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COMMUNITY ENGAGEMENT

# Municipal Public-Private Partnership Framework

# 18

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# 1.0

## Purpose of this Module

This module sets out different tools to be used throughout the PPP project cycle to engage with the communities affected by and associated with the project, with a special focus on women and the poor.

# 2.0 Community Engagement

Community engagement provides critical information for PPP project design, to ensure services are delivered in the right way, to the right people. Community engagement can also help create local community buy-in to the project and facilitate adaptation to change. Municipal PPP projects should systematically implement community engagement programs. Engagement is a two-way process. It is

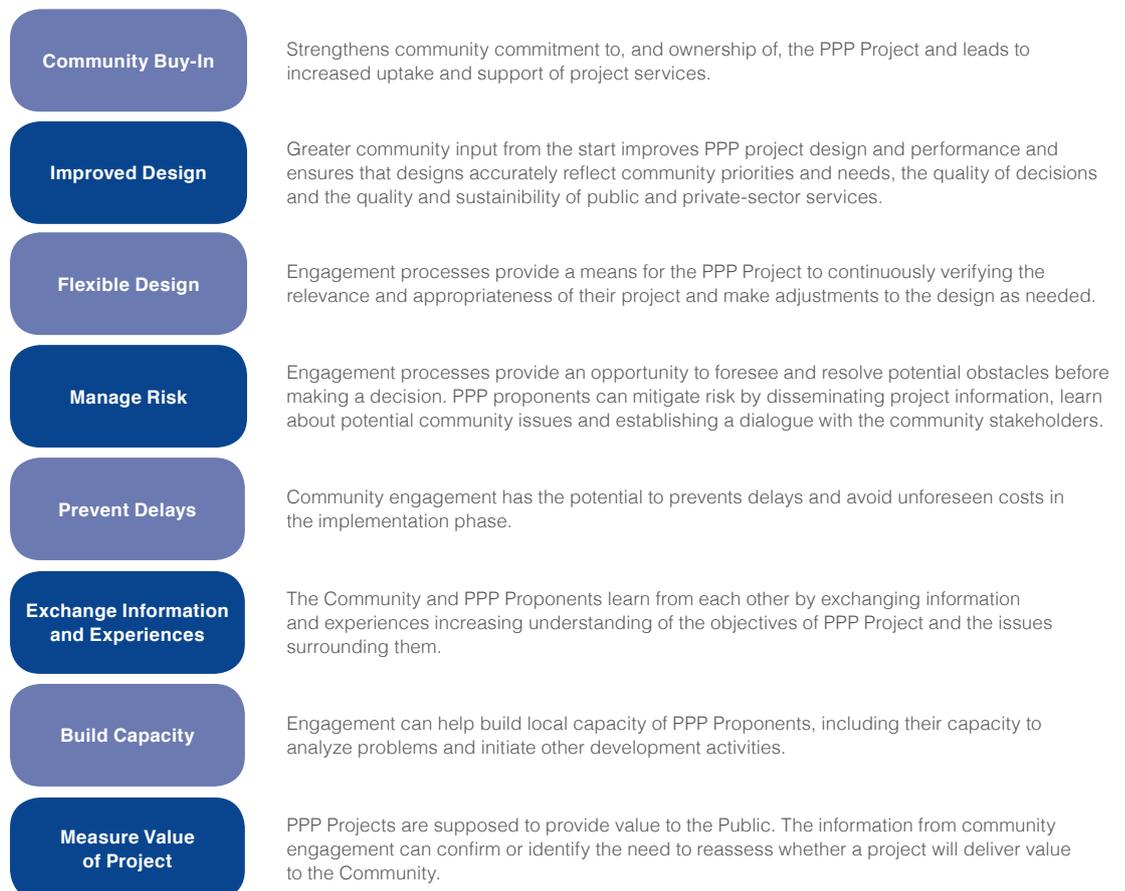
just as important to listen to and consider community input, as it is to share information or inform communities about PPP project activities—for project proponents to address issues and concerns and provide feedback to each other. This module outlines a basic approach to community engagement using a six-step process, which will need to be adapted to the specific needs of the municipality.

## 2.1 Why is Community Engagement Important in PPP Projects?

Municipalities should 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 involve initial costs for the municipality, a PPP that has good community engagement is more likely to be profitable, to survive changes

in circumstances over time, and therefore to attract private sector investment. 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 engage the local community well.<sup>1</sup>

**Figure 1: Commonly Recognized Benefits of Community Engagement**



<sup>1</sup> Kottak, Conrad Phillip. 1991. *Cultural Anthropology*. 5th ed. McGraw-Hill.

Figure 2



## 2.2 Six-Step Community Engagement Process

### Step 1 - Define the purpose of engagement:

Being clear about the purpose of the engagement and 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. Once the purpose of engagement has been defined, municipalities should agree on what level of participation is actually being sought, which depends on the phase of the PPP and the type of project being proposed.

### Step 2 - Decide the parts of the community to engage:

Create a list of ‘with whom to engage’—with individuals, 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.

### Step 3 - Community engagement ranking assessment:

Not all parts of the community will receive the same level of engagement. The municipality will need to rank the level of interest and influence that the different individuals, groups, and organizations have in the PPP project. 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 project.

### Step 4 - Develop engagement plan:

Different techniques and tools can be used by the municipalities to engage the community. Municipalities should develop a project-specific engagement plan which should describe proposed engagement strategies, tools, and schedule for engagement during each phase of a PPP, including transparency mechanisms (see Module 3: Sample Project Concept Note and Module 4: Feasibility Study)

### Step 5 - Tracking and complaints management process:

Municipalities will need to track issues, questions, and concerns raised by the community in an organized and consistent way. An issue tracking table should be created to document ideas, concerns, or questions, including a systematic way of managing complaints and grievances.

