

MOPAN Assessment report

International Organization for Migration (IOM)

Annex A – Performance analysis

Annex B – List of Documents

Annex C – Partner survey

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Annex A – Performance analysis

IOM PERFORMANCE OVERVIEW

Strategic management

KPI 1: Organisational architecture and financial framework

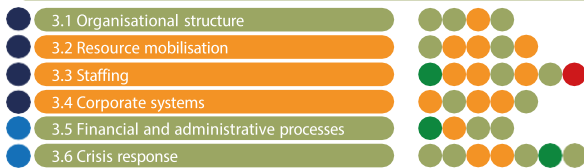


KPI 2: Cross-cutting issues

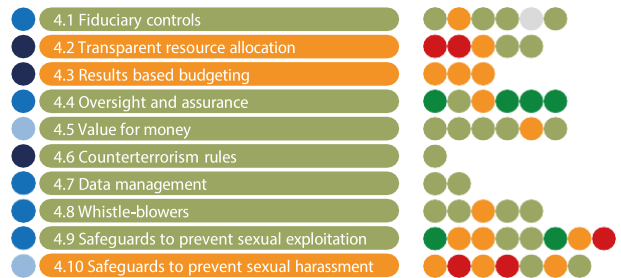


Operational management

KPI 3: Operating framework



KPI 4: Cost- and value-conscious systems

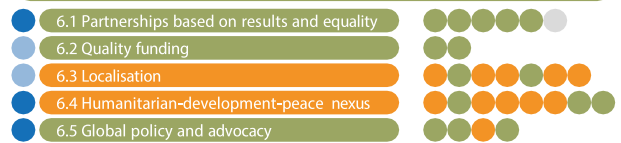


Relationship management

KPI 5: Relevance and agility



KPI 6: Coherent partnerships



Performance management

KPI 7: Results management



KPI 8: Evidence-based planning and programming



Results

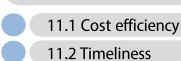
KPI 9: Achievement of results



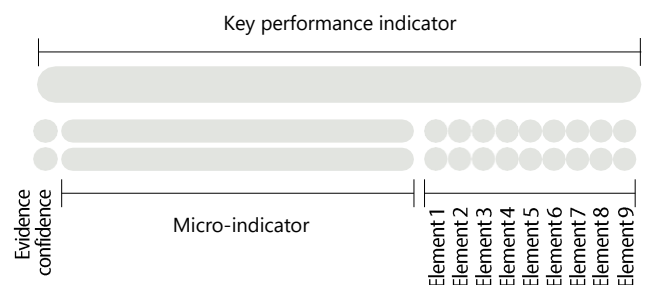
KPI 10: Relevance



KPI 11: Efficient delivery



KPI 12: Sustainability



Strategic Management

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.

KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results.	KPI score
Unsatisfactory	2.45
<p>The IOM Strategic Vision, accompanying regional strategies, and country annual workplans set clear corporate priorities against which activities are planned, with expected results set out in the Strategic Results Framework (SRF), which was developed in 2019, after the Strategic Vision was finalised. The Strategic Vision identifies IOM’s comparative advantages and its commitments to address global migration challenges, while the SRF with its associated regional and countries strategies captures the full breath of IOM’s work, with its attendant variance related to the wide variety of operational contexts, challenges and needs. IOM’s strategic planning process therefore allows significant latitude to country missions to set their own priorities which, because of the project-based nature of IOM’s budget structure, are guided by host government and donor preferences as well as by organisational priorities and competencies. Stakeholders do report a lack of clarity about IOM’s mission and objectives, given the wide diversity of activities it undertakes, which the Strategic Vision and related strategic planning and reporting tools under deployment should help address.</p> <p>IOM has undertaken major structural reforms at headquarters level in recent years, including to its leadership structure (with the creation of two Deputy Director-General positions) and reorganisation into 10 departments. Although there were some concerns about a lack of consultation around the reforms, they have helped align the organisation with the new Strategic Vision and have provided a clearer set of decision-making processes. IOM leadership has clear reporting lines to the IOM Council, although the Council was not closely engaged in the development of the Strategic Vision, the Strategic Vision was presented to Member States at the IOM Council and Member States were provided with the opportunity to comment on it. IOM is already a highly decentralised organization, and another round of structural reforms will need to align regional and country offices with headquarters.</p> <p>IOM’s financial framework remains project-based, reliant on voluntary contributions from donors. IOM has good relationships with its donors and is highly effective at securing project finance, owing to its ability to be agile, flexible and responsive to needs on the ground. However, this financing model makes it difficult to secure stable funding for core organisational structures and functions, especially given the rapidly expanding scale of IOM’s operations. These challenges were noted in the last MOPAN assessment and the situation has not changed significantly. In 2022, IOM secured from its members an increase to its assessed contribution (administrative budget) of USD 60 million over five years, which will be used to fund Chief of Mission and Resource Management Officer (RMO) posts, and some core functions at headquarters. These budget reforms will only start to have effect from 2023, which is outside the current assessment timeframe. According to interviewees, it will only marginally reduce IOM’s overall reliance on earmarked funding, from 97% to 93%. Given that IOM’s income is expected to reach USD 3 billion in 2023, and is likely to increase further still in the years to come, the proportion of IOM’s overall funding coming from the assessed contribution is unlikely to change, and is therefore not keeping pace with the growth of the organisation. While IOM has been able to find resources to develop parts of its core structure, there remain gaps that are challenging to fund, presenting significant risks for the organisation. The organisation’s unearmarked resources are not primarily used</p>	

for operational purposes, and the organisation has limited reserve funding to allocate to underfunded operational priorities or neglected crises.

MI 1.1 Strategic plan is based on clear comparative advantage and addresses global commitments and need in the crises of today and tomorrow	Score
Overall MI rating	Satisfactory
Overall MI score	2.60
Element 1: A publicly available people-centred strategic plan (or equivalent) focuses on global commitments and addressing, with a view to ending, humanitarian need in the crises of today, and preventing (where appropriate) and anticipating the crises of tomorrow, and is aligned with humanitarian principles and International Humanitarian Law.	3
Element 2: The strategic vision is based on a clear analysis and articulation of comparative advantage including how the organisation fits into the international humanitarian and crisis response system.	2
Element 3: The strategic vision is accompanied by an operational plan that identifies intended results, and assigns clear responsibility for their achievement.	3
Element 4: The strategic vision is prioritized against a realistic assessment of available resources.	2
Element 5: Strategic vision and operating framework are regularly reviewed and revised as needed to ensure continued relevance, paying attention to emerging and escalating crisis risks	3
MI 1.1 Analysis	Evidence documents
<p>1.1.1 IOM has a publicly available strategic plan that focuses on its global commitments to addressing migration and humanitarian crises.</p> <p>IOM's Strategic Vision 2019 – 2023, is publicly available and sets out the strategic direction of the organisation in line with its global commitments, including the Global Compact on Migration, the 2030 Sustainable Development Agenda and other related commitments. It outlines current migration challenges and how IOM can be better prepared to address these, under three strategic goals and priorities. It is people-centred and puts migrants at the centre of approach. The Strategic Vision is a high-level statement of intention, rather than a plan with detailed activities for achieving IOM's strategic goals. However, IOM's nine regional offices have each developed regional and sub-regional strategies, and each country mission also develops an annual plan. Several stakeholders noted gaps in the Strategic Vision, stating that it did not address certain aspects of IOM's work in sufficient detail. In particular, the Strategic Vision does not reflect IOM's important role in the provision of emergency humanitarian response, and there is no mention of humanitarian principles or international humanitarian law in the document.</p>	1, 3, 4, 9, 32, 84, 86, 90, 106, 152, 196, 199, 207, 318, 319, 321, 327, 328, 339, 350, 351, 422, 432
<p>1.1.2 IOM's Strategic Vision clearly articulates the core mandate of the organisation in addressing migration challenges, but there is still significant latitude in how this mandate is interpreted by country missions, given the project-led nature of the organisation.</p> <p>The Strategic Vision has brought greater coherence to IOM's operations, according to the stakeholders consulted. The organization's comparative advantage as the UN's migration agency has been further strengthened since IOM joined the UN system as the UN's migration agency in 2016. The Global Compact on Migration provides an important normative framework to orient its work. The majority of IOM's assistance is humanitarian, at 57% of the 2021 budget, and the organisation is engaged in the work of the Inter-Agency Standing Committee (IASC) and the broader crisis-response system. In addition to its humanitarian role, the organization</p>	

is also a member of the Core Group of the UN Sustainable Development Group, and one of the top ten members of the UN Development System, becoming the ninth largest United Nations entity in terms of its 2021 expenditure on development assistance. IOM has outlined its contribution to the 2030 Sustainable Development Agenda in its Migration and Sustainable Development Strategy and is contributing to the development agenda through its work with migrants, for which specific guidance has been developed. IOM is also the largest recipient of UN Peacebuilding Fund grants (the second largest in 2021). The Strategic Vision articulates IOM's role within the humanitarian-development-peace nexus, and accompanying strategies and guidance documents further articulate this. Likewise, the Humanitarian-Development-Peace Nexus is one of the cross-cutting priorities in the SRF.

External partners define IOM's comparative advantage in terms of its responsiveness, flexibility and effectiveness in responding to crises. Its project-based financial framework enables it to be responsive and adaptive, and has provided significant latitude to country missions to determine what kinds of activities to take on, influenced both by host government and donor concerns and priorities (increasingly embedded in UN Country Team [UNCT] planning architecture such as the Common Country Assessment and the UN Sustainable Development Cooperation Framework [UNSDCF]), as well as by the organizational priorities set out in the Strategic Vision. Of course, this flexibility makes it more challenging for IOM to define a clear-cut mandate and related comparative advantages. Staff surveys suggest that, while most staff believe that they have a clear understanding of the organization's mission and goals, many are less familiar with its strategies.

1.1.3 IOM has operational plans at various levels, and has introduced ways to measure results, although consolidating these remains challenging.

The IOM Strategic Vision is accompanied by thematic, regional and subregional (and occasionally national) strategies and country mission annual plans. IOM has developed a Strategic Results Framework (SRF) that identifies the organization's global objectives and sets out short- and long-term intended outcomes, although these are not quantified. Guidance specifies how Regional and Country Offices should align their strategies with the Strategic Vision and the Strategic Results Framework, with adjustment for local contexts, and contribute to aggregate results reporting. This enables the organisation to generate aggregate results data against the outcome areas in the Strategic Results Framework. An Internal Governance Framework (IGF) complements the Strategic Vision, with a workplan detailing planned reforms to strengthen IOM's oversight, management and internal systems, which is managed by an IGF Steering Committee. Some stakeholders were of the view that the Strategic Vision and IGF could be consolidated into a single strategic plan, as it was unhelpful to have two planning documents. Notwithstanding IOM's operational plan, the project-based nature of the organisation means that operational priorities are driven by host government and local donor concerns and requests, as well as by corporate results targets. This feature of IOM's operating model also makes it challenging to assign clear responsibilities across the organization for the delivery of results.

1.1.4 IOM's budget has increased significantly in recent years, but it has limited ability to allocate resources as required to achieve its Strategic Vision.

IOM's expenditure has grown rapidly in recent years, from USD 2 095 493 649 in 2019 to USD 2 532 100 080 in 2021, as the organization has scaled up its response to major humanitarian crises around the world. The scale of its operations is determined by the availability of voluntary contributions from donors, given limited amounts of core funding. IOM fundraises against its strategic priorities (Strategic Vision/SRF) upon which donors/governments allocate earmarked funding. Remaining, and/or unearmarked funding, then is allocated towards (often underfunded) strategic objectives or to strengthen core structures. While the IOM Strategic

Vision sets out clear strategic goals and priorities, these are framed broadly, and there is no clear process for allocation of these remaining/unearmarked resources towards strategic objectives. IOM country offices are given significant latitude to determine the balance of their activities, in response to the priorities of host government, interest of local donors and IOM strategies and competencies. While this flexible financial framework has made IOM extremely responsive and allowed it to grow rapidly, it comes with certain risks to organisational coherence, if the core functions of the organisation are not able to keep pace with the growth in its operations. IOM's Strategic Results Framework provides a roadmap for implementation of the Strategic Vision, with four overarching global objectives: Migration Governance, Humanitarian Assistance and Protection, Human Mobility and Resilience, and Empowerment. The SRF also tracks six sets of cross-cutting indicators, and five sets of indicators tracking expected outputs on Organizational Effectiveness and Efficiency (OEE). These include Resource Mobilization, measured by total revenue, source, type, expenses by UN function, percentage of multi-year funding committed, percentage of private sector partners, and transfers to implementing partners. The OEE framework has only recently become fully operative.

1.1.5 IOM has procedures for regularly reviewing the implementation of its Strategic Vision and operating framework, which allows it to adapt to emerging and escalating crisis risks.

A mid-term assessment is being undertaken of the IOM Strategic Vision, and consultations are planned around the next Strategic Vision, which will start in 2024. Implementation of the IGF is also monitored regularly, with 57 of the 73 work items assessed as already complete. Consideration is now being given to an IGF 2.0. The annual planning process of IOM means that implementation of the Strategic Vision can regularly be adjusted to the evolving operational context. For example, IOM was quick to adapt its activities to the COVID-19 pandemic by adjusting its support for migrants as borders closed, including vaccination programmes for migrants excluded from national campaigns. While the limited amount of core funding is a constraint on IOM's ability to adapt to emerging and escalating crisis, this is offset by IOM's ability to mobilise resources rapidly from donors in response to new crises. IOM also develops IOM Appeals and Crisis Response Plans for each emergency that it responds to, which helps ensure a relevant response to each crisis, as well as active participation in inter-agency planning processes. IOM's Crisis Response Plans, as part of the Global Crisis Response Platform, not only show IOM's planned interventions in each major emergency, but also how much funding has been received, and who the donors are.

MI 1.1 Evidence Confidence

High confidence

MI 1.2 Organisational structure and governance arrangements are set up to deliver on the strategic plan	Score
Overall MI rating	Satisfactory
Overall MI score	2.75
Element 1: Organisational architecture is aligned to the strategic vision, promotes and incentivizes strong co-operation across the organisation, including field-regional-headquarters, and across thematic areas.	2
Element 2: Governance structures provide adequate oversight and do not allow for abuse of power at any level.	3
Element 3: Internal oversight capacity is right-sized – focused on ensuring good governance and the delivery of effective and efficient results, and avoiding disincentives that may cause harm either to the operating context, to the programme, or to the organisation	3
Element 4: Organisational structure provides flexibility for adaptation as contexts and risks evolve	3

MI 1.2 Analysis	Evidence documents
<p>1.2.1 IOM has undertaken a restructuring of its headquarters to align its organisational architecture with its new Strategic Vision, but these have not yet been fully replicated at the regional and country levels.</p> <p>Since 2019, IOM has embarked on significant organizational restructuring to align its institutional structure to its new Strategic Vision, as well as its global commitments as part of the UN system. At the leadership level, two new Deputy Director-General (DDG) positions (appointed, rather than elected, replacing the previously single Deputy Director-General) were created in January 2022 for two pillars of work: Management and Reform, and Operations. A Strategic Leadership team was created comprising the Director-General (DG), the two new DDGs and the Chief of Staff. Following an organisational review at headquarters, 10 new departments were created in 2022, building on and rationalising existing structures. A new Department of Strategic Planning and Organizational Performance (DPP) was established to consolidate IOM’s efforts to strengthen planning and reporting across the organisation and better integrate strategic planning into IOM’s operations. This headquarter-level restructuring has helped rationalise and strengthen the focus on strategic priorities, at both operational and managerial levels. Several new departments were created to align with organization priorities (see below). Most stakeholders welcomed the organisational reforms and considered them to be aligned with IOM’s Strategic Vision.</p> <p>However, several noted that there had been limited consultations around the new organisational design, and that the changes were poorly communicated across the organisation. The wisdom of some organisational changes was also questioned, especially the dismantling of the emergency response structures. These organisational changes have so far only been at headquarters level. While several country and regional offices reported adjusting their structures to replicate those at headquarters, this has not yet happened across the field network. Regional and country-level restructuring is planned in a second phase of reforms. Nevertheless, the introduction of the Strategic Vision and organisational restructuring were reported as having enhanced collaboration across the organisation and its field network.</p> <p>1.2.2 IOM’s Council provides an external governance function, but IOM could ensure more transparent and consultative engagement with its members.</p> <p>IOM’s Council oversees the organisation’s leadership and strategic direction. It has committees on policy and finance, and the Director-General reports annually to the Council, as do other parts of the organisation on their areas of responsibility. Stakeholders were of the view that the IOM Council could be more involved in determining the strategic direction of the organization and that it did not play a significant role, for example, in developing the Strategic Vision, which was adopted with limited consultations with member states. There were some requests for IOM to be more transparent with the Council about key developments within the organisation, and to allow members more time to provide inputs into key internal processes. Nonetheless, IOM’s reporting to the Council was considered sufficient to allow for effective oversight. Internal documents suggests that complaints linked to abuse of power (e.g. fraud/corruption and harassment) are being detected and addressed, and in a 2021 global staff survey, 65% of staff reported that IOM takes appropriate action in response to such allegations – an increase of 7 percentage points on the 2019 result.</p> <p>1.2.3 IOM has taken significant steps to strengthen its internal governance and oversight capacity, with the goal of putting in place required controls while also facilitating operations.</p> <p>The Strategic Vision states that ‘IOM has outgrown its governance architecture’, and that the Internal Governance Framework (IGF) was established as a new internal governance system. An IGF Board and Steering Committee (chaired by the DDG Management and Reform) were</p>	<p>1, 4, 5, 14, 85, 87, 88, 89, 90, 91, 149, 161, 322, 323, 324, 393, 394</p>

established to oversee implementation of the IGF, which has included strengthening the oversight function and investigation capacity (see below). The IGF is based on a three-tiered system of controls (the Three Lines model endorsed by UN Chief Executive Board [CEB]), with many of the workstreams aimed at strengthening oversight. A full 30% of unearmarked funding (MIRAC) has been allocated to the implementation of the IGF, while key positions related to oversight have been included in the administrative budget. In particular, the Department of Strategic Planning and Organizational Performance (DPP) was established, including a Compliance Unit, while the Office of the Inspector General (OIG) and number of investigators have been expanded. However, the Department of Legal Affairs (DLA) remains understaffed as compared to the growth of the organization and with staff not on assured contracts commensurate to their role in the organization. The IGF has proved to be an innovative model for ensuring a holistic and integrated approach to internal governance, oversight and delivery. However, it remains to be seen whether the investments made in these core functions will be able to keep pace with the rapid growth of the organisation and ensure the requisite levels of controls.

1.2.4 IOM has a flexible organizational structure that can adapt to emerging crisis and contextual changes.

According to its internal procedures, IOM establishes a working group to oversee its operations in all new emergencies, under the direction of the DDG Operations to ensure linkages across the organisation. Country offices have the flexibility to adapt their structure and staffing to evolving operational needs. Despite not having core resources to allocate to new and emerging crises, IOM has been particularly successful at attracting donor funds under such circumstances and adapting its structures accordingly. A long-term presence in several countries has facilitate the rapid scaling up operations, when required. The strengthening of the regional offices has also allowed them to support smaller country operations when they face a rapid change in their operating environment and develop regional approaches to crises affecting several countries. Nevertheless, small country missions that are unable to attract sufficient project-based donor contributions have found it challenging to sustain and adapt their structures, in the absence core funding.

MI 1.2 Evidence confidence

High confidence

MI 1.3: Financial framework supports mandate	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.00
Element 1: A single integrated budgetary framework brings together core-funded priorities and programming under earmarks, ensures transparency, and has clear needs-based criteria for core funding allocations	2
Element 2: The organisation is financially stable – based on liquidity, level and diversity of funding sources, core vs earmarked funding ratio, asset and inventory management, surplus/deficit, financial reporting (internal and external), and financial risk management.	3
Element 3: Financing provisions are in place for anticipatory actions and for contingencies arising from sudden onset and emerging crisis situations, including concurrent large-scale crises.	1
MI 1.3 Analysis	Evidence documents
1.3.1 IOM has a single, integrated budgetary framework, but limited scope to allocate funding based on needs-based criteria because of the heavily earmarked nature of its funds. IOM has a single Programme Budget, which is mapped against the priorities in the Strategic Vision, Strategic Results Framework, and other planning documents. It covers all funding streams, including IOM's assessed contribution from member states, its overhead costs (Operational Support Income [OSI]), earmarked funding, and unearmarked funds). Through the	

yearly budget process, the structure of the budget is regularly reviewed to ensure that it is effective and adequately funded. The assessed contributions (Administrative Part of the Budget) and OSI are used to fund the core structure of the organization, and not for operations. Unearmarked funding is primarily used for institutional strengthening and to address areas of work that are not usually funded through tightly earmarked contributions (policy capacity, internal governance, and reforms, etc). The Migration Resource Allocation Committee (MIRAC), established in 2017, reviews unearmarked contributions and recommends to the Director-General how they should be allocated towards strategic priorities (e.g. advocacy and influencing functions) and organisation development priorities under the IGF.

Despite an integrated budgetary framework, IOM faces two major constraints in aligning its budget with its mandate and strategic objectives. First, it does not have enough unearmarked resources to be able to plan a systematic approach to the delivery of its mandate as a global migration organisation, or to develop its core organisational capacities in line with the rapidly growing scale of its operations. Secondly, it has limited reserve funding to allocate to urgent needs, or for neglected and underfunded areas of its work, both of which rely on unpredictable, project-based funding from donors at country level.

In our survey, just 45% of respondents (and, importantly, less than 20% of donor respondents) agreed with the proposition that “IOM’s financial framework supports the effective implementation of the mandate and strategy.”

4, 6, 7, 8, 11, 12,
13, 14, 16, 17, 18,
90, 106, 125, 149,
159, 161, 209, 412,
422, 336, 337, 368,
393, 422, 432

1.3.2 IOM’s income has grown significantly but, despite considerable effort to change its budget structure, it remains heavily dependent on earmarked funding, with limited diversification of funding sources.

IOM’s total income has grown from USD 2.1 billion in 2019 to USD 2.5 billion in 2021. In 2022, 15 bilateral donors provided unearmarked funding, including MOPAN members: Sweden, UK, USA, Denmark, Norway, Netherlands, France, Ireland, Belgium, Switzerland, and Republic of Korea. Unearmarked funding has grown from USD 28.5 million in 2019 to USD 38.8 million in 2021 but remains a small fraction of the total. In 2022, 98% of financial contributions to IOM are earmarked. As noted in the last MOPAN assessment, the limited amount of core unearmarked funding remains a significant impediment to the organisation’s ability to deliver its mandate and invest in its core functions. IOM has raised this concern with council members and donors. In 2022, the IOM Working Group on Budget Reform presented a document entitled Investing in IOM’s Core Structure: Funding Options for Consideration, which stated that IOM’s funding model is a risk for the organization, inhibiting it from fulfilling its mandate or strategic objectives. Despite investments in several areas, IOM’s core structure is outdated and does not cover crucial functions that are needed to properly manage its rapid growth. In 2022, IOM secured from its members an increase of USD 60 million over five years to its assessed contribution (administrative budget), which will be used to fund Chiefs of Mission (COMs) and Resource Manager Officers (RMOs), as well as other core functions at headquarters. However, these changes are only just beginning to take effect in 2023 and are therefore outside the scope of the current assessment. In addition, if IOM’s overall budget continues to grow at such a high rate, the proportion of income from assessed contributions is unlikely to change. Despite some initial increases to IOM’s unearmarked funding (MIRAC), the proportion of this within IOM’s overall income has not changed. In short, despite its efforts, IOM has not succeeded in diversifying its funding sources. This makes it very challenging for the organization to be directed by its strategic priorities, as compared to short-term donor interests.

1.3.3 IOM’s financial framework provides minimal reserve funding for emergency response to sudden onset and emerging crises and makes anticipatory action extremely difficult.

IOM has an Emergency Preparedness Account which is used in emergency situations when there is a need for immediate operational expenditure, together with a Migration Emergency Funding Mechanism (MEFM) down. These mechanisms are intended to support the rapid launch of emergency responses. They also allow COs to maintain staffing through gaps in

project finance, to avoid the cost, delays and disruptions of staff dismissal and re-hiring. IOM also has a MEFM, established in 2011 to bridge the gap between the start-up of emergency operations and the subsequent receipt of donor funding. The Mechanism is funded from voluntary contributions on as broad a basis as possible, including from Member States, the private sector and individuals, and any interest income accrued is retained within the Mechanism. The Director-General is authorized to expend funds from the Mechanism to ensure a rapid response to an emergency involving migration. The Mechanism is replenished upon receipt of donor contributions, within the limits of funds allocated for the emergency in question. The balance has been relatively stable through the review period, at USD 2.2 million in 2019 and USD 2.1 million in 2021.

These mechanisms have enabled IOM to respond to various crises, including the COVID-19 pandemic. They also allow country offices to maintain staffing through gaps in project finance, to avoid the cost, delays and disruptions of staff dismissal and re-hiring. However, the Emergency Funding Mechanism has never reached the intended balance of USD 30 million and has only ever been able to provide small contributions to help start up new operations. The lack of reserve funding has been offset by IOM's success in mobilising project funding rapidly from donors and the Central Emergency Response Fund (CERF) and has therefore not significantly undermined the organisation's responsiveness. However, it has left IOM with limited ability to manage the amounts of funding going to different crisis, obliging it to 'follow the money' by direct the bulk of its efforts toward the best resourced emergency responses. IOM has been involved in inter-agency discussions led by the UN OCHA on anticipatory action but has limited scope to allocate funding in advance of a crisis.

MI 1.3 Evidence confidence

High confidence

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels.

KPI score

Satisfactory

2.65

le humanitarian issues are not well addressed in IOM's Strategic Vision, the organisation is committed to respecting humanitarian principles through its Migration Crisis Operational Framework (MCOF), its Humanitarian Policy (2015) and other policies. As a key Inter-Agency Standing Committee (IASC) agency in crisis response, it engages in regular operational dialogue on how to apply humanitarian principles in challenging contexts. It does not have mandatory training on humanitarian principles, and interviews with staff suggests limited awareness on the principles within the organization. There are also no mechanisms for tracking their implementation. Nonetheless, a large majority of survey respondents (87%) agreed that IOM respects humanitarian principles.

While not a UN-mandated protection agency like other UN entities, IOM is a key protection actor in migrant settings. Its approach to protection has improved in recent years, with the most critical protection and human rights issues addressed through its work, but with no overall protection policy and with policy and capacity gaps in some key areas. A Protection Division was established in 2020 and is in the process of developing a new institutional approach, in line with its commitment to the IASC Protection Policy and subsequent reviews. A large majority of survey respondents (80%) agreed that IOM consistently places protection at the centre of its work.

IOM has a Gender Equality Policy from 2015 which is in the process of being updated, supported by a Gender and Diversity Unit to promote equality and inclusion. Gender analysis is mandatory in programme design, new programmes are screened for gender mainstreaming through the use of a Gender Marker, and results data is disaggregated by gender. However, a recent Knowledge Attitude and Perception (KAP) study revealed mixed levels of understanding about gender issues across staff and functional areas, and the quality of gender analysis and results data is mixed.

IOM has policy statements on both: 1) the cross-cutting area of environmental sustainability; and 2) the thematic area of migration, environment, climate change and disaster risk reduction, but there is limited evidence of their systematic application. Related to the migration, environment and climate and disaster risk reduction strategy, while IOM has USD 980 million in programming on environmental migration and risk reduction, the project-based nature of its operations gives it limited capacity to pursue the climate, environment and migration nexus systematically across its portfolio. Related to policy commitments made on environmental sustainability, the organisation has, however, made good progress on the greening of its own operations, including the systematic reporting on its environmental performance since 2017 in the UN Greening the Blue report. This is also evidenced by the continuously improving environmental governance scoring given by the UN Greening the Blue (from not meeting to approaching Environmental Management System [EMS]) and IOM's continued commitment to climate neutrality since 2020.

MI 2.1 Appropriate safeguards are in place, and respected, to ensure the respect of humanitarian principles.	Score
Overall MI rating	Satisfactory
Overall MI score	2.50
Element 1: Humanitarian principles are explicitly referenced in strategic plans, job descriptions, programming documents, contingency plans and other relevant documents.	3
Element 2: Training programs are in place for all front-line staff on humanitarian principles	3
Element 3: Systems or spaces for dialogue and debate are in place to support decisions on applying humanitarian principles in practice, particularly in complex dilemmas	2
Element 4: Mechanisms are in place to regularly track the implementation of humanitarian principles and International Humanitarian Law in all aspects of the MO's work in crises, to reflect and learn, and to implement course corrections when required.	2
MI 2.1 Analysis	Evidence documents
<p>2.1.1 Humanitarian principles are explicitly referenced in IOM strategic planning, policy and programme guidance document although not prominently.</p> <p>IOM's commitment to humanitarian principles is set out in the organisation's Humanitarian Policy, which dates from 2015. The Policy contains a section on humanitarian principles and outlines how the organisation should ensure these are respected in operations and embedded in contingency plans, humanitarian appeals, and regional and country strategies. Many of IOM's Crisis Response Plans make reference to humanitarian principles, while project proposals are required to demonstrate how the four core humanitarian principles are respected, given the operational context. IOM is actively involved in discussions at the Inter-Agency Standing Committee (IASC) across structures on principled responses. However, IOM's Strategic Vision does not explicitly refer to humanitarian principles and there has not been any recent high-level re-statement of the importance of humanitarian principles. However, in a multi-year effort that concluded in 2021, professional humanitarian certifications that were compliant with the International Organization for Standardization (ISO) were made available and promoted by IOM senior management for all key emergency staff.</p>	1, 2, 4, 111, 152, 185, 191, 190, 192, 205, 207, 330, 334, 456, 468
<p>2.1.2 IOM has training programs in place for all front-line staff on humanitarian principles, although these are not mandatory.</p> <p>Humanitarian principles are included in IOM's training materials, particularly training for senior leadership and junior humanitarian response officers on crisis response and protection training in humanitarian contexts, but these are not mandatory. There are optional, stand-alone modules available for frontline staff on humanitarian policy and humanitarian principles.</p>	
<p>2.1.3 There is limited awareness within IOM about how humanitarian principles should be applied in practice in complex operational contexts.</p> <p>IOM plays an active role in inter-agency discussions, including the IASC Principals meeting and the Emergency Directors Group, on how the humanitarian system should respond to complex</p>	

crises and the dilemmas they present. In 2019, it became a member of the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) to help IOM staff learn how to improve responses to humanitarian crises. According to IOM, an internal study was conducted to identify good practices on principled humanitarian access practices, although the assessment did not obtain a copy. Within the organisation, these same issues are discussed in task forces established for coordinating the response to specific crises, and at country level within relevant missions. Despite these formal processes, stakeholders report that there is limited space for dialogue and debate about the application of humanitarian principles within IOM's operations. In general, staff reported only limited awareness of humanitarian principles across the organisation, and that they are not ingrained in the organisational culture. We heard of a number of instances where IOM's commitment to humanitarian principles had been questioned, particularly around provision of support for potential involuntary return of migrants, although stakeholders took the view that IOM has become more careful over time on such matters. While it was beyond the scope of the assessment to conduct an in-depth assessment of IOM's compliance with humanitarian principles, the evidence suggests a need for measures to ensure their consistent application across the organization.

2.1.4 IOM has a system in place to develop capacity and support states in implementation of the international migration law.

The International Migration Law (IML) Unit, which now sits within the Department of Policy and Research, supports states and other stakeholders, as well as IOM in better knowledge and understanding of international legal standards governing migration. Upon request IML provides advice on and analysis of legal frameworks in the area of migration for States, IOM offices and headquarters departments. IML has established regular capacity development programs on International Migration Law and conducts training upon request for individual governments. IML conducts research on recent developments and contemporary understanding of international law in the area of migration for States, IOM Offices and other stakeholders. IML liaises with the UN special procedures, treaty bodies and other mechanisms on the matters of international law and migrants' rights. IML supports the Organization with Rights Based Approach to IOM Programming to ensure all IOM operations and programmes contribute to or mainstream rights of migrants. IML's database containing key international instruments on migration as well as jurisprudence is available for all interested stakeholders.

MI 2.1 Evidence confidence

Medium confidence

MI 2.2: There are systems and processes in place, and respected, to ensure that protection, including child protection, and human rights are at the centre of all operations.

Score

Overall MI rating

Satisfactory

Overall MI score

2.75

Element 1: Guidance, processes and/or other systems and checks are in place to ensure that the most critical protection and human rights concerns are addressed in a given context.

3

Element 2: Analysis of protection and human rights issues is part of MO standard needs and risk analyses.

Element 3: Guidance and good practice are in place on how to resolve protection and human rights dilemmas into operations

3

Element 4: Practical actions are in place to target and support the most vulnerable groups and individuals, and is sufficiently resourced

2

MI 2.2 Analysis

Evidence documents

2.2.1 IOM's approach to protection has evolved, so that the most critical protection and human right issues are addressed, but it lacks an overarching protection policy and has capacity gaps in some key areas.

4, 19, 62, 88, 138, 152, 188, 173, 195,

A 2022 IASC-commissioned independent review of the IASC Protection Policy recognised IOM for

its commitment to reducing risks across all its emergency operations. In 2020, it established a new Protection Division, which consolidated formerly separate protection units in the Departments of Emergencies and Migration Management, in recognition that IOM carries out protection activities in both humanitarian and development settings. By its own estimates, in August 2022 the organisation was implementing 250 projects with protection elements, with a combined budget of USD 440 million, which demonstrates the substantial scale of IOM's protection activities. The Protection Division remains relatively small in terms of staff, without expert advisors on key areas such as child protection. In recent years, IOM has developed several guidance documents related to its protection role, including Minimum Standards Governing the Mainstreaming of Protection In Resettlement Operations, a Handbook on Protection and Assistance for Migrants Vulnerable to Violence, Exploitation and Abuse, a Gender-based Violence Framework, and an Internal Guidance Note on the Inclusion of Protection Considerations when Planning and Implementing International Humanitarian Evacuations for Migrants Caught in Armed Conflict Settings. In 2021, IOM launched the 'Defining an Institutional Approach to Protection' (DIAP) initiative, to better define and institutionalise its protection role. Based on extensive consultations, a synthesis report was drafted in 2022 and a roadmap developed, outlining actions required to further develop IOM's role. This is still under consultation, for final approval with the Director-General (DG) and Member States. A significant normative gap for IOM, however, is the lack of an overall Protection Policy, to define its institutional role in this area. IOM's protection role is drawn from its Protection framework. A Protection Policy was presented to the IOM Council in 2015 but not adopted. However, there are a range of policies covering integrated and specialized protection, and it is anticipated that the DIAP initiative will eventually lead to the adoption of such a policy. A large majority of survey respondents (80%) agreed that IOM consistently places protection at the centre of its work.

196, 211, 231, 232, 233, 234, 265, 332, 333, 348, 351, 372, 373, 407

2.2.2 Analysis of protection and human rights issues is part of IOM's standard needs and risk analyses.

Protection and human rights issues are integral to IOM's diagnostic assessment and risks management tools, such as the Structural Factors Assessment Tools. Protection analysis is also part of related process such as conflict analysis, gender analysis, risk management, accountability to affected populations, etc., with appropriate guidance in place. Protection needs are included in the Displacement Tracking Matrix (DTM), which is a key inter-agency tool implemented by IOM for IDPs. IOM has mandatory processes in place for project development. Analysis of protection and human rights issues is an integral part of IOM's projects, as relevant, and in line with the guidance provided in the IOM Project Handbook (2017), and often also a requirement of funders. IOM's project information and management system (PRIMA) captures the way projects mainstream protection and rights-based approach to Programming into project development through a tagging system for cross-cutting themes, which are identified at a granular level (outcome and output level in projects' results matrix), enabling the extraction and visualization of information for all projects for further analysis. During the project development process, if protection and human rights issue are identified and addressed, the project design is forwarded to a Protection Regional Thematic specialist in the relevant regional office, for review.

2.2.3 IOM has guidance on how to resolve protection and human rights dilemmas in operations.

The Migration Crisis Operational Framework is the IOM's overall tool for addressing the mobility dimension of crisis. It includes several elements relevant to protection, human rights and humanitarian principles. There is also guidance available on specific protection issues in other documents, such as the IOM Handbook on Direct Assistance for Victims of Trafficking. IOM has also applied the UN Human Rights Due Diligence Policy in contexts such as Libya, conducting a human rights risk assessment before providing assistance to national security forces with a poor human rights record.

<p>2.2.4 IOM has commitments to target and support the most vulnerable groups, but a lack of financial resources and specialist capacities limit its ability to prioritise these concerns.</p> <p>IOM's procedures under the Migration Crisis Operational Framework facilitate the identification of vulnerable individuals with protection concerns. In 2022, a Gender and Diversity Unit was established, to promote gender equality and also address the needs of other vulnerable groups, such as persons with disabilities, older persons and LGBTIQ+. Notwithstanding its Gender Equality Policy and relevant protection guidance, IOM does not have a disability policy, strategy, or guidance, even though this is required under the UN Disability Strategy (UNDIS), nor does it have specialized technical capacity on issues such as child protection or LGBTIQ+. Nevertheless, IOM has been working on a Disability Inclusion Road Map, structured around the 16 indicators of the UNDIS, which aims to ensure IOM approaches diversity inclusion in a more strategic and cohesive manner. This Road Map has a whole-of-IOM approach, looking at both its programmatic work and institutional processes. IOM has opted not to or has been unable to allocate core funding to these areas, which remain heavily under-resourced.</p>	
<p>MI 2.2 Evidence confidence</p>	<p>High confidence</p>

<p>MI 2.3: Organisation is set up to deliver gender outcomes, including at global level.</p>	<p>Score</p>
<p>Overall MI rating</p>	<p>Satisfactory</p>
<p>Overall MI score</p>	<p>2.67</p>
<p>Element 1: Dedicated policy statement on gender equality and women's empowerment available and showing evidence of application, including on sexual and gender-based violence</p>	<p>3</p>
<p>Element 2: Gender indicators and targets including the IASC and OECD gender marker, and sex- and age-disaggregated data are fully integrated into the MO's strategic vision and corporate objectives, and systematically measured, from baselines to results</p>	<p>3</p>
<p>Element 3: An assessment of the gender context, including an overview of gender relationships and coping strategies of women, girls, men and boys is used to inform programme design</p>	<p>3</p>
<p>Element 4: Programming supports gender equality in participation, leadership and access to resources, and guards against unintended results</p>	<p>2</p>
<p>Element 5: Human, financial and training resources are available and used to address gender equality issues</p>	<p>2</p>
<p>Element 6: Gender balance and participation is taken into account across all aspects of the programming cycle, including a systemic approach to disaggregated data, and key gender stakeholders are systematically consulted and participate, including in feedback mechanisms</p>	<p>3</p>
<p>MI 2.3 Analysis</p>	<p>Evidence documents</p>
<p>2.3.1 IOM has a gender policy and gender-based violence framework, which is being applied.</p> <p>IOM has a dedicated policy statement on gender equality and women's empowerment, in the form of the Gender Equality Policy 2015-2019, which requires IOM to ensure gender mainstreaming and address gender-related gaps in programming, ensure that all IOM beneficiaries have the same opportunities regardless of their sex or gender, mitigate vulnerabilities to and threats of gender-based violence, and ensure equal access and better outcomes for all IOM beneficiaries. After COVID-19 pandemic-related delays, IOM is committed to updating its Gender Equality Policy in 2023, with a concept note for this process recently approved by the Executive Committee. Evidence of implementation of the Gender Equality Policy (GEP) can be seen through IOM's annual reports under the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (SWAP). There is also evidence of the GEP being applied in IOM programming guidance, as in the Health Border and Mobility Management Framework in 2021, which cites the GEP. In order</p>	<p>3, 4, 14, 30, 58, 84, 110, 123, 152, 173, 192, 199, 351, 388, 405, 412, 407, 441, 443, 469</p>

to strengthen gender components across IOM programming, all projects are required to assign a gender marker code based on minimum standards of integrating gender. The evaluations reviewed confirm that gender is mainstreamed in project design.

2.3.2 Gender indicators and targets are included in IOM results monitoring, but with mixed results.

The IOM Gender Equality Policy outlines the monitoring tools, such as gender markers, protection mainstreaming checklist and cluster standards, that are used to measure its implementation. The IOM Gender Marker is systematically used in project development to measure the extent to which gender equality has been considered and is an explicit objective of each project. IOM's Project Information and Management Application (PRIMA) captures how gender equality is mainstreamed or specifically addressed in projects by assigning a Gender Marker score to the entire project (and requesting the project developer to provide a justification when gender is not mainstreamed), by capturing gender mainstreaming as a cross cutting theme in the projects' results matrix at outcome and output level, and by enabling the disaggregation of numeric beneficiary indicators by specific gender-sensitive categories, in addition to the breakdown by sex and age. An evaluation was conducted on the extent to which it was used within the context of the IOM Development Fund, and a review was conducted on its use more broadly based on a representative sample of project proposals. Gender-sensitive indicators and targets have also been incorporated in the Strategic Results Framework to allow for regular measuring of progress. While projects are required to collect sex and age disaggregated data, this has been challenging to collect and consolidate at the corporate level, given variations in the quality of data collected at project level. Internal guidance exists for how IOM will use the Gender Markers in PRIMA and the Processes and Resources Integrated Systems Management (PRISM - IOM's current SAP-based Enterprise Resource Planning [ERP] system) to track projects that have mainstreamed gender, with targets to be achieved by 2024. The 2021 Review of GEP implementation found that IOM's gender-responsive performance management was only partially satisfactory, while its partnerships and knowledge sharing were satisfactory. In July 2022, IOM undertook a Knowledge Attitude and Performance (KAP) survey related to gender equality in the organization that showed that perceptions about the organisation's commitment gender equality varied by region and background of staff.

2.3.3 An assessment of the gender context, including an overview of gender relationships and coping strategies of women, girls, men and boys, is used to inform programme design, but the depth and quality is uneven.

The IOM Gender Equality Policy requires gender analysis to be undertaken during programme design and this is also outlined in the IOM Project Handbook. The IOM Gender Marker is used to assess the extent to which IOM projects effectively integrate gender and age considerations, so that assistance is sensitive to the different needs and capacities of women, girls, boys, and men, and persons with diverse sexual orientation, gender identity, gender expression and sex characteristics. It allows IOM to track the number and percentage of its projects and estimate related financial allocations that are designed to contribute to gender equality, and to monitor performance over time. The IOM Gender Marker also supports accountability to beneficiaries, as per internal and inter-agency commitments (IOM Gender Equality Policy, UN-SWAP and others), and is reflected in a dedicated PRIMA dashboard. The minimum standards for the IOM Gender Marker were developed based on the four key Gender Equality Measures from the IASC Gender and Age Marker. An IOM Gender Marker code is mandatory for all projects and project developers are responsible for entering it on PRIMA upon submitting their project document for endorsement. Project registration in PRIMA then supports resulting data aggregation and analysis on gender equality mainstreaming in the respective country and regional project portfolios. The IOM

Development Fund similarly provides briefings/training for relevant staff on gender mainstreaming, ensures that a gender needs assessment is conducted for each project, and requires projects to achieve the minimum rating under the gender marker before clearing them for funding. However, while gender analysis is clearly taking place as mandated, it appears to be uneven in depth and quality across the organisation.

2.3.4 While gender analysis is mandatory in programming, we lack evidence to assess whether they achieve gender equality in participation, leadership, and access to resources.

While IOM has processes in place to ensure that project designs are informed by gender analysis and meet minimum standards for gender mainstreaming, we were not able to find any evidence of systems to ensure gender equality in participation, leadership, and access to resources, and to guard against unintended results. While we have noted the application of tools such as the Gender Marker which seeks to implement minimum standards of gender mainstreaming across all IOM programming, we have not received evidence as to the end results of the application of the tool. We received feedback from IOM staff that the Gender Marker needs to be updated to go beyond project development to look at how it can be used for delivering better/good results.

2.3.5 Human, financial and training resources are available to support gender equality, but not at a level commensurate with IOM's policy commitments in this area.

Since the last MOPAN review, IOM established a new Gender and Diversity Coordination Unit. It has six members of staff, three are core funded, two are MIRAC funded and one from a diversity internship funding. As compared to the predecessor gender unit, the new unit now has responsibility for inclusion as a whole, as well as gender. It reports to the Deputy Director-General (Management and Reform), which helps to demonstrate the importance of gender and inclusion to the organisation. However, we received feedback to the effect that the unit is under-resourced, given the scale of IOM's operational needs, and there is no dedicated capacity outside of headquarters in terms of specialised gender and diversity expertise.

2.3.6 Gender balance and participation is taken into account across all aspects of the programming cycle, including a systemic approach to disaggregated data, but we were unable to find evidence on the extent to which women are systematically consulted and participate, including in feedback mechanisms.

There is extensive guidance for gender balance and participation for IOM programming. In the Project Handbook, it is stated that "IOM also aims to have a workforce that is balanced in terms of gender and geographic representation. Project Managers should refer to the IOM Gender Equality Policy 2015–2019, IN/233: Recruitment for Graded Positions and to MA/60: GIC Guidelines on Implementing IOM Staffing Policy on Gender Issues for guidance on how to contribute to gender balance at the project, unit, country, regional and/or global levels." The Handbook also covers a series of key issues of Gender Mainstreaming, including gender-balanced participation in project activities, inclusion of gender-sensitive indicators, and ensuring that each new project design contributes to the advancement of gender equality. The Project Handbook emphasises the importance of collecting and addressing feedback and complaints (as per Principle II.14). Collecting feedback and following up is listed as part of the recommended Communication Plan, as well as for the pre- and post-training assessments, and for general management of human resources. Complaints and Feedback mechanisms of IOM across missions include the online platform Community Response Map and Camp Coordination and Camp Management's (CCCM) Site Manager, which strengthen participation and facilitate monitoring and visual mapping of feedback and complaints from beneficiaries and affected communities, with data disaggregated by gender and, in some contexts, by age group. Finally, the Community Response Map is an IOM online platform that supports and

<p>facilitates monitoring and visual mapping of feedback and/or complaints from targeted beneficiaries or communities, particularly on these key aspects of gender balance and participation. Evidence from the evaluation confirms that many IOM projects include specific interventions to support women, especially vulnerable women, and that results data is routinely gender disaggregated, but some also call into question the quality and depth of IOM's gender-related outcomes. However, we lack evidence as to the extent to which women are systematically consulted on or participate in programme activities, including feedback mechanisms.</p>	
MI 2.3 Evidence confidence	Medium confidence
MI 2.4: Organisation is set up to deliver results on global commitments for the environment and climate change.	Score
Overall MI rating	Satisfactory
Overall MI score	2.67
Element 1: Dedicated policy statements on environment and climate change available and showing evidence of application	3
Element 2: Commitments on environment and climate change are delivered by empowering and investing in local action	2
Element 3: Appropriate and informed investments are made in climate and disaster risk management	3
Element 4: Recovery from crises and shocks includes efforts to green and promote a more resilient future	3
Element 5: Environmental protection mechanisms and climate adaptation are part of programming systematically	2
Element 6: The organisation is promoting efforts to green its own operations	3
MI 2.4 Analysis	Evidence documents
<p>2.4.1 IOM has dedicated policy statements on both environmental sustainability and climate change, but and is beginning to apply them through its portfolio.</p> <p>IOM launched its Environmental Sustainability Programme in 2017. The Environmental Sustainability Programme hosted in the Migration, Environment and Climate Change (MECC) Division in the Department of Migration Management (DMM) reporting to the Office of the Director General coordinated IOM's work on environmental sustainability between 2017 and 2021 and was succeeded by the Environmental Sustainability Unit in 2022, reporting to the Deputy Director General for Management and Reform. An Environmental Policy was approved in 2022, providing a strategic approach to managing the Organization's environmental sustainability performance and setting out a framework for implementation, in alignment with the UN's Strategy for Sustainability Management 2020-2030 and the standards set out in the ISO 14001:2015 on Environmental Management System (EMS). IOM was also assessed by the UN Greening the Blue as an organization with continued improvement on environmental governance, moving from "not meeting" to "approaching EMS".</p> <p>IOM also has an Institutional Strategy on Migration, Environment and Climate Change 2021-2030 that outlines its approach and strategic objectives on migration in the context of climate change. According to the evaluation evidence reviewed for this assessment, IOM has played an important role at the global policy level in encouraging a focus on human migration within climate change policy, and on securing recognition of climate change as an important driver of migration with the Global Compact. The Transition and Recovery Division (TRD), in collaboration with the Migration, Environment, Climate Change and Risk Reduction Division (MECR), has helped advance IOM's strategic positioning on climate, conflict and migration</p>	

through its representation in the 6-member Peer Reference Group that supports the Peacebuilding Support Office's Thematic Review on Climate Security and Peacebuilding, and its co-representation with MECR on the Climate Security Mechanism, an inter-agency initiative aiming to strengthen the capacity of the United Nations system to analyse and address the adverse impacts of climate change on peace and security. TRD and MECR have also strengthened IOM's visibility in this area by chairing a roundtable on the climate-conflict-migration link at the second International Conference on Environmental Peacebuilding, as well as partnering with the FAO and Interpeace on a roundtable on food security, migration, and conflict at the Stockholm Forum. Recent DDG participation in the 27th Conference of the Parties to the UN Framework Convention on Climate Change (COP27) presenting some of IOM's key programs and workshops also helped highlight IOM's on-going efforts in this field. The 2020 Annual Report states that, in 2020, 87 IOM offices were engaged in migration-focused environment and climate change programming. However, a May 2021 evaluation (predating the Institutional Strategy) of IOM's MECC work found that "information sharing on the MECC Thematic does not reach IOM staff in country offices, regional offices and Member States, many of which do not yet prioritize this thematic". In the MOPAN survey, just 39% of respondents agreed with the proposition that "IOM proactively considers climate change in all areas of its work". Since November 2021, when the strategy was launched, IOM has been able to map more than 314 projects initiated across the world with a collective value of close to USD 1.4 billion. This portfolio and attention to the thematic grew in 2022 and is becoming an institutional priority in 2023 which was reflected through: the thematic session of the International Dialogue on Migration (IDM), a global webinar that brought more than 600 participants to a discussion on climate change in October 2022; a paper and discussion with member states at IOM's Standing Committee on Programmes and Finance (SPCF); and representation at more than 30 events at COP27 in Egypt where migration and displacement were referenced in decisions.

2.4.2 Institutional commitments on environmental sustainability and climate change mitigation are delivered through engaging and empowering national and local actors.

IOM's Institutional Strategy on Migration, Environment and Climate Change 2021-2030 outlines its support for local action through engagement with national and local governments, as well as other local actors, working on both policy and implementation. According to IOM's Annual Report in 2020, 87 IOM offices participate actively in national and regional policy dialogues and events and provide capacity building related to environmental migration. At community level, IOM has a strong methodology for community-based planning, which is an important asset of the organisation given its large field presence. Community-based planning is an effective tool to tackle the links between migration and conflict, lack of development, environmental degradation, and climate adaptation. A 2021 evaluation of IOM's MECC work found that IOM was not pursuing the migration, environment, and climate change nexus systematically through national policy dialogue, although the organisation can point to some more recent positive examples of dialogue events.

2.4.3 Programmatic investments take into consideration climate adaptation and disaster risk management perspectives.

IOM's Strategy on Climate Change correctly focuses on adaptation and risk mitigation, in relation to population mobility. In areas of high disaster risk linked to climate change, the focus of interventions is on adaptation. IOM objectives in this area are to support national efforts to: a) contribute to resilience and climate change and natural resource management by mitigating adverse drivers of displacement and irregular migration; b) ensure people at risk and/or affected by crisis receive timely and effective assistance and protection; c) promoting durable solutions and reintegration for displaced persons and returning migrants.

