

# **UNIT 97 THE BENEFICIARIES OF PARTICIPATORY APPROACH**

## **Structure**

- 97.0 Objectives
- 97.1 Introduction
- 97.2 Benefits of the Participatory Processes
- 97.3 Stakeholders of the Process
  - 97.3.1 Identification of Stakeholders
- 97.4 Socio Cultural Aspects of the Resettlement
- 97.5 Participatory Implementation
  - 97.5.1 Process of Participatory Implementation at Site and Involvement of Displaced People
  - 97.5.2 Key Action Points for RAP Implementation
  - 97.5.3 Special Efforts for Vulnerable Populations
- 97.6 Let Us Sum Up
- 97.7 Cues to Check Your Progress
- 97.8 Glossary
- 97.9 References

## **97.0 OBJECTIVES**

After reading through this Unit, you will be able to:

- discuss the socio-cultural aspects of relocation process; and
- examine the benefits of participatory infrastructure and socio-cultural planning for relocation.

## 97.1 INTRODUCTION

Previous Unit was on need of participatory approach in the process of planning at relocation site and among displaced people. Now we will look into the processes in more details. Before that we will do a quick recap of the definition of participatory resettlement.

Participation is a generic term usually encompassing two distinct dimensions:

- Information exchange (dissemination and consultation) and
- Varying forms of joint decision-making (collaboration or participation)

Identification of the stakeholders of the processes, varied degree of interaction with them and phase wise action plan would result into less problematic resettlement process.

The following steps should precede the structuring of a participatory process:

- Agreement on basic approach to consultation and participation.
- Agreement on information dissemination and communication strategy for all stakeholder groups.
- Agreement on a process for participation during implementation.
- Identify NGOs involved in resettlement or having potential to act effectively.

## 97.2 BENEFITS OF THE PARTICIPATORY PROCESSES

It is well known fact that at new location affected persons need to adopt a new lifestyle, which may be completely different from that of the original one. If the project is being implemented in an underdeveloped region there is possibility for the affected persons to get resettled in a better developed region or location. Situation may be completely different in other locations. Participatory processes that are used in planning and implementation help affected persons to understand the process of relocation better.

### **Advantages of integrating participatory processes into the project from its earliest stages:**

- Helps in identifying impacts of the project on affected communities.
- Assists in more accurate surveys and assessments of assets to be acquired.
- Identifies groups that are especially vulnerable to project impacts.
- Supports in formulation of resettlement options to meet the needs and capabilities of affected people.
- Brings to the fore existing modes of social organisation.
- Makes delivery of entitlement and services more transparent.
- Provides means of reaching consensus on issues not subject to technical solutions.
- Encourages greater acceptance of the resettlement and rehabilitation efforts. Also increases possibility of satisfactory operation of resettlement programmes in a sustainable manner.

Participation is a powerful mode for influencing people's perception and behaviour. In the context of resettlement, active participation of affected people in vital decisions helps in diminishing risk, aversion and perceptions of acute vulnerability. It also reduces dependency or reluctance to adapt to new surroundings.

### **Limitations of Participation:**

- Participatory processes can be time-intensive, expensive and logistically cumbersome.
- Participation often is designed to be minimal or formal. In other words, participation is treated as just one more step
- Participation does not always ensure collaborative decision-making and taking responsibility for decisions. Affected persons may fail to participate according to plan and may change their minds about resettlement options.
- Participation does not always ensure the proper interpretation of income restoration. Affected persons may choose income restoration options poorly or choose to favour maintenance of living standards over income restoration.
- Participation is frequently constrained by issues of representation. It is difficult to establish who can legitimately represent others; the desire to represent others may heighten conflict or impede attainment of better solutions.

Despite these limitations, experience suggests that participatory approaches are vital to the success of resettlement in practice.

## 97.3 STAKEHOLDERS OF THE PROCESS

Stakeholders are all those individuals and institutions affected by the process of resettlement. For defining and executing the processes all people and institutions associated with the project are also considered as stakeholders. For our understanding we can classify them into two main categories, direct and indirect stakeholders.

Those directly affected by a proposed intervention are clearly among the key stakeholders. They are the ones who stand to benefit or lose in the process of development and resettlement. These directly affected stakeholders are generally not difficult to identify and involve in participatory efforts. Besides them, there are many individuals or institutions involved in the process because of their technical expertise. Some of them may be linked in some way to those who are directly affected. Such stakeholders may include NGOs, various intermediary or representative organisations, private sector businesses and technical /professional bodies. Identifying and enlisting the right intermediary groups have proved tricky at times for Task Managers and in some situations turned out to be a process of trial and error.

