

STEMer

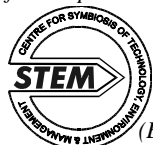
Professionalize and Prosper

Dear Friend,

Between June 2001 and July 2002, STEM was called upon to undertake two research and consultancy studies. The two studies opened up opportunities for STEM to embark upon a domain it had not explored until then, namely taking stock of Resettlement & Rehabilitation (R&R) Schemes. The R&R schemes that STEM was commissioned to evaluate emanated from two World Bank-assisted projects in Karnataka and Andhra Pradesh. The schemes were initiated by the respective project authorities against the background of the World Bank's Policy on 'Indigenous Peoples'.

The study carried out in Karnataka was essentially in the form of an assessment of how voluntarily a batch of 155 tribal families had agreed to move out from their traditional settlement at Nagarhole to the nearby village of Nagapura, to make way for the Rajiv Gandhi National Park. The assignment undertaken in Andhra Pradesh involved the Monitoring & Evaluation of the Implementation of the Economic Rehabilitation Programme (ERP) for over 2600 families, in Karim Nagar and Warangal Districts, affected by the irrigation canal system and road networks coming up under the Sri Ram Sagar Project (SRSP). This issue of STEM Reporter tries to capture some of the highlights of the findings and observations that the two stock-taking exercises led to.

STEM is immensely grateful to The World Bank; the Dept of Forests, Govt of Karnataka; and the Dept of Irrigation & Command Area Development (CAD), Govt of Andhra Pradesh, for the award of the studies and the constant support and guidance they extended towards their successful completion.



Yours truly,

(B. Bhaskara Rao)

August 2003

Executive Director

Taking Stock of Resettlement & Rehabilitation (R&R) Schemes

The World Bank Policy on 'Indigenous Peoples' provides policy guidelines to (a) ensure that such sections benefit from development projects, and (b) avoid or mitigate potentially adverse effects on such sections caused by Bank-assisted activities. It was against the backdrop of this policy that STEM was entrusted with the evaluation of two Resettlement & Rehabilitation (R&R) schemes, emanating from Bank-assisted projects – one for the tribal families displaced by the Rajiv Gandhi National Park at Nagarhole in Karnataka, and another for the Project Affected Persons (PAPs) under the Sri Ram Sagar Project (SRSP) in Andhra Pradesh.

Assessment of the "Voluntariness" of Tribal Families in Relocating from Nagarhole National Park to Nagapura Village

BACKGROUND

The Rajiv Gandhi National Park at Nagarhole is one of the seven Protected Areas selected for the implementation of the 'India Eco-development Project', with assistance from the World Bank & Global Environment Facility (GEF). The park covers an area of 643.36 sq km across the Mysore and Kodagu Districts of Karnataka. Land-based activities and human settlements are not allowed in the project area. The government, therefore, decided to relocate a total of 1,073 tribal families (6579 individuals), mainly belonging to the ethnic groups such as Kuruba, Betta Kuruba & Yerawa, living in 40-odd scattered *hadis* or small settlements inside the area, if they were willing to come out and get rehabilitated voluntarily. The state government has offered them a package of benefits under the Beneficiary Oriented Tribal Development (BOTD) scheme and India Eco-development Scheme supported by the Govt of India. The Dept of Forests, Govt of Karnataka, thus relocated a group of

¹The World Bank defines 'Indigenous Peoples' as "groups with social and cultural identity distinct from the dominant society that makes them vulnerable to being disadvantaged in the development process".

TABLE 1: HOW VOLUNTARILY HAVE THE TRIBAL FAMILIES RELOCATED?

