

# ADB

**DRAFT**

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## **Guidelines on Monitoring & Evaluation Of Resettlement**

*ADB welcomes comments on the Draft Guidelines on Monitoring and Evaluation of Resettlement, and these comments may be posted on the web site. While ADB cannot respond to comments individually, comments will be given serious consideration in finalizing this publication. ADB reserves the right to use the comments, as appropriate. ADB may publish a list of contributors who have provided comments.*

**Asian Development Bank**

**ABBREVIATIONS**

ADB	Asian Development Bank
AP	Affected Persons
CPR	Common Property Resources
EA/IA	Executing Agency/Implementing Agency
IGP	Income Generation Program
IOL	Inventory of loss
LFA	Logical Framework Analysis
M & E	Monitoring and Evaluation
MIS	Management Information Systems
NGO	Non-Governmental Organisation
PHC	Primary Health Centre
R&R	Resettlement & Rehabilitation
RP	Resettlement Plan
TOR	Terms of Reference

## **GLOSSARY**

Affected Persons	People (household) affected by project related changes in use of land, water or other natural resources.
Involuntary Resettlement	Development project results in unavoidable losses and sometimes, people affected have no option but to relocate rebuild their lives, incomes and asset bases elsewhere
Relocation	Rebuilding housing assets, including productive land and public infrastructure in another location
Rehabilitation	Re-establishing incomes, livelihoods, living and social systems
Resettlement Plan	A time-bound action plan with budget setting out resettlement strategy, objectives, entitlements, actions, responsibilities, monitoring and evaluation
Monitoring	Process of regularly measuring progress in effectively completing resettlement activities and in achieving the goals and objectives of the resettlement plan.
Evaluation	Assessment at one given point of time of the impact of intervention be it positive or negative and the extent to which stated objectives has been achieved.
Vulnerable groups	Distinct groups of people who might suffer disproportionately from project activities that result in land acquisition and resettlement.
Compensation	Money or payment in kind to which the people affected are entitled in order to replace the lost asset, resources or income caused by a project.
Income restoration	Re-establishing income sources and livelihoods of affected people

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# Section I

## **Monitoring & Evaluation Of Resettlement**

## 1.1

## Introduction

Bank-funded projects that change patterns of use of land, water, and other natural resources can cause a range of resettlement effects. Resettlement losses arise because of land acquisition, through expropriation and the use of eminent domain or other regulatory measures to obtain land.

To ensure that some people are not disadvantaged in the process of development, the Bank tries to avoid or minimize resettlement effects. If resettlement is unavoidable, the Bank helps restore the quality of life and livelihoods of those affected. There may also be opportunities to improve the quality of life, particularly for vulnerable groups. (Handbook on Resettlement, A Guide to Good Practice, Asian Development Bank).

In 1995, the Asian Development Bank (ADB) formally adopted a policy on involuntary resettlement. Based on this policy, all projects that may cause resettlement are required to prepare resettlement plans. The successes of these plans, in terms of attaining resettlement outcomes, are governed by certain critical factors. These factors are, timely identification of the problems and constraints in implementation, reasons for the same and timely correction; in other words, good management and supervision is essential.

Effective Monitoring & Evaluation (M&E) can help accomplish this task and facilitate appropriate corrective measures during resettlement implementation based on the information obtained through routine collection of data. ADB requires each resettlement to discuss arrangements for monitoring the implementation of resettlement.

The executing/implementing agency (EA/IA) needs to monitor resettlement plans to ensure it is meeting the objectives of resettlement and ensure activities are on target, timely and adequately financed. ADB requires external monitors to provide an objective assessment of progress made and recommend appropriate corrective measures.

An M&E system needs to be designed to meet specific needs of key stakeholders. It is primarily required to make day-to-day decisions about work program, monitor key activities related to resettlement and provide systematic information. Monitoring systems need to be simple, pragmatic, cost effective and user friendly. Use of computer technology is necessary to ensure monitoring systems are effective, efficient and cost effective. The success of the monitoring system is dependent upon the extent to which an IA uses information to improve implementation.

An effective M&E system should be 2 tier. The first level is internal and is handled by the EA or implementing agency and requires an appropriate management and supervision system. The second tier should be external monitoring by an independent agency. The external agency can be a non-government organisation (NGO) or a research and academic institution having the skills in social analysis and monitoring and evaluation. The external agency conducts independent monitoring and evaluation to review and verify progress, highlight delays in meeting targets and recommend corrective measures.

In general, the scope of M&E should include five main areas -(i) input monitoring (budget and expenditure tracking); (ii) timely monitoring of implementation processes (iii) measurement of success in meeting the objectives (iv) measures to ensure stakeholders participation and (v) steps to enhance the use of available data for analytical purposes and policy development.

This monitoring and evaluation guidebook has been developed to assist the IA and external monitors or the purpose of monitoring and evaluation of the implementation of resettlement plans (RP). The handbook will provide a framework to:

- Strengthen the means of measuring the ongoing results of resettlement activities and the progress made in completion of project activities
- Promote participation of project teams, partners, NGOs and affected persons in the monitoring process
- Enhance the quality and timeliness of monitoring, reporting and follow up

The guidelines are prepared to assist users to prepare a monitoring system that is simple, user friendly, pragmatic and result oriented. This document will help the executing agency and the external monitors to develop their own monitoring and evaluation plan and mechanism to monitor the implementation of the resettlement plan and to assess the impact of the same on the lives of affected persons.

## 1.2

## Involuntary Resettlement

Resettlement effects have a high risk of impoverishment. Loss of land and other assets may have a lasting impact on livelihood and family well-being.

In 1995, the Asian Development Bank (ADB) formally adopted a policy on involuntary resettlement. Broadly, the objectives and principles of the policy are summarised as follows:

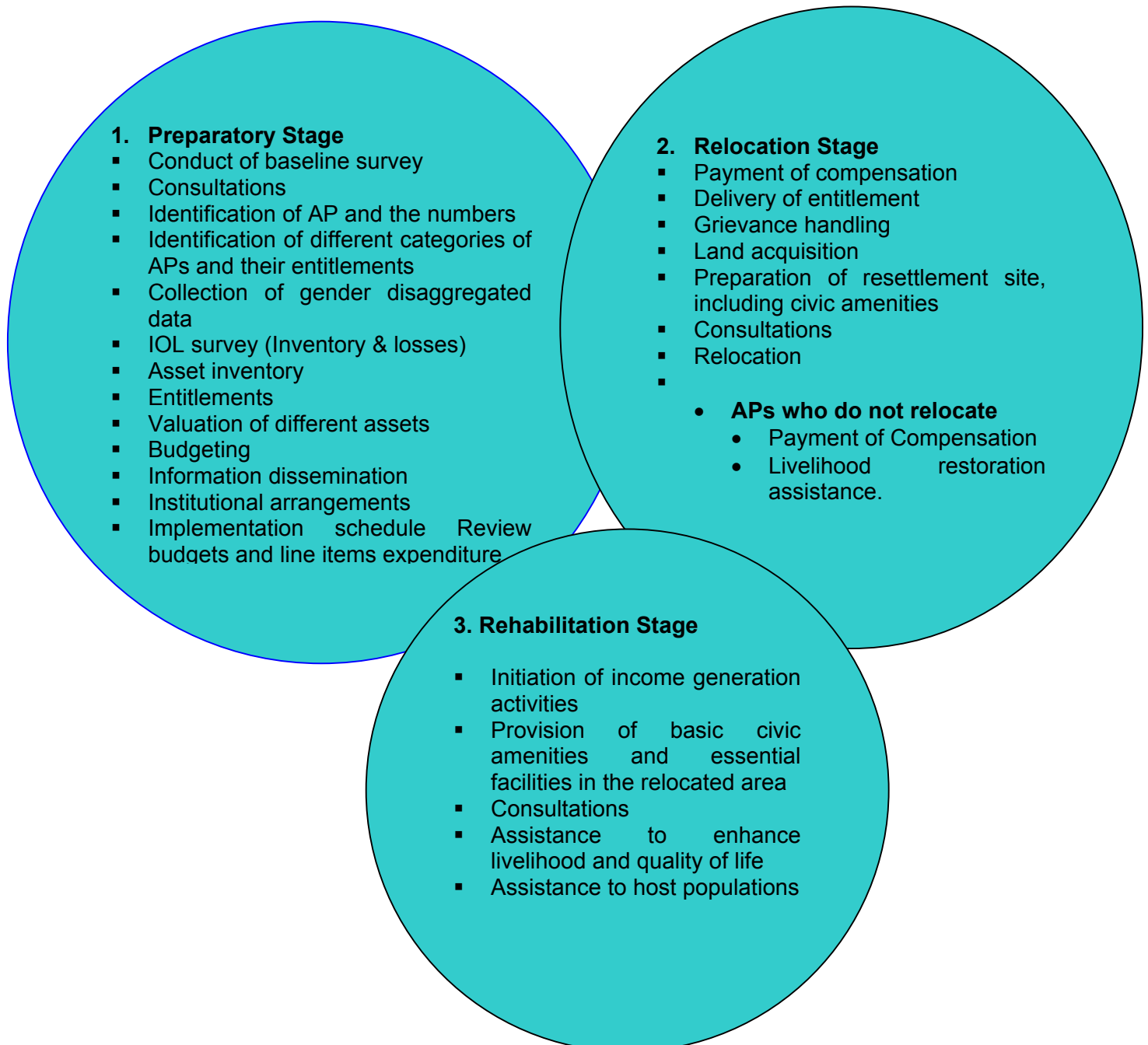
- Involuntary resettlement should be avoided where feasible
- Where population displacement is unavoidable, it should be minimised by exploring all viable project options
- People unavoidably displaced should be compensated and assisted, so that their economic and social future would be generally as favourable as it would have been in absence of the project
- People affected should be fully informed and consulted on resettlement and compensation options
- Existing social and cultural institutions of resettlers and their host should be supported and used to the greatest extent possible, and the resettler should be integrated economically and socially into the host community.
- The absence of formal legal title to the land by some affected groups should not be a bar to compensation. Particular attention should be paid to households headed by women and other vulnerable groups such as indigenous people and ethnic minorities and appropriate assistance to be provided to help them to improve their status.
- As far as possible, involuntary resettlement should be conceived and executed as a part of the project.
- The full cost of the resettlement and compensation should be included in the presentation of project cost and benefits.
- Cost of resettlement and compensation may be considered for inclusion in Bank loan financing for the project.

