MOPAN
2017-18 ASSESSMENTS

International Organization for Migration (IOM)

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Multilateral Organisation Performance Assessment Network

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Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 18 countries[1] that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the Common Approach, which the Network implemented from 2009 through 2014.

In 2017-18, MOPAN assessed 14 organisations, including the International Organization for Migration (IOM). The other 13 are:
- Asian Development Bank (ADB)
- Food and Agriculture Organization (FAO)
- Global Environment Facility (GEF)
- Global Partnership for Education (GPE)
- International Fund for Agricultural Development (IFAD)
- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations Population Fund (UNFPA)
- Office of the United Nations High Commissioner for Refugees (UNHCR)
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)
- World Food Program (WFP)
- World Health Organization (WHO)

Operating principles
MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

Objectives of the MOPAN methodology
MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

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1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom and the United States. MOPAN also has two observers, New Zealand and the United Arab Emirates.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation or analysis of ongoing organisational reform processes.

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Acronyms and abbreviations

ADB	Asian Development Bank
CCCM	Camp Coordination and Camp Management
CSO	Civil Society Organisation
EPPE	Expedited procedures for project endorsement
FAO	Food and Agriculture Organization
GCM	Global Compact for Migration
GEF	Global Environment Facility
GPE	Global Partnership for Education
GMDAC	Global Migration Data Analysis Centre
HR	Human resources
HQ	Headquarters
IASC	Inter-Agency Standing Committee
IATI	International Aid Transparency Initiative
IFAD	International Fund for Agricultural Development
IOM	International Organization for Migration
KPI	Key performance indicator
M&E	Monitoring and evaluation
MCOF	Migration Crisis Operational Framework
MEFM	Migration Emergency Funding Mechanism
MENA	Middle East and North Africa
MiGOF	Migration Governance Framework
MI	Micro-indicator
OHCHR	Office of the United Nations High Commissioner for Human Rights

OIG	Office of the Inspector General
PSEA	Protection from Sexual Exploitation and Abuse
RBM	Results-based management
SCPF	Standing Committee on Programmes and Finance
SEA	Sexual exploitation and abuse
SES	Staff Evaluation System
SHA	Sexual harassment and abuse
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UN-SWAP	UN System-wide Action Plan
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
WHO	World Health Organization
WFP	World Food Programme

Executive summary

In 2017-18, MOPAN, the Multilateral Organisation Performance Assessment Network, assessed the performance of the International Organization for Migration (IOM). The assessment looked at IOM's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieves against its objectives. This is the first MOPAN assessment of IOM.

CONTEXT

IOM's role in the international architecture has grown in prominence in recent years, as a result of increased migration volumes and greater international – and particularly political – attention to migration. While the organisation's accession to the United Nations (UN) system in 2016 offers opportunities in terms of strategic and operational engagement at country, regional and international levels, it also presents challenges related to the organisation's operating model and business practices. IOM's designated role as co-ordinator of the Global Migration Network and its engagement with the Global Compact for Migration reflect increasing recognition of its comparative advantages and expertise. However, early preparatory work in this more normative space placed a strain on an organisation whose operating model and financial framework are almost completely "projectised".

KEY FINDINGS

Overall the assessment finds that IOM stands at a crossroads. The organisation would benefit from embarking on a journey of institutional reform, 'refreshing' its institutional vision, and adapting its organisational systems, structures and capacities to emerging new demands. With accession to the UN system now bedding down and new leadership due in October 2018, management has opted for incremental internal adjustments until the future trajectory of the organisation is clear. New leadership will provide scope for a 'refreshed' strategy and associated internal restructuring. However, these changes will require the support of IOM's partners and particularly its donors, with an emphasis on more flexible, less projectised financing. In turn, the organisation will need to present a clear articulation of a strong strategic vision and improve the aspects of its operating model and business practice that lie within its control.

Many of IOM's core strengths, including its strong field presence, operationally focused business model, ways of working and mindset, and service-oriented ethos, position it well for the future. The assessment finds that IOM's areas of strength and weakness have remained largely the same since previous bilateral assessments were undertaken in 2015-16. However, it recognises internal performance improvements in certain areas, such as results-based management and risk.

The assessment identified three **strengths** of IOM:

1. IOM provides strong operational relevance and delivers tangible results for migration governance. A strong field presence helps to ensure that IOM's projects are designed and implemented in close co-ordination with country-level stakeholders and are closely aligned with national priorities for migration. Its interventions have delivered tangible improvements in migration governance for a wide range of stakeholders, helping to improve the enabling environment for migration and building national capacities for good migration governance. Its technical capacities and expertise are widely respected by partners.

2. IOM is highly agile and responsive. A decentralised structure and expedited and flexible project procedures enable IOM to respond swiftly and deliver assistance, in often difficult and challenging environments. This agility is highly valued by partners, who perceive IOM as a strongly proactive "can do" organisation, with the ability to adapt and adjust as conditions change.

3. IOM has a strong ethos of partnership. IOM works in close partnership with a wide range of stakeholders at national, regional and global levels. Its 2016 accession to the UN system formalised partnerships which were, in practice, already in place at many levels and provided it with a recognised status on the Inter-Agency Standing Committee. Its appointment as the co-ordinator of the Global Migration Network and its engagement in preparatory work for the Global Compact for Migration reflect its partnership-focused ethos and approach, which are highly valued by stakeholders. This ethos and practice will stand IOM in good stead, as it engages with partners more strategically within the international architecture.

The assessment also finds four major **areas for improvement:**

1. IOM requires a 'refreshed' strategic vision of the future. Over the recent period, the organisation's institutional energies and resources have been consumed by its recent accession to the UN system and the preparatory work required for the Global Compact for Migration and Global Migration Network. Its anticipated engagement in the international architecture going forward requires a clear, strategically focused and institutionally owned vision of its own future and associated goals, which is not currently articulated. New leadership in October 2018 offers the opportunity to take stock and to develop, in consultation with its partners, a 'refreshed' vision of "where to from here".

2. IOM's operating model and financial framework require reform. Linked to the lack of a clear strategic vision, the organisation's projectised operating model and financial framework are not currently fit to meet the demands of its changed role. Restructuring and reform are needed to ensure that the capacities of headquarters are sufficient to meet the demands of a more normatively- oriented global role, and to guarantee greater institutional co-ordination and coherence at all levels. IOM cannot achieve this alone; it will require the support of partners, particularly donors. However, IOM can assist this process by demonstrating a commitment to change, by clearly articulating a strong strategic vision, by improving its internal results reporting, and by addressing those dimensions of its operating model and business practice whose scope for reform lie within its control.

3. IOM's performance management systems are not yet mature. The organisation's performance management systems do not yet allow for the robust aggregation of results, and its results system and architecture suffer from organisational and technical limitations. Evaluation coverage is patchy and largely dependent on donor interest and provision of finance; and the evaluation function itself has limited independence. These limitations combined do not allow IOM to demonstrate robustly the aggregated effects of its interventions or, simply put, to convey "what it has achieved" as an organisation for migration. Institutional reforms are underway, with efforts to build a more rigorous results system and to improve the evaluation system and practice. However, these need to be closely linked to the development of a clear strategic vision and a revised operating model, if they are to function as a coherent part of a revised organisational architecture.

4. IOM needs more systematic and reliable mainstreaming of gender equality and of environmental sustainability and climate change. While IOM prioritises migration governance, human rights and to some extent protection in its operational activity, gender and environmental sustainability and climate change are still emerging agendas. The placement of the Protection from Sexual Exploitation and Abuse and Sexual Harassment and Abuse agendas within the institutional housing for gender has compromised attention to and resources for broader gender mainstreaming. The approach to environmental sustainability and climate change is conceptually mature, divided into environmental change, as it affects migration patterns, and organisational environmental sustainability, respectively, but the issue has only received attention relatively recently. In both areas, financial resources are very limited, and evaluations and reviews show limited evidence of tangible results. Greater attention to ensuring their embedding in operational activity, as well as stronger requirements for results reporting, are needed.

METHODS OF ANALYSIS

The assessment of performance covers IOM's headquarters and regional and country field presence. It addresses organisational systems, practices and behaviours, as well as results achieved during the period 2016 to mid-2018. It relies on three lines of evidence: a review of 92 documents, interviews with 44 staff members at IOM headquarters in Geneva carried out in June 2018 and 9 telephone interviews, and an online survey carried out among partners in 13 countries.

The MOPAN 3.0 methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. The Netherlands and Sweden acted as the institutional lead countries, representing MOPAN members in this assessment process.

IOM PERFORMANCE RATING SUMMARY (2017-18)

Organisational Performance

Strategic management
- 1. Organisational architecture and financial framework
  - 1.1 Long-term vision
  - 1.2 Organisational architecture
  - 1.3 Support normative frameworks
  - 1.4 Financial frameworks
- 2. Cross-cutting issues
  - 2.1a Gender
  - 2.1b Environment
  - 2.1c Good governance
  - 2.1d Human rights
  - 2.1e Protection

Operational management
- 3. Operating model and resources support, relevance and agility
  - 3.1 Resources aligned to function
  - 3.2 Resource mobilisation
  - 3.3 Decentralised decision making
  - 3.4 Performance-based human resources
- 4. Cost and value consciousness, financial transparency
  - 4.1 Decision making
  - 4.2 Disbursement
  - 4.3 Results-based budgeting
  - 4.4 International audit standards
  - 4.5 Control mechanisms
  - 4.6 Anti-fraud procedures

Relationship management
- 5. Operational planning and intervention design support, relevance and agility
  - 5.1 Alignment
  - 5.2 Context analysis
  - 5.3 Capacity analysis
  - 5.4 Risk management
  - 5.5 Cross cutting
  - 5.6 Sustainability
  - 5.7 Implementation speed
- 6. Works in coherent partnerships
  - 6.1 Agility
  - 6.2 Comparative advantage
  - 6.3 Use country systems
  - 6.4 Synergies
  - 6.5 Partner co-ordination
  - 6.6 Information sharing
  - 6.7 Accountability to beneficiaries
  - 6.8 Joint assessments
  - 6.9 Knowledge

Performance management
- 7. Strong and transparent results focus, explicity geared to function
  - 7.1 RBM applied
  - 7.2 RBM in strategies
  - 7.3 Evidence-based targets
  - 7.4 Effective monitoring systems
  - 7.5 Performance data applied
- 8. Evidence-based planning and programming applied
  - 8.1 Evaluation function
  - 8.2 Evaluation coverage
  - 8.3 Evaluation quality
  - 8.4 Evidence-based design
  - 8.5 Poor performance tracked
  - 8.6 Follow-up systems
  - 8.7 Uptake of lessons

Results
- 9. Achievement of results
  - 9.1 Results attained
  - 9.2 Benefit target groups
  - 9.3 Impact
  - 9.4 Gender
  - 9.5 Environment
  - 9.6 Governance
  - 9.7 Human rights
- 10. Relevance to partners
  - 10.1 Target groups
  - 10.2 National objectives
  - 10.3 Coherence
- 11. Efficient delivery
  - 11.1 Cost efficiency
  - 11.2 Timeliness
- 12. Sustainability
  - 12.1 Sustainable benefits
  - 12.2 Sustainable capacity
  - 12.3 Enabling environment

Key

- Highly satisfactory (3.01-4)
- Satisfactory (2.01-3)
- Unsatisfactory (1.01-2)
- Highly unsatisfactory (0-1)

Micro-indicator

Key Performance Indicator

1. INTRODUCTION

Chapter 1. Introduction

1.1. STRUCTURE OF THE REPORT

This report has three chapters and three annexes. Chapter 1 introduces the International Organization for Migration (IOM) and the MOPAN 3.0 assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

1.2. IOM AT A GLANCE

Mission and mandate: Established in 1951, IOM is an intergovernmental organisation dedicated to promoting humane and orderly migration for the benefit of all. According to its Constitution (1951), the purposes and functions of IOM are, where relevant and requested by states or the international community, (i) to support the organised transfer of migrants[2] and, where relevant, refugees, displaced persons and other individuals; (ii) to provide migration-related services such as recruitment, selection, processing, language training, orientation activities, medical examination and so on; (iii) to support voluntary return by providing migration/voluntary repatriation services; and (iv) to provide a forum for the exchange of views and experiences and the promotion of co-operation and co-ordination of efforts on international migration issues.

IOM is committed to the principle that humane and orderly migration benefits migrants and society.[3] Its partners consist of governments, regional bodies, the international community and a wide range of other stakeholders. It works in four key areas to deliver on its Constitution: (i) assisting states and the international community to meet the growing operational challenges of migration management; (ii) advancing understanding of migration issues; (iii) encouraging social and economic development through migration; and (iv) upholding the human dignity and well-being of migrants. IOM became a UN-related organisation in September 2016.

Governance: IOM has 173 member states and a further 8 countries hold observer status. The organisation operates under the guidance of these states. Its highest authority and main governing body is the Council, which meets in regular session once a year and in special sessions as required. The Council determines IOM's policies, programmes and activities; reviews its reports; and reviews and approves its programme, budget, expenditure and accounts. The Standing Committee on Programmes and Finance (SCPF) is a subcommittee of the Council which is open to the entire IOM membership and usually meets twice a year. It examines and reviews policies, programmes and activities; discusses administrative, financial and budgetary matters; and considers any matter specifically referred to it by the Council. Extraordinary meetings are held when required.

Organisational structure: Headquartered in Geneva, IOM's structure is highly decentralised with 97% of the organisation's 11 000 staff members (as of December 2017) based in 412 field locations. Its field structure consists of 9 regional offices, 2 administrative centres (Manila and Panama), 2 special liaison offices (Addis Ababa and New York), 9 country offices responsible for resource mobilisation and co-ordinating functions, the Global Migration Data Analysis Centre (GMDAC) in Berlin, and (as of September 2018), 393 field offices including country offices and sub-offices. The Director-General and the Deputy Director-General are independently elected by the Council for a period of 5 years. New leadership was elected in June 2018.

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2. The term "migrants" as applied in this assessment refers to all mobile populations, including displaced persons.
3. See www.iom.int/about-iom.

Strategy: IOM's mission sets out the organisation's strategic focus. It consists of 12 areas that reflect its purpose and functions. These are:

1. providing secure, reliable, flexible and cost-effective services for persons who require international migration assistance
2. enhancing the humane and orderly management of migration
3. offering expert advice, research, technical co-operation and operational assistance to stakeholders
4. providing research, dialogue, design and implementation of migration-related programmes
5. helping to address the challenges of irregular migration
6. acting as a primary reference point for migration information, research, best practices, data collection, compatibility and sharing
7. promoting, facilitating and supporting the regional and global debate and dialogue on migration
8. assisting states to facilitate the integration of migrants into their new environment and to engage with diasporas
9. participating in co-ordinated humanitarian responses which concern migration
10. undertaking programmes that facilitate the voluntary return and reintegration of refugees, displaced persons, migrants and others
11. assisting states in the development and delivery of programmes, studies and technical expertise on combating migrant smuggling and trafficking
12. supporting states in efforts on labour migration.

IOM's Migration Governance Framework (MiGOF) was endorsed by the Council in November 2015. It provides the overall framework for IOM's engagement, planning and reporting on migration issues; it does not include intended corporate results. The Migration Governance Framework "sets out the essential elements to support planned and well managed migration". It comprises three principles and three objectives:

Principles:
1. Good migration governance requires adherence to international standards and the fulfilment of migrants' rights.
2. Migration and related policies are best formulated using evidence and whole-of-government approaches.
3. Good migration governance relies on strong partnerships.

Objectives:
1. Good migration governance and related policy should seek to advance the socioeconomic well-being of migrants and society.
2. Good migration governance is based on effective responses to the mobility dimensions of crises.
3. Migration should take place in a safe, orderly and dignified manner.

In order to implement the MiGOF and realise its mission, IOM works operationally in four broad areas of migration management: migration and development, facilitating migration, regulating migration, and forced migration. The organisation also undertakes activities that cut across these areas including the promotion of international migration law, policy debate and guidance, protection of migrants' rights, migration health, and the gender dimension of migration. The vast bulk of its work takes place at the field level and is implemented through specific projects funded through dedicated donor contributions. IOM mostly implements its own projects rather than operating through subcontracting arrangements with partners.

In 2018, on behalf of the international community, IOM was appointed co-ordinator of the Global Migration Network[4] under the Global Compact for Migration (adopted by the international community in December 2018), for which the organisation had already strongly engaged in strong preparatory work.

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4. See the Global Compact for Safe, Orderly and Regular Migration, Intergovernmentally Negotiated and Agreed Outcome, 13 July 2018, at https://refugeesmigrants.un.org/sites/default/files/180713_agreed_outcome_global_compact_for_migration.pdf.

Finances: In both 2016 and 2017, IOM's combined revenue, including assessed and voluntary contributions, was approximately USD 1.6 billion.[5] However, the organisation is highly dependent on voluntary contributions, with assessed contributions providing just 3% of the administrative part of the budget (totalling USD 49.5 million in 2017).

Almost all (99%) of IOM's operational financing is earmarked for specific projects and initiatives. In 2017, the organisation received USD 1.54 billion from member states and other donors in earmarked contributions for the operational part of the budget, USD 14.9 million in unearmarked voluntary contributions and USD 5.8 million in other unearmarked income. This high level of earmarking severely limits the organisation's financial flexibility and ability to undertake organisational development initiatives. In recent years, efforts to actively fundraise for dedicated internal reform projects have resulted in unearmarked contributions from donors such as the Netherlands, Sweden, the United Kingdom and the United States. These have enabled the implementation of a number of corporate reform initiatives. However, these resources – referred to as "gold dust" by staff – are minimal compared to the bulk of IOM's earmarked financing. Private sector resources are also limited, with just USD 4 million provided in 2017. Resource raising is conducted both by headquarters and country missions, and also through dedicated humanitarian appeals for crisis situations.

Organisational change initiatives: IOM's last corporate structural reform initiative was undertaken in 2010. This sought to revise and consolidate operations and resources at field level and improve coherence at headquarters. In particular, it aimed to rationalise functions between regional offices and headquarters, for example by delocalising back office functions to Manila and Panama, with associated cost reductions.

IOM's 2016 accession to the United Nations (UN) has had significant implications for its organisational systems and business practice. While operationally the organisation had functioned as a de facto member of UN teams and co-ordination mechanisms at many levels, formal accession has required considerable adjustment in internal systems and mechanisms and has consumed considerable levels of institutional energy and resources.

In recent years, IOM has implemented a number of smaller-scale reforms, such as a results-based management corporate change initiative, and has refined its risk management systems. However, major corporate restructuring has been on hold pending the 2016 UN accession and the arrival of new leadership in 2018.

1.3. THE ASSESSMENT PROCESS

Assessment framework
This MOPAN 3.0 assessment covers the period from 2016 to mid-2018 in line with the MOPAN 3.0 methodology, which can be found on MOPAN's website.[7] The assessment addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 2. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area relates to effectiveness of development, humanitarian and normative work, and comprises four KPIs.

The MOPAN 3.0 indicator framework was developed by MOPAN's Technical Working Group, and draws on international standards and reference points, as described in Annex C of the Methodology Manual.

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5. In 2017, IOM received USD 1.615 billion, representing a slight decrease of USD 900 000 compared to the 2016 total revenue of USD 1.616 billion .
7. MOPAN 3.0 Methodology Manual, 2017-18 Assessment Cycle, www.mopanonline.org/ourwork/ourapproachmopan30.

Box 1: Preventing sexual exploitation, abuse and harassment[6]

Two factors increase the risk of abuses of power within IOM projects. As a direct project implementer, IOM deals directly with beneficiaries at field level, many of whom are highly vulnerable. It also has a large number of staff, many working on temporary contracts. According to management information, IOM has put in place a number of systems and mechanisms to safeguard against these risks, prevent sexual exploitation and abuse, and combat sexual harassment. These include the following:

● Policy frameworks: IOM has clear policy and procedures in place for preventing and responding to sexual exploitation and abuse (SEA), which staff at all levels of operation are expected to apply. Contracts between IOM and contactors include a clause on the prevention of SEA, and non-compliance constitutes grounds for termination of contract. According to management information, the organisation adopts a zero tolerance policy to sexual exploitation and abuse by IOM staff members, employees or contractors.

● Training and awareness-raising: Protection from Sexual Exploitation and Abuse (PSEA) training is compulsory for all staff members as part of IOM's induction package. Staff members are also required to undertake compulsory Ethics e-learning and PSEA awareness-raising courses. A PSEA toolkit and training were rolled out in 2017 to support in-country PSEA networks and UN Humanitarian Country Teams.

● Reporting: Reporting lines are clear with reporting taking place to PSEA focal points in-country or the Ethics and Conduct Office at headquarters. Reporting forms are available on line. The Ethics and Conduct Office manages an internal complaints system that tracks and monitors referrals regarding allegations of misconduct (including SEA) made to the Office of the Inspector General, which undertakes investigations. Referrals are made to national authorities as appropriate.

● Accountability: At the field level and headquarters, chiefs of missions and staff members with managerial responsibilities have a performance indicator linked to their effectiveness on PSEA actions in their internal appraisal system. At the corporate level, IOM's Organisational Effectiveness performance framework also has an indicator on SEA conduct.

● Disciplinary measures: Disciplinary measures are in place for use against any staff member found to have violated the policy and procedures, as well as safeguards to ensure non-retaliation. Support measures are also in place for complainants as required.

In practice, however, IOM's Ethics and Conduct Office has limited staffing, in common with most headquarters functions, and lacks capacity to follow up on all complaints received. Staff also indicated that, given the highly decentralised nature of the organisation and its heavy reliance on short-term contracted staff, the possibility of significant under-reporting cannot be excluded. While it has rigorous procedures in place, IOM is therefore not fully insulated from the pervasiveness of sexual exploitation and abuse within the humanitarian and development sectors.

Going forward, to avoid reputational damage, new leadership will need to take a strong stance on IOM's lack of tolerance for sexual exploitation, abuse and harassment. Additional corporate resources will also be required to ensure that organisational capacity is sufficient to follow through on implementation of IOM's comparatively robust policies and procedures.

6. The 2017-18 MOPAN assessment does not assess IOM's performance with regard to preventing sexual exploitation and abuse and sexual harassment (SEAH). This topic may become an area of assessment in future cycles. In the meantime, the assessment team simply collected key facts related to SEAH safeguarding as self-reported by the organisation, but it did not verify the actual implementation of the instruments outlined by the organisation. The assessment relied on the following source: Letter from William L. Swing, Director-General, IOM, to Penny Mordaunt, Secretary of State for International Development (DfID), United Kingdom, 21 March 2018 (in response to her letter to multilateral organisations of 15 March 2018).

Box 2: Performance areas and key performance indicators

Aspect	Performance area	KPI
Organisational effectiveness	Strategic management	**KPI 1**: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results
		KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels
	Operational management	**KPI 3**: The operating model and human and financial resources support relevance and agility
		KPI 4: Organisational systems are cost and value-conscious and enable financial transparency and accountability
	Relationship management	**KPI 5**: Operational planning and intervention design tools support relevance and agility within partnerships
		KPI 6: Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources
	Performance management	**KPI 7**: The focus on results is strong, transparent and explicitly geared towards function
		KPI 8: The organisation applies evidence-based planning and programming
Development effectiveness	Results	**KPI 9**: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals
		KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate
		KPI 11: Results are delivered efficiently
		KPI 12: Results are sustainable

Applying the MOPAN methodology to IOM

The assessment of performance covers the IOM organisation (headquarters, regional offices and extensive field presence). The MOPAN 3.0 methodology was applied with some minor adjustments in indicator application or interpretation to reflect the realities of IOM's mandate and operating systems (see also Annex 1):

● **Micro-indicator (MI) 2.1c Good Governance:** This indicator is interpreted as good migration governance, as reflected in IOM's Migration Governance Framework (MiGOF).

● **MI 2.1d Human Rights:** Although IOM does not have an explicit human rights policy statement or strategy, several key strategic instruments articulate explicit commitments to human rights principles and approaches, and the rights of migrants are explicitly reflected in the MiGOF.

● **MI 2.1e Protection has been included as a cross-cutting area:** This especially reflects IOM's realities, given IOM's extensive humanitarian work.

● **MI 4.1 Transparent decision-making for resource allocation, consistent with strategic priorities:** This micro-indicator is interpreted and applied in relation to IOM's project-based funding model.

- **MI 4.2 Allocated resources disbursed as planned:** As with MI 4.1, this micro-indicator is interpreted and applied in relation to IOM's project-based funding model.

- **MI 6.3 Clear adherence to the commitment in the Busan Partnership for Effective Development Co-operation on use of country systems:** The Busan commitment to "use country public financial management systems as the default option for development financing, and support the strengthening of these systems where necessary" is not relevant to IOM's project-based funding model, and thus the indicator has not been not applied.

Lines of evidence

This assessment relies on three lines of evidence: a document review, a partner survey, and staff interviews and consultations. The assessment team collected and analysed these in a sequenced approach, whereby each layer of evidence was informed by, and built on, the previous one, wherever possible.

The assessment team collected and reviewed a significant body of evidence:

- **A document review.** See Annex 2 for a list of the 92 documents used for formal data extraction (information from a further 133 documents was utilised to inform the assessment).[8] Results documentation included 17 independent evaluations/reviews and the linked management responses. A draft of the document review was shared with IOM, who provided feedback and additional documentation to update the review and address gaps before it fed into the overall analysis.

- **An online survey.** There were 166 responses to the online partner survey, conducted between March and April 2018. These were drawn from people in 13 partner countries in which IOM has operations (Bangladesh, Bolivia, the Democratic Republic of the Congo, Ethiopia, Guinea, Jordan, Lebanon, Mexico, Myanmar, Pakistan, Papua New Guinea, Tunisia and Turkey). The survey was designed to gather both perception data and an understanding of practice from a diverse set of well-informed partners of IOM. Respondents included donor and national government representatives, UN agencies, international non-governmental organisations and other non-governmental organisations (see Annex 3).

- **Interviews and consultations.** The team conducted 33 interview sessions with 44 staff members at IOM headquarters in Geneva in June 2018. Three of the interview sessions were conducted as group discussions, five sessions were attended by more than one staff member and some staff members attended more than one session. In addition, nine telephone interviews were conducted subsequently.

Discussions were held with the institutional lead of the IOM assessment, as part of the analytical process. These served to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and scoring and rating process as applied to IOM can be found in the MOPAN 3.0 methodology.

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8. The documents listed in the Annex consist of those from which formal data extraction has taken place. See the "limitations" section of this chapter for documents shared under a Confidentiality Agreement.

Limitations

A range of external and internal changes were underway at the time the assessment was conducted. Key issues included the following:

- Although IOM had for all practical purposes functioned as a de facto member of/partner to the UN system in locations around the world for many years, its accession to the UN system in September 2016[9] necessitated a wide range of changes in organisational systems and business practices at headquarters and regional and country levels. Many of these reforms were underway or had not yet bedded down at the time of this assessment, and thus their effectiveness could not be assessed.

- IOM appointed a new Director-General in June 2018. This appointment was widely expected to lead to an extensive corporate reform process. However, this new leadership was not yet in place at the time of this assessment, and thus anticipated reforms had not yet been implemented.

- IOM's role in supporting the development and adoption of the 2018 Global Compact for Migration, as well as its role as co-ordinator of the Global Network on Migration, are altering the demands placed on the organisation by member states. These demands are reflected in this assessment, but the associated organisational changes required to deliver against them had not yet been implemented at the time the assessment was conducted.

- As yet, IOM's evaluation function has produced few corporate, strategic or policy-level evaluations, with most relating to individual projects or programmes. Consequently, evaluative evidence on organisational effectiveness is limited. The scores provided are therefore based on a limited body of evidence, and evidence confidence ratings reflect this consideration.

There were two also additional limitations:

- IOM shared 133 additional internal documents under a Confidentiality Agreement. These were utilised to inform the assessment, but as per the Agreement, formal data extraction was not applied.

- Both quantitative and qualitative data from the partner survey were analysed and applied. Qualitative comments were found to be relatively individualised, and not amenable to broader extrapolation.

Despite these limitations, the body of available evidence allowed for a comprehensive assessment of the organisation at the current point in time.

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9. Formal accession to the UN system was preceded by the IOM Council's decision to join the United Nations in July 2016.

2. DETAILED ASSESSMENT OF IOM PERFORMANCE

Chapter 2. Detailed assessment of IOM performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.

Organisational effectiveness is juxtaposed alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

2.1. ORGANISATIONAL EFFECTIVENESS

PERFORMANCE AREA: STRATEGIC MANAGEMENT

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

The International Organization for Migration (IOM) has recently experienced a major shift in its role within the international architecture for migration. This is a result of its accession to the United Nations (UN) system, increased engagement in preparatory work for the Global Compact for Migration (adopted by the international community in December 2018), and the organisation's designation as co-ordinator for the Global Migration Network. However, IOM's strategic architecture has not yet caught up with this shift. The organisation currently lacks a dedicated corporate strategic plan which encompasses a defined strategic direction and long-term vision, and while linkages to normative frameworks are clear, these are not reflected in clear intended results. IOM's highly decentralised structure is well-suited to a largely project- and field-based organisation, but it does not allow the organisation to meet the increased demands incurred by an increasingly upstream role in the international system.

The current financial framework is also unsuited to this shift, with IOM dependent largely on voluntary contributions which are earmarked for specific projects. Consequently, the organisation lacks sufficient flexible resources to undertake corporate reforms.

Progress has been made in building the strategic architecture for cross-cutting priorities – in particular gender equality – while good governance, human rights and protection remain central to IOM's mission and operational practice. However, as a result of limited flexible resources to support and ensure mainstreaming, programmatic application of these concerns depends heavily on individual staff willingness and interest.
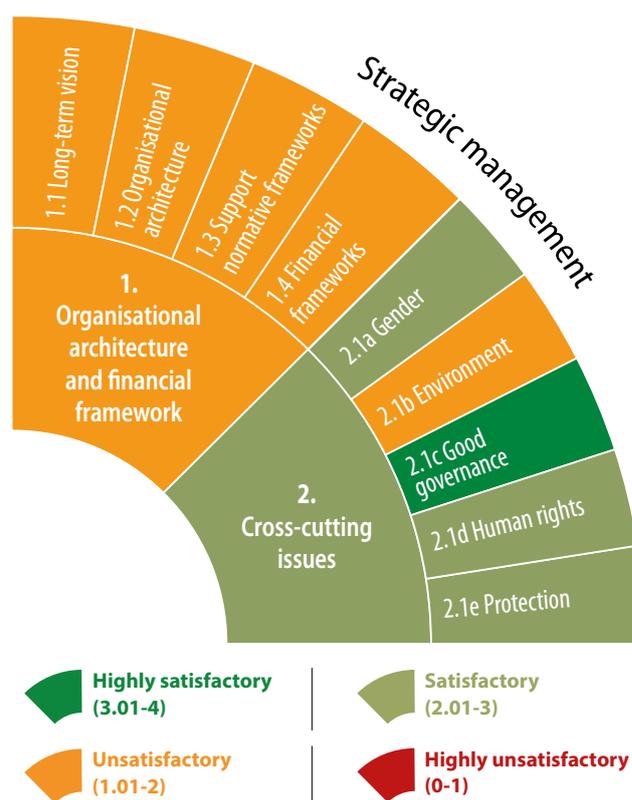
KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.

This KPI focuses on the extent to which IOM has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

IOM requires a 'refreshed' institutional vision and intended results that align with its increased prominence in the international architecture for migration. The Migration Governance Framework (MiGOF) serves as IOM's current strategic framework. It sets out a long-term vision for migration governance, policy and process, and is comprehensively known and "owned" by staff, who universally reference it as the organisation's main corporate framework. However, the MiGOF does not provide a clear strategic direction or forward vision for the organisation reflecting its accession to the UN system and intended role as the co-ordinator for the Global Migration Network under the forthcoming Global Compact for Migration. It also lacks a statement of clear or explicit corporate-level intended results for the organisation linked to this wider role. The MiGOF's limitations as a strategic instrument were widely recognised and acknowledged, while its perceived value was related more to framing operational activities. Staff indicated that a 'refreshed' institutional vision and intended results were expected under the new leadership, due to arrive in October 2018.

IOM's Migration Crisis Operational Framework provides the operational framework for action to address the mobility dimensions of crisis situations, but is also limited in its capacity to provide a clear strategic direction and associated results.

The MiGOF has a strong normative underpinning but lacks explicit linkage to normative goals. The MiGOF is explicitly linked to key normative frameworks, citing for example the principle of "adherence to international standards and migrants' rights" as its main normative goal. An institutional results framework to identify, track and report on results against the MiGOF, including the normative frameworks with which it aligns, was also being developed as of July 2018. However, IOM's intended contributions (in specific terms) to the Sustainable Development Goals (SDGs) or to the other normative frameworks relevant to migration, such as the Global Compact, have not yet been clearly defined. There was also uncertainty among management and staff as to which SDGs the organisation has been specifically tasked to address. Annual Reports published by IOM do provide explicit reporting against normative frameworks, including references to the SDGs, but the information is gathered largely from staff surveys rather than through more substantive results reporting (see KPI 6).

More explicit definition of IOM's corporate comparative advantages would support the development of its future strategic vision. IOM does not explicitly define its perceived comparative advantages within its corporate literature. However, it has a comprehensive mandate for, and oversight of, all aspects of migration. Moreover, its organisational documentation sets out additional areas of organisational expertise that shape its role in the international architecture for migration. These include its technical capacities to develop and implement migration and related policy; to support joint action on humane and orderly management of migration; to address irregular migration and the mobility dimensions of crises; and to provide research, analysis and expert advice as well as capacity building, services and innovative approaches to migration challenges. Staff, however, had varying understandings of these overarching corporate comparative advantages, recognising instead more immediate strengths in the areas in which they were involved. A clearer statement of corporate comparative advantages, linked to IOM's increasingly upstream role in the international migration architecture, was expected to accompany the 'refreshed' institutional vision later in 2018.

The operating model is fit for a "projectised" way of working, but requires reform in line with corporate change. In line with its projectised operating model, IOM is a highly decentralised agency. Out of 11 000 staff in 2017, 97% were based in the field, compared to 3% at headquarters. IOM staff participate fully in UN Country Teams and in the global architecture for humanitarian response, for example through the organisation's leadership of the Global Camp

Coordination and Camp Management Cluster. However, policy making and knowledge management functions are currently lacking at headquarters, with few resources (human or financial) available to support them. The changing role of IOM, under its accession to the UN system and its increasing engagement within the wider normative space framed by the Global Compact for Migration (reflected in preparatory work to develop the Compact), is likely to require greater capacity at headquarters, in particular regarding policy-making skills and the ability to engage in strategic and policy dialogue. This issue is widely recognised by management and staff, however, restructuring plans at the time of writing were on hold pending the arrival of newly appointed leadership and clarity regarding the 'refreshed' organisational vision.

The financial framework is suited to project-level implementation but constrains institutional change. IOM receives only a limited volume of assessed contributions, being instead highly dependent on voluntary contributions to deliver its activities. While this framework is suited to the organisation's projectised model, enabling the swift deployment of operational activities and staff, it also results in a very high level of earmarking. This has two effects: (i) it constrains IOM's ability to move resources across budget lines, with programmatic change mostly dependent on donor willingness and (ii) it limits IOM's ability to increase capacities and undertake restructuring at headquarters. The latter represents a major constraint, with demands having increased dramatically following the organisation's accession to the UN system in 2016 and designation as co-ordinator of the Global Migration Network under the Global Compact for Migration. While IOM is making major efforts to attract unearmarked resources (e.g. through Special Accounts which permit such flexibility), these still comprise only a very small part of the resource base available to the organisation. Operational Support Income, raised through a 7% overhead charge on all projects and used to finance IOM's core functions, does not allow new or emerging organisational requirements to be addressed.

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

This KPI looks at the articulation and positioning within IOM's structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

Overall, IOM's integration of cross-cutting issues is variable and is heavily compromised by the limited availability of flexible resources to address these issues at headquarters. IOM's governance agenda is mature and well developed, given the centrality of the issue to the organisation's operational work on migration governance. The human rights agenda is well embedded into IOM's corporate frameworks and operational practice, although it could be more comprehensively and explicitly conceptualised. While attention to gender and the environment has increased in recent years, human and financial resourcing to advance these agendas is limited, though more human resources have been dedicated to addressing environment and climate change agendas. Policy documents exist for gender, but not (yet) for human rights, the environment or climate change. The protection agenda, while not a new area of work for IOM, has been recently 'refreshed' and is still being rolled out. Overall, mainstreaming of cross-cutting issues in programmatic activity is heavily dependent on the willingness and commitment of individual staff or management.

Migration governance lies at the heart of IOM's mission and strategic framework, and well-developed structures and mechanisms are in place to support its implementation. As the de facto strategic framework of IOM, the MiGOF is explicitly geared to address good migration governance. This includes a solid focus on strengthening state capacities to manage migration and to improve policy frameworks on this issue. Specific corresponding indicators and targets are under development for the corporate results framework. Programmatic guidance is explicit on the integration of good migration governance, and provides a range of checklists and tools pertaining to the issue. The Project Review Checklist for endorsers is fully oriented to good governance concerns. Although this is applied unevenly, staff were well versed on the good governance elements of IOM's corporate-level priorities, as well as within their own individual areas of work. Human and financial resourcing for good governance is embedded in IOM's administrative and operational budgets, since the issue is central to all operational work.

A rights-based approach is embedded across organisational strategies and programmatic action. As with good governance, IOM lacks a specific, dedicated human rights policy. However, the MiGOF and other key corporate frameworks are based explicitly on the rights of migrants, and reference key international frameworks and approaches. The corporate results framework, currently under development, is expected to include explicit indicators and targets on human rights. The number of staff dedicated specifically to mainstream human rights issues is limited with just four posts available in the relevant division, and there are similar limitations on available budgets. Programmatic guidance on rights-based approaches is strong, however. IOM launched a manual on rights-based approaches to programming in 2016, and as of 2017, it was being used by 66 country missions. All staff interviewed demonstrated familiarity with and use of rights-based approaches in their work.

IOM's strategic approach to gender has gained momentum, but more progress is needed in implementation. IOM's policy architecture for gender has improved in recent years. Member states endorsed the organisation's Gender Equality Policy in 2015 and roll out duly commenced in 2016 following an implementation plan developed for this purpose. However, gender is not systematically integrated into the MiGOF, which instead addresses the issue mainly from a non-discrimination perspective. The Gender Equality Policy itself, while widely known among staff, was unevenly applied in practice. Plans exist to integrate gender indicators into the corporate results framework, though this is still under development. At present, IOM applies the UN System-wide Action Plan (UN-SWAP) as the key vehicle for corporate reporting on gender, and produces an annual self-assessment.

Key programming guidance emphasises gender mainstreaming in design, but this is inconsistently applied by staff. As such, the take-up and use of such guidance are acknowledged to be variable. Consequently, the extent of substantive gender mainstreaming is dependent on individual staff recognition of its importance and willingness to address the issue. The human resources available for addressing gender issues are minimal, with just two dedicated staff members in headquarters and one communications-oriented staff member. Locating responsibility for the prevention of sexual exploitation and abuse and sexual harassment and abuse agenda in the same unit has negatively affected attention to broader gender mainstreaming, due to the volume of time and resources consumed by the former. Financial resources available for mainstreaming are also minimal.

Figure 1: Survey response – CROSS-CUTTING ISSUES
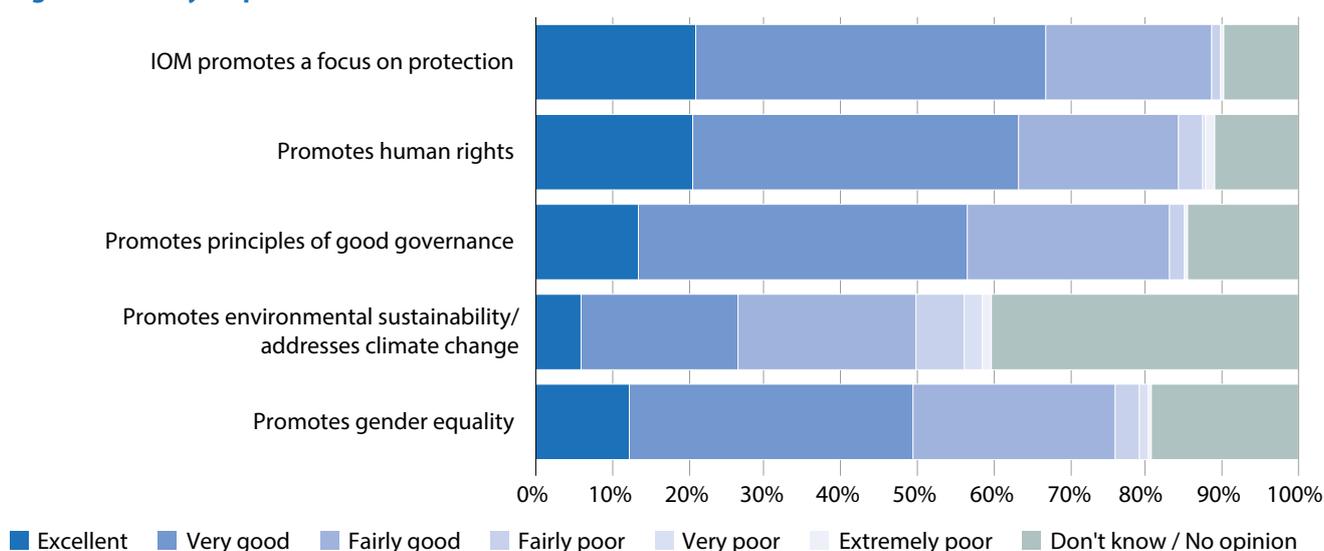
An environmental sustainability and climate change agenda is emerging, but programmatic application is variable. IOM approaches environmental sustainability and climate change from two discrete perspectives: (i) the migration, environment and climate change "nexus" as a thematic area and (ii) environmental sustainability. Staff

resources consist of a Migration, Environment and Climate Change Division created in 2015, with at present four staff members and five specialists in regional bureaus. Just one specialist works on environmental sustainability issues, however. Funding is limited, arising from dedicated project-based initiatives.

IOM does not currently have a specific policy document or other statement on the environment as it affects migration, although a policy statement on organisational environmental sustainability is under development with a planned delivery date of the end of 2018 and a strategy is planned for 2020. However, staff interviewed demonstrated limited awareness of IOM's policy commitments and initiatives in both respects. As with gender, specific indicators for environmental mainstreaming are being finalised for the corporate results framework. Environmental safeguards also form part of project guidance, but their application varies in practice.

A recent 'refreshing' of protection aims to increase systematisation. Although the protection of migrants is a core part of IOM's mission and mandate, a recent reconceptualisation of the issue aims to ensure more systematic application across the organisation. A Protection Policy was approved in 2015 and was recently revised, with Council approval pending. The Migration Protection and Assistance Division is tasked with addressing protection within migration management programming, while the Department of Operations and Emergencies leads on protection issues in crisis contexts. Protection is also well integrated into the MiGOF and, as is the case with other cross-cutting areas, relevant targets and indicators are being developed for the corporate results framework.

Guidance on protection work is available as part of IOM's Humanitarian Policy, which has a dedicated chapter on humanitarian protection. Additionally, an internal instruction/guidance note exists on how to mainstream protection in IOM's crisis response, supported by a range of other tools. Interviewed staff were all familiar with the centrality of protection to IOM's operational activities, particularly in crisis settings, though the use of available guidance was variable. As with other areas, the human and financial resources available for mainstreaming the issue across the organisation and into operational practice are relatively minimal.

PERFORMANCE AREA: OPERATIONAL MANAGEMENT
Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability.

IOM's projectised financial model renders the organisation almost fully dependent on donor resources to finance identified needs and priorities. While at operational level, IOM's human and financial resources are well geared to support relevance and agility, their projectised nature also constrains institutional flexibility. The organisation consequently has limited capacity to allow for the institutional reforms necessitated by its increasing prominence in the international architecture for migration. IOM has undertaken some reforms in the areas of risk and results-based management; however, despite considerable efforts to raise more flexible resources, the operating model still requires adaptation to adjust to the new demands being placed on it by the international community.

3. Operating model and resources support, relevance and agility
3.1 Resources aligned to function
3.2 Resource mobilisation
3.3 Decentralised decision making
3.4 Performance-based human resources

4. Cost and value consciousness, financial transparency
4.1 Decision making
4.2 Disbursement
4.3 Results-based budgeting
4.4 International audit standards
4.5 Control mechanisms
4.6 Anti-fraud procedures

Operational management

Highly satisfactory (3.01-4)

Satisfactory (2.01-3)

Unsatisfactory (1.01-2)

Highly unsatisfactory (0-1)

KPI 3: The operating model and human and financial resources support relevance and agility.

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

IOM's projectised model ensures that human and financial resources are well geared to support relevance and agility at country level. Partners recognise and highly value these capabilities in the field, though the high volume of earmarked resources means that flexibility and agility within projects are donor dependent. At the same time, the projectised nature of the organisation's resource base constrains the scope for institutional reform. Recently, IOM has dedicated effort to raising more flexible and strategic funds, although private sector resources remain limited. IOM's medium-term workforce planning is similarly constrained by its projectised model, with staff performance assessment systems currently lacking rigour in application and not fully trusted by staff. However, IOM does have robust internal and external audit systems, and has robust anti-fraud and anti-corruption policies in place, with associated guidance, roles and responsibilities.

The prominence of migration in recent years combined with IOM's increasing importance in the international system have placed pressure on the organisation's ability to respond to growing demand. Rising migration volumes and accession to the UN system have prompted IOM to adapt its business practices and ways of working. Simultaneously, the increased prominence of migration on the international agenda has required IOM to adopt a more normative and globally focused role, for example in the preparatory work for the Global Compact for Migration. The consequent burdens placed on the organisation over the time period of the MOPAN assessment were significant. Due in part to these incoming pressures and to lack of flexible financial resources, IOM has not yet embarked on major structural reforms, preferring instead to adopt an incremental approach. New leadership in October 2018 provides an opportunity to realign the operating model with a 'refreshed' institutional vision.

IOM's highly decentralised operating model permits flexible and agile decision-making, but operational adjustments are donor dependent. IOM is widely recognised as a flexible and agile organisation characterised by high levels of decentralised decision-making to field level. Country mission heads and project implementing staff (in consultation with project endorsers) have considerable authority to adapt implementation according to needs on the ground. Partners value highly this flexibility as key to IOM's ability to make critical strategic and programming decisions at local level.

In recent years, the organisation has also increased the flexibility of decision-making in humanitarian situations. The Migration Emergency Funding Mechanism capacitates field offices with funds needed for more rapid start-up, where emergency conditions require them. IOM's use of a projectised model, however, means that re-allocation of resources within projects when conditions change is donor dependent. Evaluation reports reflect varied experiences in this regard: positive effects were observed where donors permitted re-allocation, but projects incurred delays and failed to achieve the full, intended results where re-allocation was not permitted.

