PARTICIPATORY PLANNING GUIDELINES FOR WATER SERVICES PROJECTS IN JIANGSU, CHINA
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<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>WB</td>
<td>World Bank</td>
</tr>
<tr>
<td>PP</td>
<td>Participatory Planning</td>
</tr>
<tr>
<td>TWIP</td>
<td>Township Water Aggregation and Improvement Project</td>
</tr>
<tr>
<td>USAID</td>
<td>United States Agency for International Development</td>
</tr>
<tr>
<td>ECO-Asia</td>
<td>Environmental Cooperation-Asia</td>
</tr>
<tr>
<td>WATSAN</td>
<td>Water and Sanitation</td>
</tr>
<tr>
<td>ADB</td>
<td>Asian Development Bank</td>
</tr>
<tr>
<td>SDI</td>
<td>Social Development Institute of Hohai University</td>
</tr>
<tr>
<td>PMO</td>
<td>Project Management Office of the World Bank</td>
</tr>
<tr>
<td>RRA</td>
<td>Rapid Rural Appraisal</td>
</tr>
<tr>
<td>PM&amp;E</td>
<td>Participatory Monitoring and Evaluation</td>
</tr>
<tr>
<td>WSC</td>
<td>Water Supply Company</td>
</tr>
<tr>
<td>WUA</td>
<td>Water Users Association</td>
</tr>
</tbody>
</table>
ACKNOWLEDGMENTS

These Participatory Planning Guidelines for Water Services Projects in Jiangsu, China (the guidelines) have been developed for use in the planning and design of China’s township water supply infrastructure investments. The guidelines introduce the concept of ‘Participatory Planning’ (PP) and appropriate tools and techniques to be used by relevant water supply project planning authorities in China. These guidelines are based on international best practices as well as China’s social and economic development realities.

These guidelines were developed and tested by the Social Development Institute (SDI) of Hohai University as part of the World Bank Loan Jiangsu Province Regional Water Supply Project. The United States Agency for International Development (USAID), through its Environmental Cooperation-Asia (ECO-Asia) China Water and Sanitation Project, guided and funded the development of the guidelines.

Hohai’s research team was led by Professor Shi Guoqing, Director of SDI, in cooperation with Dr. Zhou Jian and Dr. Shang Kai. Cao Wei, Zhang Rong, Yan Dengcai and Yi Qingshan from SDI took part in the on-site survey work in Yancheng Municipality.

Hohai University is grateful for the generous on-site support provided by Mr. Yang Bingshou and Mr. Dong Weigang of the Project Management Office (PMO) in the Jiangsu Province Construction Department, and Mr. Li Jincheng of Yancheng Regional Water Supply Loan Project PMO. The team would also like to acknowledge the valuable contributions of Ms. Mara Warwick, Senior Urban Environment Expert of the World Bank Urban Development Department, Mr. Fan Mingyuan, Senior Environment Engineering Expert of the World Bank Urban Development Department, Ms. Rose Lang, ECO-Asia National Project Manager, Mr. Zhao Lijian, Program Officer at The Asia Foundation, Mr. Niels van Dijk and Mr. Paul Violette from ECO-Asia, and Mr. Douglas Sarno from The Perspectives Group.
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INTRODUCTION

1.1 Purpose of the Guidelines

In an effort to promote public participation in and good governance of water services infrastructure development in China, the Environmental Cooperation-Asia (ECO-Asia) China Water and Sanitation Project, funded by the U.S. Agency for International Development (USAID), commissioned Hohai University in Nanjing, China, to develop participatory planning guidelines. By introducing the concept of ‘Participatory Planning’ (PP) and demonstrating relevant tools and techniques to the Township Water Infrastructure Project (TWIP), these guidelines aims to empower all stakeholders involved in the project and enable them to participate in the entire project process, from design to implementation, in order to ensure that TWIP will not only be technically feasible and financially viable, but also socially acceptable and bring benefits to local communities. These guidelines are based on the lessons learned from the Township Water Aggregation Project in Long’gang Township, in Yancheng Municipality of Jiangsu Province, financed by a small component of a World Bank (WB) loan to Jiangsu Province on water supply and wastewater treatment system expansion.

Existing water supply infrastructure in peri-urban and rural areas in China is in great need of rehabilitation and many of these systems are at the township level. Although these guidelines are designed for TWIP, they can also be used for general urban water supply infrastructure projects. These guidelines provide the following details:

- **Introduction**: purpose of the guidelines, content of participatory planning for TWIP and who should read this guideline.
- **TWIP Participatory Planning Framework**: the participatory planning framework for TWIP, stakeholder identification, participatory planning process for all stakeholders, participatory planning principles and techniques, and implementing institutions.
- **TWIP Participatory Planning Operation Procedures**: the objectives, tasks, standard procedures and tips for each step of participatory planning for TWIP.
- **Appendixes for TWIP Participatory Planning**: participatory planning toolkits, survey forms, questionnaires and interview outlines necessary for participatory planning for TWIP.

1.2 Content of Participatory Planning

1.2.1 Background of Participatory Planning

Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process. Public participation in infrastructure and other development projects has proven useful for decision makers in that it allows them to take into account diverse stakeholder concerns and aspirations to ensure a more demand-driven project design and therefore enhance the good governance of the projects. Public participation in development projects is now frequently required by many development organizations, such as the World Bank, Asian Development Bank, and United Nations agencies. Public participation can happen in various stages of a project, from project planning, to construction, to operation. Public participation in the planning stage of a project is called participatory planning, while public participation in construction and operation stages is called participatory monitoring.
In China, participatory monitoring has been promoted by several international development organizations, including the World Bank. Such organizations also recognize how some participatory monitoring practices, such as resolving problems and developing mitigation measures during project implementation, can be difficult if there is not also participation by stakeholders during the planning process. In a recently published final report on PP for the Chongqing Small Cities Infrastructure Improvement Project and the Shenyang Medium Cities Infrastructure and Transportation Project, World Bank observers concluded that “many problems would likely have been prevented through adequate public participation and consultation in the early stages of the project.” It is therefore important to promote participatory planning at all stages of development projects to help foster strong relationships and understanding of the project among stakeholders.

1.2.2 Concept of Participatory Planning for Water Supply Projects
Stakeholders are individuals or organizations whose interests may be positively or negatively affected as a result of project execution or project completion. During the planning process of water supply infrastructure projects, water users have the right to know, monitor and participate in decision-making on key aspects of the projects. Informed by outside experts (such as project managers and technicians), all interested stakeholders should be empowered to effectively participate in the planning process of the water supply projects. Participatory planning for TWIP will occur at the project identification and preparation stage, decision-making stage, and preliminary project design stage.

