

President's Office – Regional Administration  
and Local Government (PO-RALG)

# Tanzania Guideline for Community Engagement and Municipal PPP Projects



**PPP Node for Advisory and Guidance Services**  
Client-Orientated, Professionalism, Integrity.

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## ABBREVIATIONS

EIA	environmental and social impact assessment
FS	feasibility study
LGA	Local Government Authorities
PFS	prefeasibility study
PO-RALG	President’s Office Regional Administration & Local Governments
PPP	Public Private Partnership
RAP	resettlement action plan
RPF	Resettlement Policy Framework
TZS	Tanzania Shillings
WB	World Bank

# Summary

## What is the Community Engagement Guideline?

This **Community Engagement Document is a guidance tool**. It provides LGAs practical guidance on how to systematically engage with communities when identifying, preparing and implementing a PPP Project.

LGAs across the country, already undertake some community engagement activities, however the **LGAs indicated they are facing several key challenges in relation to community engagement** for PPPs, including:

- 1) There is no common approach to community engagement among the LGAs. Thus, it is a challenge to determine if engagement was done adequately in different municipalities.
- 2) The LGAs have limited funding to support community engagement programs, and a simple and systematic process would help effectively use their engagement resources.

**This Guideline addresses these challenges by outlining a standardized approach to community engagement** using a 6-step process for effectively engaging the community

**Community engagement will have a positive impact on the LGA process for developing PPPs** by ensuring that projects are addressing the needs the community thinks are a priority. The exact nature of a community engagement program will depend on the PPP being considered and an array of social and environmental factors, but generally, the PPP Node of the PO RALG expects this tool will be used by LGAs as they prepare PPP Projects.



## Why Is Community Engagement Important for PPP Projects?

As LGAs develop PPP Projects, it is crucial that they engage with the community that will be affected by the Project.

### LGAs must design and resource community engagement activities from the earliest phase

as projects are being identified and then continue to engage the community through construction and operation of PPP Projects. While this may have initial costs for the LGA, the long-term profitability of a PPP that has good community engagement will attract private sector partners.

**Engagement is a two-way process**, where it is just as important to listen to and consider community input, as it is to share information or inform communities about PPP activities. Engagement requires that project LGAs address issues and concerns and provide feedback to communities.



The benefits of community engagement are well documented, for example an international study indicated that PPP Projects that engage with local communities have rates of economic returns that were more than twice as high as projects that did not.

Experience shows that Community Engagement will make the LGAs PPPs:

- » **more sustainable;**
- » **more resilient to change;**
- » **more responsive to users;**
- and**
- » **more likely to attract reliable private partners and affordable financing**

## Summary of the 6-Step Community Engagement Process



### Step 1: Define the Purpose of Engagement

Being clear about the purpose of engagement and the key issues to address will set the context for community interactions and manage expectations of those participating in the process. To define the purpose, project proponents must first agree on what can be accomplished with the engagement.

### Step 2: Decide which Community Citizens and Groups to Engage

Create a list of who to engage, with all the community citizens, groups and organizations that could have an interest in the PPP or have some influence over the success of the PPP. The list is a living-document and will evolve over time. It is important to put a good effort into creating the initial list.

### Step 3: Community Engagement Ranking Assessment

To complete a Community Engagement Ranking Assessment, the LGA will need to consider both the level of interest a community group, citizen and organizations may have in the Project and the level of influence they have related to the Project.

### Step 4: Select Methods for Engaging and Implement Engagement Plan

Different techniques and tools can be used by the LGAs to engage the Community's. The LGAs should develop a Project Specific Engagement Plan which should describe proposed engagement strategies, tools, and schedule for engagement during each Phase of a PPP.

### Step 5: Issues Tracking and Complaints Management Process

An issue tracking table should be created to document ideas, concerns or questions about the PPP. Citizens may also have specific grievances about the Project. The LGA needs to have a systematic way of managing complaints and grievances.

### Step 6: Reporting and Monitoring

Accurately recording community feedback, sharing it with the PPP Team and community for consideration in planning and Project design is why engagement processes occur, and is critical to building trust and support among participants. Monitoring the effectiveness of the engagement process is essential to ensuring a successful process.

## Level of Effort for Community Engagement

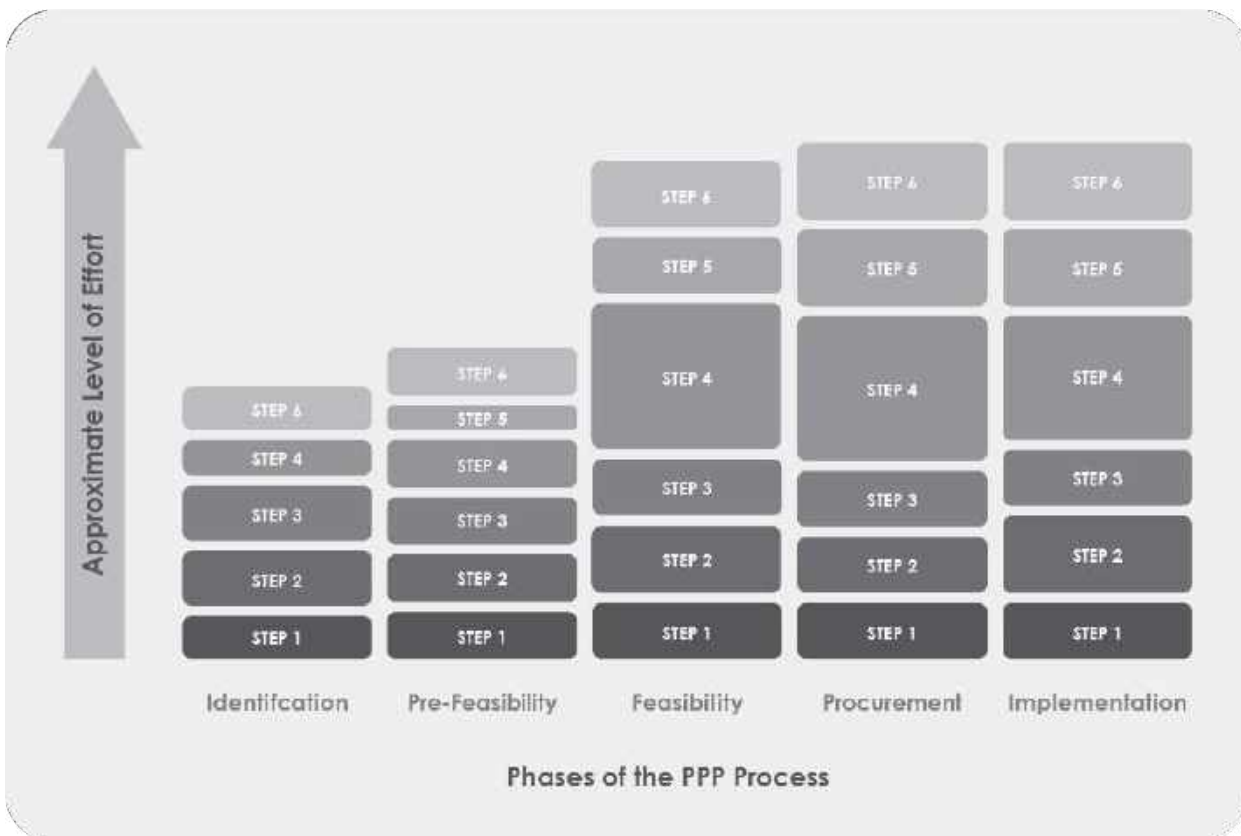


The LGAs should **use this 6-step process for all phases of PPP Project** development. Beginning with the PPP Project Identification through Procurement and into the PPP Project Operation, the LGA will need to regularly engage with the community to ensure a successful process.

**As the PPP Project advances, the level of effort needed to complete the 6-step Community Engagement process will increase.**

The PPP Identification Phase may rely more on the knowledge of LGA staff to begin to identify key community members and groups, but as the PPP moves into the Feasibility and Procurement Phases, it will require more intensive engagement directly with the community, using a variety of engagement tools and techniques.

The graphic below, illustrates how the level of effort for community engagement increases as you advance through the PPP Phases.



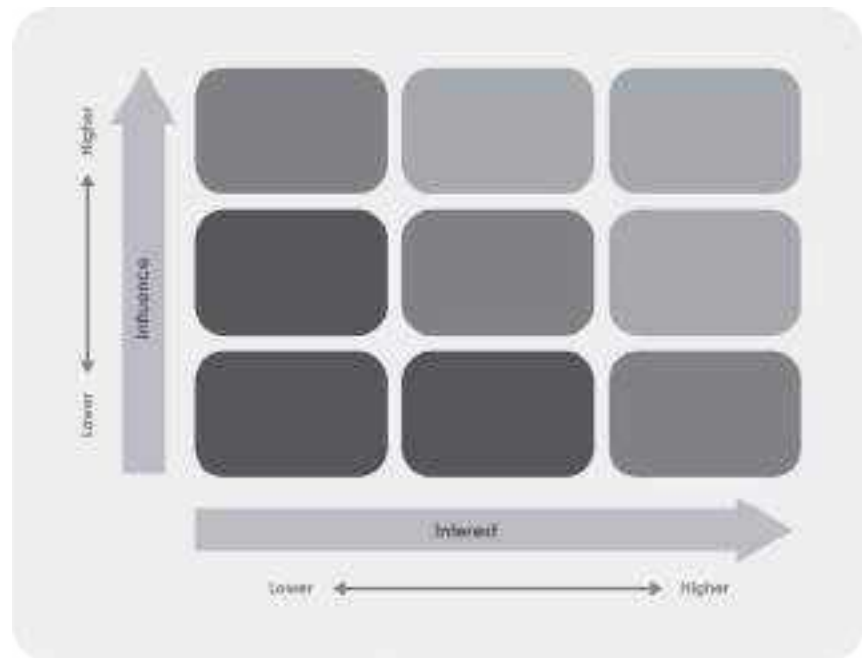


## Ranking and Mapping for Community Engagement



**Steps 2 and 3 are key to ensuring community engagement is effective.**

Identifying community citizens, groups and organizations who could be affected by the PPP Project is a key first step. The LGAs need to ensure they use this guideline to consider a wide variety of groups and organizations. This guideline has a list of possible Tanzanian groups and organizations for the LGAs to consider. Ranking the citizens, groups and organizations according to their level of interest and influence in a matrix also needs to be done at the beginning of each Phase of the PPP Process. Sample Ranking Matrix is shown below.



## Reporting, Evaluating and Monitoring

The LGAs will need to use the process in this guidelines to track issues, questions and concerns raised by the Community in an organized and consistent way. The LGAs must document the community engagement work they do, otherwise the Project will not meet the requirements of the Tanzanian PPP Program.

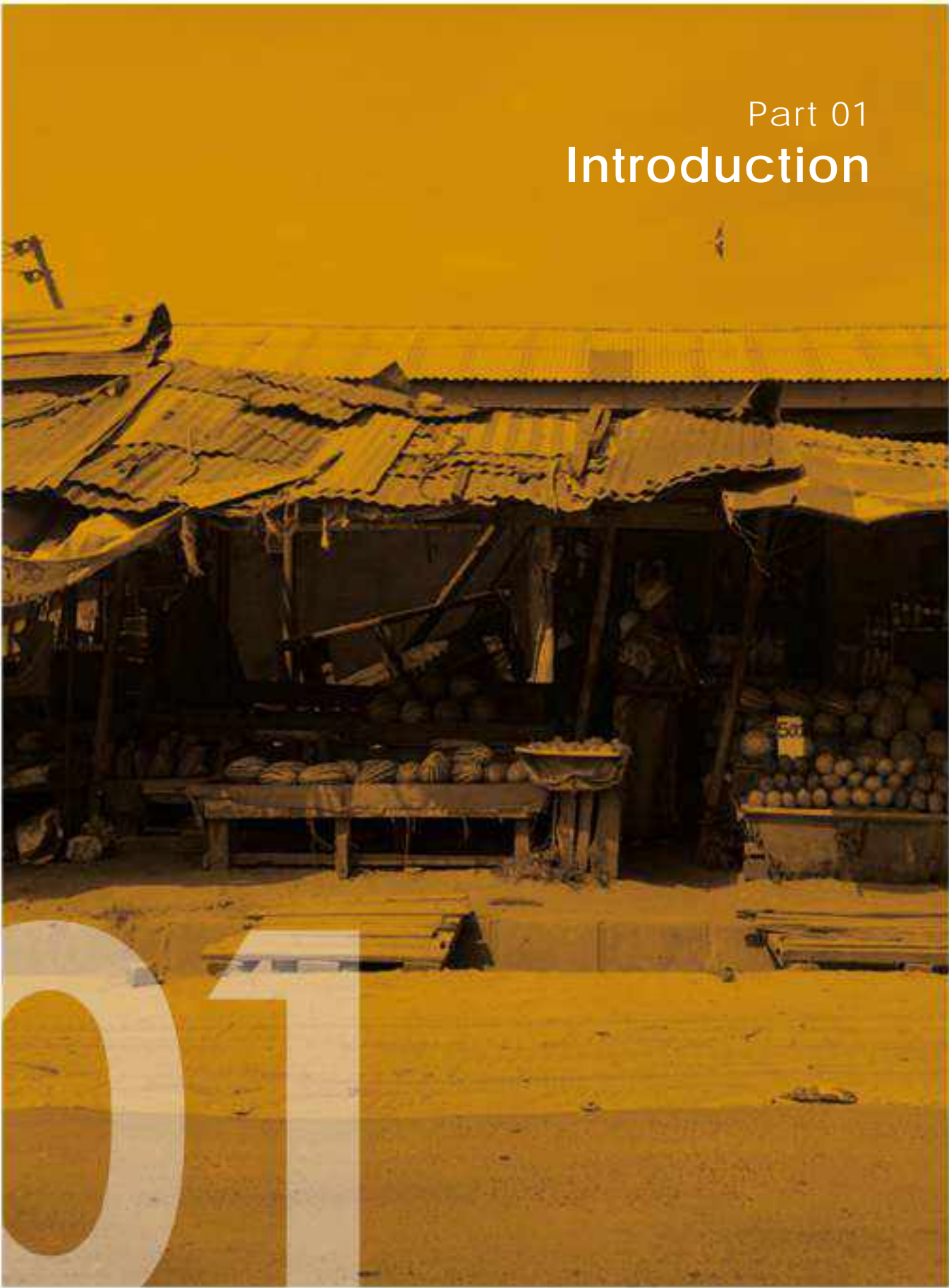
Poor documentation of community engagement work is the biggest weakness of most LGAs engagement processes. If the LGAs do not adequately document all of their community engagement work it will be difficult to build a successful PPP Project.

A Grievance and Complaints Management process needs to be established early in the PPP Process, and this guideline provides advice on how to structure this.

The LGA will also need to monitor their progress, ensure all sub-groups of the community are engaged, determine if the methods and tools they have selected are effective (or not), and identify where effort and resources will need to be allocated to keep the Project moving forward



Part 01  
**Introduction**



# 1.0 INTRODUCTION

The **Community Engagement Guideline for Public-Private Partnerships (PPP) is a guidance tool**. It provides PPPs practical guidance on how to systematically engage with communities when identifying, preparing and implementing a PPP. While the emphasis is on the PPPs of Local Government Authorities (LGAs), the guideline is applicable to the PPPs of all other contracting authorities. The guideline has been prepared in accordance with the PPP Act 2010 (as amended) and its PPP Regulations.

Engagement is a two-way process, where it is just as important to listen to and consider community input, as it is to share information or inform communities about PPP activities. Engagement requires that project proponents address issues and concerns and provide feedback to communities.

LGAs across the country, already undertake some community engagement activities. The community engagement efforts will be an important contributor to the success of PPPs, however the LGAs indicated they are facing several key challenges in relation to community engagement for PPPs, including:

- 3) There is no common approach to community engagement among the LGAs. Thus, when LGAs bring forward PPPs to the PPP Node, it is a challenge to determine if engagement was done adequately.
- 4) The LGAs have meager financial resources to pay for a wide range of services they are obliged to deliver to the community. Thus, there is limited funding to support community engagement programs, as they are struggling to just provide basic services to the community.

This Guideline addresses these challenges by outlining a standardized approach to community engagement using a 6-step process for effectively engaging the community.

LGAa have flexibility to adapt and implement the approach recommended in this Guideline to meet their specific needs. However, if they generally follow the 6-step process, there should be more consistency in the community engagement process for PPPs across the country.

The Guideline also provides a description of the benefits associated with community engagement and the value that good engagement creates for PPPs. (Section 2 and 3).

The engagement processes described in this Guideline will require the LGAs to invest time and resources (beyond what they currently do) upfront in PPP process. This investment will generate high dividends. By providing a systematic and simplistic approach to community engagement, following the Guideline will help ensure the timely preparation of PPPs, help avoid delays and extra costs during construction and implementation and maximize the benefits for the communities served by a PPP.

The level of effort that is typically required for community engagement increases as the project advances through the phases of the PPP process. A broad estimate of this increasing level of effort is provided in Figure 1.

Separate sections of the Guideline describe what is involved in community engagement for different phases of a PPP, and how the LGA may apply certain methods and engagement tools during each.

**This Guideline is in line with the international safeguards documents and the Tanzania's policies and legislation.** This Guideline does not in any way modify or supersede these documents. The Guideline sits alongside the safeguard guidelines and national policies, acts and regulations, to help LGAs engage with communities and to help communities engage with PPPs.

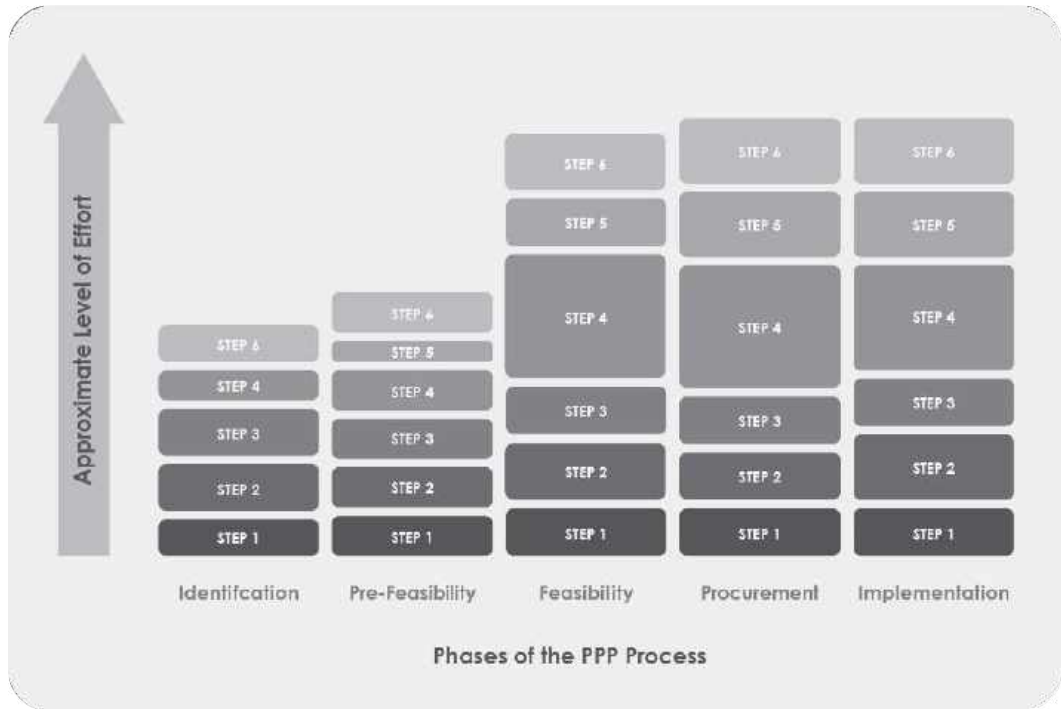
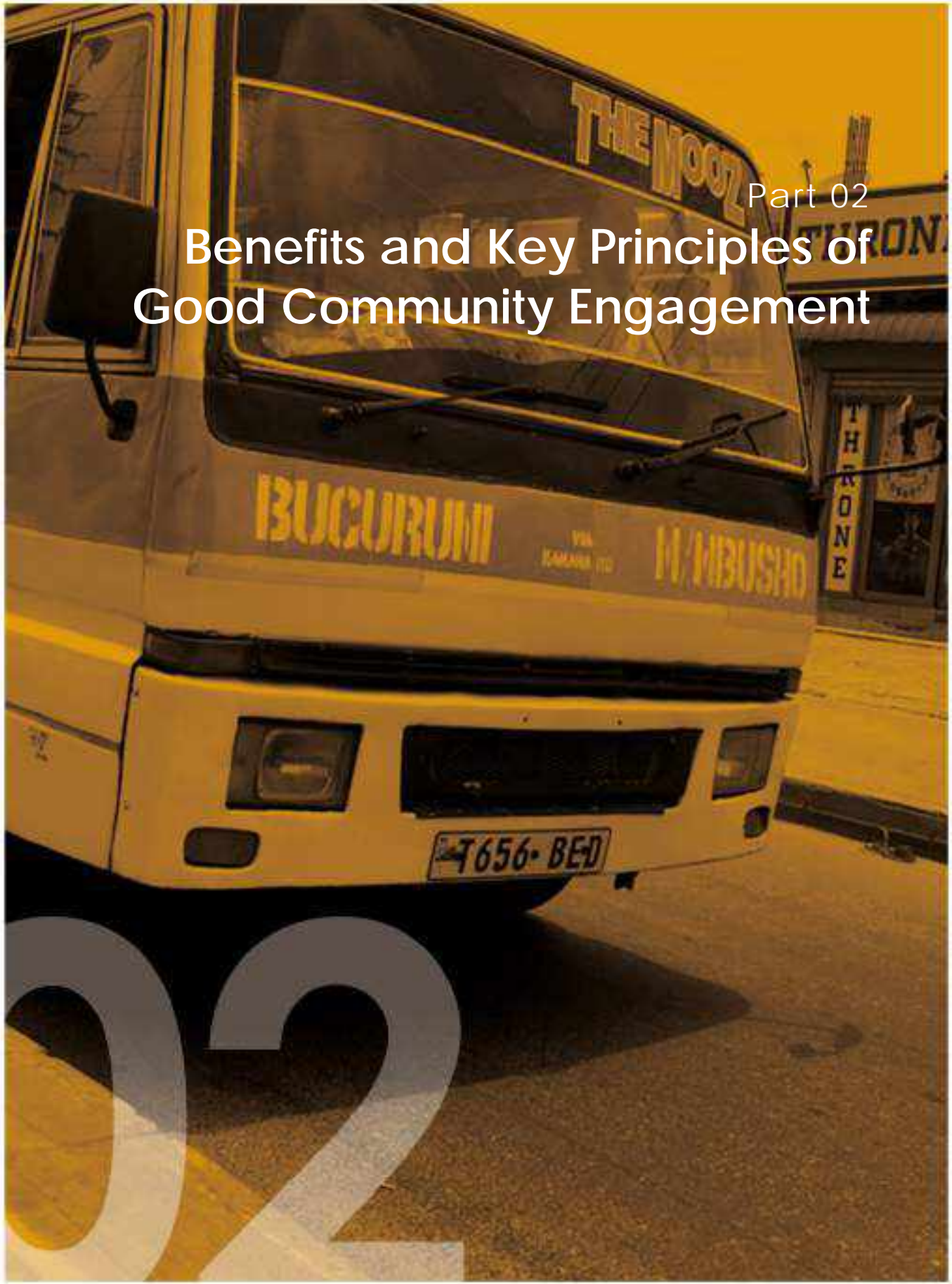


Figure 1 Level of Effort for Each Phase of the PPP Project Cycle



Part 02

# Benefits and Key Principles of Good Community Engagement

# 2.0 BENEFITS AND KEY PRINCIPLES OF GOOD COMMUNITY ENGAGEMENT

**Building relationships with local communities for PPPs, through a strategic community engagement process is a key sustainability strategy**

The benefits of community engagement are well documented, for example a cross-sector study of 68 World Bank projects indicated that projects there were well aligned with local (sociocultural) conditions in the community: had **rates of economic returns that were more than twice as high as projects that did not analyze the local community conditions well** (Kottak, Conrad Philip, 1991).

To develop successful, and profitable projects, the LGA must design and resource community engagement activities from the earliest phase. While this may have initial costs for the LGA, the long-term profitability of a PPP that has good community engagement will attract private sector partners who are willing to fund the engagement activities. It is essential that the LGAs view potential PPPs from the perspective of a private business that must generate a fair profit for investors and be able to service its debt.

When the LGAs adequately resource community engagement for PPPs, their efforts will provide a foundation for:

- » attaining and sustaining support from communities,
- » managing expectations,
- » managing risks and potential conflict, and
- » mitigating project delays.



## Commonly recognized benefits of community engagement include

<b>Community Buy-In</b>	Strengthens community commitment to, and ownership of, the PPP Project and leads to increased uptake and support of project services.
<b>Improved Design</b>	Greater community input from the start improves PPP project design and performance and ensures that designs accurately reflect community priorities and needs, the quality of decisions and the quality and sustainability of public and private-sector services.
<b>Flexible Design</b>	Engagement processes provide a means for the PPP Project to continuously verify the relevance and appropriateness of their project and make adjustments to the design as needed.
<b>Manage Risk</b>	Engagement processes provide an opportunity to foresee and resolve potential obstacles before making a decision. PPP proponents can mitigate risk by disseminating project information, learn about potential community issues, and establishing a dialogue with the community stakeholders.
<b>Prevent Delays</b>	Community engagement has the potential to prevent delays and avoid unforeseen costs in the implementation phase.
<b>Exchange Information and Experiences</b>	The Community and PPP Proponents learn from each other by exchanging information and experiences increasing understanding of the objectives of PPP Project and the issues surrounding them.
<b>Build Capacity</b>	Engagement can help build local capacity of PPP Proponents, including their capacity to analyze problems and initiate other development activities.
<b>Measure Value of Project</b>	PPP Projects are supposed to provide value to the Public. The information from community engagement can confirm or identify the need to reassess whether a project will deliver value to the Community.

Figure 2 Commonly Recognized Benefits of Engagement

Previous experience shows that Community Engagement will make the LGAs PPPs:

- » more sustainable;
- » more resilient to change;
- » more responsive to users; and
- » more likely to attract reliable private partners and affordable financing

As mentioned previously, the LGAs face a variety of challenges when undertaking community engagement. Using the information in this Guideline to help undertake effective community engagement, the LGAs can overcome those challenges as well as some other common issues, such as:

- » Different sectors of the community will have different capacities to participate. Community engagement programs can adjust outreach programs to accommodate different subgroups in the community and equalize opportunities for input.
- » Community engagement when done well, can make sure sectors of the community that do not normally have much input or influence on projects are engaged and can contribute – such as Youth, Women, Elders, Disabled or very sick people
- » In some situations, neighboring communities may be frustrated or jealous that another community will be home to a certain service or infrastructure. Good engagement can help provide other communities a voice in the process. This can be especially true for projects on the urban fringe, where local rural communities may be left out.



Photo 1 Dar es Salaam Health Clinic

Although it may be challenging for the LGAs to adequately resource the early community engagement activities for a PPP, it is important that they understand that are significant costs for not effectively engaging.

The African Development bank (AfDB 2001) suggests the lack of engagement (participation) has many costs:

- » The principle cost is the absence of community ownership and support of the PPP that can lead to the low up-take of project services;
- » reduced sustainability of benefits;
- » poor maintenance of the PPP and;
- » limited cost recovery of projects.

Lack of participation can also lead to:

- » a sense of indifference in the community towards the PPP,
- » resentment towards the PPP,
- » deliberate obstruction on the part of intended community beneficiaries.
- » Complications that create cost overruns and schedule delays

Disregarding such community considerations, and not building engagement and consensus for a project, has led to many PPPs being abandoned or failing to achieve expected results (WB 2017).

**Experience has shown that Community opposition has the potential to derail projects, even technically sound PPPs can fail without a full understanding of community (socio-political) dynamics and the value of communication in their design and implementation (Calabrese 2008).**

Risk associated with objections or opposition from a variety of groups and members in a community, is an issue that financiers will carefully consider, along with the technical, financial and economic risks.

## 2.1 Key Principles of Community Engagement

The following section presents some key principles for effective community engagement. The Tanzanian government's "Core Principles", for PPPs and planning processes are aligned with the principles listed below.

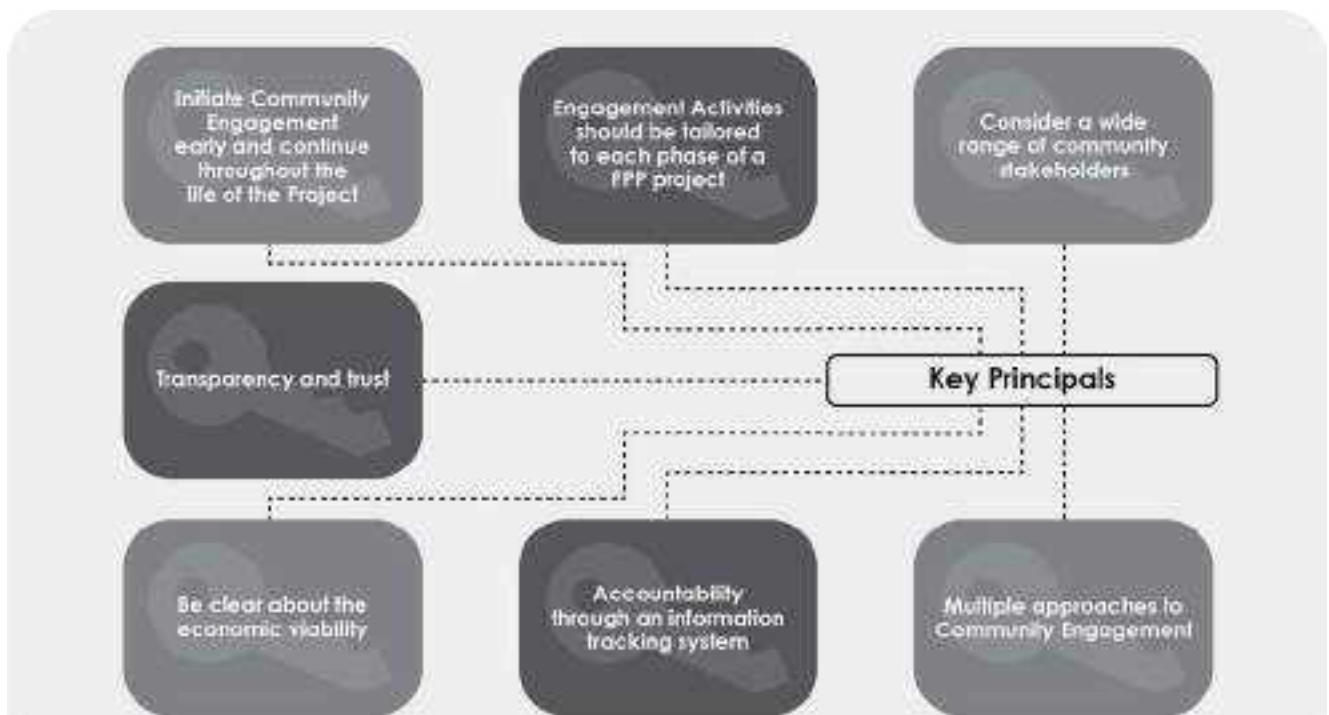


Figure 3 Key Principles of Community Engagement

**Initiate Community Engagement early and continue throughout the life of the Project**

### Timing

Ideally, community citizens and groups should be identified and invited to contribute to project design for the earliest stages of Project Identification (AfBD 2001). Involving the community in the project from the earliest planning phase can produce many benefits and greater sustainability to the development, by engendering a sense of ownership and involvement (REVIT, 2006).

**Engagement Activities should be tailored to each phase of a PPP project**

### Customize Approach

The development and implementation of a clearly laid out plan that is tailored to each PPP phase will ensure that engagement activities are proactive and delivered in a timely way (IFC 2007) when community views can still be considered in the design and operation of the project.

To help ensure engagement is proactive and contributes to scoping social objectives, community investment and overall planning and implementation, LGAs should link the engagement activities carried out during each phase with other strategic planning documents, for example Gender Action Plans, Poverty Reduction Strategies and Livelihood Programs, Social and Environmental Impact Assessment and Resettlement Action Plans.



*Photo 2 Mwana Bus Station*



Consider a wide range of community stakeholders

### Identify Community

Identifying community citizens and groups too broadly may be cumbersome and open a project to risks. However, defining community groups and members too narrowly may result in potentially influential community citizens/groups being overlooked, and undermine local ownership and support (WB 2017). Including a diversity of community citizens/groups/organizations will improve understanding of potential project risks.

