

CONSULTATION AND PARTICIPATION PLAN

A. INTRODUCTION

1. In summary the ADB's guidelines for consultation and participation,¹ conclude that the main objectives of consultation are:

- To provide intended beneficiaries and marginalized or neglected groups with the information needed to encourage and enable them to participate in design and implementation of projects and programs;
- To obtain feedback from beneficiaries and stakeholders about the potential impact and effectiveness of proposed projects and programs to enhance positive benefits and mitigate negative impacts; and
- To provide interested stakeholders and civil society with information about projects and programs including potential impacts, safeguard plans, mitigation measures and institutional arrangements.

2. Consultation with, and participation of, affected communities and stakeholders is required by ADB and is considered to lead to a better design, reduce risks and increase beneficiary impact. Dissemination of information about a project to local government stakeholders and affected communities, and consultation with beneficiaries about their needs and preferences can help reduce potential opposition to a project, or conflicts that may occur during construction and operation, and as a result can minimize the risk of project delays.

B. CONSULTATION AND PARTICIPATION IN THE PROJECT

3. Meaningful consultative processes are (i) participatory – communication is two-way and enables incorporation of views of APs and a range of stakeholder groups representing different sectors and perspectives into decision-making; (ii) timely – participants receive relevant and adequate information so that they are equipped to engage in decision-making processes such as project design, formulation of mitigation measures, sharing of development benefits, and implementation issues. Consultation must begin early enough to solicit useful input, and to manage public expectations, as well as be ongoing throughout development and implementation; (iii) socially inclusive – participation must be responsive to gender issues, needs and priorities of vulnerable and disadvantaged groups, and (iv) open – undertaken in an atmosphere free of intimidation and /or risk.

4. The objectives of the Consultation and Participation Plan (CPP) are:

- To share fully information on the proposed project, its components, and its activities, with the beneficiary communities and stakeholders;
- To obtain information about the opinions, needs and priorities of beneficiary communities and stakeholders, as well as their reactions to proposed mitigation measures;
- To encourage the participation of beneficiary communities and stakeholders in project activities such as construction, awareness raising programs, and monitoring;
- To obtain the cooperation of beneficiary communities and stakeholders in activities required to be undertaken for project planning and implementation;
- To establish a clear, easily accessible and effective complaints and grievance procedure; and
- To ensure transparency in all project activities.

¹ As established in the Safeguard Policy Statement (2009) and Public Communication Policy (2011).

C. PARTICIPATION OF STAKEHOLDERS

5. A stakeholder analysis was undertaken in the preparation of the CPP to identify stakeholder groups, their interest with respect to proposed project interventions, and understand how they perceive the problems and issues which the project design proposes to address.

6. Table 2 contains a summary of the consultations undertaken at various stages during the PPTA (the results have been documented in the Poverty and Social Assessments (PSAs) prepared), and Table 1 is the CPP proposed for the Project.

7. The CPP establishes at what stages of the project and subproject cycle, consultation and participation from key stakeholders should be included, the main mechanisms for participation, the parties responsible for facilitating the consultation and participation, timing, and cost estimate.

Table 1: Consultation and Participation Plan

Stakeholder group	Objective of their involvement/ why included	Approach to participation and depth	Participation methods	Responsibility	Timeline		Cost estimate
					Start	End	
Ministries, Project Steering Committee, Provincial Government, IA	Presentation about Project; Establish ownership of Project; Understand linkages between proposed subprojects and overall development vision	Information generation & sharing (high)	Undertake key government stakeholder meetings;	EA, PPTA Team, ADB	May 2011	June 2011	Incl. in PPTA grant
Ministries, Provincial Government, IA, private sector representatives	Prepare draft strategic local economic development plans (including investment plans) Responsible for executing and/or supporting local economic development	Collaboration (low)	Provincial and stakeholder meetings; Participatory SWOT analysis; SLEDP preparation, decision on key Components National Workshops on SLEDPs and Investment Plans	EA, PPTA Team, ADB	July 2011	September 2011	Incl. in PPTA grant
Prov. Government, civil society organizations (CSOs), communities, APs, Lao Women's Union (LWU)	Identify stakeholders and communities of interest (incl. affected persons (APs) and beneficiaries)	Consultation (high)	Field visits and FGDs to identify subproject impact areas; Community and stakeholder meetings and discussions of key issues, impacts, concerns of APs; Identify needs and incorporate into plans (GAP and RPs etc) Follow-through consultative meetings	PPTA Team IA, PISC, LWU, communities, CSOs, NGOs	May 2011	TBA (end of Project)	Incl. in PPTA grant Ongoing – meetings \$5,040 (hire of venue, refreshments) ²
Communities and affected people (incl. any IP communities), LFNC, NGOs/CSOs etc	Discussions on potential impacts of the Project and mitigation measures; Consultations with IP communities to ascertain broad support for Project; Identification of benefit enhancement measures to be included in design;	Collaboration (low)	Meetings (FGDs etc) with local government, communes/villages, community groups (including sub-groups as necessary) and APs; Disclosure of draft plans and project information NGO partnership in project implementation arrangements discussed	EA, IA, PPTA Team, ADB, LFNC NGOs/CSOs and communities	August 2011	December 2011	Incl. in PPTA grant

