

CONSULTATION AND PARTICIPATION PLAN

A. Introduction and Definitions

1. The consultation and participation plan for the Livable Cities Investment Project (the project) has been developed in accordance with the Asian Development Bank (ADB) guidelines.

2. The main objectives of consultation are to: (i) provide information to beneficiaries and vulnerable groups to enable them to participate in design and implementation of the project; (ii) obtain feedback from beneficiaries and stakeholders about the potential impact and effectiveness of the project to enhance positive benefits and mitigate negative impacts; and (iii) provide interested stakeholders and civil society with information about the project, including potential impacts, safeguard plans, mitigation measures, and institutional arrangements.

3. Consultation with and participation of affected communities and stakeholders lead to a better project design, thereby reducing risks and increasing beneficiary impact, and increase local ownership. Dissemination of project information can help reduce potential opposition to a project or conflicts that may occur during project implementation. It helps minimize the risk of potential project delays.

4. According to ADB Safeguard Policy Statement (2009), a meaningful consultation is a process that is:

- i. participatory: communication is two way, and views of stakeholders are incorporated into decision-making;
- ii. timely: participants receive relevant and adequate information so they are equipped to engage in decision-making processes such as project design, formulation of mitigation measures, sharing of development benefits, and implementation issues;
- 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.

5. A stakeholder communication strategy ensures that vulnerable groups, such as the poor, women, and ethnic minorities, who risk marginalization by more visible elites, are provided opportunities for communication and feedback during subproject design and implementation. Stakeholders include (i) government agencies responsible for the design, management, and implementation of a project; (ii) community organizations responsible for community-level environmental improvements and household sanitation; and (iii) private sector service providers who share an interest in the outcomes and/or impacts of a project.

6. The strategy serves to inform and support community development, enhance government agency capacity to manage project outcomes, and enhance project benefits and mitigate negative impacts. It will:

- i. deliver relevant project information to project affected people, and other stakeholders possibly impacted by the project in a culturally appropriate, gender-sensitive and timely manner, and foster a regular two-way information flow between project implementing agencies (and units) and stakeholders through community meetings, information display, focus group discussions, participatory monitoring);
- ii. support intensive, sustained, broad and repetitive communication, education and advocacy about the benefits of the project to foster adhesion, participation and positive

- public behavior change through official communication (press release, interviews, publication of summary project reports), and non-formal/official communication (video, radio, social media).
- iii. Support sustained information, education and awareness activities to raise information on water and sanitation behavior and best practices through community events and dissemination of information through radio, TV, social media.

B. Stakeholder Analysis and Prioritization

7. An analysis of stakeholders is the first step in preparing a consultation and participation plan for the project. Stakeholders have been identified based on the feasibility studies prepared for the project and previous experience in the implementation of urban water and other urban infrastructure projects (Table 1)¹. Stakeholders who have an interest in the project are listed in the Figure 1. They have been prioritized based on: (i) level of influence on the project (i.e., the relative ability of a stakeholder to affect project success); and importance of the project to them (i.e., the degree to which a stakeholder stands to lose or gain).

8. The project needs to ensure that Box A stakeholders and their interests are fully represented in the project structure so they can provide feedback and make decisions. It is also important to ensure that the strongest Box B stakeholders are also included in the project's consultation and participation plan. The overall impact of the project requires good relationships to be developed with these stakeholders. Box C stakeholders refer to those who have a high influence and interest. It will be important the project monitors, manages, and keeps these stakeholders informed about the project. Box D stakeholders are not critical to the project outcome and, thus, would not be specifically targeted.

Figure 1: Prioritization of Key Stakeholders

		Influence	
		High	Low
Importance	High	Box A <ul style="list-style-type: none"> Ministry of Public Works and Transport Women, ethnic minorities and other vulnerable groups, Households affected by land acquisition and resettlement Men/Households/beneficiaries of the proposed services (wastewater, stormwater, solid waste) Local businesses who may connect to the proposed services (wastewater, stormwater, solid waste) Provincial government Municipal administration 	Box B <ul style="list-style-type: none"> Septic tank desludgers Solid waste collection companies Plumbers, masons, hardware sellers
	Low	Box C <ul style="list-style-type: none"> Civil society Ministry of Economy and Finance Ministry of Environment Ministry of Land Management Urban Planning and Construction Asian Development Bank 	Box D

Source: Asian Development Bank.