While it may take extra effort or innovation to contact and engage groups that don't generally come forward on their own, including these groups is important to get a more fulsome picture from the engagement process. Engagement should also include individuals and organizations that are known opponents to an issue or project concept, and those that may be considered "hard to reach".




Transparency and trust

### Transparency and Trust

The political nature of PPPs requires that the planning and implementation be conducted with integrity and transparency. Transparency and honest communication are two of the Tanzanian Core Principles for PPPs.

Many PPPs are highly visible and expensive, and therefore transparency and timely access to information are important to the principles of accountability and governance. Lack of information and misinformation fuels community fears, but, maintaining open and honest engagement with a wide range of community citizens, groups and organizations, and making project planning and procurement documents publically accessible, can:

- » reduce the chance of corruption, and
- » build trust in the community.
- » pave the path for two-way dialog on contentious issues, so people's concerns and misconceptions are understood and addressed promptly before public confidence and trust are eroded (Calabrese 2008).




Be clear about the economic viability

### Clarity

PPPs are different from regular projects that LGAs may develop in their communities. PPP must generate revenue that will pay for the service or infrastructure that is being built. For PPPs to be successful the private sector partner needs to earn an acceptable financial return on their investment. Therefore, being clear and open with the community about the economic viability of the PPP is important.

The community is more likely to support PPPs if they understand that partnering with the Private sector was necessary to:

- » obtain capital for new investments,
- » improve access to services, or
- » prevent possible closers of publically funded facilities of services.



Accountability through an information tracking system

### Accountability and Monitoring

It is important for the community to see the impact of their involvement and have access to the reports and summaries of the engagement. Having a systematic, rigorous system for tracking potential issues, conflicting views, project costs, benefits and compensation measures is key to providing feedback to all parties in a transparent and defensible way

Short-term achievements, whether quantifiable or not, should be brought to public's attention to sustain confidence in the LGAs commitment and ability to deliver. Systematic issues tracking will help those facilitating engagement activities prepare for meetings/engagement activities with certain groups, and ensure consistent messaging around both broad, and specific project issues.



## Multiple Approaches to Community Engagement

The LGAs should use different approaches to sharing information and receiving feedback during different phase of the PPP. Tools and Techniques for community engagement are presented as an Appendix 6 to this Guideline, and some examples are discussed in the write up for each Phase later in this document.

Generally, good practice combines written and electronic engagement with face-to-face methods. Communication activities that were solely based on the output of products, such as radio and TV spots, newspaper ads, and the like, are no longer sufficient to meet the demands for participation, accountability, and transparency (Calabrese 2008). The Community must be directly involved.

Since a sound engagement program requires a clear understanding of the community's perceptions, attitudes, and behaviors vis-à-vis partnering with the Private sector, an Engagement programs should be designed to collect both qualitative and quantitative information (Calabrese 2008).



## 2.2 National Policies and other Legislation Referencing Engagement

In Tanzania, PPP regulations and policies currently make some reference to community engagement. The PPP Policy does not specifically describe the requirements for community engagement, but it does describe the need for dissemination of information and there is reference to social viability.

The National PPP Policy for Tanzania, (2009) highlights the importance of good community engagement, when it notes that the Private Sector will be reluctant to commit finances when a project entails high participation costs, unreasonable risk transfer or lengthy and complex contract negotiations. Good community engagement can help the LGAs reduce these risks associated with inadequate consultation.

Community engagement is considered a fundamental component of the PPP planning and implantation process. It is a good practice that should be used in the development of all PPPs.

Many of the Policy's and Act's applicable to PPPs reference engagement, The requirements listed in the National Legislation (following page) illustrates the importance of engagement in many different sectors. The details of what the Government considers adequate engagement will evolve over time. The information in this Guideline can help inform this evolution.



*Figure 4 Sample of Tanzanian Laws Referencing Engagement*

### Case Study 1 *Urban Water Expansion, Cochabamba, Bolivia*

Cochabamba is the third largest city in Bolivia and is home to over 600,000 people. For over 30 years, water services managed by the City was plagued with maintenance and administrative problems and only half of the population was being served. In 1999, the National government developed and passed the legal Guideline for PPPs with little involvement of stakeholders. An international consortium that operated under the name Aguas del Tunari (AdT) was subsequently contracted for the PPP Water Project. Within two months of operation, AdT increased supplied water to citizens by 30% by repairing the existing system. However, because of the governments structuring of the contract, and inclusion of a multi-faceted project that included construction of the Misicuni dam, and the use of water for power generation, irrigation and water supply to the city, AdT increased the average tariff by 35%. Public officials were to inform the public about this increase but did not carry through on this commitment. Also, because AdT was granted the exclusive right of water resources in Cochabamba, many private wells were immediately shut down. Water vendors that supplied water to poorer citizens were no longer able to sell water. This had negative political implications. By January 2000 – three months into AdT operations, significant public opposition emerged. A series of protests were staged and escalated to the point that the military was sent to Cochabamba to restore the peace. Most AdT personnel abandoned their offices and the government cancelled the contract.

In 2004, a new partnership was formed that included the municipal government, a private sector consortium, local communities and a non-profit foundation that worked to unite stakeholders and improve coordination of service delivery. The new partnership avoided many of the problems that had faced the first contract by focusing on community involvement at an early stage in the project. Local water committees were established that helped set priorities. Future water mainlines would be built according to projected demand. The project also used the services of a local enterprise that had experience designing and building water supply networks and could offer training to community citizens. The ApT partnership also received funding which allowed communities to build self-financed secondary networks through the private operator in their neighbourhoods. By relying on a local participatory, demand-driven approach, the partnership attracted the attention of international organizations and was selected for the SEED (Supporting Entrepreneurs in Environment and Development) Initiative Partnership Award in 2006.



Part 03  
Community  
Engagement Process

03

# 3.0 COMMUNITY ENGAGEMENT PROCESS

Community engagement has a positive impact on the LGA process for developing PPPs by ensuring that projects are addressing the needs the community thinks are a priority. The exact nature of a community engagement program will depend on the PPP being considered and an array of social and environmental factors.

**LGAs meet regularly with their communities.** This current process frequently uses general meetings in the communities where the LGA discusses a variety of issues or updates citizens on their activities. For example, a meeting can provide an update on LGA plans for construction activities or repairs to roads, or information related to general community health issues such as an outbreak of cholera. These general meetings are also a forum for the community to bring forward any issues or concerns they may have. This discussion about issues or concerns, leads to a discussion of how the LGA should address concern or issue, including the potential for PPPs. If addressing the community's needs can be done in a way that creates a business opportunity, then there is the potential to develop a PPP.

Ideas for PPPs that are generated at the Mtaa/Village level are then brought to the Ward level. If the Ward representatives think a proposed project has potential to be developed as a PPP, the idea is then brought to the Council Management Team within the LGA for further discussion. The best ideas are then presented to the Finance Committee within the LGA. The Project Investment Teams within the LGAs prepare Concept Notes for the most promising PPPs and then present them to the LGA for a final decision.

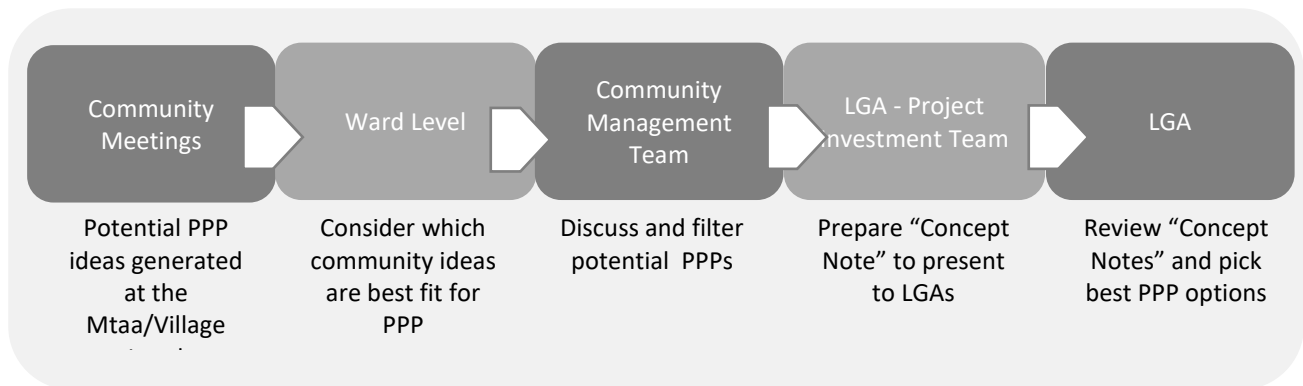


Figure 5 LGA Process to Develop PPP Ideas

The LGA then present their PPP ideas to the PPP Node for approval to proceed to Pre-Feasibility Studies, Feasibility Studies and PPP procurement. This bottom-up process is a very good way to generate PPP ideas as they tend to have broader support in the community.

When developing each Project-specific Community Engagement Plan, it is suggested the LGAs go through the following 6-steps to help them define the scope and scale of engagement activities during each phase of PPP Development.



Figure 6 6-Step Community Engagement Process



The LGAs can follow this 6-step process for each phase of the PPP Process. The following chapters in this Guideline are divided by Phases of PPP development

### Step 1: Define the Purpose of Engagement

Being clear about the purpose of engagement and the key issues to address will set the context for community interactions and manage expectations of those participating in the process. To define the purpose, project proponents must first agree on what can be changed because of the engagement.

### Step 2: Decide which Community citizens and groups to Engage

Create a list of who to engage, with all the community citizens, groups and organizations that could have an interest in the PPP or have some influence over the success of the PPP. The list is a living-document and will evolve over time. It is important to put a good effort into creating the initial list.

### Step 3: Community Engagement Ranking Assessment

To complete a Community Engagement Ranking Assessment, the LGA will need to consider both the level of interest a community group, citizen and organizations may have in the Project and the level of influence they have related to the Project.

### Step 4: Select Methods for Engaging and Implement

Different techniques and tools can be used by the LGAs to engage the Community's. The LGAs should develop a Project Specific Engagement Plan which should describe proposed engagement strategies, tools, and schedule for engagement during each Phase of a PPP.

### Step 5: Issues Tracking and Complaints Management Process

An issue tracking table should be created to document ideas, concerns or questions about the PPP. Citizens may also have specific grievances about the Project. The LGA needs to have a systematic way of managing complaints and grievances.

### Step 6: Reporting and Monitoring

Accurately recording community feedback, sharing it with the PPP Team for consideration in planning and Project design is why engagement processes occur, and is critical to building trust and support among participants. Monitoring the effectiveness of the engagement process is essential to ensuring a successful process.

The LGAs should consider different levels of participation as they develop the PPP engagement plan. The following graphic illustrates a spectrum of options.



Figure 7 Consultation Spectrum



## Step 1: Define the Purpose of Engagement

Being clear about the Purpose of Engagement will set the context for interactions with the community and manage expectations for those participating in the process. To define the purpose, the LGAs must first agree on what can be achieved because of engagement.

Clearly defining “why” the LGA is reaching out to the community and how their input can influence the design and decision-making process for a PPP will help, this can include:

- » identifying appropriate mechanism for engagement,
- » serving as an important reference point throughout the engagement process, and
- » helping participants understand what they are part of so they can make an informed choice about getting involved in the first place.

Once the Purpose of Engagement has been defined, the LGAs should agree on what level of participation is actually being sought. This will depend on the phase of the PPP and the type of project being proposed. Other issues to consider when determining the level of participation include environmental and social sensitivities of the site, project timeframes and available LGA resources and funding. Public participation can be broadly categorized along a spectrum that moves from very little participation (Inform), to high levels of participation (empower). The Consultation Spectrum figure on the previous page (Figure 7) illustrates the range in the level of participation the LGAs can choose. The figure includes some examples of why the LGA might choose different levels of participation depending on the prescribed purpose of community engagement.

## Step 2: Decide which Community Group, Citizens and Organizations to Engage

Cutting across all social groups are the poor. It is important to include them in the engagement process as they are important participants whose support can influence the success of a PPP. “A PPP that engages with the poor is more likely to be financially viable, political stable and resilient. Pro-poor PPP is good business”  
Toolkit for Making PPP  
Pro-Poor, World Bank (2018)

The list of community citizens, groups and organizations is a living-document and will evolve over time.

The initial identification of those in the community to engage can be done by the LGAs as a desk-top exercise, using published information and the knowledge of the LGA staff. This should then be followed up with outreach to the community, to identify individuals or groups not familiar to the LGA staff. The list will change over time, and the LGA should update the list on an ongoing basis.

The following are examples/suggestions of community citizens, groups and organizations that the LGAs should consider when identifying who to engage.

### Local Citizens & End Users

- Homeowners
- Tenants
- Informal/illegal settlements
- Farmers/herders
- Vendors
- Small Business owners
- Commuters

### Community Leaders

- LGAs
- Ward Councilors
- Village Level Politicians
- Tribal Leaders
- Elders and other respected people in the community
- Youth leaders

### Faith Based, Ethnic and Cultural Groups

- Christian (Jumuiya, Kigango)
- Muslim (National Muslim Council)
- Indigenous (Sukuma, Maasai, Chagga, Hedzabe, etc.)
- Diviners and traditional Healers

### Women's Groups

- Tanzania Gender Networking Programme (TGNP, Mtandao wa Jinsia Tanzania)
- Local Women Shelter Network
- Women's Legal Aid Centre
- VICOBA

### **Local Community and Voluntary Groups**

Water Users' Association

Water Catchment or Sub-catchments

Transport Association (e.g. chama cha waendesha pikipiki, chama cha wasafirishaji Dar Es Salaam)

### **Local Trade Unions/Business Development Groups**

Regional and District Business Council

Local Chamber of Commerce

Trade Union Congress of Tanzania (TUCTA)

Local office of Tanzania Women's Chamber of Commerce

### **Social Service Providers**

Emergency Response

Police, Fire Department, Ambulances

Health Service Providers

Hospitals, Health & Wellness organizations

Children's organizations

Energy Service providers

### **Local Political Parties**

Chama Cha Mapinduzi

Civic United Front

NCCCR-Mageuzi

Tanzania Labour Party

United Democratic Party

Chama Cha Demokrasia na Maendeleo (CHADEMA)

### **Special Interest & Civil Society Organizations**

Federation of Disabled Peoples Organization in Tanzania

Local Universities

REPOA

Youth Groups

NGOs

### Step 3: Ranking the Interest and Influence of Community citizens, groups and organizations

Not all community citizens, groups and organizations will receive the same level of engagement. The LGA will need to rank the level of interest and influence that the different citizens, groups and organizations have in the PPP. This ranking process should be done at the beginning of the PPP process, and then reviewed and adjusted as necessary at each phase of the PPP.

To complete a ranking process the LGA will need to consider both the level of interest a community citizen or group may have in the Project and the level of influence they have related to the Project. A detailed description of questions the LGA should consider to determine interest and influence is included in Appendix 3.

Directly affected community (such as individuals or households benefitting from the service of infrastructure or facing adverse impacts due to the project implementation), and groups driving the need for the project, or responsible for project implementation are important to engage. These citizens, groups and organizations likely require higher levels of engagement. More indirect interest groups, that are not directly affected by a project, but have an interest in a project, or the ability to influence project success or failures, usually receive medium levels of engagement effort. There are also other community citizens, groups and organizations, that may receive some project information, but are not the focus of engagement efforts.

The ranking of community citizens, groups and organizations does not mean that the lower priority ones are ignored or forgotten, but instead that each is given an appropriate amount of attention by the LGA.

As the LGAs answer the questions in Appendix 3, they should keep track of their answers and use it to anticipate the issues they think different community groups, citizens or organizations may have. Thinking in advance about the issues and concerns the community may have will help the LGA more efficiently develop their community engagement plan.

Based on the analysis of interest and influence, the LGAs will need to plot each community group, citizen and organization on a graph such as the following. The plotting is more effective when most if not all cells have at least one entry.

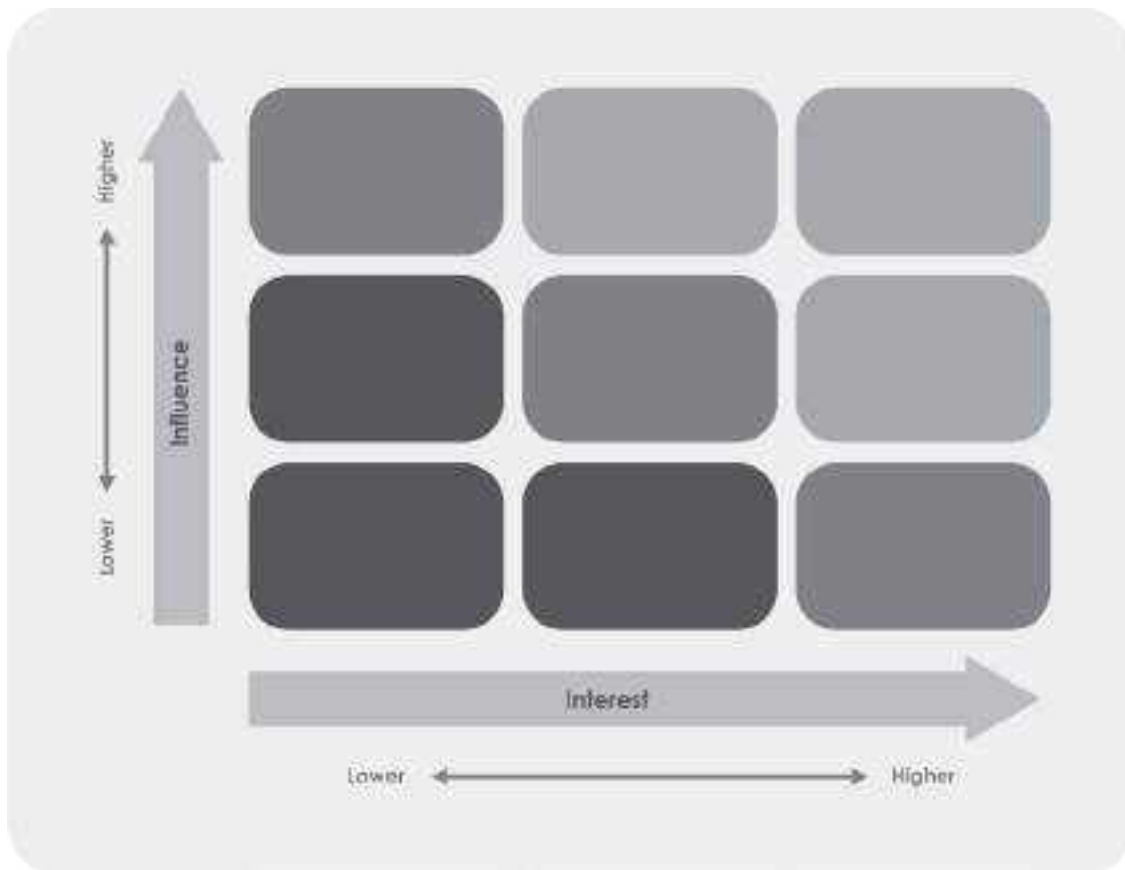


Figure 8 Community Engagement Ranking Matrix - Blank

**(Higher)** = Community group, citizen or organization(s) who require in-depth engagement. There is a need for multiple meetings and the use of a variety of engagement tools. The goal with level of engagement is to attain direct cooperative relationships so that their input is integrated as much as possible. Information and ideas from Tier 1 community engagement is needed for the successful development of the PPP.

**(Mid)** = Community group, citizen or organization who require a mid-level of engagement. There is a need for multiple engagement activities. The goal with these groups, citizens or organizations is to attain consensus-building relationships by sharing information and using their feedback and input where possible.

**(Lower)** = Community group, citizen or organization require project updates that are catered for general consumption. It is important for them to have their chance to be informed and for the LGA to respond to their questions. The goal for engagement with this Tier is to build understanding and support for the PPP in the general public. If the engagement process can build broad community support for the PPP, then it is more likely to be successfully developed.

Example of Tier 1 Group: The community has a very active and well respected religious leader, who many community citizens turn to for advice. This person or their institution's early understanding or support of the project would be very helpful in creating community awareness of the Project. They would be ranked as "High Influence". This religious leader lives in the community and the citizens of this religious group are likely to be regular users of the PPP, they would be ranked as "High Interest". Therefore, they would probably be plotted in the top right of the Figure and would be a Tier 1 (High) group, throughout all phases of the PPP. Again, at the concept phase, it may be difficult to determine who is going to be directly affected by a project, but beginning to engage with community groups, citizens or organizations who might be central to the project success makes good business sense.

Example of Tier 2 Group: The LGA is proposing to build a central market building and there is a local NGO that is active in the community with a focus on water supply to citizens. The NGO would like to contribute ideas during Project design about water supply to the market. The NGO also has network of contacts in the community who can help distribute information about the PPP to their citizens. In this example, the NGO would have a medium level of Interest during the initial phases of the PPP and a medium level of influence.

The LGAs may wish to then take a further step to list issues that community groups, citizens or organizations have. This information can be used to identify which groups have similar issues and concerns and allow the LGA to consider ways to more efficiently undertake the engagement, as it might be possible to group community citizens, groups and organizations with similar concerns and issues and address them at the same time or using the same information. Seeing who in the community is concerned about which issues can be useful for the LGA as they plan their engagement work.

**Table 1 - Example of Grouping Community citizens, groups and organizations by Issue**

	Issue A	Issue B	Issue C	Issue D	Issue E
Community Group 1		Yes			
Community Group 2	Yes			Yes	Yes
Community Group 3		Yes	Yes		
Community Group 4		Yes			
Community Group 5	Yes				Yes



*Photo 3 - Mpanda Bus Terminal*

## Step 4: Select Methods for Engaging and Implement Engagement

Different techniques and tools can be used by the LGAs to engage the Community. As the previous sections described, the list of citizens, groups and organizations, and the approach to engaging each will likely change as the PPP progresses.

Appendix 2 lists a variety of community engagement techniques and tools that the LGA can consider using. This Appendix describes:

- » The technique or tool;
- » The benefits of using each technique or tool;
- » The challenges of using technique or tool;
- » What Stage of PPP process is it more effective; and,
- » Suggestions on how to improve the effectiveness of the approach

Materials should be concise and use plain language and include drawings and maps whenever possible. Depending on the community, the LGA should consider if materials should be prepared in English, Kiswahali, or other local languages.

These materials may also be distributed to umbrella organizations and posted on web sites.

It will be in the interest of the LGA to select a PPP spokesperson and team to undertake the engagement. This will help ensure consistency in messaging throughout the PPP process. This team must be adequately resourced, have the authority to speak on behalf of the LGA and they must be directly linked to managers overseeing the Project. Having direct and regular contact with project managers will allow the engagement team to effectively share feedback coming from the communities that could shape the ultimate design of the PPP.



## Step 5: Issues Tracking and Complaints Management Process

The LGAs will need to track issues, questions and concerns raised by the Community in an organized and consistent way. Documenting the issues, concerns and questions can be done in a variety of formats, ranging from simple spreadsheet to more complex engagement tracking software.

In addition to new ideas, or questions about a PPP, the Community will likely share concerns and, possibly, complaints with the LGA. Currently, LGAs are already required to handle complaints, often through a Complaints Resolution Desk. The LGAs identify and record complaints using a variety of techniques, including, opinion boxes, and minutes from community meetings. Building on the LGAs current complaints management process, each PPP should develop a PPP specific complaints management process.

**The specific objectives of a Complaints Management Procedure are to:**

- » Develop an easy-access, no-cost and efficient complaint procedure for the community involved and/or impacted by the Project
- » Help to prevent unrealistic expectations and/or negative perceptions from the local population towards the Project.
- » Establish a system of investigation, response and quick complaint resolution.
- » Gradually reduce the number of community complaints regarding the Project.
- » Improve the Project sustainability through the analysis of complaints

It will be important for the Community Development and Welfare Department or the Public Relations Unit, to record all concerns, but differentiate between general concerns raised at the beginning of the process versus official complaints or grievances, so that the appropriate bodies within the LGA can respond.

The procedure should include:

- » A simple registration process, and acknowledge receipt of grievance and track it until it is closed.
- » A method to classify categories of complaints,
- » Identify responsible authorities that can address complaints. There should be an initial response process internal to the IA, and if the resolution is not acceptable to the complainant, then a second broader community response process would be utilized.
- » Create timelines for providing feedback.
- » The overall objective would be to avoid resorting to Tanzanian courts and judicial systems to resolve the complaint.

A complete description of the Complaints Management Process is included in Appendix 8, 9 and 10.

Grievance and complaints management can become a time-consuming process. The process should be in place early so that an efficient system is developed before the PPP Project advances into more complicated phases, where more complaints and grievances are likely to be received.

## Step 6: Reporting and Monitoring

Accurately recording community feedback and sharing it with the PPP Team for consideration in planning and project design is why engagement processes occur. Reporting and monitoring is critical to building trust and support among participants.

Reporting should target both the internal Project team within the PPP and groups external to the PPP – specifically the community at large, regulatory agencies and in some cases funding organizations.

Internal reporting can include the engagement issues tracking data, meeting minutes and complaints management reports, as well as summary documents generated to inform project plans and decision-making processes.

External reports should clearly describe how the LGA approached community engagement, timeframes, the level of participation in engagement activities, and summaries of the information that was generated through the engagement process from each sub-group of

The LGA will also need to monitor their progress, ensure all sub-groups of the community are engaged, determine if the methods and tools they have selected are effective (or not), and identify where effort and resources will need to be allocated to keep the Project moving forward. Good monitoring will also help the LGA consistently respond to issues as they are raised by the community and help inform future engagement processes.

It is strongly recommended that during community meetings and consultations the Project Spokesperson be supported by a person that can record the feedback shared by participants, recording:

- » the date, location,
- » list of participants,
- » questions being asked,
- » the response provided and any follow-up that might be required will assist in reporting to the Project team and regulatory authority

- » the community. It should be structured in such a way that it is easy for external groups to understand the actions and responses the LGA have taken that led to the decision to proceed with a proposed project or not.

The overall result of the engagement will be the sum of various inputs received at various phases, through different methods and from all participating groups, citizens and organization, all of which will inform the ultimate decisions shaping a project (EC 2015).

Sometimes, as projects develop, the structure of the proposed PPP can be altered for political, financial, social or environmental reasons. This can then affect the service or infrastructure that the PPP will provide to community citizens. It is good to check back at each phase of the PPP to make sure the project is still going to meet the underlying need of the community.

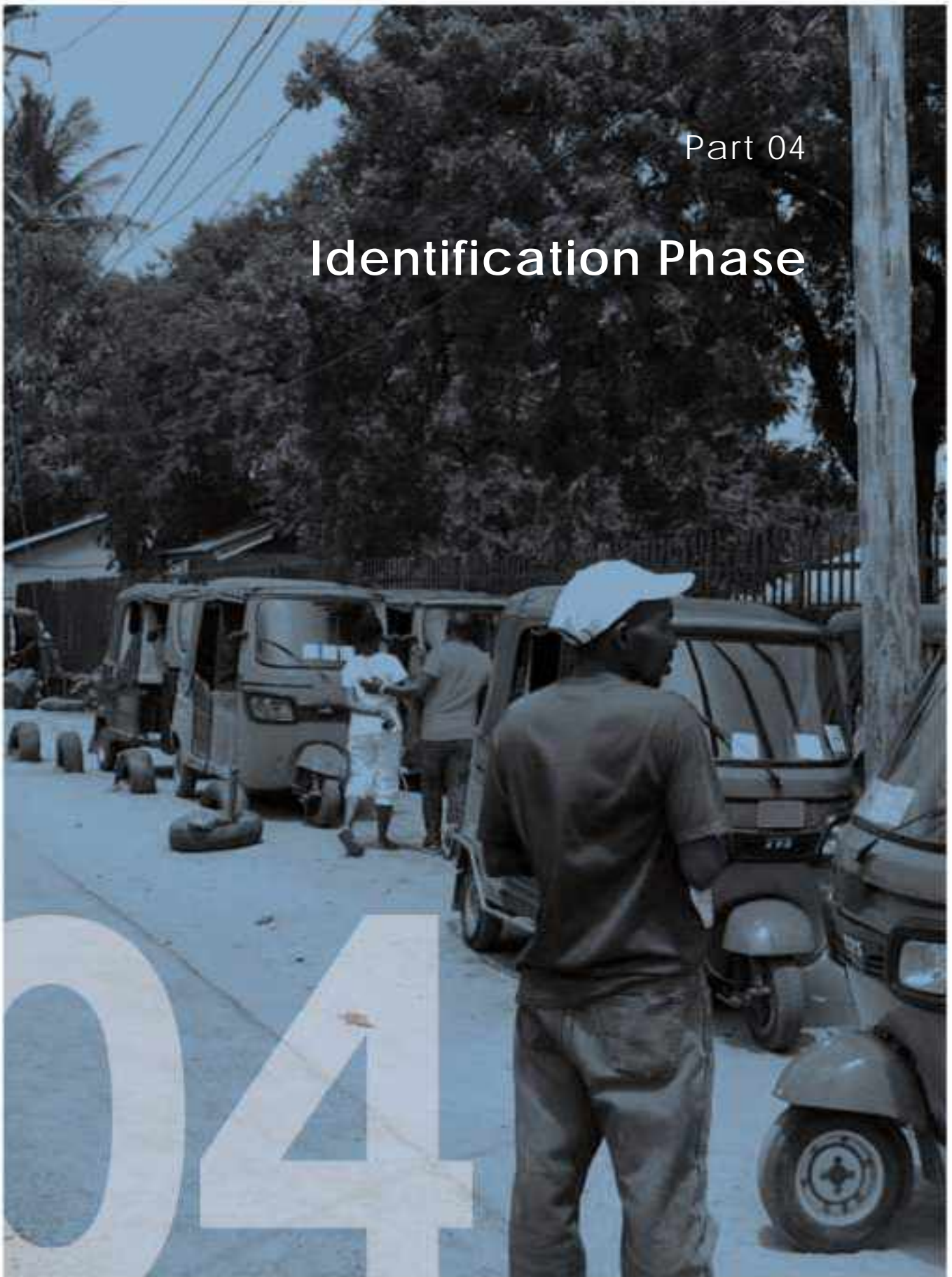
Reporting and monitoring is closely related to the Project Description developed in Step 1. Taking the time to write a good Project Description with the “what” and “why” for the PPP, as well as reviewing these questions at the start of each phase will help serve as a grounding point throughout the Project. The reporting and monitoring should indicate if the engagement activities have meet the original purpose.

### **Check Lists**

At the end of the chapter for each Phase of the PPP process in this document is a checklist. These are phase specific checklists and the LGA can use them to ensure they completed the necessary steps, before moving onto the next PPP phase.

Part 04

# Identification Phase



# 4.0 IDENTIFICATION PHASE

**Once a potential PPP is identified, the LGA will need to develop a plan to continue to engage with the community as the Project advances through the PPP phases**

## 4.1 Identifying Potential PPPs

The LGAs should continue to use their regular Mtaa/Village level meetings to identify potential PPPs. These meetings are not specific to PPP development, but are meetings where the LGAs hear from the community about problems or challenges they have with services or infrastructure in the community. It might be that the service or infrastructure is not available or, if it exists, it is not meeting the needs of the community. If addressing the community's needs can be done in a way that creates a business opportunity, then there is the potential to develop a PPP. The Council Investment Team can also be another source for PPP ideas.

As described in Section 2 of this Guideline. The process for advancing a PPP idea from the Mtaa/Village level to the LGA level, begins by taking the Mtaa/Village level idea to the Ward level. From the Ward level the PPP idea is then brought to the Council Management Team within the LGA. The more promising ideas are then presented to the Finance Committee within the LGA, and they prepare a Concept Notes for the LGA, who selects the most promising options.



Figure 9 PPP Identification Process

## 4.2 Why Undertake Community Engagement?

Community engagement at this initial phase of the PPP development is typically focused on identifying potential projects and assessing the general support for a PPP. At this phase, there is limited detailed information about the exact PPP, and therefore detailed community engagement is not practical.

There may be value in reaching out to a limited number of community citizens, groups or organizations to get their initial input on the PPP concept and any issues or concerns. This feedback can be documented and shared with the LGA, as they make their decisions of which projects to advance to the Pre-Feasibility Phase.

The earlier the community engagement begins the better, but the benefits of early engagement need to be balanced with the real-world limitations of time and resources that the LGAs face. At this identification phase, it is suggested that the LGA maximize the use of their internal resources and knowledge. The community engagement process at this phase is not typically very onerous.