² Cost estimate based on assumption of four meetings per year (at \$20/meeting) for three years in 21 villages participating in CTD.

Stakeholder group	Objective of their involvement/ why included	Approach to participation and depth	Participation methods	Responsibility	Timeline		Cost estimate
					Start	End	
Beneficiary communities, APs, VDCs, CSOs/NGOs, LWU, LFNC	Collect baseline data and discuss measures/options; Identify community needs during construction and operation; community participation in identification of mitigation	Collaboration (medium-high)	Conducting consultative meetings (FGDs and KIs) on impacts and mitigation measures; Incorporate into IEEs, IPPF, GAP, PSAs, RF, RPs, and EMPs where appropriate; Monitoring	PPTA Team, IA, PISC, communities, (APs and VDCs), LWU, LFNC, CSOs/NGOs,	August 2011	December 2011	Incl. in PPTA grant; Other budgets separately identified
Ministries, EA, Provincial Government, IA, potential private sector partners, beneficiary communities, directly affected people	Establish flow of information about Project, establish process for ongoing communication and participation; Establish linkages with existing programs; General outreach and awareness raising;	Information generation and sharing (high)	KIs and FGDs (spate groups of men and women as required); Dissemination of information and feedback; Follow-through Consultative Meetings	EA, PPTA Team, IA, PISC, communities, (APs and VDCs)	August 2011	December 2011	Incl. in PPTA grant Ongoing – meetings \$5,040 (identified above)
Civil society organizations, NGOs, mass organizations	Partner in project implementation (GAP, RPs etc) and monitoring; Representatives of civil society	Collaboration (medium-high)	Implementation of awareness campaigns and programs; Meetings and workshops; Monitoring	CSOs, NGOs	Prior to construction of subprojects		Budgets separately identified (incl. in RPs, GAP etc)
EA, IA, PISC, Beneficiary communities, directly affected people	Notification of any land required for temporary use beyond existing ROWs and any assets to be removed/relocated	Information generation and sharing (low)	As per RPs and Lao PDR Gov. regulations; Publish list of affected lands/sites in local newspapers/list on public notice-boards; Publicised on local radio/media	EA, IA, PISC,	Prior to construction of subprojects		Incl. in RP budget
Beneficiary communities, directly affected people, CSOs, NGOs, IA, PISC, Land Depts/Offices, village leaders	EMP and RP implementation (including public notices); Establish key monitoring indicators	Information generation and sharing (medium)	Full disclosure of updated EMPs and RPs; Disclosure of approved Project documents in EA and IA offices, local government offices; Web disclosure of project documents; Following procedure set out in EMP, IPPF, RF, RPs implemented, compensation awarded; Notice of clearance of ROW issued; construction zone cleared of	IA, PISC, Land Depts/Offices, village/commune leaders	Prior to construction of subprojects	As per impl. schedule	Budgets separately identified (incl. in RPs, GAP etc)

