

THE UNITED REPUBLIC OF TANZANIA
MINISTRY OF WATER AND IRRIGATION



Lake Victoria Water & Sanitation Initiative – Mwanza
Project
Stakeholder Engagement Plan

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Endorsed by:

The Government of Tanzania, Ministry of Water Irrigation

Implementing agencies:

Mwanza Urban Water Supply &
Sanitation Authority
(MWAUWASA)
Bukoba Urban Water and
Sanitation Authority
(BUWASA)
Musoma Urban Water and
Sanitation Authority
(MUWASA)
Lake Victoria Basin Water Board

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LIST OF ABBREVIATIONS

AFD	French Agency for Development
BUWASA	Bukoba Urban Water and Sanitation Authority
CBOs	Community Based Organizations
COWI A/S	Danish based Organization
EIA	Environmental and Impact Assessment
EIB	European Investment Bank
CBO	Community Based Organisation
CLO	Community Liaison Officer
ESAP	Environmental and Social Action Plan
ESIA	Environmental and Social Impact Assessment
ESHS	Environmental, Social, Health and Safety
ESMP	Environmental and Social Management Plan
FBO	Faith Based Organisation
IMC	Ilemela Municipal Council
LVWATSAN	Lake Victoria Water Supply and Sanitation
MCC	Mwanza City Council
MIUWASA	Misungwi Urban Water and Sanitation Authority
M&E	Monitoring and Evaluation
MSFs	Multi Stakeholder Forums
MUWASA	Magu Urban Water and Sanitation Authority
MWAUWASA	Mwanza Urban Water and Sanitation Company
NEMC	National Environmental Management Council
PMC	Project Management Consultant
PMU	Project Management Unit
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SDI	Slum Dwellers International
SEP	Stakeholders Engagement Plan
STF	Sanitation Task Force
SWaSH	School Water, Sanitation and Hygiene
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
WASH	Water, Sanitation and Hygiene
WEO	Ward Executive Officer

Executive Summary

The Lake Victoria Water Supply and Sanitation Programme (LVWATSAN) is a regional programme being implemented in partnership with the East Africa Community (EAC) and UN-Habitat. The program focus on reduction of pollution flowing into the lake through improvement in sustainable water supply and sanitation infrastructure in the urban centres within the Lake Victoria Basin shared by the five East African Community Countries.

The Lake Victoria Mwanza project funded by the European Investment Bank (EIB) and the French Agency for Development (AFD) to improve on the extension and upgrading of water supply and sanitation. The EIB and AFD entered into a finance contract with the United Republic of Tanzania to implement the project in Mwanza town and satellite towns of Misungwi, Lamadi and Magu for EIB and Bukoba and Musoma towns for AFD. At completion there would be the significant improvement in water supply, sanitation and public health conditions in the six (6) target towns.

In order for the project to accomplish successfully the intended project outcome active participation of local population and institution will be required. As a consequence in some of the target project areas stakeholders in communities will be affected by project interventions. This engages the 2013 EIB Standard 7 on Rights and Interests of Vulnerable Groups and Standard 10 Stakeholder Engagement.

This document forms the Stakeholder Engagement Plan (SEP) for the EIB finance operation, the LVWATSAN Mwanza Project. As part of the EIB's 2013 Social and Environmental Standards, a Stakeholder Standard guideline was established. This SEP has been prepared in order to ensure compliance to EIB'S Standards 7 and 10. The SEP mainly emphasise on engaging stakeholders and protecting the rights of vulnerable groups in the project area of the LVWATSAN Mwanza Project. The Ministry of Water (MoW) through Mwanza Urban Water and Sanitation Authority (MWAUWASA) is the owner of this document and have promised to comply and implement the SEP as defined here in.

The SEP will be implemented during the course of the preparation and implementation of the LVWATSAN- Mwanza Project. The SEP is structured into the following sections:

- Chapter 1 provides an outline of the LVWATSAN- Mwanza Project, rational, objectives and the scope for this SEP. It also outlines the Project Key Institutional Actors;
- Chapter 2 introduces guiding principles and the approach of the SEP. These reflect the policies of the EIB, the Government of Tanzania that address the rights of vulnerable groups and stakeholder engagement;
- Chapter 3 presents an overview of the Tanzania's legislative framework specifically national policy and laws on the rights of vulnerable persons and the need to involve citizens in decision affecting their situation. These are reinforced and supplemented with the EIB's standards 7 and 10;
- Chapter 4 provides explanations on the engagement process which involves mapping stakeholders, identification and analysis of affected persons. It also presents guidance and the need for information disclosure and public consultation;

- Chapter 5 provides an overview of the socio and economic requirement for managing project-based grievances, the procedure and institutional roles and responsibilities, reporting and for resolving grievances;
- Chapter 6 forms the guidance on the implementation of this SEP from the project design stage, through the engagement, stakeholder identification, mapping, categorization and identification of affected persons. It also provides short narrative accounts of split of responsibilities across the different actors of LVWATSAN Mwanza project;
- Chapter 7 presents the monitoring and evaluation framework, and recommendations are made as to how monitoring should take place throughout the SEP and project implementation;
- Chapter 8 provides the plan of implementation;
- Chapter 9 provides an overview of budgets and sources of funding.

1 Background

1.1 Project context and location

The Lake Victoria Water and Sanitation Mwanza Project (LVWATSAN) covers the shoreline of the Lake in Tanzania and comprises the three largest towns of Mwanza, Musoma, and Bukoba. It also includes the three burgeoning satellite towns in order to facilitate an operational link with the utility in Mwanza in the future.

The overall objective of the Project is to contribute to increasing access to water and sanitation and improving living conditions in the Lake region of the East Africa Community by supporting the development of the utilities, improved planning and approaches to key challenges such as rapid and unstructured urbanization in the Lake region and the social and environmental problems of pollution and inadequate access to basic services.

The project comprises extension and upgrading of water supply, wastewater and sanitation in the city of MWANZA, water supply in the satellite towns (Misungwi, Magu, Lamadi), as well as wastewater and sanitation in the other two large towns of Bukoba and Musoma. Improved sanitation in the informal/low income areas of Mwanza, envisaged to include technical and conceptual piloting, capacity building for community liaison, NGO/CBO facilitation and regional dissemination of LVWATSAN approaches, was taken as a priority, following discussions between the EIB, and national/local stakeholders.

Mwanza City

After Dar-es-Salaam city, Mwanza is the second largest city in Tanzania located on the shores of Lake Victoria. According to the 2012 national census Mwanza city has a total population of about 706,453 with an average household size of 4.8 persons. Of this population, 84% are supplied with water and 8% are using sewerage services from MWAUWASA. The city is characterised by gently undulating granites and granodiorite physiography with isolated hill masses and rock inselbergs. The National Bureau of Statistics (NBS) estimates that approximately two thirds of the population accounting for 75% of the population lives in unplanned and informal settlements located on the outskirts of the city on the very steep rocky hills. High-income households are generally located on the low lying areas while low-to middle income households are located on hills characterised by rocky terrain. Mwanza urban is divided into two districts namely Nyamagana District having Mwanza City Council (MCC) and Ilemela District Council comprising Ilemela Municipal Council. The main informal settlements of Igogo, Mabatini and Igoma are generally characterized by inadequate provision of basic services such as access roads, water supply and sanitation. The situation is complicated by the difficult terrain.

Satellite towns

Misungwi town: Misungwi town and Igokelo wards lie within the urban area of Misungwi town. According to the 2012 census the urban population for Misungwi was 27,327 people with a growth rate of 3.56%. Most of the inhabitants have no formal sewerage system and rely on latrines, cess pits and a few septic tanks for their sanitation. There is also no arrangement for sludge disposal or management. 23.2% of households have no toilet facilities whilst 75.6% utilize the traditional pit latrine. Less

than 2% of the households have VIP latrines, flush toilets or septic tanks. The main source of water used to be the Mitindo Dam which failed in 2007 due to inadequate rainfall. A new intake at Nyahiti was constructed in 2008 following this failure. The water system is managed by Misungwi Urban Water and Sanitation Authority (MIUWSA). Water is distributed to approximately 34% of the population in the urban area of the township.

Magu town: The population of Magu town is about 40,000 people according to the 2012 census report. Magu Urban Water and Sanitation Authority was established in 1999 for the purpose of supplying clean and safe water to Magu Township. The town was declared to be a Water Supply Authority in 2002 under Category C with an established water board. The main source of water in Magu town is surface water mainly from Lake Victoria. The existing water supply network covers only 17% of the present population. The amount of water produced per day is well below the total demand and is severely rationed. The pipe network covers only a small part of a town which is growing quickly. The existing water supply network in the town is experiencing frequent leakages causing further unreliability of supply. According to a recent survey, 68% of the population applies good sanitary practices (Magu DC profile, 2010). The area is characterized by poor drainage systems, and absence of refuse vehicles, cesspit emptiers and safe disposal sites.

Lamadi town: The present population of Lamadi is estimated to be about 22,000 people according to the 2012 census report. Lukungu is the only urban ward that is in the process of being registered as a township. Vendors sell water at a price of Tshs. 100 per 20 liters equivalent to container during the rainy season and Tshs. 200 per 20 liters container in the dry season.

Musoma

Musoma consists of 13 wards and had a population of 134,327 people according to the 2012 census report. It is the headquarters of Mara region in the North of Tanzania which borders Lake Victoria to the north-west and the Republic of Kenya. The town consists mostly of residential developments and a number of institutions. The main economic activities in the town are fishing, fish processing and textiles. The initial studies and investigation for Musoma Water and Sewerage Improvements were undertaken under two recent programmes; an AFD funded project and subsequently an EU/KfW project under the Seven Towns Upgrading Programme. The proposed interventions under the LVWATSAN (Mwanza) Project include: Construction of anaerobic treatment plant (waste stabilization pond) and main pumping and transfer station for sewage.

Bukoba

Bukoba Town is situated on flat, marshy plain terrain surrounded by escarpments to the north, west and south of Lake Victoria. These escarpments have been occupied by squatter settlements. The project area is the urban municipal boundary of Bukoba, which includes all wards classified as urban and/or mixed. Agence Francaise de Development is funding the cost of Bukoba Water Supply and Sanitation Project. According to the 2012 census report Bukoba urban population was 128,796. The suggested interventions include improved sewage facilities, which require new drains, a sludge digester and sewage oxidation ponds. Bukoba serves a useful model for the LVWATSAN-Mwanza Project. Under the LVWATSAN I Programme implemented by UN-Habitat, a Multi-Stakeholder Forum (MSF) was formed. The MSF brings together

NGOs/CBOs; the water authority, municipal officers and members of the public to discuss elements of the development process

1.2 Rationale for Preparation of the Stakeholder Engagement Plan

The Stakeholder Engagement Plan (SEP) is designed to ensure compliance with EIB relevant standards 7 and 10 that are applicable to this project. It is the responsibility of the promoter to comply with these two standards to create the enabling environment for effective engagement with local communities and all other key stakeholders throughout the remainder of the life cycle of Lake Victoria Water and Sanitation (LVWATSAN) Mwanza Project.

The EIB Standard 7 on Rights and Interests of Vulnerable Groups sets out guidelines to mitigate and resolve potential harmful effects of the project operations to vulnerable individuals and groups whilst seeking equal access to project benefits. Necessary measures need to be taken to manage appropriately the risks and adverse impacts of the EIB financed operations on vulnerable individuals and groups, including women and girls, minorities and indigenous peoples. The promoter will seek to avoid the exposure of vulnerable populations to project-related risks and adverse impacts.

The promoter and all other stakeholders are required to uphold, respect, and protect the rights and interests of vulnerable individuals and groups within the designated operational scope, throughout the project lifecycle. Such rights include the right to non-discrimination, the right to equal treatment between women and men and the rights of indigenous peoples.

Standard 10 on Stakeholder Engagement outlines a systematic approach for the Promoter to adopt towards engaging all stakeholders, throughout the lifecycle of the project. The Stakeholder Engagement Plan for LVWATSAN-Mwanza sets out the stakeholder engagement strategy and a road map to guide its roll-out, including identification and prioritization of key stakeholder groups, timelines for sharing information and consulting with the stakeholder groups and resources, responsibilities for implementing stakeholder engagement activities, and, guidelines on the establishment and operation of the project's Grievance Mechanism.

An open, transparent and accountable dialogue with all relevant stakeholders would allow for early and effective identification, assessment, and management of any environmental and social risks, impacts, and opportunities and provides a platform for resolving project-related grievances. A successful stakeholder engagement requires commitment to actively engage with stakeholders, listen to them, build a relationship with them and then respond to their concerns in a mutually beneficial way. Engagement is not an end in itself, but a means to help build better relationships with the project stakeholders, eventually resulting in improved project planning and successful implementation. Field experience proved that giving stakeholders a voice and choices throughout the preparation, implementation and monitoring phases of a project result in better project outcomes. It ensures from the onset that accountability and transparency are built into the project and that investments also include concerns of vulnerable individuals and groups.

1.3 Objectives and Scope of the Stakeholder Engagement Plan

1.3.1 Objectives

The main objective of the LVWATSAN-Mwanza Stakeholder Engagement Plan is to establish and maintain an open and effective dialogue with all stakeholders throughout the life cycle of the project. To this end, the suggested SEP provides methods and guidance to ensure the right to access to information, public consultation and participation and the right to access to remedy through appropriate grievance resolution for the LVWATSAN-Mwanza Project activities.

The approach in this SEP is based on EIB Standard 10 requesting the promoter uphold an open, transparent and accountable dialogue with all relevant stakeholders at the local level targeted by its EIB operations. This Standard stresses the value of public participation in the decision-making process throughout the preparation, implementation and monitoring phases of a project.

The broad objectives of this SEP are to:

- Describe the applicable regulatory and/or other requirements for disclosure, consultation and on-going engagement with the Project's stakeholders;
- Identify and prioritise key stakeholder groups, focusing on Project directly affected local communities;
- Provide a transparent and inclusive strategy, action plan and timetable for disclosure of information, ensuring that engagement with each group is undertaken without any form of discrimination;
- Describe the processes for implementing stakeholder engagement and community liaison activities, including any special measures for engaging with vulnerable groups and integration of this SEP into LVWATSAN Mwanza Project's wider management systems;
- Establish an effective grievance mechanism, ensuring that stakeholders are properly informed of their rights and know how to communicate their concerns;
- Determine roles, responsibilities and training requirements;
- Define monitoring and reporting procedures; and
- Ensure continuous improvement

The promoters of the LVWATSAN Mwanza project, (viz.: MWAUWASA for Mwanza including the satellite towns, Ministry of Water, through BUWASA for Bukoba and through MUWASA for Musoma) shall:

- Ensure that all stakeholders are properly identified and engaged;
- Engage stakeholders in the disclosure process, engagement and consultations in an appropriate and effective manner throughout the project lifecycle, in line with the principles of public participation, non-discrimination and transparency;
- Ensure that the relevant stakeholders, including commonly marginalised groups on account of gender, poverty, educational profile and other elements of social vulnerability, are given equal opportunity and possibility to voice their opinions and concerns, and that these are accounted for in the project decision-making; and
- Duly verify and assess that the quality and process of engagement undertaken by third parties on the project conform to the provisions included in the EIB standards.

1.3.2 Scope

This SEP is required to complement the implementation of LVWATSAN Mwanza Project's Environmental and Social Management Plan. The ESMP results from the Environmental and Social Impact Assessment (ESIA) being undertaken and will further include appropriate plans mitigating eventual involuntary resettlement (Resettlement Action Plans-RAPs), as and where applicable. The ESMP covers all Project activities that require engagement with local communities and other stakeholders; it does not address stakeholder engagement in relation to the associated utilities areas of coverage and distribution networks outside LVWATSAN Mwanza Project.

