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A TOOLBOX: Planning Relocations to Protect People from Disasters and Environmental Change



This Toolbox is intended to complement the **Guidance for Protecting People from Disasters and Environmental Change through Planned Relocations**, which was developed by UNHCR, the Brookings Institution and Georgetown University through a series of **meetings** between 2011 and 2015. These **meetings** brought together representatives of States, international organizations and experts from a wide range of disciplines and experiences.

This Toolbox, developed by Georgetown University, UNHCR, and IOM in close cooperation with the World Bank and UN University, seeks to provide concrete suggestions for States and other actors who are contemplating or planning to relocate people in order to protect them from disasters and environmental change.

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Cover photo: Three generations of villagers pose for a picture along the shoreline on one of the Carteret islands. Due to coastal erosion, the islands have progressively become uninhabitable as they slowly become consumed by the sea over several decades. **Credit:** © IOM / Muse Mohammed 2016.

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PART I:

INTRODUCTION AND OVERVIEW

Why this Toolbox

Disasters and environmental change have always affected the habitats in which people live. In extreme cases, such as riverbank erosion, the physical space where people live simply disappears and people have no option but to move elsewhere. In other cases, livelihoods, properties, or public services are damaged or destroyed to the extent that inhabitants perceive that they must move to find an adequate place to live. And there are also cases where people continue to live in places where their lives, property, and wellbeing are at risk—whether because of sudden-onset disasters (such as flooding or earthquakes) or the slow degradation of living conditions (such as drought or sea level rise)—and governments make the decision to relocate people in order to protect them. Climate change is likely to accelerate the pressures on habitats and governments are likely to consider Planned Relocations as a means to reduce disaster risk or to adapt to climate change. And yet, Planned Relocation also carries risks for those it is intended to benefit, including the disruption of livelihoods and loss of income, socioeconomic networks and cultural heritage.

Recognizing the gap in knowledge on Planned Relocations despite their widespread use in some contexts, through a series of international meetings held between 2011 and 2015, a group of States, international organizations and experts developed **Guidance on Planned Relocations**.¹ This *Guidance*, published in 2015, provides overarching principles for States and other actors to plan and implement Planned Relocations to protect people from disasters and environmental change. The *Guidance* underlines that Planned Relocations are complex, multidimensional processes. Planned Relocations should normally be a last resort and adopted only when other alternatives are not possible. When it is needed, it should be carefully planned and involve the participation of affected people. While there are certain general principles that carry across all Planned Relocations, the way in which decisions are made and implemented will depend on the particular national and local contexts, the available timeframe, and the underlying triggers.

¹ Brookings Institution, Georgetown University and UNHCR, *Guidance on Protecting People from Disasters and Environmental Change through Planned Relocations*, 2015. <https://georgetown.app.box.com/s/qwx6dcvl9762fv9itnqn98ogx1h3sjzz>.

The background research, which analyzed and highlighted lessons from past experience, and informed the development of the *Guidance*, suggests there are many things that can go wrong.² While it is important to have principles, it is also essential to translate them into good practice. This Toolbox begins to address this need. It identifies five cross-cutting elements that repeatedly surfaced in lessons from prior experience. These elements are relevant to all Planned Relocations:

1. Establishing and complying with an appropriate legal framework;
2. Understanding and addressing the needs and impacts of Planned Relocations on affected populations;
3. Providing information to, undertaking consultation with, and ensuring the participation of, affected populations;
4. Understanding and addressing complexities related to land issues; and
5. Undertaking monitoring and evaluation, and ensuring accountability.

Experience also suggests that these five elements should inform and guide decision-making at all three key stages of a Planned Relocation:

1. **Decision:** Making the decision to undertake Planned Relocation of groups or communities;
2. **Plan:** Developing a plan for Planned Relocation; and
3. **Implementation:** Implementing the plan, including measures: (a) pending physical relocation; (b) during physical relocation; and (c) in the longer-term following physical relocation.

In this context, Part II of this Toolbox begins by discussing the five cross-cutting elements that need to be incorporated into each of the different stages of Planned Relocations. Under each element, the Toolbox includes a checklist of issues to consider. Part III then discusses each of the three key decision-making stages. Under each stage, in addition to a checklist of issues to consider, the Toolbox also highlights some potential challenges. Throughout the text, examples are drawn from case studies to illustrate how governments have dealt with particular issues; these cases are drawn from the relatively small published literature on planned relocations and have not been systematically evaluated.

2 Petz, Daniel. *Planned Relocations in the Context of Natural Disasters and Climate Change: A Review of the Literature*. Brookings-LSE Project on Internal Displacement, June 2015. <https://www.brookings.edu/wp-content/uploads/2016/06/Brookings-Planned-Relocations-Annotated-Bibliography-June-2015.pdf>.

Explanatory Notes and Caveats

Although this Toolbox focuses on practical and technical aspects, the political context is particularly important. If a country has a tradition of good governance and rule of law, affected populations are more likely to trust the government in its planning and implementation of Planned Relocations. If the government has neither the will nor the capacity to carry out Planned Relocations in a way that upholds the rights of those affected, the success of the process will likely be hindered. This Toolbox is particularly relevant to situations where there is time to plan and where Planned Relocations are undertaken as proactive measures to respond to risks created by disasters and environmental change. However, there are also cases, normally in the immediate aftermath of a disaster, where displaced persons need to be settled elsewhere in order to protect them from future risks—or because their habitats have been destroyed. In these cases, where Planned Relocations are carried out in reaction to a disaster, the time pressure is intense. And yet, experience suggests that even when the time available is compressed, Planned Relocations are likely to be more successful when the five cross-cutting elements are addressed. While this Toolbox is primarily intended to provide guidance to those undertaking proactive Planned Relocations, the checklists, examples and challenges identified here are also likely to be helpful for reactive situations. In fact, some of the examples included are drawn from cases where Planned Relocations have been used in response to a disaster.

This Toolbox relates to Planned Relocations undertaken by State authorities and focuses on Planned Relocations undertaken within national borders. Nevertheless, the considerations and issues identified here could be useful in developing guidance for cross-border planned relocations, in the event these are needed. Of course, such guidance would also have to consider an additional complex array of issues for relocations across national borders. Similarly, while Planned Relocations may uniquely affect indigenous and other communities with a particular attachment to land, this Toolbox does not provide guidance on ensuring compliance with rights and obligations related to those populations. Nor does it do more than note some of the complexities associated with undertaking Planned Relocation in the context of different land tenure systems. For example, customary land tenure systems evolve and change over time. Finally, the Toolbox focuses on Planned Relocations of groups and communities rather than on measures to support individuals to relocate on their own.³

This Toolbox is very much a work in progress. Not all of the issues included will be applicable to all situations. While there have been many cases of Planned Relocations in both developed and developing countries, the published literature is uneven. As the body of evidence grows, other considerations, examples and challenges can be incorporated.

The terminology used in the Toolbox is drawn from definitions used in the **Guidance on Planned Relocations** (listed below in Box 1.1). In order to build on existing practice—and so as not to re-invent the wheel—some sections of this Toolbox have been adapted from the World Bank’s **Populations at Risk of Disaster: A Resettlement Guide**.⁴

³ Note, however that Annex 1 includes some reflections on the use of ‘buy-outs’ to support individuals to move from at-risk areas.

⁴ Correa, Elena with Fernando Ramirez and Haris Sanahuja. *Populations at Risk of Disaster: A Resettlement Guide*. GFDRR and the World Bank, 2011. <http://documents.worldbank.org/curated/en/612501468045040748/pdf/653550WP0Box360settlement0guide0150.pdf>.

BOX 1.1. Key Definitions

“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. 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. Such Planned Relocation may be carried out at the individual, household, and/or community levels.⁵

“State” means 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.

BOX 1.2. Basic Principles of Planned Relocations

These principles are excerpted with minor amendments from the *Guidance on Planned Relocation*.

1. Planned Relocation is undertaken for the benefit of Relocated Persons and in a manner that respects and protects their rights and dignity.
2. 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 preventive as well as remedial action to uphold such rights and to assist those whose rights have been violated.
3. States must have compelling reasons, robust evidence, and a sound legal basis for undertaking Planned Relocation.
4. States should ensure sufficient and sustainable funds for Planned Relocation.
5. 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.
6. Planned Relocation should be used as a measure of last resort, after other risk reduction and/or adaptation options have been considered in a timely manner and reasonably exhausted.
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.

⁵ The term “relocation” and “planned relocation” are used interchangeably throughout these guidelines to refer to “planned relocation” as defined here. The term “physical relocation” is used to refer simply to the physical transfer of persons from one location to another. These definitions are included in the *Guidance on Protecting People from Disasters and Environmental Change through Planned Relocations*, 2015. <https://isim.georgetown.edu/Planned-Relocations>.

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 and health characteristics;
 - b. socio-economic characteristics;
 - c. membership of a marginalized group;
 - d. special dependency on, and/or attachment to, land or local/localized resources/opportunities;
 - 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 principle of family unity. Planned Relocation should also be carried out in a manner that respects and maintains household, community, and social cohesion as well as kinship ties.
13. Relocated Persons shall:
 - a. enjoy, in full equality, the same rights and freedoms under international and domestic law as other similarly situated persons in their country;
 - b. not be discriminated against in the enjoyment of any rights and freedoms on the grounds that 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.

BOX 1.3. Manam Island, Papua New Guinea: a Difficult History of Relocations



Manam Island in Papua New Guinea is a high volcanic island with a lengthy history of volcanic activity. While Manam's inhabitants had a great deal of experience temporarily evacuating the island and seeking accommodation with hereditary mainland partners when volcanic activity occurred, large eruptions in December 2004 and January 2005 displaced the entire population of the island, some 10,000 people. The care centers were overcrowded and access to services such as sanitation, education, and fresh water was limited. There were no livelihoods generation programs, and the care centers did not have enough space to meet the subsistence agricultural needs of the Manam Islanders. By 2015, as care center life and relations with the host community became untenable, several thousand Manam Islanders returned to Manam, despite the fact that volcanologists had deemed the island unsafe for habitation. The Papua New Guinea parliament passed the Manam Resettlement Authority Bill in April 2016, authorizing the resettlement of the Manam Islanders to land about 30 km inland. The move to this new area inland, far from Manam, the sea, and the islanders' traditional sources of livelihood and spiritual spaces, would precipitate major changes in the islanders' lives and culture.

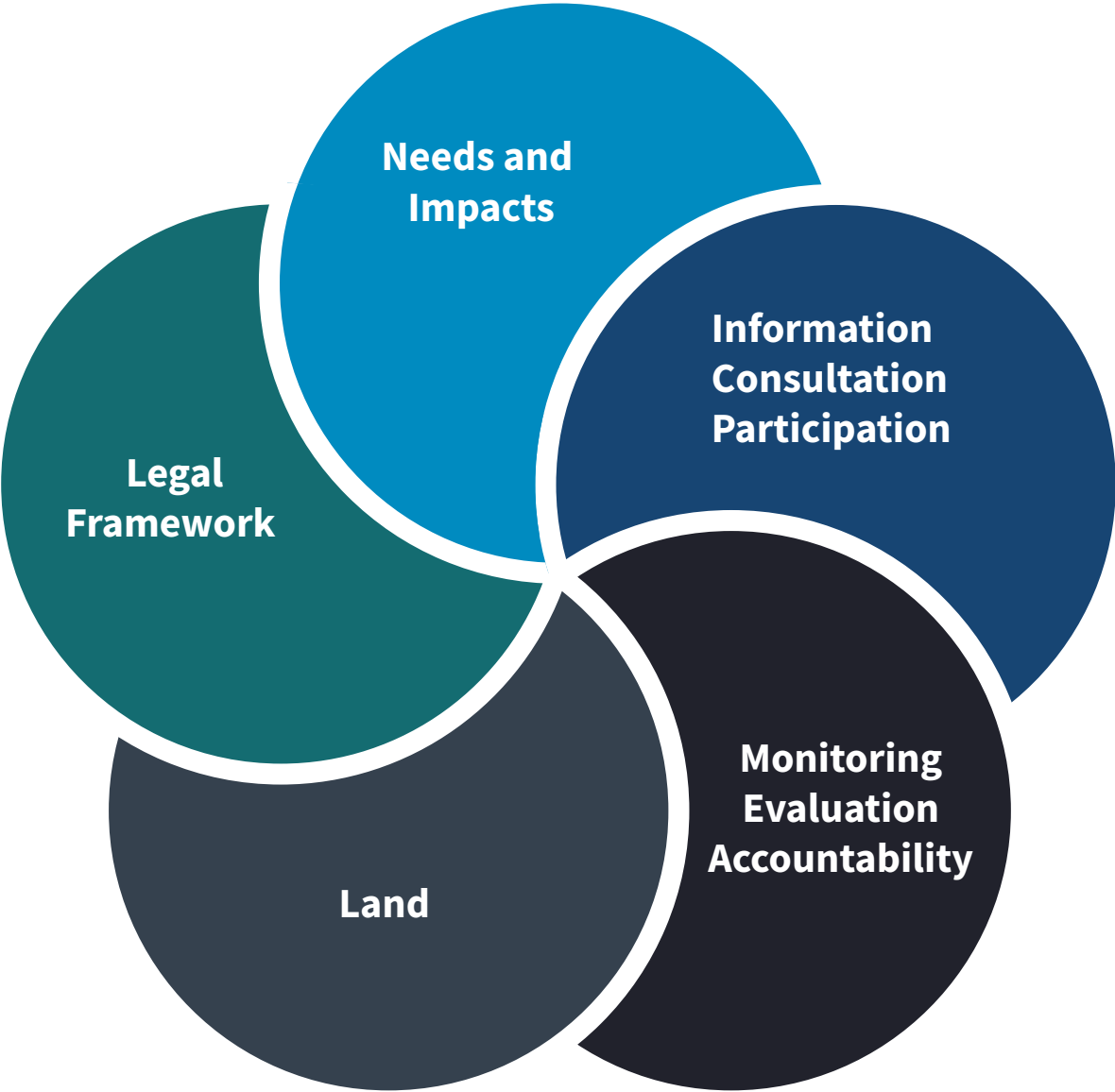
Sources:

Connell, J., and Lutkehaus, N. "Environmental Refugees? A tale of two resettlement projects in coastal Papua New Guinea." *Australian Geographer*, 2017. 48:1, pp. 79-95;

Connell, J., and Lutkehaus, N. *Another Manam? The Forced Migration of the Population of Manam Island, Papua New Guinea, Due to Volcanic Eruptions 2004-2005*. International Organization for Migration Migration, Environment and Climate Change: Evidence for Policy, 2016. <http://environmentalmigration.iom.int/another-manam-forced-migration-population-manam-island-papua-new-guinea-due-volcanic-eruptions-200-0>.

Five Cross-cutting Elements and Their Relationship to the Stages

These five cross cutting themes are interconnected and are relevant to all Planned Relocations.



As the table below shows, each stage of the Planned Relocation process will need to consider each of the five elements.