¹ Feasibility study reports prepared under TA 9554-REG:Southeast Asia Urban Services Facility.

C. Consultation and participation plan

9. Based on the types of stakeholders identified and their influence and the importance of the project to them, a consultation and participation plan for the project was prepared and is presented in Table 2.

Table 1: Stakeholder Analysis

Stakeholder Group	Description and Function	Influence (What ways could this group potentially affect the project's success?)	Importance (How does this group stand to lose or gain significantly from the project?)
MPWT	Overall function of facilitation and coordination of wastewater management systems, stormwater/drainage systems and solid waste management throughout the country and promotion and mobilization of all available resources toward achieving set goals and objectives	As EA for project, it has key monitoring and oversight role. Supports the PIAs and PIUs Responsible for project management (through the PMU)	No direct loss or gain
Women, ethnic minorities and other vulnerable groups	Household domestic responsible for sanitation and hygiene of family	Acceptance of improved services Adoption and acceptance of user pay principles Influence household sanitation uptake and hygiene practices	Reduced work burden associated with carrying out domestic tasks (e.g., cooking and cleaning, hygiene/sanitation). Improved management of health and hygiene practices Better informed about sanitation (wastewater and solid waste) services. Improved livability
Men	Decision making within the household unit Attendance at public meetings	Influence household choices for water supply and sanitation Participate in planning and implementation of community consultation activities.	Improved access to sanitation services Better informed about sanitation (wastewater and solid waste) services.
Households	Households within proposed project area, including ethnic minorities, poor, and other vulnerable and/or affected households, requiring service/connection or who may be impacted by the project	If residents do not want to pay for service, this will significantly influence project viability. Unresolved complaints resulting from the project may lead to costly delays in project implementation.	Primary beneficiaries of the improved services. Paying for services will depend on individual circumstances (affordability) Some may experience resettlement impacts

Stakeholder Group	Description and Function	Influence (What ways could this group potentially affect the project's success?)	Importance (How does this group stand to lose or gain significantly from the project?)
Businesses, SEZ zone developers	Includes small businesses, hotels, guest houses, and restaurants, special economic zones	Supporter of the project particularly if it will enable improve livability of the cities and promote opportunity for economic development	Positive impact on tourists Opportunity for business/economic development
Provincial government	PIAs responsible for coordinating day-to-day activities for the project including supervision of construction works Key liaising entity for the PMU Provides guidance and support to the project implementing units.	Oversight of project management and implementation at provincial level Promote participation in project, including dissemination of information about sanitation, hygiene, and health Promote and facilitate upgrading of sanitation facilities for poor households and, as required, community facilities Provide liaison between project and community members Supports financial/tariff reforms and promotion of user-pay principles to ensure viability of the project.	Gain skills and knowledge Gains through development of provinces Improved relationship with the community they represent Beneficiary of project capacity building activities
Municipal administration	Responsible for providing public utility services including planning, and operations and maintenance Eventual asset owner	Key member of the PIU. Coordinates activities with the municipality/villages Day-to-day oversight of the project Information disclosure and consultation with beneficiaries Potential agency to collect fees for project interventions requiring tariffs	Gains improved revenue collection, greater role service delivery, and coordinator of hygiene promotion activities Improved capacity and skills for O&M of services Beneficiary of project capacity building activities
Septic tank desludgers	Private companies or government businesses	Promote more frequent septic tank desludging and promote local government/public health regulations	Gain business from increased household and business demand for desludging Potential to improve own knowledge of septage management