The conceptualization, feasibility studies, and planning stages of the water and sanitation development have been completed, whilst the ESIA and the Resettlement Policy Framework are under development. Taking these into consideration, this SEP is being designed for future application to the Project's construction activities and later operations phases. Stakeholder interactions and grievances during implementation will follow the guidelines and procedures set out in this SEP's action plan and grievance mechanism to ensure stakeholders are properly informed of their rights and know how to communicate their concerns. All other stakeholder disclosure, consultation and engagement activities will be undertaken as described in this Plan.

1.4 LVWATSAN Mwanza Project Key Institutional Actors

National Government: (Ministry of Finance; Ministry of Water, Division of Environment in the Vice President's Office), The Ministry of Finance as the borrower, will have the ultimate responsibility to ensure that the LVWATSAN Mwanza project complies with EIB standard 7 and 10 in respect of environmental and social risks that may emerge during implementation, through delegation to the Ministry of Water as the Implementing Authority (IA). As the IA, the Ministry of Water directly represents the Government of Tanzania on the project and will put in place measures to comply with requirements under EIB standard 7 and 10. The Ministry's obligation is to provide the necessary human and financial resources to successfully implement the SEP hence ensuring compliance in relation to the EIB Environment and Social Standards. The Division of Environment in the Vice President's office will be responsible for approving all environmental assessments for the project. Such assessments will entail engagements with potential stakeholders who may be impacted by the interventions. Implementation at the local level will be through the Promoters, viz.: MWAUWASA for Mwanza including the satellite towns, Ministry of Water (through BUWASA) for Bukoba and (through MUWASA) for Musoma.. As part of the Common Project Terms Agreement under the operation, the borrower, the Implementing Authority and promoters have committed to the adoption of this Stakeholder Engagement Plan (SEP).

Local Government

The local authorities in the beneficiary project cities and satellite towns (viz.: the City Council of Mwanza; the Municipal Council of Ilemela; Municipality of Bukoba; Municipality of Musoma; the District Councils of Misungwi, Magu and Busega/ Lamadi) have been liaising closely with the Promoters to establish a framework for collaboration for the purpose of planning investments and implementation of the project components. The local authorities in particular shall provide the necessary inputs to facilitate the

effective application of the investments in water and sanitation and provide guidance on, for example, prioritisation of locations, the degree of regularisation of properties and level of infrastructure. They will also work with the Promoters in deciding on technical options for interventions on all the components. As duty-bearers, these local authorities have a legal obligation to protect, respect and fulfil human rights of all city residents, including the provision of water and sanitation services.

Concerning the implementation of the SEP the Community Development Officer within the Local Authorities will have a mandatory role in the SEP by supporting the work of the Community Liaison Officer (CLO) in interactions with the PMU/Promoters on issues of vulnerable persons that may be affected and advise on approaches for engagement. Hence the local authorities will have some responsibility for facilitating a systematic stakeholder engagement process from the beginning of the project, during implementation and up to the completion stages. As part of the Common Project Terms Agreement under the operation and EIB standard 7 the borrower and promoter have committed to the adoption of a Stakeholder Engagement Plan (SEP) and undertake to maintain the continuous engagement with communities, affected populations, protecting the rights of vulnerable groups allow access to information and grievance reparation throughout the life of the Project, in accordance with the relevant provisions of the SEP and the EIB Social Standard 7 and 10. The Local Authorities will collaborate closely with the Promoters in this regard.

Urban Water Utilities

The Urban Water Utilities involved in the Project include: Mwanza Urban Water and Sanitation Authority (MWAUWASA); Musoma Urban Water and Sanitation Authority (MUWASA); Bukoba Urban Water and Sanitation Authority (BUWASA), Magu Urban Water and Sanitation Authority (MAUWASA), and Misungwi Urban Water and Sanitation Authority (MIUWASA).

As secondary duty-bearers, these utilities are mandated to manage water and sanitation assets, infrastructure investments and any other technical assistance in capacity enhancement that have direct impact on the management of the utility operations and institutional management.

As per their mandate utilities shall incorporate stakeholder engagement activities during construction activities at milestone instances such as information disclosure on the grievance mechanism. Utilities will implement the SEP in their jurisdiction i.e. Bukoba, Musoma, Mwanza and the satellite towns.

NGO/CBOs:

NGO and CBO are not rights-holders, but may act in a representative capacity for individuals who are rights-holders. They are responsible for carrying out community mobilization, awareness raising and training and education activities which involves information disclosure. They may also be given the opportunity for contracting other community-based organizations and local self-help groups for project implementation of the same activities. The nature of their activities involves information disclosure and community participation during stakeholder engagement.

European Investment Bank

As a major investor, the EIB requires that its environmental and social principles and standards are applied to the project. These are defined in the EIB E&S Principles and Standards, namely the EIB Statement on Environmental and Social Principles and

Standards and Volume 1 of EIB's Environmental and Social Handbook which comprises the Bank's 10 E&S Standards. In particular, EIB Standards 7 and 10, respectively on Vulnerable Groups and Stakeholder Engagement, are of most relevance. In addition to having oversight of the overall stakeholder engagement process, ESIA's and A-RAP, EIB will also oversee for the project interventions in Mwanza and the satellite towns.

Agence Française de Développement (AFD)

The AFD component of the loan for the LVWATSAN Mwanza project is being applied towards the Bukoba and Musoma interventions. Thus AFD will exercise oversight responsibility with respect to the implementation of the project in these towns.

UN-Habitat:

The role of UN-Habitat is to play a key role in mobilizing stakeholder engagement at all levels of the LVWATSAN Mwanza project. The LVWATSAN Mwanza project will entail significant social and environmental components. The impact and sustainability of the project components will therefore depend to a large extent on the effectiveness of the stakeholder engagement process and the framework set up to promote the active participation of the beneficiary communities. UN-Habitat will assist MWAUWASA to implement the stakeholder activities by establishing stakeholders into Multi Stakeholder Forums (MSFs). The MSF shall represent the affected communities at ward, municipality, town and project levels for Mwanza, and for each of the major communities in informal settlements of Misungwi, Magu and Lamadi; and in Bukoba and Musoma. The MSFs do not replace the formal decision-making structures, but aim to supplement and strengthen them. UN-Habitat shall work with MWAUWASA/PMU to prepare and arrange a suitable adoption mechanism for the Stakeholder Engagement Plan for the LVWATSAN Mwanza operations in conformity with EIB social safeguards, including an independent grievance mechanism.

Technical Assistance Planning Consultant (COWI A/S)

The Technical Assistance consultancy being undertaken by COWI for the LVWATSAN Mwanza Project for Mwanza and the 3 satellite towns comprises: preparation of an integrated urban, water and wastewater master plan with a future proof structure of the water supply network; establishment of short and long term investment programmes for improving the coverage of water and sanitation as well as wastewater collection and treatment; preparation of designs for immediate and short term investments; and preparation of preliminary designs for major long term investments. To ensure that the needs of all segments of the society are adequately captured in the subsequent interventions, the technical assistance activities will necessarily entail stakeholder engagement processes, such as public meetings, and technical workshops on information disclosure. Accordingly the consultant shall commit to the EIB Statement of Environmental and Social Principles and Standards (2009) that articulate EIB's commitments to environmental and social sustainability. COWI/AS will also incorporate EIB's Environmental and Social Policy, cross-cutting themes and Operational Safeguards as part of the Project's commitments in the designs.

Project Management Consultant (PMC) Mott MacDonald & UWP

The PMC will streamline the management of investments under the responsibility of MWAUWASA as well as support overall project administration at the level of the entire EIB-AFD operations. PMC will establish and maintain project management services throughout the project's implementation period and successful execution of the Lender's and Tanzanian Environmental and Social Safeguards. During the preparation

of Environmental and Social Management Plans and RAPs final reports that will be released to inform stakeholder engagement activities. Accordingly shall commit to the EIB Statement of Environmental and Social Standards 7 and 10.

2 Stakeholder Engagement Planning

2.1 Principles & Approach

The guiding principles of this SEP which reflect EIB policies in addressing stakeholder engagement are as follows:

- Stakeholder engagement shall be initiated by the promoter early in the process of identification of environmental and social risks, possible adverse impacts and continue throughout the project life cycle as risks and impacts arise accordingly;
- Stakeholder engagement will be planned and carried out by the promoter without discrimination, taking into account differences in risk exposure, sensitivity and low resilience of vulnerable groups in line with Standards 7 and 10.
- Consultation and public participation in decision making are based on inclusiveness of all stakeholders and as a continuous interactive process. The EIB Standard 10 involves stakeholder analysis and engagement planning, timely disclosure and dissemination of/access to information, public consultations and stakeholder participation, and a mechanism ensuring access to grievance and remedy.
- SE shall be accessible to any vulnerable and marginalized groups considering gender, poverty and all sorts of social vulnerability are given equal opportunity to voice their opinions and concerns and that these are accounted for in the project decision-making
- SE shall be inclusive, beyond the affected parties, of any groups or individuals who have been identified as other interested parties; and
- SE shall be adequately documented both in substance and process;
- All stakeholders are properly identified and engaged in line with Standards 7 and 10 of the EIB Environmental and Social Standards that:
 - Stakeholder expectations, interests, priorities and concerns are understood and project interventions are flexibly formulated and implemented in a manner that is informed by and responds to them.
 - Vulnerable individuals and groups considering gender, poverty, educational profile and other elements of social vulnerability - are identified and given equal opportunity and possibility to voice their opinions and concerns, and that these are accounted for in the project decision-making;
 - Any adverse impacts of the Project on the lives and livelihoods of vulnerable individuals and groups are identified, and avoided. Where avoidance is not feasible, to reduce, minimize, mitigate or effectively remedy impacts.
 - The Project adopts a gender-sensitive approach that takes into account the rights and interests of women and girls, men and boys, including specific attention to the differentiated burden of impacts that women and girls might face.
 - Project recognizes local knowledge, practices and experiences and stimulates innovative ideas in the selection of technological options and service delivery models that meet the needs of the poor.

- The Project includes targeted capacity building and/or other assistance as necessary to empower vulnerable and marginalised groups to fully participate.

3 Legal Framework

3.1 Tanzania's Legislative Framework

This chapter presents an overview of the Tanzania national laws relating to stakeholder engagement and elimination of all types of discrimination among citizens; upholding human rights, accessing information, public participation and the right to Privacy and Freedom of Expression. The LVWATSAN-Mwanza Project is funded by the EIB hence, the consideration of the EIB's Environmental and Social Standards 7 on Rights and Interests of Vulnerable Groups and 10 on Stakeholder Engagement. These two standards take precedence to complement the national laws. Under the new proposed Constitution, there is a variety of laws, regulations and orders that have a bearing on stakeholder consultation and engagement.

Articles 6 (2) and 8 (2) (a) of the proposed Draft Constitution of Tanzania (see Box 3.1 below) sets out the principles of good governance and obligation of the state and its organs to ensure that dignity, respect and all other human rights are preserved. Article 12 National Political Objective (1) and 2 (a) directs that the political objective of the constitution is to maintain democracy and eliminate discrimination of all types.

Article 14 National Social Objective (1) and (2) (a) and (b) identifies the political objective of the Constitution as building a healthy social community with the ability to participate in development activities in various fields by taking the necessary steps to ensure that human dignity is preserved and maintained in accordance with the customs, traditions and Regulations of the Universal Declaration of Human Rights and other international conventions adopted by Tanzania; ensure that both the Government and its public provide equal opportunities for all citizens, without discrimination.

Chapter 5 part one on Human Rights and the Responsibilities of Citizens and National Authorities, of Tanzania's Constitution in Article 42 (1) and (2) Freedom to participate in public affairs recognizes the right and the freedom of citizens to participate in matters pertaining to the governance of the country and in the processes leading to decisions on matters affecting him/her, his/her well - being or the Nation; further, Articles 38 and 39 (see below) includes the right to Privacy and Freedom of Expression and Information. All these articles are relevant to this SEP in regards to access and use of information relating to personal or private affairs and the protection of communication.

Box 1.1: The Proposed Draft Constitution of Tanzania (September, 2014)

6 Principles of Governance

Article 6 (2) Principles of Governance include:

- (a) integrity ;
- (b) democracy;
- (c) accountability;
- (d) rule of law;
- (e) public participation;
- (f) human rights;

- (g) gender equality;
- (h) national unity;
- (i) transparency;
- (j) patriotism

Article 8 The People and the Government

(2) For the purpose of the condition in sub-article (1), the state and its organs are obligated to direct their policies and duties to ensure that:

- (g) national authority provides equal opportunities and rights to all people, women and men, without discrimination on the basis of colour, tribe, affinity, religion, or a person's status;
- (h) all kinds of injustice, threats, discrimination, subjugation, graft, oppression or nepotism are removed from the country;

Article 12 National Political Objective

12 (1) The objective of this political constitution is to maintain democracy and eliminate discrimination of all types.

(2) In order to ensure the implementation of this objective, the Government will take the necessary steps to: (a) make sure that it prevents and eliminates injustice, intimidation, discrimination, violence, corruption, oppression and privilege among citizens on the basis of ideology, the nature of the person, place of origin, descent, race, sex, religion or their belief;

Article 14 National Social Objective

(2) In the implementation of this objective, the Government will take the necessary steps to :

- (a) ensure that human dignity is preserved and maintained in accordance with the customs, traditions and Regulations of the Universal Declaration of Human Rights and other international conventions adopted by Tanzania;
- (b) ensure that both the Government and its public provide equal opportunities for all citizens, without discrimination;
- (c) ensure that services and social protection is provided for the handicapped, the elderly, children and people with disabilities;

Article 33 Prohibition against discrimination

(1) All persons are equal before the law and are entitled to protection and equality before the law.

(2) No person shall be discriminated against by any person, national authority or any other authority discharging its jurisdiction under any law or in executing a duty or responsibility of any national authority.

(3) No law enacted by any authority in the United Republic shall make any provision that is discriminatory either in itself or in its effect.

(4) The civic rights, duties and interests of every person and community shall be protected and determined by the courts of law or other state agencies established by or under the law of land.

(5) For the purpose of this Article, the word "discriminate" means to treat the needs, rights or other requirements of different persons on the bases of their nationality, tribe, place of origin, political views, colour, religion, sex, disability or station in life such that certain categories of people are regarded as weak or inferior and are subjected to restrictions or conditions whereas persons of other categories are treated differently or are accorded opportunities or advantage outside the prescribed necessary conditions.

Article 38 Freedom of Expression:

1 (a). Every person has a freedom of opinion and expression of his ideas; communicating and also has the right of not being interfered with in his communication;

1 (b) Every person has a right to be informed at all times of various important events of life and activities of the citizens, execution of the state authority of national policies and social development activities; and other matters of social importance

Article 39 Freedom of information and the news media

(1) (a) Every person has the right and freedom to seek, receive and use news and information and disseminate that information; and

(3) The government and its institutions shall have the responsibility of providing information to the public about Government activities and how they discharge their responsibility.

Articles 119 Local Government

(2) The purpose of the existence of Local Government is to devolve power to the people to give them the right and authority to participate in the planning and implementation of development activities in their area and across the country as a whole.

Article 120 Local Government Authorities

(c) involve citizens in planning, decision making and implementing their development plans;

LWATSAN Mwanza Project will comply with the applicable legislation during the preparation of the Environmental and Social Impact Assessment (ESIA), preparing community disclosure fact sheets, disseminating other information through the Multi Stakeholder Forum meetings and other stakeholder meetings, and responding to concerns through official public meetings and the development of its policies, Environmental and Social Management Plan (ESMP) and specific management plans thereunder.

3.2 Lenders' Guiding framework: EIB 2013 Standards

As a major investor, the EIB requires its environmental and social principles and standards applied to the project. These are defined in the EIB E&S Principles and Standards, namely the EIB Statement on Environmental and Social Principles and Standards and Volume 1 of EIB's Environmental and Social Handbook which comprises the Bank's 10 E&S Standards. In particular, EIB Standards 7 and 10, respectively on Vulnerable Groups and Stakeholder Engagement, are of most relevance.

