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PLANNED RELOCATION FOR COMMUNITIES IN THE CONTEXT OF ENVIRONMENTAL CHANGE AND CLIMATE CHANGE

A training manual for provincial and local authorities

International Organization for Migration (IOM)
The UN Migration Agency

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INTRODUCTION

Purpose of the Manual

Viet Nam faces widespread, significant risk of natural hazards, with risks expected to increase in the context of climate change. As well as threats to human safety and significant damage to homes, assets, and livelihoods, disasters can increase the risk of displacement for thousands of people in Viet Nam every year. Disasters and slow-onset environmental changes also interact with multiple other drivers that influence voluntary migration, which is often adopted as an adaptive strategy to respond to physical and economic impacts of environmental change. Migration can increase households' resilience to disasters and other shocks by diversifying livelihoods, increasing access to infrastructure and services, and reducing disaster risks. However, migration can also increase vulnerability, especially while households seek to re-establish livelihoods, access to resources, and social networks at their destination. Further, while spontaneous migration is an adaptive strategy for many households, the most vulnerable may lack the resources to move.

Planned relocation is the permanent, voluntary migration of people to a new location with the support of government policy or projects, which includes the reconstruction of communities' infrastructure, services, housing, and livelihoods at their destination (IOM, 2014:16). Where in situ adaptation is not possible, well-planned relocation can help to increase resilience and reduce disaster risk, and can support improved quality of life in rural areas. However, planned relocation is complex, and relocation outcomes are influenced by a range of interacting factors. Planned relocation is best considered as an option only where safe in situ adaptation or other options are not feasible. Where it is found to be necessary, planned relocation should be designed and implemented with careful attention to community needs, rights and aspirations in order to achieve the desired outcomes of reduced vulnerability and increased resilience.

This training manual provides guidance for province- and local-level leaders on the planning and implementation of relocation projects in the context of environmental change. The manual aims to provide a clear understanding of key concepts surrounding the complex issues of migration, environment, and climate change, as well as practical tools and guidelines for application in the local context in Viet Nam. The manual provides a community empowerment approach to planning and implementing relocation programmes at provincial and local level.

The manual draws extensively on the following reference materials[1]:

- A toolbox: Planning Relocations to Protect People from Disasters and Environmental Change (Georgetown University, IOM and UNHCR, 2017), hereunder referred to as the Toolbox.
- Migration, Environment and Climate Change: Training Manual (IOM, 2016)
- Planned relocation in the context of environmental change in Hoa Binh Province, Viet Nam: An analysis of household decision-making on relocation and related outcomes (IOM and Institute of Sociology, Ha Noi, 2017)
- Migration, Resettlement and Climate Change in Viet Nam. Reducing exposure and vulnerabilities to climatic extremes and stresses through spontaneous and guided migration (United Nations Viet Nam, 2014)

[1] Including excerpts from these materials, where relevant. With kind authorization by the organizations involved, especially Georgetown University.

How to use this manual

This manual can be used as a self-learning tool, or as a facilitator's guide to prepare and conduct face-to-face training workshops. It covers ten topics, grouped into four modules. Case studies and notes provide additional information and references on key topics and exercises. Active learning tools and discussion questions are provided throughout the manual to encourage practice-based learning. Activities and discussions can be facilitated by trainers in face-to-face training workshops, or used for self-directed study. Annexes with additional information are provided as training aids for both facilitators and participants.

This training manual is designed to cover 15 hours of training in a 2.5-day training session. The ideal duration for each topic is 90 minutes, including 40 to 60 minutes for group activities.

Given the complexity of the topic, this manual should be considered a working document, which can be further developed. It is hoped that the manual will be updated with feedback from training participants, as well as with new evidence and best practices on planned relocation as they are developed.

Target audience

The training manual is intended for provincial and local authorities with operational roles in planning and implementing planned relocation in the context of disasters, environmental change and climate change.

The activities in this manual are intended for a training workshop of approximately 20 participants; however, activities can be modified to suit smaller or larger groups.

MODULE 1

The migration, environment and climate change nexus

Haiti, Savanne Dèsolèe. Drought at the Savanne Dèsolèe considered to be the largest desert area of the country.
© IOM 2015 (Photo credit: Alessandro Grassani)

Description:

This module provides concepts, terms and theories to understand the migration, environment and climate change nexus. It explores the complex links between migration, environment and climate change from the international level to the household level. Participants then discuss the process of decision-making on migration at the household level. The last topic of this module will focus on planned relocation – a particular form of migration – as an adaptive response to natural hazards and climate change.

TOPIC 1.1
The migration, environment and climate change nexus

Objectives:

- Describe the migration, environment and climate change nexus
- Understand the key terminology used in the context of environmental migration
- Discuss the key characteristics of environmental migration

Workshop activities

Activity 1.1. Exploring the links between migration and the environment

Activity use: Introduction to environmental changes and events, migration and varying responses to change.

Type of Activity: Brainstorming

Instructions: Before beginning the module, divide the class into small groups, and assign one of the following questions to each group. Allow 10 minutes for discussion, then invite each group to present to the class the outcome of their discussion and ask other groups to add any additional points, to produce a list of answers or examples for each question.

1. What are the short-term and long-term environmental changes or events you can observe in Viet Nam?
2. What are examples of all the different strategies that people use in Viet Nam to respond to environmental changes that affect their lives?
3. In Viet Nam, when people leave their home, why and how do they do it – is it long-term, short-term, or seasonal? Is it over short or long distances? For what purposes do they leave?

Debrief: Complete the content of Module 1. At the end of the module, review the lists that the groups produced during the brainstorm and discuss the following questions:

- Are any of the environmental changes identified in Question 1 leading to, or playing a role in, migration (link with Question 2)? Is it forced or voluntary? Discuss why/not and encourage participants to consider how multiple drivers at different levels might interact with environmental changes.
- Looking at the list of types of migration and reasons for migration identified in Question 3 – are any of these examples of environmental migration? Discuss why/not and encourage participants to consider environmental factors as direct and indirect drivers.

1.1.1. Definitions and terminology

Migration is defined by IOM as "the movement of a person or a group of persons, either across an international border, or within a State. It is a population movement, encompassing any kind of movement of people, whatever its length, composition and causes; it includes migration of refugees, displaced persons, economic migrants, and persons moving for other purposes, including family reunification" (IOM, 2011:62–63).

The term "**nexus**" is often used to describe the connections between migration, environment and climate change, because it conveys the idea of multiple linkages between a set of interrelated factors. There are several types of migration and multiple environmental factors that can affect migration, in both source and destination areas. The relationship can also operate in the other direction, when migration impacts the environment and shapes how the effects of environmental change are experienced, in source and destination areas.

These issues are also affected by, and influence responses to, climate change. While environmental changes have been a factor in human movements throughout history, climate change is contributing to and accelerating changes that can affect migration. There is now little doubt that parts of the earth are becoming less habitable due to factors such as **climate change**, deterioration of agricultural lands, desertification and water pollution (Foresight, 2011). The number of disasters occurring globally each year has more than doubled over the last two decades. Slow processes of environmental change and slow-onset hazards, like drought, are expected to have even greater impacts on human mobility in the long term. Climate change could have a major impact on the movement of people, often by exacerbating existing processes of environmental degradation. The term nexus is therefore used to discuss and analyse the connections between these related issues.

Environmental influences, or drivers, of migration can take many forms. While events and changes in the environment are not always negative, this manual focuses on those that have potentially negative effects on lives and livelihoods. Environmental influences on migration can be grouped into two broad categories: environmental events and environmental change:

- **Environmental events,** including disasters, can be sudden-onset (like typhoons, landslides, or flooding) or slow-onset, occurring over weeks or months (like drought). Some disasters can be man-made, while others relate to natural hazards. Often, disasters are the result of natural hazards that are exacerbated by human actions. This manual will focus on disasters that are linked to natural hazards and climatic changes.
- **Environmental change** or environmental processes take place over long time-scales – usually decades or longer – such as sea-level rise and desertification.

Climate change is expected to exacerbate the frequency and intensity of disasters, and to exacerbate or accelerate slow-onset environmental change, although specific impacts will vary across regions and continents.

IOM (2011) uses the term **"environmental migrant"** to describe: "Persons or groups of persons who, for compelling reasons of sudden or progressive changes in the environment that adversely affect their lives or living conditions, are obliged to leave their homes or choose to do so, either temporarily or permanently, and who move either within their country or abroad." This is a broad term to cover all types of movement, whether forced or voluntary, temporary or permanent, internal or international. It also recognizes that environmental drivers of migration can be direct and indirect, and form one of multiple factors that influence complex decisions around migration.

1.1.2. Recognizing environmental migration: forced, voluntary, temporary or permanent?

There is some debate about whether environmental migration should be considered **forced or voluntary**. Terms like "environmental displacement", "environmentally displaced person", or even environmental or "climate refugee" are used to refer to people whose migration is characterized as forced by environmental factors. However, people may use mobility as a response to environmental stressors in diverse ways, meaning that even migration decisions that are more voluntary may be driven partly by environmental factors. It is more appropriate to consider migration along a continuum from forced to voluntary–some movements are clearly forced, while some are clearly voluntary, but the majority lie in a grey zone between the two. The timing of migration and the type of environmental change can be a key factor in whether migration is more forced or more voluntary. For example:

- Movements caused by sudden-onset events like landslides are often characterized as forced when people are physically displaced. But other types of migration can also occur in response to these events: one family member may migrate for work in the months after the disaster, as a strategy to cope with the loss of income caused by loss of land or crops. Remittances from the migrant family member may enable the rest of the family to stay in the affected area. Is this kind of migration forced or voluntary?
- Sea-level rise may, in some cases, result in inundation of homes and farmland, but in most cases the effects will be seen gradually over time, through processes such as coastal erosion and salinization of groundwater sources. Similarly, the effects of rising temperatures will, in most cases, take place over long timescales spanning decades, slowly eroding the viability of livelihoods in some places. In such cases, many people are likely to choose to migrate as they see conditions worsening. They may choose to move many years before the final "tipping point" at which their location becomes completely uninhabitable and migration is unavoidable. Should this migration be considered forced or voluntary?

These examples highlight that people may adopt some type of migration as a voluntary response to environmental factors, particularly when environmental stressors worsen over time, or environmental changes can be predicted. People who have more resources are more likely to move voluntarily before problems worsen, while households with fewer resources may be more likely to wait until there is no alternative and movement is more forced.

Thus, 'environmental migrant' may describe persons whose migration due to environmental factors is voluntary or forced, while the term "**people displaced in the context of disasters and/or climate change**" is used when movement is of a clearly forced nature due to disasters and/or climate change. Terms such as "**environmental refugee**" or "climate [change] refugee" are sometimes used to describe those who are displaced across an international border. However, as the term 'refugee' has a specific definition under international law which does not include environmental displacement, there is no basis in international law to class environmentally displaced persons as 'refugees'.

Migration in response to environmental events is often **temporary**, meaning that people may move for a period of days, weeks, or months, but return to their place of origin. Temporary migration may happen only once, or may be done regularly, such as in seasonal migration. Seasonal migration is a common form of environmental migration in areas that experience natural hazards on a predictable, manageable basis (such as the annual cyclone season). Seasonal migrants may move for a period of weeks or month every year in response to annual, seasonal environmental conditions, but return each year to live in their place of origin. Even after unexpected disasters, most environmental migrants prefer to return to their homes if conditions allow safe, sustainable return (including sustainable livelihoods). Nonetheless, considerable support for rehabilitation and recovery is often needed to enable safe return.

! Note 1. Viet Nam as one of the top countries most affected by disaster

The Climate Risk Index produced by Germanwatch indicates levels of exposure and vulnerability to extreme events. Viet Nam ranks eighth out of the ten countries most affected by disaster from 1996 to 2015 (Table 1). It reflects Viet Nam's high exposure to natural hazards and the significant loss and damage caused by extreme events.

Table 1. The Long-Term Climate Risk Index (CRI): the 10 countries most affected from 1996 to 2015

CRI 1996–2015 (1995–2014)	Country	CRI score	Death toll	Deaths per 100, 000 people	Total losses (million US$ PPP)	Losses per unit GDP (%)	No. events (1994–2013)
1 (1)	Honduras	11.33	301.9	4.36	568.04	2.1	61
2 (2)	Myanmar	14.17	7,145.85	14.71	1,300.74	0.737	41
3 (3)	Haiti	18.17	253.25	2.71	221.92	1.486	63
4 (4)	Nicaragua	19.17	162.9	2.94	234.79	1.197	44
5 (4)	Philippines	21.33	861.55	1	2,761.53	0.628	283
6 (6)	Bangladesh	25	679.05	0.48	2,283.38	0.732	185
7 (8)	Pakistan	30.5	504.75	0.32	3,823.17	0.647	133
8 (7)	Viet Nam	31.33	339.75	0.41	2,119.37	0.621	206
9 (10)	Guatemala	33.83	97.25	0.75	401.54	0.467	75
10 (9)	Thailand	34.83	140	0.22	7,574.62	1.004	136

Source: Kreft, Eckstein and Melchior, 2016. Available at: https://germanwatch.org/de/download/16411.pdf.

Permanent migration is more likely in the context of slow processes of environmental degradation, such as sea-level rise and desertification, or as an adaptive response to frequent, damaging disasters. Environmental degradation and/or repeated disasters can impact severely on households' livelihoods or safety, leading to more permanent migration. In some cases, temporary or circular migration can be a precursor to more permanent migration, since temporary movement is a common coping strategy during the early stages of environmental degradation, which may be followed by a permanent move as conditions worsen.

The majority of environmental migration takes place within national borders (**internal migration**). In the case of disasters, studies have shown movements to be local. For example, 88 per cent of migrant agricultural communities in Bangladesh were found to remain within two miles of their previous residence following the erosion of land and loss of homes due to flooding (Zaman, 1989). This can be because there is no need to move further (for instance, to be safe from the path of a cyclone) or because family support networks are nearby. In other cases, when distant destinations might be more desirable, the cost of longer-distance migration may be prohibitive. Where movements do involve crossing an international border ("**cross-border migration**"), the majority of movements are to neighbouring countries, as observed in response to drought in West Africa (Findley, 1994). International migration across continents is beyond the financial reach of most environmental migrants.

! Note 2. Risk of population displacement due to disasters in South-East Asia

A recent assessment found widespread high risks of displacement due to disasters in South-East Asia and China, in part exacerbated by increasing density of populations in dangerous areas. There are significant differences among countries in the region, since risk of displacement depends not only on exposure to hazards, but also on the vulnerability of exposed populations, risk mitigation infrastructure, and capacity to respond to extreme events. As a result, the risk of displacement is lowest in Singapore despite high population density, with one person per million at risk of displacement, and highest in Laos at 7,016 people per million. Viet Nam has the fourth-highest risk of population displacement in the region, at 4,030 people per million, a product of both high exposure to extreme events and vulnerability of exposed populations (Lavell and Ginnetti, 2014). From June 2013 to the end of 2015, approximately 1.1 million people were displaced by disasters in Viet Nam (IDMC, 2017). Further, it is estimated that approximately 365,000 people may be at risk of displacement by natural disasters every year (Lavell and Ginetti, 2014).

1.1.3. Vulnerability and resilience

Vulnerability and resilience are two key concepts in understanding environmental migration and response to environmental events and changes. In the context of environmental stressors and their impacts on human populations, vulnerability and resilience can be considered as two ends of a continuum. Vulnerability relates to how susceptible a household, community, or group is to harm from a hazard, and the degree of negative impact they may experience as a result. Resilience relates to the capacity to cope with and "bounce back" from the impacts of environmental stressors, by drawing on environmental, social, economic, and human resources. Resilience includes the ability to adapt or respond to unexpected negative events. Vulnerability and resilience are influenced by physical, social, economic and political factors – so levels of resilience and vulnerability may differ between households in the same place, or communities in the same region.

- At the country level, low-income countries are generally more vulnerable than industrialized countries. This can be seen in the proportionately higher levels of mortality caused by natural hazards, and higher proportions of people at risk of displacement from disaster (see Note 2). This higher vulnerability is the result of diverse factors, notably the inadequacy or absence of disaster risk reduction plans, or insufficient funds to implement them.
- Vulnerability also varies at the community level, for example between lower-income and wealthier groups–these groups have different levels of financial resources to protect themselves from the impacts of disaster or to evacuate from places at risk. Among those who are able to move, they may differ in their access to financial resources to enable them to return to their place of origin. Another example of differences in vulnerability is in livelihoods and assets. For example, a household that has poor-quality housing or is entirely dependent on a small income from agriculture may be more vulnerable to severe negative impacts from disaster than a household that has a well-built house and diverse sources of income. They are likely to have more difficulty recovering from the negative impacts of environmental events. It is important to note that migration can be a coping strategy for vulnerable households that have few resources to cope with disaster, but in some cases the most vulnerable may lack the resources to move to safety.
- Vulnerability can also vary within households, as unequal social responsibilities and access to resources within populations can contribute to increased vulnerability for certain social groups. Gender has been identified as one common differentiator (see Note 3). For example, in cultures where women tend to be the primary caregivers for young children, the elderly and the ill, the mobility of women as well as those in their care might be greatly restricted when an environmental event occurs, making them more vulnerable to adverse impacts.

Mobility can also contribute to greater resilience, particularly when planned in advance. Studies have shown how households plan the migration of a family member as a way of diversifying income and thereby mitigating risks from environmental stressors. Remittances can allow a family to stay longer in their community and invest in livelihood adaptation to cope with environmental pressures. They can also increase resilience at the community level, in places where outmigration is widely used as a coping or adaptation strategy. Outmigration can also decrease pressure on household consumption and environmental resources during times of low crop yields or crop failures.

Case study 1. Hurricane Katrina 2005: the criticality of planning evacuations for vulnerable populations

Several studies of the displacement caused by Hurricane Katrina in the United States in 2005 found that residents from poorer neighbourhoods in New Orleans (notably African-American) were more affected, were slower to move to safety, and were less likely to return later. Hurricane Katrina provided a clear example of the critical importance of planning evacuations for vulnerable populations (Laska and Morrow, 2007). Evacuation planning on the United States' "hurricane coast" had, until Katrina, assumed that: (a) people have the financial means to evacuate; and (b) people have access to private transport. In New Orleans, more than a quarter of residents in the central city area did not have access to a car and lived on monthly wages. Since Katrina struck towards the end of the month, this meant many of these residents had little money available for evacuation. As a result, lower-income groups were disproportionately affected by Hurricane Katrina (Foresight, 2011:14). The disparities were also evident among those who were able to move. More affluent households' movement was more voluntary, with some eventually returning. On the other hand, among the lower-income group, fewer returned to New Orleans and more were displaced permanently or for long periods as they lacked the financial resources to return (Foresight, 2011).

Note 3. Gender, vulnerability and the impact of migration

The different social roles and responsibilities of women and men can affect their mobility and vulnerability to environmental risks and changes.

Studies have demonstrated that in some places women are more vulnerable to disasters and environmental change, and face more constraints on their mobility during or after an extreme event. Research shows that in places where gender inequality is higher, fatality rates in disasters can be significantly higher for women and children (Neumayer and Plumper, 2007). Aguilar (2004) found that women and children accounted for 90 per cent of flood-related deaths in Bangladesh. This is because gender roles can lead to:

- Unequal access to information such as early warnings and evacuation plans: In Bangladesh, men usually participated in public meetings where disaster information or evacuation warnings were communicated, but as women remained at home, they did not receive the same disaster information
- Unequal access to education: In Sri Lanka, cultural norms mean women typically do not learn to swim or climb trees, which was a major survival factor during floods;
- Constraints on women's mobility: In many societies, women are responsible for taking care of children and elderly family members. During and after disasters, this can limit women's mobility to escape from disasters.

- Social expectations about women's behavior: In some cultures, women face stigma or harassment in public places if they are not accompanied by a male family member. During a disaster, this can mean that women may wait longer to evacuate, or are reluctant to stay in a disaster shelter without a male family member.

The impacts of migration can also differ for women and men, and it is important to consider the different ways that migration can affect vulnerability for both females and males. Temporary migration by male heads of household, a commonly observed coping strategy, can result in increased vulnerabilities for women staying behind. This may include vulnerability to the impacts of the environmental risks that led to migration of the male head of household, or the vulnerability of a lone woman to harassment or abuse. Women staying behind may also have to bear an increased workload, especially in rural areas, as they become responsible for performing work previously undertaken by the man, in addition to her existing responsibilities. In cases where women migrate, men who remain behind can be impacted by changes in household roles, and may face social stigma as they take on responsibilities previously performed by women.

Gendered migration patterns can also lead to different risks for men and women during the migration process. Male migrants, who are more likely to take jobs in construction, transport, or agriculture, can face increased vulnerability and health risks due to harsh work conditions and separation from families. Women may be at greater risk of harassment or gender-based violence when living away from their family, or at risk of exploitation due to roles in informal, private contexts like domestic work (Jones and Tran, 2010).

