



GUIDANCE ON MEASURING THE
ECONOMIC IMPACT OF YOUR
DIASPORA BEYOND REMITTANCES



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CONTRIBUTIONS AND COUNTING

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Introduction



Six steps towards measuring the economic contributions of your diaspora



Data collection options



The Diaspora Data Toolbox

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Foreword

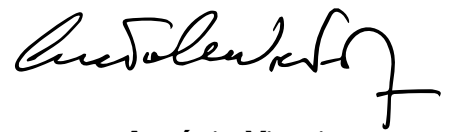
We live in an ever-interconnected world where communities and individual experiences increasingly transcend geographic boundaries. More and more of us live transnational lives, caring about and contributing to multiple localities simultaneously. Transnational communities, composed of migrants and diasporas, play an invaluable role in the life and growth of the various societies they participate in. They create bridges that allow the sharing and dissemination of knowledge, ideas, values, technology and other resources. They are agents of change that can have a profound impact in reshaping the worlds they inhabit. As such, these communities are important actors that can accelerate countries' achievement of sustainable development, as framed within the 2030 Agenda and beyond.

While this is commonly accepted and even features prominently in the Global Compact for Safe, Orderly, and Regular Migration (specifically, under its Objective 19), there remains a scarcity of data on the contributions that transnational communities make to sustainable development. Though figures on remittance flows are calculated at the national and international level these only capture a small fraction of the multitude of ways in which migrants and diasporas impact their countries of origin and residence. This lack of data on other types of contributions has had a direct impact on States' ability to develop evidence-based policies. With an ever-increasing number of governments adopting diaspora engagement policies, the general scarcity of data means decision makers have little evidence on which to base and monitor their strategies and programmes, which often end up overly focused on remittance flows due to their prominence in analytical literature.

The International Organization for Migration has been supporting States to engage with and empower their constituencies abroad for decades. We hope to address this important gap with the pioneering work encapsulated in this guidance document. This work relied on broad-based consultations with national and international experts and practitioners and was well-received when it was presented during the International Forum on Migration Statistics in Cairo in January 2020. Designed to be as practical as possible, the guidance here enclosed is meant to provide real-world solutions for governments to amend their existing data collection methods to recognize the contributions of their compatriots abroad. While ambitious in scope, we acknowledge the many challenges and constraints governments might face and thus of sought to provide a range of possibilities so users can identify what best fits their context.

As a seminal work, we recognize that this is just an initial step towards filling the information void that currently exists. In this way, this work focuses only on capturing and counting economic contributions of transnational communities, since these are more easily quantifiable and most countries are already regularly monitoring the flow of capital and goods in and out of their borders. We know, therefore, that there is still a lot of work to be done to be able to fully capture the multifaceted impact of migrants

and diasporas in terms of human, cultural and social capital. However, in the same way remittance data has opened the eyes of many to the potential of transnational communities to reduce poverty and stimulate growth, we are confident that this effort will open new doors and opportunities for understanding. Most importantly, we hope that by beginning to bring analytical visibility to the contributions of migrants and diasporas, States will be better able to recognize, institutionalize, and empower their hard-earned role as development actors.

A handwritten signature in black ink, appearing to read 'António Vitorino', with a stylized flourish at the end.

António Vitorino

Director General
International Organization for Migration

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Acronyms

BOP.....	balance of payments
BPM6	Balance of Payments and International Investment Position Manual, sixth edition (IMF publication)
CBN.....	Central Bank of Nigeria
CCI.....	certificate of capital importation
CoO.....	country of origin
DECDF	Diaspora Economic Contributions Data Framework
DIENT.....	direct investment enterprise
EDDI	Enhanced Data Dissemination Initiative
FDI.....	foreign direct investment
FPI	foreign portfolio investment
GAFI.....	General Authority for Investment and Free Zones
GDP	gross domestic product
GFS.....	government financial statistics
IIP	international investment position
IMF.....	International Monetary Fund
IOM.....	International Organization for Migration
ITRS.....	international transactions reporting system
MDA	government ministries, departments and agencies
MFA.....	Ministry of Foreign Affairs
MRE.....	Moroccans Living Abroad
MSITS	Manual on Statistics of International Trade in Services
NGO.....	non-governmental organization
OECD	Organisation for Economic Co-operation and Development
PCFS.....	Private Capital Flow Surveys
PIAa.....	pre-shipment inspection agencies
SBS.....	security-by-security databases
SDC.....	Swiss Agency for Development and Cooperation
SOFAL.....	Survey of Foreign Assets and Liabilities
UNCTAD	United Nations Conference on Trade and Development
UN DESA.....	United Nations Department of Economic and Social Affairs
UNSC.....	United Nations Security Council
UNWTO	United Nations World Tourism Organization





1

INTRODUCTION



INTRODUCTION

1

Diaspora communities are known to bring development benefits to their countries and communities of origin that range from social and cultural to economic contributions. Many governments globally recognize the importance of money sent home from their respective diasporas through remittances (which are typically small-value, person-to-person payments). The World Bank publishes data on annual inbound and outbound remittance flows, in US dollars, as well as total remittances as a percentage of GDP. The availability and visibility of this data has, in many ways, led to the discourse on economic contributions being dominated by remittances, while major gaps in the data and information on other contributions have remained unaddressed. This, in turn, has impeded the development and implementation of evidence-based diaspora engagement and broader economic policies and programmes. Increasingly, there is acknowledgement of the many other ways through which diasporas contribute to their countries of origin that are presently not being measured. For example, many governments are working to improve their relationships with their diasporas through diaspora engagement activities, as they are interested in mobilizing and leveraging their diasporas for homeland development, whether through knowledge transfer or by mobilizing savings towards diaspora investment.

1.1 What this Guidance is about

Without data, policies, initiatives, products and programmes aimed at the diaspora may be ill-informed, and there would be no basis for measuring and monitoring the impact or success of initiatives over time. Many of these gaps in data are endemic in countries of origin around the world and are due to the lack of effective and efficient methods for data collection and analysis. One challenge that has persisted in quantifying diaspora contributions to development is the lack of understanding of potential data sources and consistency in methodologies to extract evidence on financial stocks and flows beyond remittances. Making the necessary changes and putting in place measures now will allow relevant national and local statistics to be disaggregated by diaspora contributions. This data will, in turn, underpin future policies and programmes.

In light of this, *Contributions and Counting: Guidance on Measuring the Economic Impact of your Diaspora beyond Remittances* (hereinafter, “this Guidance”) aims to provide guidance to governments and national and local authorities looking to understand and measure the economic contributions made by their diasporas to their countries of origin – beyond financial remittances.¹ These economic contributions include investment, trade, tourism and philanthropy, among others. It is also important to note that diaspora contributions might be most strongly felt at the subnational level, for example, through contributions to the development of their communities of origin or by participating in diaspora tourism in urban centres where they may have family, friends and other ties. As such, measuring all of these economic investments at all levels and in all communities of your country is crucial.

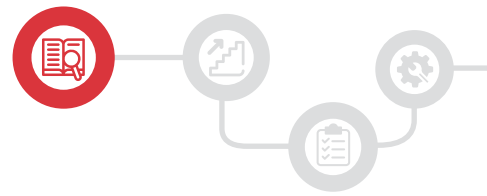
1.1.1 The purpose of this Guidance

This Guidance provides users with a structured approach to understanding **existing data collection frameworks** (for example, those used in compiling national accounts and the balance of payments (BOP)) and **how they can be modified** to isolate foreign capital inflows (through investment, trade and tourism, among others) made by members of diasporas. The outcome of this process will be the **establishment of a Diaspora Economic Contributions Data Framework (DECDF) and an associated Phased Implementation Plan** that provides long-term vision for governments on diaspora-related data collection and utilization. Data generated under the DECDF and its Phased Implementation Plan can be utilized to make more precise policy interventions and develop more effective policies and programmes to engage diasporas as developmental actors. Some specific points that this Guidance seeks to address include the following:

- a. This is a new area of research and, to date, there are few countries, if any, that systematically collect and publish data on the economic contributions of their diasporas on a periodic basis.²
- b. Data collection methods and frameworks vary from country to country. This Guidance allows you to create a data collection plan and implementation strategy that is tailored to the specific context and requirements of your country.
- c. The extent of the modifications that will be required to disaggregate diaspora contribution within your data will depend on the data collection methods used in your country. In some cases, it may already be possible to collate the desired information from existing administrative documents; in others, relatively small amendments to reporting requirements would be necessary, and, in others still, significant activities at a cost.

¹ The value of annual remittance inflows and outflows are already measured and are reported by the World Bank on the Migration and Remittances Data webpage, available at www.worldbank.org/en/topic/migrationremittancesdiasporaissues/brief/migration-remittances-data

² Some countries publish in specific areas. For example, Morocco publishes data on tourism receipts made by nationals residing overseas in their BOP report.



- d. Each modification should be considered in respect of the policy objective, expected benefits, and the accuracy and sustainability of data collection in relation to the cost and additional reporting burdens.
- e. To address challenges in capacity and resources, there is an option to adopt a phased approach to the required changes. It is likely that a phased approach will be the most appropriate way to implement changes, considering “low-hanging fruits” first (i.e. where the methodology is easily adjustable) and, where possible, modifications that are already aligned with existing plans to review and improve data collection methods.

This Guidance aims to enable countries to understand the economic contributions of their diasporas and how they can capitalize on this valuable source of capital to accelerate sustainable development. Capturing the full range of diasporas’ contributions will directly contribute to fulfilling countries’ global commitments, such as those to the 2030 Agenda for Sustainable Development. This Guidance is one step in that direction. Attribution of specific financial phenomena to diaspora communities will help achieve certain SDGs (which ones depend on the country context and priorities) and is directly in line with Goal 17: disaggregation of data by migrant status. In particular, Target 17.18 calls on States to “enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts.” (United Nations, 2017)

Measuring diaspora financial contributions will also directly contribute to Target 10.7: “Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies” (United Nations, 2017), as diaspora engagement is a key element of migration policy. Other SDG targets may be applicable, such as Target 8.9, which relates to promoting sustainable tourism (including diaspora tourism), and several SDG targets directly referencing enhanced financial investment to mobilize sustainable development in a variety of areas (e.g. Targets 1.A, 10.B and 17.3), among others.³

Additionally, for countries that have adopted the Global Compact on Safe, Regular and Orderly Migration, measuring the full extent of the economic impact of the diaspora will help ensure that well-managed migration contributes to achieving the positive development outcomes outlined in the 2030 Agenda. The Global Compact for Migration is anchored on the 2030 Agenda and provides a road map to help achieve SDG targets with a migration dimension. Thus, measuring diaspora economic contributions will showcase how migration can be leveraged to achieve sustainable development and, consequently, contribute to achieving both the Global Compact objectives and the SDGs simultaneously. In particular, this work will directly contribute

³ For a full analysis of all SDGs’ linkages to migration, including diaspora investment and engagement, refer to: Migration and the 2030 Agenda: A Guide for Practitioners (IOM and SDC, 2018a) and the accompanying booklet, Migration and the 2030 Agenda: Comprehensive SDG Target and Migration Correlation (IOM and SDC, 2018b).

to Objective 1: “Collect and utilize accurate and disaggregated data as a basis for evidence-based policies”⁴ and Objective 19: “Create conditions for migrants and diasporas to fully contribute to sustainable development in all countries.” (United Nations, 2018)

(For more information on how IOM supports governments to create the right enabling conditions to ensure that migration can help achieve sustainable development outcomes and fulfil the aspirations of those who move and the societies they join, as well as those who stay behind, refer to *IOM Institutional Strategy on Migration and Sustainable Development* (IOM, 2020a). The Organization has also launched the iDiaspora website (www.idiaspora.org), an online portal that serves as a hub for resources, opportunities and networking for diaspora groups around the world, helping connect members of the diaspora and other key actors. As a resource hub, iDiaspora features diaspora success stories, best practices and relevant policies from around the globe.)

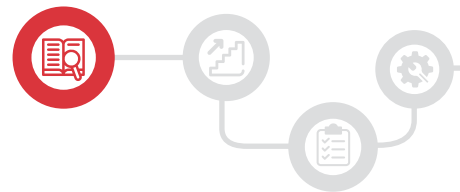
1.1.2 Who this Guidance is for

This Guidance is designed for any person or entity interested in measuring and monitoring the economic contributions of a diaspora to their country and communities of origin. This kind of data is particularly relevant to policymakers and programme developers interested in measuring diaspora contributions and the impacts of policy changes and/or programmes on the value of these contributions. It is assumed that this guidance will be used by government departments and ministries, and even subnational authorities, such as:

- a.** The diaspora affairs office/unit/desk
- b.** The ministry or department of foreign affairs
- c.** The ministries or departments of investment, trade and labour
- d.** The national statistics office
- e.** The central bank
- f.** The ministry or department of planning
- g.** Local and regional authorities

As this guidance shows, this exercise will require significant coordination across multiple ministries and departments and various levels of government (including national, territorial, regional, local and community-level governance structures), and, potentially, the private sector. As such, high-level support from the government is required to facilitate this. This process may also require input from government statisticians, as well as the compilers of the national accounts and BOP.

⁴ There is a specific commitment under Objective 1 to “collect, analyse and use data on the effects and benefits of migration, as well as the contributions of migrants and diasporas to sustainable development, with a view to inform the implementation of the 2030 Agenda for Sustainable Development and related strategies and programmes at the local, national, regional and global levels.” (United Nations, 2018)



1.2 Introduction to diaspora

While there is no universally acknowledged definition of the term “diaspora”, as specific countries define the term in relation to their political and policy objectives, this document uses the IOM definition, as follows: “migrants or descendants of migrants, whose identity and sense of belonging have been shaped by their migration experience and background” (IOM, 2019).

According to IOM’s Global Migration Data Analysis Centre, “[t]he term ‘diaspora’ is therefore broader than using migrant stock data or ‘country of origin’ data (which is used in a lot of the academic research). Definitions of “diasporas” also include not only first-generation emigrants, but also foreign-born children of these individuals and their children, as long as they maintain some link to their parents’ home country. These links – whether cultural, linguistic, historical, religious or affective – are what distinguish diaspora groups from other communities.” (IOM, 2020b)

Many countries have undertaken diaspora mapping exercises to establish the geographic locations and concentrations of their diasporas, as well as compile qualitative and quantitative information on them, diaspora networks and associations. IOM has worked with countries to conduct over 180 diaspora mapping studies.

Data on diasporas are also compiled by governments as part of the development of so-called “Migration Profiles”. Migration Profiles were pioneered by IOM in 2006 and rely on both reports and capacity-building tools that collect data from various existing sources in a structured manner. The aim of a Migration Profile is to provide a comprehensive overview of a country’s key international migration and socioeconomic development trends.

1.2.1 Economic contributions of the diaspora

There are a myriad ways in which diasporas support the economies of their countries of origin. These contributions can be grouped into two broad categories:

- a.** Direct contributions, for example, through savings, the purchase of insurance products, direct and capital market investment, philanthropy, trade, and diaspora tourism;
- b.** Indirect contributions, for example, through skills and knowledge transfer, trade promotion, stimulus to entrepreneurship and innovation, and the return of talent (among other contributions) in the case of returnee migrants.⁵

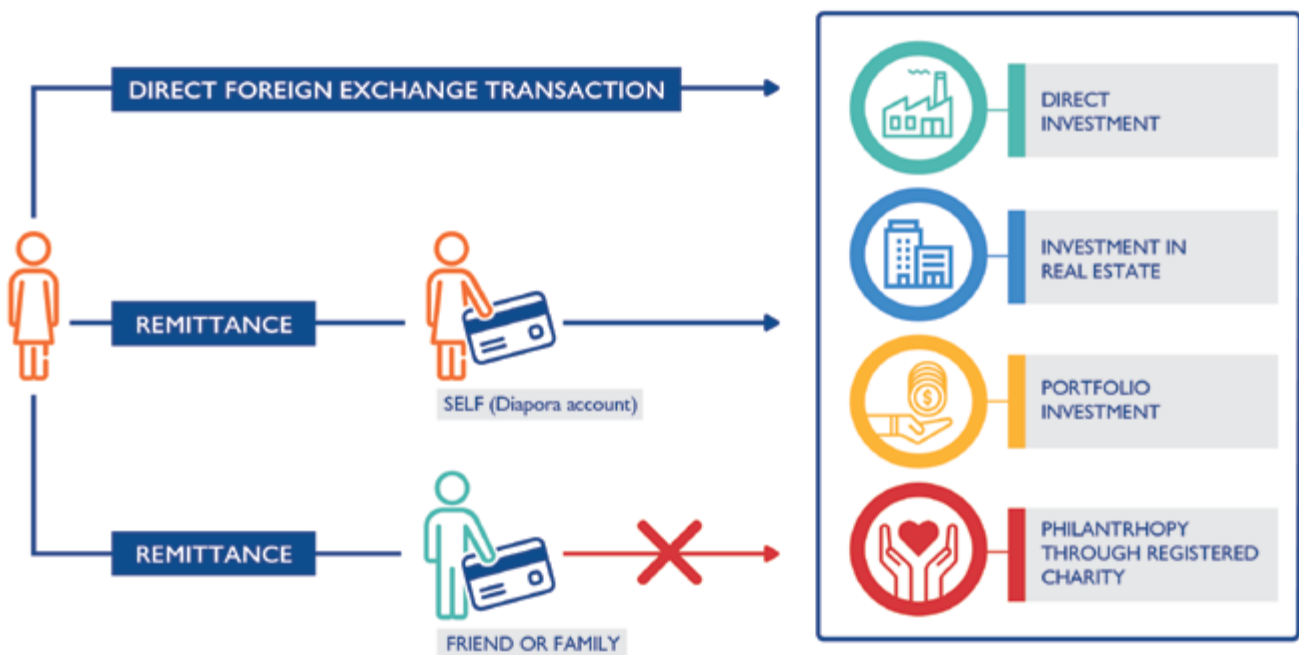
This Guidance focuses on the economic contributions of the diaspora above and beyond the remittances they send home (Figure 1 shows the range and types of economic contributions that the diaspora makes). As such, the focus is not on

⁵ More information can be found in the IOM’s “Diaspora Handbook” published in 2013 (IOM, 2013).

remittance flows and how the money is spent by family and friends receiving it. Instead the focus is on other forms of direct economic contributions, namely:

- a. Direct foreign exchange transactions in terms of investments, trade and philanthropy, among others;
- b. Money spent by diaspora members on tourism while visiting their countries of origin;
- c. Money remitted to diaspora-owned or -linked accounts and what this money is used for.

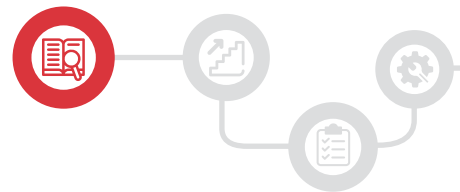
Figure 1
Economic contributions of diasporas



In this Guidance, economic contributions refer to the direct cross-border financial transfers made to the country of origin, namely:

- a. Investments (portfolio, direct and real estate);
- b. Trade in goods and services;
- c. Tourism-related expenditure;
- d. Philanthropy;
- e. Employee compensation.

(For more information on each of these contributions, including how they can be measured – with corresponding tools and case studies for each – refer to the appropriate sections in Chapter 3).



1.3 How to use this Guidance

The process of amending, modifying or creating data collection systems, as necessary, may require significant time and resources, but it would allow for better understanding and leveraging of diaspora resources in the future. A framework for the collection and analysis of diaspora-related data (i.e. the DECDF) would integrate the disaggregation of data by diaspora status into your existing data collection methodology as part of the effort to provide periodic meaningful updates and valuable insights for monitoring over time.

To simplify the process of restructuring or modifying your national data systems and establishing a DECDF it is broken down into six easy-to-follow steps. These steps are accompanied by tools and relevant case studies that will support you in implementing the required actions over an initial 24-month period.

As explained later (see [Action 4.2: Design a Phased Implementation Plan](#)), not all steps need to occur at once. You may instead decide, based on government priorities, which are the most important steps to take now and which may be implemented at a later time.⁶ All of the suggested guidance, steps, activities and modifications should be tailored to your country's unique context, priorities and needs; thus, not all would be applicable.

This Guidance is divided into three chapters and presents case studies and tools where relevant. Towards the end of this Guidance, these tools are organized in an indexed “toolbox” for ease of reference.

- a. Chapter 1. Introduction.** This (current) chapter provides a general overview of this Guidance, a rationale for measure the economic contributions of your diaspora and how you can use this Guidance to do so. It will help you understand how this Guidance works as you gather the political interest and will to carry out the process thus described in the succeeding chapters.
- b. Chapter 2. Six Steps towards Measuring the Economic Contributions of Your Diaspora.** This chapter establishes the aforementioned simple six-step process for modifying your national data collection methodology to account for your diaspora's economic contributions, with the central goal of developing and implementing a DECDF and its associated Phased Implementation Plan. Each step is broken down into smaller actions accompanied by a set of tools and case studies to support its implementation. This chapter would help you identify the steps that your country would be able to complete at this time and plan how you will carry out the process. You may choose to do the entire process at once (estimated to span about 24 months) and remember that all steps may be modified to suit your circumstances.

⁶ However, please note that deferring certain activities may compromise the usefulness and accuracy of the data collected by the end of your restructuring process (e.g. if you do not conduct a mapping of diaspora-owned firms early enough in the process, you may not be able to accurately and/or completely capture the diaspora's entrepreneurial contributions).

c. Chapter 3. Data Collection Options. During Step 3 of the process, you will review and select solutions that might work best given your country's or diaspora's context. Chapter 3 outlines potential solutions for identifying diaspora contributions using existing data collection instruments in six different areas. Note that the Guidance allows for all data to be collected from your country and, therefore, does not require any changes to global or foreign data collection methods.

You are encouraged to read all or only the sections that are relevant to your country's or diaspora's context. Each section provides a procedure to modify existing data collection instruments, or, in some cases, the option to create a new system if one does not already exist that can be modified. Options are accompanied by tools and case studies to help you understand and implement the appropriate changes.⁷



2

**SIX STEPS
TOWARDS MEASURING
THE ECONOMIC
CONTRIBUTIONS**



SIX STEPS TOWARDS MEASURING THE ECONOMIC CONTRIBUTIONS OF YOUR DIASPORA

2

This chapter outlines the main activities involved in developing a DECDF, which incorporates existing data collection methods and procedures for measuring the economic contributions of your diaspora, and a Phased Implementation Plan for incrementally changing these methods and procedures to disaggregate diaspora data on an as-needed basis. The idea is to establish a single, agreed-upon vision of priority areas where data disaggregated by diaspora status would assist your country in designing policies and programmes to empower your diaspora as development actors. Many small island nations have sizable diasporas and economies highly dependent on tourism; thus, their DECDF may focus on capturing the contributions of the diaspora as tourists or, alternatively, diaspora investment in the tourism sector – or perhaps a combination of both.

The DECDF should not only be based on your country's current situation but should also serve as a planning document to anticipate and understand data needs in the next 5 to 10 years while recognizing the fact that some changes to data collection methods might take time to implement. As such, the DECDF should provide the ideal scenario for diaspora data collection based on your country's strategic priorities, while the accompanying Phased Implementation Plan should identify concrete modifications to data collection methods that can be made in the immediate, medium and long term.

This chapter lays down the basic steps in developing a DECDF and rolling out its accompanying Phased Implementation Plan (a sample work plan is provided as Tool 1 in the Annex). The actual steps and processes will depend on contextual considerations, such as the institutional framework for diaspora engagement and data analysis in your country, data collection methods currently employed, and prior experience in diaspora data collection and diaspora programme development.



TOOL 1

Sample Work Plan

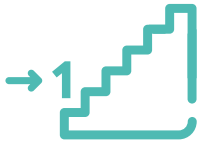
The sample work plan shows the envisioned timeframe for each step and action in the process. The work plan helps the Coordinator (whose tasks and functions are described in [Step 1 Action 2](#)), visualize the process, facilitating workflow management and progress monitoring throughout the implementation phase.

Figure 2 provides an overview of the six steps and associated actions involved in planning the DECDF and rolling out the Phased Implementation Plan – from background research, to monitoring and evaluation. The sections of this chapter delve into these steps to clarify what they entail and how they might work, including the actions to complete the step, any tools and templates that can be used, and case studies whenever relevant.



Figure 2
Overview of the six steps





2.1 STEP 1

Establish a coordination structure

Steps 1 and 2 should occur simultaneously, as much of the background research would involve coordinating with multiple stakeholders – in fact, identifying which stakeholders to coordinate with itself requires background research.

2.1.1 ACTION 1

Ensure high-level political ownership

As the economic contributions of the diaspora to their country or community of origin span multiple different channels (imports, investment, tourism, etc.) and sectors (real estate, industry, agriculture, etc.), and are measured using a range of data collection methods (surveys, transaction reporting systems, registries, etc.), it will be necessary to coordinate across ministries, departments, the private sector and data collection frameworks to pull all this information together. This will require a high degree of inter-institutional coordination with a high level of political buy-in, will and leadership.