Table 1.1: The Relationship between the Five Cross-cutting Elements and Three Key Stages of the Planned Relocation Process

	Stage 1: Deciding to relocate a group or community	Stage 2: Pre-move planning	Stage 3: Implementation of the plan: pending, during, and after relocation
1. Legal framework	The framework provides a legal basis for undertaking Planned Relocation and identifies who has authority to make the decision	The framework provides safeguards against arbitrary displacement and relocation to high-risk areas, identifies who is in charge their responsibilities, and the rights of affected populations	The framework identifies how to comply with the prohibition against non-discrimination and other rights of affected populations throughout the implementation process
2. Needs and impacts	Assessments of vulnerability of and risk to affected populations is an essential component to making the decision to relocate	Detailed analysis of the socioeconomic and cultural characteristics, the needs of and expected impacts on people and communities is needed to plan appropriately	The Relocation Plan should be tailored to the socioeconomic and cultural characteristics of affected populations and measures to mitigate or compensate any adverse impact must be included to ensure success.
3. Information, consultation and participation	The engagement of affected populations is needed in making the decision to relocate	The engagement of affected populations is needed in the planning process	Continued involvement by affected populations is crucial during implementation of the plan
4. Land	There is a need to know if land is available for relocation before deciding on Planned Relocation	There is a need to acquire or 'prepare' the land for settlement, to understand the land tenure system, to decide on use of vacated land, etc.	Continuous assessment of suitability of land is needed during implementation and resolving disputes over land
5. Monitoring, evaluation and accountability	Risk assessments are key to making the decision to relocate	There is a need to determine baselines and to set up monitoring, evaluation and accountability mechanisms as part of the plan	Experiences of implementation feed into the monitoring, evaluation and accountability processes, including modifying those mechanisms as necessary



Udayapur, Nepal. Rivers becoming drier and more shallow, threatening livelihoods. **Credit:** © Amanda Nero/IOM.

PART II:

CROSS-CUTTING ELEMENTS

The five cross-cutting and fundamental elements, discussed in Part II, are relevant to all Planned Relocations. They should inform and guide each of the three stages of the Planned Relocation process discussed in Part III: making the initial decision to undertake Planned Relocation, developing a plan, and implementation over the short and longer-terms. This section provides a brief introduction to each of the five cross-cutting elements and then identifies a checklist of issues to be considered in understanding and incorporating each of the elements in the context of Planned Relocations.

Element 1: The Legal Framework

The implementation of Planned Relocation can often span multiple generations, which can mean the involvement of successive governments, divergent political priorities, and, potentially, multiple changes in policy. A clear, coherent, and comprehensive legal framework, incorporating human rights principles, can not only ensure that the decision to undertake Planned Relocation and its planning and implementation are carried out in accordance with national laws and policies, but also that the execution of these stages of Planned Relocation remain true to the original reasons, 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. 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.⁶ It is also a key component of international disaster response law.⁷

⁶ See *Sendai Framework for Disaster Risk Reduction, 2015 – 2030*. http://www.unisdr.org/files/43291_sendaiframeworkfordrren.pdf.

⁷ See for example the work of the International Federation of Red Cross and Red Crescent Societies on international disaster law. <http://www.ifrc.org/what-we-do/idrl/about-idrl/>.

An appropriate legal framework, based on human rights law, can limit the extent to which Planned Relocations are used for political, commercial or nefarious reasons under the pretext of protecting people and limiting their exposure to disasters and environmental changes. A comprehensive and considered legal framework can minimize potential conflicts with customary laws and norms relevant to Planned Relocation. Laws are also a pre-requisite for legally carrying out Planned Relocation to protect the safety and health of people in situations where States are not able to obtain their consent.

A checklist of issues to consider

Legal Issues of Particular Relevance to Deciding on Planned Relocation

- Has a mapping exercise been undertaken to determine whether, and in what ways, existing laws, policies or regulations relate to Planned Relocation? Are there domestic laws, policies or regulations that provide the legal basis, authority, and/or a framework for the State to carry out Planned Relocation? Are new laws, policies or regulations required? Are there conflicts between existing laws, policies or regulations?
- Are existing laws, policies or regulations consistent with the State's international legal obligations, including its obligations under human rights law in respect of individuals and/or groups (i.e. individual and collective rights)? Do the relevant laws, policies or regulations for carrying out, Planned Relocation enable the State to protect the rights of Relocated Persons and Other Affected Persons? Are there laws, policies or regulations that prohibit discrimination?
- Do the laws, policies or regulations identify mechanisms through which individuals, households, or communities can petition the State to carry out Planned Relocation?
- Do the laws, policies or regulations provide mechanisms for safeguarding against arbitrary displacement? Is it clear that the reason for deciding that Planned Relocation is necessary is the safety and/or health of persons or groups to be relocated?
- Do the laws, policies or regulations prohibit the physical relocation or settlement of Relocated Persons to high-risk areas?

BOX 2.1. Myanmar: National Framework for Recovery



The Myanmar government's National Framework for Recovery for the 2015 Floods and Landslides, released 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."

Sources:

Alice Thomas, *Accelerating Threats from Climate Change: Disasters and Displacement in Myanmar*. Refugees International. 2016, pp. 11-13.
<https://static1.squarespace.com/static/506c8ea1e4b01d9450dd53f5/t/5845f2e2f7e0ab230f4631cb/1480979178783/2016126+Myanmar.pdf>

BOX 2.2. Fiji: Guidelines for Relocations in the Context of Climate Change



Fiji is in the process of developing National Relocation Guidelines as an addendum to the National Climate Change Policy to ensure a protection-sensitive and sustained approach to relocations. The Guidelines were developed through a thorough consultation process that included a range of government agencies and other partners. A National Relocation Taskforce Team was formed to support relocation in Narikoso, Kadavu and national consultations on the guideline were carried out in 2015 and 2016.

The draft guideline defines Relocation as the voluntary, planned and coordinated movement of climate displaced persons within States to suitable locations, away from risk-prone areas, where they can enjoy the full spectrum of rights including housing, land and property rights and all other livelihood and related rights.

The guideline stresses that “The Fijian government, therefore, has taken the initiative of developing its own people-centered relocation guideline that advocates for and plans and pre-empts individual and community needs. This proactive work is to ensure that when communities relocate within Fiji, because of climate change, they do so in a way that protects and upholds the rights and dignities of the people involved.”

Source:

Cosmin Corendea, *Environment and Human Security Unit*, UN University

Legal Issues of Particular Relevance to Institutional Responsibilities

- Do the laws, policies or regulations articulate the rights and responsibilities of different actors, including relevant State authorities, Relocated Persons, Other Affected Persons, and non-State actors?
- Do the laws, policies or regulations identify the State actors—such as ministries, departments, institutions, local authorities or individuals—with authority to make decisions, including the decision to initiate Planned Relocation and authority to delegate decision-making on aspects of Planned Relocation?
- Do laws, policies or regulations articulate fundamental criteria upon which State actors with delegated authority to make decisions should make decisions, including the decision to initiate Planned Relocation?
- Do the laws, policies or regulations identify the State actors—such as ministries, departments, institutions, local authorities and individuals—responsible for implementing Planned Relocation, as well as the State and non-State actors permitted to support Planned Relocation?

Legal Issues of Particular Relevance to the Planning Process

- Do the laws, policies or regulations consider livelihoods restoration of Relocated Persons and Other Affected Persons?
- Do the laws, policies or regulations include measures for acquiring land and for regulating the use of vacated land?⁸
- Do the laws, policies or regulations articulate the means through which funds to carry out Planned Relocation will be acquired and how funding will be sustained throughout the Planned Relocation?

8 See Part II, Element 4 on land issues

BOX 2.3. Jamaica: Relocation as an Element of Disaster Risk Reduction



Recognizing the need for a proactive and progressive approach to disaster risk reduction at the national level, Jamaica is preparing a Resettlement Strategy as part of its efforts to implement progressive disaster risk reduction and climate change adaptation measures and build resilient communities. The strategy has six key components:

1. Preventing settlement in vacant and other high-risk areas, through, *inter alia*, concerted work with relevant groups to identify alternative uses for land and maintain community spaces
2. Capacity-building of institutions through training and research including at academic institutions and through pilots and field work;
3. Addressing project-induced immigration in areas of investment projects such as infrastructure and mining through environmental impact assessments and environmental management plans to avoid new settlements in areas at risk.
4. Resettlement of populations living in high-risk areas, having exhausted other mitigation and adaptation options;
5. Supporting at-risk populations awaiting resettlement through ensuring that their living conditions do not deteriorate, preparing communities to respond to emergencies (establishment of community disaster committees that are trained in search and rescue, first aid, triggers, and early warning signs and can act as focal points for communication; and preparing people for future resettlement)
6. Post-disaster resettlement, which will include socio-economic assessments to determine if the standard of living/development is at an 'appropriate' level.

This draft Resettlement Strategy is aligned to Jamaica's National Development Plan, which is in turn aligned to the 2030 Sustainable Development Agenda. Vulnerability assessments have already identified at least 1000 communities at risk and detailed studies should be conducted to determine the need of resettlement. Once the institutional arrangements are clear, Jamaica intends to adopt the strategy, develop operational guidelines, and seek funding for implementation.

Source:

Daintyann Barrett, *Jamaica Social Investment*

- Do the laws, policies or regulations articulate benchmarks against which Planned Relocation should be evaluated over time, or provide a framework for doing so?⁹
- Do the laws, policies or regulations require the collection of data on, and monitoring and evaluation of, Planned Relocation, including different phases of the process, or provide a framework for creating and implementing such mechanisms?¹⁰
- Do the laws, policies or regulations provide for or require the establishment of a mechanism for holding authorized State actors or the State's agents accountable for implementing Planned Relocation?
- Do the laws, policies or regulations provide access to appropriate grievance, review, dispute resolution, and redress mechanisms for Relocated Persons and Other Affected Persons on all aspects of Planned Relocation, including the decision to initiate Planned Relocation?

⁹ See Part II, Element 5 on Monitoring, Evaluation and Accountability

¹⁰ See Part II, Element 5 on Monitoring, Evaluation and Accountability

Element 2: Needs of, and Impacts on, Affected Populations¹¹

Relocating persons and groups of persons from one place to another—even when intended to protect them from greater harm—is a complex process which can result in the loss of land, housing and livelihoods as well as the breakdown of social and economic networks. There is a large body of literature detailing the risks inherent in the relocation process, particularly the risk of impoverishment.¹² These risks are likely to affect specific groups within the affected population differently, such as women, children, the elderly, those with disabilities, and ethnic or religious minorities.

Planned Relocations impact not only those who are to be relocated and the receiving communities, but also former neighbors and those who may continue living at the original location. The following table, adapted from the World Bank’s *Resettlement Guide*, identifies some of the potential negative impacts of Planned Relocations on specific groups.

Table 2.1: Groups which May Experience Negative Impacts of Planned Relocation

Affected group	Potential Negative Impact
Relocated Persons	<ul style="list-style-type: none"> • Landlessness • Homelessness • Loss of Income • Loss of economic networks (business, credit, trade) • Loss of access to public services (water, power, sanitation, transportation, communications, public safety) • Loss of social networks (family, community) • Impact on health (increased mortality and morbidity) • Loss of community assets (communal facilities, places of worship)
Persons Who Live in Close Proximity and Persons Who Choose Not to Take Part in Planned Relocation	<ul style="list-style-type: none"> • Loss of income (customers, tenants) • Loss of economic networks (business, credit) • Poorer-quality public services (water power, sanitation, transportation, communications, public safety) due to cost of providing services to smaller populations • Loss of access to or poorer-quality social services (health, education, recreation) • Loss of social networks (family, community)
Host Populations	<ul style="list-style-type: none"> • Greater competition for jobs and resources • Poorer-quality public services (water, power, sanitation, transportation, communication, public safety) due to cost of providing services to smaller populations • Poorer-quality social services (health, education, recreation) • Impact on health (increased mortality and morbidity) • Community tensions and disputes

11 This section is drawn largely from Phase II (pp. 52 – 56) of: Correa, Elena with Fernando Ramirez and Haris Sanahuja. *Populations at Risk of Disaster: A Resettlement Guide*. GFDRR and the World Bank, 2011. <http://documents.worldbank.org/curated/en/612501468045040748/pdf/653550WP0Box360settlement0guide0150.pdf>.

12 See for example, the classic work of Michael Cernea, including “*Understanding and Preventing Impoverishment Risks from Displacement: reflections on the state of knowledge*,” *Journal of Refugee Studies* 8 (3): 1995. <http://documents.worldbank.org/curated/en/909961468740152010/Understanding-and-preventing-impoverishment-from-displacement-reflections-on-the-state-of-knowledge>.

Engaging with and understanding the concerns of all those affected by Planned Relocation is critical. In many cases people live physically close to one other but they are not communities in the sense of constituting a socially cohesive group and collective. Planned Relocations may not be the best option. Some of the factors that should be borne in mind include whether people in a particular physical location have homogeneous characteristics, strong social cultural and economic networks, high levels of social cohesion, strong sense of collective identity, self-identification as a member of the community, and collective attachment to the place they live. Planned Relocations can involve both communities and groups of people living in physical proximity to one another who do not have a collective identity. The methods for engaging each of these types of populations in the process will likely differ.

The following checklist includes information that may assist those planning relocations to be able to assess the potential impact of Planned Relocations on specific groups of affected people. This information can feed directly into the formulation of the relocation plan, and serve as a basis for monitoring, evaluation and accountability. It may be helpful to conduct a census of the affected populations before beginning the planning process; such a census may also serve as a baseline for the monitoring and evaluation process.¹³ As discussed further below, it is considered good practice to engage affected populations in the collection and analysis of relevant information.¹⁴

A checklist of issues to consider

With Respect to Relocated Persons and Other Affected Persons

- Is there a clearly delineated physical area from which people are to be relocated? Are the reasons for this particular delineation in line with scientific evidence?
- Is there a census of Relocated Persons including key demographic, socioeconomic and cultural information? Is there an analysis of the population, including social and family organization, socioeconomic characteristics and social support, and mutual assistance networks among Relocated Persons?
- Is there an understanding of any emotional bonds felt by Relocated Persons with their housing, neighbors, 'community' and the physical environment?
- Is there an understanding of the practices and customs of Relocated Persons as they relate to issues such as use of physical and common space, community leadership and cultural values?
- Is there an understanding of the demand for and use of resources (e.g. water, power, and telecommunications) and services (e.g., solid and wastewater disposal)?
- Is there an understanding of the social, political and administrative organization, including customary authority, within Relocated Persons?
- Is there an inventory of productive activities, sources of income and income levels of Relocated Persons and Other Affected Persons?
- Is there an inventory of existing social services available to people in the physical area from which a Planned Relocation is to occur? For example, is there an inventory of schools and health centers and analysis of practices related to health? Is there an inventory of causes of morbidity and mortality causes?

¹³ See Annex II for an example of the information which may be useful to include in such a census.