Even the best resettlement plans formulated on the above policy may face several problems during implementation and may not move in the desired direction. Timely identification of the changes and timely corrections may prove to be critical factors for achieving the desired resettlement outcomes. Effective management and supervision can help accomplish this task.

Routine collection of data and analysis provides the basis by which to determine whether the project is moving in the desired direction. This data facilitates internal reviews and becomes the basis for timely decision making to improve a project's overall performance. Monitoring, thus, becomes a tool not to find faults or carry out inspections but a mechanism to obtain information for making appropriate and timely changes in the project.

Each project needs to develop a monitoring plan that covers all essential aspects of resettlement. The various stages of resettlement, which should be covered in the monitoring plan, are as follows:

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## **Risks and Opportunities in Involuntary Resettlement:**

Current research endeavours have not merely refined existing knowledge about impoverishment resulting from development projects, but are also motivated by a concern to see that those forced to relocate are not marginalized, as has often happened in the past. If the process of marginalisation is detected in time, appropriate corrective measures can be taken.

The risk model examines risks to be avoided if people affected by projects are not to be impoverished. This risk and reconstruction model is not only a cognitive tool, but has operational value as well.

Cernea (2000), discusses eight risks:

**Landlessness:** Expropriation of land removes the main foundation upon which peoples' productive systems, commercial activities and livelihoods are constructed.

**Joblessness:** Loss of employment and wages occurs more in urban areas, but it also affects rural people, depriving landless labourers, service workers, artisans, and small business owners of their sources of income. Unemployment and underemployment resulting from resettlement tends to linger long after physical relocation.

**Homelessness:** Loss of housing and shelter is temporary for the majority of the displaced, but threatens to become chronic for the most vulnerable. Considered in a broader cultural sense, homelessness is also placenessness and loss of a group's cultural space and identity.

**Marginalisation:** Marginalisation occurs when families lose economic power and spiral downward. It sets in when new investments in the area are prohibited, long before the actual physical displacement. Middle-income farm households become small landholders; small shopkeepers and craftsmen are downsized and slip below poverty thresholds. Economic marginalisation is often accompanied by social and psychological marginalisation and manifests itself in a downward mobility in social status, oustees' loss of confidence in society and in themselves, a feeling of injustice and increased vulnerability.

**Food Insecurity:** Forced displacement increases the risk that people will undergo chronic food insecurity, defined as calorie-protein intake levels below the minimum necessary for normal growth and work. Sudden drops in food crops availability and income are endemic to physical relocation and hunger lingers as a long-term effect.

**Increased Morbidity and Mortality:** The health of affected persons tends to deteriorate rapidly due to the outbreak of relocated-related parasitic and vector borne diseases (malaria, schistosomiasis), malnutrition, increased stress and psychological traumas. Unsafe water supply and waste disposal tend to proliferate infectious diseases, and morbidity decreases capacity and incomes. This risk is highest for the weakest population segments - infants, children, and the elderly.

**Loss of Access to Common Property:** Loss of access to commonly owned assets (forestlands, water bodies, grazing lands, and so on) – are often overlooked and uncompensated for in schemes. This is another major cause of income deterioration for oustees, particularly for the asset less.

***Social Disarticulation:*** Community dispersal means dismantling of structures of social organisation and loss of mutual help networks. Although this loss of social capital is harder to quantify, it impoverishes and disempowers affected persons.

Where projects involve large-scale population displacement, there is a need to prepare a full resettlement plan (RP). A variety of impoverishment risks confront the people affected by development projects and the purpose of resettlement planning is to devise risk mitigation measures for each of those risks. Essentially, resettlement plans are built around a development strategy and package aimed at improving or at least restoring the economic base for those relocated so that impoverishment risks could be averted. Risks vary with the scale and type of impact. To effectively monitor mitigation measures, the risks must be clearly identified in the planning strategy.

If resettlement plans are properly implemented and monitored, opportunities may be created to bring development closer to vulnerable groups.

1.3

## Monitoring & Evaluation: Definition, Need, Scope & Relevance



### What is Monitoring?

Monitoring is the continuous process of assessment of project implementation, in relation to agreed schedules, the use of inputs, infrastructure and services by the project.

Monitoring provides all stakeholders with continuous feedback on implementation. It identifies actual or potential successes and problems as early as possible to facilitate timely correction during project operation. Hence monitoring is a surveillance system. This system provides systematic and continuous collection and analysis of information on the progress of the project. It is a tool to identify strengths and weaknesses and to enable timely decisions for corrections.

### ☞ Purpose of Monitoring

Monitoring essentially has two purposes:

- To verify that project activities are being effectively implemented (including quantity, quality, and timeliness).
- To assess whether and how well these activities are achieving the stated goal and purpose of the project.

Monitoring, therefore determines whether the project activity undertaken has been completed and the results obtained are as planned, both in terms of quality and quantity and within a given budget and time frame. For example, completion of baseline survey gives the complete socio economic profile of APs with gender disaggregated data and details of losses.

Monitoring provides information on the extent to which specific project objectives, and expected results have been achieved (E.g. To reach out to all APs through consultations with specific focus on vulnerable groups, to what extent APs are informed and aware about project related information).

Reasons for achieving or not achieving expected results (E.g. Dispute on compensation paid to AP because there was no proper data of losses and no records of proper payments).

### ☞ **Monitoring: Who Needs it & for What**

Monitoring and Evaluation is required and relevant for all stakeholders involved in the project. Each of the stakeholders has different needs and objective to address through their monitoring system.

#### **Monitoring needs by EA – day to day decision making**

- To provide an ongoing picture of progress
- To maintain expected standard in terms of quality, effectiveness and efficiency of project work
- To make sure resources are used effectively
- To develop work plans
- To identify problems and find solutions at an early stage
- To identify new emerging opportunities
- To maintain records of events.
- To help staff feel their work has a definite purpose.
- To review adequacy of budget allocations
- To ensure institutional capacity
- To ensure timely implementation
- To track progress towards achieving stated objectives

#### **Monitoring needs for Community-accountability & transparency**

- Information to show how their problems, as they perceive them, are being addressed
- To know what is happening to them and what is likely to happen to them in the future
- To show that the project is working in the most effective manner
- Information to show that resources are being optimally used.
- To enable APs to comment about the quality of work

#### **Monitoring by financiers / project proponents achieving results**

- To demonstrate good management of resources
- To show that the work is as effective as possible in terms of achieving stated objectives.
- To show what impact the work has had on different groups
- To show how problems have been addressed.
- To determine sustainability of results
- To show what lessons have been learnt

**☛ Scope of Monitoring: Internal & External*****Internal Monitoring***

During project preparation, and as part of the RP, the implementing agency is to develop a monitoring and reporting formats for resettlement activities. Central to these formats are the census of APs and the inventory of assets that constitute the basis for the agreed RAP. The organisational unit responsible for reporting on resettlement (project resettlement unit, where it exists) oversees the progress in resettlement preparation and implementation through regular progress reports submitted to management.