The EIB principles and guidance on environmental and social matters are presented in the following documents:

- i) EIB (2013) Environmental and Social Practices Handbook
- ii) EIB (2010) The EIB Statement of Environmental and Social Principles and Standards
- iii) EIB (2009) Environmental and Social Practices Handbook

The objectives of the EIB Standard 7 in regards to stakeholder engagement and the rights and interests of vulnerable groups are:

- Affirm, respect, and protect the rights and interests of vulnerable individuals and groups within the designated operational scope, throughout the project lifecycle. Such rights include the right to non-discrimination, the right to equal treatment between women and men and the rights of indigenous peoples;
- Adopt a gender-sensitive approach to the management of environmental and social impacts, that takes into account the rights and interests of women and girls, men and boys, including specific attention to the differentiated burden of impacts that women and girls might face;
- Identify and avoid adverse impacts of EIB operations on the lives and livelihoods of vulnerable individuals and groups, including women and girls, minorities and indigenous peoples. Where avoidance is not feasible, to reduce, minimise, mitigate or effectively remedy impacts;
- Ensure that vulnerable individuals and groups are duly and early on identified in EIB operations and that engagement is meaningful, taking into account individuals' and communities' specificities, and delivered in an appropriate form, manner and language;
- Enable vulnerable groups, including women and girls, minorities and indigenous peoples to benefit from EIB-financed operations. This Standard is to be applied in synergy and cross-reference with EIB's other Standards, as relevant.

The EIB Standard 7 and the guidelines in this SEP apply throughout the preparation and implementation of the LVWATSAN-Mwanza Project. The required RAP (if any) will be prepared in accordance with guidance provided in this SEP and in accordance with EIB Standard 7.

To uphold international social safeguard standards, sufficient personnel and financial resources are required to meet the needs of quality and meaningful stakeholder engagement. To maintain or improve information sharing and knowledge management among project stakeholders, appropriate forms of communication and consultation are required and will be recommended in this SEP.

The endorsement and disclosure of this document by the Promoter in the operation, principally by the Ministry of Water, water utilities, the informal settlements of Mwanza and the local government concerned, will be critical if the SEP is to be successfully implemented.

4 Stakeholder Engagement and Community Liaison Activities

4.1 Stakeholder engagement at milestone instances

Highlighted below are elements foreseen at milestone instances during the SE process

- **Assessment phase**

The project's policy shall derive from the Tanzania proposed Constitution Article 12 National Political Objective and Article 14 National Social Objective (2014) and the EIB

Statement of Environmental and Social Principles and Standards (2009) as its highest-level policy articulating EIB's commitments to environmental and social sustainability and EIB E&S Practices Handbook (updated 2013) operationalizes the Statement as per EIB Social Environmental and Social Standard 7 on Rights and Interests of Vulnerable Groups and Standard 10 on stakeholder Engagement. Its policy objective commits LVWATSAN Mwanza Project to implementing a rigorous approach to managing public consultations and stakeholder participation, safeguarding the rights of vulnerable groups and establishing a mechanism ensuring access to grievance and remedy.

- **Design and planning phase**

Stakeholder engagement, including disclosure and dissemination of information, will be planned for and carried out in line with the EIB & GoT social and environment standards, stakeholder participation in order to lead to broad community support by the affected communities and longer-term sustainability of the project's activities. Stakeholders' inputs will be documented and carefully considered throughout the project preparation and implementation phases.

- **ESIA public consultation**

With the on-going ESIA process, stakeholders will be consulted to provide their inputs before finalization of the ESIA reports of the Water Supply and Sanitation in Mwanza and the informal settlements, satellite towns of Lamadi, Magu and Misungwi, and Musoma and Bukoba. LVWATSAN Mwanza Project will comply with the applicable legislation during the Environmental and Social Impact Assessment (ESIAs), preparing community disclosure fact sheets, disseminating other information through the Multi Stakeholder Forum meetings and other stakeholder meetings, and responding to concerns through official public meetings and the development of the Environmental and Social Management Plan (ESMP) Framework and specific management plans thereunder.

- **Establishment of project structures (PMU, STF, SC, MSF)**

LVWATSAN Mwanza Project also intends to maintain a consistent engagement with stakeholders based on international practices. This SEP is therefore intended to meet the requirements for such activities as described in standards 7 and 10. Further EIB requirements for stakeholder consultation and engagement include community cultural heritage, involuntary resettlement; rights and interests of vulnerable groups are integrated into this Plan where applicable. This Plan draws upon the EIB E&S Practices Handbook (updated 2013)

4.2 Stakeholder Engagement Activities Undertaken to Date

4.2.1 Overview

Stakeholder engagement at all levels has taken place since the 2009 LVWATSAN Ministerial meeting to date, during which period the process of development of the LVWATSAN Mwanza Project for the extension and upgrading of water supply and sanitation in Mwanza and satellite towns of Misungwi, Magu and Lamadi; Musoma and Bukoba as well as related studies and capacity building took place. At this stage in the process, UN-Habitat has hired a Community Development Expert based locally in Mwanza and near all the project towns, who is conversant with local dialect (Kiswahili) and knowledgeable on the interrelationships and dynamics within communities in the

informal settlements. However, the promoter is yet to have in place a Community Liaison Officer for the project.

Formal public consultation took place during the feasibility study and has continued thereafter as the Project evolves. The following table outlines the stakeholder groups that were consulted and summarises how that consultation was undertaken:

Table 1 Summary of Previous Consultation Activities

Stakeholder Group	Activities	Associated Output
General Public (nationwide)	As part of the initial stakeholder scoping engagement process, Mwanza City Council and Ilemella Municipal Council through the District Councils and the ward leaders meetings were organized and disclosure happened during consultation activities. Project disclosure in line with the community feedback, meetings have since been held to update the community on the progress and development.	<ul style="list-style-type: none"> • Key stakeholders and project locations identified; • Project locations identified and agreed upon
Various Government Agencies	Meetings were held with various government agencies such as the Ministry of Water and Division of Environment in the VPO, the Ministry of Finance, Mwanza Urban Water and Sewerage Authority (MWAUWASA), Misungwi MIUWASA, Magu MAUWASA, BukobaBUWASA, Musoma MUWASA, and Busega District Council/Lamadi were involved in identifying possible potential locations for water and sanitation facilities with the support from other government specialists.	Financing agreements concluded and commitment to SEP process

<p>Local Authorities and Communities</p>	<p>Contact was made with City and Municipal Councils, District Councils and Ward level of local administrative authority offices to inform them of the Project. Public meetings were held with each of the communities in the Project vicinity to advise people of the Project and to receive their comments and concerns.</p> <p>Community engagement also took the form of both formal and informal consultations with directly and indirectly affected people and communities to varying degrees depending upon the audience and information being disclosed. Formal engagement included focused group discussions on active community participation through Multi Stakeholder Forums (MSF) involving community members and other stakeholders, involving local leaders and experts.</p> <p>All of the above formal, ad hoc informal, indirect and direct engagements were documented.. Based on the collective feedback,LVWATSAN Mwanza Project considered the concerns and expectations raised by local communities during the design and decision-making process, and presented suitable alternatives or mitigation in order to ensure an equitable solution both for the communities and the Project. The LVWATSAN Mwanza Project Teams continues and maintains a log of community engagement, which will continue through the life of the Project.</p>	<p>Framework for collaboration framework between the Promoter and the local authorities established</p> <p>MSFs formed and made operational</p> <p>Documentation and inclusion of stakeholder concerns in the decision making process for the LVWATSAN Mwanza Project</p>
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4.2.2 Summary of Stakeholder Concerns to Date from Initial Stakeholder Engagement Process

Table 2 Stakeholder Concerns to Date

Topic / Issue	Stakeholder Concerns	LVWATSAN Mwanza Project and Actions
Employment opportunities	<ul style="list-style-type: none"> • Very high expectations of employment for local youth (for unskilled labour) in project towns • However job opportunities are fewer for local persons and stakeholders as they generally have less education, skills and training. 	<ul style="list-style-type: none"> • LVWATSAN Mwanza Project and contractors committed to employment of local people, but will need to manage unrealistic expectations. • Putting in place measures to facilitate MSFs to register potential candidates with construction skills. • LVWATSAN Mwanza Project to monitor number of locals employed by Project. •
Training and Capacity Building opportunities	<ul style="list-style-type: none"> • Implicit desire of communities for training to develop new or improve existing skills needed for employment or to support entrepreneurial ambitions such as waste recycling. 	<ul style="list-style-type: none"> • The nature and timescale of construction works and the small operations phase workforce means that there is only very limited scope for any substantial skills training. • Skills training programme is planned for sanitation and hygiene promotion – Sanitation Social Marketing including basic knowledge in solid waste management for beneficiary communities in the project towns.
	<ul style="list-style-type: none"> • Implicit desire of communities to receive training / support for youth and the community in general to enhance their awareness to protect new facilities, the environment and participate in the management of public facilities (e.g. sanitation facilities at market places, etc.) to ensure sustainability as contribution from local people to the Project. 	<ul style="list-style-type: none"> • As for training, the Project has little scope for direct interventions in TCB provision LVWATSAN Mwanza Project will provide orientation workshops focusing on public awareness on sanitation and hygiene promotion through the MSFs
Local economic	<ul style="list-style-type: none"> • Potential local service 	<ul style="list-style-type: none"> • LVWATSAN Mwanza Project

<p>stimulation and business development</p>	<p>providers (e.g. Lake fishermen, business men) could be keen to participate in providing services to LVWATSAN Mwanza Project and its contractors, but lack information on how to adjust their businesses to meet new needs.</p> <ul style="list-style-type: none"> Local entrepreneurs may want support (e.g. capacity building, access to microfinance and order commitments) to develop and sustain their businesses. Local/regional entrepreneurs / businesses have limited understanding about meeting the high standards required by LVWATSAN Mwanza Project and need to know how they can become suppliers. 	<p>committed to stimulating business and ensuring local content in procurement activities where practicable, but may need to manage any unrealistic expectations.</p> <ul style="list-style-type: none"> LVWATSAN Mwanza Project will build community water points/kiosks (to be used as shops/ stores in identified low income and high density populated areas for management by the community, thus promoting sustainability). Consideration of range of measures to facilitate local procurement/ services
<p>Access to water / water quality</p>	<ul style="list-style-type: none"> Increased demand for water which is already in scarce supply due to introduction of Project workforce and possibly other in-migrants. 	<ul style="list-style-type: none"> Implementation and enforcement of range of environmental management measures to deal with protection and conservation of water resources. Participative community monitoring of water resources. Stakeholder grievance mechanism.
<p>Local and national government</p>	<ul style="list-style-type: none"> Upgrading Lamadi from village status to town council and establishing a grade C water authority to manage new water facilities Authorities' expectations that secondary businesses will be encouraged /supported by LVWATSAN Mwanza Project. Employment expectations are high locally and may be of critical importance to local government. Anticipated increased pressure on public services and expectations of new 	<ul style="list-style-type: none"> On-going consultation and liaison with relevant ministries and other organisations across multiple subjects LVWATSAN Mwanza Project committed to stimulate the local economy and endeavour to utilise local content in procurement activities where possible, but may need to manage any unrealistic expectations.

	<p>water and sanitation investments to help service delivery improvements.</p> <ul style="list-style-type: none"> • Possibility of in-migration to the area, which may generate spontaneous development 	
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4.3 Stakeholder Mapping - Identification and Analysis

Stakeholder mapping will involve identifying, analysing and categorising. Initially this will assist to determine project requirements and ultimately it will help to manage and communicate project information effectively with the stakeholders.

4.3.1 Stakeholder Identification/categorization

The first step will be the exercise of identifying project stakeholders. Stakeholders are defined as groups or individuals who will be or are likely to be directly or indirectly affected, positively or negatively, by the project at hand. The EIB Environmental and Social Standards Vol. 1, (standards 7 and 10) being applied to this project define two main categories of stakeholder; differentiating between those are likely to be directly or indirectly affected, positively or negatively, (commonly referred to as project-affected people, households or communities) and those who might have an interest in, or may influence the project. Following this definition, the two principal groups of stakeholders in the LVWATSAN Mwanza Project are broadly categorised as follows:

a) Affected groups: People or entities directly affected by the project and have been identified as potentially vulnerable to change and who need to be engaged in identifying impacts and their significance, as well as in decision-making on mitigation and management measures. Affected parties these are persons located within the project defined area of operations but may be elsewhere (e.g. people who live outside of the project towns but have personal or business interests that may be directly affected by the development of the project). Affected parties include 2 sub-groups:

i) Directly affected groups: these include communities, groups and individuals likely to be displaced physically and economically by the project, including any vulnerable or marginalised groups or stakeholders;

ii) Indirectly affected groups: which comprise residents, businesses, officials and administrators in project towns who may be indirectly affected by employment opportunities; local community-based groups representing affected groups and/or other affected parties; politicians at national, regional, local levels; and employees, their representatives and contractors to LVWATSAN Mwanza Project.

b) Interested Parties: other interested parties include people or entities that are interested in the Project and could affect the project in some way. These include residents of the adjacent wards within the project towns; national and international civil society, NGOs, CBOs or and faith-based organisations (FBOs); suppliers and service providers to LVWATSAN Mwanza Project located elsewhere in Tanzania or internationally; other on-going projects in the project areas or regions; the Government of Tanzania, including government officials, permitting and regulating agencies at the

national and regional levels; Lenders' to the Project; and local media, academics and other interest groups.

For the purposes of this SEP project stakeholders have been categorized into several groups as indicated below:

a) National Government which comprise the following categories:

- i) Ministry of Finance;
- ii) Ministry of Water
- iii) Ministry of Environment
- iv) Ministry of Lands, Housing, and Human Settlements

b) Local Government includes:

- i) Mwanza City Council, Ilemela Municipal Council
- ii) Bukoba Municipal Council
- iii) Musoma Municipal Council
- iv) Misungwi District Council
- v) Magu District Council
- vi) Lamadi Town Council
- vii) Busega District Council

c) Urban Water Utility Authorities are as follows:

- i) Mwanza Urban Water and Sanitation Authority (MWAUWASA)
- ii) Musoma Urban Water and Sanitation Authority (MWAUSA)
- iii) Bukoba Urban Water and Sanitation Authority (BUWASA)
- iv) Magu Urban Water Supply Authority (MAUWASA)
- v) Misungwi Urban Water and Sanitation Authority (MIUWSA)
- vi) Lamadi - Busega District Council

d) Agencies and Stakeholders

- i) European Investment Bank
- ii) Agence Française de Développement (AFD)
- iii) UN-Habitat

e) NGO/CBOs

- i) Centre for Community Initiatives (CCI)

4.3.2 Community (stakeholders) categorization

Community mapping will facilitate prioritising the people in the community with human rights entitlements related to the project, as well as identifying the institutions accountable for these entitlements. Mapping will facilitate differentiation between rights and interests in the project and ensure the rights of stakeholders are respected, given that rights constitute a primary responsibility for the promoter.