IOM is also involved in early action and early warning systems, currently working with national governments under two Central Emergency Response Fund (CERF) Anticipatory Action Frameworks. Across the global portfolio, a total of USD 1 billion is currently allocated to environmental migration and related risk-reduction projects, across 15 project codes. The Annual Report suggests that there is active programming being implemented by a large majority of country offices.

2.4.4 Recovery from crises and shocks includes efforts to green and promote a more resilient future.

Part of the long-term strategy of IOM headquarters in this field is to support country missions in overcoming funding limitations to strengthening resilience in critically affected countries, addressing delicate issues like proposed no-build zones in disaster-affected areas (typhoons, floods and earthquakes), and working with governments and local authorities on achieving critical buy-in from affected populations to strengthen disaster risk reduction and preparedness activities, through the application of MECR strategy and complemented with IOM's Progressive Resolution of Displacement Situations framework and the Preparedness and Response Division work. In 2021, 73 country offices assisted with the development of policies and norms on migration, environment and climate change including disaster preparedness activities and capacity strengthening activities.

2.4.5 IOM has tools to promote the incorporation of environmental protection and climate adaptation into programming.

IOM has five regional thematic specialists dedicated to regional environment and climate change-related migration issues and actions. To ensure that IOM Displacement Tracking Matrix captures information related to the climate-conflict-migration link, new components, tools, and methodologies are under development, to ensure that the data captured is operational and actionable, improving IOM's capacity for predictive analysis. The Migration, Environment, Climate Change and Risk Reduction Division (MECR), in collaboration with the TRD, is examining the intersection and combined effects of climate change, environmental degradation, disasters, security, conflict and migration on affected communities. This includes considering how IOM can more effectively adopt integrated, inclusive, rights-based, conflict-/environment-/gender-sensitive and context-specific policies and interventions for effective programming across the climate-conflict-migration link. The Environmental Sustainability Unit provides technical support on how to incorporate environmental management in projects and programs. The new Unit (as of 2022, one staff and one Norwegian Capacity [NORCAP] employee at headquarters and three NORCAP deployed in field missions) has focused its efforts on providing guidance on high impact areas, including engagement with large IOM missions for climate mitigation through the clean energy transition, and sustainable water management. A 2021 MECC evaluation found limitations in the extent to which the climate-environment-migrant nexus was being prioritised by staff. While there has been effort to address this, implementation of these tools remains nascent.

2.4.6 The organization has advanced on a number of key targets for the greening of its operations.

The Environmental Sustainability Work Programme 2021-2025 includes 36 steps towards five overarching objectives. As of 2021, three were completed and nine were in progress. To advance on its internal targets of greening its operations, IOM maintains an Environmental Inventory Methodology that follows the reporting requirements of the UN Greening the Blue, in line also with the overall stipulations of the 2020 Quadrennial Comprehensive Policy Review and the UN development system reforms. It is led by the Environmental Sustainability Unit, reporting directly to the Deputy Director-General for Management and Reform. The Greenhouse Gas Inventory collects data on the amount and sources of greenhouse gas

emissions related to IOM facilities and operations, thereby capturing IOM's carbon footprint. The Water Inventory collects data on the volume and source of water used onsite, including for things such as landscaping and catering. The inventory captures IOM water footprint and highlights good practices that aim to reduce it. The Waste Inventory collects data on the amount and type of non-hazardous and hazardous waste generated onsite and the ways they are managed. The inventory captures the IOM's waste footprint and highlights good practices related to refusing, reducing, reusing, and recycling. As relates to the UN strategy commitment to ensure that UN premises and fleets do not contribute to or exacerbate local air quality issues, in both urban and remote community settings, IOM has partially or fully accomplished 6 out of 16 fleet recommendations made by Fleet Forum to the UN. IOM was able to achieve climate neutrality in 2020, by offsetting unavoidable greenhouse gas emissions derived from facilities and operations and replicated this in 2021. In this respect, IOM is the first – and still only - international organization to deploy an innovative procurement modality to transition one of its largest facilities (the humanitarian hub in Malakal) to solar power, extending the benefits of such transition to the communities it serves through innovative finance (renewable energy credits) in South Sudan.

MI 2.4 Evidence confidence

Low confidence

Operational management

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

KPI 3: The operating framework and human and financial resources support relevance and agility.	KPI score
Satisfactory	2.64
<p>As a highly decentralised organisation, IOM is well set up to deliver context-appropriate results, while its regional structures support coordination across country offices. However, while the country offices are empowered with delegated authority, this makes it more challenging to ensure respect for organisational policies and commitments. The organisation would benefit from a more systematic approach to knowledge management and learning.</p> <p>IOM is highly effective at mobilising resources for its field operations, with strong relationships with its donors and a strong track record in accessing multi-donor trust funds. However, it has limited capacity for donor intelligence, engagement and communications, and has had limited success at diversifying its funding base or persuading its donors to diversify beyond traditional project finance.</p> <p>IOM's human resources functions are significantly under-resourced. It has flexible contracting mechanisms for reassigning staff to fill gaps and in response to emergencies, but these offer little or no job security for staff. Workforce planning is a significant gap. It has planning tools in place for anticipating emergency needs at country level, but these are not explicitly linked to workforce planning. Lack of core funding means that key corporate functions are resourced on an ad hoc basis and are often understaffed. IOM has relatively strong systems for monitoring staff performance and addressing underperformance. However, its duty of care processes was not well defined or adequately resourced and needs to be better integrated with contingency planning and risk management.</p> <p>IOM's procurement is heavily decentralised, and most goods and services are sourced locally, which makes supply chain management challenging. This is being addressed through a new Enterprise Resource Planning (ERP) system, now under development. While this will provide field staff with access to tools needed for their operations, these are not yet in place. IOM currently lacks adequate data and information management systems and tools and faces substantial challenges in the coming years in putting these in place. IOM is increasingly joining with other UN agencies in shared premises and services when it is deemed cost-effective.</p> <p>Despite the limitations of its project-based funding and one-year project cycle, IOM has strong capacity to respond flexibly and rapidly to new and fast-evolving emergency contexts. It has procedures in place to streamline procurement, contracting and financial management during emergencies. An appropriate internal control framework, based on the UN's 'three lines of defence' model, has been developed and is being progressively implemented. IOM has some dedicated resources for anticipatory action and emergency response, but at well below the scale required, but this is offset by its close relationships with funders, which enable it to mobilise new funding rapidly. IOM is an active participant in humanitarian system processes for rapid scale up, including needs assessments, joint appeals and coordination.</p>	

MI 3.1: The organisational structure, including decentralised approaches, is set up to deliver context-appropriate results.	Score
Overall MI rating	Satisfactory
Overall MI score	2.75
Element 1: The organisational structure, including decentralization, helps enable appropriate planning and resourcing decisions, in line with overall organisation strategic directions and policies, and global commitments	3
Element 2: Regional structures/offices enable collaboration across borders and appropriate engagement with regional issues and bodies, and provide appropriate oversight of field operations	3
Element 3: Decision making authority is delegated sufficiently to empower staff, with safeguards to ensure that global organisational policy, guidance, and international commitments are respected	2
Element 4: Field level operations and contextual issues are fed back into organisation policy, standard setting and systems, and into global policy work	3
MI 3.1 Analysis	Evidence documents
<p>3.1.1 Despite investments in its headquarters in recent years, IOM remains a significantly decentralised organisation, with key operational decisions made locally.</p> <p>Since the last MOPAN assessment, IOM has invested significantly in its core structure and expanded its headquarters with the establishment of ten new departments, based on a reorganisation of existing units. Despite these important and useful reforms, IOM remains a significantly decentralised organisation. Its nine regional offices support 180 country offices and sub-offices, which enjoy a high level of autonomy, able to undertake their planning and resource mobilisation to address migrant needs in their context. Delocalization through the establishment and development of the Manila and Panama Administrative Centres has helped to reduce administrative costs by approximately USD 20 million per year. Stakeholders report that efforts to strengthen IOM’s headquarters have provided clearer organisational strategic direction in line with IOM’s Strategic Vision. The budget reforms that will finance Chiefs of Mission (COMs) and Senior Resource Management Officer (RMO) posts will also bring greater organisation commitment from country missions to the overall strategic direction of the organisation, to balance their responsiveness to the interests of doors. Alignment with the Global Compact for Safe, Orderly and Regular Migration (GCM), as well as IOM’s engagement in the UN development system reform agenda, has also helped to increase coherence across the field network. For these reasons, stakeholders report greater organisational coherence within IOM with a greater sense of collective ownership, but with remaining capacity gaps at the centre. The next phase of organisational reforms is expected to align regional and country structures with those at headquarters.</p> <p>3.1.2 IOM’s regional structures have enabled collaboration between country missions regionally and engagement with regional bodies.</p> <p>IOM has nine regional offices that provide support to country missions and facilitate regional approaches to migration crises. Regional consultative processes have been used to develop regional strategies, in line with the IOM Strategic Vision, and on issues such as health and labour migration, given their cross-border nature. The IOM Special Liaison Office to the African Union has developed a continental strategy for IOM in Africa and has also signed a Memorandum of Understanding (MoU) with the Regional Economic Communities (REC) in Africa, in recognition of their role in promoting regional collaboration on migration management. IOM has numerous programmes with these RECs and works with them on the GCM process. IOM’s regional offices also play a key technical oversight role for country operations. In particular, the regional offices are responsible for project review and</p>	7, 12, 14, 15, 106, 150, 161, 193, 199, 382, 384, 392, 393, 394, 395, 396, 445

approval and provide technical support to country offices through regional thematic specialist with matrix management arrangements. However, we received feedback from some of the country offices to the effect that regional offices lacked the resources to play their oversight role effectively. Some technical and functional capacities have been strengthened in regional offices, but they are yet to receive the level of resources invested in strengthening headquarters structures in recent years.

3.1.3 IOM’s decentralised structure and delegation of authority empowers country operations, but the independent nature of country mission makes it challenging to absorb and respect organisational policies, guidance and commitments.

IOM has policies and procedures on delegated authority that outline levels of decision-making and financial responsibility at different levels of the organisation, from headquarters to regional offices and country missions. However, these are sometimes implemented inconsistently, and the accountability framework for some functions is not clear. Country missions have significant operational independence and are empowered to develop programmes as they consider necessary, as long as they can raise funds from donors. Since 2019, IOM has developed and promulgated a significant number of guidance documents on different thematic and cross-cutting areas, while the introduction of the Delegation of Authority Policy in 2022 clearly defined that the delegation of decision-making authority exists at different levels of the organization, thereby enhancing operational efficiencies. The policy stipulates 11 key principles, such as compliance with the organizational policies and rules, clear and formal delegation procedures, adequate internal control (upholding segregation of duties and avoiding conflicts of interests), accountability of both delegators and delegates, and others). While the larger country missions have been able to absorb these new approaches and strengthen their technical capacities to deliver them, this has been more challenging for smaller country missions. The project-based nature of IOM’s financial framework also makes it challenging to develop capacities around corporate priorities. For example, country offices report difficulties in funding expertise on PSEA from programme funds, other than in a few of the larger emergencies (e.g. Syria and South Sudan).

3.1.4 IOM has invested in knowledge management across the organisation, so that learning from field operations and contextual issues are fed back into organisational policy, standard setting and systems, and into global policy work.

IOM’s executive and policy committee convenes senior management from headquarters and regional offices, with similar structures in place at the regional level to convene regional offices and country missions. There are periodic meetings between all heads of country missions and headquarters, and at the regional level. While some staff felt that this was sufficient engagement across the organisation, others felt that they had insufficient interaction with headquarters and senior management. There were also reports of bottlenecks in obtaining approvals from both the leadership and executive teams. There were also reports of a lack of consultation on key corporate processes, including the development of the Strategic Vision and organisational changes at headquarters. IOM has begun to invest in knowledge management to make sure that there is a better flow of good practice across the organisation. While there is no formal or standardised process for developing policy guidance, headquarter departments regularly consult with field operations in the development of their respective policies, strategies, frameworks and guidelines. Strategic investments through MIRAC funding have helped support engagement with the regional data hub, which in turn informed the Data Strategy. In some contexts, operational tools, innovations and feedback developed in the field have been transferred into IOM’s procurement manual and subsequently implemented, particularly in respect of procurement in emergency contexts. IOM has invested in research to inform

these process and new approaches have been piloted in different contexts. However, IOM would benefit from a more systematic approach to capturing learning from its completed projects, and a clearer and more systemised approach to the development of policies and guidance.	
MI 3.1 Evidence confidence	High confidence

MI 3.2: Resource mobilization and financing efforts ensure the organisation has the financing in place to deliver the strategic plan and work towards ending the greatest needs.	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.40
Element 1: Financing strategies are in place, including for field offices and strategic priorities, to support more effective and rapid resource mobilization	3
Element 2: Appropriate capacity for donor/fundraising intelligence, engagement, visibility, and communications is in place at all levels of the organisation	2
Element 3: Approach to fundraising and partnerships with funders – including public, private, domestic, and international sources – is sufficiently diversified to avoid dependency	2
Element 4: Processes are in place to monitor disbursements and ensure early engagement with donors regarding no-cost extensions on earmarked funding	3
Element 5: Appropriate engagement with innovative financing streams as a thought leader or user, depending on skills and comparative advantage, including efforts to adapt organisation systems and procedures to attract and absorb innovative finance	2
MI 3.2 Analysis	Evidence documents
<p>3.2.1 IOM has implemented successful strategies to support effective and rapid resource mobilization, although this is mainly for field operations rather than implementation of its strategic priorities.</p> <p>The rapid growth in IOM’s revenue is testament to the organisation’s highly effective resource mobilisation for its field operations. IOM was one of the few multilateral organisations that managed to increase its income during the COVID-19 pandemic. As found in the last MOPAN IOM Assessment, IOM’s entrepreneurial nature, project-based financial framework and strong operational capacity make it adept at raising project funding from donors. The organisation has also been successful at securing funding from UN-managed multi-partner trust funds (MPTFs). Since 2006, it has accessed 61 out of 197 funds managed by the UN MPTF Office, especially the Central Emergency Relief Fund (CERF), Country-based Pooled Funds and the UN Peacebuilding Fund. Given IOM’s hugely increased role within the UN development system, IOM has also begun to receive greater volumes of development funding from bilateral donors, the World Bank and regional development banks. Since 2017, unearmarked voluntary contributions have increased modestly, from USD 14.9 million to USD 38.8 million in 2021. These funds tend to be multi-year, which provides increased financial stability for country operations. However, IOM does not have an overall resource mobilisation strategy. A draft was presented to senior management in 2019. The organisation’s leadership chose to allow more consultations on this and also prioritise the development of the Strategic Vision. IOM does have a resource mobilisation guidebook, as well as numerous other resource mobilization resources. While IOM has been extremely successful at mobilising resources, the funds available have mainly been earmarked for specific operations, rather than supporting strategic priorities or enabling the organisation to invest in its core structure and mandate.</p>	3, 9, 193, 198, 209, 384, 393, 400, 407, 408, 428, 446, 460
<p>3.2.2 IOM has limited capacity in place for donor/fundraising intelligence, engagement, visibility and communications.</p> <p>Despite its success in attracting project finance, IOM has limited capacity at the corporate level for donor/fundraising intelligence. The majority of fundraising by IOM occurs at the</p>	

country level, through direct engagement by COMs and RMOs with donors or indirectly at the regional level with the support of regional offices, with limited direction from headquarters. At headquarters, IOM maintains a relatively small Donor Relations Division, within the Department of External Relations, which engages with institutional donors, including those that provide unearmarked funding (MIRAC), as well as other sources such as the private sector (see below). Beyond supporting field offices with donor-related contractual and administrative issues, it has relatively limited capacity to devote to resource mobilization, donor visibility and intelligence (for example, it only has a single staff member dedicated to MIRAC funding) and undertake intelligence to seek out new funding sources. IOM develops and maintains a number of resource mobilization tools and guidance which are centralized in a SharePoint site: such as donor profiles and funding histories, which helps it advise country missions on how to engage with donors locally. It is hoped that, through the new ERP system, and the introduction of a Customer Relationship Management (CRM) tool, IOM will capture more data and share more knowledge on donor trends; at present, most Chiefs of Mission collect their own donor intelligence. Country offices in donor countries also play a significant donor liaison function, with the United States being the most important, accounting for nearly USD 1 billion of funding annually. However, despite the scale of US support, IOM has had only a single congressional liaison officer in Washington DC since 2021. There is clearly scope for IOM to take a more strategic approach to donor liaison. IOM undertakes only minimal strategic communications to raise its visibility and promote a compelling narrative for donors as the organisation addressing migration issues. A working review of IOM's strategic communications in 2022 noted these gaps, making a series of proposals for strengthening this aspect of IOM's work.

3.2.3 IOM's approach to fundraising with donors – including public, private, domestic, and international sources – has not yet succeeded in diversifying the funding base.

Despite attempts to diversify its funding base, IOM remains almost entirely reliant on earmarked funding for individual projects at the country level, or “softly” earmarked funding linked to emergency appeals as well as specific geographic/thematic areas. As explained above, budget reforms were approved by member states in 2022, and the administrative budget will increase by USD 60 million over the five years from 2023, which is USD 15 million short of what was requested. However, this will not significantly change the proportion of administrative budget in the total, given the overall growth in the organisation's revenue. The level of unearmarked institutional funding for IOM globally has fluctuated since 2019 but has not changed materially as a proportion of IOM's overall funding, though overall, since 2017 some USD 200 million in unearmarked funding has been made available to IOM through MIRAC, which is not insignificant. In recent years, IOM has developed plans to increase its private sector funding, through the establishment of a Private Sector Partnership Unit within the Donor Relations Division. In the five years to 2021, IOM managed to raise USD 3-5 million a year from private sources, including foundations, companies, and individuals. Because of the Ukraine conflict, this has risen to USD 16 million in 2022. IOM has finalised a Private Sector Funding Strategy and the organisation will invest USD 5 million in the implementation of this, with the aim of increasing private funding to USD 30 million by 2030. This will involve building its capacity to engage directly with different private actors, and running campaigns for individual giving and standing up a goodwill ambassador programme. However, none of these efforts have yet made a material difference in terms of diversity of funding.

3.2.4 IOM has clear processes in place to monitor disbursements and ensure early engagement with donors regarding no-cost extensions on earmarked funding.

Given that the majority of IOM funding is managed at a country level, the monitoring of disbursements occurs locally within the country mission by the Senior/RMO and other relevant colleagues. Such monitoring allows for early engagement with donors in the event

of delays in project implementation on the need for no-cost extensions. No-cost project extensions are also tracked through Project Information and Management Application (PRIMA). During Q3 2022, it was found that 38% of completed projects had undergone a no-cost extension while 8% underwent a budget revision. The Donor Relations Division is currently enacting a donor accountability plan, including coordinating an active, global working group, which focuses on how IOM can do better in terms of timeliness and quality of reporting and no cost extensions. Through this work, the Donor Relations Division has created an escalation procedure, for cases of persistent delays or quality issues that may affect donor relations, which is pending approval.

3.2.5 IOM has not been particularly innovative in its efforts to attract and absorb new forms of finance.

As well as attempting to diversify its funding base and attract more institutional funding, IOM has engaged in some innovative financing initiatives. It has paid more attention to raising private sector funding. It also receives funds directly from host governments, which engage IOM to provide migration services and technical assistance. During the COVID-19 pandemic, IOM launched a Global Strategic Preparedness and Response Plan for COVID-19 covering 140 countries for USD 618 million, which was quickly scaled up and provided assistance to countries impacted by COVID-19. IOM also received a USD 25 million disbursement from the Central Emergency Response Fund, which was used to support 26 frontline national and international non-governmental organisations. The IOM Development Fund (IDF), set up in 2001, also provides seed funding to support Member States by developing capacities in migration management and governance. It has supported over 1000 projects, implemented in more than 125 countries worldwide and has been a key vehicle for piloting new programmatic approaches in IOM. Given its focus on innovation, the IOM Development Fund may be more appropriately rebranded and structured as an innovation fund for the organisation. However, IOM's approach to attracting funding from its established donors has not been particularly innovative. It remains subject to donor priorities, rather than making a case to donors for new forms funding, or for underfunded corporate priorities. For example, we had feedback from funders to the effect that IOM is missing opportunities to secure multi-annual, flexible funding for Humanitarian-Development-Peace Nexus-linked activities. IOM officials note the difficulty in raising funding for migration management, given the political sensitivity of the topic.

MI 3.2 Evidence confidence

High confidence

MI 3.3: The organisation has systems and processes in place to ensure that it has the right staff, with the right skills, in the right place, at the right time.	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.43
Element 1: Investments are made in a strong and fully capacitated leadership, especially at country level and in major crisis contexts	4
Element 2: Solutions and incentives are in place to reduce staff turnover, especially in hardship duty stations, and key staff are officials, rather than consultants. There is evidence of appropriate succession planning. Recruitment is conducted in a timely manner, gaps between staff are limited.	2
Element 3: Effective workforce planning processes are in place to ensure capacity needs are identified, and resources are allocated in line with organisation and contextual priorities.	2
Element 4: Appropriate staff rotation policies are in place to cross-fertilize headquarters to field knowledge and experience, as well as refreshing the staffing pool with external expertise and talent, including young professionals	3
Element 5: Sufficient attention is paid to build the capacity of local staff, enable a career path, and avoid the distortion of local labour markets, and to avoid the recruitment of key staff from local organisations	2

Element 6: A system is in place, and used, to require all staff, regardless of seniority, to undergo performance assessment. Effective procedures are in place, and used, to deal with issues of underperformance and cases of sexual exploitation and abuse, and sexual harassment.	3
Element 7: Duty of care, particularly around safety and security of staff, is prioritized, especially in high-risk environments	1
MI 3.3 Analysis	Evidence documents
<p>3.3.1 Key initiatives have been developed to strengthen leadership, especially at country level and in crisis contexts.</p> <p>IOM has taken a number of recent steps to strengthen its leadership structure. Two new executive positions – the Deputy Director-General for Operations and the Deputy Director-General for Management and Reform – have been created, together with a realignment of institutional structures at headquarters, including the creation of new directorates and an adjustment of accountability and reporting lines. The Programme and Budget for 2021 included a specific line for Leadership, Diversity, and Inclusion initiatives, to a) address shortages in managerial and leadership skills by identifying and preparing a talent pool of emerging IOM leaders to secure effective succession planning for middle and upper management positions; and b) maximise the benefits of employing a wide range of people of different genders, backgrounds, cultures and ethnicities. In terms of strengthening capacity, a Chief of Mission Learning Pack will be rolled out in 2023. The Programme and Budget for 2023 includes the first roll-out of core funding for COMs and RMOs, which is a key provision of the agreed budget reform process. These initiatives were part of the presentation by IOM during the session of the Working Group on Budget Reform indicating that additional investments were needed to address a “broad range of areas of potential inequity, such as race, gender identity and sexual orientation, and disability, to prevent any structural discrimination and incorporate diversity into the Organization’s decision-making processes.”</p> <p>With regards to the improvement in succession planning and timely recruitment for senior positions, the HR Talent Management Unit has developed a Pathways Pool to pre-assess candidate suitability for COMs and RMOs. The assessment is done by the same service provider as assesses UN Resident Coordinators, which dovetails with UN practice. It supports succession planning and allows recruitment for senior positions to be reduced from 110 to 40 days, but it currently lacks the resources to cover all targeted positions.</p> <p>3.3.2 Regular staff rotation, together with rapid short-term assignment mechanisms, allow for staff mobility, but excessive use of ungraded, short-term contracts undermines retention.</p> <p>IOM has a large and expanding workforce, which is heavily field based (around 97%). At the point this assessment was carried out, IOM had approximately 20 000 staff members, with a further 7 000 non-staff and around 5 000 consultants. Staff numbers have doubled in the last six years.</p> <p>The 2021 Staff Mobility Instruction describes IOM’s approach to staff mobility, which is recognised as an important element of organizational effectiveness and career development, helping reduce turnover by contributing to professional growth and career development. Mobility across duty stations also helps to match skills to job profiles across the organisation, while mitigating against staff becoming too close to host governments or otherwise losing their impartiality. There are two rapid response mechanisms for redeploying staff. A Short-Term Assignment (STA) is used for rapid redeployment of staff to other duty stations in response to emergencies or to fill short-term staffing gaps. A global repository of the skills available for redeployment is under development, including a skill vetting process. A second</p>	<p>3, 4, 7, 8, 14, 39, 106, 112, 113, 114, 115, 116, 117, 118, 119, 120, 134, 135, 136, 150, 152, 153, 154, 157, 161, 220, 221, 222, 223, 224, 225, 226, 338, 389, 414, 415, 416, 417, 418</p>

mechanism is the Emergency and Post-Crisis (EPC) Experts Roster, which is used to identify and develop skills for emergency and post-crisis preparedness and response.

IOM has a variety of flexible contracting mechanisms, including ungraded contracts (with the possibility of direct recruitment without advertisement), which gives it agility and responsiveness. When staff leave a high-risk duty station, they receive a month of paid leave for well-being and duty of care. From only two staff welfare officers in 2018, IOM now has 20 (partly due to the COVID pandemic). These officers assure 24/7 coverage of support services, including individual counselling. In an internal staff survey, 69% of staff reported that their supervisor was supportive of their professional development and learning needs, but only 55% believed that IOM has fair, transparent and inclusive selection processes for professional development opportunities. In 2020, IOM adopted a retainment policy, initially in response to COVID-19, but which could become a blueprint for other critical situations. It sets out a procedure for retaining staff as an exceptional measure when organizational restructuring is required through the temporary suspension of programmes and projects, to prevent loss of expertise. However, the extensive use of short-term (3-6 months) ungraded contracts and consultants occupying staff positions is a serious challenge to IOM's declared intention to improve staff retainment, as these contracts provide little to no job security.

3.3.3 Planning tools are in place for emergency needs, but these are resourced mainly on an ad hoc basis. Workforce planning remains a significant gap.

IOM has planning processes in place to anticipate emergency response needs in particular countries. The Department of Operations and Emergencies (DOE) and the Preparedness and Response Division (PRD) developed an IOM Emergency Preparedness Dashboard in mid-2020, where country offices identify risks and preventative actions, including the potential for new or increased humanitarian need in the following six months. This dashboard also serves as a knowledge management platform for sharing risk analysis between country offices, regional offices, and headquarters, facilitating access to existing preparedness plans and contingency plans, and providing awareness-raising on risk monitoring resources. It currently covers over 50 countries and more than 150 identified risks. This is supported by IOM's Emergency Preparedness Training, which was introduced on the e-Learning platform in 2021 and seeks to strengthen risk analysis capacity in country offices and support contingency planning, resource mobilization, and emergency preparedness. While these planning tools are available in principle to support resource allocation, they have no explicit link to workforce planning. Further, we received feedback that IOM's field network faces significant challenges in absorbing and making effective use of the growing range of policies, planning tools and frameworks, which would benefit from rationalisation and streamlining, and which need to be supported by more integrated training tools in order to be internalised by staff. Field staff indicate feeling overwhelmed by the information they are expected to process.

Beyond the emergency response context, workforce planning is a significant gap overall. This linked to the shortage of core funding for essential functions, which are therefore resourced on an ad hoc basis. It is notable that IOM has a relatively low ratio of human resources (HR) staff (135) to overall workforce (32 000 including staff and non-staff, consultants) – far below other UN agencies of similar size (UNICEF has 229 HR staff, and UNDP 176 HR staff for similar-sized workforces). In its 2020 report, the Office of the Inspector General flagged recurrent concerns around human resource management, including “a lack of updated and relevant terms of reference, control gaps in local payroll processes, inadequate monitoring of relatives in the workplace, poor management of staff attendance and weak compliance with the Staff Evaluation System.” The main workforce planning instruments currently in place are the yearly Staff Rotation and Appointment process, as well as guidelines for Staff Downsizing

processes, when these are required, and special arrangements for Staff Retainment in the face of specific crises like COVID-19. Additionally, the IOM HR digital handbook portal was finalised and launched in February 2021. With 11 000-page views per week, it is being used by a large number of staff, who are able to access up-to-date human resources policy information and documents in a single location. A survey to assess the efficiency gains of this new tool received a positive response from a majority of users.

3.3.4 IOM’s already flexible recruitment, rotation and reassignment procedures have been strengthened to optimize cross-fertilisation and facilitate incorporation of new expertise and talent.

As identified in 3.3.2 above, IOM has an established staff rotation system to assure adequate exposure of staff to various contexts and environments while limiting exposure to any one country. This rotation system has recently undergone a full review and revision to address a number of issues, including overuse of rotation deferments, and the need to focus more on young professionals. The Rotation Board meets in January each year and makes rotation recommendations to the DG, who approves the rotation schedule. IOM has a number of flexible recruitment modalities, including the STA (Short-Term Assignment) and the quick ungraded contract modality based on a lump-sum payment, which can then be adjusted as needed. Together with the EPC Emergency Roster, this allows rapid deployment of staff through the STA and Travel on Authorized Duty (TDY) modality, both modalities being used not only for emergency, but also other contexts. In terms of facilitating the incorporation of UN Volunteers (UNVs), IOM and UNV agreed on a Joint Action Plan 2020-2023, signed in Geneva on 16 December 2019, with a particular focus on the incorporation of Migrant UN volunteers. Partners note that IOM staff generally tend to grow within the organisation, as relatively junior staff are given opportunities and substantive responsibilities, and therefore usually accumulate a strong knowledge base. There is a perception, however, that IOM doesn’t bring enough new blood into senior positions.

3.3.5 A strengthened training platform and a new mentoring programme focused on local staff addresses the still persistent challenge of enabling a clear career path for them and avoiding recruiting staff away from local organisations.

Stakeholders recognise that career development of local staff is a weakness for IOM. Some measures have been put in place to address this, but more needs to be done. IOM has an online training platform (E-campus) with multiple courses available to staff, including local staff. We received mixed feedback on the extent to which IOM supports local staff to apply for international staff positions within the organization. Some country offices, such as Türkiye, were cited as examples of good practice in the promotion of local staff, but this appears to be the exception to the dominant pattern. The assessment did not find any evidence of policies or guidance against the recruiting of key staff away from local organizations.

3.3.6 IOM has a Staff Evaluation System that requires all staff to undergo performance assessments, with clear guidelines and procedures to address underperformance.

IOM’s Staff Evaluation System (SES) is designed to link individual work plans with those of relevant departments and offices, standardize performance evaluation criteria throughout the organization, and help identify high performance and address underperformance. The SES provides a means of setting objectives, planning work in advance, and promoting effective communication between staff and supervisors. It also assists in planning career development and in identifying training requirements. All staff with accrued or expected service of at least six months are included in the SES. It applies standardized ratings for all indicators and competencies, to assess staff performance. In April 2021, IOM also published the ‘Managing Underperformance Guidelines for Supervisors’ guide, which provides four

steps to deal with underperformance: 1) Prevention; 2) Identifying underperformance; 3) Taking action; and 4) Performance improvement plan. Following an unsatisfactory performance rating, managers are required to coordinate with the relevant HR unit around any termination or non-renewal of contract. An Empowerment and Leadership Index for managers is under development, to articulate the qualities of a good leader. There are also guidelines for unethical behaviour, which must be referred to the Ethics and Conduct Office (ECO). If it involves misconduct, it must also be reported to the Office of the Inspector General (OIG). The Office of the Ombudsperson and Mediation Services (OOM) works to explore avenues for informal resolution of workplace conflicts and systemic issues affecting Organizational Effectiveness, and the IOM Staff Association Committees can provide support, advice and legal assistance for employment-related matters. In staff surveys, 65% of staff respondents stated that they were willing to report unethical behaviour and had confidence that the organisation would take action in response, which was 7.5 percentage points higher than in 2019.

There is a Sexual Exploitation and Abuse Policy, setting clear guidelines and behaviour standards, with formal procedures for investigations through the OIG. However, in a recent internal global staff survey conducted in 2021, the number of staff stating that they knew what sexual exploitation and abuse (SEA) was and where to report it fell below the organization's target, though 84% of respondents believed that IOM would take appropriate action if SEA was reported. There is evidence of on-going efforts by the organization to strengthen reporting of misconduct, including easy access to reporting tools (directly on the IOM webpage), strict guidelines for senior management, and sanctioning of managers who fail to act on cases reported to them. In the survey conducted for this assessment, 56% of 296 respondents agreed that IOM has systems in place to prevent SEA.

3.3.7 IOM's Duty of Care processes require clarification and dissemination within the organization, while security measures are underfunded and need to be better integrated with contingency planning and risk management.

IOM participates in the UN Security Management System (UNSMS) and follows its guidance (policies and guidelines). Security Risks are managed following a Security Risk Management Process. In 2020, a risk profiling exercise was undertaken for all IOM country offices and proposals were developed to enhance risk management structures through a combination of risk focal points, local risk committees and ensuring full-time risk and organizational performance capacity at regional and country office levels. At headquarter level, a process has been established to actively manage the most organisation-wide risks, with risk management embedded into control and process design, as part of strengthening business processes under the Internal Governance Framework. To resource security measures, a proportion of project-related overhead income is earmarked to cover IOM's participation in the UN Department for Safety and Security (UNDSS) mechanism, as well as to cover the costs of compliance with minimum security standards, evacuations and other staff security costs. However, we heard from interviews that COMs and senior managers tend to under-budget on security, especially in terms of contingency planning for potential security risks.

Though IOM has become a formal member of the United Nations Programme Criticality Framework in early 2022, it still lacks a clear policy stipulating whether personnel under different contractual modalities are covered by its duty of care arrangements. Staff and consultants are covered, but other contract modalities remain unclear, including hourly paid staff and service contractors. We heard from stakeholder interviews that many such personnel believe they are under IOM's duty of care, while many IOM managers consider that, when contracting services, security risks are transferred to the contractor. This lack of clarity poses unacceptable risks and needs to be resolved. Regarding medical evacuations,

<p>IOM has its Medical Evacuation IN/80, published 2008, which clarifies the evacuation procedures for staff members and their eligible dependents confronted with a medical emergency.</p> <p>There is a recognized gap in knowledge of senior managers, especially COMs, regarding the security framework, and IOM lacks a fully functional Security Compliance mechanism, having recently started to develop an e-platform to assess and address security gaps in IOM offices. Overall, we heard from interviews that security is insufficiently mainstreamed into IOM projects and programmes, with inadequate guidelines on how to embed security into project proposals, starting from the initial assessment of security risk exposure to prevention and mitigation measure, to monitoring and feedback throughout the life of the project.</p>	
MI 3.3 Evidence confidence	High confidence
MI 3.4: The organisation’s logistics, procurement, equipment and information systems and procedures enable the delivery of timely and efficient results.	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.40
Element 1: Operational planning and logistics maintain stock control, manage transport and creates a healthy supply chain for goods, ensuring timely delivery of appropriate relief and other items.	2
Element 2: The procurement system is fit for purpose for crisis contexts, enabling timely delivery, value for money and including anti-fraud and anti-corruption measures. Local procurement is used where possible, where that would not lead to market distortions, and care is taken to ensure that international procurement does not adversely impact local markets.	3
Element 3: All staff, especially those in the field, have the appropriate tools, equipment and energy supply to deliver results, and these are regularly maintained	2
Element 4: Internal information systems, including data, workflow and decision making, and dashboards, are in place to enable efficient operations, and appropriate data protection measures are in place	2
Element 5: [UN] Common operations are used, where available, to drive greater cost-effectiveness	3
MI 3.4 Analysis	Evidence documents
<p>3.4.1 IOM’s supply chain management is undergoing a systemic change, with more integrated systems, global long-term procurement agreements and global pre-positioned stocks management for emergency response.</p> <p>IOM’s supply chain management has undergone a significant change over the last few years. Though still heavily dependent on mission-specific planning, procurement, warehousing and staffing, a series of critical steps have been taken to build and strengthen a central system capable of responding to emerging crisis and needs. In January 2021, a new supply chain management strategy was approved for the period 2022-2026, which sets out the vision to create an integrated global supply chain system. A central supply chain division, led from headquarters but operating mainly out of its Manila and Nairobi centres, manages global stocks, including a prepositioned component, distributed in four centres around the world: Manila, Nairobi, Panama (a shared facility with UNHCR) and Gaziantep. The operation of these prepositioned stocks is sustainable with the 6% service fee charged to the requesting operations, though expansion of the stocks will require further up-front investment by IOM, growing from the current USD 2 million in stocks. Another new centralized supply chain service function set up over the last five years has been the establishment of long-term global agreements for commodities, often done in collaboration with other agencies by piggybacking on their long-term agreements (as well as their sharing IOM’s other long-term agreements). These agreements save both time and money, operating through simplified</p>	

bidding process. There is now a dedicated team working on these global long-term agreements, and the whole unit was set up to operate separately from the compliance team, while two staff members work on analytics of the overall operations.

The global supply chain planning process is made more difficult by the decentralised nature of IOM's operations. The new ERP system will be a key improvement, as it will have integrated planning functions, with the ability to plan globally, and to capture procurement plans at an early stage of project development, enabling aggregation and scaling of purchases. It will also integrate all procurement functions as well as (gradually) bringing together the various home-grown supply-chain applications into a single corporate system. Regarding supply-chain-related staff, a full mapping of all staff has been carried out globally (covering approx. 700 people), and a roster of staff has been established, covering emergency or non-emergency contexts, with standardised titles and profiles globally. The next step will be standardisation of the terms of references (TORs) and provision of relevant training. Overall, while IOM is making considerable efforts to strengthen its supply-chain management, the rating reflects that the new system is not yet operative.

3.4.2 IOM's decentralised procurement arrangements generally facilitate speed and flexibility in crisis contexts, and the organisation is working to improve value for money through a more integrated approach. Anti-fraud and anti-corruption measures are in place.

IOM's procurement is mostly decentralized: approximately 90% of procurement actions are carried out at country office level, with the majority of commodities sourced locally. This has a number of advantages in crisis contexts, being rapid, flexible and often cost effective. However, it does not necessarily generate value for money where procurement at scale at the regional or international level would offer cost savings. With MIRAC funding, the Supply Chain Unit is currently carrying out a supply chain mapping project to identify key issues for improvement, looking at optimizing not just pricing but also delivery times and overall value-for-money (VfM). The intention is not to centralize more, but rather to identify how country offices can continue to carry out most of the procurement, and mostly locally sourced, but in an optimized manner. One of the key improvements for supply chain management across the organization will come with the full roll out of the corporate ERP in early 2024, which will have a fully integrated set of sub-systems and tools for supply chain management. This will gradually substitute the various home-grown systems that have been developed in country offices around the world for special operations, and which – through generally considered fit-for-purpose in their specific contexts – hamper the creation of a fully integrated global supply chain management system.

After a series of partial updates and changes (Procurement in Crisis Contexts, Implementing Partner Selection and Contracting) in 2020 and 2021, Version 3 of the Procurement Manual is scheduled to be rolled out shortly. The revised manual sets out a series of anti-fraud and anti-corruption measures, VfM guidelines, and detailed instructions for using the enhanced online system for vendor management, material management and requisitions, e-filing of procurement data, analysis and reporting. These enhanced control and accountability measures have allowed, among other things, for a revision of financial thresholds for country offices from USD 100 000 to USD 200 000. Following an assessment by the EU, IOM has also enhanced its due diligence procedures for vendor agreements, including of their board members or owners. Finally, an important effort is being made, through collaboration with UNDP, to build the capacity of key IOM procurement staff to be certified for supply management (400 staff in 40 offices are already certified). A parallel effort is being made to develop manuals and materials for in-house training.

3.4.3 Although staff do not yet have access to all the tools and equipment they need for

7, 14, 149, 152, 335,
382, 408, 409, 410,
416

effective operations, this is being actively addressed through preparations for the roll-out of a corporate ERP system.

Until recently, IOM has had a very limited number of centrally provided and supported systems. The most notable is the Displacement Tracking Matrix, a hallmark of IOM's data collection and management effort worldwide. In terms of organisation-wide operational and management support tools, IOM has developed PRISM, PRIMA and the Migrant Management Operational System Application (MiMOSA) to support financial management and project tracking centrally. However, many key areas, notable supply chain management and many important HR functions were managed at the CO level through home-grown applications, in a mostly uncoordinated way, with varying levels of effectiveness as well as data security and system integrity. As a key part of the current reform effort, IOM is now engaged in a business transformation process, in preparation for the roll out of the corporate ERP system in 2024. Key existing tools such as PRISM, MiMOSA and PRIMA are being upgraded and their functionalities expanded, including their roll out to cloud services, to ensure disaster recovery and business continuity for the IOM's most critical systems. For example, a new online purchase requisition system has recently been rolled out, as well as a new invoice processing system, new financial platforms for processing of payments, new contract system, an HR portal, finance coordination tools, and a new system for travel applications. Work is on-going to explore the use of artificial intelligence to read the x-rays received from migrant health assessments, to optimize service delivery. Equipment and energy supply have not been identified as limitations for staff in the field, but internet connectivity does continue to be an issue. Given the current corporate IT strategy of migration to cloud services, the resolution of connectivity limitations for fields offices has been made a priority in the global IT, data information management strategy.

3.4.4 A revision and upgrading of IOM's internal data and information management systems and tools is being carried out, to enable more efficient operations and better data protection.

IOM's Information and Communications Technology (ICT) Strategy 2022-2025 sets out a vision for improving IOM's internal information systems to support its Strategic Vision and objectives. The strategy recognises the need for internal information systems to support seven core business needs, including decision-making for efficient operations and data protection. Secure and cloud-enabled ICT networks together with efficient ICT services and flexible solutions are priorities. At present, the central ICT team provides four types of services: hardware for staff; back-office solutions such as e-filing; programming support systems (such as PRIMA), and corporate data security systems. It ensures staff compliance with minimum standards for hardware and software and sets policies regarding the proper use of ICT resources. Implementation and enforcement are the responsibility of regional and country offices, with an audit function at the regional level. Data protection is a shared responsibility between ICT, Programme Management and the Legal Department. The information and communications technology team is the data custodian, but policies for the use of data are set by the programme management and legal teams. Given the move towards a cloud-based ERP system, IOM is working to improve connectivity for all its offices, which has significant budgetary implications. Information and communications technology has set standards for minimum bandwidth, based on the size of each office. Not all offices can afford to reach this standard, but ICT works with them to help find ways to operate within their given context and budgets. The Institutional Knowledge Management Strategy Concept Note suggests that 'IT data governance for knowledge management needs to be articulated and strengthened to ensure coherence, accessibility of information and availability of appropriate digital solutions'. The new ERP will not satisfy all the information needs for effective decision-making, so a number of additional tools are being designed and implemented alongside the ERP, such as decision-support dashboards for key staff and tailored teamwork-support tools.

There are challenges to be resolved in determining how to integrate these additional tools with the ERP system.

3.4.5 IOM is increasingly joining other UN agencies in common operations, common premises and shared services, to drive cost-effectiveness.

IOM is committed to implementing the requirements of the UN development system reforms, including those pertaining to the UN Efficiency Agenda. The Organization recognizes the potential to benefit from economies of scale by using common UN operations and premises. However, according to interviewees, it adopts a pragmatic approach, opting to sign up to joint initiatives where there is a clear cost-effectiveness case. For example, in 2021 a significant part of the IOM IT team moved to Valencia, working in a UN ICT base operated by the UN Secretariat, which also hosted three other agencies (UNICC, UNICEF and UNOPS). This move allows IOM cost-effective access to the base as a co-tenant, while taking advantage of ICT infrastructure and services already installed by the Secretariat. For its planned ERP, IOM discussed with other UN entities the basic terms of their agreements with major ERP service providers, in order to better negotiate its own service contract. IOM has also checked to see whether other agencies have implemented specific modules – such as payroll – that could be adopted by IOM without too much tailoring. Another area of joint operations of common services is the use of the Common Vendor system supported by UNOPS, the UNGM. This allows access jointly vetted vendors and global long-term agreements. There are also specific Memorandum of Understandings (MOUs) and Long-Term Agreements (LTAs) for collaboration in supply chain management.

MI 3.4 Evidence confidence

High confidence

MI 3.5: Financial and administrative processes are fit for purpose

Score

Overall MI rating

Satisfactory

Overall MI score

3.00

Element 1: Adaptive management techniques are deployed to respond to high risk fast evolving contexts

4

Element 2: Appropriate criteria are in place to guide resource trade-off decisions, prioritizing the greatest needs

2

Element 3: Simplified financial and administrative procedures – but with adequate safeguards – are in place to enable timely and appropriate disbursement in crisis contexts

3

Element 4: Appropriate internal control frameworks are in place, in line with the Three Lines of Defence model

3

MI 3.5 Analysis

Evidence documents

3.5.1 Adaptive management techniques are deployed to respond to high-risk, fast-evolving contexts.

Because IOM is highly project based, an overwhelming majority of its funding, human resources and committed activities are already locked in, with limited scope for adaptability within one-year project cycles. In that sense, IOM lacks the flexibility to respond to fast-evolving contexts. However, there are a number of processes and mechanisms in place that allow IOM to respond quickly when required. According to interviews, IOM has close relationships with some key donors (notably the US and EU) that allows the organization to pivot quickly if there are sudden high-risk changes in operational contexts. According to stakeholders, IOM's relationships with donors support dynamic and adaptable ways of working, with interactions on an almost daily basis, when needed.

From a programmatic perspective, IOM's risk management matrix, which in principle is shared with national governments, UN partners and donors, supports joint scenario planning and anticipatory risk-mitigation measures with partners, which facilitates the implementation of adaptive measures when needed. The Migration Crisis Operational

Framework (MCOF) sets out different contexts and levels of crisis, specifying when an emergency response is required. IOM follows a Corporate Emergency Activation Procedure, whereby a whole-of-IOM level-3 Emergency Response is activated. As a member of the Inter-Agency Standing Committee (IASC), activation of an IASC Scale-Up also compels IOM to respond with an IOM L3 Emergency Activation. Once an L3 emergency is declared, IOM appoints a Migration Emergency Coordinator (MEC), historically the Head of DOE, to oversee the response. All IOM departments and divisions are directed to prioritize support to humanitarian operations in the affected missions and certain expedited procedures go into effect to ensure a timely and appropriate humanitarian response. An L3 mobilization mobilizes resources from IOM offices across the world, including pre-positioned supplies, staff on TDY deployment and STA hires, and special cash transfer procedures from global administrative offices.

In a Level 2 Emergency, the relevant Regional Office leads the coordination of the emergency response. As with a Level 3 Emergency Response, the Migration Emergency Funding Mechanism is mobilised, and an Emergency Management Team established. The Rapid Response Team is also deployed. There is no change in reporting lines during a Level 2 emergency. In Level 1 emergencies, Country Offices are able to respond to crises with their own staff and funding, with support from Regional Offices. In a Level 1 emergency, there is no need for a formal declaration, and there is no change in reporting lines and management responsibilities.

The Migration Emergency Funding Mechanism (MEFM) was established several years ago, with a planned USD 30 million minimum balance for advance funding for emergency response, on a reimbursable basis. While this is a useful mechanism, the current balance of USD 1.5 million is well below the planned USD 30 million, as donor contributions have been below target and the balance has declined over time due to difficulties with reimbursing the MEFM in some emergencies. It therefore falls well short of global need.

3.5.2 Most prioritisation of needs and trade-off decisions are agreed with donors at country level, but IOM also participates in additional mechanisms, both internal and collectively with the UN and partners, to coordinate prioritized responses.

IOM's project-based nature means that resource trade-off decisions and prioritization of needs mostly happen in direct discussions with donors at country level. A number of strategic and policy frameworks provide guidance for IOM's engagement at this level, including regional and country strategies, the UN Cooperation Framework, and various IOM and UN policy guides. IOM also participates actively in the UN coordination structures for all three Nexus pillars, and therefore engages in collective prioritization of needs and trade-off decisions, which guide resource allocation through the various UN mechanisms (Humanitarian Response Plans, UN Peacebuilding Fund/Multi-Partner Trust Funds and others). IOM is reportedly in discussion regarding the possible establishment of a multi-donor soft-earmarked funding mechanism for humanitarian and development interventions, to avoid funding isolated projects that are not fully linked to country strategies. The new ERP could facilitate central tracking and reporting of this type of programmatic funding. For IOM's core mandate, the Migration Resource Allocation Committee (MIRAC) sets priorities for multi-year unearmarked contributions, to allow IOM to implement critical and strategic institutional initiatives (i.e. IGF, Migration Network Secretariat). Additionally, the DG chairs the weekly Executive Committee meeting with all department directors of headquarters, reviewing priority and emerging issues and the new leadership structure with the two DDGs has streamlined discussions from their pillars to help with prioritisation. Overall, however, the project-based nature of IOM's operations means that it has limited capacity to prioritise and manage trade-offs.

4, 134, 156, 400

3.5.3 Simplified financial and administrative procedures – but with adequate safeguards – are in place to enable timely and appropriate disbursement in crisis contexts.

IOM policies set simplified procurement policies to be used in crisis contexts when the Director-General declares an emergency situation (see above). The activation of this simplified procurement process is not automatically determined by the level of a classification, it may apply to any level of emergency (i.e. L1, L2, L3) at the DG’s discretion. These allow IOM Offices to use streamlined procurement methods, which are normally limited to low-value items. Similarly, in emergency situations, **through** the Manila Supply Chain Unit (MSCU), part of IOM’s Supply Chain Division, the review of procurement process is done post-facto, rather than prior to the procurement. For these crisis contexts, Supply Chain Division developed the Emergency Roster for rapid deployment of Supply Chain experts to enable effective provision of goods and services to affected populations. As another means to ensure a timely disbursement in crisis contexts, IOM currently holds pre-positioned supplies (Global Stock) in several locations across the globe. In addition, IOM has a number of global long-term agreements in place, in many cases piggybacking on LTAs held by other UN agencies.

3.5.4 Internal control frameworks, in line with the Three Lines of Defence Model, have been adopted and are being implemented gradually.

IOM has adopted the “Three Lines of Defence Model” of risk management and internal control endorsed by the Chief Executives Board (CEB) for Coordination of the United Nations and widely used within the United Nations system. IOM has developed a Risk Management Framework and Policy that clearly outlines risk management roles and responsibilities. Furthermore, the rules and procedures outlined in the IN267 Financial Management Rules and Procedures (FMRP) and related documents set out the minimum standard of internal controls that all IOM Offices shall apply for their operations. In order to fully operationalise these three lines of defence, IOM has approved and is currently implementing a number of reforms. The budget reform aiming at expanding core resources for COMs and RMOs is the key element in the first line of defence: making operational management fully responsive to IOM’s revised and enhanced internal control procedures, including the recently revised delegation of authority framework. The second line of defence, risk control and compliance, is being reinforced through strengthening the compliance oversight and risk management support functions of the regional offices. The third line of defence, internal audit, has been strengthened by assuring that the Office of the Inspector General (OIG) has full independence. However, according to internal audit unit staff, the internal audit function is not adequately resourced.

MI 3.5 Evidence confidence

Medium confidence

MI 3.6: Organisation can effectively scale up to deliver in new and escalating crises, including significant concurrent crises.

Score

Overall MI rating

Satisfactory

Overall MI score

2.86

Element 1: Appropriate criteria are in place, and followed, for determining when scale-up/surge is required.

