Ningbo Rural Development Project
Social Assessment Report
Appendix II:
Community Participation Manual
(Evaluation version)

Ningbo City Rural Domestic Wastewater Treatment
Project Office

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Contents

Preface ........................................................................................................................................ 1

Chapter 1 General .................................................................................................................... 2

Chapter 2 Community Participation at Project Preparatory Stage ........................................ 4

Chapter 3 Community Participation at Project Implementation Stage ............................... 8

Chapter 4 Community Participation at Project Operation and Management Stage .......... 10

Chapter 5 Community Participation at Others .................................................................... 11

Attachment 1: Basic Framework for Community Participation at Various Stages .......... 12
Preface

The definition for participation in Participation Manual prepared by World Bank is as that: a process through which the primary stakeholders influence and share control of their development initiative, decision and resources. By this definition, it avoids to simply take the primary stakeholders as the passive and assisted recipients, interviewed objects or labors during the development process, but the projects implemented by the World Bank should have a process to stimulate the primary stakeholders to influence and share control of the development. In order to realize that, the various stakeholders and their relationships should be known, and be fully taken into account at all stages of the project.

By understanding of above-mentioned participation meaning for projects loaned by World Bank, Social Assessment Team from ECIDI, in accordance with characteristics of the rural domestic wastewater treatment and after a great deal of the site survey and discussion and fully communication with each related organizations and departments, completed the Community Participation Manual. This manual aims to provide the specific measures for the community participation in the rural domestic wastewater treatment sub-project in rural areas after the basic principles and the framework as well as mechanisms determined so as to help the masses in the project areas to participate in the project construction as far as possible, promote the smooth development of the project, and make the project to play its benefits fully.

Since the project still at the preparatory stage, the working such as the organization structuring and the policy-making for the project implementation, still under the study, is uncertainty, so that the related measures in this manual should be improved continuously during the project implementation. Based on the present study result, this manual with the constructive views and measures is compiled. The final policies, regulations and programs for the community participation should be according to the documents or notice issued by local governments or the related governing department. ECIDI expresses thanks for that during manual preparation, a great help and support from related county (district) government and relevant departments involved in the rural domestic wastewater treatment sub-project of Ningbo Rural Development Projects and a very great help and guidance from immigration experts, Mr. Wang Chaogang, from World Bank.
Chapter 1 General

1.1 In order to carry out the construction of the rural domestic wastewater treatment sub-project for Ningbo Rural Development Projects loaded by World Bank smoothly, help the masses in the project effected area to fully participate in all works in the project, smoothly develop the project construction and ensure the project benefits, so that Community Participation Manual is compiled.

1.2 A good community participation mechanism needs the cooperation and support from each related masses, in accordance with the characteristics of the project, it determines that the related masses for this project are mainly divided into two groups: the primary stakeholders and other stakeholders.

The primary stakeholders include the direct beneficiaries and negative effected masses, i.e. the community involved in the project, including the rural beneficiaries within the project scope and the negative effected massed for the project construction (such as immigrants and vulnerable groups). Other stakeholders include Project Owners, project implementation agencies and relevant government departments, consulting and construction units.

1.3 The participation of the community and other stakeholders should the basic principles as follows:

(1) Intercommunion – it is to have full hearing and discussion, understand needs and ideas of the other side, and try best to reach to an agreement.

(2) Transparent –The information should be publicized and the information obtaining way should open. The contents and feedback of the relevant information should be clear and consistent.

(3) Cooperation - Different stakeholders should work together to seek mutual beneficial results.

(4) Comprehension – It is to have awareness and understanding different stakeholders throughout the project construction and take consideration for other side.

(5) Integrity - Community participation must be carried out according to mutual respect and integrity.

1.4 In accordance with the characteristics of the rural domestic wastewater treatment project, the project will be divided into three stages: preparatory stage, implementation stage, and operation and management stage. Preparation stage is from the early days until before the project construction, including the primary plan and demonstration for the project, the scheme design, and the application procedures for the land acquisition. Implementation stage is from the construction of civil works until 18 months after final acceptance, including the equipment installation and commissioning and the trial operation. Operation and management stage is from
the time of the property rights officially transferred to the village committee after completion of the trial operation and it being put into operation. Community participation must always go through those three stages.

