

Handbook

on

**Capital Investment Plan (CIP)
Preparation**

March, 2017

**Municipal Support Unit (MSU)
Municipal Governance and Services Project (MGSP)**

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Acronyms

AD	: Assistant Director
AE	: Assistant Engineer
BIP	: Bangladesh Institute of Planners
B MDF	: Bangladesh Municipal Development Fund
CIP	: Capital Investment Plan
CMSU	: Central Municipal Support Unit
DD	: Deputy Director
DPD	: Deputy Project Director
DSM	: Design Supervision and Management
HQ	: Head Quarter
IAB	: Institute of Architects Bangladesh
LGED	: Local Government Engineering Department
ME	: Municipal Engineer
MGSP	: Municipal Governance and Services Project
MOU	: Memorandum of Understanding
MSU	: Municipal Support Unit
NGO	: Non-Government Organization
PD	: Project Director
PMU	: Project Management Unit
RMSU	: Regional Municipal Support Unit
SDO	: Slum Development Officer
TL	: Team Leader
TOR	: Terms of Reference
TOT	: Training of Trainers
TP	: Town Planner
ULB	: Urban Local Body
WS	: Workshop
XEN	: Executive Engineer

Table of Contents

	Page No.
1. Introduction	5
1.1 Background	5
1.2 Objective	5
1.3 Expected Outcome	5
2. Preparatory Work for CIP Preparation	6
3. CIP Preparation	7-15
3.1 Stakeholder Involvement in CIP Preparation	7
3.2 Major activities of CIP Preparation	9
3.2.1 Formation of CIP Workshop Facilitation Team	9
3.2.2 Coordination within team members/key stakeholders	9
3.2.3 CIP Group formation for conducting workshops at ULBs	10
3.2.4 Orientation/training to workshop Facilitation team	10
3.2.5 Preparatory work for CIP workshop at ULB Level	11
3.2.6 Conduct-workshop at ULBs (the Day of workshop)	11-15
▪ City Visioning	
▪ Problem Mapping	
▪ Sub-project Selection and Scheme Identification	
▪ CIP Report Structuring	
4. Conclusion	15
List of Annexes	16

Section-1: Introduction

1.1 Background

Urbanization is growing rapidly. For the first time in history, more than 50 percent (3.3 billion) of the world's population reside in urban areas. By 2030, this number is expected to grow to almost 5 billion. Over 90 percent of this urban growth is taking place in developing countries. This unprecedented growth creates a pressing demand for urban local bodies (ULBs) in developing countries to further invest in infrastructure and other assets to support economic and social development. Such investments require capital that often far exceeds available resources. The unavailability of capital, in turn, puts a premium on the need for ULBs to build capacity to appraise and prioritize their investment decisions.

The World Bank is providing project support to LGED and BMDF for planned municipal infrastructure development and governance improvement through a project named Municipal Governance and Services Project (MGSP). One of the focuses of the MGSP is preparation of Capital Investment Plan (CIP) for improvement of local infrastructure with a view to prioritized sub-projects considering the limited resources.

A CIP is a short-term plan, usually for five years, which identifies prioritized sub-projects and schemes for municipal infrastructural development and governance improvement. In other words, a CIP would describe the city's development policies and financial abilities to manage the investment needs associated with its spatial development and built environment. It provides a link within the municipality's strategic vision, land use plan, annual budget and planning schedule and it identifies options for financing the plan.

The MGSP has taken initiatives for the first time in Bangladesh to facilitate inclusive and participatory process for CIP preparation to allocate limited project fund for local infrastructure development. MGSP has already completed CIP workshop of 26 project ULBs and the Municipal Support Unit (MSU) of LGED is going to support preparing CIP for 52 ULBs under BMDF.

1.2 Objective

MSU Consultants Team has prepared a Handbook on CIP preparation by reviewing previous documents of World Bank with support from the Project Management Unit (PMU) of MGSP. Objective of preparation of CIP Handbook includes the following:

- i) To train the facilitators on CIP preparation process
- ii) To conduct CIP workshops at ULBs
- iii) To guide documenting CIP reports

1.3 Expected Outcome

- Increased capacity (MSU, RMSU, ULBs and Professional Institutions) to conduct workshops for CIP preparation and Documentation

Section-2: Preparatory Work for CIP Preparation

- ⇒ Nominate a Central Coordinator (DD, MSU) to coordinate CIP preparation and documentation
- ⇒ Preparation of Handbook (manual) on CIP Preparation
- ⇒ Contact/communication with different key stakeholders (PD to contact/contract with professional institutions (BIP/IAB) to conduct CIP WS (prepare MOU for partnership between LGED/BMDF and Professional Institutes regarding forming CIP Facilitation Team. MOU signing between LGED/BMDF and Professional Institutes)
- ⇒ Identification of CIP facilitators and formation of CIP Groups (workshop Facilitators 50 persons and CIP Groups each with 8 to 10 members)
- ⇒ Preparation of workshop plan and programme schedule
- ⇒ Preparation of budget (MSU); get approval (PMU) of budget and allocate fund/budget (PMU) to RMSU
- ⇒ Identification of a focal point/person from each ULBs (LGED/BMDF to coordinate)
- ⇒ Contact/communication with ULBs (contact)- initially inform through formal letter (Director-MSU/PD-MGSP) to conduct CIP WS with support from RMSU)
- ⇒ All forms and formats (Annex 01 to 07) and to share/collect information with/from RMSU and ULBs (indicate forms and formats in Attachment section)
- ⇒ Collet CIP WS Participants list from ULBs
- ⇒ Orientation/Training (TOT) to WS facilitators (50 participants)

Section-3: CIP Preparation

3.1 Stakeholder Involvement in CIP Preparation

Stakeholders for managing and preparation of Capital Investment Plan (CIP) for the selected Urban Local Bodies (ULBs) are listed in following with their major role.