Coordination between government ministries and departments and political support from high-level government representatives are integral factors for a successful development and implementation plan. At the national level, ministries, departments and agencies (MDAs) employ various research methods to compile national data for the national accounts, the BOP and the international investment position, among others. Data is typically collected from multiple sources across MDAs and cross-referenced, including at different levels of government, to improve the accuracy of results. Because there are so many different departments involved, high-level political support for the initiative is key. It would not be possible to coordinate between all relevant stakeholders and implement changes without a high degree of political will driving this process across government. As such, it is important to present the initiative to the highest levels of political decision-making to ensure that they fully understand the importance of and support the process before proceeding with any further steps.



2.1.2 ACTION 2

Identify a Coordinator

A Coordinator will need to be identified to manage and oversee this cross-departmental exercise. The Coordinator will work with the Technical Working Group, to be established, and other key stakeholders to facilitate an inclusive and participatory process that ensures a whole-of-government approach. The Coordinator could be from the planning ministry, foreign affairs ministry or the diaspora affairs office. The Coordinator will need to be comfortable with data and statistics, chair an interdepartmental working group and coordinate its activities. Also, the Coordinator must have credibility and enjoy the support of the government.

Ideally the Coordinator position would build on existing interdepartmental coordination mechanisms, such as national migration committees, Migration Profile working group and similar structures.⁸

TOOL 2

Sample Terms of Reference and Task List for the Coordinator

The sample terms of reference and the list of tasks for can be adapted to your context to guide the Coordinator selection process.



2.1.3 ACTION 3

Identify ministries and other government entities to be part of the process and create a Technical Working Group

Each country has its own data collection framework and departments responsible for compiling national and local statistics (see [Case Study: The Philippines' data collection methodology at the local/subnational level](#)). Typically, data for the national accounts and the BOP are compiled by the central bank, the office for foreign exchange or the national statistics office. Local authorities may also be integral partners to this process, as many local governments and institutions collect data on migration, including departures and diaspora contributions to their regions. Given the resource constraints of most local authorities, data collection might not occur in every situation; however, the Coordinator should map out where these exist and should endeavour to include local and regional authorities in their coordination structures. There may be various official agencies involved in capturing data used in the compilation process, including the following (IMF, 2014, p. 83):

- a. **Customs authorities**, for the collection of international merchandise trade statistics, which, in turn, can be used as basis for trade in goods and services;
- b. **Statistical agencies** (such as the national statistics office), for the collection of data through estimates and surveys (e.g. household surveys, enterprise surveys and surveys of services);
- c. **Port authorities**, for information on what can be used as indicators when compiling data from the transportation services sector;
- d. **Immigration authorities**, for the number of short-term and long-term migrants;
- e. **Tourism authorities**, which may collect information on the expenditure of non-resident visitors;
- f. **Banking and insurance regulators and other supervisory agencies**, including those for insurance and non-financial companies, and compilers of monetary and financial statistics, for data that may be used in the compilation process or to confront against data sourced elsewhere;
- g. **External/foreign affairs ministry or department**, for information on the operations of embassies;
- h. **Taxation authorities**, for information on withholding and other taxes, and to identify individuals and businesses that may be involved in international transactions or have external assets or liabilities;
- i. The **compiler of data from the international transactions reporting system (ITRS)**,⁹ if any;
- j. **Local and regional authorities**, including regional or local data collection centres;
- k. **The central bank**, for information on the banking sector and reserve assets.



TOOL 3 Stakeholder Mapping Tool

In order to identify which institutions and focal points are relevant to the process and ensure that these bodies are consulted, engaged and encouraged to join the Technical Working Group, where they can provide regular inputs to the process, comprehensive stakeholder mapping should be conducted. This tool serves as a guide and template that can be adapted to your context when carrying out the stakeholder mapping.

9

An ITRS records transactions that take place between residents and non-residents. Such a system may be a product of present or past exchange controls, or may exist separately from them. In many countries, commercial banks record all transactions that take place through their systems and report these (either individually or in aggregate form) to the balance of payments compiler. In cases where residents are able to conduct transactions outside of the domestic banking system, the relevant segment is included in the ITRS. Typically, this segment would comprise data on transactions through bank accounts held abroad by residents. (UN DESA, 2011, p.84)



Drawing on the information collected through the stakeholder mapping tool, it is recommended that the Coordinator identify key persons from relevant MDAs that have oversight of data collection through various channels, who can join the Technical Working Group. It needs to be emphasized that it would be ideal for such a body to be embedded within existing coordination mechanisms.

The purpose of the Technical Working Group is to meet on a periodic basis, set goals, provide inputs to the development of the DECDF and the Phased Implementation Plan, and guide the testing, implementation, and monitoring and evaluation. The Technical Working Group should also discuss priorities in terms of the kinds of contributions that are of greatest interest, which will, in turn, feed into the phasing of the Implementation Plan.

It is envisaged that the Technical Working Group would comprise the following institutions:

- a.** The compiler of the BOP;
- b.** The compiler of government financial statistics;
- c.** Data managers and statisticians involved in the compilation, processing and cross-verification of data, including the ministries of tourism, customs and investments, among others;
- d.** Diaspora affairs office and/or the foreign affairs ministry;
- e.** Central bank;
- f.** National statistics office;
- g.** Any relevant local or regional authorities.

Clear terms of reference (ToR) for the group should be agreed and signed off on by the highest level of government possible in order to provide mutual understanding of the roles, expectations and purpose of the new structure as well as facilitate the participation of the needed experts. See further points for consideration below.

TOOL 4

Sample Terms of Reference and Task List for the Technical Working Group

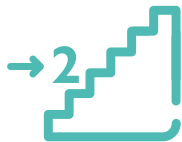
The sample terms of reference and list of tasks for the Technical Working Group that can be adapted to your context to guide the selection process and gain stakeholder buy-in.



2.1.4 ACTION 4

Hold a kick-off event

It would be useful to hold an interdepartmental workshop as a kick-off event to explain the objectives of collecting data on the diaspora's economic contributions and the specific activities that this would involve. High-level government representation at this workshop would demonstrate the political will and support behind this endeavour.



2.2 STEP 2

Conduct background research

Steps 1 and 2 should occur simultaneously, as much of the background research will involve coordinating with multiple stakeholders and in order to identify which stakeholders to coordinate with, you must conduct background research.

2.2.1 ACTION 1

Conduct a desk review

You should conduct desk-based research on existing studies, surveys and reports on your diaspora, your diaspora's links and interests in connecting back home, sources of contact and communication, and appetite for investment and trade, among others. One of the first steps should be to identify if your country has conducted a diaspora mapping exercise or developed a Migration Profile that you can build upon.

This step should also include a review of national legislation related to diaspora in your country. In particular, pay attention to laws or policies that provide a national definition of diaspora since, as mentioned previously, diaspora definitions vary greatly from country to country, from very loose and inclusive (such as Ireland's definition)¹⁰ to more structured, with clearly defined rights and responsibilities for different categories of migrants and diaspora such as India.¹¹ Secondly, there would be a need to understand whether diaspora engagement programmes and incentives exist and the type of information these might generate. For example, many countries provide identity cards for diaspora which could assist identifying certain transactions as pertaining to diaspora, as noted in Chapter 3 of this Guidance. Conversely, it

¹⁰ Global Irish: Ireland's Diaspora Policy states: "Ireland takes a broad definition of diaspora including former and current Irish migrants abroad and their descendants overseas. For many, the linkages to Ireland are a significant element of their personal identity, regardless of how many generations of their family have lived outside Ireland".

¹¹ Up until 2015, the Government of India recognized three categories of migrants and diaspora from the country, Non-Resident Indian, Person of Indian Origin, and Overseas Citizen of India, each with different rights and responsibilities.



would also be important to identify policies/regulations that may restrict engagement, investment and/or trade with foreign entities, as not all diaspora members have the citizenship of the country of origin and, thus, would be treated as foreigners by the legal system.

Additionally, talk with the body responsible for diaspora relations in your country (if there is one), the relevant ministries (such as the ministry of foreign affairs), local and regional authorities, and representatives from embassies where there are known to be significant diaspora communities to understand if, how and to what degree your diaspora is engaged in the socioeconomic life of your country. Try to collect as much information and insight as possible. Inquire into representatives' understanding of diaspora contributions (e.g. which channels of contribution have already been identified and acknowledged by the representatives), as this may inform the phasing of implementation.

An important initial step is to check whether your country has conducted, is currently conducting or plans to conduct a mapping of your diaspora. Consider checking with the appropriate government officials, academic institutions or your local IOM office. If no mapping exists to date, it may be valuable to consider developing one as part of broader diaspora engagement activities.

2.2.2 ACTION 2

Map how data is currently collected

To complete this mapping, coordinate with the agencies in the aforementioned stakeholder list and members of the Technical Working Group. The government agencies, bodies or officers tasked to compile balance of payments (BOP) data and government financial statistics (GFS) should have good oversight of the relevant data collection processes as a starting point for the mapping thereof.

There are a few main methods used for collecting information across several different channels. In practice, many compilers will use multiple sources of data to validate, verify and substantiate data across multiple methods.

While every country has its own government accounting systems, there are commonalities across countries as most countries follow similar international guidelines. Commonly used guidelines include:

- a. *Balance of Payments and International Investment Position Manual* (sixth edition) (IMF, 2009) and *BPM6 Compilation Guide* (IMF, 2014);¹²

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The balance of payments is a statistical statement that summarizes transactions of residents of an economy with non-residents during a given period. BPM6 describes the concepts that underlie the international investment position, the balance of payments and the other changes in the assets and liabilities account. The BPM6 Compilation Guide provides detailed information on how data can be collected and compiled at the national level. It presents this information according to the various items in the balance of payments.

- b. *United Nations International Merchandise Trade Statistics Compilers Manual* (revision 1) (UN DESA, 2013);¹³
- c. *System of National Accounts 2008* (European Commission, IMF, OECD, United Nations and World Bank, 2009);¹⁴
- d. *International Recommendations for Tourism Statistics 2008* (UN DESA, 2010a) and *Methodological Notes to the Tourism Statistics Database* (2020 edition) (UNWTO, 2020)¹⁵
- e. *Manual on Statistics of International Trade in Services* (UN DESA, 2011).¹⁶

The Coordinator should identify and interview relevant stakeholders to complete the matrix provided in Tool 5 on how data is collected through various channels, making sure to review which, if any, local authorities and regions collect diaspora and migration data. In conducting this exercise, the Coordinator should:

- a. Obtain copies of surveys, forms and procedures relating to how data is currently collected (e.g. through ITRS codes, customs forms, enterprise surveys and reporting requirements). These are important, as they will later be analysed to assess the viability of making amendments to data collection procedures that would allow for deciphering contributions made by the diaspora.
- b. Make a note of plans for reviewing the national data collection methodology and/or planned changes. This information will be useful in coordinating modifications required for obtaining data on diaspora contributions with other planned changes.



TOOL 5 Template for Mapping the Data Collection Methodology

This template/table proposes possible questions and areas of analysis to guide governments as they map their existing data collection methods and procedures.

- ¹³ The manual contains more detailed explanations of certain recommendations and provides practical guidance for compilers by describing good or best practices applicable under different circumstances. It promotes adherence to good practices and recommends specific solutions to compilation issues related to international merchandise trade statistics.
- ¹⁴ The guide enumerates various associated guidelines regarding the treatment of various economic data.
- ¹⁵ *International Recommendations for Tourism Statistics 2008* (IRTS 2008) provides a comprehensive methodological framework for the collection and compilation of tourism statistics and should be viewed as an important foundation of the system of tourism statistics.
- ¹⁶ “The Manual on Statistics of International Trade in Services 2010 (MSITS 2010) sets out an internationally agreed framework for the compilation and reporting of statistics of international trade in services in a broad sense, which addresses the needs, including those of international trade negotiations and agreements, for more detailed, more comparable and more comprehensive statistics on this type of trade in its various forms.” (UN DESA, 2011, p. iii)



TOOL 6

Sample International Transaction Reporting System Codes

An international transaction reporting system (ITRS) is one way that your country might already be classifying and collecting data. These sample ITRS codes show examples of some categories that might be used when collecting data through an ITRS.



2.2.3 ACTION 3

Map diaspora-owned firms and philanthropic associations, foundations and charities

One of the main challenges in measuring the economic contributions made by the diaspora to their country of origin is that they are often not made directly by individuals, but, rather, through businesses owned by them or by a philanthropic association, foundation or charity. In interviews for this publication, international experts from the United Nations Conference on Trade and Development (UNCTAD), the Organisation for Economic Co-operation and Development (OECD), and the International Monetary Fund (IMF) suggest that this is especially the case for foreign investment and foreign trade, where many contributions are made through companies rather than individuals.

Using existing data collection methods to identify whether a firm involved in investing or trading is owned by a diaspora member requires information on the nationalities of its shareholders. Adding this layer of data will significantly complicate and add to the existing burden on reporting institutions, which includes banks and registers of companies, and companies themselves (through administrative forms required by customs authorities, for example). Similarly, diaspora members do not always make donations as individuals but often through charities, foundations and associations established with a social or development purpose (such as supporting livelihoods) back home.

To address this challenge, it is proposed that it would be necessary to conduct a so-called “diaspora firm mapping” as an important component to fully capture the economic contributions of the diaspora to their country of origin. Without information on diaspora-owned firms, a significant portion of diaspora economic contributions may not be counted. Diaspora firm mapping would allow diaspora-owned firms to be pre-identified and their activities and economic contributions monitored across multiple data collection methods ([see Chapter 3 for more information](#)).

Mapping and creating a register of diaspora firms ideally takes place alongside and to complement existing diaspora mapping exercises. It will be necessary to define “diaspora-owned firm”. In the BOP, a shareholder with greater than 10 per cent of a firm’s shares is said to have a controlling stake. This definition could be extended to define diaspora-owned firms as those where a member of the diaspora holds a controlling stake of more than 10 per cent of shares. Diaspora firm mapping may be carried out by established chambers of commerce, in addition to embassies and consulates.

Mapping diaspora philanthropic associations and creating a register would allow data compilers to monitor economic contributions made by the diaspora through these organizations (see [Section 3.4: Philanthropy](#)). The Coordinator should, therefore, consider and plan how and when to map diaspora firms (if this has not yet been done), taking into consideration communication channels to be used to contact the diaspora, capacities and the available budget.

Methods that can be used to map diaspora-owned firms including the following options.



OPTION 1: Self-nomination through correspondence with the diaspora

Communicate with the diaspora through embassies, diaspora networks or any other means available to ask them to voluntarily register their firms as diaspora-owned and/or -controlled.

Diaspora business owners can be encouraged and supported to form their own business associations or networks. This would not only allow the identification of diaspora businesses but also facilitate cooperation by creating clear channels of communication between the government and diaspora-owned firms. Such organizations also support relations between diaspora-owned firms by enabling opportunities for mutual assistance, for example, sourcing products and services from one another, joint bulk purchases of materials, and joint advocacy.

An opportunity to incentivize diaspora-owned and/or -controlled companies to come forward is by presenting them with a “diaspora firm card” that can be used to register and trace their activities. Diaspora-owned firms could be granted special benefits to incentivize activities back home (See [Subsection 2.3.1 Option 2: Self-identification of the diaspora through diaspora cards for information on using this scheme for diaspora individuals](#)).



OPTION 2: Orbis database

The Orbis database covers 136 million active companies across more than 200 countries and territories and contains firm-level data sourced from national business registries, chambers of commerce and various other official sources. This paid service can be used to track where a company is registered and what the nationalities of its shareholders are.



OPTION 3: Diaspora surveys



Survey the diaspora and take the opportunity to ask for names of diaspora-owned and/or -controlled firms and their activities in their homeland, if any, to give you some leads.

OPTION 4: National investment promotion agency



Use information available from your national investment promotion agency or economic development board, which may have information on companies and their shareholders. This would only identify diaspora-owned firms that are already investing in the country of origin.

The same mapping exercise described above should be undertaken for diaspora associations and charities. Since diaspora firm and foundation/charity mapping can be a very time-intensive exercise, it is important that it is discussed at this stage (implementation of activities can be carried out in subsequent phases).

TOOL 7

Guide Questions for Mapping Diaspora Firms

Once the Technical Working Group has decided which method(s) to use to conduct the diaspora firm mapping, this list of guide questions will provide analysts with a fundamental orientation for conducting such mapping. The questions can be used to develop a more in-depth mapping tool and template for your context.

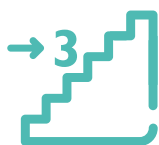


CASE STUDY 1

Kea – New Zealand's Diaspora Business Network

Kea (website: www.keanewzealand.com) is a public-private partnership that creates a global network linking New Zealanders abroad with each other and with people back home, with the explicit aim of supporting members' professional development by facilitating professional and business linkages, promoting employment opportunities, and more. One quarter of the estimated 1 million New Zealanders living abroad are registered Kea members engaging in different interlinked Kea chapters throughout the world.





2.3 STEP 3

Select the best data collection methods for your context

2.3.1 ACTION 1

Choose how to identify a member of the diaspora in the national data collection methodology

The first action to take when planning how to update and/or restructure the data collection methodology according to your context is to choose how to identify members of the diaspora. This decision will fundamentally shape your DECDF and all the modifications proposed therein. It might have implications beyond data collection as well, such as in the case of issuing diaspora cards. However, this approach (and the DECDF in general) should, in principle, be embedded in the country's wider diaspora engagement strategy.

Given the broad definition of diaspora, it can be statistically challenging to identify diaspora members using existing data collection methods. There are a few different methods that can be used; the four main options are outlined in this section. In general, the observation has been that the more effective and accurate the methodology, the more costly it is to implement. The options demonstrate that it is not easy to identify members of the diaspora statistically.

While self-identification is the most accurate, it is also can be challenging and costly to implement, as it relies on data being collected in the diaspora's host countries, directly from diaspora members themselves. This would require either significant changes to administrative forms and reporting procedures for banks or is only applicable to surveys with the diaspora which are costly to implement and at best will only ever cover a sample of the population.

The easiest method to implement is Option 3, as it relies on information about the individual's nationality, country of residence, and host and home communities. However, this is also the weakest in terms of accuracy and breadth. Given the nascent stages of this research, it is this reduced definition of "diaspora" adopted by Option 3 that is recommended as a first step in collecting data using the existing national data collection methodology.

Where possible, for example, during the registration for diaspora cards, consider disaggregating data to show local-level communities of origin (e.g. Turin, Italy and Calabarzon, Philippines), since diaspora members often prefer to support local-level actions in their own communities that are able to exhibit concrete results rather than more general national-level efforts.



OPTIONS FOR IDENTIFYING MEMBERS OF THE DIASPORA

OPTION 1: Self-identification as diaspora



Individuals may self-identify as members of the diaspora, for example, in administrative forms (e.g. customs declarations, land registry, etc.) or when making financial transactions.

Strengths

This option is considered the best, as it is the most inclusive, able to capture first-, second- and third-generation diasporas and differentiate between those that identify as diaspora and those that do not.



Weaknesses

This option has several identified weaknesses, such as:

- a. Requires individuals to provide information directly and, as such, may involve substantial changes to existing reporting requirements;
- b. May require making changes to administrative requirements in the host country (as the diaspora is not in the country of origin);
- c. May require considerations to be made relating to privacy and data collection, given that the nature of the data collected is financial. (Scoop, 2006).



GOOD PRACTICES

- People self-identify as diaspora when they become members of diaspora organizations or register as diaspora with their embassy.
- Diaspora surveys rely on people self-identifying as members of the diaspora
- New Zealand's global census, dubbed "Every One Counts", was an online survey to find and connect diaspora members. In the first week of its launch, over 18,000 diaspora members in 148 countries had completed the survey.





OPTION 2: Self-identification through diaspora cards

The idea of a diaspora card, issued by the country of origin, is that it formally identifies someone as a member of the diaspora. As certain rights and benefits are attached with the status that this card bestows, migrants are more likely to self-identify, especially those who are interested in engaging in the types of transnational activities the attached rights and benefits incentivize. Hence, diaspora cards would naturally appeal to your target segment of the diaspora population. The diaspora card is presented and documented when engaging in business, trade, investments and tourism, among others, in the country of origin. The diaspora card, if applied across the diaspora, would allow for authorities to track when a diaspora member conducts certain activities. When governments are developing broader diaspora engagement policies and programmes, the diaspora card should be considered as an important tool for monitoring and evaluation of their impact while facilitating much of the data collection solutions described in Chapter 3.



Strengths

Diaspora cards are able to achieve the following:

- a. Allow for self-identification of diaspora members and can be used to track their activities;
- b. Capture second- and third-generation diaspora members if they choose to self-identify;
- c. Facilitate and are usually linked to broader diaspora policies and programmes that not only record contributions but actively promote them through facilitating administrative procedures and/or providing concrete incentives.



Weaknesses

Several drawbacks to this option include the following:

- a. Programmes to incentivize migrants to apply for and use the diaspora cards may require resources that have budgetary implications.
- b. A diaspora card system requires an upfront investment in infrastructure (i.e. to produce and manage the system), although once in place, it can greatly reduce reporting burdens.

This method would have to be used in conjunction with other data collection methods if there are no incentives for those that already hold a national identification card.



GOOD PRACTICES

Ethiopia issues Ethiopian Origin Identification Cards (“Yellow Cards”) to second- and third-generation diaspora members who do not have Ethiopian citizenship (*Note: Ethiopia does not allow dual citizenship*). The Yellow Card extends the same investment incentives and rights as Ethiopian citizens. Therefore, the Yellow Card is not for people that already have Ethiopian citizenship, as they can already access these benefits.



OPTION 3: Using “nationals resident overseas” as a proxy



This method requires ascertaining the nationality (through the passport held) and the country of residence of an individual.

Strengths

It is statistically easier to capture using information that may already be available. Information on nationality is often already collected by host countries, and country of residence can be extrapolated from the country where the transaction is initiated or the currency used in such transaction.



Weaknesses

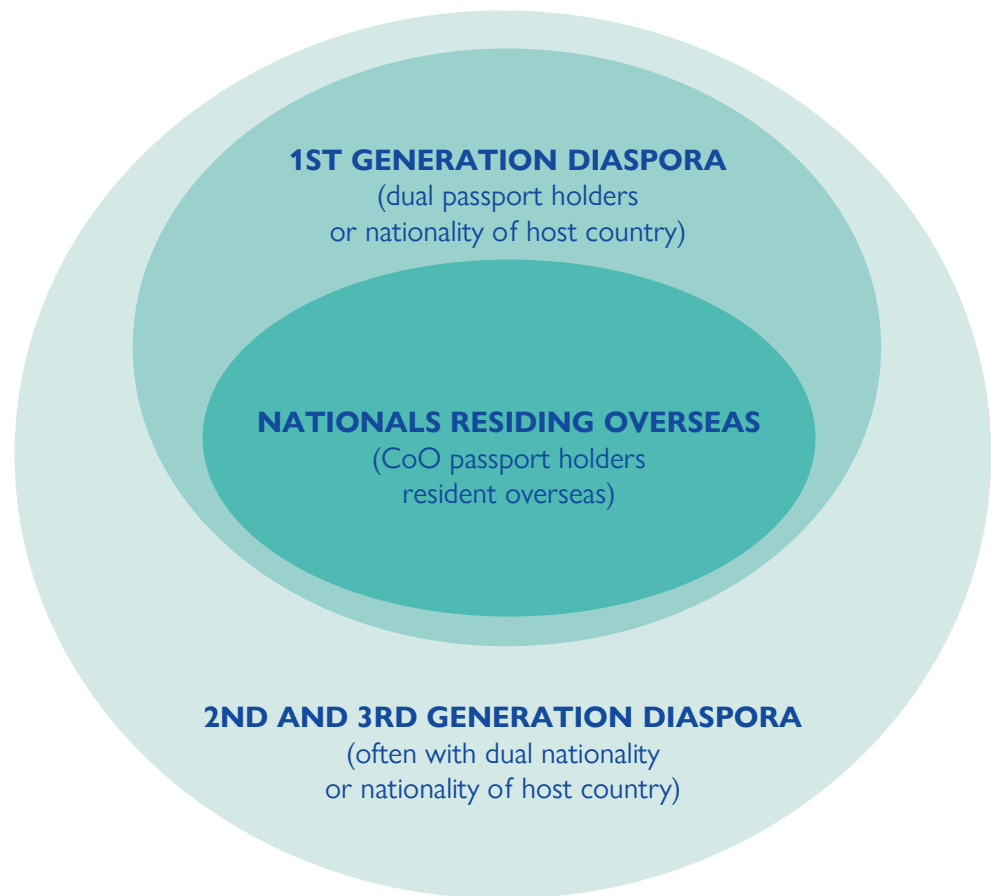
This method has certain limitations, for example:

- a.** It fails to include second- and third-generation migrants and members of the diaspora that have been naturalized and now hold the passport of their host country and, therefore, will not capture the full picture of diaspora contributions.
- b.** The proportion of the diaspora that hold the passport of their host country is unknown and, therefore, extrapolation is not possible (see Figure 3 below).
- c.** This solution will fail to recognize dual nationals that use host-country documentation when making transactions, including diaspora members that have taken their host country's nationality.



Figure 3

The segment of the diaspora captured using nationals residing abroad



GOOD PRACTICES



“Moroccans living abroad” (MRE) is the definition of “diaspora” used in Morocco for collecting information on their diaspora activities. MREs are Moroccans using a Moroccan passport while residing (determined through certain criteria, e.g. holding a bank account) in a foreign country.