Key messages

- **Environment, climate change, and migration are interconnected** – "nexus" refers to the ways that these issues are linked and affect each other in multiple, complex ways.
- IOM (2011) uses the term "environmental migrant": "Persons or groups of persons who, for compelling reasons of sudden or progressive changes in the environment that adversely affect their lives or living conditions, are obliged to leave their homes or choose to do so, either temporarily or permanently, and who move either within their country or abroad." This is a broad term to cover all types of movement, whether forced or voluntary, temporary or permanent, internal or international.
- Migration can be influenced by rapid-onset events, like disasters, and slow-onset environmental changes. These events and changes can lead to environmental migration, which can fall on **a continuum from voluntary to forced,** and can be **temporary or permanent.**
- **Vulnerability and resilience** are key factors that influence environmental migration, by affecting people's susceptibility to harm or ability to cope with change – before, during and after migration. Vulnerability and resilience can be affected by gender, income, access to information and a range of social, economic, and political factors. Levels of vulnerability and resilience differ within households, and between households, groups and countries.

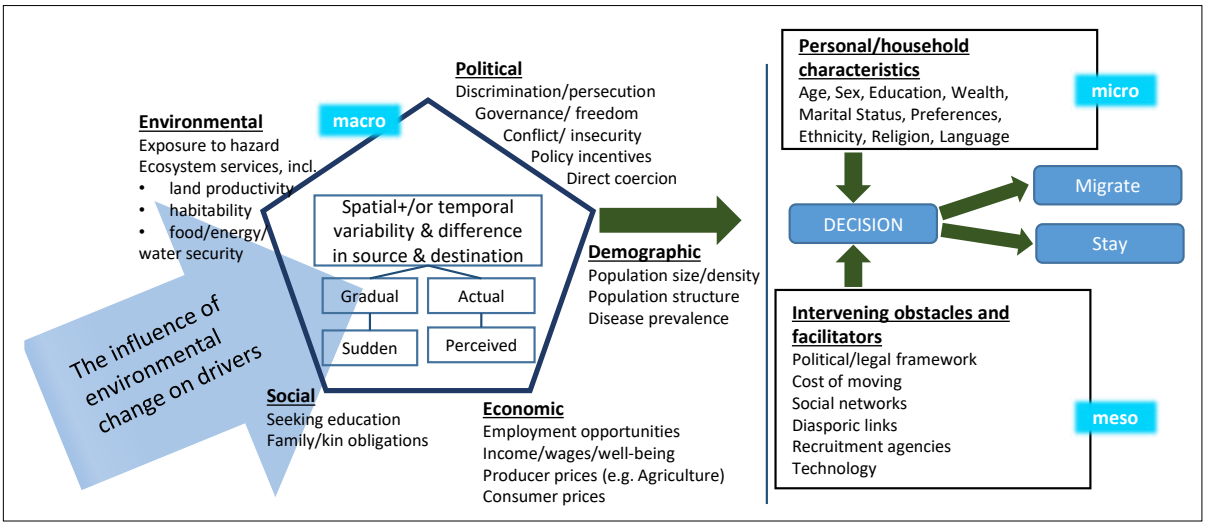
TOPIC 1.2
Migration drivers and the decision to migrate

Objectives:

- Describe the different drivers impacting the migration decision, especially in the context of environmental change
- Review examples from local communities
- Discuss related gender concerns and constraints

With regard to migration decisions, Black et al. (2011) identified three levels of drivers: macro-, micro- and meso-level drivers (Figure 1). The decision to move or to stay is normally made at the household or community level. However, decisions about whether, when, where and how to migrate, as well as the outcome of migration, are influenced by the interplay among multiple factors at these three different levels.

Figure 1 – An analytical framework of the impacts of the environment and economic, political, social and demographic factors on migration



Source: Black et al. (2011).

1.2.1 Migration drivers at the macro-level

Diverse influences on migration at the macro-level are grouped into five categories: environmental, economic, demographic, social and political. While the link between **environmental factors** and migration was discussed in Topic 1, this framework highlights how these interact with four other types of drivers, and can have an indirect influence on migration by affecting other drivers.

i. **Economic factors** are often key to migration decisions. Higher wages or more stable income may "pull" migrants to a destination area. In areas facing high unemployment (or underemployment), the existence of job opportunities in a destination area constitutes an extremely strong "pull" for migration. When environmental events or changes affect household incomes, this can affect the economic drivers of migration.

ii. **Demographic factors** include population size, density and structure. Historically, high birth rate, population density and related pressure on finite land and other resources have been associated with high outmigration. Population age structure can have a significant effect; in particular, places experiencing a "youth bulge" – a high proportion of young people - are likely to be sources of migration due to insufficient land/ employment opportunities, while those with ageing populations potentially create a demand for migrants to provide labour and services. Demographic factors can increase the pressures caused by environmental stressors, or increase the 'pull' factor of migration as a response to environmental change.

iii. **Social factors**, such as a lack of adequate educational opportunities, can lead to migration – both internal and international. Cultural norms and expectations can promote migration, such as cultures in which migration is considered a "rite of passage" for young people. However, in general, they are more likely to constrain migration, such as gender norms which make it difficult for women to leave their traditional role in the household. Environmental changes can indirectly affect social drivers of migration; for example, natural resources scarcity can exacerbate an existing conflict between neighbouring groups.

iv. **Political factors** can be extremely diverse and complex. Broadly speaking, poor governance can result in typical drivers of migration, such as conflict, persecution and poverty, while good governance is likely to reduce migration. However, political factors that encourage migration are not necessarily negative. Good governance can lead to increased migration – indeed this could be a policy aim with benefits for origin and destination communities. Policies specifically targeting mobility can be very important. Policies can be designed to limit migration (such as regulation of internal movement, quota systems for immigrants) or promote movement (for example, special economic zones to attract migrant labour, bilateral labour migration agreements). Policies designed to respond to environmental change can also affect migration drivers in different ways. For example, subsidy policies that help farmers respond to the impacts of drought or adapt to climate change may reduce migration pressures, or policies to protect state land from degradation may reduce access to resources for some households, which can influence migration decisions.

1.2.2. Migration drivers at the meso-level: intervening obstacles and facilitators

The **meso-level** refers to intervening obstacles and facilitating factors, which do not, by themselves, push or pull people to migrate, but which can have a major influence on the feasibility of migration. They can be considered as factors that shape how macro-level drivers affect migration decisions at the household or individual level.

i. Social/migration networks

The existence of social/migration networks is often a key facilitating factor. Networks are often based on extended family, community, ethnicity or nationality. They can operate within countries (facilitating internal migration) or internationally, such as the "diaspora" networks linking those who have settled abroad with their home country. Networks facilitate access to information (such as job openings and cost of living) in destination areas, and in some cases direct assistance with employment, accommodation and language/integration-related challenges.

ii. Physical distance

Physical distance between source and potential destinations may hinder migration in a number of ways. However, it cannot be assumed that distance alone will determine the migration destination, due to the importance of contextual factors such as social networks or immigration policies, which may encourage or enable longer-distance migration. It is nonetheless a relevant factor in the context of environmental migration, with many of the areas most exposed to environmental stress being located in remote locations such as mountain ranges and drylands. Remoteness may mean the absence of transport links, high

cost of transport (see below) and lack of information on potential destinations, which can represent barriers to movement and lead to more short-distance migration.

iii. Cost of moving

This can be a significant factor. High costs may be linked to a number of factors such as: physical distance to potential destinations, transport infrastructure and options, costs payable to recruitment agencies/middlemen and cost of accommodation/food/services in the destination area. In case of permanent outmigration, insecurity of tenure (land, housing) can constitute a major potential cost. Costs can also include social costs, such as the loss of family or personal networks, or socially determined access to resources, which can be significant both for personal well-being and for livelihoods.

iv. Recruitment agencies/informal brokers/people/smugglers

The existence of recruitment agencies and middlemen can facilitate migration, providing information on job opportunities, destinations and administrative procedures. However, the cost may be high or prohibitive, and in the case of irregular migration across international borders, the use of brokers presents high risks of exploitation, trafficking, and possible detention and deportation.

1.2.3. Migration drivers and decision at the micro-level: personal/household characteristics

Micro-level factors influence mobility outcomes in important ways. The micro-level includes permanent individual or household characteristics such as gender, ethnicity and language, as well as changing characteristics such as age and wealth. Migration in the context of environmental stressors often takes the form of temporary labour migration by specific members of the household. Cultural norms such as gender roles can strongly influence the conditions under which a person within a household migrates, as can age and marital status. Individual characteristics must therefore also be seen within the context of household composition and local cultural norms. Where a household migrates together, due to either slow environmental changes or displacement by disaster, household wealth (financial capital) is a key variable in the necessity and feasibility of migration, as well as the conditions under which the household migrates. The social network of an individual/household may also facilitate migration; for instance, previous or current migration by a family member(s) or friend in a potential destination can be an important source of information and support. Other household characteristics such as language, ethnicity, family size and livelihood are also important factors that affect migration decisions and destinations. Micro-level characteristics such as ethnicity, education, or social position may also condition the way in which people perceive and make decisions about macro-level factors.

! Note 4 – Gender and the migration decision

Women are generally less likely than men to migrate as part of household coping or adaptation strategies in response to environmental change. This is often due to cultural constraints on the migration of women, such as:

- Negative attitudes towards employment of women, or to women living independently outside the household ("woman's place is in the home" and so forth)
- Gender roles in which women bear responsibility for domestic and caring duties, such as raising children, with the expectation that they should remain at home to do this work
- The work available elsewhere is not considered culturally suitable for women

However, while it is still less common than migration by a male family member, in some cases the household decides that a female member will migrate, normally because the work opportunities available are considered to be women's roles. For example, in Viet Nam, the growth of garment manufacturing and demand for domestic services in urban areas has seen an increase in the number of women migrating from rural areas to support their families, as these jobs are seen as more suitable for women.

Women who do migrate may face stigma, for example, the perception that they have 'abandoned' their family responsibilities by taking a job away from home. Men who remain behind when their wife migrates may also face negative social attitudes for taking on childcare responsibilities or because they are not the main income earner of the household.

Migration can also have positive impacts on gender equality, by facilitating women's economic participation and empowerment, as well as impacts of remittances earned by women, which are more likely to be invested in things like education and health care. For example, in some low-income households, the education of boys may be prioritized over that of girls, but remittances can provide sufficient income for both sons and daughters to go to school.

Workshop Activities

Activity 1.2 – Should I stay or should I go?

Activity use: Understanding households' priorities and concerns with regard to migration decision

Type of Activity: Practical application

Instructions:

- Divide the class into small groups.
- Read the following scenario to the groups:

  "Your community just experienced a devastating flood and you will need to decide whether to remain or move elsewhere. There are no good schools or jobs in nearby relocation places. Staying could mean sickness and disease from the damage and devastation to sewage systems and poor infrastructure. Many families have lost their house and cropland. The level of government support for rebuilding or for relocation is unknown at this time."
- Ask each group to develop a list of questions households will need to ask themselves when considering migrating or staying? Encourage discussion to explore the full range of questions households would need to consider – services, livelihoods, economic/natural resources, social impacts, political/administrative factors
- Each group presents their list (there is no need to repeat points already stated by previous groups).

Debrief: Discuss the following questions:

- In this situation, what are your priorities as an individual? As a community? How would you find information to answer the most critical questions?
- How can project planning and implementation be improved by understanding the needs and wants of households?

Activity 1.3 – Gender patterns in your community

Activity use: Reflection on gender roles and concerns, and identify potential actions that can be undertaken at the local level to address gender issues.

Type of Activity: Practical application

Instructions:

- Introduce **Note 3** and **Note 4** on Gender.
- Divide the class into small groups, and ask groups to discuss the following questions. Ask one of the groups to present their findings and other groups to share additional ideas or comment.

  1. What are the different roles of men and women in households in your local community/context?

  2. What are all the gendered roles and constraints identified in the Notes on Gender?

Debrief: Discuss the following questions:

- How might gender issues in your community affect migration or vulnerability?
- What can the local authorities/communities do to you meet these challenges?

Key messages:

- Migration decisions are influenced by a range of factors at the macro-, meso- and micro-levels, including environmental, political, social, demographic, and economic drivers, along with personal and household characteristics, and intervening or enabling factors which affect if, when, where, and how people migrate.
- Environmental factors can be a direct or indirect driver – it can directly affect decisions, but can also have an indirect influence, by affecting other factors.
- It is important to understand how migration decisions are made within the household in the context of these drivers, and how social positions and roles – particularly gender – can affect individual and household migration decisions.

TOPIC 1.3
Planned relocation as an adaptation strategy to environmental events and change: concepts, principles and the legal framework

Objectives:

- Understand the definitions and basic principles of planned relocation
- Discuss the importance of having and following a legal framework

1.3.1. Planned relocation

Households experiencing or at risk of disasters may adopt a variety of strategies to mitigate risk or adverse impacts on their assets, livelihoods, and security. While this may include in situ adaptation, temporary and permanent migration is also a common strategy to minimize damage, maintain livelihoods and improve security. However, migration can itself be a source of challenges, and the most vulnerable people may lack the resources to move. Planned relocation, as a particular form of migration, has the potential to reduce vulnerability as households are supported to relocate to more secure areas while challenges of the migration process are mitigated.

"Planned relocation" is defined as a planned process in which persons or groups of persons move or are assisted to move away from their homes or places of temporary residence, are settled in a new location, and provided with the conditions for rebuilding their lives (Georgetown University, IOM and UNHCR, 2017). It is a highly complex undertaking that, if not planned and implemented carefully, can result in the loss of land, housing and livelihoods as well as the breakdown of social and economic networks. Because of the potential for adverse impacts, planned relocation should only be considered after mitigation and adaptation options have been explored. If planned relocation is found to be necessary, it is critical that relocation is planned and implemented to ensure the protection of the rights of all stakeholders in the process.

Planned relocation is carried out under the authority of the State, takes place within national borders, and is undertaken to protect people from risks and impacts related to disasters and environmental change, including the effects of climate change. Planned relocation may be carried out at the individual, household, and/or community levels (Georgetown University, IOM and UNHCR, 2017).

1.3.2. Legal frameworks

Relocation can be challenging, particularly where large numbers of households are at risk. Planned relocation schemes globally have shown mixed outcomes, and in many cases, well-being of households has declined and socioeconomic vulnerability increased as a result of relocation. If not implemented carefully, relocation can also create or exacerbate environmental stressors and risks in destination areas, leading to increased vulnerability. Further, the implementation of planned relocation schemes can often span decades, which can mean the involvement of successive governments, divergent political priorities, and, potentially, multiple changes in policy. For these reasons, a clear, coherent, and comprehensive legal framework which outlines conditions, entitlements, and responsibilities, and incorporates human rights principles, is important to help ensure that the initial decision on relocation and subsequent planning and implementation, are carried out in accordance with national laws and policies. Importantly, it can also ensure that the execution of these stages of planned relocation remain aligned with the original

objectives, and vision. In this sense, establishing and complying with an appropriate legal framework throughout the planned relocation experience is critical.

Some States may have adopted specific laws on planned relocations, which provide a framework. Others may have general laws that could be applicable, but these may need to be reviewed to determine their appropriateness, limitations and gaps when applied to planned relocation. For other States, new laws may be needed. In all cases, ideally, the legal framework is established before there is an urgent need to undertake planned relocation. Establishing a legal framework in the context of intense time pressure, including as a reactive measure to disasters, can lead to shortcuts and oversights that can result in harm and rights violations. Increasingly, legal preparedness is seen as an essential component of disaster risk reduction.

1.3.3. Principles of planned relocation

Many planned relocation projects have been carried out around the world in recent decades for several reasons, including development projects and environmental risks. These experiences have shown that planned relocation can create challenges and adverse effects. However, in some circumstances where adaptation and risk reduction at the place of origin are not possible, planned relocation may be necessary. Careful attention to some key principles and lessons learned from previous relocation experiences can provide guidance to ensure that where relocation is necessary, it is implemented in such a way as to improve resilience, reduce disaster risks, and offer an effective adaptation to environmental change or disaster.

Best practices in planned relocation have been gathered through consultation and research with government actors, international organizations, and a wide range of experts. They cover several stages of planned relocation: development of institutional frameworks, assessing the need for planned relocation, and planning, implementation, and monitoring of relocation schemes. Identifying good practice throughout these stages aims to provide a framework for effective planned relocation that can:

- Protect the rights, safety and dignity of affected people
- Avoid or reduce vulnerability to adverse outcomes for affected populations
- Ensure efficiency and effectiveness of planned relocation as an adaptive strategy

! Note 5. The Toolbox's basic principles of planned relocation[2]

1. Before deciding on planned relocation, other potential actions should first be explored to increase communities' resilience or ability to adapt. Planned relocation shall be undertaken only when no other reasonable in situ disaster risk-reduction or climate change adaption options are possible, and based on voluntary participation by affected communities.
2. States must have compelling reasons and robust evidence, that planned relocation is necessary, and a sound legal basis to undertake relocation.
3. States should ensure sufficient and sustainable funds for planned relocation.
4. Planned relocation is undertaken for the benefit of Relocated Persons; it should be done in a way that respects and protects their rights and dignity.
5. States bear the primary responsibility under international law to respect, protect, and fulfill the human rights of people within their territory or subject to their jurisdiction. This includes the obligation to take action to prevent the violation of human rights of people in their territory, and to actively assist those whose rights have been violated.

[2] For terminology used in materials extracted from the Toolbox, refer to Annex 1: The Toolbox's checklists - Terms and definitions

6. Persons or groups of persons at risk of, or affected by, disasters and environmental change should have the right to request planned relocation, as well as the right to challenge planned relocation before a court of law.

7. Planned relocation should be carried out within a rights-based framework that safeguards both individual and collective civil, political, economic, social, and cultural rights of Relocated Persons and Other Affected Persons throughout all phases. The rights to self-determination, preservation of identity and culture, and control of land and resources are important, particularly for indigenous communities.

8. Relocated Persons and Other Affected Persons should be informed, consulted, and enabled to participate in decisions on whether, when, where, and how a planned relocation is to occur, as appropriate.

9. The agency, resilience, and empowerment of Relocated Persons should be recognized, promoted, and enhanced throughout a planned relocation.

10. The specific rights, needs, circumstances, and vulnerabilities of Relocated Persons and Other Affected Persons, as applicable, should be taken into consideration and addressed in all phases of a planned relocation. These specific rights, needs, circumstances, and vulnerabilities, may be linked, inter alia, to:
    a. demographic characteristics (like age or ethnicity) and health characteristics;
    b. socio-economic characteristics (e.g., poverty status, literacy levels, or occupation);
    c. membership of a marginalized group;
    d. special dependency on, and/or attachment to, land or local/localized resources/opportunities (e.g. indigenous groups);
    e. direct and indirect impacts of disasters or environmental change;
    f. or prior experiences of displacement.

11. Planned relocation should provide opportunities and conditions to:
    a. enable Relocated Persons to improve, or, at a minimum restore, their living standards;
    b. enable Host Populations to maintain their pre-existing living standards, or to attain the same living standards as Relocated Persons, whichever is higher; and
    c. mitigate adverse impacts related to the planned relocation that may affect Persons Who Live in Close Proximity.

12. Planned relocation shall be carried out in a manner that respects and upholds the importance of family unity, and enables families to stay together. Planned relocation should also respect and maintain household, community, and social cohesion as well as kinship ties.

13. Relocated Persons shall:
    a. enjoy the same rights and freedoms under international and domestic law as other persons in their country, and be treated equally to other persons in their country;
    b. not be discriminated against or have any rights or freedoms limited because they have taken, or will take, part in a planned relocation; and
    c. have the right to freedom of movement and the right to choose their place of residence.

Case study 2 – Myanmar National Recovery Framework and Plan for the 2015 Floods and Landslides Disaster[3]

The Myanmar government's National Recovery Framework and Plan for the 2015 Floods and Landslides Disaster, completed in September 2016, contains safeguards to protect communities subject to relocation. It includes the requirement that people who are unavoidably displaced are compensated and assisted so their economic and social future is generally as favorable as it would have been in the absence of relocation. The recovery framework stresses that implementers must ensure that communities are fully informed and consulted; able to exercise their right to participate in decision-making processes including: development of compensation packages, selection of a site, development of site services; dedicated grievance and appeals mechanisms, and independent, regular monitoring system are in place; and new settlements are provided with requisite infrastructure and livelihood investments (Thomas, 2016:11–13).

Workshop Activities

Activity 1.4 – The principles of planned relocation and local application

Activity use: Review the basic principles of planned relocation and identify potential gaps and challenges when applying the principles in local context.

Type of Activity: Practical application.

Instructions:

- Read and explain **Note 5 – The Toolbox's basic principles of planned relocation**.
- Divide the class into small groups and ask the groups to discuss the following questions.
  1. Which of these principles are most commonly applied in your experience?
  2. What are the principles that you think apply best in your experience and why? Give at least three.
  3. What are the principles that seem the most challenging to apply, and why? Give at least three.