Stakeholders	Key Role
a. Project Management Unit (PMU), MGSP, LGED	<ul style="list-style-type: none"> ▪ Nominate a Central Coordinator ▪ Operational management ▪ Programme approval ▪ Fund disbursement ▪ Provide terms of reference (TOR) to experts from Professional Institutes ▪ Get on board of CIP Experts from Professional Institutes ▪ Provide Engineers/Municipal Engineers to lead the technical session of CIP workshop ▪ Support transport facility for CIP workshop Facilitation Team (BIP, IAB & CMSU) during CIP workshop at ULB level
b. Central Municipal Support Unit (CMSU), LGED	<ul style="list-style-type: none"> ▪ Coordination with all stakeholders ▪ CIP Handbook/Manual preparation ▪ Program Scheduling ▪ Budget preparation ▪ Organize Orientation/TOT for CIP preparation facilitation teams (CIP Group) ▪ Moderate the Orientation/TOT programme (DPD, MGSP/DD, MSU/TL, MSU Consults Team) ▪ Provide CIP preparation manual and all relevant forms and formats to Regional RMSU and CIP Group ▪ Supervise CIP preparation activities from HQ Level and ensure timely completion of the scheduled programme ▪ Monitor activities of Regional MSU for executing CIP workshops at ULB level as per scheduled ▪ Follow up with Regional RMSU and get CIP documentation completed by ULBs within the stipulated time frame
c. Regional MSU, LGED	<ul style="list-style-type: none"> ▪ Liaison with Central MSU, ULBs and Professional Institutions ▪ Receive Orientation/TOT from Central MSU on CIP Preparation procedure ▪ Collect CIP Manual/handbook, all relevant documents, forms and formats from Central MSU (Annex 01-07) ▪ Share/provide CIP preparation related documents including programme schedule and budget with ULB Focal Point ▪ Facilitate Focal Point and collect necessary information from ULBs as per CIP guideline and given forms and formats ▪ Inform (minimum 1 week before to workshop) all workshop participants and ensure their presence in the

Stakeholders	Key Role
	<p>workshop venue (concerned ULB) on time</p> <ul style="list-style-type: none"> ▪ Coordinate with Focal Point for conducting CIP workshops at ULBs ▪ Coordinate with Focal Point to ensure availability of all required logistics and stationaries (<i>Annex 03</i>) at workshop venue ▪ Provide introductory speech on CIP workshop ▪ Support for accommodation for workshop facilitation team ▪ Expenditure settlement with concerned ULBs ▪ Collect CIP documentation report from ULB and send to Central MSU
d. Design Supervision and Management (DSM) Consultants, MGSP	<ul style="list-style-type: none"> ▪ Provide Sr. Municipal Engineer to take part in CIP preparation workshop and facilitate the Technical Session of the workshop at ULB ▪ Assist (during and post workshop) concerned ULBs for CIP documentation particularly preparation of sub-projects
e. Bangladesh Municipal Development Fund (BMDf)	<ul style="list-style-type: none"> ▪ Provide Municipal Engineer to assist CIP preparation workshop and facilitate the Technical Session of the workshop at ULB ▪ Assist (during and post workshop) concerned ULBs for CIP documentation particularly selection of sub-projects
f. Urban Local Body (ULB, ULB includes selected City Corporations and Paurashavas under BMDf)	<ul style="list-style-type: none"> ▪ Nominate a Focal Point (focal person) who will coordinate CIP activities on behalf of concerned ULB ▪ Focal Point will liaison with Regional MSU and assist organizing CIP workshop and CIP documentation ▪ Provide filled in forms and formats to RMSU as requested for CIP preparation ▪ Invite (minimum 1 week before) workshop participants within ULB and ensure their presence on time ▪ Arrange the workshop venue ▪ Get the required equipment, logistics and stationaries ready to conduct the workshop ▪ Arrange food and snacks during the CIP workshop ▪ Assist for accommodation for the CIP facilitation team as requested by RMSU ▪ Assist expenditure settlement with RMSU
g. Experts from Professional Institutions (Bangladesh Institute of Planners-BIP and Institute of Architects Bangladesh-IAB)	<ul style="list-style-type: none"> ▪ Provide Orientation/Training to the CIP Facilitation Team (CIP Group) to be held at MSU according to CIP handbook ▪ Coordinate with MSU and RMSU in setting programme schedule and select/nominate CIP facilitators from BIP and IAB and ensure their participation as per set programme ▪ Coordinate with MSU and RMSU and visit concerned ULBs for conducting CIP workshop with other CIP Group members ▪ Deliver speech on purpose and content of CIP workshop ▪ Facilitate formation of workshop groups for Visioning and Technical session

Stakeholders	Key Role
	<ul style="list-style-type: none"> ▪ Lead the documentation and facilitation team as a key resource person ▪ Facilitate in prioritizing sup-projects identified through technical session ▪ Facilitate session on developing CIP Documentation at the end of the CIP workshop ▪ Assist documenting workshop activities including city visioning, problem identification, problem mapping, sub-projects and photography on workshop activities ▪ After completion of every workshop, team will submit a brief report to PMU on CIP workshop containing session activities, photographs and list of identified problems/potential solution