No. of Relocated Families	No. of Families Interviewed	Number of Families that moved		
		Voluntarily	On persuasion	Unwillingly
155	117	47	34	36
	Reasons for relocating			
	Comprehensive Relocation and Rehabilitation Incentive Package	Assurance given by the Forest Department officials that facilities would be provided to the families to lead a better and secured life in the new location	Sustained pressure from Forest Department officials to shift to a new location	
	Continuous threat from wild animals	Advice by relatives to consider shifting to the new location in view of the better package of facilities offered	Being told continuously that they were allowed to live inside the National Park any more	
Realization that living in the forest without proper amenities was becoming more and more difficult	Being convinced by some local NGOs that they had better prospects, if relocated	Frequent harassment by local officials		
		40%	29%	31%

205 families in two batches. The first batch of 50 families was relocated during April-May 1999. The second batch, comprising 155 tribal families, was relocated during July-August 2000, in the nearby Nagapura Village. The Project Agreement stipulates that all relocation planning and implementation associated with the project would be consistent with the Bank guidelines and implementation would require prior approval from the Bank. However, it turned out that the Dept of Forests did not comply with this stipulation in the agreement. Therefore, at this juncture, the Bank requested the State Government to initiate an independent study by an external agency to assess if the covenant in the project agreement related to "voluntariness" of the relocated families had been complied with and, if so, how voluntarily the 155 tribal families had agreed to shift. Subsequently, during mid-2001, the study was entrusted to STEM.²

OBJECTIVES

The study primarily addressed the following specific tasks:

- Assess whether the 155 tribal families have moved out voluntarily, premised on an informed decision making

²The World Bank defines "voluntary relocation" as relocation driven by the wishes of the local people rather than by an external "event" (which is what drives *involuntary* settlement). The Bank, therefore, insisted that, for the Nagarhole relocation to proceed, the relevant documentation should include unambiguous confirmation that decisions on the relocation met the Bank definition of "voluntariness".

TABLE 2: HOW SATISFIED ARE THE FAMILIES WITH THE R&R PACKAGES OFFERED?

Group	Fully satisfied families	Partly satisfied families	Not satisfied families	Total number of families interviewed	% of total
Voluntarily/ Persuaded	43	31	7	81	69
Unwillingly	2	6	28	36	31
Total	45	37	35	117	
% of total	38	32	30	100	100

- Ascertain the basis on which the Forest Department arrived at the list of families
- Assess if any harm has been done to the tribal families who have moved out
- Ascertain if the substance of the package for the relocation exercise was the same as agreed to with the Bank
- Document the intentions of the Forest Department behind the unannounced and premature move to relocate the 155 tribal families

APPROACH & METHODOLOGY

Based on the ToR specified by the Bank, the following procedure was adopted:

- Reference to secondary data – documents relating to relocation including the Micro Plan prepared for India Eco-development Project and Social Assessment & Impact Study in respect of 50 tribal families

TABLE 3: WHAT DOES THE ASSESSMENT REVEAL?

Sl. No.	Tasks	Findings	Observations
1	<i>Ascertain if the 155 families moved out voluntarily, premised on an informed decision-making</i>	Sixty-nine per cent of the families moved voluntarily. Of this, 29 per cent shifted on persuasion. They were lured with promises of better facilities. The remaining 31 per cent shifted unwillingly.	The non-fulfillment of the incentive packages offered and promises made are the major factors attributed to the present difficulties of the tribal families. One-fourth of the respondents wanted to go back to their original settlements as they were frustrated and disappointed with their present status.
2	<i>Ascertain the basis on which the list of families had been arrived at by the Forest Department</i>	Different agencies/ persons provided information for preparing the list of beneficiaries.	This exercise was not carried out systematically by the authorities. Too many people were involved in identifying the families willing to relocate.
3	<i>Ascertain if the substance of the R&R package remained the same as agreed to with the Bank</i>	There are minor differences in the substance of the package	Any difference in the package does have an impact on the progress of the R&R scheme. Implementation of all promises made is crucial to gain the confidence of the beneficiaries. In addition to Forest Dept., there are other well-wishers such as the NGI involved in the R&R scheme of BOTD. It seems there is confusion in conveying the details of the incentive package. Frustration among the relocated families is very high. Care should be taken to ensure that the right type of information reaches beneficiaries. All these shortcomings might hamper the progress of the scheme and may not set an example for others to follow.
4	<i>Confirm the intentions of the Forest Dept behind the unannounced and premature move to relocate the families</i>	The Forest Dept intended to utilize the agricultural season, so as to enable the families to get their first crop without missing the season	Intentions of Forest Dept. were justifiable. Nevertheless, the Dept could have intimated their intention to the Bank along with the list of beneficiaries to be relocated & rehabilitated and then taken up the regular procedural requirement of getting the approval of the Bank.
5	<i>Assess the level of satisfaction of relocated families</i>	70% of the families are satisfied with the rehabilitation process at the relocation site.	Satisfaction among the families could have been greater, if the authorities had made arrangements to meet their immediate needs such as food and employment and had fully kept all the promises made by them.