This overall monitoring and reporting framework should provide a routine flow of information from the field level to the headquarters of the implementing agency, based on predefined indicators, combined with periodic supervision and verification by the resettlement unit or the agents in charge of resettlement operations.

***External Monitoring***

In addition to internal monitoring, external (or independent) monitoring is normally required to provide an independent periodic assessment of resettlement implementation and impacts, to verify internal monitoring and to suggest adjustment of delivery mechanisms and procedures as required. A social and economic assessment of resettlement, measurement of the income and standards of living of the APs before and after resettlement are integral components of this monitoring activity. To function effectively, the organisation responsible for external monitoring should be independent of the government agencies involved in resettlement implementation.

Regular external monitoring should begin along with implementation activities and continue until the end of the project. Sample socio-economic surveys should be conducted before beginning resettlement (baseline survey), repeated one year and three years after resettlement is completed, to assess the effectiveness of remedial measures.



## **What is Evaluation?**

Evaluation is a systematic analysis by project management and other agencies involved to redefine policies and objectives and to reorganise institutional arrangements as necessary. Data collected while monitoring provides the basis for evaluation and assesses the effects of the project on or for the intended beneficiaries.

Evaluation can be defined as an assessment at a given point of time of the impact of intervention be it positive or negative and the extent to which stated objectives have been achieved.

The key focus of the evaluation is the impact of results. If monitoring as a process looks into immediate achievement of results and outcomes, evaluation extends its scope to look into impact of the achieved objective and results.

The findings of the evaluation help in focusing on the lessons learnt and experiences drawn to formulate policy or guidelines. Evaluations also contribute to a broader strategy by looking at the past and the present situation and identifying strategic issues in a particular sector. Evaluations open up the opportunity to identify links between similar works in different countries and to see how they might benefit from each other's experiences.

### *☞ When is Evaluation Necessary?*

An evaluation may be carried out at different times during the project period. The timing will depend on the purpose, audience and use of the evaluations. An evaluation of certain activities may be needed for the following, which forms the scope of evaluation:

- To clarify its objectives and assess their relevance
- To assess the effectiveness of the work being undertaken
- To ascertain impacts of the project
- Assess if the situation of the target population has changed due to external factors such as political or other such influences
- Who has benefited from the project and how have the benefits of the work been distributed to different groups.
- To assess whether the impact, positive or negative is due inputs or other factors
- Whether the aims and objectives are still relevant
- Whether there is a better way of achieving the objectives
- Whether the cost of work is reasonable
- Whether resources are used as effectively as possible
- Whether the work is sustainable and the factors that will affect its sustainability

☞ ***Difference Between Monitoring and Evaluation***

The following table highlights the difference between the two:

<b><i>Monitoring</i></b>	<b><i>Evaluation</i></b>
<b><i>A surveillance system, which provides regular feedback on program implementation.</i></b>	<b><i>Evaluation involves assessment /analysis of outcome and impact of the project.</i></b>
<b><i>An ongoing activity e.g. daily, weekly and monthly</i></b>	<b><i>After specified intervals, e.g. midterm or at the end of a project.</i></b>
<b><i>Only during project implementation</i></b>	<b><i>During and after the implementation</i></b>
<b><i>Assists in keeping an eye on each step of the project.</i></b>	<b><i>Assists in adjustments on objectives, methodology - policy level.</i></b>

## 1.4

## Monitoring & Evaluation Indicators

Each project needs to develop M&E indicators to suit its particular circumstance. These indicators must cover all major activities that are essential to the task of resettlement management from the project identification stage to the project completion stage.

However if the minimum M&E framework has to be established then it may be as follows:

### *Minimum Monitoring Framework*

<i>Loss of access to Basic social Services</i>	➔	<i>Re-establishing access</i>
<i>Landlessness</i>	➔	<i>Compensation, Land-based/non land based Resettlement</i>
<i>Joblessness</i>	➔	<i>Re-employment</i>
<i>Homelessness</i>	➔	<i>House construction</i>
<i>Marginalisation</i>	➔	<i>Social inclusion</i>
<i>Food Insecurity</i>	➔	<i>Adequate nutrition</i>
<i>Increased Morbidity/ Mortality</i>	➔	<i>Improved health care</i>
<i>Loss of Access to Common Property</i>	➔	<i>Restoration of community assets and services</i>
<i>Social Disarticulation</i>	➔	<i>Rebuilding networks</i>
<i>Increase costs</i>	➔	<i>Location specific resettlement</i>
<i>Budget and expenditure</i>	➔	<i>Timely disbursement, expenditure tracking, and replenishment</i>

In addition to the above, typical tasks during resettlement which need to be monitored are as follows:

**Preparatory Stage:** During the pre-relocation phase of resettlement operation, M&E is concerned with administrative issues such as, establishment of resettlement unit, budget, land acquisition, consultation with APs in the preparation of resettlement plan, payments of entitlement due, grievance redress, and so on.

**Relocation Stage:** Monitoring during the relocation phase covers, as site selection in consultation with APs, development of relocation sites, assistance provided to APs in physically moving to the new site (especially to vulnerable groups), adjustment to the new surroundings, attitude of the host population towards the new comers and the development of community life, etc.

**Rehabilitation Stage:** Once APs have settled down at the new sites, the focus of monitoring shifts to economic recovery programmes which include income generating schemes (IGSs) planned, acceptance of these schemes by APs, impact of IGSs on living standards, and the sustainability of the new livelihood patterns.

The most crucial components/indicators to be monitored and evaluated are specific contents of the activities and entitlement matrix. The RP contains indicators and benchmarks for achievement of the objectives under the resettlement programme. These indicators and benchmarks are of three kinds:

- **Process indicators- (MORE TO BE USED FOR MONITORING)** including project inputs, expenditure, staff deployment, etc
- **Output indicators – (FOR EVALUATION)**-indicating results in terms of numbers of affected people compensated and resettled, training held, credit disbursed, etc
- **Impact indicators- (FOR EVALUATION)** related to the longer-term effect of the project on people's lives, such as improved housing, re-establishing livelihoods.

<i>Sequence</i>	<i>Dimensions of the resettlement process</i>	<i>Indicators</i>	<i>Means of verification</i>
<i>Inputs</i>	<i>Establishment</i>	<i>Qualified staff in place</i>	<i>Quarterly internal monitoring reports</i>
	<i>Establishment</i>	<i>Equipment available</i>	<i>Quarterly internal monitoring reports</i>
	<i>Establishment</i>	<i>Finance on deposit</i>	<i>Quarterly internal monitoring reports</i>
<i>Process</i>	<i>Information to APs</i>	<i>Information disseminated</i>	<i>Internal and external monitoring</i>
	<i>Capacity building</i>	<i>Training of APs</i>	<i>Internal and external monitoring</i>
	<i>Consultation and participation</i>	<i>Meetings held and committees formed</i>	<i>Internal and external monitoring</i>
<i>Outputs</i>	<i>Compensation</i>	<i>Compensation paid for acquired assets</i>	<i>Internal and external monitoring</i>
	<i>Acquisition</i>	<i>Assets acquired</i>	<i>Internal and external monitoring</i>
	<i>Compensation</i>	<i>Community assets replace and relocation site prepared</i>	<i>Internal and external monitoring</i>
	<i>Relocation of APs</i>	<i>Relocation completed and grants paid</i>	<i>Internal and external monitoring</i>
	<i>Rehabilitation</i>	<i>Jobs/businesses/income provided</i>	<i>Internal and external monitoring</i>
<i>Impact</i>	<i>Results</i>	<i>Incomes restored</i>	<i>External monitoring</i>
	<i>Results</i>	<i>Living standards restored</i>	<i>External monitoring</i>

The indicators related to process and immediate outputs and results are monitored and evaluated internally. Independent experts usually conduct the M&E of the impact of indicators.