### Step 6 - Reporting and monitoring:

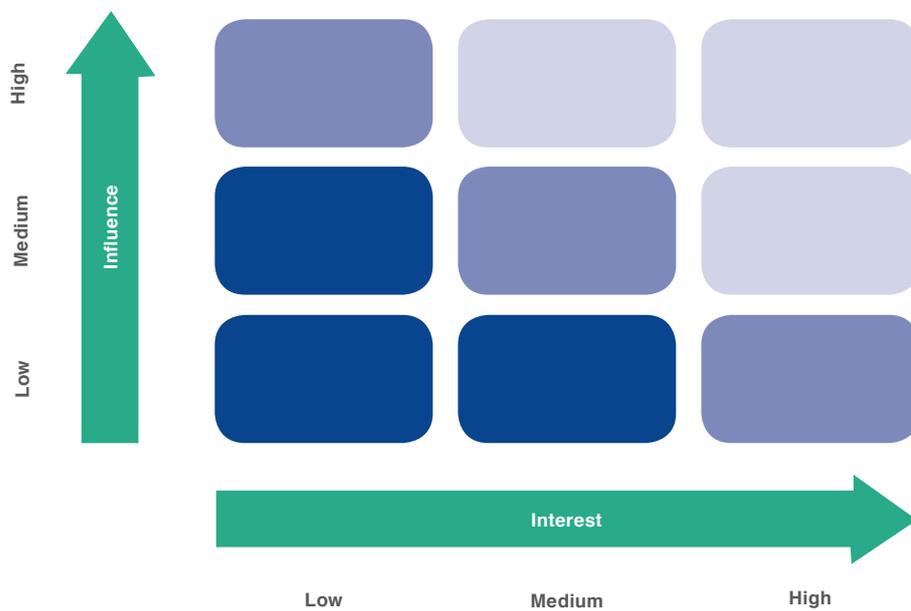
Accurately recording community feedback, sharing it with key stakeholders for planning and project design, is critical to build trust and support among participants. Monitoring the effectiveness of the engagement process is essential to ensuring a successful process (see Module 12: Contract Management).

## 2.3 Mapping Community Engagement

The municipality should use this six-step process for all phases of PPP project development. The PPP identification phase may rely more on the knowledge of municipal 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.

Steps 2 and 3 identify individuals, groups, and organizations ranked according to their level of interest in the project and influence on the project. Figure 3 shows a sample ranking matrix.

Figure 3: Sample Ranking Matrix



## 2.4 Reporting, Evaluating, and Monitoring

Municipalities should track issues, questions, and concerns raised by the community in an organized and consistent way, including a grievance and complaints management process. This process must be documented. Poor documentation of community engagement work is the biggest weakness of most municipal processes.

A municipality will need to monitor progress to 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.

## 3.0

# Making PPPs More Pro-Poor and Gender Inclusive

PPPs often fail to recognize the issues relevant to the poor and to women. Private investors often rely on the government to consider and address issues relevant to women and to the poor. The government often relies on the private sector to address these issues as fundamental to service delivery of the project. A PPP project provides an opportunity to join public and private capacities to focus on issues relevant to women and the poor.<sup>2</sup>

This section provides a framework to help make PPP projects more pro-women and pro-poor.

A project that considers issues relevant to women and the poor has the following:

- *Reflects good governance:* Well-managed infrastructure considers the interests of the entire community.
- *Contributes to the developmental goals of the government, development partners (like the World Bank), and private investors:* Seeking to address the needs of women and the poor will help meet the government's development goals, the UN Sustainable Development Goals, and other national and regional priorities. It can also help the project access support from different sources of funding and financing, as and when needed—for example to the extent bilateral or multilateral investment is sought.

- *Is good business:* Women and the poor are consumers; they may form a key part of the labor pool, business owners, or service providers; they are key community and political stakeholders. A project that proactively seeks the interests of women and the poor is more resilient and more robust in times of change, particularly in times of political change where new policies might suggest a change in support for the project. It is harder to undermine a project when it clearly serves the needs of the local community. If the project supports the community, in times of change the community is far more likely to support the project. A pro-poor, gender-inclusive project can also avoid public relations and stakeholder conflict issues and reinforces its marketing strategy.

The project prefeasibility/feasibility study or outline/full business case should address the questions set out in this section. Equally, bidders and financiers should ask these questions in their due diligence processes to make sure they are adequately addressed. During implementation, the questions should be revisited periodically to ensure that the project is still adequately addressing relevant issues.

For further discussion of these issues, see the pro-poor and gender pages of the World Bank's Public-Private Partnership Legal Resource Center <http://ppp.worldbank.org/public-private-partnership>

<sup>2</sup> International Finance Corporation, World Bank, PPIAF, Government of Canada. 2019. *Gender Equality, Infrastructure and PPPs: A Primer*. <https://library.pppknowledgehub.org/documents/5720>.

### 3.1 What is the Context of Women and the Poor?

*(1) Is there a practical method of identifying the poor? Do applicable laws, regulations, and practices, nationally or at the level of the state/province/county provide a definition of the poor? Is there more than one category of the poor that is relevant for these purposes?*

A simple, specific definition of 'poor', based on cultural and social context, can be challenging to achieve. Some projects define the poor based on

housing, for example, anyone whose residence has a dirt floor. In others, a national database is available to identify the poor, for example, the poverty identification system and database (the Sistema Nacional de Selección de Beneficiarios or SISBEN) of Colombia. This database is used to target subsidies and other benefits designed to support the poor.