3.2 Major activities of CIP Preparation

3.2.1 Formation of CIP Workshop Facilitation Team

CIP workshop facilitation team will be responsible for conducting CIP workshops at ULB level. This team will consist of members from different stakeholder organizations. Total members of this team will be 50 (fifty). The CIP workshop activities will be centrally coordinated by the Deputy Director (DD) of Central MSU, LGED and regional level CIP workshop facilitation teams will be coordinated by concerned DD of RMSUs. Details of CIP workshop facilitation team is as following:

- Central coordinator (1 DD-CMSU)
- Regional Coordinator (10 DDs-RMSU)
- Logistic support & coordination (1 AD, UP-CMSU and 10 AD, UP-RMSU)
- Facilitation and documentation (8 professionals from Bangladesh Institute of Planners (BIP) and 8 professionals from Institute of Architects Bangladesh (IAB)). Senior Urban Planners from BIP and Senior Architects from IAB will play key role (as Key Facilitators) in conducting CIP workshops at ULB level.
- Representative from Bangladesh Municipal Development Fund (BMDF) and Design Supervision and Management (DSM) consultants (05 from BMDF and 05 from DSM)
- Representative from MGSP (02 Members)

3.2.2 Coordination within team members/key stakeholders

Municipal Support Unit (MSU) will prepare CIP preparation handbook, workshop plan and programme schedule executing CIP workshops at ULB level. MSU will also organize an Orientation/training on CIP workshop preparation for all the workshop facilitators at the CMSU, LGED.

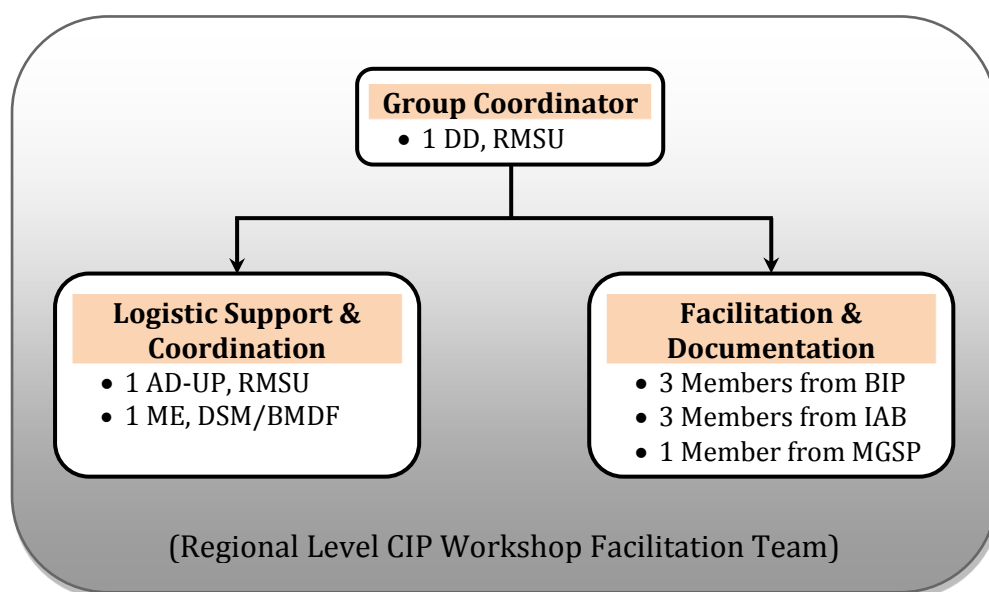
CMSU will oversee implementation of CIP workshop and RMSU will be responsible for coordinating and organizing workshops at the concerned ULBs as per given

workshop schedule. RMSU will liaison with Central Coordinator (MSU), CIP Group members and ULB Focal Points for conducting the programme.

PMU, MGSP will provide necessary support to CMSU for completing the CIP preparation workshops as per planned schedule.

3.2.3 CIP Group formation for conducting workshops at ULBs

CIP Groups will be responsible for conducting workshop at ULBs. CIP Groups will get support from central MSU and will accomplish the workshop programme collaborating with RMSU. Structure of a Regional Level CIP Workshop Facilitation Team (CIP Group) will be as following:



3.2.4 Orientation/training to workshop facilitation team

A one-day Orientation/training session will be organized at CMSU, LGED-HQ for CIP Workshop facilitation team. Participants from CMSU, RMSU, DSM/BMDF and Professional Institutes (BIP and IAB) will join the programme. This will be a sharing session on CIP preparation and exchange of views on previous experiences gained from CIP preparation in 26 ULBs under MGSP. Resources person from professional institutions (BIP and IAB) will play key role and they will provide orientation to the rest of the participants about the process of CIP preparation workshop. Participants will learn the following from the orientation/training:

- Coordination and organization process of CIP preparation;
- Roles and responsibilities of CIP Group members
- Workshop plan and programme schedule
- CIP Group formation
- Process and activities of different sessions of CIP workshop
- CIP report structuring