			encumbrances				
EA, District and Provincial Committees, beneficiaries, APs	Establishment and implementation of "grievance" mechanism/system	Collaboration (medium-high)	Agree and establish grievance redress mechanisms in line with existing traditions and processes, ADB and RGC policies; Recording and resolving of grievances, issues and complaints in respect of any aspect of the Project; Incorporate into, PSAs, IPPF, RF, RPs, and EMPs	PPTA Team, IA, PISC, APs and village committees	August 2011	December 2011	Incl. in PPTA grant Ongoing – costs to be covered by EA (incl. In RP budgets)
Beneficiary communities, Government agencies, IA, PISC	Obtaining of necessary environmental (and any other) permits as required	Information generation and sharing (medium)	As per process set out in IEEs and EMPs (including public notices as required) Consultative meetings	Government agencies, IA, PISC	Prior to subproject construction	As per impl. schedule	Budget incl. in IEE/EMP
Beneficiary communities, CSO, NGOs, Education Dept (schools), Police, NGOs, Health Dept, LWU	Beneficiaries and IA for GAP, HIV/AIDS, Trafficking measures and awareness campaigns/programs; To develop programs as required, engage NGOs (for implementation) as required Clear delineation of responsibilities for implementation of measures between participants/beneficiaries, IA, NGOs (PISC to assist)	Collaboration (medium)	Awareness campaigns/programs Social safeguards forums	Government agencies, IA, PISC, CSOs/NGOs, LWU	Prior to construction of subprojects	As per impl. schedule	Budgets separately identified (incl. in RPs, GAP etc)
Communities, commune/village administrations, Contractor; IA and PISC	Notification of site boundaries and construction limits (areas required to construct the works)	Information Generation & Sharing (low)	Publish list of affected lands/sites in local newspapers/list on public notice-boards; Publicised on local radio/media; Meetings as required	Contractor; IA and PISC	Prior to construction of subprojects	As per impl. schedule	TBA
Contractor staff, communities, Provincial Health Depts	Participation in HIV/AIDS/STIs and trafficking awareness and prevention campaign	Information Generation & Sharing (low)	Workshops, training and awareness sessions for Contractor staff and communities; Implemented as per GAP and EMP	Contractor; NGO (or other)	Prior to construction of subprojects	As per impl. schedule	Budgets incl. in GAP

Stakeholder group	Objective of their involvement/ why included	Approach to participation and depth	Participation methods	Responsibility	Timeline		Cost estimate
					Start	End	
Communities, school children/schools, NGOs, Health Dept, LWU, Police, IA/PCU	Participation in road safety campaign	Information Generation & Sharing (low)	Workshops, training and awareness sessions for communities (targeting school children); Implemented as per requirements of GAP and EMP	IA/PCU, NGOs, LWU, Police	Prior to construction of subprojects	As per impl. schedule	Budgets incl. in GAP
Communities, school children, waste pickers, NGOs, Health Dept, LWU, LFNC	Participation in health and environmental hygiene awareness raising; "Healthy/Green" villages competition	Information Generation & Sharing (low)	Workshops, training and awareness sessions for communities; Implemented as per requirements of GAP and EMP	Health Dept, LWU, LFNC, IA/PCU, NGOs	Prior to construction of subprojects	As per impl. schedule	Budgets incl. in GAP etc
PDPWDs/DDPWDs, community leaders, communities, NGOs, Contractor; IA/PCU, PISC Police, IMO	Implementation of updated and approved EMP; Cooperation with local government, communes/villages and police to manage construction access and traffic issues in respect of road subprojects	Collaboration (medium-high)	As required by EMP; Consultative Meetings - address issues as required; Recorded for monitoring purposes	Contractor; IA/PCU, PISC NGOs, Police, IMO	During construction/ EMP impl.	As per impl. schedule	Budget incl. in IEE/EMP
Communities (priority targets for women and the poor), Contractor, IA/PCU, PISC, IMO	Involvement of local community in construction; Engagement of local people (including poor and women) as labourers	Collaboration (medium)	As required by GAP and DMF; Liaison/reporting between contractor and IA; Require contractor to record data (sex disaggregated) for monitoring purposes Awareness raising programs	Contractor, community participants, IA/PCU, PISC, IMO	During construction	End of construction	Incl. in contracts (wage costs only)
Provincial and district Governments, communities, NGOs, project communities	Keep communities informed and highlight operational issues (meetings, leaflets); Health and safety issues addressed; Consultation and disclosure arrangements during (i) implementation, (ii) monitoring and	Information generation and sharing (low)	As per IEEs, IPPF, GAP, RPs and any relevant Gov. laws and requirements for notification; Public meetings; As per awareness programs; required (in addition to physical measures such as speed humps or 'sleeping policemen" and road signage); Recorded for monitoring purposes	IA/PCU, PISC, NGOs as required, Police, other agencies as required	During construction	End of construction	Meetings approx. \$5,040 (identified above)