3

Element 2: Fast track recruitment and back-up expert surge mechanisms are in place and functioning for new and escalating crises, including: senior leadership, appropriate sectoral experts, co-ordination experts (where required), assessment professionals, communications staff etc. – and provision is made for back-filling the positions these experts are temporarily vacating

3

Element 3: Safeguards are in place to ensure that new staff are well qualified and have no black marks against them related to Sexual Exploitation and Abuse. Systems are in place to track abusers and prevent their hire

2

Element 4: Dedicated funding windows are set aside for anticipatory action and major contingencies, including seed funding for new and escalating crises	2
Element 5: Simplified procurement, logistics and other administrative measures are in place for scale up situations	3
Element 6: Organisation effectively supports system wide approaches in scale up situations, including supporting leadership, co-ordination structures, common plans/appeals etc.	4
Element 7: Appropriate procedures, including triggers, are in place to transition out of surge/scale up processes towards regular operations	3
MI 3.6 Analysis	Evidence documents
<p>3.6.1 IOM follows appropriate criteria for determining when scale-up/surge is required. IOM operates according to the IASC’s scale-up procedures and has applied these to its own internal policies, systems and procedures, which are clearly outlined in a guidance document. For each new L3 emergency, the DG appoints a Migration Emergency Coordinator and a cross-departmental Task Force at headquarters to oversee operations. The Deputy Director-General of Operations oversees each emergency response, with the designated coordinator coming from different departments and not necessarily the Department of Emergencies. Stakeholders expressed some concerns that these new procedures had dismantled established ways of working that were effective. Nonetheless, the new arrangements help to ensure a comprehensive approach to humanitarian crisis across each area of the organisation and can help facilitate a humanitarian-development nexus approach. Most of IOM’s operations are now taking place within these large-scale humanitarian operations, which takes most of the organisation’s resources. IOM continues to review its approach to such situations.</p> <p>3.6.2 IOM maintains a fast-track recruitment and emergency staff roster to help respond to new and escalating crises. IOM maintains an emergency roster to surge staff into new emergencies, by redeploying staff from existing positions on a temporary basis. The roster aims to facilitate the identification of specialized experts to support urgent staffing needs. Roster members are pre-vetted by designated experts. Candidates whose profiles match the required needs for specific operations will be contacted for deployment. In September 2022, a global repository of skills upon coordination across all departments was created. So far, of 4 124 candidate profiles, 197 expressed interests and 891 vetted for 20 opportunities. Additionally, IOM has two rapid mechanisms to reassign existing staff from non-crisis countries to crisis situations: the TDY (Travel on Authorized Duty, up to one month, with only daily subsistence allowance paid by receiving mission) and the STA (Short-term Term Assignment, for more than one month, with salary covered by receiving mission). Between the start of the Ukraine war in February 2022 and December 2022, IOM made 408 deployments to 16 countries, with 378 in-country deployments and 30 remote deployments. In addition to its own emergency roster of existing IOM staff, the organisation also has a series of agreement with standby partners to deploy staff to IOM operations.</p> <p>3.6.3 Safeguards are in place to ensure that new staff are well qualified and have no black marks against them related to Sexual Exploitation and Abuse. Systems are in place to track abusers and prevent their hire. As a member of the UN Chief Executives Board for Coordination (CEB), IOM participates in the UN ClearCheck. However, it is recognised by IOM staff to be the bare minimum requirement specific to the UN system, and not an adequate safeguard in the context of emergency and crisis response to prevent the rehire of abusers. Furthermore, whilst the 2022 Prevention of Sexual Exploitation, Abuse and Harassment (PSEAH) toolkit states that all soon-to-be recruited IOM staff, consultants, interns, daily workers, etc. must be cleared by UN ClearCheck before receiving a contract, there was not a unanimous understanding amongst</p>	2, 3, 4, 72, 155, 348, 408, 411, 417, 418, 452

interviewed staff of the use of ClearCheck for non-permanent staff. IOM is committed to the Misconduct Disclosure Scheme for the Ukraine Mission. However, this requires extensive inputs from HR departments, and the extent to which it will be utilised for rapid deployments is unknown. Whilst lack of proper vetting of humanitarian staff is acknowledged as a risk during crises, there is limited other guidance on IOM safeguards and systems for ensuring new staff have no 'black marks' in relation to sexual exploitation, abuse and harassment (SEAH), in the PSEAH Toolkit or IOM Institutional Framework for Addressing Gender-Based Violence in Crisis. At most, the Toolkit provides general guidance on recruitment, including interview questions, appropriate onboarding, and background checks, but we found no evidence as to whether these are systematically applied in the field.

3.6.4 IOM has dedicated funding windows set aside for anticipatory action and major contingencies, including seed funding for new and escalating crises, but at well below the scale required.

The majority of IOM's funding (57% in 2021) is for humanitarian assistance. However, this comes almost entirely from voluntary contributions from donors and the organisation does not have at-scale centralised financial resources for using in the case of quick onset emergencies. According to an internal interview and IOM's corporate emergency activation overview, IOM maintains a small emergency fund (Migration Emergency Funding Mechanism [MEFM]) to lend funds to country missions to initiate new activities, while they are mobilizing resources from donors. It also has a small fund to directly allocate resources for early/anticipatory actions in the event of new crises. However, these funding windows are small, relative to the size of IOM operations in such crises and, in the case of the MEFM, are operating at well below their planned resourcing levels. They are rarely used for major crises and are more likely to be useful in neglected crisis. Despite limited ability to dedicate core funds to new emergencies, both donors and other external partners interviewed for this assessment commended IOM for being one of the quickest agencies to respond to new emergencies.

3.6.5 IOM has simplified procurement, logistics and other administrative measures in place for scale up situations.

To facilitate a timely and effective response to quick onset and rapidly escalating crises, IOM maintains simplified procurement, logistics and other administrative policies and procedures. IN/284 Changes to Procurement, Implementing Partners Selection and Related Contracting Procedures outlines the changes to procurement and contracting rules and procedures in order to increase the speed and efficiency of IOM's procurement and contract management. They also simplify contracting procedures for implementing partners. These changes apply in L1, L2 and L3 emergencies, and other operations that the Director-General declares an emergency situation. The Migration Crisis Framework is the main policy guidance for how IOM will respond with 44 Crisis Response Plans in place for different emergencies.

3.6.6 IOM effectively supports humanitarian system wide approaches in scale up situations, including supporting leadership, co-ordination structures, common plans/appeals etc.

IOM is an active member of the Inter-Agency Standing Committee and supports system-wide responses to crises in a variety and growing number of ways. External partners noted that IOM is one of the most active and operational members of the Emergency Directors Group (EDG) and the support it provides to on-going crisis response. IOM has had cluster lead responsibilities for the Camp Coordination and Camp Management (CCCM) cluster, operating in 33 countries, including 17 crisis response contexts. It is also leading the Shelter/NFI cluster in several contexts, even though UNHCR and IFRC have the formal lead, given that IOM is sometimes the dominant actor in this area. While this has caused some concern from other

organisations, it is recognised as a pragmatic solution, given the scale of IOM's operations. As well as its cluster responsibilities, IOM's Displacement Tracking Matrix (DTM) assesses the movement and protection and assistance needs of IDPs in over 90 countries and is a key assessment tool for the inter-agency Humanitarian Needs Overview (HNO). IOM is also active in other cluster and also on cross-cutting working groups such as related to the nexus, accountability to affected populations, humanitarian access, etc. IOM has also played an inter-agency lead role on prevention of sexual exploitation and abuse (PSEA).

3.6.7 IOM has appropriate procedures, including triggers, in place to transition out of surge/scale up processes towards regular operations.

The IASC and IOM scale up procedures also include guidance on when the response should be scaled back towards transition and regular operations. IOM had been in positions where its emergency response had lasted indefinitely, including in Syria and other protracted crisis. It therefore revised its procedures so that emergency responses can only last 3-6 months, after which regular functions are passed back to regional and country offices. The establishment of the Department of Peace and Development Coordination is intended to support the transition of IOM's emergency response towards recovery and development.

MI 3.6 Evidence confidence

Medium confidence

KPI 4: Organisational systems are cost- and value-conscious and enable transparency and accountability.

KPI score

Satisfactory

2.66

IOM has appropriate systems in place to prevent, detect, investigate and sanction cases of fraud and corruption. Its heavily project-based funding leaves it with very limited core funding to allocated to priority themes or countries. It has no means of reallocating resources to underfunded crises and relies on raising new funds to respond to new or evolving crises. IOM does not as yet have a functional system of results-based budgeting, except at project level, but has developed a Strategic Results Framework and is in the process of putting in place a new Enterprise Resource Planning (ERP) Platform that will support the introduction of results-based budgeting in the coming years.

IOM's investigative, audit and oversight mechanisms are independent and generally adequately resourced, but the resourcing of the Internal Audit function as per the internal audit unit staff however is not commensurate to the growth of the organization. The organisation has processes in place to ensure it follows up on findings and recommendations in a timely manner. IOM has no overarching definition of 'value for money' (VFM) but engages in regular dialogue with Council members on related matters. It has processes in place to achieve economy in its procurement but lacks a systematic approach to assessing and maximising VFM in its planning and programming. The organisation is compliant with counterterrorism, anti-money laundering and related laws and requirements. IOM generally manages its data responsibly but is working to overcome risks linked to gaps in its ICT infrastructure in the field. It is an acknowledged leader in inter-agency data and knowledge management efforts.

IOM has appropriate systems in place for the protection of whistle-blowers. It has dedicated policy statements on prevention of sexual exploitation and abuse (PSEA) that meet, and in some respects exceed, international standards, supported by training and awareness-raising. It is a leading contributor to inter-agency PSEA efforts. IOM has recently introduced guidance on due diligence of implementing partners but lacks adequate mechanisms to track implementation of its PSEA policies, while its commitment to adopting a victim-centred approach is yet to be implemented effectively. IOM lacks a dedicated policy on sexual harassment (SH), although it is mentioned in other policies. A range of SH reporting channels are in place and the organization reacts in a timely way in response to complaints.

MI 4.1: Policies, procedures and systems exist to prevent, detect, investigate and sanction cases of fraud, corruption, and other financial irregularities, as well as conflict of interest.

Score

Overall MI rating

Satisfactory

Overall MI score

2.80

Element 1: A clear policy/guideline on fraud, corruption and any other financial irregularities is/are available and made public. Ethics is a priority for the organisation with a strong tone from the top, an appropriate code of conduct in place, and processes to prevent conflict of interest.	3
Element 2: The policy/guidelines clearly define/s the management and staff roles in implementing/complying with them, and the system is adequately resourced	2
Element 3: Mandatory staff training/awareness-raising is provided on policy/guidelines with additional more specialized trainings provided where appropriate	3
Element 4: There is evidence of policy/guidelines implementation, e.g., appropriate measures are taken and reported and there are effective channels/mechanisms in place for reporting any suspicion of misuse of funds, evidence of timely investigations being undertaken, proportionate and dissuasive sanctions applied and recovery of defrauded funds.	3
Element 5: Cases of fraud and corruption are referred to national legal bodies under both criminal and civil liability.	Not scored
Element 6: Appropriate reporting is taking place, including immediate reporting of cases to donors as well as frequent reporting on cases of fraud, corruption, and other irregularities, including actions taken, and ensuring that the outcomes of investigations are made public.	3
MI 4.1 Analysis	Evidence documents
<p>4.1.1 IOM has a clear guideline on fraud, corruption, and any other financial irregularities, and these are accessible and public. Ethics is a stated priority for IOM's leadership, and an appropriate code of conduct and processes to prevent conflicts of interest are in place.</p> <p>IOM has a framework for fraud, corruption, and financial irregularities, as well as a code of conduct, policies, guidelines and processes, including:</p> <ol style="list-style-type: none"> 1) Fraud Awareness and Prevention Guidelines. 2) Policy on Reporting Irregular Practices, Wrongdoing and Misconduct. 3) Reporting and Investigation of Misconduct Framework. 4) Policy for Protection against retaliation for reporting misconduct or cooperating with investigations and audits. 5) Process Guide on Implementing Partner Selection. 6) Project Implementation Agreement. 7) IOM Standards of Conduct. <p>These policies and guidelines are publicly available and reported on by the organisation. Ethics is a priority for the organisation, as outlined in relevant communication and reports from the DG and are central to the Internal Governance Framework and the work of new DDG for Management and Reform. There are references in the IOM Standards of Conduct to conflict-of-interest rules and disclosure requirements.</p> <p>4.1.2 IOM policy/guidelines clearly define the management and staff roles in implementing them, and the system is adequately resourced.</p> <p>The roles of management and staff in implementing/complying with relevant policies and guidelines are clearly defined in the Fraud Awareness and Prevention Guidelines (2006) and the Reporting and Investigation of Misconduct Framework (2019). The Office of the Inspector General (OIG) is responsible for investigating such incidents, with the Department of Legal Affairs determining the sufficiency of the misconduct, and, if appropriate, recommending a disciplinary process to IOM's senior management. IOM has invested significantly in its investigation capacity since the last MOPAN assessment and is considered adequately resourced. The legal function in IOM, by contrast, is not assessed by key internal stakeholders as on stable footing, given the poor tenure of contract for many of its staff. Similarly, according to interviewees, the Ethics Office is also not adequately resourced, with only three staff. The Joint Administrative Review Board (JARB) is also under-resourced, being reliant on staff who volunteer to take on JARB responsibilities in addition to their regular full-time responsibilities.</p>	4, 87, 92, 93, 94, 95, 134, 157, 158, 162, 163, 170, 209, 348, 368, 381, 387, 389

4.1.3 Mandatory staff training/awareness-raising is provided on policies and guidelines, with more specialized training provided where appropriate.

Training is provided to IOM staff on relevant policy/guidelines on fraud and corruption, as well as through the IOM Project Manager's training modules. Training on IOM's Code of Conduct is mandatory, and the Ethics Office conducts refresher training, all of which was online during the COVID-19 pandemic. IOM has positive experiences with the shift to online training, as it increased coverage of staff. The use of Slido (a tool for polling, Q&A, quizzes etc) makes it more interactive. In 2021, 21 900 staff were trained, in English, French and Spanish. Implementing partners receive orientation and awareness raising on IOM's codes of conduct. 'Preventing Fraud and Corruption at the United Nations' is a mandatory course for all UN staff members, as well as 'Ethics and Conduct at IOM' which covers core ethical values that all staff members must adhere to.

4.1.4 IOM's policies on fraud and corruption are being implemented, with effective channels in place for reporting suspicion of misuse of funds, evidence of timely investigations, proportionate and dissuasive sanctions applied, and recovery of defrauded funds.

Fraud, corruption and other financial irregularities are the most commonly reported category of misconduct within IOM, with a small number of country missions accounting for most incidents. Following significant investment in IOM's investigative capacity since 2019, there has been a significant increase in the number of cases coming to light: from 236 in 2018 to an anticipated 1 500 in 2022. IOM has introduced an online platform – called "We Are All In" – to facilitate reporting of allegations, but this is used by only 30% of reporters, including SEA allegations, which are mostly reported by e-mail or in person. In 2019, there was a backlog of unprocessed cases, but this has since been reduced. There was no significant impact from the COVID-19 pandemic on the processing of cases. While there is a functioning system in place, the high number of cases concentrated in a limited number of country offices suggests that there is more scope for preventative action to tackle the problem.

4.1.5 There is no data on the number of cases of fraud and corruption referred to national legal bodies.

The IOM Director-General has the authority to waive immunity, where this is in the interests of the organisation and where it is necessary in order not to impede the course of justice. As the number of requests for waivers is very small, these are dealt with on a case-by-case basis, although guidance is under development by the Department of Legal Affairs. We could not find any data on the frequency with which causes of fraud and corruption are referred to national legal bodies.

4.1.6 Appropriate reporting lines are in place for cases of fraud, corruption and other irregularities, and the outcomes of investigations are made public.

The OIG reports annually to the Standing Committee on Programmes and Finance of the IOM Council on allegations of fraud, corruption and other misconduct, including SEA and SH. It also reports to the Audit and Oversight Advisory Committee. IOM reports statistical information relating to misconduct to stakeholders regularly including by providing the Investigation Caseload Statistics. Details on the immediacy or frequency of reporting of cases to donors depends on the specific project agreement signed and the requirements of this; IOM has over 3 000 active projects at any one time, so it is not possible to generalise about these. Initial reporting to donors is done at country level. This raises some confidentiality concerns, but interviewees considered this a pragmatic solution, given the practical difficulties in centralizing reporting.

MI 4.1 Evidence confidence

Medium confidence

MI 4.2: Transparent decision making for resource allocation, consistent with priorities that may shift over time.	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.00
Element 1: Core/non-earmarked funding is allocated to priority themes/countries/regions as set out in the strategic vision	1
Element 2: There is specific consideration and allocations for underfunded crises, and for the regional and cross-border impacts of crises	1
Element 3: Allocation criteria are flexible and allow for adaptation as protracted crisis contexts evolve positively or negatively	2
Element 4: All resourcing, including resource allocation decisions from core or unearmarked funding, are made public, including through IATI and/or the OECD Creditor Reporting System.	3
Element 5: There is cost recovery from programme activities, sufficient to resource required programmatic oversight.	3
MI 4.2 Analysis	Evidence documents
<p>4.2.1 IOM has limited core/non-earmarked funding that can be allocated to priority themes, countries or regions.</p> <p>IOM has a limited amount of core, unearmarked funding (MIRAC), amounting to just USD 38 million in 2021 or 1.5% of the organization’s overall income. The administrative part of the budget (based on assessed contribution of member states) and the operational support income (overhead/cost recovery from programme activities) are used to fund core staff positions, predominantly at headquarters, regional, administrative and liaison offices. In addition, IOM receives unearmarked funding from a core group of donors. Decisions on allocation of these funds are made by the MIRAC committee, which is chaired by the DDG Operations. MIRAC funds are insufficient, however, to support underfunded or new crises, for which IOM only has a loan arrangement. Therefore, IOM has limited capacity to provide core funding to where it considers needs are greatest and or to support underfunded priorities under its Strategic Vision. Instead, MIRAC funding is predominantly used to support the implementation of the Internal Governance Framework (IGF), the UN Migration Network Secretariat and to strengthen key governance and oversight functions and, to a lesser degree, other programmatic priorities that might be presented by different departments. Despite budget reforms and efforts to increase core-unearmarked funding, the resources available for IOM’s core structure have not been able to keep pace with the rapid expansion of the organisation’s budget and operations.</p>	3, 152, 185
<p>4.2.2 IOM has no means of providing allocations for underfunded crises, other than undertaking additional fundraising. Regional and cross-border impacts of crises are addressed through regional programmes in some contexts.</p> <p>IOM’s financial framework means that the funds available to respond to specific crisis depends on the money raised from donors in any given context. The IOM budget structure does not allow for core resources to be allocated to supported country operations. While approved budgets reforms in 2022 will begin to fund Chief of Mission and Resource Management Officer positions in country missions, there is no core funding that is allocated to support programmes in underfunded crises. The emergency fund that IOM has in place is used for quick onset and escalating crises, rather than underfunded crises. IOM has no scope to shift project resources from one context to another without donor approval. The regional and cross-border impacts of crises, however, can in some cases be addressed by regional programmes developed by IOM’s regional offices. There are several examples where IOM is taking a regional approach to migration crises.</p>	
<p>4.2.3 IOM relies on the availability of new, earmarked funding to respond to evolving crises,</p>	

given the inflexibility inherent in its project funding.

IOM does not have allocation criteria to allow for its financial resources to be channelled to where it considers there are operational priorities. Instead, the unearmarked funding that it receives is used to fund the core structure of the organisation and other corporate initiatives. IOM therefore relies on earmarked funding from donors to shift its programme focus as protracted contexts evolve. The IOM funding model is not necessarily an impediment to operating effectively in dynamic contexts, and indeed the organisation displays a high level of flexibility, within the scope of its Strategic Vision, Migration Crisis Operational Framework and other policy guidance documents. Indeed, IOM has been able to secure both humanitarian and development aid to transition its assistance.

4.2.4 All IOM resourcing, including resource allocation decisions from core or unearmarked funding, are made public, including through the International Aid Transparency Initiative (IATI), but IOM does not report to the OECD Creditor Reporting System.

Following its annual external audit, IOM is required to report on the utilisation of its income and expenditure to the IOM Council during the Standing Committee on Programmes and Finance's yearly sessions. It publishes information on how its resources are used through its annual reports. IOM also produced a public report on its use of unearmarked funding (MIRAC) and has reported to IATI since 2017. Its humanitarian funding is tracked through the OCHA Financial Tracking Service. However, unlike other UN organisation, IOM does not report on its aid-funded expenditure through the OECD Creditor Reporting system, and we heard no explanation for this gap, which should be remedied.

4.2.5 IOM implements a cost recovery system from programme activities that contributes resources to programmatic oversight.

IOM's core structure is funded from Member State assessed contributions and Operational Support Income (OSI). The Administrative Part of the Budget is funded from the assessed contributions paid by the Member States and is used to cover administrative costs of the Organization. OSI is derived principally from the overhead rate on projects, plus miscellaneous income. IOM charges an overhead of 7% to its donors, which was agreed by its Council members in 2014. This rate is slightly higher than some other UN agencies, which charge 6.5%. Along with interest payments, the revenue from overheads makes up what IOM calls its OSI. It is considered core funding by IOM and together with the administrative part of the budget from member states membership contributions and the unearmarked funding (MIRAC) from certain donors, it contributes to the resources available to fund IOM's core structure, including programmatic oversight. As its global portfolio grows, the OSI increases proportionately. Given that it is set at a similar or higher level to other UN agencies, there is limited scope to increase it.

MI 4.2 Evidence confidence**High confidence****MI 4.3: Results based budgeting is in place, appropriate and used.****Score****Overall MI rating****Unsatisfactory****Overall MI score****2.00**

Element 1: Corporate budgets are organized by corporate objectives and outcome areas

2

Element 2: Budget allocation decisions are driven by strategic decisions around intended results under each corporate objective, informed by an understanding of trade-offs and opportunity costs. Consideration is given to the value of preventive action and investments in resilience, to minimize high-cost emergency response

2

Element 3: Each spending programme is aligned with a corporate objective and outcome area in the RBM system. This drives aggregation of expenditure to outcomes and objectives, for budget reporting

2

MI 4.3 Analysis	Evidence documents
<p>4.3.1 While IOM does not as yet have a functional system of results-based budgeting, it has developed a Strategic Results Framework and put in place building blocks for results-based budgeting, which will be rolled out progressively over the coming years.</p> <p>IOM is working towards a system of results-based budgeting, which will allow it to break down its budget according to the priorities and results areas defined in its Strategic Vision and Strategic Results Framework. IOM finalized its Strategic Results Framework (SRF) in December 2021. It then worked to develop the next level of programmatic, cross-cutting, and organizational effectiveness and efficiency indicators throughout 2022. Starting from late 2022, these indicators were first incorporated into IOM Development Fund projects to ‘stress test’ them. Additionally, these indicators were incorporated into IOM’s Project Management and Implementation (PRIMA) system, allowing IOM to use standardized indicators across its programming. Through PRIMA, IOM currently has the ability to break down expenditure against the SDGs, as per the UN Chief Executive’s Board for Coordination (CEB) requirements for system-wide reporting. In parallel, IOM has updated the format of its Annual Report to align with the Strategic Vision/Strategic Results Framework. To collect results data for the Annual Report, IOM has aligned its Institutional Questionnaire (an instrument for collecting results data from country offices) to match the SRF structure and include SRF indicators.</p> <p>The new Enterprise Resource Planning (ERP) system, now under preparation, is intended to give IOM the capacity to align its strategic objective, resource allocation and results reporting, thereby moving to results-based budgeting. However, IOM recognises that this will need to be a gradual process. IOM has a current portfolio of more than 3 000 projects, and retroactively adding indicators to them is not considered feasible. The new system will therefore be applied to new projects developed following the full roll-out of the SRF indicators. Work will then focus on designing enhanced data aggregation and analysis tools. The process of collecting quality baseline data will take time (at least two full reporting years), to allow for comparison and analysis. To ensure that the organization moves forward coherently on this, it will be important to ensure that COMs/RMOs are funded from the core budget, to allow them to give this new budgeting and reporting process greater attention, to balance their current focus on their own project portfolios and local donor reporting. We heard some concern from staff in country offices at the volume of reform initiatives that IOM is currently undertaken. While there is recognition that these have increased organizational efficiency, there is concern at the possibility of further burdening the already overstretched field capacity.</p> <p>4.3.2 Given the project-based nature of IOM’s resources, budget allocations are driven primarily by shifts in the composition of the project portfolio, with limited ability to address trade-offs and opportunity costs. However, IOM does make substantial investment in building resilience.</p> <p>In practice, IOM’s resource allocation reflects the evolving composition of its project portfolio, rather than a system for aligning budgets with strategic priorities. Implementation of the new results-based budgeting system will require the tailoring of individual project results indicators to the new Strategic Results Framework. In practice, however, IOM projects are developed and agreed directly with member states and donors, many of which stipulate their own results indicators and monitoring and reporting requirements. The PRIMA system is designed with the flexibility to accommodate this, which is important as this currently limits the capacity of country office managers to tailor their portfolios to SRF objectives and indicators and align with corporate budgeting categories. It is anticipated that this will be addressed over time through successive iterations of the SRF. At present, there is limited scope for assessment of trade-offs and opportunity costs. There is no formal process for</p>	<p>3, 8, 9, 14, 42, 84,123, 432</p>

weighing up the merits of investing in preventative action and building resilience, as compared to emergency response. Nonetheless, while humanitarian response accounts for 60% of IOM's total budget, development assistance (including investment in resilience) stands at 30%, which is a significant level.

4.3.3 The RBM system, operationalized through PRIMA, will allow for aggregation of expenditure to outcomes and objectives in budget reporting, but is not yet fully operational.

IOM is in the process of aligning its projects with its corporate objectives and outcome areas, through the integration of standard indicators under the Strategic Results Framework. However, this will be done progressively through the launch of new projects, rather than attempting to retrofit new indicators to existing projects. It will therefore take some time to accomplish. The current design of PRIMA allows for aggregation of expenditure by SRF and SDG outcome areas, for budget reporting purposes, as well as supporting the creation of monitoring dashboards for critical project, programme, and portfolio performance measures, like time elapsed from project preparation and approval to implementation, number and ratio of no-cost extensions and other. While the current system allows for a level of budgeting against strategic objectives, this is expected to improve substantially in the coming period with the roll-out of the new ERP system.

MI 4.3 Evidence confidence

High confidence

MI 4.4: Effective independent mechanisms ensure appropriate oversight and provide assurance to management, governing bodies and other stakeholders.

Score

Overall MI rating

Satisfactory

Overall MI score

3.5

Element 1: Oversight and judicial bodies are truly independent, with no relationship with the organisation or broader system.

4

Element 2: Oversight and judicial bodies are adequately resourced to fulfil their mandate

3

Element 3: Oversight, investigations and judicial staff are hired by an independent body, their terms are fixed and there are processes to ensure there is no possibility of employment or reemployment for these staff or their family members. These staff have the right specialist expertise, particularly regarding SEA investigations.

2

Element 4: External audit and other reviews, [UN] including OIOS and UN system audits and the Joint Inspection Unit, are regularly conducted and confirm compliance with internationally accepted standards.

4

Element 5: Internal audit function is independent, adequately resourced, meets internally accepted standards has an appropriate and risk-based audit plan in place, is delivering adequate audit coverage, regularly conducted, and does not disincentivize staff from taking measured programming risks and taking forward innovative approaches. The internal audit function meets transparency expectations from all stakeholders.

4

Element 6: Issues identified by external and internal reviews and processes are followed up and deficiencies corrected in a timely manner. Criminal actions are immediately referred to national authorities and are not considered covered by diplomatic immunity.

4

MI 4.4 Analysis

Evidence documents

4.4.1 IOM oversight and judicial bodies operate independently according to agreed policies and procedures.

IOM's Office of Inspector General (OIG) acts independently, in so far as it administratively reports to the DG and its work is reviewed by the five-person Audit and Oversight Advisory Committee, made up of pro bono, non-IOM staff who are independently appointed for a three-year term (renewable once) and provide advice to the DG. OIG also reports annually to the IOM Standing Committee on Programmes and Finance (SCPF). These provisions are set out in the OIG Charter. Appeals by staff members of administrative decision, including

4, 11, 83, 155, 158, 161, 210, 368, 380, 440

relating to misconduct may be brought before the International Labour Organization (ILO) Tribunal, which operates completely independently of IOM. IOM also has an Office of the Ombudsperson (OOM) which address issues related to work at IOM—such as conditions of employment, the administration of benefits, and managerial practices—through Alternative Dispute Resolution (ADR) services and the reporting of systemic issues and recommendations to safeguard Organizational effectiveness. OOM is independent and reports administratively to the Director-General, and it also has a Charter which outlines the principles under which it will operate, including independence, impartiality and neutrality, confidentiality, and informality. Its jurisdiction is over the informal process of IOM’s Internal Justice System.

4.4.2 IOM oversight and judicial bodies are adequately resourced to fulfil their mandate.

The last MOPAN assessment report identified the need for IOM to strengthen its oversight function. Subsequently, IOM has significantly invested in its investigation capacities, with the number of staff positions rising from 10 in 2019 to 23 in 2022. According to interviewees, the increased presence and visibility of the investigations function has led to a large rise in the number of reported allegations. In 2019 there existed a significant backlog of unprocessed cases, but this was cleared by the end of 2021. Following the current planned recruitment, the investigation function will be considered at full capacity unless there is an unforeseen increase in its caseload. However, the investigation system in IOM remains significantly centralised. Devolving investigators to regional and country offices would allow lower-level cases of misconduct to be addressed locally, significantly bring down costs. Greater focus on preventive and directive controls, as well as staff appraisal, could also help reduce the number of reported cases. There was limited documentary evidence on the adequacy of oversight resources, however, the Working Group on Budget Reform noted that some oversight and audit functions needed to be strengthened. While IOM’s investigation function is now perceived to be adequately resourced by an interviewee, there is still a perception that the Office of the Ombudsperson and Mediation Services (OOM) is considered to be understaffed as compared to other UN agencies, despite the establishment of one new post from core funding since the last MOPAN assessment. The Department of Legal Affairs is also under-resourced and the legal staff that are in place lack security of tenure, which inhibits the ability to attract and/or retain good legal staff.

4.4.3 IOM oversight, investigations and legal staff are not hired by an independent body. Measures have been taken to increase the available of specialist skills.

The IOM Inspector General is appointed by the Director-General, while OIG staff are directly recruited by the organisation through the normal human resources procedures. This may differ with some UN processes, which is to entrust an independent body to engage these staff. The IOM Ombudsperson also should be recruited by an independent body, given the nature of the role and the type of complaints it handles, and the offices should follow the International Ombuds Association’s Best Practices on recruitment. In recent years, IOM has invested in specialist investigation skills, including on sexual exploitation and abuse.

4.4.4 External audit and other reviews are regularly conducted and comply with international standards.

IOM maintains its own internal audit function, in conjunction with external actors. Internal audits cover entities (including field/regional and central offices), projects, and processes. There are also external project verifications funded by donors, as well as external auditor assessments. The following external assessments are conducted annually: audits of IOM’s Financial Statements, in accordance with international standards; operational audits, to verify that processes are in line with IOM’s own global financial regulations; and audits of implementing partners on a sample basis. IOM carries out approximately 100 project external verifications, 20 internal audits and 20 external audits each year. According to a recent

review, the audit function operates according to industry standards. It has been through quality assessment three times, and in the last one, in 2021, received the highest rating for conformance. The audit function has been decentralised, with staff based in the administrative centres in Manila and Panama, in addition to Geneva headquarters.

4.4.5 The internal audit function is independent and meets internally accepted standards and transparency expectations from all stakeholders.

The OIG, in addition to its investigation capacity, includes the internal audit function in IOM, and its independence is secured by the OIG Charter and the reporting procedures outlined above. The internal audit function adapts its annual workplan of audits to existing resources which are limited. Approved staffing levels of the audit function over the review period remain largely unchanged since 2015 and consistent at 13 staff. According to an independent external quality review by KPMG, IOM’s internal audit function “generally conforms” with the mandatory elements of the International Professional Practices Framework (IPPF), including the Definition of Internal Auditing, the Core Principles, the Code of Ethics and the IIA standards, released by the Chartered Institute of Internal Auditors (IIA).

4.4.6 Issues identified by external and internal reviews and processes are followed up and deficiencies corrected in a timely manner. Requests for waiver of immunity following criminal conduct are dealt with on a case-by-case basis.

IOM has systems in place to ensure a systematic management response to audits and evaluations, and other ad hoc reviews are dealt with in a similar way. Regarding the internal audit function, there have been increased efforts since 2019 to proactively monitor and follow up on outstanding recommendations, and investments have been made in particular to enhance the audit management software. In January 2021, the internal audit function rolled out a new system allowing audit clients to provide a direct update regarding outstanding recommendations online, so as to improve efficiency and timeliness, and better engage audit clients in the follow-up process. This system is now fully operational: all recommendations are tracked and monitored online, with audit clients able to sign into the system to access recommendations and provide direct updates and supporting documents. The reporting modules of the new system have also been developed further, to allow more proactive monitoring of audit recommendations through a dedicated dashboard, which shows the maturity of audit recommendations in relation to the implementation date agreed with audit clients. Since June 2022, this new internal audit function has been involved in the establishment of key performance indicators regarding the implementation of internal audit recommendations as part of the results-based management initiative, through reporting the results of the follow up and of the status of the implementation of audit recommendations every quarter to the Audit and Oversight Advisory Committee, and to various IOM stakeholders (including regional offices), as well as, annually, to the relevant session of the Standing Committee on Programs and Finance (SCPF). As of November 2022, there were 234 open audit recommendations reported to the 31st SCPF session, and none was long outstanding (i.e. pending for more than 12 months after the established follow-up date). Of the total recommendations, 47 recommendations were assessed as due for follow-up according to the agreed implementation date with the auditees and are being closely monitored with the respective owners of the recommendations.

For external audits, all recommendations are reviewed centrally, while they remain the responsibility of the relevant mission/department. A follow-up of external audit recommendations is done twice a year, and all recommendations are logged into a central database and an implementation update is provided before each Standing Committee on Programmes and Finance, to be made available to the Member States for their review.

As regards the scope of immunity enjoyed by IOM staff, this depends on the bilateral agreements between IOM and each country. Even where IOM enjoys the broadest scope of immunity, equivalent to those set out in the 1947 Convention on the Privileges and Immunities of Specialized Agencies, most staff members hold only a basic functional immunity, and diplomatic immunity is only accorded to IOM Director-General, Deputy Director-General, and staff at a certain level, such as Chief of Mission or Head of Office. The IOM Director-General has the authority to waive this immunity in cases where it would impede the course of justice and the waiver would not prejudice the interests of the Organization. No specific policies have been developed to date to govern such waivers, which are handled on a case-by-case basis. The Department of Legal Affairs is currently preparing guidance on these matters, including on procedures for referral of staff members to national authorities. This exercise remains in its early stages.	
MI 4.4 Evidence confidence	Medium confidence
MI 4.5: The organisation provides value for money	Score
Overall MI rating	Satisfactory
Overall MI score	2.83
Element 1: There is a clear definition, agreed with stakeholders, of what value for money means for the organisation, to avoid expectation gaps	3
Element 2: Economy – there are processes in place to ensure cost minimization in all budgeting and programming. Budget variance analysis is in place.	3
Element 3: Economy – there is a clear and regularly reviewed justification for the overhead cost rate applied to grants. Headquarters costs funded from overhead costs recovery provide value for money.	3
Element 4: Efficiency – Value for Money audits are correctly scoped and regularly conducted (also called performance audits, technical audits, procurement audits, system audits, process audits)	3
Element 5: Effectiveness – Value for money is part of the planning process. The MOPAN survey and other organisational tools and reviews demonstrate the effectiveness of the delivery of valuable outputs versus the cost of those outputs. Plans are reviewed based on lessons learnt.	2
Element 6: Equity – the approach to value for money incorporates a commitment to reaching marginalized groups and those most at risk, (even when costs to deliver to this population may be higher), and harder to measure activities are not disadvantaged.	3
MI 4.5 Analysis	Evidence documents
<p>4.5.1 IOM does not have a clear definition of value for money agreed with stakeholders but engages in regular dialogue with Council members on value for money within its administrative budget.</p> <p>IOM does not have a global definition of value for money that is agreed with its main stakeholders, such as Council members and its donors. However, there are guidelines on assessing value for money in the procurement manual. IOM Council meeting reports and minutes confirm that regular dialogue with Council members about IOM’s administrative budget are held yearly, which addresses value for money issues, and the budget reforms agreed in 2022 are oriented towards improving value for money. The assessment received feedback from IOM’s donors to the effect that IOM generally provides value for money as a UN agency and as a key humanitarian, development and peace partner.</p>	14, 106, 193, 368
<p>4.5.2 There are processes to minimise administrative costs through delocalisation, but there is no systematic approach to driving value for money in programming.</p> <p>Cost-efficiency is an important element of the IOM budget preparation process, and it was a key feature of the budget reform process that took place between IOM and its Member States that was finalised in June 2022. Delocalisation has been the primary cost-efficiency</p>	

tool, in particular through the establishment and development of the Manila and Panama Administrative Centres. Savings generated from the delocalization initiative are estimated at approximately USD 20 million per year. It is not just administrative functions that have been regionalised, but also other corporate functions. For example, except for the Division Head, all of the lawyers within the Department of Legal Affairs' Contract Law Division are not based in headquarters. At the programming level, the assessment found no evidence of a systematic approach to value for money assessment – for example, comparison of unit costs across similar programmes in different contexts, to identifier outliers and derive lessons on cost-efficiency. However, we received positive feedback on IOM's ability to achieve economy through its local procurement processes and its preference for sourcing local goods, where available.

4.5.3 IOM has a clear and regularly reviewed justification for the overhead cost rate applied to grants. Headquarters costs funded from overhead costs recovery provide value for money.

IOM overhead of 7% was approved by the IOM Council in 2014 and is applied to all donor grants with donors and is comparable to other UN agencies. It is kept under review but unlikely to change. The overhead costs contribute to IOM Operational Support Income (OSI), which is used inter alia for funding the core structure of the organisation, especially key functions at its Headquarters, Regional Offices, Special Liaison Offices, Administrative centres, Country Offices with Resource Mobilization Functions and Country Offices with Coordination Functions. This core structure is considered the minimum that the organisation needs, given the scale of its operations, and in this sense provides value for money.

4.5.4 IOM's internal audit programme covers a range of systems and processes that are central to achieving value for money.

While IOM does not use the term 'value for money audit', its audits in the assessment period have covered a range of systems that are key to achieving value for money, such as budgeting and financial planning, use of third-party contractors, and risk management.

4.5.5 There is no systematic consideration of value for money in planning process, but procurement processes are focused on achieved economy.

The assessment found no evidence of routine, formal consideration of value for money in planning and programme design. The organisation demonstrates a concern with economy through its procurement processes, and stakeholders were of the view that IOM's preference for local sourcing of goods generally ensures good value. However, we found no evidence of cost-efficiency analysis in project design, or of cost variance analysis across similar programmes being used to identify lessons on value for money, to inform planning.

4.5.6 There is no sign that a concern for value for money is leading IOM to compromise on equity in its programming.

While IOM does not have formal value for money framework that includes equity. However, there is good evidence from evaluations of IOM routinely targeting vulnerable individuals and marginalised groups in its programming, which suggests that cost considerations are not a barrier to equity within IOM's programming.

MI 4.5 Evidence confidence

Low confidence

MI 4.6: Organisation complies with counterterrorism, relevant anti-money laundering and terrorist financing laws and regulations and other sanctions related restrictions.

Score

Overall MI rating

Satisfactory

Overall MI score

3.00

Element 1: Organisation is aware of relevant counterterrorism and other sanctions related and legal restrictions, and can demonstrate how it is actively applying these to programming and operations decisions	3
MI 4.6 Analysis	Evidence documents
<p>4.6.1 IOM is aware of relevant counterterrorism and other sanctions-related and legal restrictions and can demonstrate how it is actively applying these to programming and operations decisions.</p> <p>IOM is a signatory to the UN Global Counter-Terrorism Coordination Compact as an observer entity and applies this to programming and operations decisions. Policies, procedures, and systems are in place to manage the risk of its resources being diverted to terrorism. It screens its own staff and carries out due diligence of implementing partners. IOM's governance framework and programming portfolio reflects its full commitment to supporting efforts to counter terrorism. Counter-terrorism measures are aligned with UN standards and usually part of donor agreements. They are embedded in all IOM procurement processes and eligibility criteria for IOM vendors, including vetting vendors against the UN Security Council Consolidated List. IOM vendors also have to sign the United Nations Supplier Code of Conduct, which outlines the expected standards. According to stakeholders, the system is considered to be working well on the operations side, with further mitigation taking place at the project level.</p>	37, 348
MI 4.6 Evidence confidence	High confidence
MI 4.7: Organisation manages data and information responsibly	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
<p>Element 1: Organisation complies with data responsibility, including organisation-level data responsibility diagnostics, maintaining an organisation-level data asset registry, contributing to data ecosystem mapping exercises, conducting data impact assessments, incorporates data responsibility into data management activities, establishes data sharing agreements to govern the transfer of personal and sensitive data, and enforces SOPs for data incident management</p>	3
<p>Element 2: Organisation's approach to mis- and disinformation is embedded in its communication strategies, process and online and offline engagement with affected communities</p>	3
4.7 Analysis	
<p>4.7.1 IOM generally manages data responsibly but is working to overcome some limitations around its ICT infrastructure.</p> <p>IOM's ICT Strategy 2022-2025 sets out the need and a vision to improve IOM's internal information systems. IOM used to have the data centres (Manila, Panama, and Geneva). From 2021, most of the headquarters IT team moved to Valencia, where many components of the UN IT's infrastructure are housed. This common base will help IOM with communications and provide access to the UN Data Centre, which will reduce headquarters and country office ICT equipment needs. Data protection is a shared responsibility between the ICT team and the Department of Legal Affairs: the ICT Team is the custodian of the data, while the Office of Legal Affairs (LEG) gives legal advice on the processing and use of data. ICT focuses on reducing information security vulnerabilities, patching, encryption of data transfer and warehousing, working closely with the Legal Director when integrating data from various sources. The ICT team is also accelerating corporate data migration to the Cloud.</p> <p>IOM was the first UN organization to have a data protection policy, and it remains a leading actor on this issue, in continuous discussions with the UN and the EU. This includes mandatory online data protection training (with over 10 000 staff trained since 2018, and</p>	7, 106, 126, 266, 351, 368, 389, 412

more than 30 data protection focal points deployed in key missions). There are IOM ICT Policies, Standards, Procedures and Guidelines, published in October 2022, that set out procedural controls to secure informational assets against threats and vulnerabilities. The IT team operates an incidents management process. However, IOM also continues to operate an array of home-grown information systems in country offices, which creates significant vulnerabilities. These should be phased out as part of the introduction of the new ERP, although this will take some time. Internally, in line with the IOM Migration Data Strategy, a new Global Data Institute has been established, placing IOM's two principal data entities – the Global Migration Data Analysis Centre and the Displacement Tracking Matrix – under an overarching umbrella, with stronger coordination and oversight of all IOM data collection activities. However, various reviews in 2020 and 2021 suggested room for improvement in a number of areas, including password protection protocols and mitigation of cybersecurity risks.

IOM participates and sometimes leads on a range of data/knowledge management initiatives, such as the IASC Results Group's Working Group on Data Responsibility and the Data and Knowledge Working Group of the Platform on Disaster Displacement. The latter coordinates and monitors progress on the implementation of data responsibility in humanitarian action through a broad range of activities. The assessment received positive feedback from a range of external stakeholders on IOM's leadership on inter-agency information initiatives.

4.7.2 IOM has an approach to mis- and disinformation embedded in its communication handbook.

Challenges regarding mis- and disinformation and the recommended strategies and responses to them are set out in IOM's Media and Communications Handbook. This provides clear guidance on how to disseminate IOM information to stakeholders through multiple media (press, TV, radio, social media, etc), but also provides guidance on how to carry out "Crisis Management with the Media", to effectively address issues of mis or disinformation, with clear indications of strategies and procedures ("Have a Crisis Management Plan Ready", "DOs and DONTs of Dealing with Media During a Crisis"). Additionally, in the IOM Public Communication Campaign Toolkit, there is a recommendation regarding the effective use of the technique of social listening: "Social listening allows the Organization to understand the positive and negative responses to the content it shares and devise strategies to manage criticism, hate speech and misinformation constructively."

4.7 Evidence Confidence

Medium confidence

MI 4.8: Whistle-blowers are protected	Score
Overall MI rating	Satisfactory
Overall MI score	2.80
Element 1: There is a dedicated whistle-blower protection policy to protect reporting and prevent retaliation against whistle-blowers, enforced by an independent body. The policy outlines scope of protection (all forms of wrongdoing including abuse of power) outlines simplified processes for disclosing wrongdoing and provides remedies for victims of retaliation. A reversed burden of proof is in place in cases of alleged retaliation.	3
Element 2: There is an independent, full time, and appropriately resourced, ethics office.	3
Element 3: There are appropriate incentives in place for whistleblowing, potentially including monetary rewards or compensation, restoration of employment and promotion as well as clear sanctions on wrongdoers, and clear follow-up mechanisms for whistleblowing actions, including timelines.	2
Element 4: All staff – including management and oversight/governance staff – are aware of their rights and responsibilities and the resources available to them to support the	3

whistleblowing process. Regular awareness campaigns and trainings are conducted. Staff are sanctioned for non-compliance.	
Element 5: Data, benchmarks and indicators relative to whistle-blower protection systems are in place to ensure effectiveness and monitor performance, including anonymized data on the number and nature of complaints of retaliation received, the number upheld, the number of staff sanctioned for wrongdoing or retaliation as a result, and the results of surveys on the satisfaction of the whistle-blower with remedies.	3
4.8 Analysis	
4.8.1 There is a dedicated, and recently updated, whistle-blower protection policy in place, enforced by an independent investigative capacity.	
<p>IOM has policies in place to prevent retaliation against whistle-blowers, called the ‘Policy for Protection against retaliation for reporting misconduct or cooperating with investigations and audits. It is enforced by the Ethics and Conduct Office (ECO). If ECO considers that there is a credible allegation of retaliation or threat of retaliation, it will refer the matter to OIG for investigation, if necessary, or, where in the opinion of ECO there may be a conflict of interest, recommend to the Director-General that the allegation be referred to an alternative investigative mechanism. The complainant and anyone who cooperates in good faith with an investigation is entitled to protection from retaliation in accordance with IOM’s Regulatory Framework. Retaliation constitutes misconduct and may result in disciplinary measures against the perpetrator. A “Reporting and Investigation of Misconduct Framework” outlines how confidentiality should be maintained to the extent possible within the legitimate needs of the organisation and the respective investigations. An updated policy from September 2022 is now more fully aligned with UN policy on the matter. This includes changes regarding reporting channels, which can now be to external parties (including the media), as well as internal. In cases where IOM personnel require guidance, ECO must offer confidential and impartial information regarding the definition of retaliation, the reporting process and which mechanisms, or other informal and formal options, are available. When contacted by IOM personnel who consider themselves at risk of retaliation, ECO must evaluate the evidence provided and may consult the relevant Administrative Head or HRM on any necessary measures to address risks of possible retaliation in accordance with IN/90.</p>	152, 157, 161, 163, 169, 348, 379, 434
4.8.2 IOM has an independent, full-time ethics and conduct office, but with some resource constraints.	
<p>There is an independent, full time Ethics and Conduct Office (ECO). Whilst it has received relatively more resources than other new sections set up under the current reform process, stakeholders report some continuing resource constraints within the ECO, and the 2021 Internal Budget reform suggested the need for more sustainable capacity to be developed.</p>	
4.8.3 The incentives in place for whistleblowing are limited to an obligation to report (with sanctions for non-reporting), information and training regarding whistleblowing policies and procedures, and sanctions on wrongdoers.	
<p>IOM does not provide monetary rewards or compensation (including promotion) for whistle-blowers. restoration of employment is indicated as a possible option of restitution/compensation for whistle-blowers who are unfairly dismissed.</p>	
4.8.4 Awareness raising and training for staff on their rights and responsibilities, supported by sanctions for non-compliance, have led to a sharply rising trend in reporting.	
<p>The document ‘Addressing Workplace Issues at IOM: A Roadmap on Where to Go and When’ is intended to inform staff of their rights and responsibilities regarding reporting of misconduct and the resources available to them to support the whistleblowing process. There is a mandatory course that covers what to do when you see fraud or misconduct and how to report it – including the assertion that knowing and not reporting is serious</p>	

<p>misconduct. As of January 2023, 87% of staff have completed the training. While there was feedback suggesting a need for additional trainings and awareness-raising, there is an upwards trend in the number of misconduct allegations received by the OIG (reaching over 140 in 2022 from less than 70 in 2019). This suggests that awareness raising efforts are having an effect. Furthermore, recent cases of non-compliance by senior managers have led to serious sanctions, including dismissal from the organization.</p> <p>4.8.5 The Ethics and Conduct Office reports on allegations received, the outcomes of its assessment, and any actions taken.</p> <p>ECO keeps a confidential record of the number of complaints of retaliation received, the outcome of its preliminary assessment (whether the complaint was closed or referred to OIG for investigation) and any relevant action taken (for example, if protective measures for whistle-blowers were recommended). ECO additionally provides confidential quarterly reports on the statistics and status of retaliation complaints to the DG and DDG for Management and Reform, and it publishes in its annual report, which is available to all staff, the statistics on retaliation complaints, in accordance with IN/282, IOM's policy on protection against retaliation.</p>	
<p>4.8 Evidence Confidence</p>	<p>Medium confidence</p>
<p>MI 4.9: Appropriate safeguards are in place and enforced to prevent sexual exploitation and abuse.</p>	
<p>Overall MI rating</p>	<p>Satisfactory</p>
<p>Overall MI score</p>	<p>2.62</p>
<p>Element 1: Organisation-specific dedicated policy statement(s), action plan and/ or code of conduct that address SEA are available, aligned to international standards, and applicable to all categories of personnel</p>	<p>4</p>
<p>Element 2: Mechanisms are in place to regularly track the status of implementation of the SEA policy at HQ and at field levels</p>	<p>2</p>
<p>Element 3: Dedicated resources and structures are in place to support implementation of policy and/or action plan at HQ and in programmes (covering safe reporting channels, and procedures for access to sexual and gender-based violence services)</p>	<p>2</p>
<p>Element 4: Quality training of personnel / awareness-raising on SEA policies is conducted with adequate frequency</p>	<p>3</p>
<p>Element 5: The organisation has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA</p>	<p>3</p>
<p>Element 6: The organisation can demonstrate its contribution to inter-agency efforts to prevent and respond to SEA at field level, and SEA policy/best practice co-ordination fora at HQ</p>	<p>4</p>
<p>Element 7: Actions taken on SEA allegations are timely and their number related to basic information and actions taken / reported publicly</p>	<p>2</p>
<p>Element 8: The MO adopts a victim-centred approach to SEA and has a victim support function in place (stand-alone or part of existing structures) in line with its exposure/risk of SEA</p>	<p>1</p>
<p>4.9 Analysis</p>	
<p>4.9.1 IOM has a dedicated policy statement, entity-level action plan and codes of conduct that address SEA, which are aligned to international standards and applicable to all categories of personnel.</p> <p>IOM has organisation-specific dedicated policy statements and code of conducts that address SEA, and acknowledges the difference between SEA and SH. The definition of Sexual Abuse and Sexual Exploitation set out in the 2016 PSEA policy and prohibited activities in the IN/15 2014 Standard of Conduct are aligned with the UN SG's Bulletin on SEA (ST/SGB/2003/13). These are applicable to all categories of personnel, and all staff are required to read and sign it. However, evidence of the Standard of Conduct being signed by all categories of personnel</p>	

was not provided, and this is logged as an ongoing activity of the HR Division.