3.2.5 Preparatory work for CIP workshop at ULB Level

- Central Coordinator (DD, MSU) will send detailed workshop plan, programme schedule and budget to concerned RMSU for implementing CIP workshops at all ULBs;
- Regional Coordinator (DD, RMSU) will communicate with ULB Focal Point and send programme schedule and workshop budget;
- Send guidelines to ULB on composition of WS participants from ULB (Guideline for participants' composition and constituent- Annex 02) and Logistic support required during the workshop (Guideline for logistic requirement- Annex 03);
- Communicate with CIP Group members and ensure their availability for the planned schedule;
- RMSU will ensure filled in city information template (Annex 01) from ULB Focal Points;
- Determine group size and number of groups for the workshop at ULBs: Each Group would be formed with 05 (minimum) to 08 (maximum) participants. Number of groups will be based on number of wards of each ULB. Each workshop group will consist of 03 wards, i.e. a 09-ward ULB will have 03 WS Group and a 12-ward ULB will have 04 WS Group and so on;
- Communicate with CIP focal point of ULB for confirming presence of ULB workshop participants; and
- RMSU and ULB Focal Point will ensure facilitator lodging, travel and per diem.

3.2.6 Conduct-workshop at ULBs (the Day of workshop)

CIP workshop will consist of 04 (four) sessions, namely (1) City Visioning, (2) Problem Mapping, (3) Sub-Project Selection and Scheme Identification and (4) CIP Report Structuring. The workshop will begin with an opening remark from the Mayor of the concerned ULB, followed by an introduction among the participants. The CIP Group Coordinator (DD-RMSU) will then give an overview on purpose of this workshop. Before going to session activities, the Key facilitator (key resource person) will present briefly outline of the workshop to the participants.

Session 01: City Visioning (1.5 hour)

This brainstorming session consists of 02 (two) main activities that include (a) setting a vision for the city and (b) identify major problems of the city through brainstorming among the group members. Time allocation for this session of City Visioning exercise will be 1.5 (one and half) hour and Facilitators have to guide the participants for completion of group activities within the specific time frame. Detailed activities and expected out-put of City Visioning session are listed in the following:

- Formation of workshop groups (3-5 groups of 5-8 participants depending on number of total wards of concerned ULB). Groups should be formed with a balanced combination of participants of different background;
- Nominate (by key facilitator) group facilitator (from BIP/IAB) for guiding and documenting group activities;
- Group facilitator will describe outline and procedure of session activities;
- Conduct visioning exercise through brainstorming for setting a vision for the city. Participants will discuss within the group members to reach in a common understanding for setting a vision for their city;
- Discuss and identify major problems/issues that are hindering the development of the city;
- Prioritize identified problems/issues (based on urgency) and write those on Green (most important), Blue (moderately important) and Yellow (relatively less important) cards for presentation;
- Prepare presentation of Group work on a brown paper. Facilitator will guide group members in preparing the presentation. Group Presentation will contain (a) Title and Date: Group Number, Vision Statement and Date on top of the brown paper, (b) Problem Prioritization: Distribution of identified Problems/Issues in three colours by columns; (c) Participants: Name with Designation of group members will be written at the bottom of the brown paper (see following presentation dummy)

GROUP: write group no. here		
Date: DD/MM/YYYY		
Vision: write vision statement here		
Most Important	Moderately Important	Relatively Less Important
1. 	1. 	1.
2. 	2. 	2.
 	 	
 	 	
 	 	
 	 	
Note (if any):	Participants:	
	1.	5.
	2.	6.
	3.	7.
	4.	8.

- Present the outputs of the visioning exercise to the Mayor & CIP Group by group leader (nominated by the group members)

- Discussion on output of all group exercise and finalize the list of broader issues derived from the visioning exercise

Following key questions can be used as guiding principles for conducting city visioning exercise:

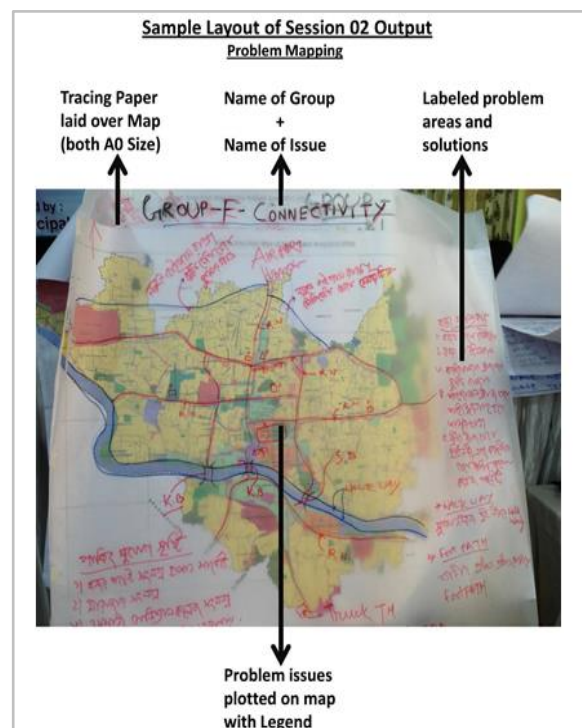
Key Question					
How do stakeholders envision their ULB to be? Or where do they want the city to be within a given time frame?	What are the strengths and opportunities in the ULB?	What are the main development issues and problems? What hinders the ULB to achieve its "dream"?	Based on the issues identified, what are the "musts" that the ULB has a mandate to do?	Among the issues/concerns within the mandate of the ULB, which needs to be prioritized? Why?	How can these prioritized issues be addressed/resolved?
Expected Output					
A statement for the city's vision "Dream ULB". Or identification of characteristics of a "Dream ULB"	List of ULB strengths, asset and future potential areas	List of main obstacles (issues and constraints) in realizing the vision	List of issues/areas of concern that are within the mandate of the ULB	List of priority issues/concerns	Identification of preliminary list of infrastructure investments