1.2.3 Benefits of Participatory Planning
Participatory planning for water supply can enable the government agencies responsible for water supply planning to understand the customers’ real needs and willingness to participate. This provides a sound bottom-up feedback system for the planning process. Participatory planning requires project proponents to provide information about the project to all the stakeholders making the process open and transparent. Participatory planning also requires project proponents to provide opportunities for all the stakeholders to express their concerns and opinions, and make sure that they are taken into fair consideration. Participatory planning can help the participating stakeholders hold public authorities accountable for implementation, and therefore enhance the accountability of the project. Last, but not least, participatory planning can be helpful in identifying and resolving problems in the early stages of project development, thereby enabling more smooth construction and operation of the project.

1.3 Who Should Read these Guidelines?
These guidelines were originally designed to assist the Chinese government’s project management office (PMO) under the World Bank Jiangsu water infrastructure loan project in implementing public participation in the TWIP planning process. However, it can also be used by PMOs of other TWIP projects financed by outside development organizations, or by the government’s own funding. For a TWIP project funded by the government itself, the project management team within the government may not be called PMO, but will function similarly to a PMO, and its staff are the primary target readers of these guidelines. The guidelines can also be referenced by various stakeholders of a water supply infrastructure project to improve their level of participation in project planning.

---

2 Participatory Planning Framework for TWIP

2.1 Outline of Participatory Planning Stages for TWIP

For TWIP, the first three stages – identification, project planning, and project design – are the most important for achieving an adequate level of public participation. In each of the three project stages, there are two or three steps for ensuring sound participatory planning, shown in Table 2-1.

Table 2-1 Project Stages and Activities for Participatory Planning

<table>
<thead>
<tr>
<th>Project Stage</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification</td>
<td>Assess current conditions and conduct stakeholder assessment</td>
</tr>
<tr>
<td></td>
<td>Analyze problems and identify solutions</td>
</tr>
<tr>
<td>Planning</td>
<td>Inform communities about preliminary plans</td>
</tr>
<tr>
<td></td>
<td>Present and discuss solutions</td>
</tr>
<tr>
<td>Design</td>
<td>Discuss design for trunk infrastructure</td>
</tr>
<tr>
<td></td>
<td>Discuss design for distribution infrastructure</td>
</tr>
<tr>
<td></td>
<td>Discuss costs and future management mechanisms</td>
</tr>
</tbody>
</table>

2.2 Determine Level of Public Participation

In participatory planning, there are five general levels of public involvement, which range from simply providing the public with information to empowering communities to make their own decisions. Too little participation and too much participation can each create challenges for participatory planning; therefore, it is important to select an appropriate level of participation in each participatory planning activity. Different levels of public participation are shown in Table 2-2.

Table 2-2 Levels of Public Participation

<table>
<thead>
<tr>
<th>Inform</th>
<th>Consult</th>
<th>Involve</th>
<th>Collaborate</th>
<th>Empower</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why each level would be implemented:</td>
<td>To provide the public with balanced and objective information; to assist them in understanding the problem, alternatives, opportunities and/or solutions</td>
<td>To obtain public feedback on analysis, alternatives and/or solutions</td>
<td>To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered</td>
<td>To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution</td>
</tr>
<tr>
<td>The message this level sends to the public</td>
<td>We will keep you informed.</td>
<td>We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.</td>
<td>We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.</td>
<td>We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.</td>
</tr>
</tbody>
</table>

Source: International Association for Public Participation.
Based on the definitions of different levels of public participation, and the public participation needs of each participatory planning activity, a level of participation is determined for each participatory planning activity. Table 2-3 shows the level of public participation in participatory planning activities that may be most appropriate at different project stages.

<table>
<thead>
<tr>
<th>Project Stage</th>
<th>Activities</th>
<th>PP Goals</th>
<th>Level of Public Participation</th>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification</td>
<td>Assess current conditions</td>
<td>Find out the needs of TWIP through a stakeholder analysis</td>
<td>Collect information</td>
<td>Township Government</td>
</tr>
<tr>
<td></td>
<td>Analyze problem and identify potential solutions</td>
<td>Identify the issues and concerns of water users</td>
<td>Consult</td>
<td>Township &amp; Municipal Governments</td>
</tr>
<tr>
<td>Planning</td>
<td>Inform communities about preliminary plans</td>
<td>Get feedback from stakeholders</td>
<td>Inform</td>
<td>PMO</td>
</tr>
<tr>
<td></td>
<td>Present and discuss solutions</td>
<td>Include stakeholder concerns and suggestions</td>
<td>Involve</td>
<td>PMO</td>
</tr>
<tr>
<td>Design</td>
<td>Discuss design for trunk infrastructure</td>
<td>Include stakeholder concerns and suggestions in trunk infrastructure design</td>
<td>Consult</td>
<td>PMO</td>
</tr>
<tr>
<td></td>
<td>Discuss design for distribution infrastructure</td>
<td>Incorporate concerns of water users in distribution network design</td>
<td>Involve</td>
<td>PMO</td>
</tr>
<tr>
<td></td>
<td>Discuss costs and future management mechanisms</td>
<td>Build consensus among community members</td>
<td>Collaborate</td>
<td>PMO &amp; Municipal Government</td>
</tr>
</tbody>
</table>

2.3 Selection of Participatory Planning Tools and Techniques

There are various tools and techniques for achieving a high level of participation in infrastructure planning, including the use of stakeholder assessments, awareness campaigns, publications, surveys, focus group discussions, public meetings, workshops, citizen advisory committees, consensus building meetings, etc. The tools and techniques used in each stage of participatory planning can be found in Table 2-4. (A more detailed introduction can be found in Table 2-8).

<table>
<thead>
<tr>
<th>Project Stage</th>
<th>Activity</th>
<th>Tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification</td>
<td>Assess current conditions</td>
<td>Baseline survey, questionnaires</td>
</tr>
<tr>
<td></td>
<td>Analyze problem and identify solutions</td>
<td>Problem tree, brainstorm, stakeholder assessment, individual interviews, Focus Group Discussions (FGD)</td>
</tr>
<tr>
<td>Planning</td>
<td>Inform communities of preliminary plans</td>
<td>Awareness campaigns, publications</td>
</tr>
<tr>
<td></td>
<td>Present and discuss solutions</td>
<td>Stakeholder sessions</td>
</tr>
<tr>
<td>Design</td>
<td>Discuss design alternatives for trunk infrastructure</td>
<td>Publications, FGD</td>
</tr>
<tr>
<td></td>
<td>Discuss design alternatives for distribution infrastructure</td>
<td>Publications, FGD</td>
</tr>
<tr>
<td></td>
<td>Discuss costs and future management mechanisms</td>
<td>Stakeholder sessions</td>
</tr>
</tbody>
</table>
2.4 Identify Stakeholders

Stakeholders are individuals or organizations whose interests may be positively or negatively affected as a result of project execution or project completion. Stakeholders can be identified through exercises like listing all the parties that are likely to be affected by the development, both positively or negatively, directly or indirectly. A snowball methodology can also be used to use discussions with stakeholders to help identify other potential stakeholders. For TWIP, the major stakeholders normally include: water users (including urban users, rural users, agricultural users, and commercial and industrial users.), township water supply companies, township government, municipal government, and municipal water supply companies. The sample stakeholder assessment matrix from Long’gang is presented in Table 2-5. This sort of table should be completed for each project based on actual feedback from stakeholders. Proponents should not guess what stakeholder concerns may be, but find out directly from them.