IOM's Strategic Results Framework (SRF) includes PSEAH as a cross-cutting priority. The PSEAH strategy framework is applicable to all IOM staff and external partners and includes a zero-tolerance policy toward SEA by all personnel, including third-party contractors, service providers and implementing partners. It contains 5 pillars that are aligned to international standards and commitments, including the Minimum Operating Standards on PSEA and the PSEAH Champions Strategy, the OECD-DAC recommendations, and the Statement of Commitment on Eliminating SEA by UN and Non-UN Personnel. An entity-wide action plan details the outputs, indicators, targets, key actions, timeframes, and accountable people for each of these 5 pillars. IOM's 2021 IN/285 Accountability to Affected Populations Framework reinforces IOM's zero tolerance to SEA and the Accountability to Affected Populations (AAP) Framework cross references and is supported by policies including the 2016 IN/234 Policy and Procedure for Preventing and Responding to Sexual Exploitation and Abuse and the IOM Reporting Misconduct Framework.

On an operational level, IOM produced a PSEAH Checklist and Toolkit in September 2022, to support the implementation of the PSEAH Strategy Framework by IOM staff and related staff globally. It aims to be a comprehensive guide for PSEAH and the prevention of sexual harassment (PSH), with resources, tools and best practice, to strengthen efforts across all aspects of IOM's operations both internally and externally. However, as the Toolkit has only recently been rolled out, it was acknowledged by interviewees that is too early to determine its operational effectiveness in supporting IOM personnel in PSEA activities. A monitoring system will be put in place to track the use of the Toolkit shortly.

4.9.2 IOM has limited mechanisms in place to track the status of implementation of the SEA policy at headquarters and field levels.

IOM has some mechanisms in place to track implementation of the SEA policy at headquarters and at field levels, including reporting in IOM's annual report, using information from country offices collected through the Institutional Questionnaire, updates via an annual management letter on PSEA, reporting of SEA allegations via the UN system-wide Special Measures report, and the IOM PSEAH Year in Review (each year since 2020). At field level, the tools within the IOM PSEAH 2022 Toolkit include templates for action plans for monitoring progress, and quality markers that provide benchmarks to monitor and assess how PSEAH efforts are being strengthened. However, given how recently the Toolkit was launched, it is too early to assess the impact the guidance has had on the implementation of PSEA. There is some evidence of larger offices utilising a PSEAH action plan or including PSEAH in risk assessments. However, this is not consistent across the country offices and no further evidence was found of action plans being used as a mechanism for tracking the status of PSEAH initiatives at the field level, or of risk assessment mitigation plans being implemented. Country and regional offices report on their PSEA activities through the annual Institutional Questionnaire, with examples showcased in IOM's annual report. An external evaluation of IOM's PSEAH was recently conducted in the latter half of 2022, to which the management response is being finalised. There is also an annual UN survey to understand staff perceptions on the behaviour and conduct of personnel and leadership, as an indicator of the effectiveness of prevention and response initiatives, for which IOM is one of the top UN agencies contributing to the Survey results.

4.9.3 IOM has dedicated resources and structures in place to support implementation of its PSEA policy at headquarters and in programmes (covering safe reporting channels, and procedures for access to sexual and gender-based violence services).

The PSEAH Unit was formally established in the DDG Management and Reform pillar in

2, 3, 4, 34, 48, 49,
50, 51, 52, 53, 54,
55, 84, 90, 92, 93,
94, 95, 107, 108,
117, 141, 163, 172,
173, 174, 176, 177,
179, 180, 181, 182,
184, 186, 187, 189,
209, 227, 228, 229,
230, 252, 253, 337,
348, 351, 368, 376,
419, 423, 424, 426,
427, 430, 348

January 2022, having previously fallen under the Gender Unit. It includes 2 PSEA staff at headquarters-level and one PSEA staff in New York. The 2022 UN/IOM PSEAH Governance Structure outlines specific departments within the PSEAH ecosystem, and IOM has clear structures and specific roles for PSEAH accountability and responsibility, with TORs for various positions across the organisation. However, these resource commitments are not documented in budget documents. There are clear reporting channels for SEA complaints, acknowledging that a victim might take different routes to complain. Complaints are passed to the OIG, where PSEA allegations are prioritised. When reported through focal points, supervisors, or other responsible staff, the PSEA policy and guidance insists that reports of SEA or retaliation related to SEA that are completed should be confidential, neutral and subject to the principles set out in the Standards of Conduct. The "We Are All In Platform" is an alternative confidential reporting mechanism, which can also be anonymous to ensure safety. Examples of safe, fit-for-purpose field-based or programme specific mechanisms were not provided.

At regional and country level, resources vary and IOM resourcing for PSEA is linked to the risk level of the intervention. Guidance documents and interview accounts suggesting that financial resources are decided on a case-by-case basis, and according to the requirements of individual projects. Internal IOM instruction allows for PSEA focal points at country and regional levels to dedicate 10% of their time to PSEA. Full-time PSEA Officers might be considered for programmes that are a part of global responses, others are in major humanitarian operations. However, in most instances, PSEA focal points do not work on PSEA full-time, but balance the role with other duties, unless country offices can dedicate resources beyond the internal IOM instruction. PSEA personnel in the field have limited capacity and expertise on PSEA, leading to an increased burden on the small headquarters PSEAH team. However, according to the DG's 2023 Management Response on PSEA, IOM has now established full-time PSEA officers in approximately 30 high-risk countries. As this is a recent development, it is too early to judge the impact of these additional resources on the implementation of PSEA action plans in the field. There is a headquarters PSEAH Task Force that supports coordination amongst the various headquarters entities (OIG, LEG, HR, ECO, GDU, DOE, DPSMM, Risk, etc) IOM's PSEA commitments. This task force was dormant following change of leadership, but with the appointment of the new PSEAH Coordinator in early 2021, it was re-established. There are updated TORs, and the PSEAH Task Force meets regularly. It was also highlighted through interviews, that whilst significant efforts had been made to find resources to strengthen PSEA capacity at headquarters and in the field, the handling of PSEA cases is dependent on support from other departments that are often under-resourced. As a result, some interviewees suggested that investigations take too long, and staff rarely receive feedback on issues raised.

4.9.4 IOM has introduced quality training and awareness-raising of personnel on SEA policies. Ethics and Conduct and Gender training are also mandatory for all staff, and uptake is reported in annual reports.

All UN staff members take a mandatory online learning programme called "PSEAH by UN Personnel", and IOM personnel also take a mandatory PSEA webinar training. In 2021, IOM also launched a mandatory multi-language face-to-face and virtual training programme with six PSEA micromodules, with a focus on 1) demystifying power relations; 2) defining sexual misconduct; 3) leading by example; 4) understanding how a victim can be impacted by sexual trauma; 5) IOM's duty of care to victims of SEA; and 6) reporting SEA within IOM. IOM staff must be retrained at a minimum of once every three years. In 2022, the DG reported that 12,500 staff and associated personnel were trained on PSEA that year. Compliance rate with regards to the PSEA training among IOM staff at the end of 2022 was 84.4% according to the Staff Development and Learning unit of the Department of Human Resources. Specific

training is also available for Chief of Missions and managers, and inter-agency training for PSEA coordinators. However, these are all standalone trainings, and PSEA is not integrated into standard organisational training, to support its mainstreaming into programming; however, there are plans to do so within the new revision of the IOM Project Handbook and trainings which will commence mid-2023. There is some country-specific training for roles such as field enumerators, which included scenario-based training, but there is no data on how widely these are used across country offices.

There is no data on the extent to which IOM staff are aware of their rights and responsibilities and of the procedures in place to assure and exercise them. However, according to a 2021 staff survey, staff generally believe that IOM would take appropriate action where SEA is reported and know how to report unethical behaviour.

IOM has consistently contributed to inter-agency awareness raising on SEA. For example, in 2019, IOM's PSEA training materials were adapted for use within the IASC. In the same year, collaboration began between IOM, UNDP, UNFPA, UNHCR, UNICEF, UNOPS and WFP for focal point training. In 2021, IOM supported a UNICEF-led cross-sector development of technical guidance on the implementation of the UN protocol on the provision of assistance to victims of sexual exploitation and abuse.

Beyond formal training, guidance on PSEA is available through a variety of means such as the PSEAH Toolkit, a variety of inter-agency guidance notes, and demand-driven bespoke support from IOM's PSEAH team. For example, in 2021, the IOM PSEAH team worked with Translators Without Borders to develop a webinar on accessible, transparent language on PSEA. According to the 2020 Annual Report, the team responded to over 60 requests that year for inter-agency PSEA-related support through targeted guidance and tools. Communication is sent to all IOM personnel on a regular basis, prompting them to take the mandatory 2.5hr virtual training and the IOM PSEA micro-modules and raising awareness of PSEA policies. This has led to increased reporting. Whilst IOM has invested significant resources in training, interviewees stated that uptake of training and the Toolkit is easier for country offices with a strong presence of Protection and GBV-related staff, and therefore a prior acceptance of the premise of SEA. According to some interviewees, there are still some environments where there is a cultural refusal to acknowledge SEA as a problem.

4.9.5 The organisation has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA.

IOM has a variety of policies and guidance on the standards in place to ensure that implementing partners (IPs) prevent and respond to PSEA. This includes training of implementing partners, service providers, and government partners; IOM consultant contracts include a standards of conduct section; and reference check templates. The 2023 Implementing Partnerships Handbook has guidance on PSEA, signposting a List of Support Documents and Resources, Templates and Forms for the IOM PSEAH Toolkit, a Checklist and other PSEA related material. As this is a recent initiative, the effectiveness of the Guide in ensuring that IPs prevent and respond to SEA is yet to be determined.

IOM's 2023 Implementing Partnerships Handbook takes the approach that it will not exclude partners on the basis of their PSEA capacity, but work with them to develop their capacity, using the UN Implementing Partner Capacity Assessment on PSEA. IOM also takes the approach that PSEA requirements should be based on an assessment of each partner's level of engagement with beneficiaries. Whilst these are progressive approaches to PSEA, IOM's relationships with implementing partners are short-term, linked to small projects with

specific agreements, which can lead to increased risk of PSEA concerns being missed or overlooked. As the reliance on third-party suppliers grows, it will be increasingly important to maintain strong processes to monitor their compliance with PSEA standards. It is also unclear if there is a systematic way in which OIG or the legal department investigate and address issues with contractor consultants, as IOM claim to have no jurisdiction over third-party contractor consultants. This is concerning, as short-term contractor assignments are often in contexts where the risks of SEA are high, due to the lower recruitment barriers associated emergency response.

4.9.6 The organisation has made a significant contribution to inter-agency efforts to prevent and respond to SEA at field level, and SEA policy/best practice co-ordination fora at headquarters.

Priority Area 5 of the IOM Strategic Approach to PSEA relates to Partnership and Coordination, including with the IASC and partners. IOM has made a leading contribution to inter-agency efforts on PSEA policy/best practice coordination at headquarters level, which is acknowledged internally and by UN and donor stakeholders. Examples include coordination of multimedia communication packages “PSEA at the Frontline: Together We Say No” with WFP and available in 22 languages, the development of a victims’ rights and assistance training package in coordination with the Office of the Victims’ Rights Advocate and OHCHR, the creation of the IASC ‘Saying No to Sexual Misconduct’ training package which is an adaptation of IOM’s internal training package; and engagement with the IASC PSEAH Champion and Secretariat, which is seen as integral to the system and encompasses the Interagency PSEA Network.

IOM also contributes to inter-agency efforts at the field level by resourcing inter-agency efforts through training; leading national PSEA taskforces and developing PSEA; and coordinating with other agencies to ensure appropriate referral pathways or GBV clusters are in place. Additionally, the country focal point TOR states that the PSEA Focal Point should actively participate in the in-country inter-agency PSEA Network. Specifically, according to the DG End-of-Year Management Letter on PSEA, in 2022, IOM organised the training for 46 inter-agency PSEA practitioners, bringing the total number trained to 187 since 2019 and as part of the UN Country Team PSEA Action Plan, IOM was part of the development of a tool to strengthen the capacity of in-country inter-agency PSEA networks to conduct contextualised risk assessments. As a result of its ongoing inter-agency PSEA support, IOM published the Frequently Asked Questions on inter-agency PSEA: IOM’s lessons learned from PSEA implementation in-country. More recently, IOM has appropriately recalibrated its PSEA efforts to focus more internally within the Organisation, whilst still maintaining a strong inter-agency presence.

4.9.7 There is public reporting on allegations and actions taken in response, but feedback from staff suggests that action on SEA allegations is not always timely.

SEA allegations involving UN staff and UN-related personnel are recorded and reported publicly in real time through the UN SEA reporting database and annually through the Secretary-General’s special measures for protection from SEA reporting system. At headquarters-level, there is also a commitment to report on PSEAH to the Council. However, according to one interviewee, this occurs irregularly, due to competing priorities. The data submitted includes 'category of personnel', including contractors, but in many instances the category of personnel is listed as 'unknown'. Donors also receive a quarterly report that covers SEA. To prevent rehiring, IOM shares information on perpetrators via ClearCheck, although the assessment was not provided any evidence on whether this mechanism is used systematically.

Internally, there is a confidential twice-yearly report to the PSEAH Coordinator on the number of closed/open cases of SEA and SH, and a list of the top 5 countries in which SEA cases specifically, had occurred. It is a one- to two-page high-level report, which does not state how the information is then used and does not disaggregate between staff and Implementing Partners. This breakdown was provided on request. According to the internal OIG investigation caseload, SEA is the 5th most reported form of misconduct in 2022. The 2022 report showed open SEA cases from 2020 and 2021. Whilst SEA cases are prioritised throughout the transmission pathway, there are no commitments to timely action being taken on SEA allegations, due to the case-by-case nature of complaints and the risks to the quality of the investigation. Furthermore, there is no evidence of goalsetting and monitoring on timeliness.

According to 2022 UN iReport data for the last 4 years, the percentage of closed cases in IOM was 29%, which was above the 19% average for UN entities, suggesting it takes less time to come to a resolution. However, feedback from staff interviewed was that action in response to issues raised is often not timely, and that communication with complainants is slow and sometimes non-existent. Furthermore, interviewees highlighted a backlog of investigations, due to an unbalanced resource distribution amongst the departments involved in addressing allegations.

4.9.8 IOM's commitment to a victim-centred approach is yet to be implemented effectively.

IOM states in its guidance and external communications that it takes a victim-centred approach (VCA) to PSEA and has victim support functions in place. However, there is no formal commitment to VCA in the 2016 IN/234 Policy. According to the 2021 Entity-level Action Plan, guidance and communication on victim assistance has been ongoing, but there is limited evidence of progress. There is guidance within the PSEAH Toolkit, with specific victim-centred quality markers, and detailed descriptions on how to coordinate with existing networks, Gender-based Violence (GBV) specialists and other specialised services involved with responding to GBV. There is also a stand-alone IOM Handbook on Protection and Assistance to Vulnerable Migrants, which provides guidance on child protection and issues such as sexual exploitation and abuse, and a 2018 GBV in Crisis framework which states that it is underpinned by a victim-centred approach. With regards to child safeguarding, child sexual exploitation and abuse is covered in their SEA policy and there is broader guidance on child safeguarding in various other material including the IOM Handbook on Protection and Assistance to Vulnerable Migrants, and guidance materials. Furthermore, there is a small pot of funding support available through the IOM Global Assistance Fund for where no assistance services are available within country and no funding available within existing IOM programming.

IOM's reporting to the UN iReport Database will list, where data is available, the types of victim services provided in each case. Besides this, whilst extensive guidance has been created, the assessment was unable to find evidence of the practical application of a VCA to PSEA, or on the monitoring of such support at headquarters, country or programme level or with implementing partner obligations. Whilst the Toolkit advises that IOM offices have a copy of up-to-date referral pathways, and that IOM personnel and partners know how to use them, there was no evidence of this from offices and no tangible example of how guidance is followed. Whilst there are efforts to raise awareness of SEA reporting channels, many of these channels are cost-efficient digitally based mechanisms, and stakeholders noted that more resource-intensive, face-to-face mechanisms may be more conducive to a victim-centred approach. A caseload manager is not allocated to victims to provide support, and there are limited commitments to communication with the victim. Furthermore, beyond the

development of guidance and training, there are no formal partnership arrangements for victim-assistance and the implementation of guidance provided in the Toolkit is yet to be evidenced.	
In interviews, it was suggested that IOM's capacity to support survivors depends upon the donor resources available in each context for GBV and Protection programming. Interviewees also noted a lack of clarity of when Victim Assistance starts and ends, and on the communication and feedback protocol with victims who report, leading to a lack of trust in the system.	
4.9 Evidence Confidence	Medium confidence
MI 4.10: Appropriate safeguards are in place and enforced to prevent sexual harassment	
Overall MI rating	Unsatisfactory
Overall MI score	2.00
Element 1: Organisation-specific dedicated policy statements and/or codes of conduct that address SH available, aligned to international standards and applicable to all categories of personnel	2
Element 2: Mechanisms are in place to regularly track the status of implementation of the policy on SH at HQ and at field levels	1
Element 3: The MO has clearly identifiable roles, structures and resources in place for implementing its policy/guidelines on SH at HQ and in the field: support channel for victims, a body co-ordinating the response, and clear responsibilities for following up with victims	2
Element 4: All managers have undergone training on preventing and responding to SH, and all staff have been trained to set behavioural expectations (including with respect to SH)	1
Element 5: Multiple mechanisms can be accessed to seek advice, pursue informal resolution or formally report SH allegations	3
Element 6: The organisation ensures that it acts in a timely manner on formal complaints of SH allegations	2
Element 7: The organisation transparently reports the number and nature of actions taken in response to SH in annual reporting and feeds into inter-agency HR mechanisms	3
4.10 Analysis	
4.10.1 There is no dedicated SH policy and references to SH in other policies are not fully aligned to UN and international standards.	
IOM's approach to SH is covered within its Strategic Approach to PSEAH, applicable to all IOM staff and external partners. IOM addresses SH through its Policy for a Respectful Working Environment (IN/90), which also applies to cases of harassment, including sexual harassment, through its code of conduct and through Policy for Protection against retaliation for reporting misconduct (IN/282). There is no dedicated action plan to evidence how IOM is progressing against the SH strategy, although this is addressed in the PSEA Entity-level Action Plan.	
A joint statement of UN legal advisors on SH policies within the UN system was adopted by the Chief Executives Board (CEB) for Coordination in 2018. This adopted a uniform definition of SH and has heavily informed the IOM's IN/90 policy. However, according to a 2022 benchmarking exercise, whilst most UN entities have adopted an obligation to report, the IOM harassment policy itself does not include any such obligation. It also envisions that the complainant must be the affected individual. Furthermore, whilst it is assumed that SH happens between members of staff, it is unclear as to the policy, provisions, and guidance for situations where staff are sexually harassed by beneficiaries, and there are 'grey areas' where there are risks of cases falling through the cracks due to unclear lines of authority. Regarding the Standards of Conduct, these are applicable to all categories of personnel, and all staff are required to read and sign it (the requirement is set out in the PSEA and SH Strategic Approach, and Entity-level Action Plan). However, evidence of the Standard of	59, 152, 157, 162, 163, 169, 171, 172, 174, 175, 177, 178, 179, 181, 200, 227, 368, 369

Conduct being signed by all categories of personnel was not provided, and this is logged as an ongoing activity of the Department of HR.

4.10.2 IOM has no mechanism in place to track implementation of its SH policy.

Responsibility for taking action against SH sits across many departments, including the PSEAH Unit, Department of Legal Affairs and the Department for Human Resources (DHR), while the Office of the Ombudsperson and Mediation Services (OOM) reports on its sexual harassment cases in its quarterly and annual reports. The Senior Coordinator leads IOM's overall strategic approach to PSEAH and oversees the implementation of IOM's global PSEAH strategy and workplan. With the IN/90 Respectful Workplace Policy introduced only in 2022, tracking and monitoring of implementation has yet to be considered. It is also unclear where the responsibility for tracking and monitoring SH policy implementation sits within the organisation, given the overlapping remits of the PSEAH Unit and DHR. Furthermore, whilst the 2022 PSEAH Toolkit covers both PSEA and PSH, explaining the difference between the two, there is little differentiation within the guidance or templates of the Toolkit, between the response to SEA and SH, or how SH will be tracked at headquarters or field levels.

4.10.3 IOM lacks clarity on roles, structures and resources in place for implementing its policy/guidelines on SH at headquarters and in the field.

IOM has some roles, structures, and resources in place for implementing SH policies at headquarters and field level, but with gaps and overlaps. The Guidelines on Building a Respectful Working Environment, and the PSEAH Toolkit, has formal and informal resolution guidance, detailing the roles and responsibilities of various departments including HR, OOM, Focal Points, Legal, OIG and the Ombudsperson. The PSEAH Toolkit also has specific reporting guidance for SH. On a coordination level, IOM's PSEAH Task Force consists of representatives from all relevant entities and in 2021, its scope was expanded to include sexual harassment. It was mentioned in interviews that more could be done to focus on prevention. The gaps identified were thought to be linked to a lack of clarity at headquarters and field level about the separate but related nature of PSH and PSEA, as these were previously separate and now have intertwined elements.

Email communications are regularly used to communicate the resources and materials available to staff, and the mandatory requirements e.g. on reporting and the use of ClearCheck for recruitment. However, all-staff communications on mandatory PSEA training do not mention SH. In the 2021 global staff survey, 88% of staff responded positively to knowing how to report unethical behaviour, including harassment.

The OIG is responsible for investigating SH cases, which it treats as a priority. The CEB Manual on Sexual Harassment investigations is used as guidance for OIG investigations in this area including with regards to the victim-centred approach. SH victims are offered the assistance of a support person in the investigation process. The Staff Welfare Unit plays a role in supporting staff in SH cases. However, there is limited support and communication with affected people, to take them through the process in a way that is victim-centred and trauma-informed. Support services for staff, such as those provided under the Mental Health Support policy, do not make any specific reference to sexual harassment. According to the UN benchmarking report, victims of SH are only informed of the outcome of their complaint at the end of the process. The main issues of dealing with SH reported by IOM are building trust with affected individuals, the complexity of cases, understaffing and excessive numbers of matters being reviewed at the same time. It was suggested that whilst additional funding has gone into the new PSEAH Unit, supporting the resources of complementary departments is important to ensure the link-up between SEA and SH.

4.10.4 Respectful Workplace training, which includes SH training, is not mandatory and managers have not undergone specific training on preventing and responding to SH.

1 400 staff have undergone the respectful workplace training since August 2022, which includes sexual harassment training. However, this is not mandatory and there are no specific management-level trainings on prevention and response to SH. Interviewees referred to the extensive PSEA training, ethics training and awareness of gender issues and equality, but could not point to any training specific to sexual harassment. Furthermore, fatigue with mandatory training leads to the risk of non-mandatory training being side-lined or overlooked. As a consequence, interviewees suggested that most IOM staff have not been trained to set behavioural expectations with respect to SH. The Respectful Workplace Policy IN/90 sets out responsibilities for managers in respect of informal and formal complaint procedures. However, it does not include reference to support for the victims of sexual harassment. The associated guidelines for managers to support their teams in the resolution of conflict, but this is not tailored to sexual harassment. In 2022, a tender process was launched for a 'Communication Campaign on the Prevention of Sexual Harassment within IOM' to develop and roll out a comprehensive, internal, communication campaign on the prevention of sexual harassment within IOM. This was managed by PSEAH Unit, but the campaign was encouraged to integrate the IN/90 Respectful Working Place guidelines for coherence and consistency of messaging with HR Policies. The impact of this campaign on behavioural standards has not been assessed.

4.10.5 Multiple mechanisms can be accessed to seek advice, pursue informal resolution, or formally report SH allegations.

There are multiple mechanisms to pursue informal resolution or formally report SH, including the 'We Are All In' platform, the reporting mechanisms set out in the 'Addressing Workplace Issues at IOM' document, and the Ombudsperson. No evidence was provided on the use of the various mechanisms; however, the OIG investigation caseload statistics include a category on sexual misconduct (non-SEA), suggesting that formal mechanisms are used. Guidelines on Building a Respectful Working Environment has extensive formal and informal resolution guidance, including process maps for how mechanisms work, although the guidance provided is not explicitly gender-sensitive and a caseload manager is not allocated to SH victims to provide support. Informal resolution involves Managers/HR or the OOM and the Respectful Workplace Focal Point Network (RWFP). A formal report to OIG triggers its own process and based on substantiated evidence, the report may be referred to LEG following an investigation. However, the remit of sexual harassment policies can only be imposed on those with whom IOM has a direct employment relationship, and therefore the resolution mechanisms do not cover situations where the perpetrator is a third-party, government official, or beneficiary. Furthermore, whilst there is a 2022 Policy for protection against retaliation (IN/282) applicable to all IOM staff and non-staff personnel, with options of informal and formal resolution, the policy itself does not state that it is applicable to informal reporting processes.

Regarding communication of the mechanisms available, these are shared via regular all-staff emails and publicly through the IOM website. According to the 2021 global staff survey, 88% of responding staff reported knowing how to report unethical behaviour, including harassment (the term 'sexual harassment' was not used in the survey) and 65% responding staff were confident that appropriate action would be taken, and protection given if they reported.

4.10.6 IOM prioritises SH cases, but the timeliness of response is variable.

Whilst no internal documents specific to SH were provided to evidence the monitoring of timeliness, and there are no committed measures to improve timeliness for IOM, the

organisation submits such data to the UN Benchmarking report. According to the 2020 Report, the average time for IOM to take a decision on intake of complaints is ‘up to a month’, with SH being prioritised during the process. However, the timelines of investigations range from less than six months to over a year, and timelines for disciplinary processes were not reported. According to the same report, the main issues reported by IOM are building trust with affected individuals, complexity of cases, understaffing and excessive numbers of matters being reviewed at the same time. The assessment did not find more recent data on timeliness.

Resource bottlenecks were acknowledged by interviewees. Whilst some departments such as the OIG and PSEAH unit have received additional funding, other departments in the ecosystem, such as the Legal department, may experience challenges in addressing the increased number of cases. This requires an appropriate balancing of resources to ensure that actions across an SH case are taken in a timely manner.

4.10.7 IOM feeds into inter-agency HR mechanisms and transparently reports the number of actions, but there is limited reporting on the nature of the actions taken in response.

SH is not included in reporting to donors, alongside SEA. Whilst the Office of the Inspector General (OIG) submits an annual report to the Standing Committee on Programmes and Finance, it does not disaggregate categories of its misconduct investigations and therefore does not report on SH to its governing body. Captured in the bi-annual caseload statistics, harassment, which includes sexual harassment, is the second highest category of misconduct reported at IOM according to the OIG. It is unclear as to how this information is shared. All files and information relating to an investigation are kept in the OIG case management system, and staff dismissed for or resigning while under investigation for sexual misconduct are registered on the Clear Check system, however the Ombudsperson is required to abstain from keeping records of any informal cases it receives and IOM does not include on ClearCheck individuals who left the entity with pending allegations.

Internally, IOM reports on SH through the biannual Report to PSEA Coordinator, on the number of closed/open cases of SEA and SH. However, there is no breakdown of country for SH cases, and the report does not state how this info is used or the actions that are taken. The latest provided report states that there are open SH cases from 2018, 2020 and 2021.

On an inter-agency level, IOM took part in the UN PSEAH Benchmarking Survey, and provided the number of SH reports and nature of actions taken. However much of the data is not available or provided, including on the demographics of affected individuals. Acknowledging the limitations of ClearCheck, IOM has signed up to, and is learning from other UN agencies how to implement, the Misconduct Disclosure Scheme, as a means of enhancing its HR mechanism and preventing the hiring of perpetrators.

4.10 Evidence Confidence

Low confidence

Relationship management

Engaging in inclusive partnerships to support relevance, leverage effective solutions and maximise results

KPI 5: Operational planning and intervention design tools support relevance and agility in partnerships.	KPI score
Satisfactory	2.77
<p>IOM has strategies and programming tools for targeting those in greatest need and at risk of being left behind. It participates actively in joint needs assessment and has clear criteria for identifying and prioritising vulnerable people. However, while it has skills in some key cross-cutting areas, the organisation struggles to produce disaggregated needs data. Cross-cutting issues are generally well integrated into project design.</p> <p>IOM is committed on paper to conflict analysis, but this is not implemented systematically, and conflict sensitivity is not yet mainstreamed throughout the organisation. It has made good progress on strengthening its corporate approach to risk management, but with some gaps left to fill. It is a strong contributor to inter-agency humanitarian response processes, playing an active role in needs assessment, joint fundings appeals and cluster coordination. However, there remains some confusion among external partners on IOM’s mandate and comparative advantage, given the diversity of activities it undertakes.</p> <p>IOM is yet to develop an organization-wide approach to early warning but does undertake contingency planning in emergency and protected crisis settings. However, it lacks funding instruments for anticipatory responses.</p> <p>IOM has set out its commitments to Accountability to Affected Populations (AAP), but these are only partially integrated into its country strategies, programme designs, partnership agreements, and monitoring and evaluation arrangements. IOM has developed a community-based planning approach, but according to informed stakeholders this has not yet been operationalised.</p> <p>The organisation is well set up to promote durable solutions for internally displaced people (IDPs). It has clear systems and processes for encouraging and supporting states to prioritise solutions for IDPs and seeks to ensure that IDPs are able to participate in decisions that affect them. It plays an important inter-agency coordination role on IDPs, and actively seeks to address drivers of displacement. It has strong policies and practices in places to help national governments discharge their duties towards people affected by crises.</p>	
MI 5.1: Strategies and programming target the greatest need and people most left behind.	Score
Overall MI rating	Satisfactory
Overall MI score	2.80
Element 1: In-depth assessments and multidimensional analysis – joint or shared where possible – are conducted to inform programme design and are monitored and updated regularly. As part of this, there is a clear evidence base and baseline around needs, special groups such as women and the disabled, and people most left behind, including poorest of poor, but also elderly, disabled, and other marginalized groups.	4

Element 2: Specialized staff are available and used from the outset to support planning processes, especially on thematic and sector specific issues	2
Element 3: There are clear criteria for prioritization and ranking the severity of needs and crises	3
Element 4: Downstream and cross-border impacts of crises are assessed or projected and factored into programming	3
Element 5: All evidence bases contain disaggregated data, including by sex, age and disability. Data from local actors and other key stakeholders is integrated into needs analysis and programme design.	2
MI 5.1 Analysis	Evidence documents
<p>5.1.1 IOM conducts In-depth assessments and multidimensional analysis of migrant needs to inform programme design, with specific attention to women, persons with disabilities, older persons, and marginalized groups.</p> <p>IOM’s Project Handbook (2017) states that needs assessments must be conducted and used to inform project design and reinforces the importance of disaggregated needs assessments across various vulnerable groups. These needs assessments form the basis of IOM’s baseline around the needs of vulnerable groups, which include LGBTIQ+, persons with disabilities and medical conditions, older persons and women. They also include gender analysis and considerations on how projects will uphold ‘do no harm’ principles, by prioritising safety and dignity, local participation and empowerment, and accountability to affected populations. IOM is committed to ‘leaving no one behind’ through its contribution to the 2030 Sustainable Development Agenda. Which has been reinforced since the last MOPAN assessment with the adoption of a Migration and Sustainable Development Strategy and the establishment of a new Department for Peace and Development Coordination. A Step-by-Step Guide for IOM in the UNSDCF Cycle outlines how IOM can contribute to the UN Common Country Analysis to ensure that migration issues are adequately reflected. In 2021, 81 IOM offices contributed expertise to common country analyses. IOM’s Displacement Tracking Matrix (DTM) was also a key assessment tool, not just for IOM’s own programme design but also as an inter-agency assessment tool for the elaboration of Humanitarian Needs Overviews. In the survey, a strong majority of respondents (81%) agreed with the statement “IOM programmes target people in the greatest need.” In 2022, DTM was able to field test the Disability Inclusion Field Companion to the Multi-Sector Location Assessment tool in Ethiopia and Mozambique to great success and is looking to expand such exercises to other countries.</p>	8, 152, 192, 193, 196, 199, 209, 218, 219
<p>5.1.2 Specialized IOM staff are available and used from the outset to support planning processes, especially on thematic and sector specific issues, but they are spread quite thinly with certain capacity gaps.</p> <p>IOM has specialised staff in the sectoral areas of assistance that it provides. For example, as of 2021, IOM’s Migration Health Assessment Programme (HAP) employed 912 Migration Health Division (MHD) staff at the headquarters, regional and country-levels, including 182 physicians, 250 nurses, and 480 other health staff. In addition to sector specific staff, IOM also has thematic specialist staff that cover a broader range of issues. In particular, regional thematic specialists in regional offices play a critical role in programme design and technical oversight for projects implemented at the country level. IOM also have an increasing number of cross-cutting issue specialists with special advisors and other staff positions having been created since 2019 on issues such as the HDP Nexus, IDPs, AAP, etc. to add to those already in place on gender, protection, and other issues. Often though these are individual staff with an organisational-wide remit to bring about programmatic and operational changes, with a limited network of staff (usually focal points) to do so. Given the reliance on earmarked funding it is difficult to</p>	

recruit such specialist staff organisation wide, although IOM has found inventive ways to do so in some areas such as the prevention of sexual exploitation and abuse (PSEA). However, the assessment heard feedback from a range of stakeholders that country offices lack thematic expertise in key areas, and that regional offices are stretched too thin to provide the support they require.

5.1.3 IOM uses inter-agency criteria for the prioritization and ranking of the severity of needs and crises.

IOM participates in and contributes to the ranking of the severity of needs that occurs at the inter-agency level within the context of the Humanitarian Needs Overview and the Humanitarian Response Plan. The IOM DTM is a key assessment tool for the elaboration of the HNOs and provides the means for IOM to determine the prioritisation of needs and where it should focus its response. In addition to these inter-agency processes that address the humanitarian response as a whole, each programmatic area of IOM also has its individual methods for assessing the severity of need. IOM's Project Handbook highlights the importance of understanding the needs of direct/indirect beneficiaries to guarantee the success of projects. Needs assessments are a key part of the project development process, as the Handbook recommends that they be conducted at an early stage, particularly when there is insufficient data available. During a needs and capacities assessment of beneficiaries, it is expected that IOM determines whether the 'need' is long-standing or new, ensure that data is disaggregated by sex, age and other relevant characteristics and that a gender analysis be carried out.

5.1.4 Downstream and cross-border impacts of crises are assessed or projected and factored into programming by IOM.

Many of IOM's larger country operations including sub-national offices, in addition to country offices. This helps it to assess local needs and incorporate these into project development. Migration crises, by definition, include cross-border impacts and within the context of the MCOF IOM is able to develop regional programmes to address these. For example, within the context of the COVID-19 pandemic, IOM shifted its health programmes to the specific needs at border brought on by the need to prevent the spread of the disease and make sure migrants were safe. The cross-border impacts of migration crisis are incorporated within the context of the regional strategies and the regional-wide programmes that the organisation has developed (it is noteworthy in this respect that in the Global Crisis Response Group (GCRP) 12 of the 38 published plans in 2022 reflected two or more countries of intervention). IOM's Continental Strategy for Africa 2020-2024 states an intention for IOM to facilitate intercontinental dialogue on migration.

5.1.5 IOM evidence bases contain some disaggregated data, including by sex, age and disability, and these can be informed by data from local actors which is integrated into needs analysis and programme design.

According to IOM's Project Handbook, the organisation is committed to collecting and using disaggregated data, including by gender, age and disability, as part of needs assessments and programme designs. The Handbook sets out an expectation for needs assessments to use participatory methodologies and identifies examples of local stakeholders to engage in the design phase. However, according to stakeholders, IOM has only partially been able to ensure such data disaggregation is applied in the delivery approach – it remains a work-in-progress to collect, use and report against gender. In many contexts in which IOM operates it is challenging to implement the systems required to achieve disaggregation, due to data shortages and data protection rules.

MI 5.1 Evidence confidence	Medium confidence
MI 5.2: Conflict sensitivity applied to programming to avoid unintended negative impacts and do no harm	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.00
Element 1: Conflict analysis is systematically undertaken, and the findings are used to inform project design, implementation, monitoring and evaluation	2
Element 2: Conflict analysis is regularly updated, and programmes adapted accordingly	2
Element 3: Conflict sensitivity is also applied to organisation policies and processes, especially those related to human resources, procurement and communications.	2
MI 5.2 Analysis	Evidence documents
<p>5.2.1 IOM is committed to producing conflict analysis, with the findings used to inform project design, implementation, monitoring and evaluation, but this is not yet done systematically.</p> <p>IOM has made a commitment to conflict sensitivity, and the organisation has taken important steps to ensure that conflict analysis is undertaken across its operations, and for the findings to inform project design, implementation, monitoring and evaluation. In 2020, IOM developed an Integrating Conflict Sensitivity Operational Guide which outlines how conflict sensitivity should be incorporated throughout the IOM project cycle, in line with the organisation's broader commitment to the humanitarian, development and peace nexus. IOM also developed an IOM Standardized Guidance on Conflict Analysis to support country missions in carrying out conflict analysis to support its planning and programme development. However, the tool is not systematically applied, because it's not yet endorsed by senior leadership or made mandatory. Country missions are required to assess contextual risks as part of receiving funding from the IOM Development Fund. It is not mandatory for IOM country offices to conduct a conflict analysis, although an appreciation of the causes and drivers of conflict and IOM's interaction with conflict is usually included in the context analysis part of IOM project proposals. At the moment, IOM is focusing on the piloting of its approach to conflict sensitivity in Sudan and Iraq and will begin rolling this out to other parts of the organization once the approval of senior leadership is obtained.</p> <p>5.2.2 Conflict analysis is regularly updated, and programmes adapted accordingly.</p> <p>IOM's Standardized Guidance on Conflict Analysis outlines a commitment to updating the conflict analysis periodically or in response to significant changes in the context. The Integrated Conflict Sensitivity Operational Guide also states that conflict analysis should be updated at key points to inform programme implementation and monitoring and allow for adaptation and learning. Despite this guidance, given that conflict analysis is not being systematically produced within IOM operations, it is not possible to say that it is being updated. Rather, IOM continually undertakes context analysis (not the same as conflict analysis), which is included within its planning document and projects proposals, and insofar as this are updated this includes a partial assessment of the conflicts in which IOM operates.</p> <p>5.2.3 IOM has ensured that conflict sensitivity is applied to organisation policies and processes, although not yet to human resources, procurement and communications.</p> <p>As well as developing stand-alone guidance on conflict sensitivity, IOM has also ensured that the approach is integrated in other relevant policies and processes. For example, conflict sensitivity is addressed in the Migration Crisis Operational Framework (MCOF) as an operating approach. IOM has also produced a standardised set of sample</p>	66, 70, 104, 105, 168, 208, 308, 309, 310, 311, 312, 313, 314, 315, 316

indicators for IOM's transition and recovery programming, which focuses on addressing conflict sensitivity in different workstreams, and has produced 'Guidance on Beneficiary Targeting within IOM's Peacebuilding Portfolio' which states that conflict sensitivity should be mainstreamed by project managers and developers to avoid causing unintended harm to affected populations. As far as the assessment was able to determine, human resources, procurement and communications policies do not yet make reference to conflict sensitivity. While there is an organizational commitment to conflict sensitivity, it has not been fully institutionalized in IOM programming. The revision of the Project Handbook provides an opportunity to further institutionalise these approaches.	
MI 5.2 Evidence confidence	High confidence

MI 5.3 Risk assessment, monitoring and management drives more relevant and agile programming	Score
Overall MI Rating	Satisfactory
Overall MI score	2.75
Element 1: Organisation has, and uses, a system to identify, monitor and manage risks, with clear lines of responsibility for decision making and accountability, including effective escalation processes	3
Element 2: Risks covered by the system include contextual, programmatic, and institutional risks.	3
Element 3: Risk tolerance/appetite levels are set at appropriate level, monitored, and used effectively to inform risk management and escalation. The organisation's risk tolerance/appetite is communicated to all staff	2
Element 4: The risk management process also factors in "the risk of doing nothing" and does not lead to risk adversity	3
MI 5.3 Analysis	Evidence documents
<p>5.3.1 Organisation has, and uses, a system to identify, monitor and manage risks, with clear lines of responsibility for decision making and accountability, including effective escalation processes.</p> <p>As part of IOM's reforms since 2018, the Enterprise Risk Management Unit has been integrated into the Department of Strategic Planning and Operational Performance (DPP). A Risk Management Framework and Policy (RMFP) has been put in place to ensure that risks are identified and used to inform strategic planning and decision-making across all levels of the organization. The RMFP states that all managers and employees involved in planning, implementing, and refining of activities are responsible for ensuring risk management processes are followed and factored into all aspects of their work. It outlines the risk management roles and responsibilities of corporate decision-makers, including the Director-General, Chief of Missions, Regional Directors, Risk Officers, Focal Points and internal auditors. The newly updated RMFP also includes an outline of the risk escalation process. All of the Regional Offices (RO) completed Regional Risk Strategies, as well as more than half of all of country offices. Risk management training has been completed in five of nine ROs, as well as 49 Country Offices.</p> <p>IOM's Project Handbook provides guidance on risk management, focusing on the roles and responsibilities of Managers, Resource Management Officers, and Chiefs of Mission in monitoring project risks. Every project is required to have a risk assessment, captured in PRIMA, and these risks are integrated into the country office Risk Profile and Register. The system identifies the various categories of risk, followed by a SWOT analysis, which helps to identify when risks also present opportunities, or a Political, Economic, Social, Technological, Legal, and Environmental (PESTLE) analysis of its</p>	92, 95, 97, 98, 106, 134, 152, 170, 193, 197, 208, 209, 402, 406

context. IOM has developed the Risk Register with defined standard categories for risks: strategic, managerial, operational. Based on the category and intensity of the risk, it is escalated to the appropriate office, either headquarters, regional or handled and country office-level, accordingly. Each risk also has an identified “owner”. This is then followed by an Evaluation and Treatment Plan, including a Risk control assessment and a progress tracking system. This whole process will be integrated into a corporate ERP system (planned to rollout in 2024, but already under development). The risk management system in the ERP will have automated tracking with an alert system for elements that need to be updated/reported and will assure and support escalation of critical risks. The system also helps track risk trends, which are key issues for escalation.

There are risk committees in regional offices that meet on a quarterly basis. Organizational risks are expected to be managed through the development of risk-based controls during the design of IOM processes under the Internal Governance Framework (IGF).

Global instruction IN213 gives country offices guidance on how to evaluate and assess risk and take mitigation actions to respond to risk, based on the mission’s risk matrix, which is kept updated as context changes. In April 2021, IOM also launched IN284, which addressed the application of risk mitigation treatment to implementing partners. Based on the identified level of risk, decisions on disbursement, service requirements and delivery are made, as well as how best to address duty of care issues that may arise regarding eventual staff security challenges.

5.3.2 Risks covered by the system include contextual, programmatic, and institutional risks.

Both the RMFP and the IOM Development Fund’s Guidance Note on Risk Assessments during project development identify the three key categories of risk for IOM as: contextual risks, programmatic/organizational risks and institutional risks. Risks covered by the Risk Framework include potential institutional risks, particularly the risks that are identified as having negative impact to IOM’s objectives. IOM applies commonly used tools for high-level assessments of context and utilises existing contextual analysis to establish the context for risk management at country level. The document also outlines key action points for project developers’ risk mapping and expectations for a risk timeline and risk treatment plan.

5.3.3 IOM is in the process of articulating its risk appetite, at country and headquarters levels.

Each country office is expected to define their Risk Appetite and Tolerance as part of their internal risk management process. While some country offices have begun to do so, this is an on-going process. At the institutional level, a decision has been taken to define the organisation’s approach to risk, for the first time, through regular Risk Appetite statements. The templates for these are under development.

However, there is a lack of mainstreaming of conflict sensitivity across humanitarian operations, especially for the 60 priority countries of crisis. This mainstreaming will require an enhanced integration of Risk Management and Security Management teams at headquarters, regional and country levels, which is currently lacking. It should be noted that IOM has become a formal member of the UN Programme Criticality Framework in early 2022.

5.3.4 The planned Risk Appetite Statements is expected to address the “the risk of

doing nothing”. The risk of doing nothing will be addressed within the forthcoming Risk Appetite Statements, which will be discussed with member states, to avoid risk aversion.	
MI 5.3 Evidence confidence	High confidence
MI 5.4: Organisation contributes to the overall response effort, according to its comparative advantage	Score
Overall MI rating	Satisfactory
Overall MI score	2.83
Element 1: Organisation actively participates in country co-ordination efforts, including IASC, HCT, Clusters and other structures. Adequate human and other resources are deployed to support cluster and other co-ordination responsibilities fully.	4
Element 2: Organisation actively participates in joint risk and needs assessments exercises, to ensure that the response is focused on the needs of the most vulnerable.	4
Element 3: Organisation participates and shares data, information, and analysis - respecting privacy and protection considerations - with common assessment processes and relevant partners	3
Element 4: Country, regional and/or sector strategies identify the organisation’s comparative advantage to ensure potential synergies (advocacy, knowledge, and skills etc.) and integrated responses (joint programming, warm handoffs, cost savings and efficiencies etc.) with partners.	3
Element 5: In protracted crisis settings, the organisation develops multi-year planning and programming approaches.	1
Element 6: Organisation demonstrates how it applies comparative advantage to contribute to the overall response in each context.	2
MI 5.4 Analysis	Evidence documents
<p>5.4.1 IOM actively participates in country co-ordination efforts, including the Inter-Agency Standing Committee (IASC), Humanitarian County Teams (HCT), Clusters and other structures with adequate human and other resources deployed to support cluster and other co-ordination responsibilities.</p> <p>Although IOM is a longstanding member of the IASC, since joining the UN in 2016 it has played an increasing leadership and coordinating role in the overall response effort, in addition to its contribution as an individual agency. At the country level, it actively participates in UN Country Teams (UNCT) and HCT. It fulfils its cluster responsibilities in terms of the Camp Coordination and Camp Management (CCCM), although identifying funding for coordinators can be challenging. IOM has also assumed the leadership of the Shelter/NFI cluster in several countries, although stakeholders mentioned in interviews that the lack of national counterparts and availability of funding present a challenge. It is also actively involved in other clusters and cross-cutting working groups, leading in several contexts the group on humanitarian needs assessments given the role of DTM in the HNOs. In addition to humanitarian coordination efforts, IOM also participates in the UNCT and the development of coordination structures through the implementation of its Institutional Strategy on Migration and Sustainable Development. It also coordinates the UN Network on Migration at the country level in several countries to support the implementation of the Global Compact for Migration (GCM). IOM is keen to play more of a leadership role in the humanitarian response, but its stakeholders have mentioned that they are mindful of constraints in the resources that the organisation is able to allocate to this within its financial framework. In the survey, a strong majority (83%) of respondents agreed with the statement “IOM participates actively in the humanitarian architecture and overall response”.</p>	3, 4, 7, 32, 34, 41, 42, 48, 40, 52, 107, 134,173, 190, 191, 193, 199, 211, 227, 266, 351, 383, 411

5.4.2 IOM actively participates in needs assessment exercises to ensure that the response is focused on the needs of the most vulnerable but have not explicitly conducted joint risk assessment.

IOM's DTM is a key information source for Humanitarian Needs Overview (HNO) and Humanitarian Response Plan (HRP) and in this way it plays a lead role in joint needs assessments. In 2021, about 84% of HNOs and HRPs used DTM to inform their analysis on internal displacement. IOM also participates in the development of Common Country Analysis (CCA) and conducts training to equip staff to integrate migration into Cooperation Frameworks and CCAs. IOM's Risk Management Framework and Policy states that risk analyses are expected to be shared with donors and stakeholders at project development stage. Whilst there is no evidence of risk assessments being conducted jointly, IOM supports member states with building their capacity to conduct risk assessments.

5.4.3 IOM participates and shares data, information, and analysis – respecting privacy and protection considerations – with common assessment processes and relevant partners.

IOM has created Communities of Practice, with shared platforms for sharing data, information, and analysis with relevant partners, using SharePoint, Teams and Yammer. The data from DTM is put at the disposal of all humanitarian actors. A Knowledge Management Hub was created by IOM in collaboration with the EU. A Knowledge Management Strategy has been developed and is expected to guide the organization's efforts to ensure that evidence and lessons learned are shared to inform decision making and that learning systems are in place to continually enhance organizational capacities to tackle emerging complexities.

5.4.4 Country, regional and/or sector strategies identify the organisation's comparative advantage to ensure potential synergies and integrated responses with partners.

Country and regional strategies identify opportunities for IOM to work with partners on migration issues. IOM has worked to ensure that inter-agency strategies such as the HRP and UN Sustainable Development Cooperation Frameworks consistently include migrants and migration issues. Since joining the UN in 2016, and in particular since assuming its role as the Coordinator and secretariat of the system-wide UN Network on Migration in 2019, IOM has played a growing leadership and coordination role on migration issues across the UN, renewing agreements with a number of key UN and other partners as a result.

5.4.5 In protracted crisis settings, IOM has only to a limited extent been able to develop multi-year planning and programming approaches.

IOM's Strategic Vision, regional and country strategies are multi-year. However, the workplans developed by country missions are only developed on an annual basis. IOM has not moved yet to multi-year planning. There are ad hoc multiannual strategies for specific contexts, but this is not a standardised approach. The project-based nature of IOM's financial framework does not lend itself to multi-year planning. Nevertheless, in protracted crisis IOM has been able to secure multiannual development funding, which now accounts for around 30% of the organisation's revenue, and even for individual humanitarian projects multi-year grants are sometimes provided by donors.

5.4.6 There remains some uncertainty about IOM's mandate and comparative advantage within the overall humanitarian response in each context.

While IOM’s mandate is on migration, it defines this broadly to include “the movement of persons away from their place of usual residence, either across an international border or within a State”. This covers different groups, including international migrants, refugees and asylum seekers, and internally displaced persons. While IOM has from its inception been focused on supporting migrants that cross international borders, an increasing focus of its efforts has been migration within states and internal displacement. According to interviews, over 50% of its revenue is in the form of humanitarian funding, the bulk of which is directed towards IDPs. According to both internal and external stakeholders interviewed for this assessment, IOM struggles to communicate an overall narrative for how it interprets and implements its mandate, given the wide range of activities it undertakes in the field. This has led to uncertainty as to IOM’s comparative advantage within the UN system, and concerns that it may at times overstep its mandate. This is a cause of some frustration amongst other UN agencies that also deal with the movement of people. While IOM is a valued member of the overall humanitarian system, perceptions held by some interviewed stakeholders were that IOM’s activities are defined by donor funding choices, rather than its mandate and strategy. Interviewees across the organisation defined IOM’s comparative advantage as its strong operational performance and responsiveness in crisis response, rather than in terms of its core migration mandate. However, IOM’s leadership role in the UN Migration Network and in support of the Global Compact on Migration have provided a more overarching purpose of IOM’s mission, and the organisation is in the process of building its comparative advantage on climate change-migration nexus, in particular, amongst other areas.