Resource raising is becoming increasingly strategic. IOM's projectised financial model severely constrains the organisation's flexibility regarding its own institutional reforms. Nonetheless, in recent years resource raising has become increasingly strategic. An organisation-wide resource mobilisation strategy was developed in draft format for 2018-20, while responsible offices in Finland, Germany, Japan and the United States prepare resource mobilisation strategies aligned with the MiGOF. Regional strategies, which are also based on the MiGOF, specify strategic priorities for the region and articulate the types of resources sought to realise them. However, the shift in IOM's recent engagement with the international architecture for migration, for example in the preparatory work surrounding the development of the Global Compact for Migration, has placed a major strain on the organisation's financial systems. More softly earmarked and unearmarked funding is required to ensure stronger operationalisation of the strategic dimensions of the MiGOF and greater capacity to respond to the requirements of being a UN agency.

Private sector resources are limited. IOM has a Private Sector Partnership Strategy in place and there is evidence that the strategy is being implemented. Private sector resource raising, however, appears to have dipped in 2017, with USD 4 million raised compared to USD 9.9 million in 2016. Private sector resources were also highly projectised, instead of providing the sort of flexible resources that IOM increasingly requires. Many private sector grants are also small-scale in nature with associated transaction costs.

IOM's projectised nature continuously aligns staff with operational needs but not with broader institutional requirements. As a result of IOM's projectised operating model, its staffing is mostly aligned with project requirements in the field, rather than being strategically aligned with key institutional functions or the main institutional framework (MiGOF). Operational resource requirements are set through an annual budgeting process and allocations are made as donors fund individual initiatives. Partners at country level respect IOM's ability to deliver results in the field, with the bulk of survey respondents considering that IOM has excellent, good or fairly good staffing levels and skills to deliver results (see Figure 2).

Figure 2: Survey response – STAFF PERFORMANCE
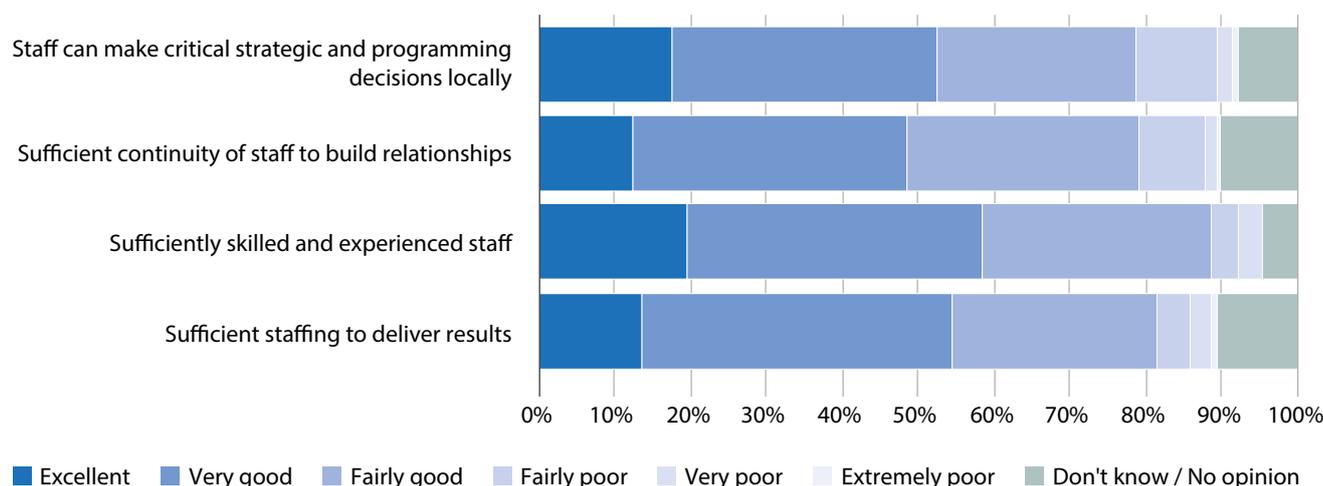
However, the highly earmarked nature of IOM's financial resources limits the organisation's ability to allocate staffing to identified corporate needs, or to ensure strategic alignment with the MiGOF. Volumes of unearmarked funding have risen in recent years and, where they are available, IOM has been able to allocate resources to incorporate reform initiatives. Examples include efforts to develop a results-based management system and undertake internal restructuring to ensure the prioritisation of risk management. Both management and staff recognised the need for further restructuring and expect it to take place following the appointment of new leadership, under a 'refreshed' institutional vision, pending the availability of donor resources.

The projectised model also restricts opportunities for medium-term workforce planning. IOM's projectised operating model allows for the hiring of staff as project resources become available, and moves them between projects in accordance with the raising of resources. This limits the organisation's ability to plan strategically the composition and deployment of its workforce, and to ensure the development of skills commensurate with both current and future needs. A particular gap has arisen with IOM's engagement in the Global Compact for Migration and its co-ordination role in the Global Migration Network, where the preparatory work requires a strong capacity for policy influencing, global co-ordination and advocacy.

Staff performance assessment systems are in place but are not used comprehensively and are not fully respected by staff. In 2011, IOM launched a Staff Evaluation System (SES) linked to a Competency Framework to monitor staff performance against objectives and competencies. The system promotes communication between staff

and managers, identifies high and under-performance, and provides a basis for well-founded strategic decisions on human resources. The system is applied to all staff; however, compliance rates fell from 77% in 2016 to 72% in 2017, having risen from 62% in 2015. Staff also indicated that application varied and that performance assessment is often treated as an administrative process rather than a sincere opportunity for workforce development.

Attention is being paid to professional development, however, with the development of the Staff Development and Learning Evaluation and Reporting Framework in January 2018. This aims to promote closer linkage between IOM's organisational objectives and individual career goals. The SES policy provides guidelines for managing disputes or complaints on performance decisions. However, staff indicated a degree of mistrust in the system to deal with disagreements and complaints expressed through internal grievance mechanisms.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and account-ability.

This KPI examines how IOM uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

IOM's projectised financial model is dependent on donor resources to finance identified needs and priorities. The organisation updates its budgetary requirements regularly and maintains close communication with donors regarding needs. Current systems do not link resources and results, though a new project management system under development promises closer planning and overview capacity in future. IOM has robust internal and external audit systems and has invested in risk management and anti-corruption and anti-fraud systems and procedures. It has also strengthened its organisational capacity regarding ethics and conduct.

IOM regularly updates its programme and budget according to needs and meets disbursement targets. IOM's projectised model enables the organisation to set out key priorities in its annual programme and budget, but bases its ability to respond to identified needs on donor interest and willingness to fund. Regardless, IOM updates the programme and budget regularly as funding is received, in order to clarify for donors which areas are underfunded and where additional resources are likely to be needed in the short term. This approach permits a constant overview of new and emerging needs, and is supported by close and frequent communication with donors. The projectised model also enables the organisation to ensure that targets for the disbursement of donor resources are generally met. For the 2016 financial year, just 0.002% of the operational budget was underspent, while in 2017 the figure was 1%.

Resources are not linked to results. IOM's organisational budget does not currently align with the MiGOF objectives. The organisation does not develop costings for the achievement of operational or management results, and systems do not track costs from activity to result. However, IOM is working to address this gap, with the development of the Programme Information Management Application (PRIMA) online project management system, planned for roll-out in 2018. This system is intended to enable better planning and a closer overview of the link between resources and results.

Figure 3: Survey response – FINANCIAL RESOURCE MANAGEMENT
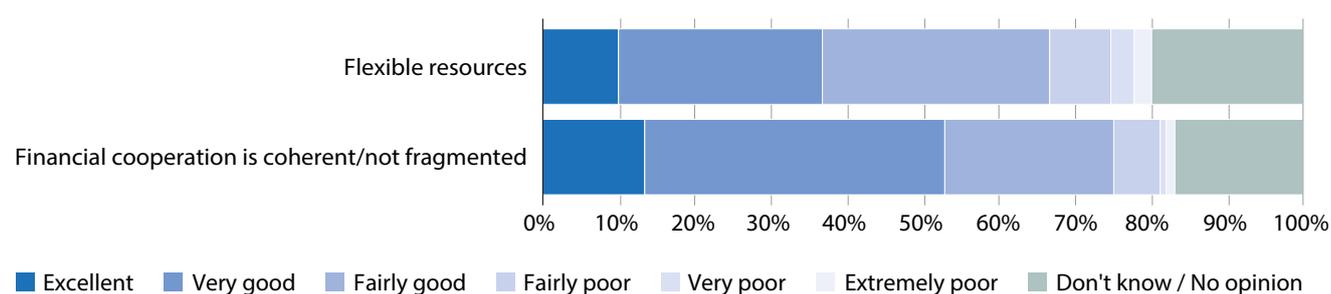
Internal decisions for resource allocation are transparent. Internal funding mechanisms allow for some limited flexible allocation of funds (e.g. through the IOM Development Fund). Criteria for the fund are explicit and publicly available. The fund also invests time and effort in project development, to ensure that funded initiatives have the maximum chance of acquiring a strong design in exchange for use of funds. IOM's Migration Resource Allocation Committee allocates unearmarked/softly earmarked financial contributions from donors according to internal guidelines and procedures.

IOM has robust internal and external audit systems. External audits are conducted annually and are compliant with international standards. Management responses are developed and made public. These provide an action plan/ set of recommendations for addressing gaps and weaknesses identified by the external audit. IOM's Internal Audit function is fully independent from management and reports through various management and governance bodies, including the Audit and Oversight Advisory Committee, the Director-General, and the Annual Standing Committee of Programmes and Finance. Staff reported no interference from management in audit findings. Since 2018, the Office of the Inspector General has published summaries of internal audit reports to member states on the IOM website; in 2019, this practice will be enhanced through the inclusion of updates on management responses to internal audit recommendations. However, internal audit reports are not made publicly available.

IOM has invested in strong anti-fraud and anti-corruption procedures, but there are fears regarding non-retaliation and whistle-blower protection among staff. IOM has a strong internal control framework and clear policies in place for anti-fraud and anti-corruption. Systems and procedures exist for reporting and addressing wrongdoing, and Standards of Conduct are disseminated to all staff and contractors, with high compliance rates. The Ethics and Conduct Office, established in 2014, was strengthened in 2016 and 2017. The numbers of reported complaints have increased in recent years, reportedly due to greater awareness among staff following the establishment of the Ethics and Conduct Office. Staff indicated, however, that fears persisted regarding retaliation as well as concerns about the protection afforded to whistle-blowers.

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT
Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).

IOM has a strong ethos of partnership which was formalised by accession to the UN system in 2016. Its role within the international system is built on defined comparative advantages in areas including migration policy development, management and research/knowledge production. The organisation co-ordinates with partners strategically and operationally at the international, regional and local levels. IOM's preparatory work to support the development of the Global Compact for Migration, and its designated role as co-ordinator of the Global Migration Network, are already placing increased demands on the organisation to engage in a more normative space and to maximise partner engagement. Operationally, IOM's procedural agility and flexibility provide a strong comparative advantage for its work with stakeholders, although the organisation's financial framework ties its adaptive capacity at field level to donor agreement. Short implementation cycles can hinder efforts at sustainability.

6.9 Knowledge
6.8 Joint assessments
6.7 Accountability to beneficiaries
6.6 Information sharing
6.5 Partner co-ordination
6.4 Synergies
6.3 Use country systems
6.2 Comparative advantage
6.1 Agility

6. Works in coherent partnerships

5. Operational planning and intervention design support, relevance and agility

5.7 Implementation speed
5.6 Sustainability
5.5 Cross cutting
5.4 Risk management
5.3 Capacity analysis
5.2 Context analysis
5.1 Alignment

Relationship management

Highly satisfactory (3.01-4)

Satisfactory (2.01-3)

Unsatisfactory (1.01-2)

Highly unsatisfactory (0-1)

KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships.

This KPI focuses on the scope and robustness of IOM's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

IOM's strong field presence and projectised operating model facilitate strong operational relevance. The organisation engages closely with key regional and national counterparts, and aligns its interventions with their priorities and plans for migration. It prioritises building capacities for good migration governance, but not always based on systematic capacity analyses. IOM has a well-merited reputation among partners for flexibility and agility, with few procedural blockages hindering implementation, although there is limited corporate oversight of speed of implementation across the organisation. The organisation has sought to improve risk management and mitigation in recent years, although staff capacity remains a challenge. Ensuring the sustainability of projects is challenging given the short-term nature of implementation cycles, but strong efforts have been made in this area.

IOM's strong field presence allows for close engagement with key national and regional stakeholders. The organisation's strong field presence permits close communication with national and regional counterparts and particularly governments, as well as a collaborative approach to project design. Survey respondents almost universally concurred that IOM interventions cohere well with national programmes and the intended results of partner countries (see Figure 4). However, interviews also indicated that IOM's rotation policy can sometimes compromise the continuity of staff's time and effort invested in countries.

IOM's interventions are closely aligned with regional and national plans and priorities for migration governance. As a result of close engagement with national counterparts, as well as strong context analysis (including engagement in UN Common Country Assessments), IOM's intervention designs, as reflected in its country and regional strategies, are closely aligned with national and regional priorities on migration. They are heavily geared to supporting good migration governance at regional, national and local level. This ensures a high level of operational relevance, as reflected in the survey data which report that IOM's interventions are successfully tailored to the local context (see Figure 4).

Integration of cross-cutting issues in intervention designs varies. While project design guidance specifies the integration of cross-cutting issues in project design and approval processes, the extent of their presence in intervention designs varies. Regional and country strategies reflect varied consideration of gender and environmental sustainability, with more consistent and central consideration of good migration governance and the rights of migrants. There is little specific consideration of the monitoring and evaluation of cross-cutting issues.

Many projects are designed to build capacity for migration governance but are not always based on systematic capacity analyses. Capacity strengthening to build strong systems for good migration governance sits at the heart of IOM's mission, and is reflected in the MiGOF. However, some planning and design in this area are less than systematic. IOM designs its projects in close consultation with national stakeholders, providing staff with strong insights into migration governance systems, procedures and staffing. However, these are not always reflected in detailed assessments. Evaluations cited assumptions made at the design stage, with partner capacity limitations not always considered sufficiently in advance.

Capacity strengthening activities also suffer from the projectised funding model, which lends itself more to training than to a more systems-oriented approach. The risk of limited benefits is reflected in evaluations, where interventions that designed and delivered training interventions as standalone activities delivered weaker results than those that planned and implemented a systemic, medium-term approach to capacity strengthening.

Figure 4: Survey response – OPERATIONAL PLANNING AND INTERVENTION DESIGN

Legend: Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion
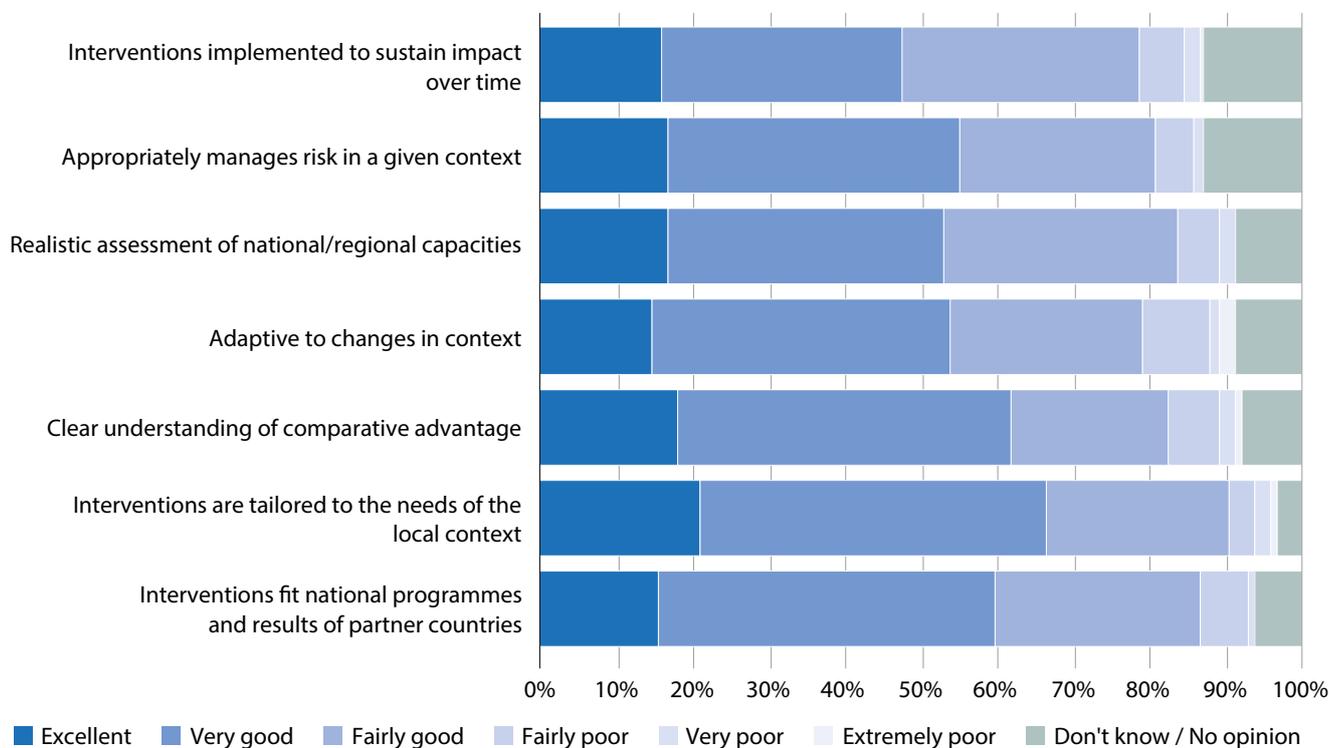
Few procedural blockages hinder implementation. At the project level, IOM lacks clear internal standards to track speed of implementation and associated benchmarks for performance across operating contexts. However, the evaluations and reviews did not identify procedural delays as a factor hindering speed of implementation. Moreover, the Expedited Procedure for Project Endorsement, used in humanitarian emergencies, allows proposals to be formatted according to donor requirements alone and for the standard IOM endorsement procedure to be waived. Delays sometimes occurred due to donor procedures, for instance in negotiating contracts or in timely disbursement of funds, or due to external factors.

At the corporate level, there is currently no central system to track implementation aggregately; instead, this takes place for individual projects at the field level. IOM is seeking to address this gap through its new project management system, PRIMA, which aims to centralise information on IOM projects and programmes and to allow management a real-time overview of field-level implementation performance. The new system will also track disbursement of funds against the timeline of the programme or project.

IOM is building its approach to risk management but suffers from capacity constraints. Project development guidance includes attention to risk analysis management and mitigation, and requires project designers to consider categories of operational and strategic (though not reputational) risk. However, intervention designs as reflected in regional and country strategies do not include comprehensive risk analyses for implementation. Staff indicated that risk management is not consistently or systematically considered as part of design or implementation, particularly in fragile and conflict situations and humanitarian situations where IOM relies on partners to implement interventions, or where swift intervention is prioritised over conducting a comprehensive risk assessment. At the corporate level, efforts are underway to build a comprehensive risk framework across the organisation. However, this endeavour is under-resourced, with only one Risk Officer, appointed in 2015, dedicated to designing and rolling out IOM's risk assessment and mitigation framework.

Strong efforts have been made to ensure the sustainability of interventions, although short implementation cycles limit success. Factors essential to the sustainability of IOM's work include the policy and legal environment, national ownership of interventions, and contributions by partners to budgets and/or implementation. Project development and approval guidance requires attention to sustainability, and its consideration is reflected in the sustainability strategies built into a majority of IOM's country and regional strategies. Examples include references to working with government, partners and stakeholders to amend and implement migration policies; building capacities for policy analysis and formulation; and aligning policies and legislation to international standards. Partners rated IOM positively on whether its interventions were likely to sustain their effects over time. However, the projectised funding model constrains some aspects of IOM's efforts to ensure sustainability, due to the short length of implementation cycles.

KPI 6: Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources.

This KPI looks at how IOM engages in partnerships to maximise the effect of its investment resources and its wider engagement.

IOM has a strong ethos of partnership formalised at intergovernmental level by its co-ordinating role within the intended Global Migration Network and its engagement with the Global Compact for Migration. The organisation's designated role within the international system is built on defined comparative advantages including in migration policy development, management and research/knowledge production. IOM co-ordinates with partners at global, regional and national levels, both strategically and operationally, including through country-level United Nations Development Assistance Frameworks (UNDAFs), Humanitarian Response Plans and its engagement in the cluster system. Operationally, its procedural agility and flexibility provide it with a strong comparative advantage, although its financial framework ties programmatic changes to donor agreement. The organisation prioritises a synergised approach to programmatic actions and its policy dialogue work on migration. It has only recently prioritised information transparency, with further progress required in this area.

IOM plays a central role in the international system for migration. This role is based on the organisation's comparative advantage in areas such as the development and implementation of migration and related policy, the ability to support and co-ordinate joint action on humane and orderly management of migration, and the capacity to help to address irregular migration. IOM also provides research, analysis and expert advice, as well as capacity building, services and approaches to migration challenges. It deploys these comparative advantages in a wide range of partnerships, including within the humanitarian cluster system. Examples include its co-leadership with the Office of the United Nations High Commissioner for Refugees (UNHCR) of the Camp Coordination and Camp Management Cluster, and its work with the World Health Organization and the Joint United Nations Programme on HIV/AIDS on health systems strengthening in migration and public health emergencies. IOM's role in supporting the Global Compact for Migration and the Global Migration Network reflects recognition among its partners of this comparative advantage at intergovernmental level.

Ensuring synergies and a partnership-oriented approach is central to IOM's strategic and operational aims. IOM's accession to the UN system has formalised its key strategic partnerships, including its participation in the UN Sustainable Development Group, its participation in Humanitarian Country Teams, its relationship with UNHCR and its engagement with the Global Compact for Migration. Although the organisation is now formally a member of UN Country Teams, in practice IOM staff and management previously participated regularly in these bodies, engaging for example in the development of UNDAFs.

IOM also participates extensively in multi-stakeholder dialogue around joint sectoral or normative commitments for migration. Examples include dialogues in preparation for the Global Compact for Migration, UN Summits for Refugees

and Migrants, the World Humanitarian Summit, and leading international and regional dialogues on migration. Such dialogues involve a wide range of stakeholders including national and local governments, international agencies, civil society, and the private sector, as well as engagement with diasporas. IOM's service-oriented ethos was strongly indicated in interviews with staff.

Figure 5: Survey response – PARTNERSHIPS

| | Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion |
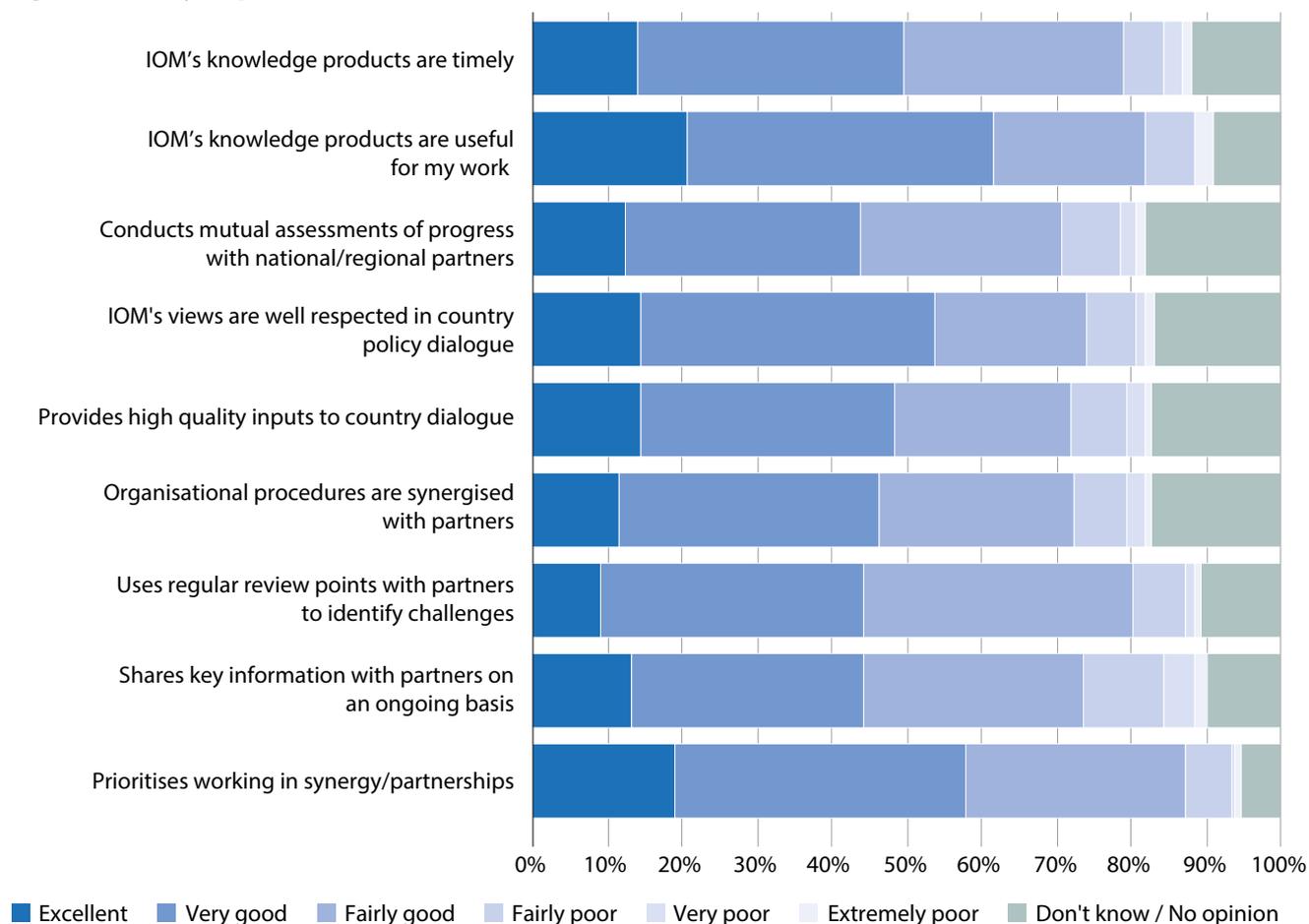
IOM applies strong operational synergies, but partnerships are not always fully strategised. Given its specific comparative advantages and key role in migration issues at country level, IOM participates closely in joint planning exercises, an engagement that is increasingly formalised. Projects are aligned with UNDAF and related exercises and/ or priorities within the humanitarian cluster system, as reflected in Humanitarian Response Plans, as well as relevant national migration priorities at the country level. These are designed and implemented with key stakeholders and partners within the country, whether national, regional or international.

Joint programming also takes place with a diverse range of agencies, though it is acknowledged to be more cumbersome and time-consuming than sole initiatives. Partners praised IOM for its partnership ethos, citing its willingness and openness to work in tandem with other concerned actors at country level. Partnerships are not always fully strategised, lacking for example a clear statement of intended strategic positioning for IOM relative to other actors, or the intended contribution of the partnership to broader results.

IOM is recognised as a flexible and agile organisation, but programmatic adaptation is dependent on donor agreement. IOM has strong mechanisms in place to allow for programmatic adjustment when conditions change.

These include mechanisms to permit changes in targets and results management and budget re-allocation. Such flexibility and agility are highly valued by its partners. However, given the strongly earmarked nature of IOM's funding, adjustments are subject to agreement with the project's donor. Shortened procedures and fast-tracking, such as expedited procedures for project endorsement, are in place for work in emergency and post-crisis conditions. The project endorsement process was formerly considered an organisational bottleneck, however the new PRIMA system is intended to reduce delays and facilitate a quicker approval process. Partners responded positively regarding IOM's perceived ability to adapt swiftly to change.

Joint assessments mainly cover needs rather than implementation performance. IOM participates in joint assessments, such as Common Country Assessments as part of UNDAF processes, or Joint Needs Assessments as part of humanitarian action efforts. It also engages in the production of joint progress statements on the implementation of country, regional and global migration commitments including regional and interregional consultative processes on migration. The organisation is also tasked with preparing background papers and data for key international events, such as the Global Forum on Migration and Development. However, participation in joint performance reviews and evaluations is less frequent, linked to the lower volume of joint programmes implemented.

The organisational framework for Accountability to Affected Populations is strong, but greater rigour is required in its application. IOM has a strong organisational Accountability to Affected Populations (AAP) framework, which covers crisis response, and which was developed consultatively across the organisation. Programme guidance requires adherence to AAP standards. IOM is also an active member of the Inter-Agency Standing Committee Task Team on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse. However, the framework contains gaps in certain programmatic areas: the procedures for project endorsement do not presently require a statement of how AAP requirements will be addressed, and no training has been conducted on the framework's implementation.

Monitoring and evaluation procedures do not explicitly require monitoring or reporting on adherence to AAP standards. Interviews indicated that application of AAP varied within project design and implementation.

IOM has a major comparative advantage and a highly valued role in external knowledge production. IOM's comparative advantage in knowledge production to support the wider global partnership on migration is reflected in the perceived value of its external knowledge products, such as the widely used *World Migration Report*. It also plays a specialist role within the international system in the production of global migration data. Partners valued highly such data and knowledge products, finding them timely, reliable and useful. They also constituted valuable contributions to country-level, regional and global dialogues on migration.

Information transparency was prioritised recently, but progress has yet to be made. IOM became a member of the International Aid Transparency Initiative in May 2017, but is adopting an incremental approach to the reporting process. Although information has been published to date on 194 funded initiatives, the data elements published were limited to a project description, activity budget, incoming commitment (funding confirmed), beneficiary country, activity start and end dates, humanitarian/development marker, sector categorisation, OECD DAC purpose code, and the identification of key agencies involved. The organisation is seeking to expand the availability of information through the development of a public results platform, to be completed by 2020. Meanwhile, progress can still be made in the publication of information pertaining to budgeting and results. Partners perceived IOM as transparent in the sharing of key information, with almost three-quarters of respondents stating that IOM shares key information on an ongoing basis.

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

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

IOM's performance management systems are not yet mature but are currently undergoing development. Corporate systems to track and report results are currently not able to robustly aggregate project results. The results system and architecture suffer from some technical limitations. However, a Global Results Framework and associated reporting systems are under development, with the aim of generating more rigorous and systematic results reporting at corporate level. The evaluation function is similarly emergent, with limited functional and budgetary independence. Evaluation coverage is patchy, and largely dependent on donor interest and provision of finance. Change is underway, however, with evaluation policy architecture also under development and efforts being made to build a culture of evaluative understanding and practice.

Performance management

8.1 Evaluation function
8.2 Evaluation coverage
8.3 Evaluation quality
8.4 Evidence-based design
8.5 Poor performance tracked
8.6 Follow-up systems
8.7 Uptake of lessons

7.5 Performance data applied
7.4 Effective monitoring systems
7.3 Evidence-based targets
7.2 RBM in strategies
7.1 RBM applied

8. Evidence-based planning and programming applied

7. Strong and transparent results focus, explicity geared to function

Highly satisfactory (3.01-4)

Satisfactory (2.01-3)

Unsatisfactory (1.01-2)

Highly unsatisfactory (0-1)

KPI 7: The focus on results is strong, transparent and explicitly geared towards function.

This KPI looks at how IOM's transparently interprets and delivers an organisation-wide focus on results.

IOM's results systems are at an emergent stage. A Global Results Framework is under development to track operational performance. Annual reporting has become increasingly results-focused in recent years, tracking performance against the MiGOF. However, the results system and architecture are neither joined up nor comprehensively applied across the organisation, and technical weaknesses exist in results frameworks. Consequently, little reliable and high-quality performance data exist at corporate level. Monitoring systems are dependent on project-based funding, and consequently donor willingness to fund these costs. Financial and human resources constraints limit the organisation's scope to conduct results-based management (RBM) training for its highly dispersed staff.

IOM management has undertaken efforts to improve RBM systems in recent years, but the results architecture remains weak. IOM lacks a standalone results-based management policy, though the organisation has developed an RBM Roadmap (2017-20). Several initiatives are underway to improve the results architecture. These include the development of the Global Results Framework, against which reporting on the MiGOF will take place, and the use of the Organisational Effectiveness Framework, a self-assessment reporting process used to track organisational improvement. However, no comprehensive aggregate-level results framework is yet in place or has been implemented across the organisation. Regional strategies are not yet comprehensively linked into the MiGOF, although there is evidence of increasing coherence in recent years. No clear mechanism exists either to aggregate project-generated results or to report systematically on organisational performance.

Corporate-level results frameworks are being developed but have some technical weaknesses. Draft outcomes and outputs in the current Global Results Framework have been developed through a consultative process, but as yet do not adequately reflect robust causal pathways between planned interventions and intended outcomes. They are

also not linked comprehensively to the SDG framework and there is no clear articulation of intended contributions to corporate-level objectives. Furthermore, indicators are not always adequate to measure progress towards expected results. Evaluations report varied quality of project-level results frameworks, although recent improvements have been observed in country strategy results frameworks. Processes for adapting project-level results frameworks according to contextual change are well developed and staff indicated regular use of them.

Programme guidance is in place for the use of RBM but is not applied consistently. Programme guidance emphasises a results-based approach from the Proposal Development stage onwards. However, this guidance is not applied consistently, and the setting of targets, intended outcomes and so on is heavily reliant on individual staff and units, as well as being subject to donor preference and priorities. The production of baselines is not mandatory under project design guidance, although staff were aware of the importance of good baselining.

Figure 6: Survey Response – RESULTS-BASED MANAGEMENT
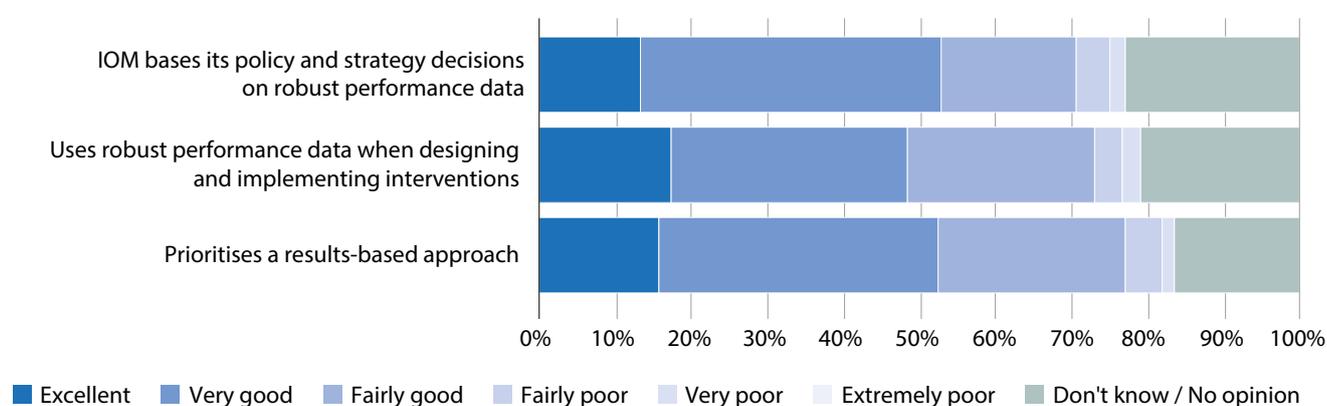
Monitoring systems are still under development. At present, only a few elements of a functional corporate-level monitoring system exist. Monitoring at project level is required according to project guidance and is funded through project budgets. Availability of resourcing is thus dependent on individual donor willingness to pay. No system currently exists for ensuring monitoring data quality, though work is underway with regional offices to address this gap. At the corporate level, systems do not currently permit the robust aggregation of monitoring data to enable organisation-wide reporting. This leads to limited reliable data at the corporate level. However, the introduction of the PRIMA system, now underway, aims to address this deficiency.

Staff capacity for RBM is limited. Human and financial resources for RBM are limited, with available recent financing largely provided by single-donor contributions and used to fund the small team at headquarters. Consequently, while IOM has developed tools for staff use and conducted webinars, only limited direct training of staff has occurred, and capacity gaps for RBM are widely acknowledged across the organisation.

Use of performance data in planning and design is variable. Given the gaps in IOM's current results and monitoring systems, and the consequent lack of high-quality and reliable performance data, there is little comprehensive use of such data to improve planning and design. While examples do exist – for example, IOM's Emergency and Post-Crisis Migration Management work – these are generally division/unit/project-specific, rather than mandated under corporate requirements. The full roll-out of the PRIMA system aims to make performance information more readily available to staff, as well as more systematised for corporate use. Currently, however, the use of performance data remains largely dependent on staff interest and willingness, as well as donor pressure.

KPI 8: The organisation applies evidence-based planning and programming.

This KPI focuses on the evaluation function and its positioning within IOM's structures, attention to quality, accountability and putting learning into practice.

IOM's evaluation function is nascent. Corporate evaluation is not functionally independent at present, and has limited budgetary independence. The related policy architecture is under development, including a new monitoring and evaluation strategy. Evaluation coverage is patchy, however, and largely dependent on donor interest and willingness to finance evaluations of "their" funded interventions. Quality assurance systems are lacking and implementation of evaluation recommendations is not tracked. However, an increasing culture of evaluative understanding and practice is emerging, although this needs further active direction, management and resources.

The central evaluation function has limited independence. The IOM evaluation function does not meet the functional independence criterion established by the global evaluation community. It forms one part of the Office of the Inspector General (OIG), which in turn reports directly to the Office of the Director-General. The evaluation function has developed a central, biennial evaluation plan, which is submitted to the Director-General rather than remaining at the full discretion of the evaluation office. Budgetary independence is similarly limited, with evaluation staff funded from the annual budget made available to OIG by management. However, no additional funds are available for implementation of the central evaluation programme. This is consequently dependent on resource-raising for individual evaluations. Evaluations are submitted to the Director-General, who reviews their conclusions and recommendations for management use within the organisation. No annual synthesis report is produced due to a lack of resources.

Evaluation policy architecture is under development, but there are no rigorous quality assurance systems in place. IOM is currently working to develop a new evaluation policy and strategy, including a policy on decentralised evaluation, together with a corporate monitoring and evaluation (M&E) strategy. These are intended to build clearer standards for evaluation, as well as set clear parameters for coverage. However, no clear policy framework, strategy or implementation plan currently exists to guide evaluative coverage across the organisation.

United Nations Evaluation Group standards are provided for staff to guide them on expectations within the UN system, but there are no explicit definitions, criteria or structured assessment frameworks on quality. As a result, staff and evaluators have no clear guidance on what constitutes a "good-quality" evaluation. IOM also currently lacks a rigorous system or framework to ensure quality evaluations, and the central evaluation function does not have sufficient capacity to support quality during the design and planning or implementation stages.

The evaluative evidence base to inform planning and design is constrained. IOM's limited investment in evaluation is reflected in the constrained evaluative coverage of its interventions. At present, coverage is determined through a call for proposals issued by the OIG to IOM offices and departments. Selection criteria are applied to select proposed evaluations from the coverage plan. Evaluation types include programme and project, thematic, and strategic evaluations. However, the feasibility of conducting evaluations is largely shaped by donor requests and/or donor willingness to fund. Consequently, evaluative coverage is highly variable across regions, intervention types and so on. The exception is projects that receive funding from the IOM Development Fund, which now includes a mandatory evaluation to generate lessons learned and best practices.

Evaluation culture is emerging, but there is limited accountability for follow-up. IOM's evaluation function has worked hard to develop an evaluation culture across the organisation, generating for example a network of M&E practitioners which acts as a "community of practice". Demand for evaluation has reportedly increased from country offices, in large part due to outreach efforts by the evaluation function and supported by the demonstrated utility

of existing evaluations where these have been conducted. Some capacity-building and training activities have been conducted for regional M&E officers, but internally, staff recognise the limitations to their evaluation capacity. The development of management responses for evaluation reports is voluntary at present, and there is no organisation-wide system or timeline for tracking implementation of evaluation recommendations, or consequently any annual reporting on this.

Figure 7: Survey response – IMPLEMENTATION AND USE OF EVALUATIONS
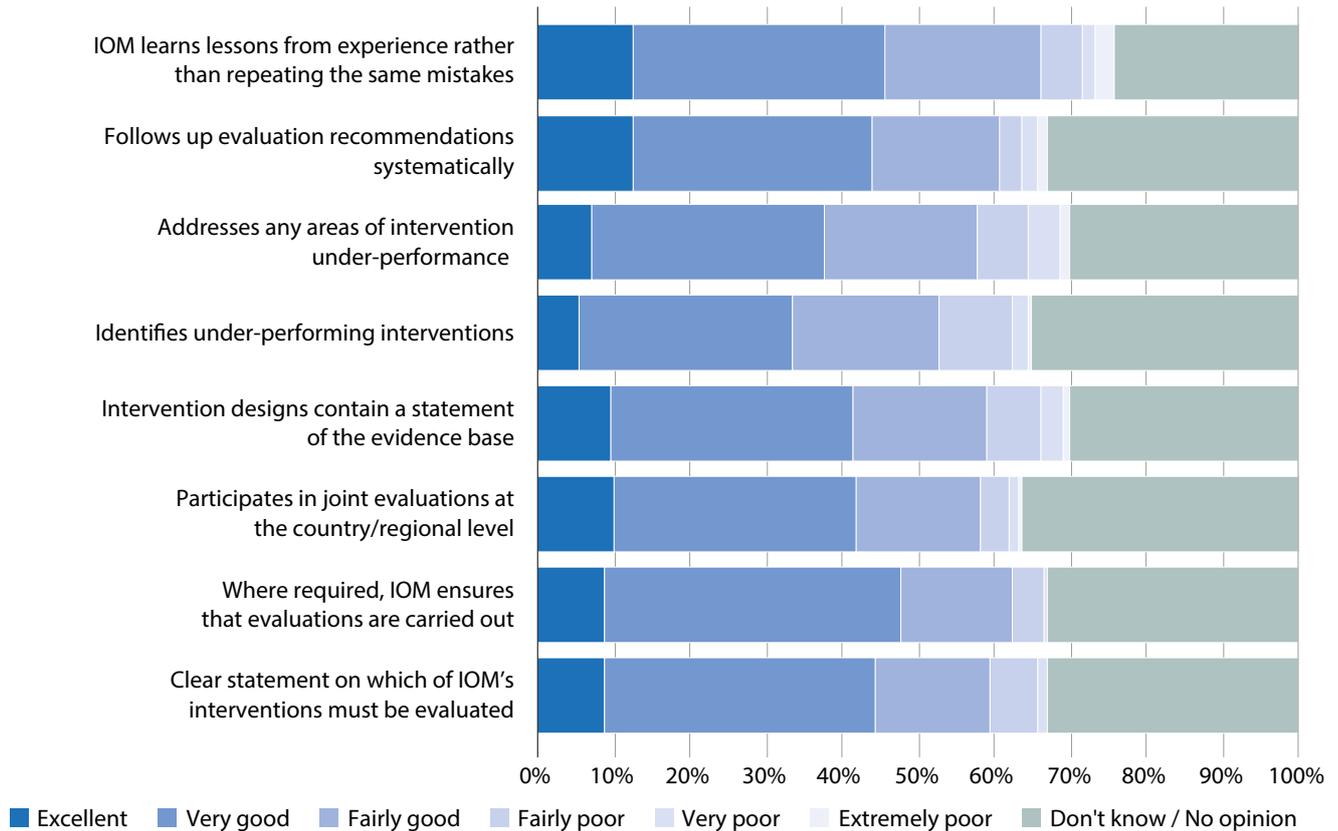
IOM has developed a new project management system to help to identify poor performance. The implementation of PRIMA is intended to enable progress tracking of interventions and, consequently, the identification of any weaknesses in performance. It should also allow IOM staff to monitor and report on project results, learn lessons and identify replicable practices. Currently, data management systems do not allow for the aggregation of project results to the corporate level. As a result, annual performance reporting does not identify poor or off-track performance.

Knowledge management systems are tacit rather than formalised. Knowledge management systems within IOM are not formalised. There is no central function dedicated to this area and there are no dedicated mechanisms for distilling and disseminating lessons learned internally. Evaluations are "available on request", rather than disseminated through open access. Currently, it is not feasible to track the uptake and use of lessons learned. However, an internal network of M&E focal points shares information informally, and the development of evaluation and learning briefs is planned to support dissemination in the future. With the exception of the IOM Development Fund, there is currently no formal organisation-wide requirement to ensure the use of lessons from past interventions in project design, and no systematic feedback loops to ensure this occurs. IOM also lacks a formal knowledge management function, and staff indicated that the use of knowledge and generated learning is largely shared informally or through continuity of interventions from previous phases.

2.2. DEVELOPMENT/HUMANITARIAN EFFECTIVENESS

PERFORMANCE AREA: RESULTS
Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.

Highly satisfactory (3.01-4)	**Satisfactory (2.01-3)**	**Unsatisfactory (1.01-2)**	**Highly unsatisfactory (0-1)**
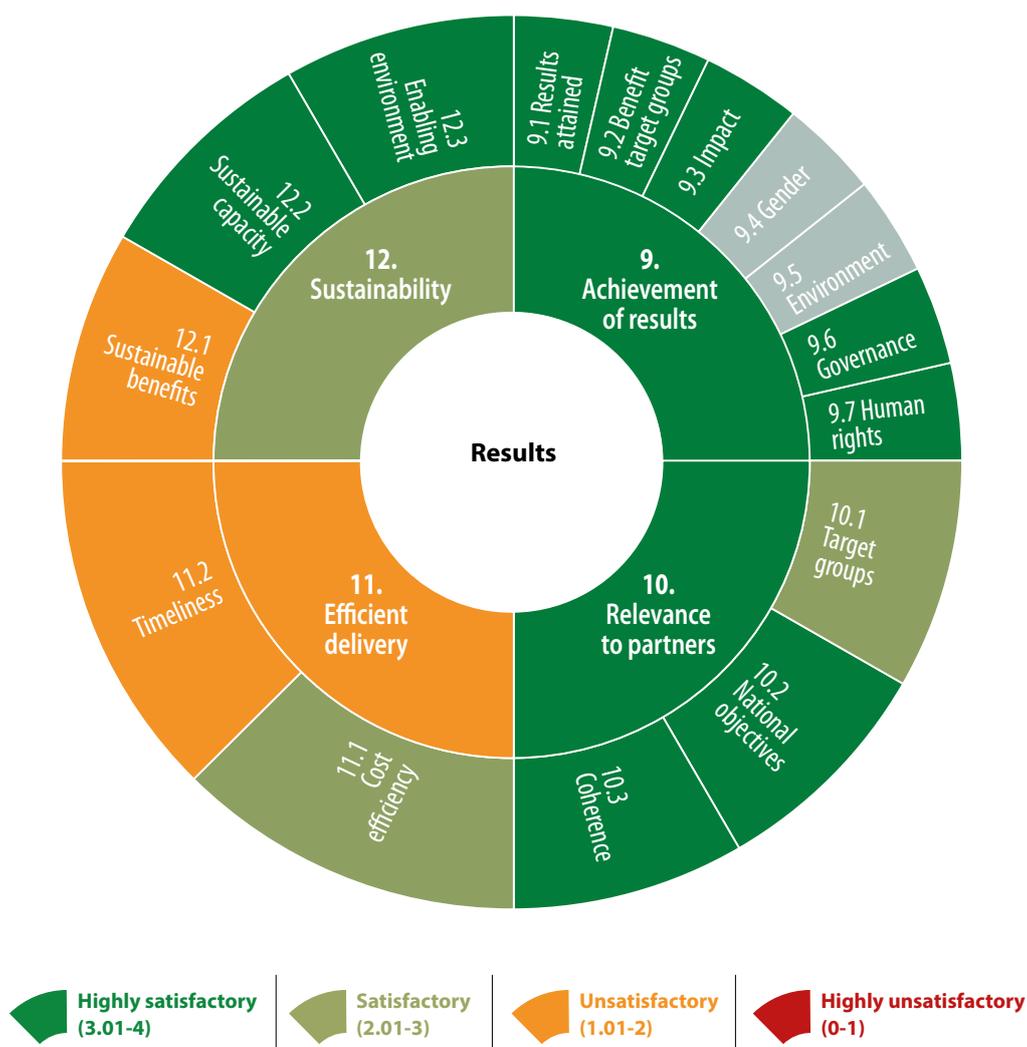
The sample of evaluations made available for the assessment of results was very limited in scope. It consisted of 17 evaluations or reviews/other reports, including project and programme evaluations and reviews. No corporate, policy or strategic-level evaluations were available for consideration. Annual results reporting was also considered, mindful of the limitations presented under KPI 7. Based on this limited evidence, IOM's interventions at the project level have helped to improve migration governance across a wide range of levels. They include positive benefits for key stakeholders involved in migrant assistance, and for migrants themselves, such as improvement in the enabling environment in-country to support good migration governance and capacity building at national, regional and local levels. Opportunities have been missed, however, to support changes in national policy priorities/systems on migration, promote human rights and realise the full potential of interventions to deliver positive effects for beneficiaries. IOM ensured the coherence of interventions with the wider humanitarian and development agenda, but there is scope to improve both the cost efficiency and timeliness of interventions.