A participatory stakeholder mapping exercise will be conducted for community members to determine a key list of stakeholders across the entire stakeholder spectrum and ensure that no stakeholder is missed out from the onset. The UN-Habitat Toolkit for supporting Participatory Urban Decision Making will be utilised in this regard in the

project, as it spells out a group technique that can be applied in mapping community stakeholders:

- The participants put the name of each stakeholder on white, circular cards of approx. 10cm in diameter and put them on a big table, or the floor or a wall (with removable adhesive).
- When no more suggestions for stakeholders are presented, the main interests of each stakeholder are identified in relation to the focus questions.
- The cards are organized in clusters of related interests. When agreement has been reached, the white cards are replaced with coloured cards, one colour for each cluster. The name of the stakeholder is transferred to the coloured card, and the main interests of the stakeholder are written on the card below the name.
- The coloured cards are organized in star-like fashion along a line for each cluster where the centre of the star is the project or the initial focus question. Using group judgments, the cards are placed at a distance from the centre corresponding to the importance of the stakeholder for the project. The cards must be fixed with removable adhesive, allowing later modifications of the visual presentation.
- **Target communities** – target communities are rights holders¹. Individuals and communities residing in the selected project sites are likely to be directly impacted by the project.
- **Poor women and men, the elderly, youth, orphans and other vulnerable groups**– are rights holders but are often excluded from decision-making processes. They are also most affected by the lack of basic services such as water and sanitation.
- **Local water vendor associations** - are rights holders and are currently responsible for most of the service provision to the poor communities in the target communities. The LVWATSAN-Mwanza will consult and engage them to ensure they are integrated in service provision.
- **Active Community-based organizations and Non-governmental Organizations** – they are not rights-holders, but may act in a representative capacity for individuals who are rights-holders. They are often responsible for community mobilization, awareness raising, and training and education activities. There may also be opportunities for contracting non-governmental organizations and community-based organizations groups for project implementation and service provision.
- **Local private sector** - improvements in water supply and sanitation will likely attract further investments and increase local economic activities in the target communities. The Local Chamber of Commerce/local private sector are, therefore, considered to be direct beneficiaries of LVWATSAN-Mwanza.
- **Local Media**- responsible for raising levels of awareness about water, sanitation and hygiene issues.

4.3.3 Stakeholder analysis

Stakeholder analysis involves defining stakeholders' roles, resources, duties, responsibilities and their expectations. This process allows to differentiate types of stakeholders by considering their rights, roles, duties and responsibilities in the given

¹There are two stakeholder groups in rights-based development—the rights holders (who do not experience full rights) and the duty bearers (the institutions obligated to fulfill the holders' rights). Rights-based approaches to development aim at strengthening the capacity of duty bearers and empower the rights holders.

context, outlining rights-holders and duty-bearers. Such analysis will help identify all impacted individuals and communities (right bearers) and the rights which they hold and may be threatened or interfered with in an operation. Government agencies, promoters and other parties (e.g suppliers and contractors) as duty bearers, have the obligation and responsibility to ensure that these rights are upheld.

EIB standard 10 defines rights-holders as individuals and some groups (such as indigenous peoples), who have human rights. While organisations or entities, such as states, trade unions or religious institutions, are not human rights-holders, but may act in a representative capacity for individuals who are rights-holders. Duty-bearers are all those actors who have human rights duties and responsibilities vis-à-vis the project affected rights holders. States are the primary human rights duty-bearers, given they have a legal obligation to protect, respect and fulfil human rights. Companies and their contractors, suppliers and other business partners, have a complementary responsibility to respect human rights which is to avoid infringing on the human rights of others and address those impacts with which they are involved. The roles and responsibilities expected of the key institutional stakeholders are summarised in section 1.4

4.3.4 Stakeholders Prioritisation

A sound community relations approach to engagement with stakeholders shall be established to build on in-depth and structured analysis of stakeholders. This will allow LVWATSAN Mwanza Project to determine appropriate engagement levels enabling to distinguish which stakeholder groups to prioritise within the stakeholder engagement or within the community relations strategy. For instance influential stakeholders significantly to be impacted by the Project typically would make good partners for LVWATSAN Mwanza Project to work with, while stakeholders with limited influence who are significantly impacted are best approached through an empowerment or rights protection perspectives, as they may not have the capacity to represent themselves properly.

Similarly interested parties can be a low priority for community relations efforts, but their capacity to exercise high influence over the project, means that they need to be kept informed and involved, while building strategies to reduce any inappropriate demands that they place on the project.

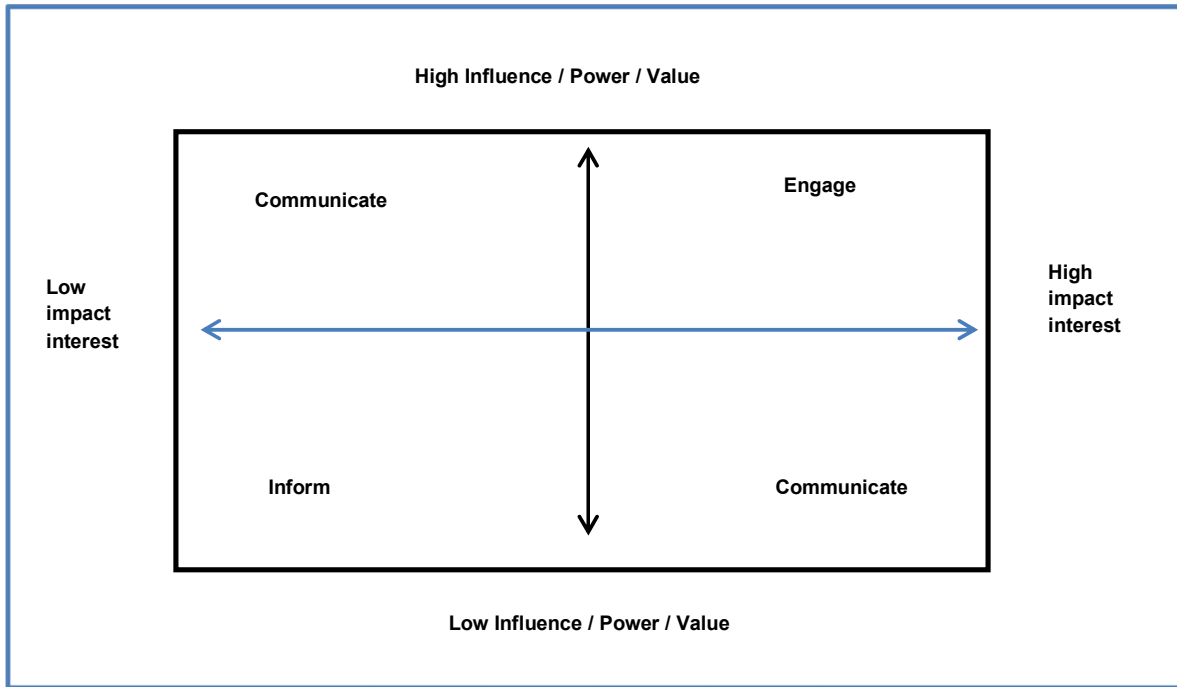
LVWATSAN Mwanza Project team will continue to undertake analysis of its various stakeholder groups as stakeholder's status could change during the course of a project; this can affect the level and methods of consultation and engagement. Therefore analysis and prioritisation needs to be regularly updated. The CLO will be responsible for on-going stakeholder identification, mapping and analysis. The CLO will also be responsible for updating the stakeholder database and matrix as well as creating/updating Key Stakeholder Profiles.

The analysis for prioritization will involve mapping stakeholder using the following three key determinants:

- The Project's potential impact on the stakeholder;
- The stakeholder's projected level of interest in the Project; and
- The stakeholder's degree of influence / power on or value to the Project.

By plotting influence together with impact/interest on a matrix diagram as illustrated in the figure and taking due account of further criteria such as expertise (i.e. knowledge to contribute and legitimacy) and the stakeholders' willingness to engage, the relative needs of key stakeholders in terms of the level and type of consultation and engagement are determined and can therefore be properly planned.

Figure 1 Stakeholder Matrix



The LVWATSAN Mwanza Project definitions of impact/interest and influence/power are described in the following table:

Figure 2 Definitions for Stakeholder Analysis and Mapping

	Impact / Interest axis	Influence/Power axis
High	<p>The stakeholder will experience a high degree of impact as a result of the Project (e.g. resettlement, complete loss of livelihood, loss of pasture / water, etc.).</p> <p>OR: The project is directly related to stakeholder's institutional field of interest and/or responsibilities</p>	<p>The stakeholder has decision-making powers regarding whether the project will go ahead or not and/or about the adequacy of the ESIA process and/or LVWATSAN Mwanza Project's mitigation strategies</p>

Medium	<p>The stakeholder will experience some degree of impact but impacts can be managed and/or mitigated.</p> <p>OR: The project or aspect thereof has some relevance to the stakeholder's institutional field of interest and/or responsibilities</p>	<p>The stakeholder can influence the scope and timing of the ESIA and/or LVWATSAN Mwanza Project's mitigation strategies</p>
Low	<p>The stakeholder will experience very few effects as a result of the project</p> <p>OR: the project has limited relevance to the stakeholder's institutional field of interest and/or responsibilities</p>	<p>The stakeholder has very little control over the project</p>

4.3.5 Vulnerable groups

Vulnerable or marginalised stakeholders are defined as affected groups or individuals within the project area of influence who could experience adverse impacts more severely than other stakeholders based upon their disadvantaged or vulnerable status. Such vulnerability may be evident due to factors such as ethnicity / race, gender, age, language, religion, political or other opinion or other status. A range of further factors needs to be taken into account to determine vulnerability status including culture, physical or mental (dis)ability, lack of literacy / numeracy, poverty or other economic disadvantage, and (over) dependence on ecosystem services for livelihoods or sustenance. Affected groups and individuals may belong to more than one vulnerable social group.

Vulnerable stakeholders require an open and inclusive approach to engagement that provides them with suitable opportunities to participate and voice their concerns. Some vulnerable stakeholders will need special attention in this SEP due to the factors that define their vulnerability. Accordingly, differentiated measures may be applied to ensure the effective participation and obtain feedback from vulnerable stakeholders.

4.3.6 Identification of vulnerable groups

EIB Standard 7 on the Rights and Interests of Vulnerable Population Groups requires that particular attention is paid to vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, people living with disabilities and the poor. These groups may not be considered or included in the decision-making process and do not access to justice. In this context vulnerability is defined as lack of resilience to changes that threaten one's welfare; these can be environmental, economic, social and political, and they can take the form of sudden shocks, long-term trends, or seasonal cycles.

It is anticipated that the vulnerability element expected to be prominent in this project when engaging with people is the higher levels of poverty in the informal settlements of

Mwanza and many of the households in the targeted towns as considered poor by international poverty lines. Poverty levels could be higher particularly for unemployed persons, women headed households, the elderly and physically challenged persons, children/youth; widows; single and female heads of households have restricted access to income generating activities and suffer from higher levels of food and water insecurity, which are basic human rights, and ignorance about their rights etc. Their condition and status prevents them participating actively in the community social and economic initiatives and the stigma from within the community worsens their situation. In most cases are unable to fight for their rights.

LWATSAN Mwanza Project through the CLO will document individuals and groups identified in the outcomes of the various socio-economic baseline and impact studies as differentially or disproportionately affected by the project due to their disadvantaged, isolated or vulnerable status. As a result, the delivery of stakeholder engagement will consider specific and proactive engagement measures for these groups, so as to support their meaningful participation and benefit from the processes described in this document.

4.3.7 Monitoring Changes to Vulnerability

The CLO will continue to assess the vulnerability of individual and groups as indicated who may be potential candidates for vulnerability status. Particular attention shall be accorded to the most vulnerable, least visible and voiceless for whom special consultation measures may be required. The CLO will be required to maintain and update existing records of vulnerable stakeholder groups throughout project cycle. Monitoring and evaluation of vulnerability status when specific needs are identified shall be undertaken using the criteria developed in the Vulnerability Screening Checklist (see format in Appendix D).

4.3.8 Differentiated Engagement Measures

In case some groups has experienced inequalities and exclusion practices for generations may require separate engagement approach. In order to ensure the rights and interests of vulnerable groups are protected the monitoring system will take into account this reality by protecting the rights and interests of vulnerable groups from discrimination and unequal treatment. The monitoring system also is modified as a result including appropriate and disaggregated indicators that capture precise details of the vulnerable groups. At the same time observe the engagement and consultation processes and the impact of the project.

The type and nature of such measures will vary according to circumstances and may consist of any combination of the following:

- Ensuring the legitimacy of any designated representatives for vulnerable groups;
- Respecting traditional decision-making governance;
- Engaging separately with women and men whenever pertinent;
- Subsidising travel and/or subsistence expenses of vulnerable stakeholders attending engagement events; and
- Focusing any mitigation on sustainable livelihood development for such groups.

4.4 Engagement Planning

In line with Standard 10 of the EIB Environmental and Social Standards, stakeholder engagement will be built into LVWATSAN-Mwanza Project's planning in a way that enables a meaningful information exchange with all identified stakeholder groups at the very beginning of the project and at subsequent key decision-making points in its life cycle. In this regard, the stakeholder engagement process will consist of three interrelated stages to support the assessment, design and implementation phases (see Figure 1 below).

During the assessment phase the promoter will engage in a preliminary scoping process with identified affected individuals, communities and other relevant stakeholders to ensure the identification of all key issues to be investigated as part of the Environmental and Social Impact Assessment (ESIA) process. This will involve participatory group discussions and interviews where stakeholders will be able to provide their views and concerns, the state of water and sanitation services coverage, institutional capacity and governance structures, the environmental and social among others to be included in the SEP.

The design phase will involve community sensitization meetings and stakeholder workshops to provide stakeholders with project-related information, including the opportunity to understand, review and provide input on the proposed interventions.

The implementation phase will involve the formation and operationalization of multi-stakeholder forums² to monitor project implementation and provide regular feedback to the project implementation team. The forum will also act as a grievance mechanism

4.5 Information Disclosure

Information disclosure is an ongoing process that started from the early stages of the feasibility study of the project. Relevant information preferably in the local language (Swahili) will be shared among stakeholders in a timely, accessible and culturally appropriate manner throughout project implementation. Special attention shall be given to vulnerable or minority groups and their right to equitable representation and consideration for their rights, views and interests. Standard 10 states that "The promoter will provide the following information ("the Information") to all identified stakeholders who are likely to be affected by adverse environmental or social impacts from the project":

- the purpose, nature, scope, objectives and scale of the project;
- the duration of proposed project activities, roles and responsibilities of other stakeholders ;
- any risks and potential adverse impacts with regard to the environment, land tenure changes (resettlement, land acquisition or expropriation, where necessary), occupational and community health, safety and security, and any other potential adverse impact on communities arising from the project;

²A multi-stakeholder forum (MSF) is a group composed of representatives of various stakeholder groups that meet regularly to monitor and guide the implementation of LVWATSAN-Mwanza.

- the rights endowed to affected population under the Lenders' standards, the proposed mitigation and compensation plans and associated budget;
- the available grievance mechanisms;
- any added value and opportunities for benefit-sharing;
- the envisaged consultation process and opportunities and ways in which the public will be able to participate; and
- time and venue of any envisaged public meetings, and the process by which meetings are notified, summarized, and reported.