**Key Sample Monitoring & Evaluation Indicators**

<b>Monitoring aspect</b>	<b>Indicators</b>
<b>Delivery of Entitlements</b>	<ul style="list-style-type: none"> <li>• <i>Have all APs received entitlements according to numbers and categories of loss set out in the entitlement matrix?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have APs received payments on time?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have APs losing from temporary land borrow been compensated?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have all APs received the agreed transport costs, relocation costs, income substitution support and any resettlement allowances, according to schedule?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have all replacement land plots, been provided? Was the land developed as specified? Are measures in place to provide land titles to APs?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>How many households have received land titles?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Is restoration proceeding for social infrastructure and services?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Are income and livelihood restoration activities being implemented as set out in the income restoration plan, for example, utilising replacement land, commencement of production, number of APs trained in employment with jobs, micro-credit disbursed, number of income generating activities assisted?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have affected businesses received entitlements including transfer and payments for net losses resulting from lost business?</i></li> </ul>
<b>Consultation, Grievance and Special Issues</b>	<ul style="list-style-type: none"> <li>• <i>Have consultations taken place as scheduled including meetings, groups, and community activities? Have resettlement leaflets been prepared and distributed?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>How many APs know their entitlements? How many know if they have been received?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have any APs used the grievance redress procedures? What were the outcomes?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have conflicts been resolved?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Was the social preparation phase implemented?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Were special measures for indigenous peoples implemented?</i></li> </ul>
<b>Participation</b>	<ul style="list-style-type: none"> <li>• <i>No. of General meetings (for both men and women)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>% of women out of total participants</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of meetings exclusively with women</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of meetings exclusively with vulnerable groups</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of meetings at new sites</i></li> </ul>

	<ul style="list-style-type: none"> <li>• <i>No. Of meetings of hosts and AP.</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Level of participation in meetings (of women, men &amp; vulnerable groups)</i></li> </ul>
<i>Budget and Time Frame</i>	<ul style="list-style-type: none"> <li>• <i>Have all land acquisition and resettlement staff been appointed and mobilised for the field and office work on schedule?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have capacity building and training activities been completed on schedule?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Are resettlement implementation activities being achieved against agreed implementation plan?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Are funds for resettlement being allocated to resettlement agencies on time?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have resettlement offices received the scheduled funds?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Have funds been disbursed according to RP?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Has the social preparation phase taken place as scheduled?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Has all land been acquired and occupied in time for implementation?</i></li> </ul>
<i>Livelihood</i>	<ul style="list-style-type: none"> <li>• <i>No. of APs under the social development programs (women, men and vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of APs who received vocational training (women, men and vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Types of training and number of participants in each</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of APs covered under livelihood programs (women, men and vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of APs who have restored their livelihood patterns (women, men and vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of new employment activities</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Extent of participation in social development programs</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Extent of participation vocational training programs</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Degree of satisfaction with support received for livelihood programs</i></li> </ul>
<i>Income Restoration</i>	<ul style="list-style-type: none"> <li>• <i>No. of APs covered under the Income Generation Program (IGP) program (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>% of APs covered under IGP program (Women, men &amp; vulnerable</i></li> </ul>

	groups)
	<ul style="list-style-type: none"> <li>• <i>% of successful enterprise breaking even (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>% Of AP who have restored their income. (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>% of AP improved their income (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>% of AP improved their standard of living (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of APs buying agricultural land (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>Quantity of land owned by APs (Women, men &amp; vulnerable groups)</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>No. of households with agricultural equipment</i></li> <li>• <i>No. of households with livestock</i></li> </ul>
<i>Benefit Monitoring</i>	<ul style="list-style-type: none"> <li>• <i>What changes have occurred in patterns of occupation, production &amp; resource use compared to the pre-project situation?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>What changes have occurred in income and expenditure patterns compared to pre-project situation? What have been the changes in cost of living compared to pre-project situation? Have APs incomes kept pace with these changes?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>What changes have taken place in key social and cultural parameters relating to living standards?</i></li> </ul>
	<ul style="list-style-type: none"> <li>• <i>What changes have occurred for vulnerable groups?</i></li> </ul>

*Ref: ADB. 1997. Handbook on Resettlement: A Guide to Good Practice. Manila: Asian Development Bank.*

**The above list is indicative and not exhaustive. The EA should develop a relevant list of indicators before initiating an intervention.**

## 1.5

## Monitoring & Evaluation Tools

Any M&E system needs to have appropriate tools to effectively carryout the M&E process. More than one tool can be used to collect information. Some of the tools used for participatory M&E are as follows:

1. Sample survey
2. Focused group discussion
3. Budget & record

### *1. Sample Survey*

Sample Survey is a technique for the collection of data, to be used before, during and after the project to provide a clear comparison of success/failure of the resettlement plan. E.g. If the income of APs before displacement was Rs.24, 000/- per year, and if after resettlement and rehabilitation his/her income is Rs.15, 000/- a year, then it clearly indicates that the IGP initiative has not been effective.

#### *Who should do Sample Survey and When?*

Field level staff are primarily responsible for conducting baseline surveys, the progress and quality of which is to be monitored by the Monitoring unit.

The survey is to be conducted before APs are provided with any compensation or benefits as stated in the RP and after they have received their entitlements.

#### *Tools for conducting survey*

Interview Schedule: Where one to one interaction is conducted with an AP by following an interview schedule/questionnaire

Focused Group discussion (FGD): If interaction has to be with a group of APs with similar characteristics, then the FGD is an effective tool and will help to get the perception and opinion of APs as a group. It helps in covering large number of APs in less time.

#### *Do's & Don'ts of Survey*

- Do not omit women, elderly persons and other vulnerable target groups of the community who are often overlooked.
- Have equal representation of male and female as respondents.
- Certain set questions in the interview schedule should be categorised to be answered by female members of the family only. In fact, it is important to involve children and adolescents as respondents.

- Further, a separate set of questions may be developed for the affected area in order to collect relevant information.

It is crucial that the baseline survey is properly conducted and compiled in a manner that the information is available on each and every selected household and AP. The norms and the golden rules for carrying out a baseline survey are described in *Annexure II*.

<u><b>Key Data to be Collected through the Survey</b></u>	
<u><b>Before Resettlement</b></u>	
▪	<i>Income and expenditure</i>
▪	<i>No. of working members</i>
▪	<i>Land and asset ownership</i>
▪	<i>Type of land</i>
▪	<i>Degree of loss of land</i>
▪	<i>Type of home</i>
▪	<i>Loss of home</i>
▪	<i>Gender aspects: Present socio-economic status of women and how they are going to be affected, their concerns and apprehensions</i>
▪	<i>Landless labourer: Present socio-economic status of women and how they are going to be affected</i>
▪	<i>Elderly persons: Present socio-economic status of women and how they are going to be affected</i>

An important aspect in surveys is the manner in which the sample is drawn. The sampling may be a mix of random and stratified sampling. It is important to obtain information on a cross section of the target group, focusing on a random sample of the cross section of different group population.

## SAMPLING FOR SURVEYS

Sampling becomes a requirement when collecting information about the entire universe is time consuming. A sample if properly drawn can generally provide reliable and valid assessment information.

One of the most commonly used methods of sampling is simple random sampling. In this method, for example, in a universe of 1000 possible respondents, every fifth respondent in a list may be selected to get a sample size of 200.

Another method of sampling is stratified sampling. This method is used to ensure that special groups based on their age or sex, class, geographical location etc. are proportionately represented in the sample. For example, if the number of land less households or female headed households is 20% in the total number of households then 20% of the total sample size must be landless or women.

Some practitioners favour an intentional selection process, named as purposive or desegregated survey where regardless of their percentage in the universe, special groups are selected and interviewed based on their ethnicity, caste, landholding, gender etc. E.g. if we need to monitor the participation and benefit to women from Income generation programs, then the sample size would be only women. The sample may be further classified into age, class and caste.

### 3. *Focused Group Discussions*

Another effective way to interact and collect data from the APs is the focused group discussion (FGD). FGD offers opportunities to reach out to specific groups overcoming cultural and social barriers. E.g. FGD can be organised exclusively with APs from indigenous groups at a time and place convenient to them.

FGDs can also be used to obtain qualitative information such as: -

- Participation of women in meetings,
- Degree of satisfaction with resettlement package,
- Hearing and settlement of grievances
- Effective functioning of community assets

Qualitative results can also be measured through PRA techniques such as rating and ranking.