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.

This KPI examines the nature and scale of the results IOM is achieving against the targets it sets and its expectations on making a difference.

IOM's interventions have realised a range of positive benefits for states, other national stakeholders involved in migrant assistance and migrants themselves. While the sample of evaluations and reviews is limited, those available indicate that interventions have contributed to significant changes in national migration policies and programmes, as well as system reforms. Examples include the capacity development of stakeholders, the revision of legal frameworks at the national level, and the implementation of international standards and adherence to international conventions. Interventions have also helped to realise migrant rights in a range of areas. However, the available evidence is insufficient to determine whether IOM's interventions have helped to ensure progress in cross-cutting issues such as gender equality, the empowerment of women and environmental sustainability. These issues have benefited from mainstreaming, but there is less evidence overall of tangible results.

Achievement against intended results is generally positive, though such results are highly diverse. Almost all available evaluations (15 out of 17) found that IOM had achieved or was on track to achieve the intended objectives/targets of the initiative, although the intended results themselves were highly variable. Benefits delivered by interventions included the realisation of migrant rights through to humanitarian protection, assistance and post-crisis recovery for vulnerable migrants in areas such as healthcare, and capacity strengthening for frontline service providers and national authorities.

At the strategic level, IOM assisted host countries to improve their co-ordination mechanisms for migration and provided training in migrant rights to national stakeholders and service providers. Factors supporting the achievement of results included a conducive policy environment, political will and supportive partners, as well as strong human resources. Constraining factors included external environmental barriers such as political resistance, limited financial resources, weaknesses in project design and implementation challenges arising from contextual factors. The intended results were also highly diverse, reflecting the projectised nature of IOM's operational activity and its immature corporate results systems.

IOM's interventions provided critical services to a range of target groups. The interventions targeted migrants including vulnerable groups such as women and children and victims of human trafficking. They also targeted frontline service providers of assistance to migrants and government stakeholders at local, regional and national level. All 17 available evaluations and reviews provided evidence of positive benefits, notably in the provision of emergency services, protection and assistance to nearly 30 million migrants in 2017, with a focus on those in vulnerable situations. The organisation also helped migrants to return to countries of origin and re-integrate on their return, and worked to build relationships between migrant groups and host communities. The majority of identified weaknesses were design-related. These included the need for a clear theory of change in intervention design, and stronger monitoring and evaluation tools to assess effectiveness.

IOM's interventions have helped to change national policy priorities and systems on migration, but some opportunities have been missed. While the sample for analysis was limited with only 12 (out of 17) evaluations or reviews addressing this area, all found that IOM had supported at least some positive changes in national policy priorities and systems. These included new partnerships established to assist states with their migration management policies and systems, assist governments through support for complementary pathways for regular migration, and enhance migration governance at the local level.

Other positive contributions included legal reforms, capacity strengthening for migration-sensitive policies and programmes, and greater inclusion. IOM also supported the prioritisation of migrants in policies, strategies and programmes; and structural reforms within government to aid delivery on migration commitments. Two evaluations identified missed opportunities, but these occurred largely as a result of an unconducive external environment or design weaknesses.

IOM's interventions to improve migration governance have delivered significant results. Almost all (16 out of 17) the evaluations or other reports assessed found that IOM's interventions delivered strong results in promoting good migration governance – a core area of the organisation. Examples of these results include aligning migration laws with international standards, supporting the development of migration policies and procedures that are compliant with international standards, improving national and local adherence to existing laws and policies, and helping to develop legal and administrative infrastructures to implement migration policies and programmes. At the local level, IOM's interventions helped to improve social cohesion, strengthen engagement with diasporas, and mainstream migration into local development planning. Results were achieved in diverse areas such as migrant integration, human trafficking and smuggling, environmental migration, return and resettlement, and migrant health.

A majority of IOM interventions support the realisation of human rights, but gaps exist and opportunities have been missed. Only 11 (out of 17) evaluations or reviews provided evidence that IOM's interventions support the realisation of human rights. Of these, nine found that IOM had achieved positive results for target populations, with normative improvements in areas such as adherence by states to international standards on migrant rights and the implementation of common standards. They also found evidence of improved legal frameworks and/or access to justice for migrants, enhanced border management, and improved adherence by states or national stakeholders to core principles for humanitarian action in the provision of migrant assistance. Other improvements were found in the areas of capacity strengthening (e.g. on ethical labour and recruitment); land, property and reparations issues; and the provision of information to migrants on their rights (e.g. to asylum). Gaps or missed opportunities arose partly from weak project implementation and partly from external constraints, such as a lack of buy-in from government counterparts, political instability and lack of collaboration from partners.

Evidence that IOM's interventions advanced gender equality and women's empowerment or improved environmental sustainability is limited. Only 5 (out of 17) evaluations or reviews reported on results in the areas of gender and environment/climate change. The available evidence provides information on gender mainstreaming within interventions rather than the results achieved. Results from management information are self-reported through institutional questionnaires.

In this context, the mid-term evaluation of the IOM Gender Equality Policy 2015-19 noted that the policy provided a strong foundation and impetus for gender mainstreaming within IOM, but that more work was needed to produce lasting results. Evidence to determine whether IOM interventions helped to improve environmental sustainability and/or tackle the effects of climate change was similarly limited. Just one evaluation reported on this area, and all reports noted shortcomings in the evidence base which hindered results reporting. Management information reported on mainstreaming of these concerns, but not the results generated.

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.

This KPI centres on the relevance of IOM's engagement given the needs and priorities of its partner countries and its results focus.

IOM's interventions were mostly relevant to a range of target groups. These groups included governments, frontline stakeholders serving migrants such as civil society organisations and non-governmental organisations (NGOs), and local communities and migrants themselves. However, not all interventions attained their full potential, reducing the potential impacts for beneficiaries. IOM performed particularly well in helping states to deliver good migration governance, producing a range of positive benefits at national, regional and local level. Moreover, despite the limited evidence base, the data showed that IOM's work was coherent and co-ordinated with the wider humanitarian or development partnership.

IOM's interventions mostly responded to the needs of diverse target groups but did not always realise their full potential effects. While only 12 evaluations or reviews reported on the relevance of interventions, the majority (7 out of 12) found that interventions were fully relevant to diverse needs. Migrants' and local communities' needs included service provision, information, and support for voluntary return and re-integration. Government and national stakeholders' needs included capacity strengthening, preparedness, and support for policy and standards development.

Interventions in the remaining five evaluations or reviews were viewed as having strong potential relevance to needs. However, many experienced design or implementation gaps or weaknesses which prevented them from realising maximum effects for beneficiaries. In other cases, information was insufficient to assess the extent to which interventions responded to the needs of target beneficiaries.

IOM performed well in helping states realise good migration governance. The extent to which IOM helped states realise their own aims and priorities for migration governance was assessed by 16 evaluations or reviews. All identified strong positive results and found no instances of missed opportunities or instances of non-alignment. Examples of results include the development of legal frameworks in line with national/regional policy priorities; enhanced border management; improved national strategies and policies on migration; the integration of migration concerns into national declarations, strategies or policy/legal reform; structural reforms within national or regional governments; assistance with voluntary return and re-integration; and a co-ordinated and comprehensive response to trafficking. Activities took place in response to direct requests from national and/or regional authorities.

IOM demonstrated strong coherence and co-ordination in areas for which evidence is available. Few evaluations or reviews (5 out of 12) noted whether IOM delivered its initiative as part of a coherent response to an identified problem. However, all five found that IOM had successfully delivered its interventions collectively, as part of the wider humanitarian or development partnership. Key examples include its work on the Global Compact for Migration and facilitation of the International Dialogue on Migration, and its partnership with the World Health Organization and member states on health-related responses as requested and reported through the World Health Assembly. IOM's engagement in the Inter-Agency Standing Committee and the cluster system, including its leadership of the Camp Coordination and Camp Management Cluster, implies stronger partnerships than those recognised in the slim evidence base.

KPI 11: Results are delivered efficiently.

This KPI looks at the extent to which IOM is meeting its own aims and standards on delivering results efficiently.

The efficiency of IOM's interventions has been mixed. Cost efficiency was variable across interventions, with strong efforts to minimise costs, and unrealistic costings and planning, particularly in conflict-affected settings. Most interventions experienced delays arising both from external factors which could not be anticipated, and poor design/ sequencing and weak project management. Instances where delays were avoided were attributed to the capacity of IOM project teams to adapt and expedite implementation, and to apply mitigation strategies swiftly.

The cost efficiency of IOM's interventions varied. Only seven reports or evaluations reported on cost efficiency. These found evidence of mixed performance, with four evaluations identifying cost-efficient practices. Examples include engaging with academic and national government partners to contribute services within their institutional budgets; leveraging partnerships to share costs and maximise the use of institutional procedures; and applying appropriate cost norms and using procedures efficiently, for example in procurement and project management. Conversely, three evaluations or reviews identified unrealistic costings which ultimately inhibited cost efficiency. These included failing to account for the increased costs of working in conflict-affected settings.

IOM has scope to improve the timeliness of its interventions. Just six evaluations or reviews reported on timeliness. Four of these reported weak performances, in part due to external factors which arose during implementation. These could not have been reasonably anticipated by IOM, resulting in a lack of mitigation strategies. However, the evaluations also identified internal challenges, including design and sequencing limitations where better planning would have improved timeliness, and project management weaknesses that could have been corrected. Start-up delays linked to late donor disbursement were identified as another factor. Where interventions were delivered in a timely manner, IOM's adaptive capacity was a major contributing factor, allowing the organisation to adopt mitigating actions and expedite implementation. Overall, however, the evidence found that stronger anticipation of likely implementation barriers and better preparation would benefit the timeliness of IOM's project implementation.

KPI 12: Results are sustainable.

This KPI looks at the degree to which IOM successfully delivers results that are sustainable in the longer term.

The likelihood of interventions leading to medium- and longer-term gains varied. Seven evaluations or reviews assessed whether IOM's interventions were likely to lead to longer-term gains. Performance here was mixed with sustainable gains noted in three evaluations. Interventions were most likely to be sustainable where IOM had planned and implemented comprehensive strategies to ensure sustainability from the outset. Examples include using comprehensive capacity-strengthening strategies rather than standalone training initiatives, ensuring that interventions are nationally owned, and linking IOM's interventions to other migration-related or global initiatives to ensure they function as part of a strategic initiative rather than as standalone projects.

The remaining four evaluations or reviews found that IOM's interventions were not likely to lead to sustainable gains in the medium or long term. Challenges included a lack of funding going forward, the use of standalone training initiatives that were not linked to a wider capacity-strengthening strategy, and/or a lack of other sustainability approaches integrated into design. In all cases, evaluations recommended that sustainability initiatives be embedded from the start of the project, and that knowledge transfer be considered as part of project design to help to ensure later sustainability.

IOM's interventions contributed to building national capacities for good migration governance. Nine evaluations or reviews provided evidence of IOM's efforts to build national capacities for migration governance. Out of these, eight found that IOM's interventions had successfully strengthened national, regional or local capacities for good migration governance, in particular by supporting national actors in their ability to design and deliver migration policies and programmes.

Specific improvements included (i) strengthened national government mechanisms and structures for migration governance, such as for counter-trafficking, disaster preparedness and risk reduction; (ii) improved civil society capacities to deliver services and advocate on the behalf of migrants; (iii) enhanced legal frameworks and structures relating to migration issues; and (iv) improved partnerships and co-ordination among actors addressing migration issues (e.g. intersectoral co-ordination). For migrant returnees, IOM's interventions in some locations supported local income generation, which had the potential to ensure sustainable livelihoods in the future.

IOM's interventions contributed to building an enabling environment for good migration governance. Sixteen evaluations and reviews provided evidence of IOM's contribution to the enabling environment for migration governance. All found that IOM's interventions had made significant positive contributions. Examples include the alignment of legal frameworks with international norms and standards; improved national strategies and policies on migration, voluntary return and anti-trafficking; the inclusion of migration concerns within national and sectoral strategies or policy and legal frameworks; reforms in policy and programme architectures for migration governance; enhanced inter-agency and inter-governmental co-ordination leading to better operational responses; and improved border management with greater convergence with international standards.

IOM achieved these results by adopting a strategic approach to engaging with national stakeholders, developing and applying comprehensive approaches to capacity strengthening, deploying its internal technical and legal capacities in support of reforms, and being willing to adapt as the external environment changed.
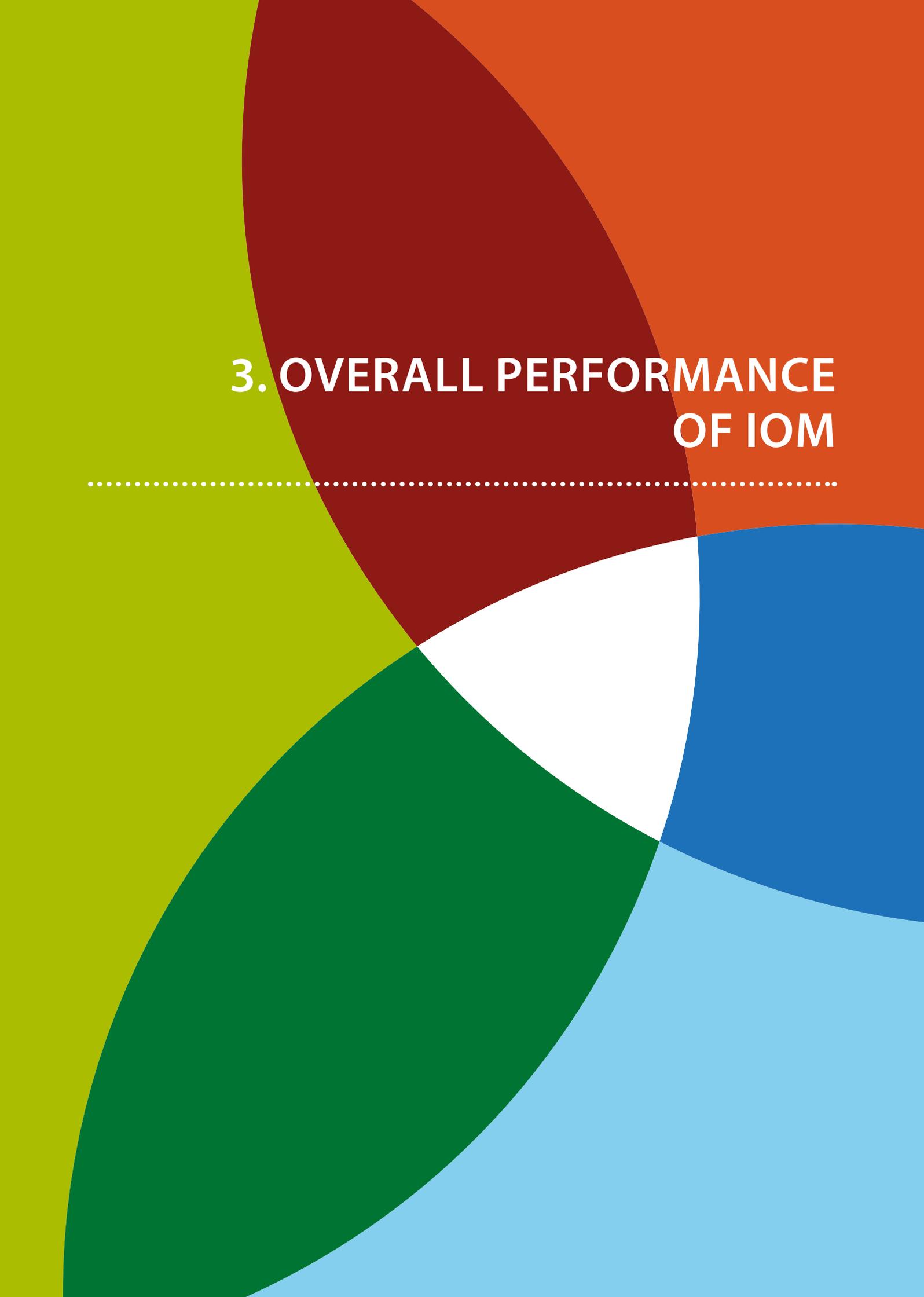
3. OVERALL PERFORMANCE OF IOM

Chapter 3. Overall performance of IOM

The performance conclusions first consider four key attributes of an effective organisation: (i) whether it understands future needs and demands; (ii) whether it is organised and makes use of its assets and comparative advantages; (iii) whether it has mandate-oriented systems, planning and operations; and (iv) whether it makes consistent developments according to its resource level and operational context. The journey of the organisation is then mapped against previous external assessments of the International Organization for Migration (IOM).

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

Is IOM future facing?

IOM currently stands at an institutional crossroads in terms of its position in the international system and the need to adapt its organisational systems, structures and capacities to new emerging demands. The organisation's accession to the United Nations (UN) system in 2016 has provided both opportunities and challenges. On the positive side, its new formalised role provides it with membership, for example, of the UN Sustainable Development Group, and enables it to participate formally in broader UN processes at international, regional and country level. It has also enabled more formal recognition of IOM's comparative advantages and specialist capacities for migration governance, reflected in its engagement in supporting the Global Compact for Migration and the Global Migration Network. Wider UN reforms also present considerable opportunities for the future.

This assessment, however, reflects the associated challenges. IOM's financial framework, operating model and business processes are suited to the projectised model of its past. They no longer match the increased demands and burdens placed on the organisation by the changing international architecture for migration, which require increased capacities and expertise in areas such as policy influencing, strategic advocacy and global co-ordination. While the bulk of IOM's activity takes place at field level – reflected in its highly decentralised staff – its headquarter functions lack both financial and human resources. This severely constrains the organisation's ability to deliver some of the current critical demands placed on it by the international community, which are likely to increase with the adoption of the Global Compact for Migration. It also constrains the organisation's ability to implement key corporate reforms, such as improving the mainstreaming of cross-cutting issues or formalising knowledge management procedures.

Despite increasing volumes of global migration, IOM has not yet been able to implement the sort of comprehensive organisational reforms required to meet the challenges of engagement in a more "upstream" space. In the light of its accession to the UN system, and its role in the Global Compact for Migration and the Global Migration Network, the organisation is aware of the need to adapt, but is unable to do so without a revitalised organisational vision and the provision of flexible finance from donors to allow it to make the necessary adjustments. Management is highly cognisant of the limitations of the current projectised financial framework and the constraints it places on both organisational reforms and the wider normative agenda. This permeates discussion and business practice at all levels of the organisation.

IOM currently lacks a clear strategic vision, and links from its strategic priorities to the Sustainable Development Goal agenda are undefined. These issues were pending the change of leadership at the time of the assessment, but the need for clarity was widely recognised across the organisation. The Migration Governance Framework (MiGOF) provides a broad, operationally focused organising framework, and receives broad support from both management and staff. However, it does not offer the sort of medium-term view, linked to clear corporate results, characteristic of a more mature organisation.

IOM management and staff at all levels recognise these challenges and those of the future. Efforts to work around these issues have included implementing limited changes, as far as funding and time permit, and operationalising, to the extent possible, the commitments of the MiGOF. Critically, these have relied on the willingness and commitment of staff. However, as the Global Compact for Migration and the Global Migration Network gather momentum, the demands on IOM are only likely to increase. The requirement for organisational reform, which straddles both more upstream engagement and the retention of IOM's highly valued, project-level agility, is therefore not only paramount, but increasingly urgent.

Is IOM making best use of what it has?

IOM's key comparative advantages are recognised both internally and externally. They include the ability to respond to the mobility dimensions of crises; technical capacities to support the development and implementation of migration and related policies; the means to co-ordinate joint action on the humane and orderly management of migration; and the capability to help to address irregular migration, and provide research, analysis and expert advice as well as capacity building, services and innovative approaches to migration challenges. However, these comparative advantages are not coherently framed, nor are they consistently understood and owned across the organisation as key "identifiers" of IOM.

Evaluations and reviews indicate that IOM applies these assets to positive effect, delivering significant results for migration governance in the field. However, the organisation's ability to address needs is almost fully dependent on donor interests and priorities and ability and willingness to fund. Furthermore, its projectised funding model and associated high levels of earmarking limit its ability to deploy its assets and comparative advantages flexibly and to "plan forward" for the future.

A key comparative advantage is IOM's agility. The organisation's internal procedures allow for adaptation when conditions require. Institutional bottlenecks, where identified, are addressed, though these are generally few given IOM's largely flexible procedures and business practices. This agility is highly valued by staff, partners and donors. However, once again, such adaptation is highly dependent on donor willingness and flexibility to adjust.

IOM also has a strong comparative advantage in the production of knowledge products and information on the topic of migration. This global asset is widely recognised and highly valued by partners. Internally, however, knowledge management remains a challenge, being mostly informal and tacit rather than systematised. A missed opportunity is evident here.

Internal coherence remains a challenge for IOM. This is due in part to the lack of a clear organisational vision for the future, and in part to the use of a projectised operating model, which affects business practice even at headquarters. There is a risk of fragmentation among business areas and a lack of gearing towards clearly defined corporate results. As a result, demonstrating its impact on migration globally represents a challenge for IOM. Management and staff recognise the need for course-correction, and restructuring is anticipated in the near future, once the 'refreshed' organisational vision is in place.

IOM is preparing for the future to the extent feasible within its current organisational and financial constraints. Changes have been made such as the development of a results-based management (RBM) system, and a move towards stronger risk management. However, the organisation will not be able to maximise use of its available comparative advantages without a revitalised institutional vision, and revisions to the operating model to enable the use and more systematic deployment of IOM's assets towards this vision and the associated results.

Is IOM a well-oiled machine?

IOM's systems and planning are geared to its current projectised operating model. These are "fit for purpose" operationally, in that they allow for highly decentralised decision-making and for flexibility and agility as conditions

change. They also allow for rapid responses on the ground as migration-related situations arise which require addressing. At the same time, they also permit IOM to provide extensive support to national systems and policies for migration, through which some of its most tangible results have been delivered. These advantages are widely recognised in evaluations and reviews – which themselves reflect the projectised model of the organisation.

However, they are not "fit for purpose" in terms of meeting the challenges of the future. The more normatively focused and upstream space in which IOM increasingly engages is not reflected in its lack of a clear strategic vision, its organisational functions and the way they are funded or arranged, and the gap in its performance management systems. Stronger policy-making and influencing capacity is required at headquarters, as well as the skills and capacities to embark on the more co-ordination-focused approach necessitated, for example, by IOM's engagement in the Global Compact for Migration and the Global Migration Network. This, in turn, requires more flexible financing, which allows for less projectised deliverables. It also requires attention to ensure that IOM's flexible operating model, arising from its projectised approach, does not become compromised or constrained.

IOM prioritises working in partnership at the global, regional and country levels. It is a valued member of the Inter-Agency Standing Committee and UN and Humanitarian Country Teams, and its co-leadership of the Camp Coordination and Camp Management Cluster positions it as part of the global humanitarian architecture. The country planning process is closely linked to national government plans and priorities for migration, and IOM functions as a key convenor on migration at multiple levels of national systems and international co-ordination mechanisms. This is reflected, for example, in its co-ordination of regional and international dialogues on migration. These strengths are widely recognised by partners, as shown by IOM's engagement in the Global Compact for Migration and Global Migration Network. Wider UN reforms present further opportunities for increased external coherence and partnership.

Internally, IOM still has progress to make in workforce planning and performance management. Comprehensive performance assessment is not yet in place, and systems are not fully trusted or respected by staff. Adjustments to these systems will be needed if IOM is to develop the skillset of its workforce to meet the challenges of its new role. This will involve changes in workforce composition, as well as efforts to ensure that the requisite competencies and skills are in place to enable the organisation to meet the requirements of its new role in the international architecture.

IOM's operating model empowers its country mission heads to raise resources, to design and deliver projects, and to implement corporate systems. Its highly decentralised model supports flexibility, but does not always consistently ensure the implementation of corporate guidance, for example in project design and implementation. Monitoring and evaluation systems are similarly projectised and heavily mediated by donor interest, requirements and willingness to fund. IOM would therefore benefit from striking a balance between the agility and flexibility to enable swift operational action at country level, and ensuring coherence with corporate norms and expectations.

Finally, IOM's performance management systems are still in the emergent phase. Corporate results cannot yet be robustly aggregated, and the results system and architecture suffer from organisational and technical limitations. However, improvement is underway, for example with a Global Results Framework and associated reporting systems under development. Going forward, it will be important to link these intended results with the pending institutional vision. Evaluation coverage is currently patchy, and largely dependent on donor interest and provision of finance; it also has limited independence. This function is similarly under development, however, with efforts underway to improve the policy architecture and build a culture of evaluative understanding and practice.

Such reforms cannot fully materialise without more flexible funding. IOM has no direct influence, other than through advocacy, on donor behaviour, but it can make clear the limitations of its current model and set out defined strategic priorities for the future, to which it wishes to gear its donor contributions. More systematic and comprehensive results reporting will also support trust in IOM's effectiveness and efficiency from its donor partners.

IOM now stands at a crossroads. Its systems and planning, once "fit for purpose", no longer match the requirements of the future. A comprehensive revision of the organisation's operating model, geared to the realisation of a clear strategic vision, and accompanied by a less restrictive financial framework, will help to ensure that it is "fit for purpose" going forward. It will also allow the organisation to make maximum use of its skills, assets and comparative advantages within the wider humanitarian and development partnership.

Is IOM making a difference?

IOM lacks a comprehensive body of independent evidence from which its performance on results can be assessed, but it does possess a range of project-level evaluations and reviews. These demonstrate a generally positive track record on improving migration governance. Interventions have realised a range of positive benefits for key stakeholders involved in migrant assistance, and for migrants themselves. They have helped to strengthen the enabling environment for good migration governance in a wide range of countries, and have built capacities in several critical areas at national, regional and local levels.

Interventions have not always attained their full potential, however, and some opportunities have been missed. Initiatives fell short at times due to external factors beyond IOM's control, but on occasion, delivery was compromised by weak design and poor implementation. On the positive side, IOM's flexibility and adaptive capacity enabled it to adjust as conditions changed.

IOM's prioritisation and ethos of partnership are reflected in evaluations and reviews, which found that the organisation's interventions were coherent with the wider humanitarian and development partnership. This corporate approach will stand the organisation in good stead as it takes on key co-ordination roles within the international architecture. At the country level, IOM's relevance has been ensured by aligning interventions closely with national priorities and goals on migration. Globally, the organisation's work on facilitating regional and international dialogues on migration, as well as its future work on the Global Compact for Migration and Global Migration Network, will require an intensification of co-ordination, policy-making and advocacy skills.

Cross-cutting issues is an area where stronger evidence is required. While IOM's interventions have delivered significant results in improving migration governance and supporting the realisation of human rights, there is limited evidence to determine whether IOM's interventions have helped to improve gender equality and the empowerment of women, or improved environmental sustainability and tackled the effects of climate change. The limited available evidence focuses on the mainstreaming of these issues, rather than the delivery of results. Greater attention is necessary to ensure their embedding in operational activity, as well as stronger requirements for results reporting.

There is scope to improve both the cost efficiency and the timeliness of interventions. Some efficiency gains have been implemented, such as cost sharing through partnerships and more efficient use of procedures. However, gaps are also evident, such as lack of consideration of the increased costs of working in conflict-affected states. Timeliness has also been weak, due in part to circumstances beyond IOM's control, but also to internal design and implementation weaknesses that could have been anticipated. More stringent requirements for context analysis and mitigation strategy design would help to avert these challenges.

Improvements can also be made to ensure that IOM's interventions lead more consistently to medium- and longer-term gains. IOM has delivered important positive results in building national capacities and strengthening the enabling environment for good migration governance. However, projects have not always planned and implemented comprehensive strategies to ensure sustainability from the outset. More robust design requirements and stronger and more consistent ownership by national authorities will support performance improvement in this regard.

3.2. PERFORMANCE JOURNEY

IOM is facing the most fundamental change in its long history of working on migration. Its accession to the UN system, and its central role in global co-ordination efforts on migration, mean that its operating model is no longer fit to meet the challenges of the future.

This MOPAN assessment finds that the organisation is thoroughly cognisant of the changes needed. However, comprehensive reform has mostly been pending due to three factors: (i) the appointment of new leadership and the upcoming publication of a revised strategic vision, (ii) the 2016 accession to the UN system which consumed institutional energy and resources, and (iii) the need for increased levels of flexible funding to implement organisational change.

Nonetheless, even amid very turbulent external conditions and the limitations of the current operating model, IOM has continued to deliver results at the project level in countries. It continues to play a convening role at regional and international level, and engage in the global co-ordination of migration issues. Some limited internal adjustments have been made, where resources permit and where change has been feasible. However, at the time of this assessment, IOM stands at a crossroads and will require comprehensive reforms. With more strategic engagement in the international architecture, accession to the UN system bedding down and new leadership anticipated for October 2018, the organisation is well-positioned to embark on a journey of change, subject to the strategic and financial support of its partners and member states.

MOPAN has not previously assessed IOM, and no other comprehensive, independent institutional assessment has been conducted in recent years. However, bilateral assessments are available, as conducted by Australia (2012), Canada (2015) and the United Kingdom (2013/16). The findings presented here are drawn from these assessments. For MOPAN, this 2018 assessment serves as a "baseline" for the organisation.

Boxes 3-5 present strengths and weaknesses identified in these external assessments and those that apply in the current 2018 assessment. They show that, overall, IOM's strengths remain the same as those identified previously, while previously identified weaknesses also remain largely similar. This matches the finding above that IOM needed to wait for appropriate conditions to be in place before it could embark on wholesale organisational reform.

While IOM has experienced a period of significant external change, its core strengths have positioned the organisation to prepare for the future. Its strong field presence and operationally-focused business model, ways of working and mindset, and service-oriented ethos represent comparative advantages which offer valuable building blocks for reform. Nevertheless, in line with its changing engagement with the international architecture, the organisation could benefit from stronger capacities in areas such as policy influencing, co-ordination and global advocacy. Internally, there is need for a new strategic vision, accompanied by stronger capabilities in results-based management, knowledge management and a more robust staff performance assessment process. Greater internal coherence is also required. Crucially, IOM requires a more flexible and predictable financing model, to enable it to undertake the necessary reforms.

Due to the rapid pace of external change and the appointment of new leadership in October 2018, this assessment was not able to report on a comprehensive journey of change. Instead, it can only identify areas where changes now need to be made. IOM possesses a strong internal awareness of both its organisational strengths and its limitations. However, its internal commitment to reform needs to be supported by a new institutional vision from the leadership which is supported by partners and implemented within a defined time frame by management.

Key risks to the effectiveness of reforms are to some extent beyond IOM's direct control. Critical actions include a revision of the financial framework, with more flexible, predictable and multi-year funding required to implement the

necessary organisational reforms. IOM can support this process by demonstrating a commitment to change and, with new leadership in place, clearly articulating a strong strategic vision and clear priorities for the future. The organisation can also improve its internal results reporting and pay greater attention to the dimensions of its operating model and business practice whose scope for reform lie within its control. Key among these are performance management, cost efficiency, timeliness, internal coherence, knowledge management and staff performance assessment.

Box 3: Main strengths and areas for improvement from previous external assessments

Strengths in previous external assessments (2012-16)

- IOM delivers results for migration at field level, often in difficult operating environments.

- IOM's human resources are highly decentralised to countries.

- IOM's risk management systems and structures are considered strong.

- IOM has established partnerships at all levels, particularly with country governments.

- IOM performs well in fragile states, with appropriate adaptation and flexibility for country needs.

- IOM supports host governments to develop migration policies, objectives and programmes.

- IOM produces knowledge in key relevant areas of migration both at global and country level.

- IOM's interventions align with national priorities on migration governance, or help to develop these where appropriate.

- IOM has strong financial management and fraud awareness systems, policies and mechanisms.

Areas for improvement in previous external assessments (2012-16)

- Information regarding projects, budgets and corporate results is not transparent.

- Climate change is not adequately mainstreamed across IOM's interventions or corporate-level plans.

- Efficiency is lacking both in terms of timeliness and ensuring maximum control of costs across the organisation.

- Results reporting could be improved at corporate level, particularly with regard to the aggregation of project-level data.

- Gender mainstreaming is necessary both corporately and within individual projects.

- IOM's evaluation function requires a more comprehensive and systematic approach, and greater independence.

- IOM's projectised operating model supports flexibility, but limits the capacity of headquarters to implement corporate change.

Box 4: Main strengths identified in the MOPAN 2017-18 assessment

- IOM has a strong country presence at field level, ensuring relevance to needs.
- IOM aligns interventions with national migration priorities and strategies, an approach that is highly valued by partners.
- IOM delivers results for good migration governance, often in challenging operating contexts.
- IOM demonstrates agility and flexibility at the field level, enabling responsiveness to needs.
- IOM ensures mainstreaming and results in key areas of good governance and human rights.
- IOM produces globally relevant knowledge products.
- IOM has robust financial management and fraud awareness systems.
- IOM maintains a strong partnership ethos at all levels, including with governments, non-governmental organisations, UN agencies and others.

Box 5: Main areas for improvement identified in the MOPAN 2017-18 assessment

- IOM lacks a clear strategic vision/plan to position the organisation for the near and medium-term future.
- IOM's projectised operating model constrains its scope for corporate development and improvement.
- IOM's financial framework limits its ability to develop its capacities and skills, and to plan for the medium term.
- Cost efficiency requires attention with a focus on more realistic costing.
- Stakeholder access to data, particularly regarding country-level interventions, is not transparent.
- Timeliness of interventions is weak, particularly when working in difficult environments.
- Performance management systems, including RBM and evaluation, are not yet mature.
- Mainstreaming and results in gender and environment/climate change require a focused effort.
- Internal coherence is weak, with several sections/divisions operating in silos rather than in coherence.
- Internal knowledge management systems are currently informalised and unsystematised.
- Staff performance management requires greater rigour in application.

ANNEXES

Annex 1. Evidence table

Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0 draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). Each of the MOPAN 3.0 key performance indicators (KPIs) contains a number of micro-indicators (MIs) which vary in number. The MIs, in turn, contain elements representing international best practice; their numbers also vary.

The approach is as follows:

a) Micro-indicator level

Scores ranging from 0 to 4 are assigned per **element**, according to the extent to which an organisation implements the element.

For **KPIs 1-8**, the following criteria frame the scores:

  4 = Element is fully implemented/implemented in all cases
  3 = Element is substantially implemented/implemented in the majority of cases
  2 = Element is partially implemented/implemented in some cases
  1 = Element is present, but not implemented/implemented in zero cases
  0 = Element is not present

Taking the average of the constituent elements' scores, a rating is then calculated per MI. The rating scale applied is as follows:

3.01-4	**Highly satisfactory**
2.01-3	**Satisfactory**
1.01-2	**Unsatisfactory**
0.00-1	**Highly unsatisfactory**

The ratings scale for **KPIs 9-12** applies the same thresholds as for KPIs 1-8, for consistency, but pitches scores to the middle of the threshold value (to guard against skewing in favour of higher ratings).

3.01-4	**Highly satisfactory**
2.01-3	**Satisfactory**
1.01-2	**Unsatisfactory**
0.00-1	**Highly unsatisfactory**

A score of zero (0) for an element means the assessment team had expected to find evidence but did not find any. A score of zero counts towards the MI score.

A score of "N/E" means "no evidence" indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that "no evidence" does not necessarily equal a zero score. Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating "N/A" means that an element is considered to be "not applicable". This usually owes to the organisation's specific nature.

b) Aggregation to the KPI level

The same logic is pursued at aggregation to the KPI level to ensure a consistent approach. Taking the average of the constituent scores per MI, a rating is then calculated per KPI.

The calculation for KPIs is the same as for the MIs above, namely:

3.01-4	**Highly satisfactory**
2.01-3	**Satisfactory**
1.01-2	**Unsatisfactory**
0.00-1	**Highly unsatisfactory**

Key

Micro-indicator

Evidence confidence

Element 1 · Element 2 · Element 3 · Element 4 · Element 5 · Element 6 · Element 7

Legend:
- Highly satisfactory
- Satisfactory
- Unsatisfactory
- Highly unsatisfactory
- No Evidence / Not assessed
- High confidence
- Medium confidence
- Little to no confidence

Strategic management

KPI 1: Organisational and financial framework

- 1.1 Long-term vision
- 1.2 Organisational architecture
- 1.3 Support to normative frameworks
- 1.4 Financial frameworks

KPI 2: Structures for cross-cutting issues

- 2.1a Gender equality
- 2.1b Environment
- 2.1c Governance
- 2.1d Human rights
- 2.1e Protection

Operational management

KPI 3: Relevance and agility

- 3.1 Resources aligned to functions
- 3.2 Resource mobilisation
- 3.3 Decentralised decision-making
- 3.4 Performance-based HR

KPI 4: Cost effective and transparent systems

- 4.1 Decision-making
- 4.2 Disbursement
- 4.3 Results-based budgeting
- 4.4 International audit standards
- 4.5 Control mechanisms
- 4.6 Anti-fraud procedures

Relationship management

KPI 5: Relevance and agility in partnership

- 5.1 Alignment
- 5.2 Context analysis
- 5.3 Capacity analysis
- 5.4 Risk management
- 5.5 Design includes cross-cutting
- 5.6 Design includes sustainability
- 5.7 Implementation speed

KPI 6: Partnerships and resources

- 6.1 Agility
- 6.2 Comparative advantage
- 6.3 Country systems
- 6.4 Synergies
- 6.5 Partner coordination
- 6.6 Information sharing
- 6.7 Accountability
- 6.8 Joint assessments
- 6.9 Knowledge deployment

Performance management

KPI 7: Results focus

7.1 BRM applied	
7.2 RBM in strategies	
7.3 Evidence-based targets	
7.4 Effective monitoring systems	
7.5 Performance data applied	

KPI 8: Evidence-based planning

8.1 Evaluation function	
8.2 Evaluation coverage	
8.3 Evaluation quality	
8.4 Evidence-based design	
8.5 Poor performance tracked	
8.6 Follow-up systems	
8.7 Uptake of lessons	

Results

KPI 9: Achievement of results

9.1 Results deemed attained	
9.2 Benefits for target groups	
9.3 Policy/capacity impact	
9.4 Gender equity results	
9.5 Environment results	
9.6 Governance results	
9.7 Human rights results	

KPI 10: Relevance to partners

10.1 Target groups	
10.2 National objectives	
10.3 Coherence	

KPI 11: Results delivered efficiently

11.1 Cost efficiency	
11.2 Timeliness	

KPI 12: Sustainability of results

12.1 Sustainable benefits	
12.2 Sustainable capacity	
12.3 Enabling environment	

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	**1.76**

Document review, interviews and consultations found that a clearly defined and institutionally owned strategic vision is absent within IOM, but that the organisation's management and staff recognise and acknowledge this gap. The Migration Governance Framework (MiGOF) currently serves as the main strategic framework and is well-assimilated and owned by staff. Staff have varying conceptualisations of IOM's comparative advantages; there is no regular review of the MiGOF other than through annual reporting. Whilst IOM's operating model is congruent with the MiGOF, which effectively constitutes its Strategic Plan, its projectised model (and associated funding) is not currently adequate to serve IOM's needs in future, and particularly its anticipated role in the Global Migration Network.

Its operating model does permit partnerships but does not clearly define accountability for results. Adjustments to the operating model and organisational structure are presented for the consideration of member states; a functional review is expected in the near future, with the change of leadership. The MiGOF is aligned with normative frameworks, but it does not define or make linkages to intended results, including the SDGs. Staff were unclear as to which specific SDGs IOM's interventions aimed to address. Responsibilities for results and their tracking are not fully defined, with annual reporting based on survey information only. IOM's financial framework suffers from its projectised model, which constrains its flexibility to respond to needs, or to conduct increasingly essential work (under its revised role in the UN systems) at HQ level. IOM is making major efforts to attract unearmarked resources, but the criteria for allocating scant internal resources are not fully clear, despite regular review of the framework by its governing bodies.

MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.25**
Element 1: A publicly available Strategic Plan (or equivalent) contains a long-term vision	0
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	2
Element 3: A strategic plan operationalises the vision, including defining intended results	2
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	1
MI 1.1 Analysis	**Source document**
IOM does not have an explicit Strategic Plan; rather, the Migration Governance Framework (MiGOF) has become the overarching organisational framework (adopted by the Council in December 2015 (C/106/RES/1310)). The MiGOF's objectives set out a long-term vision for migration governance, policy and process. They do not, however, reflect a medium- or long-term vision for IOM itself, even in the light of its now-formal membership of the UN. Whilst interviews found that the MiGOF was comprehensively known and 'owned' by staff, the absence of a clearly defined strategic vision for the organisation was also widely recognised and acknowledged.	1,2, 18, 34, 44, 64

IOM has a comprehensive mandate for, and oversight of, all aspects of migration. The MiGOF framework does not explicitly elucidate IOM's comparative advantages, but does set out areas of organisational expertise, through which IOM intends to realise its organisational vision. These include the development and implementation of migration and related policy; supporting joint action on humane and orderly management of migration; addressing irregular migration and the mobility dimensions of crises; and providing research, analysis and expert advice as well as capacity-building, services and innovative approaches to migration challenges. Comparative advantages are therefore implicitly recognised. Staff interviewed however had varying understandings of IOM's comparative advantage.	
IOM does not have a discrete Strategic Plan, with this role fulfilled by the MiGOF. It operationalises the vision for the wider migration response by setting out specific areas of operational activity under six principles/objectives, though it does not define intended results. Separately, the Migration Crisis Operational Framework (MCOF) provides the operational framework for action in addressing the mobility dimensions of crisis situations. Interviews found the MiGOF widely known and assimilated by IOM staff.	1,2, 18, 34, 44, 64
The Annual Report for 2016 groups IOM activities according to the three principles and three objectives of the MiGOF. However, it does not review the MiGOF itself as an organising framework, and there is no evidence that the MiGOF has been reviewed or evaluated during its period of implementation. It does however report to member states on organisational progress, including on MiGOF implementation.	

MI 1.1 Evidence confidence	**High confidence**

MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2**
Element 1: The organisational architecture is congruent with the strategic plan	2
Element 2: The operating model supports implementation of the strategic plan	2
Element 3: The operating model is reviewed regularly to ensure continued relevance	3
Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	2
Element 5: The operating model clearly delineates responsibilities for results	1
MI 1.2 Analysis	**Source document**
IOM is a highly decentralised agency, in line with the focus on country-level migration in the MiGOF. In 2016, 97% of staff were based in the field, compared to 3% at Headquarters. However, policy-making and knowledge management functions are currently lacking. The changing role of IOM, under its role in the Global Migration Network particularly, is likely to require a strengthened HQ, in particularly policy-development skills, an issue recognised by management and staff in interview.	2, 13, 16, 44
The operating model is strongly project-based, in line with IOM's voluntary-funded basis, the MiGOF's principles and objectives, and particularly the focus on field-level migration activities. As such, it supports implementation of the MiGOF. However, the limited core resources the model entails, reduced predictability, and limited policy-making capacity at HQ, constrain IOM's ability to engage in strategic and policy dialogue to support the development of the wider vision articulated in the MiGOF.	