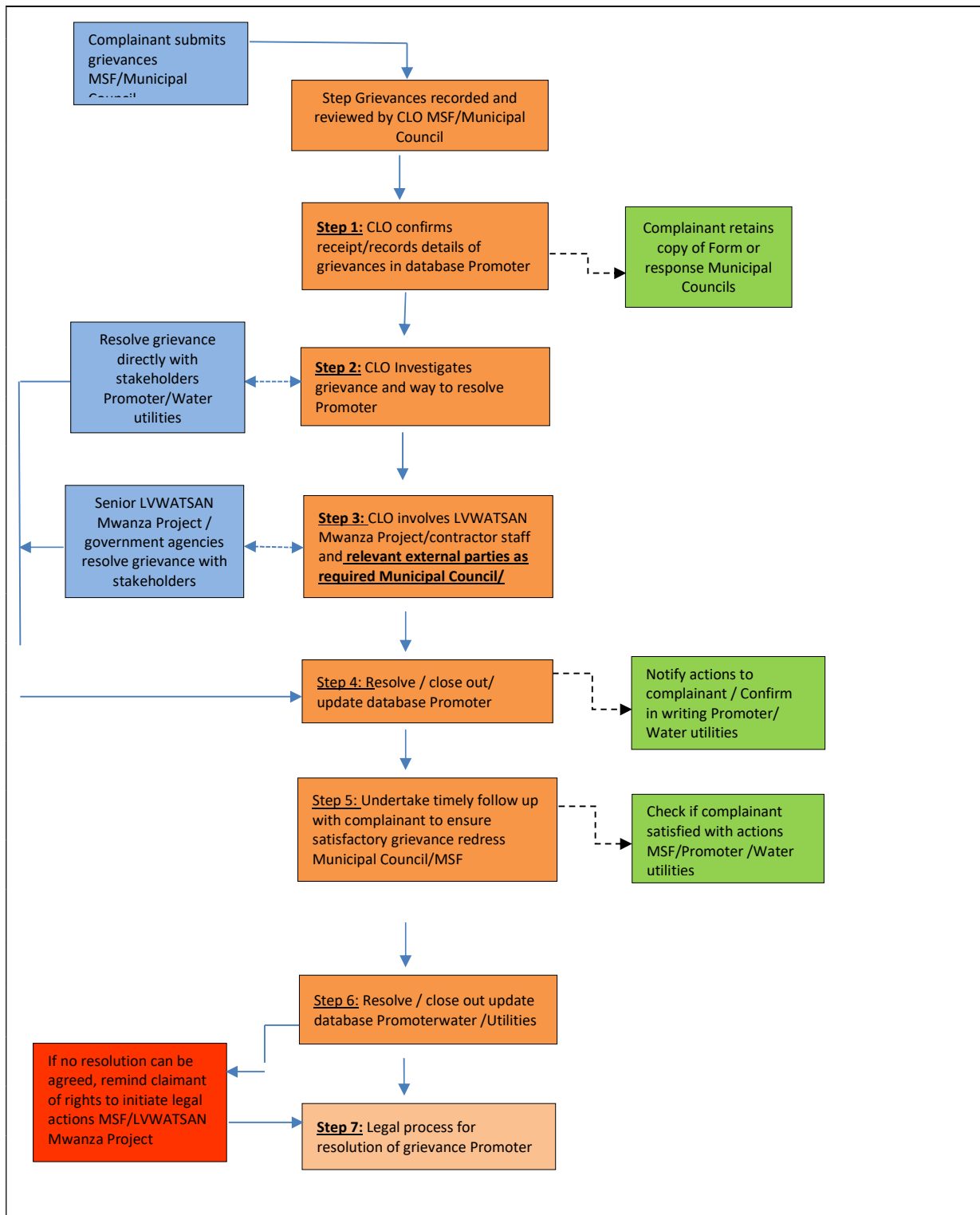
4.6 Public Consultation

Consultations will be undertaken through community meetings and workshops to explain the purpose, nature, objectives and scale of the project, opportunities for stakeholder participation and grievance mechanisms. During the consultations, stakeholders will have the opportunity to provide feedback on their needs and priorities with regard to the proposed project activities, therein ensuring reciprocity in the dialogue between them and the Promoter.

Special effort will be made to promote the participation of vulnerable individuals and groups in public consultations. These individuals and groups that are regularly excluded from governance and public decision-making because they lack the organizational, social or financial means to make their voices heard and participate effectively. The promoter shall make efforts on integrating vulnerable groups' perspectives in stakeholder consultations throughout the project life cycle.

5 Grievance Mechanism

Figure 6: Grievance Procedure



5.1 Management of project-based Grievances

LVWATSAN Mwanza Project Grievance Procedure

Grievances for all stakeholders involved in any project based matter may be received verbally or in writing, at LVWATSAN Mwanza Project or contractor offices or via the consultant's or contractor staff, and are most likely to be made known on an ad-hoc basis.

All grievances – including any anonymous, group, unclear, potentially problematic grievances - received should be immediately recorded by the CLO, consultants or contractor staff - using the **CONTACT REPORT, GRIEVANCE FORM** or direct input to database - and then submitted to the CLO within 24 hours for insertion into the grievance database.

The CLO (or delegate) will then implement the following draft grievance procedure:

Step 1: Confirm Receipt of Grievance

All grievances from all sources should be handled as quickly and effectively as possible, although in practice the nature, complexity and legitimacy of the complaint is a key factor in determining the timescale and course of action required. In regard to local communities, the CLO will undertake regular visits to affected settlements (a minimum of monthly visits or more frequently if required) and maintain close contacts with Village and Ward officers / elders, setting up a weekly phone call to identify potential and actual submitted grievances and provide an update on their handling procedure.

As a general rule, all claims from affected communities should be accepted (i.e. logged) and, irrespective of the nature of the grievance, undergo a review and investigation process. Where practicable, the CLO will confirm receipt of the grievance by telephone or text message directly to the complainant or to village chief as soon as possible. Records of all proceedings will be kept and logged on the grievance database, being categorised as per **GRIEVANCE CATEGORISATION**, which sets out what authorities should be involved in grievance redress according to its category and type. In cases of grievances that do not fall into the categories and types described herein, the CLO and Consultants PMC Technical and Social/Environmental Team will decide upon an appropriate course of action in consultation with the relevant stakeholders.

If warranted (e.g. if complaint received from a national or international NGO, etc.) in writing within 7 days (**ACKNOWLEDGEMENT TEMPLATE**). The acknowledgement will include:

- A reference number;
- A summary of the complaint / grievance / enquiry (as understood by the CLO on the basis of information received so far); and
- The name of the CLO or delegate with contact information.

Monitoring

- a) Percentage of total number of grievances received identified as requiring resolution;
- b) Percentage of total number of grievances received being confirmed verbally / by telephone; and

- c) Number of non-community complaints and percentage of written acknowledgements despatched by the CLO **within 7 days** of receipt (target 100%).

Step 2: Investigate Grievance and Seeking of Resolution

The CLO will seek to meet with the claimant within 14 days of receipt of grievance to carry out further investigation into the matter and attempt to seek resolution. Where deemed appropriate and with the agreement of the claimant, the relevant local authority or other legitimate community representatives/MSFs may also be involved in such investigations. If resolution can be achieved by the CLO following the meeting and with agreement with management, the grievance will be closed out either verbally or using the **CLOSE-OUT FORM** as appropriate.

Where the CLO is unable to resolve a grievance within 7 days of meeting with a claimant, the CLO will advise the claimant on the need to involve senior LVWATSAN Mwanza Project management and/or third party authorities and the anticipated timeline for the next stage.

Monitoring

- a) Percentage of meetings with claimant held within [XX] days of receipt of grievance (target 100%);
- b) Percentage of grievances (requiring resolution) per grievance category, resolved by CLO **within 7 days** of meeting the claimant (target 100%); and
- c) Percentage of grievances (requiring resolution) per grievance category, resolved by CLO **in more than 21 days** of meeting the claimant.

Step 3: Involving seniorLVWATSAN Mwanza Project management or third party authorities where required

Where the resolution of a grievance necessarily involves senior Consultants management or third party authorities, this can include the PMC Technical and Social/Environmental Team and/or MCC and IMC Director. The decision regarding who should be involved will depend on the category and type of grievance.

In cases of involvement of senior staff from MCC and IMC management the aim will be to resolve grievances within 21 days from the CLO meeting with the claimant in Step 2. A resolution meeting will be held and attended by the CLO, senior MCC and IMC management, local authorities and the claimant, as well as any other parties as relevant to the nature of the grievance (e.g. contractor management, local police, lawyers, neighbours, other witnesses etc).

In cases of independent third party involvement, the target will be to resolve grievances within 28 days from receipt of grievance. The CLO will follow up every 14 days with the claimant and the relevant authorities to investigate and report status and to facilitate resolution. As appropriate, the CLO will advise claimants to write to the respective authority, providing assistance to do so if required, to appeal a decision and/or to request a resolution meeting. The CLO will retain a copy of the letter in the file.

Monitoring

- a) Percentage of grievances requiring the involvement of seniorMCC and IMC management resolved **within 14 days** from the CLO meeting with the claimant (target 100%);

- b) Percentage of grievances requiring the involvement of senior MCC and IMC management **resolved in more than 14 days** from the CLO meeting with the claimant;
- c) Percentage of grievances requiring the involvement of third party authorities resolved **within 30 days** from receipt of grievance (target 100%); and
- d) Percentage of grievances requiring the involvement of third party authorities resolved in **more than 30 days** from receipt of grievance.

Step 4: Close Out

If the Grievance is resolved, the CLO will ensure that the agreed corrective action is documented and the grievance process is formally closed out either verbally (local complainant) or the **CLOSE-OUT FORM**(interested party such as NGO).

Monitoring

Percentage of grievances still to be resolved **more than 60 days** after acknowledgement of complaint.

Step 5: Facilitate provision of additional assistance or other action (if required)

If Step 3 concludes that a complaint is to receive additional assistance or benefit from some other action(s) (i.e. offer of compensation or other support), then the CLO will coordinate with LLVWATSAN Mwanza Project /MCC and IMC and initiate suitable arrangements accordingly.

Step 6: Follow Up

Where resolution is achieved and any further actions are required the CLO will follow up with claimants every three months (or as appropriate) in order to ensure that all agreed actions have been carried out.

Step 7: Legal Redress

If following application of the grievance mechanism the claimant is still not satisfied, the CLO should remind the claimant of their right to take legal action and document any advice given and outcomes of the legal process. In the case of a claimant resorting to legal action, the CLO should collate all information concerning the grievance, including all actions taken to date, and provide them to the LVWATSAN Mwanza Project's Legal Counsel for their information / action.

5.2 Grievance procedure: tiered institutional roles and responsibilities

5.2.1 Role & responsibilities: Community Liaison Officer (CLO)

LVWATSAN Mwanza Project shall engage a CLO as a member of the PMU Team, who will be responsible for the administration of the grievance mechanism for the entire project area. The CLO will report to the Managing Director of MWAUWASA through the PMU. The CLO will closely work with the UN-Habitat Community Expert for matters relating to Mwanza, the informal settlements and the satellite towns and be assisted by PMU Technical and Social/Environmental Team colleagues where required.

The principal grievance responsibilities of the CLO are to:

- Inform stakeholders about the grievance procedure (via Explanatory Note, below, for village chiefs);

- Record stakeholder grievances, both written and oral, categorising them and seeking solutions within a specified time period;
- Coordinate with relevant stakeholders and LVWATSAN Mwanza Project, MWAUWASA Employers Representative, Consultants personnel;
- Maintain regular contact with complainants and other stakeholders to investigate and report progress regarding their grievances and ensuring momentum towards resolution;
- Specifically related to the administration of the grievance mechanism, and with assistance of COWI and PMC colleagues as required, the CLO will:
 - Set up a systematic process of recording grievances, in hard copy in the grievance form. Copies may be made accessible to stakeholders upon reasonable request;
 - Prepare an electronic database for recording and keeping track of grievances raised and their outcomes. The database will be updated weekly;
 - Communicate the grievance procedure to stakeholders, the process for recording their complaints and, where possible, the likely timeframe for redress. Communication will be carried out through community meetings involving the MSFs in host communities. Leaflets providing an outline description of the grievance mechanism in Swahili will be distributed to all affected households;
 - Raise the progress of grievances at team meetings for discussion, identifying the required coordination/interaction with other stakeholders and in particular highlighting cases requiring COWI and PMC management input. The A-RAP team may also identify grievances that need decisions to be taken at senior consultants management level and report these to the STF Manager and /or the Managing Director as required;
 - Provide prompt and regular updates to stakeholders on the status of their grievance, including reasons for any delays. Where grievances are being addressed by IMC and MCC/ implementing agencies this update should be provided weekly; and
 - Ensure regular contact with claimants where grievances are dealt with by other stakeholders thus maintaining communication and encouraging momentum in the grievance process

5.3 Reporting requirements

Creation of baseline information on vulnerable and affected persons will be the most important information to document in the first phase of stakeholder engagement. Existing social and economic data were initially collected in the project towns of Mwanza town and the informal settlements, Musoma and Bukoba during the feasibility study. Social and economic information the population, living conditions, water and sanitation are presented in the project formulation reports for each of the town. These data will be supplemented after the baseline assessment of affected persons and identification of key social impacts during the stakeholder engagement process.

Suggested baseline indicators and issues to be reporting on will include the following:

- Demographics: age, sex, household size, births, deaths;

- Socio-economic data: gender, ethnicity, health, education, occupation, income, and income sources.
- potential adverse impacts on vulnerable groups are present or
- baseline disaggregated data by factors such as gender, ethnicities, age, etc.
- vulnerability profile of affected population;
- the specific context, including legal and institutional parameters
- report on the historical frequency and severity of discrimination, social, economic or political exclusion and marginalisation suffered by the identified population;
- the scope and nature of adverse impacts and their effect on the identified population when compounded with their pre-existing vulnerability, and their access to resources and cultural heritage;
- specific actions, past or future, to avoid, minimise, or otherwise mitigate or remedy negative impacts and, as appropriate, to reinforce positive effects, including identifying opportunities and actions to promote benefit-sharing modalities for the communities; and in line with Standard 10, an appropriate engagement, consultation and participation plan, describing relevant consultation mechanisms.
- Any other relevant additional information

6 Implementation of SEP and Institutional Arrangement

6.1 Overall Project Organization and Implementation Arrangements

For the LVWATSAN Mwanza project there is a need to coordinate the stakeholder engagement to ensure transparency throughout the process. The Ministry of Finance (MoF) representing the government is the ‘borrower’ of the loan, the Ministry of Water (MoW) is the ‘Promoter’ and will have the ultimate ownership of this project. For Mwanza town, the informal settlements and the satellite towns is represented by MWAUWASA, and at the operational level daily oversight of the project will be managed by the Project Management Unit (PMU). Bukoba and Musoma will be represented by the Ministry of Water who will oversee BUWASA and MUWASA.

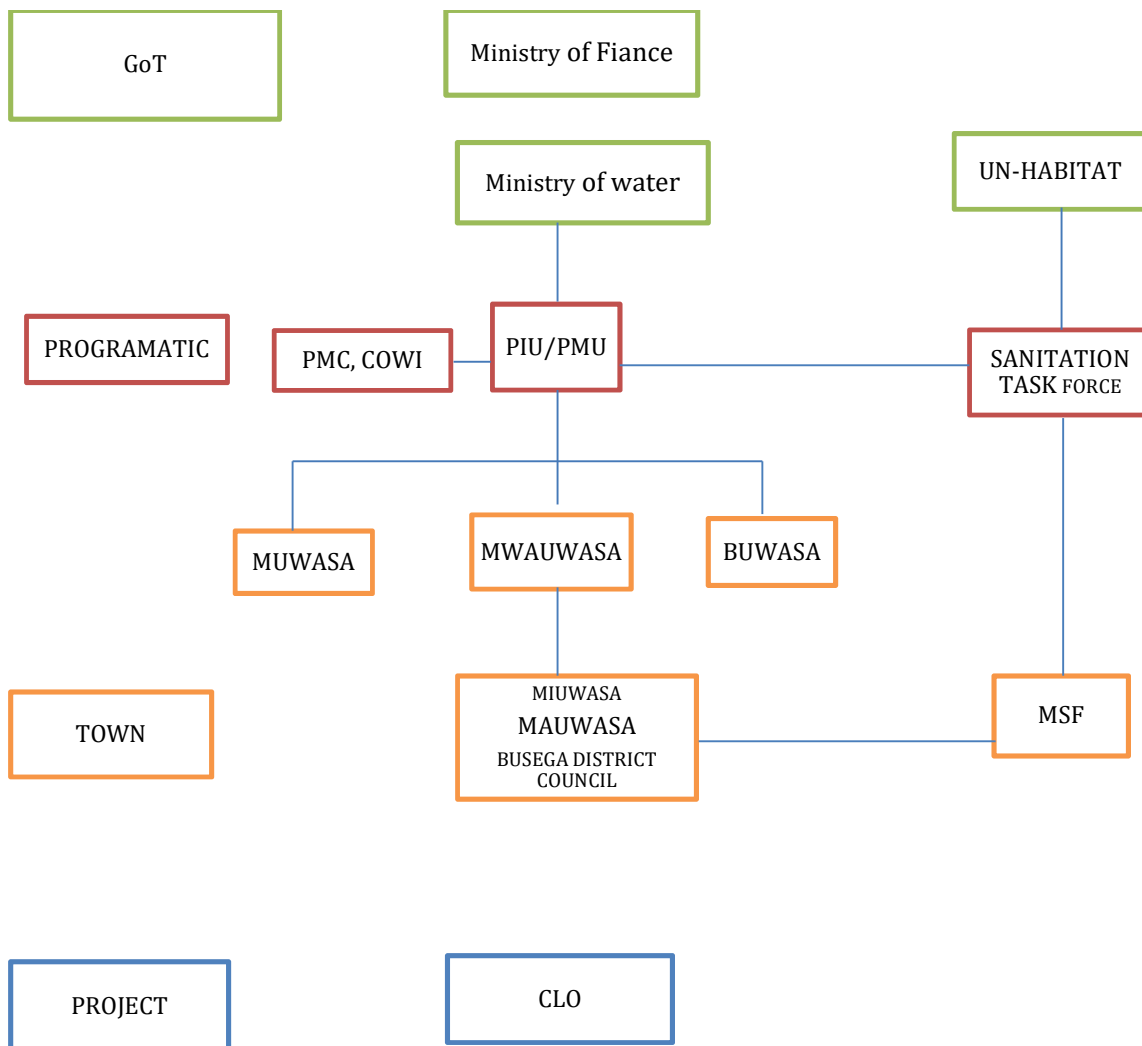
The SEP will be implemented by the water authorities, alongside the local authorities. A Community Liaison Officer (CLO) who is a Community Expert will be assigned to the LVWATSAN Mwanza Project to be based in Mwanza. The specialist will work closely with the Local Authority’s Environmental Management Officer to implement the SEP and grievance mechanism to reach out to affected persons.

