



UKT Tirana Water - Financial and Operational Performance Improvement Programme,
Stakeholder Participation Programme
Contract No.: C41898/9091/51286

Stakeholder Participation Programme Report

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List of Acronyms

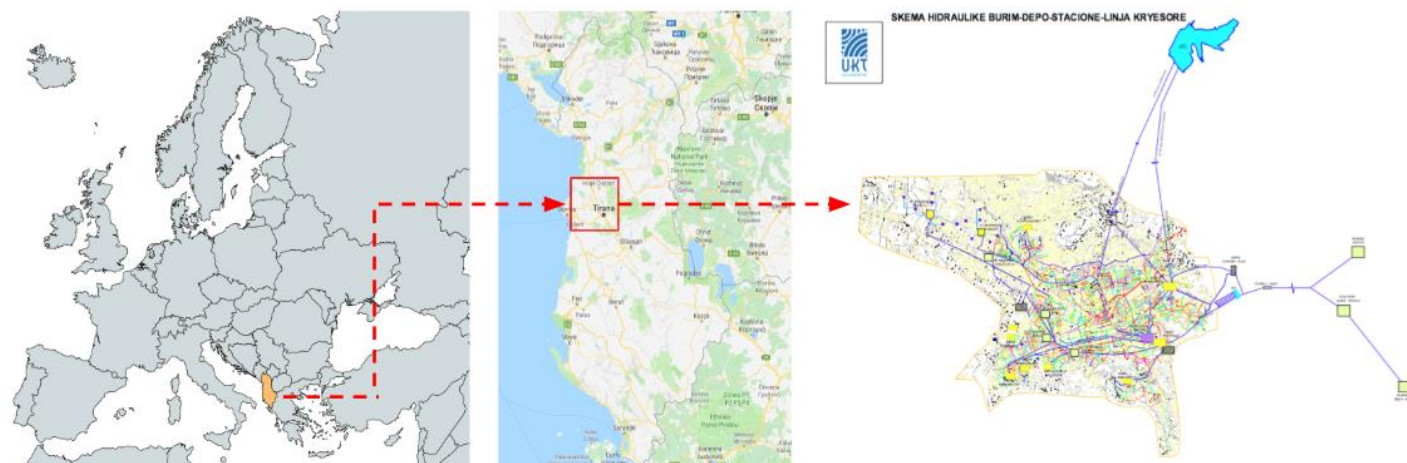
AC	Advisory Committee
EBRD	European Bank for Reconstruction and Development
EIA	Environmental Impact Assessment
ESAP	Environmental and Social Action Plan
SEP	Stakeholder Engagement Plan
SPP	Stakeholders Participation Program
WUCs	Water User Committees
FoWUC	Forum of Water User Committees



1. Introduction

1.1. Context

Created in 1939, UKT is a municipal utility company providing water supply and wastewater services for the municipalities of Tirana, Vora and Kamza.



Project Area Location and UKT existing water infrastructure

UKT operates an area covering approximately 800,000 end-users over the three municipalities. The water network is 1,800km long for an annual production of 106 million m³ out of which only a third is billed. Drinking water is supplied from different sources including natural springs, groundwater wells, and river abstraction.

Existing studies and documents indicate that UKT is facing a number of operational challenges (subject to confirmation during the diagnosis phase of the FOPIP project) including:

- The poor condition of the water network and low maintenance leading to high levels of interruptions in water supply and poor water quality;
- A high rate of non-revenue water (about 2 thirds of the water produced) largely due to physical losses in the distribution network which greatly affect the cost of service and overall performance of the system;
- Threatened sustainability due to the Company's reliance on depleting and polluted wells;
- The high cost of pumping groundwater which weighs on the company's financial situation;
- A complicated cash flow situation which may jeopardise the implementation of the priority investments identified in the 2017-2021 Business Plan;

In order to increase its capacity, UKT has received a loan from the European Bank for Reconstruction and Development to implement an investment project to finance improvements in the water supply system, more specifically for (i) construction of a pipeline for transferring water from the Bovilla water treatment plant to the western part of the City; and (ii) extension of the Bovilla water treatment plant.



1.2. Project Scope

The objective of this FOPIP Project is to support the General Manager of UKT in further building the company's operational and financial performance and implementing commercial rigor through:

- The development of a **programme to improve the financial and operational performance** of UKT Tirana with focus on improving revenue collection, reducing operational costs, implementing the EBRD's Environmental and Social Policy 2014 Performance Requirements as well as reviewing the potential for private sector participation in the Company's non-core activities;
- The preparation of a **Public Service Contract (PSC)** to streamline interactions between UKT and the Municipality of Tirana and other stakeholders through the clarification of the respective roles and responsibilities as well as the definition of indicators for measurable improvements (within a clearly defined timetable) to improve operational efficiency and levels of service (e.g. reducing unaccounted for water and sewage leakages);
- Develop and implement a **Stakeholder Participation Programme** aimed at increasing public participation in the provision of water services. This programme shall accompany the implementation of the infrastructure investments financed under the EBRD loan to encourage public awareness and sustainability.

Continuity and quality of service are at the heart of UKT's strategic vision and this project is therefore directly aligned with UKT's long-term customer-oriented strategy and key priorities to achieve 24-hour water supply in the city of Tirana by 2021.

1.3. Objective of this deliverable

It is common knowledge that public awareness and involvement play a crucial role in the successful management of water resources. The purpose of such initiatives is to realize that water resources are in the public domain, and the public should actively form a cautious attitude to water and to the safety of water supply in general, including: the quality of services provided, the reconstruction of water supply and sanitation systems, the development and implementation of tariff policy, and social questions.

The initiatives of informing and involving contribute to the fact that the formation of the tariff policy takes into account the interests of vulnerable segments of the population, which, in turn, strengthens the role of corporate governance in the enterprise.

The aim of the SPP is to raise public awareness of issues related to the implementation of the project, as well as water use, sanitation and construction of treatment facilities. The development and implementation of the SPP includes two main areas:

- Public participation and information campaign, including the formation of a positive attitude to the project and informing about the objectives of the project;
- Improvement of relations with subscribers.

The implementation of the SPP includes assistance to UKT in improving dialogue between the Company, the Municipality, customers and other key stakeholders, coupled with improved information and education on relevant issues, with the objective of improving the effectiveness and sustainability of the Project's results.



2. Legislative and Regulatory Framework

The main legislative and regulatory requirements of Albania, the requirements of the EBRD, as well as international requirements for interaction with stakeholders, applicable to this Project, are summarized below.

Table 1. National requirements

International requirements	
<p>Law No. 10440/2011 “On the environment impact assessment - ESIA”</p>	<p>Law No. 10440/2011 “On ESIA” aims at ensuring a high level of environmental protection by preventing, minimizing, and compensating the environmental harms to be caused by projects not yet implemented, and enabling an open decision making process during the identification and the evaluation of the negative environmental impacts. It lays out the framework for the requirements, responsibilities, rules and procedures for the evaluation of the negative environmental impacts. The Law consists of the following Chapters: General Provisions, Procedures for Assessing the Environmental Impact, EIE Parties and Consultation, Access to Information and Confidential Data, Planning Authorities Decision-Making, Borderline environment EIE, EIE’s experts, Appeal and sanctions, and Final Provisions.</p> <p>Furthermore the law defines the guidelines for the environmental impact assessment, the parties that must be involved and the obligation of environmental authorities to make all existing information for the compilation of EIA reports available to project developers. Provisions for transboundary impacts are also part of this law.</p> <p>The EIA Law defines the type and scale of the projects that require an EIA before implementation.</p> <p>The law defines two levels of EIA for projects (1) preliminary EIA and (2) profound EIA.</p> <ul style="list-style-type: none"> → Preliminary EIA. This is for projects that may have smaller potential impacts. They include projects listed in Appendix 2 of the Law on EIA. → Profound EIA. This is for projects with significant potential impacts, as listed in Appendix 1 of the Law and also those projects listed in Appendix 2 which the NEA considers will have a significant impact on the environment (including activities that are to be implemented in a protected area). The profound EIA procedure also includes: public debate and consultations with relevant authorities. <p>The Law stipulates that the public should participate in all phases of the ESIA, and requires that consultations held with local government, the public and environmental NGOs, and a summary of the consultations be included within the ESIA. It establishes a public notification period of 20 days within which the ESIA document must be published online, and 20 days to receive comments from the public.</p> <p>This law is fully aligned with Council Directive 85/337 / EEC of 27 June 1985 “On the evaluation of the effects of public and private projects on the environment ”, amended, CELEX number: 31985L0337, Official Journal of the European Union, Series L, no. 175, dated 5.7.1985, pages 40-48.</p> <p>Public notification of the consultation process needs to be ensured through local radio and television, websites and periodic journals, if possible. The local government is obliged to publish a public notice at its notification stand.</p>
<p>Law No. 91/2013 on strategic environmental assessment.</p>	<p>This Law aims to provide a high degree of environmental protection and sustainable development by including environmental issues during the preparation, approval and review stages of the programming and planning with environmental implications. The Law establishes the institutional authorities, their tasks and responsibilities, as well as the rules of procedure for carrying out the strategic environmental impact. The Law is approximated to Directive 2001/42/EC dated 27 June 2001.</p>



<p>DCM No. 247, dated 30.04.2014, "On the determination of the rules and requirements of the procedures for information and involvement of the public in environmental decision making".</p>	<p>This decision defining rules, requirements and procedures for informing and involving the public in environmental impact assessment (EIA) and sets the legal basis for public participation in the environmental decision-making process.</p> <p>DCM No. 247, dated 30.04.2014 takes into consideration the relevant definitions of law no. 10 431, dated 9.6.2011, "On Environmental Protection", as amended, and Law no. 10 440, dated 7.7.2011, "On Environmental Impact Assessment".</p>
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Table 2. International requirements

International requirements	
EU guidance documents	<p>EU Directive 97/11 / EC on the assessment of the effects of certain public and private projects on the environment (the Directive on Environmental Impact Assessment);</p> <ul style="list-style-type: none"> → EU Directive 2003/4 / EC on public access to environmental information; → EU Directive 2003/35/EC on ensuring public participation in the development of plans and programs relating to the environment.
EBRD requirements	<p>EBRD ESP - interaction with stakeholders represents a continuous process that includes the following elements:</p> <ul style="list-style-type: none"> → identification and analysis of stakeholders; → planning of interaction with interested parties; → disclosure of information; → meaningful consultations and stakeholder participation; → ensure that there is an effective complaint procedure or mechanism; → current reporting to relevant stakeholders. <p>The interaction process with community should begin at the earliest stages of planning and continue until the end of the project.</p> <p>For Category B projects, the EBRD sets the following requirements for activities with stakeholder engagement. In particular, the Company / UKT needs to:</p> <ul style="list-style-type: none"> → identify and document persons or groups of persons affected by the Project (directly or indirectly), as well as parties that may be interested in it; → determine functions, responsibilities and competences, as well as designate certain employees responsible for ensuring interaction with affected persons and stakeholders, including the implementation of activities and monitoring their implementation; → prepare and introduce the Stakeholder Engagement Plan (SEP); → implement formalized and participatory international procedure for Environmental and Social Impact Assessment (ESIA) and include for each step of this procedure activities on Project information disclosure and public consultations; → on an ongoing basis provide the identified stakeholders and affected parties with information about the Project throughout its duration period; → disclose additional information at the main stages of the project cycle (before the start of the construction phase, commissioning, and decommissioning); → in case of making significant Project changes leading to additional adverse impacts on the affected parties, to inform the population about the procedure for resolving these impacts and disclose updated Environmental and Social Management Plan (ESAP) in accordance with the SEP; → in case of identification of additional individual impacts, additional activities on disclosure information and consultations should be conducted in accordance with the SEP; → be aware of concern issues for stakeholders and affected parties, respond to them in a timely manner; → implement an effective mechanism, process or grievance procedure for stakeholders and affected parties and facilitate their resolution and settlement. → In addition, provision of special conditions for consultations with the participation of disadvantaged or vulnerable population groups is mandatory.



Company Requirements

UKT does not have applicable written policies relating to complaints, engagement, disclosure or public information. Putting customers at the heart of service delivery, increasing levels of communication and engagement, and responding rapidly in the event of a service issue have all become critical benchmarks for UKT to meet; at a time where customer expectations for the service and responsiveness have risen, meaning that a high quality interactions should be performed. UKT should find new ways to build customer relationships and engagement by embracing innovation and making it easier for customers to interact with them.