¹⁴ Adapted from Table P2.2 of: Correa, Elena with Fernando Ramirez and Haris Sanahuja. *Populations at Risk of Disaster: A Resettlement Guide*. GFDRR and the World Bank, 2011.
<http://documents.worldbank.org/curated/en/612501468045040748/pdf/653550WP0Box360settlement0guide0150.pdf>.

- Is there information on the potential impacts on cultural artefacts, traditions and heritage of relocating people from a given area?
- Is there an understanding of the potential political impact of relocating people from a particular area to another?

BOX 2.4. Cultural Heritage

The term ‘cultural heritage’ encompasses tangible and intangible heritage, which may be recognized and valued at a local, regional, national or global level, as follows:

Tangible cultural heritage includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic or other cultural significance. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water.

Intangible cultural heritage includes practices, representations, expressions, knowledge, skills—as well as the instruments, objects, artefacts and cultural spaces associated therewith—that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

Source:

World Bank, *Environmental and Social Framework: Setting Environmental and Social Standards for Investment Project Financing*, 4 August 2016. http://indianlaw.org/sites/default/files/third_draft_esf_for_disclosure_july_20_2016.pdf.

With Respect to Structures and Infrastructure in the Place of Origin

- Is there an inventory of built structures, whether for housing or for economic activities, including private, public or communal structures?
- Is there an assessment of the value of land or parcels of land and built structures, including common spaces?
- Is there a land tenure study identifying the land rights of inhabitants, including for example patrilineal or matrilineal systems of inheritance? Is there a land registry?
- Is there an inventory of existing public service infrastructure relating to the relevant physical area (e.g. water, power, transportation, sanitation, communications, public safety)?
- Is there an inventory of infrastructure used for community purposes (e.g. recreation, sports, religious or social activities and an analysis of these practices?)

With Respect to Host Populations

- Is there analysis of the relationship between Relocated Persons and Host Populations concerning the historic nature of interactions as well as similarities and differences in social, cultural, political and economic characteristics and structures?¹⁵
- Is there information about the likely environmental impact of the Planned Relocation on Host Populations, in terms of water, land, power, and pollution? On public and social infrastructure, resources, and services?

¹⁵ See also Part II, Element 4 on land issues.

BOX 2.5. Vunidogoloa, Fiji: Moving Burial Sites



In the relocation of Vunidogoloa Village in Fiji, a challenge was “coming to terms with the traumatic decision to exhume the remains of their ancestors and move them to a new burial location... [Elders] didn’t want to leave the cemetery where it was, to be washed away, so the church arranged for the burial site to be moved.”

Source:

Edwards, J. *A Story of Relocation and Rising Sea Levels: Vunidogoloa Village, Vanua Levu, Fiji*. Global Methodist Ministries, May/June 2016. <http://www.umcmmission.org/find-resources/new-world-outlook-magazine/2016/may/june/0614risingsealevels>.

With Respect to Persons Who Choose Not to Take Part in Planned Relocation as well as other remaining populations

- Is there an analysis of the environmental and other risks and impacts on Persons Who Choose Not to Take Part in Planned Relocation and any other remaining population?
- Are there assessments of the capacity of Persons Who Choose Not to Take Part in Planned Relocation and any other remaining population to live in safety, to access public services, to maintain livelihoods and to maintain social, economic, and cultural networks?
- Has an assessment been done of the costs and feasibility of providing social services to a reduced population?

With Respect to Persons Who Live in Close Proximity

- Is there an assessment of other populations who may be impacted by the Planned Relocation, e.g. the impact on the tourism industry, on supply chains, and on housing prices?

Element 3: Information, Consultation and Participation

The meaningful engagement of affected populations throughout the process—from the initial decision to pursue Planned Relocations through monitoring and evaluation—is essential to the success of the endeavor. People need to perceive that they have been sufficiently involved in the process to own the decision and engage in its implementation. As discussed in Box 2.6 below, community meetings with affected populations, scheduled at different stages of the process, can build support and ownership over the process as well as anticipate and address problems.

BOX 2.6. Organizing Meetings with Relocated Persons: Guidance from the World Bank

Community meetings should be held only for important milestones. Frequent meetings should be avoided to avoid deterioration in relations with communities and loss of interest. Community meetings should be held at different points in the Planned Relocation process.

Meetings should be held in launching the Planned Relocation plan to:

- Introduce the team of professionals;
- Inform the community of activities and studies to be carried out in preparing the relocations resettlement program, the objective of each activity, the type of information to be compiled and its purpose, the timetable envisaged for information compilation, alternatives that will be explored, and the schedule of upcoming meetings and matters that will be discussed; and
- Establish communication channels through which information may be obtained and provided (for example, reaching agreement on the approach to implementing the other mechanisms discussed below).

Meetings should be held upon completion of the census and socioeconomic study, to:

- Present and validate the results of the census and socioeconomic study; and
- Establish the census closing date.

Meetings should be held when the relocation alternatives have been identified, to:

- Present the different alternatives, their advantages and disadvantages, and the rights and obligations in connection with each;
- Reach agreement on how more detailed information can be obtained on each alternative (visits to sites, etc);
- Establish the time communities will have for choose between the alternatives offered; and
- Define the types of participation, depending on the alternative selected.

Finally, meetings should be held during the preparation and implementation of the plan to provide information on:

- The progress and status of the different activities;
- Budgetary execution; and
- Problems faced and potential solutions.

Source:

Adapted from: World Bank. *Handbook for Preparing a Resettlement Action Plan*. 2002. <http://documents.worldbank.org/curated/en/492791468153884773/Handbook-for-preparing-a-resettlement-action-plan>, pp. 62-63.

In particular, traditional authorities and customary leaders need to be involved in the decision-making. Land-based tensions related to loss of cultural heritage, for example, are likely to be limited and better managed when customary land owners and chiefs are at the first line of negotiations over land with Host Populations.

Engagement can take different forms and may be thought of as a continuum—from passive receipt of information from authorities, to the two-way process of consultation, to enabling the active participation of affected populations in decision-making. All three—information, consultation, participation—are essential to positive outcomes in Planned Relocations.

While engagement of affected populations in each of the three stages of Planned Relocation can be structured in different ways, there seem to be certain common elements that need to be addressed.

1. Determining which groups/individuals are likely to be affected (stakeholders) and how and when they should be involved. This is generally done early in the process.
2. Identifying strategies to engage diverse groups (including ethnic, linguistic and religious minorities, persons with disabilities, women, children and youth, and older persons).
3. Challenges of working directly with those affected, identifying representatives and avoiding ‘capture by elites’.
4. Mechanisms for information, consultation and participation—who distributes information, who participates in consultations, and how participation is structured.
5. Timeframe for consultations.
6. Mechanisms for individuals who dissent from community views.

A checklist of issues to consider¹⁶

Dissemination of Information

- Recognizing that different groups will have different expectations and needs for engagement, ask- has information been disclosed to allow stakeholders to understand the risks and impacts of the Planned Relocation, and potential opportunities? Has the following information been provided to stakeholders in a way that enables meaningful consultation with stakeholders on Planned Relocation?
 - a. The purpose, nature and scale of the Planned Relocation;
 - b. The duration of proposed activities;
 - c. Potential risks and impacts on Host Populations, and the proposals for mitigating these, highlighting potential risks and impacts that might disproportionately affect vulnerable and disadvantaged groups and describing the differentiated measures taken to avoid and minimize these;
 - d. Potential protection risks to Relocated Persons, advice on how to mitigate those risks and information on both ways of reporting protection threats and resources for responding to them when they do occur;
 - e. The proposed stakeholder engagement process highlighting the ways in which
 - f. stakeholders can participate;The time and venue of any proposed public consultation meetings, and the process by which meetings will be notified, summarized, and reported; and
 - g. The process by which grievances can be raised and will be addressed .

¹⁶ Adapted from World Bank, *Environmental and Social Framework: Setting Environmental and Social Standards for Investment Project Financing*, 4 August 2016. https://consultations.worldbank.org/Data/hub/files/consultation-template/review-and-update-world-bank-safeguard-policies/es/materials/the_esf_clean_final_for_public_disclosure_post_board_august_4.pdf.

BOX 2.7. New Zealand: Engagement with Stakeholders in Responding to Earthquakes



From 4 September 2010 to 23 December 2011, Christchurch, New Zealand, was struck by a series of large earthquakes and thousands of aftershocks that caused extensive land and property damage and even loss of life in some cases. When the Canterbury Earthquake Recovery Authority (CERA), a central government authority, was created in 2011 to respond to these events, it marked a move away from locally-led recovery efforts, as New Zealand's hazard risk management had traditionally been run, towards a centralized, nationally-led approach.

The core role of CERA was implementing the government's offer to buy red zoned properties. CERA set about informing affected people and groups about the offer, which involved setting up hundreds of community meetings with residential property owners and liaising with other relevant stakeholders, including the Earthquake Commission, private insurers, lawyers who would advise clients on the offer, banks, representatives of the real estate sector, and other parties with an interest in the government offer. CERA ensured that information was available to stakeholders through various channels, including by mail, telephone hotline, online, and in person at newly established Earthquake Assistance Centers. The relationships and networks built by CERA—at the individual, community, and institution levels—were key to the success of the government response.

In order to implement a broad range of programming and information brokerage, CERA employees built relationships with communities and their leaders; effective engagement with these community networks marked a crucial element for the success of CERA's work. Community engagement required both an appreciation of the importance of engagement as well as expertise in developing, implementing, and delivering engagement approaches and processes. Expertise was drawn from those with experience in working with communities rather than only those with technical knowledge of the disaster. Psychosocial experts were brought on early in the community engagement process in order to develop and review engagement strategies, processes, and messaging. At the same time, emphasis was placed on valuing the expertise and knowledge of those who understand the local context and / or have experienced the impacts of the disaster themselves.

One of CERA's roles was to seek feedback from communities about the support they needed and to provide services to enable people to understand the categorization of their land as "red zones" and evaluate their options. In order to respond to this feedback, CERA had to adopt a flexible approach, constantly reviewing and adjusting their settings and plans to reflect emergent knowledge around the obstacles to decision-making experienced by the affected community.

Source:

Mitchell, M. *Relocation after Disaster: Engaging with Insured Residential Property Owners in Christchurch's Land-damaged 'Residential Red Zone.'* The Brookings Institution, June 2015. <https://www.brookings.edu/wp-content/uploads/2016/06/Brookings-Planned-Relocations-Study-New-Zealand-June-12-2015.pdf>.

- Has information about the Planned Relocation been made available in relevant languages and in a way that is accessible and culturally appropriate, taking into account groups which may have specific information needs based on aspects such as disability, literacy, gender, mobility, differences in language or accessibility?
- Does the dissemination of information take into consideration the communication channels regularly used by relevant populations, including social media?
- Regarding provision of information by authorities to affected populations and others, is there a clear protocol as to who can provide information?

Consultation and Participation

- Have traditional and non-traditional community leaders been provided with the opportunity to engage and participate throughout the Planned Relocation? Have sufficient efforts been made to enable and empower traditional authorities to make informed decisions at all stages of the process?

- Have safe and accessible feedback and complaints mechanisms been developed?
- Have steps been taken to ensure that Relocated Persons and Other Affected Persons have the time and space to meet and consult with each other?
- Have consultative and participatory processes been developed in such a way to minimize unrealistic expectations?
- Has thought been given to the possibility that consultations with those to be affected by Planned Relocations may challenge established political and institutional structures, including traditional leadership?

Element 4: Land

Land-related complexities arise throughout Planned Relocation. Finding and acquiring land for Relocated Persons is usually a complicated undertaking. Sometimes census data and land registry systems are incomplete, making it difficult to determine who owns—or has rights over—a given parcel of land. Customary land tenure systems may co-exist with statutory legal systems, with the potential for contradictions and conflicts. In areas where customary land tenure prevails, land tenure boundaries should be used to avoid loss of cultural heritage and conflicts associated with land ownership.¹⁷ Determining fair compensation when private land is acquired can also be a source of tension.¹⁸

Another difficult issue relates to the use of vacated land. In some cases, the land is set aside as a park or reserve to mitigate further environmental risks. In other cases, land that is vacated because it is too risky is subsequently re-populated, putting new populations at risks.¹⁹

There are also complexities associated with eligibility criteria and whether for example, renters, squatters and landless people can acquire access and rights to land—including formal titles—as a result of the Planned Relocation. Gender issues run throughout discussions of land, including the rights of women to inherit, own, occupy and dispose of property. In this regard, Planned Relocations can offer a way of redressing some of the inequities around land and housing.

BOX 2.8. Fiji: The Long Process of Relocation of Vunidogoloa



Vunidogoloa (located on the second largest island of Fiji, Vanua Levu) suffered from high exposure to sea-level rise and extreme events, including increasing rates of serious floods and erosion. Relocation had been discussed as far back as 1956, but villagers were reluctant to relocate and the funds necessary for resettling village inhabitants were not available. However, beginning in 2006, the village's residents spearheaded a new effort to relocate by formally asking the government for assistance in this process. The process involved many actors, including the residents themselves, government ministries, and international organizations. The site selection, which was done by the village population, was identified as crucial to the relocation's success.

Source:

Tronquet, C. "From Vunidogoloa to Kenani: An Insight into Successful Relocation." *The State of Environmental Migration*, 2015. Ed. by F. Gemenne, C. Zickgraf, D. Inoesco. International Organization for Migration and SciencesPo. <http://www.environmentalmigration.iom.int/projects/state-environmental-migration>

Many of the documented cases of Planned Relocations have occurred in rural or sparsely-settled areas, where a group of people is collectively resettled to one site. The availability of adequate suitable land is a key factor in determining whether agricultural livelihoods can be sustained. But this is far from the only model. People may be relocated to multiple sites and to urban areas where a different, and potentially more complex, set of issues

- 17 In these contexts, the Social Domain Model offers a combined State-based and community-based approach to land governance that could be used to address land tenure security and Planned Relocation. See Frank Byamugisha, "Improving Land Governance for Development: Opportunities and Challenges for the Survey Profession," World Bank, 2013. https://www.fig.net/resources/monthly_articles/2013/september_2013/byamugisha.pdf. The 'Fit-For-Purpose' approach could also be relevant to address gaps in governance associated with land loss. UN-HABITAT, *Secure Land Rights for All*. Global Land Tool Network, 2008. http://www.gltcn.net/jdownloads/GLTN%20Documents/secure_land_rights_for_alleng2008.pdf.
- 18 World Bank. OP 4.12 — *Involuntary Resettlement*. December 2001 (updated 2013). <https://policies.worldbank.org/sites/ppf3/PPFDocuments/090224b0822f89db.pdf>.
- 19 World Bank. *Preventive Resettlement for Populations at Risk of Disaster: Experiences from Latin America*. Ed. Elena Correa, 2011. http://www.gfdr.org/sites/gfdr/files/publication/preventive_resettlement_LAC_experiencesDS150.pdf.

may come into play. Risks associated with scattered relocation should be considered early in the planning process. Acquisition of land for relocation sites in urban areas is a particularly difficult undertaking given limited availability of land and a diverse group of municipal and governmental jurisdictions. Similarly, while most of the literature focuses on the relocation of individual households, the relocation of commercial enterprises and other productive activities may require support and be governed by a different set of laws about compensation and access to due process.