Stakeholder Group	Description and Function	Influence (What ways could this group potentially affect the project's success?)	Importance (How does this group stand to lose or gain significantly from the project?)
		Could influence environmental impact through improved septage disposal practices	
Solid waste collection companies	Private company responsible for solid waste collection / dump site maintenance	Influence environmental impact through improved waste collection services	Improved business opportunities through expanded solid waste service coverage area Promotion of solid waste practices
Plumbers, masons, hardware sellers	Trades people and sellers of technical products and services related to sanitation	Potential to provide information to householders on O&M	Increased business in trade and sales Gain work from repairs of taps, pipe installations, and installation and upgrading of pour flush toilets and septic tanks
Civil societies	Civil societies responsible community and village development, women's union, youth involvement, ethnic minorities etc.	Promotes equitable project benefits for all community groups Influences impact assessment, negotiation, and compensation for all, including ethnic minorities Promote hygiene behavior and environmental awareness	Beneficiary of project capacity building activities
Ministry of Economy and Finance	Provides investment support and overall management and administration of public investment projects.	Leading agency for public investment projects. Borrower of the loan.	Signatory of the loan agreement Key coordinating agency for project preparation and implementation.
Ministry of Environment	Responsible for administering environmental protection legislation, providing overall environmental guidance for urban sector projects, and reviewing and approving of environmental impact assessments.	Carries out reviews of environmental impact assessments Provides the domestic environmental approval for the projects.	No direct loss or gain
Ministry of Land Management Urban Planning and Construction	Responsible for issues relating to land management, urbanization and formulating related policies/spatial plans/land use master plans.	Influences availability/siting of infrastructure based on land use plans. Coordination with ministries on the infrastructure requirements.	No direct loss or gain.

Stakeholder Group	Description and Function	Influence (What ways could this group potentially affect the project's success?)	Importance (How does this group stand to lose or gain significantly from the project?)
ADB	Development partner for the project	Influences project financing and compliance in accordance with agreed development policies and plans and with ADB policies and guidelines	No direct gain Risk of positive or negative publicity

ADB = Asian Development Bank, EA = executing agency; PIA = project implementing agency, PIU = project implementation unit; PMU = project management unit; MPWT = Ministry of Public Works and Transport.

Source: Asian Development Bank.

Table 2: Consultation and Participation Plan

Stakeholder Group	Objective of their Involvement (Why included)	Approach to Participation and Depth	Participation Methods		Timing	Cost Estimates
			Method	Responsibility		
MPWT	Executing agency. Provide overall guidance on project scope, implementation.	Partnership (high)	<p>Consultation: Facilitate semi-annual project steering committee and provide update on project implementation matters/key issues.</p> <p>Implementation: project monitoring, reporting, procurement. Monitor financial aspects of project. Participation through PMU on the key stakeholder consultations. Liaison with other line ministries as required.</p>	PMU	Throughout project implementation	Included in cost estimate.
Beneficiary communities, including women, ethnic minorities, poor and other vulnerable households, and households affected by involuntary resettlement	<p>Direct beneficiaries of project</p> <p>Project/ subproject affected households.</p>	Consultation (high)	<p>Information: on project scope, technical options, design elements, tariff structures, participation, grievance redress mechanisms, and entitlements for affected persons; informed through meetings and information brochures</p> <p>Consultation: on willingness to pay, affordability, and level of support for the project and needs and impacts of subprojects; consultation through surveys, census and inventories, community meetings and focus group discussions</p> <p>Implementation: participation in project-specific grievance redress/village mediation committees to ensure they are inclusive and include representatives of disadvantaged subgroups. Agreement to pay for services; to use proper waste</p>	PMU, PIA/PIU, DCS	Throughout project implementation	Included in cost estimate