**Table 2-5** A Sample Stakeholder Assessment Matrix from Long’gang

<table>
<thead>
<tr>
<th>No</th>
<th>Stakeholders</th>
<th>Potential Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Urban Users</td>
<td>• Safer water&lt;br&gt;• Higher water pressure&lt;br&gt;• No limit on water use</td>
</tr>
<tr>
<td>2</td>
<td>Rural Users</td>
<td>• Safer water&lt;br&gt;• Higher water pressure&lt;br&gt;• No limit on water use&lt;br&gt;• Access to running water for all households&lt;br&gt;• Convenient payment</td>
</tr>
<tr>
<td>3</td>
<td>Agriculture users</td>
<td>• Safer water&lt;br&gt;• No limit on water use&lt;br&gt;• More adequate water supply&lt;br&gt;• Higher water pressure</td>
</tr>
<tr>
<td>4</td>
<td>Enterprises</td>
<td>• Safeguard for water quantity, quality, pressure</td>
</tr>
<tr>
<td>5</td>
<td>Township Water Plants</td>
<td>• Reduce water leakage and loss during distribution&lt;br&gt;• Integrate township water plants&lt;br&gt;• More water users and more income</td>
</tr>
<tr>
<td>6</td>
<td>Staff of Township Water Plants</td>
<td>• Less network maintenance will be needed&lt;br&gt;• Convenient payment</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Potential Challenges</th>
<th>Main Concern</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Funds apportion</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Higher price</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Fees for replacement of water gauges</td>
<td></td>
</tr>
<tr>
<td>• Bad taste</td>
<td>• Funds apportion</td>
</tr>
<tr>
<td>• Permanent land acquisition</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Higher price</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Bad taste</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Higher water price and cost</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Groundwater exploitation restricted</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Cost apportion</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Restrict using groundwater</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Cost will be increased</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Fund apportion</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Abandon original water network</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Shut down wells</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Loss of private property</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Relationship with municipal water plants</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Less business and less income source</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Unemployment</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>• Higher technical requirements/ need training</td>
<td>• Billing per ton</td>
</tr>
<tr>
<td>No</td>
<td>Stakeholders</td>
</tr>
<tr>
<td>----</td>
<td>--------------------------------------</td>
</tr>
</tbody>
</table>
| 7  | Municipal Water Works                | • More users and business expansion  
• Expansion of public welfare  
• Township water plant can serve as operation model | • Invested fund apportion  
• Re-payment of loan                                                                 |                                                        |
| 8  | Government of County or District Level | • Resolve water supply problems for townships, especially for those drinking unsafe water  
• Improve the livelihood of residents | • Raise the necessary funds  
• Invested fund apportion  
• Preserve and increase the value of state-owned investment  
• Township water plant relocation |                                                        |
| 9  | Township Government                  | • Integrate water supply for the entire township  
• Safeguard water supply  
• Increase water supply capacity and advance development of water resources  
• Drive local investment and real estate development | • Investment cost apportion and fund raising channels  
• Integrated water plant operations and management  
• Maintenance water supply network  
• Protect private property and assets  
• Deal with contradiction during the process of construction |                                                        |

Once identified, the interest and influence of stakeholders in the planning process can be assessed, and relevant participation strategies can be developed, as shown in Figure 2-1 below.

![Figure 2-1](Methods to Assess Stakeholders’ Interest in and Influence on a Project)
2.5 Stakeholder Participation in Each Project Stage

Currently, this participatory planning initiative is being funded through a grant by USAID’s ECO-Asia program. In the future, however, the program hopes that the World Bank, other development organizations, and/or Chinese government agencies and their affiliated PMOs will allocate the necessary funds for participatory planning activities. Not every stakeholder will be involved in every step of the participatory planning process. Please see Table 2-6 for details of likely participation by different stakeholders in different project steps.

Table 2-6 Stakeholder Participation in Each Activity of the Participatory Planning Process

<table>
<thead>
<tr>
<th>Project Stage</th>
<th>Activity</th>
<th>Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Water users</td>
<td>Township WSC</td>
</tr>
<tr>
<td>Identification</td>
<td>Assess current conditions</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Analyze problem and identify solution</td>
<td>X</td>
</tr>
<tr>
<td>Planning</td>
<td>Inform communities about preliminary plans</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Present and discuss solutions</td>
<td>X</td>
</tr>
<tr>
<td>Design</td>
<td>Discuss design alternatives for trunk infrastructure</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Discuss design alternatives for distribution infrastructure</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Discuss costs and future management mechanisms</td>
<td>X</td>
</tr>
</tbody>
</table>

Note: in the table above, X means that the stakeholder participates in the activity

2.6 Core Principles for Participatory Planning

It is necessary to follow a set of core principles for participatory planning to help guide participation activities. Some key examples are shown in Table 2-7 and more can be added depending on the specific needs and circumstances of each project. It is important for each proponent to articulate the principles that will guide their participation process and work to have all individuals who are in contact with stakeholders understand and follow these principles.

Table 2-7 Core Principles of Participatory Planning

<table>
<thead>
<tr>
<th>Principle</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Make use of collective wisdom and efforts</td>
<td>Different stakeholders, especially users, have their own knowledge about water supply, and it is important to create opportunities to access this knowledge and encourage them to contribute to solving water supply problems by using their own knowledge.</td>
</tr>
<tr>
<td>Build better capacity for public participation among stakeholders</td>
<td>Township water supply projects are vital for those water users in the project area. In order to take advantage of stakeholder input, it is necessary to build up water users’ confidence so that they can participate and be heard. Improving their knowledge of the project will also allow them to take part in the entire process.</td>
</tr>
<tr>
<td>Start early</td>
<td>It is important to engage stakeholders and begin building relationships before decisions are made.</td>
</tr>
<tr>
<td>Integrate public participation into the project cycle</td>
<td>Township water supply projects involve many stakeholders. It is therefore necessary to design an action plan and carry out participatory planning activities in an organized manner that is based on a timely schedule to ensure that all stakeholders can participate in the process.</td>
</tr>
<tr>
<td>Ask appropriate questions</td>
<td>Stakeholder input is not appropriate in all aspects of decision making. Define the areas where the public can provide meaningful input and appropriately influence the decision.</td>
</tr>
<tr>
<td>Provide feedback</td>
<td>Let stakeholders know how their input was used and how it helped to shape the decisions and actions.</td>
</tr>
</tbody>
</table>
### 2.7 Participatory Planning Framework

A participatory planning framework summarizing the above sections can be found in Table 2-8 below.