6.2 Roles and Responsibilities of Key Institutional Actor

The Government of Tanzania through the implementing agencies and the Managing Directors of the water utilities through the Project Management Units has overall responsibility for ensuring the establishment and maintenance of good working relationships between LVWATSAN Mwanza Project and its diverse stakeholders, On a daily basis general responsibilities are discharged by each individual organization and members of personnel or staff during implementation of their assignments, duties and routine interactions with local communities, line ministries, local government agencies and officials, private business partners, contractors, suppliers. Hence the GoT has the overall responsibility for providing necessary human and financial resources to ensure

compliance and effective implementation of this SEP among all involved stakeholders. The following figure provides an overview of the institutional responsibilities to implement the SEP.

Figure 7: Stakeholder Engagement Process



The table below presents the different project stakeholders and their responsibilities required to perform for effective compliance and successful implementation of the SEP based on the EIB Standards 7 and 10.

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
1	Government of Tanzania	<p>The Borrower: Execute the terms and conditions set out in the Contract and adhere to the Common Project Terms Agreement (CPTA) under which the project is being implemented Guarantee that all environmental and social risks at the level of the LV WATSAN Mwanza project are managed by the Ministry of Water and the local Promoters, as outlined below, to the satisfaction of national law and Lenders' requirements, ensuring respect for human rights and the project's compliant environmental and social performance and enhanced accountability. Providing adequate staff and financial resources/budget to facilitate the efficient implementation of a meaningful Stakeholders engagement process. Oversee and ensure effective identification, assessment, and management of any environmental and social risks, impacts, opportunities and grievances.</p>		<p>On-going throughout project lifecycle</p> <p>Planning phase</p> <p>Planning/assessment phase On-going throughout project lifecycle</p> <p>On-going throughout project lifecycle On-going throughout project lifecycle</p> <p>On-going throughout project lifecycle</p>
		Total budget for GoT SEP activities		
2	Ministry of Water	<p>Promoter for LVWATSAN Mwanza Project For Musoma and Bukoba Providing adequate staff and financial resources/budget to facilitate the efficient implementation of a meaningful Stakeholders engagement process Oversee and ensure effective identification, assessment, and management of any environmental and social risks, impacts Opportunity and grievances</p>		

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		<p>Disclose information to stakeholders on the relevant policies and legislations related to land acquisition resettlement and compensation in Tanzania (provide documents) – applicable for MoW both at a higher level, as well as with regard to environmental and social performance in Bukoba and Musoma</p> <p>Overall responsibility for implementation of Musoma Urban Water and Sanitation Authority (MUWASA) and Bukoba Urban Water and Sanitation Authority (BUWASA) water and sanitation operations and associated Environmental and Social Management Plans</p> <p>Nominate a senior member of its staff as the project’s Social Development Specialist and assign technical officials with requisite expertise to oversee and advice on the implementation of Environmental and Social Management Plans in Musoma and Bukoba</p> <p>Overall responsibility over the management and effective resolution of project-related grievances in line with key Environmental and Social Management Plans of the project. Uphold an open, transparent and accountable dialogue with all relevant stakeholders at the local level targeted by LVWATSAN Mwanza Project (EIB and AFD operations) throughout the preparation, implementation and monitoring phases of the project</p> <p>For entire project</p> <p>Providing adequate staff and financial resources/budget to facilitate the efficient implementation of a meaningful</p>		<p>On-going throughout project lifecycle</p> <p>On-going throughout project lifecycle</p> <p>On-going throughout project lifecycle</p> <p>Planning/assessment Phase</p> <p>On-going throughout project lifecycle</p> <p>Planning/assessment phase Planning/assessment phase</p> <p>On-going throughout project lifecycle</p>

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		<p>Stakeholders engagement process Oversee and ensure effective identification, assessment, and management of any environmental and social risks, impacts, opportunities and grievances Overall responsibility for implementation of Mwanza water and sanitation operations and associated Environmental and Social Management Plans. Promote on-going dialogue with stakeholders and information disclosure. Overall responsibility for endorsement and adherence to the Stakeholder Engagement Plan (SEP) of the LVWATSAN Mwanza Project. Nominate a senior member of its staff as the project’s Social Development Specialist and assign technical officials with requisite expertise to oversee and advice on the implementation of Environmental and Social Management Plans in Musoma and Bukoba. Overall responsibility over the management and effective resolution of project-related grievances in line with key Environmental and Social Management Plans of the project.. Facilitate the preparation of a detailed implementation of the SEP across the entire project Monitor and ensure compliance in the management of the project’s environment and social impacts and risks with relevant legal and Lenders’ standards and policies Provide information required by EIB to carry out its due diligence and for structuring the project to meet the EIB’s E&S standards and requirements</p>		<p>On-going throughout project lifecycle</p>

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		Disclosing project related E&S information to relevant stakeholders		
		Total budget for MoW SEP activities		
3	Mwanza Urban Water and Sanitation Authority (MWAUWASA),	Promoter for Mwanza, Magu Urban Water and Sanitation Authority (MAUWASA), Misungwi Urban Water and Sanitation Authority (MIUWASA) and Lamadi (Busega District Council) Uphold an open transparent and accountable dialogue with all relevant stakeholders at the local level targeted by LVWATSAN Mwanza Project (EIB and AFD operations) throughout the preparation implementation and monitoring phases of the project.		

Table 3**Stakeholder Responsibility**

	Partner	Responsibility	Budget (in EUR)	Timeframe

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		<p>Commit and uphold an open, transparent and accountable dialogue with all relevant stakeholders at the local level targeted by LVWATSAN Mwanza Project throughout the preparation, implementation and monitoring phases of the project; engage with affected communities and relevant stakeholders throughout project implementation and monitoring of the resettlement and livelihood restoration processes.</p> <p>Collaborate with the relevant Implementing authorities (Ministry of Water and MWAUWASA) to set up and chair the Project Coordinating Committees (PCC) to monitor the implementation of the SEP.</p> <p>Establish a project-specific grievance mechanism and associated procedures, ensuring the effective redress of complaints and grievances</p> <p>Provide adequate staff and financial resources/budget to ensure a meaningful Stakeholder’s engagement process and its efficient implementation.</p> <p>Appoint experts and/or technical officials with requisite expertise towards the implementation of the Stakeholder Engagement Plan as relevant, to serve on the PCC and participate in its proceedings;</p> <p>Collaborate and coordinate with the Ministry in the disclosure of project-related information to affected communities and relevant stakeholders, as well as grievance resolution.</p> <p>Facilitate all stakeholder engagement and consultations for</p>		<p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p>

Table 3**Stakeholder Responsibility**

	Partner	Responsibility	Budget (in EUR)	Timeframe
		the LVWATSAN Mwanza Project to be carried out as required; liaise with stakeholders/stakeholder platforms, as outlined in the SEP. Enact commitment on the implementation of the SEP, coordinating with UN Habitat and facilitating its work on the project; participate in the monitoring and periodic evaluation of the SEP implementation, reporting in close collaboration with the MoW.		
		Total budget for MWAUWASA SEP activities		

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
4	Bukoba Urban Water and Sanitation Authority (BUWASA)	<p>Commit and uphold an open, transparent and accountable dialogue with all relevant stakeholders at the local level targeted by LVWATSAN Mwanza Project throughout the preparation, implementation and monitoring phases of the project; engage with, affected communities and relevant stakeholders throughout project implementation and monitoring of the resettlement and livelihood restoration processes.</p> <p>Collaborate with the relevant Implementing authorities (Ministry of Water) to set up and chair the Project Coordinating Committees (PCC) to monitor the implementation of the SEP</p> <p>Establish a project-specific grievance mechanism and associated procedures, ensuring the effective redress of complaints and grievances</p> <p>Provide adequate staff and financial resources/budget to ensure a meaningful Stakeholder’s engagement process and its efficient implementation.</p> <p>Appoint experts and/or technical officials with requisite expertise towards the implementation of the Stakeholder Engagement Plan as relevant to serve on the PCC and participate in its proceedings;</p> <p>Collaborate and coordinate with the Ministry in the disclosure of project-related information to affected communities and relevant stakeholders, as well as grievance resolution.</p> <p>Facilitate all stakeholder engagement and consultations for the LVWATSAN Mwanza Project to be carried out as</p>		<p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p>

Table 3**Stakeholder Responsibility**

	Partner	Responsibility	Budget (in EUR)	Timeframe
		required; liaise with stakeholders/stakeholder platforms, as outlined in the SEP. Enact commitment on the implementation of the SEP, coordinating with UN Habitat and facilitating its work on the project; participate in the monitoring and periodic evaluation of the SEP implementation, reporting in close collaboration with the MoW.		
		Total budget for BUWASA SEP activities		

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
5	Musoma Urban Water and Sanitation Authority (MUWASA)	<p>Commit and uphold an open, transparent and accountable dialogue with all relevant stakeholders at the local level targeted by LVWATSAN Mwanza Project throughout the preparation, implementation and monitoring phases of the project; engage with affected communities and relevant stakeholders throughout project implementation and monitoring of the resettlement and livelihood restoration processes.</p> <p>Collaborate with the relevant Implementing authorities (Ministry of Water) to set up and chair the Project Coordinating Committees (PCC) to monitor the implementation of the SEP</p> <p>Establish a project-specific grievance mechanism and associated procedures, ensuring the effective redress of complaints and grievances</p> <p>Provide adequate staff and financial resources/budget to ensure a meaningful Stakeholder’s engagement process and its efficient implementation.</p> <p>Appoint experts and/or technical officials with requisite expertise towards the implementation of the Stakeholder Engagement Plan as relevant to serve on the PCC and participate in its proceedings;</p> <p>Collaborate and coordinate with the Ministry in the disclosure of project-related information to affected communities and relevant stakeholders, as well as grievance resolution.</p> <p>Facilitate all stakeholder engagement and consultations for the LVWATSAN Mwanza Project to be carried out as</p>		<p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p>

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		required; liaise with stakeholders/stakeholder platforms, as outlined in the SEP. Enact commitment on the implementation of the SEP, coordinating with UN Habitat and facilitating its work on the project; participate in the monitoring and periodic evaluation of the SEP implementation, reporting in close collaboration with the MoW.		
		Total budget for MUWASA SEP activities		
6	Mwanza City Council (MCC) and Ilemela Municipal Council	Beneficiary Councils Chair the Sanitation Committee (SC), on a rotational basis with the Ilemela Municipal Council, discuss all project matters including implementation of the SEP Nominate a senior member of its staff and other technical officials, as appropriate, to sit on the SC and participate in its proceedings; Facilitate Public consultation and community participation particularly engagement with affected communities during project Implementation and monitoring of the resettlement and livelihood restoration processes as defined in the grievances mechanism. Lead the establishment and operation of the Multi-Stakeholder Forums (MSFs) to assist the effective implementation of the SEP Assist with logistical support and technical guidance, as needed, to ensure that the MSFs effectively enact their responsibilities and play their appropriate roles. Collaborate and coordinate with the Ministry and		On-going throughout project lifecycle On-going throughout project lifecycle Planning/assessment phase Planning/assessment phase On-going throughout project lifecycle

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		MWAUWASA in the best interests of the effective and meaningful implementation of the SEP.		
		Total budget for MCC and IMC SEP activities		
7	The Community Based Organization	Affected Communities/beneficiaries Active participation in public meetings and consultations about the E&S impact of the project Involvement in community self-enumeration process and data collection of affected persons Information disclosure on affected assets to facilitate valuation exercise Community representatives work with the authorities to ensure that the rights and interest of affected persons on land issues are upheld and follow due process, including ensuring that agreements for compensation payments are as per Tanzania law and the RPF		On-going throughout project lifecycle Planning/assessment phase
		Total budget for CBO SEP activities	230,000	

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
8	The European Investment Bank (EIB) and French Agency for Development (AFD)	<p>Lenders</p> <p>Facilitating the assessment process of the project against the relevant legal framework and EIB Environment and Social (E&S) standards to ensure that environmental and social considerations are taken into account during the early stages of strategic decision-making by promoters to go for appropriate alternatives</p> <p>Advising and assisting the promoter in developing measures to manage the E&S impacts, risks and processes of the LVWATSAN Mwanza project</p> <p>Identifying opportunities to enhance the E&S outcomes of the LVWATSAN Mwanza Project</p> <p>Monitoring the project’s performance throughout the duration of the loan</p> <p>Disclosing information about the LVWATSAN Mwanza project in accordance with the requirements of the Aarhus Convention and the EIB Transparency Policy</p> <p>Help promoters improve their E&S performance through implementation of sound environmental and social practices, transparency and accountability</p>		<p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p> <p>On-going throughout project lifecycle</p>
9	Lenders’ Supervisor (LS)	<p>Act as “a third party contracted by and acting on behalf of the Lenders [EIB] to monitor the Project, including: monitoring physical progress and compliance, procurement supervision and quality assurance of technical solutions and physical deliverables.</p> <p>Assist the PMC to review all implementation tasks.</p> <p>Assist to check compliance of the EIB Social and</p>		On-going throughout project lifecycle

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		Environmental Standards.		
10	Project Management Consultant (PMC)	<p>Supporting MWAUWASA in its fulfilment of all Lenders’ and Tanzanian Environmental and Social Safeguards for the investments</p> <p>Undertaking an Environmental and Social Scoping/Screening and full Environmental and Social Impact Assessments, fully embedded into the national Tanzanian ESIA framework and in accordance with the Lenders’ standards and safeguards, including support to public consultations, in collaboration with respective local and national authorities in charge of formal public endorsement of ESIA’s.</p> <p>Preparation of Environmental and Social Management Plans and RAPs as required in collaboration with other project stakeholders.</p> <p>Support MWAUWASA with evidence of timely implementation of approved RAPs.</p> <p>Ensure the quality and completeness of reporting on environmental and social issues as per the requirements of the lender’s relevant safeguards for all components of the global Project, including Bukoba and Musoma.</p> <p>monitor the performance of contractors in terms of their adherence to social/labour and health and safety standards</p> <p>Preparation of consolidated Project Implementation reporting, receiving input from other stakeholders and organisations and be secretariat to the Monitoring Committee for the overall Project</p>		<p>1-3 months</p> <p>Assessment On-going throughout project lifecycle</p>