**4. *Records and Budget reviews***

Periodic review of the budget allocated for R&R is essential and assists in monitoring the availability and utilisation of resources. E.g.: If by the ninth month of the financial year only 15% of the budget allocation has been used for consultations, further investigation may be carried out. In some cases, savings on budget allocation could also be due to optimum utilisation of resources.

Progress on certain activities and achievement of corresponding outputs can be recorded simultaneously with the completion of the activity. These can be progressively recorded on pre-designed formats, analysed and compiled into reports, and recorded in monitoring instruments as success/failures. E.g.: - No. % of APs informed about notification to relocate.

## 1.6

## Reports & Reporting

The importance of regular reporting on financial and physical progress forms the basic functions of project management. Responsible project managers rely on timely feedback regarding availability of inputs, flow of finances, and delivery of services. Progress is usually reported against time bound actions (normally expressed in the Project Implementation Plan through such devices as bar charts, Gantt charts, or MS Project tables.) Identification and use of quantitative monitoring indicators provides an efficient tool for monitoring many aspects of project performance. With regard to socio-economic impacts, however, supplementary qualitative assessment is likely to be necessary.

The reports can broadly be classified as:

- Progress reports during Implementation of the RP
- Qualitative reports highlighting qualitative aspects
- Financial reports
- Evaluation reports based on benefits and impact of assistance provided.

**A sample report for each of the above categories is attached as *Annexure III***

### *Reporting Cycle/Frequency*

The reporting cycle is determined on the need and relevance of regularly monitoring essential components. A recommended monitoring time line is given below

<b><i>Activity</i></b>	<b><i>Content</i></b>	<b><i>Timeline</i></b>
<b><i>Quarterly Financial Reports</i></b>	<b><i>Expenditure vs. budgeted amount by budget heads and sub heads</i></b>	<b><i>Submitted within 30 days of end of financial quarter</i></b>
<b><i>Six Monthly Progress Report</i></b>	<b><i>Narrative and as per Monitoring Plan format giving details on activity, results, issues affecting performance and variance if any and reason for same and corrections recommended</i></b>	<b><i>Submitted within 30 days of end of the six month period</i></b>
<b><i>Annual Reports</i></b>	<b><i>Narrative and as per reporting format giving details on activity, results, issues affecting performance and variance if any and reason for same and corrections recommended</i></b>	<b><i>Submitted within 30 days after the year end</i></b>
<b><i>Annual Financial Audit</i></b>	<b><i>Professional audit of accounts, prepared by qualified CA firm</i></b>	<b><i>Within 90 days of end of fiscal year</i></b>
<b><i>Final Report</i></b>	<b><i>Projects achievements, failures and impact from the project</i></b>	<b><i>Submitted within 90 days of end of the project</i></b>

## 1.7

**Data Base Management & MIS**

***Database and Database management is a key aspect of the monitoring process. This step will help you prepare a detailed list of your database requirements, its automation and how to establish your Management Information System (MIS).***

***The Monitoring unit will be responsible for maintaining all databases using appropriate software. All data should be computerised and used to generate reports. Until the field offices are also computerised they may submit the data in raw or hard form but it will be the responsibility of the PIU monitoring unit to collate and computerise all the data. You need to have software to manage your data. To track disbursements, the IA should maintain a completed database on all affected households/persons and a full inventory of lost assets.***

In addition to the findings of regular monitoring, some specific information is also required to develop a comprehensive database on the APs, their situation and changing patterns during the period. Computers can be extensively used both for analysis of data and presentation. The available data can be analysed and depicted in various forms such as graphs, statistics, and spreadsheets.

***Management Information System (MIS)***

<b><i>Management Information System (MIS)</i></b>	<b><i>Source of Information Data collection method</i></b>	<b><i>Responsibility for collection and analysis</i></b>
<b><i>(a) Procurement and physical delivery of goods, structures, and services, and the costs incurred</i></b>	<b><i>Internal, monthly, or quarterly, physical and financial reporting</i></b>	<b><i>Implementing agency, resettlement unit, if existing.</i></b>
<b><i>(b) Use of the structures and services by APs and their initial reactions</i></b>	<b><i>AP contact monitoring</i></b>	<b><i>Project resettlement unit and contracted external monitoring agency</i></b>
<b><i>(c) reasons (social, economic, or environmental) for unexpected reactions by the APs, when these are revealed by the information obtained in (b) or through other sources</i></b>	<b><i>Diagnostic studies, and other special studies</i></b>	<b><i>External monitoring agency or other agency contracted to study the issue (such as academic institution, NGO or consultants)</i></b>
<b><i>(d) Measurement of output indicators such as productivity gains and income restoration to the extent that these can be measured during implementation</i></b>	<b><i>Internal reporting and external sample surveys</i></b>	<b><i>Project resettlement unit or external agency, (such as consultants, NGO, or academic institution)</i></b>

## **Section- II**

### **Internal Monitoring & Evaluation at EA/Implementing Agency Level**

**!!!!!!!REMINDER!!!!!!**  
**THE VALUE OF MONITORING & EVALUATION FOR EA**

1. **QUICK UPDATES ON THE PROGRESS OF IMPLEMENTATION OF RP.**
2. **PREPARE REPORTS BASED ON FACTS AND FIGURES.**
3. **TRACK STATUS OF AFFECTED PERSONS (AP) AND COMMUNITY.**
4. **TO PLAN “IN TIME” REMEDIAL MEASURES.**
5. **TO DOCUMENT MAJOR LEARNING & GOOD PRACTICES.**



*You can develop your internal monitoring and evaluation system and M&E plan only based on your RP. So read your RP carefully and use it as your base document. Particularly, refer to the Entitlement Matrix and Time Schedule for implementation of various activities as stated in the RP.*

## 2.1

## Institutional Preparedness

*This chapter will help you to define required institutional arrangements for internal and external monitoring. You need to define your institutional arrangements, details on PIU, monitoring unit, human resources, logistics and infrastructure such as computers. This chapter will also help you to detail your field level operation and systems by which the field offices can provide you with an update on an ongoing basis on progress made in implementation.*

### Internal Monitoring

Internal monitoring is an important responsibility and component of project management. The monitoring plan should provide details of the monitoring and reporting framework for resettlement activities. Activities, entitlements, timeframe, budget and costs are to be monitored as set out in the Resettlement Plan.

The main objective of monitoring is proper implementation of the RP. An executing agency may hire NGOs to implement RP or may directly take up the responsibility.

In case NGOs are hired to implement the RP, it becomes their responsibility to monitor implementation and maintain databases, which can be accessed by the executing agency and other stakeholders.

In case, the executing agency directly implements the RP, then it must possess all the necessary institutional arrangements to monitor implementation of the RP.

#### **STEP 1**

##### ***Creating a Project Implementation Unit (PIU)***

Have a project implementation unit (PIU) with monitoring of resettlement activities as one of its primary functions. The main purpose and role of PIU will be to oversee, proper and timely implementation of all activities in RP. PIU should have staff that is fully familiar with the RP.

#### **STEP 2**

##### ***Establishment of Monitoring Cell/Unit with Required Human Resources***

Within the PIU there should be a monitoring cell/unit. This unit will be responsible for monitoring and database management. This monitoring cell must have staff that is conversant

with computers and statistics to handle data and exposure and sensitivity towards social development.

### **STEP 3**

#### ***Establishing of Field Units***

In case the executing agency is directly implementing the RP, all APs in the target area need to be reached out through field offices which should directly work with/under the monitoring unit of the PIU. The field offices will monitor and report to the PIU on progress of implementation of various activities.

### **STEP 4**

#### ***Formation of Monitoring Committees at Field Level***

To make the monitoring process objective and participatory it is essential to have the participation of APs, in monitoring. This can be done by forming APs committee at the field level to participate in the monitoring process. Through APs committees the participation of women in the monitoring process can be ensured.

### **STEP 5**

#### ***Resources Allocation & Logistics***

For the PIU to function there is a need for adequate resource allocation, office space, computers, transport and staff budget. The following checklist will help in planning essential requirements: -

- ✓ Annual budget for monitoring
- ✓ Office space
- ✓ Table, chairs and furniture
- ✓ Computer dedicated to the monitoring unit
- ✓ Transport
- ✓ Administrative support staff
- ✓ Appropriate technical staff

#### *When to hire the external monitor?*

The external monitor should be hired before or during collection of baseline data and the inventory of loss survey. This will help the external monitor to monitor the entire process of survey, provide inputs and maintain an independent database of APs. A sample TOR to hire an external monitor is attached as *Annexure IV*.