An effective guideline for handling of complaints is still missing, as this complaint handling system should provide three key benefits to UKT:

It resolves issues raised by a person who is dissatisfied in a timely and cost-effective way;

It provides information that can lead to improvements in service delivery; and

Where complaints are handled properly, a good system can improve the reputation of an organisation and strengthen public confidence in an organisation's administrative processes.

It is to be emphasized that the general public would require:

- a user-friendly complaint handling system
- to be heard and understood
- to be respected and an
- action as soon as possible

On the other hand, UKT has some protocols in place included in the 'Sales Manual' which makes efforts to guide management of customer relations, including an ongoing objective to increase positive feedback from customers, and a target of at least three advertisement campaigns per year on topics such as bill payment assistance for customers with debt.

In general, this practice is not implemented as more means of communication and a commitment in the annual budget are needed. On the other hand, in the last year's the Public and Media Relations Office has conducted several educational and awareness campaigns regarding: the new agreement practice with the debtor clients; the green number 08004488; the new "UKT Local Centers"; "Save Water" and education on Water Meter and its Safety.

European Bank of Reconstruction and Development (EBRD) Requirements

The Project is being financed by the EBRD and shall be structured to meet EBRD's 2019 Environmental and Social Policy (ESP) including Performance Requirement (PR) 10: Information Disclosure and Stakeholder Engagement, and satisfy the Bank's commitment to disclosing Project information as set out in EBRD's 2014 Public Information Policy (PIP) document. The EBRD's ESP defines stakeholder engagement as an on-going process which involves:

- Public disclosure of appropriate information
- Meaningful consultation with stakeholders
- An effective procedure or mechanism by which people can make comments or raise grievances

The process of stakeholder engagement should begin at the earliest stage of project planning and continuing throughout the life of the project. The stakeholder engagement will:

- Provide affected communities and other interested stakeholders with access to timely, relevant, understandable and accessible information, in a culturally appropriate manner, and free of manipulation, interference, coercion, and intimidation.



- Involve stakeholder identification and analysis, stakeholder engagement planning, disclosure of information, consultation and participation, a grievance mechanism, and ongoing reporting to relevant stakeholders.
- Be proportionate to the nature and scale of the Project and its potential adverse impacts on the affected communities, the sensitivity of the environment, and the level of public interest.
- Be based on clearly defined roles, responsibilities, and authority as well as designated personnel of the Company to be responsible for the implementation and monitoring of consultation and disclosure activities
- Special provisions will be made to identify individuals and groups that may be differentially or disproportionately affected by the Project because of their disadvantaged or vulnerable status, and to allow such groups or individuals to be informed about Project information and give their views on the Project where appropriate. The list of stakeholders will be updated, and the methods of communication will be improved to meet changing circumstances.



3. Analysis of the current situation

3.1. Customer communication and Public Relations at UKT

UKT is organised such that customer communication and public relations are jointly handled by the Customer Service Directory and the Public & Media Relations Office.

The Customer Care Directory is dedicated to **managing customer information/complaints**, where some of the issues handled by this directory are as follows: problems with billing; maintenance of sewerage network; request for disconnection/new connections; complaints on quality of service; lack of water; abuses and illegal connections; issues related to the contract, etc.

Meanwhile the Public and Media Relations Office, which reports directly to the General Director, is **responsible for developing and implementing an effective and sustainable communication/customer relationship program**. In general, the staff responsible for managing customer relations is young, well-prepared and motivated to perform well.

UKT's Public and Media Relations Office was reorganized when the company was restructured in mid-2010. The office uses various channels to maintain communication with the client and the general public, including: Website: www.ujesjellesitirane.al / online.ukt.al, Active profile in Facebook, Online informative portals, Active profile in Twitter, Smartphone Application "Tirana ime", Green number 08004488 for free, Call Center – 24 hours service.

UKT's website presents legal documents, information about values/vision of the organisation and also information on provided services and tariffs. Regular update of such information in the website is necessary.

UKT has developed a unique company identity which became visible at all levels, ranging from the reception desk to the network teams, the tools of the company, and so on. During the last year's the Public and Media Relations Office has conducted several educational and awareness activities as follows:

- Messages included on the bill;
- Company leaflets and brochures;
- Public awareness campaigns (launching meter installation);
- Posters;
- Press articles/statements/press conferences;
- Visitor tours in company premises;
- Seminars/Job Sessions and other activities in its premises.
- Participation in fairs

Customer Grievance Management

UKT is implementing computerized procedures for handling complaints, which has been operational since September 2010. Monitoring customer complaints and feedback is considered a traditional tool to measure customer feedback to the service. UKT officials report that they view the customer complaints process as an important aspect of controlling the quality of service provided by the Company, and strives to address with high priority customer complaints. UKT provides both electronic and printed complaint forms. The electronic complaint form is included on the company's website while the printed format is valid in all Customer



Information Centers.

The Complaint Tracking System is functional, the response time as well as the responsible staff are monitored on an ongoing basis; but in the website is lacking a regular update of the complaint register.

The Customer Information Center is a central feature for receiving, transmitting, monitoring and tracking all customer complaints for the entire Company. Although customers may use different ways to send complaints, the Customer Information Center documents the complaint on the Appeal System on a daily basis and asks if these complaints have reached a final solution. The client is notified when the employees of the company visit the client's facility and in cases when the problem is resolved on the ground the client is required to activate the Complaint Resolve Form which is later sent to Customer Complaint Operators to be stored in the system and published in the web page.

Participation in decision making and transparency

As concern to the participation in decision-making yet not all groups of the population have the same information needs. The company is lacking written policies relating to engagement, disclosure or public information especially to vulnerable groups. A Transparency Program taking into consideration all relevant stakeholders is also lacking; it is necessary to be detailed and be published as a document on the web page. In addition, given that not many people refer always to the webpage, it is necessary that information is distributed to the clients on a written format using therefore the company's billing system.

3.2. Public hearings and other consultations carried out on the EBRD Project

Project-specific consultation activities have not been carried out by UKT prior to the development of this SEP. However, UKT has previously carried out a number of public consultation events in Tirana including televised public hearings to publicise upcoming increases in water tariffs.



4. Key principles for the development of the SPP

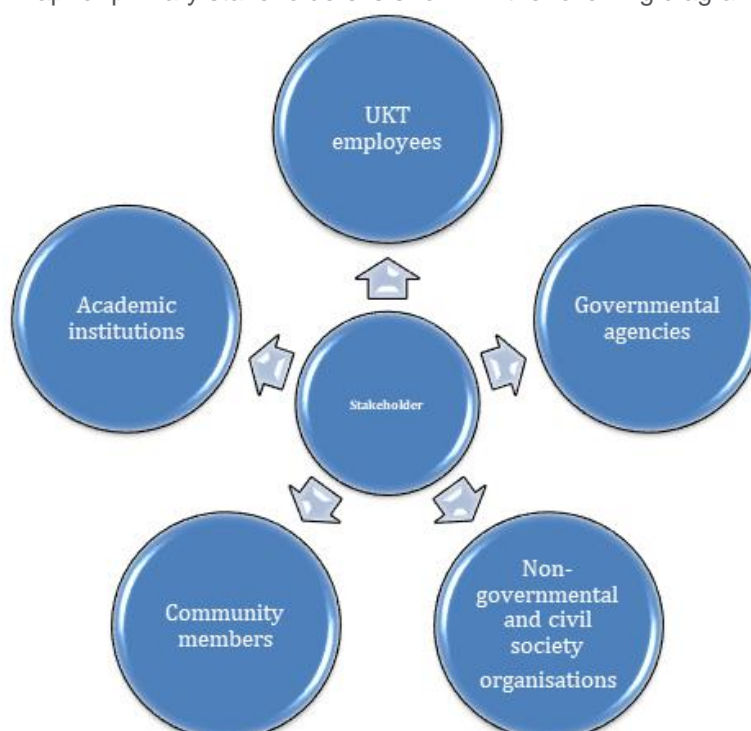
The aim of the SPP is to raise public awareness of issues related to the implementation of the project, as well as water use, sanitation and construction of treatment facilities.

SPP will significantly contribute to the:

- Increase public participation in provision of water supply and sanitation services;
- Raising public awareness of issues related to project implementation and water use;
- Encouraging responsible behavior of consumers in relation to water resources, including a careful attitude towards them;
- Integration of social issues into the proposed tariff reforms;
- Providing assistance to UKT in enhancing the effectiveness of its corporate governance.

Awareness of the community is important for the sustainability of the project. Experience shows that without public awareness and public participation, it is impossible to achieve public confidence in the activities carried out within the project framework. Lack of information among the population leads to such negative facts as a lack of understanding of the need to raise borrowed funds (which are a public debt) for improving the urban water supply and sanitation system. Due to the lack of this information, consumers do not understand how investments will help improve the water supply system and water quality, as well as the fact that these investments will affect the tariff increase. The population does not see a connection between the quality of life and the state of the water supply and sanitation system. Raising the awareness of clients through educational programs should result in an increase in the sense of common ownership in relation to UKT's facilities and its technical equipment.

A stakeholder mapping provides a strategically focused stakeholder list with targeted means of engaging with them. The stakeholder map for primary stakeholders is shown in the following diagram:





Based on a review of Mott MacDonald's 2017 Stakeholder Engagement Plan, **Appendix 2** details the Project stakeholders, interests, and suggested communication and consultation methods.

After the revision of the existing documentation on the information needs identification the following tasks are being undertaken during the development and implementation of the SPP:

Encourage participation of women and vulnerable groups

The SPP will target a broad and diverse stakeholder base including females, as well as economically vulnerable and socially disadvantaged people, as yet not all groups of the population have the same information needs. It will ensure that their views are heard, recorded and taken into account in the Project planning and implementation. Vulnerable, marginalised and disadvantaged groups are likely to experience impacts differently from mainstream society. The following groups are considered to be vulnerable for the purpose of this Project:

- Women consumers of UKT water services;
- Roma and Egyptian households;
- Low-income households who are expected to be disproportionately affected by tariff changes.

The Project's stakeholder engagement activities will build on UKT's existing activities, such as programs to help vulnerable populations with bill payments, including discounted or tranche payment options for pensioners and those with debt.

Propose a strategy for conducting information campaign

An assessment will be conducted to identify the appropriate communication means for each topic and target audience. The information campaign will be conducted combining various instruments containing written and electronic media channels.

Awareness raising campaigns and schedules will accommodate the needs of all stakeholders to include those with cultural access to electronic information and those without the custom to use these tools . A method to measure the impact and success of the awareness will be developed. Based on the intermediate results, the campaign will be adjusted if necessary.

Propose approach for creation and support of Water User Committee ("WUCs")

WUCs will be set up at the level of neighbourhood associations. Assistance will be provided to the neighbourhood associations to create and mobilise the WUCs. An information campaign about the importance and planned roles of the WUCs will be followed by meetings with the communities from each neighbourhood association. It will be strongly encouraged an equitable representation of all population groups (in particular women and socially vulnerable people) on the WUCs.

It will be reviewed the membership criteria to WUCs and its decision-making procedures, whether certain socio-cultural barriers exist, which prohibit people to voice women's opinion and needs, task allocation within the WUCs between men and women, the organisational arrangements of WUCs meetings, specifically whether meetings take place at a time convenient for both men and women, and provide suggestions to promote women's active involvement in WUCs, as appropriate.

Assistance will be provided to the WUCs with training and provision of material. The training will be gender-sensitive and designed and delivered in a way that reaches both male and female uses/WUCs members.

Existing activities of the Company, if any, in the field of information dissemination carried out by the controllers will be integrated in the SPP.

Propose approach for creation and support of an Advisory Committee comprising all major stakeholders



An advisory Committee in the Municipality will be established, which will meet every three months and which includes all client groups i.e. WUC representatives, local industry and local authorities. It will be ensured that both men and women are represented in the Advisory Committee. Each meeting of the Advisory Committee will be facilitated.

Propose a Transparency Program in decision-making

The media will be encouraged to participate in all Forums of WUCs and Advisory Committee meetings. Minutes of the meetings will be distributed to consumers and other stakeholders (WUCs, industries, the Company, media, local authorities).

The existing website of UKT will be updated with the information on the Project and provide means for the public to submit grievances concerning the Project. Specific timeframes within the construction phase will be updated following UKT's finalisation and confirmation of the construction schedule.