Table 3**Stakeholder Responsibility**

	Partner	Responsibility	Budget (in EUR)	Timeframe

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
1 1	Technical Assistance for Preparation of Master Plan, Detailed designs & Tender Documents (COWI)	<p>Lead Consultant for LVWATSAN Mwanza Project</p> <p>Information disclosure and community engagement during assessment, design and identification of locations for sanitation facilities in informal settlements of Mwanza and satellite towns</p> <p>Information disclosure of Final Study Report submitted on 20 May</p> <p>IIP - Immediate Investment Plan (water supply & wastewater in Mwanza City)</p> <p>Stakeholder engagement during report dissemination and information disclosure of Draft Study Report for satellite towns</p> <p>Technical stakeholder engagement during Hydrogeological Investigation STEP-II</p> <p>Stakeholder engagement during on-going Analysis on Mwanza Master Plan (2040)</p> <p>Strategy development (Short & Long-Term Investments)-on-going Workshops for "technical stakeholders"</p>		<p>Late June submission of draft Study Report</p> <p>June-July STEP-II investigations</p> <ul style="list-style-type: none"> •July 8, afternoon: Mwanza (IIP works ws&ww) & introduction into the Master Plan) •July 9, morning: Satellites works •July 10, morning: Mwanza (IIP sanitation)
1 2	UN-Habitat (Sanitation Task Force)	<p>Technical Assistance</p> <p>Prepare and arrange a suitable adoption mechanism for SEP for the LVWATWAN Mwanza operation in conformity with EIB social and environmental safeguards, including an independent grievance mechanism.</p> <p>Design, monitor and ensure implementation of the stakeholder engagement process</p> <p>Set-up, facilitate and monitor stakeholder engagement and cooperation mechanisms as follows:</p> <p>Assist the drafting and facilitate the adoption of the MoUs</p>		<p>On-going throughout project lifecycle</p> <p>Planning/assessment phase</p> <p>On-going throughout project lifecycle</p>

Table 3 Stakeholder Responsibility

	Partner	Responsibility	Budget (in EUR)	Timeframe
		<p>for cooperation between MWAUWASA and municipal authorities as well as other relevant stakeholders necessary for the successful implementation of the sanitation components in Mwanza</p> <p>Mobilize community engagement, including approach to schools by establishment of relevant Multi Stakeholders Forums (MSFs) hands-on assistance for engagement of communities, schools and NGOs</p>		
		<p>Creation of a Sanitation Task Force (STF) which is a coordination group for all main stakeholders for sanitation in Mwanza.</p> <p>group for all main stakeholders for sanitation in Mwanza</p> <p>Carrying out any stakeholder engagement and consultations required</p> <p>Contribute to the active involvement of beneficiaries in the planning and design process, through facilitation for the implementation of the overall Stakeholder Engagement Plan.</p> <p>Coordination and facilitation among all stakeholders: particularly MWAUWASA services of and the technical/ environmental/health services of the MCC, IMC and the satellite towns</p>		<p>Planning/assessment phase</p>
		<p>Total budget for UN-Habitat SEP activities</p>	<p>203,000</p>	

6.3 Implementation

6.3.1 Implementation Stages

Stakeholder engagement is a continuous and dynamic process that shall take place from the start to completion stage of the project. Below are the key implementation stages of the SEP of the LVWATSAN project.

Project Design Stage

Public meetings will be held at the beginning of the project in all project towns in the specific project areas of operations with the wider community to introduce the LVWATSAN-Mwanza Project. When the final engineering designs are completed will indicate broadly where stakeholders are located to start engagement process.

Identification and Analysis of Affected Persons

The finalization of the designs is at advanced stages nearing completion, once they are finalized a thorough stakeholder mapping in the target communities will be conducted. At this stage, mapping of the affected stakeholder groups and detailed analysis of affected persons will be carried out to establish baseline information on their vulnerability.

Stakeholder mobilization and sensitization on the project

Community meetings and stakeholder workshops for identified affected persons shall be conducted to create awareness about the project. Workshops will provide opportunities to better the understanding of their responsibilities, rights and the grievance mechanism. Workshops are intended to empower affected persons eg. marginalized groups by accessing required information and knowledge about their situation and their rights through the grievance mechanism..

Validation of proposed interventions

Conducting town-level stakeholder validation workshop of the final designs at the town levels is needed for involving stakeholders in decision making of project operations in their town. Validation workshops are to encourage and promote stakeholder active participation in operations intended to improve their living conditions and ensure sustainability of project investments.

Establish Multistakeholder Forum(MSF)

One day one day orientation town-level stakeholder workshop for the purpose of agreeing on the modalities of community involvement and participation in the project shall be held in each town. Stakeholders at the meeting will elect MSF members to represent into project activities mainly stakeholder engagement processes assist accessing the grievance mechanism. MSF will act as platforms to provide regular feedback on relevance and impact of the project to the community and affected vulnerable persons.

7 Monitoring and Reporting

Engagement with various stakeholders during the life of the project is a dynamic and challenging process. The promoter will be required to monitor the implementation of the stakeholder engagement plan and the performance of the grievance mechanism and report on both. Referring to EIB Standard 10 the project will establish regular communication and reporting channels back to the communities and individuals impacted and concerned, whether through non-technical summaries of progress updates, engagement activities, public meetings, targeted issue-based hearings etc. Monitoring will be on-going from the beginning of the project essentially to allow note issues in early stages of the project. Full arrangements for monitoring and evaluation are presented in Chapter 7.

Monitoring is required at every stage of the project to assess each stage of the engagement process namely the design stage, assessment, identification and analysis of stakeholders and implementation stage. Monitoring and reporting procedures on the implementation of the stakeholder engagement plan and the performance of the grievance mechanism shall be established early as an integral component of the project. The main objective of the monitoring and evaluation process is to ensure that the SEP is understood, receive full compliance from the promoter and stakeholders successfully implement and produce expected project outcome. Indicators and targets should be identified for each stage of implementation in accordance to EIB Environmental and Social Standards 7 and 10. An example template for indicators, targets and data collection is presented in Form 5 Example Monitoring Indicators which will require further elaboration. Participatory community-driven monitoring, where practical and acceptable by the communities concerned will be encouraged. The Ministry of Water will perform a monitoring oversight function for the LVWATSAN-Mwanza Project. The daily monitoring will be done by the PMU of the utilities and the CLO.

7.1 Reporting procedures

Regular communication and reporting channels back to the communities and individuals impacted and concerned, whether through non-technical summaries of progress updates, engagement activities, public meetings, targeted issue-based hearings will be established.

A range of information will be produced to inform stakeholders of Project activities and its environmental and social performance, including a summary of how and when the results of stakeholder engagement activities and grievance handling is reported back to affected communities and/or broader stakeholder groups (see Section 7.1 above). This information will include the following:

- Non-technical environmental and social assessment reports for local communities;
- Ad hoc reports / newsletters on the LVWATSAN Mwanza Project web site;
- Reports to Regulators (including the audit reports required by NEMC's certification of the ESIA's);
- Annual Monitoring Reports submitted to lenders; and
- LVWATSAN Mwanza Project's annual report / sustainability report etc.

The PMC Technical and Social/Environmental Team and CLO shall define a schedule for the preparation and dissemination of all formal disclosures and shall monitor both departmental performance against schedule and any negative feedback from stakeholders in regards to disclosure materials or contents.

7.2 Contact Reports, Meeting Minutes and Other Monitoring

Contact Reports are to be prepared by CLO or other relevant function whenever an external consultation event is conducted. Meeting minutes are also to be kept for community meetings and other ESHS engagement activities held with affected stakeholders.

Additionally, arrangements for occasional exchange visits between project settlements (represented by the MSFs) will be organised to facilitate information sharing on experiences and lessons learnt as part of the process. Reports of such exchanges will be prepared by the CLO.

Where considered beneficial, participative community monitoring programmes will be introduced (see Stakeholder Engagement Action Plan in Appendix F) to check project impacts and the effectiveness of mitigation programs). The CLO in close collaboration with the PMC Technical and Social/Environmental Team will establish suitable environmental and/or social topics for this approach, identify potential participants from amongst the affected communities, and provide any capacity building / training. The output (reports from participants) from such monitoring is likely to be verbal (meetings or telephones) and will be recorded by the CLO.

All other project teams shall maintain suitable monitoring measures for engagement with interested parties and other stakeholders such as Central and Local Government and their agencies, non-government organisations and the general public. All new commitments made by LVWATSAN Mwanza Project or its representatives to stakeholders are to be entered into the Commitments Register. In the event that any monitoring results identify non-conformances of any project standards, these will be investigated and corrective actions identified.

Below are some monitoring measures that to be implemented for community engagement to ensure compliance with the project standards are described below:

- Dissemination of community and other disclosures (e.g. nature of disclosure, when circulation occurred and any feedback);
- A-RAP related grievances will be analysed and reported by the A-RAP team in accordance with their specific procedures;
- Other grievances will be analysed and reported by the CLO as per the requirements of this SEP;
- Stakeholder engagement activities including any notable stakeholder visits to LVWATSAN Mwanza Project offices /or sites will be collated and reported by the CLO; and
- Results of vulnerability screening exercises and any other surveys of external or internal stakeholder concerns, circumstances or perceptions.

7.3 Routine Internal Reporting

Regular reporting shall be undertaken via the monthly ESHS Team Report that shall be prepared and submitted to the utility General Managers.

Stakeholder engagement / community relations reporting shall include:

- A summary of stakeholder engagement activities and all grievances received in the reporting period;
- Any material deviations or non-compliances to the requirements of this SEP;
- Planned activities for the next reporting period; and
- Any issues of potential concern.

8 Stakeholder Engagement Action Plan

No.	Target for Engagement	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priority	Status	Environmental and Social Impact Assessment (ESIA)
1	Government and local authorities, regulators and other agencies	Establish and maintain a good working relationship with the various authorities to promote the Project's interests, facilitate compliance and cooperate on issues of material interest to all parties	<ul style="list-style-type: none"> - On-going planned and ad hoc communications and liaison with various levels of Ministry / directorates and District Council / Ward authorities (in compliance with LVWATSAN Mwanza Project's Code of Ethical Conduct) - Development of Memoranda of Understanding on specific subjects (e.g. site security) - Host regulatory visits and full cooperation during inspections and audits 	Before commencing key Project activities at variable frequency depending upon role of stakeholder and subject matter (e.g. annual, bi-annual, monthly, etc. then as required during Project life cycle)	LVWATSAN Mwanza Project PMU / General Manager / others as designated Compliance to implementation of SEP and as per the EIB Social and Environment safeguard	Planning, Assessment study, Design and implementation/ construction / completion	To be agreed	In progress On going	Stakeholder Engagement Plan EP
2	National / regional / local	Provide key information to TV / radio /	Provide Press Releases, articles / photographs	Before commencing key Project activities	LVWATSAN Mwanza Project management	Planning, design, Pre-	TBA	On-going	LVWATSAN Mwanza Project

No.	Target for Engagement	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priority	Status	Environmental and Social Impact Assessment (ESIA)
	media	newspaper / on-line media		at variable frequency depending upon role of stakeholder and subject matter (e.g. annual, bi-annual, monthly, etc. then as required during Project life cycle)	and Public Relations (PR) advisors	construction / Construction / Operation / Closure			Procedures for interactions with the press
3	National / international NGOs and academia ; local NGOs / CBOs	Provide opportunities for interested parties to obtain information on the Project and its impacts	Regular updates / ad hoc briefings on specific issues / opportunities (e.g. Lake Victoria Basin Commission, etc.) plus disclosure of specific reports and information on the LVWATSAN Mwanza Project website	Before commencing key Project activities, then at variable frequency depending upon role of stakeholder & subject matter (e.g. annual, bi-annual, monthly, etc. then as required during Project life cycle)	LVWATSAN Mwanza Project management /MWAUWASA	Planning, design, Pre-construction / Construction / Operation / Closure	TBA	On-going	(Respond to specific, reasonable requests)

N o.	Target for Engagement	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priority	Status	Environmental and Social Impact Assessment (ESIA)
4	Key stakeholders (including lenders)	Seek opportunities for obtaining qualitative feedback on Project -related issues from key stakeholders (e.g. interested parties)	Meetings, interviews and telephone calls. Mainly the EIB advisory group for general feedback or on specific issues	As required during Project life cycle	LVWATSAN Mwanza Project	Pre-construction / Construction / Operation / Closure	TBA	On-going	Oversight guidance on managing E&S impacts, risks of the LVWATSAN Mwanza project
5	Stakeholders from selected informal project pilot wards for the construction of sanitation facilities	Undertake oversight of the relationship between MWAUWASA and its contractors and parties affected by the construction of the sanitation facilities	<ul style="list-style-type: none"> - Formal/ Informal interviews with individuals or groups and observations of community interactions and provision of feedback and advice to MWAUWASA - On-going interactions with STF members and MSFs 	As required during sanitation facilities construction monthly, quarterly annually	LVWATSAN Mwanza Project CLO and MSFs teams	Pre-construction / Construction / Operation / Closure	TBA	TBA	Sanitation facilities Oversight Management Plan
7.1	Project affected stakeholders in the	Sensitisation and awareness-raising in relation to Project	- Undertake community meetings to advise on Project progress, brief them on any specific	As required by each construction work package - in advance of	Community Liaison Officer (plus SE practitioner /	Pre-construction and during	TBA	TBA	Stakeholder Engagement Plan /

No.	Target for Engagement	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priority	Status	Environmental and Social Impact Assessment (ESIA)
	project towns for water supply and sewerage interventions	schedule, activities and impacts	issues (such as trench digging beside road, or pedestrians passage and explain the grievance procedures - Customised briefings for vulnerable groups (e.g. road safety for the illiterate, elderly, children, etc.)	contractor arrival for water supply and sanitation facilities construction, etc.	Consultant as necessary)	Construction			Community Health and Safety Plan: Engagement need to be spread out over a suitable period to reflect the Project schedule - e.g. prior to arrival of contractors in the area, start of various construction activities for different components; PMC Team Leader / CLO to

N o.	Target for Engagement	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priority	Status	Environmental and Social Impact Assessment (ESIA)
									detail plans accordingly
7.2	Project affected stakeholders in Bukoba, Muoma and satellite towns – in project areas only	HIV/ AIDS and STD sensitisation	<ul style="list-style-type: none"> - Provide community awareness training ahead of the mobilisation of contractor workforces - Collaboration with health officers / NGOs to support health promotion (other communicable disease, lifestyles, etc.) 	As required by each construction work package - in advance of contractor arrival for Sanitation facilities construction, etc.	Contracted NGO, CLO and MSFs	Pre-construction and Construction	TBA	TBA	Stakeholder Engagement Plan/ Safety Plan
7.4	Settlements located along the main supply route but outside the Project area of influence	Advise residents of Project related movements and potential for increased road safety risks	<ul style="list-style-type: none"> - Construction contractors to liaise with relevant local leaders/road and traffic police authorities - LVWATSAN Mwanza Project to brief affected communities and/or their representatives on anticipated transport movements in their area 	Prior to planned transport of construction materials	Community Liaison Officer with assistance from MSFs	Construction	TBA	TBA	Stakeholder Engagement/ Safety Plan