Debrief: One representative from each group presents the outcome of their group's discussion. As a class, discuss what might be the benefits of applying the more challenging principles.

[3] The Framework has not yet been fully implemented in Myanmar, but provides an example of a framework that emphasizes communication and consultation with affected communities and the protection of rights of all affected persons.

Key messages

- Planned relocation is complex and introduces significant disruption to people's lives, and as a result can have unintended adverse outcomes.
- Because of the potential for negative outcomes, planned relocation should only be considered as a last resort when other options have been investigated and exhausted.
- Where planned relocation is necessary, projects should adhere strongly to key principles that focus on protecting the rights, dignity, and well-being of relocated persons, in order to ensure that the project is to their benefit.

MODULE 2

Planned relocation in Viet Nam: policies and current status

A relocation site in Hoa Binh Province, Viet Nam.
© IOM 2016 (Photo credit: Tran Thi Ngoc Thu)

Description:

This module covers disaster risk reduction and management policies in Viet Nam, including policies related to planned relocation in the context of environmental change. Participants will:

- Gain an understanding of how existing policies are interlinked.
- Review policies and processes of government programmes related to planned relocation, and discuss the outcomes and lessons learnt from these programmes.

TOPIC 2.1
Natural disaster, policy and coordination between stakeholders in the context of planned relocation in Viet Nam

Objectives:

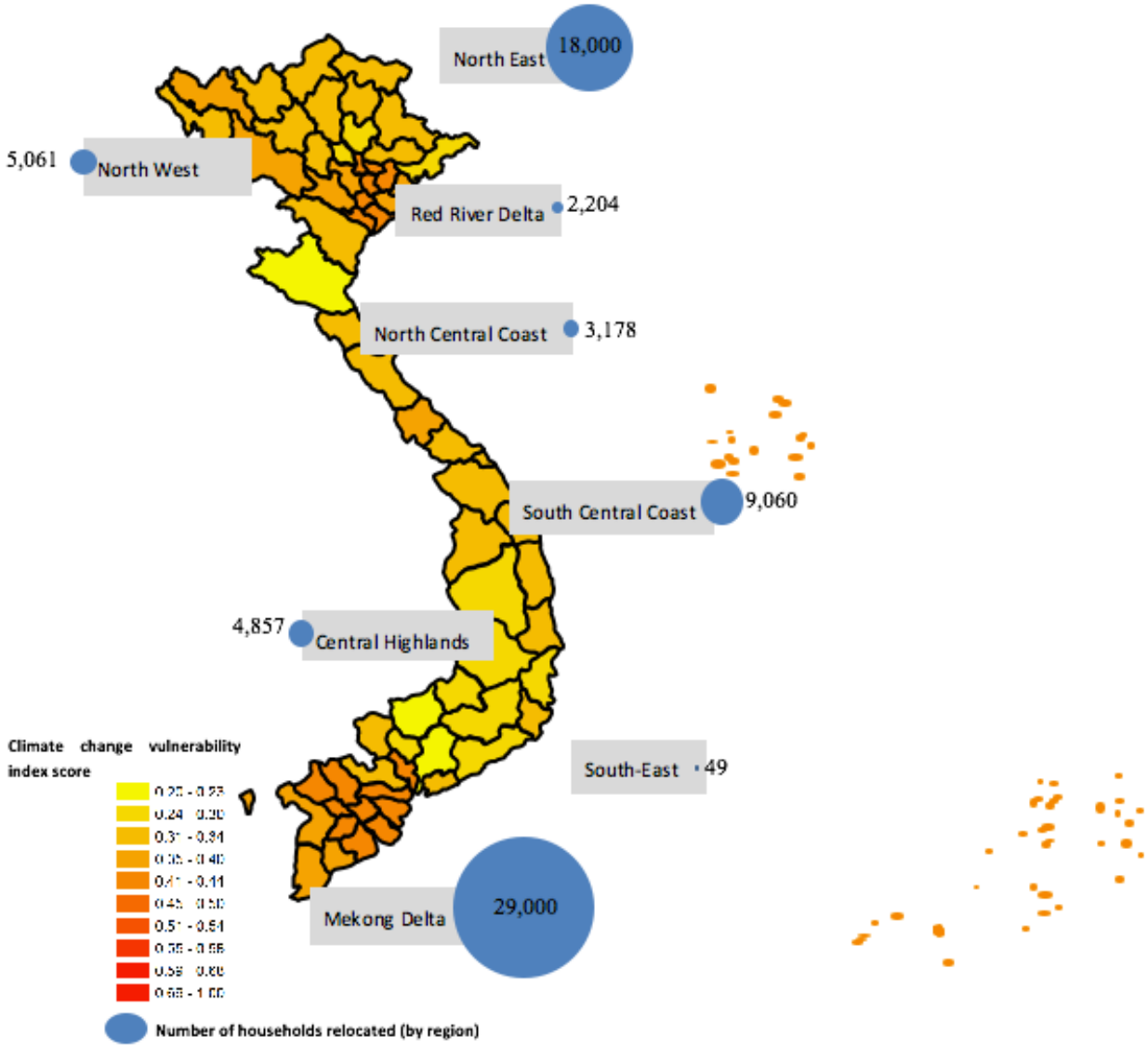
- Review the disaster and planned relocation context in Viet Nam
- Review existing policies and how they are interlinked
- Discuss how different tasks and responsibilities are coordinated at the field level

2.1.1. The natural disaster and planned relocation context in Viet Nam

Viet Nam is highly exposed to disasters, and several regions experience frequent flooding, landslides, and cyclones, with significant impacts on human security, livelihoods, and assets. According to the Central Steering Committee for Disaster Prevention (2017), disasters left 264 people dead or missing in 2016, destroyed 5,431 houses, and damaged a further 364,997 houses, along with 828,661 hectares of cropland, and extensive damage to road and irrigation systems. However, it is worth noting that these figures could be higher. Total economic losses from disaster impacts in 2016 were estimated at VND 39,726 billion (USD 1.7 billion). From June 2013 to the end of 2015, Viet Nam experienced 16 typhoons and major floods, causing the evacuation or relocation of approximately 1.1 million people (IDMC, 2017). The risk of displacement is significant, with estimates that approximately 365,000 people per year may be at risk of displacement by natural disasters in the period 2015–2018 as noted by (Lavell and Ginnetti, 2014). Beyond direct displacement due to natural disasters, several studies in Viet Nam have highlighted that livelihood stress caused by environmental change and extreme events is also a driver of spontaneous migration (Chun and Sang, 2012; Hai, 2012; Ha, 2012).

Figure 2 shows the climate vulnerability index score of provinces in Viet Nam, along with the number of households relocated from each region. The vulnerability index is calculated based on a) physical exposure and frequency of disasters, b) sensitivity to climate change, which includes population density and environmental conditions, and c) adaptive capacity, including income, infrastructure, and socio-economic factors. Figure 3 maps the risks of specific types of disasters experienced in Viet Nam. The mappings reflect significant climate vulnerability, particularly in the river deltas and northern highlands. The figures reflect relocation projects undertaken to reduce risks of flooding, landslides, and storms in frequently affected areas.

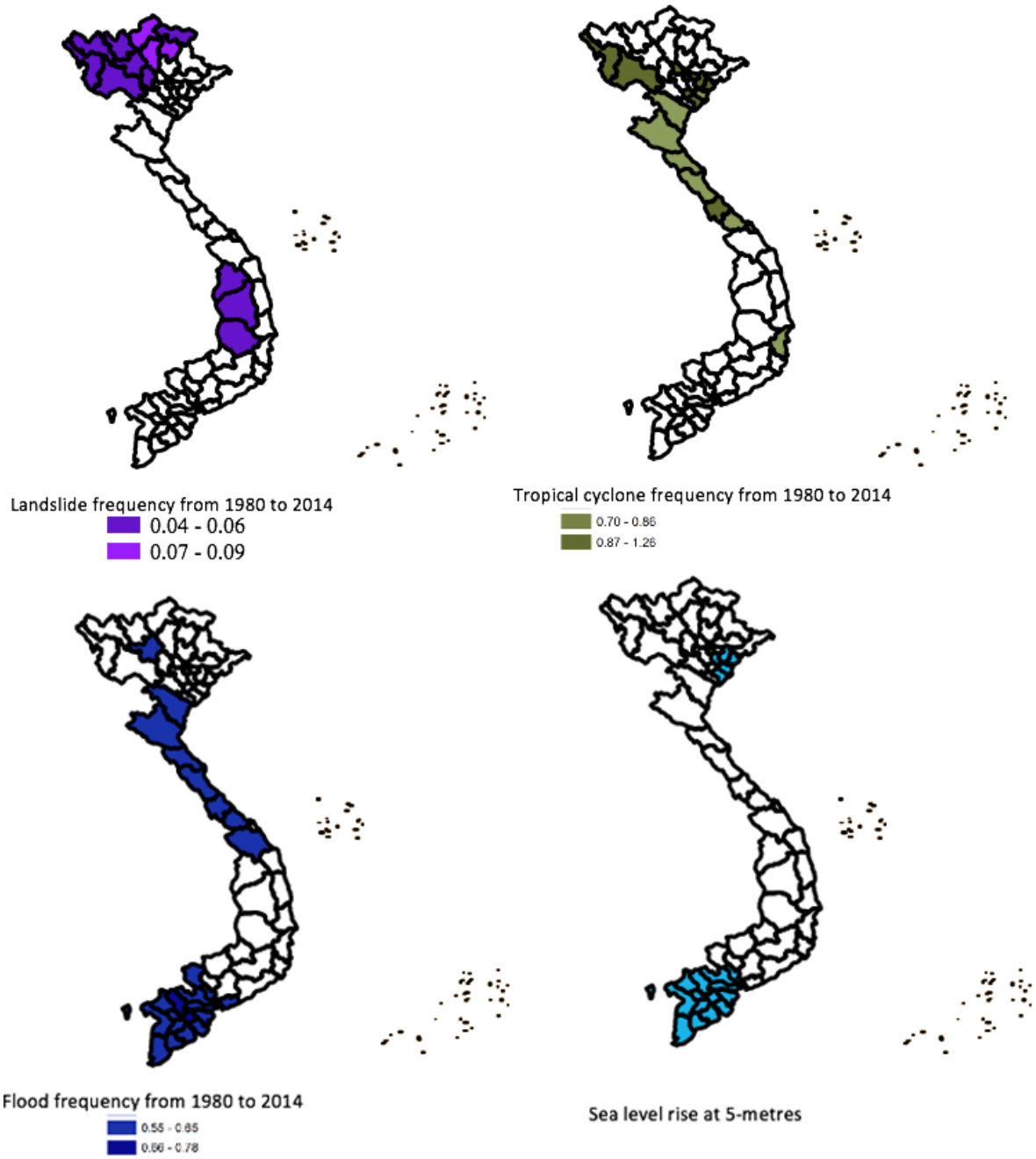
Figure 2 – Viet Nam: climate change vulnerability index and number of households relocated 2006–2013 by region



Source: Adapted by IOM based on map and data from:

- Department of Cooperatives and Rural Development – Ministry of Agriculture and Rural Development (2015), Overview of planned relocation programme in response to climate changes;
- Kuntiyawichai et al (2015), Climate change vulnerability mapping for greater Mekong sub-region.

Figure 3 – Viet Nam: areas most affected by landslides, tropical cyclone, flooding and sea level rise



Source: Map adapted by IOM based on original maps from Kuntiyawichai et al (2015), Climate change vulnerability mapping for greater Mekong sub-region.

2.1.2. Planned relocation policies in Viet Nam

Planned, government-supported relocation of communities at risk of disasters forms part of Viet Nam's disaster risk management policy. It aims to reduce the exposure of communities in areas at persistent risk of significant impacts from disasters. This includes 'collective' or 'concentrated' relocation, in which a community is relocated as a group to a single, newly developed relocation site, and 'dispersed' relocation, in which households are settled among communities in existing residential areas. Current policies specify that relocation programmes should provide infrastructure, livelihood assistance, and social support for relocated households, with an emphasis on developing local economies to improve livelihoods.

Current policy frameworks reflect the recognition among policymakers that Viet Nam faces significant impacts from disasters, particularly in the context of climate change. The National Strategies on natural disasters and climate change identify planned relocation as a key climate adaptation strategy to reduce impacts on affected populations (Dang et al., 2016).

National Strategy on Natural Disaster Prevention, Response and Mitigation to 2020

At the national level, the National Strategy on Natural Disaster Prevention, Response and Mitigation to 2020 emphasizes relocating communities out of high-risk areas. The Strategy will aim to "accomplish the relocation and stabilization of people in areas frequently affected by natural disasters, as planned by competent state agencies... [T]he Strategy will strive to complete the relocation of all people out of high risk areas for flash floods and landslides and from dangerous areas to safe places" (Government of Viet Nam, 2007).

The National Target Program to Respond to Climate Change

The National Target Program to Respond to Climate Change includes an objective to develop plans for migration and relocation for residents in the most vulnerable areas as part of mainstreaming disaster risk reduction and mitigation into development planning, (Government of Viet Nam, 2008a).

Other policies

Relocation has also been part of development planning and flood mitigation strategies in the Mekong Delta since the 1990s through an approach known as 'Living with Floods'. Under this approach, communities have been relocated to areas with lower exposure and dyke systems to mitigate flooding (Government of Viet Nam, 1995, 1996, 1999). The current programme aims to provide relocation areas and stabilize livelihoods of households in high-risk areas through the construction of 'relocation clusters' (Government of Viet Nam, 2008b). The programme remains part of the regional development master plan for the region's socioeconomic development to 2030 (Government of Viet Nam, 2014).

Government Decisions

The national strategies for disaster prevention, poverty-reduction and rural development provide a framework that links relocation projects to both risk reduction and rural development goals. Detailed policies for implementing relocation projects in line with these frameworks were outlined in two government decisions. In 2006, Government Decision No. 193/2006/QĐ-TTg approved a national population relocation programme for areas affected by natural disaster or particular development challenges. The specific objective of this Programme was to relocate 150,000 households between 2006 and 2015, including 30,000 households in disaster areas and areas facing challenging development conditions. The Programme specifies a concentrated relocation approach and emphasizes that relocation should also provide improved living conditions in relocation areas through investment in infrastructure, vocational training, and economic development (Government of Viet Nam, 2006).

In 2008, Prime Minister's Decision No. 78/2008/QĐ-TTg mandated support for relocated households, including provision of land and livelihood support, and assistance with relocation costs, housing, and food, as well as essential infrastructure and economic development activities (Government of Viet Nam, 2008c). In 2012, this decision was replaced by Decision No. 1776/2012/QĐ-TTg, which updated the national relocation programme for the period 2013–2020. Under this latest decision, relocated households are entitled to receive:

- VND 8 or 15 million (USD 350 or 660) per hectare for the clearing of uncleared land for agricultural use. The amount of support depends on the state of the land before clearing and/or the use of land.
- VND 20–25 million (USD 880–1,100) per household, depending on relocation distance, for expenses such as dismantling buildings and transport of people, assets, and building materials to relocation sites.

- Residential and productive land, according to allocations determined by each relocation project.
- 12 months of food, equivalent to 30 kg of rice per person per month if households lost their house, residential land or production land to natural disasters.
- Vocational training and credit from the national Social Policy Bank, implemented through local rural development and poverty-reduction programmes.

Relocation sites are also required to provide:

- Access to electricity
- Water supply for domestic and production use
- Health and education services
- Road access

Unlike development-induced relocation projects, policies for environmentally induced relocation do not provide compensation for loss of land. In some cases, households are entitled to continue using their land in their commune of origin after relocation.

Under Decision 1776, the relocation programme for 2013–2020 aims to relocate 160,000. Of the 55,900 households targeted for relocation in the period 2013–2015, 32,100 households were in areas at risk of natural disaster. Decision 1776 retains the focus on increasing incomes, service access, and economic productivity as intended outcomes of relocation. It also explicitly links relocation policy to the National Target Program on New Rural Development (NTPNRD), stating that development of relocation sites should also be oriented towards meeting targets under the NTPNRD. The new decision also set benchmarks for relocation outcomes in line with NTPNRD targets, which focus on improved housing and incomes, and access to electricity and water for relocated households.

The budget for the national relocation programme is VND 16,774 billion (USD 738 million) comprising VND 10,064 billion (USD 443 million) from the national budget and VND 6,710 billion (USD 295 million) drawn from local government budgets and other sources (Government of Viet Nam, 2012).

In addition to these legal tools and frameworks, there are other related policies focusing on rural development and poverty reduction,[4] which partially aim at similar objectives. It is important therefore that provincial authorities who oversee the implementation of the different programmes and policies at the local level provide clear guidance on how planned relocation schemes can benefit from or be linked to other relevant programmes, with a view to ensure synergy and optimization of financial resources where possible.

2.1.3. Roles and responsibilities of stakeholders

The national policies on relocation identify responsibilities of several agencies at the central, provincial and local level, as outlined below. A more detailed mapping of responsibilities in the relocation process is provided in Annex 2: Mapping of planned relocation coordination process between central, provincial and local level.

The Ministry of Agriculture and Rural Development (MARD) is the lead agency for the implementation of relocation projects, with responsibility for developing relocation plans, coordinating budgets, and implementing training and support programmes for livelihood development.

[4] Related policies include: i) The National Target Program for Sustainable Poverty Reduction (Government of Viet Nam, 1998); Government's Resolution No. 80/NQ-CP on Sustainable Poverty Reduction Orientation for the period 2011-2020 (Government of Viet Nam, 2011); and The National Target Program for New Rural Development (Government of Viet Nam, 2010).

The Ministry of Planning and Investment (MPI) is responsible for coordination with the Ministry of Finance to plan and allocate funding for relocation projects, and to guide integration of relocation funding with other infrastructure investment and poverty reduction programmes.

A Project Management Committee is established for each project, comprised of provincial departments of MARD, MPI, and other relevant agencies, and Provincial and District People's Committee representatives. The Project Management Committee assesses relocation sites, develops implementation plans for relocation and infrastructure projects, and coordinates responsibilities and budgets with district-level governments and relevant ministry departments to carry out the relocation and subsequent support programmes. Commune-level authorities have a limited role in the process and are involved mainly in facilitating communication between the Project Management Committee and community members.

Workshop Activities

Activity 2.1 – Stakeholder roles and responsibilities

Activity use: Providing participants with an overview of the coordination process between different levels and stakeholders, and encourage reflection on potential ways to improve the process.

Type of Activity: Practical application

Instructions:

- Read and explain the steps of the coordination process in Annex 2 – Mapping of planned relocation coordination process between central, provincial and local level.
- Divide the class into small groups. Ask groups to discuss the following questions. One representative from each group presents the outcome of their discussion.
    1. How is the process in Annex 2 similar and/or different to the process that is being undertaken in your community?
    2. Can you identify any stakeholders/actors that are involved in relocation but not included in Annex 2? Are there any actors who you think should be involved but are not?

Debrief: As a group, discuss: What are the strengths of the processes presented? What could be the limitations? Can opportunities be identified to improve these processes?

Key messages

- Planned relocation forms one part of Viet Nam's strategies for disaster risk reduction and climate change adaptation.
- Current policy frameworks emphasize the importance of delivering safe, sustainable relocation which provides the same or better quality of life, services, and livelihood opportunities
- Relocation policy provides a range of support mechanisms to facilitate sustainable relocation, and these can link with other programmes for sustainable development and poverty reduction.
- Achieving the goals of these policies requires effective and comprehensive coordination between agencies from the central to the local level, and projects can benefit when project planners and implementing staff develop strong coordination mechanisms to deliver effective relocation planning and support programmes.

TOPIC 2.2
Outcomes, best practices and lessons learned from past experiences in Viet Nam

Objectives:

- Discuss outcomes, best practices and lessons learnt from review of report on planned relocation schemes conducted in Viet Nam

To date, there is still limited research from which to provide a systematic and comprehensive assessment of the different planned relocations that have been conducted in Viet Nam. Studies to date show that outcomes are often mixed, with access to sustainable livelihoods remaining a great challenge. In relocation projects reviewed to date, key outcomes identified include:

- Households can have difficulties adapting to new forms of livelihood at the destination due to limited financial and non-financial (technical knowledge, skills) resources, and lack of adequate basic infrastructure (area and/or quality of land, water supply for agriculture).
- Return and circular migration is a common coping strategy for households as they seek to cope with changed livelihood opportunities and environments at relocation sites. In these cases, relocated households may continue to work on their land in their place of origin, or undertake further migration on a temporary or seasonal basis to seek work outside of the relocation site.
- Exposure to climatic and other environmental extremes and stresses is usually greatly reduced, with benefits for personal safety and livelihoods.
- Living conditions in relocation areas are often reported to be better, because of better, safer housing and protection from environmental and climatic hazards.
- One of the major advantages of relocation is improved access to public services, which has been observed in several case studies of relocation sites in the Mekong Delta (see table 2).
- Overall, social conditions and quality of life were improved because of better access to water and electricity supply, health-care and educational services, and road networks.