Sustainability of dialogue

An approach, which will ensure that the dialogue continues after the termination of this mandate will be proposed and put in place (including identification and training of the stakeholder(s) to take over the tasks of facilitating the meetings).

Propose an effective grievance mechanism

UKT Company will be supported to establish and manage a grievance mechanism for efficient feedback to company management and addressing of public and/or customer grievances.



6. Identification of stakeholder groups and their information needs

This chapter sets the scene for stakeholder engagement as an increasingly important topic in water sector. It provides definitions of key terms as well as insights from the literature on the various concepts related to stakeholder engagement. Provides a stakeholder mapping representing the various bodies interacting with UKT including their roles and responsibilities with regards to UKT activities. Assess the current means of stakeholder engagement by UKT (communication, etc.) and the current communication practices: proposing necessary steps to be undertaken in order to raise customer awareness and maintain a constructive relationship with stakeholders through education campaigns, on-going information dissemination and effective grievance management. The basic information for identifying the needs to develop the new Stakeholder Participation Programme (“SPP”) has been the Stakeholder Engagement Plan already developed for the Project.

6.1. Key definitions and insights from the literature

Recent years have seen an evolution in water sector debates from the notion of “participation” to the concept of “engagement.” Participation typically refers to the involvement of individuals and groups in the design, implementation and evaluation of a project or plan (Brown and Wyckoff-Baird, 1992; Yee, 2010). Engagement is an “umbrella” term. It broadly refers to an organisation’s efforts to ensure that individuals and groups and organisations have the opportunity to take part in the decision-making and implementation processes that affect them or in which they have an interest. It embraces a broader range of inclusive processes, with different intentions and different inputs to the decision-making process. Participation does not necessarily ensure influence on the decision-making process, while engagement is characterised by meaningful inputs to the process. In other words, participation is a level of engagement, amongst others. A distinction is also necessary between public participation and stakeholder engagement. Public participation encompasses a range of procedures and methods designed to consult, involve and inform local communities and citizens.

In the water sector, the “public” would essentially encompass civil society and customers. Stakeholder engagement goes beyond civil society and end users, and reaches out to other groups of actors within and outside the water sector in activities related to planning, decision making, implementation, and monitoring and evaluation. Stakeholder engagement therefore also encompasses different levels of governments (multi-level governance), the private sector, regulators, service providers, donor agencies, investors, civil society in its different forms (e.g. citizens, non-governmental organisations, users’ movements, etc.) and other relevant constituencies.

6.2. Typologies of engagement

The literature reveals that the concept of stakeholder engagement means different things for water use, water management and water governance. For water use, engagement primarily refers to access (sufficient quantity and good quality); for water management, it entails involvement in operational, on-the-ground functions (distribution, infrastructure maintenance, quality monitoring); while for water governance, it refers to implementation, including the contribution to decision making. Water governance is found at all levels (international to local) and includes all types of stakeholders (governments, private sector and civil society).

12. Several typologies of engagement and participation have been discussed in the literature (Box 1). A well-known categorisation is the “ladder of citizen participation” developed by Arnstein (1969) which identifies eight levels, ranging from manipulation (the lowest in the group of non-participation steps) to citizen control (the



highest step and highest degree of citizen power). This range shows that there is a significant gradation of citizens' participation. Arnstein's work has now been deemed obsolete and debatable because it considered participation as an end in itself rather than as a means (Wehn, Rusca and Evers, 2014). Other typologies have emerged: Pretty (1995) "typologies of participation", Fung (2006) "democracy cube" and UNDP Water Governance Facility (2013) "levels of engagement".

Box 1: An overview of participation and engagement typologies

The "ladder of participation" was proposed by Arnstein (1969), which categorises participation according to the level of participants' involvement in the decision-making process, researchers have recognised that different levels of engagement exist, from passive (for example, receiving information) to active (for example, contributing to plans and decisions in various ways).

Pretty's typology (1995) suggests a normative classification of participation ranging from "bad" forms of participation – "manipulative" participation and "passive" participation subsequent to decisions that have already been taken – to "better" forms, such as participation by consultation. "Functional participation" captures the form of participation that is most often associated with "efficiency" arguments: people participate to meet project objectives more effectively and to reduce costs, after the main decisions have been taken by external agents.

Fung (2006) went further and described various approaches to participation through a "democracy cube" which is based on axes of authority and power, types of participants, and communication and decision mode. He suggests that it can be used to inform institutional design choices for public participation planning initiatives.

Recently, the User's Guide on Assessing Water Governance (UNDP Water Governance Facility, Stockholm International Water Institute and Water Integrity Network, 2013) provides a typology of five forms of engagements: i) owners of the initiative (i.e. stakeholders provide the necessary monitoring and evaluation); ii) partnerships (i.e. institutions, organisations and citizen fora collaborate in policy development and implementation); iii) representation (i.e. stakeholder preferences are represented in the management of the project); iv) consultation (i.e. institutions, organisations, citizens and stakeholders are engaged in dialogue and networking); and v) information and awareness (i.e. "participation" is minimal and mainly passive, in the form of educational initiatives, training of staff, etc).

In this report, stakeholder engagement is defined as an on-going process which involves:

- **Public disclosure of appropriate information**, which intends primarily to share information and raise awareness but implies that engagement is mostly passive, i.e. stakeholders are provided with information related to a water policy or project but not necessarily with the opportunity to influence final decisions.
- **Meaningful consultation with stakeholders**, which progresses up to the level of co-production and co-decision, and corresponds to more intensive decision making where stakeholders exercise direct authority over the decisions taken. Stakeholder engagement is therefore a multi-faceted exercise with various progressive levels that imply different forms and intensity of stakeholder engagement.
- **An effective procedure or mechanism** by which people can make comments or raise Grievances.

Stakeholder engagement can also be associated with the definitions presented in box 2.



Water governance: Water governance is about who does/gets what, when and how. It encompasses political, institutional and administrative rules, practices and processes (formal and informal) through which decisions are taken and implemented, stakeholders articulate their interests and have their concerns considered, and decision-makers are held accountable in the management of water resources and the delivery of water services.

Stakeholder: Person, group or organisation who has an interest or stake in a water-related topic, may be directly or indirectly affected by water policy, and/or have the ability to influence the outcome positively or negatively.

Engagement: Process by which stakeholders are involved in the water-related policy/project processes and activities to ensure effective water governance. The engagement process can happen at different stages of an initiative (design/conception, development, implementation, evaluation, etc.) and can have different objectives, from information production and sharing to co-production and co-decision. Furthermore, engagement can take various forms depending on the degree of involvement of stakeholders.

Inclusiveness: Extent to which engagement processes involve stakeholders from diverse backgrounds and take into account their needs, assets and perspectives into the design and implementation of water policies and projects.

Promoters: Conveners and facilitators who set up engagement processes to gather stakeholders around a given project, reform or policy.

Targets: Institutions, groups or individuals for which decision makers set up engagement processes, with various intentions: to inform and educate them; to consult them for harnessing their knowledge and opinions; or to partner and co-decide with them in order to take joint decisions or actions.

In this document, all stakeholders were divided into two categories - directly interested parties and indirectly interested parties.

- Internal stakeholders are: UKT management, personnel, contractors and other parties directly involved in UKT / project activities and other parties benefiting from this activity.
- External stakeholders are those which are not directly related to the project, but may be affected by it.

The following list presents the major stakeholder groups relevant to the Project implementation:

- Household consumers, as consumers of services provided by UKT;
- budgetary institutions, as consumers of services provided by UKT;
- private and commercial customers of UKT;
- institutional (budget) consumers of drinking water, which are supplied by their own water intake facilities;
- household consumers of drinking water supplied by other suppliers;
- private, commercial and household consumers of drinking water services in Tirana municipality using their own wells;
- City officials and key employees in the Municipality;
- central regulatory bodies;
- central government bodies;
- members of the City Council;
- UKT employees;
- Contractors and suppliers;



→ Donor agencies.

Gender aspects

The EBRD works with its borrowers on the basis of gender equality and equitable access to services for both men and women. To this end, the identification and analysis of the stakeholders of the Stakeholder Engagement Plan are gender-sensitive. SPP will reflect the issues of gender equality and equitable access to services for men and women through the involvement of equal and fair participation of men and women in the activities considered in this SPP.

6.3. Information Needs Assessment

A stakeholder mapping exercise was carried out, prior to this assignment, to provide a strategically focused stakeholder list with targeted means of engaging with them. The SPP will consider and build upon the Stakeholder Engagement Plan already developed for the Project and the Information Needs Assessment will be elaborated based in this SEP and also on international best practices and includes consideration of the following issues:

- the purpose of the UKT Tirana Project;
- environmental, technical and economic need for conservation and rational water use: an explanation of the importance of rational and effective water use and conservation of water resources;
- cost recovery: an explanation of how water tariffs are related to quality of service and how they are used to promote water resource conservation, explaining the real cost of water supply and sanitation services;
- health aspects: examples of good and bad hygienic practices and increase local understanding of the dangers of water borne diseases.
- participatory mechanisms: explaining how each user of water is individually responsible for stable and equitable access for all and saving water in general, interacting with vulnerable segments of the population.

Project stakeholders, information needs and suggested communication and consultation methods are summarised below.

Stakeholders	Information needed	Proposed Communication Tools	Proposed Media Channels
Internal stakeholders			
1,300 employees at UKT	<ul style="list-style-type: none"> • Compliance with labor standards and workers' rights. • Employees can potentially be affected by staff cuts caused by the Project implementation. • Information about ESAP, positive and negative impacts of the Project. 	Internal newsletter, bulletin boards in office and Project sites, grievance procedure	None



Temporary construction workers, subcontractors, other non-employee workers

- Receiving information on tender biddings for contract works under the Project and participation in them, obtaining contracts for construction works

Information in contract, bulletin board, training, grievance procedure, code of conduct

None

UKT workers' union representatives and members

- Issues of the Project impact on the environment and the citizens and compliance of UKT's ongoing work with the requirements of the environmental legislation in Albania;
- The overall impact of the project as a factor in improving the well-being of the population including improving the sanitary and hygienic situation in the city;
- Quality of water supply services in the city;
- Interaction of all stakeholders and ensuring their permanent and constructive communication;
- Stable project operation and all its structural components, timely and full execution of activities planned for implementation under the Project;
- Institutional development of UKT;
- Sustainable development of the city;
- Presence of any threats related to the project, risks and any proposed mitigation measures;
- Tariffs for UKT services after construction works;
- Compliance with labor standards and workers' rights;
- Grievance procedures.

Union newsletter, information on request to union representatives

None

External stakeholders

Community members

Residential land owners that are located on the proposed pipeline route and WTW extension route

- Notification/information on the type of expropriation for the project works
- Value of expropriation of the property
- Value of assets compensation
- Crops compensation information
- Supply of drinking water

Private meetings, information brochures, public consultations

Ads via local newspapers, radio channels, TV channels

Business land owners that are located on the proposed pipeline route and WTW extension route

- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;

Private meetings, information brochures, public consultations

Ads via local newspapers, radio channels, TV channels

Residential land users including informal users that make use of land on the proposed pipeline route and WTW extension route

- Impact of the project on them during their activity, in terms of employment opportunities; health; security;
- Impact and mitigation during construction and operation periods.

Private meetings, social media, UKT shops, information brochures, public consultations

Ads via local newspapers, radio channels, TV channels

Business land users including informal users that make use of land on the proposed pipeline route and WTW extension route

Private meetings, social media, UKT shops, information brochures, public consultations

Ads via local newspapers, radio channels, TV channels



UKT Tirana customers

- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;
- Impact of the project on them during their activity, in terms of employment opportunities; health; security;
- Impact and mitigation during construction and operation periods.

Mass media, social media, UKT shops, UKT website, public consultations

Ads via local newspapers, radio channels, TV channels. Information brochures with water bills

Vulnerable populations – Roma and Egyptian households identified as vulnerable minority groups

- Tariffs and availability of subsidies for payment for water services
- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Negative impact for local population during construction works.

Public consultations and meetings. Liaison through community organisations identified below

Ads via local newspapers, radio channels, TV channels

Vulnerable populations – low-income households to be disproportionately affected by increased water tariffs

Public consultations and meetings with members and representatives of low-income households.

Ads via local newspapers, radio channels, TV channels

Vulnerable populations – women residents whose use of and access to water supplies will be impacted

Public consultations and meetings with women residents and women-headed households.