MI 5.4 Evidence confidence	High confidence
MI 5.5: Intervention designs include an analysis of cross-cutting issues (as defined in KPI 2).	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: Approval procedures require an assessment of the extent to which cross-cutting issues have been integrated in the design	3
Element 2: Plans for intervention monitoring and evaluation include attention to cross-cutting issues	3
MI 5.5 Analysis	Evidence documents

<p>5.5.1 IOM project approval procedures require an assessment of the extent to which cross-cutting issues have been integrated in the design.</p> <p>According to IOM's Project Handbook and Monitoring and Evaluation (M&E) Guidelines, project designs and progress reports should address how cross-cutting themes were addressed. IOM's project development procedures include various provisions for ensuring that cross-cutting issues have been integrated into the design of the interventions. The Project Handbook also outlines IOM's internal project approval procedure, which involves project developers sharing the proposal package with the Resource Management Officer, followed by the Chief of Mission or Head of Office. Individual donors also set conditions that need to be satisfied for project proposals to be accepted. Regional thematic specialists play an important role during the approval process in reviewing projects elaborated by programme staff in country missions. The PRIMA project management system also currently prompts staff to incorporate SRF indicators showing the integration of cross cutting issues into programme designs.</p>	
<p>5.5.2 IOM plans for intervention monitoring and evaluation include attention to cross-cutting issues.</p> <p>Cross-cutting issues have been integrated in IOM's Strategic Results Framework (SRF), against which the organisations activities are monitored and reported against. In addition to project-level reporting on cross-cutting priorities, through the IOM Institutional Questionnaire and other survey tools IOM's country offices and regional offices are annually surveyed on their performance against cross-cutting priorities, such as PSEA, gender etc. In many instances, projects face parallel M&E requirements, for the donor and for IOM. The IOM Monitoring and Evaluation Guidelines covers how cross-cutting themes (rights-based approach; protection mainstreaming; disability inclusion; gender mainstreaming; environmental sensitivity and sustainability; and AAP) should be incorporated into M&E. Evaluations are encouraged to include gender considerations throughout all steps of the evaluation process (evaluation criteria, data collection methods and analysis) in accordance with the UN System-wide Action Plan (UNSWAP) on Gender Equality and the Empowerment of Women (GEEW), as well as UN development systems reform commitments as a whole. A notable finding from UNSWAP was that GEEW targets and indicators were well-integrated in 69% of decentralised external evaluations and sex-disaggregated data had been made available for analysis.</p>	61, 152, 164 394
<p>MI 5.5 Evidence confidence</p>	<p>Medium confidence</p>
<p>MI 5.6: There are systems in place for anticipatory responses</p>	<p>Score</p>
<p>Overall MI rating</p>	<p>Unsatisfactory</p>
<p>Overall MI score</p>	<p>1.67</p>
<p>Element 1: Early warning systems and structures are in place and used, and warnings are heeded and acted upon in a timely manner</p>	<p>1</p>
<p>Element 2: Contingency planning is in place and regularly updated in emergency and protracted crisis settings. Contingency plans are used should they be triggered.</p>	<p>3</p>
<p>Element 3: Funding envelopes or instruments are in place to ensure timely anticipatory responses, where needed</p>	<p>1</p>
<p>MI 5.6 Analysis</p>	<p>Evidence documents</p>
<p>5.6.1 A rolling out of institutionalised approach to emergency preparedness is still ongoing, and an institutionalized approach to early warning is still in development, and in many instances IOM coordinates with inter-agency early warning platforms.</p>	<p>34, 70, 107, 193, 208, 209</p>

Within its Preparedness & Response Division, a dedicated Emergency Preparedness Unit has been put in place in 2019 and the work is in the early stages of developing an organisation-wide approach to early warning. In recent years, IOM has been systematically participating in inter-agency early warning groups, to both benefit from the inter-agency expertise as well as informing the group with latest IOM analysis and products (e.g. from DTM). Additionally, IOM has ad hoc early warning systems in place in a number of contexts, and often coordinates with existing platforms and partners in countries of operations. At global level, IOM has developed guidance and tools in recent years, including an emergency preparedness dashboard which is an internal platform through which preparedness information and knowledge management from 70 countries is consolidated.

5.6.2 Contingency planning is in place and regularly updated in emergency and protracted crisis settings where required.

According to the IOM Emergency Preparedness guidance developed in 2020, that includes Minimum Preparedness Actions and Contingency Planning template (see [IOM Emergency Manual](#)), contingency planning must be conducted regularly in recognition of the uncertainty and unpredictability in many of IOM's operating contexts, particularly for humanitarian programming. IOM also participates in inter-agency contingency planning processes led by OCHA through the Humanitarian Country Team (HCT). IOM headquarters, in coordination with Regional Office Emergency Focal Points, provides technical support to country offices on Emergency Preparedness and Contingency Planning. This includes centralizing baseline risk profile and preparedness data into the IOM Emergency Preparedness Dashboard. This tool is then used as a baseline to prioritize technical support for countries with higher risk levels and lower levels of preparedness. There is also provision to support country offices with contingency planning outside of this cycle for emerging risks.

5.6.3 IOM does not have funding envelopes or instruments in place to ensure timely anticipatory responses, where needed.

While some individual donors (e.g. ECHO) allow project budgets to be used to fund anticipatory action, IOM does not have an institutional funding envelope or instrument that allows for timely anticipatory responses. IOM has however been engaging in with the inter-agency Anticipatory Actions Frameworks facilitated by OCHA, in Somalia, Malawi, South Sudan, and Philippines. For instance, in South Sudan, IOM activities represented 8 million out of the 15 million CERF "Early action for floods" allocation. In Philippines, IOM was also a key actor of the 7.5 million Anticipatory Action framework. At headquarters level, IOM is piloting with small donor funding some Early/Anticipatory actions to support countries that have identified risks and preparedness gaps. This funding is still in an early phase (8 countries starting from 2021) and is not yet at scale regarding identified needs. The expansion of this pilot with additional donors and more target countries is under consideration.

MI 5.6 Evidence confidence

Medium confidence

MI 5.7: The organisation is set up to deliver accountability to affected populations.	Score
Overall MI rating	Satisfactory
Overall MI score	2.67
Element 1: The organisation has set out the AAP commitments that it will be held accountable for, and how they will be delivered, including through recruitment and training, partnership agreements, Terms of Reference etc.	3
Element 2: AAP is effectively integrated into country strategies, programme design,	3

monitoring and evaluation, recruitment, training and performance management, partnership agreements and highlighted in reporting	
Element 3: Accessible and timely information on organisational procedures, structures and processes that may impact communities is provided, and supports informed decisions and engagement with communities as dialogue	3
Element 4: The views of communities are actively sought to improve policy and practice in programming. Feedback and complaints mechanisms are streamlined, appropriate and robust to handle complaints about breaches in policy and stakeholder dissatisfaction	3
Element 5: Clear guidelines and practices enable communities to play an active role in decisions that will impact their lives, including ensuring that the most marginalized and at risk are represented and have influence	2
Element 6: The goals and objectives of programmes are designed, monitored and evaluated with the involvement of affected populations, feeding learning back into the organisation on an on-going basis and reporting on progress	2
MI 5.7 Analysis	Evidence documents
<p>5.7.1 IOM has set out the AAP commitments that it will be held accountable for and how they will be delivered.</p> <p>In 2021, IOM adopted an Accountability to Affected Populations (AAP) mandatory compliance framework (IN/285), which defines affected populations whom IOM seeks to assist under its MCOF and explains that IOM adheres to the IASC understanding of AAP. It also sets out the principles, operational commitments, and institutional responsibilities for AAP across IOM, as well as the policies and frameworks that are relevant to AAP. IOM's AAP framework is mandatory and can therefore be used to hold the organisation accountable. IOM has also developed a community-based planning tool, and AAP is referenced in its approach to protection mainstreaming. The AAP framework has been supplemented by an AAP Toolkit and a related Community-Based Planning briefing note. The IOM approach to AAP is also referenced in other planning documents, such as the humanitarian policy. An online training course on AAP has been completed by 2 700 staff, and AAP focal points in country and regional offices have received more intensive training - 75 in 2021, 149 in 2022. Based on IOM's Project Handbook and Accountability to Affected Populations Framework, AAP must be mainstreamed in project development and recruitment processes, and this is supported 12 separate tools. However, reporting on the application of the AAP Framework is ad hoc rather than systematic. IOM is reliant on one specialist staff member at headquarters working on AAP and a system of focal points who work on AAP in addition to their other duties.</p>	
<p>5.7.2 AAP is only partially integrated into IOM country strategies, programme design, monitoring and evaluation, recruitment, training and performance management, partnership agreements and highlighted in reporting.</p> <p>Accountability to Affected Populations (AAP) is a cross-cutting priority in IOM's Strategic Results Framework (SRF). Engagement with affected populations at project design phase is encouraged in the IOM Project Handbook. The organisation has consulted with communities during the design and planning phases of projects, and has used community feedback to monitor and evaluate projects. Feedback from affected populations is also considered when making adjustments to programmatic activities, project targets and timelines. IOM country offices have integrated AAP into their country strategies and into humanitarian programming to varying degrees. At country level, Chiefs of Mission are responsible for ensuring AAP is integrated into crisis response plans and country strategies, and Programme Managers are responsible for mainstreaming AAP across applicable programmes. As of 2020, 47 offices had integrated AAP into their country plans and strategies and 35 offices had an AAP focal</p>	2, 3, 70, 84, 152, 172, 173, 168, 199, 207, 209, 375, 403, 429

point participating in inter-agency AAP activities. Country missions should also report AAP-related information through the Institutional Questionnaire completed annually. At the moment, IOM has a single technical lead on AAP who is located within the Department of Operations and Emergencies, whose responsibility it is to provide technical support, coordination and strategic direction to IOM's country missions and other parts of the organisation to implement the AAP Framework. Given the limited resourcing available, there is still some way to go to institutionalize AAP across the organisation. As of October 2022, 149 staff had completed the AAP blended training, of which only 35% earned the training certificate from IOM Staff Development and Learning for having applied training for completion of the AAP Action Plans for the final assignment.

At the partnership level, IOM is leading an IASC inter-agency project to pilot new, collective approaches to AAP in crisis contexts. The project will produce AAP training and resource materials and will support the IASC to make AAP into a performance metric for humanitarian country teams and country leadership.

5.7.3 Accessible and timely information on organisational procedures, structures and processes that may impact communities is provided, and supports informed decisions and engagement with communities as dialogue.

The IOM Accountability to Affected Populations (AAP) Framework (IN/285) includes a commitment on information-sharing and transparency on what IOM is, what it does, and the entitlements of its target populations, together with commitments on participation, complaints and feedback mechanisms, and coordination with partners on collective approaches. The commitments affirm the rights of affected populations and affected communities to be informed and involved through participation and feedback mechanisms in the decision-making processes that affect them; and enable IOM to ensure that affected people are placed at the core of its humanitarian programming. The following are examples of how IOM's efforts to mainstream AAP in its humanitarian programming:

- IOM established the **Global Data Institute (GDI)** to harness the power of its data for operations, making meaning of global migration patterns, and informing foresight. The Global Data Institute capitalizes on synergies between its two data initiatives --the Displacement Tracking Matrix (DTM) and the Global Migration Data Analysis Centre (GMDAC)--and collaborates with a network of regional data specialists.
- **Displacement Tracking Matrix (DTM)** is a division of GDI focused on primary data collection and analysis activities that inform humanitarian and recovery response in settings with mobile populations. At the global level, the division, in coordination and collaboration with AAP, produces guidance and tools on data collection activities centred on accountability, such as the Data Responsibility approach in humanitarian action and the DTM and Partners' field companion for AAP.
- **The IOM Cash-Based Intervention (CBI)** Unit has developed tools to inform and guide country offices on how to set up complaint and feedback mechanisms (CFM) and communicate with communities on CFMs, mainly the IOM CBI Manual and a question bank for post-distribution monitoring (PDM).
- **IOM's Shelter and Settlements** has also developed tools and guidance that strengthen AAP mainstreaming in programming.

5.7.4 The views of communities are actively sought by IOM to improve policy and practice in programming. Feedback and complaints mechanisms are streamlined, appropriate and robust to handle complaints about breaches in policy and

stakeholder dissatisfaction.

IOM actively seeks to improve policy and practice in programming through the commitments set out in its AAP Framework, which requires that affected populations and communities be informed and involved in the decision-making processes that affect them so that affected people are placed at the core of programming. IOM's 2020 annual report presented examples of interventions where beneficiary feedback mechanisms and information centres were systematically and continuously applied. In some cases, like Bosnia & Herzegovina, direct feedback from beneficiaries also contributed towards improvements in IOM's services. AAP commitments centre on: (a) leadership; (b) information-sharing and transparency; (c) participation; (d) complaints and feedback mechanisms; and (e) partner coordination. Feedback and complaint mechanisms gather views of communities through mechanisms such as hotlines, community feedback assistants, SMS systems and comment boxes. IOM has an Operational Guidance for Establishing a Complaints and Feedback Mechanism (CFM) as part of the Resettlement and Movement Management (RMM) programme. Additionally, beneficiaries are randomly contacted for interviews and group discussions or asked for feedback on the work of implementing partners during post distribution monitoring. As of 2020, 69 IOM offices had mechanisms or tools in place to systematically monitor and analyse feedback and complaints from beneficiary and affected populations, and 56 offices had written standard operating procedures in place for handling or referring complaints.

There is evidence that AAP was maintained during COVID-19. For example, IOM Bangladesh in collaboration with government and local actors began using an Interactive Voice Response mass communication tool to disseminate key information and to collect community feedback. Over 26 000 COVID Info Line users registered and almost 20,000 messages were sent to IOM, and over 235 000 calls were made to share 36 pre-approved messages by the Refugee Relief and Repatriation Commissions (RRRC) and Intra Sectoral Coordination Group (ISCG).

5.7.5 IOM guidelines and practices enable communities to play an active role in decisions that will impact their lives, including ensuring that the most marginalized and at risk are represented and have influence.

IOM's AAP Framework provides clear guidelines and practices to enable communities to play an active role in decisions that will impact their lives. This includes a definition for 'participation' that affirms the rights of affected populations and communities to be informed and involved in the decision-making processes that affect them. IOM Global Workshops on AAP have been used to take stock of progress and challenges first in 2018 and more recently in 2022. IOM has developed a community-based planning approach to ensure a people centred approaches to programming which has been rolled out to all countries impacted by crises. However according to stakeholders these approaches have still not been fully institutionalised in IOM and, while there is increased awareness of AAP, this is not always reflected in practice. For example, in 2021, only 30% of IOM Crisis Response Plans made explicit mention of AAP, although 80% had an implicit component on the issue.

5.7.6 IOMs is endeavouring to ensure that the goals and objectives of programmes are designed, monitored and evaluated with the involvement of affected populations. However, there is insufficient evidence on how learning is fed back into the organisation and how this informs reporting on progress.

According to the IOM AAP Framework, the goals and objectives of programmes should be designed, monitored and evaluated with the involvement of affected populations. The extent to which this is happening varies from one country mission to another, and

also within individual projects. IOM has introduced an online course on AAP which was the top online course in 2021 with the highest completion rate: 2 700 staff members and 800 consultants. The plan now is to develop a more extensive AAP course for focal points and practitioners who do community engagements. IOM has a 'One Stop Shop' AAP knowledge platform with a range of tools.	
MI 5.7 Evidence confidence	Medium confidence
MI 5.8: The organisation is set up to promote, respond to and achieve durable solutions for internally displaced people (IDPs).	Score
Overall MI rating	Satisfactory
Overall MI score	3.17
Element 1: Organisation has systems in place to advocate for, and support, the state in prioritizing solutions for IDPs, including through local, national and regional actors	3
Element 2: Organisation has systems in place to ensure IDPs can exercise their rights in society and participate in decision making processes around questions that concern them. Protection is at the centre of all IDP responses.	3
Element 3: The organisation supports co-ordination efforts for IDP solutions	4
Element 4: The organisation actively addresses the drivers of displacement and reduces displacement risks	3
Element 5: Resourcing for IDP situations is on an equal basis to other crisis contexts, including allocations from core funding.	3
Element 6: The organisation reports on action on internal displacement in its regular reporting, including to Executive Board	3
MI 5.8 Analysis	Evidence documents
<p>5.8.1 IOM has systems in place to advocate for, and support, the state in prioritizing solutions for IDPs, including through local, national and regional actors.</p> <p>Given the significant involvement of IOM in responses to internal displacement, the organisation approved its IDP Policy in 2017 and has recently finalised a Framework for Addressing Internal Displacement in 2022. IOM's organizational approach to IDP situations was first set out in the 2016 Progressive Resolution of Displacement Situations, which was adopted by member states and provided an institutional foundation for working on IDPs and supporting durable solutions. IOM has a Displacement Data Strategy 2021-2025 which outlines a high-level course of action to enhance its internal displacement data operations. IOM has also developed an implementation plan to follow-up the UN Secretary-General's High-Level Panel on Internal Displacement and has made a series of commitments to help implement the SG's Action Plan on IDPs, issued in 2021. In 2020, IOM had over 180 active community stabilisation and durable solutions projects being implemented in 65 countries and regions. It provided capacity-building support to promote local and national authorities' ownership of durable solutions processes. A six-step process has been developed to guide and support IOM staff in the systematic development of a comprehensive response to the progressive resolution of displacement situations. IOM's approach to IDPs includes support to states, including advice on the development of national laws and policy and other technical support and capacity building. It has supported specific durable solutions initiatives in Somalia, Ethiopia, Iraq and other contexts.</p> <p>5.8.2 The Organisation has systems in place to ensure IDPs can exercise their rights in society and participate in decision making processes around questions that concern them. Protection is at the centre of all IDP responses.</p> <p>According to interviewees, IOM supports government-led reparations mechanisms and mechanisms for the restoration of housing, land and property, along with other forms</p>	

of protection support to vulnerable populations as means of ensuring that IDPs can exercise their rights in society and participate in decision-making processes in areas that affect them. IOM's 'Solutions Offer' states: "From the onset of displacement, IOM works with IDP governance structures to initiate durable solutions planning to ensure decisions on the solutions that IDPs choose are both voluntary and informed". IOM also supports early engagement and coordination with, and sensitization and capacity building of government counterparts.

3, 4, 34, 191, 199,
331, 388, 389, 390,
459

5.8.3 IOM has played an important role in supporting co-ordination for IDP solutions.

IOM has played a significant role in terms of inter-agency efforts on IDPs. In terms of assessing IDP needs, IOM's DTM is a key information tool for the humanitarian system. IOM's Internal Displacement Data Strategy supports the development of an inter-agency strategy for internal displacement data. IOM has supported durable solutions strategies and associated units in complex environments faced with conflict, violence, natural disasters and COVID-19 and has chaired or co-chaired durable solutions working groups. At the global level IOM has contributed significantly to inter-agency process on IDPs including the High-Level Panel and Secretary-General's (SG) Action Plan on IDPs as a member of the inter-agency Steering Group on Internal Displacement Solutions, led by the SG's Special Adviser on Solutions to Internal Displacement. It is currently co-chairing a time-bound Data for Solutions to Internal Displacement (DSID) Taskforce. IOM also launched the Mobility and Solutions Index (SMI) which brings together a range of country-led initiatives to develop data tools and analysis related to Durable Solutions.

5.8.4 IOM actively addresses the drivers of displacement and reduces displacement risks.

The Progressive Resolution of Displacement Situations Framework guides IOM's approach to addressing the drivers of displacement and reducing displacement risks. IOM's peacebuilding and disaster risk reduction activities contribute to addressing the drivers of displacement and reducing displacement risks. IOM and UNHCR's joint study entitled, 'Bridging the Divide in Approaches to Conflict and Disaster Displacement', examined instruments and mechanisms on internal displacement, disaster risk reduction, climate change and development in five countries. The report sought to advance understanding and engagement and build on normative, institutional and coordination approaches on preventing, addressing, and solving internal displacement associated with conflict, disaster and their intersection. IOM's community-based planning tool helps ensure that local causes of displacement are built into programme design.

5.8.5 Resourcing for IDP situations is higher than any other type of crisis contexts for IOM, although the organisation has no ability to make allocations from core funding.

IOM provides protection and assistance through the full cycle of displacement before (prevention), during (protection and assistance) and afterwards (durable solutions). More than 55% of IOM's budget is dedicated to responding to emergencies, the vast majority of which involve internal displacement. IDPs therefore make up the largest caseloads of migrants that the organization assists. In this sense, resourcing for IDP situations is higher than any other type of crisis context for IOM. The organisation is one of the largest responders in major displacement crises, including Ukraine, Colombia, Yemen, and Afghanistan. IOM has no ability to allocate core funding to IDP situations apart from the small emergency fund. IOM's IDP responses have been mainly coordinated through the Department of Operations and Emergencies. However, following the restructuring of headquarters, the IDP issue was mainstreamed across

<p>other departments, including the Department of Peace and Development Coordination. An IDP Durable Solutions and Reference Group at headquarters coordinates all the relevant parts of the organization on the issue. In 2022, a Senior Advisor on IDPs position was also established. There have been efforts to centralise global stock management, but IOM has few common systems for responding to IDP crisis.</p> <p>5.8.6 IOM reports on action on internal displacement in its regular reporting, including to Executive Board.</p> <p>IOM includes its action on internal displacement in its annual reports as well as the report of the IOM DG to the IOM Council. In 2021, the UN Secretary-General's Action Agenda was also released in response to the High-Level Panel on Internal Displacement's report recommendations. IOM's follow-up to the SG's Action Plan was to release an Implementation Plan providing an overview of the priority actions that IOM can take in support of the plan.</p>	
MI 5.8 Evidence Confidence	High confidence

MI 5.9: Where appropriate, the organisation enables national governments to discharge their duty of care towards people affected by crises.	Score
Overall MI rating	Highly Satisfactory
Overall MI score	4
Element 1: The organisation has clear policies and practices regarding working with national governments, and in line with these, builds national capacity and aligns programming with national systems where appropriate.	4
MI 5.9 Analysis	Evidence documents
<p>5.9.1 The organisation has clear policies and practices regarding its work with national governments, building national capacity, aligning programming with national systems as appropriate, and assisting national governments to discharge their duty of care towards people affected by crises.</p> <p>As an intergovernmental agency, IOM has a strong track record of working directly with national governments on both migration issues and related interventions, through technical support on migration issues and assistance in developing national systems. The Migration Governance Framework (MiGOF), presented to Member States in 2015 and supplemented by Migration Governance Indicators (MGI), provides the institutional approach for IOM's support to governments to develop national migration systems. The IOM Development Fund provides small-scale funding to development capacities of member States to address migration management and governance challenges. However, there is no similar standardised approach for how IOM works with national governments on IDP issues, although IOM often supports host authorities to fulfil their responsibilities in this area also. In most countries, IOM has agreements with national government that outline its areas of engagement in technical support and capacity building, usually through direct implementation. Despite the organization moving towards operating across the Nexus and positioning itself in this manner within the UN humanitarian and development system, IOM programmes do not generally substitute for host authorities, but rather build national capacities to discharge their duty of care towards people affected by crisis.</p> <p>As an intergovernmental organization, IOM requires the explicit agreement of the national host government to be able to engage locally, and national authorities are usually notified of, coordinate with and are often directly involved, even when IOM works at the local level. Thus, IOM's local level work routinely involves and often</p>	4, 39, 152, 168, 191, 193, 199, 372, 373, 392, 401, 457

requires engagement with different levels of government, as well as a range of other local actors, such as non-governmental organisations, community-based organisations, the private sector, diaspora organisations and research institutes.

To provide a standardised and detailed guide to its work with governments on migration management, IOM developed the Capacity Development for Migration Management (CD4MM), an internal methodological guidance package that includes a Guidance Note and a Toolbox to promote coherence and consistency in IOM’s capacity development efforts and boost efforts to strengthen government capacities in alignment with the Strategic Vision and MiGOF. It helps IOM support governments in the development and implementations of laws and policies governing all legal issues within the migration continuum in a manner consistent with international standards and good practice. Additionally, in order to enhance its internal policy engagement capacities, IOM launched the Leveraging Global Frameworks (LGF) training initiative, to build “strategic, policy and UN-liaison capacity of IOM staff world-wide. In the survey, a strong majority (81%) agreed with the statement: “IOM effectively supports national governments to help people affected by crisis”.

MI 5.9 Evidence Confidence

High confidence

KPI 6: Working in coherent partnerships directed at leveraging and catalysing the use of resources, and results	KPI Score
Satisfactory	2.68
<p>IOM has a growing network of external partnerships, including long-term, institutional partnerships as well as project-specific partnerships, and these are grounded in principles of equality and transparency. Given its dependence on short-term project assistance, it has only limited scope to pass on quality funding to implementing partners but does so to the extent possible. It has a commitment to the localisation agenda and is active in inter-agency localisation processes, but its direct delivery model constrains its ability to implement localisation through its own operations, and it opted out of the Grand Bargain commitment to spending 25% of resources through local partners. IOM provides a range of capacity building support for partners, but principally in technical and operational areas, rather than on governance and administration.</p> <p>IOM has made a commitment to working across the Humanitarian-Peace-Development Nexus (HDPN) and has a range of operations across all three areas, but is still at a relatively early stage in institutionalising its commitments. It integrates peacebuilding and a focus on vulnerability across its operations but needs a more consistent approach to conflict-sensitive and risk-informed programming.</p> <p>IOM has significantly increased its engagement in global advocacy efforts on migration, being active in a wide range of fora, and is an active participant in coordination processes across the humanitarian system. The Global Compact on Migration provides an essential normative framework for its work, but IOM faces financial and staffing challenges to get its country offices engaged in policy advocacy on migration at the national level, given the need, without significant core funding, to prioritise operational issues. However, the 2021 Annual Report highlights that “... In 2021 alone, this policy experience and expertise informed over 170 migration policy and law processes at the national and local levels. As part of these efforts, 65 IOM offices (38%) carried out advocacy activities, supporting the government with the prioritization and mainstreaming of the human rights of migrants into legislation, policy and/or practice”. IOM still lacks a comprehensive communications strategy to support its global advocacy and needs to develop a more compelling narrative about its comparative advantage and role on global migration issues.</p>	

MI 6.1: Partnerships are based on an explicit statement of expected results and engagement, and are rooted in equality	Score
Overall MI rating	Satisfactory
Overall MI score	3.00

Element 1: The Principles of Partnership – Equality, Transparency, Result-oriented approaches, Responsibility and Complementarity – are respected in engagement with implementing partners and informed by appropriate due diligence	3
Element 2: Key stakeholders are a key part of the organisation's programme cycle, both in global strategic planning but also related to country operations – including strategic advice, guidance, information and co-creation – while respecting humanitarian principles	3
Element 3: Downstream partnerships with international and local actors are selected based on a solid shared understanding of the capacity, limitations, expectations and interests of each partner.	3
Element 4: Where possible, partnerships start long before an emergency arises, and continue into recovery and development	3
Element 5: Partnership agreements, including expected results and timeframes, clearly outline the roles, responsibilities and mutual benefits to each party – especially on fraud, corruption, safeguarding and financial and reporting arrangements and capacity needs - and uneven power dynamics are addressed	3
Element 6: Results reporting and monitoring ensures that partners are able to criticize one another, adapt, learn from one another, and continue working with positive outcomes.	Not scored
MI 6.1 Analysis	Evidence documents
<p>6.1.1 IOM does not have an explicit partnership framework, but the Principles of Partnership - Equality, Transparency, Result-oriented approaches, Responsibility and Complementarity are broadly respected in its work with implementing partners.</p> <p>Although the agency undertakes most programmes through a direct delivery model, partnerships are an integral part of mandate implementation at a number of levels. IOM does not have a partnership policy, framework, or guideline per se. It has, however, recently finalised the Implementing Partnerships Management Handbook on working with implementing partners, including local, national, and international non-governmental organisations (NGOs). It sets out IOM's principles of engagement with partners, including a focus on results, collaborative working, coordination, and risk management. The guidance is broadly aligned with the Principles of Partnership. The Handbook is a product of the IOM Working Group on Engagement with Downstream Partners that comprises of the representatives of IOM headquarters departments, regional offices, and country offices. IOM's Humanitarian Policy states that IOM engages in partnerships and cooperates with the stakeholders involved in humanitarian action on the basis of shared principles to promote mutual respect, complementarity, predictability and reliability for a more effective humanitarian response. All Implementing Partners working with IOM are subject to reasonable due diligence assessment requirements corresponding to the operational context and risks of the IOM office. If any implementing partner is found on the UN Security Council Consolidated List or the UN General Marketplace, IOM will not engage with that partner. IOM's "Instruction on The Due Diligence Process for Prospective Collaborations between IOM and Private Sector" aims at establishing the different criteria and procedures followed for vetting and clearing collaborations with private sector entities. This process aims to ensure that IOM's collaborations and partnerships with the private sector are aligned with the core values, partnership principles, institutional policies and commitments of the IOM and the UN. Fully 82% of the survey respondents agreed with the statement that "Partnerships with IOM are respectful, constructive and rooted in equality".</p>	3, 41, 140, 148, 152, 156, 161, 164, 191, 192, 198, 207, 208, 373, 386, 396, 397, 413, 419
<p>6.1.2 Key stakeholders are a key part of the organisation's programme cycle, both in global strategic planning and in country operations.</p> <p>The Department of Operations and Emergencies (DOE) regularly organises NGO</p>	

consultations focused on humanitarian action, with the goal of strengthening effective and principled humanitarian partnerships. Through these consultations, IOM aims to engage in dialogue, discuss shared values, promote unity of purpose, identify respective strengths and limitations, reflect on current challenges facing the humanitarian sector, exchange best practices, develop key recommendations to further joint engagement, and examine the realities of the implementation of the Principles of Partnership to better foster their application. IOM has a number of institutional partnerships which involve engaging on global strategic planning matters. Since becoming a part of the UN system and with the establishment of the UN Migration Network, IOM has developed and/or revitalised partnership agreements with many other UN agencies, funds and programmes. We have heard from interviews that partnership agreements have increased significantly since IOM joined the UN Network. IOM has also broadened the types of partnerships it has with other development actors, such as multilateral development banks, civil society and parliamentarians. At the country level, it has regular dialogue with its implementing partners involved in the execution of specific donor agreements and projects in different sectoral areas. As the CCCM cluster lead, (as well as through the UN Country Teams [UNCTs] more broadly), IOM regularly engages with its partners in this domain and also shelter/non-food items (NFI) when it leads these groups as well.

6.1.3 Downstream partnerships with international and local actors are selected based on a solid shared understanding of the capacity, limitations, expectations, and interests of each partner.

IOM's due diligence confirms implementing partners' operational and financial suitability for activities. IOM's Strengthening Engagement with Local Actors Toolkit provides staff with an outline of local and regional stakeholder partnerships that would be beneficial during the organisation's programme cycle. This tool is intended to be used by staff to link up existing country-level actions with IOM's global priorities and engagement, including global fora and the implementation of the Global Compact on Migration. A Working Group on Downstream Partners has also been put in place and it has finalized a new Implementing Partnerships Management Handbook, which tracks the full life cycle concerns regarding partnership project implementation, including such aspects as Implementing Partner selection process (including due diligence), formalisation/contracting, and management of implementing partnerships.

6.1.4 Where possible, partnerships start long before an emergency arises, and continue into recovery and development.

IOM has long-term Memorandum of Understanding with a range of different UN agencies with whom it works in the field. In 2022, there was a considerable increase in the number of partnership requests from United Nations (UN) agencies, including for many agreements that have been dormant since early 2000s. For example, through IOM and UNHCR's Framework document adopted in 2022, both organisations have agreed to abide by principles of cooperation that are fundamental to institutional cooperation. The document sets out a standard operating procedure (SOP) for both organisations at field level on three priority thematic areas. In addition, IOM has long term arrangements with stand-by partners that provide key staff and other support in specific areas. Through IOM's role as Coordinator of the UN Network for Migration, the organisation has played a crucial role facilitating partnerships between 131 clusters, sectors, working groups and coordination forums in 56 countries. These partnerships have cumulatively supported 1 923 partners globally.

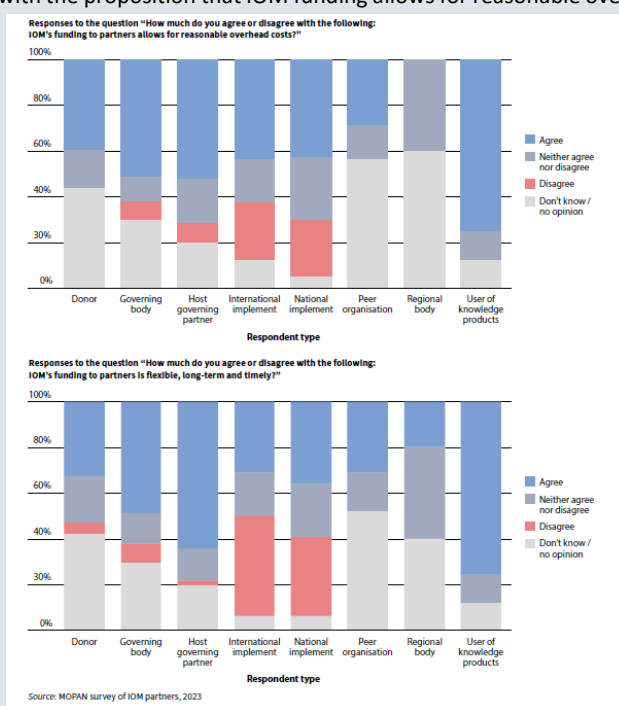
6.1.5 Partnership agreements, including expected results and timeframes, clearly

<p>outline the roles, responsibilities, and mutual benefits to each party – especially on fraud, corruption, safeguarding and financial and reporting arrangements and capacity needs – and uneven power dynamics are addressed.</p> <p>The 2017 Project Handbook states that partnership agreements should clearly identify and clarify each partner’s roles and responsibilities, foreseen activities, monitoring approaches and management structures, to ensure a transparent and accountable process. The Implementing Partnerships Management Handbook also has a chapter that addresses ‘fraud, corruption and asset misappropriation’. Definitions and an outline of the activities that fall under each of those offences are provided, along with IOM’s prevention, detection, investigation, response and reporting process. Furthermore, contract management undergoes a formal review process. The IOM Privacy Impact Assessment (PIA) Template has a section where the responsibilities of IOM and the partner should be described. These should be spelt out in detail in the Project Document, which is annexed to, and forms part of, the agreement. The aim is to ensure that key responsibilities for the activities are also described and acknowledged in the body of the agreement for each party. Cooperation and negotiation between partner governments and IOM may take place to confirm the details of specific issues where the parties might have different interpretations, for example fraud and corruption. Bilateral conversations and workshops also take place between IOM and other UN organisations, to ensure clarity on roles.</p> <p>6.1.6 Results reporting and monitoring ensures that partners are able to criticize one another, adapt, learn from one another, and continue working with positive outcomes.</p> <p>No evidence was found on this element.</p>	
<p>MI 6.1 Evidence confidence</p>	<p>Medium confidence</p>
<p>MI 6.2: Organisation passes on quality funding to partners.</p>	<p>Score</p>
<p>Overall MI rating</p>	<p>Satisfactory</p>
<p>Overall MI score</p>	<p>3.00</p>
<p>Element 1: The organisation passes on a fair share of the quality funding it receives (e.g., multi-annual, flexible) to its partners, including local organisations</p>	<p>3</p>
<p>Element 2: Reasonable and justifiable overhead costs are allowed as part of the partnership funding arrangements</p>	<p>3</p>
<p>MI 6.2 Analysis</p>	<p>Evidence documents</p>
<p>6.2.1 Given its direct delivery model, IOM has only limited scope to pass on quality funding to partners.</p> <p>As IOM conducts direct delivery of its operations and has very limited amount of multi-annual and flexible funding, it has only limited scope to apply this principle. IOM’s financial reports show a steady increase in the transfers made to national civil society organizations (from USD 75 million in 2019 to USD 139 million in 2021) and national government entities (from USD 2.1 million in 2019 to USD 5.5 million in 2021), but this is still a very small fraction of its expenditure. IOM opted out of the Grand Bargain commitment to providing 25% of its funding to local partners, it does strive to pass on the same quality of funding it receives to the local partners, including through the Rapid Response Fund that it manages for local actors in several contexts. IOM generally passes conditions from donors’ funding agreements with IOM into its own agreement with implementing partners (IPs). IOM has adopted the IASC guidance on sharing of funding and overheads. It has a policy that allows for sharing of overheads with local partners. In most projects, however, the arrangements are driven by donor</p>	<p>3, 11, 13, 75, 152, 156, 419</p>

requirements, rather than IOM policies. Based on IOM’s reporting to the International Aid Transparency Initiative (IATI), it appears that fewer than 15% of IOM’s projects are multi-annual, but we were unable to locate any data on what proportion of these involve multi-annual funding commitments to implementing partners. In the survey, 44% of respondents disagreed with the proposition that “IOM’s administrative and finance procedures are easy to understand and effective”.

6.2.2 Reasonable and justifiable overhead costs are allowed as part of the partnership funding arrangements.

IOM allows IPs to recover their overhead costs, but subject to eligibility requirements, including: the overhead rate must not exceed the thresholds specified in the donor funding agreements, and must be part of the organisation’s established policies or otherwise justified as necessary for implementation of the project. Where donor regulations permit, IOM can include the IP’s overhead as a direct cost in its budget with the donor. Because this would mean that IOM’s own overhead is applied to the partner’s overhead, this is not IOM’s usual practice. When merely transferring funds to another entities, IOM’s rules permit it to charge a lower overhead of its own, to reduce the overall costs of aid delivery. While IOM’s rules in this area are reasonable, in the survey responses, a majority of both international and national implementing partners disagreed with the proposition that IOM funding allows for reasonable overhead costs.



MI 6.2 Evidence confidence

Low confidence

MI 6.3 The organisation is set up to enable localization.	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.29
Element 1: Processes are in place, and used, to first consider local capacity, including government, local authorities and local organisations, including women led organisations, and to build on existing structures and capacities rather than establishing parallel international mechanisms.	2
Element 2: Local and national partners are included in emergency preparedness, needs	3

assessment and analysis, and planning, implementation and monitoring/feedback processes	
Element 3: The organisation shares risk with local partners in an ethical manner	2
Element 4: Localization practices and strategies are explicitly referenced in planning documents	2
Element 5: Capacity strengthening strategies and activities for local and national partners and structures, including for governance and administration, and not just technical skills, are in place and implemented.	3
Element 6: The organisation passes on the same quality of funding it receives to its local partners	2
Element 7: Partnerships with local actors are based on equality, mutual respect and mutual accountability, including not passing on unreasonable safety and security risks to local partners, supporting local leadership, and giving visibility to local partners in reporting and public communications.	2
MI 6.3 Analysis	Evidence documents
<p>6.3.1 IOM has actively supported the localisation agenda in inter-agency processes, but its direct delivery model constrains its ability to implement localisation in its own operations.</p> <p>IOM has made a commitment to localisation as a Grand Bargain signatory and IASC member. The issue is also a theme in the Global Compact for Migration (GCM) follow-up, although the exact dimension of localization within the GCM is still being clarified. However, IOM's direct implementation operational model and project-based financial framework place constraints on how these commitments are applied. IOM has opted out of the Grand Bargain commitment to allocate 25% of its funding to local actors. While IOM provides significant support to national governments through technical assistance and the IOM Development Fund, this rarely includes the transfer of funds. In addition to its role as Global Camp Coordination and Camp Management (CCCM) Cluster co-lead, IOM has worked with various clusters and working groups to facilitate the work of a localisation task team. IOM has strengthened its localisation efforts by working through and building capacity of local partners and initiated a pilot project to localize the CCCM frameworks and standards. In 2019, 50% of IOM CCCM operations were carried out through national implementing partners. The push for localisation has come as much from donors and inter-agency commitments as it has internally within IOM, with interviewees noting that the organisation's culture is to implement directly, rather than build local delivery capacity.</p>	
<p>6.3.2 Local and national partners are included in emergency preparedness, needs assessment and analysis, and planning, implementation and monitoring/feedback processes.</p> <p>Despite IOM principally being a direct implementer and as such opting out of the Grand Bargain commitment of 25% of funding to local partners, it does engage with local partners effectively and has been an active participant in inter-agency process on localisation in the IASC. During project development, IOM expects implementing partners to conduct comprehensive needs assessments in target locations, the findings of which IOM's Needs Populations Monitoring (NPM) field team verify on the ground. In addition, IOM has established programmes with local partners who are able to provide support services, ranging from specialised to general capacity development skills. In this sense, IOM includes local and national partners in needs assessment and analyses, emergency preparedness (via regional and national COVID responses), planning and implementation, monitoring and feedback processes.</p>	1, 2, 4, 7, 13, 39, 41, 75, 151, 152, 156, 160, 178, 199, 209, 351, 352, 371, 373, 399, 419, 462, 463, 464, 466, 467
6.3.3 IOM lacks a clear policy on risk transfer and duty of care with implementing	

partners.

IOM is risk aware and conducts due diligence and risk assessments prior to engagement with partnerships in order to minimise risk. The Department of Operations and Emergencies has developed a template for assessing and managing risks related to implementing partners, including local partners. This includes not only the management of risks but also the sharing of risk analysis with local partners in recognition of the specific risks that they face. IOM guidelines also outline the importance of regular communication with implementing partners prior, during and following project implementation as a way of identifying and mitigating risks early. In addition, through active engagement with the IASC during 2020, IOM contributed to the establishment of minimum standards for duty of care towards NGO partners in the context of the pandemic. IOM are aware of the risk to security and other risks for local partners and how it can help these be better managed. However, in interviews, stakeholders noted a lack of clear understanding across the organisation on how risk is transferred to implementing partners, and a lack of clarity as to how duty of care responsibilities are managed and shared.

6.3.4 IOM has only partially ensured that localization practices and strategies are explicitly referenced in planning documents.

IOM's Migration Crisis Operational Framework (MCOF) reflects localization as an operating modality, highlighting the critical role of local actors in crisis response, and noting that IOM fosters national ownership by laying the foundations for inclusive development. However, while the Strategic Vision makes only passing reference to localisation, it is not included as part of the SRF including under Objective 1 (Humanitarian assistance protection save lives and respond to needs) in terms of capacity development for local actors. While the issue is sometimes included in country mission annual workplans and individual project proposals because of the specific requirements of donors, this is not the result of an organization-wide commitment. IOM does not have an overall policy, strategy or guidance document on localisation. Along with UNHCR, however, IOM has made localisation a strategic priority of the CCCM cluster. While the organization does not have an overall policy or strategy on localization, it has transferred and rolled-out under the leadership of DOE the three main IASC guidance documents on localization that have been adopted in the last few years. The guidance on implementing partners has outlined the expectations of how to incorporate localization in mandate implementation and the approach has also been further integrated in several areas including CCCM, DTM, etc. Localization is also reflected in IOM's approach to AAP and Community-Based Planning. While important progress has been made, more needs to be done to further institutionalize localisation throughout the organization.

6.3.5 IOM engages in capacity strengthening activities for local and national partners, but primarily in technical and operational areas, rather than governance and administration.

IOM delivers capacity-building activities for local and national partners and structures in a range of areas. According to the IOM Grand Bargain Self Report, IOM invested its own resources in excess of the overhead it received from CERF to build capacity and support 24 NGOs, of which one-third were national. The IOM Development Fund supports national governments in developing migration management and governance capacities through small-scale, innovative projects. Examples from 2021 include: a national migration policy and road map in Namibia; a Strategy and Action Plan for Integrated Border Management in Bosnia and Herzegovina; a migration and sustainable development policy in Tonga; a national diaspora policy in Lesotho; and a

national diaspora engagement strategy in Djibouti. The Migration Governance Indicators developed by IOM have also laid the groundwork for improved governance of migration in countries and local jurisdictions. As Coordinator of UN Network for Migration, IOM ensures that local authorities are represented in core working groups to facilitate inclusive access to services for migrants. These approaches are included in IOM guidance on implementing partners and are expected to be included in the forthcoming Project Handbook. However, the focus of IOM's capacity building, whether for national or local actors, has predominantly in technical skills, rather than support for governance and administration. Furthermore, whilst the CCCM cluster supports local actors to be a part of coordination mechanisms, they acknowledge there is a need to expand the mentorship from purely technical/operational aspects to include organizational capacity such as resource management.

6.3.6 Although IOM has limited multi-annual and flexible funding, it generally seeks to pass on the same quality of funding it receives to its local partners and has arrangements in place for sharing overheads.

As set out above under 6.2.1, IOM has opted out of the Grand Bargain commitment to providing 25% of funding to local partners. It receives relatively little multi-annual funding from donors. In principle, it seeks to pass on funding on the same terms, but the assessment was unable to verify that this occurs. IOM's internal procedures do, however, allow advance payments to local partners of up to 50% of the contract value or maximum USD 50 000, with heightened thresholds for urgent or emergency situations. Furthermore, in the context of the COVID-19 pandemic, IOM introduced a guidance package on increased funding flexibility towards NGO partners, including in the areas of no-cost extensions, increased flexibility between budget headings, facilitated reprogramming, and simplified due diligence and risk management, including simplified narrative reporting.

6.3.7 Partnerships with local actors are based on equality, mutual respect and mutual accountability, including not passing on unreasonable safety and security risks to local partners, supporting local leadership, and giving visibility to local partners in reporting and public communications.

IOM is committed to partnerships with local actors that are based on equality, mutual respect and mutual accountability as outlined in the various policy guidance documents it has signed up to. IOM abides by Grand Bargain principles and employs community-based planning modalities to position communities and their leadership as the drivers of IOM's response and recovery activities. 52% survey respondents agree with the statement 'IOM shares risks with local partners in an ethical manner' and 82% of respondents agreed that 'partnerships with IOM were respectful, constructive and rooted in equality'. The 2017 project handbook provides guidance on how to meaningfully engage with stakeholders, including referring to a partnership agreement with a local NGO as 'a means of collaboration'. However, in interviews, stakeholders noted a lack of understanding across the organization on how risks are passed to implementing partners, and how duty of care is managed.

MI 6.3 Evidence confidence

Low confidence

MI 6.4: Organisation works effectively across the humanitarian-development-peace nexus.

Score

Overall MI rating

Unsatisfactory

Overall MI score

2.38

Element 1: The organisation has a strategy and/or procedure for nexus approaches [UN Adherents] and delivering on the DAC Recommendation on the HDP Nexus, including a

2

common understanding of what the nexus means for the organisation and how staff should engage in HDP nexus processes	
Element 2: The organisation proactively engages in joint analysis setting collective outcomes, including sharing its own data and analysis, and aligns its programming accordingly, and supports co-ordination across the nexus	3
Element 3: The organisation uses political engagement and other tools to prevent doing further harm or further eroding peace, and where its mandate allows, actively works to prevent crises, resolve conflicts and build peace	2
Element 4: Programming focuses on ending need of vulnerable people, prioritizes prevention and integrates peace aspects, where this is in line with its mandate	2
Element 5: Programming is conflict-sensitive and risk-informed and sufficiently flexible to evolve with the risk environment - and uses humanitarian, development and/or peace approaches in the right way to ensure a focus on ending need	2
Element 6: National and local capacities are systematically used to set priorities, design and implement programmes	2
Element 7: Monitoring, evaluation, learning and evidence spans the nexus, and promotes learning across agencies working on the nexus	3
Element 8: The organisation contributes to financing strategies for collective outcomes, and develops instruments that span the nexus where relevant	3
MI 6.4 Analysis	Evidence documents
<p>6.4.1 IOM has committed to implementing the Humanitarian-Development-Peace Nexus (HDPN), but as yet lacks a clear set of processes for delivering it, although efforts are underway to build a common understanding of what it means for the organization.</p> <p>IOM has taken important steps to reorient its programme and operating model towards the HPDN. It has adopted the 2019 OECD Recommendation on the nexus, and the principle is reflected in the Strategic Vision, the Strategic Results Framework, and the Migration and Sustainable Development Strategy. IOM's 2012 Migration Crisis Operational Framework (which predates the OECD-DAC HPDN recommendation) contains useful guidance on bridging humanitarian, development, peacebuilding, and migration management interventions, and encourages staff to look beyond immediate humanitarian needs and focus on laying the foundations for recovery and longer-term objectives, such as community stabilization, peacebuilding and development.</p> <p>Institutionally, the lead on the nexus was moved from the Department of Operations and Emergencies to a newly created Department for Peace and Development Coordination, in recognition of the importance of the issue, as part of the headquarters restructuring in 2021, with the creation of a Special Advisor position. Efforts have been made to increase understanding of the nexus across the organization and how the approach can be implemented into IOM's programmes and operations. Specific attention has been made to clarifying IOM's role in relation to conflict sensitivity and peacebuilding. Tools have also been developed to assist country missions in this area, including guidance on IOM's contribution to the Common Country Analysis (CCA) and UN Sustainable Development Cooperation Framework (UNSDCF).</p> <p>While there are promising changes in practice based on research and piloting of approaches in certain countries, there still is some way to go to make sure that the nexus approach is systematically applied. A July 2022 evaluation of IOM's institutional approach to the implementation of the HDPN found that IOM had adopted HDPN definitions and principles, but these had not yet been sufficiently integrated or mainstreamed within the organisation. There had been limited efforts to enhance field staff expertise and capacity on HDPN, with a frequent request for more training. Overall, the sustainability of IOM's operationalization of HDPN was found to be weak,</p>	2, 4, 9, 15, 29, 84, 108, 109, 152, 161, 188, 197, 351, 385, 403, 404, 421, 465

embedded in elements of individual projects but undermined by a number of factors including: projectisation, current funding modes and donor priorities, lack of knowledge management systems, capacity constraints of local and national actors, and insecure political and development contexts. There is still no overarching strategy or explicit process for achieving this, with operational guidance on HDPN currently being finalised. The extent to which IOM country offices are working in accordance with HDPN depends on the skills and priorities of staff in key decision-making roles in each setting. Local priorities tend to be driven by short-term project funding, which undermines a systematic approach to the HPDN. IOM has been slow to develop funding appeals for multi-year, unearmarked funding in support of HPDN approaches, despite an increasing willingness of donors to support such activities (it is notable that 8 of the 38 Crisis Response Plans published on Global Crisis Response Group (GCRP) in 2022 - or 21% of the total - were multi-year). IOM staff have limited understanding of the HPDN concept and find the available guidance insufficiently practical. There has been “minimal corporate investment” in developing internal capacity beyond headquarters-level. IOM engages effectively with HDPN processes at the global level, and in inter-agency HDPN initiatives (such as collective outcomes) at the national level. It is much weaker at building synergies across its own programming, in the face of strong incentives to focus on project delivery.

6.4.2 IOM proactively engages in joint analysis setting collective outcomes, including sharing its own data and analysis, and aligns its programming accordingly, and supports co-ordination across the nexus.

IOM has been proactive in engaging in joint analysis relevant to the nexus through the sharing of data from its DTM in HNO and also participating in the CCA. The IOM Global Data Institute created in 2022 is an example of IOM sharing its own data and analysis to advance HPDN efforts as this brings together the DTM and IOM's Global Migration Data Analysis Centre. The Institute aims to foster good migration governance and support the implementation and monitoring of a range of international frameworks in migration, displacement, development, humanitarian and other related fields. IOM also supported the IASC Result Group 4 mapping and analysis of tools and guidance on the HDPN which included data and analysis. IOM has produced a step-by-step guide for how country mission should contribute to the UNSDCF, including the production of the CCA.

6.4.3 IOM has adopted guidance on conflict sensitivity to avoid doing harm or eroding peace and, where its mandate allows, actively works to prevent crises, resolve conflicts, and build peace, but the approach has not yet been fully institutionalized.

IOM has sought to build its capacity in the peacebuilding field and is the second largest recipient of funds from the UN Peacebuilding Fund (PBF). However, this PBF funding represented only 0.9% of IOM's total revenue in 2021, up from 0.6% in 2019. As noted earlier, IOM has made a strategic commitment to conflict sensitivity and the organisation has taken important steps to make sure that conflict analysis is undertaken across its operations for its findings to inform project design, implementation, monitoring and evaluation. In 2020, IOM developed an Integrating Conflict Sensitivity Operational Guide which outlines how conflict sensitivity should be incorporated throughout the IOM project. IOM engages in a range of peacebuilding activities from DDR process to the return of IDPs and supporting local integration and resilience. However, these approaches are still only being piloted and have not yet been institutionalized.

6.4.4 Some IOM programming focuses on ending vulnerability, prioritizes prevention

and integrates peace aspects, but this is not systematic.

IOM is committed to overcoming the vulnerability of migrants, including displaced populations and others impacted by crisis and displacement, and this is reflected through approaches outlined in the MCOF and other related guidance, specifically to vulnerable groups such as women, children, and persons with disabilities. However, the project-based nature of its financial framework means that it is difficult for IOM to apply these approaches organisation-wide, and their effective inclusion at project-level are often mediated by specific requirements and localized priorities of donors. The short-term nature of IOM planning and financing also makes it difficult to adopt the long-term perspective that is required to end vulnerability (which may include issues of systematic discrimination, eventually codified in national laws or accepted practices). In several contexts, IOM is now receiving World Bank funding for multi-year projects, which assists with long-term planning around the nexus, although the short-term project-based funding of IOM has been a constraint in other areas.