These outcomes show that the main purposes of the relocation programmes are generally achieved, that is, the protection of the community from environmental shocks and stresses, and improved living conditions. However, developing sustainable livelihoods is a key challenge. Reviewing experiences in Viet Nam and elsewhere in South-East Asia, it is increasingly recognized that livelihood restoration requires the development of support strategies that respond to the capacities and assets of households, and enable them to take advantage of local opportunities. Households will rarely be able to continue or resume activities as practiced in their place of origin, and need tailored support to adapt their knowledge and resources to different environments, access employment, or develop new livelihood strategies. Beyond land and water access, training and market information are needed. In particular, households need support to identify options suited to their specific capacities and market opportunities, including support to transition to off-farm work opportunities, where possible.

Table 2. Relocation experiences in Viet Nam: Summary of research on relocation outcomes

Author	Location	Risk type	Positive outcomes	Challenges identified
Xe and Dang (2006)	An Giang, Can Tho	Flooding, riverbank erosion	- Improved access to education, electricity, clean water - Overall average incomes did not decline	- Loss of on-farm income, unemployment as income structures change from on-farm to off-farm
Danh and Mushtaq (2011)	An Giang	Flooding, riverbank erosion	- Improved access to health care, education, electricity, water, transport - Improved security of residents and agricultural activities due to flood mitigation structures - Less disruption to income activities due to lower risks	- Return or circular migration to old fields or to seek work due to lack of opportunities at destination – high travel costs - Increased living costs for water and electricity - Infrastructure delays/ problems – incomplete or poor quality infrastructure in some cases.
Chun and Sang (2012), Chun (2014)	Long An, Dong Thap	Flooding, riverbank erosion	- Reduced risks/safer housing - Improved health care, education, and transport services - Housing quality and access to employment improved in some sites	- Incomes reduced or lack of employment opportunities in some sites - Poorer housing and water quality in some sites - Some households in a debt cycle due to loans for housing or livelihood adaptations

Case study 3 – When relocation requires adaptation to a completely new lifestyle and livelihood

The relocation of sampan communities in Tam Giang lagoon, Thua Thien Hue Province: In-depth research was conducted in Thuy Dien village with around 150 households. Thuy Dien village, once a sampan community, has gradually relocated to land-based settlements since 1995. The village has no access to agricultural land and limited access to residential land. The relocation provided access to education and new livelihood opportunities beyond fishing. The relocation also helped to strengthen local social networks of villagers as they established a new village, reduced separation from the land-based community, and integrated more with the land-based community, including greater participation in community organizations. While the relocation process has resulted in many benefits, it also created numerous challenges. For example, sampan people did not have strong skills in areas that were needed to establish a (non-fishing) livelihood after relocation, such as raising animals and food processing. Another difficulty related to the government financial support provided for the construction of houses, since government funding was paid to households only after house construction was completed, requiring households to fund the construction themselves and be reimbursed. Some households were burdened with outstanding loans, which made it more difficult to get credit for house construction. Some sampan households found it inconvenient to live on land and returned to their previous home on the lagoon to continue fishing. Households who had returned to sampans, but later wanted to return to land again faced even more difficulties; government funding was discontinued, land was scarce in the relocation areas, and construction costs were higher (Huong 2010).

Case study 4 – Challenges encountered in the planned relocation scheme in a North-Western province of Viet Nam

Infrastructure, service and environmental conditions

In a relocation project in north-western Viet Nam implemented to reduce disaster risks, households saw significant benefits to safety and service access, but experienced problems with some critical infrastructure. The majority of relocated households reported improvements in infrastructure and services in relocations sites compared to their communes of origin. Almost all households agreed that roads, transport, communications and access to markets were better than their place of origin. However, water access at relocation sites was a critical problem, with 90 per cent of the households rating it as worse than their previous home. Field surveys and qualitative interviews showed that many relocated households lacked water, particularly for agricultural production. This dissatisfaction was exacerbated by the fact that many relocated households previously lived near a river reservoir, where they never experienced problems with water access, whereas relocation sites do not have large natural water sources.

Qualitative data highlighted that the shortage of water for both living and farming, is a significant problem for many relocated households:

> "Before, we had an irrigation system but here it is not available. Our water for drinking and living is so crazy. For the whole village, getting water for domestic use is very difficult. For drinking water, they designed the water tank so small that only 10 cubic metres of water has to serve 200 households".

Meanwhile, highlighting the problem of water shortage, about half of the relocated households reported they suffered more droughts at relocation sites than at their place of origin. Only 23.5 per cent said frequency of drought has decreased since relocation. The reported increase in drought may be a perception partly related to the lack of sufficient water source, rather than more frequent periods of low rainfall, however water access is clearly a difficult issue for many households.

Land access

Access to land is crucial in relocation of rural communities to ensure sustainable livelihoods, particularly as relocated communities are often dependent to some extent on agriculture. However, the land resources available at relocation sites in this case were not sufficient to provide all relocated households with the same area of agricultural and residential land as they had previously. This is challenging for some households, but the greater problem for agriculture in these sites is the quality, rather than the quantity, of land allocated. Many households found that the land they were allocated at their relocation site was extremely poor quality and difficult to cultivate. This issue was raised by households in all three relocation communes, but the problem appears to be most common in Dong Tam, despite the larger agricultural plots allocated to households there:

> "The people who came here before us took all good land. The remaining land is full of gravel and rock, people cannot use it. When we arrived here people said that we are working on gravel. We are suffering with this problem. Here, we only know about this land, because they did not show us any cultivable land. We only got to know this rocky piece of land after it was allocated to us. There is another household who received rugged, rocky land and they cannot plant anything. The other four to five households are tired of trying to use the land with no results, and have already left. If this situation remains, honestly speaking, no one can remain".

Loans and investment in new businesses

Another issue raised in interviews is that a number of households have not been issued a land-use certificate, despite having been relocated for some years. Land-use certificates are often required as collateral for bank loans, so households without a certificate struggle to access loans for developing livelihoods:

> "I think the government moved us here six years ago but they have not provided a red book [land use registration]. That is very difficult for us. If we want to develop business without a red book, we cannot borrow money. Whether you need to borrow or not, everyone wants to have a red book".

While poor/near-poor households are eligible for no-collateral loans from a poverty-reduction loan scheme, these may often limited to around VND 5 million (USD 220), which households report as too small for livelihood investments. Further, inexperience with new activities means that some ventures fail, leaving households with debt and limited income. For example, one household borrowed VND 20 million (USD 880) from a bank to invest in goats, but all the livestock died within a month because the household lacked experience in caring for them. They are now reluctant to make further investments.

Challenges adapting to changing cultivation practices

Differences in conditions, cultivation practices, and natural resources present problems or additional costs for relocated households:

> "Here the cultivation method is very different from what we did back in our native place. There the soil is still fertile so we only need to clear the trees and we can cultivate, no need to add fertilizer. Here, we need to add a bunch of NPK [fertilizer] otherwise, no plant can grow. Here we have to plow the earth, back there, we only need to clear the land. People here who have financial means to afford fertilizer have a good income. People who are poor and can't afford buying fertilizer have poor income, or even no income at all." Male, aged 50, Muong, relocation commune.

> "Breeding livestock here is more difficult than where we came from. It's difficult because people here often spray pesticide on their crops but we did not. Goats and cows went into the garden and ate grass with chemical fertilizer and pesticides on it, and they got sick and died." Male household head, Dong Tam commune.

The Da river was an important source of water in communes of origin, but also provided additional livelihood activities, whereas these livelihood strategies are not possible in destination sites:

> "Back home, if we had no work, we went to the river and we could catch shrimp or fish. Here, if we don't get hired for work today, then we have nothing to eat. So here it's more difficult than in our homeland." Female respondent, relocation commune.

Some respondents feel they have not received appropriate support for livelihoods in the new site:

> "I want the government to support and educate people on how to do the appropriate thing. For example, what should be planted [here]? Like last year, everyone planted sugarcane, and everybody suffered. The government gives chickens for people who don't have chicken feed, and they have no money to buy any. So the chickens do not have food, they die one by one, or people just eat all the chickens gradually. So I want the government to guide us about what we should plant, what livestock we should breed. If the state just provides support all at once [without planning], then it will not work." Female household head, relocation commune.

Some households reported that their total annual income from agriculture is just enough for household consumption for about five months. A mitigating factor at relocation sites is that they are closer to other residential areas and better connected with road infrastructure, which makes it easier to find paid labouring work than in the communes of origin.

Workshop Activities

Activity 2.2 – Supporting relocated communities to overcome livelihood challenges

Activity use: Review case studies of challenges faced by communities when relocating and discuss challenges and solutions.

Type of Activity: Reflection and brainstorming

Instructions:

- Divide the class into small groups. Assign **Case study 3** to one group, and one sub-section of **Case study 4** to each of the other groups.
- Ask each group to review their assigned case study/sub-section
- In each group, discuss the following questions, then share key points with the whole class:
  1. What were key challenges in these case studies?
  2. Did you encounter similar or different challenges in your experience of implementing planned relocation for communities?
  3. How could these challenges be identified at earlier stages of the process?
  4. What solutions could be proposed to better support communities to overcome these challenges?

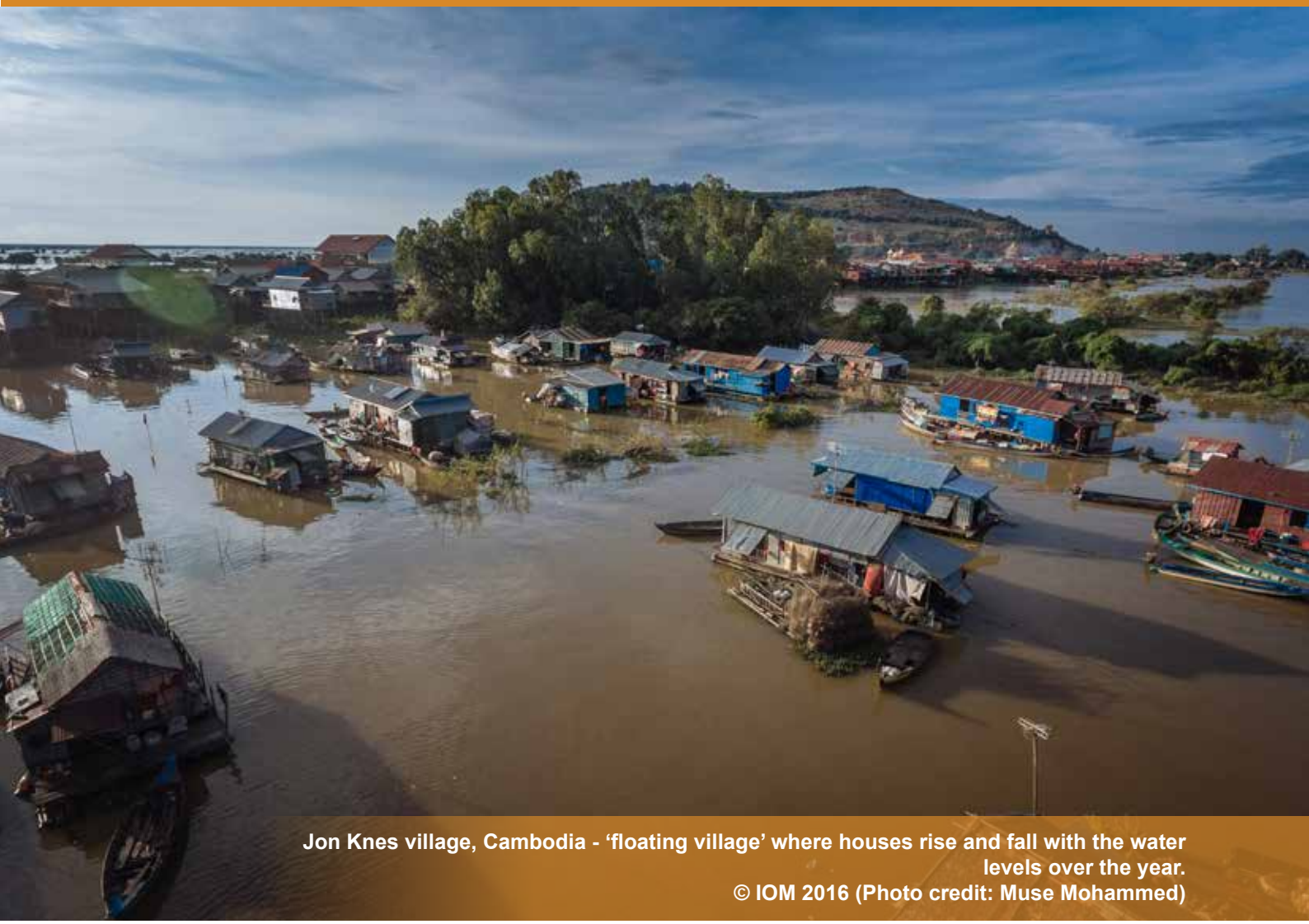
Debrief: Summarize the key challenges and solutions presented by the groups. Summarize or discuss: at what stage of the relocation process do these challenges occur? At what stage of the relocation process would the potential solutions be introduced? Wrap up by highlighting that multiple, complex factors affect outcomes after relocation, and that relocation outcomes can be improved by careful attention and planning for these factors throughout the stages of relocation – which will be discussed in the following topic.

Key messages:

- Outcomes of planned relocation are often mixed, and establishing sustainable livelihoods often remains a great challenge.
- In Viet Nam, several planned relocation projects have achieved positive outcomes in some aspects such as reduced risks and increased access to services, but restoring incomes is challenging because relocation affects many aspects of households' livelihoods.
- Comprehensive, long-term support for households to adapt to changes in their environments, livelihoods, and access to resources is critical for supporting livelihood restoration.
- Migration may remain part of households' coping strategies after relocation, and this can be a beneficial short-term strategy for livelihood adaptation.

MODULE 3

The three stages of planned relocation



Jon Knes village, Cambodia - 'floating village' where houses rise and fall with the water levels over the year.
© IOM 2016 (Photo credit: Muse Mohammed)

Description: Discuss in detail the stages of planned relocation. This module explores each of the three stages and provides tools for assessing, planning and implementing relocation.

Stage 1: Assessment, consultation, and decision-making on the need for relocation. Participants will learn about evaluating the risks of staying in place versus relocating, and explore how to make decisions about relocation. Participants will review how to assess the feasibility of planned relocation and what it entails.
Stage 2: Preparing and developing the relocation plans. Participants will discuss the key considerations in preparing and developing relocation plans and potential challenges.
Stage 3: Implementation. Participants will discuss processes and activities needed to prepare for physical relocation, and during and following physical relocation.

TOPIC 3.1
Stage 1 – Decision-making and consultation on relocation needs

Objectives:

- Discuss the process of making decisions about planned relocation
- Identify challenges involved in making the decision to stay or relocate
- Review how to decide if risks of remaining in an area is unacceptably high

Making the decision to undertake planned relocation is a complex process. To begin with, the legal framework should specify who has the authority and responsibility to make the decision that planned relocation is the best - or only - alternative to protect populations at risk of disasters and environmental change. At a minimum, making the decision that planned relocation is needed includes:

- An assessment, based on scientific evidence and consultation with affected populations, that the risk of remaining in the area is unacceptably high;
- Consideration of alternatives to planned relocation, including risk reduction measures and, where appropriate, other means to support individuals who decide to leave the area;
- A preliminary assessment of whether there are feasible sites for planned relocation. While much more detailed analysis of sites is needed to plan a relocation, at this stage, if there simply is no land available to relocate people, then other alternatives must be re-considered.

! Note 6 – Considering alternatives

Because planned relocation is a major, complex undertaking, which significantly impacts people's lives, a key principle in planned relocation is to consider alternative options, with relocation to be undertaken only when no other reasonable in situ disaster risk-reduction or climate change adaption options are possible.

Other potential actions should first be explored to increase communities' resilience and ability to adapt, or in the case of forced displacement, to support people to return and rebuild their lives in their communities of origin.

Climate change adaptation and disaster risk reduction include a range of approaches to prevent or mitigate adverse impacts from environmental change, and recognize that people can build resilience to reduce vulnerability. This may include:

- development of comprehensive local disaster risk reduction strategies, including strategies to reduce physical and socioeconomic sources of vulnerability.
- physical mitigation to reduce exposure or the likelihood of adverse events/changes, by improved infrastructure, housing, or land management.
- improved awareness, early warning, and access to information to reduce the incidence of disaster and increase disaster preparedness for in situ response to likely natural hazards.

- adaptation support, including training, investment, and infrastructure to build resilience and enable adaptation to slow onset environmental processes.

See the UNDP Project "Improving resilience of vulnerable coastal communities to climate change related impacts" for an example of supporting in situ adaptation in Viet Nam:

https://goo.gl/6bCPVX.

For an overview of other disaster risk reduction approaches and further case studies, see

http://www.preventionweb.net/risk/drr-drm.

In some places, individuals or groups will make the determination themselves that the risk of remaining in an area is unacceptably high, and petition governments to support them in their relocation efforts. In other cases, government authorities will decide that a population needs to be moved because it is unsafe for them to remain where they are. The process of identifying high-risk areas should be done in consultation with affected communities, to first assess potential in situ responses. If these are not possible, close consultation with the community is then needed to identify and develop relocation options.

Assessing the risk of remaining in an area needs to be based on scientific evidence and community assessments of the feasibility and safety of living in the area. Tools for assessing risks have been developed for non-climate hazards, such as geophysical risks of earthquakes and volcanoes. However, some of these tools remain at a somewhat abstract level for decision makers trying to decide whether it is safe for people to remain in a particular area.

Disaster risk management experts have developed methodologies and techniques to identify and assess the risks posed by different natural hazards, which includes identification and characterization of the hazard, identification of the elements exposed (people, infrastructure and assets), assessment of the vulnerability of the elements exposed, estimation of potential losses and determination of levels of risk, and determination of acceptable risk (the latter in consensus with the people exposed to the risk). Based on these studies and assessments, risk reduction measures can then be identified. Perceptions of the environment and environmental change also have social and cultural elements. Traditional knowledge about adaptive responses to extreme environmental events in the area is crucial. The decision to undertake planned relocation is made when there are no other feasible measures to reduce the risk of remaining in the area.

All those likely to be affected by the impact of natural hazards or the effects of climate change have a key stake in the outcome of the risk studies and assessments and should be engaged as much as possible. In some cases, they may have useful experience or evidence to complement the scientific assessments; in other cases, they need to understand the risks of remaining in their areas in order to decide about participating in planned relocation.

Challenges:

Making the decision that a group of people needs to be relocated is usually difficult for a number of reasons. The scientific evidence may be ambiguous, or the scientific evidence may be clear but not fully accepted by the affected population. Different levels of risk tolerance and different levels of attachment to land within the at-risk population may mean that people hold very different views about relocation versus remaining in an area.

Even when the evidence is clear that planned relocation is needed, there may be major political impediments to such action. There may be negative consequences associated with raising expectations that planned relocation is needed if the necessary political and financial resources are not available to meet those expectations. In addition, it may prove challenging to assess the future habitability of a relocation

site, particularly over the long term. This can raise questions about inter-generational equity - future generations may face heightened risks, declining value of land, or less access to resources compared to the first generation of relocated people. The younger generation may therefore bear a greater cost from relocation.

The following checklists provide tools to help identify key questions and information to consider in making these assessments.

Checklist 1 – How to decide if the risk of remaining in an area is unacceptably high[5]

- ☐ What scientific evidence is available (e.g. historical records, aerial flights, mapping) that suggests that the risk of remaining in the area is unacceptably high? Who is providing the evidence? Has the evidence been validated by other competent experts? If there is no consensus among the scientific community about the level of risk, is it clear who will decide whether the risk is too high, and how?
- ☐ Have affected communities been involved in identifying and assessing the risk of remaining in an area? People may have different assessments of the risks they face or knowledge of local coping mechanisms, so it is important to take into account local and indigenous knowledge of risks and responses, and consult a wide range of people about their assessment of the risk, including youth, elderly, indigenous groups and customary leaders.
- ☐ Has analysis been done of the relationship between the risks of remaining in an area and population size? In other words, could a smaller population safely stay in the area? Or reside in the area temporarily?
- ☐ Have specific vulnerabilities of different groups of people been considered? For example, are young people or older people at greater or lesser risk? Are risks different for lower income households than wealthy households?
- ☐ Are the timeframes of the risk clear? Is there immediate risk to the area in the short term, or is it a risk that is likely to increase in the future?
- ☐ Are there measurable thresholds or tipping points that can help decide when the risks of remaining are too high? For example, an X per cent increase in average annual flood level.
- ☐ Have the affected population, local authorities and other relevant stakeholders been involved in either collecting data or examining the evidence about the risks?
- ☐ Are mechanisms available for people who disagree with scientific evidence presented by the government to collect and present their own evidence?
- ☐ Is it clear who has the authority to make a decision to explore the possibility of a planned relocation, including conducting an exhaustive consideration of alternatives? Are the roles of different national, provincial, and local authorities, as well as traditional authorities, clear in this decision-making process?