A checklist of issues to consider

Acquiring Land

- What laws or regulations exist that relate to land-use planning? Are there laws or regulations that zone or preemptively allocate State-owned land for Planned Relocation? Are there laws or regulations that zone high-risk areas and restrict people from settling in, and building on, high-risk areas?
- Has an audit of State-owned land been undertaken to determine availability for Planned Relocation? Allocation or acquisition of State land can avoid complexities associated with acquiring land from private landholders. Among other things, an audit and assessment may need to identify land boundaries and the State agencies that 'own' the land so that appropriate incentives and negotiations can take place between relevant State actors to ensure acquisition of the 'best land' for the 'best price' for Planned Relocation.
- Is community-owned or customarily-owned land available for Planned Relocation and what mechanisms exist to 'acquire' or utilize such land for Planned Relocation? Do laws or regulations recognize community and customary authority over relevant land and rights to use and alienate it?
- Is the acquisition of privately-owned land by the State necessary to carry out Planned Relocation? What mechanisms are in place to ensure voluntary and transparent acquisitions at market price? Where compulsory acquisitions are unavoidable, what mechanisms are in place to ensure that such acquisitions are undertaken in accordance with international law, including the payment of just and fair compensation?

BOX 2.9. São Tomé & Príncipe: Voluntary Population Retreat



São Tomé & Príncipe is piloting a strategy to help the coastal communities to better adapt to climate change and become more climate-resilient. The essence of this strategy is effectively managing voluntary population retreat from coastal areas at risk to safer, higher ground.

Based on a comparison of historical maps, as well as future climate change projections; the project helped develop a series of risk maps showing areas at high risk, as well as adjacent safer areas. These maps were used through an interactive, participatory process to identify safe "expansion areas" in the immediate vicinity of the community (allowing them to preserve their traditional livelihoods and social connections). At the same time as vulnerable households were mapped, the communities were involved in the identification of poorest households. The results of both of these exercises were validated jointly with the community in consultation meetings where all the results were shared so that there was agreement on who is vulnerable and should therefore get priority in terms of relocation to safer areas.

Source:

Koskinen-Lewis, P., A. de Carvalho, C. M. Dias, C. Fernandes, O. Diogo, L. Taulealo, F. Evalu and N. Simi. "Managing Population Retreat from At-Risk Areas" SISRI Knowledge note no. 3. Small Island States Resilience Initiative. The World Bank and Global Facility for Disaster Reduction and Recovery (GFDRR), 2016. Washington.

Land and the Relocation Site(s)

- Has land that is available for acquisition for Planned Relocation been assessed to determine its suitability? Such assessments may need to determine:
 - a. Sufficiency of the physical area to receive all Relocated Persons;
 - b. Appropriateness of the land (in terms of location and other characteristics) to support the productive activities of Relocated Persons and sustain their livelihoods;
 - c. Suitability for the primary occupation(s) of Relocated Persons and for secondary sources of livelihood support;
 - d. Proximity to primary and secondary sources of employment and livelihood support; access to transportation options if needed;
 - e. Sufficiency of access to roads, schools, markets, hospitals or health clinics, retail outlets, public transport and other social services;
 - f. Sufficiency of access to electricity, clean water, sewerage and drainage, telephone services and other forms of infrastructure;
 - g. Sufficiency of access to social support services for vulnerable persons or groups.
 - h. Proximity to Relocated Persons' place of origin;
 - i. Quality of soil for agricultural activities when it is a rural relocation; and
 - j. Extent of exposure to hazards and environmental changes to determine risks.

BOX 2.10. Papua New Guinea: Manam Island Relocation



Manam Island in Papua New Guinea is a high volcanic island with a lengthy history of volcanic activity. While As a response to an impending volcanic eruption in 2004-05, 15 villages of Manam Island, located in the northeast of Papua New Guinea (PNG), were evacuated and physically relocated to government-supported “care centers” constructed on former colonial plantations in mainland Bogia District.

However, the land where the “care centers” were constructed, had been appropriated from its customary owners by the colonial authorities for use as a coconut plantation, and fallen into disuse. While this made it an ideal place for a temporary physical relocation at the time of the volcanic eruption, the traditional landowners have since claimed the land back and complained to multiple levels of government. The landowners have forbidden the Manam communities from using part of the land for burials, an edict of symbolic and spiritual importance. The Manam people are required to travel back to the island to bury their dead, which has reinforced their view of the island as their only ancestral land.

While the Manam islanders—as traditional trading partners—had previously been hosted by this community for short periods of time in responses to minor hazards befalling the island, the mainland community was unprepared for a long-term occupation, particularly as the group swelled to potentially 15,000-20,000 residents. In this context, the Manam villagers face severe restrictions on the boundaries of their communities, on the use of arable land, water and marine resources, and on gathering or felling timber for construction.

Overcrowding and access issues contribute to poor sanitation, hygiene, health and nutrition among the Manam, including their children. Tensions on both communities because of land issues have flared up on a number of occasions since 2005. Villages near the Asuramba care centre asked their Member of Parliament to evict the Manam islanders in 2006 because of security concerns. A clash at Tobenam in 2008 resulted in two fatalities and the centre being burned to the ground. Taken altogether, almost as many people have been killed as a result of inter-communal clashes since 2005 as have been killed as a result of eruptions of the Manam volcano since 1954.

Source:

Ghabaoui, D. & Blocher, J. “Limits to Adaptation through climate-induced relocations in Papua New Guinea and Fiji” In: Walter Leal Filho and Johanna Nalau (eds.) Limits to Adaptation: Insights and Experiences, 2017. Springer Climate Change Management Series.

BOX 2.11. Medellín, Colombia: Relocations in the Context of Urban Planning



In Colombian cities such as Medellín, there have been efforts to incorporate relocation from hazard-prone areas into urban planning. These are efforts to find the best solutions for overcrowding, to minimize the impacts of hazards and to conserve the physical environment.

In the course of this work, in Medellín, the planning process went from a top-down approach to a bottom-up approach with relocation plans being developed at the municipal level within an overall national planning framework. However, there is no legal framework at the national level. Among the key lessons that have been learnt are:

- That relocations can be a part of sensible urban planning but it is important to plan carefully and have the resources to do it right.
- Involving communities in the process is important to ensure that affected people are engaged and feel ownership of the process and its outcomes. Relocations should be voluntary. Where people are compelled to move, there is less chance that people will remain in the relocation sites.
- Land planning and management is also critical and highly relevant to relocation. This includes assessing high-risk areas, undertaking zonings, constructing infrastructure to incentivize movements away from risk areas, and identifying areas for new settlements. It also involves ensuring secure title and tenure and facilitating land transfers and creating and providing access to public spaces.
- At the same time, actions are needed to mitigate risks and minimize land and environmental impacts.

Source:

Oscar Montoya, Urban Renewal Company, Municipality of Manizales, Colombia

- Are there mechanisms in place to manage land conflicts?
- Is there a feasible timeline to acquire the land and sub-divide it into individual lots? What mechanisms are in place to assign plots to households? Have these mechanisms been consulted and agreed with affected populations?
- Have the criteria to select the relocation site been consulted and agreed with Relocated Persons? Have suitability assessments been distributed or shared with Relocated Persons and is the selection of sites for Planned Relocation undertaken in consultation with, and with the participation of, Relocated Persons (and Other Affected Persons, as relevant)?
- Are there mechanisms to determine the eligibility of Relocated Persons for different forms of land allocations within the proposed site(s) and to verify their identities, their prior circumstances, and their rights? What options are provided to freehold landowners? What options are provided to lessees? What options are provided to those who were the beneficiaries of other forms of land tenure? What options are provided to the landless? What options are available to non-citizens, particularly long-standing residents of an area?
- Are there gender dimensions that restrict property ownership, assets, and rights? How are they managed? What mechanisms are in place to protect property rights of women and children?
- With respect to the legal framework, are there conflicts between domestic laws or regulations and customary laws and rules in the context of allocating and acquiring land for Planned Relocations? Are there measures to minimize fraud in applications for, and acquisition of land, by beneficiaries/Relocated Persons?

BOX 2.12. Papua New Guinea: Customary Land Tenure



Customary land tenure can be intergenerational, meaning even land “sold” to external parties is subject to appropriation by the next generation. In Papua New Guinea, for example, where 97% of the land is under customary tenure, an amicable “leasing” of land for planned relocation is often the best option.

Source:

'Legal Action for Land Rights Papua New Guinea.' Friends of the Earth International. 30 September 2015. <http://www.foei.org/no-category/legal-action-land-rights-papua-new-guinea>.

- What mechanisms are in place to ensure that Relocated Persons are provided with secure rights to land use for residential and livelihood needs? Are there mechanisms to ensure that any temporary occupancy permits or other intermediate forms of tenure are transferred to create more secure and more permanent forms of tenure?
- What mechanisms are in place to provide just and fair compensation to Relocated Persons when the State or other actors acquire vacated land? What mechanisms are in place to determine the size and value of landholdings and assets related to the land? How are informal land rights, communal land rights, customary land rights, occupancy rights, or other forms of attachment and use of land, valued?
- What mechanisms are in place to provide land titles to Relocated Persons, including where applicable to those with inheritance from deceased ancestors?
- What mechanisms are in place to provide financial assistance to formerly landless Relocated Persons to support them in securing land or tenancy rights?
- What mechanisms are in place or need to be put in place to ensure Relocated Persons are able to maintain customary relationships, including with traditional trading partners?
- What mechanisms are in place or need to be put in place to ensure Relocated Persons are able to re-establish customary and cultural norms, rituals, and traditions and maintain cultural and spiritual knowledge, artifacts and heritage?
- How are customary relationships, including traditional trading partners used to support the settlement process? Can they provide support while Relocated Persons are awaiting the physical relocation? In what ways can they support restoration of livelihoods?

Vacated Land

- What mechanisms are in place to ensure vacated land is not treated or used in a manner that is illegal or creates future risks? For example, has thought been given about how to prevent people from re-occupying the land, e.g. perhaps by converting it into a public park or for other public purposes?
- Have mechanisms been considered that enable continued access to vacated land, including important cultural sites, for former residents?
- Has an assessment been done to understand traditional approaches to address insecurity of land tenure?
- What are the inter-generational tensions around land? How do they relate to and impact the Planned Relocation?

Element 5: Monitoring, Evaluation and Accountability

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 Relocations. 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. Monitoring and evaluation can also be a means through which a comprehensive audit of the use of financial resources is undertaken.

Monitoring, evaluation and accountability measures can be used to assess Planned Relocation outcomes and provide answers to the basic 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.

A checklist of issues to consider

Monitoring, Evaluation and Accountability: The Process of Planned Relocation

- Are structures and mechanisms for monitoring, evaluation and accountability established from the earliest stages of a Planned Relocation to ensure that appropriate baselines exist for comparison with outcomes? Have indicators been developed and associated with particular timeframes (e.g. at the outset of the physical relocation, after one year, after three years?) Are indicators both quantitative and qualitative? Do they include environmental, social, cultural, economic, and human rights dimensions? Do they reflect Relocated Persons' (and Other Affected Persons, as relevant) assessment of what is important?
- Are mechanisms in place for the participation of Relocated Persons and Other Affected Persons, in the monitoring and evaluation?
- Are opportunities for regular periodic stocktaking exercises established so that evaluations can be longitudinal, with attention to the measures taken pending relocation, the physical relocation itself, its immediate outcomes, and long term impacts?
- Are relationships established so that monitoring and evaluation can be both internal (State actors as well as affected populations themselves) and independent (non-State actors)? Are efforts made to engage experts from the academic community, civil society organizations, including human rights groups and international development actors, among others, in conducting research on baselines and indicators as a way of reducing costs, ensuring relevant expertise and enhancing ownership of the results?
- Are 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, as applicable?

BOX 2.13. Alaska and Fiji: strategies for monitoring and evaluation in Planned Relocations



In Alaska, United States, baseline environmental, geographic and economic assessments and evaluations have been undertaken in the planned relocation process for Newtok, a coastal community facing erosion. These can serve as benchmarks to evaluate progress over time, however there is a lack of data on social impacts of relocation process.

The Government of Fiji has undertaken nation-wide community-based vulnerability and adaptation assessments which resulted in a list of potential sites in need of relocation. These assessments can serve as baselines for future monitoring and evaluation.

The Narikoso Relocation Project in Fiji has utilized cost benefit analysis (CBA) methods to analyze a range of five scenarios (no intervention, relocating the entire village, relocating the ‘red zone’, relocating the ‘front line’, and building a new seawall). While this analysis acknowledges economic, environmental and social costs, the conclusions are based on quantifiable indicators alone, and thus do not capture the complex social and cultural implications of planned relocation for affected communities.

Sources:

Bronen, R. and Chapin F. S. “Adaptive Governance and Institutional Strategies for Climate-Induced Community Relocations in Alaska.” Proceedings of the National Academy of Sciences of the United States of America 110.23 (2013): 9320–9325. PMC. Web. 1 Mar. 2017;

McNamara, K. E., & Des Combes, H. J. “Planning for Community Relocations Due to Climate Change in Fiji.” International Journal of Disaster Risk Science, 6/3: 315–9. 2015;

Joliffe, J. Narikoso Relocation Project: Cost Benefit Analysis Update Note. 28 January 2016. http://ccprojects.gsd.spc.int/documents/new_docs/28012016%20-%20Fj%20-Narikoso%20CBA%20briefing%20note%20for%20stakeholders.pdf.

- 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

Monitoring, Evaluation and Accountability: The Outcomes of Planned Relocation

- Has baseline information, with specific and measurable indicators, been collected before the Planned Relocation²⁰ 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
- Does such a process take into account the fact that Relocated Persons and Other Affected Persons might change in their demographic composition (births, deaths, marriages, other changes), might have altered their standards of living due to external forces (globalization), or might develop other needs or vulnerabilities unrelated to Planned Relocation, all of which need to be controlled for and considered in comparison to a baseline?
- Is a process in place to collect information on these indicators at regular intervals, including over the long-term, and to use these indicators to determine when a Planned Relocation can be said to have ended and Relocated Persons (and Other Affected Persons, as relevant) are no longer in need of assistance related to the Planned Relocation?

²⁰ See also Annex 2



Bangladesh: Battling coastal erosion. **Credit:** © Amanda Nero/IOM.

PART III:

KEY STAGES OF PLANNED RELOCATION

This section is organized around three stages: (1) making the decision that Planned Relocation is needed; (2) initiating the planning process and developing a plan for Planned Relocation; and (3) implementing the plan in both the short and long-terms. Each of the five cross-cutting issues discussed in Part II should be taken into consideration and incorporated into each of these stages whenever they are relevant.