- Discussion with the Consultants who had carried out the census of tribal families living in the Nagarhole National Park
- Discussion with the Forest Department officials associated earlier with the relocation exercise
- Discussion with the NGOs working for the development of the tribal families
- Visiting the R&R site at Nagapura Village, meeting the 155 tribal families living in three Blocks separately, and holding informal and participatory interactions with them to obtain information
- Making first-hand observations on the field

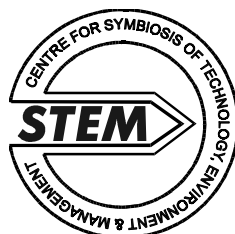
The study team had informal interactions with the heads of 117 (76%) of the 155 relocated households, women and other members of the families. In addition, the families were asked to share their views and perceptions about the R&R scheme and status of their life *before* and *after* relocation. Based on the tasks mentioned in the ToR, a check-list was used in order to obtain information from the relocated families to understand how voluntarily they had moved out. Efforts were made to ascertain whether the substance of the R&R package was the same as agreed to with the Bank (i.e., the package offered and the package realized). Besides, the problems and hardships faced by the families who have moved out were recorded.

FINDINGS & CONCLUSIONS

Almost all the tribal families had high expectations of the assurances made. In general, the beneficiaries were not fully satisfied with the delivery of the R&R packages. A case in point was the sustenance allowance. The amount promised was Rs.1,000/- per family per month for a period of nine months. However, the allowance was actually provided only for one to one-and-a-half months. The payment was stopped following an audit objection. Promises on land for cultivation, land development, dwelling house, borewells with handpump, community halls, mobile clinics, schooling, skill training, solar lamps, etc., had been kept in essence but not to the full

satisfaction of the beneficiaries. Other promises such as pasture & fodder plantation, wood lot & fuel reserve, chicks for rearing, bullocks, ploughs, seedlings and electricity were yet to be realized and the relocated families felt deprived and frustrated.

Inferences on the "voluntariness" of the relocated families and the level of their satisfaction were drawn (**Tables 1 & 2**). The highlights of STEM's assessment of the relocation and other related aspects of the R&R scheme arrived at in the light of the above inferences as well as the Bank's definition of "voluntariness", are shown in **Table 3**. ■

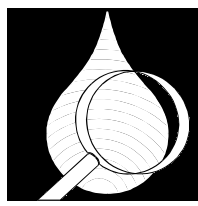


Monograph Series

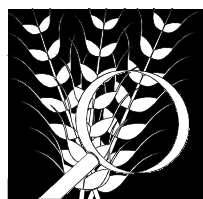
Presenting brief overviews of STEM's Research & Consultancy (R&C) experience in various sectors of national development, over the past 15 years



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***Rural, Agricultural &
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***Environmental Policy
Formulation, Planning &
Management***

Monitoring & Evaluation (M&E) of Implementation of Economic Rehabilitation Programme (ERP) for Project Affected Persons (PAPs)* under the Sri Ram Sagar Project (SRSP)