	evaluation; Post-construction updates to communities and stakeholders						
Communities, CSOs, NGOs	Compliance monitoring and evaluation; Community to participate in monitoring process through establishment of contact points in each commune/village; Any community reports/complaints made as per grievance redress mechanism	Collaboration (low)	Procedures established in grievance redress process; As per subproject performance monitoring system and overall DMF; Consultative meetings Awareness raising programs	IA/PCU, PISC, IMO, communities	Q3 2012	Close of Project	Internal monitoring cost incl. in operations of PMO and PCU; IMO costs separate budget line
Communities, CSOs, NGOs, EA, IMO	Benefit monitoring and post-evaluation; Perceptions about project achievements vis-a-vis targets	Collaboration (medium-high)	As per environmental/social impact monitoring plans and DMF post-RP, post-EMP, post-GAP etc monitoring requirements; Survey; FGDs - Most significant change techniques included in monitoring outputs KIIs – validation of community perceptions	ADB, EA, IMO (CSOs/NGOs)	Q3 2015	Q4 2015	Survey + FGDs \$50,000 (to be incl. in as line item in EA budget for baseline)

ADB = Asian Development Bank. DMF = design and monitoring framework, EA = executing agency, EMP = environmental management plan, ESMU = environmental and social monitoring unit (within PMO), FGD = focus group discussion, GAP = gender action plan, IA = implementing agency, IEE = initial environmental examination, IMO = Independent Monitoring Organization, KII = key informant interview, LFNC = Lao Front for National Construction, LWU = Lao Women's Union, PCU = project coordination unit (of IA), PISC = project implementation support consultant, PMO = project management office (of EA), PPTA = project preparatory technical assistance, PSA = poverty and social assessment, RF = resettlement framework, RP = resettlement plan, VDC = Village Development Committees.

Table 2: Summary of Consultation and Participation Undertaken during PPTA

Issue	Target audience/stakeholders	Means of communication	Responsibility	Timing
STRATEGIC LOCAL ECONOMIC DEVELOPMENT PLANS (SLEDPs)				
Presentation of project information; Prepare SLEDPs; Identification of subprojects; Prioritize subprojects; Prepare investment and financing plans	Provincial and District Authorities, Government agencies, Chamber of Business and Industry Private Sector	Consultative meetings, dialogues, workshops, SWOT analysis sessions, KIIs and FGDs; Draft SLEDPs and Investment Plans, receipt of comments and revisions	EA, IA PPTA Team, ADB	After Inception Workshops, early in PPTA
INVOLUNTARY RESETTLEMENT (IR) IMPACTS				
Prepare and disclose resettlement frameworks (RFs)	Provincial and District Government agencies; Affected persons (APs); Resettlement Committees	Meetings and discussions, receipt of comments and revision of RFs; Disclosure in public meetings, local offices and websites of EA and ADB	EA, PPTA Team, ADB	During feasibility study, Disclosure of Final (approved) RFs following approval and endorsement
Results of IR screening/scoping and surveys, mitigation options	APs; Provincial and District Government agencies	Public consultations/meetings (including FGDs and one-on-one interviews as required);	EA, PPTA Team, Resettlement Committees	After completion of IR screening and IOL surveys
Compensation entitlements, mitigations and grievance redress mechanism	APs; Provincial and District Government agencies	Public consultations/meetings (including FGDs);	EA, PPTA Team, Resettlement Committees, local authority agencies	During feasibility study (RP preparation)
Disclosure of draft RPs	APs; Provincial and District Government agencies, Resettlement Committees	Disclosure (in language and form understandable to APs and communities) in public meetings, local offices and websites of EA and ADB	EA, IA, PPTA Team	Upon receipt of concurrence by ADB and endorsement by EA
SOCIAL IMPACTS				
Project development objectives, identification of social and poverty impacts	Beneficiary and affected communities	Public consultations/meetings (including KIIs and FGDs); Household survey	PPTA Team	During feasibility study (PSA and GAP preparation)
Identification of IP issues	Beneficiary and affected communities	Public consultations/meetings (including KIIs and FGDs); Household survey	PPTA Team and relevant stakeholders	During feasibility study (PSA and GAP preparation)
Risk of spread of HIV/AIDS and STIs and risk of trafficking, need for	Beneficiary and affected communities;	Public consultations/meetings (including KIIs and FGDs);	PPTA Team	During feasibility study

