

## **CONSULTATION AND PARTICIPATION PLAN**

### **A. Introduction and Definitions**

1. The consultation and participation plan for the Water Supply and Sanitation Investment Project has been developed in accordance with the Asian Development Bank (ADB) guidelines. The appendix includes a stakeholder analysis, a consultation and participation plan, and a stakeholder communication strategy.
2. The main objectives of consultation are to:
  - (i) provide information to beneficiaries and marginalized groups to enable them to participate in design and implementation of the project;
  - (ii) obtain input and feedback from beneficiaries and stakeholders about the potential impact and effectiveness of the project to enhance positive benefits and mitigate negative impacts;
  - (iii) provide interested stakeholders and civil society organizations with information about the project, including potential impacts, safeguard plans, mitigation measures, and institutional arrangements; and
  - (iv) encourage participation of beneficiary communities and stakeholders in civil works construction and planning, project monitoring, community management of public toilets and business skills training programs.
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 marginalized and disadvantaged groups; and
  - (iv) open: undertaken in an atmosphere free of intimidation and/or risk.
5. A stakeholder communication strategy ensures that marginalized 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, including those responsible for community-level environmental improvements; and (iii) private sector service providers who share an interest in the outcomes and/or impacts of a project. 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.

## B. Stakeholder Analysis and Prioritization

6. An analysis of stakeholders is a first step in preparing a consultation and participation plan for the project. Stakeholders have been identified based on the three project cities prepared under the project and previous experience on sector water projects (Table 1).

7. Stakeholders who have an interest in the water supply and sanitation investment 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
- (ii) importance of the project to them (i.e., the degree to which a stakeholder stands to lose or gain).

8. As shown in Figure 1, 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, manage, and keep these stakeholders informed about the project. Box D stakeholders are not critical to the project outcome and, thus, would not be specifically targeted. The project might include these stakeholders in other forms of consultation at the national levels (e.g., project steering committee, etc).

**Figure 1: Prioritization of Key Stakeholders**

		Influence	
		High	Low
Importance	High	<b>Box A</b> <ul style="list-style-type: none"> <li>Ministry of Public Works</li> <li>Women, ethnic minorities and other marginalized groups</li> <li>Men/Households/beneficiaries of the proposed water supply and sanitation scheme</li> <li>Local businesses who may connect to the proposed water supply schemes</li> <li>Suco chiefs</li> <li>City authorities</li> <li>State-owned water utility (Bee Timor-Leste)</li> </ul>	<b>Box B</b> <ul style="list-style-type: none"> <li>Septic tank desludgers</li> <li>Plumbers, masons, hardware sellers</li> </ul>
	Low	<b>Box C</b> <ul style="list-style-type: none"> <li>Civil society organizations</li> <li>Ministry of Finance</li> <li>Administrative Council of the Infrastructure Fund</li> <li>Asian Development Bank</li> </ul>	<b>Box D</b> <ul style="list-style-type: none"> <li>Bottled and gallons water sellers</li> </ul>

Suco = village.

Source: Asian Development Bank.

**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**

<b>Stakeholder Group</b>	<b>Description and Function</b>	<b>Influence</b> (What ways could this group potentially affect the project's success?)	<b>Importance</b> (How does this group stand to lose or gain significantly from the project?)
MPW	<p>Overall function of facilitation and coordination of urban water supply and sanitation systems throughout the country and promotion and mobilization of all available resources toward achieving set goals and objectives</p> <p>Responsible for project implementation</p> <p>Helps in (i) setting short-, medium-, and long-term strategies on urban water supply and sanitation development; (ii) planning water sector staff training on planning and management of urban water supply and sanitation systems; and, (iii) technical specifications and performance indicators of water supply and sanitation systems operation</p>	<p>As IA for project, it has key monitoring and oversight role.</p> <p>Responsible for project management (PMU) and project implementation</p>	Beneficiary of project capacity building activities
Women, ethnic minorities and other marginalized groups	<p>Women are responsible for household management of water</p> <p>Collects, manages and uses water for sanitation and hygiene of the family</p> <p>Contributes to decision making in the household</p> <p>Marginalized groups with limited capacity to pay</p> <p>For ethnic groups water from some sources and its use is integral to their traditional beliefs and strict customary practices/laws apply to its harvest and use from certain sources</p>	<p>Acceptance of improved water (including treatment), reduction of nonrevenue water and widespread take up of user pays is critical to implementation</p> <p>Influence household sanitation take up and hygiene practices</p> <p>Community support is reliant on the project observing and managing cultural practices with water.</p>	<p>Reduced work burden associated with obtaining water for domestic tasks (e.g., cooking and cleaning)</p> <p>Reduced burden of sourcing water from outside the household</p> <p>Improved privacy, safety, and comfort from household toilet</p> <p>Improved management of menstrual hygiene through improved community and household toilets</p> <p><u>Ethnic groups could lose cultural heritage</u></p>
Men	<p>Decision making within the household unit</p> <p>Attendance at public meetings</p>	<p>Influence household choices for water supply and sanitation</p> <p>Participate in planning and implementation of Suco activities</p>	<p>Improved household water supply and sanitation</p> <p>Better informed about water services</p>
Households	Households within proposed project cities, including ethnic minorities, poor, and other marginalized and/or affected households, requiring water supply and sanitation services or who may be impacted by the project	If residents do not want to pay for water supply, this will significantly influence project viability.	<p>Primary beneficiaries for improved water supply and sanitation</p> <p>Paying for water supply depends on individual circumstances</p>