Ads via local newspapers, radio channels, TV channels

Sensitive populations – users of public services to be affected by construction works, including schools, health services and community centres

Public consultations and meetings with public service users

Ads via local newspapers, radio channels, TV channels

Non-governmental and civil society organisations

Roma and Egyptian community and civil society organisations: Roma Home of Culture (IRCA); Roma Active Albania (RAA)

Email address and public consultations

Company website: www.ukt.al

Albanian Centre for Population and Development (ACPD)

- Information on the status of the project works
- Information on tariffs, possible traffic restrictions in construction areas, temporary outages of water supply, etc.
- Information explaining various issues of citizens' concerns related to construction works, negative impacts, specific gender impacts to citizens, and other Project ongoing activities

Email address and public consultations

Company website: www.ukt.al

Gender Alliance for Development Centre (GADC)

Email address and public consultations

Company website: www.ukt.al

National Communal Forestry and Pastures Association

Email address and public consultations

Company website: www.ukt.al



Water and forest user groups

Email address and
public consultations

Company
website:
www.ukt.al

Governmental agencies

Ministry of Infrastructure and
Energy (MIE)

- Information on the status of the project works
- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;

Private meetings;
Email address

Company
website:
www.ukt.al

Ministry of Tourism and
Environment (MTE)

Private meetings;
Email address

Company
website:
www.ukt.al

Water Regulatory Authority of
Albania (WRA)

- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;

Private meetings;
Email address

Company
website:
www.ukt.al

National Water Council
(NWC)

- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;

Private meetings;
Email address

Company
website:
www.ukt.al

National Environmental
Agency (NEA)

Private meetings;
Email address

Company
website:
www.ukt.al

River Basin Management
Agency (RBMA)

Private meetings;
Email address

Company
website:
www.ukt.al

River Basin Councils (RBC)

- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;

Private meetings;
Email address

Company
website:
www.ukt.al

River Basin Administration
Offices (RBAO)

- Supply of drinking water
- Water quality
- Repair works for water supply network
- Tariffs for water services
- Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas;

Private meetings;
Email address

Company
website:
www.ukt.al

Agency for the Legalization,
Urban Planning, and
Integration of Informal
Areas/Constructions
(ALUIZNI)

Private meetings;
Email address

Company
website:
www.ukt.al



Immovable Registration Office (IPRO)	Property		Private meetings; Email address	Company website: www.ukt.al
Agency for Restitution and Compensation (AKKP)	Property and		Private meetings; Email address	Company website: www.ukt.al
Institute of Monuments			Private meetings; Email address	Company website: www.ukt.al
Office of the Ombudsman			Private meetings; Email address	Company website: www.ukt.al
Ministry of Finance		<ul style="list-style-type: none"> • The overall Project implementation including financial aspects, timely implementation of the planned measures and activities, preparation of the overall reporting on PIP. 		
Ministry of Social Affairs		<ul style="list-style-type: none"> • Supply of drinking water • Water quality • Repair works for water supply network • Tariffs for water services 	Private meetings; Email address	Company website: www.ukt.al
Ministry of Health		<ul style="list-style-type: none"> • Increasing of hygiene and health conditions in the city, in particular, existing infrastructure of toilets in kindergartens, schools, residential areas; 	Private meetings; Email address	Company website: www.ukt.al
Ministry of Development	Urban		Private meetings; Email address	Company website: www.ukt.al

Academic institutions

University of Tirana - Faculty of Engineering		<ul style="list-style-type: none"> • Supply of drinking water • Water quality • Repair works for water supply network • Tariffs for water services • Negative impact for local population during construction works. 	Private meetings; Email address	Company website: www.ukt.al
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Additional information needs that may arise as a result of the project in the course of informing stakeholders should also be included in the list of Information Needs, shown in the above table.



7. SPP implementation strategy

In line with the requirements of the Terms of Reference, the Stakeholder Participation Programme implementation will be organised around four pillars which will be detailed hereafter:

- The implementation of an Information Campaign;
- The appointment of Water User Committees and their forums;
- The creation of an Advisory Committee comprising all major stakeholders;
- Improvement of public interaction mechanisms.

7.1. Information campaign

7.1.1. Proposed approach

The proposed approach is formulated on the assumption that residents of Tirana Municipality considering also the former communes will be covered by awareness-raising activities throughout the project implementation period. The contribution of local authorities to these activities plays a large role in achieving results.

This Stakeholder Participation Program (SPP) is developed based on the results of the mapping exercise carried out prior to this contract. Additional information needs may arise, which will be included in the list of information needs based on the discussions with stakeholders, and following the implementation of the information campaign. At the same time, where the level of awareness is already high, such questions can be excluded from the list, which will be finalized in the consultation process. Explanations on the need for information for different stakeholder groups will be provided after selecting the appropriate media and effective communication channels. Different types of information for different groups will require the involvement of different channels of information / media.

While preparing an information/communication campaign, it is important to consider what kind of impact it will have and how it can be assessed. For this, measures will be developed that will allow to assess the impact and success of the information campaign of the SPP/SEP; It is necessary that the indicators remain specific, measurable, achievable and realistic. The information campaign modules should be designed considering the information needs and interests of the beneficiaries and the effectiveness associated with raising awareness. The implementation of information campaigns will take place throughout the Project. The main modules will be implemented during the project implementation period. The frequency of repetition of modules will be determined during the implementation of the subsequent discussion with the key stakeholders.

A final assessment of the level of awareness and knowledge among stakeholders is planned to be made during the last 5 months of the project, using similar measures, like in the case of the baseline survey and indicators for the SPP. The educational campaign to raise awareness of clients will be carried out in the form of a broad information campaign. When developing an information campaign, special attention in the preparation and implementation of the information campaign will be given to information as the main way to influence the target group. Impact will be carried out by improving knowledge, changing attitudes toward a particular subject or phenomenon, and by developing skills in the desired behavior.

The purpose of the information campaign is to implement an integrated system of measures to influence target audiences with various information tools and channels of mass and individual information, and training aimed at encouraging acceptable new models of behavior that are useful to them and the community for water consumption, sanitation, lean and rational use of natural resources. To meet information needs, it is very important to correctly determine which communication channels and means will be used for certain target audiences.



7.1.2. Selection of communication channels in line with information needs assessment

An important step prior to any start of the information campaign is to make sure that there is a full understanding of the role of the program developer in the choice of means of communication means and information transfer channels for specific target audiences, as reflected in the following instruments, which serve as tools for disseminating information with a high level of efficiency:

Channels and means of communication/information The following channels and the means of information are suggested by the consultant as relevant to be used taking into consideration the proposed information needs of each stakeholder:

- Local newspaper
- Internet (social networks, UKT web page or Instagram, Twitter and FB profile as an alternative).
- Mobile communication operators (Viber and WhatsApp)

Information, educational and training materials The content of which should reflect information needs already proposed. Trial copies must be consulted before they are mass printed and distributed. For each target audience, the materials appropriate for this target group will be developed.

For the meetings to be held with relevant stakeholders are proposed the following information, training and educational materials:

- Training materials: manuals, training modules;
- Information on the reverse side of the bills for UKT services;
- Information boards, posters, banners, brochures, leaflets.

Public events will be used for UKT consumers and other stakeholders The following types are suggested:

- Meetings with internal and external stakeholders with the public (meetings at the Municipality, local administrative, meetings with community structures and water users' committees when created etc.)
- Public hearings.

The topics of the meetings will be devoted to the issues of project implementation, information needs within the information campaign.

Information seminars / trainings are designed for WUCs/AC to inform the public and, in particular, poor households/vulnerable groups. These activities will be arranged by the Consultant and UKT, jointly with Municipality.

Types of trainings:

- Seminars/trainings.

Target audience:

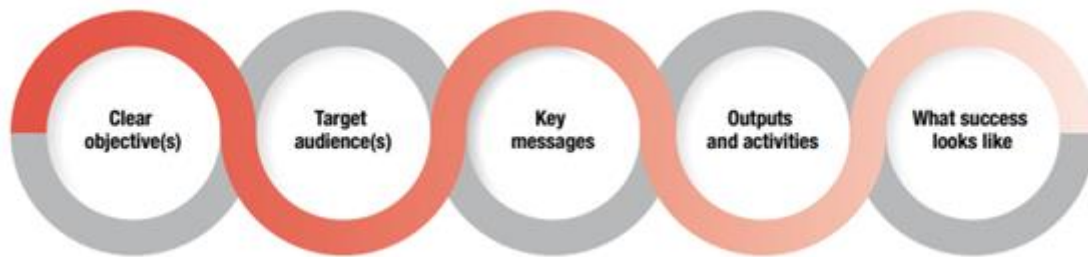
- Household consumers;
- Budget organizations;
- Commercial enterprises;
- Municipality;
- Local government units (former communes).

7.1.3. Content and objective of the information campaign

To achieve impact, communication/ information campaign needs to be both strategic and high quality. While a low-quality communication/information campaign can still achieve some positive impact, if it is relevant and topical, it can potentially cause longer-term risks to reputation and credibility.



To ensure that the communication/information campaign is strategic and the outputs are of a high quality, it should include:



UKT communication and information campaign should be viewed in the context of a wider campaign, indicating what the company wants to achieve and where it fits in. This way it can be ensured the companies work is clearly linked with its objective and its impact can be evaluated.

When planning a campaign, the following steps are taken into consideration:



- **Objective** to set what the communication activities is intending to achieve. Start with the policy aim and develop communication objectives that will deliver this. Include the role that the communication will contribute in achieving the policy aim and the role that individual activities/channels will play in meeting in the communication objectives. Objectives should be achievable, measurable, expressed numerically where possible, focused on outcomes and related to changing audience attitudes and/or behaviour.
- **Audience insight**, will focus on to whom the campaign is addressed, to change or influence their attitudes and behaviours to help in achieving the objective. Understanding the audience is critical to an effective campaign. It is important to use insight to create a full picture of who they are and how they will reach a desired outcome.



- **Development and implementation of information strategy:** defining channels and means of information, through which the population of different target audiences receives information; development of detailed information campaign plan;
- **Implementation:** distribution of resources for information campaign; mobilization of community structures / water user committees;
- **Monitoring and evaluation:** permanent monitoring and evaluation of the information campaign; conduct a study to evaluate the effectiveness of the implementation strategy to determine if information is received and if it is correctly perceived.

7.1.4. Timeline

An important condition for awareness raising among stakeholders is the timeline set regarding consultations and information about the Project, aiming to ensure their participation in solving environmental and social issues and facilitating the Project implementation.

Plans (SEP, SPP) will be posted on the UKT webpage (www.ujesjellesitirane.al), and include reporting on the implementation of measures, and be free to access to all stakeholders. These plans will be regularly updated during the Project implementation with terms, addresses and formats of activities.

7.1.5. Implementation responsibilities

UKT will be assisted by the consultant to arrange the first two public events and conduct relevant training. After that, when the involved parties got required skills in awareness raising, they will be responsible for implementation of these activities during the next several years up to the very end of the Project.

The consultant will prepare leaflets for distribution which will notify citizens and relevant stakeholders on key issues, related to:

- **Paying would ensure an improved water service;**
- **Importance of saving water - and what should be done about it;**
- **Some useful advice and easy ways to save water in the bathroom, kitchen and even the garden and save money on the bills;**
- **Where people can get products to help them save water in their home.**

In addition, this advert will also be accompanied by a radio spot, aiming for a larger audience.

For the arrangement and implementation of SPP the responsible parties will be UKT, Municipality acting by an assigned responsible person, the project implementation office representatives and the consultant. Compliance monitoring will be implemented by the Advisory Committee, which will meet every three months and which includes all client groups i.e. WUC representatives, local industry and local authorities. The Advisory Committee will discuss any water supply issues that may arise with the Company and the Municipality.

7.1.6. Measuring Information Campaign impact and improved awareness

Given the proposed information campaign, suggested in the base of the new model to provide relevant information to internal and external stakeholders, the impact measurement on the target group will be carried out through monitoring and evaluation.

A standard approach to monitoring the different communication activities, which must be conducted



consistently across different channels and tools. During the monitoring, the strategy of the information campaign should be adopted in the existing form without changes; planned activities and results should be compared with the actual ones. The information obtained during monitoring should be used to improve the work during the information campaign.