A good way to identify appropriate stakeholders is to start by asking questions.

These questions are not an exhaustive list but rather a preliminary road map to identify stakeholders

- Who might be affected (positively or negatively) by the development projects?
- Who are the “voiceless” requiring special efforts to bring them into fore?
- Who are the representatives of those likely to be affected?
- Who is responsible for what is intended?
- Who is likely to mobilise in favour or against the project?
- Who can make what is intended more effective through their participation or less effective by their non-participation or outright opposition?
- Who can contribute financial and technical resources?
- Whose behaviour has to change for success of the effort?

## 97.3.1 Identification of Stakeholders

Stakeholders are those who have a direct interest in project development and who will be involved in the consultative process. This group includes any individual or group affected or seems to be affected by the project; and any individual or group that can play a significant role in shaping or affecting the project, either positively or negatively, including the host community. The first step in developing plans for consultation and participation is to identify the primary and secondary stakeholders (ADB Handbook, 1997).

### **Primary stakeholders include:**

- Project authorities (generally administrative and political leadership)
- Donor representatives (where applicable)
- Approving and implementing agencies
- Consultants
- Affected persons (covered by the RAP) and potential beneficiaries
- Local communities
- Host population at any planned resettlement sites
- Other government officials who have a direct interest in the project or who are in a position to determine project design and outcome
- NGOs and academic institutions with responsibilities to plan and implement resettlement.

**Secondary stakeholders** are those with an interest in the project outcome but who are not directly involved or affected; for example, national or local government, policy makers, advocacy groups and other NGOs. A stakeholder analysis helps to identify such persons.

## 97.4 SOCIO-CULTURAL ASPECTS OF THE RESETTLEMENT

Various losses incurred by the affected communities in any location of involuntary displacement, due to infrastructure projects, alter the age old socio cultural fabric of the society. It is the general impression that there is no possibility to maintain the same fabric at new location. However participatory processes can address the issues related to social and cultural life at the project site and can give efforts to provide similar setting at the new location. Such socio-cultural losses due to resettlement include:

- Loss of productive and other assets and livelihood dependent on the social ties
- Loss of housing, community structures and resources, habitats and sites
- The losses are severe in case of vulnerable people like indigenous communities, landless and poor as they are already isolated in pre-displacement location.
- Loss of traditions which are site specific e.g. sacred groves, sacred landscapes etc.

To address these losses and issues it is important to consider them in Resettlement plan. It could be accomplished through,

- Involving locals in the planning
- Special measures towards retaining the community structure
- Special efforts to provide alternatives to cultural elements and traditions like sacred groves, temples, etc.
- Preparing affected persons to operate in the new cultural settings through trainings, capacity building.
- Expressing the sensitivity about the socio-cultural norms of the affected persons or community within a hamlet or village while planning resettlement.

## 97.5 PARTICIPATORY IMPLEMENTATION

### 97.5.1 Process of Participatory Implementation at Site and Involvement of Displaced People

- a) **Participation in implementation** : In many projects, it is a good practice to enlist affected persons in actual implementation. Also the local institutions and representative organisations should be utilised. At the local administrative level, local organisations including NGOs accepted by affected persons often have a deeper understanding of local social and environmental conditions and may already enjoy the support of the affected population. Involvement of local institutions may also assist the PDHs in their adaptation of new environment. At the level of affected persons, providing incentives to involve them in reconstructing their own houses or hiring them to assist in preparing resettlement sites may facilitate greater local “ownership.” Once preparation of resettlement sites is over, incentives should be provided to encourage PAPs for maintenance of community services or facilities, including schools, water, sanitation facilities, and irrigation works.
- b) **Participation committees**: The quality of resettlement and rehabilitation depends on the quality of implementation. The quality of implementation, in turn, relies largely on supportive and responsive participation. A minimal step is to assure that project agencies charged with implementation of resettlement plans consult systematically with affected communities throughout implementation. Another method of increasing the support and responsiveness is to ensure that affected persons are represented in formal committees established for land valuation or purchase, grievance redress or for other purposes.
- c) **Participation in project monitoring**: RAPs, cleared by the project approving agency, should include mechanisms for systematic external as well as internal project monitoring. Monitoring team, if include representative from PAPs, is likely to provide project management more accurate reflections, reactions and perceptions of affected persons. Especially in projects with phased resettlement provisions, project managers can use feedback from initial phases of relocation or income restoration efforts to improve performance in subsequent phases.
- d) **Participation in evaluation**: In many projects, any ex-post project evaluation is likely to require some consultation with affected persons. An additional good practice is to involve affected persons in the planning and implementation of ex-post project evaluation, especially with regard to fundamental resettlement objectives such as restoration of income and living standards, especially if follow-up plans or remedial actions.