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		Unresolved complaints resulting from the project, or public dissatisfaction with the project may lead to costly delays in project implementation. It could also influence individual's willingness to pay for service.	Some may experience resettlement impacts
Businesses using water	Typically, small businesses such as vehicle washing, food outlets, and laundries but also include hotels, guest houses, and restaurants	Supporter of the project particularly if it will enable access to piped water for use at lower cost than bottled/trucked water	Gain clean reliable water  Positive impact on tourists  Increased costs for some operators by paying for piped water  Possible reduced costs compared to buying expensive water from other sources or savings on pumping costs
Suco chiefs and suco authorities	Chiefs, and suco committees constitute the "administrative body" that manages suco affairs and implements development priorities in the suco.  The committees include representatives of civil society organizations and volunteers and are headed by the chief or deputy chiefs.	Promote suco participation in project, including dissemination of information about water supply, sanitation, hygiene, and health  Provide liaison between project and community members	Gain skills and knowledge  Improved relationship with the community they represent
SMASAs	Responsible for: coordination, facilitation, and operation of urban and rural water supply, sanitation systems, and environmental hygiene	Significant influence in supplying water at a given service level within cities and collecting tariffs	Improved capacity and skills for O&M of WSS services including customer relations  Ability to meet consumer demand for improved water supply
Septic tank desludgers	Private companies or government businesses	Promote more frequent septic tank desludging and promote local government/public health regulations  Could influence environmental impact through improved septage disposal practices	Gain business from increased household and business demand for desludging  Potential to improve own knowledge of septage management
Plumbers, masons, hardware sellers	Trades people and sellers of technical products and services related to water supply	Influence quality of water supply and sanitation installations  Influence water conservation	Increased business in trade and sales  Gain work from repairs of taps, pipe leakages, meter and pipe installations, and

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		Potential to provide information to householders on O&M	installation and upgrading of pour flush toilets and septic tanks
City administrations	Collaborate with MPW to develop proposals for water resource development, institutional arrangements for urban and rural water supply and sanitation systems, and urban and rural environmental hygiene	Oversight of project management and implementation at city level  Supervise the quality of SMASA services	Gains as a result of city development
Ministry of Finance	Provides investment support and financial arrangements for all funds utilized in the development of water supply and sanitation systems	An authority providing program funding from budget	Signatory to the loan agreements, collection of interest, and loan payments
Secretary of State for the Environment	Responsible for administering environmental protection legislation, and reviewing and approving of environmental licenses	At request of project proponent, it advises and endorses initial environmental examinations and environmental license	No direct loss or gain
Directorate General for Land and Property	Responsible for issuance of land titles at field level and for land acquisition, compensation, and resettlement	Involved in determining land acquisition requirements and entitlements for compensation and rehabilitation and in issuance of land titles	Potential beneficiary of resettlement safeguard support and capacity development
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
Private water sellers/vendors	Sellers of bottled water and gallons, who usually deliver the said goods to households  Competitors of piped water service providers but can provide an essential service in some locations, especially in the outskirts of the cities	Potential to promote safe water handling and storage  Potential to react negatively to loss of business and create community disharmony/negativity	Loss of income from reduced sales  Reduced electricity costs from pumping groundwater, but will have to pay for piped water  Potential business opportunity through the purchase of bulk water and distribution to residents outside of the core area
State-owned water utility (Bee Timor-Leste)	Future state-owned water utility will be responsible for operation and maintenance of urban water supply and sanitation infrastructure and collection of revenue	This organization will be critical for the project sustainability success. If it does not deliver clean water reliably, public confidence in the infrastructure will be lost. households will not pay	Requires implementation to be successful or the entity fails to deliver its mission

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		for water use, increases in non-revenue water and vandalism will occur	

ADB = Asian Development Bank, IA = implementing agency, MPW = Ministry of Public Works, O&M = operation and maintenance, PMU = project management unit, SMASA = Municipal Water, Sanitation, and Environment Services, Suco = village, WSS = water supply and sanitation.