1.5 It is to establish the basic framework for community participation, and clear the different position and function of different stakeholders in the community participation at various stages.

During the project preparation stage, County (districts) Sub—project Office should decide A List of Villages Selected and develop the publicity, at the same time, entrust Consulting Unit to carry out the village selection, and decide A List of Project Effected Village in accordance with the results of the village selection and after consulting with Ningbo City Project Office; Consulting Unit should carry out the village selection and submit a Village Selection Report, and make modification after communicating with the village committees on the results of the preliminary design; Community should cooperate Consulting Unit to complete the village selection, put forward their suggestions and comments in accordance with the project information, and cooperate each County (district) Sub-project Office, township and village to complete the land acquisition and relocation.

During project implementation, each County (district) Sub-project Office should organize each village to prepare the indoor pipeline-building scheme for villagers and the construction of sewage pipelines and terminals treatment facilities after the scheme approved; Contractors should notice the community the relevant construction information in various ways in advance, and carry out the training for related community personnel on the operation management within 18-months trial operation of the rural domestic wastewater treatment system after project being accepted; Community should assist each County (district) sub-Project Office to prepare the indoor pipeline transformation scheme, organize the indoor transformation pipeline scheme approved by each County (district) sub-Project Officer and determine the management personnel for the system operation, and complete the training of contractor, and master the relevant technology.

During project operation and management stage, each County (district) Sub-project Office should help each village to determine the operation and maintenance company for the rural domestic wastewater treatment system, and be responsible for supervision and inspection on the regular operation of the project; Operation and Maintenance Company for sewage treatment system should, in accordance with the requirements, complete the operation and maintenance for the rural domestic wastewater treatment system; Community should participate in the operation and maintenance of the rural domestic wastewater treatment systems after its persons being trained, and cooperate Operation and Maintenance company to carry out related work.

See Attachment 1 Basic Framework for Community Participation at Various Stages.
1.6 At all stages, it is necessary to fully rely on the village committee and give full play and organization leading role of village committee on dealing with problems and conflicts as well as management, including persuading and interpreting to the villagers.

Chapter 2 Community Participation at Project Preparatory Stage

2.1 Village selection and project information propagandizing

It is primary decided that the implementation institutes for Ningbo rural domestic wastewater treatment are Ningbo City Project Office – each Counties (districts) Sub-project Office - Village Committees. Ningbo City Project Office is consisted of relevant staff from Ningbo City Agricultural Office; each County (district) Sub-project Office consists of full-time cadres from Agricultural Office and part-time cadres from other departments, including relevant persons from the project involved townships, they will be in charge of the project implementation in the village within its township; each village committee is the main organizing and coordinating institute for the project implementation.

At the first, it is County (district) Sub-project Office to submit A List of Villages involved in the rural domestic wastewater treatment projects, then the number of the involved villages is decided in accordance with the village numbers for each stage decided by City Office and combined with the actual situation of each county (district). After A List of Villages determined, each County (district) Sub-project Office should organize the towns and villages committees at the selected village to carry out the project-related information propaganda, which must include follows:

- Main project investor
- Construction content for project
- Possible positive and negative impacts from project construction
- Work and obligations for the villagers in community
- Project-related policies and regulations

Project information can be publicized through the distribution of brochures and putting up posters as well as broadcasting by radio and propagandizing through meetings.

2.2 Selection of villages

Each County (districts) Sub-project Office should entrust Consulting Unit to carry out the relevant work for the village selection according to A List of Village Section. The Working Group consisted of relevant persons from Each County
(district) Sub-project Office and from Consulting Unit will carry out the village selection, and the villages selected into the scope of the project should meet the following requirements:

A. At least 80% of households have agreed to participate in the rural domestic wastewater treatment projects.

B. In order to ensure the sewage collection, at least 80% of residents in the coverage area agrees to have their indoor or outdoor sewage pipe to connect with network or to be under the appropriate outdoor treatment.