[5] All Checklists presented in this manual come from the Toolbox.

Checklist 2 – Should we stay in place?

- ☐ What do we do if individuals and households within the affected population want to remain in place?
- ☐ What are the risks of planned relocation versus the risks of remaining in place? Can the risks in the area of origin be lived with or reduced?
- ☐ What coping mechanisms exist within the community and can they be strengthened to help people stay? How?
- ☐ Could the underlying factors and drivers of risk be addressed to reduce the risks to populations, such as by promoting livelihood diversification?

Checklist 3 – Feasibility of planned relocation

- ☐ Have disaster risk reduction and climate change adaptation assessments been conducted to identify feasible ways to reduce risks and help populations stay?
- ☐ What were the key recommendations of these assessments? Have the findings been shared with relevant stakeholders?
- ☐ Do affected populations and national/local authorities have the capacities, resources, technical knowledge and political will needed to implement the recommendations of the assessment? If not, what are the gaps? Is external support needed?
- ☐ Are national and local authorities, populations and individuals aware of possible alternatives to planned relocation such as investing in local risk reduction measures? Do they have access to information about approaches and successful practices that have been used elsewhere to respond to similar risks?
- ☐ Could the risk of disasters and the effects of climate change be reduced sustainably by strengthening or rebuilding infrastructure, improving access to certain services, or better management of resources?
- ☐ Have prior attempts been made to manage the risk of disasters or adapt to the effects of climate change and were there any positive results? If not, what were the challenges, and how could they be improved?
- ☐ Have any potential risks and negative impacts of proposed disaster risk reduction and climate change adaptation measures been considered?
- ☐ Could the risks the population faces be reduced through building capacity to better manage disasters, such as institutional or population-level capacity-building, education, training and public awareness raising?
- ☐ In what ways can traditional or indigenous knowledge and responses to local disaster risk be used to find alternatives to planned relocation?

Note 7 – Why use checklists?

Checklists are comprehensive documents developed by experts that can seem complex and difficult to follow in practice. However, these documents can be helpful because they allow practitioners to learn from best practices and from the experience of previous projects and experts. Checklists help to quickly identify the key items to be included in planning and decision-making (in the early phases) or identify items that could be very important but haven't been included yet (when a plan has already been developed). In this way, checklists help planners to deal with the complexity of relocation planning, by making sure that all the relevant issues are considered. The key is not to try to include every single point on the checklist in each plan. Instead, consider each point and use them to identify and prioritize what is most important for the specific context you are working in, and to identify a plan's potential limitations for improvement where possible.

You will have the opportunity to explore how to use checklists effectively through activities in this module.

Case study 5 – Two communes heavily affected by storms and landslides

Thanh An and Son Lam[6] are two poor communes in northern Viet Nam, located along a lake bed in the foothills of a mountain range. Landslides often occur in the rainy season, and statistics show that disasters and environmental change have directly affected the lives and livelihoods of the two communes. In particular, storm No. 5 in 2007 killed four people and destroyed hundreds of houses. More than 100 hectares of land were buried by the slide and are no longer cultivable. Most significant slopes in the two communes contain large cracks that indicate significant landslide risk. In 2007, local authorities estimated that 652 households in these two communes needed to be relocated in order to minimize losses and ensure security of residents, assets and livelihoods.

Workshop Activities

Activity 3.1 – Assessing the risk of remaining in an area

Activity use: Use a scenario and checklists to brainstorm what to include in the community plan

Type of Activity: Practical application

Instructions:

- Divide the class into small groups and introduce the following scenario:
- Imagine you are the provincial authority in charge of assessing the risk of natural disaster/climate change impact in the communities presented in **Case Study 5 – Two communes heavily affected by storms and landslides.**
- Using the **Checklists 1 and 2** as a reference, groups discuss the following questions.
  1. What information you need to gather in order to decide whether relocation is necessary?
  2. How you plan to gather the necessary information?
  3. What are the possible challenges in conducting the assessment, and how to overcome them?

Debrief: Discuss: what are the potential benefits to the community/authorities of gathering this information before making a decision on relocation? Encourage participants to consider different types of benefits – economic, social, environmental etc.

[6] Names of the communes have been changed.

Activity 3.2 – Understanding attitudes towards relocation

Activity use: Use survey data to discuss the recognition of disaster risk and agreement with relocation among households and implications for communicating about the project.

Type of Activity: Reflection and brainstorming

Instructions:

- Explain that awareness of disaster risk can vary among different groups of beneficiaries and that support for the rationale of relocation impacts households' decisions to relocate.
- Review the below case context and survey findings reported from an empirical survey conducted by IOM and the Institute of Sociology. Discuss the follow questions:
  1. How does the recognition of disaster risk vary among different groups of beneficiaries?
  2. How does agreement with reasons for the relocation project impact households' decisions to relocate? What does this suggest about households' reasons for relocating?
  3. What could be the implications for provincial and local authorities in charge of relocation planning and implementation?

Case context: In this case, two communes were identified for a relocation project due to high risks of disaster, particularly landslides. Among the survey respondents, **two thirds of households (66%) have already experienced at least one landslide**. Households targeted for relocation were informed by the village head at village meetings, or by letter from the People's Committee, that they had been identified for relocation due to these risks. Announcements about the project were also made over loudspeakers and radio.

In this data, 'relocated' households are those that have already moved, while 'targeted' households (with three sub-categories 'Decided to move', 'Decided not to move' and 'Undecided') have been identified for relocation, but so far they still remain in their place of origin.

Table 3 – Agreement with reasons for relocation by age and gender (%)

	Age			Gender		Total
	< 35	35–49	50+	Male	Female	
Strongly agree	68.1	72.4	79.8	74.6	71.9	73.2
Partly agree	18.5	12.5	6.7	9.5	15.7	12.8
Neither agree nor disagree	4.4	2.6	3.4	1.1	5.5	3.4
Disagree	2.2	5.9	1.7	4.8	2.3	3.4
No answer	6.7	6.6	8.4	10.1	4.6	7.1
Number of households interviewed	135	152	119	189	217	406

Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

Table 4 – Agreement with the reasons for relocation by relocation status (%)

	Relocation status				Total
	Undecided	Decided not to move	Decided to move	Relocated	
Strongly agree	50.7	53.0	81.6	93.9	73.2
Partly agree	21.1	20.0	9.7	5.3	12.8
Neither agree nor disagree	14.1	3.0	1.0	0.0	3.4
Disagree	2.8	12.0	0.0	0.0	3.4
No answer	11.3	12.0	7.8	0.8	7.1
Number of households interviewed	71	100	103	132	406

Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

What does the data say?

Most people (84%) agreed strongly or partly with the reasons for the project, to reduce their disaster risk. Three-quarters of people strongly agreed, and men were more likely to agree strongly. Women were a little bit more likely to agree only partially. Very few people (only about 10) disagreed with the idea of the project. People over 50 years old were slightly more likely to agree strongly with the project, and people under 35 slightly more likely to agree only partially. So in general, most people agree that it is reasonable to conduct a relocation project to reduce the risk of disaster, but this differs by age and gender.

Almost all of the people who have already relocated strongly agreed with the project, and so did most of the people who had decided to move. But it is important to notice that 73 households agree with the project but have decided not to move. In addition, a significant number of people have not decided if they should move or not, even though they agree with the reasons for the project.

Debrief: Recap key points discussed by participants and highlight the following observations:

- Understanding of disaster risk is important for people to make informed decisions about relocation and support the project.
- However, recognition of disaster risks is not the only factor affecting households' decision on relocation – people have other concerns that can affect their decision even when they agree with the reasons for the project.

Key messages

- Careful assessment of risks and the range of possible responses is critical to make decisions about whether to remain or relocate.
- These assessments should be carried out in close consultation with communities to understand their needs, and responses to risks. Community consultation can help to identify preferable alternatives to relocation.
- Where relocation is found to be necessary, the assessment process helps to identify community needs and priorities in the relocation process and assess feasible relocation options.
- Recognition of disaster risks is important in household decision-making, but people have other concerns that can affect their decision.
- Clear consultation and communication is needed to ensure households understand the risks they face, and for authorities to understand and address the wide range of factors affecting relocation decisions.

TOPIC 3.2
Stage 2 – Preparing and developing the relocation plan

Objectives:

- Discuss what information should be included in the plan
- Discuss who participates and how to consult/communicate between authorities and community members at origin and destination
- Discuss potential challenges that may be faced by households and authorities throughout the relocation process, and how to plan responses

The particular ways in which a State sets about preparing and developing a plan for planned relocation will necessarily flow from the State's legal framework as well as its institutional structures, mechanisms, and standard modes of operation. This institutional 'framework' will also be influenced by prior experience with planned relocation (or with relocation in support of development projects). A cohesive and well-considered institutional framework can facilitate the planning process and provide the flexibility needs to respond to evolving circumstances.

A comprehensive, detailed, flexible, and timely planned relocation plan is necessary to ensure that the many steps in carrying out planned relocation are understood and anticipated, that crucial resources are assembled, preparatory actions are undertaken, and unanticipated events and circumstances are accommodated and addressed with minimum disruption and delay. Failure to pay attention to these factors or to implement planned relocation in line with a plan can lead to rights violations and socioeconomic and cultural disenfranchisement for affected persons.

The development of the plan is likely to both be easier to formulate and to be more comprehensive in scope if necessary preparatory work has been done–such as compiling a census of those who are likely to be affected by the planned relocation. From the beginning and at each stage in the development of the plan, the special needs and contributions of women, children, those with disabilities, older persons, and other diverse groups should be incorporated in the planning process and in the plan.

While States often provide the major portion of the financial resources required for relocation, funding can also be mobilized through other sources, including:

- Contributions from relocated households (i.e. savings, payment of a portion of the value of the house provided, labour, in kind contributions);
- A portion of other existing funds in the community;
- A solidarity fund with contributions from individuals;
- Contributions from private companies, e.g. building materials, public services networks when these companies are private, transportation during the physical moving, contributions from academia to conduct monitoring and evaluation, etc.

Challenges:

Inclusive and comprehensive planning processes require time, but often the time allowed for planning is inadequate. In some cases, this is because of the possibility of imminent harm, but also because issues emerge during the course of the planning process which are more complicated than expected and require time to address.

Lack of consultation and adequate participation of relocated persons or other affected persons in the planning process is a persistent shortcoming in planning processes. In other cases, lack of political will or financing to follow through over the long-term implementation of planned relocation, has led to a lack of support for livelihood restoration and living conditions, which can lead to adverse outcomes. Finally, perhaps the most common pitfall of planned relocation is the lack of adequate consideration of sustainable livelihoods. While preparation of the relocation site and construction of new housing may seem like more immediate needs, if people do not have jobs or ways of providing for their needs, they will move on, and the relocation will not be sustainable in the long-term.

A common problem is that planned relocation is found to be necessary but funding is insufficient to cover the long-term costs, particularly restoration of livelihoods. Funds may be mobilized to support the physical move of populations but are then insufficient to ensure the successful long-term adaptation. This problem arises when planned relocation is conceived primarily as a housing project rather than a long-term protection strategy that comprises the restoration or improvement of socioeconomic conditions of affected populations. Another common problem occurs when either the government or a population determines that planned relocation is the best or only solution for a community but then funds are not mobilized to enable it to occur. This results in frustration on the part of the population and sometimes (as discussed below under measures pending planned relocation) a decrease in services while waiting for the funding to become available. When funds do not materialize for a protracted period, individuals may experience negative mental and physical health implications associated with being 'in limbo'. Commitment to the planned relocation process on the part of the government or affected persons may waver over time, creating challenges for following through on the relocation plan.

Checklist 4 – Preparing to develop a relocation plan

- ☐ Who is in charge of preparing the plan?
- ☐ Does this person or agency have experience in planning similar planned relocation? If not, are there plans to recruit expert people and train all those who will prepare and implement the plan?
- ☐ Who will coordinate and implement the plan?
- ☐ Which local leaders and authorities need to be involved?
- ☐ Is there a plan for encouraging all groups of the community to participate in planning, including women and men, young people, older people, people with special needs or circumstances?
- ☐ Has consideration been given to any aspect that may either help or prevent people's participation, for example, the location of community meetings?
- ☐ Have Relocated Persons, Other Affected Persons, and relevant experts been consulted and been given the opportunity to participate in developing and preparing the plan?
- ☐ Are Relocated Persons and Other Affected Persons able to request changes or alternatives to the planned relocation plan during its development and implementation? Does the plan spell out who will be responsible for responding to these requests?
- ☐ Is someone designated to handle complaints and claims? Who will keep records of complaints and feedback?
- ☐ Is there a system in place to resolve disputes within the community which may occur during the planned relocation? If there are already local dispute-resolution structures or customary law, can they be adapted to resolve disputes which may occur during the planned relocation? If not, has a system been established to deal with these disputes which might include:

- Disputes within families or disputes among heirs about property to be inherited;
- Disputes between individuals with some type of right to property (e.g. tenants who may refuse to pay rent once a decision is made that a population is to be relocated; partners in agricultural activities which are to be relocated);
- Disputes between Relocated Persons and the agency in charge of planned relocation (e.g. inclusion in the programme, amount of compensation, etc.);
- Disputes between the Relocated Persons and other entities involved in the process (e.g. lack of access or charges for public services); and
- Disputes among sub-groups of Relocated Persons or between Relocated Persons and those who are not eligible for relocation?

☐ Has a budget been agreed for the analysis and planning stage, including costs of human and physical resources as well as of any services to be contracted?

Checklist 5 – Drafting the relocation plan

Review the following checklist and make sure your action plan covers the following questions:

☐ Does the plan respect and protect the human rights, and the particular needs and rights of specific groups (women, children, the elderly, people with disabilities)?'

☐ Does the plan avoid impacts on cultural heritage, or when avoiding impacts is not possible, does it include measures to mitigate their impacts?

☐ Does the plan include a strategy for ensuring peaceful relationships and social cohesion between Relocated Persons and Other Affected Persons, including through community-based approaches?

☐ Does the plan include measures to mitigate or provide compensation for negative impacts on Other Affected Persons (e.g. host communities and those living nearby)?

☐ Have Relocated Persons, Other Affected Persons, and relevant experts been consulted and been given the opportunity to participate in developing and preparing the plan?

☐ Are Relocated Persons and Other Affected Persons able to request alternative options and changes to the relocation plan during its development and implementation?

Participation of Relocated Persons and Other Affected Persons

☐ Does the relocation plan include a plan to engage both local authorities and community members?

☐ Does the relocation plan include a plan to engage community members in the area of origin and destination?

☐ Does the plan identify when, how, and through what channels the project will engage and communicate with stakeholders throughout the project, from planning and preparation to implementation and follow-up?

Provision of Services

☐ Does the plan provide details on the services and infrastructure that needs to be available and accessible at the relocation site(s) prior to the physical relocation such as housing, public services networks, and social services facilities?

- ☐ Does the plan for access to services encourage positive relationships between the service providers, the Relocated Persons and Other Affected Persons?
- ☐ Does the plan include provisions for replacing or renewing personal documents of Relocated Persons at the relocation site, such as helping to update household registration documents?

Education

- ☐ Is there transportation to the local schools?
- ☐ Are schools accessible for children with different types of needs?
- ☐ Are the schools in safe areas?
- ☐ Has the timing of the planned relocation been arranged to minimize disruption in school attendance?

Water and Sanitation Services

- ☐ Does the plan ensure adequate water supply, sanitation services, and waste disposal, both for homes and livelihoods?
- ☐ Where necessary, have Relocated Persons been educated or informed on the use of sanitation services or infrastructure if it is different than the infrastructure at the original location?

Health

- ☐ Are there adequate, accessible health-care facilities in the relocation sites? Has provision been made for existing health facilities to meet the needs of the increased population? Has adequate staffing been secured?
- ☐ Children are also very vulnerable after disasters: have plans been made to ensure children have regular access to medical care appropriate to their needs? Are regular vaccinations and other preventive care for children available during and after planned relocation?

Housing

- ☐ Does the plan provide for security of tenure, for example ensuring Relocated Persons receive the formal title to residential and/or agricultural land?
- ☐ Does the plan provide housing that is nearby important services such as employment opportunities, health-care services, schools, childcare centres and other social facilities? Is the housing accessible for groups with special access needs, such as people with a disability or elderly? Is the housing culturally appropriate?
- ☐ Does the plan ensure that adequate housing is affordable for all Relocated Persons?
- ☐ Does the plan ensure housing provides a decent standard of living, that is, with adequate space, protection from hazards?
- ☐ Does the plan provide for services, and infrastructure such as electricity access and communications networks?
- ☐ Does the plan provide for access to natural and common resources, where appropriate?

Livelihoods

- ☐ Does the plan include strategies and support to restore people's livelihoods?

- ☐ Does the plan ensure that transportation and other infrastructure is available to enable Relocated Persons to rebuild their livelihoods?
- ☐ Does the plan provide support for subsistence or maintenance costs such as food for Relocated Persons until livelihoods and income are restored or replaced?
- ☐ In the case of agricultural livelihoods, does the plan provide enough land for Relocated Persons to support themselves and restore their income, given local conditions? Is transport infrastructure available to ensure access to needed supplies and markets?
- ☐ Does the plan include support to relocate businesses so that employees can maintain their jobs?
- ☐ Have Other Affected Persons been consulted about the impact of the planned relocation on their livelihoods and have appropriate measures been taken to ensure that they will not be negatively impacted?

Timeframes, Monitoring and Evaluation

- ☐ Does the plan identify the timeframes for implementing and completing each phase of the planned relocation? Do the timeframes have flexibility to cope with unexpected events?
- ☐ Do the timeframes provide Relocated Persons with sufficient time to make informed decisions in relation to different aspects of planned relocation?
- ☐ Does the plan identify ways to continue to monitor the risks and needs of Relocated Persons and Other Affected Persons?
- ☐ Does the plan identify participatory ways to more generally monitor and evaluate the implementation of planned relocation, including each phase of the process, against initial objectives and benchmarks and over the short and long-term including following settlement in a new site(s)?

Workshop Activities

Activity 3.3 – Checklists: How to use them effectively

Activity use: Help participants understand the key content of each checklist, the importance of using checklists, and how they can help the planning process

Type of Activity: Reflection and brainstorming

Instructions:

- Review the key points of Note 7:
  - » Checklists are comprehensive documents developed by experts that can seem complex and difficult to follow in practice.
  - » However, these documents can be helpful because they allow practitioners to learn from best practices and from the experience of previous projects and experts.
  - » Checklists help to quickly identify the key items to be included in a plan (in the early phases) or identify items that could be very important but have not been included yet (when a plan is already available).
  - » Checklists help planners to deal with the complexity of relocation planning, by making sure that all the relevant issues are considered.

» The key is not to try to include every single point on the checklist in each plan. Instead, consider each point and use them to identify and prioritize what is most important for the community, and to identify a plan's potential limitations for future improvement where possible.

- Read aloud each point of Checklist 5 – Drafting the relocation plan and discuss the following questions:

  1. Which items in this checklist seem most important to you? Which seem less relevant?
  2. Thinking about relocation schemes you have been involved in so far, which of those items do you think the schemes did best? Give a concrete example if possible.
  3. What items were not covered or not fully covered? What would be the challenges in covering those missing items in future plans?

Debrief: Encourage participants to identify any differences between the items they identified as most important, versus the items that were included or not included in schemes they have been involved in. This helps to demonstrate examples of how the checklist can identify important issues that might otherwise be missed. Highlight that checklists are most useful when used to identify and prioritize important items and plan for possible challenges.

Activity 3.4 – How communication strategy can better address households' needs

Activity use: Use survey data to discuss the barriers to communication with households about relocation.