Stage 1: Making the Decision that a Planned Relocation is Needed

Making the decision that Planned Relocation is necessary is a complex undertaking. 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.

In some cases, individuals or groups themselves will make the determination 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.

BOX 3.1. São Tomé & Príncipe: Assessing the Risk of Remaining



In the case of São Tomé and Príncipe, the first step was to determine the rate of coastline retreat and changes in settlement expansion by comparing topographic maps from the 1950s with high-resolution satellite imagery of the current situation. The result of this study was the creation of future projections of flood patterns, which allowed the authorities to identify which areas would be most at risk.

Source:

Koskinen-Lewis, P., A. de Carvalho, C. M. Dias, C. Fernandes, O. Diogo, L. Taulealo, F. Evalu and N. Simi. “Managing Population Retreat from At-Risk Areas” SISRI Knowledge note no. 3. Small Island States Resilience Initiative, 2016. The World Bank and Global Facility for Disaster Reduction and Recovery (GFDRR). Washington.

Assessing the risk of remaining in an area needs to be based on scientific evidence and community assessments of the inhabitability of the area. Climate scientists offer some guidance on identifying factors that limit the habitability of particular areas, such as heat stress beyond physiological limits, declining water availability and loss of land surface.²¹ There have been efforts to develop a ‘climate change habitability index,’²² based on five factors identified by the Intergovernmental Panel on Climate Change: water, coasts, food, health and ecosystems. Other 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 geographic area.

Disaster risk management experts have developed methodologies and techniques to identify and assess the level of risks of 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 could be identified. The decision to undertake Planned Relocation is made when there are no other feasible measures to reduce the risk of remaining in the area.

Perceptions of the environment and environmental change have social and cultural elements. Traditional knowledge on relocation as an adaptation response to extreme environmental events in the area is crucial.

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 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 Relocations.

Potential 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. There may be differences between government-commissioned scientific assessments and other assessments undertaken by the affected populations. There may be cases where scientific evidence is manipulated to support what is essentially a land-grabbing exercise or an attempt to relocate populations for other (nefarious) reasons. The fact that people with the population may have different levels of risk tolerance and different levels of attachment to land may lead to different views of remaining in

21 Marotzke, Jochem, Christian Jakob, Sandrine Bony, Paul A. Dirmeyer, Paul A. O’Gorman, Ed Hawkins, Sarah Perkins-Kirkpatrick, Corinne Le Quéré, Sophie Nowicki, Katsia Paulavets, Sonia I. Seneviratne, Bjorn Stevens, and Matthias Tuma. “Climate Research Must Sharpen its View.” *Nature Climate Change* 7, 89–91, 2017. <http://www.nature.com/nclimate/journal/v7/n2/full/nclimate3206.html>.

22 Pan, Yue, Chit Meng Cheong, and Eli Blevis. “The Climate Change Habitability Index.” *Interactions*. November/December 2010. <http://eli.informatics.indiana.edu/p29-pan.pdf>.

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 when the necessary political and financial resources are not available. It may prove challenging to assess the future habitability of an area, particularly over the long term and may raise questions about inter-generational equity.

A checklist of issues to consider

In Deciding that the Risk of Remaining in an Area is Unacceptably High

- What is the nature of the scientific evidence (e.g. historical records, aerial flights, mapping) 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, is there clarity about who decides?

BOX 3.2. Samoa: Assessing the Risks through Community Infrastructure Management in Samoa



In Samoa, Community Infrastructure Management (CIM) plans provided a key instrument to identify and address climate and disaster risks. The CIM plans employed aerial photography and other inputs that allowed villages to identify and evaluate the risks they faced, and to identify strategies to reduce the corresponding risks. Relocation out of the hazard zones was a common feature of these plans. However, it took a tsunami and the devastation it caused for this priority recommendation to be implemented.

Source:

EKoskinen-Lewis, P., A. de Carvalho, C.M. Dias, C. Fernandes, O. Diogo, L. Taulealo, F. Evalu and Ni. Simi. *“Managing Population Retreat from At-Risk Areas,”* SISRI Knowledge Note No. 3 Small Island States Resilience Initiative, 2016. The World Bank and Global Facility for Disaster Reduction and Recovery (GFDRR). Washington, DC.

BOX 3.3. Alaska: When is a Planned Relocation Necessary? Decision-Making and Governance



Some indigenous communities in Alaska have determined that relocation is the only solution that will protect them from the combination of climate-induced ecological changes caused by rising temperatures, thawing permafrost, and loss of arctic sea ice. In the case of Newtok, a traditional Yup'ik Eskimo village located in far western Alaska, a long process of studies and assessments were carried out, leading to the conclusion that relocation was the only option to respond to environmental changes.

As early as 1984, state, federal, and tribal governments and non-governmental entities authorized and undertook a number of reports to document the socio-ecological crisis facing Newtok's residents. Actors in this process included the Newtok Traditional Council, the Arctic Slope Consulting Group, the US Government Accountability Office, and the US Army Corps of Engineers. The Corps of Engineers in particular was quite active in the relocation process, evaluating the habitability of Newtok's relocation site on Nelson Island, Mertarvik, and funding several reports analyzing Newtok's erosion problems and proposing solutions.

Source:

Excerpted from Bronen, R. *“Climate-induced Community Relocations: Creating an Adaptive Governance Framework Based in Human Rights Doctrine.”* NYU Review of Law & Social Change, 2011. <http://socialchangenyu.com/2012/08/24/climate-induced-community-relocations-creating-an-adaptive-governance-framework-based-in-human-rights-doctrine/>.

BOX 3.4. New Zealand: Clear and Consistent Messaging Over a Variety of Channels



In the case of relocations after the Canterbury earthquakes, dissemination of information was crucial. According to one CERA employee: “[The government] made a decision and people needed to understand and have absolute confidence in what they were going to do as a result of those decisions. So it was about clarity of information.” Clear and consistent messaging was paramount to the success of CERA’s people-centered approach; this included making clear the purpose of community engagement and clearly communicating the rationale for the government’s decisions, emphasizing the scientific reasons in particular. Having top-level people delivering messages in person made a significant difference in the affected population’s response and confidence in the government’s plans. Because the affected communities were facing complex, stressful, and often emotional situations, the technical messaging about the hazard needed to be framed simply, repeated often, and delivered using multiple channels, including meetings, workshops, formal websites, social media, and print.

Source:

Mitchell, M. *Relocation after Disaster: Engaging with Insured Residential Property Owners in Christchurch’s Land-damaged ‘Residential Red Zone.’* The Brookings Institution. June 2015. <https://www.brookings.edu/wp-content/uploads/2016/06/Brookings-Planned-Relocations-Study-New-Zealand-June-12-2015.pdf>.

- Has local evidence and indigenous knowledge been taken into account in making assessments of the risks of remaining in an area? Have efforts been made to include young people’s assessment of risk which may be different than elders in leadership positions?
- 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 reside in the area? Or reside in the area temporarily? Has consideration been given to the particular vulnerabilities of certain segments of the affected population?
- Is there agreement about the timeframe for the risks – whether there is an immediate risk to continued habitation in the area or a risk that is likely to increase in the future? Are there identified thresholds or tipping points which can be used in making a decision that a group needs to be relocated?
- Have the affected population, local authorities and other relevant stakeholders been involved in either collecting data and examining or commissioning the evidence? Are mechanisms available for people who disagree with government-commissioned scientific evidence to collect and present their own evidence? Are mechanisms available to resolve disagreements among the affected population?
- Is the role of State actors, including national, provincial, and local as well as traditional authorities clear as to who has the authority to make a decision to explore the possibility of a Planned Relocation, including conducting an exhaustive consideration of alternatives?²³

In Considering Alternatives to Planned Relocation

A number of alternative options exist which should be considered before engaging in the often complex and costly process of Planned Relocation. This is also in line with lessons suggesting that Planned Relocation should be a measure of last resort. Alternatives include disaster risk reduction measures and alternative migration-based strategies, which can contribute to reducing the vulnerability of individuals and groups, building their resilience, and reducing their exposure to hazards. There are many examples of successful efforts that have helped

²³ See also next section on the planning process.

populations to reduce disaster risk and build resilience in their local environment, including through mobility and other adaptation strategies.²⁴

Potential challenges: While every effort should be made to support people to remain in their communities, the risks of trapping people in unsustainable or unsafe situations should also be considered. If a given habitat is likely to become uninhabitable in the future, there may be advantages in relocating people before conditions become desperate. While migration-based adaptation strategies can be helpful, experience has shown that creating opportunities for safe, legal, orderly migration channels, and smoothly integrating migrants in the areas of destination is not easy.²⁵ Before a decision can be made that Planned Relocation is necessary to protect a population, there has to be some indication that sites for Planned Relocation are – or could be – available. If there simply is no available land within the country or if the size of the affected population is too large, then authorities and affected populations need to reconsider mitigation or other adaptation measures, including supporting individuals to migrate away from at risk areas.

A checklist of issues to consider

Remaining in Place

- Do individuals and households within the affected population want to remain in place, notwithstanding an understanding of the potential risks?
- Do the risks of Planned Relocation outweigh the risks of remaining in place? To what extent can the risks in the area of origin be deemed acceptable or tolerable?
- What resilience and coping mechanisms exist and can they be strengthened to help people stay?
- Are context-specific socio-economic causes of people's vulnerability and risk factors well understood? Could these underlying factors and drivers of risk be tackled *in situ* to reduce the risks to populations, such as by promoting livelihoods diversification?

Reducing the Risks of Disasters *in situ*

- Has an assessment been conducted to identify feasible disaster risk reduction, climate change adaptation and sustainable development measures that could help populations stay? What were the key recommendations of the assessment? Have the assessment findings been shared with relevant stakeholders? Do populations and national/local authorities have the capacities, resources, technical know-how 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 by investing in local risk reduction measures? Do they have access to information about such approaches and successful practices elsewhere?

²⁴ See for example, *Compendium of IOM Activities in Disaster Risk Reduction and Resilience*, 2013. <http://www.iom.int/files/live/sites/iom/files/What-We-Do/docs/IOM-DRR-Compendium-2013.pdf>

²⁵ See Sultan, Riad. *Assessing the Climate Change – Migration Nexus Through the Lens of Migrants: The Case of the Republic of Mauritius*. International Organization for Migration. MECLEP, 2017. <http://environmentalmigration.iom.int/assessing-climate-change-migration-nexus-through-lens-migrants-case-republic-mauritius>.

- 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 managing resources?
- Have prior attempts been made to manage the risk of disasters or adapt to the effects of climate change and have they yielded positive results? If not, what were the constraining factors and lessons learned from such efforts and how could they be improved? Have potential risks and negative impacts of proposed disaster risk reduction and climate change adaptation measures been considered?
- Are there any ongoing or planned risk reduction or adaptation measures that can help to reduce or eliminate existing risks? Have these measures yielded positive results? If not, what were the constraining factors and lessons learned from such efforts and how could they be improved?
- Are the risks that the population faces a result of limited capacity to manage disasters and the effects of climate change, and could the risks be reduced through non-structural measures, such as institutional or population-level capacity-building, education, training and public awareness-raising?
- What risks are likely to remain even after effective risk reduction measures have been put in place? Are there adequate preparedness capacities in place to support effective disaster response and recovery? Where are the gaps? Is external support needed?
- In what ways can traditional or indigenous knowledge and disaster risk reduction and disaster management practices be used to find alternatives to Planned Relocation?

Other Mobility-related Adaptation Measures

- Could temporary or circular migration serve as a strategy to help reduce household vulnerability, for example, by helping to diversify their sources of income? Do some of the members of the affected population already engage in such strategies? What can be done further to facilitate and support such practices?
- Are there sufficient opportunities and safe legal channels for migration-based livelihood diversification strategies such as seasonal or international labor migration schemes and are populations well informed about these opportunities?
- What are the obstacles to mobility and how can they be removed?
- Has an assessment been carried out on the costs, benefits and feasibility of supporting individuals – rather than groups – to move (for example, through government purchases of property in areas of risk (e.g. buy-outs)?²⁶
- Have the risks and challenges associated with mobility-based adaptation for communities of origin, communities of destination and migrants themselves been assessed and understood (e.g. loss of human and social capital; heightened job market competition and pressure on facilities and services; integration difficulties and lack of access to basic rights)?
- How can the benefits of migration and diaspora engagement be maximized to help reduce the vulnerability of affected populations and help them adapt to climate change in the long run?

²⁶ See Annex 1

Feasibility of Planned Relocation

- Are preliminary estimates available of the potential human and financial costs of Planned Relocation? Is it likely that the necessary human and financial resources to support Planned Relocation can be obtained in a timely manner?
- Are all members of the affected population involved in considering alternatives to Planned Relocation and making the decision that Planned Relocation is the most appropriate response? Do forums exist for discussions within the populations likely to be affected? Are there mechanisms to for communicate the results of these discussions with relevant authorities?
- Have preliminary assessments been carried out at possible Planned Relocation sites? Does it seem likely that the necessary land can be acquired? Would such land reduce exposure to natural hazards and other risks? Have assessments been undertaken of the possible impact of the Planned Relocation on Host Populations—in both the short and longer terms?
- Do the authorities have the necessary political commitment to support a Planned Relocation that is likely to take years in order to ensure the best possible outcomes?

Stage 2: Preparing and Developing a Plan for Planned Relocation

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 Relocations (or with resettlement in support of development projects). A cohesive and considered institutional framework can facilitate the planning process and provide the latitude necessary in the face of evolving circumstances.

A comprehensive, detailed, flexible, and timely Planned Relocation plan that is tailored to the context at hand is necessary to ensure that the many steps in carrying out Planned Relocation are understood and anticipated, 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 socio-economic and cultural disenfranchisement.

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.²⁷ 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.

Potential challenges: Inclusive and comprehensive planning processes require time, but often the time is inadequate, in some cases 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 consultations and adequate participation of Relocated Persons or Other Affected Persons in the planning process is a persistent shortcoming in planning processes. Lack of political will or capital to follow through over the long-term in implementing Planned Relocation, including supporting the restoration of livelihoods and living conditions can be lacking. Finally, perhaps the most common pitfall of Planned Relocations 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.

A checklist of issues to consider

The Institutional Framework

- Who is to be the entity in charge of preparing and implementing the plan? Does this entity have experience in planning similar Planned Relocations? If not, are there plans to recruit expert people and train all those who will prepare and implement the plan? Are systems in place to document and transfer experiences so that lessons learned are not lost and to ensure continuity where Planned Relocations are implemented over long periods of time?

²⁷ See Annex 2 for a listing of issues to include in such a census.