*(2) Are there local cultural, social, or religious practices that could impede service provision to women or the poor, or access to economic opportunities from the project?*

The cultural, social, and religious context of women and the poor will have an important influence on the issues more relevant to them. Certain members of the community may be excluded from opportunities or services or may be segregated from other aspects of the community. This may result in their poverty or may be caused by their poverty. For example, poor communities often include refugee and immigrant communities (legal or illegal), who may not benefit from the support of local political elites, tribal communities, religious groups, or social groups. They may be excluded from the protections afforded by political structures to the extent they are focused on citizens or only people from certain countries, religions, or cultural groups.

*(3) Are there legal constraints that could impede women or the poor, for example, does one need to have land tenancy, a registered address, or identity card, before accessing services, seeking employment, starting a business, receiving compensation (for example, resettlement), or engaging in other activities associated with the project?*

Women and the poor may not have certain legal standing; in some cases, services cannot be provided to those without a legal right to property (a registered address linked to property ownership or leasehold/rental agreement). Many live in informal settlements or as squatters and it may be difficult for the government to allow public services to be provided to illegal residents. That was the case in Côte d'Ivoire where the social water tariff and social connection of water services offered to poor households were offered only in legal settlements. As an estimated 70 percent of the unserved population was non-Ivoirian, and living in illegal settlements, they could not benefit from the policy.

Some utilities have found ways to provide services in such circumstances, for example the condominium model developed for the Manila Water Concessions, where the utility delivers bulk water to the boundary of the illegal settlement. Community organizations purchase the bulk water and manage the distribution system within the illegal settlement, collecting fees from residents to pay for the bulk water and for the distribution network.

*(4) Are there power structures in local communities affecting women or the poor, or certain groups among the poor, which will influence the location or design of the project and the ability of the poor to benefit from the project?*

Local power structures may be well placed to manage services or subsidies for the poor, being selected by and having key connections with poor communities. But in some cases, those local power structures are ill equipped to do so. The project design needs to understand the context of these power structures. For example, an NGO in Mexico provided boreholes for villages with mechanical pumps to reduce the time needed to draw water and therefore allow more time for education and other activities. However, the NGO failed to engage with the local power structure. As soon as the NGO had installed the pump, the local mayor removed the handle and would not allow access unless he was paid a fee by each user, eliminating the benefit for the poor.

*(5) Are there factors within the communities such as high violence rates that are specific to women or the poor?*

In some cases, the poor live in informal settlements and other areas with specific characteristics that limit the ability of the poor to access services. For example, some poor communities suffer from high rates of violence, in particular at night. Toilet and washing facilities designed to be available at night may be effectively inaccessible due to the level of crime and violence that will be attracted by a well-lit area at night. Women may need access to special entrances, improved lighting, or heightened security, to protect them from potential violence.

*(6) Do women or the poor receive subsidies that might help access benefits from the project?*

The poor may receive support from the government or other sources. The project will need to understand the nature of such support and any relevant terms and conditions to ensure that the services are designed to work well with such support. For example, the poor may receive free access to primary education, but may be required to meet certain criteria, for example, they are required to provide books or school uniforms. While the free access to education is a clear benefit, the other conditions may be unaffordable for the poor. Women may be given access to training or other learning opportunities. The project will need to understand the context of women to help them access these opportunities.

*(7) To what extent can women and the poor receive and pay bills (for example, are there requirements of land tenancy, registered address, identification card, or otherwise)?*

Women and the poor may not have access to the same financial services as the better off, for example, there may be some initial deposit limits, identification, registered address, or other requirements that prevent elements of the community from having bank accounts or credit cards. Therefore, they may use barter arrangements, cash, or mobile money for financial transactions. Billing may, thus, need to adopt more flexible arrangements. Some systems allow cash payments to be made locally, for example, at post offices or mobile phone outlets. The Côte d'Ivoire SODECI concession instituted quarterly billing by the operator. The poor could not meet the requirements of such infrequent billing, and many were disconnected. Local billing centers, more flexible payment methods, and schemes to pay off arrears have been established, and the situation has improved.<sup>3</sup> In Bangalore, the Bangalore Water Supply and Sewerage Board allows consumers to pay bills through a variety of options such as water kiosks, electronic clearing service systems, and household e-banking facilities.<sup>4</sup>

*(8) Where are the poor located as compared to the existing service network? Are there technical/cost complexities of serving poor areas? Are the poor located in areas likely to be vulnerable to disasters? How does the location/alignment of the project affect potential benefits to, and participation by women and the poor, for example travel commuting patterns, location of employment, education and social focal points?*

The location of the poor can have a significant impact on the ability to provide services or to ensure that they receive specific benefits. For example, the poor may be located far from the existing facility, requiring special connections or facilities. Where a BRT line is located in a corridor that is difficult to access for the poor, other transit facilities may need to be developed to connect the poor with the BRT, for example, feeder buses, pedestrian

bridges, or tunnels. Security in such areas can be more difficult to ensure, requiring close engagement with community groups and special facilities such as women-only space on bus platforms, special entrances, lighting or security support.

The last mile connections—for example, for water, power, or telecoms—can be a particular challenge for poor neighborhoods in urban areas that are crowded, with narrow streets and with only informal utility facilities, where access may be difficult and land ownership unclear. PPP operators can be required to deliver last mile, but funding will need to be found, either through cross-subsidy from other users or from government subsidies. In many cases, last mile infrastructure for the poor is publicly funded and is a key focus for development finance institutions.