*After group presentations on City Visioning exercise, the CIP Group (Key Facilitator and Group Facilitators) will discuss and sort out the identified problems/issues into several thematic areas (homogeneous problem issues). Number of thematic areas will be same as the number of workshop groups. CIP Group will get **15 minutes** for sorting the issues. Each Group of next session will choose one thematic area for problem mapping exercise.*

Session 02: Problem Mapping (2 hour)

Group exercise of this session is also a twofold activity that includes (a) finding out possible solutions for preparation of potential sub-projects through consultation within the group members and (b) locate those on city base map. Time allocation is 02 (two) hours for Problem Mapping session.

- Key Facilitator will distribute the themes (got from previous session) to the group facilitators for conducting group-wise consultation;
- Group facilitator will describe outline and procedure of session activities;
- Find out the solutions of each problematic issue;
- Prior to mapping exercise the group will review existing Land Use, Drainage and Road Network maps of the concerned ULB which will help



- guiding the group for planning and listing potential proposals;
- Group members will discuss on the identified solutions and prepare a list;
- Discussion on rationale of proposed solutions/proposals for ranking and finalize the group-wise priority list;
- Group facilitators will assist the participants for plotting and labeling (locate/point out/sketch/write on map) the listed proposals with different marking/numbering on city base map. Group will use an A1 size (23.4X33.1 inch) city base map for this exercise; (Logistic/stationary requirement: Annex 03)
- Presentation on problem mapping indicated with prioritized solutions/proposals by groups;
- Closing remarks on the agreed list of prioritized solutions/proposals by mayor, LGED representatives and key facilitator.

Following key questions can be used as guiding principles for conducting problem mapping exercise:

Key Question

From the list of priority issues and concerns, the ULB stakeholders should answer the following questions:

1. Among the issues identified, which need to be prioritized? Why?
2. Where is the main problem areas located? (problem mapping)
3. How can these issues be addressed?

Expected Output

List of infrastructure investments with preliminary technical specifications (e.g., location, length/area covered, expected number of beneficiaries)

Session 03: Sub-project Selection and Scheme Identification (2 hour)

Main activities of this technical session are basically (a) preparation of sub-projects based on potential solutions/proposals prepared in the previous session and (b) preparation of viable schemes by following prioritized list of sub-projects.

- LGED Engineer (DD/Representative from PMU/Municipal Engineer of DSM or BMDF) will lead the session
- Forming a group by city officials including Engineers, Town Planners and Slum Development Officer for conducting consultation for preparation of sub-projects and schemes identification;
- Briefing on preparation of prioritized sub-projects from potential solutions identified through group-wise problem mapping exercise;
- Briefing on preparation of viable schemes based on list of prioritized sub-projects;
- Discussion on outputs of this session and clarification of queries made by city officials and mayor;
- Concluding remarks from Mayor.

Session 04: CIP Report Structuring (0.5 hour)

The Key Facilitator of CIP Group will hold a brief session on CIP report structure followed by the Sub-project Preparation and Scheme Identification session by forming a group with technical staff (XEN/AE, TP and SDO) of the concerned ULB. Facilitator will discuss about the content of the CIP Report (Annex-07). This report will be adopted by ULB through recommendation from TLCC and endorsed by the municipal council (Poura Parishad) with proper resolution. ULBs will submit this CIP Report to the project management unit of MGSP and BMDF for further course of action.

4. Conclusion

This Hand Book will help the facilitators for CIP preparation, conducting CIP workshops at ULBs and ULBs guide for documenting CIP reports. World Bank intends to invest fund in ULBs through MGSP. This fund will be used for implementing sub-projects and schemes identified through CIP process for long-term and sustainable improvements of selected ULBs under MGSP and BMDF.

List of Annexes (1-7)

1. City Information Form
2. Guideline for Participant Composition and Constituent
3. Guideline for Logistic Requirements
4. Workshop Programme Schedule at ULB
5. Sample Banner for CIP Workshop
6. Workshop Plan
7. Sample CIP Report for ULB

Annex-1: City Information Form

Basic Information	
City Name:	
City Mayor:	
City focal person:	

City Profile			
City Population:	Male:	Female:	Total:
Land Area:			
Population Growth rate (%):			
Number of WARDS:			
Major economic activities:			
Physical features:			
Natural resources (if any):			

City Financial Profile				
	Amount in Taka			
	2012	2013	2014	Average
A. Total Revenues				
1. Local Revenues				
Holding Taxes				
Business Taxes				
Fees and Charges				
Other Miscellaneous Revenues				
2. Central Government Transfers (ADP?)				
3. Grants and Aids				
3. Others				
Sub-total				
B. Total Expenditures				
1. Personnel Services				
2. Maintenance and Operating Expenses				
3. Capital Expenditures				
Sub-total				
Net Revenues (A-B)				
C. Annual Budget				
Operations and Maintenance (O&M):	Yes	No	Under Process	
If Yes, how much of the total budget is it (%)?				