- Does the identified entity have a clearly-defined legal basis for action? Does it have the political support of national and sub-national political authorities? Is the entity seen to be a credible authority by Relocated Persons? Does the entity have the necessary physical, human and financial resources?
- How is the implementation approach defined? Is it based on the legal framework? Will the entity in charge implement the entire process directly or will services be engaged for some or most of the relocation process activities? How will the quality and quantity of human resources be ensured for effective planning and implementation of the Planned Relocation? If services of specialized organizations are to be contracted out, is there clarity about the terms of reference and timetable? Are steps in place to ensure that the selection and hiring process is carried out in accord with the national legal system?
- How will the work team be constituted? Will the number and type of professionals vary depending on the characteristics and size of the population to be relocated, its spatial distribution and the particular approach to be implemented? Who will coordinate and supervise the work of interdisciplinary teams? Are measures in place to provide appropriate training to members of the teams? Is there scope for the affected population to participate in the work teams?
- Are relevant agencies, departments and other entities, at both the national and local levels, included in the planning team or teams? Is their participation determined on the basis of their need to be involved, given the scope, nature and context of the Planned Relocation enterprise? Have agreements been reached with the participating entities to determine how and when specific entities will participate in the planning process? Have appropriate coordination mechanisms been established with the requisite rules of procedure, designated participants and coordination roles?²⁸
- Has an information management system been designed which systematizes collection and access to relevant data that links the geographic information (property, location) and socioeconomic data of each social unit?
- Are information mechanisms and two-way communication channels in place to respond to the information needs of the various groups likely to be affected by Planned Relocations? Has consideration been given to the use of community meetings, establishment of offices or service centers in relevant areas, home visits, web-based information, and a dedicated telephone line?
- 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 modifications to the Planned Relocation plan during its development and implementation? Does the plan spell out who will be responsible for responding to these requests?
- Has a system been set up to handle complaints and claims? Does the system ensure that accurate records are kept of the complaints and claims received and their disposition? Does the system include measures to ensure that feedback received from the complaints and claims procedures informs changes in the Planned Relocation plan? Does the system establish the procedure to be followed from receipt of the complaint or claim to the reply to the complainant or the claimant, including specifying the following :

²⁸ Table 3.1, derived from the World Bank's Resettlement Handbook, lists the potential institutions involved in resettlement for disaster risk reduction which may be a helpful checklist for planning relocations to protect people from disasters or environmental change.

Table 3.1: Institutions that May Be Involved in Planning Relocations²⁹

Institution/Sector	Role in relocation process
Risk Management (Emergency and disaster prevention and relief)	<ul style="list-style-type: none"> • Monitors risk and manages early warning system to determine whether the population must be moved on an emergency basis, even before relocation housing options are available; • Issues a technical opinion regarding the uses that may be made of the at-risk area after the population has been moved
Planning	<ul style="list-style-type: none"> • Regulates land uses
Housing	<ul style="list-style-type: none"> • Participates in obtaining the housing supply for the population to be relocated
Health	<ul style="list-style-type: none"> • Provides health services to the population in the at-risk and relocation areas and coordinates actions for changing the health service jurisdiction when a group is moved from one place to another • Participates in adding or expanding health centers in the relocation area • Provides emergency assistance if a hazard occurs
Education	<ul style="list-style-type: none"> • Provides education services for the population in the at-risk and relocation areas • Coordinates actions to ensure that there are school places in the relocation area for school-aged children • Participates in adding or expanding education centers in the relocation area
Public Services	<ul style="list-style-type: none"> • Provides power, water, sanitation, refuse collection, transportation and communication services in the at-risk and relocation areas. Reviews with service delivery companies the status of user accounts. Coordinates actions to cancel domestic public service accounts immediately after the population is moved • May build public service network infrastructure either directly or through contractual agreements with others
Social and Economic programs	<ul style="list-style-type: none"> • Implements different types of social programs (such as for the elderly, children or women) and offers training, credit and productive projects, among other services which may be useful in reestablishing and improving the socioeconomic conditions of affected populations
Control and Oversight Entities	<ul style="list-style-type: none"> • As independent and autonomous entities, participate as observers in the relocation planning and implementation process. Ensure proper use of public resources and assets, conduct of public officials and protection of the public interest
Conciliation and Dispute Resolution Centers	<ul style="list-style-type: none"> • Typically specializing in a specific type of dispute, help to resolve disputes arising from relocations

29 Adapted from Correa, Elena with Fernando Ramirez and Haris Sanahuja. *Populations at Risk of Disaster: A Resettlement Guide*. GFDRR and the World Bank, 2011, Table P2.3, pp. 59. <http://documents.worldbank.org/curated/en/612501468045040748/pdf/653550WP0Box-360settlement0guide0150.pdf>.

- a. Where to submit a complaint or claim?;
 - b. How it is to be made (in writing? verbally?);
 - c. The internal procedure to be carried out in reviewing the complaint or claim;
 - d. How long it will take for the complainant or the claimant to receive a reply;
 - e. The form the reply will take (writing is preferable so that both parties have a record); and
 - f. Is there a process for appealing decisions?
- Is there a system in place to resolve disputes within the population, including any local/clan-based structures or customary law? If so, can this be used or 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:
- a. Disputes within families or disputes among heirs about property to be inherited);
 - b. 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 productive activities which are to be relocated);
 - c. Disputes between Relocated Persons and the entity in charge of Planned Relocation planning and implementation (e.g. inclusion in the program, amount of compensation, etc.);
 - d. Disputes between the Relocated Persons and other entities involved in the process (e.g. lack of access or charges for public services); and
 - e. Disputes among sub-groups of Relocated Persons or between Relocated Persons and those who are not eligible for relocation?
- Does the dispute resolution mechanism rely on third parties without interests in the process so that they are, and are perceived as, impartial and independent?
- Have mechanisms been defined to ensure transparency and accountability, such as the publication of progress reports and measures to ensure that affected populations are providing accurate information?
- Has a timetable been prepared for the necessary background studies and the development of the plan?
- 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?

General Content to Include in the Plan

- Does the plan set out the purpose, scope and objectives of the Planned Relocation? Does the plan set out any assumptions that have been made? Does the plan outline the risks that could hamper the implementation of Planned Relocation project and steps that will be taken to mitigate such risks?
- Does the plan set out the laws, regulations and policies relevant to the Planned Relocation? Is the plan consistent with the domestic legal framework for undertaking Planned Relocation?
- Is the plan consistent with and does it promote coherence with other cross-cutting and intersecting policy areas, including disaster risk reduction, climate change mitigation and adaptation, and sustainable development?
- Is the plan consistent with, and tailored to address, assessments and analysis that have been undertaken which identify the need for Planned Relocation?

- Does the plan respect and protect the human rights, including cultural rights, and dignity of Relocated Persons and Other Affected Persons? Does it recognize and address the particular needs and rights of specific groups, such as women, children, the elderly, people with disabilities and others which might influence their experiences with relocation?
- 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 coexistence between Relocated Persons and Other Affected Persons, including through community-based approaches?
- Does the plan include measures to mitigate or provide redress for negative impacts on Other Affected Persons (e.g. host communities and those living in proximity)?
- 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 modifications 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 the plan tailored to the specific needs and characteristics of Relocated Persons and other Affected Persons, including in relation to safety and security, shelter, sources of income, economic activities, social relationships, infrastructure and public services, and social and cultural practices?

Participation of Relocated Persons and Other Affected Persons

- Does the relocation plan include a plan to engage all stakeholders and which is disclosed as early as possible, recognizing that different groups will be involved in different ways (e.g. outreach for less mobile groups in the population)? Does the plan include the views of stakeholders and identification of stakeholders to be included?
- Does the plan include the timing and methods of engagement with stakeholders throughout the life-cycle of the project, noting that persons' perspectives may change over time, including on-going consultative mechanisms, such as focus groups? Does the plan also describe the range and timing of information to be communicated to affected persons and other interested parties including the general public, civil society and the private sector as well as the type of information to be sought from them?
- Does the plan describe measures to be used to remove obstacles to participation and to capture the views of differently affected groups? Does the plan, where applicable, include differentiated measures to allow the effective participation of those identified as disadvantaged or vulnerable? When stakeholder engagement with individuals and communities depends substantially on community representatives, have reasonable efforts been made to verify that such persons do, in fact, represent the views of such individuals and communities and that they are facilitating the communication process in an appropriate manner?

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 service provision facilitate a positive relationship between the service providers, the Relocated Persons and Other Affected Persons?
- If new services are established, is it clear who is entitled to use the services and who is responsible for running the services once the Planned Relocation is complete?
- Does the plan include provisions for replacing or renewing personal documents of Relocated Persons at the relocation site?

Education

- Have the education ministry and local education authorities been involved in the planning process?
- Has provision been made for either the construction of new schools or for relocated children to attend existing schools in the relocation site(s)? Is staffing of schools adequate for the increase in school-age population? Are schools accessible for children with different types of needs? Have opportunities been explored to provide employment for those Relocated Persons with experience in the education sector?
- Has provision been made for the transfer of documentation for students transferring to other schools because of the Planned Relocation? Have necessary changes been made in registration and administrative systems to accommodate the transfer of students?
- Has the timing of the Planned Relocation been arranged in consultation with school authorities to minimize disruption in school attendance?
- In the case of students transferring into schools in the relocation site, has information been provided in a timely fashion to students, parents and others in the Host Population about the transfer of students?
- Is psychological and emotional support available in or in conjunction with the schools to deal with students experiencing trauma or otherwise adversely affected by the Planned Relocation? Have peer support systems been established to build peer networks between students from the Host Population and students among Relocated Persons?

Water and Sanitation Services

- Has provision been made for adequate water supply, sanitation services, and waste disposal? Where necessary, have Relocated Persons been educated or informed on the use of sanitation services when services in the new site are better or different than at the original location? Have they been informed about costs and means of payment related to service provision? Are people informed and prepared about payment of services?

BOX 3.5. Relocation in Bogotá, Colombia



During the relocation process, the Colombia Health Secretariat provided day courses to relocated populations on environmental sanitation, food security, safe drinking water practices and urban agriculture.

Source:

World Bank, *Preventive Resettlement for Populations at Risk of Disaster: Experiences from Latin America*. Ed. Elena Correa, 2011, p. 78. http://www.gfdr.org/sites/gfdr/files/publication/preventive_resettlement_LAC_experiencesDS150.pdf.

Health³⁰

- Have adequate and accessible health facilities been constructed in the relocation sites or has provision been made for existing health facilities to meet the needs of the increased population? Has adequate staffing been secured? Have opportunities been provided for those working in the health sector before the Planned Relocation to work in similar positions at the new sites? Have the health concerns of Other Affected Persons been addressed?
- Has particular consideration been given to ensuring continuity of service and medications for those with chronic diseases? As elderly populations are more at risk of having chronic diseases and their age predisposes them to additional health risks in Planned Relocations, have appropriate steps been taken to ensure not only that health services are available but that the elderly are able to access them? Has provision been made for transporting frail elderly people, those with chronic diseases, and those with disabilities or special needs?
- As children are also disproportionately vulnerable, particularly after disasters, has provision been made to ensure their regular access to medical care? Has provision been made for regular vaccinations and other preventive care for children and others during and after Planned Relocation?
- Are systems in place to identify food insecurity and malnutrition? If people are not receiving adequate nutrition, are measures in place to identify those with specific needs and to ensure the provision of adequate nutrition?
- Are services in place to meet specific needs of persons with disabilities, such as health-related rehabilitation? Are mental health services adequate for both Relocated Persons and Other Affected Persons?
- During the process in which people are physically relocated from one place to another, are health services available in the original site, the relocation site and in transit?

Housing

- Does the plan provide for security of tenure?
- Does the plan provide for housing that is geographically proximate to employment options, health-care services, schools, childcare centers and other social facilities, whether in urban or rural areas? Is the housing accessible for disadvantaged groups? Is the housing culturally appropriate?
- Does the plan provide for affordability of housing?
- Does the plan provide for habitable housing with adequate space, protection from cold, damp, heat, rain, wind or other threats to health, structural hazards and disease vectors, and ensuring the physical safety of occupants? Is the housing consistent with protecting the right to privacy?
- Does the plan provide for services, materials, facilities and infrastructure such as potable water, energy for cooking, heating and lighting, sanitation and washing facilities, means of food storage, refuse disposal, site drainage and emergency services?
- Does the plan provide for natural and common resources, where appropriate?
- Does the plan provide for housing that is secure?³¹

³⁰ With special thanks to James Baier, University of Pennsylvania Medical School for his suggestions re health-specific measures.

³¹ See *Basic Principles on Development-Based Evictions and Displacement*. Annex 1 of the report of the Special Rapporteur on adequate housing as a component of the right to an adequate standard of living. A/HRC/4/18. http://www.ohchr.org/Documents/Issues/Housing/Guidelines_en.pdf

BOX 3.6. Brazil: Relocation in São Paulo.



A resettlement advisory council was established to assess the health care and other social service needs of relocated and host communities. It was composed of expert and administrative staff from Brazil's secretariats of housing, education, health, ecology and the environment, and culture, along with community representatives.

Source:

World Bank, *Preventive Resettlement for Populations at Risk of Disaster: Experiences from Latin America*. Ed. Elena Correa, 2011, p. 52. http://www.gfdrr.org/sites/gfdrr/files/publication/preventive_resettlement_LAC_experiencesDS150.pdf.

Livelihoods

- Does the plan include provisions to restore people's livelihoods, or where that is not possible, to develop strategies to replace livelihoods? Does the plan provide details on the means for, and actions through which, transitional arrangements including in relation to restoring livelihoods must be undertaken and completed?
- Does the plan ensure that transportation and other infrastructure is available to enable Relocated Persons to resume their livelihoods? Does the analysis consider livelihood strategies over the long term?
- Does the plan include measures to support subsistence or maintenance costs until livelihoods and income are restored or replaced?
- Does the plan provide for an analysis of alternative strategies, including additional training in contexts where Relocated Persons are not able to resume their livelihoods? Has a business plan been developed to ensure the long-term sustainability of alternative strategies?
- In the case of agricultural livelihoods, is the provision of land adequate to enable Relocated Persons to support themselves? Is transport infrastructure available to ensure access to needed supplies and markets?
- Have provisions been made to support the relocation of businesses and other private sector entities so that jobs can be maintained? If manufacturing and other industrial establishments have been relocated, is the necessary infrastructure in place to support them?
- 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 specific phases of the Planned Relocation? Do the timeframes have sufficient latitude to accommodate unanticipated circumstances and events?
- Do the timeframes provide Relocated Persons with sufficient time for making informed decisions in relation to different aspects of Planned Relocation?
- Does the plan include details on the measures and actions needed to ensure a dignified and humane existence pending physical relocation to the settlement site?
- Does the plan include an end-date or a mechanism to establish an end to Planned Relocation-specific government assistance to Relocated Persons and other Affected Persons? Is the plan and appropriate related materials publicly available and accessible to promote transparency, evaluation, and accountability?

- Does the plan identify ways to continue to monitor the risks and needs of Relocated Persons and Other Affected Persons? Does the plan provide mechanisms for continuous review and revision, in the context of changing circumstances and needs?
- 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)?