BACKGROUND

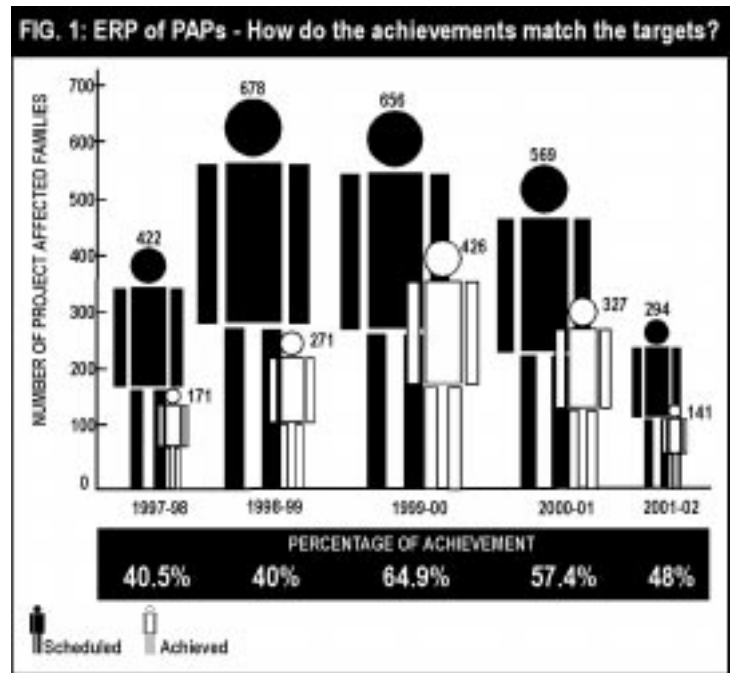
The Sri Ram Sagar Project (SRSP) forms part of the third Andhra Pradesh Irrigation Project (APIP-III) being implemented with World Bank assistance. APIP-III is an extension of APIP-II, a substantial number of schemes under which still remain to be completed. Resettlement and Rehabilitation (R & R) is a small but essential component of the project. The AP Govt has formulated a Project Affected Persons' Economic Rehabilitation Programme (PAPERP) in support of the R & R component. The R&R component for SRSP envisages the economic rehabilitation of 2619 project-affected households (7205 individuals), in Karimnagar and Warangal Districts, displaced by the canal system, road networks, etc. In addition, it also visualises the completion of the earlier R&R-related civil works/ schemes yet to be completed/ implemented under APIP-II. It was against this background that, between March and July 2002, the Dept of Irrigation & Command Area Development (CAD) of the Govt of Andhra Pradesh commissioned STEM to carry out an objective evaluation of the ERP. The task assigned involved independent assessment of the process of land acquisition and implementation of the ERP, for both APIP-III (Diagnostic Study) & APIP-II (Retrofit Study), in terms of the targets set. As part of the exercise, an attempt was also made to identify the problems in the execution of PAPERP to enable timely adjustments of the implementation set-up and procedures.

OBJECTIVES

The objectives of the **APIP-III Diagnostic Study** were to:

- Conduct a Diagnostic Evaluation Study of a sample of PAPs to assess the impact of the programme
- Develop an M&E Format in consultation with the R&R authorities
- Develop a Computerized M&E System in consultation with the R&R authorities
- Examine the extent to which there is co-ordination with other developmental programmes like the IRDP, JRY, DWARCA, etc., implemented by the District Rural Development Agency (DRDA) and how easily accessible these programmes are to the PAPs

*The term PAP is also used in the sense 'Project Affected Family'



The purpose of the **APIP-II Retrofit Study** was to:

- Assess the impact of the ERP through a Diagnostic Evaluation Study of all the PAPs, comprising: (i) a group of 571 homeless PAPs who have been given house plots; and (ii) another group of 778 PAPs having availed different Income Generating Schemes (IGSs)
- Critically evaluate various aspects of HRD involving both the R&R functionaries and PAPs.

METHODOLOGY

The study was based on data collected from both primary and secondary sources.

Primary Data

The task of M&E was mainly based on quantitative and qualitative data, information, impressions, views and opinions, on the process of R&R, elicited from the following three main actors:

- **PAPs** - the rightful and legitimate recipients of various entitlements such as compensation, house plots, land, rehabilitation grants, etc;

- **R&R Functionaries** - the communicators on and providers of such entitlements to the PAPs; and
- **NGOs** - local facilitators who make the PAPs aware of their entitlements, organize the distribution of the entitlements to the PAPs, and monitor the progress of the ERP, particularly the operationalization of the income-yielding assets given to them.