Overall, adjustments to the operating model and organisational structure are presented through the yearly budget process for the consideration of member states. Under IOM's new leadership, as of October 2018, a review of IOM's core functions was anticipated, and adjustments to fit its changing global role expected. At country level, IOM's operating model and its country-level role enable its participation in UN Country Teams. Its leadership of the global Camp Co-ordination and Camp Management Cluster also requires close partnership with sister agencies and with national governments and other partners. Also at global level, IOM's status as of 2017 as the "UN Migration Agency" and its anticipated role in the Global Migration Network have expanded its scope for partnership; for example, IOM is now a full member of both the United Nations Development Group and the Inter-Agency Standing Committee (IASC). However, staff interviewed felt that whilst the conditions for strong co-operation are in place, the limited capacity at HQ level constrains IOM in maximising the value of this co-operation. They also voiced limited internal synergies across the organisation. IOM's Programme and Budget sets out areas of responsibility but does not define accountability for results. For example, the Office of the Director General manages the Organisation and has overall responsibility for the formulation of coherent policies and oversight of activities to ensure compliance with strategic priorities. However, staff interviewed voiced a lack of overarching strategic responsibility for corporate results, with intended results devolved to (and defined by) individual units or managers.	2, 13, 16, 44

MI 1.2 Evidence confidence	High confidence

MI 1.3: The strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), Grand Bargain, replenishment commitments, or other resource and results reviews)	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.8**
Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	1
Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable)	2
Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established	1
Element 5: Progress on implementation on an aggregated level is published at least annually	2
MI 1.3 Analysis	**Source document**
The MiGOF is explicitly aligned to normative frameworks relating to migration under each of its principles and objectives. Under its first Principle, good migration governance requires adherence to international standards and the fulfilment of migrants' rights. IOM's Principles for Humanitarian Action also provide the normative underpinning for the Migration Crisis Operational Framework. However, there is no explicit linkage in the MiGOF to the Sustainable Development Goals. Staff indicated recognition of these normative frameworks though there was a lack of clarity on which SDGs in totality IOM is tasked to address.	1,2,16, 33, 34, 44

The MiGOF contains the principle of Adherence to international standards and migrants' rights, as its main normative goal, though this is not broken down into specific intended results. An institutional results framework to identify, track and report on results against the MiGOF, including the normative frameworks with which it aligns, was being developed as of July 2018. However, there was no clarity as yet on IOM's intended contributions (in specific terms) to the SDGs or to the other normative frameworks referenced within the MiGOF, and staff were unclear on which results their areas of responsibility were intended to achieve. The main system to track results as of July 2018 is the Annual Report, which provides explicit reporting against normative frameworks in alignment with the MiGOF, including references to the SDGs. However, the information applied is largely gathered from surveys (see KPI 6). IOM has provided reports to the High-Level Political Forum (HLPF) since 2016, initially under its International Dialogue on Migration (IDM), though this is based on the same sources as the Annual Report. There is no explicit statement on accountability for normative results, though by implication, responsibility for their achievement sits ultimately with the Director General, supported by the Deputy Director General and the Office of the Chief of Staff. The Department of Migration Management and Department of Operations and Emergencies hold responsibility for the formulation of global strategies and standard-setting. IOM produces Annual Reports adapted to the MiGOF. These report against different results areas under each of the Principles and Objectives, all citing or linking to relevant normative frameworks. However, as under Element 3, information to populate this is gathered only through survey rather than tangible reporting against results.	1,2,16, 33, 34, 44
MI 1.3 Evidence confidence	**High confidence**

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2**
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	2
Element 2: A single integrated budgetary framework ensures transparency	2
Element 3: The financial framework is reviewed regularly by the governing bodies	4
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	2
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	0
MI 1.4 Analysis	**Source document**
IOM is highly dependent on voluntary contributions to deliver its activities. It receives a very limited amount of assessed contributions. Providing financial contributions are forthcoming, IOM's projectised model enables it to deploy operational activities and staff swiftly e.g. through surge capacity. However, it also constrains the ability to move resources across budget lines, or to undertake core work at HQ level, with very scant flexible financial resources (in the administrative part of the budget) at its disposal. This constraint was voiced repeatedly by staff.	16, 17, 21

The Programme and Budget contains a clear statement of both the administrative and the operational aspects of the budget. For resources under the administrative part of the budget, HQ units have to request resources on an annual basis; needs are then prioritised by management, though the criteria for doing so are unclear to staff. The operational part of the budget – which comprises over 90% of funds - includes a longlist of intended projects/operations; these are then funded by donors according to their own priorities. A 7% overhead charge is made on all projects (Operational Support Income) to finance core functions; management and staff indicated that this income did not allow for any new organisational requirements to be addressed. The annual Programme and Budget is approved by the Council and updated twice during the course of the year, during spring and autumn. The vast majority of IOM resources are dedicated to, and earmarked for, specific projects or initiatives. However, IOM is making major efforts to attract unearmarked resources, since these permit greater flexibility. Special Accounts which permit such flexibility include the Emergency Preparedness Account, the Migration Emergency Funding Mechanism and the Rapid Response Transportation Fund, though these are as yet small-scale. Some flexibility is also available through Operational Support Income. Funding is provided largely in response to specific initiatives set out by IOM, rather than the organisation allocating its own earmarked funds. Priorities are therefore selected by donors, rather than by IOM itself. Accordingly, beyond the limited volume of flexible resources, policies/measures to ensure the targeting of earmarked funds to priority areas are not in place.	16, 17, 21
MI 1.4 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	**2.6**

Overall, IOM has a gender policy in place, and reports on progress through a range of mechanisms to its governing body. Its piloting of the gender marker provides a significant potential route for improving gender mainstreaming in operational activity. However, human and financial resourcing to progress the 'gender agenda' is very limited, including to conduct training of staff, and much activity is dependent on individual staff or management's willingness and commitment. Overall, the climate change and environmental sustainability agenda in IOM is at an emergent stage. No dedicated policy statement is available, though it is recognised in wider corporate frameworks and project guidance and screening processes do mainstream the issue. Financial resourcing to progress the issue is extremely scant, and, as for gender, much activity is dependent on individual staff or management's willingness and commitment to mainstream the issue. Overall, the good governance agenda is central to IOM's corporate frameworks and operational practice, being the foundation on which the MiGOF rests. Project guidance and screening processes mainstream good governance concerns. Financial and human resources are essentially those of IOM broadly, since good governance lies at the heart of its mandate, and training on the MiGOF and principles of good governance at its heart has been comprehensively conducted. The human rights agenda is generally well embedded in IOM's corporate frameworks and operational practice, although it could be more comprehensively and explicitly conceptualised. No dedicated policy statement is available, although it is central to the main corporate frameworks, and project guidance and screening processes do mainstream rights concerns. Resources to ensure the mainstreaming of human rights are very limited, and much activity/training is dependent on field offices' willingness and ability to address human rights issues.

The Protection agenda, whilst not a new area of work for IOM, has recently been 'refreshed'; new guidance was developed and rolled out, a new draft policy prepared, and guidance for mainstreaming in interventions is available for staff. As for other cross-cutting issues, financial resourcing to ensure mainstreaming is extremely scant, and much activity/training depends on field offices' willingness and ability to identify and address protection concerns.

MI 2.1a: Gender equality and the empowerment of women	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.17**
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2
Element 4: Gender screening checklists or similar tools used for all new Interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	2
Element 6: Capacity development of staff on gender is underway or has been conducted	1
MI 2.1a Analysis	**Source document**
IOM's Gender Equality Policy was endorsed by member states in 2015, and it was rolled out during 2016. Progress on the implementation is planned to take place during the annual Standard Committee on Programmes and Finance. Staff interviewed were familiar with the policy though could not generally consistently clearly articulate how it was implemented in their work. The Policy is accompanied by an implementation plan, updated in January 2018. Additionally, IOM has a clear Policy and Procedures for Preventing and Responding to Sexual Exploitation and Abuse which staff in all operation types are expected to apply. The MiGOF incorporates gender considerations, albeit not systematically, across its principles and objectives, mainly from the perspective of non-discrimination. Gender indicators are being developed for the corporate results framework, currently under development, but these were not yet finalised at corporate level as of July 2018. IOM uses the UNSWAP as a key vehicle for corporate reporting on gender, with a self-assessment produced annually. The Director General reports annually to the IOM Council on the implementation of the Gender Equality Policy, including UN SWAP progress, and reporting is also included in Annual Reports, though data is gathered from survey of IOM offices and focuses on activities rather than results. Corporate evaluations present mixed attention to gender; but the Gender Policy itself underwent a mid-term evaluation in late 2017/early 2018. The Organisational Effectiveness performance framework also has an indicator on SEA Conduct. IOM has developed and piloted a new gender marker based on the IASC marker. Key guidance, including the Project Handbook/Emergency Manual/Development Fund applications, also provide comprehensive guidance for gender mainstreaming in project design. The Project Review Checklist for project endorsers questions gender mainstreaming. However, staff indicated that the Project Handbook is not universally applied. For emergency projects, screening for the integration of gender concerns in emergency responses is donor-dependent. However, overall, the high volume of projects constrains the ability of staff to ensure that gender is comprehensively mainstreamed. Internal audit processes now require an assessment of gender mainstreaming.	1, 2, 5, 6, 8, 9, 16, 17, 19, 20, 28, 33, 37, 39, 40, 44, 47

IOM's Gender Unit has very limited staffing, with two staff members in HQ and one communications-oriented staff. The unit also has responsibility for the PSEA agenda in IOM which has negatively affected attention to gender more broadly. 85% of Country missions and all Regional Bureaux have gender focal points; though they lack dedicated resources/time in their workplan. Budgeted resources (excluding staff posts) are limited at approximately 125 000 USD per year, with USD 25 000 available for travel and other related needs. There are no dedicated staff working on PSEA, though the Unit has requested a post in 2018. In 2018, IOM made USD 67 000 available to address the institutional PSEA approach for 11 000 staff.	1, 2, 5, 6, 8, 9, 16, 17, 19, 20, 28, 33, 37, 39, 40, 44, 47
The Gender Unit has conducted training for regional focal points, and gender marker training has also been rolled out to some regional Bureaux. However, limited travel and budget availabilities constrain the ability of the Gender Unit to roll out training. Instead, it supplies field-based gender focal points with a 'starter kit' of resources including the Gender Policy, PSEA resources, gender training modules and guidelines.	

MI 2.1a Evidence confidence	High confidence

MI 2.1b: Environmental Sustainability and Climate Change	Score
Overall MI rating	Unsatisfactory
Overall MI score	2
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	1
Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	2
Element 4: Environmental screening checklists/impact assessments used for all new Interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	2
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place	2

MI 2.1b Analysis	Source document
IOM works on environmental sustainability and climate change from two discrete perspectives: (i) migration, environment and climate change "nexus" and (ii) environmental change as it affects migration patterns and organisational environmental sustainability. There is no discrete policy statement or comparable document on the environment as it affects migration, but a wide range of documents highlight IOM's commitment in the area, including the MCOF and the MiGOF. A policy on organisational environmental sustainability is under development, with a planned delivery date of end 2018, and a strategy planned for 2020. Staff interviewed however showed limited awareness of IOM's policy commitments/initiatives in both respects.	1, 2, 8, 9, 16, 17, 20, 28, 31, 34, 41, 44
Both the MCOF and the MiGOF make reference to addressing climate change and environment considerations as part of IOM's corporate strategy. However, staff were not consistently aware of these strategic priorities, and referenced the environment agenda as 'less developed' than for example gender. Environmental issues feature in Annual Reports though with limited depth.	

The Environment division participated in the pilot work of IOM's new results based Management matrix, and specific indicators are, in July 2018, being finalised. Environment indicators also feature in the institutional questionnaire, from which data is gathered to inform IOM's Annual Report. Annual Reports in the review period include sections on environmental sustainability and climate change, though data is gathered from survey of IOM offices only, and focuses on activities rather than results. Few evaluations report on environmental issues. Environmental safeguards are part of the Project Handbook and Project Review Checklist for endorsers. However, staff interviewed indicated that the Project Handbook is not universally applied. Like for gender equality, the screening for environmental factors of projects developed under the Emergency Manual/Expedited Procedure for Project Endorsement (EPPE) and the integration of environmental concerns in emergency responses depend on the donor. IOM has a project code to identify environmentally-focused projects. The Migration, Environment and Climate Change Division is relatively new, being created in 2015. Four staff posts are available and five responsible specialists are also posted in Regional Bureaux. Just one staff member works on institutional sustainability issues, however. There was no specific allocation for activities related to environment sustainability and climate change, for example, for project-related overhead income in 2017. All funding instead arises from dedicated project-based initiatives. The recency of the agenda in IOM and the lack of core funding means that training to date has been limited to migration, environment and climate change "nexus" thematic area rather than environmental sustainability. It has so far only been applied to those tasked with implementing the agenda e.g. Regional Specialists. 20 focal points have been trained, as well as Regional Thematic Specialists and regional training in Bangkok and Southern Africa. Online/webinar trainings are available. However, training is still emergent overall.	1, 2, 8, 9, 16, 17, 20, 28, 31, 34, 41, 44
MI 2.1b Evidence confidence	**High confidence**

MI 2.1c: Good governance (Interpreted for IOM as 'good migration governance' as per the MiGOF)	Score
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.67**
Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use	4
Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives	4
Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions	3
Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues	3
Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions	4
Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place	4

MI 2.1c Analysis	Source document
The MiGOF, as the 'de facto' strategic framework of IOM, is explicitly geared to addressing good migration governance. This includes a strong focus on strengthening state capacities to manage migration and to improve policy frameworks on the issue. All staff interviewed reflected strong awareness and use of the MiGOF and its governance aspects. The six principles and objectives of the MiGOF explicitly integrate governance concerns. Corresponding specific indicators and targets are under development under the RBM project; these include governance dimensions. Staff were well sighted on the good governance elements of IOM's corporate level priorities, as well as within their own individual areas of work. The results framework for reporting against the MiGOF is under development; indicators developed to date, being heavily geared to the MiGOF, include governance concerns. Evaluations conducted also consider governance aspects through IOM's work on supporting states to deliver on their migration commitments. Annual corporate reports from 2015 and 2016 report against the principles and objectives of the MiGOF, though information is gathered from survey only. The Project Handbook provides a range of checklists and tools pertaining to good governance, linking these directly to the MiGOF. The Project Review Checklist for endorsers is fully oriented to good governance concerns. However, staff interviewed indicated that the Project Handbook is not universally applied. The Chiefs of Mission Handbook is also geared to helping streamline the MiGOF's implementation throughout IOM's operations. As of July 2018, 40 IOM offices use the Framework as the basis of their country strategies. Since all of IOM's administrative and operational resources are geared to addressing good governance issues, under the MiGOF as an overarching framework, it is not feasible to dissect the specific volumes of staffing or financing allocated to 'good governance'. Training on the MiGOF has been rolled out corporately, with all Country Missions covered as of July 2018	1,2, 9, 16, 17, 20, 34, 37, 44
MI 2.1c Evidence confidence	**High confidence**

MI 2.1d: Human Rights	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.5**
Element 1: Dedicated policy statement on human rights issues available and showing evidence of use	3
Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets	3
Element 4: Human rights screening checklists or similar tools used for all new interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues	2
Element 6: Capacity development of staff on human rights is underway or has been conducted	2

MI 2.1d Analysis	Source document
IOM does not have a specific dedicated human rights policy, but both the MiGOF and the MCOF are explicitly based on the rights of migrants, referencing key international frameworks and approaches. IOM's 2015 institutional humanitarian policy, the Principles for Humanitarian Action, as well as its draft Protection Policy (see MI 2.1e) also intersect with human rights concerns. Staff interviewed showed good awareness of human rights frameworks and principles as the basis of the MiGOF and MCOF. The MiGOF takes an explicitly rights based approach, referencing international standards and the fulfilment of human rights, for example under Principle 1. However, it does not include indicators and targets on human rights explicitly. These are under development in the corporate results framework, and are expected to be explicitly rights focused. The results framework for reporting against the MiGOF is under development; indicators developed to date reflect a focus on protection under Principle 1 and under the Objective 2. Under Principle 1, it is reported as part of the humanitarian principles (since IOM's Policy on Humanitarian Action has a dedicated chapter on humanitarian protection specifying mainstreaming and activities); and under Objective 2 protection is reported as sectoral interventions conducted by IOM. Evaluations conducted also consider rights aspects through IOM's work on supporting states to fulfil the rights of migrants. Annual corporate reports from 2015 and 2016 report against the Principles and Objectives of the MiGOF, though information is gathered from survey only. A rights marker is under consideration. IOM launched a manual on rights-based approach to programming in 2016; as of 2017, this was being used by 66 Country Missions. This includes screening and other tools. The Project Handbook also contains detailed checklists and screening tools which incorporate a human rights dimension for project design. The Project Review Checklist for endorsers also checks the inclusion of human rights as a cross-cutting issue. However, staff interviewed indicated that the Project Handbook is not universally applied. The International Migration Law Division, which provides the main institutional lead on the rights based approach, has four full-time and one part-time staff members. However, financial resources are extremely limited, with just a small budget for travel. According to staff interviewed, training has been limited, due to restricted travel and other budgets, with heavy dependency on field offices' ability to finance travel and training costs.	1,2, 7, 8, 14, 20, 33, 37, 44, 59
MI 2.1d Evidence confidence	**High confidence**

MI 2.1e: Protection	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.67**
Element 1: Dedicated policy statement on protection available and showing evidence of use	4
Element 2: Protection indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect Protection indicators and targets	3
Element 4: Protection screening checklists or similar tools used for all new interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address Protection issues	2
Element 6: Capacity development of staff on Protection] is underway or has been conducted	2
MI 2.1e Analysis	**Source document**

IOM's Humanitarian Policy (C/106/CRP/20 – 2015) has a dedicated chapter on Humanitarian Protection and the organisation works on the basis of to the IASC Statement on the Centrality of Protection (2013) and IASC Policy on Protection in Humanitarian Action (2016). IOM has dedicated 2015 Protection Guidance (IN/232) which references its mandate to ensure the protection of migrants in crisis situations, and also has a range of associated guidance tools. A Protection Policy came into force in 2015 (C/106/INF/9), and a revised version was recently produced but did not pass the Council. Staff interviewed were familiar with both Protection as a core responsibility of IOM, and the Policy specifically.

Protection features consistently throughout the MiGOF and the MCOF, as a core aspect of IOM's mandate and remit. Principle 1 of the MiGOF is particularly explicit on the responsibilities of States to ensure protection for migrants. However, the MiGOF does not contain specific targets and indicators for protection. Targets and indicators are being developed for the corporate results framework, and are expected to include protection as a central aspect of IOM's work, but were not yet finalised at corporate level as of July 2018.

The results framework for reporting against the MiGOF is under development; indicators developed to date reflect a focus on protection under Principle 1. Evaluations conducted also protection through IOM's efforts to ensure the protection of migrants. Annual corporate reports address protection through coverage of Principle 1, though information is gathered from survey only.

1, 2, 7, 14, 16, 19, 31, 39, 40, 41, 44

IOM has developed specific guidance on mainstreaming protection into the organisation's crisis response, which is mandatory for all staff. Protection mainstreaming has also been included as a cross-cutting issue in the second edition of the IOM Project Development Handbook. However, staff interviewed indicated that the use of protection mainstreaming guidance was dependent on individuals, and that the project handbook was variably used by field staff.

The Migration Protection and Assistance Division address protection issues in migration management programming, while the Department of Operations and Emergencies protection unit addresses the issue in crisis contexts. The Migration Protection and Assistance Division has only limited staffing and budget. Additional posts have been requested for 2018. A dedicated EU Trust fund works on "Protection and Reintegration" issues.

Limited central funding means that training conducted with field offices has not yet been comprehensive, but further roll-out is intended. Tools and guidance exist for addressing protection issues within crisis programming, under the Migrant Protection and Assistance Division (IN/232 and other associated documents).

| MI 2.1e Evidence confidence | High confidence |

OPERATIONAL MANAGEMENT

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

KPI 3: Operating model and human/financial resources support relevance and agility	KPI score
Satisfactory	2.26

IOM's operating model and human/financial resources are not currently aligned with the MiGOF as the main strategic framework, but there is evidence of intent for ensuring greater alignment between strategy and results. The organisation is currently undergoing processes to move towards RBM. IOM's highly decentralised and projectised model both supports and constraints relevance and agility. On the one hand, a highly decentralised structure allows for flexible and adaptable delivery of programmes. There is high reliance on country offices to identify and design projects for implementation, and IOM has guidelines in place to ensure smooth decision-making processes for project endorsement that involve Chiefs of Mission, Regional Directors, relevant HQ divisions and project endorsers.

For emergency operations, procedures and decision-making processes have been simplified to ensure flexibility and agility. On the other hand, high dependence on securing funding limits the organisation's scope for decision-making on staff and resource allocation when these fall outside programme and project frameworks. This has become increasingly apparent as IOM's role and size have grown. In addition, projectisation limits IOM's ability for resource reallocation. IOM is currently drafting a corporate resource mobilisation strategy, and there are efforts to secure softly earmarked or unearmarked funding that would support relevance and agility. IOM is active in exploring ways to diversify its funding base including from the private sector and from existing (and new) member states. IOM has a Human Resources Strategy in place and it is currently undergoing efforts for aligning its HR processes to link with corporate organisational objectives and support relevance and agility in delivering programmes and performing its growing mandate.

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions	Score
Overall MI rating	Unsatisfactory
Overall MI score	2
Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan	2
Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	2
Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	2

MI 3.1 Analysis	Source document
IOM is a highly projectised organisation with a decentralised structure. Out of 11,000 staff, 97% are based in field locations.

Staffing is not currently aligned to the MiGOF, which is IOM's main strategic framework. Staffing, for the most part, responds to funding received to implement projects with some 200 staff respectively in HQ, administrative centres, special liaison offices and field locations funded through the administrative (core) budget. Interviews conducted at HQ level suggest this funding structure places constraints on IOM's ability to allocate funding to identified staffing needs, particularly with IOM joining the UN system and its likely leading role in the GCM. However, survey respondents rated as excellent (12%), very good (37%) or fairly good (24%) IOM's staffing to deliver results, with similar scores on continuity of staff to build relationships: 11% rated it as excellent, 33% as very good and 20% as fairly good.

Resource allocation is also not aligned to the MiGOF, although it does reflect the priorities of the MiGOF and other key documentation. Instead, operational resource requirements are set out through an annual budgeting process, and allocations are then made as donors fund individual initiatives. IOM has in recent years received more unearmarked funding than in the past, and in these cases has been able to allocate resources to identified priorities at HQ level such as the RBM system.

IOM has undergone some limited restructuring, for example to integrate RBM and risk. HQ interviews also suggest that there is a recognition of the need for further internal restructuring to respond to IOM's growing portfolio. However, interviews were held in the run-up to the election of a new Director General in June 2018, and interviewees highlighted that the direction restructuring priorities would take depended on who the next DG was. | 5, 6, 7, 16, 17, 23, 42, 47 |
| MI 3.1 Evidence confidence | **High confidence** |

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.8**
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	3
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	3
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities	2
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/relevant country plan	4
Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	2
MI 3.2 Analysis	Source document

IOM has an organisation-wide resource mobilisation strategy in draft format for 2018-2020. However, offices in Germany, Finland, Japan and the USA have resource mobilisation responsibilities and prepare resource mobilisation strategies. These align with the priorities set out in the MiGOF. Regional strategies, drawn based on MiGOF, specify strategic priorities for the region and articulate the types of resources sought to realise these. All six regional strategies reviewed for this assessment make reference to the MiGOF in relation to strategic goals and fundraising priorities.

Interviews at IOM HQ suggest that the organisation's projectised nature poses challenges for resource mobilisation, particularly as IOM's role has shifted to become a more prominent international migration actor and potential lead of the GCM, and with its new status as a UN agency. These responsibilities require the allocation of funding that is constrained by projectisation, for instance where contributions need to be made to the UN, e.g. to UNDG or costs that could potentially be linked to being a resident coordinator if IOM is the largest UN presence in countries. Interviewees highlighted that softly earmarked and unearmarked funding would allow for more strategic alignment to the MiGOF and more flexibility to respond to the requirements of being a UN agency. The institutional survey, however, suggests that most IOM partner respondents perceive the organisation as having very or fairly good flexibility of resources.

IOM has a Private Sector Partnership Strategy in place, and there is evidence that the strategy is being implemented. According to the 2016 Private Sector Annual Report, IOM raised USD 6.6 million in 2015, and USD 9.9 million in 2016. However, this figure dipped to USD 4 million in 2017. The Annual Report highlights some challenges that IOM faces in implementing the strategy, such as lack of financial resources and shortage of member state financial support, which were echoed during interviews conducted at HQ in June 2018.

Multi-year funding is usually sought to support the implementation of projects, rather than as a whole of the organisation strategy. Interviews conducted in Geneva suggest that there is an increasing preference to seek softly earmarked or unearmarked funding, although there was limited reference made to multi-year resource mobilisation plans.

IOM seeks to raise resources from all member states in order to achieve its mandate and respond to priorities identified at country level, including from partner governments in which its operations take place. Interviews conducted at HQ highlighted that some regions tend to be net funders, while other regions are traditionally recipients of funds. The 2018 Programme and Budget lists 48 member states that are anticipated to provide voluntary contributions to IOM's operational budget in 2018, with additional contributions also expected from other UN organisations, the European Union and non-member states such as Kuwait and Saudi Arabia.

As there is not an endorsed organisation-wide resource mobilisation strategy, IOM does not have corporate resource mobilisation targets, monitoring and reporting mechanisms. There are two exceptions in relation to the Private Sector Partnership Strategy, which does have indicators and targets; as well as the Regional Strategy for Central and North America and the Caribbean, which has fundraising targets.

2, 8, 9, 13, 15, 16, 17, 21, 29, 37, 44, 59, 60, 61, 62, 76

| **MI 3.2 Evidence confidence** | **High confidence** |

MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.25**
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	2
Element 2: (If the first criterion is met) The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	2
Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate	2
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	3
MI 3.3 Analysis	**Source document**
Most of IOM's operational activity is supported by donor-funded projects which take place at decentralised level. Levels of delegation are specified in the Project Handbook, with layers of authority including the project developer, Chief of Mission or Regional Director, relevant Division at HQ, and a project endorser. For the IOM Development Fund, there are also guidelines on decision-making involving DG level for the approval of funding. However, there is no single document which specifies thresholds of delegated authority, although IOM's Procurement Manual specifies that for country offices any procurement of goods or services equal to or exceeding USD 100,000 requires prior central approval by the Global Procurement and Supply Unit of IOM. As IOM is highly projectised, decision making is highly decentralised to field level. The Project Handbook specifies the points at which Regional Bureaux and HQ become involved. The Project Handbook provides guidance on approaching donors for project modifications and/ or budget reallocation; and clarifies the conditions under which these changes may be required. For the IOM Development Fund and the Migration Emergency Funding Mechanism (MEFM) allocation decisions are made centrally at HQ, although MEFM is perceived to allow for more decentralised access to funds to facilitate more effective emergency responses. The partner survey reflects a perception from stakeholders such as NGOs, partner governments and IFI/ UN agencies that IOM staff have very good (31%) or fairly good (23%) ability to make critical strategic and programming decisions locally. Nonetheless, as IOM is highly projectised, decisions on the reallocation of funding will be dependent on donor approval for earmarked funding. Evaluation reports reflect varied experiences in terms of reallocation of resources at country level, with most dependent on donor decisions. Where donors had permitted re-allocation, positive effects were observed. Where re-allocation was not permitted, delays and limited achievement of intended results was noted. Since IOM's decision-making structure is already highly decentralised, there is little further scope for increased delegation of decision-making. However, the Migration Emergency Funding Mechanism (MEFM) has allowed for more decentralised access to funds to facilitate emergency response.	13, 17, 23, 37, 47, 49
MI 3.3 Evidence confidence	**High confidence**

MI 3.4: HR systems and policies performance based and geared to the achievement of results	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2**
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	4
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	3
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	0
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions, etc.	1
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	2
MI 3.4 Analysis	**Source document**
The IOM Talent Management Unit is responsible for staff performance management. In 2011, IOM launched a Staff Evaluation System (SES) to monitor staff performance against objectives and competencies, as well as to promote communication between staff and managers, identify strong and poor performance, and provide a basis for well-founded strategic decisions on human resources. This is applied to all staff. SES is implemented in annual cycles, beginning each year on 15th September and ending on 14th September of the following year. The 2016 Organisational Effectiveness Report states that the 2015-16 performance cycle had a 77% compliance rate compared with 62% for the previous cycle. However, there was a dip in compliance in 2017 to 72% compared to 2016. Staff interviews indicated variable application. This assessment did not find evidence that IOM's performance assessment system is linked to corporate goals. However, IOM has a Staff Development and Learning Evaluation and Reporting Framework of January 2018, for which a needs assessment is understood to be taking place that links with IOM's organisational objectives, individual career objectives, and resource and funds in mission, regional or head office budgets. The 2012-2018 HR Strategy states that IOM's Competency Framework is the basis for staff performance management; and the SES is derived from this competency framework. However, the assessment did not find evidence on how the SES is linked to promotion, incentives, rewards and sanctions. The SES policy provides guidelines for formally managing disputes and complaints on performance decisions where the rating given to staff is 'needs improvement'. Disagreements are referred to the Manager's Supervisor if the staff member and the manager cannot reach an agreement. However, interviews at HQ level suggest that there is distrust of the formal system to deal with disagreements and complaints expressed through internal grievance mechanisms and fear of retaliation, which may impact the management of these disagreements and complaints. The 2016 Organisational Effectiveness Report additionally cites the Ombudsperson as the one responsible for providing informal assistance on work-related issues at IOM in line with the organisation's Standards of Practice and Code of Ethics of the International Ombudsman Association.	5, 6, 16, 17, 37, 42, 44, 63, 64, 65
MI 3.4 Evidence confidence	**High confidence**

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability	KPI score
Satisfactory	**2.82**
Overall, organisational systems are cost and value-conscious and enable financial transparency/accountability. IOM applies transparent decision-making for resource allocation based on funds committed or forecast planning in line with its projectised nature, as reflected in its annual Programme and Budget and guidelines for funds such as the IOM Development Fund and the Rapid Response Fund for Sudan. IOM mostly disburses resources as planned and in a way that responds to IOM's operational context, as well as responsibilities emerging from its growing role and mandate. These are clearly accounted for in documentation submitted to the Standing Committee on Programmes and Finance, along with audit processes and investigations on cases of fraud, corruption and other irregularities.	
IOM's annual programme and budget does not currently align with a corporate strategy, but there are ongoing efforts to incorporate RBM and align financial processes with corporate results. IOM is compliant with international accounting standards, including on internal audit, and its management response process is adequate, although relevant documentation on audit processes is not publicly available. Issues or concerns raised by internal audit mechanisms are dealt with through clear processes, and they are supported by relevant policies and guidelines. There are established timelines for addressing issues identified and internal systems for tracking audit processes. However, timelines for addressing identified issues are not always abided by, in part due to insufficient staffing levels. IOM has adequate policies and procedures to detect, prevent and investigate cases of fraud, and the organisation has recently put in place channels for reporting irregularities. IOM also has procedures in place to ensure that staff are aware of relevant procedures.	

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.5**
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	1
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current strategic plan	1
Element 3: The organisational policy or statement is regularly reviewed and updated	4
Element 4: The organisational statement or policy is publicly available	4
MI 4.1 Analysis	**Source document**
Allocation of resources to partners does not fully apply in its standard form to IOM, except in the case of the IOM Development Fund where there are clear criteria for resource allocation to partners, and the Rapid Response Fund (RRF) in South Sudan. As a highly projectised organisation, the majority of resources raised from donors' support projects that are implemented directly by IOM. As noted under KPI 1, IOM's MiGOF currently serves as its main strategic plan.	
Where softly-earmarked/unearmarked funding is received, the Migration Resource Allocation Committee allocates resource according to internal guidelines, including detailed criteria.	
IOM's projectised model means targeting to the highest priority themes/countries/areas of intervention as set out in the MiGOF is limited to the raising of resources as set out in the annual Programme and Budget. The resources requested are not explicitly linked to those of the MiGOF. The IDF makes reference in its criteria to IOM's strategy.	3, 16, 17, 23, 24, 37, 44
The annual Programme and Budget, as the main instruments determining resource allocation to partners, are updated regularly as funding is received. The MiGOF was endorsed in 2015. The IDF guidance notes are updated on a yearly basis, with current guidance being for 2018. Documentation for the RRF for Sudan currently covers the 2017-2019 period.	

IOM's annual Programme and Budget documents are publicly available, and they contained detailed statements of funding commitments and projects, broken down by region, thematic area, as well as being divided into core and operational funds. The guidelines for the allocation of funds to IDF projects and the MiGOF are also available online.	3, 16, 17, 23, 24, 37, 44
MI 4.1 Evidence confidence	**High confidence**

MI 4.2: Allocated resources disbursed as planned	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**4**
Element 1: The institution sets clear targets for disbursement	4
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	4
Element 3: Clear explanations are available in relation to any variances	4
Element 4: Variances relate to external factors rather than internal procedural blockages	4
MI 4.2 Analysis	**Source document**
Other than e.g. for the IDF, IOM's focus is on planning and mapping resources needed against agreed priorities and to respond to member state requests. These, reflected in Annual Programme and Budgets, in effect constitute the targets for disbursement. Disbursement targets for projectised activity (reflected in the operational budget) for the most part meet the margins set out in the budget. For the 2016 financial year, variances in the operational budget are under-spent by 0.002%; and the administrative budget had a deficit of USD 169 307. For 2017, the operational budget is under-spent by 1%; and the administrative budget had a deficit of USD 2 172 126 (mainly due to increase in provision of doubtful receivables, as outlined in the 2017 Annual Financial Report). Clear explanations for variances are presented in annual financial reports, which are publicly available. Variances recorded in the operational budget mainly arise from external factors for example an increase in 2017 in Movement, Emergency and Post-crisis migration management as well as migration health activities; and continued extensive humanitarian assistance provided to ongoing crises in Central African Republic, Iraq, Nigeria, South Sudan and Syria.	11, 16, 17, 22, 23, 25, 27, 38, 44, 65, 66
MI 4.2 Evidence confidence	**High confidence**

MI 4.3: Principles of results-based budgeting applied	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**0.75**
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	0
Element 2: A budget document is available which provides clear costings for the achievement of each management result	0
Element 3: Systems are available and used to track costs from activity through to result (outcome)	1
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	2

MI 4.3 Analysis	Source document
The most recent organisational budget does not align with the MiGOF. Instead, the budget document is broken down into the Administrative and Operational Parts. Operational costs are in turn divided into eight components. This allocation is in line with the projectised nature of the organisation but does not link resources with results. The budget document does not provide costings for the achievement of management results and systems currently in place do not track costs from activity to result. However, there is evidence that IOM is working to improve costing of management and development results. The development and roll-out of the PRIMA system should allow the tracking of costs against results. PRIMA is set to be rolled out in stages during 2018.	1, 9, 16, 17, 20, 25, 38, 43, 44, 65, 68
MI 4.3 Evidence confidence	**High confidence**

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit	Score
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.33**
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
Element 3: Management response is available to external audit	4
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	4
Element 5: Internal audit functions meet international standards, including for independence	4
Element 6: Internal audit reports are publicly available	0

MI 4.4 Analysis	Source document
External audits are conducted annually, to a level which complies with international standards. The most recent external audit, for 2017, was conducted in line with International Public Sector Accounting Standards (IPSAS). The external audit for 2017 confirms that IOM complies with international standards in accounting (IPSAS standards). Management responses are available for external audits conducted in 2016 and 2017. These provide an action plan/set of recommendations for addressing gaps and weaknesses identified by the external audit. IOM's internal audit function complies with the International Professional Practices Framework of the Institute of Internal Auditors. IOM also has an independent Audit and Oversight Advisory Committee that reports to IOM member states via the Council. According to HQ interviews conducted in June 2018, Internal Audit is completely independent from Management and reports through the Audit and Oversight Advisory Committee, the Director General, and the Annual Standing Committee of Programmes and Finance. Staff interviewed reported no interference from management. The Internal Audit function was said to have been assessed in 2017 and received the highest marks. Internal audit reports are not made publicly available. IOM's financial statements are available on its website.	3, 17, 38, 44, 47, 66, 67
MI 4.4 Evidence confidence	**High confidence**

MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed	Score
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.33**
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	4
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3
Element 3: Clear guidelines are available for staff on reporting any issues identified	2
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	4
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	4
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	3
MI 4.5 Analysis	**Source document**
IOM's internal control frameworks is represented by instruction document (IN71) of 2009 on Internal Control Definitions and Applications. The document details what is included under internal controls (controls of approvals, authorisations, verifications, reconciliations, review of operational performance, safeguarding of assets and segregation of duties); as well as the engagement of key individuals in their application. In addition to this instruction document, the Charter of the Office of the Inspector General (OIG), which manages IOM's audit function, details the responsibilities of OIG. Interviews suggest that the area of risk management is currently undergoing significant overhaul. There are several documents detailing guidance on the procedure for reporting and addressing identified issues. These include Fraud Awareness and Prevention Guidelines, Medical Insurance Fraud Detection, and a Policy on Reporting Irregular Practices, Wrongdoing and Misconduct. According to interviews with IOM staff at HQ level conducted in June 2018, the Internal Audit and Investigation units follow clear rules for addressing identified issues. Clear guidelines are available for staff on reporting any issues identified, in the form of a policy detailing the process for reporting irregular practices, wrongdoing and misconduct. This policy outlines that IOM staff, consultants and interns are obliged to report issues identified to higher hierarchical levels, and sets out procedures for reporting wrongdoing. Training has been provided on the Standard of Conduct and reporting mechanisms available through a dedicated website. Some interviews at HQ level, however, suggest that even though reporting has increased as training is provided and structures are put in place, there continue to be fears related to retribution and protection of whistle-blowers. An internal system is used for recording responses and actions taken to address any identified issues through OIG. This is not made publicly available but a report on the work of the Office of the Inspector General is presented to the Standing Committee on Programmes and Finance on a yearly basis. The report provides an overview of the Office's activities divided by function and caseload for internal audit, investigation, evaluation and project reviews.	3, 5, 15, 16, 25, 44, 47, 70, 71, 72, 74, 75

According to interviews conducted in June 2018 at IOM HQ, issues aim to be addressed within 12 months of being raised. However, the report on the work of the Office of the Inspector General presented to the Standing Committee on Programmes and Finance suggests not all recommendations are addressed in a twelve-month period. This document as well as interviews suggest one reason may be insufficient staffing in different OIG units; staffing numbers have increased between 2014 and 2017.	3, 5, 15, 16, 25, 44, 47, 70, 71, 72, 74, 75
MI 4.5 Evidence confidence	**High confidence**

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities	Score
Overall MI rating	**Satisfactory**
Overall MI score	**3**
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	2
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	4
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	4
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	4
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy)	2
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	2

MI 4.6 Analysis	Source document
IOM has dedicated Fraud Awareness and Prevention Guidelines, as well as a Policy on Reporting Irregular Practices, Wrongdoing and Misconduct. The IOM Standard of Conduct also makes reference to dealing with fraud, corruption and financial irregularities; and there are specific Codes of Conduct for suppliers and vendors. Only the latter two documents are publicly available. All of these documents specify the roles of management and staff in implementing and complying with guidelines, and reporting irregularities. Staff online training on the IOM Standards of Conduct, including sub-contractors, has been undertaken with 95% compliance rate at the time of HQ interviews in June 2018. Some in-person training has also been conducted with Swedish unearmarked funding to 1,689 staff members. The IOM Standard of Conduct training is also part of staff induction. There is also evidence of policy and guideline implementation through reporting to the Standing Committee on Programmes and Finance on an annual basis. There are channels in place for reporting suspicion of misuse of funds. Interviews conducted at HQ suggest that since the establishment of the Ethics and Conduct Office in 2014, cases reported have increased. The July 2015 – June 2016 report of the Office of the Inspector General states that 7% of substantiated allegations were for misuse of funds; and the July 2016 – June 2017 report puts this figure at 25% of substantiated allegations. However, interviews conducted at HQ level suggest that some staff have concerns about reporting irregularities in relation to whistle-blower protection and fear of retaliation. In addition to the Ethics and Conduct Office website, it is also possible to report cases of misconduct through MigApp.	6, 17, 38, 70, 72, 73, 74, 75

Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, are provided to the SCPF, but these documents are not public.	6, 17, 38, 70, 72, 73, 74, 75
MI 4.6 Evidence confidence	**High confidence**

RELATIONSHIP MANAGEMENT
Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)	KPI score
Satisfactory	**2.57**

IOM engages in inclusive partnerships with national stakeholders that support relevance of interventions. Overall, IOM aligns with national and regional priorities in its operations. Its country and regional strategies are aligned with IOM's context and suggest close co-ordination with national partners and stakeholders. The organisation's interventions are strongly contextualised, including on cross-cutting issues, and contextual understanding underpins the drawing of strategies for IOM's work in the countries and regions where it operates. Intervention designs also generally integrate an analysis of national capacities in relation to migration management (broadly conceived), and there is a strong focus on capacity building to achieve effective solutions and maximise sustainable results. IOM exhibits substantial potential for improvement in its management strategies for the identification, management, monitoring and reporting of political, operational, reputational and strategic risks. Analysis of risk in intervention designs is mostly lacking, and guidance on assessing risk, as well as tools for monitoring and reporting on risk, is inadequate.

IOM's intervention designs include analysis of cross-cutting issues particularly strongly on governance, and analyses of environmental sustainability feature prominently too. Analysis of gender as a cross-cutting issue needs strengthening to ensure corporate consistency. IOM has tools in place to monitor the inclusion and analysis of cross-cutting issues in its interventions. IOM's intervention designs incorporate realistic intended measures with regards to sustainability, particularly in the focus on national capacity and systems, and the organisation shows considerable awareness of reform process and legislative context. However, monitoring of sustainability needs strengthening; and sustainability has been found to be compromised by projectisation and short implementation cycles. Institutional procedures for tracking speed of implementation were found to be inadequate. No evidence was accessed during the assessment of IOM's procedures for tracking or benchmarking speed of implementation, although this is understood to be available internally and there is evidence that the organisation can efficiently respond to bottlenecks and to constraints identified in its operations, for example in relation to speed of recruitment or emergency response.

MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results	Score
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.33**
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	4
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	3

MI 5.1 Analysis	Source document
Regional and country strategies are aligned with national and regional priorities on migration, and their content suggests that IOM's work supports the development of national policies and frameworks for, and approaches to, migration governance. Interviews conducted at HQ level highlight that IOM staff in-country, with the support of regional offices and technical advisors, conduct regular discussions with government counterparts to define and establish priorities, and these feed into country approaches and regional strategies, as well as the design of relevant programmes and projects. Most respondents in the MOPAN institutional survey concur that IOM interventions fit national programmes and results of partner countries, with very good fit being the most-chosen option across stakeholder types (government, UN/ IFIs, MOPAN donor government, and I/NGOs). The sample of country strategies reviewed for this assessment suggests close co-ordination with national partners and stakeholders.	
Two regional and two country strategy documents contain explicit results statements. The other IOM regional and country strategies reviewed include strategic objectives or areas of achievement that are linked to supporting or improving national and/ or regional frameworks for migration governance. Interviews conducted at HQ level suggest that efforts are underway to more specifically link results statements at IOM country and regional level with national and regional goals, through ensuring that IOM strategies align with MiGOF (and MCOF in crisis situations), and that these in turn are consistent with regional and national priorities.	8, 9, 59, 60, 61, 62, 77, 78, 79
The structure of being a highly projectised organisation, heavily reliant on member state/donor funding, determines the importance of technical staff investing time and effort in aligning with national and regional priorities to be able to secure funds. Their presence in the ground means that staff are aware of national strategies and priorities, which can then be reflected in IOM's work in-country. However, IOM's rotation policy can sometimes compromise the continuity of staff's time and effort invested in countries.	