*Photo 4 - Kibaha Bus Terminal*

## 4.3 Steps for Community Engagement at the Identification Phase



Figure 10 6-Step Engagement Process

### Step 1: Define the Purpose of the Community Engagement

The LGA should develop a simple statement that outlines the purpose of the community engagement at this initial Phase. The purpose will become more detailed and specific in the Pre-Feasibility Phase, but at this phase, a simple focus on high-level general discussion about PPP concepts that can inform the LGAs decision about which PPPs to advance to the Pre-Feasibility Phase is normally sufficient. The following is a sample purpose statement.

Hypothetical Example for Step 1: Example of the Purpose Statement

*At the Project Identification Phase, the community engagement process is general in nature, and will not involve detailed discussions of Project specific details. Our department will strategically engage with a limited number of community citizens, groups and organizations, to collect input on the PPP Concept in general, and report this feedback to the LGA staff as they consider which PPPs to advance to the Pre-Feasibility Phase. The engagement will also help educate the community about the PPP Process in general.*

**The objectives of the Community Engagement are as follows:**

- » Collect general input on PPP Concept
- » Report community input to LGA staff, to inform the assessment of PPPs to support







## Step 2: Decide which Community citizens, groups and organizations to Engage at the Identification Phase

The LGA should use internal resources to create an initial list of Community citizens, groups and organizations, this can be a challenging task, as there are no PPP details to help focus the identification of community citizens, groups and organizations. Instead, the LGA may choose to identify a few representative groups, organizations or community citizens, whom the LGA thinks can provide general input about PPP concepts and identify high-level issues or concerns.

At this Phase, if funding is limited, the initial identification of community citizens, groups and organizations can be done by the LGAs as a desk-top exercise, using published information and the knowledge of the LGA staff. Examples of whom to consider for engagement is included in Appendix 2.

If the LGA has some funding, it is a good practice to go to the project area and spend time identifying potential citizens, groups and organizations. This information can be used in the initial design of the subsequent Pre-Feasibility Phase.



Photo 5 Arusha Market



### Step 3: Community Ranking Assessment at the Identification Phase

Ranking community citizens, groups and organizations at the Identification Phase is challenging as the PPP is often just a concept or general idea, potentially with multiple options being evaluated.

If the LGA has the resources, they may undertake a desktop exercise to group the community citizens, groups and organizations, based on their anticipated level of their interest and influence (Appendix 3). This exercise would not be an exhaustive process, but a high-level estimation to inform the initial engagement planning in the Pre-Feasibility phase.

Careful consideration of vulnerable groups is important during this Step, as they often have limited influence on a Project, but a high level of interest, which may result in them being ranked as low or medium importance, yet the LGA may need to have a more involved engagement with this group to ensure they are effectively engaged.



Photo 6 Mbeye Market



#### Step 4: Select Method of Engagement with each Group at the Identification Phase

**Different techniques and tools can be used by the LGAs to engage**

**Community citizens, groups and organizations.** At the Project Identification Phase the engagement will be more general, and focus on creating general awareness of the PPP process and a few initial meetings with a few key groups.

If the LGA has enough funding, it would be a good practice, to hold exploratory community meetings. If funding is limited the LGA should try to combining their efforts with other engagement programs, to leverage their resources.

Community engagement techniques and tools that the LGA can consider using are described in Appendix 6.

Prior to picking engagement tools and techniques, the LGA should have already completed the Ranking Assessment. Based on the Assessment, the LGA should know which level of engagement they are targeting for each groups, citizen or organization.

*Case Study 2 WaterAid Tanzania PPP Initiative using Community Special Committee and Communication and Awareness Campaigns during the Project Identification phase*

WaterAid promotes water supply and sanitation projects throughout Tanzania by undertaking projects that address the core challenges to water supply and sanitation, including:

- Lack of technical expertise
- Lack of adequate financial support from the Government for water projects
- Difficulties assessing potential water sources
- Lack of planning for the long-term sustainability of water projects

Since 2015, Wateraid has been supporting the use of PPPs as a tool to help communities meet their water supply and sanitation needs. WaterAid has undertaken several pilot PPPs beginning with sanitation management in Kigamboni and Temeke.

The challenges to sanitation management in these municipalities included:

- Unplanned settlements blocking truck access and ability to empty household septic tanks
- Long haul distances between the collection of the sewage and the treatment facility, and
- Lack of interest from Financial institutions

WaterAid began community engagement efforts early in the process and focused on creating a high level of awareness of the need for the project and transparency in the overall PPP process. A key component of their engagement was the establishment of a community advisory group, called the Community Owned Water Supply Organization (COWSO).

The citizens in COWSO initially needed some education on technical issues related to sewage management, which WaterAid provided using government guidelines. COWSO group provided a direct line of communication between the project and the community, and was seen as trustworthy by citizens, because local community residents were directly involved in the group. COWSO also helped manage expectations of local politicians. As projects, such as DAWSA noted, it is important that politicians are part of the process to develop a PPP, but not the managers or operators of the project. COWSO helped re-inforce this message with local politicians, so there was no conflict with politicians trying to run the PPP in place of the private sector.

### Step 5: Complaints Management and Issues Tracking Process

**At the Project Identification Phase, the Community will likely share comments or questions about a PPP concept.** It is possible that community citizens may have general comments about the PPP process. It will be important for the LGA to record all comments and concerns in an organized tracking table or program of some type. The LGA will need to be prepared to develop a simple grievance management process, to handle any official complaints or grievances they might receive. It is possible that the LGA will not receive official complaints at this phase, and therefore a grievance mechanism should only be developed if needed.



Photo 7 Dar es Salaam Truck Stop



### Step 6: Reporting and Monitoring

A simple communication log of all community engagement activities will be developed. It will track the names of the community citizens, groups and organizations, and the comments they made. At this point, the LGA will be mostly receiving comments and ideas, and will have less requirement to officially respond to concerns or grievances from the community.

The LGA may also begin to monitor local media to track comments and opinions in local papers, radio, etc. about PPPs and the potential Project. This information will be recorded in the Communication Log as well.

Building a good reporting system early in the process increases the effectiveness of community engagement. If funding is limited at the Identification Phase, reporting can be concise and short, aimed at internal sharing of information within the LGA. This information can inform their decision on which PPPs to advance to the Pre-Feasibility phase.

Reporting may include a listing of:

- » How the PPP ideas were identified (e.g. at Mtaa level meetings)
- » The service or infrastructure that the community needs
- » What feedback was received on the issue or challenge of using PPP to meet this need?
- » The key risks and challenges the LGA will face if they move forward with the PPP.

## Estimate of Costs

Information provided by several of the LGA representatives for this Guideline were used to estimate a range that the LGA might expect to pay for community engagement activities; specifically for the identification phase.

There will be a large range of costs, depending on the type of PPP, the level of effort the LGA chooses to undertake and whether the PPP is in an urban or rural community. However, a range is provided, given the following assumptions.

- » The community engagement activities will occur over a 2-month period
- » Two LGA staff will work part time on the community engagement for the 2 months
- » There will be 1 main community meeting, with about 100 people attending to talk about services or infrastructure the community needs and how PPPs might be an effective way to provide this.
- » The LGA will use a few simple engagement techniques to inform the community about the meeting and to begin to do public awareness announcements about PPP and the PPP Process. Just a few billboard posters, radio announcements and automobiles with speakers will be used.

Cost might range between TZS 1,000,000 and TZS 4,000,000.

## Identification Phase - 1 Check list for Completion of Community Engagement

Community engagement during the Identification Phase is typically less intensive than subsequent phases of the PPP Process. LGAs with internal engagement experience can undertake the engagement process themselves. Otherwise, the LGA could use a consultant to complete the engagement process. The following check list covers the key tasks that should be completed during the Identification Phase.

Step 1: Define the Purpose	Comments
<input type="checkbox"/> Was specific information about the Mtaa or Village level meetings collected by the LGA? If the LGA is using a Consultant, did this information get shared with the Consultant?	
<input type="checkbox"/> Was a simple purpose statement developed prior to community engagement activities? (example on Page 57)	
<input type="checkbox"/> Were the goal(s) and objective(s) of the community engagement process clearly defined at the start of the PPP Phase? (What are the tasks to be completed, what are the goals to achieve the purpose)	
Step 2: Decide whom to Engage	Comments
<input type="checkbox"/> Did the LGA identify who internally in the LGA would be involved in community engagement? If the LGA is using a Consultant, did they identify key LGA staff to involve in the process? (example Appendix 2)	
<input type="checkbox"/> Did the process define which community citizens, groups and organizations would be contacted for preliminary engagement activities? (As this is a PPP, were businesses considered)	
Step 3: Community Engagement Ranking	Comments
<input type="checkbox"/> Did the LGA determine if it was necessary to complete a preliminary ranking of community citizens, groups and organizations?	
<input type="checkbox"/> Did the LGA undertake a desktop exercise to assess the level of influence and interest community citizens, groups and organizations would have on the conceptual PPP? (example Appendix 3)	
<input type="checkbox"/> Did the results of the assessment get inputted into an engagement Ranking Matrix for the PPP Phase? (example Appendix 3)	



#### Step 4: Select Method of Engagement and undertake Engagement

- Given the limited nature of the community engagement during the Identification Phase, were appropriate methods for engagement selected? (example Appendix 6)

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- Was there sufficient internal and external resources to implement the engagement tools?

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- Is there sufficient time to adequately finish the community engagement?

#### Step 5: Complaints Management Process and Issues Tracking

- Was a simple issue tracking table used to collect community input during any engagement activities? (example Appendix 7)

#### Step 6: Reporting and Monitoring

- Was a Report of the community engagement process and results written? (example Appendix 6)

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- Did the final report contain: summary section, overview of issues, methods used for engagement, summary of the actual engagement meetings or events, analysis of results and recommendations, costs, next steps.

#### Budget

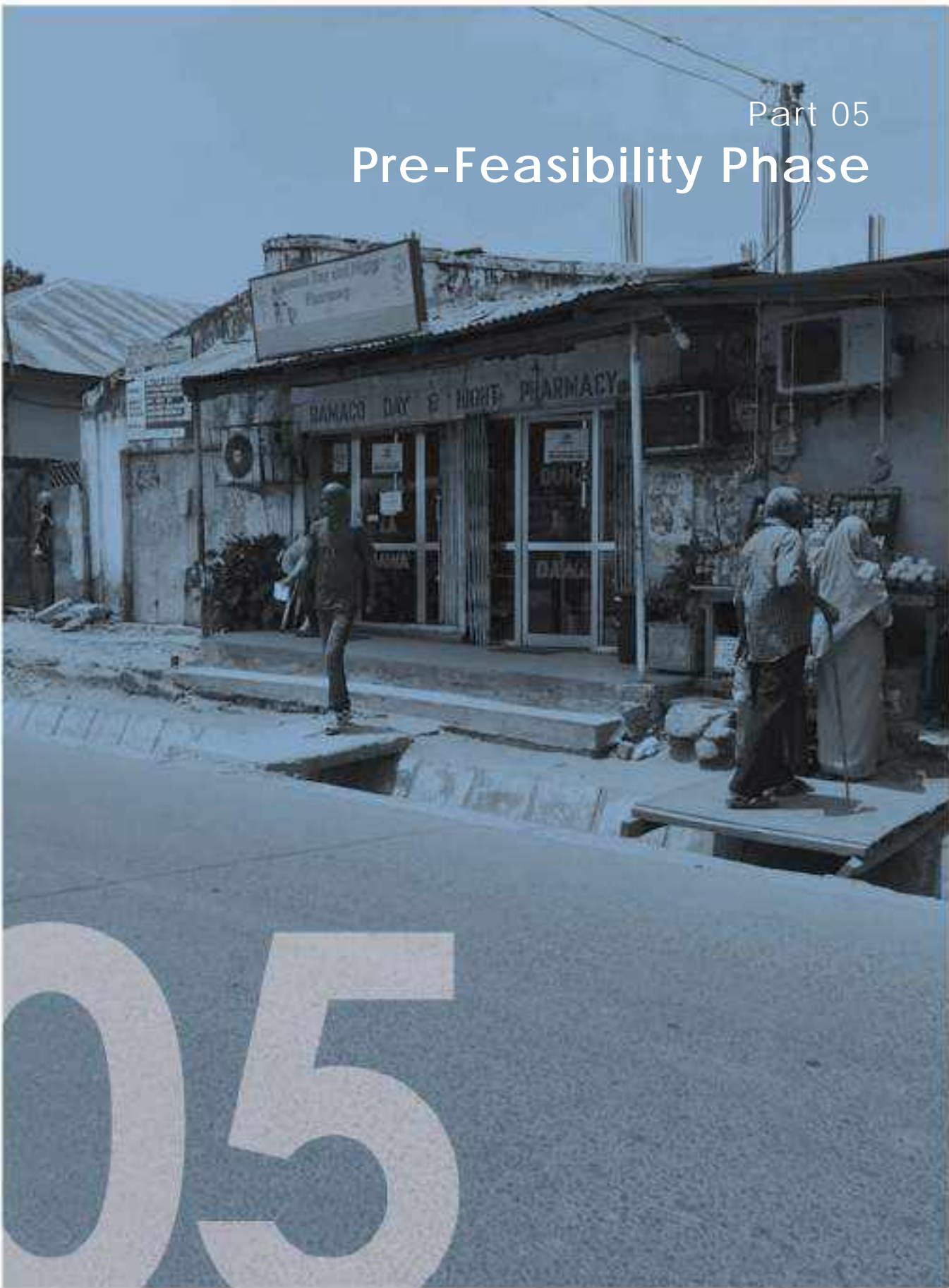
- Was a budget for the Time (fees) needed to complete the project developed, taking into consideration, the time for LGA staff to undertake the process; time for any consultants working with the LGA; and any other time/fees required?

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- Was a budget for the Expenses needed to complete the project developed, taking into consideration, the costs for advertising, hosting meetings or events, the materials need for engagement and any other expenses?

Part 05

# Pre-Feasibility Phase



# 5.0 PRE-FEASIBILITY PHASE

## 5.1 Begin to Refine PPP Concept

**The Pre-Feasibility Phase should build on the work done in the Identification Phase.** This phase will require a higher level of engagement efforts and therefore the LGA will need to estimate their budget and resource appropriately and perhaps expand community engagement team. As an alternative, the LGA may want to hire a consultant to design and implement the community engagement process.

There is great value in keeping the LGA staff who were involved in the previous phase, involved in this phase. Their involvement can either be directly designing and implementing the engagement or supporting a consultant who is hired to lead the process.

This phase needs to focus on collecting initial input and feedback on project ideas that were generated by the community in the previous phase. Getting input from a variety of community citizens, groups and organizations, including the LGA themselves, is a key task in this Phase.

**The PPP design will not be finalized in this phase, but it should become more detailed,** or if multiple options are being considered, this phase should begin to narrow them down to one or two of the most promising PPP options.

During the Pre-Feasibility Phase, the assessment of likely **economic, commercial, financial, management, environmental, social and legal viability is completed.** The assessment studies can benefit from input from the Community Engagement Process.

## 5.2 Why Undertake Community Engagement

As the LGA further defines the PPP, it will **need to work with the community to identify what the risks to the project might be**. Identifying the risks at this phase will allow the LGA to adjust and improve the PPP design and make it more sustainable. PPPs which have identified risks and addressed them are much more attractive to private sector investors. Some hypothetical examples of what those risks might be for LGA PPPs are:

- » **Site Risk:** Does the LGA have clear ownership over the land where the proposed PPP will be built? For example, if the LGA wants to build a new bus terminal, the LGA needs to make sure it has the land title for all of the land, Changing how the land is currently used and how people earn a livelihood from the land are also site related risks.
- » **Demand and Commercial Risk:** During Pre-feasibility Phase, it is beneficial to survey the community to see what price they would be willing to pay for the PPP service. If for example the LGA is proposing to build a new market, then the LGA must find out how much vendors/shop owners would be willing to pay to rent or lease a stall in the new market. Some public investment projects in Tanzania have not carefully considered this demand risk, and once built have struggled financially.

The pre-feasibility studies (PFSs) prepared by the World Bank [Tanzania PPP Support Program](#) funded by the United Kingdom's Department of International Development listed risks facing the initial LGA PPPs including bus terminals. A description of typical risks from the World Bank PPP Knowledge Lab is included in Appendix 5. The LGA should review this material and determine which risks might apply to their project, and then use the community engagement process to determine the level of risk and discuss ideas on how to address those risks.

Community engagement can help **build trust with the community** in several ways. Making sure the LGA and the community clearly understanding the underlying need for the service or infrastructure, and how the PPP can provide that service or infrastructure more efficiently than the LGA is critical in establishing trust. Carefully designing the **community engagement process can also help manage expectations**. At this early phase it must be clear there is no guarantee the project will be built. Make sure Project information is presented carefully, and highlight that it is only a concept at this phase.

### Community Input to Refine initial PPP Concepts

### Identifying Project Risks

## 5.3 What are the Steps for Community Engagement



### Step 1: Define the Purpose of the Community Engagement in the Pre-Feasibility Phase

The purpose of the community engagement for the Pre-Feasibility phase will normally include objectives such as:

- » Integrating community input, as the PPP concept becomes more clearly defined
- » Manage expectations, build trust
- » Begin to align business goals and competencies with concerns and development priorities of communities

*Note: To make the examples in this Guideline more useful, a hypothetical project will be used. The hypothetical project is a new Bus Terminal to replace an existing informal bus stop. The Project and all its details are not real; they are made up. However, the hypothetical bus terminal project will be useful to provide examples of community engagement steps.*

#### Hypothetical Example of Community Engagement Purpose Statement

- » The community engagement process will actively seek community input to further define the PPP concept (size, location, mode of service delivery, cost, etc.).
- » Community input may influence how Partnerships are structured and how the Project is financed.

**Be clear about how you will collect the information and use it to advance the project to the Feasibility Phase.**

**Be clear about how you will provide feedback or summaries of the information collected.**

- » Inclusion of community input into the design and development of the project will help ensure community buy-in to the Project and create an environment that enhances the sustainability and economic viability of the project.
- » Community engagement will also ensure that accurate information about the PPP is shared with the community to manage the expectations of the community about what the Project will achieve.

**Goals for Community Engagement for Bus Terminal Project:**

- » The LGA will strive to include all affected members and groups by taking into consideration the barriers community citizens, groups and organizations have to being engaged.
- » The LGA will also be realistic with the level of effort they can apply to the engagement program, as the LGA has limited resources and capacity.
- » The LGA will strive to be inclusive, practical and realistic with all its community engagement efforts for the proposed PPP.
- » The LGA will consider accessibility, physical as well as accessible for literacy and numeracy, and try to make our engagement open to everyone.

**The objectives of Community Engagement for the PPP:**

- » Collect and consider information from the community in the design of the bus terminal
- » Provide information to the community s related to both the potential service the Bus Terminal PPP will provider. Collect information on the business case for the Project, this will include discussions on the willingness to pay for an improved bus station.
- » Ensure the community has accurate information about the size and scope of the bus terminal, so that expectations are realistic about the potential for the project.
- » Identify risks early in the process



## Step 2: Decide which Community Citizens, Groups and Organizations to Engage

The Pre-feasibility phase is when the LGA begins to spend more time meeting with and engaging the community. The list of groups and members can be refined and expanded based on feedback from the engagement process.

It will be **beneficial to ensure a broad range of community perspectives** are informing the design of the PPP. The LGA should consider including groups that may have opposing views, or potential to sabotage a project as well.

The following is a hypothetical example, of community groups and citizens that could be part of the initial list of who the LGA thinks will have an interest or an influence on a Project. The proposed Bus Terminal would be located on Main Street. The current bus site is an empty unpaved lot, where informal vendors have set up stalls. In the middle of the dirt lot, busses pick up and drop off passengers.



*Photo 8 Korogwe Bus Terminal*



Surrounding the edge of the proposed bus terminal area are residential homes. Across the street are shops in permanent buildings and some informal vendors on the street in front of the shops. The diagram below is not a real location, it is just an imaginary location used for illustrative purposes for “Step 2”.

**At the Pre-feasibility Phase the List begins to form the basis for the LGAs community engagement Logs.** A community engagement Log can be a simple spreadsheet at this Phase. Later phase may require more complex engagement tracking systems, but in order to help control the cost of engagement, a simple spreadsheet can be used.

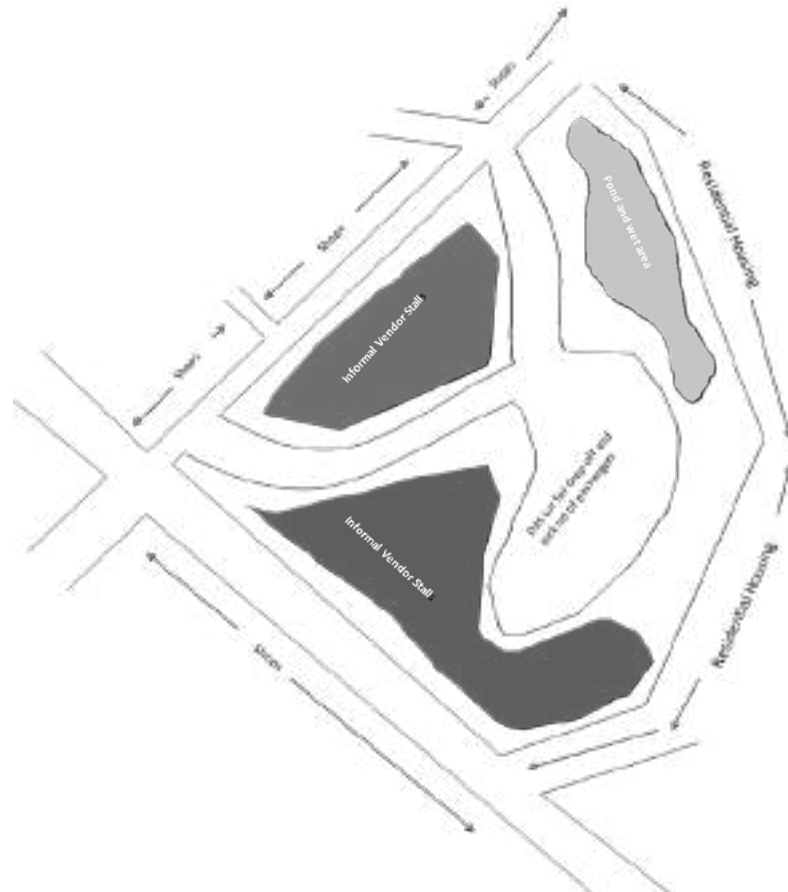


Figure 11 Sample Drawing of Bus Terminal



**List of Community citizens,  
Groups and Organizations**

The following table is a table of fictional community citizens, groups and organizations, for the Pre-Feasibility Phase. A few fictional examples have been added to the “Issues and Concerns” column.

**Table 2 Sample of Engagement Tracking Table**

Name	Type of groups, citizens or organizations	Relation to the Project	Contact information	Social Media They Use	Issues and Concerns
<b>Akida Kitutu</b>	Local resident	Lives directly behind the project	24 Main Street Cell 250-22-333-444	None	Dust and rubbish get blown into his yard from the current bus stop.
<b>Janna Asafo</b>	Bus users	Transfers buses at this location for work	835 Komo Road Cell 250-22-333-444	Whatsapp	Doesn't feel safe at night when she is using the bus stop.
<b>Joshua Malulu</b>	Informal Vendor	Sells plastic containers from handmade stall beside the bus stop	Stall 11 beside main entrance to bus stop No cellphone	None	Is worried that she will be kicked out of the area. She is willing to get an official stall but doesn't have much money to pay for it.
<b>Edina Khamis</b>	Shop owner	Runs a machine repair shop across the street	88 Main Street Cell 250-22-333-444	Whatsapp	The informal vendors and busses are blocking access to his repair shop and affecting his business.
<b>Emanuel Lindi</b>	Ward Councilor	Represents the Ward at the LGA	109 Central Road Cell 255-22-333-444 Office 22-442-456	Whatsapp Facebook	Interested in improving traffic flow and making the location more welcoming for shoppers.
<b>Kevin Afia</b>	Mtaa Representative	Liaison between the Mtaa and the Ward Councilor	Unit 4, Lot 2, A Road Cell 255-22-333-444 K.afia@gmail.com	None	He hears a lot of complaints about the current bus stop and wants to improve the site.
<b>Diasy Furaha</b>	Local Respected Elder	Has lived near project all life and is well known and respected in the Community	Unit 2, Lot 99, D Road Cell 250-22-333-444	Whatsapp	She likes the idea of a more organized bus terminal and is willing to talk to the community about the need.

<b>Cathrine Maua</b>	Neighbor LGA	Some busses travel from neighbor LGA to this bus stop	400 G Avenue	None	Want to make sure that the bus routes between the LGAs are not disrupted and are also worried that a new bus stop will take business away from their bus stops.
<b>Angel Mbaya</b>	City Transportation Director	Responsible for all transportation related projects in the city	City Hall, Building #2 Cell 250-22-333-444	None	Wants to improve the traffic flow on the roads near the bus stop, currently traffic there is very bad.
<b>Jumanne Ijumaa</b>	Imam for local Mosque	Mosque is 400 m from bus stop	309 Main Street Cell 250-22-333-444	Whatsapp	Many of the people who attend the Mosque use the bus stop. Many of them have complained about the pollution and safety.
<b>Abdole Mboa</b>	Owner of Local Construction Company	His company does construction work in the community	242 Gov Street Cel: 250-22-398-089	Whatsap Website	He would like to do construction work on the project. He has several bulldozers and other equipment.
<b>Neema Sabir</b>	Main Street Women's Group Leader	Coordinates a Women's support group, mostly focused on health issues, but also small business support	110-, Lot 1 Main Street Cell 250-22-333-444	Whatsapp	Wants a cleaner and safer bus stop for the women to use, as well as to support women to open new businesses.
<b>Merget Safaa</b>	Director Local women & children Shelter	Many of the kids work or spend a lot	55 3 Avenue Cell 250-22-333-444	None	Wants a cleaner and safer bus stop for the women to use.
<b>Farida Ridha</b>	Local representative Regional Business Council	Represents many of the shops and businesses on Main Street	779 Main Street Cell 250-22-333-444	None	Wants to support more businesses to join the business council.
<b>Sophy Tamu</b>	Head of Children's Orphanage near stop	Many of the kids work or spend time at the bus stop.	41 T Road Cell 250-22-333-444	Whatsapp	Wants a cleaner and safer bus stop for the kids to use.
<b>Cecilia Tilfu</b>	Head of local Health Clinic	Many of their clients use the bus to get to the clinic	5554 Main Street Cell 250-22-333-444	None	Want it to be easier and safer for clients to use the bus stop to visit the clinic.

<b>Dennis Vaui</b>	Head Master at school beside the bus terminal	Some children take busses to the school and kids from the school spend a lot of time at the bus stop.	880 T Road Cell 250-22-333-444	Whatsapp Facebook	Wants a cleaner and safer bus stop for the students to use.
<b>Baraka Kadiri</b>	Representative of Dalla Dalla drivers	Dalla Dalla drivers operate almost all the busses that use the current bus stop	Lot 1, Unit 5, L Road Cell 250-22-333-444	None	Concerned about extra costs the Dalla Dalla drivers might have to pay to access a new bus terminal.
<b>Jonas Jitu</b>	Representative for Street Parking company	They collect fees for parking along the street beside the bus terminal	455 Main Street Cell 250-22-333-444	Whatsapp	They don't want the new bus stop to take up any of the space they use for parking.
<b>Ahmed Fahim</b>	Head of Main Street Local Business Council	Represents main of the businesses that are across the street from the bus stop	440 Main Street Cell 250-22-333-444	Whatsapp Facebook	Access to the shops on main street are blocked by the traffic and street vendors. Want a more organized bus stop to improve traffic.
<b>Kiwanga Durah</b>	Local NGO for Clean Air	Run programs to try and reduce air pollution.	2nd Floor, Hgawa Building, U Street Cell 250-22-333-444	None	The dust and emissions from the bus stop create air pollution, they want the new stop to have less pollution
<b>Leah Baako</b>	Director of Federation of Disabled Peoples	Represents disabled people who use the bus stop	811 Main Street Cell 250-22-333-444	Whatsapp	Wants to make the bus stop more accessible for people with disabilities.
<b>Paul Twama</b>	Local Newspaper	Local newspaper and also control poster and billboards in the area	222 Main Street Cell 250-22-333-444	Whatsapp	Interested in reporting another PPP.



### Step 3: Ranking Assessment of Community citizens, groups and organizations

The LGA will need to consider both the level of interest and the level of influence citizens, groups and organizations in the Community could have on a PPP, to determine the appropriate way to engage with them. Again, the intention is not to exclude groups or citizens who are ranked as having “lower” influence or interest, but to determine the appropriate level of engagement given limited resources

The questions presented in Appendix 3, help evaluate the level of influence and interest each community member or groups may have.

Using the hypothetical list of groups and individuals listed in the previous steps, an example of a ranking assessment is included on the following page. During the Pre-Feasibility Phase, the LGA needs to add a description of the level of engagement they will use for community groups and members in the different Tiers. An example of the level of engagement for the 3 different tiers is also included in Appendix 3.



At the beginning of each PPP Phase, **the ranking assessment should be reviewed and adjusted as necessary**. For example, a community organization that is responsible for issuing licenses or permits for the PPP, could be ranked as medium interest and influence in the Identification Phase, and then as the Project is more clearly defined in subsequent phases, they will be moved up to a higher level of importance and influence. Then once the permits are issued and the PPP is operational they may move down to a medium or low level.

Using the hypothetical list of groups and individuals listed in the previous steps, an example of a possible ranking assessment is included in the following page.

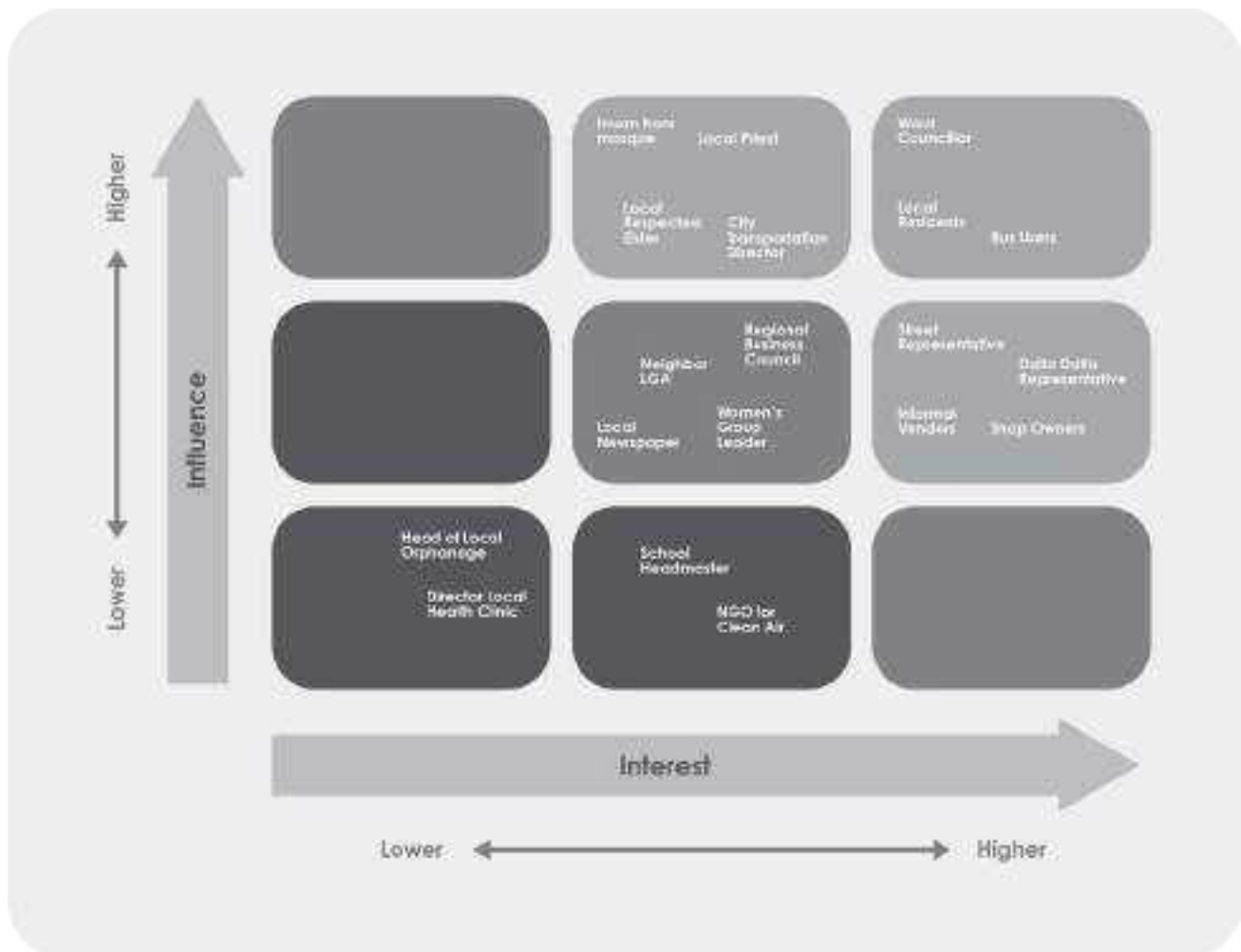
Three different tiers can be used in the ranking:

- » Tier 1 are the light grey blocks and are the highest ranking. When community engagement efforts increase in the pre-feasibility phase, there will be a need for in-depth engagement with this group
- » Tier 2 are the grey blocks and are ranked as medium. community engagement with these groups, citizens and organization is important, but will be less intensive than the Tier 1 engagement.
- » Tier 3 are the dark grey blocks and represent citizens, groups and organizations that need to be engaged so they are informed and aware of the PPP.