C. Households can afford the fair other than government subsidies for indoor pipeline transformation project.

D. Village committees has decided to take over the ownership of the rural domestic wastewater treatment system.

E. Village committee must agree to manage the rural domestic wastewater treatment systems after the property being transferred over, arrange the maintenance personnel and bear a part of operation and maintenance cost.

Villages selection should follow steps at below:

Step 1, the Working Group should hold the villagers’ committee meeting to have a preliminary understanding of their relevant wishes and attitude of on the village selection criteria. The village project should be terminated if the village cadres still oppose it in the meeting after the interpretation on related content and village selection criteria by the related persons from Sub-project Office and Consulting Unit. The work will enter into the next step if village cadres support and accept the village selection criteria or their attitude on village selection criteria not very clear.

Step 2, it is to hold the villagers’ representative meeting participated with over 25 households’ representatives to have face-to-face exchanges on their wishes and attitude and have formal discussions on the village selection criteria, and fill out the Questionnaire Form.

Step 3, after the villagers’ representative meeting, the village committee will be responsible to distribute the rest Questionnaire Form to the rest households and the handover the filled Questionnaire Form to village committee.

Step 4, Consulting Unit will take back the Questionnaire Form at the scheduled time, prepare Village Selection Report after statistics of results on the Questionnaire Form, and propose A List of Villages (whose meet standards).

Step 5, City Project Office and each County (district) Sub-project Office, in accordance with Village Selection Report, finally determines a List of Villages within the project scope after consultation, and then each County (district) Sub-project Office will informs each village.
Villagers should cooperate Consulting Unit to complete the village selection, put forward their own suggestions and comments in accordance with the project information, and fill out the Questionnaire Form.

2.3 Communication on design scheme

After the preliminary design scheme for the project completed, the Design Unit should communicate with the village committee on the related contents in design scheme, and communication must include the followings:

- Route of sewer network
- Construction effect
- The rural domestic wastewater treatment methods and technology
- Location and land occupying condition for terminal treatment facility
- Cost for operation and maintenance late on

Design Unit should carry out modification on the design scheme in accordance with agreement after negotiation by both sides.

2.4 Land acquisition and preparation of construction site

It is each County (district) Sub-project Office to be responsible for going through the related legal procedures and the application for the land acquisition, each Village Committee should make effort on related coordination work and communication with villagers, and the villagers should cooperate to sign the compensation agreement, move the crops on the ground, etc..

The steps for land acquisition and resettlement are basically as follows:

- Each County (district) Sub-project Office should, according to the details for of the scope of land requisition provide by Design Unit, organize and coordinate all units to complete the inventory survey for land acquisition. The scheme only can be decided without objection from the villagers after the survey results being publicized in the villages.

- Each County (district) Sub-project Office should organize the villagers to held the villagers’ representative meetings so as to decide the resettlement scheme, including scheme of the host area and the production resettlement.

- Each County (district) Sub-project Office should sign the compensation agreement for land acquisition with the affected persons after agricultural land changing to non-agricultural construction land, and pay compensation costs in accordance with the requirements in the agreement.

- The affected persons and owners in communities should, accordance with the resettlement and compensation requirements in the agreement, complete the construction of new houses or the removal of old ones, and moving of the ground attachments.
Each County (district) Sub-project Office should go through the procedures for the land supply and obtain the land for construction.
Chapter 3 Community Participation at Project Implementation Stage

3.1 Determination of the indoor pipe transformation scheme

Before construction of sewage pipeline and terminals treatment facilities, each County (district) Sub-project Office should organize each villager committee to put the transformation construction scheme of indoor pipeline into effect, the Government should pay the subsidy for transformation of indoor pipeline. No construction for sewage pipe network and terminal facilities should be carried out for villages without the transformation construction scheme made for indoor pipeline. The transformation scheme for indoor pipeline should be carried out according within the following steps:

- Each County (district) Sub-project Office should coordinate the village committee to notice the subsidy standards for all types of indoor pipes and transformation technical requirements submitted by Design Unit by ways of holding the villagers’ representative meeting, publicity, etc..