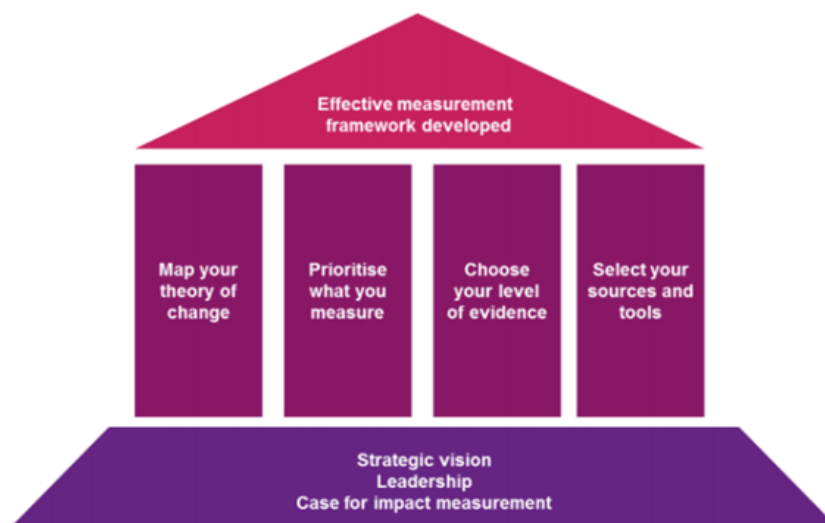
Monitoring and evaluation of the activities and results are essential to give transparency to the funds invested in conservation as well as to make necessary adjustments if necessary.

Evaluation should be carried out at key stages in the information campaign implementation. The campaign strategy should be analyzed in order to optimize / improve it. The reasons for achieving/not achieving the planned results should be analyzed. The information obtained will be used to improve the further course of the information campaign.

The relevance of the campaign will be examined through the appropriateness of campaign messages, the activities and the communication channels, as well as the extent to which the campaign complemented other related initiatives.

The effectiveness of the campaign will be examined by whether the target audience has been reached effectively and efficiency will be measured by comparing the costs of the campaign with a range of different output measures which reflect the different activities of the campaign. This approach reflects the fact that there is no single output measure for the campaign to derive a total campaign efficiency measure across all media/activities.

The subject of monitoring and evaluation will be a four-pillar approach model comprising the following:



→ Mapping the theory of change

It can be hard to know where to start when measuring the impact of the campaign. With the theory of change it can be easy to track the progress made towards providing **improvement of knowledge** in the field of rational and efficient use of water and **changes in attitude/behaviour** related to water and in terms of **increasing the real cost** of water supply and sanitation services and **formation of skills of desired** behavior related to water and in terms of individual responsibility for stable and equitable access to water for all and everybody.

→ Prioritising what has been measured

Irrespective of whether the campaign is large or small, it is need to prioritize among the outcomes that are the most essential and meaningful to measure, that: directly influence; are important to the campaign's mission; are not too costly to measure; and will produce credible data.



→ Choosing the level of evidence

The results of campaigning activities can be harder to pin down than those of service delivery.

It is important to choose a level of evidence that is proportionate to the size of the campaign and for which it can realistically collect data. Different types of evidence and their uses for understanding the impact of the information campaign can be split broadly into two areas: Tracking the extent to which the change has happened. Quantitative methods can help to establish whether the campaign is or is not successful. They may help to establish, for example, how many saw the campaign material. It can also tell how many people changed their attitudes, acted in a specific way.

Tracking how the change happened. Qualitative methods can help to explain why the information campaign was or was not successful. They may help in understanding what the intended audience/customers thought of the campaign, whether or not the campaign material made a difference to them and if so how.

→ Selecting the sources and tools

Once it is decided what needs to be measured, and the level of evidence that is intended to be collected, it is crucial to identify the right tools. Below are some tools commonly may be used to measure the influence of campaigning.

- *Quantitative:* Surveys/questionnaires can be targeted to the right population and customised around the outcomes being measured.
- *Qualitative:* Interviews with key stakeholders, influencers or informants help to understand the complexities of how and why change has occurred. Focus groups can be very useful for exploring why a campaign is or is not leading to change. Here, questions about thoughts, attitudes and beliefs towards a topic of interest are posed to a group, who share their thoughts in an interactive manner.

7.1.7. Potential risks to success and proposed mitigation measures

As mentioned above, the implementation of the project and its SPP component it is suggested to be headed by UKT with the support of the Municipality and consultants.

The Consultant will provide support on SPP initial implementation stages. It must be highlighted that the success of the Project implementation requires the leadership of UKT, jointly with the Municipality; and it should be noted that any delays in the implementation of key components may impact the deployment of the Stakeholder Participation Programme. For this, the process of information dissemination should be deployed throughout the project implementation in order to raise awareness on issues related to water and sanitation as well as ensure the population's support during the implementation of the construction works. Delays in the technical implementation commencement (design, construction) of the Project bear the risk of significantly delaying the information campaign, since this circumstance can and often leads to a loss of context and level of involvement of the local population regarding the Project activities.

To mitigate any potential risk in this regard the Consultant will provide its support to the implementation activities, as provided in the following table of Information Campaign Plan on the responsible parties column, and ensure that UKT received training on how the information process should be carried out with the involvement of all participants of the information campaign. At the same time, this direction will be implemented in the process of performing the real events, where all participants of the information campaign will be involved (meetings and WUCs and AC forums, and other relevant steps).

To reduce the risk of delay or non-implementation of the information campaign, the Consultant has suggested in the Information Campaign Plan a timeline of each activity indicating the time period, who will be involved and limits of responsibility for the activities under implementation.



Information campaign Plan for FOPIP Project

No.	Measures	Target group and their roles	Terms of implementation	Planned outcome	Responsible parties	Materials	M&E Indicators
Period prior to construction							
1.	Training of the community structures in WUCs and AC activities	Neighbourhood associations of the City and Mayor Office	Q III - Q IV 2019	Community structures and the local community have been informed about WUCs/AC and FoWUCs	UKT, Municipality, Consultant	Presentation, Lists of Attendees, Photo materials	(1) Number of people aware of the Project activities, (2) positive attitude and support of the project activities by the local community.
2.	Training on activities to be done by WUCs and AC	WUCs and AC members	Q III - Q IV 2019	Community structures, WUCs and AC members	UKT, Municipality, Consultant	Handouts, presentation, list of attendees, photos	Members of WUCs and AC are aware of their obligations, started working on the awareness raising
3.	Training for and discussion with UKT on how the awareness raising is to be held	5 persons representing the Company and Consultant representatives	Q III - Q IV 2019	UKT and the Municipality are aware of and understand the principles, approaches and measures to inform local community on the Project activities	UKT, Municipality, Consultant	Presentation, handouts, list of attendees	(1) Number of people aware of the Project activities, (2) positive attitude and support of the project activities by the local community; (3) Improved knowledge in awareness raising process, main principles and approaches
4.	SPP approval	Stakeholders	Q II - III 2019	UKT Company and the Municipality are aware of and understand the principles, approaches and measures to inform local community on the Project activities. Bank has approved the submitted SPP	EBRD, UKT, Municipality, Consultant	SPP report	Implemented % of the information campaign plan



5.	Public meetings	Individuals and legal entities, local governments and their representatives, the media, local NGOs. WUCs and Advisory Committee members to provide information for the local community	Q III - Q IV 2019	Informed about the Project, its potential impacts, proposed mitigation measures and expected benefits	UKT, Municipality, Consultant, project implementation office	Presentation; handouts in paper form; draft letter submitted to the Municipality re required support for holding meetings	(1) Number of people aware of the Project activities, (2) positive attitude and support of the project activities by the local community; (3) Improved knowledge in: rational and efficient use of water; changes in attitude: on water saving aspects; on increasing the real cost of water supply and sanitation services; formation of desirable behavior skills: lean and economical attitude to water; Individual responsibility for stable and equitable access for everybody.
6.	In all materials and presentations, to provide the "Complaints mechanism/Grievance redress mechanism" (GRM)	Physical and legal entities of Tirana Municipality, along with its local administrative units	Q II-III 2020 3 one-hour meetings to present GRM. Placing relevant information in the City information boards and in the UKT office	Customers are aware of the mechanism	UKT, Municipality, project implementation office, Consultant	All information materials should contain a brief description of GRM. Detailed info re GRM to be presented during the meetings	Number of people been informed about GRM, list of attendees at the meetings
7.	Receiving comments and suggestions	Physical and legal entities of Tirana Municipality, along with its local administrative units	Monthly, after the 20th of each month	Well-developed complaint mechanism. Contacts with the population living in the project area.	UKT, Municipality, Public relation department, directory of customer care, project implementation office	Logbook of received and responded to complaints. Preparation of monthly reports to the project implementation office on incoming calls.	Records in WUCs meeting minutes Number of grievances from the local population living in the Project areas is not higher than 5% of those living in the impacted zones
8.	UKT webpage OR: In case of delay with development of the web-site, arranging FB, Tweeter, Instagram profiles with all the required information.	Everybody Local community representatives to place questions, comments and grievances at the FB, Tweeter, Instagram profiles of UKT	Development of the FB, Instagram, Twitter profile QIII-IV, 2020; Use and updating the FB profile - permanently, before the 20th of each month, by the day of the WUCs meeting	Clients (all citizens, physical and legal entities) have been informed about the UKT activities. The publication of the SEP and SPP after Bank's revision expected in QII. Updating the SEP and SPP by UKT as required.	UKT, Municipality, Public relation department, directory of customer care, project implementation office	Terms of Reference for the web-site (FB profile) development, site (FB profile) content, permanent checking of newly received comments and questions	Number and quality of publications at the Company's web-site or at the FB profile on the forthcoming construction and repair activities, water supply cuts, opportunities of the local people to use GRM, increasing tariffs, etc.
9.	Annual reporting to the Bank on the progress of the Project activities	Everybody in the city, including local office of EBRD and Municipality	Once a year, before March 30 th .	Annual reports with information on project implementation are placed at the Company's web-site	UKT, Municipality, project implementation office	Annual Reports	Timely submission of the reports



10.	Interaction with the media	Everybody	As required, as well as in cases when publication of a press release is appropriate, according to the procurement plan	Readers are informed through the media about the Project.	UKT, Public relation department, directory of customer care, project implementation office	Project information, project and the Company and Municipality representatives as interviewees	Number and quality of the publications on the Project activities; Number of people been informed on the Project activities
11.	Announcement of tender	Contractors and Suppliers	According to the schedule of procurement of services and equipment	Tender	UKT, project implementation office	Tender documentation	Tender materials of the Company's web-site and local newspapers are available and accessible for every interested party
12.	Interaction with vulnerable groups	Individuals with special needs; WUCs and Advisory Committee members to provide information for the local vulnerable people	Permanently Monthly reporting, after the 20th of each month	Identification with low-income residents and (1) assistance in obtaining assistance (subsidies); (2) Interaction with vulnerable groups on tariff increase, as well as with public organizations representing their interests. (3) Ensuring participation of vulnerable groups or their representatives in public meetings held to prepare the Project implementation, informing about the Project.	UKT, project implementation office Social Workers of Municipality	Consumers lists, informational brochures	Number of people from vulnerable groups been informed on the Project activities
Construction period							
13.	Information boards, banners	Everybody	After signing a Contract with a contractor	A brief information about the project has been provided on the banners. Residents of Tirana Municipality in the area of planned works have been informed about the works (boards, posters)	Consultant, UKT, Municipality, project implementation office, Contractors	Banners (2) posted in the city. One shield id located at the entrance to the area of planned work	2 banners posted in the City