awareness raising and prevention measures	Health & Labour Depts	Semi-structured interviews; IEC materials and public media		(PSA and GAP preparation)
Safety issues (road subprojects)	Beneficiary and affected communities; school children, traders	Public consultations/meetings (including KIIs and FGDs); Public media	PPTA Team, EA/IA	During feasibility study (PSA and GAP preparation)
Health and environmental hygiene issues and need for awareness raising (wastewater treatment, sewerage and solid waste management subprojects)	Beneficiary and affected communities; school children; solid waste private operators/contractors; waste pickers	Public consultations/meetings (including KIIs and FGDs); Semi-structured interviews; IEC materials and public media	PPTA Team	During feasibility study (PSA and GAP preparation)
Opportunities for employment	Beneficiary and affected communities	Public consultations/meetings (including KIIs and FGDs); Public media	PPTA Team, EA/IA	During feasibility study (PSA and GAP preparation)
ENVIRONMENTAL IMPACTS AND ISSUES				
Establishment of environmental baseline for IEE	Provincial and District Government agencies; Affected persons (APs)s	Meetings and discussions, workshops	PPTA Team	During feasibility study
Initial assessment of environmental impacts	Provincial and District Government agencies; Affected persons (APs)s	Meetings and discussions, (including FGDs)	PPTA Team	During feasibility study
Framework for environmental mitigation, management and monitoring	Provincial and District Government agencies; Affected persons (APs)s	Meetings and discussions, (including FGDs)	PPTA Team	During feasibility study
Disclosure of IEE	APs; Provincial and District Government agencies,	Disclosure in meetings, local offices and websites of EA and ADB	EA, PPTA Team; ADB	End of feasibility study phase
INSTITUTIONAL ARRANGEMENTS AND ISSUES				
Discussion of institutional arrangements, roles and responsibilities for the Project	EA and IA, District Government agencies	Organization chart prepared and included in SLEDPs and FS; Confirmed during ongoing discussions in PPTA	EA, IA, PPTA Team; ADB	End of feasibility study phase
ECONOMIC/FINANCIAL ISSUES				
Affordability and willingness to pay	Users of new/improved services and facilities	Public consultations/meetings (including KIIs and FGDs); Household survey	PPTA Team	During feasibility study (PSA/GAP and economic analysis preparation)

Issue	Target audience/stakeholders	Means of communication	Responsibility	Timing
Financial feasibility and sustainability of subprojects	Provincial and District Government agencies; state-owned agencies	Meetings and discussions.	PPTA Team	During feasibility study (financial analysis preparation; analysis of agency's financial capacity)
Distribution of net economic benefits	Provincial and District Government agencies; Target beneficiaries; Private sector.	Public consultations/meetings (including KIIs and FGDs); Household survey	PPTA Team	During feasibility study (financial analysis preparation)
Capacity of Government to put up required counterpart funds	National agencies	Meetings and discussions	EA; PPTA Team	To be determined during feasibility study and to be agreed by ADB and EA during loan fact finding mission and loan negotiation.
Funds flow arrangement	National agencies	Meetings and discussions	EA; PPTA Team, ADB	To be determined during feasibility study and to be agreed by ADB and EA during loan fact finding mission and loan negotiation.

ADB = Asian Development Bank, EA = executing agency, EMP = environmental management plan, FGD = focus group discussion, GAP = gender action plan, IA = implementing agency, IEE= initial environmental examination, IOL = inventory of losses, KII = key informant interview, PDMF = project design and monitoring framework, PPTA = project preparatory technical assistance, PSA = poverty and social assessment RF = resettlement framework, RP = resettlement plan, SDP = social development plan.