<table>
<thead>
<tr>
<th>Project stage</th>
<th>What to do</th>
<th>Level of Public Participation</th>
<th>Tools</th>
<th>Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Water users</td>
</tr>
<tr>
<td>Identification</td>
<td>Assess current conditions</td>
<td>Collect information</td>
<td>Baseline survey, Questionnaires</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Analyze problem and identify solutions</td>
<td>Collect information</td>
<td>Problem tree, Brainstorm, stakeholder assessment</td>
<td>X</td>
</tr>
<tr>
<td>Planning</td>
<td>Inform community about preliminary plans</td>
<td>Inform</td>
<td>Awareness campaign, publications, Individual interviews, FGD</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Present and discuss solutions</td>
<td>Involve</td>
<td>Stakeholders sessions</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>Discuss design alternatives for trunk</td>
<td>Consult</td>
<td>Publications, FGD</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>infrastructure</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Discuss design alternatives for distribution</td>
<td>Involve</td>
<td>Publications, FGD</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>infrastructure</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Discuss cost and future management mechanisms</td>
<td>Collaborate</td>
<td>Stakeholders sessions</td>
<td>X</td>
</tr>
</tbody>
</table>

Table 2-8 Participatory Planning Framework for TWIP
3 PARTICIPATORY PLANNING OPERATION PROCEDURES FOR TWIP

This section aims to provide a set of operation and implementation procedures for TWIP participatory planning, including objectives, operation steps, and tips for each step. Details on how to build a feasible and sustainable water supply system for TWIP, through the use of participatory planning, are discussed in the following chapters.
3.1 Public Participation in the Project Identification Stage (Stage 1)

In the project identification stage, the role of the public is mainly to provide information to government institutions in order for them to design a realistic project plan based on the public’s most pressing water supply problems.

**Activity 1 Assess Current Conditions**

**Purpose of activity:** Document the existing conditions of the township’s water supply system, including source water, treatment and distribution.

**Public participation goals:** Identify key stakeholders, and their concerns and needs.

**Performed by:** Township government or institutions commissioned by municipal government

**Steps for Activity 1:**

1. **Identify Project Areas and Stakeholders**
   - Purpose of activity: Identify the full range of stakeholder interests that should be involved in the project, and locate individuals and groups that represent those interests.
   - Public participation goals: Identify key stakeholders, and their concerns and needs.
   - Performed by: Township government or institutions commissioned by municipal government.

2. **Establish Baseline Survey Team**
   - The team should include social experts and local experts who understand local stakeholders.

3. **Carry Out Baseline Survey**
   - Develop survey that includes questions about the status of current township water treatment plants and distribution systems.

4. **Analyze Baseline Survey**
   - Synthesize information for all interviewers and record findings. Develop a list of conclusions from the data gathered in preparation for the stakeholder assessment.

**Figure 3-1 Operation Steps for Current Conditions Assessment**

<table>
<thead>
<tr>
<th>Activity 1 Steps</th>
<th>Public Participation Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify project areas and stakeholders</td>
<td>Identify the full range of stakeholder interests that should be involved in the project, and locate individuals and groups that represent those interests.</td>
</tr>
<tr>
<td>Establish baseline survey team</td>
<td>The team should include social experts and local experts who understand local stakeholders.</td>
</tr>
<tr>
<td>Carry out baseline survey</td>
<td>Develop survey that includes questions about the status of current township water treatment plants and distribution systems.</td>
</tr>
<tr>
<td>Analyze baseline survey</td>
<td>Synthesize information for all interviewers and record findings. Develop a list of conclusions from the data gathered in preparation for the stakeholder assessment.</td>
</tr>
</tbody>
</table>

**Tips:**

A. As township water supply is a complex challenge, a multi-disciplinary baseline survey team including technicians and social experts would be very useful;

B. Conducting desktop research before the actual survey will save time and help to set priorities for the baseline survey;

C. Identify a wide range of stakeholders to ensure that you hear the full range of issues and perspectives;

D. Conduct the surveys in a short time-frame and collect information on key indicators. (see Annex 2 for example indicators)
Activity 2 Problem Analysis and Identification of Potential Solutions

Purpose of activity: Analyze reasons causing water supply problems, identify possible solutions and obtain stakeholder input to use in analysis of best approach.

Public participation goals: Obtain stakeholder input regarding issues, concerns and ideas on potential solutions.

Performed by: Township government and municipal government.

Steps for Activity 1:

Water supply problems not only refer to the physical situation identified in activity 1, but also include concerns or issues of stakeholders which are important for TWIP implementation, such as existing water users’ willingness and ability to pay for improved services, or ability of new customers to physically and financially connect to a new distribution network. The process begins with a comparison of the different challenges being faced by the community, leading to the prioritization of the most important two or three issues. Some problems might be more important for certain groups than others, and this should be documented throughout the activity. The final step is to engage the group through brainstorming potential solutions to the priority water supply challenges. The conclusions of this meeting form the stakeholder assessment, or a document that outlines the proceedings of the discussion.

The steps of the circle diagram can start over again at this point, using the solutions identified in the brainstorming process. A comparison of different solutions and prioritization of them can follow and allow for very productive discussion among different participants. Different solutions should be based on a cost-benefit analysis, technical feasibility, and within the context of stakeholder input. The goal of the exercise is to come up with the most reasonable project plan that can be utilized as a proposal for change in the existing water supply system.

Tips:

A. Stakeholder concerns and issues can be obtained through interviews and stakeholder consultations and workshops and meetings; refer to ANNEX 4.

B. Brainstorming on potential solution steps should include multi-disciplinary participants from government, water operators, customers, and engineers, among others.

C. Keep records of all the solutions not included in the project plan in order to have backup solutions in case the final proposal is not successful.

D. If there are not a sufficient number of stakeholders to conduct the session, or if certain groups are not present, the snowball methodology can be used to identify more groups.
3.2 Public Participation in the Project Planning Stage (Stage 2)

After the project plan has been developed, a series of public consultations should be held to create a full project proposal including preliminary design and environmental impact assessment documents.

Activity 3 Inform Community about Preliminary Plans

**Purpose of activity:** Publicize the initial plan for TWIP to all stakeholders.

**Public participation goals:** Inform stakeholders about plans.

**Tasks Performed by:** PMO, or project management team.

**Steps for Activity 3:**

1. Summarize the project plan and select key information to be publicized; key information includes that which is most important for stakeholders to understand about the project's objectives, benefits and costs.
2. Develop publication materials, such as posters, brochures, and ads.
3. Develop organizational channels, such as village government, for disseminating information.
4. Publicize project information through different channels including village loudspeakers, local newspapers, TV programs, posters in public spaces, and information cards for each household.