Diagnostic Survey

A diagnostic survey of a sample of PAPs of APIP-III (513 of them scattered over 42 villages in 14 mandals) and all the PAPs of APIP-II comprising two groups (as described under 'Objectives' above) was carried out. They were mainly asked about their impressions, reactions and assessment *vis-a-vis* the R&R programme implemented for the amelioration of their socio-economic conditions. Since the primary goal of the R&R programme is to restore/ improve the income levels of PAPs, the respondents were specifically asked to give a comparative assessment of their levels of living *before* and *after* becoming PAPs.

Focus Group Discussions (FGDs)

The study team separately met groups of PAPs, R&R Functionaries and Facilitators (NGO representatives) and implementing officials and quizzed them on a number of issues. Over a three-month period, the following seven homogenous groups were thus contacted:

- Women's Self-Help Groups (SHGs), known as Women's Thrift Societies
- Members of Village Committees
- Three NGOs
- Select PAPs having chosen a given Income Generating Scheme (IGS)
- Members of the Review Committees
- Members of the Gram Sabhas
- Leaders of PAPs

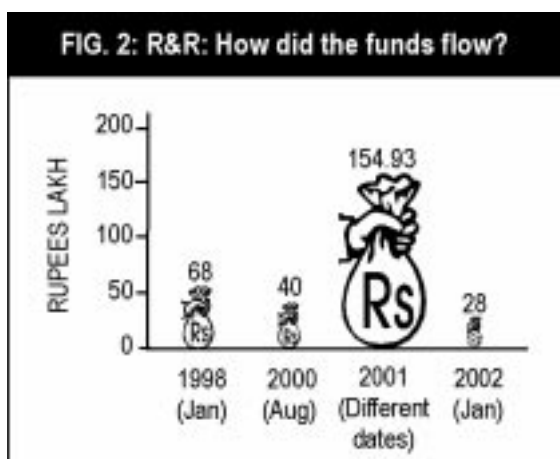
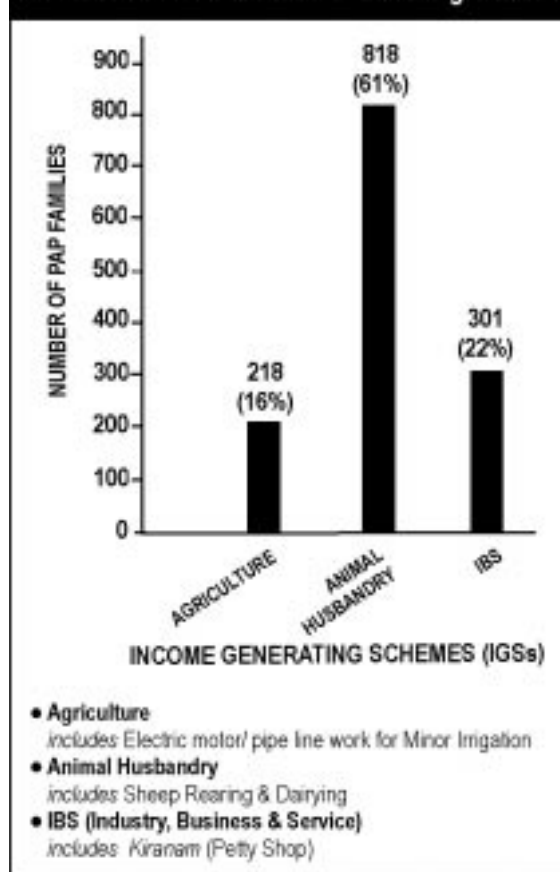


FIG. 3: IGSs - How are the AP-III PAPs grounded?



Secondary Data

The secondary data source comprised various GoAP documents such as those relating to the Socio-Economic Survey of PAPs, R&R Policy and Action Plan, etc.

