribute to the implementation of **solutions to problems with high social charges**;
    o **Identify and alert partners** to the social consequences of choices and decisions;
    o Assist the delegated contracting authority and partners in **communicating with the population and promoting the project**;
    o **Facilitate, as much as necessary, the project managers in their interventions** in the PRQ;
    o **Assist the beneficiaries in solving any problems** that may arise with the populations;
    o **Ensure that the recruitment of the workforce** of contract awarding companies is **carried out as a priority in the neighborhoods concerned**;
    o **Participate in technical site meetings**.
3. Social Support
    o Have **detailed knowledge of the context** of the project and the target population;
    o **Ensure that the project benefits align with the identified community needs or expectations,** formulated within the framework of the demographic, social, economic and financial environment;
    o Be **available at all time**;
    o Align the project proposals to its surrounding context **to ensure a sustainable integration into the urban fabric**;

- o **Promote the project to the public** and highlight the benefits and improvements offered by the project components;
- o **Assess households' capacity to contribute** to the upgrading process;
- o **Support new income-generating activities**;
- o **Ensure the sustainability of the interventi**ons.

The MOS team members usually comprises of experts from multiple background such as urban sociologist, geographer, urban planner, expert in urban governance, engineer, communication specialist, and community engagement specialist. The detail of the TOR for this project can be found here.

3.4 Term of Reference for Management Information System (MIS) development

The National Slum Upgrading Program (NSUP) is supporting the Government of Indonesia to achieve the "zero slum" goal by empowering community, strengthening local government roles and accelerating slum improvement. One strategy to monitor and control the performance results Program at any time and online is through the MIS of NSUP, which will also contain data and information. Therefore, a special MIS consultant team will be hired to prepare development and maintenance of MIS/GIS applications, website and database system for NSUP. The team will have the following main scope of works:

MIS/GIS Applications
1. Prepare blueprint of the overall MIS structure, including the main application and all supporting (sub)-applications and database system to be integrated into one MIS structure;
2. Design and develop the MIS and all supporting applications, by using php (laravel framework) and java programming (spring) language;
3. Design and develop mobile version for several applications agreed with PMU and the Bank
4. Develop automated link of the MIS applications to the database system, to ensure data validity and real time data submission from city and community level;
5. Conduct try-out with NMC and OSPs, to make sure that all applications will be running well and applicable in the field;
6. Prepare manuals for data management and application maintenance, both in national and local implementers;
7. Develop a web-based GIS, to be integrated with MIS and database system. The level of integration will be agreed by PMU and the Bank.
8. Develop information and news portal to present general information about the program (policy, manuals, monitoring reports, best practices), as well as regular progress and results (such as KPIs, planning documents, financial disbursement and utilization, implementation progress, spot-check results, etc.)
9. Develop interactive features such as dashboard for Quick Status, Executive Information System (EIS), web-based GIS data, Information Sharing and Complaint Handling,
10. Develop management of data traffic throughout the program areas/locations;

Website
11. Prepare blueprint of the project website, including structure, design/appearance, content, search engine s
12. System, and traffic management;
13. Conduct try-out of the website application with OSPs, to ensure it is user-friendly and easily accessible in any regions;
14. Develop good quality of web search engine that will allow KOTAKU gets to the top results
15. Ensure the website to be running well 24/7 non-stop

Database System
16. Develop a safe and reliable database system, which include data center and back-up system, by using MySQL or PostgreSQL;
17. Conduct try-out of the database system;

Sustainability (Maintenance and Knowledge Transfer)

18. Procurement of Hardware in coordination with Center for Data and Information (Pusdatin)
19. Ensure that system maintenance will include one-year guarantee system;
20. Hand over all the application Source Code to PMU;
21. Ensure knowledge transfer to the relevant teams in the NMC;
22. Prepare manuals and training modules related to MIS/GIS applications, website and database system;
23. Co-organize (with NMC) trainings of MIS/GIS applications, website and database system to relevant field consultants and facilitators

3.5 Stakeholder Engagement Plan

The Rwanda Advancing Citizen Engagement (ACE) Project combines grassroots and policy level activities to improve livelihoods for 17,749 households in 249 villages. The project is implemented through four components:

1. Village and local government capacity building
2. Micro grants
3. National framework for participatory village planning
4. Project management, monitoring and evaluation, and knowledge dissemination

The project ESMF recommends a Stakeholder Engagement Plan should be prepared to guide the implementation process. The overall objective of the SEP is to define a program for stakeholder engagement, including public information disclosure and consultation throughout the entire project cycle.

The SEP identifies the stakeholders of the proposed project and categorizes them into three groups:

1. Affected Parties: persons, groups and other entities within the Project Area of Influence (PAI) that are directly influenced (actually or potentially) by the project and/or have been identified as most susceptible to change associated with the project, and who need to be closely engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures;
2. Other Interested Parties: individuals/groups/entities that may not experience direct impacts from the Project but who consider or perceive their interests as being affected by the project and/or who could affect the project and the process of its implementation in some way; and
3. Vulnerable Groups: persons who may be disproportionately impacted or further disadvantaged by the project(s) as compared with any other groups due to their vulnerable status, and that may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project.

For each stakeholder within the groups, the SEP elaborates its key characteristics, expected interest of the project, specific needs and preferred communication channels, which can be seen in detail in the document. The SEP also proposes the strategies for information disclosure and consultation, as shown in the two tables below. Additionally, the SEP also outlines the Grievance Redress Mechanism (GRM) for project beneficiaries and project affected people (PAP), who can submit report through multiple platform such as phone, SMS, website, FGD, and Community GRM Committee.

Proposed strategy for information disclosure:

Project Stage	List of Information	Methods	Timetable	Target stakeholders	% Reached	Responsibilities
Start-up	Project approach, activities, risks, and impacts	District office awareness raising meeting	Within 60 days of project start	Local government officials	80% of local government office	Provincial Program manager
		Village-level awareness raising/ introductory meeting		Village members	80% of all villages	District trainers

	Project documents	Post on website	Within 30 days of project start	Donors, Board of Directors, any other interested parties	N/A	Project managing director
Project implement ation	Updated project documents	Post on website	Within 30 days of updates being confirmed	Donors, Board of Directors, any other interested parties	N/A	Project managing director
	Updated project approach, activities, risks, and impacts	District office awareness raising meeting	Within 30 days of updates being confirmed	Local government officials	80% of local governme nt office	Provincial Program manager
		Village-level awareness raising/ introductory meeting		Village members	80% of all villages	District trainers
Project closure	Project handover/exit information	Village level and local government meetings	90 days prior to project close	Village members and local government officials	80% of all villages and local governme nt officials	District trainers
	Project impact statements and progress reports/ evaluations	Report dissemination through websites and a conference	Within 90 days of project closure	Any concerned stakeholders	All relevant central and local governme nt officials	Project managing director

Proposed strategy for consultation:

Stakeholder Group	Methods of Consultation	Responsibilities
Village members	• Participatory methods (during village meetings) • Public meetings (regular and bespoke village meetings) • Focus groups on specific topics (as part of GRM and routine monitoring) • Key informant interviews (as part of GRM and routine monitoring)	RELM officers, district trainers
Local government officials	• Quizzes and questionnaires (as part of awareness raising and training activities) • Public meeting (at village level with villagers) • Focus groups and workshops on specific topics • Key informant interviews.	District coordinators, Provincial program managers
Central government officials	• Workshops on specific topics • Formal and informal meeting for discussion and decision-making, including Project Steering Committee meetings.	Project managing director