MI 5.1 Evidence confidence	High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.5
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	4
Element 2: Context statement has been developed jointly with partners	4
Element 3: Context analysis contains reference to gender issues, where relevant	2
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	4
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	4
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	3

MI 5.2 Analysis	Source document
The operating migration context is taken into account in all six regional strategies and three country strategies reviewed for this assessment. For example, the strategies for South-Eastern Europe, MENA and Central and North America and the Caribbean assess migration drivers, such as socio-economic drivers, or forced migration due to conflict; and they outline varying degrees of migrant vulnerability. The institutional survey suggests that stakeholders in government, IFIs, UN agencies, MOPAN member donor governments and I/NGOs consider IOM interventions to be tailored to the needs of the local context; most responses rated these interventions as very good in this regard (41%), with significant responses in the excellent (19%) and fairly good (22%) options too. There is no explicit reference to the context statement and/or analysis in country strategies being developed jointly with partners. However, interviews detailed processes whereby IOM undertakes contextual analyses that are used as a basis for discussion and strategic planning with governments. IOM stakeholders also indicated there is a Quick Guide to Developing a Country Strategy that contains guidance on context analysis, including partnership landscape and gender analysis – although this document was not reviewed for this assessment. IOM also participates as a member of UN Country Teams in the preparation of UN Common Country Assessments under the UNDAF process with UN and CSO partners; and programming is also aligned with Emergency Response Plans. The extent to which gender analysis is referenced in regional strategies' context analysis is variable, with some detailed analysis (e.g. in the MENA region) and some strategies showing more limited or shallow analysis. The country strategies reviewed did not contain a gender analysis. Reference to environmental sustainability and climate change issues is found in all six regional strategies and three country strategies reviewed for this assessment and three country strategies. These issues are considered in relation to push factors influencing outward migration. Governance is incorporated into context analysis as a central element of the organisation's remit. All six regional and three country strategies reference governance in terms of the frameworks and policy environments for migration in each region, and the status of intra-regional dialogue on the issue. This context is seen to frame gaps and place IOM within a specific working space where governance improvements are needed and where the organisation can provide support. Conflict and fragility are also referenced in regional strategies, although not necessarily in relation to governance but as part of a more general contextual analysis. Contextual analysis of conflict and fragility is also addressed as part of the MCOF strategy papers. The institutional survey conducted for this assessment suggests that partners consider IOM as adaptive to changes in context in most cases. The most common rating in this regard from government, IFI/ UN agency, MOPAN member donor government, I/NGOs and others is very good (35%), with significant responses also for fairly good (23%) and excellent (13%) adaptive capacity to contextual changes.	8, 9, 59, 60, 61, 62, 77, 78, 79
MI 5.2 Evidence confidence	**High confidence**

MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.6**
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	3
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3
Element 3: Capacity analysis statement has been developed jointly where feasible	3
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	2
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	2
MI 5.3 Analysis	**Source document**
For the most part, IOM staff implements projects so the capacity of national implementing partners is not strictly relevant to the organisation. However, intervention designs (as reflected in regional and country strategies) reflect analysis of the capacities of national partners' migration management capacities, anti-trafficking measures etc. as part of IOM's intended capacity strengthening role. Capacity analysis statements are mostly generic, and do not provide information on capacity related to resources (other than broad references to lack of resources) or culture. However, IOM projects and programmes are generally designed in consultation with national stakeholders; the contextual analyses in regional and country strategies make reference to strategies, staffing capacity, migration systems and processes, as well as structure and performance to deal with migration issues specifically. Interviews conducted at HQ level highlighted that there is usually close communication between IOM and national stakeholders that contributes to IOM's understanding of capacity and to identify gaps where its interventions can increase capacity. The institutional survey indicates that partners generally consider IOM to have a realistic assessment of national and regional capacities with most responses concentrated in the very good option (33%), followed by fairly good (28%) or excellent (15%). The process for preparing regional and country strategies detailed by interviewed IOM staff indicates close collaboration between IOM and national partners for developing proposals and projects. This includes assessment of national capacity needs in relevant areas and the incorporation of capacity building considerations into regional and country strategies. Interviews conducted at HQ level suggest that the identification of capacity needs is in the majority of cases conducted in close consultation with national partners and counterparts. Country and regional strategies reviewed provide clear strategies for addressing identified weaknesses, for example in developing policies with governments on counter-trafficking, as well as establishing systems for identifying trafficking victims and establishing appropriate prosecution systems. However, staff indicated that the projectised nature of funding places constraints on ensuring the sustainability of capacity strengthening activities that may require longer timeframes than project cycles to achieve comprehensive change (e.g. establishment of referral systems, development of policies and national strategies and their implementation, etc.).	8, 9, 59, 60, 61, 62, 77, 78, 79

Reflection points with national partners take place as part of regular project review processes. By extension, these include changes in the wider institutional setting which affect capacity. However, these reflection points do not appear to be specifically resourced, and ability to adapt or redirect funding if changes in the wider institutional environment arise is dependent on donor agreement where these changes fall within earmarked funding (the vast majority of IOM resources).	8, 9, 59, 60, 61, 62, 77, 78, 79
MI 5.3 Evidence confidence	**High confidence**

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1**
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	1
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	1
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	1
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	1
Element 5: Risks are routinely monitored and reflected upon by the partnership	2
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	0
MI 5.4 Analysis	**Source document**
IOM's Project Handbook is the basis for the design of interventions. The process for analysing risks includes a process of risk mapping for internal and external risks, and a process for managing risks. Operational and strategic risks are outlined as risk categories in the handbook, with political risks being included under strategic risks. Reputational risk, however, is not addressed in the document. The six regional strategies reviewed for this assessment contained limited or no analysis of risk. All the strategy documents refer to risks faced by migrants or those present in regional contexts, but they do not reflect an analysis of operational, strategic, political and/or reputational risk to IOM as an organisation. Only the regional strategy for the MENA region mentions risk management under IOM's principles; and cites a relevant organisational document; Management of Risk at IOM. Country strategies similarly do not contain an analysis of risk; only one country strategy document states that risk management is part of every project. Interviews conducted at HQ level suggest that risks are not appropriately considered or mitigated, particularly in fragile and conflict situations and humanitarian response where IOM has no access to the ground and relies on partners to implement interventions. Interviews conducted at IOM HQ in June 2018 found that there are efforts underway to put in place a comprehensive framework across the organisation to foster a deeper understanding of risk categories and their impact on all aspects of IOM's work, as well as strengthen the tools available to identify and mitigate risks. This endeavour is under-resourced, with only one staff member dedicated to designing and rolling out IOM's risk assessment and mitigation framework. This position of Risk Officer was created in 2015 through pressure from the Audit and Oversight Committee. There is recognised intent to improve the consideration of risk and its impact on IOM on operational, strategic, political and reputational levels, but these efforts are at a nascent stage.	8, 9, 37, 59, 60, 61, 62, 77, 78, 79

At national stakeholder level, there is a perception that IOM appropriately manages risk. Most respondents with government, IFI/UN agency, MOPAN member donor government and I/NGOs rated IOM's risk management as very good (33%), followed by fairly good (24%) and excellent management of risk (15%). The Project Handbook suggests that adjustments to intervention risk matrices ought to be documented and agreed in line with donor requirements. However, evidence to this effect was not available to this review.	8, 9, 37, 59, 60, 61, 62, 77, 78, 79
MI 5.4 Evidence confidence	**High confidence**

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.29**
Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues	4
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	4
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	4
Element 4: Intervention designs include the analysis of gender issues	2
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	3
Element 6: Intervention designs include the analysis of good governance issues	4
Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues	2
MI 5.5 Analysis	**Source document**
The Project Handbook is the reference document available to IOM staff to design interventions. The Handbook contains a specific section on the integration of cross-cutting issues in project design; all factors listed ought to be considered for each project proposal and in each sector of activities, as well as how cross-cutting issues will be addressed at every stage of the project cycle. In the context of IOM, cross-cutting issues identified in the Project Handbook include human rights, gender, environmental sustainability, and sustainability. The Project Handbook also provides checklists and tools to support the implementation of guidelines on integrating cross-cutting issues into intervention designs. The approval process by the project endorser includes the requirement to review cross-cutting issues. The project review checklist includes reference to human rights, gender, environmental sustainability and sustainability as cross-cutting issues to ensure are mainstreamed into proposals. Interviews at HQ level suggest that this review process helps ensure that cross-cutting issues are taken into account. The Project Handbook's guidance on monitoring and evaluation references the integration of gender, good governance, human rights, and environmental sustainability and sensitivity. Information and analysis on cross-cutting issues is also required in the narrative reporting template (interim and final) for projects, and the narrative report reviewers' checklist contains a checkbox to confirm whether cross-cutting issues were addressed and incorporated into the report.	8, 9, 37, 59, 60, 61, 62, 77, 78, 79

The analysis of gender issues in regional and country strategies is variable. Two regional strategies contain detailed analysis of gender issues, whereas the remaining four either only touch upon it or only mention it in passing. One country strategy reviewed incorporated gender analysis across the document, whereas the other two do not incorporate gender analysis or do so in passing. The six regional strategies and three country strategies make reference to environmental sustainability and climate change, but the depth of analysis varies between documents. One country strategy highlights environmental sustainability as a key strategic goal; and four regional strategies provide detailed analyses of environmental sustainability. The remaining two country strategies and two regional strategies cover environmental sustainability in passing. Governance issues are analysed in all six regional strategies as well as in the three country strategies reviewed for this assessment. Priority intervention areas highlighted in these documents suggest that there is careful consideration of governance in relation to IOM's work, for instance on labour migration, border management, counter-trafficking and so forth. The Project Handbook's guidance on monitoring and evaluation references the integration of gender, human rights, and environmental sustainability and sensitivity. Information and analysis on cross-cutting issues is also required for reporting, and they are also included in the report reviewers' checklist. However, regional and country strategies do not specifically reference monitoring and evaluation on cross-cutting issues, with the exception of the regional strategy for Central and North America and the Caribbean for sustainability. Monitoring and evaluation are mentioned in two country strategies and five regional strategies in a more general sense for overall project monitoring and evaluation.	8, 9, 37, 59, 60, 61, 62, 77, 78, 79
MI 5.5 Evidence confidence	**High confidence**

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.5**
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	3
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	3
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	1
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	3
MI 5.6 Analysis	**Source document**
The Project Handbook, which is the basis for designing interventions, includes sustainability as an element to be addressed. Two country strategies and all six regional strategies incorporate sustainability considerations. In addition, the institutional survey suggests that most respondents think that IOM's interventions are either fairly good (46 responses) or very good (47 responses) to sustain impact over time.	8, 37, 59, 60, 61, 62, 63, 77, 78, 79

Country and regional strategies consider details of the policy and legal environment necessary for implementing IOM interventions, and they make explicit linkages to the MiGOF and to the Sustainable Development Goals. Interviews conducted at HQ indicated that for some interventions, however, sustainability is seen as being difficult to achieve where project cycles are short; and for projects funded under the IOM Development Fund, which for the most part are pilot interventions that would need to secure support to reap further benefits in terms of sustainability. Furthermore, evaluations and reviews of IOM projects and programmes suggest that in some cases shortcomings in sustainability are seen as being rooted in the intervention design phase, although the majority of evaluations and reviews recognised good practice.	
Monitoring and evaluation are only mentioned in passing in the six regional strategies and three country strategies reviewed for this assessment. Only one regional strategy, the one for Central and North America and the Caribbean, make specific reference to monitoring and evaluation to ensure sustainability of IOM's interventions.	8, 37, 59, 60, 61, 62, 63, 77, 78, 79
Shifts in policy and legislation are explicitly addressed in country and regional strategies. IOM's regional and country strategies do specify the organisation's intended efforts for supporting policy and legislative reforms related to migration. These documents regional make reference to working with government, partners and stakeholders to amend and implement policies relevant to interventions; training in policy analysis and policy formulations; and support in aligning policies and legislation to international standards in all areas relevant to migration. HQ interviews also suggest that IOM operates in close co-operation with member states, and that its work takes close consideration of policy and legislation. Nonetheless, projectisation and short project cycles can compromise this process.	

MI 5.6 Evidence confidence	**High confidence**

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.75**
Element 1: Internal standards are set to track the speed of implementation	0
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	0
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	3
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	4

MI 5.7 Analysis	Source document
This assessment did not find evidence that IOM has internal standards to track speed of implementation, or organisational benchmarks for its performance on speed of implementation across operating contexts. Being a projectised organisation, tracking of implementation is understood to take place at field level, with no centralised system bringing all IOM interventions in one place. Progress tracking conforms for the most part to donor requirements and monitoring for donor reports is undertaken during the project cycle. Monitoring of project funding burn rate is currently tracked on PRISM. However, there is intent in centralising information on IOM projects and programmes with the introduction of PRIMA, and this is likely to allow for tracking the speed of implementation. One element that will be tracked with the new system is disbursement of funds against the timeline of the programme or project. IOM does not as yet benchmark its performance on speed of implementation across different contexts.	
In terms of speed of implementation related to procedural delays, evaluations and reviews included in this assessment did not identify procedural delays as a reason for hindering speed of implementation. Delays were sometimes noted in relation to donor procedures, for instance in negotiating contracts; or in disbursement of funds against the stage of implementation, or to external factors, to do with context or the capacity of national partners, for example.	36, 37, 44, 46, 48 49, 50, 54
There is evidence that IOM has taken action to improve procedures for humanitarian emergencies with the Expedited Procedure for Project Endorsement, which allows proposals to be formatted according to donor requirements only and to waive the standard IOM endorsement procedure for projects. This action, however, does not preclude bottlenecks arising from donor procedures.	
Other bottlenecks identified relate to recruitment and staff capacity. Evaluation reports highlight high turnover rates or insufficient project staff as impacting on speed of implementation. Other bottlenecks relate to insufficient M&E capacity to support implementation and reporting. The 2016 Organisational Effectiveness Report states that IOM launched an e-recruitment solution to simplify procedures and clarify staff roles and responsibilities in order to select and deploy staff rapidly and effectively.	
MI 5.7 Evidence confidence	**Medium confidence**

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources	KPI score
Satisfactory	**2.22**

IOM is a highly flexible and adaptive organisation, with sufficiently adaptable procedures in place to allow for adjustment when conditions change; providing it with a strong comparative advantage. IOM's agility is particularly evident in its Emergency and Post-Crisis Migration Management work. Institutional bottlenecks, where identified, have been addressed, though these are generally few given IOM's largely flexible procedures and business practices. Whilst IOM does not clearly and explicitly describe its comparative advantage in corporate documentation when working with partners, it does set out areas of organisational expertise and competencies through which IOM intends to realise its organisational vision including in development and implementation of migration and related policy: the ability to support/co-ordinate joint action on humane and orderly management of migration; the capacity to help address irregular migration; and by providing research, analysis and expert advice as well as capacity-building, services and approaches to migration challenges.

At a strategic and operational level, IOM recognises the importance of synergies and actively seeks out opportunities to leverage greater benefit through joint working. Strategically, IOM's lead role on the Global Compact for Migration as well as its engagement in the cluster system demonstrate strong strategic and operational complementarity with partners at global, regional and national level. IOM actively participates in joint planning exercises, such as participating in the development of UNDAFs. Joint assessment missions are comprehensively evidenced, particularly in relation to assessments in emergencies.

IOM has an Accountability to Affected Populations (AAP) framework in place, developed by an interdepartmental working group which undertook a cross-sectoral review of IOM's policies and activities on accountability to affected populations in relation to the IASC commitments; but greater rigour is required in its application. Whilst IOM does undertake joint assessments, these are ordinary assessments of need rather than of implementation performance, such as Common Country Assessments as part of UNDAF processes. There are some limited examples of joint performance reviews and evaluations, including with UN agencies and with bilateral and multilateral donors. There is significant evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments across the evidence streams; examples include dialogue on the Global Compact on Migration; UN Summits for Refugees and Migrants, World Humanitarian Summit, International Dialogues on Migration, Migrants in Countries in Crisis Initiative, and Global Forums on Migration and Development.

IOM explicitly recognises its role in knowledge production within the international system; with clear reference to knowledge and evidence embedded within the Principles of MiGOF (Principle 2) in support to strengthening migration policy. High profile knowledge products, such as the World Migration Report and the Migration Portal present key data and information on migration, thematic analysis on topical migration issues and global trend data. Internally, corporate information and knowledge management systems require further resources (human or financial) to support them. IOM became a member of the International Aid Transparency Initiative (IATI), and committed to aligning its reporting with IATI standards in May 2017, although it is adopting an incremental approach to the reporting process.

MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change	Score
Overall MI rating	Satisfactory
Overall MI score	2.8
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	3
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	3
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	2
MI 6.1 Analysis	Source document
Evidence indicates that IOM is regarded as a highly flexible and adaptive organisation. Internally documentary evidence, including the Project Handbook and the Emergency Manual, contain detailed descriptions of mechanisms in place to allow adjustments in projects when conditions change these include revisions to the results matrix and Results Monitoring Framework; alongside financing adjustments including budget reallocation and roll-over, no-cost extensions and additional funding. Given the projectised nature of IOM's work, adjustments are dependent and subject to agreement with the project's donor.	36, 37

Interview evidence notes that the Handbook is not universally and consistently used. Interview and consultation evidence indicated that staff were strongly aware of the need for agility and felt satisfied that IOM has sufficiently adaptable procedures in place to allow for adjustment when conditions change. This as being particularly evident in the Emergency and Post-Crisis Migration Management work, where fast-paced shifts in operating contexts demanded this flexibility, particularly for L3s where processes have been shortened, for example prioritising staffing/recruitment decisions and increased project approval decision making authority.

Mechanisms are in place to allow for flexibility of project funds during implementation for example: reallocation of budget, rollover of budget and additional funding with guidance provided in the Project Handbook. As noted above, these are ultimately donor-dependent, with each donor having varying levels of flexibility. Given the projectised nature of work across IOM, a constraint on agility is earmarking of resources; something which the organisation is seeking to change. The Migrating Emergency Funding mechanism is an additional mechanism to allow for flexibility, developed to fill a gap between the advent of an emergency and the availability of donor funds.

IOM's institutional procedures allow for changes to be made at country/regional level where required, with revisions to be endorsed by the original project endorser and approved by the donor as detailed in the Project Handbook. As noted above, under emergency conditions, provision is also made in guidance and procedures for changes to be made including the Expedited Procedure for Project Endorsement (EPPE), staffing/recruitment decisions and increased project approval decision making authority at country/regional level. This is reflected in documentary evidence including the Emergency Manual. Interview and consultation evidence confirmed that timely changes occur in practice. As the ability to implement these modifications is ultimately donor-dependent, staff are advised to contact the local donor counterpart in country and advise them that a project modification is requested.

36, 37

Evidence from the survey on whether IOM uses regular review points with partners to identify challenges provides positive responses: with 80% of respondents rating fairly good (36%), very good (35%) or excellent (9%) demonstrating strong performance in this area.

Limited documentary evidence is available that common institutional bottlenecks have been explicitly identified and addressed, though implicitly Annual Reports do identify high level measures taken to improve operational efficiency; including processes to support optimal delivery of services, which may be interpreted as such. Documentary evidence identifies the main potential institutional bottleneck as the project endorsement process, which was also noted in staff interviews. The implementation of PRIMA should significantly enhance the project endorsement process and a guided presentation with IOM managers demonstrated its application in practice. For emergency projects, this has been addressed through the Expedited Procedure for Project Endorsement (EPPE), the main fast track procedure for endorsement, which allows for the omission of the normal requirement that a proposal be formatted in the standard IOM proposal template, using the donor's requirements only, and with the standard endorsement procedure waived.

The institutional survey conducted for this assessment suggests that partners consider IOM as adaptive to changes in context in most cases. The most common rating in this regard from government, IFI/UN agency, MOPAN member donor government, I/NGOs and others is very good (41%), with significant responses also for fairly good (22%) and excellent (19%) adaptive capacity to contextual changes.

| **MI 6.1 Evidence confidence** | **High confidence** |

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.25**
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	2
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	2
Element 3: The organisation aligns its resources/ competencies to its perceived comparative advantage	3
Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect	2
MI 6.2 Analysis	**Source document**
IOM does not clearly and explicitly describe its comparative advantage in corporate documentation, when working with partners; but does set out areas of organisational expertise and competencies through which IOM intends to realise its organisational vision (see MI 1.1, above). These include the development and implementation of migration and related policy; supporting joint action on humane and orderly management of migration; addressing irregular migration; and providing research, analysis and expert advice as well as capacity-building, services and innovative approaches to migration challenges. Comparative advantages may therefore be considered implicitly recognised. Interview and consultations exert that IOM is regarded as 'responsive'; 'flexible'; capable of 'getting things done that other agencies can't. Evidence from the survey on whether partners have a clear understanding of IOM's comparative advantage provides an overall positive response: with 62%% of respondents rating fairly good (19%), very good (27%) or excellent (16%) demonstrating partner clarity in this area. There was, though, a notable representation of respondents who replied fairly poor; very poor; or extremely poor alongside those don't know/no opinion (7%) respondents potentially suggesting further work for IOM on communicating and demonstrating clearly what IOM's comparative advantage is. As noted above, comparative advantage is implicit, outlining organisational capacities and competencies, though recognised by staff and partners. There are very few examples of clearly evidenced statements of comparative advantage in Regional Strategies, and these are not well supported by evidence of organisational capacities and competence. Examples include providing leadership on migration issues by coordinating efforts of various partners at national and regional levels. Significant work is being undertaken on partnership working with IOM, across all levels of the organisation to map out who IOM is working with; why they are working with them; and what the combination of organisational expertise and competencies will allow. This is work in progress, with the support of external expertise.	1,2, 8, 9, 34, 44, 59, 60, 61, 62, 63

As noted above, the vast majority of IOM resources are dedicated to, and earmarked for, specific projects or initiatives. Implicit within this is that the organisation is aligning its resources/competencies to its perceived comparative advantage, including the development and implementation of migration and related policy; supporting joint action on humane and orderly management of migration; addressing irregular migration; and providing research, analysis and expert advice as well as capacity-building, services and innovative approaches to migration challenges. More explicitly, documentary evidence contains examples of applying resources and competencies to support IOM's competency in addressing migration issues, though as for Element 1 above, these are mainly presented as "organisational activities/achievements"; including contributing to efforts to mainstream migration and include migrants' rights in policies produced by different ministries, by providing training and technical assistance through expert secondments and participation in relevant task forces as well as providing governments and NGOs with training on migrants' rights under the national legislation, as well as on migration and diversity management as noted in the Annual Report. Evidence that IOM deploys its organisational expertise and competencies to positive effect when working with a broad range of partnerships is indicated in its work with UN agencies on specific areas (e.g. health with WHO/UNAIDS), its work in the cluster system in emergencies (e.g. CCCM cluster strategy and its role in the Global Migration Network; as well as working with the private sector (e.g. on region or country specific PPPs). Documentary evidence, including Regional Strategies, reflect its areas of expertise as described through its programming approaches and how IOM deploys these to positive effect.	1,2, 8, 9, 34, 44, 59, 60, 61, 62, 63
MI 6.2 Evidence confidence	**High confidence**

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems	**Score**
Overall MI rating	
Overall MI score	
Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	N/A
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	N/A
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	N/A
Element 4: Reasons for non-use of country systems clearly and transparently communicated	N/A
Element 5: Internal structures and incentives supportive of greater use of country systems	N/A
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	N/A
MI 6.3 Analysis	**Source document**
This indicator is not applicable to IOM, given its operational modality of donor-funded projects.	
MI 6.3 Evidence confidence	

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.6**
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	3
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	1
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	2
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	0
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	2
MI 6.4 Analysis	**Source document**
At a strategic and operational level, IOM recognises the importance of synergies and actively seeks out opportunities to leverage greater benefit through joint working. Strategically, for example, IOM's lead role on the Global Compact for Migration as well as its lead of the Global Camp Co-ordination and Camp Management Cluster in natural disasters. Each of IOM's regional strategies identify a wide range of partnerships with which IOM is involved; such as including humanitarian and development partnerships with international organisations; national and local government; civil society; and the private sector; as well as diaspora engagement. IOM has arranged regular global consultations among the chairs and secretariats of principal Regional Consultative Processes on migration, to foster synergies and exchanges, share information, experiences and good practices on a range of migration topics. Since IOM's projects are funded by individual donors, reference to synergies at country level occur mainly in relation to partnerships within projects. Evidence from the survey on whether IOM prioritises working in synergies/ partnerships provides a positive response: with 87% of respondents rating fairly good (30%), very good (39%) or excellent (19%) demonstrating strong performance in this area. IOM has the potential, therefore, to clearly and explicitly express a statement on its comparative advantage. As noted above, IOM's lead role on the Global Compact for Migration provides a clear example on how IOM seeks to avoid duplication/fragmentation though due to the ongoing work, here a realistic assessment of comparative advantage has not been fully articulated. Interview and consultation evidence suggests IOM is aware of the need to be more explicit in this regard; particularly as its work on GCM begins in earnest. Regional strategies, whilst presenting partnerships in which IOM is engaged, do not articulate a clear strategic positioning for IOM relative to other actors. There is some evidence that IOM recognises the need to target its interventions to contribute to the greatest impact, with regional strategies in particular identifying wider intended results, to which IOM's own interventions in the region are intended to contribute. Interview and consultation evidence notes further work remains to be done in order to ensure IOM understands causality of change, with a need to clarify what IOM's contribution is. Global and regional strategies do not present a clear statement of how leverage will be ensured. Documentary evidence provides implicit evidence of how resources will be used catalytically to achieve the intended wider changes. Regional strategies in particular and the associated results frameworks locate IOM's interventions as contributing to wider intended results.	2, 8, 9, 20, 37, 59, 60, 61, 62
MI 6.4 Evidence confidence	**High confidence**

MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.)	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.33**
Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	3
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	3
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.)	2
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	2
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	1
MI 6.5 Analysis	**Source document**
With IOM now officially part of the UN system, its role in joint planning exercises is increasingly formalised; as noted in interview and consultations. In particular, interviews and consultations with country and regional staff note that in most cases IOM has actively participated in joint planning exercises such as participating in the development of the United Nations Development Assistance Framework (UNDAF), even before joining the UN, ensuring that such joint planning exercises feed into IOM's country strategies and that IOM contributes to the joint planning exercises. Documentary evidence notes IOM is a signatory to most UN Development Assistance Frameworks or similar national plans that are currently in place. Strong evidence also exists that joint planning and co-ordination with relevant partners in IOM's Emergency and Post-Crisis Migration Management work. Regional strategies do not explicitly reference UNDAF; though references in some regional strategy note alignment with other relevant strategies, frameworks, and processes, including the United Nations Partnership Assistance Framework (UNPAF), as well as relevant national strategies in the country. In addition to evidence presented above, corporate documentation provides guidance on aligning IOM projects with joint planning instruments such as the UNDAF and/or within the cluster system. Guidance advises project developers to consider official statements of government policy, such as national legislation or plans of action, or written letters of request from host governments; policy statements and recommendations of regional communities, processes, or strategies, such as the Economic Community of West African States (ECOWAS), the Bali Process, the Puebla Process or the Abu Dhabi Dialogue; international structure and processes, such as the Inter-Agency Standing Committee (IASC), UNDAF, the One United Nations Initiative, or the Millennium Development Goals (MDGs); and international or regional legal instruments or standards. Regional strategies note alignment with other relevant strategies, frameworks, and processes, including the United Nations Partnership Assistance Framework (UNPAF), as well as relevant national strategies in the country. Evidence from interviews and consultations indicates that IOM seeks to ensure projects support broader, long-term strategies or plans of action, such as national, regional, and/or global strategies that have been set by state authorities or intergovernmental bodies.	1, 2, 6, 8, 17, 20, 27, 29, 31, 36, 37, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56

Interview and consultation evidence across the three levels of the organisation note active engagement and participation in opportunities for joint programming where these exist. Guidance within the Project Handbook notes that due to the collaborative nature of IOM projects and initiatives, conceptualising and preparing proposals within these joint planning frameworks and instruments will require more lead time and intensive co-ordination with the United Nations and other agencies. Examples from the Annual Report include: co-operation with ILO to develop their training partnership for the International Training Centre of ILO in Turin; partnerships with the United Nations Office on Drugs and Crime (UNODC) to address migration-related organised crime, most notably under the Global Action to Prevent and Address Trafficking in Persons and the Smuggling of Migrants project and the Inter-Agency Co-ordination Group against Trafficking in Persons; and a partnership with the Central American Regional Coalition to Counter Trafficking, which resulted in a pioneering regional victim assistance protocol.	
Whilst there is no evidence available that IOM has participated in joint monitoring and reporting processes with key partners; joint assessment missions are comprehensively evidenced, particularly in relation to assessments in emergencies. Guidance notes the importance of coordinated assessments, advising they are either conducted jointly or through a harmonised approach. Categories include: Common Country Assessments as part of UNDAF processes; Inter-Agency/Inter-Sectoral Assessments; Cluster/Sectoral Assessments; and Agency Specific Assessments.	1, 2, 6, 8, 17, 20, 27, 29, 31, 36, 37, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56
Information and knowledge management are identified by IOM as key areas for improvement. At a corporate level, the World Migration Report has been adapted over tim to meet the demands of key partners and other stakeholders; presenting key data and information on migration as well as thematic chapters on topical migration issues. The Migration Portal similarly provides global trend data. The publicly available list of evaluations conducted by IOM also provides a limited source of evidence on the delivery of evaluation activities. There is no strong evidence at a country or regional level to suggest an ongoing process of identifying shared information gaps with partners and strategies developed to address these.	
Evidence from the survey on whether IOM participates in joint evaluations at country/regional level provides a mixed response: with 58% of respondents rating fairly good (16%), very good (32%) or excellent (10%) in this area. However, a significant number of Don't know/no opinion responses were received (36%), potentially identifying IOM has further work to do here.	

MI 6.5 Evidence confidence	**High confidence**

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/ implementation partners on an ongoing basis	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.8**
Element 1: Information on the organisation's website is easily accessible and current	2
Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems	2
Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (CRS) guidelines	2
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	2
Element 5: Evidence that information shared is accurate and of good quality	1

MI 6.6 Analysis	Source document
A range of information is available on the IOM website, though it does not yet present detailed analytical information pertaining to budgeting, results, and so on. As noted below, in KPI 7.2, IOM is actively engaged in the development of a public results platform to be completed by 2020. There are also ambitions to synchronise website search mechanisms with PRIMA to allow analysis and search functionality by country, year and thematic area. Interview evidence also notes the desire to set-up a donor portal to strengthen the reporting landscape; though this is not yet beyond an initial idea stage. IOM became a member of the International Aid Transparency Initiative (IATI), and committed to aligning its reporting with IATI standards, in May 2017, though adopting an incremental approach to the reporting process. IOM has achieved its commitment to begin publishing information according to IATI's data standard within a year of joining the initiative IOM has published information on 194 projects between February and June 2018. The data elements released for each activity cover the project description, activity budget, incoming commitment (funding confirmed), beneficiary country, activity start and end dates, humanitarian/development marker, sector categorisation, OECD-DAC purpose code and the identification of key agencies involved. However IOM have not yet made results analysis available. Evidence from the survey on whether IOM shares key information with partners on an ongoing basis provides a generally positive response, with 73% of respondents rating fairly good (30%), very good (30%) or excellent (13%) in this area.	44
MI 6.6 Evidence confidence	**High confidence**

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.5**
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	3
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	3
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	0
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	3
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	0
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	0

MI 6.7 Analysis	Source document
IOM has an Accountability to Affected Populations (AAP) framework in place, developed by an interdepartmental working group which undertook a cross-sectoral review of IOM's policies and activities on accountability to affected populations in relation to the IASC commitments. IOM is an active member of the IASC Task Team on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse. There is some interview and consultation evidence to suggest that whilst the AAP is significant development and a useful framework, it does not cover key areas of work (e.g. integrated health-related issues, where mechanisms to address weaknesses of AAP were established, such as the Global Health Assessment Programme Risk Management and Governance Taskforce). Application of AAP standards is variable according to interview evidence.	
Guidance is provided to IOM staff requiring project developers in humanitarian contexts to adhere to the five IASC commitments to AAP (demonstrating leadership on and improving governance of AAP; promoting transparency; facilitating feedback and complaints; ensuring participation of the affected population; and incorporating AAP into project design, monitoring and evaluation); and refers staff to a range of tools to help them on key dimensions of AAP. These include, MCOF MC/2355, which provides guidance on humanitarian communications; IOM's Humanitarian Policy; and IN232 on guidance on protection mainstreaming, which requires IOM staff to mainstream participation, communications and accountability to beneficiaries in projects, which are key pillars of AAP. IOM also led the development of the "Best Practice Guide to Establish Inter-Agency Community-Based Complaint Mechanisms (CBCM)", as well as the Standard Operating Procedures, which are contained in the Emergency Manual; as well as the CCCM Toolkit, which contains specific guidance for AAP in such contexts.	1, 2, 20, 31, 33, 36, 37, 40
No training has been conducted on the implementation of procedures for accountability to beneficiaries.	
The updated Project Handbook requires adherence to the IASC commitments to AAP, and further refers project developers to the other tools as mentioned above for guidance specific to that aspect of AAP, e.g. The Emergency Manual includes the "Best Practice Guide to Establish Inter-Agency Community-Based Complaint Mechanisms (CBCM)", as well as the Standard Operating Procedures. Evidence from staff of their use indicated this is not systematically applied.	
Approval mechanisms do not explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention; for example AAP is not referenced in the Project Review Checklist for project endorsers.	
Monitoring and evaluation procedures do not explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention; for example, there is no reference to AAP in project monitoring guidelines within either the Project Handbook or the Emergency Manual.	
MI 6.7 Evidence confidence	**High confidence**

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2**
Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments	2
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	2
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	2
Element 5: Surveys or other methods applied to assess partner perception of progress	0
MI 6.8 Analysis	**Source document**
Whilst IOM does undertake joint assessments, these are ordinary assessments of need rather than of implementation performance, such as Common Country Assessments as part of UNDAF processes. There are some limited examples of joint performance reviews and evaluations, including with UN agencies (e.g. UNDP as part of joint planning and programming in a Conflict Reduction Programme in Sudan) and with bilateral and multilateral donors (e.g. GTZ and USAID). Evidence from the survey on whether IOM shares key information with partners on an ongoing basis provides a positive response: with 73% of respondents rating fairly good (30%), very good (30%) or excellent (13%) in this area. There is significant evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments across the evidence streams; examples include dialogue on the Global Compact on Migration; UN Summits for Refugees and Migrants, World Humanitarian Summit, International Dialogues on Migration, Migrants in Countries in Crisis Initiative, and Global Forums on Migration and Development. IOM's active participation was noted extensively in staff interviews and consultations. There is positive evidence of engagement in the production of joint progress statements in the implementation of migration commitments, with many cited examples available, including: regional and inter-regional Consultative Processes on Migration (RCPs) and background papers and data for the Global Forum on Migration and Development including status updates on Migrants in situations of crises. IOM's active engagement in the production of such joint assessments was noted extensively in staff interviews and consultations. As noted above, the material produced by IOM is intended to feed the global process of progress reporting and policy development. As such, it is not intended to track IOM's contribution to progress. There is no evidence of a partner survey or similar exercise being conducted.	2, 50
MI 6.8 Evidence confidence	**Medium confidence**

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy	Score
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.5**
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	4
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	4
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	3
Element 5: Evidence that knowledge products are perceived as high quality by partners	3
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	3
MI 6.9 Analysis	**Source document**
IOM explicitly recognises its role in knowledge production; with clear reference to knowledge and evidence embedded within the Principles of MiGOF (Principle 2) in support of strengthening migration policy. One of IOM's flagship knowledge products is the World Migration Report, with download rates at circa 13,000 downloads a month for the English version. As noted above, IOM has an internal Data Cluster Working Group with the aim of ensuring that processes are in place to capture, analyse and disseminate relevant and accurate migration data, both internally and with external stakeholders, to improve policymaking and response. IOM is also involved in the Migration Research Leader's Syndicate.

There is significant evidence that IOM produces knowledge products, including the IOM Global Migration Data Analysis Centre works to improve the quality, utility, availability and comprehension of migration data. In 2016, the Centre produced regional guidelines for migration data capacity-building in countries of the Economic Community of West African States (ECOWAS) and Mauritania. The Centre is also developing a global migration data portal, which will facilitate the sharing and understanding of international data on migration. The Displacement Tracking Matrix (DTM) is IOM's institutional system for tracking and monitoring displacement and population mobility, used in 44 countries. Data collection activities relating to internal displacement took place in 19 countries and data on migrant flows were collected in 15 countries. IOM also produces the World Migration Report biennially and Global Migration Trends Factsheets. In order to test how effective IOM's knowledge products and publications are, steps have been taken to monitor. For example, for the World Migration Report a survey was designed and deployed to understand how the WMR is being used, favourite topics, other demographic questions. IOM has also set up a Peer Review panel, both internally and externally. | 1, 2, 34, 44 |

There are many examples to illustrate how IOM generates and applies knowledge products to inform advocacy and policy development at several levels. These include background papers and data for the Global Forum on Migration and Development providing status updates on Migrants in situations of crises: Conflict, climate change and natural disasters; Principles, institutions and processes for safe, orderly and regular migration; data and knowledge products for the UN's Summit for Refugees and Migrants in 2016, which helped inform the Report of the Secretary-General, 'In safety and dignity: addressing large movements of refugees and migrants', and the New York Declaration for Refugees and Migrants; inputs to the World Humanitarian Summit, and particularly contributions which helped bring about the Grand Bargain on humanitarian financing; background papers and policy briefs for the Migrants in Countries in Crisis Initiative, which helped contribute to the launching of the MICIC Guidelines to Protect Migrants in Countries Experiencing Conflict or Natural Disasters; and data and knowledge products generated through the IOM Global Migration Data Analysis Centre which inform international, regional and national dialogues on migration. Evidence from the survey on whether IOM's views are well respected in country policy dialogue fora provides a positive response: with 66% of respondents rating fairly good (18%), very good (35%) or excellent (13%) in this area.

1, 2, 34, 44

Evidence from the survey on whether IOM's knowledge products are timely provides a positive response: with 79% of respondents rating fairly good (30%), very good (35%) or excellent (14%) in this area.

Evidence from the survey on whether IOM provides high quality inputs to country dialogue again provides a positive response: with 64% of respondents rating fairly good (20%), very good (31%) or excellent (13%) in this area.

Evidence from the survey on whether IOM provides knowledge products that are useful for respondents' work again provides a positive response: with 82% of respondents rating fairly good (20%), very good (42%) or excellent (20%) in this area.

| **MI 6.9 Evidence confidence** | **High 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: Strong and transparent results focus, explicitly geared to function	KPI score
Unsatisfactory	**1.83**

IOM's results systems are at an emergent stage. There have been some important developments in corporate commitment to RBM; with an increasing focus and emphasis on results evident. Results on how IOM contributes to good migration governance through its operations are tracked against the Migration Governance Framework (MiGOF) through the newly developed, draft Global Results framework, though no comprehensive aggregate-level results framework is fully in place and comprehensively implemented. Corporate performance (i.e. how IOM achieves organisational outcomes through cost-efficient and effective means) is tracked against the Organisational Effectiveness framework. IOM produces an Annual Report and Organisational Effectiveness Report which are presented and discussed with the Council. The structure of the Reports to the Council has been adapted to become more results-oriented. At corporate level, management regularly reviews corporate performance data as evidenced through improvements to the Annual Report; the increasing completion and use of the Institutional Questionnaire; and management review of organisational results frameworks.

Aligned to the Migration Governance Framework, regional and national strategies are gradually being designed or updated and staff members are being given framework-specific training. More than 40 IOM offices are using the MiGOF as the basis of their country strategies, with projects categorised based on the MiGOF outcome; principle/objective. Evidence notes that challenges remain to ensure IOM staff understand causality of change with a need to fully articulate the contribution to higher order objectives across the levels of the organisation. Reporting structures for results becoming increasingly clear; with a growing organisation-wide awareness and appreciation of the different roles and responsibilities at project, country, regional and HQ levels. These roles and responsibilities will be included in the newly issued IOM monitoring Instruction (2018) which states that project managers are responsible for project monitoring hence this should be financed at the project level. Insufficient resources (financial and human) are allocated to RBM systems. These resource constraints mean that i) monitoring at project level is not corporately resourced and has to be included in project budgets (if not included in project design and budgeting, then monitoring costs are not covered centrally) and ii) IOM staff have not yet had access to comprehensive RBM approaches and methods training; nor other knowledge products or staff capacity development.

However, M&E training developed at corporate level is now completed to provide guidance on results, monitoring, use of data. There is a clear corporate commitment to encourage the further use of performance data in planning and decision making, though planning documents do not comprehensively indicate the use of performance data. However, some specific positive examples are notable, including IOM's Emergency and Post-Crisis Migration Management work, where it was more obvious that performance data informs design, planning and implementation. Corporate guidance, including the newly developed Project Handbook, identifies effective results-based practice, though evidence notes the Handbook is not universally and consistently used.

MI 7.1: Leadership ensures application of an organisation-wide RBM approach	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.83**
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	2
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	2
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	2
Element 4: Tools and methods for measuring and managing results are available	2
Element 5: Adequate resources are allocated to the RBM system	1
Element 6: All relevant staff are trained in RBM approaches and methods	2

MI 7.1 Analysis	Source document
No stand-alone results-based management policy exists within IOM, though senior management has made clear statements of intent emphasising a results-based approach explicitly and with consistency through a number of current corporate strategic planning documents. IOM has in place an RBM Roadmap (2017-2020) detailing and visualising the process of strengthening RBM; ultimately aiming to establish a public results platform to be completed by 2020. There is evidence that these intentions and the roadmap are actively being implemented, recognising the MOPAN assessment has taken place mid-process. The Global Results framework is in active use in some instances, but the full version is still in draft form. Results are now tracked against the MiGOF through the newly developed Global Results framework and against the Organisational Effectiveness framework to track corporate performance. It is understood that the development of a comprehensive strategic plan under the leadership of the new DG is ongoing, with final SP to be issued in 2019. In addition, an RBM strategy will be developed in 2019 (pending available funding), with a focus on communication and training. Evidence from the survey on whether IOM prioritises a results-based approach provides positive responses: with 77% of respondents rating fairly good (25%), very good (37%) or excellent (16%). There was also a relatively high response rate of Don't know/No opinion (16%) replies, suggesting that further work on messaging and communicating IOM's commitment to RBM may be necessary. Requirements are in place for the use of an RBM approach in planning and programming with documentary evidence, including the newly updated IOM Project Handbook, emphasising a results-based approach from the Proposal Development stage onwards. However, evidence from interviews noted that the Project Handbook is not consistently used presently. Interviews noted that a more consistent use of a results-based approach in planning and programming is needed in order to keep pace with UN Reform and prepare itself for its GCM role and commitments. Whilst no specific incentives are in place, the small RBM team have worked hard to secure departmental participation and buy-in across the organisation as part of the Global Results framework development and pilot; and ongoing efforts in the roll-out of PRIMA should provide a systematised requirement to use an RBM approach consistently. Ongoing efforts towards RBM mainstreaming have included a series of webinars held for staff worldwide. At corporate level, the Project Handbook offers a documentary guide to staff on setting results targets and developing indicators and makes various tools available for project designers and managers on results. Evidence from interviews suggests, however, that the Project Handbook is not being used consistently. The RBM team's use of Yammer, to which 1,000 of its staff have signed up, provides some opportunity to share good practice and tools and is a recent innovation. The Project Handbook sets out monitoring procedures, emphasising a results-based approach throughout the IOM project cycle; from conceptualisation to evaluation; though evidence from interviews noted that the Project Handbook is not consistently used presently. A Chiefs of Mission Handbook is also available and aligned to a results-based approach. The Office of the Inspector General, through the RBM team, is working on various RBM initiatives that will provide the necessary information to support better M&E within the organisation, beyond the project and programme level addressed in the Project Handbook. Alongside the RBM Yammer group, as noted above, IOM has developed an internal SharePoint system on RBM that contains the institutional questionnaire framework, key documents and strategies, webinars, events, knowledge management links related to RBM. This repository of tools can be used by IOM offices, with webinars and further online facilitator-led M&E training being developed.	1, 2, 4, 5, 8, 11, 20, 25, 26, 31, 34, 37, 40, 44, 51

Adequate resources are not allocated to the RBM system. Whilst there is significant organisational recognition of the progress made and efforts exerted by the RBM team to mainstream RBM at an institutional level and push the results agenda forward internally, it is apparent that the team is understaffed and under-resourced. Whilst the RBM team has been able to increase efforts and effectiveness, linked directly to targeted Swedish funding for strengthening the RBM system, greater resources are needed if the demand for more sophisticated results information by members and donors is to be met.

Significant efforts to mainstream RBM have been made, but resource limitations mean that all relevant staff have not yet been comprehensively trained in RBM approaches and methods. Evidence from interview data suggests specific RBM training is a continued area of training in need, requiring a shift away from a focus on the project-based nature of IOM's work towards a clearer focus on results-based planning, management and reporting.

	1, 2, 4, 5, 8, 11, 20, 25, 26, 31, 34, 37, 40, 44, 51
MI 7.1 Evidence confidence	**High confidence**

MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.8**
Element 1: Organisation-wide plans and strategies include results frameworks	2
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	2
Element 3: An annual report on performance is discussed with the governing bodies	3
Element 4: Corporate strategies are updated regularly	0
Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results	2
MI 7.2 Analysis	**Source document**

The Migration Governance Framework, as the de-facto strategic framework for IOM, has its results tracked through the newly developed Global Results framework. Corporate performance improvement initiatives are tracked against the Organisational Effectiveness framework. This self-assessment reporting process is undertaken using the Institutional Questionnaire and Organisational Effectiveness Questionnaire carried out twice a year. Evidence from documentary data and interviews notes that the Administration is applying the MiGOF for planning and reporting purposes; with departments and units strengthening project results frameworks and monitoring against them; though no comprehensive aggregate level results framework is fully in place; nor the global results framework comprehensively implemented.

Projects have to be aligned with SDGs and MiGOF. Work on being able to aggregate results is not yet possible; though it is recognised that given the projectise nature of IOM's work in context-specific areas, this presents significant challenges. This is being addressed as part of the design ambitions of PRIMA for all. Evidence from the survey on whether IOM bases its policy and strategy decisions on robust performance data provides a somewhat positive response: with 63% of respondents rating fairly good (16%), very good (36%) or excellent (12%). There was also a relatively high response rate of Don't know/No opinion (20%) replies suggesting that further work on demonstrating the link between evidence, policy and strategy may be necessary.

	1, 2, 5, 11, 20, 24, 28, 31, 34, 44, 54

Documentary evidence, including the Organisational Effective report, notes IOM's adoption of a "whole-of-organisation approach to programming". Aligned to the MiGOF, regional and national strategies are gradually being designed or updated and staff members are being given framework-specific training. Evidence shows more than 40 IOM offices are using the MiGOF as the basis of their country strategies, with projects categorised based on the MiGOF outcome, principle and/or objective. Evidence from documentation and interviews at a country level indicates that, as far as possible, a single results framework, aligned to the MiGOF, is developed though evidence suggests this is not implemented in all cases and is more likely to occur in medium-large Country Offices. Guidance is provided to the Chief of Missions, within the CoM handbook, detailing their responsibility for developing a country strategy aligned with the MiGOF. Interviews and consultation evidence suggests a logical flow between country and global strategic plans.

IOM produces an Annual Report, which is presented and discussed with the Council. The structure of the Annual Reports to the governing body has been adapted according to the MiGOF and in recent years has become somewhat more results-oriented in detailing how IOM contributes to good migration governance through its operations. The Annual Reports are based on the self-reported Institutional Questionnaire, as noted above, completed by all regional and country offices twice a year. IOM is presently designing an online platform to visualise global, regional and country results, as well as information important to effective management. The Annual Report is produced alongside the Organisational Effectiveness Report, which is presented and discussed with the Council and adapted to the Organisational Effectiveness framework. The Organisational Effectiveness Reports highlights how the organisation supports the field to produce the results presented in the Annual Report (based on the MiGOF).

Evidence from interviews notes that updates to corporate strategies are awaiting new leadership as of October 2018.

The Annual Report and the Organisational Effectiveness corporate reports outline achievements against intended results, through self-assessment reporting. Within the Annual Report, achievements are presented against each of the 3 principles and objectives of MiGOF, with a number of "examples of concrete results" demonstrating illustrations of performance over time. Likewise, the Organisational Effectiveness Report presents measures and achievements that have been taken to improve overall administrative efficiencies; including financial planning and control, capacity-building and IT development. No information is presented on deviations between planned and actual results; though the challenges of IOM's operating context are clearly detailed.

1, 2, 5, 11, 20, 24, 28, 31, 34, 44, 54

MI 7.2 Evidence confidence	High confidence

MI 7.3: Results targets set based on a sound evidence base and logic	Score
Overall MI rating	Unsatisfactory
Overall MI score	2
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	2
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	1
Element 3: Development of baselines are mandatory for new interventions	2
Element 4: Results targets are regularly reviewed and adjusted when needed	3

MI 7.3 Analysis	Source document
As per MI 7.1 and 7.2, the global results frameworks aligned to MiGOF and the Organisational Effectiveness framework are actively used but still in draft form. Evidence from staff interviews notes that whilst work has been undertaken by the RBM team to consult with each department and division to identify outcomes, outputs and activities for each of the MiGOF principles/objectives, but as recorded in documentation, these are not yet fully adequate to capture causal pathways between interventions and the outcomes. Furthermore, interview evidence notes that challenges remain in order to ensure IOM staff understand causality of change. There is clear evidence of the need to articulate what the contribution to higher order objectives are across the levels of the organisation. Documentary evidence from internal reviews and external evaluations of IOM projects generally points to room for improvement in the development of project-level results frameworks. Some examples of Country Strategy results frameworks are noted with signs of improvement. It is noted that there are intentions to improve formulation of targets and indicators to capture causal pathways between interventions and the outcomes, via the Project Information Application to be launched early 2019 at project level. At corporate level, a full review of the institutional indicators will be part of the ongoing Strategic Planning process in 2019.	
Significant work has been undertaken between the RBM team and the technical/thematic teams across IOM to ensure the development of, and tracking against, relevant indicators; though a review of indicators matrices show that these indicators are not always relevant to the expected results to enable measurement of the degree of goal achievement. Documentary evidence from external evaluations notes some projects have a indicator protocol in place that defines relevance.	37, 46, 48, 50, 51, 54, 55, 56
Corporate guidance, provided through the Project Handbook, advises that baselines are developed as part of the projects results matrix; however, baselines do not clarify a mandatory requirement under the Project Review template; and as noted above, the Project Handbook is not consistently used by all staff IOM's guidance on monitoring and reporting requires that narrative reports are generated, which assess the progress since the baseline, and the narrative report template contains a section on progress since the baseline. Evidence from interviews and consultations indicates that staff are aware of the importance of good baselining.	
Corporate guidance, provided through the Project Handbook, identifies scope for project modification; including revisions to the results matrix arising from external risks to the project; project monitoring efforts which may reveal that the activities being conducted are not leading to the expected outputs, or that the outputs being achieved are not resulting in the expected outcomes. There is a clear process to renegotiate the results framework and targets with the donor outlines. Evidence from interviews and consultations suggests that staff regularly review results targets.	
MI 7.3 Evidence confidence	**Medium confidence**

MI 7.4: Monitoring systems generate high quality and useful performance data	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.29**
Element 1: The corporate monitoring system is adequately resourced	1
Element 2: Monitoring systems generate data at output and outcome level of the results chain	1
Element 3: Reporting structures are clear	2
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	2
Element 5: A system for ensuring data quality exists	0
Element 6: Data adequately captures key corporate results	2
Element 7: Adequate resources are allocated to the monitoring system	1

MI 7.4 Analysis	Source document
As noted in MI 7.1 Element 5, inadequate resources are available for corporate results reporting, and this extends to the corporate monitoring system. Swedish funding was positively cited as having a catalytic effect on improved reporting. This has allowed IOM to make reporting more coherent and enhance its co-ordination. All HQ departments and divisions integrate their questions on results into the Institutional Questionnaire. Response rate for the Questionnaire have increased from 75% in 2016 to 98% in 2018. Corporately, as noted above, the RBM system is in transition and work is under way to develop the monitoring systems further. As it stands, few elements of a functional monitoring system are established to generate good quality results data, particularly at outcome level. Results data is not aggregated adequately to generate useful performance data. As noted above, the introduction of the PRIMA system should greatly strengthen this process when finalised and operational. The reporting structures for results are becoming increasingly clear; with a growing organisation-wide awareness and appreciation of the different roles and responsibilities at project, country, regional and HQ levels. Detailed guidance is offered in the Project Handbook, particularly targeted towards Project Managers, Regional Liaison and Policy Officer (RLPO) who are required to prepare, review, or submit narrative and financial reports. A reporting flowchart is also presented within the Project Handbook. Documentary evidence presents examples of M&E operational planning within country strategies; through the project development and implementation stages regarding the collection of data to measure progress and inform management of the extent of progress and achievement of objectives. The RBM team is working with departments and divisions to ensure guidance is developed and issued on how to check the quality of results reporting within this structure. With the use of the Institutional and Organisational Effectiveness Questionnaires issued at fixed points during the year, there is a systematic process of reporting that is generating data in a timely way feeding into corporate reporting through the Annual Report to the Council. As the public results platform is completed by 2020, as noted above in MI 7.1, there will be greater opportunities to aggregate and generate results reporting by country, region, topic/theme and partner to further strengthen the transparency of reporting and planning. At present, no system for ensuring data quality exists. The RBM team are working with divisions to ensure they develop guidance to Regional Offices on how to check the quality of results reporting. Presently, as noted above, all information provided through the Institutional Questionnaire is on declarative/self-reported basis without quality control or verification of the causal link. Corporate reporting on results does not fully capture key results. Interview and consultation evidence notes there is continued work by IOM, both by the RBM team and through the Data Steering Group, to review, assess and look at ways to strengthen the quality and usefulness of data that is being collected and its adequacy. Translating this data into meaningful corporate results reporting is an ongoing endeavour that IOM is fully aware of and have demonstrable evidence through iterative development of the Annual Reports. Adequate resources are not allocated to the monitoring system. For example, monitoring at project level is not corporately resourced and has to be included in project budgets: this then places a dependency on whether donors are prepared to pay.	3, 11, 37, 40
MI 7.4 Evidence confidence	**High confidence**

MI 7.5: Performance data transparently applied in planning and decision-making	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.25**
Element 1: Planning documents are clearly based on performance data	2
Element 2: Proposed adjustments to interventions are clearly informed by performance data	2
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3
Element 4: Performance data support dialogue in partnerships at global, regional and country level	2
MI 7.5 Analysis	**Source document**
Planning documents are based on performance data in some cases. Documentary, interview and consultation evidence shows whilst there is a clear corporate commitment to encouraging the further use of performance data in planning and decision making, planning documents do not comprehensively indicate the use of performance data. Some specific examples were noted from interview and consultation evidence, including IOM's Emergency and Post-Crisis Migration Management work, where it was more obvious that performance data was informing design and planning. With the full roll-out of PRIMA, performance data should be more readily available and systematised. Evidence from the survey positively supports that IOM uses robust performance data when designing and implementing interventions; with 73% of respondents rating fairly good (25%), very good (31%) or excellent (17%). There was also a relatively high response rate of Don't know/No opinion replies (21%) suggesting that further work on demonstrating the link between performance data and design/implementation may be necessary.