Photo 9 Dar es Salaam Market

Figure 12 Hypothetical Example for Step 3: Ranking of Community Citizens, Groups and Organizations





Using the Community Assessment ranking from the previous section, the following community groups and members were identified. This grouping is used to help focus the engagement process that the LGA is undertaking. All Community citizens, groups and organizations on the list will be engaged, the way in which they are engaged will be determined by the Tier they are grouped into.

**Hypothetical Example of a Bus Terminal – Actual Ranking will be different for each PPP**

Tier 1	Tier 2	Tier 3
1. Local Residents 2. Bus Users 3. Ward Councillor 4. Local Shop Owners 5. Dalla Dalla Representative 6. Mtaa Representative 7. Informal Vendors 8. Imam from local Mosque 9. Local Priest 10. Local Construction Companies 11. Local Respected Elder 12. City Transportation Director	1. Regional Business Council 2. Neighbouring LGA 3. Women’s Group 4. Local Newspaper	1. Local NGO focussed on air quality issues 2. Director of Local Health Clinic 3. Head of Local Orphanage 4. Local School Headmaster



#### Step 4: Select Method of Engagement with each Group during the Pre-Feasibility Phase and Implement Engagement

The LGA will use a variety of engagement tools during this phase. Community meetings, Community surveys and Special Committees are often used during this phase, A listing of possible engagement tools and techniques is included in Appendix 6. The following are examples of community engagement Tools that could be used during the Pre-Feasibility Phase.

#### **Hypothetical Example of Communication and Awareness Campaign (Tier 1, Tier 2, Tier 3)**

##### Action and Timelines

Over the next 6 months, publish announcements and information on the project and the PPP Process in general, in local newspapers, radio, posters and via loudspeaker each month. Using posters and loud speakers, the LGA Engagement Team will send out announcements for all meetings 1 week in advance of meeting. The LGA will also continue to raise community awareness of the PPP Process by sending out notices about the PPP Process and how it works and the role of the Private sector. All documents published for the project will include the web address where citizens can find more information.

##### Person Responsible

Ms. B A. will be the lead contact for LGA. She will be responsible for planning and facilitating the 2 meetings. Ms. B A. will also be responsible for coordinating the PPP Node to attend the meetings.

##### Resourcing

Ms. B A will be allocating 1 day per week to work on the PPP community engagement process.





**Hypothetical example of Community Profiling (Tier 1, Tier 2 and Tier 3)**

Action and Timelines

A community profiling exercise will be held during this Phase. Two or three representatives from each of the community entities in Tier 1 will be invited, as will one representative from each Tier 2 and Tier 3 entities. The meeting will be used to collect community information on resources and services that are provided by the current bus stop area. It will also be used to map how users of the site access the area, and the types of activities they undertake while they are at the site. The mapping exercise will also document associated use areas and where the current system creates problems or challenges.

Person Responsible

The Community Development and Welfare Department, lead by Ms. B A. will be responsible for ensuring the community mapping exercise occurs.

Resourcing

The Community Development and Welfare Department leader, Ms. B A. will allocate 2 days per week to work on the PPP community engagement process. She will be supported by 2 other LGA employees who will each allocate 1 day per week to the PPP community engagement process.

**Hypothetical example of Survey – Willingness to Pay (Tier 1 and Tier 2)**

Action and Timelines

A survey of the current service providers and users of the site will be conducted to determine their willingness to pay for access to a more efficient and organized bus terminal and the associated vendor stalls. This information will be crucial in determining the size and scope of the project during the pre-feasibility phase. The survey will be conducted over a 2-month period, and will aim to collect information from 30% of the service providers and users in the community, with a focus on Tier 1. The survey will be designed with support from the PO RALG PPP Node to ensure the questions are worded properly so the results are considered valid.

Person Responsible

The Community Development and Welfare Department, lead by Ms. B A. will be responsible for ensuring the community mapping exercise occurs.

### Resourcing

The Community Development and Welfare Department leader, Ms. B A., will allocate 2 days per week to work on the PPP community engagement process. She will be supported by 2 other LGA employees who will each allocate 1 day per week to the PPP community engagement process.



### Step 5: Issue Tracking and Complaints Management Process

At the Pre-Feasibility Phase, the Community will likely share comments or questions about a PPP concept. The LGA will need to establish a simple procedure to record and respond to issues, concerns and received from the community. Good engagement practices, require that the feedback be acknowledged in some way. The LGA could then build on this simple process to create a more fulsome issues tracking and complaints management process for the Feasibility Phase. A sample log for managing issues, concerns and complaints similar to the one used in Step 2 (above) could be utilized.

The process for community citizens, groups and organizations to provide input or submit a complaint should be simple and widely accessible. All the complaints should be kept confidential and the LGA needs to ensure that a response to the complaint is made in a timely fashion. The objective is to address potential problems early and address them whenever possible.

The complaints management procedure does not replace the public mechanisms of complaint and conflict resolution but attempts to minimise use of them. Community citizens, groups and organizations who do not feel their issue or complaint was appropriately addressed, they can always use the judiciary system to try and resolve their issue.



Photo 10 Market in Mbeye



## Step 6: Reporting and Monitoring at the Pre-Feasibility Phase

The following is a sample of some of the topics that could be covered in a report that would be shared externally for the Pre-Feasibility Phase. Some additional details on the content in each section of a sample report is included in Appendix 7.

### Summary of Community Engagement Activities

- » What Community groups were targeted?
- » How many were engaged?
- » How did we let the Community know about the engagement (key notifications, meeting dates, Actions)?
- » What input was the LGA trying to collect from the Community?
- » What types of engagement tools were used?

### Summary of Feedback from the Community

- » What feedback did we receive on the issue or challenge that PPP would address?
- » What feedback did we received on the PPP options to solve this issue or challenge?
- » What were the key concerns or risks identified?
- » What were the key opportunities identified?

### Next Steps

- » Upcoming community engagement events
- » Timeline for completing Pre-Feasibility Phase



The LGA will also need to continue to internally keep track of community engagement activities. The LGA should use the report created for the Identification Phase as a template. The Internal reporting includes issues tracking tables, meeting minutes, and copies of the information used in any public awareness notices or postings on-line.

If funding is available, it is recommended that during community meetings and consultations the Project Spokesperson be supported by a person that can record the feedback shared by participants. Recording the date, location, list of participants, questions being asked, the response provided and any follow-up that might be required will assist in reporting to the Project team and regulatory authority.



Photo 11 Moshi Market

## Estimate of Costs

Using input from several of the LGA representatives some estimates of the range of costs the LGA might expect to pay for community engagement for Pre-Feasibility Phase are included below. Extreme caution should be used when considering this cost estimates. The variations in community engagement programs can be large, and estimating cost is challenging. For example, it may be possible for the LGA to partner with other community engagement programs, as a way to share costs. However, a range is provided, given the following assumptions.

- » The community engagement activities will occur over a 12-month period
- » The LGA will assign several staff members to work on the community engagement for the 12 months
- » There will be 3 main community meeting over the 12 months, with about 100 people attending to provide input on the general PPP concept, and begin to narrow down the project to a few viable options
- » The LGA will use multiple engagement techniques to inform the community about the meetings, to share the results of the meetings and continue their public awareness announcements about PPP and the PPP Process. Billboard posters, radio announcements and automobiles with speakers will be used. As well as 2 update newsletters over the 12 months, that will be made widely available throughout the community.

Cost might range between TZS 10,000,000 and TZS 20,000,000.

## Pre-Feasibility Phase - Check list for Completion of Community Engagement

Community Engagement for the Pre-Feasibility Phase typically focuses on collecting initial input and feedback on the potential PPP, and using that information to inform the design of the PPP. Getting input from a variety of community groups, organizations and citizens, including the LGA themselves, is a key task in this Phase.

The engagement activities become more advanced during the Pre-Feasibility Phase. If the LGA thinks they have the capacity to undertake the community engagement activities, they can use the information in this “*Community Engagement for PPP Guideline*” document as a guide. If the LGA chooses to hire a consultant to design and implement the community engagement process, they can familiarize themselves with the process and the deliverables the consultant should provide by reading the Guideline and utilizing this checklist.

Step 1: Define the Purpose	Comments
<input type="checkbox"/> Was information about the service or infrastructure the community identified in the Identification Phase considered when developing the purpose for this phase? (share materials and final report from Identification Phase with Consultant)	
<input type="checkbox"/> Was the purpose of the community engagement Process clearly defined at the start of the Pre-Feasibility Phase? Did it describe how the communities input would be utilized? (example Appendix 1)	
<input type="checkbox"/> Were the goal(s) and objective(s) of the community engagement Process clearly defined at the start of the Phase? (What are the tasks to be completed, what are the goals)	
Step 2: Decide whom to Engage	Comments
<input type="checkbox"/> Were the staff within the LGA structure, such as environmental officers, community planners and Mtaa Chairman, involved in community engagement identified prior to starting the engagement?	
<input type="checkbox"/> Did the process define whom, within the LGA structure, such as LGA councillors, informed of community engagement results?	
<input type="checkbox"/> Did the process consider a variety of community citizens, groups and organizations to be engaged? ( e.g. local residents, end users, community leaders, women’s groups, volunteer groups, trade unions, etc.)	
<input type="checkbox"/> Was a community engagement list created with contact information for identified citizens, groups and organizations? (example page 75)	

Step 3: Community Engagement Ranking	Comments
<input type="checkbox"/> Did the process define the level of interest community citizens, groups and organizations will have in the PPP? (example Appendix 3)	
<input type="checkbox"/> Did the process define the level of influence community citizens, groups and organizations would have over the PPP? (example Appendix 3)	
<input type="checkbox"/> Was a community engagement Ranking Matrix developed for the PPP? (example Appendix 3)	
<input type="checkbox"/> Was the ranking matrix reviewed by the LGA?	
<input type="checkbox"/> Did the ranking matrix inform the level of engagement for each community citizen, group or organization? (No groups, organization or member should be ignored, but need to utilized limited resources efficiently)	
Step 4: Select Method of Engagement and Undertake Engagement	
<input type="checkbox"/> Did the process consider a variety of engagement tools and processes?	
<input type="checkbox"/> Was a list of the engagement tools and process they would use developed? (timelines, dates, target audience, key messages, expected outcomes, responsibility, budget)	
<input type="checkbox"/> Was there sufficient internal and external resources to implement the engagement tools and processes selected?	
<input type="checkbox"/> Was there sufficient time to adequately finish the community engagement?	
<input type="checkbox"/> How did the process consider the management of expectations during the engagement activities?	
Step 5: Complaints Management Process and Issues Tracking	
<input type="checkbox"/> Was an issues tracking and complaints management process developed? Did it integrate with the LGAs Complaints Resolution Desk?	
<input type="checkbox"/> Was the process to provide input, ideas concerns and complaints easy to access, no cost and efficient?	
<input type="checkbox"/> Is there a clear record of issues and complaints received and how they were responded to and considered in project design?	



## Step 6: Reporting and Monitoring

- Was a report of the community engagement process and results developed?

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- Did the report determine if it meet the purpose and objectives defined at the start of the phase?

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- Did the final report contain: summary section, overview of issues, methods used for engagement, summary of the actual engagement meetings or events, analysis of results and recommendations, costs, next steps.

## Budget

- Was a budget for the Time (fees) needed to complete the project developed, taking into consideration, the time for LGA staff to undertake the process; time for any consultants working with the LGA; and any other time/fees required?

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- Was a budget for the Expenses needed to complete the project developed, taking into consideration, the costs for advertising, hosting meetings or events, the materials need for engagement and any other expenses?

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### *Case Study 3 Engagement Activities during the Pre-Feasibility Phase for the West Bank Solid Waste Management PPP*

In 2010/2011, the Joint Service Council for Solid Waste Management (SWM) for Hebron and Bethlehem in Palestine, with the support of the International Financial Corporation (IFC) embarked to attract Private Sector Participation (PSP) for the operations and maintenance of facilities for Hebron and Bethlehem Governorates.

community engagement was a key part of the PPP process and included:

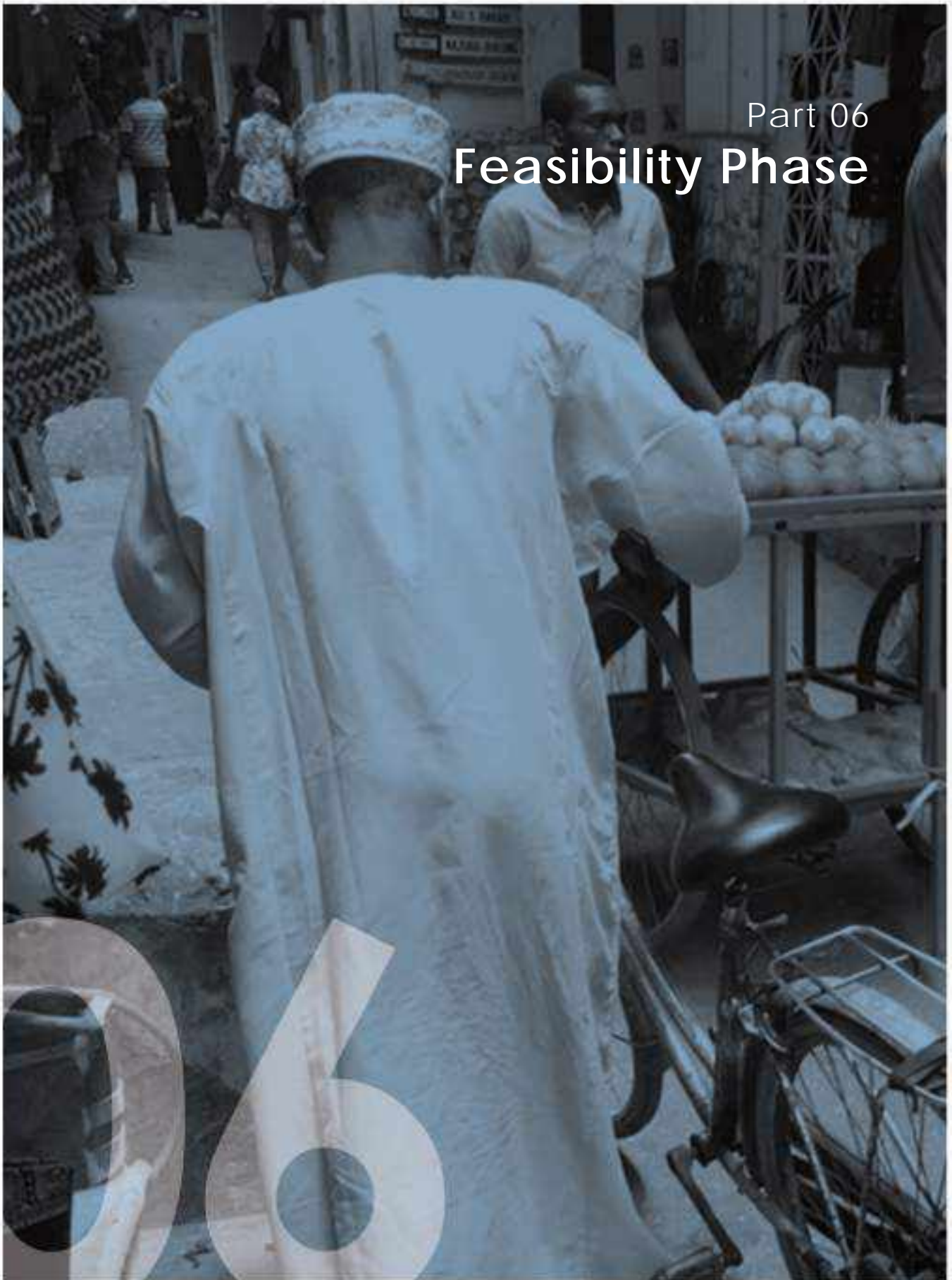
- » Nine community meetings (5 in Hebron Governorate and 4 in Bethlehem Governorate), where the public were invited to discuss SWM issues;
- » Interviews with SWM staff in eight additional municipalities and village councils;
- » Interviews with senior staff from the Joint Service Council for Hebron and the Joint Service Council for Bethlehem; and,
- » Focus group meetings, one in each Governorate (which were attended by SWM staff of several municipalities and village councils, Joint Service Councils, and IFC project team and citizens.

The community engagement was successful in eliciting information from the public/households on socioeconomic characteristics as well as the SWM system. Proactive engagement with the communities also contributed to the success of the project by:

- » Creating an environment where the public was willing to participate in discussions, ask for clarifications and raise their concerns,
- » Acknowledging the public's role in designing and implementing an improved overall system

"The project was a very interesting and rich one. It involved various stakeholders, as would be expected with PPPs, including around 30 municipalities, waste management authorities (namely the Joint Service Council for Hebron and Bethlehem), and private sector partners. The GPOBA component of the project, also highlighted the importance of outreach to all municipalities involved and the importance of explaining the positive impact of the project on end users and the environment. Tailoring the project to the specific needs and circumstances of the country took a concerted effort by project stakeholders to arrive at the successful outcome." M Alnassa, IMF Palestine

Part 06  
**Feasibility Phase**



# 6.0 FEASIBILITY PHASE

## 6.1 Analyses Feasibility of PPP

The Feasibility Phase begins once the LGA is confident that a Project concept is well defined, and the economic, commercial, financial and management cases for the Project have been established. **Community engagement for the Feasibility Phase is more extensive than the previous phases**, and therefore the LGA may consider hiring a consultant to design and implement the process at this point. Over time, as the LGAs build their capacity, they may decide to undertake the community engagement themselves. The information in this Guideline can guide the LGAs through this process if they are doing it themselves. If the LGAs hire a consultant, then this Guideline and the checklist at the end of this section, can be used to help the LGA manage their consultant.

Another consideration is cost, as the higher levels of engagement will typically mean higher costs. As the LGA is unlikely to have a private sector partner for the Feasibility Phase, the resources and money needed to complete the community engagement, or hire a consultant to do it, will likely have to be paid for by the LGA.

Community engagement at this point is focused on fine-tuning the Project design and mitigating project risks such that the PPP addresses the communities needs while still having a strong business case that would attract private sector partner(s).

The Feasibility Phase is often when the LGA will begin to complete studies to **comply with National legislation and international safeguard policies**. The community engagement process sits underneath those larger processes and some of the information collected during community engagement can be used in reports such as environmental and social impact assessments or resettlement action plans.

**The increased level of interest can lead to increased community expectations.** It will be important to manage community expectations during this Phase, as there is no guarantee the Project will be built until a private sector partner is interested in building it.

The LGA may have more detailed discussions with potential private sector partners at this point, and **potential private sector partners will likely want to see evidence of community engagement activities.**



*Photo 12 Mpanda Bus Terminal*

## 6.3 What are the Steps for Community Engagement



### Step 1: Define the Purpose of the Community Engagement in the Feasibility Stage



In addition to the purpose described in the Pre-Feasibility phase, the Feasibility phase should also collect enough input to allow the LGA to make a firm decision to proceed, or not with the PPP. Moving beyond the Feasibility Phase would likely result in the LGA making some binding commitments that have financial and legal implications. The Purpose should include collecting community input to inform that decision. It should also consider how community engagement can assist the assessments required by the Feasibility Study (FS), as well as the required environmental and social assessments.

During the Feasibility Phase, the LGA must focus on clearly communicating social and economic aspects of the Project especially to those in the community that will be affected (through rents, tariffs, user fees) by the PPP. Ideally, input from the community will:

- » Be used in final design, as projects that reflect the community input are more sustainable,
- » influence strategies for generating project revenue and securing financing; how the project is paid for should be influenced by community input,
- » influence management plans and clearly describe potential risks, and
- » Provide input for other PPP assessments, such as regulatory studies (Resettlement Action Plan (RAP) or EIA), or the assessment of strategic, commercial, financial and legal viability.



## Step 2: Decide which Community citizens, groups and organizations to Engage

The LGA should use the list of community groups and members created in the previous phase. **The list of community citizens, groups and organizations should be refined and expanded based on feedback from the engagement process.** The majority of the community engagement effort at this phase, is on the impacted communities.

The LGA should ensure groups or organizations related to local businesses and employment are included, for example: local trade unions and business development groups, local working training centers and local businesses that could provide cost effective services during construction or operation of the PPP. In addition to finding opportunities for local partnerships and maximizing local benefits, engagement with local private sector companies can help address the lack of trust that generally exists between the public and private sector in Tanzania. A constructive relationship between private sector and public sector in the community is needed for the PPP to be successful.

The list is the basis for the LGAs Community Engagement Logs. At this Phase, a more complex engagement tracking system will be required, in order to ensure the engagement is properly recorded and used in the design of the PPP. Using the hypothetical example described in the Pre-Feasibility Phase, some examples are provided of the changes to the list that might be made during the Feasibility Phase. The same fictional bus terminal project continues to be used in this example.

**Community List of Citizens, groups and organizations - Updated during the Feasibility Phase**

Table 3 provides an example of the column headings the LGA could use as they document their engagement in more detail. This table uses the example provided in the Pre-Feasibility section, but illustrates how more columns can be added for the Feasibility Phase. This table includes a couple of examples, each LGA should add columns they need for their specific PPP.

**Table 3 Hypothetical Example of Engagement Log**

First Name	Last Name	Name of Group/ Organization, etc.	Position in Group/ Organization etc.	Address	Phone	Social Media	Email	Method of Contact (e.g. phone, open house, email)	Summary of Comment/Discussion	Answer/Response Provided by LGA (if any)	Follow up Required (Yes/No)	Who is responsible for Follow up	Timeline for Follow-up	Status
A	K.	Local Resident	NA	24 Main Street	250-22-333-448	Whatsap		Open House _ Feb 19	Dust and rubbish get blown into his yard from the current bus stop.	LGA is considering dust control measures in the new bus station, such as paving the lot.  Rubbish collection is a concern to the LGA and they want to do a better job of controlling rubbish.	NA	NA	NA	Complete
A	K	Local Resident	NA	24 Main Street	250-22-333-448	Whatsap		Open House - Mar 29	He liked the plan to pave the bus station lot.  He wanted to know which organization would be collecting rubbish at the station and how many collection bins they would have.	The plan is still preliminary, and could change, but the current idea is to pave the lot  The LGA representative what not sure about the plans for garbage collection, but will get more information for Akida.	Yes  Need to provide additional information on garbage collection plan.	Ms. B. A.	3 weeks	On-going



First Name	Last Name	Name of Group/ Organization, etc.	Position in Group/ Organization etc.	Address	Phone	Social Media	Email	Method of Contact (e.g. phone, open house, email)	Summary of Comment/Discussion	Answer/Response Provided by LGA (if any)	Follow up Required (Yes/No)	Who is responsible for Follow up	Timeline for Follow-up	Status
Emanuel	Lindi	Ward Councilor	East Side Ward	109 Central Road	255-22-333-444 22-442-456	None		Open House – Feb 19	Interested in improving traffic flow and making the location more welcoming for shoppers	NA	NA	NA	NA	Complete
Emanuel	Lindi	Ward Councilor	East Side Ward	109 Central Road	255-22-333-444 22-442-456	None		Focus Group – Apr 13	Attended the first Meeting of the Focus Group.  Agreed to the goals and objectives developed for the Group	NA	NA	NA	NA	Complete
Abdole	Mboa	Mboa Construction Ltd.	Owner	242 Gov Street	250-22-398-089	Website www.mboa.com		Open house Feb 19	He would like to do construction work on the project. He has several bulldozers and other equipment	The LGA will offer Workshops to local companies to help prepare them to bid on contracts	Yes, invite Mr. Mboa to Procurement workshop	Procurement Lead	2-months	Complete
Abdole	Mboa	Mboa Construction Ltd.	Owner	242 Gov Street	250-22-398-089	Website www.mboa.com		Bidding Workshop Apr 24	He thought the workshop was very helpful, and he would like to attend the next one as well	Local companies are welcome to attend all the local Procurement Workshops	Yes	Procurement Lead	On-going	On-going



### Step 3: Ranking Assessment of Community Groups and Members in the Feasibility Phase

A Ranking Assessment will identify the level of engagement effort that is appropriate to apply to each community citizen, group or organization as the PPP design is further refined. The LGAs may find that some groups who were very interested during the early phases, are less interested as they become more familiar and comfortable with the Project. The community engagement efforts in the previous phases can create benefits in this phase.

The LGAs will need to evaluate each community citizen, group, and organization and determine their level of interest or level of influence over the PPP and if it has changed now that the Project is in the Feasibility Phase. The questions presented in Appendix 3, can help evaluate the level of influence and interest each community member or groups may have.

The following Figure shows how some groups can have a different level of interest or influence in the Feasibility Phase and therefore move to a different area of the ranking matrix.



Photo 13 Mwanza Bus Station

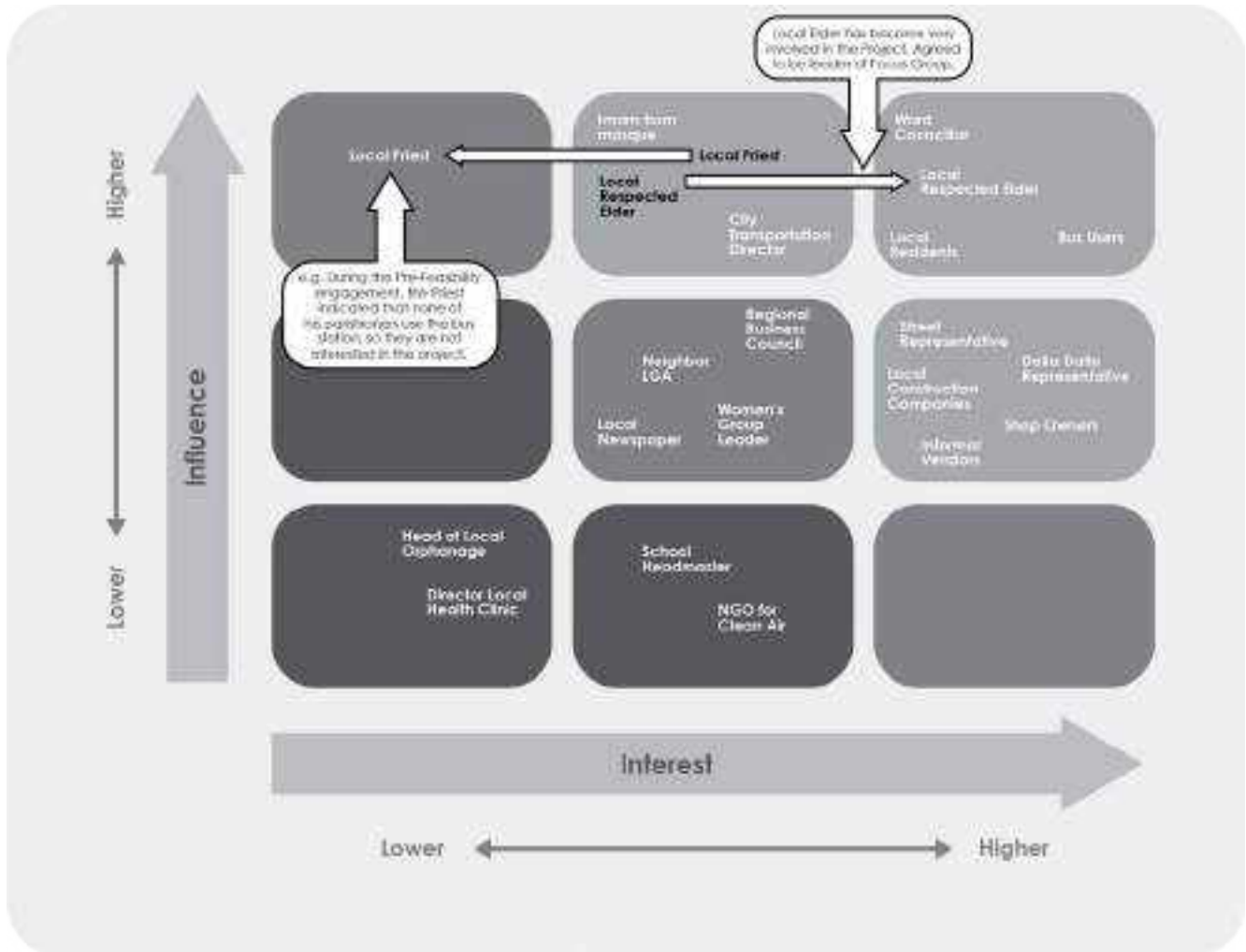


Figure 13 Hypothetical Example for Step 3: Changes in Ranking of Community Citizen, group, and Organizations



**More direct engagement with the community, and specifically those that are directly affected by the Project, will occur during the Feasibility Phase.**

#### Step 4: Select Method(s) of Engagement

As the LGA undertakes more community engagement activities, the number of engagement techniques and tools they use will likely increase. A full description of engagement tools and techniques can be found in Appendix 7. Examples of ones that might be used during the Feasibility Phase include:

- » One-on-one meetings
- » Community Focus Group / Task Force or Special Committee
- » Surveys to generate information about specific topics
- » Direct Meetings with Specific Community Groups
- » General Community Meetings
- » Information centres, booths, etc.
- » Communication and Awareness Campaigns
- » Media releases
- » Community champions/leaders to communicate with the impacted communities

One type of engagement tool that the LGAs should consider during the Feasibility Phase are workshops aimed at local companies. During the next phase (Procurement) the PPP will need to select the companies that provide the best value for money, and it would be beneficial if they were also community-based businesses as this would maximize local benefits. In order to give the local business, the best possible chance to win contracts and help overcome the underlying lack of trust between the private and public sector, the LGA should hold procurement specific workshops with community-based businesses. At the workshops, they should provide information on the type of contracts they will need, the qualifications they will need and even teach them how to write a competitive proposal.



**Hypothetical Example of Workshop with Community-based Businesses (Tier 1, Tier 2 and Tier 3)**

Action and Timelines

A series of workshops will be held for local community-based businesses to attend. During the Procurement Phase, the PPP will need to pick the bids that provide the best value for money. To help the community-based businesses compete for work, the LGA will work with local companies so they understand the types of services they will need, the qualifications they are going to be looking for and how they will score proposals. The LGA will help train the local companies so they know how to write good quality and competitive proposals.

Person Responsible

The Community Development and Welfare Department’s Local Procurement representatives will be responsible for ensuring the workshops with local companies occur.

Resourcing

The Community Development and Welfare Department’s Local Procurement representatives will allocate 2 days per week to work on the PPP community engagement process. They will focus their work on helping the local businesses understand the procurement process and be prepared to submit competitive bids.

**Hypothetical Example One on One Meetings (Tier 1 and Tier 2)**

Action and Timelines

One-on-one meetings will be held with vendors and households adjacent to the Bus Terminal to identify traffic and safety related issues. Information from these meetings will be used in the final layout and traffic flow design of the bus terminal.

Person Responsible

The Community Development and Welfare Department Lead representatives will be responsible for ensuring the one-on-one meetings with vendors and residents occurs.

Resourcing

The Community Development and Welfare Department’s Local Procurement representatives will allocate 4 days to this one-time task.

## Step 5: Issues Tracking and Complaints Management Process

**At the Feasibility Phase, the LGA must carefully document issues and input from the community as well as complaints and grievances.** The previous process of documenting concerns and issues should be integrated into a more formal process.