- The villagers would, according to the subsidy standards for all types of indoor pipes and transformation technical requirements, determine to have the self-transformation or entrust the Village Committee to have a unified construction. The villagers with self-transformation should bear the excess cost other than the government subsidies for the transformation, otherwise the village committee will bear the excess cost other than the government subsidies for villagers to have a unified construction.

- After the transformation way for the indoor pipeline determined, the Village Committee will sign agreement with the heads of households for those selecting self-transformation if the Village Committee confirms that the household has got the construction unit. The village committee will set down the construction unit and sign Letter of Intent for those to entrust the village committee to have the unified construction.

- Village Committee will submit A List of Villagers with Self-transformation and Unified Construction (with signature of household heads) and Letter of Intent signed by the Construction Unit to County (district) Sub-project Office for approval and the record.

The indoor pipeline project should be passed inspection of each County (district) Sub-project Office together with Project Supervisory Unit, and subsidy for the transformation pipeline will only be paid to the households when the project is qualified and accepted.
3.2 Publicity of construction information

The construction for the sewage pipe network and treatment facilities can be only carried out when the transformation scheme for indoor pipes is set down. Before the Construction Unit into the site, it should make publicity for the construction-related information three days before. The information publicity can be ways of putting up notices in public places or broadcasting by radio as well as unified publicity through holding the villagers’ representative meeting according to the needs of the villagers. The public information for construction must include the follows:

- Time and progress of the construction plan
- Distribution of construction site (drawings)
- Main impact of the construction
- Attention to security should be paid by villagers.
- Linkmen of construction unit

3.3 Paid services provided by the villagers during the construction period

During the project construction, the villagers have the right to provide their services and contract a part of works (pipeline) in the precondition of their construction quality meeting project requirements, the requirements of Project Contractors, and the related requirements of Construction Unit after consulting with the Contractor.

The villagers should, in accordance with published contents and notice, get the necessary preparation ready in advance, cooperate with the construction unit to carry out the construction, and shall not be unreasonably impede or affect the construction. The paid-service villagers should be subordinated to the management of Construction Unit, and the complete the related work according requirements.

3.4 Training of villagers during trial operation of system

After the completion of the rural domestic wastewater treatment system, the Contractor should be responsible for 18-month trial operation. During the trial operation period, the Villagers’ Committee should determine the future operation and management personnel in the relevant field, the Contractor should be responsible for the professional training and ensure that they can master the relevant technology and carry out formal operation and maintenance after the trial operation. The operation and maintenance work under responsibility of villagers would include the follows:

- Routine inspection to check whether the network is blocked, the equipment alarm system is in the unusual circumstances, etc..
- Carry out the simple cleaning and dredging if the pipe network blocks.
- Harvest and cultivate the seasonal crops on wetlands.
Chapter 4  Community Participation at Project Operation and Management Stage

4.1 The transferring of property right for the rural domestic wastewater treatment system

Villagers’ Committee will sign the agreement for the transferring of property right for the rural domestic wastewater treatment system with County (district) Sub-project Office, take over the property right for the rural domestic wastewater treatment system after 18-method trial operation, take responsible for maintenance of overall the rural domestic wastewater treatment system and participate in the operation and maintenance work.

4.2 Operation, maintenance and management for the rural domestic wastewater treatment system

It is the Operation and Maintenance Company to take responsible for the routine operation, maintenance and repairing for the rural domestic wastewater treatment system. Each Village Committee should, according to the participator number and training contents decided in the trial operation period, participate the management in the routine operation and maintenance, and the payment for the participating villagers should be from the village collective fund.

County (district) Sub-project Office should help Village Committee to choose the special Operation and Maintenance Company, Village Committee will entrust and sign Entrustment Contract with special Operation and Maintenance Company. The contract cost should be from finance of each County (district) and township government.

4.3 Supervision and inspection on operation and management

County (district) Sub-project office should carry out regular inspection and supervision on the operation and maintenance for the rural domestic wastewater treatment system, should sent out the related persons to carry out the inspection on the operation and maintenance condition of the rural domestic wastewater treatment system for once a half year, and urge the village to correct the problem discovered in time.