Securing Necessary Financing for Planned Relocations

Planned Relocations are costly endeavors. In some cases the necessary finances might come from national and local budgets for disaster risk reduction or for development planning but typically those budgets are insufficient for the relocation of large numbers of people. Usually the required amounts must come from special budgetary allocations or from international assistance. It may be possible for Planned Relocations to be financed from funds available for disaster risk reduction or climate change adaptation, such as the Global Facility for Disaster Risk Reduction, managed by the World Bank. A variety of funding mechanisms has been developed to support adaptation efforts by States and others, including the Global Environment Fund, the Green Development Fund, the Least Developed Countries Fund, the Special Climate Change Fund and the Adaptation Fund. In addition, there are bilateral mechanisms such as Germany’s International Climate Initiative or the UK’s International

BOX 3.7. Vietnam: A Loan-Centered Approach.



Vietnam provides funding to local authorities who are charged with securing additional funding to carry out relocations. This includes funds to acquire land where under the Land Law, “localities shall implement measures to recover unused or inefficiently used land of organizations, agricultural land forestry farms or change the use purpose of land according to plans already approved by competent authorities for allocation to households and individuals under population distribution projects.” Costs associated with relocation in two communes were largely covered through loans taken out by households meeting certain criteria (poor and near-poor as determined by hamlet leaders according to official criteria based on income and land ownership.) These loans, with generally low interest rates and deferred payments were funded by the provincial budget and by the Vietnam Bank for Social policies.

Private businesses in the commune were also requested to compensate for lack of adequate funding and loan repayments from relocated households were said to contribute to infrastructure development.

But those who were relocated reported lower incomes after relocation, making it difficult to repay the loans. Even though debt is a prominent feature of life in rural Mekong Delta, the loans associated with relocation programs are distinct in that they are substantially larger than what most poor households would accrue as part of their daily lives as they are meant to cover the costs of high-value assets – housing, land and house construction – normally unaffordable for households with limited financial capital. Many households perceived the debts to be unpayable, especially given decreased income and the fact that many households have to take out additional loans from private sources to cover housing construction. Unmanageable debt keeps households in a state of uncertainty as households receive the legal land use certificate only when they fully repay all loans to the government. This depletion of financial assets further increases dependency on local authorities, erodes the sense of self-sufficiency and entails an overall lack of legal protection and certainty for poor households. While relocation programs have been able to provide households with safe homes away from hazards, they have done so at the cost of short and long-term livelihood outcomes and long-term vulnerability has been increased by the financial pressures on already-poor households.

Source:

Chun, J. “Planned Relocations in the Mekong Delta: A Successful Model for Climate Change Adaptation, A Cautionary Tale, or Both?” Brookings-LSE Project on Internal Displacement, June 2015. <https://www.brookings.edu/wp-content/uploads/2016/06/Brookings-Planned-Relocations-Case-StudyJane-Chun-Vietnam-case-study-June-2015.pdf>.

BOX 3.8. Louisiana: Support from Federal Government to Plan Relocation of Isle de Jean Charles



The state of Louisiana received a grant of \$48 million from the US government's Department of Housing and Urban Development to support resettlement of Isle de Jean Charles, a historically Native American community in coastal Louisiana, as a climate change adaptation measure. More than 98 percent of the island's land mass has been lost since 1955 and repeated flooding has led many of the community's inhabitants to migrate elsewhere, reducing the Island's population from over 400 to fewer than 100. Since 2002, there have been other efforts to relocate the community but they were not successful due to logistical and political complications. Planning for the resettlement has begun and is based on supporting economic and cultural viability and inclusive and participatory community engagement. Planning is based on the principle that resettlement is a last resort in the context of an overall framework that recognizes that Louisiana has always been a working coast and that adaptation measures are needed to maintain working zones. A major challenge is to resettle the community to a site that is both safe and sustainable while maintaining proximity and access to the original community for economic, cultural, and historical reasons.

Sources:

Coral Davenport and Campbell Robertson, "Resettling the First American 'Climate Refugees,'" *New York Times*, 3 May 2016. <https://www.nytimes.com/2016/05/03/us/resettling-the-first-american-climate-refugees.html?r=0>;
Pat Forbes, Louisiana Office of Community Development.

Climate Fund.³² When funding is only sought from international sources, there can be long delays or, in the event only partial funding is secured, the physical relocation of communities may take place but without the necessary support to ensure success and sustained settlement.

Governments may consider diverse and creative funding mechanisms to secure the necessary support for Planned Relocation, such as:

- The creation of a special fund fed by a sustainable source (e.g. a portion of property taxes, or other taxes, or a portion of royalties). The government can identify a source and determine that a given percentage will go to the Planned Relocation Fund;
- Contributions from Relocated Persons (i.e. savings, payment of a portion of the value of the house provided, labor, in kind contributions);
- A portion of other existing funds in the country (normally, countries have housing funds, disaster risk reduction funds, etc.);
- A solidarity fund with contributions from individuals and the private sector;
- 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.)

In addition, relatively new sources of funding may be considered, such as crowdfunding and sourcing and use of carbon offsetting funds. Taxes may be increased to support standing conservation programs.

Potential Challenges: An apparently common problem is that Planned Relocations are 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 then not be sufficient to ensure the successful

³² For further information on the complex array of funding mechanisms which might be available to support work on Planned Relocations, see Dina Ionesco, Daria Mokhnacheva, and Francois Gemenne, *The Atlas of Environmental Migration*, Routledge, IOM, and Earthscan, 2017. <https://environmentalmigration.iom.int/atlas-environmental-migration>.

BOX 3.9. Alaska



The US Army Corps of Engineers estimates the cost of moving the community of Newtok (population 400) to Mertarvik to be \$130 million. The state of Alaska and the Bureau for Indian Affairs have provided about \$20 million. In 2015, the state of Alaska applied for \$62.6 million through the federal Department of Housing and Urban Development's national Disaster Resilience Competition although it was not selected. The department has recently "awarded a \$900,000 imminent threat grant through its Indian Community Development Block Grant program to relocate, in collaboration with FEMA."

Source:

HUD, *Safer Ground*, 20 May 2016. <http://portal.hud.gov/hudportal/HUD?src=/states/alaska/stories/2016-05020>.

BOX 3.10. Solomon Islands



The town of Choiseul (population 1,000) in the Solomon Islands lies only 6.6 feet above sea level and it was agreed that the town in its entirety should be relocated. A \$3 million grant to purchase the land on a nearby higher island was provided by the Solomon Islands government in 2008. The plan is that the population will be moved in stages. A project team looked into this relocation as well as others in the Pacific Islands under the \$32 million Pacific-Australia Climate Change Science and Adaptation Planning Program. But the relocation itself is expected to cost hundreds of millions of dollars and the financing has not yet been put in place.

Source:

Spross, J. 'Meet The First Pacific Island Town To Relocate Thanks To Climate Change.' Think Progress, 18 August 2014. <https://thinkprogress.org/meet-the-first-pacific-island-town-to-relocate-thanks-to-climate-change-de4e4ad413cd>.

long-term adaptation. This is a particular problem 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 materialize. When funds do not materialize for a protracted period, individuals may experience negative mental and physical health implications associated with being 'in limbo'. Finally, commitment to Planned Relocation process – on the part of the government or Affected Persons may waver over time.

A checklist of issues to consider

- Has a preliminary or tentative budget been prepared to understand the potential costs of undertaking the Planned Relocation?
- What sources for funding Planned Relocations are available within national and local budgets? Do Disaster Risk Reduction budgets or funds for climate change adaptation and mitigation provide scope for undertaking Planned Relocation? Are there ways to raise funds to undertake Planned Relocation?
- What possibilities exist for international financial support of Planned Relocations? Can development aid provide support to undertake Planned Relocation?

- Can the private sector be engaged to provide financial support?
- Can loans to Relocated Persons be considered for financing all or part of the costs of Planned Relocation? If so, has consideration been given to the impact of increased debt on Relocated Persons, including particular groups such as the elderly, who may be averse to taking on more debt.
- Are the needed funds available to support the Planned Relocation? Are the administrative mechanisms to disburse the funds both efficient and prepared?

Stage 3(a): Implementation: Pending Physical Relocation

Once the Planned Relocation plan has been agreed, affected populations consulted, and financing 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. While this Toolbox focuses on preventive Planned Relocations—rather than those carried out in response to sudden-onset disasters -- it is important to emphasize that there are fundamental differences in the process of relocating people from their places of habitual residence as compared with internally displaced persons living in temporary accommodations or shelters and awaiting Planned Relocation.

Potential 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. Adequate and 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 – at the same time that investments and infrastructure are needed in the relocation sites. It may be difficult to maintain a sense of community cohesiveness (where this is relevant) and social networks during the waiting period for relocation, particularly if its lengthy, and/or if persons are geographically dispersed. The affected populations' commitment to Planned Relocation may change over time and expectations of Relocated Persons may be unrealistic – either about the timelines or about opportunities awaiting them in the new relocation site.

A checklist of issues to consider

- Are specific protection risks for Relocated Persons identified and considered in measures pending and during Planned Relocation? This includes specific rights, needs, circumstances, and vulnerabilities linked to age, gender and diversity, among other factors.³³
- 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:
 - a. Basic needs (including protection, food, water, personal safety, transitional shelter that aims to preserve family and community unity); and
 - b. Infrastructure and a physical environment that supports livelihoods and enables people to meet their basic needs (health, education, labor market, affordable energy, access to information and communication).

³³ For further explanation, see UNHCR's Age, Gender and Diversity (AGD) Policy: <https://emergency.unhcr.org/entry/51771/age-gender-and-diversity-agd>. Diversity refers to persons of different cultural perspectives or beliefs, ethnic background or nationality, sexual orientation, ability, health, socioeconomic status, and other specific personal characteristics. Persons might also have diverse rights, needs, circumstances and vulnerabilities needs linked to their special dependency on, or attachment to, land or local resources and opportunities, or prior experiences of displacement.

BOX 3.11. Allenville and Community Cohesion



In Allenville, Arizona, United States, one of the main reasons for the overwhelmingly positive response to the relocation process in the context of flooding was the community's efforts and commitment to relocate together. Despite the long process – over three years between leaving Allenville and occupying Hopeville – the residents resided together as a cohesive community in temporary interim housing (mobile home park administered by Arizona DEM), which provided advantages of centralizing the community, and maintaining commitment to relocation. Critically, this community had a designated system for consultation, participation, and cohesiveness in place before the flooding, that could be leveraged during the span of the Planned Relocation process, including for measures pending and during physical relocation. Allenville Citizens for Progress (ACP), a non-profit organization founded in 1965, served like a town government and had a Board of Directors who held regularly scheduled monthly meetings at which information was disseminated to residents, feedback on activities and plans was solicited, and member suggestions for new activities and agenda items were sought.

Source:

Perry, R. W. and Lindell, M.K. "Principles for Managing Community Relocation as a Hazard Mitigation Measure." *Journal of Contingencies & Crisis Management*. 1 March 1997.

- Have children been able to register and attend school? Are measures in place to provide additional support to those in particularly vulnerable situations?³⁴
- Except in circumstances of exceptional risk in the interim period, are measures in place to postpone physical relocation until the relocation site is capable of ensuring and providing safe access to these same basic needs to ensure a dignified standard of living for Relocated Persons?
- 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:
 - a. **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 in the event that vocational training is necessary; counselling for persons experiencing trauma related to the Planned Relocation process; pre-departure orientations to manage expectations about the resettlement site.
 - b. **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.
 - c. **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 measures in place to ensure community cohesion during the period pending Planned Relocation (where appropriate) and to facilitate interaction between Relocated Persons and Other Affected Persons?
- Are plans also in place to ensure that cultural heritage and ties to ancestry, where applicable, are preserved in the interim period as well as during the physical relocation?
- Is the decision-making process about the timing and logistics (e.g. mode of transport) of the physical relocation to the settlement site transparent? Is information made available on a continuous basis to Relocated Persons and Other Affected Persons while relocation is pending?

³⁴ For more guidelines, see "Livelihood Programming in UNHCR: Operational Guidelines": <http://www.unhcr.org/en-us/publications/operations/4fbdf17c9/livelihood-programming-unhcr-operational-guidelines.html>.

Stage 3(b): Implementation: During and Following Physical Relocation

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, the uprooting of families and communities is highly disruptive and anticipating and avoiding the known risks of impoverishment and marginalisation 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 seeking to adapt to new challenges, demand targeted assistance to ease that adjustment. Later on, other challenges may emerge that need to be addressed. In particular, the long-term impacts of Planned Relocation need careful monitoring and response.

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. Struggling households who 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 Relocations. Resettlement planning must be sensitive to such vulnerabilities and put in place post-relocation support that identifies the process of impoverishment and mitigates against it.

A checklist of issues to consider

- Is the Planned Relocation plan being implemented as foreseen? Are needed changes being made to accommodate insights and learning during the process of implementation?
- Are consultation mechanisms providing adequate input into the implementation process?
- Are grievance and complaint mechanisms as well as accountability systems, functioning well? Do they need to be adapted?
- Are measures in place to ensure that particularly vulnerable individuals are receiving adequate attention throughout the process, including measures to ensure their protection and safety?

BOX 3.12. Alaska: Frustration in Newtok.



“The whole effort to move a village feels a bit like a giant catch-22: the school district won’t build a new school at the new site until 25 families live there, but no families want to live there without a school. The FAA (Federal Aviation Authority) won’t fund the design and construction of the Newtok airport until there is power generation at Mertarvik to provide runway lighting, but without an airport, it’s difficult to get a power source there. Mail service requires at least 25 families and regularly scheduled transportation to the community, which doesn’t exist without an airport.”

Source:

Alana Semuels, “*The Village that Will be Swept Away*,” *The Atlantic*, 30 August 2015. <http://www.theatlantic.com/business/archive/2015/08/alaska-village-climate-change/402604>.

BOX 3.13. Vietnam: a long history of State-managed relocations



State-managed relocation programs were initiated in the North beginning in 1961 and in other parts of the country since 1975 with millions of people relocated from densely to sparsely populated areas. An estimated 4.57 million people were relocated from 1976 to 1995, with most moving short distances. From 1994 to 1999, the total number of people relocated was 2.1 million. *The National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020* includes as one of nine specific objectives:

Complete the relocation, arrangement and stabilization for the life for people in disaster prone areas according to the planning approved by authorized government agencies. Up to 2010, manage to relocate all populations from flash flood and landslide high-risk areas and dangerous areas to safe places.

Relocation plans are seen as a means to reduce poverty and targeted populations for relocation are not only those living in disaster-prone areas, but also those from 'highly disadvantaged areas' (poor areas), border areas (likely for national security interests), and nomadic people.

Sources:

Chun, J. *Planned Relocations in the Mekong Delta: A Successful Model for Climate Change Adaptation, A Cautionary Tale, or Both?* Brookings-LSE Project on Internal Displacement, June 2015, pp. 8. <https://www.brookings.edu/wp-content/uploads/2016/06/Brookings-Planned-Relocations-Case-StudyJane-Chun-Vietnam-case-study-June-2015.pdf>.