OPTION 4: Using names to identify diaspora

This solution uses onomastics (the study of the history and origin of proper names, especially personal names) to identify whether an individual making a transaction is likely to be diaspora based on his/her first and/or last name.



Strengths

This technique has two main advantages:

- a.** Allows for identifying diaspora transactions without much effort on the part of the potential diaspora member;
- b.** Potentially includes second- and third-generation diaspora if their family name or first name fits the criteria.



Weaknesses

The weaknesses of this method are as follows:

- a.** This is a relatively labour-intensive and, therefore, costly solution, as it would require applying the solution to huge databases when looking at a country's foreign investments, trade and tourism, among others.
- b.** The solution would not work if a diaspora member does not have a name that originates from his/her country of origin (as is sometimes the case with Anglophone names), or change their family name (such as women taking their husband's surnames).
- c.** The solution also only applies where names are distinctive enough to be distinguished from those of neighbouring countries; hence, it would not be effective to distinguish between Latin American countries, which have a shared language and cultural heritage.



GOOD PRACTICES

- IOM has used onomastic analysis in databases of businesses (in the United Kingdom and the Russian Federation) to identify businesses presumably owned by the Georgian, Armenian and Azerbaijani diasporas. (Economic Commission for Europe, 2012)
- Equity Bank in Kenya determines origins of names in analysing their person-to-person transfers and only include those coming from names of Kenyan origin as remittances.



Once you have decided on the most applicable choice of these four options, you can move on to selecting the interventions and solutions to restructure your data collection methodologies.



TOOL 8

Data Protection

When collecting data about an individual or group, including diaspora members, diaspora-owned firms and diaspora organizations, strict data protection principles must be applied. Data protection is paramount for the safe exchange, secure storage and confidential treatment of personal data. This tool provides further information and references to inform safe, responsible data collection that respects the core principles of data protection, and it should be referenced and integrated into the DECDF and associated data collection processes.

2.3.2 ACTION 2

Identify diaspora contributions in existing data collection frameworks

Before identifying modifications to be made, first review the data collection methodology mapped in Step Two to identify where diaspora data is already being collected, where there are gaps and how you might adapt them. Current data collection might already be occurring at the local and other subnational levels. For example, as illustrated in Case Study 2 in the Philippines, some regions carry out a survey of Filipino migrants. Be mindful to not only capitalize on these existing forms of data collection at the local level, but also incorporate them and restructuring them alongside national-level efforts. Also, remember that certain data collection methods will be easier to use; likewise, certain areas of diaspora contributions will be easier to collect data on than others (see the below table).



Table 1

Ease of collecting information on diaspora economic contributions

Easiest areas to collect information	Most challenging areas to collect information
Where there is government support for adding codes to the international transaction reporting system (ITRS) that would allow for flagging or isolating (remittance) payments made by nationals residing overseas – mainly be for diaspora investment and, to a certain extent, diaspora trade in goods and services. This will be most meaningful where the purpose of the transfer is declared for all transactions (and not only over a certain threshold).	Trade , especially where the register of diaspora-owned firms is weak and where there is no digitized customs database.
Where there are exchange controls in place that restrict the flow of money into and out of the country. This will usually translate into more reporting on the flow of funds and more opportunities to make modifications to documentation that will allow for flagging or isolating payments made by nationals residing overseas. For example, in countries where there are rules around repatriation of profits/income by foreigners and diaspora, investments are more likely to be registered.	Philanthropy , especially without creating a map of diaspora foundations and charities abroad, or without working with commercial banks in your country to track payments to local charities.
Where there is support from commercial banks in running specific queries on their accounts on a periodic basis to support this initiative.	Portfolio investments , as it is not currently clear whether it would be possible to identify the nationality and country of residence of portfolio investors where investments are made in host countries through host-country brokers of country-of-origin stocks and shares. It has been suggested that current reporting and confidentiality requirements would make this information unavailable.
Where tourism data is relatively straightforward to amend – for example, it may already be possible with the current data collected to identify expenditure by nationals residing overseas on their holiday back to their country of origin. Given that data is collected through surveys, there will also be opportunity to collect information on second- and third-generation diasporas. However, it is important to note that this data will always, at best, be informed estimates.	
In direct investment , where a government agency collects information on all investments made into the country and collects information on the nationalities of all shareholders.	

CASE STUDY 2: Philippines's Use of Data Collection Methodologies at the Local/Subnational Level

In the Philippines, the lack of a national identification system for overseas Filipinos, harmonized databases and platforms used by various government agencies, an absence of common terminology (e.g. *migrant* versus *overseas Filipino*), and varied time series in data generation has encouraged local actors to implement innovative techniques at the local level to generate migration data.

Since no single, local-level data collection and analysis process was available to provide succinct, detailed information to build a profile of migration, various methodologies and strategies were utilized – institutionalizing a mixed-model approach – to develop a more in-depth analysis. This was done by:

- a. Performing a more in-depth analysis of the city/municipal level by extracting relevant data from four censuses/surveys;
- b. Executing a specific questionnaire on migration through the Community-Based Monitoring System;
- c. Carrying out a survey among Filipino migrants;
- d. Conducting a survey among children of migrants.

More information on these activities can be found in Joint Migration and Development Initiative Case Study No. 20 (JMDI, n.d.). Additionally, the Joint Migration and Development Initiative developed *A Guide in Generating Local Migration Data* (Siar, n.d.) to support the Calabarzon Region to continue to carry out these processes and to inform other regional – and, potentially, national – efforts to collect migration data, including economic contributions of the diaspora.





2.3.3 ACTION 3

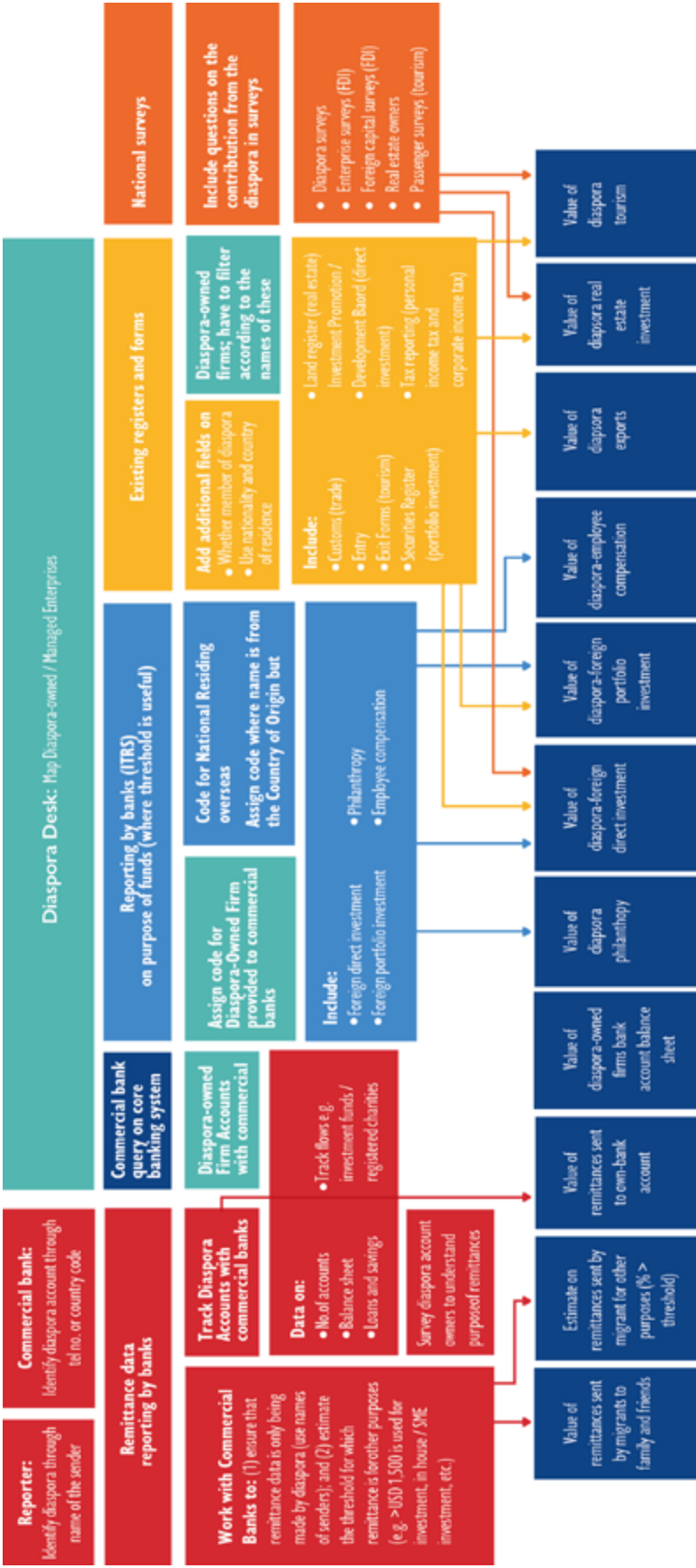
Identify recommended solutions based on options provided in Chapter 3

Chapter 3 provides insights into the different ways data is collected, by channel, and some solutions on how diaspora contributions can be identified. Based on the needs and priorities identified during background research and at the mapping stage, the Coordinator and Technical Working Group should review the appropriate sections of [Chapter 3](#) that are feasible in their contexts and select methods that are applicable, utilizing the appropriate tools and case studies for each option. It will be important to clearly understand and articulate the purpose of collecting specific types of data – as this will inform the structure of the Phased Implementation Plan, that is, whereby a few channels of interest are selected to focus on first. Gauge the demand for this work, as well as the related budget, sustainability and timeframes, including with respect to surveying the diaspora.

Based on this review, as well as feedback and insights from the Technical Working Group, the Coordinator should make an initial set of recommendations on what changes would be required, by channel, in order to capture information on diaspora contributions that will form the basis of the DECDF.

Figure 4 provides an overview of the main activities and modifications to existing data collection methods that are likely to be required in collecting data on the economic contributions of the diaspora.

Figure 4
Reviewing ministries and departments responsible for collecting data





2.3.4 ACTION 4

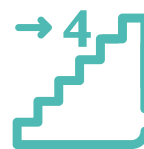
Consult with MDAs and data compilers to review recommended solutions

Utilizing the recommendations from Action 3, the Coordinator should then initiate a review period with MDAs and compilers of BOP and government financial statistical (GFS) data. The aim of this consultation is to understand the following:

- a. The viability of making these changes;
- b. Strengths and weaknesses, and whether proposed amendments would produce meaningful data and troubleshoot potential challenges;
- c. Implementation times, resources and costs;
- d. Costs and resource requirements versus benefits and accuracy of data;
- e. Costs, benefits and feasibility of diaspora surveys.

Support and input will be required from statisticians and due care will need to be taken against double-counting with remittance data.¹⁷ Once the final list of changes to be made is decided upon, the Phased Implementation Plan can be drafted.

2.4 STEP 4



Develop the diaspora economic contributions Data framework (DECDF) and an associated phased implementation plan

2.4.1 ACTION 1

Develop a Diaspora Economic Contributions Data Framework

The Coordinator and Technical Working Group should review the information gathered from [Step 2](#) (Conduct background research) and [Step 3](#) (Select the best data collection methods for your context) to develop the DECDF as a framework, broken down by channel, for collecting the required data. The DECDF should provide a long-term vision for the government on which diaspora-related data is valuable for policy development and programming and identify how existing data collection

methods can be changed incrementally in order to fulfil this vision. Each potential change will need to be assessed against their relative costs/benefits and alternatives, such as diaspora surveys, with insights from statisticians. The DECDF should identify data needed to be made available, including the format in which it should be provided, the timing and frequency of provision, and any additional requirements (e.g. in terms of security, the protection of confidentiality of individually identifiable data).

The DECDF should be based on:

- a.** Priorities of the government, as determined by the Technical Working Group;
- b.** Findings from Step 3 when assessing what changes need to be made to collect data on diaspora contributions and the capacities and resources involved;
- c.** Existing plans for reviewing or amending certain data collection methods, as per the matrix in Tool 5 (Template for mapping the data collection methodology).

The development of the DECDF may entail one or more planning workshops with the Technical Working Group and other key actors to process information from previous steps into a coherent framework in a participatory manner.

2.4.2 ACTION 2

Design a phased implementation plan

Recognizing that such changes can be complex and may not be possible to complete all at once, a Phased Implementation Plan should be developed in order to provide a road map for implementing the DECDF, with actions to be taken in the immediate, medium and long term. Phasing data collection will be an important aspect of collecting data on diaspora economic contributions given the variety of ways the diaspora contributes economically and the multitude of data collection methods used. This is an iterative process that will evolve through consultations with respective stakeholders to finalize a plan that is feasible and valuable.

The Phased Implementation Plan should be developed according to the following:

- a.** Budget;
- b.** Timeframe of each phase;
- c.** Purpose of each phase;
- d.** Prerequisite activities (e.g. mapping of diaspora-owned firms, diaspora associations and charities);
- e.** Any changes in regulation that may be required for the collection or sharing of data from data compilers.



Some factors to consider when creating the Phased Implementation Plan include:

a. Low-hanging fruits, which include:

- i. Certain channels through which the diaspora contribute may already be easier to collect data from (e.g. where changes are small, such as in tourism passenger surveys, or where data may already be available but not currently analysed);
- ii. Changes that will provide data across a number of different channels (e.g. additional codes in the ITRS may provide insights into diaspora direct and portfolio investment and trade in services);

d. Priorities – for example, diaspora direct or portfolio investment may be of key interest, as governments put in place vehicles and policies to facilitate and support this;

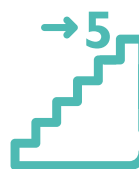
e. Activities that can be brought in later – for example, mapping of diaspora-owned firms (data from which can then be used to track contributions) may require significant resources and, therefore, could be delayed until a later phase.

2.4.3 ACTION 3

Obtain cross-departmental and high-level government approval

The Framework and associated Phased Implementation Plan should be presented to the Technical Working Group and high-level government authorities for approval.

2.5 STEP 5



Test and review

2.5.1 ACTION 1

Test modifications to data collection

Once the Phased Implementation Plan has been approved, the Coordinator, in coordination with the relevant Technical Working Group members, should negotiate with relevant authorities to test the modifications required to extract the required data and classifications from the government accounting system at the beginning of each phase. The testing period should be adjusted according to the frequency with which data is collected.

The testing period should verify how easy it is to compute the required data based on the data provided by the various MDAs. A review should be taken on what changes need to be undertaken to the way data is provided to improve and streamline the process.

2.5.2 ACTION 2

Review the results and make adjustments

On completion of the testing period, the data compilers and the Technical Working Group should meet to review the results, processes, challenges and recommendations for improvement. Following the review, any required amendments should be made to the Phased Implementation Plan. Any changes should be negotiated with the relevant authorities and data compilers.



2.6 STEP 6

Implement, report, monitor and evaluate

2.6.1 ACTION 1

Implement modifications to data collection

Once the results of the testing period are incorporated in the Phased Implementation Plan at the beginning of each phase, the Coordinator will work with the relevant authorities to ensure that agreed-upon modifications to the data collection processes are fully adopted.

2.6.2 ACTION 2

Report annually

Data should be reported in an annual report and shared widely across government and other stakeholders. This can be integrated into the routine or regular development and dissemination of national migration profiles if these already exist or are planned.

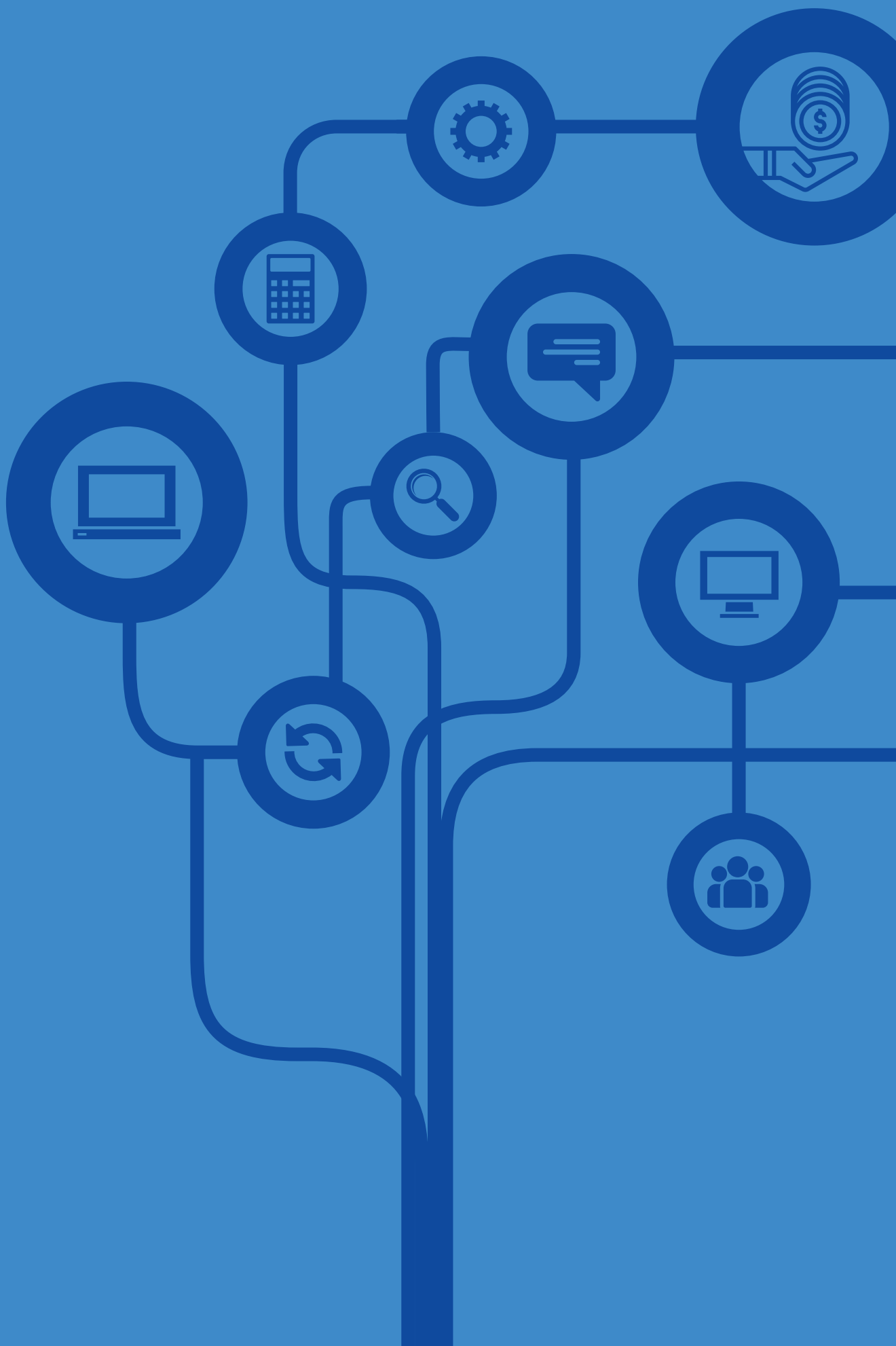
Findings should be used to support and inform policy decisions and data should be used to monitor the impact of the government's and other stakeholders' programmes and diaspora-related initiatives.



2.6.3 ACTION 3

Monitor and evaluate

Data collection should be monitored and feedback mechanisms put in place to ensure that there is open communication between the Coordinator and MDAs collecting and analysing data. These feedback mechanisms should ensure that the diaspora continues to be considered and factored into any future changes to data collection and reporting.





3

DATA COLLECTION OPTIONS



DATA COLLECTION OPTIONS

3

This chapter draws on the experience of a few countries to offer potential modifications that will help to isolate the economic contributions of the diaspora within existing data collection methodologies. You can select those sections below that are relevant in your context to identify potential solutions and restructure your data collection methodology to better capture the full extent of your diaspora's economic contributions. This review and selection process can occur during Step 3 (Select the best data collection methods for your context), and the selected initiatives will help to establish the DECDF and the associated Phased Implementation Plan in Step 4.

The six sections in this chapter delve into the different options available for capturing each of the different types of diaspora economic contributions, with the final section looking at conducting specific surveys directly with your diaspora.

3.1 Diaspora investment



This section is divided into four parts:

- a.** Overview of diaspora investment and methods for collecting data
- b.** Suggested modifications for measuring diaspora investment
- c.** Diaspora investment in real estate
- d.** Investigating diaspora-owned accounts

3.1.1

Overview of diaspora investment and methods for collecting data

Diaspora investment is usually the main channel of interest, as many governments are looking at ways to mobilize their diaspora to save and invest back home. Foreign investment is usually split into two:

- a.** Direct investments (a component of foreign direct investment (FDI));
- b.** Portfolio investments (a component of foreign portfolio investment (FPI)).

Data on both FDI and FPI are compiled on an annual basis and published in the country's BOP, national accounts and international investment position (IIP).¹⁸ Diaspora direct and portfolio investment are subsets of foreign investment, defined in BPM6 as follows:

- a. A direct investment** is made when “a unit resident in one economy makes an investment that gives control or a significant degree of influence over the management of a company that is resident in another economy. This concept is operationalized where a direct investor owns equity that entitles it to 10 percent or more of the voting power (if it is incorporated, or the equivalent for an unincorporated company) in the direct investment enterprise (DIENT).” (IMF, 2014, p. 372)
- b. Foreign portfolio investment (FPI)** is defined as cross-border transactions and positions involving debt or equity securities, other than those included in FDI or reserve assets.¹⁹ They are investments that are below the 10 per cent shareholder threshold and, therefore, not a controlling entity. These stocks are negotiable and mainly in the form of shares or debt securities. Bonds issued internationally by the public treasury or resident economic operators are classified in this category. In addition to investments in conventional portfolios, other products such as the financial derivatives are also included. This mainly involves firm or option contracts on the underlying principles (e.g. commodities, foreign exchange market and interest rates).²⁰

Discussions with experts from the IMF, UNCTAD and OECD suggested that while the exercise of identifying diaspora engaged direct investment is cumbersome, it is practically even more challenging for portfolio investment.

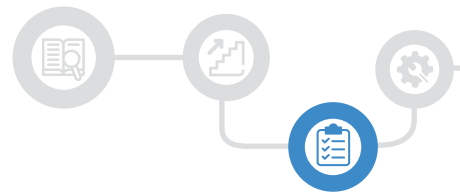
Portfolio investments are usually traded through a platform, broker, fund or bank. The main challenge with respect to identifying diaspora portfolio investment is that current reporting requirements do not require banks or brokers to report on the residence and nationality of the individual making the investment.

For the most part, collecting detailed and accurate data on diaspora portfolio investments would require changes in how data is collected globally, which is unlikely to change soon. Whether this is possible will be dependent on how securities are structured and sold. Thus, countries either need to ensure all their securities are sold in such a way that they can track this data, or they would have to request this information from every country that sells securities to their diaspora – who may or may not be able or willing to provide it.

¹⁸ This is a snapshot look at the assets and liabilities of foreign entities.

¹⁹ Equity securities are instruments that acknowledge a claim on the residual value of a company. Debt securities are negotiable instruments serving as evidence of debt. They include bills, bonds, negotiable certificates of deposits, commercial paper, debentures, asset-backed securities and similar instruments normally traded in financial markets. (IMF, 2009, p. 110, para. 6.54).

²⁰ Other guides on FPI include: IMF's Monetary and Financial Statistics Manual (MFSM) and its accompanying Compilation Guide (MFSCG), Government Finance Statistics Manual 2014 (GFSM 2014), Coordinated Portfolio Investment Survey Guide (second edition), Coordinated Direct Investment Survey Guide, External Debt Statistics Guide and the Public Sector Debt Statistics Guide.



As stated in the BPM6 Compilation Guide: “Securities issued in the domestic market and purchased by non-residents can pose special collection problems. For securities issued abroad, the government or central bank should have the required data or may be able to obtain data from security brokers located abroad. Caution should be used before assuming that all the issue has been taken up by non-residents. Discussions with the issuing agent(s) could be undertaken to provide an indication of the amounts that may have been purchased by residents.” (p. 85)

CASE STUDY 3

Nigeria’s diaspora Bond

The Nigerian Government is unable to tell whether the diaspora or other foreign or institutional investors bought Nigerian diaspora Bonds, which is aimed at and marketed to the Nigerian diaspora in the United States and the United Kingdom and could be purchased through partner banks and funds. While the bond is oversubscribed, the Nigerian Government does not know how much of it was bought by the diaspora. The reporting requirements do not allow for matching the ultimate investor to a security.



METHODS FOR COLLECTING DATA

Foreign investments (direct and portfolio)

There are a range of different methods outlined in BPM6 that can be used to collect data on foreign investments (both direct and portfolio), including:

a. Enterprise surveys conducted domestically on FDI

Enterprise surveys are widely used, especially in developed countries, in compiling FDI statistics. Enterprise surveys involve surveying enterprises to ask them about their FDI. These surveys provide insights about the *purpose* of the transaction, which can be useful information to data compilers when evaluating data obtained from other sources, such as the ITRS (IMF, 2014, p. 17). Enterprise surveys mean that reporters have greater knowledge of their transactions, as these convey more accurate information regarding foreign counterparts and provide a greater level of detail. Enterprise surveys thus cause less misclassification.