The suggestion is as that County (district) Government and relevant department should check and assess the working achievement of each village by taking
consideration of the operation maintenance condition of each rural domestic wastewater treatment system.

Chapter 5  Community Participation at Others

5.1  Training by Project Office

Ningbo Project Office should organize each Counties (district) Sub-project Office to carry out the training for the project management, the training should be carried out before the project implementation stage, and it should ensure that all County (district) Sub-project Offices should participate in training more than once. The training contents must include the follows:

- The rural domestic wastewater treatment methods and technology adopted
- Project capital program
- Fund management
- Staffing and task

5.2  Grievance and appeal of villagers

Any villager can state his/her grievance and appeal to the Village Committee for getting related project information or for putting forward his/her comment and suggestion, the Village Committee will make decision on or resolve it in two weeks. If the aggrieved villager is still doubtful with the decision, he/she can appeal to the County (district) Sub-project Office after receiving the decision, County (district) Sub-project Office will reach a decision in two weeks. If the aggrieved villager is still doubtful with the decision, he/she can appeal to Ningbo Project Office after receiving the decision, Ningbo Project Office Office will reach a decision in two weeks. If the aggrieved villager is still doubtful with the decision, he/she can appeal to the civil division of a people’s court according to the civil procedural law after receiving the decision.
## Attachment 1: Basic Framework for Community Participation at Various Stages

<table>
<thead>
<tr>
<th>Project stage</th>
<th>Working contents</th>
<th>Action and function of community</th>
<th>Action and function of government and related department</th>
<th>Action and function of Consulting Unit, Contractor, and Operation Com.</th>
<th>Actual effect</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation stage</td>
<td>To decide A List of Implementing Villages, make out design scheme, and get ready for preparation of construction site.</td>
<td>Community should cooperate Consulting Unit to complete the village selection, put forward their suggestions and comments in accordance with the project information, and cooperate each County (district), Sub-project Office, township and village to complete the land acquisition and relocation.</td>
<td>It is to decide A List of Selected Villages and carry out the publicity, at the same time, entrust Consulting Unit to carry out the village selection, and decide A List of Project Effected Village in accordance with the results of the village selection and after consulting with Ningbo City Project Office.</td>
<td>Consulting Unit should carry out the village selection and submit a Village Selection Report, communicate with the village committees on the results of the preliminary design and make modification.</td>
<td>It is to get the really needs and views of community, help the community understand the significance and role of the project, and improve the project design.</td>
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<tr>
<td>Implementation stage</td>
<td>Project construction</td>
<td>Under the assistance of County (district) Sub-Project Office, to prepare the indoor pipeline transformation scheme, organize the implementation of indoor transformation pipeline scheme approved by County (district) Sub-Project Office and determine the management personnel for the system operation, and complete the training of contractor, and master the relevant technology.</td>
<td>To organize each village to prepare the indoor pipeline-building scheme of villagers and the construction of sewage pipelines and terminals treatment facilities after scheme approved.</td>
<td>Contractors should notice the community the relevant construction information in various ways in ahead, and carry out the training of related community personnel for the operation management within 18-months trial operation of the rural domestic wastewater treatment system after it being accepted.</td>
<td>It is to ensure that the project can be constructed with high quality and put into operation fast and effective, and the project can play an effective function.</td>
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<tr>
<td>Operation and management stage</td>
<td>Project operation and management</td>
<td>Community should participate in the operation and maintenance of the rural domestic wastewater treatment system after its persons being trained, and cooperate Operation and Maintenance Company to carry out related work well.</td>
<td>It is to transfer the project ownership, help each village to determine the Operation and Maintenance Company for the rural domestic wastewater treatment system, and be responsible for supervision and inspection on the regular operation of the project.</td>
<td>Operation and Maintenance Company for the rural domestic wastewater treatment system should, in accordance with the requirements, complete the operation and maintenance for the rural domestic wastewater treatment system.</td>
<td>It is to ensure that the project can be under smooth and sustainable effective operation, and the project can play an effective function.</td>
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<tr>
<th>Role and function</th>
<th>Decision executor</th>
<th>Guarantor</th>
<th>Supporter</th>
<th>Unification role</th>
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