#### **Scope of work**

- ✓ Look into and verify internal monitoring systems and findings
- ✓ Prepare independent reports based on monitoring visits
- ✓ Major recommendation for remedial actions
- ✓ Major recommendations for policy change
- ✓ Maintenance of database.

## 2.2

**Institutional preparedness-checklist**

<i>Step no</i>	<i>Activity</i>
<i>1</i>	<i>Creation of PIU</i>
<i>2</i>	<i>Office Space, Furniture &amp; Computers</i>
<i>3</i>	<i>Adequate staff</i>
<i>4</i>	<i>Budget allocation</i>
<i>5</i>	<i>Training need assessment &amp; capacity building plan of staff</i>
<i>6</i>	<i>Establishment of monitoring cell with adequate staff</i>
<i>7</i>	<i>Capacity building for staff</i>
<i>8</i>	<i>Establishment of field office with all infrastructure &amp; computers and transport</i>
<i>9</i>	<i>Preparation of activities implementation schedule with specific Monitoring &amp; Evaluation indicators</i>
<i>10</i>	<i>Formation of Monitoring Committee at field level</i>
<i>11</i>	<i>Capacity building for committee members</i>
<i>12</i>	<i>Creation of database</i>
<i>13</i>	<i>Hiring an External Monitor</i>
<i>14</i>	<i>Reporting protocols of external monitor</i>

If each step is followed, it will help the EA to systematically plan and induct their monitoring system and use it optimally. Please note that there is a major focus on Capacity Building because in the absence of clarity and skill it will not be possible for the staff to perform their expected roles and responsibilities.

## **Section-III**

### **External Monitoring & Evaluation**

### 3.1

## Scope of External Monitoring & Evaluation

In addition to internal M&E, projects require external (or independent) monitoring and evaluation to provide an objective and periodic assessment of resettlement implementation plans and their impacts. It is also vital to verify internal M&E findings, and to suggest adjustment of delivery mechanisms and procedures. To function effectively, the external monitoring organisation should be independent of the implementing agency.

An important function of external agency is verification of internal reports, which includes checking delivery of the following:

- Payment of compensation and timing;
- Land readjustment;
- Preparation and adequacy of resettlement sites;
- House construction;
- Provision of employment, adequacy and income levels;
- Training;
- Rehabilitation of vulnerable groups;
- Infrastructure repair, relocation or replacement;
- Enterprise relocation, compensation and its adequacy; and
- Transition allowances.

The involvement of affected people and host population in monitoring helps resolve many problems that arise almost daily during the project implementation phase. The RP should provide for participation of APs and NGOs in monitoring. They should be associated at all stages of the M&E process, including determination of monitoring indicators.

### **The Main Aims and Objectives of External Monitoring & Evaluation**

The main objectives of an external monitoring and evaluation is to review implementation and assess the achievement of resettlement objectives, the changes in living standards and livelihoods, restoration of the economic and social base of the affected people, the effectiveness, impact and sustainability of entitlements, the need for further mitigation measures if any, and to learn strategic lessons for future policy formulation and planning.

## **Scope of Activities**

The scope of activities include but are not limited to:

### ***Verification of Internal Reports, by Field Check:***

- Payment of compensation including its levels and timing
- Land readjustment
- Preparation and adequacy of resettlement sites
- House construction
- Provision of employment, its adequacy and income levels
- Training
- Rehabilitation of vulnerable groups
- Infrastructure repair, relocation or replacement
- Enterprise relocation, compensation and its adequacy
- Transition allowances

### ***Survey and Inventory, Demographically of the Following Persons Affected by the Project:***

20% of persons who had property, assets, incomes and activities severely affected by Project works and had to relocate either to group resettlement sites or who chose to self-relocate, or whose agricultural income was severely affected.

10% of persons who had property, assets, incomes and activities marginally affected by Project works and did not have to relocate.

10% of those affected by indirect project activities such as contractors and sub-contractors, including employment, use of land for contractor's camps, pollution, public health etc.

### ***Evaluation of Delivery and Impacts of Entitlements:***

Identification of the categories of impacts and evaluation of the quality and timeliness of delivering entitlements (compensation and rehabilitation measures) for each category and how the entitlements were used and their impact and adequacy to meet the specified objectives of the RP.

The quality and timeliness of delivering entitlements, and the sufficiency of entitlements vis-à-vis the RP should be verified by an independent monitor.

Investigate and analyse the pre-and post-project socio-economic conditions of the affected people. In the absence of database based on baseline socio-economic data on income and living standards, and given the difficulty of APs having accurate recollection of their pre-project income and living standards, develop some quality checks on the information to be obtained from the APs. Such quality checks could include verification by neighbours and local village leaders. The methodology for assessment should be very explicit, noting any qualifications.

***Evaluation of Consultation and Grievance Procedures:***

Identify, quantify and qualify the types of conflicts and grievances reported and resolved and the consultation and participation procedures.

***Declaration of Successful Implementation:***

Provide a summation of whether involuntary resettlement was implemented (a) in accordance with the RP, and (b) in accordance with the stated policy.

***Actions Required:***

Describe any outstanding actions that are required to bring the resettlement activities in line with the policy and the RP. Describe further mitigation measures needed to meet the needs of any affected person or families judged and/or perceiving themselves to be worse off as a result of the Project.

Provide a timetable and define budget requirements for these supplementary mitigation measures and detail the process of compliance monitoring and final "signing off" for these APs.

***Lessons Learnt:***

Describe any lessons learned that might be useful in developing the new national resettlement policy and legal/institutional framework for involuntary resettlement.

3.2

## **Methodology and Approach**

The general approach to be used is to monitor activities and evaluate impacts ensuring participation of all stakeholders especially women and vulnerable groups. Monitoring tools could include both quantitative and qualitative methods:

- Baseline household survey of a representative sample, disaggregated by gender and vulnerable groups, to obtain information on the key indicators of entitlement delivery, efficiency, effectiveness, impact and sustainability.
- Supplemented by Focused Group Discussions (FGD) which would allow the monitors to consult h a range of stakeholders (local government, resettlement field staff, NGOs, community leaders, and, most importantly, APs):
- Key informant interviews: Select local leaders, village workers or persons with special knowledge or experience about resettlement activities and implementation.
- Community public meetings: Open public meetings at resettlement sites to elicit information about performance of various resettlement activities.
- Structured direct observations: Field observations on status of resettlement implementation, plus individual or group interviews for crosschecking purposes.
- Informal surveys/interviews: Informal surveys of APs, host villages, workers, resettlement staff, and implementing agency personnel using non-sampled methods.

In the case of special issues, use in-depth case studies of APs and host populations from various social groups to assess the impact of resettlement.

### 3.3

## **Institutional Arrangement & Monitoring Team**

Describe the institutional arrangement in terms of human resources, logistics, computers and other resources allocated for the project.

There should be a dedicated monitoring team with adequate gender representation. Field level data collection is essential.

The skill of team members plays a crucial role in effective monitoring. Hence, the team needs to have members who are trained and skilled in data base management, interview techniques, social and economic assessments and financial audit.

Unless when resettlement is insignificant, effective monitoring can not be undertaken by one person.

The team may ideally include: -

- A team leader
- Social scientist
- Gender specialist
- Research and Statistical specialist
- Accounts & Financial expert

3.4

## **Reporting & Database Management**

- Provide a monitoring and evaluation report covering the following:
- Whether resettlement activities have been completed as planned and budgeted
- The extent to which specific objectives and expected outcomes/results have been achieved and factors affecting their achievement or non achievement
- The extent to which the overall objective of the Resettlement Plan and the desired impact of improving living standards, income earning capacity and production levels or at least restoring them to pre-project levels, have been achieved and the reasons for achievement / non achievement.
- Major lessons learnt
- Key risk factors
- Recommendations



The database of the external monitor is not a substitute for the database maintained by the IA. The external monitor will maintain a database that is relevant for the purposes for the task assigned. Baseline data may be obtained from the IAs database.