6.4.5 IOM is committed to conflict-sensitive and risk-informed programming, but operationalisation is variable.

As noted, IOM is committed to ensuring a conflict sensitive approach to programme and also employs a risk management framework. 'Do no harm' considerations are part of project design. According to the Migration Crisis Operational Framework (MCOF), all sectors of assistance should apply conflict-sensitive approaches in their analyses and programming, including on partnerships, procurement, and recruitment. IOM also uses a political, economic, social, technological, legal, environmental (PESTLE) analysis to map out the external environment. This analysis enables a better understanding of the macroeconomic environment and demographic parameters that may affect the office and pose external risk exposures. The Transition and Recovery Division is responsible within IOM to oversee projects that support peacebuilding. According to an interview with IOM staff, the overarching objective of the Transition and Recovery Division is to sustainably resolve mobility issues during crises and find lasting solutions. Where conflict and violence hamper the search for solutions or are leading to further displacement, then IOM should engage in peacebuilding efforts that are conflict-sensitive and risk-informed. However, these arrangements are nascent, and require further institutionalisation.

6.4.6 National and local capacities are only partially used to set priorities, design and implement programmes.

IOM has country agreements with national governments that spell out the areas of assistance that the organisation will provide support on. These agreements help inform IOM annual workplans at the country level and also the organisations engagement with the UNSDCF. As noted above IOM also engages with local partners and builds domestic capacities where possible. However, IOM is principally a direct implementer in terms of its operating model. While it has processes such as the GCM, Migration Governance Indicators, etc to support national and local capacities, many of its activities are implemented independently. For example, although the IOM Development Fund is designed to develop capacities in national migration management and governance, once the project is agreed with the relevant host authorities, it is IOM that implements the project and manages the finances accordingly.

6.4.7 IOM's monitoring, evaluation, learning and evidence spans the nexus, and promotes learning across agencies working on the nexus.

The HDP Nexus is integrated in the SRF as a cross-cutting priority, with indicators relevant to IOM's humanitarian, development and peace work. As well as having a

<p>dedicated Department for Peace and Coordination, IOM has also established a Special Advisor role on the nexus to support organisational learning and providing technical advice. IOM has conducted several studies on the nexus and how this is being applied in different IOM operational contexts. At the inter-agency level, IOM also supported the IASC Result Group 4 mapping and analysis of tools and guidance on the HDPN which included data and analysis. IOM has produced a step-by-step guide for how country mission should contribute to the UNSDCF, including the production of the CCA. As noted, it has conducted an evaluation of its work on the nexus. It also has supported the establishment of the Nexus Academy which is providing training on the nexus across the aid system to different stakeholders.</p> <p>6.4.8 IOM contributes to financing strategies for collective outcomes and develops instruments that span the nexus where relevant.</p> <p>IOM has been part of inter-agency efforts at the field level to develop collective outcomes and ensure that relevant activities to support these are adequately funded. IOM receives humanitarian, development and peace funding and is one of the largest recipients of relevant multi-donor trust funds such as CERF, Country-based Pooled Funds and the Peacebuilding Fund. In this sense its funding base straddles the nexus. It has also been adept at raising development funding through the World Bank and regional development banks. However, IOM is reliant on the funding it receives from donors, which significantly limits its scope to develop instruments that span the nexus. In the OECD-DAC UN Nexus Working Group that is looking at financing, IOM has given input into papers. There is some evidence of IOM discussing with donors how they can give more flexible funding, notably through the GCRP. However, the 2022 evaluation of its HDPN approach suggested it could be more proactive in making the case to donors for new types of funding.</p>	
MI 6.4 Evidence confidence	Medium confidence
MI 6.5: Organisation engages in effective global policy efforts and advocacy, including towards ending need.	Score
Overall MI rating	Satisfactory
Overall MI score	2.75
Element 1: Organisation engages in global policy efforts, global advocacy and for global public goods, related to its mandate	3
Element 2: Organisation actively participates in system-wide co-ordination – on policy, advocacy and operational issues - including leading these efforts when its mandate requires.	3
Element 3: Organisation’s role in these global efforts reflects its comparative advantage – leading, enabling/catalysing, contributing, and/or monitoring progress and learning as appropriate.	2
Element 4: There is a process to integrate global policy changes and commitments into the organisation’s operating model and way of doing business	3
MI 6.5 Analysis	Evidence documents
<p>6.5.1 IOM has increased its engagement in global policy efforts, global advocacy and for global public goods, related to its mandate.</p> <p>IOM has made significant changes in recent years to become more engaged on global policy efforts related to migration. This represents a major shift in the way the organization works, from a more limited role in providing services to member states on migration issues - which notably did include support to engaging them in policy dialogue on key issues affecting migrants, but within an inter-state dialogue modality. Its support to the implementation of the GCM and IOM’s dedicated Coordination and Secretariat role for the UN Network on Migration has played a significant role in</p>	

advancing migration policy at the global level. The GCM Regional Reviews and the International Migration Review Forum (IMRF) have been used to oversee the implementation of commitments made, while the UN Network on Migration has been operating globally, regional and increasing at the country level to develop specific UN positions. There are many examples of where IOM is now engaging on policy-related issues and engaging with policy-making actors, in ways that it was not doing in the past. IOM's liaison office in New York makes sure that IOM engages in relevant deliberation in the UN, while its office in Addis Ababa engages with the AU on migration issues. While IOM has been an effective convenor and facilitator of the UN on migration issues, though, it has not always clearly articulated its own positions. The newly created Policy and Research Department has helped centralise the policy analysis and positioning on different issues. The Policy Coordination Unit is an institutional focal point for strengthening IOM's institutional capacity on migration policy, and works to identify cross cutting issues and institutional policy gaps. However, these do not always add up to a coherent agenda about what the organization stands for and the proposals that it wants to promote to different policy actors. The policy advocacy role of the organization is closely associated with the need for further investments in strategic communication to provide a comprehensive and coherent narrative on migration issues and IOM could be a more robust and confident advocate on migration issues. Nonetheless, this is clearly an area in which organisational capacity is developing rapidly.

4, 7, 14, 20, 21, 222,
23, 24, 25, 26, 27,
28, 34, 387, 383,
198, 199, 383, 403,
404, 420, 428

6.5.2 IOM actively participates in system-wide co-ordination – on policy, advocacy and operational issues - including leading these efforts when its mandate requires.

As Coordinator of the UN Network on Migration, IOM supports member states with the implementation, follow-up and review of the Global Compact for Migration, as well as other UN processes (2030 Agenda/SDGs, UN Climate Change Conference [COP] process and others) and the IASC and similar coordination mechanisms. A number of capacity-building events and consultations with Member States and stakeholders have been organised, including the International Migration Review Forum in 2022. IOM has played a facilitating role with other UN agencies endeavouring them to become more engaged on migration issues, although there is sometime competition amongst agencies, and it can be challenging to come up with a common stance.

6.5.3 IOM's comparative advantage in global policy efforts is not always clear and it lacks an effective communications capacity to support collective monitoring and learning.

In September 2021, a cross-organizational working group was established to review IOM's Media and Communications capacity, with three task teams on corporate identity, advocacy and positioning; media and communications; and internal communication. The resulting Strategic Communications strategic review has made a series of recommendations for IOM to strengthen its policy engagement and communications. The review concluded that IOM has an extremely broad narrative to its work, and it does not always communicate what it stands for and the issues it wants to promote in a coherent way. There has been a significant underinvestment in the media and communications functions in the agency, which is much smaller than in other UN agencies. Given that IOM often faces a hostile environment for its messaging on migration issues, it needs to build a more compelling narrative that explains its comparative advantage and key role in this area.

6.5.4 There is a process to integrate global policy changes and commitments into the organisation's operating model and way of doing business.

The Global Compact for Migration has significantly shaped IOM's strategic direction and operating model. While IOM works within the international migration law framework deriving from various sources of international law that apply to the movement of persons within and between states and regulate States' competences and obligations, migrants' status, rights and duties as well as international cooperation, the GCM has proposed a clear policy framework for safe orderly and regular migration. IOM in cooperation with other UN agencies and other stakeholders supports States in their implementation. IOM has aligned its Strategic Vision with the GCM. Through its role in supporting GCM implementation at the regional and national levels, it has engaged its country missions to help support its application. Country missions spoke of how the GCM has provided an important framework to their work. In relation to IDPs, IOM is positioning itself to contribute to the implementation of the UN Secretary-General's Action Plan on Internal Displacement. A Special Advisor on IDPs is currently working on that this means for IOM and the contribution that it can made to the initiative, while IOM has seconded staff to the SG's new Special Advisor on IDP solutions.

MI 6.5 Evidence confidence

Medium confidence

Performance management

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: The focus on results is strong, transparent and explicitly geared towards function.	KPI score
Unsatisfactory	2.17
<p>IOM has made substantial investment in building its capacity for results-based management (RBM), through the development of the Strategic Results Framework (SRF) in particular and the PRIMA system more generally, which is likely to improve its performance under this KPI substantially in the next assessment period, as well as through monitoring and evaluation (M&E) guidance and trainings. For the time being, however, RBM is mainly visible at the project level.</p> <p>IOM does not use theories of change in its corporate, regional or country strategies, although these do reflect results-chain logic. IOM's organisational restructuring over the assessment period has improved its capacity for horizontal working across outcomes areas at the headquarters-level, but this is not yet replicated at regional and country levels, and field staff are sceptical about the organisation's capacity to implement the growing number of policy commitments entered into at the corporate level. Through the integration of the SRF in PRIMA system, IOM has introduced standardised results indicators that permit aggregation of some results to the corporate level, although the system is not yet fully operational and has not been made mandatory globally yet. There is as yet limited publication of corporate results data, but IOM has guidance, policies, and systems that promote timely and results-based reporting to funders including the IOM Project Handbook and the M&E Guidelines. Learning and knowledge management systems across the organisation are not well developed, and there is limited evidence of learning from failures. IOM's institutional reforms have been designed in part to make planning and decision-making more data-driven, but these systems are still nascent, and for the time being there is little evidence of corporate performance data being used to support portfolio management.</p>	

MI 7.1: Systematic use of theory of change to link country, regional and global programming.	Score
Overall MI rating	Unsatisfactory
Overall MI score	1.67
Element 1: Corporate strategies set out theories of change that articulate how the organisation proposes to achieve its expected outcomes, linking activities and outputs to corporate objectives	2
Element 2: Regional and country strategies set out more detailed, context and needs based theories of change, linked to global organisational objectives	1
Element 3: Where necessary, organisational restructuring, including decentralization and matrixing organisation structure, is planned or underway to facilitate horizontal working across outcome areas.	2
MI 7.1 Analysis	Evidence documents
<p>7.1.1 IOM's corporate strategies do not include explicit theories of change linking activities and outputs to corporate objectives, but they are based broadly on results-chain logic.</p> <p>IOM's Strategic Vision has three pillars (resilience, mobility and governance) and a set of objectives and priorities, but no explicit theory of change (ToC). The Strategic Results Framework sets out four high-level objectives and associated outcomes and provides a</p>	

diagram of how they interact, which reflects results-chain logic. Theories of change are not a mandatory requirement for corporate strategies in IOM, and the Strategic Vision, regional strategies and annual workplans only implicitly refer to how IOM programmes are expected to bring about change. The only place where the inclusion of theories of change are a specific requirement are in the proposals made to the IOM Development Fund. A number of the thematic strategies developed in IOM also include conceptual frameworks that outline how change is expected to occur. IOM is sometimes required to develop project-level theories of change for donors, and all projects at minimum should at least articulate how and why the intended results and activities will bring about the changes the project seeks to achieve, as laid out in the proposal template from the IOM Project Handbook and with further guidance in the M&E Guidelines on theory of change.

7.1.2 IOM regional and country strategies do not set out detailed, context- and needs-based theories of change, linked to global organisational objectives.

IOM's nine regional office strategies, sub-regional and continental strategies, thematic institutional strategies, and country strategies, all articulate how the organisation proposes to achieve its strategic goals and priorities, but they are not required to outline a theory of change. There is some evidence of theories of changes being developed and used in thematic strategies – for example, in the Migration and Sustainable Development strategy. But otherwise, ToCs are not used systematically in IOM to inform strategic planning. The Project Handbook has some guidance on project-level ToCs, but whether these are included in individual project proposals depends mainly on donor requirements. However, many stakeholders took the view that a logical framework – which is more systematically used – is a better tool for IOM's project design than ToCs.

7.1.3 IOM organisational restructuring, including decentralization and matrixing organisation structure, is planned or underway to facilitate horizontal working across outcome areas.

IOM's recent 2022 restructuring – including the appointment of two Deputy Director-Generals (DDG for Operations and the DDG for Management and Reform) and the creation of ten new departments – has been undertaken in part to facilitate greater cross-departmental work across the Organization's wide variety of programmes and activities and promote greater coherence by aligning IOM's structure more closely with its Strategic Vision 2019-2023. In particular, there has been an effort to mainstream the support provided for emergency and IDP responses not just within the Department of Emergencies and Operations, but also to other departments. However, there still seems to be some disconnect between the headquarters departments and sections that deal predominantly with international migrant issues, and those that focus on IDP situations. The establishment of the Department for Peace and Development Coordination has also been a conscious effort to position IOM as a development and peace agency and ensure this is mainstreamed across its operations. The new Department of Strategic Planning and Organizational Performance has streamlined planning, governance, compliance and other functions to provide integrated support on these issues, including through the implementation of the IGF. These structural changes have helped facilitate horizontal working across outcome areas. However, IOM is a very decentralised organisation, and these changes have not yet been replicated at the regional and country mission level. Country missions were on the whole positive about the support provided by headquarters, but they were sceptical that the proliferation of strategic and policy commitments being made by IOM at the central level could be put into practice at the field level, given capacity constraints and the

8, 9, 32, 37, 194,
206, 343

demands of IOM's field operations.	
MI 7.1 Evidence confidence	High confidence
MI 7.2: Results architecture aligns country, regional and global results	Score
Overall MI rating	Satisfactory
Overall MI score	2.60
Element 1: The RBM system mandates or encourages the use of standardized indicators, to facilitate aggregation of results	3
Element 2: Menus of standard indicators are based on a smaller set of indicators, even if only a subset of results are aggregated	3
Element 3: Individual programmes are permitted to use customized indicators to meet their own management and reporting needs	3
Element 4: Standard indicators are backed with clear definitions and guidance and training on their accurate use, to minimize data cleaning requirements	2
Element 5: Procedures are in place to capture the results from emergency humanitarian operations into the corporate RBM system at an appropriate point in the project cycle	2
MI 7.2 Analysis	Evidence documents
<p>7.2.1: IOM has an emerging RBM system that mandates the use of standardized indicators, to track results under its Strategic Results Framework, as well as the GCM and SDGs.</p> <p>IOM's RBM system is structured around the SRF, which is organised into four objectives, each with identified and assigned long-term outcomes, underpinned by short-term outcomes, outputs and associated indicators. The indicators are quite comprehensive and cover all short-term outcomes and outputs. Classification of indicators into tiers allows staff to address the different levels of reporting for the SRF: Tier 1 indicators are strategic, Tier 2 are operational, and Tier 3 are project specific. From 2019, IOM has introduced the use of PRIMA (Institutional Project Information Management) for use across the organisation following its successful piloting from 2015 for the IOM Development Fund. Using PRIMA, field staff can now tag which SRF results each project contributes to and select related SRF indicators. The SRF also brings together targets from the Migration Crisis Operational Framework, the Migration and Sustainable Development Strategy, and the Migration Data Strategy. The SRF is also linked to the IGF, the SDGs and GCM, MiGOF, as well as the UNDS reform framework. An interactive online tool was developed for staff to review the new system and input their feedback, and both the IGF and OEE were updated to reflect the new planning and reporting architecture. As for the link with UN Info, since IOM COs have to report through it, there is a menu list of common indicators that managers at CO level can choose to report on. In the interim before the SRF/PRIMA system goes live in February 2023, and the SRF becomes globally mandatory for all projects from 2024 onwards, IOM uses an institutional questionnaire, issued twice a year to all country and regional offices, to collect results data for aggregation at the corporate level. While the new SRF/PRIMA system is not fully operational, it is at an advanced stage, and the scoring of this MI is based on its design features. In 2022, a MIRAC concept note was developed for the purpose of reviewing IOM's Project Handbook (PH) which is a vital tool for implementing IOM's operational and institutional frameworks during programming. The Project Handbook Review (PHR) Technical Working Group are expected to provide technical support and guidance in the PH review process. The PHR exercise is being coordinated by the Coordination and Capacity Development Unit (CCDU) in the Department of Programme Support and Migration Management (DPSMM).</p>	3, 14, 61, 82, 84, 152, 399, 407, 425, 447, 458

7.2.2 Menus of standard indicators are based on a smaller set of indicators that facilitate aggregation.

The Project Handbook was revised in 2017 to reflect IOM's move towards an RBM methodology and approach. In this project handbook, the requirement of a results matrix for projects is stipulated. Standard indicators that project reports against are aligned to the SDGs and to IOM's institutional frameworks and strategies, as expressed in the SRF. The SRF is organised into four broader objectives, for which each one has identified and assigned long-term outcomes, underpinned by short-term outcomes, outputs, and associated indicators. There is prioritisation of indicators into tiers: Tier 1 indicators provide the global picture. Tier 2 indicators are set at departmental level for additional thematic insights. And Tier 3 are programmatic indicators, which include customized specific indicators, mainly at project level. This new system, now integrated in PRIMA will have its first test in the upcoming reporting cycle.

7.2.3 Individual programmes are permitted to use customized indicators to meet their own management and reporting needs.

The Project Handbook provides guidance for project leads to formulate project-specific customized indicators, for their own results matrix, which is then fed into a detailed results monitoring framework. In the development of any new programme/project, there are customised indicators appropriate to the context that the particular project is focusing on, which are determined by both management monitoring needs and donor reporting requirements. This flexibility has been maintained in the new PRIMA system.

7.2.4 Standard indicators are backed with clear definitions and guidance and training on their accurate use, to minimize data cleaning requirements.

The RBM team has been promoting understanding of the Strategic Results Framework through awareness raising sessions for headquarters, regional office and country office-level staff. In close coordination with Regional Office focal points, RBM has been spearheading the development and roll-out of guidance and trainings on the use of SRF results and indicators for project developers and project managers, starting with a focus on selected pilot countries and gradually expanding to all country offices. Throughout 2021 and 2022, there have been regular trainings and upgrades made around PRIMA and reporting processes, including piloting use of the SRF results and indicators in IOM Development Fund projects. IOM is actively working on testing indicator monitoring and reporting functions through additional piloting, including in emergency contexts, and development of indicator guidance to promote standard understanding and use of the SRF indicators and results.

7.2.5 Procedures are in place to capture results from emergency humanitarian operations into the corporate RBM system at an appropriate point in the project cycle.

In rolling out the new RBM system, IOM has taken care to ensure that the system allows for speed of response and flexibility in emergency contexts. Emergency humanitarian operations are not required to develop full results frameworks at design stage for crisis response plans, but results framework including indicators must be added later in the project development. In L3 global emergencies, as well as country-level humanitarian emergencies, review and reporting procedures are different from standard procedures, with DOE at headquarters supporting a separate reporting for emergency settings. IOM has plans to introduce more flexibility into the PRIMA system in emergencies, in future iterations.

MI 7.2 Evidence confidence	High confidence
MI 7.3: Results are communicated transparently.	Score
Overall MI rating	Satisfactory
Overall MI score	2.67
Element 1: Systems are in place to ensure that reporting to all stakeholders, including donors and funders, is timely and of the highest quality and includes disaggregated data – respecting protection concerns – including by sex, age and disability	3
Element 2: Reporting includes any "failures" to enable learning from mistakes	2
Element 3: Appropriate visibility is given to donor funding, both in programming and in results reporting including for both core and earmarked funding, unless this would undermine staff, programme and affected people's safety and security	3
MI 7.3 Analysis	Evidence documents
<p>7.3.1 Systems are in place to ensure that reporting to all stakeholders, including donors and funders, is timely and accurate and includes disaggregated data by sex, age and disability.</p> <p>For each annual Council session, IOM produces and publishes: i) Annual Reports, providing a summary of activities and relevant updates, which has undergone a substantive change in structure since 2019, currently structured under two pillars: 1) Operations and Activities, and 2) Institutional Development and Organizational Effectiveness, thus reflecting the two DDG-led portfolios, and each pillar following, and reporting on, the main themes of the current Vision and Strategy; ii) Report on Programmes and Finance; and iii) Programme and Budget for the upcoming year. While this provides a qualitative account of results, for much of the assessment period there was little quantitative results data in the public domain. However, since 2021 a series of substantive reports are now publicly available, including the Global Annual Report, the Global Emergencies Report, the Migration Health Impact report and the Global Movement Annual report and other, through the IOM Crisis Response Publications site, which include a broad range of up-to-date, disaggregated data. IOM's reporting to donors on individual projects is strong. There are two main types of donor reports: interim and final reports. Result data can be recorded in PRIMA, which then tracks the achieved cumulative progress and progress against indicators. Data from PRIMA can then be extracted to generate donor reports. Moreover, PRIMA has quarterly updated, real-time access dashboard displays of the status of donor reporting, using a traffic light system to capture the timeliness of reporting. As of Q3 2022, PRIMA reporting indicated that 43% of IOM's donor reporting had been delivered on time – slightly down from 45% in the previous quarter. This suggests continuing challenges with the timeliness of donor reports, which IOM has identified and is working to address through its Donor Accountability Working Group (DAWG) led by Donor Relationship Department. As regards the use of disaggregated data: IQ Bis has strong disaggregation of data, and PRIMA disaggregation categories are available, although only sex and disability status are mandatory. IOM regularly reports on gender outcomes to UNSWAP, and under the UN Disability Inclusion Strategy, as part of its overall compliance with the requirements of the 2016 and 2020 UN Quadrennial Comprehensive Policy Reviews, in the framework of the UN Development system reforms. It is, however, worth noting that the report of the Office of the Inspector General to the Standing Committee for Programmes and Finance in 2020 raised some concerns relating to programme and project management, that include donor reporting and weaknesses in project financial monitoring, which have implications for donor reporting.</p>	2, 3, 4, 6, 29, 56, 152, 61, 63, 68, 69, 81, 106, 152, 165, 194, 198, 368, 382, 384, 436, 437, 461
7.3.2 There is limited evidence of IOM analysing and learning from "failures", but	

<p>with recent improvements.</p> <p>The IOM Evaluation Policy sets an explicit objective of lessons learning from evaluations as stated in Outcome 3 of the Office of the Inspector General’s (OIG) Monitoring and Evaluation Strategy: “Evaluation is used to drive learning, accountability and decision-making”. The PRIMA system expressly captures lessons learnt and best practices, and the project reporting template has a Section 4 on “progress achieved compared to indicators”, and a Section 5 includes “challenges encountered, and actions taken”. Evaluation reports reviewed show evidence of lessons learnt being captured in the report (See <i>Evaluation of IOM’s Institutional Response to Address Migration, Environment and Climate Change Nexus</i>, p.67 and <i>A Thematic Evaluation of the IOM’s Migration Crisis Operational Framework (MCOF)</i>, p.10 for example). However, a concept note from the Innovation and Knowledge Management Unit makes the claim that there is “no formal organisation-wide requirement to ensure the use of lessons from past interventions are systematically integrated in the project design. Use and application of knowledge from evaluations, collection of good practices and lessons learned, and other quality assurance mechanisms is still ad hoc and fragmented”. The same concept note, however, also acknowledges the different pockets of excellence and expertise on KM in some regional offices, having developed regional KM strategies within various thematic divisions, and it also cites recent steps towards better systematization and uptake of good practices and lessons learned that have been underway, including the development of a knowledge management platform called Peer Exchange and Learning on Migration (POEM). In February 2023, a KM and innovation module was incorporated into PRIMA, to support the collection of lessons learned from project reviews and completion reports. In the MOPAN assessment survey, only 27% of respondents agreed with the proposition that “IOM reports on poorly performing programmes to enable it to learn lessons from its mistakes.”</p> <p>7.3.3 Appropriate visibility is given to donor funding, both in programming and in results reporting including for both core and earmarked funding, unless this would undermine staff, programme and affected people’s safety and security.</p> <p>IOM complies with donor requirements on visibility of donor funding, which are typically specified in project funding agreements. Its Emergency Manual includes guidelines on visibility in emergency settings. It advises country offices to engage with donor counterparts to develop realistic plans for project visibility, while taking into account any safety concerns.</p>	
MI 7.3 Evidence confidence	Medium confidence
MI 7.4: Performance data transparently applied in planning and decision- making.	Score
Overall MI rating	Unsatisfactory
Overall MI score	1.75
Element 1: Planning documents are clearly based on performance data	2
Element 2: Proposed adjustments to interventions are clearly informed by performance data	3
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	1
Element 4: Performance data support dialogue in partnerships at global, regional and country levels	1
MI 7.4 Analysis	Evidence documents
7.4.1 IOM’s planning processes are increasingly data-driven, although some of its corporate systems are still nascent.	

In 2021, as part of its reform process, IOM created the Department of Strategic Planning and Organizational Performance. This responded to a recognized need to consolidate IOM's efforts to strengthen planning and reporting and bringing together the organizational units responsible for risk management, monitoring and evaluation, results-based management and operational compliance. The PRIMA system has been developed to enhance IOM's ability to make data-driven decision. These reforms are ongoing, and their effects will only be seen once the PRIMA system is fully operational. During the assessment period, planning documents were not clearly based on performance data, but this is expected to change in the coming period.

7.4.2 Proposed adjustments to interventions are clearly informed by performance data, gathered during project performance reviews or through direct review consultations.

IOM's Office of the Inspector General (OIG)/Evaluation Unit introduced project performance reviews (PPRs) in mid-2016, with the aim of establishing a midterm review mechanism during a project's lifecycle to measure progress in implementing activities and reaching results as per the agreed indicators, M&E frameworks and workplans, in order to identify corrective measures. The objective of PPRs is to provide an independent assessment of performance, to support project management. The review assesses the status of project design and implementation through an analysis of project documentation and consultation with stakeholders, including beneficiaries. It also reviews progress in terms of input provision, activities undertaken, results delivered (outputs and outcomes) and risk management. PPRs highlight strengths and weaknesses in project implementation, to help IOM and key stakeholders address questions and problems, find solutions and, where relevant, adapt to changing needs and circumstances (See OIG, 2019). Any project could in principle go through a PPR but the criteria for projects and programmes to be considered for project performance reviews include: projects that are high profile or high risk, pilots and innovative projects. Both in PPRs as well as for other types of project reviews, the majority of adjustments to projects take place in direct consultation and agreement with the respective donor (and IP, where applicable) and respond to either a demonstrable change in context or an unforeseen challenge in implementation, both of which are informed by IOM project monitoring data as well as, eventually, changes in the risk context (in which case, mitigation measures will generally have been foreseen and agreed in advance).

4, 77, 107, 173, 198,
382, 384

7.4.3 At corporate level, management can access a limited amount of corporate performance data, but there is limited evidence of this being used for portfolio management.

Every quarter, IOM prepares internal reports providing overviews of its project portfolio, the timeliness of project activation and performance optimisation rates. The full operationalization of the PRIMA system should provide a wealth of additional data at both field and corporate levels. The PRIMA development team states that Decision-support Dashboards are being considered for future roll-out and that this will be an important part of the ERP implementation phase, but they are not currently available. So far, there is limited evidence of performance data being used regularly at the corporate level to inform portfolio management and other decision. Monitoring of the timeliness of donor reporting is utilised by the Donor Relations division to inform work on donor accountability and capacity building. PRIMA collects data on the proportion of projects given no-cost extensions, which would provide a useful proxy for operational efficiency, but there is no evidence of this data being used to improve performance.

Another potentially relevant source of performance data should be IOM's M&E processes. Corporate M&E Guidelines were published in 2021. The M&E e-training course has been developed in a modular format, but its use has been lower than expected (330 staff as of end 2020, though this had increased significantly to 896 as of April 2022)). The launch of the public Evaluation Repository has made IOM evaluations available both internally and to the larger community for reference and application of lessons learned, adding to organizational accountability and transparency. As of mid-December 2020, the Repository includes 448 evaluation reports (published since 1985) and shows a significant increase in evaluations, with 48% of all evaluations having been conducted in the last five years and 29% in the last three years. The database is searchable by year, scope, geography, thematic area, type of evaluation, donor and a number of other criteria. To increase the attention of management on the use of evaluation results, a Management Response is now required as follow-up on the implementation of recommendations and Evaluation Briefs are now also required before publication of the evaluations, so results are increasingly and more easily shared. Additionally, OIG/Central Evaluation Unit, since 2022 is promoting the conduct of synthesis evaluations with IOM departments to learn from evaluations already conducted and assist in related decision-making.

7.4.4 Performance data support dialogue in partnerships at global, regional and country levels

Though IOM's external data collection and analysis systems, such as the Displacement Tracking Matrix, are used to inform HNOs and partnerships at the country level. However, there is no evidence of IOM internal performance data being used to support dialogue in partnerships at either global, regional and country levels.

MI 7.4 Evidence confidence

Medium confidence

KPI 8: The MO applies evidence-based planning and programming	KPI score
Satisfactory	2.62

2IOM's corporate evaluation function enjoys a level of independence, at managerial, financial and operational levels, with full discretion in deciding its own evaluation programme. Contrary to UN Evaluation Group (UNEG) norms, the head of evaluation does not report directly to the IOM Council but can request that important evaluations are table in the Standing Committee on Programmes and Finance. Evaluators are able to conduct their work without interference, but there is limited evidence that lessons from evaluations are used systematically to inform programming, given wider weaknesses in IOM's systems for learning and knowledge management.

IOM has monitoring arrangements in place to identify poorly performing operations and take corrective measures, although these would benefit from a higher level of formalisation. Procedures for remote monitoring of operations in insecure locations are in place. Lessons from project monitoring are captured in the PRIMA system, but there is no formal process for ensuring that lessons from evaluations are incorporated into project design, and learning processes remain ad hoc.

MI 8.1: Evaluation functions are independent and effective in driving accountability and learning	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.50
Element 1: The corporate evaluation function is independent (managerially, financially and operationally) from other functions.	3

Element 2: The head of evaluation has structural independence and reports directly to the governing body of the organisation	1
Element 3: The evaluation office has full discretion in deciding the evaluation programme.	3
Element 4: Evaluators are able to conduct their work during the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (behavioural independence)	3
Element 5: There is evidence that evaluations are being considered seriously and that recommendations are being implemented on a timely basis	2
Element 6: Evaluations are systematically publicly available	3
MI 8.1 Analysis	Evidence documents
<p>8.1.1 IOM evaluation function has some level of structural independence from management, but not to the extent required by UN norms.</p> <p>The Revised Charter for the Central Evaluation Unit in IOM stipulates the evaluation function is independent and "free from managerial interference". The Central Evaluation Unit used to be part of OIG but was moved to the Department for Planning and Organisational Performance, although it manages its own budget. Substantively and operationally, it does not report to the IOM DG but to the Director of the Strategic Planning and Organizational Performance (DPP). There was a UN Evaluation Group (UNEG) peer review of IOM in 2021, which noted that the Evaluation Unit's position within OIG gave it some structural independence, but that this was undermined by a lack of financial and therefore operational independence. Since this peer review, the Central Evaluation Unit has had its funding increased, and its funding is now drawn from the core funding of the organization and reported in IOM's annual budget. The peer review also noted that combining evaluation with monitoring also undermines its independence, as monitoring is a management function. The arrangement was contrary to UNEG guidelines on the matter, as well as usual practice at other UN agencies. IOM responded by moving the monitoring function from the Central Evaluation Unit (it is now accommodated within the RBM Unit). The Central Evaluation Unit reports to the Audit and Oversight Committee, made up of independently appointed representatives, which is in line with UNEG recommendations.</p> <p>8.1.2 The head of evaluation does not report directly to the governing body of the organisation.</p> <p>According to its Charter, the Central Evaluation Unit (EVA) is "led by a Chief Evaluator who is responsible for ensuring the office's independence and upholding the impartiality and credibility of its work". The independence of the head of evaluation is stipulated in the Charter. However, the Chief Evaluator does not have a direct reporting line to IOM's DG or the IOM Council as the governing body of the organisation, but rather to the Director of the Department for Strategic Planning and Organisational Performance (DPP), who is responsible for defending the financial independence of the evaluation function and guaranteeing the implementation of the recommendations from the central evaluations conducted by the EVA. UNEG norms stipulate a direct reporting line to the governing body and DG. However, after internal discussions regarding possible dual reporting lines and based on requests by member states to limit the number of 'independent reports' to the Standing Committee on Programmes and Finance (SCPF) in addition to the formal SCPF reporting requirements (such as finance, budget revisions etc.), it was decided to retain a reporting line to the Director of DPP. The DG includes an information update on evaluation in his Annual Statement at the Spring SCPF, based on the Annual Evaluation Report published by the Central Evaluation Unit. When there is a specific evaluation of importance to show to member states, the Central Evaluation Unit asks for it to be placed on the agenda of the Standing</p>	3, 29, 57, 155, 202, 203, 204, 205, 382, 348, 391

Committee on Programmes and Finance of the IOM Council.

8.1.3 The IOM evaluation office has full discretion in deciding its evaluation programme.

The Charter of the Central Evaluation Unit explicitly stipulates that the "in the performance of its work, in determining its multi-year and annual work plans, and in deciding the scope of central evaluations, EVA shall be free from managerial interference. The Chief Evaluation has the final say on the content and release and publication of central evaluations carried out by EVA". The Central Evaluation Unit has full discretion in deciding the evaluation programme, with the latest being its Biennial Evaluation Plan 2023-24, which was adopted in January 2023. The biennial evaluation plan set out the strategic and thematic central and corporate evaluations that the Central Evaluation Unit will conduct. The plan which was developed in line with one of the previous MOPAN recommendations to select strategic evaluations that are of importance for the organisation as whole, rather than focussing on specific programmes or country operations. These plans have included for example IOM's approach on the nexus, its response on climate crisis, sustainable development, etc. Although there is a process of consultation, the Chief Evaluator has the final decision about which evaluations are conducted.

8.1.4 IOM evaluators are able to conduct their work during the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (behavioural independence).

In addition to its Charter, the Central Evaluation Unit it has issued guidance for evaluators and evaluation managers which outlines the requirement to adhere to norms of non-interference with evaluations. In addition to evaluation staff in the Central Evaluation Unit, there is a network of regional monitoring and evaluation officers (ROMEEO) in regional offices who work in close cooperation with the Central Evaluation Unit and report directly to the regional director. ROMEEOs play an important role in securing the proper conduct of evaluations, including non-centralised evaluations conducted by country missions. The assessment found no evidence that would suggest that these guidelines are not being followed and that proper evaluation standards are not being respected.

8.1.5 There is evidence that evaluations are being considered seriously and that recommendations are being implemented on a timely basis.

According to IOM's Annual Report in 2020, 105 IOM offices reported "using information derived from evaluations for their interventions to learn and to inform project design of either new or follow-up intervention, to identify the focus of new projects, to improve frequency of monitoring visits, and to follow up on evaluation recommendations". IOM's M&E Guidelines require for a management response and action plan matrix for all evaluations conducted. However, a concept note by the Innovation and Knowledge Management Unit makes the claim that there is no formal organisation-wide requirement to ensure lessons learning are integrated into project design, arguing that "use and application of knowledge from evaluation, collection of good practices and lessons learned, and other quality assurance mechanisms is still ad hoc and fragmented". As well as the concerned headquarters department and/or regional and country missions, the Director of the Department for Strategic Planning and Organisational Performance is responsible for coordinating follow up to recommendations from evaluations by the Central Evaluation Unit. ROMEEOs also follow up on management responses for evaluations in their region. The Central Evaluation Unit has also been working with the PRIMA team to ensure that the

<p>management response is included in the system and specific reminders and requirements to follow up on implementation and report on the recommendations. This suggests that IOM still has a way to go in capturing learning from evaluations and ensuring timely follow up to recommendations.</p> <p>8.1.6 IOM evaluations are systematically publicly available.</p> <p>All IOM's evaluations are publicly available and are uploaded to IOM's Evaluation webpage. IOM's Evaluation Repository Dashboard (an open access webpage) allows the user to filter reports by region, countries covered, donor, migration thematic area, and by type of evaluator. As soon as evaluations are done, they are published on the webpage. The plan was to also have management responses published, but this has not yet eventuated as the new guidance making them mandatory for all evaluations was issued in September 2022 only. Before it was not mandatory, but some reports have them. As per UNEG Annual General Meeting decision, a formal link has also been established between the UNEG Repository for Evaluation Reports and IOM Repository, which allows the update of the UNEG repository when IOM's one is adding a report.</p>	
MI 8.1 Evidence confidence	High confidence
MI 8.2: Monitoring systems generate high-quality, useful performance data	Score
Overall MI rating	Satisfactory
Overall MI score	2.75
Element 1: A monitoring system exists to identify poorly performing programmes and operations	3
Element 2: Appropriate remote management systems are in place, where applicable	3
Element 3: A process for addressing poor performance exists, including clear overall responsibility to take action, with evidence of its use	3
Element 4: Lessons from monitoring are systematically integrated into programme adaptations	2
MI 8.2 Analysis	Evidence documents
<p>8.2.1 A monitoring system exists to identify poorly performing programmes and operations.</p> <p>IOM's main programme monitoring systems is PRIMA, which is designed to "assist IOM to develop, manage, monitor and report on projects". As indicated above, PRIMA currently tracks and provides real-time reporting on a series of key performance indicators – project activation, project start-up elapsed time from approval, timeliness of reporting, project burn rates, and frequency of no-cost extension requests – which are provided in the PRIMA Quarterly Report in the online dashboard. These are reasonable proxies for identifying underperformance. Several of these key performance indicators are used by the Donor Accountability Working Group in their Results Monitoring Framework, as part of ongoing monitoring on the quality and timeliness of donor reporting. A number of additional indicators will be tracked and reported regularly following ERP roll-out. IOM also has an institutional questionnaire, that functions as a central reporting system, issued twice a year to all country and regional offices for comprehensive results reporting. Project performance reviews (PPRs) were introduced in mid-2016, for use within any project with the intention to use it in particular for high profile, high risk and innovative projects. They identify any problems or issues with the original design or with implementation processes, helping IOM and other project stakeholders to respond to performance issues and adapt to changing circumstances. Unforeseen challenges with project implementation are usually dealt with through direct dialogue between IOM, funders and implementing</p>	3, 15, 63, 78, 82, 157, 201, 382, 407, 425, 444

partners. The IOM M&E Guidelines offer detailed guidance on Monitoring including also sections on data management in the framework of monitoring activities or on monitoring for results. A facilitated M&E Course is also available and conducted regularly.

8.2.2 Appropriate remote management systems are in place, where applicable.

The IOM M&E guidelines in chapter 3 has a detailed section on Remote Management, Monitoring and Third-Party Monitoring (TPM), setting out a typology of situations where remote management can or should be used, based on considerations of a) physical security, b) cost analysis of options, c) exit strategy. A detailed analysis of common challenges and the respective suggested solutions is presented. It identified three situations where IOM staff may be involved with TPM: a) where IOM uses TPM as the managing entity; 2) where IOM is contracted to undertake TPM, and 3) where IOM is the subject of TPM by another entity. For all three scenarios, roles and responsibilities are clarified, data protection issues are highlighted, indicators are proposed, challenges and risks discussed, and finally, multiple formats of agreement are discussed and assessed for practitioners. All of these mechanisms are key components supporting effective remote management of projects in areas with restricted access.

8.2.3 A process for identifying and addressing poor performance exists, including clear overall responsibility to take action, with evidence of its use.

IOM states that its PRIMA system can identify poor performance (e.g., through burn rate and progress towards results targets). PRIMA reports are also used by Regional Office Project Support Units to monitor project performance within their regions and analyse trends. Where underperformance is identified, Project Managers discuss mitigation measures with their Chief of Mission, calling on support from Regional Thematic Specialists where required. Performance issues are also discussed at Senior Management Team meetings in country offices. Additional support may be provided, in the form of sending technical specialists to the project site to help identify and resolve challenges, change of implementation models, or high-level meetings with partners and host governments. In the context of large crisis responses and L3 emergencies, the Emergency Coordinators (ECs) at country level monitor the performance of the overall response and addresses underperformance with Project Management and COMs, escalating, where needed, to the Migration Emergency Coordinator (MEC).

For IOM Development Fund projects, the Fund carries out monthly monitoring of the burn rate dashboard, and conducts regular 'check ins' with project managers, and reviews of interim reports, to identify underperformance. This can trigger a formal Project Performance Review, to help identify and resolve the challenges. The objective is to support field offices in assessing the performance of their projects using a constructive, participatory and coordinated approach, and in improving implementation, when necessary, in order to reach expected results. Corrective measures are discussed with the project team and integrated into the workplans for the project manager to implement.

Overall, IOM would benefit from a more structured approach to addressing poor performance, in the form of formal project improvement plans.

8.2.4 Lessons from monitoring are systematically integrated into programme adaptations.

Between 2017 - 2021, the Knowledge Management Hub created by IOM in collaboration with the EU, has developed an online Return and Reintegration Platform (RRP) which has been used as “a resource tool for policy development, programming support and project design purposes”. Documentary evidence indicates that 105 offices reported using information derived from evaluations for their interventions, to inform project design of either new or follow-up interventions, and to identify the potential focus of new projects. However, a concept note by the Knowledge Management team makes the claim that there is no formal organisation-wide requirement to ensure lessons learned are integrated into project design, arguing that “the use and application of knowledge from evaluation, collection of good practices and lessons learned, and other quality assurance mechanisms is still ad hoc and fragmented”. There are, however, a number of communities of practice, coordinated within IOM by various headquarters and regional focal points, and supported by the KM team (DDR, AAP, Shelter, WASH and others), as well as recent initiatives like the development of a knowledge management platform called Peer Exchange and Learning on Migration (POEM) and the addition of a ‘lessons learned’ module to PRIMA. Some evaluations, like a recent one for the Whole-of-Syria operation, specifically focus on extracting lessons learned for immediate application to on-going and follow-up programming.

MI 8.2 Evidence confidence

Medium confidence

Results

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results are achieved in an efficient manner.

KPI 9: Development and Humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.	KPI score
Satisfactory	2.88
<p>The findings in this part of the assessment are based primarily on review of a sample of 21 evaluations, including all centralised (strategic and thematic) evaluations conducted in the review period and a selection of decentralised evaluations of projects and initiatives assessed as most relevant to the MOPAN framework. The sample covers only a small proportion of IOM’s programming but allows for some limited pattern analysis of strengths and weaknesses in IOM’s results.</p> <p>The evaluations reviewed show a strong pattern of delivery of project objectives, suggestive of a good level of operational effectiveness. IOM projects show a good level of achievement on individual and community-based support for migrants, returnees and conflict-affected communities, and are generally effective at identifying and targeting vulnerable groups. IOM’s capacity building projects deliver well at output level, but short project cycles and shortcomings in monitoring arrangements made it difficult to conclude on the organisation’s contribution to building sustainable capacity. IOM’s service-delivery projects are inconsistent in the extent to which they work with and through national systems, and there is only limited evidence of the organisation building civil society or private sector capacity.</p> <p>Gender equality and women’s empowerment are mainstreamed across the organisation’s work. Many projects include specific activities for vulnerable women, women are well represented among project beneficiaries, and results data is routinely disaggregated by gender. However, the evaluations call into question the depth and quality of IOM’s gender-related interventions, and its gender-related outcomes are limited, given often challenging circumstances.</p> <p>IOM has engaged well on the migration, environment and climate change nexus at the global policy level, helping to secure recognition of climate change as a growing driver of migration. However, it has no systematic approach to policy advocacy at the national level. There is very little evaluative evidence of IOM projects helping improve environmental sustainability, but nor is there any evidence of its activities being environmentally unsustainable.</p> <p>Protection and human rights are well integrated into the portfolio. IOM’s capacity building work reflects human rights standards and is helping to build awareness of protection needs. Its service-delivery projects include a strong focus on supporting the most vulnerable migrants and helping to raise awareness of their rights. However, there are gaps in its protection focus (e.g., child protection), and the evidence suggests that IOM would benefit from more robust protection policies and processes. Among other cross-cutting issues, IOM projects include a focus on youth and on ethnic and religious minorities, and there is occasional reference to awareness raising on LGBTIQ+ needs. There is little reference to intersectionality.</p>	
MI 9.1: Interventions assessed as having achieved their objectives, and results (analysing differential results across target groups, and changes in national development policies and programs or system reforms).	Score
MI rating	Satisfactory

MI score	3
4. Highly satisfactory: The organisation achieves all or almost all intended significant development, normative and/or humanitarian objectives at the output and outcome level. Results are differentiated across target groups.	
3. Satisfactory: Half or less than half of stated output and outcome level objectives is achieved	
2. Unsatisfactory: Half or less than half of stated output and outcome level objectives is achieved	
1. Highly unsatisfactory: Less than half of stated output and outcome objectives has been achieved, including one or more very important output and/or outcome level objectives	
MI 9.1 Analysis	Evidence documents
<p>The evaluation evidence suggests a strong pattern of delivery of project outputs and outcomes. Among the sample of evaluations reviewed, the majority found either a moderate or high level of delivery against project targets and milestones. The evaluation evidence is of mixed quality, and some of the evaluations reviewed were primarily desk reviews of project monitoring data. Nonetheless, the available evidence suggests a good level of operational effectiveness.</p> <p>IOM has a good record of achievement on individual and community-based support for migrants, including returnees and conflict-affected communities. The evaluation evidence shows that IOM has a well-established suite of intervention types, including psychosocial support, financial support, cash-for-work schemes, training, employment placing services, and microbusiness support. The projects show high satisfaction rates among beneficiaries with the support that they received. There is a strong pattern of results from cash-for-work schemes, but more mixed results for job creation and microbusiness support, particularly in low-income environments. A number of evaluations suggest that stronger engagement with the private sector in the design and delivery of programmes might improve results.</p> <p>IOM projects are generally effective at targeting vulnerable groups. Many of the evaluated projects were specifically designed to reach vulnerable groups, while voluntary return programmes had identified vulnerable individuals within the beneficiary group (e.g., trafficking victims, single mothers, pregnant and lactating women) and were designed with the flexibility to provide them with tailored support (e.g. medical or psychological support, or additional assistance with accommodation). Projects also work with government partners to improve their capacity to identify and support vulnerable migrants (for example, one programme supported a range of European municipalities with high immigration rates to increase the accessibility of support services for vulnerable migrants). However, several evaluations noted the need to improve data quality for beneficiary selection, to introduce more formal criteria for vulnerability assessment, and to take more account of gender roles and individual circumstances (such as indebtedness) when providing assistance.</p> <p>IOM projects are inconsistent in their focus on strengthening national systems and capacities. Within the evaluation evidence, there is a subset of programmes where capacity development is the primary objective. These are generally well delivered. The interventions are assessed as contextually appropriate and tailored to the needs of the recipient institution. There is evidence of useful contributions to strengthening government capacity for migration management, including through developing policies and laws, introducing tools and instruments, training public officials,</p>	46, 76, 36, 60, 35, 69, 79, 165, 166, 167, 183, 460

<p>strengthening data systems, creation new coordination mechanisms (both cross-border and among national agencies), promoting contingency planning and crisis response capacity, and strengthening national communications campaigns. More substantial programmes have a good focus on using evidence-based research to inform policy development. However, the available evaluations rarely go beyond output level and the evidence on lasting improvements in national capacity is not particularly strong. This may be linked to short project cycles, which encourage a focus on outputs and make it difficult to identify any consequent capacity-building outcomes.</p> <p>Among projects where the primary objective is to deliver support services to migrants and returnees, many projects appear to establish parallel service delivery mechanisms, rather than working with and through government. While the sample of evaluations examined was representative of IOM's global portfolio, it contained a significant number of projects that did not engage with government agencies, despite apparent opportunities to do so. There are examples of successful capacity building at the local community, but there is only limited evidence of engagement with civil society organisations and the private sector.</p>	
MI 9.1 Evidence confidence	Low confidence
MI 9.2: Interventions assessed as having helped improve gender equality and women's empowerment.	Score
MI rating	Satisfactory
MI score	3
4. Highly satisfactory: Interventions achieve all or nearly all of their stated gender equality objectives	
3. Satisfactory: Interventions achieve a majority (more than 50%) of their stated gender objectives	
2. Unsatisfactory: Interventions either lack gender equality objectives or achieve less than half of their stated gender equality objectives. (Note: where a programme or activity is clearly gender-focused (maternal health programming for example) achievement of more than half its stated objectives warrants a rating of satisfactory)	
1. Highly unsatisfactory: Interventions are unlikely to contribute to gender equality or may in fact lead to increases in gender inequalities	
MI 9.2 Analysis	Evidence documents
<p>The evaluation evidence suggests that IOM routinely mainstreams gender considerations into project design. All projects in the evaluation sample that were engaged in the delivery of services directly to individuals disaggregated their results data by gender and had taken steps to ensure that women were involved in project activities (such as training and community consultations) and beneficiary selection. Written outputs, such as tools and training materials, were assessed as gender sensitive, and most capacity building programmes included a focus on building awareness of gender-based needs. Several projects in the sample involved measures to mitigate the risk of gender-based violence. In a number of instances, there was additional support available for vulnerable women, particularly victims of trafficking (one evaluation noted that male victims of trafficking were not accorded the same support), single mothers and pregnant women.</p> <p>However, the evaluation evidence suggests that the depth and quality of IOM's results on gender equality and women's empowerment are mixed. One project in Colombia had involved women closely in the design and delivery of its interventions,</p>	46, 76, 36, 35, 165, 166, 167, 183, 460

<p>had a strong focus on vulnerable women and intersection, and was found to have contributed to meaningful changes in social roles for women. In South Sudan, IOM's efforts to promote women's participation in peace committees was found to have made a significant contribution to promoting gender equality. However, in other projects, a lack of in-depth understanding of the constraints and obligations facing women undermined attempts to provide tailored support to women. In some instances, efforts to empower women were not sufficient to achieve meaningful outcomes, in the face of restrictive social norms and challenging operating environments.</p>	
MI 9.2 Evidence confidence	Low Confidence
MI 9.3: Interventions assessed as having helped improve environmental sustainability/ tackle the effects of climate change.	Score
MI rating	Unsatisfactory
MI score	2
<p>4. Highly satisfactory: Interventions include substantial planned activities and project design criteria to achieve environmental sustainability and contribute to tackle the effects of climate change. These plans are implemented successfully, and the results are environmentally sustainable and contribute to tackling the effects of climate change</p>	
<p>3. Satisfactory: Interventions include some planned activities and project design criteria to ensure environmental sustainability and help tackle climate change. Activities are implemented successfully, and the results are environmentally sustainable and contribute to tackling the effects of climate change</p>	
<p>2. Unsatisfactory: EITHER Interventions do not include planned activities or project design criteria intended to promote environmental sustainability and help tackle the effects of climate change. There is, however, no direct indication that project or programme results are not environmentally sustainable. AND/OR The intervention includes planned activities or project design criteria intended to promote sustainability, but these have not been implemented and/ or have not been successful</p>	
<p>1. Highly unsatisfactory: Interventions do not include planned activities or project design criteria intended to promote environmental sustainability and help tackle climate change. In addition, changes resulting from interventions are not environmentally sustainable/do not contribute to tackling climate change</p>	
MI 9.3 Analysis	Evidence documents
<p>There is no evidence in the evaluations reviewed that IOM projects have helped improve environmental sustainability or support climate change adaptation. Only one of the evaluated projects (a cash-for-work programme in Iraq) included an environmental protection element, and this was a requirement of the funder. However, the nature of IOM's activities suggests its projects are unlikely to have negative environmental impact, and there is no direct evidence to suggest that their results are environmentally unsustainable. The IOM evaluations reviewed do not include assessments of environmental sustainability and climate change as a cross-cutting issue.</p> <p>An evaluation of IOM's work on the migration, environment and climate change nexus found that its global policy advocacy efforts had been effective. IOM has helped to secure international recognition of environmental degradation and climate changes as drivers of migration. It helped to establish platforms on migration within international climate forums (e.g., a Taskforce on Migration under the UN Framework Convention on Climate Change), and to incorporate environmental dimensions into</p>	69, 79, 461