**Tips:**

A. Use simple language in the publication materials so that the stakeholders can easily understand the information; use pictures and diagrams if necessary.
B. Select appropriate media channels for distributing project information; ones that could be easily accessed by residents.
C. To reach all members of a household, it is most effective to directly distribute information through leaflets to each house.
D. In rural areas, publicize information in places with high visibility, such as markets and schools.
E. Pay attention to local culture and customs and incorporate elements of these into your message.
Activity 4 Present and Discuss Solutions

Purpose of project stage: Develop a feasible and sustainable project proposal

Public participation goals: Receive stakeholder input and consider stakeholder concerns and suggestions in making decisions, through holding stakeholder sessions

Performed by: PMO or outside organizations commissioned by PMO

Steps for Activity 4:

1) Contact community or village leaders and express the purpose of the stakeholders’ sessions and seek their support.

2) Organize a stakeholders meeting in village or community to discuss the major solutions and solicit feedback to the solutions.

3) Organize the representatives of various stakeholders to participate in the meeting arranged by the township government and discuss the following:
   • Potential financing sources, and the possibility of financial contribution from the local communities/villages;
   • Positive/negative impacts of each major solution, and measures to minimize negative impacts;
   • Existing conditions of township water plants, deployment of original assets, and plans for employees of former water plants.

4) Finalize the final project proposal to reflect the concerns and suggestions of the stakeholders.

Tips:

A. Create opportunities for each stakeholder representative to express their views and for stakeholders to discuss possible approaches as a community to identify areas of common ground.

B. Ensure stakeholders have information to understand the possible solutions, costs, and impacts.

C. Do not jump to conclusions during stakeholder meetings.

D. Have separate male and female discussion groups in rural villages since women often don’t speak up in meetings when their husbands are present.
3.3 Public Participation in the Project Design Stage (Stage 3)

After the project obtains approval and has secured financial resources, the project design still needs to undergo a detailed design and may be refined or changed (to some extent) before construction. It is also very important to have public participation in this stage so that the detailed design reflects stakeholders’ needs and concerns. This Stage 3 gives stakeholders the opportunity to discuss their thoughts on the design and to put forth alternative options for design of each system component, if necessary.

Activity 5 Discuss Design for Trunk Infrastructure

**Purpose of activity:** Ensure a properly designed, acceptable option for the system’s trunk infrastructure.

**Public participation goals:** Identify and consider stakeholder concerns and suggestions in trunk infrastructure design.

**Performed by:** PMO or outside organizations or design institute required by PMO.

**Steps for Activity 5:**

1) Convene stakeholder representatives from each local community or village, present the design of primary pipelines, and let stakeholder representatives express their views on the design.

2) Discuss any problems identified by stakeholders for the current design, and potential solutions to address the problems. Solicit potential alternative proposals and compare them to the existing proposal.

3) Design institute amends the design based on the stakeholders’ feedback.

4) Publicize the revised design to the stakeholders for a period of time, and explain the design decisions to stakeholders who had different opinions to gain their support for the project.

**Tips:**

A. Coordinate with the design institute to either provide information to them to revise the design based on stakeholders’ feedback, or ask them to attend the stakeholder consultations, if possible.

B. The design revision should reflect the interests and concerns of the majority of stakeholders, and provide mitigation measures to stakeholders negatively impacted by the design.

C. The discussions should focus on things that could be changed so that the discussions can yield meaningful results. Ask specific questions where public input is most important.
Activity 6 Discuss Design for Distribution Infrastructure

**Purpose of activity:** Ensure a properly designed, acceptable option for the system’s distribution infrastructure.

**Public participation goals:** Identify and consider stakeholder concerns and suggestions in distribution/branch pipeline design.

**Perfomed by:** PMO or outside organizations or design institute required by PMO, together with social experts.

**Steps for Activity 6:**

The steps for designing a branch pipeline network at the village level together with stakeholders can be divided into three phases, as shown in Table 3-1 below.

<table>
<thead>
<tr>
<th>Table 3-1</th>
<th>Steps for Discussing Designs for Distribution Infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase</td>
<td>Stakeholders’ Participation Content</td>
</tr>
</tbody>
</table>
| Preparation| Design institute works out the draft pipeline network at the village level  
Design institute works with social experts to translate the design into a simple format, develop simplified maps, and describe how pipeline construction will be done in the community and in households.  
Social experts interview different types of households to obtain preliminary views and identify problems |
| Community Meeting and Map Drawing Exercise | Organize community meetings and explain the preliminary design to representatives  
Facilitate the discussion by community members on the design  
Help the community members to draw a simple map of the network they would like to have |
| Design Revision | Community members draw a simple map and the design Institute revises the map, reflecting the needs of different types of water users  
Explain the new design to community members and villagers |

**Tips:**

A. Preparatory work can be conducted in more detail if time and resources allow; for example, by dividing villagers into male and female groups, dividing households by types, or running focus group discussions.

B. It is more efficient to organize the map drawing exercise and make design revisions in the same community meeting, where the design institute can make revisions during the meeting break.

C. The schedule for interviews and community meetings should avoid harvest season, and should be planned in accordance with local customs and schedules to allow participation of various types of households and social groups.
Activity 7 Discuss Costs and Future Management Mechanisms

**Purpose of activity:** Build a feasible and sustainable water supply system.

**Public participation goals:** Build consensus among community members on cost allocation and future management mechanism.

**Tasks Performed by:** PMO, or social experts commissioned by PMO.

**Steps for Activity 7:**

Steps for discussing costs and future management of the water supply system are shown in Table 3-2.

<table>
<thead>
<tr>
<th>Steps</th>
<th>Stakeholders’ Participation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Convene</td>
<td>Convene households and representatives to a community meeting</td>
</tr>
<tr>
<td>Discuss</td>
<td>Discuss financing options, especially related to household contributions. Provide detailed information on choices and responsibilities.</td>
</tr>
<tr>
<td>Organize</td>
<td>Organize villagers to discuss future operation and administrative measures, water tariff issues, etc.</td>
</tr>
<tr>
<td>Introduce</td>
<td>Introduce ideas of Water Users Association (WUA) and how it works</td>
</tr>
<tr>
<td>Encourage</td>
<td>Encourage water users to select their representatives and establish WUA for TWIP</td>
</tr>
</tbody>
</table>

**Tips:**

A. Normally in China, households need to make a contribution to the village level for pipelines and infrastructure, as well as pay for the infrastructure within their own households. Discuss both of these costs during activity 7.