PPP projects, in particular during construction stage, often involve an influx of goods and workers into a vulnerable community (for example, rural, small, and remote), transport of materials, and other changes to the rhythm of the community that can create additional risk. An influx of outside goods and workers often brings an increased risk of squeezing out local businesses, increased demand for goods and services that raises prices and crowds out local consumers. It may result in increased traffic and road accidents. Bringing transient workers into a community can result in expansion of prostitution, increase in sexually transmitted diseases, sexual harassment, gender-based violence, sex trafficking and child abuse, hostile work environments, and exposure to health risks (such as HIV/AIDS and water-borne illnesses). To ensure project activities and guard against potential risks related to sexual exploitation and abuse and other forms of gender-based violence, the Vanuatu Aviation Investment Project stipulates contractor responsibility for the implementation, enforcement, and monitoring of a code of conduct covering gender-based violence. Contractors are also responsible for development and implementation of a complementary action plan to provide awareness and ensure that any such violation is addressed efficiently.

<sup>3</sup> Fall, Matar, Philipp Marin, Alian Locussol, and Richard Verspyck. 2009. *Reforming Urban Water Utilities in Western and Central Africa: Experiences with Public-Private Partnerships*, Vol. 1, *Impact and Lessons Learned*. Water Sector Board Discussion Paper Series. <http://documents.worldbank.org/curated/en/356151468236368922/pdf/487300NWPOv10B1P131PPPWestAfrica1v1.pdf>.

<sup>4</sup> Water and Sanitation Program. 2008. *Performance Improvement Planning: Developing Effective Billing and Collection Practices*. <http://documents.worldbank.org/curated/en/713571468138288578/pdf/441190WSP01N0P1ive0billing01PUBLIC1.pdf>

### 3.2 How to Design the Project for the Benefit of Women and the Poor?

*(1) Are complementary arrangements/inputs needed to ensure that women and the poor can use the services optimally (for example, information/education, lighting, security, and low-cost methods to access services)? Can women and the poor provide labor or other in-kind contributions to implement the project and thereby reduce the cost of services?*

The project may need to offer additional support or services to maximize benefits for women and the poor. Women may not be able to use new or upgraded infrastructure services in the same way as men due to safety and security issues:

- Better lighting (for example, at bus stops) for access during the night.
- Step-free access to public transport for women with young children and the elderly.
- Separate male and female facilities (for example, female-only cars for transit projects, female-only waiting areas, separate female public toilets/washing facilities).
- Additional facilities to ensure discretion, for example, around the entrance to female toilets.
- Selection of locations for water stand posts and electricity supply where women congregate.
- Pedestrian crossings, with speed bumps, and so on to ensure the security of pedestrians, where women with young children or the elderly may be less mobile.

Such additional support or services should form part of the project obligations and should be included in the key performance indicators to ensure the benefits are hardwired into the project. For example, services such as electricity and telecommunications only benefit communities to the extent that the community understands their use and potential benefits. The project may include training for poor communities or for women, and programs to make available the tools that will ensure benefits are made accessible.

In some cases, women and the poor can provide support, for example physical labor to deliver services at a lower cost. In some cases, communities are located in informal settlements where space is constrained, footpaths are not improved, and installing equipment can be challenging for outside contractors. The community can help install pipes, cables, or other equipment in the settlement, for example excavation services, that will reduce the cost of construction and therefore the cost of services.

*(2) Do women and the poor receive services through alternative providers or systems (for example, off grid)? What are the technical and financial implications of such alternative services (for example, cost per unit, health implications)? Can/should the project be incentivized to facilitate such provision? What would be the implication if the informal supply networks were formalized? Or removed in favor of a formal system? How could any negative impact be minimized?*

Part of the community may currently receive services from informal providers such as water vendors, or through localized infrastructure such as mini-grids for electricity. Providing new services may squeeze out informal services, which are themselves often delivered by the poor. This may result in lost jobs and economic opportunities for the poor.

The project may intend to replace such service providers, in which case the transition will need to be carefully planned to mitigate impact on consumers and to help the informal service providers to find other opportunities. In other cases, the project may absorb such alternative service providers, possibly by bringing them into the project to help deliver services and engage with the community using the experience they have developed as alternative providers. The latter may involve the alternative service providers becoming 'last mile' providers for the project. In Kisumu, Kenya, the utility Kisumu Water and Sewerage Company (KIWASCO) sells bulk water to service providers contracted to operate and manage parts of the network in an informal settlement. KIWASCO selects and recruits these service providers through a publicly advertised and competitive process. These service providers can either be private entrepreneurs or CBOs.

*(3) How should the project be designed to enhance any subsidies that women or the poor receive, and to maximize benefits obtained through those subsidies?*

There may be other externalities that can be harnessed to support women and the poor through the project such as subsidies or other benefits provided by the government, civil society, or otherwise. The project may be able to help communities utilize such benefits to greater effect and leverage greater investment and advantage. For example, the poor may have access to grants if their children attend school, or if they visit health clinics periodically. A PPP project can take such programs into consideration when providing services, helping

the poor to access such grant funds more easily or use such funds more efficiently.

*(4) Can third parties (for example, the community, NGOs) help provide services to women or the poor to reduce cost of delivery, for example, through bulk supply?*

Providing benefits to women and the poor may involve the project partnering with third parties, for example NGOs, who may help deliver services or may provide an additional conduit for those services. The project will need to create a protocol for working with the relevant third parties and agreements with those third parties to ensure that the solution is well designed and sustainable. Under the Bayan Tubig (Water for the Community) initiative in Manila, the Philippines, CBOs and local and international NGOs intermediate by providing financial, logistic, and technical support to the initiative, even training on hygiene and environment awareness. They also create links between the formal network that delivers water to the perimeter of the informal settlement and community groups extending connections to public taps and household connections.<sup>5</sup>

*(5) How does the location/alignment of the project affect potential benefits to and participation by women and the poor, for example, travel commuting patterns, location of employment, education and social focal points?*

The location of project assets can have a specific impact on the benefits and advantages that a project can provide to women and the poor. Assets often connect locations of importance to the wealthy and the middle class, and to the often predominately male decision makers. Transport infrastructure and the location of water points, electricity connections, and sanitation facilities needs to reflect economic opportunities, employment, education, social purposes, travel patterns, and security concerns of women and the poor.