The size of the sample and the sectors surveyed varies from country to country. Most countries only survey the largest companies engaged in FDI. For example, Rwanda surveys 218 firms and Egypt, 350 in Q1 2020. Morocco only surveys the industrial sector. The largest companies engaged in FDI in a country

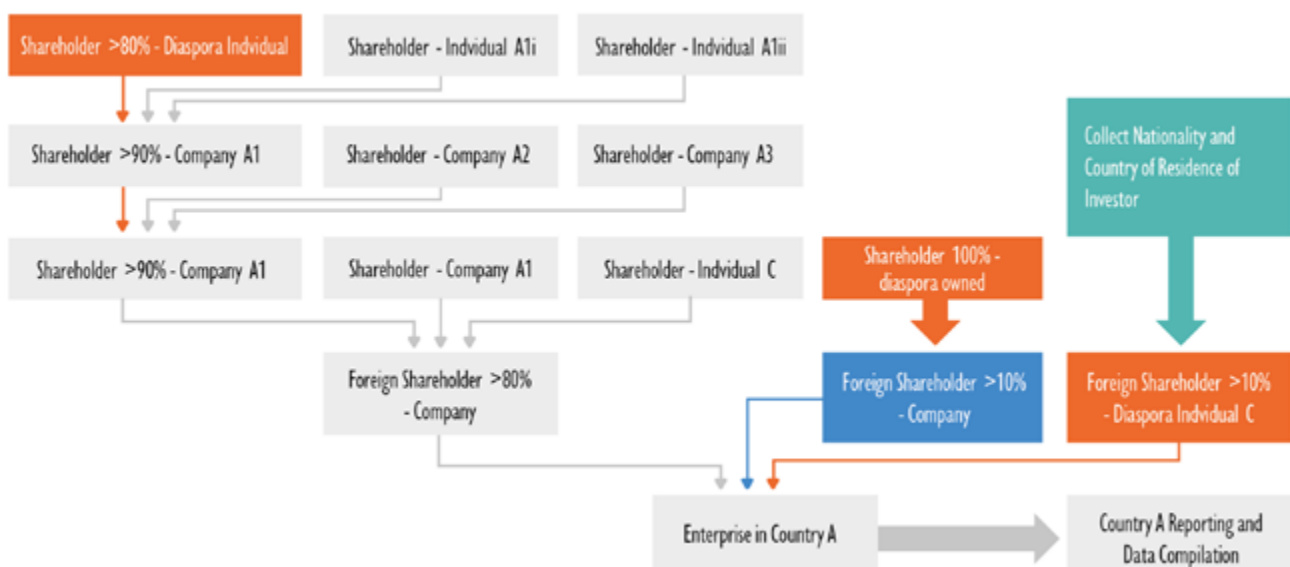
are often large multinationals; as a result, this methodology may not be so effective in capturing diaspora direct investment if the sample size is small.

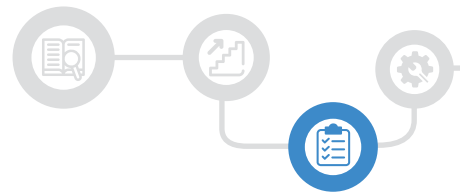
Due to a lack of data, it is usually not possible to identify whether the investment is made by a member of the diaspora. As such, this is not done due to practical reasons. However, it is technically possible to amend surveys to capture this information. It is standard practice, as per BPM6, that shareholders with over 10 per cent of shares in a company are identified and reported. The challenge, however, is that these shareholders are usually companies themselves and only the countries where these companies are registered are reported, not the “nationalities” of the owners of these companies.

Interviews with IMF and UNCTAD revealed that, in practice, it would be challenging to identify whether a diaspora member is investing through companies. It is also unclear whether collecting this data would potentially constitute a breach of confidentiality.

Figure 5 is an oversimplification of ownership structures. However, it illustrates how challenging it is to identify the “owners” of firms, and, indeed, whether it is the diaspora making the FDI. In reality, company ownership structures are complex, especially when special-purpose entities are involved. (Chapter 4 of *World Investment Report 2016* (UNCTAD, 2016) has more on these complex structures and the difference between direct and ultimate ownership).

Figure 5
Firm ownership structure





There are examples, however, where efforts are being undertaken to identify the true owners of companies investing:

- i. Data is collected by the government agency that licenses foreign direct investments requiring foreign investors in these DIENTs to provide financial information, including for statistical purposes.
- ii. Data for international transaction reporting can be collected by banks but also through companies that directly report into the ITRS.

Each country has its own ITRS. An ITRS refers to the requirements set by the central bank for banks reporting their international transactions. In general, reporting forms are completed by bank clients and/or by the bank's staff based on information and/or documents provided by clients and submitted to the central bank or Office of Foreign Exchange on a periodic basis.

The reporting form usually includes these fields: a transaction reference number, the reference period, the identity of the transactor, the identity of the bank accepting the form, the currency used in the transaction, the value of the transaction (either in terms of the currency used, the unit of account, or both), the classification and description of the purpose of the transaction (i.e. payment for/receipt of the import or export of goods), and the country of residence of the non-resident party.

The ITRS is commonly used in compiling BOP data, as a large amount of information on transactions is readily available from banking records, and it avoids the expense of developing alternative collections. There is compromise on the accuracy of data that relies on bank clerks and/or clients completing reporting forms accurately, which is further weakened where there are reporting thresholds in place. Furthermore, the ITRS may not consider direct investment transactions in the domestic currency. Furthermore, the ITRS only measures cash transactions, and not non-cash transactions, such as reinvested earnings, equity in the form of machinery, and intercompany debt, among others.

Some countries, especially where there are exchange controls in place, require reporting forms to be completed for all international transactions; in other countries, there often is a reporting threshold.

In these cases, international transactions below the stipulated threshold are not required to complete and submit the form. For example, from the Euro zone there is a reporting requirement that transactions under EUR 50,000 do not require a form. Kenya and Uganda has set the threshold at USD 10,000 for reporting the purpose of funds (which is the standard/norm). For the United Republic of Tanzania, the threshold is USD 5,000; the Democratic Republic of the Congo, USD 4,000; while Rwanda does not require reporting of the purpose of a transaction. (Sample surveys and reporting forms are available in [Section 3.6](#) (Surveying the diaspora) (Tools 11, 12 and 13) and ITRS forms from BMP6 are available in Tool 6.

- i. **Administrative records** are kept by the agency in charge of foreign exchange controls (where international capital movements are restricted).²¹
- ii. **Tax authorities** may be an appropriate source of data on withholding taxes and other taxes payable by non-residents.
- iii. Other potential sources may include data collected by **investment promotion agencies** or the register **of companies**.

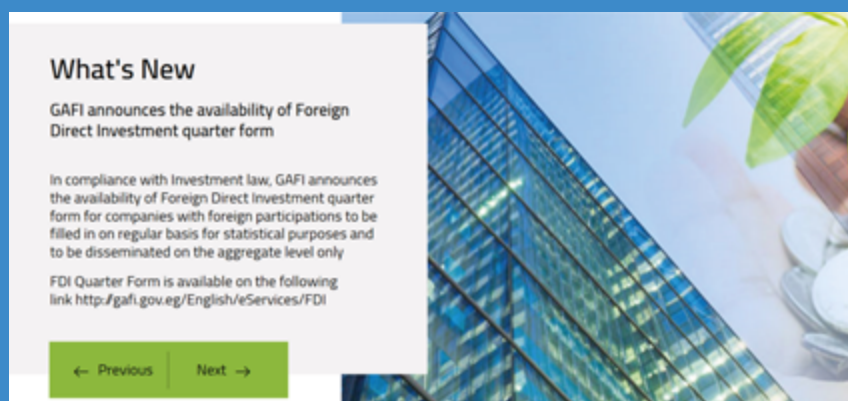


CASE STUDY 4

Egypt's use of multiple tools to register and track businesses through the General Authority for Investment and Free Zones

In Egypt, all new businesses and any business expansion must be registered with the General Authority for Investment and Free Zones (GAFI) and in the third quarter of 2019, a new methodology for data collection has been initiated. It is now mandated through GAFI that all businesses with foreign shareholders complete a survey periodically providing information for statistical purposes and will be fined for not submitting. GAFI provide the data compiled on FDI and submit it to the Central Bank. The Central Bank uses multiple sources, including ITRS, to produce the FDI data.

Figure 6
The GAFI website



²¹ BMP6 warns that there can be challenges in using this data because approval procedures are usually not set up with macroeconomic statistical requirements in mind. For example, it may be an intended investment (the approved investment may not actually take place), or significant time lags between approvals and actual investments may occur.



The new GAFI survey captures the country of residency and the citizenship/nationality of shareholders (see Figure 7). Using this survey, estimates of the contributions made by Egyptians resident overseas can be produced. However, the sample size of GAFI is 350 companies at the moment, with a target for 500. The reporting threshold is for any transaction worth over USD 1,000, but the response rate is about 30 per cent. There are also plans to improve the quality of data by using tax files from companies, but only for Egyptian companies currently.

GAFI is also undertaking a smaller exercise to look into the companies investing in Egypt and trying to work back to provide more information on “mother companies”. To better understand who is investing and understand who the ultimate controlling parent of the company is. Therefore, the GAFI survey is a good practice example of how a country can track FDI from nationals residing overseas.

Figure 7
GAFI quarterly enterprise sample survey

Foreign Investment Statistics
Quarter Form
(This form is to be completed within 45 days of the end of each quarter)

Form can be filled in electronically through the link: <http://gafi.gov.eg/English/Services/FDI>

Data Reference	Consolidated / Standalone
----------------	---------------------------

If the Consolidated is selected, please list the names of subsidiaries of the holding company

I. General Information:

1. Company Name	3. Legal Form
2. Incorporation Date	5. Sub-sector
4. Sector	7. Governorate
6. Management Address	9. Governorate
8. Site Address	11. Website
10. Telephone no	13. Tax Registration no
12. Commercial Registration no	15. Financial Manager Telephone no
14. Financial Manager Name	
16. Financial Manager Email	
17. Data Provider Name	18. Data Provider Position
19. Data Provider Telephone no	20. Data Provider Email

II. Shareholders Structure and Company's Capital:

21. Shareholder Structure*

Shareholder Name	Nationality	Residency	Identification no (National ID - Passport no. - Commercial Registration no)	No. of Shares		Previous Quarter					
				Common	Preferred	Share %	Voting power %	Related with another Shareholder (Select the shareholder)	Board Representation %	Mother Company **	Country of the Mother Company
A. Foreign Shareholders											
B. Egyptian Shareholders											
	Egyptian										
	Egyptian										
	Egyptian										
Total						100%					

Shareholder Name	Nationality	Residency	Identification no (National ID - Passport no. - Commercial Registration no.)	No. of Shares		Current Quarter					
				Common	Preferred	Share %	Voting power %	Related with another Shareholder (Select the shareholder)	Board Representation %	Mother Company **	Country of the Mother Company
A. Foreign Shareholders											
B. Egyptian Shareholders											
	Egyptian										
	Egyptian										
	Egyptian										
Total						100%					

* If the company is listed, please mention only the shareholders who own 2.5% or more of the shares. Unless, the voting power of the shareholder is 10% or more, or in case a grouped fellow enterprises or individuals own 10% or more.
 ** If Mother Company is an SPV, then please state the Mother company of the SPV.

Disclosure Currency	EGP / USD / EUR / GBP / Other (please specify)
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Values in Thousands		
22. Equity		
Item	Current Quarter	Previous Quarter
A. Issued Capital		
B. Paid-in Capital		
C. In case of Capital Expansion, please specify the source of expansion (more than one option can be selected)	1. Retained Earnings 2. Reserves 3. Cash 4. Shareholders Credit 5. Assets in kind 6. Merges and Acquisitions 7. Others (please mention)	
D. Profit (Loss) from previous years		
E. Profit or Losses of the Period		
F. Reserves		
G. Dividends Paid (If Any)		
H. Treasury Stocks (-)		
*please specify the name of the shareholder(s) from whom the treasury stocks were Purchased		
I. Others		

III. Transactions of Foreign Shareholders and/or their Related Parties:

23. Financial Transactions due to or due from Foreign Shareholders and their Related Parties:

Foreign Shareholder or Related Party Name	Shareholder Residency - Related Party Nationality	Shareholder in relation	Transaction Type	Due from shareholder or a Related Party	Due To shareholder or a Related Party
			Banks		
			Expenses Payment		
			Dividend Payable/Receivable		
			Interest on loans		
			Others (please specify)		

24. Other Transactions due to or due from Foreign Shareholders and their Related Parties:

Foreign Shareholder or Related Party Name	Shareholder Residency - Related Party Nationality	Shareholder in relation	Transaction Type	Due from shareholder or a Related Party	Due To shareholder or a Related Party
			Machinery and Equipment		
			Other (please specify)		

Please Attach the Quarterly Financial Statement if available



The Ministry of Investment and International Cooperation is committed to the confidentiality of the data provided in this form which will be used to calculate FDI statistics at the macro level.



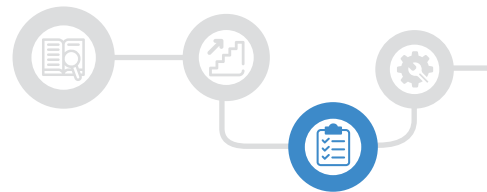
CASE STUDY 5

Rwanda's register of companies

In Rwanda, new businesses and new investments are registered with the Rwandan Development Board. The board compiles a register of all foreign private investments and the National Bank of Rwanda conducts a Foreign Private Capital Survey with those on the register. The board collects information of the nationality and country of residence of those investing.

Private Capital Flow Surveys (PCFS) were introduced by the IMF and the Department for International Development through the Enhanced Data Dissemination Initiative for Anglophone Africa. The PCFS provides direct reporting of private sector, cross-border financial flows and positions that can be used to compile the BOP financial account and related IIP account.

For most of the economies participating in the Enhanced Data Dissemination Initiative, a census of companies that met a threshold of cross border financial flows and positions was established. For



others, further steps were required to finalize the survey frame using exploratory surveys, as well as more detailed checks of the ITRS data for large financial account transactions. Data is often corroborated by company financial statements.

Currently, the PCFS would need to be amended to include questions to identify whether investors are members of the diaspora. The sample size of the PCFS in 2017 was 218.

CASE STUDY 6

Morocco's international transaction reporting system

With regard to investments made by Moroccans living abroad (MREs), the registration system of the Office of Change assigns a specific code for any investor who declares himself a Moroccan residing abroad. The identification of the MRE is made at the bank level according to a specific MRE code (i.e. code "1400"). An FDI made by an MRE is any investment financed in a foreign currency from an account abroad or from a foreign currency account in Morocco or in a "dirham convertible account". These accounts give their holder the opportunity to repatriate foreign currency dividends. Thus, in the registration system of the Office of Changes, it is possible to identify the flows made by Moroccans residing abroad through the ITRS and isolate them in relation to the investments of portfolios made by other foreign non-resident operators.

However, the investments of MREs that are made in dirhams from their accounts in Morocco are not counted as foreign direct investments according to IMF guidelines. This is money accumulated by remittances in regular accounts in dirhams and are, therefore, counted as remittances. This data would need to be collected by analysing diaspora bank accounts (see Section 3.1.4 Investigating Diaspora-Owned Accounts).

According to the Office of Change, the Moroccans Living Overseas investment data are not communicated to the various stakeholders and are not published. The Moroccans' Office Abroad, in particular, is not even informed of the existence of this data on the investments made by MREs.

In Morocco there is a code in the ITRS for real estate investments made by foreigners (Code 1330).

The Ministry of Industry in Morocco also conducts annual surveys of companies in the industrial sector, including questions about the company's social capital, while specifying whether it is foreign capital or not and if it is foreign whether it is a capital provided by a Moroccan Resident abroad or not.



The Office de Change is able to cross reference survey data with ITRS data because the company's registration number is retained at both data collection points. This questionnaire is able to capture MREs who make their investments from their dirham accounts, which the Office des Changes does not get from bank reporting. Unfortunately, this survey, and the cross referencing that can be done with it, only captures businesses in the industrial sector, as different ministries oversee other sectors and likely have differing practices.

Figure 8
Excerpt from the Moroccan Investment Survey

17/ Montant du Capital Social (C.S.) : _____ Unité 1.000,00 DH
 18/ C.S. Marocain : _____ 19/ C.S. Etranger : _____ 20/ C.S. Etatique : _____
 21/ Part du capital social détenu par les MRE : _____
 22/ Répartition du Capital Social Etranger :

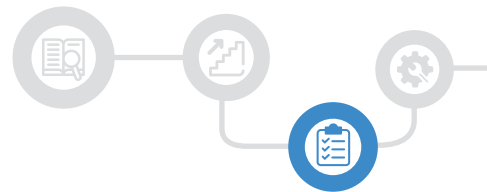
Nationalité					
Montant (1.000,00 DH)					
Code					

CASE STUDY 7

Nigeria's use of administrative records



Nigeria primarily complies data on FDI and portfolio investments through bank reporting and supplements it with an annual Survey of Foreign Assets and Liabilities (SOFAL). Due to Nigeria's exchange controls, anyone investing in the country must have a certificate of capital importation (CCI) if they wish to later repatriate the money via earning interests, dividends or by withdrawing their investment. When a foreign resident wishes to invest in Nigeria, they must obtain a CCI from a Nigerian bank and they let the bank know if they are a shareholder of over 10 per cent (FDI) or if it is a portfolio investment.



Banks are the only entities allowed to issue CCI and they are required to report CCI issued or amended daily to the Central Bank of Nigeria (CBN). These CCI include the investor's residency but not their nationality or origin. In fact, their passport is not even requested, simply their current address and name. If the CCI is issued to a company, as often is for FDI, then the company's name and address is on the CCI. Machinery and other in-kind investments are also issued CCI. The CCI reporting is downloaded by CBN on a monthly basis and compiled into the BOP on a quarterly basis.

Additionally, CBN conducts the SOFAL annually, by sending a questionnaire to roughly 700 of the biggest businesses in Nigeria. In the questionnaire, they ask the company about their foreign holdings which captures both FDI and portfolio data. Companies usually respond by saying what percentage of their company is owned by foreign entities. Typically, larger shares are owned by companies, while smaller shares (3% or so) are owned by individuals. This often reveals the residency of the entities and not their nationality or origin of individuals. While many companies respond to the surveys, not all do so, even though they are technically supposed to. CBN supplements this information by working with the federal tax revenue service to ascertain their foreign share holdings via their tax returns.

PORTFOLIO INVESTMENTS

- a. Stock exchange.** While not every country has a stock exchange, for those that do, information on transactions conducted through an economy's stock exchange should also be collected.

However, in some cases, the data may be based on the nationality of the transactors, and adjustments may be necessary to ensure the BPM6-based residency criterion is observed. Securities issued in the domestic market and purchased by non-residents on the secondary market may also present similar challenges, and adjustments to data collected from the stock exchange may be necessary to ensure the BPM6-based residency criterion is observed.

For securities issued by the government – usually through its depository institution (i.e. the central bank) – information on the residency of the purchaser may be available from the central bank, or through custodians/agents acting on behalf of the issuer. This data is compiled in a security-by-security (SBS) database.

- b. Security-by-security (SBS) database.** SBS databases have also become increasingly widespread and are used in a number of economies as the basis for recording/estimating balance of payments and IIP entries. A SBS database is a microdatabase that stores statistics at an individual equity and/or debt security

level; it is also known as a securities reference database.²² At the securities portfolios level, detailed information is collected on investments by residents in domestic and foreign securities, as well as on the portfolios of non-resident investors in domestic securities.

- c. IMF's Coordinated Portfolio Investment Survey.** At present, only a few countries conduct this survey, which seeks to provide information for each contributing country on cross-border holdings of portfolio investment securities, aggregated by type of security (equity and debt securities valued at market prices) and by country of issuer. The existing survey will not provide insights into diaspora portfolio investment. In general, it is usually not possible to connect a specific buyer to a specific seller of shares traded on stock exchanges.
- d. The IMF's Handbook on Securities Statistics** (IMF, 2015, p. 69) presents a “from-whom-to-whom” approach to reflect the links between issuance and holdings. It allows the analysis not only of relationships between institutional sectors and subsectors within an economy, but also of relationships between these sectors/subsectors and non-residents (which can, in turn, be broken down by country or sector).

Even this detailed approach does not provide insights into the nationality of portfolio investors, only the country and sector that it is coming from/into.

3.1.2

Suggested modifications for measuring diaspora investment

This section presents some potential solutions for modifications to existing data collection methodologies that would allow data to be disaggregated for the diaspora (or nationals residing overseas). Solutions are based on experiences from case-study countries, which can be found throughout this section. The same methodologies can be used for identifying diaspora direct and portfolio investment.

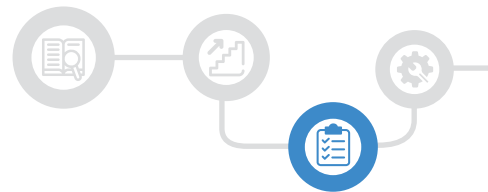
POSSIBLE SOLUTIONS

If your country uses ENTERPRISE SURVEYS

Solution: Adding questions to enterprise surveys to include information on: (a) either the nationality and country of residency of investors or (b) whether investors

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The main variables stored in the SBS databases are: (a) the International Securities Identification Number (ISIN), or any other unique and unequivocal identification number or key); (b) issuer-related attributes, like name of the issuer, residence of the issuer, institutional sector and subsector; (c) instrument-related attributes, like issue date, type of security, redemption date, currency of denomination, issue price, redemption price, outstanding amount or market capitalization; (d) income-related attributes such as coupon payments and dates; and (e) price-related attributes, like price value and price date. The SBS reference database generally covers various categories of financial instruments, such as debt securities, equity securities, investment fund shares or units, and financial derivatives. It can be linked to information on securities holdings to create a securities holdings database.



are a member of the diaspora and mandating all enterprises to report for statistical purposes.

This methodology has recently been implemented by GAFI in Egypt ([Case study 4: Egypt's use of multiple tools to register and track businesses using GAFI](#)). The use of surveys is widespread including SOFAL in Nigeria ([Case study 7: Nigeria's use of administrative records](#)) and the Private Capital Flows Survey in Rwanda ([Case study 5: Rwanda's register of companies](#)).

Consideration should be exercised with respect to significantly increasing the reporting burden by enterprises, especially where survey response rates and quality of responses are low. Trying to ascertain the nationality and country of residence of all shareholders over 10 per cent could be a cumbersome process for reporting enterprises given the complexity of international business structures. There may also be confidentiality considerations.

Table 2

Options for identifying the diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for identifying the diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country uses an ITRS

Solution: Adding codes for nationals living abroad making direct, portfolio or real estate investments into the ITRS.

This option will work best where exchange controls exist and where reporting thresholds are low or non-existent.

Table 3**Options for identifying the diaspora using ITRS and information reported by banks**

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	No (as this would require banks all over the world to change their reporting requirements)
Option 2: Self-identification through diaspora cards	No (as this would require banks all over the world to change their reporting requirements)
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country uses TAX RETURNS**Solution: Adding questions to and using existing information in company tax returns.**

BPM6 suggests that tax records of DIENTs could provide data on intercompany services and remitted and retained profits when other sources are not readily available. Lists obtained from tax files of companies with direct investment transactions could also be used as a source of coverage for enterprise surveys of direct investment. Tax records often identify income from foreign sources separately from income earned from domestic operations.

Technically, it is possible to make modifications to corporate tax forms to include information with regard to the nationality and country of residence of investors (as per the suggested changes in the enterprise survey). Egypt's GAFI plans to cooperate with the tax authorities to cross-reference data. It may also be possible to include information on whether investments are made by the diaspora in corporate tax forms.



Table 4

Options for identifying the diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If it is mandatory in your country FOR EVERY NEW BUSINESS AND INVESTMENT TO BE REGISTERED WITH AN AGENCY OR BOARD

Solution: Adding fields to the administrative forms when new businesses are registered, and new foreign investments made with local Authorities.

In Rwanda, for example, every new company (local or foreign) and new investment (foreign) must be registered with the Rwandan Development Board. During registration, detailed information on the nationality and country of residence is provided to the Board. In Rwanda, in addition, the Private Capital Flows Survey is conducted to better understand flows.

For direct investment, this should include the nationality and country of residency of any shareholder with more than 10 per cent of shareholdings.

Table 5

Options for identifying the diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country has EXCHANGE CONTROLS in place and there are REQUIREMENTS FOR THE REPATRIATION OF PROFITS

Solution: Add fields to the certificate of capital importations (CCIs) issued by banks on any investor wishing to repatriate their money to include the nationality and country of residency of shareholders when an investment is being made.

The additional reporting burden should be considered when using this method, especially for firms investing and in reporting their shareholding structure [Case study 3: Nigerian Diaspora Bond](#), [Case study 7: Nigeria's use of administrative records](#), and [Case study 10: Nigeria's pre-shipment inspection agencies showcase the example of Nigeria](#); however, it is not possible to use their reporting to identify the diaspora at the moment.

It is also worth highlighting to what extent the diaspora may be less concerned with repatriating their profits and so they choose not to go through these formal channels of investment.