N o.	Target for Engagem ent	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priority	Statu s	Environme ntal and Social Impact Assessme nt (ESIA)
			and any related road safety measures (focus on children, elderly, physically challenged persons etc.)						
7.5	Nyamano (Kilimahewa A and B); Mbugani (Unguja) and Igogo (Kwimba) community	Ensure good working relationship is established and maintained with the communities in the project areas	Regular and ad hoc meetings; possible occasional social events for LTLVWATSAN Mwanza Project/ Igogo, Kilimahewa ...ward communities (e.g. respect for traditional rites / festivals)	Weekly courtesy visit / monthly formal meeting or as required throughout the Project	Community Liaison Officer/MSFs, PMC Team Leader /	Pre-construction / Construction / Operation / Closure	TBA	On-going	Stakeholder Engagement Plan
7.9	All affected and interested parties	Provide stakeholders with information on Project progress and performance on matters of concern including	<ul style="list-style-type: none"> - Prepare and disclose brochure on the Project's local stakeholder engagement programme - Prepare narrative annual performance report (non-technical) 	<ul style="list-style-type: none"> - Separate engagement brochures to be prepared for construction and operations phases - Performance report to be 	STF, PMC Team Leader / Community Liaison Officer	Construction-Operations transition / Operations	TBA	TBA	Technical and Social/ Environmental Teams

N o.	Target for Engagem ent	Purpose of Engagement	Engagement Tasks / Methods	Schedule / Frequency	Responsibility	Project Phase	Priori ty	Statu s	Environme ntal and Social Impact Assesse ment (ESIA)
		resolution of complaints	for disclosure to local communities (e.g. in planned meetings or limited circulation to ward, village/hamlet officers and legitimate representatives MSFs) and wider community e.g. via web site	produced at least annually					
8	All affected and interested parties	Consultation on any future expansion/ scaling up or other developments of the sanitation component	Definition and implementation of appropriate disclosure and informed, prior consultation programme in support of any future developments as required by ESIA process and policy commitments.	To be determined if /when future developments are considered	LVWATSAN Mwanza Project	TBA	TBA	TBA	Project environme ntal, Social and Technical Teams obligations

Budget (estimate)

	Partner	Euros
1	Government of Tanzania	
2	Ministry of Water	
3	Mwanza Urban Water and Sanitation Authority (MWAUWASA),	
4	Bukoba Urban Water and Sanitation Authority (BUWASA)	
5	Musoma Urban Water and Sanitation Authority (MUWASA)	
6	Mwanza City Council (MCC) and Ilemela Municipal Council	
7	Community Based Organization	230,000
8	UN-Habitat (Sanitation Task Force)	203,000
	Total SEP budget	

APPENDICES

APPENDIX A: Key Stakeholder Profile

Last updated:	
Stakeholder group:	
Primary subject/ issue of engagement with this group	
Stakeholder objective	
Preferred level of engagement with this group	
Stakeholder group representative	
Specific representative(s) / representing organisation	
LVWATSAN Mwanza Project contact person	
Stakeholder's general view	
Specific expectations	
Engagement history	
Stakeholders' usual or preferred approach to engagement	
Stakeholders' sources of funding	
Relationships/ conflicts with other stakeholders	
Knowledge of the issue	<input type="checkbox"/> Leading Opinion <input type="checkbox"/> Good Knowledge <input type="checkbox"/> Medium Knowledge <input type="checkbox"/> Lacking Knowledge <input type="checkbox"/> No Knowledge
Legitimacy	<input type="checkbox"/> High Legitimacy <input type="checkbox"/> Limited Legitimacy <input type="checkbox"/> Low Legitimacy <input type="checkbox"/> No Legitimacy

Willingness to engage	<input type="checkbox"/> Willing <input type="checkbox"/> Moderately interested but friendly <input type="checkbox"/> <input type="checkbox"/> Uninterested <input type="checkbox"/> Hostile
Actual and/or potential impacts of stakeholder on business – associated risks and opportunities	Positive Impacts/ Opportunities: Negative Impacts / Risks:
Scale at which they operate	<input type="checkbox"/> Global <input type="checkbox"/> National <input type="checkbox"/> Regional <input type="checkbox"/> Local <input type="checkbox"/> Internal to Project
Cultural issues to consider	
Practical issues to consider (e.g. ability to engage given literacy, resources, staff, etc)	
Is it necessary to engage with this stakeholder?	
Other comments	

APPENDIX B: LVWATSAN Mwanza Project: Community Liaison Planning Form

Overview			
Subject / scope of engagement			
Strategic objectives and intended outcomes:			
Engagement approach / method(s / tools):			
Target groups & representatives:			
Practical Issues	Activities & resources	Responsibility	Timeframe
Ground rules and terms of reference			
Invitation / publicity / pre-information			
Logistics (Transport, food / refreshments, etc.)			
Venue, timing (if not ongoing)			
Equipment etc.			
Participants' reimbursement of expenses (?)			
Process to ensure satisfactory outcomes			
Agenda/ plan for the event			
On-the-day roles and facilitation			
Record keeping and assurance			

Feedback to participants			
Wider communication of results			
Signals of success (inputs and outcomes)			
Participant satisfaction feedback			
Risk Assessment of Proposed Engagement			
Risks (including security):			
Contingency plan:			

APPENDIX C: LVWATSAN Mwanza Project: Stakeholder Contact Report

Record Number	Entry Date	CLO / Other	
Name/Title of Contact and Organisation		Location of Interaction	Date
Stakeholder Details	Contact	Tel. no.: Email address: Street address:	
LVWATSAN Mwanza Project Participants			
Who Initiated the Interaction?		Interaction Objective:	
LWATSAN Mwanza Project	<input type="checkbox"/> Contact	<input type="checkbox"/>	

Nature of Interaction: Complaint <input type="checkbox"/> Commitment <input type="checkbox"/> Request <input type="checkbox"/> Other <input type="checkbox"/>		
Summary:		
Recommendations:		
Action / Decision	Person Responsible	Due date
Close-out	Comments	Date

APPENDIX D: Vulnerability Screening Checklist

Step 1: Initial Checkpoints	
Define the vulnerable / marginalised social group	
Why are they vulnerable? What are the underlying causes of vulnerability?	
What are the vulnerable stakeholders doing to address their circumstances?	
What mitigation was targeted by the Project and how successful has it been / likely to be?	
What is the prevailing policy in place and how successful have the implementation of policy interventions been / likely to be?	
What are the capacities of the vulnerable group and any supporting NGOs?	

What recent engagement has the Project had with the group and their legitimate representatives?	
What are the main concerns?	
Step 2: Research and Analysis Checkpoints	
What additional data and research is needed?	
What additional mitigation options are available?	
What recommendations for further Policy interventions? How feasible / what cost?	
How will success be judged and by whom? What performance indicators are needed?	
What further engagement is needed with this vulnerable group?	
Step 3: Action Plan and Approval	
Confirm what actions are needed to implement recommendations and who needs to approve the plan?	

D. Commitments to Local Communities										
D1										
E. Commitments to Vulnerable / Marginalised Groups / Individuals										
E1										

APPENDIX F Explanatory Note for Ward and Village Officers, Legitimate Representatives/MSFs and Local Authorities

Lake Victoria Water and Sanitation (LVWATSAN) Mwanza Project is committed to being an effective partner in the socio-economic development of Kenya.

Every effort is being made to avoid, reduce or mitigate / remedy potential adverse environmental and social impacts associated with the proposed Project, including provision of reasonable compensation for any lost assets or earnings and, where needed, income restoration support.

If you have any concerns regarding any aspects or consequences of the project you have the right and opportunity to express these and to seek redress where you believe you have been wrongfully affected the Project. This Grievance Mechanism provides you the opportunity to raise these concerns.

You may use this Mechanism without any prejudice to your legal and statutory rights according to the laws of Tanzania.

The steps involved in the Grievance Mechanism are as follows:

Step 1: Logging of Grievance and Confirmation of Receipt

You should raise grievances with the LVWATSAN Mwanza Project of the following methods:

Verbally, either directly, via your Village or Ward Officer or by telephone / text message, in which case you will receive an acknowledgement in the same way; OR

Ask us for help in completing the attached Grievance Form, clearly providing your name and address and nature of your complaint.

Our Team will inform you to confirm receipt of your grievance within 7 days from receipt of grievance. Please send your completed Grievance Form / letter / email to:

The Lake Victoria Water and Sanitation (LVWATSAN) Mwanza Project office in Mwanza:, Mwanza Urban Water Supply & Sanitation Authority, Makaongoro Road, P.O. Box 317, Mwanza, or at the website that will be developed (<http://..>).

Alternatively, you can complete and hand this in to the LVWATSAN Mwanza Project Community Liaison Officer, (based in Mwanza), or any of our representatives. Call the number below and we will arrange collection:

[NB: Email addresses, physical address, contact numbers and names will be updated in due course.]

Step 2. Investigation of Grievance and Seeking of Resolution

The Community Liaison Officer - or a colleague - will meet with you within 14 days of receipt of your grievance to investigate the matter and attempt to seek resolution. Where appropriate the village chief or another representative may also be involved in those investigations. If resolution is achieved at this stage it will be formally closed out and confirmed verbally or by letter.

If a resolution cannot be achieved at this stage your case will proceed to Step 3.

Step 3: Involving LVWATSAN Mwanza Project Management or Third Party Authorities

In cases where the LVWATSAN Mwanza Project Community Liaison Officer is unable to resolve your grievance within 7 days of meeting with you, he/she will advise you on the need to involve senior LVWATSAN Mwanza Project management or third party authorities, as appropriate and according to the nature of the grievance.

In cases of involvement of senior LVWATSAN Mwanza Project management, the aim will be to resolve grievances within a further 14 days through a resolution meeting with you which will be attended by the Community Liaison Officer and your local representative(s). Other parties may also attend as appropriate (e.g. neighbours, other witnesses).

In cases where third parties are involved, the target will be to resolve grievances within 30 days from receipt of grievance. In these cases the Community Liaison Officer will help you to write a letter to the respective authority to appeal a decision and/or to request a resolution meeting. The Community Liaison Officer will follow up every 14 days with you and with the relevant authorities to investigate and report status and, where possible, to facilitate resolution.

You can contact the Community Liaison Officer at any time during the proceedings to enquire about the status of your grievance claim. The Community Liaison Officer will respond to you as soon as possible but within 7 days.

Step 4: Close Out

If the Grievance is successfully resolved, the Community Liaison Officer will ensure that the agreed corrective action is documented and the grievance process is formally closed out by letter.

Step 5: Facilitate provision of adjusted entitlements (if required)

If Step 4 concludes that an adjustment in financial compensation or other entitlements is required, then the Community Liaison Officer will coordinate with the respective LVWATSAN Mwanza Project departments in order to make arrangements for this.

Step 6: Follow Up

Where resolution is achieved and further actions are required the Community Liaison Officer will follow up with you every three months (or as appropriate) in order to ensure all agreed actions have been carried out.

Step 7: Legal Redress

If following application of the Grievance Mechanism you are still not satisfied, you are free to exercise your right under Tanzanian law to instigate legal action should you feel that this is necessary.

Appendix H: Project Grievance Forms

H1 - LVWATSAN Mwanza Project Grievance Form			
LVWATSAN Mwanza Project Reference:		Date Received:	
Complainant / site details			
Name (or withhold name if you wish to be anonymous):			
Address:			
Telephone / other contact details:			
Details of complaint:			
Form completed by:			
Name:		Position:	
Location / Organisation:			
Actions required and details of complaint passed to:			
Name:			
Position:			
Department / organisation:			
Project / site:			
Date:			
Resolution and notification of completion to be sent on:			

H-2 Grievance Acknowledgement Template (use if formal reply needed, otherwise telephone)

[LWATSAN Mwanza Project / Sanitation component / Mwanza Address]

[Claimant Address]

[Date]

[Reference]

Dear [name of claimant]

I refer to [*correspondence / meeting*] on [*date, month*]. We understand that you wish to lodge a complaint associated with the [LWATSAN Mwanza Project *sanitation component or a specific incident*] in relation to [*subject of grievance*].

We will attempt to contact you within 14 days of the date of this letter in order to discuss your concerns and to decide up an appropriate course of action should this be appropriate. This will be without prejudice to your statutory rights.

Sincerely yours,

Community Liaison Officer [*or other respondent*]

LWATSAN Mwanza Project

H-3: Close-out Records (where legal record required)		
LVWATSAN Mwanza Project Reference Details:		
Grievance Reference Number:	CLO:	
Summary of Grievance:		
Steps Identified for Corrective Action:		Due Date:
1		
2		
3		
4		
5		
6		
Resolution Actions and Close-out:		
Notes:		
Complainant (Title-Name-Signature)	LVWATSAN Mwanza Project Representative (Title-Name-Signature)	Official Witness (Title-Name-Signature)
Date:		

H-4 Grievance Category, Type and Relevant Authority			
Grievance Category	Grievance Type	Example/Comment	Authority to be involved
Complaint on pasturage	Complaints regarding loss of access to or degradation of pastureland	Where claimants contend wrongful assessment of type, amounts, condition, or date of planting (before/after cut-off date) of assets by the Census Report.	Applicable Ministry
Asset valuation	Complaints regarding valuation of assets	Where a claimant believes that their assets were undervalued relative to market price and costs of replacement (including transaction costs) – such as in the case of mature trees.	Applicable Ministry (if asset(s) valued at or below official rates) LVWATSAN Mwanza Project Management (if asset(s) valued above official rates)
Asset ownership / access to communal ecosystem services (wood, pasture, water, etc.)	Complaints regarding ownership of assets	In cases of shared ownership (for example of traditional pastureland used by nomadic groups) where there is no clear ownership	Applicable Ministry
Complaints regarding employment	Complaints regarding loss of employment	Where enterprises are closed or transferred as a result of land acquisition. Complaints will likely be in relation to resettlement entitlements.	LVWATSAN Mwanza Project Management.
Concerns regarding employment	Complaints regarding lack of employment opportunities	Affected stakeholders / local residents claiming poor information regarding project employment vacancies.	LVWATSAN Mwanza Project Management

Complaints regarding construction operations	Complaints regarding nuisance or other impacts during construction works	Damage to / theft of personal property; accidents; antisocial behavior by project workers.	LWATSAN Mwanza Project Management Police
Complaints regarding cultural property	Complaints regarding archaeology, patrimony or other cultural heritage issue	Graves, shrines and sacred trees or forests.	National Museums of Tanzania
Complaints regarding amenities	Complaints regarding new amenities provided by Project	Disagreement regarding new location or design of new facility (sports ground, public water taps / water tanks, etc).	LWATSAN Mwanza Project Management

H-5 Example Monitoring Indicators

Step	Indicator	Result against indicator	Corrective action
1, Confirm receipt of grievance	Percentage of total number of grievances received identified as requiring resolution		
	Percentage of total number of grievances received being confirmed in writing by the Community Relations Officer within 7 days of receipt (target 100%)		
2. Investigate and seeking of resolution	Percentage of total grievances (requiring resolution) for each identified grievance category		
	Percentage of meetings with claimant held within 14 days of receipt of grievance (target 100%)		
	Percentage of grievances (requiring resolution) resolved by grievance officer within 7 days of meeting the claimant (target 100%)		
	Percentage of grievances (requiring resolution) resolved by grievance officer in more than 7 days of meeting the claimant		
3. Involve senior LVWATSAN Mwanza Project management or third party authorities where required	Percentage of grievances requiring the involvement of senior LVWATSAN Mwanza Project management resolved within 14 days from the grievance officer meeting with the claimant (target 100%)		
	Percentage of grievances requiring the involvement of senior LVWATSAN Mwanza Project management resolved in more than 14 days from the grievance officer meeting with the claimant		
	Percentage of grievances requiring the involvement of third party authorities resolved within 30 days from receipt of grievance (target 100%)		
	Percentage of grievances requiring the involvement of third party authorities resolved in more than 30		

	days from receipt of grievance		
4. Close Out	N/A		
5. Facilitate provision of adjusted entitlements (if required)	N/A		
6. Follow up	N/A		
7. Legal redress	Percentage of grievances (requiring resolution) resulting in legal action (target 0)		