Utilizing community input in the design and operation of the PPP makes the project more sustainable, as the community support for the project will be greater. The example of the engagement log (Table 3) in Step 3 above illustrates the type of information that could be included when tracking issues.

As well, it is important to record and respond to all community comments and complaints in a timely fashion. A further discussion of the Grievance Management Process and a sample log are included in Appendix 8, 9 and 10. A log of each complaint should be kept. To simplify the process, the log should be similar to the engagement log described in Step 3.





### Step 6: Reporting and Monitoring

By the end of the Feasibility Phase, the LGA should be reporting regularly to the community and internally to the LGA. The reporting at this phase should highlight how the input from the community engagement process has influenced the design or operation of the PPP.

The LGA should also have identified key indicators that they will monitor as the Project progresses through procurement and into operation. These indicators should be developed in consultation with the community and focus on the outcomes that they community and LGA want to see from the PPP. If the proposed PPP is a bus terminal, then some indicators might be: How many busses and passengers are using the site each week? What is the level of satisfaction with the new bus terminal for users (based on opinion surveys), etc.

Appendix 7 has a sample outline for the reporting.

## Estimate of Costs

As with previous sections of this Guideline, an estimate of the range of costs the LGA might expect to spend on community engagement for the Feasibility Phase is included. Other engagement processes will be undertaken during the Feasibility Phase, and the community engagement process should try to coordinate activities with them, as a way to share costs.

Estimates are based on the following assumptions, but should be viewed with caution, as it is extremely difficult to predict costs given the large range of possible PPPs.

- » The community engagement activities will occur over an 18-month period.
- » The LGA will assign several staff members to work on the community engagement for the 18 months.
- » There will be 6 main community meetings over the 18 months, with about 100 people attending to provide input on the general PPP.
- » A Task Force will be set up with 20 community representatives and they will meet about 5 times to discuss specific issues related to the PPP. A Willingness to Pay survey will also be conducted. And a simple Complaints Management process will be started.
- » The LGA will use multiple engagement techniques to inform the community about the meetings, to share the results of the meetings and continue their public awareness announcements about PPP and the PPP Process.
- » Billboard posters, radio announcements and automobiles with speakers will be used. As well as 4 update newsletters over the 18 months, that will be made widely available throughout the community.

Cost might range between TZS 25,000,000 and TZS 40,000,000.



## Feasibility Phase - Check list for completion of Community Engagement

The Feasibility Phase begins once the LGA is confident that a project concept is well defined, and the economic, commercial, financial and management cases for the project have been established. Community engagement for the Feasibility Phase is more extensive than the previous phases. The LGA may consider hiring a consultant to design and implement the community engagement process. Over time, as the LGAs build their capacity, they may decide to undertake the community engagement themselves. The information in this Guideline can guide the LGAs through this process, or if the LGAs hire a consultant, then this checklist can be used to help the LGA manage their consultant.

Step 1: Define the Purpose	Comments
<input type="checkbox"/> Were the results of the Pre-Feasibility community engagement reviewed before the purpose of the Feasibility Phase was defined?	
<input type="checkbox"/> Was the purpose of the community engagement process clearly defined at the start of the PPP Phase? Did it describe how the communities input would be utilized? (example Appendix 1)	
<input type="checkbox"/> Were the goal(s) and objective(s) of the community engagement Process clearly defined at the start of the PPP Phase?	
<input type="checkbox"/> Did the purpose, goals and objectives consider how the community engagement could assist other PPP efforts, such as providing input into regulatory studies needed for the PPP (Resettlement Action Plan, EIA), or input into the strategic, commercial, financial and management studies for the PPP?	
Step 2: Decide whom to Engage	Comments
<input type="checkbox"/> Was the list of community citizens, groups and organizations from the Pre-Feasibility phase used as the starting point for the list in the Feasibility phase? (example Appendix 2)	
<input type="checkbox"/> Was the list updated to reflect feedback and information collected during previous engagement activities?	
<input type="checkbox"/> Was the list updated during the Feasibility phase as new citizens, groups or organizations were identified? The list should also be updated with consideration of whom in the community will be consulted for related studies such as EIA and RAP.	
<input type="checkbox"/> For the Feasibility Phase, was specific consideration given to including groups or organizations related to local businesses and employment on the list?	
<input type="checkbox"/> Was a community engagement list created with contact information for identified citizens, groups and organizations? (example page 96)	

Step 3: Community Engagement Ranking	Comments
<input type="checkbox"/> Did the process define the level of interest community citizens, groups and organizations will have in the PPP? Did the ranking consider how the level of interest may have changed from the Pre-Feasibility Phase to the Feasibility Phase?	
<input type="checkbox"/> Did the process define the level of influence community citizens, groups and organizations would have over the PPP? Did the ranking consider how the level of influence may have changed from the Pre-Feasibility Phase to the Feasibility Phase? (examples in Appendix 3)	
<input type="checkbox"/> Was a community engagement Ranking Matrix developed for the PPP? (example in Appendix 3)	
<input type="checkbox"/> Was the ranking matrix reviewed by the LGA?	
<input type="checkbox"/> Did the ranking matrix inform the level of engagement for each community citizen, group or organization? (No groups, organization or member should be ignored, but need to utilized limited resources efficiently)	
Step 4: Select Method of Engagement and undertake Engagement	
<input type="checkbox"/> Did the process consider a variety of engagement tools and processes that would be appropriate for the specific community where the PPP is being proposed? (example Appendix 6)	
<input type="checkbox"/> Was a list of the engagement tools and process they would use developed? (timelines, dates, target audience, key messages, expected outcomes, responsibility, budget)	
<input type="checkbox"/> Was there sufficient internal and external resources to implement the engagement tools and processes selected?	
<input type="checkbox"/> Was there sufficient time to adequately finish the community engagement?	
<input type="checkbox"/> How did the process consider the management of expectations during the engagement activities?	
<input type="checkbox"/> Were the issues and concerns raised during the engagement considered in the design of the PPP?	
Step 5: Issues Tracking and Complaints Management Process	
<input type="checkbox"/> Did the process incorporate an issues tracking and complaints management process, that integrates with the LGAs Complaints Resolution Desk? (examples in Appendix 8, 9 and 10)	
<input type="checkbox"/> Was the process to provide input, ideas, concerns and complaints easy to access, no cost and efficient?	
<input type="checkbox"/> Is there a clear record of issues and complaints received and how they were responded to and considered in project design?	

## Step 6: Reporting and Monitoring

- Was a report of the community engagement process and results developed? (example in Appendix 6)

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- Did the report determine if it meet the purpose and objectives defined at the start of the phase?

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- Did the final report contain the suggested sections as outlined in Appendix 6, and did it include development of key performance indicators for the LGA to monitor going forward?

## Budget

- Was a budget for the Time (fees) needed to complete the project developed, taking into consideration, the time for LGA staff to undertake the process; time for any consultants working with the LGA; and any other time/fees required?

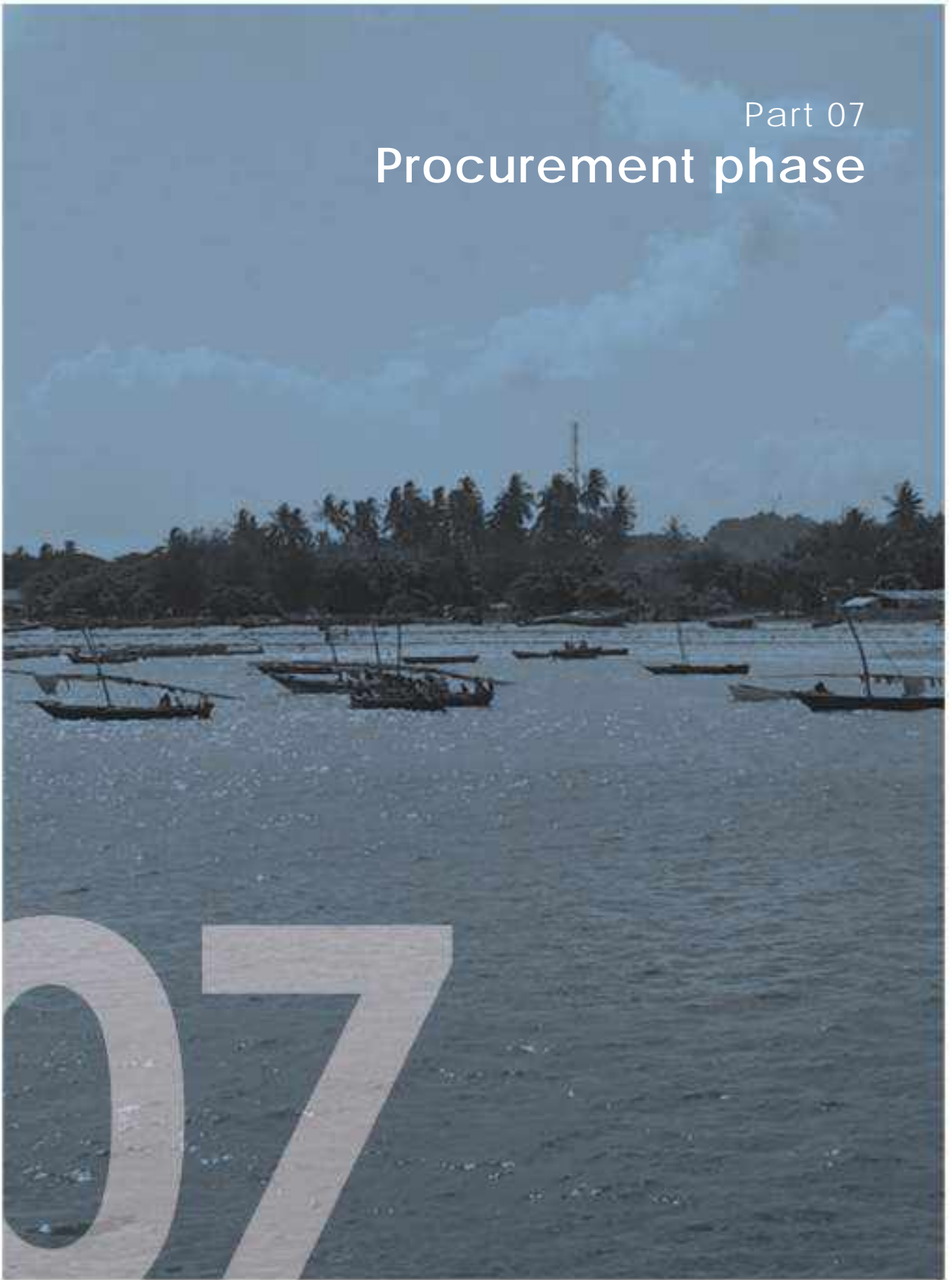
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- Was a budget for the Expenses needed to complete the project developed, taking into consideration, the costs for advertising, hosting meetings or events, the materials need for engagement and any other expenses?

Part 07

# Procurement phase

07



# 7.0 PROCUREMENT PHASE

## 7.1 Procurement for the PPP

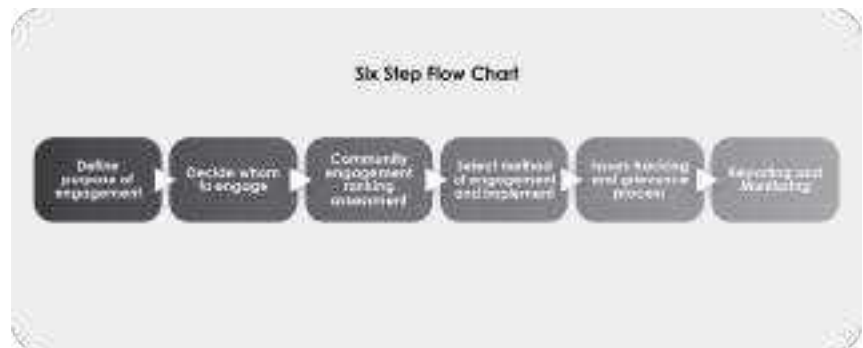
The PPP design is mostly finalized by the end of the Feasibility Phase and partnership agreements with the Private sector are now negotiated and signed, and the Private sector is an active partner.

Following a similar process as in previous phases, the PPP will need to work to continue engaging the community, as the procurement process is completed. The community engagement program can last for several years during this phase. The LGAs may consider hiring a consultant to undertake the community engagement, or if they have the capacity and resources, they can do the engagement themselves. The information in this section of the Guideline can help guide the LGA as they design and implement the engagement, or this section along with the checklist at the end, can help the LGA manage a consultant.

The LGAs will partner with the private sector partner that provides the greatest value for money. The LGA will want to consider local private sector partners, but sometimes the best private partner may not be based locally. When this occurs, good community engagement can help the local community understand the procurement process and how the LGA selects their partner. The Community will want to know that the best private sector partner, with the best price was selected and a good community engagement process can help do this.

For PPPs with fees, tolls or tariffs, the community users are often the ones who will ultimately be paying the bill, and if they don't think the LGA selected the private sector partner who offered the best value for money, then there can be resistance to paying the fees, etc.

## 7.3 What are the Steps for Community Engagement



### Step 1: Define the Purpose of the Community Engagement

As with the previous Phase, it is important the LGA clearly define why they are engaging the Community during the Procurement Phase.

The government of Tanzania has set goals for maximizing local benefits when considering development projects. Focused engagement during the Procurement Phase can help LGAs achieve local benefit by identifying potential local partners, possible employment opportunities, and opportunities for local businesses, trades, and service providers to bid on contracts or sub-contracts for new PPPs.

The specific goals will vary depending on the project, but some of the goals may be:

- » Maintain transparency around bidding and procurement processes by sharing information with the community
- » Maximize local benefit and local economic opportunities where they are cost competitive
- » Ensure value for the community
- » Maintain support for the PPP
- » Continue building trust and managing expectations. Especially important during the procurement phase when business or financial realities may cause the project to not proceed.





## Step 2: Decide Which Community Citizens, Groups and Organizations to Engage With

The LGA will need to review and adjust the existing list of community citizens, groups and organizations that will be engaged. The list will likely include more local private sector companies, than the previous phases and more focused around the location of the project.

Many PPPs create opportunities for both direct and indirect contracting and employment opportunities that local people, service providers and companies can bid on. Engaging with the local community businesses and workers so they understand the bidding process and can submit competitive proposals will help maximize participation. The selection of companies for the PPP will be based on value for money, regardless if they are based locally, or not. However, if local companies are competitive and win bids, it helps increase community acceptance and support of the Project.

Community-based businesses and workers should have been identified in previous phases of the PPP engagement process and so the LGA will already have shared information with them on the types of services that are required and the qualifications that their company would need to have to bid on the work. Previous engagement would have been more about informing, but the engagement during the procurement phase will also involve encouraging and supporting local businesses and workers to pursue contracts and work opportunities.



Photo 14 Market Stall in Dar es Salaam

### Community List of Citizens, groups and organizations - Updated for the Procurement Phase

The list developed for the Feasibility Phase should be used again for the Procurement Phase. As mentioned, this phase will focus more on the community near the Project, the primary users of the PPP and private sector companies who may be bidding on work. The LGA can use the engagement process to make sure local companies understand the needs of the project the types of services and products the qualifications that local companies will need to bid on work. The following table is the same List of Community citizens, groups and organizations, used in the Feasibility Phase, but was updated to reflect the engagement that could occur during this Phase.

**Table 4 Hypothetical Example of Engagement Log**

First Name	Last Name	Name of Group/ Organization, etc.	Position in Group/ Organization etc.	Address	Phone	social Media	email	Method of Contact (e.g. phone, open house, email)	Summary of Comment/Discussion	Answer/Response Provided by LGA (if any)	Follow up Required (Yes/No)	Who is responsible for Follow up	Timeline for Follow-up	Status
Kwite	Mbo a	Mboa Construction Ltd	Owner	454 Go Street	250-22-453-476	Whatsap Facebook  www.mbo a.com		Procurement Workshop April 24	He has experience with concrete and foundation work, and wants to know how to bid on the PPP work.	The LGA will post a summary of all the contracts on-line. And will email this information to Kwite's company as well. He will be invited to the trade fare and bidding workshop hosted by the LGA and the PPP Node.	Yes	Team Lead	On-going  Invitation to Procurement workshop 2-3 weeks prior to the day the workshop is held	On-going
S	Adi	Shop A	Shop owner	454 Go Street	250-22-453-476				He has provided input in previous engagement phases about the traffic problem the bus terminal will cause his shop. Trucks will not be able to access. Will there be compensation for his lost business	The City will be building a turning lane for the bus terminal and that will allow trucks to access his show. The PPP will follow up with the City and find out when they are constructing the turning lane. PPP will work with shop owner to see if there are short-term solutions to the problem.	Yes	Project Manger	On-going	On-going





### Step 3: Ranking Assessment of Community citizens, groups and organizations

The LGA will review and adjust the Ranking Assessment as the PPP progresses to the Procurement Phase. Now that the project has a specific location, the importance of community citizens living close to the Project, and who use the project regularly increase in interest and influence. The group that could move to a higher tier in the ranking would be community-based businesses.

The questions presented in Appendix 3, help evaluate the level of influence and interest each community member or group may have.

Using the hypothetical ranking from the Feasibility Section, the following diagram shows how some groups could have a different level of interest or influence in the Procurement Phase and therefore move to a different area of the ranking matrix

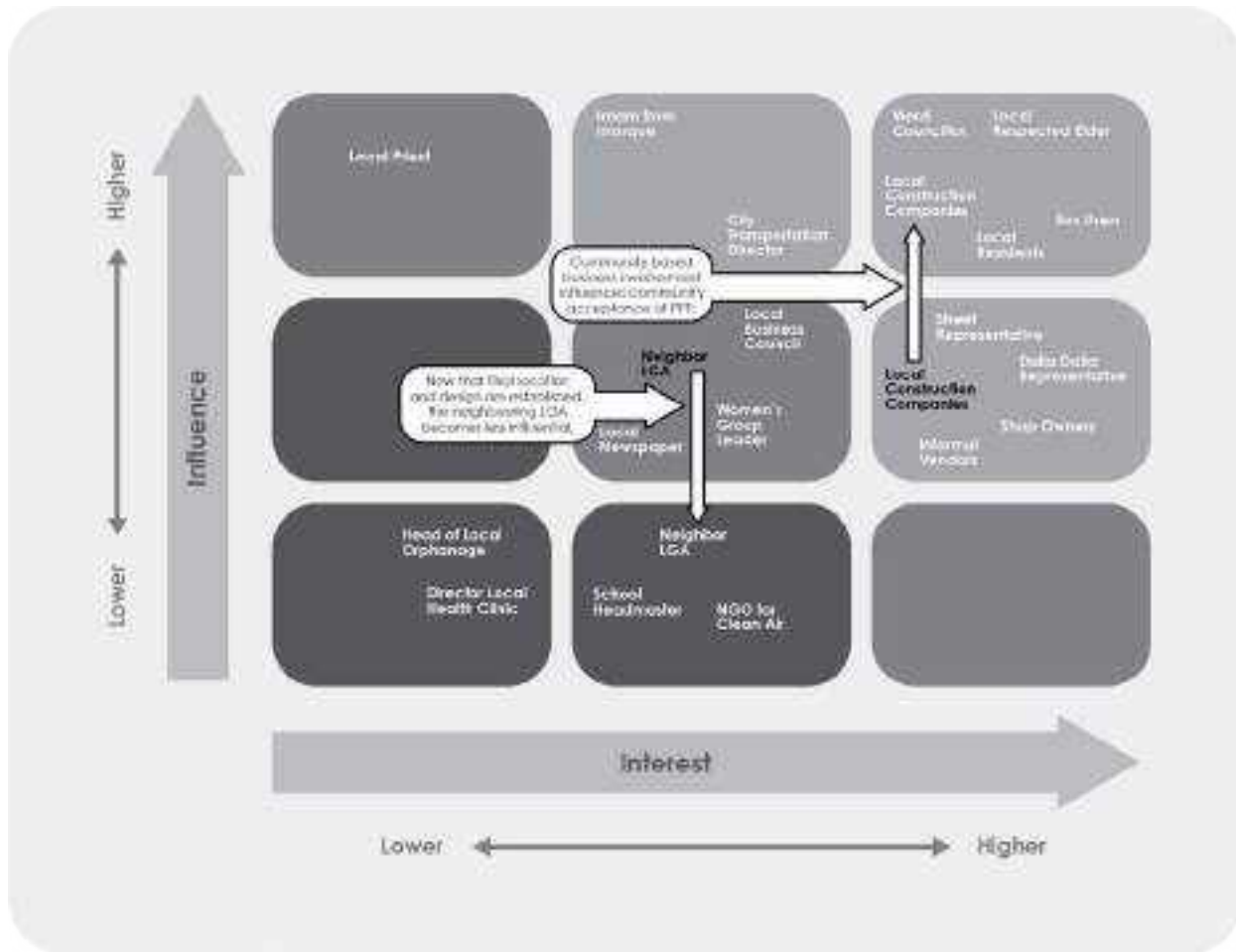


Figure 14 Hypothetical Example for Step 3: Changes in Ranking of Community citizens, groups and organizations



#### Step 4: Select Method of Engagement with each Group, Citizen and Organization and Implement Engagement

All the engagement materials should use simple language, diagrams, maps, pictures, etc. to clearly describe the project design. Project schedules, important dates or Project milestones must be prominent, especially when it comes to deadlines for submitting pre-qualification packages or bidding documents. The information should be in local languages and easy to understand, such as the use of diagrams and images as opposed to only written information.

The LGA may want to try some of the techniques on a small scale first, to see if they are effective, before using them on the larger community. A full description of engagement tools and techniques can be found in Appendix 6.

Some methods of Engagement that could be used in the procurement phase could include:

- » Newspaper and Radio advertisements. These are useful in making opportunities widely known. They should be used in both advertising the opportunity, and for informing the public when a successful contract has been awarded.
- » Project websites. Websites should include detailed project information, pre-qualification requirements (industry standards; insurance, certification and bonding requirements), instructions for preparing bids, important deadlines and how the LGA will be accepting bids, contact information for individuals that can provide support or answer questions. Access to the internet for most community citizens in Tanzania is limited, the LGA could consider providing internet access points at central buildings, so community citizens can have the time to review the project information.



- » Workshops. The LGA may partner with the PPP Node to share detailed information about contracting and procurement opportunities and pre-qualification requirements. This type of direct interaction allows the LGA to answer questions from individuals, small businesses, private sector organizations and encourages local involvement.
- » General community meetings. Regular updates during the procurement phase helps to maintain transparency and assure community citizens the PPP will provide the best value for the investment of public funds/resources.
- » Use community champions/leaders to communicate with the community. May want to use also art tools in this phase (music, theatre)

The following examples show how the LGA may engage with local interest groups during the Procurement Phase.



Photo 15 Market in Dar es Salaam



**Procurement Workshop with Community-based Businesses (Tier 1, Tier 2 and Tier 3)**

Action and Timelines

During the Procurement Phase, the PPP will select the proposals that provide the best value for money. To help the community-based businesses compete for work, the LGA will work with local companies so they understand the types of services they will need, the qualifications they are going to be looking for and how they will score proposals. The LGA will help train the local companies so they know how to write good competitive proposals.

Person Responsible

The Community Engagement Team Local Procurement representatives will be responsible for ensuring the workshops with local companies occur.

Resourcing

The community engagement Team Local Procurement representatives will allocate 2 days per week to work on the PPP community engagement process. They will focus their work on helping the local businesses understand the procurement process and be prepared to submit competitive bids.

**General Community Meetings (Tier 1, Tier 2 and Tier 3)**

Action and Timelines

During the Procurement Phase, the LGA will need to make extra efforts to be transparent with all decisions related to the PPP. Community meetings will be held each month, to provide an update on the PPP bidding process, how private sector partners are selected, the risks associated with any PPPs, etc. Transparency will create an informed community, which is key to building trust and managing expectations.

Person Responsible

The Community Development and Welfare Department will be responsible for ensuring the workshops with local companies occur.

### Resourcing

The PPP will be a high-profile project and many people in the community will be interested in attending the community meetings. The meetings will probably attract between 500 and 1,000 people. We will have extra staff available to help at the meetings and will book a meeting space large enough for a large crowd.



### Step 5: Issues Tracking and Complaints Management Process

The issues tracking table, similar to the one used in the Feasibility Phase, can be used in this phase. The Table should contain the issues and concerns raised by the community as well as a record of how the Project responded to them.

**The Community Complaints Management Process grievances should be fully operational by the Procurement Phase.** During the Procurement Phase contracts are awarded, and partnerships are formed. The objective of the complaints management procedure is to receive, respond and address any complaint made to the Project, including complaints against PPP Partners, its contractors and subcontractors; as quickly and efficiently as possible. This will help avoid escalation of complaints and reduce negative impacts to the local community and maintaining a positive attitude towards the Project.

The approach to responding to complaints that is proposed in this Guideline requires time and resources on the part of the LGA and therefore should only apply to complaints against the PPP.

The LGA can respond to general complaints about the LGA separately.

A further discussion of the Complaints Management Process and a sample log are included in Appendix 7, 8 and 9.



Photo 16 Commercial Market in Dar es Salaam



## Step 6: Reporting and Monitoring

The LGA will need to report on their engagement activities during the Procurement Phase, as they have been doing through all previous PPP phases.

During the Procurement Phase, it may be useful to develop periodic updates for the community detailing the engagement activities, and key information such as the number of local contracts that have been awarded or the employment or investments they are making in the community.

Input from the community during earlier phases of PPP planning (Identification, Pre-Feasibility and Feasibility stages) should be used to develop key performance indicators (KPIs), that can be monitored during the Procurement and Implementation Phases. These Key Performance indicators should be used to report back to the community and will demonstrated follow-through on commitments made in the planning and feasibility phases. Monitoring the performance of the PPP should be done over the life the project as it will help build and maintain community support.

Short-term achievements, whether quantifiable or not, should be brought to community's attention to sustain confidence in the LGAs commitment and ability to deliver. Systematic issues tracking will help those facilitating engagement activities prepare for meetings/engagement activities with certain groups, and ensure consistent messaging around both broad, and specific project issues.

Reporting on this information should be internal within the LGA as well as external with the community. Outreach tools described in Appendix 7, such as monthly newsletters, texts, posters, and blogs can be effective ways of keeping the community up to date.



### **BOX 02: Key Performance indicators**

Input from the community during the PPP planning (Identification, Pre-Feasibility and Feasibility stages) should be used to develop key performance indicators (KPIs) that can be monitored during project implementation. These Performance indicators should be disaggregated so that it can help set the Guideline for messaging and reports back to the community during implementation and can assist in demonstrating follow-through on commitments made in the planning phases. Monitoring helps the e LGAs demonstrate Project successes (or failures) and inform adaptive management plans.



*Photo 17 Moshi Market*

## Estimate of Costs

The procurement phase can be a busy time for community engagement, as the LGA may need to sustain their engagement efforts over a longer period of time. The LGA should regularly engage with local resident and PPP users. The LGA may also need to increase their engagement with local companies and workers. Finding partnerships with other engagement processes is one way to help reduce LGA costs. Ensuring local businesses have a competitive chance to bid on contracts and local workers are considered for jobs, is crucial to community buy-in and support.

Again, an estimate of the range of costs the LGA might expect to spend on community is included. The estimate is based on the following assumptions, but should be viewed with caution, as it is extremely difficult to predict costs given the large range of possible PPPs.

- » The community engagement activities will occur over a 24-month period
- » The LGA will assign several staff members to work on the community engagement for the 18 months
- » There will be 6 main community meetings over the 24 months, with about 100 people attending to provide input on the general PPP
- » Two Task Forces will be setup, one would be a continuation of the Task Force from the previous phase and the second would be focused on local businesses and contracting. Another Willingness to Pay survey will also be conducted. And a full Complaints Management process will be started.
- » The LGA will use multiple engagement techniques to inform the community about the meetings, to share the results of the meetings and continue their public awareness announcements about PPP and the PPP Process.
- » Billboard posters, radio announcements and automobiles with speakers will be used. As well as 6 update newsletters over the 24 months, that will be made widely available throughout the community.

Cost might range between TZS 40,000,000 and TZS 60,000,000.

## Procurement Phase - Check list for completion of Community Engagement

The Procurement Phase typically involves the selection of a private sector partner; and signing agreements for development of the PPP, and some of the initial construction work may start. Community engagement can last for several years while the procurement is being completed. At this phase, there will be a specific location for the project and engaging with community citizens close to the site as well as the end users is important. Engaging with the local community businesses and workers so they understand the bidding process and can submit competitive proposals is also important during this phase.

Step 1: Define the Purpose	Comments
<input type="checkbox"/> Were the results of the community engagement during the Feasibility Phase reviewed before the purpose was defined?	
<input type="checkbox"/> Was the purpose of the community engagement process clearly defined at the start of the PPP Phase? /Did it describe how the communities input would be utilized? (example Appendix 1)	
<input type="checkbox"/> Were the goal(s) and objective(s) of the community engagement Process clearly defined at the start of the PPP Phase? Did this include a description of key performance indicators to be monitored?	
<input type="checkbox"/> Did the purpose, goals and objectives consider how to involve local businesses and workers, as a way to maximize opportunities for local economic benefits?	
Step 2: Decide whom to Engage	Comments
<input type="checkbox"/> Was the list of community citizens, groups and organizations from the Feasibility phase used as the starting point for the list in the Procurement phase? (example Appendix 2)	
<input type="checkbox"/> Was the list updated to reflect the fact that a specific location had been selected for the PPP and the end users of the PPP were better defined.?	
<input type="checkbox"/> Was the list updated during the Procurement phase as new citizens, groups or organizations were identified?	
<input type="checkbox"/> Were the legislative or regulatory requirements related to community engagement identified? (e.g. requirement to consult for Resettlement Plans, Environmental Policy, Land Management Act, Gender, People with Disabilities Act, etc.)	
<input type="checkbox"/> Was a community engagement list created with contact information for identified citizens, groups and organizations? (example page 96)	
<input type="checkbox"/> For the Procurement phase, was specific consideration given to including groups or organizations related to local businesses and employment on the list?	

Step 3: Community Engagement Ranking	Comments
<input type="checkbox"/> Did the process define the level of interest community citizens, groups and organizations will have in the PPP? Did the ranking consider how the level of interest may have changed from the Feasibility Phase to the Procurement Phase? (examples in Appendix 3)	
<input type="checkbox"/> Did the process define the level of influence community citizens, groups and organizations would have? Did the ranking consider how the level of influence may have changed from the Feasibility Phase to the Procurement Phase?	
<input type="checkbox"/> Was a community engagement Ranking Matrix developed for the PPP? (examples in Appendix 3)	
<input type="checkbox"/> Was the ranking matrix reviewed by the LGA, and was it adjusted at any point during the phase?	
<input type="checkbox"/> Did the ranking matrix inform the level of engagement for each community citizen, group or organization? (No groups, organization or member should be ignored, but need to utilized limited resources efficiently)	
Step 4: Select Method of Engagement and undertake Engagement	
<input type="checkbox"/> Did the process consider a variety of engagement tools and processes that would be appropriate for the specific community where the PPP is being developed? (example Appendix 6)?	
<input type="checkbox"/> Was a list of the engagement tools and process that would be used developed? (timelines, dates, target audience, key messages, expected outcomes, responsibility, budget)	
<input type="checkbox"/> Was there sufficient internal and external resources to implement the engagement tools and processes selected, especially given the Feasibility phase may be engaging hundreds or even thousands of people?	
<input type="checkbox"/> Was there sufficient time to adequately finish the community engagement?	
<input type="checkbox"/> How did the process consider the management of expectations during the engagement activities?	
Step 5: Issues Tracking and Complaints Management Process	
<input type="checkbox"/> Did the process incorporate an issues tracking and complaints management process, that integrates with the LGAs Complaints Resolution Desk? (examples in Appendix 7 and 8)	
<input type="checkbox"/> Was the process to provide input, ideas, concerns and complaints easy to access, no cost and efficient?	
<input type="checkbox"/> Did the issues tracking process have a specific method to track bidding and procurement related issues?	
<input type="checkbox"/> Is there a clear record of issues and complaints received and how they were responded to and considered in project design?	

## Step 6: Reporting and Monitoring

- Was a report of the community engagement process and results developed? (example Appendix 6)

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- Did the report determine if it meet the purpose and objectives defined at the start of the phase? Did it include a description of challenges and how the LGA overcame those challenges.

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- Did the report include key performance indicators (what are the KPIs, was the project achieving the KPIs, etc)?

