



Australian Government

Department of Foreign Affairs and Trade

# SAFEGUARD GUIDANCE NOTE: DISPLACEMENT AND RESETTLEMENT COLLECTING RESETTLEMENT DATA



This Guidance Note is one of a series that provides supplementary information on the management of displacement and resettlement in development investments. The notes complement the *Environmental and Social Safeguard Policy* and the *Environmental and Social Safeguard Operational Procedures*.



## 1. HOW TO COLLECT BASELINE INFORMATION FOR PLANNING, IMPLEMENTATION, AND MONITORING AND EVALUATION

**Why collecting baseline data is important** – Baseline data is required for appropriate resettlement planning and for determining whether planned mitigation measures have been effectively implemented. It is important to obtain this data prior to initiating activities that cause physical or economic displacement. Field-based identification and enumeration of affected people, complemented by field-based identification and measurement of displacement-related impacts, provides the only effective means for determining who is to be eligible for what forms of assistance, for estimating costs, for resolving grievances, for monitoring implementation progress, and for evaluating results. Collection of baseline data also helps to protect the partner government from opportunistic encroachment or fraudulent claims for compensation or other assistance. Baseline data is obtained normally through some combination of a census of affected people, an inventory of affected land or other fixed assets, and a socioeconomic survey focused on livelihoods and living standards. These data-gathering activities can be conducted separately or simultaneously. Data gathering activities should be commensurate with the potential displacement impacts of the development investment.



## 2. WHAT ARE DFAT'S RESPONSIBILITIES?

Collection of baseline information is needed for effective resettlement planning and implementation. Resettlement action plans are based on robust social assessment including field-based means of identification of affected people and field-based assessment of the scope and scale of potential impacts.

- ☑ **Role of partner government** – Collecting and maintaining baseline data is the responsibility of the partner government receiving DFAT support.
- ☑ **Role of DFAT** – DFAT should ensure that partner government agencies: (a) are informed about the necessity of obtaining baseline information; (b) understand and undertake effective methods for data collection; (c) use baseline information in the formulation of mitigation plans; and (d) maintain information in a manner that makes it accessible for use in monitoring and evaluation and in addressing grievances.
- ☑ **Co-financed development activities** – In co-financed investments, multilateral or bilateral partner agencies may have specific requirements relating to collecting and maintaining baseline information. Early in the investment planning process, the investment manager should reach agreement with partner government officials and co-financing agencies, as relevant, on the appropriate scope and methods for baseline data collection.

## 3. ELEMENTS OF EFFECTIVE COLLECTION AND USE OF BASELINE INFORMATION

- ☑ **Conduct a field-based census of affected people** – Affected people include renters, lessees and other people using or occupying land without full legal rights. As property registration systems are incomplete or out of date in many developing countries, a field-based census is essential to identify and enumerate affected people. This census is an integral part of determining who will be subject to various forms of displacement and who will be eligible for compensation or other assistance. The census and asset inventory also provide the basis for establishing a cut-off date, after which people moving into the area of impact or initiating improvements to property will not be eligible for compensation or assistance.
- ☑ **Conduct a field-based inventory of affected land and other fixed assets** – A full and accurate inventory of land, structures and other fixed assets is essential for determining categories of impact, for estimating compensation costs, and for identifying the significance of impacts at the household level. This includes the need to provide assistance beyond compensation for rehabilitation of livelihoods. Fixed assets or facilities that should be inventoried include structures, fencing, wells, tombs, shrines or other structures or improvements that would require demolition or dismantling as a result of the investment.



- ☒ **Conduct a field-based socioeconomic survey regarding livelihoods and living standards –**  
 A socioeconomic survey, normally conducted on a sample basis, provides information relating to household livelihoods and living standards, and community-level social, political and economic dynamics that are important to devising effective mitigation measures. The size and design of the sample should be sufficient to capture the variability (e.g., nature, scale, location) of potential impacts, and to ensure representation of poor or vulnerable groups. It is important to understand how resources and responsibilities are allocated within the household. Within the community, it is important to understand how gender, ethnicity or other demographic variables may affect resettlement, access to productive resources, and access to public facilities and services following displacement.
- ☒ **For planning purposes, baseline data should be gathered within an appropriate time frame –** Baseline information may have a limited shelf-life, especially in settings characterised by rapid demographic or economic change. As a general approach, the period between collection of baseline information and initiation of activities causing displacement should not exceed one year; this may be a shorter period in areas subject to rapid change and perhaps a somewhat longer period in areas of demographic and economic stability. In development activities that involve multiple sub-activities or phased implementation, baseline information should be collected on a phased basis to maintain timeliness and data validity. The collection of new baseline data may also be necessary when design changes result in an expansion of or shift in the area of impact.
- ☒ **Data validity should be emphasised, but arrangements should also be made to address errors or omissions in the data collected when they are identified –** Obtaining reliable baseline information frequently requires overcoming logistical obstacles. Field surveyors or enumerators must often make several visits at different times of day to find and identify all affected people. Formal land registration records may be inaccurate or out of date and must be supplemented with field-based observations of actual use or tenure. Demographic and economic changes will also continue to occur between data collection and full implementation of the development activity. For those reasons, census, inventory and survey information can serve as the primary basis for establishing eligibility for compensation or other forms of assistance, but other means for establishing eligibility with appropriate documentation should also be provided when baseline information is shown to be incomplete, inaccurate, or out of date.
- ☒ **Baseline data should be made available in a manner that makes it accessible for use in monitoring and evaluation and in addressing grievances –** Survey and census information should be aggregated and presented in a readily accessible manner for various purposes. Much of this information will be made publicly available through disclosure of the resettlement plan. Terms of reference and formats for implementation monitoring should be based on baseline information. Evaluation exercises should compare implementation results to baseline information to determine whether livelihoods have been restored and other objectives specified in the resettlement plan have been achieved. Baseline data should be made available in grievance redress processes, to establish the nature and extent of impacts and eligibility for assistance, or to refute baseless claims.

## GET HELP IF YOU ARE UNSURE

For assistance please contact: [resettlement@dfat.gov.au](mailto:resettlement@dfat.gov.au)