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		
Beneficiary communities, including women, ethnic minorities, poor and other marginalized households, and households affected by involuntary resettlement	Direct beneficiaries of project  Project affected households	Partnership (high)	<p><b>Information:</b> on project scope, technical options and pricing of water supply and sanitation, participation mechanisms, grievance resolution mechanisms and entitlements for affected persons; informed through meetings and information brochures</p> <p><b>Consultation:</b> on willingness to pay and level of support for the project and needs and impacts of the project, appropriate cultural conventions to be observed; consultation through surveys, census and inventories, suco meetings, and focus group discussions</p> <p><b>Decisions:</b> on participation with SAs and grievance redress/village mediation committees to ensure they are inclusive and include representatives of disadvantaged subgroups</p> <p><b>Decisions:</b> on level of community participation, including in community management of public toilets</p> <p><b>Monitoring:</b> communities, including ethnic minorities, women, poor, and other marginalized groups, will be involved in monitoring the project implementation; grievance redress committees and results will be reported in the progress and safeguard reports</p>	SMASA  MPW, PMU  SA  Civil society organizations PSC	From start of project detailed engineering design to post implementation of water supply and sanitation systems, including initial O&M phase.	Included in cost estimate
SAs	Members of SAs with responsibility for government-public interaction on project implementation	Partnership (high)	<p><b>Decisions:</b> SAs hold public meetings in sucos and explain the project and its participatory approach</p> <p><b>Project implementation:</b> through suco meetings, coordinate between project and community, mobilize community to</p>	SA leaders and project representatives  Community team in MPW, PMU	From start of project detailed engineering design to post implementation of water supply and sanitation systems	Included in cost estimate



Stakeholder Group	Objective of their Involvement (Why included)	Approach to Participation and Depth	Participation Methods		Timing	Cost Estimates
			Method	Responsibility		
			participate, and disseminate hygiene and sanitation promotion information and project information  <b>Monitoring:</b> SAs contribute to progress report preparation.			
Businesses using water	Direct beneficiaries of project	Consultation (medium)	<b>Information:</b> on project scope and timing, level of water supply service and commercial tariffs, septage services, and sanitation regulations; information provided through public meetings, announcements, public notices and leaflets, and through business networks  <b>Consultation:</b> on needs and priorities for businesses through interviews and meetings during feasibility studies	Business group representatives  SMAS  City administration  PSC	Periodically during project implementation	Included in cost estimate
Civil society organizations	Representatives of civil society and the community	Collaboration (high)	<b>Project management and implementation:</b> promotion of community participation; civil society organizations are consulted directly during detailed engineering design preparation and participate in implementation through SAs and PMU <b>Monitoring:</b> representation on steering committees including city resettlement committees and suco mediation committees	City administration  PMU  PSC	Throughout project implementation	Included in cost estimate
SMASA	Service provider for urban water supply and sanitation	Partnership (high)	<b>Project management and implementation:</b> informing community about the project through SAs  <b>Decision-making:</b> support the design of water supply and sanitation schemes, decisions about resourcing, and management of schemes	SMASA Director	Throughout project	Included in cost estimate
Septic tank desludgers, plumbers and masons	Indirect beneficiaries of project	Information (medium)  Consultation (medium)	<b>Information:</b> on scope and timing of project, costs of water and type of service; sanitation regulations. Informed through direct approaches such as interest group meetings and printed information or other	MPW, PMU  PSC	Periodic meetings during 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		
	Indirect promoters of water supply and sanitation services and products		methods that help them to inform the public and consumers.  <b>Consultation:</b> as an industry group, consulted on needs and issues affecting businesses in the project towns; how sanitation businesses can support objectives of the project.			
Water sellers who currently sell water in the three cities	Directly affected as likely loss of revenue from sale of drinking and other water	Consultation (high)	<b>Consultation:</b> as an industry group, consulted on needs and issues affecting businesses in the project towns; how water sellers' businesses can support objectives of the project.	SMASA, MPW, PMU	Periodic meetings during implementation	Included in cost estimate
City administration	Representatives of government are responsible for project implementation and for representing city interests	Collaboration (high)	<b>Approvals:</b> review and approve safeguard documents  <b>Project implementation:</b> allocate staff to PMU to provide local sector inputs  <b>Monitoring:</b> oversee implementation and progress of the projects through review and planning meetings; oversee resettlement committees; recommend and initiate remedial action; resolve disputes	MPW, PMU	Ongoing during project planning and implementation	Included in cost estimate
Government departments	Set policy and guidelines, coordinate, and issue approvals or finance	Collaboration (medium)	<b>Approvals and advice:</b> 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	MPW, PMU	As required during project implementation	Included in cost estimate

