

## Chapter 10 Monitoring And Evaluation

### 10.1 Monitoring and Evaluation for ZSPSP Resettlement

Monitoring and evaluation of the RAP will be carried out during the whole process the land acquisition and the resettlement, including rehabilitation activities according to the ADB's Handbook on Resettlement<sup>1</sup>, to ensure the objectives to be met and the successful implementation of the RAP. The monitoring and evaluation involves both the internal and external monitoring.

Internal monitoring will be carried out by the ZSPSP Project Office, assisted by the Resettlement Offices at different levels, the JCRO, SCRO and HPRO, to ensure that all of the responsible implementing agencies follow the schedule and comply with the principles of the RAP.

For proper supervision, ZPSC will engage an independent monitoring agency (IMA) through competitive tenders to undertake resettlement supervision, monitoring and evaluation for the Project. IMA will engage at least two qualified social scientists to conduct baseline and follow-up surveys of the APs. During the follow-up surveys, IMA will review the progress of the resettlement program and assess changes in income and livelihoods of the APs. Following the survey, independent resettlement monitoring and evaluation report will be prepared each year and submitted to the ADB. IMA will also provide training in best resettlement practices to the county and township resettlement staff.

The components of independent monitoring and evaluation (M&E) include: (1) the functions of the resettlement network, (2) adjustment of the Affected Persons (APs) to their new lifestyle, (3) income restoration, house and infrastructure reconstruction, and (4) APs' living standards over time.

The purpose of the independent monitoring is to provide an evaluation of resettlement by IMA to the Project Resettlement Offices (ROs) and to review the overall implementation from a broader, long-term point of view. The independent monitors will follow the resettlement activities to evaluate whether the goals of resettlement are achieved, through observation of: (1) the application of the PRC laws related with resettlement; (2) compliance with the ADB's resettlement policy; and (3) living standards of the APs. The IMA will provide suggestions to the ZSPSP Project Office and the Resettlement Office (RO) at different levels, so that any problems encountered during the resettlement implementation can be resolved on time.

<sup>1</sup> Asian Development Bank. 1998. Handbook on Resettlement: A Guide to Good Practice. Manila, Chapter 9, "Monitoring and Evaluation."

### **10.1.1 Internal Monitoring and Supervision**

The ZPSPP Project Office has developed an internal monitoring framework to supervise the resettlement activities. The ZPSPP Project Office will maintain the basic database of land acquisition, house relocation and resettlement. The ZPSPP Project Office will monitor all of the relocated households, and supervise the whole process of resettlement preparation and implementation.

#### **10.1.1.1 Implementation Procedure**

During the RAP implementation, the JCRO will collect and record the information of resettlement activities and deliver it on a timely basis to the SCRO and ZPSPP Project Office. The ZPSPP Project Office will conduct periodic supervision on resettlement at village, township and county levels, and report to ADB and the Provincial LGRW .

In the overall internal monitoring framework, there will be continuous information circulation from the village level to the ZPSPP Project Office and periodic supervision and verification by the ZPSPP Project Office. The implementing agencies of resettlement at different levels will participate in the integrated monitoring activities.

#### **10.1.1.2 Monitoring Indicators**

A number of indicators will be monitored, for example:

- Payment of land compensation and resettlement subsidy to villages and collectives
- Land re-adjustment and income restoration
- Payment of compensation and Resettlement subsidy to APs
- Allotment of house plots
- Reconstruction of private house in rural area
- Income rehabilitation activities
- Special provisions/attentions to the vulnerable groups
- Rehabilitation of infrastructure and public facilities
- Implementation schedule of resettlement
- Adequacy of participation of (and consultation with) the APs during implementation
- Staffing, training, operation and effectiveness of local ROs
- Levels of satisfaction of APs

#### **10.1.1.3 Personnel**

The staff of the ROs is presented in Chapter 7. The staff will be responsible for monitoring and evaluation as follows:

**Table 10.1 Staff Involved in Monitoring in ROs**

No.	Resettlement Implementation Agency	Regular Staff	Total Staff during Busiest Period
1	ZPSPP Project Office	2	6
2	HPRO	1	4
3	SCRO	3	9
4	JCRO	12	26
5	IMO	4	8

#### **10.1.1.4 Purpose and Responsibilities of Monitoring**

The overall responsibilities of the resettlement implementation agencies are listed in Chapter 7. The monitoring responsibilities of the ZPSPP Project Office are listed below.

- Set up the resettlement office, train resettlement staff to investigate the project affected areas.
- Facilitate the appointment of the IMA to provide consulting services to the ZPSPP Project Office and the design institute for census survey.
- Conduct a survey jointly with the design institute.
- Train the JCRO staff, and provide guidance in the preparation of the RAP.
- Receive the input from SCRO for the preparation of the RAP.
- Supervise the information exchange with the APs and prepare a Resettlement Information Booklet, including all aspects of RAP, such as compensation, rehabilitation and grievances and appeals.
- Acceptance of resettlers for the solution of appeals.

#### **10.1.1.5 Internal Report**

##### **Frequency of Monitoring Report**

From the beginning of resettlement implementation, JCRO will submit a progress report at least once a month to the SCRO, and the SCRO should submit a progress report at least once a month to the ZPSPP Project Office. Summary reports will be required after the completion of resettlement. The statistical reports (including compensation, progress, and funds) will be required once every 3 months. The ZPSPP Project Office will submit a resettlement progress report to the ADB twice a year, one before January 31, and the other before July 31.