Stakeholder Group	Objective of their Involvement (Why included)	Approach to Participation and Depth	Participation Methods		Timing	Cost Estimates
			Method	Responsibility		
			disposal mechanisms (to avoid burning, dumping in canals) Monitoring: communities, including ethnic minorities, women, poor, and other vulnerable groups, will be involved in the monitoring of subprojects implementation; grievance redress committees and results will be reported in the progress and safeguard reports			
Waste pickers	Beneficiaries of the project Improved training / livelihoods	Collaboration (medium)	Information: discussion on working arrangements (landfills) and options for social support and job opportunities Consultation: to identify waste pickers who volunteer to benefit from vocational training, business support formal jobs as construction workers in the sorting plants; discussion on the transition approach Implementation: participation in consultation / focus group meetings.	PMU, PIA, PIU	At project commencement and throughout project implementation	Included in cost estimate
Businesses, SEZ zone developers	Direct beneficiaries of project SEZ with access to basic services	Consultation (medium)	Information: on project scope and timing, level of service and commercial tariffs, septage services, and sanitation regulations; information provided through public meetings, announcements, public notices and leaflets, meetings with peak bodies, and through business networks Consultation: on needs and priorities for businesses through interviews and meeting, including consultation on prices, payment methods, discussion on SEZ development (opening/closing of factories, etc).	PMU, PIA/PIU	Throughout project implementation	Included in cost estimate

Stakeholder Group	Objective of their Involvement (Why included)	Approach to Participation and Depth	Participation Methods		Timing	Cost Estimates
			Method	Responsibility		
			Implementation: paying for connection to services; improving waste practices.			
Provincial governments / municipal administration	Representatives of government are responsible for project implementation and for representing provincial and municipal interests. Responsible for O&M of the assets and services, including setting tariffs, business plans, monitoring/enforcement.	Partnership (high)	Approvals: review and approve safeguard documents (grievance redress mechanism, provincial sub-working LAR groups etc.) Implementation: allocate staff to PIU to provide local inputs and oversee project implementation. Prepare and implement annual work plans, budgets. Build capacity of the municipal administration to carry out operations and maintenance of the infrastructure. Oversee implementation and progress of subprojects through review and planning meetings; oversee resettlement committees; recommend and initiate remedial action; resolve disputes	PIA, PIU	Ongoing during project planning and implementation	Included in cost estimate
Septic tank desludgers, plumbers and masons	Indirect beneficiaries of project Indirect promoters of sanitation services and products	Information (medium) Consultation (medium)	Information: on scope and timing of project, type of service. Informed through direct approaches such as interest group meetings and printed information or other methods that help them to inform the public and consumers. Consultation: as an industry group, be consulted on needs and issues affecting businesses in subproject towns; how water/sanitation businesses can support objectives of the project.	PMU, PIA/PIU	Periodic meetings during implementation	Included in cost estimate
Solid waste contractors	Potential service provider Arrangements to close existing dumpsite	Partnership (medium-high)	Information: on project design, institutional arrangements, service provider arrangements Consultation: participation in discussion on business opportunities, expansion of service coverage area; employment of scavengers/waste pickers; discussion with provincial government and MOE on closure of existing dumpsite	PMU, PIA, PIU, DCS	Throughout project implementation	Included in cost estimates

Stakeholder Group	Objective of their Involvement (Why included)	Approach to Participation and Depth	Participation Methods		Timing	Cost Estimates
			Method	Responsibility		
Civil society organizations	Representatives of civil society and the community	Collaboration (medium)	Consultation promotion of community participation, behavior change analysis/strategy development, raising awareness at community level, facilitate support with vulnerable groups.	PMU, PIA, PIU	Early stage of project, prior to construction and during construction	Included in cost estimate
Provincial Department of Women Affairs (PDoWA) /Women and Children Consultative Committees/ Commune committees for women and children	Awareness raising in the community; increase participation in planning, design, operations, maintenance and monitoring	Collaboration (medium)	Consultation: gender assessment, identification of specific needs, demands, constraints and level of satisfaction. PDoWA, with PMU and PIUs to organize participation of the consultative committees/commune committees in the implementation of the soft components for women and children (face-to-face information training, awareness raising, facilitation of consultations)	PMU, PIA, PIUs	Throughout project implementation	Included in cost estimate
Commune/sangkat councils	To inform the residents of the project/project benefits	Collaboration (high)	Information: on project scope, design, institutional arrangements, roles, responsibilities, and project progress; feedback on infrastructure design. Implementation: coordinate and organize implementation in their Sangkat. Report to the municipality on key issues/concerns, facilitate implementation of O&M, monitoring and evaluation, grievance redress.	PMU, PIA, PIUS	Throughout project implementation	Included in cost estimate
Government departments	Set policy and guidelines, coordinate, and issue approvals	Collaboration (medium)	Approvals and advice: coordination, direction, and approval of technical and implementation matters; participation is through review of key documents, safeguards, and proposals, issuance of statements and directives, and project management and coordination meetings	PMU	As required during project implementation	Included in cost estimate