14.	Interaction with the media	Everybody	As required, as well as in cases when publication of a press release is appropriate.	Readers have been informed through the media about the progress of the project.	Consultant, UKT, Municipality, project implementation office, Production and technical department of UKT	Project information, project representatives as interviewees	Number of mass media involved in the information campaign Number and topics of publications on the Project activities
15.	Consultant Reports and Recommendations	UKT, local governments and their representatives, central government agencies, donors	Quarterly and final reports	Report recipients have been informed and aware of the work performed and the progress of the project.	Support Projects' Consultants	Consultant report presentations	Timely submission of the reports Approval of the reports by the Client and the Bank
16.	Reports of the project implementation office [1]	Local governments and their representatives, central government agencies, donors	Quarterly, annual reports	Report recipients have been informed and aware of the progress of the project.	Project implementation office personnel	Project implementation office report, presentations, handouts	Timely submission of the reports Approval of the reports by the Client and the Bank
17.	Meetings at Municipality	UKT, local governments and their representatives, central government agencies, donors	As required	Participants have been informed and aware of the progress of the project. Meetings, newsletters and email or other communications as needed.	UKT, Municipality, project implementation office	Project implementation office report, presentations, and handouts. Letters and Correspondence	Number of meetings held. Number of questions considered Number and topics of the grievances from the local population in the Project area considered
18.	Public meetings	Individuals and legal entities, local governments and their representatives, the media, local NGOs.	As required	Informed on the progress of the project.	UKT, Municipality, project implementation office	Presentation; paper handouts; required support during meetings	Number of meetings held Number of questions considered Number and topics of the grievances from the local population in the Project area considered
19.	Water Users Committees (WUCs) meetings	Individuals of relevant committees, representative of UKT	Monthly	Residents of relevant local administrative units have been informed and aware of the progress of the project.	WUC, UKT representative	Work plan, meeting agenda, minutes, flyers	Number of meetings held Number of questions considered Number and topics of the grievances from the local population in the Project area considered



20.	Advisory Committee (AC) meeting	Advisory Committee members	Every three months	Attracting residents and organizations of Tirana Municipality, as well as civil society to participate in the discussion of issues in water supply and sanitation in the city and bringing their needs and requirements to decision-makers in Tirana Municipality	Chairman and Advisory Committee Secretary.	Agenda, minutes, presentations.	Number of meetings held Number of questions considered Number and topics of the grievances from the local population in the Project area considered Number of local people participated Number of issues on the docket resolved
21.	Announcements of possible interruptions in the provision of UKT services	Individuals and legal entities	3 days before stopping the water supply	Before construction, residents have been informed about possible impacts, inconveniences (if any) and measures to reduce them. Information about possible interruptions in UKT services and planned construction works has been placed in the form of printed-out announcements, for example, on information boards, through information leaflets distributed to residents / organizations, social media.	UKT, Municipality, project implementation office	Plan and schedule of outages during the construction period, Logbook of outages.	Number and forms (adds at the boards, leaflets, via website/FB profile, by telephone) of announcements regarding the interruptions in UKT services Number and content of the grievances on the interruption of UKT services
22.	Registration and processing complaints, response and preparation of reporting documentation	Individuals and legal entities	Permanently	Submission weekly reports on the work with appeals to the project implementation office manager / UKT management	UKT, Municipality, project implementation office	The logbook of registration of the accepted and considered/responded complaints, weekly reports on work with appeals.	Number and content of grievances submitted Number grievances actually resolved by the Project implementation office and UKT Commercial Dept. personnel Number of appeals
23.	Regular publication of news on the UKT web-page at www.ujesiell.esitirane.al or UKT's FB, Instagram and Twitter	Everybody	Publication of publicly available information as it becomes available	Information on changes to the investment program, completion of construction phase, etc.	UKT, Municipality, project implementation office	Information on impact management activities during construction works, monitoring reports and annual reports.	Number, frequency and content of publications at the web-page or FB profile Number and content of the comments received from the local population in response to this information



	profiles						
24.	Updating SEP	Everybody	Before the start and completion of construction work	An updated version of the SEP has been posted on the UKT webpage.	UKT, Municipality, project implementation office	SEP	SEP has been updated and approved by the Bank and Client
25.	Annual reporting	Everybody	Once a year	Annual reports with information on the Project implementation, including handling complaints / appeals and updating the SEP have been made available.	UKT, Municipality, project implementation office	Reports	Timely submission of the reports Approval of the reports by the Client and the Bank
Operation period							
26.	Registration and processing of complaints, preparation of reporting documentation	Individuals and legal entities	Permanently	Submission of semi-annual reports on complaints / appeals to the PIU / Company management.	UKT, project implementation office	The logbook of registration of received and considered/responded complaints, semi-annual reports on work with appeals.	Number and content of grievances submitted Number grievances actually resolved by the Project PIU and UKT Commercial Dept. personnel Number of appeals
27.	Interaction with vulnerable groups	Individuals with special needs	Permanently	Monitoring the social impact of tariff increase on vulnerable groups. Identification of low-income consumers and assistance in obtaining social assistance	UKT, project implementation office jointly with Municipality	Consumers lists, informational brochures, flyers.	Number of people from vulnerable groups been informed on the Project activities
28.	Updating SEP	Everybody	Annually	An updated version of SEP has been posted on the UKT webpage.	UKT, project implementation office	SEP	SEP in updated and approved by the Bank and Client
29.	Annual reporting	Everybody	Once a year	Information on the activities of UKT during the operation phase has been published in annual reports.	Various UKT specialists are responsible for the preparation. The office responsible for the publication.	Reports	Timely submission of the reports Approval of the reports by the Client and the Bank



30.	<p>Spread of information: (1) On the back side of UKT's bills; (2) In leaflets for WUC; (3) Social Networks and WhatsApp (postings)</p>	Individuals and legal entities	As required	Consumers of UKT services have been informed, for example, about outages, tariffs, subsidies, etc.	<p>UKT, project implementation on office, WUCs</p>	Preparation of brief information for bills and development of leaflets	<p>Brief information for bills and development of leaflets have been implemented The information was placed at the back side of UKT's bills The information started to be distributed at the leaflets of WUCs Information started to be distributed by WhatsApp and Social Networks</p>
31.	<p>Advisory Committee (AC) meeting</p>	Advisory Committee (AC) members	Every three months	Attracting residents and organizations of Tirana Municipality, as well as civil society to participate in the discussion of issues in water supply and sanitation in the city bringing their needs and requirements to decision-makers in Tirana	Director and Secretary of the AC.	Agenda, minutes, presentations.	<p>Number of meetings held Number of questions considered Number and topics of the grievances from the local population in the Project area Number of local people participated Number of issues on the docket resolved</p>



7.2. Establishing dialogue by appointing Water User Committees and their forums

7.2.1. Proposed approach

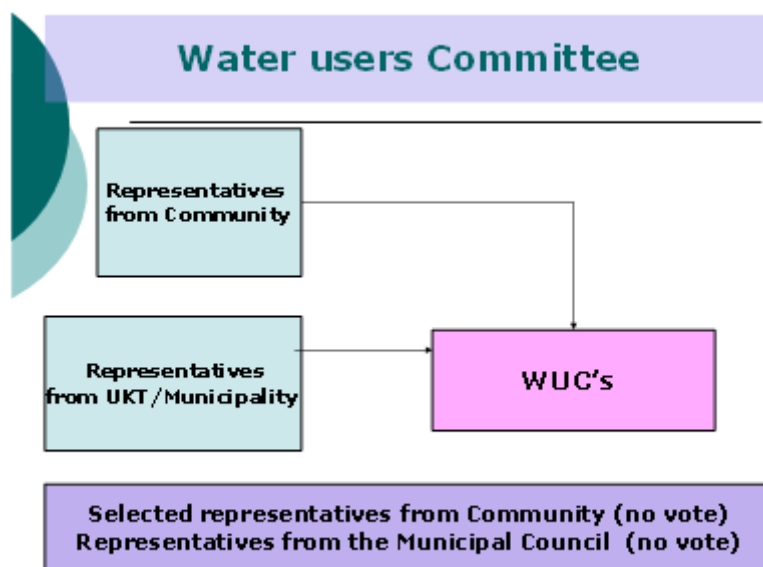
The approach to the formation of effective Water User Committees (WUCs) that will have institutional sustainability will be discussed with the representatives of UKT jointly with the Municipality and other key stakeholders based on several open meetings in Tirana city and its rural area.

Creation of WUCs in the form of a new structure in water sector in Albania will be a difficult process because of their financial support and because these communities have been prior implemented in the irrigation and drainage sector and haven't succeeded.

However, in compliance with the Terms of Reference for this project, the consultant proposes that WUCs shall be established at the level of local administrative units, namely 24 of them (11 local administrative unit in Tirana city and 13 former communes), spread as in the following map of Tirana Municipality.



The approach is to make use of participatory tools to allow the community to identify and solve their own water problems i.e. learning by doing through self-discovery. This strategy is based on the premise that people are the most valuable resource. The process is supposed to further development and fulfil human potential by drawing strength from pre-existing working groups or those that are set up in the community as a consequence of the responsibilities placed upon them. The participatory tools are intended as a starter to an on-going process that should encourage the community into continuous dialogue. This involves the entire community, or as many as are available, and revolves around mapping the current resources in their area of jurisdiction. This should identify gaps in relation to water sector as a first step in enabling participants to identify needs, thereby providing the community with data to apply to local government for help to improve services. The following structure presents the way of establishing WUC's.



As the first step to be taken in order to create the WUCs will be the conduction of a wide information campaign about the importance and planned roles of the WUCs, which will be followed by 24 meetings with the communities from each local administrative unit. UKT in collaboration with the Municipality and supported by the consultant will distribute leaflets and notify on the WUCs and conduct open meetings with citizens and relevant stakeholders on community structures and WUCs importance, given the fact that the concept of community structures is not yet largely adopted and very few implemented, it will be necessary to incentivize their creation.

The consultant will facilitate the first two meetings, one at rural area (former commune) and one in the city; after that will train UKT staff so they can conduct them in the rest of the local administrative units.

UKT along with the municipality and assisted by the consultant will strongly encourage the communities to ensure an equitable representation of all population groups. Committees will be made up of a **limited number of active members** (suggested to be up to 10 persons but there can be fewer) **elected by a general assembly made up of all the users of that juridical area.**

In particular, to be a potential member of these communities people shall:

- have knowledge on water sector, and issues related to its infrastructure (i.e engineer or related profession);
- be representatives for the UKT/Municipality/Municipal Council members, to ensure its sustainability;
- be representative of non-profit organizations in the sector of environment;
- be part of existing community structures if any;
- be or used to be village headman;
- be or used to be local administrators;
- be women and socially vulnerable people.

Promoting gender equity and increasing women's participation is now seen as both a key goal in its own right and a crucial component of projects designed to meet the targets of the Millennium Development Goals. But reality shows that women are often absent from this community structures.



The consultant will conduct consultations and assist the committees two local administrative units in creation (promotion of the nomination of candidates, facilitation of equal and inclusive representation), mobilization and support. Assistance will include: involvement in conducting an information campaign in two local administrative units (one in the city and the other in its rural area) on the importance of the role that the WUC can play in improving transparency and accountability through improved dialogue with UKT and improving the level of services it provides.

After their creation the WUCs, shall be accepted by UKT and the Municipality and will meet monthly to share information and coordinate and consolidate their position on a municipality-wide basis. In addition, the consultant will train UKT representatives on how to conduct information campaigns, so that they can conduct them in the remaining local administrative units.

The Consultant will conduct the first trainings for the WUC on the organization of the work of the WUC and to present its citizens interests to the UKT and train UKT staff for further training. In appropriate cases, additional trainings will be conducted and information materials distributed. Preparation of information and training materials, as well as training on issues such as the mechanism for filing complaints, the level of services, losses, installation of water meters, solving problems of illegal connections and non-payers, full payback rates, households that are not able to pay for water, and other important issues.

In addition, WUCs will be recommended to create a Forum of Water User Committees (“FoWUC”) to share information, coordinate activity on their position consolidation. This forum should conduct meetings every three months. This Forum will also be facilitated by the Consultant.

The Forum will decide who represents the WUCs in the Advisory Committee. The Company will be encouraged to participate in the FoWUC which will expose them to the importance of consumer participation in decision-making and problem-identification in order to have a successful and sustainable water supply system.

7.2.2. Role, responsibilities and activities of Water User Committees

Water supply and further water sanitation are issues on which WUCs will cooperate, especially in terms of supporting UKT to raise awareness on tariffs and payment collection from households – customers.

Based on local conditions, Consultant proposes to create WUCs in Tirana Municipality which will have representatives from all local government units.

WUCs will play an important role in the implementation of Information campaigns. WUCs themselves may serve as a communication channel and mean of Information campaigns, from another side, they are simultaneously targeted audience.

As prevised in the TORs of this project, the main tasks of the WUCs will comprise:

- Gathering concerns and complaints of their area’s private household clients and ensure that they are forwarded to Company and/or the Municipality (e.g. quality of service, affordability of tariffs);
- Representing the clients in the consultation process carried out by the Company and the local authorities on issues related to water provision (e.g. programming of rehabilitation measure, introduction of water meter, tariff changes);
- Assist the Company with the dissemination of information to the clients (e.g. regarding construction works, installation and treatment of meters, water cuts and shortages).