Type of Activity: Reflection and brainstorming

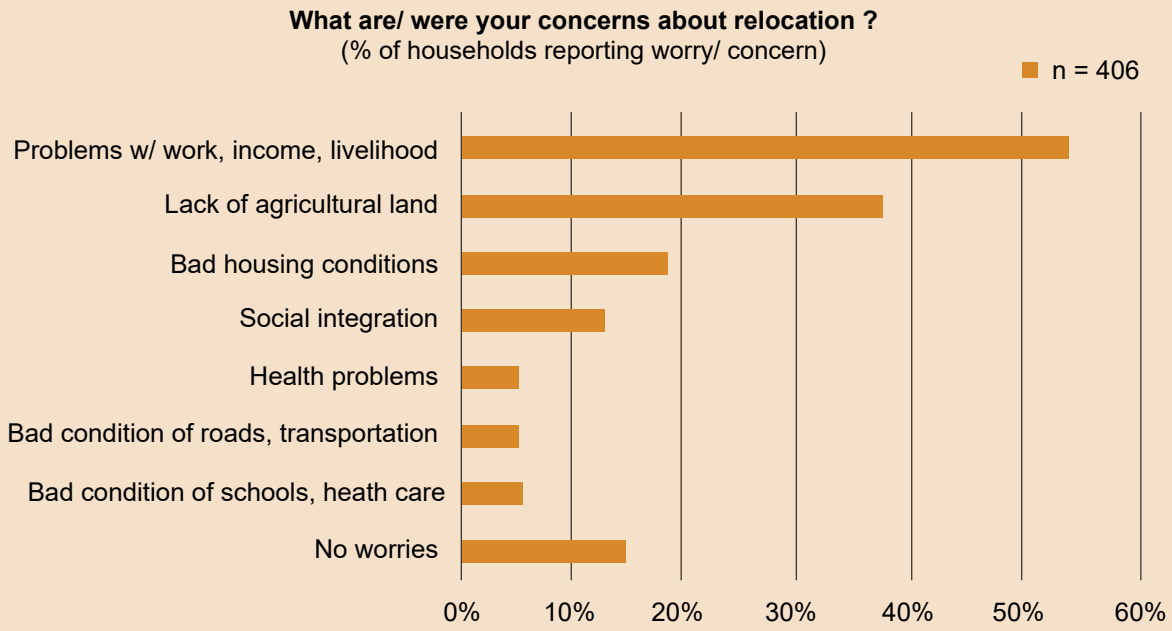
Instructions:

- Read and review the below findings reported from an empirical survey conducted by IOM and the Institute of Sociology.
- Ask participants to compare the most common concerns of affected households (Figure 4: Worries and concerns about relocation) with the knowledge of support policies related to those issues (Figure 5: Knowledge of support policies).
- Explain that the data suggest that there are significant gaps in households' awareness of available support that relates to their key concerns. Provision of housing and farmland are a central focus of relocation assistance, but not all households are aware of their entitlements to housing and land. Key concerns of households relate to employment, income, and livelihoods, but knowledge of support policies that could help with these concerns, like loans, tax exemptions, or employment assistance is low.
- Discuss:

  1. From your experience, why might this be the case?
  2. What can be the barriers to communicating effectively with households' and addressing their information needs?

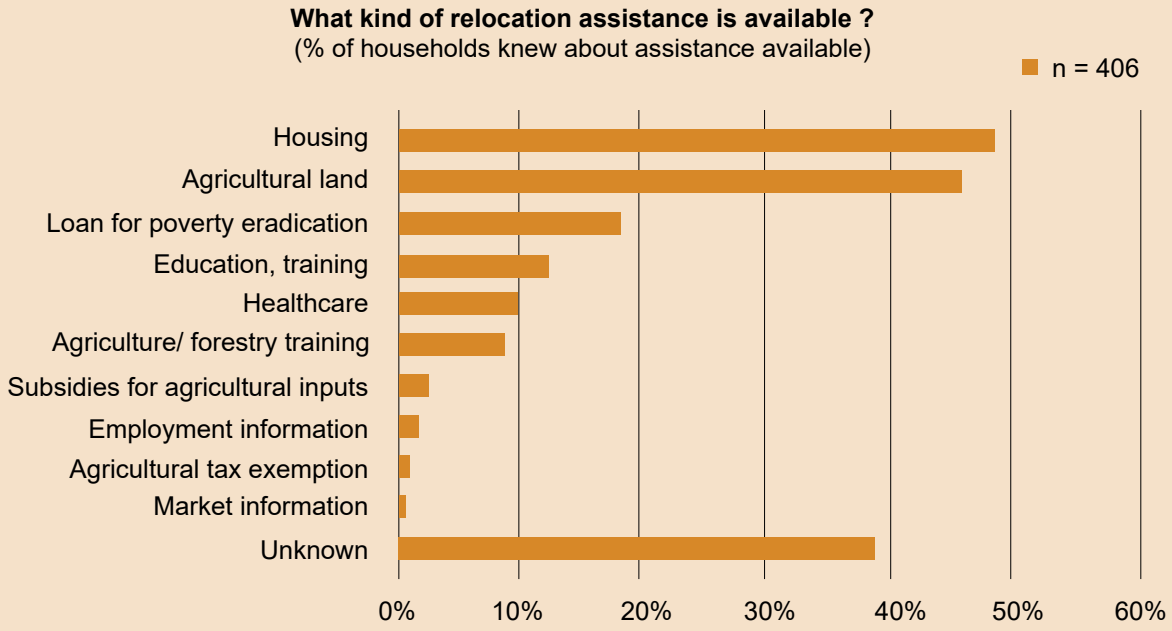
- Continue directly to Activity 3.5 and debrief after the next activity.

Figure 4 – Worries and concerns about relocation



Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

Figure 5 – Knowledge of support policies



Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

Activity 3.5 – Optimizing the use of different forms of communication

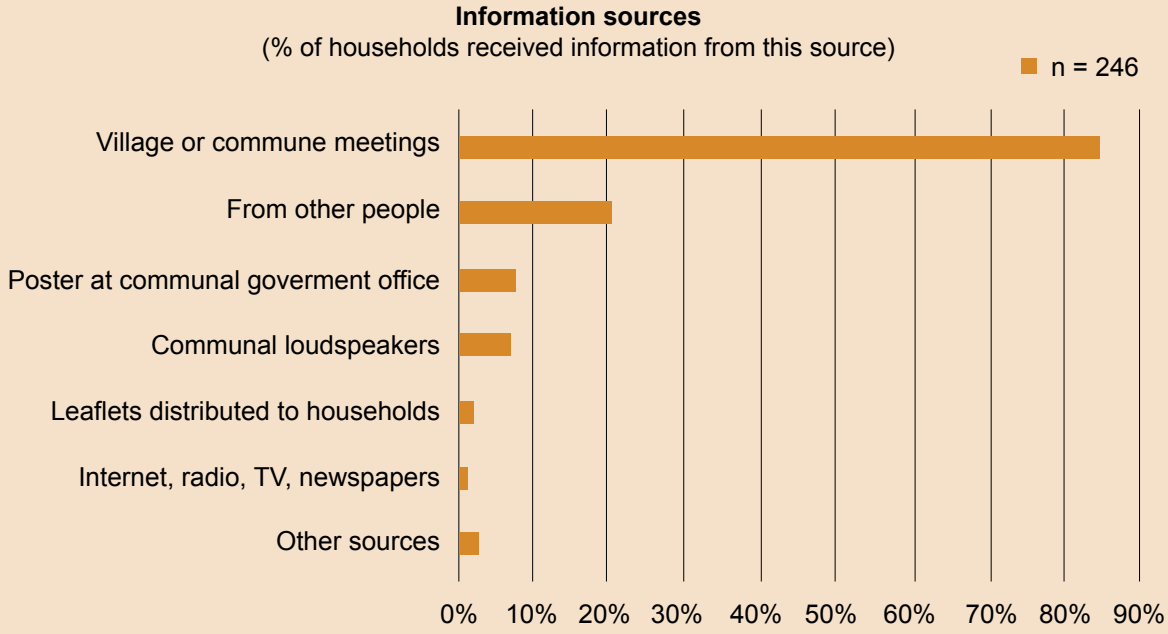
Activity use: Help participants to be aware of the strengths and disadvantages of different communication channels and how to optimize them when communicating with communities.

Type of Activity: Reflection and brainstorming

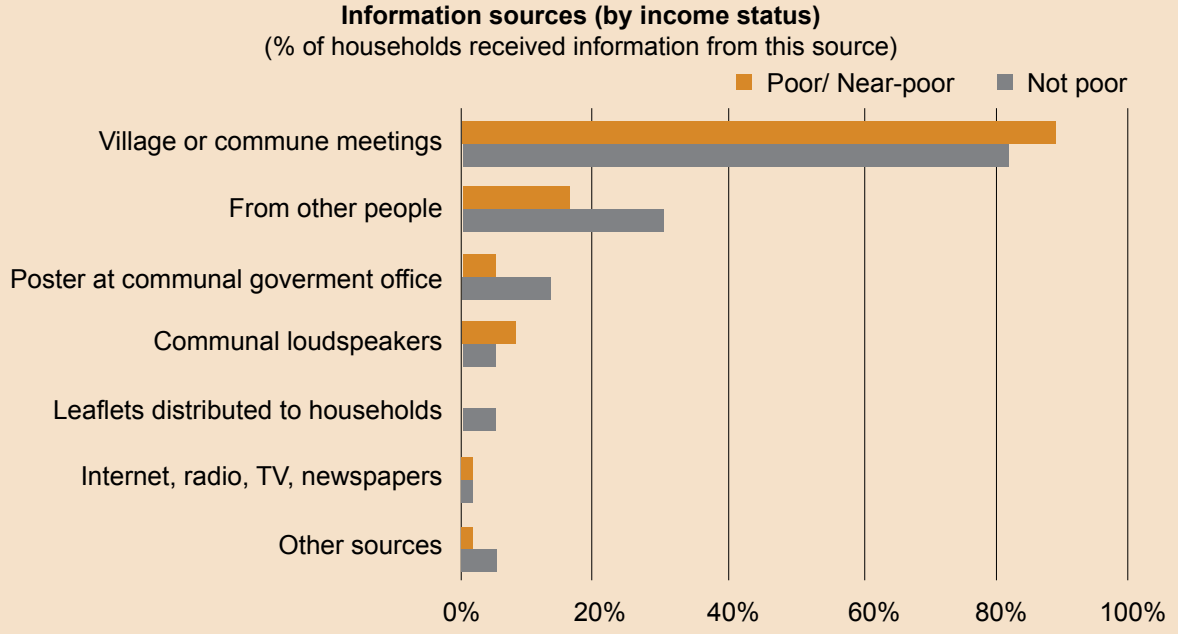
Instructions:

- Discuss the findings from Figures 6 below. Ask the participants what they notice in the charts about how people get information on relocation assistance. Clarify and explain the data as needed to show the following:
  - » Surveys showed that community meetings are by far the most common source of information about relocation assistance, cited by 85 per cent of all households.
  - » Low-income households were more likely than the non-poor group to receive information through meetings, while non-poor households were somewhat more likely to receive information from other people. Very few remembered getting information from media, loudspeakers, or written information.
- Divide the class into small groups. Ask each group to discuss the strengths and disadvantages of the different forms of communication, and how to optimize them when communicating with different groups within the community.
- Encourage students to remember the information in Activity 3.4 about what kinds of knowledge people had about relocation policy, and what they did not know about. Why might this be the case? How might this information be better communicated?
- Ask each group to present the outcome of their discussion to the class.

Figure 6 – Sources of information on relocation support



Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.



Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

Debrief: Recap information gaps and communication barriers identified during Activity 3.4. Invite participants to discuss whether the different forms of communication identified in 3.5 overcome these challenges. Do they ensure all groups in the community can access, discuss, and understand full, clear, and relevant information about the project? Highlight that an effective communications strategy:

a) identifies and provides clear information about people's key concerns and needs regarding relocation, invites participation, and tailors forms of communication to the target audience; and

b) enables people to make informed decisions about relocation and support programmes, increasing the likelihood that they will relocate successfully.

Checklist 6 – Relocation funding

- ☐ Has a preliminary or tentative budget been prepared to understand the potential costs of the planned relocation?
- ☐ What sources for funding planned relocation are available within local budgets?
- ☐ Are there ways to raise additional funds for planned relocation?
- ☐ Can loans to Relocated Persons be considered for financing all or part of the costs of planned relocation? If so, what might be the impact of increased debt on Relocated Persons, including particular groups such as the elderly, who may be averse to taking on more debt? How can adverse impacts be avoided?
- ☐ Are the needed funds available to support the planned relocation? Have administrative mechanisms been developed to disburse the funds fairly and efficiently?

Workshop Activities

Activity 3.6 – Identify costs, sources of funding and potential risks for planned relocation

Activity use: Use a scenario to identify costs of planned relocation

Type of Activity: Practical application

Instructions:

- Introduce the following scenario:

  You are part of the entity in charge of overall budgeting for a planned relocation programme to move 200 households in your community. In groups, identify the different cost items (there is no need to put a specific amount) and what sources of funding can be mobilized to cover each of the cost items.

- Discuss

  1. What can be the risks associated with each source of funding?
  2. What plan do you have to mitigate those risks?

Debrief: The activity emphasizes the importance of identifying and securing funding for the full range of activities involved in planned relocation from planning to follow-up support. Encourage participants to consider whether they have included cost items for all of the elements of a relocation plan (as per Checklist 5) and which funding sources might be most challenging/risky. Wrap up by highlighting that identifying and securing funding for all cost items and planning for funding risks is critical to relocation planning and should be undertaken early.

Activity 3.7 – Whose role is it?

Activity use: Participants will discuss actors, roles and responsibilities for different tasks in a planned relocation scheme. It is important to note that the purpose of this activity is not to describe the processes that are currently being undertaken in participants' community, but rather to think creatively and consider a range of approaches to identify how an effective plan might be developed.

Type of Activity: Reflection and brainstorming

Instructions:

- Divide participants into small groups.
- Each group picks one card at random. Groups should review Annex 2, and identify who in the community should be responsible for that specific task of planned relocation described on their card. Where relevant, clarify the people with key roles and people with supporting roles.
- To make participants feel at ease, explain that they are welcome to propose answers that are different than the current, real-life distribution of responsibilities in their community. In fact, it is even better if they can identify opportunities for improvement in current processes.
- This activity includes responsibilities throughout the three stages of planned relocation. Encourage groups to review the checklists related to their card to think about the relevant processes, how they should be undertaken, and who may be involved.
- Each group presents their results and discusses with the larger group.

Feasibility of planned relocation CARDS

CARD 1. WHOSE RESPONSIBILITY? Assess and decide whether planned relocation is the most appropriate response, including consulting with affected households and community leaders.

CARD 2. WHOSE RESPONSIBILITY? Prepare relocation solutions and estimated budget.

CARD 3. WHOSE RESPONSIBILITY? Once overall relocation solution and budget are approved, communicate and consult with the affected communities at origin/ at destination and prepare detailed relocation plan.

CARD 4. WHOSE RESPONSIBILITY? Provide assistance to households during physical relocation and upon arrival.

CARD 5. WHOSE RESPONSIBILITY? Follow-up and provide assistance to households during reintegration and livelihood adaptation phase.

CARD 6. WHOSE RESPONSIBILITY? Continuously collect feedback and address concerns from affected community (including relocated and host populations) during the preparation of the relocation plan, physical relocation and reintegration/adaption phase.

Debrief: What are the differences between the roles and processes suggested by the groups compared to what happens presently? What are the benefits/challenges? Wrap up by summarizing that the complexity of processes involved in relocation means that participation and coordination of a range of agencies/actors at all levels, including local authorities, is critical. This can be supported by developing a comprehensive relocation plan and clear institutional frameworks from the outset of the project.

Key messages:

- A comprehensive, detailed, flexible, and timely relocation plan that is tailored to the specific context is critical to ensure that the complex process of planned relocation is carried out successfully, and to make sure resources are available and responsibilities are clearly delineated.
- Consultation and communication are vital to effective planning, to ensure that all stakeholders needs are met and people can make informed decisions before, during, and after relocation. It is very important to allow time for inclusive, consultative planning, with affected persons contributing their concerns and opinions.
- Relocation plans should address the full range of needs and concerns for sustainable relocation, including not only housing and infrastructure, but giving adequate attention to livelihood adaptation, social integration, follow-up support, and monitoring.
- Effective communication enables people to make informed decisions about relocation and to access the support that they need for successful relocation.
- Communication strategies should be tailored to the needs and concerns of the community and use channels that ensure all groups in the community can access, discuss, and understand full, clear, and relevant information about the project.

TOPIC 3.3
Stage 3 – Implementation: pending physical relocation

Objectives:

- Discuss the first stage of project implementation – the lead-up to physical relocation

Once the relocation plan has been agreed, affected populations have been consulted, and financing is assured, implementation of the plan begins. Implementation usually occurs in phases. In some cases, the physical movement of people is staggered or people are moved to different sites.

Planned relocation is a complex process that invariably requires significant preparation before the actual movement may responsibly take place. In the interim period before such movement, certain measures may be necessary to protect the rights and dignity of affected populations. These stages of the process are also an important opportunity to prepare Relocated Persons and Other Affected Persons for successful relocation.

Challenges:

During the interim period between the decision to undertake planned relocation and its actual implementation, a number of difficulties may arise, depending on the circumstances of affected populations and the anticipated length of time before the physical relocation. Sustained financing for interim measures may be inadequate, particularly when delays occur. Governments face the particular challenge of maintaining services to populations who are expected to be relocated in the future – particularly when investments in infrastructure are needed to maintain those services – while at the same time investments and infrastructure are needed in the relocation sites. It may also be difficult to maintain a sense of community cohesiveness and social networks during the waiting period for relocation, particularly if it is lengthy, and/or if persons are dispersed over a large area. In addition, the affected populations' commitment to planned relocation may change over time, and/or expectations of Relocated Persons may be unrealistic – either about the timelines or about opportunities awaiting them in the new relocation site.

Checklist 7 – Implementation: Preparing for physical relocation

- ☐ Are there any risks for Relocated Persons in the lead-up to physical relocation, or during the process? Are there protection measures in place against these risks?
- ☐ Are Relocated Persons able to maintain a dignified standard of living where they are while awaiting physical relocation? This involves ensuring and providing safe access to:
  - Basic needs (including protection, food, water, personal safety, shelter that enables families and communities to stay together); and
  - Infrastructure and a physical environment that supports livelihoods and enables people to meet their basic needs (health, education, labour market, affordable energy, access to information and communication).

- ☐ Have children been able to attend school?
- ☐ Are plans in place to evacuate Relocated Persons in the case of natural hazards during the interim period?
- ☐ Are services provided before the physical relocation to prepare for a successful relocation, to prevent negative impacts, including:
  - **For Relocated Persons:** Livelihoods training related to the job market at the relocation site; support and preparation of vulnerable persons such as elderly, language and educational support if necessary; counselling for persons experiencing trauma related to the planned relocation process; pre-departure orientations to provide information about the relocation site.
  - **For Host Populations** (if relocation site is in a previously occupied area): Additional infrastructure development, including for shelter and livelihoods; pre-arrival orientation to manage expectations about Relocated Persons.
  - **For Persons Who Choose Not to Take Part in Planned Relocation:** Assistance to determine how planned relocation will impact their lives, and ensure their continued access to livelihoods and basic services.
- ☐ Are there plans and strategies to ensure community cohesion during the period in the lead-up to the physical relocation (where appropriate) and to facilitate interaction between Relocated Persons and Other Affected Persons?

Workshop Activities

Activity 3.8 – What to do when facing project delays

Activity use: Use a scenario to brainstorm what to do if there are project delays and prioritize issues.

Type of Activity: Reflection and Brainstorm

Instructions:

- Introduce the following scenario:

  You are part of the entity in charge of implementing a planned relocation scheme that has been approved. Households have been informed of expected dates, but you have noticed that due to funding unavailability, the acquisition of new land at the relocation site and the preparation of necessary infrastructure and services (roads, water, electricity, kindergarten) will be delayed, which will impact the timing of the physical relocation.

- In small groups discuss the following questions:

  1. How might this affect people who have been identified for relocation? What might their reactions be?
  2. What actions, communications, or preparations could be undertaken in this time? Think of at least five priorities that you want to focus on while waiting for the project to start, and how you are going to do it.

Debrief: Delays sometimes can't be avoided. Discuss with participants why it is important to adjust/respond to delays and where possible continue preparations and support for relocated persons, highlighting that it is important to ensure relocated persons can continue dignified lives and livelihoods during the interim, and that expectations of the project are managed positively.

Key messages

- During the interim period between the decision to undertake planned relocation and its actual implementation, a number of difficulties may arise. Delays sometimes can't be avoided.
- Plans must be in place to evacuate the relocated population in the case of natural hazards during the interim period.
- While awaiting physical relocation, it is important to ensure that affected households are able to maintain a dignified standard of living where they are.
- Tailored services shall be provided before the physical relocation to prepare for a successful relocation or to prevent negative impacts for those who choose not to relocate. This includes livelihoods training, counselling and pre-departure orientations for both relocated population and host communities.

TOPIC 3.4
Stage 3 – Implementation: during and following physical relocation

Objectives:

- Discuss challenges and issues of implementation during and following physical relocation.
- Review case studies and identify key areas for improvement.

Participatory and sustainable planned relocation has the potential to strengthen existing social capital and enable the building of new relationships with positive impacts on health, literacy, education, employment and housing.

However, uprooting families and communities is highly disruptive–anticipating and avoiding the known risks of impoverishment and marginalization needs to be the central objective of planned relocation, including planning related to economic rehabilitation in the new location.

Research shows that risks to the success of planned relocation arise at different stages of the process. The immediate adjustment and settlement phase, during which Relocated Persons are struggling to come to terms with the dislocation from their previous lives and, at the same time, adapting to new challenges, is a time when households are in great need of targeted assistance. Later on, other challenges may emerge that need to be addressed. In this process, the timely provision of support and services under the relocation plan is important, as delays in assistance, access to resources, or infrastructure can make relocation and adjustment extremely difficult.