DCS = design and construction supervision consultants; PIA = project implementing agencies; PIU = project implementation unit, PMU = project management unit.
Source: Asian Development Bank.

Table 3: Stakeholder Communication Strategy

Objective(s)	Key Risks/Challenges	Stakeholder Group	Messages	Means of Communication	Timeline	Responsibility	Resources (Human, \$)
Ensure beneficiaries (including poor and vulnerable groups) understand project scope, impacts, entitlements, participation, and redress mechanisms to promote participation and increase ownership and satisfaction	Trust of information source Language/culture Literacy Managing expectations Information dissemination is not widespread	Target communities, population in the project area including poor and vulnerable groups Businesses, SEZs	Project design, key project benefits, implementation arrangements, and schedule of civil works Main project impacts (positive and negative) Planned mitigation measures, including compensation rates, entitlements, and grievance redress mechanisms. Tariffs and affordability of services Participation in income restoration program	Public information meetings Resettlement committee meetings and/or meetings with affected households Printed information in local language posted in accessible areas (e.g., village meeting place) Dissemination of information via radio messages, local TV news, social media Consultation meetings at dumpsite/villages	Ongoing prior to implementation of activities Ongoing during civil works	PMU, PIA, PIU, DCS	Human resources included in project budget Cost of publication included in project budget
Establish two-way information sharing/feedback mechanism to ensure inclusion of vulnerable groups in	Language Gender and cultural stereotypes Mechanisms ready to respond to concerns	Target communities (especially poor, minority ethnic groups) VAs	Mechanisms for community participation, representation, monitoring Benefits targeted to poor households	Community meetings/focus group meetings Gender awareness and mainstreaming training materials	Ongoing during implementation including civil works	PMU, PIA, PIU, DCS	Human resources and training events included in project budget

Objective(s)	Key Risks/Challenges	Stakeholder Group	Messages	Means of Communication	Timeline	Responsibility	Resources (Human, \$)
benefit distribution	Timing		Mitigation and grievance measures				
Ensure local authorities understand and support the project and can effectively support and inform the community	Low education Lack of experience Language Other commitments Lack of involvement/engagement with stakeholders resulting in limited project support, obstruction of project	Sangkat authorities, Commune councils, Provincial government Municipal administration	Project design, key benefits, implementation arrangements, and schedule of civil works Participation in consultation events	Small group meetings/training Formal meeting with provincial/municipal representatives Dissemination of printed information	Ongoing from project outset	PMU, PIA, PIU, DSC	Human resources included in project budget
Improve community awareness of the benefits of water and sanitation to initiate behavior change, ensure willingness to pay for connection and service fees	Information is not enough to change behavior Language Cultural practices	Target communities, including mothers, school children, and ethnic minorities	Improved solid waste and wastewater for the environment, health and livability Cost of services Ways to improve sanitation and reduce flooding Solid waste management practices (reduce,	Mass organization meetings and events School activities Local media, radio, tv Behavior change strategy / awareness campaigns Signboards	Regular events and activities after formative research and needs assessment are completed	PMU, PIA, PIU, DCS	Human resources included in project budget Costs of behavior change communications publications and events included in project budget

Objective(s)	Key Risks/ Challenges	Stakeholder Group	Messages	Means of Communication	Timeline	Responsibility	Resources (Human, \$)
			reuse recycle) and proper solid waste disposal				

DCS = design and construction supervision consultants; PIA = project implementing agency; PIU = project implementing unit, PMU = project management unit.
Source: Asian Development Bank.