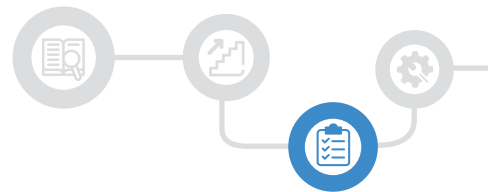


Table 6

Options for identifying the diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country has a LOCAL STOCK EXCHANGE or DEBT ISSUED BY THE CENTRAL BANK

Solution: It may be possible to add fields into the reporting required by the stock-exchange and Central Bank to include information on (a) either the nationality and country of residency of investors or (b) whether investors are a member of the diaspora and include this information in the SBS database.²³

Whether it is feasible to modify reporting requirements to meaningfully be able to disaggregate data according to the diaspora is still unclear.

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An SBS database is a microdatabase that stores statistics at an individual equity and/or debt security level; it is also known as a securities reference database. At the securities portfolios level, detailed information is collected on investments by residents in domestic and foreign securities, as well as on the portfolios of non-resident investors in domestic securities. Data collection for the SBS includes various sources, including central banks, government agencies, international sources, commercial data providers, securities exchanges and numbering agencies.

Table 7

Options for Identifying the Diaspora through stock-exchange and Central Bank reporting

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether the investors are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

3.1.3

Diaspora Investment in Real Estate

Given that diaspora members often invest in their country of origin in real estate, there may be specific interest to look at this area of diaspora investment. There are various mechanisms by which this can be achieved depending on the country context. Potential solutions are presented here, and you may modify your country's current data collection methodology accordingly to allow data to be disaggregated for the diaspora (or nationals residing overseas).

POSSIBLE SOLUTIONS

If your country uses an ITRS

Solution: Assign a specific code for real estate investments made by nationals residing abroad in the ITRS.

Investment in real estate includes both acquisitions of real estate by non-residents and principal repayments of loans granted by Moroccan banks for the purchase of said goods. Divestment or liquidation of these investments, including capital gains, are also recorded in this component of the investment.

As with direct and portfolio investments, investments financed directly in local currency accounts from bank accounts held by nationals residing overseas with local credit institutions are not registered. As such it is recommended to also identify these investments with other data collection tools.

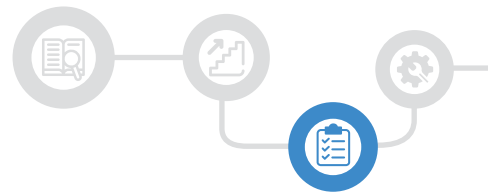


Table 8

Options for identifying the diaspora using an ITRS and information reported by banks

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	No (as this would require banks all over the world to change their reporting requirements)
Option 2: Self-identification through diaspora cards	No (as this would require banks all over the world to change their reporting requirements)
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country REGISTERS LAND WITH AN AGENCY

Solution: Adding questions and filters into the Agency or Department responsible for Land Registry.

Most countries have an agency responsible for registering land and property. In most countries, it is compulsory for property to be registered with the agency if it changes ownership or is mortgaged. It is common practices for land or property to have to be registered when you take ownership of it or mortgage it. Data collected on land and properties varies from country to country, but there are opportunities to include information on the nationality and country of residence of the purchaser in this registry.

(*Caution:* Data compilers should be mindful of double counting with existing remittance data in this exercise if funds have been paid from a local currency account.)

Table 9

Options for identifying the diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

3.1.4

Investigating Diaspora-Owned Accounts

Another route that may want to be explored is to work with commercial banks in your country, to get a better understanding of accounts held by members of the diaspora and potentially track the activity from the accounts.

It is most likely that money maintained in diaspora-held accounts has already been accounted for in your remittances data (as it is a person-to-person cross-border payment) and so it will be important to always present this data as a sub-component of remittance data, rather than a sub-component of FDI, FPI, etc. The below figure shows the connections between diaspora-owned accounts and remittances.

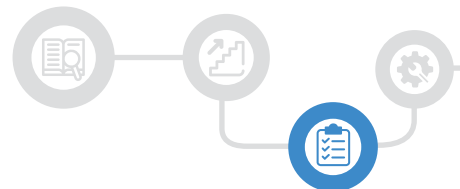
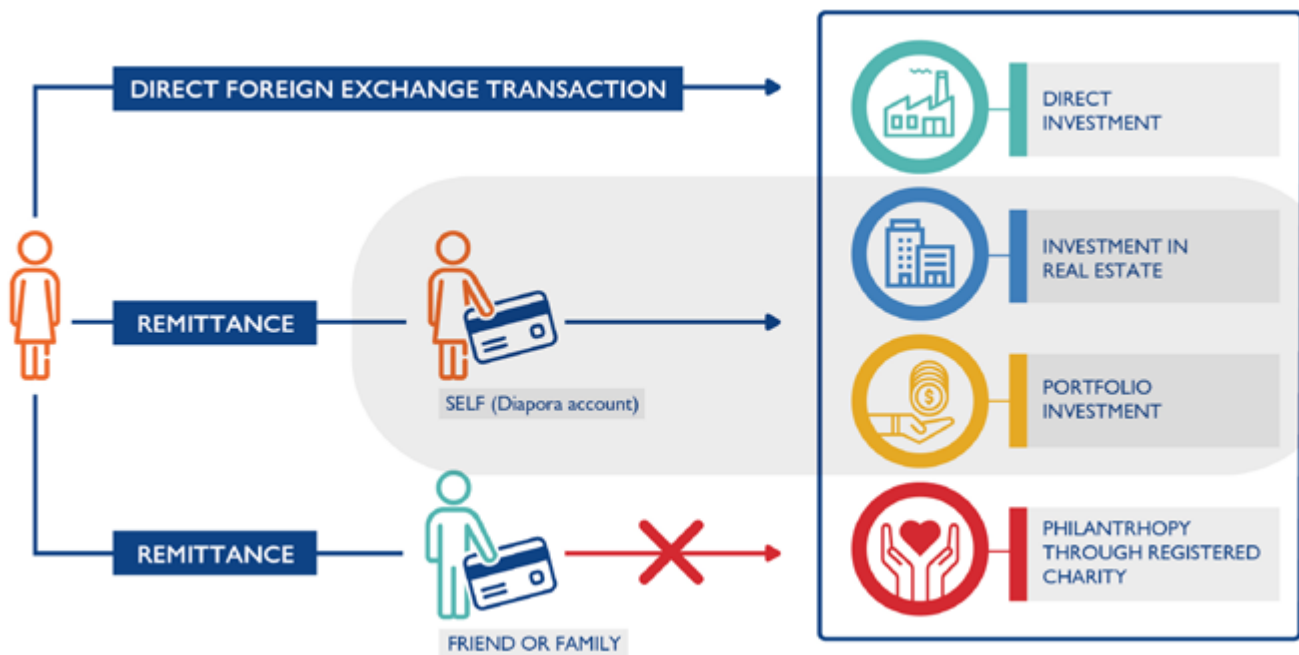


Figure 9

Diaspora-owned accounts and remittances



Banks are usually closely regulated in almost all economies and there is often extensive data on their financial transactions and currency positions, as they are collected for monetary policy and bank supervision purposes. Such data is usually available on a very frequent (mostly monthly) and timely basis.

There is an opportunity to work with the commercial banks in your country to ask them to track the use of funds sent to diaspora-linked accounts once they arrive in the country of origin. This is not a common practice and, therefore, would constitute an additional data request to banks.

However, you will need to consider the additional reporting burden that this will add to banks. It is worth considering whether this will be a formal additional request that would be authorized by the Central Bank or another MDA, or whether this would be an informal request as a favour.

POSSIBLE SOLUTIONS

Solution: A request would need to be sent to each commercial bank asking them to identify the following type of accounts:

- a. Those known to be held by the diaspora in diaspora-owned accounts, diaspora savings accounts, diaspora mortgages and loans, among others;

- b.** Those held by nationals but where the address and telephone number are not a local postal or country calling code.

For each of these accounts, it should be requested that data is provided periodically on:

- a.** The number of diaspora-linked accounts (current, savings and loans.);
- b.** The value of deposits in current accounts, savings accounts and loans. (The total value of funds in savings accounts would give insights into diaspora portfolio investment. However, it is necessary to determine whether this is already counted in the remittances data.)

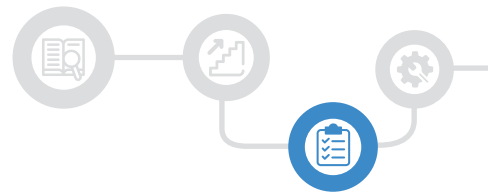
The requests to banks could also include tracking the activities from these accounts over time. This would require running a query on the transaction system within the core banking system to look at where these funds are going to. To achieve this, it would be necessary to first compile a list of local companies that are registered as offering the following services:

- a.** Brokers and investment funds that are known to provide portfolio investment services;
- b.** Government bonds and treasury bills (portfolio investments);
- c.** Local registered charities (philanthropy).

Data will need to be summed across all the commercial banks periodically. This exercise could be completed by:

- a.** Development board or ministry of investment;
- b.** Agency where companies are registered;
- c.** The chamber of commerce;
- d.** Tax records.

(*Caution:* Please note that not all businesses in your country might be registered and, therefore, this approach will be indicative rather than comprehensive.)



CASE STUDY 8

Kenya's Equity Bank

Equity Bank in Kenya does not only monitor designated diaspora-owned accounts but also uses its core-banking, know-your-customer guidelines, combined with the country code or the telephone number attached to the account to identify an account as a “non-national” or “diaspora account”. The bank then tracks the balance sheet of these accounts, looking at transactions, deposits and loans. It is possible to run further queries on this subset of data. In relation to remittances received through Equity Bank at approximately USD 3.5 million per day and over 25,000 transactions, the balance sheet of diaspora-linked accounts is low at 30,000 accounts and USD 35 million in loans and USD 45 million in savings.

Equity Bank suggest that it would be possible, although not currently a practice, to run a query on the transaction system within the core banking system to look at where the funds from these accounts are going to. However, it would require being specific to track transactions from these accounts to certain non-bank service providers known to provide investment services or registered charities (see Section 3.4: Philanthropy). However, as a note of caution many businesses in Africa are not tracked by the regulator and therefore this approach will be indicative rather than robust.



3.2 Diaspora Trade



This section provides suggested modifications whereby you may modify the existing data collection methodology that your country currently uses that would allow data to be disaggregated for the diaspora (or nationals residing overseas).

These options are divided into two:

- a. Suggested modifications for measuring diaspora trade in goods;
- b. Suggested modifications for measuring diaspora trade in services.

3.2.1

Diaspora trade in goods

Understanding the contributions of the diaspora made through trade in goods is not easy based on existing data collection methodologies and **will only really be valuable once you have a comprehensive diaspora-owned-business database.**

The focus is on diaspora imports and exports of goods and services with their country of origin.²⁴ Given that the aim is to try to capture all of the data on the economic contributions from your diaspora from data collected in your country, this will involve looking at export/import data in goods and services from your country.

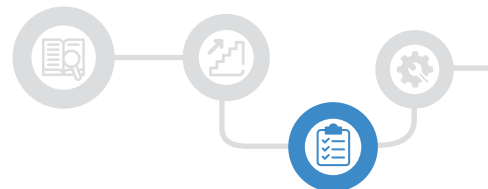
Trade data is usually collected according to the International Merchandise Trade Statistics (IMTS) which tracks the stock of material resources entering and leaving the country according to commodity descriptions. Trade data is usually compiled based on customs records from customs declarations when goods physically move into and out of the country.

There are also other data sources that are often used for cross-checking data, including:

- a. Enterprise surveys;
- b. Currency exchange records and records of monetary authorities often provide timely information about international transactions, including merchandise flows, e.g. including the ITRS;
- c. Other administrative data such as aircraft registers, ship registers, parcel and post records, reports from commodity boards, among others.

According to UNCTAD, most trade is conducted by businesses rather than by individuals, which makes it more challenging to identify diaspora activity.

Customs declarations forms, whilst different for each country, do not require information on who the owner of the firm is, neither their nationality nor country of residence. Including this information would significantly increase the reporting burden for traders and go against international practice. As such it is difficult to use customs declarations to directly collect information on trade.



POSSIBLE SOLUTIONS

If your country uses ITRS

Solution: Add codes for nationals living abroad making payments for trade in goods and trade in services in your country's ITRS.

Given that a significant proportion of trade is known to be made by businesses rather than individuals this exercise alone may not be that reflective of the true state of play. This will only capture information on trade in goods and services by individuals (diaspora importing and diaspora exporting to their country of origin).

Table 9

Options for Identifying the Diaspora using ITRS and information reported by banks

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	No (as this would require banks all over the world to change their reporting requirements)
Option 2: Self-identification through diaspora cards	No (as this would require banks all over the world to change their reporting requirements)
Option 3: Nationals residing overseas using nationality and country of residence (or country where the transaction is initiated)	Yes

CASE STUDY 9

Morocco's use of a general trade system and customs information

Since 2014 Morocco has adopted the general trade system in accordance with the standards and framework established by the United Nations. In this system, all goods entering and exiting an economic territory are to be included in the foreign trade statistics.



Customs collects the information which is sent to the Office de Change through an automated computer system.

According to Office de Change, it's possible to cross reference customs data with data collected in the ITRS system because the company registration number is provided in the ITRS system and is also provided in the customs declaration. However, using this methodology it is not possible to know if this trade is being carried out by companies owned or partly owned by MREs.

As for trade in services, this is recorded in the BOP using two main data sources depending on the nature of the service.

- a. Customs declarations for manufacturing services provided on physical inputs held by third parties and transportation services;
- b. Data derived directly from bank settlements for travel, construction, insurance and pension services, financial services, telecommunications, information technology and information services, and other services to Companies as well as philanthropic donations.

Within this category though, Morocco does not have a special MRE code but it could be possible to add one for certain services, especially those reported on ITRS. According to the Office de Change, it is possible to add an MRE code in the ITRS on settlements related to transport services, travel, construction, business services, telecommunications services, information technology and information services, and financial services, among others.

If your country uses CUSTOMS DOCUMENTS or PRE-SHIPMENT INSPECTION AGENCY DATA

Solution for individuals: Add additional fields and questions to the customs documents or other forms (e.g. Customs Export Declarations)

to identify whether the imports are being shipped to a member of the diaspora and/or the nationality and country of residency of the importer (if an individual). This will depend on the reporting requirements in your country.

Solution for Firms: On a periodic basis run an analysis on customs data (assuming there is a digitised centralised database)

by the names on the register of diaspora owned firms and diaspora-owned charities (as per Subsection 2.2.3: Map diaspora-owned firms and philanthropic associations, foundations and charities) and sum the value of exports and imports respectively to these countries within a specific time period.

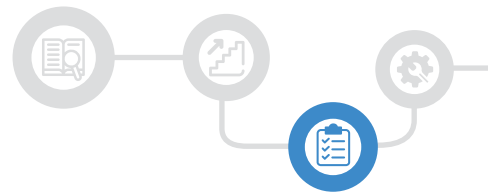


Table 10

Options for Identifying the Diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or country where the transaction is initiated)	Yes

CASE STUDY 10

Nigeria's Pre-Shipment Inspection Agencies

In Nigeria Pre-Shipment Inspection Agencies (PIAs) are in charge of valuing exports and ultimately reporting to the CBN. PIAs are private international companies licensed in Nigeria to carry out inspections of exports (before they are put in shipping containers) to make sure that:

- The product is what the sender declares it to be;
- The sender places a monetary value on it.

The sender puts a value, but the PIAs double check and confirm or change that value. They are paid by the Nigerian Government, a commission which is a percentage of whatever they value. PIAs send their reports to the central bank who uses that to create the BOP.

The PIA only has access to the form that the exporter filled out. In that form, the exporter puts the buyer/business it is going to abroad and their address. This means that really to be an exporting business, you only need to know the name and location of the company buying and you would not necessarily know who their shareholders and owners are.



If your country ESTIMATES THE VALUE OF NOSTALGIC GOODS EXPORTS AND ATTRIBUTES THESE TO THE DIASPORA

Solution: Estimating the value of nostalgic good or services exports will produce an estimate based on a number of assumptions.

The process will involve:

- a. Compiling a list of all the known nostalgic goods/services from your country. This can be done through interviewing the diaspora;
- b. Identify these items in the country code manual;
- c. Track these items on a periodic basis to produce estimates;
- d. Data should always be presented as estimates with the underpinning assumptions.

Table 11

Options for Identifying the Diaspora when Estimating Value of Nostalgic Goods Exports

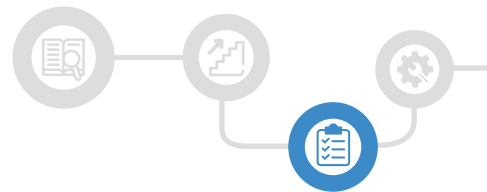
Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (as it would be assumed that consumers of nostalgic goods consider themselves members of the diaspora)
Option 2: Self-identification through diaspora cards	Not applicable
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Not applicable

3.2.2

Diaspora trade in services

Trade in services covers transactions (exports and imports) between residents and non-residents as well as services delivered through enterprises that are locally established but foreign-controlled.²⁵ Trade in services covers several different areas, including:

²⁵ The latter type of transactions is covered by foreign affiliates statistics (FATS) which detail the economic operations of foreign direct investment-based enterprises. Collection of such information, and aggregation at the national level, can provide economists and policymakers with insight as to the relationship that transnational corporations, being FDI-related enterprises, have on economies.



- a. Manufacturing services on physical inputs owned by others
- b. Maintenance and repair services
- c. Transport
- d. Travel
- e. Construction
- f. Insurance and pension services
- g. Financial services
- h. Charges for the use of intellectual property
- i. Telecommunications, computer and information services
- j. Other business services
- k. Personal, cultural and recreational services
- l. Government goods and services

Information on how to compile data on international trade in services can be found in:

- a. United Nations Department of Economic and Social Affairs - MSITS 2010 (UN DESA, 2010b)
- b. BPM6
- c. Foreign affiliates statistics which complement BPM6
- d. System of National Accounts 2008

Given the breadth of sectors included in trade in services, there are a range of different methods and sources that can be used to compile the data (UN DESA, 2010b) including:

- a. **International merchandise trade statistics** – Customs declarations for manufacturing services provided on physical inputs held by third parties and transportation services
- b. **International transactions reporting systems (ITRS)** – According to the BPM6 p. 20 “an ITRS can be used for the compilation of trade in services statistics and is likely to have a good coverage across the full range of services.”
- c. **Surveys of enterprises** – see [Section 3.1: Diaspora Investment](#). According to the BPM6 p. 20 “business surveys on services have proven successful in a number of economies”.
- d. **Surveys of households**

- e. **Administrative data** – such as accounting records of the monetary authorities and all levels of government which may be used to supplement other data sources or be used to validate data obtained from other sources.
- f. Information obtained from **partner countries and international organizations**.

Data can either be obtained directly from one or more of these methods, or it is recommended in the MSITS (2010) that some type of modelling may be required to obtain estimates of the balance of payments components. Information on some types of transactions may be obtained from more than one data source. In this case, data can be usefully cross-checked.

POSSIBLE SOLUTIONS

If your country uses ITRS

Solution: Add codes for nationals living abroad making payments for trade in services in your country's ITRS.

The efficacy of this will depend on the accuracy of the purpose of the transaction reporting and whether there are reporting thresholds that are too high to make the data meaningful.

In Morocco, whilst the ITRS is used for compiling data on investments made by Moroccan's residing overseas, it does not currently have codes from Moroccan's resident overseas making trade (imports or exports) in services due to the reporting burden and when considering the information available to the banks at the moment of executing the settlement.

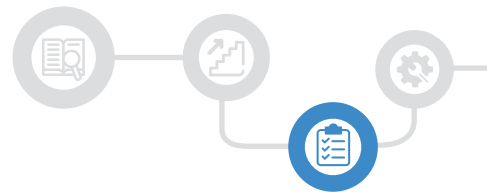


Table 12

Options for Identifying the Diaspora using ITRS and information reported by banks

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	No (as this would require banks all over the world to change their reporting requirements)
Option 2: Self-identification through diaspora cards	No (as this would require banks all over the world to change their reporting requirements)
Option 3: Nationals residing overseas using nationality and country of residence (or country where the transaction is initiated	Yes

If your country uses ENTERPRISE SURVEYS, CUSTOMS DECLARATIONS AND ADMINISTRATIVE RECORDS

Solution: Adding questions to enterprise surveys to include information on (a) either the nationality and country of residency of investors or (b) whether imports and exports of services are made by a member of the diaspora and mandating all enterprises to report for statistical purposes.

Table 13

Options for Identifying the Diaspora when making changes to surveys or administrative forms completed in the country of origin

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (although this option may become burdensome when the reporting entity must ascertain whether their shareholders are members of the diaspora)
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or country where the transaction is initiated	Yes



3.3 Diaspora tourism

National data published on tourism receipts are estimates based on assumptions. As such, it is unlikely that a methodology can be developed that can provide detailed and accurate diaspora visitor receipts from a return trip to their country of origin. However, by amending normal administrative sources and visitor surveys representative data should be produced.

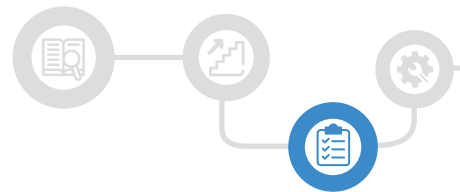
Tourism statistics are usually collected by the Ministry of Tourism, and while tourism is in the BOP, and there is a separate satellite tourism account (UN DESA, 2010c) in the system of national accounts, its scope is broader than what would be of interest for diaspora tourism.²⁶

For the purposes of understanding the contributions of the diaspora through tourism, the focus is on understanding the amount spent by the diaspora whilst in their country of origin. This would be categorised as a sub-component of estimating visitor receipts.

The UNWTO publishes tourism data and also publishes Guidance Notes (UN DESA, 2010a; UN DESA, 2010c) – in addition to the IRTS 2008 Compilation Guide – for countries on how to collect and publish data on tourism, including arrivals, accommodation and spending while visiting. Guidance is also available in the *Tourism Satellite Account: Recommended Methodological Framework 2008*, which includes tourism consumption, which suggests that expenditure can be broken down according to the different expenditure categories.

According to the IRTS 2008 Compilation Guide, the main sources available for the observation and measurement of international traveller flows, are the following:

- a. Official administrative sources** include immigration records based, or not, on entry/departure cards, passenger manifests (sea and river routes) and advanced passenger information (mainly air). Data provided by such administrative sources are produced on a continuous basis and are usually aggregated monthly.
- b. Complementary sources** include airlines, bus companies, ferries and others, for information on passengers transported, embarking or disembarking, arriving and departing passengers at airports, manual or automatic counts at the borders (land borders), counts at toll booths in the vicinity of the border, among others.
- c. Specific sample survey sources**
 - i.** In countries where no such administrative sources exist, or where the data provided is too global to be of much use, sample survey sources are the only possible alternative for estimating the universe of arrivals by non-resident travellers and departure by resident travellers.



- ii. In some countries where administrative data is available, sample surveys are conducted to provide additional information on the visitors/trips that are not available through administrative sources.

See the below possible solutions to understand these options in more depth.

POSSIBLE SOLUTIONS

If your country uses OFFICIAL ADMINISTRATIVE SOURCES to identify visits and length of stay by the diaspora or nationals residing overseas

Solution: Official administrative sources should be reviewed to see whether it is possible to identify from existing forms whether the person entering or departing the country is:

- a. **A national residing overseas** (these will only be a fraction of the diaspora, especially where some people hold dual or foreign nationality);
- b. **A member of the diaspora** (this would require self-reporting by the person entering or leaving the country).

Administrative data should be able to be used to work out the number of days people from the diaspora have spent in the country. The number of days that the diaspora visits and spends in the country can then be adjusted according to the average spend per member. This should be taken from border/visitor surveys.

TOOL 9

Guidelines for the creation of a non-resident visitors' statistical universe

This tool provides a comprehensive overview of how to create a non-resident visitors' statistical universe.



If your country uses BORDER SURVEYS to collect data on expenditure by diaspora / nationals residing abroad in the country

Solution: If there are border or visitor sample surveys these should be used to collect supplementary data on length of stay, average expenditure of visitors as these are important parameters for estimating visitor receipts.

Where administrative sources are not insightful, it is possible to only use survey in calculating the diaspora visitor receipts. For an example of one such survey, see Case

study 11: Gambia's use of embarkation/disembarkation Cards. For an example of one country utilizing visitor receipts in their BOP report, see Case study 12: Morocco's use of visitor receipts.



TOOL 10

Common information gathered from entry/departure cards and its usefulness for tourism statistics

This tool lists some common questions to ask on entry/departure cards. It also explains why these questions might be useful and how you can utilize this data in overall tourism statistics.



CASE STUDY 11

The Gambia's use of embarkation/disembarkation cards

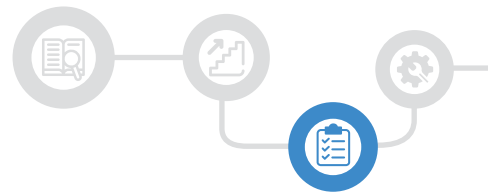
This sample international embarkation/disembarkation card is used at the Gambia International Airport to gather information and inform statistics on diaspora tourism to the Gambia.