Planned relocation will affect individuals and households differently depending on their access to physical and social resources, as well as their health, education and social position within the population. Households that are close to or below the poverty line, including those who are elderly, women-headed, or with individuals with complex health and social needs, are at the greatest risk of increased impoverishment as a result of planned relocation. Relocation planning must be sensitive to such vulnerabilities and put in place post-relocation support that identifies the process of impoverishment and mitigates against it.

Checklist 8 – Implementing planned relocation

- ☐ Is the planned relocation plan being implemented as expected? Are services, infrastructure, and housing, completed and operational before the arrival of Relocated Persons? Are Relocated Persons able to complete the physical relocation on schedule as planned?
- ☐ Are there any changes needed to the plan to respond to new information or learning received during the implementation? Have necessary changes been made to respond to any unexpected events during implementation?
- ☐ Are consultation mechanisms working well, and involving all members of the affected communities and providing adequate input into the implementation process?

- ☐ Is the physical relocation of Relocated Persons, their belongings and assets, being carried out in a safe, dignified, and timely manner? Do Relocated Persons have access to resources and transport to bring their belongings with them?
- ☐ Have families been kept together during the physical move? Are neighbourhoods and cultural symbols and heritage being maintained in accord with the relocation plan?
- ☐ Are logistical issues related to the physical move being dealt with appropriately?
- ☐ Are there effective mechanisms in place to collect, receive and address feedback from the affected communities? Is the process being documented with written records that can be easily monitored?

Checklist 9 – Livelihoods and resources

- ☐ Are Relocated Persons able to restore their livelihoods or find new sources of livelihoods?
- ☐ Are Relocated Persons provided with training to develop additional skills relevant to the job market at the relocation site?
- ☐ Have affected businesses been relocated and able to resume their operations?
- ☐ Are Relocated Persons able to visit or return temporarily to their former areas of residence?
- ☐ Have measures and activities been conducted to support community re-organization and social networks?
- ☐ Have affected populations participated in the implementation of the planned relocation?
- ☐ Are Relocated Persons, including indigenous people, ethnic minorities and those that are landless able to participate in the political process through elections and other means?

Workshop Activities

Activity 3.9 – Livelihood and well-being survey data

Activity use: Review survey findings, discuss the outcomes and lessons learned

Type of Activity: Reflection and brainstorming

Instructions:

- As a group, brainstorm what kind of indicators might be used to assess relocation outcomes: what are the criteria for measuring well-being and livelihoods?
- Explain that below are the findings reported from an empirical survey conducted by IOM and the Institute of Sociology.
- In groups, review the data in **Figure 7: Status of livelihood and well-being indicators after relocation** and **Figure 8: Indicators of livelihood and well-being by destination commune and ethnic group** and discuss the following questions:

1. What do you think of these reported outcomes? Surprising? Not surprising?
2. What aspects of the relocation project have been most successful? What has been least successful?
3. What can be done to better support households with the less successful/more challenging aspects of the relocation project?
4. What lessons learned could you apply to your own community if you are to undertake planned relocation projects in the future?

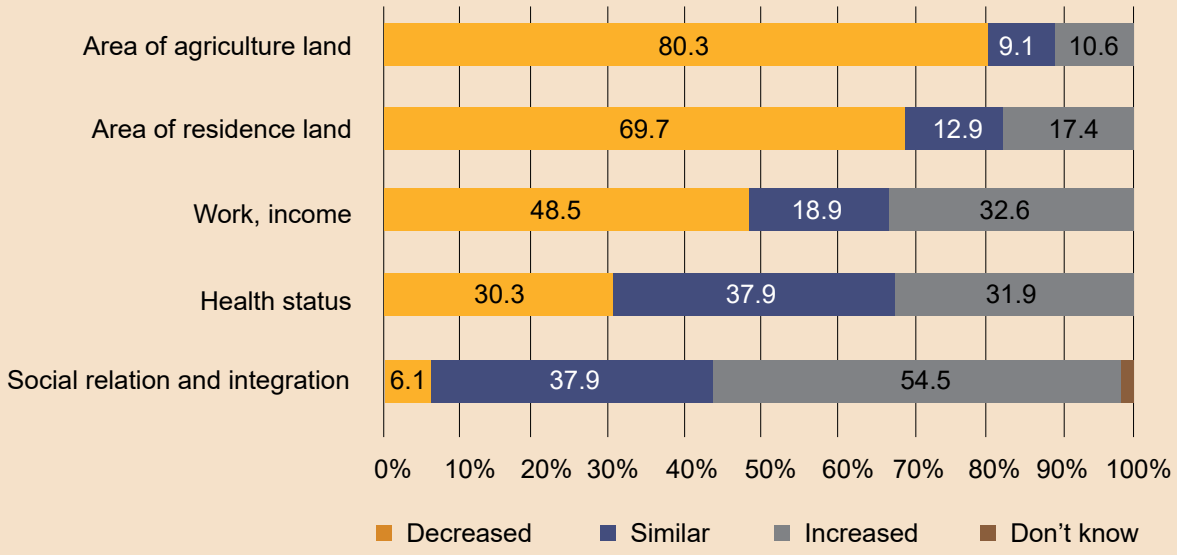
What does the data say?

The data in Figure 7 shows that after relocation:

- More than three quarters of relocated people had a **reduced area of land for agriculture.**
- Income or work opportunities were **reduced** for almost half the relocated households, and improved for one third of households.
- Health status was the same or better for two thirds of people, but one third said that their health status had declined after relocating.
- Almost everyone agreed that social integration and participation was the same or better after relocation.

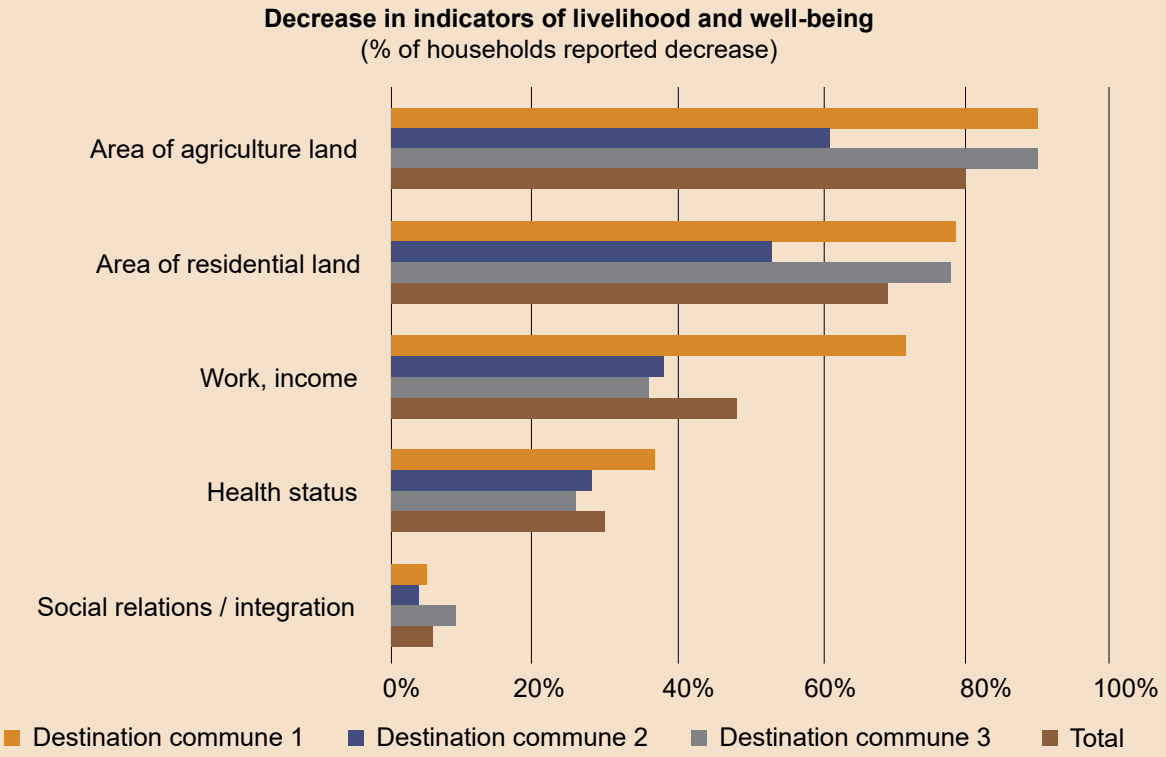
Figure 8 shows that there were differences in well-being indicators between different relocation sites and ethnic groups. In communes 1 and 3, nearly every household received less agricultural land than they used to have, but this was much less common in commune 2. In commune 1, the majority of people said their income had decreased, but in communes 2 and 3, most people said their incomes had stayed the same or improved. Looking at ethnic groups, Muong people were less likely than other ethnic groups to report a decrease in agricultural land area, income, or social integration.

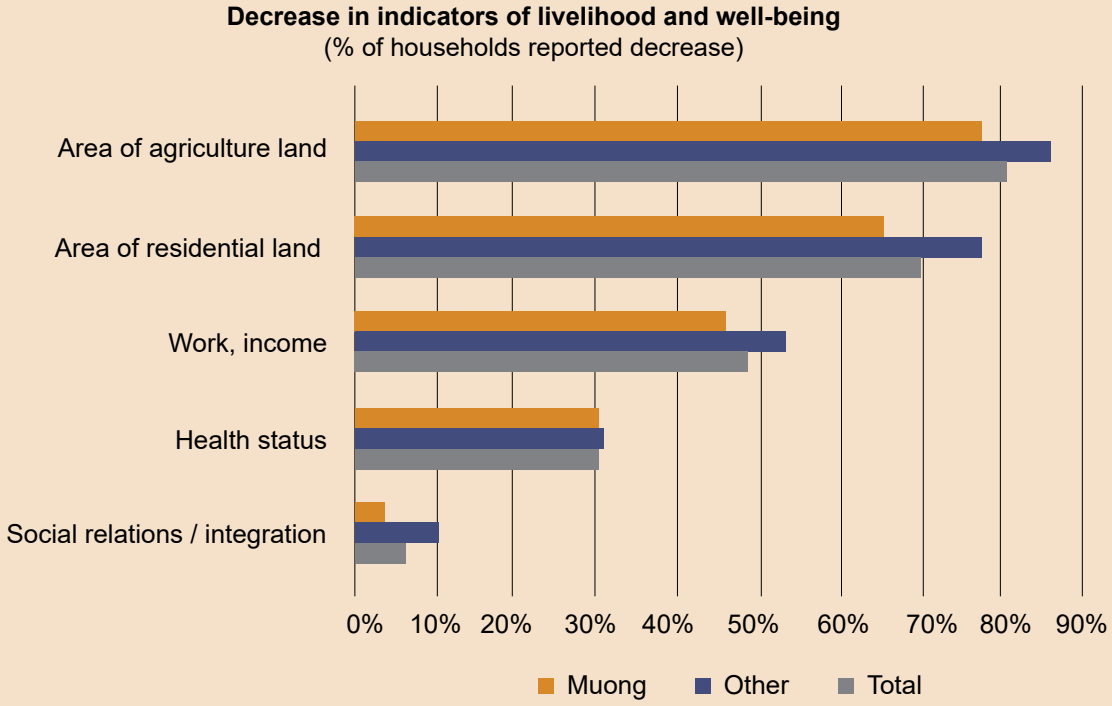
Figure 7 – Status of livelihood and well-being indicators after relocation



Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

Figure 8 – Indicators of livelihood and well-being by destination commune and ethnic group





No of households Commune 1:43 Commune 2:47 Commune 3:42 Muong:83 Other ethnicity:49 Total:132

Source: Survey data, IOM and Institute of Sociology, Ha Noi, 2017.

Debrief: Discuss why monitoring and assessing outcomes during and after the physical relocation is critical to ensure sustainable livelihoods and well-being for relocated persons.

Key messages:

- The phase during and immediately after relocation is a challenging time when assistance is most needed, and risks of decline in well-being or income can be significant.
- It is important ensure that access to resources, housing, infrastructure, and support to establish livelihoods are delivered in a timely manner as outlined in the relocation plan.
- It is critical to monitor and assess outcomes to identify problems, shortfalls, or challenges in the delivery of support and to adapt project delivery if needed to ensure relocated persons receive effective support.
- Over time and between different groups of people, relocated people may have different needs for assistance, particularly concerning adapting livelihoods – it is important to consult with households and tailor relocation assistance to their needs during and after relocation to mitigate vulnerability and promote sustainable positive outcomes.

MODULE 4

Monitoring, Evaluation and Accountability

Pilot training workshop for provincial and local authorities in Hoa Binh Province.
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Description:

This module describes how to develop and implement monitoring and evaluation processes. Participants discuss the purpose of monitoring and evaluation and review in detail what should be included in an evaluation plan.

TOPIC 4.1
Monitoring, Evaluation and Accountability: Purpose and processes

Objectives:

- Discuss the purpose of monitoring and evaluation and what information should be included in an evaluation plan.

Monitoring, evaluation and accountability measures can be used to assess planned relocation outcomes and provide answers to the question: are Relocated Persons and Other Affected Persons better off – or at least no worse off – than before the planned relocation took place? Answers to such questions are necessary and helpful for determining when a planned relocation has ended and Relocated Persons are no longer in need of assistance related to the planned relocation.

When undertaking planned relocation, it is essential to establish multi-dimensional baselines (environmental, economic, social assessments) and mechanisms for monitoring, evaluation and accountability from the beginning.

Monitoring and evaluation processes can serve several purposes. They can allow States, Relocated Persons and others to evaluate progress and make changes during the planned relocation. Similarly, they can identify effective practices and lessons that can inform and improve future planned relocation schemes. Monitoring and evaluation is also a means to hold State authorities accountable, and to ensure the planned relocation is undertaken to protect people from the risks and impacts related to disasters and environmental change. Effective monitoring and evaluation should be undertaken from the beginning of the project to allow project implementers to identify potential challenges early and adjust activities to respond to the needs of relocated households and other affected persons. It helps to ensure that the project avoids problems and remains sustainable in the long term.

At the national level, it is helpful to have an established framework for monitoring, evaluating and reporting on the outcomes of relocation projects. Monitoring and reporting frameworks encourage accountability and support learning from experience. Systematic collection of monitoring and evaluation data at the national or regional level enables government agencies and local authorities to learn from experience of other projects, and to refine planned relocation policies[7].

Checklist 10 – Monitoring, evaluation and accountability: The process of planned relocation

- ☐ Are monitoring, evaluation and accountability mechanisms put in place from the beginning of the planned relocation to ensure that there is appropriate baseline data from which to measure outcomes?
- ☐ Have indicators been developed to measure specific outcomes within defined timeframes?
- ☐ Are both quantitative and qualitative indicators included? Do they include environmental, social, cultural, economic, and human rights dimensions?
- ☐ Are mechanisms in place for the participation of Relocated Persons and Other Affected Persons, in the monitoring and evaluation?

[7] Information on the frameworks and processes within the relevant departments for monitoring, reporting and accountability for relocation projects in Viet Nam was not available at the time this manual was developed. It is hoped that this can be documented and updated in future to facilitate further learning.

- ☐ Are there transparent communication channels established so that findings from on-going monitoring and evaluation activities are shared, in a timely manner, with Relocated Persons and Other Affected Persons?
- ☐ Are mechanisms in place to ensure that the results of on-going monitoring feed into the on-going planning and implementation process of the planned relocation?

Checklist 11 – Monitoring, evaluation and accountability: The outcomes of planned relocation

- ☐ Has baseline information, with specific and measurable indicators, been collected before the planned relocation on such issues as:

  a. Socioeconomic characteristics of the population;

  b. Land tenure rights;

  c. Characteristics of houses and other infrastructure;

  d. Needs and vulnerabilities of the population; and

  e. Level of enjoyment of rights by Relocated Persons and Other Affected Persons.
- ☐ Has a process been developed to regularly collect information on these indicators to assess the outcomes of the planned relocation over the short, medium and long term?
- ☐ Are indicators of completion available to identify when Relocated Persons and Other Affected Persons are no longer in need of assistance, and the planned relocation can be considered completed?
- ☐ Does the monitoring process take into account that the demographics, living standards, and other indicators may also be affected over time by factors not related to the planned relocation, which should be considered when comparing data to the baseline?

Workshop Activities

Activity 4.1 – How to develop and implement a monitoring and evaluation plan

Activity use: Discuss what to include in a monitoring and evaluation plan and how to implement the plan

Type of Activity: Reflection and brainstorming

Instructions:

- Divide the class into small groups. Each group discuss the following questions:
  1. What are the current/past mechanisms in your communities for monitoring and evaluation before, during and after relocation?
  2. What do you think is important to include in a monitoring and evaluation plan? Discuss and propose at least five areas/criteria that you think are the most important ones to include in the plan.
  3. How and when will you collect the data?
  4. Discuss challenges you might face in the monitoring process and possible solutions to overcome it?

- Review **Annex 2 – Mapping of planned relocation coordination process between central, provincial and local level**. What roles and process can you add to this map to include an evaluation and monitoring component?

Debrief: Discuss the purpose of monitoring and evaluation: why is it important for communities? Why is it important for authorities and government? Highlight that while the processes can sometimes be challenging, monitoring and evaluation provides very important information which helps authorities and government develop lessons learned and improve processes, and also helps to ensure that the intended benefits to the community are achieved.

Key messages

- Monitoring and reporting frameworks encourage accountability and support learning from experience. It helps to inform and improve on-going project implementation as well as future planned relocation schemes.
- Comprehensive quantitative and qualitative indicators shall be developed from the beginning of the planned relocation to ensure that there is appropriate baseline data from which to measure outcomes.
- Adequate and realistic mechanism shall be put in place to regularly collect information on these indicators to assess the outcomes of the planned relocation over the short, medium and long term.
- It is important to ensure community participation in the monitoring and evaluation process.
- Transparent communication channels shall be established so that findings from on-going monitoring and evaluation are shared in a timely manner with all relevant stakeholders, including the affected population.

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ANNEX 1

The Toolbox's checklists - Terms and Definitions

State- national, local, and/or other levels of authority, including relevant institutions, as applicable, in the country in which planned relocation is undertaken.

Relocated Persons- means persons or groups of persons who take part in a planned relocation, or who have agreed to take part in a planned relocation, or both, as relevant.

Host Populations- means persons or groups of persons living in areas in which Relocated Persons settle or, it is proposed they settle, or both, as relevant.

Persons Who Choose Not to Take Part in Planned Relocation- means persons or groups of persons who are eligible to take part in a planned relocation and who choose not to do so.

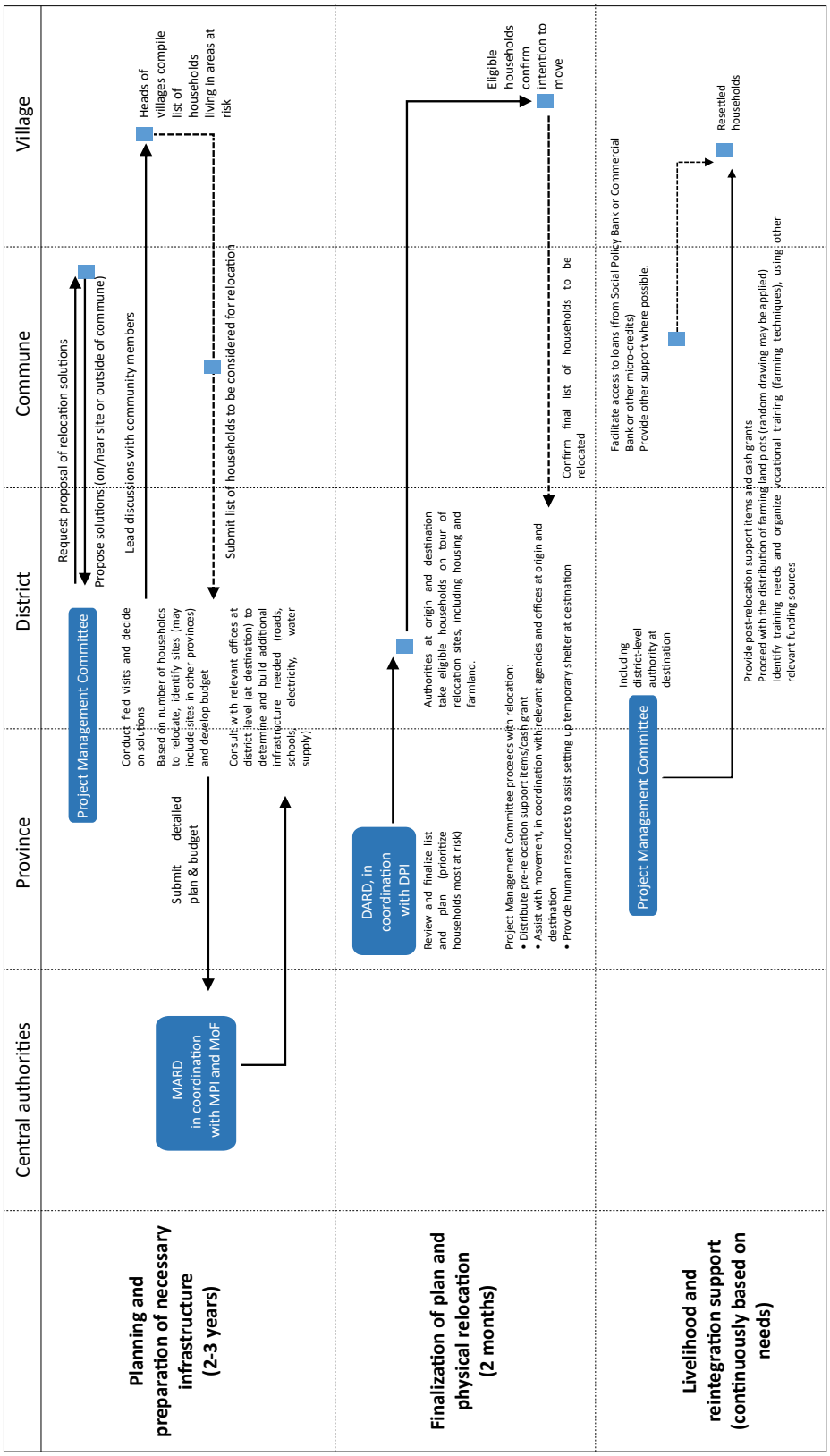
Persons Who Live in Close Proximity- means persons or groups of persons living in and around areas from which Relocated Persons originate and whose lives are adversely affected by a planned relocation.