APPROACH

Most PAPs (98%) of both APIP-III & APIP-II were found to have been owner-cultivators before their lands were acquired in 1988. They gave up their lands for the public cause of the construction of the SRS irrigation canal, distributaries and road networks. The average land lost per family works out to less than one acre. According to GOAP Socio-Economic Survey (SES), the average loss of land per PAP was 0.95 acre. The study, therefore, attempted to ascertain if the PAPs who were economically rehabilitated were *effectively* rehabilitated or not. Towards this, it was examined whether:

- The number of PAPs the R&R programme set out to reach over the five-year period (1997-98 to 2001-02) and, in a given year, have been reached or not; and

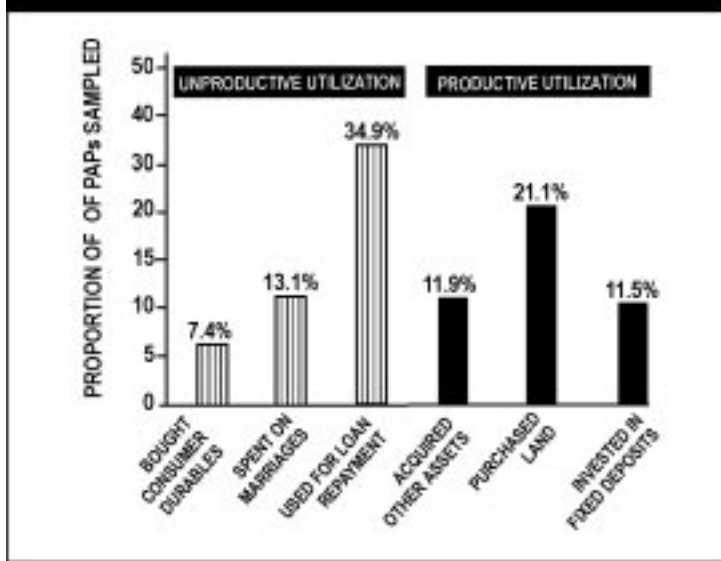
- Those who were grounded with different IGSs have derived meaningful benefit from the IGS they chose, namely, Agriculture, Animal Husbandry and Industry, Business & Service (IBS).

The emphasis of the current study was on the main issue of how effectively the PAPs have been economically rehabilitated. However, the study also attempted to answer several other

TABLE 1: HOW WELL HAS THE ERP PERFORMED?