*(6) Does the project lead to displacement, resettlement, and/or livelihood loss of the poor disproportionately? What strategies can be developed to minimize or avoid these risks? Do anticipated compensation measures (for example, for loss of assets, usage rights, or crops) lead to equal results for women and the poor?*

Infrastructure development often requires land acquisition, leading to involuntary resettlement or causing losses of assets or loss of access to livelihoods or assets and resources. Women and the poor are often vulnerable to the processes of allocating compensation and/or resettlement, where

they lack input into decision processes or are not able to raise their concerns. The processes need to take capacity differences into account regarding land or assets access, control and use, and the resulting losses. Compensation may be provided primarily to landowners, excluding those living on the land or relying on that land to earn their living. Failure to consider the interests of these poor, disenfranchised, and possibly informal communities can create social and civil friction which has undermined many a PPP project.

*(7) To what extent will tariffs on consumers be affordable to the poor? Are the poor willing to pay such tariffs? How much subsidy/cross-subsidy will be needed by the government or other users to make tariffs affordable for the number of poor consumers that need access? Would such cross-subsidy be affordable to other users?*

The government may choose to include subsidy or cross-subsidy mechanisms to make services affordable for the poor, and/or to finance connection or other large periodic payments to allow the poor to pay over time. The project may seek to leverage funding from other sources, such as government grants, donor support, or other third-party funding sources to provide access to services and to maintain their affordability over the course of their supply. The project may also be designed to work alongside other entities implementing such pro-poor funding mechanisms. In Côte d'Ivoire, the SODECI concession provides for a social tariff, coupled with a social connection fee, financed by a charge collected from water customers, in addition to the water tariff.

To preserve incentives for rational economic behavior, subsidies should only cover a proportion of the total costs of the service and should ideally be contingent on beneficiaries paying their share of the bill. Under this same logic, subsidies should not be paid for consumption beyond the subsistence level, and given for a long enough period to avoid the effects of the 'poverty trap'. The World Bank Group supported North Luzon Expressway in the Philippines. To improve access by the poor to the highway, the project designed the toll for mini passenger buses (called jeepneys) at a flat daily rate, instead of the per-entry toll used for other vehicles, to allow them to get on and off the highway and to pick up and drop off passengers at no additional cost.

*(8) Is tariff setting and imposition appropriate to the context of women and the poor? What billing and payment technology would be most appropriate given location, access to payment systems, access to cash, and other context of women and the poor,*

<sup>5</sup> Inocencio, Arlene B., and Cristina B David. 2001. "Public-Private Community Partnerships in Management and Delivery of Water to Urban Poor: The Case of Metro Manila." Discussion Paper Series No. 2001-18. Philippine Institute for Development Studies.

*for example, mobile-phone based mechanisms, payment offices located near poor neighborhoods, access for illiterate and multilingual facilities?*

In some cases, the tariffs themselves are not as much of a challenge as is the method of imposition of tariffs. Those tariffs need to be set and charged in a way appropriate to women and the poor. For example, rising block tariffs involve an increase in per unit tariffs the more total units a user consumes in a given period. Thus, a consumer using a large amount of service each month (for example, industrial and other large-scale [wealthy] users) should pay a higher per unit tariff. In the energy sector, this can be an effective way to shift higher costs on larger users of services. Though, often, the inverse is true, commercial and industrial users pay lower prices to encourage industrial growth and investment in the community. In the water sector, in some communities the poor group together to pay for a water connection due to the high cost of connection; this means that several families may share a single connection. Also, the poor may use larger amounts of water for economic purposes, for instance to provide laundry services; but this means that a single connection in a poor community may have a higher total usage per month, therefore a higher block tariff will be applied with subsequently a higher tariff paid by poor families.

In addition to tariff levels and how they are calculated, the billing and payment system itself needs to be designed to meet the needs of women and the poor. Frequently, women and the poor do not have access to credit cards or bank accounts. They may receive income only gradually over time—not in weekly or monthly payments, as those formally employed. Therefore, the project may need to adapt the billing and payment mechanisms to allow consumers to pay as and when they can. In the Rural Electrification Extension Program in Thailand, respected local representatives, for example school teachers, are appointed to act as collection agents.<sup>6</sup> The agent represents the community and ensures collection. The agent is paid a fair salary. The project saw collection costs drop significantly.

The project may need to develop more flexible billing and payment mechanisms, including:

- Mobile money accounts;
- Pay-as-you-go models; and
- Cash payments at local agents, for example at post offices, mobile phone outlets, local billing centers, and water kiosks.

### 3.3 What Additional Benefits Might the Project Provide to Women and the Poor?

A project is likely to provide a number of benefits and opportunities for the poor in addition to the services provided through the project, including jobs, economic opportunities, access to different economic resources, and attraction of investment, among others. Sometimes indirect benefits can be even more important to the poor than direct benefits.

*(1) What opportunities are there for jobs to be filled and/or created for women and the poor? Are there key constraints to accessing these jobs? What support could be provided to help them access better job opportunities?*

PPP projects often create jobs, an important opportunity to cement a project to the interests of the local community, but sometimes women and the poor may be at a disadvantage when trying to access jobs. This may relate to skill levels, access to information, connections needed to apply, interviewing skills, or other gaps that can be addressed through the project.