See also: Entzinger, H., and Scholten, P. *Adapting to Climate Change through Migration: A Case Study of the Vietnamese Mekong River Delta*. International Organization for Migration, 2016. https://publications.iom.int/system/files/vietnam_survey_report_0.pdf.

- 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 neighborhoods and cultural symbols and heritage being maintained in accord with the Planned Relocation plan?
- Are Relocated Persons being compensated for their losses in an adequate and timely manner?
- Are logistical issues related to the physical move being dealt with appropriately?

Stage 3(c): Implementation: Longer-term Following Physical Relocation

Once the physical relocation has occurred, there is a need for continual monitoring and governmental attention to Relocated Persons and Other Affected Persons. Research indicates that restoration of livelihoods is key to the sustainability of Planned Relocations. When people are unable to support themselves in their new locations, they may seek to return to their original communities in spite of the risk or to move elsewhere.

Potential challenges: It may be difficult to provide the long-term monitoring as well as needed attention and financial resources from governments as time goes on. This may be due in part to other emerging priorities for action and to normal turnover among governmental officials. There is a risk that once the physical relocation has occurred it will become more difficult to mobilize the needed support to ensure the well-being of Relocated Persons. In particular, support for livelihoods and social services are both less 'visible' and more complex than construction of new housing and may not receive the attention needed. Another challenge may be that while outward measures indicate that the Planned Relocation has been successful, the affected populations still feel disenfranchised or traumatized by it.

A checklist of issues to consider

- Are Relocated Persons able to restore their livelihoods or find new sources of livelihoods? Are mechanisms in place to ensure that planning can be adjusted and additional support mobilized for those who have not been able to do so? Are Relocated Persons provided with training to develop additional skills relevant to the job market at the relocation site?
- Have affected business enterprises been relocated and able to resume their operations? Have they received the necessary support from government and private sector actors, such as banks?
- Is transport infrastructure adequate, accessible, and affordable to support restoration of livelihoods?
- 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?

BOX 3.14. When Does Planned Relocation End?

“A Planned Relocation can be considered to have ended when Relocated Persons no longer have needs or vulnerabilities related to the Planned Relocation and can enjoy their rights at least at the same level as pre-Planned Relocation or before the impacts of disasters and environmental change affected the enjoyment of such rights, and at a level that is at least equal to that of Host Populations.”

Source:

Brookings Institution, Georgetown University and UNHCR, *Guidance on Protecting People from Disasters and Environmental Change through Planned Relocations*, 2015. <https://georgetown.app.box.com/s/qwx6dcvl9762fv9itnqn98ogx1h3sjzz>.

- Is land vacated by Relocated Persons being used in the manner identified in the plan? Has the land been repopulated by others and, if so, does this present further risks?
- Are there strategies in place to hand over the development of the new settlement to Relocated Persons?
- Has monitoring of the impact of Planned Relocation on Relocated Persons and Other Affected Persons identified areas where further support is needed? Have these measures been incorporated into planning processes and implemented?
- Have areas for improvement in the legal and institutional frameworks been identified and recommendations implemented?
- Have the lessons learned from Planned Relocation been collected and are they available to concerned entities, including Relocated Persons and Other Affected Persons should other Planned Relocations be needed in the future?

BOX 3.15. New Zealand and Ecuador: The Importance of Ensuring Return to Affected Areas



Areas of Christchurch, New Zealand, and the island of Muisine, Ecuador, had to be evacuated because of damaging earthquakes. In both cases, however, efforts were made to ensure that affected populations compelled to leave these areas were still able to visit the land after it was secured and re-purposed. In Christchurch, former residents of areas deemed to be uninhabitable were still allowed to visit their land from time to time, often to have picnics or visit their gardens. This was an important component of helping people to still feel connected to their land and addressing some of the ruptures associated with their displacement. In the case of Ecuador, although the island of Muisine was determined to be unsafe for habitation, it is being re-purposed as a recreation area connected to the mainland by pedestrian and bicycle bridges. This will similarly allow former residents to maintain their connection to the land.

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BOX 3.16. Vietnam: Relocations, Livelihoods and Migration



Most relocations in Vietnam have occurred over short distances which enable the households involved to preserve their previous sources of income while stabilizing the places where they live. While this minimizes disruption, the downside over the longer term is that it does not lead to a diversification of activities which means that the vulnerability of households remains. Relocation projects are often combined with broader programs of institutional development such as setting up schools, industries, markets and health services which not only makes resettlement zones significantly more attractive to households, but also offers opportunities for diversification of economic activities and income growth. In some cases relocations may mark a starting point of migratory careers, particularly when relocation increases schooling, training and livelihoods. Relocation to specific areas should always be seen in a wider perspective that includes broader and more spontaneous patterns of migration in areas affected by environmental stress.

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The 2016 earthquake in Ecuador destroyed homes and communities. **Credit:** © IOM/Juliana Quintero.

RESOURCES AND ADDITIONAL READING

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UN Food and Agricultural Organization (FAO). *The Voluntary Guidelines on Responsible Governance of Tenure*. 2012. <http://www.fao.org/docrep/016/i2801e/i2801e.pdf>

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World Bank, *Preventive Resettlement of Populations at Risk of Disaster: Experiences from Latin America*. E. Correa, ed., 2011. <http://documents.worldbank.org/curated/en/674571468047054696/pdf/702830ESW0P1100ventive0resettlement.pdf>

Web Resources

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Environmental Change and Migration Thematic Working Group. KNOMAD. Available: <http://www.knomad.org/thematic-working-groups/environmental-change-and-migration>

International Disaster Law. International Federation of Red Cross and Red Crescent Societies. <http://www.ifrc.org/en/what-we-do/disaster-law/>

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Isle de Jean Charles, Louisiana, USA.

ANNEXES

Annex 1: The Case of Buyouts³⁵

Buyouts are a form of property acquisition in which houses and lots are purchased from willing sellers with the land restored to natural open space in perpetuity. An increasingly common tool to mitigate flood risk in the United States, buyouts enable the demolition of individual recurrently flooded properties or targeted clusters of vulnerable homes. As well as removing people and property from harm's way, buyouts can also reduce risk to neighboring areas by making way for parks and wetlands that help absorb floodwater and slow storm surge.

Issues to consider in choosing the buyout route:

- **Community-level demand:** Buyout programs require voluntary participation. They function most effectively when initiated and organized at the grassroots level, particularly in cases where an entire cluster of homes is targeted for purchase or trust in government is low. Places with stronger “social infrastructure” in the form of public meeting spaces, community groups, and local media may be better positioned to reach collective decisions to pursue buyouts and to maintain a sense of agency through the process.
- **Prior damage and future risk:** Sites of recurrent damage make economic sense to target for buyouts, and are often places where existing residents are willing to move if given the option as they may struggle to sell their houses on the private market or to afford insurance. Buyouts are typically funded after a disaster has occurred, enabling affected homeowners to receive pre-disaster fair market value for damaged houses. However, there is growing interest in pursuing preemptive buyouts in anticipation of future risk.
- **Viable relocation options:** While buyout programs do not mandate or typically provide replacement housing, it is important to ensure that the price paid for a buyout is sufficient for the recipient to find a viable new home (taking into consideration availability of affordable housing that is in a less vulnerable location but

³⁵ Liz Kozlov, New York University

remains close to workplaces, schools, and social networks). In some cases, communities may seek to stay together rather than relocate on an individual basis.

- **Other affected populations:** Buyout programs often affect populations beyond homeowners, such as tenants who may require relocation assistance and additional funding to make up a potential difference in rental costs. Other populations potentially affected include residents of destination areas and of areas bordering targeted buyouts.
- **Future land use and maintenance:** Although buyouts require returning purchased property to open space this can take various forms, including a public park, waterfront recreation area, restored wetlands, or other intertidal habitat. If well planned and maintained these amenities can increase adjacent property values, offsetting potential losses in tax revenue from a buyout. Such plans can also increase community buy-in at the outset.

Example: Staten Island, New York

After Hurricane Sandy struck in October 2012, shorefront homeowners in the New York City borough of Staten Island petitioned various levels of government for a buyout option that would allow them to relocate to higher ground rather than rebuild in place. In the US, federal funding for buyouts ramped up after the Great Midwest Flood of 1993, which breached more than a thousand levees and prompted a shift to nonstructural responses to flood risk. Typically, federal post-disaster funds cover 75% of the cost of a buyout, with the remaining 25% provided through a local match. After more than a hundred homeowners in one neighborhood on Staten Island organized and submitted a proposal showing their unanimous intent to pursue a buyout should one be offered, New York state declared the area the pilot site of a new statewide program.

The program offered pre-storm fair market value to eligible homeowners who opted to participate. On Staten Island, where several neighborhoods with high demand for buyouts adjoined an existing wetlands storm water-management system, the state declared “enhanced areas” where homeowners received an additional 10% bonus incentive to participate (to avoid a patchwork of vacant lots and inhabited houses), as well as a 5% bonus for relocating within New York City (aiming both to preserve the tax base and to give people greater means to stay in the community, where there is ample high ground but scarce affordable housing). Elsewhere in New York state, such targeted buyouts of contiguous clusters of homeowners were accompanied by stand-alone buyouts of individual recurrently flooded properties. As of October 2015, New York state had made offers to approximately 1200 homeowners totaling close to \$450 million.

In the pilot neighborhood of Oakwood Beach, there was an unprecedented level of participation in the targeted buyout program, which rolled out swiftly with the help of contractors who had worked on one of the largest pre-Sandy buyout programs in Cedar Rapids, Iowa. Subsequent enhanced areas saw lower rates of participation, however. This was due, in part, to the longer time it took to declare these areas. Some homeowners who initially sought buyouts wound up spending money to rebuild their houses, particularly if they could no longer afford temporary housing on top of mortgage payments. Other homeowners went into foreclosure. Those who maintained interest and eligibility for the program found that pre-storm value did not keep up with the rising costs of housing on the private market. Homeowners outside of the pilot neighborhood were also eligible for a competing New York City housing recovery program that offered funds to repair and elevate homes or to purchase property for redevelopment.

Potential problems:

- **Costs:** Buyouts have high up-front costs, because voluntary participation depends on property owners receiving what they consider to be fair value that will enable them to relocate to comparable housing in a

less vulnerable area. In the case of buyout programs in the US, the local match can be a hurdle for smaller or less wealthy municipalities that also bear greater impacts from a loss in tax base. While mitigation spending results in longer-term savings and numerous avoided costs, these benefits may not accrue directly to local municipalities, leading to uneven buy-in across different levels of government.

- **Precedent and equity:** There tend to be greater numbers of homeowners seeking buyouts than there is funding available for them. Criteria for how to determine who receives this funding vary and can be a source of conflict. Tensions exist between funding those hit hardest by a particular disaster or those most likely to be subject to future risk, as well as between targeting properties based on tools such as flood maps or enabling communities to decide based on individual and collective interest or local knowledge of flooding. Buyouts programs function best when initiated at the community level, yet communities have unequal resources to organize and political power to get heard and receive funding.
- **Holdouts:** People may refuse to accept a buyout offer or be unable to participate due to unclear title or negative equity (an “underwater” mortgage). In the latter situation, those implementing buyout programs may seek debt forgiveness from lenders. Holdouts and other “stuck” populations present a problem not solely because they are more isolated and potentially vulnerable but also because they require continued provision of infrastructure and services without the population that once supported it.
- **Lack of trust in government:** Buyouts can be stymied if they are perceived as a “government land grab” or due to rumors about what will happen to the land once people leave. Supporting community ownership of the process, conducting personal outreach, and maintaining open lines of communication can help counter fears and misinformation.
- **Displaced risk:** Rather than reducing risk, buyout programs can simply displace it should they not provide sufficient support and funding for participants to find secure, stable housing in a less vulnerable location. For instance, because housing in flood zones may be the cheapest available, homeowners could find themselves with no other option but to relocate to another flood zone where they may also be at a greater distance from family, friends, and workplaces. In addition, if it is those with the most resources who are most able to access and participate in buyout programs, there is a risk of ripple-effect displacement (for instance via gentrification in destination areas).

Annex 2. Carrying Out a Census and Socioeconomic Study

Information Which May be Needed³⁶

Variables where information should be collected:
Identification information <ul style="list-style-type: none"> • Name of head of household • Identity document • Property number • Address or location • Telephone number/email
Tenure of land and structures (owner, tenant, holder, occupier, other)
Uses of property (housing, income, industry, business services, agricultural or animal husbandry activity, other)
Residential uses
Family composition and characteristics: <ul style="list-style-type: none"> • Number of members • Kinship • Gender • Age • Schooling • Primary and secondary occupations • Place where occupation is pursued • Disability
Income and sources of income <ul style="list-style-type: none"> • Family income by member and total income (in cash and kind) • Expenditure by item and total expenditure • Way that consumer goods are obtained (purchase, self-produced, donation) • Place where consumer goods are obtained
Housing <ul style="list-style-type: none"> • Internal and external area • Number and uses of rooms • Floor, wall, and roofing materials • Condition of housing
Public services <ul style="list-style-type: none"> • Power • Water • Sanitation • Refuse • Telephone • Internet
Ties to the Site <ul style="list-style-type: none"> • Origin / Places lived previously • Reason for moves • Time in area • Attitude toward Relocation

³⁶ Adapted from Table P3.2 in World Bank Resettlement Guide, pp. 77-81.

Social organization

- Types of existing organizations
- Participation in community events (type and frequency)
- Membership in an organization

Cultural aspects

- Predominant values
- Existing practices
- Customs, patterns of behavior
- Religion (practices, sacred sites, cemeteries)
- Pets and other domestic animals

Social satisfaction

- Satisfaction with spatial location
- Satisfaction with housing
- Satisfaction with community and neighborhood

Social problems

Business, Industrial or service uses

Information identifying the owner of the business, industry or service

- Name of owner or owners (individuals or companies)
- Age
- Gender
- Identity document
- Property number
- Address or location
- Name of Business (registered name)

Tenure of the premises where the economic activity is pursued

Size and characteristics of the premises

Public services

- Power
- Water
- Sanitation
- Refuse
- Telephone
- Internet

Type of product or service

Equipment, machinery, and work tools

Monthly volume and value of production or sales

Number of employees

Customers (source)

- Local
- Area
- Regional
- National
- International

Time at location

Agricultural and animal husbandry uses

Information identifying the owner of what is produced

- Name of owner or owners (individual or companies)
- Age
- Gender
- Identity document
- Property number
- Address or location
- Name of business (registered name)

Total lot area and area devoted to agricultural production or animal husbandry

Public services

- Power
- Water
- Sanitation
- Refuse
- Telephone
- Internet

Soil quality

Type of crop

- Perennial
- Semiperennial
- Seasonal
- Sowing-harvesting cycles

Type and number of animals

Production technology

Productive infrastructure, equipment and machinery

Use of what is produced; income

- Consumption
- Sale (amount, periodicity, income)

Place of sale

Employees

- Permanent
- Temporary

Natural resource use, refuse generation and disposal