Figure 10

Gambian Embarkation Card

ICAD/BACI
INTERNATIONAL EMBARKATION/DISEMBARKATION CARD
CARTE INTERNATIONALE D'EMBARQUEMENT / DEBARQUEMENT

Flight Number/No Vol: _____
1. Mr/Ms/Ms (Please Print) _____
2. Mrs/Ms/Ms (Please Print) _____
3. Date of Birth _____
4. Place of Birth _____
5. Nationality _____
6. Occupation _____
7. Permanent address _____
8. Passport number _____
9. Reason for traveling _____
10. Date of arrival _____
11. Date of departure _____
12. Number of days in country _____
13. Number of days in country _____
14. Number of days in country _____
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100. Number of days in country _____



CASE STUDY 12

Morocco's use of visitor receipts

Morocco publishes visitor receipts from MREs in their BOP Report (see here: www.oc.gov.ma/sites/default/files/2019-08/Rapport%20annuel%20BP%20%20PEG%202018%20VF.pdf). The below figure is an example extracted from the report showing the MRE receipts per country, per year.



Figure 11

MRE receipts per country

Pays	2016	2017	2018	Part 2018
France	22.252,8	23.419,6	23.016,3	35,5
Italy	5.997,8	6.240,6	6.102,6	9,4
Spain	5.436,0	5.767,0	5.611,9	8,6
Saudi Arabia	4.299,2	4.696,1	4.549,2	7,0
United Arab Emirates	3.903,4	4.344,6	4.206,9	6,5
United States of America	3.515,0	3.600,9	3.576,1	5,5
Belgium	3.224,1	3.346,9	3.358,1	5,2
Germany	2.326,3	2.463,5	2.471,7	3,8
Netherlands	2.020,0	2.148,7	2.098,6	3,2
United Kingdom	1.629,2	1.716,1	1.670,1	2,6
Qatar	1.148,6	1.231,4	1.261,0	1,9
Kuwait	1.030,2	1.088,5	1.046,2	1,6
Switzerland	1.028,6	1.087,8	1.041,5	1,6
Canada	825,9	852,0	849,6	1,3
Oman	344,4	360,2	310,4	0,5
Norway	290,0	298,5	296,7	0,5
Bahrain	268,2	283,6	270,3	0,4
Ireland	266,2	270,7	262,3	0,4
Sweden	230,9	243,8	235,8	0,4
Denmark	216,4	222,4	227,9	0,4
Other Countries	2.307,9	2.215,4	2.462,2	3,8
Total	62.561,1	65.898,3	64.925,4	100,0

If your country uses DIASPORA CARDS to track diaspora spending when visiting their country of origin

Solution: The Government could start a diaspora pre-paid card that offers discounts to the diaspora.

If all funds spent by the diaspora had to be pre-loaded onto the card, then it would be possible to track funds uploaded onto these cards to estimate diaspora-visitor receipts. For an example of one country that utilizes diaspora cards, see Case study 13: Ghana's Diaspora Card (GUBA).

However, using this as a statistical methodology is only robust if roll-out is universal across the diaspora for all expenditure in country.



CASE STUDY 13

Ghana's Diaspora Card (GUBA)

In Ghana, the GUBA card is a pre-paid VISA card that offers discounts to the diaspora.

Figure 12

GUBA Card website

GUBA
DIASPORA CARD

[Home](#) [About](#) [How It Works](#) [Benefits](#) [Partners](#) [News](#) [Apply Now](#) [+233-245-156-705](#) [f](#) [t](#) [i](#)

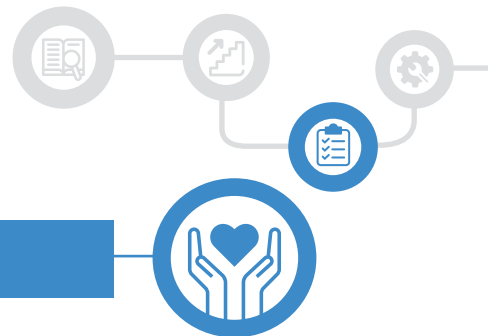
GUBA Diaspora Card

The GUBA Diaspora card is a unique discount card available to anyone living, working or visiting Ghana. The card gives you the opportunity to enjoy discounts of up to 40% on goods and services.

You enjoy discounts on the best of hotels, amazing restaurants, beauty lounges, spas, health centres, fashion houses and shopping centres in Ghana.

The GUBA Diaspora card can also be used as a pre-paid visa card via access bank, offering you convenience on all payment platforms!

[Apply Now](#)



3.4 Philanthropy

Philanthropic donations are the only channel through which the diaspora economically contribute that is not counted in national accounts or reflected in the BOP.

POSSIBLE SOLUTIONS

If your country uses ITRS FOR DATA COLLECTION

Solution: Add into the ITRS a code for philanthropic donations to charities and then a specific code on nationals residing overseas making philanthropic donations.

This can include using the register of diaspora philanthropic associations (as per [Subsection 2.2.3](#): Map diaspora-owned firms and philanthropic associations, foundations and charities) to track their investments, trade, employee compensation and philanthropic donations.

Table 14

Options for Identifying the Diaspora using ITRS and information reported by banks

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	No (as this would require banks all over the world to change their reporting requirements)
Option 2: Self-identification through diaspora cards	No (as this would require banks all over the world to change their reporting requirements)
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country **MONITORS DIASPORA-LINKED BANK ACCOUNTS**

Solution: Monitor activities from diaspora accounts to registered charities in the country of origin.

Table 15

Options for Identifying the Diaspora when Monitoring Diaspora-Linked Bank Accounts

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes (as it could be assumed that all owners of diaspora-linked bank accounts consider themselves members of diaspora)
Option 2: Self-identification through diaspora cards	Yes (as diaspora ID cards could be requested/required for opening such accounts)
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	No (It is an unnecessary additional reporting burden.)

If your country **GATHERS REPORTS BY LOCALLY REGISTERED CHARITIES**

Solution: Review reporting and data collection requirements by foundations, non-governmental organizations and registered charities to see whether they have information on where their donations and funding come from.

If not, it is recommended to review whether data can be collected directly from the charities on how much is being raised through the diaspora.



Table 16

Options for Identifying the Diaspora when Gathering Reports by Locally Registered Charities

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes

If your country GATHERS TAX REPORTING

Solution: Review tax reporting requirements by charities, to review whether it is possible to make changes to these reports that would allow you to identify donations made by nationals residing overseas and/or members of diaspora.

In this process, donations made by diaspora-owned charities, foundations and associations can be mapped.

Table 17

Options for Identifying the Diaspora when Gathering Tax Reports

Options for Identifying the Diaspora	Suitability
Option 1: Changes made to administrative forms to allow for self-identification of the diaspora	Yes
Option 2: Self-identification through diaspora cards	Yes
Option 3: Nationals residing overseas using nationality and country of residence (or the country where the transaction is initiated)	Yes



3.5 Employee compensation

Money earned from border, seasonal and other short-term workers employed in an economy where they are not resident is already captured in the BOP. In the BOP framework, remittance data includes (IMF, 2009, Appendix 5):

- a. Compensation of employees, which includes both:
 - i. Income of border, seasonal and other short-term workers who are employed in an economy where they are not resident (i.e. employment income earned by diaspora members in their respective host countries);
 - ii. Compensation of residents employed by non-resident entities (As this pertains to individuals working and are physically present in your country, it is irrelevant in capturing the economic contributions of your diaspora).
- b. Personal transfers.

POSSIBLE SOLUTIONS

Solution: The employee compensation earned from border, seasonal, and other short-term workers who are employed in an economy can be distinguished from the other components to provide insights into this economic contribution.



3.6 Surveying the diaspora

Surveying the diaspora is an alternative way to gain insights and information on the economic contributions made by the diaspora – above and beyond remittances. The accuracy of surveying the diaspora will depend on:

- a. How representative the sample is of the true population (the size and geography of the sample);
- b. The accuracy of the information provided in the survey, especially considering you will be asking for financially sensitive information.



Table 18

Costs, risks and benefits of surveying the diaspora

Benefits	Costs and risks
Time (can set sample size to meet with time constraints)	Administrative costs
Costs (can set sample size to meet with budget constraints)	Incentive costs
Provided the sample is fairly representative of the true population then reliable results that reflect the feelings and experience of the true population may be obtained	Reliability of the information provided
	Frequency of surveys

POSSIBLE SOLUTIONS

Solution: Establish a survey of the diaspora members either at home or abroad.

In designing the diaspora survey, a number of considerations should be factored in.

- a. Frequency.** Your survey should repeat fairly frequently in order to monitor changes in behaviour over time.
- b. Sample size, geography and demographic.** Your sample should be as representative of your population, in size, where they have migrated to and variety of demographic, as possible. Aim to be statistically significant. **Your survey should include diaspora profile providing insights into age, sex, education and income levels, among others.**
- c. Survey administration.** You may need to have a combination of both paper-based and online types of survey to reach a diverse population properly. However, if you do both you should analyse for inconsistencies in response trends, which may mean the integrity/validity of the data is compromised. Some advantages, disadvantages and details to consider are listed below:
 - i. Paper-based**
 - a. In-person, by post, or as an email attachment;
 - b. Space limitations, especially for open ended questions;
 - c. Execution (time distribution, completion, collection and data entry);
 - d. High cost.

ii. Online

- a. Flexible;
- b. Fast;
- c. Can be administered via email or through social media;
- d. Real-time analysis through online survey tools;
- e. Low cost;
- f. Dependent on population tech-savviness, access to a computer and access to the Internet.

d. Incentives. Incentives to participants for answering survey questions should also be considered to encourage participation. The incentive should be proportionate to the time and effort it takes to participate.

e. Anonymity. If you can also allow those surveyed to submit anonymously, you will likely get better information.

f. Question design. Consider making sure that your survey includes questions to capture data on your diaspora's appetite and willingness for investment.²⁷

g. Confidentiality. Add information on the confidentiality to any survey such as: *"This section will be asking private financial information. All information you provide is highly confidential and will never be published or directly attributed to you. Information provided is for compiling national statistics and therefore requires information to be accurate for the accounting period set."*

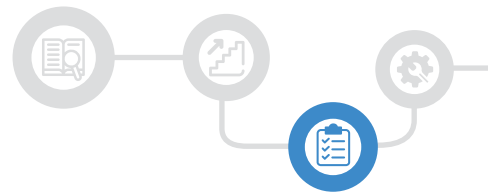
In some cases, such as in Morocco and Rwanda, the Government has included information on their diaspora in national household surveys in the country of origin. While insightful, especially for remittances, this will be less useful for understanding the broader economic contributions of diaspora beyond remittances.



CASE STUDY 14

Rwanda's Diaspora Investment Survey

In Rwanda, there is a plan to start a specific survey collecting data on Rwandan diaspora investments in Rwanda in real estate and other industries. The plan is to survey real estate owners by using the Rwandan Development Board list to create a registry of Rwandans living abroad that have invested in the country.



TOOL 11

Sample diaspora survey questions

In addition to the sample diaspora surveys, some additional questions that can be included in your survey are listed here.



There are a number of template surveys that have been used to understand remittances, diaspora profile and appetite to diaspora investment, which can be used as a basis for surveying and profiling the diaspora. This guidance adapts several of these surveys in the below tools.

TOOL 12

Sample survey: the Commonwealth Investment Survey (adapted to Ghana)

This survey represents one option that countries can adapt to their contexts. The tool presents some background to the survey and provides the survey questions for the Ghana Commonwealth Investment Survey. Though currently it is only used to survey countries belonging to the Commonwealth, additional countries can be surveyed by using this template as a basis for any surveys you may want to administer to your diaspora.

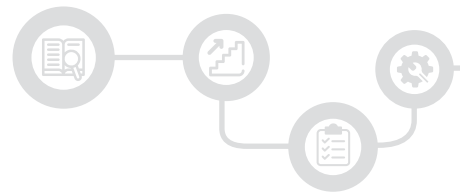


TOOL 13

Other sample diaspora surveys

There are a variety of other diaspora surveys beyond the Commonwealth Investment Survey that you may find useful as reference or starting points when building your own surveys. Some example surveys are listed in this tool.





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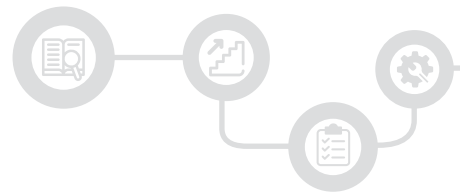
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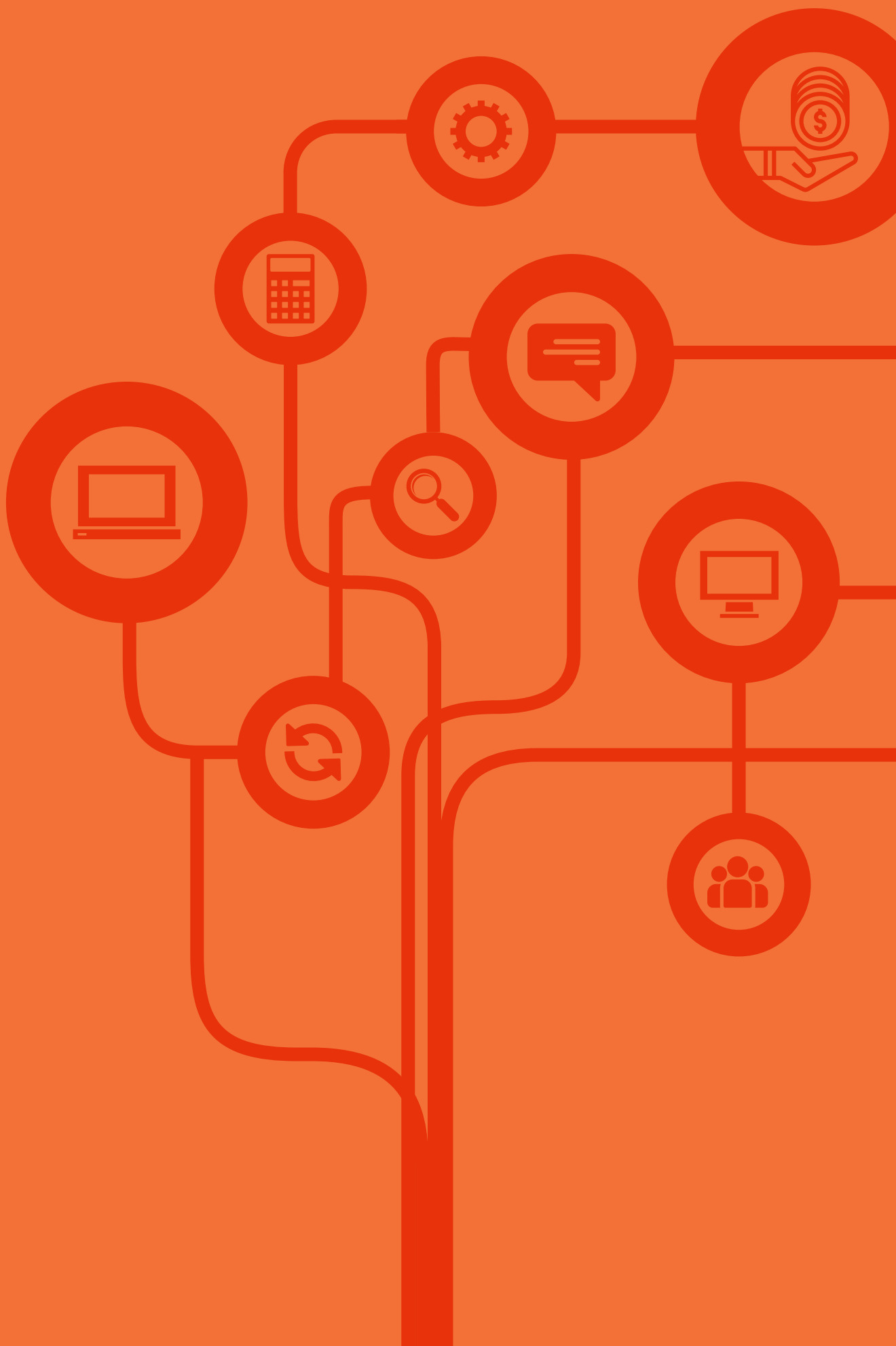
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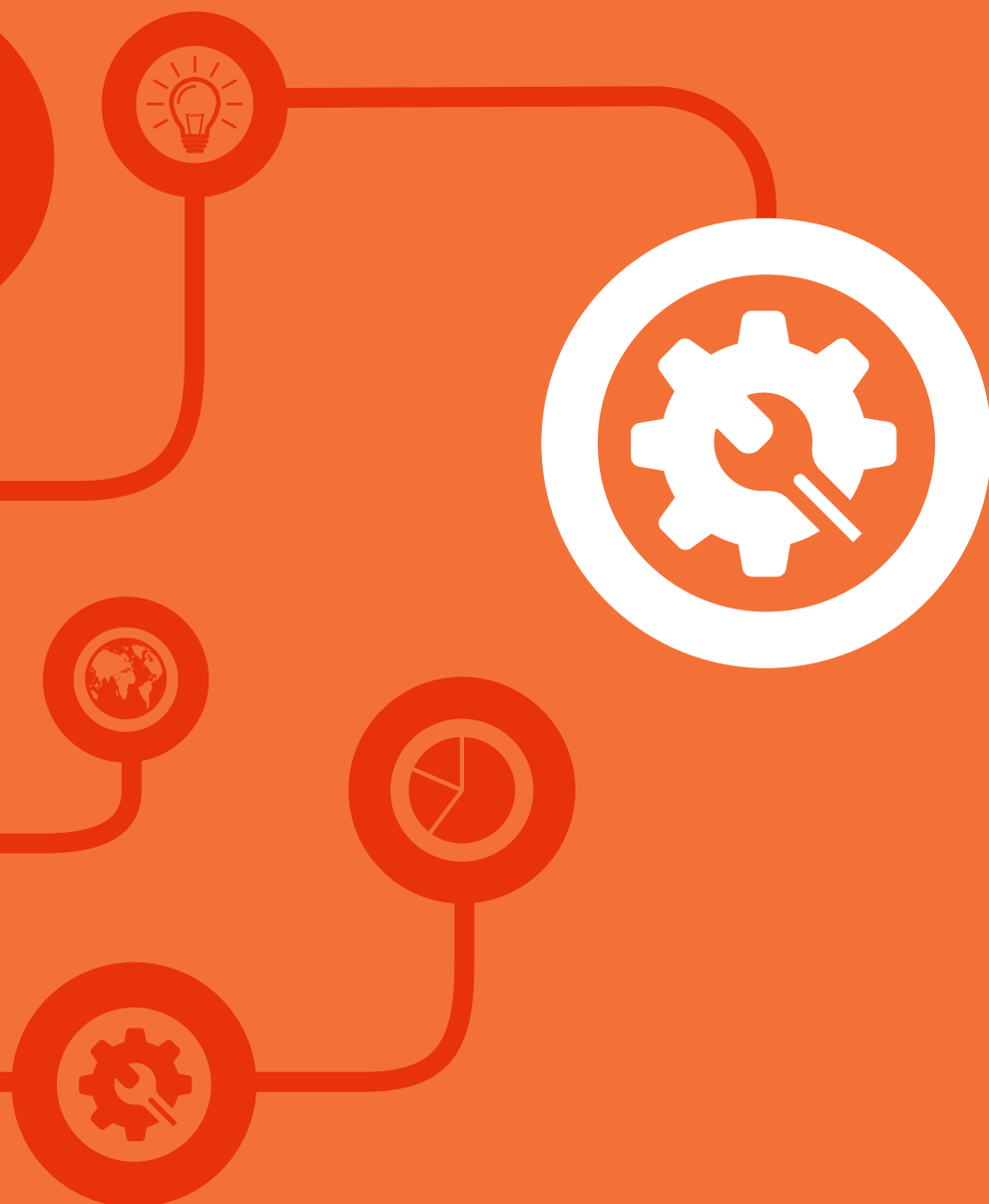
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4

THE DIASPORA DATA TOOLBOX

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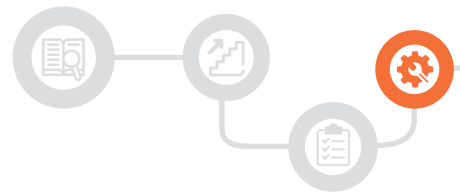
Sample Work Plan

TOOL 1

This sample work plan shows envisioned timeframes for each step and action of a hypothetical process. A work plan like this helps the Coordinator readily visualize the process, facilitating workflow management and progress monitoring during the implementation phase.

Steps and actions	Months																							
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
STEP 1: Establish a coordination structure																								
Action 1: Ensure high-level political ownership.																								
Action 2: Identify a coordinator.																								
Action 3: Identify ministries and other government entities to be part of the process and create a Technical Working Group.																								
Action 4: Organize a kick-off event.																								
STEP 2: Conduct background research																								
Action 1: Conduct a desk review.																								
Action 2: Map how data is currently collected.																								
Action 3: Map diaspora-owned firms and philanthropic associations, foundations and charities.																								

Steps and actions	Months																							
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
STEP 3: Select the best data collection methodologies for your context																								
Action 1: Choose how to identify a member of the diaspora in national data collection methodologies.																								
Action 2: Identify diaspora contributions in existing data collection frameworks.																								
Action 3: Review Chapter 3's guidance to identify recommended solutions.																								
Action 4: Consult with involved MDAs and the data compilers of the BOP and the GFS to review the recommended solutions.																								
STEP 4: Develop a Diaspora Economic Contributions Data Framework (DECDF) and an associated Phased Implementation Plan																								
Action 1: Develop a Diaspora Economic Contributions Data Framework (DECDF).																								
Action 2: Design a Phased Implementation Plan.																								



Steps and actions	Months																							
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
STEP 5: Test and review																								
Action 1: Test modifications to data collection.																								
Action 2: Review results and make adjustments.																								
STEP 6: Implement, report, monitor and evaluate																								
Action 1: Implement modifications to data collection.																								
Action 2: Report annually.																								
Action 3: Monitor and evaluate.																								



Sample Terms of Reference and tasks of the Coordinator

TOOL 2

The tool provides a sample Terms of Reference and list of tasks for a Coordinator that can be adapted to your context and utilized to guide the selection process.

An editable version of this tool can be found here: https://diaspora.org/sites/default/files/sample_tor_for_coordinator_1.doc

Terms of Reference for Technical Working Group Coordinator

1. Rationale

The Diaspora Economic Contributions Data Framework (DECDF) should provide the long-term vision for the Government on what diaspora related data is valuable for policy development and programming and identify how existing data collection methods can be changed incrementally in order to reach this vision. The goal is to establish a common and agreed vision of the priority areas where data disaggregated by diaspora status would assist in the country in designing policies and programmes to empower their diaspora as development actors. The DECDF should identify the data that is to be made available, including the format in which it will be provided, the timing and frequency of provision, and any additional security requirements. The DECDF should not only be based on the current situation in the country but be a planning document to understand what will be the data needs for the country in the next five to ten years while recognizing that some changes to data collection methods might take time to implement.

[Insert any country-specific information]

Coordination between government ministries and departments is integral aspects for a successful development and implementation plan. In order for the DECDF to be a sustainability whole of government tool for evidence-based policymaking, its development needs to be guided by a body of government experts, key academic researchers, think tank representatives and relevant technical experts from international agencies. The Coordinator will facilitate the work of this body, the Technical Working Group (TWG), and their objectives and tasks are described in the present Terms of Reference.

2. Objective

2.1 Overall objective to be accomplished under the consultancy

The overall objective of the position is to guide and facilitate an inclusive process for setting up a framework for capturing and analysing data related to diaspora economic contributions to the country in order to inform the development and implementation of diaspora related policies and programmes.

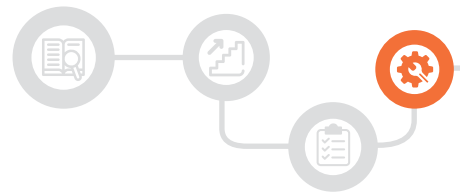
2.2 Specific objectives (to be adapted to the country context)

- Organize and guide the work with the Technical Working Group, as well as other key stakeholders to facilitate an inclusive and participatory process that ensures a whole of government approach;
- Assess the current data collection, analysis, dissemination and sharing;
- Provide concrete and useful recommendations how far the current practices can be amended to capture diaspora economic contributions;
- Coordinate the development of the Diaspora Economic Contributions Data Framework (DECDF) and an associated Phased Implementation Plan;
- Lead implementation and monitoring of the DECDF.

3. Tasks (to be adapted to the country context)

3.1 Process management

- 3.1.1** Identify key stakeholders and institutional actors.
- 3.1.2** Convene sessions of the TWG and perform required organizational/logistic tasks.
- 3.1.3** Draft the agenda for the sessions of the TWG.
- 3.1.4** Prepare relevant information and support materials for the sessions of the TWG.
- 3.1.5** Provide the participants in the TWG with all relevant information prior to sessions.
- 3.1.6** Prepare and circulate minutes within two weeks after each session.



3.2 Data assessment

- 3.2.1** Assess the existing/currently produced statistics and raw data including mapping of how the data is currently collected and identification of gaps in the currently collected data.
- 3.2.2** Consult important government institutions involved in relevant data collection.
- 3.2.3** Identify existing diaspora related data being collected and “low-hanging fruits”, which can be easily adapted for this purpose.

3.3 Development of a DECDF and Phased Implementation Plan

- 3.3.1** Review options for amending data collection methods and formulate precise recommendations on preferred solutions based on identified priorities.
- 3.3.2** Develop initial draft of DECDF and Phased Implementation Plan for review by the TWG.
- 3.3.3** Incorporate feedback and inputs from the TWG into the final draft of the DECDF and Phased Implementation Plan for final endorsement.