Information on Existing Loans								
SL.	Name of the Project/Loan	Purpose of Existing Loan	Amount of Existing Loan	Annual Amortization	Repayment Period (number of years)	End of Repayment Period	Funding Institution	Is Repayment on schedule?
1.								
2.								
3.								
4.								
5.								

List of ongoing/proposed projects for the city by other development partners and their status				
	Name of the Project	Est. Project Cost	Fund Source	Status
1.				
2.				
3.				
4.				
5.				

Project association with BMDF		
Are there any projects in association with BMDF?	Yes:	No:
If Yes, was it under the previous MSP project?	Yes:	No:
% Repayment till date:		

Brief Background	
Historical background:	
Strengths:	Note: Strengths of the city refer to “good or positive” characteristics or aspects that are internal to the city and within the city’s control. Relevant questions include (a) What are the advantages of the city when it comes to natural resources? Infrastructure (e.g., sufficient water supply, presence of airports, seaport, universities, economic zones, etc.)?, characteristics of the constituents (e.g., high literacy rate, lower malnutrition, low crime rate, etc.)?, governance (ULB leadership, technical capacity of staff, high revenue collection, etc.?) What does the city do well?
Constraints:	Note: Constraints of the city refer to “negative” characteristics or aspects that are internal to the city and within the city’s control. Relevant questions: What needs to be improved in the city? What has been or being done badly? What are the problems/issues? What should be avoided?
Opportunities:	Note: What interesting trends or events are happening in the city (e.g., opening of a new major road connecting the city to other cities, increasing influx of tourists, new investments coming in, etc.)?
Threats:	Note: What can hinder the city to achieve what it wants to achieve (natural disasters, etc.)?

Annex-2: Guideline for Participant Composition and Constituent

Name of ULB:

Number of Wards:

Stakeholders List

Stakeholder category	Number of participants
Mayor	
Ward Councilors (including councilors from reserved seats)	
City Corporation/Paurashava Officials	
National Government representatives on utilities	
Private sector representatives, Ex: Developers association, Chamber of Commerce or business groups, contractors association etc.	
Representatives from Community Based Organizations	
Representatives from NGOs	
Representatives from academia	
Representatives from Youth	
Representatives from disadvantaged groups	
Others (please specify)	
Total Participants	

Annex-3: Guideline for Logistic Requirements

Name of ULB:

Date of Workshop:

Number of Groups:

Number of facilitators:

1. Logistical Requirements:

- **Venue arrangement** [x tables having 10 chairs each]
- **Banner for the workshop**
- **Projector** [for Introductory presentation on Visioning process]
- **Laptop/desktop** PC for PowerPoint presentation
- **Sound system with microphones**
- **Mount Board (Minimum A1 size) for presentation of outputs**
- **Stationery Materials required:**
 - Colour cards (x green color, x yellow color, x blue color)
 - Flip chart (White Chart Paper x sheets)
 - White-board Markers (x pieces, black color)
 - Sign pens (x green, x blue, x yellow colors)
 - Masking tape (x pieces)
 - Glue stick
 - White board and white board stand
 - Scotch Tape (x pieces, small size)
 - Board Clips (4 pieces)
 - Board Pins (1 packet)
 - Printed maps of the municipality (base maps, road network, drainage network, land use maps in A1 size)
 - Tracing paper (cut to A1 size – x pieces)
 - Note pad, pen, pencil, eraser (for all participants)

Note: 'x' refers to the number of groups (to be decided considering total participant list)

2. For All Participants

Snacks and Lunch (refer to the Workshop Activity Schedule)

Annex-4: Programme Schedule (CIP Workshop)

Time	Activity	Speaker/Participant	Duration (Minute)
Introductory Part (1 Hour)			
8.30-9.00	Registration of participants	All participants	30
9.00-9.05	Opening and welcome remarks	Mayor	10
9.05-9.20	Introduction of workshop participants	All participants	10
9.20-9.25	Overview on purpose of CIP Workshop	DD, RMSU	5
9.25-9.30	Overview on outline of workshop activities	Key Facilitator-BIP/IAB	5
Session-1: City Visioning (1.5 Hour)			
9.30-9.35	Formation of groups and nomination of Group Facilitators	CIP Group lead by Key Facilitator	5
9.35-9.40	Briefing on outline and procedure of city visioning	Group Facilitators	5
9.40-9.50	Brainstorming for setting City Vision	All Groups	10
9.50-10.10	Discussion for identification of major problem/development issues of the ULB, prioritization of the problem issues	All Groups	20
10.10-10.25	Preparation of presentation of Group work	All Groups	15
10.25-10.45	Group presentation on City Visioning to City Mayor and CIP Group (5 minutes/group)	Selected member(s) from groups	20
10.45-10.50	Discussion on output of city visioning exercise	CIP Group Key Facilitator	5
10.50-11.00	Finalize the list of broader issues derived from the visioning exercise	All Participants and Mayor	10
11.00-11.15	Tea break	All participants	15
Session-2: Problem Mapping (2 Hour)			
11.15-11.30	Discuss and sort out the identified problems/development issues into several (3 to 4) thematic areas	CIP Group Facilitators	15
11.30-11.35	Distribute the themes among the groups	CIP Group Facilitators	5
11.35-11.45	Briefing on outline and procedure of session activities	Group Facilitators	10
11.45-12.10	Conduct Problem Mapping exercise for planning and listing potential proposal/solutions by using different types of city maps (road, drain, land use maps)	All Groups	25
12.10-12.20	Discussion on identified solutions and prepare a list;	All Groups	10
12.20-12.25	Discussion on rationale of proposed solutions/proposals for ranking and finalize the group-wise priority list	All Groups	5
12.25-12.45	Plotting and labelling (locate and write on map) the listed proposals with different marking/numbering on city base map	All Groups	20
12.45-13.05	Present problem mapping exercise	Selected member(s) from groups	20
13.05-13.15	Closing remarks on the agreed list of prioritized solutions/proposals	Mayor, DD-RMSU and Key facilitator	10
13.15-14.00	Lunch and prayer break	All participants	45