PMU = project management unit, PSC = project supervision consultants, SMASA = Municipal Water, Sanitation, and Environment Services, SA = suco authority.  
Source: Asian Development Bank.

**Table 3: Stakeholder Communication Strategy**

<b>Objective(s)</b>	<b>Key Risks/ Challenges</b>	<b>Stakeholder Group</b>	<b>Messages</b>	<b>Means of Communication</b>	<b>Timeline</b>	<b>Responsibility</b>	<b>Resources (Human, \$)</b>
Ensure beneficiaries understand project scope, impacts, entitlements, participation, and redress mechanisms	Trust of information source  Language/ culture  Literacy  Managing expectations	Target communities and community organizations such mediators from churches or NGOs	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.	Public information meetings include separate discussions with women's groups  Resettlement committee meetings and/or meetings with affected households  Printed information in local language posted in accessible areas. Pictograms/ graphics used to account for low levels of literacy (e.g., suco/village meeting place)	Ongoing prior to implementation of activities  Ongoing at regular set intervals as agreed with community during project preparation  Ongoing, at regular set intervals as agreed with community, during civil works	Lead entity: MPW, PMU  Supported by: SMASA  City authorities  PSC	Human resources included in project budget  Cost of publication included in project budget
Establish two-way information sharing/ feedback mechanism to ensure inclusion of marginalized groups in benefit distribution	Language  Gender and cultural stereotypes  Cultural sensitivities  Mechanisms ready to respond to concerns  Timing	Target communities (especially women, poor, minority ethnic groups)  SAs	Mechanisms for community participation, representation, monitoring  Benefits targeted to poor households  Mitigation and grievance measures	Suco meetings/ briefings by suco chief and village level as required  Gender awareness and mainstreaming training and communication materials  Capacity development training sessions for SA leaders  Surveys -Knowledge, Attitude & practices (KAP) survey	Ongoing project preparation  Ongoing during civil works  KAP survey at project commencement & for PCR	Lead entity: MPW, PMU  Supported by: SMASA  PSC  City-level organizations  SA	Human resources and training events included in project budget

Objective(s)	Key Risks/Challenges	Stakeholder Group	Messages	Means of Communication	Timeline	Responsibility	Resources (Human, \$)
Establish two-way information sharing/ feedback mechanism to support pilot project on community management of public toilet operation & maintenance	Lack of interest from target communities in managing toilet assets Insufficient usage/user pay fee too low  Capacity failure in SMASA  Vandalism of assets	Target communities / SMASA	Responsibilities for day-to-day management of asset  responsibility for repairs (local responsibility or govt responsibility)  ongoing agreed communication protocol	Initial community meetings to determine management committee	Ongoing from project comments	Lead entity: MPW, PMU	Human resources included in project budget
Ensure key suco representative s understand and support the project and can effectively support and inform the community	Low education  Lack of experience  Language  Other commitments	Suco chiefs, SAs, and suco organizations	Project design, key benefits, implementation arrangements, and schedule of civil works  Reinforce sanitation, hygiene, and health messages/ information	Suco chiefs, SA members, group members  Small group meetings/training  Printed information	Ongoing from project outset	Lead entity: MPW, PMU  Supported by: SMASA  PSC  City administration and organizations  SA	Human resources included in project budget
Improve community awareness of the benefits of water supply and sanitation	Information is not enough to change behavior  Language  Cultural practices	Target communities, including mothers, school children, ethnic minorities, civil society organizations.	Washing hands with soap  Functioning and benefits of a latrine  Safe water handling  Water conservation Other messages as required,	Suco leaders and representative committees  Civil society organizations meetings and events  School activities  Suco loudspeaker  Local media	Regular events / activities, commencing with launch of formative research and needs assessment Key events – commencement of research, survey, needs assessment and international	Lead entity: MPW, PMU  Supported by: SMASA  PSC  SA	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, \$)
			informed by KAP survey	Publications	days (e.g., Women's Day, Children's Day, Global Handwashing Day, World Toilet Day, World Water Day)		

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Source: Asian Development Bank.