Other Affected Persons- encompasses Host Populations, Persons Who Choose Not to Take Part in Planned Relocation, and Persons Who Live in Close Proximity.

ANNEX 2

Mapping of planned relocation coordination process between central, provincial and local levels

Annex 2: Mapping of planned relocation coordination process between central, provincial and local level



Source: Mapping produced by IOM based on data from interviews with provincial and local stakeholders in Hoa Binh province – IOM and Institute of Sociology, 2016

Note: MARD = Ministry of Agriculture and Rural Development; MPI = Ministry of Planning and Investment; MoF = Ministry of Finance; DARD = Department of Agriculture and Rural Development; DPI = Department of Planning and Investment

ANNEX 3
Trainer guidance note

This document includes tools and information to assist facilitators in preparing and conducting activities within each module. Facilitators can use this document as a training aid. The document is divided into the following topics:

1. **Interactive methodologies** suggested activities for each methodology.
2. **Evaluation tools** to use at the end of each training day.
3. **Energizers** to use at the beginning of the training day and when energy in the group seems low.

1. Interactive methodologies

Methodology 1 – Brainstorming

Methodology description

This method stimulates creativity and is focused on a specific question. It is meant to generate many ideas in a short period. The quality of the ideas is not relevant at first; the quantity is what counts. There is one important rule: no discussion during the brainstorm. Only questions to clarify an idea are allowed. Example: Ask the groups, 'What do households need to ask themselves when considering migrating or staying based on the different drivers?' Then each group brainstorms responses on the flipchart.

Instructions

- Give each team a topic to brainstorm and let them use a flipchart to brainstorm and discuss ideas.
- Designate one facilitator to each group to write down ideas on the flipchart.
- Each group then presents their best ideas that are the most relevant to the rest of the group.

Materials and setup

Flipchart paper and markers.

Suggested activities

Activity 1.2 – Should I stay or should I go?

Methodology 2 – Brain writing

Methodology description

A non-verbal, idea-generating methodology. This methodology allows a group to collectively build ideas, going further than the traditional brainstorming technique.

Instructions

- Ask participants to sit in a circle. Explain that the objective of this activity is to reflect on a definition. Pick a word to define from the topic content.
- Establish the three rules of this activity:
  - » There are no bad ideas. Now is the best time to think outside the box.
  - » Judgements are not acceptable at this stage of the activity.
  - » This exercise is intentionally silent and has to stay that way.
- On a whiteboard/flipchart, write the topic of this activity: Example: "What is migration?"
- Distribute cards and pencils to the participants.
- Working individually, participants have 1–2 minutes to write one answer to the question, example: "What is migration?"
- When time is up, participants are asked to pass their card to the person sitting to their left.
- Participants read the card they received and complete it with another answer (different from the one they have written previously, possibly completing the one written on the card they have in hand).
- Repeat the process at least one more time, so that each participant writes on three different cards in total.

- Ask each participant, one by one, to come up to the whiteboard/flipchart, to read aloud the definitions they have on their card and to stick it onto the whiteboard/flipchart.

Materials and setup
- Flipchart
- Marker
- Cards for each participant
- Pens or pencils

Suggested Activities
Activity 1.1 – Exploring the links between migration and the environment

Methodology 3 – Values Line
Methodology description
This activity can be used to discuss topics that may have varying opinions by different group members.

Instructions
- Draw a line down the centre of the room.
- Read out a values statement and if participants agree they step to one side of the line. If participants disagree they step to the other side of the line.
  Example:
  - » Value statement – There are different roles for both genders. (Agree or disagree).
  - » Value statement – There are gender issues in your community.
  - » Value statement – One gender is treated more fairly than the other.
  - » Value statement – One gender has an advantage over the other in relocating.
- After each statement is asked the facilitator can choose to discuss the topic and ask individuals to explain why they agreed or disagreed.

Materials and setup
Chalk to draw a line or tape. (Make sure to have enough to cover the length of the room.)

Suggested activities
Activity 1.3 – Gender patterns in your community

Methodology 4 – Take a stand
Methodology description
"Take a stand" is a methodology to give participants an opportunity to comment on a topic, voicing their personal opinions, experiences and ideas. Note: This activity is similar to the values line.

Instructions
- Create statements for discussion on a topic. Statements should try to capture different opinions participants may have on a subject. Examples:
  - » There are gender issues in your community.
  - » One gender is treated more fairly than the other.
- Make some space in the classroom and divide it into four corners to which the participants can move and stand. Each corner is identified with a paper on which the following opinions are written down:
  - » Totally agree
  - » Somewhat agree
  - » Somewhat disagree
  - » Totally disagree
- Read the first statement clearly and ask the participants to move to the corner of the room corresponding to their opinion.
- Ask the participants in the four different corners to explain why they moved to that space. Write down all the answers for all opinions on the statement's flipchart (optional).

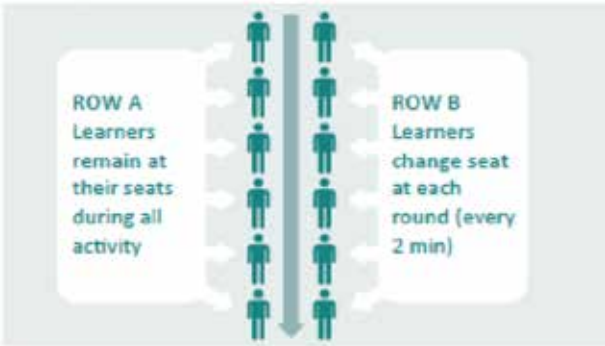
- Read the next statement and repeat the process until all the statements have been discussed.
- Wrap up the activity with a recap that covers the key points on each statement.

Materials and setup
- Four sheets of paper, on which to write the following opinions:
  - » Totally agree
  - » Somewhat agree
  - » Somewhat disagree
  - » Totally disagree
- Flipcharts
- Markers
- Tape

Suggested Activities to use take a stand:
Activity 1.3 – Gender patterns in your community

Methodology 5 – Speed Dating
Methodology description
"Speed dating" is a method used in this context to get participants to think very rapidly about a topic or a question. In pairs, participants are able to exchange and enrich each other's ideas. The setting is very informal and allows for thinking and discussion in a safe environment. This activity acts as a great energizer with the rounds being very brief, the pressure to start discussion as soon as participants sit down is very high. If the number of participants is uneven, you (or a co-facilitator) should take part in the activity.

Example of Speed Dating chair setup



Instructions
- Arrange two rows of chairs, making sure there are as many chairs as there are participants.
- Invite participants to sit down, facing each other.
- During the whole duration of the activity, discussions will take place in pairs; participants will discuss with the person facing them (that person will change with every round of discussion).
- In pairs, participants have 2 minutes to discuss the first question: Example: *"What are the three principles that you think apply best in your experience? Why?"*
- After 2 minutes, announce that the time is up and ask the participants sitting in row B to stand up and move one chair to the right - participants on row A remain seated. Discussion continues on the same topic, each participant with a new discussion partner.
- After 2 minutes, again ask participants from row B to move one chair to the right and to proceed with discussion on the same question.
- After 2 minutes, again ask participants from row B to move one chair to the right. Participants are now asked to discuss the second question: Example: *"What are the three principles that seem the most challenging to apply? Why?"*

- Repeat the same process as before until participants have examined the second question at least three times.
- Organize a brief plenary session to summarize the two topics that have been discussed and conclude by presenting key information.
- Ask participants to reorganize the classroom furniture for the next activity.

Materials and setup
Chairs organized in two rows (one chair for each participant), facing each other.

Suggested Activities
Activity 1.4 – The principles of planned relocation and local application

Methodology 6 – Carousel

Methodology description
This activity involves rotating small groups from one workstation to another, so that each group has the opportunity to discuss different topics. This activity is very useful to collect ideas, knowledge and opinions on the issues at stake. By limiting the time per flipchart, the participants will focus on the most important ideas. Make sure you emphasize that participants can also visualize their ideas. Space permitting, tape several flipcharts together so that participants have more writing space, which could generate more ideas from the participants.

Instructions
- Prepare five flipcharts. On each flipchart write a specific task, for example:
  - » What do you think is important to include in a monitoring and evaluation plan?
  - » How and when will you collect the data?
  - » How are you going to use it and how might it benefit the project?
- Place the flipcharts on the walls or place them on tables.
- Make sure the entire room is used this way and there is enough space for participants to move around.
- Explain that four questions will be addressed. Read the questions aloud while pointing at the corresponding flipchart.
- Divide participants into five groups and ask each group to go to one of the flipchart (each group goes to a different flipchart).
- Ask the participants to add their ideas on the flipchart (make sure you mention that they have creative freedom: they can write, visualize, mind map and so on).
- After 4–5 minutes, let the groups rotate to the next flipchart.
- Repeat the process until all groups have added their ideas on all five flipcharts.
- Give the entire group 5–7 minutes to walk around the room to take a look at all flipcharts.
- Wrap up the activity by summarizing what was learned.

Materials and setup
- Markers
- Flipcharts
- Tape

Suggested Activities
Activity 4.1 – How to develop and implement a monitoring and evaluation plan

Methodology 7 – Empathy map

Methodology description
Empathy means the feeling that you understand and share another person's experiences and emotions. It is the ability to share someone else's feelings. The empathy map helps participants explore the experiences or emotions of a person or group by answering questions about them. This activity can be used when discussing vulnerable populations within communities. Use this methodology when wanting to

gain a better understanding of those affected by a problem. This activity helps participants place themselves in the shoes of others.

Instructions

- Use scenarios of different participants–levels of experience, literacy, communities, gender, community roles etc. If discussing vulnerable populations then use only examples of vulnerable groups, example: people with disabilities, elderly, children etc.
- Divide participants into small groups. Provide a different scenario to each group.
- Ask the groups to read their scenario, put themselves in the shoes of their character and guess what the person may be feeling, thinking and doing. They can respond based on the four questions below. Groups can choose questions that are most relevant.
  - » What does (he/she or the group) say and do?
  - » What does (he/she or the group) think and feel?
  - » What does (he/she or the group) hear?
  - » What does (he/she or the group) see?
- Each group writes down their responses on a flipchart, present, and explain to the large group.

Example of an empathy map

This is an example of a vulnerable person in the community. A woman with HIV/AIDS in a small town. She has three children and is a single parent. She enters the room of a community's planning meeting for relocation. Below are the feeling, thinking and reactions she might have.

See? She might see many people she do not really know. This is because being a single parent, she has been struggling to find time to make a living for the family, find time for her and her three children.	**Hear?** She might hear people talking about the land and living conditions at a place far from where she is living, the supports that they are going to receive if they want to relocate. A lot of new information, she do not really understand everything they say.
Think and feel? She might feel intimidated. She wonders if someone will explain everything in detail. She wants to know more, but is not sure who to talk to and what to ask. In addition, she might feel like she does not want to move anywhere. With her health and family conditions, she is relying extensively on the help and support of her neighbours. She wonders whether they will choose to relocate. If they do not, and if she does not have any help at the new place, she does not think she can survive.	**Say and do?** She might decide not to say anything, as she is not sure where to start with. She might sit quietly in a corner, waiting for someone to start the meeting.

Material and setup

Create a flipchart and at the top label it empathy map.
In each of the four corners of the flipchart, write the four question above.

Suggested activities

Activity 3.4 – How communication strategy can better address households' needs

Methodology 8 – Myth or Fact?

Methodology description

This activity allows introducing topics in a fun way. It allows participants to think about facts concerning the given topic. Participants will be given statements about the topic and they will have to decide if that statement is a myth or fact. After each statement, participants will learn the correct answer.

Instructions

- Use knowledge and information found in the chosen activity to create myth or fact statements around the topic.
  Examples:
  1. Viet Nam is among the top ten countries most at risk of environmental change and disasters (Answer – Fact)
  2. Funding for planned relocation is not a big issue as States are hold accountable and have always been able to mobilize sufficient funding to support relocated communities (Answer – Myth)
- Designate one person to call out each statement one by one.
- After each statement is called out, participants stand up if they think the statement is a fact and stay seated if they think the statement is a myth.
- Play this game for all statements.
- Share the true answers for each statement if they were myth or fact.
- Participants can be called on to share why they think the statement is a myth or fact.

Material and setup

Use the chosen topic or activity information to create a list of statements either myth or fact. Keep notes of the real answer for each statement. Prepare this on flipchart paper.

Suggested activities

Introduction to any topic and activity

2. Evaluation Tools

These tools can be used at the end of each training day to gauge the participants understanding and ensure the training is on track. These tools are a guide and can be adapted to fit the training needs.

Tool 1 – Are we on target?

Tool description

A visual evaluation tool to gather learners' reaction after a daily session.

Instructions:

- Draw a large target on a flipchart and divide it into four sections.
- Before this activity, you will have developed four statements on which you would like to collect learners' reaction.
  Sample statements:
  1. Today's session meets my expectations.
  2. What I learned today will be useful to organize my own training workshops (or in my professional practice).
  3. Generally speaking, I have a good understanding of the topics presented today.
  4. I understand clearly the purpose of this session.
- Write one statement in the top corner of each section of the target.
- Give four sticky dots to each participant and explain that they are to place a dot in the section of the target corresponding to their level of satisfaction – the centre of the target indicating the highest level of satisfaction.
- You can hang the target on/by the exit door and ask participants to stick their dots on their way out.

Tool 2 – What's hot, what's not?

Tool description

A methodology to gather learners' reactions after a daily session (rather than at the end of the training workshop).

Instructions

- Ask learners to stand in a circle.
- Explain that they are expected to share the following information.
  1. A positive moment of the day (It was hot when…)
  2. A less positive moment, if possible suggesting how it could be improved (It was not so hot when…)
- As a facilitator, start the activity yourself to set an example of what is expected from the learners. Answers should be kept very brief (30 seconds per person) in order to keep the activity short, remembering it is the end of the day.
- A ball (or any other object that may be passed around) can be thrown randomly at the participants to designate the speaker.
- The activity is over when all participants have expressed their feedback for the day.

Tool 3 – Peel the onion

Tool description:

An activity that can be used to assess participants' learning, as well as to help them memorize information, and clarify potential misunderstanding. This activity should be conducted at the start of a new day.

Instructions:

Give each participant one or two paper sheets (size A4).

- Working individually, participants have 15–20 minutes to review the course content and formulate one or two questions that they would like the group to answer.
- Participants write their questions on different sheets of paper (one question per sheet of paper) to-

gether with the number of points attributed to the answer (1 for a simple question, 2 for a more complex question).
- Once all questions have been written, collect all paper sheets and crumple them into an onion
- Ask participants to form a circle. If the group is larger than 12, you may want to split it into two to limit the duration of the activity.
- Send the onion to a first participant who unwraps the first layer of the onion, reads the question aloud and tries to answer it. If that first participant cannot reply, someone else can propose an answer.
- Whoever answers the question gets 1 point. Keep track of participants' scores on a flipchart.
- Repeat steps 5 to 6 until the onion has been completely peeled.
- The winner is the participant with the highest score. He/she takes the prize. You may want to have a small prize for the winner (such as chocolates or a T-shirt).

Other quick end of day evaluation ideas:
- Review lessons learnt and summarize the day's learnings.
- Ask participant's opinion of the day: what they learned and what they would like to spend more time on.
- Round robin: ask everyone to say one thing they liked about the day and one thing they didn't like.
- Create short group quizzes and conduct at the end of topics or training sessions.

3. Energizers

The following are energizers that can be used at the beginning of the training day or at any point during the training when participants seem tired, bored or after sitting for a long period of time. Conducting an energizer after lunch and in the afternoon can help bring energy back into a training room.

How to perform an energy check? There are several ways a trainer can do this.

- You can simply look around the room and see if people look tired or bored.
- You can ask the group to rate their energy level by saying "Raise your hand if your energy level is high/medium/low." If many people have low energy then it might be a good time for an energizer break.

Human Knot
Participants get into a circle and hold hands. Say, everyone is facing each other. Your goal is to all face the outside of the circle without breaking hands. (Trick – One pair must lift their arms up while the rest of the group filters through). 5 minutes

Circle Time
Everyone will take a turn standing in the middle of the circle. They will say one skill they have for work and 1 hidden talent they have: example dancing, singing, etc. Participants must act out their hidden talent for 5 seconds and the group must guess what it is. The whole group should applaud after each person takes a turn.

Tell Time
Ask participants to close their eyes for 30 seconds and after that to open them. Nobody can watch the clock. Ask participants to open their eyes after what they believe has been 30 seconds. (Note: participants will all open their eyes at different times). Tell participants we experience time and use it in different ways. Some of us experienced the 30 seconds as a short period, other as a long. Tell participants that they will discover how to manage their time during this session.

Line up by Height
Ask everyone to stand up and line up by height. Have participants ask the name of the person on their right and left. Next ask everyone to line up by age. Again, ask participants to ask the name of the person to their right and left. Bring the group back together and ask every participant to briefly give their name and one reason they are taking this training.

Two Truths and One Lie
Each participant should say two facts and one lie about themselves and others have to guess which is the lie.

Share a stretch
Invite people to do a physical stretch and the rest of the group copies.

Our Names A to Z
Divide the group into two teams. Explain the two teams must line everyone up shoulder to shoulder based on first letter of your first name (A to Z) WITHOUT TALKING. They should work out how to do this themselves (using hand shapes). Give them just one minute.

Good Communication
Have participants stand in a circle. Have one participant think of a sentence or phrase – make sure it is a little long or complicated, like 'I went to the shop to buy some soap but all I found was an apple'. They must whisper this phrase in the ear of the person to their left. The next person whispers the phrase to the person to their left and so on until everyone has gone. The last person in the circle announces the

phrase aloud. Was it different from the original phrase? Conclude that communication can be difficult. Meaning can easily be distorted, and things often not easily understood. This is why we need to try very hard to communicate clearly.

What we have in common
In this activity, you must first find a partner and write down 3 things you have in common (eg. the first letter of your name, wearing same colour shirt, the town you live, your favorite food, etc)
Once you finish you must find a second person, and find 3 things you both have in common with that person (that were different from the 3 before).
Then do it a third person, writing down 3 new things that you have in common with this person.

Zip, Zap, Zop
Everyone stands in a circle. One person begins the pattern. The person has to jump and clap while saying ZIP, then point to somebody else in the circle. The person they point to has to jump and clap and point and say ZAP. The person they point to does the same thing except says ZOP. The pattern continues until either a person says the wrong word or messes up the rhythm (does not go or hesitates longer than a few seconds). You may “pass” back to the person who “passed to you”.

Name Game
Form a circle with everyone standing up. The first person says their name and makes a motion, gesture, or sign to represent him/herself. The next person repeats the name and sign of the person before them, then says their names and adds their sign. The next person repeats the name and sign of everyone before them and then adds their own. Repeat until everyone in the circle has taken their turn.

Who Am I?
The leader tapes the name of a famous person on the back of each participant. The group member is not to see who is taped to their back. Their task is to find out who they are. The participants go around the room asking others only yes or no questions. If the member receives a “yes” answer, they can continue to ask that person questions until they receive a “no” answer. Then they must continue on to ask questions to someone else. When a group member figures out who they are, they take off the tag, put it on the front of their shirt, and write their own name on it. That person can then help others find out who they are. The exercise concludes when everyone has discovered who they are. Variation: Use names of famous couples.

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