<p>the Global Compact on Migration. It has developed good links with the global research community and helped to generate evidence in support of its advocacy work.</p> <p>However, the evaluation found limited evidence of effective policy advocacy at the national level. IOM’s Migration, Environment, Climate Change Nexus division, which was set up in 2015 and has 6 staff at headquarters level, focuses mainly on advocacy at the global level. The evaluation notes that the policy advocacy is not prioritised across the IOM field work, and policy impacts are not monitored or reported. “What is still valued most within IOM is how much funding is mobilised.” Information on climate change does not reach country offices, and there is no collaborative approach to these issues across the organisation. “The projectized nature of IOM does not cultivate a collaborative culture because of competition.” It notes that IOM has little core funding for climate-related activities, and its work is therefore focused on areas where funding is available, rather than being guided by policy or strategy. There are also weaknesses in its internal capacity on the issue. “Climate change as it concerns human mobility does not come naturally to migration experts.”</p>	
MI 9.3 Evidence confidence	Low confidence
MI 9.4: Interventions assessed as having helped improve the protection of vulnerable people (those at risk of being left behind) and human rights.	Score
MI rating	Satisfactory
MI score	3
<p>4. Highly satisfactory: Interventions include substantial planned activities and project design criteria to promote or ensure human rights and reach those most at risk of being left behind. These plans are implemented successfully, and the results have helped promote or ensure human rights demonstrating results for the most vulnerable groups.</p>	
<p>3. Satisfactory: Interventions include some planned activities and project design criteria to promote or ensure human rights. These activities are implemented successfully, and the results have promoted or ensured human rights.</p>	
<p>2. Unsatisfactory: EITHER Interventions do not include planned activities or project design criteria intended to promote or ensure human rights or demonstrate their reach to vulnerable groups. There is, however, no direct indication that project or programme results will not promote or ensure human rights, AND/OR The intervention includes planned activities or project design criteria intended to promote or ensure human rights but these have not been implemented and/or have not been successful</p>	
<p>1. Highly unsatisfactory: Interventions do not include planned activities or project design criteria intended to promote or ensure human rights. In addition, changes resulting from interventions do not promote or ensure human rights. Interventions do not focus on reaching vulnerable groups</p>	
MI 9.4 Analysis	Evidence documents
<p>The evaluation evidence suggests that protection is integrated into IOM’s project designs and activities but would benefit from more robust organisational policies and processes. IOM’s Migration Crisis Operational Framework, which guides both IOM and member states on response to migration crises, has a strong focus on protection and meeting the needs of vulnerable migrants and internally displaced persons (IDPs). Protection was also mainstreamed into IOM’s work with the African Union to develop a Model Migrant Welfare Programme and related materials. All projects in the sample that delivered services to individuals included consideration of human rights and protection needs, with specific activities targeting the most vulnerable</p>	68, 36, 35, 79, 183, 167, 461

<p>migrants. There were processes for identifying situations of vulnerability, and for referring victims of GBV, child migration and human trafficking to appropriate services. A number of projects in the sample were found to have helped raise community awareness of human rights, and to have increased community members' willingness to refer human rights abuses to the appropriate authority. One cash-for-work programme in Iraq helped promote legal standards on child labour working hours and workers' health and safety, but there is not enough evidence to judge whether this is standard across IOM's employment-related interventions. One evaluation noted that the project would have benefited from deeper human rights analysis. One project recruited volunteers to work with vulnerable children. While the issue was not raised in the evaluation, there is no evidence that the design of the programme considered the child protection issues inherent in this delivery model – evidence of a lack of an organisation-wide policy on the issue.</p> <p>One evaluation of IOM's humanitarian response found significant unmet protection needs among the affected population. IOM, in collaboration with other agencies, had focused on providing support to survivors of gender-based violence (GBV), but not enough effort had been put into its prevention. The evaluation noted: "IOM has at times been slow in deploying enough experience people to fill key protection positions... IOM is not seen, by other actors, as an agency with significant protection expertise."</p>	
<p>MI 9.4 Evidence confidence</p>	<p>Low confidence</p>
<p>MI 9.5: Interventions assessed as having helped improve any other cross-cutting issue.</p>	<p>Score</p>
<p>MI rating</p>	<p>Satisfactory</p>
<p>MI score</p>	<p>3</p>
<p>4. Highly satisfactory: Interventions include substantial planned activities and project design criteria to promote or ensure any other cross-cutting issue. These plans are implemented successfully, and the results have helped promote or ensure any other cross-cutting issue.</p>	
<p>3. Satisfactory: Interventions include some planned activities and project design criteria to promote or ensure any other cross-cutting issue. These activities are implemented successfully, and the results have promoted or ensured any other cross-cutting issue.</p>	
<p>2. Unsatisfactory: EITHER Interventions do not include planned activities or project design criteria intended to promote or ensure any other crosscutting issue. There is, however, no direct indication that project or programme results will not promote or ensure any other cross-cutting issue, AND/OR Intervention include planned activities or project design criteria intended to promote or ensure any other cross-cutting issue, but these have not been implemented and/or been successful</p>	
<p>1. Highly unsatisfactory: Interventions do not include planned activities or project design criteria intended to promote or ensure any other cross-cutting issue. In addition, changes resulting from interventions do not promote or ensure any other cross-cutting issue.</p>	
<p>MI 9.5 Analysis</p>	<p>Evidence documents</p>
<p>This micro-indicator is interpreted as referring to IOM's effectiveness in identifying and responding to the needs of other vulnerable groups.</p> <p>There is evidence of IOM projects addressing other cross-cutting issues, where relevant.</p> <ul style="list-style-type: none"> Youth: A number of projects included a focus on youth as a target group, 	<p>76, 36, 79, 167</p>

<p>with activities designed to address their needs. A project that built capacity on migration management in the Western Hemisphere included training and sensitization on the needs of child migrants. A peacebuilding project in Colombia included youth as a target groups, and there were projects in South Sudan and Mozambique that were dedicated to vulnerable children and youth.</p> <ul style="list-style-type: none"> • Ethnic and religious minorities: The Colombia project was designed to support ethnic minority communities, and featured a strong design that supported them not just with social and economic integration, but also with cultural safeguarding, promoting cultural expression and the sharing of traditions. Attention was also given to minority religious groups in an integration project in Iraq. The evaluations suggest that, while these were worthwhile efforts, they made limited progress in the face of entrenched social norms and structural racism. • LGBTQ+: There are brief references in two evaluations to training and capacity building projects helping to raise awareness of LGBTQ+ needs, but this does not appear widespread. <p>Intersectionality is mentioned as a consideration in only one project and would merit closer attention by IOM. There is no evidence in the evaluations of IOM projects working with the elderly.</p>	
MI 9.5 Evidence confidence	Low confidence

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, as the organisation works towards results in areas within its mandate.	KPI score
Satisfactory	3
<p>IOM's interventions generally rate well for relevance. Its capacity-building activities are assessed in the evaluation evidence as well-aligned to the needs and priorities of member states. Its service-delivery projects are relevant to the needs of the target populations. They are generally based on evidence-based needs assessments and are designed with the flexibility to offer different packages of support tailored to the needs of individuals, particularly vulnerable migrants. In surveys, a majority of beneficiaries rate the assistance as relevant to their needs. Some projects rate well for their consultations with affected communities, but there are also instances where consultations are limited to government counterparts. There is mixed evidence on adaptability. Some evaluations found learning and adaptation through the project cycle, but others noted that adaptability was constrained by cumbersome administrative processes and short project cycles. There is good evidence of IOM projects adapting to the COVID-19 pandemic, through rapid needs assessments, developing information and awareness-raising material, monitoring the rights of labour migrants, and in a few instances providing material support such as hygiene items and personal protective equipment (PPE).</p>	

MI 10.1: Intervention objectives and design assessed as responding to global, regional and local risks and the needs of affected people, policies, and priorities (inclusiveness, equality and Leave No One Behind), and continuing to do so where circumstances change.	Score
MI rating	Satisfactory
MI score	3
<p>4. Highly satisfactory: Systematic methods are applied in intervention design (including needs assessment for humanitarian relief operations) to identify target</p>	

group needs and priorities, including consultation with target groups, and intervention design explicitly responds to the identified needs and priorities.	
3. Satisfactory: Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group.	
2. Unsatisfactory: No systematic analysis of target group needs and priorities took place during intervention design or some evident mismatch exists between the intervention's activities and outputs and the needs and priorities of the target groups.	
1. Highly unsatisfactory: Substantial elements of the intervention's activities and outputs were unsuited to the needs and priorities of the target group.	
MI 10.1 Analysis	Evidence documents
<p>IOM's capacity building activities are assessed in evaluation as well aligned to the needs and priorities of member states. Many of its projects are commissioned by member states and therefore respond to specific needs. When providing capacity building support at a regional level, there is evidence of IOM engaging in consultations with national counterparts, conducting needs assessments, and tailoring its support to the needs of each country.</p> <p>IOM's service-delivery projects are relevant to the needs of the target populations. Across the sample of evaluations reviewed, projects rate well for relevance. A number of evaluations note that the project design was based on good quality research and needs assessments. There is a strong focus on identifying the most vulnerable migrants and tailoring support to their individual needs. A number of evaluations conclude that IOM provides holistic, needs-based and tailored integration support for returnees, with projects able to offer flexible combinations of economic, social, medical and psychosocial support, and to provide support through a range of modalities (e.g. training, cash for work, job placement, micro-business support). In surveys, a strong majority of beneficiaries rate the assistance as relevant to their needs. However, some evaluations conclude that IOM could do more to reflect individual circumstances (indebtedness among returnees is a recurring issue).</p> <p>There is mixed evaluation evidence on the quality of IOM's consultations with affected people. The strongest projects designed include broad-based and good quality consultations, either directly with target communities or through representative organisations. However, in some instances, the evaluations conclude that consultations were limited to national authorities. The evaluations also note that IOM's policy advocacy work does not have a strong focus on working with migrants or organisations representing them.</p> <p>There is evidence from the evaluations of IOM projects adapting to the COVID-19 pandemic. One capacity building project with European municipalities conducted a rapid needs assessment, developed a set of information and awareness-raising materials for use by counterparts, and created an online community of practice on support for migrants during the pandemic. The evaluation rated this a swift and appropriate response. Other projects also engaged in information sharing and awareness raising, and few provided material support, in the form of hygiene items and personal protective equipment (PPE). IOM was also active in monitoring the rights of labour migrants through the pandemic.</p> <p>Beyond the pandemic context, there is mixed evaluation evidence on project adaptability. A number of evaluations found learning and adaptation through</p>	<p>46, 76, 36, 60, 35, 69, 79, 144, 165, 166, 167, 460</p>

projects, typically in delivery methods. Others find that capacity building projects are able to adapt to evolving government needs and priorities. However, a number of evaluations find that adaptability was constrained by cumbersome administrative processes, with staff and implementing partners uncertain about how to adjust budgets and activities. There is also limited scope for adaptability within annual project cycles.	
MI 10.1 Evidence confidence	Low confidence

KPI 11: Results are delivered efficiently	KPI score
No Evidence	N/E
IOM does not have a systematic approach to assessing value-for-money in its projects, and efficiency assessments in evaluations are mainly limited to examining budget utilisation and timeliness. The evaluation reports suggest a lack of attention to unit cost analysis, and missed opportunities to use cross-project comparisons to generate learning on what interventions are cost-effective in which contexts. Project-level monitoring systems are often not robust enough, and often focus more on outputs than outcome-level results. The evaluations contain feedback from partners that IOM administrative procedures, especially for recruitment and procurement, are complex and burdensome, and often a source of project delays.	

MI 11.1: Interventions/activities assessed as resource-/cost-efficient, while maintaining a focus on the most left behind.	Score
MI rating	No Evidence
MI score	N/E
4. Highly satisfactory: Interventions are designed to include activities and inputs that produce outputs in the most cost/resource efficient manner available at the time, while maintaining a focus on the most left behind	
3. Satisfactory: Results delivered when compared to the cost of activities and inputs are appropriate even when the programme design process did not directly consider alternative delivery methods and associated costs, while maintaining a focus on the most left behind	
2. Unsatisfactory: Interventions have no credible, reliable information on the costs of activities and inputs and therefore no data is available on cost/ resource efficiency, while maintaining a focus on the most left behind	
1. Highly unsatisfactory: Credible information is provided which indicates that interventions are not cost/resource efficient, while maintaining a focus on the most left behind	
MI 11.1 Analysis	Evidence documents
IOM has no systematic approach to achieving or monitoring value-for-money (VfM) in its projects. Value-for-Money is not assessed in IOM evaluations, and assessments of efficiency are limited to verifying budget utilisation. While IOM implements similar intervention types (such as reintegration of returnees) in many different countries, there is no evidence in the sample reviewed of its monitoring and comparing unit costs across projects, in order to generate learning on VfM. One evaluation noted widely variant unit costs within the project in different geographical areas, but no attempt had been made to investigate the reasons for the variance. The evaluation evidence reveals examples of poor value for money, such as projects with too many fragmented activities, without clear criteria for allocation resources. In one voucher-based intervention in Iraq, the limited number of vendors accepting the vouchers created a risk that investors would inflate their prices, and project staff were obliged to accompanying beneficiaries to the stores to manage this risk. This suggests a lack of advanced consideration of VfM.	76, 36, 35, 165, 167, 460

Monitoring and evaluation systems are not robust enough, with widely varying practices across projects. In one project with multiple implementing partners, monitoring systems were not standard across partners and components, making it impossible for IOM to compare their performance and VfM. Monitoring is often focused on tracking outputs, rather than outcomes, and partners complain of excessive reporting burdens.	
IOM's cumbersome management processes are frequently described as undermining efficiency. Many evaluations include feedback from implementers that IOM's administrative procedures are complex and time consuming, particularly for recruitment and procurement, causing programme delays and undermining efficiencies. Partners also report that the requirement to run multiannual programmes on an annual planning cycle is an impediment to efficient operations.	
MI 11.1 Evidence confidence	Low confidence
MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming).	Score
MI rating	No Evidence
MI score	N/E
4. Highly satisfactory: All or nearly all the objectives of interventions are achieved on time or, in the case of humanitarian programming, a legitimate explanation exists for delays in achieving some outputs/outcomes	
3. Satisfactory: More than half of the intended objectives of interventions are achieved on time, and this level is appropriate to the context that existed during implementation, particularly for humanitarian interventions.	
2. Unsatisfactory: Less than half of the intended objectives are achieved on time but interventions have been adjusted to take account of the difficulties encountered and can be expected to improve the pace of achievement in the future. In the case of humanitarian programming, a legitimate explanation exists for delays	
1. Highly unsatisfactory: Less than half of stated objectives of interventions are achieved on time, and no credible plan or legitimate explanation is identified that would suggest significant improvement in achieving objectives on time	
MI 11.2 Analysis	Evidence documents
There is no evaluation evidence in the selected sample regarding the timeliness of IOM's emergency humanitarian operations. Beyond general observations about IOM's responsiveness and capacity to scale up quickly, there is no data on the proportion of activities that are delivered on time.	
For non-emergency operations, there is evidence that projects experience frequent delays. Cumbrous administrative processes are the mostly commonly cited reason for delays. Other causes included a lack of personnel in the field, delays in hiring consultants, excessive staff workloads, high staff turnover, delays to project start-up, and slow procurement processes, as well as external factors beyond IOM's control (e.g., political conditions and COVID-19).	36, 60, 35, 165, 183, 461
MI 11.2 Evidence confidence	Low confidence
KPI 12: Results are sustainable	KPI score
Unsatisfactory	2
Most IOM projects are short-term and lack a strong focus on sustainability. Many involve direct delivery of support to target populations, without working with and through national systems, and do not pay sufficient attention to the financial, political and technical dimensions of sustainability. The evaluations conclude that	

capacity-building activities have some prospect of achieving sustainable results, but the evidence of sustainable outcomes is weak, given short project cycles. In its reintegration programmes, IOM has its own definition and survey-based method of assessing sustainability; by this measure, its projects rate well for sustainability. There are some strong examples of IOM projects tackling drivers of conflict and building resilience to future shocks. However, IOM is not yet taking a systematic approach to the Humanitarian, Peacebuilding and Development Nexus (HPDN), and any initiatives in this area depend on the skills and priorities of key staff in country offices. IOM has been slow to develop funding appeals for HPDN activities, and there has been minimal investment in building capacity in the area through its field network.

MI 12.1: Results help build resilience to shocks and stressors and lay the groundwork for stability and development.	Score
MI rating	Unsatisfactory
MI score	2
<p>4. Highly satisfactory: Benefits from interventions are assessed as continuing, or likely to continue, after the completion of the programme, including through evaluations, and the Organisation can demonstrate how its results contribute to building capacity and resilience and ending need in different contexts.</p>	
<p>3. Satisfactory: Benefits from interventions are assessed as continuing, or likely to continue, after the completion of the programme, including through evaluations, contexts.</p>	
<p>2. Unsatisfactory: Evaluations assess as a low probability that the intervention will result in continued benefits for the target group after completion. Interventions meet immediate needs but do not systematically build resilience to future shocks and to address the drivers of crises.</p>	
<p>1. Highly unsatisfactory: Evaluations find a very low probability that the programme programme/project will result in continued intended benefits for the target group after project completion, and there have been no efforts to build resilience to future shocks and to address the drivers of crises.</p>	
MI 12.1 Analysis	Evidence documents
<p>Many of IOM’s projects involve short-term interventions without a strong focus on sustainability. Several evaluations noted that there had not been enough attention given in project design to sustainability – whether financial, political or technical. In some cases, projects used direct delivery modalities, rather than working with and through national systems or local partners, and it was not clear that resources were available to continue the activities beyond project completions. Given that most projects work on an annual cycle, there is limited scope to promote sustainability or measure whether it is achieved. Among capacity-building interventions, there is some limited evaluation evidence of pilot activities being replicated or scaled up, and some projects established coordination structures (across government, or between government and civil society) that were assessed as having some prospect of continuing beyond the life of the project. Overall, however, there is weak evidence of sustainable outcomes.</p> <p>In its reintegration programmes, IOM has a definition and indicators for measuring sustainability. According to IOM’s 2016 <i>Towards an Integrated Approach to Reintegration in the Context of Return</i>: “Reintegration can be considered sustainable when returnees have reached levels of economic self-sufficiency, social stability within their communities, and psychosocial well-being that allow them to cope with (re)migration drivers. Having achieved sustainable reintegration, returnees are able to make further migration decisions a matter of choice, rather than necessity”. Results are measured through a reintegration sustainability survey. Based on this definition and assessment methodology, IOM’s reintegration projects rate well for</p>	<p>46, 73, 76, 36, 35, 79, 165, 166, 167, 183</p>

sustainability.

There is some evidence of IOM projects tackling drivers of conflict and crises and building resilience to future shocks. Some of the evaluated projects in conflict settings included peacebuilding components. In Colombia, IOM is implementing a project designed to support the implementation of the Peace Agreement by building the capacity of civil society organisations and communities to participate in peacebuilding processes and the work of the Truth Commission. It is doing this by promoting intercultural dialogue and supporting the inclusion of ethnic indicators in planning instruments. In Iraq, an IOM project is seeking to strengthen links between returnees and host communities, to promote stability. In South Sudan, IOM is implementing a UN Peacebuilding Fund project designed to create positive economic and social dependence across youth of different backgrounds, and tackle prejudice. The evaluation found that all project activities were undertaken in ways that enhanced social cohesion and peacebuilding, even when the immediate focus was on other needs or sectors.

MI 12.1 Evidence confidence

Low confidence

Annex B - List of documents

Evidence Number	Reference
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Annex C – Partner survey

STRATEGY

Figure 1. IOM has a clearly articulated strategy that sets out its unique role

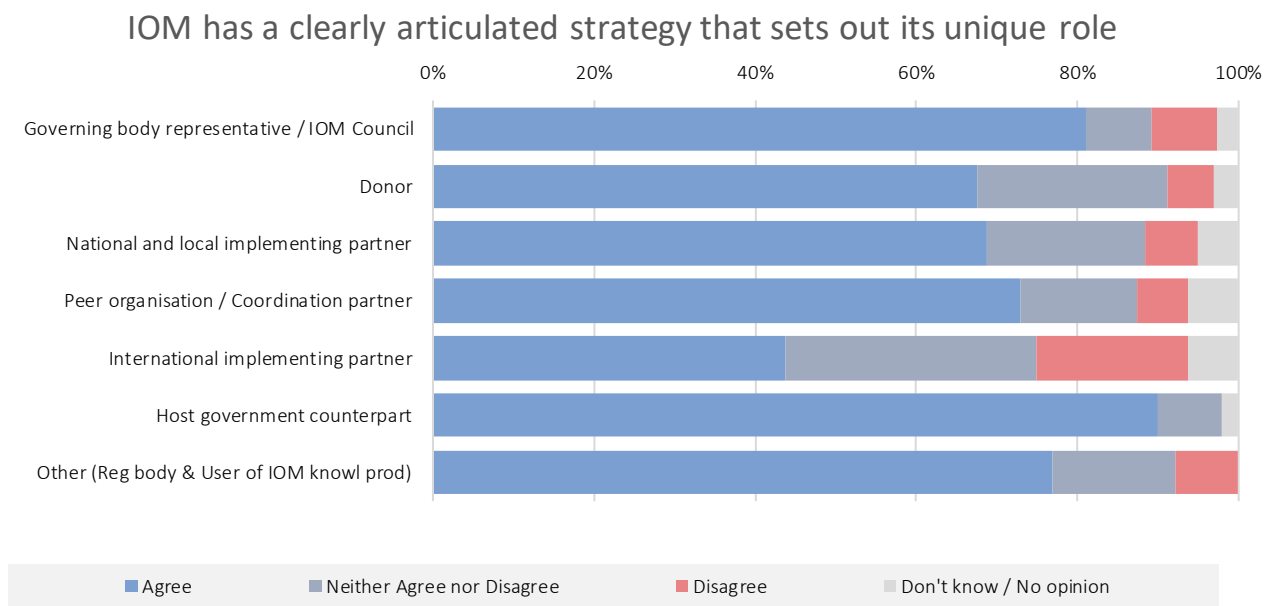


Figure 2. IOM strategy implementation is leading to greater organisational coherence

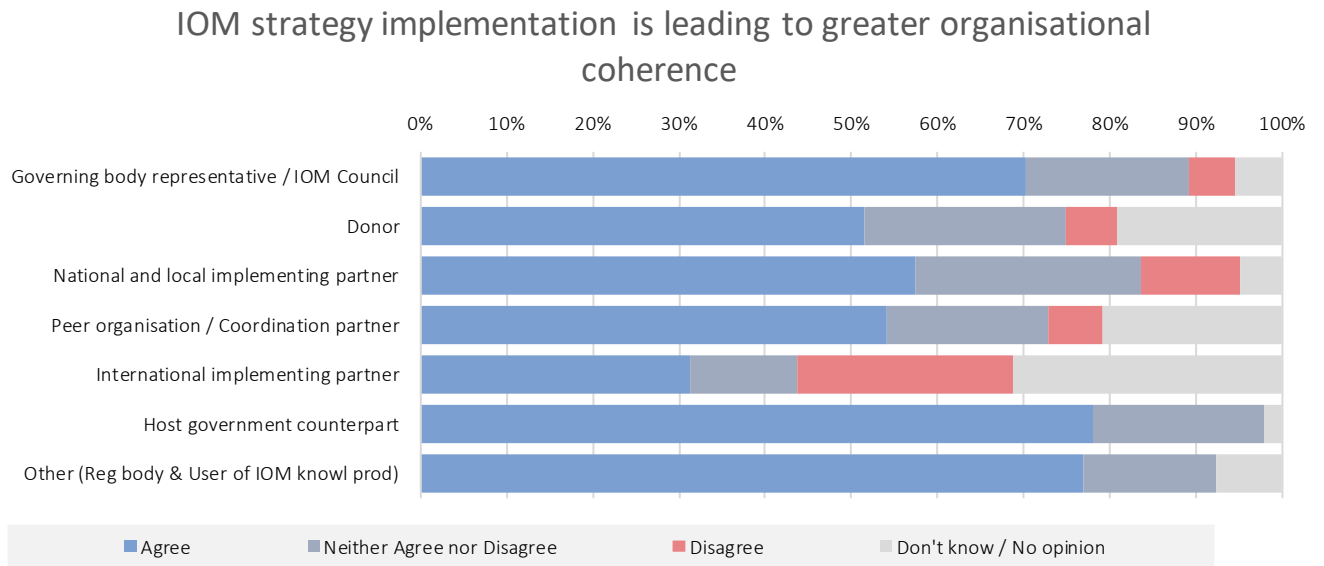


Figure 3. IOM strategy implementation is leading to greater organisational coherence

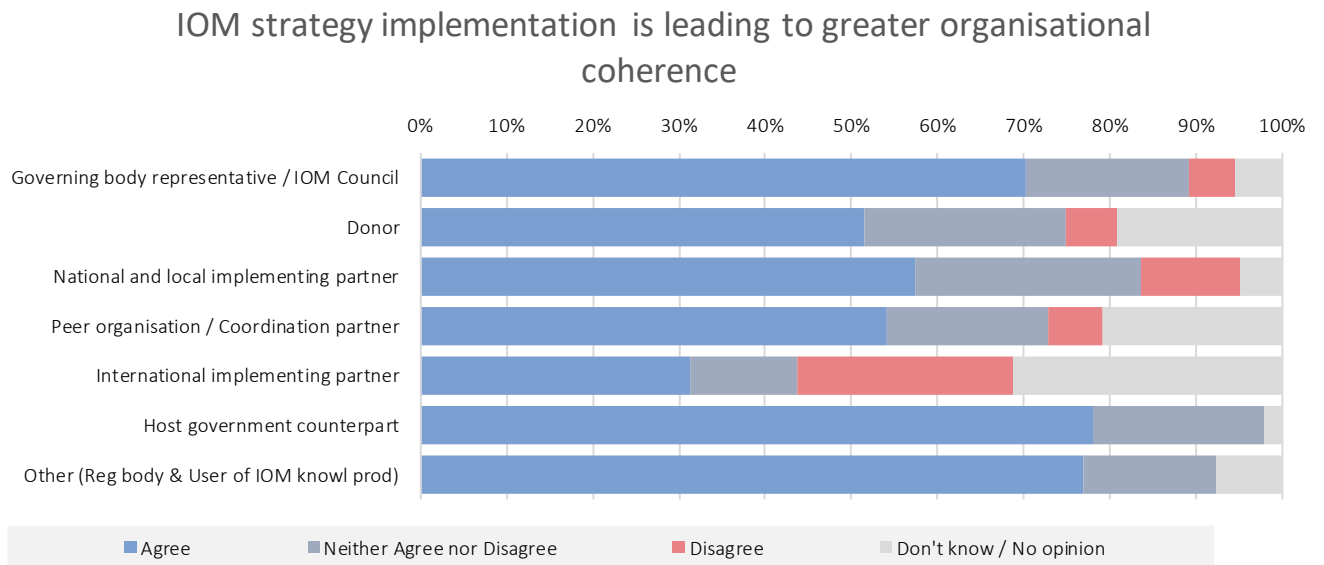


Figure 4. IOM works in a way that makes sure humanitarian principles are respected

IOM works in a way that makes sure humanitarian principles are respected

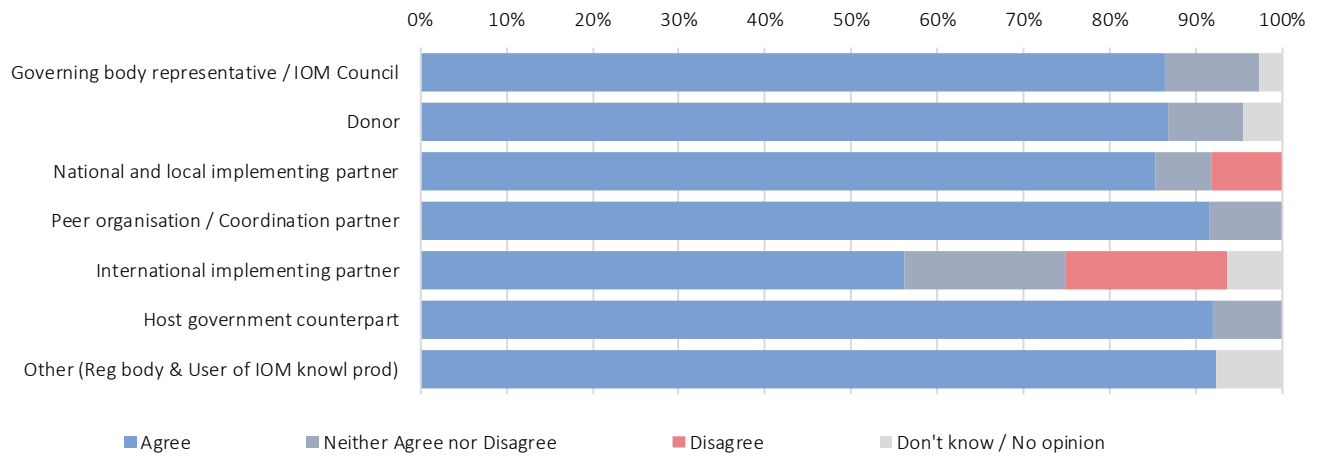
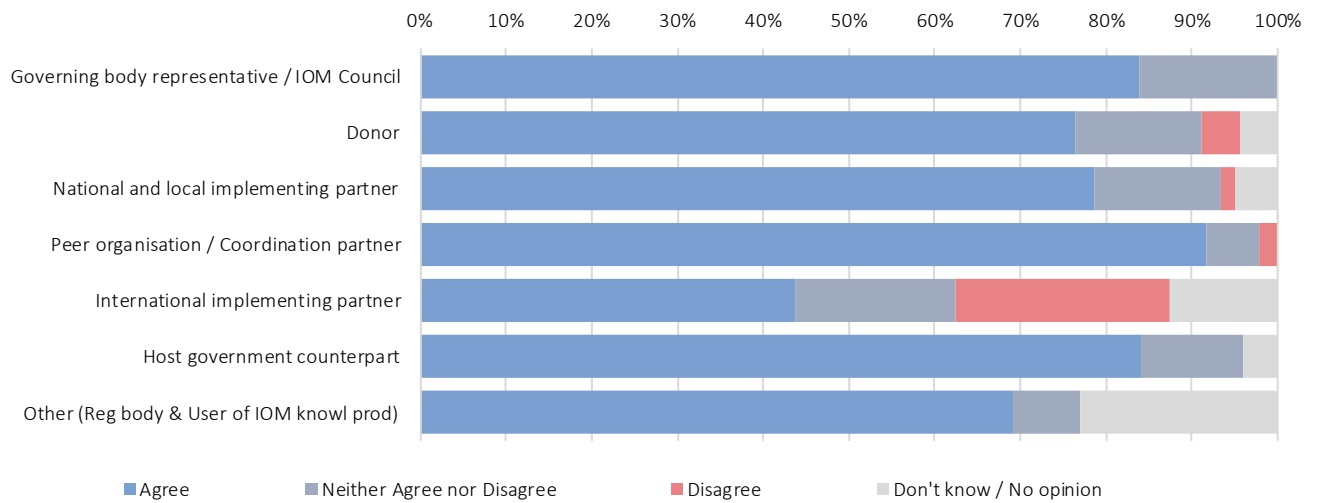


Figure 5. IOM consistently places protection at the center of its work

IOM consistently places protection at the centre of its work



Note:
Source:

Figure 6. IOM promotes gender equality in all areas of work

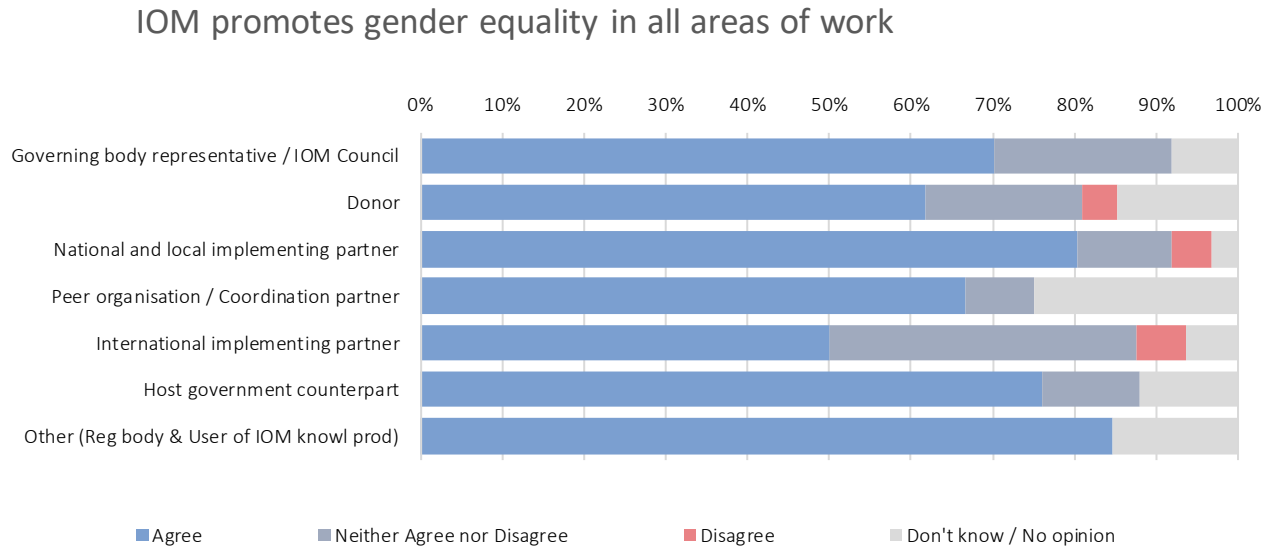
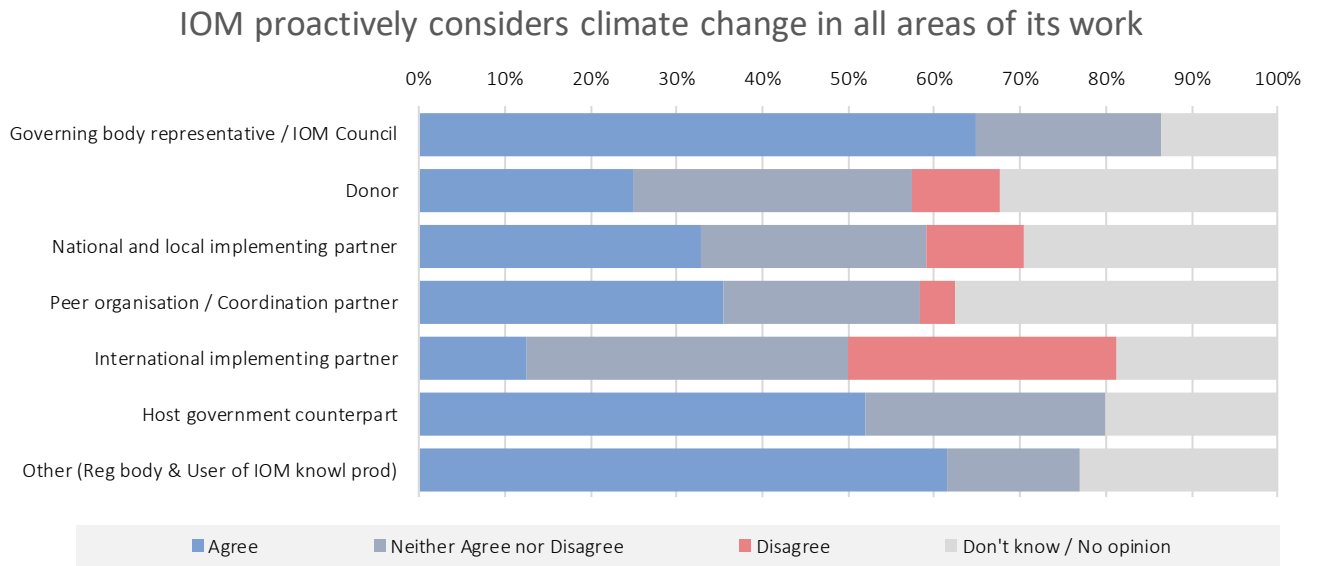


Figure 7. IOM proactively considers climate change in all areas of its work



WORKING

Figure 8. IOM’s decentralised structure helps enable planning and good resource decisions enabling the delivery of better results

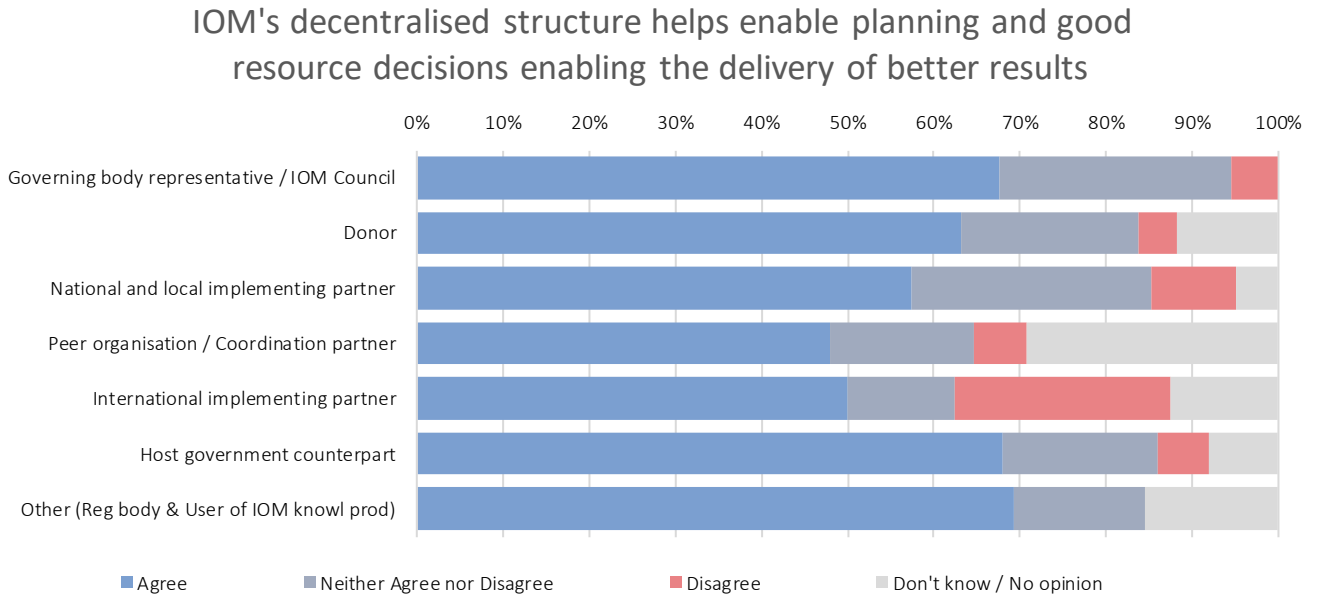


Figure 9. IOM’s resource mobilization efforts ensure that the organization has the financing in place to deliver its strategy

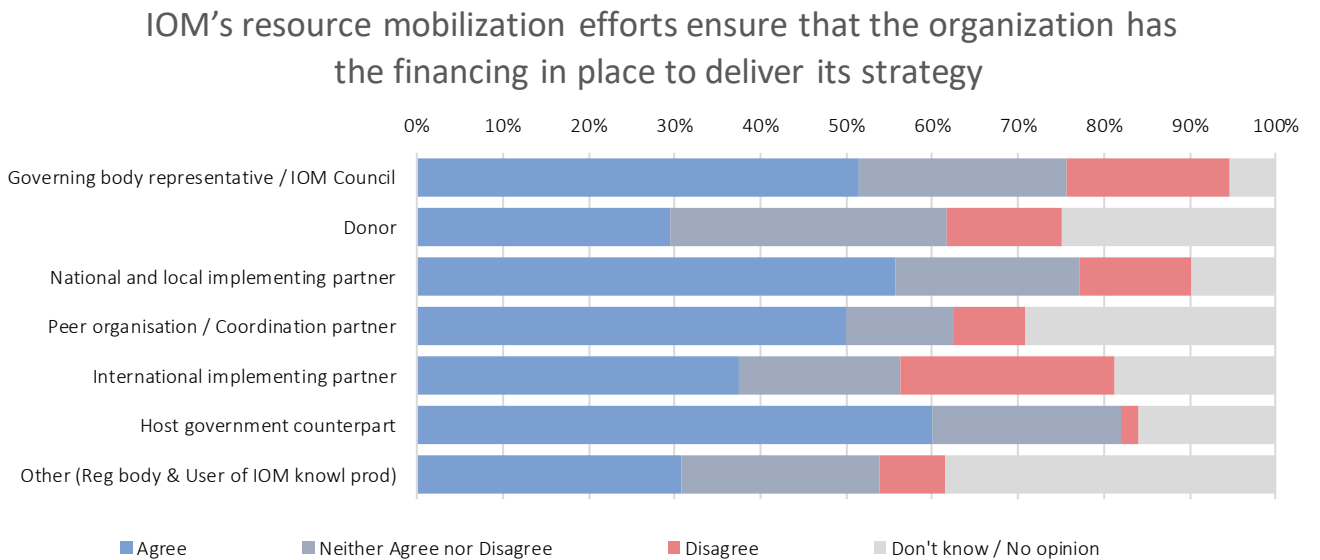


Figure 10. IOM has the right approach to ensure it has the right staff in place to deliver its work

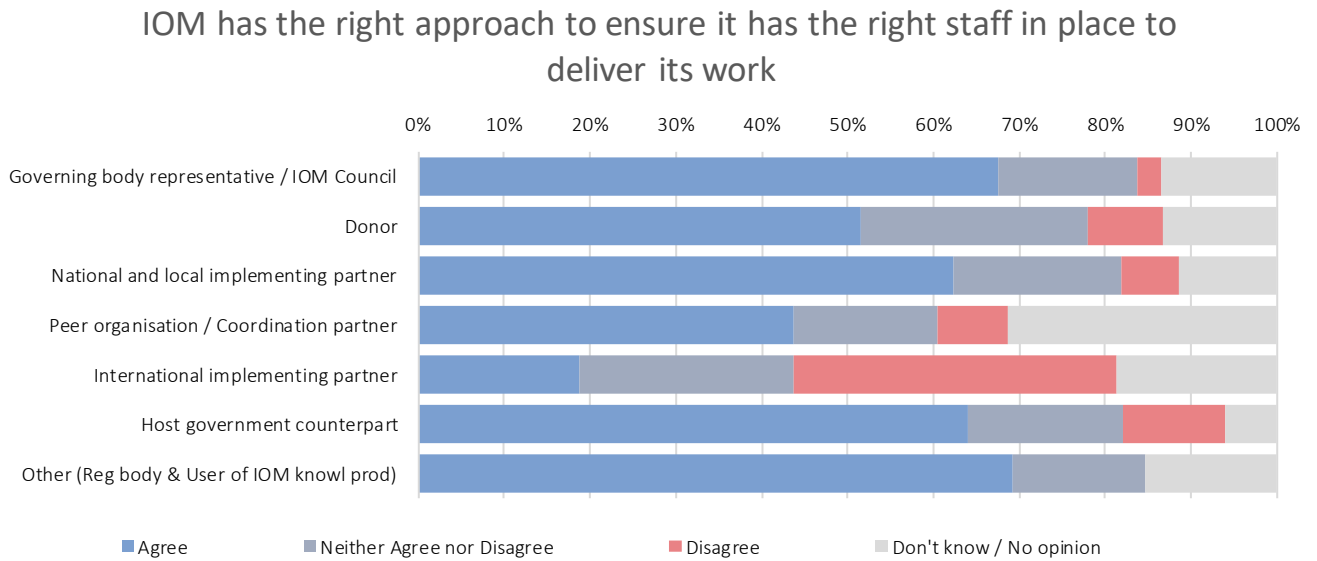


Figure 11. IOM's administrative and finance procedures are easy to understand and effective

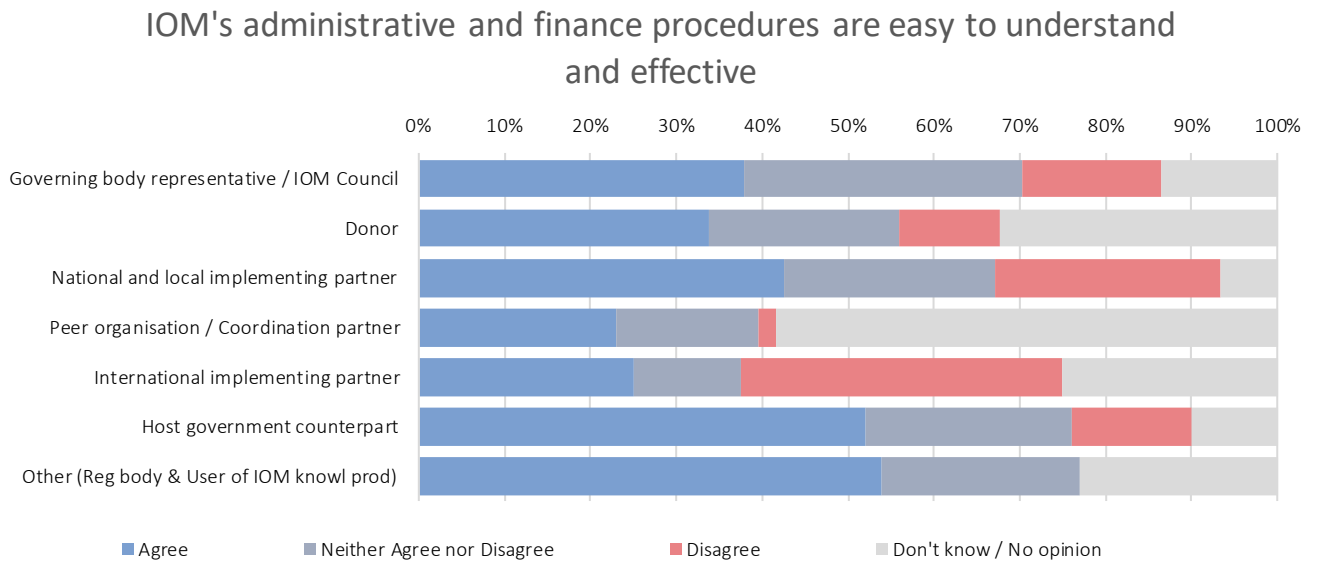
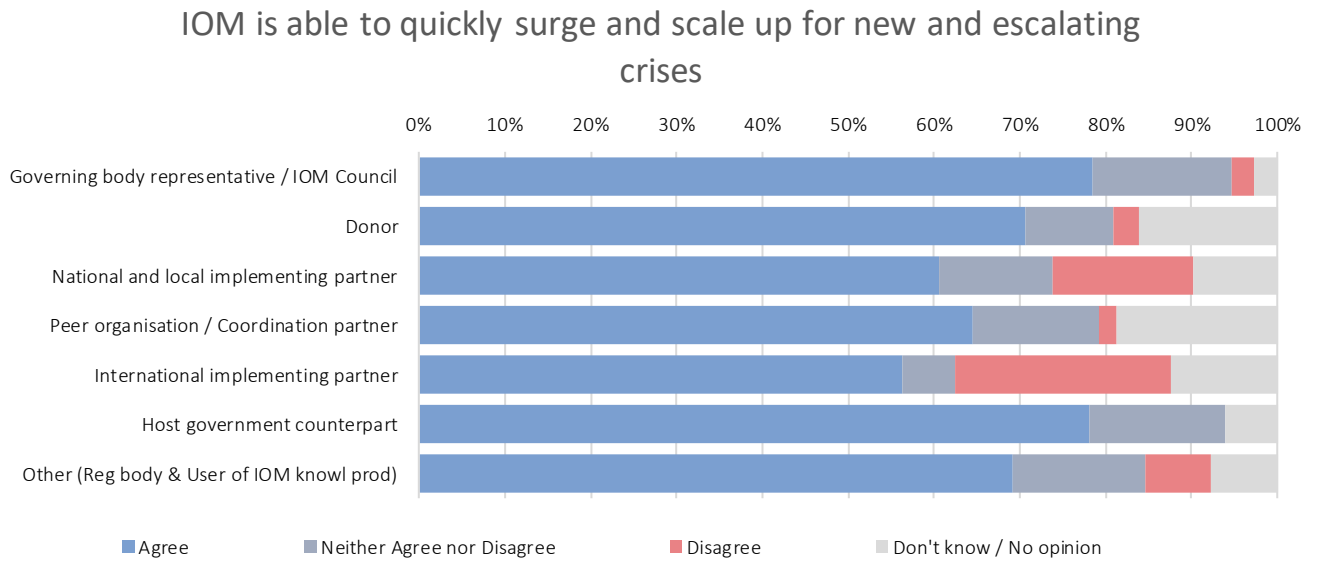


Figure 12. IOM is able to quickly surge and scale up for new and escalating crises



SAVEGUARDS

Figure 13. IOM prevents, detects and responds to fraud and corruption effectively