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- Did the final report contain: summary section, overview of issues, methods used for engagement, summary of the actual engagement meetings or events, analysis of results and recommendations, costs, next steps. (outline in Appendix 7)

## Budget

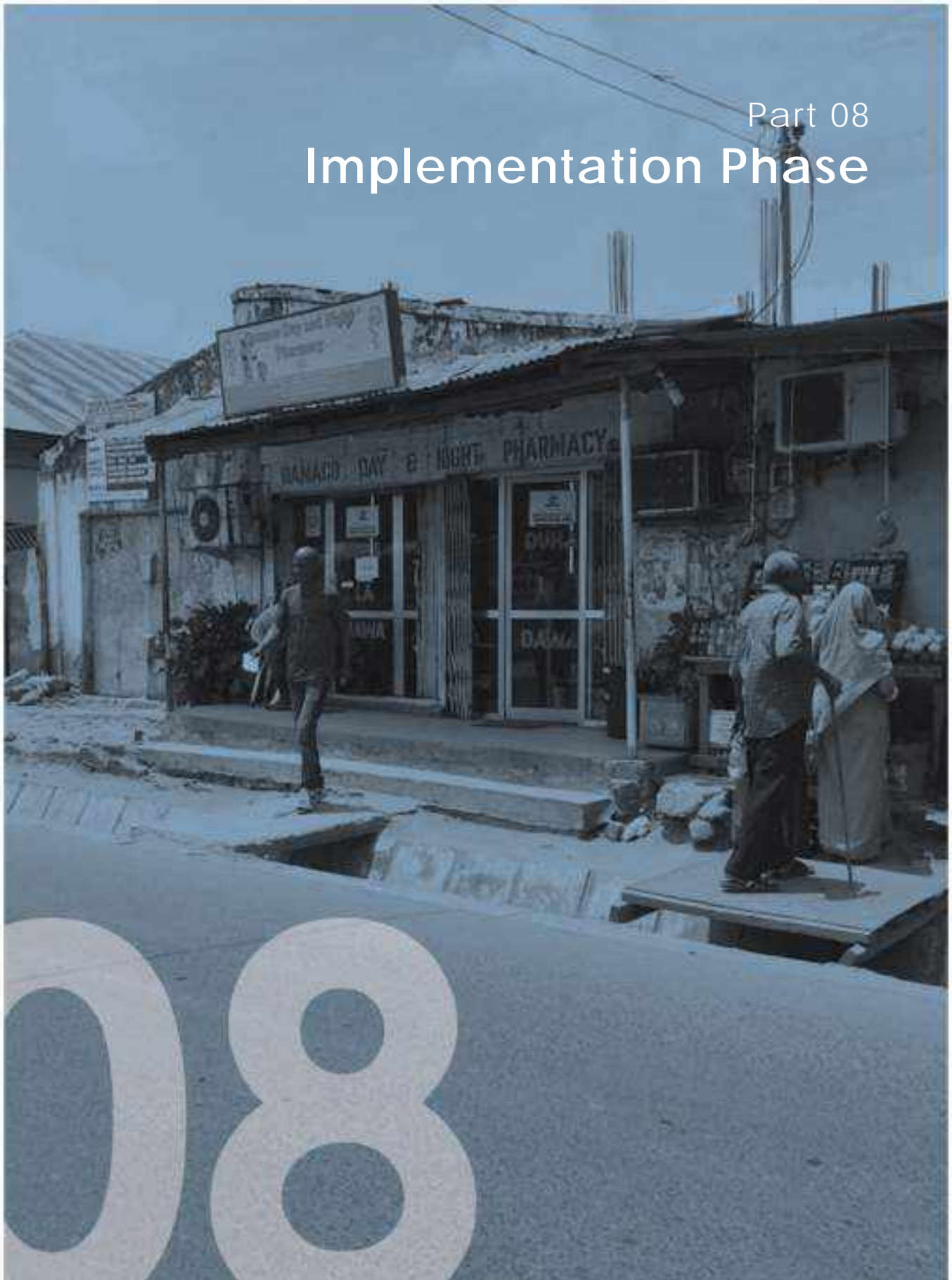
- Was a budget for the Time (fees) needed to complete the project developed, taking into consideration, the time for LGA staff to undertake the process; time for any consultants working with the LGA; and any other time/fees required?

---

- Was a budget for the Expenses needed to complete the project developed, taking into consideration, the costs for advertising, hosting meetings or events, the materials need for engagement and any other expenses?

Part 08

# Implementation Phase



# 8.0 IMPLEMENTATION PHASE

**The LGA and Private Partner, will both be involved in community engagement activities during implementation**

## 8.1 Building and Operating PPPs

During Implementation, both the LGA and the Private Sector Partner will be involved in the community engagement process. In many situations, the LGA will remain responsible for the overall program, with the Private Partner providing technical expertise when issues arise during construction of the PPP, or during the operations and maintenance phases.

Effective engagement and outreach during the construction phase is critical. A variety of issues can arise during the construction and operation phase, which do not typically come up during previous phases, or involve community citizens, groups or organizations who were not interested in being engaged in previous phases. this includes:

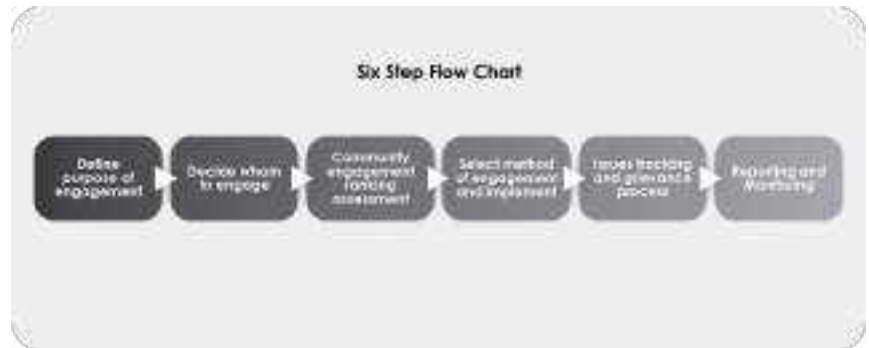
- » Concerns about construction, and how it disrupts daily activities for citizens (for example related dust, noise, traffic patterns, utility services etc.).
- » Concerns about employment and contracting, there will be real expectations for jobs from the local community, even if the PPP has been transparent about employment and tried to manage expectations in previous phases.
- » Concerns about in-migration, as people come to the project area in search of work. This can place additional demand on local services and infrastructure and create issues with the local population.

The LGA should be able to draw on information developed during previous phases to describe the mitigation measures and management strategies in place to deal with such complaints. As discussed later in this chapter, careful tracking of the follow-through on project commitments is critical during construction and operation.

Once the Project has been built, it is important to maintain an active community engagement program. The PPP partners need to work together to ensure the project is being operated in a way that meets the community's expectations. One of the risks to the Project operations is the PPP becoming complacent and not continuing to actively engage the community. This would allow issues or problems the community has with the project to grow and eventually become serious risks to the Project. If community engagement continues through the life of the Project, then problems or issues can be identified and addressed before they become a major risk to the Project.



## 8.3 What are the Steps for Community Engagement



### Step 1: Define the Purpose of the Community Engagement

As the PPP is constructed and begins operations, community engagement remains just as important as previous phases, although it may become a longer-term effort.

Some of the key purposes of continuing community engagement through the life of the PPP is it:

- » Maintains the community's acceptance of the Project that has been built through community engagement in previous phases.
- » Secures assets by continuing to engage with the community.
- » Adjusts the operation or management of the PPP to reflect changing needs of the community.
- » Demonstrate follow-through on Project commitments.
- » Ensures the community continues to understand the value the PPP structure provides to the Project.
- » Support changes should the project require adjustments to funding formulas (rents, tariffs, user fees etc.) to continue to operate.



## Step 2: Decide Which Community citizens, groups and organizations to Engage With

The list of community citizens, groups and organizations that the PPP will engage with during the life of the project operations will fluctuate. Some PPPs can operate for decades, and community groups will come and go during that time. The PPP will need to actively track changes in the community and update their list of citizens, groups and organizations.

The PPP will also need to continue to engage community-based businesses, as the Project will need a variety of maintenance and service support over its life. The PPP should always include local companies on the bidding lists. Although the selection of companies for the PPP will be based on value for money, regardless of if they are based locally, or not. However, if local companies are competitive and win bids, it helps maximize local benefits and community acceptance of the Project.



Photo 18 Kilole Market

**Community List of Citizens, groups and organizations - Updated for the Implementation Phase**

The listed developed for the Feasibility Phase should continue to be used during the Implementation Phase. The following table is the same List of Community citizens, groups and organizations, used in the Feasibility Phase, but an example of the engagement with community-based companies is included.

**Table 5 Hypothetical Example of Engagement Log**

First Name	Last Name	Name of Group/ Organization, etc.	Position in Group/ Organization etc.	Address	Phone	Social Media	Email	Method of Contact (e.g. phone, open house, email)	Summary of Comment/Discussion	Answer/Response Provided by LGA (if any)	Follow up Required (Yes/No)	Who is responsible for Follow up	Timeline for Follow-up	Status
Don	Mzoni	Shop A	Shop owner	454 Go Street	250-22-453-476	Whatsap Facebook			Construction is taking longer than initially described. The activity is preventing access to his shop and he wants to be compensated	The LGA provided the updated construction schedule to Mr. Mzoni and reviewed notes from previous discussions and compensation agreements. The Consultation coordinator will follow-up with the Project manager to discuss additional compensation	Yes	Project Manger	On-going	On-going



### Step 3: Ranking Assessment of Community Groups and Members in the Implementation Phase

**Community engagement for the Implementation Phase will continue through construction and into operations. Given this long time frame the PPP should periodically review the ranking assessment.** Community citizens, groups and organizations will come and go over the life of the Project and their interest and influence will vary as well.

As community engagement continues through construction into the operation of the Project, it will be able to identified and address issues before they become a major risk to the Project. Keeping the listing and ranking assessment up-to-date is a very important step to ensure the Project identifies and addresses community issues early. For example, ranking will be affected should maintenance be required, or if after a few years, the PPP realizes they need to adjust rents, tariffs or user fees to operate the project and continue to make a profit/reduce reliance on government subsidies.

During the implementation phase, the Project will be generating revenue and some of it should be allocated to funding the community engagement program. If the community engagement program can secure stable funding, then longer term planning can occur, and this will increase the quality of the overall engagement effort. The goal is to determine the appropriate level of engagement given the resources the PPP has.

The questions presented in Appendix 3, help evaluate the level of influence and interest each community member or groups may have.



#### Step 4: Select Method of Engagement with each Group, Citizen and Organization

Using engagement tools that meet the communities need for information and involvement over the life of a Project is a challenge. The PPP Engagement Team will need to evaluate the effectiveness of each tool and adjust as needed.

A full description of engagement tools and techniques can be found in Appendix 6.

Given the long-term nature of the implementation phase of a PPP, a lot of different tools could be used. One tool which can be helpful is the establishment of community Task Force or Special Committees. These groups are similar to Community Focus Groups used in previous phases. The groups might meet several times per year and can be open to the public or an invited group only. It is useful to keep these groups active, even when there are no specific issues to discuss.



Photo 19 Stalls are Bus Terminal



**Survey – Is the Project Meeting Community Needs (Tier 1, Tier 2 and Tier 3)**

Action and Timelines

Once the Project is operational, the PPP will undertake a satisfaction survey every three-years to determine if the Project is meeting the Community’s needs. This survey will be completed with the support of a professional survey consulting firm.

Person Responsible

The Community Development and Welfare Department Lead will be responsible for organizing this survey every three years.

Resourcing

The Community Development and Welfare department will be allocated money from the revenues created by the Project to support the survey.

**Community Task Force (Tier 1, Tier 2 and Tier 3)**

Action and Timelines

A Task Force or Special Committee will be established, with support and resourcing from the PPP. The Task Force or Special Committee will meet a minimum of twice per year to discuss current activities and to identify issues or concerns the community has. The meetings will be facilitated by an independent facilitator. As issue or concerns come up, the facilitator will collect information on the issue or bring in specialists to help the Group understand the issue. By regularly meeting and providing an opportunity for the community to identify and vent any frustrations it should help maintain a constructive relationship between the community and the PPP.

Person Responsible

The PPP Community Development and Welfare department will be responsible for ensuring the workshops with local companies occur.

Resourcing

The Community Development and Welfare department will provide resources and funding to host the meetings and provide a facilitator for each meeting. Additional costs associated with research or expert advice will be paid for by the PPP.

## Step 5: Complaints Management and Issues Tracking Process



### **The Community Complaints Management and Issues Tracking Process**

would be fully operational in the Implementation Phase. It should be operating for the life of the Project. This will be a joint effort with both the public and private sector partners, on behalf of the PPP.

The Grievance process and issues tracking table are a very useful way to track how the PPP has responded to potential issues or conflicts before they become a major risk to the Project.

The PPP will need to ensure the community is aware of how to file a complaint and the process should be simple and with minimal cost to the person filing the complaint.

The objective of the complaint management and issues tracking procedures is to receive, respond and address any complaint made to the Project, including complaints against PPP Partners, its contractors and subcontractors; as quickly and efficiently as possible. It should also inform operations plans and be considered when adjustments to management programs are made.

A further discussion of the Complaints Management Process and a sample Log are included in Appendix 8, 9 and 10.



### Step 6: Reporting and Monitoring

Reporting back to the Community is an important step for the PPP. Implementation can last for decades and the reporting is key to ensuring the community is informed.

The use of Key Performance Indicators, as described in the Procurement chapter are also very useful during the operation of the Project. These Key Performance Indicators should be used to report back to the community and will demonstrate follow-through on commitments made in the previous phases. The PPP may consider preparing annual reports or summary documents that can be posted to web sites or made available to citizens upon request at the LGA office.



Photo 20 Mbeye Road Construction



### Estimate of Costs

Estimating the cost of community engagement over the construction and operation of the PPP is very challenging. The long-term nature of the engagement and the huge variations, year by year, that will occur over such a long period.

The costs for community engagement should be supported with revenues from the PPP.

As a rough guess, the LGAs might need between TZS 10,000,000 and TZS 20,000,000, per year, on average over the life of the project, with the majority of that spent during the construction and the initial years of operations.

## Implementation Phase - Check list for completion of Community Engagement

During Implementation, both the LGA and the Private Sector Partner will be involved in the community engagement process. The construction will be completed and the long-term operation of the project occurs during this phase. Effective engagement and outreach during the construction phase is critical. A variety of issues can arise during the construction and operation phase, which do not typically come up during previous phases. Once the Project has been built, it is important to maintain an active community engagement program. The PPP partners need to work together to ensure the project is being operated in a way that meets the community's expectations. One of the risks to the Project operations is the PPP becomes complacent and not continuing to actively engage the community.

Step 1: Define the Purpose	Comments
<input type="checkbox"/> Were the results of the community engagement during all the previous phases reviewed before the purpose was defined? (example Appendix 1)	
<input type="checkbox"/> Was the purpose of the community engagement Process clearly defined at the start of the Phase, and was it reviewed every 3 to 5 years to ensure it reflects changes to the project? (did it describe how the community input would be utilized?)	
<input type="checkbox"/> Were the goal(s) and objective(s) of the community engagement process clearly defined at the start of the PPP Phase? Did it include a discuss of the Key Performance Indicators?	
<input type="checkbox"/> Did the purpose, objectives and goals consider the long-term nature of project operations?	
Step 2: Decide whom to Engage	Comments
<input type="checkbox"/> Was the list of community citizens, groups and organizations from the Procurement phase used as the starting point for the list in the Procurement phase? (example Appendix 2)	
<input type="checkbox"/> Was the list updated periodically (e.g. yearly) as new citizens, groups or organizations were identified? Or as changes where made the Project operations?	
<input type="checkbox"/> Did the process define which community citizens, groups and organizations that would be the focus of the community engagement?	
Step 3: Community Engagement Ranking	Comments
<input type="checkbox"/> Did the process define the level of interest community citizens, groups and organizations will have in the PPP? Did the ranking consider how the level of interest may change over the life of the poroject? (examples in Appendix 3)	
<input type="checkbox"/> Did the process define the level of influence community citizens, groups and organizations would have? Did the ranking consider how the level of influence may change over the life of the Project? (examples in Appendix 3)	
<input type="checkbox"/> Was a community engagement Ranking Matrix developed for the PPP?	

---

Was the ranking matrix reviewed by the LGA, and was it adjusted at any point during the phase?

---

Did the ranking matrix inform the level of engagement for each community citizen, group or organization? (No groups, organization or member should be ignored, but need to utilized limited resources efficiently)

---

#### Step 4: Select Method of Engagement and undertake Engagement

---

Did the process consider a variety of engagement tools and processes and processes that would be appropriate for the specific community where the PPP is being proposed? (example Appendix 6)

---

Was a list of the engagement tools and process that would be used developed? (timelines, dates, target audience, key messages, expected outcomes, responsibility, budget)

---

Was there sufficient internal and external resources to implement the engagement tools and processes selected?

---

How did the process consider the management of expectations during the engagement activities?

---

#### Step 5: Issues Tracking and Complaints Management Process

---

Did the process incorporate an issues tracking and complaints management process, that integrates with the LGAs Complaints Resolution Desk? (examples in Appendix 7 and 8)

---

Was the process to provide input, ideas, concerns and complaints easy to access, no cost and efficient?

---

Did the issues tracking process have a specific method to track bidding and procurement related issues?

---

Is there a clear record of issues and complaints received and how they were responded to and considered in project design?

---

## Step 6: Reporting and Monitoring

Was an annual report of the community engagement process and results developed? (example in Appendix 7)

---

Did the report determine if it meet the purpose and objectives defined at the start of the phase?

---

Did the report include key performance indicators (what are the KPIs, was the project achieving the KPIs, etc)?

---

Did the final report contain: summary section, overview of issues, methods used for engagement, summary of the actual engagement meetings or events, analysis of results and recommendations, costs, next steps. (example in Appendix 7)

## Budget

Was an annual budget for the Time (fees) needed to complete the project developed, taking into consideration, the time for LGA staff to undertake the process; time for any consultants working with the LGA; and any other time/fees required?

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Was an annual budget for the Expenses needed to complete the project developed, taking into consideration, the costs for advertising, hosting meetings or events, the materials need for engagement and any other expenses?

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Part 09  
**Appendices**



# 9.0 Appendices

## Appendix 1 – Additional Information on Key Principles of Community Engagement

The following section presents some key principles for effective community engagement. The Tanzanian government’s “Core Principles”, for PPPs and planning processes are aligned with the principles listed below.



**Initiate Community Engagement early and continue throughout the life of the Project**

### Timing

Ideally, community citizens and groups should be identified and invited to contribute to project design for the earliest stages of Project Identification (AfBD 2001). Involving the community in the project from the earliest planning phase can produce many benefits and greater sustainability to the development, by engendering a sense of ownership and involvement (REVIT, 2006).



**Engagement Activities should be tailored to each phase of a PPP project**

### Customize Approach

The development and implementation of a clearly laid out plan that is tailored to each PPP phase will ensure that engagement activities are proactive and delivered in a timely way (IFC 2007) when community views can still be considered in the design and operation of the project.

To help ensure engagement is proactive and contributes to scoping social objectives, community investment and overall planning and implementation, LGAs should link the engagement activities carried out during each phase with other strategic planning documents, for example Gender Action Plans, Poverty Reduction Strategies and Livelihood Programs, Social and Environmental Impact Assessment or Resettlement Action Plans.



#### *Case Study 4 Public Market, San Jose de Buenavista – Benefit of Early Engagement*

In May of 1993, the public market in San Jose de Buenavista, Philippines, was destroyed by fire. Without a public market, economic activity abruptly slowed down, depriving the Municipality of its much-needed revenues. The local government unit (LGU) could provide the land, but struggled with where and how to get the financing for the reconstruction of the market. The LGU began weighing two options of pursuing a PPP model or obtaining credits from the banks. They were also concerned that a competitive bidding process would favor large-scale investors from neighboring cities since local businessmen did not have the financial resources for a huge investment. Before deciding, the LGU began engaging with the Community early on. It was the early engagement that ultimately lead to the PPP structure used for the project.

After consulting early on with the stallholders affected by the fire, a Memorandum of Agreement (MOA) was established where the market vendors themselves would provide the funds for the construction of their own stalls following specifications established in the master plan of the new market building. The stallholders would be deemed owners of the stalls and pay the appropriate real property taxes during the contract period. The vendors who could not afford to build their own stalls could rent the stalls built by the municipal government. This reduced the amount of upfront investment that would be needed by a private construction company and encouraged a private construction firm to finance, construct the main structure and maintain the facility for a number of years while they recouped their investment. The construction of the old market did not involve any cash outflow from the local government

The experiences of San Jose de Buenavista demonstrates that effective stakeholder engagement early in the process can help the local government find solutions related to financing, project design and construction. By being closer to the people and vested with political authority made it easy for LGU win the cooperation and support of the relevant stakeholders.

Engagement Activities  
should be tailored  
to each phase of a  
PPP project

## Customize Approach

The development and implementation of a clearly laid out plan that is tailored to each PPP phase will ensure that engagement activities are proactive and delivered in a timely way (IFC 2007) when community views can still be considered in the design and operation of the project.


To help ensure engagement is proactive and contributes to scoping social objectives, community investment and overall planning and implementation, LGAs should link the engagement activities carried out during each phase with other strategic planning documents, for example Gender Action Plans, Poverty Reduction Strategies and Livelihood Programs, Social and Environmental Impact Assessment or Resettlement Action Plans.

Aligning engagement activities with PPP milestones and phases associated with key deliverables or new information will help ensure:

- » clear engagement objectives are set for each phase
- » sufficient timeframes are set for both outreach (for example, requests to attend meetings) and receiving participant feedback (responses to written requests)
- » each phase is resourced appropriately,
- » that engagement activities target appropriate community citizens/groups,
- » that appropriate methods for reaching groups are used, and
- » that feedback contributes to PPP planning and implementation.



Photo 21 Korogwe Bus Terminal



Consider a wide  
range of community  
stakeholders

### Identify Community

Identifying community citizens and groups too broadly may be cumbersome and open a project to risks. However, defining community groups and members too narrowly may result in potentially influential community citizens/groups being overlooked, and undermine local ownership and support (WB 2017).

**Including a diversity of community citizens/groups/organizations will improve understanding of potential project risks and help project partners meet local and national goals for maximizing local benefits.**

While it may take extra effort or innovation to contact and engage groups that don't generally come forward on their own, including these groups is important to get a more fulsome picture from the engagement process. Engagement should also include individuals and organizations that are known opponents to an issue or project concept, and those that may be considered "hard to reach".

Not all community groups, citizens, etc. need to be involved in all phases of the PPP process. In some phases, it is crucial to include a broader set of the community; in others, it should only be a more focused grouping—the users and the affected persons—that should be consulted (WB 2017). With good planning, and agreement from participants, those commissioning the engagement program can ensure community citizens/groups are involved in the engagement phase(s) most relevant to them, and that project benefits are distributed equitably (ABD 2001)

Because selecting participants for involvement in engagement programs can be a politically charged responsibility, the selection process should be as transparent as possible. As such, it is wise to ensure that reasons for selection are noted so that any questions about selection can be answered.

*Case Study 5 Nelspruit (South Africa) Water and Sanitation Concession – Benefit of Engaging a Wide Variety of Community Groups*

Mbombela (Nelspruit) Water and Sanitation Concession in South Africa provides water and sanitation to Mbombela Local Municipality since 1999. The PPP has struggled with high percentage of users not paying their bills and illegal connections to their system. The initial response of the PPP was to take a hard line on collection of payments, and restrict household water flows as soon as a payment was missed. However, the PPP soon realized this approach was not working and adjusted to a more collaborative and consultative approach. They now use a variety of tools to help households keep on top of their bills. Innovative debt management tools, such as deferred payment schedules and monthly billing help build a positive relationship with many users. By engaging with these users as opposed to reducing their water supply the PPP reduced the percentage of non-paying households to 25%.





### Transparency and Trust

The political nature of PPPs requires that the planning and implementation be conducted with integrity and transparency.

**Transparency and honest communication are two of the Tanzanian Core Principles for PPPs.**

Many PPPs are highly visible and expensive, and therefore transparency and timely access to information are important to the principles of accountability and governance. With public services at issue, and public funds or lands are being considered to facilitate PPP development, gaining community trust in the institutions undertaking the project and in the persons who champion and implement these programs must be a priority.

Lack of information and misinformation fuels community fears, but, maintaining open and honest engagement with a wide range of community citizens, groups and organizations, and making project planning and procurement documents publically accessible, can:

- » reduce the chance of corruption, and
- » build trust in the community.
- » pave the path for two-way dialog on contentious issues, so people's concerns and misconceptions are understood and addressed promptly before public confidence and trust are eroded (Calabrese 2008)

**The LGA should consider** Disclose the reasons behind procurement decisions. This means disclosure of which bidders presented expressions of interest, proposals for each project, who was awarded the contract and why (WB 2017)).

**The LGA should consider** proactively disclose of information about PPPs or contractual information to the public, without receiving a specific request, making it freely accessible to anyone interested (WB 2018).

**The LGA should** select PPP processes that are simple and foster clarity and transparency especially during the bidding and procurement process (ibid 2008).

### *Case Study 6 Kenyan Warehouse Receipts Scheme (WRS) – Benefit of Building Trust*

The National Cereal and Produce Board of Kenya, partnered with two private sector entities, one private partner was responsible for operating a series of crop storage warehouses, that the National government used to ensure food security and help stabilize grain prices. The second private sector partner (EAGC) provided regulatory functions (normally the responsibility of government) to ensure the warehouses had suitable systems in place to recoding and tracking grain deposits farmers made to the warehouse system.

A Food and Agricultural Organizations study noted that stakeholder engagement with the local community farmers and EAGC was a key component of the PPP success. Local farmers were engaged right from the beginning, and had input on the basic design of the PPP, as well as the development of the business plan which guides the PPP operations. Farmers were uncertain about the receiving receipts for the maize they stored in the warehouse, as opposed to getting cash immediately. The engagement process used open forums with farmer's groups, so that all farmers were receiving information about how the PPP would work, directly from the partners in the PPP. The engagement also included business fairs with the Kenyan Maize Development Program and the Cereal Growers Association, whose participation lent credibility to the PPP. Early engagement and transparency in communication helped build trust in EAGC and made farmers more likely to participate in the warehouse receipts system. The engagement created enough trust by the local community, that EAGC could actually act as an arbitrator of disputes between the local farmers and the private sector operator of the warehouses



**Be clear about the economic viability**

### Clarity

PPPs are different from regular projects that LGAs may develop in their communities. PPP must generate revenue that will pay for the service or infrastructure that is being built. Engagement efforts should focus on the rationale for Public-Private Partnerships, the costs and benefits of partnering with the Private sector and the costs of not doing so.

**For PPPs to be successful the private sector partner needs to earn an acceptable financial return on their investment. Therefore, being clear and open with the community about the economic viability of the PPP is important.**

The community is more likely to support PPPs if they understand that partnering with the Private sector was necessary to:

- » obtain capital for new investments,
- » improve access to services, or
- » prevent possible closures of publically funded facilities of services.

Gaining acceptance is more likely if the community understands where project funding is coming from and how future profits will be distributed.

The Community will want to know how the decision to partner with the private sector will affect them directly. Engagement must also describe incentives and social safety-net measures put in place especially if a new PPP has potential to affect workers within a given sector (for example severance policies and supporting measures, employee share opportunities/options programs).

**The LGA should** maintain transparency around future connection fees, tariffs, taxes, user fees etc. and get input directly from the community on these issues.

**The LGA should** be clear about the motivations driving the public sector to find a private partner. Being honest about the condition of public services or existing infrastructure, and the challenges governments face in terms of maintaining capacity to technically operate, maintain and finance public services can help address the need for the PPP arrangement.

*Case Study 7 Irrigation Project, West Delta Egypt – Benefit of Being Clear about Economic Viability*

Since the late 1960s, the Government of Egypt has supported the conversion of desert lands to commercial farmland. This policy led to the rapid agricultural development of a large area of reclaimed desert, known as the West Delta, located approximately 60 kilometers north of Cairo. This development relied on groundwater for crop production and the amount of water required were unsustainable. By the 1990s, aquifers were being depleted. All this poses a serious threat to the agricultural economy and the livelihood of the families that live and work in the area.

To resolve this problem, the Government began reviewing options to replace groundwater with a surface water for irrigation system and ultimately decided to try and develop the project through a PPP. Although the PPP has not been developed, considerable effort in community engagement with local farmers occurred.

One of the key learnings from the engagement process was that the end users (farmer) needed to have a key role in the decision process from design to execution for the West Delta Project. This included the incorporation of a water user Council. The Council adjusted the overall approach to the PPP so the project aligned with farmer's willingness to pay (WTP) for the irrigation. A two-part tariff system was agreed to, where farmers would pay both an annual fixed fee based on the land area connected and a volumetric fee based on the amount of water use. Tariff structure was determined through detailed consultations and an assessment of the WTP. Using community engagement to scale the project to match the end user's WTP was an important learning.





### Accountability and Monitoring

It is important for the community to see the impact of their involvement and have access to the reports and summaries of the engagement.

**Having a systematic, rigorous system for tracking potential issues, conflicting views, project costs, benefits and compensation measures is key to providing feedback to all parties in a transparent and defensible way**

The overall result of the engagement will be the sum of various inputs received at various phases, through different methods and from all community citizens, groups and organizations, all of which will inform the ultimate decisions shaping a project (EC 2015)

Short-term achievements, whether quantifiable or not, should be brought to public's attention to sustain confidence in the LGAs commitment and ability to deliver. Systematic issues tracking will help those facilitating engagement activities prepare for meetings/engagement activities with certain groups, and ensure consistent messaging around both broad, and specific project issues.

**Community engagement programs can contribute to PPP planning and decision making processes by**

A system for managing community complaints or grievances (complaints resolution desk) is a key component of this process.

Sharing information and seeking input from multiple community groups

Sharing that input with PPP proponents so that they may factor this input into project plans

Reporting back to the community describing how their input affected project decisions

### **BOX 02: Key Performance indicators**

Input from the community during the PPP planning (Identification, Pre-Feasibility and Feasibility stages) should be used to develop key performance indicators (KPIs) that can be monitored during project implementation. These Performance indicators should be disaggregated so that it can help set the Guideline for messaging and reports back to the community during implementation and can assist in demonstrating follow-through on commitments made in the planning phases. Monitoring helps the e LGAs demonstrate Project successes (or failures) and inform adaptive management plans.



*Photo 22 Moshi Market*



### Utilize Multiple Approaches to Community Engagement

The LGAs should use different approaches to sharing information and receiving feedback during different phase of the PPP. Tools and Techniques for community engagement are presented as an Appendix 6 to this Guideline, and some examples are discussed in the write up for each Phase later in this document.

Generally, good practice combines written and electronic engagement with face-to- face methods.

**Communication activities that were solely based on the output of products, such as radio and TV spots, newspaper ads, and the like, are no longer sufficient to meet the demands for participation, accountability, and transparency (Calabrese 2008). The Community must be directly involved.**

Since a sound engagement program requires a clear understanding of the community's perceptions, attitudes, and behaviors vis-à-vis partnering with the Private sector, an Engagement programs should be designed to collect both qualitative and quantitative information (Calabrese 2008).

Providing citizens, groups and organizations with information that is accurate and in a format, that is easy to access and understand, is a core principle of the Tanzanian government (Tanzanian Core Principles, 2009). Summary documents along with preliminary drafts of important project plans, assessments and other studies should be made available for public comment before submitting documents to regulators and should allow sufficient time for community comments. More participatory methods enable the most marginalized to express their views and avoid excluding those without English language skills or access to the internet (ADB 2012).

### **Box 3 : Community education on PPP concept in Tanzania**

Public-private partnerships are central to the Tanzanian Government plans for sustainable development. In Tanzania, where PPP concepts are relatively new, a good community engagement process provides the government an opportunity to explain to the communities how a PPP differs from privatization. Some community citizens, groups and organizations may have ideological opposition to private provision of public services, or worry that a PPP will degrade their quality of life, or fears and suspicions of government capture and/or abuse of a local monopoly, all of which may be easily spread and difficult to diffuse (WB 2017). Community engagement process provides accurate and correct information to the community, which helps alleviate some of these fears and mis-information

Based on input from Tanzanian stakeholders, it became apparent that the public sector has not yet developed a high level of trust with the private sector. In particular, there is a lack of trust of the private sector by citizens, specifically at the Mtaa/village level where there was a sense that the private sector had more power or ability to influence decisions. The success of PPPs in Tanzania will require a new relationship between Public and Private Sector entities. Community engagement processes can help promote the development of relationships and trust between the communities and the private sector that will implement the PPP.