B. Special attention should be paid to the challenges faced by poor households and in identifying ways to help them participate in the project.
### ANNEX 1 PARTICIPATORY PLANNING TOOLS

<table>
<thead>
<tr>
<th>Tools</th>
<th>Purpose</th>
<th>How it Works</th>
<th>Examples and Tips</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Stakeholder Assessment</strong></td>
<td>To gather essential information about:</td>
<td>Identify key stakeholders; Assess stakeholder interests and potential impact of the project; Assess stakeholder influence and importance; Outline a stakeholder participation strategy.</td>
<td>Stakeholders matrix of TWIP:</td>
</tr>
<tr>
<td></td>
<td>- who will be influenced by the project(positively and negatively);</td>
<td></td>
<td>Water users</td>
</tr>
<tr>
<td></td>
<td>- who can influence the project;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- which individuals, groups or agencies need to be involved;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- how and whose capacity needs to be built.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Awareness Campaign</strong></td>
<td>To share project information with stakeholders.</td>
<td>Select proper modes and locations for publicizing project information;</td>
<td>Please see Activity 3 on page 25.</td>
</tr>
<tr>
<td><strong>Individual Interviews</strong></td>
<td>To collect different opinions and views.</td>
<td>Work with village leaders to select typical water user group representatives; Interview according to theme and framework; Make records for further analysis; If possible, record respondent's information for follow-up survey.</td>
<td>Please refer to Annex 4.</td>
</tr>
<tr>
<td><strong>Questionnaires</strong></td>
<td>To identify water supply problems and the willingness of water users to pay for improved services. This is a tool to document interviews of key stakeholders.</td>
<td>Identify project area of TWIP and determine the survey samples; Establish baseline survey team and carry out necessary training for its members; Baseline survey team carries out survey; Write township water supply problem survey report.</td>
<td>Questionnaire: Please refer to Annex 3; Interview outline: Please refer to Annex 4.</td>
</tr>
<tr>
<td><strong>Ranking</strong></td>
<td>To determine which problems should be solved urgently.</td>
<td>Divide villagers into male and female groups; List existing problems on cards; Ask different groups to rank them freely; Summarize the results and analyze the differences.</td>
<td>Example: Huangzhuang village is known to have a lack of funding and its drinking water infrastructure and roads are poor. The water supply issue is the greatest concern to residents, and needs to be resolved urgently.</td>
</tr>
<tr>
<td>Tools</td>
<td>Purpose</td>
<td>How it Works</td>
<td>Examples and Tips</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>-------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Focus Group Discussion; Stakeholders Session</td>
<td>To find potential solutions that are acceptable to key stakeholders.</td>
<td>Convene focus group discussion for all stakeholders respectively; Summarize options selected by key stakeholders; Ask representatives of each stakeholder group to discuss the possible solutions and determine which one is selected for the entire group.</td>
<td>FGD and stakeholders session in Huangzhuang</td>
</tr>
<tr>
<td>Water Supply Chronicle</td>
<td>To find out which events influence residents to change their source of water.</td>
<td>Determine key informants who have lived in the village a long time; Ask them to remind the others of the events that have influenced residents to change their source of water; Analyze the reasons causing these changes and the trend; Pay attention to ideas between sexes.</td>
<td>River Water From 1970s to 1980s Well Water From Late 1980s to Early 1990 Village Running Water From 1990 to Present Purified Running Water Planned from 2008 to 2010 Development of water in Longgang Township</td>
</tr>
<tr>
<td>Community Meeting</td>
<td>To assist water users to propose the draft program</td>
<td>Village or community cadres preside over the meeting; Work group members introduce the project and problems that need to be discussed further; Assist villagers to discuss problems and make decisions freely; Elect water users representatives; Keep detailed records.</td>
<td>Community meeting in Longgang Township</td>
</tr>
<tr>
<td>Pipeline Distribution Map</td>
<td>To collect views and opinions of different stakeholders on pipeline network design.</td>
<td>Identify poor households, remote ones, and other special types of water users, such as schools and markets; Organize the male and female villagers to discuss respectively; Collect views and opinions of different groups on the pipeline network distribution; Draw the dart branch pipeline network of the village level according to views and opinions of water users; Working Group meets together and discusses the results of the group interview.</td>
<td>Main pipeline distribution map of Guiwu Village</td>
</tr>
</tbody>
</table>
ANNEX 2 QUESTIONNAIRE FOR TWIP PARTICIPATORY PLANNING

Survey No.: ________  Enumerator Name: ______________  Date: _____
Address: ______________________

A. Families Overview

1 Regional Type__ (1) Urban  (2) Rural

2 Respondent's Name________  3 Respondent's Gender__ (1) Female (2) Male

4 Respondent's Status_____  Head of the Family  Spouse  Other (Specify)

5 How long have you been living here?
   (1) < 5 year  (2) 5-10 years  (3) 10-20 years  (4) 20-30 years  (5) 30-50 years
   (6) > 50 years

6 Number of household members____ persons
   Incl. <16-year-old____ persons  > 60 year-old____ persons
   Resident population____ persons

7 The occupation of the head of the household
   (1) Government employee  (2) Self-employed/Shop owner  (3) Farmer
   State-owned enterprise employee  (4) Street vendor  (5) Skilled laborer
   Private sector employee  (6) Casual labor  (7) Housewife
   Retired  (8) unemployment  (9) Other: Specify____________

8 How many people contribute to the household income? ___ Persons

9 What is total monthly income of your household? (Incl. salaries, pensions, scholarships, allowances, remittances and other sources)
   (1) < 600  (2) 601 – 2,000  (3) 2,001 – 3,000
   (4) 3,001 – 4,500  (5) 4,501 – 7,500  (6) 7,501 – 12,000
   (7) 12,001 – 15,000  (8) > 15,000  (9) Don't know

10 How much is the total monthly family expenditure for items below? (RMB: Yuan)
   Food____Yuan;  Electricity____Yuan;  Clothing____Yuan;  Transportation____Yuan;
   Water_____Yuan (The customers who are using the water from the small township water plant need to answer this question)

B. Water Use

1 Main water source for drinking/cooking
   (1) Piped water  (2) Well water  (3) Bottle water  (4) Surface water  (5) Other: Specify______

2 Main water sources for washing/bathing
   (1) Piped water  (2) Well water  (3) Bottle water  (4) Surface water  (5) Other: Specify______
3 Quantity and price of water in your family

<table>
<thead>
<tr>
<th>Item</th>
<th>Annual quantity</th>
<th>Price</th>
<th>Total cost (Yuan/Year)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Piped water</td>
<td>_____Ton/Year</td>
<td>_____RMB/Ton</td>
<td></td>
</tr>
<tr>
<td>Barreled mineral water/Pure water (18.9 Liter/Barrel)</td>
<td>_____Barrel/Year</td>
<td>_____RMB/Barrel</td>
<td></td>
</tr>
<tr>
<td>Bottled mineral water/Pure water</td>
<td>_____Ton/Year</td>
<td>_____RMB/Ton</td>
<td></td>
</tr>
<tr>
<td>Use well (1) Yes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(2) No</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other sources (Specify_______)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: If using electric pumps, please specify the annual electricity cost.