## ANNEXURE I

*Indicators for External Monitoring and Evaluation*

<i>Monitoring Indicators</i>	
<i>Basic information on AP households</i>	<ul style="list-style-type: none"> <li>• <i>Location</i></li> <li>• <i>Composition and structure, ages, educational and skill levels</i></li> <li>• <i>Gender of household head</i></li> <li>• <i>Ethnic group</i></li> <li>• <i>Access to health, education, utilities and other social services</i></li> <li>• <i>Housing type</i></li> <li>• <i>Land and other resource owning and using patterns</i></li> <li>• <i>Occupations and employment patterns</i></li> <li>• <i>Income sources and levels</i></li> <li>• <i>Agricultural production data (for rural households)</i></li> <li>• <i>Participation in neighbourhood or community groups</i></li> <li>• <i>Access to cultural sites and events</i></li> <li>• <i>Value of all assets forming entitlements and resettlement entitlements</i></li> </ul>
<i>Restoration of living standards</i>	<ul style="list-style-type: none"> <li>• <i>Have APs adopted the housing options developed?</i></li> <li>• <i>Have community networks been restored?</i></li> <li>• <i>Have APs achieved replacement of key social and cultural elements?</i></li> </ul>
<i>Restoration of Livelihoods (data to be disaggregated for APs moving to group resettlement sites, self-relocating APs, APs with enterprises affected)</i>	<ul style="list-style-type: none"> <li>• <i>Were compensation payments sufficient to replace lost assets?</i></li> <li>• <i>Was sufficient replacement land available of suitable standard?</i></li> <li>• <i>Did transfer and relocation payments cover these costs?</i></li> <li>• <i>Did income substitution allow for re-establishment of enterprises and production?</i></li> <li>• <i>Have enterprises affected received sufficient assistance to re-establish themselves?</i></li> <li>• <i>Have vulnerable groups been provided income-earning opportunities?</i></li> <li>• <i>Are these effective and sustainable?</i></li> </ul>
<i>Levels of AP Satisfaction</i>	<ul style="list-style-type: none"> <li>• <i>How much do APs know about resettlement procedures and entitlements?</i></li> <li>• <i>Do APs know their entitlements? Do they know if these have been met?</i></li> <li>• <i>How do APs assess the extent to which their own living standards and livelihoods have been restored?</i></li> <li>• <i>How much do APs know about grievance procedures and conflict resolution procedures?</i></li> </ul>
<i>Effectiveness of Resettlement Planning</i>	<ul style="list-style-type: none"> <li>• <i>Were the APs and their assets correctly enumerated?</i></li> <li>• <i>Were any land speculators assisted?</i></li> <li>• <i>Was the time frame and budget sufficient to meet objectives?</i></li> <li>• <i>Were entitlements too generous?</i></li> <li>• <i>Were vulnerable groups identified and assisted?</i></li> <li>• <i>How did resettlement implementers deal with unforeseen problems?</i></li> </ul>

<i>Compensation Payments and entitlements</i>	<ul style="list-style-type: none"> <li>• <i>Was compensation as described in the RP paid on time?</i></li> <li>• <i>Were other entitlements distributed on time, relocation grants, loss of income support?</i></li> <li>• <i>Were there additional costs AP's had to bear?</i></li> <li>• <i>Were adequate funds available to meet the costs of resettlement?</i></li> </ul>
<i>Restoration of Livelihood</i>	<ul style="list-style-type: none"> <li>• <i>Were income restoration activities appropriate to restore or improve living standards?</i></li> <li>• <i>How many AP's/households were impoverished as a consequence of resettlement?</i></li> <li>• <i>Were vulnerable groups adequately assisted to improve living standards?</i></li> <li>• <i>Are the livelihood schemes as described in the RP being implemented satisfactorily?</i></li> </ul>
<i>Relocation Site Preparation</i>	<ul style="list-style-type: none"> <li>• <i>Were resettlement sites ready with adequate infrastructure?</i></li> <li>• <i>Were AP's satisfied with sites and selection process?</i></li> <li>• <i>Were transport arrangements adequate?</i></li> <li>• <i>Were adequate public services available?</i></li> </ul>
<i>Financial Audit</i>	<ul style="list-style-type: none"> <li>• <i>Conduct a financial sample audit to ensure AP's received their compensation and other financial assistance</i></li> </ul>
<i>Institutional arrangements</i>	<ul style="list-style-type: none"> <li>• <i>Review and report on adequacy of staff and capacity</i></li> </ul>
<i>Other Impacts</i>	<ul style="list-style-type: none"> <li>• <i>Were there unintended environmental impacts?</i></li> <li>• <i>Were there unintended impacts on employment or incomes?</i></li> </ul>

Note: Data should be disaggregated by gender, vulnerable groups and for different groups of AP's.

*ANNEXURE II*

**Designing and Conducting Baseline Survey**

Four major points that help in designing baseline Surveys are:

*Who* : Defined responsibility unit to co-ordinate the entire survey

*What* : Determine nature of data to be collected. Data required must be specific and limited, directly linked to results, reach (target) group and indicators. Ensure that sex-disaggregated data are collected.

*When* : Time line for conducting base line.

*How* : Method of data collection, compilation, analysis, interpretation and reporting.

***Steps Involved in Conducting a Baseline Survey***

1. Prepare the list of data to be gathered
2. Design the Interview Schedule
3. Pre-test the Interview Schedule
4. Finalise of the Interview Schedule
5. Draw a sample:
  - Number of villages to be covered
  - Number of families per villages
  - Number of families per caste group and other groups
6. Finalise the time schedule
7. Data collection to be carried out
8. Data compilation
9. Data analysis & presentation of findings

***Golden Rules for Baseline Survey***

- Establish rapport
- Time and place as per the convenience of the community
- Involve community representatives in the process of data collection
- Appropriate selection of the respondent
- Make sure that the respondents are comfortable
- The questionnaire should not be too long
- Explain the purpose of the exercise to the respondent
- Preferably use local language
- No loaded questions
- Be patient
- Be a good listener
- No assumptions, biases and prejudices

# SAMPLE MONITORING & EVALUATION REPORTS

## I. Quantitative

Year: \_\_\_\_\_

Parameters			Jan		Feb		Mar		Apr		May		Jun		July		Aug		Sep		Oct		Nov		Dec		
			T*	A*	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	
<b>A. CONSULTATIONS AND GRIEVANCE</b>																											
Information and consultation																											
No. of AP informed about the notification																											
% of AP informed about the notification																											
No. of APs who are aware of their entitlements	Women	Gen. VG**																									
	Men	Gen. VG																									
No. of grievances reported /registered	Women	Gen. VG																									
	Men	Gen. VG																									
No. of grievances resolved of	Women	Gen.																									
		VG																									
	Men	VG																									

\* T denotes target and A denotes achieved.

\*\* VG means vulnerable group. They are socially and/or economically or both ways disadvantaged/deprived groups. For e.g.: in India these are the scheduled tribes (indigenous) and scheduled castes (placed lowest in the caste system). The elderly and disabled may also fall into this category.

Year: \_\_\_\_\_

Parameters			Jan		Feb		Mar		Apr		May		Jun		July		Aug		Sep		Oct		Nov		Dec	
			T*	A*	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A
No. of Conflicts reported by	Women	Gen																								
		VG																								
	Men	Gen																								
		VG																								
No. of conflicts resolved of	Women	Gen.																								
		VG																								
	Men	Gen.																								
		VG																								
<b>B. PARTICIPATION</b>																										
No. of general meetings (for both sexes)																										
% of women out of total participants																										
No. of meeting exclusively with women																										
No. of meetings exclusively with VG																										
No. of meetings at new sites																										
No. of meetings of host and AP																										

Year: \_\_\_\_\_

Parameters			Jan		Feb		Mar		Apr		May		Jun		July		Aug		Sep		Oct		Nov		Dec	
			T*	A*	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A
<b>C. DELIVERY OF ENTITLEMENTS</b>																										
No. of households compensated/ paid land	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households compensated/ paid houses	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households paid other assets	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households provided transportation benefits during relocation	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of APs who have access to micro credit	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of APs who have taken loans after relocation	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								



Year: \_\_\_\_\_

Parameters			Jan		Feb		Mar		Apr		May		Jun		July		Aug		Sep		Oct		Nov		Dec	
			T*	A*	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A
<b>E. LIVELIHOOD</b>																										
No. of APs under the social development programs	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of APs received vocational training	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of APs who have restored their livelihood	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
<b>F. INCOME RESTORATION</b>																										
No. of APs covered under income generation program (IGP)	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of APs covered under IGP	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
% of successful IG activities (meeting break even point)	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								

Parameters			Jan		Feb		Mar		Apr		May		Jun		July		Aug		Sep		Oct		Nov		Dec	
			T*	A*	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A
No. of APs buying agricultural land household (min quantity)	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households with agricultural equipment	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households with livestock	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households engaged in agriculture	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of households taking loans after relocation (include purpose)	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								
No. of household whose income is restored:																										
No of households shifting to non-farm income generation	Women headed	Gen																								
		VG																								
	Men headed	Gen																								
		VG																								