A gender-responsive project will encourage employment of women during all stages of the project, require contractors to pay equal wages to men and women for equal work, provide training on sexual harassment, provide separate sanitary and other facilities, and ensure protective clothing and safety equipment for both male and female workers. For example, the Yunnan Integrated Road Network Development Project in China, integrated gender-specific actions, including:<sup>7</sup>

- Recruiting women in construction and maintenance work of the subproject (during the construction, women were recruited for pit repairing; cleaning the road, ditches, and culverts; collecting wasted materials and planting trees and grass on roadsides to prevent soil erosion);
- Giving priority to people from poor families and women when employing the local people;
- Paying men and women equally according to domestic law and international conventions;
- Providing a safe working environment for all employees;

<sup>6</sup> Provincial Electricity Authority. 2014. *Rural Electrification in Thailand: Policy and Implementation*. <https://www.iitk.ac.in/ime/anoops/for14/PPTs/Day%20-%2005%20Bangkok/RE%20in%20Thailand%20-Policy%20and%20Implementation%20-%20Mr.%20Reungvith%20Vechasart.pdf>.

<sup>7</sup> Asian Development Bank. 2016. *Social Monitoring Report – GAP Implementation, PRC: Yunnan Integrated Road Network Development Project*. <https://www.adb.org/sites/default/files/project-document/216316/40626-013-smr-18.pdf>.

- Providing technical training on road maintenance techniques and use of equipment for female employees as well as safety training; and
- Providing safety and health training courses for workers to raise their awareness on safety and prevention of sexually transmitted diseases.

*(2) What opportunities are there for local, small businesses to provide services to the project? Which of those services might be provided by businesses owned by women or the poor or employing women or the poor? What support could be provided to those companies to access these opportunities?*

In addition to employment by the project, there may be opportunities for services to be provided to the project. Businesses of women or the poor may be unprepared or ill adapted to the needs of the project. For example, small businesses such as local convenience stores can serve as payment collection points. Local suppliers can provide many needs of the project during construction and implementation. In mining projects, local suppliers are often excluded from opportunities to supply goods and services to the mining operations, as they cannot guarantee to the mining company that they can provide the volume and quality of supply demanded. A large mine requires huge volumes of food, security services, housing, and so on. If local suppliers are not able to provide the required level of services, they will miss out on opportunities. Some effort could be made by the project to help poor businesses to deliver the relevant services and win bids (individually or in consortia). The project may include support to poor communities to understand and prepare for the opportunities that will be created by the project and where they are best placed to take advantage of those opportunities. The project may set performance-based indicators linked to services provided by businesses owned or operated by women or the poor.<sup>8</sup>

*(3) What are the potential indirect economic benefits of the project for women and the poor (for example, more economic activity leading to greater supply of jobs, more employment opportunities due to higher commuting ability, more skills transfer due to access*

*to power and transport)? Will the project provide, directly or indirectly, new access to markets, for example, through improved transportation, information, or education? How might the design of the project further magnify these indirect benefits?*

The economic benefits may not come from the project but rather may be made available by the project. For example, transport projects may provide the poor with access to new markets, new services (such as education and health care), or new opportunities (whether by improved access to transport, lower costs, higher cargo capacity, and so on). The design of the project should consider the nature of these economic benefits and should focus on maximizing these benefits and ensuring their sustainability. To improve the affordability of public transport for the poorest, Bogotá rolled out in early 2014 a 'pro-poor' public transit subsidy, through a personalized smartcard. The construction of feeder lines and bike lanes provided improved accessibility to public transport for populations living in the low-income periphery of the city.

*(4) Are there facilities being developed for the project that might also provide benefits to the poor, for example, water treatment, electricity generation, solid waste management? Can the project be used to provide other services to the poor? Is there an opportunity for cross-selling or other public service delivery?*

In some cases, the infrastructure developed by a project might be extended or expanded to provide services to the poor. For example, infrastructure for tourism facilities can be expanded to provide services to the local community. Tourists will want to see the local community well supported, may want to be part of an outreach to local poor communities, and may be willing to pay extra to provide such support. As another example, special economic zone (SEZ) projects also generally include the development of infrastructure to service tenants of the SEZ. These facilities may be expanded to provide services to the local community, in particular poor communities.

<sup>8</sup> International Finance Corporation. 2012c. *Gender Impact of Public Private Partnerships – Literature Review Synthesis Report*. <https://ppp.worldbank.org/public-private-partnership/library/gender-impact-public-private-partnerships-%E2%80%93-literature-review-synthesis-report>.

### 3.4 How Can the Poor Communicate with the Project?

It is important for the project to benefit from advice and feedback from the poor.

*(1) How does the political context of women and the poor allow them to communicate with the project? Does local government represent women and the poor well?*

Women and the poor may have 'voice' (the ability to make one's ideas and concerns heard) through established political representatives, who may be well attuned to the interests of women and the poor, and may be able to act as a conduit for their views for the project. Local political structures may even have agencies or task forces designed to support women or poor communities, which may be well placed to provide voice where the project is concerned. However, it may be that while women and the poor are an important concern for local political structures, the capacity of such structures to engage with these communities or provide them with voice where the project is concerned might be limited. In these cases, other mechanisms may be needed to provide voice to women and the poor. For example, the project may engage with local community bodies or NGOs; or it may create a separate community engagement body, specifically for the project. Such engagement committees can be critical to project success, ensuring good communication and avoiding misunderstandings. The National Transmission Modernization Project in Pakistan showed that women are particularly vulnerable in rural areas, with no recognized role in the authority structure of the villages despite representing 46 percent of the population. Only around 2—3 percent of women participate in business activities or formal employment, and only 30 percent participate in local representation or political gatherings. Women are rarely engaged in community consultations and compensation matters.<sup>9</sup>

*(2) How does the cultural context of women and the poor allow them to communicate with the project? Are there community groups that reflect the interests and concerns of women or the poor?*

Cultural context may create challenges for the voice of the poor, for example where the poor are not allowed to express concerns or raise issues in public forums. Community groups may provide voice to the poor and may have better connection to their interests, for example village or township councils may represent the interests of the poor well and may provide an opportunity for voice. However,

the poor may not be entitled to be represented in community organizations (for example, where membership is linked to land ownership).