The members of the WUCs will work on a voluntary basis, free of charge and without payment for their work. Therefore, Consultant recommends that UKT and Tirana Municipality consider incentive system for WUCs



members in the form of benefits for payment for water and sanitation services or any other benefits provided by the Municipality to the population.

Women should have adequate representation in these committees. Representation of poor households can be increased by including their representatives per each local administrative unit.

7.2.3. Implementation responsibilities and timeline

The consultant proposes that the WUCs shall be composed of up to ten people. The WUCs shall be headed by the WUCs Chairman. The remaining WUCs members shall be representatives of a given local administrative unit and one representative of the UKT/Municipality. Out of the ten members of the WUCs at least four members shall be female.

While enabling the establishment of the WUCs, it should be taken into consideration:

- Coverage of each household by informing about creation of WUCs through information campaign and open meetings. The consultant will facilitate the first two meetings, one at rural area and one in the city; after that will train UKT staff so they can conduct them in the rest of the local administrative units.
- Discussion with each local administrative unit on WUCs Regulation and selection of WUCs members at meetings of local administrative unit. The consultant will facilitate the process for the first two local administrative units and then will train UKT representatives on how to proceed with the establishment of WUCs the remaining local administrative units.
- Compliance with gender equality when forming WUCs.

The following steps shall be taken in order to facilitate the Water Users Committee

Measure	Activity	Responsible person	Period
Preparation activities	<ul style="list-style-type: none"> • Discussion WUCs concept with the public: local administrative unit, UKT, Municipality; • Drafting of WUCs Regulation • Scheduling local administrative unit meetings 	Jointly - Consultant, UKT/Municipality representatives	Q VI 2019
Organization and establishment of WUCs	<ul style="list-style-type: none"> • Distribution of the leaflet on WUCs Regulations among households in 24 administrative units of Tirana and notification of local administrative unit meetings schedule; • Conduction of meetings on dissemination of project information and election of WUCs members; • Acknowledgement and affirmation of the WUCs from the UKT/Municipality; • WUCs members list and WUCs Regulation shall be published on the website/social media of the UKT/Municipality. 	Consultant – 2 local administrative units UKT/Municipality representatives - 22 local administrative units	Q VI 2019
Training for WUCs members	Providing training on: <ul style="list-style-type: none"> • Goals and objectives of WUCs; • Functions of WUCs members and WUCs operating procedure; • Drafting of WUCs work plan. • Mechanism of submission and consideration of citizens' appeals. 	Consultant – 2 local administrative units UKT/Municipality representatives - 22 local administrative units	Q VI 2019 Q I 2020

In order to be functional, it is suggested that all WUCs shall be linked and work under the UKT and Municipality. An information corner shall be created in the Municipality where project information and a list of WUCs members including contact information will be placed.



WUCs meetings shall be held as required, but it is recommended that these meetings to be held, at least on a monthly basis to share information, coordinate and strengthen their positions in the WUCs city forum. In addition, to exchange information between WUCs, every three months, all WUCs meetings shall be held in the form of WUCs city forum. The results of the forum's meetings shall be recorded and the originals of the protocols WUCs city forum be submitted to the UKT/Municipality so they can be properly reflected, and measures can be taken.

7.2.4. Potential risks to success and proposed mitigation measures

To ensure the sustainability of the process it is crucial the involvement of the maximum of the population in the process of project implementation.

To mitigate any risk concerning the involvement of the citizens a wide information campaign on the importance and planned roles of WUCs shall be conducted, also accompanied by meetings with the communities of each of the 24 local administrative units. In addition, the Consultant will support WUCs with training and provision of methodological materials; and train UKT staff so they can carry on with the training of the WUCs. A training need assessment will be made prior to WUCs training.

UKT will play an important role to familiarize WUCs with the SEP (sections concerning consumers / households and their information needs. The type and content of the information materials will depend to a large extent on the final SEP, as well as on the SPP that cannot be included in the SEP.

7.3. Creating an Advisory Committee

7.3.1. Proposed approach

The Consultant will establish an Advisory Committee in the Municipality, which will meet every three months and which includes all client groups i.e. WUC representatives, local industry and local authorities. The Advisory Committee will discuss any water supply issues that may arise with the Company and the Municipality. To the extent feasible, the Consultant will ensure that both men and women are represented in the Advisory Committee.

Among the key questions that will be discussed will be price setting, infrastructure maintenance, consumer complaints, affordability of tariffs and social hardship caused by tariff reforms.

The WUC representatives will play a key role in ensuring that the views and concerns of all population groups balancing gender, age, class, ethnicity, economic and social vulnerability, and other critical dimensions, are fully represented and taken into account in the consultation process. It is expected that the WUC representatives will play a prominent role in the Advisory Committee since the other stakeholders may have a limited interest or other channels of communication via the Municipality (local authorities). The Consultant will facilitate the first meeting of the Advisory Committee and participate in an observer role.

The Advisory Committee potential members will include all client groups i.e. WUC representatives, local industry and local authorities, up to 10 members, in particular:

- representatives for the UKT: vice director, Department of Collection and Treatment of WW, Department of Planning and Project Development; customer care directory.
- Municipality: representatives of the public service sector;
- Municipal Council members, representatives of public service commission.
- Representatives of WUCs.

Among the members, an AC Chairman will be appointed.



7.3.2. Role, responsibilities and activities of the Advisory Committee

The Consultant will assist in the establishment of an AC consisting of representatives of all major stakeholders in order to ensure the participation of stakeholders and transparency in decision-making process during project implementation, as well as to promote the sustainability of the dialogue between customers and the UKT. The Consultant suggest to prepare a regulation to acknowledge the AC operation by UKT and the Municipality. AC role will be linked with the project implementation and will act as a connection between UKT, the Municipality and the public; to coordinate these interactions, as well as discuss any water supply and sanitation problems that may arise in the city.

The main issues to be discussed at the AC meetings will regard to the **price setting, infrastructure maintenance, consumer complaints, affordability of tariffs and social hardship caused by tariff reforms.**

Representatives of WUCs will play a key role in ensuring that the views and interests of all population groups (i.e women and vulnerable groups) are fully represented and taken into account during the meetings.

UKT and the Municipality should discuss and come to a common ground about the role and responsibility of the AC.

Advisory Committees operation will be based and organized in the form of meetings, which will take place every three months. The consultant proposes the necessity to organize meetings based on a participation of 2/3 of the list of AC members. AC meetings will be opened to the representatives of the mass media, business structures, educational institutions, NGOs, etc. will be invited to the meetings.

The Advisory Committees sessions shall be held by the AC Chairman and an AC Secretary will be elected, who will record all meetings and manage record keeping of the AC.

Since the performance of Advisory Committees members will be public (without payment), it is suggested that that the Municipality and the UKT consider the incentive system for the Chairman and the Secretary in the form of benefits for payment for water and sanitation services or any other benefits provided by the Municipality to the population.

7.3.3. Implementation responsibilities and timeline

The Consultant will facilitate the meetings of the Advisory Committee and participate in an observer role and may assist UKT and the Municipality in the following:

- Preparation of the place and time of meetings and coordination assistance with the list of attendance;
- Ensuring the awareness of all participants about the time and place of the meeting, UKT shall publish the notification on its website, or social media;
- Organization of provision of premises and necessary equipment for the meeting;
- Approval of the agenda and handouts for the meeting;
- Preparation of handouts based on relevant materials and making copies of the presentation slides;
- Participation in meetings.

AC meetings should be organized in advance and each meeting should have a certain theme, and accordingly, be provided with the necessary materials. The agenda of the meeting should be published in the UKT website.

AC constitution and the first meetings can be organized but not be limited to the following recommendations, which can be revised later:



AC meetings	Proposed tasks	Materials	Period
Constitution and the first AC meeting	<ul style="list-style-type: none"> Constitution and explanation of the role, tasks and functions of the AC, membership in the AC, forms and methods of AC work. Provision of information on EBRD investments covering objectives and scope, loan and grant terms, preparation for implementation, procurement rules and standards, environmental action plan, and technical assistance projects (EBRD). Explanation of the objectives of the SEP/SPP. 	AC Regulations and its composition to be prepared in advance. Presentation of the Project SPP. Leaflet/brochure covering the Project objectives, their achievements and the terms of the EBRD loan and grant.	Q IV 2019 Q I 2020
Second AC meeting	<p>The tasks of the second meeting may include:</p> <ul style="list-style-type: none"> Presentation of the financial position of the UKT using a brief overview of the recent audit of the company's financial indicators and future plans; Discussion of issues on sustainable profitability and loan repayment performance (UKT). Presentation of the proposed tariff plan and discussion on affordability issues (UKT); Progress Report on rehabilitation works (UKT). 	UKT financial reports, strategy plans	Q II / Q III 2020
Third and further AC meetings	<p>The tasks of the further AC meetings may include:</p> <ul style="list-style-type: none"> Implementation of the Information Campaign; Monitoring and evaluation of the Information Campaign implementation (UKT/Consultant). Financial and Operational Activities of the Company (UKT). Citizens' grievance submission and consideration mechanism. 	Progress reports on the Information Campaign; Financial indicators and plans	Q III / Q IV 2019

The AC can also organize Public Consultations to share information on the Project. The main objective of the Public Consultation is to provide an opportunity for stakeholders to discuss and ask questions regarding the issues of water supply and sanitation that are vital for the population.

Public consultations should necessarily include representatives of the Municipality, UKT, WUCs, community leaders and NGOs, representatives of general education and other educational institutions, city government authorities and institutions and other interest groups as provided in the stakeholder analyse.

The following issues are suggested and may be consulted during the Public Consultations:

- Level of water supply and sanitation services delivered;
- Agreement on utilities provision;
- Needs and problems of consumers;
- Performed rehabilitation works;
- Possible intervention in the process of water supply and sanitation during rehabilitation;
- Issues of water resources protection, water saving, as well as health and hygiene;
- Tariffs, tariff collection level, instrument metering.

The AC shall undertake the main role in overseeing the development and implementation of the Information Campaign Plan. The information campaign will be formed and prepared to enhance public interest in issues related to water costs, the role of the community, water conservation, and good hygienic conditions.

7.3.4. Potential risks to success and proposed mitigation measures

To mitigate any potential risk related to the establishment and operation of the AC the Consultant will facilitate the meetings of the Advisory Committee and participate in an observer role.



7.4. Improvement of public interaction mechanisms

7.4.1. Proposed approach

Having a grievance mechanism is an EBRD requirement for UKT and a voluntary activity for the complainant. Like all good grievance mechanisms, this one permits anonymous complaints, respects the confidentiality of the role players involved, and protects both the complainant and the company from retaliation. The public grievance mechanism is based on the principles of being legitimate, accessible, predictable, equitable, transparent, rights compatible, continuous learning, and dialogue based. The grievance mechanism can present lessons learned and identify ways for continuous improvement.

The grievance submission and consideration mechanism provides a proactive approach, where UKT will take measures to reduce the negative impact and keep communication with the public and staff.

Anyone will be able to submit a grievance to the Project if they believe a practice is having a detrimental impact on the community, the environment, or their quality of life. They may also submit comments and suggestions. Any type of issue can be raised. The sections below consider confidentiality and anonymity and the Project's grievance resolution process.

A well-functioning grievance mechanism:

- Provides a predictable, transparent, and credible process to all parties, resulting in outcomes that are seen as fair, effective, and lasting;
- Builds trust as an integral component of broader community relations activities;
- Enables more systematic identification of emerging issues and trends, facilitating corrective action and pre-emptive engagement.

7.4.2. Grievance mechanism proposal

The grievance mechanism should offer a variety of approaches, not just a single grievance procedure. The complainant should have influence over which approach to select.

Identify a central point for coordination. A well-publicized and consistently staffed position, held by an individual or team, should be maintained. This central coordinator facilitates the development and implementation of the grievance mechanism, administers some of its resources, monitors internal and external good practice, ensures coordination among access points, and makes certain that the system is responsive to the information it manages.

Maintain and publicize multiple access points. Expanding access beyond those individuals who have the primary responsibility to receive grievances can significantly reduce barriers to entering the system and encourage community members to address problems early and constructively. Individuals serving as access points are most effective if they are trustworthy, trained, knowledgeable, and approachable regardless of ethnicity, gender, or religion of the complainant.