Year: \_\_\_\_\_

Parameters			Jan		Feb		Mar		Apr		May		Jun		July		Aug		Sep		Oct		Nov		Dec		
			T*	A*	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	T	A	
2) from agriculture and livestock	Women headed	Gen																									
		VG																									
	Men headed	Gen																									
		VG																									
3) No. of AP's/ households self-employed	Women headed	Gen																									
		VG																									
	Men headed	Gen																									
		VG																									
4) No. of AP's found permanent employment	Women headed	Gen																									
		VG																									
	Men headed	Gen																									
		VG																									
5) No. of AP's without new employment	Women headed	Gen																									
		VG																									
	Men headed	Gen																									
		VG																									
6) No. of AP's finding employment related to training received	Women headed	Gen																									
		VG																									
	Men headed	Gen																									
		VG																									



## II. QUALITATIVE

Year: \_\_\_\_\_

### A. Consultation and Grievance

PARAMETERS			I QUARTER-APR-JUN		II QUARTER - JUL-SEP		III QUARTER-OCT-DEC		IVQUARTER-JAN-MAR	
			Rating* by EA**	Rating by EM***	Rating by EA	Rating by EM	Rating by EA	Rating by EM	Rating by EA	Rating by EM
Awareness about resettlement process:	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Satisfaction with resettlement process:	Women	Gen.								
		VG								
	Men	Gen.								
		VG								

\* Rating can be done on the scale of 1 to 5. 1 being the not satisfactory, 2 being partially satisfactory, 3 being satisfactory, 4 being good and 5 being very good. **In order to explain the ratings, attach narrative descriptions quoting examples and case studies.**

\*\* EA denotes executing agency

\*\*\* EM denotes external monitor

PARAMETERS			I QUARTER-APR-JUN		II QUARTER - JUL-SEP		III QUARTER-OCT-DEC		IVQUARTER-JAN-MAR	
			Rating* by EA**	Rating by EM***	Rating by EA	Rating by EM	Rating by EA	Rating by EM	Rating by EA	Rating by EM
Awareness about their entitlements	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Satisfaction with grievance redressal procedure	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
<b>B PARTICIPATION:</b>										
Level of participation in meetings	Women	Gen.								
		VG								
	Men	Gen.								
		VG								

PARAMETERS			I QUARTER-APR-JUN		II QUARTER - JUL-SEP		III QUARTER-OCT-DEC		IVQUARTER-JAN-MAR	
			Rating* by EA**	Rating by EM***	Rating by EA	Rating by EM	Rating by EA	Rating by EM	Rating by EA	Rating by EM
<b>C. DELIVERY OF ENTITLEMENTS</b>										
Degree of satisfaction among APs with:										
Compensation	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Transportation benefits during relocation	Women	Gen.								
		VG								
	Men	Gen.								
		VG								

PARAMETERS			I QUARTER-APR-JUN		II QUARTER - JUL-SEP		III QUARTER-OCT-DEC		IVQUARTER-JAN-MAR	
			Rating* by EA**	Rating by EM***	Rating by EA	Rating by EM	Rating by EA	Rating by EM	Rating by EA	Rating by EM
Availability of loans	Women	Gen.								
		VG								
	Men	Gen.								
D LIVELIHOOD										
Extent of participation in social development programs	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Extent of participation in Vocational training	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
<b>E. INCOME RESTORATION</b>										
Degree of satisfaction among APs with support made available from income restoration programs	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Level of capacity among APs to undertake income generation activity										

PARAMETERS			I QUARTER-APR-JUN		II QUARTER - JUL-SEP		III QUARTER-OCT-DEC		IVQUARTER-JAN-MAR	
			Rating* by EA**	Rating by EM***	Rating by EA	Rating by EM	Rating by EA	Rating by EM	Rating by EA	Rating by EM
Skill	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Willingness	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
<b>E. COMMUNITY ASSETS</b>										
Level of performance of various community assets:										
Degree of satisfaction among APs with various community assets	Women	Gen.								
		VG								
	Men	Gen.								
		VG								
Level of access to community assets	Women	Gen.								
		VG								
	Men	Gen.								
		VG								

### **Types of Conflicts Reported and Resolved**

Type	Women				Men				Total
	General		VG		General		VG		
	Reported	Resolved	Reported	Resolved	Reported	Resolved	Reported	Resolved	
1.									
2.									
3.									
4.									
5.									
<b>Total</b>									

### **Types of Grievances Reported and Resolved**

Type	Women				Men				Total
	General		VG		General		VG		
	Reported	Resolved	Reported	Resolved	Reported	Resolved	Reported	Resolved	
1.									
2.									
3.									
4.									
5.									
<b>Total</b>									

# Six Monthly /Annual Progress Report

Period of Reporting :

Resettlement activities planned and completed

Resettlement activities planned but not completed

Reasons for non-completion of planned activities

Measures to address non completed activities

Description of changes in implementation

Major constraints faced during implementation

How were the constraint addressed

Institutional capacity and implementation arrangements

Summary of financial expenditure

Major lessons learn

Future plan of action

# Final Project Report

Title of the Project

Major Activities undertaken in the project

Project Achievements (anticipated)

Project Achievement (unanticipated)

Major limitations of Project

Major Impact of the project activities

Financial statement

Lesson learnt

# **FINANCIAL REPORTS**

## **Quarterly Financial Reports**

Period of Reporting :

Budgeted heads/activity	Budget allocation for the Qtr	Actual Expenditure	Reason for Variation	Total allocation (Cumulative)	Total expenditure (Cumulative)	Remarks
Baseline Survey						
Consultation						
Setting up PIU						
Compensation payments						
Resettlement activities						
Others (itemize)						

## **ANNUAL FINANCIAL REPORT**

This will be the report by the certified Chartered Accountant within three months of the end of the financial year.

## ANNEXURE IV

## TOR for External Consultants as Monitor

Monitoring is an integral part of the resettlement process. ADB recommends both internal & external monitoring of the projects. Each IA has to appoint an independent monitoring agency. This agency will be involved in ongoing monitoring of the resettlement activities.. The major tasks expected from the external monitor are:

- Verify the internal monitoring process and reporting by IA.
- Assess the extent to which the RP is being followed and objectives are being met.
- Monitor the different stages of the project. These stages include *resettlement* and *rehabilitation*.
- Monitor the quality, effectiveness, efficiency, and sustainability of the resettlement efforts.
- Monitor the process undertaken by the IA for implementing resettlement and develop a format for process monitoring
- Highlight the major problems being faced and limitations of implementing the RP.
- Determine if APs are restoring their livelihoods.
- Develop a profile of the new resettlement site monitoring their feasibility and absorptive capacity
- Verify expenditure & adequacy of budget.
- Share major lessons from the process both in terms of success and failure.

Each external monitor or monitoring agency is expected to develop a *Monitoring Plan* submitting it to the IA giving details on: -

### Defining the aim and scope of monitoring system:

- Setting up the objectives of monitoring
- Defining the monitoring system and the monitoring cycle
- Defining the scope of monitoring

### Monitoring Strategy

The general approach to be used to monitor activities and results ensuring participation of all stakeholder specially women and vulnerable groups

## **Project Results**

A summary of the major project activities, expected results and the indicators to be used to monitor progress and achievement of results

### **Defining and Selecting Indicators**

- Identify key indicators to be monitored
- Indicators for each stage of project implementation
- Gender disaggregated indicators
- Select only those which are simple, specific and verifiable

### **Collection and Analysis of Data:**

- Method of data collection
- Sampling (may be 20% of each category relocated, resettled and rehabilitated)
- Analysis

### **Presenting and Using the Results of Data Analysis:**

- Feedback on findings
- Using the results for planning corrections
- Monitoring reports
- as per the outline of the reporting format
- Organizational aspects
- Deciding who should be involved in Monitoring
- Maintain the database and monitoring system
- Supervision and support

### **Deliverables**

- Whether the project activities have been completed as planned and budgeted.
- The extent to which the specific objectives and the expected outcomes (results) are being or have been achieved and the factors affecting their achievement or non achievement
- The extent to which the overall goal of the project, and the desired impact is being or has been achieved and the reasons for achievements or non achievements.(Mid term Evaluation)
- Major lessons learnt
- Key risk factors and assumptions
- Recommendations