One of the most effective means of building relationships and establishing trust is through multi-stakeholder working groups, which the LGAs refer to as Task Force or Special Committee.

To bolster confidence and general buy-in from the community and Project Partners must be clear in their understanding of the PPP approach, how Project risks are managed, where funding is coming from, and how user fees (tolls, tariffs, rents) factor into project implementation and operational costs. Creating public awareness and increasing understanding of the PPP concept is also very important: people do not have to agree, but they must know why the government is engaging the private sector (Calabrese 2008).

Part of the preparation for engagement on any new PPP, will be to develop plain language, educational materials that describe specific roles and responsibilities of each party, so that LGA staff and/or individuals involved in outreach activities can consistently and accurately describe this to all interested parties

## Appendix 2 – Sample Statement for Project Purpose

The LGAs will need to define the purpose for each PPP community engagement program. The following is a hypothetical example:

### **Project XYZ**

The community engagement process will involve the community by providing an opportunity for them to receive and share information, ideas, issues and concerns about the proposed XYZ Project. The inclusion of community citizens, groups and organizations input into the design and development of the project will help ensure community buy-in to the Bus Terminal and create an environment that enhances the economic viability of the project. Community engagement will also ensure that accurate information about the XYZ Project is shared with the community to manage the expectations of the community about what the Project will achieve.

The community engagement will engage a variety of community citizens, groups and organizations and will consider their capacity, ability, and resources to be engaged.



*Photo 23 DART Bus Stop in Dar es Salaam*

**Goals for Community Engagement for XYZ Project:**

The LGA will strive to include all affected citizens, groups and organizations by taking into consideration the barriers community citizens or groups have with being able to engage.

The LGA will also be realistic with the level of effort they can apply to our engagement program, as the LGA has limits to resource and capacity.

We will strive to be inclusive, practical and realistic with all its community engagement efforts for the proposed XYZ PPP.

**The objectives of Community Engagement are as follows:**

- » Provide information to community citizens, groups and organizations
- » Collect and consider information from the community in the design of the XYZ Project
- » Adjust the engagement process to reflect changes in the community citizens, groups and organizations or the method for engaging them, as needed.

## Appendix 3 – Listing of Potential Community Citizens, Groups and Organizations for Tanzanian LGAs

The following are Community citizens, groups and organizations that the LGAs should consider when identifying community citizens, groups and organizations

- 1) Local Residents and End Users
- 2) Community Leaders
- 3) Faith Based and Cultural Groups
- 4) Women's Groups
- 5) Local community and Voluntary Groups
- 6) Local Trade Unions and Business Development Groups
- 7) Social Service Providers
- 8) Local Political Parties
- 9) Community-based Groups and Civil Society
- 10) Media
- 11) Development Partners
- 12) Private Lenders and Financers

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## 1. Local Residents and End Users of the PPP

- During the Identification phases of PPP development, there may not be a specific location for the PPP concept. Therefore, the identification of local residents may not be possible and this group may be broad, as there might be several locations under consideration for the PPP.
- Consider land users and those who have access rights, LGA may not know exactly where the project will be located, but they may know that it will be in a group's territory in general.
- Consider who will be the end users of the PPP service or infrastructure

Examples:

- homeowners
- tenants
- informal settlements
- illegal settlements
- farmers,
- herders
- fishers
- hunters
- artisans
- vendors/small business owners
- commuters
- consumers



Photo 24 Roads near Arusha



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## 2. Community Leaders

- Who are the community leaders for those being affected by the Project? Think of both political leaders (Ward Councilors, Village Councils, Mtaa Representatives, local party leaders, Religious local leaders (i.e. Kigango or Jumuiya).
- As the PPP ideas are generated from the Mtaa/Village level up through the Wards, it is possible that not all Councillor or Ward Representatives are aware of the idea, but they may be affected by it.
- Government or regulatory agencies that would provide approvals to the PPP?
- Other LGAs that have an interest in or would use the PPP?

Examples:

- o LGAs(consider both neighbouring LGAs, as well as people within your own LGA)
- o Ward Councillors
- o Village level politician
- o Community or Village leaders
- o Tribal leaders
- o Elders or respected person in the community
- o Youth leaders
- o Women leaders
- o Availability of community centres where people meet and discuss issues regards to their community challenges (e.g. Famous Bar)

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## 3. Faith Based Groups and Local Racial, Ethnic and Cultural Groups

- Are their faith based groups that are active in the area affected by the Project?
- Are there specific ethnic or cultural groups in the area affected by the Project?
- These groups can be helpful, because they can share information with their followers, which helps the LGA reach a broad number of community citizens without having to contact them all individually

Examples:

- o Christian Groups (e.g. Jumuiya, Kigango)
- o Muslim Groups, local branch of National Muslim Council e.g. presence of the Muslim followers who provide religious training
- o Indigenous Groups (e.g. Sukuma, Maasai, Chagga, Hedzabe, etc.)
- o Diviners and Traditional Healers

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## 4. Women's Groups

- What women's groups or networks are active in the area affected by the Project?
- Gender sensitivity to socio-cultural constraints which may inhibit women's participation (such as locations of meetings/tangible & intangible "costs" for attending/timing of meetings etc. to account for individual circumstances – child care, transportation etc.).

### Examples:

- o Regional office of the Ministry of Community Development, Women Affairs and Children (MCDWAC)
- o Local Women's group, such as Taaluma Women Group
- o Local branch of the Tanzania Gender Networking Programme –TGNP (Mtandao wa Jinsia Tanzania)
- o Local office of the Tanzania Women Development Foundations
- o Local Women Shelter Network
- o Local Women's Legal Aid Centre
- o Presence of Women financial support groups such as VICOBA
- o Women support group (e.g. kufa na kuzikana, cooking in events)

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## Community Associations

- Are there umbrella associations that represent community groups?

### Examples

- o Water user's associations
- o Water catchment or sub-catchments
- o Transports association (e.g. chama cha waendesha pikipiki, chama cha wasafirishaji Dar Es Salaam)

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5. Local trade unions, business development groups or local branches of the chambers of commerce and presence of regulatory authorities (central government governed bodies)

- What are the local business development groups in the area affected by the PPP? Think of both positively and negatively affected groups.

Examples:

- o Regional and District Business Council, chaired by the Regional Commissioner or District Commissioner
- o Local office of the Chamber of Commerce
- o Local Union of the Trade Union' Congress of Tanzania (TUCTA)
- o Regional or District Consultative Committees being established, chaired by the Regional Commissioner or District Commissioner
- o Local office of the Chamber of Commerce
- o Local office of the Tanzania Women's Chamber of Commerce

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6. Social Service Providers

- Organizations that provide local services to the community.

Examples:

- o Emergency Response
- o Police, Fire Departments, Ambulances
- o Health Service Providers
- o Hospitals and organizations dedicated to health & wellness
- o Schools
- o Children's Organizations
- o Energy service providers
- o Water supply and wastewater service providers
- o Communication services
- o Owners of services providers e.g. churches, government, private etc.

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## 7. Social Service Providers

- What are the local political parties that are active in the area around the Project?
- Mitigating undue political influence in the execution of the PPP is important. Politicians have an important role in contributing ideas to the design and initial concepts, so engaging them at this stage is important. It may also be useful for the LGA to re-iterate the politician's importance at this phase, but that as the project moves into procurement and implementation, it the PPP private sector partner will be the primary management decision maker.

Examples:

- o Chama Cha Mapinduzi
- o Civic United Front
- o NCCCR-Mageuzi
- o Tanzania Labour Party
- o United Democratic Party
- o Chama Cha Demokrasia na Maendeleo (CHADEMA)
- o ACT Wazalendo

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## 8. Community-based Groups or Local Civil Society Organizations

- What NGOs or civil society groups are active in the area affected by the Project?
- Research or Educational Institutions that study the sector or that train workers for the sector.
- What organizations could assist in public education campaigns?
- Under-Represented Groups: youth, elders, indigenous peoples, people with disabilities, poor
- What community-based organizations can provide knowledge or expertise to help identify project risks or improve project design?

Examples:

- o Tanzania National NGO Coordination Website (Ministry of Health, Community Development, Gender, Elderly and Children). They list all NGOs by sector and City, so you can narrow down your list
- o REPOA
- o Local Universities
- o Youth groups
- o Elderly
- o Physically disabled Advocates: The umbrella organization for people with disabilities is "Federation of Disabled Peoples Organizations"

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## 9. Media

- Newspaper
  - o Private owned Swahili newspaper – Nipashe, Mtanzania, TanzaniaDaima etc.
  - o Private owned English newspaper - the Citizen and the Guardian
  - o Government owned English newspaper e.g. The Daily News
  - o Government owned swahili newspaper – HabariLeo
  - o Weekly private owned Swahili newspaper e.g. Mwananchi, Raia Mwema, Mwanahalisi
  - o Weekly private owned English newspaper e.g. the Guardian on Sunday, Business times, East African
  - o Government official notice paper (GN)
  - o Procurement newspaper
- Radio and Television.
  - o State owned TV and Radio e.g. TBC Radio and TV
  - o Private owned radio and TV – Clouds FM, Radio-One, EFM, ITV

## Appendix 4 – Guiding Questions for the LGAs to help Determine the Level of Interest and Level of Influence for Community Groups, Citizens or Organizations

The following outlines a process the LGAs can use to determine the level of interest in a Project and the level of influence the citizens, groups and organizations would have over its success.

The following lists different types of interest and influence a community citizens, groups and organizations might have for a PPP.

The LGAs can use this to help them think about different ways they affect PPPs.

### Possible Interests

**Direct interests.** Citizens that will use the service as well as individual households or local businesses that live adjacent or proximate to a project area, those that may be affected by traffic, noise, odours etc.

**Direct Economic Interest.** Interest in business and employment opportunities for local people and indigenous groups. Interest in improving wages and conditions for staff and contractors, In-migration from other regions in search of employment and economic opportunities generated by the project.

**Revenue Raising Interest.** Local politicians interested in additional local tax revenues.

**Political Positioning Interest.** Interest in demonstrating their ability to control material benefit flows from the project at the village or district level for political status at the local, regency or provincial level.

**Business Interest.** Interest in securing material and labour supply contracts and other sub-contracting opportunities. The primary contracts for PPPs may be awarded to the private sector outside the local community, but there are indirect contracting opportunities that would be of interest to community citizens with small businesses.

### Kind of Influence

**Direct Responsibility.** Those in the community who are directly responsible for the decisions related to the Project, for example regulators, financiers, politicians or administrators.

**Influence Holders.** Those in the community that are looked to for guidance or advice such as religious leaders, educators, elders etc.

**Objectors.** Those in the community that can sway public opinion or obstruct a decision if not involved.

**Experienced Community Citizens.** Those in the community that have previous experience with PPPs or that have been involved in similar community developments in the past.

Building on the ideas in the previous table, the questions below as some examples that can help the LGA evaluate the level of influence and interest each community groups, citizens or organizations may have, The LGA should also brainstorm what they think their key concerns and issues might be. Community interests can range from use of the PPP, to business and employment opportunities it creates, to concern over cost of the service, to concerns about noise or other social change

**Table: Influence (What level of influence does the community group, citizen or organization have in the project)**

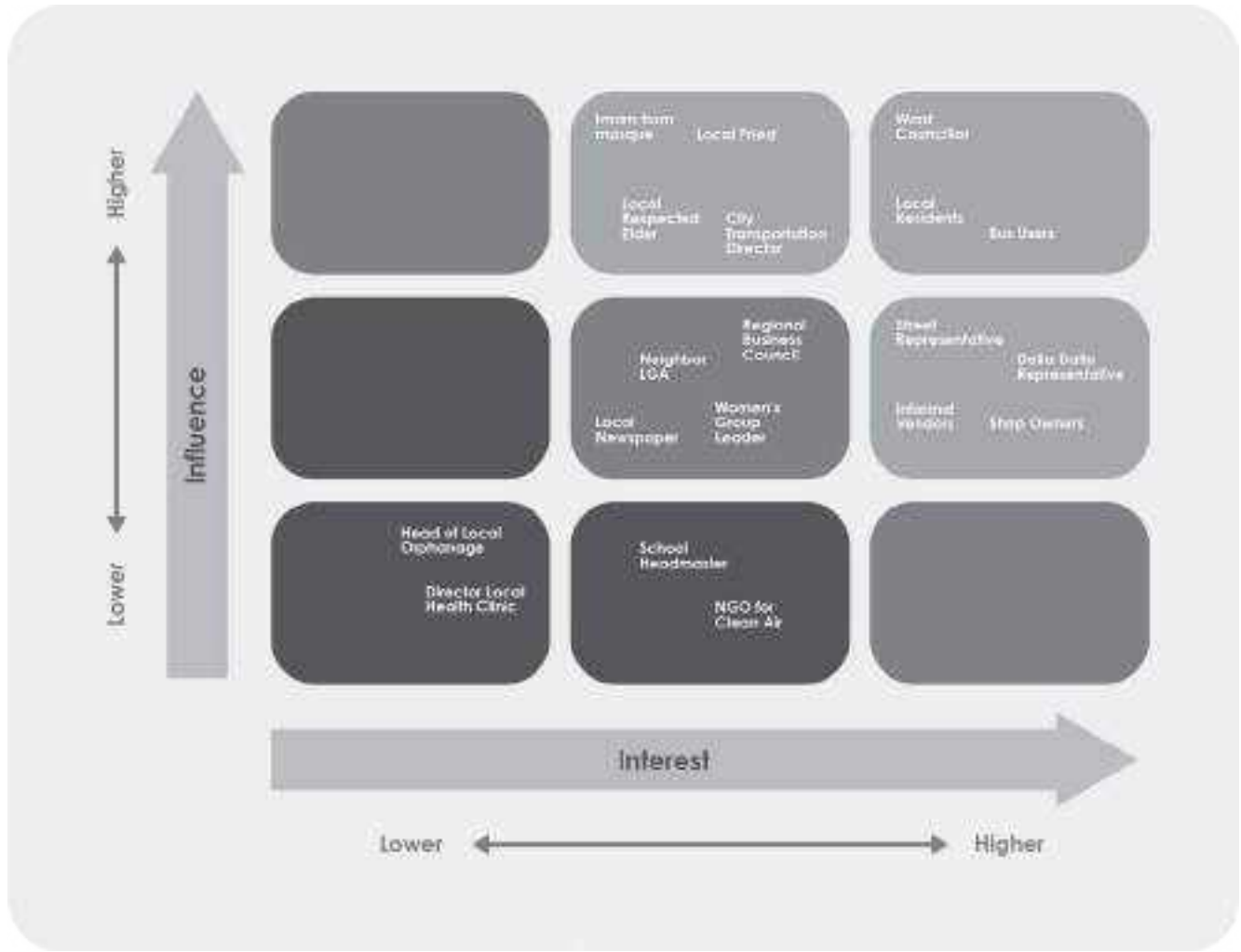
	High	Medium	Low
Does the Community group, citizen or organization has authority to issue permits, approvals, license, etc. needed by the Project?	The Community group, citizen or organization is the provider of a permit, approval, license, etc., needed by the Project, and the process for getting the permit, license, etc. changes for each project and is not prescriptive.  The issuer of the permit requires that engagement occur with the PPP at this phase.	The Community Group, citizen or organization is the provider of a permit, approval, license, etc., needed by the Project, and the process for getting the permit, license, etc. is well understood and consistently applied to all Projects.  The issuer of the permit or license does not expect to receive applications at this phase but wants to be kept informed of progress	The Community Group, citizen or organization does not issue permit, approval, license, etc., needed by the Project.  The issuer of the license of permit does not expect to receive applications at this phase and does not have an interest in being engaged as this early phase.
Is support or acceptance of the Project by a specific Community needed? Keep in mind that not all "permission" is official. Is the acceptance of the Project by certain influential group, citizen or organizations required?	The community group, citizen or organization has a key official or un-official role in the community and getting their early acceptance or support of the Project is necessary.	The Community Group, citizen or organization is key influential community citizens and their early support or acceptance of the project would be helpful. Keeping them informed as the project advances to a more detailed design is required	The group, citizen or organization has a minor influence in the community and their early support would be somewhat helpful but not necessary. They may play a more important or influential role at later phases, but not at this phase
Is the community group, citizen or organization the end user of the PPP service or infrastructure, and is their use of the PPP necessary for the financial success of the project?	It is clear the community group, citizen or organization will be the primary end user of the PPP service or infrastructure.	The Community Group, citizen or organization might be the primary end user, or the will sometimes use the service or infrastructure provided by the PPP.	It is not clear how much the community Group, citizen or organization will only use the service or infrastructure provided by the PPP. It is likely to not be a core service for this group, citizen or organization
Is the Project required by regulation to consult with a specific community group, citizen or organization?	The Project is required by regulation to consult with the specific group, citizen or organization.	It is suggested by the regulations that the Project should consult with the specific group, citizen or organization.	There is no regulatory requirement to consult with the group, citizen or organizations.
Is the community group, citizen or organizations able to assist with identifying issues or enhancing project design?	The Community group, citizen or organizations can provide specific information that is crucial to the success of the Project.	The Community group, citizen or organizations can provide information that may be useful for the Project.	The Community group, citizen or organizations might have general information about the Project.

**Table: Interest (What level of interest does the community group, citizen or organization have in the project)**

	High	Medium	Low
Which community group, citizen or organizations would have their livelihood affected by the Project?	It is clear at this early phase that the majority of their livelihood will be affected by the Project.	They work in a business sector that may be affected by the Project, but it is not their primary source of employment or business.  It is not clear if the PPP will overlap with the business or work of the group, citizen or organization	None or only a small portion of their livelihood overlaps with the Project.  It seems very unlikely that the livelihood of the community group, citizen or organization would overlap with the business being proposed by the Project
Which community group, citizen or organizations provide a social service that would be affected by the Project?	The community group, citizen or organization is the primary provider of their service in the Project area, and community citizens cannot easily access the service in other locations not affected by the Project.	The community group, citizen or organization provides a social service that is affected by the Project, but community citizens can access the service in other locations or with other similar service providers unaffected by the Project.  It is not clear if the PPP will overlap with the service provided or used by the community group, citizen or organization.	The Project does not really affect the service provider or the general community's ability to access the service.
Which community groups, citizens or organizations are responsible for infrastructure that would be affected by the Project?	The community groups, citizens or organizations manages the only infrastructure of its type in the Project area.	The community group, citizen or organization manages infrastructure that is one of several used by the community and not all are affected by the project.  The PPP might provide the same infrastructure run by the community group, citizen or organization, but it is not certain until the project is further refined in future phases	The community group, citizen or organization manages infrastructure that is not really affected by the Project.
Are there potentially affected under-represented or vulnerable groups?	The Project would directly affect their daily lives (positively or negatively)	The Project would only partially affect their daily lives (positively or negatively)  The project might directly affect their daily lives, but it is not certain until the project is further refined in further phases.	It seems very unlikely the project would affect their daily lives



Hypothetical Example for Step 3: Ranking of Community Groups and Citizens,



**Tier 1 (High)** = Community citizens, groups and organizations in this ranking require in-depth engagement. There is a need for multiple meetings and the use of a variety of engagement tools. The goal with this level of engagement is to build a cooperative relationship so that their input is integrated as much as possible. Information and ideas from Tier 1 community citizens, groups and organizations is needed for the successful development of the PPP.

**Tier 2 (Medium)** = Community citizens, groups and organizations in this ranking require a mid-level of engagement. There is a need for multiple engagement activities. The goal with these citizens, groups and organizations is to consult by sharing information and using their feedback and input where possible.

**Tier 3 (Low)** = Community citizens, groups and organizations in this ranking require project updates that are designed for general consumption. It is important for these community citizens, groups and organizations to have their chance to be informed and for the LGA to respond to their questions. The goal for engagement with this Tier is to build understanding and support for the PPP in the general public. If the engagement process can build broad community support for the PPP, then it is more likely to be successfully developed.

### **BOX 01: Estimating Costs of Community Engagement for PPPs**

There are no simple guidelines to help the LGAs predict community engagement costs, as they will vary from project to project. The LGAs should internally estimate costs at this Phase for planning purposes. Items to consider when trying to estimate costs include:

- Staff time
- Advertising cost
- Facility rental
- Projectors
- Consultants time
- Preparing Materials
- Food or snacks
- On-line Apps or Tools
- Facilitators time
- Printing Materials
- Honorariums/Child care
- Database costs

Very few studies exist on the cost of engagement, but one report indicates that when looking at the cost of community engagement on a per-person-contacted basis, the least expensive forms of engagement involved on-line tools, such as texting apps or social media. The next lowest cost engagement tools are smaller types of meetings, such as focus groups or working groups, which are about twice as expensive (per person contacted) as the on-line tools. The most expensive types of engagement tools are large community meetings and open houses. Given the limited data, it appears these can be 3 or 4 times more expensive than on-line tools. (NashvilleNext Community Engagement Process, 2016)

The LGAs should track the cost of community engagement efforts for PPPs, so they can build their own cost estimates for different types of engagement tools and use this to inform their future engagement activities.

## Appendix 5 – Types of Risks to PPPs

The following list of [Risks is from the World Bank PPP Knowledge Lab](#). The LGA can use the list to help consider all different types of risks to the PPP. The LGA should use the community engagement process to explore if any of these risks exist for their project.

Site	risks associated with the availability and quality of the project site, such as the cost and timing of acquiring the site, needed permits or assuring rights of way for a road, the effect of geological or other site conditions, and the cost of meeting environmental standards
Design, Construction and Commissioning	risk that construction takes longer or costs more than expected, or that the design or construction quality means the asset is not adequate to meet project requirements
Operations	risks to successful operations, including the risk of interruption in service or asset availability, the risk that any network interface does not work as expected, or that the cost of operating and maintaining the asset is different than was expected
Demand and other Commercial Risks	the risk that usage of the service is different than was expected, or that revenues are not collected as expected
Regulatory or Political	risk of regulatory or political decisions that adversely affect the project. For example, this could include failure to renew approvals appropriately, unjustifiably harsh regulatory decisions, or in the extreme, breach of contract or expropriation
Change in Legal and Regulatory Guideline	the risk that a change in general law or regulation adversely affects the project, such as changes in general corporate taxation, or in rules governing currency convertibility, or repatriation of profits.
Default	the risk that the private party to the PPP contract turns out not to be financially or technically capable to implement the project
Economic or Financial	risks that changes in interest rates, exchange rates or inflation adversely affect the project outcomes
Force Majeure	risk that external events beyond the control of the parties to the contract, such as uninsurable natural disasters, war or civil disturbance, affect the project

Asset Ownership	risks associated with ownership of the assets, including the risk that the technology becomes obsolete or that the value of the assets at the end of the contract is different than was expected
Social Risk	Lack of community support, or full opposition to a project. Can result in protests or boycotts of the service, in extreme cases can result in vandalism, theft or sabotage

## Appendix 6 – Community Engagement Tools and Techniques

This section provides ideas and information on different techniques and tools the LGAs can use to engage the Community. As the Guideline Document describes, the list of Citizens, groups and organizations, and the approach to engaging each group will likely change as the PPP progresses. For each Technique and Tool, this section describes:

- » The technique or tool;
- » The benefits of using each technique or tool;
- » The challenges of using technique or tool;
- » What Stage of PPP process is it more effective; and,
- » Suggestions on how to improve the effectiveness of the approach.

Prior to picking the engagement tools and techniques, the LGA should have already completed the Engagement Ranking Assessment. Based on the Assessment, the LGA should know which level of engagement they are targeting for each group, citizen or organization. This information will guide the LGA in selecting the appropriate tools and techniques.

The following techniques and tools for engagement can be adjusted or altered by the LGA as needed. These are examples of common techniques and tools, but the LGA is free to adjust them to fit their specific needs or use other tools or techniques as they see fit.

The Engagement Techniques and Tools described in this Section are:

- 1) Direct Meetings with Specific Community Groups
- 2) General Community Meetings
- 3) One-on-one meetings with key groups, citizens or organizations
- 4) Community Task Force or Community Special Committee
- 5) Information centres, booths, etc.
- 6) Creative Engagement (songs, plays, art)
- 7) Community Mapping
- 8) Communication and Awareness Campaigns
- 9) Surveys
- 10) Public hearings

The list draws on a number of source documents including the [World Bank Toolkits for PPP](#), [the Social Planning and Research Council of British Columbia's Community Engagement Toolkit](#) and the [Dundee Scotland Community Engagement Toolkit](#).

## 1. Direct Meetings with Specific Community Groups, Citizens or Organizations

Direct meetings with specific community groups, citizens or organizations should focus on high priority groups, as identified in the Engagement Ranking Assessment. The LGA needs to thoughtfully determine how many direct meetings they can realistically afford.

Direct meetings are highly effective, but they take time and effort on the part of the LGA and the community. Some meetings can be large and have 500 or 1,000 people attend. These should be used strategically throughout the PPP Process. Bringing key community citizens, groups and organizations up to speed about the proposed PPP is important, and this is often most effectively done with direct meeting.

Specific invitations would be sent out to the target groups, and the size of the meeting will depend on how large that community group or sector is. The LGAs will typically present information on the PPP that relates to the interests of the attendees. For example, for the Bus Rapid Transit project, meetings were held with the Dalla Dalla drivers, where information specific to the owners was presented.

During the initial phases of the PPP process, the LGAs should utilize community groups/organizations that represent broad sectors in the community. As opposed to trying to meet with all the individual groups, citizens or organizations that might have an interest in a proposed PPP. It is more effective to meet with the community associations or entities that represent different community sectors and have that organization assist the LGA with spreading information to their citizens.

### **Community Meetings are very good for:**

- 1) Engaging a specific community group, citizen or organization to discuss issues that are relevant to them.
- 2) Discussing issues that are contentious, as the meetings are typically smaller and conflict can be handled more effectively.
- 3) Engaging groups that are under-represented, as the LGA can structure the topics, time and locations of the meeting to make it more likely community citizens from this group will attend.

### Challenges with using this engagement technique

- 1) Strong facilitation of the meetings is needed by the LGA as some groups have vocal individuals who may try to dominate the meeting.
- 2) These meetings require dedicated funding and can be time-consuming to organize since the availability of the groups, citizens or organizations must be considered.

### Ways in improve the usefulness of the Public Meetings include:

- 1) Work directly with the individual community group you are meeting with the structure the meeting so that their citizens are more likely to attend.
- 2) Use the community groups/associations that represent this group to send out notifications and invitations to the meeting.
- 3) Take time to prepare for the meeting and focus the information the LGA is presenting to match the interest of the community group you are meeting with.
- 4) Have a clear purpose for the meeting. Be clear about the specific issue(s) the LGA looking for input on. State the meeting by making sure the community citizens understand the meeting purpose.
- 5) The LGA chair of the meeting should be an effective facilitator, to ensure the meeting stays on topics, and the individual participants are all given equal opportunity to contribute to the discussion.

### Phases of the PPP Process where this type of meeting is most useful

PPP Phases -				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Less Useful	Most Useful	Most Useful	Moderately Useful	Less Useful

### Information and Materials for the Meetings:

- 1) Present information that is specific to the community group you are meeting with. Presenting general information is less effective.
- 2) Consider getting input on the information and materials the LGA is going to present from the association that represents this group.
- 3) associations will have a good idea of the issues and topics that their citizens want to hear about



## 2. General Community Meetings

This is the most common form of community engagement used by LGAs. Meetings organized at the Mtaa/Village level are well attended. The size of the meeting can range from a few dozen to over 100 community citizens. These meetings are an opportunity to talk directly with community citizens and find out what types of services and/or infrastructure they need. The meetings are typically held in community offices or a central community area.

General community meetings can take a variety of different forms, and the LGAs should continuously collect feedback on the meetings from participants so they can adjust the format or structure as needed.

General Community Meetings are a great place to generate ideas for PPPs, build consensus, prioritize a variety of ideas, and help build interest and support for PPP ideas. The LGAs should continue to use community meetings as part of the PPP process, because ideas identified by the community at the ground level are more likely to be successfully developed, as they will have broad community support.

### **General Community Meetings are very good for:**

- » Engaging many community citizens, groups and organizations
- » Ensuring large number of community citizens receive the same information
- » Identifying general ideas or outlining general issues in a short timeframe
- » Getting consensus on next steps or necessary follow-up
- » Identifying special interests

### **Challenges with General Community Meetings**

- » It is difficult to know how representative the group of participants is, as some community citizens may not be interested or have time to attend.
- » It can be challenging to get input from everyone. As described in research by Jules Pretty, the larger the group, the fewer people tend to speak

3 -6 people	Everyone speaks
7 - 10 people	Almost everyone speaks - Quieter people speak less - One or two may not speak at all
11 - 18 people:	5 or 6 people speak a lot, 3 or 4 join in occasionally
19 - 30 people	3 or 4 people dominate
more than 30 people	Little participation in a discussion is possible

*Source: Pretty., 1995. Pretty, Jules, 1995, Participatory Learning for Sustainable Agriculture in World Development, Vol.23, No.8*

### **Ways in improve the usefulness of General Community Meetings include:**

- » Advertise the meeting in advance. LGAs should continue to use posters, banners and announcements on loud speakers and radio as key ways to notify community citizens about upcoming meetings. LGAs should consider advertising via Text Messaging, WhatsApp, Blogs and other electronic communications tools.
- » Select a date when the key LGA decision makers can attend with the local Councillor(s). It is important that key PPP proponents be present to provide information and lead the discussion.
- » Consider having two sessions in the same day, so that people have a choice. The sessions will be the same, but with two options for when to attend, community citizens can pick what works best for them. Typically, this would be a meeting in the afternoon and a second in the evening. That way if people work during the day, they can attend in the evening or, if they work evenings they can attend in the afternoon.
- » To encourage people to attend, the LGA may consider offering meals, refreshments, door prizes or some type of entertainment. For certain sub-groups (i.e. elderly, disabled, poor), LGAs may consider providing assistance with transportation (i.e. bus fares, shuttle service), or have a place where kids can be kept occupied with crafts or games, while their caregivers attend the meeting.
- » Selection a location(s) that are familiar to community citizens
- » The LGAs should use their engagement list to identify community citizens who should receive direct notification/invitation to the meeting
- » Notify under-represented groups about the meeting time and location. Provide support for people from these groups to attend. E.g. ensure the meeting location is accessible for people with disabilities, provide additional opportunities for women to participate if they traditionally do not attend, etc.
- » Take time to prepare for the meeting, develop an agenda and materials to present. If a community meeting is poorly organized or run, it can discourage or create opposition to the PPP idea.
- » The LGA should plan for how they will display and collect information. Using large posters or pretensions can be helpful, and having a variety of options for participants to provide input is helpful, such as note takers during discussions, feedback or suggestion forms that individuals can fill out, breaking into smaller group discussion for a part of the meeting is another option.
- » Before the meeting starts make sure the community participants understand why the meeting is about, why they are there and how the information that will be discussed will be used by the LGA. It is important to ensure community participants have a realistic expectation of what the meeting will achieve.

### ***Phases of the PPP Process where General Community Meetings are most useful***

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Most Useful	Most Useful	Most Useful	Moderately Useful	Most Useful

#### **Information and Materials for the Meetings:**

- » This type of meetings is often used early in the PPP life-cycle and therefore information will not have a high level of detail.
- » Use wording such as “Requesting your ideas about ...” or “Asking for your general comments on ...”.
- » If using this during the Identification or Pre-Feasibility Phase, be careful about making definitive statements about the PPP, the LGAs need to be careful about creating unrealistic expectations in the community.
- » As with all types of engagement, use simple language and include visual materials, such as picture, photos, diagrams and maps.

### 3. One-on-One Meetings with Key Community Groups, Citizens or Organizations

One-on-One meetings are an important engagement tool, as individual community citizens, groups and organizations appreciate the individual contact.

These meetings are usually focussed on specific issue(s) and will often occur in the residence of the affected community member. As mentioned below as a challenge, these meetings are time consuming, so use them only when the other forms of engagement do not allow the community to effectively share their information. If the community is sharing very personal information that is private in nature (i.e. financial or health), then one-on-one meetings are useful. In other situations, a one-on-one meeting with a very vocal opponent of the PPP may also be useful. It allows the LGA to really listen to the individual and makes the individual feel like they have truly been heard. Once a very vocal opponent feels like the LGA really understands their concerns, they will often become more collaborative and constructive with their input. It may also be worth meeting one-on-one with key influential people in the community to ensure they have accurate and complete information about the Project to share with the people who turn to them for advice.