4 In your opinion, is the drinking water clean?
   (1) Yes   (2) No

5 Does someone get sick because of drinking water in your family? If the answer given is YES, what are the main diseases and how many sick days of whole family in a year?

<table>
<thead>
<tr>
<th>Does someone get sick because of drinking water in your family?</th>
<th>(1) Yes</th>
<th>(2) No</th>
</tr>
</thead>
<tbody>
<tr>
<td>How many sick days of whole family in a year?</td>
<td>_______days</td>
<td></td>
</tr>
<tr>
<td>What are the main diseases? (Specify)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6 Major water infrastructures (Can be selected many)
   (1) Shower (2) Flush toilet (3) Washbasin (4) Bathtub (5) Washing machine
   (6) Water heater (7) Other: Specify________

7 Number of taps in your house:

8 Are you satisfied with the water use in your family?

<table>
<thead>
<tr>
<th>Are you satisfied with the water use in your family?</th>
<th>Excellent</th>
<th>Very good</th>
<th>Good</th>
<th>Poor</th>
<th>Very bad</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you satisfied with the clean level?</td>
<td>Excellent</td>
<td>Very good</td>
<td>Good</td>
<td>Poor</td>
<td>Very bad</td>
</tr>
<tr>
<td>Is the price reasonable?</td>
<td>Excellent</td>
<td>Very good</td>
<td>Good</td>
<td>Poor</td>
<td>Very bad</td>
</tr>
<tr>
<td>Is the water supply normal?</td>
<td>Excellent</td>
<td>Very good</td>
<td>Good</td>
<td>Poor</td>
<td>Very bad</td>
</tr>
<tr>
<td>Do you use water conveniently?</td>
<td>Excellent</td>
<td>Very good</td>
<td>Good</td>
<td>Poor</td>
<td>Very bad</td>
</tr>
</tbody>
</table>

9 If you are not satisfied with the current water situation, please list some areas that need improvement. (Can select more than one)
   (1) Water quality (2) Pressure (3) Price (4) Supply stability (5) Toll Collection System (6) Quality of Service (7) Water supply system maintenance (8) Other: Specify
C. Overview of Community Environmental Health Situation

1. How would you rate the environmental health conditions in your community (village)?
   (1) Excellent (2) Very good (3) Good (4) Poor (5) Very bad

2. What is the pollution of the water environment (rivers, lakes, ponds) like around your community (village)?
   (1) Very serious (2) Quite serious (3) More serious (4) Less serious (5) No pollution

3. Sewage treatment methods in your family
   3.1 Where does the kitchen sewage flow to?
      (1) Sewer (2) Street (3) Courtyard (4) Other: Specify _____________

   3.2 Toilet type
      (1) Indoor toilet (2) Outdoor toilet (3) Public toilet (4) Other: Specify _____________

   3.3 Toilet condition
      Good        Medium     Bad

   3.4 Do you know where the family’s waste water flows to?
      Sewer     Private septic tank     Public septic tank     Drain     River (6) Other: Specify ___

4. In your opinion, what causes the water pollution?
   Rank: Factory         Sewage____   Agriculture Swage____   Food & Beverage Industry Swage____
   Living Sewage____

D. Willingness to Pay and Ability to Afford

1. If the existing water supply pipeline been transformed to increase water supply capacity and water quality, are you willing to pay part of the cost?
   (1) Yes   How much are you willing to pay? _______Yuan/Household
   (2) No    Please explain the reasons

2. If Municipal Water Company supplies water for you, do you use more water than before?
   (1) Yes   May increase the monthly water consumption _______Ton/month;
             How much are you willing to pay for each ton of water? _______Yuan/Ton
   (2) No

3. According to the economic conditions of your family, how much can you afford for monthly water bills? _______Yuan/Month.

4. If Municipal Water Company supplies water for you, what do you want to use the water for?
   (1) Cooking/Drinking   Bathing   (3) Washing/Watering the flower   (4) All

5. Compared with electricity fees, do you think the current water is expensive?
   (1) Very expensive (2) More expensive (3) Acceptable (4) More cheap (5) Very cheap

E. Target Water Users’ Willingness to Participate

1. What channels are you aware of to receive information from Yancheng Water Supply?
   (1) Questionnaire survey   Unity rally   Wall newspapers, murals
   Newspapers, radio   Chat with others   Other: Specify _____
2 Would you like to know relevant information of the project?
   (2) Willing           Reluctant           Unwilling           Do not care

3 Through which manner would you like to learn about project information? (Can select more than one)
   (1) Home interviews   Rally   Wall newspapers, murals   Newspapers, radio (5) Other: Specify ___

4 If a meeting will be conducted to discuss TWIP program, do you want to participate in it?
   (1) Willing           Do not care           Unwilling

5 If participating to the meeting, are you willing to express your opinion or suggest?
   (1) Willing           Do not care           Unwilling

6 If the poster or publicity draw of water supply projects been posted, which place do you think should be chosen?
   (1) Neighborhood committee/ village committee   Town Water Plant / village water tower (3) Do not care (4) Other: Specify ___

7 If the water projects are broadcasted, which time period do you think is suitable?
   (1) Early Morning   Morning / afternoon   Lunch / dinner   Other: Specify ___

F. Water User Participation in the Planning and Design

1 Do you think there is a need for a pipeline network renovation project in the Township?
   (1) Yes   (2) No   (3) Do not care

2 Which way would you prefer to purchase materials that are needed in the branch pipes of water supply from the village to the households?
   (1) Farmers spend money, water company in town unified to purchase
   (2) the households buy it themselves

3 If it is necessary to replace water meters for an accurate measurement of water quantity after the implementation of TWIP, which way would you prefer?
   (1) The township makes a unified replacement, households pay for it
   (2) Households purchase water meters themselves, and the township is responsible for the replacement and collecting installation fees
   (3) Households make the replacement on their own

4 After the implementation of TWIP, in which way do you want to be charged?
   (1) a direct door-to-door collection (2) one family , one card, charge from bank (3) Other (please specify)

5 After the implementation of TWIP, which method of maintenance of the water supply system would you prefer?
   (1) Every village allocates people for maintenance (2) establish a Water User Association (WUA) by farmers (3) Other (please specify)

6 If the answer to Question 5 is "WUA," Who do you think the "Water User Association" should be composed of; what is the purpose of the association? How to operate it in normal times?

7 Please draw the layout of the network near your home

8 In order to implement TWIP better, what do you propose?
ANNEX 3  SURVEY AND INTERVIEW TECHNIQUES FOR TWIP PARTICIPATORY PLANNING PROJECT

Best Practices for Conducting Interviews:

• Create clear objectives for the interview. Know what you are trying to achieve and the information you want to obtain.