## 97.5.2 Key Action Points for RAP Implementation

While implementing the resettlement it is again important to recheck the decisions and involve people with more confidence in the process. These Key action points include:

- a) **Appraisal:** Verification of all the preparations for relocation
- b) **Negotiations:** Inclusion of any outstanding issue as condition before implementation of the resettlement or leaving the present location. Participatory processes used in this manner will help empower the displaced people to demand information on policy formation process.
- c) **Preparations at site:** For better living conditions in comparison to the present site it is required to initiate the infrastructure development at the relocation site well in advance .
- d) **Monitoring and Evaluation:** Implementation of monitoring framework has to be developed and followed in consultations with affected communities. It is also important to conduct the independent evaluation of the relocation performance to gain confidence of PAPs.

### **97.5.3 Special Efforts for Vulnerable Populations**

Vulnerable groups are those likely to be particularly disadvantaged as a consequence of resettlement. Generally the vulnerable groups are poorest, marginalised and devoid of any legal title to assets. This category also includes households headed by women of indigenous communities and other minorities. Preparations for measures to restore livelihoods and living standards require careful assessment of social and economic practices and close consultations with indigenous or other vulnerable groups. This is especially so where their social organisation, settlement and use patterns of resources, subsistence activities, cultural beliefs etc. differ from mainstream. Specific consultations and awareness generation are the key considerations to get their active participation and benefit sharing.

## Check Your Progress 1

- i) Briefly explain the importance of the participatory approach in resettlement.
- ii) Define stakeholders. Who are the stake holders for R&R?
- iii) What is the difference between primary and secondary stake holders?

## 97.6 LET US SUM UP

Important stages in the process of participatory resettlement providing benefits to the PAPs involve:

- Identifying various stakeholders who will be involved in planning and implementing resettlement.
- Preparing a plan for disseminating information to the stakeholders.
- Identifying participatory mechanisms to facilitate the consultation process.
- Preparing a detailed plan for consultation and participation.
- Identifying institutional and financial provisions for continuing consultations.
- Identifying the grievance redress framework, setting out the time frame and mechanisms for resolution of complaints.
- Information gathering: The preliminary information relating to affected persons will be gathered by a census survey. The census combined with an inventory of fixed assets will enumerate and verify the persons who will be affected and assets to be expropriated.
- Initial dissemination: After completion of the census and assets survey, the results and information must be disseminated.

The initial dissemination campaign should include the following information:

- Description and justification of the proposed project.
- Preliminary assessment of the proposed project's resettlement-related impacts.
- Awareness on laws, regulations and guidelines relating to the expropriation of assets.
- Procedures for assessing compensation,
- Time-table for displacement and relocation (if necessary).

## 97.7 CUES TO CHECK YOUR PROGRESS

### Check Your Progress 1

- i) Participation is a powerful mode for influencing people's perception and behaviour. In the context of resettlement, active participation of affected people in vital decisions helps in diminishing risk, aversion and perceptions of acute vulnerability. It also reduces dependency or reluctance to adapt to new surroundings.
- ii) Stakeholders are those who have a direct interest in project development and who will be involved in the consultative process. They include project authorities, donor representatives (where applicable), approving and implementing agencies, consultants, affected persons (covered by the RAP), potential beneficiaries, local communities, host population at planned resettlement sites and other government officials, who have a direct interest in the project. Similarly, national or local government, policy makers, advocacy groups, and other NGOs are also the stakeholders for R&R of the project.
- iii) Primary stakeholders are those who have a direct stake in the project outcome. They include project authorities, donor representatives (where applicable), approving and implementing agencies, consultants, affected persons (covered by the RAP), potential beneficiaries, local communities, host population at planned resettlement sites, other government officials who have a direct interest in the project.

Secondary stakeholders are those with an interest in the project outcome but who are not directly involved or affected; for example, national or local government, policy makers, advocacy groups, and other NGOs.

## **97.8 GLOSSARY**

<b>PAP</b>	:	Project Affected Persons
<b>ADB</b>	:	Asian Development Bank
<b>PRA</b>	:	Participatory Rural Appraisal
<b>RAP</b>	:	Rehabilitation /Resettlement Action Plan

## 97.9 REFERENCES

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