Time	Activity	Speaker/Participant	Duration (Minute)
Session-3: Sub-project Selection and Scheme Identification (2 hour)			
14.00-14.10	Forming a group with city officials (Engineers, Town Planner and Slum Development Officer)	DD-RMSU/ME/Sr. AE-MGSP	10
14.10-15.10	Briefing on selection of prioritized sub-projects from potential solutions	DD-RMSU/ME/Sr. AE-MGSP	60
15.10-15.45	Briefing on preparation of viable schemes based on list of prioritized sub-projects	DD-RMSU/ME/Sr. AE-MGSP	35
15.45-15.55	Review of the session activities	DD-RMSU	10
15.55-16.00	Concluding remarks	Mayor	5
Session-4: CIP Report Structuring (0.5 hour)			
16.00-16.05	Forming a group by technical staff (Engineers, Town Planner and Slum Development Officer) of ULB for CIP report preparation and documentation	DD-RMSU, Key facilitator	5
16.05-16.35	Discussion on content of CIP Report	CIP Group facilitators	20
16.35-16.40	Closing of the workshop	Mayor	5
16.40-17.00	Closing Tea	All participants	20

Sample Banner for CIP Workshop



Capital Investment Plan (CIP) Preparation Workshop

Organized by: Municipal Governance and Services Project (MGSP)
&
Feni Pourashava

Funded by: GOB & World Bank (IDA)

Chaired by: Mr. Alauddin

Mayor, Feni Pourashava

Date: 05 January 2017

Venue: Conference Room, Feni Pourashava

Annex-6: Workshop Plan

(to be prepared)

Capital Investment Plan

DRAFT March 20, 2017 WORLD BANK URBAN TEAM DHAKA

CAPITAL INVESTMENT PLAN



PICTURE REPRESENTATIVE OF THE ULB

2015-
2020

NAME OF THE ULB, BANGLADESH

CIP ADOPTION RESOLUTION

(Name of ULB) _____

2015- 2008

RESOLUTION

201X-XXX Moved by Councilor _____ and seconded by Councilor _____ “that the document entitled (Name of ULB) _____ Five-Year Capital Investment Plan for Administrative Agreement 2015-2020 be adopted”.

Motion Carried

I certify that the above resolution of the council of _____ was adopted while in *regular/special* session XXXXXX, 201X.

(SEAL)

MAYOR

ULB NAME

Executive Summary

City Vision Statement: _____

CIP Financing Summary

CIP Financing Plan					
	Year 1	Year 2	Year 3	Year 4	Year 5
CIP investment cost					
Available Resporce					
Unfunded Difference					
Total					

CIP Projects by Sector and Source of Finance							
Sector	ADP	Own Source Revenue	Project Funds (Donor)	PPP	Donations	Others	Total percentage
Road Network							
Drainage Network							
Waste Management (Solid and Liquid)							
Sanitation							
Public parks and open space							
Others							
Total							

Table of Content

Capital Investment Plan

NAME OF THE ULB, BANGLADESH

1. Introduction To ULB

Brief write up

1.1. ULB Profile

Administrative land area (sq.m.)	
Total population (year)	
Population density	
Average population growth rate	
Literacy rate	
% of households with access to piped water	
Number of Wards	
Major economic activities (percentage)	
a) Primary (agriculture, fishery, forestry)	
b) Secondary (manufacturing, processing)	
c) Tertiary (services, banking, wholesale and retail)	
Average annual budget of the ULB	
Average revenue income of the ULB	

1.2. ULB MAP



2. Development Context

2.1. Geography

2.2. History

2.3. Economy (activities/drivers)

3. Vision

VISION STATEMENT

4. Problems Identified

Problem Impact Level		
Highest Impact	Moderate Impact	Relatively Less Impact
List the problems addressed through problem mapping	List other listed important problems listed but not mapped	List all other problems listed during the workshop

2. CIP Sub-Projects by Sector and Source of Finance

CIP Sub-Projects by Sector and Indicative Source of Finance							
Sector	ADP	Own Source Revenue	Project Funds (Donor)	PPP	Donations	Others	Total percentage
Road Network							
Drainage Network							
Waste Management (Solid and Liquid)							
Sanitation							
Public parks and open space							

3. CIP Financing Capacity

Indicative CIP Financing Plan					
	Year 1	Year 2	Year 3	Year 4	Year 5
CIP investment cost					
Available Own Revenue for CIP investment					
Other funding sources (ADP, Donor, etc)					
Unfunded Difference					

ANNEX 1: City Visioning Exercise

City Visioning and CIP preparation Workshop

Brainstorming Session

Session 1 involved group discussions, with each group having a minimum of 5 members and 1 facilitator. The groups were given colored papers and the color coding in terms of immediate importance was provided.