• Plan carefully for all interviews. The input received during interviews is critical, it is important that questions are asked to understand all issues important to the planning process. Create forms and processes that ensure a consistent experience and outcome of interviews.

• Go to where the stakeholders are. People are more comfortable answering questions and providing detailed information when they are in comfortable and safe surroundings.

• Prepare all interviewers completely. The interview is a first step in developing ongoing relationships with stakeholders. All interviewers need to be prompt, polite, informed, and professional. It is essential that all input be accurately recorded.

• Create background information to leave behind. Stakeholders will want to understand the project and its potential implications.

• Plan for how input will be summarized and analyzed. This can be a very time-consuming activity, advance planning helps to ensure that information is collected in a specific and organized way, and that procedures and resources are in place for managing the information.

• Provide advance information. Help stakeholders be prepared for interviews by providing some preliminary information about the project and the goals of the interview. This will allow stakeholders time to think about their concerns and issues in advance of the interview.

• Create an interview template to guide the interview and create a consistent experience with tangible outcomes. The template will include background information that the interviewer needs to share with the stakeholder, the questions to be asked, and other issues to be addressed.

• Obtain full contact information for future outreach efforts and ask for names of additional stakeholders that might be interested in the project.
ANNEX 4 INTERVIEW OUTLINE FOR STAKEHOLDERS INVOLVED IN TWIP

Outline for interviewing district or county level government staff:
(1) What is the situation of centralized water supply in the county (district, city) at present?
(2) What is the situation of safe drinking water in the county (district, city) at present?
(3) What’s the total plan on safe drinking water of the entire county (district, city)?
(4) What’s the main responsibility of drinking water safety working group and safe drinking water management office in the county (district, city)?
(5) What’s the source of funding on regional water supply and safe drinking water of the township (county, district, and city)? How to secure this funding?
(6) What are the main problems on rural drinking water project construction and management at present?
(7) What’s the proposal of planning on the participation water supply of the township?
(8) How to deal with the existing town / village’s water plant after the regional water supply planning?
(9) How to deal with deep wells in rural areas?
(10) How does the Government deal with the different conflicts that arise in the implementation process of regional water supply?
(11) How to guarantee all the target water users are able to use safe, clean tap water?
(12) How to solve the problem of household water costs with farmers who live in very remote areas? How to deal with this part of the costs?

Outline for interviewing township government staff:
(1) What is the present situation of the water supply in township?
(2) What about the situation of centralized water supply in township? What about the present situation of rural drinking water safety? What’s the main source of drinking water in rural areas?
(3) What is the scope of the pipe network improvement of the township? Does it involve land acquisition? How to compensate farmers for land acquisition? Etc.
(4) What are the main problems of rural water supply in township? Whether some farmers have not used tap water yet?
(5) How about the planning for the regional water supply of township? How to transform the existing pipeline network in rural areas? What is the sequence of transformation?
(6) What are the funding sources of transformation of the existing pipeline network in rural areas? Whether or not to charge fees? If charged, how much money / household?
(7) Are there any incentives or relief measures for vulnerable families in rural areas as well as households that have low subsistence allowances in urban areas?
(8) How to connect the present water supply system with subsequent management?
(9) What’s the implementation order of different regions in the township?
(10) Do farmers need to re-install the new water meter? How about the cost? Will the water meters be purchased in bulk or by farmers themselves? Should installation fees be charged? How much money approximately?

Outline for interviewing municipal water corporation staff:
(1) What’s the present situation on water supply of Water Company? What about the operating situation of company?
(2) How to lay lines of pipe network of regional water supply? Whether it will cover the pipeline network of all villages?
(3) Whether to establish transit water plants in each township? What is the price of tap water?
(4) How to deliver the information of regional water supply program to farmers and residents in townships?
(5) How to get views of farmers and urban residents when we design regional water supply program?
(6) How to combine planning of regional water supply with safety of drinking water in rural areas?
(7) What’s the target district of regional water supply?
(8) How to determine the price of water after the implementation of regional water supply? Whether to make a uniform price? Or make price on their own choice in rural areas?

Outline for interviewing water plant staff in townships or villages:
(1) What’s the nature of water-supply plant? Is it State-owned, collective or private?
(2) What about operating conditions? What’s the value of fixed assets (million)? Annual output value (million)? What’s the Annual profit (million)? What’s the total wages of workers? (Million)
(3) The number of existing employees? What’s number of the formal and provisional workers? The ratio of male and female workers?
(4) How to arrange for the existing staff after regional water supply? Re-appointment or dismiss them directly?
(5) Who is the owner of water plant’s assets? How to deal with the assets in the future? Set a new water plant town or be bought by city water plant? Etc
(6) What are the current management methods of water plant in town or rural areas? How to determine the price of water? How to collect the water charges?

Outline for interviewing village or neighborhood committee leaders:
(1) What is currently the main source of drinking water in rural areas? What do farmers use river water or well water for? Are the farmers willing to increase the usage of tap water if the regional water supply projects are implemented?
(2) How to layout village-level pipeline network? What’s the source of funding for laying village’s water plant? Unified construction or separate construction by every family? Can you explain it through a drawing?
(3) Are there any assistance arrangements or relief measures for vulnerable groups in the village?
(4) What’s the main source of surface water pollution in rural areas?
(5) How to charge for water after the implementation of regional water supply? Who will operate day-to-day maintenance?
(6) Are you willing to establish the rural water supply association and other spontaneous organizations? Who will pay for the cost of daily maintenance?

Outline for interviewing residents / farmers:
(1) Introduce the family’s economic situation briefly. What’s the main source of families living water and washing water respectively? Do they have the habit of using well water and river water?
(2) Do you agree with the township water supply project? Whether farmers have the demand to use city water? What’s the family’s capacity to pay under normal circumstances? What is the price of water? Comparing the existing water price with electricity price, which is higher?
(3) Are the farmers willing to access the pipeline network from Municipal Water Company? Are they willing to increase the use of city water after the implementation of regional water supply? What is the maximum of RMB / month for water bills a family can afford?

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(4) How about the quality of tap water at present? Is the water clear? Is there any smell? Is the water pressure stable? Is there anything that needs to be improved? Is water supplied all day?

(5) In the process of the implementation of TWIP, how can we guarantee reliable water to every family?

(6) Would you please describe the changes of the community environment, especially the water environment in the last two years? (Is it getting better or worse?)

(7) Is the family willing to bear part of the cost of pipe network transformation? If yes, how much can they afford?

(8) What are the positive and negative impacts on the local area after the regional water supply project? How can we avoid the negative ones?

(9) Are there any health facilities in the family? Is there a toilet? Where does the family’s wastewater discharge into?