*(3) Are there civil organizations/NGOs that reflect the interests and concerns of women and the poor? Can these groups be used as intermediaries/support mechanisms to ensure protection and communication of the interests of women and the poor?*

Civil organizations such as NGOs may be able to provide voice or support to the poor to allow them to express their views and provide feedback on the project. Such organizations are often focused on the interests and context of the poor. In Tangerang, Indonesia, only 22 percent of the population had access to clean water provided by the utility. A local NGO constructed a series of centers to provide water and sanitation in these areas, maintained and operated by local families who run them as concessions. They sell water and provide toilet, shower, and washing facilities.<sup>10</sup>

*(4) How do women express opinions and priorities in decision making in the family and in the community? How are men and women organized and represented in these decision-making structures?*

In many cultures, social norms or laws may prevent women from standing up, speaking, and being heard during community discussions and decisions, for example, at community meetings. Staff need training to reach out effectively to local women and to create an environment that enables women to participate in community meetings, for example organizing meetings at a time and location that allows women to participate, the provision of transport or child care, or the organization of separate meetings for women and men. Women may also be more comfortable talking with other women. Culturally sensitive survey teams and community liaison staff should therefore also include female members who can conduct discussions or lead interviews, if needed. The project team for the National Transmission Modernization Project in Pakistan uncovered a lack of voice and agency of women, and proposed project staff trained in effectively reaching out to the communities, and especially women, seeking their involvement in its consultations, development, and implementation, and a conducive environment for all women through gender-sensitive consultations to assist with consultations, eligibilities, entitlements, and management of grievances in a gender-informed manner.

<sup>9</sup> World Bank. 2017d. *Project Appraisal Document on a Proposed Loan in the Amount of US\$425 Million to the Islamic Republic of Pakistan for the National Transmission Modernization I Project*. <http://documents.worldbank.org/curated/en/345091513911668260/pdf/Pakistan-Transmission-PAD2036-PAD-updated2-11302017.pdf>.

<sup>10</sup> United Nations ESCAP. 2009. *Community Toilets in Tangerang, Indonesia*. [https://www.unescap.org/sites/default/files/Tangerang\\_ES.pdf](https://www.unescap.org/sites/default/files/Tangerang_ES.pdf).

### 3.5 How Can the Project Communicate with Women and the Poor?

Just as it is important for women and the poor to communicate with the project, it is also important for the project to be able to communicate with women and the poor.

*(1) How do women and the poor access information (print media, radio, television, informal networks, meetings)? What are literacy levels? Are there established mechanisms for communicating with the illiterate population, for example, familiar access technologies? What languages are used as common communication in the community?*

Communication with women and the poor can raise specific challenges, especially in the face of low levels of literacy. The languages spoken among the poor may be different from those in other parts of the community. In particular, the poor community may not be as familiar with the common language, which may disadvantage the poor when faced with economic opportunities or commercial engagements. Some mechanisms can help address language and literacy challenges. The community itself may have developed coping mechanisms, for example civil society groups may provide support for literacy and translation. In some cases, a service industry develops around these support functions. The project may need to provide local offices for support, for instance to provide written documents and services in other local languages. Mexico's Oportunidades Program (now Prospera Program of Social Inclusion) found that out of the 110 bilingual personnel working for them in 2010, 79 percent of them were not assigned to areas where they could communicate in their mother tongue. They therefore renewed efforts to hire bilingual promoters and relocate existing ones to match linguistic demands.<sup>11</sup>

Women in low- and middle-income countries are, on average, 10 percent less likely to own a mobile phone than men, in South Asia this number climbs to 26 percent. Women are 26 percent less likely to use mobile Internet than men, and 70 percent less likely in South Asia. Among mobile owners, women are 18 percent less likely to use mobile Internet than men.<sup>12</sup> Closing this gap would create a substantial commercial opportunity for mobile operators.

*(2) How can the project engage with women and the poor, in particular in designing the project, and in monitoring the project? To what extent are poor and female beneficiaries consulted when monitoring performance of the project?*

As a fundamental part of the project design,<sup>13</sup> a communication mechanism should provide for engagement with women and the poor.

This process will include formal communication arrangements to collect qualitative and quantitative information to address specific performance criteria and data points required for project operation. It will also include informal consultations to allow the poor community and women to raise issues, ask questions, and help the project identify gaps, needs, and changes in context.

*(3) How can the project ensure that women are represented throughout the consultation process (for example, timing of meetings, women-only meetings)?*

Project information must be understandable and accessible for those affected by or benefiting from the project (for example, translations into local languages, audio recordings) or involving women's representatives to provide support. For example, the Trung Son Hydropower Project in Vietnam made extra efforts to ensure that community members, in particular women, would participate in stakeholder consultations and that potential language barriers were addressed:<sup>14</sup>

- At least three weeks before the consultation meeting, information of appropriate form and in local languages was provided at district, commune, village, and household level.
- Audio recordings of the project information, frequently asked questions, and contact information, with a machine on which they could be played, were provided at the village level. Recordings were in four languages: Vietnamese, Thai, Muong, and H'Mong.
- Consideration was given to having separate meetings with any group that was reluctant to attend the village meetings to encourage women and other vulnerable groups to participate.
- A short oral summary of the project, its impacts, and proposed mitigation measures was presented in the meeting. All questions/feedback, requests, and responses were properly recorded.
- Group discussions were held if needed. In addition to Vietnamese, translation of the discussions into local languages was provided as necessary.