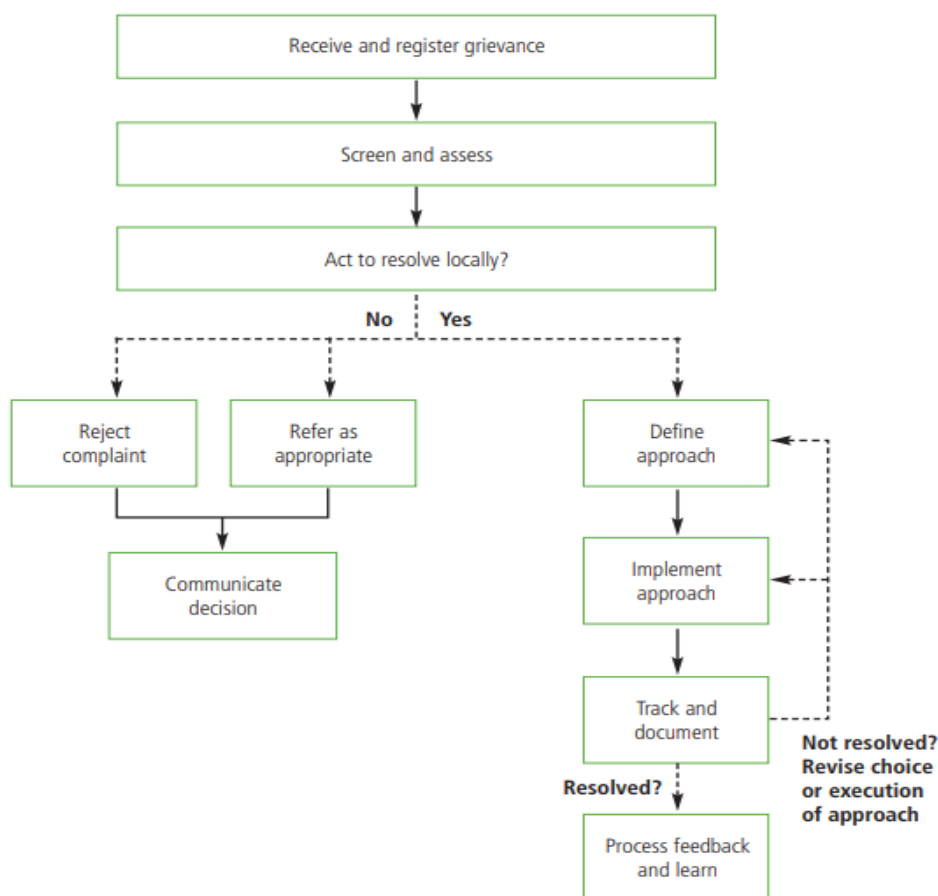
Report back to the community. The company should provide regular feedback to relevant stakeholders to clarify expectations about what the mechanism does and does not do; to encourage people to use the mechanism; to present results; and to gather feedback to improve the grievance system. Information reported back might include types of cases and how they were resolved, and the way the grievance has influenced company policies, procedures, operations, and the grievance mechanism itself.

Use a grievance log to monitor cases and improve the company. In addition to resolving individual or community disputes, the grievance mechanism is an opportunity to promote improvements in the company. A



grievance log (or register) can be used to analyze information about grievance and conflict trends, community issues, and project operations to anticipate the kinds of conflicts they might expect in the future, both to ensure that the grievance mechanism is set up to handle such issues and to propose organizational or operational changes. Sometimes, enacting policies or other structural changes can resolve into grievances around a common issue, rather than continuing to settle individual complaints on a case-by-case basis.

Evaluate and improve the system. The company should periodically conduct an internal assessment of the grievance mechanism to evaluate and improve its effectiveness. Important elements of evaluation include: a general awareness of the mechanism; whether it is used and by whom; the types of issues addressed; the ability of the mechanism to resolve conflicts early and constructively; the actual outcomes (impacts on project operations, management systems, and benefits for communities); its efficiency; and, most fundamentally, the ability to accomplish its stated purpose and goals. At certain times, the company should also solicit and include the views of stakeholder representatives to see how the mechanism is proving effective in practice.



The main steps for handling grievances are: receive, categorise, acknowledge, investigate, respond, allow for recourse/appeal and follow-up, and close out. Grievances will be recorded in a formal logging system for which the customer care directory will be responsible. The grievance log will be separate from a stakeholder log which details interactions with communities and stakeholders. People may register grievances using the form below, by contacting the customer care directory, in person at the UKT shops, or online using UKT's website.



Grievance Registration Form

Grievance Registration Form	
Registration number:	
<p><i>Please indicate your contact information and state the essence of the complaint or other event that causing the appeal. The information provided will be used in confidence. If you want to file a complaint anonymously, write a comment / complaint in the appropriate field without providing contact information - your comments / complaint will be considered in any case. Please, note that clarifications and back letters to anonymous appeals are not provided.</i></p>	
Last, first, middle names:	
Please indicate your contact information: Please indicate the preferred method of communication for you (postal service, phone, e-mail):	Postal address: _____ Phone: _____ E-mail: _____
Preferred language of communication	<input type="checkbox"/> Albania <input type="checkbox"/> English <input type="checkbox"/> Other (please indicate):
Description of the complaint or other event causing the appeal: (What had happened? Where did this happen? Who did this happen to? What did this lead to?):	
Date of complaint/event	
	<input type="checkbox"/> one-time event (date _____) <input type="checkbox"/> repeated event (how many times? _____) <input type="checkbox"/> lasting problem (exists at the moment)
How would you like to solve the problem?	
<i>Confidential for internal use</i> The application is accepted: _____ (signature) Date: _____	

Contact details for the customer care directory will be included in appropriate project communication materials such as the non-technical summaries and also in the UKT's webpage.



Contact details of the head of the customer care directory

Information	Contact details of the customer care directory
Name	
Position	
Organization	
Address	
Phone/Fax	
E-mail	

The grievances will be classified as following:

Classification	Risk Level (to health, safety or environment)	Response
Low	No risk or low	The grievance may not be related to Project performance, it may be a comment, or a request. The customer care directory will acknowledge complaints within 7 days and conduct an investigation if required. The customer care directory will document findings and provide a response within 30 days of receiving. Response is likely to have minimal cost in addition to time spent on addressing the issue
Medium	Possible risk and likely a one-off event	The customer care directory will acknowledge complaints within 7 days. An appropriate investigation team will conduct an investigation. The Site Manager or Occupational Health and Safety Manager may decide to stop work during the investigation to allow the corrective preventive actions to be determined. The customer care directory will provide a response within 30 days of receiving the complaint. The corrective action is likely to be straight forward involving changing a piece of equipment or procedure which does not take long or have substantial cost implications to implement.
High	Probable risk and could recur	The customer care directory will acknowledge the complaint within 7 days and will get the Project Manager to organise a major investigation team for prompt investigation and resolution. Work may be stopped in the affected area. The customer care directory will provide a response within 30 days of receiving the complaint. If more time is needed to complete the investigation this will be communicated to complainant within 30 days of receiving the complaint. As necessary the response will include a press release. The corrective action may be complex or sensitive involving changing equipment or a procedure which requires training of staff and has substantial cost implications.

Where investigations are required Project staff and outside authorities as appropriate will assist with the process. The customer care directory will collaborate with the UKT or the main contractor's management, to identify an appropriate investigation team with the correct skills to review the issue raised. The investigation will also aim to identify whether the incident leading to the grievance is a singular occurrence or likely to recur. Identifying and implementing activities, procedures, equipment and training to address and prevent reoccurrence will be part of the investigation activities

The customer care representatives will explain to the complainant in writing (or where literacy is an issue orally) the grievance review process, the investigation results, any changes to activities that will be undertaken to address the grievance, and how the issue is being managed to meet appropriate environmental and social management systems. In some cases, it will be appropriate for the customer care representatives to follow up at a later date to see if the person or organisation is satisfied with the resolution or remedial actions. The grievance will be closed out in the register as:



Resolved - the resolution has been communicated, agreed and/or implemented.

- Unresolved - the complainant did not accept the proposed resolution and has appealed to other entities for resolution.
- Abandoned - the complainant is no longer contactable and efforts to trace whereabouts have been unsuccessful.

The customer care directory representatives will summarise grievances weekly or monthly during construction and bi-annually during operation removing identification information to protect the confidentiality of the complainant and guaranteeing anonymity. The procedure will be at no cost and without retribution to the complainant and stakeholders.

The Project will aim to protect a person's confidentiality and will guarantee anonymity in annual reporting. Individuals will be asked permission to disclose their identity. Investigations will be undertaken in a manner that is respectful of the complainant and the principle of confidentiality. The complainant will need to recognise that there may be situations when disclosure of identity is required and the Project will identify these situations to see whether the aggrieved party wishes to continue with the investigation and resolution activities

8. Prerequisites to the successful SPP implementation

To ensure the implementation of the SPP a set of principles defining core values underpinning interactions with stakeholders will be taken into consideration. These common principles are based on International Best Practice and include the following:

- Commitment is demonstrated when the need to understand, engage and identify the community is recognised and acted upon early in the process;
- Integrity occurs when engagement is conducted in a manner that fosters mutual respect and trust;
- Respect is created when the rights, cultural beliefs, values and interests of stakeholders and affected communities are recognised;
- Transparency is demonstrated when community concerns are responded to in a timely, open and effective manner;
- Inclusiveness is achieved when broad participation is encouraged and supported by appropriate participation opportunities; and
- Trust is achieved through open and meaningful dialogue that respects and upholds a community's beliefs, values and opinions.

To ensure the sustainability of the dialogue after the completion of the Consultant's competences, the latter has to solve tasks of identifying and training stakeholders. The Consultant via consultations and training together with stakeholders will form of work in such a way where the role of the Consultant will be reduced to the role of observer.

The Consultant will pay much attention to the analysis of UKT consumers' database and aligning it with the actual number of consumers. Relations between the UKT and consumers will be built on a contractual basis.

By the end of the Project and based on the Information Campaign, certain activities of the Educational Campaign should become part of the functional responsibilities/action plans of concerned parties.



9. Conclusion and next steps

The following information needs have been identified to date (the relevant resources and documentation will be provided by the Bank to the Consultant):

- The purpose of the UKT Tirana Project.
- The environmental, technical and economic need for conservation and rational water use: explanation of the importance of rational and efficient water use and water conservation.
- Cost recovery: an explanation of how water tariffs are linked to quality of service and how they are used to promote conservation and an explanation of the real cost of water service.
- Health aspects: examples of good and bad hygienic practices and increase local understanding of the dangers of water borne diseases.
- Participatory mechanisms: explanation of how each water user has individual responsibility for sustainable and equitable access to water for everyone and water saving in general, and provide water users with the opportunity to engage meaningfully with the Company regarding their needs and concerns.

Before starting the information campaign, the Consultant shall in consultation with the WUCs, local NGOs and any other stakeholders deemed necessary, verify and, if necessary, complement this list.

The information campaign is suggested to be conducted via various media channels. Several communication means are proposed for each topic and target audience. Awareness raising campaigns and schedules have considered the needs of all identified stakeholders. A method to measure the impact and success of the awareness has been set as part of this campaign. Based on the intermediate results, the campaign shall be adjusted if necessary.

WUCs will be set up at the level of local administrative units. Regulation for the organization and operation of the WUCs will be further prepared and discussed with UKT and the Municipality. The Consultant will assist local administrative units to create and mobilise the WUCs. An information campaign about the importance and planned roles of the WUCs will be followed by meetings with the communities from each unit. It is proposed that this WUCs shall be at a limited number of members of up to 10 persons. The Consultant will assist the WUCs with training and provision of material; the training needs will be gender-sensitive and designed and delivered in a way that reaches both male and female users/WUCs members. WUCs will meet monthly to share information and coordinate and consolidate their position on a municipality-wide basis in a Forum of Water User Committees. The Forum will decide who represents the WUCs in the Advisory Committee.

The Consultant has proposed a list of potential members in order to establish an Advisory Committee in the Municipality, which will meet every three months; the Consultant will ensure that both men and women are represented in the Advisory Committee. Regulation for the organization and operation of the AC will be further prepared and discussed with UKT and the Municipality.

The Consultant will facilitate the first meeting of the Advisory Committee and participate in an observer role.

The Consultant has proposed a grievance mechanism, including registering, processing and communicating back grievances, which will be discussed with the Company and later on established and managed.