##### **Formats of Monitoring Report**

The statistical reports according to ADB requirements will be provided by the ZPSPP Project Office, which include two parts: 1) literal-part that states the compensation funds for land acquisition and house relocation, problems and difficulties encountered during

the implementation and the solution measures; 2) second part that provides tables with summary of the statistical data for the past 3 months and the quantity comparison between the planned and actual land acquisition, house demolition, compensation funds, etc.

### **Contents of Monitoring Report**

The contents of Monitoring Report include:

- Progress of land acquisition and demolition
- Compensation standards and compensation funds
- House re-construction
- Re-distribution and re-adjustment of land
- Other production rehabilitation measures
- Payment of resettlement subsidy
- Resettlement Site selection
- Re-construction of private house in rural area
- Participation and consultation
- Training
- Rehabilitation of the vulnerable groups
- Rehabilitation of infrastructure and public facilities

### **10.1.2 Independent Monitoring**

IMA will be responsible to conduct an overall baseline survey, both a baseline SLS on a random sample of APs and also on a control group. The SLS will be repeated twice on an annual basis to measure the change in the living standards of the APs. This activity will be one of the approaches to determine the changes in the living standards of the APs. Open ended interviews with the APs and observations will be made for the monitoring.

### **Sample Size**

The sample size will be 20% of the persons affected by land acquisition and house relocation.

### **Public Consultation**

The IMA will participate in public consultation meetings held at the village and township levels. Participatory Rural Appraisal (PRA) will be carried out. The IMA will evaluate the degree of the APs' participation. These activities will continue during and after the implementation of resettlement.

### **Grievance Issues**

The IMA will have regular visits to the resettlement sites and inquire about the grievance issues through interview with the resettlement officers and the APs. The effectiveness of the grievance resolution will be monitored constantly and if needed, the IMA will make recommendations for possible changes in the procedures to make the process more effective.

### **The Monitoring Indicators**

The IMA will monitor the following activities through observation and open-ended interviews with APs:

- Rights of the resettlers
- Land re-adjustment and income restoration
- Allotment of house plots
- Re-construction of private houses
- Training
- Rehabilitation of the vulnerable groups
- Rehabilitation of infrastructure and public infrastructures
- Relocation of APs
- Restoration of resettlers' living standards
- Resettlement schedule
- Gender issues
- Special provisions to the vulnerable groups
- Social adjustment
- Participation and consultation
- Levels of AP's satisfaction

#### **10.1.2.3 Monitoring Procedure**

The Monitoring procedure includes:

- Prepare an outline for monitoring and evaluation
- Develop an information system of resettlement monitoring and evaluation
- Prepare a survey questionnaire
- Design a sampling survey plan
- Baseline survey
- Establish a monitoring and evaluation information system
- Conduct survey and monitoring, including socioeconomic survey, monitoring resettlement implementation organizations, monitoring sample households and villages
- Establish a monitoring database
- Make data and information analysis
- Prepare a monitoring and evaluation report every half a year

#### **10.1.2.4 External Monitoring**

##### **Responsibilities**

The IMA will carry out monitoring and evaluation twice a year, and will submit monitoring and evaluation reports to the ADB through the ZPSPP Project Office.

##### **Frequency of Report Submission**

In accordance with the requirements of the ADB, the frequency of monitoring report submission will be twice a year. A monitoring and evaluation survey will be carried out in June and December each year, and reports submitted by January 31 and July 31, respectively. The implementation of land acquisition, house demolition and rehabilitation will be completed in 2007. In total, eleven (11) reports on independent monitoring and evaluation on resettlement will be prepared. An M&E baseline survey will be done in October of 2002, and after that the M&E will be done twice a year during the period of resettlement implementation.

##### **Contents of Monitoring Report**

The Monitoring Reports will contain:

- M&E baseline survey of resettlement
- Progress of land acquisition, house demolition and rehabilitation
- Allocation of compensation funds
- Usage of land compensation and resettlement subsidy
- Usage of collective compensation funds
- House demolition and re-construction
- Livelihood and income rehabilitation
- Evaluation on capacity of the resettlement implementing agencies
- Rehabilitation of vulnerable groups
- Gender Issues
- Participation and Consultation
- Grievances and Appeals
- Problems and suggestions
- Levels of AP's Satisfaction

#### **10.2 Monitoring and Evaluation for Rural Electrification and Closure of Power Plants**

The same IMA for the Zhanghewan Pumped Storage Plant Project will perform the monitoring and evaluation for both the rural electrification program and closure of small thermal power plants.

### **10.2.1 Rural electrification program**

The monitoring and evaluation will cover the following major indicators:

- progress of land acquisition
- compensation standards and disbursement of compensation funds
- redistribution and adjustment of land
- employment of APs
- tariff reduction for poor households
- living standard of APs
- public consultations
- number of grievance

### **10.2.2 Closure of small coal-fired units**

The monitoring and evaluation will cover the following major indicators:

- number of workers to be affected
- number of workers to be redeployed
- salary level of affected workers
- number of training courses
- satisfaction of new job position