Adjustments to interventions are noted as sometimes necessary within the Project Handbook, with the need for changes identified by monitoring the project's implementation; this is interpreted as the use of performance data. Interview evidence notes that the Project Handbook is not universally applied. However, interview evidence also notes that adjustments to projects are informed by performance data. This was most clear in IOM's Emergency and Post-Crisis Migration Management work where more 'real-time' monitoring and performance data was feeding through to course corrections and adjustments on the ground.

At corporate level, management are regularly reviewing corporate performance data as evidenced through improvements to the Annual Report (noted in 7.2, above); the increasing completion and use of the Institutional Questionnaire; and management review of organisational results frameworks (recognising these are still in draft).

Performance data supports some limited dialogue in partnerships at global, regional and country level, though given the paucity of performance data this is only possible in some cases. Evidence from interviews and consultations notes that when working with partners at a country level, IOM ensures technical meetings are organised to discuss operational issues; meeting every few months for discussions to ensure that partnerships in the field are effective and implementation on track. It was noted that the outcome of partner discussions on performance and implementation does not always cascade up and down the organisation, so it may be the discussions held in the field are not informing discussions being held in HQ; and vice versa. | 11, 37, 46, 51 |
| **MI 7.5 Evidence confidence** | **Medium confidence** |

KPI 8: Evidence-based planning and programming applied	KPI score
Unsatisfactory	**1.11**

Recognising the high standards applied within the MOPAN assessment framework, the document review, interviews and consultations found a nascent evaluation function, constrained by limited funding and capacity which hampers the evaluation function's effectiveness. IOM evaluation function does not meet the independence criteria established by the global evaluation community. IOM's work to develop a new evaluation policy and strategy, including a policy on decentralised evaluation, together with a corporate Monitoring and Evaluation strategy is noted. The Evaluation Policy and the Monitoring Instruction were finalised and distributed in September 2018. The current policy statements on evaluation do not describe the principles to ensure quality and use of findings though a central, biennial evaluation plan sets out planned coverage. The evaluation function does not have full discretion in deciding the programme of evaluations, which are heavily mediated by donor requests given the projectised nature of IOM's work. The evaluation plan covers a range of evaluation objects and approaches.

There is an increasing culture of evaluative understanding and practice emerging, with a clear corporate recognition of its importance; though this needs further active direction, management and resources to ensure knowledge, skills and experience are available internally to match the recognised need. More engagement by the evaluation function with different departments and divisions within IOM would strengthen its effectiveness, as would a more strategic approach to learning and knowledge sharing. The evaluation function has worked hard to create an internal network of M&E practitioners across the different levels of the organisation. This network acts as a "community of practice", further strengthening the culture of evaluation. There is some use of collaborative technologies to allow information sharing across the community. A commonly understood structured and systematic process does not exist to ensure the quality of all evaluations, including decentralised evaluations.

Recommendations and performance are not systematically tracked. No formal organisation-wide requirement is in place to ensure the use of lessons from past interventions are systematically taken into account in project design. IOM corporately does not produce a timeline for the implementation of key evaluation recommendations; nor does it have a system to track implementation. IOM does not produce an annual report on the status of use and implementation of evaluation recommendations publicly. IOM has launched an ambitious project management system, PRIMA FOR ALL, which will provide a results-focused approach to programming that incorporates monitoring and evaluation of project implementation performance across all IOM's projects. This is in the final stages of roll-out. IOM does not have an accessible repository of evaluations and their recommendations is available for use. Though it should be noted that it is anticipated recommendations will be listed in PRIMA for all project-based evaluations No corporate mechanism is available and employed to disseminate lessons learned to partners, peers and other stakeholders; nor a system in place and used to track the uptake of lessons learned. There is no evidence available that lessons learned, and good practices are being applied. The lack of peer or external independent review is notable; this could support benchmarking and inter-agency learning. There have been efforts to ensure consistency in internal evaluations through internal evaluator training and coaching support. 70 people have been trained.

MI 8.1: A corporate independent evaluation function exists	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**0.67**
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (operational independence)	0
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (Structural independence)	0
Element 3: The evaluation office has full discretion in deciding the evaluation programme	2
Element 4: A separate budget line (approved by the Governing Body) ensures budgetary independence	0
Element 5: The central evaluation programme is fully funded by core funds	0

Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	2
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (Behavioural independence)	N/A

MI 8.1 Analysis	**Source document**
The IOM evaluation function does not meet the independence criteria established by the global evaluation community. It does not have full operational independence. It forms one part of the Office of the Inspector General (OIG), providing a function of a consolidated internal oversight mechanism covering internal audit, evaluation, rapid assessment and investigation. The OIG is one of eight units and functions that report directly to the Office of the Director General (ODG). The evaluation function of OIG conducts evaluations according to its own internal plan (see Element 3, below), and on request by project staff. There is no evidence that the IOM evaluation function has been subject to any peer review, or subject to other external, independent review.	
The Head of Evaluation does not report into the Council or SCPF (highest governing authority) of IOM. Instead the Head of Evaluation reports into the Inspector General, alongside other internal oversight functional heads. The Inspector General reports directly to the Director General (DG), through the Office of the DG who endorses the conclusions and recommendations of the evaluations performed by OIG. Whilst the Inspector General function has always been an important mechanism for member states, interviews reported that members have not expressed the need, nor made representations for an independent evaluation function.	
The evaluation function informs the evaluation programme decision making though does not have full institution-wide discretion in deciding the programme of evaluations, which at decentralised level are heavily mediated by donor requests. A central, biennial evaluation plan exists (see MI 8.2). The selection of projects or programmes to be internally evaluated rests at the OIG level, recognising the realities of a decentralised projectised operating model.	3, 4, 11, 22, 25, 26, 37, 44, 45, 46, 47, 51, 52, 54, 55, 56
The evaluation function does not have a separate budget line approved by the Council or SCPF to ensures budgetary independence. A budget line exists in the operational part of the budget within the Annual Programme and Budget Report for the Inspector General, though it does not delineate a specific allocation for evaluation. The evaluation function has a very small complement of staff with only one core staff member and is, not surprisingly, stretched to cover the full range of increasing evaluative demands. Evidence from interviews and consultations notes that resource constraints materially impact the OIG fulfilling its remit and responsibilities despite best efforts.	
The central evaluation programme is not fully funded by core funds. Whilst staff position expenditure comes from operational support income (OSI); no additional funds for the implementation of the central evaluation plan are allocated to OIG in the IOM Programme and Budget. For decentralised evaluations, guidance advises evaluation costs to be built into the overall project costs at the project development stage. This allocated budget is strictly for project evaluation use and guidance notes it should remain unspent until the project has been completed and the project evaluation is to be conducted. However, interviews indicated that this is not always operational reality.	

Whilst there is no evidence that evaluations are submitted to the governing body, specific evaluation are submitted to the DG who reviews the conclusions and recommendations of the evaluations performed by OIG for management use. They may also be submitted to Member States. No annual synthesis report is produced, with a lack of resources cited as the main constraint. Given evaluations are predominantly project- or programme-based these are, therefore, submitted directly for consideration to Project and Programme Managers alongside the Chief of Mission, as well as the Regional Director and donor representatives as required. There was insufficient evidence available to make an assessment overall on whether evaluators at programme/project level had been able to act with behavioural independence.	3, 4, 11, 22, 25, 26, 37, 44, 45, 46, 47, 51, 52, 54, 55, 56

MI 8.1 Evidence confidence	High confidence

MI 8.2: Consistent, independent evaluation of results (coverage)	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.6**
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	1
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	2
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	2
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities	2
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	1

MI 8.2 Analysis	Source document
IOM's current policy statements on evaluation do not describe the principles to ensure quality and use of findings. The practice of ensuring coverage is based predominantly on a call for proposals issued by the OIG to IOM offices and departments, with selection criteria determining inclusion on the evaluation plan (see MI 8.3, below). No explicit definitions, criteria or structured assessment framework exists on quality; making it challenging for staff and evaluators to know what 'good quality' evaluations means for IOM evaluations. IOM cite UN standards for evaluation, though an organisation-specific shared and commonly understood quality assessment framework is absent. Evidence from interviews and consultations noted IOM's work to develop a new evaluation policy and strategy, including a policy on decentralised evaluation, together with a corporate Monitoring and Evaluation strategy that OIG will drive forward. Whilst no overall policy guides the implementation of the different categories of evaluations IOM does provide a series of Technical Reference material which draws from UNEG good practice, including Evaluation Guidelines (2006), which cover issues pertaining to building an evaluation culture in IOM; understanding what evaluation is; managing and conducting evaluations; and utilising, planning and preparing evaluations. The period of validity of the Evaluation Guidelines is not stated but remains in use. The IOM Project Handbook (2016) also contains guidance on evaluation categories. Evidence from interviews and consultations notes the wide use of this guidance.	1, 4, 5, 17, 20, 27, 29, 31, 37, 44, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56

A central evaluation plan is developed biennially, predominantly driven by proposals from IOM offices and departments. The evaluation plan covers programme and project, thematic and strategic evaluations with evidence from interviews suggesting the conduct of 1-2 evaluations per year in each Region. In addition, each of the 9 regions now shares its evaluation plans with the central evaluation function. The number of planned decentralised evaluation varies, with evidence noting up to 40 evaluations planned in one region. This provides HQ with an understanding of where there is a demand for evaluations and on what. However, the central evaluation function has little capacity to support. Evaluations are predominantly funded through project funding or are donor-commissioned and funded. Projects that receive funding from the IOM Development Fund now include a mandatory evaluation to generate lessons learned and best practices. Evidence from the survey on whether IOM has a clear statement on which of its interventions must be evaluated provides mixed responses: whilst some positive evidence exists with 54% of respondents rating fairly good (14%), very good (32%) or excellent (8%), there was a high response rate of Don't know/No opinion replies (29%) suggesting there are many partners not clear on which interventions must be evaluated. The Current OIG Evaluation Plan (2017-18) includes four evaluations approved in the framework of the previous biennial evaluation plan 2015-16 which could not be conducted in line with the initial timing due to "… various factors beyond OIG's control". In total and with the new proposals, OIG is planning to conduct twelve evaluations within this timeframe, some identified as complex. The evaluation function has worked hard to create a network of M&E practitioners; including regional M&E officers, which ensures closer link of M&E between field and HQ; and a roster of 30 internal evaluators, and a Global M&E Network (>100 people registered), with designated SharePoint access for information sharing. There is evidence of sub-regional Networks with several country offices. This network acts as a 'community of practice', strengthening the culture of evaluation. A review of a sample of 16 evaluations from different countries (see KPIs 9-12 below) suggests increased focus on evaluation for accountability and learning; and that increasing numbers of evaluations are being conducted. Evidence from the survey notes that where required, IOM ensures that evaluations are carried out provides mixed results: whilst some positive evidence exists with 56% of respondents rating fairly good (13%), very good (35%) or excellent (8%), there was a high response rate of Don't know/No opinion replies (30%) suggesting respondents are not clear on whether IOM ensures evaluations are carried out.	1, 4, 5, 17, 20, 27, 29, 31, 37, 44, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56

MI 8.2 Evidence confidence	High confidence

MI 8.3: Systems are applied to ensure the quality of evaluations	Score
Overall MI rating	Unsatisfactory
Overall MI score	2
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	1
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	2
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	3
Element 4: The methodology presented incudes the methodological limitations and concerns	3
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	1

MI 8.3 Analysis	Source document
Whilst the evaluation function and practice is informed by UNEG guidance, there are no structured and systematic quality assessment or assurance systems in place. Given resource constraints, the evaluation function does not have sufficient capacity to support quality at design and planning (e.g. reviewing ToRs) or implementation stages (e.g. evaluation process QA; or on draft and final evaluative deliverables) across IOM. According to interviews, once an evaluation is completed, and before listing an evaluation online, Evaluation staff review the evaluation based on a 'mental' checklist of quality, drawing from an appreciation and experience of good practice, rather than an explicit framework. This presents challenges for staff and evaluators to be able to recognise 'good quality' evaluation consistently, and how to objectively meet those criteria. Evaluation capacity building and training activities are available. Since 2018, it has been available for IOM staff who conduct internal evaluations at IOM as it is aimed for evaluators. Coaching is also provided to newly formed evaluators during their initial evaluations to support capacity building and quality assurance.	
Internally, staff recognise their limitations in evaluation capacity. Internal evaluator training and the M&E training (online), now offer technical guidance and resources on methodologies for data collection, analysis and interpretation. Of those external evaluations reviewed, there was evidence that evaluation practices and processes drew from internationally recognised standards and norms, including UNEG; OECD-DAC and Active Learning Network for Accountability and Performance (ALNAP).	27, 28, 29, 30, 37, 45, 46, 48, 49, 50, 51, 52,53, 54, 55, 56
Guidance in the Project Handbook (2012) offers an exploration of the different evaluation methodologies, and guides staff on each about uses, advantages, and limitations. It notes that evaluations can use a single or a combination of different data collection methods, depending on the evaluation questions, and on the needs to verify or cross-check the data. It further identifies a number of common data collection methods for evaluation in IOM, including: review of existing reports and documents; direct observation; interviews; focus group discussions; and surveys. Given evidence of capacity and capability constraints within IOM, there is limited evidence to demonstrate internally conducted evaluations use appropriate methodologies for data collection, analysis and interpretation. Of those external evaluations reviewed, a range of methodologies for data collection, analysis and interpretation are evidenced by 13 of the evaluations reviewed using appropriate methodologies, with each setting out and justifying its methodology in detail.	
Of those external evaluation reports reviewed, most provided in a rounded and balanced way the evidence, findings and conclusions and where relevant recommendations. Individual evaluation reports provided findings and conclusions across agreed criteria in the majority of cases (e.g. DAC criteria relevance, effectiveness, efficiency, impact, and sustainability of activities and outcomes; or other agreed parameters as agreed with donors and other stakeholders) with a limited number of recommendations presented at project, programme, organisational and donor level. Key lessons learned were also identified in some evaluation reports which may support IOM in the future.	
Of those external evaluations reviewed, most present the methodological limitations and concerns clearly and identify mitigating actions taken.	

A commonly understood structured and systematic process does not exist to ensure the quality of all evaluations, including decentralised evaluations. Internal guidance on in-house arrangements for quality checks of evaluations reports is provided in the current IOM Project Handbook (2012). This guidance advises staff to conduct a quality review ensuring the report addresses the objectives of the evaluation, and that the report itself is well prepared and clearly presented, taking into account the UNEG Quality Checklist for Evaluation Reports guidelines. Guidance also advises the inclusion of the Chief of Mission of the Country Office in which the evaluated project was implemented, or the Regional Director if the evaluated project was regional. For thematic evaluations, guidance advises the evaluation report is to be reviewed by the relevant Division at Headquarters and the Office of the Inspector General. This was confirmed in interviews during the HQ visit Reports are then submitted to the Office of the Inspector General, which will list it on the IOM Intranet and IOM website.	27, 28, 29, 30, 37, 45, 46, 48, 49, 50, 51, 52,53, 54, 55, 56
MI 8.3 Evidence confidence	**High confidence**

MI 8.4: Mandatory demonstration of the evidence base to design new interventions	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**0.8**
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	2
Element 2: Clear feedback loops exist to feed lessons into new interventions design	0
Element 3: There is evidence that lessons from past interventions have informed new interventions	2
Element 4: Incentives exist to apply lessons learnt to new interventions	0
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	0
MI 8.4 Analysis	**Source document**
No formal organisation-wide requirement is in place to ensure the use of lessons from past interventions are systematically taken into account in project design; however projects that receive funding from the IOM Development Fund now include a mandatory evaluation to generate lessons learned and best practices; though these projects tend to be comparatively small in scale to thematic IOM projects. Evidence from HQ interviews noted an intention to increase emphasis on distilling lessons, strengthening the systematic use of evaluation findings and recommendations in a structured way and developing a database of evaluative learning is planned for 2019. Guidance in the Project Handbook notes that learning from previous evaluations may lead to the identification of new or follow-up project ideas. Survey respondents reported positively, with 59% of respondents rating fairly good (17%), very good (32%) or excellent (9%) the use of evidence in design, though with a high proportion of 'Don't Know' responses (30%).

Beyond regular project review, as advocated in the Project Handbook, no further evidence showed clear feedback loops exist to feed lessons into new interventions design. Interview and consultation evidence noted that performance data is not yet transparently or consistently applied. The new PRIMA FOR ALL tool may provide opportunities here. | 11, 20, 37, 50, 51, 54, 55 |

There is some evidence that lessons from past interventions have included new initiatives, but these are specific examples rather than systematic across the evidence base: notable examples include the final evaluation report on the IOM/UNDP Joint Conflict Reduction Programme which identifies that successes, lessons learned and ongoing analysis of the changing conflict dynamics have been built upon. Likewise the Mid-Term Review of the IOM Partnership on Health and Mobility in East and Southern Africa (PHAMESA II) notes the programme builds on lessons learned from previous phases incorporating the evaluation recommendations of PHAMSA. There were no incentives identified to apply lessons learnt to new interventions. The number of new operations designs drawing on lessons from evaluative approaches are not made public.	11, 20, 37, 50, 51, 54, 55

MI 8.4 Evidence confidence	**High confidence**

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2**
Element 1: A system exists to identify poorly performing interventions	2
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	2
Element 3: A process for addressing the poor performance exists, with evidence of its use	2
Element 4: The process clearly delineates the responsibility to take action	2

MI 8.5 Analysis	**Source document**
IOM has launched an ambitious project management system, PRIMA FOR ALL, which will provide a results-focused approach to programming that incorporates monitoring and evaluation of project implementation performance across all IOM's projects. The PRIMA FOR ALL system, which is an organisation-wide intervention extending the success of PRIMA for IDF, will allow for continuous monitoring and tracking of projects flows against various elements of project design and delivery; tracking performance, risk and variance against target/objectives to provide transparent and timely management information. PRIMA FOR ALL will provide the capacity for IOM to monitor and report on project results, learn lessons and replicate practices. The system has completed the pilot phase with the full roll-out phase taking place in 2018 (through a series of 'sprints'). PRIMA will ultimately allow for project managers, chiefs of mission and regional directors, and other functional leads access to information to track poorly performing projects and interventions. The PRIMA FOR ALL system will fundamentally change the way IOM's reports and tracks performance, variance and deviation from plan of projects. A significant change management programme is underpinning the roll-out with careful planning, piloting and testing and ultimate acceleration across the organisation planned. It will provide 'real-time' project management information bringing a systematised process to IOM's operations. As for Element 1, above, the PRIMA system will support project managers to conduct more in-depth project management and operational oversight of all these projects; enable consistent, insightful analysis across all IOM projects; facilitate capture and sharing of operational data and project information; and simplify reporting at the project and aggregated IOM-wide levels. Once roll-out is complete, given evidence provided on pilot phases to date, the system has the capacity to substantially improve project performance monitoring.	11

The PRIMA FOR ALL system provides a clear and documented process for addressing the poor performance which when fully implemented will allow project managers to proactively identify, track and address poorly performing interventions. Evidence of successful use exists in PRIMA FOR IDF and in some of the pilot countries with substantial or full implementation possible in due course following the full roll-out. The PRIMA FOR ALL system clearly identifies the responsibilities of project managers and projects endorsers to take action.	11
MI 8.5 Evidence confidence	**High confidence**

MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**0.2**
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	1
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	0
Element 3: A timeline for implementation of key recommendations is proposed	0
Element 4: A system exists to regularly track status of implementation	0
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	0
MI 8.6 Analysis	**Source document**
A management response is mandatory for some OIG reports (audits and investigations); however there is no such requirement for evaluation reports. For OIG reports, a management response is attached to the report only if there are still disagreements on the report following the commenting phase. Evidence from interviews and consultations notes this is a voluntary process at present, with limited take-up. Documentary evidence presented very limited evidence for specific evaluation reports (internal or external), with only one example of a management response identified for the IOM Response to The TRQN III Evaluation (June 2015). For OIG conducted evaluations, OIG includes, together with the final report, an action-plan for the follow-up of recommendations that needs to be completed by the department/office being evaluated and returned on an agreed date. In the IOM project handbook (2017) and for non-OIG evaluations, a management response (which corresponds to the OIG action plan of recommendations) is recommended. Evidence from interviews suggests that consideration is being given to the mandatory application of management responses, but this is not yet implemented. Where the evaluation has been commissioned by a donor, a management response may be included in their final report on the project, so that any findings/challenges can be voiced.	3, 25, 56

Action plans are consistently completed for Audit Reports as part of OIG's remit, but not yet specifically for evaluations. Guidance provided to staff within the Charter of the Office of the Inspector General notes that management officials are responsible for considering OIG reports issued to them for action and, where appropriate, providing timely responses to OIG and implementing agreed action plans. Tracking how recommendations have been taken on board is absent. Survey respondents once again present a high percentage (33%) expressing a Don't Know/ No Opinion responses on whether IOM follows up evaluation recommendations systematically; demonstrating a likely lack of awareness in process; or an absence of systematic process. Nonetheless, some positive evidence exists with 61% of respondents assessing IOM's performance here as fairly good (17%), very good (31%) or excellent (13%).

IOM corporately does not produce a timeline for the implementation of key evaluation recommendations; nor does it have a system to track implementation. IOM does not produce an annual report on the status of use and implementation of evaluation recommendations publicly.

	3, 25, 56

MI 8.6 Evidence confidence	Medium confidence

MI 8.7: Uptake of lessons learned and best practices from evaluations and other reports	Score
Overall MI rating	Highly unsatisfactory
Overall MI score	0.5
Element 1: A complete and current repository of evaluations and their recommendations is available for use	1
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	2
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	0
Element 4: A system is available and used to track the uptake of lessons learned	0
Element 5: Evidence is available that lessons learned and good practices are being applied	0
Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations	0
MI 8.7 Analysis	Source document
Whilst a list of evaluation titles are detailed online, these are "available on request", rather than open access and without clear descriptors of evaluation object, scope, findings, conclusions or recommendations. It is challenging to recognise immediate value. The new Evaluation policy notes the importance of disclosure of evaluation reports. Furthermore, IOM's Transparency and Accountability Working Group has issued an internal instruction on disclosure policy of all IOM documents including evaluations in line with the International Aid Transparency Initiative (IATI).	37, 44, 48

Whilst no formalised mechanism for distilling and disseminating lessons learned internally exists, interview evidence notes that a network of monitoring and evaluation practitioners has been created (see MI 8.2, Element 5 above) with the aim of sharing best practices and providing guidance on monitoring and evaluation. This network is based around meetings and information exchange via SharePoint and is working to reinforce the approach to IOM's decentralised approach of evaluation and use of evaluation findings, which will be formalised through the revised evaluation policy. These efforts are coupled with other ongoing efforts explored during interviews and consultations to develop knowledge management across the organisation to ensure that it learns from lessons and replicates good practices. Interview evidence noted the forthcoming development of evaluation briefs and learning briefs, which may in the future provide opportunities to synthesise and distil learnings across a globally distributed organisation. IOM's forthcoming Monitoring and Evaluation strategy intends to include efforts to improve organisational learning from evaluations; efforts will include improving the evaluation portal, developing learning briefs or summaries of evaluations and strengthening the quality control of evaluations. PRIMA is also designed to contribute to the capture and sharing of best practices/lessons learnt.	37, 44, 48
No corporate mechanism is available and employed to disseminate lessons learned to partners, peers and other stakeholders; nor a system in place and used to track the uptake of lessons learned. There is no evidence available that lessons learned and good practices are being applied. A corporate policy for disclosure of information does not exist.	
MI 8.7 Evidence confidence	**High confidence**

RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/corporate wide level and, at the regional/country level, with results contributing to normative and cross-cutting goals	KPI score
Highly satisfactory	**3.5**

As evidenced by evaluations and reviews, IOM's interventions have largely achieved their expected results, and also realised a range of positive benefits for target group members, which include states, the range of national stakeholders involved in migrant assistance, and migrants themselves. Interventions have contributed to significant changes in national migration policies and programmes, or systems reforms, often through capacity development of stakeholders such as government officials and NGOs; revisions of legal frameworks at national level; and promotion of the implementation of international standards and adherence to international conventions. Some weaknesses have occurred where the environment was not conducive to policy change or systems reform; or where IOM's intervention was not suitable to the context or institutions of the country in question.

Interventions have also helped realise migrant rights in a range of areas, including improved adherence by states to international standards on migrant rights, improved implementation of common standards on migration and improved legal frameworks and/or access to justice for migrants. IOM's programming has also delivered significant results under Principle 1 of the MiGOF on good migration governance, with support to states to improve legal frameworks, policies and procedures as well as structures and systems to improve migration governance.

Overall, evidence is insufficient to report on whether IOM's interventions have helped improve the cross-cutting issues of gender equality and the empowerment of women and environmental sustainability, with reviews and evaluations providing tangible evidence of mainstreaming these issues, but not tangible evidence of results.

MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 9.1 Analysis	**Source document**
Sixteen evaluations, or other reports, provided evidence in relation to this MI. Of these, almost all (15) found that IOM had achieved or was on track to achieve the intended objectives/targets of the initiative, with positive benefits delivered for target groups. Two evaluations found insufficient evidence available to make an assessment, with monitoring tools not providing adequate data. Intended results set and achieved by IOM, as identified by evaluations/reviews, included: • the provision of services and emergency assistance to vulnerable migrants, such as healthcare • capacity strengthening for frontline service providers and national authorities, for example in healthcare, social protection, legal services • training in the rights of migrants for national stakeholders and service providers • the encouragement of communities of origin to reflect on alternatives to irregular migration • improving co-ordination mechanisms for migration in host countries • completed reintegration plans for returnees Supporting factors for the achievement of results included a conducive policy environment/political will and supportive partners, as well as strong human resources; constraining factors included barriers in the external environment including political resistance; limited financial resources; weaknesses in the programme of project design, and implementation challenges arising from contextual factors. The evaluation which found goals had not been achieved (the Evaluation of the Technical Working Groups (TWGs) effectiveness on MECLEP) found mixed results in organising effective Technical Working Group sessions in government, and, by extension, a missed opportunity to achieve enhanced policy dialogue and co-operation.	1, 17, 20, 27, 29, 31, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56
MI 9.1 Evidence confidence	**High confidence**

MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members	Score

MI rating	Highly satisfactory
MI score	3.5

MI 9.2 Analysis	Source document
Seventeen evaluations, or other reviews, provided evidence under this MI. Of these, 15 reported positive benefits achieved for target group members. Target groups identified included: • Migrants themselves, including vulnerable groups such as women and children and victims of human trafficking • Frontline service providers of assistance to migrants • Government stakeholders at local, regional and national level. Positive benefits achieved for these target groups, as identified in evaluations and other reviews, included: • The provision of emergency services, protection and assistance to migrants, particularly those in vulnerable situations. Crisis-related programming reached over 28.9 million people in 2017. Services provided included safe accommodation, medical and psychosocial support and legal aid • Supporting migrant return to countries of origin (with 72 176 migrants provided with assistance for voluntary return in 2017) • Supporting reintegration on return e.g. through enabling the establishment of micro-businesses (e.g. in 2017, 56 000 returnees received cash assistance and more than 47 500 received individual in-kind assistance, while over 2 300 received collective reintegration support) • The promotion and take-up of social protection messages and services • The building of relationships between stakeholder groups, such as migrant groups and host communities, with some evidence of changing attitudes to migration among communities of origin Weaknesses were identified in two evaluations, namely the need to devise monitoring and evaluation tools to more effectively assess the impact of awareness-raising activities; and more clearly drawing a theory of change for interventions, so that a rationale and strategy can be assessed against results.	1, 2, 7, 20, 29, 31, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 56

MI 9.2 Evidence confidence	High confidence

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms	Score
MI rating	Highly satisfactory
MI score	3.5

MI 9.3 Analysis	Source document
Twelve evaluations or reviews provided evidence on whether interventions and/or activities had contributed to significant changes in national policies and programmes, or systems reforms. Overall, all evaluations or reviews found evidence of at least some positive change, though two also noted weaknesses or missed opportunities. Corporate-level results for 2017, as recorded in IOM's Annual Report, included: • 22 new partnerships established to assist states with their migration management policies and systems to implement well-administered visa and entry schemes • 18 new partnerships established to assist governments in support of complementary pathways for regular migration (family reunification, student and humanitarian visa schemes), and seven new agreements were signed to facilitate the verification of visa-related documentation • Support at local level in 124 countries to enhance migration governance for development and humanitarian response at the local level • Specific results noted by evaluations included: • Legal reforms to support the meeting of international commitments on migration • Contributions to improving state-level peacebuilding mechanisms, and to building the capacities of local stakeholders to implement migration-sensitive policies and programmes • Increased inclusion and prioritisation of migrants in policies, strategies, and programmes at a regional and country level due to IOM's interventions • Structural reforms within government to support delivery on migration commitments Where missed opportunities arose, identified in two evaluations, these largely occurred as a result of an unconducive external environment, or where IOM's intervention was not suitable to the context or institutions of the country in question. For example, study tours under the TRQN III project had insufficiently well-defined objectives, leading to uncertain gains at institutional level.	2, 7, 20, 28, 29, 31, 45, 48, 49, 50, 51, 56
MI 9.3 Evidence confidence	**High confidence**

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women	Score
MI rating	
MI score	N/E

MI 9.4 Analysis	Source document
There is limited evidence of whether IOM's interventions helped improved gender equality and the empowerment of women, with only four reports and one evaluation providing information here. However, the evidence available refers to gender mainstreaming within interventions, rather than results achieved. As such, no score is available. For example: • A Review of Migration, Environment and Climate Change Projects in 2016 found gender had been mainstreamed into 9 out of 15 Migration, Environment and Climate Change (MECC) projects funded by the IDF. Nonetheless, there is no indication of whether these programmes had delivered on gender results. • The evaluation of the Enhancing Resilience and Protection of Marginalised Communities Affected by Protracted Conflicts and Effects of Adverse Climatic Conditions in Kenya reported that the project had witnessed considerable success in reaching various and multiple layers of relevant stakeholders with social protection messages, though there was recognition that the issues of sexual and gender-based violence and trafficking remain poorly understood, marginally addressed and rampant throughout target areas. The mid-term evaluation of the IOM Gender Equality Policy 2015-2019 found similarly that whilst the Policy provided a strong foundation and impetus for gender mainstreaming within IOM, more work was needed to produce lasting results towards gender equality, especially securing women's rights and allowing women to realise their full potential. Successive Annual Reports report gender-related achievements; for example, the Annual Report for 2017 indicates that IOM efforts had increased employment or income among a disadvantaged gender in 53 countries; improved health outcomes for a disadvantaged gender in 44 countries; and decreased prevalence of sexual and gender-based violence in 42 countries. It also notes that advancements in political representation, school enrolment and access to justice for a disadvantaged gender are among some of the other outcomes to which IOM programming contributed. However, these results are self-reported by country offices and there is no independent verification of their claims.	2, 28, 31, 54, 80
MI 9.4 Evidence confidence	**Little to no confidence**

MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change	Score
MI rating	
MI score	N/E
MI 9.5 Analysis	**Source document**
Only five evaluations/reviews provided evidence on IOM's efforts to address the migration, environment and climate change "nexus" as one of IOM's thematic work areas. Of these, only one is an evaluation and all found shortcomings in the evidence base which rendered it challenging to report on results. Overall, the evidence is insufficient to report on results. Examples include: • The evaluation of the IOM-led project Migration, Environment and Climate Change: Evidence for Policy found it unfeasible to report on results as the evaluation reported that in many cases the time between specific interventions, and this evaluation was too short to analyse their impact and thus their sustainability. • The Review of Migration, Environment and Climate Change Projects asked missions their perception of whether projects had helped to change government policy, but does not report on the effectiveness of these interventions. Successive Annual Reports for 2015-17 report on Country Office engagement in climate change and environmental sustainability issues, as well as training conducted. For example, the 2017 Annual Report states that IOM engaged in three main activities, namely, awareness-raising, research and data, and capacity-building. This resulted in new evidence to support policy discussions, the drafting of policy frameworks or action plans, the inclusion of migration in environmental policies and the integration of environmental factors in migration policies and plans. However, these results are self-reported by country offices and there is no independent verification of their claims.	1, 2, 28, 48, 80
MI 9.5 Evidence confidence	**Little to no confidence**

MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1.c)	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 9.6 Analysis	**Source document**
Sixteen evaluations, or other reports, provided evidence in relation to this MI. Of these, all found that IOM supported good migration governance in a range of ways. Areas where IOM had helped achieve good migration governance included: • Migration laws aligned with international standards • Migration policies and procedures developed compliant with international standards • Improved national and local adherence to existing laws and policies • The development of legal and administrative infrastructures to implement migration policies and programmes • Improved social cohesion at local level • Strengthened engagement with diasporas • Migration mainstreamed into local development planning • Enhanced partnerships with civil society actors Results were achieved in areas such as migrant integration, human trafficking and smuggling, environmental migration, return and resettlement, and migrant health.	1, 2, 7, 20, 29, 31, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 56, 80
MI 9.6 Evidence confidence	**High confidence**

MI 9.7: Interventions assessed as having helped improve human rights	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 9.7 Analysis	**Source document**
Eleven evaluations or reviews provided evidence regarding the realisation of human rights (Principle 1 of the MiGOF). Of these nine found that IOM had successfully addressed human rights concerns in its programming, whilst two identified missed opportunities or gaps. Specifically: nine evaluations or reviews reported that IOM had addressed human rights concerns. Areas included: · Improved adherence by states to international standards on migrant rights e.g. through relocation of migrants and/or asylum seekers to a safer environment, and provision of services to migrants · Improved implementation of common standards e.g. concerning trafficking and smuggling, labour standards and standards relating to entry and exit · Improved legal frameworks and/or access to justice for migrants · Provision of information to migrants on their rights e.g. to asylum · Improved border management · Improved adherence by states/national stakeholders to core principles for humanitarian action in the provision of migrant assistance · Evidence of prevention of human trafficking · Voluntary return and reintegration · Improved capacities on ethical labour and recruitment · Improved capacities on land, property and reparations issues The two evaluations that identified gaps/missed opportunities attributed those partially to weak project implementation (Counter-Trafficking Protection Projects Review) and partially to external constraints such as a lack of buy-in from government counterparts, political instability and lack of collaboration from partners (Counter-Trafficking [Prevention] Projects Review).	1, 2, 7, 27, 29, 30, 45, 46, 49, 51, 80
MI 9.7 Evidence confidence	**High confidence**

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate	KPI score
Highly satisfactory	**3.17**

IOM's interventions are assessed as generally relevant to target groups, which included governments, frontline stakeholders serving migrants such as CSOs and NGOs, and local communities/migrants themselves. However, some evaluations/reviews found that interventions were not reaching their potential sufficiently, in order to maximise the impact on beneficiaries; or that there was insufficient information to assess the extent to which interventions responded to the needs of target beneficiaries.

Interventions are assessed as having positively contributed to the realisation of national aims and objectives on migration governance, with interventions supporting states in a wide range of areas. The evidence is limited, though positive, on whether IOM's interventions were delivered as part of a coherent response to an identified problem; but all found that IOM had delivered its interventions collectively, as part of the wider humanitarian or development partnership.

MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups	Score
MI rating	**Satisfactory**
MI score	**2.5**
MI 10.1 Analysis	**Source document**

Twelve evaluations or reviews provided evidence on whether IOM's interventions had responded to the needs of target groups. Target groups included governments, frontline stakeholders serving migrants such as CSOs and NGOs, and local communities/migrants themselves.
In seven out of the 12 reports, IOM interventions were deemed to be fully relevant, and to respond to the needs and priorities of target groups. Needs/priorities addressed included:

- Those of migrants, including for emergency assistance, provision of services, information on rights and entitlements e.g. in regard to asylum-related issues, anti-trafficking measures, and support for voluntary return and re-integration

- Those of local communities including information needs regarding migration, building social cohesion

- Those of national stakeholders working on migrant responses, including preparedness, standards development and implementation which respects migrants' rights, integration and social cohesion, migrant protection

- Those of states, including improved preparedness, improved policy and level frameworks, strengthened national capacities to address migration issues, improved trafficking prevention measures, enhanced migrant protection and others

1, 20, 45, 46, 48, 49, 50, 51, 52, 53, 54, 56

The other five evaluations or reviews found that whilst relevance was generally strong, there were some design gaps or weaknesses which prevented the interventions from reaching their potential sufficiently to have an impact on beneficiaries, or that there was insufficient information to assess the extent to which interventions responded to the needs of target beneficiaries. For example, the Real Time Evaluation and Support to the ICSP Programme in Sudan found that while the relevance of the intervention (aimed at marginalised communities in Kenya) was clear, the project would have benefited from a more detailed articulation of the concepts of resilience and protection and a causal link of these to the specific outcome-level objectives of peace-building, livelihood development and enhancement of social protection. Whilst the Temporary Return of Qualified Nationals (TRQN) III project was relevant to the priorities and policies of the institutions in all of the nine target countries, and for the diaspora communities in the Netherlands, a more innovative outreach strategy was needed.

MI 10.1 Evidence confidence	High confidence

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 10.2 Analysis	**Source document**
Sixteen reports and evaluations provided evidence on whether IOM interventions helped to contribute to the realisation of national aims and objectives on migration. All found positive results here, with achievements directly or indirectly supporting governments (or regional authorities) to deliver on their stated intentions/policy priorities regarding migration governance, as well as aligning with broader national development strategies such as Kenya's 2030 vision. Alignment was achieved in areas including: • Supporting the development of legal frameworks in line with national/regional policy priorities • Improved border management, at the request of government/regional partners • Improved national strategies and policies on migration, reflecting policy declarations by national governments/regional authorities • Integrating migration concerns into national declarations, strategies or policy/legal reform, in line with national/regional agendas • Improved structural reforms, for example, on health and migration issues, in line with national/ regional priorities • Ensuring coordinated and comprehensive response to trafficking, at the request of government partners/regional authorities • Assisting voluntary return and re-integration, again at the request of government partners/regional authorities No evaluations/reviews reported missed opportunities or non-alignment.	1, 17, 20, 27, 29, 31, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56
MI 10.2 Evidence confidence	**High confidence**

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 10.3 Analysis	**Source document**
There is limited – though mostly positive – evidence of whether IOM interventions were delivered as part of a coherent response to an identified problem. Only five evaluations or reviews reported on this issue, though all found that IOM had successfully delivered its interventions collectively, as part of the wider humanitarian or development partnership. For example, IOM: • supported the participation of governments in efforts towards developing the Global Compact on Migration, and worked on its inter-relation with the Global Compact for Refugees; • led the International Dialogue on Migration and supported inter-state/inter-regional dialogues on migration; • successfully engaged and partnered with the WHO in its health-related responses at the World Health Assembly; • in improving the protection of vulnerable migrants travelling through the Horn of Africa, complemented and/or supported the interventions of other actors involved in mixed migration activities in the region; and • provided visa processing and document verification services in various countries on behalf of states, as part of the collective response to migration challenges. IOM's engagement in the IASC and the cluster system, including its leadership of the CCCM cluster, implies stronger partnerships, however, than are recognised in the evidence base.	1, 17, 49, 51, 80
MI 10.3 Evidence confidence	**Medium confidence**

KPI 11: Results delivered efficiently	KPI score
Unsatisfactory	**2**
Evidence from evaluations and other reviews find variable efficiency in the implementation of IOM's projects. Cost-efficiency was mixed, with some strong efforts to minimise costs e.g. through partnering where feasible. However, internal weaknesses in terms of costing and planning figures were also identified. A majority of evaluations and other reports found that projects and programmes had experienced delays. Where delays had been avoided, this was attributed to the capacity of IOM project teams to adapt and expedite implementation. Where delays had arisen, mostly due to external factors, adequate planning and preparation (e.g. mitigation strategies) had not always taken place. Internal design issues, such as poor sequencing/scheduling, also contributed to late implementation.	

MI 11.1: Interventions assessed as resource/cost efficient	Score
MI rating	**Satisfactory**
MI score	**2.5**

MI 11.1 Analysis	Source document
Seven reports or evaluations reported on cost-efficiency. Performance here was mixed, with four evaluations finding positively, and three identifying inefficiencies. Areas where cost-efficient practice occurred included: • Engaging with academic and national government partners to contribute services within their own institutional budgets. • Synergising with partners or local stakeholders to share costs and maximise the use of institutional procedures. • Applying appropriate cost norms. • Ensuring cost-efficient procurement practice. • Employing transparent and appropriate project management, to keep costs low. • Overall diligent managements of funds. However, internal weaknesses in terms of costing and planning figures were also identified in three evaluations/reviews. These all arose from unrealistic costings, particularly in conflict-affected settings, for example where transport costs had to be revised to adjust for restricted access on the ground. In these cases, project budgets had to be revised, and the number of targeted migrants reduced to conserve costs.	46, 48, 49, 50, 51, 53, 54
MI 11.1 Evidence confidence	**Medium 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	**Unsatisfactory**
MI score	**1.5**
MI 11.2 Analysis	Source document
Six evaluations/reviews reported on timeliness. Performance here was predominantly weak, with two evaluations/reviews finding that interventions had been delivered on schedule, and four finding delays. The two evaluations which found that interventions had been delivered on time praised IOM's ability to adapt given delays and constraints, and expedite implementation, as well as its efficient project management. For example, in Kenya, the evaluation of the Enhancing Resilience and Protection of Marginalized Communities Affected by Protracted Conflicts and Effects of Adverse Climatic Conditions project found that the project had been very efficiently managed. Despite delays and reorientations resulting primarily from external factors, there was evidence that mitigation strategies were in place to facilitate an appropriate and adequate response to ensure continuity and sustained effectiveness. The evaluation found that the successful delivery of this project was directly attributable to both strong management and excellent quality staff overseeing project activities in the field locations.	46, 48, 49, 50, 53, 54

Where delays were encountered, these arose from: • External factors which could not be/were not anticipated by IOM, meaning that mitigation strategies were not in place. • Internal challenges including: design/sequencing (e.g. predicating one set of activities on the achievement of another set, meaning delays for the first when the second was not implemented according to schedule); start-up delays (including donor-disbursement-related); and project management challenges. Evaluations/reviews comment that stronger anticipation of likely implementation barriers, and better preparation accordingly, would benefit the timeliness of IOM's project implementation.	46, 48, 49, 50, 53, 54
MI 11.2 Evidence confidence	**Medium confidence**

KPI 12: Sustainability of results	KPI score
Satisfactory	**2.83**

Findings on sustainability were largely positive but with some variability. The likely or actual continuation of benefits after project/ programme completion was mixed, with approaches supporting sustainable gains including a comprehensive approach to capacity strengthening; embedding a focus on national ownership of initiatives; and linking the intervention to other migration-related/global initiatives. Challenges included a lack of funding; shortcomings in training strategies; or a lack of consideration of sustainability in project or programme planning and design.

However, most interventions assessed as having built sufficient institutional and/or community capacity for migration governance, or have been absorbed by government, with IOM's focus on designing and conducting activities in conjunction with or through government structures, requiring national stakeholders to commit either human, financial or infrastructure resources, or a combination of these to interventions, and adopting a strategic/systemic approach to capacity strengthening, rather than individual training alone, supporting achievements. All reviewed or evaluated IOM's interventions were assessed as having directly or indirectly helped improve the external environment for migration in countries/regions of operation, with supporting factors including a strategic approach to engaging with national stakeholders; comprehensive approaches to capacity strengthening; IOM's internal technical/legal capacities; and a willingness to adapt as the external environment changed.

MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term developmental results	Score
MI rating	**Unsatisfactory**
MI score	**1.5**

MI 12.1 Analysis	Source document
Seven reports, comprising three reviews and four evaluations, provided evidence on the likelihood of the benefits of interventions leading to longer-term developmental results. Findings were mixed, with three finding positively, and four identifying weaknesses. Positively, in the three reviewed interventions where sustainability was ensured, this was achieved through: • A comprehensive approach to capacity strengthening, for instance on counter-trafficking or migration and climate change; policy development • Embedding a focus on national ownership of initiatives, for example in relation to preparation for migration • Linking the intervention to other migration-related/global initiatives, so that it could function as part of a strategic initiative, rather than as a stand-alone project For example, a review of Counter-Trafficking Prevention Projects found that: overall, 83% of projects (15 of 18 projects) were able to maintain 67% or more of their individually reported results after the project ended. The majority of the outcomes (68%) were maintained after the projects' end dates and the main reason why outcomes were not maintained were due to lack of financial resources. Challenges to sustainability included a lack of funding to ensure the sustainability of interventions; shortcomings in training initiatives, which were not consistently linked to a wider capacity strengthening strategy; or a lack of consideration to sustainability in project or programme planning, which arose in four evaluations. In all cases, evaluations recommended that sustainability initiatives be embedded from the start of the project, and that knowledge transfer be considered as part of project design, to help ensure later sustainability.	28, 29, 30, 45, 48, 49, 56
MI 12.1 Evidence confidence	**Medium confidence**

MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 12.2 Analysis	**Source document**
Nine evaluations or reviews provided evidence regarding the building of institutional and/or community capacity for sustainability. Of these, eight found positive gains generated. These included: • Strengthened national government mechanisms/structures e.g. for counter-trafficking • Strengthened civil society capacity e.g. to deliver services/advocate on behalf of migrants • Enhanced legal frameworks and structures relating to migration issues • Enhanced partnerships and co-ordination among actors addressing migration issues e.g. inter-sectoral co-ordination • Local income generation for returnees, which had the potential to ensure sustainable livelihoods in future • Factors supporting achievement were mostly design-related, and included: • Designing and conducting activities in conjunction with or through government structures • The requirement for national stakeholders to commit either human, financial or infrastructure resources, or a combination of these • Adopting a strategic/systemic approach to capacity strengthening, rather than individual training alone Shortcomings which arose in one evaluation were related to concerns about the sustainability of an established network, with resource requirements not adequately thought through in advance.	1, 27, 29, 45, 46, 48, 49, 51, 54
MI 12.2 Evidence confidence	**High confidence**

MI 12.3: Interventions assessed as having strengthened the enabling environment for development	Score
MI rating	**Highly satisfactory**
MI score	**3.5**
MI 12.3 Analysis	**Source document**
Sixteen evaluations and reviews provided evidence on whether IOM interventions had helped contribute to the enabling environment (here for migration governance). All found positively, with IOM's interventions having directly or indirectly helped improve the external environment for migration in countries/regions of operation. Results achieved included: • Legal frameworks developed in line with international norms and standards • Improved national strategies and policies on migration, voluntary return and anti-trafficking, in line with international standards • The inclusion of migration concerns within national/sectoral strategies or policy/legal frameworks • Reformed policy and programme architectures for improved migration governance • Improved inter-agency and inter-governmental co-ordination, to improve operational responses • Improved border management, to ensure convergence with international standards Factors supporting achievement included a strategic approach to engaging with national stakeholders; comprehensive approaches to capacity strengthening; IOM's internal technical/legal capacities; and a willingness to adapt as the external environment changed.	1, 17, 20, 27, 29, 31, 45, 46, 47, 48, 49, 50, 51, 53, 54, 56, 80
MI 12.3 Evidence confidence	**High confidence**

Annex 2. List of documents

All document listed below are IOM publications or official open access documents, unless indicated otherwise.

1. IOM (2016), *Annual Report for 2015*, International Organization for Migration
2. IOM (2017), *Annual Report for 2016*, International Organization for Migration
3. IOM (2015), *Charter of the Office of the Inspector General*, International Organization for Migration
4. IOM (2006), *IOM Evaluation Guidelines*, International Organization for Migration
5. IOM (2015), *IOM Gender Equality Policy 2015-2019*, International Organization for Migration
6. IOM (2014), *Report on Human Resources Management*, International Organization for Migration
7. IOM (2016), *Annual Report 2015: The Middle East and North Africa*, International Organization for Migration
8. IOM (2016), *IOM Middle East and North Africa: Regional Strategy 2017-2020*, International Organization for Migration
9. IOM (2014), *IOM Regional Strategy for Central and North America and the Caribbean 2014-2016*, International Organization for Migration
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11. IOM (2003), *Monitoring*, International Organization for Migration
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13. IOM (2017), *Organizational Structure*, International Organization for Migration. Accessed: https://www.iom.int/organizational-structure
14. IOM (2015), *IOM Policy on Protection*, International Organization for Migration
15. IOM (2015), *IOM Private Sector Partnership Strategy 2016-2020*, International Organization for Migration
16. IOM (2015), *Programme and Budget for 2016*, International Organization for Migration
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19. IOM (2016), *IOM Snapshot*, International Organization for Migration
20. IOM (2016), *Migration Initiatives 2017: Innovative Approaches on Migration Governance*, International Organization for Migration
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29. IOM (2015), *Counter-Trafficking (Prevention) Projects Review*, International Organization for Migration
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31. IOM (2012), *IOM Migration Crisis Operational Framework*, International Organization for Migration
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33. IOM (2015), *IOM's Humanitarian Policy – Principles for Humanitarian Action*, International Organization for Migration
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38. IOM (2017), *Financial Report for the Year Ended 31 December 2016*, International Organization for Migration
39. IOM (2016), *IOM Protection Portfolio: Crisis Response*, International Organization for Migration
40. IOM (2016), *Guidance Note on how to mainstream protection across IOM crisis response (or the Migration Crisis Operational Framework sectors of assistance)*, International Organization for Migration
41. IOM (2016), *Guidance Note on the inclusion of protection considerations when planning and implementing international humanitarian evacuations for migrants caught in armed conflict settings*, International Organization for Migration
42. IOM (2012), *Human Resources Strategy 2012-2015*, International Organization for Migration
43. IOM (2017), *Report on the 106th Session of the Council*, International Organization for Migration
44. IOM (2017), *Organizational Effectiveness Report for 2016*, International Organization for Migration
45. IOM (2016), *Independent Evaluation of IOM Project: Enhancing National Capacities and Cooperation for the Prevention of Trafficking in Persons (TOP), Protection of Victims and Prosecution of Traffickers in Ethiopia – Final Report*, International Organization for Migration
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48. IOM (2017), *IOM-led project Migration, Environment and Climate Change: Evidence for Policy - Final Evaluation Report*, International Organization for Migration
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67. IOM (2017), *Report on Implementation of the External Auditor's Recommendations*, International Organization for Migration

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71. IOM (2011), *Medical Insurance Fraud Detection,* International Organization for Migration

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74. IOM (2017), *Report on the Work of the Office of the Inspector General,* International Organization for Migration

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76. IOM (2017), *Implementation of IOM's Private Sector Partnerships Strategy 2016–2020*, International Organization for Migration

77. IOM (n.d.), *IOM Niger Strategy 2017-2019*, International Organization for Migration

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92. Global Compact for Safe, Orderly and Regular Migration – Intergovernmentally Negotiated and Agreed Outcome, 13th July 2018.

# Annex 3. Results of Mopan's Partner Survey

Response profile

Number of survey responses: 166

**Number of survey responses by country:**
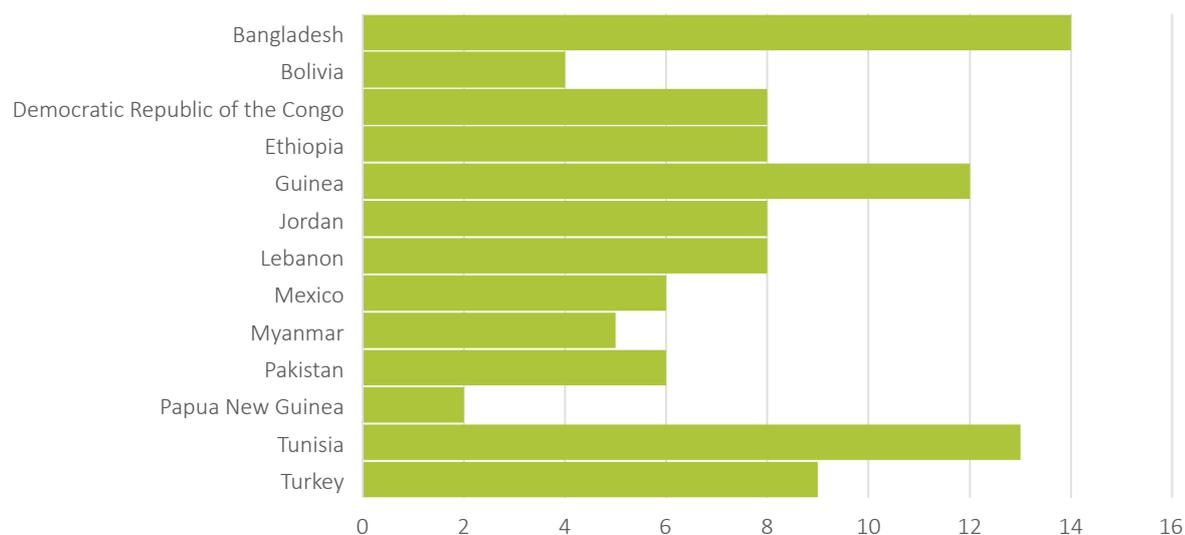
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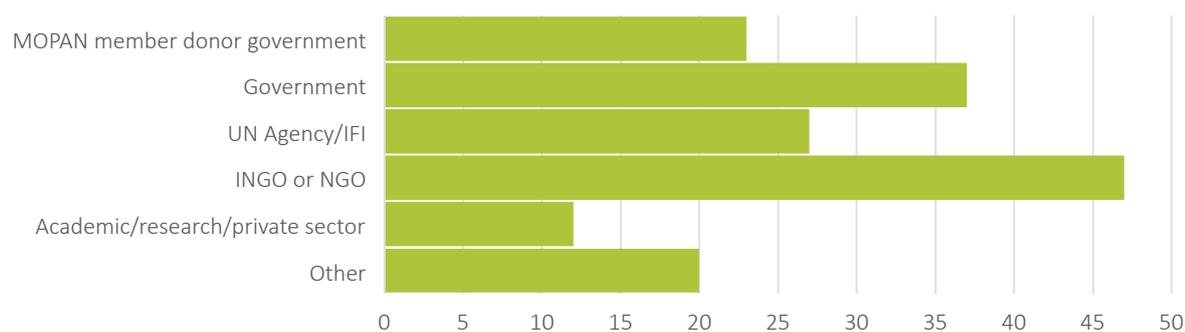
Staffing

### IOM has sufficient staffing to deliver results

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
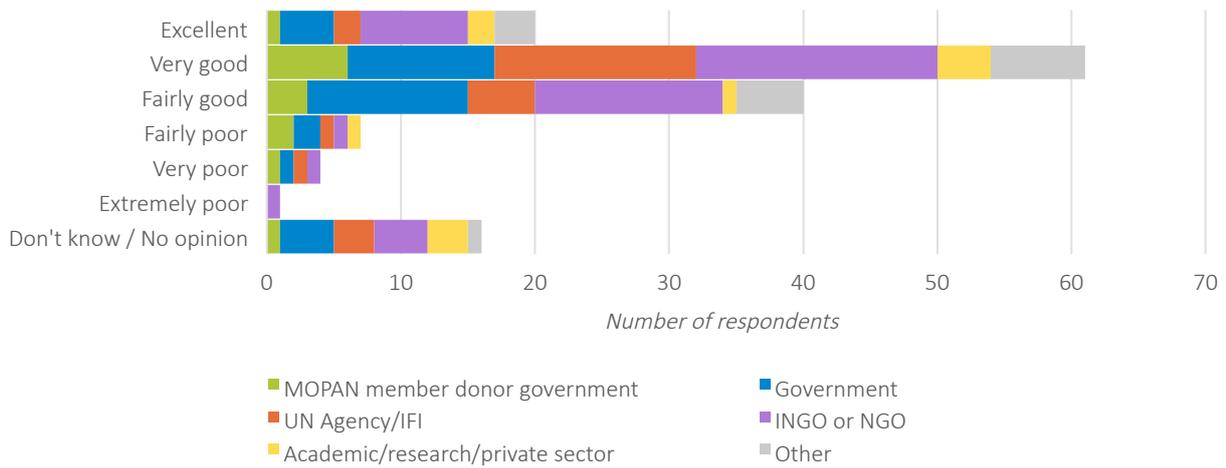
IOM has sufficiently skilled and experienced staff

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
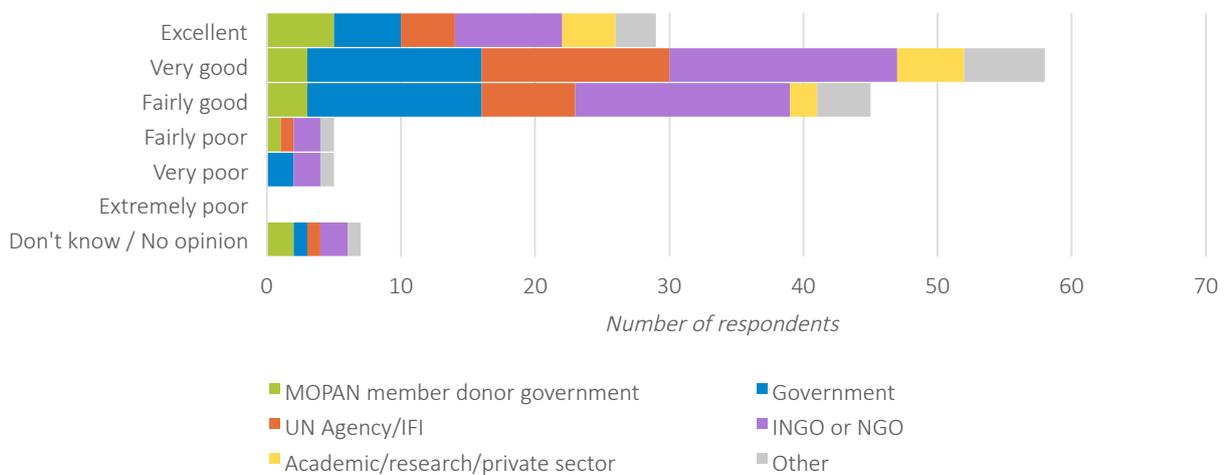
IOM has sufficient continuity of staff to build relationships

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
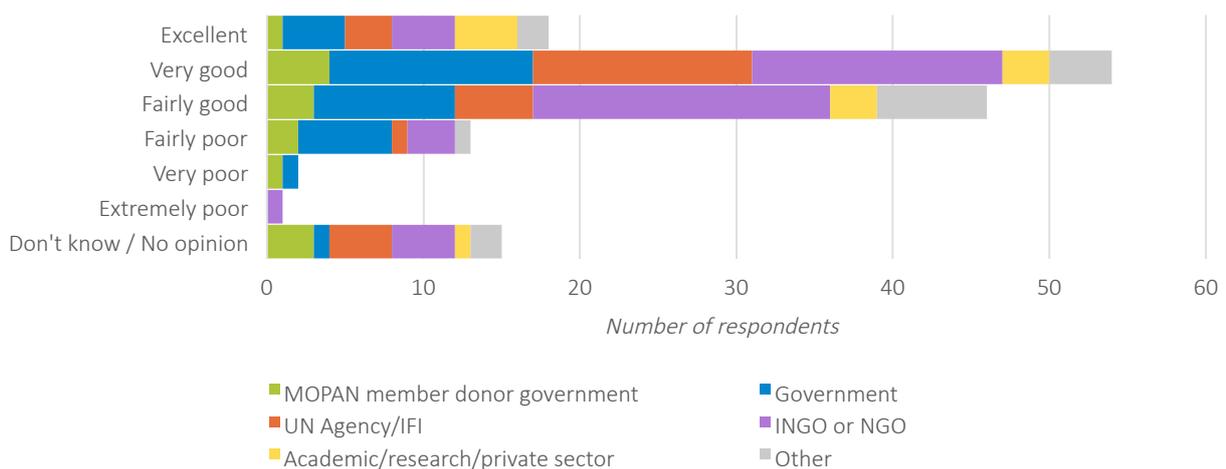
IOM staff can make critical strategic and programming decisions locally

Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
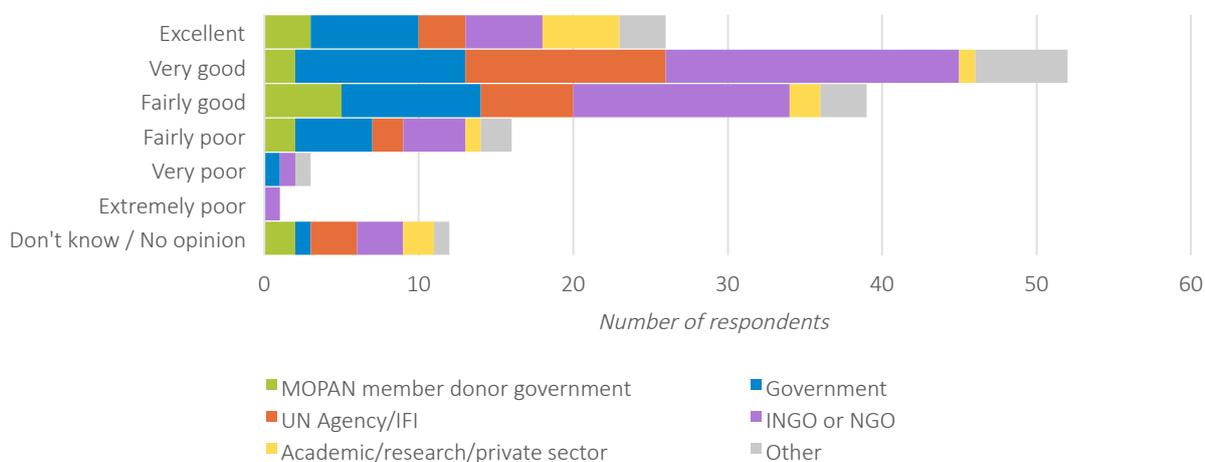
Managing financial resources

IOM financial cooperation is coherent/not fragmented

Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
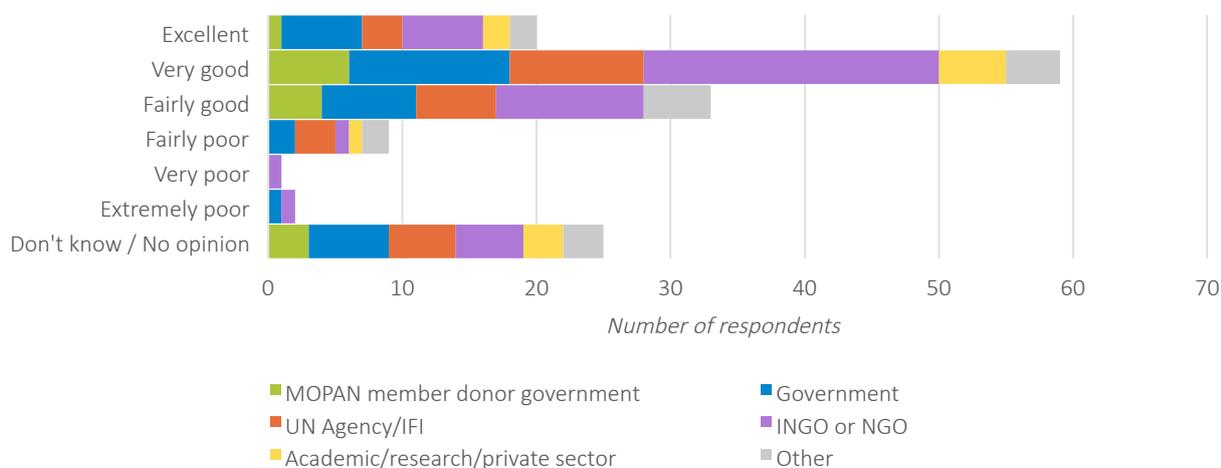
IOM has flexible resources

Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
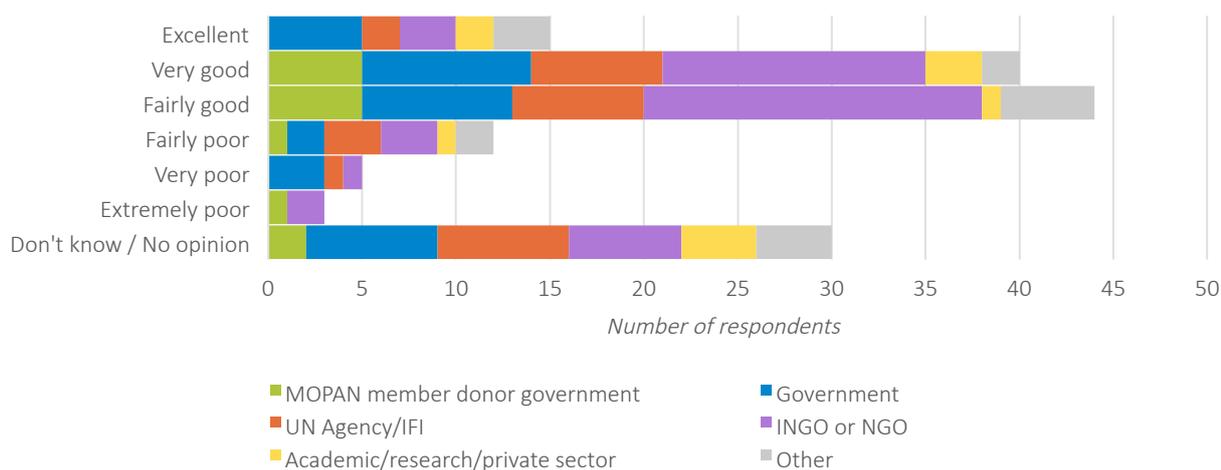
Interventions (programmes, projects, normative work)

IOM interventions are fit national programmes and results of partner countries

Number of respondents

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
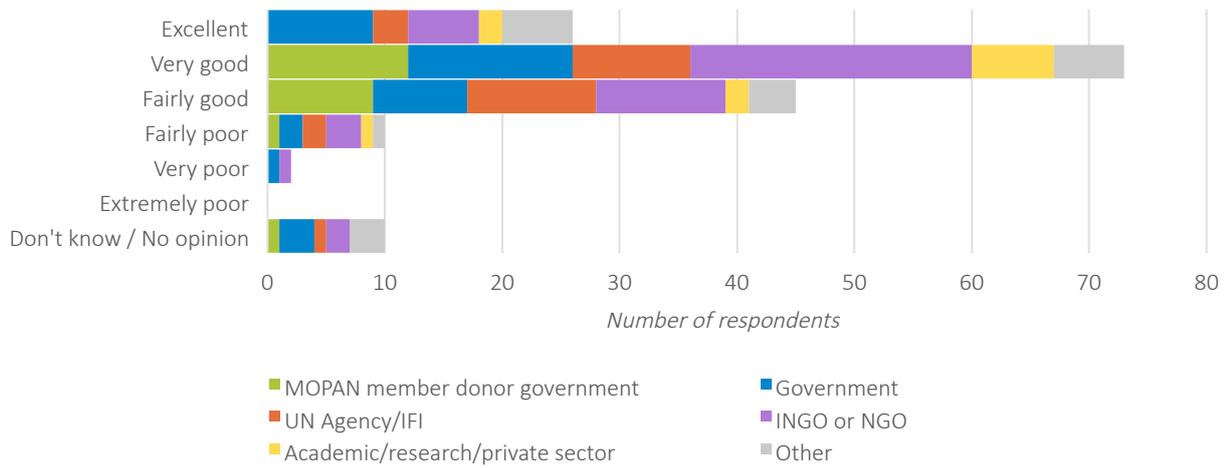
IOM interventions are tailored to the needs of the local context

Number of respondents

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
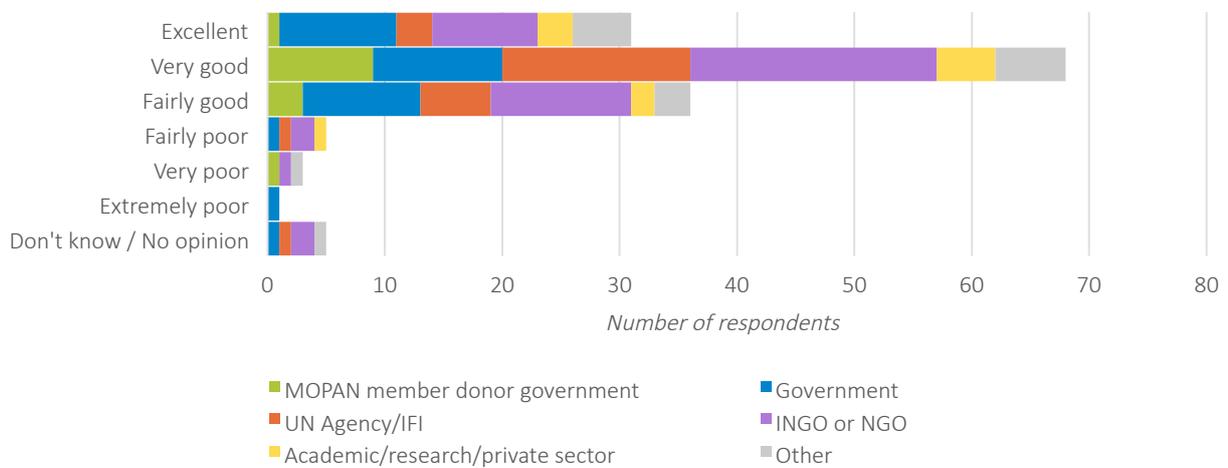
IOM interventions are based on a clear understanding of comparative advantage

Number of respondents

- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other
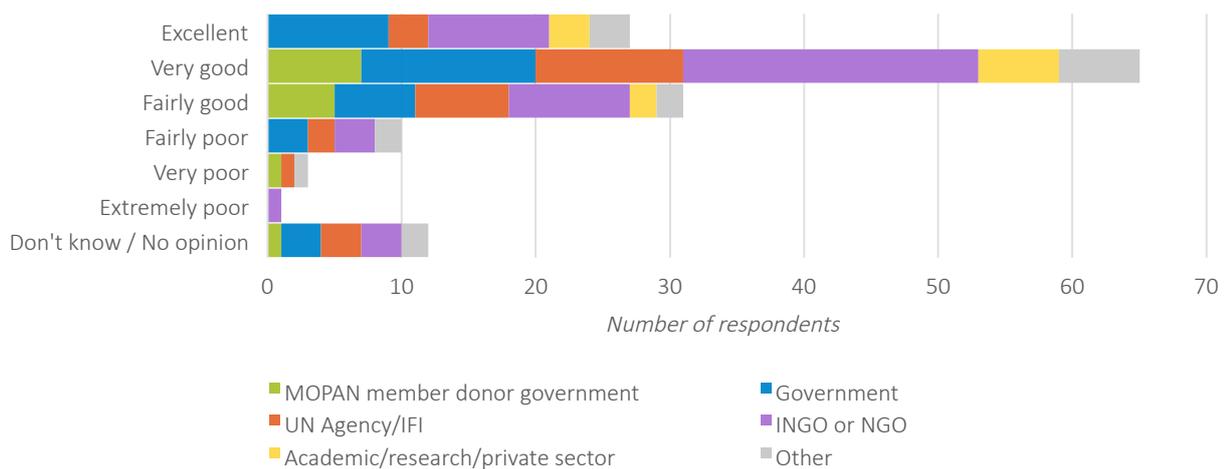
IOM can adapt or amend interventions to changes in context

MOPAN member donor government · Government · UN Agency/IFI · INGO or NGO · Academic/research/private sector · Other
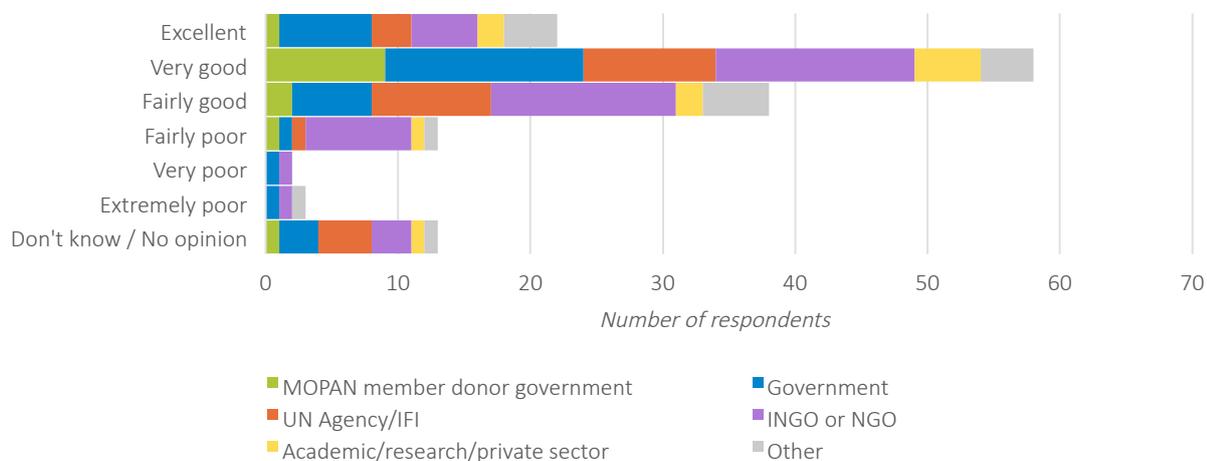
IOM interventions take in to account realistic assessments of national/regional capacities

MOPAN member donor government · Government · UN Agency/IFI · INGO or NGO · Academic/research/private sector · Other
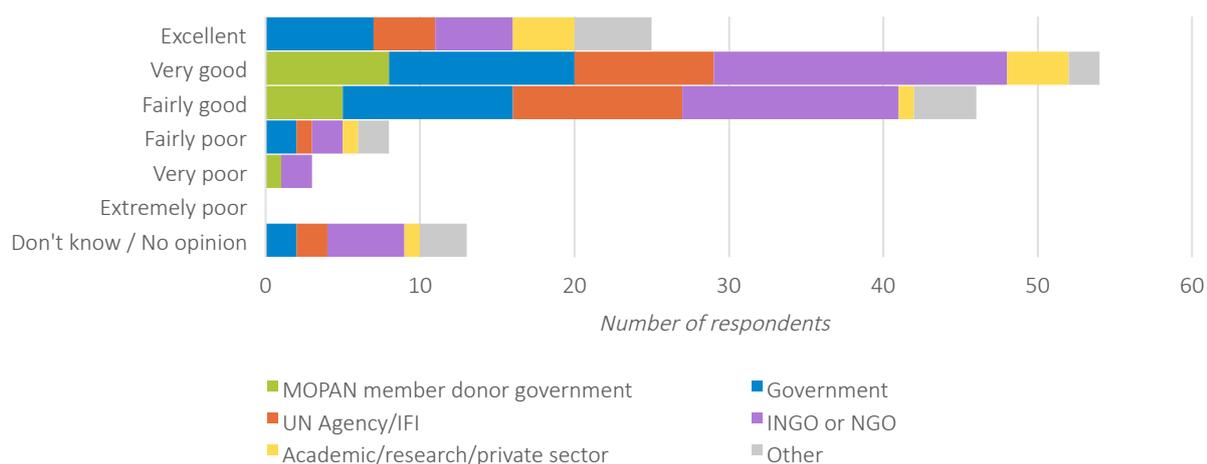
IOM interventions appropriately manage risk in a given context

MOPAN member donor government · Government · UN Agency/IFI · INGO or NGO · Academic/research/private sector · Other
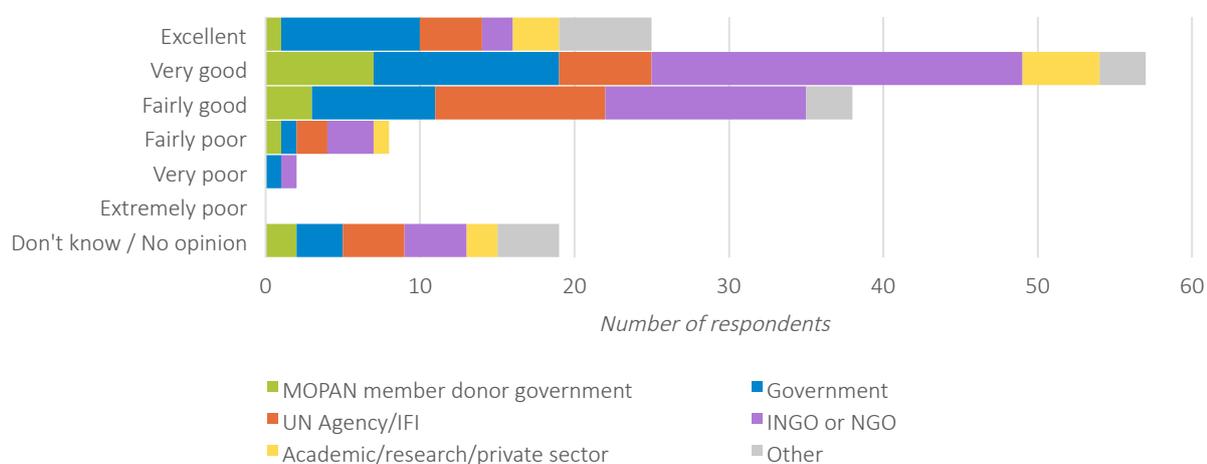
IOM designs and implements its interventions to sustain effect and impact over time
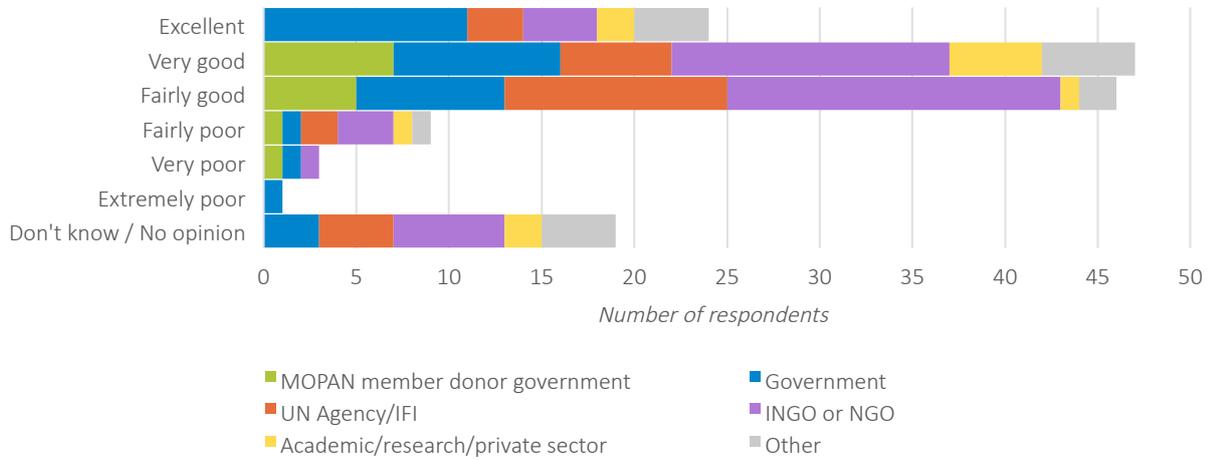
**Interventions (cross-cutting issues)**

Familiarity with gender strategy of IOM
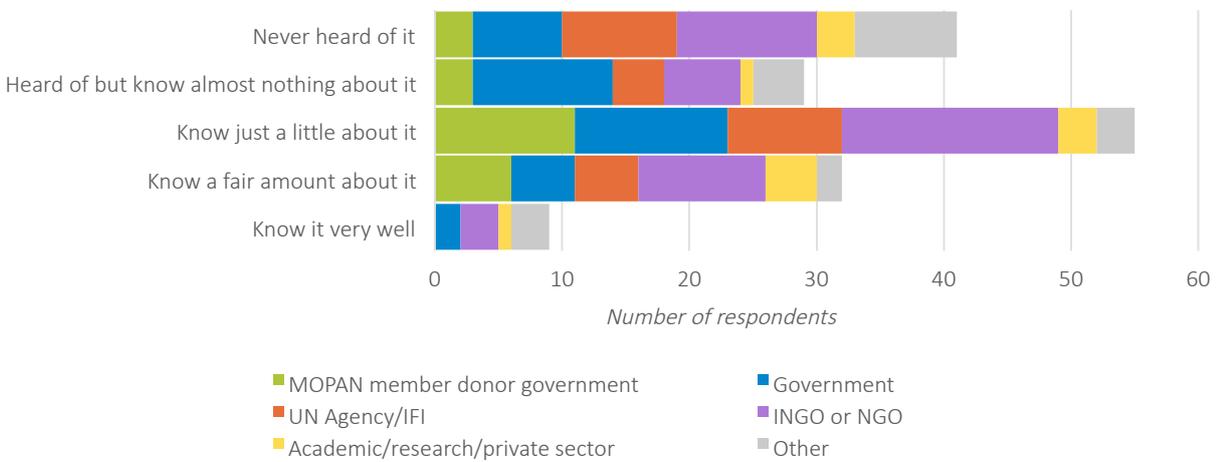
## Familiarity with environmental sustainability strategy of IOM, including addressing climate change
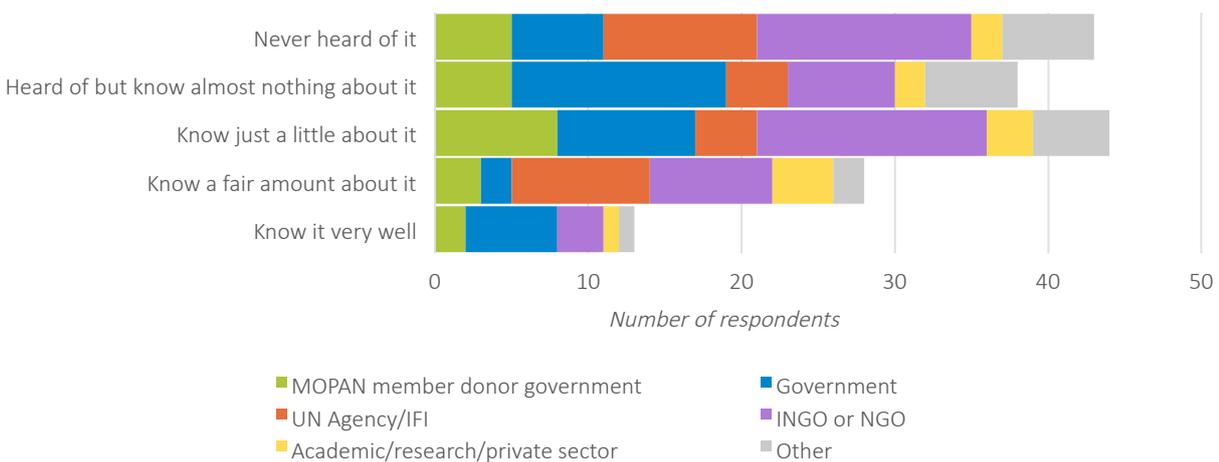
Familiarity with strategy for setting out how IOM intends to engage with good governance

Legend:
- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

X-axis: Number of respondents

Categories: Never heard of it; Heard of but know almost nothing about it; Know just a little about it; Know a fair amount about it; Know it very well
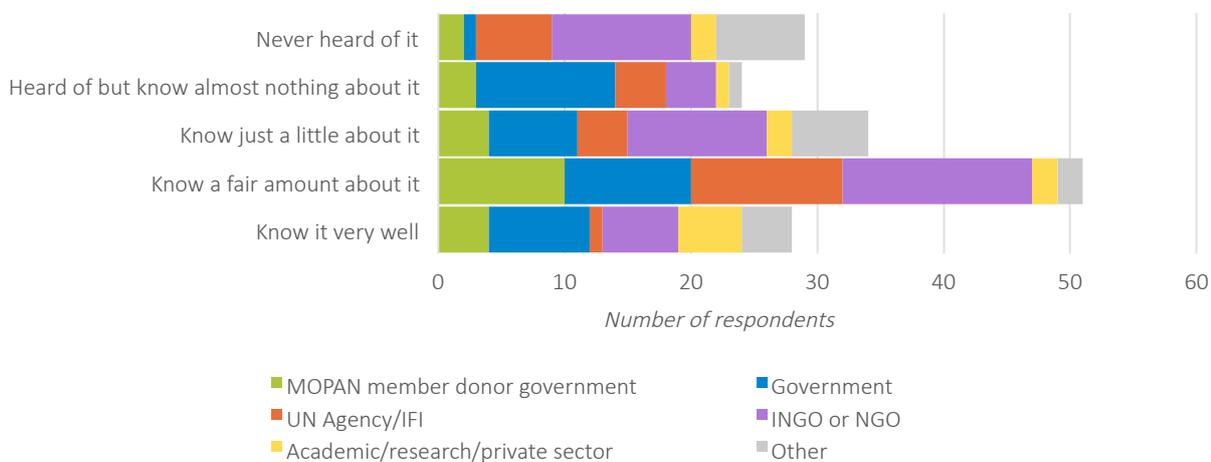
Familiarity with strategy for how IOM intends to take forward its policy commitment on human rights

Legend:
- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

X-axis: Number of respondents

Categories: Never heard of it; Heard of but know almost nothing about it; Know just a little about it; Know a fair amount about it; Know it very well
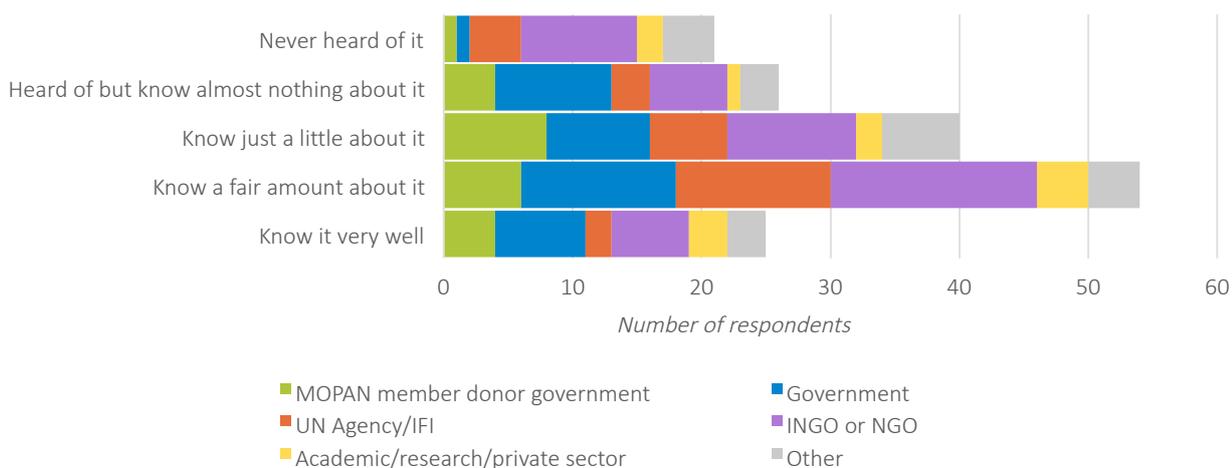
Familiarity with strategy for how IOM intends to take forward protection

Legend:
- MOPAN member donor government
- UN Agency/IFI
- Academic/research/private sector
- Government
- INGO or NGO
- Other

X-axis: Number of respondents

Categories: Never heard of it; Heard of but know almost nothing about it; Know just a little about it; Know a fair amount about it; Know it very well
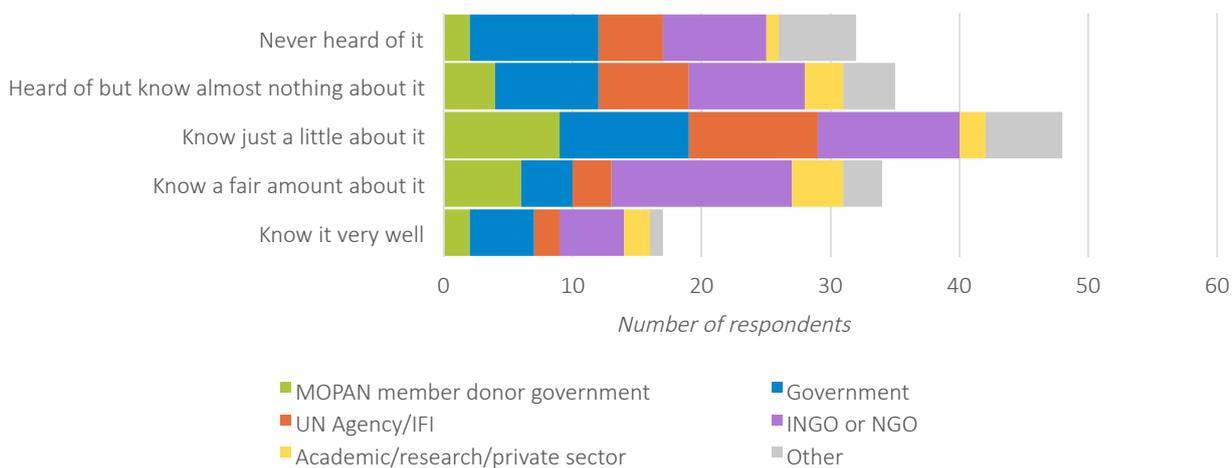
Interventions (cross-cutting issues, organisational performance)

IOM promotes gender equality

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
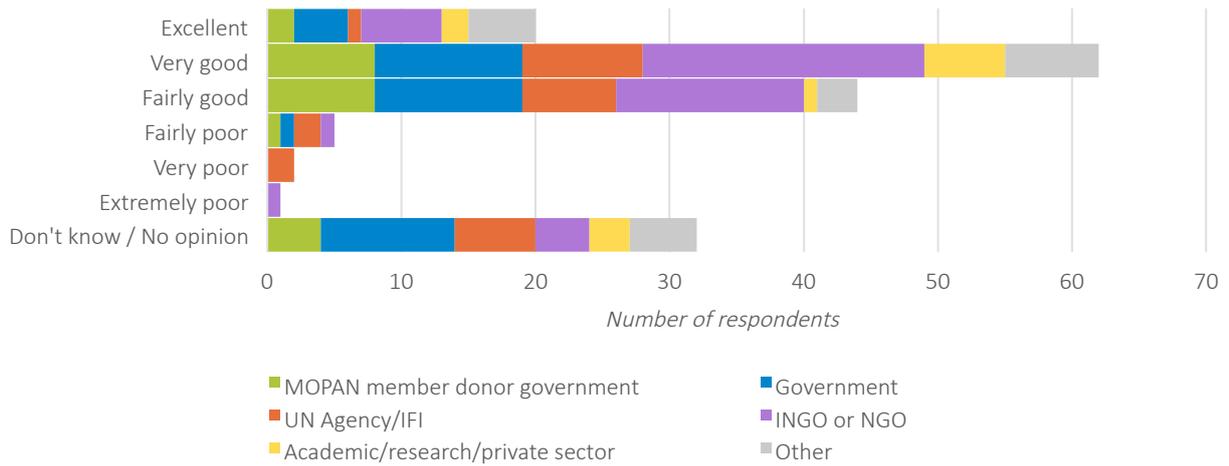
IOM promotes environmental sustainability/addresses climate change