3.4 Monitoring of DECDF Implementation

- 3.4.1** Negotiate with relevant authorities to test the modifications required to extract the required data and classifications from the government accounting system at the beginning of each phase.
- 3.4.2** Review the results, processes, challenges and recommendations for improvements after testing of modifications.
- 3.4.3** Work with the relevant authorities to ensure that the agreed modifications to the data collection processes are fully adopted.
- 3.4.4** Ensure feedback mechanisms put in place to ensure that there is open communication with the relevant authorities collecting and analyzing the data.
- 3.4.5** Regularly report on the progress made vis-à-vis the Phased Implementation Plan.



Stakeholder Mapping Tool

TOOL 3

In order to identify which institutions and focal points are relevant to the process and to ensure that these bodies are consulted and engaged, encouraged to join the Technical Working Group and provide regular inputs to the process, a comprehensive stakeholder mapping can be conducted. This tool provides an example guide and template that can be adapted to your context when carrying out the stakeholder mapping.

Guidance:

A stakeholder analysis identifies the key government agencies and other groups and organizations that have a real or potential interest or role in participating in the development of the DECDF. Stakeholders may be affected by the process either negatively or positively, directly or indirectly. A stakeholder analysis not only identifies these actors but also assesses their interests and the ways in which these interests are likely to affect the DECDF development and implementation. In *Step 1: Establish a Coordination Structure*, it is important to develop a plan and to identify stakeholders who not only could be members of the Technical Working Group but also those who should be continually engaged with inside and outside of the Government, who may provide data, input, or simply need to be kept informed of the progress and potential changes being planned and implemented.

A stakeholder analysis helps to:

- a.** Understand the interests, problems, expectations, and capacities of those that are affected by the DECDF and those who are important to its success;
- b.** Identify potential risks, conflicts, and constraints that could affect the DECDF;
- c.** Explore and develop opportunities for engaging with the TWG;
- d.** Identify and involve non-government actors or local/subnational governments in order to ensure their participation and mitigate or avoid negative impacts on these groups.

To perform a stakeholder analysis:

- a.** Identify the stakeholders and establish why they are relevant actors;

- b.** Assess the attributes of the stakeholder (their capacities and motivations for involvement);
- c.** Assess the importance/influence of the stakeholders;
- d.** Assess strategies for engaging the stakeholder in the project or policy development.

The assessment should also carefully consider the attributes and levels of involvement of the stakeholders to analyse how stakeholders would and do interact with each other. Consider the following questions:

- a.** What is the potential for conflict and for cooperation among the stakeholders?
- b.** Is it likely that competition will emerge?
- c.** Are there opportunities for partnership among the stakeholders?

The Stakeholder Analysis Template below provides examples in the first row of how to assess the characteristics of each stakeholder. This template is meant to be illustrative and adapted to your context. They can be combined with other stakeholder analysis templates. For a list of potential stakeholders to include in this mapping, see *Action 1.1: Ensure high-level political ownership*.

Stakeholder	Interest in Project	Influence	Capacity	Motivation	Strategies	Comments& Contacts
Ministry for Diaspora Engagement	e.g. Project is directly related to mandate of the agency	High/medium/low	Institutional capacity is high/medium/low	Motivation to participate in the project is high/medium/low	e.g. <ul style="list-style-type: none"> • Include in Technical Working Group • Consult directly during X, Y, Z Steps/Actions 	Focal point name and contact information
Customs authorities						
Ministry of Tourism						
Immigration authorities						
...						

Adapted from: International Organization for Migration (IOM), *IOM Project Handbook* (Geneva, 2011). Available at https://publications.iom.int/system/files/pdf/iom_project_handbook_6feb2012.pdf.

Adapted from: United Nations Joint Migration and Development Initiative (JMIDI), *My JMIDI Toolbox: Module 2* (Establishing partnerships, cooperation and dialogue on migration and development at the local level) (Geneva, 2015b). Available at <http://migration4development.org/en/resources/library/my-jmidi-toolbox-module-2>.



Sample Terms of Reference and tasks of the Working Group

TOOL 4

The tool provides a sample Terms of Reference and list of tasks for the Technical Working Group that can be adapted to your context and utilized to gain stakeholder buy-in.

An editable version of this tool can be found here: https://diaspora.org/sites/default/files/sample_twg_tor.doc

Terms of Reference for the Technical Working Group on the establishment of a Diaspora Economic Contributions Data Framework

1. Rationale

The Diaspora Economic Contributions Data Framework (DECDF) should provide the long-term vision for the Government on what diaspora-related data is valuable for policy development and programming and identify how existing data collection methods can be changed incrementally in order to reach this vision. The goal is to establish a common and agreed vision of the priority areas where data disaggregated by diaspora status would assist in the country in designing policies and programmes to empower their diaspora as development actors. The DECDF should identify the data which is to be made available, including the format in which it will be provided, the timing and frequency of provision, and any additional security requirements. The DECDF should not only be based on the current situation in the country but be a planning document to understand what will be the data needs for the country in the next five to ten years while recognizing that some changes to data collection methods might take time to implement.

[Insert any country specific information]

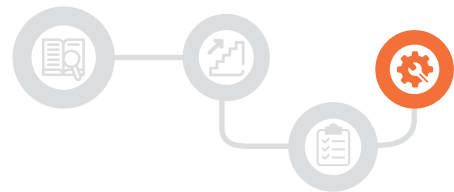
Coordination between government ministries and departments is integral aspects for a successful development and implementation plan. In order for the DECDF to be a sustainability whole of government tool for evidence-based policymaking, its development needs to be guided by a body of government experts, key academic researchers, think tank representatives and relevant technical experts from international agencies. This body will be the Technical Working Group (TWG) and its role, composition and modus operandi are described in the present Terms of Reference.

2. Purpose of the Technical Working Group

The purpose of the TWG is to set goals and to meet on a periodic basis and provide inputs into the development of the DECDF and the Phased Implementation Plan, the testing, implementation and in monitoring and evaluation. The TWG should also discuss the priorities in terms of the kind of contributions that are of most interest, which will in turn feed into the phasing of the Implementation Plan.

3. Tasks of the Technical Working Group [to be adapted to country context]

- 3.1** Serve as a platform of dialogue between data users and producers and jointly assess the existing data and statistical capacity.
- 3.2** Facilitating mapping of how the data is currently collected and identification of gaps in the currently collected data.
- 3.3** Support mapping of diaspora-owned firms and philanthropic associations, foundations and charities.
- 3.4** Identify the kinds of economic contributions of diaspora which are a priority for the country and thus would need to be captured and analysed in order to maximize their developmental impact.
- 3.5** Identify recommended solutions and formulate recommendations on how to amend data collection instruments.
- 3.6** Discuss the DECDF, facilitate access to data, share relevant information to be included in the DECDF, provide inputs and feedback to the DECDF at different stages of the drafting process and review and control the quality of the framework.
- 3.7** Support the development of a Phased Implementation Plan based on agreed priorities.
- 3.8** Endorse the final DECDF and Phased Implementation Plan and identify ways to effectively feed the information and analysis it will provide into high-level policymaking processes.
- 3.9** Design and promote policy options to increasingly maximize the benefits of the economic contributions of diaspora on national development.
- 3.10** Identify national institutions responsible for the DECDF's implementation and regular updating and discuss ways to strengthen the capacity of the institutions in question to sustainably assume their role.
- 3.11** Regularly convene to monitor and evaluate the implementation of the DECDF and how the data being produced is being used.



4. Composition of the Technical Working Group [to be adapted to country context]

- 4.1** The TWG will comprise representatives of the following ministries and public institutions:
- a.** Diaspora office and/or ministry of foreign affairs;
 - b.** The compiler of BOP data;
 - c.** The compiler of government financial statistics;
 - d.** Managers and statisticians involved in compiling, processing and cross-verification of data, including the ministries of tourism, customs and investment, among others;
 - e.** The central bank;
 - f.** National statistics office;
 - g.** Any relevant local or regional authorities.
- 4.2** International agencies, such as IOM, UNDP, UNICEF, ILO, UNHCR, the World Bank and UNFPA, shall be invited to participate on a permanent or sporadic basis in the sessions of the TWG.
- 4.3** Furthermore, participation of civil society organizations, academic research institutes and local think tanks shall be secured.

5. Modus operandi

- 5.1** The TWG sessions shall be convened three or more times per year.
- 5.2** The decision-making in the TWG will be made after a thorough discussion and with all the possibilities to reach a consensus, but in case of irreconcilable disagreements and under the pressure of time, decisions must be taken by a simple majority of votes of the members present at that meeting.
- 5.3** The Coordinator shall oversee the execution of the following tasks related to the TWG's functioning:
- a.** Convene sessions of the TWG and perform required organizational/logistic tasks;
 - b.** Draft the agenda for the sessions of the TWG;
 - c.** Prepare relevant information and support materials for the sessions of the TWG;
 - d.** Provide the participants in the TWG with all relevant information prior to sessions;
 - e.** Prepare and circulate minutes within two weeks after each session.
- 5.4** Relevant documents, i.e. agenda for the upcoming session, support materials, shall be distributed to the TWG participants not less than two weeks prior to TWG sessions.

Template for mapping data collection

TOOL 5

This template/table proposes some example questions and areas of analysis to guide governments as they map their existing data collection methods.

An editable version of this tool can be found here: https://diaspora.org/sites/default/files/template_for_mapping_data_collection.xlsx

CHANNEL	What Data is Collected and How	Responsible Authority	Frequency and Method of Reporting	Relevant Data Collection Guidelines (e.g. BPM6)	Country Plans for Review/ Amendments
INVESTMENT					
Foreign Direct Investment					
Foreign Portfolio Investment					
Real estate investment					
TRADE					
Exports in goods					
Exports in services					
TOURISM					
Arrivals / Length of Stay					
Accommodation					
Expenditure					
PHILANTHROPY					
EMPLOYEE COMPENSATION					
REMITTANCES					

Sample ITRS Codes

TOOL 6

An International Transaction Reporting System (ITRS) is one way that your country might already be classifying and collecting data. These sample ITRS Codes show an example of some categories that might be used when collecting data through the ITRS.

Annex to Forms 3-1 - 3-5 for ITRS –Classifications Transaction Codes

1. Goods exported and imported 110 Goods arriving in or leaving Newland 120 Merchanting 130 Nonmonetary gold 140 Goods supplied to ships in port	4. Income 410 Dividends 420 Distribution of profits 430 Interest 440 Taxes, subsidies, rent
2. Transport and travel services <i>Freight services</i> 211 Sea transport 212 Air transport 213 Other transport <i>Passenger services</i> (international routes) 221 Sea transport 222 Air transport 223 Other transport <i>Other transport services</i> 231 Sea transport 232 Air transport 233 Other transport 240 Postal and courier services <i>Travel services</i> 251 Business travel 252 Personal travel	5. Remittances 510 Compensation of employees 520 Workers' remittances 530 Other personal transfers 6. Transfers 610 Development assistance 620 Technical assistance 630 Other grants 640 Other current transfers
3. Other services 310 Manufacturing services 320 Maintenance and repair services 330 Construction 341 Insurance premiums 342 Insurance claims 343 Financial services 350 Charges for use of intellectual property (royalties and fees) 361 Telecommunication 362 Computer services 363 Information service 371 Research and development services 372 Professional and management consulting services 373 Technical, trade-related, and other business services 374 Audiovisual and related services 375 Personal, cultural, and recreational services 380 Services to foreign governments, n.i.e.	7. Transactions in claims on nonresidents 710 Equity 720 Debt instruments between affiliated enterprises 731 Long-term debt securities (bonds, notes) 732 Short-term debt securities 740 Options, futures, warrants, swaps, etc. 751 Loans, long-term 752 Loans, short-term 760 Deposits 770 Other equities 780 Other 8. Transactions in liabilities to nonresidents 810 Equity 820 Debt instruments between affiliated enterprises 831 Long-term debt securities (bonds, notes) 832 Short-term debt securities 840 Options, futures, warrants, swaps, etc. 851 Loans, long-term 852 Loans, short-term 860 Deposits 870 Other equities 880 Other 9. Transfer of funds between accounts 900 Transfer of funds between accounts

Guiding questions for mapping diaspora firms

TOOL 7

Once the Technical Working Group has decided which methodology to use to conduct the diaspora-firms mapping, this list of guiding questions will provide analysts with a fundamental orientation for conducting such a mapping. Guiding questions can be used to develop a more in-depth mapping tool and template for your context.

- How many businesses do you own?
- What are the name(s) of your business(es)?
- In what country are your business(es) located?
- In what year was your business(es) first registered?
- What type of activity does your business(es) engage in?
- If your business(es) engage in import/export activities do any of these involve your country of origin?
- How many employees does your business(es) have?
- Does your business(es) have any branches?
- What is the contact information for your business(s)?

State / country	14. Name of the business in another country
	Name Address Telephone Email Website
	Name Address Telephone Email Website
	Name Address Telephone Email Website

Data protection

TOOL 8

When collecting data about any individual or group, including diaspora members, diaspora-owned firms, and diaspora organizations, strict data protection principles must be applied. Data protection is paramount for the safe exchange, secure storage and confidential treatment of personal data. These tools provide further information and references to inform safe, responsible data collection that respects the core principles of data protection, and it should be referenced and integrated into the DECDF and associated data collection processes. The first is a sample agreement on transfer of personal data and the second are an example of data protection principles from IOM.

An editable version of this tool can be found here: https://idiaspora.org/sites/default/files/template_agreement_on_the_transfer_of_personal_data_0.doc

Agreement on the Transfer of Personal Data

This Data Transfer Agreement is entered into by the (insert), an organization part of the United Nations system (hereinafter “**Sending Party**”), and (insert) (hereinafter “**Receiving Party**”), (hereinafter jointly referred to as the “Parties”) the Sending Party and the Receiving Party are also referred to individually as a “**Party**” and collectively as the “**Parties**.”

Preamble

The Parties,

TAKING NOTE that the purposes of the Receiving party are: to prevent and/or relieve poverty, to advance education and to advance health in each case for the public benefit particularly by, but not limited to, providing social and development services to advance these objects and/or financial and material assistance for the benefit of children, their families and communities in charitable need.

TAKING NOTE that the Sending Party, committed to the principle that humane and orderly migration benefits migrants and society, acts to: assist in meeting the operational challenges of migration, advance understanding of migration issues, encourage social and economic development through migration, and work towards effective respect of the human rights and well-being of migrants.

WHEREAS the collection and processing of personal data are necessary components of the Sending Party's commitment to facilitate migration movements, understand migration challenges, and respect the human dignity and well-being of migrants.

WHEREAS the Sending Party shall take all reasonable and necessary precautions to preserve the confidentiality of personal data and the anonymity of data subjects and all personal data shall be collected, used, transferred and stored securely in accordance with the Sending Party's Data Protection Principles.

WHEREAS the Parties agree that data protection is paramount for the safe exchange, secure storage and confidential treatment of personal data and that sharing of personal data should be done in accordance with the Sending Party's Data Protection Principles.

Have agreed as follows:

1. Scope

(insert scope)

1.1 The following documents form an integral part of this Agreement:

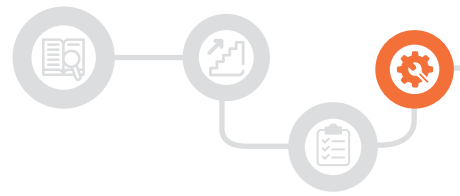
2. Definitions

2.1 Personal data means all information that could be used to identify or harm data subjects; it is any information relating to an identified or identifiable data subject that is recorded by electronic means or paper.

2.2 Data processing means the manner in which personal data are collected, registered, stored, filed, retrieved, used, disseminated, communicated, transferred and destroyed.

2.3 Data subject means an individual who can be identified directly or indirectly by reference to a specific factor or factors. Such factors may include a name, an identification number, material circumstances and physical, mental, cultural, economic or social characteristics.

2.4 "Need to know" basis means the case-by-case granting or denying or authorized access to categories of personal data after careful deliberation.



3. Data Transfer

- 3.1** The Sending Party shall collect, in accordance with its Data Protection Principles and the provisions of this Agreement, and transfer to the Receiving Party the personal data of the data subjects (insert which data, and how it will be transferred.) The selected personal data are provided in the complete list of data that will be collected directly from the data subjects and from key stakeholders, organizations and institutions in (Insert Annex).

(Describe the specified purpose for which the data will be used)

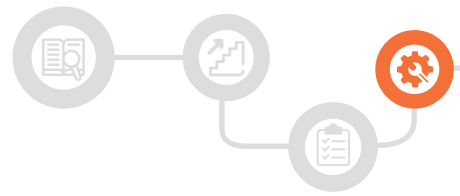
4. Obligations of the Receiving Party

- 4.1** The Receiving Party shall ensure that the Consultants abide by all the terms and conditions of this Agreement.
- 4.2** The Receiving Party understands that the Sending Party is bound by a duty of confidentiality in relation to the personal data it receives from data subjects or collected on behalf of Sending Party. The Receiving Party shall take all reasonable and necessary precautions to preserve the confidentiality of the selected personal data and the anonymity of data subjects.
- 4.3** The Receiving Party warrants that it shall comply with the data protection safeguards outlined in this Agreement, and shall perform its obligations under this Agreement in such a way as to ensure that its data protection obligations and the data protection obligations of the Sending Party to the data subjects are not breached. In particular, the Receiving Party undertakes to:
- a.** Use the selected personal data it receives from the Sending Party exclusively for the specified purpose of transfer mentioned in Article 3.2. The Receiving Party shall make no other use of the selected personal data under the Agreement without the Sending Party's prior written consent. The Receiving Party shall not attempt to identify the data subjects by any methods.
 - b.** Implement appropriate data security measures to preserve the integrity of the selected personal data and prevent any corruption, tampering, loss, damage, unauthorized access and improper disclosure of the same.
 - c.** Maintain strict standards of confidentiality, employ appropriate access control measures and ensure that all transmissions of the selected personal data are encrypted.
 - d.** Take all reasonable steps to limit the access to the selected personal data on a strictly applied "need to know" basis to its authorized employees and agents.
 - e.** Take all reasonable steps to ensure that all its employees, agents and subcontractors abide by the confidentiality obligations under this Agreement.

- f.** Prohibit any processing of the selected personal data which is not in accordance with the terms of this Agreement.
- g.** Immediately update, rectify and/or delete the selected personal data upon instruction from the Sending Party.
- h.** Inform the Sending Party of any current or future internal regulations, national laws or regulations which may impact on the Sending Party Data Protection Principles.
- i.** Not further process, disclose, publish or transmit the selected personal data to any third party, without the prior written permission of the Sending Party.
- j.** Retain the selected personal data only to the extent, and in such a manner, that is necessary to fulfill the specified purpose(s) of transfer.
- k.** Immediately notify the Sending Party in case any data subject contacts the Receiving Party to request access, modification, deletion or any other type of processing of his/her personal data.
- l.** Immediately transmit to the Sending Party any request by a third entity, including governmental authority, to share the selected personal data.
- m.** Provide updates to the Sending Party with any changes recorded in the selected personal data every month or anytime it received such a request from the Sending Party.
- n.** Immediately notify the Sending Party in writing upon becoming aware of any data breach, in particular if the data breach is likely to result in personal injury or harm to the data subjects.
- o.** Include confidentiality notice on each copy reproduced, in whole or in part, but only to the extent reasonable necessary for the purpose.

4.4 The Receiving Party further warrants that:

- a.** It is an organization financially sound and duly licensed, with adequate human resources, equipment, competence, expertise and skills necessary to comply fully and satisfactorily, with the obligations stated in this Agreement;
- b.** It shall comply with all applicable laws, ordinances, rules and regulations when performing its obligations under this Agreement;
- c.** In all circumstances it shall act in the best interests of the Sending Party; and
- d.** It shall abide by the highest ethical standards in the performance of this Agreement, which includes not engaging in any discriminatory or exploitative practices or practices inconsistent with the rights set forth in the Convention on the Rights of the Child.



4.5 The Receiving Party shall:

- a.** Take all appropriate measures to prohibit and prevent actual, attempted and threatened sexual exploitation and abuse (SEA) by its employees or any other persons engaged and controlled by it to perform activities under this Agreement (“other personnel”). For the purpose of this Agreement, SEA shall include:
 - 1.** Exchanging any money, goods, services, preferential treatment, job opportunities or other advantages for sexual favours or activities, including humiliating or degrading treatment of a sexual nature; abusing a position of vulnerability, differential power or trust for sexual purposes, and physical intrusion of a sexual nature whether by force or under unequal or coercive conditions.
 - 2.** Engaging in sexual activity with a person under the age of 18 (“child”), except if the child is legally married to the concerned employee or other personnel and is over the age of majority or consent both in the child’s country of citizenship and in the country of citizenship of the concerned employee or other personnel.
- b.** Strongly discourage its employees or other personnel having sexual relationships with the Sending Party beneficiaries.
- c.** Report timely to the Sending Party any allegations or suspicions of SEA, and investigate and take appropriate corrective measures, including imposing disciplinary measures on the person who has committed SEA.
- d.** Ensure that the SEA provisions are included in all subcontracts.
- e.** Adhere to above commitments at all times. Failure to comply with (a) through (d) shall constitute grounds for immediate termination of this Agreement.

5. Notices

Any notice given pursuant to this Agreement will be sufficiently given if it is in writing and received by the other Party at the following address:

(insert)

6. Dispute resolution

- 6.1** Any dispute, controversy or claim arising out of or in relation to this Agreement, or the breach, termination or invalidity thereof, shall be settled amicably by negotiation between the Parties.

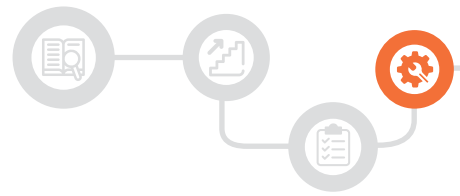
- 6.2** In the event that the dispute, controversy or claim has not been resolved by negotiation within 3 (three) months of receipt of the notice from one party of the existence of such dispute, controversy or claim, either Party may request that the dispute, controversy or claim is resolved by conciliation by one conciliator in accordance with the UNCITRAL Conciliation Rules of 1980. Article 16 of the UNCITRAL Conciliation Rules does not apply.
- 6.3** In the event that such conciliation is unsuccessful, either Party may submit the dispute, controversy or claim to arbitration no later than 3 (three) months following the date of termination of conciliation proceedings as per Article 15 of the UNCITRAL Conciliation Rules. The arbitration will be carried out in accordance with the 2010 UNCITRAL arbitration rules as adopted in 2013. The number of arbitrators shall be one and the language of arbitral proceedings shall be English, unless otherwise agreed by the Parties in writing. The arbitral tribunal shall have no authority to award punitive damages. The arbitral award will be final and binding.
- 6.4** The present Agreement as well as the arbitration agreement above shall be governed by the terms of the present Agreement and supplemented by internationally accepted general principles of law for the issues not covered by the Agreement, to the exclusion of any single national system of law that would defer the Agreement to the laws of any given jurisdiction. Internationally accepted general principles of law shall be deemed to include the UNIDROIT Principles of International Commercial Contracts. Dispute resolution shall be pursued confidentially by both Parties. This Article survives the expiration or termination of the present Agreement.

7. Ownership of Selected Personal Data

Ownership of the selected personal data shall remain vested in the Sending Party. Disclosure by the Sending Party of the selected personal data received by the Receiving Party for the purpose of this Agreement shall not affect the ownership rights of the Sending Party. The Sending Party grants (insert) a non-exclusive and non-transferrable license to use the selected personal data for the specified purpose of this Agreement.

8. Breach of Agreement

The Parties acknowledge and agree that any breach of confidentiality obligations under this Agreement shall cause the Sending Party and the data subjects substantial and irreparable damage. If the Receiving Party makes or threatens such breach in violation of this Agreement, the Sending Party shall be entitled to immediate injunctive relief, or any other remedy available.



9. Assignment

The Receiving Party shall not assign any rights or obligations arising under this Agreement in part or all, unless specifically authorized by the Sending Party in writing in advance.

10. Indemnity

The Receiving Party shall at all times defend, indemnify and hold harmless the Sending Party, its officers, employees and agents from and against all loss, costs, damages and expenses (including legal fees and costs), claims, suits and liabilities to the extent arising out of or resulting from the activities under this Agreement. the Sending Party shall promptly notify the Implementing Partner of any written claim, loss, or demand for which the Implementing Partner is responsible under this clause.

11. Term and Termination

- 11.1** This Agreement may be terminated by one (1) months' written notice to the other Party. However, where the Receiving Party is in breach of any of the terms and conditions of this Agreement, the Sending Party may terminate the Agreement with immediate effect.
- 11.2** Upon termination or expiration of this Agreement or fulfillment of the specified purpose(s) envisaged under Article 3.2, the Receiving Party shall cease to access, use or process any of the selected personal data received from the Sending Party. The Receiving Party shall destroy the selected personal data and any copies within five (5) calendar days from the date of termination or expiration of this Agreement or fulfillments of the specified purpose(s), unless otherwise agreed by the Sending Party in writing in advance, and shall provide a certificate to the Sending Party that it, its agents and subcontractors have destroyed all traces of the selected personal data.
- 11.3** The obligations under Articles 4.4, 4.5, 7, 8, 9, 10 and 13 shall survive the termination or expiration of this Agreement.