#### **One-on-One meetings are very good for:**

- » Building relationship and trust with individual community citizens.
- » Resolving difficult or contentious issues
- » Providing/listening to individuals with specific information that is private in nature.
- » Providing accurate information to influential citizens of the community. Community citizens will often ask key elders, religious leaders or tribal leaders for their opinion on a PPP. Ensuring that the key individuals are forming their opinions based on accurate information is important.

#### **Challenges with using this engagement Technique**

- » It is time consuming to have a lot of one on one meetings, so will need to be used selectively
- » Specific information needs to be presented and it can take time and effort to get that information
- » It is not viewed as transparent by the community in general. People may wonder what specific agreements have been made behind closed doors. This can be mitigated by ensuring the Project information shared at one-on-one meetings is the same as information disclosed at general forums. When appropriate, the LGA may also consider providing summary information or lists of the Agreements that have been reached with Community citizens, groups and organizations.

#### **Ways in improve the usefulness of One-on-One meetings include:**

- » Provide an outline of the topics or and agenda you will discuss in advance of the meeting, so that both parties have realistic expectations about the meeting and participants can prepare for the meeting in advance.

- » Begin the meeting by making sure everyone has a similar understanding of the focus of the meeting, and how the information from the meeting will be collected and used by the LGA.
- » Provide some transparency to the general community by disclosing the topics that will be discussed at one-on-one meetings, even if the specific details are private. For example, if discussing compensation as part of re-settlement programs ensure that the formula for calculating compensation is publically known and that the same valuation techniques are used for all community citizens who are being physically or economically resettled.

***Phases of the PPP Process where this type of meeting is most useful***

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Moderately Useful	Moderately Useful	Most Useful	Most Useful	Most Useful

**Information and Materials for the Meetings:**

- » Present information specific to the individual.
- » For information related to compensation for relocation or resettlement, provide details of the valuation methods and ensure it is the same method used for all community citizens who are being effected.

#### 4. A Community Task Force or Special Committee

A Community Task Force or Special Committee is a selected group of community representatives who meet to discuss issues related to the PPP.

These groups will usually have a Terms of Reference that defines the specific aspects of the PPP they are supposed to discuss and the outcome or output that the LGA is looking the Committee to create.

These groups often involve a cross section of the community so that a variety of interests and perspectives are heard. The groups can have an internal member act as the chair and facilitator, or an external facilitator can be used. Many of the groups work on a consensus basis, where the group develops advice or suggestions that the different participants can all accept.

#### **Community Task Force or Special Committee are very good for:**

- » Consider a specific set of issues of topics and providing a forum where different community perspectives are heard.
- » Creating guidance or advice to the LGA regarding a specific PPP issue(s), which the LGA can use as part of their decision-making process.
- » Creating a sense of empowerment within the community, as they produce advice or decisions that will be used by the LGA.

#### **Challenges with using this engagement Technique**

- » Meetings must often be scheduled well in advance of the meeting and can be difficult to coordinate.
- » Asking someone from the community to become part of a committee is asking them to make a significant commitment to the process. It takes time for each of the participants to attend the meetings, especially if there is information or documents that must be reviewed prior to the meetings. In addition to preparation time, participants may incur travel costs, or be asked to take time off work to attend meetings. The LGAs may be asked to provide some sort of compensation for this.
- » Selecting the right number of participants so that a variety of perspectives are represented.
- » Keeping the Committee focused on the specific issue(s) they are supposed to discuss requires a strong leader or facilitator.
- » The LGA needs to be willing to utilize the results of the committee. If the LGA ignores or does not use the advice generated by a consensus process, then the interest and credibility of the committee will be lost.
- » Some in the community may resent the fact a few people have been chosen to represent the view of the larger community. This can be mitigated by making the Terms of Reference for the Committee, meeting minutes and key recommendations from the Committee publically available, or allowing the public to attend key meetings as "observers". The Group may also wish include schedules for reporting

back to the groups they represent in their Terms of Reference and provide a mechanism for the general public to provide input to these Committees.

Ways in improve the usefulness of Task Force or Special Committee include:

- » Provide the Group with a third-party facilitator to help ensure all perspectives are heard and the Committee stays focused on the designated topics.
- » Provide a clear Terms of Reference for the Committee, so they know exactly what they are being asked to discuss and provide their advice on.
- » Provide the committee with a schedule of when the LGA expects them to provide their advice.
- » Carefully consider the composition of the Task Force or Special Committee, to ensure it is representative of the broader community.

***Phases of the PPP Process where this type of meeting is most useful***

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Moderately Useful	Moderately Useful	Most Useful	Moderately Useful	Most Useful

**Information and Materials for the Meetings:**

- » To ensure that all participants in the Committee have the same basic level of understanding of the issue(s) background information should be provided.
- » There may be a need for the LGA to respond to requests for information from the committee. As they discuss specific issues, they may feel that they need additional information about the topic and can request the LGA to provide that information.



## 5. Information Centers, Booths and Stalls

The LGA can present information on a PPP in public locations, where there is a lot of pedestrian traffic. The displays include Project information, maps, illustrations, etc. As community citizens pass by the display they can collect information about the Project or depending on the Phase of the PPP, they can provide comments or opinions. Locations in Markets, bus stations and other central locations are good for this type of engagement.

This type of engagement can be combined with the LGA and the National Governments efforts to raise the public's awareness and understanding of PPPs.

### **Information Centers, Booths and Stalls are very good for:**

- » Providing general information about a PPPs and collecting views and opinions from large number of community citizens.
- » It generates interest and discussion in the community about PPPs.
- » Is a mechanism to share information PPP information broadly, LGA will be able to reach community citizens who may not be involved in any of the other engagement processes.

### **Challenges with using this engagement Technique**

- » The LGA will need to have people located at the displays to answer questions and collect opinions and views.
- » These displays can generate large amounts of information, and careful thought must be given to the type of information you will collect and the format you will collect it in.

### **Ways in improve the usefulness of Information Centers, Booths and Stalls include:**

- » Make sure the LGA citizens who are working at the displays understand PPPs.  
The displays are less useful if the person working at the display cannot effectively answer community member's questions.
- » Consider collecting views and input in simple survey format, avoid collecting written comments, as this will be challenging and time consuming to process and organize written feedback.
- » Use the displays to inform community citizens about other upcoming engagement events.

**Phases of the PPP Process where this type of engagement is most useful**

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Moderately Useful	Most Useful	Most Useful	Moderately Useful	Most Useful

**Information and Materials for the Displays:**

- » High level details are most effective, given that you may only have a few minutes to explain the PPP to community citizens as they pass by.
- » Illustrations, diagrams and pictures are more effective than written material.
- » Have simple survey forms that people can fill out and leave at the display. Keep the survey simple and short.

## 6. Creative Engagement

The use of artistic forms or expression allow community citizens to be engaged in a different way.

This can be the use of plays, songs or dances created by the LGA to explain what the PPP is and how it might affect community citizens. Acting out the interaction a community member might have with the PPP allows citizens to visualize and think about what effect the project could have on them.

It can also be used as a way to generate interest about the PPP, by having the LGA support contests where community citizens create art work or songs about the PPP to win prizes.

Or community citizens can use their mobile phones to take photographs or audio recordings and put them together in a montage as part of a contest.

There are many variations to this form of engagement

### **Creative Engagement is very good for:**

- » Making community citizens think about the PPP in a different way, which can help them identify ideas or concerns that they might not otherwise express.
- » Generates interest and discussion in a broad cross sector of the public.
- » Good at reaching a younger portion of the community and can be integrated with engagement with the school systems.

### **Challenges with using this engagement Technique**

- » Managing and using the input can be challenging. Community citizens who provide this input may want to see it shared with the public.
- » Not everyone is comfortable providing input in these creative ways, and therefore it might not engage all participants.

### **Ways to improve the usefulness of Creative Engagement include:**

- » Use a member of the LGA team who is comfortable working in creative or artistic environments.

### ***Phases of the PPP Process where this type of engagement is most useful***

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Most Useful	Most Useful	Most Useful	Less Useful	Most Useful

### **Information and Materials for the engagement process:**

- » There may be a need to provide materials to individuals who want to engage in this way.

## 7. Community Mapping of Resources and Use Areas

LGAs may consider involving community citizens in participatory mapping to spatially identify important places, assets, infrastructure and resources in specific areas. A completed map will show where people are located, the infrastructure they rely on and the services they regularly access. Community mapping around PPPs can be very useful as it forces community citizens to visualize the service or infrastructure that the PPP will provide and how they might interact or use it.

The concept of a “map” can be broadly interpreted. The LGA may choose to use a GIS or Google Earth Platform, an artistic rendition of the Project area, simple schematics or three-dimensional models. Any format that allows participants to associate “place” with different kinds of “use” will work. Depending on the type of Project, the phase of Project, and the type of mapping being done, LGAs may consider different methods of recording information. For example, some LGAs may wish to use a standardized set of symbols to represent different kinds of use on maps, while others may find it more beneficial to allow participants to use their own creativity to represent use and travel patterns.

After this form of engagement, the LGA should have a map that illustrates how community citizens view their community and surrounding environment. Patterns of use and commonly used services or infrastructure will become apparent after the map is created and this can be used to inform decisions related to PPPs.

### **Community Mapping is very good for:**

- » Identifying all the resources, services and infrastructure the community uses. Asking community citizens to visualize walking through the community and describing their daily routines will generate information that may not be identified with other forms of engagement.
- » Stimulating interest and discussion with a broad cross section of the public; especially some of the harder to reach groups such as children/youth, elderly, women, indigenous people, and other socio-economic or cultural groups within the community.

### **Challenges with using this engagement Technique**

- » It can generate ideas of identifying concerns that are not related to the PPP, and community citizens can become focused in discussions that do not assist the LGA in making decisions regarding a PPP.
- » The maps are often created by community citizens drawing on paper and it can be time consuming to transfer that information into a geospatial database, if the LGA is using one.
- » Community mapping is most useful when it is done by a wide cross section in the community. Ideally mapping is completed by different age groups, cultural groups, genders, and socio-economic groups. This can be time consuming.

### **Ways in improve the usefulness of Community Mapping include:**

- » Make sure the community citizens are clear about the types of resources and use areas the map should identify; you want to make sure everyone providing information to the map has the same understanding of how it will be used.
- » Provide basic tools, such as a base map with key landmarks already located on them, to help orient community citizens who may not be familiar with reading maps.
- » Use a variety of methods to populate the map, such as people walking around the community with the maps, as well as facilitated mapping at specific meetings.
- » The LGA will need to think carefully about how many community citizens they involve and how much input they will receive. The LGA will need to have enough time and resources to compile the information onto one map.
- » Ensure that the final product is shared with the community citizens who were involved in developing it as well as sharing with the larger community.
- » Describe how the mapping information will be used to inform decisions made about the PPP.

***Phases of the PPP Process where this type of engagement is most useful***

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Most Useful	Most Useful	Most Useful	Less Useful	Most Useful

**Information and Materials for the engagement process:**

- » Large scale maps, that you can spread out on a table or attach to wall are useful for compiling the community's input.
- » Smaller maps can also be provided, so that community citizens can take them and mark on them as they travel through the community on a typical day.
- » Geospatial software of some type is helpful for collecting and using the data at various phase of the PPP process.

## 8. Communication and Awareness Campaigns

Keeping the community informed about the PPP activities is an on-going activity for the LGA and the PPP. The engagement techniques listed below can be utilized as part of many of the previous engagement techniques.

Reporting back to the community is very important, and a variety of ways should be used to ensure a wide spectrum of people are reached. These tools can also be used in the report on Key Performance Indicators created for each PPP.

The number of ways that information can be shared with the community is large. A few of the more common ways include:

- » Posters
- » Loud Speakers
- » Community Notice Boards or Billboards
- » Websites and Social Media
- » Radio and Television
- » Flyers
- » Brochures
- » Regularly updated mailing lists
- » Newsletters
- » Newspaper ads, inserts and articles
- » Press releases
- » Progress bulletins
- » Videotapes
- » Utility bill statement inserts

**Communication and Awareness Campaigns are very good for:**

- » Sharing standardized Project information
- » Reaching a large number of community citizens, groups and organizations.
- » Providing updates on PPP activities and Key Performance Indicators

**Challenges with using this engagement Technique**

- » It is difficult to determine how widely the information is being spread or how it is being perceived.

- » It is a one-way form of communicating, it is information going out to the community.

**Ways in improve the usefulness of Communication and Awareness Campaigns include:**

- » Using multiple ways of reaching out, so that a broader spectrum of the community is likely to be reached.
- » Combine these efforts with other outreach programs that other groups and organizations are undertaking, to increase the reach and reduce costs.
- » Provide the community with information on how to ask questions, provide input or raise concerns.
- » Use local languages for communication
- » Use visual (drawings) for main messages
- » Use community champions/leaders/facilitators for outreach

***Phases of the PPP Process where this type of engagement is most useful***

<i>Phases</i>				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Most Useful	Most Useful	Most Useful	Most Useful	Most Useful

## 9. Surveys

Surveys and questionnaires are used to find out the opinions and views of individual community groups, citizens or organizations. They involve a standard set of questions which are asked to a cross sections of the community. Surveys may be carried out in person, can be mailed out to individual households, businesses or organizations or by using electronic surveys via websites, cell phones or social media.

### **Surveys are very good for:**

- » Providing a representative sampling of the community, if done properly it will reflect the opinions of the whole community.
- » Providing a good overview of community citizens views and opinions on specific topics.
- » Providing both quantitative data and qualitative data to support information generated using other engagement techniques.
- » Increase understanding about specific topics. For example, many LGAs will want to undertake a “Willingness to Pay” survey during the Pre-Feasibility Phase of Projects that require user fees (tariffs, taxes, rents etc.) to fund a PPP. This type of survey is designed to generate information specifically for informing decisions related to funding models, but can also help the community understand why these fees are collected and what they are used for.
- » Perception surveys: Determining community satisfaction or dissatisfaction with an existing service. For example, during the implementation phase, LGAs may want to regularly reach out to the community to see how existing services may be improved or if a PPP is meeting community expectations.

### **Challenges with using this engagement Technique**

- » To ensure the accuracy of the survey is high, they often must be conducted by qualified specialists, although some smaller surveys can be done by the LGA directly.
- » Once the survey questions have been set, there is no adjusting them during the interviews to reflect additional comments from community citizens.
- » Used by themselves, they have limited value, but if used in combination with other engagement techniques described above it can provide additional confidence for the LGA or PPP as they make key decisions.
- » Carrying out large surveys and processing the data generated from them is both expensive and time consuming.
- » It is difficult to predict how many people will respond to surveys if they are mailed, posted on websites or on social media. Low response rates may not only result in little data, the data received may be skewed, and only represent a select sub-group within the community. LGAs that dedicate personnel responsible for completing the surveys with individual households, or by stationing them in public/high



use areas (such as markets, bus terminals, or public parks) will likely get a higher response and improve the quality of the data.

**Ways in improve the usefulness of Surveys include:**

- » Consider getting support from qualified specialists to design and carry out surveys.
- » Carefully consider the access in the community to communication tools such as cell phones or the internet.
- » When conducting surveys in person, target high use areas where multiple and diverse sub-groups within the community are expected to gather.
- » Define the survey sample size and type of information to be collected to use short and concise questions.
- » Partner with the private sector and coordinate efforts

***Phases of the PPP Process where this type of engagement is most useful***

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Most Useful	Most Useful	Most Useful	Moderately Useful	Most Useful

## 10. Public Hearings

Public hearings are a formalized process, usually associated with specific regulatory or policy requirements.

The environment in a Public Hearing can be very adversarial and therefore difficult to develop consensus or agreement. However, it is listed here as one form of Engagement, as the LGAs may have to participate in them as part of the Environmental Impact Assessment review or other regulatory approval processes that the PPP will need to go through. Public Hearings are usually conducted by a government or quasi-government agency. The PPP would typically be viewed as the proponent and interveners would present information in opposition to, or in support of the PPP. Often, some of the interveners are citizens of the local community. Public Hearings will usually involve lawyers or legal counsel and therefore take on a more formal air.

### **Public Hearings are good for:**

- » Providing an opportunity for government bodies to hear different opinions before making a final decision on granting approval(s) for a PPP.
- » Allowing technical information to be presented in a public process
- » Providing the Community Citizens with a sense that the PPP is following all the laws and regulations in Tanzania.

### **Challenges with using this engagement Technique**

- » It is adversarial and can create bad feelings or animosity among community citizens.
- » Community citizens can feel dis-empowered, as the process is not easy for them to participate in and the legal nature of it can be both frustrating and intimidating. Preparing for hearings (providing written submissions, oral arguments, reviewing technical Project information) can be both difficult and time consuming. Some community citizens may wish for technical or legal support, but this can be expensive and in some case, unattainable for community citizens.
- » It does not help develop community consensus, especially for controversial PPPs. It creates a “winner” and a “loser” which contributes to opposition to the project.

### **Ways in improve the usefulness of Public Hearings include:**

- » The LGAs should work with the community citizens before a public hearing, so that as many issues or concerns as possible are addressed outside the Public Hearing process.
- » Any information or comments presented by the LGA should be very consistent with the information they have been sharing with the community throughout the PPP life cycle.
- » LGAs may offer participant funding so community citizens can get technical or legal support during a hearing process.

Phases				
Identification Phase	Pre-Feasibility Phase	Feasibility Phase	Procurement Phase	Implementation Phase
Less Useful	Moderately Useful	Most Useful	Less Useful	Less Useful

## Appendix 7 - Sample Report for Step 6

### Section 1: Project overview

Through community engagement processes, the Community has indicated that the existing bus stop at the corner of Main Street and 1 Avenue is not meeting the needs of the community. Issues related to traffic congestion, poor access and safety need to be addressed. The LGA is considering the use of a PPP process to fund the construction of a proper bus terminal. Community engagement is playing an important role in the defining the bus terminal.

The LGA is looking for input during this Phase of the PPP Process to further refine the bus terminal concept, and ensure it is scaled to a level that could be supported by a private sector partner.

### Section 2: Community Engagement Timeline

January and February: Initial community meetings, where the problems with the existing bus stop were described by the community.

March: LGA and PPP Node representatives attend Community Meeting and describes how a PPP might be used to re-build and upgrade the bus stop. But that the project would need to generate income to attract a private sector partner. Community feedback at the meeting is positive towards exploring the idea of using PPP to fund the bus stop re-build.

April: Two Open Houses was held in the Community at the local community center. Anyone from the community can attend

April: Working Group is set up, with specific key members of the community invited to attend and discuss bus stop rebuild options.

May: Survey of the Communities and how much they would be willing to pay to use a re-built bus station completed.

### Section 3: Summary of Community Engagement Activities

- » What input were we trying to collect from the Community
  - The LGA wanted to know how important the bus stop was Community citizens and groups, and how much of a problem the current site is to citizens, businesses, buses, etc.
  - Are there other options the LGA could consider to address the problems with the bus station, instead of re-building it?
- » What types of engagement tools did we use
  - Open Houses in the community center. We had an LGA member facilitate the meeting and we provided snacks
  - Established a Working Group with participation of 14 key Community Citizens, Groups and Organizations. The participants were invited to attend, it was not open to the public.
  - Continue to post information on the internet, including the Project Facebook page.
- » How did we let the Community know about the engagement
  - We delivered a newsletter to approximately 1,000 residents, businesses and organizations near the current bus station.
  - Sent a notice to approximately 4,000 WhatsApp accounts
  - Paid for 10 adds on local radio and placed adds in local newspapers
  - Advertised on 30 local billboards and overpasses
  - Advertised using loud-speakers mounted on cars
- » How many were engaged
  - 400 citizens attended the 2 open houses.
  - 1,500 people asked for information on the Project's WhatsApp account
  - 2,000 people visited the Project Facebook page and 500 people "liked" the page

#### Section 4: Summary of Feedback from the Community

- » There was strong support for re-building the bus station. Almost 87% of the attendees at the Open Houses, who filled out comment forms, said they want to see the bus station re-built.
- » Feedback from on-line and social media was similar, with almost 82% of comments on facebook page indicating they support the re-building of the bus station.

#### Section 5: Next Steps

- » The LGA will evaluate continuing onto the Feasibility Phase
- » The LGA will announce their decision on proceeding with developing the PPP by August.

## Appendix 8 – Guidance for the Development of a Community Complaints Management Process

The description of the Community Complaints Management Procedure is listed below.

### **The specific objectives of a Complaints Management Procedure are to:**

- » Establish a mechanism for responding to complaints in an understanding, transparent and culturally appropriate way.
- » Develop an easy-access, no-cost and efficient complaint procedure for the local population involved and/or impacted by the Project.
- » Implement effective dialogue and open lines of communication with the public.
- » Help to prevent unrealistic expectations and/or negative perceptions from the local population towards the Project.
- » Establish a system of investigation, response and quick complaint resolution.
- » Reduce gradually the number of local populations' complaints regarding the Project.
- » Improve the Project social performance through the analysis of complaints.

### **A Complaints Management Procedure is for all Community citizens, groups and organizations with an interest in the Project**

Participation in the Community Complaints Management Procedure is voluntarily and non-excluding. Any person with the right to participate in the procedure will have easy access to it and will be encouraged to use this confidential complaint system. Any participant in the procedure is also free to use the judiciary system when he/she considers it pertinent. The procedure does not replace the judicial mechanisms of complaint and conflict resolution but attempts to minimise use of them.

### **Responsibility for implementing a Complaints Management Procedure**

The LGA Community Development and Welfare Department or the Public Relations Unit will be responsible for the procedure.

Being responsible for the implementation of the Community complaints management Procedure includes: disclosure, reception, management and monitoring of complaints, feedback to local communities and persons with complaints, and coordination of complaints analysis. All these steps will assist when developing recommendations for continued improvement of Project processes related to community relations.

#### **Complaints and Grievance Management Process.**

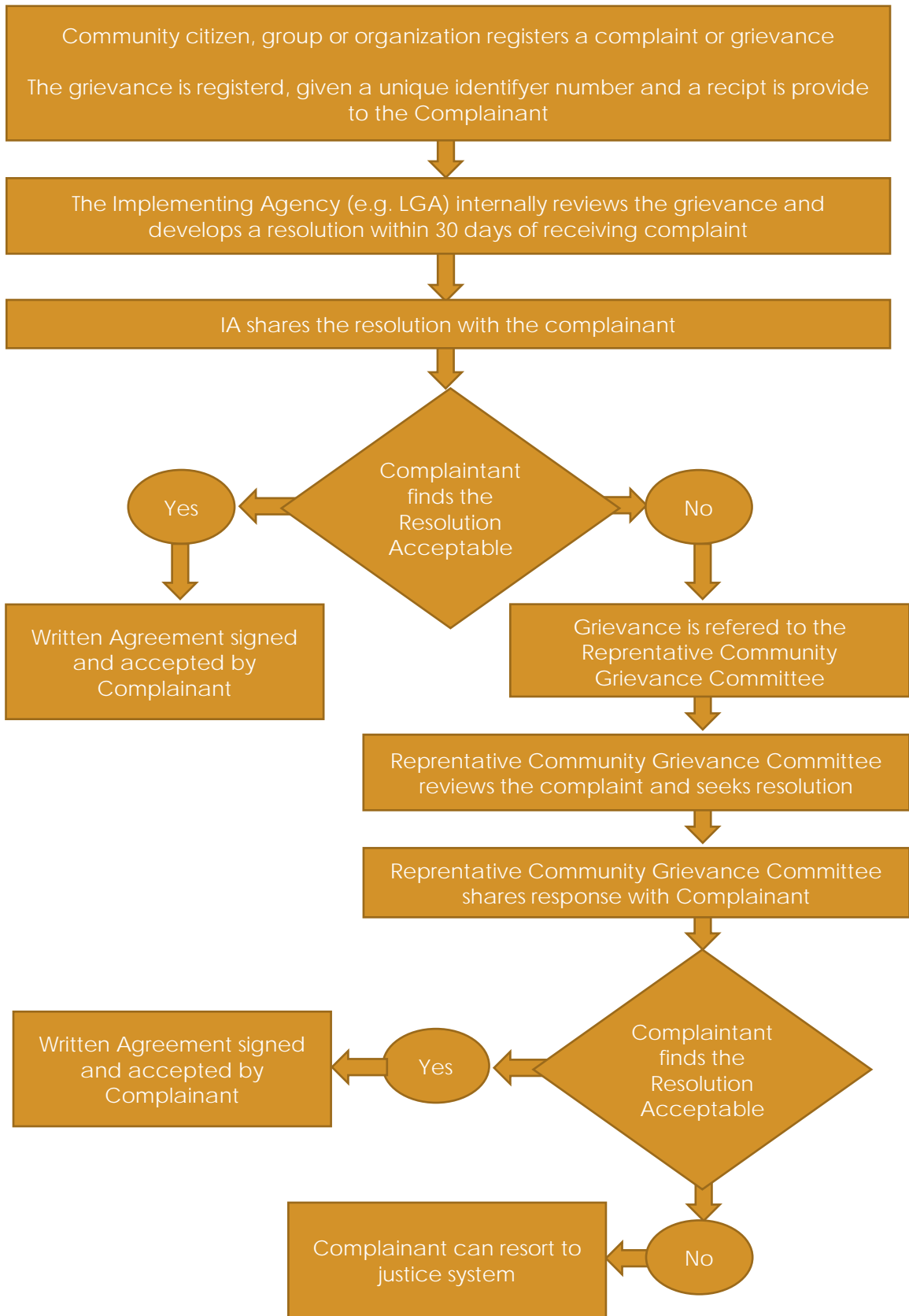
A two-tier approach to managing grievances is suggested. There should be an initial response process internal to the IA, and if the resolution is not acceptable to the complainant, then a second broader community response process would be utilized

The overall process of grievance is as follows:

1. The process of grievance redress will start with registration of the grievances. A copy of all grievances written on the Grievance Form will be given to the person/group who made the grievance. The copy given to person/group should include a unique identification number for the specific grievance. This will assist the IA with providing updates on the grievance. For Grievances received in writing or electronically, the IA will provide a receipt to the Complainant within 7 days.
2. IA will keep a copy of the grievance and record information about the grievance so that they can decide how to respond. IA will check to see if the grievance is a new grievance or if it is one that has been raised already, and for which a response has already been developed.
3. All project-related grievances will be assessed by IA to determine the Project department responsible for responding to the grievance. The grievance must be assigned to a specific IA staff member who is responsible for ensuring a response is developed.
4. Once the IA has developed a response, the IA will share that response with the Complainant.
5. If the Complainant finds the resolution acceptable, they will write up the resolution and have the complainant sign it.



7. If the Complainant does not find the resolution acceptable, the IA will refer the grievance to a Representative Community Grievance Committee. The Representatives Community Grievance Committee should include highly regarded individuals from the IA and the community. This should include representatives from the LGA (including the staff member responsible for managing the grievance), representatives of local religious, civil society of organizations in the community (e.g. (Sheha, Mtta, or village level representatives), and representatives from the affected community.
8. The response time will depend on the issue to be addressed but it should be addressed with efficiency. The goal will be to reply to the grievance within 30 days.
9. If the PAP is unsatisfied with the resolution from the Representative Community Grievance Committee, the PAP can take the issue to a court of law.



The following performance indicators should be used to assess the complaints management Procedure:

**Participation:** Percentage of complaints to the Project channeled through the Community complaints management Procedure. The target is to channel 90% of complaints through the Community complaints management Procedure, before complaints reach the media or the courts.

**Effectiveness:** Percentage of complaints receiving effective and timely responses. The target is 100% within 21 days.

**Resolution:** Percentage of complaints resolved at the satisfaction of the person with complaint. The target is to resolve at least 75% of complaints either through direct dealing of the Project with the person with complaint or through mediation with a third party.

**Recurrence reduction:** Differentiate the number of complaints by categories – compensation plan, land negotiation process, environmental issues, accidental impacts (property and personal damage), and misinformation or lack of information and Project employee or contractor behavior. Target is to gradually reduce the number of complaints in each category year-on-year. The intention is to learn from complaints and respond to them qualitatively in a manner that, over time, reduces their rate of occurrence.

**Influence:** This qualitative indicator identifies policy changes in the Project influenced by an assessment of complaints management procedure indicators and complaints analysis.

### **Complaint/Issue Log**

The Complaint/Issue Log records will include the following information:

- a) Name of person with a complaint;
- b) How the complaint was received;
- c) Date the complaint was received and recorded;
- d) Location/village/clan;
- e) Contact information;
- f) Description of the complaint
- g) Follow-up corrective action steps;
- h) Corrective action taken by whom and date,
- i) Response and means of response (written or verbal).

A Complaint/Issue Log number and unique identifier for the incident will be given. Complaint information will be organised geographically and in a chronological order beginning with the events leading up to the incident (if any exists), followed with the details of the incident itself and will include post-incident events (if any exist).

The Complaint Log will include correction-action steps that will be developed through the process depending on the complexity of the complaint and its resolution.

To ensure analysis and development of corrective and improved actions the complaint and/or issue will be given to the appropriate department for resolution.

### **BOX 01: Conflict Resolution Training**

PPPs are high profile projects and can generate strong emotional responses (positive and negative) in community citizens. The LGAs should be prepared to deal with emotion and conflict during any of the engagement techniques listed here. Conflict resolution training is a valuable asset for LGA citizens prior to participating in community engagement processes



## Appendix 10 – Sample Complaints Management Procedure

### PPP COMPLAINT MANAGEMENT PROCEDURE WHAT YOU NEED TO KNOW ABOUT RAISING A COMPLAINT WITH THE PROJECT

The PPP Complaints Management Procedure is your way of raising a complaint with the Project. The Complaints Management Procedure is available to people living in the PPP area and others directly affected by the Project (including absentee landowners or those now living in urban centres).

***The purpose of the Complaint Management Procedure is to provide you with a way to explain your complaints regarding Project activities.***

The Project is providing information about the Complaints Management Procedure to those affected by Project activities. This handout provides a summary of the Complaints Management Procedure (shown in a diagram on the back of this page).

You will be notified about the Complaints Management procedure by LGA staff, at community meetings, or in newsletters, brochures, and/or posters. Further information on the Complaints Management Procedure can be obtained at the Project LGA Offices.

If you have any questions about the Complaints Management procedures, please ask your local LGA person.

### HOW TO MAKE A COMPLAINT

You can make a complaint in writing or explain your complaint verbally to LGA staff. There are different ways you can do this.

- » You can tell LGA staff your complaint in person during their visits to communities. The LGA person will write your complaint down on a Complaints Management Form and give you a copy of the form to keep.
- » You can put your complaint in writing. You can give this written complaint to a LGA person, or take the complaint to the LGA Office.
- » LGA staff will be in close contact with local authorities and will make themselves available to respond to any complaint brought up through community leaders.

WHAT HAPPENS TO YOUR COMPLAINT?	
<b>Your Complaint is Received</b>	<ul style="list-style-type: none"> <li>• All complaints are recorded on a Complaints Management Form by LGA staff.</li> <li>• A copy of all complaints written on the Complaints Management Form will be given to the person who made the complaint.</li> <li>• The copy given to you provides you with a unique identification number for your complaint so you can ask LGA for updates on your complaint</li> </ul>
<b>Your Complaint is Registered</b>	<ul style="list-style-type: none"> <li>• LGA will keep a copy of your complaint and record information about the complaint so that they can decide how to respond.</li> <li>• LGA will check to see if your complaint is a new complaint or if it is one that has been raised by you or someone else already.</li> <li>• If your complaint is already registered – we will tell you that we already have your complaint and provide you with the identification number. LGA will not accept multiple complaints for the same issue in the same location; but will identify that you have raised the complaint.</li> </ul>
<b>Your Complaint is Assessed</b>	<ul style="list-style-type: none"> <li>• If the complaint is related to the government or another external entity instead of the Project, you will be informed that this is not a Project issue and we will help you to identify who you need to speak to about your complaint.</li> <li>• All Project-related complaints will be assessed by LGA to determine the Project department responsible for responding to the complaint.</li> </ul>
<b>Response to your Complaint Planned</b>	<ul style="list-style-type: none"> <li>• LGA will pass your complaint to the appropriate Project department for action and resolution.</li> <li>• The Project department that receives your complaint will review and investigate your complaint and will work with LGA to respond to your complaint.</li> <li>• LGA are responsible for keeping you informed of progress on your complaint.</li> <li>• LGA will provide you with a written response outlining the resolution of your complaint</li> </ul>



## PPP THIRD PARTY COMPLAINTS MANAGEMENT PROCEDURE



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