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
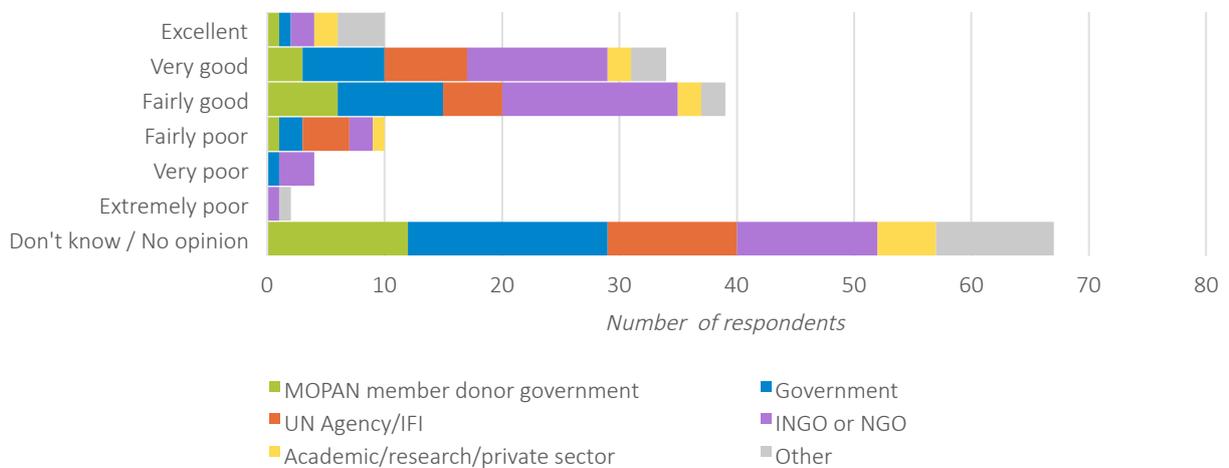
IOM promotes principles of good governance

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
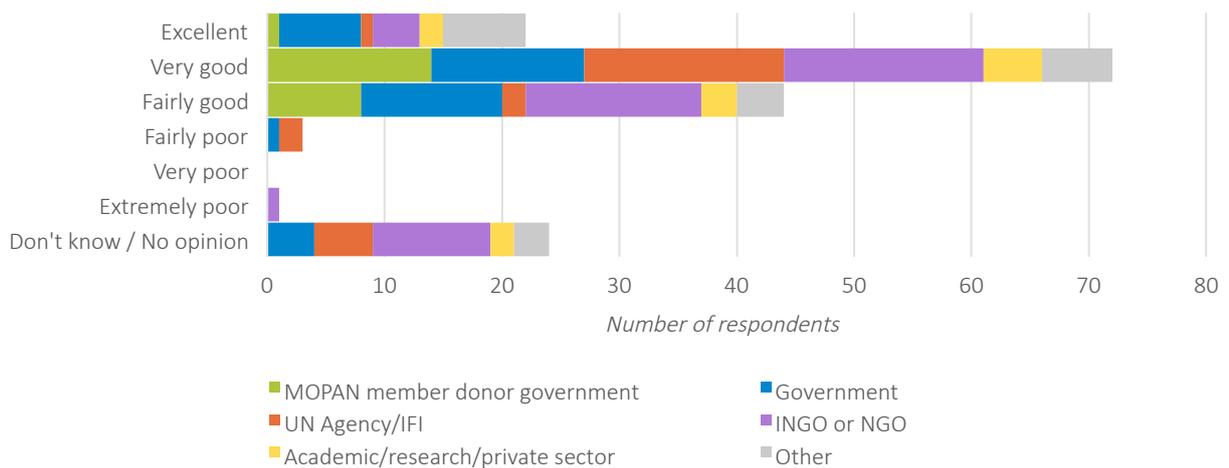
IOM promotes human rights

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
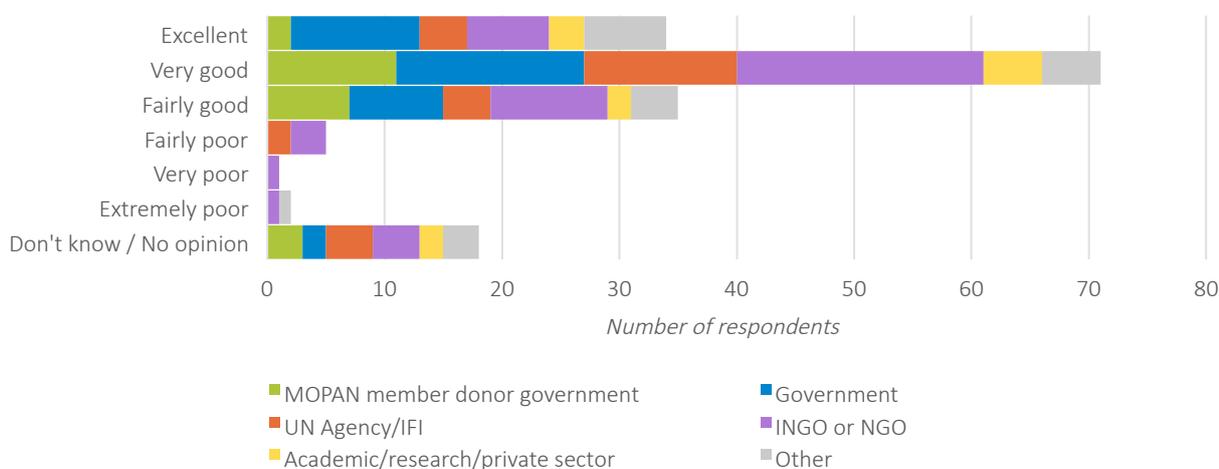
IOM promotes protection

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
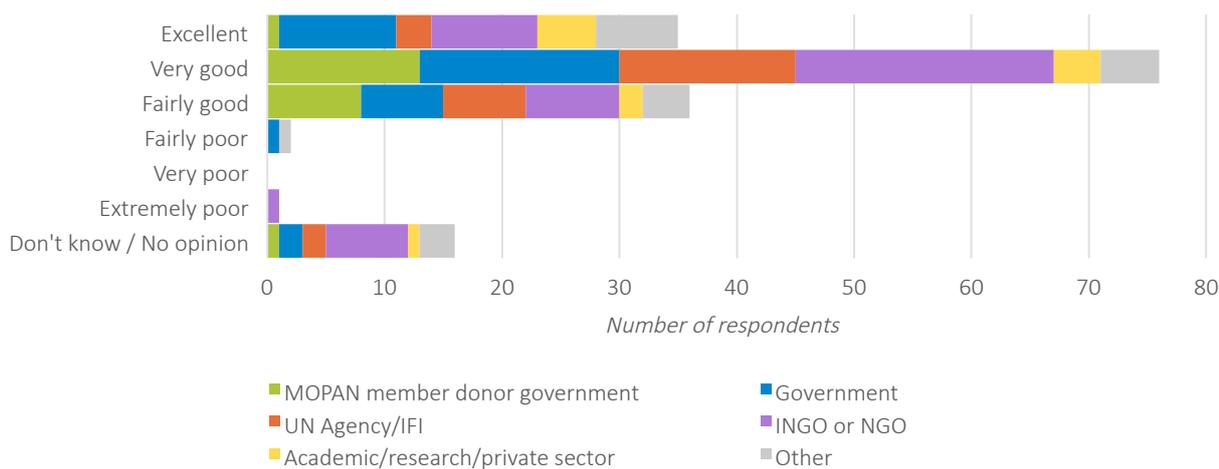
Managing relationships

IOM prioritises working in synergy/partnerships
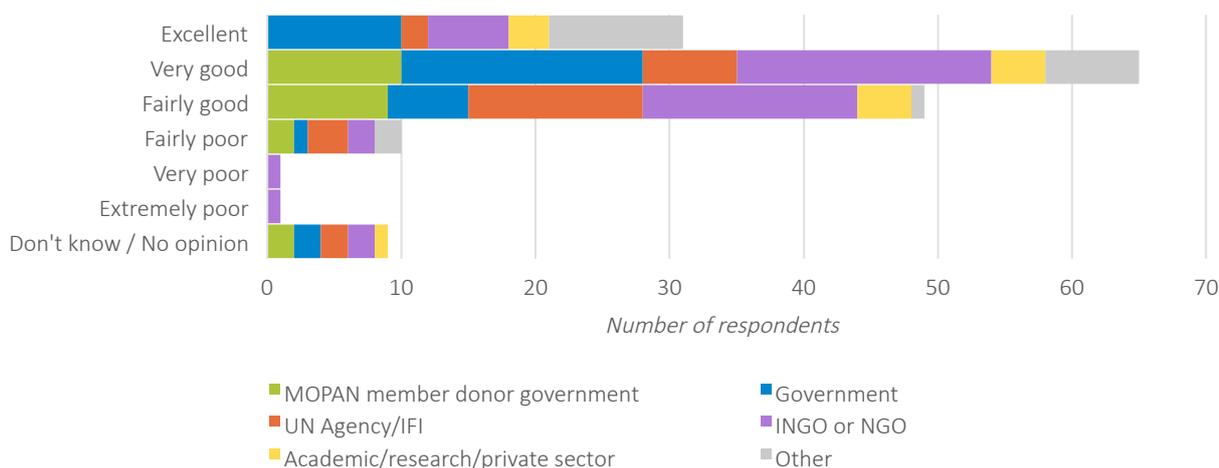
Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

IOM shares key information with partners on an ongoing basis

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

IOM uses regular review points with partners to identify challenges

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
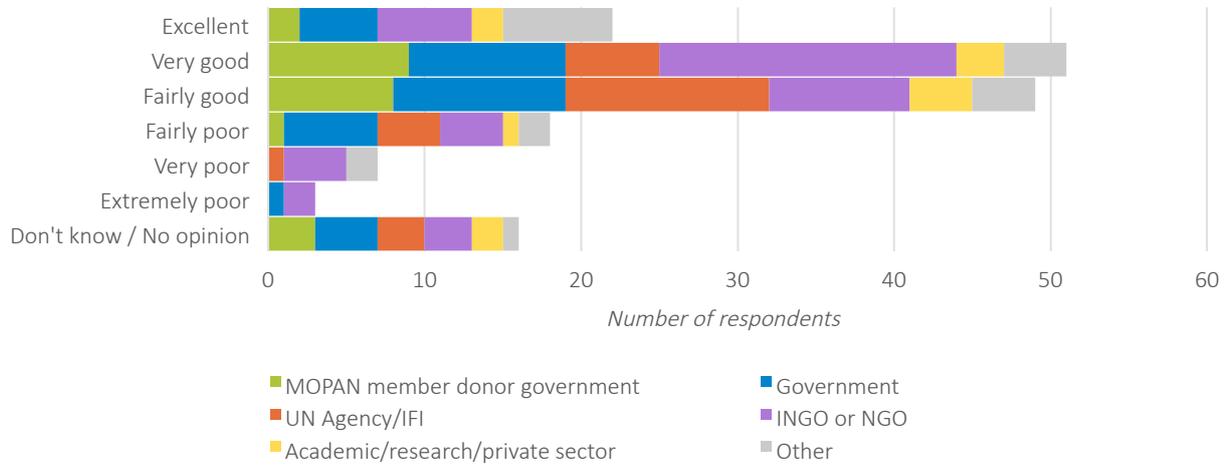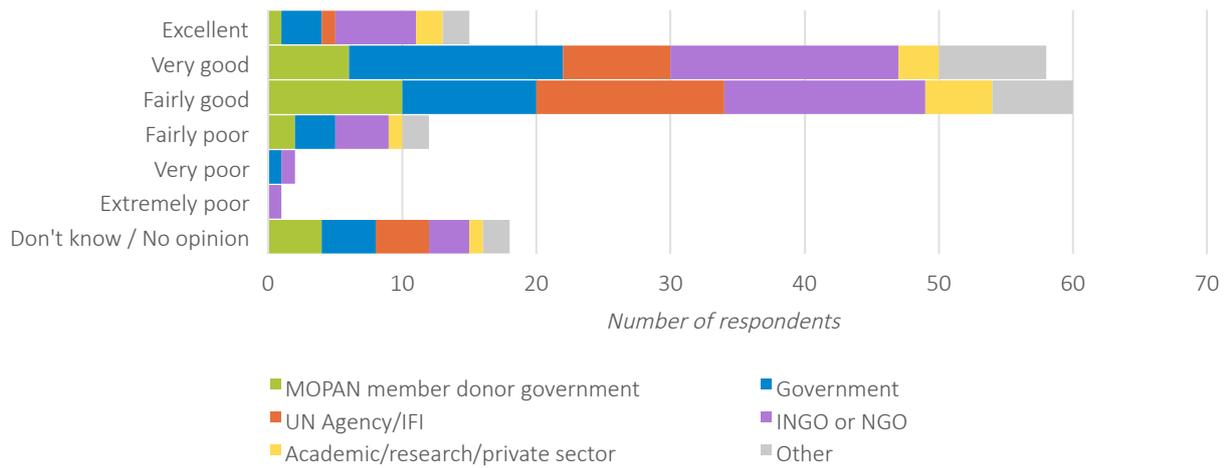
IOM organisational procedures are synergised with partners
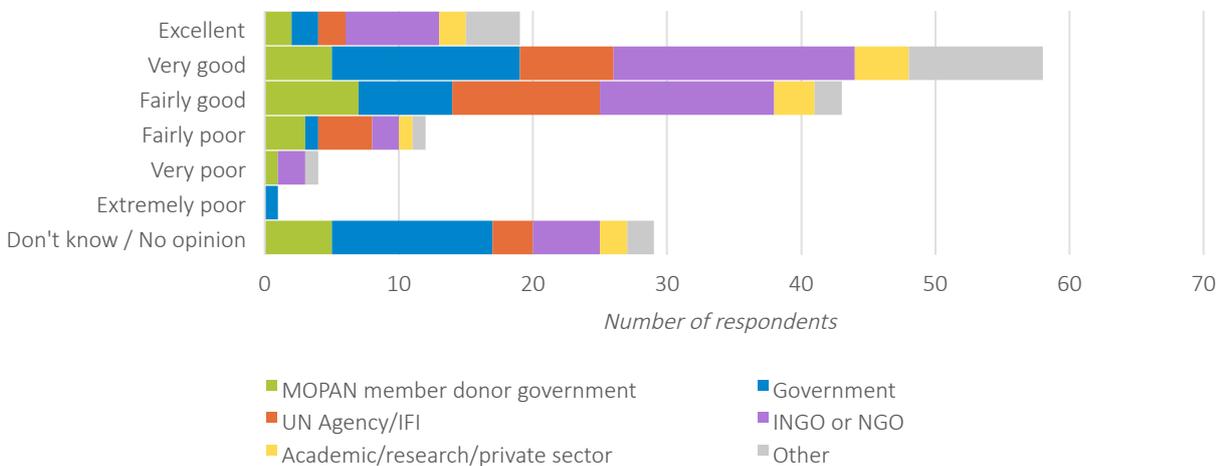
Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

IOM provides high quality inputs to country dialogue

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other

IOM views are well respected in country policy dialogue

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
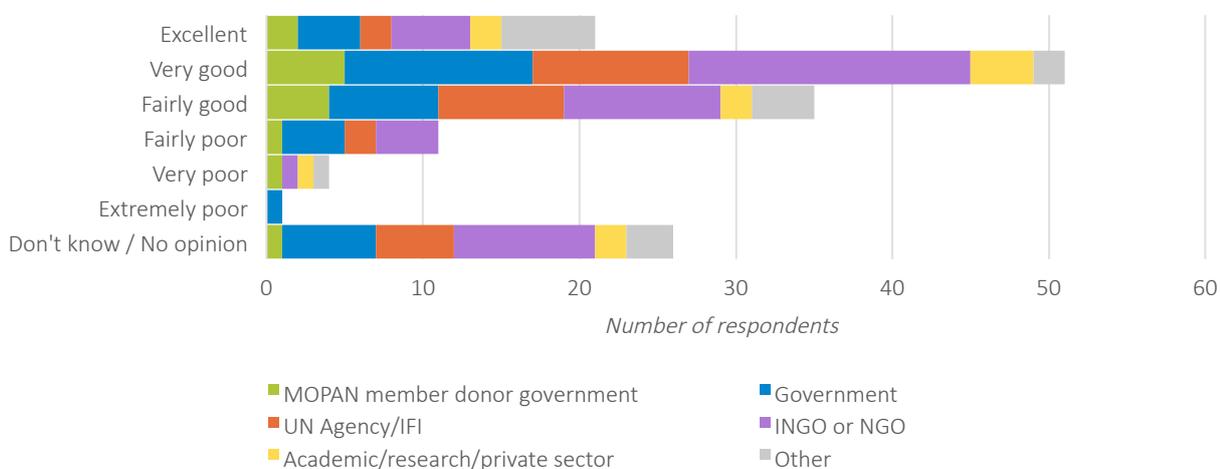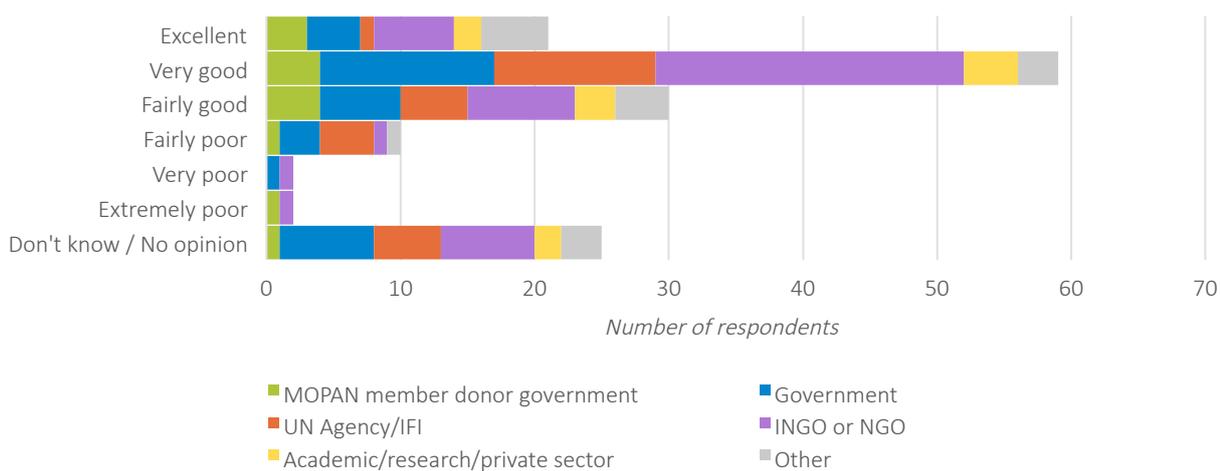
IOM conducts mutual assessments of progress with national/regional partners

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
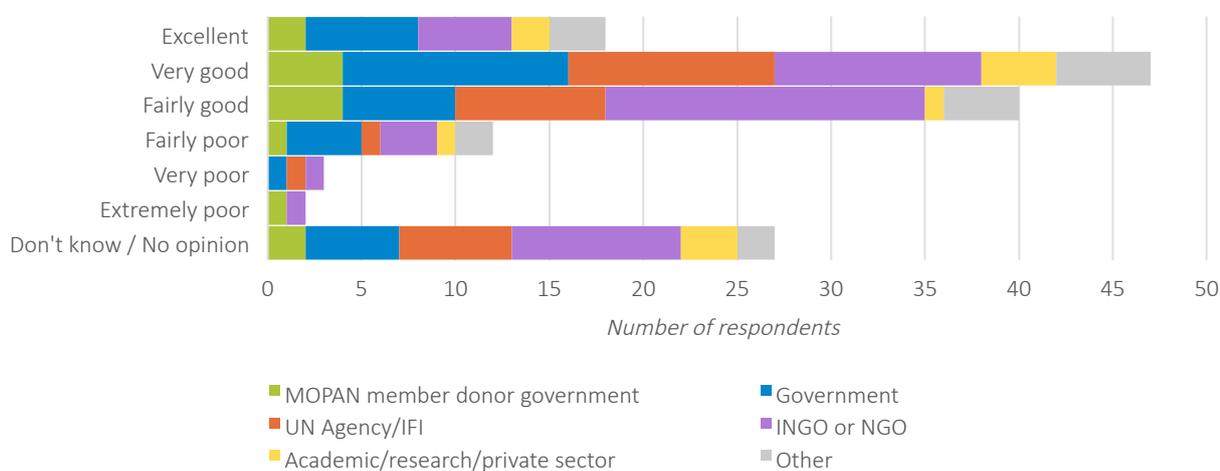
IOM channels resources through country systems as the default option
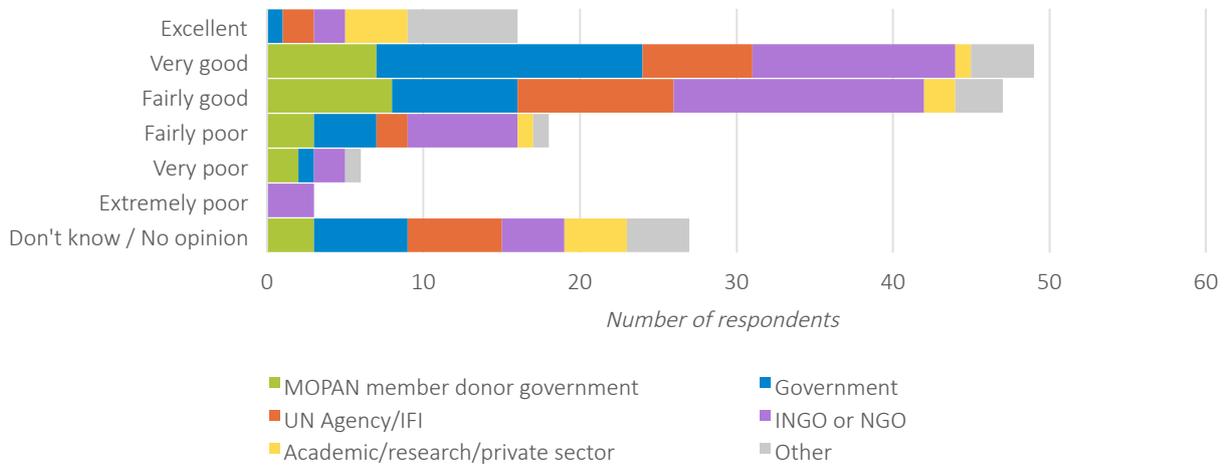

IOM knowledge products are useful for my work
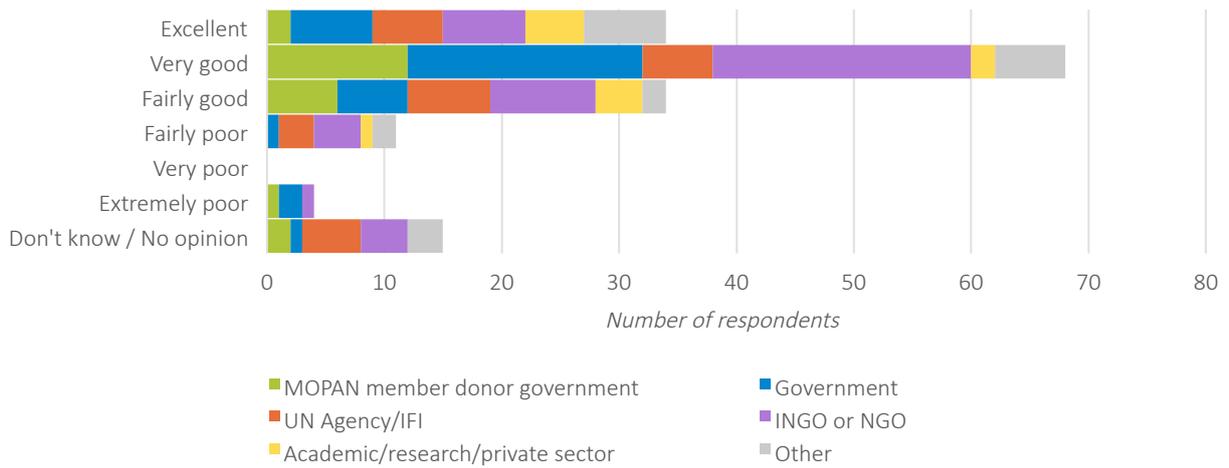


IOM knowledge products are timely
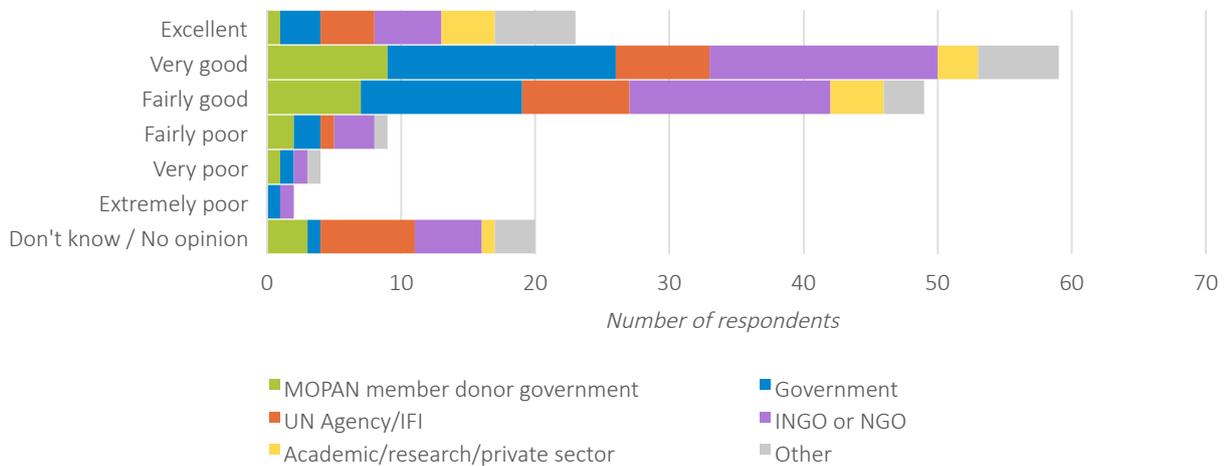
Performance management

IOM prioritises a results-based approach
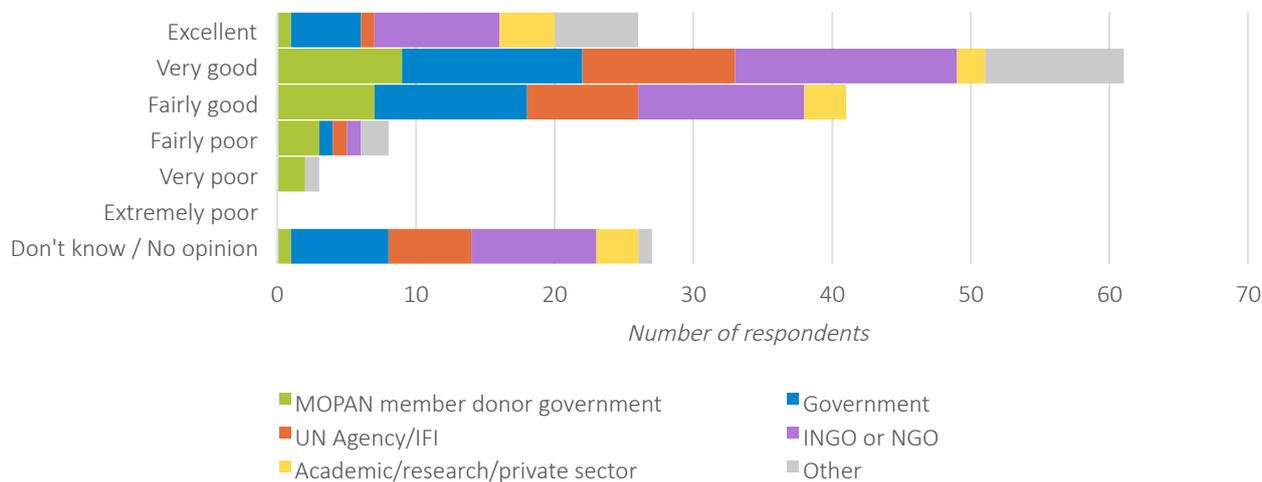
Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

IOM uses robust performance data when designing and implementing interventions

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

IOM bases its policy and strategy decisions on robust performance data

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
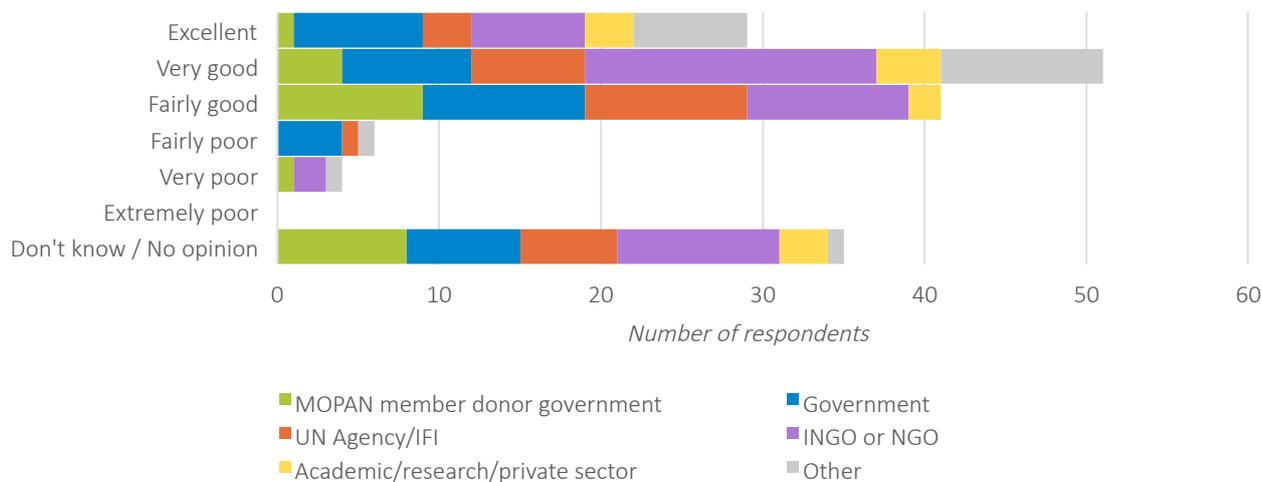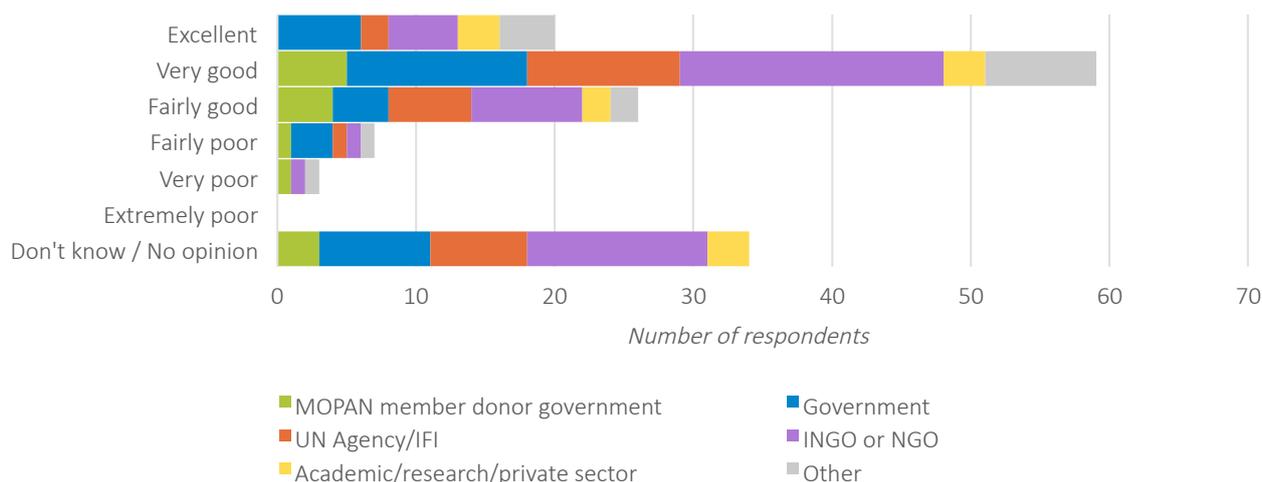
## Evidence base for planning and programming

IOM has a clear statement on which of its interventions must be evaluated
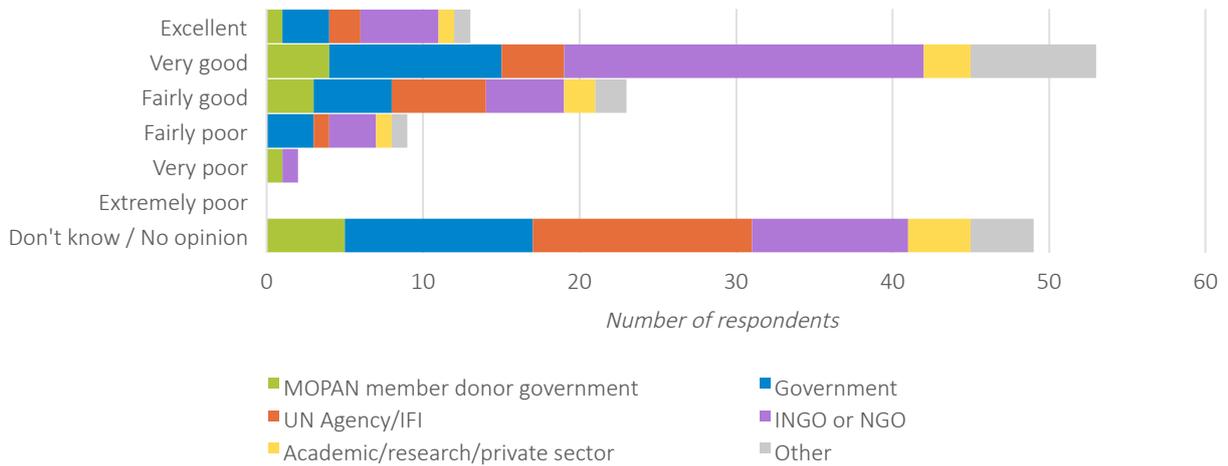
Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other

Where required, IOM ensures that evaluations are carried out

Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
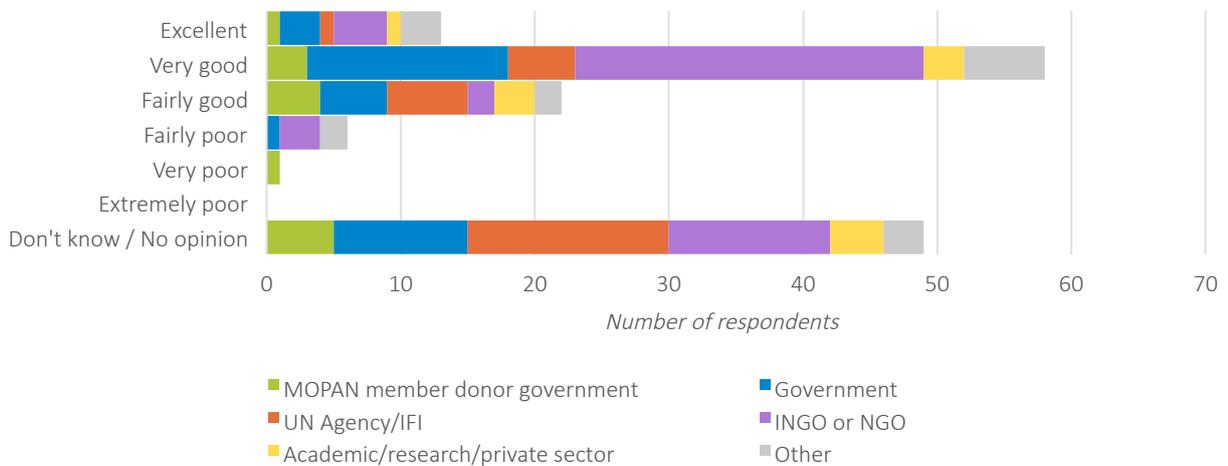
IOM participates in joint evaluations at the country/regional level

Number of respondents

- MOPAN member donor government
- Government
- UN Agency/IFI
- INGO or NGO
- Academic/research/private sector
- Other
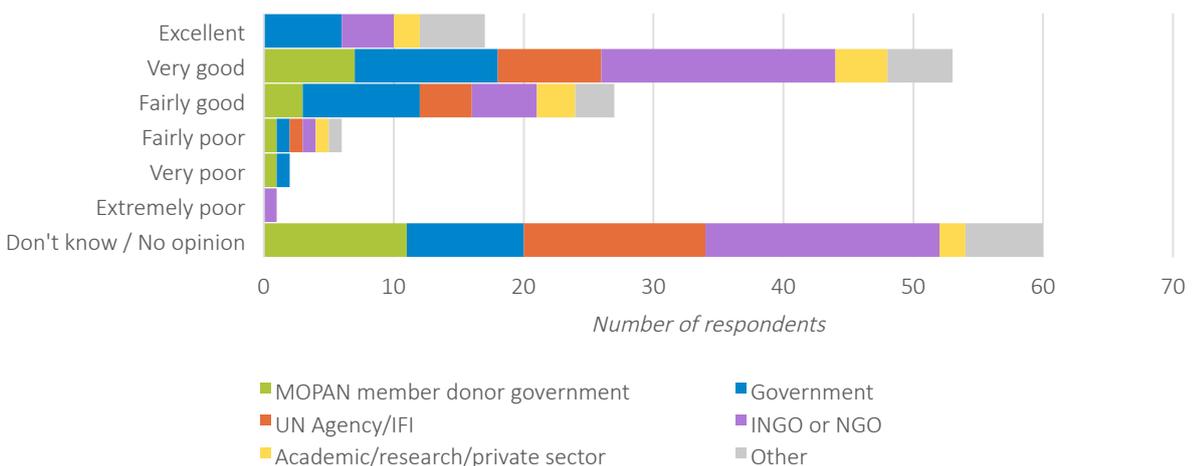
IOM intervention designs contain a statement of the evidence base

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
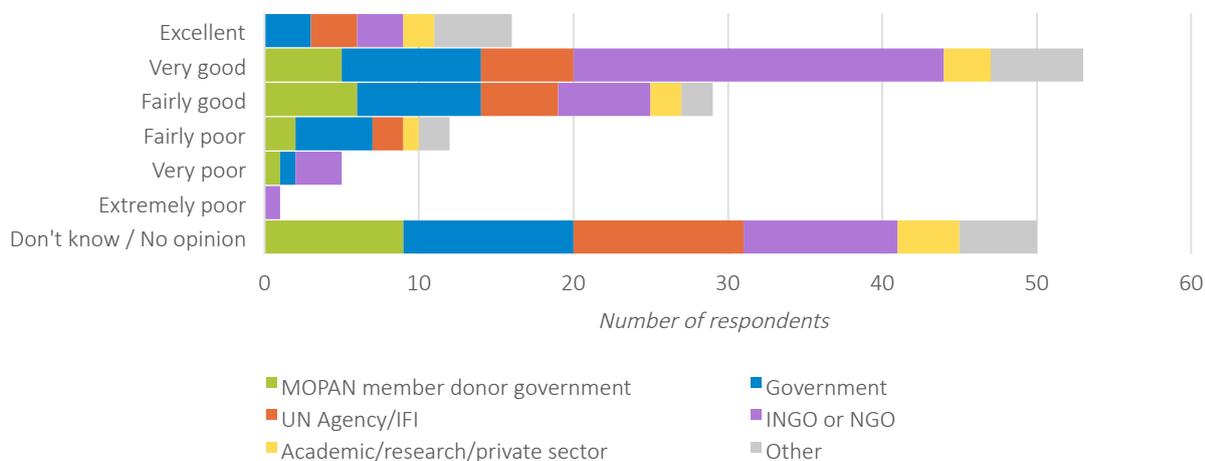
IOM identifies under-performing interventions

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other
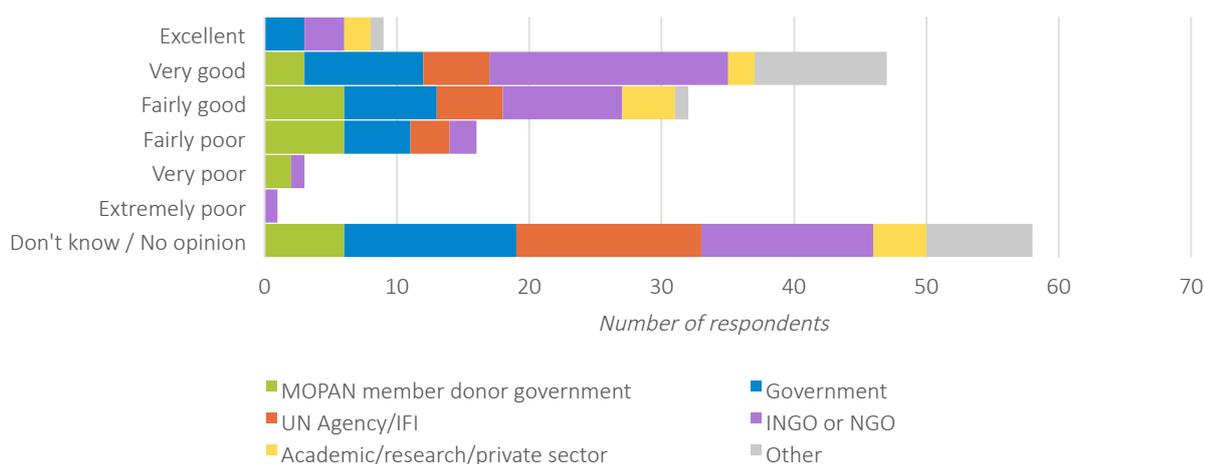
IOM addresses any areas of intervention under-performance

Number of respondents

- ■ MOPAN member donor government
- ■ Government
- ■ UN Agency/IFI
- ■ INGO or NGO
- ■ Academic/research/private sector
- ■ Other

IOM follows up evaluation recommendations systematically

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
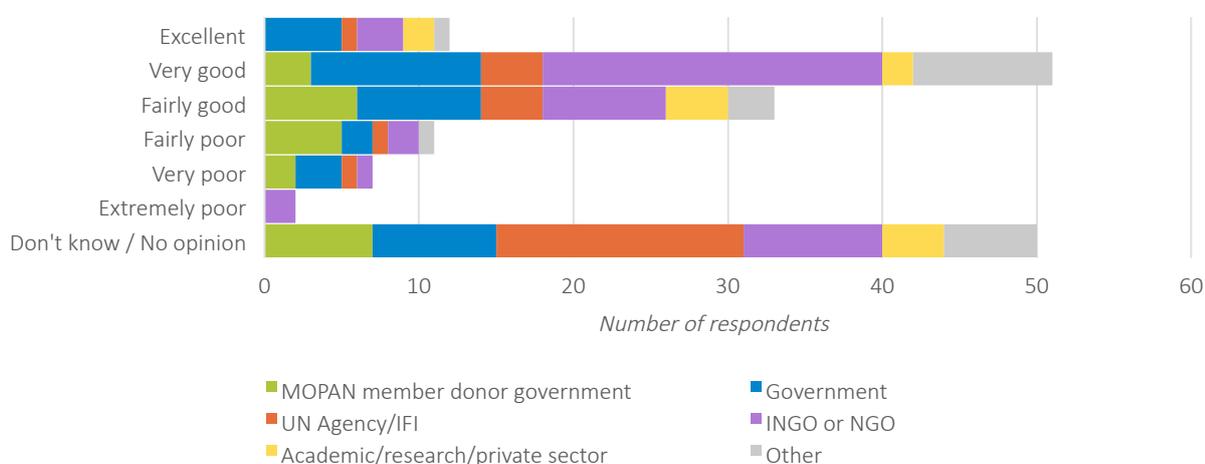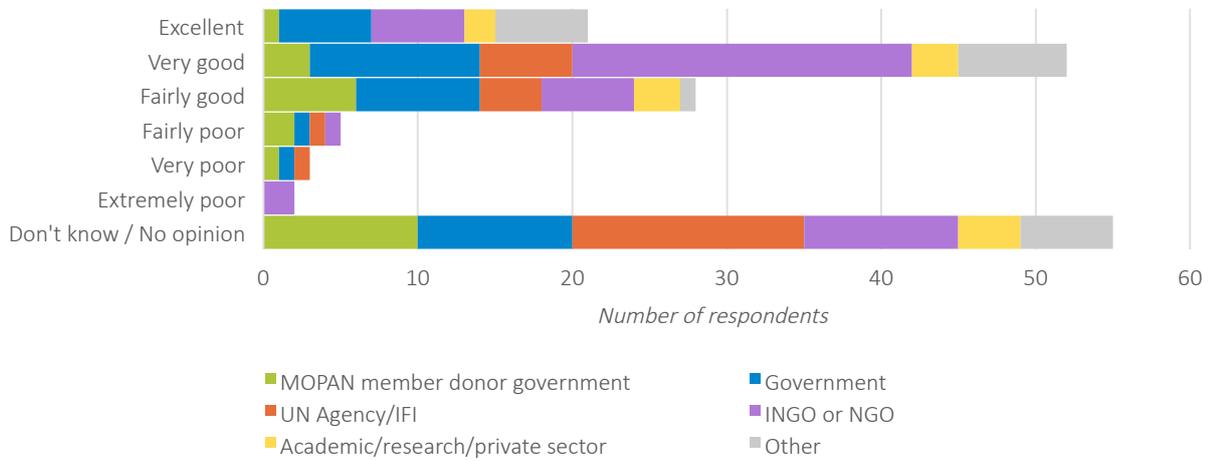
IOM learns lessons from experience rather than repeating the same mistakes

Number of respondents

- ■ MOPAN member donor government
- ■ UN Agency/IFI
- ■ Academic/research/private sector
- ■ Government
- ■ INGO or NGO
- ■ Other
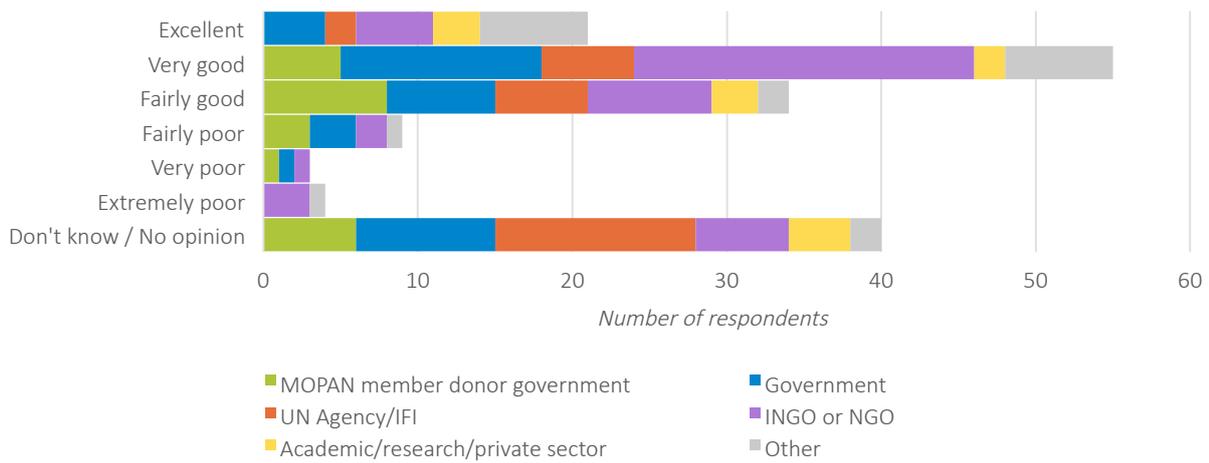
For any questions or comments, please contact:
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