12. Severability

If any part of this Agreement is found to be invalid or unenforceable, that part will be severed from this Agreement and the remainder of the Agreement shall remain in full force.

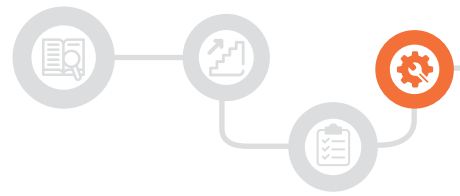
13. Entirety

This Agreement embodies the entire agreement between the Parties and supersedes all prior agreements and understandings, if any, relating to the subject matter of this Agreement.

14. Final clauses

14.1 This Agreement will enter into force upon signature by both Parties. It will remain in force until completion of all obligations of the Parties under this Agreement and the MoU mentioned above unless terminated earlier in accordance with Article 14.1 or unless the above mentioned MoU is terminated earlier.

14.2 Amendments may be made by mutual agreement in writing between the Parties.



Example of Data Protection Principles

IOM DATA PROTECTION PRINCIPLES

- 1. LAWFUL AND FAIR COLLECTION** Personal data must be obtained by lawful and fair means with the knowledge or consent of the data subject.

- 2. SPECIFIED AND LEGITIMATE PURPOSE** The purpose(s) for which personal data are collected and processed should be specified and legitimate, and should be known to the data subject at the time of collection. Personal data should only be used for the specified purpose(s), unless the data subject consents to further use or if such use is compatible with the original specified purpose(s).

- 3. DATA QUALITY** Personal data sought and obtained should be adequate, relevant and not excessive in relation to the specified purpose(s) of data collection and data processing. Data controllers should take all reasonable steps to ensure that personal data are accurate and up to date.

- 4. CONSENT** Consent must be obtained at the time of collection or as soon as it is reasonably practical thereafter, and the condition and legal capacity of certain vulnerable groups and individuals should always be taken into account. If exceptional circumstances hinder the achievement of consent, the data controller should, at a minimum, ensure that the data subject has sufficient knowledge to understand and appreciate the specified purpose(s) for which personal data are collected and processed.

- 5. TRANSFER TO THIRD PARTIES** Personal data should only be transferred to third parties with the explicit consent of the data subject, for a specified purpose, and under the guarantee of adequate safeguards to protect the confidentiality of personal data and to ensure that the rights and interests of the data subject are respected. These three conditions of transfer should be guaranteed in writing.

- 6. CONFIDENTIALITY** Confidentiality of personal data must be respected and applied at all stages of data collection and data processing, and should be guaranteed in writing. All IOM staff and individuals representing third parties, who are authorized to access and process personal data, are bound by confidentiality.

7. ACCESS AND TRANSPARENCY Data subjects should be given an opportunity to verify their personal data, and should be provided with access insofar as it does not frustrate the specified purpose(s) for which personal data are collected and processed. Data controllers should ensure a general policy of openness towards the data subject about developments, practices and policies with respect to personal data.

8. DATA SECURITY Personal data must be kept secure, both technically and organizationally, and should be protected by reasonable and appropriate measures against unauthorized modification, tampering, unlawful destruction, accidental loss, improper disclosure or undue transfer. The safeguard measures outlined in relevant IOM policies and guidelines shall apply to the collection and processing of personal data.

9. RETENTION OF PERSONAL DATA Personal data should be kept for as long as is necessary, and should be destroyed or rendered anonymous as soon as the specified purpose(s) of data collection and data processing have been fulfilled. It may however, be retained for an additional specified period, if required, for the benefit of the data subject.

10. APPLICATION OF THE PRINCIPLES These principles shall apply to both electronic and paper records of personal data, and may be supplemented by additional measures of protection, depending, inter alia, on the sensitivity of personal data. These principles shall not apply to non-personal data.

11. OWNERSHIP OF PERSONAL DATA IOM shall assume ownership of personal data collected directly from data subjects or collected on behalf of IOM, unless otherwise agreed, in writing, with a third party.

12. OVERSIGHT, COMPLIANCE AND INTERNAL REMEDIES An independent body should be appointed to oversee the implementation of these principles and to investigate any complaints, and designated data protection focal points should assist with monitoring and training. Measures will be taken to remedy unlawful data collection and data processing, as well as breach of the rights and interests of the data subject.

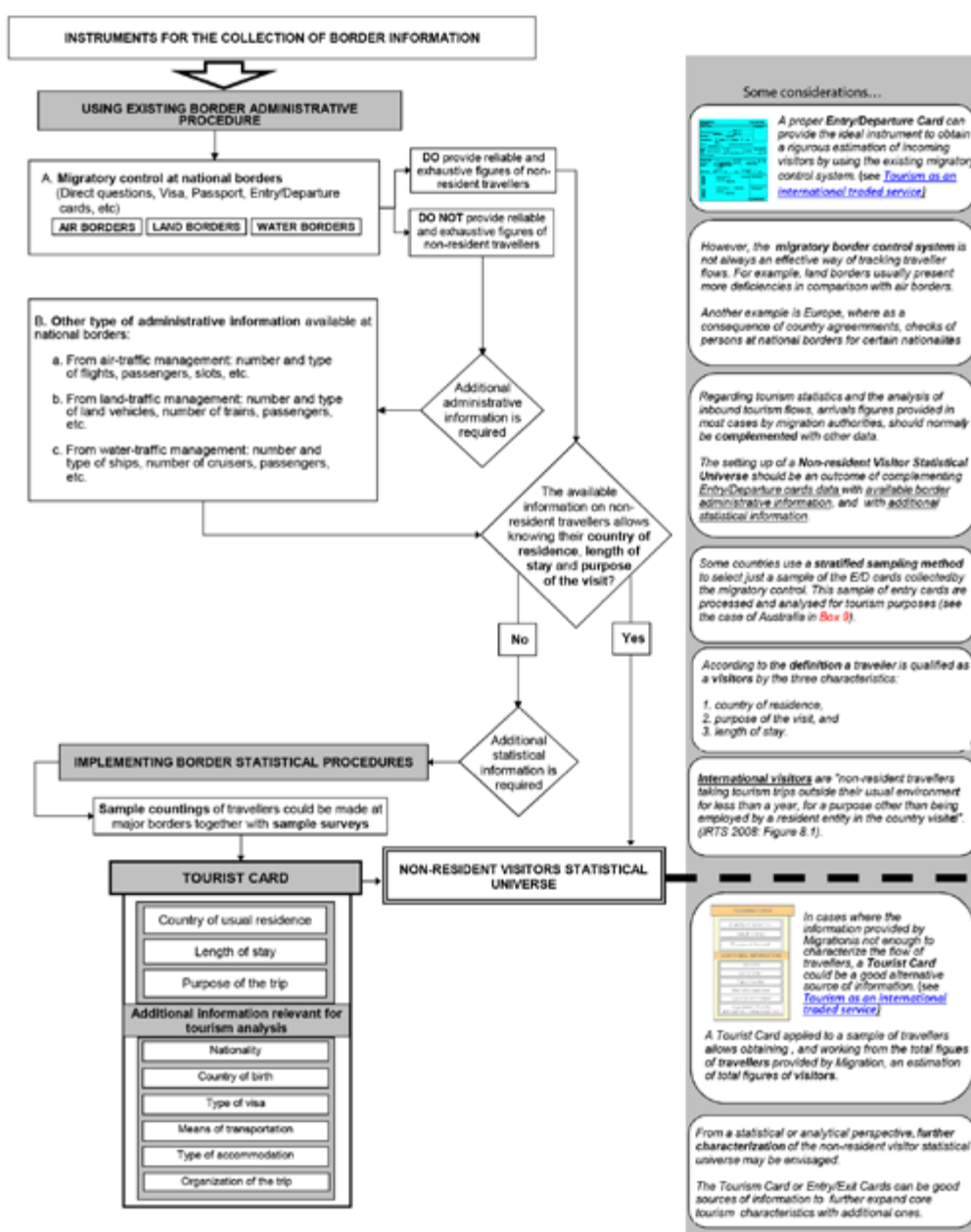
13. EXCEPTIONS Any intent to derogate from these principles should first be referred to the IOM Office of Legal Affairs for approval, as well as the relevant unit/department at IOM Headquarters.

Guidelines for the creation of a non-resident visitors' statistical universe

TOOL 9

This tool provides a comprehensive overview of how to create a non-resident visitors' statistical universe.

Figure 3.1: a) Guidelines for the creation of non-resident visitors statistical universe



Common information gathered from entry/departure cards and its usefulness for tourism statistics

TOOL 10

This tool lists some common questions to ask on entry/departure cards. It also explains why these questions might be useful and how you can utilize this data in overall tourism statistics.

Information Items	Usefulness for tourism statistics	
Date	****	Essential for measuring number of visitors' trips by month
Name	-	Not useful for tourism statistics
Surname	-	Not useful for tourism statistics
Sex	***	Useful for designing and stratifying surveys; very useful for marketing purposes
Civil status	**	Useful for designing and stratifying surveys; very useful for marketing purposes
Date of birth	***	Useful for designing and stratifying surveys; very useful for marketing purposes
Place of birth	*	Useful for tourism analysis, e.g. travel propensity due to links to another country
Nationality	**	Useful for designing and stratifying surveys; useful in conjunction with "Current country of residence"
Occupation	*	Very useful for marketing purposes
Current country of residence	****	Essential for identifying person as a visitor; and data on countries of origin; very useful for marketing purposes
Address in visited country	**	Useful for designing and stratifying surveys; useful for regional tourism statistics, along with port of entry in multiple destination countries.
Passport number	-	Not useful for tourism statistics
Place of issue	-	Not useful for tourism statistics
Date of issue	-	Not useful for tourism statistics
Type of passport	-	Not useful for tourism statistics
Type of visa	*	Useful to identify certain categories of border crossers and to determine which are non-visitors:
Port of entry	***	Very useful; useful for stratification of universe
Model of transport	***	Very useful; useful for marketing purposes and for stratification of universe)
Flight number or name of ship	*	Essential for identifying residency of transportation company (particularly for international transport) for TSA, whether an air fare is part of inbound, outbound or domestic tourism expenditure
Airline	*	Essential for identifying residency of transportation company (particularly for international transport) for TSA; useful for crosschecking with other sources
Intended length of stay	***	Very useful as initial indication as to actual length of stay; needs to be confirmed
Accommodation	**	Of some use as initial indication as to actual accommodation; needs to be confirmed
Purpose of travel	****	Essential for identifying types of visitors' trips

Sample diaspora survey questions

TOOL 11

In addition to the sample diaspora surveys, some additional questions that can be included in your survey are listed here.

1. Please state your town/city/region/community of origin (e.g. Mogadishu, Somalia)
2. Please state your town/city/region/community of residence (e.g. Turin, Italy)
3. Between [ADD ACCOUNTING PERIOD] have you, or a business owned by you (>10% shareholder) invested in your country/town/city/region/community of origin? ☐

a. If yes,

	Yes	No	How much did you invest between – ENTER accounting date)	Where did you invest (city, town, region, community)?
Direct investment				
• >10% shareholding in a company in CoO	<input type="checkbox"/>	<input type="checkbox"/>		
Portfolio investment				
• Government bonds and treasury bills in your country of origin	<input type="checkbox"/>	<input type="checkbox"/>		
• Stocks and shares in businesses in your country of origin – directly?	<input type="checkbox"/>	<input type="checkbox"/>		
• Stocks and shares in businesses in your country of origin – through local stock exchange?	<input type="checkbox"/>	<input type="checkbox"/>		
• Other?	<input type="checkbox"/>	<input type="checkbox"/>		
Real estate				
• Direct investment	<input type="checkbox"/>	<input type="checkbox"/>		
• Mortgage	<input type="checkbox"/>	<input type="checkbox"/>		

If not, why not?

.....
.....
.....

4. Do you have a firm(s) that you own in your country/community of residence? Ownership is >10% controlling share. ☐

If yes,

a. In which town/city/region/community is the company located?

.....

b. Please provide the name(s) of the company(s):

i.

ii.

iii.

iv.

5. Between [ADD ACCOUNTING PERIOD] did you have a bank account in your country/community of origin? ☐

If yes,

a. Where is this bank account located (town/city/region/community)?

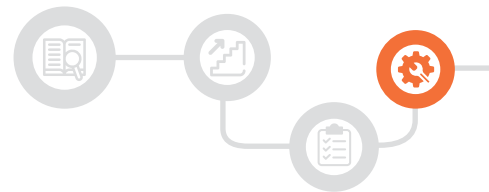
.....

b. How much did you send from the country you are residing into your account in your home country?

.....

c. What did you use the funds from this account for?

.....



6. Between [ADD ACCOUNTING PERIOD] have you, or a business owned by you (>10% shareholder), traded with your country or community of origin? ☐

If yes,

	Yes	No	What was the total value of these goods or services between [ENTER accounting Date]	Where did you import to or export from (city, town, region, community)?
• Imported goods from my country of origin	<input type="checkbox"/>	<input type="checkbox"/>		
• Imported services from my country of origin	<input type="checkbox"/>	<input type="checkbox"/>		
• Exported goods to my country of origin	<input type="checkbox"/>	<input type="checkbox"/>		
• Exported services to my country of origin	<input type="checkbox"/>	<input type="checkbox"/>		

If not, why not?

.....

.....

.....

7. Between [ADD ACCOUNTING PERIOD], have you and your family been on holiday to your country/community of origin? ☐

If yes, how many trips home have you had between [ADD ACCOUNTING PERIOD]?

.....

.....

.....

Please provide information on each trip home:

Trip 1

a. Where did you go (city/town/region/community)?

.....

b. How many people from your household visited?

.....

c. How many days did you go for?

.....

d. How much money did you spend whilst you were on that trip whilst in the country in total?

.....

Trip 2

a. Where did you go (city/town/region/community)?

.....

b. How many people from your household visited?

.....

c. How many days did you go for?

.....

d. How much money did you spend whilst you were on that trip whilst in the country in total?

.....

8. Between [ADD ACCOUNTING PERIOD], did you donate money to your country/community of origin? ☐

If yes,

	Yes / No	How much did you donate between – ENTER accounting date)	Where did you donate (city, town, region, community)?
• To friends and family (remittances)	<input type="checkbox"/>		
• To charities and associations in my home country	<input type="checkbox"/>		
• To a charity, foundation, association registered in my country of residence to support livelihoods back home?	<input type="checkbox"/>		

If not, why not?

.....

.....

.....



Sample Survey: The Commonwealth Investment Survey (adapted to Ghana)

TOOL 12

This survey represents one option that countries can adapt to their contexts. The tool presents some background to the survey and provides the survey questions for the Ghana Commonwealth Investment Survey.

Though currently it is only used to survey countries belonging to the Commonwealth, additional countries can be surveyed by using this survey as a basis for any surveys you may want to administer to your diaspora.

Background

In 2017 and 2018 the Commonwealth Secretariat conducted a survey to “Understand the Investment Potential of the Commonwealth Diaspora” for a number of commonwealth countries. If continued this has the potential to become a comprehensive database on diaspora investment, similar to the World Bank’s Global Financial Inclusion Index, building a comparable standard over time and countries.

Areas covered in the survey are:

- 1.** Current practices and motivations – What the diaspora are currently providing in terms of home country financial support, the instruments they use, the amount and reasons for doing so;
- 2.** Obstacles to savings and Investments – Obstacles the diaspora see/foresee from their home country government, financial system, business environment and anywhere else;
- 3.** Addressing obstacles and other incentive mechanisms – Diaspora priority investment obstacles to address and their motivations to save and invest at home;
- 4.** Preferences for future saving and investment – Diaspora interest in saving and investing in their home country and the amount, sectors of investment interest, preferences on financial returns and length of investment and interest in other home country initiatives, e.g. poverty reduction and environmental sustainability.

Tool

Survey Questions for the Ghana Commonwealth Investment Survey

1. How are you connected with Ghana?

- | | |
|--|---|
| <input type="checkbox"/> I was born there | <input type="checkbox"/> One or both of my grandparents were born there |
| <input type="checkbox"/> One or both of my parents were born there | <input type="checkbox"/> One or both of my great grandparents were born there |

2. Are you a dual national?

- ☐ Yes
☐ No

3. Would you like to become a dual national?

- ☐ Yes
☐ No

4. What is your country of residence?

5. In what year did you arrive in your country of residence to live (and not to visit for a holiday)?

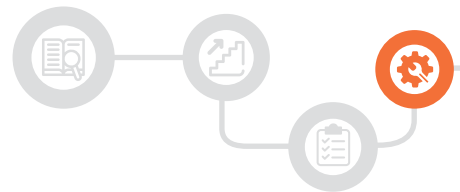
- | | |
|---|---------------------------------|
| <input type="radio"/> I was born in my country of residence | <input type="radio"/> 1981-1990 |
| <input type="radio"/> 1921-1930 | <input type="radio"/> 1991-2000 |
| <input type="radio"/> 1931-1940 | <input type="radio"/> 2001-2010 |
| <input type="radio"/> 1951-1960 | <input type="radio"/> 2011-2014 |
| <input type="radio"/> 1961-1970 | <input type="radio"/> 2015-2018 |
| <input type="radio"/> 1971-1980 | |

6. Which of the following best describes your current status?

- | | |
|--|----------------------------------|
| <input type="radio"/> Business Owner | <input type="radio"/> Unemployed |
| <input type="radio"/> Employed in a professional role | <input type="radio"/> Student |
| <input type="radio"/> Employed in a semi-skilled or unskilled work | <input type="radio"/> Retired |

7. What was your total business turnover in the last financial year?

- | | |
|--|--|
| <input type="radio"/> Up to £50,000 | <input type="radio"/> £1.1 million to £5 million |
| <input type="radio"/> £50,001 to £100,000 | <input type="radio"/> £5 millions or more |
| <input type="radio"/> £100,001 to £500,000 | <input type="radio"/> Prefer not to answer |
| <input type="radio"/> £500,001 to £1 million | |



8. Which of the following best describes your company sector?

- | | |
|---|--|
| <input type="radio"/> Agriculture, forestry & fishing | <input type="radio"/> Finance & insurance |
| <input type="radio"/> Production | <input type="radio"/> Property/real estate |
| <input type="radio"/> Construction | <input type="radio"/> Professional, scientific & technical |
| <input type="radio"/> Motor trades | <input type="radio"/> Business administration & support services |
| <input type="radio"/> Wholesale | <input type="radio"/> Public administration & defence |
| <input type="radio"/> Retail | <input type="radio"/> Education |
| <input type="radio"/> Transport & storage (inc. postal) | <input type="radio"/> Health |
| <input type="radio"/> Accommodation & food services | <input type="radio"/> Arts, entertainment & recreation |
| <input type="radio"/> Information, communication & technology | <input type="radio"/> Not applicable/not sure |

9. How have you supported Ghana in the last year?

- | | |
|---|---|
| <input type="checkbox"/> Sent money to family/friends | <input type="checkbox"/> Financial donations to charities or religious groups |
| <input type="checkbox"/> Donations in kind (clothes, household items etc.) for family, charity or disaster relief | <input type="checkbox"/> None |

Other (please specify)

10. Why do you send money to Ghana?

- | | |
|---|--|
| <input type="checkbox"/> To improve my financial circumstances | <input type="checkbox"/> To gain political influence in this country |
| <input type="checkbox"/> For my retirement/resettlement in this country | <input type="checkbox"/> To invest in this country's economic and social development |
| <input type="checkbox"/> For a sense of duty and personal pride | <input type="checkbox"/> To benefit my family/friends |

Other (please specify)

11. What savings or investments do you currently hold in Ghana?

- | | |
|--|---|
| <input type="checkbox"/> I own a business or have one with a partner | <input type="checkbox"/> I have stocks and shares in the stock market |
| <input type="checkbox"/> I have invested in government bonds | <input type="checkbox"/> I have savings/deposit accounts |
| <input type="checkbox"/> I have insurance products (e.g. for health, life) | <input type="checkbox"/> None |
| <input type="checkbox"/> I have pension products | |

Other (please specify)

12. How much money in total did you send to Ghana in the last year (includes support for others as well as for your own savings and investment)?

- | | |
|---------------------------------------|---|
| <input type="radio"/> £0-£2,499 | <input type="radio"/> £100,000-plus |
| <input type="radio"/> £2,500-£4,999 | <input type="radio"/> £100,000-£499,000 |
| <input type="radio"/> £5,000-£9,999 | <input type="radio"/> £500,000-£999,999 |
| <input type="radio"/> £10,000-£49,999 | <input type="radio"/> £1 million-£4.9 million |
| <input type="radio"/> £50,000-£99,999 | <input type="radio"/> £5 million or more |

13. Would you like to save/invest more in Ghana?

- | | |
|---------------------------|------------------------------|
| <input type="radio"/> Yes | <input type="radio"/> Unsure |
| <input type="radio"/> No | |

14. Would you be interested in?

- | | |
|---|--|
| <input type="checkbox"/> Setting up your own business or with a partner | <input type="checkbox"/> Investing in the stock market |
| <input type="checkbox"/> Government bonds | <input type="checkbox"/> Savings/deposit accounts |
| <input type="checkbox"/> Insurance products (e.g. for health, life) | <input type="checkbox"/> No preference/unsure |
| <input type="checkbox"/> Pension products | |

Other (please specify)

15. What size business are you interested in setting up?

- ☐ Small-medium enterprise
- ☐ Large
- ☐ No preference/unsure

16. What business environment factors prevent you from setting up a business in Ghana?

- | | |
|---|--|
| <input type="checkbox"/> Poor infrastructure (energy, telecommunications, water etc.) | <input type="checkbox"/> High transportation costs |
| <input type="checkbox"/> High cost of inputs (e.g. commercial machinery) | <input type="checkbox"/> Lack of skilled workers |
| <input type="checkbox"/> Insufficient reliable suppliers | <input type="checkbox"/> None of the above |

17. How much would you be able to save and invest in Ghana next year?

- | | |
|---------------------------------------|---|
| <input type="radio"/> £0-£2,499 | <input type="radio"/> £100,000-plus |
| <input type="radio"/> £2,500-£4,999 | <input type="radio"/> £100,000-£499,000 |
| <input type="radio"/> £5,000-£9,999 | <input type="radio"/> £500,000-£999,999 |
| <input type="radio"/> £10,000-£49,999 | <input type="radio"/> £1 million-£4.9 million |
| <input type="radio"/> £50,000-£99,999 | <input type="radio"/> £5 million or more |

Other sample diaspora surveys

TOOL 13

There are a variety of other diaspora surveys beyond the Commonwealth Investment Survey that you may find useful as reference or starting points when building your own surveys. Some example surveys are listed in this tool.

1. World Bank's Greenback 2.0 Project

Project Greenback 2.0 aimed to “improve retail payments and the efficiency of remittance flows into several countries”²⁸ by “identifying Remittances Champion Cities or territories, where a series of measures are implemented to foster the development of a sound remittances market”.²⁹ As part of the project, a survey was adapted by several cities and countries to gather data on remittances and other economic contributions from their diasporas (e.g. Turin, Italy; Gradačac, Bosnia and Herzegovina, and territories in Malaysia and Albania).

Thus, the strong local aspect of this project ensures that diaspora's connections to their home and host communities is captured, which is highly important, as many members of the diaspora often contribute more often to their local communities rather than the country at large. This survey can be adapted to other local contexts but also national-level surveys, and can also be useful for understanding how surveys can be operationalized in concert with focus group discussions, interviews with commercial financial institutions, and other forms of qualitative data collection.

2. World Bank's Sierra Leone Diaspora Investment and Trade Study

On February 5, 2016, the World Bank launched a global online survey for Sierra Leone Diaspora on the challenges and opportunities to investing in Sierra Leone, post-Ebola. This survey questionnaire could be particularly useful for adaption by countries that have experienced crisis (economically, socially, environmentally) and those that have been particularly hard-hit by the COVID-19 pandemic.

²⁸ For more information, visit www.eda.admin.ch/countries/albania/sq/home/aktualitete/lajmet.html/content/countries/albania/en/meta/news/embassy/2018/project-greenback.

²⁹ For more information, visit https://remittanceprices.worldbank.org/sites/default/files/project_greenback-web_engl.pdf.

3. World Bank's Africans in the Diaspora Survey

The World Bank is conducting a study on the role of Africans in the Diaspora using the above questionnaire administered on SurveyMonkey. The objective of this survey is to gather accurate data on the African Diaspora in the United States, focusing on career and location choices; social and cultural factors that influence these choices and networks and interaction with Africans at home and abroad. It can be adapted to survey the African diaspora in other countries or can be used as a basis for other surveys to understand the whole variety of contributions diaspora members bring, including not only economic but also social and cultural.

4. George Washington University's African Diaspora Market Place Survey

This initial survey is the first step in a larger study that is being conducted by the George Washington University's Diaspora Capital Investment Project on the African Diaspora Marketplace. This three-year longitudinal study aimed to illuminate the unique challenges and opportunities faced by diaspora entrepreneurs in the early phases of their business development. The study consisted of quantitative tracking surveys as well as qualitative in-depth case studies of a subsample of participants. This survey can be particularly useful for countries looking to understand opportunities and challenges for their diaspora to capitalize on entrepreneurship opportunities.