*(4) How can the project provide expedited dispute resolution that is accessible to women and the poor, for example, complaint mechanisms, mechanisms for communications, access to the regulator, representative located on site, tele kiosks? In the event of renegotiation or modification of the project, to what extent can the project consult with women and the poor?*

The project needs to ensure that the poor community is able to access conflict resolution

<sup>11</sup> Nieto, Daniel Ortega, and Camila Alva Estabridis. 2015. *How to Overcome Communication and Cultural Barriers to Improve Service Provision to Indigenous Populations*. Global Delivery Initiative. [http://www.globaldeliveryinitiative.org/sites/default/files/case-studies/k8437\\_how\\_to\\_overcome\\_cultural\\_barriers\\_indigenous\\_people\\_cs\\_p8.pdf](http://www.globaldeliveryinitiative.org/sites/default/files/case-studies/k8437_how_to_overcome_cultural_barriers_indigenous_people_cs_p8.pdf).

<sup>12</sup> GSMA. 2018. *The Mobile Gender Gap Report 2018*. [https://www.gsma.com/mobilefordevelopment/wp-content/uploads/2018/04/GSMA\\_The\\_Mobile\\_Gender\\_Gap\\_Report\\_2018\\_32pp\\_WEBv7.pdf](https://www.gsma.com/mobilefordevelopment/wp-content/uploads/2018/04/GSMA_The_Mobile_Gender_Gap_Report_2018_32pp_WEBv7.pdf).

<sup>13</sup> See in Question 1 – Sub question a) for instance, the legal obligation in Paraguay of including in the prefeasibility studies of PPP projects the project's impact on the population and the inclusion of specific groups in situation of vulnerability.

<sup>14</sup> World Bank. 2017e. *Results of Collaboration for Social Inclusion in the Trung Son Hydro Power Project, Vietnam*. Washington, D.C.: World Bank Group. <http://documents.worldbank.org/curated/en/903511496219887678/Results-of-collaboration-for-social-inclusion-in-the-Trung-Son-Hydro-Power-Project-Vietnam>.

mechanisms where project performance does not meet expectations. These procedures will allow resolution of conflicts before they grow into disputes. Poor communities often do not have access to the resources needed to manage conflicts well with sophisticated counterparts such as the investors in the project. Gender-sensitive conflict resolution mechanisms may include community meetings, through women's representatives to ensure that women feel comfortable submitting their complaints

and concerns. For example, the Transmission Efficiency Project in Vietnam provides for dedicated staff to receive and address complaints and grievances. Local organizations, such as the Women's Union, participate actively in the process.<sup>15</sup> Expedited conflict resolution will help raise issues with the project more quickly, and allow the project to address challenges early, when they are easier and cheaper to address.

### 3.6 What Incentives Should Be Placed on the Project Participants to Protect the Interests of Women and the Poor?

*(1) What bidding criteria should be imposed to ensure that the successful bidder knows how to work with issues of women and the poor, and can demonstrate a history of doing so?*

The bidding process should help identify a private partner that has the expertise and experience in implementing pro-poor and pro-women solutions in other projects. The bidding process can also be used to raise some of the issues identified and ask bidders for creative solutions to address the issues raised. This will test the ability of bidders to develop effective solutions for issues associated with the constraints in question, and can also evaluate the extent to which said bidders have implemented such solutions in other projects.

*(2) What specific pro-poor and pro-women obligations should be placed on the project (for example, consultations, capacity building, infrastructure, and financing mechanisms for connection costs)?*

The project needs to place a clear set of obligations on the government authority, on the private investor and on other project parties—things that parties must do and things that they must not do or must only do at certain times and in certain ways.

*(3) What key performance indicators (KPIs) should the PPP agreement include, for example, number of poor consumers, number of female employees?*

In addition to obligations placed on project parties, incentives should be designed to encourage the project parties to comply with those obligations and otherwise achieve specific outputs. These incentives are often implemented through the establishment of KPIs, which if breached can result in financial penalties and possibly project termination. Pro-poor and gender-inclusive KPIs should be included based on the issues identified above. Possible KPIs might include the following:

- Number of poor consumers using the service
- Number of new connections to the poor
- Volume of service provided to the poor
- Number, salary level, and seniority of project-related jobs awarded to women as compared to male staff
- Relative number and value of service contracts awarded to women owned or operated businesses

Depending on the risk allocation, there may be performance penalties, for example, if the financing mechanisms for poor consumers is not used enough or a bonus paid if a certain proportion of employees are female. There may be a financial penalty if complaints are not resolved within a certain time frame, or bonus payments for each poor consumer newly connected to the services.

*(4) What is the best way to monitor those KPIs and ensure compliance with obligations?*

Both parties should be encouraged and incentivized to monitor implementation of the contract, including compliance with obligations and fulfillment of KPIs. A robust monitoring and (preferably) third-party validation mechanism is needed to monitor the performance indicators. The poor can often be victims of collusion between private providers and government monitors. The monitoring should include project implementation related indicators, as well as outcome indicators that can help assess the net welfare gains or losses among women and the poor from the project, differentiating between direct and indirect (or second order) impacts. During implementation, the monitoring system should aim to provide timely and periodic feedback on (1) the status of implementation of the pro-poor and gender inclusive elements in the contract and (2) whether the incentives to encourage inclusion of women and the poor as project beneficiaries are working—so that course corrections can be adopted as needed.

<sup>15</sup> World Bank. 2014b. *Project Appraisal Document on a Proposed Loan in the Amount of US\$500 Million to the Socialist Republic of Vietnam for a Transmission Efficiency Project (TEP)*. <http://documents.banque mondiale.org/curated/fr/566821468177570152/pdf/PAD7660PADOP1300OUO0900R20140017101.pdf>.

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