“Colour”: Most important
less Important

“Colour”: Moderately important

“Colour”: Relatively


Groups 01	Vision Statement:			
Colour for Most	Colour for Moderate	Colour for Less	Output Image	
•	•	•		
Groups 02	Vision Statement:			
Colour for Most	Colour for Moderate	Colour for Less	Output Image	
•	•	•	Respective group output image	
Groups 03	Vision Statement:			
Colour for Most	Colour for Moderate	Colour for Less	Output Image	
•	•	•	Respective group output image	
Groups 04	Vision Statement:			
Colour for Most	Colour for Moderate	Colour for Less	Output Image	
•	•	•	Respective group output	

			image
--	--	--	-------

Problem-mapping

Session 2 involved detailed discussions within groups through problem mapping and prioritization of projects:

GROUP 1 (Ex: Public/Open space enhancement)	GROUP 2 (Ex: Roads and transportation)	GROUP 3 (_____)
•	•	
GROUP 4 (_____)	GROUP 5 (_____)	GROUP 6 (_____)
•	•	

Proposed MGSP Priority List

1. Canal rehabilitation and widening to solve water logging problem along with walkways and landscaping for recreational purpose
2. Link roads and bypass road to ease traffic
3. Solid-waste Management (have new dumping site needs assistance in sanitary landfill)
4. _____
5. _____
6. _____
7. _____
8. _____

ANNEX 2: City Financial Profile

Capital Income Projection

Capital Income Projection							
REVENUE INCOME	Plan	Actual	PROJECTION				
	Previous Year	Previous Year	Year 1	Year 2	Year 3	Year 4	Year 5
1. Taxes:							
2. Rates							
3. Fees							
5. Others							
6. Government grant other than development works							
Capital & Development Works:							
1. ADP Grant for Dev							
2. Special Grant for Dev							
3. Project Grant							
5. Other Grants							
6.							
7.							
TOTAL:							

Capital Expenditure Projection

Capital Expenditure Projection							
REVENUE EXPENDITURE	Plan	Actual	PROJECTION				
	Previous Year	Previous Year	Year 1	Year 2	Year 3	Year 4	Year 5
Capital Investment							
O&M							
New Equipment							
Revenue Payments:							
Establishment/Administrative							
Others							
Interest on Loan							
Capital & Development Works Payments							
1. ADP Grant for Dev							
2. Special Grant for Dev							
3. Project Grant							
5. Loan (Principal) Payment							
6. Other Expenditure							

Capital Investment Plan

7.							
8. Surplus (if any)							
TOTAL							

ANNEX 3: Sub-Project Concept Note: [Name of the Sub-Project]

[Name of the ULB]

[Date]

I. Sub-Project Profile

1. Name of Sub-project:
2. CIP sub-project number:
3. Typology of the sub-project:
4. Proposed size of the sub-project:
5. Ownership of sub-project land:
 - a. Government/ ULB owned:
 - b. Private land (need acquisition):
6. Estimated cost of sub-project (mil BDT):
7. Schedule of implementation:
 - a. Sub-project duration (months):
 - b. Tentative start date:
 - c. Tentative completion date:
8. Expected number of direct beneficiaries:

II. Brief Background of the sub-project:

[Why is the sub-project undertaken? Briefly describe an opportunity or problem identified during CIP preparation workshop, the sub-project will address when completed.]

III. Sub-project Rationale

[If the project is successful, briefly discuss how it will benefit the ULB and how it will contribute towards achieving the city vision and same time contribute to national development objective.]

IV. Location of sub-project (attach location map):

V. Brief description of sub-project:

[What will be the end result of the project? Briefly describe here what phases or various components of works that will be undertaken. Indicate the information on present landuse.]

VI. Social Impact

[List the anticipated social impacts on the site surrounding that may take place during project implementation. Also complete and **append the social screening report provided in the Social Management Framework.**]

VII. Environmental Impact

[List the anticipated environmental impact on the site surrounding that may take place during project implementation. Also complete and **append the environmental screening report provided in the environmental Management Framework**]

VIII. Development Impact

Range of Development Impact		
Ward Level (direct beneficiaries)	District Level (indirect beneficiaries)	Regional Level (indirect beneficiaries)
No. Or Wards	ULBs and other surrounding UP/ULB	If applicable
No of people directly benefiting from the sub-project		
Direct Beneficiaries <i>*Refer to M&E guidelines on how to calculate direct beneficiary</i>	Indirect Beneficiaries	Indirect Beneficiaries

IX. Project Timeline

Project Milestones			
Project Milestones	Requirement	Estimated Timing (Months)	Remarks
1. Survey	[Yes/No]		
2. Preparation of sub-project			
3. Land Acquisition			
4. Resettlement Concerns			
5. Environmental Concerns			
6. Preparation of Standard Bidding Documents			
7. Procurement and Award			
8. Phase 1 construction			
9. Phase 2 construction			
10.			
11.			

X. Implementation Timeline

Implementation Timeline			
Phases	Estimated Time Required	Estimated Start Date	Estimated End Date
Project Preparation			
Construction			
Total Project Period			

XI. Budget

Estimated Cost and Timeline for Construction				
Sub Project related infrastructure/ facilities	Unit Cost	Estimated Total Cost	Average Construction Period	Estimated Construction Period (Months)

Approval Signatures

[Name], [Name of ULB], Mayor

[Name], Project Implementation Unit, In-charge

[Name], Project Director, MGSP

ANNEX 4: CIP Adoption Resolution and meeting minutes