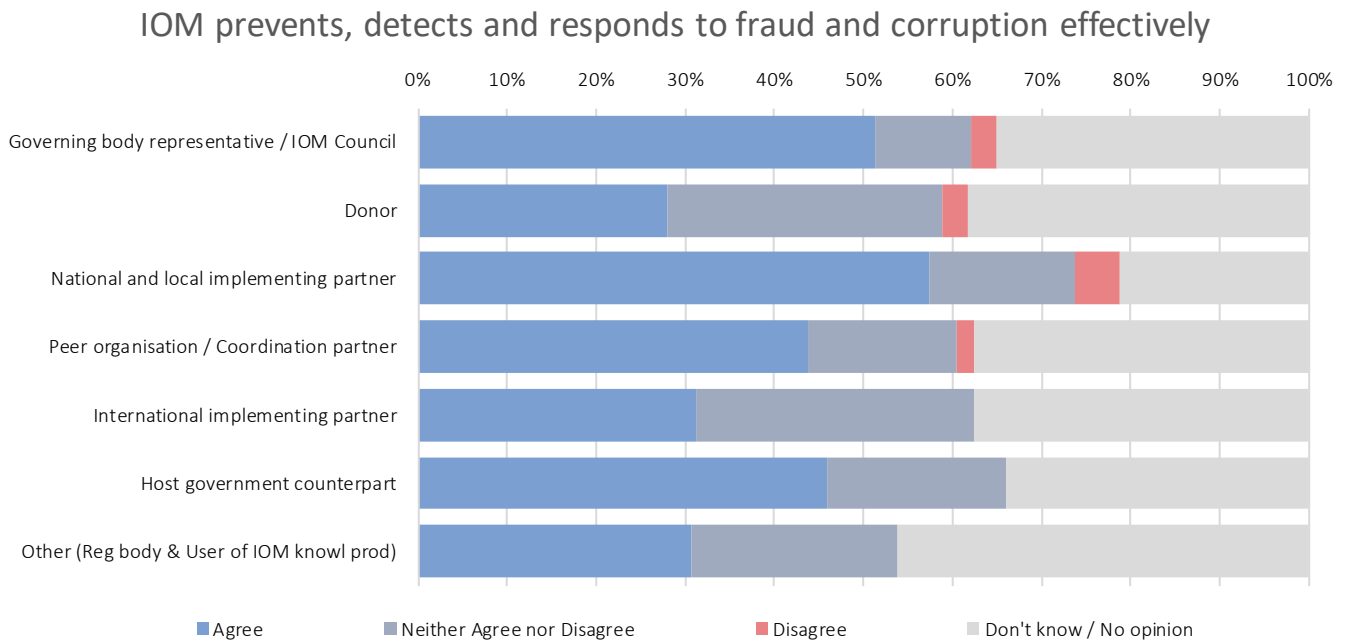


Figure 14. IOM provides value for money

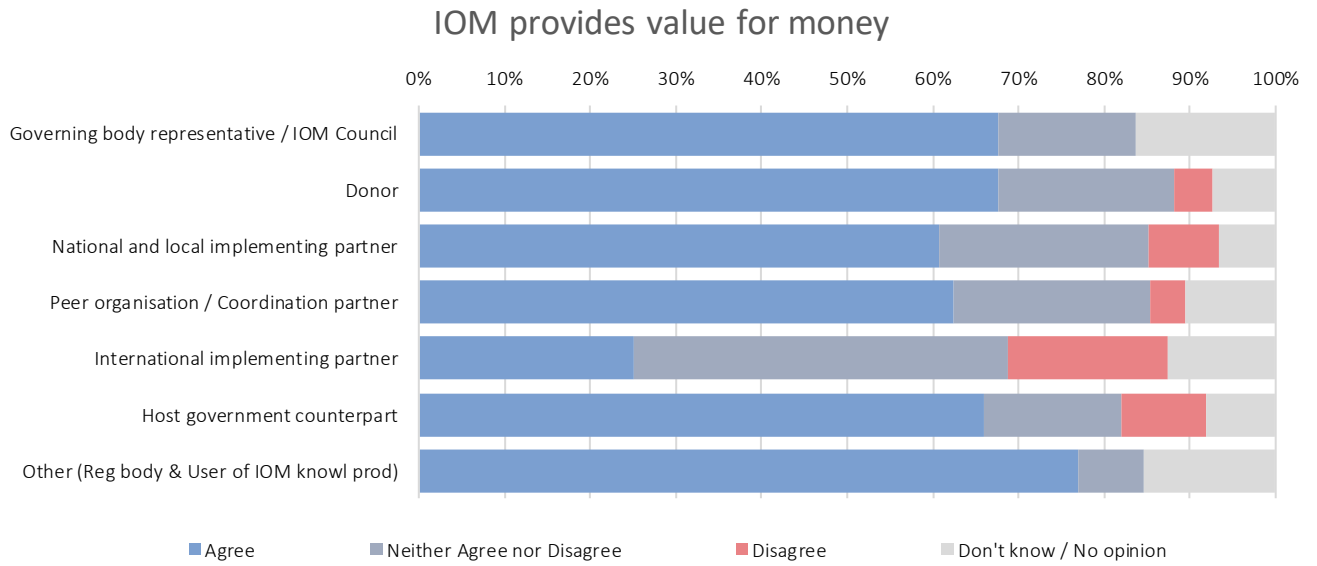


Figure 15. IOM manages information and data responsibly

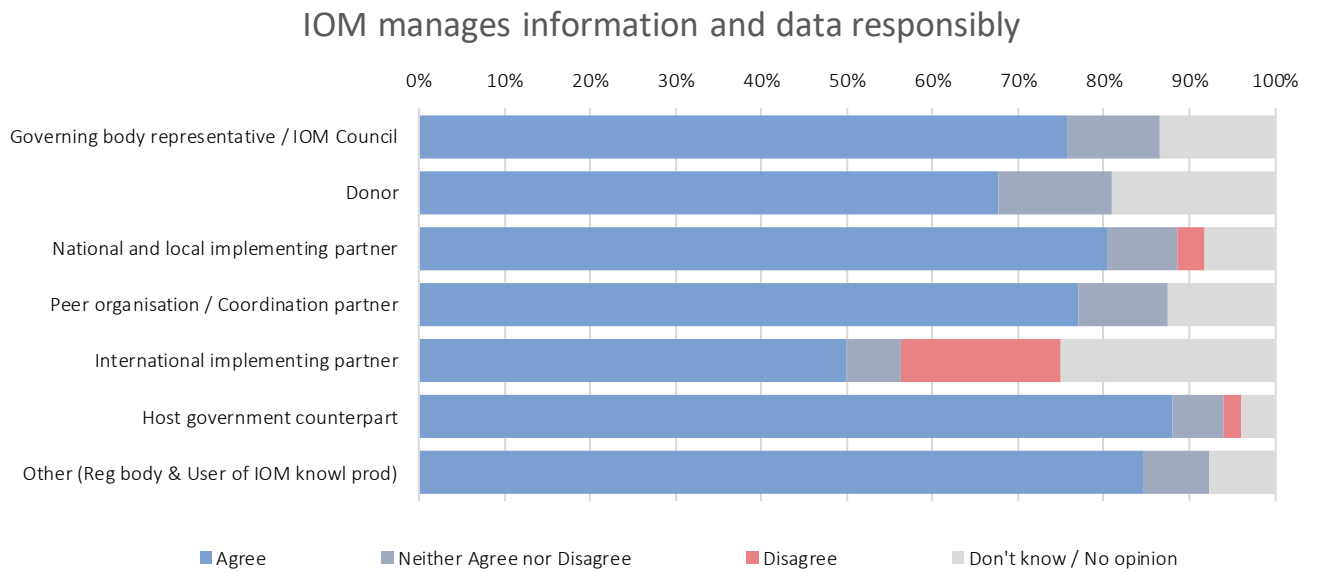
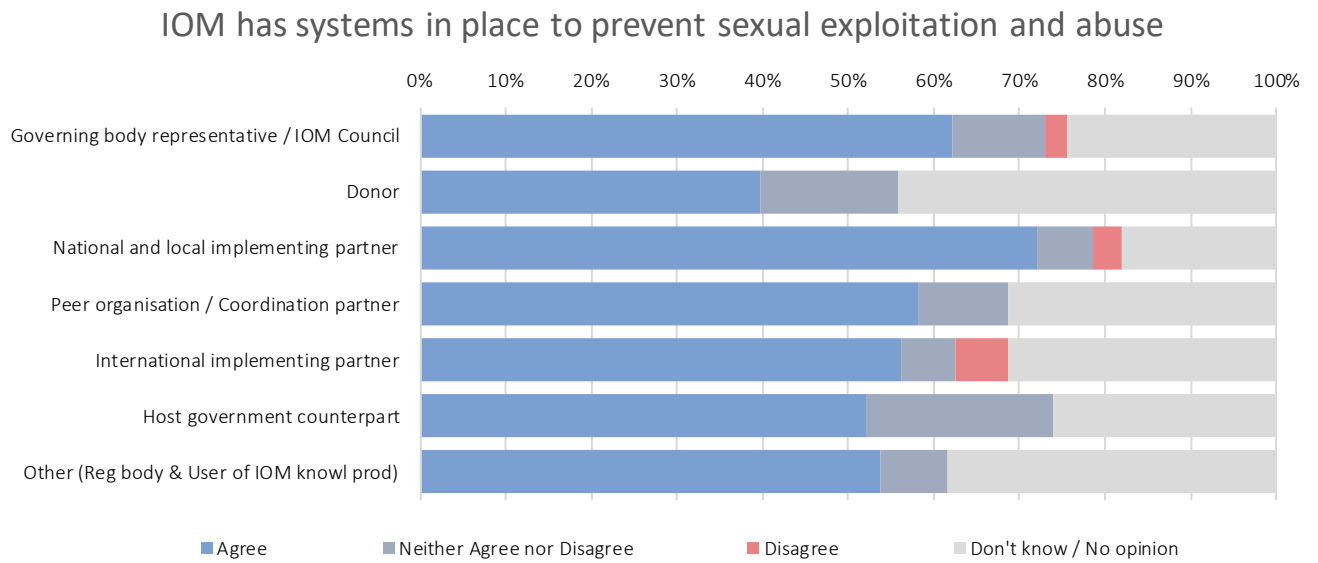


Figure 16. IOM has system in place to prevent sexual exploitation and abuse



COORDINATION

Figure 17. IOM programmes target people in the greatest need

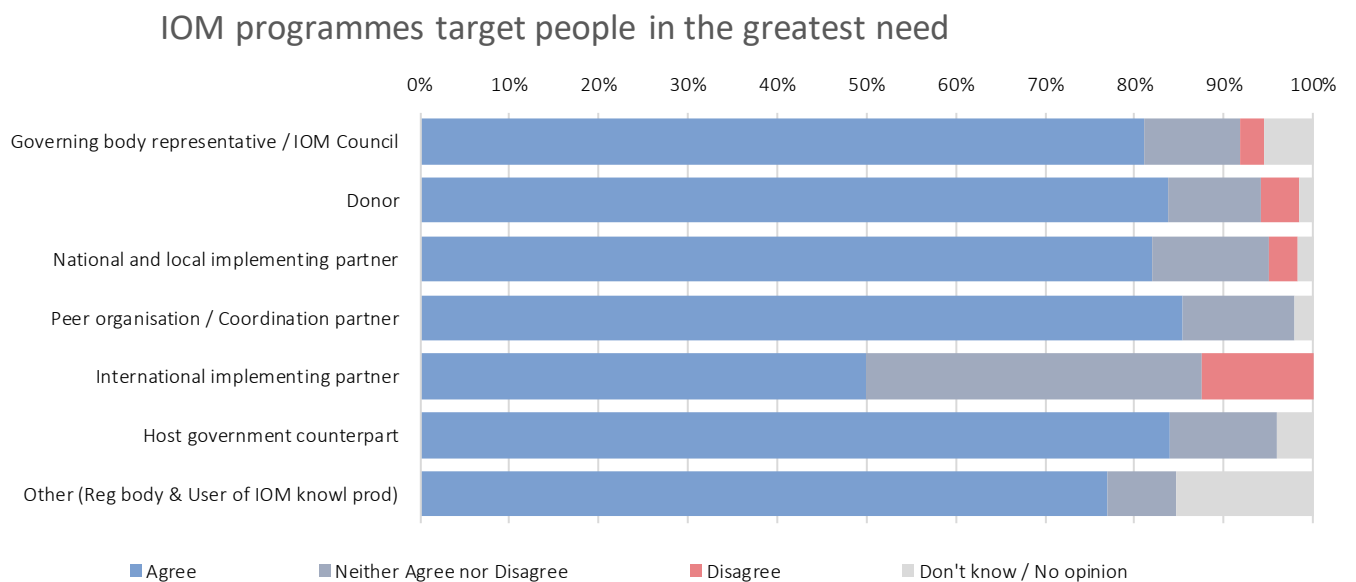


Figure 18. IOM makes sure its work avoids making conflict worse or doing harm

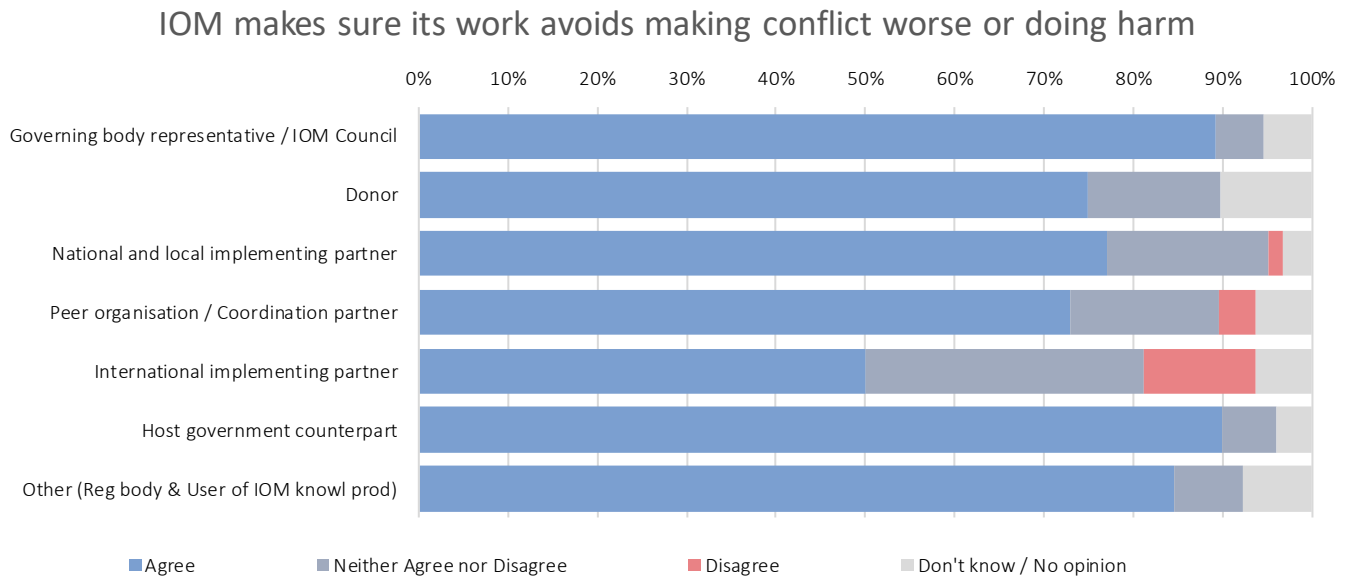


Figure 19. IOM participates actively in the humanitarian architecture and overall response

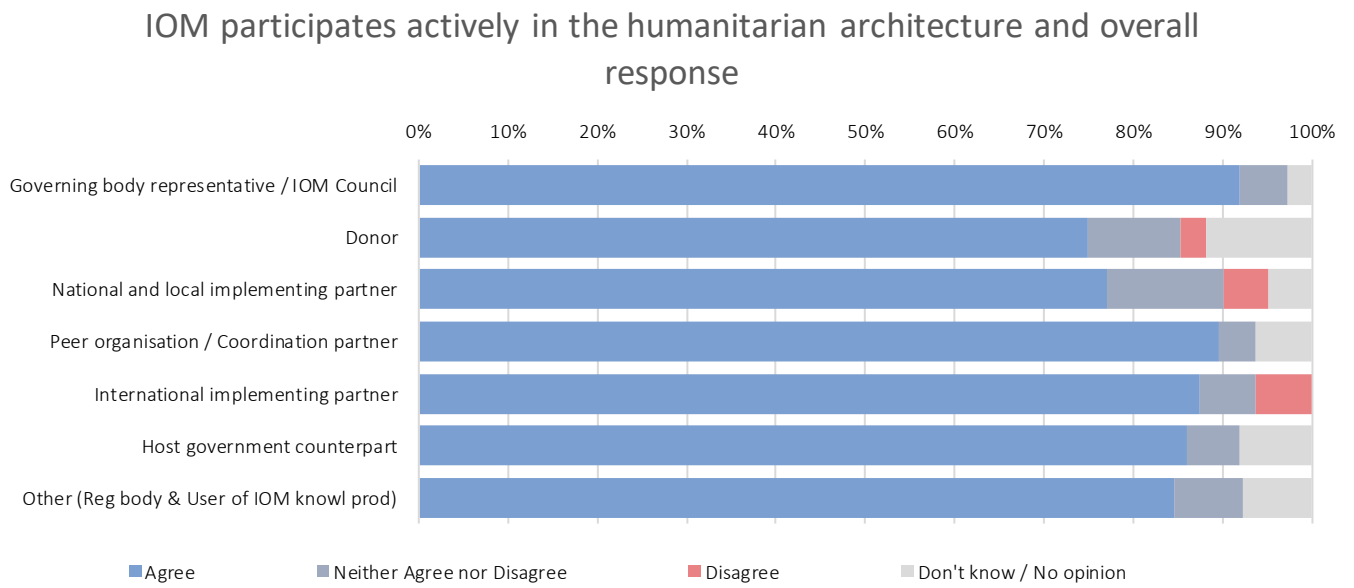


Figure 20. IOM has effective mechanisms to get feedback from affected populations

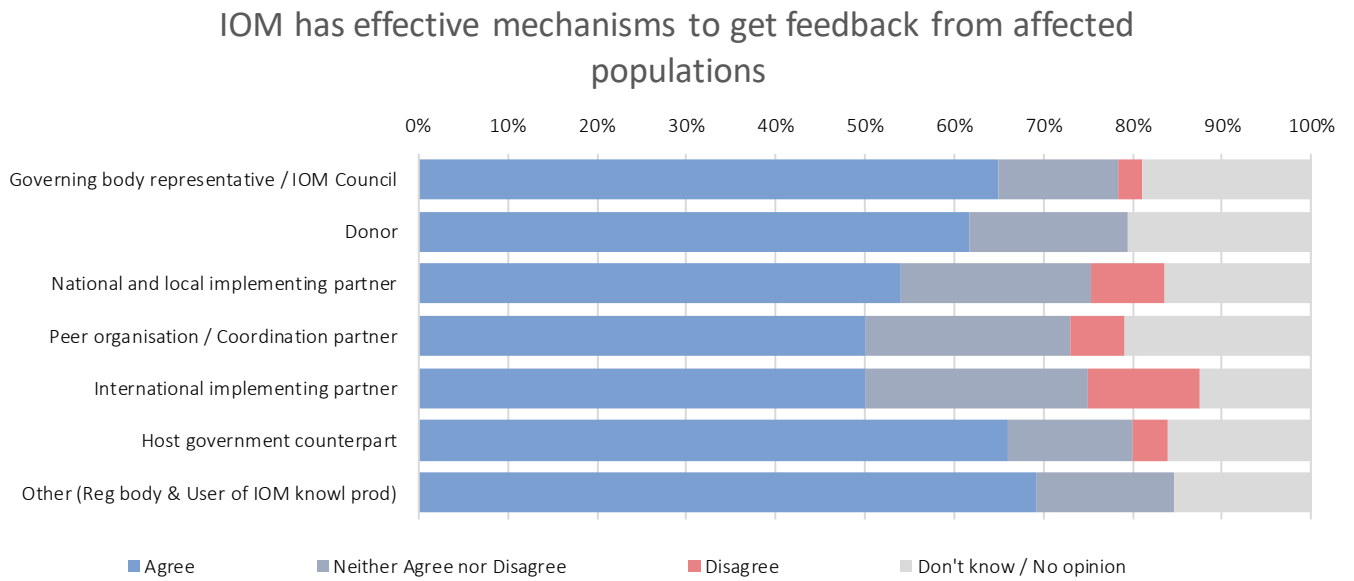


Figure 21. IOM ensures it is accountable to affected populations

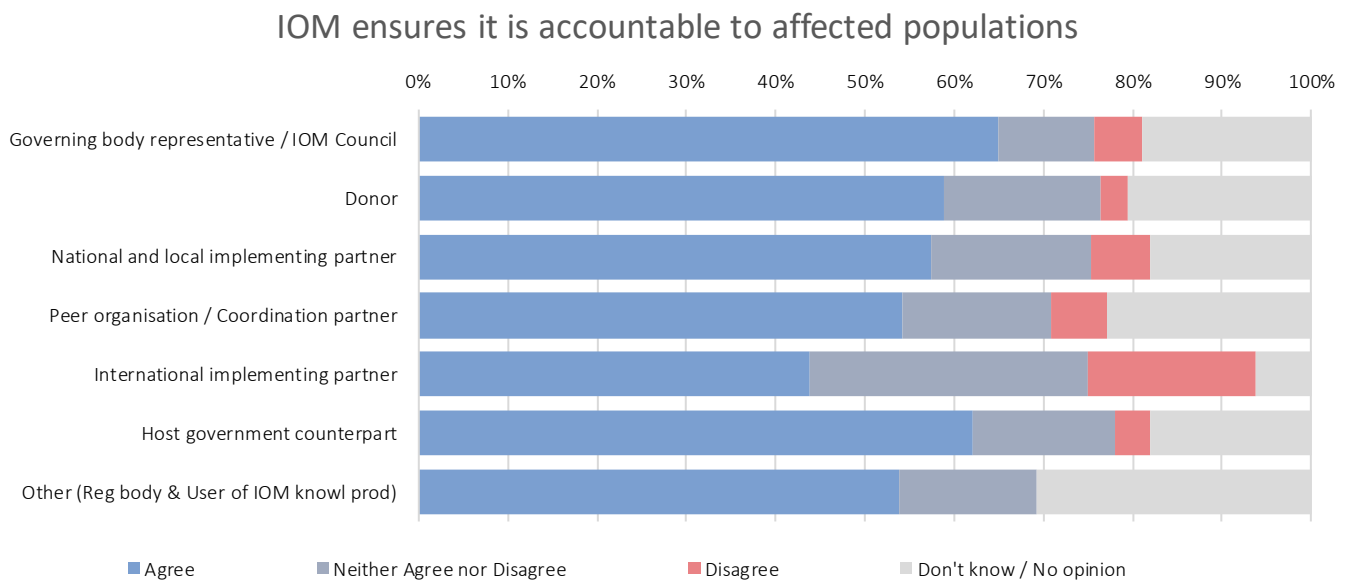


Figure 22. IOM ensures that affected populations participate in project design, development and implementation

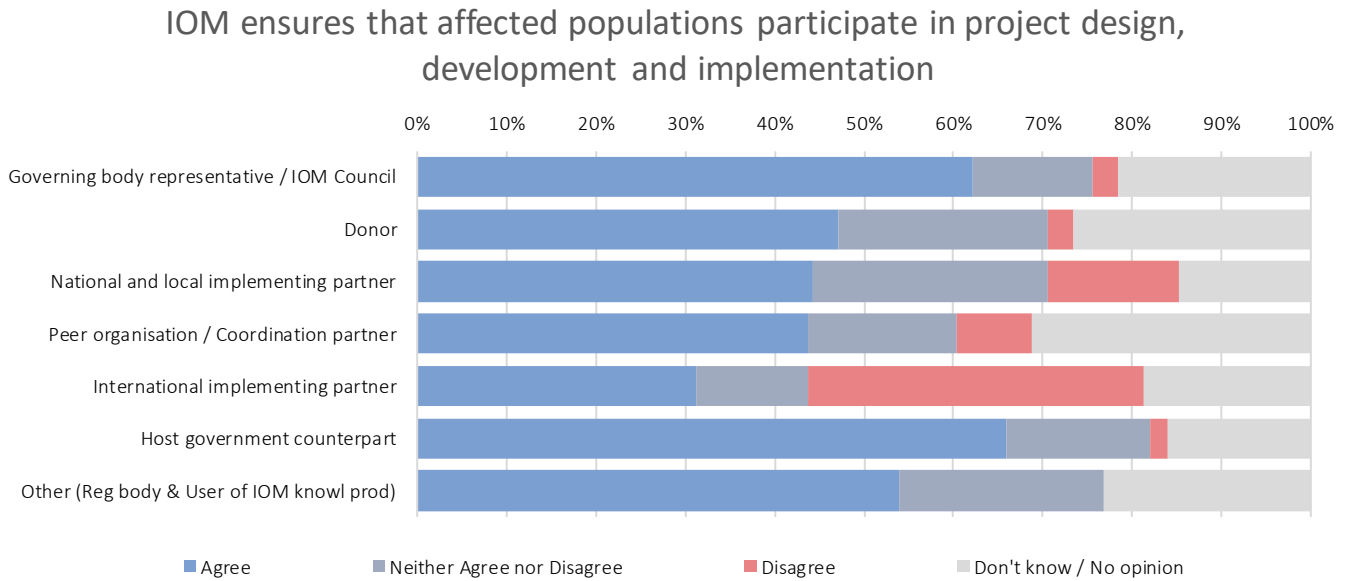


Figure 23 IOM is set up to work to support durable solutions for IDPs

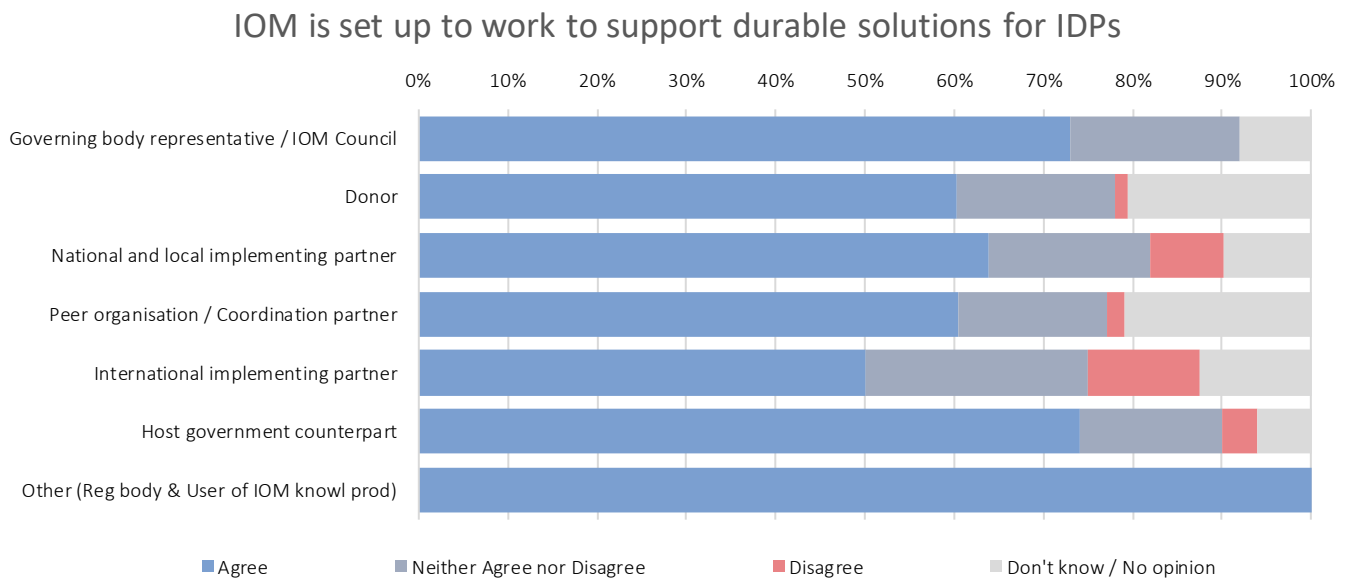
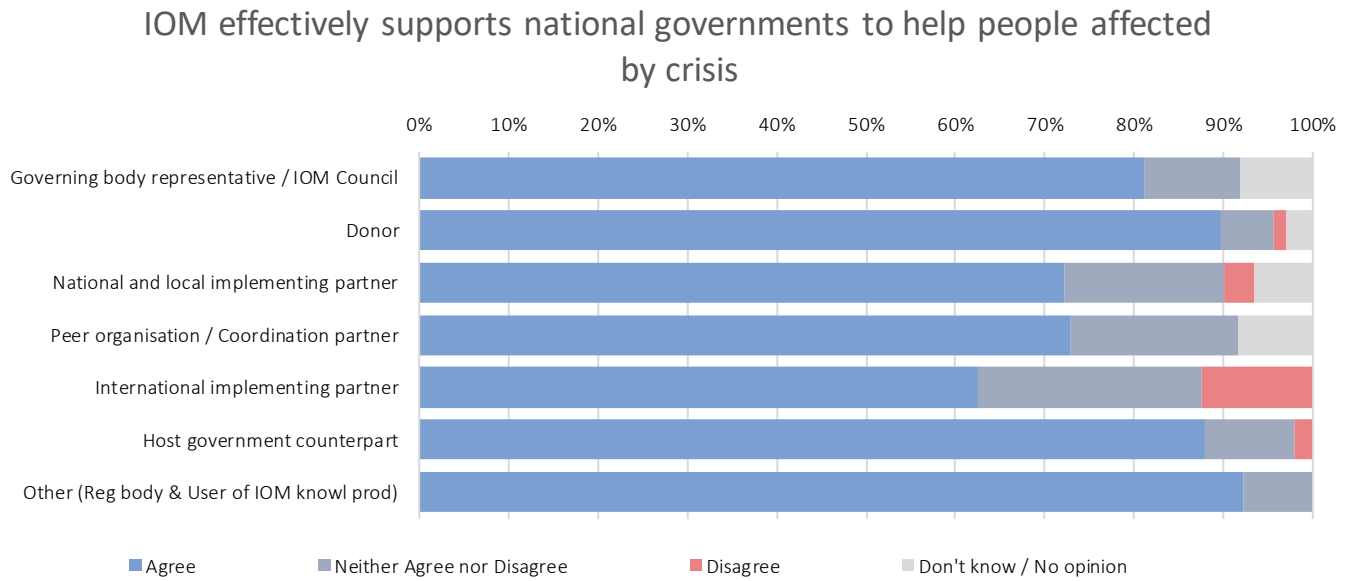


Figure 24. IOM effectively supports national governments to help people affected by crisis



MANAGING RELATIONSHIPS

Figure 25. Partnerships with IOM are respectful, constructive and rooted in equality

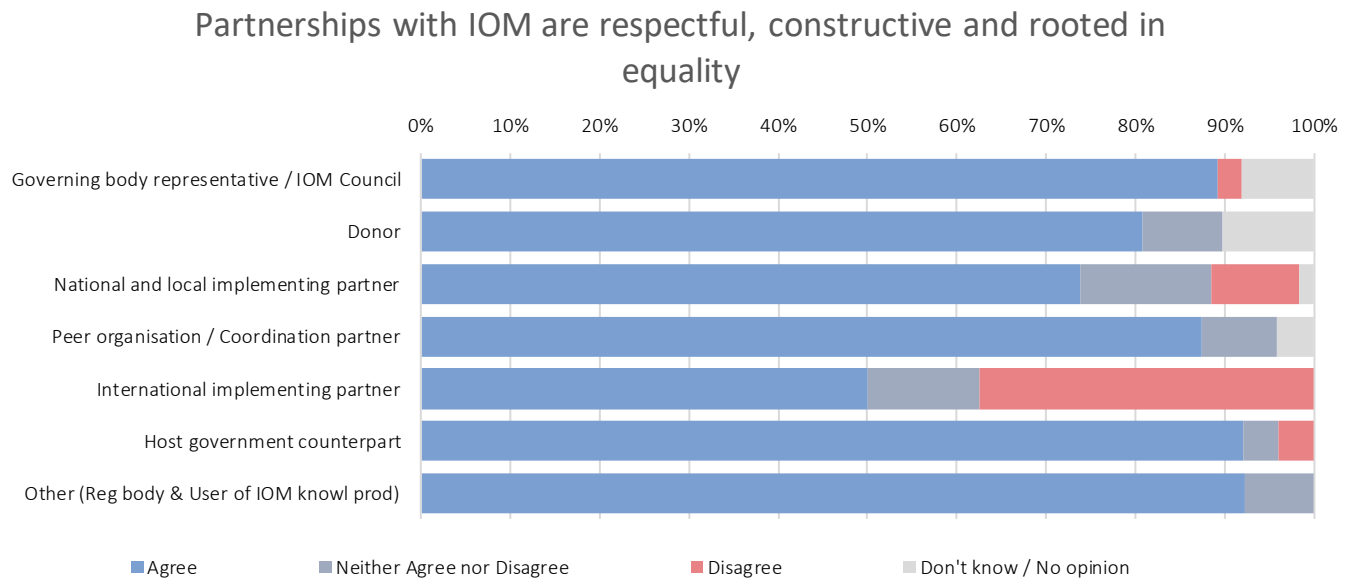


Figure 26. IOM's funding to partners allows for reasonable overhead costs

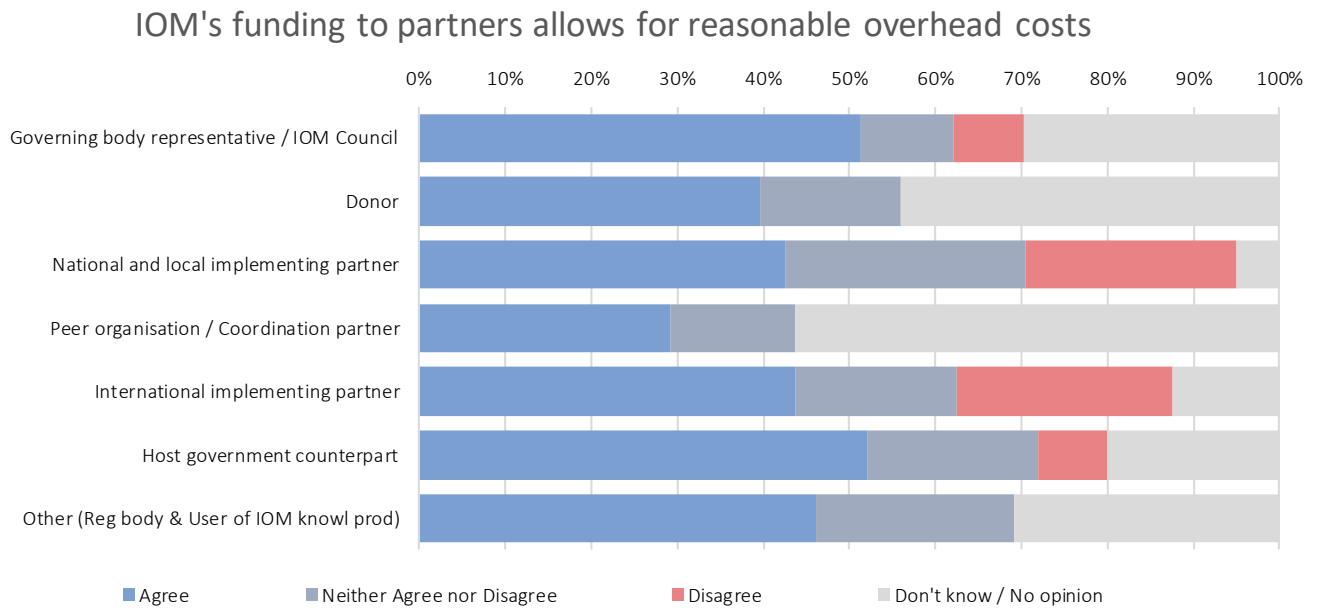


Figure 27. IOM's funding to partners is flexible, long-term and timely

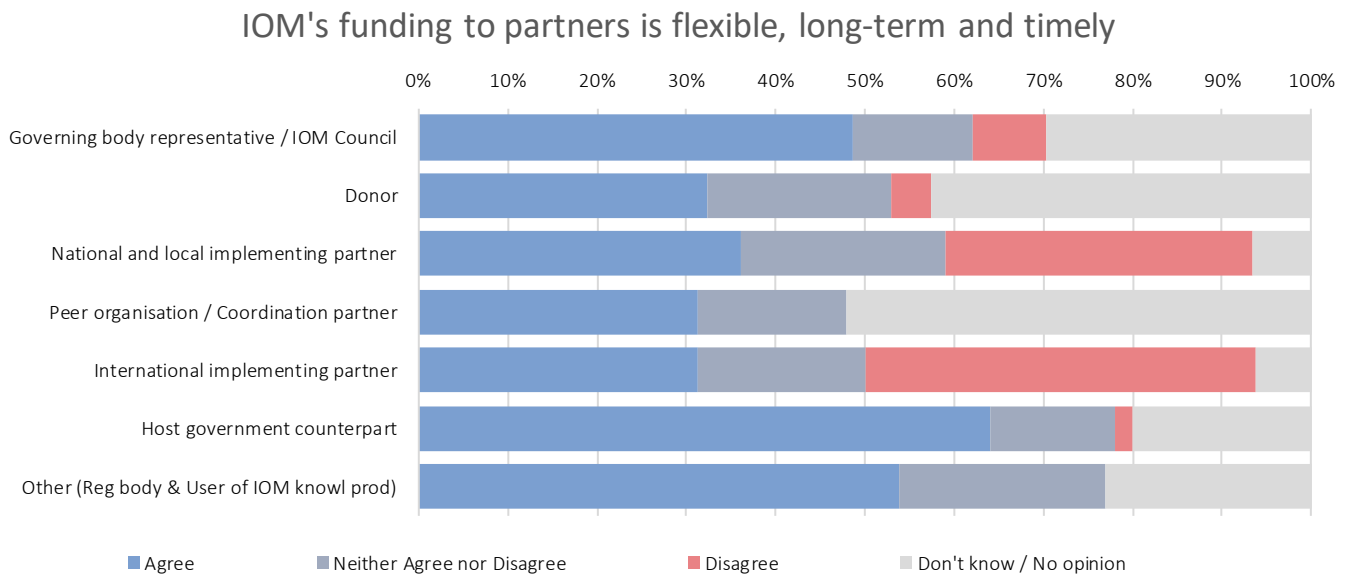


Figure 28. IOM actively builds the capacity of its local partners

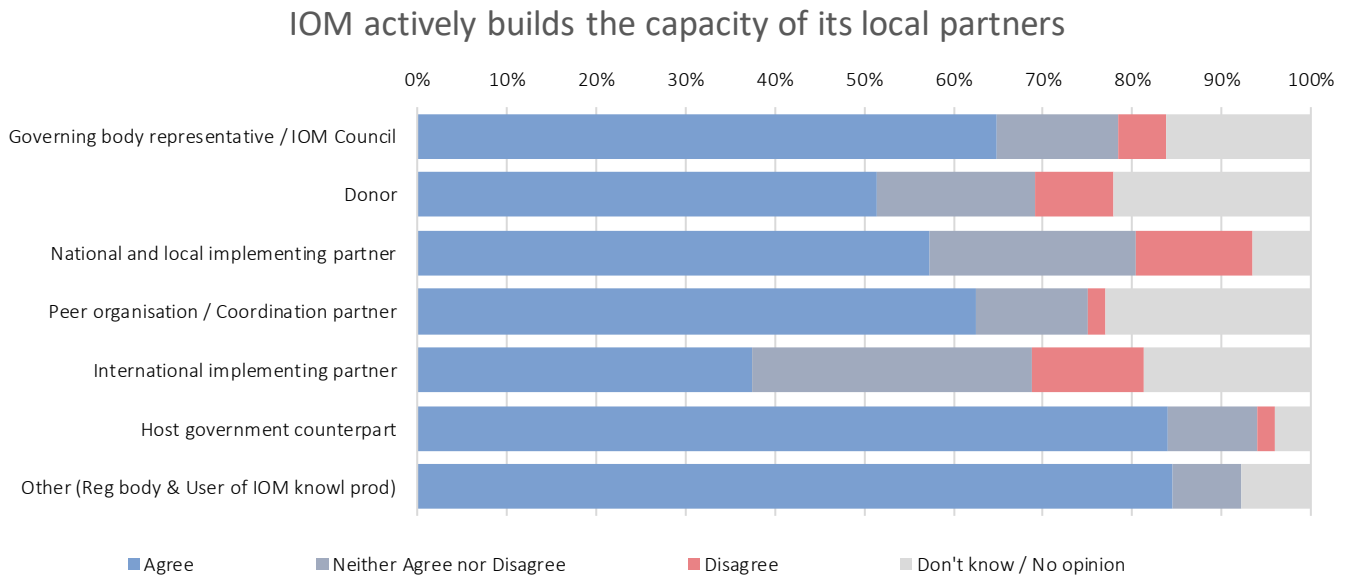


Figure 29. IOM shares risks with local partners in an ethical manner

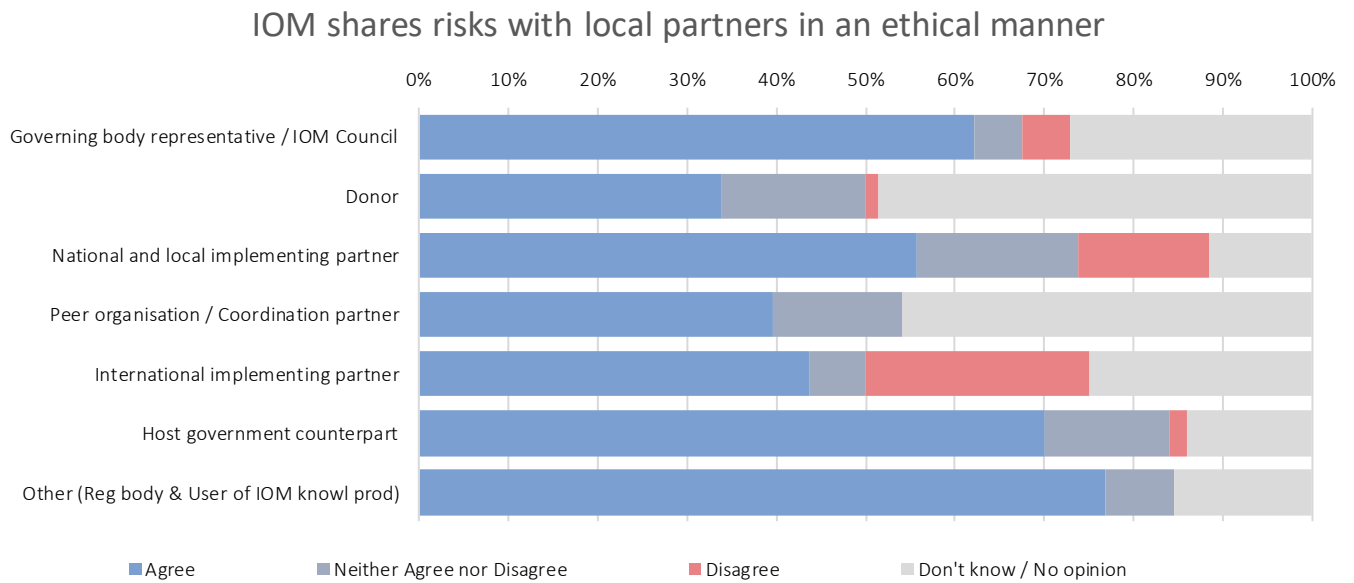


Figure 30. IOM has an effective approach to the humanitarian development peace nexus

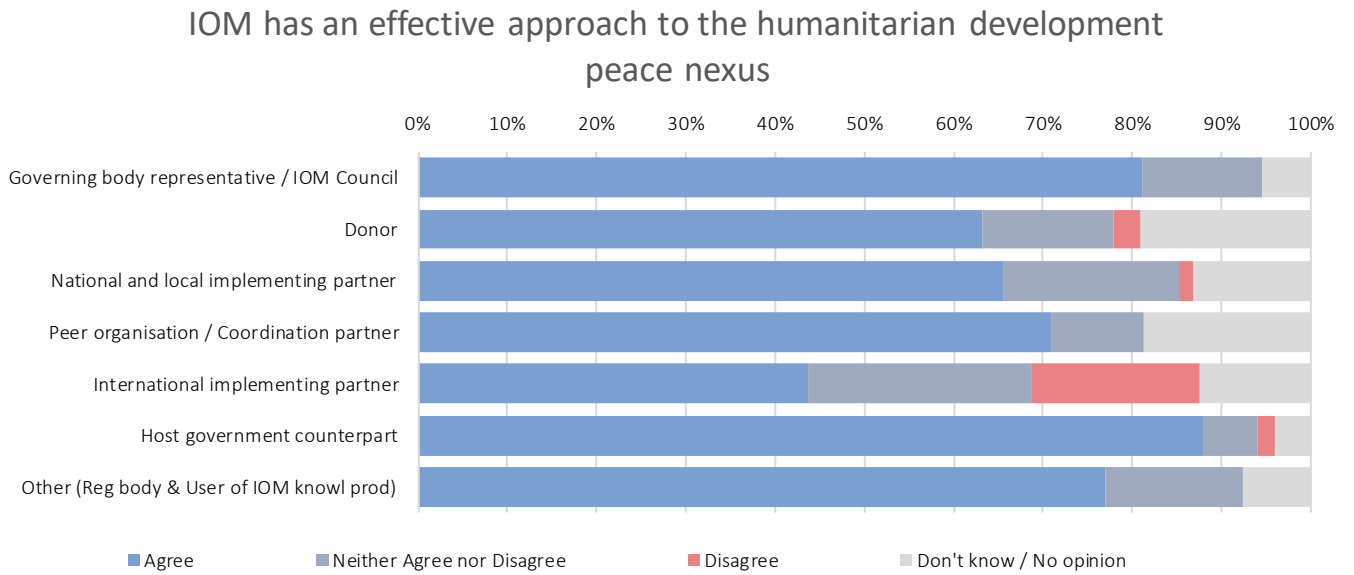
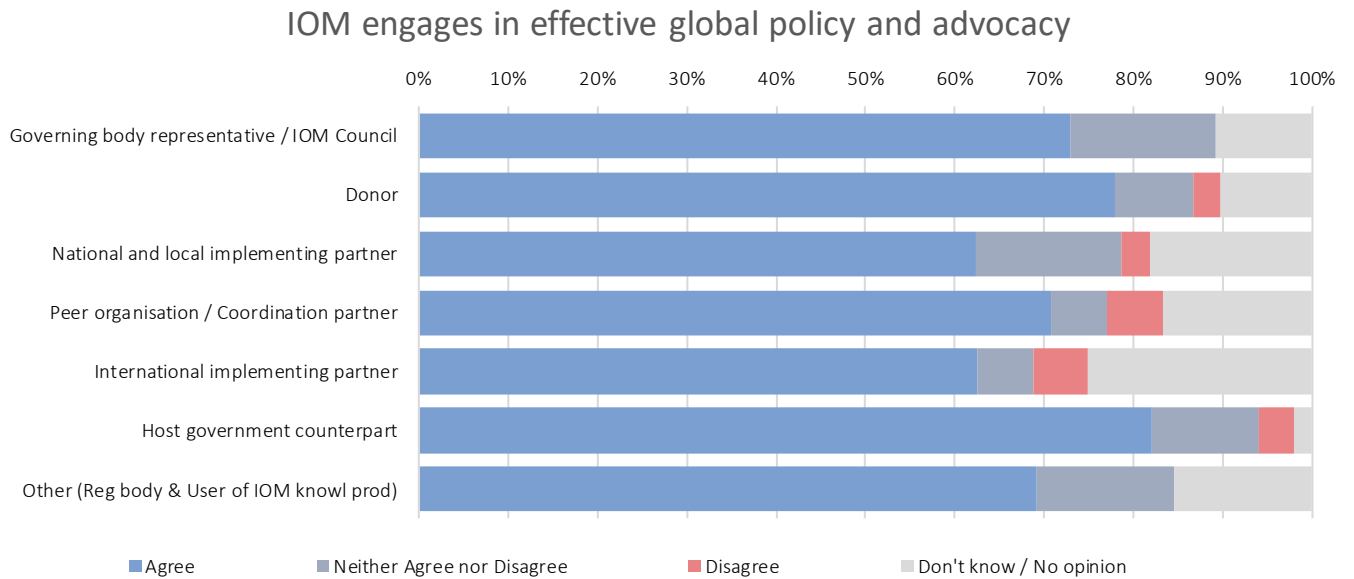


Figure 31. IOM engages in effective global policy and advocacy



PERFORMANCE MANAGEMENT

Figure 32. IOM communicates its results well

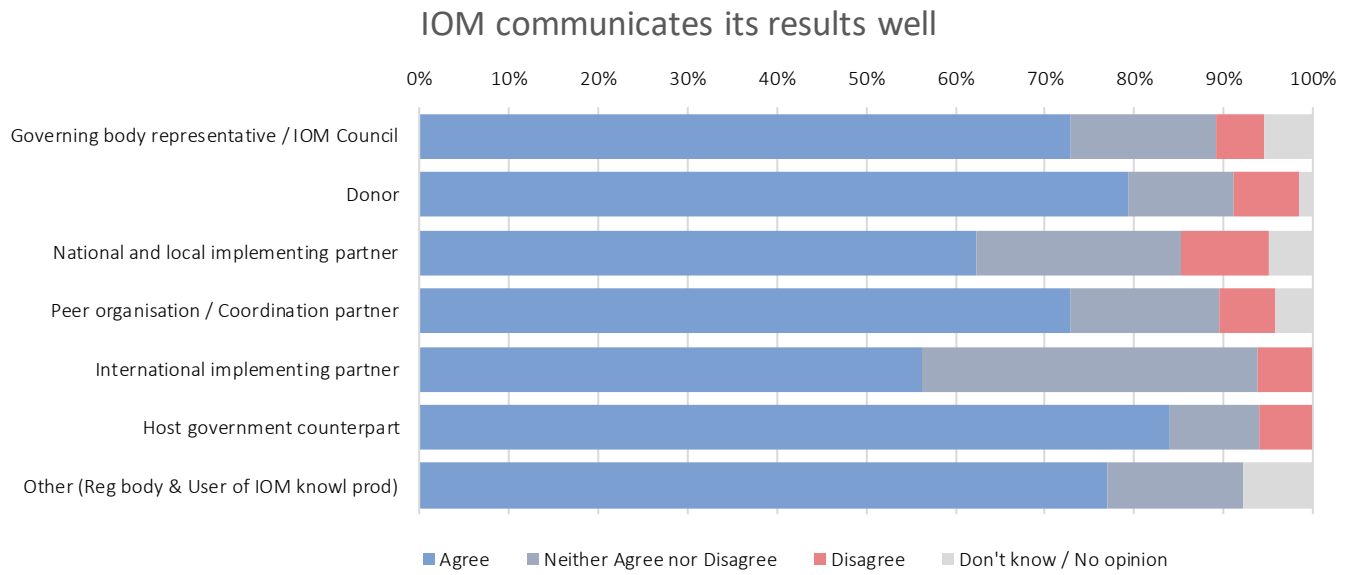


Figure 33. IOM reports on poorly performing programmes to enable it to learn lessons from its mistakes

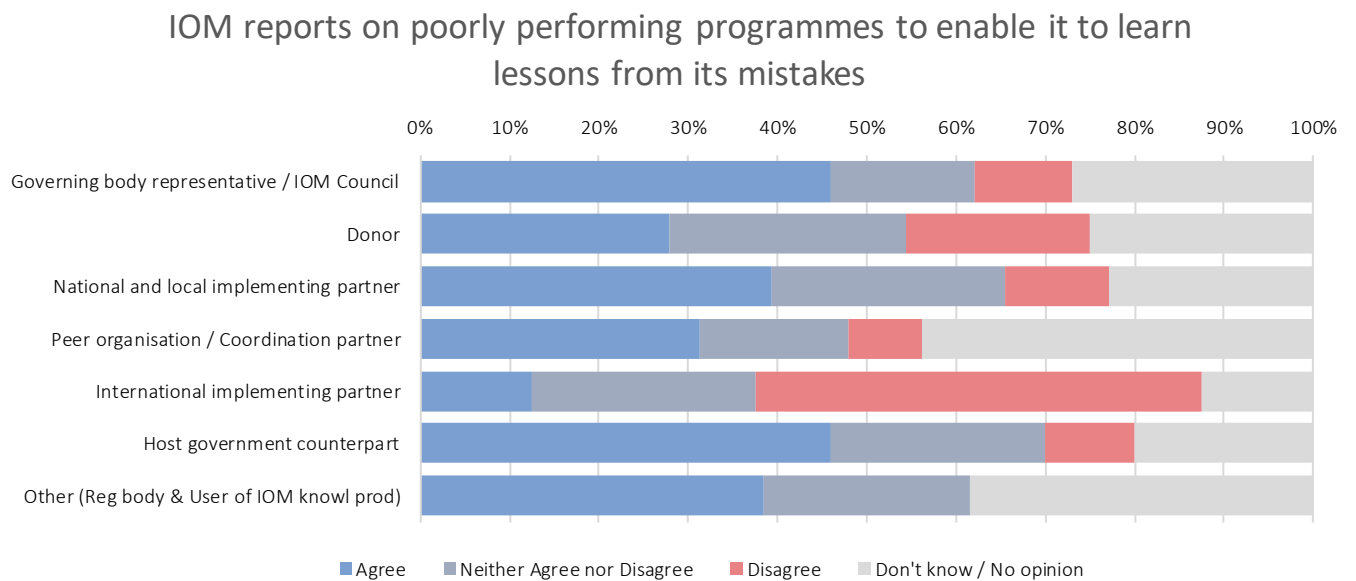


Figure 34. IOM is committed to independent evaluation of its performance to ensure accountability and learning