Sl. No.	Salient Elements of ERP	Findings	Observations
1	Rehabilitation (See Fig.1)	There were 2619 PAP households to be rehabilitated in the five-year period (1997-98 to 2001-02). Of these, only 1336 (about 50%) have been rehabilitated. The performance in the two years (1997-98 & 1998-99) was as low as 40 %. For all the years, the achievements are below target. The only exception is 1999-2000. In that year, nearly two-thirds of the targeted number of PAPs were rehabilitated.	It was probably being behind schedule that prompted the R&R Cell to revise the Action Plan, that too only in the last year. The main problem in meeting the targets seems to be shortage of manpower. Understaffing of the R&R Cell and delayed hiring of NGOs between them could have, to a great extent, affected the rehabilitation effort. Non-availability of funds in time also could have contributed to the sub-optimal achievement of the programme.
2	NGO Services	Two of the three NGOs appointed, assumed charge only two years after the commencement of the project and the third NGO started work nearly after three years.	In some cases, external factors, like bank officials not being co-operative with the R&R officials, have also affected the pace of progress.
3	Funds (See Fig.2)	As against the administrative sanction of Rs.380 lakh, only Rs.290 lakh have been released till January 2002. Contrary to what the original Action Plan suggests, the year-wise phasing of funds has been uneven. More than half the total amount released has been made available in the year 2001.	
4	Income Generating Schemes (IGSs) (See Fig.3)	Out of nearly 1340 PAPs grounded with various IGSs, nearly 820 PAPs (more than 61%) have opted for Animal Husbandry (including sheep rearing & dairying). This is followed by IGSs under Industry, Business & Services (IBS) (including 'kiranam' or petty shop) (22%) and Agriculture (including electric motor/ pipe line work for Minor Irrigation) (16%). By and large, each IGS-grounded PAP derives an income of Rs.10,000 to 15,000 per annum, on an average. Majority of the beneficiaries feel that their economic status has improved from what it was prior to their rehabilitation.	Most PAPs (98%) of both APIP-III & APIP-II were owner-cultivators before their lands were acquired in 1988. According to the GoAP Socio-Economic Survey (SES), the average loss of land per PAP was 0.95 acre. This implied a loss in production of grains worth Rs.3,522 per annum, at 1994-95 prices. Converted to prices in 2002, it would be approximately Rs.4,400 per annum. This loss in income has to be made good. But, if one takes a development approach to R&R, as both multi-lateral lending agencies and the GoAP insist, the PAPs' income should even improve in the new dispensation. However, juxtaposing and comparing the two incomes could be tricky for a variety of reasons, particularly when they pertain to two different periods separated by as many as 10-15 years.
5	Vocational Training	Almost all of the sampled PAPs (506 out of 513, ie., 99%) have received vocational training, mainly in the use of insecticide sprayers. Although other vocational programmes like tailoring, mushroom cultivation, computer operation, etc., are available, the PAPs, on their own, have opted overwhelmingly for the use of sprayers.	Most respondents feel that the ERP was highly participatory in nature, particularly in the context of taking decisions on IGSs.
6	Productive Asset Grant (PAG)	The PAPs in both APIP-III & APIP-II want the PAG raised from Rs.8,000 to Rs.20,000. The present sum of money, they feel, is too meagre to make any dent on their level of living.	As the PAPs are entitled only for a PAG of Rs.8,000, they are obliged to choose only such schemes under IGSs, investments for which have been close to that amount. This imposes a severe restriction on the PAPs choosing the IGS. The PAG may be inflation-indexed so that its real value remains intact, allowing the PAPs to earn well even in times of inflation.
7	Compensation	Most (97.5%) of the PAPs of APIP-III are unhappy with the size of the compensation, which amounts to, on an average, around Rs. 24,000.	The R&R cost in APIP-III works out to around 2% of the total project cost. The normal R&R cost in most such projects are around 3-5% of the overall project cost. Going by the benchmark, the APIP-III R&R cost is somewhat low. There is enough room for enhancing the costs of R&R, particularly in being liberal to the PAPs.
8	Attitude of R&R Officials and NGOs	Majority of PAPs under both APIP-III & APIP-II are of the view that the R&R officials are helpful. Nearly half the number of PAPs of APIP-III are of the opinion that the NGOs are not very helpful. However, majority of PAPs of APIP-II see their attitude as satisfactory.	

Fig. 4: What did the PAPs do with the compensation money?



questions closely linked to the main issue of economic rehabilitation, such as:

- How good is the administrative mechanism?
- How well-equipped, trained and disposed are the R&R functionaries?
- How well-gearred is the institutional set-up to meet the aspirations of the PAPs?

and

- How transparent, participatory and democratic is the process of ERP?

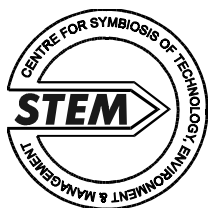
FINDINGS & OBSERVATIONS

The findings and observations *vis-a-vis* the salient elements of the ERP are given in **Table 1** on the previous page.

STREAMLINING THE R&R PROCESS

Efficient internal monitoring is imperative for the success of any R&R Project. The effectiveness of monitoring depends as much on the appropriateness of the indicators developed for the purpose as on the responsiveness of the machinery. As part of the present study, an attempt was, therefore, made to identify a set of indicators for internal monitoring. The indicators pertain to (a) Details of PAPs, (b) Grants Received, (c) Amounts Sanctioned, (d) Date of Grounding and (e) Training.

After discussions with the project personnel, it was decided that the procedures currently being followed in the R&R process could be further streamlined with the incorporation of this new set of indicators. It was also decided that each PAP would have a unique Identity Card cum Pass Book (ICPB) number and this number could be used to connect the proforma concerned in an Access database file. The suggestion for the incorporation of the modified set of indicators was well received by the R&R personnel, who were convinced that this would make their work easier. ■



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